

Annexure - I

FORM NO. MGT 9

EXTRACT OF ANNUAL RETURN

As on financial year ended on 31/03/2021

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	L51109MH1982PLC319008
2.	Registration Date	17 th July, 1982
3.	Name of the Company	Authum Investment & Infrastructure Limited
4.	Category/Sub-category of the Company	Public Company/Limited by Shares
5.	Address of the Registered office& contact details	707, Raheja Centre, Free Press Journal Marg, Nariman Point, Mumbai – 400021. Phone No. 022-61472117 Web Address: www.authum.com Email ID: info@authum.com
6.	Address of the Corporate office & contact details	Same as Registered Office address
7.	Whether listed company	Yes
8.	Name, Address & contact details of the Registrar & Transfer Agent, if any.	Maheshwari Datamatics Private Limited. 23, R.N. Mukherjee Road, 5 th Floor, Kolkata – 700001. Ph. No. :(033) 2248-2248

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)

Sr. No.	Name and Description of main products / services	NIC Code of the Product/ Service	% to total turnover of the Company
1	Other financial service activities, except insurance and pension funding activities	64990	100

III. PARTICULARS OF HOLDING, SUBSIDIARY AND ASSOCIATE COMPANIES

Sr. No.	Name & Address of the Company	CIN/GLN	Holding/Subsidiary /Associate	% of Shares Held	Applicable Section
1	NOT APPLICABLE				

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 31-March-2020]				No. of Shares held at the end of the year [As on 31-March-2021]				% Change during the year
	Demat	Physical	Total	% of Total Shares	Demat	Physical	Total	% of Total Shares	
A. Promoters									
(1) Indian									
a) Individual/ HUF	86,15,906	-	86,15,906	74.74	1,10,90,906	-	1,10,90,906	68.72	-6.02
b) Central Govt	-	-	-	-	-	-	-	-	-
c) State Govt(s)	-	-	-	-	-	-	-	-	-
d) Bodies Corp.	-	-	-	-	-	-	-	-	-
e) Banks / FI	-	-	-	-	-	-	-	-	-
f) Any other	-	-	-	-	-	-	-	-	-
(2) Foreign	-	-	-	-	-	-	-	-	-
Total shareholding of Promoter	86,15,906	-	86,15,906	74.74	1,10,90,906	-	1,10,90,906	68.72	-6.02
A = A(1) + A(2)									

Category of Shareholders	No. of Shares held at the beginning of the year [As on 31-March-2020]				No. of Shares held at the end of the year [As on 31-March-2021]				% Change during the year
	Demat	Physical	Total	% of Total Shares	Demat	Physical	Total	% of Total Shares	
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) FIs	-	-	-	-	-	-	-	-	-
h) Foreign Venture Capital Funds	-	-	-	-	-	-	-	-	-
i) Others (specify)	-	-	-	-	-	-	-	-	-
Alternate Investment Funds	-	-	-	-	-	-	-	-	-
Foreign Portfolio Investors	-	-	-	-	9,72,864	-	9,72,864	6.03	6.03
Provident Funds/Pension Funds	-	-	-	-	-	-	-	-	-
Qualified Foreign Investor	-	-	-	-	-	-	-	-	-
Sub-total(B)(1):-	-	-	-	-	9,72,864	-	9,72,864	6.03	6.03
2. Non-Institutions									
a) Bodies Corp.									
i) Indian	15,36,027	-	15,36,027	13.32	26,64,116	-	26,64,116	16.51	3.19
ii) Overseas	-	-	-	-	50	-	50	0.00	0.00
b) Individuals									
i) Individual shareholders holding nominal share capital upto ₹ 1 lakh	1,19,957	-	1,19,957	1.04	95,054	-	95,054	0.59	-0.45
ii) Individual shareholders holding nominal share capital in excess of ₹1 lakh	12,36,828	-	12,36,828	10.73	12,98,745	-	12,98,745	8.05	-2.68
c) Others (specify)	-	-	-	-	-	-	-	-	-
Non-Resident Indians	1,820	-	1,820	0.02	1	-	1	0.00	-0.02
Overseas Corporate Bodies	-	-	-	-	50	-	50	0.00	0.00
Investor Education and Protection Fund Authority	17,550	-	17,550	0.15	17,550	-	17,550	0.11	-0.04
Clearing Members	2	-	2	0.00	40	-	40	0.00	0.00
Trusts	-	-	-	-	-	-	-	-	-
Foreign Bodies – D R	-	-	-	-	-	-	-	-	-
NBFC Registered with RBI	-	-	-	-	-	-	-	-	-
Sub-total(B)(2):-	29,12,184	-	29,12,184	25.26	40,75,556	-	40,75,556	25.25	-0.01
Total Public Shareholding (B)=(B)(1)+ (B)(2)	29,12,184	-	29,12,184	25.26	50,48,420	-	50,48,420	31.28	6.02
C. Shares held by Custodian for GDRs & ADRs									
Grand Total (A+B+C)	1,15,28,090	-	1,15,28,090	100.00	1,61,39,326	-	1,61,39,326	100.00	0.00

