

Approved by Board in their 287th Meeting held on 28.12.2015.

Policy for Preservation of Statutory Documents

नालको  NALCO

NATIONAL ALUMINIUM COMPANY LIMITED

NALCO BHAWAN, P/1, NAYAPALLY,

BHUBANESWAR – 751013, ODISHA

Policy for Preservation of Statutory Documents

1.0 The Policy on preservation of statutory documents and their custodians is as follows:

A. Documents to be preserved permanently

Sl. No.	Description
01	Minutes books of General Meeting, Board Meeting, Committee meetings, Resolution by Postal Ballot
02	Register of Investments in securities not held in the name of the company
03	Register of Charges
04	Register and Index of Members
05	Foreign Register of Members
06	Register of renewed and duplicate certificates
07	Register of contracts in which directors are interested
08	Register of Directors, Managing Director, Manager, Secretary & Key Managerial Personnel
09	Register of Directors' shareholdings
10	Register of loans/guarantee/security and investments
11	Register of investments (other than securities not held in the name of the company)
12	Register of documents executed under common seal
13	Register of records and documents destroyed
14	Register of transfer of shares
15	Register of transmission of shares
16	Register of transfer of debentures
17	Register of transmission of debentures
18	Register in respect of SEBI (Substantial Acquisition of Shares and Takeovers) Regulations, 2011

B. Documents to be preserved for not less than eight (8) years.

Sl. No.	Description
01	Register of Buy-back of securities
02	Instruments creating Charges
03	Register and Index of Debenture holders
04	Foreign Register of debenture holders
05	Register of Deposits
06	Register of Allotment
07	Register of payment of dividend
08	Register of Directors' attendance
09	Register of Postal ballot
10	Register of Proxies
11	Register of Inspection
12	Register of Investors' complaints
13	Register of Employee stock options
14	Register of Sweat equity shares
15	Register in respect of SEBI (Prohibition of Insider Trading) Regulations, 2015
16	Books of Accounts
17	Annual Return
18	A. Disclosures received by the company under the SEBI (Substantial Acquisition of Shares and Takeovers Regulations), 2011 [SAST Regulations] B. General Meeting Records C. Record of Directors particulars D. Notice of disclosure of interest by the Directors, officers and substantial shareholders under Model Code of Conduct E. Certificate received from Secretarial Auditors F. Documents to be filed with Registrar of Companies. G. Any court order / CLB order H. Annual Reports I. Replies to show cause notices, if any etc. J. Record of Employee Stock Purchase Scheme (ESPS) K. Record of issued and cancelled Share / Debenture certificates.

- C. All the above registers and documents shall be in the custody of Company Secretary of the Company, except those mentioned at sl. nos. A-10, 11 & B-16, which shall be in the custody of Head of Corporate Finance Dept. or any other person authorized by CMD for the purpose. Foreign register of members or debenture holders will be in the custody of the person in-charge of the office in the foreign country.

- D. (i) Wherever the specific period of preservation is mentioned in the Act/Rules/Secretarial Standards, the same be adopted from time to time.
- (ii) Wherever the specific period of preservation is not mentioned in this policy or in the Act/Rules/Secretarial Standards, CMD is authorized to decide from time to time the preservation period and the person under whose custody the documents should be kept.
- E. Destruction of all the above registers and documents shall be done after the preservation period and with the approval of ED-Company Secretary.