

**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 : 31 December, 2021

**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 proviso 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	03-08-2021	-	64 Months	23-11-1973	1	1	2	1
Mr.	Sajid Mohamed	PAN: ALPPM2159N DIN: 06878433	Independent	27-09-2017		-	51 Months	09-11-1979	2	2	1	0
Ms.	Anjali Suresh	PAN: AAVPS0996A DIN: 02545317	Independent	18-12-2018		-	36 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 #

*\$PAN 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.*  
*# Mr. Pratik Doshi is the Chairman and Managing Director of the Company*

<b>II. Composition of Committees</b>					
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*

<b>III. Meeting of Board of Directors</b>					
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)
29-07-2021	25-10-2021	Yes	6	3	87

\* 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					
25-10-2021	Yes	4	3	29-07-2021	87
Nomination & Remuneration Committee					
25-10-2021	Yes	4	3	-	-
Stakeholders Relationship Committee					
25-10-2021	Yes	4	2	29-07-2021	87
* 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)		
Whether prior approval of audit committee obtained			Yes		
Whether shareholder approval obtained for material RPT			NA		
Whether details of RPT entered into pursuant to omnibus approval have been reviewed by the Audit Committee			Yes		
<b>Note:</b>					
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					
d. Risk management committee (applicable to the top 500 listed entities)					
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.					
<b>For LKP Securities Limited</b>					
Place: Mumbai			Sd/-		
Date : January 13, 2022			Akshata Vengurlekar Company Secretary		

<b>VII. Affirmations</b>			
<b>Sr</b>	<b>Particulars</b>	<b>Regulation Number</b>	<b>Compliance status (Yes/No/NA)</b>
1	Copy of the annual report including balance sheet, profit and loss account, directors report, corporate governance report, business responsibility report displayed on website	46(2)	Yes
2	Presence of Chairperson of Audit Committee at the Annual General Meeting	18(1)(d)	Yes
3	Presence of Chairperson of the nomination and remuneration committee at the annual general meeting	19(3)	Yes
4	Presence of Chairperson of the Stakeholder Relationship committee at the annual general meeting	20(3)	Yes
5	Whether "Corporate Governance Report" disclosed in Annual Report	34(3) read with para C of Schedule V	Yes
			<b>For LKP Securities Limited</b>
<b>Place: Mumbai</b> <b>Date : January 13, 2022</b>			<b>Sd/-</b> <b>Akshata Vengurlekar</b> <b>Company Secretary</b>