THIRDWAVE FINANCIAL INTERMEDIARIES LIMITED 29th ANNUAL REPORT 2018-2019

Annexure B

EXTRACT OF ANNUAL RETURN – Form MGT9 As on financial year ended on 31.03.2019

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	L72300WB1989PLC046886
2.	Registration Date	16/05/1989
3.	Name of the Company	THIRDWAVE FINANCIAL INTERMEDIARIES LIMITED
4.	Category/Sub-category of the Company	COMPANY LIMITED BY SHARES
5.	Address of the Registered office & contact details	601 Ambuja Neotia Ecocentre, EM-4, Sector V, Kolkata – 700 091
6.	Whether listed company	LISTED
7.	Name, Address & contact details of the Registrar & Transfer Agent, if any.	NICHE TECHNOLOGIES PRIVATE LIMITED 3A Auckland Place, Room No 7A&7B, 7 th Floor KOLKATA - 700017. PHONE NO. 03322806616/17

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)

S. No.	Name and Description of main products / services	NIC Code of the Product/service	% to total turnover of the
1	TRADING IN SHARES TRADING IN PULSES CONSULTANCY		48.45% 39.80% 11.74%

III. PARTICULARS OF HOLDING, SUBSIDIARY AND ASSOCIATE COMPANIES -

All the business activities contributing 10 % or more of the total turnover of the company shall be stated:-

			1 4
Sl. No.	Name and Description of main	NIC Code of the	% to total
	products / services	Product/ service	turnover of the
			company
1		NA	

IV. SHARE HOLDING PATTERN (Equity Share Capital Breakup as percentage of Total Equity) Category –wise Share Holding.

Category of No. of Shares held at the				No. of Sha		% change during the				
Shareholders	beginning of the year [As on					end of the year [As on				
	31-March	2018]			31-March -2019]				year	
	Demat	Physical	Total	% of Total	Demat	Physical	Total	% of Total		
				Shares				Shares		
A.PROMOTERS										
Indian										
Individual/ HUF	148910	-	148910	6.745	148910	-	148910	6.745	-	
Central Govt.	-	-	-	-	-	-	-	-	-	
State Govt(s)	-	-	-	-	-	_	-	-	-	
Bodies Corp.	858890	-	858890	38.906	858890	-	858890	38.906	-	
Banks/FI	-	-	-	-	-	-	-	-	-	
Any other	-	-	-	-	-	-	-	-	-	
Total Shareholding of Promoter (A)		-	1007800	45.651	1007800	-	1007800	45.651	-	
B. Public Shareholding										
1.Institutions										

(a)Mutual Funds	-	136200	136200	6.170	-	136200	136200	6.170	-
(b)Banks/FI	-	-	-	-	-	-	-	-	-
(c)Central Govt.	-	-	-	-	-	-	-	-	-
(d)State Govt(S)	-	-	-	-	-	-	-	-	-
(e)Venture Capital Funds	-	-	-	-	-	-	-	-	-
(f)Insurance Companies	-	-	-	-	-	-	-	-	-
(g)FIIS	-	-	-	-	-	-	-	-	-
(h)Foreign Venture	-	-	-	-	-	-	-	-	-
Capital Funds (i)Others(Specify)	-	-	-	-	-	-	-	-	-
Sub-total (B)(1) :-	-	136200	136200	6.170	-	136200	136200	6.170	-
2.Non- Institutions									
(a)Bodies Corp.									
(i)Indian	385801	10000	395801	22.459	385801	10000	395801	17.929	-
(ii)Overseas	-	-	-	-	-	-	-	-	-
(b)Individuals									
(i)Individual Shareholders holding nominal Share capital upto Rs.1 Lakh	57969	22600	80569	3.647	58667	21900	80567	3.650	-
(ii)Individual Shareholders holding nominal Share capital in excess to Rs.1 Lakh	289200	296000	585200	26.508	289200	296000	585200	26.508	-
(c)Others (Specify)	-	-	-	-	-	-	-	-	-
Non Resident Indians	-	-	-	-	-	-	-	-	-
Overseas Corporate Bodies	-	-	-	-	-	-	-	-	-
Foreign Nationals	-	-	-	-	-	-	-	-	-
Clearing Members	2030	-	2030	0.092	2032	-	2032	0.092	-
Trusts	-	-	-	-	-	-	-	-	-
Foreign Bodies – D R	-	-	-	-	-	-	-	-	-
Sub- total (B)(2) :-	735000	328600	1063600	48.179	735700	327900	1063600	48.179	-
Total Public Shareholding (B)=(B)(1) + (B)(2)	735000	464800	1199800	54.349	735700	464100	1199800	54.349	-
C.Shares held by Custodian for GDRs & ADTRs	-	-	-	-	-	-	-	-	-
Grand Total (A+B+C)	1742800	464800	2207600	100.00	1743500	464100	2207600	100.00	

