

SMIFS CAPITAL MARKETS LIMITED

July 07, 2022

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, 2022 for your kind reference and record.

Please acknowledge.

Yours faithfully, For SMIFS CAPITAL MARKETS LIMITED

(Ayanti Sen)

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Company Secretary cum Compliance Officer

Encl: a/a

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General information about	t company	
Scrip code	508905	
NSE Symbol		
MSEI Symbol		
ISIN	INE641A01013	
Name of the entity	SMIFS CAPITAL MARKETS LIMITED	
Date of start of financial year	01-04-2022	
Date of end of financial year	31-03-2023	
Reporting Quarter	Quarterly	
Date of Report	30-06-2022	Enter the quarter ended date only
Risk management committee	Not Applicable	
Market Capitalisation as per immediate previous Financial Year	Any other	

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For SMIFS CAPITAL MARKETS LIMITED

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	Array Str	knows chart	and the same of		Manager St. March	St ever			I. Comp
			Disclosure of ne	otes on composition	n of board of directors explanatory	Add Notes			
				Whether the liste	ed entity has a Regular Chairperson	Yes	the state of the s	-	-
				Whether (hairperson is related to MD or CEO	No			
Sr	Title (Mr / Ms)	Name of the Director	PAN	DIN	Category 1 of directors	Category 2 of directors	Category 3 of directors	Date of Birth	Whether special resolution passed? [Refer Reg. 17(1A) of Listing Regulations]
381	Add	Delete							
1	Mr	UTSAV PAREKH	AGHPP4467H	00027642	Non-Executive - Non Independent Director	Chairperson		28-08-1956	NA
2	Mr	KISHOR SHAH	AIQPS4268J	00170502	Executive Director	Not Applicable	MD		
3	Mr	AJAY KUMAR KAYAN	AGGPK0892G	00239123	Non-Executive - Non Independent Director		MO	30-08-1956 26-04-1957	NA
4	Mr	RAMESH MAHESHWARI	AEXPM8916N	00170811	Non-Executive - Independent Director	Not Applicable		25-12-1932	NA
5	8/Ar	SANTOSH KUMAR MUKHERJEE	AFAPM3116N	00170646	Non-Executive - Independent Director	Not Applicable	Shareholder Director	24-03-1947	Yes
6	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

by listed entity on qua	rterly basis									
n of Board of Directors										
	55		100			FIEL DE S				
Date of passing special resolution	Initial Date of appointment	Date of Re- appointment	Date of cessation	Tenure of director (in months)	No of Directorship in listed entities including this listed entity (Refer Regulation 17A of Listing Regulations)	entities including this listed entity (Refer Regulation	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
	•				•			•	•	•
	28-05-1990					6	4	3	4	
	31-01-2002					1	0	1	0	
	30-06-2007					1	0	0	О	
16-01-2019	10-07-1990	01-04-2019			60	1	1	0	0	
16-01-2019	16-09-2006	01-04-2019			60	1	1	0	2	
22-09-2018	22-09-2018				60	1	1	2	0	

Annexure I

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For this quarter kindly note the following points: Home Validate 1 Date of Appointment and Date of Cessation (if app Annexure 1 mandatorily filled for every Committee. 2 Date of Appointment can be any day upto Septeml II. Composition of Committees 3 Date of Cessation must be for the current quarter (Add Notes Disclosure of notes on composition of committees explanatory Sentember 30 2021 Note: Please enter DIN. After entering DIN, Name of Committee members and Category 1 of Directors shall be prefilled automatically **Audit Committee Details** Whether the Audit Committee has a Regular Chairperson Remarks **Date of Cessation** Date of Appointment Category 2 of directors Category 1 of directors Name of Committee members DIN Number 01-04-2019 Chairperson Non-Executive - Independent Director SANTOSH KUMAR MUKHERJEE 1 00170646 01-04-2018 Non-Executive - Non Independent Director Member UTSAV PAREKH 2 00027642 25-09-2017 Non-Executive - Independent Director Member 3 07898390 DUSHPA MISHRA

