

30<sup>th</sup> May, 2019

BSE Ltd  
1<sup>st</sup> Floor, New Trading Ring,  
Rotunda Bldg., P.J. Towers,  
Dalal Street, Mumbai – 400 001  
BSE Scrip Code: 500259

National Stock Exchange of India Ltd  
Exchange Plaza, 5<sup>th</sup> Floor, Plot No. C/1  
B Block, Bandra Kurla Complex,  
Bandra (East), Mumbai – 400 051  
NSE Scrip Code: LYKALABS

Dear Sir/ Madam,

Subject: Secretarial Compliance Report for the year ended March 31, 2019

Pursuant to Regulation 24A of the Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015, we enclose herewith Secretarial Compliance Report for the financial year ended March 31, 2019, issued by Kaushal Doshi & Associates, Practicing Company Secretaries.

Thanking You,

Your Faithfully,  
For Lyka Labs Limited

  
Raj Trivedi  
Company Secretary & Compliance Officer





**SECRETARIAL COMPLIANCE REPORT OF  
LYKA LABS LIMITED  
FOR THE YEAR ENDED 31<sup>ST</sup> MARCH 2019**

I/~~W~~M/s. Kaushal Doshi & Associates, Practicing Company Secretary have examined:

- (a) all the documents and records made available to us and explanation provided by Lyka Labs 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 31<sup>st</sup> March 2019 ("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 during year under review)*

(e) Securities and Exchange Board of India (Share Based Employee Benefits) Regulations, 2014; *(Not applicable during year under review)*

(f) Securities and Exchange Board of India (Issue and Listing of Debt Securities) Regulations, 2008; *(Not applicable during year under review)*

(g) Securities and Exchange Board of India (Issue and Listing of Non-Convertible and Redeemable Preference Shares) Regulations, 2013;

(h) Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015;

and circulars/ guidelines issued thereunder;

and based on the above examination, I/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:-

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

(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:



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.	ACTION TAKEN BY NSE	Show cause notice for noncompliance/ delayed compliance with regulation 13(3) for the quarter ended December 31, 2018.	Penalty imposed by NSE Rs.2360	Company have to comply statement of this regulation within 21 days of the quarter end i.e 21.01.2019 but ,company had filed on 23.01.2019 which is two days of later from the cut of date.  Company has paid Rs.2360 as penalty on 13.02.2019
2.	ACTION TAKEN BY BSE Limited as per regulation 14 of SEBI (Listing Obligations And Disclosure Requirements 2015)- Show cause notice for nonpayment of arrears of annual Listing fees to BSE dated on 19.02.2019.	Show cause notice for nonpayment of arrears of annual Listing fees to BSE limited	Alf payable - 195000 and other outstanding fees Rs. 212400/-	Company has paid Annual listing fees on 14 <sup>th</sup> March, 2019 and other outstanding fees on 11 <sup>th</sup> April, 2019.
3.	ACTION TAKEN BY NSE	Show cause Notice for Non-Compliance/ delayed compliance of Listing Regulation 31	Penalty imposed by NSE Ltd of Rs.4720/-	Company has to comply within 21 days of quarter end i.e. 21.01.2019 but , company had filed on 23.01.2019 which is two days later from the cut of date.  Company has paid Rs. 4720 as penalty on 13.02.2019



4.	Notice issue by NSE on 24 <sup>th</sup> July, 2018 for clarification on Quarterly submission of shareholding pattern for June 30, 2018	Quarterly submission of shareholding pattern for June 30, 2018	Company given reply on 27.07.2018.	Company given reply on 27.07.2018.
5.	Notice issue by NSE for Observation In Consolidated Financial Result for the year ended 31st March 2018 by NSE	--	Company given reply letter to NSE on 21.09.2018.	Company given reply letter to NSE on 21.09.2018.
6.	ACTION TAKEN BY BSE	Late-Submission of Statement on Investor Complaints for the Quarter ended December 2018 as per regulation 13(3) of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015	Penalty imposed by BSE Rs.2360/-	Company have to comply statement of this regulation within 21 days of the quarter end i.e 21.01.2019 but ,company had filed on 23.01.2019 which is two days of later from the cut of date.  Company has paid Rs.2360 as penalty on 13.02.2019
7.	ACTION TAKEN BY BSE	Late-Submission of Statement on Investor Complaints for the Quarter ended December 2018 as per regulation 31 of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015	Penalty imposed by BSE Ltd of Rs.4720/-	Company has to comply within 21 days of quarter end i.e. 21.01.2019 but , company had filed on 23.01.2019 which is two days later from the cut of date.  Company has paid Rs. 4720 as penalty on 13.02.2019



(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... <i>(The years are to be mentioned)</i>	Actions taken by the listed entity, if any	Comments of the Practicing Company Secretary on the actions taken by the listed entity
NIL	NIL	NIL	NIL	NIL

Place- Mumbai

Date- 30<sup>th</sup> May 2019

For Kaushal Doshi & Associates  
Company Secretary



*(Signature)*  
Kaushal Doshi  
(Proprietor)

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