

ANNEXURE I

Format to be submitted by listed entity on quarterly basis

1. Name of Listed Entity - **Swan Energy Limited**
 2. Quarter ending - **30-Sep-2022**

i. Composition Of Board Of Director

Title (Mr./Ms)	Name of the Director	DIN	PAN	Category (Chairperson/Executive/Non-Executive/Independent/Nominee)	Sub Category	Initial Date of Appointment	Date of Appointment	Date of cessation	Tenure	Date of Birth	Whether the director is disqualified?	Start Date of disqualification	End Date of disqualification	Details of disqualification	Current status	Whether special resolution passed? [Refer Reg. 17 (1A) of Listing Regulations]	Date of passing special resolution	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)]	No of memberships in Audit/Stakeholder Committee(s) including this listed entity	No of post of Chairperson in Audit/Stakeholder Committee held in listed entities including this listed entity	Membership in Committees of the Company	Remarks
Mr.	Navinbhai C. Dave	01787259	AABPD6262G	C, NED		16-Nov-1998				25-Oct-1938	No				Active	Yes	24-May-2019	1	0	1	1	SC	
Mr.	Nikhil V. Merchant	00614790	AAEPM1722D	ED	MD	25-Mar-1992	11-Sep-2019			06-Jul-1960	No				Active	NA		1	0	0	0		
Mr.	Paresh V. Merchant	00660027	AAJPM7513K	ED		23-Nov-1998	11-Sep-2019			19-Sep-1963	No				Active	NA		1	0	1	0	SC, RC	
Mr.	Padmanabhan Sugavanam	03229120	AAMPP4751B	ED		24-Sep-2010	28-Sep-2020			06-Jun-1945	No				Active	NA		1	0	0	0		
Mr.	Pitamber Teckchandani	00319820	ACUPT6610M	ID		29-Sep-2014	29-Sep-2019		60	07-Feb-1938	No				Active	Yes	24-May-2019	1	1	0	0	AC, NRC	
Mr.	Shobhan I. Diwanji	01667803	AAEPD9990Q	ID		29-Sep-2014	29-Sep-2019		60	18-Aug-1955	No				Active	NA		2	2	2	1	AC, RC, NRC	
Mr.	Rajat Kumar Dasgupta	01725758	AAAPD3186C	ID		29-Sep-2014	29-Sep-2019		60	02-Nov-1936	No				Active	Yes	24-May-2019	1	1	0	0		
Ms.	Surekha Oak	07122776	AACPO3528R	ID		13-Mar-2015	13-Mar-2020		60	25-Sep-1954	No				Active	NA		1	1	2	0	AC, SC, RC, NRC	
Mr.	Rohinton Eruch Shroff	00234712	AAFPS3351R	ID		23-Aug-2022	28-Sep-2022		60	20-Aug-1950	No				Active	Yes	28-Sep-2022	1	1	0	0		

Company Remarks	
Whether Permanent chairperson appointed	Yes
Whether Chairperson is related to MD or CEO	Yes

ii. Composition of Committees**a. Audit Committee**

<i>Sr. No.</i>	<i>Name of the Director</i>	<i>Category</i>	<i>Chairperson/Membership</i>	<i>Appointment Date</i>	<i>Cessation Date</i>
1	Shobhan I. Diwanji	ID	Chairperson	30-Mar-2015	
2	Surekha Oak	ID	Member	30-Mar-2015	
3	Pitamber Teckchandani	ID	Member	24-Jun-2022	

Company Remarks	
Whether Permanent chairperson appointed	Yes

b. Stakeholders Relationship Committee

<i>Sr. No.</i>	<i>Name of the Director</i>	<i>Category</i>	<i>Chairperson/Membership</i>	<i>Appointment Date</i>	<i>Cessation Date</i>
1	Navinbhai C. Dave	C, NED	Chairperson	13-Jul-2016	
2	Paresh V. Merchant	ED	Member	13-Mar-2015	
3	Surekha Oak	ID	Member	13-Mar-2015	

Company Remarks	
Whether Permanent chairperson appointed	Yes

c. Risk Management Committee

<i>Sr. No.</i>	<i>Name of the Director</i>	<i>Category</i>	<i>Chairperson/Membership</i>	<i>Appointment Date</i>	<i>Cessation Date</i>
1	Paresh V. Merchant	ED	Chairperson	30-May-2019	
2	Surekha Oak	ID	Member	30-May-2019	
3	Shobhan I. Diwanji	ID	Member	24-Jun-2022	

