

General information about company

Scrip code	539406
NSE Symbol	
MSEI Symbol	
ISIN	INE150R01019
Name of the entity	SWAGTAM TRADING & SERVICES LTD
Date of start of financial year	01-04-2019
Date of end of financial year	31-03-2020
Reporting Quarter	Half Yearly
Date of Report	30-09-2019
Risk management committee	Not Applicable
Market Capitalisation as per immediate previous Financial Year	Any other

Annexure I

Annexure I to be submitted by listed entity on quarterly basis

I. Composition of Board of Directors

Disclosure of notes on composition of board of directors explanatory

Wether the listed entity has a Regular Chairperson

Yes

Whether Chairperson is related to MD or CEO

No

Sr	Title (Mr / Ms)	Name of the Director	PAN	DIN	Category 1 of directors	Category 2 of directors	Category 3 of directors	Date of Birth	Initial Date of appointment	Date of Re-appointment	Date of cessation	Tenure of director (in months)	No of Directorship in listed entities including this listed entity (Refer Regulation 17A of Listing Regulations)	No of Independent Directorship in listed entities including this listed entity (Refer Regulation 17A(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)	Notes for not providing PAN	Notes for not providing DIN

1	Mr	RAJ KUMAR GUPTA	AFLPG1428A	00074532	Non-Executive - Independent Director	Not Applicable		30-04-1968	17-09-2014	26-09-2019	60	2	1	3	1
2	Ms	LALITA MITTAL	ACTPM1462B	06928783	Executive Director	Chairperson	CEO-MD	04-08-1949	08-08-2014	26-09-2019	60	2	1	4	1
3	Mr	RAMAN MITTAL	AHCPM2840D	06877244	Non-Executive - Independent Director	Not Applicable		09-10-1983	17-09-2014	26-09-2019	60	2	2	4	3
4	Mr	SUMIT GUPTA	AATPG1443N	06911742	Non-Executive - Non Independent Director	Not Applicable		24-08-1979	12-09-2015	26-09-2019	12	1	0	1	0

Audit Committee Details

Whether the Audit Committee has a Regular Chairperson							Yes	
Sr	DIN Number	Name of Committee members	Category 1 of directors	Category 2 of directors	Date of Appointment	Date of Cessation	Remarks	
1	06877244	RAMAN MITTAL	Non-Executive - Independent Director	Chairperson	26-09-2019			
2	06928783	LALITA MITTAL	Non-Executive - Independent Director	Member	26-09-2019			
3	00074532	RAJ KUMAR GUPTA	Non-Executive - Independent Director	Member	26-09-2019			

Nomination and remuneration committee

Whether the Nomination and remuneration committee has a Regular Chairperson							Yes	
Sr	DIN Number	Name of Committee members	Category 1 of directors	Category 2 of directors	Date of Appointment	Date of Cessation	Remarks	
1	06877244	RAMAN MITTAL	Non-Executive - Independent Director	Chairperson	26-09-2019			

2	06911742	SUMIT GUPTA	Non-Executive - Non Independent Director	Member	26-09-2019	
3	00074532	RAJ KUMAR GUPTA	Non-Executive - Independent Director	Member	26-09-2019	

Stakeholders Relationship Committee

Whether the Stakeholders Relationship Committee has a Regular Chairperson	Yes	
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Sr	DIN Number	Name of Committee members	Category 1 of directors	Category 2 of directors	Date of Appointment	Date of Cessation	Remarks
1	06877244	RAMAN MITTAL	Non-Executive - Independent Director	Chairperson	26-09-2019		
2	06928783	LALITA MITTAL	Executive Director	Member	26-09-2019		
3	06911742	SUMIT GUPTA	Non-Executive - Non Independent Director	Member	26-09-2019		

Risk Management Committee

Whether the Risk Management Committee has a Regular Chairperson	No	
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Sr	DIN Number	Name of Committee members	Category 1 of directors	Category 2 of directors	Date of Appointment	Date of Cessation	Remarks
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Corporate Social Responsibility Committee

