

1. Name of the Listed Entity: **Almondz Global Securities Ltd**
 2. Quarter Ending: **31 March 2021**

1. Composition of Board of Directors												
Title (Mr./Ms)	Name of the Director	PANs and DIN	Category (Chairperson/ Executive/Non-Executive/Independent/Non minee)&	Date of Birth/ Whether special Resolution passed? [Refer Regulation 17(1A) of Listing Regulations/Date of passing Resolution	Initial Date of appointment	Date of Re-appointment	Date of cessation	Tenure in months	No. of Directorship in listed entities including this listed entity (Refer Regulations 25(1) of Listing Regulations)	No of Independent Directors hip in listed entities including this listed entity (Refer Regulation 17A(1) of Listing Regulations)	Number of memberships in Audit/ Stakeholder Committee(s) including this listed entity (Refer Regulations 26(1) of Listing Regulations)	No of post of Chairperson in Audit/ Stakeholder Committee held in listed entities including this entity (Refer Regulations 26(1) of Listing Regulations)
Mr.	Satish Chandra Sinha	PAN:ADSPS 3128C DIN:03598 173	Chairperson/ Independent/ Non Executive	31-07-1952/ No	25 May 2016	-	-	60	1	1	1	NIL
Mr.	Navjeet Singh Sobti	PAN:AAYPs 3411R DIN:00008 393	Executive	20-08-1967/ No	19 May 2006	12-08-2019	-	-	1	NIL	1	NIL
Mr.	Jagdeep Singh	PAN:AXKPS 8228D DIN:00008 348	Executive	21-09-1965/ No	19 April 2004	01-12-2019	-	-	1	NIL	1	NIL
Mr.	Krishan Lall Khetarpaul	PAN:AAEPK 6610N DIN:01268 756	Independent/ Non Executive	02-07-1943/yes/27/09/2019	31 January 2007	29-09-2019	-	60	2	2	1	1

Stamp: CHIEF FINANCIAL OFFICER, ALMONDZ GLOBAL SECURITIES LTD, New Delhi. Signature: [Handwritten Signature]

Mr.	Ajay Kumar	PAN:AEMP K5513J DIN:01954 049	Independent/ Non Executive	30-01- 1951/ No	11 August 2015	29 Septem ber 2020	-	60	2	2	0	3
Ms.	Neelu Jain	PAN:AADPJ 6116B DIN:00227 058	Non Executive	12-06- 1956/ No	12 August 2014	-	-	-	1	NIL	1	NIL
Mr.	Abdul Redha Mustafa Abdul Redha Sultan**	DIN:05101 233	Non Executive	27-10- 1969/ No	11 Decemb er 2019	-	-	-	1	NIL	NIL	NIL
Mr.	Sanjay Kumar Tiwari	PAN:AAMP T9380J DIN:03407 426	Non Executive	10-06- 1964/ No	10 February 2011	-	-	-	1	NIL	NIL	NIL

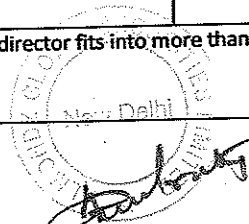
§ PAN Number of any director would not be displayed on the website of Stock Exchange & Category of directors means executive/non-executive/independent/Nominee. If a director fits into more than one category write all categories separating them with hyphen
*To be filled only for Independent Director. Tenure would mean total period from which Independent director is serving on Board of Directors of the listed entity in continuity without any cooling off period.

**Mr. Abdul Redha Mustafa Abdul Redha Sultan is an OMANI Resident. Hence PAN is not applicable to him.

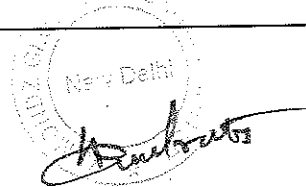
II. Composition of Committees

Name of Committee	Name of Committee members	Category(Chairperson/Executive/Non-Executive/Independent/Nominee)§	Date of Appointment
1. Audit Committee	(i) Mr. Ajay Kumar, (ii) Mr. Krishan Lall Khetarpaul (iii) Mr. Satish Chandra Sinha	Chairperson/Independent/Non Executive Independent/Non executive Independent/ Non Executive	11-08-2015 22-02-2007 10-08-2017
2. Nomination & Remuneration Committee	(i) Mr. Ajay Kumar, (ii) Mr. Satish Chandra Sinha (iii) Mr. Krishan Lall Khetarpaul	Chairperson/Independent/Non Executive Independent/Non Executive Independent/ Non Executive	11-08-2015 27-05-2019 22-02-2007
3. Risk Management Committee	(Not applicable)	(Not applicable)	(Not applicable)
4. Stakeholders Relationship Committee	(i) Mr. Ajay Kumar (ii) Mr. Navjeet Singh Sobti (iii) Mr. Jagdeep Singh	Chairperson/Independent/Non Executive Executive Executive	11-08-2015 12-08-2014 25-06-2005
5. 5. CSR Committee	(i) Mr. Ajay Kumar, (ii) Mr. Satish Chandra Sinha (iii) Mr. Krishan Lall Khetarpaul	Chairperson/Independent/Non Executive Independent/ Non executive Independent/ Non Executive	11-08-2015 27-05-2019 31-03-2015

