

AMBEY LABORATORIES LIMITED

CIN: U74899DL1985PLC020490

REG. OFFICE: GROUND FLOOR, PROPERTY NO.555 TARLA MOHALLA, GHITORNI, SOUTH WEST DELHI-110030 INDIA

Contact: 9899664458, Email: accountho@ambeylab.com Website: www.ambeylab.com

Date: 18.09.2024

To,

The Head – Listing & Compliance
National Stock Exchange of India Ltd.,
Exchange Plaza, C-1, Block G,
Bandra Kurla Complex,
Bandra (E)
Mumbai – 400 051

Ref: Notice for non-compliance with SEBI (LODR) Regulations, 2015 vide NSE notice “NSE/LIST-SOP/COMB/FINES/1080 dated September 13, 2024 received via email dated September 16, 2024.

Subject: Disclosure pursuant to Regulation 30 (13) of the Securities and Exchange Board of India (Listing Obligation and Disclosure Requirements) Regulations, 2015

Dear Sir/ Madam,

Pursuant to Regulation 30 of SEBI Listing Regulations, we would like to inform you that the National Stock Exchange of India Limited (“NSE”) has vide their communication dated September 16, 2024 (“Exchange Letter”) - (Copy enclosed as **Annexure-2**), imposed fine regarding Regulation 33 SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015.

We would like to bring to your attention that we received two letters from the exchange: one on 13.09.2024 mentioning fine amounting to Rs. 1,71,100 via email (**Attached in Annexure-1**), and another on 16.09.2024 in the late evening, mentioning fine amounting to Rs. 218,300 (**Email Attached in Annexure-2**). We immediately contacted the exchange on the same day i.e., on 16.09.2024 for clarification but were unable to get a response due to the late business hours. On the following day, 17.09.2024, we contacted the exchange again, and they confirmed that the letter dated 16.09.2024 should be considered as the final **Notice for non-compliance with SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 (“Listing Regulations”)**.

Accordingly, we have complied with the disclosure requirements under Regulation 30 concerning the Notice for non-compliance with SEBI (LODR) Regulations, 2015, as per the NSE notice “NSE/LIST-SOP/COMB/FINES/1080.”

We have been continuously trying our best to comply with the SEBI LODR compliances and putting all our best efforts.

Kindly take the same in your records.

Thanking you

For: AMBEY LABORATORIES LIMITED



Rimple Sarin
Designation: Company Secretary
Membership No: A66345



Fwd: AMBEY - Notice for non-compliance with SEBI (LODR) Regulations, 2015

2 messages

Annexure-1
Fri, Sep 13, 2024 at 6:34 PM

Company Secretary <cs@ambeylab.com>
To: Himani Aneja <cshimanianeja@gmail.com>

PFA trail mail.

Thanks & Regards,

Rimple Sarin

Company Secretaries

Mob: +91 88601 43941



Ambey Laboratories Limited

Corp. Off.: B-18/9, 2nd Floor,
DLF Phase 1, Gurgaon,
Haryana - 122003 (India)
Landline: 0124-4000788 | Website: www.ambeylab.com

----- Forwarded message -----

From: Harshita Chaubal (LISCO - OPS) <charshita@nse.co.in>
Date: Fri, Sep 13, 2024 at 6:29 PM
Subject: AMBEY - Notice for non-compliance with SEBI (LODR) Regulations, 2015
To: cs@ambeylab.com <cs@ambeylab.com>
Cc: Aseem Sehgal (LISCO - OPS) <asehgal@nse.co.in>, Rachna Jha (LISCO - OPS) <rja@nse.co.in>, Sonam Yadav (LISCO - OPS) <sonamy@nse.co.in>, Madhu Kadam (LISCO) <mkadam@nse.co.in>, DL-LISTINGSOP <listingSOP@nse.co.in>

Dear Sir/Madam,

As per the captioned subject, please find attached herewith notice issued by the Exchange.

This is for your information and necessary action in this regard.

