## 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

Categ ory (I)	Category of shareholder (II)	Nos. of share holders (III)	No. of fully paid up equity shares held (IV)	shares	Number of equity shares held in dematerializ ed 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
	Total	3687	15152400	100.00	14782899

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 Partly paid- up equity shares held (V)	No. of shares underlying Depository Receipts (VI)	Total Nos. shares held (VII = IV+V+VI)	Shareholdin g % calculate as per SCRR 1957 As a % of (A+B+C2) (VIII)	No of voting voting Rights Class X		held in each ties (IX) Total	Total as a % of Total voting rights	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 o share No.(a)	f Locked in is (XII) As a % of Total shares held (b)		of shares otherwise ered (XIII) As a % of Total shares held (b)	Number of equity shares held in demateriali zed Form (XIV)
1	Indian												ļ							<b></b>
(a)	Individuals/HUFs			5	4855143	0	0	4855143		4855143	0	4855143		0	32.04	0	0.00	0	0.00	
<u> </u>	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	
	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	
	NAVRATI ANURAG GUPTA	Promoter	AFIPG4775K		659500	0	0	659500	4.35	659500	0	659500	4.35	0	4.35	0	0.00	0	0.00	
	DAYA KRISHNA GOYAL	Promoter	AACPG8766B		1250000	0	0	1250000	8.25	1250000	0	1250000	8.25	0	8.25	0	0.00	0	0.00	
	PRATIBHA DAYAKRISHNA GOYAL	Promoter	AHAPG4289L		1587543	0	0	1587543		1587543	0	1587543	10.48	0	10.48	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	
(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
	Any Other(specify)																			<u> </u>
(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
	UPSURGE SHARES AND SECURITIES																			1
	PRIVATE LI	Promoter	AABCU2002J		145000	0	0	145000	0.96	145000	0	145000		0	0.96	0	0.00	0	0.00	
	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																			1
	LIMITED	Promoter	AADCG3604J		2154680	0	0	2154680		2154680	0	2154680	14.22	0	14.22	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						ļ						ļ							ļ
(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	0	0	0.00	0	0.00	0	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	
(e)	Any Other(specify)				_								1					<u> </u>		
(-)	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	49.86	0	0.00	0	0.00	7554823

