

FORM NO. MGT 9
EXTRACT OF ANNUAL RETURN

As on financial year ended on 31st March, 2021
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	U65993KA1993PTC074590
2.	Registration Date	06/10/1993
3.	Name of the Company	CAPFLOAT FINANCIAL SERVICES PRIVATE LIMITED
4.	Category/Sub-category of the Company	Company Limited by Shares/ Indian Non-Government Company
5.	Address of the Registered office & contact details	New No 3. (Old 211), Gokaldas Platinum, Upper Palace Orchards, Bellary Road, Sadashivnagar Bangalore-560080
6.	Whether listed company	No
7.	Name, Address & contact details of the Registrar & Transfer Agent, if any.	Not Applicable

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)

Sl. No.	Name and Description of main products / services	NIC Code of the Product/service	% to total turnover of the company
1	Financial Services Activities Except Insurance and Pension Funding.	64	90.42%

III. Particulars of Holding, Subsidiary and Associate Companies

Sl. No.	Name and Address of the company	CIN/GLN	Holding/ Subsidiary / Associate	% of shares held	Applicable Section
1.	Thumbworks Technologies Private Limited	U72900PN2014PTC153050	Subsidiary	60.25%	2(87)

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IV. Share Holding Pattern (Equity Share Capital Breakup as percentage of Total Equity)

Category-wise Share Holding

Category of Shareholders	No. of Shares held at the beginning of the year[As on 1st-March-2020]				No. of Shares held at the end of the year[As on 31-March-2021]				% Change during the year
	De mat	Physical	Total	% of Total Shares	De mat	Physical	Total	% of Total Shares	
A. Promoters									
(1) Indian									
a) Individual/HUF	-	13,80,014	13,80,014	82.87 %		13,80,014	13,80,014	82.87%	-
b) Central Govt	-	-	-	-	-	-	-	-	-
c) State Govt(s)	-	-	-	-	-	-	-	-	-
d) Bodies Corp.	-	-	-	-	-	-	-	-	-
e) Banks / FI	-	-	-	-	-	-	-	-	-
f) Any other	-	-	-	-	-	-	-	-	-
SUB TOTAL:(A) (1)		13,80,014	13,80,014	82.87 %		13,80,014	13,80,014	82.87%	-
(2) Foreign									
a) NRI-Individuals	-	-	-	-	-	-	-	-	-
b) Other Individuals	-	-	-	-	-	-	-	-	-
c) Bodies Corp.	-	-	-	-	-	-	-	-	-
d) Banks/FI	-	-	-	-	-	-	-	-	-
e) Any other...	-	-	-	-	-	-	-	-	-
SUB TOTAL (A) (2)	-	-	-	-	-	-	-	-	-
Total Shareholding of Promoter (A)=		13,80,014	13,80,014	82.87 %		13,80,014	13,80,014	82.87%	-

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(A)(1)+(A)(2)									
B. Public Shareholding									
1. Institutions		-	-	-	-	-	-	-	-
a) Mutual Funds	-	-	-	-	-	-	-	-	-
b) Banks / FI	-	-	-	-	-	-	-	-	-
c) Central Govt	-	-	-	-	-	-	-	-	-
d) State Govt(s)	-	-	-	-	-	-	-	-	-
e) Venture Capital Funds	-	-	-	-	-	-	-	-	-
f) Insurance Companies									
g) FIIs	-	82,346	82,346	4.94%	-	82,346	82,346	4.94%	-
h) Foreign Venture Capital Funds	-	-	-	-	-	-	-	-	-
i) Others (specify)	-	-	-	-	-	-	-	-	-
Sub-total (B)(1):-	-	82,346	82,346	4.94%	-	82,346	82,346	4.94%	-
2. Non-Institutions									
a) Bodies Corp.	-	-	-	-	-	-	-	-	-
i) Indian	-	1,16,161	1,16,161	6.97%	-	1,16,224	1,16,224	6.98%	0.003%
ii) Overseas	-	-	-	-	-	-	-	-	-
b) Individuals	-	-	-	-	-	-	-	-	-
i) Individual shareholders holding nominal share capital upto Rs. 1 lakh	-	-	-	-	-	-	-	-	-

