

FORM NO. MGT 9
EXTRACT OF ANNUAL RETURN
As on financial year ended on 31.03.2020

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	L65921DL1991PLC043087
2	Registration Date	13/Feb/91
3	Name of the Company	DCM FINANCIAL SERVICES LIMITED
4	Category of the Company	Company Limited by Shares
5	Sub-category of the Company	Indian Non-Government Company
6	Address of the Registered office & contact details	D-7/3 Okhla Industrial Area, Phase-2, New Delhi-110020 Ph: 91-11-26387750
7	Whether listed company	YES
8	Name, Address & contact details of the Registrar & Transfer Agent, if any.	Name: MCS Share Transfer Agent Ltd. Add: F-65, 1st Floor, Okhla Industrial, Area, Phase-I, New Delhi- 110020 Ph.: 011-4140 6149, Fax. 011-4170 9881

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)		
S. No.	Name and Description of main products / services	NIC Code of the Product/service
1	NA	NA

III. PARTICULARS OF HOLDING, SUBSIDIARY AND ASSOCIATE COMPANIES				
S. No.	Name and Address of the Company	CIN/GLN	Holding/ Subsidiary/ Associate	Shareholding
1	Global IT Options Limited (Formerly Known as DFS Securities Limited)	U67110DL1995PLC069223	Subsidiary	90%

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 [As on 31-March-2019]				No. of Shares held at the end of the year [As on 31-March-2020]				% of Change During the year
	Demat	Physical	Total	% of Total Shares	Demat	Physical	Total	% of Total Shares	
A. Promoters									
(1) Indian									
a) Individual/ HUF	15	-	15	0.00%	15	-	15	0.00%	0.00%
b) Central Govt	-	-	-	-	-	-	-	-	-
c) State Govt(s)	-	-	-	-	-	-	-	-	-
d) Bodies Corp.	8,739,937	-	8,739,937	39.50%	8,739,937	-	8,739,937	39.50%	0.00%
e) Banks / FI	-	-	-	-	-	-	-	-	-
f) Any other	-	-	-	-	-	-	-	-	-
Sub Total (A) (1)	8,739,952	-	8,739,952	39.50%	8,739,952	-	8,739,952	39.50%	-
(2) Foreign									
a) NRI Individuals	-	-	-	-	-	-	-	-	-
b) Other Individuals	-	-	-	-	-	-	-	-	-
c) Bodies Corp.	-	-	-	-	-	-	-	-	-
d) Any other	-	-	-	-	-	-	-	-	-
Sub Total (A) (2)	-	-	-	-	-	-	-	-	-
TOTAL (A)	8,739,952	-	8,739,952	39.50%	8,739,952	-	8,739,952	39.50%	0.00%
B. Public Shareholding									
1. Institutions									
a) Mutual Funds	-	33,700	33,700	0.15%	-	33,700	33,700	0.15%	0.00%
b) Banks / FI	-	1,352,700	1,352,700	6.11%	-	1,352,700	1,352,700	6.11%	0.00%
c) Central Govt	-	-	-	-	-	-	-	-	-
d) State Govt(s)	-	-	-	-	-	-	-	-	-
e) Venture Capital Funds	-	-	-	-	-	-	-	-	-
f) Insurance Companies	-	-	-	-	-	-	-	-	-
g) FIs	-	-	-	-	-	-	-	-	-
h) Foreign Venture Capital Funds	-	-	-	-	-	-	-	-	-
i) Others (specify)	-	-	-	-	-	-	-	-	-
Sub-total (B)(1):-	-	1,386,400	1,386,400	6.27%	-	1,386,400	1,386,400	6.27%	0.00%
2. Non-Institutions									
a) Bodies Corp.									
i) Indian	1,064,226	67,817	1,132,043	5.12%	975,451	67,817	1,043,268	4.71%	-0.41%
ii) Overseas	-	-	-	-	-	-	-	-	-
b) Individuals									
i) Individual shareholders holding nominal share capital upto Rs. 1 lakh	5,727,126	1,737,374	7,464,500	33.74%	5,753,395	1,731,667	7,485,062	33.83%	0.09%
ii) Individual shareholders holding nominal share capital in excess of Rs 1 lakh	2,751,799	100,500	2,852,299	12.89%	2,828,412	98,300	2,926,712	13.22%	0.33%

c) Others (specify)									
Non Resident Indians	100,260	449,600	549,860	2.49%	94,060	449,600	543,660	2.46%	-0.03%
Overseas Corporate Bodies	-	-	-	-	-	-	-	-	-
Foreign Nationals	-	-	-	-	-	-	-	-	-
Clearing Members	-	-	-	-	-	-	-	-	-
Trusts	-	-	-	-	-	-	-	-	-
Foreign Bodies - D R	-	-	-	-	-	-	-	-	-
Sub-total (B)(2):-	9,643,411	2,355,291	11,998,702	54.23%	9,651,318	2,347,384	11,998,702	54.23%	-
Total Public (B)	9,643,411	3,741,691	13,385,102	60.50%	9,651,318	3,733,784	13,385,102	60.50%	-
C. Shares held by Custodian for GDRs & ADRs	-	-	-	-	-	-	-	-	-
Grand Total (A+B+C)	18,383,363	3,741,691	22,125,054	100.00%	18,391,270	3,733,784	22,125,054	100.00%	-

