

**The Companies Act, 1956 (1 of  
1956)**

**SCHEDULE V - PART II**

**(See Section 159)**

**ANNUAL RETURN**

**OF**

**ANAND RATHI SHARE AND STOCK BROKERS LIMITED**

**DATE OF AGM: 30<sup>TH</sup> SEPTEMBER, 2014**

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**Form of Annual Return of A Company Having a Share Capital**

**ANNUAL RETURN**

**The Companies Act, 1956 (1 of 1956)**

**SCHEDULE V - PART II**

**(See Section 159)**

**I. Registration Details**

Registration No.       State Code   (Refer Code List I)

Registration Date       Whether listed on  
Date Month Year recognized Stock Exchange(s)  
Y - Yes, N - No

If yes, Stock Exchange code (Totals)            
(Refer Code List 2)

AGM Held  Y- Yes, N- No Date of AGM/ Due Date        
Date Month Year

**II. Name and Registered Office Address of Company**

Company Name 

A	N	A	N	D		R	A	T	H	I		S	H	A	R	E		A	N
D		S	T	O	C	K		B	R	O	K	E	R	S		L	I	M	I
T	E	D																	

Address 

4 <sup>th</sup>	F	L	O	O	R,		S	I	L	V	E	R		M	E	T	R	O	P
O	L	I	S,		J	A	I		C	O	A	C	H		C	O	M	P	O
U	N	D,		O	P	P	O	S	I	T	E		B	I	M	B	I	S	A
R		N	A	G	A	R,		G	O	R	E	G	A	O	N		(E	A	S
T)																			

Town/City 

M	U	M	B	A	I														
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State 

M	A	H	A	R	A	S	H	T	R	A
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 Pin Code 

4	0	0	0	6	3
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Telephone with STD 

		0	2	2
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4	0	0	1	3	7	0	0
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Area Code Number

Fax Number 

		0	2	2
--	--	---	---	---

4	0	0	1	3	7	7	0
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Email Address 

amishah@rathi.com																			
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### III. Capital Structure of the Company (Amount in Rs. Thousands)

#### Authorised Share Capital Breakup

Type of Shares	No. of Shares	Nominal Value (in Rs.)
(i) Equity	- 9 7 5 0 0 0 0	- - - 1 0
(ii) Preference	- - 2 5 0 0 0 0	- - - 1 0
Total Authorised Capital		1 0 0 0 0 0

#### Issued Share Capital Breakup

Type of Shares	No. of Shares	Nominal Value (in Rs.)
(i) Equity	- 8 6 9 1 6 4 8	- - - 1 0
(ii) Preference	- - - - - - - -	- - - - - -
Total Issued Capital	8 6 9 1 6	. 4 8 0

#### Subscribed Share Capital Breakup

Type of Shares	No. of Shares	Nominal Value (in Rs.)
(i) Equity	- 8 6 9 1 6 4 8	- - - 1 0
(ii) Preference	- - - - - - - -	- - - - - -
Total Subscribed Capital	8 6 9 1 6	. 4 8 0

#### Paid-Up Share Capital Breakup

Type of Shares	No. of Shares	Nominal Value (in Rs.)
(i) Equity	- 8 6 9 1 6 4 8	- - - 1 0
(ii) Preference	- - - - - - - -	- - - - - -
Total Paid-Up Capital	8 6 9 1 6	. 4 8 0

#### Debentures Breakup

Type of Debenture	No. of Debentures	Nominal Value (in Rs.)
(i) Non-Convertible	- - - - - - - -	- - - - - -
(ii) Partly Convertible	- - - - - - - -	- - - - - -
(iii) Fully Convertible	- - - - - - - -	- - - - - -
Total Amount		- - - - - - - -

**IV. Directors / Manager / Secretary Information (Past and Present)**

[Refer Clause 6 of Part I of Schedule V]

