

| General information about company | |
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| Scrip code | 531652 |
| Name of the company | THIRDWAVE FINANCIAL INTERMEDIARIES LIMITED |
| Whether company is SME | Yes |
| Class of Security | Equity Shares |
| Type of report | Quarterly |
| Quarter Ended / Half year ended/Date of Report (For Prelisting / Allotment) | 30-09-2016 |
| Date of allotment / extinguishment (in case Capital Restructuring selected) / Listing Date | |
| Shareholding pattern filed under | Regulation 31 (1) (b) |

| Sr. No. | Particular | Yes/No |
|---------|--|--------|
| 1 | Whether the Listed Entity has issued any partly paid up shares? | No |
| 2 | Whether the Listed Entity has issued any Convertible Securities ? | No |
| 3 | Whether the Listed Entity has issued any Warrants ? | No |
| 4 | Whether the Listed Entity has any shares against which depository receipts are issued? | No |
| 5 | Whether the Listed Entity has any shares in locked-in? | No |
| 6 | Whether any shares held by promoters are pledge or otherwise encumbered? | No |
| 7 | Whether company has equity shares with differential voting rights? | No |

Table I - Summary Statement holding of specified securities

| Category (I) | Category of shareholder (II) | Nos. Of shareholders (III) | No. of fully paid up equity shares held (IV) | No. Of Partly paid-up equity shares held (V) | No. Of shares underlying Depository Receipts (VI) | Total nos. shares held (VII) = (IV)+ (V)+ (VI) | Shareholding as a % of total no. of shares (calculated as per SCRR, 1957) (VIII) As a % of (A+B+C2) | Number of Voting Rights held in each class of securities (IX) | | | |
|--------------|--------------------------------|----------------------------|--|--|---|--|---|---|------------|---------|-------------------------|
| | | | | | | | | No of Voting (XIV) Rights | | | Total as a % of (A+B+C) |
| | | | | | | | | Class eg: X | Class eg:y | Total | |
| (A) | Promoter & Promoter Group | 3 | 807800 | | | 807800 | 36.59 | 807800 | | 807800 | 36.59 |
| (B) | Public | 160 | 1399800 | | | 1399800 | 63.41 | 1399800 | | 1399800 | 63.41 |
| (C) | Non Promoter-Non Public | | | | | | | | | | |
| (C1) | Shares underlying DRs | | | | | | | | | | |
| (C2) | Shares held by Employee Trusts | | | | | | | | | | |
| | Total | 163 | 2207600 | | | 2207600 | 100 | 2207600 | | 2207600 | 100 |

Table I - Summary Statement holding of specified securities

| Category (I) | Category of shareholder (II) | No. Of Shares Underlying Outstanding convertible securities (X) | No. of Shares Underlying Outstanding Warrants (Xi) | No. Of Shares Underlying Outstanding convertible securities and No. Of Warrants (Xi) (a) | Shareholding , as a % assuming full conversion of convertible securities (as a percentage of diluted share capital) (XI)= (VII)+(X) As a % of (A+B+C2) | Number of Locked in shares (XII) | | Number of Shares pledged or otherwise encumbered (XIII) | | Number of equity shares held in dematerialized form (XIV) |
|--------------|--------------------------------|---|--|--|---|----------------------------------|---------------------------------|---|---------------------------------|---|
| | | | | | | No. (a) | As a % of total Shares held (b) | No. (a) | As a % of total Shares held (b) | |
| (A) | Promoter & Promoter Group | | | | 36.59 | | | | | 807800 |
| (B) | Public | | | | 63.41 | | | | | 934500 |
| (C) | Non Promoter- Non Public | | | | | | | | | |
| (C1) | Shares underlying DRs | | | | | | | | | |
| (C2) | Shares held by Employee Trusts | | | | | | | | | |
| | Total | | | | 100 | | | | | 1742300 |

