

(I)(a) Statement showing Shareholding Pattern

Name of the Company : NCL RESEARCH & FINANCIAL SERVICES LIMITED			
Name of the scrip : NCLRESE			
Scrip Code : 530557		Class of Security : Equity Shares	
Period ended: 30th September 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/promoters group	Nil	Nil	Nil
Held by public	Nil	Nil	Nil
Total	Nil	Nil	Nil
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	Nil	Nil	Nil
Held by public	Nil	Nil	Nil
Total	Nil	Nil	Nil
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	Nil	Nil	Nil
Held by public	Nil	Nil	Nil
Total	Nil	Nil	Nil
Total paid-up capital of the company assuming full conversion of warrants and convertible securities	5,817,000		



(I)(a). Statement showing Shareholding Pattern under Clause 35 of the Listing Agreement

Name of the Company:		NCL RESEARCH & FINANCIAL SERVICES LIMITED						
Scrip Code : 530557		Quarter ended:				30th September 2013		
Category 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 Pledged or otherwise encumbered	
					As a percentage of (A+B)	As a percentage of (A+B+C)	Number of Shares	As a Percentage
(A)	*Shareholding of Promoter and Promoter Group						(VIII)	(IX) = (VIII) / (VI) * 100
-1	Indian							
(a)	Individuals/ Hindu Undivided Family	1	163,500	163,500	2.81%	2.81%		
(b)	Central Government/ State Government(s)	-	-	-	0.00%	0.00%	-	-
(c)	Bodies Corporate	-	-	-	0.00%	0.00%	-	-
(d)	Financial Institutions/ Banks	-	-	-	0.00%	0.00%	-	-
(e)	Any Other (specify)	-	-	-	0.00%	0.00%	-	-
	Sub-Total (A)(1)	1	163,500	163,500	2.81%	2.81%	-	-
-2	Foreign				0.00%	0.00%	-	-
(a)	Individuals (Non-Resident Individuals/ Foreign Individuals)	-	-	-	0.00%	0.00%	-	-
(b)	Bodies Corporate	-	-	-	0.00%	0.00%	-	-
(c)	Institutions	-	-	-	0.00%	0.00%	-	-
(d)	Qualified Foreign Investor	-	-	-	0.00%	0.00%	-	-
(e)	Any Other (specify)	-	-	-	0.00%	0.00%	-	-
	Sub-Total (A)(2)	-	-	-	0.00%	0.00%	-	-
	*Total Shareholding of Promoter and Promoter Group (A) = (A)(1) + (A)(2)	1	163,500	163,500	2.81%	2.81%	-	-
(B)	Public shareholding				0.00%	0.00%	N.A.	N.A.
-1	Institutions				0.00%	0.00%	N.A.	N.A.
(a)	Mutual Funds/ UTI	-	-	-	0.00%	0.00%		
(b)	Financial Institutions/ Banks	-	-	-	0.00%	0.00%		
(c)	Central Government/ State Government(s)	-	-	-	0.00%	0.00%		
(d)	Venture Capital Funds	-	-	-	0.00%	0.00%		
(e)	Insurance Companies	-	-	-	0.00%	0.00%		
(f)	Foreign Institutional Investors	-	-	-	0.00%	0.00%		
(g)	Foreign Venture Capital Investors	-	-	-	0.00%	0.00%		
(h)	Qualified Foreign Investors	-	-	-	0.00%	0.00%		
(i)	Any Other (specify)	-	-	-	0.00%	0.00%		
	Sub-Total (B)(1)	-	-	-	0.00%	0.00%		
-2	Non-institutions				0.00%	0.00%		
(a)	Bodies Corporate	149	4,149,784	4,120,784	71.34%	71.34%	N.A.	N.A.
(b)	Individuals -				0.00%	0.00%		
i.	Individual shareholders holding nominal share capital up to Rs. 1 lakh.	220	345,602	319,102	5.94%	5.94%		
ii.	Individual shareholders holding nominal share capital in excess of Rs. 1 lakh.	53	1,158,114	1,129,114	19.91%	19.91%		
(c)	Qualified Foreign Investors	-	-	-	0.00%	0.00%		
(d)	Any Other (Specify)	-	-	-	0.00%	0.00%		
	Sub-Total (B)(2)	422	5,653,500	5,569,000	97.19%	97.19%		
	Total Public Shareholding (B) = (B)(1) + (B)(2)	422	5,653,500	5,569,000	97.19%	97.19%	N.A.	N.A.
	TOTAL (A) + (B)	423	5,817,000	5,732,500	100.00%	100.00%		
(C)	Shares held by Custodians and against which Depository Receipts have been issued	-	-	-	0.00%	0.00%	N.A.	N.A.
(1)	Promoter and Promoter Group	-	-	-	0.00%	0.00%	-	-
(2)	Public	-	-	-	0.00%	0.00%	N.A.	N.A.
	Sub-Total (C)	-	-	-	0.00%	0.00%		
	GRAND TOTAL (A) + (B) + (C)	423	5,817,000	5,732,500	100.00%	100.00%		

