

### Compliance Report on Corporate Governance

1. Name of Listed Entity : 5paisa Capital Limited (NSE SYMBOL: 5PAISA , BSE Scrip Code: 540776)
2. Quarter ending on : June 30, 2021

#### I. Composition of Board of Directors

Title (Mr. / Ms.)	Name of the Director	PAN <sup>S</sup> & DIN	Category (Chairperson/Executive/Non-Executive/independent/Nominee) &	Initial Date of Appointment	Date of Re-appointment	Date of Cessation	Tenure in Months	No. of Directorship in listed entities including this listed entity. [in reference to proviso 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)
Mr.	Prakarsh Gagdani	PAN: AEOPG069 8A DIN: 07376258	Executive Director & CEO	22/12/2015	22/12/2018	-	N. A.	1	0	1	0
Dr.	Dr. Archana Hingorani	PAN: ABLPH822 7Q DIN: 00028037	Chairperson-Independent Director-Non Executive Director	07/06/2017	-	-	49.00	5	5	7	2
Ms.	Nirali Sanghi	PAN: ABBPS326 8G DIN: 00319389	Independent Director-Non Executive Director	11/01/2018	-	-	42.00	1	1	2	1

**5paisa Capital Limited**

Corporate Identity Number: L67190MH2007PLC289249

Corp. Office / Regd. Office: IIFL House, Sun Infotech Park, Road No.16V, Plot No. B-23, Wagale Estate, Thane 400 604. Tel: +918976689766

• E-mail: csteam@5paisa.com • Website: www.5paisa.com

Mr.	Milin Mehta	PAN: AAUPM00 34G DIN: 01297508	Independent Director-Non Executive Director	01/04/2020	-	-	12.00	3	3	4	3
Mr.	Santosh Jayaram	PAN: APRPJ3441 A DIN: 07955607	Executive Director	11/01/2018	-	28/02/2021	N. A.	1	0	0	0
Mr.	Gourav Munjal	PAN: BIHPM189 6A DIN: 06360031	Executive Director & CFO	16/01/2020	-	-	N.A.	1	0	0	0
Mr.	Ravindra Garikipati	PAN: AIJPG2834 K DIN: 00984163	Independent Director-Non Executive Director	03/09/2020	-	-	10.00	1	1	0	0

Whether Regular chairperson appointed - Yes

Whether Chairperson is related to managing director or CEO - No

§ PAN number 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.

@ In the column of Membership of Director, the total membership of Director as a member of the Audit and Stakeholders Relationship Committee is considered irrespective of him/her being a Chairperson of that particular Committee. Similarly in the column of Chairperson, the Director is counted as a Chairperson irrespective of being him/her considered as member of the Committee.

^ Listed entities also include Companies having debt securities listed on recognized Stock Exchange.

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## II. Composition of Committees:

Name of Committee	Name of Committee members	Category (Chairperson/Executive/Non-Executive/independent/Nominee) <sup>\$</sup>
Audit Committee	Mr. Milin Mehta	Chairman-Independent Director-Non Executive Director
	Ms. Nirali Sanghi	Independent Director-Non Executive Director
	Dr. Archana Hingorani	Independent Director-Non Executive Director
Nomination & Remuneration Committee	Ms. Nirali Sanghi	Chairperson-Independent Director- Non Executive Director
	Dr. Archana Hingorani	Independent Director- Non Executive Director
	Mr. Milin Mehta	Independent Director-Non Executive Director
	Mr. Ravindra Garikipati	Independent Director-Non Executive Director
Risk Management Committee	Dr. Archana Hingorani	Chairperson -Independent Director-Non Executive Director
	Mr. Prakarsh Gagdani	Executive Director
	Mr. Gourav Munjal	Executive Director
Stakeholders Relationship Committee	Ms. Nirali Sanghi	Chairperson-Independent Director-Non Executive Director
	Dr. Archana Hingorani	Independent Director-Non Executive Director
	Mr. Prakarsh Gagdani	Executive Director
Corporate Social Responsibility Committee	Mr. Milin Mehta	Chairman-Independent Director-Non Executive Director
	Mr. Prakarsh Gagdani	Executive Director
	Mr. Gourav Munjal	Executive Director

\$ 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 ended June 30, 2021	Maximum gap between any two consecutive meetings (in numbers of days)
January 13, 2021	April 13, 2021	89 days
	April 20, 2021	6 days

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#### IV. Meeting of Committees:

Date(s) of meeting of the committee in the relevant quarter.	Whether requirement of Quorum met (details)	Date (s) of meeting of the committee in the previous quarter	Maximum gap between any two consecutive meetings in numbers of days. *
<b><u>Audit Committee</u></b> April 20, 2021	All the members of the Audit Committee were present in the Meeting	January 13, 2021	96 days
<b><u>Nomination Remuneration Committee</u></b> April 20, 2021	All the members of the Nomination and Remuneration Committee were present in the Meeting	January 13, 2021	96 days
<b><u>Stakeholders Relationship Committee</u></b> March 23, 2021	All the members of the Stakeholders Relationship Committee were present in the Meeting	-	-

\* This information has to be mandatorily be given for audit committee, for rest of the committees giving this information is optional.

#### V. Related Party Transactions:

Subject	Compliance Status (Yes/No/NA) <small>refer note below</small>
Whether prior approval of audit committee obtained	Yes
Whether shareholders' approval obtained to material RPT	Yes
Whether details of RPT entered into pursuant to omnibus approval have been reviewed by 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.

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## VI. Affirmations

Sr. No.	Affirmations	Any comments/observations/advice of Board of Directors may be mentioned here:
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 b) Nomination & Remuneration Committee c) Stakeholders relationship Committee d) Risk management committee (applicable to the top 1000 listed entities)-	Yes
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.	Yes
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.	Yes
5.	This report and/or the report submitted in the previous quarter have been placed before Board of Directors.	Yes

For 5paisa Capital Limited



**Namita Godbole**  
**Company Secretary**

**Date:** July 14, 2021

**Place:** Mumbai

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