

Mahadev Tirunagari

Company Secretary in Practice & Insolvency Professional

Sri Venkateswara Nilayam, Plot No-10, II Floor,
Krishnapuram, Road No-10, Banjara Hills, Hyderabad-500034
M: 98666 20104, O: 90142 90839, email: mahadev.pcs@gmail.com

To

The Board of Directors
KFin Technologies Limited (Formerly known as KFin Technologies Private Limited)
Selenium, Tower – B, Financial District,
Nanakramguda Plot No 31&32
Rd Number 1 Gachibowli
Hyderabad, Telangana 500032

ICICI Securities Limited
ICICI Venture House
Appasaheb Marathe Marg
Prabhadevi, Mumbai - 400 025

Kotak Mahindra Capital Company Limited
27BKC, 1st Floor, Plot No. C – 27
"G" Block, Bandra Kurla Complex
Bandra (East), Mumbai – 400 051

J.P. Morgan India Private Limited
J.P. Morgan Tower
Off. CST Road, Kalina, Santacruz East,
Mumbai – 400098
IIFL Securities Limited
10th floor, IIFL Centre, Kamala City
Senapati Bapat Marg
Lower Parel (W)
Mumbai – 400013

Jefferies India Private Limited
42/43, 2 North Avenue
Maker Maxity
Bandra-Kurla Complex (BKC)
Bandra (East), Mumbai - 400 051

(ICICI Securities Limited, Kotak Mahindra Capital Company Limited, J.P. Morgan India Private Limited, IIFL Securities Limited, Jefferies India Private Limited and any other book running lead managers which may be appointed in relation to the Offer are collectively referred to as the "Book Running Lead Managers" or the "BRLMs")

Dear Sir,

Sub: Certificate on compliance with, i) Section 67(3) of the Companies Act, 1956, ii) Relevant section(s) of Companies Act, 2013 including Section 42 of the Companies Act, 2013, iii) Securities and Exchange Board of India (Issue of Capital and Disclosure Requirements) Regulations, 2018, as amended, and iv) Securities and Exchange Board of India (Disclosure and Investor Protection) Guidelines, 2000, as applicable, with respect to number of members in each allotment by Karvy Stock Broking Limited.

Ref: Karvy Stock Broking Limited (KSBL), CIN: U67120TG1995PLC019877, Company No. 019877

I, Mahadev Tirunagari, Company Secretary in Practice, at the instance of the Company, have carried out a search of the records of the Registrar of Companies, Telangana at Hyderabad ("RoC"), available on the website of the Ministry of Corporate Affairs ("MCA") at www.mca.gov.in (hereinafter known as "MCA Website"), which were available for inspection on 9 November 2022 (SRN of Inspection is X27324714) with respect to the particulars of the available forms filed by KSBL with the RoC since its incorporation till 9 November 2022 ("Review Period").



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Based on the public documents made available on the MCA Website, I hereby certify the following with respect to the number of members/ investors in each allotment made by KSBL during the Review Period:

- I. List of Shareholders of the company as on 31 March 2019, which is the latest available Form MGT-7 filed by the company (The copy of which is enclosed as **Annexure 1**):

Sl.No	Details of Shareholders	Class of shares	No. of shares held
1.	Comandur Parthasarathy	Equity	2,59,304
2.	Adhiraj Parthasarathy	Equity	2,416
3.	Rajat Parthasarathy	Equity	2,416
4.	C. Parthasarathy-HUF (Karta- C. Parthasarathy)	Equity	766
5.	Compar Estates and Agencies Private Limited	Equity	3,43,310
6.	Adhiraajat Commercial Enterprises Private Limited (Formerly Adhirajat Investment Private Limited)	Equity	48,704
7.	Meka Rajini	Equity	2,23,966
8.	Mulpuri Siva Ramakrishna	Equity	2,23,966
9.	Karvy Consultants Limited	Equity	8,71,953
10.	Baring Private Equity Asia IV Maurities Holdings (I) Limited	Equity	2,79,278
	Total		22,56,079

- II. KSBL was incorporated on 30 March 1995 and its share capital built-up along with the relevant forms filed by KSBL with the RoC during the Review Period, and as per my inspection with respect to the forms made available on the MCA Website, are as set out below:

PAID UP CAPITAL – EQUITY

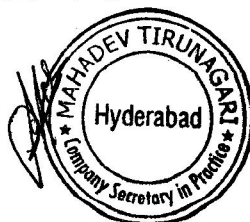
Sl.No	Date of Allotment	No. of Shares	Face Value	No. of Shares Allotted	Cumulative No. of Shares	To Whom
1.	*01/03/1995.	200	10	200	200	Initial Subscription Mr. M. Yugandhara Rao Mr. S. Ramakrishna Initial subscription done by two (2) individuals The corresponding MoA is enclosed as Annexure 2
2.	*2002-2003. Annual Return	1001800	10	1001800	1002000	No list of shareholders enclosed This is the oldest Annual Return available on the website and the allotment details prior to this date are not available. The copy of the Annual Return is enclosed as Annexure 3
3.	*2003-2004. Annual Return	333328	10	333328	1335328	As per annexure to the Annual Return 12 Equity Shareholders and 1 Preference Shareholder



						This is the next Annual Return available on the website and the allotment details are not available. The copy of the Annual Return is enclosed as Annexure 4
4.	*2004-2005 Annual Return	222555	10	222555	1557883	As per annexure to the Annual Return 12 Equity Shareholders and 1 Preference Shareholder This is the next Annual Return available on the website and the allotment details are not available. The copy of the Annual Return is enclosed as Annexure 5
5.	*2005-2006 Annual Return	389470	10	389470	1947353	No list of shareholders enclosed This is the next Annual Return available on the website and the allotment details are not available. The copy of the Annual Return is enclosed as Annexure 6
6.	Form 2 23/11/2007.	261230	10	261230	2208583	The allotment is made to: 1. Western India Trustee and Executor Company Ltd on behalf of India Advantage Fund VI) 2. Baring Private Equity Asia IV Mauritius Holdings(1) Limited The corresponding Form 2 along with Annual return for that year is enclosed as Annexure 7
7.	Form 2 31/03/2008	47496	10	47496	2256079	The allotment is made to: 1. Western India Trustee and Executor Company Ltd on behalf of India Advantage Fund VI) 2. Baring Private Equity Asia IV Mauritius Holdings(1) Limited The corresponding Form 2 along with Annual return for that year is enclosed as Annexure 8
	Total	2256079		2256079		

PAID UP CAPITAL - PREFERENCE

Sl.No	Date of allotment	No. of shares	Face Value	No. of shares allotted	Cumulative no. of shares	To Whom
1	2002-2003 Annual Return	300000	100	300000	300000	KARVY INVESTOR SERVICES LTD As per 2002-2003 Annual Return The copy of the Annual Return is enclosed as Annexure 3



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						Redeemed
2	2007-2008 Annual Return	(300000)	100	(300000)	0	The copy of the Annual Return is enclosed as part of Annexure 9
	Total	0		0		

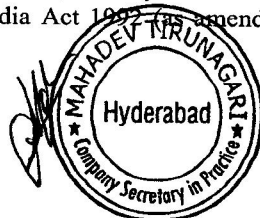
* At the instances at Sl.No.1, 2, 3, 4, and 5, as per the annual returns mentioned above, there may be multiple and/or single allotments wherein the number of allottees is unascertainable.

Based on the foregoing inspection and to the extent of the records/ documents available on the MCA Website, I confirm that there have been no instances of issuance of equity shares in the past by KSBL to more than 49 persons/ 200 persons, as applicable, in violation of:

- Section 67(3) of the Companies Act, 1956;
- Relevant sections of the Companies Act, 2013, including Section 42 and the rules notified thereunder;
- The Securities and Exchange Board of India (Issue of Capital and Disclosure Requirements Regulations, 2018 ("SEBI ICDR Regulations")); or
- The Securities and Exchange Board of India (Disclosure and Investor Protection) Guidelines, 2000, as applicable.

Further, based on the latest Memorandum of the Association of Karvy Stock Broking Limited (hereby attached as **Annexure 10**), the main / primary objects (which include the present business activities) of the company, are as follows:

- To apply for and become member of any stock exchange, national stock exchange, over the counter trading & exchange of India (OCTEI), any other exchange that is/may be established in India/abroad and any other similar institution, authority body or association and to do all such incidental acts and things necessary for the attainment of foregoing objects.
- To carry on the business in all its branches of managing public issue and to act as broker, agent, sub broker, underwriter, lead manager, co-manager, consultant, advisor, share transfer agent, registrars to the issues, advertising & publicity agent, printer, portfolio manager, merchant banker, odd lot dealer or other intermediaries and to buy, sell, exchange, adjust, subscribe acquire, undertake, hold, invest or otherwise deal in all kinds of shares, securities, stocks, bonds, fully convertible debentures, partly convertible debentures, non-convertible debentures, warrants, premium notes, spots, swaps, futures and options, derivatives, currencies, currency derivatives and other similar instruments as may be prevailing from time to time.
- To carry on the business of an investment company in all its branches and to sell, purchase, exchange, subscribe, acquire, undertake, underwrite, hold, auction, convert or otherwise to deal in all types of shares, securities, stocks, bonds, fully convertible debentures, partly convertible debentures, debenture stocks, warrants, certificates, premium notes, mortgages, obligations, inter corporate deposits, call money deposits, public deposits, commercial papers, derivatives, currencies, currency derivatives and other similar instruments whether issued by Government, semi Government, local authorities, public sector undertakings, companies, corporations, co-operative societies, and other similar organisations at national & international levels and to do all incidental acts and things necessary for the attainment of above objects.
- To render finances consultancy and investment consultancy and advisory services to clients in the field of financing, investment, merchant banking and portfolio management.
- To carry out various business activities pursued by the company by opening various representative offices, liaison offices and branch offices across various countries and to effectively use these set ups for business development, marketing, providing information to prospective investors, customers and other related parties.
- To carry on the business as Depository Participant / custodian of securities, commodities or any other intermediary associated with the securities, security derivatives, commodities market as contemplated under the Securities Exchange Board of India Act 1992 (as amended), Depositories Act 1996, Forward Contract



Market (Regulations) Act and to carry on business of trading in goods, commodities, commodity derivatives as per the rules and regulations framed thereunder from time to time including acting as an agent, associate, representative or assignee of any Depository, registered owner or and for the said purpose to carry out all activities necessary and proper and exercise all rights and powers in relation or under the statutes governing the said line of activity from time to time.

7. To carry on mutual fund activities in India or abroad either on its own or in collaboration with others, act as a sponsor to a mutual fund, incorporate or cause the incorporation of and/or acquire and hold shares in an asset management company and / or a trustee company to a mutual fund and to engage in such other activities relating to the mutual fund business as permitted under Indian law and to do all such things as are incidental or conducive to the attainment of the above objects from time to time. (Inserted vide approval obtained from the shareholders at the extraordinary general meeting held on 9th June, 2008).

As per the latest Annual Filings for the year 2018-2019 the description of Main Activity group is "Financial and insurance Service" and description of business activity is "Financial Advisory, brokerage and Consultancy Services and Other financial activities". The corresponding Form MGT-7 is enclosed as **Annexure 11**.

Pursuant to the inspection of the records on the MCA Website, I also confirm that KSBL is not appearing in the list of struck off companies by the Registrar of Companies/ MCA.

I consent to the inclusion of my name, details of my engagement with the Company, this search report or any extract thereof including any enclosures and parts thereof, in the red herring prospectus or prospectus proposed to be filed by the Company with the Registrar of Companies, Telangana at Hyderabad ("RoC") and thereafter with the Securities and Exchange Board of India (the "SEBI") and the BSE Limited (the "BSE") and National Stock Exchange of India Limited (the "NSE", and together with the BSE, the "Stock Exchanges"), any other Offer-related documents and any submissions that have been made or will be made by the Company or the Book Running Lead Managers to any governmental or regulatory authority in relation to the Offer.

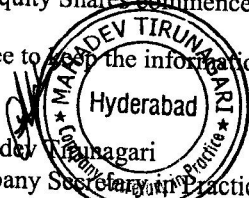
I confirm that all the information contained in this search report is true, correct and updated in all respects. I hereby consent that this search report may be delivered to any governmental or regulatory authority including SEBI, stock exchanges or the RoC and may be referred to in the offer documents prepared in relation to the proposed initial public offering by the Company.

This search report may be relied upon by the Company, Book Running Lead Managers and shared with any advisors or other parties that the Company may decide.

I confirm that each of the consents and confirmations included in this search report shall be applicable to any related or updated search report issued by me in the future until the date when the equity shares of the Company ("Equity Shares") commence trading on the Stock Exchanges in relation to a search of the form filings of KSBL.

I confirm that I will immediately communicate any changes in writing to the above information to the Book Running Lead Managers until the date when the Equity Shares commence trading on the Stock Exchanges. In the absence of any such communication from us, the Book Running Lead Managers and the legal advisors, each to the Company and the Book Running Lead Managers, can assume that there is no change to the above information until the Equity Shares commence trading on Stock Exchanges pursuant to the Offer.

I agree to keep the information regarding the Offer strictly confidential.



Mahadev Tirunagari
Company Secretary in Practice
M No: 6681 & CP No: 7350
UDIN: F006681D002195263

Place: Hyderabad

Date: 25 November 2022

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

U67120TG1995PLC019877

Pre-fill

Global Location Number (GLN) of the company

* Permanent Account Number (PAN) of the company

AABCK5190K

(ii) (a) Name of the company

KARVY STOCK BROKING LIMITE

(b) Registered office address

Karvy Millennium, Plot No.31/P, Nanakramguda
Financial District, Gachibowli
Hyderabad
Rangareddi
Telangana
500032

(c) *e-mail ID of the company

COMPSEC@KARVY.COM

(d) *Telephone number with STD code

04023312454

(e) Website

WWW.KARVY.COM

(iii) Date of Incorporation

30/03/1995

(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

Pre-fill

Name of the Registrar and Transfer Agent

Registered office address of the Registrar and Transfer Agents

(vii) *Financial year From date 01/04/2018 (DD/MM/YYYY) To date 31/03/2019 (DD/MM/YYYY)

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

(a) If yes, date of AGM 30/09/2019

(b) Due date of AGM 30/09/2019

(c) Whether any extension for AGM granted ☒ Yes ☐ No

(d) If yes, provide the Service Request Number (SRN) of the application form filed for extension H91703256

Pre-fill

(e) Extended due date of AGM after grant of extension 15/12/2019

II. PRINCIPAL BUSINESS ACTIVITIES OF THE COMPANY

*Number of business activities 2

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	73.47
2	K	Financial and insurance Service	K8	Other financial activities	26.53

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

*No. of Companies for which information is to be given 23

Pre-fill All

S.No	Name of the company	CIN / FCRN	Holding/ Subsidiary/Associate/ Joint Venture	% of shares held
1	KARVY DATA MANAGEMENT S	U72300TG2008PLC058738	Subsidiary	100
2	KARVY COMTRADE LIMITED	U51909TG2003PLC042096	Subsidiary	100
3	KARVY FINANCIAL SERVICES LI	U67190MH2001PLC227379	Subsidiary	100
4	KARVY INVESTOR SERVICES LIM	U67120TG1997PLC026253	Subsidiary	100
5	KARVY INVESTMENT ADVISORY	U67110TG2003PLC041680	Subsidiary	100

6	KARVY REALTY (INDIA) LIMITED	U66010TG2003PLC041681	Subsidiary	100
7	KARVY CAPITAL LIMITED	U65990MH1981PLC025980	Subsidiary	100
8	KARVY FOREX & CURRENCIES P	U65910TG2008PTC120871	Subsidiary	100
9	KARVY HOLDINGS LIMITED	U65993TG2011PLC077813	Subsidiary	100
10	LANDMARK CAPITAL ADVISOR	U74120MH2013PTC241580	Subsidiary	70
11	SCIKNOW TECHNO SOLUTIONS	U72200CT2014PLC001604	Subsidiary	94.44
12	KARVY REALTY & SERVICES LIM	U45400TG2008PLC059067	Associate	22
13	KARVY BROKING (IFSC) LIMITED	U65999GJ2017PLC095665	Subsidiary	100
14	KARVY DIGIKONNECT LIMITED	U84200DL1992PLC219215	Subsidiary	100
15	KARVY RENEWABLE ENERGY PI	U74999TG2016PLC110676	Subsidiary	62
16	KARVY FORDE SEARCH PRIVAT	U74140TG2001PTC036741	Subsidiary	60
17	Karvy Next Limited	U72900TG2017PLC119880	Subsidiary	100
18	DIGICALL GLOBAL PRIVATE LIM	U72900DL2011PTC216458	Subsidiary	100
19	Karvy Innotech Limited	U93000DL2012PLC242938	Subsidiary	100
20	KARVY INC		Subsidiary	100
21	KARVY ASIA PACIFIC PTE. LTD.		Subsidiary	100
22	KARVY MIDDLE EAST LLC.		Subsidiary	49
23	Karvy Private Wealth Financial		Subsidiary	49

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	3,000,000	2,256,079	2,256,079	2,256,079
Total amount of equity shares (in Rupees)	30,000,000	22,560,790	22,560,790	22,560,790

Number of classes

1

Class of Shares	Authorised capital	Issued capital	Subscribed capital	Paid up capital
Equity Shares				
Number of equity shares	3,000,000	2,256,079	2,256,079	2,256,079
Nominal value per share (in rupees)	10	10	10	10
Total amount of equity shares (in rupees)	30,000,000	22,560,790	22,560,790	22,560,790