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					
Date(s) of Meeting (if any) in the previous quarter	Date(s) of Meeting (if any) in the relevant quarter	Maximum gap between any two consecutive meetings in number of days	Whether requirement of Quorum met (yes/No)	Numbers of Directors present	Numbers of independent Directors present
12 November 2020	11-February 2021	90 Days	yes	7	3
IV. Meeting of Committees					
Date(s) of meeting of the committee in the relevant quarter	Date(s) of meeting of the committee in the previous quarter	Maximum gap between any two consecutive meetings in number of days*	Whether requirement of Quorum met (details)	Numbers of Directors present	Numbers of Independent Directors present
11-February 2021 (Audit Committee)	12 November 2020 (Audit Committee)	90 Days	Yes	3	3
22 March 2021 (Stakeholders Relationship Committee)			yes	3	1
		*This information has to be mandatorily be given for audit committee, for rest of the committee giving this information is optional			
V. Related Party Transactions					
Subject				Compliance Status (Yes/No/NA) refer to note below	
Whether prior approval of audit committee obtained				Yes	
Whether shareholder approval obtained for material RPT				No Material Transaction was involved ; hence shareholders approval not required	
Whether details of RPT entered into pursuant to omnibus approval have been reviewed by audit committee				NA	
Note: 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 Listing Entity has no related party transactions, the word "N.A." may be indicated. 2. If status is "No" details of non compliance may be given here.					



 The National Stock Exchange of India
 New Delhi

VI. Affirmations

1. The composition of Board of Director is in terms of SEBI (Listing obligations and disclosure requirements) Regulations, 2015.
2. The composition of the following committee is in terms of SEBI(Listing obligations and disclosure requirements) Regulations, 2015
 - a. Audit Committee
 - b. Nomination & Remuneration Committee
 - c. Stakeholders Relationship Committee
 - d. Risk management committee (applicable to the top 100 listed entities)
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
4. The meetings of the board of directors and the above committees have been conducted in the manners specified in SEBI(Listing obligations and disclosure requirements) Regulations, 2015.
5. This report and/or the report submitted in the previous quarter has been placed before Board of Directors. Any comments/observations/advice of Board of Directors may be mentioned here: First Report. This will be placed in the ensuing Board Meeting

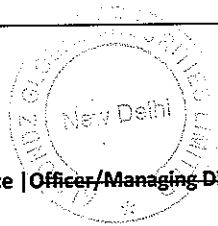


Ajay Pratap

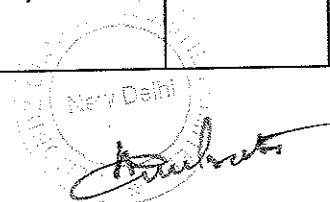
Company Secretary/Compliance | Officer/Managing Director/CEO

Date:12-04-2021

Place: New Delhi



Annexure II to be submitted by listed entity at the end of the financial year (for the whole of financial year)				
I. Disclosure on website in terms of Listing Regulations				
Sr	Item	Compliance status (Yes/No/NA)	If status is "No" details of non-compliance may be given here.	Web address
1	Details of business	Yes	-	www.almondzglobal.com
2	Terms and conditions of appointment of independent directors	Yes	-	www.almondzglobal.com
3	Composition of various committees of board of directors	Yes	-	www.almondzglobal.com
4	Code of conduct of board of directors and senior management personnel	Yes	-	www.almondzglobal.com
5	Details of establishment of vigil mechanism/ Whistle Blower policy	Yes	-	www.almondzglobal.com
6	Criteria of making payments to non-executive directors	Yes	-	www.almondzglobal.com
7	Policy on dealing with related party transactions	Yes	-	www.almondzglobal.com
8	Policy for determining 'material' subsidiaries	Yes	-	www.almondzglobal.com
9	Details of familiarization programmes imparted to independent directors	Yes	-	www.almondzglobal.com
10	Contact information of the designated officials of the listed entity who are responsible for assisting and handling investor grievances	Yes	-	www.almondzglobal.com
11	email address for grievance redressal and other relevant details	Yes	-	www.almondzglobal.com
12	Financial results	Yes	-	www.almondzglobal.com
13	Shareholding pattern	Yes	-	www.almondzglobal.com
14	Details of agreements entered into with the media companies and/or their associates	NA	-	

