

SW INVESTMENTS LIMITED

(Formerly known as Sunteck Wealthmax Investments Limited)

5th Floor, Sunteck Centre, 37-40 Subhash Road, Vile Parle (East) Mumbai 400057. CIN NO.: L65990MH1980PLC023333

Tel: +22 4287 7800 Fax : +22 4287 7890 Email Id : cosec@sunteckwealthindia.com. Website : sunteckwealthindia.com

SWX/BSE/10/14-15

Date: 10th October, 2014

To
Corporate Relation Department
BSE Limited
P. J. Tower, Dalal Street,
Mumbai – 400 001

Script Code: 503659

Sub: Submission of Quarterly Compliances for the Quarter ended on 30th September, 2014

Sir,

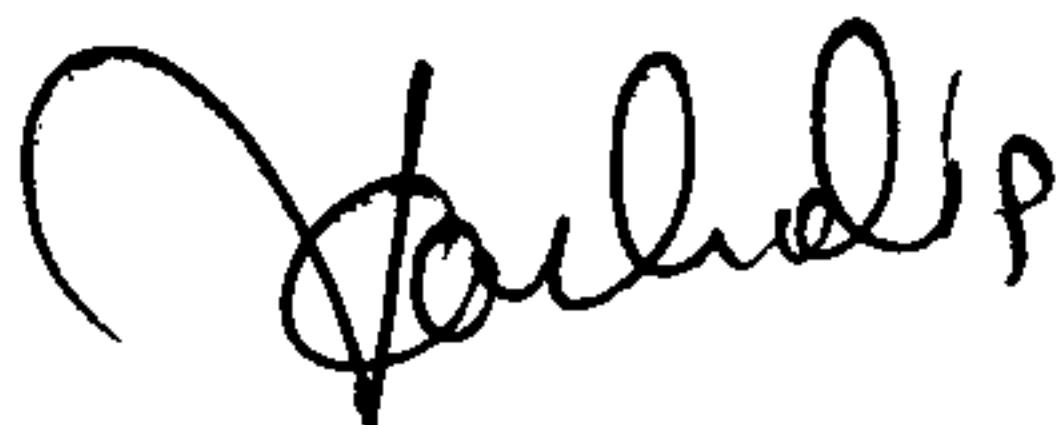
Please find attached herewith following Quarterly Compliances of the Company for the quarter ended on 30th September, 2014:

1. Corporate Governance Report;
2. Reconciliation of Share Capital Audit Report;
3. Shareholding Pattern of the Company;
4. Half Yearly Compliance Certificate in terms of Clause 47[c]

Request you to take the same on record and acknowledge the receipt of the same.

Thanking You,
Yours Faithfully

For SW Investments Limited



Compliance Officer
Encl. As stated above



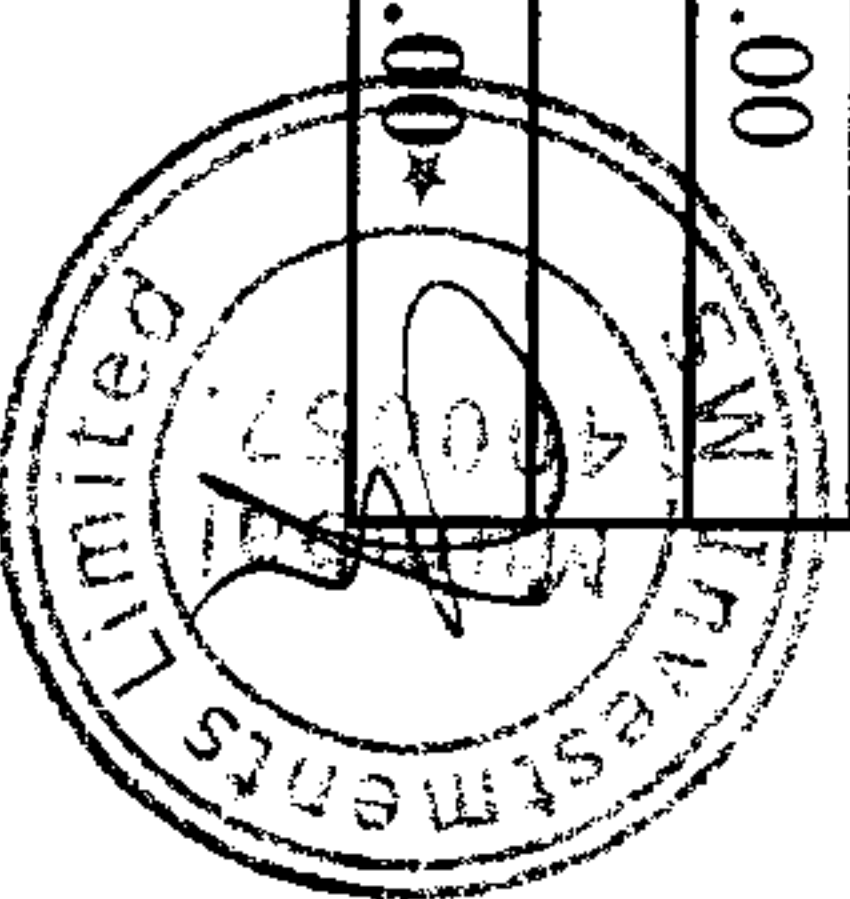
Introductory sub-table (I)(a)

