



Date: 12th July, 2014

The Manager
Department of Corporate Services
BSE Limited
Phiroze Jeejeebhoy Towers,
Dalal Street, Mumbai-400 001

Dear Sir/Madam,

Please find enclosed herewith the following documents:

1. Compliance report on Corporate Governance for the quarter ended 30.06.2014.
2. Shareholding Pattern of the Company as per clause 35 of the Listing Agreement for the quarter ended 30.06.2014.

Kindly find the above in order and acknowledge the same.

Thanking you,

For **Aravali Securities & Finance Limited**


Anuradha Rawat
Company Secretary

Encl: As above

ARAVALI SECURITIES & FINANCE LIMITED

REGD. OFFICE : Institutional Area, Plot No. 39, Sector - 44, Gurgaon - 122003, Haryana
Phone : +91-124 4888111, Fax : 91 124 4888101

CIN : L67120HR1980PLC039125 | Website : www.aravalisecurities.com | E-mail : info@aravalisecurities.com

Quarterly Compliance Report on Corporate Governance

Name of the Company : Aravali Securities & Finance Limited

Quarter ending on : 30th June, 2014

Particulars	Clause of Listing Agreement	Compliance Status Yes/No	Remarks
I. Board of Directors	49(I)		-
(A) Composition of Board	49(I)(A)	Yes	-
(B) Non-executive Directors' Compensation & Disclosures	49(I)(B)	Yes	-
(C) Other Provisions as to Board and Committees	49(I)(C)	Yes	-
(D) Code of Conduct	49(I)(D)	Yes	-
II. Audit Committee	49(II)		
(A) Qualified & Independent Audit Committee	49(II)(A)	Yes	-
(B) Meeting of Audit Committee	49(II)(B)	Yes	-
(C) Powers of Audit Committee	49(II)(C)	Yes	-
(D) Role of Audit Committee	49(II)(D)	Yes	-
(E) Review of Information by Audit Committee	49(II)(E)	Yes	-
III. Subsidiary Companies	49(III)	N.A.	-
IV. Disclosures	49(IV)		
(A) Basis of Related Party Transactions	49(IV)(A)	Yes	Will be disclosed in Annual Report (2013-14)
(B) Disclosure of Accounting Treatment	49(IV)(B)	Yes	-
(C) Board Disclosures	49(IV)(C)	Yes	-
(D) Proceeds from Public Issues, Rights Issues, Preferential Issues etc.	49(IV)(D)	N.A.	-
(E) Remuneration of Directors	49(IV)(E)	Yes	Will be disclosed in Annual Report (2013-14)
(F) Management	49(IV)(F)	Yes	Will be disclosed in Annual Report (2013-14)
(G) Shareholders	49(IV)(G)	Yes	Will be disclosed in Annual Report (2013-14)
V. CEO/CFO Certification	49(V)	Yes	-
VI. Report on Corporate Governance	49(VI)	Yes	Will be disclosed in Annual Report (2013-14)
VII. Compliance	49(VII)	Yes	-

For Aravali Securities & Finance Limited

Anuradha Rawat
Anuradha Rawat
Company Secretary



Introductory sub-table (I)(a)

Name of the Company: ARAVALI SECURITIES & FINANCE LIMITED

Scrip Code, Name of the scrip, class of security: 512344

Quarter ended: 30.06.2014

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	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	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	0	0	0
Total paid-up capital of the Company, assuming full conversion of warrants and convertible securities	15153850		

