

# 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]



सत्यमेव जयते

# 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

U65921UP1995PTC035286

Pre-fill

Global Location Number (GLN) of the company

\* Permanent Account Number (PAN) of the company

AAECS9853J

(ii) (a) Name of the company

SONATA FINANCE PRIVATE LIM

(b) Registered office address

II FLOOR, CP. 1, PG. TOWERS,  
KURSI ROAD, VIKAS NAGAR  
LUCKNOW  
Lucknow  
Uttar Pradesh  
226026

(c) \*e-mail ID of the company

cs@sonataindia.com

(d) \*Telephone number with STD code

05222334900

(e) Website

www.sonataindia.com

(iii) Date of Incorporation

06/04/1995

(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

## 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	K8	Other financial activities	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				

## 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	40,000,000	26,453,256	26,453,256	26,453,256
Total amount of equity shares (in Rupees)	400,000,000	264,532,560	264,532,560	264,532,560

Number of classes

Class of Shares	Authorised capital	Issued capital	Subscribed capital	Paid up capital
Equity shares				
Number of equity shares	40,000,000	26,453,256	26,453,256	26,453,256

Nominal value per share (in rupees)	10	10	10	10
Total amount of equity shares (in rupees)	400,000,000	264,532,560	264,532,560	264,532,560

**(b) Preference share capital**

Particulars	Authorised capital	Issued capital	Subscribed capital	Paid-up capital
Total number of preference shares	10,000,000	0	0	0
Total amount of preference shares (in rupees)	100,000,000	0	0	0

Number of classes

1

Class of shares	Authorised capital	Issued capital	Subscribed capital	Paid up capital
Preference Shares				
Number of preference shares	10,000,000	0	0	0
Nominal value per share (in rupees)	10	10	10	10
Total amount of preference shares (in rupees)	100,000,000	0	0	0

**(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			
<b>Equity shares</b>						
<b>At the beginning of the year</b>	11,976,144	14,477,112	26453256	264,532,560	264,532,560	
<b>Increase during the year</b>	0	0	0	41,222,990	41,222,990	0
i. Public Issues	0	0	0	0	0	0
ii. Rights issue	0	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	
vi. Sweat equity shares allotted	0	0	0	0	0	0
vii. Conversion of Preference share	0	0	0	0	0	0

viii. Conversion of Debentures	0	0	0	0	0	0
ix. GDRs/ADRs	0	0	0	0	0	0
x. Others, specify						
Shares Dematerialised during the year				41,222,990	41,222,990	
<b>Decrease during the year</b>	0	0	0	41,222,990	41,222,990	0
i. Buy-back of shares	0	0	0	0	0	0
ii. Shares forfeited	0	0	0	0	0	
iii. Reduction of share capital	0	0	0	0	0	
iv. Others, specify						
Shares Dematerialised during the year				41,222,990	41,222,990	
<b>At the end of the year</b>	11,976,144	14,477,112	26453256	264,532,560	264,532,560	
<b>Preference shares</b>						
<b>At the beginning of the year</b>	0	0	0	0	0	
<b>Increase during the year</b>	0	0	0	0	0	0
i. Issues of shares	0	0	0	0	0	0
ii. Re-issue of forfeited shares	0	0	0	0	0	0
iii. Others, specify						
0				0	0	
<b>Decrease during the year</b>	0	0	0	0	0	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						
0				0	0	
<b>At the end of the year</b>	0	0	0	0	0	

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/Debentures 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"/>	
Date of registration of transfer (Date Month Year)		<input type="text"/>	
Type of transfer	<input type="text"/>	1 - Equity, 2- Preference Shares,3 - Debentures, 4 - Stock	
Number of Shares/ Debentures/ Units Transferred	<input type="text"/>	Amount per Share/ Debenture/Unit (in Rs.)	<input type="text"/>
Ledger Folio of Transferor		<input type="text"/>	
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
Date of registration of transfer (Date Month Year) <input type="text"/>			
Type of transfer	<input type="text"/>	1 - Equity, 2- Preference Shares,3 - Debentures, 4 - Stock	
Number of Shares/ Debentures/ Units Transferred	<input type="text"/>	Amount per Share/ Debenture/Unit (in Rs.)	<input type="text"/>
Ledger Folio of Transferor <input type="text"/>			
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	4,769	1000000/500000	4,279,000,000
Partly convertible debentures	0	0	0
Fully convertible debentures	0	0	0
<b>Total</b>			4,279,000,000

**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	2,944,000,000	2,400,000,000	1,065,000,000	4,279,000,000
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					

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

(i) Turnover

2,975,367,376.5

(ii) Net worth of the Company

2,988,034,041.82

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	1,877,610	7.1	0	
	(ii) Non-resident Indian (NRI)	0	0	0	
	(iii) Foreign national (other than NRI)	0	0	0	
2.	Government				
	(i) Central Government	0	0	0	
	(ii) State Government	0	0	0	
	(iii) Government companies	0	0	0	
3.	Insurance companies	0	0	0	
4.	Banks	0	0	0	
5.	Financial institutions	0	0	0	

6.	Foreign institutional investors	0	0	0	
7.	Mutual funds	0	0	0	
8.	Venture capital	0	0	0	
9.	Body corporate (not mentioned above)	0	0	0	
10.	Others	0	0	0	
	<b>Total</b>	1,877,610	7.1	0	0

Total number of shareholders (promoters)

1

**(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	1,217,142	4.6	0	
	(ii) Non-resident Indian (NRI)	0	0	0	
	(iii) Foreign national (other than NRI)	0	0	0	
2.	Government				
	(i) Central Government	0	0	0	
	(ii) State Government	0	0	0	
	(iii) Government companies	0	0	0	
3.	Insurance companies	0	0	0	
4.	Banks	0	0	0	
5.	Financial institutions	4,684,227	17.71	0	
6.	Foreign institutional investors	3,890,700	14.71	0	
7.	Mutual funds	0	0	0	
8.	Venture capital	0	0	0	
9.	Body corporate (not mentioned above)	8,390,808	31.72	0	
10.	Others Trust and Partnership	6,392,769	24.17	0	



	<b>Total</b>	24,575,646	92.91	0	0
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Total number of shareholders (other than promoters)

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

(c) \*Details of Foreign institutional investors' (FIIs) holding shares of the company

