

# 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]



सत्यमेव जयते

# Annual Return (other than OPCs and Small Companies)

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

U67100MH2010PLC210201

Pre-fill

Global Location Number (GLN) of the company

\* Permanent Account Number (PAN) of the company

AADCT6631L

(ii) (a) Name of the company

TATA CAPITAL FINANCIAL SER)

(b) Registered office address

11 th Floor, Tower A, Peninsula Business Park,  
Ganpatrao Kadam Marg, Lower Parel,  
Mumbai  
Mumbai City  
Maharashtra  
400012

(c) \*e-mail ID of the company

sonali.punekar@tatacapital.coi

(d) \*Telephone number with STD code

02266069000

(e) Website

www.tatacapital.com

(iii) Date of Incorporation

19/11/2010

(iv)	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

Yes  No

(vi) \*Whether shares listed on recognized Stock Exchange(s)

Yes  No

(b) CIN of the Registrar and Transfer Agent

U72400TG2017PLC117649

Pre-fill

Name of the Registrar and Transfer Agent

KFIN TECHNOLOGIES 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  (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

## II. PRINCIPAL BUSINESS ACTIVITIES OF THE COMPANY

\*Number of business activities

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	K5	Financial and Credit leasing activities	92.09
2	K	Financial and insurance Service	K8	Other financial activities	7.91

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

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

S.No	Name of the company	CIN / FCRN	Holding/ Subsidiary/Associate/ Joint Venture	% of shares held
1	TATA CAPITAL LIMITED	U65990MH1991PLC060670	Holding	100
2	FINCARE BUSINESS SERVICES L	U74900GJ2014PLC132578	Associate	0.76
3	TVS SUPPLY CHAIN SOLUTION	U63011TN2004PLC054655	Associate	0.38
4	FINCARE SMALL FINANCE BAN	U67120GJ1995PLC025373	Associate	0.11

## 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	2,500,000,000	1,659,872,100	1,659,872,100	1,659,872,100
Total amount of equity shares (in Rupees)	25,000,000,000	16,598,721,000	16,598,721,000	16,598,721,000

Number of classes

1

Class of Shares	Authorised capital	Issued capital	Subscribed capital	Paid up capital
Equity Share Capital				
Number of equity shares	2,500,000,000	1,659,872,100	1,659,872,100	1,659,872,100
Nominal value per share (in rupees)	10	10	10	10
Total amount of equity shares (in rupees)	25,000,000,000	16,598,721,000	16,598,721,000	16,598,721,000

**(b) Preference share capital**

Particulars	Authorised capital	Issued capital	Subscribed capital	Paid-up capital
Total number of preference shares	3,000,000,000	0	0	0
Total amount of preference shares (in rupees)	30,000,000,000	0	0	0

Number of classes

1

Class of shares	Authorised capital	Issued capital	Subscribed capital	Paid up capital
Preference Share Capital				
Number of preference shares	3,000,000,000	0	0	0
Nominal value per share (in rupees)	10	10	10	10
Total amount of preference shares (in rupees)	30,000,000,000	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
	Physical	DEMAT	Total			
<b>Equity shares</b>						
<b>At the beginning of the year</b>	0	1,629,931,916	1,629,931,916	16,299,319,160	16,299,319,160	

<b>Increase during the year</b>	0	29,940,119	29940119	299,401,190	299,401,190	2,700,598,730
i. Public Issues	0	0	0	0	0	0
ii. Rights issue	0	29,940,119	29940119	299,401,190	299,401,190	2,700,598,730
iii. Bonus issue	0	0	0	0	0	0
iv. Private Placement/ Preferential allotment	0	0	0	0	0	0
v. ESOPs	0	0	0	0	0	0
vi. Sweat equity shares allotted	0	0	0	0	0	0
vii. Conversion of Preference share	0	0	0	0	0	0
viii. Conversion of Debentures	0	0	0	0	0	0
ix. GDRs/ADRs	0	0	0	0	0	0
x. Others, specify				0	0	
NA						
<b>Decrease during the year</b>	0	0	0	0	0	0
i. Buy-back of shares	0	0	0	0	0	0
ii. Shares forfeited	0	0	0	0	0	0
iii. Reduction of share capital	0	0	0	0	0	0
iv. Others, specify				0	0	
NA						
<b>At the end of the year</b>	0	1,659,872,100	1659872100	16,598,721,000	16,598,721,000	
<b>Preference shares</b>						
<b>At the beginning of the year</b>	0	0	0	0	0	
<b>Increase during the year</b>	0	0	0	0	0	0
i. Issues of shares	0	0	0	0	0	0
ii. Re-issue of forfeited shares	0	0	0	0	0	0
iii. Others, specify				0	0	
NA						
<b>Decrease during the year</b>	0	0	0	0	0	0
i. Redemption of shares	0	0	0	0	0	0

ii. Shares forfeited	0	0	0	0	0	0
iii. Reduction of share capital	0	0	0	0	0	0
iv. Others, specify				0	0	
<input type="text" value="NA"/>						
<b>At the end of the year</b>	0	0	0	0	0	

