

Annexure - I

Holding of specified securities (Statement Showing Shareholding Pattern)

1. Name of Listed Entity : BAFNA PHARMACEUTICALS LIMITED
2. Scrip Code / Name of Scrip / Class of Security / / EQUITY
3. Share Holding Pattern Filed under: Reg. Reg.31(1)(c)
 - a. If under 31(1)(b) then indicate the report for Quarter ending - NA
 - b. If under 31(1)(c) then indicate date of allotment/extinguishment 25-December-2019

4. Declaration: The Listed entity is required to submit the following declaration to the extent of submission of information:-

	Particulars	Yes*	No*
	1 Whether the Listed Entity has issued any partly paid up shares?		NO
	2 Whether the Listed Entity has issued any Convertible Securities or Warrants?		NO
	3 Whether the Listed Entity has any shares against which depository receipts are issued?		NO
	4 Whether the Listed Entity has any shares in locked-in?	YES	
	5 Whether any shares held by promoters are pledge or otherwise encumbered?	YES	

5. The tabular format for disclosure of holding of specified securities is as follows:-

Table I - Summary Statement holding of specified securities

Cate gory (I)	Category of Shareholder (II)	Nos. of Sharehol ders (III)	No. of fully paid up equity shares held (IV)	No. of Partly paid-up equity shares held (V)	No. of shares underly ing Deposito ry Receipts (VI)	Total nos. shares held (VII) = (IV)+(V)+ (VI)	Shareholding as a % of total no. of shares (calculated as per SCRR, 1957) (VIII) As a % of (A+B+C2)	Number of Voting Rights held in each class of securities (IX)				No. of Shares Underly ing Outstand ing convertib le securitie s (includin g Warrants) (X)	Shareholding , as a % assuming full conversion of convertible securities (as a percentage of diluted share capital) (XI)= (VII)+(X) As a % of (A+B+C2)	Number of Locked in shares (XII)		Number of Shares pledged or otherwise encumbered (XIII)		Number of equity shares held in demateriali zed form (XIV)
								No of Voting Rights			Total as a % of (A+B+C)			No.(a)	As a % of total Shares held (b)	No.(a)	As a % of total Shar es held (b)	
								Class eg: X	Class eg: Y	Total								
A.	PROMOTER & PROMOTER GROUP	8	624691	0	0	624691	26.41	624691	0	624691	26.41	0	26.41	0	0	318254	51	624691
B.	PUBLIC	7619	1740943	0	0	1740943	73.59	1740943	0	1740943	73.59	0	73.59	500000	28.72	0	0	1732903
C.	NON PROMOTER- NON PUBLIC	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
C1.	SHARES UNDERLYING DRS	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
C2.	SHARES HELD BY EMPLOYEE TRUSTS	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Total	7627	2365634	0	0	2365634	100	2365634	0	2365634	100	0	100	500000	21.14	318254	13.5	2357594