Name of the FII	Address	Date of Incorporation	Country of Incorporation	Number of shares held	% of shares held
India Financial Inclusion	ES CASCADES, EDITH CAVELL STREET	18/07/2008	MU	1,480,634	5.6
Michael & Susan Dell Foundation	4417 Westlake Drive, Austin, TX 78746	20/12/1999	US	918,945	3.47
Creation Investments	2711, Centerville Road, Suite 400, N. Charleston, SC 29505	01/01/2008	US	1,491,121	5.64

**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	1	1
Members (other than promoters)	55	58
Debenture holders	11	17

**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
<b>A. Promoter</b>	1	0	1	0	7.1	0
<b>B. Non-Promoter</b>	0	3	0	3	0	0
(i) Non-Independent	0	0	0	0	0	0
(ii) Independent	0	3	0	3	0	0
<b>C. Nominee Directors representing</b>	0	6	0	5	0	0
(i) Banks & FIs	0	2	0	1	0	0
(ii) Investing institutions	0	4	0	4	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	1	9	1	8	7.1	0

Number of Directors and Key managerial personnel (who is not director) as on the financial year end date 11

**(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)
ANUP KUMAR SINGH	00173413	Managing Director	1,877,610	
RANGANATHAN VARA	01060651	Nominee director	0	
ANAL KUMAR JAIN	01239653	Director	0	
SETHURAMAN GANES	07152185	Director	0	
PRADIP KUMAR SAHA	02947368	Director	0	
KENNETH DAN VANDE	02545813	Director	0	12/11/2022
SANJAY GOYAL	07961517	Nominee director	0	26/08/2022
ADITYA MOHAN	08299455	Nominee director	0	21/09/2022
SAURABH JOHRI	08469704	Nominee director	0	
AKHILESH KUMAR SIM	BFLPS4623C	CFO	0	
PAURVI SRIVASTAVA	DSGPS0523H	Company Secretar	0	

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

1

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)
BENOIT MARIE LUC M	07971713	Nominee director	07/12/2021	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

3

Type of meeting	Date of meeting	Total Number of Members entitled to attend meeting	Attendance	
			Number of members attended	% of total shareholding
Extraordinary General Meet	29/06/2021	56	17	50.38
Annual General Meeting	30/09/2021	56	5	37.85
Extraordinary General Meet	17/02/2022	57	12	34.92

#### B. BOARD MEETINGS

\*Number of meetings held

4

S. No.	Date of meeting	Total Number of directors associated as on the date of meeting	Attendance	
			Number of directors attended	% of attendance
1	29/06/2021	10	10	100
2	28/09/2021	10	9	90
3	13/11/2021	10	9	90
4	14/02/2022	9	7	77.78

#### 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 30/09/2022 (Y/N/NA)
		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	ANUP KUMAR	4	4	100	7	7	100	Yes
2	RANGANATH	4	4	100	4	4	100	No
3	ANAL KUMAR	4	4	100	8	8	100	No

4	SETHURAMA	4	4	100	10	10	100	Yes
5	PRADIP KUM.	4	4	100	12	12	100	Yes
6	KENNETH DA	4	3	75	2	1	50	No
7	SANJAY GOY	4	1	25	3	0	0	No
8	ADITYA MOH.	4	4	100	3	3	100	No
9	SAURABH JO	4	4	100	4	3	75	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

1

S. No.	Name	Designation	Gross Salary	Commission	Stock Option/ Sweat equity	Others	Total Amount
1	Anup Kumar Singh	Managing Direct	31,225,488.63	0	0	0	31,225,488.63
	Total		31,225,488.63	0	0	0	31,225,488.63

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

2

S. No.	Name	Designation	Gross Salary	Commission	Stock Option/ Sweat equity	Others	Total Amount
1	Akhilesh Kumar Sin	CFO	5,272,895	0	0	0	5,272,895
2	Paurvi Srivastava	Company Secre	930,205.9	0	0	0	930,205.9
	Total		6,203,100.9	0	0	0	6,203,100.9

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

Anil Kumar

Whether associate or fellow

Associate  Fellow

Certificate of practice number

5592

### I/We certify that:

- The return states the facts, as they stood on the date of the closure of the financial year aforesaid correctly and adequately.
- 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.
- 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.
- 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:

- 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.
- 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

Anup Kumar Singh  
Digitally signed by Anup Kumar Singh  
Date: 2022.11.28  
10:27:38 +05'30'

DIN of the director

00173413

To be digitally signed by

ANIL KUMAR  
Digitally signed by ANIL KUMAR  
Date: 2022.11.28  
11:20:16 +05'30'

Company Secretary

Company secretary in practice

Membership number

5693

Certificate of practice number

5592

#### 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 Shareholders and Debentureholders  
MGT-8.pdf  
Details of committee meeting.pdf  
Details of share transfer.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

**List of Shareholders**  
**(as on 31<sup>st</sup> March 2022)**

Sl.no	First Name	Middle Name	Last Name	Folio Number	DP-IDClient id Account Number	Number of Shares Held	Class of Shares
1.	Anup	Kumar	Singh	77	IN301151	15,08,357	Equity shares
					-	3,69,253 <i>(Physically held)</i>	
2.	Caspian	Advisors	Private Limited	78	IN303622	6,72,292	Equity shares
3.	Caspian	Impact Investments	Private Limited	80	IN303622	4,66,850	Equity shares
4.	Swaminathan	Shankar	Aiyar	81	IN301330	4,71,375	Equity shares
5.	Sonata	Employee	Welfare Trust	82	-	4,90,835 <i>(Physically held)</i>	Equity shares
6.	India Financial	Inclusion Fund	LLC	83	IN303622	14,80,634	Equity shares
7.	Michael	and Susan Dell	Foundation	84	IN303622	9,18,945	Equity shares
8.	Creation Investments	Social Ventures	Fund I	85	IN303622	14,91,121	Equity shares
9.	Creation Investments	Social Ventures	Fund II LP	86	IN303622	59,01,934	Equity shares
10.	SIDBI	Trustee Company	Limited	87	-	32,74,653	Equity shares
11	Ashish		Singh	88	IN301549	29,400	Equity shares
					-	17,600 <i>(Physically held)</i>	
12	Tarun	Kumar	Srivastava	89	INE509M01017	29,400	Equity shares
					-	17,600 <i>(Physically held)</i>	
13.	Anil	Kumar	Gupta	90	IN302236	29,900	Equity shares
					-	4500 <i>(Physically held)</i>	
14.	Bramhanand	-	-	91	IN301549	1,000	Equity shares
					-	50,822 <i>(Physically held)</i>	
15.	Dharmendra	Kumar	Singh	92	-	21,000 <i>(Physically held)</i>	Equity shares
16.	Vinod	-	Singh	93	IN301803	5,500	Equity shares
						7,100	

