

FORM NO. MGT-7

[Pursuant to sub-Section(1) of section 92 of the Companies Act, 2013 and sub-rule (1) of rule 11of the Companies (Management and Administration) Rules, 2014]



Annual Return

Form language English Hindi

Refer the instruction kit for filing the form.

I. REGISTRATION AND OTHER DETAILS

(i) * Corporate Identification Number (CIN) of the company

U67120MH1993PLC073185

Pre-fill

Global Location Number (GLN) of the company

* Permanent Account Number (PAN) of the company

AAACI1958G

(ii) (a) Name of the company

INDSEC SECURITIES AND FINAI

(b) Registered office address

301/302, "215 ATRIUM"
ANDHERI KURLA ROAD, CHAKALA, ANDHERI (EAST)
MUMBAI
Mumbai City
Maharashtra
400022

(c) *e-mail ID of the company

taxcompliance@indsec.co.in

(d) *Telephone number with STD code

02261146100

(e) Website

www.indsec.co.in

(iii) Date of Incorporation

28/07/1993

(iv)	Type of the Company	Category of the Company	Sub-category of the Company
	Public Company	Company limited by shares	Indian Non-Government company

(v) Whether company is having share capital

Yes No

(vi) *Whether shares listed on recognized Stock Exchange(s)

Yes No

(b) CIN of the Registrar and Transfer Agent

U67190MH1999PTC118368

Pre-fill

Name of the Registrar and Transfer Agent

LINK INTIME INDIA PRIVATE LIMITED

Registered office address of the Registrar and Transfer Agents

C-101, 1st Floor, 247 Park,
Lal Bahadur Shastri Marg, Vikhroli (West)

(vii) *Financial year From date (DD/MM/YYYY) To date (DD/MM/YYYY)

(viii) *Whether Annual general meeting (AGM) held Yes No

(a) If yes, date of AGM

(b) Due date of AGM

(c) Whether any extension for AGM granted Yes No

II. PRINCIPAL BUSINESS ACTIVITIES OF THE COMPANY

*Number of business activities

S.No	Main Activity group code	Description of Main Activity group	Business Activity Code	Description of Business Activity	% of turnover of the company
1	K	Financial and insurance Service	K7	Financial Advisory, brokerage and Consultancy Services	98.36
2	K	Financial and insurance Service	K8	Other financial activities	1.64

III. PARTICULARS OF HOLDING, SUBSIDIARY AND ASSOCIATE COMPANIES (INCLUDING JOINT VENTURES)

*No. of Companies for which information is to be given

Pre-fill All

S.No	Name of the company	CIN / FCRN	Holding/ Subsidiary/Associate/ Joint Venture	% of shares held
1				

IV. SHARE CAPITAL, DEBENTURES AND OTHER SECURITIES OF THE COMPANY

(i) *SHARE CAPITAL

(a) Equity share capital

Particulars	Authorised capital	Issued capital	Subscribed capital	Paid up capital
Total number of equity shares	10,000,000	9,855,147	9,855,147	9,855,147
Total amount of equity shares (in Rupees)	100,000,000	98,551,470	98,551,470	98,551,470

Number of classes

1

Class of Shares	Authorised capital	Issued capital	Subscribed capital	Paid up capital
Equity shares				
Number of equity shares	10,000,000	9,855,147	9,855,147	9,855,147
Nominal value per share (in rupees)	10	10	10	10
Total amount of equity shares (in rupees)	100,000,000	98,551,470	98,551,470	98,551,470

(b) Preference share capital

Particulars	Authorised capital	Issued capital	Subscribed capital	Paid-up capital
Total number of preference shares	30,000,000	23,620,098	23,620,098	23,620,098
Total amount of preference shares (in rupees)	300,000,000	236,200,980	236,200,980	236,200,980

Number of classes

1

Class of shares	Authorised capital	Issued capital	Subscribed capital	Paid up capital
8% Redeemable Cumulative Preference shares				
Number of preference shares	30,000,000	23,620,098	23,620,098	23,620,098
Nominal value per share (in rupees)	10	10	10	10
Total amount of preference shares (in rupees)	300,000,000	236,200,980	236,200,980	236,200,980

