

Form No. MGT-7

ANNUAL RETURN

As on the financial year ended on 31/03/2020

Of

Mirae Asset Capital Markets (India) Private Limited

[Pursuant to Section 92(1) of the Companies Act, 2013  
And

Rule 11(1) of the Companies (Management and Administration) Rules, 2014]

I. REGISTRATION AND OTHER DETAILS:

(i) Corporate Identification Number (CIN) of the company

U65990MH2017  
FTC300493

Pre – fill

Global Location Number (GLN) of the company

Permanent Account Number (PAN) of the company.

AALCM3742K

(ii) (a) Name of The Company

MIRAE ASSET CAPITAL MARKETS (INDIA) PRIVATE  
LIMITED

(b) Registered Office Address

506, Windsor Building, 5th floor, Off CST Road  
Kalina, Vidyanagari Marg, Santacruz East  
Mumbai  
Mumbai City  
Maharashtra  
400098

(c) \*E-Mail ID of the  
Company

macm.compliance@miraeassetcm.com

(d) \*Telephone No. with STD  
Code

9833005118

(e) Website

cm.miraeasset.co.in

(iii) Date of  
Incorporation

06/10/2017

(iv)	Type of the Company	Category of the Company	Sub-category of the Company
	Private Company	Company limited by shares	Subsidiary of Foreign 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.		
2.		

(vii) Financial Year From  (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

d) if yes, provide the Service Request Number of the application Form filed for extension

e) Extended Due Date after grant of Extension  **Pre - fill**

## II. PRINCIPAL BUSINESS ACTIVITIES OF THE COMPANY

\*Number of Business Activities

Sr.No	Main Activity group Code	Description of Main Activity group	Business Activity Code	Description of Business Activity	% of Total Turnover of Company
1.	K	Financial and insurance Service	K7	Financial Advisory, brokerage and Consultancy Services	100

## III. PARTICULARS OF HOLDING, SUBSIDIARY, JOINT VENTURE AND ASSOCIATE COMPANIES

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

Sr.No	Name of the Company	CIN/FCRN	Holding/ Subsidiary / Joint Venture/Associate	% of Shares held
1.	Mirae Assets Securities (HK) Limited		Holding	100
2.	Mirae Asset Credit Opportunities Fund		Subsidiary	65.89
3.	MACM India Growth Fund		Subsidiary	99.60

## IV. SHARE CAPITAL, DEBENTURES AND OTHER SECURITIES OF THE COMPANY

(i) \*SHARE CAPITAL



**(a) Equity Share Capital**

Particulars	Face Value	Authorized Capital	Issued Capital	Subscribed Capital	Paid Up Capital
Total Number of Equity Shares	10	2,025,000,00	1,950,000,00	1,950,000,00	1,950,000,00
Total amount of Equity Shares(in rupees)	10	20,250,000,00	19,500,000,00	19,500,000,00	19,500,000,00

**Number of Classes**

Class of Shares <input type="text"/>	Authorized Capital	Issued Capital	Subscribed Capital	Paid up Capital
Number of Equity Shares	2,025,000,00	1,950,000,00	1,950,000,00	1,950,000,00
Nominal Value Per Share(in rupees)	10	10	10	10
Total amount of Equity Shares(in rupees)	20,250,000,000	19,500,000,000	19,500,000,000	19,500,000,000

**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:

Class of Shares <input type="text"/>	Authorized 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	Authorized Share 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
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<b>Equity Shares</b>				
<b>At the Beginning of the Year</b>	1,950,000,000	19,500,000,000	19,500,000,000	
<b>Increase during the Year</b>	0	0	0	0
i) Public Issue	0	0	0	0
ii) Right Issue	0	0	0	0
iii) Bonus Issue	0	0	0	0
iv) Private Placement/ Preferential Allotment	0	0	0	0
v) ESOPs	0	0	0	0
vi) Sweat Equity Shares Allotted	0	0	0	0
vii) Conversion of Preference Shares	0	0	0	0
viii) Conversion of Debentures	0	0	0	0
ix) GDRs/ADRs	0	0	0	0
x) Others, specify 0	0	0	0	0
	0	0	0	0
<b>Decrease during the year</b>	0	0	0	0
i) Buy-Back of Shares	0	0	0	0
ii) Shares Forfeited	0	0	0	0
iii) Reduction of Share Capital	0	0	0	0
iv) Others, Specify 0	0	0	0	0
<b>At the end of Year</b>	1,950,000,000	19,500,000,000	19,500,000,000	
<b>Preference Shares</b>				
<b>At the Beginning of the Year</b>	0	0	0	0
<b>Increase during the Year</b>	0	0	0	0
i) Issues of Shares	0	0	0	0
ii) Re-Issue of Forfeited Shares	0	0	0	0
iii) Others, Specify 0 0	0	0	0	0
	0	0	0	0
	0	0	0	0
<b>Decrease during the year</b>	0	0	0	0
i) Redemption of Shares	0	0	0	0
ii) Shares Forfeited	0	0	0	0
iii) Reduction of Share Capital	0	0	0	0
iv) Others, Specify 0	0	0	0	0
<b>At the end of Year</b>	0	0	0	0