Sl.no	First Name	Middle Name	Last Name	Folio Number	DP-IDClient id Account Number	Number of Shares Held	Class of Shares
						(Physically held)	
17.	Vishwanath	Pratap	Singh	94	IN301803	20,300	Equity shares
18.	Jitendra	Kumar	Yadav	95	IN302236	16,481	Equity shares
					-	8,519 (Physically held)	
19.	Hansika	-	Thapliyal	96	-	8,000 (Physically held)	Equity shares
20.	Mohd. Saif	-	Khan	97	IN302236	29,250	Equity shares
					-	14,800 (Physically held)	
21.	Satya	Prakash	Yadav	98	IN301436	21,000	Equity shares
					-	3,000 (Physically held)	
22.	Vinay	Pratap	Singh	99	IN301436	28,000	Equity shares
					-	19,600 (Physically held)	
23.	Sanjeev	Kumar	Shukla	100	IN301803	19,500	Equity shares
					-	4,500 (Physically held)	
24.	Sanjay	Kumar	Singh	101	IN301803	27,500	Equity shares
25.	Manoj	Kumar	Singh	102	IN301436	19,600	Equity shares
					-	4,000 (Physically held)	
26.	Ashok	-	Kumar	103	IN301436	29,500	Equity shares
					-	4,500 (Physically held)	
27.	Rohit	-	Singh	104	IN303028	3,000	Equity shares
28.	Shyam	-	Kanhiya	105	IN301436	21,400	Equity shares
					-	13,000 (Physically held)	
29.	Sujeet	Kumar	Pathak	106	IN302236	10,000	Equity shares
					-	4,000 (Physically held)	
30.	Anil	Kumar	Singh	107	IN301436	20,200	Equity shares
					-	2,800 (Physically held)	
31.	Societe de Promotion	et de Participation pour	la Cooperation Economique SA (PROPARCO)	108	IN301524	6,20,642	Equity shares
					-	33,56,371 (Physically held)	





## SONATA Finance Private Limited

2<sup>nd</sup> Floor, CP-1, PG Towers, Kursi Road, Vikas Nagar,

Lucknow – 226026, Uttar Pradesh

CIN: U65921UP1995PTC035286

Contact No : 0522-4005729

Email: [info@sonataindia.com](mailto:info@sonataindia.com)

Website: [www.sonataindia.com](http://www.sonataindia.com)

Sl.no	First Name	Middle Name	Last Name	Folio Number	DP-IDClient id Account Number	Number of Shares Held	Class of Shares
32.	Triodos Custody B.V. acting in its capacity as custodian of Triodos Fair Share Fund	-	-	109	IN301799	3,10,322	Equity shares
					-	16,78,185 (Physically held)	
33.	Triodos SICAV II - Triodos Microfinance Fund	-	-	110	IN301524	3,10,321	Equity shares
					-	16,78,185 (Physically held)	
34.	Lakshman	-	Singh	112	IN301436	15,000	Equity shares
					-	3,000 (Physically held)	
35.	Kunvar	Digvijay	Singh	113	IN301436	6,700	Equity shares
36.	Rakesh	Kumar	Chaudhary	114	IN301436	10,500	Equity shares
					-	1500 (Physically held)	
37.	RajKapoor	-	Chaudhary	115	IN301803	11,500	Equity shares
					-	500 (Physically held)	
38.	Anshuman	-	Tiwari	116	IN301803	6,500	Equity shares
					-	3,500 (Physically held)	
39.	Mukesh	Kumar	Verma	117	IN301436	5,700	Equity shares
40.	Amit	Kumar	Singh	118	IN301803	4,500	Equity shares
					-	1,500 (Physically held)	
41.	Poonam	-	Soni	119	IN301436	10,200	Equity shares
42.	Vinod	Kumar	Singh	120	INE509M	4,500	Equity



## SONATA Finance Private Limited

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Sl.no	First Name	Middle Name	Last Name	Folio Number	DP-IDClient id Account Number	Number of Shares Held	Class of Shares
					01017		shares
43.	Umesh	Chandra	Dwivedi	121	IN301803	5,000	Equity shares
44.	Shashi	Bhushan	Singh	122	-	8,000 (Physically held)	Equity shares
45.	Chandra	Shekhar	Prajapati	123	IN301436	1,500	Equity shares
					-	500 (Physically held)	
46.	Sandeep	Kumar	Singh	124	IN301436	6,600	Equity shares
					-	2,000 (Physically held)	
47.	Richa	-	Sharma	125	-	25,000 (Physically held)	Equity shares
48.	Hari	-	Mohan	126	IN301436	4,520	Equity Shares
49.	Ravindra	Pratap	Singh	127	IN301549	500	Equity Shares
50.	Rajnath	-	Yadav	128	IN301549	3900	Equity Shares
					-	2,000 (Physically held)	
51.	Brijbihari	-	Singh	129	IN301803	5200	Equity Shares
					-	6,500 (Physically held)	
52.	Suresh	Kumar	Singh	130	IN301549	1,500	Equity Shares
53.	Narendra	-	Patel	131	-	375 (Physically held)	Equity Shares
54.	Mithun	-	Bose	132	-	6,000 (Physically held)	Equity Shares
55.	Jeetendra	Kumar	Yadav	133	-	500 (Physically held)	Equity Shares
56.	Micro Units Development	& Refinance Agency	Limited	135	IN300870	7,07,214	Equity Shares
57.	Sunil	Kumar	Gupta	136	-	6,800 (Physically held)	Equity Shares
58.	Dinesh	Kumar	Singh	137	-	7,000 (Physically held)	Equity Shares
59.	Niraj	Pratap	Singh	138	-	1000 (Physically held)	Equity Shares
<b>TOTAL</b>						<b>2,64,53,256</b>	

For Sonata Finance Private Limited

  
Paurvi Shivastava  
Company Secretary  
ICSI Membership No. A34110  
2D/1/305, Madhwapur, Allahabad-211003

Regd. Office: II Floor, CP-1, PG Towers, Kursi Road, Vikas Nagar, Lucknow - 226026, Uttar Pradesh India

**List of Debenture holders**

 (as on 31<sup>st</sup> March 2022)

