| General information about company | |
|---|---|
| Scrip code | 532989 |
| NSE Symbol | BAFNAPH |
| MSEI Symbol | |
| ISIN | INE878I01022 |
| Name of the company | BAFNA PHARMACEUTICALS LIMITED |
| Whether company is SME | No |
| Class of Security | Equity Shares |
| Type of report | Quarterly |
| Quarter Ended / Half year ended/Date of Report (For Prelisting / Allotment) | 30-06-2022 |
| Date of allotment / extinguishment (in case Capital Restructuring selected) / Listing Date | |
| Shareholding pattern filed under | Regulation 31 (1) (b) |
| Whether the listed entity is Public Sector Undertaking (PSU)? | No |

| Declaration | | | | | |
|---|---|---|---|---|---|
| Sr. No. | Particular | Yes/No | Promoter and Promoter Group | Public shareholder | Non Promoter- Non Public |
| 1 | Whether the Listed Entity has issued any partly paid up shares? | No | No | No | No |
| 2 | Whether the Listed Entity has issued any Convertible Securities ? | No | No | No | No |
| 3 | Whether the Listed Entity has issued any Warrants ? | No | No | No | No |
| 4 | Whether the Listed Entity has any shares against which depository receipts are issued? | No | No | No | No |
| 5 | Whether the Listed Entity has any shares in locked-in? | No | No | No | No |
| 6 | Whether any shares held by promoters are pledge or otherwise encumbered? | No | No | | |
| 7 | Whether company has equity shares with differential voting rights? | No | No | No | No |
| 8 | Whether the listed entity has any significant beneficial owner? | Yes | | | |

| Table I - Summary Statement holding of specified securities | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| Category (I) | Category of shareholder (II) | Nos. Of shareholders (III) | No. of fully paid up equity shares held (IV) | No. Of Partly paid-up equity shares held (V) | No. Of shares underlying Depository Receipts (VI) | Total nos. shares held (VII) = (IV)+ (V)+ (VI) | Shareholding as a % of total no. of shares (calculated as per SCRR, 1957) (VIII) As a % of (A+B+C2) | Number of Voting Rights held in each class of securities (IX) | | | |
| | | | | | | | | No of Voting (XIV) Rights | | | Total as a % of (A+B+C) |
| | | | | | | | | Class eg: X | Class eg:y | Total | |
| (A) | Promoter & Promoter Group | 7 | 21318114 | | | 21318114 | 90.12 | 21318114 | | 21318114 | 90.12 |
| (B) | Public | 7216 | 2338221 | | | 2338221 | 9.88 | 2338221 | | 2338221 | 9.88 |
| (C) | Non Promoter-Non Public | | | | | | | | | | |
| (C1) | Shares underlying DRs | | | | | | | | | | |
| (C2) | Shares held by Employee Trusts | | | | | | | | | | |
| | Total | 7223 | 23656335 | | | 23656335 | 100 | 23656335 | | 23656335 | 100 |

| Table I - Summary Statement holding of specified securities | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| Category (I) | Category of shareholder (II) | No. Of Shares Underlying Outstanding convertible securities (X) | No. of Shares Underlying Outstanding Warrants (Xi) | No. Of Shares Underlying Outstanding convertible securities and No. Of Warrants (Xi) (a) | Shareholding , as a % assuming full conversion of convertible securities ( as a percentage of diluted share capital) (XI)= (VII)+(X) As a % of (A+B+C2) | Number of Locked in shares (XII) | | Number of Shares pledged or otherwise encumbered (XIII) | | Number of equity shares held in dematerialized form (XIV) |
| | | | | | | No. (a) | As a % of total Shares held (b) | No. (a) | As a % of total Shares held (b) | |
| (A) | Promoter & Promoter Group | | | | 90.12 | | | | | 21318114 |
| (B) | Public | | | | 9.88 | | | | | 2330181 |
| (C) | Non Promoter- Non Public | | | | | | | | | |
| (C1) | Shares underlying DRs | | | | | | | | | |
| (C2) | Shares held by Employee Trusts | | | | | | | | | |
| | Total | | | | 100 | | | | | 23648295 |

