

## National Stock Exchange of India

### Circular

| Department: Compliance          |                          |
|---------------------------------|--------------------------|
| Download Ref No: NSE/COMP/70513 | Date: September 30, 2025 |
| Circular Ref. No: 81/2025       |                          |

To All Members,

#### **Sub: Submission of Annual Returns for the Financial year 2024-25**

This has reference to the submission of Annual Returns to the Exchange for the Financial Year ended on March 31, 2025. Trading Members of the Exchange are hereby advised to submit the Annual Returns i.e., Audited Balance Sheet, Profit & Loss Account, details in respect of Shareholding, Directors, Networth Certificate, etc. as may be applicable, for the financial year ended on March 31, 2025 on or before October 31, 2025.

Further, as per Enhanced Supervision guidelines mentioned in SEBI circular reference no. SEBI/HO/MIRSD/MIRSD2/CIR/P/2016/95 dated September 26, 2016, members are required to submit financial statements in the format as prescribed under Companies Act, 2013 irrespective of whether they fall under the purview of Companies Act, 2013 or not.

All the Trading Members are hereby informed that submission of Annual Returns for the financial year ended on March 31, 2025 shall be done only through ENIT Portal (<https://enit.nseindia.com/MemberPortal/>) on or before October 31, 2025.

Further, the link for submitting the Annual Return shall be made available on ENIT from October 01, 2025.

The user manual for accessing the portal and for making the submission of Annual Return is enclosed as **Annexure-A**.

Further, Members' attention is also drawn to Exchange Circular NSE/INSP/52017 dated April 13, 2022 and NSE/INSP/54080 dated October 14, 2022, wherein members were informed to submit the details of Inventory of Assets as on March 31 on annual basis. Members are required to submit the details of their Inventory of Assets as on March 31, 2025 at the path ENIT-New-Compliance > Compliance > Inventory of assets > Inventory of Assets submission. The user manual for making the submission of Inventory of Assets is enclosed as **Part I of Annexure-B**. Kindly note that the submission of Inventory of Assets is mandatory before submission of Annual Return for FY 2024-25.

Further, members are advised to submit a declaration on Politically Exposed Persons (PEP) as on March 31, 2025. Members are required to submit their declaration on Politically Exposed Persons at the path New ENIT > Compliance > Politically Exposed Person > PEP Declaration submission. The user manual for submitting the declaration of Politically Exposed Person is enclosed as **Part II** of **Annexure - B**. Kindly note that the submission of declaration of Politically Exposed Person is mandatory before submission of Annual Return for FY 2024-25.

Formats of documents which are to annexed with the Annual Returns are available in **Annexure - C**.

In case of non-submission of Annual Return for the financial year 2024-25, within the due date, disciplinary actions shall be initiated by the Exchange as stipulated vide Circular Ref No. NSE/INSP/53530 dated September 2, 2022. Also, all the members of the Exchange are required to maintain Networth at all points of time as prescribed by the Exchange. In case the Networth is below the minimum requirement, the Exchange would initiate appropriate disciplinary action in accordance with NSE circular NSE/INSP/53530 dated September 2, 2022.

Members are required to take note of the above and submit the Annual Returns on or before **October 31, 2025**.

For any support, please reach out to the helpdesk on 1800 266 0050 (Select IVR option 3) or email at [memcompliance\\_support@nse.co.in](mailto:memcompliance_support@nse.co.in).