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ii) Individual shareholders holding nominal share capital in excess of Rs 1 lakh	-	-	-	-	-	-	-	-	-
c) Others (specify) (ESOP Trust)	-	86,855	86,855	5.22%	-	86,792	86,792	5.21%	(0.03 %)
Non Resident Indians	-	-	-	-	-	-	-	-	-
Overseas Corporate Bodies	-	-	-	-	-	-	-	-	-
Foreign Nationals	-	-	-	-	-	-	-	-	-
Clearing Members	-	-	-	-	-	-	-	-	-
Trusts	-	-	-	-	-	-	-	-	-
Foreign Bodies - D R	-	-	-	-	-	-	-	-	-
Sub-total (B)(2):-		2,03,016	2,03,016	12.19 %	-	2,03,016	2,03,016	12.19%	-
Total Public Shareholding (B)=(B)(1)+ (B)(2)	-	2,85,362	2,85,362	17.13 %	-	2,85,362	2,85,362	17.13%	-
C. Shares held by Custodian for GDRs & ADRs	-	-	-	-	-	-	-	-	-
Grand Total (A+B+C)	-	16,65,376	16,65,376	100%	-	16,65,376	16,65,376	100%	-

B) Shareholding of Promoter-

Sl. No.	Shareholder's Name	Shareholding at the beginning of the year (March 1, 2020)			Shareholding at the end of the year (March 31, 2021)			% change in shareholding during 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	Gaurav Dinesh Hinduja	6,90,007	41.435%	-	6,90,007	41.435%	-	-
2	Sashank Ramasubban	6,90,007	41.435%	-	6,90,007	41.435%	-	-

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	Rishyasringa							
	Total	13,80,014	82.87%	-	13,80,014	82.87%	-	-

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

Sl. No.	Particulars	Shareholding at the beginning of the year		Date	Increase/Decrease in Shareholding	Reason	Cumulative Shareholding during the year	
		No. of shares	% of total shares of the company				No. of shares	% of total shares of the company
NO CHANGE								

D) Shareholding Pattern of top ten Shareholders :(Other than Directors, Promoters and Holders of GDRs and ADRs):

Sl. No.	Name	Shareholding at the beginning of the year		Date	Increase/Decrease in Shareholding	Reason	Cumulative Shareholding during the year	
		No. of shares	% of total shares of the company				No. of shares	% of total shares of the company
1.	Rohan Vijay Angrish	83,133	4.99%	-	-	-	83,133	4.99%
2.	Sequoia Capital India Investment IV	54,399	3.27%	-	-	-	54,399	3.27%
3.	Saif Partner India IV Limited & Elevation Capital V Limited (Formerly known as Saif Partner India V Limited)	27,335	1.64%	-	-	-	27,335	1.64%
4.	Srinivasa Utham Gautham Reddy	8,500	0.51%	-	-	-	8,500	0.51%

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5.	Ajay Panjanani	3,246	0.19%	-	-	-	3,246	0.19%
6.	Sakshi Agarwal	2,876	0.17%	-	-	-	2,876	0.17%
7.	Rajesh Viswanathan	2,500	0.15%	-	-	-	2,500	0.15%
8.	Aniruddha Patwardhan	2,054	0.12%	-	-	-	2,054	0.12%
9.	Akshay Jammalamadaka Sarma	1,982	0.12%	-	-	-	1,982	0.12%
10.	Dev Pathi	1,950	0.12%	-	-	-	1,950	0.12%

E) Shareholding of Directors and Key Managerial Personnel:

Sl. No.	Shareholding of each Directors and each Key Managerial Personnel	Shareholding at the beginning of the year		Date	Increase/Decrease in Shareholding	Reason	Cumulative Shareholding during the year	
		No. of shares	% of total shares of the company				No. of shares	% of total shares of the company
1.	Gaurav Dinesh Hinduja (Director)	6,90,007	41.435%		No Change		6,90,007	41.435%
2.	Sashank Ramasubban Rishyasringa (Director)	6,90,007	41.435%		No Change		6,90,007	41.435%

V) INDEBTEDNESS -Indebtedness of the Company including interest outstanding/accrued but not due for payment.

(Amount in Rs.)

