



Date: 19th January, 2024

The Listing Department
The Calcutta Stock Exchange Limited
7, Lyons Range
Kolkata - 700 001

Dear Sir,


Sub: Quarterly Corporate Governance Report pursuant to Regulation 27 of SEBI (Listing Obligations and Disclosure Requirements), 2015

Enclosed herewith please find the Corporate Governance Report for the Quarter ended 31st December, 2023 pursuant to Regulation 27 of SEBI (Listing Obligations and Disclosure Requirements), 2015.

This is for your information and record.

Thanking you,
Yours Truly,

For Adventz Securities Enterprises Limited


Company Secretary
Mem No. A38649

NAME : PUNAM SINGH
MEMBERSHIP NO.
(ICSI) - A38649
ADD. - 4, N. G. BASAK ROAD,
DUM DUM, KOLKATA-700080

Encl: As above

Cc: The Listing Department
MSEI Limited
205(A), 2nd Floor
Piramal Agastya Corporate Park
Kamani Junction, LBS Road
Kurla (West)
Mumbai - 400070

ADVENTZ SECURITIES ENTERPRISES LIMITED

Hongkong House, 31 B. B. D. Bagh (South), Kolkata - 700 001, Tel.: +91-33-2248 8891/92

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CIN : L36993WB1995PLC069510

ANNEXURE I

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

1. Name of Listed Entity **Adventz Securities Enterprises Limited**
 2. Quarter ending **31st December, 2023**

| Title (Mr./Ms.) | Name of the Director | PAN& DIN | Category (Chairperson /Executive/ Non- Executive/ in dependent/ Nominee) ^a | 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] |
|---|----------------------|----------------------------------|---|-----------------------------|------------------------|-------------------|--------------------|---------------|--|---|---|--|
| Mr. | Akshay Poddar | PAN: AFUPP0096C DIN: 00008686 | Non-Executive - Non Independent | 28-04-2001 | - | - | - | 20-07-1976 | 5 | 0 | Audit Committee - 1 Stakeholders Relationship Committee - 2 | Stakeholders Relationship Committee - 1 |
| Mr. | Gaurav Agarwala | PAN: AEHPA6396L DIN: 00201469 | Non-Executive - Non Independent | 22-03-2000 | - | - | - | 07-08-1972 | 2 | 0 | Audit Committee - 1 Stakeholders Relationship Committee - 1 | Stakeholders Relationship Committee - 1 |
| Mrs. | Shradha Agarwala | PAN: ACTPA8806F DIN: 01203800 | Non-Executive - Non Independent | 13-02-2020 | - | - | - | 04-08-1970 | 2 | 0 | Audit Committee - 1 | - |
| Mr. | Pankaj Tibrawala | PAN: ABQPT4269H DIN: 00203579 | Non-Executive - Independent | 25-08-2023 | - | - | 60 | 31-01-1975 | 1 | 1 | Audit Committee - 1 Stakeholders Relationship Committee - 1 | Audit Committee - 1 |
| Mr. | Tushar Suraiya | PAN: ALQPS0337P DIN: 10262137 | Non-Executive - Independent - Chairperson | 25-08-2023 | - | - | 60 | 06-04-1947 | 1 | 1 | Audit Committee - 1 Stakeholders Relationship Committee - 1 | NIL |
| Whether Regular Chairperson appointed - YES | | | | | | | | | | | | |
| Whether Chairperson is related to Managing Director or CEO - NO | | | | | | | | | | | | |



| 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 |
| 1. Audit Committee | YES | Mr. Pankaj Tibrawalla Mr. Tushar Suraiya Mr. Gaurav Agarwala | Non Executive - Independent - Chairperson Non-Executive - Independent Non-Executive - Non Independent | Mr. Pankaj Tibrawalla - 14.11.2023 Mr. Tushar Suraiya - 14.11.2023 Mr. Gaurav Agarwala - 22.04.2014 |
| 2. Nomination & Remuneration Committee | YES | Mr. Pankaj Tibrawalla Mr. Tushar Suraiya Mr. Gaurav Agarwala | Non Executive - Independent - Chairperson Non-Executive - Independent Non-Executive - Non Independent | Mr. Pankaj Tibrawalla - 27.12.2023 Mr. Tushar Suraiya - 27.12.2023 Mr. Gaurav Agarwala - 22.04.2014 |
| 3. Risk Management Committee(if applicable) | | N.A. | N.A. | |
| 4. Stakeholders Relationship Committee | YES | Mr. Gaurav Agarwala Mr. Pankaj Tibrawalla Mr. Tushar Suraiya | Non Executive - Non Independent - Chairperson Non-Executive - Independent Non-Executive - Independent | Mr. Gaurav Agarwala - 22.04.2014 Mr. Pankaj Tibrawalla - 27.12.2023 Mr. Tushar Suraiya - 27.12.2023 |

† 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 in the previous quarter | Date(s) of Meeting in the relevant quarter | Whether requirement of Quorum met*(Yes/No) | Number of Directors present* | Number of Independent Directors present* | Maximum gap between any two consecutive meetings (in number of days) |
| 18-04-2023 | | | | | |
| 30-05-2023 | 11-08-2023 | Yes | 3 | 3 | |
| | 25-08-2023 | YES | 6 | 5 | 13 |
| | 14-11-2023 | Yes | 4 | 2 | 80 |

* to be filled in only for the current quarter meetings

| IV. Meeting of Committees | | | | | |
|---|--|-------------------------------|---|---|---|
| Date(s) of Meeting of the Committee in the relevant quarter | Whether requirement of Quorum met*(Yes/No) | 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 | | | | | |
| 11-08-2023 | Yes | 3 | 2 | 14-11-2023 | 94 |
| Stakeholders Relationship Committee | | | | | |
| | | | | | |
| Risk Management Committee | | | | | |
| | | | | | |
| Nomination & Remuneration Committee | | | | | |
| | | | | | |

* 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 |



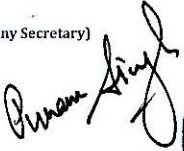
Note

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

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 **Yes**
 - b. Nomination & Remuneration Committee **Yes**
 - c. Stakeholders Relationship Committee **Yes**
 - d. Risk Management Committee (as applicable) **NA**
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 has been placed before Board of Directors. Any comments/observations/advice of Board of Directors may be mentioned here: **Yes**
No adverse comments have been given by the Board of Directors

Name & Designation - PUNAM SINGH (Company Secretary)



| Details of Cyber Security incidence | |
|--|----|
| Whether as per Regulation 27(2)(ba) of SEBI (LODR) Regulations, 2015 there has been cyber security incidents or breaches or loss of data or documents during the quarter | No |