**For and on behalf of**  
**National Stock Exchange of India Limited**

**Swati Sopare**  
**Chief Manager**

## ANNEXURE A

### USER MANUAL FOR SUBMISSION OF ANNUAL RETURN ON ENIT PORTAL

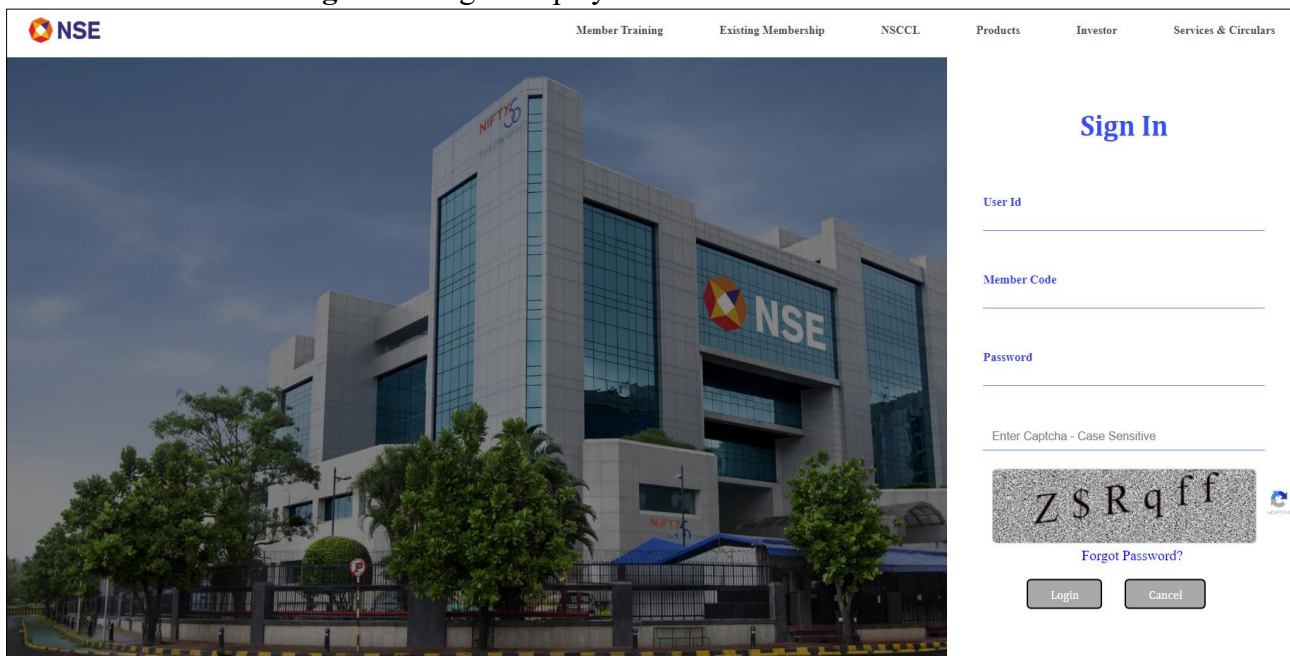
#### **Pre-requisite for submission of Annual Return:**

1. Submission of Inventory of Assets for Financial Year 2024-25  
Members have to submit the inventory of assets prior to submission of Annual Returns for Financial Year 2024-25. A module to submit the IOA is available on below path:  
ENIT-New-Compliance > Compliance > Inventory of Assets > Inventory of Assets Submission
2. Submission of declaration of Politically Exposed Person  
Declaration of Politically Exposed Person as on March 31, 2025 has to be submitted by the members before submitting the Annual Returns for Financial Year 2024-25. A module to submit the declaration is available on below path:  
ENIT-New-Compliance > Compliance > Politically Exposed Person > Submit declaration

#### **Submission of Annual Returns:**

##### **1. Login to Member portal**

- Open Internet Explorer browser.
- Type <https://enit.nseindia.com/MemberPortal> in the address bar & then click the Go button from the browser.
- NSE Member Portal **Login** screen gets displayed as below:



The screenshot shows the NSE Member Portal Login screen. The page has a header with the NSE logo and navigation links: Member Training, Existing Membership, NSCCL, Products, Investor, and Services & Circulars. The main content area is divided into two sections. On the left is a large image of the NSE building. On the right is the login form. The login form has a 'Sign In' heading, followed by input fields for 'User Id', 'Member Code', and 'Password'. Below these fields is a captcha field with the text 'Enter Captcha - Case Sensitive' and a captcha image showing the characters 'ZSRqff'. There is a 'Forgot Password?' link below the captcha. At the bottom of the form are two buttons: 'Login' and 'Cancel'.

- After entering the credentials, member needs to click on 'Submit' button to login.

|             |   |
|-------------|---|
| User Id     | Type the appropriate User id in this field.<br>This field is alphanumeric.<br>This field is mandatory.  |
| Member Code | Type the appropriate member code of the member in this field.<br>This field is numeric only.<br>This field should accept 5 digit correct member code.<br>This field is mandatory. |
| Password    | Type correct password in this field.<br>This field accepts alphanumeric & special characters.<br>This field is mandatory.   |

## 2. Open Annual Returns Screen

- Login with correct member credentials.
- Click on ‘Compliance’
- Go to ‘Annual Return’
- Select ‘Annual Submission’
- On clicking Annual Submission module, “Annual Returns” page will open.

**Annual Returns**

Member Name  Member Code  PAN of Trading member/Clearing member

Financial year  
Year Applicable

Start Date  End Date  As On Date

**Save**

(Please save this information before proceeding to fill below details.)

| Annual Accounts      | (Entered) | Annual Accounts                                     | (Entered)            |
|----------------------|-----------|---|----------------------|
| Networth             | (Entered) | Name of Statutory Auditor's Firm *                  | <input type="text"/> |
| Director Details     | (Entered) | Membership No. of Certifying Partner *              | <input type="text"/> |
| Shareholding Details | (Entered) | Name of the Certifying Partner *                    | <input type="text"/> |
| Other Stock Exchange | (Entered) | Registration number of the Statutory Auditor Firm * | <input type="text"/> |
| Listed In            | (Entered) | Mobile Number of the Certifying Partner *           | <input type="text"/> |
| Financial Details    | (Entered) | E-mail address of the Certifying Partner *          | <input type="text"/> |
|                      |           | Format in which Annual Accounts to be Submitted *   | <input type="text"/> |
|                      |           | Date of appointment of statutory auditor *          | <input type="text"/> |
|                      |           | UDIN of Certificate *                               | <input type="text"/> |
|                      |           | PAN of Statutory Auditor's firm *                   | <input type="text"/> |

