

Shareholding Pattern under Regulation 31 of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015

1.	Name of Listed Entity: Uttam Sugar Mills Limited
2.	Scrip Code/Name of Scrip/Class of Security: 532729
3.	Share Holding Pattern Filed under: Reg. 31(1)(a)/Reg. 31(1)(b)/Reg. 31(1)(c)
	a. If under 31(1)(b) then indicate the report for Quarter ending
	b. If under 31(1)(c) then indicate date of allotment/extinguishment
4.	Declaration: The Listed entity is required to submit the following declaration to the extent of submission of information:-

	Particulars	Yes*	No*
1	Whether the Listed Entity has issued any partly paid up shares?		No
2	Whether the Listed Entity has issued any Convertible Securities or Warrants?		No
3	Whether the Listed Entity has any shares against which depository receipts are issued?		No
4	Whether the Listed Entity has any shares in locked-in?		No
5	Whether any shares held by promoters are pledge or otherwise encumbered?	Yes	

* If the Listed Entity selects the option 'No' for the questions above, the columns for the partly paid up shares, Outstanding Convertible Securities/Warrants, depository receipts, locked-in shares, No of shares pledged or otherwise encumbered by promoters, as applicable, shall not be displayed at the time of dissemination on the Stock Exchange website. Also wherever there is 'No' declared by Listed Entity in above table the values will be considered as 'Zero' by default on submission of the format of holding of specified securities.

GENERATED ON :11/01/2020

NSDL : 31/12/2019

CDSL :31/12/2019



Uttam Sugar Mills Limited

Table I - Summary Statement holding of specified securities

Category	Category of shareholder	Nos. of shareholders	No. of fully paid up equity shares held	No. of Partly paid-up equity shares held	No. of shares underlying Depository Receipts	Total nos. shares held	Shareholding as a % of total no. of shares (calculated as per SCRR, 1957)	Number of Voting Rights held in each class of securities			No. of Shares Underlying Outstanding convertible securities (including Warrants)	Shareholding, as a % assuming full conversion of convertible securities (as a percentage of diluted share capital)	Number of Locked In shares		Number of Shares pledged or otherwise encumbered		Number of equity shares held in dematerialised form	
								No of Voting Rights					Total as a % of (A+B+C)	No. (a)	As a % of total Shares held(b)	No. (a)		As a % of total Shares held(b)
								Class eg: X	Class eg: y	Total								
(I)	(II)	(III)	(IV)	(V)	(VI)	(VII) =	(VIII) As a	(IX)			(X)	(XI)=	(XII)		(XIII)		(XIV)	
(A)	Promoter & Promoter Group	19	28603585	0	0	28603585	75.0000	28603585	0	28603585	75.0000	0	75.0000	0	0.0000	9484170	33.157200	28603585
(B)	Public	15653	9534535	0	0	9534535	25.0000	9534535	0	9534535	25.0000	0	25.0000	0	0.0000	NA	NA	9153439
(C)	Non Promoter - Non Public				0				0			0			0.0000	NA	NA	
(C1)	Shares Underlying DRs	0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	0	0.0000	NA	NA	0
(C2)	Shares Held By Employee Trust	0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	0	0.0000	NA	NA	0
	Total	15672	38138120	0	0	38138120	100.0000	38138120	0	38138120	100.0000	0	100.0000	0	0.0000	9484170	24.867900	37757024

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Uttam Sugar Mills Limited

Table II - Statement showing shareholding pattern of the Promoter and Promoter Group

