

General information about company

Scrip code	531390
NSE Symbol	
MSEI Symbol	
ISIN	INE890B01014
Name of the entity	Upsurge Investment & Finance Limited
Date of start of financial year	01-04-2021
Date of end of financial year	31-03-2022
Reporting Quarter	Quarterly
Date of Report	31-12-2021
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

No

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)	
1	Mr	DAYAKRISHNA GOYAL	AACPG8766B	00398539	Executive Director	Not Applicable	MD	04-05-1968	NA		01-04-1995	29-07-2017		66	1	0	2	0
2	Mr	HANSRAJ BHAGWANLAL GOYAL	AAIPG7087M	00398273	Non-Executive - Independent Director	Not Applicable		29-03-1969	NA		27-07-2009	30-09-2019		87	1	1	2	1
3	Mrs	PRATIBHA DAYAKRISHNA GOYAL	AHAPG4289L	00399056	Non-Executive - Non Independent Director	Not Applicable		12-04-1975	NA		08-08-2014				1	0	1	1
4	Mr	DINESH SURESH VIJAYVARGIA	ABPPV4827N	01131902	Non-Executive - Independent Director	Not Applicable		13-09-1967	NA		24-03-2003	30-09-2019		87	1	1	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	00398273	HANSRAJ BHAGWANLAL GOYAL	Non-Executive - Independent Director	Chairperson	27-09-2009		
2	00398539	DAYAKRISHNA GOYAL	Executive Director	Member	28-08-2001		
3	01131902	DINESH SURESH VIJAYVARGIA	Non-Executive - Independent Director	Member	24-03-2003		

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	01131902	DINESH SURESH VIJAYVARGIA	Non-Executive - Independent Director	Chairperson	24-03-2003		
2	00398273	HANSRAJ BHAGWANLAL GOYAL	Non-Executive - Independent Director	Member	27-03-2009		
3	00399056	PRATIBHA DAYAKRISHNA GOYAL	Non-Executive - Non Independent Director	Member	08-08-2014		

Stakeholders Relationship Committee							
Whether the Stakeholders Relationship 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	00399056	PRATIBHA DAYAKRISHNA GOYAL	Non-Executive - Non Independent Director	Chairperson	08-08-2014		
2	00398273	HANSRAJ BHAGWANLAL GOYAL	Non-Executive - Independent Director	Member	27-07-2009		
3	00398539	DAYAKRISHNA GOYAL	Executive Director	Member	23-01-2019		

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

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* (All directors including Independent Director)	No. of Independent Directors attending the meeting*
1	12-07-2021				Yes	4	2
2	10-08-2021		28		Yes	3	2
3	31-08-2021		20		Yes	4	2
4		20-10-2021	49		Yes	4	2
5		08-11-2021	18		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* (All directors including Independent Director)	No. of Independent Directors attending the meeting*
1	Audit Committee	10-08-2021				Yes	3	2
2	Audit Committee	31-08-2021				Yes	3	2
3	Audit Committee	20-10-2021	49			Yes	3	2
4	Audit Committee	08-11-2021	18			Yes	3	2
5	Nomination and remuneration committee	12-07-2021				Yes	3	2
6	Nomination and remuneration committee	20-10-2021				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	Diksha Joshi
2	Designation	Company Secretary and Compliance Officer

Signatory Details

Name of signatory	Diksha Joshi
Designation of person	Company Secretary and Compliance Officer
Place	Mumbai
Date	12-01-2022

