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: 31/12/2022

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

Cate	Category of shareholder (II)	Nos. of share	No. of fully	No. of Partly	No. of	Total Nos.	Shareholdin	No of voting	Rights	held in each	class of	No of shares	Total	Number of Lock	ed in shares	Number	of shares	Number of
ory ()	holders (III)	paid up	paid -up	shares	shares held	g as a % of		securi	ties (IX)		underlying	Shareholding	(XII)		pledged or	otherwise	equity
			equity	equity shares	underl	(VII =	total no.of					outstanding	as a %			encumbe	ered (XIII)	shares held
			shares held	held (V)	ying	IV+V+VI)	shares	No of	voting	Rights	Total	convertible	assuming full					in
			(IV)		Deposi		(Calculated	Class X	Class	Total	as a %	Securities	Conversion	No.(a)	As a % of	No.(a)	As a % of	dematerializ
					tory		as per SCRR,		Υ		of	(including	of		Total		Total	ed Form
					Receipt		1957) (VIII)				(A+B+C)	warrants) (X)	convertible		shares held		shares held	(XIV)
					s (VI)		As a % of						securities(as		(b)		(b)	
							(A+B+C2)						a % of					
(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	3616	7597577	0	0	7597577	50.14	7597577	0	7597577	50.14	0	50.14	0	0.00	N/A	N/A	7229576
(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
	Total	3624	15152400	0	0	15152400	100.00	15152400	0	15152400	100.00	0	100.00	0	0.00	0	0.00	14784399

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

		Entity type i.e. promoter OR promoter group			No. of fully paid up equity	No. of Partly paid- up equity shares	No. of shares underlying	Total Nos. shares held	Shareholdin g % calculate as per SCRR 1957 As a %	No of voting Rights held in each class of securities (IX) No of voting as a % of Class X Class Total voting rights Total voting rights		No of shares underlying outstanding convertible Securities	Total Shareholding as a % assuming full Conversion of convertible securities(sa a % No.(a) No.(a) No.(a) No.(a) Total capital) (XI)		Number of shares pledged or otherwise encumbered (XIII) No.(a) As a % of Total shares held		Number of equity shares held in demateriali			
	Category & Name of the Shareholder (I)	entity (except	DAN (III)	share	shares held	held (V)	Depository	(VII = IV+V+VI)	of (A+B+C2)					(including	=(VII)+(X) as a % of A+B+C2		(b)		(b)	zed Form (XIV)
1	Indian	promoter)	PAN (II)	holders (III)	(IV)	(V)	Receipts (VI)	10+0+01)	(VIII)					warrants) (X)	OT A+B+C2					(XIV)
	Individuals/HUFs			-	4855143	0	0	4855143	32.04	4855143	0	4855143	32.04	0	32.04	n	0.00	n	0.00	4855143
()	PRATIBHA DAYAKRISHNA GOYAL	Promoter	AHAPG4289L		1587543	0	0	1587543	10.48	1587543	0	1587543	10.48	0	10.48	0	0.00	0	0.00	
	DAYA KRISHNA GOYAL	Promoter	AACPG8766B	1	1250000	0	0	1250000	8.25	1250000	0	1250000	8.25	0	8.25	0	0.00	0	0.00	
	NAVRATI ANURAG GUPTA	Promoter	AFIPG4775K		659500	0		659500	4.35	659500	0	659500	4.35	Ü	4.35	0	0.00	0	0.00	
	D K GOYAL (HUF) .	Promoter	AACHD0154N		1300000	0	0	1300000	8,58	1300000	0	1300000	8.58	0	8.58	0	0.00	0	0.00	
	BAL KISHAN GOYAL	Promoter	ABIPG1339B		58100	0	0	58100	0.38	58100	0	58100	0.38	0	0.38	0	0.00	0	0.00	
(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.	Promoter	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																			
		Promoter	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																			
		Promoter	AABCU2002J		145000	0	0	145000	0.96	145000	0	145000	0.96	0	0.96	0	0.00	0	0.00	
	Sub Total (A)(1)			8	7554823	0	0	7554823	49.86	7554823	0	7554823	49.86	0	49.86	0	0.00	0	0.00	7554823
2	Foreign																			
1-7	Individuals(NRI/Foreign Individuals)			0	0	0	0	0	0.00	0	·	0	0.00	0	0.00	0	0.00	0	0.00	
` '	Government			0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	0	0.00	
(- /	Institutions			0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	0	0.00	
	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
	Any Other(specify)				•	_		•	0.00	•		_	0.00	_	0.00	•	0.00	•	0.00	
-	Sub Total (A)(2)			0	U	0	U	0	0.00	0	U	U	0.00	0	0.00	0	0.00	U	0.00	1 0
	Total Shareholding of Promoter and																			
	Promoter Group (A)=(A)(1)+(A)(2)			8	7554823	0	0	7554823	49.86	7554823	0	7554823	49.86	0	49.86	0	0.00	0	0.00	7554823

