

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

L45200MH1939PLC002958

Pre-fill

Global Location Number (GLN) of the company

* Permanent Account Number (PAN) of the company

AAACM3041N

(ii) (a) Name of the company

MODERN SHARES AND STOCK

(b) Registered office address

WANKHEDE STADIUM NORTH STAND L AND M WINGS D ROAD
CHURCHGATE
MUMBAI
Maharashtra
400020

(c) *e-mail ID of the company

modernshare@hotmail.com

(d) *Telephone number with STD code

02268252400

(e) Website

www.modernshares.com

(iii) Date of Incorporation

01/07/1939

(iv)	Type of the Company	Category of the Company	Sub-category of the Company
	Public 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

(a) Details of stock exchanges where shares are listed

S. No.	Stock Exchange Name	Code
1	BSE LIMITED	1

(b) CIN of the Registrar and Transfer Agent

U67190MH1999PTC118368

Pre-fill

Name of the Registrar and Transfer Agent

LINK INTIME INDIA PRIVATE LIMITED

Registered office address of the Registrar and Transfer Agents

C-101, 1st Floor, 247 Park,
Lal Bahadur Shastri Marg, Vikhroli (West)

(vii) *Financial year From date 01/04/2021 (DD/MM/YYYY) To date 31/03/2022 (DD/MM/YYYY)

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

(a) If yes, date of AGM

(b) Due date of AGM

30/09/2022

(c) Whether any extension for AGM granted

☐ Yes ☒ No

(f) Specify the reasons for not holding the same

AGM will be held on September 23, 2022

II. PRINCIPAL BUSINESS ACTIVITIES OF THE COMPANY

*Number of business activities

1

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

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

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

0

Pre-fill All

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	6,000,000	2,931,125	2,931,125	2,931,125
Total amount of equity shares (in Rupees)	60,000,000	29,311,250	29,311,250	29,311,250

Number of classes

1

Class of Shares	Authorised capital	Issued capital	Subscribed capital	Paid up capital
EQUITY SHARES				
Number of equity shares	6,000,000	2,931,125	2,931,125	2,931,125
Nominal value per share (in rupees)	10	10	10	10
Total amount of equity shares (in rupees)	60,000,000	29,311,250	29,311,250	29,311,250

(b) Preference share capital

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

Number of classes

0

Class of shares	Authorised capital	Issued capital	Subscribed capital	Paid up capital
Number of preference shares				
Nominal value per share (in rupees)				
Total amount of preference shares (in rupees)				

(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
Equity shares	Physical	DEMAT	Total			
At the beginning of the year	61,144	2,869,981	2931125	29,311,250	29,311,250	
Increase during the year	0	2,936	2936	0	0	0
i. Pubic 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	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		2,936	2936			
Decrease during the year	2,936	0	2936	0	0	0
i. Buy-back 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 Shares Dematerialised	2,936		2936			
At the end of the year	58,208	2,872,917	2931125	29,311,250	29,311,250	
Preference shares						
At the beginning of the year	0	0	0	0	0	
Increase during the year	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						
Decrease during the year	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						
At the end of the year	0	0	0	0	0	

ISIN of the equity shares of the company

INE370A01019

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

0

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

17/09/2021

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	0	0	0
Partly convertible debentures	0	0	0
Fully convertible debentures	0	0	0
Total			0

Details of debentures

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

(v) Securities (other than shares and debentures)

0

Type of Securities	Number of Securities	Nominal Value of each Unit	Total Nominal Value	Paid up Value of each Unit	Total Paid up Value
Total					

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

32,559,540

(ii) Net worth of the Company

119,724,717

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	554,310	18.91	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)	1,132,209	38.63	0	
10.	Others Shares held by Narendra Advani	448,265	15.29	0	
	Total	2,134,784	72.83	0	0

Total number of shareholders (promoters)

9

(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	536,386	18.3	0	
	(ii) Non-resident Indian (NRI)	213,707	7.29	0	
	(iii) Foreign national (other than NRI)	0	0	0	
2.	Government				
	(i) Central Government	7,524	0.26	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)	3,979	0.14	0	
10.	Others IEPF (34695) & Trust (50)	34,745	1.19	0	
	Total	796,341	27.18	0	0

Total number of shareholders (other than promoters)

1,311

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

1,320

**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	10	9
Members (other than promoters)	856	1,311
Debenture holders	0	0

