



SMIFS CAPITAL MARKETS LIMITED

October 4, 2016

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

Handwritten note:
64/10000/12/16

Dear Sir,

Sub: Regulation 27 of the Listing Agreement – Corporate Governance

Enclosed please find quarterly compliance report on Corporate Governance for the quarter ended September 30, 2016 for your kind reference and record.

Please acknowledge.

Yours faithfully,
For SMIFS CAPITAL MARKETS LIMITED

Handwritten signature of Poonam Bhatia

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



Encl: a/a

General information about company	
Scrip code	508905
Name of the entity	SMIFS Capital Markets Limited
Date of start of financial year	01-04-2016
Date of end of financial year	31-03-2017
Reporting Quarter	Half Yearly
Date of Report	30-09-2016
Risk management committee	Not Applicable

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FOR SMIFS CAPITAL MARKETS LIMITED

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

Annexure I														
Annexure I to be submitted by listed entity on quarterly basis														
I. Composition of Board of Directors														
Disclosure of notes on composition of board of directors explanatory														
Is there any change in information of board of directors compare to previous quarter												Yes		
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	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
1	Mr	Uttav Parakh	AGHPP4467H	00027642	Non-Executive - Non Independent Director	Chairperson	Shareholder Director	12-09-2009			4	7	3	
2	Mr	Kishor Shah	AIQPS4268J	00170502	Executive Director	Not Applicable	MD	01-04-2015			1	2	0	
3	Mr	Ramesh Maheshwari	AEXPM18916N	00170811	Non-Executive - Independent Director	Not Applicable		20-09-2014		60	3	2	0	
4	Mr	Ajay Kumar Kayan	AGGPK0892G	00239123	Non-Executive - Non Independent Director	Not Applicable	Shareholder Director	25-09-2010			1	0	0	

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I. Composition of Board of Directors														
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	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
5	Mr	Sankesh Kumar Mukherjee	AFAPM3116N	00170646	Non-Executive - Independent Director	Not Applicable	Shareholder Director	20-09-2014		60	1	2	2	
6	Mrs	Ramya Harsharan	ABMPH5112M	06928511	Non-Executive - Independent Director	Not Applicable		18-11-2014		60	3	2	0	

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Poonam Bhatia

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COMPANY SECRETARY
CUM-SENIOR MANAGER LEGAL

Annexure 1					
II. Composition of Committees					
Disclosure of notes on composition of committees explanatory					
Is there any change in information of committees compare to previous quarter					Yes
Sr	Name Of Committee	Name of Committee members	Category 1 of directors	Category 2 of directors	Name of other committee
1	Audit Committee	Mr. Santosh Kumar Mukherjee	Non-Executive - Independent Director	Chairperson	
2	Audit Committee	Mr. Utsav Parekh	Non-Executive - Non Independent Director	Member	
3	Audit Committee	Mr. Kishor Shah	Executive Director	Member	
4	Audit Committee	Mrs. Ramya Hariharan	Non-Executive - Independent Director	Member	
5	Nomination and remuneration committee	Mr. Ramesh Maheshwari	Non-Executive - Independent Director	Chairperson	
6	Nomination and remuneration committee	Mr. Santosh Kumar Mukherjee	Non-Executive - Independent Director	Member	
7	Nomination and remuneration committee	Mrs. Ramya Hariharan	Non-Executive - Independent Director	Member	
8	Stakeholders Relationship Committee	Mr. Santosh Kumar Mukherjee	Non-Executive - Independent Director	Chairperson	
9	Stakeholders Relationship Committee	Mr. Kishor Shah	Executive Director	Member	
10	Stakeholders Relationship Committee	Mrs. Ramya Hariharan	Non-Executive - Independent Director	Member	

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Annexure 1			
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III. Meeting of Board of Directors			
Disclosure of notes on meeting of board of directors explanatory			
Sl	Date(s) of meeting (if any) in the previous quarter	Date(s) of meeting (if any) in the current quarter	Maximum gap between any two consecutive (in number of days)
1	30-05-2016		
2		12-08-2016	73

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ROHINI CAPITAL MARKETS LIMITED

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ROHINI CAPITAL MARKETS LIMITED

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Annexure 1							
IV. Meeting of Committees							
Disclosure of notes on meeting of committees explanatory							
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 (details)	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	12-08-2016	Yes	All the members were present at the meeting of Audit Committee	30-05-2016	73	

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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	
3	Whether details of RPT entered into pursuant to omnibus approval have been reviewed by Audit Committee	Yes	

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For SIMFS CAPITAL MARKETS LIMITED

Poonam Bhatia

(POONAM BHATIA)
COMPANY SECRETARY
CUM-SENIOR MANAGER LEGAL

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

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Annexure III				
Annexure III to be submitted by listed entity at the end of 6 months after end of financial year along-with second quarter report of next financial year				
I. Affirmations				
Sr	Broad heading	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	
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	Whether "Corporate Governance Report" disclosed in Annual Report	34(3) read with para C of Schedule V	Yes	
	Any other information to be provided			

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FOR: SMIFS CAPITAL MARKETS LIMITED

Poonam Bhatia

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COMPANY SECRETARY
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Signatory Details	
Name of signatory	Ms. Poonam Bhatia
Designation of person	Company Secretary
Place	Kolkata
Date	04-10-2016

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Poonam Bhatia

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