

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 : 31st March, 2022

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	-	67 Months	23-11-1973	1	1	2	1
Mr.	Sajid Mohamed	PAN: ALPPM2159N DIN: 06878433	Independent	27-09-2017		-	54 Months	09-11-1979	2	2	1	0
Ms.	Anjali Suresh	PAN: AAVPS0996A DIN: 02545317	Independent	18-12-2018		-	39 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 Chairperson and Managing Director of the Company

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)
25-10-2021	31-01-2022	Yes	6	3	97

* 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					
31-01-2022	Yes	4	3	25-10-2021	97
Corporate Social Responsibility Committee					
31-01-2022	Yes	3	1	-	-
Stakeholders Relationship Committee					
31-01-2022	Yes	4	2	25-10-2021	97
* 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					
<i>Subject</i>			<i>Compliance status (Yes/No/NA)</i>		
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		
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					
<ol style="list-style-type: none"> The composition of Board of Directors is in terms of SEBI (Listing Obligations and Disclosure requirements) Regulations, 2015. The composition of the following committees is in terms of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015 <ol style="list-style-type: none"> Audit Committee Nomination & Remuneration Committee Stakeholders Relationship Committee Risk management committee (applicable to the top 500 listed entities) The committee members have been made aware of their powers, role and responsibilities as specified in SEBI(Listing obligations and disclosure requirements) Regulations, 2015. 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. 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					
Place: Mumbai Date : 21-04-2022			Akshata Vengurlekar Company Secretary		

Annexure II

I. Disclosure on website in terms of Listing Regulations

Sr	Item	Compliance status (Yes/No/NA)	If status is "No" details of non- compliance may be given here.	Web address
a)	Details of business	Yes		www.lkpsec.com
b)	Terms and conditions of appointment of independent directors	Yes		www.lkpsec.com
c)	Composition of various committees of board of directors	Yes		www.lkpsec.com
d)	Code of conduct of board of directors and senior management personnel	Yes		www.lkpsec.com
e)	Details of establishment of vigil mechanism/ Whistle Blower policy	Yes		www.lkpsec.com
f)	Criteria of making payments to non-executive directors	Yes		www.lkpsec.com
g)	Policy on dealing with related party transactions	Yes		www.lkpsec.com
h)	Policy for determining 'material' subsidiaries	Yes		www.lkpsec.com
i)	Details of familiarization programmes imparted to independent directors	Yes		www.lkpsec.com
j)	email address for grievance redressal and other relevant details	Yes		www.lkpsec.com
k)	Contact information of the designated officials of the listed entity who are responsible for assisting and handling investor grievances	Yes		www.lkpsec.com
l)	Financial results	Yes		www.lkpsec.com
m)	Shareholding pattern	Yes		www.lkpsec.com
n)	Details of agreements entered into with the media companies and/or their associates	NA		
o)	Schedule of analyst or institutional investor meet and presentations made by the listed entity to analysts or institutional investors simultaneously with submission to stock exchange	NA		
p)	New name and the old name of the listed entity	NA		

q)	Advertisements as per regulation 47 (1)	Yes	www.lkpsec.com
r)	Credit rating or revision in credit rating obtained by the entity for all its outstanding instruments	NA	
s)	Separate audited financial statements of each subsidiary of the listed entity in respect of a relevant financial year	Yes	www.lkpsec.com

As per other regulations of LODR

a)	Whether company has provided information under separate section on its website as per Regulation 46(2)	Yes	www.lkpsec.com
b)	Materiality Policy as per Regulation 30	Yes	www.lkpsec.com
c)	Dividend Distribution policy as per Regulation 43A (as applicable)	NA	

It is certified that these contents on the website of the listed entity are correct

II. Annual Affirmations

Particulars	Regulation Number	Compliance status (Yes/No/NA)
Independent director(s) have been appointed in terms of specified criteria of 'independence' and/or 'eligibility'	16(1)(b) & 25(6)	Yes
Board composition	17(1), 17(1A) & 17(1B)	Yes
Meeting of Board of directors	17(2)	Yes
Quorum of Board meeting	17(2A)	Yes
Review of Compliance Reports	17(3)	Yes
Plans for orderly succession for appointments	17(4)	Yes
Code of Conduct	17(5)	Yes
Fees/compensation	17(6)	Yes
Minimum Information	17(7)	Yes
Compliance Certificate	17(8)	Yes
Risk Assessment & Management	17(9)	Yes
Performance Evaluation of Independent Directors	17(10)	Yes
Recommendation of Board	17(11)	Yes