Regards,

Harshita Chaubal

Deputy Manager- Listing Compliance

National Stock Exchange of India Limited (NSE)

Exchange Plaza, Bandra Kurla Complex, Bandra East, Mumbai - 400051

email id; charshita@nse.co.in; www.nseindia.com



Disclaimer note on content of this message including enclosure(s) and attachments(s): The contents of this e-mail are the privileged and confidential material of National Stock Exchange of India Limited (NSE). The information is solely intended for the individual/entity it is addressed to. If you are not the intended recipient of this message, please be aware that you are not authorized in any which way whatsoever to read, forward, print, retain, copy or disseminate this message or any part of it. If you have received this e-mail in error, we would request you to please notify the sender immediately by return e-mail and delete it from your computer. This e-mail message including attachment(s), if any, is believed to be free of any virus and NSE is not responsible for any loss or damage arising in any way from its use.

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Non-Confidential



Annexure-2

Wed, Sep 18, 2024 at 6:44 PM

Company Secretary <cs@ambeylab.com>
To: Himani Aneja <cshimanianeja@gmail.com>

PFA trailing mail

----- Forwarded message -----

From: Harshita Chaubal (LISCO - OPS) <charshita@nse.co.in>
Date: Mon, 16 Sep, 2024, 5:29 pm
Subject: AMBEY - Notice for non-compliance with SEBI (LODR) Regulations, 2015
To: cs@ambeylab.com <cs@ambeylab.com>
Cc: Rachna Jha (LISCO - OPS) <rja@nse.co.in>, Sonam Yadav (LISCO - OPS) <sonamy@nse.co.in>, Madhu Kadam (LISCO) <mkadam@nse.co.in>, Aniket Raut (LISCO - OPS) <araut@nse.co.in>

Dear Sir/Madam,

Please find attached herewith revised letter.

Regards,

Harshita Chaubal

Deputy Manager- Listing Compliance

National Stock Exchange of India Limited (NSE)

9/18/24, 7:21 PM

Gmail - Fwd: AMBEY - Notice for non-compliance with SEBI (LODR) Regulations, 2015

Exchange Plaza, Bandra Kurla Complex, Bandra East, Mumbai - 400051

email id; charshita@nse.co.in; www.nseindia.com



Non-Confidential

From: Harshita Chaubal (LISCO - OPS) <charshita@nse.co.in>

Sent: Friday, September 13, 2024 6:29 PM

To: cs@ambeylab.com

Cc: Aseem Sehgal (LISCO - OPS) <asehgal@nse.co.in>; Rachna Jha (LISCO - OPS) <rjha@nse.co.in>; Sonam Yadav (LISCO - OPS) <sonamy@nse.co.in>; Madhu Kadam (LISCO) <mkadam@nse.co.in>; DL-LISTINGSOP <listingSOP@nse.co.in>

Subject: AMBEY - Notice for non-compliance with SEBI (LODR) Regulations, 2015

Dear Sir/Madam,

As per the captioned subject, please find attached herewith notice issued by the Exchange.

This is for your information and necessary action in this regard.

Regards,

Harshita Chaubal

Deputy Manager- Listing Compliance

National Stock Exchange of India Limited (NSE)

Exchange Plaza, Bandra Kurla Complex, Bandra East, Mumbai - 400051

email id; charshita@nse.co.in; www.nseindia.com



Non-Confidential

[Quoted text hidden]

3 attachments





National Stock Exchange Of India Limited

NSE/LIST-SOP/COMB/FINES/1080

September 13, 2024

The Company Secretary
Ambey Laboratories Limited
 Ground Floor, Property No.555,
 Tarla Mohalla, Ghitorni,
 South West Delhi, New Delhi - 110030

Dear Sir/Madam,

Subject: Notice for non-compliance with SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 (“Listing Regulations”)

Your attention is drawn towards SEBI Circular No. SEBI/HO/CFD/PoD2/CIR/P/2023/120 dated July 11, 2023 (hereinafter referred to as “Master Circular”), specifying Standard Operating Procedure for imposing fines and suspension of trading in case of non-compliance with the Listing Regulations. On verification of the Exchange records, it has been observed that your Company has not complied/delayed complied with certain Listing Regulation(s). The details of non-compliance(s)/delayed compliance(s), total fine payable by your Company and the particulars about manner in which fine should be remitted to the Exchange is enclosed as **Annexure**.