For Aravali Securities & Finance Limited



Anuradha Rawat

Company Secretary & Compliance Officer



Statement Showing Shareholding Pattern

Category code	Category of Shareholder	Number of Shareholders	Table (I)(a)		Total shareholding as a percentage of total number of shares		Shares Pledged or otherwise encumbered	
			Total number of shares	Number of shares held in dematerialized form	As a percentage of (A+B) ¹	As a percentage of (A+B+C)	Number of shares	As a percentage
			(IV)	(V)	(VI)	(VII)	(VIII)	(IX)= (VIII)/(IV)*100
(I)	(II)	(III)	(IV)	(V)	(VI)	(VII)	(VIII)	(IX)= (VIII)/(IV)*100
(A)	Shareholding of Promoter and Promoter Group²							
1	Indian							
(a)	Individuals/ Hindu Undivided Family	3	4759352	4759352	31.41	31.41	0	0.00
(b)	Central Government/ State Government(s)	0	0	0	0.00	0.00	0	0.00
(c)	Bodies Corporate	0	0	0	0.00	0.00	0	0.00
(d)	Financial Institutions/ Banks	0	0	0	0.00	0.00	0	0.00
(e)	Any Others(Specify)	0	0	0	0.00	0.00	0	0.00
(e-i)		0	0	0	0.00	0.00	0	0.00
	Sub Total(A)(1)	3	4759352	4759352	31.41	31.41	0	0.00
2	Foreign							
a	Individuals (Non-Residents Individuals/ Foreign Individuals)	1	1372511	1372511	9.06	9.06	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	Qualified Foreign Investor	0	0	0	0.00	0.00	0	0.00
e	Any Others(Specify)	0	0	0	0.00	0.00	0	0.00
	Sub Total(A)(2)	1	1372511	1372511	9.06	9.06	0	0.00
	Total Shareholding of Promoter and Promoter Group (A)= (A)(1)+(A)(2)	4	6131863	6131863	40.46	40.46	0	0.00

For Aravali Securities & Finance Limited

Anuradha Rawat
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(B)	Public shareholding								
1	Institutions								
(a)	Mutual Funds/ UTI	0	0	0	0.00	0.00	0	0.00	
(b)	Financial Institutions / Banks	9	13205	8705	0.09	0.09	0	0.00	
(c)	Central Government/ State Government(s)	0	0	0	0.00	0.00	0	0.00	
(d)	Venture Capital Funds	0	0	0	0.00	0.00	0	0.00	
(e)	Insurance Companies	0	0	0	0.00	0.00	0	0.00	
(f)	Foreign Institutional Investors	0	0	0	0.00	0.00	0	0.00	
(g)	Foreign Venture Capital Investors	0	0	0	0.00	0.00	0	0.00	
(h)	Qualified Foreign Investor	0	0	0	0.00	0.00	0	0.00	
(i)	Any Other (specify)	0	0	0	0.00	0.00	0	0.00	
	Sub-Total (B)(1)	9	13205	8705	0.09	0.09	0	0.00	
(B)									
2	Non-institutions								
(a)	Bodies Corporate	188	1624668	1601972	10.72	10.72	0	0.00	
(b)	Individuals								
i	Individuals -i. Individual shareholders holding nominal share capital up to Rs 1 lakh	16034	4225471	1884235	27.88	27.88	0	0.00	
ii	Individual shareholders holding nominal share capital in excess of Rs. 1 lakh.	50	2955819	2802604	19.51	19.51	0	0.00	
(c)	Qualified Foreign Investor	0	0	0	0.00	0.00	0	0.00	
(d)	Any Other (specify)				0.00		0	0.00	
(d-i)	NRI (Repat & Non -Rept)	19	37869	37869	0.25	0.25	0	0.00	
(d-ii)	Hindu Undivided Family	89	161833	161833	1.07	1.07	0	0.00	
(d-iii)	Clearing Members	7	3122	3122	0.02	0.02	0	0.00	
	Sub-Total (B)(2)	16387	9008782	6491635	59.45	59.45	0	0.00	
(B)	Total Public Shareholding (B)= (B)(1)+(B)(2)	16396	9021987	6500340	59.54	59.54	0	0.00	
									0.00
	TOTAL (A)+(B)	16400	15153850	12632203	100.00	100.00	0	0.00	
(C)	Shares held by Custodians and against which Depository Receipts have been issued								
1	Promoter and Promoter Group	0	0	0	0.00	0.00	0	0.00	
2	Public	0	0	0	0.00	0.00	0	0.00	
	Sub-Total (C)	0	0	0	0	0	0	0.00	
	GRAND TOTAL (A)+(B)+(C)	16400	15153850	12632203	100.00	100.00	0	0.00	

For Aravali Securities & Finance Limited

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Anuradha Rawat
Company Secretary & Compliance Officer



(I)(b) Statement showing holding of securities (including shares, warrants, convertible securities) of persons belonging to the category "Promoter and Promoter Group"