## 3. Constitution Types

Annual submission needs to be done on the basis of constitution types of the eligible Trading members. The types are as follow:

- Corporate
- Bank
- LLP
- Firm
- Individual

Annual Returns module consists of different sub-modules inside it. The modules accessible to the Trading Members are based on their constitution types. The modules accessible for each type of the constitutions are as below:

**[A] Corporate/LLP:**

- Main field
- Annual Accounts
- Networth
- Director Details
- Shareholding Details
- Other Stock Exchange
- Listed In
- Financial Details
- Attach Scanned Copies
- Details of Principal officer and Designated director appointed as per PMLA requirement
- Submit to Exchange

**[B] Bank:**

- Main Field
- Annual Accounts
- Annual Networth
- Attach Scanned Copies
- Details of Principal Officer and Designated Director appointed as per PMLA requirement
- Submit to Exchange

**[C] Firm:**

- Main field
- Annual Accounts
- Networth
- Partner Details
- Other Stock Exchange
- Financial Details
- Attach Scanned Copies
- Details of Principal officer and Designated director appointed as per PMLA requirement
- Submit to Exchange

**[D] Individual:**

- Main field
- Annual Accounts
- Networth
- Proprietor Details
- Other Stock Exchange
- Financial Details
- Attach Scanned Copies
- Details of Principal officer and Designated director appointed as per PMLA requirement
- Submit to Exchange

**Note:** By default, the status for all accessible modules will be displayed as 'Not Entered'. When member enters & saves the details of any module, the status of the respective module will get changed to 'Entered'.

#### 4. Submission of Annual returns – Corporate/ LLP

On click of Annual Submission menu, below default page will be displayed:

Annual Returns

Member Name  Member Code  PAN of Trading Member/Clearing Member

Financial year  
Year Applicable\*

Start Date\*  End Date\*  As On Date\*

(Please save this information before proceeding to fill below details.)

Annual Accounts (Entered)

| Annual Accounts      | (Entered) |
|----------------------|-----------|
| Networth             | (Entered) |
| Director Details     | (Entered) |
| ShareHolding Details | (Entered) |

Annual Accounts

|  |                      |  |                      |
|--|----------------------|--|----------------------|
| Name of Statutory Auditor's Firm*        | <input type="text"/> | Membership No. of Certifying Partner*              | <input type="text"/> |
| Name of the Certifying Partner*          | <input type="text"/> | Registration number of the Statutory Auditor Firm* | <input type="text"/> |
| Mobile Number of the Certifying Partner* | <input type="text"/> | E-mail address of the Certifying Partner*          | <input type="text"/> |

[A] The Main fields consists of following fields & buttons:

- **‘Member Name & Member Code’**: These are auto populated & disabled fields.
- **‘PAN of Trading Member’** is an auto populated & disabled field. It will auto fetch the PAN Card No existing in the current system for the logged in member.
- **‘Financial Year’** consists of Financial Year and Calendar Year as drop-down menu. Select Applicable Year (Financial Year or Calendar Year) from the drop-down menu, for the period for which submission is to be done. ‘Start Date, End Date, As on Date’ will be auto populated once the financial year/calendar year is selected.

Annual Returns

Member Name  Member Code  PAN of Trading Member/Clearing Member

Financial year  
Year Applicable\*

Start Date\*  End Date\*  As On Date\*

(Please save this information before proceeding to fill below details.)

Annual Accounts (Entered)

| Annual Accounts      | (Entered) |
|----------------------|-----------|
| Networth             | (Entered) |
| Director Details     | (Entered) |
| ShareHolding Details | (Entered) |

Annual Accounts

|  |                      |  |                      |
|--|----------------------|--|----------------------|
| Name of Statutory Auditor's Firm*        | <input type="text"/> | Membership No. of Certifying Partner*              | <input type="text"/> |
| Name of the Certifying Partner*          | <input type="text"/> | Registration number of the Statutory Auditor Firm* | <input type="text"/> |
| Mobile Number of the Certifying Partner* | <input type="text"/> | E-mail address of the Certifying Partner*          | <input type="text"/> |

Click on ‘Save’, to save the year selection.

