FORM NO. MGT - 9 EXTRACT OF ANNUAL RETURN

AS ON THE FINANCIAL YEAR ENDED ON March 31, 2022

[Pursuant to section 92(3) of the Companies Act, 2013 and rule 12(1) of the Companies (Management and Administration) Rules, 2014]

I REGISTRATION AND OTHER DETAILS

i) CIN: L67120MH1982PLC026724

ii) Registration Date: 20-Mar-1982

iii) Name of the Company: Prime Securities Limited
iv) Category / Sub-Category of the Company: Company Limited by Shares

v) Address of the Registered office and contact details: 1109/1110, Maker Chambers V, Nariman Point, Mumbai 400021

vi) Whether listed company: Yes

vii) Name, Address and Contact details of Registrar and Transfer Agent, if Link Intime India Private Limited

ry: C-101, 247 Park, L.B.S Marg, Vikhroli (West),

Mumbai-400083, Tel: +91-22-49186270, Fax: +91-22-49186060

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	Name and Description of	NIC Code of the	% to total turnover of the
No.	main products / services	Product/ service	company
1	Merchant Banking	Group 649 Class 6499	100%

III PARTICULARS OF HOLDING, SUBSIDIARY AND ASSOCIATE COMPANIES

Sr	Name and Address	CIN/GLN	Holding/	% of Shares	Applicable
No.	of the Company		Subsidiary/	Held	Sections
			Associate		
1	Prime Research & Adviosry Limited, 1109/1110, Maker Chambers V, Nariman Point, Mumbai 400021	U65990MH1993PLC071007	Subsidiary Company	100%	Section 2 (87)
2	Prime Funds Management Limited 1109/1110, Maker Chambers V, Nariman Point, Mumbai 400021	U65990MH2018PLC318439	Subsidiary Company	100%	Section 2 (87)

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

i) Category-wise Share Holding

Category of	No. of Shares held at thebeginning of the year			the year	No. of Shares held at the end of the year				%
Shareholders		(As on 01-A	Apr-2021)			(As on 31-M	1ar-2022)		Change
	Demat	Physical	Total	% of	Demat	Physical	Total	% of	during
				Total				Total	the year
A. Promoters									
(1) Indian									
a) Individual/HUF	-	-	-	-	-	-	-	-	-
b) Central Govt	-	-	-	-	-	-	-	-	-
c) State Govt (s)	-	-	-	-	-	-	-	-	-
d) Bodies Corp.	-	-	-	-	-	-	-	-	-
e) Banks / FI	-	-	-	-	-	-	-	-	-
f) Any Other	-	-	-	-	-	-	1	-	-
Sub-total (A) (1)	-	-	-	-	-	-	-	-	-
(2) Foreign									
a) NRIs-Individuals	-	-	-	-	-	-	-	-	-
b) Other-Individuals	-	-	-	-	-	-	-	-	-
c) Bodies Corp.	-	-	-	-	-	-	-	-	-
d) Banks / FI	-	-	-	-	-	-	-	-	-
e) Any Other	-	-	-	-	ı	-	ı	-	-
Sub-total (A) (2)	ı	-	-	-	-	-	ı	-	-
Total Shareholding	-	-	-	-	-	-	-	-	-
of Promoter									
(A)=(A)(1)+(A)(2)									