Sl.no	First Name	Middle Name	Last Name	Reference Number (Folio No.)	Number of debentures	Total amount of debentures (Rs.)
1.	IFMR FIMPACT Investment Fund	-		8	150	15,00,00,000.00
2.	IFMR Flmpact Long term Multi Asset Class Fund	-		11	150	15,00,00,000.00
3.	IFMR Flmpact Long term Multi Asset Class Fund	-		11	100	10,00,00,000.00
4.	Japan Asean Women's Empowerment Fund	-	-	13	780	39,00,00,000.00
5.	IFMR Flmpact Medium Term Opportunities Fund	-	-	14	200	20,00,00,000.00
6.	Stichting Juridisch Eigenaar Actiam Institutional Microfinance Fund Iii Acting As Legal Owner Of Actiam Financial Inclusion Fund VRR	-	-	15	210	21,00,00,000.00
7.	Global Access Fund LP (Formerly Watercredit Investment Fund 1, LLC)	-	-	16	159	15,90,00,000.00
8.	Punjab National Bank	-	-	18	100	10,00,00,000.00
9.	Japan Asean			19	220	22,00,00,000.00



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	Women Empowerment Fund					
10.	Microfinance Initiative For Asia (MIFA) Debt Fund SA, SICAV-SIF	-	-	20	300	30,00,00,000.00
11.	Northern Arc Income Builder Trust (Series II)	-	-	21	250	25,00,00,000.00
12.	Northern Arc Money Market Trust with Northern Arc Money Market Alpha	-	-	22	200	10,00,00,000.00
13.	BlueOrchard Microfinance Fund	-	-	23	400	40,00,00,000.00
14.	JAPAN ASEAN Women Empowerment Fund SA, SICAV-SIF	-	-	24	400	40,00,00,000.00
15.	BlueOrchard Microfinance Fund	-	-	25	400	40,00,00,000.00
16.	DWM Income Funds S C A SICAV SIF - The Trill Impact-Dwm Sdgs Credit Fund	-	-	26	375	37,50,00,000.00
17.	Northern Arc Capital Limited	-	-	27	375	37,50,00,000.00
	<b>TOTAL</b>				<b>4,769</b>	<b>4,27,90,00,000.00</b>

For Sonata Finance Private Limited

  
Paurvi Srivastava  
Company Secretary  
ICSI Membership No. A34110  
2D/1/305, Madhwapur, Allahabad-211003

**SONATA Finance Private Limited**2<sup>nd</sup> Floor, CP-1, PG Towers, Kursi Road, Vikas Nagar,

Lucknow – 226026, Uttar Pradesh

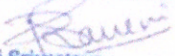
CIN: U65921UP1995PTC035286

Contact No : 0522-4005729

Email: [info@sonataindia.com](mailto:info@sonataindia.com)Website: [www.sonataindia.com](http://www.sonataindia.com)**Details of Committee Meeting of M/s Sonata Finance Private Limited for the FY 2021-22**

S.No.	Type of Meeting	Date of Meeting	Total number of members as on date of Meeting	Attendance	
				Number of members attended	% of attendance
1	Audit Committee	28-06-2021	5	5	100.00%
2	Audit Committee	27-09-2021	5	5	100.00%
3	Audit Committee	13-11-2021	5	5	100.00%
4	Audit Committee	13-02-2022	5	4	80.00%
5	Remuneration and Nomination Committee	28-06-2021	4	4	80.00%
6	Remuneration and Nomination Committee	14-02-2022	4	3	75.00%
7	Corporate Social Responsibility Committee	28-06-2021	4	3	75.00%
8	Corporate Social Responsibility Committee	10-11-2021	4	3	75.00%
9	Corporate Social Responsibility Committee	13-02-2022	4	3	75.00%
10	Risk Management Committee	28-09-2021	6	6	100.00%
11	Risk Management Committee	10-11-2021	6	5	83.33%
12	Risk Management Committee	13-02-2022	6	6	100.00%
13	IT Strategy Committee	27-09-2021	5	5	100.00%
14	IT Strategy Committee	13-02-2022	5	5	100.00%

For Sonata Finance Private Limited

  
Paurvi Srivastava  
Company Secretary  
ICSI Membership No. A34110  
2D/1/305, Madhwapur, Allahabad-211003

**DETAILS OF TRANSFER OF SHARES DURING FY 2021-22**

S. No.	Type of Transfer	Name of Transferor	Folio Number of Transferor	Name of Transferee	Folio Number of Transferee	Total Number of shares	Date of Transfer	Total Consideration (in Rs.)
1	Equity Shares	Sonata Employee Welfare Trust	82	Anup Kumar Singh	77	1,42,000	28-09-2021	95,14,000
2	Equity Shares	Swaminathan Shankar Aiyer	81	Shahnaz Memorial Trust	134	4,71,375	28-09-2021	Demat transfer
3	Equity Shares	Small Industries Development Bank of India (SIDBI)	111	Micro Units Development & Refinance Agency Limited (MUDRA)	135	7,07,214	28-09-2021	Demat transfer
4	Equity Shares	Sonata Employee Welfare Trust	82	Anup Kumar Singh	77	2,20,000	14-02-2022	1,47,40,000
5	Equity Shares	Sonata Employee Welfare Trust	82	Bramhanand	91	47,400	14-02-2022	23,46,400
6	Equity Shares	Sonata Employee Welfare Trust	82	Ashish Singh	88	16,100	14-02-2022	5,62,100
7	Equity Shares	Sonata Employee Welfare Trust	82	Manoj Kumar Singh	102	4,000	14-02-2022	2,68,000
8	Equity Shares	Sonata Employee Welfare Trust	82	Amit Kumar Singh	118	1,500	14-02-2022	1,00,500
9	Equity Shares	Sonata Employee Welfare Trust	82	Ashok Kumar	103	4,500	14-02-2022	3,01,500
10	Equity Shares	Sonata Employee Welfare Trust	82	Anshuman Tiwari	116	3,500	14-02-2022	2,34,500

