

ANNEX I

Format of report on Corporate Governance to be submitted by a listed entity on quarterly basis

1. Name of Listed Entity: Kotak Mahindra Investments Limited
2. Quarter ending: September 2021

I. Composition of Board of Directors												
Title (Mr / Ms)	Name of the Director	PAN\$ & DIN	Category (Chairperson /Executive/ Non-Executive/ independent / Nominee) &	Initial Date of Appointment	Date of Re-appointment	Date of Cessation	Tenure *	Date of Birth	No. Of directorship in listed entities including this listed entity [in reference to Regulation 17A(1)]	No of Independent Directors hip in listed entities including this listed entity [in reference to proviso to regulation 17A(1)]	Number of memberships in Audit/ Stakeholder Committee (s) including this listed entity (Refer Regulation 26(1) of Listing Regulation s)	No of post of Chairperson in Audit/ Stakeholder Committee held in listed entities including this listed entity (Refer Regulation 26(1) of Listing Regulations)
1	Mr. Uday Kotak	00007467	Chairperson, Non-Executive-Non Independent Director	01-10-2013	-	-	-	15 Mar 1959	The Company is in the process of obtaining the relevant information as required and shall be same submitted at the earliest.			

2	Ms. Padmini Khare	00296388	Non-Executive - Independent Director	17 Aug 2015	17 Aug 2020	-	-	15 Apr 1965
3	Mr. Chandrashaekhar Sathe	00017605	Non-Executive - Independent Director	30 Mar 2015	30 Mar 2020	-	5 years	1 Sep 1950
4	Mr. Arvind Kathpalia	02630873	Non-Executive - Non Independent Director	01 Apr 2018	-	-	-	19 Mar 1958
5	Mr. Krishan Venkat Subramanian	00031794	Non-Executive - Non Independent Director	21 Apr 2014	-	-	-	5 Oct 1961
6	Mr. Paritosh Kashyap	07656300	Non-Executive - Non Independent Director	9 Dec 2016	-	-	-	5 Oct 1968
		Whether Regular chairperson appointed – Yes						
		Whether Chairperson is related to managing director or CEO - No						
		<p><i>\$PAN of any director would not be displayed on the website of Stock Exchange. The Company has PAN of the Directors. However given that the report is submitted in pdf format as per BSE Circular dated 1st October 2021, the same has not been disclosed here.</i></p> <p><i>&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</i></p> <p><i>* to be filled only for Independent Director. Tenure would mean total period from which Independent director is serving on Board of</i></p>						

KOTAK MAHINDRA INVESTMENTS LIMITED
CIN: U65900MH1988PLC047986
Registered Office: 27BKC, C 27, G Block Bandra Kurla Complex, Bandra (E), Mumbai City MH 400051 IN.

II. Composition of Committees					
<i>Name of Committee</i>	Whether Regular chairperson appointed	Name of Committee members	Category (Chairperson/Executive/Non-Executive/independent/Nominee) §	Date of Appointment	Date of Cessation
1. Audit Committee	Yes	Ms. Padmini Khare Kaicker	Non-Executive - Independent Director	17-08-2020	-
		Mr. Chandrashekhar Sathe	Non-Executive – Independent Director	30-03-2020	-
		Mr. Arvind Kathpalia	Non-Executive – Non Independent Director	01-04-2018	-
2. Nomination & Remuneration Committee	Yes	Mr. Arvind Kathpalia	Non-Executive – Non Independent Director	01-04-2018	-
		Ms. Padmini Khare Kaicker	Non-Executive - Independent Director	17-08-2020	-
		Mr. Chandrashekhar Sathe	Non-Executive – Independent Director	30-03-2020	-
		Mr. Krishan Venkat Subramanian	Non-Executive – Non Independent Director	21-04-2014	-
3. Risk Management Committee(if applicable)	Yes	Mr. Arvind Kathpalia	Non-Executive – Non Independent Director	01-04-2018	-
		Mr. Krishan Venkat Subramanian	Non-Executive – Non Independent Director	21-04-2014	-
		Mr. Paritosh Kashyap	Non-Executive – Non Independent Director	09-12-2016	-
					-
4. Stakeholders Relationship Committee'	The Company needs to comply with these requirements by 31 March 2023 vide Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) (Fifth Amendment) Regulations, 2021. The Company shall comply with this requirement in due course.				
§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					

