

**HOLDING OF SPECIFIED SECURITIES ANNEXURE - 1**

**1. Name of Listing Entity : UPSURGE INVESTMENT AND FINANCE LIMITED**

**2. 531390/UPSURGE/EQUITY**

**3. Share Holding Pattern Filed under: Reg. 31(1)(b) SHAREHOLDING AS ON : 31/12/2021**

**4. Declaration : The Listed entity is required to submit the following declaration to the extent of submission of information :-**

	Particulars	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 or Warrants?		No
3	Whether the Listed Entity has any shares against which depository reseipts are issued?		No
4	Whether the Listed Entity has any shares in locked-in?		No
5	Whether any shares held by promoters are pledge or otherwise encumbered?		No

Table I - Summary Statement holding of specified securities

Category (I)	Category of shareholder (II)	Nos. of share holders (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)	No of voting Rights held in each class of securities (IX)				No of shares underlying convertible Securities (including warrants) (X)	Total Shareholding as a % assuming full Conversion of convertible securities(as a % of	Number of Locked in shares (XII)		Number of shares pledged or otherwise encumbered (XIII)		Number of equity shares held in dematerialized Form (XIV)
								No of voting Rights			Total as a % of (A+B+C)			No.(a)	As a % of Total shares held (b)	No.(a)	As a % of Total shares held (b)	
								Class X	Class Y	Total								
(A)	Promoter and Promoter Group	8	7554823	0	0	7554823	49.86	7554823	0	7554823	49.86	0	49.86	0	0.00	0	0.00	7554823
(B)	Public	3305	7597577	0	0	7597577	50.14	7597577	0	7597577	50.14	0	50.14	0	0.00	N/A	N/A	7223676
(C)	Non Promoter - Non Public																	
(C1)	Shares underlying DRs	0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	N/A	N/A	0
(C2)	Shares held by Employee Trusts	0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	N/A	N/A	0
	<b>Total</b>	<b>3313</b>	<b>15152400</b>	<b>0</b>	<b>0</b>	<b>15152400</b>	<b>100.00</b>	<b>15152400</b>	<b>0</b>	<b>15152400</b>	<b>100.00</b>	<b>0</b>	<b>100.00</b>	<b>0</b>	<b>0.00</b>	<b>0</b>	<b>0.00</b>	<b>14778499</b>

Table II - Statement showing Shareholding Pattern of the Promoter and Promoter Group