B. Public									
Shareholding									
(1) Institutions									
a) Mutual Funds	100	10,300	10,400	0.04	100	10,300	10,400	0.03	(0.01)
b) Banks / FI	203	3,100	3,303	0.01	102	3,100	3,202	0.01	(0.00)
c) Central Govt	-	-	- -	-	-	· <u>-</u>	-	-	- 1
d) State Govt(s)	-	-	=	-	-	=	-	-	-
e) Venture Capital	-	-	=	-	-	=	-	-	-
Funds									
f) Insurance	_	_	_	_	_	_	_	_	_
Companies									
I -	2 (1 900	10.200	2 72 100	1 40	12.04.220	10.200	12.04.520	4 47	2.07
g) FIIs/Foreign Portfolio	3,61,800	10,300	3,72,100	1.40	13,84,220	10,300	13,94,520	4.47	3.07
Investors									
h) Foreign Venture	-	-	-	-	-	-	-	-	-
Capital Funds									
i) Others (Specify)									
Foreign Portfolio		-	-	-	-	-	-	-	-
Investors									
Foreign Banks	-	900	900	0.00	-	900	900	0.00	(0.00)
Sub-total (B) (1)	3,62,103	24,600	3,86,703	1.46	13,84,422	24,600	14,09,022	4.52	3.06
(2) Non-Institutions									
a) Bodies Corp.									
i) Indian	88,90,015	400	88,90,415	33.53	82,04,553	400	82,04,953	26.32	(7.21)
ii) Overseas	ı ´´-	28,600	28,600	0.11	-	28,600	28,600	0.09	(0.02)
b) Individuals			ĺ			,	,		_ ` _ ′
i) Individual	44,05,555	11,41,114	55,46,669	20.92	40,01,764	11,18,114	51,19,878	16.42	(4.50)
shareholders	, ´ ´	, ,	, ,		, ,	, ,			_ ` ′
holding nominal									
share capital upto									
Rs. 1 lakh									
i) Individual	99,93,090	79,400	1,00,72,490	37.99	1,14,05,579	79,400	1,14,84,979	36.84	(1.15)
shareholders	99,93,090	79,400	1,00,72,490	37.99	1,14,03,379	79,400	1,14,04,979	30.84	(1.13)
holding nominal									
share capital in									
excess of Rs 1									
lakh									
c) Others (Specify)									
NBFCs	-	-	-	-	200	-	200	0.00	0.00
Clearing Members	3,20,308	-	3,20,308	1.21	5,725	-	5,725	0.02	(1.19)
HUFs	3,08,440	-	3,08,440	1.16	2,66,017	-	2,66,017	0.85	(0.31)
Foreign Nationals	9,59,100	2,500	9,61,600	3.63	14,82,791	2,500	14,85,291	4.76	1.14
Trusts	100	-	100	0.00	100	-	100	0.00	(0.00)
LLP	, - I	-	-	-	31,71,060	-	31,71,060	10.17	10.17
Sub-total (B) (2)	2,48,76,608	12,52,014	2,61,28,622	98.54	2,85,37,789	12,29,014	2,97,66,803	95.48	(3.06)
Total Public	2,52,38,711	12,76,614	2,65,15,325	100.00	2,99,22,211	12,53,614	3,11,75,825	100.00	
Shareholding									
(B)=(B)(1)+(B)(2)									
C. Shares held by	_	_		_	_		_	_	_
Custodian for	-	_	·	-		_	_	-	_
GDRs & ADRs									
	2 52 29 711	12.76.614	2 (5 15 225	100.00	2 00 22 211	10 50 (14	2 11 75 927	100.00	
Grand Total (A+B+C)	2,52,38,711	12,76,614	2,65,15,325	100.00	2,99,22,211	12,53,614	3,11,75,825	100.00	-

ii) Shareholding of Promoters

Sr. No.	Shareholder's Name	Shareholding at the beginning of the		Shareholding at the end of the year			%	
		year (A	s on 01-Ap	r-2021)	(As on 31-Mar-2022)			Change
		No. of Shares	% of total	% of shares	No. of	% of total	% of	during
			shares of	pledged /	Shares	shares of the	shares	the year
			the	encumbered		Company	pledged /	-
		Company to total				encumbe		
				shares			red to	
							total	
							shares	
		Nil						
Total								

iii) Change in Promoters' Shareholding as on 31-Mar-2022 (please specify, if there is no change)

	Shareholding at the beginning of the year (As on 01-Apr-2021)		Shareholding at the (As on 31-Ma	•	
	No. of Shares	% of total shares of the	No. of Shares	% of total shares	
		company		of the company	
At the beginning of the year	Not Applicable				
Date wise Increase / Decrease in					
Promoters Share holding during the year					
specifying the reasons for increase /					
decrease (e.g. allotment / transfer / bonus/					
sweat equity etc)					
At the end of the year					

iv) Shareholding Pattern of top ten Shareholders as on 31-Mar-2022 (other than Directors, Promoters and Holders of GDRs and ADRs)

