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SMC GLOBAL SECURITIES LTD.

Member : National Stock Exchange (NSE Id - 07714)
: Bombay Stock Exchange (BSE Id - 470)
: Metropolitan Stock Exchange (MSE Id - 1002)

Clearing & Trading Member : Cash, F&O, Currency, Debt & Commodity

SEBI Regn. No. : INZ 000199438

Research Analyst No. : INH100001849

Investment Adviser No. : INA100012491

REGD. OFFICE:

11/6B, Shanti Chamber, Pusa Road, New Delhi-110005

Ph : +91-11-30111000, 40753333 Fax : +91-11-25754365

E-mail : smc@smcindiaonline.com Website : www.smcindiaonline.com

CIN No. : L74899DL1994PLC083609

Date: 14th October, 2019

**To
The Manager
Listing Department,
Calcutta Stock Exchange Limited
7, Lyons Range Kolkata - 700001**

Ref: Regulation 27 (2) of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015.

Sub: Submission of Quarterly Compliance Report on Corporate Governance for the Second Quarter ended 30th September, 2019.

Dear Sir(s),

This is with reference to the captioned subject matter. In this regard we are enclosing herewith the Quarterly Compliance Report on Corporate Governance, pertaining to Regulation 27(2) of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015, for the Second Quarter ended on 30th September, 2019.

This is for your kind information and record.

Thanking you,

For SMC Global Securities Limited

Suman Kumar

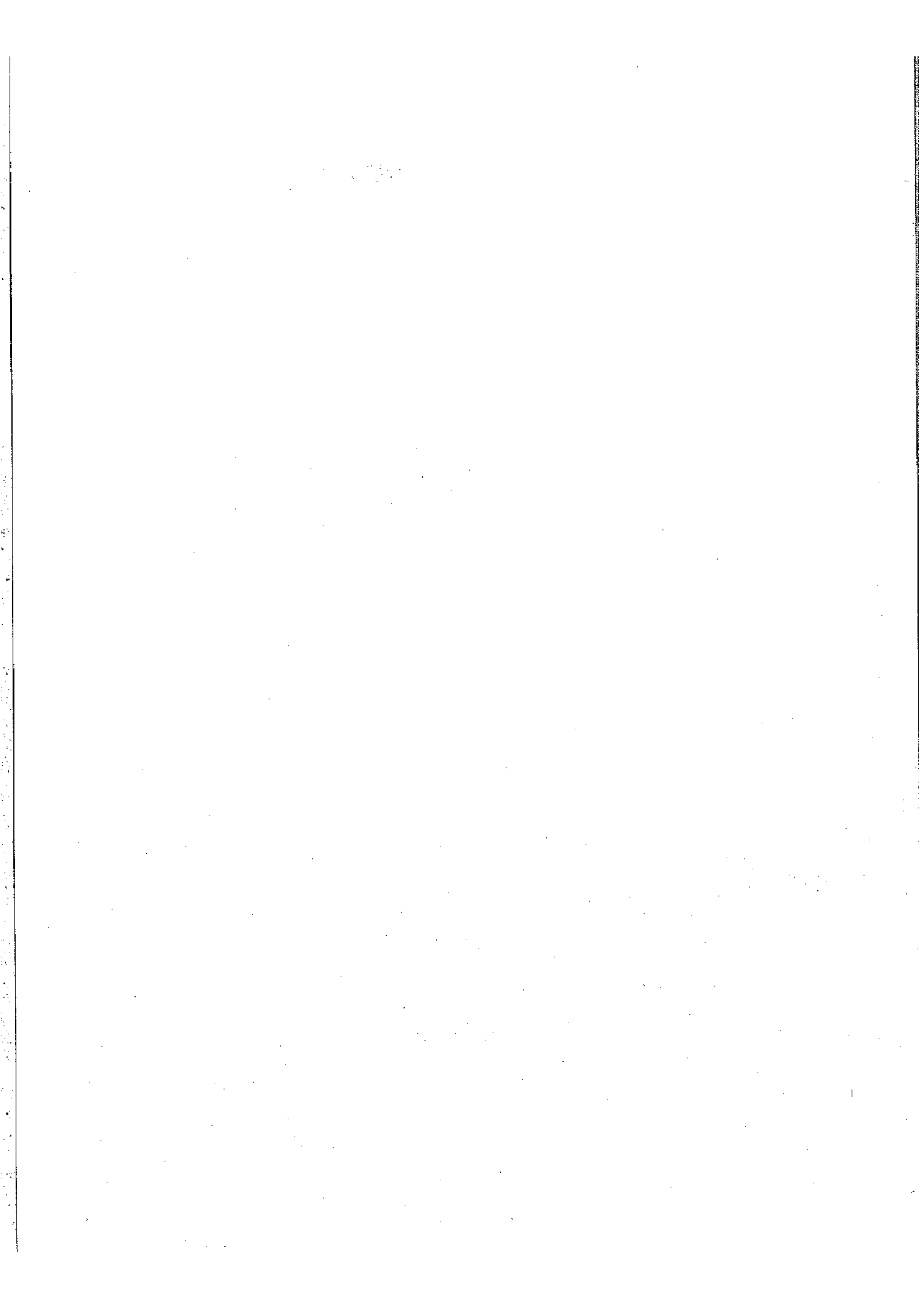
**E.V.P. (Corporate Affairs), Company Secretary & Compliance Officer
Membership No. F5824)**

