



02

SMIFS CAPITAL MARKETS LIMITED

July 1, 2021

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, 2021 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

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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	01-04-2021
Date of end of financial year	31-03-2022
Reporting Quarter	Quarterly
Date of Report	30-06-2021
Risk management committee	Not Applicable
Market Capitalisation as per immediate previous Financial Year	Any other

Enter the quarter
ended date only

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

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For SMIFS CAPITAL MARKETS LIMITED

Poonam

(POONAM BHATIA)
COMPANY SECRETARY
CUM-SENIOR MANAGER LEGAL

1. Composition of Board of Directors

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	Date of Birth	Whether special resolution passed? [Refer Reg. 17(1A) of Listing Regulations]	Date of passing special resolution
1	Mr	Utsav Parekh	AGHPP4467H	00027542	Non-Executive - Non Independent Director	Chairperson		28-08-1956	NA	
2	Mr	Kishor Shah	AIQPS4268J	00170502	Executive Director	Not Applicable	MD	30-08-1956	NA	
3	Mr	Ajay Kumar Kayan	AGGPK0892G	00239123	Non-Executive - Non Independent Director	Not Applicable		26-04-1957	NA	
4	Mr	Ramesh Maheshwari	AEXPM8916N	00170811	Non-Executive - Independent Director	Not Applicable		25-12-1952	Yes	16-01-2019
5	Mr	Santosh Kumar Mukherjee	AHAPM3116N	00170646	Non-Executive - Independent Director	Not Applicable	Shareholder Director	24-03-1947	Yes	16-01-2019
6	Mrs	Poojpa Mishra	ANVPM5278L	07898390	Non-Executive - Independent Director	Not Applicable	Shareholder Director	11-06-1972	Yes	22-09-2018

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For SMIFS CAPITAL MARKETS LIMITED

Bharia

(POONAM BHATIA)
COMPANY SECRETARY
CUM-SENIOR MANAGER LEGAL

Disclosure of notes on composition of board of directors explanatory										
Whether the listed entity has a Regular Chairperson										
Whether Chairperson is related to MD or CEO										
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)	Date of passing special resolution
1	Mr	Utsav Parekh	AGHPP4467H	00027642	Non-Executive - Non Independent Director	Chairperson		28-08-1956	NA	
2	Mr	Kishor Shah	AIQPS4768J	00170502	Executive Director	Not Applicable	MD	30-08-1956	NA	
3	Mr	Ajay Kumar Kayan	AGGPK0892G	00239123	Non-Executive - Non Independent Director	Not Applicable		26-04-1957	NA	
4	Mr	Ramesh Maheshwari	AEXPMB916N	00170811	Non-Executive - Independent Director	Not Applicable		25-12-1932	Yes	16-01-2019
5	Mr	Santosh Kumar Mukherjee	AFAPM3116N	00170646	Non-Executive - Independent Director	Not Applicable	Shareholder Director	24-03-1947	Yes	16-01-2019
6	Mrs	Pushpa Mishra	ANVPM5278L	07898390	Non-Executive - Independent Director	Not Applicable	Shareholder Director	11-06-1972	Yes	22-09-2018

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P Bhatia

(POONAM BHATIA)
COMPANY SECRETARY
CUM-SENIOR MANAGER LEGAL

interly basis

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 (Refer Regulation 17A(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 for not providing PAN	Notes for not providing DIN
28-05-1990				6	4	5	2		
31-01-2002				1	0	1	0		
30-06-2007				1	0	0	0		
10-07-1990	01-04-2019		60	1	1	0	0		
16-09-2006	01-04-2019		60	1	1	0	2		
25-09-2017			60	1	1	2	0		

Next

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P. Bhatia

(POONAM BHATIA)
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ANNEXURE 1

ii. Composition of Committees

Disclosure of notes on composition of committees explanatory

Additional

For this quarter kindly note the following points:

1. Date of Appointment and Date of Cessation (if applicable) must be mandatorily filled for every Committee.
2. Date of Appointment can be any day upto September 30, 2020.
3. Date of Cessation must be for the current quarter only, i.e. July 1, 2020 to September 30, 2020.

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	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		
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.