	Category & Name of the Shareholder (I)	PAN (II)	Nos. of share holders (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 % calculate as per SCRR 1957 As a % of (A+B+C2) (VIII)	No of voting Rights held in each class of securities (IX)			No of shares underlying outstanding convertible Securities (including warrants) (X)	Total Shareholding as a % assuming full Conversion of convertible securities(as a % of diluted share capital) (XI) =(VII)+(X) as a %	Number of Locked in shares (XII)		Number of shares pledged or otherwise encumbered (XIII)		Number of equity shares held in dematerialized Form (XIV)	
									No of voting Rights					Total as a % of Total voting rights	No.(a)	As a % of Total shares held (b)	No.(a)		As a % of Total shares held (b)
									Class X	Class Y	Total								
<b>1</b>	<b>Indian</b>																		
(a)	Individuals/HUFs		5	4855143	0	0	4855143	32.04	4855143	0	4855143	32.04	0	32.04	0	0.00	0	0.00	4855143
	BAL KISHAN GOYAL	ABIPG1339B		58100	0	0	58100	0.38	58100	0	58100	0.38	0	0.38	0	0.00	0	0.00	58100
	PRATIBHA DAYAKRISHNA GOYAL	AHAPG4289L		1587543	0	0	1587543	10.48	1587543	0	1587543	10.48	0	10.48	0	0.00	0	0.00	1587543
	NAVRATI GUPTA	AFIPG4775K		659500	0	0	659500	4.35	659500	0	659500	4.35	0	4.35	0	0.00	0	0.00	659500
	D K GOYAL (HUF)	AACHD0154N		1300000	0	0	1300000	8.58	1300000	0	1300000	8.58	0	8.58	0	0.00	0	0.00	1300000
	DAYA KRISHNA GOYAL	AACPG8766B		1250000	0	0	1250000	8.25	1250000	0	1250000	8.25	0	8.25	0	0.00	0	0.00	1250000
(b)	Central Govt./State Govt.		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	0	0.00	0
(c)	Financial Institutions/Banks		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	0	0.00	0
(d)	Any Other(specify)																		
(d-1)	Corporate Bodies		3	2699680	0	0	2699680	17.82	2699680	0	2699680	17.82	0	17.82	0	0.00	0	0.00	2699680
	YASH SECURITIES PVT. LTD.	AAACY3116E		400000	0	0	400000	2.64	400000	0	400000	2.64	0	2.64	0	0.00	0	0.00	400000
	GAGAN DEEP MULTITRADE PRIVATE LIMITED	AADCG3604J		2154680	0	0	2154680	14.22	2154680	0	2154680	14.22	0	14.22	0	0.00	0	0.00	2154680
	UPSURGE SHARES AND SECURITIES PRIVATE LI	AABCU2002J		145000	0	0	145000	0.96	145000	0	145000	0.96	0	0.96	0	0.00	0	0.00	145000
	<b>Sub Total (A)(1)</b>		<b>8</b>	<b>7554823</b>	<b>0</b>	<b>0</b>	<b>7554823</b>	<b>49.86</b>	<b>7554823</b>	<b>0</b>	<b>7554823</b>	<b>49.86</b>	<b>0</b>	<b>49.86</b>	<b>0</b>	<b>0.00</b>	<b>0</b>	<b>0.00</b>	<b>7554823</b>
<b>2</b>	<b>Foreign</b>																		
(a)	Individuals(NRI/Foreign Individuals)		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	0	0.00	0
(b)	Government		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	0	0.00	0
(c)	Institutions		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	0	0.00	0
(d)	Foreign Portfolio Investor		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	0	0.00	0
(e)	Any Other(specify)																		
	<b>Sub Total (A)(2)</b>		<b>0</b>	<b>0</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</b>	<b>0.00</b>	<b>0</b>	<b>0.00</b>	<b>0</b>	<b>0.00</b>	<b>0</b>
	<b>Total Shareholding of Promoter and Promoter Group (A)=(A)(1)+(A)(2)</b>		<b>8</b>	<b>7554823</b>	<b>0</b>	<b>0</b>	<b>7554823</b>	<b>49.86</b>	<b>7554823</b>	<b>0</b>	<b>7554823</b>	<b>49.86</b>	<b>0</b>	<b>49.86</b>	<b>0</b>	<b>0.00</b>	<b>0</b>	<b>0.00</b>	<b>7554823</b>