**Enclosed: Annexure I- Quarterly Compliance Report on Corporate Governance
Annexure II-Corporate Governance Report for the half year ended on 30th
September, 2019**

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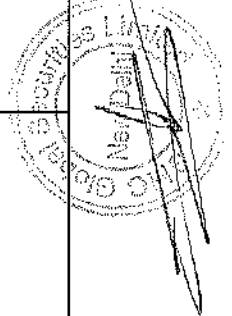
ANNEXURE-I

Quarterly Compliance Report on Corporate Governance

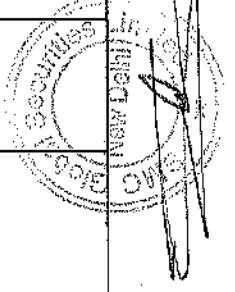
Name of the listed Entity: **SMC Global Securities Limited**
 Quarter Ended: **30th September, 2019**

I. Composition of Board of Directors

Title (Mr./Ms.)	Name of the Director	PAN* & DIN	Category** (Chairperson/Executive/ Non-Executive /independent/ Nominee)	Date of Appointmen t in the current term /cessation	Tenure ***	No. of Directorship in listed entities including this listed entity	No. of memberships in Audit/ Stakeholder Committee(s) Including this listed entity	No. of post of Chairperson in Audit/ Stakeholder Committee held in listed entities including this listed entity
Mr.	Subhash Chand Aggarwal	PAN- AAJPA9387K DIN- 00003267	Chairman/Managing Director	29/01/2015	N.A.	1	Nil	Nil
Mr.	Mahesh Chand Gupta	PAN- AAAPG3736D DIN- 00003082	Vice-Chairman/Managing Director	01/09/2017	N.A.	1	1	Nil
Mr.	Ajay Garg	PAN- ABXPA2346P DIN-	Director/CEO	14/05/2018	N.A.	1	1	Nil



