



Corporate Governance Report

1. Name of Listed Entity : **DCM Financial Services Limited**
 2. Quarter ending : **30.09.2021**

Annexure-I

I. Composition of Board of Directors												
Title (Mr / Ms.)	Name of the Directors	PAN & DIN	Category (Chairperson/ Executive / Non-Executive / Independent/ Nominee)	Initial Date of Appointment	Date of Re-Appointment	Date of Cessation	Tenure of Director s in month*	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 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)

DCM FINANCIAL SERVICES LIMITED

CIN: L65921DL1991PLC043087

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Mr.	Sanjay Sahni	PAN - ABP PS92 33B DIN- 0836 4951	Non-Executive Independent Director	1st September, 2020	18 th December, 2020	-	13 Months	20/11/1969	3	3	5	0
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Mr.	Kaushal Kashyap	PAN - BPT PK30 45L DIN-0768 3753	Non-Executive Director	1st September, 2020	18th December, 2020	-	13 months	23/12/1991	2	1	1	1
Ms.	Richa Kalra	PAN AAD PK39 72P DIN-0763 2571	Non-Executive Independent Director	6 th October, 2016	30 th September, 2019	-	59.8	22/01/1979	1	1	0	2

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Ms.	Daman PreetKaur	PAN - COE PK16 95B DIN-0747 5919	Non-Executive Independent Director	11 th August, 2017	30 th November, 2017	-	49.64 Months	09/10/1991	1	1	1	0
Ms.	Rajni Gupta	PAN - AFIP G605 7N DIN-0724 2992	Non-Executive Independent Director	12 th February, 2018	30 th November, 2018	-	43.61 Months	01/05/1973	1	1	0	0
Mr.	Shantanu Deveshwar	PAN - AGH PD88 22E DIN-0826 8523	Chairperson on Executive Director (Whole Time)	22 nd October, 2018	30 th November, 2018	-	-	16/05/1969	1	0	2	0
Whether Regular chairperson appointed			Yes- Shantanu Deveshwar									

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	Whether Chairperson is related to managing director or CEO	NA				
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	Ms. Richa Kalra	Chairperson-Non-Executive Independent Director	06-10-2016	-	
		Ms. Rajni Gupta	Non-Executive Independent Director	12-02-2018	14-08-2021	
		Mr. Shantanu Deveshwar	Executive Director	22-11-2018	-	
		Mr. Sanjay Sahni	Non-Executive Independent Director	14-08-2021	-	

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2. Nomination & Remuneration Committee	YES	Ms. Richa Kalra	Chairperson-Non-Executive Independent Director	06-10-2016	-	
		Ms. Daman Preet Kaur	Non-Executive Independent Director	11-08-2017	-	
		Ms. Rajni Gupta	Non-Executive Independent Director	12-02-2018	14-08-2021	
		Mr. Sanjay Sahni	Non-Executive Independent Director	14-08-2021	-	
3.Risk Management Committee	NA	NA	NA			
4. Stakeholders Relationship Committee	YES	Ms. Richa Kalra	Chairperson-Non-Executive Independent Director	06-10-2016	-	
		Ms. Daman PreetKaur	Non-Executive Independent Director	11-08-2017	-	

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		Mr. Shantanu Deveshwar	Executive Director	22-11-2018	-	
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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 meeting (in number of days)
26 th May, 2021	14 th August, 2021	YES	5	3	45
29 th June, 2021					

* The Board meeting held on 22nd June, 2021 was adjourned for want of Quorum, so no business was transacted in the said meeting. The Adjourned Meeting was held on 29th June, 2021.

IV. Meeting of Committees						
Name of Committee	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	14 th August,	Yes	3	2	26 th May, 2021	45

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Committee	2021					
					29 th June, 2021*	
Stakeholders' Relationship Committee	14 th August, 2021	Yes	3	2	26 th May, 2021	45
					29 th June, 2021	
Nomination & Remuneration Committee	Nil	NA	NA	NA	Nil	NA

* The Audit Committee meeting held on 22nd June, 2021 was adjourned for want of Quorum, so no business was transacted in the said meeting. The Adjourned Meeting was held on 29th June, 2021.

V. Related Party Transaction	
Subject	Compliance Status (Yes/No/NA) refer note below
Whether prior approval of audit committee obtained	NA
Whether shareholder approval obtained for material RPT	NA
Whether details of RPT entered into pursuant to omnibus approval have been reviewed by Audit Committee	NA
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.	

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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 Board of Directors may be mentioned here:

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Annexure-III

Format to be submitted by listed entity at the end of 6 months after end of financial year

VII. Affirmations		
Broad heading	Regulation Number	Compliance status (Yes/No/NA)
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)	No (The Registrar of Companies, NCT of Delhi and Haryana vide their letter dated 07-09-2021, has granted approval for Extension of AGM for 3 Months)
Presence of Chairperson of Audit Committee at the Annual General Meeting	18(1)(d)	NA
Presence of Chairperson of the nomination and remuneration committee at the annual general Meeting	19(3)	NA
Presence of Chairperson of the Stakeholder Relationship committee at the annual general Meeting	20(3)	NA
Whether “Corporate Governance Report” disclosed in Annual Report	34(3) read with para C of Schedule V	NA

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Annexure-IV

Format to be submitted twice a year, on a half yearly basis by the listed entity at the end of every 6 months of the financial year

Half year ending – 30th September, 2021

I. Disclosure of Loans / guarantees / comfort letters / securities etc.		
(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	NIL	NIL
Promoter group or any other entity controlled by them	NIL	NIL
Directors (including relatives) or any other entity controlled by them	NIL	NIL
KMPs or any other entity controlled by them	NIL	NIL
(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:		

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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	NIL	NIL	NIL
Promoter group or any other entity controlled by them	NIL	NIL	NIL
Directors (including relatives) or any other entity controlled by them	NIL	NIL	NIL
KMPs or any other entity controlled by them	NIL	NIL	NIL

(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	NIL	NIL	NIL
Promoter group or any other entity controlled by them	NIL	NIL	NIL
Directors (including relatives) or any other entity controlled by them	NIL	NIL	NIL
KMPs or any other entity controlled by them	NIL	NIL	NIL

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II.

Affirmations:

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.

Name: Somali Tiwari

Designation: Chief Financial Officer

For DCM Financial Services Limited

Shantanu Deveshwar
(Whole Time Director)
DIN: 08268523

Date: 11.10.2021

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