## 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: 30/09/2021

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

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	Total	Number of Locked in shares		Number of shares		Number of
ory (	)	holders (III)	paid up	paid -up	shares	shares held	g as a % of	securities (IX)				shares	Shareholding	(XII)		pledged or otherwise		equity
			equity	equity shares	underl	(VII =	total no.of					underlying	as a %			encumbered (XIII)		shares held
			shares held	held (V)	ying	IV+V+VI)	shares	No of	voting	Rights	Total	outstanding	assuming full	1				in
			(IV)		Deposi		(Calculated	Class X	Class X Class Total a		as a %	convertible	Conversion	No.(a)	As a % of	No.(a)	As a % of	demateriali
					tory		as per SCRR,		Υ		of	Securities	of		Total		Total	zed Form
					Receipt		1957) (VIII)				(A+B+C)	(including	convertible		shares held		shares held	(XIV)
					s (VI)		As a % of					warrants)	securities(as		(b)		(b)	
							(A+B+C2)					(X)	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	2914	7597577	C	0	7597577	50.14	7597577	0	7597577	50.14	0	50.14	0	0.00	N/A	N/A	7223476
(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	2922	15152400	0	0	15152400	100.00	15152400	0	15152400	100.00	0	100.00	0	0.00	0	0.00	14778299

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

					No. of			Shareholdin	No of voting	No of voting Rights held in each class of securities (IX)				Total Shareholding as No of shares a % assuming		f Locked in	Number of shares pledged or otherwise		Number of
					paid-			g %	No of	voting	Rights	Total	underlying	full Conversion	shares (XII)		encumbered (XIII)		equity
					up	No. of		calculate as		Class	Total	as a %	outstanding	of convertible	No.(a)	As a % of	No.(a)	As a % of	shares held
				No. of fully	equity	shares	Total Nos.	per SCRR		Υ		of	convertible	securities(as a %		Total	, ,	Total	in
			Nos. of	paid up equity	shares	underlying	shares held	1957 As a %				Total	Securities	of diluted share		shares held		shares held	dematerializ
	Category & Name of the		share	shares held	held	Depository	(VII =	of (A+B+C2)				voting	(including	capital) (XI)		(b)		(b)	ed Form
	Shareholder (I)	PAN (II)	holders (III)	(IV)	(V)	Receipts (VI)	IV+V+VI)	(VIII)				rights	warrants) (X)	=(VII)+(X) as a %		` '		, ,	(XIV)
1	Indian																		
(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
	PRATIBHA DAYAKRISHNA GOYAL	AHAPG4289L		1587543	0	0	1587543	10.48	1587543	0	1587543	10.48		10.48	0	0.00	0	0.00	1587543
	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
	NAVRATI GUPTA	AFIPG4775K		659500	0	0	659500	4.35	659500	0	659500	4.35	0	4.35	0	0.00	0	0.00	659500
	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
	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	
(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
	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
	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
	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																		
(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		0.00	0	0.00	
(c)	Institutions		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	0	0.00	, (
(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)																		
	Sub Total (A)(2)		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	0	0.00	0
	Total Shareholding of Promoter and		1				I					l						ĺ	
	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