VIII. DETAILS OF DIRECTORS AND KEY MANAGERIAL PERSONNEL

(A) *Composition of Board of Directors

Category	Number of directors at the beginning of the year		Number of directors at the end of the year		Percentage of shares held by directors as at the end of year	
	Executive	Non-executive	Executive	Non-executive	Executive	Non-executive
A. Promoter	1	3	1	3	15.52	16.33
B. Non-Promoter	0	2	0	2	0	0
(i) Non-Independent	0	0	0	0	0	0
(ii) Independent	0	2	0	2	0	0
C. Nominee Directors representing	0	0	0	0	0	0

(i) Banks & FIs	0	0	0	0	0	0
(ii) Investing institutions	0	0	0	0	0	0
(iii) Government	0	0	0	0	0	0
(iv) Small share holders	0	0	0	0	0	0
(v) Others	0	0	0	0	0	0
Total	1	5	1	5	15.52	16.33

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

8

(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)
ANIL SUGNO MANGHI	00012806	Whole-time director	455,010	
GHANSHAM SHEWAKI	00413343	Director	49,600	
NARENDRA HIRA ADVANI	03351909	Director	429,165	
ROSHAN ADVANI PATIL	00651144	Director	0	
ASHOK TIKAMDAS KUMAR	00463526	Director	0	
PANKAJ RAJNIKANT V	00207079	Director	50	
RADHAKRISHNA NARAYAN	AAKPS3303G	CFO	1,200	
VIBHA DINESH MEHTA	AWRPM3166A	Company Secretary	0	

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

0

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

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

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

Number of meetings held

1

Type of meeting	Date of meeting	Total Number of Members entitled to attend meeting	Attendance	
			Number of members attended	% of total shareholding
ANNUAL GENERAL MEETING	17/09/2021	894	21	72.91

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	18/06/2021	6	5	83.33
2	06/08/2021	6	6	100
3	12/11/2021	6	4	66.67
4	08/02/2022	6	6	100

C. COMMITTEE MEETINGS

Number of meetings held

13

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	Stakeholder &	17/06/2021	3	3	100
2	Nomination & I	17/06/2021	3	3	100
3	Audit Committe	18/06/2021	3	3	100
4	Stakeholder &	05/08/2021	3	3	100
5	Nomination & I	05/08/2021	3	3	100
6	Audit Committe	06/08/2021	3	3	100
7	Stakeholder &	11/11/2021	3	3	100
8	Nomination & I	11/11/2021	3	3	100
9	Audit Committe	12/11/2021	3	3	100
10	Stakeholder &	08/02/2022	3	3	100

D. *ATTENDANCE OF DIRECTORS

S. No.	Name of the director	Board Meetings			Committee Meetings			Whether attended AGM held on
		Number of Meetings which director was entitled to attend	Number of Meetings attended	% of attendance	Number of Meetings which director was entitled to attend	Number of Meetings attended	% of attendance	
								(Y/N/NA)
1	ANIL SUGNO	4	4	100	4	4	100	
2	GHANSHAM S	4	4	100	4	4	100	
3	NARENDRA H	4	2	50	0	0	0	
4	ROSHAN ADV	4	3	75	4	4	100	
5	ASHOK TIKAM	4	4	100	13	13	100	
6	PANKAJ RAJI	4	4	100	13	13	100	

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	ANIL SUGNO MAN	Wholetime Direc	1,080,800	0	0	0	1,080,800
	Total		1,080,800	0	0	0	1,080,800

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	RADHAKRISHNA N	CFO(KMP)	1,008,000	0	0	0	1,008,000
2	VIBHA DINESH ME	Company Secre	228,600	0	0	0	228,600
	Total		1,236,600	0	0	0	1,236,600

Number of other directors whose remuneration details to be entered

5

S. No.	Name	Designation	Gross Salary	Commission	Stock Option/ Sweat equity	Others	Total Amount
1	ASHOK TIKAMDAS	IND NON EXEC	0	0	0	62,500	62,500
2	PANKAJ RAJNIKAN	IND NON EXEC	0	0	0	62,500	62,500
3	GHANSHAM SHEV	NON EXECUTIV	0	0	0	40,000	40,000

S. No.	Name	Designation	Gross Salary	Commission	Stock Option/ Sweat equity	Others	Total Amount
4	NARENDRA HIRA	NON EXECUTIV	0	0	0	15,000	15,000
5	ROSHAN ADVANI	NON EXECUTIV	0	0	0	32,500	32,500
	Total		0	0	0	212,500	212,500

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

(In case of 'No', submit the details separately through the method specified in instruction kit)

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

JANAK A. PANDYA

Whether associate or fellow

☒ Associate ☐ Fellow

Certificate of practice number

5940

I/We certify that:

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

(b) Unless otherwise expressly stated to the contrary elsewhere in this Return, the Company has complied with all the provisions of the Act during the financial year.