Company Remarks	
Whether Permanent chairperson appointed	Yes

d. Nomination and Remuneration Committee

<i>Sr. No.</i>	<i>Name of the Director</i>	<i>Category</i>	<i>Chairperson/Membership</i>	<i>Appointment Date</i>	<i>Cessation Date</i>
1	Shobhan I. Diwanji	ID	Chairperson	30-Mar-2015	
2	Surekha Oak	ID	Member	30-Mar-2015	
3	Pitamber Teckchandani	ID	Member	24-Jun-2022	

Company Remarks	
Whether Permanent chairperson appointed	Yes

iii. Meeting of Board of Directors

Date(s) of meeting of the committee(s) in the previous quarter and in the relevant quarter	Whether requirement of Quorum met (Yes/No)	Total Number of Directors as on date of the meeting	Number of Directors present (All directors including Independent Director)	Number of Independent Directors present
20-May-2022	Yes	8	8	4
30-May-2022	Yes	8	8	4
24-Jun-2022	Yes	8	8	4
01-Aug-2022	Yes	8	5	2
09-Aug-2022	Yes	8	8	4
23-Aug-2022	Yes	9	7	3
28-Sep-2022	Yes	9	6	3

Company Remarks	
Maximum gap between any two consecutives (in number of days)	37

iv. Meeting of Committees

Name of the Committee	Date(s) of meeting of the committee(s) in the previous quarter and in the relevant quarter	Whether requirement of Quorum met (Yes/No)	Total Number of Directors as on date of the meeting	Total Number of Directors attended the meeting (All directors including Independent Director)	Number of Independent directors attending the meeting	Number of Members attending the Meeting (Other than Board of Directors)
Audit Committee	30-May-2022	Yes	3	3	3	0
Audit Committee	09-Aug-2022	Yes	3	3	3	0
Stakeholders Relationship Committee	30-May-2022	Yes	3	3	1	0
Stakeholders Relationship Committee	09-Aug-2022	Yes	3	3	1	0
Risk Management Committee	23-Aug-2022	Yes	3	2	1	0

Company Remarks	
Maximum gap between any two consecutives (in number of days) [Only for Audit Committee]	70

v. **Related Party Transactions**

Subject	Compliance status (Yes/No/NA)	Remark
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	

Disclosure of notes on related party transactions and Disclosure of notes of material related party transactions	
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VI. Affirmations

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**
 - b. Nomination & remuneration committee - **Yes**
 - c. Stakeholder's relationship committee - **Yes**
 - d. Risk management committee (applicable to the top 100 listed entities) - **Yes**
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. a. This report and/or the report submitted in the previous quarter has been placed before Board of Directors. - **Yes**
b. Any comments/observations/advice of Board of Directors may be mentioned here:

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Name : **Arun S. Agarwal**
Designation : **Company Secretary & Compliance Officer**

ANNEXURE III

Affirmations

Broad Heading	Regulation Number	Compliance Status	Company Remark
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	
Whether "Corporate Governance Report" disclosed in Annual Report	34(3) read with para-C of Schedule V	Yes	

Note:

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Name : Arun S. Agarwal
Designation : Company Secretary & Compliance Officer

ANNEXURE IV

(A) Any loan or any other form of debt advanced by the listed entity directly or indirectly to

Aggregate amount advanced during six months				Balance outstanding at the end of six months			
<i>Promoter or any other entity controlled by them</i>	<i>Promoter Group or any other entity controlled by them</i>	<i>Directors (including relatives) or any other entity controlled by them</i>	<i>KMPs or any other entity controlled by them</i>	<i>Promoter or any other entity controlled by them</i>	<i>Promoter Group or any other entity controlled by them</i>	<i>Directors (including relatives) or any other entity controlled by them</i>	<i>KMPs or any other entity controlled by them</i>

(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)
<i>Promoter or any other entity controlled by them</i>			
<i>Promoter Group or any other entity controlled by them</i>			
<i>Directors (including relatives) or any other entity controlled by them</i>			
<i>KMPs or any other entity controlled by them</i>			

(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
<i>Promoter or any other entity controlled by them</i>			
<i>Promoter Group or any other entity controlled by them</i>			
<i>Directors (including relatives) or any other entity controlled by them</i>			
<i>KMPs or any other entity controlled by them</i>			

(D) If the Listed Entity would like to provide any other information the same may be indicated here

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Affirmations
<i>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</i>

Company Remarks in case of non-compliant status

Name: Designation: Place: Date:
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