

ANNEXURE I

Format to be submitted by listed entity on quarterly basis

1. Name of Listed Entity - **BALAXI PHARMACEUTICALS LIMITED**
 2. Quarter ending - **31-Mar-2023**

i. Composition Of Board of Director

Title (Mr./Ms)	Name of the Director	DIN	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.	ASHISH MAHESHWARI	01575984	C & ED	MD	04-May-2017				20-Apr-1970	No					NA		1	0	1	0	AC,RC	
Mrs.	MINOSHI MAHESHWARI	01575975	NED		04-May-2017				08-Jul-1972	No					NA		1	0	1	0	SC,NRC	
Mr.	KUNAL MAHENDRA BHAKTA	01710557	ID		04-May-2017	04-May-2022		71	10-Jan-1982	No					NA		1	1	2	2	AC,SC,NRC	
Mr.	GANDHI GAMJI	01944694	ID		04-May-2017	04-May-2022		71	12-Oct-1969	No					NA		1	1	2	0	AC,SC,RC,NRC	
Mr.	M SRINIVAS RAO	08095079	ID		15-Sep-2020	15-Sep-2020		31	09-Aug-1960	No					NA		4	4	3	0	NA	
Mrs.	PURNIMA SINGH KAMBLE	00241708	ID		26-Mar-2021	26-Mar-2023		24	30-Jan-1972	No					NA		1	1	0	0	NA	

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

ii. Composition of Committees

a. Audit Committee

Sr. No.	Name of Committee members	Category	Chairperson/Member	Date of Appointment	Date of Cessation
1	KUNAL MAHENDRA BHAKTA	ID	Chairperson	04-May-2017	
2	GANDHI GAMJI	ID	Member	04-May-2017	
3	ASHISH MAHESHWARI	C & ED	Member	04-May-2017	

Company Remarks	
Whether Regular chairperson appointed	Yes

b. Stakeholders Relationship Committee

Sr. No.	Name of Committee members	Category	Chairperson/Member	Date of Appointment	Date of Cessation
1	KUNAL MAHENDRA	ID	Chairperson	04-May-2017	

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	BHAKTA				
2	MINOSHI MAHESHWARI	NED	Member	04-May-2017	
3	GANDHI GAMJI	ID	Member	04-May-2017	

Company Remarks	
Whether Regular chairperson appointed	Yes

c. Risk Management Committee

Sr. No.	Name of Committee members	Category	Chairperson/Member	Date of Appointment	Date of Cessation
1	ASHISH MAHESHWARI	C & ED	Chairperson	20-May-2021	
2	GANDHI GAMJI	ID	Member	20-May-2021	
3	AMOL MANTRI	Chief Financial Officer	Member	20-May-2021	

Company Remarks	
Whether Regular chairperson appointed	Yes

d. Nomination and Remuneration Committee

Sr. No.	Name of Committee members	Category	Chairperson/Member	Date of Appointment	Date of Cessation
1	MINOSHI MAHESHWARI	NED	Member	12-Feb-2018	
2	KUNAL MAHENDRA BHAKTA	ID	Chairperson	04-May-2017	
3	GANDHI GAMJI	ID	Member	04-May-2017	

Company Remarks	
Whether Regular chairperson appointed	Yes

iii. Meeting of Board of Directors

Date(s) of meeting (Enter dates of Previous quarter and Current quarter in chronological order)	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)	No. of Independent Directors attending the meeting
05-Nov-2022	Yes	6	6	4
01-Feb-2023	Yes	6	5	3

Company Remarks	
Maximum gap between any two consecutive (in number of days)	87

iv. Meeting of Committees

Name of the Committee	Date(s) of meeting (Enter dates of Previous quarter and Current quarter in chronological order)	Whether requirement of Quorum met (Yes/No)	Total Number of Directors in the Committee as on date of the meeting	Number of Directors present (All directors including Independent Director)	Number of Independent directors attending the meeting	Number of Members attending the Meeting (Other than Board of Directors)
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Nomination & Remuneration Committee	04-Nov-2022	Yes	3	2	1	0
Audit Committee	05-Nov-2022	Yes	3	3	2	0
Risk Management Committee	09-Jan-2023	Yes	3	2	1	1
Nomination & Remuneration Committee	31-Jan-2023	Yes	3	3	2	0
Stakeholders Relationship Committee	31-Jan-2023	Yes	3	3	2	0
Audit Committee	31-Jan-2023	Yes	3	3	2	0

