## ALSTOM INDIA LIMITED <br> SHAREHOLDING PATTERN FOR THE QUARTER ENDED 30 JUNE 2016

## S. NO.

PARTICULARS
DETAILS

1 Name of Listed Entity
: ALSTOM INDIA LIMITED

2 Scrip Code : 532309
Name of Scrip
AIL
Class of Security
: EQUITY SHARES

3 Share Holding Pattern Filed under : REG. 31(1)(b)

4 Declaration
a Whether any partly paid up shares issued? : NO
b Whether any Convertible Securities or Warrants issued? : NO
c Whether there are any shares against which depository receipts: NO are issued?
d Whether any shares are in locked-in? : NO
e Whethere any shares held by promoters are pledged or : NO otherwise encumbered?

5 The tabular format for disclosure of holding of specified securities is enclosed.

## Table I-Summary Statement holding of specified securities

| Category | Category of Shareholder | $\begin{gathered} \text { No of } \\ \text { Shareholders } \end{gathered}$ | No of fully paid up equity shares held | No of Partly paidup equity shares held | No of Shares Underlying Depository Receipts | Total No of Shares Held (IV+V+VI) | 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 <br> Underlying <br> Outstanding <br> convertible securities <br> Including Warrants) | Shareholding as a \% assuming full conversion of convertible Securities las a percentage of diluted share capital) | Number of Locked in Shares |  | Number of Shares pledged or otherwise encumbered |  | Number of <br> equity shares <br> held in <br> dematerialized <br> form |
| :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: |
|  |  |  |  |  |  |  |  | No of Voting Rights |  | $\begin{gathered} \text { Total as a \% } \\ \text { of }(A+B+C) \end{gathered}$ |  |  | No. | As a \% of total | No. |  |  |
|  |  |  |  |  |  |  |  | $\begin{aligned} & \text { Class - Equity } \\ & \text { Shares } \end{aligned}$ | Total |  |  |  |  | Shares held |  | Shares held |  |
| (I) | (III) | (III) | (IV) | (V) | (VI) | (VII) | $\begin{gathered} \text { (VIII) } \\ \text { As \% of }(A+B+C 2) \\ \hline \end{gathered}$ | (IX) |  |  | (x) | $\begin{gathered} (X 1)=(V I I)+(X) \\ A s \% \text { of }(A+B+C 2) \end{gathered}$ | (XII) |  | (XIII) |  | (xiv) |
| (4) | Promoter \& Promoter Group | 2 | 46102083 |  |  | 46102083 | 6858 | 46102083 | 46102083 | 6858 | - | 6858 | - |  | - |  | 102083 |
| (B) | Public | 41,737 | 21,122,388 | - | - | 21,12, 2,388 | 31.42 | 21,122,388 | 21,122,388 | 31.42 | - | 31.42 | - | - | NA | NA | 20,105,311 |
| (C) | Non Promoter-Non Public | - | - | - | - | - | NA | - | - | - | - | NA | - | - | NA | NA |  |
| (C1) | Shares underlying DRs | - | - | - | - | - | NA | - | - | - | - | NA | - | - | NA | NA |  |
| (C2) | Shares held by Employes Trusts | - | - | - | - | - | - | - | - | - | - | - | - | - | NA | NA |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  | Total | 41,739 | 67,227,471 | - | - | 67,227,471 | 100.00 | 67,227,471 | 67,227,471 | 100.00 | - | 100.00 | - | - |  |  | 66,207,394 |