* During the year under review, your Company has issued and allotted 46,11,236 Equity Shares on Rights Basis to the existing shareholders of the Company in the ratio of 2:5

B) Shareholding of Promoter-

Sr. No.	Shareholder's Name	Shareholding at the beginning of the year			Shareholding at the end of the year			% 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	Alpana Dangi	86,15,906	74.74	0	1,10,90,906	68.72	0	-6.02
2	Mentor Capital Limited	-	-	-	-	-	-	-
Total		86,15,906	74.74	0	1,10,90,906	68.72	0	-6.02

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

Sr. No	Particulars	Shareholding at the beginning of the year		Cumulative Shareholding during the year	
		No. of shares	% of total shares of the company	No. of shares	% of total shares of the company
1	Alpana Dangi				
	At the beginning of the year	86,15,906	74.74	-	-
	Transfer on 26/03/2021 (Purchase-Rights)	24,75,000		1,10,90,906	68.72
	At the end of the year	-	-	1,10,90,906	68.72

D) Shareholding Pattern of top ten Shareholders:

(Other than Directors, Promoters and Holders of GDRs and ADRs):

Sr. No	Name	Shareholding		Increase/ Decrease in Shareholding	Cumulative Shareholding during the year	
		No. of shares	% of total shares of the company		No. of shares	% of total shares of the company
1	Cosmos Heights & Developers LLP *					
	01/04/2020	0	0	-	0	0
	15/01/2021	2,39,900	2.0810	Purchased on 15/01/2021 – 2,39,900	2,39,900	2.0810
	31/03/2021	7,40,000	4.5851	Purchased on 31/03/2021 – 7,40,000	9,79,900	6.0715
2	Nexpact Limited *					
	01/04/2020	0	0	-	0	0
	10/07/2020	5,75,919	4.9958	Purchased on 10/07/2020 – 5,75,919	5,75,919	4.9958
	31/03/2021	2,25,000	1.3941	Purchased on 31/03/2021 – 2,25,000	8,00,919	4.9625
3	Nariman Investment Holdings Private Limited *					
	01/04/2020	1,64,004	1.4226	-	-	-
	26/06/2020	6	0.0001	Sold on 26/06/2020 – (6)	1,63,998	1.4226
	03/07/2020	10	0.0001	Sold on 03/07/2020 – (10)	1,63,988	1.4225
	17/07/2020	1,500	0.0130	Sold on 17/07/2020 – (1,500)	1,62,488	1.4095
	31/03/2021	5,83,656	3.6164	Purchased on 31/03/2021 – 5,83,656	7,46,144	4.6231
4	Gogia Capital Services Limited *					
	01/04/2020	-	-	-	-	-
	03/07/2020	6,21,879	5.3945	Purchase on 03/07/2020 – 6,21,879	6,21,879	5.3945
	31/03/2021	6,21,879	3.8532	-	6,21,879	3.8532
5	Prithviraj Saremal Kothari *					
	01/04/2020	2,70,000	2.3421		-	-
	31/03/2021	2,70,000	1.6729		2,70,000	1.6729
6	Namita Ketan Kothari *					
	01/04/2020	2,60,572	2.2603		-	-
	31/03/2021	2,60,572	1.6145		2,60,572	1.6145
7	Shradha Manish Mehta *					
	01/04/2020	-	-	-	-	-
	25/09/2020	33,753	0.2928	Purchase on 25/09/2020 – 33,753	33,753	0.2928
	16/10/2020	86	0.0007	Purchase on 16/10/2020 – 86	33,839	0.2935
	23/10/2020	1,065	0.0092	Purchase on 23/10/2020 – 1,065	34,904	0.3028
	30/10/2020	1,021	0.0089	Purchase on 30/10/2020 – 1,021	35,925	0.3116
	25/12/2020	7,500	0.0651	Purchase on 25/12/2020 – 7,500	43,425	0.3767
	31/12/2020	17,099	0.1483	Purchase on 31/12/2020 – 17,099	60,524	0.5250
	31/03/2021	1,00,000	0.6196	Purchase on 31/03/2021 – 1,00,000	1,60,524	0.9946