Table II

	Category & Name of the Shareholders (I)	Nos. of Shareholder (III)	No. of fully paid up equity shares held (IV)	Partly paid-up equity shares held (V)	No. of shares underlying Depository Receipts (VI)	Total nos. shares held (VII = IV + V + VI)	Shareholding % calculated as per SCRR, 1957 As a % of (A+B+C2) (VIII)	Number of Voting Rights held in each class of securities (IX)				No. of Shares Underlying Outstanding convertible securities (including Warrants) (X)	Shareholding , as a % assuming full conversion of convertible securities (as a percentage of diluted share capital) (XI) = (VII)+(X) as a % of A+B+C2	Number of Locked in shares (XII)		Number of Shares pledged or otherwise encumbered (XIII)		Number of equity shares held in dematerialized form (XIV)
								No of Voting Rights			Total as a % of Total Voting rights			No.(a)	As a % of total Shares held (b)	No.(a)	As a % of total Shares held (b)	
								Class X	Class Y	Total								
1.	INDIAN																	
a.	Individuals/Hindu undivided Family	5	296665	0	0	296665	12.54	296665	0	296665	12.54	0	12.54	0	0	205497	32.9	296665
	Names :																	
	MAHAVEER CHAND BAFNA		149615			149615	6.32	149615	0	149615	6.32		6.32	0	0	148507	23.77	149615
	PARAS BAFNA		91167			91167	3.85	91167	0	91167	3.85		3.85	0	0	41167	6.59	91167
	NAVEENBAFNA M		40011			40011	1.69	40011	0	40011	1.69		1.69	0	0		0	40011
	MAHAVEER CHAND BAFNA HUF .		15823			15823	0.67	15823	0	15823	0.67		0.67	0	0	15823	2.53	15823
	PARAS BAFNA .		49			49	0	49	0	49	0		0	0	0		0	49
b.	Central Government/ State Government(s)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
c.	Financial Institutions/ Banks	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
d.	ANY OTHER																	
	Directors and their Relatives	3	328026	0	0	328026	13.87	328026	0	328026	13.87	0	13.87	0	0	112757	18.05	328026
	Names :																	
	CHETNA BAFNA		213280			213280	9.02	213280	0	213280	9.02		9.02	0	0		0	213280
	SASIKALA BAFNA		62757			62757	2.65	62757	0	62757	2.65		2.65	0	0	62757	10.05	62757
	AMRI BAI BAFNA		51989			51989	2.2	51989	0	51989	2.2		2.2	0	0	50000	8	51989
	Sub-Total (A)(1)	8	624691	0	0	624691	26.41	624691	0	624691	26.41	0	26.41	0	0	318254	50.95	624691
2.	FOREIGN																	
a.	Individuals (Non-Resident Individuals/ Foreign Individuals)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
b.	Government	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
c.	Institutions	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
d.	Foreign Portfolio Investor	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
f.	ANY OTHER																	
f.	Chairman and Directors	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Sub-Total (A)(2)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Total Shareholding of Promoter and Promoter Group (A)= (A)(1)+(A)(2)	8	624691	0	0	624691	26.41	624691	0	624691	26.41	0	26.41	0	0	318254	13.45	624691
Details of Shares which remain unclaimed may be given hear along with details such as number of shareholders, outstanding shares held in demat/unclaimed suspense account, voting rights which are frozen etc.																		

Table III - Statement showing shareholding pattern of the Public shareholder																		
	Category & Name of the Shareholders (I)	Nos. of Shareholder (III)	No. of fully paid up equity shares held (IV)	Partly paid-up equity shares held (V)	No. of shares underlying Depository Receipts (VI)	Total nos. shares held (VII = IV + V + VI)	Shareholding % calculated as per SCRR, 1957 As a % of (A+B+C2) (VIII)	Number of Voting Rights held in each class of securities IX)				No. of Shares Underlying Outstanding convertible securities (including Warrants) (X)	Total Shareholding , as a % assuming full conversion of convertible securities (as a percentage of diluted share capital) (XI)	Number of Locked in shares (XII)		Number of Shares pledged or		Number of equity shares held in dematerialized form (XIV)
								No of Voting Rights			Total as a % of Total Voting rights			No.(a)	As a % of total Shares held (b)	No.(a) (Not applicable)	As a % of total Shares held (Not applicable) (b)	
								Class X	Class Y	Total								
1.	INSTITUTIONS																	
a.	Mutual Funds/	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	NA	0
b.	Venture Capital Funds	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	NA	0
c.	Alternate Investment Funds	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	NA	0
d.	Foreign Venture Capital Investors	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	NA	0
e.	Foreign Portfolio Investor (Corporate)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	NA	0
f.	Financial Institutions/ Banks	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	NA	0
g.	Insurance Companies	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	NA	0
h.	Provident Funds/ Pension Funds	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	NA	0
i.	ANY OTHER																	
i.	Market Maker	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	NA	0
	Sub-Total (B)(1)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0		0
2 a.	Central Government/ State Government(s)/ President of India	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	NA	0
	Sub-Total (B)(2)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0		0
3.	NON-INSTITUTIONS																	
a.	INDIVIDUALS -																	
	I. Individual shareholders holding nominal share capital up to Rs. 2 lakhs.	7180	799053	0	0	799053	33.78	799053	0	799053	33.78	0	33.78	100000	5.74	NA		791513
	II. Individual shareholders holding nominal share capital in excess of Rs. 2 lakhs.	16	674689	0	0	674689	28.52	674689	0	674689	28.52	0	28.52	400000	23	NA		674689
	Names :																	
	VIKRAM VADILAL MANIAR .		30000	0		30000	1.27	30000	0	30000	1.27		1.27	30000	1.72	0		30000
	RAMESH KUMAR CHOPRA		38325	0		38325	1.62	38325	0	38325	1.62		1.62	0	0	0		38325
	VISHWAS JAIN		30943	0		30943	1.31	30943	0	30943	1.31		1.31	0	0	0		30943
	GYANMAL JAIN		33949	0		33949	1.44	33949	0	33949	1.44		1.44	0	0	0		33949
	P SHOBHA		42800	0		42800	1.81	42800	0	42800	1.81		1.81	0	0	0		42800
	KUSUM JAIN		29970	0		29970	1.27	29970	0	29970	1.27		1.27	0	0	0		29970
	NIRAV VIKRAM MANIAR .		40000	0		40000	1.69	40000	0	40000	1.69		1.69	40000	2.3	0		40000

