

AUTHUM INVESTMENT & INFRASTRUCTURE LIMITED

Registered Office: 707, Raheja Centre, Free Press Journal Road, Nariman Point, Mumbai 400 021.

CIN: L51109MH1982PLC319008, **Website:** www.authum.com, **Email:** authuminvest@gmail.com, **Tel.:** 022-67472117

13th October, 2020

To,
The Calcutta Stock Exchange Limited
7, Lyons Range,
Kolkata – 700001.

Sub: Submission of Corporate Governance Report for the quarter ended 30th September, 2020

Dear Sir / Madam,

In pursuance to Regulation 27(2) of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015, Corporate Governance Report for the quarter ended 30th September, 2020, is enclosed herewith for your reference and record.

Kindly acknowledge the receipt and do the needful.

For Authum Investment & Infrastructure Limited



Hitesh Vora
Company Secretary and Compliance Officer
Mem No. A40193

ANNEXURE I

Format to be submitted by listed entity on quarterly basis

1. Name of Listed Entity: - Authum Investment & Infrastructure Ltd.
2. Quarter ending: 30/09/2020

I Composition of Board of Directors												
Title (Mr / Ms)	Name of the Director	PAN ^s & DIN	Category (Chairperson /Executive/ Non-Executive/ Independent/No minee) &	Initial Date of Appointment	Date of Re-Appointment in the current term	Date of Cessation	Tenure * (In months)	Date of Birth	No of Directorship in listed entities including this listed entity (Refer Regulation 17A(1) of Listing Regulations)	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.	Navin Kumar Jain	ACIPJ7109F00465888	Chairperson - Executive Director	21-03-2013	01-04-2018	-	-	09-07-1975	1	0	0	0
Mrs.	Alpana Sanjay Dangi	AFNPD2805C01506529	Non-Executive – Non-Independent Director	30-09-2019	-	-	-	29-10-1972	1	0	0	0
Mr.	Vinit Kishorchandraparikh	AHKPP3751G01461830	Non-Executive - Independent Director	30-09-2019	-	-	12	06-03-1979	1	1	2	2
Mr.	Vimal Ajmera	AFXPA8313E07011895	Non-Executive - Independent Director	30-09-2019	-	-	12	06-07-1974	1	1	2	0
Mr.	Amit K Dangi	AYBPD9431B06527044	Executive Director	29-06-2020	-	-	-	30-01-1991	1	0	2	0
Mr	Achokan Achuthan	AACPA4879R08738877	Non-Executive - Independent Director	30-05-2020	-	-	4	05-04-1965	1	1	0	0

Mrs	Bhaviika Jain	AOQPJ6550A 08738884	Non-Executive - Independent Director	30-05-2020	-	-	4	08-04-1990	1	1	0	0
	YES	Whether Regular chairperson appointed										
	NO	Whether Chairperson is related to managing director or CEO										
		§ 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 * 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										

II Composition of Committees



<i>Name of Committee</i>	Whether Regular chairperson appointed	Name of Committee members	<i>Category (Chairperson/ Executive/ Non-Executive/ independent/ Nominee) §</i>	Date of Appointment	Date of Cessation
1. Audit Committee	YES	1) Amit K Dangi 2) Vinit Kishorchandra Parikh 3) Vimal Ajmera	1) Executive Director (Member) 2) Non-Executive – Independent Director (Chairperson) 3) Non-Executive - Independent Director (Member)	03-01-2020 03-01-2020 03-01-2020	-
2. Nomination & Remuneration Committee	YES	1) Alpana Sanjay Dangi 2) Vinit Kishorchandra Parikh 3) Vimal Ajmera	1) Non-Executive – Non Independent Director (Member) 2) Non-Executive - Independent Director (Chairperson) 3) Non-Executive - Independent Director (Member)	29-06-2020 03-01-2020 03-01-2020	-
3. Risk Management Committee(if applicable)		NA	NA		-
4. Stakeholders Relationship Committee'	YES	1) Amit K Dangi 2) Vinit Kishorchandra Parikh 3) Vimal Ajmera	1) Executive Director (Member) 2) Non-Executive – Independent Director (Chairperson) 3) Non-Executive - Independent Director (Member)	03-01-2020 03-01-2020 03-01-2020	-
5. Corporate Social Responsibility Committee	YES	1) Amit K Dangi 2) Vinit Kishorchandra Parikh 3) Vimal Ajmera	1) Executive Director (Member) 2) Non-Executive – Independent Director (Chairperson) 3) Non-Executive - Independent Director (Member)	03-01-2020 03-01-2020 03-01-2020	-

§ 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

<i>Date(s) of Meeting (if any) in the previous quarter</i>	<i>Date(s) of Meeting (if any) in the relevant quarter</i>	<i>Whether requirement of Quorum met*</i>	<i>Number of Directors present*</i>	<i>Number of independent directors present*</i>	<i>Maximum gap between any two consecutive (in number of days)</i>
29-06-2020	-	YES	4	2	-
-	31-08-2020	YES	6	4	62

* to be filled in only for the current quarter meetings						
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 Committee	-	YES	2	1	29-06-2020	-
Audit Committee	31-08-2020	YES	3	2	-	62
Stakeholders Relationship Committee'	-	YES	2	1	29-06-2020	-
Stakeholders Relationship Committee'	31-08-2020	YES	3	2	-	62
Nomination and Remuneration Committee	-	YES	2	1	29-06-2020	-
Nomination and Remuneration Committee	31-08-2020	YES	3	2	-	62
* 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) refer note below		
Whether prior approval of audit committee obtained				YES		
Whether shareholder approval obtained for 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.						
VI. Affirmations						
Sr. No	Subject					Compliance Status
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 Audit Committee					YES
3	The composition of the following committees is in terms of SEBI(Listing obligations and disclosure requirements) Regulations, 2015 Nomination & remuneration committee					YES
4	The composition of the following committees is in terms of SEBI(Listing obligations and disclosure requirements) Regulations, 2015 Stakeholders relationship committee					YES
5	The composition of the following committees is in terms of SEBI(Listing obligations and disclosure requirements) Regulations, 2015 Risk management committee(applicable to the top 100 listed entities)					N.A.
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. Any comments/observations/advice of Board of Directors may be mentioned here	YES
<p>For Authum Investment & Infrastructure Limited</p> <p></p> <p>Hitesh Vora Company Secretary and Compliance Officer Membership No.: A40193</p> <p></p>		

Note:

Information at Table I and II above need to be necessarily given in 1st quarter of each financial year. However if there is no change of information in subsequent quarter(s) of that financial year, this information may not be given by Listed entity and instead a statement “same as previous quarter” may be given.

ANNEX III

Format to be submitted by listed entity at the end of 6 months after end of financial year along-with the second quarter's report of next financial year

Affirmations		
Broad heading	Regulation Number	Compliance status (Yes/No/NA) refer note below
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
Presence of Chairperson of Audit Committee at the Annual General Meeting	18(1)(d)	Yes
Presence of Chairperson of the nomination and remuneration committee at the annual general meeting	19(3)	Yes
Presence of Chairperson of the Stakeholder Relationship committee at the annual general meeting	20(3)	Yes
Whether "Corporate Governance Report" disclosed in Annual Report	34(3) read with para C of Schedule V	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. 3. If the Listed Entity would like to provide any other information the same may be indicated here.		
<div style="display: flex; align-items: center;"> <div style="flex: 1;"> <p>For Authum Investment & Infrastructure Limited</p> <p></p> <p>Hitesh Vora Company Secretary and Compliance Officer Membership No.: A40193</p> </div> <div style="flex: 1; text-align: center;">  </div> </div>		