

ANNEXURE I

Format of report on Corporate Governance to be submitted by listed entity on quarterly basis

1. Name of Listed Entity: - Authum Investment & Infrastructure Ltd.
2. Quarter ending: 31/03/2023

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 * (In months)	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)
Mrs.	Alpana Dangi	AFNPD2805C01506529	Non-Executive – Non-Independent Director	30-09-2019	-	-	-	29-10-1972	1	0	0	0
Mr.	Vimal Ajmera	AFXPA8313E07011895	Non-Executive - Independent Director	30-09-2019	-	-	42	06-07-1974	1	1	2	0
Mr.	Amit Dangi	AYBPD9431B06527044	Executive Director, Chairman	29-06-2020	-	-	-	30-01-1991	1	0	4	0
Mrs.	Bhaviika Jain	AOQPJ6550A08738884	Non-Executive - Independent Director	30-05-2020	-	-	34	08-04-1990	1	1	2	0
Mr.	Sanjay Dangi	AHSPD6986H00012833	Non-Executive – Non-Independent Director	21-04-2021	-	-	-	04-06-1965	1	0	2	0
Mr.	Haridas Bhat	AADPB6724H09691308	Non-Executive – Independent Director	01-08-2022	-	-	8	10-05-1962	1	1	1	1

Mr.	Rahul Bagaria	ANFPB5213L 06611268	Non-Executive – Independent Director	01-08-2022	-	-	8	16-08-1989	2	1	5	2
	YES	Whether Regular chairperson appointed										
	NO	Whether Chairperson is related to managing director or CEO										
		§ 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.										
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		1) Amit Dangi 2) Haridas Bhat 3) Rahul Bagaria			1) Executive Director (Member) 2) Non-Executive - Independent Director (Chairperson) 3) Non-Executive - Independent Director (Member)			03-01-2020 01-08-2022 01-08-2022	- - -
2. Nomination & Remuneration Committee			YES		1) Alpana Dangi 2) Vimal Ajmera 3) Rahul Bagaria			1) Non-Executive – Non-Independent Director (Member) 2) Non-Executive - Independent Director (Member) 3) Non-Executive - Independent Director (Chairperson)			29-06-2020 03-01-2020 01-08-2022	- - -
3. Risk Management Committee			YES		1) Amit Dangi 2) Sanjay Dangi 3) Haridas Bhat			1) Executive Director - (Chairperson) 2) Non-Executive – Non-Independent Director (Member) 3) Non-Executive - Independent Director (Member)			12-11-2020 04-10-2021 01-08-2022	- - -
4. Stakeholders Relationship Committee'			YES		1) Amit Dangi 2) Vimal Ajmera 3) Rahul Bagaria			1) Executive Director (Member) 2) Non-Executive – Independent Director (Member) 3) Non-Executive - Independent Director (Chairperson)			03-01-2020 03-01-2020 01-08-2022	- - -
5. Corporate Social Responsibility Committee			YES		1) Amit Dangi 2) Vimal Ajmera 3) Bhaviika Jain			1) Executive Director (Member) 2) Non-Executive – Independent Director (Member) 3) Non-Executive - Independent Director (Chairperson)			03-01-2020 03-01-2020 01-08-2022	- - -
6. Investment Committee			YES		1) Amit Dangi 2) Sanjay Dangi 3) Haridas Bhat			1) Executive Director - (Chairperson) 2) Non-Executive – Non-Independent Director (Member) 3) Non-Executive - Independent Director (Member)			12-11-2020 21-12-2021 01-08-2022	- - -
7. Securities Allotment and Redemption Committee			YES		1) Amit Dangi 2) Sanjay Dangi 3) Bhaviika Jain			1) Executive Director - (Chairperson) 2) Non-Executive – Non-Independent Director (Member) 3) Non-Executive - Independent Director (Member)			21-12-2021 21-12-2021 01-08-2022	- - -

8. Asset Liability Management Committee	YES	1) Amit Dangi 2) Sanjay Dangi 3) Rahul Bagaria	1) Executive Director - (Chairperson) 2) Non-Executive – Non-Independent Director (Member) 3) Non-Executive - Independent Director (Member)	14-11-2019 21-04-2021 01-08-2022	- - -
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& 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>
09-11-2022	-	YES	6	4	-
-	10-01-2023	YES	7	4	61
-	13-02-2023	YES	5	4	33
-	10-03-2023	YES	5	4	24

* to be filled in only for the current quarter meetings

IV. Meeting of Committees

<i>Name of Committee</i>	<i>Date(s) of meeting of the committee in the relevant quarter</i>	<i>Whether requirement of Quorum met(details)*</i>	<i>Number of Directors present*</i>	<i>Number of independent directors present*</i>	<i>Date(s) of meeting of the committee in the previous quarter</i>	<i>Maximum gap between any two consecutive meetings in number of days*</i>
Audit Committee	-	YES	3	2	09-11-2022	-
Audit Committee	13-02-2023	YES	3	2	-	95
Nomination and remuneration committee	13-02-2023	YES	2	2	-	-
Nomination and remuneration committee	10-03-2023	YES	3	2	-	24
Risk Management Committee	-	YES	3	1	09-11-2022	-
Risk Management Committee	13-02-2023	YES	2	1	-	95
Corporate Social Responsibility Committee	13-02-2023	YES	3	2	-	-
Asset Liability Management Committee	-	YES	3	1	09-11-2022	-
Asset Liability Management Committee	13-02-2023	YES	2	1	-	95
Investment Committee	-	YES	3	1	09-11-2022	-
Investment Committee	13-02-2023	YES	2	1	-	95