Company Remarks	
Maximum gap between any two consecutive (in number of days) [Only for Audit Committee]	86

v. **Related Party Transactions**

<i>Subject</i>	<i>Compliance status (Yes/No/NA)</i>	<i>Remark</i>
Whether prior approval of audit committee obtained	Yes	
Whether shareholder approval obtained for material RPT	Not Applicable	
Whether details of RPT entered into pursuant to omnibus approval have been reviewed by Audit Committee	Not Applicable	

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. Stakeholders relationship committee - **Yes**
 - d. Risk management committee (applicable to the top 1000 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 : Udayan Shukla
Designation : Company Secretary & Compliance Officer

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ANNEXURE II

Format 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			
<i>Item</i>	<i>Compliance status</i>	<i>Company Remark</i>	<i>Website</i>
As per regulation 46(2) of the LODR:			
Details of business	Yes		https://balaxipharma.in/corporate-overview
Terms and conditions of appointment of independent	Yes		https://balaxipharma.in/assets/images/newspaperadvertisement/POLICY ON Director APPOINTMENT.pdf
Composition of various committees of board of directors	Yes		https://balaxipharma.in/board-committees
Code of conduct of board of directors and senior	Yes		https://balaxipharma.in/assets/images/newspaperadvertisement/Code of Conduct for Board members and the Senior Management.pdf
Details of establishment of vigil mechanism/ Whistle Blower	Yes		https://balaxipharma.in/assets/images/newspaperadvertisement/WHISTLE BLOWER POLICY.pdf
Criteria of making payments to non-executive directors	Yes		https://balaxipharma.in/assets/images/newspaperadvertisement/Remuneration Policy.pdf
Policy on dealing with related party transactions	Yes		https://balaxipharma.in/assets/images/newspaperadvertisement/02-POLICY ON RELATED PARTY TRANSACTIONS.pdf
Policy for determining 'material' subsidiaries	Yes		https://balaxipharma.in/assets/images/newspaperadvertisement/03-POLICY ON MATERIAL SUBSIDIARY.pdf
Details of familiarization programs imparted to independent	Yes		https://balaxipharma.in/assets/images/newspaperadvertisement/FAMILIARIZATION PROGRAMME TO INDEPENDENT DIRECTORS.pdf
Email address for grievance redressal and other relevant details entity who are responsible for assisting and handling	Yes		https://balaxipharma.in/investor-contacts
Contact information of the designated officials of the listed	Yes		https://balaxipharma.in/investor-contacts
Financial results	Yes		https://balaxipharma.in/financial-results
Shareholding pattern	Yes		https://balaxipharma.in/investor-shareholder-pattern
Details of agreements entered into with the media companies and/or their associates	Not Applicable		
Schedule of analyst or institutional investor meet and presentations made by the listed entity to analysts or	Yes		https://balaxipharma.in/corporate-announcements
New name and the old name of the listed entity	Not Applicable		
Advertisements as per regulation 47 (1)	Yes		https://balaxipharma.in/press-releases
Credit rating or revision in credit rating obtained by the	Yes		https://balaxipharma.in/corporate-announcements
Separate audited financial statements of each subsidiary of	Yes		https://balaxipharma.in/subsidiaries-financial-statements
As per other regulations of the LODR:			
Whether company has provided information under separate section on its website as per Regulation 46(2)	Yes		https://balaxipharma.in/
Materiality Policy as per Regulation 30	Yes		https://balaxipharma.in/assets/images/newspaperadvertisement/POLICY FOR DETERMINING MATERIAL INFORMATION.pdf
Dividend Distribution policy as per Regulation 43A (as	Yes		https://balaxipharma.in/assets/images/newspaperadvertisement/Dividend Distribution Policy.pdf
It is certified that these contents on the website of the listed	Yes		
II Annual Affirmations			
<i>Particulars</i>	<i>Regulation Number</i>	<i>Compliance status (Yes/No/NA)</i>	<i>Company Remark</i>
<i>Independent director(s) have been appointed in terms of specified criteria of 'independence' and/or 'eligibility'</i>	<i>16(1)(b) & 25(6)</i>	Yes	
<i>Board composition</i>	<i>17(1), 17(1A) & 17(1B)</i>	Yes	
<i>Meeting of Board of directors</i>	<i>17(2)</i>	Yes	
<i>Quorum of Board meeting</i>	<i>17(2A)</i>	Yes	
<i>Review of Compliance Reports</i>	<i>17(3)</i>	Yes	
<i>Plans for orderly succession for appointments</i>	<i>17(4)</i>	Yes	
<i>Code of Conduct</i>	<i>17(5)</i>	Yes	
<i>Fees/compensation</i>	<i>17(6)</i>	Yes	
<i>Minimum Information</i>	<i>17(7)</i>	Yes	
<i>Compliance Certificate</i>	<i>17(8)</i>	Yes	
<i>Risk Assessment & Management</i>	<i>17(9)</i>	Yes	

