



72

SMIFS CAPITAL MARKETS LIMITED

January 5, 2021

The Secretary
The Calcutta Stock Exchange Limited
7, Lyons Range
Kolkata - 700 001

Sub: Regulation 31 of the SEBI (Listing Obligations & Disclosure Requirements) Regulations, 2015

Dear Sir,

We are forwarding the Statement showing Shareholding as per Regulation 31 of the (Listing Obligations & Disclosure Requirements) Regulations, 2015 as on December 31, 2020 for your kind reference and record.

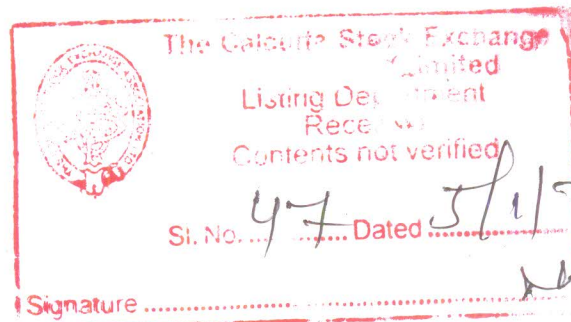
Kindly acknowledge.

Yours faithfully,
For SMIFS Capital Markets Limited

(Poonam Bhatia)
Company Secretary-cum-Senior Manager Legal



Encl: a/a



XBRL Excel Utility	
1.	Overview
2.	Before you begin
3.	Index
4.	Import XBRL file
5.	Steps for filing Shareholding Pattern
6.	Fill up the Shareholding Pattern

1. Overview

The excel utility can be used for creating the XBRL/XML file for e-filing of shareholding pattern.

Shareholding pattern XBRL filling consists of two processes. Firstly generation of XBRL/XML file of the Shareholding pattern, and upload of generated XBRL/XML file to BSE Listing Center.

2. Before you begin

1. The version of Microsoft Excel in your system should be Microsoft Office Excel 2007 and above.
2. The system should have a file compression software to unzip excel utility file.
3. Make sure that you have downloaded the latest Excel Utility from BSE Website to your local system.
4. Make sure that you have downloaded the Chrome Browser to view report generated from Excel utility
5. Please enable the Macros (if disabled) as per instructions given in manual, so that all the functionalities of Excel Utility works fine. Please first go through Enable Macro - Manual attached with zip file.

3. Index

1	Details of general information about company	General Info
2	Declaration	Declaration
3	Summary	Summary
4	Shareholding Pattern	Shareholding Pattern

For SMIFS CAPITAL MARKETS LIMITED

Poonam

(POONAM BHATIA)
COMPANY SECRETARY
CUM-SENIOR MANAGER LEGAL

4. Import XBRL file

1. Now you can import and view previously generated XBRL files by clicking Import XBRL button on General information sheet.

5. Steps for Filing Shareholding Pattern

I. Fill up the data: Navigate to each field of every section in the sheet to provide applicable data in correct format. (Formats will get reflected while filling data.)

- Use paste special command to paste data from other sheet.

II. Validating Sheets: Click on the "Validate " button to ensure that the sheet has been properly filled and also data has been furnished in proper format. If there are some errors on the sheet, excel utility will prompt you about the same.

III. Validate All Sheets: Click on the "Home" button. And then click on "Validate All Sheet" button to ensure that all sheets has been properly filled and validated successfully. If there are some errors on the sheet, excel utility will prompt you about the same and stop validation at the same time. After correction, once again follow the same procedure to validate all sheets.

Excel Utility will not allow you to generate XBRL/XML until you rectify all errors.

IV. Generate XML : Excel Utility will not allow you to generate XBRL/XML unless successful validation of all sheet is completed. Now click on 'Generate XML' to generate XBRL/XML file.

- Save the XBRL/XML file in your desired folder in local system.

V. Generate Report : Excel Utility will allow you to generate Report. Now click on 'Generate Report' to generate html report.

- Save the HTML Report file in your desired folder in local system.
- To view HTML Report open "Chrome Web Browser" .
- To print report in PDF Format, Click on print button and save as PDF.

VI. Upload XML file to BSE Listing Center: For uploading the XBRL/XML file generated through Utility, login to BSE Listing Center and upload generated xml file. On Upload screen provide the required information and browse to select XML file and submit the XML.