Declaration

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

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

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

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

To be digitally signed by

Director

DIN of the director

To be digitally signed by☒ Company Secretary☐ Company secretary in practice

Membership number

Certificate of practice number

Attachments

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

List of attachments

MSSL_DRAFT_MGT-8_Certificate by PCS
MSSL_Share Inward Register_2021-22.pd
[MSSL_Committee Meeting_2021-22.pdf](#)

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

Note: This e-form MGT-7 (draft) along with form MGT-8 (draft) placed on the website of the Company in compliance of the Companies (Amendment) Act, 2017, effective August 28, 2020. The e-form MGT-7 shall be filed with Ministry of Corporate Affairs upon the completion of 83rd Annual General Meeting of the Company as required under Section 92, of Companies Act, 2013, and the Rules made thereunder and the copy of the same shall be furnished on the website of the Company.

JANAK A. PANDYA
[COMPANY SECRETARY]

1002, PARSHVA SHREYAS, CARTER ROAD NO.9, BORIVALI (EAST), MUMBAI – 400 066.

Phone: 9223482481 Email: janak_jap@yahoo.com

DRAFT

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]*

CERTIFICATE BY A COMPANY SECRETARY IN PRACTICE

I have examined the registers, records and books and papers of **Modern Shares And Stockbrokers Limited (CIN: L45200MH1939PLC002958)** (the Company) having its Registered Office at Wankhede Stadium, North Stand, L and M Wings, D Road, Churchgate Mumbai – 400020, as required to be maintained under the Companies Act, 2013 (the Act) and the rules made thereunder for the financial year ended on **March 31, 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 generally complied with provisions of the Act & Rules made there under in respect of:

1. its status under the Act;
2. Maintenance of registers/records & making entries therein within the time prescribed therefor;
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;
4. Calling/convening/holding meetings of Board of Directors and its committees, 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;
5. Closure of Register of Members / Security holders, as the case may be.
6. As per the information given by the Company, the Company has not made any Advances/loans to its directors and/or persons or firms or companies referred in section 185 of the Act during the financial year;
7. As per information and explanation provide to us, all the related party transactions entered into during the Financial year were on an arm's length basis and were in the ordinary course of business and thus they are in compliance with the provisions of Section 188 of the Act;
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;

JANAK A. PANDYA
[COMPANY SECRETARY]

1002, PARSHVA SHREYAS, CARTER ROAD NO.9, BORIVALI (EAST), MUMBAI – 400 066.

Phone: 9223482481 Email: janak_jap@yahoo.com

9. The Company has not kept in abeyance the rights to dividend, rights shares and bonus shares pending registration of transfer of shares during the financial year.
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;
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;
12. Constitution/ appointment/ re-appointments/ retirement/ disclosures of the Directors, Key Managerial Personnel and the remuneration paid to them; There was no casual vacancy in the Board during the year.
13. There was no Appointment/ reappointment under Section 139 of the Act, and there was no casual vacancy of auditors during the year.
14. The Company was not required to take any approval from the Central Government, Tribunal, Regional Director, Registrar, Court or such other authorities under the various provisions of the Act;
15. The Company has not Accepted/ renewed/ repaid any deposits from the public during the financial year.
16. Borrowings from its directors, members, public financial institutions, banks and others and creation/ modification/ satisfaction of charges in that respect, wherever applicable;
17. Loans and investments or guarantees given or providing of securities to other bodies corporate or persons falling under the provisions of Section 186 of the Act during the financial year;
18. The Company has not altered the provisions of the Memorandum and/ or Articles of Association of the Company during the Financial year;

Place: Mumbai
Date:

Signature:

Name of Company Secretary in practice: **CS Janak A. Pandya (M.No.10841)**
(C.P. No.:5940)
UDIN: _____

This certificate is to be read with Annexure which forms an integral part of this certificate.

Note: The qualification, reservation or adverse remarks; if any, may be stated at the relevant place(s).

