

General information about company	
Scrip code	543988
NSE Symbol	NUVAMA
MSEI Symbol	NOTLISTED
ISIN	INE531F01023
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	Quarterly
Date of Quarter Ending	31 -12-2025
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 Not Applicable
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
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	001 63054	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	EPXPS91 26H	071 1 2524	Executive Director	Not Applicable		03-01-1979
4	Ms	Anisha Motwani	AAAPM1 61 7P	06943493	Non-Executive - Independent Director	Not Applicable		21-06-1963
5	Mr	Aswin Viikram	AJHPV1 647C	0889501 3	Non-Executive - Nominee Director	Not Applicable		19-06-1986
6	Mr	Kamlesh Shivji Viikamsey	AABPV3055 F	00059620	Non-Executive - Independent Director	Not Applicable		06-12-1960
7	Mr	Niikhilikumar Srivastava	BMMPS 4092K	0730861 7	Non-Executive - Nominee Director	Not Applicable		19-03-1978
8	Mr	Sameer Kaji	AAEPK791 3 N	001 72458	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

Sl. No.	Name of Director	Disqualified under section 164 of the Companies Act, 2013	Disqualified under section 164 of the Companies Act, 2013	Disqualified under section 164 of the Companies Act, 2013	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(1 A) of Listing Regulations]	Date of passing special resolution	Initial Date of appointment	Date of Re-appointment	Date of cessation	5 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 members in Audit/ S takeholder Committee(s) including this listed entity (Refer Regulation 26(1) of Listing Regulations)	No of post of Chairperson in Audit/ S takeholder 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		49)14	3	3	5	0			
2	NA		21-09-2021				3	0	2	1			
3	NA		11-01-2022				1	0	1	0			
4	NA		30-07-2021	30-07-2021		53	7	7	7	2			
5	NA		11-01-2022				1	0	1	0			
6	NA		30-05-2023	30-05-2023		31	5	4	6	5			
7	NA		19-03-2021				2	0	3	1			
8	NA		01-05-2023	01-05-2023		32	4	4	10	4			

Text Block	
Textual Information(l)	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 (of directors	Category 2 of directors	Date of Appointment	Date of Cessation	Remarks
(00059620	Kamlesh Shivji Viikamsey	Non-Executive - Independent Director	Chairperson	(6-06-2023		Textual Information;()
2	00(63054	Birendra Kumar	Non-Executive - Independent Director	Member	22-04-2022		
3	0730A 6(7	Niikhilikumar Srivastava	Non-Executive - Nominee Director	Member	22-04-2022		

Sr Text Block	
Textual Information(l)	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	001 63054	Birendra Kumar	Non-Executive - Independent Director	Member	24-01 -2022		
3	0730861 7	Nikhil Kumar Srivastava	Non-Executive - Nominee Director	Member	07-04-2021		

Sr Text Block

Textual Information(!)

Appointed as Chairperson of the Committee w. e. f. July ! 4, 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	Nikhi Kumar 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
6	07711172	Ashtish Kehatr	Executive Director	Chairperson	6-6-2023		
2	00672451	Sameer Kajt	Non-Executive - Independent Director	Member	6-6-2023		
3	07301667	Nikhil Kumar Srtvastava	Non-Executive - Nominee Director	Member	26-05-2026		
4	00000000	Riyaz Marfatta	Chief Operating Officer	Member	6-6-2023		Textual Information@6)

Sr Text Block

Textual Information(l)

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	001 72458	Sameer Kaji	Non-Executive - Independent Director	Chairperson	25 -04-2023		Textual Information? 1)
2	001 63054	Birendra Kumar	Non-Executive - Independent Director	Member	22-04-2022		
3	071 1 2524	Shiv Sehgal	Executive Director	Member	22-04-2022		

Sr Text Block	
Textual Information(l)	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	16-07-2025				Yes	8	7	4
2	13-08-2025		27		Yes	8	8	4
3		01-10-2025	48		Yes	8	8	4
4		04-11-2025	33		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	13-08-2025				Yes	3	3	2	0
2	Audit Committee	04-11-2025	82			Yes	3	2	2	0
3	Audit Committee	28-11-2025	23			Yes	3	3	2	0
4	Nomination and remuneration committee	01-10-2025				Yes	3	3	2	0
5	Risk Management Committee	25-07-2025				Yes	3	2	1	1
6	Risk Management Committee	04-11-2025	101			Yes	3	2	1	1

Annexure 1

IV. Meeting of Committees

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 ^o of Independent Directors attending the meeting*	No ^o of members attending the meeting (other than Board of Directors)
7	Corporate Social Responsibility Committee	04-11-2025				Yes	3	3	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
	Name of signatory	Sneha Patwardhan
2	Designation	Company Secretary and Compliance Officer

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	23-01 -2026

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	01-10-2025	Auction Penalty charges	2466.93
2	NSE	Operational in nature; No Order Passed	01-10-2025	Non allocation/non confirmation of cp/otr	21050.79
3	CLIENT - CUSTODY	Operational in nature; No Order Passed	06-10-2025	Short Margin Penalty	76
4	NSE	Operational in nature; No Order Passed	14-10-2025	Auction Penalty charges	392.98
5	NSE	Operational in nature; No Order Passed	20-10-2025	Auction Penalty charges	21944.05
6	NSE	Operational in nature; No Order Passed	20-10-2025	Non allocation/non confirmation of cp/otr	19080.4
7	NSE	Operational in nature; No Order Passed	24-11-2025	Client Code Modification	3630
8	NSE	Operational in nature; No Order Passed	25-11-2025	Auction Penalty charges	121.26
9	NSE	Operational in nature; No Order Passed	25-11-2025	Non allocation/non confirmation of cp/otr	48403.39
10	NSE	Operational in nature; No Order Passed	28-11-2025	Penalty For Non Reporting Of Demat Account Details In Weekly Enhanced Submission - Non-Compliance Reporting Of Demat A/C	5000
11	NSE	Operational in nature; No Order Passed	24-12-2025	Auction Penalty charges	132.48
12	NSE	Operational in nature; No Order Passed	24-12-2025	Non allocation/non confirmation of cp/otr	12199.6
13	NSE	Operational in nature; No Order Passed	31-12-2025	Non-compliance reporting of Nominee Demat Account	5000

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