

## ANNEXURE 1

### Form No. MGT-9

Extract of Annual Return as on the financial year ended on 31<sup>st</sup> March, 2019  
 [Pursuant to Section 92(3) of the Companies Act, 2013 and Rule 12(1) of the Companies  
 (Management and Administration) Rules, 2014]

<b>I. REGISTRATION AND OTHER DETAILS:</b>		
i)	CIN	U67200MH2003PTC141621
ii)	Registration Date	06.08.2003
iii)	Name of the Company	Alliance Insurance Brokers Private Limited
iv)	Category / Sub-Category of the Company	Private Company/ Limited by Shares
v)	Address of the Registered Office and contact details	8th Floor, Gold Crest, 10 <sup>th</sup> Road, Juhu, Vile Parle (West), Mumbai – 400049, Tel No: 022 67390900
vi)	Whether listed company Yes/ No	No
vii)	Name, Address and contact details of Registrar & Transfer Agents (RTA), if any	N.A.

## 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: -

Sl. No.	Name and Description of main products / services	NIC Code of the Product/ service	% to total turnover of the company
1.	Life Insurance Brokerage	65110	0.85%
2.	Non-Life Insurance Brokerage	65120	90.09%
3.	Reinsurance Brokerage	66020	9.06%

## III. PARTICULARS OF HOLDING, SUBSIDIARY AND ASSOCIATE COMPANIES-

Sr. No.	Name and Address of the company	CIN/GLN	Holding/ Subsidiary/ Associate	% of shares held	Applicable Section
Not Applicable					



## VI. 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	Physical	Total	% of Total Shares	Demat	Physical	Total	% of Total Shares	
<b>A. Promoters</b>									
<b>(1) Indian</b>									
a) Individual/HUF	0	2238955	2238955	78.80	0	2238955	2238955	78.80	0.00
b) Central Govt	0	0	0	0.00	0	0	0	0.00	0.00
c) State Govt(s)	0	0	0	0.00	0	0	0	0.00	0.00
d) Bodies Corp.	0	0	0	0.00		0	0	0.00	0.00
e) Banks / FI	0	0	0	0.00	0	0	0	0.00	0.00
f) Any other	0	0	0	0.00	0	0	0	0.00	0.00
<b>Sub- total (A) (1)</b>	<b>0</b>	<b>2238955</b>	<b>2238955</b>	<b>78.80</b>	<b>0</b>	<b>2238955</b>	<b>2238955</b>	<b>78.80</b>	<b>0.00</b>
<b>2. Foreign</b>									
a) NRIs-Individuals	0	0	0	0.00	0	0	0	0.00	0.00
b) Other-Individuals	0	0	0	0.00	0	0	0	0.00	0.00
c) Body Corp.	0	0	0	0.00	0	0	0	0.00	0.00
d) Banks/FI	0	0	0	0.00	0	0	0	0.00	0.00
e) Any	0	0	0	0.00	0	0	0	0.00	0.00
<b>Sub-total (A)(2)</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0.00</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0.00</b>	<b>0.00</b>
<b>Total Shareholding of Promoter (A)= (A)(1)+(A)(2)</b>	<b>0</b>	<b>2238955</b>	<b>2238955</b>	<b>78.80</b>	<b>0</b>	<b>2238955</b>	<b>2238955</b>	<b>78.80</b>	<b>0.00</b>



