

FORM NO. MGT-7

[Pursuant to sub-Section(1) of section 92 of the Companies Act, 2013 and sub-rule (1) of rule 11of the Companies (Management and Administration) Rules, 2014]



Annual Return (other than OPCs and Small Companies)

Form language English Hindi

Refer the instruction kit for filing the form.

I. REGISTRATION AND OTHER DETAILS

(i) * Corporate Identification Number (CIN) of the company

U74900DL2009PTC189166

Pre-fill

Global Location Number (GLN) of the company

* Permanent Account Number (PAN) of the company

AAECR3022N

(ii) (a) Name of the company

RKSV SECURITIES INDIA PRIVATE

(b) Registered office address

807, NEW DELHI HOUSE
BARAKHAMBA ROAD, CONNAUGHT PLACE
NEW DELHI
Delhi
110001

(c) *e-mail ID of the company

amit.lalan@rksv.in

(d) *Telephone number with STD code

01123753793

(e) Website

www.upstox.com

(iii) Date of Incorporation

06/04/2009

(iv)	Type of the Company	Category of the Company	Sub-category of the Company
	Private Company	Company limited by shares	Indian Non-Government company

(v) Whether company is having share capital

Yes

No

(vi) *Whether shares listed on recognized Stock Exchange(s)

Yes

No

(vii) *Financial year From date (DD/MM/YYYY) To date (DD/MM/YYYY)

(viii) *Whether Annual general meeting (AGM) held Yes No

(a) If yes, date of AGM

(b) Due date of AGM

(c) Whether any extension for AGM granted Yes No

(d) If yes, provide the Service Request Number (SRN) of the application form filed for extension

(e) Extended due date of AGM after grant of extension

II. PRINCIPAL BUSINESS ACTIVITIES OF THE COMPANY

*Number of business activities

S.No	Main Activity group code	Description of Main Activity group	Business Activity Code	Description of Business Activity	% of turnover of the company
1	K	Financial and insurance Service	K7	Financial Advisory, brokerage and Consultancy Services	100

III. PARTICULARS OF HOLDING, SUBSIDIARY AND ASSOCIATE COMPANIES (INCLUDING JOINT VENTURES)

*No. of Companies for which information is to be given

S.No	Name of the company	CIN / FCRN	Holding/ Subsidiary/Associate/ Joint Venture	% of shares held
1	RKSV SECURITIES IFSC PRIVATE	U67100GJ2022PTC129650	Subsidiary	100
2	UPSTOX SECURITIES PRIVATE L	U65100DL2021PTC376860	Subsidiary	100

IV. SHARE CAPITAL, DEBENTURES AND OTHER SECURITIES OF THE COMPANY

(i) *SHARE CAPITAL

(a) Equity share capital

Particulars	Authorised capital	Issued capital	Subscribed capital	Paid up capital
Total number of equity shares	4,500,000	1,395,311	1,395,311	1,395,311
Total amount of equity shares (in Rupees)	45,000,000	13,953,110	13,953,110	13,953,110

Number of classes

Class of Shares	Authorised capital	Issued capital	Subscribed capital	Paid up capital
Ordinary Equity Shares				
Number of equity shares	4,500,000	1,395,311	1,395,311	1,395,311
Nominal value per share (in rupees)	10	10	10	10
Total amount of equity shares (in rupees)	45,000,000	13,953,110	13,953,110	13,953,110

(b) Preference share capital

Particulars	Authorised capital	Issued capital	Subscribed capital	Paid-up capital
Total number of preference shares	1,250,000	985,793	985,793	985,793
Total amount of preference shares (in rupees)	27,500,000	22,581,250	22,581,250	22,581,250

Number of classes

2

Class of shares	Authorised capital	Issued capital	Subscribed capital	Paid up capital
Series A & Series A2 Preference Shares				
Number of preference shares	500,000	349,627	349,627	349,627
Nominal value per share (in rupees)	10	10	10	10
Total amount of preference shares (in rupees)	5,000,000	3,496,270	3,496,270	3,496,270
Class of shares	Authorised capital	Issued capital	Subscribed capital	Paid up capital
Series B , C and C1 Preference Shares				
Number of preference shares	750,000	636,166	636,166	636,166
Nominal value per share (in rupees)	30	30	30	30
Total amount of preference shares (in rupees)	22,500,000	19,084,980	19,084,980	19,084,980

