

# AAUM INVESTMENT ADVISERS PRIVATE LIMITED

(Formerly Known as Wolfensohn India Advisors Private Limited)

Regd Office: No. 207 (93), Venkatachalam Street, Mylapore, Chennai 600004

Ph: 9867248884; Email: mahesh.parasuraman@gmail.com

CIN: U67120TN2008PTC128962

## ANNEXURE B

### Form MGT-9

#### Extract of Annual Return

As on the financial year ended on March 31, 2019

[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)	CIN:	U67120TN2008PTC128962
ii)	Registration Date:	05/05/2008
iii)	Name of the Company:	AAUM Investment Advisers Private Limited
iv)	Category/Sub-Category of the Company	Private Company Limited by Shares Indian Non-Government Company
v)	Address of the Registered Office and contact details	No. 207 (93), Venkatachalam Street, Mylapore, Chennai 600004 Contact: 9867248884
vi)	email	mahesh.parasuraman@gmail.com
vii)	Whether listed company	Yes/No
viii)	Name, Address and Contact details of Registrar and Transfer Agent, if any	Not Applicable

#### II. PRINCIPAL BUSINESS ACTIVITIES OF THE COMPANY

All the business activities contributing 10% or more of the total turnover of the company:

Sl. No.	Name and Description of main products / services	NIC Code of the Product/ service	% to total turnover of the company
1.	Investment Advisory Services	6619	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.	Amicus Capital Managers, Mauritius	135065 C1/GBL	Subsidiary	100	2(87)(ii)



## AAUM INVESTMENT ADVISERS PRIVATE LIMITED

(Formerly Known as Wolfensohn India Advisors Private Limited)

Regd Office: No. 207 (93), Venkatachalam Street, Mylapore, Chennai 600004

Ph: 9867248884; Email: mahesh.parasuraman@gmail.com

CIN: U67120TN2008PTC128962

i) Individual shareholders holding nominal share capital upto Rs. 1 lakh	NIL	NIL	NIL	NIL	NIL	NIL	NIL	NIL	NIL
ii) Individual shareholders holding nominal share capital in excess of Rs 1 lakh	NIL	NIL	NIL	NIL	NIL	NIL	NIL	NIL	NIL
c) Others(specify)-Rajive Johri (HUF) and Kaizen Domestic Scheme 1 (Fund)	NIL	NIL	NIL	NIL	NIL	NIL	NIL	NIL	NIL
<b>Sub-total(B)(2)</b>	<b>NIL</b>	<b>NIL</b>	<b>NIL</b>	<b>NIL</b>	<b>NIL</b>	<b>NIL</b>	<b>NIL</b>	<b>NIL</b>	<b>NIL</b>
<b>Total Public Shareholding (B)=(B)(1)+ (B)(2)</b>	<b>NIL</b>	<b>NIL</b>	<b>NIL</b>	<b>NIL</b>	<b>NIL</b>	<b>NIL</b>	<b>NIL</b>	<b>NIL</b>	<b>NIL</b>
<b>C. Shares held by Custodian for GDRs &amp; ADRs</b>	<b>NIL</b>	<b>NIL</b>	<b>NIL</b>	<b>NIL</b>	<b>NIL</b>	<b>NIL</b>	<b>NIL</b>	<b>NIL</b>	<b>NIL</b>
<b>Grand Total (A+B+C)</b>	<b>NIL</b>	<b>16,30,372</b>	<b>16,30,372</b>	<b>100</b>	<b>NIL</b>	<b>16,30,372</b>	<b>16,30,372</b>	<b>100</b>	<b>NIL</b>

### (ii) Shareholding of Promoters

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 (Rs 10/-each)	%of total Shares of the Company	%of Shares Pledged/encumbered to total shares	No. of Shares (Rs 10/-each)	%of total Shares of the company	%of Shares Pledged/encumbered to total shares	
1.	Mr. Mahesh Parasuraman	611390	37.50	NIL	611390	37.50	NIL	NIL
2.	Mr. Sunil Theckath Vasudevan	1018982	62.50	NIL	1018982	62.50	NIL	NIL
<b>Total</b>		<b>1630372</b>	<b>100</b>	<b>NIL</b>	<b>1630372</b>	<b>100</b>	<b>NIL</b>	<b>NIL</b>