<b>B. Public Shareholding</b>									
<b>1. Institutions</b>									
a) Mutual Funds	0	0	0	0.00	0	0	0	0.00	0.00
b) Banks/FI	0	0	0	0.00	0	0	0	0.00	0.00
c) Central Govt	0	0	0	0.00	0	0	0	0.00	0.00
d) State Govt(s)	0	0	0	0.00	0	0	0	0.00	0.00
e) Venture Capital Funds	0	155622	155622	5.48	0	155622	155622	5.48	0.00
f) Insurance Companies	0	0	0	0.00	0	0	0	0.00	0.00
g) FIIs	0	0	0	0.00	0	0	0	0.00	0.00
h) Foreign Venture Capital Funds	0	0	0	0.00	0	0	0	0.00	0.00
i) Others (specify)	0	0	0	0.00	0	0	0	0.00	0.00
<b>Sub-total (B)(1): -</b>	<b>0</b>	<b>155622</b>	<b>155622</b>	<b>5.48</b>	<b>0</b>	<b>155622</b>	<b>155622</b>	<b>5.48</b>	<b>0.00</b>
<b>2. Non-Institutions</b>									
a) Bodies Corp									
i) Indian	0	95382	95382	3.36	0	95382	95382	3.36	0.00
ii) Overseas	0	351406	351406	12.37	0	351406	351406	12.37	0.00
b) Individuals									
i) Individuals Shareholders holding nominal share capital upto Rs 1 lakh	0	0	0	0.00	0	0	0	0.00	0.00
ii) individual Shareholders holding nominal capital in excess of Rs 1 lakh	0	0	0	0.00	0	0	0	0.00	0.00
c) Others (specify)	0	0	0	0.00	0	0	0	0.00	0.00
Non-Resident Indians (Repat)	0	0	0	0.00	0	0	0	0.00	0.00



Non-Resident Indians (Non Repat)	0	0	0	0.00	0	0	0	0.00	0.00
Clearing Member	0	0	0	0.00	0	0	0	0.00	0.00
Trusts	0	0	0	0.00	0	0	0	0.00	0.00
<b>Sub-total (B)(2): -</b>	<b>0</b>	<b>446788</b>	<b>446788</b>	<b>15.72</b>	<b>0</b>	<b>446788</b>	<b>446788</b>	<b>15.72</b>	<b>0.00</b>
<b>Total Public Shareholding (B)=(B)(1)+(B)(2)</b>	<b>0</b>	<b>602410</b>	<b>602410</b>	<b>21.20</b>	<b>0</b>	<b>602410</b>	<b>602410</b>	<b>21.20</b>	<b>0.00</b>
<b>C. Shares held by Custodian for GDRs &amp; ADRs</b>									
i. Promoter and Promoter group	0	0	0	0.00	0	0	0	0.00	0.00
ii. Public	0	0	0	0.00	0	0	0	0.00	0.00
<b>Sub-total C: -</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0.00</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0.00</b>	<b>0.00</b>
<b>Grand Total (A+B+C)</b>	<b>0</b>	<b>2841365</b>	<b>2841365</b>	<b>100.00</b>	<b>0</b>	<b>2841365</b>	<b>2841365</b>	<b>100.00</b>	<b>0.00</b>

### (ii) Shareholding of Promoters

Sr. 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 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.	Shashikant V. Thakkar	222727	7.84	0.00	222727	7.84	0.00	0.00



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Email: info@allianceinsurance.in • Website: www.allianceinsurance.in

CIN: U67200MH2003PTC141621 • Composite Insurance Broker

IRDA License No. 217 • Validity Period : 13-10-2018 to 12-10-2021

2.	Bina Desai	3000	0.11	0.00	3000	0.11	0.00	0.00
3.	Nayna S. Thakkar	47728	1.68	0.00	47728	1.68	0.00	0.00
4.	Dipak Desai	3000	0.11	0.00	3000	0.11	0.00	0.00
5.	Shashikant V. Thakkar jointly with Nayna S. Thakkar	1512500	53.23	0.00	1512500	53.23	0.00	0.00
6.	Aatur Thakkar jointly with Shashikant V. Thakkar	156250	5.50	0.00	156250	5.50	0.00	0.00
7.	Nayna S. Thakkar jointly with Shashikant V. Thakkar	181250	6.38	0.00	181250	6.38	0.00	0.00
8.	Aatur Thakkar	112500	3.95	0.00	112500	3.95	0.00	0.00

**(iii) Change in Promoters' Shareholding (please specify, if there is no change)**

Sr. No.	Shareholder's Name	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	2238955	78.80	2238955	78.80
	Date wise Increase / Decrease in Promoters Shareholding during the Year specifying the reasons for increase / decrease (e.g. allotment / transfer / bonus/ sweat equity etc):	<i>There is no change in the total shareholding of promoters between 01.04.2018 to 31.03.2019</i>			
	At the end of the year	2238955	78.80	2238955	78.80