(c) Unclassified share capital

Particulars	Authorised Capital
Total amount of unclassified shares	0

(d) Break-up of paid-up share capital

Class of shares	Number of shares			Total nominal amount	Total Paid-up amount	Total premium
	Physical	DEMAT	Total			
Equity shares						
At the beginning of the year	1,677,959	0	1677959	16,779,590	16,779,590	
Increase during the year	3,950	0	3950	39,500	39,500	0

i. Public Issues	0	0	0	0	0	0
ii. Rights issue	0	0	0	0	0	
iii. Bonus issue	0	0	0	0	0	0
iv. Private Placement/ Preferential allotment	0	0	0	0	0	0
v. ESOPs	0	0	0	0	0	0
vi. Sweat equity shares allotted	0	0	0	0	0	0
vii. Conversion of Preference share	3,950	0	3950	39,500	39,500	
viii. Conversion of Debentures	0	0	0	0	0	0
ix. GDRs/ADRs	0	0	0	0	0	0
x. Others, specify						
Decrease during the year	286,598	0	286598	2,865,980	2,865,980	0
i. Buy-back of shares	286,598	0	286598	2,865,980	2,865,980	
ii. Shares forfeited	0	0	0	0	0	0
iii. Reduction of share capital	0	0	0	0	0	0
iv. Others, specify						
At the end of the year	1,395,311	0	1395311	13,953,110	13,953,110	
Preference shares						
At the beginning of the year	861,461	0	861461	18,772,290	18,772,290	
Increase during the year	128,282	0	128282	3,848,460	3,848,460	13,709,786,8
i. Issues of shares	128,282	0	128282	3,848,460	3,848,460	13,709,786,8
ii. Re-issue of forfeited shares	0	0	0	0	0	0
iii. Others, specify						
NA				0	0	
Decrease during the year	0	0	0	39,500	39,500	0
i. Redemption of shares	0	0	0	0	0	0
ii. Shares forfeited	0	0	0	0	0	0
iii. Reduction of share capital	0	0	0	0	0	0

iv. Others, specify				39,500	39,500	
Conversion of 3950 Preference Shares into Equity						
At the end of the year	989,743	0	989743	22,581,250	22,581,250	

ISIN of the equity shares of the company

(ii) Details of stock split/consolidation during the year (for each class of shares)

Class of shares		(i)	(ii)	(iii)
Before split / Consolidation	Number of shares			
	Face value per share			
After split / Consolidation	Number of shares			
	Face value per share			

(iii) Details of shares/Debtentures Transfers since closure date of last financial year (or in the case of the first return at any time since the incorporation of the company) *

Nil

[Details being provided in a CD/Digital Media]

Yes No Not Applicable

Separate sheet attached for details of transfers

Yes No

Note: In case list of transfer exceeds 10, option for submission as a separate sheet attachment or submission in a CD/Digital Media may be shown.

Date of the previous annual general meeting	<input type="text" value="31/12/2021"/>		
Date of registration of transfer (Date Month Year)	<input type="text" value="06/12/2021"/>		
Type of transfer	<input type="text" value="Preference Sha"/>	1 - Equity, 2- Preference Shares,3 - Debentures, 4 - Stock	
Number of Shares/ Debentures/ Units Transferred	<input type="text" value="11,278"/>	Amount per Share/ Debenture/Unit (in Rs.)	<input type="text" value="30"/>
Ledger Folio of Transferor	<input type="text" value="01"/>		

Transferor's Name	PRIVATE LIMITED		EPX UPTECH
	Surname	middle name	first name
Ledger Folio of Transferee	02		
Transferee's Name	PTE LTD		EPOWERX
	Surname	middle name	first name

Date of registration of transfer (Date Month Year) 04/02/2022

Type of transfer	Preference Sha	1 - Equity, 2- Preference Shares,3 - Debentures, 4 - Stock
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Number of Shares/ Debentures/ Units Transferred	11,851	Amount per Share/ Debenture/Unit (in Rs.)	30
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Ledger Folio of Transferor 01

Transferor's Name	PRIVATE LIMITED		EPX UPTECH
	Surname	middle name	first name

Ledger Folio of Transferee 02

Transferee's Name	PTE LTD		EPOWERX
	Surname	middle name	first name

Date of registration of transfer (Date Month Year) 08/02/2022

Type of transfer	Preference Sha	1 - Equity, 2- Preference Shares,3 - Debentures, 4 - Stock
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Number of Shares/ Debentures/ Units Transferred	23,129	Amount per Share/ Debenture/Unit (in Rs.)	30
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Ledger Folio of Transferor 02

Transferor's Name	PTE LTD		EPOWERX
	Surname	middle name	first name
Ledger Folio of Transferee	03		
Transferee's Name	PTE LTD		INTERNET FUND V
	Surname	middle name	first name

