

SMIFS CAPITAL MARKETS LIMITED

October 06, 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 September 30, 2022 for your kind reference and record.

Please acknowledge.

Yours faithfully, For SMIFS CAPITAL MARKETS LIMITED

(Ayanti Sen)

Company Secretary cum Compliance Officer

Encl: a/a



THE PERSON NAMED IN COLUMN 1	
General information ab	out company
Scrip code	508905
NSE Symbol	300303
MSEI Symbol	
ISIN	INE641A01013
Name of the entity	
Date of start of financial year	SMIFS CAPITAL MARKETS LIMITED
Date of end of financial year	01-04-2022
Reporting Quarter	31-03-2023
	Half Yearly
Date of Report	30-09-2022
Risk management committee	Not Applicable
Market Capitalisation as per immediate previous Financial Year	Any other

Enter the quarter ended date only

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FOR SMIFS CAPITAL MARKETS LIMITED

COMPANY SECRETARY
CUM COMPLIANCE OFFICE:

			Disclosure of no	tes on compositio	n of board of directors explanatory	Add Nates		
					ed entity has a Regular Chairperson			
_				Wheth	er Chairperson related to Promoter	Yes		
					The state of the s	No	THE TAX SECTION	
Sr	Title (Mr / Ms)	Name of the Director	PAN	DIN	Category 1 of directors	Category 2 of directors	Category 3 of directors	Date of Sirth
	Add	Dirlete						1.0
1	Mr	UTSAV PAREKH	AGHPP4467H	00027642	Non-Executive - Non	entry Transfer		
2	Mr	KISHOR SHAH	100		Independent Director	Chairperson		28-08-1956
		The state of the s	AIQPS4268J	00170502	Executive Director	Not Applicable	MD	
3	Mr	AJAY KUMAR KAYAN	AGGPK0892G	00239123	Non-Executive - Non Independent Director	NO AND		30-08-1956
4	Mr	RAMESH MAHESHWARI	AEXPM8916N		Non-Executive - Independent	Not Applicable		26-04-1957
5	Mr		AEAPW8916N	00170811	Director Non-Executive - Independent	Not Applicable		25-12-1932
3	Tren!	SANTOSH KUMAR MUKHERJEE	AFAPM3116N	00170646	Director	Not Applicable	Shareholder Director	
6	Mrs	PUSHPA MISHRA	ANVPM5278L	07898390	Non-Executive - Independent Director	Lancas and the second	prierenoider Director	24-03-1947
				15,050550	TOWNS CONTRACTOR	Not Applicable	Shareholder Director	11-06-1972

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COMPANY SECRETARY
CUM COMPLIANCE OFFICER

		Annexure	Annexure I to be submitted by liste	THE RESERVE TO SERVE THE PARTY OF THE PARTY	its and the same of the same o		
			L Composition of Boar	THE RESERVE OF THE PERSON NAMED IN COLUMN TWO IS NOT THE OWNER, THE PERSON NAMED IN THE PERSON NAMED IN THE OWNER, THE PERSON NAMED IN THE PERSON NAMED IN THE OWNER, THE PERSON NAMED IN THE PERSON N	PROPERTY OF THE PARTY OF THE PA		
-01			MANEL MEN				
	Disqualification of Di	rectors under section 164 of the C	Companies Act, 2013				
Whether the director is disqualified?	Start Date of disqualification	End Date of disqualification	Details of disqualification	Current status	Whether special resolution passed? [Refer Reg. 17(1A) of Listing Regulations]	Date of passing special resolution	initial Date of appointmen
				Active	NA NA		28-05-1990
				Active	NA		31-01-2002
	Abdus		Valence in a second	Active	NA		30-06-2007
				Active	Yes	16-01-2019	10-07-1990
	Deline Silve			Active	Yes	16-01-2019	16-09-2006
			HE THE PARTY OF TH	Active	Yes	17-09-2022	22-09-2018

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For SMIFS CAPITAL MARKETS LIMITED
Ayanh Len

COMPANY SECRETARY
CUM COMPLIANCE OFFICER

Marie Ma			Saleto				The Valor	A STORY
SHOULE,	R & U.S.							
						33 61 61	N 3 (0 1 2 1	
Date of Re- appointment	Date of cessation	Tenure of director (in months)	No of Directorship in listed entitles including this listed entity (Refer Regulation 17A of Usting Regulations)	No of Independent Directorship in listed entities including this listed entity (Refer Regulation 17A(1) of Listing Regulations	Number of memberships in Audit/ Stakeholder Committee(s) including this listed entity (Refer Regulations)	No of post of Chairpesson in Audit/Stakeholder Committee held in listed entities including this listed entity (Rafer Regulation 26(1) of Listing Regulations)	Notes for not providing PAN	Notes for not providi DIN
			,		3	4		
			,	0	1	0	<u></u>	
			1					
01-04-2019		60.00		1				
01-04-2019		60.00				,		
25-09-2022		60.00				2		