6. Fill up the Shareholding Pattern

For SMIFS CAPITAL MARKETS LIMITED

P. Bhatia

(POONAM BHATIA)
COMPANY SECRETARY
CUM-SENIOR MANAGER LEGAL

1. Cells with red fonts indicate mandatory fields.
2. If mandatory field is left empty, then Utility will not allow you to proceed further for generating XML.
3. You are not allowed to enter data in the Grey Cells.
4. If fields are not applicable to your company then leave it blank. Do not insert Zero unless it is a mandatory field.
5. Data provided must be in correct format, otherwise Utility will not allow you to proceed further for generating XML.
6. Adding new rows: Sections such as Promoters details allow you to enter as much data in a tabular form. You can Click on "Add" to add more rows.
7. Deleting rows: Rows that has been added can be removed by clicking the button "Delete". A popup will ask you to provide the range of rows you want to delete.
8. Select data from "Dropdown list" wherever applicable.
9. Adding Notes: Click on "Add Notes" button to add notes

For SMIFS CAPITAL MARKETS LIMITED

Poonam Bhatia
(POONAM BHATIA)
COMPANY SECRETARY
CUM-SENIOR MANAGER LEGAL

[Home](#)[Validate](#)[Import XML](#)

General information about company

Scrip code	508905
NSE Symbol	
MSEI Symbol	
ISIN	INE641A01013
Name of the company	SMIFS CAPITAL MARKETS LIMITED
Whether company is SME	No
Class of Security	Equity Shares
Type of report	Quarterly
Quarter Ended / Half year ended/Date of Report (For Prelisting / Allotment)	31-12-2020
Date of allotment / extinguishment (in case Capital Restructuring selected) / Listing Date	
Shareholding pattern filed under	Regulation 31 (1) (b)
Whether the listed entity is Public Sector Undertaking (PSU)?	No

For SMIFS CAPITAL MARKETS LIMITED

Poonam

(POONAM BHATIA)
COMPANY SECRETARY
CUM-SENIOR MANAGER LEGAL

[Home](#)
[Validate](#)

Sr. No.	Particular	Yes/No	Promoter and Promoter Group	Public shareholder	Non Promoter- Non Public
1	Whether the Listed Entity has issued any partly paid up shares?	No	No	No	No
2	Whether the Listed Entity has issued any Convertible Securities ?	No	No	No	No
3	Whether the Listed Entity has issued any Warrants ?	No	No	No	No
4	Whether the Listed Entity has any shares against which depository receipts are issued?	No	No	No	No
5	Whether the Listed Entity has any shares in locked-in?	No	No	No	No
6	Whether any shares held by promoters are pledge or otherwise encumbered?	No	No		
7	Whether company has equity shares with differential voting rights?	No	No	No	No
8	Whether the listed entity has any significant beneficial owner?	No			

For SMIFS CAPITAL MARKETS LIMITED

Poonam

(POONAM BHATIA)
COMPANY SECRETARY
CUM-SENIOR MANAGER LEGAL

Table I - Summary Statement holding of specified securities

Note : Data will be automatically populated from shareholding pattern sheet - Data Entry Restricted in this sheet

Category (I)	Category of shareholder (II)	Nos. Of shareholders (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)	Number of Voting Rightsheld in each class of securities (IX)			
								No of Voting (XIV) Rights			Total as a % of (A+B+C)
								Class eg: X	Class eg: Y	Total	
(A)	Promoter & Promoter Group	10	2534051			2534051	45.37	2,534,051.00		2534051.00	45.37
(B)	Public	1205	3050949			3050949	54.63	3050949.00		3050949.00	54.63
(C)	Non Promoter- Non Public										
(C1)	Shares underlying DRs										
(C2)	Shares held by Employee Trusts										
	Total	1215	5585000			5585000	100	5585000.00		5585000.00	100.00

For SMIFS CAPITAL MARKETS LIMITED

PBhatia

(POONAM BHATIA)
COMPANY SECRETARY
CUM-SENIOR MANAGER LEGAL

No. Of Shares Underlying Outstanding convertible securities (X)	No. of Shares Underlying Outstanding Warrants (Xi)	No. Of Shares Underlying Outstanding convertible securities and No. Of Warrants (Xi) (a)	Shareholding , as a % assuming full conversion of convertible securities (as a percentage 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. (a)	As a % of total Shares held (b)	No. (a)	As a % of total Shares held (b)	
			45.37					2534051
			54.63					3002809
			100					5536860