(ii) Shareholding of Promoter

S. No.	Shareholder's Name	Shareholding at the beginning of the year [As on 31-March-2019]			Shareholding at the end of the year [As on 31-March-2020]			% change in share holding during
		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	Mr. Vivek Bharat Ram	15	0.00%	0	15	0.00%	0	0
2	DCM Services Limited	6,352,487	28.71%	0	6,352,487	28.71%	0	0
3	Shriram Global Enterprises Ltd.	312,450	1.41%	0	312,450	1.41%	0	0
4	Intellect Capital Services Private Ltd.	2,075,000	9.38%	0	2,075,000	9.38%	0	0
	Total	8,739,952	39.50%	0	8,739,952	39.50%	0	0

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

S. No.	Particulars	Date	Reason	Shareholding at the beginning of the year		Cumulative Shareholding during the year	
				No. of shares	% of total shares	No. of shares	% of total shares
	At the beginning of the year			8,739,952	39.50%	8,739,952	39.50%
	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)			No Change during the year			
	At the end of the year			8,739,952	39.50%	8,739,952	39.50%

(iv) Shareholding Pattern of top ten Shareholders

(Other than Directors, Promoters and Holders of GDRs and ADRs):

S. No.	Name of Shareholders	Shareholding at the beginning of the year		Cumulative Shareholding during the year	
		No. of shares	% of total shares	No. of shares	% of total shares
1	PUNJAB & SIND BANK				
	At the beginning of the year	1,319,900	5.96%	1,319,900	5.96%
	Change During the year:	No changes during the year			
	At the end of the year			1,319,900	5.96%
2	CENTENNIAL CORPORATION PRIVATE LTD				
	At the beginning of the year	599,690	2.71%	599,690	2.71%
	Change During the year: Sale of Shares	-	0.00%	310	0.00%
	At the end of the year			599,690	2.71%
3	KOKILABEN BHARATKUMAR PARIKH				
	At the beginning of the year	275,391	1.24%	275,391	1.24%
	Change During the year:	No changes during the year			
	At the end of the year			275,391	1.24%
4	BHARATKUMAR HARIKRISHNA PARIKH				
	At the beginning of the year	240,270	1.09%	240,270	1.09%
	Change During the year:	No changes during the year			
	At the end of the year			240,270	1.09%
5	AMAZING CAPITAL SERVICES PRIVATE LTD				
	At the beginning of the year	176,602	0.80%	176,602	0.80%

	Change During the year:	No changes during the year			
	At the end of the year			176,602	0.80%
6	AJAY GUPTA				
	At the beginning of the year	97,671	0.44%	97,671	0.38%
	Change During the year:	No changes during the year			
	Purchase	-	-	40,491	0.07%
	At the end of the year	97,671	0.44%	138,162	0.62%
7	PRADEEP KUMAR SHARMA				
	At the beginning of the year	123,200	0.56%	123,200	0.56%
	Change During the year:	No changes during the year			
	At the end of the year			123,200	0.56%
8	TRIVENI B				
	At the beginning of the year	66,794	0.30%	66,794	0.30%
	Change During the year:	No changes during the year			
	At the end of the year			66,794	0.30%
9	SOHAG V. NANAVATI				
	At the beginning of the year	57,145	0.26%	57,145	0.26%
	Change During the year:	-	-	3,955	0.02%
	At the end of the year			61,100	0.28%
10	MADHU GUPTA				
	At the beginning of the year	56,472	0.26%	56,472	0.26%
	Change During the year:	No changes during the year			
	At the end of the year			56,472	0.26%

(v) Shareholding of Directors and Key Managerial Personnel:

S. No.	Shareholding of each Directors and Key Managerial Personnel	Shareholding at the beginning of the year		Cumulative Shareholding during the year	
		No. of shares	% of total shares	No. of shares	% of total shares
	At the beginning of the year	NIL			
1	RAJNI GUPTA	-	-	-	-
2	DAMAN PREET KAUR	-	-	-	-
3	RICHA KALRA	-	-	-	-
4	SOMALI TIWARI	-	-	-	-
5	SHANTANU DEVESHWAR	-	-	-	-
	At the end of the year	NIL			