(c) Unclassified share capital

Particulars	Authorised Capital
Total amount of unclassified shares	0

(d) Break-up of paid-up share capital

Class of shares	Number of shares	Total nominal amount	Total Paid-up amount	Total premium
Equity shares				
At the beginning of the year	9,855,147	98,551,470	98,551,470	
Increase during the year	0	0	0	0
i. Public Issues	0	0	0	0
ii. Rights issue	0	0	0	0
iii. Bonus issue	0	0	0	0
iv. Private Placement/ Preferential allotment	0	0	0	0

v. ESOPs	0	0	0	0
vi. Sweat equity shares allotted	0	0	0	0
vii. Conversion of Preference share	0	0	0	0
viii. Conversion of Debentures	0	0	0	0
ix. GDRs/ADRs	0	0	0	0
x. Others, specify				
Decrease during the year	0	0	0	0
i. Buy-back of shares	0	0	0	0
ii. Shares forfeited	0	0	0	0
iii. Reduction of share capital	0	0	0	0
iv. Others, specify				
At the end of the year	9,855,147	98,551,470	98,551,470	
Preference shares				
At the beginning of the year	23,620,098	236,200,980	236,200,980	
Increase during the year	0	0	0	0
i. Issues of shares	0	0	0	0
ii. Re-issue of forfeited shares	0	0	0	0
iii. Others, specify				
Decrease during the year	0	0	0	0
i. Redemption of shares	0	0	0	0
ii. Shares forfeited	0	0	0	0
iii. Reduction of share capital	0	0	0	0
iv. Others, specify				
At the end of the year	23,620,098	236,200,980	236,200,980	

(ii) Details of stock split/consolidation during the year (for each class of shares)

0

Class of shares		(i)	(ii)	(iii)
Before split / Consolidation	Number of shares			
	Face value per share			
After split / Consolidation	Number of shares			
	Face value per share			

(iii) Details of shares/Debentures Transfers since closure date of last financial year (or in the case of the first return at any time since the incorporation of the company) *

- Nil
 [Details being provided in a CD/Digital Media] Yes No Not Applicable
- Separate sheet attached for details of transfers Yes No

Note: In case list of transfer exceeds 10, option for submission as a separate sheet attachment or submission in a CD/Digital Media may be shown.

Date of the previous annual general meeting		<input type="text"/>	
Date of registration of transfer (Date Month Year)		<input type="text"/>	
Type of transfer	<input type="text"/>	1 - Equity, 2- Preference Shares,3 - Debentures, 4 - Stock	
Number of Shares/ Debentures/ Units Transferred	<input type="text"/>	Amount per Share/ Debenture/Unit (in Rs.)	<input type="text"/>
Ledger Folio of Transferor		<input type="text"/>	
Transferor's Name	<input type="text"/>	<input type="text"/>	<input type="text"/>
	Surname	middle name	first name
Ledger Folio of Transferee		<input type="text"/>	
Transferee's Name	<input type="text"/>	<input type="text"/>	<input type="text"/>
	Surname	middle name	first name

Date of registration of transfer (Date Month Year) <input type="text"/>			
Type of transfer	<input type="text"/>	1 - Equity, 2- Preference Shares,3 - Debentures, 4 - Stock	
Number of Shares/ Debentures/ Units Transferred	<input type="text"/>	Amount per Share/ Debenture/Unit (in Rs.)	<input type="text"/>
Ledger Folio of Transferor		<input type="text"/>	
Transferor's Name	<input type="text"/>	<input type="text"/>	<input type="text"/>
	Surname	middle name	first name
Ledger Folio of Transferee		<input type="text"/>	
Transferee's Name	<input type="text"/>	<input type="text"/>	<input type="text"/>
	Surname	middle name	first name

(iv) *Indebtedness including debentures (Outstanding as at the end of financial year)

Particulars	Number of units	Nominal value per unit	Total value
Non-convertible debentures	0	0	0
Partly convertible debentures	0	0	0
Fully convertible debentures	0	0	0
Secured Loans (including interest outstanding/accrued but not due for payment) excluding deposits			0
Unsecured Loans (including interest outstanding/accrued but not due for payment) excluding deposits			0
Deposit			0
Total			0

