

Quarterly Compliance Report on Corporate Governance

(Pursuant to Regulation 27(2) of the Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015

1. Name of Listed Entity : LKP Securities Limited
2. Quarter ending : December 31, 2020

Annexure I

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 Directorship in listed entities including this listed entity [in reference to regulation 17A(1)] | Number of memberships in Audit/ Stakeholder Committee (s) including this listed entity (Refer Regulation 26(1) of Listing Regulation s) | 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. | Pratik Mahendra Doshi | PAN: ACQPD7772E DIN: 00131122 | Executive – Chairperson – Managing Director | 26-10-2010 | 26-10-2019 | - | N.A. | 01-12-1980 | 2 | 0 | 3 | 0 |
| Mr. | Satvinderpal Singh Gulati | PAN: AHXPG9150F DIN: 02404230 | Non – Executive & Non – Independent | 08-07-2016 | | - | N.A. | 10-12-1955 | 1 | 0 | 1 | 1 |
| Mr. | Ganesh Arun Malhotra | PAN: AABPM8141M DIN: 07581670 | Independent | 03-08-2016 | | - | 52 Months | 23-11-1973 | 1 | 1 | 2 | 1 |
| Mr. | Sajid Mohamed | PAN: ALPPM2159N DIN: 06878433 | Independent | 27-09-2017 | | - | 39 Months | 09-11-1979 | 2 | 2 | 1 | 0 |

| | | | | | | | | | | | | |
|---|----------------------|-------------------------------------|---|------------|------------|---|--------------|------------|---|---|---|---|
| Ms. | Anjali Suresh | PAN: AAVPS0996A DIN: 02545317 | Independent | 18-12-2018 | | - | 24 months | 17-11-1965 | 2 | 2 | 4 | 1 |
| Mr. | Mahendra V. Doshi | PAN: AABPD2864Q DIN: 00123243 | Non – Executive & Non – Independent | 03-08-1994 | 14-12-2020 | - | N.A. | 29-11-1949 | 4 | 2 | 3 | 1 |
| Whether Regular chairperson appointed | | | | Yes | | | | | | | | |
| Whether Chairperson is related to managing director or CEO | | | | Yes # | | | | | | | | |
| <p><i>\$PAN of any director would not be displayed on the website of Stock Exchange</i></p> <p><i>&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</i></p> <p><i>* 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.</i></p> <p><i># Mr. Pratik Doshi is the Chairperson and Managing Director of the Company</i></p> | | | | | | | | | | | | |

| II. Composition of Committees | | | | | |
|--|---------------------------------------|-------------------------------|---|---------------------|-------------------|
| Name of Committee | Whether Regular chairperson appointed | Name of Committee members | Category (Chairperson / Executive / Non-Executive / Independent / Nominee) \$ | Date of Appointment | Date of Cessation |
| 1. Audit Committee | Yes | Mr. Ganesh Malhotra | Chairperson - Non- Executive – Independent | 03-08-2016 | - |
| | | Mr. Sajid Mohamed | Non- Executive - Independent | 27-09-2017 | - |
| | | Mr. Pratik Doshi | Executive | 03-08-2016 | - |
| | | Ms. Anjali Suresh | Non- Executive - Independent | 30-01-2020 | - |
| 2. Nomination & Remuneration Committee | Yes | Mr. Ganesh Malhotra | Chairperson - Non- Executive - Independent | 03-08-2016 | - |
| | | Mr. Sajid Mohamed | Non- Executive - Independent | 27-09-2017 | - |
| | | Mr. Satvinderpal Singh Gulati | Non- Executive | 03-08-2016 | - |
| | | Ms. Anjali Suresh | Non- Executive - Independent | 30-01-2020 | - |
| 3. Stakeholders Relationship Committee | Yes | Mr. Satvinderpal Singh Gulati | Chairperson - Non- Executive | 03-08-2016 | - |
| | | Mr. Pratik Doshi | Executive | 03-08-2016 | - |
| | | Mr. Ganesh Malhotra | Non- Executive - Independent | 22-10-2019 | - |
| | | Ms. Anjali Suresh | Non- Executive - Independent | 30-01-2020 | - |
| 4. Corporate Social Responsibility Committee | Yes | Ms. Anjali Suresh | Chairperson - Non- Executive - Independent | 04-02-2019 | - |
| | | Mr. Pratik Doshi | Executive | 04-02-2019 | - |
| | | Mr. Satvinderpal Singh Gulati | Non- Executive | 04-02-2019 | - |
| 5. Risk Management Committee | Not Applicable | | | | |

&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

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) |
|---|---|------------------------------------|------------------------------|--|---|
| 26-09-2020 | 16-10-2020 | Yes | 5 | 3 | 19 |

* to be filled in only for the current quarter meetings

IV. Meetings of Committees

| 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* |
|---|--|------------------------------|--|---|---|
| Audit Committee | | | | | |
| 16-10-2020 | Yes | 4 | 3 | 26-09-2020 | 19 |
| Stakeholders Relationship Committee | | | | | |
| 16-10-2020 | Yes | 4 | 2 | 10-08-2020 | 66 |
| Nomination & Remuneration Committee | | | | | |
| 16-10-2020 | Yes | 4 | 3 | - | - |

* 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) |
|--|--------------------------------------|
| | <i>refer note below</i> |
| Whether prior approval of audit committee obtained | Yes |
| Whether shareholder approval obtained for material RPT | Yes |
| Whether details of RPT entered into pursuant to omnibus approval have been reviewed by the 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 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 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 and/or the report submitted in the previous quarter has been placed before Board of Directors. Any comments/observations/advice of the board of directors may be mentioned here

For LKP Securities Limited

Sd/-

**Akshata Vengurlekar
Company Secretary****Place: Mumbai
Date : 13-01-2021**