

# GLOBE STOCKS & SECURITIES LTD.

Regd. Office: 8, Ganesh Chandra Avenue, 1<sup>ST</sup> Floor, Kolkata – 700013

Tel (033) 2234-8823, Fax -2236-5700

e-mail : [globestocks@gmail.com](mailto:globestocks@gmail.com)

(CIN: L67120WB1994PLC065574)

## Quarterly Compliance Report on Corporate Governance for the quarter ended 30-09-2021

1. Name of Listed Entity : Globe Stocks & Securities Ltd.

2. Quarter ending : 30-09-2021

<b>I. Composition of Board of Directors</b>								
Title (Mr. / Ms)	Name of the Director	PAN & DIN	Category (Chairperson/ Executive/ Non-Executive/ independent/ Nominee)	Date of Appointment in the current term	Tenure *	No of Directorship in listed entities including this listed entity  (Refer Regulation 25(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)
Mr.	Arun Kumar Khemka	AFQPK8449A & 00428276	Executive Director	01.09.2015	5 (Five) Years	2 (Two)	3 (Three)	1 (One)
Mr.	Sunil Kumar Tibrewal	ABQPT0228G & 00427214	Non-Executive Director	24.10.1994	N.A.	2 (Two)	NIL	NIL
Mr.	Rameshwar Prasad Khetan	AFMPK8832R & 00506972	Independent Director	19.11.2018	N.A.	3 (Three)	9 (Nine)	3 (Three)
Mr.	Vishnu Kumar Fogla	AADPF8946R & 00091613	Independent Director	08.08.2002	N.A.	1 (One)	3 (Three)	1 (One)
Mr.	Raj Kumar Bajaj	ADSPB9266A & 00428553	Independent Director	25.02.2017	N.A.	3 (Three)	9 (Nine)	3 (Three)
Mrs.	Priti Khemka	BJGPK7929G & 07141324	Non-Executive Director	30.03.2015	N.A.	3 (Three)	NIL	NIL

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<b>II. Composition of Committees</b>		
<i>Name of Committee</i>	<i>Name of Committee members</i>	<i>Category (Chairperson/Executive/Non-Executive/independent/Nominee)</i>
1. Audit Committee	Rameshwar Prasad Khetan Raj Kumar Bajaj  Vishnu Kumar Fogla	Chairperson - Independent Director Non Executive & Independent Director Non Executive & Independent Director
2. Nomination & Remuneration Committee	Vishnu Kumar Fogla Rameshwar Prasad Khetan  Raj Kumar Bajaj	Chairperson - Independent Director Non Executive & Independent Director Non Executive & Independent Director
3. Risk Management Committee (if applicable)	N.A.	N.A.
4. Stakeholders Relationship Committee	Raj Kumar Bajaj Rameshwar Prasad Khetan  Vishnu Kumar Fogla	Chairperson - Independent Director Non Executive & Independent Director Non Executive & Independent Director

<b>III. Meeting of Board of Directors</b>		
<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>Maximum gap between any two consecutive meetings (in number of days)</i>
02-04-2021, 10-05-2021 & 21-06-2021	22-07-2021, 10-08-2021, 03-09-2021, 07-09-2021, 08-09-2021 & 17-09-2021	42 Days

<b>IV. Meeting of Committees</b>			
<i>Date(s) of meeting of the committee in the relevant quarter</i>	<i>Whether requirement of Quorum met (details)</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 Meeting Date 04-08-2021	Yes. All members present.	Audit Committee Meeting Date 03-05-2021	93 Days
Nomination & Remuneration Committee Meeting Date 05-08-2021	Yes. All members present.	Nomination & Remuneration Committee Meeting Date 04-05-2021	93 Days
Stake Holder Relationship Committee Meeting Date 06-08-2021	Yes. All members present.	Stake Holder Relationship Committee Meeting Date 05-05-2021	93 Days

<b>V. Related Party Transactions</b>	
<i>Subject</i>	<i>Compliance status (Yes/No/NA)</i>
Whether prior approval of audit committee obtained	N. A.
Whether shareholder approval obtained for material RPT	N. A.
Whether details of RPT entered into pursuant to omnibus approval have been reviewed by Audit Committee	N. A.

# **GLOBE STOCKS & SECURITIES LTD.**

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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. Stake Holder 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.

**ARUN KUMAR KHEMKA**  
**Managing Director**