Details of debentures

Class of debentures	Outstanding as at the beginning of the year	Increase during the year	Decrease during the year	Outstanding as at the end of the year
Non-convertible debentures	0	0	0	0
Partly convertible debentures	0	0	0	0
Fully convertible debentures	0	0	0	0

(v) Securities (other than shares and debentures)

0

Type of Securities	Number of Securities	Nominal Value of each Unit	Total Nominal Value	Paid up Value of each Unit	Total Paid up Value
Total					

V. *Turnover and net worth of the company (as defined in the Companies Act, 2013)**(i) Turnover**

36,729,015

(ii) Net worth of the Company

394,708,218

VI. (a) *SHARE HOLDING PATTERN - Promoters

S. No.	Category	Equity	Preference
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		Number of shares	Percentage	Number of shares	Percentage
1.	Individual/Hindu Undivided Family				
	(i) Indian	9,855,143	100	0	0
	(ii) Non-resident Indian (NRI)	0	0	0	0
	(iii) Foreign national (other than NRI)	0	0	0	0
2.	Government				
	(i) Central Government	0	0	0	0
	(ii) State Government	0	0	0	0
	(iii) Government companies	0	0	0	0
3.	Insurance companies	0	0	0	0
4.	Banks	0	0	0	0
5.	Financial institutions	0	0	0	0
6.	Foreign institutional investors	0	0	0	0
7.	Mutual funds	0	0	0	0
8.	Venture capital	0	0	0	0
9.	Body corporate (not mentioned above)	0	0	0	0
10.	Others	0	0	0	0
	Total	9,855,143	100	0	0

Total number of shareholders (promoters)

3

(b) *SHARE HOLDING PATTERN - Public/Other than promoters

S. No.	Category	Equity		Preference	
		Number of shares	Percentage	Number of shares	Percentage
1.	Individual/Hindu Undivided Family				
	(i) Indian	4	0	0	0
	(ii) Non-resident Indian (NRI)	0	0	0	0
	(iii) Foreign national (other than NRI)	0	0	0	0

2.	Government				
	(i) Central Government	0	0	0	0
	(ii) State Government	0	0	0	0
	(iii) Government companies	0	0	0	0
3.	Insurance companies	0	0	0	0
4.	Banks	0	0	0	0
5.	Financial institutions	0	0	0	0
6.	Foreign institutional investors	0	0	0	0
7.	Mutual funds	0	0	0	0
8.	Venture capital	0	0	0	0
9.	Body corporate (not mentioned above)	0	0	23,620,098	100
10.	Others	0	0	0	0
	Total	4	0	23,620,098	100

Total number of shareholders (other than promoters)

5

**Total number of shareholders (Promoters+Public/
Other than promoters)**

8

**VII. *NUMBER OF PROMOTERS, MEMBERS, DEBENTURE HOLDERS
(Details, Promoters, Members (other than promoters), Debenture holders)**

Details	At the beginning of the year	At the end of the year
Promoters	4	3
Members (other than promoters)	4	5
Debenture holders	0	0

VIII. DETAILS OF DIRECTORS AND KEY MANAGERIAL PERSONNEL

(A) *Composition of Board of Directors

Category	Number of directors at the beginning of the year		Number of directors at the end of the year		Percentage of shares held by directors as at the end of year	
	Executive	Non-executive	Executive	Non-executive	Executive	Non-executive

A. Promoter	1	0	1	0	0.39	0
B. Non-Promoter	1	4	1	3	0	0
(i) Non-Independent	1	1	1	1	0	0
(ii) Independent	0	3	0	2	0	0
C. Nominee Directors representing	0	0	0	0	0	0
(i) Banks & FIs	0	0	0	0	0	0
(ii) Investing institutions	0	0	0	0	0	0
(iii) Government	0	0	0	0	0	0
(iv) Small share holders	0	0	0	0	0	0
(v) Others	0	0	0	0	0	0
Total	2	4	2	3	0.39	0

Number of Directors and Key managerial personnel (who is not director) as on the financial year end date

7

(B) (i) *Details of directors and Key managerial personnel as on the closure of financial year