JANAK A. PANDYA
[COMPANY SECRETARY]

1002, PARSHVA SHREYAS, CARTER ROAD NO.9, BORIVALI (EAST), MUMBAI – 400 066.

Phone: 9223482481 Email: janak_jap@yahoo.com

Annexure

To
Modern Shares and Stockbrokers Limited
CIN: L45200MH1939PLC002958
Wankhede Stadium, North Stand, L and M Wings, D Road,
Churchgate, Mumbai – 400020

My certificate in Form MGT 8 on the Annual Return (MGT-7) as on the financial year ended on March 31, 2022 of even date is to be read along with this letter.

1. Maintenance of secretarial records is the responsibility of the Management of the Company. My responsibility is to express an opinion on these secretarial records based on my audit.

2. I have followed the audit practices and process as were appropriate to obtain reasonable assurance about the correctness of the contents of the secretarial records. The verification was done on test basis to ensure that correct facts are reflected in the Form MGT-7. I believe that the processes and practices, I followed provide a reasonable basis for my opinion.

3. The compliance of the provisions of the Companies Act 2013, rules, regulations, standards is the responsibility of the Management. My examination was limited to the verification of records on test basis.

4. The certificate is issued based on the verification of secretarial records furnished by/obtained from the Company and also the information provided by the Company electronically.

Place: Mumbai
Date:

Signature:

Name of Company Secretary in practice: **CS Janak A. Pandya (M.No.10841)**
(C.P. No.:5940)

UDIN: _____

		01/04/2021		To	31/03/2022	Closure Date :	31-03-2021	
TRANSFER DATE	TYPE	SH/DB	AMTPERSH	FOLIO	SELLER NAME		FOLIO	BUYER NAME
16/11/2021	1	200	000010	0J000048	MRS. BHAVNA AKASHDIP		IEPF2017	IEPF2017
16/11/2021	1	50	000010	0MHC0208	RAJASHRI KAMBLI		IEPF2017	IEPF2017
16/11/2021	1	125	000010	0MHC0251	KRISHANAMOORTHY S		IEPF2017	IEPF2017
16/11/2021	1	225	000010	0MHC0259	SHARMILA S		IEPF2017	IEPF2017
16/11/2021	1	400	000010	0P000102	MRS.SUNITA R.PANCHAL		IEPF2017	IEPF2017
16/11/2021	1	200	000010	0R000069	RAJKUMAR J KATKE		IEPF2017	IEPF2017
16/11/2021	1	50	000010	0S000021	MRS. TEHMINA FRAMJI		IEPF2017	IEPF2017
16/11/2021	1	200	000010	0S000200	MR.ATUL P.SHAH		IEPF2017	IEPF2017
16/11/2021	1	400	000010	0V000055	MR.VISHWANATH TUKARA		IEPF2017	IEPF2017
16/11/2021	1	600	000010	0B000023	RUBY BAJAJ		IEPF2017	IEPF2017
16/11/2021	1	100	000010	0B000054	MR.RAJU BHANDARI		IEPF2017	IEPF2017
16/11/2021	1	10	000010	0E000003	MR. HOSANG ERUCHSHAH		IEPF2017	IEPF2017
16/11/2021	1	50	000010	0G000077	MRS.PARI RAGHUNANDAN		IEPF2017	IEPF2017
16/11/2021	1	325	000010	0H000003	MR. AHAMAD KADARBHAI		IEPF2017	IEPF2017
16/11/2021	1	2935	000010	IEPF2017	Investior Education A		ND0000001	NSDL
11/02/2022	1	1	000010	0M000143	MAHAVEER KUMAR GADIY		CD000001	CENTRAL DEPOSITORY S

