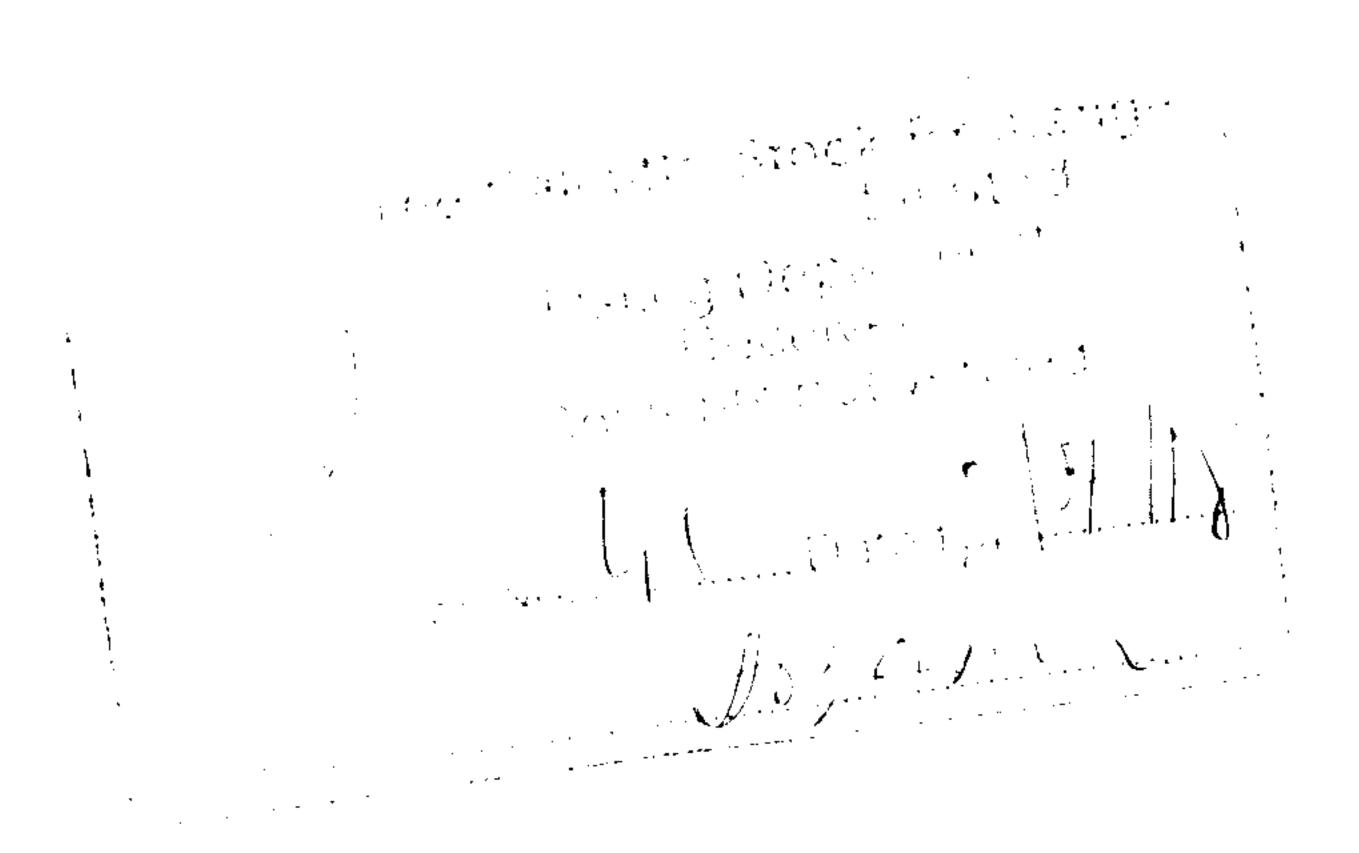


## SMIFS CAPITAL MARKETS LIMITED

July 3, 2018

The Secretary
The Calcutta Stock Exchange Limited
7, Lyons Range
Kolkata -700 001



Dear Sir,

Sub: Regulation 27 of the Listing Agreement - Corporate Governance

Enclosed please find the quarterly compliance report on Corporate Governance for the quarter ended June 30, 2018 for your kind reference and record.

Please acknowledge.

Yours faithfully, For SMIFS CAPITAL MARKETS LIMITED

aconam

bulus

(Poonam Bhatia)

Company Secretary-cum-Senior Manager Legal

Encl: a/a

Validate

General informat	tion about company
Scrip code	508905
NSE Symbol	
MSEI Symbol	
ISIN	INE641A01013
Name of the entity	SMIFS CAPITAL MARKETS LIMITED
Date of start of financial year	01-04-2018
Date of end of financial year	31-03-2019
Reporting Quarter	Quarterly
Date of Report	30-06-2018
Risk management committee	Not Applicable

