



Thirdwave Financial Intermediaries Limited

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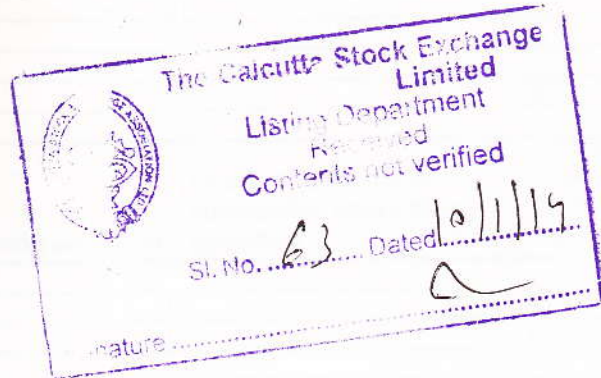
~~(SEBI REGN. NO. INR 000001854 CATEGORY-I)~~

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10th January, 2014

To
The Calcutta Stock Exchange Ltd.
7, Lyons Range
Calcutta - 700 001



Dear Sir,

We are enclosing herewith the following :-

- ✓ 1. Shareholding Pattern as on 31.12.2013.
2. Notice convening Board Meeting on 31st January, 2014.
3. Report on Corporate Governance for the quarter ended 31.12.2013.
4. Audit report by a practicing company secretary pursuant to SEBI (Depositories & Participants – Second Amendment) Regulations, 2003 for the quarter ended on 31.12.2013.

Kindly acknowledge receipt.

Thanking you,

Yours faithfully

for THIRDWAVE FINANCIAL INTERMEDIARIES LTD.



Encl : a/a

Copy to :-

Bombay Stock Exchange Ltd., Mumbai -
The Madras Stock Exchange Ltd., Chennai

Introductory sub-table (I)(a)

Name of the Company:					
531652, THIRDWAVE FINANCIAL INTERMEDIARIES LIMITED, EQUITY SHARES					
AS ON 31/12/2013					
Partly paid-up shares:-		No. of partly paid-up shares	As a % of total no. of partly paid-up shares	As a % of total no. of shares of the company	
Held by promoter/promoter group		0	0		0
Held by public		0	0		0
Total - D		0	0		0
Outstanding convertible securities:-		No. of outstanding securities	As a % of total no. of outstanding convertible securities	As a % of total no. of shares of the company, assuming full conversion of the convertible securities	
Held by promoter/promoter group		0	0		0
Held by public		0	0		0
Total - E		0	0		0
Warrants:-		No. of warrants	As a % of total no. of warrants	As a % of total no. of shares of the company, assuming full conversion of warrants	
Held by promoter/promoter group		0	0		0
Held by public		0	0		0
Total - F		0	0		0
Total paid-up capital of the company, assuming full conversion of warrants and convertible securities (Grand Total (A+B+C)+ D+E+F)		2207600			100



Shareholding Pattern of THIRDWAVE FINANCIAL INTERMEDIARIES LTD as on 31.12.2013

Table (V)(a)								
Category of Shareholder code	Category of Shareholder	Number of Shareholders	Total number of shares	Number of shares held in dematerialized form	Total shareholding as a percentage of total number of shares		Shares Pledged or otherwise encumbered	
					As a percentage of (A+B) ¹	As a percentage of (A+B+C)	Number of shares	As a percentage (IX)-(VIII)/(V)*100
(I)	(II)	(III)	(IV)	(V)	(VI)	(VII)	(VIII)	(IX)-(VIII)/(V)*100
(A)	Shareholding of Promoter and Indian							
1	Indian							
(a)	Individuals/ Hindu Undivided Family							
(b)	Central Government/ State Government(s)	2	148910	148910	6.75	6.75	0	0.00
(c)	Bodies Corporate	0	0	0	0.00	0.00	0	0.00
(d)	Financial Institutions/ Banks	2	658890	658890	29.85	29.85	0	0.00
(e)	Any Others(Specify)	0	0	0	0.00	0.00	0	0.00
(e-i)					0.00	0.00	0	0.00
(e-ii)					0.00	0.00	0	0.00
	Sub Total(A)(I)	4	807800	807800	36.59	36.59	0	0.00
2	Foreign							
a	Individuals (Non-Residents Individuals/ Foreign Individuals)	0	0	0	0.00	0.00	0	0.00
b	Bodies Corporate	0	0	0	0.00	0.00	0	0.00
c	Institutions	0	0	0	0.00	0.00	0	0.00
d	Any Others(Specify)	0	0	0	0.00	0.00	0	0.00
d-i					0.00	0.00	0	0.00
d-ii								
	Sub Total(A)(2)	0	0	0	0.00	0.00	0	0.00
	Total Shareholding of Promoter and	4	807800	807800	36.59	36.59	0	0.00
(B)	Public shareholding							
1	Institutions							
(a)	Mutual Funds/ UTTI	1	136200	0	6.17	6.17		