Name	DIN/PAN	Designation	Number of equity share(s) held	Date of cessation (after closure of financial year : If any)
NANDKISHORE HARKI	00265330	Managing Director	38,370	
MAYA HITESH GANDH	00265471	Whole-time director	1	
JAYECHUND JINGREE	00265671	Director	0	
ASHOK TIKAMDAS KU	00463526	Director	0	
RAMESH CHANDRA G	00202434	Director	0	
DIAMOND ASHOK DAN	AHIPD7196B	CFO	1	
SIDDHESHWAR ARJUN	AWHPT1655R	Company Secretary	0	

(ii) Particulars of change in director(s) and Key managerial personnel during the year

3

Name	DIN/PAN	Designation at the beginning / during the financial year	Date of appointment/ change in designation/ cessation	Nature of change (Appointment/ Change in designation/ Cessation)
RAMESH CHANDRA S	00023274	Director	12/11/2020	Cessation
HARSHITA AGARWAL	AMNPA3913F	Company Secretar	15/01/2021	Cessation
SIDDHESHWAR ARJUN	AWHPT1655R	Company Secretar	15/01/2021	Appointment

IX. MEETINGS OF MEMBERS/CLASS OF MEMBERS/BOARD/COMMITTEES OF THE BOARD OF DIRECTORS

A. MEMBERS/CLASS /REQUISITIONED/NCLT/COURT CONVENED MEETINGS

Number of meetings held

1

Type of meeting	Date of meeting	Total Number of Members entitled to attend meeting	Attendance	
			Number of members attended	% of total shareholding
Annual General Meeting	12/06/2020	8	6	25

B. BOARD MEETINGS

*Number of meetings held

4

S. No.	Date of meeting	Total Number of directors associated as on the date of meeting	Attendance	
			Number of directors attended	% of attendance
1	22/05/2020	6	5	83.33
2	15/09/2020	6	5	83.33
3	02/12/2020	5	5	100
4	09/03/2021	5	5	100

C. COMMITTEE MEETINGS

Number of meetings held

8

S. No.	Type of meeting	Date of meeting	Total Number of Members as on the date of the meeting	Attendance	
				Number of members attended	% of attendance
1	AUDIT COMM	22/05/2020	3	3	100
2	AUDIT COMM	02/12/2020	3	3	100
3	AUDIT COMM	09/03/2021	3	3	100

S. No.	Type of meeting	Date of meeting	Total Number of Members as on the date of the meeting	Attendance	
				Number of members attended	% of attendance
4	NOMINATION	22/05/2020	3	3	100
5	NOMINATION	02/12/2020	3	3	100
6	CORPORATE	06/08/2020	3	3	100
7	CORPORATE	09/03/2021	3	3	100
8	INDEPENDEN	02/12/2020	2	2	100

D. *ATTENDANCE OF DIRECTORS

S. No.	Name of the director	Board Meetings			Committee Meetings			Whether attended AGM held on
		Number of Meetings which director was entitled to attend	Number of Meetings attended	% of attendance	Number of Meetings which director was entitled to attend	Number of Meetings attended	% of attendance	21/05/2021
								(Y/N/NA)
1	NANDKISHOF	4	4	100	5	5	100	Yes
2	MAYA HITESH	4	4	100	2	2	100	Yes
3	JAYECHUND	4	4	100	2	2	100	Yes
4	ASHOK TIKAM	4	4	100	8	8	100	Yes
5	RAMESH CHA	4	4	100	6	6	100	Yes

X. *REMUNERATION OF DIRECTORS AND KEY MANAGERIAL PERSONNEL

Nil

Number of Managing Director, Whole-time Directors and/or Manager whose remuneration details to be entered

2

S. No.	Name	Designation	Gross Salary	Commission	Stock Option/Sweat equity	Others	Total Amount
1	NANDKISHORE HA	MANAGING DIR	5,800,000			162,126	5,962,126
2	MAYA HITESH GAN	WHOLE-TIME D	0			1,110,000	1,110,000
	Total		5,800,000	0	0	1,272,126	7,072,126

Number of CEO, CFO and Company secretary whose remuneration details to be entered

