

General information about company	
Scrip code	543988
NSE Symbol	NUVAMA
MSEI Symbol	NOTLISTED
ISIN	INE531 F01 01 5
Name of the entity	Nuvama Wealth Management Limited
Date of start of financial year	01 -04-2025
Date of end of financial year	31 -03-2026
Reporting Quarter Type	Half Yearly
Date of Quarter Ending	30-09-2025
Type of company	Equity
Whether Annexure I (Part A) of the SEBI Circular dated December 31, 2024 related to Compliance Report on Corporate Governance is applicable to the entity?	Yes
Whether Annexure I (Part B) of the SEBI Circular dated December 31, 2024 related to Investor Grievance Redressal Report is Applicable to the entity?	Yes
Whether Annexure I (Part C) of the SEBI Circular dated December 31, 2024 related to Disclosure of Acquisition of Shares or Voting Rights in Unlisted Companies is Applicable to the entity?	No Nuvama Wealth Management Limited does not have any investment above the threshold limit in unlisted companies during the quarter ended September 30, 2025.
Whether Annexure I (Part D) of the SEBI Circular dated December 31, 2024 related to Disclosure of Imposition of Fine or Penalty is Applicable to the entity?	Yes
Whether Annexure I (Part E) of the SEBI Circular dated December 31, 2024 related to Disclosure of Updates to Ongoing Tax Litigations or Disputes is Applicable to the entity?	Yes
Whether Annexure I (Part F) of the SEBI Circular dated December 31, 2024 related to Disclosure Of Loans / Guarantees / Comfort Letters / Securities Etc. is Applicable to the entity?	Yes
Risk management committee	Applicable
Market Capitalisation as per immediate previous Financial Year	Top 500 listed entities
Is SCORE ID Available ?	Yes
SCORE Registration ID	COMN00535
Reason For No SCORE ID	
Type of Submission	Original
Remarks (website dissemination)	
Remarks for Exchange (not for Website Dissemination)	

Annexure I								
Annexure I to be submitted by listed entity on quarterly basis								
I. Composition of Board of Directors								
Disclosure of notes on composition of board of directors explanatory							Textual Information(1)	
Whether the listed entity has a Regular Chairperson							Yes	
Whether Chairperson is related to MD or CEO							No	
Sr	Title (Mr / Ms)	Name of the Director	PAN	DIN	Category 1 of directors	Category 2 of directors	Category 3 of directors	Date of Birth
1	Mr	Birendra Kumar	ADBPK6842J	00163054	Non-Executive - Independent Director	Chairperson		29-04-1942
2	Mr	Ashish Kehair	AFTPK7334K	07789972	Executive Director	Not Applicable	CEO-MD	14-01-1975
3	Mr	Shiv Sehgal	EPXPS9126H	07112524	Executive Director	Not Applicable		03-01-1979
4	Ms	Anisha Motwani	AAAPM1617P	06943493	Non-Executive - Independent Director	Not Applicable		21-06-1963
5	Mr	Aswin Vikram	AJHPV1647C	08895013	Non-Executive - Nominee Director	Not Applicable		19-06-1986
6	Mr	Kamlesh Shivji Vikamsey	AABPV3055F	00059620	Non-Executive - Independent Director	Not Applicable		06-12-1960
7	Mr	Nikhilkumar Srivastava	BMMPS4092K	07308617	Non-Executive - Nominee Director	Not Applicable		19-03-1978
8	Mr	Sameer Kaji	AAEPK7913N	00172458	Non-Executive - Independent Director	Not Applicable		27-11-1960

I. Composition of Board of Directors					
Disqualification of Directors under section 164 of the Companies Act, 2013					
Sr	Whether the director is disqualified?	Start Date of disqualification	End Date of disqualification	Details of disqualification	Current status
1	No				Active
2	No				Active
3	No				Active
4	No				Active
5	No				Active
6	No				Active
7	No				Active
8	No				Active

