

Annexure - II

FORM NO. MGT-9

EXTRACT OF ANNUAL RETURN

As on the financial year ended on 31st March, 2020

[Pursuant to section 92(3) of the Companies Act, 2013 and rule 12(1) of the Companies (Management and Administration) Rules, 2014]

I. REGISTRATION AND OTHER DETAILS:

- i) CIN :- U91100MH1993NPL074024
- ii) Registration Date: 17th September, 1993
- iii) Name of the Company : Association of Investment Bankers of India
- iv) Category / Sub-Category of the Company:
Sec. 8 of Companies Act 2013 (Formerly Sec.25 of the Companies Act 1956).
- v) Address of the Registered office and contact details:
Unit 302, A Wing, Kanakia Zillion, LBS Marg, Kurla (West), Mumbai 400 070.
- vi) Whether listed company : No
- vii) Name, Address and Contact details of Registrar and Transfer Agent, if any : Nil

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	Support service to Organisations	9997	Membership fees 26.29%

III. PARTICULARS OF HOLDING, SUBSIDIARY AND ASSOCIATE COMPANIES:-

Sr. No.	Name and address of the Company	CIN/GLN	Holding/ Subsidiary	% of shares held	Appl Section
1	Nil	---	---	---	---

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

Category of Shareholders	No. of Shares held at the beginning of the year (1st April, 2019)				No. of Shares held at the end of the year (31st March, 2020)				% Change during the year
	Demat	Physical	Total	% of Total Share	Demat	Physical	Total	% of Total Share	
A. Promoters									
(1) Indian									
a) Individual/HUF	---	---	---	---	---	---	---	---	---
b) Central Govt.	---	---	---	---	---	---	---	---	---
c) State Govt(s)	---	---	---	---	---	---	---	---	---
d) Bodies Corp.	---	---	---	---	---	---	---	---	---
e) Banks / FI	---	---	---	---	---	---	---	---	---
f) Any Other	---	---	---	---	---	---	---	---	---
Sub-total (A) (1)	---	---	---	---	---	---	---	---	---
2) Foreign									
a) NRIs - Individuals	---	---	---	---	---	---	---	---	---
b) Other- Individuals	---	---	---	---	---	---	---	---	---
c) Bodies Corp.	---	---	---	---	---	---	---	---	---
d) Banks /FI	---	---	---	---	---	---	---	---	---
e) Any Other....	---	---	---	---	---	---	---	---	---
Sub-total (A) (2)	---	---	---	---	---	---	---	---	---
Total share holding of Promoter (A) = (A)(1)+(A)(2)	---	---	---	---	---	---	---	---	---

Category of Shareholders	No. of Shares held at the beginning of the year (1st April, 2019)				No. of Shares held at the end of the year (31st March, 2020)				% Change during the year
	Demat	Physical	Total	% of Total Share	Demat	Physical	Total	% of Total Share	
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)	---	---	---	---	---	---	---	---	---
Sub-total (B)(1)	---	---	---	---	---	---	---	---	---
2. Non-Institutions									
a) Bodies Corp.									
i) Indian	---	---	---	---	---	---	---	---	---
ii) Overseas	---	---	---	---	---	---	---	---	---
b) Individuals									
i) Individual shareholders holding nominal share capital upto Rs. 1 lakh	---	---	---	---	---	---	---	---	---
ii) Individual shareholders holding nominal share capital in excess of Rs 1 lakh	---	---	---	---	---	---	---	---	---
c) Others Non-Resident Indians	---	---	---	---	---	---	---	---	---
Sub-total (B)(2)	---	---	---	---	---	---	---	---	---
Total Public Shareholding (B)=(B)(1) + (B)(2)	---	---	---	---	---	---	---	---	---

Category of Shareholders	No. of Shares held at the beginning of the year (1st April, 2019)				No. of Shares held at the end of the year (31st March, 2020)				% Change during the year
	Demat	Physical	Total	% of Total Share	Demat	Physical	Total	% of Total Share	
C. Shares held by Custodian for GDRs & ADRs	---	---	---	---	---	---	---	---	---
Grand Total (A+B+C)	---	---	---	---	---	---	---	---	---

