

Form No.MGT-9**Extract of Annual Return as on 31st March 2021**

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

I. REGISTRATION AND OTHER DETAILS

- i) C I N U65990TN2018PLC120641
- ii) Registration Date 24-Jan-18
- iii) Name of the Company Sundaram Alternate Assets Limited
- iv) Category / Sub-category of the company Limited by shares / Indian Non-Government Company
- v) Address of the Registered office and contact details 21 Patullos Road, Chennai 600 002
Sri K Rajagopal
044 28569863
rajagopalk@sundaramalternates.com
- vi) Whether Listed Company Yes / No No
- vii) Name, Address and Contact details of Registrar and Transfer Agent, if any M/s. Cameo Corporate Services Ltd.
'Subramanian Building'
No.1, Club House Road, Chennai 600 002
Ph: 044 2846 0390 to 0395
Email: investor@cameoindia.com

II. PRINCIPAL BUSINESS ACTIVITIES OF THE COMPANY

All the business activities contributing 10% or more of the total turnover of the company shall be stated

Name & description of main products / services	NIC Code of the product/ services	% to total turnover of the company
Investment Management and Advisory Services	66309	100%

III. PARTICULARS OF HOLDING, SUBSIDIARY AND ASSOCIATE COMPANIES:-

Sl. No	Name and address of the company	CIN/GLN	Holding/Subsidiary/Associate	% of shares Held	Applicable Section
1	Sundaram Finance Limited, 21, Patullos Road, Chennai 600002	L65191TN1954PLC002429	Ultimate Holding Company	100%	2 (46)
2	Sundaram Asset Management Company Limited, 21, Patullos Road, Chennai 600002	U93090TN1996PLC034615	Holding Company	100%	2 (46)
3	Sundaram Alternative Opportunities Fund Mauritius Limited Level 6, GFin Tower, 42 Hotel Street, Cybercity, Ebene 72201, Mauritius	-	Subsidiary Company	100%	2 (87)
4	Sundaram Alternative Opportunities Fund II Mauritius Limited Level 6, GFin Tower, 42 Hotel Street, Cybercity, Ebene 72201, Mauritius	-	Subsidiary Company	100%	2 (87)

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

(i) Category-wise Share Holding

	Category of Shareholders	No. of shares held at the beginning of the year				No of shares held at the end of the year				% Change During the year
		Demat	Physical	Total	% of Total Shares	Demat	Physical	Total	% of Total Shares	
A.	Promoter									
	1) Indian									
a)	Individual / HUF	-	-	-	-	-	-	-	-	-
b)	Central Govt	-	-	-	-	-	-	-	-	-
c)	State Govt(s)	-	-	-	-	-	-	-	-	-
d)	Bodies Corp - Sundaram Asset Management Company Limited *	3,89,99,994	6	3,90,00,000	100%	3,89,99,994	6	3,90,00,000	100%	Nil
e)	Banks / FI	-	-	-	-	-	-	-	-	-
f)	Any Other	-	-	-	-	-	-	-	-	-
	Sub Total A(1)	3,89,99,994	6	3,90,00,000	100%	3,89,99,994	6	3,90,00,000	100%	Nil
	2) Foreign									
a)	NRIs - Individuals	-	-	-	-	-	-	-	-	-
b)	Other Individuals	-	-	-	-	-	-	-	-	-
c)	Bodies Corp.	-	-	-	-	-	-	-	-	-
d)	Banks / FI	-	-	-	-	-	-	-	-	-
e)	Any Other	-	-	-	-	-	-	-	-	-
	Sub Total A(2)	-	-	-	-	-	-	-	-	-
	Total Shareholding of promoter (A) = A(1) + (A)(2)	3,89,99,994	6	3,90,00,000	100%	3,89,99,994	6	3,90,00,000	100%	Nil
B.	Public Shareholding									
	1) Institutions									
a)	Mutual Funds	-	-	-	-	-	-	-	-	-
b)	Banks / FI	-	-	-	-	-	-	-	-	-
c)	Central Govt	-	-	-	-	-	-	-	-	-
d)	State Govt	-	-	-	-	-	-	-	-	-
e)	Venture Capital Funds	-	-	-	-	-	-	-	-	-
f)	Insurance Companies	-	-	-	-	-	-	-	-	-
g)	FIs	-	-	-	-	-	-	-	-	-
h)	Foreign Venture Capital Funds	-	-	-	-	-	-	-	-	-
i)	Others(Specify)	-	-	-	-	-	-	-	-	-
	Sub Total B(1)	-	-	-	-	-	-	-	-	-
	2) Non-Institutions									
a)	Bodies Corp.	-	-	-	-	-	-	-	-	-
i)	Indian	-	-	-	-	-	-	-	-	-
ii)	Overseas	-	-	-	-	-	-	-	-	-
b)	Individuals									
i)	Individual shareholders holding nominal share capital upto Rs.1 Lakh	-	-	-	-	-	-	-	-	-
ii)	Individual shareholders holding nominal share capital in excess of Rs.1 Lakh	-	-	-	-	-	-	-	-	-
c)	Others Specify	-	-	-	-	-	-	-	-	-
	Sub Total B(2)	-	-	-	-	-	-	-	-	-
	Total Public Shareholding (B) = B(1) + (B)(2)	-	-	-	-	-	-	-	-	-
C.	Shares held by custodian for GDRs & ADRs									
		-	-	-	-	-	-	-	-	-
	Grand Total (A) + (B) + (C)	3,89,99,994	6	3,90,00,000	100%	3,89,99,994	6	3,90,00,000	100%	Nil

