

Little Rock Trade and Investment Ltd.

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January 17, 2025

**Calcutta Stock Exchange
(CSE)**

7, Lyons Range, Dalhousie,
Kolkata-700001

CSE Scrip Code: 22055

Dear Sir / Madam,

**Sub: Compliance Report on Corporate Governance for the quarter ended on
December 31, 2024**

Pursuant to Regulation 27(2) of the SEBI (Listing Obligations and Disclosure Requirements), Regulations, 2015 read with SEBI Circular SEBI/HO/CFD/CMD-2/CIR/P/2021/567 dated May 31, 2021, SEBI Circular SEBI/LAD-NRO/GN/2023/131 dated June 14, 2023 and other applicable provisions, if any, please find enclosed herewith compliance report on Corporate Governance for the quarter ended on December 31, 2024.

You are requested to kindly take note of the same.

In case you require any further information/ clarification, please do let us know.

Thanking you

Yours faithfully

For **LITTLE ROCK TRADE AND INVESTMENT LIMITED**

For Little Rock Trade and Investment Limited



**Mohanan Thrayil
Director**

Director/Authorized Signatory

Compliance Report on Corporate Governance as per Reg. 27(2) of the Listing Regulations, 2015 by Little Rock Trade and Investment Ltd. for the quarter ended December 31, 2024

1	Name of Listed Entity	Little Rock Trade and Investment Ltd.
2	Quarter ending	December 31, 2024

I Composition of Board of Directors															
Title (Mr./Ms)	Name of the Director	PAN ⁵	DIN	Category (Chairperson / Executive / Non-Executive / Independent / Nominee) ⁶	Initial Date of Appointment	Date of Re-appointment in the current term / cessation	Date of Cessation	Tenure ⁶	Date of Birth	Whether special resolution passed?	Date of passing special resolution	No. of Directorship in listed entities including this listed entity [in reference to Regulation 17A(1)]	No. of Independent Directors in listed entities including this listed entity [in reference to proviso to Regulation 17A(1)]	Number of membership in Audit / Stakeholder Committee(s) including this listed entity (Refer Regulation 26(1) of the Listing Regulations)	No. of post of Chairperson in Audit / Stakeholder Committee(s) held in listed entities including this listed entity (Refer Regulation 26(1) of the Listing Regulations)
Mrs.	Uma Jain	AGUPJ0119M	08784837	Managing Director	10-Jul-20	11-Feb-21	N/A	N/A	16-07-1971	N/A	N/A	3	0	4	0
Mr.	Krishnan Swaminathan	ABDPS4948M	08784845	Independent Director	10-Jul-20	30-Sep-20	N/A	50 months	31-07-1959	N/A	N/A	3	2	4	4
Mr.	Mohanan Thrayil	ADWPT4142P	08310232	Non Executive Director	30-Jun-20	30-Sep-20	N/A	N/A	14-08-1960	N/A	N/A	2	3	1	0
Mr.	Shashi Kant Gupta	ACJPG4348N	02623242	Non Executive Director	10-Feb-22	27-Jun-22	N/A	N/A	24-10-1978	N/A	N/A	2	2	3	0
Mr.	Rajender Soni	AASPS7995Q	00418933	Independent Director	10-Feb-22	27-Jun-22	N/A	34.5 months	15-07-1960	N/A	N/A	1	2	3	0

⁵ PAN number of any director would not be displayed on the website of Stock Exchange.
⁶ Category of directors means executive/non-executive/independent/nominee. If a director fits into more than one category write all categories separating with hyphen.
⁶ 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.