Prev

Next

Certified True Copy

FOR SMIFS CAPITAL MARKETS LIMITED

							Anne	xure I)
						Ann	exure I to be submitted by	listed entity on qu
							I. Composition of	Board of Directors
			Disclosure of	notes on composit	tion of board of directors explanatory	Add Notes		
		Is there	any change in informa	tion of board of d	irectors compare to previous quarter			
Sr	Titlé (Mr / Ms)	Name of the Director	PAN	DIN	Category 1 of directors	Category 2 of directors	Category 3 of directors	Date of appointmen in the current term
8	Add	Delete				<u> </u>		
1	Mr	UTSAV PAREKH	AGHPP4467H	00027642	Nbn-Executive - Non Independent Director	Chairperson		12-12-201
2	Mr	KIŞHOR SHAH	AIQPS4268J	00170502	Executive Director	Not Applicable	MD	01-04-201
3	Mr	AJAY KUMAR KAYAN	AGGPK0829G	00239123	Non-Executive - Non Independent Director	Not Applicable		25-09-201
	Mrs	RAMESH MAHESHWARI	AEXPM8916N	00170811	Non-Executive - Independent Director	Not Applicable		20-09-201
4					Non-Executive - Independent	Not Applicable	Shareholder Director	
	Mr	SANTOSH KUMAR MUKHERJEE	AFAPM3116N	00170646	Director	I wor ubbureasic	Stidi etiolidei Dil ectoi	20-09-201
5	Mr	SANTOSH KUMAR MUKHERJEE RAMYA HARIHARAN	AFAPM3116N ABMPH5112M	06928511	Non-Executive - Independent Director	Not Applicable	Shareholder billector	20-09-2014

Prev

Certified True Copy

FOR SMIFS CAPITAL MARKETS LIMITED

loonan Blace

/ basis						
Date of cessation	Tenure of director (in months)	No of Directorship in listed entities including this listed entity (Refer Regulation 25(1) of Listing Regulations)	Number of memberships in Audit/ Stakeholder Committee(s)lincluding this listed entity (Refer Regulation 26(1) of Listing Regulations)	No of post of Chairperson in Audit/ Stakeholder Committee held in listed entities including this listed entity (Refer Regulation 26(1) of Listing Regulations)	Notes for not providing PAN	Notes for not providing
*						
· · · · · · · · · · · · · · · · · · ·		1		3		
V		, ,	3	0		
<del> </del>					the state of the s	
- y		1	0			
	60	1	0	0.		
	60	. 1		2		
						1
	60	3	4	. 0		*

Certified True Committee
For SMIFS CAPITAL MARKETS LIMITED

(POONAM BHATIA)

Annexuré 1	
II. Composition of Committees	
Disclosure of notes on composition of committees explanatory	Add Notes
Is there any change in information of committees compare to previous quarter	

Sr	DIN Number	Name of Committee members	Category 1 of directors	Category 2 of directors	Remarks
1	00170646	MR. SANTOSH KUMAR MUKHERJEE	Non-Executive - Independent Director	Chairperson	
2	00027642	MR.UTSAV PAREKH	Non-Executive - Non Independent Director	Member	gage vagon en 7 - 2 millor y not un appropriet i nom manages. Sabbles against announce for an innequent or constitut a face three determinance of the constitution of
3	06928511	MRS.RAMYA HARIHARAN	Non-Executive - Independent Director	Member	
4	07898390	MRS.PUSHPA MISHRA	Non-Executive - Independent Director	Member	
5					
6	the Settle-Part Physiological Control of the Settle				
7	the construint and the paper and who constitutes were a great of the paper of the paper of the paper and the paper				, 2
В	tier mann verstenning der Selben vorsten au. De selben kanne protes einstelle met der selben der selben kanne der	er Managach (ann 1982), ann i meach du mar fheir de feath a beannaíon (a' mhó ann ann an tagair a bhail an maid tha ann an tagair a bhail an tagai			C
)	Pro Matter Company of the control of				0
0					N. S.

(POONAM BHATIA)
COMPANY SECRETARY
CUM-SENIOR MANAGER LEGAL

FOR SMIFS CAPITAL MARKETS LIMITED

Poblan

Sr	DIN Number	Name of Committee members	Category 1 of directors	Category 2 of directors	Remarks
1	00170811	MR.RAMESH MAHESHWARI	Non-Executive - Independent Director	Chairperson	
2	00170646	MR. SANTOSH KUMAR MUKHERJEI	Non-Executive - Independent Director	Member	
3	06928511	MRS.RAMYA HARIHARAN	Non-Executive - Independent Director	Member	
4	07898390	MRS.PUSHPA MISHRA	Non-Executive - Independent Director	Member	

