



o/c

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)
Company Secretary cum Compliance Officer



Encl: a/a

Home

Validate

Import XML

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	01-04-2022
Date of end of financial year	31-03-2023
Reporting Quarter	Quarterly
Date of Report	30-06-2022
Risk management committee	Not Applicable
Market Capitalisation as per immediate previous Financial Year	Any other

Enter the quarter ended date only

Prev

Next

Certified True Copy

For SMIFS CAPITAL MARKETS LIMITED

Ayanti Sen
(AYANTI SEN)
COMPANY SECRETARY
CUM COMPLIANCE OFFICER

Annexure I

itted by listed entity on quarterly basis

ition of Board of Directors

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 (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	3	4		
	31-01-2002				1	0	1	0		
	30-06-2007				1	0	0	0		
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		

Next

Certified True Copy

For SMIFS CAPITAL MARKETS LIMITED

Ayanti Sen

(AYANTI SEN)
COMPANY SECRETARY
CUM COMPLIANCE OFFICER

Home Validate

Annexure 1

II. Composition of Committees

Disclosure of notes on composition of committees explanatory

Add Notes

For this quarter kindly note the following points
 1. Date of Appointment and Date of Cessation (if applicable) mandatorily filled for every Committee.
 2. Date of Appointment can be any day upto September 30, 2021
 3. Date of Cessation must be for the current quarter (September 30, 2021)

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	01-04-2018		
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							

Certified True Copy

For SMIFS CAPITAL MARKETS LIMITED

Ayanti Sen
 (AYANTI SEN)
 COMPANY SECRETARY
 CUM COMPLIANCE OFFICER

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	Executive Director	Member	01-04-2018		
3	07898390	PUSHPA MISHRA	Non-Executive - Independent Director	Member	25-09-2017		
4							
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	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

Certified True Copy

For SMIFS CAPITAL MARKETS LIMITED

Ayanti Sen

(AYANTI SEN)
COMPANY SECRETARY
CUM COMPLIANCE OFFICER

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						
2						
3						
4						
5						
6						
7						
8						
9						
10						

← Prev

Next →

Certified True Copy

For SMIFS CAPITAL MARKETS LIMITED

Ayanti Sen
 (AYANTI SEN)
 COMPANY SECRETARY
 CUM COMPLIANCE OFFICER

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

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)	Number of Directors present* (All directors including Independent Director)	No. of Independent Directors attending the meeting*
1	08-02-2022			Yes	6	3
2	11-05-2022	91		Yes	6	3
3	22-06-2022	41		Yes	6	3

[Add](#)[Delete](#)[Prev](#)[Next](#)

*30% of the Quorum for the current quarter meetings.

Certified True Copy

For SMIFS CAPITAL MARKETS LIMITED

Ayanti Sen
(AYANTI SEN)
COMPANY SECRETARY
CUM COMPLIANCE OFFICER

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			Add Notes
Disclosure of notes of material transaction with related party			Add Notes

Prev

Next

Certified True Copy

For SMIFS CAPITAL MARKETS LIMITED

Ayanti Sen
(AYANTI SEN)
COMPANY SECRETARY
CUM COMPLIANCE OFFICER

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. 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. Ayanti Sen
2	Designation	Company Secretary and Compliance Officer

Certified True Copy

For SMIFS CAPITAL MARKETS LIMITED

Ayanti Sen

(AYANTI SEN)
COMPANY SECRETARY
CUM COMPLIANCE OFFICER

Home

Validate

Signatory Details

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

Prev

Certified True Copy

For SMIFS CAPITAL MARKETS LIMITED

Ayanti Sen

(AYANTI SEN)
COMPANY SECRETARY
CUM COMPLIANCE OFFICER