Category & Name of the shareholders	PAN	Nos. of shareholders	No. of fully paid up equity shares held	Partly paid-up equity shares held	No. of shares underlying Depository Receipts	Total nos. shares held	Shareholding % calculated as per SCRR, 1957 As a % of (A+B+C2)	Number of Voting Rights held in each class of securities			No. of Shares Underlying Outstanding convertible securities (including Warrants)	Shareholding %, as assuming full conversion of convertible securities (as a percentage of diluted share capital)	Number of Locked In shares		Number of Shares pledged or otherwise encumbered		Number of equity shares held in dematerialised form	
								No of Voting Rights					Total as a % of (A+B+C)	No. (a)	As a % of total Shares held(b)	No. (a)		As a % of total Shares held(b)
								Class eg: X	Class eg: y	Total								
(I)	(II)	(III)	(IV)	(V)	(VI)	(VII)=	(VIII) As a % of (A+B+C2)	(IX)			(X)	(XI)=	(XII)	(XIII)	(XIV)			
1 Indian																		
(a) Individuals / Hindu Undivided Family		13	5272204	0	0	5272204	13.8240	5272204	0	5272204	13.8240	0	13.8240	0	0.0000	3484170	66.0856	5272204
Raj Kumar Adlakha	AJZPK7896C	1	1624610	0	0	1624610	4.2598	1624610	0	1624610	4.2598	0	4.2598	0	0.0000	1624610	100.0000	1624610
Ranjan Adlakha	AAEPA8800E	1	1492550	0	0	1492550	3.9135	1492550	0	1492550	3.9135	0	3.9135	0	0.0000	1492550	100.0000	1492550
Shomna Adlakha	AEMPA3857P	1	870410	0	0	870410	2.2823	870410	0	870410	2.2823	0	2.2823	0	0.0000	0	0.0000	870410
Ranjana Chopra	AAFPC2296R	1	373300	0	0	373300	0.9788	373300	0	373300	0.9788	0	0.9788	0	0.0000	0	0.0000	373300
Rajan Adlakha	ADEPA1936C	1	367010	0	0	367010	0.9623	367010	0	367010	0.9623	0	0.9623	0	0.0000	367010	100.0000	367010
Bharat Adlakha	AKPPA0317B	1	166500	0	0	166500	0.4366	166500	0	166500	0.4366	0	0.4366	0	0.0000	0	0.0000	166500
Saeesha Adlakha	AKPPA4439G	1	166500	0	0	166500	0.4366	166500	0	166500	0.4366	0	0.4366	0	0.0000	0	0.0000	166500
Rajni Babbar	ACCPB1027G	1	139910	0	0	139910	0.3669	139910	0	139910	0.3669	0	0.3669	0	0.0000	0	0.0000	139910
Shanta	AMEPS8581J	1	60000	0	0	60000	0.1573	60000	0	60000	0.1573	0	0.1573	0	0.0000	0	0.0000	60000
Jai Adlakha	AXUPA5278K	1	4200	0	0	4200	0.0110	4200	0	4200	0.0110	0	0.0110	0	0.0000	0	0.0000	4200
Raj Kumar Adlakha Huf	AAGHR4573R	1	4104	0	0	4104	0.0108	4104	0	4104	0.0108	0	0.0108	0	0.0000	0	0.0000	4104
Balram Adlakha	AWTPA3967F	1	3100	0	0	3100	0.0081	3100	0	3100	0.0081	0	0.0081	0	0.0000	0	0.0000	3100
Sonia Adlakha	ACBPA8837E	1	10	0	0	10	0.0000	10	0	10	0.0000	0	0.0000	0	0.0000	0	0.0000	10
(b) Central Government / State Government(s)		0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	0	0.0000	0	0.0000	0
(c) Financial Institutions / Banks		0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	0	0.0000	0	0.0000	0
(d) Any Other (Specify)		6	23331381	0	0	23331381	61.1760	23331381	0	23331381	61.1760	0	61.1760	0	0.0000	6000000	25.7164	23331381
Bodies Corporate		6	23331381	0	0	23331381	61.1760	23331381	0	23331381	61.1760	0	61.1760	0	0.0000	6000000	25.7164	23331381
Uttam Adlakha & Sons Holdings Private Limited	AAACG0405E	1	16301224	0	0	16301224	42.7426	16301224	0	16301224	42.7426	0	42.7426	0	0.0000	0	0.0000	16301224
Lipi Boilers Private Limited	AAACL1650L	1	3515000	0	0	3515000	9.2165	3515000	0	3515000	9.2165	0	9.2165	0	0.0000	2950000	83.9260	3515000
Uttam Industrial Engineering Private Limited	AAACU1074B	1	2750000	0	0	2750000	7.2106	2750000	0	2750000	7.2106	0	7.2106	0	0.0000	2750000	100.0000	2750000
New Castle Finance And Leasing Pvt Ltd	AAACN0386K	1	380650	0	0	380650	0.9981	380650	0	380650	0.9981	0	0.9981	0	0.0000	0	0.0000	380650
Uttam Sucrotech Limited	AAACU4042K	1	314267	0	0	314267	0.8240	314267	0	314267	0.8240	0	0.8240	0	0.0000	300000	95.4602	314267
Shubham Sugars Limited	AAICS3936L	1	70240	0	0	70240	0.1842	70240	0	70240	0.1842	0	0.1842	0	0.0000	0	0.0000	70240
Sub Total (A)(1)		19	28603585	0	0	28603585	75.0000	28603585	0	28603585	75.0000	0	75.0000	0	0.0000	9484170	33.1573	28603585