For Each of the Top 10	Shareholding at the b (As on 01-A		Shareholding at the e (As on 31-Mar	-
Shareholders	No. of Shares	% of total shares of the company	No. of Shares	% of total shares of the company
1. GKK Capital Markets Pvt Ltd	32,00,000	10.26	35,50,000	11.39
04-06-2021 35,000 Purchase				
11-06-2021 27,500 Purchase				
02-07-2021 1,12,500 Purchase				
09-07-2021 1,25,000 Purchase				
16-07-2021 50,000 Purchase				
2. Statin Enterprise LLP	31,48,059	10.10	31,48,059	10.10
3. Siddarth Pai	-	-	19,00,000	6.09
17-12-2021 19,00,000 Purchase				
4. Judith Investments Private Limited	17,83,497	5.72	17,83,497	5.72
5. Mahendra Jayantilal Shah	13,94,181	4.47	14,37,597	4.61
28-05-2021 (64,754) Sale				
16-07-2021 300 Purchase				
13-08-2021 50,000 Purchase				
20-08-2021 58,888 Purchase				
10-09-2021 (300) Sale				
24-09-2021 72,500 Purchase				
29-10-2021 (55,000) Sale				
26-11-2021 (19,000) Sale				
07-01-2022 1,040 Purchase				
25-03-2022 (258) Sale				
6. Saint Capital Fund	2,61,800	0.84	12,20,828	3.92
09-04-2021 3,96,000 Purchase	, ,		, ,	
27-08-2021 99,352 Purchase				
03-09-2021 1,09,385 Purchase				
19-11-2021 35,000 Purchase				
25-02-2022 19,500 Purchase				
04-03-2022 2,00,000 Purchase				
25-03-2022 99,791 Purchase				
7. Anand Jaikumar Jain	-	-	12,00,000	3.85
17-12-2021 12,00,000 Purchase			, ,	
8. Kishore Hemandas Mulani	8,96,630	2.88	8,63,464	2.77
09-04-2021 20,000 Purchase				
16-04-2021 17,500 Purchase				
23-04-2021 7,517 Purchase				
28-05-2021 21,675 Purchase				
20-08-2021 65,000 Purchase				
29-10-2021 (10,000) Sale				
12-11-2021 (5,000) Sale				
19-11-2021 20,000 Purchase				
24-12-2021 15,000 Purchase				
07-01-2022 (2,000) Sale				
14-01-2022 (1,29,603) Sale				
21-01-2022 (1,27,481) Sale				
28-01-2022 20,000 Purchase				
11-02-2022 25,000 Purchase				

25-02-2022	11,226 Purchase				
04-03-2022	9,000 Purchase				
11-03-2022	4,000 Purchase				
18-03-2022	(3,000) Sale				
25-03-2022	(1,000) Sale				
31-03-2022	9,000 Purchase				
9. Koppara Sajee	eve Thomas	7,50,000	2.41	7,50,000	2.41
10. Himanshi Ke	ela	50,000	0.16	5,50,000	1.76
17-12-2021	5,00,000 Purchase				

v) Shareholding of Directors and Key Managerial Personnel as on 31-Mar-2022

For Each of the Directors		Shareholding at the b (As on 01-2		Shareholding at the end of the year (As on 31-Mar-2022)		
a	nd KMP	No. of Shares	% of total shares of the	No. of Shares	% of total shares	
			company		of the	
1. N. Jayakumar		4,14,928	1.33	4,14,928	1.33	
2. S. R. Sharma		6,000	0.02	6,000	0.02	
3. Ajay Shah		3,100	0.01	2,870	0.01	
15-12-2021	(3,100) Sale					
16-12-2021	7,500 ESOS					
28-12-2021	(1,270) Sale					
29-12-2021	(2,000) Sale					
30-12-2021	(3,500) Sale					
31-12-2021	(730) Sale					
04-02-2022	5,000 ESOS					
18-02-2022	(130) Sale					
23-02-2022	(2,000) Sale					

V INDEBTEDNESS (Indebtedness of the Company including interest outstanding/accrued but not due for payment)

(Rs. in lakhs)