The screenshot shows the NSE Annual Returns form. At the top, there are fields for Member Code and Member Name. Below this is a navigation bar with tabs like Compliance, Trade, Membership, etc. The main section is titled 'Annual Returns'. It contains fields for Member Name, Member Code, PAN of Trading Member/Clearing Member, Financial year (dropdown), Start Date, End Date, and On Date. A modal box in the center displays a green checkmark and the text 'Saved successfully.' with an 'Ok' button. Below the modal, the 'Annual Accounts' tab is selected, showing a list of sub-tabs: Networth, Director Details, ShareHolding Details, Other Stock Exchange, Listed In, Financial Details, Attach Scanned Copies, Principal officer and Designated Director details, and Submit to Exchange. The 'Annual Accounts' sub-tab is active, displaying fields for Name of Statutory Auditor's Firm, Membership No. of Certifying Partner, Name of the Certifying Partner, Registration number of the Statutory Auditor Firm, Mobile Number of the Certifying Partner, E-mail address of the Certifying Partner, Format in which Annual Accounts to be Submitted (dropdown), UDIN of Certificate, PAN of Statutory Auditor, and a checkbox for 'Is there change in Statutory auditor?'. There are also fields for 'Format of Financial Statements' and 'Upload XBRL (.xml)' and 'Upload PDF generated from XBRL Utility (.pdf)'.

- ‘Save’ will save the entered details

## [B] Annual Accounts tab:

When member clicks on ‘Annual Accounts’ tab, the module will get highlighted & below screen will appear:

The screenshot shows the NSE Annual Accounts form. At the top, there is a message: '(Please save this information before proceeding to fill below details.)'. Below this is a navigation bar with tabs like Annual Accounts, Networth, Director Details, ShareHolding Details, Other Stock Exchange, Listed In, Financial Details, Attach Scanned Copies, Principal officer and Designated Director details, and Submit to Exchange. The 'Annual Accounts' tab is selected and highlighted. It displays fields for Name of Statutory Auditor's Firm, Membership No. of Certifying Partner, Name of the Certifying Partner, Registration number of the Statutory Auditor Firm, Mobile Number of the Certifying Partner, E-mail address of the Certifying Partner, Format in which Annual Accounts to be Submitted (dropdown), UDIN of Certificate, PAN of Statutory Auditor, and a checkbox for 'Is there change in Statutory auditor?'. There are also fields for 'Format of Financial Statements' and 'Upload XBRL (.xml)' and 'Upload PDF generated from XBRL Utility (.pdf)'.

‘Annual Accounts’ tab consists of below fields & buttons and all below fields are required to be filled mandatorily

- Name of Statutory Auditor's Firm
- Membership No. of Certifying Partner
- Name of Certifying Partner
- Registration number of Statutory Auditor Firm
- Mobile number of Certifying Partner
- Email address of Certifying Partner
- Format in which Annual Accounts to be submitted : Revised Schedule VI
- Date of appointment of Statutory Auditor
- UDIN of Certificate : UDIN mentioned in the Auditor’s report to be mandatorily filled here
- PAN of Statutory Auditor’s firm

- PAN of Statutory Auditor signing the balance sheet
- Is there a change in Statutory Auditor: Yes/No
- If yes is selected, then reason for change will be available in drop down for selecting the reason for change in Statutory Auditor. If reason selected is “Resignation of Statutory Auditor” or “Others”, then reason for such resignation/change needs to be mentioned in ‘Mention reason’ tab.

- Select format of Financial Statement (IGAAP, INDAS, NBFC, as applicable)
- Download XBRL Utility and save in local computer. XBRL utility is also available on website of the Exchange and the path is “Resources > Forms and Formats > Click here for check form & formats > XBRL offline utility from Annual Returns”.

### Filling of XBRL Utilities:

- Downloaded utilities are to be filled as per the financials.
- Enter all applicable details in XBRL utility, enter “0” in fields which are not applicable and Validate each sheet. Rectify error, if any.
- Type of XBRL utility filled should be same as ‘Format of Financial Statements’ selected in the tab. For example, if IGAAP is selected as the format, the corresponding XBRL utility must also be IGAAP. Further, the financial year (Calendar year/Financial year, applicable) selected should be same in XBRL utility.
- After completion of entering data in all sheets, click on General Info tab – “Home” button in utility > click on validate all sheets.
- Once all sheets are validated successfully, generate XBRL file (.xml) and save in local computer.
- Click on General Info tab – “Home” button in utility > click on Generate Report. Html file will get generated. Save html file in local computer.
- Open Html file and save it in PDF format. To save in PDF format click on print button and save file as PDF.
- Upload the XBRL (.xml) - Browse and upload xml file generated through XBRL utility. While uploading the document, kindly ensure:
  - ✓ Only XML file to be uploaded
  - ✓ File name should be the member code
  - ✓ Year of financials (Calendar Year/ Financial Year, as applicable) should be same as mentioned in the main field.
  - ✓ Format of Financial Statement (IGAAP/IndAs/NBFC) mentioned while filling the utility should be same as mentioned in the “Annual Accounts” tab.
  - ✓ Absolute numbers to be entered
- Upload PDF (.pdf) –Upload PDF file converted from Html file in Attachment module. The file



name should be the member code.

- Directors/ Partners of CA Firm: Details of all the Directors/partners of the statutory auditor firm are to be added in the field. Incase if the statutory auditor is a sole proprietor/individual, details of such individual are to be added. Entries for Directors/Partners can be added/removed as per no. of directors/partners of the CA firm.
- ‘Save’: This button will enable member to save the above details.
- ‘Reset’: This button will reset the entered details to the default values.