| Table II - Statement showing shareholding pattern of the Promoter and Promoter Group | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| Sr. | Category & Name of the Shareholders (I) | Nos. Of shareholders (III) | No. of fully paid up equity shares held (IV) | No. Of Partly paid-up equity shares held (V) | No. Of shares underlying Depository Receipts (VI) | Total nos. shares held (VII) = (IV)+ (V)+ (VI) | Shareholding as a % of total no. of shares (calculated as per SCRR, 1957) (VIII) As a % of (A+B+C2) | Number of Voting Rights held in each class of securities (IX) | | | |
| | | | | | | | | No of Voting (XIV) Rights | | | Total as a % of Total Voting rights |
| | | | | | | | | Class eg: X | Class eg:y | Total | |
| A | Table II - Statement showing shareholding pattern of the Promoter and Promoter Group | | | | | | | | | | |
| (1) | Indian | | | | | | | | | | |
| (a) | Individuals/Hindu undivided Family | 5 | 99186 | | | 99186 | 0.42 | 99186 | | 99186 | 0.42 |
| (d) | Any Other (specify) | 2 | 21218928 | | | 21218928 | 89.7 | 21218928 | | 21218928 | 89.7 |
| Sub-Total (A)(1) | | 7 | 21318114 | | | 21318114 | 90.12 | 21318114 | | 21318114 | 90.12 |
| (2) | Foreign | | | | | | | | | | |
| Total Shareholding of Promoter and Promoter Group (A)= (A)(1)+(A)(2) | | 7 | 21318114 | | | 21318114 | 90.12 | 21318114 | | 21318114 | 90.12 |
| B | Table III - Statement showing shareholding pattern of the Public shareholder | | | | | | | | | | |
| (1) | Institutions | | | | | | | | | | |
| ( 3 ) | Non-institutions | | | | | | | | | | |
| (a(i)) | Individuals - i.Individual shareholders holding nominal share capital up to Rs. 2 lakhs. | 6838 | 760492 | | | 760492 | 3.21 | 760492 | | 760492 | 3.21 |
| (a(ii)) | Individuals - ii. Individual shareholders holding nominal share capital in excess of Rs. 2 lakhs. | 11 | 541427 | | | 541427 | 2.29 | 541427 | | 541427 | 2.29 |
| (e) | Any Other (specify) | 367 | 1036302 | | | 1036302 | 4.38 | 1036302 | | 1036302 | 4.38 |
| Sub-Total (B)(3) | | 7216 | 2338221 | | | 2338221 | 9.88 | 2338221 | | 2338221 | 9.88 |
| Total Public Shareholding (B)=(B)(1)+(B)(2)+(B)(3) | | 7216 | 2338221 | | | 2338221 | 9.88 | 2338221 | | 2338221 | 9.88 |
| C | Table IV - Statement showing shareholding pattern of the Non Promoter- Non Public shareholder | | | | | | | | | | |
| Total ( A+B+C2 ) | | 7223 | 23656335 | | | 23656335 | 100 | 23656335 | | 23656335 | 100 |
| Total (A+B+C ) | | 7223 | 23656335 | | | 23656335 | 100 | 23656335 | | 23656335 | 100 |

| Table II - Statement showing shareholding pattern of the Promoter and Promoter Group | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| Sr. | No. Of Shares Underlying Outstanding convertible securities (X) | No. of Shares Underlying Outstanding Warrants (Xi) | No. Of Shares Underlying Outstanding convertible securities and No. Of Warrants (Xi) (a) | Shareholding , as a % assuming full conversion of convertible securities ( as a percentage of diluted share capital) (XI)= (VII)+(X) As a % of (A+B+C2) | Number of Locked in shares (XII) | | Number of Shares pledged or otherwise encumbered (XIII) | | Number of equity shares held in dematerialized form (XIV) |
| | | | | | No. (a) | As a % of total Shares held (b) | No. (a) | As a % of total Shares held (b) | |
| A | Table II - Statement showing shareholding pattern of the Promoter and Promoter Group | | | | | | | | |
| (1) | Indian | | | | | | | | |
| (a) | | | | 0.42 | | | | | 99186 |
| (d) | | | | 89.7 | | | | | 21218928 |
| Sub-Total (A) (1) | | | | 90.12 | | | | | 21318114 |
| (2) | Foreign | | | | | | | | |
| Total Shareholding of Promoter and Promoter Group (A)= (A)(1)+(A)(2) | | | | 90.12 | | | | | 21318114 |
| B | Table III - Statement showing shareholding pattern of the Public shareholder | | | | | | | | |
| (1) | Institutions | | | | | | | | |
| ( 3 ) | Non-institutions | | | | | | | | |
| (a(i)) | | | | 3.21 | | | | | 752952 |
| (a(ii)) | | | | 2.29 | | | | | 541427 |
| (e) | | | | 4.38 | | | | | 1035802 |
| Sub-Total (B) (3) | | | | 9.88 | | | | | 2330181 |
| Total Public Shareholding (B)=(B)(1)+ (B)(2)+(B)(3) | | | | 9.88 | | | | | 2330181 |
| C | Table IV - Statement showing shareholding pattern of the Non Promoter- Non Public shareholder | | | | | | | | |
| Total ( A+B+C2 ) | | | | 100 | | | | | 23648295 |
| Total (A+B+C ) | | | | 100 | | | | | 23648295 |
| Disclosure of notes in case of public share holding is less than 25 percentage | | | | | | | | Textual Information(1) | |