Name	<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div>																							
	Surname												Middle Name						First Name					
Nationality	<div><div></div><div></div></div>		- Indian, F - Foreign										Date of Birth		<div><div></div><div></div></div>		<div><div></div><div></div></div>		<div><div></div><div></div></div>					
													Date		Month		Year							
Designation	<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div>																							
	C - Chairman cum Managing Director W - Whole Time Director, S - Secretary, R - Manager D - Director, M - Managing Director																							
Date of Appointment	<div><div></div><div></div></div>		<div><div></div><div></div></div>		<div><div></div><div></div></div>		Date of		<div><div></div><div></div></div>		<div><div></div><div></div></div>		<div><div></div><div></div></div>		Date of		<div><div></div><div></div></div>		<div><div></div><div></div></div>		<div><div></div><div></div></div>		<div><div></div><div></div></div>	
	Date		Month		Year		Ceasing		Date		Month		Year		Ceasing		Date		Month		Year			
Election Commission Identity Card No.	<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div>																							

**AS PER ANNEXURE I ATTACHED HEREWITH**

Name	<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div>																							
	Surname												Middle Name						First Name					
Nationality	<div><div></div><div></div></div>		- Indian, F - Foreign										Date of Birth		<div><div></div><div></div></div>		<div><div></div><div></div></div>		<div><div></div><div></div></div>					
													Date		Month		Year							
Designation	<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div>																							
	C - Chairman cum Managing Director W - Whole Time Director, S - Secretary, R - Manager D - Director, M - Managing Director																							
Date of Appointment	<div><div></div><div></div></div>		<div><div></div><div></div></div>		<div><div></div><div></div></div>		Date of		<div><div></div><div></div></div>		<div><div></div><div></div></div>		<div><div></div><div></div></div>		Date of		<div><div></div><div></div></div>		<div><div></div><div></div></div>		<div><div></div><div></div></div>		<div><div></div><div></div></div>	
	Date		Month		Year		Ceasing		Date		Month		Year		Ceasing		Date		Month		Year			
Election Commission Identity Card No.	<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div>																							

Name	<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div>																							
	Surname												Middle Name						First Name					
Nationality	<div><div></div><div></div></div>		- Indian, F - Foreign										Date of Birth		<div><div></div><div></div></div>		<div><div></div><div></div></div>		<div><div></div><div></div></div>					
													Date		Month		Year							
Designation	<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div>																							
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Date of Appointment	<div><div></div><div></div></div>		<div><div></div><div></div></div>		<div><div></div><div></div></div>		Date of		<div><div></div><div></div></div>		<div><div></div><div></div></div>		<div><div></div><div></div></div>		Date of		<div><div></div><div></div></div>		<div><div></div><div></div></div>		<div><div></div><div></div></div>		<div><div></div><div></div></div>	
	Date		Month		Year		Ceasing		Date		Month		Year		Ceasing		Date		Month		Year			
Election Commission Identity Card No.	<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div>																							

## IV. Directors /Manager / Secretary Information (Contd.)

Residential  
Address[illegible]

Town / City

[illegible]

District

[illegible]

State

[illegible]

Pin Code

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AS PER ANNEXURE I ATTACHED HEREWITH

Residential  
Address[illegible]

Town / City

[illegible]

District

[illegible]

State

[illegible]

Pin Code

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Residential  
Address[illegible]

Town / City

[illegible]

District

[illegible]

State

[illegible]

Pin Code

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Note : Additional Sheets may be attached if needed.

**V. Details of Shares / Debentures Held at Date of AGM \***

ledger Folio of Share / Debenture Holder

--	--	--	--	--	--	--	--	--	--

Share /

Debenture

Holder's Name

Surname

Middle Name

First Name

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Father's /

Husband's

Name

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Type of Share /

Debenture

☐ 1 - Equity, 2 - Preference Shares

3 - Debentures, 4 - Stock

Number of Shares /

Debentures

Held / Stock, if any

--	--	--	--	--	--	--	--	--	--

Amount per Share

(in Rs.)

