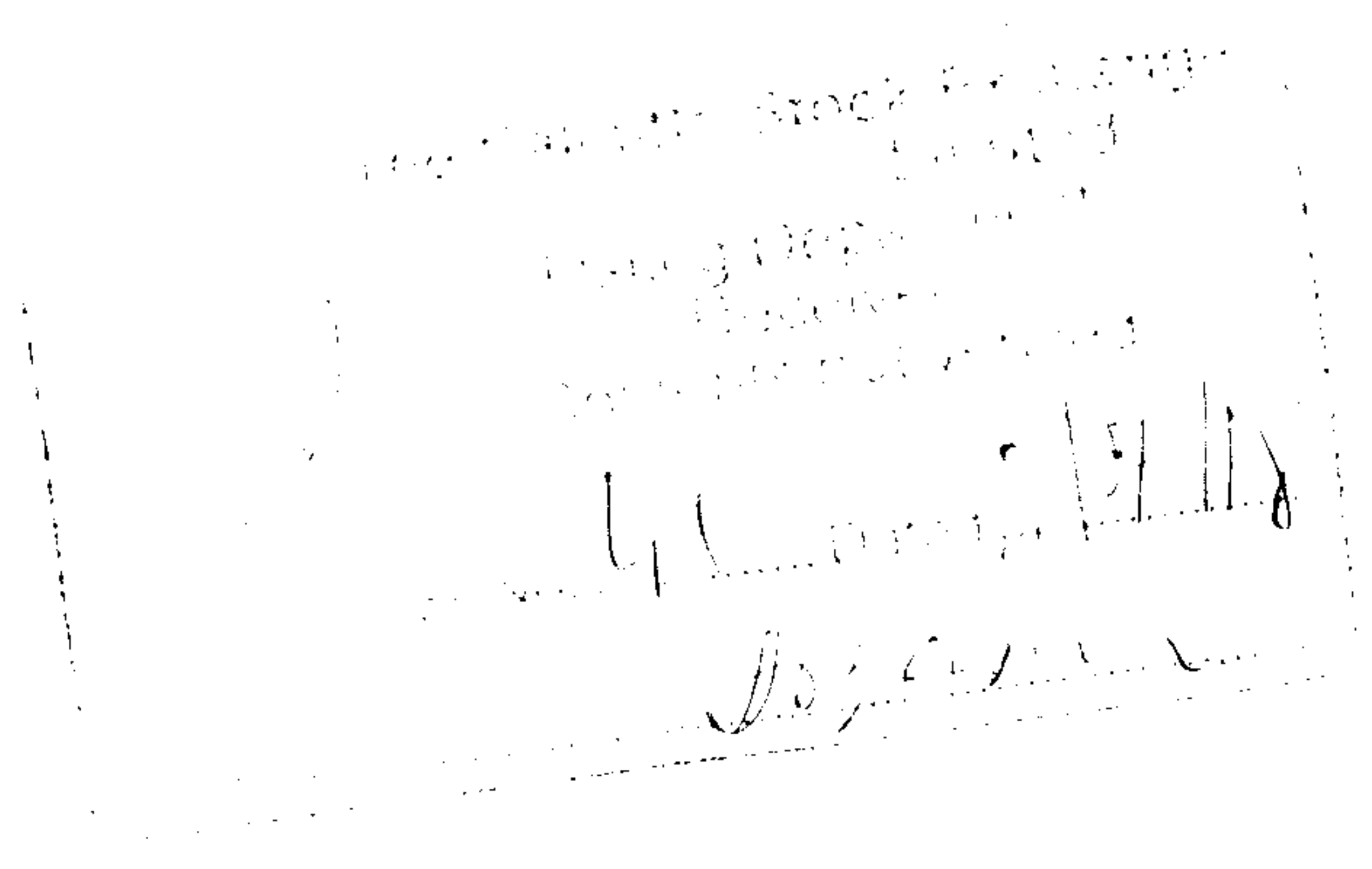




SMIFS CAPITAL MARKETS LIMITED

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

Poonam Bhatia

(Poonam Bhatia)
Company Secretary-cum-Senior Manager Legal

Encl: a/a

[Home](#)[Validate](#)**General information 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

Poonam Bhatia

(POONAM BHATIA)
COMPANY SECRETARY
CUM-SENIOR MANAGER LEGAL

Home

Validate

Annexure I

Annexure I to be submitted by listed entity on qua

I. Composition of Board of Directors

Disclosure of notes on composition of board of directors explanatory

Add Notes

Is there any change in information of board of directors compare to previous quarter