Table III - Statement showing Shareholding Pattern of the Public Shareholder

	Table III - Statement showing Shareholding Pattern of the Public Shareholder																					
					No. of Partly paid-			Shareholdin		secur	i held in each o	lass of	No of shares underlying	Total Shareholding as a % assuming full Conversion of		f Locked in		of shares otherwise ered (XIII)	Number of equity		(XV) ding (No. o	
	Category & Name of the		Nos. of share	No. of fully paid up equity shares held	up equity shares held	No. of shares underlying Depository	Total Nos. shares held (VII =	calculate as per SCRR 1957 As a % of (A+B+C2)	Class X	Class Y	Total	as a % of Total voting	outstanding convertible Securities (including	convertible securities(as a % of diluted share capital) (XI)	No.(a)	As a % of Total shares held (b)	No.(a)	As a % of Total shares held (b)	shares held in dematerialia ed Form	Sub- category	Sub- category	Sub- category
1	shareholder (I) Institutions (Domestic)	PAN (II)	holders (III)	(IV)	(V)	Receipts (VI)	IV+V+VI)	(VIII)				rights	warrants) (X)	=(VII)+(X) as a %					(XIV)	(i)	(ii)	(iii)
	Mutual Funds		1	900	0	C	900		900	0	900		0	0.01	0	0.00		NA	(0	0	0
	Venture Capital Funds Alternate Investment Funds		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	NA NA	NA NA		0	0	0
	Banks		0	0	0		0	0.00	0	0	0	0.00	0	0.00	0	0.00	NA NA	NA NA		0	0	0
(e)	Insurance Companies		0		0		0	0.00	0	0	0	0.00	0	0.00	0	0.00	NA	NA	(0	C
	Provident Funds / Pension Funds Asset Reconstruction Companies		0	0	0	_	0	0.00	0	0	0	0.00	0	0.00	0	0.00	NA NA	NA NA	(_	0	0
	Sovereign Wealth Funds		0	0	0	-	0	0.00	0	0	0	0.00	0	0.00	0	0.00	NA NA	NA NA			0	0
	NBFCs registered with RBI		0	0	0	C	0	0.00	0	0	0	0.00	0	0.00	0	0.00	NA	NA	(0	0
(j) (k)	Other Financial Institutions Any other (specify)		0	0	0	C	0	0.00	0	0	0	0.00	0	0.00	0	0.00	NA	NA	(0	0	0
(K)	Sub Total (B)(1)		1	900	0		900	0.01	900	0	900	0.01	0	0.01	0	0.00	NA	NA		0	0	0
2	Institutions (Foreign)																					
(a)	Foreign Direct Investment		0	0	0	C	0	0.00	0	0	0	0.00	0	0.00	0	0.00	NA	NA	(0	0	0
(b)	Foreign Venture Capital Investors		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	NA	NA	(0	0	0
(c)	Sovereign Wealth Funds		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	NA	NA	(0	0	0
(d)	Foreign Portfolio Investors Category		0					0.00	0	0		0.00		0.00		0.00	NA.	NA	,			
(u)	Foreign Portfolio Investors Category Foreign Portfolio Investors Category	1	U		-			0.00	U	0	, ·	0.00	U	0.00		0.00	NA	INA	<u> </u>	- 0	- 0	U
(e)	II	1	0	0	0	C	0	0.00	0	0	0	0.00	0	0.00	0	0.00	NA	NA		0	0	
(f)	Overseas Depositories (holding DRs)	1	_					0.00	_	^	_	0.00		0.00	_	0.00	NA.	NA.			_	
	(balancing figure) Any other (specify)	1	0	- 0	1 0		0	0.00	0	0	- 0	0.00	0	0.00	0	0.00	NA	ΝA	 '	0	0	- 0
	Sub Total (B)(2)		0	0	0	C	0	0.00	0	0	0	0.00	0	0.00	0	0.00	NA	NA	(0	0	0
3	Central Government/State Government(s)	1	1	1	1	l	1									1		1				1
,	Central Government / President of	<u> </u>																	1			
(a)	India		0	0	0	C	0	0.00	0	0	0	0.00	0	0.00	0	0.00	NA	NA	(0	0	0
(b)	State Government / Governor		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	NA	NA	(0	0	0
	Shareholding by Companies or																					1
	Bodies Corporate where Central /																					1
(c)	State Government is a promoter Sub Total (B)(3)		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	NA NA	NA NA	(0	0	0
4	Non-Institutions		U	U	- 0	· ·		0.00	U	- 0	0	0.00	U	0.00	U	0.00	NA NA	NA		U	- 0	-
-	NOT HISTIALIONS																					
(a)	Associate companies / Subsidiaries		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	NA	NA	(0	0	0
	Directors and their relatives (excluding independent directors																					1
(b)	and nominee directors)		0	0	0	C	0	0.00	0	0	0	0.00	0	0.00	0	0.00	NA	NA	(0	0	0
(c)	Key Managerial Personnel		0	0	0	C	0	0.00	0	0	0	0.00	0	0.00	0	0.00	NA	NA	(0	0	0
