



NAM SECURITIES LTD.

MEMBER : NSE (CM & FO & SX Segments)
F & O Clearing, BSE, MCX, DSE DP : NSDL

Corp. Office : 213, Arunachal, 19, Barakhamba Road,
New Delhi - 110001, Phones: 23731122, 23731144
Fax: 23730810 Email: nammf@yahoo.com

Quarterly Compliance Report on Corporate Governance under Clause 49 of the Listing Agreement

Name of the Company : **NAM SECURITIES LIMITED**
Quarter ending on : **30TH September, 2015**
Scrip Code : **538395**
Name of the Scrip : **NAM**

Particulars	Clause of Listing Agreement	Compliance Status Yes/No	Remarks
II. Board of Directors	49(II)		
(A) Composition of Board	49 (II A)	YES	Total strength of the board-4 No. of Independent directors-2 No. of Non-Independent directors-2
(B) Independent Director	49(II B)	YES	Total no. of Independent directors on the Board-2
(C) Non-Executive Directors' compensation & disclosures	49(II C)	YES	1) Non-Executive directors do not have any material pecuniary relationships or transactions with the company and its Subsidiary. 2) No Commission has been paid to the Non-Executive directors during the quarter ended 30.09.2015 3) No Stock Option has been granted to any of the directors during the quarter ended 30.09.2015
(D) Other Provisions as to Board and Committees	49 (II D)	YES	-
(E) Code of Conduct	49 (II E)	YES	-
(F) Whistle Blower Policy	49 (II F)	YES	Whistle blower policy is in place.
III. Audit Committee	49(III)	YES	Total strength of the committee is 3 out of which 2 are Independent Directors including the Chairman.
(A) Qualified & Independent Audit Committee	49(III A)	YES	All members of the Audit Committee are Financially literate.



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(B) Meeting of Audit Committee	49(III B)	YES	Committee met once during the quarter.
(C) Powers of Audit Committee	49(III C)	YES	-
(D) Role of Audit Committee	49(III D)	YES	-
(E) Review of Information by Audit Committee	49 (III E)	YES	Being done by the committee at all meetings.
IV. Nomination & Remuneration Committee	49(IV)	YES	Total strength of the committee is 3 which includes 2 Independent Directors.
V. Subsidiary Companies	49 (V)	NA	There is no subsidiary
VI. Risk Management	49 (VI)	YES	The company has risk management framework which provides for review of the risk assessment & mitigation procedure.
VII. Related Party Transactions	49 (VII)	YES	-
VIII. Disclosures	49(VIII)		-
(A) Related Party Transactions	49 (VIII A)	YES	During the quarter there are no material Related Party Transactions.
(B) Disclosures of Accounting Treatment	49 (VIII B)	YES	Applicable accounting standards are being complied with on a continual basis and due disclosures is made in the Annual Report.
(C) Remuneration of Directors	49 (VIII C)	YES	-
(D) Management	49 (VIII D)	YES	Management discussion and Analysis Report is a part of Directors' Report which is annually published in the Annual Report.
(E) Shareholders	49 (VIII E)	YES	All necessary information is uploaded on the company's website.
(F) Proceeds from Public Issues, Right Issues, Preferential Issues etc.	49 (VIII F)	Not Applicable	No issue made during quarter ended 30.09.2015
IX. CEO/CFO Certification	49 (IX)	YES	Details of certification will be disclosed in the Annual Report for the Financial Year 2015-2016
X. Report on Corporate Governance	49 (X)	YES	Report on Corporate Governance will be disclosed in the Annual Report for the Financial Year 2015-2016
XI. Compliance	49 (XI)	YES	Report on Compliance will be disclosed in the Annual Report for the Financial Year 2015-2016

PLACE: Gurgaon
DATE: 12.10.2015

For NAM SECURITIES LIMITED

Kiran Roy
AUTHORISED SIGNATORY