Name of the Company: SW INVESTMENTS LIMITED (Formerly known as Sunteck Wealthmax Investments Limited)				
Scrip Code, Name of the scrip, class of security: 503659, SWIL, T group				
Quarter ended: 30th September, 2014				
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		
Held by public	0	0		
Total	0	0		
		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	
Outstanding convertible securities:- No. of outstanding securities				
Held by promoter/promoter group	0	0		
Held by public	0	0		
Total	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		
Held by public	0	0		
Total	0	0		
Total paid-up capital of the company, assuming full conversion of warrants and convertible securities				
			9,00,000 Equity Shares of Rs. 10/- each.	

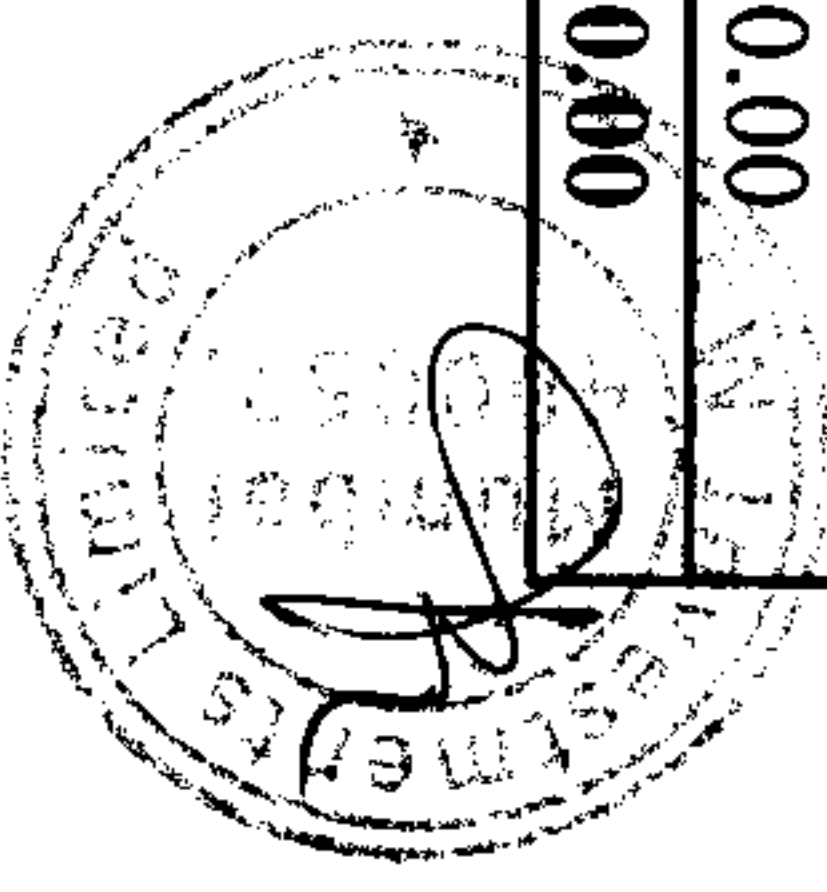
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Statement Showing Shareholding Pattern