Date of registration of transfer (Date Month Year) 29/03/2022

Type of transfer	Preference Sha	1 - Equity, 2- Preference Shares,3 - Debentures, 4 - Stock
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Number of Shares/ Debentures/ Units Transferred	14,743	Amount per Share/ Debenture/Unit (in Rs.)	30
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Ledger Folio of Transferor 01

Transferor's Name	PRIVATE LIMITED		EPX UPTech
	Surname	middle name	first name

Ledger Folio of Transferee 02

Transferee's Name	PTE LTD		EPOWERX
	Surname	middle name	first name

Date of registration of transfer (Date Month Year)

Type of transfer		1 - Equity, 2- Preference Shares,3 - Debentures, 4 - Stock
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Number of Shares/ Debentures/ Units Transferred		Amount per Share/ Debenture/Unit (in Rs.)	
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Ledger Folio of Transferor

Transferor's Name	<input type="text"/>	<input type="text"/>	<input type="text"/>
	Surname	middle name	first name
Ledger Folio of Transferee	<input type="text"/>		
Transferee's Name	<input type="text"/>	<input type="text"/>	<input type="text"/>
	Surname	middle name	first name

(iv) *Debentures (Outstanding as at the end of financial year)

Particulars	Number of units	Nominal value per unit	Total value
Non-convertible debentures	0	0	0
Partly convertible debentures	0	0	0
Fully convertible debentures	0	0	0
Total			0

Details of debentures

Class of debentures	Outstanding as at the beginning of the year	Increase during the year	Decrease during the year	Outstanding as at the end of the year
Non-convertible debentures	0	0	0	0
Partly convertible debentures	0	0	0	0
Fully convertible debentures	0	0	0	0

(v) Securities (other than shares and debentures)

0

Type of Securities	Number of Securities	Nominal Value of each Unit	Total Nominal Value	Paid up Value of each Unit	Total Paid up Value
Total	<input type="text"/>		<input type="text"/>		<input type="text"/>

V. *Turnover and net worth of the company (as defined in the Companies Act, 2013)

(i) Turnover

7,045,524,000

(ii) Net worth of the Company

9,901,753,000

VI. (a) *SHARE HOLDING PATTERN - Promoters

S. No.	Category	Equity		Preference	
		Number of shares	Percentage	Number of shares	Percentage
1.	Individual/Hindu Undivided Family				
	(i) Indian	860,432	61.67	0	0
	(ii) Non-resident Indian (NRI)	0	0	0	0
	(iii) Foreign national (other than NRI)	0	0	0	0
2.	Government				
	(i) Central Government	0	0	0	0
	(ii) State Government	0	0	0	0
	(iii) Government companies	0	0	0	0
3.	Insurance companies	0	0	0	0
4.	Banks	0	0	0	0
5.	Financial institutions	0	0	0	0
6.	Foreign institutional investors	0	0	0	0
7.	Mutual funds	0	0	0	0
8.	Venture capital	0	0	0	0
9.	Body corporate (not mentioned above)	0	0	0	0
10.	Others	0	0	0	0
	Total	860,432	61.67	0	0

Total number of shareholders (promoters)

3

(b) *SHARE HOLDING PATTERN - Public/Other than promoters

S. No.	Category	Equity		Preference	
		Number of shares	Percentage	Number of shares	Percentage
1.	Individual/Hindu Undivided Family				
	(i) Indian	368,101	26.38	44,171	4.48

	(ii) Non-resident Indian (NRI)	16,975	1.22	0	0
	(iii) Foreign national (other than NRI)	0	0	0	0
2.	Government				
	(i) Central Government	0	0	0	0
	(ii) State Government	0	0	0	0
	(iii) Government companies	0	0	0	0
3.	Insurance companies	0	0	0	0
4.	Banks	0	0	0	0
5.	Financial institutions	0	0	0	0
6.	Foreign institutional investors	0	0	0	0
7.	Mutual funds	0	0	0	0
8.	Venture capital	0	0	0	0
9.	Body corporate (not mentioned above)	0	0	941,622	95.52
10.	Others RKS V ESOP Trust and Reddy	149,803	10.74	0	0
	Total	534,879	38.34	985,793	100

Total number of shareholders (other than promoters)

10

**Total number of shareholders (Promoters+Public/
Other than promoters)**

13

**VII. *NUMBER OF PROMOTERS, MEMBERS, DEBENTURE HOLDERS
(Details, Promoters, Members (other than promoters), Debenture holders)**