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Sr No	Rcpt Date	SellerFolio	BuyerFolio	Buyer Name	Certificate From To	No. Of Shares	Tran No.	/ Obj Date	Type	STS TUD	Despatch Date/No.	Days
1	TF555 11/08/2021	MHC0208		PRITI SATISH CHIPKAR GULABI KAMBLI B-15 AMITA DHAM CHS OLD DOMBIVALI ROAD DR NEMADE GALLI TELCOSWADI DOMBIVALI WEST THANE 421202	991370 6	991370 6	50 OB99	20/08/2021	OB	YNY	24/08/2021 EM 71333448	14 8IN
2	TM421 17/11/2021	B000023	IEPF2017	IEPF2017	992042 8	992042 8	600 TM557	16/11/2021	TM	YYY		138
3	TM422 17/11/2021	B000054	IEPF2017	IEPF2017	992042 9	992042 9	100 TM558	16/11/2021	TM	YYY		138
4	TM423 17/11/2021	E000003	IEPF2017	IEPF2017	992043 0	992043 0	10 TM559	16/11/2021	TM	YYY		138
5	TM424 17/11/2021	G000077	IEPF2017	IEPF2017	992043 1	992043 1	50 TM560	16/11/2021	TM	YYY		138
6	TM425 17/11/2021	H000003	IEPF2017	IEPF2017	992043 2	992043 2	325 TM561	16/11/2021	TM	YYY		138
7	TM426 17/11/2021	J000048	IEPF2017	IEPF2017	992043 3	992043 3	200 TM562	16/11/2021	TM	YYY		138

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Sr No	Rcpt Date	SellerFolio	BuyerFolio	Buyer Name	Certificate From	To	No. Of Shares	Tran No.	/ Obj Date	Type	STS TUD	Despatch Date/No.	Days
8	TM427 17/11/2021	MHC0208	IEPF2017	IEPF2017	992043 4	992043 4	50	TM563	16/11/2021	TM	YYY		138
9	TM428 17/11/2021	MHC0251	IEPF2017	IEPF2017	992043 5	992043 5	125	TM564	16/11/2021	TM	YYY		138
10	TM429 17/11/2021	MHC0259	IEPF2017	IEPF2017	992043 6	992043 6	225	TM565	16/11/2021	TM	YYY		138
11	TM430 17/11/2021	P000102	IEPF2017	IEPF2017	992043 7	992043 7	400	TM566	16/11/2021	TM	YYY		138
12	TM431 17/11/2021	R000069	IEPF2017	IEPF2017	992043 8	992043 8	200	TM567	16/11/2021	TM	YYY		138
13	TM432 17/11/2021	S000021	IEPF2017	IEPF2017	992043 9	992043 9	50	TM568	16/11/2021	TM	YYY		138
14	TM433 17/11/2021	S000200	IEPF2017	IEPF2017	992044 0	992044 0	200	TM569	16/11/2021	TM	YYY		138

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Sr No	Rcpt Date	SellerFolio	BuyerFolio	Buyer Name	Certificate From	To	No. Of Shares	Tran No.	/ Obj Date	Type	STS TUD	Despatch Date/No.	Days
15	TM434 17/11/2021	V000055	IEPF2017	IEPF2017	992044 1	992044 1	400	TM570	16/11/2021	TM	YYY		138
16	DU547 17/11/2021	B000023	B000023	RUBY BAJAJ 403 SPACE AGE APTS DIN QUARRY ROAD PANJARAPOLE DEONAR MUMBAI MUMBAI 400088	2291 2292 2293 2294 2295 3447 940347 2 940347 3 940347 4 940347 5 940347 6 940347 7	2291 2292 2293 2294 2295 3447 940347 2 940347 3 940347 4 940347 5 940347 6 940347 7	600	TN677	16/11/2021	TN	YYY 1	17/11/2021	1
17	DU548 17/11/2021	B000054	B000054	MR.RAJU BHANDARI 104,AUTO COMMERCE HOUSE, OPP.JYOTI STUDIO,KENEDY BRIDGE, NANA CHOWK,BOMBAY - 400 007. 0 0	2010 2011	2010 2011	100	TN678	16/11/2021	TN	YYY 1	17/11/2021	1
18	DU549 17/11/2021	E000003	E000003	MR. HOSANG ERUCHSHAH ENGINEER PIROZI ERUCHSHAH ENGINEER. RATANBAI FRAMROSE WRITER. ARSIWALLA BUILDG., 1ST FLOOR, FLAT NO.20 6L, WODEHOUSE ROAD, COLABA, BOMBAY - 400 005. 0 0	100581 940385 1	100581 940385 1	10	TN679	16/11/2021	TN	YYY 1	17/11/2021	1