Note: When member will save the details in tab, then only the module’s status will be changed to ‘Entered’ in Annual Accounts tab.

### [C] **Networth Tab :**

When member clicks on ‘Networth’ tab, the module will get highlighted & below screen will appear:

Annual Returns

Member Name: [Text Field] Member Code: [Text Field] PAN of Trading Member/Clearing Member: [Text Field]

Financial year: [Dropdown Menu] Year Applicable: [Text Field]

Start Date: [Text Field] End Date: [Text Field] As On Date: [Text Field]

[Save]

(Please save this information before proceeding to fill below details.)

Annual Accounts (Entered) **Annual Network** (Not Entered) Director Details (Not Entered) Shareholding Details (Not Entered) Other Stock Exchange (Entered) Listed In (Entered) Financial Details (Not Entered) Attach Scanned Copies (Not Entered) Principal officer and Designated Director details (Not Entered)

Name of CA Firm: [Text Field] Membership No. of Certifying CA: [Text Field]

Method of Computation of Net Worth: [Dropdown Menu]

UDIN of the certificate: [Text Field] PAN of CA/CA Firm: [Text Field]

☐ We certify that network computation is based on standalone basis: [Text Field] UDIN of the certificate

Director/Partner of CA Firm Details

Name of Director/partner of CA Firm: [Text Field] PAN of Director/partner of CA Firm: [Text Field]

‘Networth’ tab consists of below fields & buttons:

- Name of CA Firm : name of CA certifying the network to be filled mandatorily
- Membership No of certifying CA : detail of CA certifying the network to be filled mandatorily
- ‘Method of computation of network: It will be an auto selected field i.e. Schedule VI of SEBI (Stock Broker) Regulations, 1992.
- UDIN of the certificate UDIN mentioned in the network certificate to be mentioned mandatorily
- PAN of CA/CA Firm : PAN of CA to be mentioned if network certificate is certified by an individual/sole proprietor. PAN of CA firm to be mentioned if network certificate is certified by the CA of a firm/corporate.
- Check Box to be ticked for certifying that network computation is based on standalone basis.
- Directors/Partners of CA Firm Details: Details of all the Directors/partners of CA firm certifying the network are to be added in the field. Incase if the network certificate is certified by sole proprietor/individual, details of such individual are to be added.

Once the details are filled, click on ‘Compute Network’. Below screen will appear and network details are to be added. Kindly mention numbers in absolute value.

| Particulars                 | Amount(Rs. in absolute figure)    |
|-----------------------------|-----------------------------------|
| Capital + Free Reserves     |                                   |
| Capital *                   | <input type="text" value="0.00"/> |
| Free Reserves*              | <input type="text" value="0.00"/> |
|                             |                                   |
|                             |                                   |
|                             |                                   |
|                             |                                   |
|                             |                                   |
|                             |                                   |
|                             |                                   |
|                             |                                   |
|                             |                                   |
| Capital + Free Reserves (A) | <input type="text" value="0.00"/> |

| Particulars  | Amount(Rs. in absolute figure)    |
|--|-----------------------------------|
| Non-allowable assets viz.  |                                   |
| Fixed Assets*  | <input type="text" value="0.00"/> |
| Pledged Securities*  | <input type="text" value="0.00"/> |
| Member's Card*   | <input type="text" value="0.00"/> |
| Non-allowable securities (unlisted securities)*                      | <input type="text" value="0.00"/> |
| Bad deliveries*  | <input type="text" value="0.00"/> |
| Any Debts and Advances (except trade debtors of less than 3 months)* | <input type="text" value="0.00"/> |
| Prepaid expenses, losses*  | <input type="text" value="0.00"/> |
| Intangible Assets*   | <input type="text" value="0.00"/> |
| Marketable securities*   | <input type="text" value="0.00"/> |
| 30% of Marketable securities   | <input type="text" value="0.00"/> |
| Total (Non-allowable assets viz) (B)                                 | <input type="text" value="0.00"/> |

Networth (A-B)

Variable Networth\*

The auto-calculated amount fields, will calculate & show the amounts as per the calculations.

Note: When member will save the details in tab, then only the module's status will change to 'Entered'.

When member clicks on 'Director Details' tab, the module will get highlighted & below screen will appear:

Details of Directors appearing in the Screen should match with the last approval given by the Exchange.

- of the existing directors like address, phone no., email id, etc can be modified through this option.
- b) Change : to be selected when there's change in existing directors.

Fields when 'No change' is selected:

- Name of certifying firm : name of person certifying C-10 to be added
- Membership no. of the certifying person : membership number person certifying C-10 to be added
- Do you want to change some basic details of existing directors : Yes/No
- If yes is selected, then certain basic details like address, email id, qualification, contact no., mobile no. etc are editable. However, other details like Name, designated director – yes/no, DIN, PAN, Date of Birth, age and father's name are non-editable.
- If No is selected, then member will not be able to edit any of the details.
- Document C-10 (format available in Annexure C) to be added under 'Attach Scanned Copies' tab when 'No Change' is selected.

