BirlaSugar
K.K. BIRLA GROUP OF SUGAR COMPANIES

UPPER/SE/2016-17/35 October 13, 2016

The Secretary
National Stock Exchange of India Ltd.
Exchange Plaza, 5th Floor
Plot No. C/1, G Block
Bandra- Kurla Complex, Bandra (E)
Mumbai 400 051

Stock Code : UPERGANGES

The Dy. General Manager
Corporate Relationship
Department
BSE Ltd.
1st Floor, New Trading Ring,
Rotunda Building
P.J. Towers, Dalal Street,
Fort
Mumbai-400 001

Stock Code : 530505

The Secretary
The Calcutta Stock
Exchange Ltd.
7, Lyons Range
Kolkata 700 001

Stock Code - 10031097

Dear Sir,

Sub : Distribution of Shareholding as on 30th September, 2016

Pursuant to Regulation 31 of the Securities & Exchange Board of India (Listing Obligations and Disclosure Requirements) Regulations, 2015, we send herewith the distribution of shareholding as on quarter ended 30th September, 2016 in the prescribed format.

Please acknowledge receipt.

Yours faithfully,
For Upper Ganges Sugar & Industries Limited,

Santosh Kumar Poddar
Company Secretary

Encl : as above

Corporate Office and Correspondence Address: Birla Building (5th Floor) • 9/1 R. N. Mukherjee Road • Kolkata 700 001 • E-mail : birlasugar@birla-sugar.com
Phone : (+91 33) 2243 0497/8, 2248 7068, 3057 3700, 3042 0900 • Fax : (+91 33) 2248 6369
Regd. Office : P.O. Seohara (N. Rly) • Dist. Bijnor (U.P.) • PIN - 246 746
CIN : L15421UP1932PLC025141

Shareholding Pattern under Regulation 31 of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015		
1.	Name of Listed Entity: Upper Ganges Sugar And Industries Limited	
2.	Scrip Code/Name of Scrip/Class of Security: 530505(BSE) UPERGANGES(NSE)	
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 30th September 2016
	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?		No

* 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.

Upper Ganges Sugar And Industries Limited

Table I - Summary Statement holding of specified securities

Category	Category of shareholder	Number 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	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) = (IV)+(V)+ (VI)	(VIII)As a % of (A+B+C2)	(IX)				(X)	(XI)= (VII)+(X) As a % of (A+B+C2)	(XII)		(XIII)		(XIV)
(A)	Promoter & Promoter Group	25	6514304	0	0	6514304	56.37	6514304	0	6514304	56.37	0	56.37	0	0.00	0	0.00	6514304
(B)	Public	9152	5042935	0	0	5042935	43.63	5042935	0	5042935	43.63	0	43.63	0	0.00	NA	NA	4893013
(C)	Non Promoter - Non Public				0				0			0			0.00	NA	NA	
(C1)	Shares Underlying DRs	0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	NA	NA	0
(C2)	Shares Held By Employee Trust	0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	NA	NA	0
	Total	9177	11557239	0	0	11557239	100.00	11557239	0	11557239	100.00	0	100.00	0	0.00	0	0.00	11407317