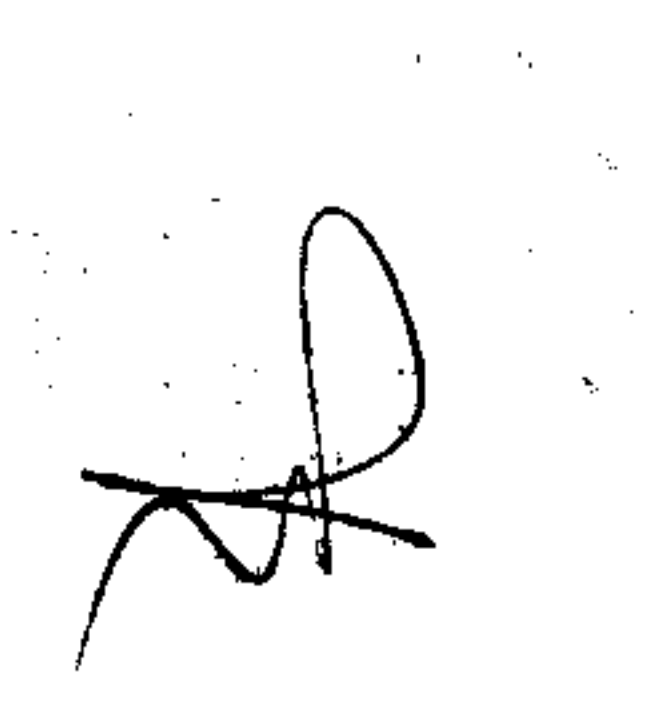
		Table (I)(a)						
Category code	Category of Shareholder	Number of Shareholders	Total number of shares	Number of shares held in dematerialized form	Total shareholding as a percentage of total number of shares		Shares Pledged or otherwise encumbered	
					As a percentage of (A+B) ¹	As a percentage of (A+B+C)	Number of shares	As a percentage IX) = (VIII)/(IV) * 100
(I)	(II)	(III)	(IV)	(V)	(VI)	(VII)	(VIII)	
(A)	Shareholding of Promoter and Promoter Group ²							
1	Indian							
(a)	Individuals/ Hindu Undivided Family	5	243000	243000	27.01	27.01	0	0.00
(b)	Central Government/ State Government(s)	0	0	0	0.00	0.00	0	0.00
(c)	Bodies Corporate	2	138000	138000	15.34	15.34	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
	Sub Total(A)(1)	7	381000	381000	42.34	42.34	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	Qualified Foreign Investor	0	0	0	0.00	0.00	0	0.00
e	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*