11	Equity Shares	Sonata Employee Welfare Trust	82	Raj Kapoor Chaudhary	115	500	14-02-2022	33,500
12	Equity Shares	Sonata Employee Welfare Trust	82	Anil Kumar Singh	107	2,800	14-02-2022	1,87,600
13.	Equity Shares	Sonata Employee Welfare Trust	82	Sandeep Kumar Singh	124	2,000	14-02-2022	1,34,000
14.	Equity Shares	Sonata Employee Welfare Trust	82	Lakshman Singh	112	3,000	14-02-2022	2,01,000
15.	Equity Shares	Sonata Employee Welfare Trust	82	Hansika Thapliyal	96	2,000	14-02-2022	1,08,000
16.	Equity Shares	Sonata Employee Welfare Trust	82	Sunil Kumar Gupta	136	6,800	14-02-2022	2,98,800
17.	Equity Shares	Sonata Employee Welfare Trust	82	Shashi Bhushan Singh	122	2,000	14-02-2022	1,34,000
18.	Equity Shares	Sonata Employee Welfare Trust	82	Anil Kumar Gupta	90	4,500	14-02-2022	3,01,500
19.	Equity Shares	Sonata Employee Welfare Trust	82	Rakesh Chaudhary	114	1,500	14-02-2022	1,00,500
20.	Equity Shares	Sonata Employee Welfare Trust	82	Sanjeev Kumar Shukla	100	4,500	14-02-2022	3,01,500
21.	Equity Shares	Sonata Employee Welfare Trust	82	Chandra Shekhar Prajapati	123	500	14-02-2022	33,500
22.	Equity Shares	Sonata Employee Welfare Trust	82	Dharmendra Kumar Singh	92	3,000	14-02-2022	2,01,000



## SONATA Finance Private Limited

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23.	Equity Shares	Sonata Employee Welfare Trust	82	Vinay Pratap Singh	99	14,700	14-02-2022	4,68,300
24.	Equity Shares	Sonata Employee Welfare Trust	82	Mohd. Saif Khan	97	14,800	14-02-2022	5,89,800
25.	Equity Shares	Sonata Employee Welfare Trust	82	Anup Kumar Singh	77	1,49,253	22-03-2022	99,99,951
26.	Equity Shares	Sonata Employee Welfare Trust	82	Bramhanand	91	3,422	22-03-2022	2,01,898
27.	Equity Shares	Sonata Employee Welfare Trust	82	Ashish Singh	88	1,500	22-03-2022	1,00,500
28.	Equity Shares	Sonata Employee Welfare Trust	82	Hansika Thapliyal	96	3,000	22-03-2022	1,77,000
29.	Equity Shares	Sonata Employee Welfare Trust	82	Vinay Pratap Singh	99	4,900	22-03-2022	3,28,300
30.	Equity Shares	Sonata Employee Welfare Trust	82	Dinesh Kumar Singh	137	7,000	22-03-2022	4,27,000
31.	Equity Shares	Sonata Employee Welfare Trust	82	Satya Prakash Yadav	98	3,000	22-03-2022	2,01,000
32.	Equity Shares	Sonata Employee Welfare Trust	82	Niraj Pratap Singh	138	1,000	22-03-2022	67,000
33.	Equity Shares	Sonata Employee Welfare Trust	82	Rajnath Yadav	128	2,000	22-03-2022	1,21,000
34.	Equity Shares	Sonata Employee Welfare Trust	82	Richa Sharma	125	5,000	22-03-2022	3,35,000





## SONATA Finance Private Limited

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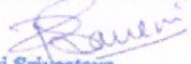
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35.	Equity Shares	Sonata Employee Welfare Trust	82	Brijbihari Singh	129	6,500	22-03-2022	4,10,500
36.	Equity Shares	Sonata Employee Welfare Trust	82	Tarun Kumar Srivastava	89	17,600	22-03-2022	6,62,600
37.	Equity Shares	Sonata Employee Welfare Trust	82	Sujeet Kumar Pathak	106	4,000	22-03-2022	2,68,000
38.	Equity Shares	Sonata Employee Welfare Trust	82	Mithun Bose	132	3,000	22-03-2022	1,62,000
39.	Equity Shares	Sonata Employee Welfare Trust	82	Jitendra Kumar Yadav	95	8,519	22-03-2022	5,66,621
40.	Equity Shares	Sonata Employee Welfare Trust	82	Shyam Kanhaiya	105	13,000	22-03-2022	8,71,000
41.	Equity Shares	Shahnaz Memorial Trust	134	Swaminathan Shankar Aiyer	81	4,71,375	25-03-2022	Demat transfer
<b>Total</b>						<b>14,41,508</b>		<b>4,60,59,370</b>

For Sonata Finance Private Limited

  
Paurvi Srivastava  
Company Secretary  
ICSI Membership No. A34110  
2D/1/305, Madhwapur, Allahabad-211003

**CERTIFICATE BY A COMPANY SECRETARY IN PRACTICE**

**FORM NO. MGT-8**

**[Pursuant to section 92(2) of the Companies Act, 2013 and rule 11(2) of Companies (Management and Administration) Rules, 2014]**

I have examined the registers, records and books and papers of **Sonata Finance Private Limited** (the Company) (CIN-U65921UP1995PTC035286) as required to be maintained under the Companies Act, 2013 (the Act) and the rules made there under for the financial year ended on 31<sup>st</sup> March 2022. In my opinion and to the best of my information and according to the examinations carried out by me and explanations furnished to me by the company, its officers and agents, I certify that:

- A. The Annual Return states the facts as at the close of the aforesaid financial year correctly and adequately.
- B. During the aforesaid financial year the Company has complied with provisions of the Act & Rules made there under in respect of:

**1. Its status under the Act;**

a) The Company is a Private Limited Company, Limited by Shares registered under Companies Act, 1956 and has adhered to the provisions of applicable laws to maintain active status under the Act.

b) The Authorized Capital of Company as on 31<sup>st</sup> March 2022 is Rs. 50,00,00,000/- (Rupees Fifty Crores) comprising of 4,00,00,000 Equity Shares of Rs. 10/- each and 1,00,00,000 Preference Shares of Rs. 10/- Each and paid-up capital of the Company is Rs. 26,45,32,560/- (Rupees Twenty-Six Crore Forty-Five Lacs Thirty-Two Thousand Five Hundred and Sixty only) comprising of 2,64,53,256 Equity Shares of Rs. 10/- each.

c) The Company, being a Private Limited Company, has 59 Members (Equity shareholders) as on 31<sup>st</sup> March 2022.

**2. Maintenance of registers/records & making entries therein within the time prescribed therefore;**

The Company has properly maintained all the Statutory Registers/records in compliance with the provisions of the Act and made the entries therein within the prescribed time.