Details	At the beginning of the year	At the end of the year
Promoters	3	3
Members (other than promoters)	9	10
Debenture holders	0	0

VIII. DETAILS OF DIRECTORS AND KEY MANAGERIAL PERSONNEL

(A) *Composition of Board of Directors

Category	Number of directors at the beginning of the year		Number of directors at the end of the year		Percentage of shares held by directors as at the end of year	
	Executive	Non-executive	Executive	Non-executive	Executive	Non-executive
A. Promoter	3	0	3	0	36.13	0
B. Non-Promoter	2	0	2	0	0	0
(i) Non-Independent	2	0	2	0	0	0
(ii) Independent	0	0	0	0	0	0
C. Nominee Directors representing	0	0	0	0	0	0
(i) Banks & FIs	0	0	0	0	0	0
(ii) Investing institutions	0	0	0	0	0	0
(iii) Government	0	0	0	0	0	0
(iv) Small share holders	0	0	0	0	0	0
(v) Others	0	0	0	0	0	0
Total	5	0	5	0	36.13	0

Number of Directors and Key managerial personnel (who is not director) as on the financial year end date

5

(B) (i) *Details of directors and Key managerial personnel as on the closure of financial year

Name	DIN/PAN	Designation	Number of equity share(s) held	Date of cessation (after closure of financial year : If any)
Ravi Chandran Kumar	02499607	Director	302,231	
Shrinivas Viswanath	02590433	Director	286,811	
Kavitha Subramanian	08712047	Director	271,390	
Amit Chhotalal Lalan	03098172	Director	0	
Puneet Maheshwari	06824179	Director	0	

(ii) Particulars of change in director(s) and Key managerial personnel during the year

0

Name	DIN/PAN	Designation at the beginning / during the financial year	Date of appointment/ change in designation/ cessation	Nature of change (Appointment/ Change in designation/ Cessation)

IX. MEETINGS OF MEMBERS/CLASS OF MEMBERS/BOARD/COMMITTEES OF THE BOARD OF DIRECTORS

A. MEMBERS/CLASS /REQUISITIONED/NCLT/COURT CONVENED MEETINGS

Number of meetings held

7

Type of meeting	Date of meeting	Total Number of Members entitled to attend meeting	Attendance	
			Number of members attended	% of total shareholding
ANNUAL GENERAL MEETING	31/12/2021	14	3	61.32
EOGM	03/05/2021	12	3	61.32
EOGM	30/09/2021	13	4	61.67
EOGM	24/11/2021	13	3	61.32
EOGM	10/02/2022	12	2	41.35
EOGM	26/02/2022	12	2	41.35
EOGM	30/03/2022	13	2	42.22

B. BOARD MEETINGS

*Number of meetings held

25

S. No.	Date of meeting	Total Number of directors associated as on the date of meeting	Attendance	
			Number of directors attended	% of attendance
1	20/04/2021	5	5	100
2	08/06/2021	5	2	40
3	23/09/2021	5	3	60
4	25/09/2021	5	2	40
5	30/09/2021	5	2	40
6	20/10/2021	5	3	60
7	01/11/2021	5	2	40
8	08/11/2021	5	3	60
9	28/11/2021	5	2	40

S. No.	Date of meeting	Total Number of directors associated as on the date of meeting	Attendance	
			Number of directors attended	% of attendance
10	29/11/2021	5	2	40
11	06/12/2021	5	2	40
12	29/12/2021	5	2	40

C. COMMITTEE MEETINGS

Number of meetings held

S. No.	Type of meeting	Date of meeting	Total Number of Members as on the date of the meeting	Attendance	
				Number of members attended	% of attendance
1					

D. *ATTENDANCE OF DIRECTORS

S. No.	Name of the director	Board Meetings			Committee Meetings			Whether attended AGM held on
		Number of Meetings which director was entitled to attend	Number of Meetings attended	% of attendance	Number of Meetings which director was entitled to attend	Number of Meetings attended	% of attendance	
1	Ravi Chandran	25	5	20	0	0	0	Yes
2	Shrinivas Visw	25	5	20	0	0	0	Yes
3	Kavitha Subra	25	5	20	0	0	0	No
4	Amit Chhotala	25	21	84	0	0	0	No
5	Puneet Mahes	25	21	84	0	0	0	No

X. *REMUNERATION OF DIRECTORS AND KEY MANAGERIAL PERSONNEL

Nil

Number of Managing Director, Whole-time Directors and/or Manager whose remuneration details to be entered

