

Home

Valldate

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	01-04-2023
Date of end of financial year	31-03-2024
Reporting Quarter	Yearly
Date of Report	31-03-2024
Risk management committee	Not Applicable
Market Capitalisation as per immediate previous Financial Year	Any other

Enter the quarter ended date only

Prev

Next

Home

Validate

Disclosure of notes on composition of board of directors explanatory

Add Notes

Whether the listed entity has a Regular Chairperson

Yes

Whether Chairperson 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
----	-----------------	----------------------	-----	-----	-------------------------	-------------------------	-------------------------

Add

Delete

1	Mr	UTSAV PAREKH	AGHPP4467H	00027642	Non-Executive - Non Independent Director	Chairperson	
2	Mr	KISHOR SHAH	AIQPS4268J	00170502	Executive Director	Not Applicable	MD
3	Mr	AJAY KUMAR KAYAN	AGGPK0892G	00239123	Non-Executive - Non Independent Director	Not Applicable	
4	Mrs	PUSHPA MISHRA	ANVPM5278L	07898390	Non-Executive - Independent Director	Not Applicable	Shareholder Director
5	Mr	NITIN DAGA	AKMP00523H	08606910	Non-Executive - Independent Director	Not Applicable	
6	Mr	PRATIK GHOSE	AQGG4950R	10545249	Non-Executive - Independent Director	Not Applicable	
7	Mr	RAMESH MAHESHWARI	AEXPM8916N	00170811	Non-Executive - Independent Director	Not Applicable	
8	Mr	SANTOSH KUMAR MUKHERJEE	AFAPM3116N	00170646	Non-Executive - Independent Director	Not Applicable	Shareholder Director

Prev

## Annexure I

Annexure I to be submitted by listed entity on qual

## I. Composition of Board of Directors

## Disqualification of Directors under section 164 of the Companies Act, 2013

Date of Birth	Whether the director is disqualified?	Start Date of disqualification	End Date of disqualification	Details of disqualification	Current status
---------------	---------------------------------------	--------------------------------	------------------------------	-----------------------------	----------------

28-08-1956	No				Active
30-08-1956	No				Active
26-04-1957	No				Active
11-06-1972	No				Active
06-08-1987	No				Active
23-06-1983	No				Active
25-12-1932	No				Active
24-03-1947	No				Active

terly basis

Whether special resolution passed? [Refer Reg. 17(1A) of Listing Regulations]	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)	No of Independent Directorship in listed entities including this listed entity [with reference to proviso to regulation 17A(1) & 17A(2)]
--	------------------------------------	-----------------------------	------------------------	-------------------	--------------------------------	--	--

NA		28-05-1990				7	5
NA		31-01-2002				2	1
NA		30-06-2007				1	0
Yes	17-09-2022	22-09-2018	25-09-2022		60.00	1	1
No		27-03-2024			60.00	1	1
No		27-03-2024			60.00	1	1
Yes	16-01-2019	10-07-1990	01-04-2019	31-03-2024	60.00	1	0
Yes	16-01-2019	16-09-2006	01-04-2019	31-03-2024	60.00	0	0


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)	Reason for Cessation	Notes for not providing PAN	Notes for not providing DIN
---	--	----------------------	-----------------------------	-----------------------------

9	4			
3	1			
0	0			
2	0			
2	2			
0	0			
0	0	Tenure Completion		
0	0	Tenure Completion		

Name

Validate

## Annexure 1

## II. Composition of Committees

Disclosure of notes on composition of committees explanatory

Add Notes

If in this quarter kindly note the following:

1) Date of Appointment and Date of Cessation

2) Date of Appointment for the first time

3) Date of Cessation must be for the same

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

## Audit 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 Cessation
1	08609930	NETIN DAGA	Non-Executive - Independent Director	Chairperson	27-03-2024	
2	00027642	UTSAV PAREKH	Non-Executive - Non Independent Director	Member	26-04-2018	
3	07894390	PUSHPA MISHRA	Non-Executive - Independent Director	Member	15-09-2017	
4	00170646	SANTOSH KUMAR MUKHERJEE	Non-Executive - Independent Director	Member	20-04-2019	31-03-2024
5						
6						
7						
8						
9						
10						

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

## Nomination and remuneration committee

Whether the Nomination and remuneration 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
1	08609930	NETIN DAGA	Non-Executive - Independent Director	Chairperson	27-03-2024	
2	10545249	PRATIK GHOSE	Non-Executive - Independent Director	Member	27-03-2024	