				(Rs. in lakhs)
	Secured Loans	Unsecured	Deposits	Total
	excluding deposits	Loans		Indebtedness
Indebtedness at the beginning of the				
financial year				
i) Principal Amount	16.60	-	-	16.60
ii) Interest due but not paid	-	-	-	-
iii) Interest accrued but not due	-	-	-	-
Total (i+ii+iii)	16.60	-	-	16.60
Change in Indebtedness during				
the financial year				
Addition	-	-	-	-
Reduction	6.98	-	-	6.98
Net Change	(6.98)	-	-	(6.98)
Indebtedness at the end of the financial				
year				
i) Principal Amount	9.62	=	=	9.62
ii) Interest due but not paid	-	-	-	-
iii) Interest accrued but not due	-	-	-	-
Total (i+ii+iii)	9.62	-		9.62

VI REMUNERATION OF DIRECTORS AND KEY MANAGERIAL PERSONNEL

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

(Rs. in lakhs)

Sr. No.	Particulars of Remuneration	Name of MD / WTD / Manager	Total Amount
		Managing Director	
		N. Jayakumar	
1	Gross Salary		
	(a) Salary as per provisions contained in section 17(1)	443.14	443.14
	of the Income-tax Act, 1961		
	(b) Value of perquisites u/s 17(2) Income-tax Act, 1961	0.58	0.58
	(c) Profits in lieu of salary under section 17(3) Income-	Nil	Nil
	tax Act, 1961		
2	Stock Option	Nil	Nil
3	Sweat Equity	Nil	Nil
4	Commission	-	-

	- as % of profit	Nil	Nil
	- others, specify	Nil	Nil
5	Others, please specify	Nil	Nil
Total (A)		443.72	443.72
Ceiling a	s per the Act	5% of Net Profit / Schedule V	10% of Net Profit /

B. Remuneration to other Directors

(Rs. in lakhs)

Sr. No.	Particulars of Remuneration	ticulars of Remuneration Name of Director			,	Total
		Pradip	Alpana	Smita	Namrata	Amount
		Dubhashi	Parida	Affinwalla	Kaul	
1	Independent Directors					
	• Fee for attending board / committee meetings	17.00	13.60	14.40	13.00	58.00
	Commission	4.00	4.00	3.00	-	11.00
	Others, please specify	-	-	-	-	-
	Total (1)	21.00	17.60	17.40	13.00	69.00
2	Other Non-Executive Directors					
	• Fee for attending board / committee meetings	-	-	-	-	-
	Commission	-	-	-	-	-
	Others, please specify	-	-	-	-	-
	Total (2)	-	-	-	-	-
Total (B) = (1+2) Total Managerial Remuneration		21.00	17.60	17.40	13.00	69.00
Overall Ceiling as per the Act		19	1% of Net Profit / Schedule V			1% of

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

(Rs. in lakhs)

Sr. No.	Particulars of Remuneration	Key Manageri	Key Managerial Personnel			
		Company Secretary	CFO	Amount		
		Ajay Shah	S. R. Sharma			
1	Gross Salary					
	(a) Salary as per provisions contained in section 17(1)	57.20	88.97	146.17		
	of the Income-tax Act, 1961					
	(b) Value of perquisites u/s 17(2) Income-tax Act, 1961	9.33	0.29	9.62		
	(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)		66.53	89.26	155.79		

VI PENALTIES / PUNISHMENT/ COMPOUNDING OF OFFENCES

Туре	Section of the Companies Act	Brief Description	Details of Penalty / Punishment /	Authority [RD / NCLT / COURT]	Appeal made, if any	
			Compounding fees imposed		(give Details)	
Company	•					
Penalty	No Penalties, Punishments or Compounding of Offences					
Punishment						
Compounding						
Directors	•					
Penalty	No Penalties, Punishments or Compounding of Offences					
Punishment						
Compounding						
Other Officers in	n Default					
Penalty		No Penalties, Puni	shments or Compounding	of Offences		
Punishment						
Compounding	7					

For and on behalf of the Board of Directors Sd/- $$\operatorname{\mathsf{Sd}}\xspace{-4mu}$

Mumbai **Pradip Dubhashi N. Jayakumar**May 24, 2022 Chairman Managing Director & Group CEO