

20th January, 2021

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 31st December, 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 31st December, 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.	Particulars	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 or Warrants?	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)*		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	13	79895342	0	0	79895342	72.12	79895342	0	79895342	72.12	0	72.12	0	0	8100000	10.14	79895342
(B)	Public	113930	30881611	0	0	30881611	27.88	30881611	0	30881611	27.88	0	27.88	200	0.0006	NA	NA	30282502
(C)	Non Promoter - Non Public					0			0			0			0	NA	NA	
(C1)	Shares Underlying DRs	0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0	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	NA	NA	0
	Total	113943	110776953	0	0	110776953	100.00	110776953	0	110776953	100.00	0	100.00	200	0.0001	8100000	7.31	110177844

* Pledge has been released on 98,00,000 Nos of 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 31st December, 2020. Total Pledge as on 31st December, 2020 is 81,00,000 Nos. of equity shares. (i.e.7.31 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) = (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	906091	0	0	906091	0.82	906091	0	906091	0.82	0	0	0	0	0.00	906091	
Habil F Khorakiwala		1	459451	0	0	459451	0.41	459451	0	459451	0.41	0	0	0	0	0.00	459451	
Murtaza Habil Khorakiwala		1	226200	0	0	226200	0.20	226200	0	226200	0.20	0	0	0	0	0.00	226200	
Huzaifa 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	
Miqdad H Khorakiwala		1	1800	0	0	1800	0.00	1800	0	1800	0.00	0	0	0	0	0.00	1800	
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	78989251	0	0	78989251	71.30	78989251	0	78989251	71.30	0	0	0	8100000	10.25	78989251	
Promoter Trust²		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 Firm³		4	70295957	0	0	70295957	63.46	70295957	0	70295957	63.46	0	0	0	8100000	11.52	70295957	
Themisto Trustee Company Private Limited		1	60495957	0	0	60495957	54.61	60495957	0	60495957	54.61	0	0	0	8100000	13.39	60495957	
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 Corporate⁴																		
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)		13	79895342	0	0	79895342	72.12	79895342	0	79895342	72.12	0	0	0	8100000	10.14	79895342	
2 Foreign																		
(a) Individuals (Non-Resident Individuals / Foreign)																		
(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)		13	79895342	0	0	79895342	72.12	79895342	0	79895342	72.12	0	0	0	8100000	10.14	79895342	

¹ Pledge has been released on 98,00,000 Nos of 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 31st December, 2020. Total Pledge as on 31st December, 2020 is 81,00,000 Nos. of equity shares. (i.e.7.31 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 20,000 equity shares of face value of Rs. 5/- each on 16th December, 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. 55,37,84,765/- (11,07,56,953 Nos. of equity shares of Rs. 5/- each) to Rs. 55,38,84,765/- (11,07,76,953 Nos. of 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, Lysithe 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. Humuza Consultants, Amalthea Consultants, Lysithe 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) = (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	Institutions																		
(a)	Mutual Fund		4	10188	0	0	10188	0.01	10188	0	10188	0.01	0	0	0	NA	NA	10188	
(b)	Venture Capital Funds		0	0	0	0	0	0.00	0	0	0	0.00	0	0	0	NA	NA	0	
(c)	Alternate Investment Funds		2	46200	0	0	46200	0.04	46200	0	46200	0.04	0	0	0	NA	NA	46200	
(d)	Foreign Venture Capital Investors		0	0	0	0	0	0.00	0	0	0	0.00	0	0	0	NA	NA	0	
(e)	Foreign Portfolio Investor		75	4499372	0	0	4499372	4.06	4499372	0	4499372	4.06	0	0	0	NA	NA	4498172	
(f)	Financial Institutions / Banks		6	840	0	0	840	0.00	840	0	840	0.00	0	0	0	NA	NA	340	
(g)	Insurance Companies		2	1475	0	0	1475	0.00	1475	0	1475	0.00	0	0	0	NA	NA	75	
(h)	Provident Funds/ Pension Funds		0	0	0	0	0	0.00	0	0	0	0.00	0	0	0	NA	NA	0	
(i)	Any Other (Specify)		2	10200	0	0	10200	0.01	10200	0	10200	0.01	0	0	0	NA	NA	10200	
	Foreign Bank		2	10200	0	0	10200	0.01	10200	0	10200	0.01	0	0	0	NA	NA	10200	
	Sub Total (B)(1)		91	4568275	0	0	4568275	4.12	4568275	0	4568275	4.12	0	0	0	NA	NA	4565175	
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	0	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.		108285	15978837	0	0	15978837	14.42	15978837	0	15978837	14.42	0	14.42	200	0.00	NA	NA	15389728
	ii. Individual shareholders holding nominal share capital in excess of Rs. 2 lakhs.		21	5382519	0	0	5382519	4.86	5382519	0	5382519	4.86	0	4.86	0	0	NA	NA	5382519
	Jhunjhunwala Rakesh Radheshyam			2500005	0	0	2500005	2.26	2500005	0	2500005	2.26	0	2.26	0	0	NA	NA	2500005
(b)	NBFCs registered with RBI		2	2546	0	0	2546	0.00	2546	0	2546	0.00	0	0.00	0	0	NA	NA	2546
	Trust Employee		0	0	0	0	0	0.00	0	0	0	0.00	0	0.00	0	0	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	NA	NA	0
(c)	Any Other (Specify)		5531	4949434	0	0	4949434	4.47	4949434	0	4949434	4.47	0	4.47	0	0	NA	NA	4942534
	IEPF		1	170157	0	0	170157	0.15	170157	0	170157	0.15	0	0.15	0	0	NA	NA	170157
	Trusts		2	700	0	0	700	0.00	700	0	700	0.00	0	0.00	0	0	NA	NA	700
	Hindu Undivided Family		2575	739734	0	0	739734	0.67	739734	0	739734	0.67	0	0.67	0	0	NA	NA	739334
	Non Resident Indians (Non Repat)		668	224761	0	0	224761	0.20	224761	0	224761	0.20	0	0.20	0	0	NA	NA	222361
	Other Directors / Relatives		2	1000	0	0	1000	0.00	1000	0	1000	0.00	0	0.00	0	0	NA	NA	1000
	Non Resident Indians (Repat)		1354	957323	0	0	957323	0.86	957323	0	957323	0.86	0	0.86	0	0	NA	NA	955523
	Clearing Member		414	1611891	0	0	1611891	1.46	1611891	0	1611891	1.46	0	1.46	0	0	NA	NA	1611891
	Bodies Corporate		515	1243868	0	0	1243868	1.12	1243868	0	1243868	1.12	0	1.12	0	0	NA	NA	1241568
	Sub Total (B)(3)		113839	26313336	0	0	26313336	23.75	26313336	0	26313336	23.75	0	23.75	200	0.0008	NA	NA	25717327
	Total Public Shareholding (B)= (B)(1)+(B)(2)+(B)(3)		113930	30881611	0	0	30881611	27.88	30881611	0	30881611	27.88	0	27.88	200	0.0006	NA	NA	30282502

Note :

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

Wockhardt 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 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) = (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	Custodian/DR Holder		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
2	Employee Benefit Trust (under SEBI (Share based Employee Benefit) Regulations, 2014)		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Total Non-Promoter- Non Public Shareholding (C)= (C)(1)+(C)(2)		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0

Note :

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