ISIN of the equity shares of the company

(ii) Details of stock split/consolidation during the year (for each class of shares)

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"/>
Date of registration of transfer (Date Month Year)	<input type="text"/>
Type of transfer	<input type="text"/> 1 - Equity, 2- Preference Shares,3 - Debentures, 4 - Stock
Number of Shares/ Debentures/ Units Transferred	<input type="text"/> Amount per Share/ Debenture/Unit (in Rs.) <input type="text"/>

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	

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

Particulars	Number of units	Nominal value per unit	Total value
Non-convertible debentures	40,808,822	Please refer to debt struct	220,007,230,000
Partly convertible debentures	0	0	0
Fully convertible debentures	0	0	0

Particulars	Number of units	Nominal value per unit	Total value
<b>Total</b>			220,007,230,000

**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>	195,716,766,000	63,370,000,000	39,079,536,000	220,007,230,000
<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)**

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 in the Companies Act, 2013)**

**(i) Turnover**

62,062,237,454

**(ii) Net worth of the Company**

75,713,223,182

**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	0	0	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)	1,659,872,100	100	0	
10.	Others NA	0	0	0	
	<b>Total</b>	1,659,872,100	100	0	0

**Total number of shareholders (promoters)**

7

**(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	0	0	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)	0	0	0	
10.	Others	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)**

7

**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	7	7
Members (other than promoters)	0	0
Debenture holders	97,895	67,404

**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>	0	0	0	0	0	0
<b>B. Non-Promoter</b>	1	4	1	4	0	0
(i) Non-Independent	1	2	1	2	0	0
(ii) Independent	0	2	0	2	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	4	1	4	0	0

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

7

**(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)
Rajiv Sabharwal	00057333	Director	0	
Farokh Nariman Subeda	00028428	Director	0	
Anuradha Eknath Thakur	06702919	Director	0	
Varsha Vasant Puranda	05288076	Director	0	
Sarosh Amaria	08733676	Managing Director	0	
Jaykumar Shah	BAFPS1280Q	CFO	0	
Sonali Puneekar	AFDPG1940D	Company Secretary	0	

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

0

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)

**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

2

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	24/06/2021	7	7	100
Extraordinary General Meet	12/11/2021	7	6	99.99

**B. BOARD MEETINGS**

\*Number of meetings held

8

S. No.	Date of meeting	Total Number of directors associated as on the date of meeting	Attendance	
			Number of directors attended	% of attendance
1	22/04/2021	5	5	100
2	03/06/2021	5	5	100
3	28/06/2021	5	5	100
4	19/07/2021	5	5	100
5	06/09/2021	5	5	100
6	21/10/2021	5	5	100
7	24/01/2022	5	5	100
8	17/03/2022	5	5	100

### C. COMMITTEE MEETINGS

Number of meetings held

52

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	22/04/2021	3	3	100
2	Audit Committee	10/05/2021	3	3	100
3	Audit Committee	19/07/2021	3	3	100
4	Audit Committee	21/10/2021	3	3	100
5	Audit Committee	22/11/2021	3	3	100
6	Audit Committee	24/01/2022	3	3	100
7	Audit Committee	09/03/2022	3	3	100
8	Committee for	27/09/2021	2	2	100
9	Information Te	18/08/2021	5	5	100
10	Information Te	09/02/2022	4	4	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	27/06/2022
								(Y/N/NA)
1	Rajiv Sabharwal	8	8	100	43	43	100	Yes
2	Farokh Nariman	8	8	100	13	12	92.31	Yes
3	Anuradha Ekn	8	8	100	48	47	97.92	Yes
4	Varsha Vasant	8	8	100	50	50	100	Yes
5	Sarosh Amaria	8	8	100	43	43	100	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	Sarosh Amaria	Managing Director	36,359,750	0	10,693,674	2,712,442	49,765,866
	Total		36,359,750	0	10,693,674	2,712,442	49,765,866