Mr.	Anurag Bansal	00003166	PAN- AAAPB5180A DIN- 00003294	Whole Time Director	28/03/2019	N.A.	1	Nil	Nil
Mr.	Chandra Wadhwa	PAN- AAAPW5444L DIN- 00764576	Independent/Non Executive Director	01/04/2019	5 Years, 6 months	1	1	Nil	Nil
Mr.	Naveen ND Gupta	PAN- AEQPG6833D DIN- 00271748	Independent/Non Executive Director	31/01/2018	1 Year, 8 Months	1	1	Nil	Nil
Mr.	Roop Chand Jindal	PAN- AAHPJ3587C DIN- 01450916	Independent/Non Executive Director	01/04/2019	5 Years, 6 months	1	1	Nil	Nil
Mr.	Hari Das Khunteta	PAN- AAHPK9670R DIN- 00061925	Independent/Non Executive Director	01/04/2019	5 Years, 6 months	1	2	1	1
Mr.	Kundan Mal Agarwal	PAN- AAKPA5644C DIN- 00043115	Independent/Non Executive Director	01/04/2019	5 Years, 6 months	1	3	2	2
Mrs.	Madhu Vj	PAN- AADPV0701A DIN- 00025006	Independent/Non Executive Director	01/04/2019	5 Years, 6 months	3	2	Nil	Nil
Mr.	Himanshu Gupta	PAN- AIEPG2872J DIN- 03187614	Non Executive Director	21/02/2018	N.A.	1	Nil	Nil	Nil



Ms.	Shruti Aggarwal	PAN- APZPA8483R DIN- 06886453	Non Executive Director	16/06/2017	N.A.	1	Nil	Nil
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NOTE:

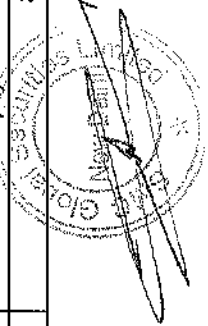
- * PAN number of any director would not be displayed on the website of Stock Exchange
- ** Category of Directors means Executive / Non executive/ Independent / Nominee. If a Director fits into more than one category write all categories separating them with hyphen.
- *** To be filled only for Independent Director. Tenure would mean total period from which Independent Director is serving on Board of Directors of the listed entity in continuity without any cooling off period. (The Independent Directors have been appointed under the provisions of the Companies Act, 2013 and their tenure is considered from the date of appointment under the Companies Act, 2013).

II. Composition of Committees

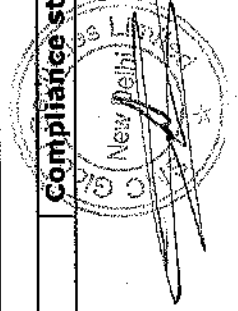
Name of Committee	Name of Committee members	Category (Chairperson/Executive/Non-Executive/Independent/Nominee)
1. Audit Committee	1. Mr. Hari Das Khunteta	Chairman / Independent / Non Executive Director
	2. Mr. Roop Chand Jindal	Independent / Non Executive Director
	3. Mr. Naveen ND Gupta	Independent / Non Executive Director
	4. Mr. Kundan Mal Agarwal	Independent / Non Executive Director
2. Nomination & Remuneration Committee	1. Mr. Chandra Wadhwa	Chairman / Independent / Non Executive Director
	2. Mr. Naveen ND Gupta	Independent / Non Executive Director
	3. Mr. Roop Chand Jindal	Independent / Non Executive Director
	4. Mr. Kundan Mal Agarwal	Independent / Non Executive Director
3. Risk Management Committee (if applicable)	Not Applicable	Not Applicable
4.Stakeholders Relationship Committee'	1. Mr. Kundan Mal Agarwal	Chairman / Independent / Non Executive Director
	2. Mr. Hari Das Khunteta	Independent / Non Executive Director
	3. Mr. Roop Chand Jindal	Independent / Non Executive Director