I. Composition of Board of Directors													
Sr	Whether special resolution passed? [Refer Reg. 17(1A) of Listing Regulations]	Date of passing special resolution	Initial Date of appointment	Date of Re-appointment	Date of cessation	Tenure of director (in months)	No of Directorship in listed entities including this listed entity (Refer Regulation 17A of Listing Regulations)	No of Independent Directorship in listed entities including this listed entity [with reference to proviso to regulation 17A(1) & reg. 17A(2)]	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) of Listing Regulations)	Reason for Cessation	Notes for not providing PAN	Notes for not providing DIN
1	Yes	22-07-2022	17-11-2021	17-11-2021		46.14	2	2	5	0			
2	NA		21-09-2021				2	0	2	1			
3	NA		11-01-2022				1	0	1	0			
4	NA		30-07-2021	30-07-2021		50	7	7	7	2			
5	NA		11-01-2022				1	0	1	0			
6	NA		30-05-2023	30-05-2023		28	4	3	6	5			
7	NA		19-03-2021				2	0	3	1			
8	NA		01-05-2023	01-05-2023		29	3	3	10	4			

Text Block	
Textual Information(1)	Please note that High Value Debt Listed Entities (having outstanding principal Non-convertible Debentures of Rs. 1000 crore or more) are included for the purpose of counting of Directorship in Listed Companies in Column Y and Z

Audit Committee Details							
Whether the Audit Committee has a Regular Chairperson					Yes		
Sr	DIN Number	Name of Committee members	Category 1 of directors	Category 2 of directors	Date of Appointment	Date of Cessation	Remarks
1	00059620	Kamlesh Shivji Vikamsey	Non-Executive - Independent Director	Chairperson	16-06-2023		Textual Information(1)
2	00163054	Birendra Kumar	Non-Executive - Independent Director	Member	22-04-2022		
3	07308617	Nikhilkumar Srivastava	Non-Executive - Nominee Director	Member	22-04-2022		

Sr Text Block	
Textual Information(1)	Appointed as chairperson of the Committee w.e.f. August 1, 2023

Nomination and remuneration committee							
Whether the Nomination and remuneration committee has a Regular Chairperson					Yes		
Sr	DIN Number	Name of Committee members	Category 1 of directors	Category 2 of directors	Date of Appointment	Date of Cessation	Remarks
1	06943493	Anisha Motwani	Non-Executive - Independent Director	Chairperson	24-01-2022		Textual Information(1)
2	00163054	Birendra Kumar	Non-Executive - Independent Director	Member	24-01-2022		
3	07308617	Nikhilkumar Srivastava	Non-Executive - Nominee Director	Member	07-04-2021		

Sr Text Block	
Textual Information(1)	Appointed as Chairperson of the Committee w.e.f. July 14, 2023

Stakeholders Relationship Committee							
Whether the Stakeholders Relationship Committee has a Regular Chairperson					Yes		
Sr	DIN Number	Name of Committee members	Category 1 of directors	Category 2 of directors	Date of Appointment	Date of Cessation	Remarks
1	07308617	Nikhilkumar Srivastava	Non-Executive - Nominee Director	Chairperson	16-06-2023		
2	07112524	Shiv Sehgal	Executive Director	Member	16-06-2023		
3	00172458	Sameer Kaji	Non-Executive - Independent Director	Member	16-06-2023		

Risk Management Committee							
Whether the Risk Management Committee has a Regular Chairperson					Yes		
Sr	DIN Number	Name of Committee members	Category 1 of directors	Category 2 of directors	Date of Appointment	Date of Cessation	Remarks
1	07789972	Ashish Kehair	Executive Director	Chairperson	16-06-2023		
2	00172458	Sameer Kaji	Non-Executive - Independent Director	Member	16-06-2023		
3	07308617	Nikhilkumar Srivastava	Non-Executive - Nominee Director	Member	26-05-2021		
4	00000000	Riyaz Marfatia	Chief Operating Officer	Member	16-06-2023		Textual Information(1)

Sr Text Block	
Textual Information(1)	Riyaz Marfatia is the Chief Operating Officer of the Company and hence DIN is not applicable

Corporate Social Responsibility Committee							
Whether the Corporate Social Responsibility Committee has a Regular Chairperson					Yes		
Sr	DIN Number	Name of Committee members	Category 1 of directors	Category 2 of directors	Date of Appointment	Date of Cessation	Remarks
1	00172458	Sameer Kaji	Non-Executive - Independent Director	Chairperson	25-04-2023		Textual Information(1)
2	00163054	Birendra Kumar	Non-Executive - Independent Director	Member	22-04-2022		
3	07112524	Shiv Sehgal	Executive Director	Member	22-04-2022		

Sr Text Block	
Textual Information(1)	Appointed as Chairperson of the Committee w.e.f May 19, 2023.