### (iii) Change in Promoters' Shareholding (please specify, if there is no change)

There was no change in promoter's shareholding during the year

## AAUM INVESTMENT ADVISERS PRIVATE LIMITED

(Formerly Known as Wolfensohn India Advisors Private Limited)

Regd Office: No. 207 (93), Venkatachalam Street, Mylapore, Chennai 600004

Ph: 9867248884; Email: mahesh.parasuraman@gmail.com

CIN: U67120TN2008PTC128962

### (iv) Shareholding Pattern of top ten Shareholders (other than Directors, Promoters and Holders of GDRs and ADRs):

Sl.		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	NA	NA	NA	NA
	Date wise Increase / Decrease in Shareholding during the year specifying the reasons for increase / decrease (e.g. allotment / transfer / bonus / sweat equity etc.)	NA	NA	NA	NA
	At the End of the year (or on the date of separation, if separated during the year)	NA	NA	NA	NA

### (v) Shareholding of Directors and Key Managerial Personnel:

Sl. No.		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
<b>1.</b>	<b>Mr. Mahesh Parasuraman, Director</b>				
	At the beginning of the year	611390	37.50	611390	37.50
	Date wise Increase / Decrease in Shareholding during the year specifying the reasons for increase/ decrease (e.g. allotment / transfer / bonus/ sweat equity etc)	NIL	NIL	NIL	NIL
	At the End of the year	611390	37.50	611390	37.50

Sl. No.	Particulars	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
	<b>Mr. Sunil Theckath Vasudevan, Director</b>				
	At the beginning of the year	1018982	62.50	1018982	62.50
	Date-wise Increase/ Decrease in Shareholding during the year specifying the reasons for increase /decrease (e.g. allotment/ transfer/ bonus/ sweat equity etc):	NIL	NIL	NIL	NIL
	At the end of the year	1018982	62.50	1018982	62.50

**AAUM INVESTMENT ADVISERS PRIVATE LIMITED***(Formerly Known as Wolfensohn India Advisors Private Limited)*

Regd Office: No. 207 (93), Venkatachalam Street, Mylapore, Chennai 600004

Ph: 9867248884; Email: mahesh.parasuraman@gmail.com

CIN: U67120TN2008PTC128962

**V. INDEBTEDNESS****Indebtedness of the Company including interest outstanding/accrued but not due for payment**

	Secured Loans excluding deposits	Unsecured Loans	Deposits	Total Indebtedness
<b>Indebtedness at the beginning of the financial year</b>				
i) Principal Amount				
ii) Interest due but not paid				
iii) Interest accrued but not due	NIL	NIL	NIL	NIL
<b>Total (i+ ii+ iii)</b>	NIL	NIL	NIL	NIL
<b>Change in Indebtedness during the financial year</b>				
· Addition	NIL	NIL	NIL	NIL
· Reduction				
<b>Net Change</b>	NIL	NIL	NIL	NIL
<b>Indebtedness at the end of the financial year</b>				
i) Principal Amount	NIL	NIL	NIL	NIL
ii) Interest due but not paid				
iii) Interest accrued but not due				
<b>Total</b>	NIL	NIL	NIL	NIL

**V. REMUNERATION OF DIRECTORS AND KEY MANAGERIAL PERSONNEL****A. Remuneration to Managing Director, Whole-Time Directors and/ or Manager:**

Sl. no.	Particulars of Remuneration	Name of MD/WTD/ Manager			Total
1.	Gross salary (a) Salary as per provisions contained in section 17(1) of the Income-tax Act, 1961 (b) Value of perquisites u/s 17(2) Income-tax Act, 1961 * (c) Profits in lieu of salary under section 17(3) Income- tax Act, 1961	NIL	NIL	NIL	NIL
2.	Stock Option	NIL	NIL	NIL	NIL
3.	Sweat Equity	NIL	NIL	NIL	NIL
4.	Commission - as % of profit - Others, specify...	NIL	NIL	NIL	NIL
5.	Others, please specify	NIL	NIL	NIL	NIL
	Total(A)	NIL	NIL	NIL	NIL
	Ceiling as per the Act				

