Integrated Governance

SMC GLOBAL SECURITIES LIMITED

General information about company

Scrip code	543263	
NSE Symbol	SMCGLOBAL	
MSEI Symbol	NOTLISTED	
ISIN	INE103C01036	
Date of start of financial year	01-04-2026	
Date of end of financial year	31-03-2027	
Reporting Quarter Type	Half Yearly	
Date of Quarter Ending	30-09-2026	
Type of company	Equity	
Whether Annexure I (Part A) of the SEBI Circular dated December 31, 2024 related to Compliance Report on Corporate Governance is applicable to the entity?	Yes	
Whether Annexure I (Part B) of the SEBI Circular dated December 31, 2024 related to Investor Grievance Redressal Report is Applicable to the entity?	Yes	
Whether Annexure I (Part C) of the SEBI Circular dated December 31, 2024 related to Disclosure of Acquisition of Shares or Voting Rights in Unlisted Companies is Applicable to the entity?	No	No such instance during the quarter.
Whether Annexure I (Part D) of the SEBI Circular dated December 31, 2024 related to Disclosure of Imposition of Fine or Penalty is Applicable to the entity?	Yes	
Whether Annexure I (Part E) of the SEBI Circular dated December 31, 2024 related to Disclosure of Updates to Ongoing Tax Litigations or Disputes is Applicable to the entity?	No	There are no outstanding tax litigations that are material to the company.
Whether Annexure I (Part F) of the SEBI Circular dated December 31, 2024 related to Disclosure Of Loans / Guarantees / Comfort Letters / Securities Etc. is Applicable to the entity?	No	Not applicable as disclosures relating to loans/guarantees/comfort letters/securities provided to subsidiaries/joint ventures whose accounts are consolidated are excluded, and no other such transactions were undertaken during the period
Risk management committee	No	
Market Capitalisation as per immediate previous Financial Year	Top 2000 listed entities	
Is SCORE ID Available ?	Yes	
SCORE Registration ID	s00890	
Reason For No SCORE ID		
Type of Submission	Original	
Remarks (website dissemination)		

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	
Whether the listed entity has a Regular Chairperson	Yes
Whether Chairperson is related to MD or CEO	Yes
	Disqualification of Directors under section 164 of the Companies Act, 2013

Sr no.	Title(Mr/Ms)	Name of the Director	DIN	Category 1 of directors	Category 2 of directors	Category 3 of directors	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	Initial Date of appointment	Date of Re-appointment	Date of cessation	Tenure of director(in months)	N Direc in en inc this entit Reg 1 Li Regu
1	Mr	Subhash Chand Aggarwal	00003267	Executive Director	Chairperson	MD	No				Active	NA		19-12-1994	29-01-2025			
2	Mr	Mahesh Chand Gupta	00003082	Executive Director	Not Applicable	MD	No				Active	NA		01-09-2007	01-09-2022			
3	Mr	Ajay Garg	00003166	Executive Director	Not Applicable	CEO	No				Active	NA		28-03-2009	14-05-2018			
4	Mr	Anurag Bansal	00003294	Executive Director	Not Applicable		No				Active	NA		28-03-2009	28-03-2024			
5	Mrs	Shruti Aggarwal	06886453	Executive Director	Not Applicable		No				Active	NA		16-06-2017	09-08-2023			
6	Mr	Himanshu Gupta	03187614	Non-Executive - Non Independent Director	Not Applicable		No				Active	NA		21-02-2018	21-02-2018			
7	Mr	Pranay Aggarwal	07827697	Non-Executive - Non Independent Director	Not Applicable		No				Active	NA		13-02-2025	13-02-2025			
8	Mr	Naveen ND Gupta	00271748	Non-Executive - Independent Director	Not Applicable		No				Active	NA		31-01-2018	31-01-2023		104	
9	Mr	Narendra Kumar	02307690	Non-Executive - Independent Director	Not Applicable		No				Active	NA		16-09-2022	16-09-2022		48	
10	Mr	Gobind Ram Choudhary	01104704	Non-Executive - Independent Director	Not Applicable		No				Active	NA		22-06-2023	22-06-2023		39	
11	Mr	Dinesh Kumar Sarraf	00147870	Non-Executive - Independent Director	Not Applicable		No				Active	NA		09-08-2023	09-08-2023		37	
12	Mr	Hemant Bhargava	01922717	Non-Executive - Independent Director	Not Applicable		No				Active	NA		09-08-2023	09-08-2023		37	
13	Mrs	Neeru Abrol	01279485	Non-Executive - Independent Director	Not Applicable		No				Active	Yes	22-06-2024	30-03-2024	30-03-2024		30	
14	Mrs	Sarita Kapur	08848507	Non-Executive - Independent Director	Not Applicable		No				Active	NA		13-02-2025	13-02-2025		19	

