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SMC GLOBAL SECURITIES LIMITED

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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 • CIN No. : L74899DL1994PLC063609

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

Date: 13th October, 2020

To,

**The Manager
Listing Department,
Calcutta Stock Exchange Limited
7, Lyons Range, Dalhousie
Kolkata – 700001, West Bengal**

Ref: Regulation 27 (2) of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 read with Circular No. SEBI/HO/CFD/CMD1/CIR/P/2019/78 dated 16th July, 2019.

Sub: Submission of Compliance Report on Corporate Governance for the second quarter of FY 2020-21 and half year ended on 30th September, 2020.

Dear Sir(s),

This is with reference to the captioned subject matter. In this regard, we are enclosing herewith the Compliance Report on Corporate Governance, pertaining to Regulation 27(2) of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015, for the second quarter of FY 2020-21 and half year ended on 30th September, 2020.

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)**

Enclosures:

Annexure I- Corporate Governance report for the quarter ended on 30th September, 2020.

Annexure II-Corporate Governance Report for the half year ended on 30th September, 2020.

MUMBAI OFFICE : A Wing, 401/402, Lotus Corporate Park, Graham Firth Steel Compound, Off Western Express Highway, Jay Coach Signal, Goregaon East
Mumbai-400063 Ph : +91-22-67341600, 66481818 Fax : +91-22-67341697 E-mail : smcmumbai@smcindiaonline.com

KOLKATA OFFICE: 18, Rabindra Sarani, Poddar Court, Gate No. 4, 5th Floor, Kolkata - 700001 Ph : +91-33-66127000 Fax : +91-33-66127004
E-mail : smckolkata@smcindiaonline.com



ANNEXURE-I

Quarterly Compliance Report on Corporate Governance

Name of the listed Entity: **SMC Global Securities Limited**
 Quarter Ended: **30th September, 2020**

I. Composition of Board of Directors												
Title (Mr./Ms.)	Name of the Director	PAN* & DIN	Category** (Chairperson/Executive/ Non-Executive /independent/ Nominee)	Initial Date of Appointment	Date of Re-Appointment	Date of Cessation	Tenure ***	Date of Birth	No. of Directorship in listed entities including this listed entity [in reference to Regulation 17A(1)]	No. of Independent Directors in listed entities including this listed entity [in reference to proviso to regulation 17A(1)]	No. 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)
Mr.	Subhash Chand Aggarwal	PAN- AAJPA9387K DIN- 00003267	Chairman/Managing Director (Executive)	19/12/1994	29/01/2020	N.A.	N.A.	02/07/1956	1	Nil	Nil	Nil
Mr.	Mahesh Chand Gupta	PAN- AAAPG3736D DIN-	Vice-Chairman/Managing Director (Executive)	01/09/2007	01/09/2017	N.A.	N.A.	30/01/1957	1	Nil	1	Nil



Mr.	Ajay Garg	00003082	Director & CEO (Executive)	28/03/2009	14/05/2018	N.A.	N.A.	31/12/1973	1	Nil	1	Nil
		PAN-ABXPA2346P DIN-00003166				N.A.	N.A.		1	Nil	1	Nil
Mr.	Anurag Bansal		Whole Time Director (Executive)	28/03/2009	28/03/2019	N.A.	N.A.	21/04/1975	1	Nil	Nil	Nil
		PAN-AAAPB5180A DIN-00003294				N.A.	N.A.		1	Nil	1	1
Mr.	Chandra Wadhwa		Independent/Non Executive Director	03/09/2012	01/04/2019	N.A.	N.A.	06/06/1958	1	1	1	1
		PAN-AAAPW5444L DIN-00764576				N.A.	N.A.		1	1	4	Nil
Mr.	Naveen ND Gupta		Independent/Non Executive Director	31/01/2018	31/01/2018	N.A.	N.A.	08/11/1972	1	1	4	Nil
		PAN-AEQPG6833D DIN-00271748				N.A.	N.A.		1	1	2	Nil
Mr.	Roop Chand Jindal		Independent/Non Executive Director	25/05/2007	01/04/2019	N.A.	N.A.	05/01/1948	1	1	2	Nil
		PAN-AAHPJ3587C DIN-01450916				N.A.	N.A.		1	1	2	1
Mr.	Hari Das Khunteta		Independent/Non Executive Director	12/10/2012	01/04/2019	N.A.	N.A.	20/07/1952	1	1	2	1
		PAN-AAHPK9670R DIN-00061925				N.A.	N.A.		1	1	2	1
Mr.	Kundan Mal Agarwal		Independent/Non Executive Director	10/01/1995	01/04/2019	N.A.	N.A.	05/03/1949	1	1	3	2
		PAN-AAKPA5644C DIN-00043115				N.A.	N.A.		1	1	3	2
Mrs.	Madhu Vij		Independent/Non Executive Director	22/09/2014	01/04/2019	N.A.	N.A.	16/07/1955	2	2	1	Nil
		PAN-AADPV0701A DIN-00025006				N.A.	N.A.		2	2	1	Nil
Mr.	Himanshu Gupta		Non Executive Director	21/02/2018	21/02/2018	N.A.	N.A.	20/11/1986	1	0	Nil	Nil
		PAN-AIEPG2872J DIN-				N.A.	N.A.		1	0	Nil	Nil



	03187614												
Ms. Shruti Aggarwal	PAN- APZPA8483R DIN- 06886453	Non Executive Director	16/06/2017	16/06/2017	N.A.	N.A.	20/04/1991	1	0			Nil	Nil

Whether Regular Chairperson is appointed

Yes

Whether Chairperson is related to MD or CEO

NA

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.