--	--	--	--	--	--	--	--	--	--

**AS PER ANNEXURE II ATTACHED HERewith**

ledger Folio of Share / Debenture Holder

--	--	--	--	--	--	--	--	--	--

Share /

Debenture

Holder's Name

Surname

Middle Name

First Name

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Father's /

Husband's

Name

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Type of Share /

Debenture

☐ 1 - Equity, 2 - Preference Shares

3 - Debentures, 4 - Stock

Number of Shares /

Debentures

Held / Stock, if any

--	--	--	--	--	--	--	--	--	--

Amount per Share

(in Rs.)

--	--	--	--	--	--	--	--	--	--

ledger Folio of Share / Debenture Holder

--	--	--	--	--	--	--	--	--	--

Share /

Debenture

Holder's Name

Surname

Middle Name

First Name

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Father's /

Husband's

Name

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Type of Share /

Debenture

☐ 1 - Equity, 2 - Preference Shares

3 - Debentures, 4 - Stock

Number of Shares /

Debentures

Held / Stock, if any

--	--	--	--	--	--	--	--	--	--

Amount per Share

(in Rs.)

--	--	--	--	--	--	--	--	--	--

Note: Separate sheet may be attached if needed. If number of such shareholders exceeds 10. If so desired a text file may be submitted on a floppy or a cartridge tape in the format given in Annexure III.

V. Details of Shares / Debentures Held at date of AGM (Contd.)

Address	<input type="text"/>
	<input type="text"/>
	<input type="text"/>
Town / City	<input type="text"/>
District	<input type="text"/>
State	<input type="text"/>
Pin Code	<input type="text"/>

AS PER ANNEXURE II ATTACHED HEREWITH

Address	<input type="text"/>
	<input type="text"/>
	<input type="text"/>
Town / City	<input type="text"/>
District	<input type="text"/>
State	<input type="text"/>
Pin Code	<input type="text"/>

Address	<input type="text"/>
	<input type="text"/>
	<input type="text"/>
Town / City	<input type="text"/>
District	<input type="text"/>
State	<input type="text"/>
Pin Code	<input type="text"/>

VI. Details of Shares / Debentures Transfers since Date of last AGM (or in the case of the first return at any time since the incorporation of the Company) \*

Date of Previous  
AGM

3	0
---	---

0	9
---	---

1	3
---	---

Date of Registration  
of Transfer of Shares

Date                      Month                      Year

Type of Transfer  1 - Equity, 2 - Preference Shares  
3 - Debentures, 4 - Stock

Number of Shares /  
Debentures Transferred

--	--	--	--	--	--

Amount per Share[  
(in Rs.)

--	--	--	--	--	--

Ledger Folio of  
Transferor

--	--	--	--	--	--	--	--

Transferor's  
Name

Surname	Middle Name	First Name

Ledger Folio of Transferee

--	--	--	--	--	--	--	--

Transferee's  
Name .

Surname	Middle Name	First Name

Date of Registration  
of Transfer of Shares

Date	Month	Year

Type of Transfer  1 - Equity, 2 - Preference Shares  
3 - Debentures, 4 - Stock

Number of Shares /  
Debentures Transferred

--	--	--	--	--	--

Amount per Share  
(in Rs.)

e					
---	--	--	--	--	--

Ledger Folio of  
Transferor

--	--	--	--	--	--	--	--

Transferor's  
Name[illegible]

Ledger Folio of Transferee

--	--	--	--	--	--	--	--

Transferee's  
Name

Surname	Middle Name	First Name

**Note:** Separate sheet may be attached if needed. If number of such transactions exceed 10, if so desired a text file may be submitted on a floppy or a cartridge tape in the format given in Annexure - IV.