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

2

S. No.	Name	Designation	Gross Salary	Commission	Stock Option/ Sweat equity	Others	Total Amount
1	Jaykumar Shah	Chief Financial Officer	8,748,261	0	0	363,957	9,112,218
2	Sonali Puneekar	Company Secretary	5,289,694	0	0	228,750	5,518,444
	Total		14,037,955	0	0	592,707	14,630,662

Number of other directors whose remuneration details to be entered

3

S. No.	Name	Designation	Gross Salary	Commission	Stock Option/ Sweat equity	Others	Total Amount
1	Farokh N Subedar	Director	0	3,000,000	0	570,000	3,570,000
2	Anuradha E Thakur	Director	0	4,000,000	0	1,680,000	5,680,000
3	Varsha Purandare	Director	0	4,000,000	0	1,770,000	5,770,000
	Total		0	11,000,000	0	4,020,000	15,020,000

**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

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)

**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

Jigyasa N. Ved

Whether associate or fellow

Associate  Fellow

Certificate of practice number

6018

**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



DIN of the director

#### To be digitally signed by



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

Attach

Attach

Attach

Attach

#### List of attachments

Debt Structure.pdf  
Details of Committee Meetings.pdf  
Details of RTA.pdf  
MGT-8 - TCFSL P-SIGNED.pdf

Remove attachment

Modify

Check Form

Prescrutiny

Submit

**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**



<b>Tata Capital Financial Services Limited</b>			
<b>Debt Structure of the Company as on March 31, 2022</b>			
<b>Particulars</b>	<b>Total Number of securities</b>	<b>Nominal value per unit of security</b>	<b>Total Amount</b>
<b>Private Placement Debentures</b>			
Secured, Redeemable, Non-Convertible Debentures	1,31,645	10,00,000	1,31,64,50,00,000
Market Link Non-Convertible Debentures	3,651	10,00,000	3,65,10,00,000
Unsecured, Redeemable, Non-Convertible Debentures - Partly Paid*	10,900	10,00,000	7,72,00,00,000
Unsecured, Redeemable, Non-Convertible Subordinated Debentures (Tier-II Capital)	19,495	10,00,000	19,49,50,00,000
Unsecured, Redeemable, Non-Convertible Subordinated Debentures (Tier-II Capital)	500	1,00,00,000	5,00,00,00,000
Perpetual Debentures	1,871	5,00,000	93,55,00,000
Perpetual Debentures	9,930	10,00,000	9,93,00,00,000
Perpetual Debentures	100	1,00,00,000	1,00,00,00,000
<b>Public NCDs - Tranche I</b>			
Secured NCD - Public -Series-II ( Category - I & II )	7,68,789	1,000	76,87,89,000
Secured NCD - Public -Series-II ( Category - III & IV )	1,45,70,710	1,000	14,57,07,10,000
Sub-Debt NCDs-Public-Series-III ( Category I & II )	2,95,490	1,000	29,54,90,000
Sub-Debt NCDs-Public-Series-III ( Category III & IV )	34,18,488	1,000	3,41,84,88,000
<b>Public NCDs - Tranche II</b>			
Secured NCD - Public -Series-I (Category - I & II )	9,66,134	1,000	96,61,34,000
Secured NCD - Public -Series-I (Category - III & IV )	75,22,582	1,000	7,52,25,82,000
Secured NCD - Public -Series-II ( Category - I & II )	9,77,140	1,000	97,71,40,000
Secured NCD - Public -Series-II ( Category - III & IV )	34,09,175	1,000	3,40,91,75,000
Secured NCD - Public -Series-III ( Category - I & II )	9,24,814	1,000	92,48,14,000
Secured NCD - Public -Series-III ( Category - III & IV )	60,03,935	1,000	6,00,39,35,000
Sub-Debt NCDs-Public-Series-IV ( Category I & II )	46,500	1,000	4,65,00,000
Sub-Debt NCDs-Public-Series-IV ( Category III & IV )	17,26,973	1,000	1,72,69,73,000
<b>Total</b>	<b>4,08,08,822</b>		<b>2,20,00,72,30,000</b>
<b>Add:</b>			
Interest accrued, unamortised Premium / Discount and other issuance cost on NCDs.	-	-	8,67,36,28,876
<b>Final Total</b>			<b>2,28,68,08,58,876</b>

\*Partly paid 10,900 Unsecured NCDs of the Face Value of Rs. 10,00,000 each, issued at a consideration of Rs.772,00,00,000

## TATA CAPITAL FINANCIAL SERVICES LIMITED

Corporate Identity Number U67100MH2010PLC210201

11th Floor Tower A Peninsula Business Park Ganpatrao Kadam Marg Lower Parel Mumbai 400 013

