

Annexure I

Form No. MGT-9

EXTRACT OF ANNUAL RETURN as on the financial year ended on 31st March, 2019
[Pursuant to section 92(3) of the Companies Act, 2013 and rule 12(1) of the Companies (Management and Administration) Rules, 2014]

I. REGISTRATION AND OTHER DETAILS:

i)	CIN	U67200MH2015PTC264110
ii)	Registration Date	07/05/2015
iii)	Name of the Company	Alpha Capital Advisors Private Limited
iv)	Category / Sub-Category of the Company	Company limited by shares, Non-govt. Company
v)	Address of the Registered office and contact details	8, Floor - 3, Plot - 6, 2, Brady House, Sorab Bharucha Road, Colaba, Mumbai – 400005.
vi)	Whether listed company	Yes / No
vii)	Name, Address and Contact details of Registrar and Transfer Agent, if any	N.A

II. PRINCIPAL BUSINESS ACTIVITIES OF THE COMPANY:

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

Sr. No.	Name and Description of main products / services	NIC Code of the Product/ service	% to total turnover of the company
1	Activities auxiliary to financial intermediation n.e.c. [This class includes activities of financial advisers,	67190	100%



	mortgage advisers and brokers, bureaux de change (foreign exchange services) etc.].	
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III. PARTICULARS OF HOLDING, SUBSIDIARY AND ASSOCIATE COMPANIES:

Sl. No.	NAME AND ADDRESS OF THE COMPANY	CIN/GLN	HOLDING/ SUBSIDIARY / ASSOCIATE	% of shares held	Applicable Section
	Nil	Nil	Nil	Nil	Nil

IV. SHARE HOLDING PATTERN (Equity Share Capital Breakup as percentage of Total Equity):

i) Category-wise Share Holding:

Category of Shareholders	No. of Shares held at the beginning of the year			No. of Shares held at the end of the year			% Change during the year
	Demat (N.A)	Physical	Total	Demat (N.A)	Physical	Total	
A. Promoters							
(1) Indian							
a) Individual/HUF	0	7,69,299	7,69,299	0	7,69,299	7,69,299	70 (6.92)
b) Central Govt	0	0	0	0	0	0	0
c) State Govt(s)	0	0	0	0	0	0	0
d) Bodies Corp.	0	0	0	0	0	0	0



e) Banks / FI	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
f) Any other	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Sub total (A)(1)	0	7,69,299	7,69,299	76.92	0	0	7,69,299	0	7,69,299	7,69,299	70	7,69,299	0	0	0	0	0	0	(6.92)
[2] Foreign																			
a) NRIs Individuals	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
b) Other Individuals	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
c) Bodies Corp.	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
d) Banks / FI	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
e) Any Other	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Sub-total(A)(2):-	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Total shareholding of Promoter (A) = (A)(1)+(A)(2)	0	7,69,299	7,69,299	76.92	0	0	7,69,299	0	7,69,299	7,69,299	70	7,69,299	0	0	0	0	0	0	(6.92)
B. Public																			



Shareholding																				
1. Institutions	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
a) Mutual Funds	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
b) Banks / FI	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
c) Central Govt	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
d) State Govt(s)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
e) Venture Capital Funds	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
f) Insurance Companies	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
g) FIs	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
h) Foreign Venture Capital Funds	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
i) Others (specify)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Sub-total (B)(1):-	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
2. Non-Institutions	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
a) Bodies Corp.																				
i) Indian	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
ii) Overseas	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
b) Individuals																				



i) Individual shareholders holding nominal share capital upto Rs. 1 lakh	0	0	0	0	0	0	0	0	0	0	0	0	0
ii) Individual shareholders holding nominal share capital in excess of Rs 1 lakh	0	32,971	32,971	3.30	0	1,31,881	1,31,881	1,31,881	12	1,31,881	12	8.70	8.70
c) Others (specify)	0	0	0	0	0	0	0	0	0	0	0	0	0
Non Resident Indians	0	1,97,820	1,97,820	19.78	0	1,97,820	1,97,820	1,97,820	18	1,97,820	18	(1.78)	(1.78)
Overseas Corporate Bodies	0	0	0	0	0	0	0	0	0	0	0	0	0
Foreign Nationals	0	0	0	0	0	0	0	0	0	0	0	0	0
Clearing Members	0	0	0	0	0	0	0	0	0	0	0	0	0
Trusts	0	0	0	0	0	0	0	0	0	0	0	0	0
Foreign Bodies - D R	0	0	0	0	0	0	0	0	0	0	0	0	0
Sub-total (B)(2):-	0	2,30,791	2,30,791	23.08%	0	3,29,701	3,29,701	3,29,701	30	3,29,701	30	6.92	6.92
Total Public Shareholding (B)=(B)(1)+(B)(2)	0	2,30,791	2,30,791	23.08%	0	3,29,701	3,29,701	3,29,701	30	3,29,701	30	6.92	6.92