**(iv) Shareholding Pattern of top ten Shareholders (other than Directors, Promoters and Holders of GDRs and ADRs):**

Sr. No.	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
<b>1.</b>	<b>Liatris Pte. Limited</b>				
	At the beginning of the year	351406	12.37	351406	12.37
	Date wise Increase / Decrease in Shareholding during the year specifying the reasons for increase / decrease (e.g. allotment / transfer / bonus / sweat equity etc):	No Change	N.A.	-	--
	At the End of the year	351406	12.37	351406	12.37
<b>2.</b>	<b>Access Trusteeship Company Private Limited in its capacity as trustees of Access India Fund-I</b>				
	At the beginning of the year	155622	5.48	155622	5.48
	Date wise Increase / Decrease in Shareholding during the year specifying the reasons for increase / decrease (e.g. allotment / transfer / bonus / sweat equity etc):	No Change	N.A.	-	--
	At the End of the year	155622	5.48	155622	5.48
<b>3.</b>	<b>Argent Trading LLP</b>				
	At the beginning of the year	95382	3.36	95382	3.36
	Date wise Increase / Decrease in Shareholding during the year specifying the reasons for increase / decrease (e.g. allotment / transfer / bonus / sweat equity etc):	No Change	N.A.	-	--
	At the End of the year	95382	3.36	95382	3.36



**(v). Shareholding of Directors and Key Managerial Personnel:**

Sl. No.	For Each of the 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	<b>Shashikant Thakkar</b>				
	At the beginning of the year	17,35,227	61.07	17,35,227	61.07
	Date wise Increase / Decrease in Shareholding during the year specifying the reasons for increase / decrease (e.g. allotment / transfer / bonus/ sweat equity etc):	No Change	N.A.	--	--
	At the end of the year	17,35,227	61.07	17,35,227	61.07
2	<b>Aatur Thakkar</b>				
	At the beginning of the year	2,68,750	9.46	2,68,750	9.46
	Date wise Increase / Decrease in Shareholding during the year specifying the reasons for increase / decrease (e.g. allotment / transfer / bonus/ sweat equity etc):	No Change	N.A.	--	--
	At the end of the year	2,68,750	9.46	2,68,750	9.46
3	<b>Pranav Kanak Shah</b>				
	At the beginning of the year	NIL	N.A.	NIL	N.A.
	Date wise Increase / Decrease in Shareholding during the year specifying the reasons for increase / decrease (e.g. allotment / transfer / bonus/ sweat equity etc):	No Change	N.A.	--	--
	At the end of the year	NIL	N.A.	NIL	N.A.
4	<b>Salil Ranjan Das</b>				
	At the beginning of the year	NIL	N.A.	NIL	N.A.
	Date wise Increase / Decrease in Shareholding during the year specifying the reasons for increase / decrease (e.g. allotment / transfer / bonus/ sweat equity etc):	No Change	N.A.	--	--
	At the end of the year	NIL	N.A.	NIL	N.A.



5	<b>B Gowri Jayaraman</b>				
	At the beginning of the year	NIL	N.A.	NIL	N.A.
	Date wise Increase / Decrease in Shareholding during the year specifying the reasons for increase / decrease (e.g. allotment / transfer / bonus/ sweat equity etc):	No Change	N.A.	-	--
	At the end of the year	NIL	N.A.	NIL	N.A.
6	<b>Nilesh Mehta</b>				
	At the beginning of the year	NIL	N.A.	NIL	N.A.
	Date wise Increase / Decrease in Shareholding during the year specifying the reasons for increase / decrease (e.g. allotment / transfer / bonus/ sweat equity etc):	No Change	N.A.	--	--
	At the end of the year	NIL	N.A.	NIL	N.A.
7.	<b>Sangeeta Modi</b>				
	At the beginning of the year	NIL	N.A.	NIL	N.A.
	Date wise Increase / Decrease in Shareholding during the year specifying the reasons for increase / decrease (e.g. allotment / transfer / bonus/ sweat equity etc):	No Change	N.A.	--	--
	At the end of the year	NIL	N.A.	NIL	N.A.
<b><u>KEY MANAGERIAL PERSONNEL:</u></b>					
1	At the beginning of the year	NIL	N.A.	NIL	N.A.
	Date wise Increase / Decrease in Shareholding during the year specifying the reasons for increase / decrease (e.g. allotment / transfer / bonus/ sweat equity etc):	NIL	N.A.	NIL	N.A.
	At the End of the year	NIL	N.A.	NIL	N.A.





