

SARVOTTAM FINVEST LIMITED

Regd. Office : 3, Bentinck Street, 2nd Floor, Kolkata - 700 001
Ph. : (033) 2210 0875, e-mail : sarvottamfinvest@gmail.com
CIN : L65993WB1978PLC031793 Website : www.sarvottamfinvest.in

Date: 11.10.2021

To
The Secretary
The Calcutta Stock Exchange Ltd.
7, Lyons Range
Kolkata - 700 001

To
BSE Corporate Compliance & Listing Centre
BSE Limited
P. J. Towers, Dalal Street
Mumbai - 400001

Scrip Code: 10012144
ISIN No: INE822Q01015

Scrip Code: 539124
ISIN No.: INE822Q01015


Sub: Corporate Governance Report for quarter ended September 30, 2021

Dear Sir/Madam,

Please find enclosed Quarterly Compliance Report on Corporate Governance under Regulation 27(2) of Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015 for the quarter ended 30th September, 2021.

Thanking you.

Yours Faithfully,
For Sarvottam Finvest Limited


Pooja Sethia
Company Secretary



General information about company

Script code - BSE	539124
NSE Symbol	10012144
MSEI Symbol	N.A.
ISIN	INE822Q01015
Name of the entity	SARVOTTAM FINVEST LIMITED
Date of start of financial year	01-04-2021
Date of end of financial year	31-03-2022
Reporting Quarter	Half Yearly
Date of Report	30-09-2021
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

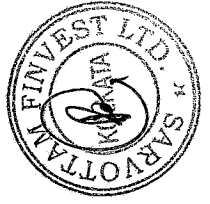
Whether the listed entity has a Regular Chairperson

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	Whether special resolution passed? [Refer Reg. 17(1A) of Listing Regulations]	Date of passing special resolution	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	MANOJ SETHIA	AKLPS7110A	00585491	Non-Executive - Non Independent Director	Chairperson		07-05-1970	NA		29-02-2012	30-09-2020		3	0	5	3			
2	Mr	DILIP KUMAR GUPTA	AKEPG7331C	01168576	Executive Director	Not Applicable	MD	27-07-1983	NA		25-03-2013	01-10-2016		1	0	1	0			
3	Mr	RAJESH SHAH	ALSPS6326C	06746791	Non-Executive - Non Independent Director	Not Applicable		06-12-1962	NA		14-11-2013	30-09-2019		3	3	3	3			
4	Mrs	SANGEETA SETHIA	AIRPS3408D	00585682	Non-Executive - Non Independent Director	Not Applicable		10-10-1970	NA		29-09-2018	30-09-2019		2	0	1	0			



I. Composition of Board of Directors

Disclosure of notes on composition of board of directors explanatory

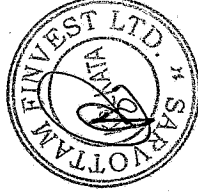
Whether the listed entity has a Regular Chairperson

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	Whether special resolution passed? [Refer Reg. 17(1A) of Listing Regulations]	Date of passing special resolution	Initial Date of appointment	Date of Res- appointment	Date of Res- cession	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)	No of Directorship in listed entities including this listed entity (Refer Regulation 17A of Listing Regulations)	Number of memberships in Audit/ Stakeholder Committees) including this listed entity (Refer Regulation 26(1) of Listing Regulations)	No of post of Chairperson in Audit/ Stakeholder Committees including this listed entities (Refer Regulation 26(1) of Listing Regulations)	Notes for not providing PAN	Notes for not providing DIN
5	Mr	MALI CHAND AGARWALA	ACZPA0551B	00772091	Non- Executive - Independent Director	Not Applicable		01-01-1968	NA		01-04-2020	30-09-2020		60	3	3	6	1			
6	Mr	MUKESH AGARWAL	APUPA4738C	08836416	Non- Executive - Independent Director	Not Applicable		13-06-1991	NA		01-04-2020	30-09-2020		60	2	2	0	0			
7	Mrs	ANUPAMA MADHOGARIIA	ANTPB5203C	06674373	Non- Executive - Independent Director	Not Applicable		02-10-1989	NA		10-07-2020	30-09-2020		60	2	2	0	1			



