

Compliance Report on Corporate Governance under Regulation 27(2) of SEBI (Listing Obligations & Disclosure Requirements) Regulations 2015

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

I. Composition of Board of Directors

Title (Mr. / Ms)	Name of the Director	PAN & DIN	Category (Chairperson/Executive/Non-Executive/Independent/Nominee) ^a	Date of Appointment in the current term/cessation	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))
Mrs.	Uma Jain	PAN: AGUPJ0119M DIN: 08784837	Managing Director	11-02-2021	N/A	3	4	0
Mr.	Krishnan Swaminathan	PAN: ABDPS4948M DIN: 08784845	Independent Director	10-07-2020	44 months	3	4	4
Mr.	Mohanan Thrayil	PAN: ADWPT4142P DIN: 08310232	Non-Executive Director	30-06-2020		2	1	0
Mr.	Shashi Kant Gupta	PAN: ACJPG4348N DIN: 02623242	Non-Executive	10.02.2022	N/A	1	3	0
Mr.	Rajender Soni	PAN: AASPS7995Q DIN: 08784845	Independent Director	10.02.2022	25.5 months	1	3	0

II. Composition of Committees

Name of Committee	Name of Committee members	Category (Chairperson/Executive/Non-Executive/Independent/Nominee)
1. Audit Committee	1. Ms. Uma Jain 2. Mr. Rajender Sini 3. Mr. Krishnan Swaminathan (Chairman)	Executive Independent Independent
2. Nomination & Remuneration Committee	1. Ms. Uma Jain 2. Mr. Rajender Soni 3. Mr. Krishnan Swaminathan (Chairman)	Executive Independent Independent
3. Risk Management Committee (if applicable)	NA	
4. Stakeholders Relationship Committee'	Not applicable	

III. Meeting of Board of Directors

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)
08.11.23	13.02.24	98 days

IV. Meeting of Committees

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
13.02.24	Yes, all the members were present at the meeting	08.11.23	98 days

V. Related Party Transactions

Subject	Compliance status (Yes/No/NA)
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

VI. Affirmations

- The composition of Board of Directors is in terms of SEBI (Listing obligations and disclosure requirements) Regulations, 2015
- The composition of the following committees is in terms of SEBI (Listing obligations and disclosure requirements) Regulations, 2015
 - Audit Committee
 - Nomination & remuneration committee
 - Stakeholders relationship committee
 - Risk management committee (applicable to the top 100 listed entities)
- The committee members have been made aware of their powers, role and responsibilities as specified in SEBI (Listing obligations and disclosure requirements) Regulations, 2015.
- 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.
- This report and/or the report submitted in the previous quarter has been placed before Board of Directors. Any comments/observations/advice of Board of Directors may be mentioned here:

For Little Rock Trade & Investment Ltd


Mohanan Thrayil
(Director)Date: 10.04.2024
Place: Noida

Compliance Report on Corporate Governance under Regulation 27(2) of SEBI (LOADR) Regulations 2015 for the Financial Year ended on March 31, 2024

Name of the Entity : Little Rock Trade and Investment Ltd.
Financial Year ended on: March 31, 2024

I. Disclosure on website in terms of Listing Regulations

Item	Compliance status
Details of business	Yes
Terms and conditions of appointment of independent directors	NA
Composition of various committees of board of directors	Yes
Code of conduct of board of directors and senior management personnel	Yes
Details of establishment of vigil mechanism/ Whistle Blower policy	Yes
Criteria of making payments to non-executive directors	Yes
Policy on dealing with related party transactions	Yes
Policy for determining 'material' subsidiaries	Yes
Details of familiarization programmes imparted to independent directors	Yes
Contact information of the designated officials of the listed entity who are responsible for assisting and handling investor grievances	Yes
email address for grievance redressal and other relevant details	Yes
Financial results	Yes
Shareholding pattern	Yes
Details of agreements entered into with the media companies and/or their associates	NA
New name and the old name of the listed entity	NA

II Annual Affirmations

Particulars	Regulation Number	Compliance status
Independent director(s) have been appointed in terms of specified criteria of 'independence' and/or 'eligibility'	16(1)(b) & 25(6)	Yes
Board composition	17(1)	Yes
Meeting of Board of directors	17(2)	Yes
Review of Compliance Reports	17(3)	Yes
Plans for orderly succession for appointments	17(4)	Yes
Code of Conduct	17(5)	Yes
Fees/compensation	17(6)	Yes
Minimum Information	17(7)	Yes
Compliance Certificate	17(8)	Yes
Risk Assessment & Management	17(9)	Yes
Performance Evaluation of Independent Directors	17(10)	Yes
Composition of Audit Committee	18(1)	Yes
Meeting of Audit Committee	18(2)	Yes
Composition of nomination & remuneration committee	19(1) & (2)	Yes
Composition of Stakeholder Relationship Committee	20(1) & (2)	Yes
Composition and role of risk management committee	21(1),(2),(3),(4)	NA
Vigil Mechanism	22	Yes
Policy for related party Transaction	23(1),(5),(6),(7) & (8)	Yes
Prior or Omnibus approval of Audit Committee for all related party transactions	23(2), (3)	Yes
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)	Yes
Meeting of independent directors	25(3) & (4)	Yes
Familiarization of independent directors	25(7)	Yes
Memberships in Committees	28(1)	Yes
Affirmation with compliance to code of conduct from members of Board Directors and Senior management personnel	28(3)	Yes
Disclosure of Shareholding by Non-Executive Directors	26(4)	Yes
Policy with respect to Obligations of directors and senior management	26(2) & 26(5)	Yes

Note

1 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 non-compliance may be given here.

