

FORMAT FOR REPORTING OF COMPLIANCES WITH OPERATING GUIDELINES

I. Details of Board of Directors

Sr. No	Name and Designation of Directors	Details of qualification, past experience and expertise of Directors	Terms of appointment of Directors (Tenure, sitting fees, etc.,)
		- Highest level of education - Total years of work experience - Area of expertise	-Tenure - Remuneration/sitting fees

II. Details of Committees of Board of Directors

Sr. No	Name of Committee	Name and Designation of Committee Members	Date of constitution of Committee	Details of qualification, past experience and expertise of committee members	Terms of appointment of committee members (Tenure, sitting fees, etc.,)	Delegation of Authority Matrix/Terms of Reference (To be attached)
				- Highest level of education - Total years of work experience - Area of expertise	-Tenure - Remuneration/sitting fees	

III. Details of Meetings of the Board of Directors and Committees of Board of Directors

Sr. No	Type of Meeting (Board/Committee)	Committee Name, if applicable (N.A for Board Meeting)	Date of Meeting	Name and Designation of Attendees	Key Agenda Items	Minutes of Board/Committee meeting (To be attached)

IV. Particulars of change in director(s) and Key managerial personnel or other employee:

Name of Director/KMP	DIN/PAN	Nature of change (Appointment/ Change in designation/ Cessation)	Date of appointment/ change in designation/ cessation	Designation prior to change in designation/ appointment/ cessation

V. Department-wise count of employees (including on roll as well as contractual employees):

Sr. No	Name of Department	Department categorized as Critical/Non-critical	Count of full-time employees in department	Count of contractual employees in department (including persons hired through outsourced vendors)	Organization structure	Access Control Policy

VI. Details of training conducted:

Sr. No	Name of training	Date of Training	Whether mandatory/non-mandatory	Whether training is for employees in Critical/Non-critical department	Count of total employees eligible to attend training (including outsourced and contractual employees)	Count of total attendees

VII. List of Policies and Standard Operating Procedures:

Sr. No	Name of Policy/Standard Operating Procedure	Date of current approval of policy/procedure	Approved by	Dates of previous modifications to policy/procedure	Previous modifications approved by
	Risk Management Policy				

Sr. No	Name of Policy/Standard Operating Procedure	Date of current approval of policy/procedure	Approved by	Dates of previous modifications to policy/procedure	Previous modifications approved by
	Winding Down Policy				
	Board approved SOP for handling winding down of critical operations and services.				
	Information Technology Policy				
	Cybersecurity Policy				
	Cybersecurity SOP				

VIII. Particulars of CISO

Designation	Name	Date of appointment	Details of qualification, past experience and expertise	Terms of appointment (Tenure, remuneration, etc.,)	Delegation of Authority Matrix/Terms of Reference (To be attached)	List of Security analysts deployed (To be attached)
CISO						

IX. Details of investor services centres set up:

Name of city	Count of investor service centres	Addresses of investor service centres (To be attached)