Table II - Statement showing shareholding pattern of the Promoter and Promoter Group

| Sr. | Category & Name of the Shareholders (I) | Nos. Of shareholders (III) | No. of fully paid up equity shares held (IV) | No. Of Partly paid-up equity shares held (V) | No. Of shares underlying Depository Receipts (VI) | Total nos. shares held (VII) = (IV)+(V) + (VI) | Shareholding as a % of total no. of shares (calculated as per SCRR, 1957) (VIII) As a % of (A+B+C2) | Number of Voting Rights held in each class of securities (IX) | | | |
|---|---|----------------------------|--|--|---|--|---|---|------------|---------|-------------------------------------|
| | | | | | | | | No of Voting (XIV) Rights | | | Total as a % of Total Voting rights |
| | | | | | | | | Class eg: X | Class eg:y | Total | |
| A | Table II - Statement showing shareholding pattern of the Promoter and Promoter Group | | | | | | | | | | |
| (1) | Indian | | | | | | | | | | |
| (a) | Individuals/Hindu undivided Family | 1 | 148910 | | | 148910 | 6.75 | 148910 | | 148910 | 6.75 |
| (d) | Any Other (specify) | 2 | 658890 | | | 658890 | 29.85 | 658890 | | 658890 | 29.85 |
| Sub-Total (A) (1) | | 3 | 807800 | | | 807800 | 36.59 | 807800 | | 807800 | 36.59 |
| (2) | Foreign | | | | | | | | | | |
| Total Shareholding of Promoter and Promoter Group (A)= (A)(1)+(A) (2) | | 3 | 807800 | | | 807800 | 36.59 | 807800 | | 807800 | 36.59 |
| B | Table III - Statement showing shareholding pattern of the Public shareholder | | | | | | | | | | |
| (1) | Institutions | | | | | | | | | | |
| (a) | Mutual Funds | 1 | 136200 | | | 136200 | 6.17 | 136200 | | 136200 | 6.17 |
| Sub-Total (B) (1) | | 1 | 136200 | | | 136200 | 6.17 | 136200 | | 136200 | 6.17 |
| (3) | Non-institutions | | | | | | | | | | |
| (a(i)) | Individuals - i. Individual shareholders holding nominal share capital up to Rs. 2 lakhs. | 143 | 371519 | | | 371519 | 16.83 | 371519 | | 371519 | 16.83 |
| (a(ii)) | Individuals - ii. Individual shareholders holding nominal share capital in excess of Rs. 2 lakhs. | 5 | 294200 | | | 294200 | 13.33 | 294200 | | 294200 | 13.33 |
| (e) | Any Other (specify) | 11 | 597881 | | | 597881 | 27.08 | 597881 | | 597881 | 27.08 |
| Sub-Total (B) (3) | | 159 | 1263600 | | | 1263600 | 57.24 | 1263600 | | 1263600 | 57.24 |
| Total Public Shareholding (B)=(B)(1)+(B)(2)+(B)(3) | | 160 | 1399800 | | | 1399800 | 63.41 | 1399800 | | 1399800 | 63.41 |
| C | Table IV - Statement showing shareholding pattern of the Non Promoter- Non Public shareholder | | | | | | | | | | |
| Total (A+B+C2) | | 163 | 2207600 | | | 2207600 | 100 | 2207600 | | 2207600 | 100 |
| Total (A+B+C) | | 163 | 2207600 | | | 2207600 | 100 | 2207600 | | 2207600 | 100 |

Table II - Statement showing shareholding pattern of the Promoter and Promoter Group

| Sr. | No. Of Shares Underlying Outstanding convertible securities (X) | No. of Shares Underlying Outstanding Warrants (Xi) | No. Of Shares Underlying Outstanding convertible securities and No. Of Warrants (Xi) (a) | Shareholding , as a % assuming full conversion of convertible securities (as a percentage of diluted share capital) (XI)= (VII)+(X) As a % of (A+B+C2) | Number of Locked in shares (XII) | | Number of Shares pledged or otherwise encumbered (XIII) | | Number of equity shares held in dematerialized form (XIV) |
|--|--|--|--|---|----------------------------------|---------------------------------|---|---------------------------------|---|
| | | | | | No. (a) | As a % of total Shares held (b) | No. (a) | As a % of total Shares held (b) | |
| A | Table II - Statement showing shareholding pattern of the Promoter and Promoter Group | | | | | | | | |
| (1) | Indian | | | | | | | | |
| (a) | | | | 6.75 | | | | | 148910 |
| (d) | | | | 29.85 | | | | | 658890 |
| Sub-Total (A) (1) | | | | 36.59 | | | | | 807800 |
| (2) | Foreign | | | | | | | | |
| Total Shareholding of Promoter and Promoter Group (A)=(A) (1)+(A)(2) | | | | 36.59 | | | | | 807800 |
| B | Table III - Statement showing shareholding pattern of the Public shareholder | | | | | | | | |
| (1) | Institutions | | | | | | | | |
| (a) | | | | 6.17 | | | | | 0 |
| Sub-Total (B) (1) | | | | 6.17 | | | | | 0 |
| (3) | Non-institutions | | | | | | | | |
| (a(i)) | | | | 16.83 | | | | | 117419 |
| (a(ii)) | | | | 13.33 | | | | | 229200 |
| (e) | | | | 27.08 | | | | | 587881 |
| Sub-Total (B) (3) | | | | 57.24 | | | | | 934500 |
| Total Public Shareholding (B)=(B)(1)+(B) (2)+(B)(3) | | | | 63.41 | | | | | 934500 |
| C | Table IV - Statement showing shareholding pattern of the Non Promoter- Non Public shareholder | | | | | | | | |
| Total (A+B+C2) | | | | 100 | | | | | 1742300 |
| Total (A+B+C) | | | | 100 | | | | | 1742300 |