FOR SMIFS CAPITAL MARKETS LIMITED

Ayanti Len

COMPANY SECRETARY

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200			Annexure 1	N TO THE REAL PROPERTY.		For this quarter kindly note	the following points:	
			II. Composition of Commit	tees		Date of Appointment and mandatorily filled for every		olicable) must be
Note	Please enter DIN. After en	tering DIN, Name of Committee mend	Disclosure of not bers and Category 1 of Directors shall be or effice	or on composition of committees explanatory	Add Notes	Date of Appointment can Date of Cessation must be Sectember 30 2022	be any day upto Septem e for the current quarter	ber 30, 2022. only, i.e. July 1,2022
Auc	it Committee Details					A POST LEGISLAND		
			Wheth	er the Audit Committee has a Regular Chairperson	Tes			
*	DIR Humber	Harne of Corernittee members	Category 1 of directors	Catagory 2 of directors	Data of Appointment	Data of Cassation	SERVINE SERVINE	
1	00170646	SANTOSH KUMAR MUKHERUEE	Non-Executive - Independent Director	Chairperson	01-04-2019	sets of Casadon	Remarks	

25-09-2017

Note: Please enter DIN. After entering this, Name of Committee markhers and Catagory L of Directors shall be prefitted automatically

			Whether the Nomination and	rememberation committee has a Regular Chairperson	Yes	The state of the s	1000 D 1200 B 1200
k	DIN Number	Name of Consultion members	Category 1 of directors	Category 2 of directors	Date of Appointment	Date of Counties	Remarks
1	00170611	RAMESH MANESHWAR	Mon-Executive - Independent Director	Chairperson	01-04-2019		
	00170646	SANTOSH EUMAR MURHEREE	Mon-Executive - Independent Director	Member	01-04-2019		
3	07896390	PUSHPA MESHRA	Non-Executive - Independent Director	Member	25-09-2017		
٨							
5							
6							17-17-17-1
7							
8							
9							
10						*	

Note: Nesse enter DNL After ordering DNL Name of Committee members and Category 1 of Directors shall be prefitted automatically

1 D0270646 SANTOGR BIBBAN RAUPHERE No - Executive - Independent Director Chalipments 01-04-2018 2 D02700C1 DSHOR SMAN Executive Director National National O1-04-2018				Whether the Stakeholder	s Relationship Committee has a Regular Chairperson	***		国际国际国际
2 DOSTORACI COSMAN Executive Director Manager 91-04-2018	*	DRI Number	Home of Connection coarshess	Category 1 of directors	Category 2 of directors	Date of Appointment	Date of Counties	Remarks
	1	00170646	SANTOSH KUMAR MUNHERRE	Non-Executive - Independent Director	Chaliperson	01-04-2029		-
5 07888390 PUSHPA MSHMA Non-Executive - Independent Director Minney 25-09-2017	2	00170502	ISHOR SHAH	Executive Offector	Member	01-04-2018		
	3	07898390	PUSHPA MISHRA	Non-Executive - Independent Director	Monde	25-09-2017		
	3							

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Ayanti Sen

COMPANY SECRETARY
CUM COMPLIANCE OFFIC

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1	and the second second	T	Whether the Risk Man	agement Consmittee has a Regular Chairperson			ET MARKET BEST OF
-	DIN Mumber	Name of Committee members	Category 1 of directors	Category 2 of directors	Date of Appointment	Data of Cassation	Romarks
					The state of the s	Date Common	t-entrarity
				I mile and a second a second and a second an			

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

-			Whether the Corporate Social Resp	considility Committee has a Regular Chairperson		提供 医 经 医	
	Date Humber	Name of Consultton mornbury	Category 1 of directors	Category 2 of directors	Date of Appointment	Date of Cossetion	Kansarja
1		The second second second second second					
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		100000000000000000000000000000000000000					
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FOR SMIFS CAPITAL MARKETS LIMITED

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Name of Committee Rene of Committee Rene of Other committee Category 1 of directors	Catagory 2 of directors	Remarks

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COMPANY SECRETARY
COMPANY SECRETARY
COMPLIANCE OFFICE

FOR SMIFS CAPITAL MARKETS LIMITED

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	SANSTAN BUILDING SANSTAN		A	nnexure 1			
III.	Meeting of Board of Directors		THE PARTY	CALCOLO CONTRACTOR			
	Disclosure of notes on meeting of board of direct	tors explanatory	Add Not	tes	BULS BUTTO OF FORMAL PARTY.		
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)	Total Number of Directors as on data of the meeting	Number of Directors present* (All directors including Independent Director)	No. of independent Directors attending the meeting*
	Add Delete						
1	11-05-2022			Yes	6	6	
2	09-08-2022	89		Yes			

* to be filled in only for the current quarter meetings

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For SMIFS CAPITAL MARKETS LIMITED
Ayanti Sen.