Other Committee						
Sr	DIN Number	Name of Committee members	Name of other committee	Category 1 of directors	Category 2 of directors	Remarks

Annexure 1								
Annexure 1								
III. Meeting of Board of Directors								
Disclosure of notes on meeting of board of directors explanatory								
Sr. No.	Date(s) of meeting (if any) in the previous quarter	Date(s) of meeting (if any) in the current quarter	Maximum gap between any two consecutive (in number of days)	Notes for not providing Date	Whether requirement of Quorum met (Yes/No)	Total Number of Directors as on date of the meeting	Number of Directors present* (All directors including Independent Director)	No. of Independent Directors attending the meeting*
1	08-04-2025				Yes	9	8	4
2	23-04-2025		14		Yes	9	8	4
3	28-05-2025		34		Yes	8	8	4
4		16-07-2025	48		Yes	8	7	4
5		13-08-2025	27		Yes	8	8	4

Annexure 1

IV. Meeting of Committees

Disclosure of notes on meeting of committees explanatory										
Sr	Name of Committee	Date(s) of meeting (Enter dates of Previous quarter and Current quarter in chronological order)	Maximum gap between any two consecutive (in number of days)	Name of other committee	Reason for not providing date	Whether requirement of Quorum met (Yes/No)	Total Number of Directors in the Committee as on date of the meeting	Number of Directors Present (All Directors including Independent Director)	No. of Independent Directors attending the meeting*	No. of members attending the meeting (other than Board of Directors)
1	Audit Committee	28-05-2025				Yes	3	3	2	0
2	Audit Committee	13-08-2025	76			Yes	3	3	2	0
3	Nomination and remuneration committee	28-05-2025				Yes	3	3	2	0
4	Risk Management Committee	08-05-2025				Yes	3	3	1	1
5	Risk Management Committee	25-07-2025	77			Yes	3	2	1	1
6	Corporate Social Responsibility Committee	02-05-2025				Yes	3	2	2	0

Annexure 1**V. Affirmations**

Sr	Subject	Compliance status (Yes/No)
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
3	The composition of the following committees is in terms of SEBI(Listing obligations and disclosure requirements) Regulations, 2015. b. Nomination & remuneration committee	Yes
4	The composition of the following committees is in terms of SEBI(Listing obligations and disclosure requirements) Regulations, 2015. c. Stakeholders relationship committee	Yes
5	The composition of the following committees is in terms of SEBI(Listing obligations and disclosure requirements) Regulations, 2015. d. Risk management committee (applicable to the top 1000 listed entities)	Yes
6	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
7	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
8	This report and/or the report submitted in the previous quarter has been placed before Board of Directors.	Yes

Annexure 1		
Sr	Subject	Compliance status
1	Name of signatory	Sneha Patwardhan
2	Designation	Company Secretary and Compliance Officer

Affirmations on Compliance Requirements for AGM (applicable only for the first half-year filing i.e., 2nd quarter)				
I. Affirmations				
Sr	Particulars	Regulation Number	Compliance status (Yes/No/NA)	If status is “No” details of non-compliance may be given here.
1	Copy of the annual report including balance sheet, profit and loss account, directors report, corporate governance report, BRSR & BRSR core, if applicable, displayed on website	46(2)	Yes	
2	Presence of Chairperson of Audit Committee at the Annual General Meeting	18(1)(d)	Yes	
3	Presence of Chairperson of the nomination and remuneration committee at the annual general meeting	19(3)	Yes	
4	Presence of Chairperson of the Stakeholder Relationship committee at the annual general meeting	20(3)	Yes	
5	Disclosure of the Secretarial Audit Report of the listed entity and the material subsidiaries in the Annual Report	24A(1)	Yes	
6	Compliance with the conditions laid down for Secretarial Auditor or the person signing the Secretarial Compliance Report	24A(1A), 24A(1B), 24A(1C)	Yes	
7	Submission of Annual Secretarial Compliance Report	24A(2)	Yes	
8	Whether “Corporate Governance Report” disclosed in Annual Report	34(3) read with para C of Schedule V	Yes	
Any other information to be provided				

Annexure III		
1	Name of signatory	Sneha Patwardhan
2	Designation	Company Secretary and Compliance Officer