	Relatives of promoters (other than																					1
	immediate relatives of promoters																					1
	disclosed under Promoter and																					1
(d)	Promoter Group category)		0	0	0		0	0.00	0	0	0	0.00	0	0.00	0	0.00	NA	NA	- (0	0	0
	Trusts where any person belonging																					1
	to Promoter and Promoter Group																					1
(e)	category is trustee, beneficiary, or author of the trust.		0					0.00	0	0		0.00		0.00	0	0.00	NA.	NA.			0	
(0)	Investor Education and Protection				_			0.00	J			0.00		0.00		0.00	110	1023	,			
(f)	Fund (IEPF)		0	0	0	C	0	0.00	0	0	0	0.00	0	0.00	0	0.00	NA	NA	(0	0	0
	Resident Individuals holding nominal	1	1	1	1	l	1									1		1				1
(g)	share capital up to Rs. 2 lakhs	<u> </u>	3436	1164315	0		1164315	7.68	1164315	_ 0	1164315	7.68	0	7.68	0	0.00	NA	NA	860314	0	0	0
(h)	Resident Individuals holding nominal share capital in excess of Rs. 2 lakhs	1	23	1941815			1941815	12.82	1941815	n	1941815	12.82	0	12.82	0	0.00	NA.	NA	1941515		0	
	GAURAV BOLIA	BZEPB4023J	23	248757	0		248757	1.64	248757	0	248757	1.64	0	1.64	0	0.00	NA NA	NA NA	248757		0	
	SNEHA VIKASH AGRWAL	APYPA7569R		423366	0	C	423366	2.79	423366	0	423366	2.79	0	2.79	0	0.00	NA	NA	423366			
	Non Resident Indians (NRIs) Foreign Nationals	1	37	32293	0	0	32293	0.21	32293	0	32293	0.21	0	0.21	0	0.00	NA NA	NA NA	18793	0	0	0
(l) (k)	Foreign Companies	 	0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	NA NA	NA NA		0	0	0
	Bodies Corporate		72	3714115	0	C	3714115	24.51	3714115	0	3714115	24.51	0	24.51	0	0.00	NA	NA	3664815	0	0	0
	INTELLECT STOCK BROKING LIMITED	AADCR1862K	1	171298			171298	1.13	171298	0	171298	1.13		1.13		0.00	NA.	NA.	171298			1
	MARUTI NANDAN COLONIZERS	AND CRIOUZE		1/1290	"			1.13	1/1298	U		1.13	U			0.00	INA	IIA.		1		
	PRIVATE LIMITED	AACCM6456B		179765	0	C	179765	1.19	179765	0	179765	1.19	0	1.19	0	0.00	NA	NA	179765			L
	FLORENCE SECURITIES PRIVATE LIMITED	AABCF5634R	1	188988			188988	1.25	188988	^	188988	1.25		1.25	_	0.00	NA.	NA	188988			1
	BLUE DIAMOND PLASTOWARE	AADLF3034K		188988	1 0		188988	1.25	188888	0	188888	1.25	0	1.25	0	0.00	NA	ΝA	188988	1		
	PRIVATE LIMITED	AAFCB9895C		193007	0	0	193007	1.27	193007	0	193007	1.27	0	1.27	0	0.00	NA	NA	193007			
1	SYNCOM FORMULATION (INDIA) LTD	AAECS67040	1	274000	_	_	274000	1.81	274000	_	274000	1.81	_	1.81	_	0.00	NA.	NA	274000]		1
	ADVANI TRADING COMPANY	MATCS6/94K	-	2/4000	1 0	- 0	2/4000	1.81	2/4000	0	2/4000	1.81	0	1.81	0	U.00	NA.	NA	2/4000	-		
	PRIVATE LIMITED	AACCA5772E		321033	0		321033	2.12	321033	0	321033	2.12	0	2.12	0	0.00	NA	NA	321033			
	ADVANI PRIVATE LIMITED	AACCA1895Q		331436	0	0	331436	2.19	331436	0	331436	2.19	0	2.19	0	0.00	NA.	NA NA	331436			
	PARAMONE CONCEPTS LIMITED	AAACP4764D	-	342333	0	C	342333	2.26	342333	0	342333	2.26	0	2.26	0	0.00	NA	NA	342333	-		
L	AZURA PROJECTS PRIVATE LIMITED	AAGCA9030R	<u> </u>	430000	0	C	430000	2.84	430000	_ 0	430000	2.84	0	2.84	0	0.00	NA	NA	430000	L		<u>L</u>
	PRIDE FINANCIAL SERVICES PRIVATE			405					4004	_	400/	2.55	_									
(m)	LIMITED Any Other (specify)	AACCP6539L		433100	0		433100	2.86	433100	0	433100	2.86	0	2.86	0	0.00	NA	NA	433100	-		
(m-1)	Clearing Member		3	1027	0		1027	0.01	1027	0	1027	0.01	0	0.01	0	0.00	NA	NA	1027		0	0
(m-2)	Corporate Body - Broker		1	217	0	C	217	0.00	217	0	217	0.00	0	0.00	0	0.00	NA	NA	217	0	0	C
(m-3)	Hindu Undivided Family (Huf) Sub Total (B)(4)	1	43 3615	742895 7596677	0		742895 7596677	4.90 50.14	742895 7596677	0	742895 7596677	4.90 50.14	0	4.90 50.14	0	0.00	NA NA	NA NA	742895 7229576		0	0
-	Total Public Shareholding	†			-	· ·				- 0			U		U					1	0	U
\perp	(B)=(B)(1)+(B)(2)+(B)(3)+(B)(4)		3616				7597577	50.14	7597577	0	7597577	50.14	0	50.14	0	0.00	NA	NA	7229576	0	0	0
Detail	ls of the shareholders acting as per	sons in Concert incli	uding their Sh	nareholding (No	. and %):																_