(ii) Shareholding of Promoters

Sl. No.	Shareholder's Name	Share holding at the beginning of the year (1st April, 2019)			Share holding at the end of the year (31st March, 2020)			% Change in share holding during the year
		No. of Shares	% of Total Shares of the company	% of Shares Pledged/encumbered to total	No. of Shares	% of Total Shares of the company	% of Shares Pledged/encumbered to total	
1	---	---	---	---	---	---	---	---
2	---	---	---	---	---	---	---	---
	Total	---	---	---	---	---	---	---

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

Sl. No.		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.	At the beginning of the year (1st April, 2019)	---	---	---	---
2.	Date wise Increase / Decrease in Promoters Share holding during the year specifying the reasons for increase / decrease (e.g. allotment / transfer / bonus / sweat equity etc.)	---	---	---	---
3.	At the End of the year (31st March, 2020)	---	---	---	---

(iv) Shareholding Pattern of top ten shareholders (other than Directors, Promoters and Holders of GDRs and ADRs):

Sl. No.	For Each of the Top 10 Shareholders	Shareholding at the beginning of the year (1st April, 2019)		Cumulative Shareholding during the year (2019 - 2020)	
		No. of shares	% of total shares of the company	No. of shares	% of total shares of the company
a.	At the beginning of the year (1st April, 2019)	---	---	---	---
b.	Date wise Increase / Decrease in Share holding during the year specifying the reasons for increase / decrease (e.g. allotment / transfer / bonus / sweat equity etc.)	---	---	---	---
c.	At the End of the year (or on the date of seperation, if seperated during the year) 31st March, 2020	---	---	---	---

v) Shareholding of Directors and Key Managerial Personnel:

Sl. No.	Name of the Directors and Key Managerial Personnel	Date of the Transaction	Shareholding at the beginning of the year (1st April, 2019)		Cumulative Shareholding during the year (2019-2020)	
			No. of shares	% of total shares of the company	No. of shares	% of total shares of the company
1.	Anay Khare (Nominee Director)	Opening Balance-01/04/2019	---	---	---	---
		Purchase/ Sales	---	---	---	---
		Closing Balance-31/03/2020	---	---	---	---
2.	Mahavir Lunawat (Nominee Director)	Opening Balance-01/04/2019	---	---	---	---
		Purchase/ Sales	---	---	---	---
		Closing Balance-31/03/2020	---	---	---	---
3.	Gesu Kaushal (Nominee Director)	Opening Balance-01/04/2019	---	---	---	---
		Purchase/ Sales	---	---	---	---
		Closing Balance-31/03/2020	---	---	---	---
4.	Arjun Mehra (Nominee Director)	Opening Balance-01/04/2019	---	---	---	---
		Purchase/ Sales	---	---	---	---
		Closing Balance-31/03/2020	---	---	---	---
5.	Srinivas Kanakagiri (Nominee Director)	Opening Balance-01/04/2019	---	---	---	---
		Purchase/ Sales	---	---	---	---
		Closing Balance-31/03/2020	---	---	---	---
6.	Rajendra Sharadchandra Naik (Nominee Director)	Opening Balance-01/04/2019	---	---	---	---
		Purchase/ Sales	---	---	---	---
		Closing Balance-31/03/2020	---	---	---	---

Sl. No.	Name of the Directors and Key Managerial Personnel	Date of the Transaction	Shareholding at the beginning of the year (1st April, 2019)		Cumulative Shareholding during the year (2019-2020)	
			No. of shares	% of total shares of the company	No. of shares	% of total shares of the company
7.	Vikas Khattar (Nominee Director)	Opening Balance- 01/04/2019	—	—	—	—
		Purchase/ Sales	—	—	—	—
		Closing Balance- 31/03/2020	—	—	—	—
8.	Prem D’Cunha (Nominee Director)	Opening Balance- 01/04/2019	—	—	—	—
		Purchase/ Sales	—	—	—	—
		Closing Balance- 31/03/2020	—	—	—	—
9.	Alok Harlalka * (Nominee Director)	Opening Balance- 01/04/2019	—	—	—	—
		Purchase/ Sales	—	—	—	—
		Closing Balance- 31/03/2020	—	—	—	—
10.	Amitabh Malhotra * (Nominee Director)	Opening Balance- 01/04/2019	—	—	—	—
		Purchase/ Sales	—	—	—	—
		Closing Balance- 31/03/2020	—	—	—	—
11.	Mihir Mehta * (Nominee Director)	Opening Balance- 01/04/2019	—	—	—	—
		Purchase/ Sales	—	—	—	—
		Closing Balance- 31/03/2020	—	—	—	—
12.	T. R. Prashanth Kumar * (Nominee Director)	Opening Balance- 01/04/2019	—	—	—	—
		Purchase/ Sales	—	—	—	—
		Closing Balance- 31/03/2020	—	—	—	—

