

**ANNEXURE I**

**Format to be submitted by listed entity on quarterly basis**

1. Name of Listed Entity: - Authum Investment & Infrastructure Ltd.
2. Quarter ending: 30/09/2023

<b>I Composition of Board of Directors</b>												
Title (Mr / Ms)	Name of the Director	PAN <sup>s</sup> & 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)
Mr.	Sanjay Dangi	AHSPD6986H00012833	Chairperson - Non-Executive – Non-Independent Director	21-04-2021	-	-	-	04-06-1970	1	0	2	0
Mrs.	Alpana Dangi	AFNPD2805C01506529	Non-Executive – Non-Independent Director	30-09-2019	-	-	-	29-10-1972	1	0	0	0
Mr.	Amit Dangi	AYBPD9431B06527044	Executive Director	29-06-2020	-	-	-	30-01-1991	1	0	4	0
Mr.	Vimal Ajmera	AFXPA8313E07011895	Non-Executive - Independent Director	30-09-2019	-	-	48	06-07-1974	1	1	1	0
Mrs.	Bhaviika Jain	AOQPJ6550A08738884	Non-Executive - Independent Director	30-05-2020	-	-	40	08-04-1990	1	1	2	0
Mr.	Haridas Bhat	AADPB6724H09691308	Non-Executive - Independent Director	01-08-2022	-	-	14	10-05-1962	1	1	1	1

Mr.	Rahul Bagaria	ANFPB5213L 06611268	Non-Executive – Independent Director	01-08-2022	-	-	14	16-08-1989	2	1	5	2
Mr.	Akash Suri	AYWPS5482J 09298275	Executive Director	27-09-2023	-	-	-	15-03-1982	1	0	0	0
	YES	Whether Regular chairperson appointed										
	NO	Whether Chairperson is related to managing director or CEO										
		<p>\$ PAN of any director would not be displayed on the website of Stock Exchange</p> <p>&amp; 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</p> <p>* 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</p>										
<b>II Composition of Committees</b>												
<i>Name of Committee</i>		Whether Regular chairperson appointed	Name of Committee members		<i>Category (Chairperson/ Executive/ Non-Executive/ independent/ Nominee) \$</i>				<i>Date of Appointment</i>	<i>Date of Cessation</i>		
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	- - -

& 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>
24-05-2023	-	YES	4	3	-
30-05-2023	-	YES	4	3	5
	14-07-2023	YES	7	4	44
	26-07-2023	YES	7	4	11
	04-08-2023	YES	7	4	8
	27-09-2023	YES	7	4	53

\* 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	2	1	30-05-2023	-
Audit Committee	14-07-2023	YES	3	2	-	44
Audit Committee	26-07-2023	YES	3	2	-	11
Audit Committee	04-08-2023	YES	3	2	-	8
Risk Management Committee	-	YES	2	1	30-05-2023	-
Risk Management Committee	04-08-2023	YES	3	1	-	65
Stakeholders Relationship Committee'	04-08-2023	YES	3	2	-	-
Nomination and Remuneration Committee	04-08-2023	YES	3	2	-	-
Nomination and Remuneration Committee	27-09-2023	YES	3	2	-	53
Corporate Social Responsibility Committee	04-08-2023	YES	3	2	-	-
Asset Liability Management Committee	-	YES	2	1	29-05-2023	-
Asset Liability Management Committee	04-08-2023	YES	3	1	-	66
Investment Committee	-	YES	2	1	30-05-2023	-
Investment Committee	04-08-2023	YES	3	1	-	65

\* This information has to be mandatorily be given for audit

<b>V. Related Party Transactions</b>			
<b>Subject</b>			<b>Compliance status (Yes/No/NA)</b> refer note below
Whether prior approval of audit committee obtained			YES
Whether shareholder approval obtained for material RPT			YES
Whether details of RPT entered into pursuant to omnibus approval have been reviewed by Audit Committee			YES
<b>Note</b>			
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.			
<b>Details of Cyber security incidence</b>			
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			<b>No</b>
Date of the event		Brief details of the event	
<b>VI. Affirmations</b>			
<b>Sr. No</b>	<b>Subject</b>		<b>Compliance Status</b>
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**



**Amit K Dangi**  
**Whole Time Director**  
**DIN: 06527044**



**Format to be submitted by listed entity at the end of 6 months after end of financial year along-with the second quarter's report of next financial year**

<b>Affirmations</b>		
<b>Broad heading</b>	<b>Regulation Number</b>	<b>Compliance status (Yes/No/NA) refer note below</b>
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
Presence of Chairperson of Audit Committee at the Annual General Meeting	18(1)(d)	Yes
Presence of Chairperson of the nomination and remuneration committee at the Annual General Meeting	19(3)	Yes
Presence of Chairperson of the Stakeholder Relationship Committee at the Annual General Meeting	20(3)	Yes
Disclosure of the Secretarial Audit Report of the listed entity and the material subsidiaries in the Annual Report	24A(1)	Yes
Submission of Annual Secretarial Compliance Report	24A(2)	Yes
Whether "Corporate Governance Report" disclosed in Annual Report	34(3) read with para C of Schedule V	Yes
<p><b>Note</b></p> <ol style="list-style-type: none"> <li>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.</li> <li>If status is "No" details of non-compliance may be given here.</li> <li>If the Listed Entity would like to provide any other information the same may be indicated here.</li> </ol>		
<p>For <b>Authum Investment &amp; Infrastructure Limited</b></p> <div style="display: flex; justify-content: space-between; align-items: flex-start;"> <div style="text-align: center;">  <p><b>Amit K Dangi</b> Whole Time Director DIN: 06527044</p> </div> <div style="text-align: center;">  </div> </div>		

**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 – September, 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:

<b>Entity</b>	<b>Aggregate amount advanced during six months</b>	<b>Balance outstanding at the end of six months</b>
Promoter or any other entity controlled by them	25,50,00,000	16,38,60694
Promoter Group or any other entity controlled by them	-	-
Directors (including relatives) or any other entity controlled by them	-	-
KMPs or any other entity controlled by them	-	-

(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:

<b>Entity</b>	<b>Type (guarantee, comfort letter etc.)</b>	<b>Aggregate amount of issuance during six months</b>	<b>Balance outstanding at the end of six months (taking into account any invocation)</b>
Promoter or any other entity controlled by them	-	-	-
Promoter Group or any other entity controlled by them	-	-	-
Directors (including relatives) or any other entity controlled by them	-	-	-
KMPs or any other entity controlled by them	-	-	-

(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	-	-	-
Promoter Group or any other entity controlled by them	-	-	-
Directors (including relatives) or any other entity controlled by them	-	-	-
KMPs or any other entity controlled by them	-	-	-

**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 Dhingra**  
**Chief Financial Officer**  
**DIN: 06527044**

**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.*