* Includes 6 shares held by the nominees of Sundaram Asset Management Company Limited

ii) Shareholding of Promotors

Sl. No	Shareholder's Name	Shareholding at the beginning of the year			Shareholding at the end of the year			% change in share holding during the year
		No of Shares	% of total shares of the company	% of shares pledged / encumbered to total shares	No of Shares	% of total shares of the company	% of shares pledged / encumbered to total shares	
1	Sundaram Asset Management Company Ltd.*	3,90,00,000	100%	-	3,90,00,000	100%	-	-
	Total	3,90,00,000	100%	-	3,90,00,000	100%	-	-

* Includes 6 shares held by nominees of Sundaram Asset Management Company Limited

iii) Change in Promoter's Shareholding(Please specify, if there is no change)

Sl. No	Shareholder's Name	Shareholding at the beginning of the year		Cumulative shareholding during the year	
		No of Shares	% of total shares of the company	No of Shares	% of total shares of the company
1	Sundaram Asset Management Company Ltd At the beginning of the year Date wise increase / decrease At the End of the year	3,90,00,000 -	100% -	3,90,00,000 3,90,00,000	100% 100%

iv) Shareholding pattern of top ten shareholders
(Other than Directors, Promoters and Holders of GDRs and ADRs)

Sl. No	Shareholder's Name	Shareholding at the beginning of the year		Cumulative shareholding during the year	
		No of Shares	% of total shares of the company	No of Shares	% of total shares of the company
	At the beginning of the year Date wise increase / decrease in shareholding At the End of the year	Not Applicable			

v) Shareholding pattern of Directors and Key Managerial Personnel

Sl. No	For each of the Directors and KMP	Shareholding at the beginning of the year		Cummulative shareholding during the year	
		No of Shares	% of total shares of the company	No of Shares	% of total shares of the company
1	Mr Harsha Viji At the beginning of the year Date wise increase / decrease At the End of the year	NIL			
2	Mr Lakshminarayanan Duraiswamy At the beginning of the year Date wise increase / decrease At the End of the year				
3	Mr R Vijayendiran, Chief Executive Officer At the beginning of the year Date wise increase / decrease At the End of the year				
4	Mr Karthik Balachandran Athreya At the beginning of the year Date wise increase / decrease At the End of the year				
5	Mr Arvind Sethi At the beginning of the year Date wise increase / decrease At the End of the year				
6	Mrs Kalpana Ashok, Chief Financial Officer* At the beginning of the year Date wise increase / decrease At the End of the year				
7	Mr S Parthasarathy, Chief Financial Officer** At the beginning of the year Date wise increase / decrease At the End of the year				
8	Mr K Rajagopal, Secretary & Compliance Officer At the beginning of the year Date wise increase / decrease At the End of the year				