For Little Rock Trade and Investment Limited


 Director/Authorized Signatory

Compliance Report on Corporate Governance as per Reg. 27(2) of the Listing Regulations, 2015 by Little Rock Trade & Investment for the quarter ended December 31, 2024										
1	Name of Listed	Little Rock Trade & Invetsment Ltd								
2	Quarter ending	December 31, 2024								
II Composition of Committees*										
Name of Committee	Name of Committee members	Category (Chairperson / Executive / Non-Executive / Independent / Nominee)&	Date of Appointment	Date of Cessation	Name of Committee	Name of Committee members	Category (Chairperson / Executive / Non-Executive / Independent / Nominee)\$	Date of Appointment	Date of Cessation	
1	Audit Committee	Mr. Krishnan Swaminathan - Chairman of the Committee	Independent	20-Aug-20	2	Nomination & Remuneration Committee	Mr. Krishnan Swaminathan - Chairman of the Committee	Independent	20-Aug-20	
		Mr. Rajender Soni	Independent	26-May-22			Mr. Rajender Soni	Independent	26-May-22	
		Mrs. Uma Jain	Executive Director	20-Aug-20			Mrs. Uma Jain	Executive Director	20-Aug-20	
3	Risk Management Committee (not applicable, however constituted voluntary on March 06, 2023)	NA			4	Stakeholders Relationship Committee	Mr. Krishnan Swaminathan - Chairman of the Committee	Independent	27-Nov-24	
							Mr. Rajender Soni	Independent	27-Nov-24	
							Mrs. Uma Jain	Executive Director	27-Nov-24	
5	Corporate Social Responsibility Committee	NA								

For Little Rock Trade and Investment Limited



Director/Authorized Signatory

III Meeting of Board of Directors					
Date(s) of Meeting (if any) in the previous quarter	Whether requirement of Quorum met (details)	Date(s) of Meeting (if any) in the current quarter	Maximum gap between any two consecutive meeting (in number of days)	No. of Directors Present (All Directors including Independent Directors)	No. of Independent Directors present in the meeting
12-Aug-24	Yes	12-Nov-24	91	5	2
	All Five (5) members of the Board of Directors (i.e. Mr. Mohanan Thrayil, Mrs. Uma Jain, Mr. Rajender Soni, Mr. Sashi kant Gupta & Mr. Krishnan Swaminathan) attended the meeting held on 12-11-2024				
IV Meeting of Committees (i.e. Audit Committee)					
Date(s) of meeting of the Audit Committee in the relevant quarter	Whether requirement of Quorum met (details)	Date of meeting of the committee in the previous quarter	Maximum gap between any two consecutive meeting in number of days*		
12-Nov-24	Yes	12-Aug-24	91	3	3
	All three (3) members of the Audit Committee (i.e. Mr. Krishnan Swaminathan, Mrs. Uma Jain & Mr. Rajender Soni) attended the meeting held on 12-11-2024				
V Meeting of Committees (i.e. Stakeholders' Relationship Committee)					
Date(s) of meeting of the Stakeholders relationship Committee in the relevant quarter	Whether requirement of Quorum met (details)	Date of meeting of the committee in the previous quarter	Maximum gap between any two consecutive meeting in number of days*		
NA	NA	NA	NA		
VI Meeting of Committees (i.e. Risk Management Committee)					
Date(s) of meeting of the Risk Management Committee in the relevant quarter	Whether requirement of Quorum met (details)	Date of meeting of the committee in the previous quarter	Maximum gap between any two consecutive meeting in number of days*		
No Meeting	NA	No Meeting	NA		
VII Meeting of Committees (i.e. Nomination and Remuneration Committee (NRC))					
Date(s) of meeting of the Nomination and	Whether requirement of Quorum met (details)	Date of meeting of the	Maximum gap between any two		
12-Nov-24	Yes	No Meeting	NA		
	All three (3) members of the Audit Committee (i.e. Mr. Krishnan Swaminathan, Mrs. Uma Jain & Mr. Rajender Soni) attended the meeting held on 12-11-2024				
VIII Related Party Transactions					
Subject			Compliance status (Yes / No / NA) ^{refer note below}		

For Little Rock Trade and Investment Limited


Director/Authorized Signatory

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	Yes
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.

For Little Rock Trade and Investment Limited



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IX	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 - NA	
d.	Risk management committee (applicable to the top 1000 listed entities) - NA	
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. The 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: NA	
Name & Designation		For Little Rock Trade & Investment Ltd
		Mohanan Thrayil Director
Date: 17-Jan-25		