

v

Five X Finance & Investment Ltd.

Regd. Off: E-109, Crystal Plaza, Link Road, Andheri (W), Mumbai – 53.
Tel. # (022) 61522222, Fax # 61522234 • E Mail: fivexfinance@gmail.com

Date: 13/01/2014

To,
Corporate Services
Bombay Stock Exchange Ltd.
Corporate Relationship Dept,
1st Floor, New Trading Ring,
Rotunda Building, P. J. Towers,
Dalal Street, Fort, Mumbai – 400 001

OK

Ref: BSE Code: 536751

PSE Code: Fivex

ASE Code: 17028

Sub: Submission of Shareholding Pattern Pursuant to Clause 35 of Listing Agreement
For the Quarter ended 31/12/2013

Dear Sir,

In terms of clause 35 of the listing agreement, we are enclosing herewith shareholding pattern in the prescribed format for the quarter ended 31st December, 2013 for your information and records.

Thanking you,
For Five X Finance & Investment Ltd



Prajna Naik
(Company Secretary)



Encl: a/a.

C/C To,

The Director- Investor Services & Listing
Ahmedabad Stock Exchange Ltd
Kamdheni Complex, Opp. Sahajanad College,
Panjara Pole, Ambawadi, Ahmedabad – 380015

To,
Pune Stock Exchange Ltd
Shivleela Chambers, 752, Sadashiv Peth,
R.B. Kumthekar Marg, Pune – 411030.





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Introductory sub-table (I)(a)

Name of the Company: Five X Finance & Investment Limited			
Scrip Code, Name of the scrip, class of security: BSE Code - 536751 PSE Code - FIVE X ASE Code - 17028			
Quarter ended: 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	20554400	0	100

For Five X Finance & Investment Ltd.


Director / Authorised Signatory

Statement Showing Shareholding Pattern

Table (I)(a)

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		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)/(IV)*100
(I)	(II)	(III)	(IV)	(V)	(VI)	(VII)	(VIII)	(IX)
(A)	Shareholding of Promoter and Promoter Group							
1	Indian							
(a)	Individuals/ Hindu Undivided Family	3	30811	30411	0.15	0.15	0	0.00
(b)	Central Government/ State Government(s)	0	0	0	0.00	0.00	0	0.00
(c)	Bodies Corporate	4	1025710	1025710	4.99	4.99	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)	Directors	0	0	0	0.00	0.00	0	0.00
(e-ii)	Directors Relative	0	0	0	0.00	0.00	0	0.00
(e-iii)	Person Acting in Concert	0	0	0	0.00	0.00	0	0.00
	Sub Total(A)(1)	7	1056521	1056121	5.14	5.14	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
	Sub Total(A)(2)	0	0	0	0.00	0.00	0	0.00
	Total Shareholding of Promoter and Promoter Group (A)= (A)(1)+(A)(2)	7	1056521	1056121	5.14	5.14	0	0.00
(B)	Public shareholding							
1	Institutions							
(a)	Mutual Funds/ UTI	0	0	0	0.00	0.00	0	0.00
(b)	Financial Institutions / Banks	0	0	0	0.00	0.00	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)	Any Other (specify)	0	0	0	0.00	0.00	0	0.00
	Sub-Total (B)(1)	0	0	0	0.00	0.00	0	0.00
B 2	Non-institutions							
(a)	Bodies Corporate	198	5821438	5821438	28.32	28.32	0	0.00
b)	Individuals							
i	Individual shareholders holding nominal share capital up to Rs 1 lakh	8248	6000250	5633819	29.19	29.19	0	0.00
ii	Individual shareholders holding nominal share capital in excess of Rs. 1 lakh.	164	7356458	6537098	35.79	35.79	0	0.00
(c)	Any Other (specify)	0	0	0	0.00	0.00	0	0.00
(c-i)	NRI (Repeat & Non-Repeat)	39	186329	186329	0.91	0.91	0	0.00
(c-ii)	Hindu Undivided Family (HUF)	0	0	0	0.00	0.00	0	0.00
(c-iii)	Clearing Member	24	133404	133404	0.65	0.65	0	0.00
	Sub-Total (B)(2)	8673	19497879	18312088	94.86	94.86	0	0.00
(B)	Total Public Shareholding (B)= B)(1)+(B)(2)	8673	19497879	18312088	94.86	94.86	0	0.00
	TOTAL (A)+(B)	8680	20554400	19368209	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							
	Promoter and Promoter Group	0	0	0	0	0.00	0	0.00
2	Public							
	Public	0	0	0	0	0.00	0	0.00
	Sub-Total (C)	0	0	0	0	0	0	0.00
	GRAND TOTAL (A)+(B)+(C)	8680	20554400	19368209	100.00	100.00	0	0.00

(Signature)

Sr.No	Notes
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For Five X Finance & Investment Ltd.


Director / Authorized Signatory

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

Sr. No.	Name of the shareholder	Details of Shares held			Encumbered shares (*)			Details of warrants		Details of convertible securities		Total shares (including underlying share conversion of warrants and convertible securities) as a % diluted share capital
		Number of shares held	As a % of grand total (A)+(B)+(C)	No.	As a percentage (V)=(V)/(III)*100	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	Rockon Fintech Ltd	811680	3.95	0	0.00	0.00	0	0.00	0	0.00	3.95	
2	Tilak Finance Ltd	64000	0.31	0	0.00	0.00	0	0.00	0	0.00	0.31	
3	Axon Infotech Ltd	18480	0.09	0	0.00	0.00	0	0.00	0	0.00	0.09	
4	Girraj Kishor Bankeyal Agrawal	2011	0.01	0	0.00	0.00	0	0.00	0	0.00	0.01	
5	Tanu Giriraj Kishor Agarwal	400	0.00	0	0.00	0.00	0	0.00	0	0.00	0.00	
6	Handful Investrade Pvt Ltd	131550	0.64	0	0.00	0.00	0	0.00	0	0.00	0.64	
7	Tanu Giriraj Kishor Agarwal	28400	0.14	0	0.00	0.00	0	0.00	0	0.00	0.14	
TOTAL		1056521	5.14	0	0.00	0.00	0	0.00	0	0.00	5.14	

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Director / Authorised Signatory



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

(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
2				0.00
3				0.00
4				0.00
5				0.00
6				0.00
7				0.00
TOTAL		0	0	0.00

For Five X Finance & Investment Ltd.


Director / Authorized Signatory

(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				0.00
2				0.00
3				0.00
4				0.00
5				0.00
6				0.00
7				0.00
TOTAL				0.00

For Five X Finance & Investment Ltd.


 Director / Authorised Signatory