Tel 91 22 6606 9000 Web [www.tatacapital.com](http://www.tatacapital.com)

Registered Office 11th Floor Tower A Peninsula Business Park Ganpatrao Kadam Marg Lower Parel Mumbai 400 013



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

**C. COMMITTEE MEETINGS**

Sr. 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
11.	Nomination and Remuneration Committee	19/04/2021	3	3	100
12.	Nomination and Remuneration Committee	03/06/2021	3	3	100
13.	Corporate Social Responsibility Committee	05/05/2021	4	4	100
14.	Corporate Social Responsibility Committee	25/03/2022	4	3	75
15.	Risk Management Committee	24/05/2021	4	4	100
16.	Risk Management Committee	04/08/2021	4	4	100
17.	Risk Management Committee	08/11/2021	4	4	100
18.	Risk Management Committee	02/02/2022	5	5	100
19.	Finance and Asset Liability Supervisory Committee	24/05/2021	4	4	100
20.	Finance and Asset Liability Supervisory Committee	04/08/2021	4	4	100
21.	Finance and Asset Liability Supervisory Committee	08/11/2021	4	4	100
22.	Finance and Asset Liability Supervisory Committee	02/02/2022	4	4	100
23.	Investment Credit Committee	15/04/2021	4	4	100
24.	Investment Credit Committee	03/05/2021	4	4	100
25.	Investment Credit Committee	07/05/2021	4	4	100
26.	Investment Credit Committee	19/05/2021	4	4	100
27.	Investment Credit Committee	31/05/2021	4	4	100
28.	Investment Credit Committee	10/06/2021	4	4	100
29.	Investment Credit Committee	26/06/2021	4	4	100

**TATA CAPITAL FINANCIAL SERVICES LIMITED**

Corporate Identity Number U67100MH2010PLC210201

11th Floor Tower A Peninsula Business Park Ganpatrao Kadam Marg Lower Parel Mumbai 400 013

Tel 91 22 6606 9000 Web [www.tatacapital.com](http://www.tatacapital.com)

Registered Office 11th Floor Tower A Peninsula Business Park Ganpatrao Kadam Marg Lower Parel Mumbai 400 013





Sr. 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
30.	Investment Credit Committee	30/06/2021	4	4	100
31.	Investment Credit Committee	10/07/2021	4	4	100
32.	Investment Credit Committee	22/07/2021	4	4	100
33.	Investment Credit Committee	11/08/2021	4	4	100
34.	Investment Credit Committee	13/08/2021	4	4	100
35.	Investment Credit Committee	25/08/2021	4	4	100
36.	Investment Credit Committee	20/09/2021	4	4	100
37.	Investment Credit Committee	24/09/2021	4	4	100
38.	Investment Credit Committee	07/10/2021	4	4	100
39.	Investment Credit Committee	27/10/2021	4	4	100
40.	Investment Credit Committee	10/11/2021	4	4	100
41.	Investment Credit Committee	18/11/2021	4	4	100
42.	Investment Credit Committee	30/11/2021	4	4	100
43.	Investment Credit Committee	08/12/2021	4	4	100
44.	Investment Credit Committee	16/12/2021	4	4	100
45.	Investment Credit Committee	23/12/2021	4	4	100
46.	Investment Credit Committee	19/01/2022	4	4	100
47.	Investment Credit Committee	07/02/2022	4	4	100
48.	Investment Credit Committee	23/02/2022	4	4	100
49.	Investment Credit Committee	11/03/2022	4	4	100
50.	Investment Credit Committee	23/03/2022	4	3	75
51.	Investment Credit Committee	24/03/2022	4	4	100
52.	Stakeholders Relationship Committee	21/02/2022	3	3	100

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**ANNEXURE I**

(vi)

**(b) Registrar and Transfer Agent for Equity Shares and Non-Convertible Debentures issued by Tata Capital Financial Services Limited on a Private Placement basis:**

Name : TSR Consultants Private Limited

CIN : U74999MH2018PTC307859

Address: C-101, 1<sup>st</sup> Floor, 247 Park,  
Lal Bahadur Shastri Marg,  
Vikhroli West, Mumbai – 400 083

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**FORM NO. MGT-8**

**[Pursuant to section 92(2) of the Companies Act, 2013 and rule 11(2) of Companies (Management and Administration) Rules, 2014]**