No. of the control															Total					
Part			No. of No. of No of voting Rights held in each class of					lass of		Shareholding as										
California No. No. of the State   St						Partly			Shareholdin		securi	ties (IX)		No of shares	a % assuming full	ng full Number of Locked in		ed in pledged or otherwise		Number of
Concept Name of the shareholder (i)						paid-			g %	No of	voting	Rights	Total	underlying	Conversion of	shares (XII)		encumbered (XIII)		equity
Category & Rosen of the Shareholder   Rose						up	No. of		calculate as	Class X	Class	Total	as a %	outstanding	convertible	No.(a)	As a % of	No.(a)	As a % of	shares held
Category & Rame of the   DAX (pg)   DAX (p					No. of fully	equity	shares	Total Nos.	per SCRR		Υ				securities(as a %					in
Category & Name of the   PAME (I)   Name of the   Name o				Nos. of																dematerializ
September   PAN (B)   Noders (B)   SY)   Noders (B)   Noders (B)   SY)   Noders (B)   Noders (B)   SY)   Noders (B)   No		Category & Name of the		share		held		(VII =	of (A+B+C2)				voting	(including	capital) (XI)		(b)		(b)	ed Form
Description			PAN (II)	holders (III)	(IV)	(V)		IV+V+VI)						warrants) (X)					,	(XIV)
0   Neuman Company   0   0   0   0   0   0   0   0   0	1		. ,				,	,												
Description   Company   Description   Desc	(a)	Mutual Funds		1	900	0	0	900	0.01	900	0	900	0.01		0.01	0	0.00	0	0.00	0
Commentation   Comment		Venture Capital Funds		0	0	0	0	0	0.00	0	0	0	0.00		0.00	0	0.00	0	0.00	0
General Company (National Processing Company)   General Company (National Company)   Ge				0	0	0	0	0	0.00	0	0	0	0.00		0.00	0	0.00	0	0.00	. 0
	(-)				-		-	-	0.00				0.00	_		-				1
	(d)	Foreign Venture Capital Investors		0	0	0	0	0	0.00	0	0	0	0.00		0.00	0	0.00	0	0.00	. 0
						0	0	0		0	0					0		0		
Companies   Comp							-	0		0	0					0				
(iii) Provident Funds / Prevision Funds   0   0   0   0   0   0   0   0   0								-		0	0									
10   Any other (specify)								0		0	0					0				
Solid Total (B)(1)	(1)			, ·	·	† °	_ °		5.00		U		0.00	l ,	0.00	_ °	5.00		3.00	
Central Government/State   Central Government/State   Central Government/State   Central Government/State of Cen	1.7				900			900	0.01	900		900	0.01		0.01		0.00	^	0.00	_
2   Government(s) Precident of India	_	Sub Total (B)(1)		-	900	U	U	900	0.01	900	- 0	900	0.01		0.01		0.00		0.00	U
2   Government(s) Precident of India		Control Government /State	1		l	1	1						l	1		l			1	1
So. Total Gov./, State Gov.   0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0																				
Section   Sect	2								0.00				0.00		0.00		0.00		0.00	
Non-institutions	(a)			U	U	0	U	0		U	U	U		·		U		U		
	_			U	U	0	U	U	0.00	U	U	U	0.00	·	0.00	U	0.00	U	0.00	. 0
Second Continual State Capital In   Second Continual In   Second Continual State Capital In   Second Continual State Capital In   Second Continual State Capital In   Second Continual	3																			
[48] RS-2L	(a)																			
Secretary Color																				
[siii] excess of R.2.1	(ai)			2785	1191214	0	0	1191214	7.86	1191214	0	1191214	7.86	C	7.86	0	0.00	0	0.00	880813
DIANNALAIP JABN   ACP14772A   255000   0   255000   1.75   50500   1.75   0   0.00   0   0.00   0.00   255000																				
VANDAMA JANN   APPO088H   154408   0   0   145408   1.02   154408   1.02   0   1.02   0   0.00   0   0.00   0   0.00   154408   0   154408   0   154408   1.02   0   1.02   0   0.00   0   0.00   0   0.00   0	(aii)			33		0	0				0					0		0		