(b) Preference share capital

Particulars	Authorised capital	Issued capital	Subscribed capital	Paid-up capital
Total number of preference shares	300,000	0	0	0
Total amount of preference shares (in rupees)	30,000,000	0	0	0

Number of classes

1

Class of shares	Authorised capital	Issued capital	Subscribed capital	Paid up capital
13.5% Redeemable Cumulative Non-Convertible Preference Shares				
Number of preference shares	300,000	0	0	0
Nominal value per share (in rupees)	100	100	100	100
Total amount of preference shares (in rupees)	30,000,000	0	0	0

(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	2,256,079	22,560,790	22,560,790	
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	0	0	0	
nil				
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	0	0	0	
nil				
At the end of the year	2,256,079	22,560,790	22,560,790	
Preference shares				
At the beginning of the year	0	0	0	
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	0	0	0	
nil				
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	0	0	0	
nil				
At the end of the year	0	0	0	

(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					
Date of registration of transfer (Date Month Year)					
Type of transfer		1 - Equity, 2- Preference Shares, 3 - Debentures, 4 - Stock			
Number of Shares/ Debentures/ Units Transferred				Amount per Share/ Debenture/Unit (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 (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			649,364,524
Unsecured Loans (including interest outstanding/accrued but not due for payment) excluding deposits			5,482,514,051
Deposit			0
Total			6,131,878,575

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**

5,097,846,798

(ii) Net worth of the Company

4,339,924,699

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	712,834	31.6	0	
	(ii) Non-resident Indian (NRI)	0	0	0	
	(iii) Foreign national (other than NRI)	0	0	0	
2.	Government				
	(i) Central Government	0	0	0	
	(ii) State Government	0	0	0	
	(iii) Government companies	0	0	0	
3.	Insurance companies	0	0	0	
4.	Banks	0	0	0	
5.	Financial institutions	0	0	0	
6.	Foreign institutional investors	0	0	0	
7.	Mutual funds	0	0	0	
8.	Venture capital	0	0	0	
9.	Body corporate (not mentioned above)	1,263,967	56.02	0	
10.	Others nil	0	0	0	
	Total	1,976,801	87.62	0	0

Total number of shareholders (promoters)

9

(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	0	0	0	
	(ii) Non-resident Indian (NRI)	0	0	0	
	(iii) Foreign national (other than NRI)	0	0	0	

2.	Government				
	(i) Central Government	0	0	0	
	(ii) State Government	0	0	0	
	(iii) Government companies	0	0	0	
3.	Insurance companies	0	0	0	
4.	Banks	0	0	0	
5.	Financial institutions	0	0	0	
6.	Foreign institutional investors	0	0	0	
7.	Mutual funds	0	0	0	
8.	Venture capital	0	0	0	
9.	Body corporate (not mentioned above)	279,278	12.38	0	
10.	Others	0	0	0	
	Total	279,278	12.38	0	0

Total number of shareholders (other than promoters)

1

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

10

**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	9	9
Members (other than promoters)	1	1
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	1	1	1	11.49	0
B. Non-Promoter	0	3	0	3	0	0
(i) Non-Independent	0	1	0	1	0	0
(ii) Independent	0	2	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	1	4	1	4	11.49	0

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

6

(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)
YUGANDHAR MEKA	00012265	Director	0	
COMANDUR PARTHA	00079232	Managing Director	259,304	
ASHISH AGRAWAL	00163344	Director	0	14/07/2019
BHAGWAN DAS NARA	00826573	Director	0	
JYOTHI PRASAD	06947488	Director	0	
YALAMANCHILI SAILA.	AAYPY7326D	Company Secretar	0	

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

0

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)

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	13/07/2018	10	5	77.45

B. BOARD MEETINGS

*Number of meetings held

7

S. No.	Date of meeting	Total Number of directors associated as on the date of meeting	Attendance	
			Number of directors attended	% of attendance
1	13/06/2018	5	4	80
2	21/07/2018	5	3	60
3	24/08/2018	5	4	80
4	21/09/2018	5	4	80
5	06/11/2018	5	3	60
6	04/12/2018	5	4	80
7	30/01/2019	5	4	80

C. COMMITTEE MEETINGS

Number of meetings held

4

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 Committee	13/06/2018	3	3	100
2	Audit Committee	06/11/2018	3	3	100
3	NRC	13/06/2018	4	4	100
4	CSR	13/06/2018	4	4	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	30/09/2019
								(Y/N/NA)
1	YUGANDHAR	7	4	57.14	2	2	100	No
2	COMANDUR	7	7	100	4	4	100	Yes
3	ASHISH AGRA	7	1	14.29	0	0	0	Not Applicable
4	BHAGWAN D	7	7	100	4	4	100	No
5	JYOTHI PRA	7	7	100	4	4	100	No

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

1

S. No.	Name	Designation	Gross Salary	Commission	Stock Option/ Sweat equity	Others	Total Amount
1	COMANDUR PART	Managing Direct	18,751,500	0	0	2,475,000	21,226,500
	Total		18,751,500	0	0	2,475,000	21,226,500

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

2

S. No.	Name	Designation	Gross Salary	Commission	Stock Option/ Sweat equity	Others	Total Amount
1	KRISHNA HARI GA	CFO	8,917,219	0	0	1,099,344	10,016,563
2	YALAMANCHILI SA	CS	6,373,504	0	0	718,478	7,091,982
	Total		15,290,723	0	0	1,817,822	17,108,545

Number of other directors whose remuneration details to be entered

4

S. No.	Name	Designation	Gross Salary	Commission	Stock Option/ Sweat equity	Others	Total Amount
1	BHAGWAN DAS NA	Independent Dir	0	670,000	0	950,000	1,620,000
2	YUGANDHAR MEK	Director	0	670,000	0	500,000	1,170,000
3	JYOTHI PRASAD	Independent Dir	0	670,000	0	950,000	1,620,000
4	ASHISH AGRAWAL	Director	0	0	0	75,000	75,000

S. No.	Name	Designation	Gross Salary	Commission	Stock Option/ Sweat equity	Others	Total Amount
	Total		0	2,010,000	0	2,475,000	4,485,000

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

1

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
Karvy Stock Brokir	NSE	11/09/2018	pursuant to inspectio	a monetary penalty	Detail enclosed as an optional

(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

MANISH L. GHIA

Whether associate or fellow

☐ Associate ☒ Fellow

Certificate of practice number

3531

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

COMANDUR
PARTHASA
RATHY

Digitally signed by
COMANDUR
PARTHASARATHY
Date: 2019.12.31
13:16:37 +05'30'

DIN of the director

To be digitally signed by

YALAMANC
HILI
SAILAJA

Digitally signed by
YALAMANCHILI
SAILAJA
Date: 2019.12.31
13:17:53 +05'30'

- ☒ Company Secretary
☐ Company secretary in practice

Membership number 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

List of attachments

Shareholding KSBL 31-03-2019.pdf
Agm Extension letter.pdf
Optional Attachment.pdf
MGT-8_KSBL_Signed_31-03-2019.pdf

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

[illegible]

Equity Share Holding pattern of Karvy Stock Broking Limited as on 31st March, 2019

Sl. No.	Name of the Shareholders	No. of Equity Shares held	Face Value Per Share In Rs.	Amount Paid up Rs. In lakhs	Percentage of Total (%)
1	Comandur Parthasarathy	259,304	10	25.93	11.49
2	Adhiraj Parthasarathy	2416	10	0.24	0.11
3	Rajat Parthasarathy	2416	10	0.24	0.11
4	C. Parthasarathy - HUF (Karta - C. Parthasarathy)	766	10	0.07	0.03
5	Compar Estates and Agencies Private Limited	343,310	10	34.33	15.21
6	Adhirajat Commercial Enterprises Private Limited (Formerly Adhirajat Investments Private Limited)	48,704	10	4.87	2.16
7	Meka Rajini	223,966	10	22.40	9.93
8	Mulpuri Siva Ramakrishna	223,966	10	22.40	9.93
9	Karvy Consultants Limited	871,953	10	87.20	38.65
10	Baring Private Equity Asia IV Mauritius Holdings (1) Limited	279,278	10	27.93	12.38
	Total	2,256,079		225.60	100.00

Certified true copy

For **KARVY STOCK BROKING LIMITED**



Y. SAILAJA

Company Secretary

Mem no. F4844

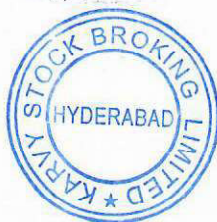
Dated: 10.12.2019

Place: Plot no.31,

Karvy Millennium

Financial District,

Hyderabad – 500032.


Karvy Stock Broking Limited

Registered & Corporate Office: 'Karvy Millennium', Plot No. 31/P, Financial District, Nanakramguda, Gachibowli, Hyderabad - 500 032. Telangana. T: +91 40 2331 2454 | F: +91 40 2331 1968 | E-mail: service@karvy.com | www.karvy.com

SEBI Registration No.: INZ000172733; NSE Membership No. 07701; BSE Membership No.:917 MSE Membership No.:1031; MCX Membership No.: 56455; ICEX Membership No.: 2081; NSDL and CDSL DP SEBI Registration No.: IN-DP-175-2015; IGC. E-mail: Stock Broking: igksblsb@karvy.com; DP: igksblbdp@karvy.com
Compliance Officer : Srikrishna Gurazada, Contact No.: +91 40 23312454 Email: compliance.ksbl@karvy.com. CIN:U67120TG1995PLC019877

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

We have examined the registers, records and books and papers of **Karvy Stock Broking Limited (CIN: U67120TG1995PLC019877)** having its registered office at **Karvy Millennium, Plot No.31/P, Nanakramguda Financial District, Gachibowli Hyderabad - 500032** (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, 2019**. In our opinion and to the best of my information and according to the examinations carried out by us and explanations furnished to us by the Company, its officers and agents, we 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 & Rules made there under in respect of:
 1. its status under the Act i.e. Public Limited Company, Limited by shares;
 2. maintenance of registers/ records & making entries therein within the time prescribed therefor;
 3. filing of forms and returns are not stated in the annual return; however the Company has filed the forms and returns with the Registrar of Companies within/ beyond the prescribed time with additional fees; there were no forms/returns etc. to be filed with Regional Director, Central Government, the Tribunal, Court or other authorities;
 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 have been properly recorded in the Minute Book/registers maintained for the purpose and the same have been signed; further the Company has not passed any resolution through postal ballot;
 5. closure of Register of Members/ Security holders, as the case may be;
 - 5.1. The Company was not required to close its Register of Members.
 6. advances/ loans to its directors and/or persons or firms or companies referred in Section 185 of the Act;
 7. contracts and arrangements with related parties as specified in Section 188 of the Act;
 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 certificates in all instances;



- 8.1 there was no issue or allotment or transfer or transmission or buy back of securities, and there was no redemption of preference shares; further there were no debentures in the Company, also there was no alteration or reduction of share capital or conversion of shares/securities, hence was not required to issue security certificates in such cases.
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;
- 9.1. there was no transaction necessitating the Company to keep in abeyance the right to dividend, right shares and bonus shares pending registration of transfer of shares.
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;
- 10.1 the Company has not declared any dividend, however the Company was not required to transfer of unpaid/ unclaimed dividend/other amounts as applicable to the 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;
12. constitution, appointment, re-appointments, retirement, filling up casual vacancies, disclosures of the Directors, Key Managerial Personnel and the remuneration paid to them;
- 12.1 there are no other changes in the composition and remuneration of the board and KMP's, except as reported in this return.
13. appointment/ reappointment/ filling up casual vacancies of auditors as per the provisions of Section 139 of the Act;
- 13.1 there were no instance of casual vacancies of the auditor and the ratification of appointment of auditors was made as per the Section 139 of the act.
14. 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;
- 14.1 the Company was not required to take approval from Central Government, Tribunal, Regional Director, Registrar, Court or such other authorities under the various provisions of the Act.
15. acceptance/ renewal/ repayment of deposits;
- 15.1 the Company has not accepted/ renewed deposits; further there were no outstanding deposits required to be repaid.
16. borrowings from its directors, members, public financial institutions, banks and others and creation/ modification/ satisfaction of charges in that respect, wherever applicable;
- 16.1 the Company has borrowed from banks and others, the requisite charge was created on the assets of the Company for which the filings have been made within the time limit as prescribed under the Act;



Manish Ghia & Associates

- 16.2 the Company has filed the satisfaction of charge within the time limit, for the assets which were released from the charge by the banks; and
- 16.2 the Company has not borrowed from its directors, members, and public financial institutions.
17. 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;
18. alteration of the provisions of the Memorandum and/or Articles of Association of the Company;
- 18.1 the Company was not required to alter the provisions of the Memorandum and Articles of Association of the Company

For **Manish Ghia & Associates**
Company Secretaries



Manish L. Ghia
Partner

M. No. FCS 6252 C.P. No. 3531

Place: Mumbai
Date: December 26, 2019
UDIN: F006252A000494058



सत्यमेव जयते

**GOVERNMENT OF INDIA
MINISTRY OF CORPORATE AFFAIRS**

Office of the Registrar of Companies

2nd Floor, CPWD Building Kendriya Sadan, Hyderabad, Telangana, India, 500195

DATED : 23-09-2019

IN THE MATTER OF M/S KARVY STOCK BROKING LIMITED CIN U67120TG1995PLC019877

AND

IN THE MATTER OF EXTENSION UNDER SECTION 96(1) OF THE COMPANIES ACT, 2013

The Company has closed its accounting year on 31-03-2019 and the Annual general meeting of the company is due to be held on 30-09-2019 as per requirements of section 96 of the Companies Act, 2013. The company has made an application vide SRN H91703256 on 20-09-2019 requesting for an extension of time for the purpose of holding AGM on the following grounds

As per the reasons given and submission made in the application

Keeping in view, the aforesaid circumstances due to which company cannot hold its Annual General Meeting on time, extension 2 months 15 days is considered.

ORDER

Under the power vested in the undersigned by virtue of section 96(1) read with second proviso attached thereto extension of 2 months 15 days is hereby granted. However, the company is hereby advised to be careful in future in compliance of the provisions of the Companies Act, 2013.



Yours faithfully,

RAMESH CHANDRA MISHRA

Registrar of Companies

RoC - Hyderabad

Mailing Address as per record available in Registrar of Companies office:

KARVY STOCK BROKING LIMITED

Karvy Millennium, Plot No.31/P, Nanakramguda, Financial District,
Gachibowli, Hyderabad, Rangareddi, Telangana, India, 500032



Note: This letter is to be generated only when the application is approved by RoC office

KARVY STOCK BROKING LIMITED**Optional Attachments for MGT-7 – Annual Return****(FY – 2018-2019)****1. Clarification for point II- Principal Business of the Company**

The company is in the business of Stock Broking, Depository Participant services, Portfolio Management Services, Wealth Advisory Services and distribution of financial products.

As per annexure C of the instruction kit of eForm MGT-7, we have selected the code K7 i.e., financial advisory, brokerage and Consultancy Services, and K8 i.e. other financial activities (since there is no business activity code for distribution of financial products, depository participant services and other operating revenues) under the Main activity group code 'K'.

2. Clarification for point VI(a) i.e. Share Holding Pattern - Promoters and point VII i.e. Number of Promoters, Members, Debenture Holders of Form MGT-7

The promoters and promoter group of the company are as given under:

Sl.no.	Name of the Promoter/Promter Group
1.	Mr. C. Parthasarathy - Promoter
	Promoter Group
2.	Mr. Adhiraj Parthasarathy
3.	Mr. Rajat Parthasarathy
4.	C. Parthasarathy – HUF (Karta - Mr. C. Parthasarathy)
5.	Compar Estates and Agencies Private Limited
6.	Adhirajat Commercial Enterprises Private Limited
7.	Mr. M. S. Ramakrishna - Promoter
8.	Ms. Meka Rajini – Promoter
9.	Karvy Consultants Limited - Promoter

As mentioned above, the shareholders forming part of promoter group are clubbed with the shareholding of the aforementioned members under the category of promoter in point VI(a). Similarly, in point VII, the above mentioned 9 shareholders are mentioned under the category of promoters.

3. Clarification for point IX (D) : Meetings of members/class of members/board/committees of the board of directors

There is no separate column to mention attendance of Directors at adjourned Annual general Meeting. Therefore the presence of directors at 24th Annual General Meeting dated 30th September, 2019 was mentioned in the form at page no. 13.

