

19th October, 2020

BSE Limited Corporate Relations Department P J Towers, Dalal Street Mumbai 400 001 <u>Scrip Code: 532300</u>	National Stock Exchange of India Limited Exchange Plaza Bandra-Kurla Complex, Bandra (E), Mumbai 400 051 <u>NSE Symbol – WOCKPHARMA</u>
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Dear Sirs,

Sub: Statement showing holding of securities and Shareholding Pattern

In compliance with Regulation 31(1)(b) of the SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015, please find enclosed herewith Shareholding Pattern as on 30th September, 2020.

Kindly acknowledge receipt of the same.

Thanking you,

For **Wockhardt Limited**



Gajanand Sahu
Company Secretary

Encl: As above

Wockhardt Limited					
Shareholding Pattern under Regulation 31 of SEBI (Listing Obligations and Disclosure Requirements) Regulations, 2015					
1.	Name of Listed Entity: Wockhardt Limited				
2.	Scrip Code/Name of Scrip/Class of Security: 532300				
3.	Share Holding Pattern Filed under: Reg. 31(1)(b)				
	a.	If under 31(1)(b) then indicate the report for Quarter ending 30th September, 2020			
	b.	If under 31(1)(c) then indicate date of allotment/extinguishment : Not Applicable			
4.	Declaration: The Listed entity is required to submit the following declaration to the extent of submission of information:-				
Sr. No.	Particular	Yes/No	Promoter and Promoter Group	Public shareholder	Non Promoter-Non Public
1	Whether the Listed Entity has issued any partly paid up shares?	No	No	No	No
2	Whether the Listed Entity has issued any Convertible Securities ?	No	No	No	No
3	Whether the Listed Entity has issued any Warrants ?	No	No	No	No
4	Whether the Listed Entity has any shares against which depository receipts are issued?	No	No	No	No
5	Whether the Listed Entity has any shares in locked-in?	Yes	No	Yes	No
6	Whether any shares held by promoters are pledge or otherwise encumbered?	Yes	Yes	No	No
7	Whether company has equity shares with differential voting rights?	No	No	No	No
8	Whether the listed entity has any significant beneficial owner?	Yes			

Wockhardt 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) ¹		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	12	79878676	0	0	79878676	72.12	79878676	0	79878676	72.12	0	0.00	17900000	22.41	79878676		
(B)	Public	130278	30878277	0	0	30878277	27.88	30878277	0	30878277	27.88	0	27.88	200	0.00	NA	NA	30212368
(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		130290	110756953	0	0	110756953	100.00	110756953	0	110756953	100.00	0	100.00	200	0.00	17900000	16.16	110091044

¹ Pledge has been released on 32,00,000 Equity Shares held by Themisto Trustee Company Private Limited in its capacity as the Trustee of Habil Khorakiwala Trust, being a Partner of Humuza Consultants (Partnership Firm) during the quarter ended 30th September, 2020. Total Pledge as on 30th September, 2020 is 1,79,00,000 equity shares. (i.e.16.16 percent of total equity share capital). The necessary disclosure has been submitted to stock Exchanges on time to time basis for the same.