(AYANTI SEN)
COMPANY SECRETARY
CUM COMPLIANCE OFFICER

						Ann
				维尔斯 西拉亚亚	IV.	Meeti
				Disclosure o	f notes on	meeting
Sr	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 t	
1	Audit Committee	11-05-2022				
2	Audit Committee	09-08-2022	89			

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FOR SMIFS CAPITAL MARKETS LIMITED

COMPANY SECRETARY
CUM COMPLIANCE OFFICER

^{*} to be filled in only for the current quarter meetings

of Committees				
committees explanatory				
Whether requirement of Quorum met (Yes/No)	Total Number of Directors as on date of the meeting	Number of Directors (All directors including Independent director)	No. of Independent Directors attending the meeting*	No. of members attending the meeting (other than Board of Directors)
Yes	6	3	2	2
Yes	6		2	2

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	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 NA	
3	Whether details of RPT entered into pursuant to omnibus approval have been reviewed by Audit Committee	Yes	
	Disclosure of notes on relati	ed party transactions	Add Notes
	Disclosure of notes of material transact	ion with related party	Add Notes

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For SMIFS CAPITAL MARKETS LIMITED

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	Annexure 1	以然是是否 自己经验。
	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 1000 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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For SMIFS CAPITAL MARKETS LIMITED

COMPANY SECRETA
CUM COMPLIANCE OFFICE

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	Annexure 1					
Sr	Subject	Compliance status				
1	Name of signatory	Ayanti Sen				
2	Designation	Company Secretary and Compliance Officer				

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H.	Affirmations	Annexure III	THE PERSON	
Sr	Particulars	Regulation Number	Compliance status (Yes/No/NA)	If status is "No" details of non-compliance may be given here.
1	Copy of the annual report including balance sheet, profit and loss account, directors report, corporate governance report, business responsibility report displayed on website	46(2)	Yes	Advisor Line
2	Presence of Chairperson of Audit Committee at the Annual General Meeting	18(1)(d)	Yes	
3	Presence of Chairperson of the nomination and remuneration committee at the annual general meeting	19(3)	Yes	
4	Presence of Chairperson of the Stakeholder Relationship committee at the annual general meeting	20(3)	Yes	
5	Whether "Corporate Governance Report" disclosed in Avaual Report	34(3) read with para C of Schedule V	Yes	

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For SMIFS CAPITAL MARK	ETS LIMITED
Ayant -	SENI
V	SECRETARY NCE OFFICER

PRO A	Annexure III	
	Name of signatory Designation	Ayanti Sen
- 2	Lesignation	Company Secretary and Compliance Offices

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	Additional Half ye	early Disclosure	NAME AND ADDRESS OF THE OWNER, WHEN THE PARTY OF THE OWNER, WHEN THE PARTY OF THE OWNER, WHEN
Applicability of disclosure	Applicable		
Reason for Non Applicability	Add Notes	1 - 745 S - 1 - 1 - 1 - 1 - 1 - 1 - 1 - 1 - 1 -	
I. Disclosure of Loans/ guarantees/comfort letters	Accomplished the second participation of the second partic	The Figure should be mentioned in Actual INR only	
(A)Any loan or any other form of debt advanced by th	I listed autility directly or indirectly to	The Figure should be metter	
Entity	Aggregate amount advanced during six months	Balance outstanding at the end of six months	
Promoter or any other entity controlled by them	0.00	0.00	
Company of the Compan			
Promoter Group or any other entity controlled by them	0.00	0.00	
Directors (including relatives) or any other entity			
controlled by them	0.00	0.00	
KMPs or any other entity controlled by them	0.00	0.00	
(B) Any guarantee / comfort letter (by whatever name	called) provided by the listed entity directly or indirectly	y, in connection with any loan(s) or any other form of	Balance outstanding at the end of six
Entity	Type (guarantee, comfort letter etc.)	Aggregate amount of issuance during six months	months(taking into account any invocation) 0.0
Promoter or any other entity controlled by them	0	0.00	0.0
Promoter Group or any other entity controlled by the		0.00	0.0
Directors (including relatives) or any other entity controlled by them	0	0.00	0.0
CMPs or any other entity controlled by them	0	0.00	0.0
	r Indirectly, in connection with any loan(s) or any other f		THE RESERVE OF THE SERVE OF
Entity	Type of security (cash, shares etc.)	Aggregate value of security provided during six	Balance outstanding at the end of six months
romoter or any other entity controlled by them	0	months 0.00	0.0
		0.00	
romoter Group or any other entity controlled by them	0	0.00	0.00
irectors (including relatives) or any other entity ontrolled by them	0	0.00	0.00
MPs or any other entity controlled by them	0	0.00	0.00
) Additional information			Add Notes
II. Affirmations			
Affirma		Compliance Status	Company Remarks
loans (or other form of debt), guarantees, comfort lette nnection with any loan(s) (or other form of debt) given o		Yes	Add Notes
me	Shreemanta Banerjee		
signation	CFO		
ce	Kolkata		STATE OF THE PARTY
te	06-10-2022		RESERVED TO THE PARTY OF THE PA

For SMIFS CAPITAL MARKETS LIMIT

Ayanti Sen,

COMPANY SECRET/
CUM COMPLIANCE OFFIC

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Signatory Details	
Name of signatory	Ayanti Sen
Designation of person	Company Secretary and Compliance Officer
Place	Kolkata .
Date	06-10-2022

For SMIFS CAPITAL MARKETS LIMITED

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COMPANY CUM COMPLIANCE