| Text Block | |
|---|---|
| Textual Information() | The Company was under Corporate Insolvency Resolution Process ( CIRP) as per the IBC, 2016. Pursuant to the Order passed by NCLT, Chennai allotment had been made to SRJR Lifesciences LLP (Promoter). As a result public shareholding has been reduced to less than 25 percentage. The Company has given initmation to bse and nse on March 8th 2022 for open market sale. The Promoter group SRJR Lifesciences LLP has intiated sale of shares through open market in month of june till the period of trading window closure and the same has been intimated to exchanges. The sale of shares would again commence after opening of trading window and MPS would be achieved |

| Individuals/Hindu undivided Family | | | | | | | |
|---|---|---|---|---|---|---|---|
| Searial No. | 1 | 2 | 3 | 4 | 5 | 6 | 7 |
| Name of the Shareholders (I) | P PARAS BAFNA | NAVEENBAFNAM | BAFNA MAHAVEER CHAND | SASIKALA BAFNA. | PARAS BAFNA . | CHETNA BAFNA | MAHAVEER CHAND BAFNA HUF |
| PAN (II) | AASPB2717M | APIPB8787J | AACPB6411G | AASPB2718E | AAEHP3540E | AIOPB8547R | AADHM1755R |
| No. of fully paid up equity shares held (IV) | 50000 | 41911 | 5462 | 1764 | 49 | 0 | 0 |
| No. Of Partly paid-up equity shares held (V) | | | | | | | |
| No. Of shares underlying Depository Receipts (VI) | | | | | | | |
| Total nos. shares held (VII) = (IV)+ (V)+ (VI) | 50000 | 41911 | 5462 | 1764 | 49 | 0 | 0 |
| Shareholding as a % of total no. of shares (calculated as per SCRR, 1957) (VIII) As a % of (A+B+C2) | 0.21 | 0.18 | 0.02 | 0.01 | 0 | 0 | 0 |
| Number of Voting Rights held in each class of securities (IX) | | | | | | | |
| Class eg:X | 50000 | 41911 | 5462 | 1764 | 49 | 0 | 0 |
| Class eg:y | | | | | | | |
| Total | 50000 | 41911 | 5462 | 1764 | 49 | 0 | 0 |
| Total as a % of Total Voting rights | 0.21 | 0.18 | 0.02 | 0.01 | 0 | 0 | 0 |
| No. Of Shares Underlying Outstanding convertible securities (X) | | | | | | | |
| No. of Shares Underlying Outstanding Warrants (Xi) | | | | | | | |
| No. Of Shares Underlying Outstanding convertible securities and No. Of Warrants (Xi) (a) | | | | | | | |
| Shareholding , as a % assuming full conversion of convertible securities (as a percentage of diluted share capital) (XI)= (VII)+(Xi)(a) As a % of (A+B+C2) | 0.21 | 0.18 | 0.02 | 0.01 | 0 | 0 | 0 |
| Number of Locked in shares (XII) | | | | | | | |
| No. (a) | | | | | | | |
| As a % of total Shares held (b) | | | | | | | |
| Number of Shares pledged or otherwise encumbered (XIII) | | | | | | | |
| No. (a) | | | | | | | |
| As a % of total Shares held (b) | | | | | | | |
| Number of equity shares held in dematerialized form (XIV) | 50000 | 41911 | 5462 | 1764 | 49 | 0 | 0 |
| Reason for not providing PAN | | | | | | | |
| Reason for not providing PAN | | | | | | | |
| Shareholder type | Promoter | Promoter | Promoter | Promoter | Promoter | Promoter | Promoter |