Wockhardt 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 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) ¹	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	(IX)			(X)	(XI)= (VII)+(X) As a %	(XII)	(XIII)		(XIV)			
1	Indian																		
(a)	Individuals / Hindu Undivided Family		4	887625	0	0	887625	0.80	887625	0	887625	0.80	0	0	0	0	0.00	887625	
	Habil F Khorakiwala		1	442785	0	0	442785	0.40	442785	0	442785	0.40	0	0	0	0	0.00	442785	
	Murtaza Habil Khorakiwala		1	226200	0	0	226200	0.20	226200	0	226200	0.20	0	0	0	0	0.00	226200	
	Huzafa Habil Khorakiwala		1	216000	0	0	216000	0.20	216000	0	216000	0.20	0	0	0	0	0.00	216000	
	Nafisa Habil Khorakiwala		1	2640	0	0	2640	0.00	2640	0	2640	0.00	0	0	0	0	0.00	2640	
	Zahabiya Khorakiwala ⁴		0	0	0	0	0	0.00	0	0	0	0.00	0	0	0	0	0.00	0	
(b)	Central Government / State Government(s)		0	0	0	0	0	0.00	0	0	0	0.00	0	0	0	0	0.00	0	
(c)	Financial Institutions / Banks		0	0	0	0	0	0.00	0	0	0	0.00	0	0	0	0	0.00	0	
(d)	Any Other (Specify)		8	78991051	0	0	78991051	71.32	78991051	0	78991051	71.32	0	0	0	0	17900000	22.66	78991051
	Promoter Trust ²		4	8693294	0	0	8693294	7.85	8693294	0	8693294	7.85	0	0	0	0	0.00	8693294	
	Themisto Trustee Company Private Limited		1	4400000	0	0	4400000	3.97	4400000	0	4400000	3.97	0	0	0	0	0.00	4400000	
	Ananke Trustee Company Private Limited		1	1472716	0	0	1472716	1.33	1472716	0	1472716	1.33	0	0	0	0	0.00	1472716	
	Callirhoe Trustee Company Private Limited		1	1320578	0	0	1320578	1.19	1320578	0	1320578	1.19	0	0	0	0	0.00	1320578	
	Pasithe Trustee Company Private Limited		1	1500000	0	0	1500000	1.35	1500000	0	1500000	1.35	0	0	0	0	0.00	1500000	
	Partnership Firm ³		4	70297757	0	0	70297757	63.47	70297757	0	70297757	63.47	0	0	0	0	17900000	25.46	70297757
	Themisto Trustee Company Private Limited		1	60497757	0	0	60497757	54.62	60497757	0	60497757	54.62	0	0	0	0	17900000	29.59	60497757
	Ananke Trustee Company Private Limited		1	3200000	0	0	3200000	2.89	3200000	0	3200000	2.89	0	0	0	0	0.00	3200000	
	Callirhoe Trustee Company Private Limited		1	3200000	0	0	3200000	2.89	3200000	0	3200000	2.89	0	0	0	0	0.00	3200000	
	Pasithe Trustee Company Private Limited		1	3400000	0	0	3400000	3.07	3400000	0	3400000	3.07	0	0	0	0	0.00	3400000	
	Bodies Corporate ⁴																		
	Dartmour Holdings Private Limited		0	0	0	0	0	0.00	0	0	0	0.00	0	0	0	0	0.00	0	
	Palanpur Holdings and Investments Private Limited		0	0	0	0	0	0.00	0	0	0	0.00	0	0	0	0	0.00	0	
	Khorakiwala Holdings and Investments Private Limited		0	0	0	0	0	0.00	0	0	0	0.00	0	0	0	0	0.00	0	
	Sub Total (A)(1)		12	79878676	0	0	79878676	72.12	79878676	0	79878676	72.12	0	0	0	0	17900000	22.41	79878676
2	Foreign																		
(a)	Individuals (Non-Resident Individuals / Foreign Individuals)		0	0	0	0	0	0.00	0	0	0	0.00	0	0	0	0	0.00	0	
(b)	Government		0	0	0	0	0	0.00	0	0	0	0.00	0	0	0	0	0.00	0	
(c)	Institutions		0	0	0	0	0	0.00	0	0	0	0.00	0	0	0	0	0.00	0	
(d)	Foreign Portfolio Investor		0	0	0	0	0	0.00	0	0	0	0.00	0	0	0	0	0.00	0	
(e)	Any Other (Specify)		0	0	0	0	0	0.00	0	0	0	0.00	0	0	0	0	0.00	0	
	Sub Total (A)(2)		0	0	0	0	0	0.00	0	0	0	0.00	0	0	0	0	0.00	0	
	Total Shareholding Of Promoter And Promoter Group (A)= (A)(1)+(A)(2)		12	79878676	0	0	79878676	72.12	79878676	0	79878676	72.12	0	0	0	0	17900000	22.41	79878676

¹ Pledge has been released on 32,00,000 Equity Shares held by Themisto Trustee Company Private Limited in its capacity as the Trustee of Habil Khorakiwala Trust, being a Partner of Humza Consultants (Partnership Firm) during the quarter ended 30th September, 2020. Total Pledge as on 30th September, 2020 is 1,79,00,000 equity shares. (i.e.16.16 percent of total equity share capital). The necessary disclosure has been submitted to stock Exchanges on time to time basis for the same.

The Company has allotted 21,950 equity shares of face value of Rs. 5/- each on 23rd September, 2020, pursuant to exercise of employee stock options under Employee Stock Options Scheme - 2011 of the Company. Accordingly, the paid-up equity share capital of the Company has increased from Rs. 55,36,75,015/- (11,07,35,003 equity shares of Rs. 5/- each) to Rs. 55,37,84,765/- (11,07,56,953 equity shares of Rs. 5/- each).

² The shares appearing under Category "Any Other" "Promoters' Trust" are held by the said Companies in the capacity as a Trustee of Trusts i.e. Habil Khorakiwala Trust, Amalthea Discretionary Trust, Lysithea Discretionary Trust and HNZ Discretionary Trust respectively.

³ The shares appearing under Category "Any Other" "Partnership Firm" are held by the said Companies in capacity as a Trustee of respective Trusts being partner in Partnership Firms i.e. Humza Consultants, Amalthea Consultants, Lysithea Consultants and HNZ Consultants respectively.

