



NICCO UCO ALLIANCE CREDIT LIMITED

NICCO HOUSE, 2nd Floor, 2, Hare Street, Kolkata - 700 001

Phone : 033 4005 6499, 033 4003 5159

E-mail : mdnuacl@gmail.com, nufslcal@gmail.com

CIN : L65910WB1984PLC037614

Date: 13.01.2025

The Secretary
BSE Limited
P J Towers, 25th Floor
Dalal Street
Mumbai 400001

Dear Sir,

Scrip Code 523209

Sub: Compliance of Provisions of Regulation 3(5) and 3(6) of Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015.

In compliance of Regulation 3(5) and 3(6) of Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015, we are enclosing herewith certificate dated 13.01.2025 issued by Madhuri Pandey, Practicing Company Secretary having Membership No. F11975 and COP No. 21988 in a format prescribed by BSE, confirming the compliance of Regulation 3(5) and 3(6) of Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015 for the quarter ended on 31st December, 2024.

This is for your information and records.

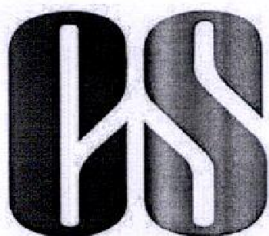
Please acknowledge receipt.

Thanking you,
Yours faithfully,
For Nicco Uco Alliance Credit Ltd

(S S Majumdar)
Company Secretary & Compliance Officer
ICSI Memb. No.ACS 1484



Encl: As above



MADHURI PANDEY

Practicing Company Secretary

F.C.S., B. Com (Hons.), L.L.B

Address: Security House, Suite No. 115
1st Floor, 23B N.S. Road, Kolkata 700001

Email Id: csmadhuripandey@gmail.com

Contact details: +91 86975 30112

COMPLIANCE CERTIFICATE FOR THE QUARTER ENDED

31st DECEMBER, 2024

(Pursuant to Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015)

I, Madhuri Pandey, Practicing Company Secretary, am aware of the compliance requirement of Structured Digital Database (SDD) pursuant to provisions of Regulation 3(5) and 3(6) of Securities and Exchange Board of India (Prohibition of Insider Trading) Regulations, 2015 (PIT Regulations) and I certify that

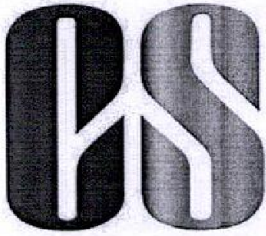
1. the Company has a Structured Digital Database in place
2. control exists as to who can access the SDD
3. all the UPSI disseminated in the previous quarter have been captured in the Database
4. the system has captured nature of UPSI along with date and time
5. the database has been maintained internally and an audit trail is maintained
6. the database is non-tamperable and can maintain the records for 8 years.

I also confirm that the Company was required to capture 2 events during the quarter ended and has captured all of the said required events.

I would like to report that the following non-compliance(s) was observed in the previous quarter and the remedial action(s) taken along with timelines in this regard:

The Company has received caution letter from BSE for non-compliant with provision of Reg. 3(5) and/or Reg. 3(6) of SEBI (Prohibition of Insider Trading) Regulations, 2015. The details are specified below:





MADHURI PANDEY

Practising Company Secretary

F.C.S., B. Com (Hons.), L.L.B

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1st Floor, 23B N.S. Road, Kolkata 700001*

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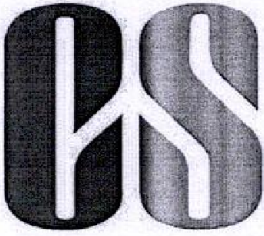
Date of receiving caution letter	Particulars of letter	Remedial action taken by the Company
17.10.2024	The Company continues to be non-compliant with provisions of Reg. 3(5) and/or Reg. 3(6) of SEBI (Prohibition of Insider Trading) regulations, 2015 as per the certifications provided/Exchange Verification of Compliances/ Non-submission of required certification. It was also noted that non-compliance will be viewed seriously and liable for enforcement action under the extent legal framework.	The Company has already submitted a reply to the letter on 30.10.2024 and also replied on the BSE Dashboard explaining the reasons for delay in compliance by the Company stating that the SDD Software was installed in the Company's system on 28.09.2023 only. A Copy of the said reply is attached herewith.