| Individuals/Hindu undivided Family | | |
|---|------------------|---------------------------------------|
| Serial No. | 1 | |
| Name of the Shareholders (I) | SIDDHANT AGARWAL | Click here to go back |
| PAN (II) | AUKPA5600Q | Total |
| No. of fully paid up equity shares held (IV) | 148910 | 148910 |
| No. Of Partly paid-up equity shares held (V) | | |
| No. Of shares underlying Depository Receipts (VI) | | |
| Total nos. shares held (VII) = (IV)+ (V)+ (VI) | 148910 | 148910 |
| Shareholding as a % of total no. of shares (calculated as per SCRR, 1957) (VIII) As a % of (A+B+C2) | 6.75 | 6.75 |
| Number of Voting Rights held in each class of securities (IX) | | |
| Class eg:X | 148910 | 148910 |
| Class eg:y | | |
| Total | 148910 | 148910 |
| Total as a % of Total Voting rights | 6.75 | 6.75 |
| No. Of Shares Underlying Outstanding convertible securities (X) | | |
| No. of Shares Underlying Outstanding Warrants (Xi) | | |
| No. Of Shares Underlying Outstanding convertible securities and No. Of Warrants (Xi) (a) | | |
| Shareholding , as a % assuming full conversion of convertible securities (as a percentage of diluted share capital) (XI)= (VII) +(Xi)(a) As a % of (A+B+C2) | 6.75 | 6.75 |
| Number of Locked in shares (XII) | | |
| No. (a) | | |
| As a % of total Shares held (b) | | |
| Number of Shares pledged or otherwise encumbered (XIII) | | |
| No. (a) | | |
| As a % of total Shares held (b) | | |
| Number of equity shares held in dematerialized form (XIV) | 148910 | 148910 |
| Reason for not providing PAN | | |
| Reason for not providing PAN | | |

| Any Other (specify) | | | |
|---|---------------------|-----------------------------|---------------------------------------|
| Serial No. | 1 | 2 | |
| Category | Bodies Corporate | Bodies Corporate | Click here to go back |
| Name of the Shareholders (I) | TALWAR STEELS P LTD | PRUDENT MAN & IND CON P LTD | |
| PAN (II) | AABCT2466P | AABCP9497Q | Total |
| No. of the Shareholders (I) | 1 | 1 | 2 |
| No. of fully paid up equity shares held (IV) | 501890 | 157000 | 658890 |
| No. Of Partly paid-up equity shares held (V) | | | |
| No. Of shares underlying Depository Receipts (VI) | | | |
| Total nos. shares held (VII) = (IV)+ (V)+ (VI) | 501890 | 157000 | 658890 |
| Shareholding as a % of total no. of shares (calculated as per SCRR, 1957) (VIII) As a % of (A+B+C2) | 22.73 | 7.11 | 29.85 |
| Number of Voting Rights held in each class of securities (IX) | | | |
| Class eg: X | 501890 | 157000 | 658890 |
| Class eg:y | | | |
| Total | 501890 | 157000 | 658890 |
| Total as a % of Total Voting rights | 22.73 | 7.11 | 29.85 |
| No. Of Shares Underlying Outstanding convertible securities (X) | | | |
| No. of Shares Underlying Outstanding Warrants (Xi) | | | |
| No. Of Shares Underlying Outstanding convertible securities and No. Of Warrants (Xi) (a) | | | |
| Shareholding , as a % assuming full conversion of convertible securities (as a percentage of diluted share capital) (XI)= (VII) +(X) As a % of (A+B+C2) | 22.73 | 7.11 | 29.85 |
| Number of Locked in shares (XII) | | | |
| No. (a) | | | |
| As a % of total Shares held (b) | | | |
| Number of Shares pledged or otherwise encumbered (XIII) | | | |
| No. (a) | | | |
| As a % of total Shares held (b) | | | |
| Number of equity shares held in dematerialized form (XIV) | 501890 | 157000 | 658890 |