Sr. No.	Name of the shareholder	Details of Shares held		Encumbered shares (*)			Details of warrants		Details of convertible securities		Total shares (including underlying shares assuming full conversion of warrants and convertible securities) as a % of diluted share capital
		Number of shares held	As a % of grand total (A) +(B) +(C)	No.	As a percentage	As a % of grand total (A)+(B)+(C) of sub-clause (I)(a)	Number of warrants held	As a % total number of warrants of the same class	Number of convertible securities held	As a % total number of convertible securities of the same class	
(I)	(II)	(III)	(IV)	(V)	(VI)=(V)/(III)*100	(VII)	(VIII)	(IX)	(X)	(XI)	(XII)
1	Devashish Poddar (HUF)	400000	2.64	0	0.00	0.00	0	0	0	0	0
2	Anupam Poddar	652260	4.30	0	0.00	0.00	0	0	0	0	0
3	Devashish Poddar	3707092	24.46	0	0.00	0.00	0	0	0	0	0
4	C.L.Poddar	1372511	9.06	0	0.00	0.00	0	0	0	0	0
TOTAL		6131863	40.46	0	0.00	0.00	0	0	0	0	0

(*) The term "encumbrance" has the same meaning as assigned to it in regulation 28(3) of the SAST Regulations, 2011

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(I)(c)(i)

Statement showing holding of securities (including shares, warrants, convertible securities) 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 held	Shares as a percentage of total number of shares {i.e., Grand Total (A)+(B)+(C) indicated in Statement at para (I)(a) above}	Details of warrants		Details of convertible		Total shares (including underlying shares assuming full conversion of warrants and convertible securities) as a % of diluted share capital
				Number of warrants held	As a % total number of warrants of the same class	Number of convertible securities held	% w.r.t total number of convertible securities of the same class	
1	RITA SACHDEVA	748000	4.94	0	0	0	0	0
2	BISHWANATH TRADERS AND INVESTMENT LTD.	515479	3.40	0	0	0	0	0
3	PAULASTYA SACHDEV	280000	1.85	0	0	0	0	0
4	ANAND KUMAR KESARI	248581	1.64	0	0	0	0	0
5	LE ROY SECURITIES (P) LTD.	225000	1.48	0	0	0	0	0
6	NUPUR SHARMA	200000	1.32	0	0	0	0	0
7	INDER MOHAN SHARMA	200000	1.32	0	0	0	0	0
8	ATUL GOEL	169544	1.12	0	0	0	0	0
TOTAL		2586604	17.07	0	0	0	0	0

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(I)(c)(ii)

Statement showing holding of securities (including shares, warrants, convertible securities) of persons (together with PAC) belonging to the category "Public" and holding more than 5% of the total number of shares of the Company

Sr. No.	Name(s) of the shareholder(s) and the Persons Acting in Concert (PAC) with them	Number of shares	Shares as a percentage of total number of shares {i.e., Grand Total (A)+(B)+(C) indicated in Statement at para (I)(a) above}	Details of warrants		Details of convertible		Total shares (including underlying shares assuming full conversion of warrants and convertible securities) as a % of diluted share capital
				Number of warrants	As a % total number of warrants of the same class	Number of convertible securities held	% w.r.t total number of convertible securities of the same class	
1	NIL	0	0.00	0	0	0	0	0
2	NIL	0	0.00	0	0	0	0	0
TOTAL		0	0.00	0	0	0	0	0

For Aravali Securities & Finance Limited


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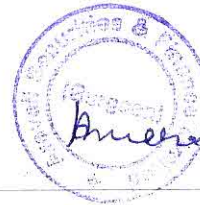
(I)(d)		<u>Statement showing details of locked-in shares</u>		
Sr. No.	Name of the shareholder	Number of locked-in shares	Locked-in shares as a percentage of total number of shares {i.e., Grand Total (A)+(B)+(C) indicated in Statement at para (I)(a) above}	
1	NIL	0		0.00
2	NIL	0		0.00
TOTAL		0		0.00

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(II)(a) <u>Statement showing details of Depository Receipts (DRs)</u>				
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	0	0.00
2	NIL	0	0	0.00
TOTAL		0	0	0.00

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