

Annexure I

Form No. MGT-9

EXTRACT OF ANNUAL RETURN as on the financial year ended on 31st March, 2020
 [Pursuant to section 92(3) of the Companies Act, 2013 and rule 12(1) of the Companies (Management and Administration) Rules, 2014]

I. REGISTRATION AND OTHER DETAILS:

i)	CIN	U67200MH2015PTC264110
ii)	Registration Date	07/05/2015
iii)	Name of the Company	Oaks Asset Management Private Limited (Formerly 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	56 Maker Chambers VI Nariman Point Mumbai 400021
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%

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	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
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

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

i) Individual shareholders holding nominal share capital upto Rs. 1 lakh	0	0	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	1,31,881	1,31,881	12	0	1,31,881	1,31,881	12	0	1,31,881	1,31,881	12	0	0	0
c) Others (specify)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Non Resident Indians	0	1,97,820	1,97,820	18	0	1,97,820	1,97,820	18	0	1,97,820	1,97,820	18	0	0	0
Overseas Corporate Bodies	0	0	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	0	0
Clearing Members	0	0	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	0	0
Foreign Bodies - D R	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Sub-total (B)(2):-	0	3,29,701	3,29,701	30	0	3,29,701	3,29,701	30	0	3,29,701	3,29,701	30	0	0	0
Total Public Shareholding (B)=(B)(1)+(B)(2)	0	3,29,701	3,29,701	30	0	3,29,701	3,29,701	30	0	3,29,701	3,29,701	30	0	0	0

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C. Shares held by Custodian for GDRs & ADRs	0	0	0	0	0	0	0	0	0		
Grand Total (A+B+C)	0	10,99,000	10,99,000	100	0	10,99,000	100	0	10,99,000	100	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 the company	% of Pledged / encumbered to total shares	No. of Shares	% of total Shares the company	% of Pledged / encumbered to total shares	
1	Mr. Vishal Ootam	2,95,730	26.91	0	2,95,730	26.91	0	0
2	Mr. Vivek Anand	2,96,731	27	0	2,96,731	27	0	0
3	Mr. Nikhil Ootam	996	0.09	0	996	0.09	0	0
4	Mr. Sandeep Somani	87,922	8	0	87,922	8	0	0
5	Mr. Kenneth Serrao	87,920	8	0	87,920	8	0	0

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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								

NO CHANGE

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
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	10,990	1		NO CHANGE		10,990	1
5	Mr. Darshanabhai Patel	10,990	1		NO CHANGE		10,990	1
6	Ms. Janki Patel	10,990	1		NO CHANGE		10,990	1

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7	Mr. T. V. Mohandas Pai – Partner in Aarin Capital Partners	65940	6	NO CHANGE	65,940	6
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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			% change in share holding during the year
		No. of Shares	% of total Shares the company	% of Pledged / encumbered to total shares	No. of Shares	% of total Shares the company	% of Pledged / encumbered to total shares	
1	Mr. Vishal Ootam	2,95,730	26.91	0	2,95,730	26.91	0	0
2	Mr. Vivek Anand	2,96,731	27	0	2,96,731	27	0	0
3	Mr. Sandeep Somani	87,922	8	0	87,922	8	0	0
4	Mr. Kenneth Serrao	87,920	8	0	87,920	8	0	0

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	0	0	0
ii) Interest due but not paid	0	0	0	0

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

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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	50,72,001.00	50,72,001.00	50,72,001.00	1,63,38,003.00
	(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	50,72,001.00	50,72,001.00	50,72,001.00	1,63,38,003.00
	Ceiling as per the Act	N.A	N.A	N.A	N.A	N.A

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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	CEO	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 imposed	Penalty / fees	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

Vishal Ootam

Vishal Ootam
Director
DIN: 01112829

Sandeep Somani

Sandeep Somani
Director
DIN: 02808056



Place: Mumbai
Date: 26th December 2020

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