**CERTIFICATE BY A COMPANY SECRETARY IN PRACTICE**

We have examined the registers, records and books and papers of **TATA CAPITAL FINANCIAL SERVICES LIMITED** (the company) **CIN U67100MH2010PLC210201** having its Registered Office at Tower A, 11<sup>th</sup> Floor, Peninsula Business Park, Ganpatrao Kadam Marg, Lower Parel, Mumbai 400 013 as required to be maintained under the Companies Act, 2013 (the Act) and the rules made there under for the financial year ended on **31<sup>st</sup> March, 2022**. In our opinion and to the best of our information and according to the examinations carried out by us and explanations furnished to us by the company, its officers and agents and considering the relaxations granted by the Ministry of Corporate Affairs warranted due to the spread of the COVID-19 pandemic, we certify that:

- A. the Annual Return states the facts as at the close of the aforesaid financial year correctly and adequately.
- B. during the aforesaid financial year the company has generally complied with the provisions of the Act & Rules made thereunder in respect of :
1. Its status under the Act.
  2. maintenance of registers/records & making entries therein within the time prescribed therefor;
  3. filing of forms and returns as stated in the annual return, with the Registrar of Companies and other authorities;
  4. calling/convening/holding meetings of Board of Directors or its committees, if any, and the meetings of the members of the company on due dates as stated in the annual return in respect of which meetings, proper notices were given and the proceedings including the circular resolutions, have been properly recorded in the Minute Book/registers maintained for the purpose and the same have been signed;

No resolutions were passed through postal ballot during the year.



5. the Register of Members was not required to be closed;
6. no advances/loans have been made to its directors and/or persons or firms or companies referred in Section 185 of the Act;
7. there were no contracts/arrangements with related parties as specified in Section 188 of the Act except the transactions in the ordinary course of business and which were on arms' length basis;
8. issue or allotment or transfer or transmission or buy back of securities/redemption of preference shares or debentures/alteration or reduction of share capital/conversion of shares/securities and issue of security certificates, as applicable;
9. keeping in abeyance the rights to dividend, rights shares and bonus shares, as applicable pending registration of transfer of shares in compliance with the provisions of the Act ; Not Required
10. declaration/payment of dividend;  
  
transfer of unpaid/unclaimed dividend/ other amounts as applicable to the Investor Education and Protection Fund;
11. signing of audited financial statement as per the provisions of section 134 of the Act and report of directors is as per sub-sections (3), (4) and (5) thereof;
12. constitution/appointment/re-appointments/retirement/filling up casual vacancies/disclosures of the Directors, Key Managerial Personnel and the remuneration paid to them; as applicable
13. appointment / re-appointment of auditors as per the provisions of section 139 of the Act; as applicable
14. no approvals were required to be taken from the Central Government, Tribunal, Regional Director, Registrar, Court or such other authorities under the various provisions of the Act;
15. the Company has not accepted any Fixed Deposits during the year;
16. borrowings from its members, public financial institutions, banks and others and creation/modification/satisfaction of charges in that respect, wherever applicable;

There were no borrowings from its directors during the year.



17. The Company being a Non-Banking Financial Company, the provisions of Section 186 of the Act pertaining to investments, loans, guarantees, or security provided is not applicable except sub section (1);
18. there had been no alteration of the provisions of the Memorandum and Articles of Association of the Company during the year.

Place: Mumbai  
Date: 03.08.2022



For Parikh & Associates

Signature:

Name of Company Secretary: Jigyasa N. Ved

C. P. No.: 6018

UDIN: F006488D000734314

PR No.: 1129/2021

This Report is to be read with our letter of even date which is annexed as Annexure A to Form MGT-8 and forms an integral part of this Report.

## 'Annexure A to Form MGT-8'

To,  
**TATA CAPITAL FINANCIAL SERVICES LIMITED**

Our Certificate on the Annual Return (Form MGT-8) of even date is to be read along with this letter.

1. Maintenance of Secretarial record is the responsibility of the management of the Company. Our responsibility is to express an opinion on these secretarial records based on our audit.
2. We have followed the audit practices and process as were appropriate to obtain reasonable assurance about the correctness of the contents of the Secretarial records. The verification was done on test basis to ensure that correct facts are reflected in the Annual Return (Form MGT-7). We believe that the process and practices, we followed provide a reasonable basis for our opinion.
3. The Compliance of the provisions of Companies Act, 2013, rules, regulations, standards is the responsibility of management. Our examination was limited to the verification of records on test basis.

Place: Mumbai  
Date: 03.08.2022



**For Parikh & Associates**

Signature:

Name of Company Secretary: Jigyasa N. Ved

C. P. No.: 6018

UDIN: F006488D000734314

PR No.: 1129/2021