



SHIVOM INVESTMENT & CONSULTANCY LIMITED

91, N. S. Road, 3rd Floor, Vilayati Kothi, Kolkata – 700001

Phone No. : 08232038374, Email ID: shivomicl@gmail.com

Website: www.shivominvestmentconsultancy.com

CIN: L74140WB1990PLC049044

Dated: 11th April, 2017

To,
Compliance Department
Metropolitan Stock Exchange of India Limited
Vibgyor Towers, 4th floor, Plot No C 62, G - Block,
Opp. Trident Hotel, Bandra Kurla Complex,
Bandra (E),
Mumbai - 400 098

To,
Corporate Relationship Dept.
The Calcutta Stock Exchange Limited
7 Lyons Range,
Kolkata - 700 001

Sub: Quarterly compliance Report on Corporate Governance for the quarter ended 31-03-2017.

Script Code: MSEI: SHIVOM, CSEX: 17099

Dear Sir/Madam

Pursuant to Regulation 27 Clause (2) of SEBI Listing Regulation, 2015, (LODR), We are Enclosing herewith the quarterly Compliance report on corporate governance for the quarter ended 31st March, 2017.

Kindly take the above information on record.

Thanking you,

Yours faithfully,

For Shivom Investment & Consultancy Ltd
SHIVOM INVESTMENT & CONSULTANCY LTD.

Managing Director
(Pradip Kumar Sultania)
DIN: 00539550

ANNEXURE I

Format to be submitted by listed entity on quarterly basis

1. Name of Listed Entity: Shivom Investment & Consultancy Limited

2. Quarter ending: 31-03-2017

I. Composition of Board of Directors								
Title (Mr./Ms)	Name of the Director	PAN & DIN	Category (Chairperson/Executive/Non-Executive/independent/Nominee) &	Date of Appointment in the current term /cessation	Tenure*	No of Directorship in listed entities including this listed entity (Refer Regulation 25(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)
Mr.	SASHI PANDEY	DIN: 03614033 PAN: BROPP5797P	Executive/ Non Independent	17-08-2011	60 Months	1	1	1
Mr.	MAHESH SHARMA	DIN: 03610825 PAN: DPSPS8381L	Non Executive/Independent	17-08-2011	60 Months	1	1	1
Ms.	PRADIP KUMAR SULTANIA	DIN: 00539550 PAN: ALOPS8525P	Executive/ Chairperson	17-08-2011	5 Years	1	1	0
Mr.	GAURI BHAGAT	DIN: 06950001 PAN: AQGPB6603E	Non Executive/Independent	01-03-2016	60 Months	2	1	1

SPAN number of any director would not be displayed on the website of Stock Exchange

& 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.

II. Composition of Committees

Name of Committee	Name of Committee members	Category (Chairperson/Executive/Non-Executive/Independent/Nominee) 5
1. Audit Committee	SASHI PANDEY MAHESH SHARMA PRADIP KUMAR SULTANIA ASHISH MURARKA	Chairperson - Non Executive/ Independent Non Executive/ Independent Executive/ Non - Independent Secretary
2. Nomination & Remuneration Committee	SASHI PANDEY MAHESH SHARMA GAURI BHAGAT	Non Executive/ Independent Chairperson - Non Executive/ Independent Non Executive/ Independent
3. Risk Management Committee(if applicable)	N.A.	
4. Stakeholders Relationship Committee	SASHI PANDEY MAHESH SHARMA GAURI BHAGAT	Non Executive/ Independent Non Executive/ Independent Chairperson - Non Executive/ Independent

&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 (if any) in the previous quarter	Date(s) of Meeting (if any) in the relevant quarter	Maximum gap between any two consecutive (in number of days)
12.11.2016	13.02.2017	92 DAYS
	15.02.2017	1 DAYS

IV. Meeting of Committees

Date(s) of meeting of the committee in the relevant quarter	Whether requirement of Quorum met (details)	Date(s) of meeting of the committee in the previous quarter	Maximum gap between any two consecutive meetings in number of days*
Audit committee Meeting 13.02.2017	YES	12.11.2016	92 DAYS
Nomination and Remuneration Committee 13.02.2017	YES	12.11.2016	92 DAYS
Stakeholders Relationship Committee 13.02.2017	YES	12.11.2016	92 DAYS

* 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

Subject	Compliance status (Yes/No/NA)refer note below
Whether prior approval of audit committee obtained	N.A.
Whether shareholder approval obtained for material RPT	N.A.
Whether details of RPT entered into pursuant to omnibus approval have been reviewed by Audit Committee	N.A.

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

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| 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 | Yes |
| a. Audit Committee | Yes |
| b. Nomination & remuneration committee | Yes |
| c. Stakeholders relationship committee | Yes |
| d. Risk management committee (applicable to the top 100 listed entities) | N.A |
| 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 |

Note:

Information at Table I and II above need to be necessarily given in 1st quarter of each financial year. However if there is no change of information in subsequent quarter(s) of that financial year, this information may not be given by Listed entity and instead a statement "same as previous quarter" may be given.



