

V. V. CHAKRADEO & CO.

COMPANY SECRETARIES.

B – 301. MATOSHREE RESIDENCY CHS., 65, PRARTHANA SAMAJ ROAD,
VILE PARLE EAST, MUMBAI 400 057.

TEL 26116821

EMAIL: vvchakra@gmail.com

CELL NO. 98200 48732

**Secretarial Compliance Report of the Mukesh Babu Financial Services
Limited for the Year Ended 31st March, 2022**

I have examined:

- (a) all the documents and records made available to us and explanation provided by **Mukesh Babu Financial Services Limited**("the listed entity") and its material unlisted subsidiary **Mukesh Babu Securities Limited**;
- (b) the filings/ submissions made by the listed entity to the stock exchange;
- (c) website of the listed entity;
- (d) any other document/ filing, as may be relevant, which has been relied upon to make this certification;

for the year ended 31st March 2022 ("Review Period") in respect of compliance with the provisions of:

- (a) the Securities and Exchange Board of India Act, 1992 ("SEBI Act") and the Regulations, circulars, guidelines issued thereunder; and
- (b) the Securities Contracts (Regulation) Act, 1956 ("SCRA"), rules made thereunder and the Regulations, circulars, guidelines issued thereunder by the Securities and Exchange Board of India ("SEBI");

The specific Regulations, whose provisions and the circulars/ guidelines issued thereunder, have been examined, include:-

- (a) Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015;
- (b) Securities and Exchange Board of India (Issue of Capital and Disclosure Requirements) Regulations, 2018;
- (c) Securities and Exchange Board of India (Substantial Acquisition of Shares and Takeovers) Regulations, 2011; NA
- (d) Securities and Exchange Board of India (Buyback of Securities) Regulations, 2018:NA
- (e) Securities and Exchange Board of India (Share Based Employee Benefits) Regulations, 2014:NA
- (f) Securities and Exchange Board of India (Issue and Listing of Debt Securities) Regulations, 2008: NA
- (g) Securities and Exchange Board of India (Issue and Listing of Non-Convertible and Redeemable Preference Shares) Regulations, 2013:NA.

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- (h) Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015;
(i) and circulars/ guidelines issued thereunder;

and based on the above examination, I hereby report that, during the Review Period:

- (a) The listed entity has complied with the provisions of the above Regulations and circulars/ guidelines issued thereunder, except in respect of matters specified below:-

NIL

| Sr. No. | Compliance Requirement (Regulations/ circulars / guidelines including specific clause) | Deviations | Observations/ Remarks of the Practicing Company Secretary |
|---------|--|------------|---|
| 1. | | | |

- (b) The listed entity has maintained proper records under the provisions of the above Regulations and circulars/ guidelines issued thereunder insofar as it appears from my/our examination of those records.

- (c) The following are the details of actions taken against the listed entity/ its promoters/ directors/ material subsidiaries either by SEBI or by Stock Exchanges (*including under the Standard Operating Procedures issued by SEBI through various circulars*) under the aforesaid Acts/ Regulations and circulars/ guidelines issued thereunder: **NIL**

| Sr. No. | Action taken by | Details of violation | Details of action taken E.g. fines, warning letter, debarment, etc. | Observations/ remarks of the Practicing Company Secretary, if any. |
|---------|-----------------|----------------------|---|--|
| 1. | | | | |

- (d) The listed entity has taken the following actions to comply with the observations made in previous reports:

| Sr. No. | Observations of the Practicing Company Secretary in the previous reports | Observations made in the secretarial compliance report for the year ended 31.03.2022 | Actions taken by the listed entity, if any | Comments of the Practicing Company Secretary on the actions taken by the listed entity |
|---------|--|--|--|--|
| | | | | |

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| | | | | |
|----|---|-----|--|--|
| 1. | Non-compliance with the requirements pertaining to the composition of the Board including failure to appoint woman director leading to penalty by BSE | Nil | As on 31 st March, 2022, the Listed entity has complied with the relevant provisions. | As on 31 st March, 2022, the Listed entity has complied with the relevant provisions and paid penalty and also made an application to BSE for the waiver of these penalties. The Listed Entity is in receipt of waiver of these Penalties from BSE vide email dated 16.04.2021. |
|----|---|-----|--|--|

Place: Mumbai

Signature:

Date: 25th May 2022

UDIN: F003382D000380847

Vidyadhar
Vaman
Chakradeo

Digitally signed by
Vidyadhar Vaman
Chakradeo
Date: 2022.05.25
08:02:11 +05'30'

V. V. Chakradeo

FCS No.: 3382

C P No.: 1705