

FORM NO. MGT 9

Annexure- A

EXTRACT OF ANNUAL RETURN

As on financial year ended on 31.03.2019
(Pursuant to Section 92 (3) of the Companies Act, 2013 and
rule 12(1) of the Company (Management & Administration) Rules, 2014)

I. REGISTRATION & OTHER DETAILS:		
1	CIN	L74899DL1994PLC350531
2	Registration Date	05/07/1994
3	Name of the Company	NAM SECURITIES LIMITED
4	Category/Sub-category of the Company	Company limited by Shares / Non – Government Company
5	Address of the Registered office & contact details	213, ARUNACHAL BUILDING, 19, BARAKHAMBHA ROAD, NEW DELHI- 110001, compliance@namsecurities.in
6	Name of the Stock exchange where the shares of the Company are listed.	BSE Ltd.
7	Name, Address & contact details of the Registrar & Transfer Agent, if any.	Beetal Financial and Computers Services (P) Limited, 3rd floor, Beetal House, 99, Madangir, Behind LSC, Near Dada Harsukhdas Mandir, New Delhi -110062, Phone No:-011-29961281-82-83 Email Id-- beetalrta@gmail.com

II. PRINCIPAL BUSINESS ACTIVITIES OF THE COMPANY

(All the business activities contributing 10 % or more of the total turnover of the company shall be stated)

S. No.	Name and Description of main products / services	NIC Code of the Product/service	%to total turnover of the company
1	Securities Trading & brokerage	6612	100 %

III. PARTICULARS OF HOLDING, SUBSIDIARY AND ASSOCIATE COMPANIES

S.No	Name and address of the Company	CIN/GLN	Holding/ Subsidiary/ Associate	% of shares held	Applicable Section
1	N.A.				

IV. SHARE HOLDING PATTERN

(Equity share capital breakup as percentage of total equity)

(i) Category-wise Share Holding

Category of Shareholders	No. of Shares held at the beginning of the year				No. of Shares held at the end of the Year				% Change during the year
	Demat	Physical	Total	% of Total Shares	Demat	Physical	Total	% of Total Shares	
A. Promoters									
(1) Indian									
a) Individual/ HUF	2,271,500	-	2,271,500	74.47%	2,271,500	-	2,271,500	74.47%	0.00%
b) Central Govt	-	-	-	0.00%	-	-	-	0.00%	0.00%

c) State Govt(s)	-	-	-	0.00%	-	-	-	0.00%	0.00%
d) Bodies Corp.	-	-	-	0.00%	-	-	-	0.00%	0.00%
e) Banks / FI	-	-	-	0.00%	-	-	-	0.00%	0.00%
f) Any other	-	-	-	0.00%	-	-	-	0.00%	0.00%
Sub Total (A)(1)	2,271,500	-	2,271,500	74.47%	2,271,500	-	2,271,500	74.47%	0.00%
(2) Foreign									
a) NRI Individuals	-	-	-	0.00%	-	-	-	0.00%	0.00%
b) Other Individuals	-	-	-	0.00%	-	-	-	0.00%	0.00%
c) Bodies Corp.	-	-	-	0.00%	-	-	-	0.00%	0.00%
d) Any other	-	-	-	0.00%	-	-	-	0.00%	0.00%
Sub Total (A)(2)	-	-	-	0.00%	-	-	-	0.00%	0.00%
TOTAL (A)	2,271,500	-	2,271,500	74.47%	2,271,500	-	2,271,500	74.47%	0.00%
B. Public Shareholding									
1. Institutions									
a) Mutual Funds	-	-	-	0.00%	-	-	-	0.00%	0.00%
b) Banks / FI	-	-	-	0.00%	-	-	-	0.00%	0.00%
c) Central Govt	-	-	-	0.00%	-	-	-	0.00%	0.00%
d) State Govt(s)	-	-	-	0.00%	-	-	-	0.00%	0.00%
e) Venture Capital Funds	-	-	-	0.00%	-	-	-	0.00%	0.00%
f) Insurance Companies	-	-	-	0.00%	-	-	-	0.00%	0.00%
g) FIs	-	-	-	0.00%	-	-	-	0.00%	0.00%
h) Foreign Venture Capital Funds	-	-	-	0.00%	-	-	-	0.00%	0.00%
i) Others (specify)	-	-	-	0.00%	-	-	-	0.00%	0.00%
Sub-total (B)(1):-	-	-	-	0.00%	-	-	-	0.00%	0.00%
2. Non-Institutions									
a) Bodies Corp.									
i) Indian	1344	-	1344	0.04%	793	-	793	0.03	0.01%
ii) Overseas	-	-	-	0.00%	-	-	-	-	0.00%
b) Individuals									
i) Individual shareholders holding nominal share capital upto Rs. 2 lakh	197135	278950	476085	15.62%	219186	275550	494736	16.22	0.60%