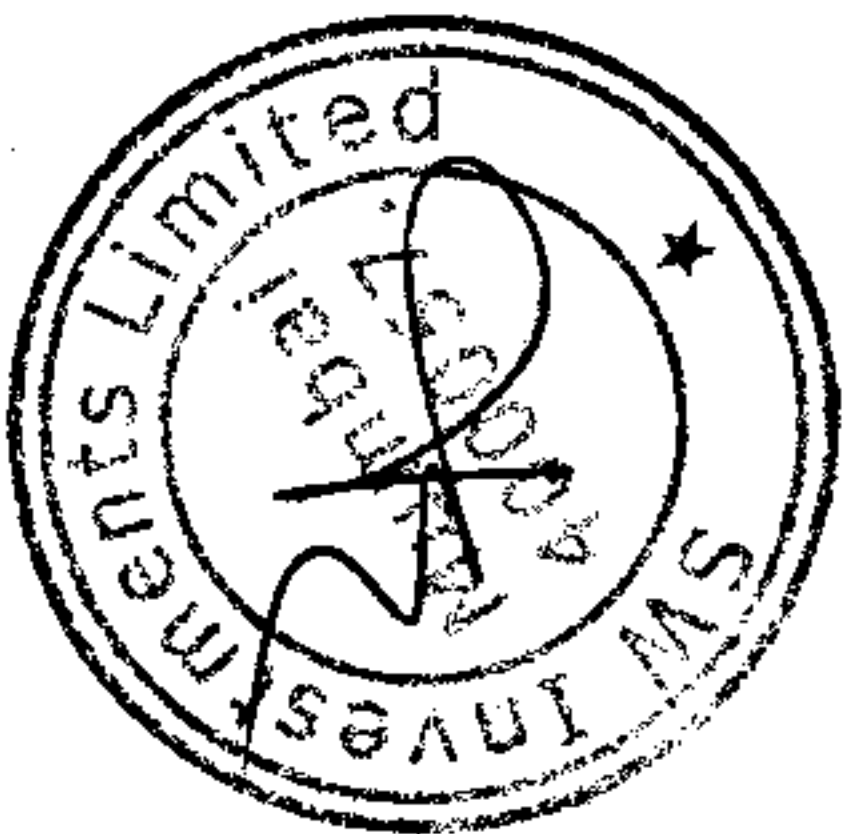
	Total Shareholding of Promoter and Promoter Group (A)=(A)(1)+(A)(2)	7	381000	381000	42.34	42.34	0	0.00	
(B)	Public shareholding								
1	Institutions								
(a)	Mutual Funds/ UTI	0	0	0	0.00	0.00	0	0.00	
(b)	Financial Institutions / Banks	0	0	0	0.00	0.00	0	0.00	
(c)	Central Government/ State Government(s)	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)	Qualified Foreign Investor	0	0	0	0.00	0.00	0	0.00	
(i)	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	6	36063	36063	4.01	4.01	0	0.00	
(b)	Individuals								
	Individuals - i. Individual shareholders holding nominal share capital up to Rs 1 lakh	338	138287	88897	15.37	15.37	0	0.00	
II	ii. Individual shareholders holding nominal share capital in excess of Rs. 1 lakh.	11	344650	344650	38.29	38.29	0	0.00	
(c)	Qualified Foreign Investor	0	0	0	0.00	0.00	0	0.00	
(d)	Any Other (specify)								
(d-i)	Clearing Member	0	0	0	0.00	0.00	0	0.00	
(d-ii)	Non Residents Indians (Repat)	0	0	0	0.00	0.00	0	0.00	
(d-iii)	Non Residents Indians (Non Repat)	0	0	0	0.00	0.00	0	0.00	
	Sub-Total (B)(2)	355	519000	469610	57.67	57.67	0	0.00	



(B)	Total Public Shareholding (B)= (B)(1)+(B)(2)	355	519000	469610	57.67	57.67	0	0.00
	TOTAL (A)+(B)	362	900000	850610	100.00	100.00	0	0.00
(C)								
1	Promoter and Promoter Group	0	0	0	0	0.00	0	0.00
2	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)	362	900000	850610	100	100.00	0	0.00



Sr. No.	Notes
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(1)(b) Statement showing holding of securities (including shares, warrants, convertible securities) of persons belonging to the category “Promoter and Promoter Group”