**Karvy Stock Broking Limited**

Registered & Corporate Office: 'Karvy Millennium', Plot No. 31/P, Financial District, Nanakramguda, Gachibowli, Hyderabad - 500 032. Telangana. T: +91 40 2331 2454 | F: +91 40 2331 1968 | E-mail: service@karvy.com | www.karvy.com

SEBI Registration No.: INZ000172733; NSE Membership No. 07701; BSE Membership No.: 917 MSE Membership No.: 1031; MCX Membership No.: 56455; ICEX Membership No.: 2081; NSDL and CDSL DP SEBI Registration No.: IN-DP-175-2015; IGC. E-mail: Stock Broking: igksblsb@karvy.com; DP: igksbldp@karvy.com
Compliance Officer : Srikrishna Gurazada, Contact No.: +91 40 23312454 Email: compliance.ksbl@karvy.com. CIN:U67120TG1995PLC019877

The presence of directors at adjourned 24th Annual General Meeting dated 9th December, 2019 is mentioned hereunder:

S. No.	Name of the Director	Attendance at adjourned AGM held on 9.12.2019 (Yes/No/NA)
1	Comandur Parthasarathy	Yes
2	Yugandhar Meka	No
3	Ashish Agrawal	Not Applicable*
4	Bhagwan Das Narang	Yes
5	Jyothi Prasad	Yes

- Mr. Ashish Agrawal has resigned from the Board w.e.f. 14th July, 2019

4. Clarification for point XII (A) of Form MGT-7 - Details of Penalties/Punishment imposed on Company/Directors/Officers

During the financial year 2018-19, no punishments/penalties have been imposed on the Company/Directors/Officers, resulting out of inspection/investigation/show cause notice/ disciplinary action under the Companies Act, 2013 except the following:

1. Securities and Exchange Board of India (SEBI) has included KSBL and its directors in proceedings before the additional Chief Metropolitan Magistrate, Mumbai, being case number CC No.57/W/2006 (renumbered as 78/2015 post its transfer to Special Court), with respect to the investigations conducted by SEBI in relation to irregularities in certain IPOs including Yes Bank and IDFC IPOs. The proceedings have been initiated under the provisions of Section 190 of the Criminal Procedure Code, 1973, read with Section 68 A and 621 of Companies Act-1956 and Section 24 (1) of the SEBI Act.
2. Based on the complaint filed by SEBI, in the IPO matter, two cases were registered by CBI, BS & FC (RC 3(E)/ 2006 and 4(E)/ 2006) in the matter of Yes Bank and IDFC Ltd. against Karvy Stock Broking Limited, Karvy Computershare Pvt. Ltd and Karvy Consultants Ltd.. The matter is pending before the Hon'ble Special judge.
3. Subsequently, the Enforcement Directorate, after relying on the investigations of CBI and that of SEBI and on the premise that Section 467 of IPC framed against the co-accused represents a predicate offence which is categorized as a scheduled offence under Section 2(u) of the Prevention of Money Laundering Act-2002 (PMLA), has filed a prosecution complaint bearing no.04/2013, in terms of the provisions of PMLA. The matter is pending and sub-judice.
4. Arising from the above said investigation, SEBI has filed two separate complaints under section 193 of criminal procedure code r/w 68A & 621 of Companies Act-1956 against KSBL and three of its Directors, namely Mr C. Parthasarathy, Mr M. Yugandhar and Mr Ramakrishna before the Special Judge at Mumbai vide Case Nos: 66/2016 and 74/2016



Karvy Stock Broking Limited

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SEBI Registration No.: INZ000172733; NSE Membership No. 07701; BSE Membership No.:917 MSE Membership No.:1031; MCX Membership No.: 56455; ICEX Membership No.: 2081; NSDL and CDSL DP SEBI Registration No.: IN-DP-175-2015; IGC. E-mail: Stock Broking: igksblsb@karvy.com; DP: igksblbp@karvy.com
Compliance Officer : Srikrishna Gurazada, Contact No.: +91 40 23312454 Email: compliance.ksbl@karvy.com. CIN:U67120TG1995PLC019877

before the Special Judge and the said complaints are pending before the said court.

5. Vide letters dated September 11, 2018 NSE has (pursuant to inspection conducted in October 2016) levied a monetary penalty of Rs 25,00,000 on KSBL for the observations relating to extension of corporate guarantee to subsidiaries not involved in securities market business.

For **KARVY STOCK BROKING LIMITED**



Y. SAILAJA
Company Secretary
Mem No.: F4844



Date: 20.12.2019
Place: Plot no.31,
Karvy Millennium,
Nanakramguda,
Hyderabad – 500032.

Karvy Stock Broking Limited

Registered & Corporate Office: 'Karvy Millennium', Plot No. 31/P, Financial District, Nanakramguda, Gachibowli, Hyderabad - 500 032. Telangana. T: +91 40 2331 2454 | F: +91 40 2331 1968 | E-mail: service@karvy.com | www.karvy.com

SEBI Registration No.: INZ000172733; NSE Membership No. 07701; BSE Membership No.:917 MSE Membership No.:1031; MCX Membership No.: 56455; ICEX Membership No.: 2081; NSDL and CDSL DP SEBI Registration No.: IN-DP-175-2015; IGC. E-mail: Stock Broking: igksblsb@karvy.com; DP: igksbldp@karvy.com
Compliance Officer : Srikrishna Gurazada, Contact No.: +91 40 23312454 Email: compliance.ksbl@karvy.com. CIN:U67120TG1995PLC019877

19877

Company No. 11164

Registered date of D. 11/10/63

Asst./Dy./Registrar

PRE-SCRUTINISED

SIGN./DA

ANNUAL RETURN OF KARVY STOCK BROKING LIMITED.

Form of Annual Return of A Company Having a Share Capital

SCHEDULE V
[See Section 159]
PART II

ANNUAL RETURN

THE COMPANIES
ACT, 1956
(1 OF 1956)

I. Registration Details :

Registration No. 19877-

State Code 01 (Refer Code List 1)

Registration Date 30 03 95
Date Month Year

Whether shares listed on
recognised Stock Exchange(s) N
Y - Yes N - No

If yes, Stock Exchange Code (Totals)
Code List 2) A 1

B 1

REC. NO. Y - Yes
N - No

Date of AGM/Due date 21 07 03
Date Month Year

REC. NO.

II.

Registered Office Address of Company :

KARVY STOCK BROKING
LIMITED.

46 AVENUE 4 STREET
NO. 1 BANTARA HILLS.

Town/City HYDERABAD.

State ANDHRA PRADESH.

Pin Code 500034

Telephone with STD 040 23312454
Area Code Number

Fax Number 040 23311968

Email Address ksbl@karvy.com.

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	1500000	1000000
(ii) Preference	3000000	1000000
Total Authorised Capital	4500000	

Issued Share Capital Breakup

Type of Shares	No. of Shares	Nominal Value (in Rs.)
(i) Equity	1002000	1000000
(ii) Preference	3000000	1000000
Total Issued Capital	4002000	

Subscribed Share Capital Breakup

Type of Shares	No. of Shares	Nominal Value (in Rs.)
(i) Equity	1002000	1000000
(ii) Preference	3000000	1000000
Total Subscribed Capital	4002000	

Paid-up Share Capital Breakup

Type of Shares	No. of Shares	Amount Paid-up (in Rs.)
(i) Equity	1002000	1000000
(ii) Preference	3000000	1000000
Total Paid-up Capital	4002000	

Debentures Breakup

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

IV. Director /Manager/Secretary Information (Past and Present)

[Refer clause 6 of Part I of Schedule V]

Name	C . P A R T H A S A R A T H Y	Surname	Middle Name	First Name
Nationality	I I - Indian F - Foreign	Date of Birth	07 Date	07 Month
*Designation	D		55 Year	
Date of Appointment	26 Date	05 Month	95 Year	
Election Commission Identity Card No.				
Residential Address	8 - 2 - 540 / 2 , B A N T A R A H I L L S			
Town / City	H Y D E R A B A D			
District	H Y D E R A B A D			
State	A N D H R A P R A D E S H			
Pin Code	500034			

Name	M. YUGANDHAR																			
	Surname				Middle Name				First Name											
Nationality	I	I - Indian F - Foreign				Date of Birth				10		07		51						
									Date		Month		Year							
*Designation	D																			
Date of Appointment	30		03		95		Date of Ceasing				-		-		-					
	Date		Month		Year						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>																			
Residential Address	<div> <div>2</div> <div>B</div> <div></div> <div></div> <div>F</div> <div>A</div> <div>L</div> <div></div> <div>C</div> <div>O</div> <div>N</div> <div></div> <div>C</div> <div>R</div> <div>E</div> <div>S</div> <div>T</div> <div></div> <div></div> <div></div> <div></div> </div>																			
	<div> <div>2</div> <div>0</div> <div></div> <div></div> <div>A</div> <div>V</div> <div>E</div> <div>N</div> <div>U</div> <div>E</div> <div></div> <div>B</div> <div>A</div> <div>N</div> <div>S</div> <div>A</div> <div>R</div> <div>A</div> <div></div> <div>H</div> <div>I</div> <div>L</div> <div>L</div> </div>																			
Town / City	H Y D E R A B A D																			
District	H Y D E R A B A D																			
S.ate	A N D H R A P R A D E S H																			
P n ,Code	5 0 0 0 3 4																			

Name	M . S . R A M A K R I S H A N A											
	Surname				Middle Name				First Name			
Nationality	I	I - Indian F - Foreign										
	Date of Birth											
	02		01		53							
	Date		Month		Year							
*Designation	D											
Date of Appointment	30		03		95		Date of Ceasing					
	Date		Month		Year		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>											
Residential Address	P A R K V I E W E N C L A V E											
	R O A D N O . 2 B A N S A R A H I L S											
Town / City	H Y D E R A B A D											
District	H Y D E R A B A D											
State	A N D H R A P R A D E S H											
P.n Code	500034											

* C - Chairman-cum-Managing Director, W - Whole Time Director, S - Secretary, R - Manager, D - Director, M - Managing Director

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

Name	P	S	E	S	H	A	C	I	R	I	R	A	O									
	Surname					Middle Name					First Name											
Nationality	I	I - Indian	Date of Birth										2	0	1	2	7	2				
		F - Foreign											Date		Month		Year					
*Designation	S																					
Date of Appointment	2	6	0	3	0	1	Date of Ceasing										—	—	—			
	Date		Month		Year												Date		Month		Year	
Election Commission Identity Card No.																						
Residential Address	B	4	4		B	A	L	A	J	I	T	O	W	E	R	S						
	C	A	N	D	H	I	N	A	C	A	R											
Town / City	H	Y	D	E	R	A	B	A	D													
District	H	Y	D	E	R	A	B	A	D													
State	A	N	D	H	R	A	P	R	A	D	E	S	H									
Pin Code	5	0	0	0	8	0																

Name																										
	<i>Surname</i>								<i>Middle Name</i>								<i>First Name</i>									
Nationality	<input type="checkbox"/> - Indian <input type="checkbox"/> - Foreign		Date of Birth <table border="1" style="display: inline-table; width: 40px; height: 30px; vertical-align: middle;"></table> <table border="1" style="display: inline-table; width: 40px; height: 30px; vertical-align: middle;"></table> <table border="1" style="display: inline-table; width: 40px; height: 30px; vertical-align: middle;"></table>																							
*Designation																										
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	<i>Date</i>		<i>Month</i>		<i>Year</i>				<i>Date</i>		<i>Month</i>		<i>Year</i>													
Election Commission Identity Card No.																										
Residential Address																										
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Pin Code																										

Name												
	Surname				Middle Name				First Name			
Nationality	I - Indian F - Foreign				Date of Birth							
					Date		Month		Year			
Designation												
Date of Appointment					Date of Ceasing							
	Date		Month		Year		Date		Month		Year	
Election Commission Identity Card No												
Residential Address												
Town / City												
District												
State												
Pin Code												

Chairman and Managing Director, W - Whole Time Director, S - Secretary, R - Manager, D - Director, M - Managing Director
N/A - Additional information may be stated 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 Shares /
Debenture☐

1 - Equity, 2 - Preference Shares, 3 - Debentures, 4 - Stock

Number of Shares/Debentures
Held / Stock, if anyAmount per
Share (in Rs.)

Address

Town / City

District

State

Pin Code

Ledger Folio of Share / Debenture Holder

Share /

Debenture

Holder's Name

Surname

Middle Name

First Name

Father's /

Husband's

Name

Type of Shares /
Debenture☐

1 - Equity, 2 - Preference Shares, 3 - Debentures, 4 - Stock

Number of Shares/Debentures
Held / Stock, if anyAmount per
Share (in Rs.)

Address

Town / City

District

State

Pin Code

Ledger Folio of Share / Debenture Holder

Share /

Debenture

Holder's Name

Surname

Middle Name

First Name

Father's /

Husband's

Name

Type of Shares /
Debenture☐

1 - Equity, 2 - Preference Shares, 3 - Debentures, 4 - Stock

Number of Shares/Debentures
Held / Stock, if anyAmount per
Share (in Rs.)

Address




Town / City

District

State

Pin Code

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

Date Month Year

[] 1 – Equity, 2 – Preference Shares, 3 – Debentures, 4 – Stock

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	Surname	X	Middle Name		First Name	
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[illegible]

Date *Month* *Year*

1 – Equity, 2 – Preference Shares, 3 – Debentures, 4 – Stock

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						*														
<i>Surname</i>						<i>Middle Name</i>				<i>First Name</i>										

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<i>Surname</i>						<i>Middle Name</i>						<i>First Name</i>							

☐ 1 – Equity, 2 – Preference Shares, 3 – Debentures, 4 – Stock

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[illegible]

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<i>Surname</i>	<i>Middle Name</i>	<i>First Name</i>

NOTE :— Separate sheet may be attached if needed. If number of such transactions exceed 10, it 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]

Amount

						9	4	8	9
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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 | | | | | | | | | | | | |
| <table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr></table> | | | | <table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr></table> | | | | <table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr></table> | | | | <table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr></table> | | | |
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| | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | |
| (v) Mutual Funds | (vi) Venture Capital | (vii) Foreign Holdings
(FIIs/FCs/FFIs/NRIs/OCBs) | (viii) Bodies Corporate
(Not mentioned above) | | | | | | | | | | | | |
| <table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr></table> | | | | <table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr></table> | | | | <table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr></table> | | | | <table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr></table> | | | |
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| | | | | | | | | | | | | | | | |
| (ix) Directors / Relatives
of Directors | (x) Other top 50 Share Holders
(Other than those listed above) | | | | | | | | | | | | | | |
| <table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr></table> | | | | <table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr></table> | | | | | | | | | | | |
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We certify that :

- (a) the return states the facts as they stood on the date of the annual general meeting aforesaid, correctly and completely;
 - (b) 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;
 - (c) the whole of the amount of dividend remaining unpaid or unclaimed for a period of three years from the date of transfer to the special account has been transferred to the General Revenue Account of the Central Government as required under sub-section (5) of Section 205A;
 - (d) 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 a 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;
 - (e) where the annual return discloses the fact that the number of members of the company exceeds 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;
 - (f) since the date of annual general meeting with reference to which the first 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 per cent or more of its paid up share capital;
 - (g) the company did not have an average turnover of Rs. Ten Crores or more during the relevant period;
 - (h) since the date of the 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 per cent or more of the paid up share capital of one or more public companies;
- and
- (i) the private company did not accept or renew or invite deposits from the public.

Signed

Director :

Director / Managing Director /
Manager / Secretary :

Secretary in whole time practice :

CP No.

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 recognised stock exchange, the certificates shall also be signed by a secretary in whole time practice.

KARVY STOCK BROKING LIMITED

SCHEDULE VI Balance Sheet Abstract & Company's General Business Profile

THE COMPANIES ACT, 1956 (1 OF 1956)

I. Registration Details :

Registration No. 19877

State Code

01
(Refer Code List)

Balance Sheet Date

31 03 03
Date Month Year

II. Capital raised during the year : (Amount in Rs. Thousands)

Public Issue

Rights Issue

Bonus Issue

Private Placement

III. Position of Mobilisation and Deployment of Funds : (Amount in Rs. Thousands)

Total Liabilities 340724

Total Assets 394436

Sources of Funds

Paid up Capital 40020

Reserves & Surplus 13691

Secured Loans 9489

Unsecured Loans 22005

Application of Funds

Net Fixed Assets 50233

Investments 9714

Net Current Assets 28454

Miscellaneous Expenditure

Accumulated Losses

IV. Performance of Company : (Amount in Rs. Thousands)

Income Tax 206919

Total Expenditure 190093

Profit/Loss before tax
+ 16826

Profit/Loss after tax
9659

(Please tick appropriate box + for Profit, - for Loss)

Earning per Share in Rs. 6.92

Dividend rate % 20

V. Generic Names of Three Principal Products/Services of Company (as per monetary terms)

Item Code No. (ITC Code) NA

Product Description
SERVICE STOCK BROKING.

Item Code No. (ITC Code)

Product Description

Item Code No. (ITC Code)

Product Description

NOTE :- For ITC Code of Products please refer to the publication Indian Trade Classification based on harmonized commodity description and coding system by Ministry of Commerce, Directorate General of Commercial Intelligence & Statistics, Calcutta-700 001.

ANNEXURE I CODE LIST I : STATE CODES

State Code	State Name	State Code	State Name	State Code	State Name	State Code	State Name
01	Andhra Pradesh	02	Assam	17	Rajasthan	18	Tamil Nadu
03	Bihar	04	Gujarat	20	Uttar Pradesh	21	West Bengal
05	Haryana	06	Himachal Pradesh	22	Sikkim	23	Arunachal Pradesh
07	Jammu & Kashmir	08	Karnataka	24	Goa	52	Andaman Islands
09	Kerala	10	Madhya Pradesh	53	Chandigarh	54	Dadra Islands
11	Maharashtra	12	Manipur	55	Delhi	56	Daman & Diu
13	Meghalaya	14	Nagaland	57	Lakshwadeep	58	Mizoram
15	Orissa	16	Punjab	59	Pondicherry		

Available with : M/s. LAW SALESCO

B.1

27/11/09

ANNUAL RETURN OF KARVY STOCK BROKING LIMITED

Form of Annual Return of A Company Having a Share Capital

REC. NO.

