

## SMIFS CAPITAL MARKETS LIMITED

July 3, 2020

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, 2020 for your kind reference and record.

Please acknowledge.

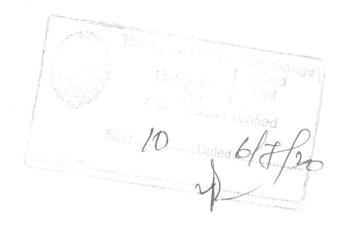
Yours faithfully, For SMIFS CAPITAL MARKETS LIMITED

(Poonam Bhatia)

Company Secretary-cum-Senior Manager Legal

Encl: a/a





Home

Validate

Import XML

General information about company						
Scrip code	508905					
NSE Symbol						
MSEI Symbol						
ISHN &	INE641A01013					
Name of the entity	SMIFS CAPITAL MARKETS LIMITED					
Date of start of financial year	01-04-2020					
Date of end of financial year	31-03-2021					
Reporting Quarter	Quarterly					
Date of Report	30-06-2020					
Risk management committee	Not Applicable					
Market Capitalisation as per immediate previous Financial Year	Any other					

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For SMIFS CAPITAL MARKETS LIMITED

(POONAM BHATIA)

(POONAM BHATIA)

COMPANY SECRETARY

COMPANY SECRETARY

CUM-SENIOR MANAGER LEGAL

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									Annexure I to be su
				1 1 1					I. Com
			Disclosure of	notes on composi	tion of board of directors explanator	Add Notes			
				Wether the I	sted entity has a Regular Chairperson	Yes Yes			
		7		Whethe	Chairperson is related to IMD or CEC	No No			
Sr	Title (Mr/ Ms)	Name of the Director	PAN	DIN	Category 1 of directors	Cetegory 2 of directors	Category 3 of directors	Date of Birth	Whather special resolution passed? [Refer Reg. 17(1A) of Listin Regulations]
	Add	Delete				1			
1	Mr	UTSAV PAREKH	AGHPP4467H	00027642	Non-Executive - Non Independent Director	Chairperson	I	28-08-1956	NA .
2	Mr	KISHOR SHAH	AIQPS4268J	00170502	Executive Director	Not Applicable		30-08-1956	
3	Mr	AJAY KUMAR KAYAN	AGGPK0829G	00239123	Non-Executive - Non Independent Director	Not Applicable		28-04-1957	NA NA
	Mr	RAMESH MAHESHWARI	AEXPM8916N	00170811	Non-Executive - Independent Director	Not Applicable		25-12-1932	Yes
	Mr	SANTOSH KUMAR MUKHERJEE	AFAPM3116N	00170646	Non-Executive -Independent Director	Not Applicable	Shareholder Director	24-03-1947	Yes
5	Mrs	PUSHPA MISHRA	ANVPM5278L	07898390	Non-Executive -Independent Director	Not Applicable	Shareholder Director	11-06-1972	Yes

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For SMIFS CAPITAL MARKETS LIMITED

(POONAM BHATIA)

COMPANY SECRETARY

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Annexure I										
itted by listed entity on	quarterly basis									
tion of Board of Directo	rs									
					4-14-1			+		
Date of passing special	Initial Date of appointment	Date of Re-	Date of cossation	Tenure of director (in	No of Directorship in listed entitles including this listed entity (Refer	this listed entity	Number of memberships in Audit/ Stakeholder Committee(s) including this listed entity (Rafer	No of post of Chairperson in Audit/ Stakeholder Committee held in listed entities including this listed	Notes for not providing	Nates for not providin
				months)	Regulation 17A of Listing Regulations)	(Refer Regulation 17A(1) of Listing Regulations	Regulation 26(1) of Listing Regulations	entity (Refer Regulation 26(1) of Listing Regulations)	<b>7711</b>	Zin
										-
	28-05-1990,		,		5	4	3	4		, , , , , , , , , , , , , , , , , , ,
	31-01-2002				1	a	1	0		
	30-06-2007				1	0	0	0		
16-01-2019	10-07-1990	01-04-2019		60	2	2	0	0		
6-01-2019	16-09-2006	01-04-2019		60	1	1	0	0		

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(POONAM BHATIA)
COMPANY SECRETARY
CUM-SENIOR MANAGER LEGAL
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Annexure 1	
II. Composition of Committees	
Disclosure of notes on composition of committees explanatory	Add flote:

For this quarter kindly note the following poir si

Date of Appointment and Date of Cessation (if applicable) must be mandate

2. Date of Appointment, can be any day upto June 30, 2020.

3. Date of Cassation must be for the current quarter only, i.e. October 1,2019

Note: Please enter DIN. After entering DIN, Name of Committee members and Category 1 of Directors shall be prefilled automatically

Auc	dit Committee Details						
			Whether	the Audit Committee has a Regular Chairperson	Yes		
Sr	DIN Number	Name of Committee members	Category 1 of directors	Category 2 of directors	Date of Appointment	Date of Cossaticus	Remarks
1	00170646	SANTOSH KUMAR MUKHERJEE	Non-Executive - Independent Director	Chairperson	01-04-2019		
2	00027642	UTSAV PAREKH	Non-Executive - Non Independent Director	Member	28-05-1990		
3	07898390	PUSHPA MISHRA	Non-Executive - Independent Director	Member	25-09-2017		
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Note: Please enter DIN. After entering DIN, Name of Committee members and Category 1 of Directors shall be prefilled automatically

