

RGF CAPITAL MARKETS LIMITED

Regd. Office: 14, N.S. ROAD, 2ND FLOOR, KOLKATA - 700001

CIN: L67120WB1983PLC036113

Email:rgfcapital@gmail.com, Website: www.rgfcapitalmarkets.com

Dated: 09.10.2021

To,
The Company Secretary & Listing Department,
The Calcutta Stock Exchange Limited,
7, Lyons Range, Kolkata - 700001

Sub: Quarterly Report on Corporate Governance
for Quarter Ending 30.09.2021

Dear Sir,

We enclose herewith the compliance status report for the quarter ended 30th September, 2021 in the format prescribed, for your information and record.

Kindly acknowledge the receipt.

Thanking You,

Yours Truly,

For RGF Capital Markets Limited

for RGF CAPITAL MARKETS LTD


Director

General information about company

Scrip code	539669
NSE Symbol	
MSEI Symbol	
ISIN	INE684D01025
Name of the entity	RGF CAPITAL MARKETS LIMITED
Date of start of financial year	01-04-2021
Date of end of financial year	31-03-2022
Reporting Quarter	Half Yearly
Date of Report	30-09-2021
Risk management committee	Not Applicable
Market Capitalisation as per immediate previous Financial Year	Any other

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

Name of the Director	PAN	DIN	Category 1 of directors	Category 2 of directors	Category 3 of directors	Date of Birth	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 (Refer Regulation 17A(1) of Listing Regulations)	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)	Notes
ARMALATA	ABEPN9248G	00307611	Executive Director	Chairperson	MD	09-09-1949	NA		30-09-2015	02-05-2019		2	0	0	0		
ARNA	AHKPP3850C	06873319	Non-Executive - Non Independent Director	Not Applicable		26-09-1975	No		15-12-2014			2	0	2	2		
JIPAR	AREPB1819R	02738193	Non-Executive - Independent Director	Not Applicable		07-02-1973	No		29-09-2014		70	2	2	2	2		
PIVAL	CCUPS043K	08852633	Non-Executive - Independent Director	Not Applicable		25-01-1987	No		26-03-2021			3	2	2	2	2	

I. Composition of Board of Directors

Disclosure of notes on composition of board of directors explanatory

Whether the listed entity has a Regular Chairperson

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	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 (Refer Regulation 17A(1) of Listing Regulations)	Number of members in Audit/ Stakehold Committee (s) including this listed entity (Ref Regulation 26(1) of Listing Regulation)
5	Mr	AJAY PRATAP SINGH	BWXPS4343C	06873486	Non-Executive - Independent Director	Not Applicable		07-07-1973	No		18-06-2021			3	2	2	2
6	Ms	RISHI KANT TIWARI	AHIPT3731E	08029578	Non-Executive - Non Independent Director	Not Applicable		26-01-1985	No		20-07-2021			2	2	0	2

Audit Committee Details							
Sr	DIN Number	Name of Committee members	Whether the Audit Committee has a Regular Chairperson		Date of Appointment	Date of Cessation	Remarks
			Category 1 of directors	Category 2 of directors			
1	02738193	SANDIP KUMAR BEJ	Non-Executive - Independent Director	Chairperson	29-09-2014		
2	06873319	SUJIT KUMAR PANDA	Non-Executive - Non Independent Director	Member	15-12-2014		
3	08852633	MALTI JAISWAL	Non-Executive - Independent Director	Member	26-03-2021		
4	06873486	AJAY PRATAP SINGH	Non-Executive - Independent Director	Member	18-06-2021		
5	08029578	RISHI KANT TIWARI	Non-Executive - Non Independent Director	Member	20-07-2021		

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	02738193	SANDIP KUMAR BEJ	Non-Executive - Independent Director	Chairperson	29-09-2014		
2	06873319	SUJIT KUMAR PANDA	Non-Executive - Non Independent Director	Member	15-12-2014		
3	08852633	MALTI JAISWAL	Non-Executive - Independent Director	Member	26-03-2021		
4	06873486	AJAY PRATAP SINGH	Non-Executive - Independent Director	Member	18-06-2021		
5	08029578	RISHI KANT TIWARI	Non-Executive - Non Independent Director	Member	20-07-2021		

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	02738193	SANDIP KUMAR BEJ	Non-Executive - Independent Director	Member	29-09-2014		
2	06873319	SUJIT KUMAR PANDA	Non-Executive - Non Independent Director	Chairperson	15-12-2014		
3	08852633	MALTI JAISWAL	Non-Executive - Independent Director	Member	26-03-2021		
4	06873486	AJAY PRATAP SINGH	Non-Executive - Independent Director	Member	18-06-2021		
5	08029578	RISHI KANT TIWARI	Non-Executive - Non Independent Director	Member	20-07-2021		

Other Committee						
Sr	DIN Number	Name of Committee members	Name of other committee	Category 1 of directors	Category 2 of directors	Remarks

Annexure 1

Annexure 1

III. Meeting of Board of Directors

Disclosure of notes on meeting of board of directors explanatory							
Sr	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)	Number of Directors present* (other than Independent Director)	No. of Independent Directors attending the meeting*
1	30-06-2021				Yes	2	3
2		14-08-2021	44		Yes	2	3

Annexure 1

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)	Number of Directors present* (other than Independent Director)	No. of Independent Directors attending the meeting*
1	Audit Committee	30-06-2021				Yes	2	3
2	Audit Committee	14-08-2021	44			Yes	2	3

Annexure 1

V. Related Party Transactions

Sr	Subject	Compliance status (Yes/No/NA)	If status is "No" details of non-compliance may be given here.
1	Whether prior approval of audit committee obtained	Yes	
2	Whether shareholder approval obtained for material RPT	NA	
3	Whether details of RPT entered into pursuant to omnibus approval have been reviewed by Audit Committee	Yes	

Annexure 1

VI. 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 500 listed entities)	NA
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	Shradha Handa
2	Designation	Company Secretary and Compliance Officer

Annexure III

III. Affirmations				
Sr	Particulars	Regulation Number	Compliance status (Yes/No/NA)	If status is "No" details of non-compliance may be given here.
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	
Any other information to be provided				

Annexure III

1	Name of signatory	Shradha Handa
2	Designation	Company Secretary and Compliance Officer

Additional Half yearly Disclosure

Applicability of disclosure	Not Applicable
Reason for Non Applicability	Textual Information(1)

Signatory Details

Name of signatory	Shradha Handa
Designation of person	Company Secretary and Compliance Officer
Place	Kolkata
Date	09-10-2021