

**Date: 20<sup>th</sup> February, 2025**

<b>Listing Operations</b> <b>BSE Limited</b> <b>P J Towers, Dalal Street,</b> <b>Mumbai-400001, India</b>  <b>Scrip Code: 543263</b> <b>Debentures Scrip Code: 939639,</b> <b>939655, 939657, 939643, 939651 and</b> <b>939647</b>	<b>Listing Department</b> <b>National Stock Exchange of India</b> <b>Limited</b> <b>Exchange Plaza, C-1, Block G,</b> <b>Bandra Kurla Complex,</b> <b>Bandra</b> <b>(E ) Mumbai – 400051</b> <b>Symbol: SMCGLOBAL</b>
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**Sub: Integrated Filing (Governance) for the quarter ended on December 31, 2024**

Dear Sir/Ma'am,

Pursuant to SEBI Circular No. SEBI/HO/CFD/CFD-PoD-2/CIR/P/2024/185 dated December 31, 2024, read with BSE Circular No. 20250102-4 and NSE Circular No. NSE/CML/2025/02 dated January 2, 2025; we are submitting herewith the Integrated Filing (Governance) for the quarter ended December 31, 2024.

This will also be hosted on the Company's website at [www.smcindiaonline.com](http://www.smcindiaonline.com)

This is for your information and record.

Thanking you,

Yours Faithfully,

**For SMC Global Securities Limited**

**Suman Kumar**  
**E.V.P. (Corporate Affairs & Legal),**  
**Company Secretary & General Counsel**  
**Membership No. F5824**

**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

Sr	Title (Mr/Ms)	Name of the Director	PAN	DIN	Category 1 of directors	Category 2 of directors	Category 3 of directors	Date of Birth
1	Mr	Subhash Chand Aggarwal	██████████87K	00003267	Executive Director	Chairperson	MD	02-07-1956
2	Mr	Mahesh Chand Gupta	██████████36D	00003082	Executive Director	Not Applicable	MD	30-01-1957
3	Mr	Ajay Garg	██████████46P	00003166	Executive Director	Not Applicable	CEO	31-12-1973
4	Mr	Anurag Bansal	██████████0A	00003294	Executive Director	Not Applicable		21-04-1975
5	Mrs	Shruti Aggarwal	██████████3R	06886453	Executive Director	Not Applicable		20-04-1991
6	Mr	Himanshu Gupta	██████████72J	03187614	Non-Executive - Non Independent Director	Not Applicable		20-11-1986
7	Mr	Naveen ND Gupta	██████████33D	00271748	Non-Executive - Independent Director	Not Applicable		08-11-1972
8	Mr	Narendra Kumar	██████████02G	02307690	Non-Executive - Independent Director	Not Applicable		10-07-1957
9	Mr	Gobind Ram Choudhary	██████████49C	01104704	Non-Executive - Independent Director	Not Applicable		15-03-1966
10	Mr	Dinesh Kumar Sarraf	██████████3P	00147870	Non-Executive - Independent Director	Not Applicable		03-09-1957
11	Mr	Hemant Bhargava	██████████88P	01922717	Non-Executive - Independent Director	Not Applicable		20-07-1959
12	Mr	Neeru Abrol	██████████8G	01279485	Non-Executive - Independent Director	Not Applicable		07-02-1955

**I. Composition of Board of Directors****Disqualification of Directors under section 164 of the Companies Act, 2013**

Sr	Whether the director is disqualified?	Start Date of disqualification	End Date of disqualification	Details of disqualification	Current status
1	No				Active
2	No				Active
3	No				Active
4	No				Active
5	No				Active
6	No				Active
7	No				Active
8	No				Active
9	No				Active
10	No				Active
11	No				Active
12	No				Active