Sr. No	Name	Shareholding		Increase/ Decrease in Shareholding	Cumulative Shareholding during the year	
		No. of shares	% of total shares of the company		No. of shares	% of total shares of the company
8	Jamish Investment Private Limited *					
	01/04/2020	-	-	-	-	-
	10/07/2020	6,957	0.0603	Purchase on 10/07/2020 – 6,957	6,957	0.0603
	17/07/2020	436	0.0038	Purchase on 17/07/2020 – 436	7,393	0.0641
	24/07/2020	3,50,887	3.0438	Purchase on 24/07/2020 – 3,50,887	3,58,280	3.1079
	14/08/2020	1,603	0.0139	Purchase on 14/08/2020 – 1,603	3,59,883	3.1218
	21/08/2020	2,612	0.0227	Purchase on 21/08/2020 – 2,612	3,62,495	3.1444
	28/08/2020	680	0.0059	Purchase on 28/08/2020 – 680	3,63,175	3.1503
	11/09/2020	330	0.0029	Purchase on 11/09/2020 – 330	3,63,505	3.1532
	18/09/2020	84	0.0007	Sold on 18/09/2020 – (84)	3,63,421	3.1525
	25/09/2020	1,926	0.0167	Purchase on 25/09/2020 – 1,926	3,65,347	3.1692
	30/09/2020	300	0.0026	Purchase on 30/09/2020 – 300	3,65,647	3.1718
	02/10/2020	134	0.0012	Purchase on 02/10/2020 – 134	3,65,781	3.1730
	09/10/2020	1,490	0.0129	Purchase on 09/10/2020 – 1,490	3,67,271	3.1859
	16/10/2020	2,383	0.0207	Purchase on 16/10/2020 – 2,383	3,69,654	3.2066
	30/10/2020	1,209	0.0105	Purchase on 30/10/2020 – 1,209	3,70,863	3.2170
	06/11/2020	1,131	0.0098	Purchase on 06/11/2020 – 1,131	3,71,994	3.2268
	04/12/2020	25,000	0.2169	Sold on 04/12/2020 – (25,000)	3,46,994	3.0100
	18/12/2020	728	0.0063	Purchase on 18/12/2020 – 728	3,47,722	3.0163
	31/12/2020	30	0.0003	Purchase on 31/12/2020 – 30	3,47,752	3.0166
	01/01/2021	409	0.0035	Purchase on 01/01/2021 – 409	3,48,161	3.0201
	08/01/2021	429	0.0037	Purchase on 08/01/2021 – 429	3,48,590	3.0238
	15/01/2021	1,89,714	1.6457	Sold on 15/01/2021 – (1,89,714)	1,58,876	1.3782
	31/03/2021	1,58,876	0.9844	-	1,58,876	0.9844
9	Gyanchand Surajmal Mehta *					
	01/04/2020	-	-	-	-	-
	25/09/2020	29,511	0.2560	Purchase on 25/09/2020 – 29,511	29,511	0.2560
	31/12/2020	18,900	0.1639	Purchase on 31/12/2020 – 18,900	48,411	0.4199
	31/03/2021	1,00,000	0.6196	Purchase on 31/03/2021 – 1,00,000	1,48,411	0.9196
10	Preeti Jain Nainutia *					
	01/04/2020	-	-	-	-	-
	04/12/2020	25,000	0.2169	Purchase on 04/12/2020 – 25,000	25,000	0.2169
	31/03/2021	89,797	0.5564	Purchase on 31/03/2021 – 89,797	1,14,797	0.7113
11	Edelweiss Custodial Services Limited #					
	01/04/2020	1,09,090	0.9463	-	-	-
	31/03/2021	1,09,090	0.6759	-	1,09,090	0.6759
12	Anil Kumar Chhajer #					
	01/04/2020	1,14,000	0.9889	-	-	-
	15/01/2021	50,000	0.4337	Sold on 15/01/2021 – (50,000)	64,000	0.5552
	31/03/2021	30,000	0.1859	Purchase on 31/03/2021 – 30,000	94,000	0.5824
13	Kamal Kishore Somani #					
	01/04/2020	1,90,850	1.6555	-	-	-
	19/06/2020	100	0.0009	Purchase on 19/06/2020 – 100	1,90,950	1.6564
	26/06/2020	200	0.0017	Purchase on 26/06/2020 – 200	1,91,150	1.6581
	30/06/2020	99,990	0.8674	Sold on 30/06/2020 – (99,990)	91,160	0.7908
	03/07/2020	1,500	0.0130	Purchase on 03/07/2020 – 1,500	92,660	0.8038
	10/07/2020	28	0.0002	Purchase on 10/07/2020 – 28	92,688	0.8040
	17/07/2020	34,502	0.2993	Sold on 17/07/2020 – (34,502)	58,186	0.5047
	31/07/2020	110	0.0010	Purchase on 31/07/2020 – 110	58,296	0.5057
	21/08/2020	95	0.0008	Purchase on 21/08/2020 – 95	58,391	0.5065
	25/09/2020	6,000	0.0520	Sold on 25/09/2020 – (6,000)	52,391	0.4545
	16/10/2020	10	0.0001	Purchase on 16/10/2020 – 10	52,401	0.4546
	31/03/2021	20,960	0.1299	Purchase on 31/03/2021 – 20,960	73,361	0.4545