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ANNEXURE II

Annexure II to be submitted by listed entity at the end of the financial year (for the whole of financial year)

I. Disclosure on website in terms of Listing Regulations

Sl. No.	Item	Compliance status (Yes/No/NA)	If status is "No" details of noncompliance may be given here.	Web address
1	Details of business	Yes		http://www.shivominvestmentconsultancyttd.com
2	Terms and conditions of appointment of independent directors	Yes		http://www.shivominvestmentconsultancyttd.com
3	Composition of various committees of board of directors	Yes		http://www.shivominvestmentconsultancyttd.com
4	Code of conduct of board of directors and senior management personnel	Yes		http://www.shivominvestmentconsultancyttd.com
5	Details of establishment of vigil mechanism/ Whistle Blower policy	Yes		http://www.shivominvestmentconsultancyttd.com
6	Criteria of making payments to non-executive directors	Yes		http://www.shivominvestmentconsultancyttd.com
7	Policy on dealing with related party transactions	Yes		http://www.shivominvestmentconsultancyttd.com
8	Policy for determining 'material' subsidiaries	N.A		N.A
9	Details of familiarization programmes imparted to independent directors	Yes		http://www.shivominvestmentconsultancyttd.com
10	Contact information of the designated officials of the listed entity who are responsible for assisting and handling investor grievances	Yes		http://www.shivominvestmentconsultancyttd.com
11	email address for grievance redressal and other relevant details	Yes		http://www.shivominvestmentconsultancyttd.com
12	Financial results	Yes		http://www.shivominvestmentconsultancyttd.com
13	Shareholding pattern	Yes		http://www.shivominvestmentconsultancyttd.com
14	Details of agreements entered into with the media companies and/or their associates	Yes		http://www.shivominvestmentconsultancyttd.com
15	New name and the old name of the listed entity	N.A		N.A

II. Annual Affirmations

Sl. No.	Particulars	Regulation Number	Compliance status (Yes/No/NA)	If status is "No" details of noncompliance may be given here.
1	Independent director(s) have been appointed in terms of specified criteria of 'independence' and/or 'eligibility'	16(1)(b) & 25 (6)	Yes	
2	Board composition	17(1)	Yes	
3	Meeting of Board of directors	17(2)	Yes	
4	Review of Compliance Reports	17(3)	Yes	
5	Plans for orderly succession for appointments	17(4)	Yes	
6	Code of Conduct	17(5)	Yes	
7	Fees/compensation	17(6)	Yes	
8	Minimum Information	17(7)	Yes	
9	Compliance Certificate	17(8)	Yes	
10	Risk Assessment & Management	17(9)	Yes	
11	Performance Evaluation of Independent Directors	17(10)	Yes	
12	Composition of Audit Committee	18(1)	Yes	
13	Meeting of Audit Committee	18(2)	Yes	
14	Composition of nomination & remuneration committee	19(1) & (2)	Yes	
15	Composition of Stakeholder Relationship Committee	20(1) & (2)	Yes	
16	Composition and role of risk management committee	21(1),(2),(3),(4)	NA	
17	Vigil Mechanism	22	Yes	



18	Policy for related party Transaction	23(1),(5),(6),(7) & (8)	Yes	
19	Prior or Omnibus approval of Audit Committee for all related party transactions	23(2), (3)	NA	
20	Approval for material related party transactions	23(4)	NA	
21	Composition of Board of Directors of unlisted material Subsidiary	24(1)	NA	
22	Other Corporate Governance requirements with respect to subsidiary of listed entity	24(2),(3),(4), (5) & (6)	NA	
23	Maximum Directorship & Tenure	25(1) & (2)	Yes	
24	Meeting of independent directors	25(3) & (4)	Yes	
25	Familiarization of independent directors	25(7)	Yes	
26	Memberships in Committees	26(1)	Yes	
27	Affirmation with compliance to code of conduct from members of Board of Directors and Senior management personnel	26(3)	Yes	
28	Disclosure of Shareholding by Non-Executive Directors	26(4)	Yes	
29	Policy with respect to Obligations of directors and senior management	26(2) & 26(5)	Yes	

Annexure II

III. Affirmations

Sl No.	Particulars	Compliance status (Yes/No/NA)
1	The Listed Entity has approved Material Subsidiary Policy and the Corporate Governance requirements with respect to subsidiary of Listed Entity have been complied	NA

SHIVOM INVESTMENT & CONSULTANCY LTD.

Signatories Details

Name of the Signatories:

PRADIP KUMAR MUKHERJEE
Managing Director

Designation of person:

Managing Director

Place:

Kolkata

Date:

11.04.2017