For NICCO UCO ALLIANCE CREDIT LIMITED



Madhuri Pandey,
Practising Company Secretary
Membership No: F11975
COP No: 21988
UDIN:

Date: 13/01/2025
Place: Kolkata



MADHURI PANDEY

Practising Company Secretary

F.C.S., B. Com (Hons.), L.L.B

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NICCO U
NICCO HOUSE
Phone : 033 4
E-mail : mdnu @
CIN : L65910

EN0895675911N INR:69870895575911ND
SP KOLKATA GPO (700001)
Counter No:7,30/10/2024,17:
To:MS KAMALA KANTHA RAJ,
PIN:400001, Mumbai GU
From:DIR NICCO,CREDIT LTD.
Wt:93gms
Amt:70.80,Tax:10.80,Amt.Paid:71.00(Cash)
<Track on www.indiapost.gov.in>

30/10/2024

Ms. Kamala Kantha Raj,
Chief Regulatory Officer,
Listing Compliance
BSE Ltd.
25th Floor, P.J.Towers,
Dalal Street,
Mumbai – 400 001.

Sub: **Caution letter for Non-compliance of Structured Digital Database (SDD) observed in the Company**

Dear Madam,

We acknowledge the receipt of your letter No. LIST/COMP/VB/0922/2024-25 dated 17/10/2024 which was received at this office (over Speedpost) on 29/10/2024, the contents of which have been noted by us.

After perusal of your letter, we have also noted that we have been advised /cautioned to provide SDD Compliance Status latest by 31st October, 2024, although we have received your letter today only.

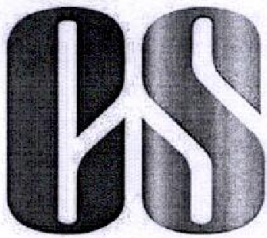
On receipt of your letter and in this connection, we would like to bring to your kind notice the undernoted information:-

- 1) Structural Digital Database (SDD) Software was installed in our system on 28/09/2023 only.
- 2) A certificate stating that the software was successfully installed and functioning was issued by our Practising Company Secretary Ms. Madhuri Pandey and we are enclosing Acknowledgement No. 28112023774794 for quarterly compliance.
- 3) We submitted the names and other particulars including PAN Nos. of the officials of the Company who will have access to the unpublished price sensitive information on 29/07/2024 on NSDL portal and SDD software as well.

As required there were total 8 (eight) UPSI entries made in the SDD software.

- The trading of the shares have been suspended by the Exchange and as a result there were no trading in the shares for uploading in the said software.
- We received communication shown in BSE Listing Centre dashboard dated 26/07/2024 for mismatch of PAN of designated persons – we corrected the PAN details on NSDL issuer portal





MADHURI PANDEY

Practicing Company Secretary

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dated 29/07/2024. We are also enclosing the screen shot of designated persons list in NSDL issuer portal and SDD software.

- As our trading is suspended we have very few UPSI transactions in our company, other than financial result and audit reports shared with our Auditor, Directors and key managerial persons
- There were some arrears in feeding the contents of the aforesaid returns filed with the Exchange which has now been successfully entered into the system.

We have received few communications in the dash board of BSE Listing Centre regarding SDD non-compliance, and we have replied to all the non-compliance of SDD dated 30/10/2024 along with reasons for delay and have enclosed screen shots for your perusal.

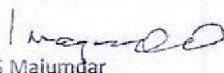
We are sharing total 8 (eight) entries in SDD software made during the period from 11/08/2023 to 30/10/2024 and we are enclosing screenshot of SDD software entries for your kind perusal and reference.

We also request you that in case you need any further clarifications regarding SDD Compliance Status, please feel free to inform / write to us.

It is our humble submission and assurance that from next quarter we will comply with SDD quarterly filings on a regular basis.

Thank you

for Nicco UCO Alliance Credit Ltd.


S S Majumdar

Company Secretary & Compliance Officer

ACS 1484