* 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

Subject	Compliance status (Yes/No/NA) refer note below
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 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	YES
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

For Authum Investment & Infrastructure Limited

Hitesh Vora

Company Secretary

Mem No.: A401933

ANNEXURE II

Format to be submitted by listed entity at the end of the financial year (for the whole of financial year)

I. Disclosure on website in terms of Listing Regulations		
<i>Item</i>	<i>Compliance status (Yes/No/NA) refer note below</i>	<i>If Yes provide link to website. If No / NA provide reasons</i>
As per regulation 46(2) of the LODR:		
a. Details of business	Yes	https://authum.com/index.html
b. Terms and conditions of appointment of independent directors	Yes	https://www.authum.com/Policies.html
c. Composition of various committees of board of directors	Yes	https://authum.com/about.html
d. Code of conduct of board of directors and senior management personnel	Yes	https://authum.com/about.html
e. Details of establishment of vigil mechanism/ Whistle Blower policy	Yes	https://www.authum.com/Policies.html
f. Criteria of making payments to non-executive directors	Yes	https://www.authum.com/Policies.html
g. Policy on dealing with related party transactions	Yes	https://www.authum.com/Policies.html
h. Policy for determining 'material' subsidiaries	Yes	https://www.authum.com/Policies.html
i. Details of familiarization programmes imparted to independent directors	Yes	https://www.authum.com/Policies.html
j. email address for grievance Redressal and other relevant details	Yes	https://authum.com/financial-info.html
k. Contact information of the designated officials of the listed entity who are responsible for assisting and handling investor grievances	Yes	https://authum.com/financial-info.html
l. Financial results	Yes	https://authum.com/financial-info.html
m. Shareholding pattern	Yes	https://authum.com/financial-info.html
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	https://authum.com/financial-info.html
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	https://authum.com/financial-info.html
As per other regulations of the LODR:		
a. Whether company has provided information under separate section on its website as per Regulation 46(2)	Yes	https://authum.com/financial-info.html
b. Materiality Policy as per Regulation 30	Yes	https://www.authum.com/Policies.html

c. Dividend Distribution policy as per Regulation 43A (as applicable)	Yes	https://www.authum.com/financial-info.html
It is certified that these contents on the website of the listed entity are correct.	Yes	
II Annual Affirmations		
Particulars	Regulation Number	Compliance status (Yes/No/NA) refer note below
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 directorship	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 & Remuneration Committee	19(3A)	Yes
Composition of Stakeholder Relationship Committee	20(1), 20(2) and 20(2A)	Yes
Meeting of Stakeholder Relationship Committee	20 (3A)	Yes
Composition and role of risk management committee	21(1), (2), (3), (4)	Yes
Meeting of Risk Management Committee	21(3A)	Yes
Vigil Mechanism	22	Yes
Policy for related party Transaction	23(1), 1(A), (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)	Yes
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 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.		
III Affirmations: The Listed Entity has approved the Material Subsidiary Policy and the Corporate Governance requirements with respect to the subsidiary of Listed Entity have been complied.		
For Authum Investment & Infrastructure Limited Hitesh Vora Company Secretary Mem No.: A401933		

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 – March, 2023

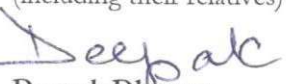
I. Disclosure of Loans / guarantees / comfort letters / securities etc. ^{refer note below}			
(A) Any loan or any other form of debt advanced by the listed entity directly or indirectly to:			
Entity	Aggregate amount advanced during six months	Balance outstanding at the end of six months	
Promoter or any other entity controlled by them	4,85,00,000	14,27,24,000	
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, inconnection 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	0	0	0
Promoter Group or any other entity controlled by them	0	0	0
Directors (including relatives) or any other entity controlled by them	0	0	0
KMPs or any other entity controlled by them	0	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	0	0	0
Promoter Group or any other entity controlled by them	0	0	0
Directors (including relatives) or any other entity controlled by them	0	0	0
KMPs or any other entity controlled by them	0	0	0

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.


Deepak Dhillon
Chief Financial Officer
PAN: ABKPD4854E

Place: Mumbai
Date: 20/04/2023

Note

- These disclosures shall exclude any loan (or other form of debt), guarantee / comfort letter (by whatever name called) or security provided in connection with any loan or any other form of debt;
 - by a government company to/ for the Government or government company
 - by the listed entity to/ for its subsidiary [and joint-venture company] whose accounts are consolidated with the listed entity.
 - by a banking company or an insurance company; and
 - by the listed entity to its employees or directors as a part of the service conditions
- If the Listed Entity would like to provide any other information, the same may be indicated as Para D in the above table.