3 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

For Little Rock Trade & Investment Ltd

Date: 10.04.2024

Place: Noida



Mohanan Thrayil
(Director)

To
Little Rock Trade & Investment Ltd
B-38, GHCL House, Ground Floor
Noida (UP) -201301

Dear Sirs/Madam,

We have examined the relevant books, registers, forms, documents and papers produced before us by **Little Rock Trade & Investment Ltd** ('the Company') in respect of Reconciliation of Share Capital Audit as per Regulation 76 of the Securities and Exchange Board of India (Depositories and Participants) Regulations, 2018. To the best of our knowledge and according to the information and explanations given to us and as shown by the records examined by us, we certify the following:

RECONCILIATION OF SHARE CAPITAL AUDIT REPORT

1.	For Quarter Ended	March 31, 2024	
2.	ISIN:	-	
3.	Face Value:	Rs. 10/- per share	
4.	Name of the Company	Little Rock Trade & Investment Ltd	
5.	Registered Office Address	20/1, Maharshi Debendra Road, 2 nd Floor, Kolkata (WB)- 700007	
6.	Correspondence Address	B-38, Ground Floor, GHCL House, Institutional Area, Sector-1, Noida, Gautam Buddha Nagar, U.P. – 201301	
7.	Telephone & Fax Nos.	+91-120-4939945	
8.	Email address	lrtil1981@yahoo.com	
9.	Names of the Stock Exchanges where the company's securities are listed:	The Calcutta Stock Exchange Ltd	
		Number of Shares	% of Total Issued Capital
10.	Issued Capital	12,49,000	100%
11.	Listed Capital (Exchange-wise) (as per company records)	12,49,000	100%
12.	Held in dematerialised form in CDSL	0	0%
13.	Held in dematerialised form in NSDL	0	0%
14.	Physical	12,49,000	100%
15.	Total No. of shares (12+13+14)	12,49,000	100%
16.	Reasons for difference if any, between (10 & 11), (10 & 15), (11 & 15)	NA	



17. Certifying the details of changes in share capital during the quarter under consideration as per table below:

Particulars	No. of Shares	Applied / Not Applied for listing	Listed on Stock Exchanges (Specify Names)	Whether intimated to CDSL	Whether intimated to NSDL	In prin. Appr. Pending for SE (Specify Name s)
NA	-	-	-	-	-	-

*** Rights, Bonus, Preferential Issue, ESOPs, Amalgamation, Conversion, Buyback, Capital Reduction Forfeiture, any other (to specify).

18.	Register of Members is updated (Yes/No) If not, updated upto which date	Yes
19.	Reference of previous quarter with regards to excess dematerialised shares, if any.	NA
20.	Has the company resolved the matter mentioned in point no. 19 above in the current quarter? If not, reason why?	NA

21. Mentioned the total no. of requests, if any, confirmed after 21 days and the total no. of requests pending beyond 21 days with the reasons for delay:

Total No. of demat requests	No. of requests	No. of shares	Reasons for delay
Confirmed after 21 Days	-	--	--
Pending for more than 21 days	-	-	-

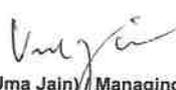
22.	Name, Telephone & Fax No. of the Compliance Officer of the Company	Mr. Hira Kumar Company Secretary & Compliance Officer Phone- +91-120-4939945
23.	Name, Address, Tel. & Fax No., Regn. no. of the Auditor	Mr. Rakesh Kumar Agarwal Rakesh K Agarwal & Co. Address: C-3/1101, Supertech Rameshwar Orchids Kaushambi, Ghaziabad-201010 Email:- rkagpbl@gmail.com Mob. 9871234415
24.	Appointment of common agency for share registry work. If yes (name & address).	No.
25.	Any other detail that the auditor may like to provide. (e.g. BIFR company, delisting from SE company changed its name etc.).	NA

Date: 09-04-2024
Place: Ghaziabad
UDIN: 24086574BKFGGH8461



For Rakesh K Agarwal & Co.
Chartered Accountants
FRN No 033764N

Rakesh Kumar Agarwal
Rakesh Kumar Agarwal
Membership No 086574
Proprietor

HALF YEARLY COMPLIANCE REPORT ON DISCLOSURE OF LOANS/GUARANTEES/ COMFORT LETTERS /SECURITIES ETC.			
Name of Listed Entity		Little Rock Trade and Investment Ltd.	
Half Year Ended		October 01, 2023 - March 31, 2024	
I. Disclosure of Loans / guarantees / comfort letters / securities etc.			
(A) Any loan or any other form of debt advanced by the listed entity directly or indirectly to:			
Entity	Aggregate amount advanced during six months	Balance outstanding at the end of six months	
Promoter or any other entity controlled by them	0	0	
Promoter Group or any other entity controlled by them	0	0	
Directors (including relatives) or any other entity controlled by them	0	0	
KMPs or any other entity controlled by them	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)
Promoter or any other entity controlled by them	0	0	0
Promoter Group or any other entity controlled by them	0	0	0
Directors (including relatives) or any other entity controlled by them	0	0	0
KMPs or any other entity controlled by them	0	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
Promoter or any other entity controlled by them	0	0	0
Promoter Group or any other entity controlled by them	0	0	0
Directors (including relatives) or any other entity controlled by them	0	0	0
KMPs or any other entity controlled by them	0	0	0
II. 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.			
Name & Designation	for Little Rock Trade and Investment Ltd.		
	 (Uma Jain) Managing Director		
Date:	10.04.2024		