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

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

tak	ceholders Relationship	Committee	ASSESSED FOR THE RESIDENCE OF				- 1 at 10	
			Whether the Stakeholders	Relationship Committee has a Regular Chairperson	Yes	ph		
Sr	DIN Number	Name of Committee members	Category 1 of directors	Category 2 of directors	Date of Appointment	Date of Cessation	Remarks	
1	00170646	SANTOSH KUMAR MUKHERJEE	Non-Executive - Independent Director	Chairperson	01-04-2019			
2	00170502	KISHOR SHAH	Executive Director	Member	01-04-2018	Special Desired St. St. St. St.		
3	07898390	PUSHPA MISHRA	Non-Executive - Independent Director	Member	25-09-2017			
4	- 11 2							
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6								
7								
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Risk P	Management Committe	e					
Whether the Risk Management Committee has a Regu			ement Committee has a Regular Chairperson				
Sr	DIN Number	Name of Committee members	Category 1 of directors	Category 2 of directors	Date of Appointment	Date of Cessation	Remarks
1							
2							
3							
4							
5							
6							
7							
8							
9							
10							

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

Sr	DIN Number	Name of Committee members	Category 1 of directors	Category 2 of directors	Date of Appointment	Date of Cessation	Remarks	
			Whether the Corporate Social Respon	sibility Committee has a Regular Chairperson				
Cor	porate Social Responsibil	ity Committee		and the second s	the continues of the state of t			

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Other	Committee					
Sr	DIN Number	Name of Committee members	Name of other committee	Category 1 of directors	Category 2 of directors	Remarks
1						
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			Annexure 1			
M.	Meeting of Board of Directors					
	Disclosure of notes on meeting of board of direct	ors explanatory	Add Not	es		
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 present* (All directors including Independent Director)	No. of Independent Directors attending the meeting"
	Add Delete					
1	08-02-2022			Yes	6	
2	11 05 2022	91		Yes	6	
3	22-06-2022	41		Yes	6	

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(AYANTI SENI)

COMPANY SECRETARY

CUM COMPLIANCE OFFICER

				Annexure 1				
				IV. Meeting of Cor	nmittees		Add Not	oc.
			The second second	Disclosure	of notes on meeting	of committees explanatory	Addition	
r	Name of Committee	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)	Name of other committee	Reson for not providing date		Number of Directors present* (All directors including Independent Director)	No. of Independent Directors attending the meeting*
	Add Delete							
	Audit Committee	08-02-2022	.13			Yes	3	
,	Audit Committee	11-05-2022	91			Yes	3	
	Nomination and remuneration	08-02-2022				Yes	3	
	Nomination and remuneration	11-05-2022	·			Yes	3	
-	Nomination and remuneration	22-06-2022				Yes	3	

* to be filled in only for the current quarter meetings

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381	Annexure	1 220	
	V. Related Party Transactions		If status is "No" details of non-compliance may l
Sr.	Subject	(Yes/No/NA)	given nere.
2	Whether prior approval of audit committee obtained Whether shareholder approval obtained for material RPT Whether details of RPT entered into pursuant to omnibus approval have been reviewed by Audit Co	Yes NA Yes	
_	Whether details of RPT entered into pursuant to ominious approval have been supported by Disclosure	of notes on related party transactions	Add Notes
Disclosure of notes of material transaction with related party			Add Notes

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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 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 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			
٤	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 signator,	Ms. Ayanti Sen				
2	Designation	Company Secretary and				

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For SMIFS CAPITAL MARKETS LIMITED

COMPANY SECRETARY CUM COMPLIANCE OFFICER

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Signatory Details		
Name of signatory	Ayanti Sen	
Designation of person	Company Secretary and Compliance Officer	
Place	Kolkata	
Date	07-07-2022	

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FOR SMIFS CAPITAL MARKETS LIMITED

Ayant Len.

COMPANY SECRETARY
CUM COMPLIANCE OFFICER