| Category | Category \& Name of the Shareholders |  | $\|$No of fully <br> paid up equity <br> shares held | $\begin{array}{\|c\|} \hline \text { No of Partly } \\ \text { paid-up equity } \\ \text { shares held } \end{array}$ | No of Shares Underlying Depository Receipts | Total No of Shares Held (IV+V+VI) | Shareholding$\%$ calculatedas per SCRR,1957 ( $A+B+C 2)$ | Number of Voting Rights held in each class of securities |  |  | No of Shares Underlying Outstanding convertible securities IIncluding Warrants) | Shareholding as a \% assuming full conversion of convertible Securities las a percentage of diluted share capital) | Number of Locked in Shares |  | Number of Shares pledged or otherwise encumbered |  | Number of equity shares held in dematerialized form |
| :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: |
|  |  |  |  |  |  |  |  | $$ | ${ }_{\text {R Rights }}^{\text {Total }}$ | Total as a \% <br> of Total voting rights |  |  | No. | As a $\%$ of <br> total Shares <br> held | No. | $\begin{aligned} & \hline \text { As a \% of } \\ & \text { total Shares } \\ & \text { held } \end{aligned}$ |  |
|  | (I) | (III) | (IV) | (v) | (VI) | (VIII) | (VIII) | (IX) |  |  | (x) | $\begin{gathered} (X I)=(V I I)+(X) \\ A s a \% \text { of }(A+B+C 2) \end{gathered}$ | (XII) |  | (XIII) |  | (xiv) |
| (1) | Indian |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| (a) | Individuals/Hindu undivided Family | - | - | - | - | - | - | . | - | - |  |  |  |  |  | - |  |
| (b) | Central Government/Stote Government(s) | - | - | - | - | - | - | - | - | - | - | - |  | - | - | - |  |
| (c) | Financial Institutions/Banks | - | - | - | - | - | - | - | - | - |  | - |  | - |  | - |  |
| (d) | Any Other | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |  |
|  | Sub-Total (A)(1) | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |  |
|  |  |  |  |  |  |  |  |  | - |  |  |  |  |  |  |  |  |
| (2) | Foreign |  |  |  |  |  |  |  | - |  |  |  |  |  |  |  |  |
| (a) | Individuals (Non-Resident Individuals/Foreign Individuals) | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |  |
| (b) | Government | - | - | - | - | - | - | - | - | - | - | - | - | - |  | - | - |
| (c) | Institutions | - | - | - | - | - | - | - | - | - | - | - |  | - | - | - |  |
| (d) | Foreign Portfolio Investor | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - | - |
| (e) | Any Other |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| (i) | ALSTOM INDIA TRACKING B.V. (FORMERLY ALSTOM FINANCE B.V.) | 1 | 46,088,294 | - | - | 46,088,294 | 68.56 | 46,088,294 | 46,088,294 | 68.56 | - | 68.56 | - | - | - | - | 46,088,294 |
| (ii) | GE ENERGY EUROPE B.V. | 1 | 13,789 | - | - | 13,789 | 0.02 | 13,789 | 13,789 | 0.02 | - | 0.02 | - | - | - | - | 13,789 |
|  | Sub-Total (A)\|2) | 2 | 46,102,083 | - | - | 46,102,083 | 68.58 | 46,102,083 | 46,102,083 | 68.58 | - | 68.58 | - | - | - | - | 46,102,083 |
|  | Total Shareholding of Promoter and Promoter Group $(A)=(A) / 11+(A) \mid(2)$ | 2 | 46,102,083 | - | - | 46,102,083 | 68.58 | 46,102,083 | 46,102,083 | 68.58 | - | 68.58 | - | - | - | - | 46,102,083 |