(ii) Details of Stock Split/Consolidation during the year(for each class of shares ):

0

Class of Shares	(i)	(ii)	(iii)
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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 Transfer since closure date of last Financial year(or in the case of first return at any time since the incorporation of the company) \***

**a. Nil**

Details being provided in 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 previous AGM			
<b>27/09/2019</b>			
Date of Registration of Transfer of Shares (28022020)			
Type of Transfer	Equity	1. Equity 2. Preference 3. Debentures 4. Stock	
Number of Shares/ Debentures/Units Transferred: 1	Amount Per Share in Rupees: 10		
Ledger Folio of Transferor : 2			
Transferor's Name	Ryu		Benedict
	Surname	Middle name	First name
Ledger Folio of Transferee: 3			
Transferee's Name	Ryoo	Choon	Sung
	Surname	Middle name	First name
Date of Registration of Transfer of Shares			
Type of Transfer		1. Equity 2. Preference 3. Debentures 4. Stock	
Number of Shares/ Debentures Transferred:	Amount Per Share in Rupees:		
Ledger Folio of Transferor			
Transferor's Name			
	Surname	Middle name	First name
Ledger Folio of Transferee			
Transferee's Name			
	Surname	Middle name	First name

**iv) \*Indebtedness Including Debentures (Outstanding as at the end of the 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



Secured Loans (including interests outstanding/accrued but not due for payment)Excluding Deposits	0	0	0
Unsecured Loans (including interests outstanding/accrued but not due for payment)Excluding Deposits	0	0	0
Deposits	0	0	0
<b>Total</b>	0	0	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
<b>Total</b>					

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

##### i) Turnover

₹ 114. 91 crores

##### ii) Net worth of the Company

₹ 2085.11 crores

#### VI. (a) \*SHARE HOLDING PATTERN- Promoters

S. No.	Category	Equity		Preference	
		Number of Shares	Percentage	Number of Shares	Percentage
1.	Individual/HUF				
	(i) Indian	0	0	0	
	(ii) Non-resident Indian (NRI)	0	0	0	
	(iii) Foreign national (otherthan 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)	1,949,999,999	100	0	
10.	Others				
	Foreign individual as a Nominee of Body Corporate	1	0	0	
	<b>Total</b>	1,950,000,000	100	0	0

**Total Number of Shareholders(promoters)**

**2**

**(b) \* SHARE HOLDING PATTERN- Public/ Other than promoters**

Sr.No.	Category	Equity		Preference	
		Number of Shares	Percentage	Number of Shares	Percentage
1.	Individual/HUF	0	0	0	
	( i) Indian	0	0	0	
	(ii) Non-resident Indian (NRI)	0	0	0	
	(iii) Foreign national (other than NRI)	0	0	0	
2.	Government	0	0	0	
	(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	0
	0	0	0	0	0
	<b>Total</b>	0	0	0	0

**Total Number of Shareholders(other than promoters)**

**0**

**Total Number of Shareholders (Promoters + Public/Other than promoters)**

**2**

**VII. \* NUMBER OF PROMOTERS, MEMBERS, DEBENTURE HOLDERS**

Details	As at beginning of the year	As at end of the year
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Promoters	2	2
Members(other than promoters)	0	0
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 the directors as at the end of year	
	Executive	Non-Executive	Executive	Non-Executive	Executive	Non-Executive
<b>A. Promoter</b>	0	0	0	0	0	0
<b>B. Non-Promoter</b>	1	1	1	1	0	0
(i) Non-Independent	1	1	1	1	0	0
(ii) Independent	0	0	0	0	0	0
<b>C. Nominee Directors Representing</b>	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 shareholders	0	0	0	0	0	0
v) Others	0	0	0	0	0	0
<b>Total</b>	1	1	1	1	0	0

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

2

(B) (i) \* Details of directors and Key managerial personnel as on the closure of financial year

