



SMIFS CAPITAL MARKETS LIMITED

January 02, 2023

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 December 31, 2022 for your kind reference and record.

Please acknowledge.

Yours faithfully,
For SMIFS CAPITAL MARKETS LIMITED

Ayanti Sen

(Ayanti Sen)

Company Secretary cum Compliance Officer



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	01-04-2022
Date of end of financial year	31-03-2023
Reporting Quarter	Quarterly
Date of Report	31-12-2022
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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A Sen

(AYANTI SEN)
 COMPANY SECRETARY
 CUM COMPLIANCE OFFICER

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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
	Add	Delete						
1	Mr	UTSAV PAREKH	AGHPP4467H	00027642	Non-Executive - Non Independent Director	Chairperson		28-08-1956
2	Mr	KISHOR SHAH	AIQPS4268J	00170502	Executive Director	Not Applicable	MD	30-08-1956
3	Mr	AJAY KUMAR KAYAN	AGGPK0892G	00239123	Non-Executive - Non Independent Director	Not Applicable		26-04-1957
4	Mr	RAMESH MAHESHWARI	AEXPMB916N	00170811	Non-Executive - Independent Director	Not Applicable		25-12-1932
5	Mr	SANTOSH KUMAR MUKHERJEE	AFAPM3116N	00170646	Non-Executive - Independent Director	Not Applicable	Shareholder Director	24-03-1947
6	Mrs	PUSHPA MISHRA	ANVPM5278L	07898390	Non-Executive - Independent Director	Not Applicable	Shareholder Director	11-06-1972

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As per
(AYANTI SEN)
COMPANY SECRETARY
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Annexure I

**Annexure I to be submitted by listed entity on quarterly basis
I. Composition of Board of Directors**

Disqualification of Directors under section 164 of the 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
No				Active	NA	
No				Active	NA	
No				Active	NA	
No				Active	Yes	16-01-2019
No				Active	Yes	16-01-2019
No				Active	Yes	17-09-2022

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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				7	5	3	3		
31-01-2002				1	0	1	0		
30-06-2007				1	0	0	0		
10-07-1990	01-04-2019		60.00	1	1	0	0		
16-09-2006	01-04-2019		60.00	1	1	0	2		
22-09-2018	25-09-2022		60.00	1	1	2	0		

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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) must be mandatorily filled for every Committee.
2. Date of Appointment can be any day upto September 30, 2022.
3. Date of Cessation must be for the current quarter only, i.e. July 1, 2022 to September 30, 2022

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

Stakeholders Relationship Committee

		Whether the Stakeholders Relationship Committee has a Regular Chairperson			Yes	

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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
1							
2							
3							
4							
5							
6							
7							
8							

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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						
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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*
1	09-08-2022			Yes	6	6	3
2	14-11-2022	96		Yes	6	6	3

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* to be filled in only for the current quarter meetings

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Asw.
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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 (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)	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)
1.	Audit Committee	09-08-2022				Yes	3	3	2	2
2.	Audit Committee	14-11-2022	96			Yes	3	3	2	2

* to be filled in only for the current quarter meetings

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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

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

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Signatory Details	
Name of signatory	Ayanti Sen
Designation of person	Company Secretary and Compliance Officer
Place	kolkata
Date	02-01-2023

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