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Sr No	Rcpt Date	SellerFolio	BuyerFolio	Buyer Name	Certificate From	To	No. Of Shares	Tran No.	/ Obj Date	Type	STS TUD	Despatch Date/No.	Days
19	DU550 17/11/2021	G000077	G000077	MRS.PARI RAGHUNANDAN GUPTA MR.SANJAY RAGHUNANDAN GUPTA A5/1 LOKNAGARI, MIDC ROAD, AMBERNATH (EAST) 421 506 THANE 421506	671	671	50	TN680	16/11/2021	TN	YYY	17/11/2021	1
20	DU551 17/11/2021	H000003	H000003	MR. AHAMAD KADARBHAI HIRANI C/O MAJUMDAR SINGH CHATTERJI & CO. ISMIAL BUILDING 381,D.N. ROAD FLORA FOUNTIAN08.MUMBAI 400001 0 0	2793 2794 2795 2796 2797 2798 2799	2793 2794 2795 2796 2797 2798 2799	325	TN681	16/11/2021	TN	YYY	17/11/2021	1
21	DU552 17/11/2021	J000048	J000048	MRS. BHAVNA AKASHDIP JOSHI MR. AKASHDEEP SURESHCHANDRA JOSHI KRISHNA INVESTMENT CONSULTANCY, RADHAKRISHNA MANDIR, KANBAIWADI, KHADILKAR ROAD,C.P.TANK,BOMBA Y-400004 0 0	629 630 940432 1 940432 2	629 630 940432 1 940432 2	200	TN682	16/11/2021	TN	YYY	17/11/2021	1
22	DU553 17/11/2021	MHC0208	MHC0208	RAJASHRI KAMBLI GULABI KAMBLI PANCHSHEEL 62/1172 MHB COLONY SAMYA NGR KANDIVLI EAST MUMBAI MUMBAI 400101	991370 6	991370 6	50	TN683	16/11/2021	TN	YYY	17/11/2021	1

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Sr No	Rcpt Date	SellerFolio	BuyerFolio	Buyer Name	Certificate From	To	No. Of Shares	Tran No.	/ Obj Date	Type	STS TUD	Despatch Date/No.	Days
23	DU554 17/11/2021	MHC0251	MHC0251	KRISHANAMOORTHY S CHANDRA KRISHNAMOORTHY CHAWL NO 12 R NO 11 V K VADI DHARAVI MUMBAI MUMBAI 400017	991375 2 991375 3 991375 4	991375 2 991375 3 991375 4	125	TN684	16/11/2021	TN	YYY 1	17/11/2021	1
24	DU555 17/11/2021	MHC0259	MHC0259	SHARMILA S 16 3RD FLOOR VELANKANI DARSHAN APTS VANDRAPA AMBERNATH THANA THANE 421501	991377 4 991377 5 991377 6 991377 7 991377 8	991377 4 991377 5 991377 6 991377 7 991377 8	225	TN685	16/11/2021	TN	YYY 1	17/11/2021	1
25	DU556 17/11/2021	P000102	P000102	MRS.SUNITA R.PANCHAL R.NO.24, BABU MANZIL CHAWL, WADIA ESTATE, KURLA, BOMBAY - 400 070 0 0	100510 930206 0 930904 9 930905 5 941825 4 941825 5 941825 6 941825 7	100510 930206 0 930904 9 930905 5 941825 4 941825 5 941825 6 941825 7	400	TN686	16/11/2021	TN	YYY 1	17/11/2021	1
26	DU557 17/11/2021	R000069	R000069	RAJKUMAR J KATKE R NO 141 S V P NAGAR VASI NAKA R C MARG CHEMBUR MUMBAI MUMBAI 400074	990970 5 990970 6 990970 7 990970 8	990970 5 990970 6 990970 7 990970 8	200	TN687	16/11/2021	TN	YYY 1	17/11/2021	1

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Sr No	Rcpt Date	SellerFolio	BuyerFolio	Buyer Name	Certificate From	To	No. Of Shares	Tran No.	/ Obj Date	Type	STS TUD	Despatch Date/No.	Days
27	DU558 17/11/2021	S000021	S000021	MRS. TEHMINA FRAMJI SETHNA MR. HOSANG E. ENGINEER. MRS. PIROJA E. ENGINEER. DOULATRAM MANSION, 1ST FLOOR, 6, KITTRIDGE ROAD, COLABA, BOMBAY - 400 005. 0 0	1995 941846 8	1995 941846 8	50	TN688	16/11/2021	TN	YYY 1	17/11/2021	1
28	DU559 17/11/2021	S000200	S000200	MR.ATUL P.SHAH 401, NIRALI PARK OPP CIVIL HOSPITAL THANE (WEST) THANE 400601	2770 2771 941900 7 941900 8	2770 2771 941900 7 941900 8	200	TN689	16/11/2021	TN	YYY 1	17/11/2021	1
29	DU560 17/11/2021	V000055	V000055	MR.VISHWANATH TUKARAM DHADE MRS MALA VISHWANATH DHADE GR. FLOORBLDG NO.3C QUARTES PLOT NO.50 510 ADENWALWA RD FIVE GARDEN MATUNGA (E) BOMBAY 400019 007 0 0	930922 5 930922 6 930961 3 931442 7 940284 7 940284 8 941909 2 941909 4	930922 5 930922 6 930961 3 931442 7 940284 7 940284 8 941909 2 941909 4	400	TN690	16/11/2021	TN	YYY 1	17/11/2021	1