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	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		
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.

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	Remarks
1	00170646	Santosh Kumar Mukherjee	Non-Executive - Independent Director	Chairperson	01-04-2019		
2	00170502	Kishor Shah	Non-Executive - Independent Director	Member	01-04-2018		
3	07898390	Pushpa Mishra	Non-Executive - Independent Director	Member	25-09-2017		

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5							
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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	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 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	Remarks
1							
2							
3							
4							
5							
6							
7							
8							
9							
10							

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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 For SMIFS CAPITAL MARKETS LIMITED
Poonam Bhatia
 (POONAM BHATIA)
 COMPANY SECRETARY
 CUM-SENIOR MANAGER LEGAL

Annexure 1								
IV. Meeting of Committees								
Disclosure of notes on meeting of committees explanatory								
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	Whether requirement of Quorum met (Yes/No)	Number of Directors present*	No. of independent Directors attending the meeting*
1	Audit Committee	12-02-2021				Yes	3	2
2	Audit Committee Nomination and remuneration	29-06-2021	136			Yes	3	2
3	committee Stakeholders Relationship	12-02-2021				Yes	3	2
4	Committee	12-02-2021				Yes	3	2

* to be filled in only for the current quarter meetings

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Bhati

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COMPANY SECRETARY
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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	
Disclosure of notes on related party transactions			Add Notes
Disclosure of notes of material transaction with related party			Add Notes

Prev

Next

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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
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

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

Annexure 1

Sr	Subject	Compliance status
1	Name of signatory	Ms. Poonam Bhatia
2	Designation	Company Secretary and Compliance Officer

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P Bhatia

(POONAM BHATIA)
COMPANY SECRETARY
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Signatory Details

Name of signatory	Ms. Poonam Bhatia
Designation of person	Company Secretary and Compliance Officer
Place	Kolkata
Date	01-07-2021

Prev

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For SMIFS CAPITAL MARKETS LIMITED
Bhatia
(POONAM BHATIA)
COMPANY SECRETARY
CUM-SENIOR MANAGER LEGAL

Express Limited
No-3 Victoria Road
540047

dtcd lite
Online and Easy Service to all

Pouch Num:

ORIGIN:

cel

DEST:

Kol

Note / Subject to Bengaluru Jurisdiction. Please refer to all the terms & conditions printed overleaf of this consignment note before tendering a consignment to DTDC

Sender's Code: **K16810** Pick-up Ref. No:

Sender Name:

Ph:

Address: **SMIFS CAPITAL**

Recipient's (Consignee) Name:

Ph:

Company Name & Address: **The Secretary**

Kol State:

PIN Code:

City: **Kol** State: **Goa** PIN Code:

Sender's GSTIN*:

Weight of consignment Dox Non-Dox Total Num Pcs: (Where Applicable)

1. L	cm X B	cm X H	cm X	Pcs	Actual Wt.:	kg
2. L	cm X B	cm X H	cm X	Pcs	Volumetric Wt.:	kg
3. L	cm X B	cm X H	cm X	Pcs	Chargeable Wt.:	kg

Description of Content

Value of Goods

Doc

The Total Value of consignment for carriage / E-Way bill

₹

7 Type of consignment (Please ✓)

Commercial Non-Commercial

8 Value Added Services

- Not Available

CN Expiry Dt.:

Consignment Number:

K36849492

9 Mode: Surface Air cargo Express

6 Paper Work Enclosures

10 Charges

Charges	Amount(₹)
a) Tariff (Incl. Of FSC + Taxes)	
b) Value Added Service Charges	
c) Risk Surcharge	
d) Total amount (a+b+c)	

Above charges are inclusive of GST & other taxes if applicable

Mode of Payment: Cash Card Wallet

11 We declare that this consignment does not contain personal mail, cash, jewellery, contraband, illegal drugs, any prohibited items and commodities which can cause safety hazards while transporting. The declared value of goods is true and accurate.

Sender's Signature

Date:

Time:

AM/PM

12 Booking Branch / Franchisee Code

13 Receiver's Name:

Relationship:

Ph. No.:

Company Stamp & Signature:

DD MM YY TIME AM/PM

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