**I. Composition of Board of Directors**

Sr	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)	No of Directorship in listed entities including this listed entity (Refer Regulation 17A of Listing Regulations)	No of Independent Directorship in listed entities including this listed entity [with reference to proviso to regulation 17A(1) & reg. 17A(2)]	Number 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)	Reason for Cessation	Notes for not providing PAN	Notes for not providing DIN
1	NA		19-12-1994	29-01-2020			1	0	0	0			
2	NA		01-09-2007	01-09-2022			1	0	0	0			
3	NA		28-03-2009	14-05-2018			1	0	0	0			
4	NA		28-03-2009	28-03-2024			1	0	1	0			
5	NA		16-06-2017	09-08-2023			1	0	0	0			
6	NA		21-02-2018	21-02-2018			1	0	0	0			
7	NA		31-01-2018	31-01-2023		83	1	1	1	0			
8	NA		16-09-2022	16-09-2022		27	2	2	3	1			
9	NA		22-06-2023	22-06-2023		18	1	1	0	0			
10	NA		09-08-2023	09-08-2023		16	1	1	2	1			
11	NA		09-08-2023	09-08-2023		16	3	3	2	1			
12	Yes	22-06-2024	30-03-2024	30-03-2024		9	5	5	5	1			

**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		

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-Execcutive - 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	Deepak Vohra	Chief Risk Officer	Member	25-10-2024		Textual Information(1)

**Sr Text Block**

Textual Information(1)

Mr. Deepak Vohra, Chief Risk Officer has been appointed as a member of the Risk Management Committee by the Board of Directors at their Meeting held on 25th October, 2024. However, Mr. Vohra is not a Director in the Company and hence is DIN is not available.

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
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**Annexure 1****Annexure 1****III. Meeting of Board of Directors**

Disclosure of notes on meeting of board of directors explanatory								
Sr. No.	Date(s) of meeting (if any) in the previous quarter	Date(s) of meeting (if any) in the current quarter	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	30-07-2024				Yes	12	11	5
2		25-10-2024	86		Yes	12	11	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	Reason 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	30-07-2024				Yes	4	3	3	0
2	Audit Committee	25-10-2024	86			Yes	4	4	4	0
3	Nomination and remuneration committee	30-07-2024				Yes	3	3	3	0
4	Nomination and remuneration committee	23-10-2024	84			Yes	3	3	3	0
5	Stakeholders Relationship Committee	30-07-2024				Yes	3	3	2	0
6	Stakeholders Relationship Committee	23-10-2024	84			Yes	3	3	2	0

**Annexure 1**

**IV. Meeting of Committees**

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	Reason 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)
7	Risk Management Committee	28-07-2024				Yes	4	3	1	0
8	Risk Management Committee	23-10-2024	86			Yes	4	4	1	0

**Annexure 1****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 to 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.	Yes

**Annexure 1**

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
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

**Signatory Details**

Name of signatory	SUMAN KUMAR
Designation of person	Company Secretary and Compliance Officer
Place	DELHI
Date	20-02-2025

**Investor Grievance Details**

No. of investor complaints pending at the beginning of Quarter	0
No. of investor complaints received during the Quarter	1
No. of investor complaints disposed off during the Quarter	1
No. of investor complaints those remaining unresolved at the end of the Quarter	0

**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	NSE	Penalty Imposed of Rs. 5000	30-10-2024	Delayed reporting the closure of bank account to the Exchange within one week of the closure.	No Impact
2	NSE	Penalty Imposed of Rs. 25000	13-11-2024	Member had not maintained Client Ledger in the prescribed format.	No Impact
3	NSE	Penalty Imposed of Rs. 200	21-11-2024	Incorrect reporting of margin collection from clients.	No Impact
4	NSE	Penalty Imposed of Rs. 90,000	25-11-2024	1- Books & Records is not maintained in the prescribed format. 2. Member has promoted trading/transactions, in any form including but not limited to distribution of brokerage waivers/cashback/certificates/medals/gifts/prizes/coupons/tokens. 3. Not issued statement of accounts in the prescribed format.	No Impact
5	NSE	Penalty Imposed of Rs. 25,000	07-12-2024	Member has made excess payout of securities than the available securities balance	No Impact