ii) Individual shareholders holding nominal share capital in excess of Rs 2 lakh	174780	-	174,780	5.73%	174780	-	174780	5.73	0.00%
c) Others (specify)									
Individual HUF	117791	-	117791	3.86%	108291	-	108291	3.55	-0.31%
Clearing Members	8600	-	8600	0.28%	-	-	-	-	-0.28%
Sub-total (B)(2):-	499650	278950	777256	25.49%	503050	275550	778600	25.73	0.00%
Total Public (B)	499650	278950	778,600	25.53%	503050	275550	778600	25.73	0.00%
C. Shares held by Custodian for GDRs & ADRs	-	-	-	0.00%	-	-	-	0.00%	0.00%
Grand Total (A+B+C)	2,771,150	2,78,950	3,050,100	100.00%	5,03,050	2,75,550	7,78,600	25.73	0.00%

Shareholding of Promoter

SN	Shareholder's Name	Shareholding at the beginning of the year			Shareholding at the end of the year		
		No. of Shares	% of total Shares of the Company	% of Shares Pledged/ encumbered to total shares	No. of Shares	% of total Shares of the company	% of Shares Pledged/ encumbered to total shares
1.	ASHWANI GOYAL	1,221,000	40.03%	0	1,221,000	40.03%	0
2.	DIVYANSHU GOYAL	395,000	12.95%	0	395,000	12.95%	0
3.	ASHWANI GOYAL HUF	433,000	14.20%	0	433,000	14.20%	0
4.	DIVYA GOYAL	222,000	7.28%	0	222,000	7.28%	0
5.	KIRAN GOYAL	500	0.02%	0	500	0.02%	0

iii) Change in Promoters' Shareholding (please specify, if there is no change) :

There is no Change

(iv) Shareholding Pattern of top ten Shareholders

(Other than Directors, Promoters and Holders of GDRs and ADRs):

Name of the Shareholders	Shareholding at the beginning of the year		Cumulative Shareholding during the year		
	No. of Shares	% of total of the Company	No. of Shares	% of total Shares of the Company	% Change in Shareholding at the end of the year
Sahil Gohil	63900	2.10	63900	2.10	--
Vinit Gupta	56800	1.86	56800	1.86	--
Keshav Aggarwal	26800	0.88	26800	0.88	--
Sangeeta Aggarwal	22250	0.73	22250	0.73	--
Nishi Aggarwal	21110	0.69	21110	0.69	--
Karan Aggarwal	20420	0.67	20420	0.67	--
Uma Aggarwal	20300	0.67	20300	0.67	--
Kanav Aggarwal	19750	0.65	19750	0.65	--

Pooja Singh	18270	0.60	18270	0.60	-
Naresh Kumar	12677	0.42	15093	0.49	0.07

(V) Shareholding of Directors and key Managerial Personnel

SN	For each of the Directors and KMP	Shareholding at the beginning of the year		Cumulative Shareholding during the year	
		No. of shares	% of total shares	No. of shares	% of total shares
1.	Kiran Goyal				
	At the beginning of the year	500	0.02%	500	0.02%
	Changes during the year	0	0.00%	0	0.00%
	At the end of the year	500	0.02%	500	0.02%
2.	Divya Goyal				
	At the beginning of the year	222000	7.28%	222000	7.28%
	Changes during the year	0	0.00%	0	0.00%
	At the end of the year	222000	7.28%	222000	7.28%
3.	Ashwani Goyal				
	At the beginning of the year	1221000	40.03%	1221000	40.03%
	Changes during the year	0	0.00%	0	0.00%
	At the end of the year	1221000	40.03%	1221000	40.03%

(vi) INDEBTEDNESS

Indebtedness of the Company including interest outstanding/accrued but not due for payment. Nil