Table III - Statement showing Shareholding Pa

	Category & Name of the shareholder (I)	PAN (II)	Nos. of share holders (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 % calculate as per SCRR 1957 As a % of (A+B+C2) (VIII)
<b>1</b>	<b>Institutions</b>							
(a)	Mutual Funds		1	900	0	0	900	0.01
(b)	Venture Capital Funds		0	0	0	0	0	0.00
(c)	Alternate Investments Funds		0	0	0	0	0	0.00
(d)	Foreign Venture Capital Investors		0	0	0	0	0	0.00
(e)	Foreign Portfolio Investors		0	0	0	0	0	0.00
(f)	Financial Institutions/Banks		0	0	0	0	0	0.00
(g)	Insurance Companies		0	0	0	0	0	0.00
(h)	Provident Funds / Pension Funds		0	0	0	0	0	0.00
(i)	Any other (specify)							
	<b>Sub Total (B)(1)</b>		<b>1</b>	<b>900</b>	<b>0</b>	<b>0</b>	<b>900</b>	<b>0.01</b>
<b>2</b>	<b>Central Government/State Government(s)/ President of India</b>							
(a)	Central Govt./State Govt.		0	0	0	0	0	0.00
	<b>Sub Total (B)(2)</b>		<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0.00</b>
<b>3</b>	<b>Non-Institutions</b>							
(a)	Individual							
(ai)	Ind-Hold nominal shr capital upto Rs.2L		3139	1083284	0	0	1083284	7.15
(aii)	Ind-Hold nominal shr capital in excess of Rs.2L		24	2423375	0	0	2423375	15.99
	DHANNALAL P JAIN	AACPJ4772A		265000	0	0	265000	1.75
	VANDANA JAIN	AEIPJ0088H		153808	0	0	153808	1.02
	GAURAV BOLIA	BZEPB4023J		248757	0	0	248757	1.64
	SNEHA VIKASH AGRWAL	APYPA7569R		423366	0	0	423366	2.79
(b)	NBFCs Registered with RBI		0	0	0	0	0	0.00
(c)	Employees Trusts		0	0	0	0	0	0.00
(d)	Overseas Depositories (holding DRs) (balancing figure)		0	0	0	0	0	0.00
(e)	Any Other(specify)							
(e-1)	Non Resident Indians (Individuals)		18	23161	0	0	23161	0.15
(e-2)	Corporate Bodies		72	3482613	0	0	3482613	22.98
	FLORENCE SECURITIES PRIVATE LIMITED	AABCF5634R		188988	0	0	188988	1.25
	MARUTI NANDAN COLONIZERS PRIVATE LIMITED	AACCM6456B		179765	0	0	179765	1.19
	ADVANI PRIVATE LIMITED	AACCA1895Q		412436	0	0	412436	2.72
	AZURA PROJECTS PRIVATE LIMITED	AAGCA9030R		430000	0	0	430000	2.84
	ADVANI TRADING CO PVT LTD	AACCA5772E		321033	0	0	321033	2.12
	SYNCOM FORMULATION (INDIA) LTD	AAFCS6794R		274000	0	0	274000	1.81
	BLUE DIAMOND PLASTOWARE PRIVATE LIMITED	AAFBC9895C		193007	0	0	193007	1.27
	INTELLECT STOCK BROKING LIMITED	AADCR1862K		171298	0	0	171298	1.13
	PARAMONE CONCEPTS LIMITED	AAACP4764D		342333	0	0	342333	2.26
(e-3)	Clearing Member		9	2990	0	0	2990	0.02

(e-4)	Corporate Body - Broker		2	9790	0	0	9790	0.06
(e-5)	Hindu Undivided Family (Huf)		40	571464	0	0	571464	3.77
	Sub Total (B)(3)		3304	7596677	0	0	7596677	50.14
	Total Public Shareholding (B)=(B)(1)+(B)(2)+(B)(3)		3305	7597577	0	0	7597577	50.14