Table III

	JAISHREE VIKRAM MANIAR .		30000	0		30000	1.27	30000	0	30000	1.27		1.27	30000	1.72	0		30000
	NISHA JIGNESH MEHTA		55062	0		55062	2.33	55062	0	55062	2.33		2.33	0	0	0		55062
	SUBRAMANIAN P		41597	0		41597	1.76	41597	0	41597	1.76		1.76	0	0	0		41597
	SAMIR ROHITBHAI SHAH		25000	0		25000	1.06	25000	0	25000	1.06		1.06	25000	1.44	0		25000
	SHWETA SAMIRBHAI SHAH		25140	0		25140	1.06	25140	0	25140	1.06		1.06	25140	1.44	0		25140
	SAGAR SAMIR SHAH		25000	0		25000	1.06	25000	0	25000	1.06		1.06	25000	1.44	0		25000
	VIRAJ SAMIRBHAI SHAH		26903	0		26903	1.14	26903	0	26903	1.14		1.14	26067	1.5	0		26903
	ANUSHREE HIMANSHUBHAI SHAH		100000	0		100000	4.23	100000	0	100000	4.23		4.23	100000	5.74	0		100000
	VRUSHALI HIMANSHU SHAH		100000	0		100000	4.23	100000	0	100000	4.23		4.23	100000	5.74	0		100000
b.	NBFCs registered with RBI	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	NA	0
c.	Employee Trusts	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	NA	0
d.	Overseas Depositories (holding DRs) (balancing figure)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	NA	0
e.	ANY OTHER																	
	BODIES CORPORATE	83	112466	0	0	112466	4.75	112466	0	112466	4.75	0	4.75	0	0	0	NA	111966
	Names :																	
	SARAVANA GLOBAL HOLDINGS LIMITED		27591	0		27591	1.17	27591	0	27591	1.17		1.17	0	0	0		27591
	HINDU UNDIVIDED FAMILIES	264	43912	0	0	43912	1.86	43912	0	43912	1.86	0	1.86	0	0	0	NA	43912
	NRI – Non- Repat	26	3921	0	0	3921	0.17	3921	0	3921	0.17	0	0.17	0	0	0	NA	3921
	NRI – Repat	50	106902	0	0	106902	4.52	106902	0	106902	4.52	0	4.52	0	0	0	NA	106902
	Names :																	
	DHIRENDRA SOMAIYA		32820	0		32820	1.39	32820	0	32820	1.39		1.39	0	0	0		32820
	LINDAJEET KAUR RUPRAI		66735	0		66735	2.82	66735	0	66735	2.82		2.82	0	0	0		66735
e.	Foreign Portfolio Investor (Individual)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	NA	0
e.	NRI – Non- Repat-Minor	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	NA	0
	Sub-Total (B)(3)	7619	1740943	0	0	1740943	73.59	1740943	0	1740943	73.59	0	73.59	500000	28.7			1732903
	Total Public Shareholding (B)= (B)(1)+(B)(2)+(B)(3)	7619	1740943	0	0	1740943	73.59	1740943	0	1740943	73.59	0	73.59	500000	21.1			1732903
Details of the shareholders acting as persons in Concert including their Shareholding (No. and %):																		
Details of Shares which remain unclaimed may be given hear along with details such as number of shareholders, outstanding shares held in demat/unclaimed suspense account, voting rights which are frozen etc.																		