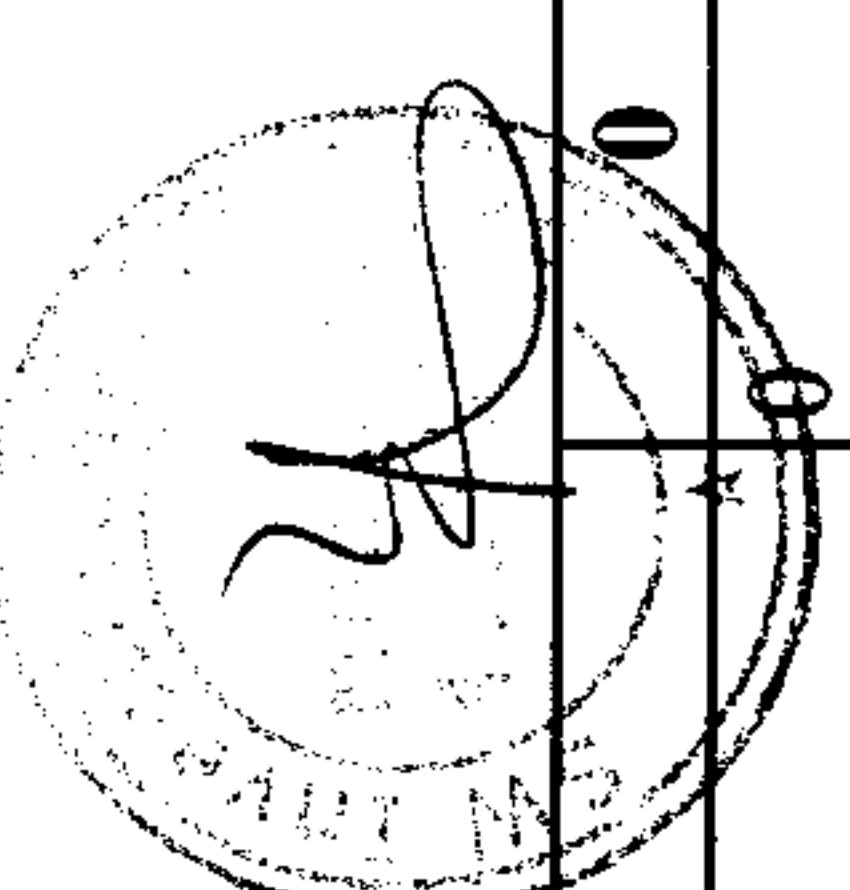
Sr.	Name of the	Details of Shares held		Encumbered shares (*)		Details of warrants		Details of convertible securities		Total shares (including underlying shares assuming full conversion of warrants and convertible securities) as a % of diluted share capital	
		Number of shares held	As a % of grand total (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 % of total number of warrants of the same class	Number of convertible securities held		As a % of total number of convertible securities of the same class
No.	shareholder										
(I)	(II)	(III)	(IV)	(V)	(VI)=(V)/(III)*100	(VII)	(VIII)	(IX)	(X)	(XI)	(XII)
1	Eskay Infrastructure Development Pvt. Ltd.	65000	7.22	0	0.00	0.00	0	0	0	0	7.22
2	Kamal Khetan HUF	75000	8.33	0	0.00	0.00	0	0	0	0	8.33
3	Manisha Khetan	50000	5.56	0	0.00	0.00		0	0	0	5.56
4	Buteo Investment Pvt. Ltd.	73000	8.11	0	0.00	0.00	0	0	0	0	8.11
5	Akrur Kamal Khetan	50000	5.56	0	0.00	0.00	0	0	0	0	5.56
6	Anupma Kamal Khetan	50000	5.56	0	0.00	0.00	0	0	0	0	5.56
7	Kamal Khetan	18000	2.00	0	0.00	0.00	0	0	0	0	2.00
TOTAL		381000	42.33	0	0.00	0.00	0	0	0	0	42.33

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



(I)(c)(i) Statement showing holding of securities (including shares, warrants, convertible securities) of persons belonging to the category “Public” and holding more than 1% of the total number of shares

Sr. No.	Name of the shareholder	Number of shares held	Shares as a percentage of total number of shares {i.e., Grand Total (A)+(B)+(C) indicated in Statement at para (I)(a) above}	Details of warrants		Details of convertible securities		Total shares (including underlying shares assuming full conversion of warrants and convertible securities) as a % of diluted share capital
				Number of warrants held	As a % total number of warrants of the same class	Number of convertible securities held	% w.r.t total number of convertible securities of the same class	
1	Ajay M Reshamwala	37000	4.11	0	0	0	0	4.11
2	Malti Gupta	37000	4.11	0	0	0	0	4.11
3	Unisys Softwares and Holdings Industries Limited	36000	4.00	0	0	0	0	4.00
4	Anup Bhagchand Agrawal	35000	3.89	0	0	0	0	3.89
5	Vivek Nityanand Jindal	35000	3.89	0	0	0	0	3.89
6	Ghanshyam Hiralaji Rander	35000	3.89	0	0	0	0	3.89
7	Pravinkumar Dhanraj Khimavat	35000	3.89	0	0	0	0	3.89
8	Yogendra Raj Singhyi	35000	3.89	0	0	0	0	3.89
9	Mahendra Kumar J Rawal	30965	3.44	0	0	0	0	3.44
10	Ashok Moolchand Jain	30000	3.33	0	0	0	0	3.33
11	Panna Haresh Thakkar	19215	2.14	0	0	0	0	2.14
12	Sangeeta Mehatalia	15470	1.72	0	0	0	0	1.72
13	Ankit Gupta	9850	1.09	0	0	0	0	1.09
TOTAL		390500	43.39	0	0	0	0	43.39



(1)(d) Statement showing details of locked-in shares

Sr. No.	Name of the shareholder	Number of locked-in shares	Locked-in shares as a percentage of total number of shares {i.e., Grand Total (A)+(B)+(C) indicated in Statement at para (1)(a) above}
	NIL	NIL	



