

BHARAT BHUSHAN FINANCE & COMMODITY BROKERS LIMITED

**BHARAT
BHUSHAN**

ANNEXURE 'E'

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	L67120DL1992PLC049038
ii	Registration Date	03.06.1992
iii	Name of the Company	BHARAT BHUSHAN FINANCE & COMMODITY BROKERS LIMITED
iv	Category/Sub-category of the Company	Company Limited by shares
v	Address of the Registered office & contact details	503, Rohit House, 3, Tolstoy Marg, Connaught Place, New Delhi-110001
vi	Whether listed company	Listed
vii	Name, Address & contact details of the Registrar & Transfer Agent, if any	Alankit Assignments Limited, 205-208, Anarkali Complex, Jhandewalan Extension, New Delhi – 110 055

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.	The Company is engaged in investments and dealing in shares and other securities, providing loan & advances and other related activities	64990	100%

III. PARTICULARS OF HOLDING, SUBSIDIARY AND ASSOCIATE COMPANIES – NA

S. No.	Name and Address of the Company	CIN/GLN	Holding/ Subsidiary/ Associate	% of Shares Held	Applicable Section

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				% of change during the Year
	Demat	Physical	Total	% of total shares	Demat	Physical	Total	% of total shares	
A. Promoters									
(1) Indian									
(a) Individual/ HUF	1819270	0	1819270	53.82	1779624	0	1779624	52.65	-1.17
(b) Central Govt.	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil
(c) State Govt(s)	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil
(d) Bodies Corp.	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil
(e) Banks/FI	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil
(f) Any Other	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil
Sub total (A)(1):-	1819270	0	1819270	53.82	1779624	0	1779624	52.65	-1.17
A. (2) Foreign									
(g) NRIs-Individuals	0	0	0	0	45907	0	45907	1.36	1.36
(h) Other Individuals	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil
(i) Bodies Corp.	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil
(j) Bank/FI	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil
(k) Any Other	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil
Sub-Total (A)(2):-	0	0	0	0	45907	0	45907	1.36	1.36
Total Shareholding of Promoters (A)= (A)(1) + (A)(2)	1819270	0	1819270	53.82	1825531	0	1825531	54	0.18

BHARAT BHUSHAN FINANCE & COMMODITY BROKERS LIMITED

**BHARAT
BHUSHAN**

Category of Shareholders	No. of Shares held at the beginning of the year				No. of Shares held at the end of the year				% of change during the Year
	Demat	Physical	Total	% of total shares	Demat	Physical	Total	% of total shares	
B. Public Shareholding									
1. Institutions	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil
(a) Mutual Funds	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil
(b) Banks/Fl	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil
(c) Central Govt.	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil
(d) State Govt(s)	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil
(e) Venture Capital Funds	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil
(f) Insurance Companies	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil
(g) FIs	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil
(h) Foreign Venture Capital Funds	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil
(i) Others : (Specify)	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil
Sub-total (B)(1):	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil
2. Non-Institutions									
(a) Bodies Corp.									
(i) Indian	45526	3400	48926	1.45	41505	2400	43905	1.3	-0.15
(ii) Overseas	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil
(b) Individual									
(i) Individual shareholders holding nominal shares capital upto Rs. 2 lakh	634158	299921	934079	27.63	634977	266021	900998	26.65	-0.98
(ii) Individual Shareholders holding nominal share capital in excess of Rs. 2 lakh.	268185	Nil	268185	7.93	270512	Nil	270512	8	0.07
(c) Others (specify)									
(i) Clearing Members	134	Nil	134	0.004	2517	Nil	2517	0.070	0.066
(ii) HUF	44808	Nil	44808	1.33	44839	Nil	44839	1.33	Nil
(iii) NRI	933	8000	8933	0.26	431	7500	7931	0.23	-0.03
(iv) Corp. Bodies (OCB)	12500	Nil	12500	0.37	12500	Nil	12500	0.37	Nil
(v) Clearing House/ Public House	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil
(vi) NBFC registered with RBI	1200	Nil	1200	0.04	1200	Nil	1200	0.04	Nil
(vii) Trust	900	Nil	900	0.03	300	Nil	300	0.01	-0.02
(viii) IEPF	241465	0	241465	7.14	269565	Nil	269565	7.97	0.83
(ix) Others- Non Resident Non Repatriates	Nil	Nil	Nil	Nil	602	Nil	602	0.02	0.02
Sub-total(B)(2):-	1249809	311321	1561130	46.18	1278948	275921	1554869	46	-0.18
Total Public shareholding(B) = (B)(1)+(B)(2)	1249809	311321	1561130	46.18	1278948	275921	1554869	46	-0.18
C. Shares held by custodians for GDRs & ADRs	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil	Nil
Grand Total (A+B+C)	3069079	311321	3380400	100	3104479	275921	3380400	100	Nil

BHARAT BHUSHAN FINANCE & COMMODITY BROKERS LIMITED

**BHARAT
BHUSHAN**

ii) SHAREHOLDING OF PROMOTERS

S. No.	Name of Shareholders	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 shares pledge/encumbered to total shares	No. of Shares	% of total shares of the company	% of shares pledge/encumbered to total shares	
1	VIJAY BHUSHAN	801068	23.70	NIL	804323	23.79	NIL	0.09
2	VIJAY BHUSHAN (HUF)	900	0.03	NIL	900	0.03	NIL	NIL
3	NISHA AHUJA	655826	19.40	NIL	679413	20.10	NIL	0.7
4	JOGESH CHANDER AHUJA*	66488	1.97	NIL	NIL	NIL	NIL	-1.97
5	JOGESH CHANDER AHUJA (HUF)	118607	3.51	NIL	118607	3.51	NIL	NIL
6	SANGEETA BHUSHAN	104565	3.09	NIL	104565	3.09	NIL	NIL
7	MADHVI AHUJA	33905	1.00	NIL	33905	1.00	NIL	NIL
8	SANDHYA JHALANI	30413	0.90	NIL	30413	0.90	NIL	NIL
9	SANT KUMARI AGRAWAL	1500	0.04	NIL	1500	0.04	NIL	NIL
10	SAVI BHUSHAN	100	0.00	NIL	100	0.00	NIL	NIL
11	KANTA AHUJA	5000	0.15	NIL	5000	0.15	NIL	NIL
12	MADHAV BHARAT BHUSHAN	898	0.03	NIL	898	0.03	NIL	NIL
13	UDAY AHUJA	NIL	NIL	NIL	45907	1.36	NIL	1.36
	Total	1819270	53.82	NIL	1825531	54.00	NIL	0.18

*Deceased on 30/06/2019

iii) CHANGE IN PROMOTERS' SHAREHOLDING (PLEASE SPECIFY IF THERE IS NO CHANGE)

S. No.	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	1819270	53.82		
	Date wise increase/decrease in Promoters Share holding during the year specifying the reasons for increase/decrease (e.g. allotment/transfer/bonus/sweat equity etc)				
1	Nisha Ahuja				
	July 29, 2019 - Acquired by inheritance	20581	0.61	1839851	54.43
2	Uday Ahuja				
	December 26, 2019 - Acquired by inheritance	45907	1.37	1885758	55.79
3	Jogesh Chand Ahuja				
	December 26, 2019 - Transmission	-66488	-1.97	1819270	53.82
4	Nisha Ahuja				
	March 16, 2020 - Market Purchase	3000	0.09	1822270	53.91
5	Vijay Bhushan				
	March 16, 2020 - Market Purchase	3000	0.09	1825270	54
	March 18, 2020 - Market Purchase	5	0	1825275	54
6	Nisha Ahuja				
	March 24, 2020 - Market Purchase	6	0	1825281	54
7	Vijay Bhushan				
	March 24, 2020 - Market Purchase	250	0	1825531	54
	At the end of the year (or on the date of separation, if separated during the year)			1825531	54

BHARAT BHUSHAN FINANCE & COMMODITY BROKERS LIMITED

**BHARAT
BHUSHAN**

Shareholding Pattern of Top 10 shareholders (other than Directors, Promoters and holders of GDR's and ADR's) as on March 31, 2020:

S. No.	Particulars	Shareholding as on 1 st April, 2019		Cumulative Shareholding during the year	
		No. of shares	% of total shares of the Company	No. of Shares	% of total shares of the Company
1	Investor Education and Protection Fund				
	At the beginning of the year	241465	7.14	241465	7.14
	Date wise Increase / (Decrease) in Shareholding during the year				
	November 01, 2019 - Decrease	100	0	241365	7.14
	January 10, 2020 - Increase	27000	0.80	268365	7.94
	January 17, 2020 - Increase	1200	0.03	269565	7.97
	At the end of the year			269565	7.97
2	Jose Varkey Naduthottam				
	At the beginning of the year	84435	2.50	84435	2.50
	Date wise Increase / (Decrease) in Shareholding during the year				
	May 17, 2019 - Purchase	1049	0.03	85484	2.53
	June 14, 2019 - Purchase	85	0.00	85569	2.53
	August 02, 2019 - Purchase	90	0.00	85659	2.53
	At the end of the year			85659	2.53
3	Milan Dhar				
	At the beginning of the year	71157	2.10	71157	2.10
	Date wise Increase / (Decrease) in Shareholding during the year				
	April 05, 2019 - Purchase	176	0.01	71333	2.11
	April 12, 2019 - Purchase	1005	0.03	72338	2.14
	July 26, 2019 - Sale	2408	0.07	69930	2.07
	August 02, 2019 - Purchase	2408	0.07	72338	2.14
	September 13, 2019 - Purchase	94	0.00	72432	2.14
	March 31, 2020 - Sale	1875	0.06	70557	2.09
	At the end of the year			70557	2.09
4	Guntupalli Harish				
	At the beginning of the year	55878	1.65	55878	1.65
	Date wise Increase / (Decrease) in Shareholding during the year				
	August 30, 2019 - Purchase	5	0.00	55883	1.65
	November 01, 2019 - Purchase	99	0.00	55982	1.66
	January 10, 2020 - Purchase	200	0.01	56182	1.66
	January 24, 2020 - Purchase	4	0.00	56186	1.66
	February 28, 2020 - Purchase	1395	0.04	57581	1.70
At the end of the year			57581	1.70	
5	Integrated Financial Services Limited				
	At the beginning of the year	30000	0.89	30000	0.89
	Date wise Increase / (Decrease) in Shareholding during the year	NIL	NIL	30000	0.89
	At the end of the year			30000	0.89
6	Balram Bharwani				
	At the beginning of the year	22621	0.67	22621	0.67
	Date wise Increase / (Decrease) in Shareholding during the year	NIL	NIL	22621	0.67
	At the end of the year			22621	0.67

BHARAT BHUSHAN FINANCE & COMMODITY BROKERS LIMITED

**BHARAT
BHUSHAN**

S. No.	Particulars	Shareholding as on 1 st April, 2019		Cumulative Shareholding during the year	
		No. of shares	% of total shares of the Company	No. of Shares	% of total shares of the Company
7	Subeeta Dhar				
	At the beginning of the year	34094	1.01	34094	1.01
	Date wise Increase / (Decrease) in Shareholding during the year				
	June 21, 2019- Sale	2480	0.07	31614	0.94
	June 28, 2019- Purchase	2480	0.07	34094	1.01
	At the end of the year			34094	1.01
8	T. S. & Sons HUF (Tikam Saraf)				
	At the beginning of the year	16237	0.48	16237	0.48
	Date wise Increase / (Decrease) in Shareholding during the year				
	April 05, 2019 - Sale	1080	0.03	15157	0.45
	At the end of the year			15157	0.45
9	Savina Sharan				
	At the beginning of the year	15100	0.45	15100	0.45
	Date wise Increase / (Decrease) in Shareholding during the year	NIL	NIL	15100	0.45
	At the end of the year			15100	0.45
10	WF Holdings Limited				
	At the beginning of the year	12500	0.37	12500	0.37
	Date wise Increase / (Decrease) in Shareholding during the year	NIL	NIL	12500	0.37
	At the end of the year			12500	0.37
11	Nareshkumar Mohanlal Bhatia				
	At the beginning of the year	8623	0.26	8623	0.26
	Date wise Increase / (Decrease) in Shareholding during the year				
	April 05, 2019- Purchase	50	0.00	8673	0.26
	May 10, 2019- Purchase	267	0.01	8940	0.26
	June 07, 2019- Purchase	500	0.01	9440	0.28
	July 19, 2019- Purchase	475	0.01	9915	0.29
	July 26, 2019- Purchase	149	0.00	10064	0.30
	September 06, 2019- Purchase	100	0.00	10164	0.30
	September 13, 2019- Purchase	360	0.01	10524	0.31
	At the end of the year			10524	0.31

- 1. The shares of those shareholders who have not claimed their dividend for a consecutive period of 7 years have been transferred to Investor Education and Protection Fund (IEPF). Equity shares held in the name of 'Investor Education and Protection Fund Authority, Ministry of Corporate Affairs' as on March 31, 2020 (including 28,200 equity shares transferred to it during the year) has been included in the list of shareholders given above.
- 2. Shareholding is consolidated based on Permanent Account Number (PAN) of the shareholder.
- 3. The details including sale and purchase transaction dates are given above based on beneficiary data received from the Registrar and Share Transfer Agent of the Company as such details are not provided by the shareholders to the Company.

v) Shareholding of Directors & KMP

S. No.	Name of Directors and KMP	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	Mr. Vijay Bhushan				
	At the beginning of the year	801068	23.70	801068	23.70
	Date wise Increase / (Decrease) in Shareholding during the year				
	March 16, 2020 - Market Purchase	3000	0.09	804068	23.79
	March 18, 2020 - Market Purchase	5	0.00	804073	23.79
	March 24, 2020 - Market Purchase	250	0.00	804323	23.79
	At the end of the year			804323	23.79
2	Mrs. Nisha Ahuja				
	At the beginning of the year	655826	19.40	655826	19.40
	Date wise Increase / (Decrease) in Shareholding during the year				
	July 29, 2019 - Acquired by inheritance	20581	0.61	676407	20.01
	March 16, 2020 - Market Purchase	3000	0.09	679407	20.10
	March 24, 2020 - Market Purchase	6	0.00	679413	20.10
At the end of the year			679413	20.01	
3	Mr. Jogesh Ahuja*				
	At the beginning of the year	66488	1.97	66488	1.97
	Date wise Increase / (Decrease) in Shareholding during the year				
	December 26, 2019 - Transmission	-66488	1.97	NIL	NIL
At the end of the year			NIL	NIL	
4	Ms. Sant Kumari Agrawal	1500	0.04	1500	0.04
5	Madhvi Ahuja**	33905	1	33905	1
6	Mr. Arun Kumar Garg	NIL	NIL	NIL	NIL
7	Mr. Kuldeep Gupta	NIL	NIL	NIL	NIL
8	Mr. Ravindra Singh	NIL	NIL	NIL	NIL
9	Mr. Varun Saihgal	NIL	NIL	NIL	NIL
10	Mr. Satish Aggarwal (Chief Financial Officer)	NIL	NIL	NIL	NIL
11	Mr. Piyush Kumar (Company Secretary)***	NIL	NIL	NIL	NIL
12	Mr. Pankaj Singh Bisht (Company Secretary)****	NIL	NIL	NIL	NIL
13	Ms. Sandhya Ahuja (Manager)	30413	0.90	30413	0.90

* Deceased on 30/06/2019

** Appointed as director with effect from 27/09/2019

*** Resigned with effect from 08/02/2020

**** Appointed with effect from 10/02/2020

V. INDEBTEDNESS

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

	Secured Loans excluding deposits	Unsecured Loans	Deposits	Total Indebtedness
Indebtedness at the beginning of the financial Year	Nil	Nil	Nil	Nil
i) Principal Amount				
ii) Interest due but not paid				
iii) Interest accrued but not due				
Total (i+ii+iii)				
Change in Indebtedness during the financial year	Nil	Nil	Nil	Nil
● Addition				
● Reduction				
Net Change	Nil	Nil	Nil	Nil
Indebtedness at the end of the financial Year	Nil	Nil	Nil	Nil
i) Principal Amount				
ii) Interest due but not paid				
iii) Interest accrued but not due				
Total (i+ii+iii)	Nil	Nil	Nil	Nil

VI. REMUNERATION OF DIRECTORS AND KEY MANAGERIAL PERSONNEL

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

S.No	Particulars of Remuneration	Name of the MD/WTD/Manager	Total Amount
		Mrs. Sandhya Jhalani (Manager)	
	Period	01.04.2019 to 31.03.2020	
1	Gross Salary		
	(a) Salary as per provisions contained in section 17(1) of the Income Tax, 1961	4,35,135.00	4,35,135.00
	(b) Value of perquisites u/s 17(2) of the Income Tax Act, 1961	0	0
	(c) Profits in lieu of salary u/s 17(3) Income Tax Act, 1961	0	0
2	Stock Option	-	-
3	Sweat Equity	-	-
4	Commission		
	- as % of Profit	-	-
	- others, (specify)		
5	Others, please specify	0	0
	Total (A)	4,35,135.00	4,35,135.00
	Ceiling as per the Act.(Per Annum)		60,00,000.00

BHARAT BHUSHAN FINANCE & COMMODITY BROKERS LIMITED

**BHARAT
BHUSHAN**

B. Remuneration to other Directors:
(Excluding Goods and Services Tax)

S. No.	Particulars of Remuneration	Name of the Directors						Total Amount
		Mr. Vijay Bhushan		Mrs. Nisha Ahuja		Mr. Jogesh C Ahuja*		
1.	Executive Directors	Nil		Nil		Nil		Nil
2.	Independent Directors	Mr. Kuldeep Kumar Gupta		Mr. Varun Saihgal		Mr. Ravindra Singh		-
	(a) Fee for attending board and committee meetings	7,500		36,000		32,000		75,500
	(b) Commission	0.00		0.00		0.00		0.00
	(c) Others, please specify	0.00		0.00		0.00		0.00
	Total (1)	7,500		36,000		30,000		75,500
3.	Other Non-Executive Director	Mr. Vijay Bhushan	Mrs. Nisha Ahuja	Mr. Jogesh C Ahuja*	Ms. Madhvi Ahuja**	Mrs. Sant Kumari Agrawal	Mr. Arun Kumar Garg	-
	(a) Fee for attending board and committee meetings	30,000	32,000	7,500	6,500	26,000	28,000	1,30,000
	(b) Commission	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	(c) Others, please specify	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Total (2)	30,000	32,000	7,500	6,500	26,000	28,000	1,30,000
	Total (B)=(1+2)	-	-	-	-	-	-	2,05,500
	Total Managerial Remuneration	-	-	-	-	-	-	2,05,500
	Overall Ceiling as per the Act	N.A.	N.A.	N.A.	N.A.	N.A.	N.A.	N.A.

* Ceased to be director on 30.06.2019 ** Appointed as director with effect from 27.09.2019

C. Remuneration to Key Managerial Personnel other than MD/Manager/WTD

S.No.	Particulars of Remuneration	Key Managerial Personnel			
		CEO	Company Secretary	CFO	Total
1.	Gross salary				
	(a) Salary as per provisions contained in section 17(1) of the Income-tax Act, 1961	N.A.	3,44,186	5,25,090	8,69,276
	(b) Value of perquisites u/s 17(2) of the Income-tax Act, 1961	N.A.	0.00	0.00	0.00
	(c) Profits in lieu of salary under section 17(3) of the Income-tax Act, 1961	N.A.	0.00	0.00	0.00
2.	Stock Option	N.A.	0.00	0.00	0.00
3.	Sweat Equity	N.A.	0.00	0.00	0.00
4.	Commission				
	- as % of profit	N.A.	0.00	0.00	0.00
	- others, (specify)				
5.	Others, please specify	N.A.	0.00	0.00	0.00
	Total	-	3,44,186	5,25,090	8,69,276

VII. PENALTIES/PUNISHMENTS/COMPOUNDING OF OFFENCES: NIL

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					