| | | | |
|------------------------------|--|--|--|
| Reason for not providing PAN | | | |
|------------------------------|--|--|--|

| Mutual Funds | | |
|---|------------------------|---------------------------------------|
| Serial No. | 1 | |
| Name of the Shareholders (I) | J M TRUSTEE CO LTD | Click here to go back |
| PAN (II) | ZZZZZ9999Z | Total |
| No. of fully paid up equity shares held (IV) | 136200 | 136200 |
| No. Of Partly paid-up equity shares held (V) | | |
| No. Of shares underlying Depository Receipts (VI) | | |
| Total nos. shares held (VII) = (IV)+ (V)+ (VI) | 136200 | 136200 |
| Shareholding as a % of total no. of shares (calculated as per SCRR, 1957) (VIII) As a % of (A+B+C2) | 6.17 | 6.17 |
| Number of Voting Rights held in each class of securities (IX) | | |
| Class eg: X | 136200 | 136200 |
| Class eg:y | | |
| Total | 136200 | 136200 |
| Total as a % of Total Voting rights | 6.17 | 6.17 |
| No. Of Shares Underlying Outstanding convertible securities (X) | | |
| No. of Shares Underlying Outstanding Warrants (Xi) | | |
| No. Of Shares Underlying Outstanding convertible securities and No. Of Warrants (Xi) (a) | | |
| Shareholding , as a % assuming full conversion of convertible securities (as a percentage of diluted share capital) (XI)= (VII) +(X) As a % of (A+B+C2) | 6.17 | 6.17 |
| Number of Locked in shares (XII) | | |
| No. (a) | | |
| As a % of total Shares held (b) | | |
| Number of equity shares held in dematerialized form (XIV) | 0 | 0 |
| Reason for not providing PAN | | |
| Reason for not providing PAN | Textual Information(1) | |

Text Block

Textual Information(1)

PAN NOT PROVIDED BY SHAREHOLDER

| Individuals - ii. Individual shareholders holding nominal share capital in excess of Rs. 2 lakhs. | | | | | | |
|---|-------------------|------------------------|-------------------------|----------------------|---------------|---------------------------------------|
| Serial No. | 1 | 2 | 3 | 4 | 5 | |
| Name of the Shareholders (I) | KANUPRIYA AGARWAL | MEGHNA SHAH | NIRMAL KUMAR AGARWAL | SANJAY KUMAR AGARWAL | SAPNA AGARWAL | Click here to go back |
| PAN (II) | AIYPA9297P | ZZZZZ9999Z | ZZZZZ9999Z | ACIPA3412G | ACIPA3413H | Total |
| No. of fully paid up equity shares held (IV) | 30000 | 25000 | 40000 | 100000 | 99200 | 294200 |
| No. Of Partly paid-up equity shares held (V) | | | | | | |
| No. Of shares underlying Depository Receipts (VI) | | | | | | |
| Total nos. shares held (VII) = (IV)+ (V)+ (VI) | 30000 | 25000 | 40000 | 100000 | 99200 | 294200 |
| Shareholding as a % of total no. of shares (calculated as per SCRR, 1957) (VIII) As a % of (A+B+C2) | 1.36 | 1.13 | 1.81 | 4.53 | 4.49 | 13.33 |
| Number of Voting Rights held in each class of securities (IX) | | | | | | |
| Class eg: X | 30000 | 25000 | 40000 | 100000 | 99200 | 294200 |
| Class eg:y | | | | | | |
| Total | 30000 | 25000 | 40000 | 100000 | 99200 | 294200 |
| Total as a % of Total Voting rights | 1.36 | 1.13 | 1.81 | 4.53 | 4.49 | 13.33 |
| No. Of Shares Underlying Outstanding convertible securities (X) | | | | | | |
| No. of Shares Underlying Outstanding Warrants (Xi) | | | | | | |
| No. Of Shares Underlying Outstanding convertible securities and No. Of Warrants (Xi) (a) | | | | | | |
| Shareholding , as a % assuming full conversion of convertible securities (as a percentage of diluted share capital) (XI)= (VII) +(X) As a % of (A+B+C2) | 1.36 | 1.13 | 1.81 | 4.53 | 4.49 | 13.33 |
| Number of Locked in shares (XII) | | | | | | |
| No. (a) | | | | | | |
| As a % of total Shares held (b) | | | | | | |
| Number of equity shares held in dematerialized form (XIV) | 30000 | 0 | 0 | 100000 | 99200 | 229200 |
| Reason for not providing PAN | | | | | | |
| Reason for not providing PAN | | Textual Information(1) | Textual Information (2) | | | |