ANNUAL RETURN

I. Re

REG NO.

Regis

Re

1 9 8 7 7

State Code 0 1

(Refer Code list No.1)

3 0

Date

0 3

Month

1 9 9 5

Year

Whether listed on recognised
Stock Exchange

Y - Yes

N - No

N

ange Code (Totals)
e list 2)

A

N A

B

N A

AGM Held

Y

Y- Yes

N- No

Date of AGM/Due Date-

2 8

0 9

2 0 0 4

II. Name and Registered Office Address of the Company :

Company Name

K A R V Y S T O C K B R O K I N G
L I M I T E D

Address

4 6 , A V E N U E 4 , S T R E E T N O . 1
B A N J A R A H I L L S

Town/City

H Y D E R A B A D

State

A N D H R A P R A D E S H

Pin Code

5 0 0 0 3 4

Telephone with
STD

0 4 0 2 3 3 1 2 4 5 4

Fax Number

0 4 0 2 3 3 5 1 9 8 9

E mail address

k s b i @ k a r v y . c o m

Company No. 19877	Document No. 79
Registration/Return Date 11.4.08	
Signature	54
Asst. Dy./Registrar	

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	<input type="text"/> <input type="text"/> 2 <input type="text"/> 5 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> 1 <input type="text"/> 0
(ii) Preference	<input type="text"/> <input type="text"/> <input type="text"/> 3 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> 1 <input type="text"/> 0 <input type="text"/> 0
Total Authorised Capital	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> 5 <input type="text"/> 5 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0	

Issued Share Capital Break Up

Type of Shares	No. of Shares	Nominal Value (in Rs.)
(i) Equity	<input type="text"/> <input type="text"/> 1 <input type="text"/> 3 <input type="text"/> 3 <input type="text"/> 5 <input type="text"/> 3 <input type="text"/> 2 <input type="text"/> 8	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> 1 <input type="text"/> 0
(ii) Preference	<input type="text"/> <input type="text"/> <input type="text"/> 3 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> 1 <input type="text"/> 0 <input type="text"/> 0
Total Issued Capital	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> 4 <input type="text"/> 3 <input type="text"/> 3 <input type="text"/> 5 <input type="text"/> 3	

Subscribed Share Capital Break Up

Type of Shares	No. of Shares	Nominal Value (in Rs.)
(i) Equity	<input type="text"/> <input type="text"/> 1 <input type="text"/> 3 <input type="text"/> 3 <input type="text"/> 5 <input type="text"/> 3 <input type="text"/> 2 <input type="text"/> 8	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> 1 <input type="text"/> 0
(ii) Preference	<input type="text"/> <input type="text"/> <input type="text"/> 3 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> 1 <input type="text"/> 0 <input type="text"/> 0
Total Subscribed Capital	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> 4 <input type="text"/> 3 <input type="text"/> 3 <input type="text"/> 5 <input type="text"/> 3	

Paid up Share Capital Break Up

Type of Shares	No. of Shares	Nominal Value (in Rs.)
(i) Equity	<input type="text"/> <input type="text"/> 1 <input type="text"/> 3 <input type="text"/> 3 <input type="text"/> 5 <input type="text"/> 3 <input type="text"/> 2 <input type="text"/> 8	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> 1 <input type="text"/> 0
(ii) Preference	<input type="text"/> <input type="text"/> <input type="text"/> 3 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> 1 <input type="text"/> 0 <input type="text"/> 0
Total Paid up Capital	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> 4 <input type="text"/> 3 <input type="text"/> 3 <input type="text"/> 5 <input type="text"/> 3	

Debenture Break Up

Type of Debenture	No. of Debentures	Nominal Value (in Rs.)
(i) Non - Convertible	<input type="text"/> <input type="text"/> N <input type="text"/> I <input type="text"/> L <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> N <input type="text"/> I <input type="text"/> L <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
(ii) Partly Convertible	<input type="text"/> <input type="text"/> N <input type="text"/> I <input type="text"/> L <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> N <input type="text"/> I <input type="text"/> L <input type="text"/> <input type="text"/> <input type="text"/>
(iii) FullyConvertible	<input type="text"/> <input type="text"/> N <input type="text"/> I <input type="text"/> L <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> N <input type="text"/> I <input type="text"/> L <input type="text"/> <input type="text"/> <input type="text"/>
Total Amount	<input type="text"/> <input type="text"/> <input type="text"/> N <input type="text"/> I <input type="text"/> L <input type="text"/> <input type="text"/> <input type="text"/>	

IV. Director/Manager/Secretary Information (Past and Present) : (Refer Clause 6 of Part I of Sch V)

Name	C . P A R T H A S A R A T H Y																								
Nationality	I	I - Indian		F - Foreign	Date of Birth	07	07	1955																	
Designation	D				Date		Month	Year																	
Date of Appointment	26	05	1995	Date of Ceasing	-	-	-	-																	
	Date	Month	Year	Date		Month	Year																		
Election Commission Identity Card																									
Residential Address	8 - 2 - 540 / 2, ROAD NO. 4 BANJARA HILLS																								
Town/City	HYDERABAD																								
District	HYDERABAD																								
State	ANDHRA PRADESH												Pin Code	500034											

Name	M . Y U G A N D H A R																								
Nationality	I	I - Indian		F - Foreign	Date of Birth	10	07	1951																	
Designation	D				Date		Month	Year																	
Date of Appointment	30	03	1995	Date of Ceasing	-	-	-	-																	
	Date	Month	Year	Date		Month	Year																		
Election Commission Identity Card																									
Residential Address	2B, FALCON CREST AVENUE 20 ROAD NO. 10, BANJARA HILLS																								
Town/City	HYDERABAD																								
District	HYDERABAD																								
State	ANDHRA PRADESH												Pin Code	500034											

Name	M . S . R A M A K R I S H N A																								
Nationality	I	I - Indian		F - Foreign	Date of Birth	02	01	1953																	
Designation	D				Date		Month	Year																	
Date of Appointment	30	03	1995	Date of Ceasing	-	-	-	-																	
	Date	Month	Year	Date		Month	Year																		
Election Commission Identity Card																									
Residential Address	PARK VIEW ENCLAVE, ROAD NO. 2 BANJARA HILLS																								
Town/City	HYDERABAD																								
District	HYDERABAD																								
State	ANDHRA PRADESH												Pin Code	500034											

*

C- Chairman-cim-Managing Director W- Whole Time Director S- Secreteray R-Manager D-Director M-Managing Director

IV. Director/Manager/Secretary Information (Past and Present) (Contd.)

Name	P S E S H A G I R I																							
Nationality	<input type="checkbox"/> I	I - Indian	<input type="checkbox"/> F	F- Foreign	Date of Birth	<input type="text" value="20"/>	<input type="text" value="12"/>	<input type="text" value="1972"/>																
Designation	<input type="text" value="S"/>				Date		Month	Year																
Date of Appointment	<input type="text" value="26"/>	<input type="text" value="03"/>	<input type="text" value="2001"/>	Date of Ceasing	<input type="text" value="07"/>	<input type="text" value="11"/>	<input type="text" value="2002"/>																	
	Date	Month	Year	Date	Month	Year																		
Election Commission Identity Card																								
Residential Address	B 4 4 B A L A J I T O W E R S G A N D H I N A G A R																							
Town/City	H Y D E R A B A D																							
District	H Y D E R A B A D																							
State	A N D H R A P R A D E S H Pin Code <input type="text" value="500016"/>																							

Name	A N S A R M A																							
Nationality	<input type="checkbox"/> I	I - Indian	<input type="checkbox"/> F	F- Foreign	Date of Birth	<input type="text" value="10"/>	<input type="text" value="01"/>	<input type="text" value="1956"/>																
Designation	<input type="text" value="S"/>				Date		Month	Year																
Date of Appointment	<input type="text" value="18"/>	<input type="text" value="03"/>	<input type="text" value="2004"/>	Date of Ceasing	<input type="text" value="-"/>	<input type="text" value="-"/>	<input type="text" value="-"/>	<input type="text" value="-"/>																
	Date	Month	Year	Date	Month	Year																		
Election Commission Identity Card																								
Residential Address	P L O T N O 7 2 S A N T O S H I M A N A G A R S A F I L G U D A																							
Town/City	S E C U N D E R A B A D																							
District	S E C U N D E R A B A D																							
State	A N D H R A P R A D E S H Pin Code <input type="text" value="500056"/>																							

Name																								
Nationality	<input type="checkbox"/>	I - Indian	<input type="checkbox"/>	F- Foreign	Date of Birth	<input type="text"/>	<input type="text"/>	<input type="text"/>																
Designation	<input type="text"/>				Date		Month	Year																
Date of Appointment	<input type="text"/>	<input type="text"/>	<input type="text"/>	Date of Ceasing	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>																
	Date	Month	Year	Date	Month	Year																		
Election Commission Identity Card																								
Residential Address																								
Town/City																								
District																								

C- Chairman-cim-Managing Director W- Whole Time Director S- Secretary R-Manager D-Director M-Managing Director

V. Details of shares /Debentures held at Date of AGM

Ledger folio of Share/Debenture Holder

Share/Debenture Holders name

Surname Middle name First name

Father's name/Husband's name

Type of shares/Debentures ☐ 1- Equity 2- Preference shares 3- Debentures 4- Stock

No. of shares/debentures Held /Stock if any Amount per share (in Rs.)

Address

Town/City

District

State

Pin code

Ledger folio of Share/Debenture Holder

Share/Debenture Holders name

Surname Middle name First name

Father's name/Husband's name

Type of shares/Debentures ☐ 1- Equity 2- Preference shares 3- Debentures 4- Stock

No. of shares/debentures Held /Stock if any Amount per share (in Rs.)

Address

Town/City

District

State

Pin code

Ledger folio of Share/Debenture Holder

Share/Debenture Holders name

Surname Middle name First name

Father's name/Husband's name

Type of shares/Debentures ☐ 1- Equity 2- Preference shares 3- Debentures 4- Stock

No. of shares/debentures Held /Stock if any Amount per share (in Rs.)

Address

Town/City

District

State

Pin code

**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

Date of Registration of Transfers

Type of transfer ☒ 1- Equity 2- Preference shares 3- Debentures 4- Stock

No. of shares/debentures transfred Amount per share (in Rs.)

Ledger Folio of Transferor

Transferor's name

Ledger Folio of Transferee

Transferee's name

Date of Registration of Transfers

Type of transfer ☐ 1- Equity 2- Preference shares 3- Debentures 4- Stock

No. of shares/debentures transfred Amount per share (in Rs.)

Ledger Folio of Transferor

Transferor's name

Ledger Folio of Transferee

Transferee's name

Date of Registration of Transfers

Type of transfer ☐ 1- Equity 2- Preference shares 3- Debentures 4- Stock

No. of shares/debentures transfred Amount per share (in Rs.)

Ledger Folio of Transferor

Transferor's name

Ledger Folio of Transferee

Transferee's name

NO TRANSFERS WERE RECORDED DURING THE YEAR

VII. Indebtedness of the Company (Amount in Rs. Thousands)

(Secured Loans including interest outstanding/accrued but not due for payment)

Amount

						3	0	5	7	6
--	--	--	--	--	--	---	---	---	---	---

VIII. Equity share Capital Break up (Percentage of Total Equity):

(i) Govt. (Central and State	(ii) Govt. Companies	(iii) Public Financial Institutions	(iv) Nationalised / Other Banks																
<table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px; text-align: center;">-</td><td style="width: 20px; height: 20px; text-align: center;">-</td><td style="width: 20px; height: 20px;"></td></tr></table>		-	-		<table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px; text-align: center;">-</td><td style="width: 20px; height: 20px; text-align: center;">-</td><td style="width: 20px; height: 20px;"></td></tr></table>		-	-		<table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px; text-align: center;">-</td><td style="width: 20px; height: 20px; text-align: center;">-</td><td style="width: 20px; height: 20px;"></td></tr></table>		-	-		<table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px; text-align: center;">-</td><td style="width: 20px; height: 20px; text-align: center;">-</td><td style="width: 20px; height: 20px;"></td></tr></table>		-	-	
	-	-																	
	-	-																	
	-	-																	
	-	-																	
(v) Mutual Funds	(vi) Venture Capital	(vii) Foreign Holdings (FIIs/FCs/FFIs/NRIs/OCBs)																	
<table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px; text-align: center;">-</td><td style="width: 20px; height: 20px; text-align: center;">-</td><td style="width: 20px; height: 20px;"></td></tr></table>		-	-		<table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px; text-align: center;">-</td><td style="width: 20px; height: 20px; text-align: center;">-</td><td style="width: 20px; height: 20px;"></td></tr></table>		-	-		<table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px; text-align: center;">-</td><td style="width: 20px; height: 20px; text-align: center;">-</td><td style="width: 20px; height: 20px;"></td></tr></table>		-	-		<table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px; text-align: center;">-</td><td style="width: 20px; height: 20px; text-align: center;">-</td><td style="width: 20px; height: 20px;"></td></tr></table>		-	-	
	-	-																	
	-	-																	
	-	-																	
	-	-																	
(viii) Bodies Corporate (Not mentioned in the above)	(ix) Directors/Relatives of Directors	(x) Other top 50 Share Holders (Other than those listed above)																	
<table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px; text-align: center;">-</td><td style="width: 20px; height: 20px; text-align: center;">-</td><td style="width: 20px; height: 20px;"></td></tr></table>		-	-		<table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px; text-align: center;">1</td><td style="width: 20px; height: 20px; text-align: center;">0</td><td style="width: 20px; height: 20px; text-align: center;">0</td></tr></table>		1	0	0	<table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px; text-align: center;">-</td><td style="width: 20px; height: 20px; text-align: center;">-</td><td style="width: 20px; height: 20px;"></td></tr></table>		-	-						
	-	-																	
	1	0	0																
	-	-																	

We Certify that

- (a) the return states the facts as they stood on the date of the annual general meeting aforesaid, correctly and completely;
- (b) 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 ;
- (c) the whole of the amount remaining unpaid or unclaimed for a period of three years from the date of transfer to the special account has been transferred to the General Revenue Account of the Central Government as required under sub-section (5) of the Section 205A;
- (d) the Company has not, since the date of 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 transfer of shares or debentures of the Company;
- (e) 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;
- (f) since the date of the annual general meeting with reference to which the first return was submitted or in the case of a first return since the date of 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 ;
- (g) the Company did not have an average turnover of Rs. Ten Crores or more during the relevant period
- (h) since the date of the 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 capital of one or more public companies ; and
- (i) the private company did not accept or renew or invite deposits from the public

For Kavya Steel Rolling Limited

Director: X M. S. Manohar

For Kavya Steel Rolling Limited Director

Director/Managing Director: M. S. Manohar

Director

Secretary in whole time practise: _____

CP No. : _____

ANNEXURE**KARVY STOCK BROKING LIMITED**
Details of Shares held at the date of Annual General Meeting

Sl no	Name and Address	Fathers / Husbands Name	No. of Equity Shares of Rs. 10/- each	Folio No.
1	M.S. RAMAKRISHNA Park View Enclave, Road No.2, Banjara Hills, Hyderabad-034.	Late M. Rushya Rao	223966	KSB000101
2	M. YUGANDHAR 2B, Falcon Crest, 20 Avenue, Banjara Hills, Hyderabad-034	Late M. Anjaneyulu	188728	KSB000102
3	C. PARTHASARATHY 8-2-540/2, Banjara Hills, Hyderabad – 0 34.	C.R. Rajagopalan	259304	KSB000105
4	KARVY CONSULTANTS LIMITED 46, Avenue 4, Street no.1, Banjara Hills, Hyderabad -034.	-Not applicable-	230480	KSB000108
5	COMPAR INVESTMENTS P.LTD 8-2-540/2, Banjara Hills, Hyderabad – 0 34.	-Not applicable-	343310	KSB000113
6	C. R. RAJAGOPALAN 8-2-540/2, Banjara Hills, Hyderabad – 0 34.	C.R. Parthasarathy Iyyengar	100	KSB000114
7	Dr. KOKILA PARTHASARATHY 8-2-540/2, Banjara Hills, Hyderabad – 0 34.	C. Parthasarathy	100	KSB000115
8	ADIRAJ PARTHASARATHY 8-2-540/2, Banjara Hills, Hyderabad – 0 34.	C. Parthasarathy	2366	KSB000116
9	RAJAT PARTHASARATHY 8-2-540/2, Banjara Hills, Hyderabad – 0 34.	C. Parthasarathy	2366	KSB000117
10	C. PARTHASARATHY HUF 8-2-540/2, Banjara Hills, Hyderabad – 0 34.	-Not applicable-	666	KSB000119
11	M. RAJANI 2B, Falcon Crest, 20 Avenue, Banjara Hills, Hyderabad-034	M. Yugandhar	35238	KSB000120
12	ADHIRAJAT INV PVT. LTD 8-2-540/2, Banjara Hills, Hyderabad – 0 34.	-Not applicable-	48704	KSB000121
	TOTAL		1335328	
13	KARVY INVESTOR SERVICES LTD 46, Avenue 4, Street no.1, Banjara Hills, Hyderabad -034.	-Not Applicable-	300000*	KSB000118
	TOTAL		300000*	

* Preference Shares of Rs.100/- each

For KARVY STOCK BROKING LIMITED


Company Secretary.

BALANCE SHEET ABSTRACT AND COMPANY'S GENERAL BUSINESS PROFILE OF KARVY INVESTOR SERVICES LIMITED

I. Registration Details :

Registration No.