Audit Committee Details

Sr	DIN Number	Name of Committee members	Whether the Audit Committee has a Regular Chairperson			Date of Appointment	Date of Cessation	Remarks
			Category 1 of directors	Category 2 of directors	Yes			
1	06746791	RAJESH SHAH	Non-Executive - Independent Director	Chairperson	14-11-2013			
2	00585491	MANOJ SETHIA	Non-Executive - Non Independent Director	Member	10-01-2013			
3	00772091	MALI CHAND AGARWALA	Non-Executive - Independent Director	Member	01-04-2020			



Nomination and remuneration committee

Sr	DIN Number	Name of Committee members	Whether the Nomination and remuneration committee has a Regular Chairperson		Date of Appointment	Date of Cessation	Remarks
			Category 1 of directors	Category 2 of directors			
1	00772091	MALJ CHAND AGARWALA	Non-Executive - Independent Director	Chairperson	01-04-2020		
2	00585491	MANOJ SETHIA	Non-Executive - Non Independent Director	Member	13-02-2014		
3	06746791	RAJESH SHAH	Non-Executive - Independent Director	Member	13-02-2014		



Stakeholders Relationship Committee

Sr	DIN Number	Name of Committee members	Whether the Stakeholders Relationship Committee has a Regular Chairperson		Date of Appointment	Date of Cessation	Remarks
			Category 1 of directors	Category 2 of directors			
1	00585491	MANOJ SETHIA	Non-Executive - Non Independent Director	Chairperson	10-01-2013		
2	06746791	RAJESH SHAH	Non-Executive - Independent Director	Member	15-11-2013		
3	01168576	DILIP KUMAR GUPTA	Executive Director	Member	23-04-2013		



Risk Management Committee

Whether the Risk Management Committee has a Regular Chairperson

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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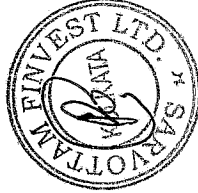
Annexure 1

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* (other than Independent Director)	No. of Independent Directors attending the meeting*
1	30-04-2021				Yes	3	4
2	30-06-2021		60		Yes	3	4
3		13-08-2021	43		Yes	3	4
4		03-09-2021	20		Yes	3	4



Annexure 1

IV. Meeting of Committees

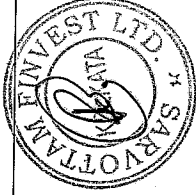
Sr	Name of Committee	Date(s) of meeting (Enter dates of Previous quarter and Current quarter in chronological order)	Maximum gap between any two consecutive (in number of days)	Name of other committee	Reason for not providing date	Whether requirement of Quorum met (Yes/No)	Disclosure of notes on meeting of committees explanatory	
							Number of Directors present* (other than Independent Director)	No. of Independent Directors attending the meeting*
1	Audit Committee	30-04-2021				Yes	1	2
2	Audit Committee	30-06-2021	60			Yes	1	2
3	Audit Committee	13-08-2021	43			Yes	1	2
4	Nomination and remuneration committee	03-09-2021				Yes	1	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	Yes	
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	Yes	



Annexure 1

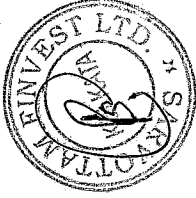
VI. Affirmations

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

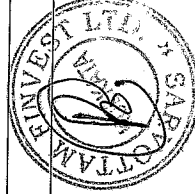
Sr	Subject	Compliance status
1	Name of signatory	POOJA SETHIA
2	Designation	Company Secretary and Compliance Officer



Annexure III

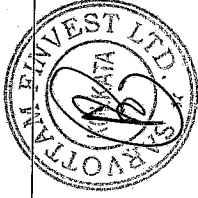
III. Affirmations

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	POOJA SETHIA
2	Designation	Company Secretary and Compliance Officer



Additional Half yearly Disclosure			
Applicability of disclosure	Applicable		
Reason for Non Applicability	Textual Information(1)		
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	0	0	
Promoter Group or any other entity controlled by them	0	0	
Directors (including relatives) or any other entity controlled by them	4850000	7950000	
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, in-connection 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
(D) Additional Information			Textual Information(2)
II. Affirmations			
Affirmations		Compliance Status	Company Remarks
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.		Yes	Textual Information(3)
Name	ROHIT JAIN		
Designation	CFO		
Place	KOLKATA		
Date	11-10-2021		



Signatory Details

Name of signatory	POOJA SETHIA
Designation of person	Company Secretary and Compliance Officer
Place	KOLKATA
Date	11-10-2021