Annexure I

II. Composition of Committees	
Disclosure of notes on composition of committees explanatory	

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	00147870	Dinesh Kumar Sarraf	Non-Executive - Independent Director	Chairperson	01-04-2024		
2	01922717	Hemant Bhargava	Non-Executive - Independent Director	Member	01-04-2024		
3	00271748	Naveen ND Gupta	Non-Executive - Independent Director	Member	31-01-2018		
4	02307690	Narendra Kumar	Non-Executive - Independent Director	Member	01-04-2024		
5	03187614	Himanshu Gupta	Non-Executive - Non Independent Director	Member	02-05-2026		
6	07827697	Pranay Aggarwal	Non-Executive - Non Independent Director	Member	02-05-2026		

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	01104704	Gobind Ram Choudhary	Non-Executive - Independent Director	Chairperson	01-04-2024		
2	00147870	Dinesh Kumar Sarraf	Non-Executive - Independent Director	Member	01-04-2024		
3	00271748	Naveen ND Gupta	Non-Executive - Independent Director	Member	31-01-2018		

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	02307690	Narendra Kumar	Non-Executive - Independent Director	Chairperson	01-04-2024		
2	00147870	Dinesh Kumar Sarraf	Non-Executive - Independent Director	Member	01-04-2024		
3	00003294	Anurag Bansal	Executive Director	Member	07-05-2022		

Risk Management Committee

Whether the Risk Management 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	00003294	Anurag Bansal	Executive Director	Chairperson	07-06-2021		
2	01922717	Hemant Bhargava	Non-Executive - Independent Director	Member	01-04-2024		
3	03187614	Himanshu Gupta	Non-Executive - Non Independent Director	Member	07-06-2021		
4	00003166	Ajay Garg	Executive Director	Member	07-06-2021		
5	00000000	Yashpal Chopra	Chief Risk Officer	Member	11-05-2025		Textual Information(1)
6	06886453	Shruti Aggarwal	Executive Director	Member	11-05-2025		

Text Block

Textual Information(1)	He is not a director of the Company but he is Chief Risk Officer and Member of the Risk Management Committee.

Corporate Social Responsibility Committee

Whether the Corporate Social Responsibility 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	00003267	Subhash Chand Aggarwal	Executive Director	Chairperson	26-05-2014		
2	00003082	Mahesh Chand Gupta	Executive Director	Member	26-05-2014		
3	00147870	Dinesh Kumar Sarraf	Non-Executive - Independent Director	Member	01-04-2024		

Other Committee

Sr	DIN Number	Name of Committee members	Name of other committee	Category 1 of directors	Category 2 of directors	Remarks
No records available						

Annexure I

III. Meeting of Board of Directors							
Disclosure of notes on meeting of board of directors explanatory							
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	02-05-2026			Yes	14	14	7
2	26-07-2026	84		Yes	14	13	6

Annexure I

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	Reson 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	01-05-2026				Yes	4	4	4	0
2	Audit Committee	25-07-2026	84			Yes	6	6	4	0
3	Nomination and remuneration committee	01-05-2026				Yes	3	3	3	0
4	Nomination and remuneration committee	25-07-2026	84			Yes	3	3	3	0
5	Stakeholders Relationship Committee	01-05-2026				Yes	3	3	2	0
6	Risk Management Committee	25-07-2026	84			Yes	6	6	1	1
7	Corporate Social Responsibility Committee	01-05-2026				Yes	3	3	1	0

Annexure I

V. 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 the top 1000 listed entities)	Yes
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.	true
9	Any comments/observations/advice of Board of Directors may be mentioned here:	

Annexure I

Sr	Subject	Compliance status
1	Name of signatory	Suman Kumar
2	Designation	Company Secretary and Compliance Officer

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		
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
No records available		

Affirmations on Compliance Requirements for AGM (applicable only for the first half-year filing i.e., 2nd quarter)

III. Affirmations				
Sr	Particulars	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	Presence of Chairperson of the Stakeholder Relationship committee at the annual general meeting	20(3)	Yes	
5	Disclosure of the Secretarial Audit Report of the listed entity and the material subsidiaries in the Annual Report	24A(1)	Yes	
6	Compliance with the conditions laid down for Secretarial Auditor or the person signing the Secretarial Compliance Report	24A(1A), 24A(1B), 24A(1C)	Yes	
7	Submission of Annual Secretarial Compliance Report	24A(2)	Yes	
8	Whether 'Corporate Governance Report' disclosed in Annual Report	34(3) read with para C of Schedule V	Yes	
Any other information to be provided				