	1	9	8	7	7
--	---	---	---	---	---

 State Code

0	1
---	---

 Date of B/s

3	1
---	---

0	3
---	---

0	4
---	---

II. Capital raised during the year : (Amount in Rs.Thousands)

Public Issue

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

 Rights Issue

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

Bonus Issue							Private Placement						
-------------	--	--	--	--	--	--	-------------------	--	--	--	--	--	--

III. Position of Mobilisation and Deployment of funds: (Amount in Rs. Thousands)

Total Liabilities			1	0	3	3	7	0	0	Total Assets			1	2	8	3	8	4	1
-------------------	--	--	---	---	---	---	---	---	---	--------------	--	--	---	---	---	---	---	---	---

<u>Sources of funds</u>									<u>Total Assets</u>										
Paidup capital					4	3	3	5	3	Reserves & surplus				2	0	6	8	4	6

Secured Loans					3	0	5	7	6	Unsecured Loans					3	3	8	5	4
---------------	--	--	--	--	---	---	---	---	---	-----------------	--	--	--	--	---	---	---	---	---

Application of funds									
Net fixed Assets				1	1	3	4	5	7
Investments							2	0	1 9 3

Net Current Assets				1	8	0	1	2	9	Misc. Expenditure				N	I	L			
--------------------	--	--	--	---	---	---	---	---	---	-------------------	--	--	--	---	---	---	--	--	--

Accumulated loss				N	I	L			
------------------	--	--	--	---	---	---	--	--	--

IV. Performance of the Company : (Rs. In Thousands)

Turn over

		1	1	8	0	1	9	5
--	--	---	---	---	---	---	---	---

 Total expenditure

				9	7	7	9	3	2
--	--	--	--	---	---	---	---	---	---

Profit/Loss before tax Profit/Loss after tax

Earnings per share	1	5	0	.	4	9	Dividend rate %	1	00
--------------------	---	---	---	---	---	---	-----------------	---	----

V. Generic name sof principal products/services of the Company (as per monetary terms)

[illegible]

Product Description	S	T	O	C	K	B	R	O	K	I	N	G	A	N	D							
	D	I	S	T	R	I	B	U	T	I	O	N	O	F	F	I	N	A	N	C	I	A
	L																					

[illegible][illegible]

ANNUAL RETURN OF KARVY STOCK BROKING LIMITED

Form of Annual Return of A Company Having a Share Capital

PRE-BOOKED
5/18/77
SIGN./DA

ANNUAL RETURN

1. Registration Details :

Registration No.

	1	9	8	7	7
--	---	---	---	---	---

State Code

0	1
---	---

(Refer Code list No.1)

Registration date

3	0
---	---

0	3
---	---

1	9	9	5
---	---	---	---

Date Month Year

Whether listed on recognised
Stock Exchange N

Y - Yes N - No

If yes, Stock Exchange Code (Totals) **A**

	N	A	
--	---	---	--

(Refer Code list 2)

B		N	A	
---	--	---	---	--

AGM Held ☐ Y Y- Yes
N- No

Date of AGM/Due Date:

2	9
---	---

0	6
---	---

2	0	0	5
---	---	---	---

II. Name and Registered Office Address of the Company :

Company Name

[illegible]

Address

46	A	V	E	N	U	E	4	S	T	R	E	E	T	N
B	A	N	J	A	R	A	H	I	L	L	S			

Town/City

H	Y	D	E	R	A	B	A	D									
---	---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--	--

State

A	N	D	H	R	A		P	R	A	D	E	S	H			
---	---	---	---	---	---	--	---	---	---	---	---	---	---	--	--	--

Pin Code

5	0	0	0	3	4
---	---	---	---	---	---

Telephone with
STD

		0	4	0
--	--	---	---	---

2	3	3	1	2	4	5	4
---	---	---	---	---	---	---	---

Fax Number

		0	4	0
--	--	---	---	---

2	3	3	5	1	9	8	9
---	---	---	---	---	---	---	---

E mail address

	k	s	b	i	@	k	a	r	v	y	.	c	o	m		
--	---	---	---	---	---	---	---	---	---	---	---	---	---	---	--	--

Company No. 19877 Docum. No. 87
Registered/Recorded/Filed on 17-8-05
date of Destruction/Permanent

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	36	37	38	39	40	41	42	43	44	45	46	47	48	49	50	51	52	53	54	55	56	57	58	59	60	61	62	63	64	65	66	67	68	69	70	71	72	73	74	75	76	77	78	79	80	81	82	83	84	85	86	87	88	89	90	91	92	93	94	95	96	97	98	99	100	101	102	103	104	105	106	107	108	109	110	111	112	113	114	115	116	117	118	119	120	121	122	123	124	125	126	127	128	129	130	131	132	133	134	135	136	137	138	139	140	141	142	143	144	145	146	147	148	149	150	151	152	153	154	155	156	157	158	159	160	161	162	163	164	165	166	167	168	169	170	171	172	173	174	175	176	177	178	179	180	181	182	183	184	185	186	187	188	189	190	191	192	193	194	195	196	197	198	199	200	201	202	203	204	205	206	207	208	209	210	211	212	213	214	215	216	217	218	219	220	221	222	223	224	225	226	227	228	229	230	231	232	233	234	235	236	237	238	239	240	241	242	243	244	245	246	247	248	249	250	251	252	253	254	255	256	257	258	259	260	261	262	263	264	265	266	267	268	269	270	271	272	273	274	275	276	277	278	279	280	281	282	283	284	285	286	287	288	289	290	291	292	293	294	295	296	297	298	299	300	301	302	303	304	305	306	307	308	309	310	311	312	313	314	315	316	317	318	319	320	321	322	323	324	325	326	327	328	329	330	331	332	333	334	335	336	337	338	339	340	341	342	343	344	345	346	347	348	349	350	351	352	353	354	355	356	357	358	359	360	361	362	363	364	365	366	367	368	369	370	371	372	373	374	375	376	377	378	379	380	381	382	383	384	385	386	387	388	389	390	391	392	393	394	395	396	397	398	399	400	401	402	403	404	405	406	407	408	409	410	411	412	413	414	415	416	417	418	419	420	421	422	423	424	425	426	427	428	429	430	431	432	433	434	435	436	437	438	439	440	441	442	443	444	445	446	447	448	449	450	451	452	453	454	455	456	457	458	459	460	461	462	463	464	465	466
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Ass. Dir. Registrar

REC. NO.

516291
REG. NO.

01-019877
A/R (SH-5)
29/06/2005
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05/08/2005

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#DSK 14:37

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	<input type="text"/> <input type="text"/> 2 <input type="text"/> 5 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> 1 <input type="text"/> 0
(ii) Preference	<input type="text"/> <input type="text"/> <input type="text"/> 3 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> 1 <input type="text"/> 0 <input type="text"/> 0
Total Authorised Capital	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> 5 <input type="text"/> 5 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0	

Issued Share Capital Break Up

Type of Shares	No. of Shares	Nominal Value (in Rs.)
(i) Equity	<input type="text"/> <input type="text"/> 1 <input type="text"/> 5 <input type="text"/> 5 <input type="text"/> 7 <input type="text"/> 8 <input type="text"/> 8 <input type="text"/> 3	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> 1 <input type="text"/> 0
(ii) Preference	<input type="text"/> <input type="text"/> <input type="text"/> 3 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> 1 <input type="text"/> 0 <input type="text"/> 0
Total Issued Capital	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> 4 <input type="text"/> 5 <input type="text"/> 5 <input type="text"/> 7 <input type="text"/> 8	

Subscribed Share Capital Break Up

Type of Shares	No. of Shares	Nominal Value (in Rs.)
(i) Equity	<input type="text"/> <input type="text"/> 1 <input type="text"/> 5 <input type="text"/> 5 <input type="text"/> 7 <input type="text"/> 8 <input type="text"/> 8 <input type="text"/> 3	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> 1 <input type="text"/> 0
(ii) Preference	<input type="text"/> <input type="text"/> <input type="text"/> 3 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> 1 <input type="text"/> 0 <input type="text"/> 0
Total Subscribed Capital	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> 4 <input type="text"/> 5 <input type="text"/> 5 <input type="text"/> 7 <input type="text"/> 8	

Paid up Share Capital Break Up

Type of Shares	No. of Shares	Nominal Value (in Rs.)
(i) Equity	<input type="text"/> <input type="text"/> 1 <input type="text"/> 5 <input type="text"/> 5 <input type="text"/> 7 <input type="text"/> 8 <input type="text"/> 8 <input type="text"/> 3	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> 1 <input type="text"/> 0
(ii) Preference	<input type="text"/> <input type="text"/> <input type="text"/> 3 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> 1 <input type="text"/> 0 <input type="text"/> 0
Total Paid up Capital	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> 4 <input type="text"/> 5 <input type="text"/> 5 <input type="text"/> 7 <input type="text"/> 8	

Debenture Break Up

Type of Debenture	No. of Debentures	Nominal Value (in Rs.)
(i) Non - Convertible	<input type="text"/> <input type="text"/> N <input type="text"/> I <input type="text"/> L <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> N <input type="text"/> I <input type="text"/> L <input type="text"/> <input type="text"/> <input type="text"/>
(ii) Partly Convertible	<input type="text"/> <input type="text"/> N <input type="text"/> I <input type="text"/> L <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> N <input type="text"/> I <input type="text"/> L <input type="text"/> <input type="text"/> <input type="text"/>
(iii) Fully Convertible	<input type="text"/> <input type="text"/> N <input type="text"/> I <input type="text"/> L <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> N <input type="text"/> I <input type="text"/> L <input type="text"/> <input type="text"/> <input type="text"/>
Total Amount	<input type="text"/> <input type="text"/> <input type="text"/> N <input type="text"/> I <input type="text"/> L <input type="text"/> <input type="text"/> <input type="text"/>	

IV. Director/Manager/Secretary Information (Past and Present) : (Refer Clause 6 of Part I of Sch V)

Name	C . P A R T H A S A R A T H Y																								
Nationality	I	I - Indian		F - Foreign	Date of Birth	0	7	0	7	1	9	5	5												
Designation	D																								
Date of Appointment	2	6	0	5	1	9	9	5	Date of Ceasing	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Election Commission Identity Card																									
Residential Address	P L O T N O 6 4 8 R O A D N O 3 4 J U B I L E E H I L L S																								
Town/City	H Y D E R A B A D																								
District	H Y D E R A B A D																								
State	A N D H R A P R A D E S H												Pin Code	5	0	0	0	3	3						

Name	M . Y U G A N D H A R																							
Nationality	I	I - Indian		F - Foreign	Date of Birth	1	0	0	7	1	9	5	1											
Designation	D																							
Date of Appointment	3	0	0	3	1	9	9	5	Date of Ceasing	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Election Commission Identity Card																								
Residential Address	2B, F A L C O N C R E S T A V E N U E 2 0 R O A D N O. 10, B A N J A R A H I L L S																							
Town/City	H Y D E R A B A D																							
District	H Y D E R A B A D																							
State	A N D H R A P R A D E S H												Pin Code	5	0	0	0	3	4					

Name	M . S . R A M A K R I S H N A																							
Nationality	I	I - Indian		F - Foreign	Date of Birth	0	2	0	1	1	9	5	3											
Designation	D																							
Date of Appointment	3	0	0	3	1	9	9	5	Date of Ceasing	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Election Commission Identity Card																								
Residential Address	P A R K V I E W E N C L A V E, R O A D N O. 2 B A N J A R A H I L L S																							
Town/City	H Y D E R A B A D																							
District	H Y D E R A B A D																							
State	A N D H R A P R A D E S H												Pin Code	5	0	0	0	3	4					

* C- Chairman-cum-Managing Director W- Whole Time Director S- Secretary R-Manager D-Director M-Managing Director

V. Details of shares /Debentures held at Date of AGM

Ledger folio of Share/Debenture Holder

Share/Debenture Holders name

Surname Middle name First name

Father's name/Husband's name

Type of shares/Debentures ☐ 1- Equity 2- Preference shares 3- Debentures 4- Stock

No. of shares/debentures Held /Stock if any Amount per share (in Rs.)

Address

Town/City

District

State

Pin code

Ledger folio of Share/Debenture Holder

Share/Debenture Holders name

Surname Middle name First name

Father's name/Husband's name

Type of shares/Debentures ☐ 1- Equity 2- Preference shares 3- Debentures 4- Stock

No. of shares/debentures Held /Stock if any Amount per share (in Rs.)

Address

Town/City

District

State

Pin code

Ledger folio of Share/Debenture Holder

Share/Debenture Holders name

Surname Middle name First name

Father's name/Husband's name

Type of shares/Debentures ☐ 1- Equity 2- Preference shares 3- Debentures 4- Stock

No. of shares/debentures Held /Stock if any Amount per share (in Rs.)

Address

Town/City

District

State

Pin code

**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 2 8 0 9 2 0 0 4

Date of Registration of Transfers	<input type="text"/>	<input type="text"/>	<input type="text"/>
Type of transfer	<input checked="" type="checkbox"/> 1- Equity	<input type="checkbox"/> 2- Preference shares	<input type="checkbox"/> 3- Debentures
No. of shares/debentures transfred	<input type="text"/>	Amount per share (in Rs.)	<input type="text"/>
Ledger Folio of Transferor	<input type="text"/>		
Transferor's name	<input type="text"/>		
Ledger Folio of Transferee	<input type="text"/>		
Transferee's name	<input type="text"/>		
Date of Registration of Transfers			
Type of transfer	<input type="checkbox"/> 1- Equity	<input type="checkbox"/> 2- Preference shares	<input type="checkbox"/> 3- Debentures
No. of shares/debentures transfred	<input type="text"/>	Amount per share (in Rs.)	<input type="text"/>
Ledger Folio of Transferor	<input type="text"/>		
Transferor's name	<input type="text"/>		
Ledger Folio of Transferee	<input type="text"/>		
Transferee's name	<input type="text"/>		
Date of Registration of Transfers			
Type of transfer	<input type="checkbox"/> 1- Equity	<input type="checkbox"/> 2- Preference shares	<input type="checkbox"/> 3- Debentures
No. of shares/debentures transfred	<input type="text"/>	Amount per share (in Rs.)	<input type="text"/>
Ledger Folio of Transferor	<input type="text"/>		
Transferor's name	<input type="text"/>		
Ledger Folio of Transferee	<input type="text"/>		
Transferee's name	<input type="text"/>		

7

VII. Indebtedness of the Company (Amount in Rs. Thousands)

(Secured Loans including interest outstanding/accrued but not due for payment)

Amount

					4	7	5	6	9	3
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VIII. Equity share Capital Break up (Percentage of Total Equity):

(i) Govt. (Central and State

	-	-	
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(ii) Govt. Companies

	-	-	
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(iii) Public Financial Institutions

	-	-	
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(iv) Nationalised / Other Banks

	-	-	
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(v) Mutual Funds

	-	-	
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(vi) Venture Capital

	-	-	
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(vii) Foreign Holdings

(FILs/FCs/FFIs/NRIs/OCBs)

	-	-	
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	-	-	
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(viii) Bodies Corporate

(Not mentioned in the above)

	-	-	
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(ix) Directors/Relatives of Directors

		1	0	0
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(x) Other top 50 Share Holders

(Other than those listed above)

	-	-	
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We Certify that

- (a) the return states the facts as they stood on the date of the annual general meeting aforesaid, correctly and completely;
- (b) 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 ;
- (c) the whole of the amount remaining unpaid or unclaimed for a period of three years from the date of transfer to the special account has been transferred to the General Revenue Account of the Central Government as required under sub-section (5) of the Section 205A;
- (d) the Company has not, since the date of 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 transfer of shares or debentures of the Company;
- (e) 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;
- (f) since the date of the annual general meeting with reference to which the first return was submitted or in the case of a first return since the date of 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 ;
- (g) the Company did not have an average turnover of Rs. Ten Crores or more during the relevant period
- (h) since the date of the 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 capital of one or more public companies ; and
- (i) the private company did not accept or renew or invite deposits from the public

Director :

(C. PARTHASARATHY)

Director :

(M. YUGANDHAR)

Secretary :

(A. N. SARMA)

M. No. :

BALANCE SHEET ABSTRACT AND COMPANY'S GENERAL BUSINESS PROFILE OF KARVY STOCK BROKING LIMITED

Balance Sheet Abstract & Company's General Business Profile

I. Registration Details :

Registration No.