B. Shareholding of Promoter:-

S	Shareholder's Name	Shareholding at the beginning of the year		Shareholding 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/ ecumbered to total shares	you
1	Siddhant Agarwal	148910	6.745	-	148910	6.745	-	-
2	Talwar Steels (P) Ltd	701890	31.794	-	-	-	-	(-)31.794 *
3	Patriach Developers (P) Ltd	-	-	-	701890	31.794	-	(+)31.794 *
3	Prudent Man & Ind Con (P) Ltd	157000	7.112	-	157000	7.112	1	-

(*) Due to amalgamation of Talwar Steels (P) Ltd with Patriach Developers (P) Ltd

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

SN	Particulars	Shareholding at beginning of the		Cumulative Sharehold year	ing during the
		No. of shares	% of total shares of the company	No. of shares	% of total shares of the company
	At the beginning of the year	1007800	45.652	1007800	45.652
	Date wise Changes during the year				
	At the end of the year	1007800	45.652	1007800	45.652

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

SN	For Each of the Top 10	I	ng at the beginning	Cumulative S	Shareholding during the	
	Shareholders	of the year		year		
		No.of	% of total	No.ofshares	% of total	
		shares	shares of the		shares of the	
			company		company	
1	Agra Capitals (P) Ltd	33738	1.528	33738	1.528	
2	Hariom Agro Foods (P) Ltd	200000	9.060	200000	9.060	
3	Impression Tradelinks (P) Ltd	22000	0.997	22000	0.997	
4	J M Trustee Co Ltd	136200	6.170	136200	6.170	
5	Manav Agarwal	30000	1.359	30000	1.359	
6	Meghna Shah	25000	1.132	25000	1.132	
7	Nirmal Kumar Agarwal	40000	1.812	40000	1.812	
8	Sanjay Kumar Agarwal	100000	4.530	100000	4.530	
9	Sapna Agarwal	99200	4.494	99200	4.494	
10	Utsav Industries (P) Ltd	96383	4.366	96383	4.366	
	At the end of the year	882521	39.976	882521	39.976	

E) Shareholding of Directors and Key Managerial Personnel:

SN	Shareholding of each Directors and each Key Managerial Personnel	Sharehold beginning	ing at the of the year	Cumulativ	ve Shareholding during the year
		No.of	% of total	No. of	% of total
		shares	shares of	shares	shares of the
			the		company
			company		
1	None				
	At the beginning of the year	-	-	-	
	Date wise Increase / Decrease in	-	-	-	
	Promoters Shareholding during the	-			
	year specifying the reasons for				
	increase /decrease (e.g. allotment /				
	transfer / bonus/ sweat equity etc.):				
	At the end of the year	-	-	-	