			Whether the Nomination and re	muneration committee has a Regular Chairperson	Yes		
Sr	DIN Number	Name of Committee members	Category 1 of directors	Category 2 of directors	Date of Appointment	Date of Cessation	Remarks [
1	00170811	RAMESH MAHESHWARI	Non-Executive - Independent Director	Chairperson	01-04-2019		
2	00170646	SANTOSH KUMAR MUKHERJEE	Non-Executive - Independent Director	Member	01-04-2019		
3	07898390	PUSHPA MISHRA	Non-Executive - Independent Director	Member	25-09-2017		
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Note: Please enter DIN, After entering DIN, Name of Committee members and Category 1 of Directors shall be prefilled automatically

1072310001223	halders Relationship	Committee					
			Whether the Stakeholders Rela	tionship Committee has a Regular Chairperson	Yes		
Sr	DIN Number	Name of Committee Internbers	Category 1 of directors	Category ? of directors	Date of Appointment	Date of Consulting	Remarks

1	00170646	SANTOSH KUMAR MUKHERIEE	Non-Executive - Independent Director	Chairperson	01-04-2019	
2	00170502	KISHOR SHAH	Executive Director	Member	01-04-2018	AL.
3	07898390	PUSHPA MISHRA	Non-Executive - Independent Director	Member	25-09-2017	
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10		V. C. C.		100		

Risk M	sk Management Committee										
			Whether the Risk Manage	ment Committee has a Regular Chairperson	No						
Sr	DIN Number	Name of Committee members	Category 1 of directors	Category 2 of directors	Dete of Appointment	Date of Cessation	Remarks				
1	7 18 3 2 18 2 18 2 18 2 18 2 18 2 18 2 18										
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rpora	rte Social Respons	ibility Committee						rified 'L'
Whether the Corporate Social Responsibility Committee has a Regular Chairpetson				No		Ce	tified True Cor SCAPITAL MARKETS LIM	
	DIN Number	Name of Committee members	Category 1 of directors	Category 2 of directors	Date of Appointment	Date of Cessation	Reinarks	(POONAM BHATIA)  COMPANY SECRETAF  COMPANY SECRETAF  M-SENIOR MANAGER
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				and the control of th	The same of the sa	AND THE RESIDENCE OF THE PARTY	CN	IM-SEIVIO

Sir	DIN Number	Name of Committee members	Name of other committee	Cetegory 1 of directors	Category 2 of directors	Remarks	
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xi y filled for every Committee

to December 31,2019.

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For SMIFS CAPITAL MARKETS LIMITED:

PROGRAMMENTAL

PROGRAMME (POONAM BHATIA)
COMPANY SECRETARY
CUM-SENIOR MANAGER LEGAL

		A	nnexure 1			
111.	Meeting of Board of Directors					
	Disclosure of notes on meeting of board of direct	ctors explanatory	Add No	tes		
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)	Notes for not providing Date	Whether requirement of Quorum met (Yes/No)	Number of Directors	No. of independent Directors attending the meeting*
	Add Delete					
1	12-02-2020			Yes	6	
2	30-06-2020	138		Yes	6	

\* to be filled in only for the current quarter meetings

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For SMIFS CAPITAL MARKETS LIMITED

Phraue , (POONAM RHATIA)
COMPANY SECRETARY
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			1	Annexure 1  Meeting of Committee				
1 Audit	COULUMEGE	Date(s) of meeting (Enter dates of Previous quarter and Current quarter in chronological order)	between any two	Disclosure	of notes on meeting	of committees explanatory Whether requirement of Quorum met (Yes/No)	Number of	No. of Independe

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For SMIFS CAPITAL MARKETS LIMITED

(POONAM BHATIA)
COMPANY SECRETARY CUM-SENIOR MANAGER LEGAL

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	Annexure 1			
V. Related Party Transactions				
Sn	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 relate	d party transactions	Add Notes	
	Disclosure of notes of material transaction	on with related party	Add Notes	

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(POONAM BHATIA)

COMPANY SECRETARY

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	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 abligations and disclosure requirements) Regulations, 2015.  c. Stakeholders relationship committee	Yes			
5	The composition of the following committees is in terms of SEBI(Listing abligations and disclosure requirements) Regulations, 2015.  d. Risk management committee (applicable to the top 500 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			

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	Annexure 1	
Sr	Subject	Compliance status
1	Name of signatory	POONAM BHATIA
2	Designation	Company Secretary and Compliance Officer

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For SIMIFS CAPITAL MARKETS LIMITED PBULLE. (POONAM BHATIA)

(POONAM BHATIA)

COMPANY SECRETARY

COMPANY SECRETARY

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	Signatory Details
Name of signatory	POONAM BHATIA
Designation of person	Company Secretary and Compliance Officer
Place	KOLKATA
Date	01-07-2020

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COMPANY ECRETARY

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