C. Shares held by Custodian for GDRs & ADRs	0	0	0	0	0	0	0
Grand Total (A+B+C)	0	10,00,090	10,00,090	100%	0	10,99,000	100%
						10,99,000	N.A

ii) Shareholding of Promoters

Sl. No.	Shareholder's Name	Shareholding at the beginning of the year			Shareholding at the end of the year			% change in share holding during the year
		No. of Shares	% of total Shares of the company	% of Pledged / encumbered to total shares	No. of Shares	% of total Shares of the company	% of Pledged / encumbered to total shares	
1	Mr. Vishal Ootam	3,50,680	35.06	0	2,95,730	26.91	0	(8.15)
2	Mr. Vivek Anand	3,51,681	35.16	0	2,96,731	27	0	(8.16)
3	Mr. Nikhil Ootam	996	0.10	0	996	0.09	0	(0.01)
4	Mr. Sandeep Somani	65,942	6.59	0	87,922	8	0	1.41
5	Mr. Kenneth Serrao	0	0	0	87,920	8	0	8



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

Sl. No	Name of the Share Holder	Shareholding		Date	Increase/ (Decrease) in share holding	Reason	Cumulative Shareholding during the Year	
		No. of Shares at the beginning /end of the year	% of total shares of the company				No of Shares	% of total shares of the company
1	Mr. Vishal Ootam	3,50,680	35.06	10/05/2018	(54,950)	Sale of shares	2,95,730	26.91
2	Mr. Vivek Anand	3,51,681	35.16	10/05/2018	(54,950)	Sale of shares	2,96,731	27
3	Mr. Nikhil Ootam	996	0.10	10/05/2018	0	N.A.	996	0.09
4	Mr. Sandeep Somani	65,942	6.59	10/05/2018	21,980	Purchase of shares	87,922	8
5	Mr. Kenneth Serrao	0	0	10/05/2018	87,920	Purchase of shares	87,920	8

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

Sl. No	Name of the Share Holder	Shareholding		Date	Increase/ Decrease in share holding	Reason	Cumulative Shareholding during the Year	
		No. of Shares at the beginning	% of total shares of the company				No. of Shares	% of total shares of the company

Sl. No.	Shareholder's Name	No. of Shares	% of total Shares of the company	% of Shares Pledged / encumbered to total shares	No. of Shares	% of Shares Pledged / encumbered to total shares	% of total Shares of the company	% of Shares Pledged / encumbered to total shares	Change	Y
1	Mr. Sat Pal Khattar	131,880	13.19	NO CHANGE					131,880	12
2	Mr. Dipam Patel	32,971	3.3	NO CHANGE					32,971	3
3	Mr. Shyam Chellaram	65,940	6.59	NO CHANGE					65,940	6
4	Mr. Dignesh Patel	0	0	18/06/2018	10,990	Conversion of debentures held			10,990	1
5	Mr. Darshanabhai Patel	0	0		10,990				10,990	1
6	Ms. Janki Patel	0	0		10,990				10,990	1
7	Mr. T. V. Mohandas Pai – Partner in Aarín Capital Partners	0	0		65940				65,940	6

v) Shareholding of Directors and Key Managerial Personnel:

Sl. No.	Shareholder's Name	Shareholding at the beginning of the year				Shareholding at the end of the year			
		No. of Shares	% of total Shares of the company	% of Shares Pledged / encumbered to total shares	No. of Shares	% of Shares Pledged / encumbered to total shares	% of total Shares of the company	% of Shares Pledged / encumbered to total shares	% change in share holding during the year
1	Mr. Vishal Ootam	3,50,680	35.06	0	2,95,730	26.91	0	(8.15)	
2	Mr. Vivek Anand	3,51,680	35.16	0	2,96,731	27	0	(8.16)	
3	Mr. Nikhil Ootam	996	0.01	0	996	0.09	0	(0.01)	
4	Mr. Sandeep Somani	65,942	6.59	0	87,922	8	0	1.41	
5	Mr. Kenneth Serrao	0	0	0	87,920	8	0	8	

V. INDEBTEDNESS

Indebtedness of the Company including interest outstanding/accrued but not due for payment:

	Secured Loans excluding deposits	Unsecured Loans	Deposits	Total Indebtedness



Indebtedness at the beginning of the financial year			
i) Principal Amount	0	3,33,00,000	0
ii) Interest due but not paid	0	0	0
iii) Interest accrued but not due	0	0	0
Total (i+ii+iii)		3,33,00,000	3,33,00,000
Change in Indebtedness during the financial year			
· Addition	0	0	0
· Reduction	0	3,33,00,000	0
Net Change	0	3,33,00,000	0
Indebtedness at the end of the financial year			
i) Principal Amount	0	0	0
ii) Interest due but not paid	0	0	0
iii) Interest accrued but not due	0	0	0
Total (i+ii+iii)	0	0	0



VI. REMUNERATION OF DIRECTORS AND KEY MANAGERIAL PERSONNEL:

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

Sl. No.	Particulars of Remuneration	Mr. Vishal Ootam	Mr. Vivek Anand	Mr. Sandeep Somani	Mr. Kenneth Serrao	Total Amount
1.	Gross salary					
	a) Salary as per provisions contained in section 17(1) of the Income-tax Act, 1961	11,22,000.00	43,22,000.00	42,22,004.00	43,26,131.00	1,39,92,135.00
	(b) Value of perquisites u/s 17(2) Income-tax Act, 1961	0.00	0.00	0.00	0.00	0.00
	(c) Profits in lieu of salary under section 17(3) Income tax Act, 1961	0.00	0.00	0.00	0.00	0.00
2.	Stock Option	0.00	0.00	0.00	0.00	0.00
3.	Sweat Equity	0.00	0.00	0.00	0.00	0.00
4.	Commission - as % of profit - others, specify	0.00	0.00	0.00	0.00	0.00
5.	Others, please specify	0.00	0.00	0.00	0.00	0.00
	Total (A)	11,22,000.00	43,22,000.00	42,22,004.00	43,26,131.00	1,39,92,135.00
	Ceiling as per the Act	N.A	N.A	N.A	N.A	N.A



B. Remuneration to other directors :

Sl. No.	Particulars of Remuneration	Name of Directors	Total Amount
1	Independent Directors · Fee for attending board / committee meetings · Commission · Others, please specify	-	-
	Total (1)	-	-
2	Other Non-Executive Directors · Fee for attending board / committee meetings · Commission · Others, please specify	-	-
	Total (2)	-	-
	Total (B)=(1+2)	-	-
	Total Managerial Remuneration	-	-
	Overall Ceiling as per the Act	-	-

C. REMUNERATION TO KEY MANAGERIAL PERSONNEL OTHER THAN MD/MANAGER/WTD:

Sl. No.	Particulars of Remuneration	CFO	Company Secretary	CFO	Total
1.	Gross salary (a) Salary as per provisions contained in section 17(1) of the Income-tax Act, 1961 (b) Value of perquisites u/s 17(2) Income-tax Act, 1961 (c) Profits in lieu of salary under section 17(3) Income-tax Act, 1961	-	-	-	-
2.	Stock Option	-	-	-	-
3.	Sweat Equity	-	-	-	-
4.	Commission - as % of profit - others, specify...	-	-	-	-
5.	Others, please specify	-	-	-	-
	Total	-	-	-	-



VI. PENALTIES / PUNISHMENT/ COMPOUNDING OF OFFENCES:

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

For and on behalf of the Board of Directors

Kenneth Serrao
Kenneth Serrao
Director
DIN: 03568101

Sandyp Somani
Sandyp Somani
Director
DIN: 02808056

Place: Mumbai
Date: 18th September 2019

