

**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 : 30/09/2022**

**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

Shareholding pattern as on 30th September, 2022

Category (I)	Category of shareholder (II)	Nos. of share holders (III)	No. of fully paid up equity shares held (IV)	Shareholding as a % of total no. of shares (Calculated as per SCRR, 1957) (VIII) As a % of (A+B+C2)	Number of equity shares held in dematerialized Form (XIV)
(A)	Promoter and Promoter Group	8	7554823	49.86	7554823
(B)	Public	3679	7597577	50.14	7228076
(C)	Non Promoter - Non Public				
(C1)	Shares underlying DRs	0	0	0.00	0
(C2)	Shares held by Employee Trusts	0	0	0.00	0
	<b>Total</b>	<b>3687</b>	<b>15152400</b>	<b>100.00</b>	<b>14782899</b>



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

	Category & Name of the Shareholder (I)	Entity type i.e. promoter OR promoter group entity (except promoter)	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 % of A+B+C2	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 Class X	Class Y	Total	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)	
<b>1</b>	<b>Indian</b>																			
(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
	BAL KISHAN GOYAL	Promoter	ABIPG1339B		58100	0	0	58100	0.38	58100	0	58100	0.38	0	0.00	0	0.00	0	0.00	58100
	D K GOYAL (HUF)	Promoter	AACHD0154N		1300000	0	0	1300000	8.58	1300000	0	1300000	8.58	0	0.00	0	0.00	0	0.00	1300000
	NAVRATI ANURAG GUPTA	Promoter	AFIPG4775K		659500	0	0	659500	4.35	659500	0	659500	4.35	0	0.00	0	0.00	0	0.00	659500
	DAYA KRISHNA GOYAL	Promoter	AACPG8766B		1250000	0	0	1250000	8.25	1250000	0	1250000	8.25	0	0.00	0	0.00	0	0.00	1250000
	PRATIBHA DAYAKRISHNA GOYAL	Promoter	AHAPG4289L		1587543	0	0	1587543	10.48	1587543	0	1587543	10.48	0	0.00	0	0.00	0	0.00	1587543
(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
	UPSURGE SHARES AND SECURITIES PRIVATE LI	Promoter	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.	Promoter	AAACY3116E		400000	0	0	400000	2.64	400000	0	400000	2.64	0	0.00	0	0.00	0	0.00	400000
	GAGAN DEEP MULTITRADE PRIVATE LIMITED	Promoter	AADCG3604J		2154680	0	0	2154680	14.22	2154680	0	2154680	14.22	0	0.00	0	0.00	0	0.00	2154680
	<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>0.00</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>0.00</b>	<b>0</b>	<b>0.00</b>	<b>0</b>	<b>0.00</b>	<b>7554823</b>



Table IV - Statement showing Shareholding Pattern of the Non Promoter - Non 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) (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) = (VIII)+(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	Custodian/ DR Holder																		
(a)	GDRs/ADRs/ADS		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	NA	NA	0
	Sub Total (C1)1		0	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) Regulations, 2014)		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	NA	NA	0
	Sub Total (C)2		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	NA	NA	0
	Total Non-Promoter-Non Public Shareholding (C) = (C1)+(C)2		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	NA	NA	0

**Annexure B**

**Table VI - Statement showing foreign ownership limits**

	<b>Board approved limits</b>	<b>Limits utilized</b>
As on shareholding date	0	0
As on the end of previous 1st quarter	0	0
As on the end of previous 2nd quarter	0	0
As on the end of previous 3rd quarter	0	0
As on the end of previous 4th quarter	0	0