You are requested to inform the Promoters about identified non-compliance/delayed compliance and to ensure compliance with respective regulation(s) and/or make the payment of fines within 15 days from the date of this notice, failing which the Exchange may initiate following actions as per Master Circular:

1. Initiate freezing of entire shareholding of the Promoters in the Company as well as in other securities held in the Demat account of the Promoters.
2. Trading in securities of your Company shall take place on a ‘Trade for Trade’ basis, in case of consecutive default with Regulations 33 of the Listing Regulations i.e., Shifting of trading in securities to Z Category as per Master Circular.

You may also file request for waiver of fines with detailed submission indicating reasons for waiver, considering the extant Policy for Exemption of Fines, and shall indicate whether it intends to seek personal hearing before the concerned Committee. The Company may file request for waiver of fines levied.

However, before filing an application for waiver of fines, you are requested to refer to the below policies available on the Exchange’s website. For ready reference you may refer below links:

i. Policy on exemption of fine:

https://archives.nseindia.com/content/equities/Policy_for_exemption_SOP_Equity.pdf

This Document is Digitally Signed



Signer: RACHNA JHA
 Date: Fri, Sep 13, 2024 16:41:37 IST
 Location: NSE

National Stock Exchange Of India Limited**ii. Policy on processing of waiver application:**

https://static.nseindia.com/s3fs-public/inlinefiles/Policy_on_processing_of_waiver_application_segregation_of_commonly_listed_entities.pdf

The request for waiver of fine can be submitted to Exchange through NEAPS portal along with documentary evidence on the below link:

NEAPS>>Compliance>>Fine Waiver>>Waiver Request.

Further, as per Master Circular, your Company is also required to ensure that the said non-compliance which has been identified by the Exchange and subsequent action taken by the Exchange in this regard shall be placed before the Board in the next Board Meeting and comments made by the Board shall be duly informed to the Exchange at the below mentioned path in NEAPS portal along with this letter for dissemination having the announcement text as 'Board comments on fine levied by the Exchange'.

Path: NEAPS > COMPLIANCE > Announcements > Announcements/ CA (Subject: Updates)

In case of any clarification, you may contact any of the below mentioned Exchange Officers from Listing Compliance Department: -

- Ms. Harshita Chaubal
- Ms. Sonam Yadav
- Mr. Aniket Raut
- Ms. Madhu Kadam

Yours faithfully

For **National Stock Exchange of India Limited**

Rachna Jha
Manager

This Document is Digitally Signed



Signer: RACHNA JHA
Date: Fri, Sep 13, 2024 16:41:37 IST
Location: NSE

Annexure

Regulation	Quarter / Month	Fine amount per day / per instance (Rs.)	Days of non-compliance / No. of instance	Fine amount (Rs.)
33	30-Jun-2024	5000	29	145000
Total Fine				145000
GST (@18%)				26100
Total				171100*

* In case the Company is non-compliant as on the date of this letter then fine amount will keep on increasing every day till the date compliance is achieved.

Notes:

- If the fine amount is paid before receipt of this letter, then inform the Exchange accordingly.
- Please update the payment details on below mentioned path:
NEAPS > Payment > SOP Fine Payment.
- The above payment may be made vide RTGS / NEFT / Net Banking favouring 'National Stock Exchange of India Limited'. The bank details towards the payment of fine are as follows:

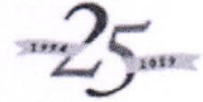
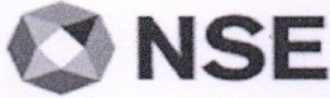
BENEFICIARY NAME	NATIONAL STOCK EXCHANGE OF INDIA LIMITED
BANK NAME	IDBI BANK LTD
A/C NO	Please refer Unique Account Code used for making Annual Listing fees to the Exchange
BRANCH	BANDRA KURLA COMPLEX, MUMBAI
RTGS/IFSC CODE	IBKL0001000

- The fine paid as above will be credited to IPFT as envisaged in the circular.

