

## NEW ERA ALKALOIDS & EXPORTS LIMITED

REGD. 501, WALLFORT OZONE, FAFADIH, RAIPUR (C. G.) 492001  
CIN-L24100CT1994PLC008842

Email: neael@rediffmail.com

www.neweraltd.com

### Compliance Report on Corporate Governance

1 Name of Listed Entity: New Era Alkaloids & Exports Limited

2 Quarter ending: 31st MARCH, 2019

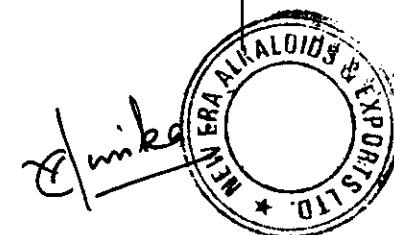
I. Composition of Board of Directors (SAME AS PREVIOUS QUARTER)											
Title (Mr./Ms)	Name of the Director	PAN*	DIN	Category (Chairperson/Executive/Non-Executive/independent/Nominee)*	Date of Appointment in the current term	Date of Ceassation	Tenure*	No of Directorship in listed entities including 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.	RAVINDRA POKHARANA	ADHPP3565G	01121333	Executive	4/1/2015		N/A	2	0	1	
Mr.	RAVI KAMRA	AEVPK0805N	00745058	Executive	30/9/2016		N/A	3	5	2	
Mr	GHANSHYAM SONI	DPYPS8491R	07570887	Independent/ non-Executive	30/9/2016		5 YEARS	3	1	1	
Mr	TULSI RAM SAHU	BHOPS0901G	01395347	Independent/ non-Executive	28/9/2015		5 YEARS	1	1	0	
Mrs.	SATYAWATI PARASHAR	ALCPP4985E	00761009	Independent/ non-Executive	28/9/2015		5 YEARS	4	2	1	

\* PAN 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)*



1	Audit committee	Mr. Tulsiram Sahu	Independent
		Mr. Ravi Kamra	Executive
		Mrs. Satyawati Parashar	Independent
2	Nomination & Remuneration Committee	Mr. Ravindra Pokharana	Executive
		Mr. Tulsiram Sahu	Independent
		Mrs. Satyawati Parashar	Independent
3	Risk management Committee (if applicable)	N/A	
4	Stakeholders Relationship committee'	Mr. Ravi Kamra	Executive
		Mr. Ravindra Pokharana	Executive
		Mr. Tulsiram Sahu	Independent
		Mrs. Satyawati Parashar	Independent

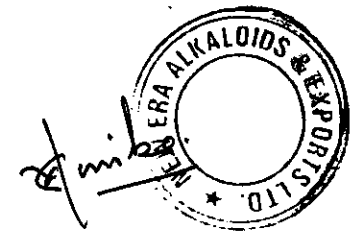
\*Category of directors means executive/non-executive/independent/Nominee. If a director fits into more than one category write all categories separating them with hyphen

<b>III. Meeting of Board of Directors</b>		
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)
14/11/2018	-	-
	14/2/2019	91

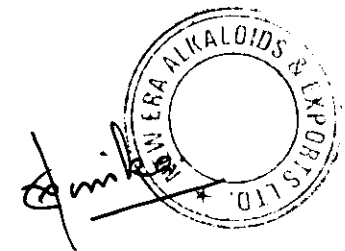
<b>IV. Meeting of Committees</b>			
Date(s) of meeting of the committee in the relevant quarter	Whether requirement of Quorum met (details)	Date(s) of meeting of the committee in the previous quarter	Maximum gap between any two consecutive meetings in number of days*
13/2/2019	YES	13/11/2018	62

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

<b>V. Related Party Transactions</b>		
<b>Subject</b>		<b>Compliance status (Yes/No/NA)</b> <sup>refer note below</sup>
Whether prior approval of audit committee obtained		Yes
Whether shareholder approval obtained for material RPT		NA
Whether details of RPT entered into pursuant to omnibus approval have been reviewed by Audit Committee		NA