3	07898390	PUSHPA MISHRA	Non-Executive - Independent Director	Member	25-09-2017	
4	00170811	RAMESH MAHESHWARI	Non-Executive - Independent Director	Member	21-04-2019	31-03-2024
5	00170646	SANTOSH KUMAR MUKHERJEE	Non-Executive - Independent Director	Member	21-04-2019	31-03-2024
6						
7						
8						
9						
10						

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

Stakeholders Relationship Committee						
Whether the Stakeholders Relationship 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
1	08609910	RITIN DAGA	Non-Executive - Independent Director	Chairperson	27-03-2024	
2	00170502	KUSHOR SHAH	Executive Director	Member	20-04-2019	
3	07898390	PUSHPA MISHRA	Non-Executive - Independent Director	Member	25-09-2017	
4	00170646	SANTOSH KUMAR MUKHERJEE	Non-Executive - Independent Director	Member	21-04-2019	31-03-2024
5						
6						
7						
8						
9						
10						

Risk Management Committee		
Whether the Risk Management 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
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 pre-filled automatically.

Corporate Social Responsibility Committee						
Whether the Corporate Social Responsibility 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
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						



## 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)	Notes for not providing Date	Whether requirement of Quorum met (Yes/No)	Total Number of Directors as on date of the meeting	Number of Directors present* (All directors including Independent Director)	No. of independent Directors attending the meeting*
	<input type="button" value="Add"/> <input type="button" value="Delete"/>						
1	06-10-2023			Yes	6	6	3
2	08-11-2023	12		Yes	6	5	3
3	09-02-2024	92		Yes	6	6	3
4	27-03-2024	86		Yes	6	6	3

Prev

Next

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

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IV. Meetin

Disclosure of 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	Reason for not providing date
1	Audit Committee	08-11-2023			
2	Audit Committee	09-02-2024	92		
3	Nomination and remuneration committee	05-10-2023			
4	Nomination and remuneration committee	09-02-2024	125		
5	Stakeholders Relationship Committee	09-02-2024			

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

Annexure 1

Monitoring of Committees

Details of committees explanatory

Whether requirement of Quorum met (Yes/No)	Total Number of Directors in the Committee as on date of the meeting	Number of Directors Present (All Directors including Independent Director)	No. of Independent Directors attending the meeting*	No. of members attending the meeting (other than Board of Directors)
Yes	3	3	2	2
Yes	3	3	2	2
Yes	3	3	3	2
Yes	3	3	3	2
Yes	3	3	2	2

[Home](#)[Validate](#)**Details of Cyber security incidence**

Whether as per Regulation 27(2)(ba) of SEBI (LODR) Regulations, 2015 there has been cyber security incidents or breaches or loss of data or documents during the quarter

**No**

Other details of cyber security incidence or breaches or loss of data event

[Add Notes](#)

Number of cyber security incidence or breaches or loss of data event occurred during the quarter

**Sr.****Date of the event****Brief details of the event**

[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			<a href="#">Add Notes</a>
Disclosure of notes of material transaction with related party			<a href="#">Add Notes</a>

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

[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. <b>Audit Committee</b>	Yes
3	The composition of the following committees is in terms of SEBI(Listing obligations and disclosure requirements) Regulations, 2015. b. <b>Nomination &amp; remuneration committee</b>	Yes
4	The composition of the following committees is in terms of SEBI(Listing obligations and disclosure requirements) Regulations, 2015. c. <b>Stakeholders relationship committee</b>	Yes
5	The composition of the following committees is in terms of SEBI(Listing obligations and disclosure requirements) Regulations, 2015. d. <b>Risk management committee (applicable to the top 1000 listed entities)</b>	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:	<a href="#">Add Notes</a>