III. Meeting of Board of Directors					
<i>Date(s) of Meeting (if any) in the previous quarter</i>	<i>Date(s) of Meeting (if any) in the relevant quarter</i>	<i>Whether requirement of Quorum met*</i>	<i>Number of Directors present*</i>	<i>Number of independent directors present*</i>	<i>Maximum gap between any two consecutive (in number of days)</i>
28-04-2021	12-07-2021	Yes	5	2	27
18-05-2021	24-07-2021	Yes	6	2	11
14-06-2021	07-08-2021	Yes	5	2	13
	17-09-2021	Yes	5	2	40
* to be filled in only for the current quarter meetings					
IV. Meetings of Committees					
AUDIT COMMITTEE					
<i>Date(s) of meeting of the committee in the relevant quarter</i>	<i>Whether requirement of Quorum met (details)*</i>	<i>Number of Directors present*</i>	<i>Number of independent directors present*</i>	<i>Date(s) of meeting of the committee in the previous quarter</i>	<i>Maximum gap between any two consecutive meetings in number of days*</i>
	Yes / No				
24-07-2021	Yes	3	2		66
				06-04-2021	
				24-04-2021	
				18-05-2021	
NOMINATION AND REMUNERATION COMMITTEE					
<i>Date(s) of meeting of the committee in the relevant quarter</i>	<i>Whether requirement of Quorum met (details)*</i>	<i>Number of Directors present*</i>	<i>Number of independent directors present*</i>	<i>Date(s) of meeting of the committee in the previous quarter</i>	<i>Maximum gap between any two consecutive meetings in number of days*</i>

	Yes / No				
				24-04-2021	
				28-05-2021	
RISK MANAGEMENT COMMITTEE					
<i>Date(s) of meeting of the committee in the relevant quarter</i>	<i>Whether requirement of Quorum met (details)*</i>	<i>Number of Directors present*</i>	<i>Number of independent directors present*</i>	<i>Date(s) of meeting of the committee in the previous quarter</i>	<i>Maximum gap between any two consecutive meetings in number of days*</i>
23-Sep-21	Yes	2	-		97
				17-June-21	
STAKEHOLDERS RELATIONSHIP COMMITTEE					
<i>Date(s) of meeting of the committee in the relevant quarter</i>	<i>Whether requirement of Quorum met (details)*</i>	<i>Number of Directors present*</i>	<i>Number of independent directors present*</i>	<i>Date(s) of meeting of the committee in the previous quarter</i>	<i>Maximum gap between any two consecutive meetings in number of days*</i>
	Yes / No				
<p>The Company needs to comply with these requirements by 31 March 2023 vide Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) (Fifth Amendment) Regulations, 2021. The Company shall comply with this requirement in due course.</p> <p>* This information has to be mandatorily be given for audit committee, for rest of the committees giving this information is optional **to be filled in only for the current quarter meetings</p>					
V. Related Party Transactions					
Subject				Compliance status (Yes/No/NA)	
				refer note below	
Whether prior approval of audit committee obtained				Yes	
Whether shareholder approval obtained for material RPT				N.A.	

Whether details of RPT entered into pursuant to omnibus approval have been reviewed by the Audit Committee	Yes
<p>Note:</p> <p>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.</p> <p>2 If status is "No" details of non-compliance may be given here.</p>	
<p>VI. Affirmations</p>	
<p>1. The composition of Board of Directors is in terms of SEBI (Listing Obligations and Disclosure requirements) Regulations, 2015.</p> <p>2. The composition of the following committees is in terms of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015</p> <ol style="list-style-type: none"> Audit Committee Nomination & Remuneration Committee Stakeholders Relationship Committee – Please refer below note# Risk management committee (as applicable) <p>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. Please refer below note#</p> <p>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. Please refer below note#</p> <p>5. This report and/or the report submitted in the previous quarter has been placed before Board of Directors. Any comments/observations/advice of the board of directors may be mentioned here.</p> <p>#Note: The Company needs to comply with these requirements by 31 March 2023 vide Securities and Exchange Board of India (Listing Obligations and Disclosure Requirements) (Fifth Amendment) Regulations, 2021. The Company shall comply with this requirement in due course.</p>	
<p>Name & Designation</p> <p>Company Secretary / Compliance Officer / Managing Director / CEO / CFO</p>	

Note:

Information at Table I and II above need to be necessarily given^s in 1st quarter of each financial year.

However, if there is no change of information in subsequent quarter(s) of that financial year, this information may not be given by Listed entity and instead a statement “same as previous quarter” may be given.

For Kotak Mahindra Investments Limited

Jignesh Dave

Compliance Officer.