| Individuals/Hindu undivided Family | |
|---|---|
| Searial No. | |
| Name of the Shareholders (I) | Click here to go back |
| PAN (II) | Total |
| No. of fully paid up equity shares held (IV) | 99186 |
| No. Of Partly paid-up equity shares held (V) | |
| No. Of shares underlying Depository Receipts (VI) | |
| Total nos. shares held (VII) = (IV)+ (V)+ (VI) | 99186 |
| Shareholding as a % of total no. of shares (calculated as per SCRR, 1957) (VIII) As a % of (A+B+C2) | 0.42 |
| Number of Voting Rights held in each class of securities (IX) | |
| Class eg:X | 99186 |
| Class eg:y | |
| Total | 99186 |
| Total as a % of Total Voting rights | 0.42 |
| No. Of Shares Underlying Outstanding convertible securities (X) | |
| No. of Shares Underlying Outstanding Warrants (Xi) | |
| No. Of Shares Underlying Outstanding convertible securities and No. Of Warrants (Xi) (a) | |
| Shareholding , as a % assuming full conversion of convertible securities (as a percentage of diluted share capital) (XI)= (VII)+(Xi)(a) As a % of (A+B+C2) | 0.42 |
| Number of Locked in shares (XII) | |
| No. (a) | |
| As a % of total Shares held (b) | |
| Number of Shares pledged or otherwise encumbered (XIII) | |
| No. (a) | |
| As a % of total Shares held (b) | |
| Number of equity shares held in dematerialized form (XIV) | 99186 |
| Reason for not providing PAN | |
| Reason for not providing PAN | |
| Shareholder type | |

| Any Other (specify) | | | |
|---|---|---|---|
| Searial No. | 1 | 2 | |
| Category | Bodies Corporate | Director or Director's Relatives | Click here to go back |
| | | | |
| Name of the Shareholders (I) | SRJR LIFESCIENCES LLP | AMRI BAI BAFNA | |
| PAN (II) | AECFS1208Q | ABAPB0733A | Total |
| No. of the Shareholders (I) | 1 | 1 | 2 |
| No. of fully paid up equity shares held (IV) | 21216939 | 1989 | 21218928 |
| No. Of Partly paid-up equity shares held (V) | | | |
| No. Of shares underlying Depository Receipts (VI) | | | |
| Total nos. shares held (VII) = (IV)+ (V)+ (VI) | 21216939 | 1989 | 21218928 |
| Shareholding as a % of total no. of shares (calculated as per SCRR, 1957) (VIII) As a % of (A+B+C2) | 89.69 | 0.01 | 89.7 |
| Number of Voting Rights held in each class of securities (IX) | | | |
| Class eg: X | 21216939 | 1989 | 21218928 |
| Class eg:y | | | |
| Total | 21216939 | 1989 | 21218928 |
| Total as a % of Total Voting rights | 89.69 | 0.01 | 89.7 |
| No. Of Shares Underlying Outstanding convertible securities (X) | | | |
| No. of Shares Underlying Outstanding Warrants (Xi) | | | |
| No. Of Shares Underlying Outstanding convertible securities and No. Of Warrants (Xi) (a) | | | |
| Shareholding , as a % assuming full conversion of convertible securities (as a percentage of diluted share capital) (XI)= (VII)+(X) As a % of (A+B+C2) | 89.69 | 0.01 | 89.7 |
| Number of Locked in shares (XII) | | | |
| No. (a) | | | |
| As a % of total Shares held (b) | | | |
| Number of Shares pledged or otherwise encumbered (XIII) | | | |
| No. (a) | | | |
| As a % of total Shares held (b) | | | |
| Number of equity shares held in dematerialized form (XIV) | 21216939 | 1989 | 21218928 |
| Reason for not providing PAN | | | |
| Reason for not providing PAN | | | |
| Shareholder type | Promoter | Promoter | |