V. INDEBTEDNESS

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

Particulars	Secured Loans excluding deposits	Unsecured Loans	Deposits	(Amt. In Rupees)	
				Total Indebtedness	
Indebtedness at the beginning of the financial year					
i) Principal Amount	227,399,875	142,525,984	526,463,465	896,389,324	
ii) Interest due but not paid	-	-	-	-	
iii) Interest accrued but not due	-	-	-	-	
Total (i+ii+iii)	227,399,875	142,525,984	526,463,465	896,389,324	
Change in Indebtedness during the financial year					
Addition	-	-	-	-	
Reduction	42,531,952	16,490,539	32,980,662	92,003,153	
Net Change	(42,531,952)	(16,490,539)	(32,980,662)	(92,003,153)	
Indebtedness at the end of the financial year					
i) Principal Amount	184,867,923	126,035,445	493,482,803	804,386,171	
ii) Interest due but not paid	-	-	-	-	
iii) Interest accrued but not due	-	-	-	-	
Total (i+ii+iii)	184,867,923	126,035,445	493,482,803	804,386,171	

Note: Element of interest as is dependent on sanction of scheme by the Honble High Court of Delhi, hence could not be ascertained and shown above

VI. REMUNERATION OF DIRECTORS AND KEY MANAGERIAL PERSONNEL

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

S. No.	Particulars of Remuneration	Name of MD/WTD/ Manager	Total Amount (Rupees)
	Designation	Whole-time Director	
	Name	Shantanu Deveshwar	
1	Gross salary*		

	(a) Salary as per provisions contained in section 17(1) of the Income-tax Act, 1961	483,004.00	483,004.00
	(b) Value of perquisites u/s 17(2) Income-tax Act, 1961	-	0
	(c) Profits in lieu of salary under section 17(3) Income- tax Act, 1961	-	0
2	Stock Option	-	0
3	Sweat Equity	-	0
4	Commission	-	0
	- as % of profit	-	0
	- others, specify	-	0
5	Others, please specify	-	0
	Total (A)	483,004.00	483004
	Ceiling as per the Act	-	-

* Salary includes Rs 1,37,092/- for the previous period paid during the year

B. Remuneration to other Directors

S. No.	Particulars of Remuneration	Name of Directors			Total Amount (Rupees)
1	Independent Directors	Ms. Rajni Gupta	Ms. Richa Kalra	Ms. Damanpreet Kaur	
	Fee for attending board committee meetings	-	-	-	
	Commission	-	-	-	
	Others, please specify	-	-	-	
	Total (1)	-	-	-	
2	Other Non-Executive Directors	-	-	-	
	Fee for attending board committee meetings	-	-	-	
	Commission	-	-	-	
	Others, please specify	-	-	-	
	Total (2)	-	-	-	
	Total (B)=(1+2)	-	-	-	
	Total Managerial Remuneration	-	-	-	
	Overall Ceiling as per the Act	-	-	-	

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

S. No.	Particulars of Remuneration	Name of Key Managerial Personnel		Total Amount (Rupees)
		CFO & CS		
	Designation	Ms. Priya Sharma (resigned w.e.f. 10/06/2019)	Ms. Somali Tiwari (appointed w.e.f. 18/07/2019)	
1	Gross salary	62,533	314883	377,416
	(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	62,533	314883	377,416

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					
Penalty			Nil		
Punishment			Nil		
Compounding	u/s 203&203(5)	Non appointment of Co. Secretary	Rs 2,00,000/-	Regional Director -Northren Region	No
	u/s 149(4)178	Non appointment of independent director in remuneration Committee	Rs 2,00,000/-	Regional Director -Northren Region	No
	u/s 149	Non appointment of women director	Rs 2,00,000/-	Regional Director -Northren Region	No
B. DIRECTORS					
Penalty			NIL		
Punishment			Nil		
Compounding	u/s 203&203(5)	Non appointment of Co. Secretary	Mr Surender Kumar Rs 2,00,000/- Mr. Om Prakash Rs 2,00,000/- Ms Richa Kalara Rs 50,000/- Mr Sehdev Shori Rs 50,000/-	Regional Director -Northren Region	No
	u/s 149(4)178	Non appointment of independent director in remuneration Committee	Mr Surender Kumar Rs 40,000/-	Regional Director -Northren Region	No
	u/s 149	Non appointment of women director	Mr Surender Kumar Rs 2,00,000/-	Regional Director -Northren Region	No
C. OFFICER IN DEFAULT					
Penalty			Nil		
Punishment			Nil		
Compounding			Nil		

**For and on Behalf of the Board of Directors
For DCM Financial Services Limited**

**Shantanu Deveshwar
Whole Time Director
DIN: 08268523**

**Richa Kalra
DIN: 07632571**

Director

**Date: 11.11.2020
Place: Delhi**