1	<b>Note</b> In the column "Compliance status", compliance or non-compliance may be indicated by Yes/No/NA. 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 no-compliance may be given here.
<b>VI.</b>	<b>Affirmations</b>
1	The composition of Board of Directoris in terms of SEBI (Listing obligations and disclosure requirements) Regulations, 2015 - <b>YES</b>
2	The composition of the following committees is in terms of SEBI (listing obligations and disclosure requirements) Regulations,2015 - <b>YES</b> a) Audit Committee b) Nomination & remuneration committee c) Stakeholders relationship committee d) Risk management committee (applicable to the top 100 listed entities) - <b>NA</b>
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. - <b>YES</b>
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 - <b>YES</b>
5	This report and/or the report submitted in the previous quarter has been placed before Board of Directors. <b>YES</b> Any comments/observations/advice of Board of directors may be mentioned here: <b>NIL</b>
<b>Note:</b>	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 fiancial year, this information may not be given by Listed entity and instead a statement "same as previous quarter' may be given.
<b>Note:</b>	<b>Regulation 17 to 27 of the SEBI (Listing Obligations and Disclosure Requirements) Regulation, 2015 is not applicable to the Company as the Company is neither having paid up share capital of or exceeding Rs.10.00 crore and a net worth of or exceeding Rs.25.00 crores</b> <b>Compliance is made at the discretion for good Corporate Governance.</b>

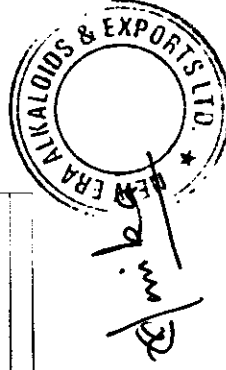


**Securities and Exchange board of India**

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

**I. Disclosure on website in terms of Listing regulations**

Item	Compliance status (Yes/No/NA) <sup>refer note below</sup>
<b>Details of business</b>	YES
<b>Terms and conditions of appointment of independent directors</b>	YES
<b>Composition of various committees of board of directors</b>	YES
<b>Code of conduct of board of directors and senior management personnel</b>	YES
<b>Details of establishment of vigil mechanism/Whistle blower policy</b>	YES
<b>Criteria of making payments to non-executive directors</b>	YES
<b>Policy on dealing with related party transactions</b>	NA
<b>Policy for determining 'material' subsidiaries</b>	YES
<b>Details of familiarization programmes imparted to independent directors</b>	YES
<b>Contact information of the designated officials of the listed entity who are responsible for assisting and handling investor grievances</b>	YES
<b>email address for grievance redressal and other relevant details</b>	YES
<b>Financial results</b>	YES
<b>Shareholding pattern</b>	YES
<b>Details of agreements entered into with the media companies and/or their associates</b>	NA
<b>New name and the old name of the listed entity</b>	NA



II Annual Affirmations		
Particulars	Regulation Number	Compliance status (Yes/No/NA) refer note below
Independent director(s) have been appointed in terms of specified criteria of 'independence' and /or 'eligibility'	16(1)(b) & 25(6)	NA
Board composition	17(1)	NA
Meeting of Board of directors	17(2)	NA
Review of Compliance Reports	17(3)	NA
Plans for orderly succession for appointments	17(4)	NA
Code of Conduct	17(5)	NA
Fees/compensation	17(6)	NA
Minimum Information	17(7)	NA
Compliance Certificate	17(8)	NA
Risk Assessment & Management	17(9)	NA
Performance Evaluation of Independent Directors	17(10)	NA
Composition of Audit Committee	18(1)	NA
Meeting of Audit Committee	18(2)	NA
Composition of nomination & remuneration committee	19(1) & (2)	NA
Composition of Stakeholder Relationship committee	20(1) & (2)	NA
Composition and role of risk management committee	21(1), (2), (3), (4)	NA
Vigil Mechanism	22	NA
Policy for related party Transaction	23(1), (5), (6), (7) & (8)	NA
Prior or Omnibus approval of Audit Committee for all related party transactions	23(2), (3)	NA
Approval for material related party transactions	23(4)	NA
Composition of Board of Directors of unlisted material Subsidiary	24(1)	NA
Other Corporate Governance requirements with respect to subsidiary of listed entity	24(2), (3), (4), (5) & (6)	NA
Maximum Directorship & Tenure	25(1) & (2)	NA
Meeting of independent directors	25(3) & (4)	NA
Familiarization of independent directors	25(7)	NA
Memberships in Committees	26(1)	NA
Affirmation with compliance to code of conduct from members of Board of Directors and Senior management personnel	26(3)	NA
Disclosure of Shareholding by Non-Executive Directors	26(4)	NA
Policy with respect to Obligations of directors and senior management	26(2) & 26(5)	NA

**Note**

- 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.
- If status is "No" details of non-compliance may be given here.
- If the Listed Entity would like to provide any other information the same may be indicated here.

**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. - NA

**Regulation 17 to 27 of the SEBI (Listing Obligations and Disclosure Requirements) Regulation, 2015 is not applicable to the Company as the Company is neither having paid up share capital of or exceeding Rs.10.00 crore and a net worth of or exceeding Rs.25.00 crores**

**Compliance is made at the discretion for good Corporate Governance.**

Name & Designation

*M. Monika*  
15/4/19



CS MONIKA JAIN (COMPLIANCE OFFICER)