III. Meeting of Board of Directors

Date(s) of Meeting (if any) in the previous quarter	11.05.2019	Date(s) of Meeting (if any) in the relevant quarter	07.08.2019	Maximum gap between any two consecutive (in number of days)	88 Days
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IV. Meeting of Committees			
A. Audit Committee			
Date(s) of meeting of the committee in the relevant quarter	Whether requirement of Quorum met (details)	Date(s) of meeting of the committee in the previous quarter	Maximum gap between any two consecutive meetings in number of days
07.08.2019	Yes Total Number of Members: 4 Number of Members Present: 3	11.05.2019	88 Days
B. Nomination and Remuneration Committee			
Date(s) of meeting of the committee in the relevant quarter	Whether requirement of Quorum met (details)	Date(s) of meeting of the committee in the previous quarter	Maximum gap between any two consecutive meetings in number of days
N.A	Yes Total Number of Members: N.A Number of Members Present: N.A	11.05.2019	N.A
C. CSR Committee			
Date(s) of meeting of the committee in the relevant quarter	Whether requirement of Quorum met (details)	Date(s) of meeting of the committee in the previous quarter	Maximum gap between any two consecutive meetings in number of days
07.08.2019	Yes Total Number of Members: 3 Number of Members Present: 3	11.05.2019	88 Days
D. Stake Holders Relationship Committee			
Date(s) of meeting of the committee in the relevant quarter	Whether requirement of Quorum met (details)	Date(s) of meeting of the committee in the previous quarter	Maximum gap between any two consecutive meetings in number of days
07.08.2019	Yes Total Number of Members: 3 Number of Members Present: 2	11.05.2019	88 Days
V. Related Party Transactions			
Subject			
			Compliance status (Yes/No/NA) refer note below



Whether prior approval of audit committee obtained	N.A.
Whether shareholder approval obtained for material RPT	N.A.
Whether details of RPT entered into pursuant to omnibus approval have been reviewed by Audit Committee	YES

NOTE:

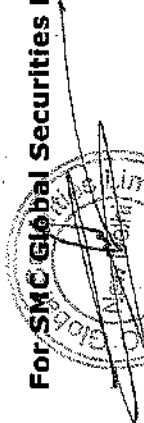
1. In the column "Compliance Status", compliance or non-compliance may be indicated by Yes/No/N.A.. For example, if the board has been composed in accordance with the requirements of the Listing Regulations, "Yes" may be indicated. Similarly, in case the Listed Entity has no related party transactions, the words "N.A." may be indicated.