2	Foreign																		
(a)	Individuals (Non-Resident Individuals / Foreign Individuals)	0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	0	0.0000	0	0.0000	0	0.0000
(b)	Government	0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	0	0.0000	0	0.0000	0	0.0000
(c)	Institutions	0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	0	0.0000	0	0.0000	0	0.0000
(d)	Foreign Portfolio Investor	0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	0	0.0000	0	0.0000	0	0.0000
(e)	Any Other (Specify)	0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	0	0.0000	0	0.0000	0	0.0000
	Sub Total (A)(2)	0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	0	0.0000	0	0.0000	0	0.0000
	Total Shareholding Of Promoter And Promoter Group (A)= (A)(1)+(A)(2)	19	28603585	0	0	28603585	75.0000	28603585	0	28603585	75.0000	0	75.0000	0	0.0000	9484170	33.1573	28603585	

Details of Shares which remain unclaimed may be given hear along with details such as number of shareholders, outstanding shares held in demat/unclaimed suspense account, voting rights which are frozen etc.

Not

(1) PAN would not be displayed on website of Stock Exchange(s)

(2) The term 'Encumbrance' has the same meaning as assigned under regulation 28(3) of SEBI (Substantial Acquisition of Shares and Takeovers) Regulations, 2011.

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Table III - Statement showing shareholding pattern of the Public shareholder

Category & Name of the shareholders	PAN	Nos. of shareholders	No. of fully paid up equity shares held	Partly paid-up equity shares held	No. of shares underlying Depository Receipts	Total nos. shares held	Shareholding % calculated as per SCRR, 1957 As a % of (A+B+C2)	Number of Voting Rights held in each class of securities			No. of Shares Underlying Outstanding convertible securities (including Warrants)	Shareholding, as a % assuming full conversion of convertible securities (as a percentage of diluted share capital)	Number of Locked in shares		Number of Shares pledged or otherwise encumbered		Number of equity shares held in dematerialised form	
								No of Voting Rights		Total as a % of (A+B+C)			No. (a)	As a % of total Shares held(b)	No. (a)	As a % of total Shares held(b)		
								Class eg: X	Class eg: y									Total
(I)	(II)	(III)	(IV)	(V)	(VI)	(VII) =	(VIII) As a	(IX)			(X)	(XI) =	(XII)	(XIII)		(XIV)		
1 Institutions																		
(a) Mutual Fund		0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	0	0.0000	NA	NA	0
(b) Venture Capital Funds		0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	0	0.0000	NA	NA	0
(c) Alternate Investment Funds		0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	0	0.0000	NA	NA	0
(d) Foreign Venture Capital Investors		0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	0	0.0000	NA	NA	0
(e) Foreign Portfolio Investor		0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	0	0.0000	NA	NA	0
(f) Financial Institutions / Banks		1	26272	0	0	26272	0.0689	26272	0	26272	0.0689	0	0.0689	0	0.0000	NA	NA	26272
(g) Insurance Companies		0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	0	0.0000	NA	NA	0
(h) Provident Funds/ Pension Funds		0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	0	0.0000	NA	NA	0
(i) Any Other (Specify)		0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	0	0.0000	NA	NA	0
Sub Total (B)(1)		1	26272	0	0	26272	0.0689	26272	0	26272	0.0689	0	0.0689	0	0.0000	NA	NA	26272
2 Central Government/ State Government(s)/ President of India																		
Sub Total (B)(2)		0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	0	0.0000	NA	NA	0