(vii) REMUNERATION OF DIRECTORS AND KEY MANAGERIAL PERSONNEL

A. Remuneration to Managing Director, Whole-time Directors and/or Manager:

SN	Particulars of Remuneration	Name of MD/WTD/ Manager			Total Amount
		Kiran Goyal	Divya Goyal	Ashwani Goyal	
	Name				
	Designation	Managing Director	Executive Director	Executive Director	Total
1	Gross salary				
	(a) Salary as per provisions contained in section 17(1) of the Income-tax Act, 1961	-	3,60,000/-	-	3,60,000/-
	(b) Value of perquisites u/s 17(2) Income-tax Act, 1961	-	-	-	-
	(c) Profits in lieu of salary under section 17(3) Income-tax Act, 1961	-	-	-	-
2	Stock Option	-	-	-	-
3	Sweat Equity	-	-	-	-
4	Commission as % of profit	-	-	-	-
5	Other – Exempted Perquisites	-	90,000/-	-	90000/-
	Others-Sitting Fees	70,000/-	70,000/-	70,000/-	2,10,000/-
	Total (A)	70,000/--	5,20,000/-	70,000/-	6,60,000/-

B. Remuneration to other Directors

SN.	Particulars of Remuneration	Name of Directors			Total Amount
		Ravi Berry	P.C Panjekar	Rekha Chauhan	
1	Independent Directors				
	Fee for attending board committee meetings	70,000/-	50,000/-	50,000/-	1,70,000/-
	Commission	-	-	-	-
	Others, please specify	-	-	-	-
	Total (1)	-	-	-	-
2	Other Non-Executive Directors				
	Fee for attending board /committee meetings	-	-	-	-
	Commission	-	-	-	-
	Others, please specify	-	-	-	-
	Total (2)	-	-	-	-
	Total (B)=(1+2)	-	-	-	-
	Total Managerial Remuneration	70,000/-	50,000/-	50,000/-	1,70,000/-

C. Remuneration to Key Managerial Personnel other than MD/Manager/WTD

SN.	Particulars of Remuneration	Name of Key Managerial Personnel			Total Amount
		Pradeep Kumar	Meenakshi Mittal	Roshan Kumar Patwa	
	Name	Pradeep Kumar	Meenakshi Mittal	Roshan Kumar Patwa	Rs.
	Designation	CFO	CS	CS	
1	Gross salary				
	(a) Salary as per provisions contained in section 17(1) of the Income-tax Act, 1961	4,20,000	25,000	1,20,000	5,65,000
	(b) Value of perquisites u/s 17(2) Income-tax Act, 1961	-	-	-	---
	(c) Profits in lieu of salary under section 17(3) Income- tax Act, 1961	-	-	-	-
2	Stock Option	-	-	-	-
3	Sweat Equity	-	-	-	-
4	Commission - as % of profit	-	-	-	-
	- others, specify	-	-	-	-
5	Others, please specify - Exempted Perquisites	36,000	-	-	36000
	Total	456000	25000	120000	6,01,000

VII Penalties / Punishment / Compounding of offences:

There are no penalties, punishment or compounding of offences of the Company, directors and other officers of the Company during the year ended March 31, 2019

ANNEXURE- B

Details pertaining to remuneration as required under Section 197(12) of the Companies Act, 2013 read with rule 5(1) of the companies (Appointment and Remuneration of Managerial Personnel) Rules, 2014

1. The ratio of the remuneration of each Director to the median remuneration of the employees of the Company for the financial year 2018-19 are as under:

2.

Sr. No.	Name of the Director	Designation	Ratio of the remuneration to the median remuneration of the employees of the Company for the Financial year 2018-19
1.	Divya Goyal	Executive Director	2.25:1

3. The percentage increase in remuneration of each Director, Chief Financial Officer and Company Secretary during the financial year 2018-19, are as under:

Sr. No.	Name of Director/KMP and Designation	Designation	% increase in Remuneration in the Financial Year 2018-19
1	Divya Goyal	Executive Director	8%
2	Pradeep Kumar	CFO	8%
3	Meenakshi Mittal *	CS	N.A

* Appointment w.e.f 01.03.2019, hence not comparable.

4. The percentage increase in the median remuneration of employees in the financial year: 8%

5. There are 14 permanent employees on the rolls of the company as on 31st March, 2019;

6. Average percentile increase made in the salaries of employees other than the managerial personnel in the last financial year i.e. 2018-19 was 8% whereas the increase in the managerial remuneration for the same financial year was 8%. This was based on the recommendation of the Nomination and Remuneration Committee to revise the remuneration as per the remuneration policy of the company.

7. It is hereby affirmed that the remuneration paid is as per the Remuneration policy for Directors, Key Managerial Personnel and other Employees.

For and on Behalf of the Board of Directors

Date :30.08.2019
Place: Delhi

Sd/-
Ashwani Goyal
Director
DIN: 00502989

Sd/-
Kiran Goyal
Managing Director
DIN: 00503357