<i>Performance Evaluation of Independent Directors</i>	17(10)	Yes	
<i>Recommendation of Board</i>	17(11)	Yes	
<i>Maximum number of directorship</i>	17A	Yes	
<i>Composition of Audit Committee</i>	18(1)	Yes	
<i>Meeting of Audit Committee</i>	18(2)	Yes	
<i>Composition of nomination & remuneration committee</i>	19(1) & (2)	Yes	
<i>Quorum of Nomination and Remuneration Committee meeting</i>	19(2A)	Yes	
<i>Meeting of nomination & remuneration committee</i>	19(3A)	Yes	
<i>Composition of Stakeholder Relationship Committee</i>	20(1), 20(2) and 20(2A)	Yes	
<i>Meeting of stakeholder relationship committee</i>	20(3A)	Yes	
<i>Composition and role of risk management committee</i>	21(1),(2),(3),(4)	Yes	
<i>Meeting of Risk Management Committee</i>	21(3A)	Yes	
<i>Vigil Mechanism</i>	22	Yes	
<i>Policy for related party Transaction</i>	23(1),(1A),(5),(6),(7)	Yes	
<i>Prior or Omnibus approval of Audit Committee for all related party transactions</i>	23(2), (3)	Yes	
<i>Approval for material related party transactions</i>	23(4)	Not Applicable	
<i>Disclosure of related party transactions on consolidated basis</i>	23(9)	Yes	
<i>Composition of Board of Directors of unlisted material Subsidiary</i>	24(1)	Yes	
<i>Other Corporate Governance requirements with respect to subsidiary of listed entity</i>	24(2),(3),(4),(5) & (6)	Yes	
<i>Annual Secretarial Compliance Report</i>	24(A)	Yes	
<i>Alternate Director to Independent Director</i>	25(1)	Not Applicable	
<i>Maximum Tenure</i>	25(2)	Yes	
<i>Meeting of independent directors</i>	25(3) & (4)	Yes	
<i>Familiarization of independent directors</i>	25(7)	Yes	
<i>Declaration from Independent Director</i>	25(8) & (9)	Yes	
<i>D & O Insurance for Independent Directors</i>	25(10)	Yes	
<i>Memberships in Committees</i>	26(1)	Yes	
<i>Affirmation with compliance to code of conduct from members of Board of Directors and Senior management personnel</i>	26(3)	Yes	
<i>Disclosure of Shareholding by Non- Executive Directors</i>	26(4)	Not Applicable	
<i>Policy with respect to Obligations of directors and senior management</i>	26(2) & 26(5)	Yes	

Other Information	
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III Affirmations:

The Listed Entity has approved Material Subsidiary Policy and the Corporate Governance requirements with respect to subsidiary of Listed Entity have been complied. - **Yes**

Other Information	
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Name : Udayan Shukla
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>
0	0	0	0	0	0	0	0

(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>	Nil	0	0
<i>Promoter Group or any other entity controlled by them</i>	Nil	0	0
<i>Directors (including relatives) or any other entity controlled by them</i>	Nil	0	0
<i>KMPs or any other entity controlled by them</i>	Nil	0	0

(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>	Nil	0	0
<i>Promoter Group or any other entity controlled by them</i>	Nil	0	0

<i>Directors (including relatives) or any other entity controlled by them</i>	Nil	0	0
<i>KMPs or any other entity controlled by them</i>	Nil	0	0

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

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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

Company Remarks in case of non-compliant status

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<p>Name: Amol Mantri Designation: Chief Financial Officer Place: Dubai Date: 06-Apr-2023</p>