Table IV - Statement showing shareholding pattern of the Non Promoter- Non Public shareholder

	Category & Name of the Shareholders (I)	PAN (II)	Nos. of Shareholder (III)	No. of fully paid up equity shares held (IV)	Partly paid-up equity shares held (V)	No. of shares underlying Depository Receipts (VI)	Total nos. shares held (VII = IV + V + VI)	Shareholding % calculated as per SCRR, 1957 As a % of (A+B+C2) (VIII)	Number of Voting Rights held in each class of securities (IX)				No. of Shares Underlying Outstanding convertible securities (including Warrants) (X)	Total Shareholding , as a % assuming full conversion of convertible securities (as a percentage of diluted share capital) (XI)	Number of Locked in shares (XII)		Number of Shares pledged or otherwise encumbered (XIII)		Number of equity shares held in dematerialized form (XIV) (Not applicable)
									No of Voting Rights			Total as a % of Total Voting rights			No.(a)	As a % of total Shares held (b)	No.(a) (Not applicable)	As a % of total Shares held (Not applicable) (b)	
									Class X	Class Y	Total								
1.	Custodian - ADRs		0	0	0	0	0	0	0	0	0	0	0	0	0	0	NA		0
1.	Custodian - GDRs		0	0	0	0	0	0	0	0	0	0	0	0	0	0	NA		0
1.	Custodian - Public		0	0	0	0	0	0	0	0	0	0	0	0	0	0	NA		0
1.	Custodian - SDRs		0	0	0	0	0	0	0	0	0	0	0	0	0	0	NA		0
2.	Employee Benefit Trust (under SEBI (Share based Employee Benefit) Regulations, 2014)		0	0	0	0	0	0	0	0	0	0	0	0	0	0	NA		0
	Total Non-Promoter- Non Public Shareholding (C)= (C)(1)+(C)(2)		0	0	0	0	0	0	0	0	0	0	0	0	0	0			0

Table V- Statement showing details of significant beneficial owners (SBOs)									
Sr. No	Details of the SBO (I)			Details of the registered owner (II)			Details of holding/ exercise of right of the SBO in the reporting company, whether direct or indirect*: (III)		Date of creation / acquisition of significant beneficial interest# (IV)
	NAME	PAN / Passport No.	Nationality	NAME	PAN / Passport No.	Nationality	Whether by virtue of:		
1							Shares	%	
							Voting rights	%	
							Rights on distributable dividend or any other	%	
							Exercise of control		
							Exercise of significant		
2							Shares	%	
							Voting rights	%	
							Rights on distributable dividend or any other	%	
							Exercise of control		
							Exercise of significant		
3							Shares	%	
							Voting rights	%	
							Rights on distributable dividend or any other	%	
							Exercise of control		
							Exercise of significant		
4							Shares	%	
							Voting rights	%	
							Rights on distributable dividend or any other	%	
							Exercise of control		
							Exercise of significant		
5							Shares	%	
							Voting rights	%	
							Rights on distributable dividend or any other	%	
							Exercise of control		
							Exercise of significant		
6							Shares	%	
							Voting rights	%	
							Rights on distributable dividend or any other	%	
							Exercise of control		
							Exercise of significant		