

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

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	2914	7597577	0	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

	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								
1	Indian																		
(a)	Individuals/HUFs		5	4855143	0	0	4855143	32.04	4855143	0	4855143	32.04	0	0.00	0	0.00	0	0.00	4855143
	PRATIBHA DAYAKRISHNA GOYAL	AHAPG4289L		1587543	0	0	1587543	10.48	1587543	0	1587543	10.48	0	0.00	0	0.00	0	0.00	1587543
	D K GOYAL (HUF)	AACHD0154N		1300000	0	0	1300000	8.58	1300000	0	1300000	8.58	0	0.00	0	0.00	0	0.00	1300000
	NAVRATI GUPTA	AFIPG4775K		659500	0	0	659500	4.35	659500	0	659500	4.35	0	0.00	0	0.00	0	0.00	659500
	BAL KISHAN GOYAL	ABIPG1339B		58100	0	0	58100	0.38	58100	0	58100	0.38	0	0.00	0	0.00	0	0.00	58100
	DAYA KRISHNA GOYAL	AACPG8766B		1250000	0	0	1250000	8.25	1250000	0	1250000	8.25	0	0.00	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	0.00	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	0.00	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	0.00	0	0.00	0	0.00	145000
	YASH SECURITIES PVT. LTD.	AAACY3116E		400000	0	0	400000	2.64	400000	0	400000	2.64	0	0.00	0	0.00	0	0.00	400000
	Sub Total (A)(1)		8	7554823	0	0	7554823	49.86	7554823	0	7554823	49.86	0	0.00	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	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)																		
	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 Promoter Group (A)=(A)(1)+(A)(2)		8	7554823	0	0	7554823	49.86	7554823	0	7554823	49.86	0	0.00	0	0.00	0	0.00	7554823

Table III - Statement showing Shareholding Pattern of the Public Shareholder

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) of (VIII)	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 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									
1 Institutions																			
(a) Mutual Funds		1	900	0	0	900	0.01	900	0	900	0.01	0	0.01	0	0.00	0	0.00	0	0.00
(b) Venture Capital Funds		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	0	0.00	0	0.00
(c) Alternate Investments Funds		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	0	0.00	0	0.00
(d) Foreign Venture Capital Investors		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	0	0.00	0	0.00
(e) Foreign Portfolio Investors		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	0	0.00	0	0.00
(f) 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	0.00
(g) Insurance Companies		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	0	0.00	0	0.00
(h) Provident Funds / Pension Funds		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	0	0.00	0	0.00
(i) Any other (specify)																			
Sub Total (B)(1)		1	900	0	0	900	0.01	900	0	900	0.01	0	0.01	0	0.00	0	0.00	0	0.00
2 Central Government/State Government(s)/ President of India																			
(a) 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	0.00
Sub Total (B)(2)		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	0	0.00	0	0.00
3 Non-Institutions																			
(a) Individual																			
(ai) Ind-Hold nominal shr capital upto Rs.2L		2785	1191214	0	0	1191214	7.86	1191214	0	1191214	7.86	0	7.86	0	0.00	0	0.00	0	880813
(aii) Ind-Hold nominal shr capital in excess of Rs. 2L		33	3184662	0	0	3184662	21.02	3184662	0	3184662	21.02	0	21.02	0	0.00	0	0.00	0	3184662
(aiii) DHANNALAL P JAIN	AACP4772A		265000	0	0	265000	1.75	265000	0	265000	1.75	0	1.75	0	0.00	0	0.00	0	265000
(aiii) VANDANA JAIN	AEPJD088H		154408	0	0	154408	1.02	154408	0	154408	1.02	0	1.02	0	0.00	0	0.00	0	154408
(aiii) GAURAV BODIA	RZPB4023J		248757	0	0	248757	1.64	248757	0	248757	1.64	0	1.64	0	0.00	0	0.00	0	248757
(aiii) SNEHA VIKASH AGRWAL	APYP47569R		423366	0	0	423366	2.79	423366	0	423366	2.79	0	2.79	0	0.00	0	0.00	0	423366
(b) NBFCs Registered with RBI		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	0	0.00	0	0.00
(c) Employees Trusts		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	0	0.00	0	0.00
(d) Overseas Depositories (holding DRs) (balancing figure)		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	0	0.00	0	0.00
(e) Any Other(specify)																			
(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	0	10677
(e-2) Corporate Bodies		66	3180723	0	0	3180723	20.99	3180723	0	3180723	20.99	0	20.99	0	0.00	0	0.00	0	3131423
(e-2i) PARAMONDE CONCEPTS LIMITED	AAACP4764D		342333	0	0	342333	2.26	342333	0	342333	2.26	0	2.26	0	0.00	0	0.00	0	342333
(e-2ii) MARUTI NANDAN COLONIZERS PRIVATE LIMITED	AACCM64568		179765	0	0	179765	1.19	179765	0	179765	1.19	0	1.19	0	0.00	0	0.00	0	179765
(e-2iii) ADVANI PVT LTD	AACCA1895Q		412436	0	0	412436	2.72	412436	0	412436	2.72	0	2.72	0	0.00	0	0.00	0	412436
(e-2iv) AZURA PROJECTS PRIVATE LIMITED	AAGCA9030R		430000	0	0	430000	2.84	430000	0	430000	2.84	0	2.84	0	0.00	0	0.00	0	430000
(e-2v) ADVANI TRADING CO PVT LTD	AACCA5772E		321033	0	0	321033	2.12	321033	0	321033	2.12	0	2.12	0	0.00	0	0.00	0	321033
(e-2vi) SYNCOM FORMULATION (INDIA) LTD	AAFCS6794R		274000	0	0	274000	1.81	274000	0	274000	1.81	0	1.81	0	0.00	0	0.00	0	274000
(e-2vii) INTELLECT STOCK BROKING LIMITED	AADCR1862K		171298	0	0	171298	1.13	171298	0	171298	1.13	0	1.13	0	0.00	0	0.00	0	171298
(e-2viii) FLORENCE SECURITIES PRIVATE LIMITED	AABCF5634R		188988	0	0	188988	1.25	188988	0	188988	1.25	0	1.25	0	0.00	0	0.00	0	188988
(e-3) Clearing Member		10	6301	0	0	6301	0.04	6301	0	6301	0.04	0	0.04	0	0.00	0	0.00	0	6301
(e-4) Corporate Body - Broker		1	9600	0	0	9600	0.06	9600	0	9600	0.06	0	0.06	0	0.00	0	0.00	0	9600
Sub Total (B)(3)		2913	7596677	0	0	7596677	50.14	7596677	0	7596677	50.14	0	50.14	0	0.00	0	0.00	0	7223476
Total Public Shareholding (B)=(B)(1)+(B)(2)+(B)(3)		2914	7597577	0	0	7597577	50.14	7597577	0	7597577	50.14	0	50.14	0	0.00	0	0.00	0	7223476

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	
	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	
	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	