**AAUM INVESTMENT ADVISERS PRIVATE LIMITED***(Formerly Known as Wolfensohn India Advisors Private Limited)*

Regd Office: No. 207 (93), Venkatachalam Street, Mylapore, Chennai 600004

Ph: 9867248884; Email: mahesh.parasuraman@gmail.com

CIN: U67120TN2008PTC128962

**B. Remuneration to other Directors:**

Sl. no.	Particulars of Remuneration	Name of Directors				Total Amount
	1.Independent Directors ·Fee for attending board committee meetings ·Commission ·Others, please specify	NIL	NIL	NIL	NIL	NIL
	Total(1)	NIL	NIL	NIL	NIL	NIL
	2.Other Non-Executive Directors ·Fee for attending board committee meetings ·Commission ·Others, please specify	NIL	NIL	NIL	NIL	NIL
	Total(2)	NIL	NIL	NIL	NIL	NIL
	Total(B)=(1+2)	NIL	NIL	NIL	NIL	NIL
	Total Managerial Remuneration	NIL	NIL	NIL	NIL	NIL
	Overall Ceiling as per the Act	NA	NA	NA	NA	NA

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

Sl. no.	Particulars of Remuneration	CEO	Company Secretary	CFO	Total
1.	Gross salary (a) Salary as per provisions contained in section17(1) of the Income-tax Act,1961 (b)Value of perquisites u/s17(2) Income-tax Act,1961 (c) Profits in lieu of salary under section17(3) Income-tax Act,1961	NIL	NIL	NIL	NIL
2.	Stock Option	NIL	NIL	NIL	NIL
3.	Sweat Equity	NIL	NIL	NIL	NIL
4.	Commission - as %of profit - others, specify	NIL	NIL	NIL	NIL
5.	Others, please specify	NIL	NIL	NIL	NIL
	Total	NIL	NIL	NIL	NIL

# AAUM INVESTMENT ADVISERS PRIVATE LIMITED

(Formerly Known as Wolfensohn India Advisors Private Limited)

Regd Office: No. 207 (93), Venkatachalam Street, Mylapore, Chennai 600004

Ph: 9867248884; Email: mahesh.parasuraman@gmail.com

CIN: U67120TN2008PTC128962

## VII. PENALTIES /PUNISHMENT/COMPOUNDING/OFFENCES:

Type	Section of the Act	Brief Description	Details of Penalty/Punishment/ Compounding fee imposed	Authority (RD/NCLT/ Court)	Appeal Made, if any (Give Details)
<b>A.COMPANY</b>					
Penalty	NIL	NIL	NIL	NIL	NIL
Punishment	NIL	NIL	NIL	NIL	NIL
Compounding	NIL	NIL	NIL	NIL	NIL
<b>B.DIRECTORS</b>	NIL	NIL	NIL	NIL	NIL
Penalty	NIL	NIL	NIL	NIL	NIL
Punishment	NIL	NIL	NIL	NIL	NIL
Compounding	NIL	NIL	NIL	NIL	NIL
<b>C. OTHER OFFICERS IN DEFAULT</b>	NIL	NIL	NIL	NIL	NIL
Penalty	NIL	NIL	NIL	NIL	NIL
Punishment	NIL	NIL	NIL	NIL	NIL
Compounding	NIL	NIL	NIL	NIL	NIL

for and on behalf of the Board of Directors

**AAUM INVESTMENT ADVISERS PRIVATE LIMITED**

**Mahesh Parasuraman**

Director

DIN: 00233782

Villa 50, Prestige Ozone, Hagadur Main Road, Whitefield, Bangalore North, Bangalore- 560066

**Sunil Theckath Vasudevan**

Director

DIN: 00294130

Villa 188, Adarsh Palm Retreat, Outer Ring Road, Devarabisanahalli, Bellandur Bangalore- 560103

Date: August 16, 2019

Place: Bangalore