| Text Block | |
|------------------------|---------------------------------|
| Textual Information(1) | PAN NOT PROVIDED BY SHAREHOLDER |
| Textual Information(2) | PAN NOT PROVIDED BY SHAREHOLDER |

| Any Other (specify) | | | | | | |
|---|--|--|--|--|------------------|-----------------------|
| Serial No. | 1 | 2 | 3 | 4 | 5 | |
| Category | Bodies Corporate | Bodies Corporate | Bodies Corporate | Bodies Corporate | Clearing Members | |
| Category / More than 1 percentage | More than 1 percentage of shareholding | More than 1 percentage of shareholding | More than 1 percentage of shareholding | More than 1 percentage of shareholding | Category | |
| Name of the Shareholders (I) | AGRA CAPITALS P LTD | HARIOM AGRO FOODS P LTD | KAMALPUR FINANCE LIMITED | UTSAV INDUSTRIES P LTD | | Click here to go back |
| PAN (II) | AABCA7194F | AACCH0148K | AABCK3295M | AAACU4372N | | Total |
| No. of the Shareholders (I) | 1 | 1 | 1 | 1 | 3 | 3 |
| No. of fully paid up equity shares held (IV) | 33738 | 200000 | 200000 | 96383 | 2080 | 2080 |
| No. Of Partly paid-up equity shares held (V) | | | | | | |
| No. Of shares underlying Depository Receipts (VI) | | | | | | |
| Total nos. shares held (VII) = (IV)+ (V)+ (VI) | 33738 | 200000 | 200000 | 96383 | 2080 | 2080 |
| Shareholding as a % of total no. of shares (calculated as per SCRR, 1957) (VIII) As a % of (A+B+C2) | 1.53 | 9.06 | 9.06 | 4.37 | 0.09 | 0.09 |
| Number of Voting Rights held in each class of securities (IX) | | | | | | |
| Class eg: X | 33738 | 200000 | 200000 | 96383 | 2080 | 2080 |
| Class eg:y | | | | | | |
| Total | 33738 | 200000 | 200000 | 96383 | 2080 | 2080 |
| Total as a % of Total Voting rights | 1.53 | 9.06 | 9.06 | 4.37 | 0.09 | 0.09 |
| No. Of Shares Underlying Outstanding convertible securities (X) | | | | | | |
| No. of Shares Underlying Outstanding Warrants (Xi) | | | | | | |
| No. Of Shares Underlying Outstanding convertible securities and No. Of Warrants (Xi) (a) | | | | | | |
| Shareholding , as a % assuming full conversion of convertible securities (as a percentage of diluted share capital) (XI)= (VII) +(X) As a % of (A+B+C2) | 1.53 | 9.06 | 9.06 | 4.37 | 0.09 | 0.09 |
| Number of Locked in shares (XII) | | | | | | |
| No. (a) | | | | | | |
| As a % of total Shares held (b) | | | | | | |
| Number of equity shares held in dematerialized form (XIV) | 33738 | 200000 | 200000 | 96383 | 2080 | 2080 |

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|------------------------------|--|--|--|--|--|--|
| Reason for not providing PAN | | | | | | |
| Reason for not providing PAN | | | | | | |