**3. Filing of forms and returns as stated in the annual return, with the Registrar of Companies, Regional Director, Central Government, the Tribunal, Court or other authorities within/beyond the prescribed time;**

The Company has filed the requisite forms and returns with the Registrar of Companies, Regional Directors and Central Government generally within the prescribed time and in case of delay if any, the same has been filed with the payment of prescribed additional fee.

**4. Calling/ convening/ holding meetings of Board of Directors or its committees, if any, and the meetings of the members of the company on due dates as stated in the annual return in respect of which meetings, proper notices were given and the proceedings including the circular resolutions and resolutions passed by postal ballot, if any, have been properly recorded in the Minute Book/registers maintained for the purpose and the same have been signed:**

a) During the year the Board of Directors duly met Four (4) times on (i) 29/06/2021 (ii) 28/09/2021 (iii) 13/11/2021 and (iv) 14/02/2022.

b) Annual General Meeting of the Members of the Company was held on 30/09/2021.

c) During the year Extraordinary General Meetings of the Members of the Company were held on 29/06/2021 and 17/02/2022.

d) During the year four Audit Committee Meetings were held viz. on (i) 28/06/2021 (ii) 27/09/2021 (iii) 13/11/2021 and (iv) 13/02/2022.

e) During the year two meetings of Remuneration and Nomination Committee were held viz on (i) 28/06/2021 and (ii) 14/02/2022.

f) During the year three CSR Committee Meetings were held on 28/06/2021; 10/11/2021 and 13/02/2022.

g) During the year three Risk Management Committee Meetings were held on 28/09/2021; 10/11/2021 and 13/02/2022.

h) During the year two IT Strategy Committee Meetings were held on 27/09/2021 and 13/02/2022.

i) During the year one Independent Director's Meeting was held on 28/06/2021.

Proper notices for calling / convening the meetings as aforesaid were issued and further the resolutions which were passed through circulation during the Financial year has been recorded in the Minute Book which are duly signed.



**5. Closure of Register of Members / Security holders, as the case may be:**

The Company has not closed its Register of Members and Share Transfer Book during the year under review.

**6. Advances/loans to its directors and/or persons or firms or companies referred in section 185 of the Act:**

The Company has not given any advances/loans to its directors and / or persons or firms or companies referred in section 185 of the Act during the financial year ended on 31<sup>st</sup> March 2022.

**7. Contracts/arrangements with related parties as specified in section 188 of the Act:**

As on 31<sup>st</sup> March, 2022 following material contracts or arrangements or transactions were entered with the related parties, at arm's length basis:

Name of the Related Party & Nature of Relationship	Nature of contracts/ arrangements/ transactions	Duration of the contracts / arrangements/ transactions	Salient terms of the contracts or arrangements or transactions including the value	Date(s) of approval by the Board/ Audit Committee	Amount paid as advances
Vivriti Capital Private Limited  (Mr. Kenneth Dan Vander Weele, being common director on the board of Vivriti Capital Private Limited and Sonata Finance Private Limited)	In the Ordinary Course of Business	24 months	Term Loan Facility of Rs. 15,00,00,000 /-(Rupees Fifteen Crores Only)  Interest rate : 14.5% p.a  Processing Fees: 1%  Security: Exclusive charge by way of hypothecation on receivables of at least 1.1x at all times during the currency of the facility.	Passed through circular resolution dated 21 <sup>st</sup> March 2020 and taken note in the Audit Committee Meeting held on 25 <sup>th</sup> June, 2020.	Nil
Vivriti Capital Private Limited  (Mr. Kenneth Dan Vander Weele, being common director on the board of Vivriti Capital Private Limited and Sonata Finance Private Limited)	In the Ordinary Course of Business	24 months	Term Loan Facility of Rs. 13,00,00,000 /- (Rupees Thirteen Crores Only)  Interest rate: 13.75% p.a  Processing Fees: 1%  Primary Security: Exclusive charge by way of hypothecation upto 1.1x on identified receivables from assets created out of the loan amount.  Cash Collateral: In the form of fixed	Passed through circular resolution dated 03rd February, 2021 and taken note in the Audit Committee Meeting held on 23rd February, 2021.	Nil

			<p>deposit for an amount equivalent to (i) 5% (five percent) of the aggregate loan amount outstanding at the time of occurrence of the Rating Downgrade Event, in case of occurrence of the First Rating Downgrade Event; and</p> <p>(ii) 10% (ten percent) of the aggregate loan amount outstanding at the time of occurrence of the Rating Downgrade Event, in case of occurrence of the Second Rating Downgrade Event with a scheduled commercial bank as acceptable to the lender</p>		
<p>Vivriti Capital Private Limited</p> <p><i>(Mr. Kenneth Dan Vander Weele, being common director on the board of Vivriti Capital Private Limited and Sonata Finance Private Limited)</i></p>	In the Ordinary Course of Business	24 months	<p>Term Loan Facility of Rs. 13,00,00,000/- (Rupees Thirteen Crores Only).</p> <p>Interest rate: 12.75% p.a</p> <p>Processing Fees: 1%</p> <p>Primary Security: Exclusive charge by way of hypothecation on certain identified receivables from assets created by the Company from the Facility availed from the Lender of 1.10x of the value of outstanding due amounts, at all times during the currency of the facility.</p> <p>Cash Collateral: In the form of fixed deposit for an amount equivalent to (i) 5% (five percent) of the aggregate loan amount outstanding at the time of occurrence of the Rating Downgrade Event, in case of occurrence of the First Rating Downgrade Event; and (ii) 10% (ten percent) of the aggregate loan amount outstanding at the time of occurrence of the Rating Downgrade Event, in case of occurrence of the Second Rating Downgrade Event with a</p>	Audit Committee Meeting held on 27th September, 2021.	Nil



			scheduled commercial bank as acceptable to the lender		
Vivriti Capital Private Limited  <i>(Mr. Kenneth Dan Vander Weele, being common director on the board of Vivriti Capital Private Limited and Sonata Finance Private Limited)</i>	In the Ordinary Course of Business	24 months	Term Loan Facility of Rs. 10,00,00,000 /- (Rupees Ten Crores Only)  Interest rate: 12.75% p.a  Processing Fees: 1%  Primary Security: Exclusive charge by way of hypothecation on certain identified receivables from assets created by the Company from the Facility availed from the Lender of at least 1.10x at all times during the currency of the facility.  Cash Collateral: In the form of fixed deposit for an amount equivalent to (i) 5% (five percent) of the aggregate loan amount outstanding at the time of occurrence of the Rating Downgrade Event, in case of occurrence of the First Rating Downgrade Event; and (ii) 10% (ten percent) of the aggregate loan amount outstanding at the time of occurrence of the Rating Downgrade Event, in case of occurrence of the Second Rating Downgrade Event with a scheduled commercial bank as acceptable to the lender.	Passed through circular resolution dated February 28, 2022 and taken note in the Audit Committee Meeting held on May 26, 2022	Nil