Upper Ganges Sugar And Industries 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	No. of shares underlying	Total nos. shares held	Shareholding % calculated as per SCRR,	Number of Voting Rights held in each class of				No. of Shares Underlying	Shareholding, as a % assuming full	Number of Locked in		Number of Shares pledged		Number of equity shares held in dematerialise
									No of Voting Rights			Total as a % of (A+B+C)			No. (a)	As a % of total Shares	No. (a)	As a % of total Shares held(b)	
									Class eg: X	Class eg: y	Total								
	(I)	(II)	(III)	(IV)	(V)	(VI)	(VII) = (IV)+(V)+ (VI)	(VIII) As a % of (A+B+C2)	(IX)				(X)	(XI)= (VII)+(X) As a % of (A+B+C2)	(XII)		(XIII)		(XIV)
1	Indian																		
(a)	**Individuals / Hindu Undivided Family**		5	864300	0	0	864300	7.48	864300	0	864300	7.48	0	7.48	0	0.00	0	0.00	864300
	(i) Nandini Nopany	ABMPN7831R	2	811090	0	0	811090	7.02	811090	0	811090	7.02	0	7.02	0	0.00	0	0.00	811090
	(ii) Chandra Shekhar Nopany	ABJPN5385K	2	39600	0	0	39600	0.34	39600	0	39600	0.34	0	0.34	0	0.00	0	0.00	39600
	(iii) Urvi Nopany	AJUPN1989J	1	13610	0	0	13610	0.12	13610	0	13610	0.12	0	0.12	0	0.00	0	0.00	13610
(b)	**Central Government / State Government(s)**		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	0	0.00	0
(c)	**Financial Institutions / Banks**		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	0	0.00	0
(d)	**Any Other (Specify)**		20	5650004	0	0	5650004	48.89	5650004	0	5650004	48.89	0	48.89	0	0.00	0	0.00	5650004
[I]	**Bodies Corporate**		20	5650004	0	0	5650004	48.89	5650004	0	5650004	48.89	0	48.89	0	0.00	0	0.00	5650004
	(i) Sil Investments Limited	AABCS2899H	1	1547016	0	0	1547016	13.39	1547016	0	1547016	13.39	0	13.39	0	0.00	0	0.00	1547016
	(ii) New India Retailing And Investment Ltd	AAACN9970F	1	969021	0	0	969021	8.38	969021	0	969021	8.38	0	8.38	0	0.00	0	0.00	969021
	(iii) Yashovardhan Investment &Trading Co. Ltd.	AAACY1135F	1	658289	0	0	658289	5.70	658289	0	658289	5.70	0	5.70	0	0.00	0	0.00	658289
	(iv) Hargaon Investment & Tradind Co. Ltd.	AAACH7326R	1	657966	0	0	657966	5.69	657966	0	657966	5.69	0	5.69	0	0.00	0	0.00	657966
	(v) Rtm Investment And Trading Co. Ltd.	AABCR3995D	1	412430	0	0	412430	3.57	412430	0	412430	3.57	0	3.57	0	0.00	0	0.00	412430
	(vi) Scm Investment & Trading Co. Ltd.	AAECS1569D	1	349971	0	0	349971	3.03	349971	0	349971	3.03	0	3.03	0	0.00	0	0.00	349971
	(vii) Champaran Marketing Co. Ltd.	AABCC1958M	1	260841	0	0	260841	2.26	260841	0	260841	2.26	0	2.26	0	0.00	0	0.00	260841
	(viii) Osm Investment & Trading Co. Ltd.	AAACO3312L	1	234891	0	0	234891	2.03	234891	0	234891	2.03	0	2.03	0	0.00	0	0.00	234891
	(ix) Nilgiri Plantations Limited	AAACN9968M	1	138000	0	0	138000	1.19	138000	0	138000	1.19	0	1.19	0	0.00	0	0.00	138000
	(x) Sidh Enterprises Ltd.	AAECS1577M	1	104514	0	0	104514	0.90	104514	0	104514	0.90	0	0.90	0	0.00	0	0.00	104514
	(xi) Narkatiaganj Farms Limited	AABCN8163H	1	86410	0	0	86410	0.75	86410	0	86410	0.75	0	0.75	0	0.00	0	0.00	86410
	(xii) Ronson Traders Limited	AABCR3999R	1	83508	0	0	83508	0.72	83508	0	83508	0.72	0	0.72	0	0.00	0	0.00	83508
	(xiii) Rajpur Farms Limited	AACCR5726K	1	66776	0	0	66776	0.58	66776	0	66776	0.58	0	0.58	0	0.00	0	0.00	66776
	(xiv) Shree Vihar Properties Ltd	AAECS1578E	1	31535	0	0	31535	0.27	31535	0	31535	0.27	0	0.27	0	0.00	0	0.00	31535
	(xv) La Monde Trading & Investments Private Ltd	AAACL6886G	1	25180	0	0	25180	0.22	25180	0	25180	0.22	0	0.22	0	0.00	0	0.00	25180
	(xvi) The Oudh Sugar Mills Limited	AABCT0813G	1	18562	0	0	18562	0.16	18562	0	18562	0.16	0	0.16	0	0.00	0	0.00	18562
	(xvii) Uttam Commercial Ltd.	AAACU3603N	1	2227	0	0	2227	0.02	2227	0	2227	0.02	0	0.02	0	0.00	0	0.00	2227
	(xviii) Sonali Commercial Ltd.	AAECS1576L	1	1650	0	0	1650	0.01	1650	0	1650	0.01	0	0.01	0	0.00	0	0.00	1650
	(xix) Pavapuri Trading And Investment Company Ltd.	AABCP7400R	1	1155	0	0	1155	0.01	1155	0	1155	0.01	0	0.01	0	0.00	0	0.00	1155
	(xx) Deepshikha Trading Co. Private Limited	AABCD0344C	1	62	0	0	62	0.00	62	0	62	0.00	0	0.00	0	0.00	0	0.00	62
	Sub Total (A)(1)		25	6514304	0	0	6514304	56.37	6514304	0	6514304	56.37	0	56.37	0	0.00	0	0.00	6514304
2	Foreign																		
(a)	**Individuals (Non-Resident Individuals / Foreign Individuals)**		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	0	0.00	0
(b)	**Government**		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	0	0.00	0
(c)	**Institutions**		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	0	0.00	0
(d)	**Foreign Portfolio Investor**		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	0	0.00	0
(e)	**Any Other (Specify)**		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	0	0.00	0
	Sub Total (A)(2)		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	0	0.00	0
	Total Shareholding Of Promoter And Promoter Group (A)= (A)(1)+(A)(2)		25	6514304	0	0	6514304	56.37	6514304	0	6514304	56.37	0	56.37	0	0.00	0	0.00	6514304

