



Date: 29.05.2026

To,

The Manager The Listing Department The Calcutta Stock Exchange 7, Lyons Range Kolkata-700001	The Listing Department MSEI Limited Building A, Unit 205A, 2nd Floor, Piramal Agastya Corporate Park, L.B.S Road, Kurla West, Mumbai - 400 070
CSE Scrip Code: 26189	MSEI Symbol: ADVENTZSEC

Dear Sir/Madam,

Sub: Secretarial Compliance Report for the financial year ended 31st March, 2026
pursuant to Regulation 24A of SEBI (Listing Obligations and Disclosure
Requirements) Regulations, 2015

Enclosed herewith please find the Secretarial Compliance Report for the financial year ended 31st March, 2026 pursuant to Regulation 24A of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015.

This is for your information and record.

Thanking you,

Yours Truly,

For **Adventz Securities Enterprises Limited**

AMISHA SINGH

Digitally signed by

AMISHA SINGH

Date: 2026.05.29

22:18:34 +05'30'

Amisha Singh

Company Secretary & Compliance Officer

Membership Number. A75800

Encl: As above

ADVENTZ SECURITIES ENTERPRISES LIMITED

Hongkong House, 31 B. B. D. Bagh (South), Kolkata - 700 001, Tel.: +91-33-2248 8891/92

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CIN : L36993WB1995PLC069510



Secretarial Compliance Report of Adventz Securities Enterprises Limited for the financial year ended 31.03.2026

I, Rohit Kumar, *Company Secretaries*, have examined :

- (a) all the documents and records made available to us and explanation provided by **Adventz Securities Enterprises 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 Report,

for the financial year ended 31.03.2026 (“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 to the extent as applicable, include :-

- (a) Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015 (“LODR”);
- (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 Review Period;**
- (e) Securities and Exchange Board of India (Share Based Employee Benefits and Sweat Equity) Regulations, 2021: **Not Applicable to the Company during the Review Period;**



Sr. No.	Observations/ Remarks of the Practising Company Secretary (PCS) in the previous reports	Observations made in the Secretarial compliance report for the year ended (the years are to be mentioned)	Compliance Requirement (Regulations/ circulars/ guidelines including specific clause)	Details of violation / deviations and actions taken / penalty imposed, if any, on the listed entity	Remedial actions, if any, taken by the listed entity	Comments of the PCS on the actions taken by the listed entity
1	The Company has not yet taken Special Contingency Insurance Policy	31.03.2025 / 31.03.2024	SEBI Circular No. SEBI/HO/ MIRSD/ MIRSD_RTAMB/ P/CIR/2022/70 dated May 25, 2022	The Company has not yet taken Special Contingency Insurance Policy	The Company has taken the Policy and there is no non-compliance	Matter stands complied.
2	The Company has not yet opened Suspense Escrow Demat Account	31.03.2025 / 31.03.2024	SEBI Circular No. SEBI/HO/ MIRSD/ PoD-1/ OW/ P/ 2022/64923 dated 30.12.2022	The Company has not yet opened Suspense Escrow Demat Account	The Company has opened the Suspense Escrow Demat Account	Matter stands complied
3	There was a delay in submission of outcome for the Board Meeting held on 11.08.2023 for approval of financial results for the quarter ended 30 th June, 2023 at Metropolitan stock exchange	31.03.2024/ 31.03.2025	Regulations 33 of SEBI (LODR) Regulations, 2015	There was a delay in submission of outcome for the Board Meeting held on 11.08.2023 for approval of financial results for the quarter ended 30 th June, 2023 at Metropolitan stock exchange	Stock Exchange has not taken any action in this matter during the year.	No further action noted during the year.