Sr	Title (Mr / Ms)	Name of the Director	PAN	DIN	Category 1 of directors	Category 2 of directors	Category 3 of directors	Date of appointment in the current term
Add		Delete						
1	Mr	UTSAV PAREKH	AGHPP4467H	00027642	Non-Executive - Non Independent Director	Chairperson		12-12-2013
2	Mr	KISHOR SHAH	AIQPS4268J	00170502	Executive Director	Not Applicable	MD	01-04-2015
3	Mr	AJAY KUMAR KAYAN	AGGPK0829G	00239123	Non-Executive - Non Independent Director	Not Applicable		25-09-2010
4	Mrs	RAMESH MAHESHWARI	AEXPM8916N	00170811	Non-Executive - Independent Director	Not Applicable		20-09-2014
5	Mr	SANTOSH KUMAR MUKHERJEE	AFAPM3116N	00170646	Non-Executive - Independent Director	Not Applicable	Shareholder Director	20-09-2014
6	Mrs	RAMYA HARIHARAN	ABMPH5112M	06928511	Non-Executive - Independent Director	Not Applicable		08-11-2014
7	Mrs	PUSHPA MISHRA	ANVPM5278L	07898390	Non-Executive - Independent Director	Not Applicable		25-09-2017

Prev

Certified True Copy

For SMIFS CAPITAL MARKETS LIMITED



(POONAM BHATIA)
COMPANY SECRETARY
CUM-SENIOR MANAGER LEGAL

rtly 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) including 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 DIN
-------------------	--------------------------------	--	---	--	-----------------------------	-----------------------------

		4	4	3		
		2	3	0		
		1	0	0		
	60	1	0	0		
	60	1	2	2		
	60	3	4	0		
	0	1	2	0		

Certified True Copy Next
For SMIFS CAPITAL MARKETS LIMITED

Poonam Bhatia

(POONAM BHATIA)
COMPANY SECRETARY
CUM-SENIOR MANAGER LEGAL

Home

Validate

Annexure 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

Audit Committee Details

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	
3	06928511	MRS.RAMYA HARIHARAN	Non-Executive - Independent Director	Member	
4	07898390	MRS.PUSHPA MISHRA	Non-Executive - Independent Director	Member	
5					
6					
7					
8					
9					
10					

Certified True Copy

For SMIFS CAPITAL MARKETS LIMITED

Poonam Bhatia
 (POONAM BHATIA)
 COMPANY SECRETARY
 CUM-SENIOR MANAGER LEGAL

Nomination and remuneration committee

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 MUKHERJEE	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	
5					

6				
7				
8				
9				
10				

Stakeholders Relationship Committee					
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	00170502	MR.KISHOR SHAH	Executive Director	Member	
3	06928511	MRS.RAMYA HARIHARAN	Non-Executive - Independent Director	Member	
4	07898390	MRS.PUSHPA MISHRA	Non-Executive - Independent Director	Member	
5					
6					
7					
8					
9					
10					

Certified True Copy

Risk Management Committee					
Sr	DIN Number	Name of Committee members	Category 1 of directors	Category 2 of directors	Remarks
1					
2					
3					
4					
5					

For SMIFS CAPITAL MARKETS LIMITED

Poonam Bhargava
(POONAM BHATIA)
COMPANY SECRETARY
CUM-SENIOR MANAGER LEGAL

[Home](#)[Validate](#)**Annexure 1****III. Meeting of Board of Directors**

Disclosure of notes on meeting of board of directors explanatory		Add Notes
Sr	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		
1	03-02-2018	
2	30-05-2018	115

[Prev](#)[Next](#)

Certified True Copy
For SMIFS CAPITAL MARKETS LIMITED

Poonam Bhatia

(POONAM BHATIA)
COMPANY SECRETARY
CUM-SENIOR MANAGER LEGAL

Home

Validate

Annexure 1

IV. Meeting of Committees

Disclosure of notes on meeting of committees explanatory

Add Notes

Sr	Name of Committee	Date(s) of meeting of the committee in the relevant quarter	Whether requirement of Quorum met (Yes/No)	Requirement of Quorum met	Date(s) of meeting of the committee in the previous quarter	Maximum gap between any two consecutive meetings (in number of days)	Name of other committee
1	Audit Committee	30-05-2018	Yes	3	03-02-2018	115	

Add

Delete

Prev

Certified True Copy

For SMIFS CAPITAL MARKETS LIMITED

Poonam Bhatia
 (POONAM BHATIA)
 COMPANY SECRETARY

CUM-SENIOR MANAGER LEGAL

Next

Home

Validate

Annexure 1

V. Related Party Transactions

Sr	Subject	Compliance status (Yes/No/NA)	If status is "No" details of non-compliance may be given here.
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 related party transactions			Add Notes
Disclosure of notes of material transaction with related party			Add Notes

Prev

Certified True Copy

Next

For SMIFS CAPITAL MARKETS LIMITED

Poonam Bhatia
(POONAM BHATIA)
COMPANY SECRETARY
CUM-SENIOR MANAGER LEGAL

Home

Validate

Annexure 1

VI. Affirmations

Sr	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	MS. POONAM BHATIA
2	Designation	Company Secretary and Compliance Officer

Certified True Copy

For SMIFS CAPITAL MARKETS LIMITED

Poonam Bhatia
 (POONAM BHATIA)
 COMPANY SECRETARY
 CUM-SENIOR MANAGER LEGAL

[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

Poonam Bhatia
(POONAM BHATIA)
COMPANY SECRETARY
CUM-SENIOR MANAGER LEGAL