Whether the Corporate Social Responsibility Committee has a Regular Chairperson	No	
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Sr	DIN Number	Name of Committee members	Category 1 of directors	Category 2 of directors	Date of Appointment	Date of Cessation	Remarks
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Other Committee

Sr	DIN Number	Name of Committee members	Name of other committee	Category 1 of directors	Category 2 of directors	Remarks
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Annexure 1

Annexure 1

III. Meeting of Board of Directors

Disclosure of notes on meeting of board of directors explanatory

Sr	Date(s) of meeting (if any) in the previous quarter	Date(s) of meeting (if any) in the current quarter	Maximum gap between any two consecutive (in number of days)	Notes for not providing Date	Whether requirement of Quorum met (Yes/No)	Number of Directors present*	No. of Independent Directors attending the meeting*
1	17-05-2019				Yes	4	2
2		08-08-2019	82		Yes	4	2
3		12-08-2019	3		Yes	4	2

Annexure 1

IV. Meeting of Committees

Disclosure of notes on meeting of committees explanatory

Sr	Name of Committee	Date(s) of meeting (Enter dates of Previous quarter and Current quarter in chronological order)	Maximum gap between any two consecutive (in number of days)	Name of other committee	Reason for not providing date	Whether requirement of Quorum met (Yes/No)	Number of Directors present*	No. of Independent Directors attending the meeting*
1	Audit Committee	17-05-2019				Yes	3	2
2	Audit Committee	08-08-2019	82			Yes	3	2
3	Nomination and remuneration committee	17-05-2019				Yes	3	2

4	Nomination and remuneration committee	08-08-2019	82		Yes	3	2
5	Stakeholders Relationship Committee	17-05-2019			Yes	3	1
6	Stakeholders Relationship Committee	08-08-2019	82		Yes	3	1

Annexure 1

IV. Meeting of Committees								
Sr	Name of Committee	Date(s) of meeting (Enter dates of Previous quarter and Current quarter in chronological order)	Maximum gap between any two consecutive (in number of days)	Name of other committee	Reason for not providing date	Whether requirement of Quorum met (Yes/No)	Number of Directors present*	No. of Independent Directors attending the meeting*
7	Audit Committee	12-08-2019	3			Yes	3	2

Annexure 1

V. Related Party Transactions			
Sr	Subject	Compliance status (Yes/No/NA)	If status is "No" details of non-compliance may be given here.
1	Whether prior approval of audit committee obtained	NA	
2	Whether shareholder approval obtained for material RPT	NA	
3	Whether details of RPT entered into pursuant to omnibus approval have been reviewed by Audit Committee	NA	

Annexure 1

VI. Affirmations		
Sr	Subject	Compliance status (Yes/No)
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
3	The composition of the following committees is in terms of SEBI(Listing obligations and disclosure requirements) Regulations, 2015. b. Nomination & remuneration committee	Yes
4	The composition of the following committees is in terms of SEBI(Listing obligations and disclosure requirements) Regulations, 2015. c. Stakeholders relationship committee	Yes
5	The composition of the following committees is in terms of SEBI(Listing obligations and disclosure requirements) Regulations, 2015. d. Risk management committee (applicable to the top 500 listed entities)	NA
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.	Yes

Annexure 1

Sr	Subject	Compliance status
1	Name of signatory	SUMIT GUPTA
2	Designation	Director

Annexure III

III. Affirmations				
Sr	Particulars	Regulation Number	Compliance status (Yes/No/NA)	If status is "No" details of non-compliance may be given here.

1	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	
2	Presence of Chairperson of Audit Committee at the Annual General Meeting	18(1)(d)	Yes	
3	Presence of Chairperson of the nomination and remuneration committee at the annual general meeting	19(3)	Yes	
4	Presence of Chairperson of the Stakeholder Relationship committee at the annual general meeting	20(3)	Yes	
5	Whether "Corporate Governance Report" disclosed in Annual Report	34(3) read with para C of Schedule V	Yes	
Any other information to be provided				

Annexure III

1	Name of signatory	SUMIT GUPTA
2	Designation	Director

Signatory Details

Name of signatory	SUMIT GUPTA
Designation of person	Director
Place	NEW DELHI
Date	14-10-2019