(1)(b) Statement showing Shareholding of persons belonging to the category
"Promoter and Promoter Group"

Sr. No.	Name of the shareholder	Total shares held		Shares pledged or otherwise encumbered		
		Number of shares	As a % of grand total (A)+(B)+(C)	Number	As a percentage (VI)=(V)/(III)*100	As a % of grand total (A)+(B)+(C) of sub-clause (1)(a) (VII)
(i)	(ii)	(iii)	(iv)	(v)	(vi)	(vii)
1	SANWARMAL AGARWAL	75210	3.41	0	0.00	0.00
2	SITA DEVI AGARWAL	73700	3.34	0	0.00	0.00
3	TALWAR STEELS P LTD	501890	22.73	0	0.00	0.00
4	PRUDENT MAN & IND CON P LTD	157000	7.11	0	0.00	0.00
TOTAL		807800	36.59	0	0.00	0.00

(1)(c) Statement showing Shareholding of persons belonging to the category
"Public" and holding more than 5% of the total number of shares

Sr. No.	Name of the shareholder	Number of shares	Shares as a percentage of total number of shares i.e., Grand Total (A)+(B)+(C) indicated in Statement at para (1)(a) above}
1	J M MUTUAL FUND	136200	6.17
2	HARIO M AGRO FOODS P LTD	200000	9.06
3	KAMALPUR FINANCE LTD	200000	9.06
TOTAL		536200	24.29



(1)(c) Statement showing Shareholding of persons belonging to the category "Public" and holding more than 1% of the total number of shares

Sr. No.	Name of the shareholder	Number of shares	Shares as a percentage of total number of shares {i.e., Grand Total (A)+(B)+(C) indicated in Statement at para (1)(a) above}
1	J M MUTUAL FUND	136200	6.17
2	HARIOH AGRO FOODS P LTD	200000	9.06
3	KAMALPUR FINANCE LTD	200000	9.06
4	MEGHNA SHAH	25000	1.13
5	NIRMAL KUMAR AGARWAL	40000	1.81
6	SANJAY KUMAR AGARWAL	100000	1.81
7	SAPNA AGARWAL	99200	1.81
8	KANUPRIYA AGARWAL	30000	1.36
TOTAL		830400	37.62

(1)(d) Statement showing details of locked-in shares

Sr. No.	Name of the shareholder	Category of Shareholders (Promoter/)	Number of locked-in shares	Locked-in shares as a percentage of total number of shares {i.e., Grand Total (A)+(B)+(C) indicated in Statement at para (1)(a) above}
1	TALWAR STEELS P LTD	Promoter	501890	22.74
2	SANWARMAL AGARWAL	Promoter	75210	3.4
3	PRUDENT MAN & IND CON P LTD	Promoter	157000	7.11
4	SITA DEVI AGARWAL	Promoter	73700	3.34
TOTAL			807800	36.59



(II)(a) Statement showing details of Depository Receipts (DRs)

Sr. No.	Type of outstanding DR (ADRs, GDRs, SDRs, etc.)	Number of outstanding DRs	Number of shares underlying outstanding DRs	Shares underlying outstanding DRs as a percentage of total number of shares {i.e., Grand Total (A)+(B)+(C) indicated in Statement at para (I)(a) above}
1	NIL			0.00
TOTAL		0	0	0.00

(II)(b) Statement showing holding of Depository Receipts (DRs), where underlying shares held
by "promoter/promoter group" are in excess of 1% of the total number of shares

Sr. No.	Name of the DR Holder	Type of outstanding DR (ADRs, GDRs, SDRs, etc.)	Number of shares underlying outstanding DRs	Shares underlying outstanding DRs as a percentage of total number of shares {i.e., Grand Total (A)+(B)+(C) indicated in Statement at para (I)(a) above}
1	NIL			0.00
TOTAL			0	0.00

