



Annexure B

THIRDWAVE FINANCIAL INTERMEDIARIES LIMITED

EXTRACT OF ANNUAL RETURN – Form MGT-9 As on financial year ended on 31.03.2021

Pursuant to Section 92 (3) of the Companies Act, 2013 and rule 12(1) of the Company (Management & Administration) Rules, 2014

I. REGISTRATION & OTHER DETAILS:

1.	CIN	L15100WB1989PLC046886
2.	Registration Date	16/05/1989
3.	Name of the Company	THIRDWAVE FINANCIAL INTERMEDIARIES LIMITED
4.	Category/Sub-category of the Company	COMPANY LIMITED BY SHARES
5.	Address of the Registered office & contact details	601 Ambuja Neotia Ecocentre, EM-4, Sector V, Kolkata – 700 091 Tel : 033-46039630, Email : investor.thirdwave@gmail.com
6.	Whether listed company	LISTED
7.	Name, Address & contact details of the Registrar & Transfer Agent, if any.	NICHE TECHNOLOGIES PRIVATE LIMITED 3A Auckland Place, Room No 7A&7B, 7 th Floor KOLKATA – 700017. PHONE NO. 03322806616/17

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)

S. No.	Name and Description of main products / services	NIC Code of the Product/service	% to total turnover of the company
1	TRADING IN SHARES TRADING IN PULSES	67120 52201	82.53% 17.47%

III. PARTICULARS OF HOLDING, SUBSIDIARY AND ASSOCIATE COMPANIES –

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

Sl. No.	Name and Description of main products / services	NIC Code of the Product/ service	% to total turnover of the company
1		NA	

IV. SHARE HOLDING PATTERN (Equity Share Capital Breakup as percentage of Total Equity) Category –wise Share Holding.

Category of Shareholders	No. of Shares held at the beginning of the year [As on 31-March 2020]				No. of Shares held at the end of the year [As on 31-March -2021]				% change during the year
	Demat	Physical	Total	% of Total Shares	Demat	Physical	Total	% of Total Shares	
A.PROMOTERS									
Indian									
a) Individual/ HUF	148910	-	148910	6.75	148910	-	148910	6.75	-
b) Central Govt.	-	-	-	-	-	-	-	-	-
c) State Govt(s)	-	-	-	-	-	-	-	-	-
d) Bodies Corp.	858890	-	858890	38.91	858890	-	858890	38.91	-
e) Banks/FI	-	-	-	-	-	-	-	-	-
f) Any other	-	-	-	-	-	-	-	-	-
Total Shareholding of Promoter (A)	100780	-	1007800	45.65	1007800	-	1007800	45.65	-



B.PUBLIC SHAREHOLDING									
1.Institutions									
(a)Mutual Funds	-	136200	136200	6.17	-	136200	136200	6.17	-
(b)Banks/Fl	-	-	-	-	-	-	-	-	-
©Central Govt.	-	-	-	-	-	-	-	-	-
(d)State Govt(S)	-	-	-	-	-	-	-	-	-
(e)Venture Capital Funds	-	-	-	-	-	-	-	-	-
(f)Insurance Companies	-	-	-	-	-	-	-	-	-
(g)FIIS	-	-	-	-	-	-	-	-	-
(h)Foreign Venture Capital Funds	-	-	-	-	-	-	-	-	-
(i)Others(Specify)	-	-	-	-	-	-	-	-	-
Sub-total (B)(1) :-	-	136200	136200	6.170	-	136200	136200	6.170	-

2.Non- Institutions									
(a)Bodies Corp.									
(i)Indian	385802	10000	395802	17.929	335689	10000	345689	15.659	-2.270
(ii)Overseas	-	-	-	-	-	-	-	-	-
(b)Individuals									
(i)Individual Shareholders holding nominal Share capital upto Rs.1 Lakh	59068	21900	80968	3.668	79925	21900	101825	4.612	0.944
(ii)Individual Shareholders holding nominal Share capital in excess to Rs.1 Lakh	289200	296000	585200	26.508	399985	216000	615985	27.903	1.395
©Others (Specify)	-	-	-	-	-	-	-	-	-
Non Resident Indians	-	-	-	-	101	-	101	0.005	0.005
Overseas Corporate Bodies	-	-	-	-	-	-	-	-	-
Foreign Nationals	-	-	-	-	-	-	-	-	-
Clearing Members	1630	-	1630	.0740	-	-	-	-	-0.074
Trusts	-	-	-	-	-	-	-	-	-
Foreign Bodies – D R	-	-	-	-	-	-	-	-	-
Sub- total (B)(2) :-	735700	327900	1063600	48.179	815700	247900	1063600	48.179	-
Total Public Shareholding (B) = (B)(1) + (B)(2)	735700	464100	1199800	54.349	815700	384100	1199800	54.349	-

C.Shares held by Custodian for GDRs & ADTRs	-	-	-	-	-	-	-	-	-
Grand Total (A+B+C)	1743500	464100	2207600	100.00	1823500	384100	2207600	100.00	-



B. Shareholding of Promoter:-

SN	Shareholder's Name	Shareholding at the Beginning of the Year			Shareholding at the end of The Year			% Change in Shareholding during the year
		No. of Shares	% of total shares of the company	% of Shares pledged/ encumbered to total shares	No. of Shares	% of total shares of the company	% of shares pledged/ encumbered to total shares	
1	Siddhant Agarwal	148910	6.75	-	148910	6.75	-	-
2	Patriach Developers (P) Ltd	701890	31.79	-	701890	31.79	-	-
3	Prudent Man & Ind Con (P) Ltd	157000	7.11	-	157000	7.11	-	-

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

SN	Particulars	Shareholding At The Beginning Of The Year		Cumulative Shareholding During The Year	
		No. of Shares	% of total shares of the company	No. of Shares	% of total shares of the company
	At the beginning of the year	1007800	45.65	1007800	45.65
	Date wise Changes during the year	-	-	-	-
	At the end of the year	1007800	45.65	1007800	45.65

D. Shareholding Pattern of top ten Shareholders:

SN	For Each of the Top 10 Shareholders	Shareholding At The Beginning Of The Year		Cumulative Shareholding During The Year	
		No. Of Shares	% of total shares of the company	No. of Shares	% of total shares of the company
1	Agra Capitals (P) Ltd	33738	1.528	33738	1.528
	Changes during the year				
	26/06/2020 – Transfer	-24558	1.112	9180	0.416
	30/06/2020 - Transfer	-9180	0.416	0	0.000
2	Hariom Agro Foods (P) Ltd	200000	9.060	200000	9.060
3	Impression Tradelinks (P) Ltd	22000	0.997	22000	0.997
4	J M Trustee Co Ltd	136200	6.170	136200	6.170
5	Manav Agarwal	30000	1.359	30000	1.359
6	Meghna Shah	25000	1.132	25000	1.132
7	Nirmal Kumar Agarwal	40000	1.812	40000	1.812
8	Prerit Jaysukhlal Doshi	0	0	0	0
	Changes During the year				
	17/07/2020 – Transfer	10000	0.453	10000	0.453
	24/07/2020 – Transfer	9409	0.426	19409	0.879
	07/08/2020 – Transfer	14425	0.653	33834	1.533
	14/08/2020 – Transfer	6752	0.306	40586	1.838
	21/08/2020 – Transfer	400	0.018	40986	1.857
	28/08/2020 – Transfer	159	0.007	41145	1.864
	04/09/2020 – Transfer	-429	0.019	40716	1.844
	11/09/2020 – Transfer	44	0.002	40760	1.846
	18/09/2020 – Transfer	352	0.016	41112	1.862
	25/09/2020 – Transfer	1306	0.059	42418	1.921
	02/10/2020 – Transfer	800	0.036	43218	1.958
	09/10/2020 – Transfer	499	0.023	43717	1.980
	06/11/2020 – Transfer	103	0.005	43820	1.985
	13/11/2020 – Transfer	111	0.005	43931	1.990
	20/11/2020 – Transfer	6508	0.295	50439	2.285
	04/12/2020 – Transfer	-139	0.006	50300	2.278



	11/12/2020 – Transfer	-80	0.004	50220	2.275
	18/12/2020 – Transfer	-6368	0.288	43852	1.986
	25/12/2020 – Transfer	-4039	0.183	39813	1.803
	08/01/2021 – Transfer	-38	0.002	39775	1.802
	15/01/2021 – Transfer	-326	0.015	39449	1.787
	22/01/2021 – Transfer	102	0.005	39551	1.792
	05/02/2021 – Transfer	149	0.007	39700	1.798
	12/02/2021 – Transfer	11160	0.506	50860	2.304
	19/03/2021 – Transfer	5	0.000	50865	2.304
	26/03/2021 – Transfer	88	0.004	50953	2.308
	At the end of the year			50953	2.308
9	Sanjay Kumar Agarwal	100000	4.530	100000	4.530
10	Sapna Agarwal	99200	4.494	99200	4.494
11	Shiv Bhagwan Agarwal	0	0	0	0
	Changes During the year				
	26/06/2020 – Transfer	15000	0.679	15000	0.679
	30/06/2020 – Transfer	6000	0.272	21000	0.951
	03/07/2020 – Transfer	10000	0.453	31000	1.404
	14/12/2020 – Transfer	-2000	0.091	29000	1.314
	15/01/2021 – Transfer	-620	0.028	28380	1.286
	At the end of the year			28380	1.286
12	Utsav Industries (P) Ltd	96383	4.366	96383	4.366
	At the end of the year	782521	35.447	828116	37.512

(Other than Directors, Promoters and Holders of GDRs and ADRs)

E. Shareholding of Directors and Key Managerial Personnel:

SN	Shareholding of each Directors and each Key Managerial Personnel	Shareholding at the beginning of the year		Cumulative Shareholding during the year	
		No. of shares	% of total shares of The company	No. of shares	% of total shares of the company
1	Sandeep Kedia				
	At the beginning of the year	99	0.004	-	
	Date wise Increase/Decrease in Promoters Shareholding during the year specifying the reasons for increase/decrease (e.g. allotment /transfer / bonus/ sweat equity etc.):	-	-	-	
	At the end of the year	-	-	99	0.004



V. INDEBTEDNESS –Indebtedness of the Company including interest outstanding/accrued but not due for payment.

	Secured Loans Excluding deposits	Unsecured Loans	Deposit	Total Indebtedness
Indebtedness at the beginning of the financial year				
i) Principal Amount	-	-	-	-
ii) Interest accrued but not paid	-	-	-	-
iii) Interest accrued but not due	-	-	-	-
Total (i+ii+iii)	-	-	-	-
Change in Indebtedness during the financial year				
* Addition	-	-	-	-
* Reduction	-	-	-	-
Net Change	-	-	-	-
Indebtedness at the end of the financial year				
i) Principal Amount	-	-	-	-
ii) Interest due but not paid	-	-	-	-
iii) Interest accrued but not due	-	-	-	-
TOTAL (i+ii+iii)	-	NIL	-	NIL

VI. REMUNERATION OF DIRECTORS AND KEY MANAGERIAL PERSONNEL

A. Remuneration to Managing Director, Whole-time Directors and/or Manager (Rs.)

SN.	Particulars of Remuneration	Name of MD/WTD/ Manager				Total Amount
		MD	WTD	----	---	
1	Gross salary					
	(a) Salary as per provisions contained in section 17(1) of the Income-tax Act, 1961	9,00,000/-	-	-	-	9,00,000/-
	(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	30,000	-	-	-	30,000
	Total (A)	9,30,000	-	-	-	9,30,000
	Ceiling as per the Act					



VII. REMUNERATION OF DIRECTORS AND KEY MANAGERIAL PERSONNEL-

B. Remuneration to other directors : (Rs.)

SN.	Particulars of Remuneration	Name of Directors			Total Amount
		Puneet Gupta	Sandeep Kedia	Sujit Sarkar	
1	Independent Directors				
	Fee for attending board committee meetings	15,000	30,000	15,000	60,000
	Commission	-	-	-	-
	Others, please specify	-	-	-	-
	Total (1)	-	-	-	-
2	Other Non-Executive Directors	-	-	-	-
	Fee for attending board committee meetings	-	-	-	-

VIII. REMUNERATION OF DIRECTORS AND KEY MANAGERIAL PERSONNEL-

C. Remuneration to other directors : (Rs.)

SN.	Particulars of Remuneration	Name of Directors Suman Agarwal	Total Amount
	Commission	-	-
	Others, Please Specify	30,000 (Sitting Fees)	30,000
	Total (2)	-	-
	Total (B) = (1+2)	30,000	30,000
	Total Managerial Remuneration	-	-
	Overall Ceiling as per Act	-	-

D. REMUNERATION TO KEY MANAGERIAL PERSONNEL OTHER THAN MD/MANAGER/WTD (Rs.)

SN	Particulars of Remuneration	Key Managerial Personnel			
		CEO	CS	CFO	Total
	Gross salary	-	1,20,000	95,226	2, 15,226
	(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	-	1,20,000	95,226	2,15,226

**IX. 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	-	-	-	-	-

Place : Kolkata
Dated : 24th June 2021

For and on behalf of the Board
Suman Agarwal
(DIN : 06955583)

For and on behalf of the Board
Vinay Kumar Agarwal
(DIN: 00149999)