The screenshot shows the 'Director Details' form. On the left sidebar, 'Director Details' is selected, and 'No Change (C-10)' is chosen. The main form has fields for 'Name of certifying Firm', 'Membership No. of the Certifying Person', and a question 'Do you want to change some basic details of Directors?' with radio buttons for 'YES' and 'NO'. A callout box points to the 'YES' option with the text: 'Select 'Yes' only if basic details of existing directors are to be changed'. Below this is a table with columns: Edit, Delete, Directorships/Controlling, Name of Director, DIN of Director, Experience, Is Designated Director, Date of Birth, Email id, Mobile No, and PAN. The table contains four rows of data.

Fields when 'Change' is selected:

- When member selects the 'Change' option and confirms by clicking on 'Ok', then member will not be able to modify the selection from 'Change' to 'No Change'.
- When member selects 'Cancel' from the alert, then member will still be at 'No Change' option.

The screenshot shows the 'Director Details' form with an error message dialog box. The dialog box has a red triangle icon and the text: 'Error. Kindly note that if you select and edit 'Change' option, you will not be able to select 'No Change (C-10)' at a later stage.' The dialog box has 'Ok' and 'Cancel' buttons. The background form is dimmed, showing the same fields as the previous screenshot.

- Name of certifying firm : name of person certifying C-3 to be added.
- Membership no. of the certifying person : membership number of person certifying C-3 to be added.  
The member has to submit these details first otherwise it will give an error alert on adding new entry.
- Addition and/or deletion of directors can be done under this tab.

- When member clicks on Add button, below ‘Add Details of director’ form will be displayed:

- Fill in the details and save the entry. Once the entry is saved, director details shall be reflected in the page.
- ‘Save’: This button will enable member to save the above details.
- ‘Reset’: This button will reset the entered details to the default values.

While adding the Directors’ details, kindly ensure:

- ✓ If ‘Mrs.’ is selected from the title, ‘Husband Name’ field will get enabled & it will be a mandatory field.
- ✓ Each of the Designated Directors should at least be HSC or of equivalent qualification
- ✓ The designated director must have minimum 2 years of experience, if the minimum requirement is not fulfilled, below error will popup:

(Please save this information before proceeding to fill below details.)

Annual Accounts (Entered)  
Network (Entered)  
**Director Details (Entered)**  
No Change (C-10) Change (C-3 / C-15)  
ShareHolding Details (Entered)  
Other Stock Exchange (Entered)  
Listed In (Entered)  
Financial Details (Entered)  
Attach Scanned Copies (Not Entered)  
Principal officer and Designated Director details (Entered)  
Submit to Exchange

### Add details of director

Name Of the Director: \*  
Designated Director: \*  
Education Qualification: \*  
If others, please specify:  
Experience: \* years  
Date Of Birth: \*  
Age:  
Flat/Door No.: \*

Designated director must have at least 2 years of experience pertaining to securities market. Do you want to continue?

YES NO

Once member selects Yes, the entered experience will remain on the screen but when member selects No, the entered experience will get blank.

- ✓ The years of experience must be less than the age selected, otherwise it will show an error.
- ✓ Experience cannot be 0.
- ✓ Incase of designated director, the minimum age must be 21 years otherwise it will show an error.
- ✓ Incase of non-designated director, the minimum age must be 18 years, otherwise it will show an error.
- ✓ Member needs to enter mobile no and contact no.
- ✓ PAN Card no and Father's Name are mandatory fields.
- ✓ Member will not be able to add another entry having already saved PAN Card no.
- ✓ Member will not be able to add another entry of the designated director having same DIN no. & same Name.
- ✓ DIN no cannot be zero.

Note: When member will save the details in tab, then only the module's status will change to 'Entered'.

### [E] Shareholding Details Tab

When member clicks on 'Shareholding' tab, the module will get highlighted & below screen will appear:

Annual Accounts (Entered)  
Network (Entered)  
Director Details (Entered)  
**ShareHolding Details (Not Entered)**  
No Change (C-10) Change (C-7 B C-8 If applicable)  
Other Stock Exchange (Entered)  
Listed In (Entered)  
Financial Details (Entered)  
Attach Scanned Copies (Not Entered)  
Principal officer and Designated Director details (Not Entered)  
Submit to Exchange

### Shareholding Report

Name Of certifying firm: Membership No. of the Certifying Person:  
Save  
Equity Preference

| Edit | Promoter Delete Group | Name of the Shareholder / Relative / Corporate | PAN OF Shareholder / Relative / Corporate | CIN Number | No. Of Shares | Amount Paid in Lacs | Percentage | Promoter | Promoter Group |
|------|-----------------------|--|---|------------|---------------|---------------------|------------|----------|----------------|
| 1    |                       | PROMOTER :                                     |   |            | 0             | 0.0000000           | 0          |          |                |
| 2    |                       | NON PROMOTER :                                 |   |            | 0             | 0.0000000           | 0          |          |                |
| 3    |                       | TOTAL :  |   |            | 0             | 0.0000000           | 0.00       |          |                |

Details of Shareholders and the shareholding appearing in the Screen should match with the last approval given by the Exchange.