	1	9	8	7	7
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 State Code

0	1
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 Date of B/s

3	1
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0	3
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0	5
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II. Capital raised during the year : (Amount in Rs.Thousands)

Public Issue Rights Issue

Bonus Issue								Private Placement							
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III. Position of Mobilisation and Deployment of funds: (Amount in Rs. Thousands)

Total Liabilities			1	8	1	2	2	1	1	Total Assets			2	2	6	9	8	5	7
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Sources of funds	
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Paidup capital				4	3	3	5	3	Reserves & surplus				4	1	4	2	9	3
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Secured Loans				4	7	5	6	9	3	Unsecured Loans					6	3	8	9	1
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Application of funds

Net fixed Assets				2	6	2	3	5	5	Investments					3	4	0	4	3
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Net Current Assets				7	4	7	7	0	6	Misc. Expenditure				N						
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Net Current Assets	[] [] [] [] [] [] [] []			Misc. Expenditure	[] [] [] [] [] [] [] []
Accumulated loss	[] [] [] N I U [] [] []				[] [] [] [] [] [] [] []

IV. Performance of the Company : (Rs. In Thousands)

Turn over

		1	5	2	0	9	4	4
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 Total expenditure

		1	2	2	7	0	8	8
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Profit/Loss before tax	Profit/Loss after tax
100	70
200	140
300	210
400	280
500	350
600	420
700	490
800	560
900	630
1000	700

+						2	9	3	8	5	6	+					2	2	7	1	8	8
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Earnings per share Dividend rate %

V. Generic name sof principal products/services of the Company (as per monetary terms)

[illegible][illegible][illegible][illegible]

EA

Karvy Stock Broking Limited
Shareholding Pattern as on 29-06- 2005

Sl. No	Name of the shareholder	No. of Equity Shares of Rs. 10/- each
1	M.S. RAMAKRISHNA.	223966
2	M. YUGANDHAR.	188728
3	C. PARTHASARATHY.	259304
4	KARVY CONSULTANTS LIMITED.	453035
5	COMPAR INVESTMENTS P.LTD.	343310
6	C. R. RAJAGOPALAN.	100
7	Dr. KOKILA PARTHASARATHY.	100
8	ADHIRAJ PARTHASARATHY.	2366
9	RAJAT PARTHASARATHY.	2366
10	C. PARTHASARATHY HUF	666
11	M. RAJANI	35238
12	ADHIRAJAT INV PVT. LTD	48704
	TOTAL	1557883
13	KARVY INVESTOR SERVICES LTD	300000*
	TOTAL	300000*

***Preference Shares of Rs.100/- each fully paid up**

For Karvy Stock Broking Limited



A. N. Sarma
Company Secretary

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	<input type="text"/> <input type="text"/> 2 <input type="text"/> 5 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> 1 <input type="text"/> 0
(ii) Preference	<input type="text"/> <input type="text"/> <input type="text"/> 3 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> 1 <input type="text"/> 0 <input type="text"/> 0
Total Authorised Capital	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> 5 <input type="text"/> 5 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0	

Issued Share Capital Break Up

Type of Shares	No. of Shares	Nominal Value (in Rs.)
(i) Equity	<input type="text"/> <input type="text"/> 1 <input type="text"/> 9 <input type="text"/> 4 <input type="text"/> 7 <input type="text"/> 3 <input type="text"/> 5 <input type="text"/> 3	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> 1 <input type="text"/> 0
(ii) Preference	<input type="text"/> <input type="text"/> <input type="text"/> 3 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> 1 <input type="text"/> 0 <input type="text"/> 0
Total Issued Capital	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> 4 <input type="text"/> 9 <input type="text"/> 4 <input type="text"/> 7 <input type="text"/> 3	

Subscribed Share Capital Break Up

Type of Shares	No. of Shares	Nominal Value (in Rs.)
(i) Equity	<input type="text"/> <input type="text"/> <input type="text"/> 1 <input type="text"/> 9 <input type="text"/> 4 <input type="text"/> 7 <input type="text"/> 3 <input type="text"/> 5 <input type="text"/> 3	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> 1 <input type="text"/> 0
(ii) Preference	<input type="text"/> <input type="text"/> <input type="text"/> 3 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> 1 <input type="text"/> 0 <input type="text"/> 0
Total Subscribed Capital	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> 4 <input type="text"/> 9 <input type="text"/> 4 <input type="text"/> 7 <input type="text"/> 3	

Paid up Share Capital Break Up

Type of Shares	No. of Shares	Nominal Value (in Rs.)
(i) Equity	<input type="text"/> <input type="text"/> <input type="text"/> 1 <input type="text"/> 9 <input type="text"/> 4 <input type="text"/> 7 <input type="text"/> 3 <input type="text"/> 5 <input type="text"/> 3	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> 1 <input type="text"/> 0
(ii) Preference	<input type="text"/> <input type="text"/> <input type="text"/> 3 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> 1 <input type="text"/> 0 <input type="text"/> 0
Total Paid up Capital	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> 4 <input type="text"/> 9 <input type="text"/> 4 <input type="text"/> 7 <input type="text"/> 3	

Debenture Break Up

Type of Debenture	No. of Debentures	Nominal Value (in Rs.)
(i) Non - Convertible	<input type="text"/> <input type="text"/> N <input type="text"/> I <input type="text"/> L <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> N <input type="text"/> I <input type="text"/> L <input type="text"/> <input type="text"/> <input type="text"/>
(ii) Partly Convertible	<input type="text"/> <input type="text"/> N <input type="text"/> I <input type="text"/> L <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> N <input type="text"/> I <input type="text"/> L <input type="text"/> <input type="text"/> <input type="text"/>
(iii) FullyConvertible	<input type="text"/> <input type="text"/> N <input type="text"/> I <input type="text"/> L <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> N <input type="text"/> I <input type="text"/> L <input type="text"/> <input type="text"/> <input type="text"/>
Total Amount	<input type="text"/> <input type="text"/> <input type="text"/> N <input type="text"/> I <input type="text"/> L <input type="text"/> <input type="text"/> <input type="text"/>	

Name	C . P A R T H A S A R A T H Y																							
Nationality	I	I - Indian				F- Foreign				Date of Birth				07		07		1955						
Designation	C																							
Date of Appointment	26		05		1995				Date of Ceasing				--		--		-- -- --							
	Date		Month		Year				Date				Month		Year									
Election Commission Identity Card																								
Residential Address	P L O T N O 6 4 8 R O A D N O 3 4 J U B I L E E H I L L S																							
Town/City	H Y D E R A B A D																							
District	H Y D E R A B A D																							
State	A N D H R A P R A D E S H												Pin Code				500033							

Name	M . Y U G A N D H A R
Nationality	I I - Indian F- Foreign Date of Birth
Designation	D Date Month Year
Date of Appointment	3 0 0 3 1 9 9 5 Date of Ceasing
Election Commission Identity Card	- - - - -
Residential Address	2 B, F A L C O N C R E S T S T R E E T NO. 1 R O A D N O . 1 0 B A N J A R A H I L L S
Town/City	H Y D E R A B A D
District	H Y D E R A B A D
State	A N D H R A P R A D E S H Pin Code
	5 0 0 0 3 4

Name	M . S . R A M A K R I S H N A
Nationality	I - Indian F- Foreign Date of Birth 0 2 0 1 1 9 5 3
Designation	D Date Month Year
Date of Appointment	3 0 0 3 1 9 9 5 Date of Ceasing - - - - Date Month Year
Election Commission Identity Card	
Residential Address	P A R K V I E W E N C L A V E, R O A D N O. 2 B A N J A R A H I L L S
Town/City	H Y D E R A B A D
District	H Y D E R A B A D
State	A N D H R A P R A D E S H Pin Code 5 0 0 0 3 4

C- Chairman-cim-Managing Director W- Whole Time Director S- Secreteray R-Manager D-Director M-Managing Director

IV. Director/Manager/Secretary Information (Past and Present) (Contd.)

Name	A K A S H M E H T A																			
Nationality	I	I - Indian	F - Foreign	Date of Birth	2 1	0 6	1 9 7 4													
Designation	D			Date		Month	Year													
Date of Appointment	1 5	0 7	2 0 0 5	Date of Ceasing	N A		N A													
	Date	Month	Year	Date		Month	Year													
Election Commission Identity Card																				
Residential Address	2 U P P E R A L B E R T R O A D A P T S																			
Town/City	A P T G 5																			
District	H O N G K O N G																			
State																				
	Pin Code																			

Name	S A M S U M C H A N G																			
Nationality	F	I - Indian	F - Foreign	Date of Birth	2 0	0 3	1 9 6 4													
Designation	D			Date		Month	Year													
Date of Appointment	1 5	0 7	2 0 0 5	Date of Ceasing	2 4	0 4	2 0 0 6													
	Date	Month	Year	Date		Month	Year													
Election Commission Identity Card																				
Residential Address	S U I T E 1 4 0 1 - 1 0 O N E P A C I F I C																			
Town/City	P L A C E 8 8 Q U E E N S W A Y																			
District	A D M I R A L T Y																			
State	H O N G K O N G																			
	Pin Code																			

Name	P E T E R W I N G H U N G S O																			
Nationality	F	I - Indian	F - Foreign	Date of Birth	2 9	0 6	1 9 5 2													
Designation	D			Date		Month	Year													
Date of Appointment	2 4	0 4	2 0 0 6	Date of Ceasing	N A		N A													
	Date	Month	Year	Date		Month	Year													
Election Commission Identity Card																				
Residential Address	1 2 F S I L V E R S T A R C O U R T																			
Town/City	22 - 26 V I L L A G E R O A D																			
District	H A P P Y V A L L E Y																			
	H O N G K O N G																			

*

C- Chairman-cim-Managing Director W- Whole Time Director S- Secreteray R-Manager D-Director M-Managing Director

V. Details of shares /Debentures held at Date of AGM **As per annexure**

Ledger folio of Share/Debenture Holder	<input type="text"/>
Share/Debenture Holders name	<input type="text"/> <i>Surname Middle name First name</i>
Father's name/Husband's name	<input type="text"/>
Type of shares/Debentures	<input type="checkbox"/> 1- Equity 2- Preference shares 3- Debentures 4- Stock
No. of shares/debentures Held /Stock if any	<input type="text"/> Amount per share (in Rs.) <input type="text"/>
Address	<input type="text"/>
Town/City	<input type="text"/>
District	<input type="text"/>
State	<input type="text"/>
Pin code	<input type="text"/>

Ledger folio of Share/Debenture Holder	<input type="text"/>
Share/Debenture Holders name	<input type="text"/> <i>Surname Middle name First name</i>
Father's name/Husband's name	<input type="text"/>
Type of shares/Debentures	<input type="checkbox"/> 1- Equity 2- Preference shares 3- Debentures 4- Stock
No. of shares/debentures Held /Stock if any	<input type="text"/> Amount per share (in Rs.) <input type="text"/>
Address	<input type="text"/>
Town/City	<input type="text"/>
District	<input type="text"/>
State	<input type="text"/>
Pin code	<input type="text"/>

Ledger folio of Share/Debenture Holder	<input type="text"/>
Share/Debenture Holders name	<input type="text"/> <i>Surname Middle name First name</i>
Father's name/Husband's name	<input type="text"/>
Type of shares/Debentures	<input type="checkbox"/> 1- Equity 2- Preference shares 3- Debentures 4- Stock
No. of shares/debentures Held /Stock if any	<input type="text"/> Amount per share (in Rs.) <input type="text"/>
Address	<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

2	9
---	---

0	6
---	---

2	0	0	5
---	---	---	---

Date of Registration of Transfers

Type of transfer 1 1- Equity 2- Preference shares 3- Debentures 4- Stock

No. of shares/debentures transfred	<input type="text"/>	Amount per share (in Rs.)	<input type="text"/>
---------------------------------------	----------------------	---------------------------	----------------------

Ledger Folio of Transferor							
----------------------------	--	--	--	--	--	--	--

[illegible]

Ledger Folio of Transferee							
----------------------------	--	--	--	--	--	--	--

Transferee's name

Date of Registration of Transfers

Type of transfer ☐ 1- Equity 2- Preference shares 3- Debentures 4- Stock

No. of shares/debentures transferred								Amount per share (in Rs.)						
---	--	--	--	--	--	--	--	---------------------------	--	--	--	--	--	--

Ledger Folio of Transferor							
----------------------------	--	--	--	--	--	--	--

Transferor's name

Ledger Folio of Transferee							
----------------------------	--	--	--	--	--	--	--

Transferee's name

Date of Registration of Transfers

Type of transfer ☐ 1- Equity 2- Preference shares 3- Debentures 4- Stock

No. of shares/debentures transfred								Amount per share (in Rs.)						
------------------------------------	--	--	--	--	--	--	--	---------------------------	--	--	--	--	--	--

Ledger Folio of Transferor							
----------------------------	--	--	--	--	--	--	--

[illegible]

Ledger Folio of Transferee							
----------------------------	--	--	--	--	--	--	--

Transferee's name

VII. Indebtedness of the Company (Amount in Rs. Thousands)

(Secured Loans including interest outstanding/accrued but not due for payment)

Amount						2	6	8	8	4	9
--------	--	--	--	--	--	---	---	---	---	---	---

VIII. Equity share Capital Break up (Percentage of Total Equity) :

(i) Govt. (Central and State)	(ii) Govt. Companies	(iii) Public Financial Institutions	(iv) Nationalised / Other Banks
<input type="text" value=""/> <input type="text" value="-"/> <input type="text" value="-"/> <input type="text" value=""/>	<input type="text" value=""/> <input type="text" value="-"/> <input type="text" value="-"/> <input type="text" value=""/>	<input type="text" value=""/> <input type="text" value="-"/> <input type="text" value="-"/> <input type="text" value=""/>	<input type="text" value=""/> <input type="text" value="-"/> <input type="text" value="-"/> <input type="text" value=""/>
(v) Mutual Funds	(vi) Venture Capital	(vii) Foreign Holdings (FIIs/FCs/FFIs/NRIs/OCBs)	
<input type="text" value=""/> <input type="text" value="-"/> <input type="text" value="-"/> <input type="text" value=""/>	<input type="text" value=""/> <input type="text" value="-"/> <input type="text" value="-"/> <input type="text" value=""/>	<input type="text" value="2"/> <input type="text" value="0"/> <input type="text" value=""/> <input type="text" value=""/>	<input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/>
(viii) Bodies Corporate (Not mentioned in the above)	(ix) Directors/Relatives of Directors	(x) Other top 50 Share Holders (Other than those listed above)	
<input type="text" value="4"/> <input type="text" value="3"/> <input type="text" value=""/> <input type="text" value="4"/> <input type="text" value="0"/>	<input type="text" value="3"/> <input type="text" value="6"/> <input type="text" value=""/> <input type="text" value="6"/> <input type="text" value="0"/>	<input type="text" value=""/> <input type="text" value="-"/> <input type="text" value="-"/> <input type="text" value=""/>	

We Certify that

- (a) the return states the facts as they stood on the date of the annual general meeting aforesaid, correctly and completely;
- (b) 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 ;
- (c) the whole of the amount remaining unpaid or unclaimed for a period of three years from the date of transfer to the special account has been transferred to the General Revenue Account of the Central Government as required under sub-section (5) of the Section 205A;
- (d) the Company has not, since the date of 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 transfer of shares or debentures of the Company;
- (e) 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;
- (f) since the date of the annual general meeting with reference to which the first return was submitted or in the case of a first return since the date of 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 ;
- (g) ~~the Company did not have an average turnover of Rs. Ten Crores or more during the relevant period~~
- (h) since the date of the 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 capital of one or more public companies ; and
- (i) the private company did not accept or renew or invite deposits from the public

Director : (C. PARTHASARATHY)

Director : (X)
(M. YUGANDHAR)

Secretary :
(Y.SAILAJA)
M. No. :

FORM 2

Return of allotment

[Pursuant to section 75(1) of the Companies Act, 1956]

Note - All fields marked in * are to be mandatorily filled.

1(a). * Corporate identity number (CIN) of company

U67120AP1995PLC019877

Pre - Fill

(b). Global location number (GLN) of company

2(a). Name of the company

KARVY STOCK BROKING LIMITED

(b). Address of the registered office of the company

46, AVENUE4, STREET N
BANJARA HILLS,
HYDERABAD, ANDHRA PRADESH
Andhra Pradesh
INDIA
500034

3. * Date of allotment

23/11/2007

(DD/MM/YYYY)

4. Shares allotted payable in cash

Class of shares

☐ Preference

☒ Equity

Class of Shares	Preference	Equity
Number of shares allotted		261,230
Nominal amount per share (in Rs.)		10.00
Total nominal amount (in Rs.)		2,612,300
Amount paid per share on application (in Rs.)		0.00
Total amount paid on application (in Rs.)		0.00
Amount due and payable per share on allotment (excluding premium) (in Rs.)		10.00
Total amount paid on allotment (excluding premium) (in Rs.)		2,612,300.00
Premium amount per share due and payable (if any) (in Rs.)		4200.85
Total premium amount due and payable (if any) (in Rs.)		1,097,388,045.5
Premium amount paid per share (if any) (in Rs.)		4200.85
Total premium amount paid (if any) (in Rs.)		1,097,388,045.5
Amount of discount per share (if any) (in Rs.)		0.00
Total discount amount (if any) (in Rs.)		0.00

5. Shares allotted for consideration otherwise than in cash

Class of shares

☐ Preference

☐ Equity

Class of Shares	Preference	Equity
Number of shares allotted		
Nominal amount per share (in Rs.)		
Amount to be treated as paid-up on each share (in Rs.)		
The consideration for which such shares have been allotted		
(a).Property and assets acquired Description		
Amount (in Rs.)		
(b).Goodwill Description		
Amount (in Rs.)		
(c). Services (give nature of services) Description		
Amount (in Rs.)		
(d) Other items (to be specified) Description		
Amount (in Rs.)		

6. Bonus shares issued

(a) Number of bonus shares

(b) Nominal amount per share

(in Rs.)

(c) Amount to be treated as paid-up per share (in Rs.)

- 7(a). Total nominal value of equity shares issued including the present allotment (in Rs.)
- (b). Total nominal value of preference shares issued including the present allotment (in Rs.)
- 8 (a). Date of passing the special resolution authorising issue under section 81 (DD/MM/YYYY)
- (b). Service request number (SRN) of Form 23

Attachments

1. Copy of the resolution authorising the issue of bonus shares
2. *List of allottees
3. Copy of the resolution for the issue of shares at a discount with a copy of the order of the Central Government
4. Copy of the contract, if any, for allotment of shares for consideration otherwise than in cash
5. Optional attachment(s) - if any

List of attachments

List of Allottees.pdf

Declaration

To the best of my knowledge and belief, the information given in this form and its attachments is correct and complete. I have been authorised by the board of directors' resolution dated * (DD/MM/YYYY) to sign and submit this form.

To be digitally signed by

Managing director or director or manager or secretary of the company

COMMANDU
R
PARTHASAR
ATHY 579314

CERTIFICATE

It is hereby certified that I have verified the above particulars from the books of account and records of M/s and found them to be true and correct.

Chartered accountant or cost accountant or company secretary (in whole-time practice)

K.V.S.
SUBRAMA
NYAM
505953

For office use only:

This e-Form is hereby registered

Digital signature of the authorising officer

KLP
Prasad

ANNUAL RETURN OF KARVY STOCK BROKING LIMITED

Form of Annual Return of A Company Having a Share Capital

ANNUAL RETURN

1. Registration Details :

Registration No.

	1	9	8	7	7
--	---	---	---	---	---

State Code

0	1
---	---

(Refer Code list No.1)

Registration date

3	0
---	---

0	3
---	---

1	9	9	5
---	---	---	---

Date Month Year

Whether listed on recognised
Stock Exchange N
Y - Yes N - No

If yes, Stock Exchange Code (Totals) **A**

	N	A	
--	---	---	--

(Refer Code list 2)

B		N	A	
---	--	---	---	--

AGM Held ☒ Y- Yes
N- No

Date of AGM/Due Date

II. Name and Registered Office Address of the Company :[illegible]

Address	46	A	V	E	N	U	E	4	S	T	R	E	E	T	N	O.	1				
	B	A	N	J	A	R	A	H	I	L	L	S									

[illegible][illegible]

Pin Code	5	0	0	0	3	4
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Telephone with STD

		0	4	0
--	--	---	---	---

2	3	3	1	2	4	5	4
---	---	---	---	---	---	---	---

Fax Number

		0	4	0
--	--	---	---	---

2	3	4	4	0	6	0	5
---	---	---	---	---	---	---	---

E mail address c o m p s e c @ k a r v y . c o m

~~1~~

me

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	<input type="text"/> <input type="text"/> 3 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> 1 <input type="text"/> 0
(ii) Preference	<input type="text"/> <input type="text"/> 3 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> 1 <input type="text"/> 0 <input type="text"/> 0
Total Authorised Capital	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> 6 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0	

Issued Share Capital Break Up

Type of Shares	No. of Shares	Nominal Value (in Rs.)
(i) Equity	<input type="text"/> <input type="text"/> 1 <input type="text"/> 9 <input type="text"/> 4 <input type="text"/> 7 <input type="text"/> 3 <input type="text"/> 5 <input type="text"/> 3	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> 1 <input type="text"/> 0
(ii) Preference	<input type="text"/> <input type="text"/> 3 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> 1 <input type="text"/> 0 <input type="text"/> 0
Total Issued Capital	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> 4 <input type="text"/> 9 <input type="text"/> 4 <input type="text"/> 7 <input type="text"/> 3	

Subscribed Share Capital Break Up

Type of Shares	No. of Shares	Nominal Value (in Rs.)
(i) Equity	<input type="text"/> <input type="text"/> 1 <input type="text"/> 9 <input type="text"/> 4 <input type="text"/> 7 <input type="text"/> 3 <input type="text"/> 5 <input type="text"/> 3	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> 1 <input type="text"/> 0
(ii) Preference	<input type="text"/> <input type="text"/> 3 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> 1 <input type="text"/> 0 <input type="text"/> 0
Total Subscribed Capital	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> 4 <input type="text"/> 9 <input type="text"/> 4 <input type="text"/> 7 <input type="text"/> 3	

Paid up Share Capital Break Up

Type of Shares	No. of Shares	Nominal Value (in Rs.)
(i) Equity	<input type="text"/> <input type="text"/> 1 <input type="text"/> 9 <input type="text"/> 4 <input type="text"/> 7 <input type="text"/> 3 <input type="text"/> 5 <input type="text"/> 3	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> 1 <input type="text"/> 0
(ii) Preference	<input type="text"/> <input type="text"/> 3 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0 <input type="text"/> 0	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> 1 <input type="text"/> 0 <input type="text"/> 0
Total Paid up Capital	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> 4 <input type="text"/> 9 <input type="text"/> 4 <input type="text"/> 7 <input type="text"/> 3	

Debenture Break Up

Type of Debenture	No. of Debentures	Nominal Value (in Rs.)
(i) Non - Convertible	<input type="text"/> <input type="text"/> N <input type="text"/> I <input type="text"/> L <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> N <input type="text"/> I <input type="text"/> L <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
(ii) Partly Convertible	<input type="text"/> <input type="text"/> N <input type="text"/> I <input type="text"/> L <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> N <input type="text"/> I <input type="text"/> L <input type="text"/> <input type="text"/> <input type="text"/>
(iii) Fully Convertible	<input type="text"/> <input type="text"/> N <input type="text"/> I <input type="text"/> L <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> N <input type="text"/> I <input type="text"/> L <input type="text"/> <input type="text"/> <input type="text"/>
Total Amount	<input type="text"/> <input type="text"/> <input type="text"/> N <input type="text"/> I <input type="text"/> L <input type="text"/> <input type="text"/> <input type="text"/>	

20/10/20

me

IV. Director/Manager/Secretary Information (Past and Present) : (Refer Clause 6 of Part I of Sch V)

Name	C . P A R T H A S A R A T H Y																								
Nationality	I	I - Indian		F- Foreign	Date of Birth	07	07	1955																	
Designation	C																								
Date of Appointment	26	05	1995	Date of Ceasing	NA																				
	Date	Month	Year	Date	Month	Year																			
Election Commission Identity Card																									
Residential Address	P L O T N O 6 4 8 R O A D N O 3 4 J U B I L E E H I L L S																								
Town/City	H Y D E R A B A D																								
District	H Y D E R A B A D																								
State	A N D H R A P R A D E S H															Pin Code	500033								

Name	M . Y U G A N D H A R																								
Nationality	I	I - Indian		F- Foreign	Date of Birth	10	07	1951																	
Designation	D																								
Date of Appointment	30	03	1995	Date of Ceasing	NA																				
	Date	Month	Year	Date	Month	Year																			
Election Commission Identity Card																									
Residential Address	22 N A N D A G I R I H I L L S R O A D N O 6 9 J U B I L E E H I L L S																								
Town/City	H Y D E R A B A D																								
District	H Y D E R A B A D																								
State	A N D H R A P R A D E S H															Pin Code	500033								

Name	M . S . R A M A K R I S H N A																								
Nationality	I	I - Indian		F- Foreign	Date of Birth	02	01	1953																	
Designation	W																								
Date of Appointment	30	03	1995	Date of Ceasing	NA																				
	Date	Month	Year	Date	Month	Year																			
Election Commission Identity Card																									
Residential Address	P A R K V I E W E N C L A V E , R O A D N O 2 B A N J A R A H I L L S																								
Town/City	H Y D E R A B A D																								
District	H Y D E R A B A D																								
State	A N D H R A P R A D E S H															Pin Code	500034								

* C- Chairman-cim-Managing Director W- Whole Time Director S- Secreteray R-Manager D-Director M-Managing Director

Handwritten signature

Handwritten signature

Name	A K A S H M E H T A																				
Nationality	F	I - Indian				F- Foreign				Date of Birth				21		06		1974			
Designation	D																				
Date of Appointment	15		07		2005				Date of Ceasing				N/A				N/A				
	Date		Month		Year				Date				Month		Year						
Election Commission Identity Card																					
Residential Address	3rd FLOOR TYTAN APTS NAPS E A ROAD																				
Town/City	MUMBAI																				
District																					
State	MAHARASHTRA														Pin Code		400026				

Name	P E T E R W I N G H U N G S O																					
Nationality	F	I - Indian				F - Foreign				Date of Birth				2 9		0 6		1 9 5 2				
Designation	D																					
Date of Appointment	2 4		0 4		2 0 0 6				Date of Ceasing				N A									
	Date		Month		Year				Date				Month		Year							
Election Commission Identity Card																						
Residential Address	1 2 F S I L V E R S T A R C O U R T 2 2 - 2 6 V I L L A G E R O A D																					
Town/City	H A P P Y V A L L E Y																					
District	H O N G K O N G																					
State																			Pin Code			

Name	Y S A I L A J A																				
Nationality	I	I - Indian				F - Foreign				Date of Birth				0 4		0 6		1 9 7 1			
Designation	S									Date				Month		Year					
Date of Appointment	0 7		0 8		2 0 0 6				Date of Ceasing				N A				N A				
	Date		Month		Year				Date				Month		Year						
Election Commission Identity Card																					
Residential Address	2 0 4 T R I V E N I A P A R T M E N T S																				
	S R I N A G A R C O L O N Y																				
Town/City	H Y D E R A B A D																				
District State	A N D H R A P R A D E S H																				
	Pin Code												5 0 0 0 7 3								

C- Chairman-cim-Managing Director W- Whole Time Director S- Secreteray R-Manager D-Director M-Managing Director

21

me

V. Details of shares /Debentures held at Date of AGM**As per annexure**

Ledger folio of Share/Debenture Holder

Share/Debenture Holders name

Surname

Middle name

First name

Father's name/Husband's name

Type of shares/Debentures

☐ 1- Equity 2- Preference shares 3- Debentures 4- Stock

No. of shares/debentures

Held /Stock if any

Amount per share (in Rs.)

Address

Town/City

District

State

Pin code

Ledger folio of Share/Debenture Holder

Share/Debenture Holders name

Surname

Middle name

First name

Father's name/Husband's name

Type of shares/Debentures

☐ 1- Equity 2- Preference shares 3- Debentures 4- Stock

No. of shares/debentures

Held /Stock if any

Amount per share (in Rs.)

Address

Town/City

District

State

Pin code

Ledger folio of Share/Debenture Holder

Share/Debenture Holders name

Surname

Middle name

First name

Father's name/Husband's name

Type of shares/Debentures

☐ 1- Equity 2- Preference shares 3- Debentures 4- Stock

No. of shares/debentures

Held /Stock if any

Amount per share (in Rs.)

Address

Town/City

District

State

Pin code

208

M

**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

Date of Registration of Transfers

Type of transfer

☒ 1- Equity 2- Preference shares 3- Debentures 4- Stock

No. of shares/debentures
transfred

Amount per share (in Rs.)

Ledger Folio of Transferor

Transferor's name

Ledger Folio of Transferee

Transferee's name

Date of Registration of Transfers

Type of transfer

☐ 1- Equity 2- Preference shares 3- Debentures 4- Stock

No. of shares/debentures
transfred

Amount per share (in Rs.)

Ledger Folio of Transferor

Transferor's name

Ledger Folio of Transferee

Transferee's name

Date of Registration of Transfers

Type of transfer

☐ 1- Equity 2- Preference shares 3- Debentures 4- Stock

No. of shares/debentures
transfred

Amount per share (in Rs.)

Ledger Folio of Transferor

Transferor's name

Ledger Folio of Transferee

Transferee's name

22.8

Paul

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

Amount

					3	5	7	2	8	2
--	--	--	--	--	---	---	---	---	---	---

VIII. Equity share Capital Break up (Percentage of Total Equity) :

(i) Govt. (Central and State)	(ii) Govt. Companies	(iii) Public Financial Institutions	(iv) Nationalised / Other Banks																
<table border="1" style="display: inline-table; vertical-align: middle;"><tr><td> </td><td>-</td><td>-</td><td> </td></tr></table>		-	-		<table border="1" style="display: inline-table; vertical-align: middle;"><tr><td> </td><td>-</td><td>-</td><td> </td></tr></table>		-	-		<table border="1" style="display: inline-table; vertical-align: middle;"><tr><td> </td><td>-</td><td>-</td><td> </td></tr></table>		-	-		<table border="1" style="display: inline-table; vertical-align: middle;"><tr><td> </td><td>-</td><td>-</td><td> </td></tr></table>		-	-	
	-	-																	
	-	-																	
	-	-																	
	-	-																	
(v) Mutual Funds	(vi) Venture Capital	(vii) Foreign Holdings (FILs/FCs/FFIs/NRIs/OCBs)																	
<table border="1" style="display: inline-table; vertical-align: middle;"><tr><td> </td><td>-</td><td>-</td><td> </td></tr></table>		-	-		<table border="1" style="display: inline-table; vertical-align: middle;"><tr><td> </td><td>-</td><td>-</td><td> </td></tr></table>		-	-		<table border="1" style="display: inline-table; vertical-align: middle;"><tr><td>2</td><td>0</td><td> </td><td> </td></tr></table>		2	0						
	-	-																	
	-	-																	
2	0																		
(viii) Bodies Corporate (Not mentioned in the above)	(ix) Directors/Relatives of Directors	(x) Other top 50 Share Holders (Other than those listed above)																	
<table border="1" style="display: inline-table; vertical-align: middle;"><tr><td>4</td><td>3</td><td> </td><td>4</td><td>0</td></tr></table>	4	3		4	0	<table border="1" style="display: inline-table; vertical-align: middle;"><tr><td>3</td><td>6</td><td> </td><td>6</td><td>0</td></tr></table>	3	6		6	0	<table border="1" style="display: inline-table; vertical-align: middle;"><tr><td> </td><td>-</td><td>-</td><td> </td></tr></table>			-	-			
4	3		4	0															
3	6		6	0															
	-	-																	

We Certify that

- (a) the return states the facts as they stood on the date of the annual general meeting aforesaid, correctly and completely;
- (b) 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 ;
- (c) the whole of the amount remaining unpaid or unclaimed for a period of three years from the date of transfer to the special account has been transferred to the General Revenue Account of the Central Government as required under sub-section (5) of the Section 205A;
- (d) the Company has not, since the date of 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 transfer of shares or debentures of the Company;
- (e) 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;
- (f) since the date of the annual geeneral meeting with reference to which the first return was submitted or in the case of a first return since the date of 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 ;
- (g) the Company did not have an average turnover of Rs.Ten Crores or more during the relevant period
- (h) since the date of the 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 capital of one or more public companies ; and
- (i) the private company did not accept or renew or invite deposits from the public

For KARVY STOCK BROKING LIMITED

C. PARTHASARATHY  

Chairman :

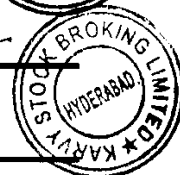
M.S. RAMAKRISHNA 

Wholetime Director :

Y. SAILAJA

Secretary :

M. No. : FCS 4844



List of Shareholders of Karvy Stock Broking Limited as on AGM date i.e. 27.09.2007

Sl. No	Shareholder details	No. of Shares held
	EQUITY SHARES of Rs.10/- each	
1	M.S. RAMAKRISHNA S/o M. Rushya Rao Park View Enclave, H.No. 10, Road No. 2, Banjara Hills Hyderabad- 500034	2,23,966
2	M. YUGANDHAR S/o M. Anjaneyulu 22, Nandagiri Hills, Road No. 69, Jubilee Hills, Hyderabad- 500033	1,88,728
3	C. PARTHASARATHY S/o Dr. C.R. Rajagopalan Plot No. 648, Road No. 34, Jubilee Hills, Hyderabad- 500033	2,59,304
4	KARVY CONSULTANTS LIMITED 46, Avenue 4, Karvy House, Street No.1 Banjara Hills, Hyderabad	4,53,035
5	COMPAR ESTATES AND AGENCIES PRIVATE.LTD (Formerly Compar Investments Limited) Plot No. 648, Road No. 34, Jubilee Hills, Hyderabad- 500033	3,43,310
6	C. R. RAJAGOPALAN S/o Mr. C. Parthasarathy Iyengar Plot No. 648, Road No. 34, Jubilee Hills, Hyderabad- 500033	100
7	Dr. KOKILA PARTHASARATHY W/o Mr. C. Parthasarathy Plot No. 648, Road No. 34, Jubilee Hills, Hyderabad- 500033	100
8	ADHIRAJ PARTHASARATHY S/o Mr. C. Parthasarathy Plot No. 648, Road No. 34, Jubilee Hills, Hyderabad- 500033	2,366
9	RAJAT PARTHASARATHY S/o Mr. C. Parthasarathy Plot No. 648, Road No. 34, Jubilee Hills, Hyderabad- 500033	2,366
10	C. PARTHASARATHY HUF Plot No. 648, Road No. 34, Jubilee Hills, Hyderabad- 500033	666
11	M. RAJINI W/o Mr. M. Yugandhar 22, Nandagiri Hills, Road No. 69, Jubilee Hills, Hyderabad- 500033	35,238
12	ADHIRAJAT INVESTMENTS PVT. LTD Plot No. 648, Road No. 34, Jubilee Hills, Hyderabad- 500033	48,704
13	FORTIS IM (MAURITIUS) LIMITED (Formerly PCIIM (MAURITIUS) LTD) 10, Frere Felix de Vallois Street, Port Louis, Mauritius	2,04,984
14	PCG (MAURITIUS) LTD 10, Frere Felix de Vallois Street, Port Louis, Mauritius	1,84,486
	TOTAL	19,47,353
	PREFERENCE SHARES of Rs. 100/- each	
13	KARVY INVESTOR SERVICES LTD 46, Avenue 4, Karvy House, Street No.1 Banjara Hills, Hyderabad	300000*

Certified True Copy
For **KARVY STOCK BROKING LIMITED**



PARTHASARATHY
Chairman


M.S. RAMAKRISHNA
Wholetime Director



"KARVY HOUSE", 46, AVENUE 4,
STREET NO.1, BANJARA HILLS,
HYDERABAD - 500 034.
TEL : 040-23312454/23320251/751
FAX : 040-23311968
E-mail : ksbl@karvy.com

FORM 2

Return of allotment

[Pursuant to section 75(1) of the Companies Act, 1956]

Note - All fields marked in * are to be mandatorily filled.