GABRAY BOLIA   SZEPBA023    248757  0   0   248757  1.64   0   1.64   0   0.00   0   0.00   248757						0					0					0				
SYEMA VIKASH AGRWAL   APYA7569R						0					0									
						0					0									
Complement Trusts			APYPA7569R							423366	0									
Contract Provided P						Ü		0		0	0					0				
(d) (balancing figure) 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	(c)			0	0	0	0	0	0.00	0	0	0	0.00	C	0.00	0	0.00	0	0.00	0
(e-1) Non Resident Indians (Individuals)   18   24177   0   0   24177   0   16   24177   0   0   24177   0   0   0   0   0   0   0   0   0																				
(e-1) Non Resident Indians (Individuals)  18 24177 0 0 24177 0.16 24177 0 24177 0.16 0 0.16 0 0.00 0 0.00 10677 (e-2) Corporate Bodies  (e-2) Corporate Bodies  PRAMANDE CONCEPTS LIMITED  AACCH6456B  179765 0 0 139073 2.26 342333 2.26 0 2.26 0 0.00 0.00 0.00 3131423 (2.6 0.2 0.2 0.2 0.2 0.2 0.0 0.00 0.00 0.				0	0	0	0	0	0.00	0	0	0	0.00	C	0.00	0	0.00	0	0.00	0
[62] Corporate Bodies 6 3180723 0 0 3180723 20.99 3180723 0 3180723 20.99 0 20.99 0 0.00 0 0.00 3131423 [25 0 0 226 0 0.00 0 0.00 3131423 [25 0 0 226 0 0.00 0 0.00 3131423 [25 0 0 226 0 0.00 0 0.00 3131423 [25 0 0 226 0 0.00 0 0 0.00 3131423 [25 0 0 226 0 0.00 0 0 0.00 3131423 [25 0 0 226 0 0.00 0 0 0.00 3131423 [25 0 0 226 0 0.00 0 0 0.00 3131423 [25 0 0 226 0 0.00 0 0 0.00 3131423 [25 0 0 226 0 0.00 0 0 0.00 3131423 [25 0 0 226 0 0.00 0 0 0.00 3131423 [25 0 0 226 0 0.00 0 0 0.00 3131423 [25 0 0 226 0 0.00 0 0 0.00 3131423 [25 0 0 226 0 0.00 0 0 0.00 3131423 [25 0 0 226 0 0.00 0 0 0.00 3131423 [25 0 0 226 0 0.00 0 0 0.00 3131423 [25 0 0 226 0 0.00 0 0 0.00 3131423 [25 0 0 226 0 0.00 0 0 0.00 3131423 [25 0 0 226 0 0.00 0 0 0.00 3131423 [25 0 0 227 0 0.00 0 0 0.00 3131423 [25 0 0 227 0 0.00 0 0 0.00 3131423 [25 0 0 227 0 0.00 0 0 0.00 3131423 [25 0 0 0.00 0 0 0.00 3131423 [25 0 0 0.00 0 0 0.00 3131423 [25 0 0 0.00 0 0 0.00 3131423 [25 0 0 0.00 0 0.00 0 0.00 3131423 [25 0 0 0.00 0 0 0.00 3131423 [25 0 0 0.00 0 0.00 0 0.00 3131423 [25 0 0 0.00 0 0 0.00 0 0.00 3131423 [25 0 0.00 0 0 0.00 0 0.00 3131423 [25 0 0 0.00 0 0 0.00 0 0.00 3131423 [25 0 0 0.00 0 0 0.00 0 0.00 3131423 [25 0 0 0.00 0 0 0.00 0 0.00 3131423 [25 0 0 0.00 0 0 0.00 0 0.00 3131423 [25 0 0 0.00 0 0.00 0 0.00 3131423 [25 0 0 0.00 0 0 0.00 0 0.00 3131423 [25 0 0.00 0 0 0.00 0 0.	(e)	Any Other(specify)																		
[62] Corporate Bodies 6 3180723 0 0 3180723 20.99 3180723 0.998 0 20.99 0 0.00 0 0.00 3131423   PARAMONE CONCEPTS LIMITED AAACHA7640 342333 0 0 342333 2.26 342333 2.26 0 2.26 0 0.00 0 0.00 3131423   MARUTI NANDAN COLONIZES																				
PARAMONE CONCEPTS LIMITED   AAACAPA74AD   342333   0   0   342333   2.26   342333   0   342333   2.26   0   0   0   0   0   0   0   0   342333											0					0				
MARUTI NANDAN CLOUNZERS   MARUTI NANDAN CL	(e-2)			66		0					0									
PRIVATE LIMITED   AACCAR64568   179765   0   179765   1.19   179765   0   179765   1.19   0   1.19   0   0.00   0   0.00   1.99765   1.19   0   1.19   0   0.00   0   0.00   0.00   1.99765   1.19   0   1.19   0   0.00   0   0.00   0.00   0.00   1.99765   0.199765   1.19   0   1.19   0   0.10   0.00			AAACP4764D		342333	0	0	342333	2.26	342333	0	342333	2.26	C	2.26	0	0.00	0	0.00	342333
ADVANI PYT LTD ACCA1895Q 412436 0 0 412436 2.72 10 0.00 0 0.00 412436 2.72 0 0.00 0 0.00 0 0.00 412436 AZUAR PROJECTS PRIVATE LIMITED ACCASONOR 430000 0 0 430000 2.84 430000 0 2.84 0.00 0 0.00 0.00 430000 2.84 0.00 0 0.00 0.00 0.00 0.00 0.00 0.00			1		1	1	l		1					1		l			1	