‘Shareholding Details’ tab consists of below two options:

- No change : to be selected when there’s no change in the existing shareholders and their shareholding.
- Change : to be selected when there’s change in existing shareholders and/or their shareholding.

Fields when ‘No change’ is selected:

- Name of certifying firm : name of person certifying C-10 to be added
- Membership no. of the certifying person : membership number person certifying C-10 to be added
- Above details to be saved.
- Document C-10 (format available in Annexure C) to be added under ‘Attach Scanned Copies’ tab when ‘No Change’ is selected.

Fields when ‘Change’ is selected:

- When member selects the ‘Change’ option and confirms by clicking on ‘Ok’, then member will not be able to modify the selection from ‘Change’ to ‘No Change’.
- When member selects ‘Cancel’ from the alert, then member will still be at ‘No Change’ option.

- Name of certifying firm : name of person certifying C-7 to be added.
- Membership no. of the certifying person : membership number of person certifying C-7 to be added.
- The member has to submit these details first otherwise it will give an error alert on adding new entry.
- Radio button available for checking the existing shareholding of equity and preference shares.
- To add the new shareholder(s):

- When member clicks on Add button, below ‘Add Details of shareholder’ form will be displayed:

**Add details of shareholder**

Name of the Shareholder: \*

PAN Of Shareholder: \*

Format of CIN : select select select select

CIN Number: \*

Equity/Preference: \* ☐ Equity ☐ Preference ☐ Equity and Preference

Promoter: \* ☐ Yes ☐ No

Promoter Group: \* ☐ Yes ☐ No Promoter group is to be selected Yes, only in case when details of Person Acting in Concert (PAC) is to be added under the respective promoter.

Equity calculation: Equity No. Of Shares: \* Equity Paidup value per share: \* Equity Amount Paid in Lacs: \* Equity Self %: \*

Preference calculation: Preference No. Of Shares: \* Preference Paidup value per share: \* Preference Amount Paid in Lacs: \* Preference Self %: \*

- Name of shareholder, PAN of shareholder, CIN (in case of corporate/LLP) to be mentioned.
- Selection from Equity/Preference/Equity and preference to be selected
- The shareholder is a promoter – Yes/ No to be selected. If ‘No’ is selected, then promoter group option will be disabled. If ‘Yes’ is selected, then Promoter Group to be selected as Yes/No. While selecting Promoter Group: Yes to be selected only in case when details of Person Acting in Concert (PAC) are to be added under the respective promoter.
- Number of shares and paid up value to be added. Percentage will be auto calculated basis the entries made.
- Address of the shareholder is to mandatorily be filled.
- Incase member wants to delete an existing shareholder, below popup will be displayed:

**Shareholding Report**

Name Of certifying firm: \* Membership No. of the Certifying Person: \*

Save

Are you sure you want to delete shareholder details?

Ok Cancel

| Edit | Promoter Delete Group | Name of the Shareholder / Relative / Corporate | PAN Of Shareholder / Relative / Corporate | CIN Number | No. Of Shares | Amount Paid in Lacs | Percentage | Promoter | Promoter Group |
|------|-----------------------|--|---|------------|---------------|---------------------|------------|----------|----------------|
| 1    |                       | PROMOTER :                                     |   |            |               |                     |            |          |                |
| 2    |                       |  |   |            |               |                     |            |          |                |
| 3    |                       |  |   |            |               |                     |            |          |                |
| 4    |                       |  |   |            |               |                     |            |          |                |
| 5    |                       | NON PROMOTER :                                 |   |            |               |                     |            |          |                |
| 6    |                       |  |   |            |               |                     |            |          |                |
| 7    |                       | TOTAL :  |   |            |               |                     |            |          |                |

After clicking on ‘Okay’ the record will be successfully deleted.

- ‘Save’: This button will enable member to save the above details.
- ‘Reset’: This button will reset the entered details to the default values.

While adding the Shareholders’ details, kindly ensure:

- PAN number of the shareholder. If its 4<sup>th</sup> letter is C, then only ‘Format of CIN’ field will get enabled, otherwise it will be disabled.

- In case the shareholder is Corporate the field for 'Format for CIN' shall be auto generated and required to be updated.
- Second column of CIN format will accept only numbers. The character length will be of 5 digits.
- Last column of CIN format will accept only numbers. The character length will be of 6 digits.
- Please indicate the Equity/Preference field specifying whether the new shareholder is an equity shareholder, preference shareholder or an equity and preferred shareholder.
- The amounts to be duly filled for the fields Equity no. of shares.
- It is important to mention whether the new shareholder will be a promoter or not.
- It is important to mention whether the new shareholder will be a part of promoter group or not.
- For first shareholder, the percentage will be shown as 100%, after that it will be changed on adding remaining shareholders.
- 'Yes' to be selected in Promoter Group only when details of Person Acting in Concert (PAC) of the respective promoter to be added. If there's no PAC, 'No' to be selected under Promoter Group.