3	Non-Institutions																	
(a)	Individuals		0	0									0		NA	NA		
	i. Individual shareholders holding nominal share capital up to Rs. 2 lakhs.	14871	2987022	0	0	2987022	7.8321	2987022	0	2987022	7.8321	0	7.8321	0	0.0000	NA	NA	2979626
	ii. Individual shareholders holding nominal share capital in excess of Rs. 2 lakhs.	27	4534609	0	0	4534609	11.8900	4534609	0	4534609	11.8900	0	11.8900	0	0.0000	NA	NA	4161109
	Anil Kumar Goel	AAJPG2552Q	1810000	0	0	1810000	4.7459	1810000	0	1810000	4.7459	0	4.7459	0	0.0000	NA	NA	1810000
	Seema Goel	AHAPG8015A	886000	0	0	886000	2.3231	886000	0	886000	2.3231	0	2.3231	0	0.0000	NA	NA	886000
	Yogesh Chopra	ABGPC2316L	462300	0	0	462300	1.2122	462300	0	462300	1.2122	0	1.2122	0	0.0000	NA	NA	462300
(b)	NBFCs registered with RBI	1	1083	0	0	1083	0.0028	1083	0	1083	0.0028	0	0.0028	0	0.0000	NA	NA	1083
	Trust Employee	0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	0	0.0000	NA	NA	0
(d)	Overseas Depositories(holding DRs) (balancing figure)	0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	0	0.0000	NA	NA	0
(e)	Any Other (Specify)	753	1985549	0	0	1985549	5.2062	1985549	0	1985549	5.2062	0	5.2062	0	0.0000	NA	NA	1985349
	Trusts	1	10	0	0	10	0.0000	10	0	10	0.0000	0	0.0000	0	0.0000	NA	NA	10
	Hindu Undivided Family	393	207789	0	0	207789	0.5448	207789	0	207789	0.5448	0	0.5448	0	0.0000	NA	NA	207789
	Non Resident Indians (Non Repat)	47	21729	0	0	21729	0.0570	21729	0	21729	0.0570	0	0.0570	0	0.0000	NA	NA	21729
	Non Resident Indians (Repat)	82	86493	0	0	86493	0.2268	86493	0	86493	0.2268	0	0.2268	0	0.0000	NA	NA	86493
	Clearing Member	109	156892	0	0	156892	0.4114	156892	0	156892	0.4114	0	0.4114	0	0.0000	NA	NA	156892
	Bodies Corporate	121	1512636	0	0	1512636	3.9662	1512636	0	1512636	3.9662	0	3.9662	0	0.0000	NA	NA	1512436
	Vedcera Services Private Limited	AACCV8939L	1	835040	0	835040	2.1895	835040	0	835040	2.1895	0	2.1895	0	0.0000	NA	NA	835040
	Axis Bank Limited	AAACU2414K	1	451481	0	451481	1.1838	451481	0	451481	1.1838	0	1.1838	0	0.0000	NA	NA	451481
	Sub Total (B)(3)	15652	9508263	0	0	9508263	24.9311	9508263	0	9508263	24.9311	0	24.9311	0	0.0000	NA	NA	9127167
	Total Public Shareholding (B)= (B)(1)+(B)(2)+(B)(3)	15653	9534535	0	0	9534535	25.0000	9534535	0	9534535	25.0000	0	25.0000	0	0.0000	NA	NA	9153439

Details of the shareholders acting as persons in Concert including their Shareholding (No. and %):

No. of shareholders	No. of Shares

Details of Shares which remain unclaimed may be given hear along with details such as number of shareholders, outstanding shares held in demat/unclaimed suspense account, voting rights which are frozen etc.

Note

(1) PAN would not be displayed on website of Stock Exchange(s).

