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SMC GLOBAL SECURITIES LIMITED

Member: NSE • BSE • MSE • NCDEX • ICEX • MCX

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

SEBI Regn. No. : INZ 000199438 • Research Analyst No. : INH100001849 • Investment Adviser No. : INA100012491

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Ph : +91-11-30111000, 40753333 Fax : +91-11-25754365 • CIN No. : L74899DL1994PLC063609

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

Date: 08th January, 2021

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 quarter ended on 31st December, 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 quarter ended on 31st December, 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 31st December, 2020.

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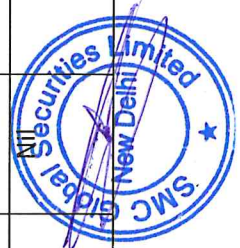


ANNEXURE-I

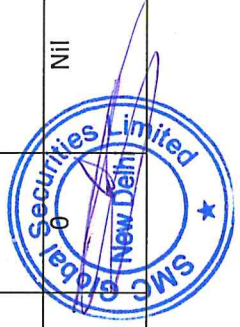
Quarterly Compliance Report on Corporate Governance

Name of the listed Entity: **SMC Global Securities Limited**
 Quarter Ended: **31st December, 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 Director ship 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 | | | | | | | | | | |
| 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 | | | | | | | | | | |
| Mr. | Chandra Wadhwa | | Independent/Non Executive Director | 03/09/2012 | 01/04/2019 | N.A. | 8 Years, 3 Months | 06/06/1958 | 1 | 1 | 1 | 1 |
| | | PAN- AAAPW5444L DIN- 00764576 | | | | | | | | | | |
| Mr. | Naveen ND Gupta | | Independent/Non Executive Director | 31/01/2018 | 31/01/2018 | N.A. | 2 Years, 11 Months | 08/11/1972 | 1 | 1 | 4 | Nil |
| | | PAN- AEQPG6833D DIN- 00271748 | | | | | | | | | | |
| Mr. | Roop Chand Jindal | | Independent/Non Executive Director | 25/05/2007 | 01/04/2019 | N.A. | 13 Years, 7 months | 05/01/1948 | 1 | 1 | 2 | Nil |
| | | PAN- AAHPJ3587C DIN- 01450916 | | | | | | | | | | |
| Mr. | Hari Das Khunteta | | Independent/Non Executive Director | 12/10/2012 | 01/04/2019 | N.A. | 8 Years, 2 months | 20/07/1952 | 1 | 1 | 2 | 1 |
| | | PAN- AAHPK9670R DIN- 00061925 | | | | | | | | | | |
| Mr. | Kundan Mal Agarwal | | Independent/Non Executive Director | 10/01/1995 | 01/04/2019 | N.A. | 25 Years, 11 months | 05/03/1949 | 1 | 1 | 3 | 2 |
| | | PAN- AAKPA5644C DIN- 00043115 | | | | | | | | | | |
| Mrs. | Madhu Vj | | Independent/Non Executive Director | 22/09/2014 | 01/04/2019 | N.A. | 6 Years, 3 Months | 16/07/1955 | 2 | 2 | 1 | Nil |
| | | PAN- AADPV0701A DIN- 00025006 | | | | | | | | | | |
| Mr. | Himanshu Gupta | | Non Executive Director | 21/02/2018 | 21/02/2018 | N.A. | N.A. | 20/11/1986 | 1 | Nil | Nil | Nil |
| | | PAN- AIEPG2872J DIN- | | | | | | | | | | |



*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.
 * 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)* |
|---|---|---|------------------------------|--|--|
| 21.08.2020 | 11.11.2020 | Yes Total Number of Directors: 12 Number of Directors Present: 12 | 12 | 6 | 81 Days |

* to be filled in only for the current quarter meetings

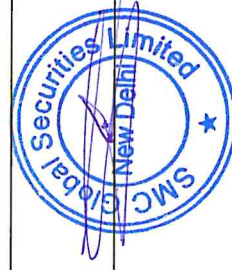
IV. Meeting of Committees

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* |
|---|---|------------------------------|--|---|---|
| 11.11.2020 | YES Total Number of Members: 4 Number of Members Present: 4 | 4 | 4 | 21.08.2020 | 81 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* |
|---|--|------------------------------|--|---|---|
| 10.11.2020 | YES Total Number of | 4 | 4 | 21.08.2020 | 80 Days |



| | | | | | | |
|--|---|-------------------------------------|---|--|--|--|
| | 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* | |
| 11.11.2020 | YES | 3 | 3 | 21.08.2020 | 81 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. | - | - | - | 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

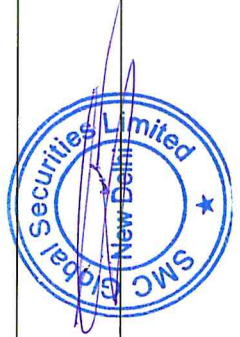
| | |
|--|---|
| V. Related Party Transactions | |
| Subject | Compliance status (Yes/No/NA) refer note below |
| Whether prior approval of audit committee obtained | N.A. |
| Whether shareholder approval obtained for material RPT | N.A. |
| Whether details of RPT entered into pursuant to omnibus approval 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.

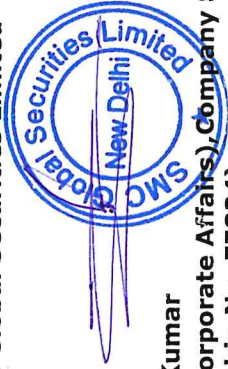
VI. Affirmations

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)**