For SMIFS CAPITAL MARKETS LIMITED

Poonam
(POONAM BHATIA)
COMPANY SECRETARY
CUM-SENIOR MANAGER LEGAL

Home

Validate

Sr.	Category & Name of the Shareholders (I)	Nos. Of shareholders (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)	Number of Voting Rights held in each class of securities(IX)			Total as a % of Total Voting rights	No. Of Shares Underlying Outstanding convertible securities (X)
								No of Voting (XIV) Rights				
								Class eg: X	Class eg: Y	Total		
A Table II - Statement showing shareholding pattern of the Promoter and Promoter Group												
(1)	Indian											
(a)	Individuals/Hindu undivided Family	7	784350			784350	14.04	784350.00		784350	14.04	
(b)	Central Government/ State Government(s)											
(c)	Financial Institutions/ Banks											
(d)	Any Other (specify)	3	1749701			1749701	31.33	1749701.00		1749701	31.33	
	Sub-Total (A)(1)	10	2534051			2534051	45.37	2534051.00		2534051	45.37	
(2)	Foreign											
(a)	Individuals (NonResident Individuals/ Foreign Individuals)											
(b)	Government											
(c)	Institutions											
(d)	Foreign Portfolio Investor											
(e)	Any Other (specify)											
	Sub-Total (A)(2)											
	Total Shareholding of Promoter and Promoter Group (A)=(A)(1)+(A)(2)	10	2534051			2534051	45.37	2534051.00		2534051	45.37	
	Details of Shares which remain unclaimed for Promoter & Promoter Group											
B Table III - Statement showing shareholding pattern of the Public shareholder												
Note : Kindly show details of shareholders having more than one percentage of total no of shares. Please refer software manual.												
(1)	Institutions											
(a)	Mutual Funds											
(b)	Venture Capital Funds											
(c)	Alternate Investment Funds											
(d)	Foreign Venture Capital Investors											
(e)	Foreign Portfolio Investors	1	550000			550000	9.85	550000		550000	9.85	
(f)	Financial Institutions/ Banks											
(g)	Insurance Companies											
(h)	Provident Funds/ Pension Funds											
(i)	Any Other (specify)											
	Sub-Total (B)(1)	1	550000			550000	9.85	550000.00		550000	9.85	
(2)	Central Government/ State Government(s)/ President of India											
	Sub-Total (B)(2)											
(3)	Non-Institutions											
(a(i))	Individuals - i. Individual shareholders holding nominal share capital up to Rs. 2 lakhs.	1141	566352			566352	10.14	566352		566352	10.14	
(a(ii))	Individuals - ii. Individual shareholders holding nominal share capital in excess of Rs. 2 lakhs.	9	973559			973559	17.43	973559		973559	17.43	
(b)	NBFCs registered with RBI											
(c)	Employee Trusts											

For SMIFS CAPITAL MARKETS LTD

Poonam Bhatia
(POONAM BHATIA)
COMPANY SECRETARY
CUM-SENIOR MANAGER - LEGAL

(d)	Overseas Depositories (holding DRs) (balancing figure)											
(e)	Any Other (specify)	54	961038			961038	17.21	961038		961038	17.21	
	Sub-Total (B)(3)	1204	2500949			2500949	44.78	2500949.00		2500949	44.78	
	Total Public Shareholding (B)=(B)(1)+(B)(2)+(B)(3)	1205	3050949			3050949	54.63	3050949.00		3050949	54.63	
Details of the shareholders acting as persons in Concert for Public												
Details of Shares which remain unclaimed for Public												
C	Table IV - Statement showing shareholding pattern of the Non Promoter- Non Public shareholder											
(1)	Custodian/DR Holder - Name of DR Holders (If Available)											
(2)	Employee Benefit Trust (under SEBI (Share based Employee Benefit) Regulations, 2014)											
	Total NonPromoter- Non Public Shareholding (C)= (C)(1)+(C)(2)											
	Total (A+B+C)	1215	5585000			5585000	100.00	5585000.00		5585000	100.00	
	Total (A+B+C)	1215	5585000			5585000	100.00	5585000.00		5585000	100.00	
Disclosure of notes on shareholding pattern								Add Notes				
Disclosure of notes in case of promoter holding in dematerialised form is less than 100 percentage								Add Notes				
Disclosure of notes in case of public share holding is less than 25 percentage								Add Notes				
Disclosure of notes on shareholding pattern for company remarks explanatory								Add Notes				

For SMIFS CAPITAL MARKETS LIMITED

Poonam Bhatia

(POONAM BHATIA)
COMPANY SECRETARY
CUM-SENIOR MANAGER LEGAL

No. of Shares Underlying Outstanding Warrants (Xi)	No. Of Shares Underlying Outstanding convertible securities and No. Of Warrants (Xi) (a)	Shareholding , as a % assuming full conversion of convertible securities (as a percentage 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. (a)	As a % of total Shares held (b)	No. (a)	As a % of total Shares held (b)	
		14.04					784350
		31.33					1749701
		45.37					2534051
		45.37					2534051

		9.85					550000
		9.85					550000
		10.14					527312
		17.43					973559

For SMIFS CAPITAL MARKETS LIMITED

Poonam
(POONAM BHATIA)
COMPANY SECRETARY
CUM-SENIOR MANAGER LEGAL

		17.21				951938
		44.78				2452809
		54.63				3002809
		100.00				5536860
		100.00				5536860

For SMIFS CAPITAL MARKETS LIMITED

Poonam Bhatia

(POONAM BHATIA)
COMPANY SECRETARY
CUM-SENIOR MANAGER LEGAL