⁴ Ms. Zahabiya Khorakiwala, Dartmour Holdings Private Limited, Palanpur Holdings and Investments Private Limited and Khorakiwala Holdings and Investments Private Limited does not currently hold any equity share in the Company, however, they form part of Promoter and Promoter Group of the Company and are accordingly disclosed with Nil holding in the shareholding pattern. They are also not considered in calculation of total number of shareholders

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.

Wockhardt 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 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	(IX)			(X)	(XI) = (VII)+(X) As a	(XII)	(XIII)		(XIV)		
1 Institutions																		
(a) Mutual Fund		4	5754	0	0	5754	0.01	5754	0	5754	0.01	0	0.01	0	0.00	NA	NA	5454
(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		2	44500	0	0	44500	0.04	44500	0	44500	0.04	0	0.04	0	0.00	NA	NA	44500
(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		81	5128917	0	0	5128917	4.63	5128917	0	5128917	4.63	0	4.63	0	0.00	NA	NA	5126517
Delaware Group Global And International Funds-Delaware Emerging Markets Fund		1	1200000	0	0	1200000	1.08	1200000	0	1200000	1.08	0	1.08	0	0.00	NA	NA	1200000
(f) Financial Institutions / Banks		6	840	0	0	840	0.00	840	0	840	0.00	0	0.00	0	0.00	NA	NA	340
(g) Insurance Companies		2	1475	0	0	1475	0.00	1475	0	1475	0.00	0	0.00	0	0.00	NA	NA	75
(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)		2	10200	0	0	10200	0.01	10200	0	10200	0.01	0	0.01	0	0.00	NA	NA	10200
Foreign Bank		2	10200	0	0	10200	0.01	10200	0	10200	0.01	0	0.01	0	0.00	NA	NA	10200
Sub Total (B)(1)		97	5191686	0	0	5191686	4.69	5191686	0	5191686	4.69	0	4.69	0	0.00	NA	NA	5187086
2 Central Government/ State Government(s)/ President of India																		
Sub Total (B)(2)		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	NA	NA	0
3 Non-Institutions																		
(a) Individuals																		
i. Individual shareholders holding nominal share capital up to Rs. 2 lakhs.		124215	19298842	0	0	19298842	17.42	19298842	0	19298842	17.42	0	17.42	200	0.00	NA	NA	18660633
ii. Individual shareholders holding nominal share capital in excess of Rs. 2 lakhs.		16	2787060	0	0	2787060	2.52	2787060	0	2787060	2.52	0	2.52	0	0.00	NA	NA	2787060
(b) NBFCs registered with RBI		1	546	0	0	546	0.00	546	0	546	0.00	0	0.00	0	0.00	NA	NA	546
Trust Employee		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0.00	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	0.00	NA	NA	0
(e) Any Other (Specify)		5949	3600143	0	0	3600143	3.25	3600143	0	3600143	3.25	0	3.25	0	0.00	NA	NA	3577043
IEPF		1	100805	0	0	100805	0.09	100805	0	100805	0.09	0	0.09	0	0.00	NA	NA	100805
Trusts		2	700	0	0	700	0.00	700	0	700	0.00	0	0.00	0	0.00	NA	NA	700
Hindu Undivided Family		2946	863488	0	0	863488	0.78	863488	0	863488	0.78	0	0.78	0	0.00	NA	NA	863088
Non Resident Indians (Non Repat)		708	281489	0	0	281489	0.25	281489	0	281489	0.25	0	0.25	0	0.00	NA	NA	279089
Other Directors / Relatives		3	3500	0	0	3500	0.00	3500	0	3500	0.00	0	0.00	0	0.00	NA	NA	3500
Non Resident Indians (Repat)		1493	943243	0	0	943243	0.85	943243	0	943243	0.85	0	0.85	0	0.00	NA	NA	940843
Clearing Member		221	277271	0	0	277271	0.25	277271	0	277271	0.25	0	0.25	0	0.00	NA	NA	277271
Bodies Corporate		575	1129647	0	0	1129647	1.02	1129647	0	1129647	1.02	0	1.02	0	0.00	NA	NA	1111747
Sub Total (B)(3)		130181	25686591	0	0	25686591	23.19	25686591	0	25686591	23.19	0	23.19	200	0.00	NA	NA	25025282
Total Public Shareholding (B)= (B)(1)+(B)(2)+(B)(3)		130278	30878277	0	0	30878277	27.88	30878277	0	30878277	27.88	0	27.88	200	0.00	NA	NA	30212368

¹ Foreign Portfolio Investor (FPI) holdings include FII holdings

Note :

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