3

S. No.	Name	Designation	Gross Salary	Commission	Stock Option/Sweat equity	Others	Total Amount
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S. No.	Name	Designation	Gross Salary	Commission	Stock Option/ Sweat equity	Others	Total Amount
1	DIAMOND ASHOK	CFO	4,821,583			11,825	4,833,408
2	SIDDHESHWAR AF	COMPANY SEC	267,038			6,350	273,388
3	HARSHITA AGARV	COMPANY SEC	625,445			9,379	634,824
	Total		5,714,066	0	0	27,554	5,741,620

Number of other directors whose remuneration details to be entered

2

S. No.	Name	Designation	Gross Salary	Commission	Stock Option/ Sweat equity	Others	Total Amount
1	RAMESH CHANDR	INDEPENDENT	0	0	0	50,000	50,000
2	ASHOK TIKAMDAS	INDEPENDENT	0	0	0	50,000	50,000
	Total		0	0	0	100,000	100,000

XI. MATTERS RELATED TO CERTIFICATION OF COMPLIANCES AND DISCLOSURES

* A. Whether the company has made compliances and disclosures in respect of applicable provisions of the Companies Act, 2013 during the year Yes No

B. If No, give reasons/observations

XII. PENALTY AND PUNISHMENT - DETAILS THEREOF

(A) DETAILS OF PENALTIES / PUNISHMENT IMPOSED ON COMPANY/DIRECTORS /OFFICERS Nil

Name of the company/ directors/ officers	Name of the court/ concerned Authority	Date of Order	Name of the Act and section under which penalised / punished	Details of penalty/ punishment	Details of appeal (if any) including present status

(B) DETAILS OF COMPOUNDING OF OFFENCES Nil

Name of the company/ directors/ officers	Name of the court/ concerned Authority	Date of Order	Name of the Act and section under which offence committed	Particulars of offence	Amount of compounding (in Rupees)

XIII. Whether complete list of shareholders, debenture holders has been enclosed as an attachment

Yes No

XIV. COMPLIANCE OF SUB-SECTION (2) OF SECTION 92, IN CASE OF LISTED COMPANIES

In case of a listed company or a company having paid up share capital of Ten Crore rupees or more or turnover of Fifty Crore rupees or more, details of company secretary in whole time practice certifying the annual return in Form MGT-8.

Name

NILESH SHAH

Whether associate or fellow

Associate Fellow

Certificate of practice number

2631

I/We certify that:

- (a) The return states the facts, as they stood on the date of the closure of the financial year aforesaid correctly and adequately.
(b) Unless otherwise expressly stated to the contrary elsewhere in this Return, the Company has complied with all the provisions of the Act during the financial year.

Declaration

I am Authorised by the Board of Directors of the company vide resolution no. ... dated

(DD/MM/YYYY) to sign this form and declare that all the requirements of the Companies Act, 2013 and the rules made thereunder in respect of the subject matter of this form and matters incidental thereto have been complied with. I further declare that:

1. Whatever is stated in this form and in the attachments thereto is true, correct and complete and no information material to the subject matter of this form has been suppressed or concealed and is as per the original records maintained by the company.
2. All the required attachments have been completely and legibly attached to this form.

Note: Attention is also drawn to the provisions of Section 447, section 448 and 449 of the Companies Act, 2013 which provide for punishment for fraud, punishment for false statement and punishment for false evidence respectively.

To be digitally signed by

Director

Digitally signed by
NANDKISHOR
E HARKISHAN
GUPTA
Date: 2021.07.16
13:46:25 +05'30'

DIN of the director

00265330

To be digitally signed by

Digitally signed by
THORAT
THORAT SIDDHESHWAR
ARJUN
Date: 2021.07.16
13:46:48 +05'30'

Company Secretary

Company secretary in practice

Membership number

57378

Certificate of practice number

Attachments

- 1. List of share holders, debenture holders
- 2. Approval letter for extension of AGM;
- 3. Copy of MGT-8;
- 4. Optional Attachment(s), if any

Attach
Attach
Attach
Attach

List of attachments

List of Shareholders_31032021.pdf Details of Share transfers_2020-21.pdf Indsec-MGT-8-Certificate.pdf

Remove attachment

Modify

Check Form

Prescrutiny

Submit

This eForm has been taken on file maintained by the Registrar of Companies through electronic mode and on the basis of statement of correctness given by the company