Sr. No	Name	Shareholding		Increase/ Decrease in Shareholding	Cumulative Shareholding during the year	
		No. of shares	% of total shares of the company		No. of shares	% of total shares of the company
14	Sps Multi-Commodity LLP #					
	01/04/2020	1,00,000	0.8674	-	-	-
	18/12/2020	21,555	0.1870	Sold on 18/12/2020 – (21,555)	78,445	0.6805
	25/12/2020	7,650	0.0664	Sold on 25/12/2020 – (7,650)	70,795	0.6141
	31/12/2020	408	0.0035	Sold on 31/12/2020 – (408)	70,387	0.6106
	08/01/2021	400	0.0035	Sold on 08/01/2021 – (400)	69,987	0.6071
	15/01/2021	300	0.0026	Sold on 15/01/2021 – (300)	69,687	0.6045
	12/02/2021	36,880	0.3199	Sold on 12/02/2021 – (36,880)	32,807	0.2846
	26/02/2021	150	0.0013	Sold on 26/02/2021 – (150)	32,657	0.2833
	12/03/2021	486	0.0042	Sold on 12/03/2021 – (486)	32,171	0.2791
	31/03/2021	15,138	0.0938	Purchase on 31/03/2021 – 15,138	47,309	0.2931
15	Khazana Tradelinks Pvt Ltd#					
	01/04/2020	10,85,000	9.4118	-		
	03/07/2020	5,00,000	4.3372	Sold on 03/07/2020 – (5,00,000)	585000	5.0746
	10/07/2020	4,35,000	3.7734	Sold on 10/07/2020 – (4,35,000)	150000	1.3012
	17/07/2020	1,50,000	1.3012	Sold on 17/07/2020 – (1,50,000)	0	0
	31/03/2021	0	0	-	0	0
16	Rakesh S Kathotia #					
	01/04/2020	155000	1.3445	-		
	17/07/2020	155000	1.3445	Sold on 17/07/2020 – (1,55,000)	0	0
	31/03/2021	0	0	-	0	0
17	Anil Buchasia#					
	01/04/2020	98000	0.8501	-		
	03/07/2020	98000	0.8501	Sold on 03/07/2020 – (98,000)	0	0
	31/03/2021	0	0	-	0	0