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

Upper Ganges Sugar And Industries Limited

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				No. of Shares Underlying Outstanding convertibl	Shareholding, as a % assuming full conversion of convertible	Number of Locked in		Number of Shares		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) = (IV)+(V)+ (VI)	(VIII) As a % of (A+B+C2)	(IX)				(X)	(XI)= (VII)+(X) As a % of	(XII)		(XIII)		(XIV)
1	Institutions																		
(a)	Mutual Fund		1	850	0	0	850	0.01	850	0	850	0.01	0	0.01	0	0.00	NA	NA	0
(b)	Venture Capital Funds		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	NA	NA	0
(c)	Alternate Investment Funds		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	NA	NA	0
(d)	Foreign Venture Capital Investors		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	NA	NA	0
(e)	Foreign Portfolio Investor		1	4405	0	0	4405	0.04	4405	0	4405	0.04	0	0.04	0	0.00	NA	NA	4405
(f)	Financial Institutions / Banks		4	5384	0	0	5384	0.05	5384	0	5384	0.05	0	0.05	0	0.00	NA	NA	5064
(g)	Insurance Companies		1	397210	0	0	397210	3.44	397210	0	397210	3.44	0	3.44	0	0.00	NA	NA	397210
	(i) Life Insurance Corporation Of India	AAACL0582H		397210	0	0	397210	3.44	397210	0	397210	3.44	0	3.44	0	0.00	NA	NA	397210
(h)	Provident Funds/ Pension Funds		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	NA	NA	0
(i)	Any Other (Specify)		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	NA	NA	0
	Sub Total (B)(1)		7	407849	0	0	407849	3.53	407849	0	407849	3.53	0	3.53	0	0.00	NA	NA	406679
2	Central Government/ State Government(s)/ President of India																		
	Sub Total (B)(2)		0	0	0	0	0	0.00	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.		8120	1955131	0	0	1955131	16.92	1955131	0	1955131	16.92	0	16.92	0	0.0000	NA	NA	1856995
	ii. Individual shareholders holding nominal share capital in excess of Rs. 2 lakhs.		11	666130	0	0	666130	5.76	666130	0	666130	5.76	0	5.76	0	0.0000	NA	NA	639130
		ACSPR6623E		235000	0	0	235000	2.03	235000	0	235000	2.03	0	2.03	0	0.0000	NA	NA	235000
(b)	NBFCs registered with RBI		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.0000	NA	NA	0
(c)	Employee Trusts		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.0000	NA	NA	0
(d)	Overseas Depositories(holding DRs) (balancing figure)		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.0000	NA	NA	0
(e)	Any Other (Specify)		1014	2013825	0	0	2013825	17.42	2013825	0	2013825	17.42	0	17.42	0	0.0000	NA	NA	1990209
(I)	Trusts		1	718317	0	0	718317	6.22	718317	0	718317	6.22	0	6.22	0	0.0000	NA	NA	718317
	(i) Navjeewan Medical Institute	AAATN2102N		718317	0	0	718317	6.22	718317	0	718317	6.22	0	6.22	0	0.0000	NA	NA	718317
(II)	Foreign Nationals		4	810	0	0	810	0.01	810	0	810	0.01	0	0.01	0	0.0000	NA	NA	540
(III)	Hindu Undivided Family		240	127605	0	0	127605	1.10	127605	0	127605	1.10	0	1.10	0	0.0000	NA	NA	127605
(IV)	Non Resident Indians (Non Repat)		30	10124	0	0	10124	0.09	10124	0	10124	0.09	0	0.09	0	0.0000	NA	NA	10124
(V)	Non Resident Indians (Repat)		71	47805	0	0	47805	0.41	47805	0	47805	0.41	0	0.41	0	0.0000	NA	NA	47803
(VI)	Clearing Member		334	288224	0	0	288224	2.49	288224	0	288224	2.49	0	2.49	0	0.0000	NA	NA	288224
(VII)	Market Maker		12	13347	0	0	13347	0.12	13347	0	13347	0.12	0	0.12	0	0.0000	NA	NA	13347
(VIII)	Bodies Corporate		322	807593	0	0	807593	6.99	807593	0	807593	6.99	0	6.99	0	0.0000	NA	NA	784249
		AACCE1490K		141561	0		141561	1.22	141561	0	141561	1.22	0	1.22	0	0.0000	NA	NA	141561
	Sub Total (B)(3)		9145	4635086	0	0	4635086	40.11	4644555	0	4644555	40.11	0	40.11	0	0.0000	NA	NA	4485334
	Total Public Shareholding (B)= (B)(1)+(B)(2)+(B)(3)		9152	5042935	0	0	5042935	43.63	5042935	0	5042935	43.63	0	43.63	0	0.0000	NA	NA	4893013

Upper Ganges Sugar And Industries Limited

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	Shareholding , as a % assuming full conversion of convertible securities (as a	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) = (IV)+(V)+ (VI)	(VIII) As a % of (A+B+C2)	(IX)				(X)	(XI)= (VII)+(X) As a % of	(XII)		(XIII)		(XIV)
1	Custodian/DR Holder		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	NA	NA	0
2	Employee Benefit Trust (under SEBI (Share based Employee Benefit) Regulations, 2014)		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	NA	NA	0
	Total Non-Promoter- Non Public Shareholding (C)= (C)(1)+(C)(2)		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	NA	NA	0

For Upper Ganges Sugar & Industries Ltd.

Company Secretary