Company Secretaries

Ref. _____

FORM NO. MGT-8

[Pursuant to section 92(2) of the Companies Act, 2013 and rule 11(2) of Companies (Management and Administration) Rules, 2014]

CERTIFICATE BY A COMPANY SECRETARY IN PRACTICE

I have examined the registers, records and books and papers of **Indsec Securities and Finance Limited** ("the Company") as required to be maintained under the Companies Act, 2013 ("the Act") and the rules made thereunder for the financial year ended on **31st March, 2021**. In my opinion and to the best of my information and according to the examinations carried out by me and explanations furnished to me by the company, its officers and agents, I certify that:

A. the Annual Return states the facts as at the close of the aforesaid financial year correctly and adequately.

B. during the aforesaid financial year the Company has complied with provisions of the Act and Rules made there under in respect of:

Sr. No.	Particulars	Comments / Qualification / Reservation / Remarks
1	Its status under the Act;	The status of the Company is an Unlisted Public Company Limited by Shares.
2	Maintenance of registers / records and making entries therein within the time prescribed therefore;	The Company has kept and maintained registers / records as required under the Act and Rules made there under and as explained by the management, the Company has made entries therein within the time prescribed under the Act.
3	Filing of forms and returns as stated in the annual return, with the Registrar of Companies, Regional Director, Central Government, the Tribunal, Court or other authorities within/beyond the prescribed time;	<p>The Company has filed requisite forms and returns as prescribed under the Act and Rules made there under with the Registrar of Companies as applicable.</p> <p>It may be noted that the Company was not required to file any form with the Regional Director, Central Government, the Tribunal, Court or other authorities under the Companies Act, 2013.</p>



Ref.: _____

4	Calling/ convening/ holding meetings of Board of Directors or its committees, if any, and the meetings of the members of the company on due dates as stated in the annual return in respect of which meetings, proper notices were given and the proceedings including the circular resolutions and resolutions passed by postal ballot, if any, have been properly recorded in the Minute Book/registers maintained for the purpose and the same have been signed;	<p>The meetings of Board, Committees and the General Meetings were duly called, convened and held on the dates as stated in the annual return in respect of which meetings, proper notices were given and the proceedings have been properly recorded and signed in the Minute Book maintained for the purpose.</p> <p>The Company has duly complied with the provisions of the Act and Rules made there under in respect of passing of resolutions by circulation.</p> <p>The Company has not passed resolution by Postal Ballot during the year under review and hence no comment is invited in this respect.</p>
5	Closure of Register of Members / Security holders, as the case may be;	The Company was not required to and hence have not closed its Register of Member during the year under review.
6	Advances/loans to its directors and/or persons or firms or companies referred in section 185 of the Act;	The Company has not granted any advances / loans to its directors and/or persons or firms or companies in violation of section 185 of the Act.
7	Contracts/arrangements with related parties as specified in section 188 of the Act;	As explained by the management, the contracts / arrangements with related parties were entered in the ordinary course of business and at arm's length and hence the provisions of Section 188 of the Act are not attracted. There are no materially significant transactions made by the company with related parties which may have potential conflict with interest of the company at large.
8	Issue or allotment or transfer or transmission or buy back of securities/redemption of preference shares or debentures/alteration or reduction of share capital/conversion of shares / securities and issue of security certificate in all instances;	<p>The Company has duly complied with the provisions of Companies Act,2013, in respect of transfer of shares in dematerialized form.</p> <p>There are no instances of issue or allotment, transmission or buy back of securities / redemption of preference shares or debentures /</p>