Modern Shares And Stock Brokers Limited



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Sr No	Rcpt Date	SellerFolio	BuyerFolio	Buyer Name	Certificate From	No. Of Shares	Tran No.	/ Obj Date	Type	STS TUD	Despatch Date/No.	Days
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Modern Shares And Stock Brokers Limited

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***** BATCH CONTROLS*****

Total No.Of Shares: 5920
 Total No.Of Certificates: 78
 Total No.Of TD's: 29

*****TRANSACTIONS NO.OF SHARES CERTIFICATES*****

Total No.Of Transfers:	0		
Total No.Of Transmission:	14	2935	14
Total No.Of Transposition:	0		
Total No.Of Deletion:	0		
Total No.Of Sub Div/Console/Duplicate:	14	2935	63
Total No.Of Demat:	0		
Total No.Of Remat:	0		
Total No.Of Objections:	1	50	1
Total No.Of Seller Notice:	0		

***** NUMBER NO.OF Shares*****

Upto 15 Days:	15	2985
Between 16 to 21 days:	0	
Above 21 Days:	14	2935
Pending:	0	

***** ABBREVIATIONS*****

TRANSFER: "TF"
 TRANSMISSION: "TM"
 TRANSPOSITION: "TP"
 DELETION: "DL"
 SUB DIV/ CONSOLE/DUPLICATE: "TN"

All Clients

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***** BATCH CONTROLS*****

Total No.Of Shares:	5920
Total No.Of Certificates:	78
Total No.Of TD's:	29

*****TRANSACTIONS NO.OF SHARES CERTIFICATES*****

Total No.Of Transfers:	0		
Total No.Of Transmission:	14	2935	14
Total No.Of Transposition:	0		
Total No.Of Deletion:	0		
Total No.Of Sub Div/Console/Duplicate:	14	2935	63
Total No.Of Demat:	0		
Total No.Of Remat:	0		
Total No.Of Objections:	1	50	1
Total No.Of Seller Notice:	0		

*****	NUMBER	NO.OF Shares*****
Upto 15 Days:	15	2985
Between 16 to 21 days:	0	
Above 21 Days:	14	2935
Pending:	0	

***** ABBREVIATIONS*****

TRANSFER:	"TF"
TRANSMISSION:	"TM"
TRANSPOSITION:	"TP"
DELETION:	"DL"
SUB DIV/ CONSOLE/DUPLICATE:	"TN"

Page Total: 0

Grand Total: 5920

IX. Meetings of Members/Class of Members/Board/Committees of the Board of Directors**C. Committee Meetings****Number of Meetings held - 13**

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.	Stakeholder & Grievance Committee Meeting	17/06/2021	3	3	100
2.	Nomination & Remuneration Committee Meeting	17/06/2021	3	3	100
3.	Audit Committee Meeting	18/06/2021	3	3	100
4.	Stakeholder & Grievance Committee Meeting	05/08/2021	3	3	100
5.	Nomination & Remuneration Committee Meeting	05/08/2021	3	3	100
6.	Audit Committee Meeting	06/08/2021	3	3	100
7.	Stakeholder & Grievance Committee Meeting	11/11/2021	3	3	100
8.	Nomination & Remuneration Committee Meeting	11/11/2021	3	3	100
9.	Audit Committee Meeting	12/11/2021	3	3	100
10.	Stakeholder & Grievance Committee Meeting	08/02/2022	3	3	100
11.	Nomination & Remuneration Committee Meeting	08/02/2022	3	3	100
12.	Audit Committee Meeting	08/02/2022	3	3	100
13.	Independent Directors Meeting	10/02/2022	3	3	100