

**EXTRACT OF ANNUAL RETURN**  
**as on the financial year ended 31.03.2020**  
**[Pursuant to Section 92(3) of the Companies Act, 2013, and Rule 12(1) of the**  
**Companies (Management and Administration) Rules, 2014]**  
**FORM NO. MGT – 9**

<b>I. REGISTRATION AND OTHER DETAILS</b>		
i.	CIN	U74140MH2001PTC134220
ii.	Registration Date	12 December, 2001
iii.	Name of the Company	HSBC Asset Management (India) Private Limited
iv.	Category / Sub-Category of the Company	Company having Share Capital
v.	Address of the Registered Office and contact details	9 – 11 floor, NESCO IT Park, Building no.3, NESCO Complex, Goregaon (East), Mumbai - 400063
vi.	Whether listed company	No
vii.	Name, address and contact details of Registrar and Transfer Agent, if any	TSR Darashaw Consultants Private Limited Address: 6-10 Haji Moosa Patrawala Industrial Estate, 20 Dr. E Moses Road, Mahalaxmi. Mumbai -400011

**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:**

<b>Sr. No.</b>	<b>Name and Description of main Products / Services</b>	<b>NIC Code of the Product / Service</b>	<b>% to total turnover of the Company</b>
1.	Investment Management Services	Group 663	54.60%
2.	Advisory/Sub Advisory	Group 663	45.40%

**III. PARTICULARS OF HOLDING, SUBSIDIARY AND ASSOCIATE COMPANIES**

<b>Sr. No.</b>	<b>Name and address of the Company</b>	<b>CIN / GLN</b>	<b>Holding / Subsidiary / Associate</b>	<b>% of shares held</b>	<b>Applicable Section</b>
1.	HSBC Securities and Capital Markets (India) Private Limited	U67120MH1994PTC081575	Holding	100.00	2(46)

Sr. No.	Name and address of the Company	CIN / GLN	Holding / Subsidiary / Associate	% of shares held	Applicable Section
	- 52/60, Mahatma Gandhi Road, Fort, Mumbai, Maharashtra, 400001				

#### IV. SHARE HOLDING PATTERN (Equity Share Capital Breakup as percentage of Total Equity)

##### (i) Category-wise Share Holding

Category of Shareholders	No. of Shares held at the beginning of the year				No. of Shares held at the end of the year				% Change during the year
	Demat	Physical	Total	% of Total Shares	Demat	Physical	Total	% of Total Shares	
<b>A. Promoters</b>									
<b>1) Indian</b>									
a) Individual / HUF	-	-	-	-	-	-	-	-	-
b) Central Govt.	-	-	-	-	-	-	-	-	-
c) State Govt.(s)	-	-	-	-	-	-	-	-	-
d) Bodies Corporate	6,15,909,06	2	6,15,909,08	100.00	6,15,909,06	2	6,15,909,08	100.00	-
e) Banks / FI	-	-	-	-	-	-	-	-	-
f) Any Other....	-	-	-	-	-	-	-	-	-
<b>Sub-Total (A)(1):</b>	6,15,909,06	2	6,15,909,08	100.00	6,15,909,06	2	6,15,909,08	100.00	-
<b>2) Foreign</b>									
a) NRIs Individuals	-	-	-	-	-	-	-	-	-
b) Other Individuals	-	-	-	-	-	-	-	-	-
c) Bodies Corporate	-	-	-	-	-	-	-	-	-
d) Banks / FI	-	-	-	-	-	-	-	-	-
e) Any Other....	-	-	-	-	-	-	-	-	-
<b>Sub-Total (A)(2):</b>	-	-	-	-	-	-	-	-	-

<b>Total Shareholding of Promoters (A) = (A)(1)+(A)(2)</b>	6,15,909.06	2	6,15,909.08	100.00	6,15,909.06	2	6,15,909.08	100.00	-
<b>B. Public Shareholding</b>									
<b>1) Institutions</b>									
a) Mutual Funds / UTI	-	-	-	-	-	-	-	-	-
b) Banks / FI	-	-	-	-	-	-	-	-	-
c) Central Govt.	-	-	-	-	-	-	-	-	-
d) State Govt.(s)	-	-	-	-	-	-	-	-	-
e) Venture Capital Funds	-	-	-	-	-	-	-	-	-
f) Insurance Companies	-	-	-	-	-	-	-	-	-
g) FII's	-	-	-	-	-	-	-	-	-
h) Foreign Venture Capital Funds	-	-	-	-	-	-	-	-	-
i) Others (specify)	-	-	-	-	-	-	-	-	-
<b>Sub-Total (B)(1):</b>	-	-	-	-	-	-	-	-	-
<b>2) Non-Institutions</b>									
<b>a) Bodies Corporate</b>									
(i) Indian	-	-	-	-	-	-	-	-	-
(ii) Overseas	-	-	-	-	-	-	-	-	-
<b>b) Individuals</b>									
(i) Individual Shareholders holding nominal share capital upto Rs. 1 lakh	-	-	-	-	-	-	-	-	-
(ii) Individual Shareholders holding nominal share capital in excess of Rs. 1 lakh	-	-	-	-	-	-	-	-	-
<b>c) Others (specify)</b>									
i. Shares held by Pakistani citizens	-	-	-	-	-	-	-	-	-

