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CSE file

SMIFS CAPITAL MARKETS LIMITED

October 05, 2021

The Secretary
The Calcutta Stock Exchange Limited
7, Lyons Range
Kolkata - 700 001

Sub: Regulation 31 of the SEBI (Listing Obligations & Disclosure Requirements) Regulations, 2015

Dear Sir,

We are forwarding the Statement showing Shareholding as per Regulation 31 of the (Listing Obligations & Disclosure Requirements) Regulations, 2015 as on September 30, 2021 for your kind reference and record.

Kindly acknowledge.

Yours faithfully,
For SMIFS Capital Markets Limited

(Poonam Bhatia)
Company Secretary-cum-Senior Manager Legal



Encl: a/a

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General information about company

Scrip code	508905
NSE Symbol	
MSEI Symbol	
ISIN	INE641A01013
Name of the company	SMIFS CAPITAL MARKETS LIMITED
Whether company is SME	No
Class of Security	Equity Shares
Type of report	Quarterly
Quarter Ended / Half year ended/Date of Report (For Prelisting / Allotment)	30-09-2021
Date of allotment / extinguishment (in case Capital Restructuring selected) / Listing Date	
Shareholding pattern filed under	Regulation 31 (1) (b)
Whether the listed entity is Public Sector Undertaking (PSU)?	No

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CUM-SENIOR MANAGER LEGAL

Sr. No.	Particular	Yes/No	Promoter and Promoter Group	Public shareholder	Non Promoter- Non Public
1	Whether the Listed Entity has issued any partly paid up shares?	No	No	No	No
2	Whether the Listed Entity has issued any Convertible Securities ?	No	No	No	No
3	Whether the Listed Entity has issued any Warrants ?	No	No	No	No
4	Whether the Listed Entity has any shares against which depository receipts are issued?	No	No	No	No
5	Whether the Listed Entity has any shares in locked-in?	No	No	No	No
6	Whether any shares held by promoters are pledge or otherwise encumbered?	No	No		
7	Whether company has equity shares with differential voting rights?	No	No	No	No
8	Whether the listed entity has any significant beneficial owner?	No			

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Table I - Summary Statement holding of specified securities

Note : Data will be automatically populated from shareholding pattern sheet - Data Entry Restricted in this sheet

Category Y (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		
								Class eg: X	Class eg:Y	Total
						2534051	45.37	25,34,051.00		2534051.00
(A)	Promoter & Promoter Group	12	2534051			3050949	54.63	3050949.00		3050949.00
(B)	Public	1213	3050949							
(C)	Non Promoter- Non Public									
(C1)	Shares underlying DRs									
(C2)	Shares held by Employee Trusts					5585000	100	5585000.00		5585000.00
	Total	1225	5585000							

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Total as a % of (A+B+C)	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)	
									2534051
45.37				45.37					3002809
54.63				54.63					
100.00				100					5536860

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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		
								No of Voting (XIV) 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	9	784350			784350	14.04	784350.00		784350
(b)	Central Government/ State Government(s)									
(c)	Financial Institutions/ Banks									
(d)	Any Other (specify)	3	1749701			1749701	31.33	1749701.00		1749701
Sub-Total (A)(1)		12	2534051			2534051	45.37	2534051.00		2534051
(2)	Foreign									
(a)	Individuals (NonResident Individuals/ Foreign Individuals)									
(b)	Government									
(c)	Institutions									
(d)	Foreign Portfolio Investor									
(e)	Any Other (specify)									
Sub-Total (A)(2)										
Total Shareholding of Promoter and Promoter Group (A)=(A)(1)+(A)(2)		12	2534051			2534051	45.37	2534051.00		2534051
Details of Shares which remain unclaimed for Promoter & Promoter Group										
B	Table III - Statement showing shareholding pattern of the Public shareholder									
Note : Kindly show details of shareholders having more than one percentage of total no of shares. Please refer software manual.										
(1)	Institutions									
(a)	Mutual Funds									
(b)	Venture Capital Funds									
(c)	Alternate Investment Funds									
(d)	Foreign Venture Capital Investors									
(e)	Foreign Portfolio Investors	1	550000			550000	9.85	550000		550000
(f)	Financial Institutions/ Banks									
(g)	Insurance Companies									
(h)	Provident Funds/ Pension Funds									
(i)	Any Other (specify)									
Sub-Total (B)(1)		1	550000			550000	9.85	550000.00		550000
(2)	Central Government/ State Government(s)/ President of India									
Sub-Total (B)(2)										
(3)	Non-institutions									
(a)(i)	Individuals - Individual shareholders holding nominal share capital up to Rs. 2 lakhs	1119	521519			521519	9.34	521519		521519

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class of securities (IX)

Total as a % of Total Voting rights	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)	
14.04				14.04					784350
31.33				31.33					1749701
45.37				45.37					2534051
45.37				45.37					2534051