Company Secretaries

Ref.: _____

		alteration or reduction of share capital / conversion of shares / securities during the financial year under review and hence no comments are invited in this regard.
9	Keeping in abeyance the rights to dividend, rights shares and bonus shares pending registration of transfer of shares in compliance with the provisions of the Act;	As informed by the management, there were no instance of keeping in abeyance the rights to dividend, rights shares and bonus shares pending registration of transfer of shares and hence no comment is invited in respect of the same.
10	Declaration/ payment of dividend; transfer of unpaid/ unclaimed dividend/other amounts as applicable to the Investor Education and Protection Fund in accordance with Section 125 of the Act;	The Company has not declared / paid any dividend during the financial year under review. As explained by the management and confirmed by the Auditors in their report, there are no unpaid / unclaimed dividend or any other amount which were required to be deposited to Investor Education and Protection Fund in accordance with Section 125 of the Act.
11	Signing of audited financial statement as per the provisions of section 134 of the Act and report of directors is as per sub - sections (3), (4) and (5) thereof;	The Company has complied with the provisions of signing of audited financial statement as per the provisions of section 134 of the Act and report of directors as per sub - sections (3), (4) and (5) thereof.
12	Constitution/ appointment/ re-appointments/ retirement/ filling up casual vacancies/ disclosure of Directors, key Managerial Personnel and remuneration paid to them;	<p>The Board of Directors of the Company is duly constituted.</p> <p>The resignation of Director was made in compliance with the provisions of the Act.</p> <p>The appointment and resignation of Key Managerial Personnel (Company Secretary) was made in compliance with the provisions of the Act.</p> <p>There was no incidence of new appointment / retirement / directors filling up casual vacancy during the financial year under review.</p>



Ref.: _____

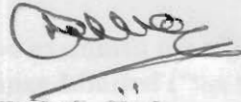
	<p>The Company has complied with the provisions relating to disclosure of Director's interest.</p> <p>The Company has complied with the provisions of Payment of Directors Remuneration in agreement with the Provisions of Section 196 / 197 and Schedule V of the Companies Act, 2013.</p> <p>The Company has appointed Key Managerial Personnel as required under section 203 of the Companies Act, 2013.</p>
13	<p>Appointment/ reappointment/ filling up casual vacancies of auditors as per the provisions of section 139 of the Act;</p> <p>The Company has complied with the provisions of Section 139 of the Act relating to appointment. There was no casual vacancy in the office of Auditor during the year and hence no comment is invited in respect of the same.</p>
14	<p>Approvals required to be taken from the Central Government, Tribunal, Regional Director, Registrar, Court or such other authorities under the various provisions of the Act;</p> <p>The Company was not required to take any approval from the Central Government, Tribunal, Regional Director, Registrar, Court or such other authorities under the various provisions of the Act and hence no comment is invited in respect of the same.</p>
15	<p>Acceptance/ renewal/ repayment of deposits;</p> <p>As informed by the management and confirmed by the auditors in their report, the Company has not accepted / renewed / repaid any deposits and hence no comment is invited.</p>
16	<p>Borrowings from its directors, members, public financial institutions, banks and others and creation/ modification/ satisfaction of charges in that respect, wherever applicable;</p> <p>The Company has complied with provisions of the Act & Rules made there under in respect of borrowings from its directors, members, public financial institutions, banks and others and creation / modification / satisfaction of charges in that respect, wherever applicable.</p>
17	<p>Loans and investments or guarantees given or providing of securities to other bodies corporate or persons falling under the provisions of section 186 of the Act;</p> <p>The Company has not made any loans and investments or provided guarantees or provided securities to other bodies corporate or persons in violation of provisions of Section 186 of the Act.</p>



Company Secretaries

Ref.: _____

18	Alteration of the provisions of the Memorandum and/ or Articles of Association of the Company;	The Company has not made any alteration of the provisions of the Memorandum and/ or Articles of Association of the Company during the financial year under review.
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Nilesh G. Shah
Proprietor
Company Secretary in Practice
C.P. No.: 2631



Place: Mumbai
Date: 16.07.2021
UDIN: F004554C000642818

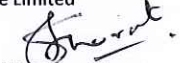
INDSEC SECURITIES & FINANCE LIMITED
 301/302, "215 Atrium", A Wing,
 Andheri Kurla Road, Chakala,
 Andheri (East), Mumbai – 400 093
 CIN: U67120MH1993PLC073185