VII. Indebtedness of the Company (Amount in Rs. Thousands) [Secured Loans including interest outstanding / accrued but not due for payment] as on 31.03.2014

Amount

9	9	7	7	7	0
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# VIII. Equity Share Capital Breakup (Percentage of Total Equity)

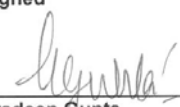
(i) Govt. [Central & State(s)]	(ii) Govt. Companies	(iii) Public Financial Institutions	(iv) Nationalised / Other Banks
- - -	- - -	- - -	- - -
(v) Mutual Funds	(vi) Venture Capital	(vii) Foreign Holdings (FILs / FCs / FFIs / NRIs / OCBs)	(viii) Bodies Corporate (Not Mentioned Above)
- - -	- - -	- - -	100%
(ix) Director/ Relatives of Directors	(x) Other top 50 Share Holders [Other than those listed above]		
-	-		

## We certify that:

- the return states the facts as they stood on the date of the annual general meeting aforesaid, correctly and completely;
- since the date of the last annual return the transfer of all shares, debentures, the issue of all further certificates of shares and debentures have been appropriately recorded in the books maintained for the purpose;
- the whole of the amounts envisaged in clauses (a) to (e) of sub section (2) of section 205C of the Companies Act, 1956 remaining unpaid or unclaimed for a period of seven years from the date they become payable by a company have been credited to the Investor Education and Protection Fund; **NA**
- the Company has not, since the date of the annual general meeting with reference to which the last return was submitted, or in the case of first return, since the date of the incorporation of the Company, issued any invitation to the public to subscribe for any shares or debentures of the Company;
- where the annual return discloses the fact that the number of members of the Company exceed fifty, the excess consists wholly of persons who under sub-clause (1) of Section 3 are not to be included in reckoning the number of fifty; **NA**
- since the date of the last annual general meeting with reference to which the last return was submitted or in the case of a first return since the date of the incorporation, of the private company, no public company or deemed public company has or have held twenty five percent, or more of its paid up share capital; **NA**
- the company did not have an average turnover of Rs. Ten Crores or more during the relevant period;
- since the date of annual general meeting with reference to which the last annual return was submitted or since the date of incorporation of the company, if it is first return, the company did not hold twenty five percent or more of the paid up share capital of one or more public companies; and
- the private company did not accept or renew or invite deposits from the public. **NA**

Signed

Managing Director:

  
Pradeep Gupta  
(DIN:00040117)

Director / Managing Director / Manager / Secretary:

  
Ami Shah

Secretary in Whole Time Practice:  
CP No.:

**Not Applicable**  
**Not Applicable**

**Note:** Certificates to be given by a Director and Manager / Secretary or by two Directors where there is no manager or secretary. In the case of a company whose shares are listed on a recognized stock exchange, the certificates shall be signed by a secretary in whole time practice.

**ANNEXURE I****Anand Rathi Share and Stock Brokers Limited****IV. Directors / Manager / Secretary Information (Past and Present)**  
**[Refer Clause 6 of Part I of Schedule V]**

Sr. No	Name of Directors	Nationality	Date of Birth	Designation	Date of Appointment	Date of Cessation	Residential Address
1.	Pradeep Kumar Gupta	Indian	20-07-67	Managing Director	22-11-91	N. A.	37A, Yashodham, Film City Road, Goregaon (East), Mumbai-400063, Maharashtra
2.	Navratanmal Gupta	Indian	13/10/29	Director	10-12-91	N. A.	37A, Yashodham Complex, Film City Road, Goregaon(East), Mumbai- 400063, Maharashtra
3.	Priti Pradeep Gupta	Indian	23-11-70	Director	06-03-04	N. A.	37A, Yashodham Complex, Film City Road, Goregaon (East), Mumbai-400063, Maharashtra
4.	Jugalkishor Mantri	Indian	05-01-72	Director	18-06-07	N. A.	A/704/5, Raheja Solitaire, Udyog Nagar, S.V. Road, Goregaon (W), Mumbai- 400062, Maharashtra
5.	Anand Rathi	Indian	25-06-46	Director	05-11-09	N. A.	274-014, Kalpataru Horizon, S. K. Ahire Marg, Worli, Mumbai-400018, Maharashtra
6.	Ami Jayesh Shah	Indian	09-10-87	Secretary	23-05-11	N.A.	7 / C / 502, Gobindchhaya Apts., Mandpeshwar Road, Near MCF Garden, Prem Nagar, Borivali (West), Mumbai - 400092, Maharashtra

