

## ANNEXURE I

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

1. Name of Listed Entity: - Authum Investment & Infrastructure Ltd.
2. Quarter ending: 30/09/2024

<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	AHSPD6986H 00012833	Chairperson - Non-Executive – Non-Independent Director	21-04-2021	-	04-09-2024	-	04-06-1970	1	0	0	0
Mrs.	Alpana Dangi	AFNPD2805C 01506529	Non-Executive – Non-Independent Director	30-09-2019	-	-	-	29-10-1972	1	0	0	0
Mr.	Amit Dangi	AYBPD9431B 06527044	Executive Director	29-06-2020	-	-	-	30-01-1991	1	0	4	0
Mr.	Vimal Ajmera	AFXPA8313E 07011895	Non-Executive - Independent Director	30-09-2019	-	-	58	06-07-1974	1	1	1	0
Mrs.	Bhaviika Jain	AOQPJ6550A 08738884	Non-Executive - Independent Director	30-05-2020	-	-	52	08-04-1990	1	1	2	0
Mr.	Haridas Bhat	AADPB6724H 09691308	Non-Executive - Independent Director	01-08-2022	-	-	26	10-05-1962	1	1	2	1
Mr.	Rahul Bagaria	ANFPB5213L 06611268	Non-Executive – Independent Director	01-08-2022	-	-	26	16-08-1989	2	1	5	2

Mr.	Akash Suri	AYWPS5482J 09298275	Executive Director	27-09-2023	-	-	-	15-03-1982	1	0	0	0
Mrs.	Asha Anil Agarwal	ABIPA8301R 09722160	Non-Executive – Independent Director	21-11-2023	23-12-2023	-	10	15-03-1961	7	7	5	2
Mr.	Divy Dangi	AGUPD9852H 08323807	Executive Director	07-08-2024	-	-	-	03-11-1998	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  &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  * 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>										

## 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	Date of Cessation
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 4) Haridas Bhat	1) Non-Executive – Non-Independent Director (Member) 2) Non-Executive - Independent Director (Member) 3) Non-Executive - Independent Director (Chairperson) 4) Non-Executive - Independent Director (Member)	29-06-2020 03-01-2020 01-08-2022 03-09-2024	- 07-08-2024 - -
3. Risk Management Committee	YES	1) Amit Dangi 2) Sanjay Dangi 3) Haridas Bhat 4) Divy Dangi	1) Executive Director - (Chairperson) 2) Non-Executive – Non-Independent Director (Member) 3) Non-Executive - Independent Director (Member) 4) Executive Director - (Member)	12-11-2020 04-10-2021 01-08-2022 03-09-2024	- 04-09-2024 - -
4. Stakeholders Relationship Committee <sup>7</sup>	YES	1) Amit Dangi 2) Vimal Ajmera 3) Rahul Bagaria 4) Haridas Bhat	1) Executive Director (Member) 2) Non-Executive – Independent Director (Member) 3) Non-Executive - Independent Director (Chairperson) 4) Non-Executive - Independent Director (Member)	03-01-2020 03-01-2020 01-08-2022 03-09-2024	- 07-08-2024 - -
5. Corporate Social Responsibility Committee	YES	1) Amit Dangi 2) Vimal Ajmera 3) Bhaviika Jain 4) Rahul Bagaria	1) Executive Director (Member) 2) Non-Executive – Independent Director (Member) 3) Non-Executive - Independent Director (Chairperson) 4) Non-Executive - Independent Director (Member)	03-01-2020 03-01-2020 01-08-2022 03-09-2024	- 07-08-2024 - -

6. Investment Committee	YES	1) Amit Dangi 2) Sanjay Dangi 3) Haridas Bhat 4) Divy Dangi	1) Executive Director - (Chairperson) 2) Non-Executive – Non-Independent Director (Member) 3) Non-Executive - Independent Director (Member) 4) Executive Director - (Member)	12-11-2020 21-12-2021 01-08-2022 03-09-2024	- 04-09-2024 - -
7. Securities Allotment and Redemption Committee	YES	1) Amit Dangi 2) Sanjay Dangi 3) Bhaviika Jain 4) Divy Dangi	1) Executive Director - (Chairperson) 2) Non-Executive – Non-Independent Director (Member) 3) Non-Executive - Independent Director (Member) 4) Executive Director - (Member)	21-12-2021 21-12-2021 01-08-2022 03-09-2024	- 04-09-2024 - -
8. Asset Liability Management Committee	YES	1) Amit Dangi 2) Sanjay Dangi 3) Rahul Bagaria 4) Divy Dangi	1) Executive Director - (Chairperson) 2) Non-Executive – Non-Independent Director (Member) 3) Non-Executive - Independent Director (Member) 4) Executive Director - (Member)	14-11-2019 21-04-2021 01-08-2022 03-09-2024	- 04-09-2024 - -

& 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>
15-05-2024	-	YES	9	5	-
30-05-2024	-	YES	9	5	14
	07-08-2024	YES	9	4	68
	03-09-2024	YES	9	4	26
	26-09-2024	YES	8	4	22
	30-09-2024	YES	8	4	3

\* 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	3	2	15-05-2024	-
Audit Committee	-	YES	3	2	30-05-2024	14
Audit Committee	07-08-2024	YES	3	2	-	68
Audit Committee	03-09-2024	YES	3	2	-	26
Risk Management Committee	-	YES	3	1	30-05-2024	-
Risk Management Committee	07-08-2024	YES	3	1	-	68
Stakeholders Relationship Committee'	-	YES	3	2	15-05-2024	-
Nomination and Remuneration Committee	07-08-2024	YES	2	1	-	-
Asset Liability Management Committee	-	YES	3	1	30-05-2024	-
Asset Liability Management Committee	07-08-2024	YES	3	1	-	68

Investment Committee	-	YES	3	1	30-05-2024	-
Investment Committee	07-08-2024	YES	3	1	-	68
Securities Allotment and Redemption Committee	-	YES	3	1	05-06-2024	-
Securities Allotment and Redemption Committee	-	YES	2	1	07-06-2024	1
Securities Allotment and Redemption Committee	-	YES	2	1	11-06-2024	3

\* This information has to be mandatorily be given for audit committee, for rest of the committees giving this information is optional

#### V. Related Party Transactions

<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

#### 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.

#### 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	<b>No</b>
Date of the event	Brief details of the event

#### VI. Affirmations

<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
<p>For <b>Authum Investment &amp; Infrastructure Limited</b></p> <p>Sd/- <b>Amit K Dangi</b> Whole Time Director DIN: 06527044</p>		

### ANNEXURE 3

**Format for Compliance Report on Corporate Governance to be submitted by a listed entity at the end of 6 months after close of the financial year along-with second quarter report of the next financial year**

<b>I. Affirmations</b>		
	<b><i>Regulation Number</i></b>	<b><i>Compliance status (Yes/No/NA) refer note below</i></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>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 LODR 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>2. If status is “No” details of non-compliance may be given here.</li> <li>3. If the Listed Entity would like to provide any other information the same may be indicated here.</li> </ol>		
<p><b>For Authum Investment &amp; Infrastructure Limited</b></p> <p>Sd/-  <b>Amit K Dangi</b>  <b>Whole Time Director</b>  <b>DIN: 06527044</b></p>		

**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, 2024

**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	185,68,91,758	227,74,05,912
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:

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	-	-	-
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 debtavailed 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.

Sd/-

**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.*