Pattern of the Public Shareholder

No of voting Rights held in each class of securities (IX)				No of shares underlying outstanding convertible Securities (including warrants) (X)	Total Shareholding as a % assuming full Conversion of convertible securities(as a % of diluted share capital) (XI) =(VII)+(X) as a %	Number of Locked in shares (XII)		Number of shares pledged or otherwise encumbered (XIII)		Number of equity shares held in dematerialized Form (XIV)
No of voting Rights			Total as a % of Total voting rights			No.(a)	As a % of Total shares held (b)	No.(a)	As a % of Total shares held (b)	
Class X	Class Y	Total								
900	0	900	0.01	0	0.01	0	0.00	0	0.00	0
0	0	0	0.00	0	0.00	0	0.00	0	0.00	0
0	0	0	0.00	0	0.00	0	0.00	0	0.00	0
0	0	0	0.00	0	0.00	0	0.00	0	0.00	0
0	0	0	0.00	0	0.00	0	0.00	0	0.00	0
0	0	0	0.00	0	0.00	0	0.00	0	0.00	0
0	0	0	0.00	0	0.00	0	0.00	0	0.00	0
0	0	0	0.00	0	0.00	0	0.00	0	0.00	0
0	0	0	0.00	0	0.00	0	0.00	0	0.00	0
900	0	900	0.01	0	0.01	0	0.00	0	0.00	0
0	0	0	0.00	0	0.00	0	0.00	0	0.00	0
0	0	0	0.00	0	0.00	0	0.00	0	0.00	0
1083284	0	1083284	7.15	0	7.15	0	0.00	0	0.00	773083
2423375	0	2423375	15.99	0	15.99	0	0.00	0	0.00	2423375
265000	0	265000	1.75	0	1.75	0	0.00	0	0.00	265000
153808	0	153808	1.02	0	1.02	0	0.00	0	0.00	153808
248757	0	248757	1.64	0	1.64	0	0.00	0	0.00	248757
423366	0	423366	2.79	0	2.79	0	0.00	0	0.00	423366
0	0	0	0.00	0	0.00	0	0.00	0	0.00	0
0	0	0	0.00	0	0.00	0	0.00	0	0.00	0
0	0	0	0.00	0	0.00	0	0.00	0	0.00	0
23161	0	23161	0.15	0	0.15	0	0.00	0	0.00	9661
3482613	0	3482613	22.98	0	22.98	0	0.00	0	0.00	3433313
188988	0	188988	1.25	0	1.25	0	0.00	0	0.00	188988
179765	0	179765	1.19	0	1.19	0	0.00	0	0.00	179765
412436	0	412436	2.72	0	2.72	0	0.00	0	0.00	412436
430000	0	430000	2.84	0	2.84	0	0.00	0	0.00	430000
321033	0	321033	2.12	0	2.12	0	0.00	0	0.00	321033
274000	0	274000	1.81	0	1.81	0	0.00	0	0.00	274000
193007	0	193007	1.27	0	1.27	0	0.00	0	0.00	193007
171298	0	171298	1.13	0	1.13	0	0.00	0	0.00	171298
342333	0	342333	2.26	0	2.26	0	0.00	0	0.00	342333
2990	0	2990	0.02	0	0.02	0	0.00	0	0.00	2990

9790	0	9790	0.06	0	0.06	0	0.00	0	0.00	9790
571464	0	571464	3.77	0	3.77	0	0.00	0	0.00	571464
7596677	0	7596677	50.14	0	50.14	0	0.00	0	0.00	7223676
7597577	0	7597577	50.14	0	50.14	0	0.00	0	0.00	7223676

Table IV - Statement showing Shareholding Pattern of the Non Promoter - Non Public shareholder

1	Category & Name of the shareholder (I)	PAN (II)	Nos. of share holders (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 % calculate as per SCRR 1957 As a % of (A+B+C2) (VIII)	No of voting Rights held in each class of securities (IX)			No of shares underlying outstanding convertible securities (including warrants) (X)	Total Shareholding as a % assuming full Conversion of convertible securities(as a % of diluted share capital) (XI) = (VII)/(X) as a %	Number of Locked in shares (XII)		Number of shares pledged or otherwise encumbered (XIII)		Number of equity shares held in dematerialized Form (XIV)	
									No of voting Rights					Total as a % of Total voting rights	No.(a)	As a % of Total shares held (b)	No.(a)		As a % of Total shares held (b)
									Class X	Class Y	Total								
(a)	Custodian/ DR Holder			0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	0	0	
	GDR/ADRs/ADSS			0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	0	0	
	Sub Total (C1)			0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	0	0	
	Employee Benefit Trust (under SEBI (Share Based Employee Benefit) Regulations, 2014)			0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	0	0	
	Sub Total (C2)			0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	0	0	
2	Total Non-Promoter-Non Public Shareholding (C = (C1)+(C2)			0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	0	0	