**V. INDEBTEDNESS**

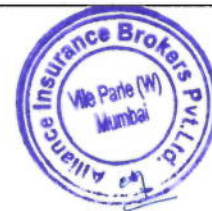
**Indebtedness of the Company including interest outstanding/accrued but not due for payment**

	<b>Secured Loans excluding deposits</b>	<b>Unsecured Loans</b>	<b>Deposits</b>	<b>Total Indebtedness</b>
<b>Indebtedness at the beginning of the financial year</b>				
i) Principal Amount	4,95,36,940	NIL	NIL	4,95,36,940
ii) Interest due but not paid	NIL	NIL	NIL	NIL
iii) Interest accrued but not due	10,224	NIL	NIL	10,224
<b>Total (i+ii+iii)</b>	<b>4,95,47,164</b>	<b>NIL</b>	<b>NIL</b>	<b>4,95,47,164</b>
<b>Change in Indebtedness during the financial year</b>				
• Addition	47,03,082	NIL	NIL	47,03,082
• Reduction	(4,46,43,301)	NIL	NIL	(4,46,43,301)
<b>Net Change</b>	<b>(3,99,40,219)</b>	<b>NIL</b>	<b>NIL</b>	<b>(3,99,40,219)</b>
<b>Indebtedness at the end of the financial year</b>				
i) Principal Amount	95,57,811	NIL	NIL	95,57,811
ii) Interest due but not paid	NIL	NIL	NIL	NIL
iii) Interest accrued but not due	49,134	NIL	NIL	49,134
<b>Total (i+ii+iii)</b>	<b>96,06,945</b>	<b>NIL</b>	<b>NIL</b>	<b>96,06,945</b>



**VI. REMUNERATION OF DIRECTORS AND KEY MANAGERIAL PERSONNEL**
**A. Remuneration to Managing Director, Whole-time Directors and/or Manager:**

Sl. No.	Particulars of Remuneration	Name of MD/WTD/Manager				
		Shashikant Thakkar (Executive Director)	Aatur Thakkar (Executive Director)	Salil Das (Executive Director)	B Gowri Jayaraman (Executive Director)	Pranav Shah (Executive Director)
1.	Gross salary					
	(a) Salary as per provisions contained in section 17(1) of the Income-tax Act, 1961	13335532	13265296	8013745	6526661	11959452
	(b) Value of perquisites u/s 17(2) of the Income-tax Act, 1961	1107528	1099584	800004	665232	722928
	(c) Profits in lieu of salary under Section 17(3) of the Income-tax Act, 1961	NIL	NIL	NIL	NIL	NIL
2.	Stock Option	NIL	NIL	NIL	NIL	NIL
3.	Sweat Equity	NIL	NIL	NIL	NIL	NIL
4.	. Commission - as % of profit - others, specify...	NIL	NIL	NIL	NIL	NIL
5.	Others, please specify: Employer contribution towards Provident Fund	332262	330961	240020	199575	216889
	<b>Total (A)</b>	<b>5,88,15,669/-</b>				
	Ceiling as per the Act	N.A.				



**B. Remuneration to other directors:**

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

**C. REMUNERATION TO KEY MANAGERIAL PERSONNEL OTHER THAN MD / MANAGER/WTD**

Sl. No.	Particulars of Remuneration	Key Managerial Personnel		
		CEO	Company Secretary	CFO
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	Not Applicable	Not Applicable	Not Applicable
2	Stock Option			



3	Sweat Equity			
4	Commission - as % of profit - others, specify...			
5	Others, please specify			
	Total			

**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)
<b>A. COMPANY</b>					
Penalty			NIL		
Punishment					
Compounding					
<b>B. DIRECTORS</b>					
Penalty			NIL		
Punishment					
Compounding					
<b>C. OTHER OFFICERS IN DEFAULT</b>					
Penalty			NIL		
Punishment					
Compounding					

For and on behalf of the Board  
**Alliance Insurance Brokers Private Limited**



*Shashikant Thakkar*

Shashikant Thakkar  
 (Chairman)  
 (DIN: 00895662)

Date : September 06, 2019  
 Place: Mumbai