

May 12, 2021

To,  
Listing Department  
National Stock Exchange of India Limited  
Exchange Plaza, C-1, G Block,  
Bandra Kurla Complex,  
Bandra (East), Mumbai - 400 051.

Department of Corporate Service  
BSE Limited  
Phiroze Jeejeebhoy Towers,  
Dalal Street,  
Mumbai - 400 001.

**Symbol: ANGELBRKG**

**Scrip Code: 543235**

Dear Sirs,

**Sub: Submission of Annual Secretarial Compliance Report for the year ended March 31, 2021**

Pursuant to Regulation 24A of SEBI (Listing Obligation and Disclosure Requirements) Regulations, 2015 and circular no. CIR/CFD/CMD1/27/2019 dated February 8, 2019, please find enclosed herewith the Annual Secretarial Compliance Report of the Company for the year ended March 31, 2021 dated May 06, 2021, issued by M/s MMJB & Associates LLP, Practicing Company Secretaries.

You are requested to take the abovementioned information on your record.

Thanking you,

For **Angel Broking Limited**

**PATEL  
NAHEED  
REHAN**

Digitally signed by PATEL NAHEED  
REHAN  
DN: c=IN, o=Personal,  
postalCode=400059,  
st=Maharashtra,  
serialNumber=333b54bd95a7b4b7  
2066364d67a6162749f8eacabfc41  
32538e5411ebee970e18, cn=PATEL  
NAHEED REHAN  
Date: 2021.05.12 19:45:58 +05'30'

**Naheed Patel  
Company Secretary and Compliance Officer  
Membership No. – A22506**

**Place: Mumbai**

Encl: **Annual Secretarial Compliance report**

**CSO & Corporate Office:**

6th Floor, Akruti Star, Central Road,  
MIDC, Andheri (E) Mumbai-400 093.  
Tel: (022) 40003600 | Fax: (022) 39357699

**Regd Office:**

G-1, Akruti Trade Centre, MIDC, Road No-7,  
Andheri (E), Mumbai - 400 093.  
Tel: (022) 68070100 | Fax:(022) 68070107  
E-mail: [support@angelbroking.com](mailto:support@angelbroking.com),  
Website: [www.angelbroking.com](http://www.angelbroking.com)

**Angel Broking Limited**

CIN: L67120MH1996PLC101709  
SEBI Registration No Stock Broker: INZ000161534, CDSL: IN-  
DP-384-2018, PMS: INP00001546, Research Analyst:  
INH000000164, Investment Advisor: INA000008172, AMFI  
Regn. No. ARN-77404, PFRDA, Regn. No.-19092018.



# ***MMJB & Associates LLP***

## **Company Secretaries**

---

803-804, Ecstasy, City of Joy, JSD Road, Mulund - West, Mumbai – 400080, (T) 21 678100

### **Secretarial Compliance Report of Angel Broking Limited For Financial year ended 31<sup>st</sup> March, 2021**

To,  
The Members,  
**Angel Broking Limited**  
**G-1, Ground Floor, Akruiti Trade Centre,**  
**Road No.-7, MIDC, Andheri (East) Mumbai 400093 IN**

We, M/s. MMJB & Associates LLP, Company Secretaries, have examined:

(a) all the documents and records made available to us and explanation provided by Angel Broking Limited ('the listed entity'),

(b) the filings/ submissions made by the listed entity to the Stock Exchanges,

(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 2021 ('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;
- d) Securities and Exchange Board of India (Buyback of Securities) Regulations, 2018; - **(Not Applicable to the Company during the Audit Period)**
- e) Securities and Exchange Board of India (Share Based Employee Benefits) Regulations, 2014;
- f) Securities and Exchange Board of India (Issue and Listing of Debt Securities) Regulations, 2008; **(Not Applicable to the Company during the Audit Period)**
- g) Securities and Exchange Board of India (Issue and Listing of Non-Convertible and Redeemable Preference Shares) Regulations, 2013; **(Not Applicable to the Company during the Audit Period)**
- h) Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015;
- i) The Securities and Exchange Board of India (Registrars to an Issue and Share Transfer Agents) Regulations, 1993 regarding the Companies Act, 2013 and dealing with client;
- j) The Securities and Exchange Board of India (Research Analysts) Regulations, 2014;
- k) The Securities and Exchange Board of India (Investment Advisors) Regulations, 2013
- l) The Securities and Exchange Board of India (Portfolio Managers) Regulations, 1993
- m) The Securities and Exchange Board of India (Stock Brokers) Regulations, 1992

and circulars/ guidelines issued thereunder and based on the above examination, we 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:

<b>Compliance Requirement (Regulations/ circulars / guidelines including specific clause)</b>	<b>Deviations</b>	<b>Remarks of the Practicing Company Secretary</b>
<b>SEBI Circular CIR/MIRSD/120/2016 dated 10 November 2016 Point 2, Clause B ii.</b>  Intermediaries other than mutual funds may ensure 50% completion of uploading of existing KYC data by November 30, 2016 and the remaining 50% of KYC data by December 31, 2016.	Non upload of CKYC for few of the existing clients out of the total existing clients.	KYC related details of existing clients were not uploaded on CKYC Registry on account of non-availability of certain KYC details.

<p>SEBI/HO/ISD/ISD/CIR/P/2020/168</p> <p>Listed company shall provide the information including PAN number of Promoter(s) including member(s) of the promoter group, designated person(s) and director(s) (hereinafter collectively referred to as entities) as per PIT Regulations to the designated depository (selected in terms of SEBI circular ref. no. SEBI/HO/CFD/DCR1/CIR/P/2018/85 dated May 28, 2018) in the format and manner prescribed by the Depositories. For PAN exempt entities, the Investor's Demat account number(s) shall be specified by the listed company.</p>	<p>System driven disclosures were not made timely as per the circular</p>	<p>Inadvertent Delay in providing information to designated depository as per SEBI Circular dated 09<sup>th</sup> September 2020 on system driven disclosures.</p>
---	---	--

(b) The listed entity has maintained proper records under the provisions of the above Regulations and circulars/ guidelines issued thereunder in so far as it appears from 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.

Sr. No.	Action taken by	Details of violation	Details of action taken <i>E.g. fines, warning letter, debarment, etc.</i>	Observations/ remarks of the Practicing Company Secretary, if any.
Not Applicable				

(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	Actions taken by the listed entity, if any	Comments of the Practicing Company Secretary on the actions taken by the
---------	--	---	--	--

		<b>report</b>		<b>listed entity</b>
<b>Not Applicable</b>				

**For MMJB and Associates LLP  
Company Secretaries**

Digitally signed by SAURABH SANJAY AGARWAL  
DN: cn=SAURABH SANJAY AGARWAL, c=IN, st=Maharashtra,  
o=Personal,  
serialNumber=19a2848dcd57f11c12a820aabbd0442ec597b73  
a954098b8b5bc4a0d50c  
Date: 2021.05.06 11:52:35 +05'30'

**Saurabh Agarwal  
Designated Partner  
FCS No. 9290  
CP No. 20907  
UDIN: F009290C000253842  
Peer Review No. L2020MH006700  
Place: Mumbai  
Date: May 06, 2021**