## Table III - Statement showing Shareholding Pattern of the Public Shareholder

									ittern of the P													
					No. of Partly paid-			Shareholding	No of voting Rights held in each class of securities (IX)  reholding No of voting Rights Total as underlying Conversi		Total Shareholding as a % assuming full Conversion of	Number of	f Locked in	pledged o	of shares r otherwise ered (XIII)	Number of equity		gorization ( (XV) ding (No. o under				
			Nos. of	No. of fully	up equity shares	No. of shares underlying	Total Nos.	% calculate as per SCRR 1957 As a %	Class X	Class	Total	a % of Total voting	outstanding convertible Securities	convertible securities(as a % of diluted share	No.(a)	As a % of Total shares held (b)	No.(a)	As a % of Total shares held (b)	shares held in dematerializ	Sub-	Sub-	Sub-
	Category & Name of the shareholder (I)	PAN (II)	share holders (III)	paid up equity	held	Depository	(VII = IV+V+VI)	of (A+B+C2) (VIII)				rights	(including	capital) (XI) =(VII)+(X) as a %		,			ed Form (XIV)	category(	category(	category( iii)
1	Institutions (Domestic)	PAR (II)	noiders (III)			Receipts (VI)							warrants) (X)						(AIV)	-,	-",	,
(a)	Mutual Funds		1	900	0	0	900	0.01	900	0	900	0.01	0	0.01	0	0.00		NA	0		0	0
(b) (c)	Venture Capital Funds Alternate Investment Funds				0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	NA NA	NA NA	0		0	0
(d) (e)	Banks Insurance Companies				0		0	0.00	0	0	0	0.00	0	0.00	0	0.00	NA NA	NA NA	0		0	0
(f)	Provident Funds / Pension Funds			) (	0	-	0	0.00	0	0	0	0.00	0	0.00	0	0.00	NA NA	NA NA	0		0	0
(g)	Asset Reconstruction Companies				0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	NA NA	NA NA	0		-	0
(h) (i)	Sovereign Wealth Funds NBFCs registered with RBI			) (	0 0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00		NA NA	0	0 0	0	0
(i)	Other Financial Institutions				0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	NA	NA	0		0	0
(k)	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	NA	NA	0		0	0
2	Institutions (Foreign)							0.00				0.00		0.00		0.00	NA.	NA.				
(a)	Foreign Direct Investment			, .		0	U	0.00	U	U	0	0.00	U	0.00	U	0.00	NA.	NA	U		U	- 0
(b)	Foreign Venture Capital Investors				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	0.00	0	0	0	0.00	0	0.00	0	0.00	NA	NA	0		0	- 0
(d)	Foreign Portfolio Investors Category I		C		0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	NA	NA	0	О С	0	0
(e)	Foreign Portfolio Investors Category II				0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	NA	NA	0		0	. 0
40	Overseas Depositories (holding DRs) (balancing figure)							0.00				0.00	_	0.00		0.00	NA	NA				
(t) (g)	(balancing figure) Any other (specify)		-		-	0	0		0	0	0		0		0				0	-	0	0
	Sub Total (B)(2)		C	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	NA	NA	0	0	0	0
3	Central Government/State Government(s)																					
	Central Government / President of					_	_						_		_							
(a) (b)	India State Government / Governor			, ,	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	NA NA	NA NA	0	0	0	0
	Shareholding by Companies or Bodies Corporate where Central / State																					
(c)	Government is a promoter			0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	NA	NA	0		0	0
4	Sub Total (B)(3) Non-Institutions				0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	NA	NA			0	0
(a)	Associate companies / Subsidiaries Directors and their relatives		C	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	NA	NA	0	0	0	0
	(excluding independent directors and																					
(b) (c)	nominee directors) Key Managerial Personnel			) (	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	NA NA	NA NA	0		0	0
							-						-		-	3.33	1					
	Relatives of promoters (other than immediate relatives of promoters																					
	disclosed under Promoter and																					
(d)	Promoter Group category)			0	0	0	0	0.00	0	0	- 0	0.00	0	0.00		0.00	NA	NA	0	, c	0	0
	Trusts where any person belonging to																					
	Promoter and Promoter Group category is trustee, beneficiary, or																					
(e)	author of the trust.		C		0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	NA	NA	0	О С	0	0
(f)	Investor Education and Protection Fund (IEPF)						0	0.00	0	0		0.00	0	0.00	0	0.00	NA	NA	0			
1																						
(g)	Resident Individuals holding nominal share capital up to Rs. 2 lakhs		3507	1164741	0		1164741	7.69	1164741	0	1164741	7.69	0	7.69	0	0.00	NA	NA	859240		0	0
107			333										-	1.77	-	3.33	1					_
(h)	Resident Individuals holding nominal share capital in excess of Rs. 2 lakhs		22	1888071	n		1888071	12.46	1888071	n	1888071	12.46	n	12.46	n	0.00	NA.	NA.	1887771		n	n
	GAURAV BOLIA	BZEPB4023J		248757		0	248757	1.64	248757	0	248757	1.64	0	1.64	0	0.00	NA	NA	248757		ت	Ŭ
(i)	SNEHA VIKASH AGRWAL Non Resident Indians (NRIs)	APYPA7569R	31	423366		0	423366 30286	2.79 0.20	423366 30286	0	423366 30286	2.79 0.20	0	2.79 0.20	0	0.00		NA NA	423366 16786	-	0	- 0
(j)	Foreign Nationals			) (	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	NA	NA	0	C	0	0
(k) (l)	Foreign Companies Bodies Corporate		73	3758207	0	0	3758207	0.00 24.80	0 3758207	0	0 3758207	0.00 24.80	0	0.00 24.80	0	0.00	NA NA	NA NA	3708907		0	0
**			/-		T ,	ľ							ľ									
-	INTELLECT STOCK BROKING LIMITED MARUTI NANDAN COLONIZERS	AADCR1862K		171298	0	0	171298	1.13	171298	0	171298	1.13	0	1.13	0	0.00	NA	NA	171298			
	PRIVATE LIMITED	AACCM6456B		179765	0	0	179765	1.19	179765	0	179765	1.19	0	1.19	0	0.00	NA	NA	179765			
	FLORENCE SECURITIES PRIVATE LIMITED	AABCF5634R		188988		,	188988	1.25	188988	0	188988	1.25	n	1.25	0	0.00	NA.	NA	188988			
	BLUE DIAMOND PLASTOWARE				L	ľ							ľ									
-	PRIVATE LIMITED	AAFCB9895C		193007	0	0	193007	1.27	193007	0	193007	1.27	0	1.27	0	0.00	NA	NA	193007			
	SYNCOM FORMULATION (INDIA) LTD	AAFCS6794R		274000	0	0	274000	1.81	274000	0	274000	1.81	0	1.81	0	0.00	NA	NA	274000			
	ADVANI TRADING COMPANY PRIVATE LIMITED	AACCA5772E		321033			321033	2.12	321033	0	321033	2.12	n	2.12	n	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	331436			
-	PARAMONE CONCEPTS LIMITED	AAACP4764D	<del>                                     </del>	342333	0	- 0	342333	2.26	342333	0	342333	2.26	0	2.26	0	0.00	NA	NA	342333	-	$\vdash$	<del></del>
	AZURA PROJECTS PRIVATE LIMITED	AAGCA9030R		430000	0	0	430000	2.84	430000	0	430000	2.84	0	2.84	0	0.00	NA	NA	430000			
	PRIDE FINANCIAL SERVICES PRIVATE LIMITED	AACCP6539L		433100			433100	2.86	433100	n	433100	2.86	n	2.86	n	0.00	NA.	NA	433100	,		
	Any Other (specify)									,												
	Clearing Member Corporate Body - Broker		2	1 217		0	12 217	0.00	12 217	0	12 217	0.00	0	0.00	0	0.00	NA NA	NA NA	12 217		0	0
(m-3)	Hindu Undivided Family (Huf)		43	755143	0	0	755143	4.98	755143	0	755143	4.98	0	4.98	0	0.00	NA.	NA	755143		0	0
	Sub Total (B)(4) Total Public Shareholding		3678	7596677	0	0	7596677	50.14	7596677	0	7596677	50.14	0	50.14	0	0.00	NA	NA	7228076	C	0	0
	(B)=(B)(1)+(B)(2)+(B)(3)+(B)(4)		3679	7597577	0	0	7597577	50.14	7597577	0	7597577	50.14	0	50.14	0	0.00	NA	NA	7228076	c	0	0
Detail	s of the shareholders acting as person	ons in Concert includ	ding their Sha	areholding (No.	and %):																	