LIST OF SHAREHOLDERS AS ON MARCH 31, 2021

SR. NO.	DP ID	CLIENT ID	SHAREHOLDER'S NAME - REGISTERED OWNER	SHAREHOLDER'S NAME - BENEFICIAL OWNER	TYPE OF SHARE	NUMBER OF SHARES	AMOUNT PER SHARE (FACE VALUE)	ADDRESS	TOWN /CITY	STATE	PIN CODE
1	IN300062	10000254	National Securities Depositories Limited (Demat Shares)	KARUNA N GUPTA	1	3,926,709	10	8, DARSHAN, 16 FRIENDS C.H.S. LTD., 6TH N.S. ROAD, VILE PARLE (WEST)	MUMBAI	MAHARASHTRA	400056
2	IN300062	10005363	National Securities Depositories Limited (Demat Shares)	NANDKISHORE H GUPTA	1	38,370	10	8, DARSHAN, 16 FRIENDS C.H.S. LTD., 6TH N.S. ROAD, VILE PARLE (WEST)	MUMBAI	MAHARASHTRA	400056
3	IN300062	10017752	National Securities Depositories Limited (Demat Shares)	NANDKISHORE H GUPTA (HUF) (KARTA - NANDKISHORE H GUPTA)	1	5,890,064	10	8, DARSHAN, 16 FRIENDS C.H.S. LTD., 6TH N.S. ROAD, VILE PARLE (WEST)	MUMBAI	MAHARASHTRA	400056
4	IN300062	10022966	National Securities Depositories Limited (Demat Shares)	FEDNAV INTERNATIONAL LIMITED	2	23620098	10	UNIT 2L, 2ND FLOOR STANDARD CHARTERED TOWER, 19 CYBERCITY, EBENE, MAURITIUS	MAURITIUS		
5	IN300062	10022940	National Securities Depositories Limited (Demat Shares)	MAYA HITESH GANDHI	1	1	10	FLAT NO. 902, IMUR CHS LIMITED, OFF J.P.ROAD, NEAR APNA BAZAR, SAHAKAR NAGAR, ANDHERI (WEST)	MUMBAI	MAHARASHTRA	400053
6	IN300062	10023573	National Securities Depositories Limited (Demat Shares)	YOGESH DWARKANATH KOKATAY	1	1	10	7/3, GUJAR NIWAS, G. S. LANE, PAREL	MUMBAI	MAHARASHTRA	400012
7	IN300062	10023557	National Securities Depositories Limited (Demat Shares)	DIAMOND ASHOK DAND	1	1	10	17/5 AZAD NAGAR,R.A. KIDWAI ROAD, WADALA WEST	MUMBAI	MAHARASHTRA	400031
8	IN300062	10023565	National Securities Depositories Limited (Demat Shares)	DARSHITA SHAH	1	1	10	B-502, SADGURU CHS, LADY FATIMA ROAD, POISAR	MUMBAI	MAHARASHTRA	400067

For Indsec Securities and Finance Limited


 Nandkishore Gupta
 Managing Director
 DIN: 00265330


 Siddheshwar Thorat
 Company Secretary
 Mem. No.: A57378



Date: 15th July, 2021
 Place: Mumbai



INDSEC SECURITIES & FINANCE LIMITED
301/302, "215 Atrium", A Wing,
Andheri Kurla Road, Chakala,
Andheri (East), Mumbai – 400 093
CIN: U67120MH1993PLC073185

DETAILS OF SHARE TRANSFERS SINCE CLOSURE DATE OF LAST FINANCIAL YEAR

SR. NO.	Date of Previous Annual General Meeting	Date of registration of transfer	Type of transfer	Number of Shares Transferred	Amount per Share (Face Value)	Ledger Folio /DP ID CLIENT ID of Transferor	Transferor's Name	Ledger Folio /DP ID CLIENT ID of Transferee	Transferee's Name
1	12/06/2020	23/02/2021	1	28,777	10	IN30006210022966	FEDNAV INTERNATIONAL LIMITED	IN30006210005363	NANDKISHORE HARKISHAN GUPTA
2	12/06/2020	23/02/2021	1	4,417,484	10	IN30006210022966	FEDNAV INTERNATIONAL LIMITED	IN30006210017752	NANDKISHORE H GUPTA (HUF)
3	12/06/2020	23/02/2021	1	2,944,989	10	IN30006210022966	FEDNAV INTERNATIONAL LIMITED	IN30006210000254	KARUNA NANDKISHORE GUPTA

For Indsec Securities and Finance Limited


Nandkishore Gupta
Managing Director
DIN: 00265330


Siddheshwar Thorat
Company Secretary
Mem. No.: A57378



Date: 15th July, 2021
Place: Mumbai