II. Composition of Committees

Name of Committee	Whether Regular Chairperson is appointed	Name of Committee members	Category (Chairperson/Executive/Non-Executive/Independent/Nominee)	Date of Appointment*	Date of Cessation
1. Audit Committee	Yes	1. Mr. Hari Das Khunteta	Chairperson / Independent / Non Executive Director	30.01.2013	
		2. Mr. Roop Chand Jindal	Independent / Non Executive Director	06.02.2012	-
		3. Mr. Naveen ND Gupta	Independent / Non Executive Director	31.01.2018	
		4. Mr. Kundan Mal Agarwal	Independent / Non Executive Director	30.05.2003	
2. Nomination & Remuneration Committee	Yes	1. Mr. Chandra Wadhwa	Chairperson / Independent / Non Executive Director	30.01.2013	-
		2. Mr. Naveen ND Gupta	Independent / Non Executive Director	31.01.2018	
		3. Mr. Roop Chand Jindal	Independent / Non Executive Director	25.05.2007	
		4. Mr. Kundan Mal Agarwal	Independent / Non Executive Director	30.01.2013	
3. Risk Management Committee (if applicable)	Not Applicable				
4. Stakeholders Relationship Committee'	Yes	1. Mr. Kundan Mal Agarwal	Chairperson / Independent / Non Executive Director	28.04.2003	-
		2. Mr. Hari Das Khunteta	Independent / Non Executive Director	30.01.2013	
		3. Mr. Roop Chand Jindal	Independent / Non Executive Director	25.05.2007	
5. Corporate Social Responsibility Committee	Yes	1. Mr. Subhash C. Aggarwal	Chairperson / Executive Director	26.05.2014	-
		2. Mr. Mahesh C. Gupta	Executive Director	26.05.2014	
		3. Mr. Kundan M. Agarwal	Independent / Non Executive Director	26.05.2014	



⁸Category of directors means executive/non-executive/independent/Nominee. if a director fits into more than one category write all categories separating them with hyphen.
 * Date of appointment since constitution & Re-constitution is mentioned.

III. Meeting of Board of Directors

Date(s) of Meeting (if any) in the previous quarter	Date(s) of Meeting (if any) in the relevant quarter	Whether requirement of Quorum met*	Number of Directors present*	Number of independent directors present*	Maximum gap between any two consecutive (in number of days) (in number of days)*
09.06.2020	21.08.2020	Yes Total Number of Directors: 12 Number of Directors Present: 12	12	6	72 Days

* to be filled in only for the current quarter meetings

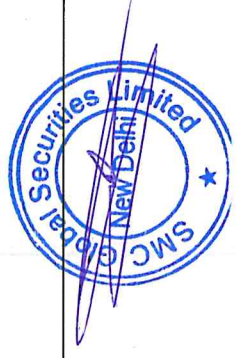
IV. Meeting of Committees

A. Audit Committee

Date(s) of meeting of the committee in the relevant quarter	Whether requirement of Quorum met (details)*	Number of Directors present*	Number of independent directors present*	Date(s) of meeting of the committee in the previous quarter	Maximum gap between any two consecutive meetings in number of days*
21.08.2020	YES Total Number of Members: 4 Number of Members Present: 4	4	4	09.06.2020	72 Days

B. Nomination and Remuneration Committee

Date(s) of meeting of the committee in the relevant quarter	Whether requirement of Quorum met (details)*	Number of Directors present*	Number of independent directors present*	Date(s) of meeting of the committee in the previous quarter	Maximum gap between any two consecutive meetings in number of days*
21.08.2020	YES Total Number of	4	4	N.A.	N.A.



	Members: 4					
	Number of Members Present: 4					
C. Stake Holders Relationship Committee						
Date(s) of meeting of the committee in the relevant quarter	Whether requirement of Quorum met (details)*	Number of Directors present*	Number of independent directors present*	Date(s) of meeting of the committee in the previous quarter	Maximum gap between any two consecutive meetings in number of days*	
21.08.2020	YES	3	3	09.06.2020	72 Days	
	Total Number of Members: 3					
	Number of Members Present: 3					

D. CSR Committee						
Date(s) of meeting of the committee in the relevant quarter	Whether requirement of Quorum met (details)*	Number of Directors present*	Number of independent directors present*	Date(s) of meeting of the committee in the previous quarter	Maximum gap between any two consecutive meetings in number of days*	
N.A.	N.A.	-	-	09.06.2020	N.A.	

* This information has to be mandatorily be given for audit committee, for rest of the committees giving this information is optional
 **to be filled in only for the current quarter meetings

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, 2020

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 align="center">   Suman Kumar [E.V.P. (Corporate Affairs) & Company Secretary and Compliance Officer] (Membership No. F5824) </p>		