Details of Shares which remain unclaimed may be given here along with details such as number of shareholders, outstanding shares held in demat/unclaimed suspense account, voting rights which are frozen etc.

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

					No. of Partly paid-			Shareholdin g % calculate as	No of voting Rights Total		No of shares underlying					Number of shares pledged or otherwise encumbered (XIII) No.(a) As a % of			
	Category & Name of the		Nos. of share	No. of fully paid up equity shares held	equity shares held	No. of shares underlying Depository	Total Nos. shares held (VII =	per SCRR 1957 As a % of (A+B+C2)	Class X	Class Y		of Total voting	outstanding convertible Securities (including	securities(as a % of diluted share capital) (XI)		Total shares held (b)	No.(a)	Total	shares held in dematerializ ed Form
	shareholder (I)	PAN (II)	holders (III)			Receipts (VI)		(VIII)						=(VII)+(X) as a %		(-)		(-)	(XIV)
1	Custodian/ DR Holder																		
(a)	GDRs/ADRs/ADSs		0	0	0	0		0.00	0	0	0	0.00	0	0.00	0	0.00	NA	NA	0
	Sub Total (C)(1)		0	0	0	0		0.00	0	0	0	0.00	0	0.00	0	0.00	NA	NA	0
	Employee Benefit Trust (under SEBI (Share Based Employee Benefit)																		
2	Regulations, 2014)		0	0	0	0		0.00	0	0	0	0.00	0	0.00	0	0.00	NA	NA	0
\perp	Sub Total (C)(2)		0	0	0	0	C	0.00	0	0	0	0.00	0	0.00	0	0.00	NA	NA	0
	Total Non-Promoter-Non Public Shareholding (C) = $(C)(1)+(C)(2)$		0	0	0	0	C	0.00	0	0	0	0.00	0	0.00	0	0.00	NA	NA	0
					l	l	1	l				1		1				l	1

Annexure B

Table VI - Statement showing foreign ownership limits

	Board approved limits	Limits utilized
As on shareholding date		
As on the end of previous 1st quarter		
As on the end of previous 2nd quarter		
As on the end of previous 3rd quarter		
As on the end of previous 4th quarter		