vested with the Custodian of Enemy Property										
ii. Other Foreign Nationals	-	-	-	-	-	-	-	-	-	-
iii. Foreign Bodies	-	-	-	-	-	-	-	-	-	-
iv. NRI / OCBs	-	-	-	-	-	-	-	-	-	-
v. Clearing Members / Clearing House	-	-	-	-	-	-	-	-	-	-
vi. Trusts	-	-	-	-	-	-	-	-	-	-
vii. Limited Liability Partnership	-	-	-	-	-	-	-	-	-	-
viii. Foreign Portfolio Investor (Corporate)	-	-	-	-	-	-	-	-	-	-
ix. Qualified Foreign Investor	-	-	-	-	-	-	-	-	-	-
<b>Sub-Total (B)(2):</b>	-	-	-	-	-	-	-	-	-	-
<b>Total Public Shareholding (B)=(B)(1)+(B)(2)</b>	-	-	-	-	-	-	-	-	-	-
<b>C. Shares held by Custodian for GDRs &amp; ADRs</b>	-	-	-	-	-	-	-	-	-	-
<b>Grand Total (A+B+C)</b>	6,15,909,06	2	6,15,909,08	100.00	6,15,909,06	2	6,15,909,08	100.00	-	-

**(ii) Shareholding of Promoters**

Shareholders Name	Shareholding at the beginning of the year			Shareholding at the end of the year			% Change during the year
	No. of Shares	% of total shares of the	% of Shares Pledged / encumbered	No. of Shares	% of total shares of the	% of Shares Pledged /	

		Compa ny	to total shares		Compa ny	encumb ered to total shares	
HSBC Securities and Capital Markets (India) Private Limited	6,15,909,08	100.00	Nil	6,15,909,08	100.00	Nil	-

**(iii) Change in Promoters' Shareholding (Please specify, if there is no change)**

	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
At the beginning of the year	No change during the year			
Date wise Increase/Decrease in Promoters Shareholding during the year specifying the reasons for increase/decrease (e.g. allotment/transfer/bonus/sweat equity etc)	No change during the year			
At the end of the year	No change during the year			

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

For Each of the Top 10 Shareholders	Shareholding at the beginning of the year		Shareholding at the end of the year	
	No. of Shares	% of total shares of the Company	No. of Shares	% of total shares of the Company
NIL				

**(v) Shareholding of Directors and Key Managerial Personnel – Nil**

**V. INDEBTEDNESS**

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

	Secured Loans excluding deposits	Unsecured Loans	Deposits	Total Indebtedness
<b>Indebtedness at the beginning of the financial year</b>				
<b>i. Principal Amount</b>				

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

Future interest payable over the lease period is not included in above presentation

#### VI. REMUNERATION OF DIRECTORS AND KEY MANAGERIAL PERSONNEL

- A. Remuneration to Managing Director, Whole-time Directors and/or Manager: Refer Annexure C
- B. Remuneration to other Directors: Not Applicable

Details of sitting fees paid to Directors are provided below

Sr. No.	Particulars	Name of Director				Total Amount
		Dinesh Kumar Mittal			Dr. Indu Shahani	
1	Fee for attending Board/ Committee Meetings	3,70,000			3,70,000	7,40,000
2	Commission					
3	Others, please Specify					
	<b>Total</b>					

- C. REMUNERATION TO KEY MANAGERIAL PERSONNEL OTHER THAN MD/MANAGER/WTD: Not Applicable

#### VII. PENALTIES / PUNISHMENT / COMPOUNDING OF OFFENCES:

Type	Section of the	Brief Description	Details of Penalty / Punishment /	Authority	Appeal made, if any

	Companies Act		Compounding fees Imposed	[RD / NCLT / COURT]	(give details)
<b>A. COMPANY</b>					
Penalty	Nil				
Punishment					
Compounding					
<b>B. DIRECTORS</b>					
Penalty	Nil				
Punishment					
Compounding					
<b>C. OTHER OFFICERS IN DEFAULT</b>					
Penalty	Nil				
Punishment					
Compounding					

**Dr. Indu Shahani**

Director  
DIN – 00112289

**Ravi Menon**

Director & Chief Executive Officer  
DIN - 00016302

**Place: Mumbai**