Details of the shareholders acting as persons in Concert including their Shareholding (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

														Total					
					No. of				No of voting	Rights	held in each o	class of		Shareholding as			Number	of shares	
					Partly			Shareholdin		secur	ities (IX)		No of shares	a % assuming	Number o	f Locked in	pledged or	otherwise	Number of
					paid-			g %	No of	voting	Rights	Total	underlying	full Conversion	share	es (XII)	encumbe	ered (XIII)	equity
					up	No. of		calculate as	Class X	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		underlying	shares held	1957 As a %				Total	Securities	of diluted share		shares held		shares held	demateriali
	Category & Name of the		share	shares held	held	Depository	(VII =	of (A+B+C2)				voting	(including	capital) (XI)		(b)		(b)	zed Form
	shareholder (I)	PAN (II)	holders (III)	(IV)	(V)	Receipts (VI)	IV+V+VI)	(VIII)				rights	warrants) (X)	=(VII)+(X) as a %					(XIV)
1	Custodian/ DR Holder																		
(a)	GDRs/ADRs/ADSs		0	0	0	0	C	0.00	0	0	0	0.00	0	0.00		0.00	NA	NA	0
	Sub Total (C)(1)		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	C	0.00	NA	NA	0
	Employee Benefit Trust (under SEBI																		
	(Share Based Employee Benefit)																		
2	Regulations, 2014)		0	0	0	0	C	0.00	0	0	0	0.00	0	0.00	C	0.00	NA	NA	0
	Sub Total (C)(2)		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	C	0.00	NA	NA	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		0.00	NA	NA	0
	<u> </u>																		

## Annexure B

Table VI - Statement showing foreign ownership limits

	Board approved limits	Limits utilized
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