4

Name	DIN/PAN	Designation	Number of equity shares held	Date of cessation (after closure of financial year ,if any)
BENEDICT HANSEOK	07936385	Director	0	29/04/2020
KRISHNA KANHAIYA	07919729	Director	0	
SUNG CHOON RYOO		CEO	1	
KOMAL CHAWHAN	ATHPC65 93L	Company Secretary	0	29/06/2020

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

3

Name	DIN/PAN	Designation at the beginning /during the year	Date of appointment/change in designation	Nature of change(Appointment/ change in designation /Cessation)
SUNG CHOON RYOO		CEO	01/01/2020	APPOINTMENT
URVI JANTRE	ANUPM6 145P	Company Secretary	31/07/2019	CESSATION
KOMAL CHAWHAN	ATHPC65 93L	Company Secretary	01/08/2019	APPOINTMENT



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

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

Number of meetings held:

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	27/09/2019	2	2	100

### B. BOARD MEETINGS

Number of meetings held:

S. No.	Date of meeting	Total Number of directors associated as on the date of meeting	Attendance	
			Number of directors attended	% of attendance
1.	15-04-2019	2	2	100
2.	31-07-2019	2	2	100
3.	23-09-2019	2	2	100
4.	16-12-2019	2	2	100
5.	24-02-2020	2	2	100

### C.COMMITTEE MEETINGS

Number of meetings held:

S. No.	Type of meeting	Date of meeting	Total Number of members as on the date of meeting	Attendance	
				Number of members attended	% of attendance
1.	Corporate Social Responsibility	23/09/2019	2	2	100

### D. \*ATTENDANCE OF DIRECTORS

S.N o.	Name of the Director	Board Meetings			Committee Meetings			Whether attended last AGM held on (Y/N/NA)
		No. of meetings which were entitled to attend	No. of meetings attended	% of attendance	No. of meetings held	No. of meetings attended	% of attendance	
	BENEDI	5	5	100	1	1	100	Yes



	CT HANSE OK							
	RISHNA ANHAIY	5	5	100	1	1	100	No

#### X. \*REMUNERATION OF DIRECTORS AND KEY MANAGERIAL PERSONNEL

Number of Managing Director, Whole - time Directors and/or Manager whose remuneration details to be Entered

SrNo	Name	Designation	Gross Salary	Commission	Stock Option/ Sweat Equity	Others	Total Amount
1.	Benedict Hanseok Ryu	Director	14059513	0	0	0	14059513
	<b>Total</b>						

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

Sr No	Name	Designation	Gross Salary	Commission	Stock Option/ Sweat Equity	Others	Total Amount
1.	Sung Choon Ryoo	CEO	5231440	0	0	0	5231440
2.	Komal Chawhan	Company Secretary	391780	0	0	150000	541780
3.	Urvi Jantre	Company Secretary	330972	03	0	0	330972
	<b>Total</b>						

Number of other directors whose remuneration details to be entered

Sr No	Name	Designation	Gross Salary	Commission	Stock Option/ Sweat Equity	Others	Total Amount
1.							
2.							
	<b>Total</b>						

#### XI. MATTERS RELATED TO CERTIFICATION OF COMPLIANCES AND DISCLOSURES

##### A. CERTIFICATION OF COMPLIANCES

Whether company has made compliances and disclosures in respect of applicable provisions of the Companies Act, 2013 during the year. ☐ yes ☐ No

If No, give details along with the reasons/observations



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## **XII. PENALTY AND PUNISHMENT- DETAILS THERXOF - NIL**

### **(A) DETAILS OF PENALTIES / PUNISHMENT IMPOSED ON COMPANY/DIRECTORS/ OFFICERS**

Name of the company/ directors/ officers	Name ofthe count/ concerned Authority	Date of Order	Name oftheactand section underwhich penalized /punished	Details of penalty/ punishment	Details ofappeal (ifany) including present status

### **(B) DETAILS OF COMPOUNDING OF OFFENCES - NIL**

Name of the company/ directors/ officers	Name ofthe count/ concerned Authority	Date of Order	Name oftheactand section underwhich penalized /punished	Particulars of offence	Amount of compounding (inrupees)

## **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 LISTEDCOMPANIES**

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

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Whether associate or fellow

☐

Associate

☐

Fellow

Certificate of practice number

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### **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



by invitation to the public to subscribe for any securities of the company.

- (d) 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 authorized by the board of Directors of the company vide resolution no. **03** dated **25/09/2020** (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

**08669680**

#### To be digitally signed by

- ☐ Company Secretary
- ☐ Company Secretary in practice

Membership number

A  
2  
0  
1  
8  
9

Certificate of practice number

#### Attachments

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