Note: When member will save the details in tab, then only the module's status will change to 'Entered'



## F) Other Stock Exchange

When member clicks on 'Other Stock Exchange' tab, the module will get highlighted & below screen will appear:

Start Date \* End Date \* As On Date \*

Save

(Please save this information before proceeding to fill below details.)

Annual Accounts (Entered) x

Networth (Entered)

Director Details (Entered)

ShareHolding Details (Entered)

**Other Stock Exchange (Entered)**

No Change (C-10) Change (C-2)

Listed In (Entered)

Financial Details (Entered)

Attach Scanned Copies (Not Entered)

Principal officer and Designated Director details (Entered)

Submit to Exchange

**Membership on Other Stock Exchange**

Are you a member of other Stock Exchange? Yes No

Save

Add

| Edit | Delete | Name Of Stock Exchange | Registration date | Name of Trading Member/Holding Co/Subsidiary Co/Promoters/Directors/Partners | Relation | Membership Number |
|------|--------|------------------------|-------------------|--|----------|-------------------|
| 1    |        |                        |                   |  |          |                   |
| 2    |        |                        |                   |  |          |                   |

'Other Stock Exchange' tab consists of below two options:

- No change: to be selected when there's no change in the membership of the member in other Stock Exchanges.
- Change : to be selected when there's change in in the membership of the member in other Stock Exchanges.

Fields when 'No change' is selected:

The previously entered details of member will be displayed on screen. Incase, no change is selected, the portal will not allow to make any changes to the existing data saved for Membership on Other Stock Exchanges. Incase of 'No Change' C-10 to be attached under the head 'Attach Scanned Copies'

Fields when 'Change' is selected:

- When member selects the 'Change' option and confirms by clicking on 'Ok', then member will not be able to modify the selection from 'Change' to 'No Change'.
- When member selects 'Cancel' from the alert, then member will still be at 'No Change' option.

Annual Returns

Member Name \* Member Code \* PAN of Trading Member/Clearing Member \*

Financial year

Start Date \* 01-Apr-2018 End Date \* 31-Mar-2019

Annual Accounts (Not Entered)

Networth (Not Entered)

Proprietor Details (Not Entered)

**Other Stock Exchange (Not Entered)**

No Change (C-10) Change (C-2)

Financial Details (Not Entered)

Attach Scanned Copies (Not Entered)

Submit to Exchange

**Membership on Other**

Are you a member of other Stock Exchange? Yes No

Save

Add

| Edit | Delete | Name Of Stock Exchange | Registration date | Name of Trading Member/Holding Co/Subsidiary Co/Promoters/Directors/Partners | Relation | Membership Number |
|------|--------|------------------------|-------------------|--|----------|-------------------|
|      |        |                        |                   |  |          |                   |

Error

Kindly note that if you select and edit 'Change' option, you will not be able to select 'No Change (C-10)' at a later stage.

OK Cancel

- When member selects 'Yes' radio button for 'Are you a member of other Stock Exchange' & click on the Submit button, member will be able to add new entries, update, delete / search for the existing entries etc.
- Please note that once 'Change' is selected, C-2 to be attached at the time of 'Attach Scanned Copies'.
- When member clicks on the 'Add' button, below pop up window will get open-

(Please save this information before proceeding to fill below details.)

**Add details of other stock exchanges**

Name Of Stock Exchange: \*

Registration Date: \*

Name of Trading Member/Holding Co/Subsidiary Co/Promoters/Directors/Partners: \*

Relation: \*

Membership number: \*

**Save** **Reset**

**Notes:**

1. Where Company/Sole Proprietor is member of other stock exchange - 'Self'
2. Where Director of Company is member of other stock exchange - 'Director'
3. Where Partner of Firm is member of other stock exchange - 'Partner'
4. Where Subsidiary Co. is member of other stock exchange - 'Subsidiary Co.'
5. Where Holding Co. is member of other stock exchange - 'Holding Co.'
6. Where Sister Concern is member of other stock exchange - 'Sister Concern'

- When add is clicked, below details are to be added :
  - Name of Stock Exchange
  - Registration Date
  - Name of Trading Member/Holding Co/Subsidiary Co/Sister Co/Promoters/Directors/Partners
  - Relation (relation be mentioned as per note given in the screen)
  - Membership No. of that Exchange
- “Save”: This button will enable member to save the above details.
- ‘Reset’: This button will reset the entered details to the default values.

Note: When member will save the details in tab, then only the module’s status will change to ‘Entered’.

## G) Listed In

When member clicks on ‘Listed In’ tab, the module will get highlighted & below screen will appear:

**Details of Listing**

Are you Listed? ☐ Yes ☐ No **Save**

|   | Edit | