

**MINISTRY OF CORPORATE AFFAIRS****RECEIPT****G.A.R.7****SRN :** R71312227**Service Request Date :** 17/11/2020**Payment made into :** State Bank of India**Received From :****Name :** MOHAN ram GOENKA**Address :** 46, B. B. Ganguly Street

Kolkata, West Bengal

IN - 700012

**Entity on whose behalf money is paid****CIN:** L29219WB1985PLC055352**Name :** SREI INFRASTRUCTURE FINANCE LIMITED**Address :** VISHWAKARMA,86C,TOPSIA ROAD (SOUTH),

KOLKATA, West Bengal

India - 700046

**Full Particulars of Remittance****Service Type:** eFiling

<b>Service Description</b>	<b>Type of Fee</b>	<b>Amount(Rs.)</b>
Fee for Form MGT-7 for the financial year ending on 2020	Normal	600.00
<b>Total</b>		<b>600.00</b>

**Mode of Payment:** Internet Banking - State Bank of India**Received Payment Rupees:** Six Hundred Only

Note –The Registrar may examine this eForm any time after the same is processed by the system under Straight Through Process (STP). In case any defects or incompleteness in any respect is noticed by the Registrar , then this eForm shall be treated and labeled as defective and the eForm shall have to be filed afresh with the fee and additional fee, as applicable. (Please refer Rule 10 of the Companies (Registration offices offices and Fees) Rules, 2014)

# 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]



# Annual Return

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	<input type="text" value="L29219WB1985PLC055352"/>	<input type="button" value="Pre-fill"/>						
Global Location Number (GLN) of the company	<input type="text"/>							
* Permanent Account Number (PAN) of the company	<input type="text" value="AAACS1425L"/>							
(ii) (a) Name of the company	<input type="text" value="SREI INFRASTRUCTURE FINANCI"/>							
(b) Registered office address	<input type="text" value="VISHWAKARMA,86C,TOPSIA ROAD (SOUTH),&lt;br/&gt;KOLKATA&lt;br/&gt;West Bengal&lt;br/&gt;700046&lt;br/&gt;India"/>							
(c) *e-mail ID of the company	<input type="text" value="secretarial@srei.com"/>							
(d) *Telephone number with STD code	<input type="text" value="03361607734"/>							
(e) Website	<input type="text" value="www.srei.com"/>							
(iii) Date of Incorporation	<input type="text" value="29/03/1985"/>							
(iv)	<table border="1"><thead><tr><th>Type of the Company</th><th>Category of the Company</th><th>Sub-category of the Company</th></tr></thead><tbody><tr><td>Public Company</td><td>Company limited by shares</td><td>Indian Non-Government company</td></tr></tbody></table>	Type of the Company	Category of the Company	Sub-category of the Company	Public Company	Company limited by shares	Indian Non-Government company	
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	<input checked="" type="radio"/> Yes	<input type="radio"/> No						
(vi) *Whether shares listed on recognized Stock Exchange(s)	<input checked="" type="radio"/> Yes	<input type="radio"/> No						

(a) Details of stock exchanges where shares are listed

S. No.	Stock Exchange Name	Code
1	BSE Ltd. and National Stock Exchange of India Ltd.	1,025

(b) CIN of the Registrar and Transfer Agent

U72400TG2017PTC117649

Pre-fill

Name of the Registrar and Transfer Agent

KFIN TECHNOLOGIES PRIVATE LIMITED

Registered office address of the Registrar and Transfer Agents

Selenium, Tower B, Plot No- 31 & 32,  
Financial District, Nanakramguda, Serilingampally

(vii) \*Financial year From date 01/04/2019 (DD/MM/YYYY) To date 31/03/2020 (DD/MM/YYYY)

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

(a) If yes, date of AGM 19/09/2020

(b) Due date of AGM 30/09/2020

(c) Whether any extension for AGM granted  Yes  No

## 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	K8	Other financial activities	77.94

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

\*No. of Companies for which information is to be given 13

Pre-fill All

S.No	Name of the company	CIN / FCRN	Holding/ Subsidiary/Associate/ Joint Venture	% of shares held
1	ADISRI COMMERCIAL PRIVATE	U67190WB2014PTC199720	Holding	60.36
2	SREI CAPITAL MARKETS LIMITE	U67190WB1998PLC087155	Subsidiary	100

3	TRINITY ALTERNATIVE INVESTM	U65999WB1994PLC065722	Subsidiary	100
4	HYDERABAD INFORMATION TE	U72200TG1998PLC029282	Subsidiary	51
5	CYBERABAD TRUSTEE COMPAI	U72200TG1999PTC033128	Subsidiary	51
6	BENGAL SREI INFRASTRUCTUR	U70109WB2004PLC100517	Subsidiary	51
7	CONTROLLA ELECTROTECH PV	U29303WB1991PTC052455	Subsidiary	100
8	SREI MUTUAL FUND ASSET MA	U65990WB2009PTC139801	Subsidiary	100
9	SREI MUTUAL FUND TRUST PRI	U65990WB2009PTC139790	Subsidiary	100
10	SREI INSURANCE BROKING PRI	U67120WB2002PTC095019	Subsidiary	100
11	SREI ASSET LEASING LIMITED	U65999WB2014PLC202301	Subsidiary	100
12	SREI EQUIPMENT FINANCE LIM	U70101WB2006PLC109898	Subsidiary	100
13	IIS INTERNATIONAL INFRASTRU		Associate	49.13

#### 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	1,000,000,000	503,086,333	503,086,333	503,086,333
Total amount of equity shares (in Rupees)	10,000,000,000	5,030,863,330	5,030,863,330	5,030,863,330

Number of classes

1

Class of Shares	Authorised capital	Issued capital	Subscribed capital	Paid up capital
Equity Shares of Rs. 10/- each				
Number of equity shares	1,000,000,000	503,086,333	503,086,333	503,086,333
Nominal value per share (in rupees)	10	10	10	10
Total amount of equity shares (in rupees)	10,000,000,000	5,030,863,330	5,030,863,330	5,030,863,330

###### (b) Preference share capital

Particulars	Authorised capital	Issued capital	Subscribed capital	Paid-up capital
Total number of preference shares	50,000,000	0	0	0
Total amount of preference shares (in rupees)	5,000,000,000	0	0	0

Number of classes

1

Class of shares	Authorised capital	Issued capital	Subscribed capital	Paid up capital
Preference Shares of Rs.100/-each				
Number of preference shares	50,000,000	0	0	0
Nominal value per share (in rupees)	100	100	100	100
Total amount of preference shares (in rupees)	5,000,000,000	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
<b>Equity shares</b>				
<b>At the beginning of the year</b>	503,086,333	5,030,863,330	5,030,863,330	
<b>Increase during the year</b>	0	0	0	0
i. Public Issues	0	0	0	0
ii. Rights 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 share	0	0	0	0
viii. Conversion of Debentures	0	0	0	0
ix. GDRs/ADRs	0	0	0	0
x. Others, specify				

<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				
<b>At the end of the year</b>	503,086,333	5,030,863,330	5,030,863,330	

### Preference shares

#### At the beginning of the year

#### Increase during the year

##### i. Issues of shares

##### ii. Re-issue of forfeited shares

##### iii. Others, specify

#### Decrease during the year

##### i. Redemption of shares

##### ii. Shares forfeited

##### iii. Reduction of share capital

##### iv. Others, specify

#### At the end of the year

(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	<input type="text" value="27/07/2019"/>
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Date of registration of transfer (Date Month Year)	<input type="text"/>
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Type of transfer	<input type="text"/>	1 - Equity, 2- Preference Shares,3 - Debentures, 4 - Stock
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Number of Shares/ Debentures/ Units Transferred	<input type="text"/>	Amount per Share/ Debenture/Unit (in Rs.)	<input type="text"/>
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Ledger Folio of Transferor	<input type="text"/>
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Transferor's Name	<input type="text"/>	<input type="text"/>	<input type="text"/>
	Surname	middle name	first name

Ledger Folio of Transferee	<input type="text"/>
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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"/>
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Type of transfer	<input type="text"/>	1 - Equity, 2- Preference Shares,3 - Debentures, 4 - Stock
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Number of Shares/ Debentures/ Units Transferred	<input type="text"/>	Amount per Share/ Debenture/Unit (in Rs.)	<input type="text"/>
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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) \*Indebtedness including debentures (Outstanding as at the end of financial year)**

Particulars	Number of units	Nominal value per unit	Total value
Non-convertible debentures	3,300	1000000	3,300,000,000
Partly convertible debentures	0	0	0
Fully convertible debentures	0	0	0
Secured Loans (including interest outstanding/accrued but not due for payment) excluding deposits			0
Unsecured Loans (including interest outstanding/accrued but not due for payment) excluding deposits			4,842,594,543
Deposit			10,000
<b>Total</b>			<b>8,142,604,543</b>

**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
<b>Non-convertible debentures</b>	27,891,500,000	1,157,565,000	25,749,065,000	3,300,000,000
<b>Partly convertible debentures</b>	0	0	0	0
<b>Fully convertible debentures</b>	0	0	0	0

**(v) Securities (other than shares and debentures)**

1



Type of Securities	Number of Securities	Nominal Value of each Unit	Total Nominal Value	Paid up Value of each Unit	Total Paid up Value
COMMERCIAL PAPER	7,966	500000	3,983,000,000	500000	3,983,000,000
Total	7,966		3,983,000,000		3,983,000,000