9.85				9.85					550000
9.85				9.85					550000
9.34				9.34					482479

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Searial No.	Name of the Shareholders (I)	PAN (II)	No. of fully paid up equity shares held (IV)	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			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)	Number of equity shares held in dematerialized form (XIV)	Reason for not providing PAN	Shareholder type	
						No of Voting (XIV) Rights		Total as a % of Total Voting rights						
						Class eg:X	Total							
A1(a) Individuals/Hindu undivided Family														
Add		Delete												
1	AJAY KUMAR KAYAN	AGGPK0892G	400550	400550	7.17	400550.00	400550.00	7.17			7.17	400550		Promoter
2	LALITA KAYAN	AGGPK0893H	154300	154300	2.76	154300.00	154300.00	2.76			2.76	154300		Promoter Group
3	NILANGI PAREKH	AJPPP3852K	123000	123000	2.20	123000.00	123000.00	2.20			2.20	123000		Promoter Group
4	UTSAV PAREKH	AGHPP4467H	96200	96200	1.72	96200.00	96200.00	1.72			1.72	96200		Promoter
5	RAHUL KAYAN	AGAPK0442L	7000	7000	0.13	7000.00	7000.00	0.13			0.13	7000		Promoter Group
6	SUMAN BHARTIA	AEEP89602B	1500	1500	0.03	1500.00	1500.00	0.03			0.03	1500		Promoter Group
7	GAURI SHANKAR AJAY KUMAR (HUF)	AABHG5183R	1000	1000	0.02	1000.00	1000.00	0.02			0.02	1000		Promoter Group
8	AJAY KUMAR KAYAN HUF	AACHA9009B	700	700	0.01	700.00	700.00	0.01			0.01	700		Promoter Group
9	PAYAL SARAF	AFYPK7045N	100	100	0.00	100.00	100.00	0.00			0.00	100		Promoter Group
Click here to go back			Total	784350	784350	14.04	784350.00	784350.00	14.04		14.04	784350		Promoter Group

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Searial No.	Category	Name of the Shareholders (I)	PAN (II)	No. of the Shareholders (I)	No. of fully paid up equity shares held (IV)	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		
								No of Voting (XIV) Rights		Total as a % of Total Voting rights
								Class eg: X	Total	
A1(d) Any Other (specify)										
Add Delete										
1	Bodies Corporate	MACKERTICH CONSULTANCY SERVICES PRIVATE	AABCM5680Q	1	1115700	1115700	19.98	1115700.00	1115700.00	19.98
2	Bodies Corporate	PROGRESSIVE STAR FINANCE PRIVATE LIMITED	AABCP6020F	1	357251	357251	6.40	357251.00	357251.00	6.40
3	Bodies Corporate	STEWART INVESTMENT AND FINANCIAL PRIVATE	AADC8612C	1	276750	276750	4.96	276750.00	276750.00	4.96
Click here to go back Total										
				3	1749701	1749701	31.33	1749701.00	1749701.00	31.33

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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	Number of equity shares held in dematerialized form (XIV)	Reason for not providing PAN	Shareholder type
	19.98	1115700		Promoter Group
	6.40	357251		Promoter Group
	4.96	276750		Promoter Group
	31.33	1749701		

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Searial No.	Name of the Shareholders (I)	PAN (II)	No. of fully paid up equity shares held (IV)	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			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 equity shares held in dematerialized form (XIV)	Reason for not providing PAN
						No of Voting (XIV) Rights		Total as a % of Total Voting rights			
						Class eg: X	Total				
B1(e) Foreign Portfolio Investors											
Add Delete Disclosure of shareholder holding more than 1% of total number of shares											
1	THE INDIAMAN FUND (MAURITIUS) LIMITED	AAACT4855D	550000	550000	9.85	550000.00	550000.00	9.85	9.85	550000	
Click here to go back			Total	550000	9.85	550000.00	550000.00	9.85	9.85	550000	

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Searial No.	Name of the Shareholders (I)	PAN (II)	No. of fully paid up equity shares held (IV)	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			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 equity shares held in dematerialized form (XIV)	Reason for not providing PAN	
						No of Voting (XIV) Rights		Total as a % of Total Voting rights				
						Class eg: X	Total					
B3(a(ii)) Individuals - ii. Individual shareholders holding nominal share capital in excess of Rs. 2 lakhs.												
Add		Delete		Disclosure of shareholder holding more than 1% of total number of shares								
1	MINAL BHARAT PATEL	AACPP5126G	323339	323339	5.79	323339.00	323339.00	5.79	5.79	323339		
2	SN RAJAN	ANWPS3969F	260326	260326	4.66	260326.00	260326.00	4.66	4.66	260326		
3	SANGEETHA S	AUJPS3739F	182590	182590	3.27	182590.00	182590.00	3.27	3.27	182590		
4	PUNJABHAI KESHAVBHAI JADEJA	AEDPK1160L	78225	78225	1.40	78225.00	78225.00	1.40	1.40	78225		
5	RAKESH KUMAR JAIN	AAFPJ6867K	56420	56420	1.01	56420.00	56420.00	1.01	1.01	56420		
Click here to go back			Total	900900	16.13	900900.00	900900.00	16.13	16.13	900900		

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Serial No.	Category	Category / More than 1 percentage	Name of the Shareholders (I)	PAN (II)	No. of the Shareholders (I)	No. of fully paid up equity shares held (IV)	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)		
B3(e) Any Other (specify)										
Add Delete										
1	IEPF	Category			1	111437	111437	2.00		
2	Bodies Corporate	Category			43	*836241	836241	14.97		
3	HUF	Category			36	31727	31727	0.57		
4	Non-Resident Indian (NRI)	Category			5	4230	4230	0.08		
Click here to go back						Total	85	983635	983635	17.62

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Number of Voting Rights held in each class of securities (IX)				Shareholding, as a % assuming full conversion of convertible securities (as a percentage of diluted share capital) (X)= (VII)+(X) As a % of (A+B+C2)	Number of equity shares held in dematerialized form (XIV)	Reason for not providing PAN
No of Voting (XIV) Rights		Total as a % of Total Voting rights				
Class eg: X	Total					
111437	111437	2.00	2.00		111437	
836241	836241	14.97	14.97		836141	
31727	31727	0.57	0.57		31727	
4230	4230	0.08	0.08		1230	
983635.00	983635.00	17.62	17.62		974535	

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