6		-
7		-
8		-
9		1
10		

Sr	DIN Number	Name of Committee members	Category 1 of directors	Category 2 of directors	Remarks
1	00170646	MR. SANTOSH KUMAR MUKHERJEE	Non-Executive - Independent Director	Chairperson	
-	00170502	MR, KISHOR SHAH	Executivé Director	Member	
and the Control	06928511	MRS.RAMYA HARIHARAN	Non-Executive - Independent Director	Member	isan salamayar salahin kapamanan as salaminingan salahadan hadan matan salamining salah salamining
	07898390	MRS.PUSHPA MISHRA	Non-Executive - Independent Director	Member	nan samuan samua angalabahan mananan mahamban mahamban angala samua samua samua samu
5	ger verweitig begreven geweit in der geschiede in der				
6		consistence of the constant of			
7	den muskkila kasases soon vas Sega in en ingestoto viste en mit den genatione in hermotenen meleksiste.	accurrents of the common children and the common co			tino assassimo summo per processo menero con menero con menero con menero con menero con menero con con con con con con con con con co
8	аво ражироварично на начите на устани инфигическу — за тобо то почет ракуна десто тока выполнять пре вознать	Appendicable for 2000 them - with the period the description of the control of th			
9		or medidaturi magan sengan sengan sengan dikerasakan sengan dagan sengan dagan sengan dan sengan sengan sengan			
10		accessment of the content of the con			9

1 2 3	Sr	DIN Number	Name of Committee members	Category 1 of directors	Category 2 of directors	Remarks
3	1	and a second control of the second control o				
3	2			addicately, climal controller. Paper of etiplements or conspilator supplementary dataset shape shape part controller appearing processor of the		
	3					The state of the s
	5					

FOR SMIFS CAPITAL MARKETS LIMITED

• Annexure 1	
Meeting of Board of Directors	
sclosure of notes on meeting of board of directors explanatory	Add Notes
Date(s) of meeting (Enter dates of Previous quarter and Current quarter in chronological order)	Maximum gap between any two consecutive (in number of days)
Add Delete	
03-02-2018	
30-05-2018	115
	Meeting of Board of Directors  sclosure of notes on meeting of board of directors explanatory  Date(s) of meeting (Enter dates of Previous quarter and Current quarter in chronological order)  Add Delete  03-02-2018

Prev

Next

Certified True Copy For SMIFS CAPITAL MARKETS LIMITED

Pooron blace

Home Validate Annexure 1 IV. **Meeting of Committees** Add Notes Disclosure of notes on meeting of committees explanatory Maximum gap Date(s) of meeting Whether Date(s) of meeting between any two of the committee in requirement of of the committee Sr Name of Committee Requirement of Quorum met consecutive Name of other committee the relevant Quorum met in the previous meetings (in quarter (Yes/No) quarter number of days) Delete 30-05-2018 1 Audit Committee Yes 115 Next For SMIFS CAPITAL MARKETS LIMITED loonan bhan (POONAM BHATIA) COMPANY SECRETARY CUM-SENIOR MANAGER LEGAL

Home Validate

	Annexure 1		
	V. Related Party Transactions		
Sr	Subject:	Compliance status (Yes/No/NA)	If status is "No" details of non-compliance may b
1	Whether prior approval of audit committee obtained	Yes	
2	Whether shareholder approval obtained for material RPT	NA	
3	Whether details of RPT entered into pursuant to omnibus approval have been reviewed by Audit Committee	Yes	
	Disclosure of notes on relate	ed party transactions	Add Notes
	Disclosure of notes of material transaction		Add Notes
Pr	ev	Certified	True Copy Next

For SMIFS CAPITAL MARKETS LIMITED

## Home Validate

	Annexure 1	
	VI. Affirmations	
Sı	Subject	Compliance status (Yes/No
1	The composition of Board of Directors is in terms of SEBI (Listing obligations and disclosure requirements) Regulations, 2015	Yes
2	The composition of the following committees is in terms of SEBI(Listing obligations and disclosure requirements) Regulations, 2015  a. Audit Committee	Yes
3	The composition of the following committees is in terms of SEBI(Listing obligations and disclosure requirements) Regulations, 2015.  b. Nomination & remuneration committee	Yes
4	The composition of the following committees is in terms of SEBI(Listing obligations and disclosure requirements) Regulations, 2015.  c. Stakeholders relationship committee	Yes
5	The composition of the following committees is in terms of SEBI(Listing obligations and disclosure requirements) Regulations, 2015.  d. Risk management committee (applicable to the top 100 listed entities)	NA
6	The committee members have been made aware of their powers, role and responsibilities as specified in SEBI (Listing obligations and disclosure requirements) Regulations, 2015.	Yes
7	The meetings of the board of directors and the above committees have been conducted in the manner as specified in SEBI (Listing obligations and disclosure requirements) Regulations, 2015.	Yes
8	This report and/or the report submitted in the previous quarter has been placed before Board of Directors.	Yes
9	Any comments/observations/advice of Board of Directors may be mentioned here:	Add Notes

Prev

Next

	Annexure 1	
Sr	Subject	Compliance status
1	Name of signatory	
2	Designation Certified True Copy	MS.PODNAM BHATIA Company Secretary and

For SMIFS CAPITAL MARKETS LIMITED

loonam

busine

Home

Validate

Signatory Details		
Name of signatory	MS.POONAM BHATIA	
Designation of person	Company Secretary and Compliance Office	
Place	KOLKATA	
Date	02-07-2018	

Prev

Certified True Copy

For SMIFS CAPITAL MARKETS LIMITED

Pooran brand