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

### (i) Turnover

9,407,535,676

### (ii) Net worth of the Company

28,729,145,540

## 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	2,182,714	0.43	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)	303,685,845	60.36	0	

10.	Others	0	0	0	
	<b>Total</b>	305,868,559	60.79	0	0

**Total number of shareholders (promoters)**

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**(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	104,803,167	20.83	0	
	(ii) Non-resident Indian (NRI)	8,765,462	1.74	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	29,484	0.01	0	
6.	Foreign institutional investors	41,064,843	8.16	0	
7.	Mutual funds	0	0	0	
8.	Venture capital	0	0	0	
9.	Body corporate (not mentioned above)	35,766,560	7.11	0	
10.	Others CLEARING MEMBERS, TRUS	6,788,258	1.35	0	
	<b>Total</b>	197,217,774	39.2	0	0

**Total number of shareholders (other than promoters)**

73,155

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

73,159

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

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Name of the FII	Address	Date of Incorporation	Country of Incorporation	Number of shares held	% of shares held
FIDELITY INVESTMENT	245 Summer Street Boston Massac		US	26,498,940	5.27
GOVERNMENT PENSIC	Bankplassen 2 P O Box 1179 Sentri		NO	4,358,890	0.87
VANGUARD TOTAL IN	100 VANGUARD BOULEVARD MAL		US	2,628,603	0.52
VANGUARD EMERGIN	100 VANGUARD BOULEVARD MAL		US	2,234,134	0.44
MORGAN STANLEY AS	CITIBANK N.A. CUSTODY SERVICES		IN	1,959,123	0.39
EMERGING MARKETS (	6300 Bee Cave Road Building One		US	838,911	0.16
DIMENSIONAL EMERG	6300 Bee Cave Road Building One		US	629,088	0.12
VANGUARD FTSE ALL-	100 VANGUARD BOULEVARD MAL		US	540,446	0.11
NOMURA SINGAPORE	HSBC SECURITIES SERVICES, GOREI		IN	498,956	0.1
SPDR S AND P EMERG	STATE STREET FINANCIAL CENTER		US	232,500	0.04
BELGIAN INVESTMENT	188A AVENUE DE TERVUREN B4 B-		BE	180,000	0.04
THE BOEING COMPAN	CITIBANK N.A. CUSTODY SERVICES		IN	178,340	0.04
INTEGRATED CORE ST	80 RAFFLES PLACE UOB PLAZA 2 1		SG	133,112	0.03
INDIA OPPORTUNITIES	4TH FLOOR 19 BANK STREET CYBE		MU	100,000	0.02
ANTONY T F LUNDY	EDELWEISS CUSTODIAL SERVICES		IN	52,000	0.01
SOCIETE GENERALE	29 BOULEVARD HAUSSMANN PAR		FR	1,800	0

**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	4	4
Members (other than promoters)	74,966	73,155
Debenture holders	75,214	7

**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	0.08	0
<b>B. Non-Promoter</b>	0	8	0	7	0	0.36
(i) Non-Independent	0	2	0	1	0	0.36
(ii) Independent	0	6	0	6	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 share holders	0	0	0	0	0	0
(v) Others	0	0	0	0	0	0
Total	1	8	1	7	0.08	0.36

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

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**(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)
HEMANT KANORIA	00193015	Whole-time director	380,000	
SUNIL KANORIA	00421564	Director	1,802,714	
TAMALI SENGUPTA	00358658	Director	0	
RAM KRISHNA AGARWAL	00416964	Director	0	
MALAY MUKHERJEE	02272425	Director	0	
PUNITA KUMAR SINHA	05229262	Director	0	
SRNIVASACHARI RAJ	00022609	Director	0	
SHYAMALENDU CHATTERJEE	00048249	Director	0	

Name	DIN/PAN	Designation	Number of equity share(s) held	Date of cessation (after closure of financial year : If any)
SANDEEP KUMAR LAKH	AAXPL4123C	Company Secretary	335,993	
RAKESH KUMAR BHUN	ADPPB9322E	CEO	0	
SANDEEP KUMAR SUI	ALWPS5812P	CFO	0	

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

4

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)
HEMANT KANORIA	00193015	Managing Director	01/04/2019	CHANGE IN DESIGNATION
BALAJI VISWANATHAN	01794148	Additional director	27/07/2019	CHANGE IN DESIGNATION
TAMALI SENGUPTA	00358658	Additional director	27/07/2019	CHANGE IN DESIGNATION
BALAJI VISWANATHAN	01794148	Director	14/11/2019	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	27/07/2019	75,034	2,205	61.67