This Document is Digitally Signed



Signer: RACHNA JHA
Date: Fri, Sep 13, 2024 16:41:37 IST
Location: NSE



National Stock Exchange Of India Limited

NSE/LIST-SOP/COMB/FINES/1080

September 13, 2024

The Company Secretary
Ambey Laboratories Limited
 Ground Floor, Property No.555,
 Tarla Mohalla, Ghitorni, South West Delhi,
 New Delhi - 110030

Dear Sir/Madam,

Subject: Notice for non-compliance with SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 ("Listing Regulations")

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2. Trading in securities of your Company shall take place on a 'Trade for Trade' basis, in case of consecutive default with Regulations 33 of the Listing Regulations i.e., Shifting of trading in securities to Z Category as per Master Circular.

You may also file request for waiver of fines with detailed submission indicating reasons for waiver, considering the extant Policy for Exemption of Fines, and shall indicate whether it intends to seek personal hearing before the concerned Committee. The Company may file request for waiver of fines levied.

However, before filing an application for waiver of fines, you are requested to refer to the below policies available on the Exchange's website. For ready reference you may refer below links:

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National Stock Exchange Of India Limited

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ii. Policy on processing of waiver application:

https://static.nseindia.com/s3fs-public/inlinefiles/Policy_on_processing_of_waiver_application_segregation_of_commonly_listed_entities.pdf

The request for waiver of fine can be submitted to Exchange through NEAPS portal along with documentary evidence on the below link:

NEAPS>>Compliance>>Fine Waiver>>Waiver Request.

Further, as per Master Circular, your Company is also required to ensure that the said non-compliance which has been identified by the Exchange and subsequent action taken by the Exchange in this regard shall be placed before the Board in the next Board Meeting and comments made by the Board shall be duly informed to the Exchange at the below mentioned path in NEAPS portal along with this letter for dissemination having the announcement text as 'Board comments on fine levied by the Exchange'.

Path: NEAPS > COMPLIANCE > Announcements > Announcements/ CA (Subject: Updates)

In case of any clarification, you may contact any of the below mentioned Exchange Officers from Listing Compliance Department: -

- Ms. Harshita Chaubal
- Ms. Sonam Yadav
- Mr. Aniket Raut
- Ms. Madhu Kadam

Yours faithfully

For **National Stock Exchange of India Limited**

Rachna Jha

Rachna Jha
Manager



Annexure

Regulation	Quarter / Month	Fine amount per day / per instance (Rs.)	Days of non-compliance / No. of instance	Fine amount (Rs.)
33	30-Jun-2024	5000	37	185000
Total Fine				185000
GST (@18%)				33300
Total				218300*

* In case the Company is non-compliant as on the date of this letter then fine amount will keep on increasing every day till the date compliance is achieved.

Notes:

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- Please update the payment details on below mentioned path:
NEAPS > Payment > SOP Fine Payment.
- The above payment may be made vide RTGS / NEFT / Net Banking favouring 'National Stock Exchange of India Limited'. The bank details towards the payment of fine are as follows:

BENEFICIARY NAME	NATIONAL STOCK EXCHANGE OF INDIA LIMITED
BANK NAME	IDBI BANK LTD
A/C NO	Please refer Unique Account Code used for making Annual Listing fees to the Exchange
BRANCH	BANDRA KURLA COMPLEX, MUMBAI
RTGS/IFSC CODE	IBKL0001000

- The fine paid as above will be credited to IPFT as envisaged in the circular.