	Secured Loans Excluding Deposits	Unsecured Loans	Deposits	Total Indebtedness
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Indebtedness at the beginning of the financial year				
i) Principal Amount	5,389.89	615.00	0.00	6,004.89
ii) Interest due but not paid	0.00	0.00	0.00	0.00
iii) Interest accrued but not due	19.02	0.00	0.00	19.02
Total (i+ii+iii)	5,408.90	615.00	0.00	6,023.90
Change in Indebtedness during the financial year				
* Addition	3,208.58	1,001.23	-	4,209.81
* Reduction	4,977.14	684.50	0.00	5,661.64
Net Change	-1,768.56	316.73	0.00	-1451.83
Indebtedness at the end of the financial year				
i) Principal Amount	3,628.08	921.27	0.00	4,549.35
ii) Interest due but not paid	0.00	0.00	0.00	0.00
iii) Interest accrued but not due	12.27	10.46	0.00	22.73
Total (i+ii+iii)	3,640.35	931.73	0.00	4,572.08

*Includes IndAs EIR adjustments

VI. Remuneration of Directors and Key Managerial Personnel-

A. *Remuneration to Executive Directors:

(Amount in Rs.)

Sl. No.	Particulars of Remuneration	Name of Executive Directors		Total Amount
		Gaurav Dinesh Hinduja	Sashank Ramasubban Rishyasringa	
1	Gross salary	NIL	NIL	NIL
	(a) Salary as per provisions contained in section 17(1) of the Income-tax Act, 1961	NIL	NIL	NIL
	(b) Value of perquisites u/s 17(2) Income-tax Act, 1961	NIL	NIL	NIL
	(c) Profits in lieu of salary under section	NIL	NIL	NIL

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	17(3) Income- tax Act, 1961			
2	Stock Option	NIL	NIL	NIL
3	Sweat Equity	NIL	NIL	NIL
4	Commission- as % of profit - others, specify...	NIL	NIL	NIL
5	Others, please specify	NIL	NIL	NIL
	Total (A)	NIL	NIL	NIL
	Ceiling as per the Act	Not Applicable	Not Applicable	-

* Appointment of MD/WTM/Manager is not applicable to the Company for the year ended 31st March, 2021 under the provisions of the Companies Act, 2013. However, the Company is paying remuneration to its Executive Directors which is disclosed as above. The Executive Directors are not accepting any remuneration from September-2019 till date)

B. Remuneration to other Directors:

Sl. No.	Particulars of Remuneration	Name of Directors			Total Amount
1	Independent Directors	Alok Prasad	Murali Venkataraman	Ina Malhotra	
	Fee for attending board committee meetings	3,00,000	12,00,000	10,00,000	25,00,000
	Commission	-	-	-	-
	Others, please specify	-	-	-	-
	Total (1)	3,00,000	12,00,000	10,00,000	25,00,000
2	Other Non-Executive Directors	-	-	-	-
	Fee for attending board committee meetings	-	-	-	-
	Commission	-	-	-	-
	Others, please specify	-	-	-	-
	Total (2)	-	-	-	-
	Total (B)=(1+2)	3,00,000	12,00,000	10,00,000	25,00,000
	Total Managerial Remuneration	3,00,000	12,00,000	10,00,000	25,00,000
	Overall Ceiling as per the Act	-	-	-	-

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

(Amount in Rs.)

Sl. No.	Particulars of Remuneration	Key Managerial Personnel	
		Manoranjan Biswal (CS)	Total
1	Gross salary	12,00,000	12,00,000
	(a) Salary as per provisions contained in section 17(1) of the Income-tax Act, 1961	12,00,000	12,00,000
	(b) Value of perquisites u/s 17(2) Income-tax Act, 1961	NIL	NIL
	(c) Profits in lieu of salary under section 17(3) Income-tax Act, 1961	NIL	NIL
2	Stock Option	NIL	NIL
3	Sweat Equity	NIL	NIL
4	Commission	NIL	NIL
	- as % of profit	NIL	NIL
	Others, specify...	NIL	NIL
5	Others, please specify	NIL	NIL
	Total	12,00,000	12,00,000

VII. Penalties / Punishment/ Compounding of Offences: NOT APPLICABLE

Type	Section of the Companies Act	Brief Description	Details of Penalty / Punishment/ Compounding fees imposed	Authority [RD / NCLT/ COURT]	Appeal made, if any (give Details)
A. Company					
Penalty	Not Applicable				
Punishment					
Compounding					
B. Directors					
Penalty	Not Applicable				
Punishment					
Compounding					
C. Other Officers In Default					

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Penalty	Not Applicable
Punishment	
Compounding	

For and on behalf of the Board of Directors

For CapFloat Financial Services Private Limited

 Director / Authorised Signatory

Gaurav Dinesh Hinduja

Director

DIN: 01264801

Place: Bangalore

Date: 20.09.2021

For CapFloat Financial Services Private Limited



Director / Authorised Signatory

Sashank R Rishyasringa

Director

DIN: 06466985

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