* Not in the list of Top 10 shareholders as on 01/04/2020. The same has been reflected above since the shareholder was one of the Top 10 shareholders as on 31/03/2021.

Ceased to be in the list of Top 10 shareholders as on 31/03/2021. The same is reflected above since the shareholder was one of the Top 10 shareholders as on 01/04/2020.

E) Shareholding of Directors and Key Managerial Personnel:

Sr. No.	Shareholding of each Directors and each Key Managerial Personnel	Shareholding at the beginning of the year		Cumulative Shareholding during the year	
		No. of shares	% of total shares of the company	No. of shares	% of total shares of the company
1.	Alpana Dangi				
	At the beginning of the year	86,15,906	74.74	-	-
	Date wise Increase / Decrease in Promoters Shareholding during the year specifying the reasons for increase/decrease (e.g. allotment / transfer / bonus/ sweat equity etc.):	24,75,000 [Rights Allotment on 26/03/2021(Purchase)]		1,10,90,906	68.72
	At the end of the year	-	-	1,10,90,906	68.72

Note: Mr. Navin Kumar Jain, Mr. Amit Dangi, Mr. Vimal Ajmera, Mrs. Bhaviika Jain, Mr. Ashokan Achuthan and Mr. Sanjiv Swarup, Directors of the Company, did not hold any shares at the beginning, during and at the end of the year under review.

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

	Secured Loans excluding deposits	Unsecured Loans	Deposits	Total Indebtedness
Indebtedness at the beginning of the financial year				
i) Principal Amount	49,19,71,574	13,98,14,239	0	63,17,85,813
ii) Interest due but not paid	0	2,12,221	0	2,12,221
iii) Interest accrued but not due	0	6,65,753	0	6,65,753
Total (i+ii+iii)	49,19,71,574	14,06,92,213	0	63,26,63,787
Change in Indebtedness during the financial year				
* Addition	1,67,49,07,964	51,90,19,124	0	2,19,39,27,088
* Reduction	0	0	0	0
Net Change	1,67,49,07,964	51,90,19,124	0	2,19,39,27,088
Indebtedness at the end of the financial year				
i) Principal Amount	2,16,68,79,538	65,88,33,363	0	2,82,57,12,901
ii) Interest due but not paid	1,88,41,369	9,19,08,364	0	11,07,49,733
iii) Interest accrued but not due	0	0	0	0
Total (i+ii+iii)	2,18,57,20,907	75,07,41,727	0	2,93,64,62,634

VI. REMUNERATION OF DIRECTORS AND KEY MANAGERIAL PERSONNEL-

A. Remuneration to Managing Director, Whole-time Directors and/or Manager:

Sr. No	Particulars of Remuneration	Executive Director	Whole Time Director	Total Amount
		Navin Kumar Jain	Amit Dangi	
1	Gross salary	-	36,00,000	36,00,000
	(a) Salary as per provisions contained in section 17(1) of the Income-tax Act, 1961			
	(b) Value of perquisites u/s 17(2) Income-tax Act, 1961			
	(c) Profits in lieu of salary under section 17(3) Income Tax Act, 1961			
2	Stock Option	-	-	-
3	Sweat Equity	-	-	-
4	Commission - as % of profit - others, specify	-	-	-
5	Others, please specify- Sitting Fees	-	-	-
	Total (A)	-	36,00,000	36,00,000
	Ceiling as per the Act	NA	NA	NA

* During the year, the Board of Directors in its meeting held 29th June, 2020, considered redesignation of Mr. Amit Dangi as Whole Time Director of the Company. Salary details of Mr. Amit Dangi are provided under the head of remuneration to KMP's.