| Any Other (specify) | | | | | | |
|---|---|---|---|---|---|---|
| Searial No. | 1 | 2 | 3 | 4 | 5 | 6 |
| Category | Bodies Corporate | Bodies Corporate | Clearing Members | HUF | IEPF | Non-Resident Indian (NRI) |
| Category / More than 1 percentage | Category | More than 1 percentage of shareholding | Category | Category | Category | Category |
| Name of the Shareholders (I) | | MONARCH NETWORTH FINSERVE PRIVATE LIMITED | | | | |
| PAN (II) | | AAACR4982K | | | | |
| No. of the Shareholders (I) | 57 | 1 | 9 | 226 | 1 | 74 |
| No. of fully paid up equity shares held (IV) | 656702 | 318254 | 498 | 261550 | 2137 | 115415 |
| No. Of Partly paid-up equity shares held (V) | | | | | | |
| No. Of shares underlying Depository Receipts (VI) | | | | | | |
| Total nos. shares held (VII) = (IV)+ (V)+ (VI) | 656702 | 318254 | 498 | 261550 | 2137 | 115415 |
| Shareholding as a % of total no. of shares (calculated as per SCRR, 1957) (VIII) As a % of (A+B+C2) | 2.78 | 1.35 | 0 | 1.11 | 0.01 | 0.49 |
| Number of Voting Rights held in each class of securities (IX) | | | | | | |
| Class eg: X | 656702 | 318254 | 498 | 261550 | 2137 | 115415 |
| Class eg:y | | | | | | |
| Total | 656702 | 318254 | 498 | 261550 | 2137 | 115415 |
| Total as a % of Total Voting rights | 2.78 | 1.35 | 0 | 1.11 | 0.01 | 0.49 |
| No. Of Shares Underlying Outstanding convertible securities (X) | | | | | | |
| No. of Shares Underlying Outstanding Warrants (Xi) | | | | | | |
| No. Of Shares Underlying Outstanding convertible securities and No. Of Warrants (Xi) (a) | | | | | | |
| Shareholding , as a % assuming full conversion of convertible securities (as a percentage of diluted share capital) (XI)= (VII)+(X) As a % of (A+B+C2) | 2.78 | 1.35 | 0 | 1.11 | 0.01 | 0.49 |
| Number of Locked in shares (XII) | | | | | | |
| No. (a) | | | | | | |
| As a % of total Shares held (b) | | | | | | |
| Number of equity shares held in dematerialized form (XIV) | 656202 | 318254 | 498 | 261550 | 2137 | 115415 |
| Reason for not providing PAN | | | | | | |
| Reason for not providing PAN | | | | | | |

| Any Other (specify) | |
|---|---|
| Searial No. | |
| Category | |
| Category / More than 1 percentage | |
| Name of the Shareholders (I) | Click here to go back |
| PAN (II) | Total |
| No. of the Shareholders (I) | 367 |
| No. of fully paid up equity shares held (IV) | 1036302 |
| No. Of Partly paid-up equity shares held (V) | |
| No. Of shares underlying Depository Receipts (VI) | |
| Total nos. shares held (VII) = (IV)+ (V)+ (VI) | 1036302 |
| Shareholding as a % of total no. of shares (calculated as per SCRR, 1957) (VIII) As a % of (A+B+C2) | 4.39 |
| Number of Voting Rights held in each class of securities (IX) | |
| Class eg: X | 1036302 |
| Class eg:y | |
| Total | 1036302 |
| Total as a % of Total Voting rights | 4.39 |
| No. Of Shares Underlying Outstanding convertible securities (X) | |
| No. of Shares Underlying Outstanding Warrants (Xi) | |
| No. Of Shares Underlying Outstanding convertible securities and No. Of Warrants (Xi) (a) | |
| Shareholding , as a % assuming full conversion of convertible securities (as a percentage of diluted share capital) (XI)= (VII)+(X) As a % of (A+B+C2) | 4.39 |
| Number of Locked in shares (XII) | |
| No. (a) | |
| As a % of total Shares held (b) | |
| Number of equity shares held in dematerialized form (XIV) | 1035802 |
| Reason for not providing PAN | |
| Reason for not providing PAN | |

**significant beneficial owners**

| Sr. No. | Details of the SBO | | | | | Details of the registered owner | | | | | Details of holding/ exercise of right of the SBO in the reporting company, whether direct or indirect* | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | | | | | Whether by virtue of: | | | | |
| | Name | PAN | Passport No. in case of a foreign national | Nationality | Nationality (Applicable in case of Any other is selected) | Name | PAN | Passport No. in case of a foreign national | Nationality | Nationality (Applicable in case of Any other is selected) | Shares | Voting rights | Rights on distributable dividend or any other distribution | Exercise of control | Exercise of significa influenc |
| | SRINIVASA RAJU CHINTALAPATI | ACPPC2768Q | | India | | SRJR LIFESCIENCES LLP | AECFS1208Q | | India | | 0 | 0 | 0 | No | No |
| | | | | | | | | | | **Total:** | **0** | **0** | **0** | | |
| | JYOTHI RAJU CHINTALAPATI | ACQPC8679M | | India | | SRJR LIFESCIENCES LLP | AECFS1208Q | | India | | 0 | 0 | 0 | No | No |
| | | | | | | | | | | **Total:** | **0** | **0** | **0** | | |
| | MAHAVEER CHAND BAFNA | AACPB6411G | | India | | SRJR LIFESCIENCES LLP | AECFS1208Q | | India | | 0 | 0 | 0 | No | No |
| | | | | | | | | | | **Total:** | **0** | **0** | **0** | | |