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

	Secured Loans Excluding deposits	Unsecured Loans	Deposit	Total Indebtedness
Indebtedness at the beginning of the financial year				
i) Principal Amount	-	87,00,000	-	87,00,000
ii) Interest accrued but not paid	-	-	-	-
iii) Interest accrued but not due	-	-	-	-
Total (i+ii+iii)	-	87,00,000	-	-
Change in Indebtedness during the financial year				
* Addition	-	-	-	-
* Reduction	-	12,00,000	-	-
Net Change	-	-	-	-
Indebtedness at the end of the financial year				
i) Principal Amount	-	-	-	-
ii) Interest due but not paid		-	-	
iii) Interest accrued but not due	-	_	-	-
TOTAL (i+ii+iii)	-	75,00,000	-	75,00,000

VI. REMUNERATION OF DIRECTORS AND KEY MANAGERIAL PERSONNEL-

A. Remuneration to Managing Director, Whole-time Directors and/or Manager (Rs.)

SN.	Particulars of Remuneration	Na	ame of MD/W	•	Total Amount	
		MD	WTD			
1	Gross salary					
	(a) Salary as per provisions contained in section 17(1) of the Income-tax Act, 1961	750000/-	-	-	-	7,50,000/-
	(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	St. L.O.	l I		İ	ĺ	1
2	Stock Option	-	_	-	-	-
3	Sweat Equity	-	-	-	-	-
4	Commission - as % of profit - others, specify	-	-	-	-	-
5	Others, please specify	-	-	=	-	-
	Total (A)	-	-	-	-	-

VI. REMUNERATION OF DIRECTORS AND KEY MANAGERIAL PERSONNEL-

B. Remuneration to other directors : (Rs.)

Ceiling as per the Act

SN.	Particulars of Remuneration		Name of Directors			Total Amount
1	Independent Directors	-	-	-	-	-
	Fee for attending board committee meetings	-	-	-	-	-
	Commission	-	-	-	-	-
	Others, please specify	-	-	-	-	-
	Total (1)	-	-	-	-	-
2	Other Non-Executive Directors	-	-	-	-	-
	Fee for attending board committee meetings	-	-	-	-	-

VI. REMUNERATION OF DIRECTORS AND KEY MANAGERIAL PERSONNEL-B.Remuneration to other directors :

(Rs.)

SN.	Particulars of Remuneration	Name of Directors				Total Amount
	Commission	-	-	-	-	-
	Others, Please Specify	-	-	-	-	-
	Total (2)	-	-	-	-	-
	Total (B) = $(1+2)$	-	-	-	-	-
	Total Managerial Remuneration	-	-	-	-	-
	Overall Ceiling as per Act	-	-	-	-	-

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

SN	Particulars of Remuneration	Key Managerial Personnel						
		CEO	CS	CFO	Total			
	Gross salary	-	83,702	92,404	1,76,106/-			
	(a) Salary as per provisions contained in section 17(1) of the Income-tax Act, 1961	-	-	-	-			
	(b) Value of perquisites u/s 17(2) Incometax 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	-	83,702	68,326	1,76,106/-			

VII. PENALTIES / PUNISHMENT/ COMPOUNDING OF OFFENCES:

Type	Section of	Brief	Details of	Authority	Appeal made, if any					
	The	Description	Penalty/	[RD/NCLT/COURT]	(give Details)					
	CompaniesAct		Punishment/							
			Compounding							
			fees imposed							
A.COMPANY										
Penalty	-	-	-	-	-					
Punsihment	-	-	-	-	-					
Compounding	-	-	-	-	-					
B.DIRECTORS	}									
Penalty	-	-	-	-	-					
Punsihment	-	-	-	-	-					
Compounding	-	-	-	-	-					
C.OTHER OFFICERS IN DEFAULT										
Penalty	-	-	-	-	-					
Punsihment	-	-	-	-	-					
Compounding	-	-	-	-	-					

Place : Kolkata For and on behalf of the Board Dated : 23rd Day of May, 2019 Suman Agarwal (DIN : 06955583) For and on behalf of the Board Vinay Kumar Agarwal (DIN: 00149999)