I. We hereby report, during the Review Period, the compliance status of the listed entity with the following requirements:

Sr. No.	Particulars	Compliance Status (Yes/No/NA)	Observations/ Remarks by PCS
1.	Secretarial Standards : The compliances of the listed entity are in accordance with the applicable Secretarial Standards (SS) issued by the Institute of Company Secretaries of India (ICSI).	Yes	

2.	Adoption and timely updation of the Policies : • All applicable policies under SEBI Regulations are adopted with the approval of Board of Directors of the listed entity. • All the policies are in conformity with SEBI Regulations and have been reviewed & updated on time, as per the regulations / circulars / guidelines issued by SEBI.	Yes Yes	
3.	Maintenance and disclosures on Website : • The listed entity is maintaining a functional website. • Timely dissemination of the documents / information under a separate section on the website. • Web-links provided in annual corporate governance reports under Regulation 27(2) are accurate and specific which re-directs to the relevant document(s) / section of the website	Yes Yes Yes	
4.	Disqualification of Director : None of the Director(s) of the listed entity is/ are disqualified under Section 164 of Companies Act, 2013 as confirmed by the listed entity.	Yes	
5.	Details related to Subsidiaries of listed entity have been examined w.r.t. : (a) Identification of material subsidiary companies. (b) Disclosure requirement of material as well as other subsidiaries.	N.A. N.A.	The Company did not have any material subsidiary during the year under report.
6.	Preservation of Documents : The listed entity is preserving and maintaining records as prescribed under SEBI Regulations and disposal of records as per Policy of Preservation of Documents and Archival policy prescribed under SEBI LODR Regulations, 2015.	Yes	



7.	Performance Evaluation : The listed entity has conducted performance evaluation of the Board, Independent Directors and the Committees at the start of every financial year/during the financial year as prescribed in SEBI Regulations.	Yes	
8.	Related Party Transactions : (a) The listed entity has obtained prior approval of Audit Committee for all related party transactions. (b) In case no prior approval obtained, the listed entity shall provide detailed reasons along with confirmation whether the transactions were subsequently approved/ ratified/ rejected by the audit committee.	Yes Yes	Ratified by the Audit Committee.
9.	Disclosure of events or information : The listed entity has provided all the required disclosure(s) under Regulation 30 along with Schedule III of SEBI LODR Regulations, 2015 within the time limits prescribed thereunder.	Yes	
10.	Prohibition of Insider Trading : The listed entity is in compliance with Regulation 3(5) & 3(6) SEBI (Prohibition of Insider Trading) Regulations, 2015.	Yes	



11.	Actions taken by SEBI or Stock Exchange(s), if any : No action(s) has been taken against the listed entity/ its promoters/ directors/ subsidiaries either by SEBI or by Stock Exchanges (including under the Standard Operating Procedures issued by SEBI through various circulars) under SEBI Regulations and circulars/ guidelines issued thereunder (or) The actions taken against the listed entity/ its promoters/ directors/ subsidiaries either by SEBI or by Stock Exchanges are specified in the last column.	Yes N.A.	No such case was reported during the financial year under report.
12.	Resignation of statutory auditors from the listed entity or its material subsidiaries: In case of resignation of statutory auditor from the listed entity or any of its material subsidiaries during the financial year, the listed entity and / or its material subsidiary(ies) has / have complied with paragraph 6.1 and 6.2 of section V-D of chapter V of the Master Circular on compliance with the provisions of the LODR Regulations by listed entities.	N.A.	No such case was reported during the financial year under report.



13.	Additional Non-compliances, if any : No additional non-compliances observed for any SEBI regulation/circular/guidance note etc. except as reported above.	N.A.	None
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We further, report that :

- (a) the listed entity is in compliance with the disclosure requirements of Employee Benefit Scheme Documents in terms of Regulation 46(2) (za) of the SEBI LODR Regulations – **Not Applicable;**
- (b) The Company has identified the promoter and promoter group entities having nil shareholding and has started disclosing the same in its quarterly shareholding pattern filed with the stock exchange from the qtr ended 30.09.2025.

II. Assumptions & Limitation of Scope and Review:

1. Compliance of the applicable laws and ensuring the authenticity of documents and information furnished, are the responsibilities of the management of the listed entity.
2. Our responsibility is to certify based upon our examination of relevant documents and information. This is neither an audit nor an expression of opinion.
3. We have not verified the correctness and appropriateness of financial records and books of accounts of the listed entity.
4. This report is solely for the intended purpose of compliance in terms of Regulation 24A (2) of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 and is neither an assurance as to the future viability of the listed entity nor of the efficacy or effectiveness with which the management has conducted the affairs of the listed entity.

ACS, ACMA, LLB, M.Com
Practising Company Secretary



Signature:

ROHIT KUMAR

UDIN : A054039H000538226

Dated : 29.05.2026