**8. Issue or allotment or transfer or transmission or buy back of securities/ redemption of preference shares or debentures/ alteration or reduction of share capital/ conversion of shares/ securities and issue of security certificates in all instances:**

Details of Transfer of Equity Shares during FY 2021-22 are as under:

S. No.	Type of Transfer	Name of Transferor	Folio Number of Transferor	Name of Transferee	Folio Number of Transferee	Total Number of shares	Date of Transfer	Total Consideration (in Rs.)
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1	Equity Shares	Sonata Employee Welfare Trust	82	Anup Kumar Singh	77	1,42,000	28-09-2021	95,14,000
2	Equity Shares	Swaminathan Shankar Aiyer	81	Shahnaz Memorial Trust	134	4,71,375	28-09-2021	Demat transfer
3	Equity Shares	Small Industries Development Bank of India (SIDBI)	111	Micro Units Development & Refinance Agency Limited (MUDRA)	135	7,07,214	28-09-2021	Demat transfer
4	Equity Shares	Sonata Employee Welfare Trust	82	Anup Kumar Singh	77	2,20,000	14-02-2022	1,47,40,000
5	Equity Shares	Sonata Employee Welfare Trust	82	Bramhanand	91	47,400	14-02-2022	23,46,400
6	Equity Shares	Sonata Employee Welfare Trust	82	Ashish Singh	88	16,100	14-02-2022	5,62,100
7	Equity Shares	Sonata Employee Welfare Trust	82	Manoj Kumar Singh	102	4,000	14-02-2022	2,68,000
8	Equity Shares	Sonata Employee Welfare Trust	82	Amit Kumar Singh	118	1,500	14-02-2022	1,00,500
9	Equity Shares	Sonata Employee Welfare Trust	82	Ashok Kumar	103	4,500	14-02-2022	3,01,500
10	Equity Shares	Sonata Employee Welfare Trust	82	Anshuman Tiwari	116	3,500	14-02-2022	2,34,500
11	Equity Shares	Sonata Employee Welfare Trust	82	Raj Kapoor Chaudhary	115	500	14-02-2022	33,500
12	Equity Shares	Sonata Employee Welfare Trust	82	Anil Kumar Singh	107	2,800	14-02-2022	1,87,600

13.	Equity Shares	Sonata Employee Welfare Trust	82	Sandeep Kumar Singh	124	2,000	14-02-2022	1,34,000
14.	Equity Shares	Sonata Employee Welfare Trust	82	Lakshman Singh	112	3,000	14-02-2022	2,01,000
15.	Equity Shares	Sonata Employee Welfare Trust	82	Hansika Thapliyal	96	2,000	14-02-2022	1,08,000
16.	Equity Shares	Sonata Employee Welfare Trust	82	Sunil Kumar Gupta	136	6,800	14-02-2022	2,98,800
17.	Equity Shares	Sonata Employee Welfare Trust	82	Shashi Bhushan Singh	122	2,000	14-02-2022	1,34,000
18.	Equity Shares	Sonata Employee Welfare Trust	82	Anil Kumar Gupta	90	4,500	14-02-2022	3,01,500
19.	Equity Shares	Sonata Employee Welfare Trust	82	Rakesh Chaudhary	114	1,500	14-02-2022	1,00,500
20.	Equity Shares	Sonata Employee Welfare Trust	82	Sanjeev Kumar Shukla	100	4,500	14-02-2022	3,01,500
21.	Equity Shares	Sonata Employee Welfare Trust	82	Chandra Shekhar Prajapati	123	500	14-02-2022	33,500
22.	Equity Shares	Sonata Employee Welfare Trust	82	Dharmendra Kumar Singh	92	3,000	14-02-2022	2,01,000
23.	Equity Shares	Sonata Employee Welfare Trust	82	Vinay Pratap Singh	99	14,700	14-02-2022	4,68,300
24.	Equity Shares	Sonata Employee Welfare Trust	82	Mohd. Saif Khan	97	14,800	14-02-2022	5,89,800



25.	Equity Shares	Sonata Employee Welfare Trust	82	Anup Kumar Singh	77	1,49,253	22-03-2022	99,99,951
26.	Equity Shares	Sonata Employee Welfare Trust	82	Bramhanand	91	3,422	22-03-2022	2,01,898
27.	Equity Shares	Sonata Employee Welfare Trust	82	Ashish Singh	88	1,500	22-03-2022	1,00,500
28.	Equity Shares	Sonata Employee Welfare Trust	82	Hansika Thapliyal	96	3,000	22-03-2022	1,77,000
29.	Equity Shares	Sonata Employee Welfare Trust	82	Vinay Pratap Singh	99	4,900	22-03-2022	3,28,300
30.	Equity Shares	Sonata Employee Welfare Trust	82	Dinesh Kumar Singh	137	7,000	22-03-2022	4,27,000
31.	Equity Shares	Sonata Employee Welfare Trust	82	Satya Prakash Yadav	98	3,000	22-03-2022	2,01,000
32.	Equity Shares	Sonata Employee Welfare Trust	82	Niraj Pratap Singh	138	1,000	22-03-2022	67,000
33.	Equity Shares	Sonata Employee Welfare Trust	82	Rajnath Yadav	128	2,000	22-03-2022	1,21,000
34.	Equity Shares	Sonata Employee Welfare Trust	82	Richa Sharma	125	5,000	22-03-2022	3,35,000
35.	Equity Shares	Sonata Employee Welfare Trust	82	Brijbhari Singh	129	6,500	22-03-2022	4,10,500
36.	Equity Shares	Sonata Employee Welfare Trust	82	Tarun Kumar Srivastava	89	17,600	22-03-2022	6,62,600