2. If the status is "No" details of non-compliance may be given here.

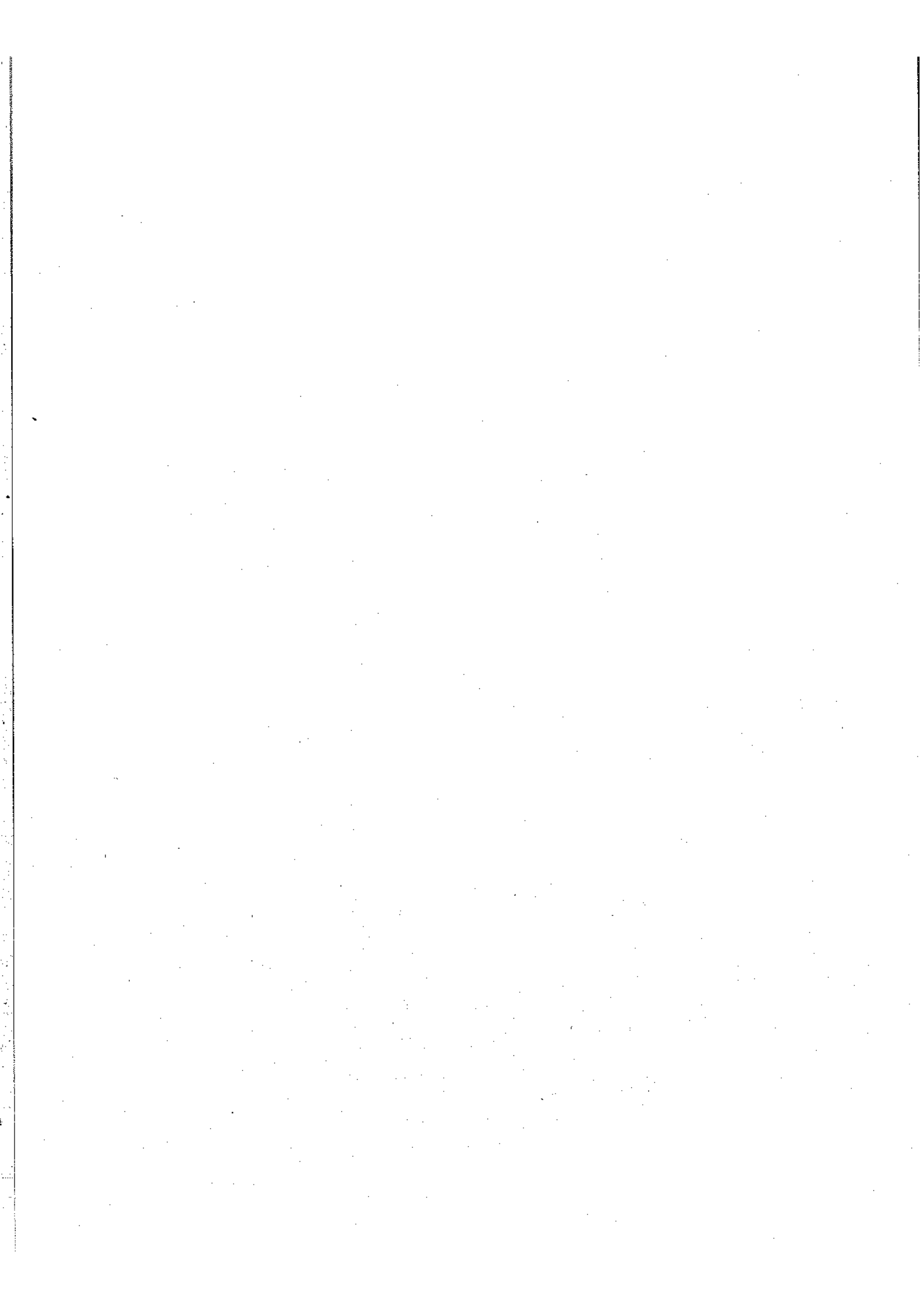
VI. Affirmations

1. The composition of Board of Directors is in terms of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015.
2. The composition of the following committees is in terms of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015
 - a. Audit Committee
 - b. Nomination & Remuneration Committee
 - c. Stakeholders Relationship Committee
3. The committee members have been made aware of their powers, role and responsibilities as specified in SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015.
4. 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.
5. This report shall be placed before the Board of Directors of the Company in the Next Board Meeting.

For SMC Global Securities Limited




Suman Kumar
E.V.P. (Corporate Affairs), Company Secretary & Compliance Officer
Membership No. F5824)



ANNEXURE II

Corporate Governance Report for the half year ended on 30th September, 2019

I. Affirmations		
Broad heading	Regulation Number	Compliance status (Yes/No/NA)*
<i>Copy of the annual report including balance sheet, profit and loss account, directors report, corporate governance report, business responsibility report displayed on website</i>	46(2)	YES
<i>Presence of Chairperson of Audit Committee at the Annual General Meeting</i>	18(1)(d)	YES
<i>Presence of Chairperson of the nomination and remuneration committee at the Annual General Meeting</i>	19(3)	YES
<i>Presence of Chairperson of the Stakeholder Relationship committee at the Annual General Meeting</i>	20(3)	YES
<i>Whether "Corporate Governance Report" disclosed in Annual Report</i>	<i>34(3) read with para C of Schedule V</i>	YES
<p>*Note</p> <p>1 In the column "Compliance Status", compliance or non-compliance may be indicated by Yes/No/N.A. For example, if the Board has been composed in accordance with the requirements of Listing Regulations, "Yes" may be indicated. Similarly, in case the Listed Entity has no related party transactions, the words "N.A." may be indicated.</p> <p>2 If status is "No" details of non-compliance may be given here.</p> <p>3 If the Listed Entity would like to provide any other information the same may be indicated here.</p>		
<p>For SMC Global Securities Limited</p>  <p>Suman Kumar [E.V.P. (Corporate Affairs) & Company Secretary and Compliance Officer] (Membership No. F5824)</p>		