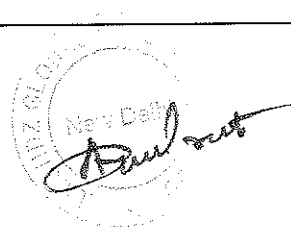


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15	Schedule of analyst or institutional investor meet and presentations made by the listed entity to analysts or institutional investors simultaneously with submission to stock exchange	NA	-	
16	New name and the old name of the listed entity	NA	-	
17	Advertisements as per regulation 47 (1)	Yes	-	www.almondzglobal.com
18	Credit rating or revision in credit rating obtained	Yes	-	www.almondzglobal.com
19	Separate audited financial statements of each subsidiary of the listed entity in respect of a relevant financial year	Yes	-	www.almondzglobal.com
20	Whether company has provided information under separate section on its website as per Regulation 46(2)	Yes	-	www.almondzglobal.com
21	Materiality Policy as per Regulation 30	Yes	-	www.almondzglobal.com
22	Dividend Distribution policy as per Regulation 43A (as applicable)	NA	-	
23	It is certified that these contents on the website of the listed entity are correct	Yes	-	www.almondzglobal.com



Annexure 1		
VI. 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 requirssments) 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 500 listed entities)	NA
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



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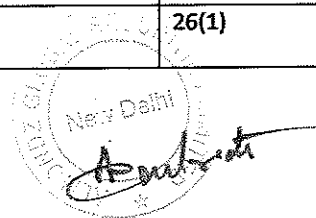
Annexure 1		
S r	Subject	Compliance status
1	Name of signatory	AJAY PRATAP
2	Designation	Company Secretary and Compliance Officer



Annexure II				
II. Annual Affirmations				
S r	Particulars	Regulation Number	Compliance status (Yes/No/NA)	If status is "No" details of non- compliance may be given here.
1	Independent director(s) have been appointed in terms of specified criteria of 'independence' and/or 'eligibility'	16(1)(b) & 25(6)	Yes	-
2	Board composition	17(1), 17(1A) & 17(1B)	Yes	-
3	Meeting of Board of directors	17(2)	Yes	-
4	Quorum of Board meeting	17(2A)	Yes	-
5	Review of Compliance Reports	17(3)	Yes	-
6	Plans for orderly succession for appointments	17(4)	Yes	-
7	Code of Conduct	17(5)	Yes	-
8	Fees/compensation	17(6)	Yes	-
9	Minimum Information	17(7)	Yes	-
10	Compliance Certificate	17(8)	Yes	-
11	Risk Assessment & Management	17(9)	Yes	-
12	Performance Evaluation of Independent Directors	17(10)	Yes	-
13	Recommendation of Board	17(11)	Yes	-
14	Maximum number of Directorships	17A	Yes	-
15	Composition of Audit Committee	18(1)	Yes	-
16	Meeting of Audit Committee	18(2)	Yes	-
17	Composition of nomination & remuneration committee	19(1) & (2)	Yes	-
18	Quorum of Nomination and Remuneration Committee meeting	19(2A)	Yes	-

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19	Meeting of Nomination and Remuneration Committee	19(3A)	Yes	-
20	Composition of Stakeholder Relationship Committee	20(1), 20(2) & 20(2A)	Yes	-
21	Meeting of Stakeholders Relationship Committee	20(3A)	Yes	-
22	Composition and role of risk management committee	21(1),(2),(3),(4)	NA	-
23	Meeting of Risk Management Committee	21(3A)	NA	-
24	Vigil Mechanism	22	Yes	-
25	Policy for related party Transaction	23(1),(1A),(5),(6),(7) & (8)	Yes	-
26	Prior or Omnibus approval of Audit Committee for all related party transactions	23(2), (3)	Yes	-
27	Approval for material related party transactions	23(4)	Yes	-
28	Disclosure of related party transactions on consolidated basis	23(9)	Yes	-
29	Composition of Board of Directors of unlisted material Subsidiary	24(1)	Yes	-
30	Other Corporate Governance requirements with respect to subsidiary of listed entity	24(2),(3),(4),(5) & (6)	Yes	-
31	Annual Secretarial Compliance Report	24(A)	Yes	-
32	Alternate Director to Independent Director	25(1)	NA	-
33	Maximum Tenure	25(2)	Yes	-
34	Meeting of independent directors	25(3) & (4)	Yes	-
35	Familiarization of independent directors	25(7)	Yes	-
36	Declaration from Independent Director	25(8) & (9)	Yes	-
37	D & O Insurance for Independent Directors	25(10)	NA	-
38	Memberships in Committees	26(1)	Yes	-



39	Affirmation with compliance to code of conduct from members of Board of Directors and Senior management personnel	26(3)	Yes	-
40	Disclosure of Shareholding by Non-Executive Directors	26(4)	Yes	-
41	Policy with respect to Obligations of directors and senior management	26(2) & 26(5)	Yes	-

Annexure II		
III. Affirmations		
Sr	Particulars	Compliance status (Yes/No/NA)
1	The Listed Entity has approved Material Subsidiary Policy and the Corporate Governance requirements with respect to subsidiary of Listed Entity have been complied	Yes

Annexure II		
1	Name of signatory	AJAY PRATAP
2	Designation	Company Secretary and Compliance Officer

Signatory Details	
Name of signatory	AJAY PRATAP
Designation of person	Company Secretary and Compliance Officer
Place	NEW DELHI
Date	12-04-2021