S. No.	Name	Designation	Gross Salary	Commission	Stock Option/ Sweat equity	Others	Total Amount
1	Ravi Chandran Kum	Executive Direct	1,198,000	0	0	0	1,198,000
2	Shrinivas Viswanath	Executive Direct	1,198,000	0	0	0	1,198,000
3	Amit Chhotalal Lala	Executive Direct	7,673,000	0	0	0	7,673,000
4	Puneet Maheshwari	Executive Direct	15,522,000	0	0	0	15,522,000
5	Kavitha Subramania	Executive Direct	1,198,000	0	0	0	1,198,000
	Total		26,789,000	0	0	0	26,789,000

Number of CEO, CFO and Company secretary whose remuneration details to be entered

0

S. No.	Name	Designation	Gross Salary	Commission	Stock Option/ Sweat equity	Others	Total Amount
1							0
	Total						

Number of other directors whose remuneration details to be entered

0

S. No.	Name	Designation	Gross Salary	Commission	Stock Option/ Sweat equity	Others	Total Amount
1							0
	Total						

XI. MATTERS RELATED TO CERTIFICATION OF COMPLIANCES AND DISCLOSURES

* A. Whether the company has made compliances and disclosures in respect of applicable provisions of the Companies Act, 2013 during the year Yes No

B. If No, give reasons/observations

XII. PENALTY AND PUNISHMENT - DETAILS THEREOF

(A) DETAILS OF PENALTIES / PUNISHMENT IMPOSED ON COMPANY/DIRECTORS /OFFICERS Nil

Name of the company/ directors/ officers	Name of the court/ concerned Authority	Date of Order	Name of the Act and section under which penalised / punished	Details of penalty/ punishment	Details of appeal (if any) including present status

(B) DETAILS OF COMPOUNDING OF OFFENCES Nil

Name of the company/ directors/ officers	Name of the court/ concerned Authority	Date of Order	Name of the Act and section under which offence committed	Particulars of offence	Amount of compounding (in Rupees)

XIII. Whether complete list of shareholders, debenture holders has been enclosed as an attachment

Yes No

XIV. COMPLIANCE OF SUB-SECTION (2) OF SECTION 92, IN CASE OF LISTED COMPANIES

In case of a listed company or a company having paid up share capital of Ten Crore rupees or more or turnover of Fifty Crore rupees or more, details of company secretary in whole time practice certifying the annual return in Form MGT-8.

Name

Whether associate or fellow Associate Fellow

Certificate of practice number

I/We certify that:

- (a) The return states the facts, as they stood on the date of the closure of the financial year aforesaid correctly and adequately.
- (b) Unless otherwise expressly stated to the contrary elsewhere in this Return, the Company has complied with all the provisions of the Act during the financial year.
- (c) The company has not, since the date of the closure of the last financial year with reference to which the last return was submitted or in the case of a first return since the date of the incorporation of the company, issued any invitation to the public to subscribe for any securities of the company.
- (d) Where the annual return discloses the fact that the number of members, (except in case of a one person company), of the company exceeds two hundred, the excess consists wholly of persons who under second proviso to clause (ii) of sub-section (68) of section 2 of the Act are not to be included in reckoning the number of two hundred.

Declaration

I am Authorised by the Board of Directors of the company vide resolution no. ... dated

(DD/MM/YYYY) to sign this form and declare that all the requirements of the Companies Act, 2013 and the rules made thereunder in respect of the subject matter of this form and matters incidental thereto have been complied with. I further declare that:

- 1. Whatever is stated in this form and in the attachments thereto is true, correct and complete and no information material to the subject matter of this form has been suppressed or concealed and is as per the original records maintained by the company.
- 2. All the required attachments have been completely and legibly attached to this form.

Note: Attention is also drawn to the provisions of Section 447, section 448 and 449 of the Companies Act, 2013 which provide for punishment for fraud, punishment for false statement and punishment for false evidence respectively.

To be digitally signed by

Director 

DIN of the director

To be digitally signed by 

- Company Secretary
 Company secretary in practice

Membership number

Certificate of practice number

Attachments

1. List of share holders, debenture holders
2. Approval letter for extension of AGM;
3. Copy of MGT-8;
4. Optional Attachment(s), if any

Attach
Attach
Attach
Attach

List of attachments

List of Equity and Preference Shareholders
Approval letter for extention of AGM.pdf
MGT-8.pdf
Details of Board meetings2021-22.pdf

Remove attachment

Modify

Check Form

Prescrutiny

Submit

This eForm has been taken on file maintained by the Registrar of Companies through electronic mode and on the basis of statement of correctness given by the company