

Annexure I

Form No. MGT-9

EXTRACT OF ANNUAL RETURN as on the financial year ended on 31st March, 2017

[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, 1 st 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

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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, mortgage advisers and brokers, bureaux de change (foreign exchange services) etc.]	67190	100%

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							

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Sub-total (B)(2):-	0	2,41,782	2,41,782	24.18%	0	2,30,791	2,30,791	23.08%	-1.10%			
Total Public Shareholding (B)=(B)(1)+(B)(2)	0	2,41,782	2,41,782	24.18%	0	2,30,791	2,30,791	23.08%	-1.10%			
C. Shares held by Custodian for GDRs & ADRs	0	0	0	0	0	0	0	0	0			
Grand Total (A+B+C)	0	10,00,090	10,00,090	100%	0	10,00,090	10,00,090	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			
		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	% change in share holding during the year
1	Mr. Vishal Ootam	3,50,680	35.06%	0	3,50,680	35.06%	0	0
2	Mr. Vivek Anand	3,51,681	35.16%	0	3,51,681	35.16%	0	0
3	Mr. Sandeep Somani	54,951	5.49%	0	65,942	6.59%	0	1.1%
4	Mr. Nikhil Ootam	996	0.10%	0	996	0.10%	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	Mr. Vishal Ootam	3,50,680	35.06%	NO CHANGE			3,50,680	35.06%
2	Mr. Vivek Anand	3,51,681	35.16%	NO CHANGE			3,51,681	35.16%
3	Mr. Sandeep Somani	54,951	5.5%	14.09.2016	1	Transfer	65,942	6.59%
4	Mr. Nikhil Ootam	996	0.1%	NO CHANGE			996	0.1%

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

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1	Mr. Sat Pal Khattar	131,880	13.19%	NO CHANGE				131,880%	13.19
2	Mr Dipam Patel	32,971	3.3%	NO CHANGE				32,971%	3.3
3	Mr. Shyam Chellaram	65,940	6.59%	NO CHANGE				65,940%	6.59
4	Mr. Bikram Mahajan	10,991	1.1%	14.09.2016	10,991	Transfer		0	0

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	3,50,680	35.06%	0	3,50,680	35.06%	0	0
2	Mr. Vivek Anand	3,51,680	35.16%	0	3,51,680	35.16%	0	0
3	Mr. Nikhil Ootam	996	0.01%	0	996	0.01%	0	0
4	Mr. Sandeep Somani	54,951	5.49%	0	65,942	6.59%	0	1.1%

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

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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 Ootain	Mr. Vivek Anand	Mr. Sandeep Somani	Total Amount
1.	Gross salary: (a) Salary as per provisions contained in section 17(1) of the Income-tax Act, 1961 (b) Value of perquisites u/s 17(2) Income-tax Act, 1961 (c) Profits in lieu of salary under section 17(3) Income tax Act, 1961	11,22,000	43,22,000	43,22,000	97,66,000
2.	Stock Option	-	-	-	-
3.	Sweat Equity	-	-	-	-
4.	Commission - as % of profit - others, specify	-	-	-	-
5.	Others, please specify	-	-	-	-
	Total (A)	11,22,000	43,22,000	43,22,000	97,66,000
	Ceiling as per the Act	N.A	N.A	N.A	N.A

*The salary has been paid to Executive Directors of the Company, the company has not designated any Director as Whole Time Director

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B. Remuneration to other directors :

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

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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) 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	-	-	-	-

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VII. PENALTIES / PUNISHMENT / COMPOUNDING OF OFFENCES:

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

For and on behalf of the Board of Directors

Vishal Ootam

Vishal Ootam
Director
DIN: 01112829

Nikhil Ootam

Nikhil Ootam
Director
DIN: 06755869