* till 12.08.2020

** from 12.08.2020

V. INDEBTEDNESS

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

	Amount (Rs. In lakhs)			
	Secured Loans excluding deposits	Unsecured Loans	Deposits	Total Indebtedness
Indebtedness at the beginning of the financial year				
i) Principal Amount	1269.84	-	-	1269.84
ii) Interest due but not paid	-	-	-	-
III) Interest accrued but not due	-	-	-	-
Total (i)+(ii)+(iii)	1,269.84	-	-	1,269.84
Change in Indebtedness during the financial year				
Addition	798.88	-	-	798.88
Reduction	839.65	-	-	839.65
Net Change	(40.77)	-	-	(40.77)
Indebtedness at the end of the financial year				
i) Principal Amount	1229.07	-	-	1229.07
ii) Interest due but not paid	-	-	-	-
III) Interest accrued but not due	-	-	-	-
Total (i)+(ii)+(iii)	1229.07	-	-	1229.07

VI REMUNERATION OF DIRECTORS AND KEY MANAGERIAL PERSONNEL

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

(Rs. In lakhs)

Sl. No	Particulars of Remuneration	Mr R Vijayendiran, CEO	Total Amount
1	Gross Salary		
	a) Salary as per provisions contained in section 17(1) of the Income tax Act, 1961	42.84	42.84
	b) Value of Perquisites u/s 17(2) of the Income Tax Act, 1961	57.54	57.54
	c) Profits in Lieu of salary under section 17(3) of the Income tax Act, 1961.		
2	Stock Option	-	-
3	Sweat Equity	-	-
4	Commission	42.80	42.80
	- as % of Profits	0.03	0.03
	- others, specify		
5	Contributions to Provident, Superannuation and Gratuity Funds	7.20	7.20
	Total (A)	150.38	150.38
	Ceiling as per the Act (5% of Net Profits) *		62.02

* The said ceiling is not applicable in the case of a newly incorporated company for a period of seven years from the date of incorporation as per Schedule V of the Companies Act, 2013.

B. Remuneration to Other Directors

(Rs. In lakhs)

Name of Directors	Particulars of Remuneration			Total Amount
	Fee for attending board/Committee meetings	Commission	Others, Please Specify	
Independent Directors:	Not Applicable			
Other Non-Executive Directors:				
Mr Harsha Viji	1.10	-	-	1.10
Mr Lakshminarayanan Duraiswamy	1.10	-	-	1.10
Mr Karthik Balachandran Atherya	0.50	-	-	0.50
Mr Arvind Sethi	0.70	2.50	-	3.20
Total (B)	3.40	2.50	-	5.90
Total Managerial Remuneration (A) + (B)				156.28
Overall Ceiling as per the Act (6% of Net Profits)				74.42

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

(Rs. In lakhs)

Sl. No	Particulars of Remuneration	Key Managerial Personnel			
		Mrs Kalpana Ashok, CFO Upto 11/08/20	Mr S Parthasarathy, CFO w.e.f 12/08/20	Mr K Rajagopal, Company Secretary	Total
1	Gross Salary				
	a) Salary as per provisions contained in Section 17(1) of the Income Tax Act, 1961	6.50	9.15	9.26	24.91
	b) Value of Perquisites u/s Section17(2) of the Income Tax Act, 1961	6.23	10.24	9.71	26.18
	c) Profits in Lieu of salary under Section 17(3) of the Income tax Act, 1961				
2	Stock Option	-	-	-	-
3	Sweat Equity	-	-	-	-
4	Commission	-	-	-	-
	- as % of Profits				
	'- Others, Specify				
5	Contributions to Provident, Superannuation and Gratuity Funds	0.79	1.29	1.21	3.29
	Total (A)	13.52	20.68	20.18	54.38

VII PENALTIES / PUNISHMENT / COMPOUNDING OF OFFENCES

There were no penalties / punishment / compounding of offences against the Company, Directors and other Officers in Default during the period ended 31st March 2021.