1(a). * Corporate identity number (CIN) of company

U67120AP1995PLC019877

Pre - Fill

(b). Global location number (GLN) of company

2(a). Name of the company

KARVY STOCK BROKING LIMITED

(b). Address of the registered office of the company

46, AVENUE4, STREET N
BANJARA HILLS,
HYDERABAD, ANDHRA PRADESH
Andhra Pradesh
INDIA
500034

3. * Date of allotment

31/03/2008

(DD/MM/YYYY)

4. Shares allotted payable in cash

Class of shares

☐ Preference

☒ Equity

Class of Shares	Preference	Equity
Number of shares allotted		47,496
Nominal amount per share (in Rs.)		10.00
Total nominal amount (in Rs.)		474,960
Amount paid per share on application (in Rs.)		0.00
Total amount paid on application (in Rs.)		0.00
Amount due and payable per share on allotment (excluding premium) (in Rs.)		10.00
Total amount paid on allotment (excluding premium) (in Rs.)		474,960.00
Premium amount per share due and payable (if any) (in Rs.)		4200.85
Total premium amount due and payable (if any) (in Rs.)		199,523,571.6
Premium amount paid per share (if any) (in Rs.)		4200.85
Total premium amount paid (if any) (in Rs.)		199,523,571.6
Amount of discount per share (if any) (in Rs.)		0.00
Total discount amount (if any) (in Rs.)		0.00

5. Shares allotted for consideration otherwise than in cash

Class of shares

☐ Preference

☐ Equity

Class of Shares	Preference	Equity
Number of shares allotted		
Nominal amount per share (in Rs.)		
Amount to be treated as paid-up on each share (in Rs.)		
The consideration for which such shares have been allotted		
(a).Property and assets acquired Description		
Amount (in Rs.)		
(b).Goodwill Description		
Amount (in Rs.)		
(c). Services (give nature of services) Description		
Amount (in Rs.)		
(d) Other items (to be specified) Description		
Amount (in Rs.)		

6. Bonus shares issued

(a) Number of bonus shares

(b) Nominal amount per share

(in Rs.)

(c) Amount to be treated as paid-up per share (in Rs.)

- 7(a). Total nominal value of equity shares issued including the present allotment (in Rs.)
- (b). Total nominal value of preference shares issued including the present allotment (in Rs.)
- 8 (a). Date of passing the special resolution authorising issue under section 81 (DD/MM/YYYY)
- (b). Service request number (SRN) of Form 23

Attachments

1. Copy of the resolution authorising the issue of bonus shares
2. *List of allottees
3. Copy of the resolution for the issue of shares at a discount with a copy of the order of the Central Government
4. Copy of the contract, if any, for allotment of shares for consideration otherwise than in cash
5. Optional attachment(s) - if any

List of attachments

Scan_List of Allottes-2nd tranche.pdf

Declaration

To the best of my knowledge and belief, the information given in this form and its attachments is correct and complete. I have been authorised by the board of directors' resolution dated * (DD/MM/YYYY) to sign and submit this form.

To be digitally signed by

Managing director or director or manager or secretary of the company



CERTIFICATE

It is hereby certified that I have verified the above particulars from the books of account and records of M/s and found them to be true and correct.

Chartered accountant or cost accountant or company secretary (in whole-time practice)



For office use only:

This e-Form is hereby registered

Digital signature of the authorising officer



ANNUAL RETURN OF KARVY STOCK BROKING LIMITED

Form of Annual Return of A Company Having a Share Capital

ANNUAL RETURN

I. Registration Details :

Registration No.

1 9 8 7 7

State Code 0 1

(Refer Code list No.1)

Registration date

3 0

Date

0 3

Month

1 9 9 5

Year

Whether listed on recognised
Stock Exchange

N

Y - Yes

N - No

If yes, Stock Exchange Code (Totals)
(Refer Code list 2)

A

N A

B

N A

AGM Held

Y

Y- Yes
N- No

Date of AGM/Due-Date-

2 9

0 9

2 0 0 8

II. Name and Registered Office Address of the Company :

Company Name

K A R V Y S T O C K B R O K I N G
L I M I T E D

Address

46, A V E N U E 4, S T R E E T N O. 1
B A N J A R A H I L L S

Town/City

H Y D E R A B A D

State

A N D H R A P R A D E S H

Pin Code

5 0 0 0 3 4

Telephone with
STD

0 4 0

2 3 3 1 2 4 5 4

Fax Number

0 4 0

2 3 4 4 0 6 0 5

E mail address

c o m p s e c @ k a r v y . c o m

III. Capital Structure of the Company (Amount in Rs. Thousands) :

18

111

Authorised Share Capital Breakup

Type of Shares	No. of Shares	Nominal Value (in Rs.)
(i) Equity	<input type="text" value="3"/> <input type="text" value="0"/> <input type="text" value="0"/> <input type="text" value="0"/> <input type="text" value="0"/> <input type="text" value="0"/> <input type="text" value="0"/> <input type="text" value="0"/>	<input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value="1"/> <input type="text" value="0"/>
(ii) Preference	<input type="text" value=""/> <input type="text" value=""/> <input type="text" value="3"/> <input type="text" value="0"/> <input type="text" value="0"/> <input type="text" value="0"/> <input type="text" value="0"/> <input type="text" value="0"/>	<input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value="1"/> <input type="text" value="0"/> <input type="text" value="0"/>
Total Authorised Capital	<input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value="6"/> <input type="text" value="0"/> <input type="text" value="0"/> <input type="text" value="0"/> <input type="text" value="0"/>	

Issued Share Capital Break Up

Type of Shares	No. of Shares	Nominal Value (in Rs.)
(i) Equity	2256079	10
(ii) Preference	NIL	
Total Issued Capital	2256079	

Subscribed Share Capital Break Up

Type of Shares	No. of Shares	Nominal Value (in Rs.)
(i) Equity	2256079	10
(ii) Preference	NIL	/
Total Subscribed Capital	2256079	

Paid up Share Capital Break Up

Type of Shares	No. of Shares	Nominal Value (in Rs.)
(i) Equity	2256079	10
(ii) Preference	NIL	
Total Paid up Capital	2256079	

Debenture Break Up

Type of Debenture	No. of Debentures	Nominal Value (in Rs.)
(i) Non - Convertible	<input type="text"/> <input type="text"/> N <input type="text"/> I <input type="text"/> L <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> N <input type="text"/> I <input type="text"/> L <input type="text"/> <input type="text"/>
(ii) Partly Convertible	<input type="text"/> <input type="text"/> N <input type="text"/> I <input type="text"/> L <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> N <input type="text"/> I <input type="text"/> L <input type="text"/> <input type="text"/>
(iii) Fully Convertible	<input type="text"/> <input type="text"/> N <input type="text"/> I <input type="text"/> L <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> N <input type="text"/> I <input type="text"/> L <input type="text"/> <input type="text"/>
Total Amount	<input type="text"/> <input type="text"/> <input type="text"/> N <input type="text"/> I <input type="text"/> L <input type="text"/> <input type="text"/> <input type="text"/>	

IV. Director/Manager/Secretary Information (Past and Present) : (Refer Clause 6 of Part I of Sch V)

IV. Director/Manager/Secretary Information (Past and Present): (Refer Schedule 1)																	
Name	C	P	A	R	T	H	A	S	A	R	A	T	H	Y			
Nationality	I	I - Indian			F- Foreign			Date of Birth		0	7	0	7	1	9	5	5
Designation	C							Date		Month		Year					



Mr

Date of Appointment Date of Ceasing

Election Commission

Identity Card

Residential Address

Town/City

District

State Pin Code

Name

Nationality I - Indian F - Foreign Date of Birth

Designation

Date of Appointment Date of Ceasing

Election Commission

Identity Card

Residential Address

Town/City

District

State Pin Code

Name

Nationality I - Indian F - Foreign Date of Birth

Designation

Date of Appointment Date of Ceasing

Election Commission

Identity Card

Residential Address

Town/City

District

State Pin Code

Name

Nationality I - Indian F - Foreign Date of Birth

Designation

Date of Appointment Date of Ceasing

Election Commission

Identity Card

15

076

Mr

Residential Address: 1 2 F S I L V E R S T A R C O U R T
2 2 - 2 6 V I L L A G E R O A D
Town/City: H A P P Y V A L L E Y
District: H O N G K O N G
State: Pin Code

Name: Y S A I L A J A

Nationality: I I - Indian F- Foreign Date of Birth: 0 4 0 6 1 9 7 1
Designation: S Date Month Year

Date of Appointment: 0 7 0 8 2 0 0 6 Date of Ceasing: N A N A
Date Month Year Date Month Year

Election Commission Identity Card

Residential Address: 2 0 4 T R I V E N I A P A R T M E N T S
S R I N A G A R C O L O N Y

Town/City: H Y D E R A B A D

District: State: A N D H R A P R A D E S H Pin Code: 5 0 0 0 7 3

C- Chairman-cim-Managing Director W- Whole Time Director S- Secretary R-Manager D-Director M-Managing Director,

V. Details of shares /Debentures held at Date of AGM As per annexure

Ledger folio of Share/Debenture Holder

Share/Debenture Holders name: Surname Middle name First name

Father's name/Husband's name

Type of shares/Debentures: 1- Equity 2- Preference shares 3- Debentures 4- Stock

No. of shares/debentures Held /Stock if any: Amount per share (in Rs.)

Address

Town/City

District

State

Pin code

Ledger folio of Share/Debenture Holder

Share/Debenture Holders name: Surname Middle name First name

Father's name/Husband's name

Type of shares/Debentures: 1- Equity 2- Preference shares 3- Debentures 4- Stock

No. of shares/debentures Held /Stock if any: Amount per share (in Rs.)

Address

Town/City

15

17/11

District
State
Pin code

Ledger folio of Share/Debenture Holder
Share/Debenture Holders name
Surname Middle name First name
Father's name/Husband's name
Type of shares/Debentures ☐ 1- Equity 2- Preference shares 3- Debentures 4- Stock
No. of shares/debentures
Held /Stock if any Amount per share (in Rs.)
Address
Town/City
District
State
Pin code

**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

Date of Registration of Transfers

Type of transfer 1- Equity 2- Preference shares 3- Debentures 4- Stock

No. of shares/debentures
transferred Amount per share (in Rs.)

Ledger Folio of Transferor

Transferor's name

Ledger Folio of Transferee

Transferee's name

Date of Registration of Transfers

Type of transfer 1- Equity 2- Preference shares 3- Debentures 4- Stock

No. of shares/debentures
transferred Amount per share (in Rs.)

Ledger Folio of Transferor





Transferor's name

P C G (M A U R I T I U S) L I M I T E D

Ledger Folio of Transferee

K S B 0 0 0 1 2 4

Transferee's name

B A R I N G P R I V A T E E Q U I T Y
A S I A I V M A U R I T I U S
H O L D I N G S (I) L I M I T E D

Date of Registration of Transfers

2 3 1 1 2 0 0 7

Type of transfer

1 1- Equity 2- Preference shares 3- Debentures 4- Stock

No. of shares/debentures
transfred

1 1 0 6 9 2 Amount per share (in Rs.) 4 0 3 7. 2 8

Ledger Folio of Transferor

K S B 0 0 0 1 2 3

Transferor's name

P C G (M A U R I T I U S) L I M I T E D

Ledger Folio of Transferee

K S B 0 0 0 1 2 5

Transferee's name

I D B I T R U S T E E S H I P
S E R V I C E S L I M I T E D *

* Formerly Western India Trustee and Executor company Limited.

Date of Registration of Transfers

2 3 1 1 2 0 0 7

Type of transfer

1 1- Equity 2- Preference shares 3- Debentures 4- Stock

No. of shares/debentures
transfred

1 2 2 9 9 0 Amount per share (in Rs.) 4 0 3 7. 2 8

Ledger Folio of Transferor

K S B 0 0 0 1 2 2

Transferor's name

F O R T I S I M (M A U R I T I U S)
L I M I T E D

Ledger Folio of Transferee

K S B 0 0 0 1 2 5

Transferee's name

I D B I T R U S T E E S H I P
S E R V I C E S L I M I T E D *

* Formerly Western India Trustee and Executor company Limited.

VII. Indebtedness of the Company (Amount in Rs. Thousands)

(Secured Loans including interest outstanding/accrued but not due for payment)

Amount

5 8 4 9 0 5

VIII. Equity share Capital Break up (Percentage of Total Equity):

(i) Govt. (Central and State

- - -

(ii) Govt. Companies

- - -

(iii) Public Financial
Institutions

- - -

(iv) Nationalised /
Other Banks

- - -

sp

Mue

/) Mutual Funds

- - -

(vi) Venture Capital

- - -

(vii) Foreign Holdings

(FIIs/FCs/FFIs/NRIs/OCBs)

1 2 3 8

- - -

(viii) Bodies Corporate

(Not mentioned in the above)

5 6 0 2

(ix)

Directors/Relatives
of Directors

3 1 6 0

(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 amount remaining unpaid or unclaimed for a period of three years from the date of transfer to the special account has been transferred to the General Revenue Account of the Central Government as required under sub-section (5) of the Section 205A;
- the Company has not, since the date of 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 transfer of 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;
- since the date of the annual general meeting with reference to which the first return was submitted or in the case of a first return since the date of 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;
- the Company did not have an average turnover of Rs. Ten Crores or more during the relevant period
- since the date of the 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 capital of one or more public companies; and
- the private company did not accept or renew or invite deposits from the public

For KARVY STOCK BROKING LIMITED
C. PARTHASARATHY

Chairman :



M.S. RAMAKRISHNA

Wholetime Director :

Y. SAILAJA

Secretary :

M. No. : **FCS 4844**

List of Shareholders as on AGM date i.e. 29.09.2008

Folio No./ Client ID	Shareholder Details	No. of Equity Shares held (Rs.10/- each)
10,00 0,037	Mr. C. Parthasarathy S/o Dr. C.R. Rajagopalan Plot No. 648, Road No. 34, Jubilee Hills, Hyderabad- 500033	2,59,304
10,11 0,006	Mr. M. Yugandhar S/o M. Anjaneyulu 22, Nandagiri Hills, Road No. 69, Jubilee Hills, Hyderabad- 500033	1,88,728
12,36 8,399	Mr. M.S. Ramakrishna S/o M. Rushya Rao Park View Enclave, H.No. 10, Road No. 2, Banjara Hills, Hyderabad- 500034	2,23,966
10,00 0,053	Mr. C. R. Rajagopalan S/o Mr. C. Parthasarathy Iyengar Plot No. 648, Road No. 34, Jubilee Hills, Hyderabad- 500033	100
10,00 0,045	Dr. Kokila Parthasarathy W/o Mr. C. Parthasarathy Plot No. 648, Road No. 34, Jubilee Hills, Hyderabad- 500033	100
10,00 0,254	Mr. Adhiraj Parthasarathy S/o Mr. C. Parthasarathy Plot No. 648, Road No. 34, Jubilee Hills, Hyderabad- 500033	2,366
10,00 0,246	Mr. Rajat Parthasarathy S/o Mr. C. Parthasarathy Plot No. 648, Road No. 34, Jubilee Hills, Hyderabad- 500033	2,366
10,02 4,130	Ms. M. Rajini W/o Mr. M. Yugandhar 22, Nandagiri Hills, Road No. 69, Jubilee Hills, Hyderabad- 500033	35,238
10,00 0,029	C. Parthasarathy HUF Plot No. 648, Road No. 34, Jubilee Hills, Hyderabad- 500033	666
15,40 6,240	Karvy Consultants Limited 46, Avenue 4, Karvy House, Street No.1 Banjara Hills, Hyderabad 500034	4,53,035
16,53 0,204	Compar Estates and Agencies Private.Ltd (Formerly Compar Investments Limited) Plot No. 648, Road No. 34, Jubilee Hills, Hyderabad- 500033	3,43,310
10,03 2,786	Adhirajat Investments Pvt. Ltd. Plot No. 648, Road No. 34, Jubilee Hills, Hyderabad- 500033	48,704

Sashu

20,00 9,337	IDBI Trusteeship Services Limited * Asian Building, Ground Floor, 17, R. Kamani Marg, Ballard Estate, Mumbai- 400001	4,18,918
10,02 3,446	Baring Private Equity Asia IV Mauritius Holdings (1) Limited 355, Barkly Wharf, Le Caudan, Waterfront, Port Louis, Mauritius	2,79,278
	TOTAL	22,56,079

* Shareholder of the company pursuant to Amalgamation of Western India Trustee and Executor Company Ltd. With the company (IDBI Trusteeship Services Limited) Vide High Court, Bombay order dated 6th June, 2008.

For **KARVY STOCK BROKING LIMITED**


Y. SAILAJA
 Company Secretary