B. Remuneration to other directors

Sr. No	Particulars of Remuneration	Name of Directors								Total Amount
		Barkha Agarwal*	Tapan Sodani*	Vinit Parikh#	Sanjiv Swarup#	Vimal Ajmera	Bhaviika Jain*	Ashokan Achuthan*	Alpana Dangi	
1	Independent Directors									
	Fee for attending board committee meetings	-	-	2,703	100,000	45,405	22,703	105,557	-	276,368
	Commission	-	-	-	-	-	-	-	-	-
	Others, please specify	-	-	-	-	-	-	-	-	-
	Total (1)	-	-	2,703	100,000	45,405	22,703	105,557	-	276,368

Sr. No	Particulars of Remuneration	Name of Directors								Total Amount
		Barkha Agarwal*	Tapan Sodani*	Vinit Parikh#	Sanjiv Swarup#	Vimal Ajmera	Bhaviika Jain*	Ashokan Achuthan*	Alpana Dangi	
2	Other Non-Executive Directors	-	-	-		-	-		-	-
	Fee for attending board committee meetings	-	-	-		-	-		-	-
	Commission	-	-	-		-	-		-	-
	Others, please specify	-	-	-		-	-		-	-
	Total (2)	-	-	-		-	-		-	-
	Total (B)=(1+2)	-	-	2,703	100,000	45,405	22,703	105,557	-	276,368
	Total Managerial Remuneration	-	-	2,703	100,000	45,405	22,703	105,557	-	276,368
	Overall Ceiling as per the Act	NA	NA	NA	NA	NA	NA	NA	NA	NA

* Mrs. Bhaviika Jain and Mr. Ashokan Achuthan were appointed as an additional Independent Directors of the Company w.e.f. 30/05/2020 and Mrs. Barkha Agarwal and Mr. Tapan Sodani resigned as Independent Directors w.e.f. 30/05/2020.

Mr. Sanjiv Swarup was appointed as an additional Independent Directors of the Company w.e.f. 21/10/2020 and Mr. Vinit Parikh resigned as Independent Directors w.e.f. 21/10/2020.

C. REMUNERATION TO KEY MANAGERIAL PERSONNEL OTHER THAN MD/ MANAGER/ WTD

Sr. No	Particulars of Remuneration	Key Managerial Personnel		
		Hitesh Vora, CS	Amit Dangi, CFO	Total
1	Gross salary			
	(a) Salary as per provisions contained in section 17(1) of the Income-tax Act, 1961	7,64,156	36,00,000	43,64,156
	(b) Value of perquisites u/s 17(2) Income- tax Act, 1961	-	-	-
	(c) Profits in lieu of salary under section 17(3) Income-tax Act, 1961	-	-	-
2	Stock Option	-	-	-
3	Sweat Equity	-	-	-
4	Commission	-	-	-
	- as % of profit	-	-	-
	Others specify...	-	-	-
5	Others, please specify	-	-	-
	Total	764156	36,00,000	43,64,156

VII. PENALTIES / PUNISHMENT/ COMPOUNDING OF OFFENCES:

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		NIL			
Punishment		NIL			
Compounding		NIL			
B. DIRECTORS					
Penalty		NIL			
Punishment		NIL			
Compounding		NIL			
C. OTHER OFFICERS IN DEFAULT					
Penalty		NIL			
Punishment		NIL			
Compounding		NIL			

For and on behalf of the Board of Directors

Sd/-
Amit Dangi
DIN: 06527022
Whole Time Director

Sd/-
Alpana Dangi
DIN: 01506529
Director

Place: Mumbai
Date: 27th August, 2021