**B. BOARD MEETINGS**

\*Number of meetings held

5

S. No.	Date of meeting	Total Number of directors associated as on the date of meeting	Attendance	
			Number of directors attended	% of attendance
1	25/05/2019	9	9	100
2	04/07/2019	9	9	100
3	07/08/2019	9	8	88.89
4	11/11/2019	9	9	100

S. No.	Date of meeting	Total Number of directors associated as on the date of meeting	Attendance	
			Number of directors attended	% of attendance
5	14/02/2020	8	8	100

### C. COMMITTEE MEETINGS

Number of meetings held

19

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	Audit Committee	25/05/2019	5	5	100
2	Audit Committee	04/07/2019	5	5	100
3	Audit Committee	07/08/2019	5	5	100
4	Audit Committee	11/11/2019	5	5	100
5	Audit Committee	14/02/2020	5	5	100
6	Nomination and Remuneration	20/05/2019	3	3	100
7	Nomination and Remuneration	11/11/2019	3	3	100
8	Corporate Social Responsibility	20/05/2019	3	3	100
9	Corporate Social Responsibility	11/11/2019	3	3	100
10	Stakeholders Forum	30/04/2019	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	
1	HEMANT KAN	5	5	100	12	11	91.67	Yes
2	SUNIL KANOF	5	5	100	18	16	88.89	Yes
3	TAMALI SENC	5	5	100	0	0	0	Yes
4	RAM KRISHN	5	5	100	5	5	100	Yes
5	MALAY MUKH	5	5	100	5	5	100	Yes

6	PUNITA KUM,	5	5	100	0	0	0	Yes
7	SRNIVASACH	5	5	100	7	7	100	Yes
8	SHYAMALENI	5	5	100	19	18	94.74	Yes

**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	HEMANT KANORIA	Wholetime Direc	21,000,000	0	0	3,660,000	24,660,000
	Total		21,000,000	0	0	3,660,000	24,660,000

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

3

S. No.	Name	Designation	Gross Salary	Commission	Stock Option/ Sweat equity	Others	Total Amount
1	RAKESH KUMAR E	CEO(KMP)	29,631,073	0	0	32,400	29,663,473
2	SANDEEP KUMAR	CFO(KMP)	7,255,431	0	0	32,400	7,287,831
3	SANDEEP LAKHOT	COMPANY SEC	9,843,974	0	0	32,400	9,876,374
	Total		46,730,478	0	0	97,200	46,827,678

Number of other directors whose remuneration details to be entered

8

S. No.	Name	Designation	Gross Salary	Commission	Stock Option/ Sweat equity	Others	Total Amount
1	SUNIL KANORIA	NON-EXECUTIV	0	0	0	1,050,000	1,050,000
2	BALAJI VISWANAT	NON-EXECUTIV	0	0	0	430,000	430,000
3	SRINIVASACHARI	INDEPENDENT	0	0	0	745,000	745,000
4	SHYAMALENDU C	INDEPENDENT	0	0	0	1,070,000	1,070,000
5	PUNITA KUMAR SI	INDEPENDENT	0	0	0	625,000	625,000
6	RAM KRISHNA AG	INDEPENDENT	0	0	0	710,000	710,000
7	MALAY MUKHERJE	INDEPENDENT	0	0	0	800,000	800,000
8	TAMALI SENGUPT	INDEPENDENT	0	0	0	525,000	525,000
	Total		0	0	0	5,955,000	5,955,000

**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

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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)
HEMANT KANORI	Office of the Regio	28/05/2019	Section 92(3), 129,	As stated in show c	710,000
SANDEEP KUMAR	Office of the Regio	28/05/2019	Section 92(3)	As stated in show c	10,000
KISHORE KUMAR	Office of the Regio	28/05/2019	Section 92(3), 129,	As stated in show c	710,000
SREI INFRASTRU	Office of the Regio	28/05/2019	Section 92(3)	As stated in show c	10,000

**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

MOHAN RAM GOENKA

Whether associate or fellow

Associate  Fellow

Certificate of practice number

2551



**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

HEMANT KANORIA  
Digitally signed by HEMANT KANORIA  
Date: 2020.11.17 19:49:43 +05'30'

DIN of the director

**To be digitally signed by**

SANDEEP KUMAR LAKHOTIA  
Digitally signed by SANDEEP KUMAR LAKHOTIA  
Date: 2020.11.17 20:28:00 +05'30'

- 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**

Debentures as on 31032020 SIFL.pdf  
Additional Note 2020.pdf  
Details of Committee Meetings.pdf  
Additional Note - Shareholding Details.pdf  
SIF\_Details of FIIIs\_31032020.pdf  
SIFL\_List of Share Transfer.pdf  
MGT-8.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**