AZURA PROJECTS PRIVATE LIMITED AAGCA930R 430000 0 0 430000 2.84 430000 0 430000 2.84 0 0.00 0 0.00 430000 2.84 0 0.00 0 0.00 430000 2.84 0 0.00 0 0.00 430000 2.84 0 0.00 0 0.00 430000 2.84 0 0.00 0 0.00 430000 2.84 0 0.00 0 0.00 430000 0 0.00 0.00 321033 2.12 0 0.00 0 0.00 0.00 321033 2.12 0 0.00 0 0.00 0 0.00 321033 2.12 0 0.00 0 0.00 0 0.00 0.00 321033 2.12 0 0.00 0 0.00 0.00 0.00 0.00 0.00						0	0				0					0				
ADVANI FRADING CO PVT LTD ACCAS772E 321038 0 0 321033 2.12 321033 0 321033 2.12 0 0.00 0 0.00 321033 2.12 321033 0 321033 2.12 0 0.00 0 0.00 321033 2.12 0 0.00 0 0.00 321033 2.12 0 0.00 0 0.00 321033 2.12 0 0.00 0 0.00 0 0.00 321033 2.12 0 0.00 0	-	ADVANI PVT LTD	AACCA1895Q		412436	0	0	412436	2.72	412436	0	412436	2.72		2.72	0	0.00	0	0.00	412436
ADVANI FRADING CO PVT LTD ACCAS772E 321038 0 0 321033 2.12 321033 0 321033 2.12 0 0.00 0 0.00 321033 2.12 321033 0 321033 2.12 0 0.00 0 0.00 321033 2.12 0 0.00 0 0.00 321033 2.12 0 0.00 0 0.00 321033 2.12 0 0.00 0 0.00 0 0.00 321033 2.12 0 0.00 0			1		l	1	1						l	1		l			1	1
SYNCOM FORMULATION (NOIA) LTD   AAFCS6794R						0	0				0					0		0		
INTELECT STOCK BROKING LIMITED   AADCR1882K		ADVANI TRADING CO PVT LTD	AACCA5772E		321033	0	0	321033	2.12	321033	0	321033	2.12	C	2.12	0	0.00	0	0.00	321033
INTELECT STOCK BROKING LIMITED   AADCR1882K					l		l							l		l				
ROBINCE SECURITIES PRIVATE   188988   0 0 188988   1.25   188988   1.25   0 0.00   0.00   188988   1.25   0 0.00   0.00   188988   1.25   0 0.00   0.00   1.25   0 0.00   0.00   1.25   0 0.00   0.00   1.25   0 0.00   0		SYNCOM FORMULATION (INDIA) LTD	AAFCS6794R		274000	0	0	274000	1.81	274000	0	274000	1.81	C	1.81	0	0.00	0	0.00	274000
FLORENCE SECURITES PRIVATE   188988   0   0   188988   1.25   188988   1.25   0   1.25   0   0.00   0   0.00   188988   1.25   0   0.00   0   0.00   189988   0.25   0   0.00																				
UMITED   AABCF5634R   188988   0   188988   1.25   189988   0   188988   1.25   0   1.25   0   0.00   0   0.00   188988   1.25   0   0.04   0   0.04   0   0.04   0   0.04   0   0.05   0   0.05   0			AADCR1862K		171298	0	0	171298	1.13	171298	0	171298	1.13	C	1.13	0	0.00	0	0.00	171298
[6-3] Gearing Member 10 6301 0 0 6301 0.04 6301 0.04 0 0.04 0 0.00 0 0.05 6301 0.04 0 0.04 0 0.00 0 0.05 6301 0.05 6301 0.05 6301 0.05 6301 0.05 6301 0.05 0.05 0.05 0.05 0.05 0.05 0.05 0.			1		I		l –						_	1	1		1 7		l	
[e-4] Corporate Body-Broker 1 9600 0 9600 0.06 9600 0.9600 0.06 0 0.06 0 0.06 0 0.00 0 0.00 9600 0.00 9600 0.06 0 0.06 0 0.00 0 0.00 0 0.00 9600 0.00 1500 Total (0)(3) 2913 7596677 0 0 7596677 50.14 7596677 0 7596677 50.14 0 50.14 0 0.00 0 0.00 7223476 17014		LIMITED	AABCF5634R				0	188988		188988	0					0		0		
Sub Total (B)(3)   2913   7596677   0 0 7596677   50.14   7596677   50.14   0   50.14   0   0.00   0   0.00   7223476   Total Public Shareholding		Clearing Member		10		0	0				0					0		0		
Total Public Shareholding	(e-4)					0	0				0					0		0		
		Sub Total (B)(3)		2913	7596677	0	0	7596677	50.14	7596677	0	7596677	50.14		50.14	0	0.00	0	0.00	7223476
[8]=(B)(1)+(B)(2)+(B)(3)																				
		(B)=(B)(1)+(B)(2)+(B)(3)	1	2914	7597577	0	0	7597577	50.14	7597577	0	7597577	50.14		50.14	0	0.00	0	0.00	7223476

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

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