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

## Annexure 2

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



## Annexure III

## Annexure II to be submitted by listed entity at the end of the financial year (for the whole of financial year)

## I. Disclosure on website in terms of Listing Regulations

Sr	Item	Compliance Status (Yes/No/N/A)	If status is "No" details of non-compliance may be given here.	Web address
1	Details of business	Yes		<a href="https://smifscap.com/">https://smifscap.com/</a>
2	Terms and conditions of appointment of independent directors	Yes		<a href="https://smifscap.com/">https://smifscap.com/</a>
3	Composition of various committees of board of directors	Yes		<a href="https://smifscap.com/">https://smifscap.com/</a>
4	Code of conduct of board of directors and senior management personnel	Yes		<a href="https://smifscap.com/">https://smifscap.com/</a>
5	Details of establishment of vigil mechanism/ Whistle Blower policy	Yes		<a href="https://smifscap.com/">https://smifscap.com/</a>
6	Criteria of making payments to non-executive directors	Yes		<a href="https://smifscap.com/">https://smifscap.com/</a>
7	Policy on dealing with related party transactions	Yes		<a href="https://smifscap.com/">https://smifscap.com/</a>
8	Policy for determining 'material' subsidiaries	Yes		<a href="https://smifscap.com/">https://smifscap.com/</a>
9	Details of familiarization programmes imparted to independent directors	Yes		<a href="https://smifscap.com/">https://smifscap.com/</a>
10	Email address for grievance redressal and other relevant details	Yes		<a href="https://smifscap.com/">https://smifscap.com/</a>
11	Contact information of the designated officials of the listed entity who are responsible for assisting and handling investor grievances	Yes		<a href="https://smifscap.com/">https://smifscap.com/</a>
12	Financial results	Yes		<a href="https://smifscap.com/">https://smifscap.com/</a>
13	Shareholding pattern	Yes		<a href="https://smifscap.com/">https://smifscap.com/</a>
14	Details of agreements entered into with the media companies and/or their associates	Yes		<a href="https://smifscap.com/">https://smifscap.com/</a>
15.1	Schedule of analyst or institutional investor meet and presentations made by the listed entity to analysts or institutional investors simultaneously with submission to stock exchange	Yes		<a href="https://smifscap.com/">https://smifscap.com/</a>
15.2	Audio or video recordings and transcripts of post earnings/quarterly calls	Yes		<a href="https://smifscap.com/">https://smifscap.com/</a>
16	New name and the old name of the listed entity	NA		<a href="https://smifscap.com/">https://smifscap.com/</a>
17	Advertisements as per regulation 47 (1)	Yes		<a href="https://smifscap.com/">https://smifscap.com/</a>
18	Credit rating or revision in credit rating obtained	Yes		<a href="https://smifscap.com/">https://smifscap.com/</a>
19	Separate audited financial statements of each subsidiary of the listed entity in respect of a relevant financial year	Yes		<a href="https://smifscap.com/">https://smifscap.com/</a>
20	Secretarial Compliance Report	Yes		<a href="https://smifscap.com/">https://smifscap.com/</a>
21	Materiality Policy as per Regulation 30 (4)	Yes		<a href="https://smifscap.com/">https://smifscap.com/</a>
22	Disclosure of contact details of KMP who are authorized for the purpose of determining materiality as required under regulation 30(5)	Yes		<a href="https://smifscap.com/">https://smifscap.com/</a>
23	Disclosures under regulation 30(8)	Yes		<a href="https://smifscap.com/">https://smifscap.com/</a>
24	Statements of deviation(s) or variations(s) as specified in regulation 32	NA		<a href="https://smifscap.com/">https://smifscap.com/</a>
25	Dividend Distribution policy as per Regulation 45A(1)	Yes		<a href="https://smifscap.com/">https://smifscap.com/</a>
26	Annual return as provided under section 92 of the Companies Act, 2013	Yes		<a href="https://smifscap.com/">https://smifscap.com/</a>
27	Confirmation that the above disclosures are in a separate section as specified in regulation 46(2)	Yes		<a href="https://smifscap.com/">https://smifscap.com/</a>

## Annexure II

II. Annual Affirmations				
Sr	Particulars	Regulation Number	Compliance status (Yes/No/NA)	If status is "No" details of non-compliance may be given here.
1	Independent director(s) have been appointed in terms of specified criteria of 'independence' and/or 'eligibility'	16(1)(b) & 25(6)	Yes	
2	Board composition	17(1), 17(1A) & 17(1C), 17(1D) & 17(1E)	Yes	
3	Meeting of Board of directors	17(2)	Yes	
4	Quorum of Board meeting	17(2A)	Yes	
5	Review of Compliance Reports	17(3)	Yes	
6	Plans for orderly succession for appointments	17(4)	Yes	
7	Code of Conduct	17(5)	Yes	
8	Fees/compensation	17(6)	Yes	
9	Minimum Information	17(7)	Yes	
10	Compliance Certificate	17(8)	Yes	
11	Risk Assessment & Management	17(9)	Yes	
12	Performance Evaluation of Independent Directors	17(10)	Yes	
13	Recommendation of Board	17(11)	Yes	
14	Maximum number of Directorships	17A	Yes	
15	Composition of Audit Committee	18(1)	Yes	
16	Meeting of Audit Committee	18(2)	Yes	
17	Role of Audit Committee and information to be reviewed by the audit committee	18(3)	Yes	
18	Composition of nomination & remuneration committee	19(1) & (2)	Yes	
19	Quorum of Nomination and Remuneration Committee meeting	19(2A)	Yes	
20	Meeting of Nomination and Remuneration Committee	19(3A)	Yes	
21	Role of Nomination and Remuneration Committee	19(4)	Yes	
22	Composition of Stakeholder Relationship Committee	20(1), 20(2) & 20(2A)	Yes	
23	Meeting of Stakeholders Relationship Committee	20(3A)	Yes	
24	Role of Stakeholders Relationship Committee	20(4)	Yes	
25	Composition and role of risk management committee	21(1),(2),(3),(4)	Yes	
26	Meeting of Risk Management Committee	21(3A)	NA	
27	Quorum of Risk Management Committee meeting	21(3B)	NA	
28	Gap between the meetings of the Risk Management Committee	21(3C)	NA	
29	Vigil Mechanism	22	Yes	
30	Policy for related party Transaction	23(1), (1A), (5), (6) & (8)	Yes	
31	Prior or Omnibus approval of Audit Committee for all related party transactions	23(2), (3)	Yes	
32	Approval for material related party transactions	23(4)	NA	
33	Disclosure of related party transactions on consolidated basis	23(9)	Yes	
34	Composition of Board of Directors of unlisted material Subsidiary	24(1)	NA	
35	Other Corporate Governance requirements with respect to subsidiary of listed entity	24(2),(3),(4),(5) & (6)	Yes	
36	Alternate Director to Independent Director	25(1)	NA	
37	Maximum Tenure	25(2)	Yes	