37.	Equity Shares	Sonata Employee Welfare Trust	82	Sujeet Kumar Pathak	106	4,000	22-03-2022	2,68,000
38.	Equity Shares	Sonata Employee Welfare Trust	82	Mithun Bose	132	3,000	22-03-2022	1,62,000
39.	Equity Shares	Sonata Employee Welfare Trust	82	Jitendra Kumar Yadav	95	8,519	22-03-2022	5,66,621
40.	Equity Shares	Sonata Employee Welfare Trust	82	Shyam Kanhaiya	105	13,000	22-03-2022	8,71,000
41.	Equity Shares	Shahnaz Memorial Trust	134	Swaminathan Shankar Aiyer	81	4,71,375	25-03-2022	Demat transfer
<b>Total</b>						<b>14,41,508</b>		<b>4,60,59,370</b>

Details of redemption of debentures during FY 2021-22 are as under:

Sl. No	Debenture redeemed/repaid	Amount (In Rupees)	Date of redemption/repayment
1.	Japan Asean Women's Empowerment Fund	19,50,00,000 (Partial Redemption)	30.07.2021
2.	Blue Orchard Micro Finance Fund	67,00,00,000	26.10.2021
3.	Northern Arc Money Market Trust with Northern Arc Money Market Alpha	5,00,00,000 (Partial Redemption)	31.12.2021
4.	State Bank of India	10,00,00,000	28.03.2022
5.	Northern Arc Money Market Trust with Northern Arc Money Market Alpha	5,00,00,000 (Partial Redemption)	30.03.2022

Details of allotment of debentures in Demat form during FY 2021-22 are as under:

Sl. No	Debenture allotted	Amount (In Rupees)	Date of allotment
1.	Northern Arc Income Builder Trust (Series II)	25,00,00,000	22.11.2021
2.	Northern Arc Money Market Trust with Northern Arc Money Market Alpha	20,00,00,000	22.11.2021
3.	BlueOrchard Microfinance Fund	40,00,00,000	30.11.2021
4.	JAPAN ASEAN Women Empowerment Fund SA,	40,00,00,000	30.11.2021



	SICAV-SIF		
5.	BlueOrchard Microfinance Fund	40,00,00,000	10.12.2021
6.	DWM INCOME FUNDS S C A SICAV SIF - THE TRILL IMPACT-DWM SDGS CREDIT FUND	37,50,00,000	23.12.2021
7.	Northern Arc Capital Limited	37,50,00,000	23.12.2021

**9. Keeping in abeyance the rights to dividend, rights shares and bonus shares pending registration of transfer of shares in compliance with the provisions of the Act:**

a) The Company has not kept in abeyance the rights to dividend, rights shares on any Shareholders of the Company during the financial year ended on 31<sup>st</sup> March, 2022.

b) Further there was no pending registration of transfer of shares during the Financial Year ended on 31<sup>st</sup> March 2022.

**10. Declaration/ payment of dividend, transfer of unpaid/ unclaimed dividend/other amounts as applicable to the Investor Education and Protection Fund in accordance with section 125 of the Act:**

The Company has neither declared any dividend on equity shares nor transferred any amount to IEPF.

**11. Signing of audited financial statement as per the provisions of section 134 of the Act and report of directors is as per sub - sections (3), (4) and (5) thereof;**

a) The Audited Financial Statements for the Financial Year ended on 31<sup>st</sup> March 2022 and Board's Report has been duly signed as per the requirements of section 134 of the Companies Act, 2013.

b) Further the Board's Report for the Financial Year ended on 31<sup>st</sup> March 2022 contains all the details required under sub section (3) of Section 134 of the Companies Act, 2013. Further the Director's Report also states Director's Responsibility Statement as prescribed under sub section (5) of Section 134 of the Companies Act, 2013.

c) The Observation of Auditors in the Auditors' Report and notes to the financial statements are self-explanatory.

**12. Constitution/ appointment/ re-appointments/ retirement/ filling up casual vacancies/ disclosures of the Directors, Key Managerial Personnel and the remuneration paid to them;**

a) The Board of Directors of the Company comprises of 9 (Nine) Directors during



the Financial Year ended on 31<sup>st</sup> March 2022.

During the FY 2021-22, Mr. Benoit Marie Luc Monsaingeon (DIN: 07971713) Nominee Director representing Societe de Promotion et de Participation pour la Cooperation Economique on the Board of the Company resigned due to nomination been withdrawn by the nominating authority with effect from December 07, 2021.

- b) The changes in composition of the Board of Directors that took place during the Financial Year ended on 31<sup>st</sup> March 2022 were made in accordance with the provisions of the Act.
- c) Further the Directors and Key Managerial Personnel had made the required disclosures.

**13. Appointment/ reappointment/ filling up casual vacancies of auditors as per the provisions of section 139 of the Act:**

M/s BSR & Co., LLP, Chartered Accountants, (ICAI Firm Registration No. 101248W/W-100022) were appointed as the statutory auditors of the company by the members at the 26<sup>th</sup> Annual General Meeting of the Company held on September 30, 2021 for the period of 3 years until the conclusion of the 29<sup>th</sup> Annual General Meeting of the Company to be held for the F.Y. 2023-24 subject to the satisfaction of eligibility norm on yearly basis.

**14. Approvals required to be taken from the Central Government, Tribunal, Regional Director, Registrar, Court or such other authorities under the various provisions of the Act:**

As per the information and explanation provided by the Company, the Company is not required to obtain any approval from the Central Government, Tribunal, Regional Director, Registrar, Court or such other authorities under the various provisions of the Act.

**15. Acceptance/ renewal/ repayment of deposits:**

The Company has not accepted or renewed any amount falling within the purview of provisions of section 73 of Companies Act, 2013 read with the Companies (Acceptance of Deposits) rules, 2015 during the Financial Year ended on 31<sup>st</sup> March 2022.

**16. Borrowings from its directors, members, public financial institutions, banks and others and creation/ modification/ satisfaction of charges in that respect, wherever applicable;**

The funds borrowed from Banks and other financial institutions, has been duly informed/filed with the Registrar of Companies, U.P. Further, the satisfaction of loans has been duly registered



**17. Loans and investments or guarantee given or providing of securities to other bodies corporate or persons falling under the provisions of section 186 of the Act:**

Being a Non-Banking Financial Company the provisions of section 186 of the Act are not applicable.

**18. Alteration of the provisions of the Memorandum and/ or Articles of Association of the Company:**

During the period under review, no alterations were made in the provisions of the Memorandum and/ or Articles of Association of the Company.

Place: Allahabad  
Date: 21/11/2022

UDIN: F005693D001956171

For Anil Kumar & Associates



(ANIL KUMAR)

Proprietor

C.P.No.: 5592

M. No.: FCS-5693