Notes : Not Any



Name of the Company:		NCL RESEARCH & FINANCIAL SERVICES LIMITED										
Scrip Code : 530557									Quarter ended:		30th September 2013	
(I)(b)	Statement showing Shareholding 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	As a % of Grand Total (A) + (B) + (C)	Number	As a Percentage	As a % of Grand Total (A) + (B) + (C) of Sub-Clause (I)(a)	Number of Warrants held	As a % of Total No. of Warrants of the same Class	Number of Convertible Securities held	As a % of Total No. of Convertible Securities of the same Class		
(I)	(II)	(III)	(IV)	(V)	(VI) = (V) / (III) * 100	(VII)	(VIII)	(IX)	(X)	(XI)	(XII)	
1	Vijay Poddar	163,500	2.81%	-	-	-	-	-	-	-	2.81%	
TOTAL		163,500	2.81%	-	-	-	-	-	-	-	2.81%	

(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			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	As a % of Grand Total (A)+(B)+(C)	Number of Warrants held	As a % of Total No. of Warrants of the same Class	Number of Convertible Securities held	As a % of Total No. of Warrants of the same Class	
(I)	(II)	(III)	(IV)	(V)	(VI)	(VII)	(VIII)	(IX)
1	Fair Deal Equisearch & Realtors Pvt. Ltd.	100,000	1.72%	-	-	-	-	1.72%
2	Leavia Trading Private Limited	58,852	1.01%	-	-	-	-	1.01%
3	Lifewood Tieup Private Limited	71,019	1.22%	-	-	-	-	1.22%
4	Greenrow Trading Private Limited	72,111	1.24%	-	-	-	-	1.24%
5	Snowhill Deatrade Private Limited	94,670	1.63%	-	-	-	-	1.63%
6	Core Commodities Private Limited	176,962	3.04%	-	-	-	-	3.04%
7	Sankatsathi Agencies Private Limited	277,043	4.76%	-	-	-	-	4.76%
8	Madhudevi Saraf	60,000	1.03%	-	-	-	-	1.03%
9	Helot Properties Private Limited	110,573	1.90%	-	-	-	-	1.90%
10	Aryan Commercial Private Limited	85,292	1.47%	-	-	-	-	1.47%
11	Saikat Tradelink Private Limited	134,181	2.31%	-	-	-	-	2.31%
12	Shivsathi Agencies Private Limited	86,886	1.49%	-	-	-	-	1.49%
13	Katyani Commodities Private Limited	157,263	2.70%	-	-	-	-	2.70%
14	Overload Financial Advisory Pvt. Ltd.	248,694	4.28%	-	-	-	-	4.28%
15	Everstrong Vincom Private Limited	216,793	3.73%	-	-	-	-	3.73%
16	Joyguru Commotrade Pvt. Ltd.	90,467	1.56%	-	-	-	-	1.56%
17	Sprint Vanijya Private Limited	104,625	1.80%	-	-	-	-	1.80%
18	Shreehari Vinimay Private Limited	129,168	2.22%	-	-	-	-	2.22%
19	Swadhinata Vintrade Private Limited	216,087	3.71%	-	-	-	-	3.71%
20	Rockers Tradelink Pvt. Ltd.	104,755	1.80%	-	-	-	-	1.80%
21	Goodshine Dealtrade Pvt. Ltd.	330,272	5.68%	-	-	-	-	5.68%
22	Victor Commotrade Private Limited	112,228	1.93%	-	-	-	-	1.93%
23	Looklike Trade Private Limited	223,690	3.85%	-	-	-	-	3.85%
TOTAL		3,261,631	56.07%	-	-	-	-	56.07%

(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	Total Shares Held		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	As a % of Grand Total (A) + (B) + (C)	Number of Warrants held	As a % of Total No. of Warrants of the same Class	Number of Convertible Securities held	As a % of Total No. of Warrants of the same Class	
1	Goodshine Dealtrade Pvt. Ltd.	330,272	5.68%	-	-	-	-	5.68%



Name of the Company:	NCL RESEARCH & FINANCIAL SERVICES LIMITED		
Scrip Code: 530557	Quarter ended:	30th September 2013	

(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}	Promoter / Promoter Group / Public
1	Not Any	-	0.000%	N.A.
TOTAL		-	0.000%	

(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				
2				
TOTAL				

(II)(b) Statement showing Holding of Depository Receipts (DRs), where underlying shares 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				
2				
TOTAL				