Annexure III

1	Name of signatory	Suman Kumar
2	Designation	Company Secretary and Compliance Officer

Signatory Details

Name of signatory	Suman Kumar
Designation of person	Company Secretary and Compliance Officer
Place	New Delhi
Date	14-10-2026

Investor Grievance Details

No. of investor complaints pending at the beginning of Quarter	0
No. of investor complaints received during the Quarter	3
No. of investor complaints disposed off during the Quarter	3
No. of investor complaints those remaining unresolved at the end of the Quarter	0

Disclosure of Acquisition of Shares or Voting Rights in Unlisted Companies- The details of acquisition of shares or voting rights in unlisted companies during the quarter in terms of sub-para 1 of para A of Part A of Schedule III are given below:

Any Other Information for Disclosure of Acquisition of Shares or Voting Rights in Unlisted Companies					
Sr.No.	Name of the unlisted company in which shares or voting rights have been acquired	Date of acquisition	Aggregate holding (% shares or voting rights) as at the end of the previous quarter	% shares or voting rights acquired during the quarter	Aggregate holding (% shares or voting rights) as at the end of the quarter
No records available					

Disclosure of Imposition of Fine or Penalty The details of imposition of fine or penalty during the quarter in terms of sub-para 20 of para A of Part A of Schedule III are given below:

Any Other Information for Disclosure of Imposition of Fine or Penalty					
Sr.No.	Name of the authority	Nature and details of the action(s) taken or order(s) passed	Date of receipt of direction or order, including any ad interim or interim orders, or any other communication from the authority	Details of the violation(s)/ contravention(s) committed or alleged to be committed	Impact on financial, operation or other activities of the listed entity, quantifiable in monetary terms to the extent possible
1	National Stock Exchange	NSE conducted inspection and made observation that: Member has note settled/returned funds to clients, who have credit balance and not done any transaction in the 30 calendar days.	23-09-2026	Operational issues identified by the exchanges while conducting inspections.	No financial impact only monetary penalty of ?17000/-
2	National Commodity Clearing Limited (NCCL)	Penalty on Algo Members for one instance of margin shortage	15-07-2026	Operational issues identified by the exchanges.	No financial impact only monetary penalty of ?10000/-
3	Multi Commodity Exchange of India Ltd. (MCX)	Position Limit (Open Interest) Violation in Mentha Oil Future contract (Intraday) on Trade Date February 27, 2026	17-07-2026	Operational issues identified by the exchanges - Surveillance & Investigation Dept.	No financial impact only monetary penalty of ?10000/-
4	National Stock Exchange	CTCL mismatch for the month of May 2026	17-07-2026	Operational issues identified by the exchanges.	No financial impact only monetary penalty of ?2000/-
5	National Stock Exchange	Algo IDs that were used prior to submitting the audited /rectified Corrective Action Taken Report (ATR) despite significant deficiencies or issues being identified and reported in the System Audit Report submitted to the Exchange	20-07-2026	Operational issues identified by the exchanges.	No financial impact only monetary penalty of ?5000/-
6	National Stock Exchange	Non upload of trading terminal details to the Exchange.	31-07-2026	Operational issues identified by the exchanges.	No financial impact only monetary penalty of ?1000/-
7	NCDEX	Order-to-Trade Ratio (OTR) violations	07-08-2026	Operational issues identified by the exchanges.	No financial impact only monetary penalty of ?17484.73/-
8	National Stock Exchange	Financial Disincentive for Non-Uploading of CTCL details in ENIT	09-08-2026	Operational issues identified by the exchanges.	No financial impact only monetary penalty of ?1100/-
9	National Stock Exchange	Excessive order messages with NIL or low trade count as per NSE circular no 57315	19-08-2026	Operational issues identified by the exchanges - Surveillance & Investigation Dept.	No financial impact only monetary penalty of ?60000/-
10	National Stock Exchange	CTCL mismatch for the month of July 2026	26-08-2026	Operational issues identified by the exchanges.	No financial impact only monetary penalty of ?1000/-

Disclosure of Updates to Ongoing Tax Litigations or Disputes The updates on tax litigations or disputes in terms of sub-para 8 of para B of Part A of Schedule III read with corresponding provisions of Annexure 18 of the Master Circular are given below:

Any Other Information for Disclosure of Updates to Ongoing Tax Litigations or Disputes				
Sr.No.	Name of the opposing party	Date of initiation of the litigation / dispute	Status of the litigation / dispute as per last disclosure	Current status of the litigation / dispute
No records available				