Additional Half yearly Disclosure DISCLOSURE OF LOANS / GUARANTEES / COMFORT LETTERS / SECURITIES ETC. (applicable only for half-yearly filings)			
Any Other Information for Disclosure of Loans / Guarantees / Comfort Letters / Securities Etc.			Textual Information(1)
I. Disclosure of Loans/ guarantees/comfort letters /securities etc. Refer note below			
(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	Guarantee	14900000000	52222300000
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	Shares	0	21281168110
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
(D) Additional Information			Textual Information(2)
II. Affirmations			
Affirmations		Compliance Status	Company Remarks
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.		Yes	Textual Information(3)
Name	Bharat Kalsi		
Designation	CFO		
Place	Mumbai		
Date	30-10-2025		

Details of Cyber security incidence		
Whether as per Regulation 27(2)(ba) of SEBI (LODR) Regulations, 2015 there has been cyber security incidents or breaches or loss of data or documents during the quarter		No
Number of cyber security incidence or breaches or loss of data event occurred during the quarter		
Sr.	Date of the event	Brief details of the event

Signatory Details	
Name of signatory	Sneha Patwardhan
Designation of person	Company Secretary and Compliance Officer
Place	Mumbai
Date	30-10-2025

Investor Grievance Details	
No. of investor complaints pending at the beginning of Quarter	0
No. of investor complaints received during the Quarter	0
No. of investor complaints disposed off during the Quarter	0
No. of investor complaints those remaining unresolved at the end of the Quarter	0

Disclosure of Imposition of Fine or Penalty The details of imposition of fine or penalty during the quarter in terms of sub-para 20 of para A of Part A of Schedule III are given below:

Any Other Information for Disclosure of Imposition of Fine or Penalty					
Sr. No.	Name of the authority	Nature and details of the action(s) taken or order(s) passed	Date of receipt of direction or order, including any ad interim or interim orders, or any other communication from the authority	Details of the violation(s)/contravention(s) committed or alleged to be committed	Impact on financial, operation or other activities of the listed entity, quantifiable in monetary terms to the extent possible
1	NSE	Operational in nature; No Order Passed	15-07-2025	Short Margin Penalty	4099.78
2	NSE	Operational in nature; No Order Passed	16-07-2025	Short Margin Penalty	192.13
3	MCX-CX	Operational in nature; No Order Passed	16-07-2025	Penalty For ATS Order-To-Trade-Ratio	402
4	NSE	Operational in nature; No Order Passed	05-08-2025	Auction Penalty charges	86785.8
5	NSE	Operational in nature; No Order Passed	05-08-2025	Non allocation/non confirmation of cp/otr	35635.08
6	NSE	Operational in nature; No Order Passed	25-08-2025	Voluntary Auction Charges	283.76
7	NSE	Operational in nature; No Order Passed	26-08-2025	Levy Of Non Uploading Charges Of Computer to Computer Link Details In ENIT Portal	700
8	MCX-CX	Operational in nature; No Order Passed	26-08-2025	Fresh trade in Error account carried by Trading Member	10000
9	NSE	Operational in nature; No Order Passed	03-09-2025	Auction Penalty charges	35581
10	NSE	Operational in nature; No Order Passed	03-09-2025	Non allocation/non confirmation of cp/otr	45908.32
11	NSE	Operational in nature; No Order Passed	19-09-2025	Client Code Modification	69866.55

Disclosure of Updates to Ongoing Tax Litigations or Disputes The updates on tax litigations or disputes in terms of sub-para 8 of para B of Part A of Schedule III read with corresponding provisions of Annexure 18 of the Master Circular are given below:

Any Other Information for Disclosure of Updates to Ongoing Tax Litigations or Disputes				Textual Information(1)
Sr. No.	Name of the opposing party	Date of initiation of the litigation / dispute	Status of the litigation / dispute as per last disclosure	Current status of the litigation / dispute
1	Principal Commissioner GST and CX	07-08-2020	Pending at CESTAT	Pending at CESTAT

Disclosure of Updates to Ongoing Tax Litigations or Disputes The updates on tax litigations or disputes in terms of sub-para 8 of para B of Part A of Schedule III read with corresponding provisions of Annexure 18 of the Master Circular are given below: **Text Block**

Textual Information(1)

There has been no update on the status of Tax litigations since last quarter