**For Anand Rathi Share and Stock Brokers Limited**
  
**Pradeep Gupta**  
**Managing Director**  
(DIN: 00040117)

  
**Ami Shah**  
**Company Secretary**

**Annexure II**

**Anand Rathi Share and Stock Brokers Limited**

**V. Details of Shares / Debentures Held at the Date of AGM**

Sr. No	Shareholders Name	Father's/ Husband's Name	Type of Share	No. of Shares held	Amount per share (in Rs.)	Address
1.	Anand Rathi Financial Services Limited	N.A.	Equity	8,691,642	10	4 <sup>th</sup> Floor, Silver Metropolis, Jai Coach Compound, Opposite Bimbisar Nagar, Goregaon (East), Mumbai – 400063, Maharashtra
2.	Shri Anand Rathi*	Late Nandkishore Rathi	Equity	1	10	274-014, Kalpataru Horizon, S. K. Ahire Marg, Worli, Mumbai-400018, Maharashtra
3.	Smt. Amit Rathi*	Anand Rathi	Equity	1	10	284-15, Kalpataru Horizon, S. K. Ahire Marg, Worli, Mumbai-400018, Maharashtra
4.	Shri Pradeep Gupta*	Navratanmal Gupta	Equity	1	10	37A, Yashodham, Film City Road, Goregaon (East), Mumbai – 400063, Maharashtra
5.	Smt. Priti Gupta*	Pradeep Kumar Gupta	Equity	1	10	37A, Yashodham, Film City Road, Goregaon (East), Mumbai – 400063, Maharashtra
6.	Shri Navratan Mal Gupta*	Late Nathulal Jakhetia	Equity	1	10	37A, Yashodham, Film City Road, Goregaon (East), Mumbai – 400063, Maharashtra
7.	Smt. Sushila Devi Gupta*	Navratanmal Gupta	Equity	1	10	37A, Yashodham, Film City Road, Goregaon (East), Mumbai – 400063, Maharashtra
	<b>Total</b>			<b>8,691,648</b>	<b>10</b>	

\* As Nominee of Anand Rathi Financial Services Limited.

**For Anand Rathi Share and Stock Brokers Limited**

  
**Pradeep Gupta**  
Managing Director  
(DIN:00040117)

  
**Ami Shah**  
Company Secretary

# MINISTRY OF CORPORATE AFFAIRS

## RECEIPT

G.A.R.7

SRN : Q75150755

Service Request Date : 30/12/2015

Payment made into : HDFC Bank

### Received From :

**Name** : DHAVAL ASHAR  
**Address** : 4TH FLOOR, SILVER METROPOLIS,  
JAI COACH COMPOUND, OPP. BIMBISAR NAGAR,  
GOREGAON (EAST)  
MUMBAI, MAHARASHTRA  
400063

### Entity on whose behalf money is paid

**CIN** : U67120MH1991PLC064106  
**Name** : ANAND RATHI SHARE AND STOCK BROKERS LIMITED  
**Address** : 4TH FLOOR, SILVER METROPOLIS, JAI COACH COMPOUND  
OPPOSITE BIMBISAR NAGAR, GOREGAON (EAST)  
MUMBAI, MAHARASHTRA  
INDIA - 400063

### Full Particulars of Remittance

Service Type: eFiling

Service Description	Type of Fee	Amount(Rs.)
Fee For Form No. MGT-7	Normal	600.00
Total		600.00

Mode of Payment: Internet Banking - HDFC Bank

Received Payment Rupees: Six Hundred only