Sl. No.	Name of the Directors and Key Managerial Personnel	Date of the Transaction	Shareholding at the beginning of the year (1st April, 2019)		Cumulative Shareholding during the year (2019-2020)	
			No. of shares	% of total shares of the company	No. of shares	% of total shares of the company
13.	Prateek Indwar * (Nominee Director)	Opening Balance-01/04/2019	—	—	—	—
		Purchase/ Sales	—	—	—	—
		Closing Balance-31/03/2020	—	—	—	—
14.	Sujaya Moghepadhye * (Nominee Director)	Opening Balance-01/04/2019	—	—	—	—
		Purchase/ Sales	—	—	—	—
		Closing Balance-31/03/2020	—	—	—	—
15.	Venkatraghavan S.** (Nominee Director)	Opening Balance-01/04/2019	—	—	—	—
		Purchase/ Sales	—	—	—	—
		Closing Balance-31/03/2020	—	—	—	—
16.	Shankar V Narayanan (CEO)	Opening Balance-01/04/2019	—	—	—	—
		Purchase/ Sales	—	—	—	—
		Closing Balance-31/03/2020	—	—	—	—

* Mr. Alok Harlalka, Mr. Amitabh Malhotra, Mr. Mihir Mehta, Mr. T. R. Prashanth Kumar, Mr. Prateek Indwar and Ms. Sujaya Moghepadhye were appointed as Nominee Director of the Company w.e.f. 29/08/2019.

** Mr. Venkatraghavan S. resigned as Nominee Director of the Company w.e.f. 26/08/2019.

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
Indebtedness at the beginning of the financial year 1st April, 2019				
i) Principal Amount	---	---	---	---
ii) Interest due but not paid	---	---	---	---
iii) Interest accrued but not due	---	---	---	---
Total (i + ii + iii)	---	---	---	---
Change in Indebtedness during the financial year				
• Addition	---	---	---	---
• Reduction	---	---	---	---
Net Change	---	---	---	---
Indebtedness at the end of the financial year - 31st March, 2020				
i) Principal Amount	---	---	---	---
ii) Interest due but not paid	---	---	---	---
iii) Interest accrued but not due	---	---	---	---
Total (i+ii+iii)	---	---	---	---

VI. REMUNERATION OF DIRECTORS AND KEY MANAGERIAL PERSONNEL

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

(Amount in Rs.)

Sl. No.	Particulars of Remuneration	Name of MD/WTD/Manager			Total Amount
1.	Gross salary	---	---	---	---
	(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	---	---	---	---
	Total (A)	---	---	---	---
	Ceiling as per the Act	---	---	---	---

B. Remuneration to other Directors:

(Amount in Rs.)

Sl. No.	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	—	—	—
	Commission	—	—	—
	Others, please specify	—	—	—
	Total (2)	—	—	—
	Total (B)=(1+2)	—	—	—
	Total Managerial Remuneration	—	—	—

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

(Amount in Rs.)

Sl. No.	Particulars of Remuneration	Name of Key Managerial Personnel	
		Shankar V Narayanan (CEO)	Total
1.	Gross Salary	27,00,000	27,00,000
(a)	Salary as per provisions contained in Section 17(1) of the Income Tax Act, 1961	32,400	32,400
(b)	Value of perquisites u/s17(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	27,32,400	27,32,400

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

For and on behalf of the Board of Directors
ASSOCIATION OF INVESTMENT BANKERS OF INDIA



ANAY KHARE

Chairman
(DIN: 0001444472)

Place : Mumbai
Date : 7th September, 2020