38	Appointment, Re-appointment or removal of an Independent Director through special resolution or the alternate mechanism	25(2A)	Yes
39	Meeting of independent directors	25(3) & (4)	Yes
40	Familiarization of independent directors	25(7)	Yes
41	Declaration from Independent Director	25(8) & (9)	Yes
42	Directors and Officers insurance	25(10)	NA
43	Confirmation with respect to appointment of Independent Directors who resigned from the listed entity	25(11)	Yes
44	Memberships in Committees	26(1)	Yes
45	Affirmation with compliance to code of conduct from members of Board of Directors and Senior management personnel	26(3)	Yes
46	Disclosure of Shareholding by Non-Executive Directors	26(4)	Yes
47	Policy with respect to Obligations of directors and senior management	26(2) & 26(5)	NA
48	Approval of the Board and shareholders for compensation or profit sharing in connection with dealings in the securities of the listed entity	26(6)	Yes
49	Vacancies in respect Key Managerial Personnel	26A(1) & 26A(2)	Yes
Any other information to be provided			Add Notes

Prev

Next

Annexure II	
1	Name of signatory
2	Designation
	POONAM BHATIA Company Secretary and Compliance Officer

[Home](#)[Validate](#)

## Annexure II

III. Affirmations		
Sr	Particulars	Compliance status (Yes/No/NA)
1	The Listed Entity has approved Material Subsidiary Policy and the Corporate Governance requirements with respect to subsidiary of Listed Entity have been complied	NA
Any other information to be provided		<a href="#">Add Notes</a>

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

## Annexure II

1	Name of signatory	POONAM BHATIA
2	Designation	Company Secretary and Compliance Officer

Home

Validate

Additional Half yearly Disclosure			
Applicability of disclosure	Applicable		
Reason for Non Applicability	Add Notes		
I. Disclosure of Loans/ guarantees/comfort letters / securities etc. refer note below		The Figure should be mentioned in Actual INR only	
(A) Any loan or any other form of debt advanced by the listed entity directly or indirectly to			
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	
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, in connection with any loan(s) or any other form of debt availed by			
Entity	Type (guarantee, comfort letter etc.)	Aggregate amount of issuance during six months	Balance outstanding at the end of six months (taking into account any invocation)
Promoter or any other entity controlled by them		0	0.00
Promoter Group or any other entity controlled by them		0	0.00
Directors (including relatives) or any other entity controlled by them		0	0.00
KMPs or any other entity controlled by them		0	0.00
(C) Any security provided by the listed entity directly or indirectly, in connection with any loan(s) or any other form of debt availed by			
Entity	Type of security (cash, shares etc.)	Aggregate value of security provided during six months	Balance outstanding at the end of six months
Promoter or any other entity controlled by them		0	0.00
Promoter Group or any other entity controlled by them		0	0.00
Directors (including relatives) or any other entity controlled by them		0	0.00
KMPs or any other entity controlled by them		0	0.00
(D) Additional information			Add Notes
II. Affirmations			
Affirmations		Compliance Status	Company Remarks
All loans (or other form of debt), guarantees, comfort letters (by whatever name called) or securities in connection with any loan(s) (or other form of debt) given directly or indirectly by the listed entity to		Yes	Add Notes
Name	SHREEMANTA BANERJEE		
Designation	CFO		
Place	KOLKATA		
Date	01-04-2024		

[Home](#)[Validate](#)

### Signatory Details

Name of signatory

POONAM BHATIA

Designation of person

Company Secretary and Compliance Officer

Place

KOLKATA

Date

02-04-2024

[Prev](#)