(2) The above format needs to disclose name of all holders holding more than 1% of total number of shares

(3) W.r.t. the information pertaining to Depository Receipts, the same may be disclosed in the respective columns to the extent information available and the balance to be disclosed as held by custodian.

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Table IV - Statement showing shareholding pattern of the Non Promoter- Non Public shareholder

Category & Name of the shareholders	PAN	Nos. of shareholders	No. of fully paid up equity shares held	Partly paid-up equity shares held	No. of shares underlying Depository Receipts	Total nos. shares held	Shareholding % calculated as per SCRR, 1957 As a % of (A+B+C2)	Number of Voting Rights held in each class of securities			No. of Shares Underlying Outstanding convertible securities (Including Warrants)	Shareholding, as a % assuming full conversion of convertible securities (as a percentage of diluted share capital)	Number of Locked in shares		Number of Shares pledged or otherwise encumbered		Number of equity shares held in dematerialised form	
								No of Voting Rights					Total as a % of (A+B+C)	No. (a)	As a % of total Shares held(b)	No. (a)		As a % of total Shares held(b)
								Class eg: X	Class eg: y	Total								
(I)	(II)	(III)	(IV)	(V)	(VI)	(VII) =	(VIII) As a % of (A+B+C)	(IX)			(X)	(XI)=	(XII)		(XIII)		(XIV)	
1 Custodian/DR Holder		0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	0	0.0000	NA	NA	0
2 Employee Benefit Trust (under SEBI (Share based Employee Benefit) Regulations, 2014)		0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	0	0.0000	NA	NA	0
Total Non-Promoter- Non Public Shareholding (C)= (C)(1)+(C)(2)		0	0	0	0	0	0.0000	0	0	0	0.0000	0	0.0000	0	0.0000	NA	NA	0

No

[1] PAN would not be displayed on website of Stock Exchange(s).

[2] The above format needs to disclose name of all holders holding more than 1% of total number of shares

[3] W.r.t. the information pertaining to Depository Receipts, the same may be disclosed in the respective columns to the extent information available and the balance to be disclosed as held by custodian.

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Table V - Significant Beneficial Owners

Sr. No	Details of the significant beneficial owner (I)			Details of the registered owner (II)			Details of Holding/exercise of right of the SBO in the reporting Company, Whether Direct or Indirect*: (III)					Date of creation / acquisition / of significant beneficial interest (IV)
	Name	PAN	Nationality	Name	PAN	Nationality	Whether by Virtue of:					
							Shares	Voting Rights	Rights on Distributable Dividend or any other distribution	Exercise of Control	Exercise of Significant Influence	
1	RAJ KUMAR ADLAKHA	AJZPK7896C	Indian	RAJ KUMAR ADLAKHA	AJZPK7896C	INDIAN	4.26	4.26	4.26	No	No	17-11-2000
	RAJ KUMAR ADLAKHA	AJZPK7896C	Indian	LIPI BOILERS PRIVATE LIMITED	AAACL1650L	INDIAN	9.22	9.22	9.22	No	No	17-11-2000
	RAJ KUMAR ADLAKHA	AJZPK7896C	Indian	RAJ KUMAR ADLAKHA HUF	AAGHR4573R	INDIAN	0.01	0.01	0.01	No	No	17-11-2000
	RAJ KUMAR ADLAKHA	AJZPK7896C	Indian	UTTAM ADLAKHA & SONS HOLDINGS PRIVATE LIMITED	AAACG0405E	INDIAN	42.74	42.74	42.74	No	No	17-11-2000
	RAJ KUMAR ADLAKHA	AJZPK7896C	Indian	SHUBHAM SUGARS LTD.	AAICS3936L	INDIAN	0.18	0.18	0.18	No	No	17-11-2000
2	RANJAN ADLAKHA	AAEPA8800E	Indian	RANJAN ADLAKHA	AAEPA8800E	INDIAN	3.91	3.91	3.91	No	No	17-11-2000
	RANJAN ADLAKHA	AAEPA8800E	Indian	UTTAM INDUSTRIAL ENGINEERING PVT. LTD.	AAACU1074B	INDIAN	7.21	7.21	7.21	No	No	17-11-2000