Maximum number of Directorships	17A	Yes
Composition of Audit Committee	18(1)	Yes
Meeting of Audit Committee	18(2)	Yes
Composition of nomination & remuneration committee	19(1) & (2)	Yes
Quorum of Nomination and Remuneration Committee meeting	19(2A)	Yes
Meeting of Nomination and Remuneration Committee	19(3A)	Yes
Composition of Stakeholder Relationship Committee	20(1), 20(2) & 20(2A)	Yes
Meeting of Stakeholders Relationship Committee	20(3A)	Yes
Composition and role of risk management committee	21(1),(2),(3),(4)	NA
Meeting of Risk Management Committee	21(3A)	NA
Vigil Mechanism	22	Yes
Policy for related party Transaction	23(1),(1A),(5),(6),(7) & (8)	Yes
Prior or Omnibus approval of Audit Committee for all related party transactions	23(2), (3)	Yes
Approval for material related party transactions	23(4)	Yes
Disclosure of related party transactions on consolidated basis	23(9)	Yes
Composition of Board of Directors of unlisted material Subsidiary	24(1)	NA
Other Corporate Governance requirements with respect to subsidiary of listed entity	24(2),(3),(4),(5) & (6)	Yes
Annual Secretarial Compliance Report	24(A)	Yes
Alternate Director to Independent Director	25(1)	NA
Maximum Tenure	25(2)	Yes
Meeting of independent directors	25(3) & (4)	Yes
Familiarization of independent directors	25(7)	Yes

Declaration from Independent Director	25(8) & (9)	Yes
Directors and Officers insurance	25(10)	NA
Memberships in Committees	26(1)	Yes
Affirmation with compliance to code of conduct from members of Board of Directors and Senior management personnel	26(3)	Yes
Disclosure of Shareholding by Non-Executive Directors	26(4)	Yes
Policy with respect to Obligations of directors and senior management	26(2) & 26(5)	Yes
Note		
<p>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.</p> <p>2 If status is "No" details of non-compliance may be given here.</p> <p>3 If the Listed Entity would like to provide any other information the same may be indicated here.</p> <p>(*) The provision relating to Regulation 25(6) of Listing Regulations is not applicable to the Company.</p>		
III Affirmations:		
The Company has approved the Material Subsidiary Policy and the Corporate Governance requirements with respect to the subsidiary of the Company have been complied.		
Additional Half yearly Disclosure		
Applicability of disclosure	Yes	
I. Disclosure of Loans/ guarantees/comfort letters /securities etc.refer note below		
(A)Any loan or any other form of debt advanced by the listed entity directly or indirectly to		
Entity	Aggregate amount advanced during six months	Balance outstanding at the end of six months
Promoter or any other entity controlled by them	0	0
Promoter Group or any other entity controlled by them	0	0
Directors (including relatives) or any other entity controlled by them	0	0
KMPs or any other entity controlled by them	0	0
(B) Any guarantee / comfort letter (by whatever name called) provided by the listed entity directly or indirectly, in connection with any loan(s) or any other form of debt availed By		

Entity	Type (guarantee, comfort letter etc.)	Aggregate amount of issuance during six months	Balance outstanding at the end of six months(taking into account any invocation)
Promoter or any other entity controlled by them	NA	0	0
Promoter Group or any other entity controlled by them	NA	0	0
Directors (including relatives) or any other entity controlled by them	NA	0	0
KMPs or any other entity controlled by them	NA	0	0
(C) Any security provided by the listed entity directly or indirectly, in connection with any loan(s) or any other form of debt availed by			
Entity	Type of security (cash, shares etc.)	Aggregate value of security provided during six months	Balance outstanding at the end of six months
Promoter or any other entity controlled by them	NA	0	0
Promoter Group or any other entity controlled by them	NA	0	0
Directors (including relatives) or any other entity controlled by them	NA	0	0
KMPs or any other entity controlled by them	NA	0	0
(D) Additional Information			
II. Affirmations			
Affirmations		Compliance Status	Company Remarks
All loans (or other form of debt), guarantees, comfort letters (by whatever name called) or securities in connection with any loan(s) (or other form of debt) given directly or indirectly by the listed entity to promoter(s), promoter group, director(s) (including their relatives), key managerial personnel (including their relatives) or any entity controlled by them are in the economic interest of the company.		Yes	
Name	GIRISH MAJREKAR		
Designation	CFO		
Place	MUMBAI		
Date	21-04-2022		
			For LKP Securities Limited
Place: Mumbai			Akshata Vengurlekar
Date : 21-04-2022			Company Secretary