| Category | Category \& Name of the Shareholders | No of Shareholders | No of fully paid up equity shares held | $\qquad$ | No of Shares Underlying Depository Receipts | Total No of Shares Held (IV+V+VI) | Shareholding as <br> $a \%$ of total no of <br> shares ( $\mathrm{A}+\mathrm{B}+\mathrm{C}$ ) | Number of Voting Rights held in each class of securities |  |  | No of Shares Underlying Outstanding convertible securities IIncluding Warrants) | Shareholding as a \% assuming full conversion of convertible Securities las a percentage of diluted share capital) | Number of Locked in Shares |  | Number of Shares <br> pledged or otherwise encumbered |  | Number of equity shares held in dematerialized form |
| :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: |
|  | (I) | (IIII) | (IV) | (V) | (VI) | (VIII) | (VIIII) | (IX) |  |  | (X) | (XI) |  | (XII) |  | (XIII) | (XIV) |
| (1) | Institutions |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| (a) | Mutual Funds | 49 | 8,329,899 | - | - | 8,329,899 | 12.39 | 8,329,899 | 8,329,899 | 12.39 | - | 12.39 | - | - | NA | NA | 8,329,699 |
|  | BIRLA SUN LIFE TRUSTEE COMPANY PRIVATE LIMITED THROUGH ITS VARIOUS ACCOUNTS | 7 | 1,437,862 | - | - | 1,437,862 | 2.14 | 1,437,862 | 1,437,862 | 2.14 |  | 2.14 | - | - | NA | NA | 1,437,862 |
|  | RELIANCE CAPITAL TRUSTEE CO LTD. THROUGH ITS VARIOUS ACCOUNTS | 9 | 3,672,672 | - | - | 3,672,672 | 5.46 | 3,672,672 | 3,672,672 | 5.46 | - | 5.46 | - | - | NA | NA | 3,672,672 |
|  | SUNDARAM MUTUAL FUND THROUGH ITS VARIOUS ACCOUNTS | 14 | 1,048,080 | - | - | 1,048,080 | 1.56 | 1,048,080 | 1,048,080 | 1.56 | - | 1.56 | - | - | NA | NA | 1,048,080 |
|  | SBI THROUGH ITS VARIOUS ACCOUNTS | 3 | 1,232,000 | - |  | 1,232,000 | 1.83 | 1,232,000 | 1,232,000 | 1.83 | - | 1.83 | - | - | NA | NA | 1,232,000 |
| (b) | Venture Capital Funds |  |  |  |  |  |  |  |  |  |  |  |  |  | NA | NA |  |
| (c) | Alternate Investment Funds | - |  | - | - |  | - |  | - | - |  |  | - | - | NA | NA |  |
| (d) | Foreign Venture Capital Investors | - |  | - | - |  |  |  |  |  |  |  |  |  | NA | NA |  |
| (e) | Foreign Portfolio Investors | 60 | 1,937,624 | - | - | 1,937,624 | 2.88 | 1,937,624 | 1,937,624 | 2.88 | - | 2.88 | - | - | NA | NA | 1,937,412 |
| (f) | Financial Institutions/Banks | 39 | 970,488 | - | - | 970,488 | 1.44 | 970,488 | 970,488 | 1.44 | - | 1.44 | - | - | NA | NA | 947,497 |
|  | LIFE INSURANCE CORPORATION OF INDIA THROUGH ITS VARIOUS ACCOUNTS | 2 | 735,093 | - | - | 735,093 | 1.09 | 735,093 | 735,093 | 1.09 |  | 1.09 | - | - | NA | NA | 735,093 |
| (g) | Insurance Companies | 3 | 351,629 | - | - | 351,629 | 0.52 | 351,629 | 351,629 | 0.52 | - | 0.52 | - | - | NA | NA | 351,629 |
| (h) | Provident Funds/Pension Funds | - |  | - | - |  | - |  |  | - | - |  | - | - | NA | NA |  |
| (i) | Any Other |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  | Sub Total (B)\|1) | 151 | 11,589,640 | - | - | 11,589,640 | 17.24 | 11,589,640 | 11,589,640 | 17.24 | - | 17.24 | - | - | NA | NA | 11,566,237 |
| (2) | Central Government / State Government(s)/ President of India | 3 | 259,742 | - | - | 259,742 | 0.39 | 259,742 | 259,742 | 0.39 | - | 0.39 | - | - | NA | NA |  |
|  | Sub Total (B)\|2) | 3 | 259,742 | - | - | 259,742 | 0.39 | 259,742 | 259,742 | 0.39 | - | 0.39 | - | - | NA | NA |  |
| (3) | Non-Institutions |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| (a) | i. Individual shareholders holding nominal share capital up to Rs. 2 lakhs | 40,154 | 6,229,240 | - | - | 6,229,240 | 9.27 | 6,229,240 | 6,229,240 | 9.27 | - | 9.27 |  | - | NA | NA | 5,612,819 |
|  | ii. Individual shareholders holding nominal share capital in excess of Rs. 2 Lakhs | 14 | 522,986 | - | - | 522,986 | 0.78 | 522,986 | 522,986 | 0.78 | - | 0.78 |  | - | NA | NA | 425,770 |
| (b) | NBFCS Registered with RBI | 5 | 3.010 | - | - | 3.010 | 0.00 | 3.010 | 3.010 | 0.00 | - | 0.00 | - | - | NA | NA | 3.010 |
| (c) | Employee Trusts | - |  | - | - |  |  |  |  | - | - |  | - | - | NA | NA |  |
|  | Overseas Depositories (Holding DRs) (balancing figure) | - | - |  | - | - | - | - | - | - | - |  | - | - | NA | NA |  |
| (e) | Any Other |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  | 2,497,475 |
|  | TRUSTS | 7 | 14.486 | - | - | 14.486 | 0.02 | 14,486 | 14,486 | 0.02 | - | 0.02 | - | - | NA | NA | 14.486 |
|  | NON RESIDENT INDIANS | 723 | 203,716 |  | - | 203,716 | 0.30 | 203,716 | 203,716 | 0.30 | - | 0.30 | - | - | NA | NA | 201.319 |
|  | CLEARING MEMBERS | 68 | 29.895 | - |  | 29.895 | 0.04 | 29,895 | 29.895 | 0.04 |  | 0.04 | - |  | NA | NA | 26,453 |
|  | FOREIGN BODIES CORPORATE | 1 | 8,383 | - | - | 8,383 | 0.01 | 8,383 | 8,383 | 0.01 | - | 0.01 | - | - | NA | NA |  |
|  | DIRECTORS | 2 | 13,599 | - | - | 13,599 | 0.02 | 13,599 | 13,599 | 0.02 | - | 0.02 | - | - | NA | NA | 13,415 |
|  | BODIES CORPORATES | 605 | 2,250,510 | - | - | 2,250,510 | 3.35 | 2,250,510 | 2,250,510 | 3.35 | - | 3.35 | - | - | NA | NA | 2,241,780 |
|  | BIRLA SUN LIFE INSURANCE COMPANY LIMITED | 1 | 1,299,851 | - | - | 1,299,851 | 1.93 | 1,299,851 | 1,299,851 | 1.93 | - | 1.93 | - | - | NA | NA | 1,299,851 |
|  | FOREIGN NATIONALS | 4 | 181 | - | - | 181 | 0.00 | 181 | 181 | 0.00 | - | 0.00 | - | - | NA | NA | 22 |
|  | Sub Total ( $B 1 / 3$ ) | 41,583 | 9,276,006 | - | - | 9,276,006 | 13.80 | 9,276,006 | 9,276,006 | 13.80 | - | 13.80 | - | - |  |  | 8,539,074 |
|  | Total Public Shareholding (B) = $(B) 11)+(\mathrm{B}\|2\|)+(B) \mid 3)$ | 41,737 | 21,125,388 | - | - | 21,125,388 | 31.42 | 21,125,388 | 21,125,388 | 31.42 | - | 31.42 | - | - |  |  | 20,105,311 |

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


