

FORM NO. MGT 9
EXTRACT OF ANNUAL RETURN

As on financial year ended on 31.03.2021

Pursuant to Section 92 (3) of the Companies Act, 2013 and Rule 12(1) of the Company (Management & Administration)
Rules, 2014

I. Registration & other Details:

1.	CIN	U65999MH2020PTC337638
2.	Registration Date	February 13, 2020
3.	Name of the Company	Mirae Asset Financial Services (India) Private Limited
4.	Category/Sub-category of the Company	Company Limited by Shares / Indian Non-Government Company
5.	Address of the Registered office & contact details	Unit No. 606, 6 th Floor, Windsor Bldg, Off. CST Road, Kalina, Santacruz (East), Mumbai - 400098 Maharashtra, India Tel: +91 22 6780 0300
6.	Whether listed company	No
7.	Name, Address & contact details of the Registrar & Transfer Agent, if any.	Not Applicable

II. Principal Business Activities of The Company

All the business activities contributing 10% or more of the total turnover of the company shall be stated:

Sr. No.	Name and Description of main products / services	NIC Code of the Product /service	% to total turnover of the company
1	Nil	--	--

III. Particulars of Holding, Subsidiary and Associate Companies

Sr. No.	Name and Address of the Company	CIN	Holding / Subsidiary / Associate	% of shareholding	Applicable Section
	Mirae Asset Global Investments (India) Private Limited 606, Windsor Off. CST Road Vidyanagari Marg, Kalina, Santacruz (East), Mumbai - 400098	U65993MH2006FTC165663	Holding	51%	2(46)

(Intentionally left blank)

a) Bodies Corp.									
i) Indian	-	-	-	-	-	-	-	-	-
ii) Overseas	-	-	-	-	-	-	-	-	-
b) Individuals									
i) Individual shareholders holding nominal share capital up to Rs. 1 lakh	-	-	-	-	-	-	-	-	-
ii) Individual shareholders holding nominal share capital in excess of Rs. 1 lakh	-	-	-	-	-	-	-	-	-
c) Non-Resident Indians	-	-	-	-	-	-	-	-	-
d) Overseas Corporate Bodies	-	-	-	-	-	12,25,000	12,25,000	49%	49%
e) Foreign Nationals	-	-	-	-	-	-	-	-	-
f) Clearing Members	-	-	-	-	-	-	-	-	-
g) Trusts	-	-	-	-	-	-	-	-	-
h) Others (specify)	-	-	-	-	-	-	-	-	-
Sub-total(B)(2)	-	-	-	-	-	12,25,000	12,25,000	49%	49%
Total Public Shareholding (B) = (B)(1)+(B)(2)	-	-	-	-	-	12,25,000	12,25,000	49%	49%
C. Shares held by Custodian for GDRs & ADRs	-	-	-	-	-	-	-	-	-
Grand Total (A+B+C)	-	10,000	10,000	100%	-	25,00,000	25,00,000	100%	49%

(Intentionally left blank)

ii) Shareholding of Promoter-

Sr. No.	Shareholder's Name	Shareholding at the beginning of the year (February 13, 2020)			Shareholding at the end of the year (March 31, 2021)			% change in shareholding during the year
		No. of Shares	% of total Shares of the Company	% of Shares Pledged / encumbered to total Shares	No. of Shares	% of total Shares of the Company	% of Shares Pledged / encumbered to total Shares	
1	Mirae Asset Global Investments (India) Private Limited (Including 1 nominee share held by Mr. Swarup Mohanty)	10,000	100%	-	12,75,000	51%	-	49%
2	Mirae Asset Capital Co. Ltd, Korea	-	-	-	10,00,000	40%	-	40%
3	Mirae Asset Consulting Co Ltd., Korea	-	-	-	2,25,000	9%	-	9
	Total	10,000	100%	-	25,00,000	100%	-	49%

iii) Change in Promoters' Shareholding (please specify, if there is no change):

Sr. No.	Particulars	Shareholding at the beginning of the year (February 13, 2020)		Cumulative Shareholding during the year (March 31, 2021)	
		No. of shares	% of total shares of the company	No. of shares	% of total shares of the company
1	At the beginning of the year	10,000	100%	12,75,000	51%
2	Date wise Increase / Decrease in Promoters Shareholding during the year specifying the reasons for increase / decrease (e.g. allotment / transfer / bonus / sweat equity etc)	Allotment on May 27, 2020 12,65,000	--	--	--
3	At the End of the year	12,75,000	51%	12,75,000	51%

iv) Shareholding Pattern of top Ten Shareholders (Other than Directors, Promoters and Holders of GDRs and ADRs):

Sr. No.	Particulars	Shareholding at the beginning of the year		Cumulative Shareholding during the year	
		No. of shares	% of total shares of the company	No. of shares	% of total shares of the company
A	Mirae Asset Capital Co. Ltd, Korea				
A1	At the beginning of the year	-	-	-	-
A2	Date wise Increase / Decrease in Shareholding during the year specifying the reasons for increase / decrease (e.g. allotment / transfer / bonus / sweat equity etc)	Allotment on May 27, 2020 10,00,000	40%	10,00,000	40%
A3	At the End of the year (or on the date of separation, if separated during the year)	10,00,000	40%	10,00,000	40%
B	Mirae Asset Consulting Co Ltd., Korea				
B1	At the beginning of the year	-	-	-	-
B2	Date wise Increase / Decrease in Shareholding during the year specifying the reasons for	Allotment on May 27, 2020			

	increase / decrease (e.g. allotment / transfer / bonus / sweat equity etc)	2,25,000	9%	2,25,000	9%
B3	At the End of the year (or on the date of separation, if separated during the year)	2,25,000	9%	2,25,000	9%

v) Shareholding of Directors and Key Managerial Personnel:

Sr. No.	Particulars	Shareholding at the beginning of the year		Cumulative Shareholding during the year	
		No. of shares	% of total shares of the company	No. of shares	% of total shares of the company
A	Mr. Mr. Swarup Anand Mohanty (being nominee shareholder of Mirae Asset Global Investments (India) Private Limited)	1	0.00	1	0.00
1	At the beginning of the year	1	0.00	1	0.00
2	Date wise Increase / Decrease in Shareholding during the year specifying the reasons for increase / decrease (e.g. allotment / transfer / bonus / sweat equity etc)	--	--	--	--
3	At the End of the year	1	0.00	1	0.00

V) Indebtedness

Indebtedness of the Company including interest outstanding/accrued but not due for payment

	Secured Loans excluding deposits	Unsecured Loans	Deposits	Total Indebtedness
Indebtedness at the beginning of the financial year				
i) Principal Amount	--	--	--	--
ii) Interest due but not paid	--	--	--	--
iii) Interest accrued but not due	--	--	--	--
Total (i+ii+iii)	--	--	--	--
Change in Indebtedness during the financial year				
* Addition	--	--	--	--
* Reduction	--	--	--	--
Net Change	--	--	--	--
Indebtedness at the end of the financial year				
i) Principal Amount	--	--	--	--
ii) Interest due but not paid	--	--	--	--
iii) Interest accrued but not due	--	--	--	--
Total (i+ii+iii)	--	--	--	--

VI) Remuneration of Directors and Key Managerial Personnel:

A. Remuneration to Managing Director, Whole-time Directors and/or Manager:

Sr. No.	Particulars of Remuneration	Name of MD/WTD/ Manager			Total Amount (Rs)
1	Gross salary	--	--	--	--
	(a) Salary as per provisions contained in Section 17(1) of the Income-tax Act, 1961	--	--	--	--
	(b) Value of perquisites u/s 17(2) Income-tax Act, 1961	--	--	--	--

	(c) Profits in lieu of salary under Section 17(3) Income- tax Act, 1961	--	--	--	--
2	Stock Option	--	--	--	--
3	Sweat Equity	--	--	--	--
4	Commission - as % of profit - others, specify...	--	--	--	--
5	Others, please specify	--	--	--	--
	Total (A)	--	--	--	--
	Ceiling as per the Act	The given Salary is within the permissible limit of Table A of Section II of Schedule V of the Companies Act, 2013 according to effective Capital of the Company.			

B. Remuneration to other Directors (Independent Director and other non-executive Director):

Sr. No.	Particulars of Remuneration	Mr. Sanjeev Lall	Total Amount (Rs)
1	Independent Directors		
	a) Fee for attending board committee meetings	80,000	80,000
	b) Commission		
	c) Others, please specify		
	Total (1)	80,000	80,000
2	Non-Executive Directors	-	-
	a) Fee for attending board committee meetings	-	
	b) Commission		
	c) Others, please specify		
	Total (2)	-	-
3	Executive Directors	-	-
	a) Salary	-	
	Total (3)	-	-
	Total Managerial Remuneration B = (1+2+3)	80,000	80,000
	Ceiling as per the Act	The given Salary is within the permissible limit of Table A of Section II of Schedule V of the Companies Act, 2013 according to effective Capital of the Company.	

C. Remuneration to Key Managerial Personnel other than MD/Manager/WTD:

Sr. No.	Particulars of Remuneration	Key Managerial Personnel			Total Amount (Rs)
		CEO	CS	CFO	
1	Gross salary	-	--	--	--
	(a) Salary as per provisions contained in Section 17(1) of the Income-tax Act, 1961	-	--	--	--
	(b) Value of perquisites u/s 17(2) Income-tax Act, 1961	-	--	--	--
	(c) Profits in lieu of salary under Section 17(3) Income- tax Act, 1961	-	--	--	--
2	Stock Option	-	--	--	--
3	Sweat Equity	-	--	--	--
4	Commission - as % of profit - others, specify...	-	--	--	--
5	Others, please specify	-	--	--	--
	Total	-	--	--	--

VII) Penalties / Punishment / Compounding of Offences:

Type	Section of the companies Act	Brief description	Details of Penalty / Punishment / Compounding fees imposed	Authority [RD / NCLT / COURT]	Appeal made. If any (give details)
A. Company					
i. Penalty	--	--	--	--	--
ii. Punishment	--	--	--	--	--
iii. Compounding	--	--	--	--	--
B. Directors					
i. Penalty	--	--	--	--	--
ii. Punishment	--	--	--	--	--
iii. Compounding	--	--	--	--	--
C. Other Officers in Default					
i. Penalty	--	--	--	--	--
ii. Punishment	--	--	--	--	--
iii. Compounding	--	--	--	--	--

For and on behalf of the Board of Directors
Mirae Asset Financial Services (India) Private Limited



Sanjeev
Sanjeev Lall
 Director
 DIN: 08740906

Swarup Mohanty
Swarup Mohanty
 Director
 DIN: 07435705

Date: July 12, 2021
 Place: Mumbai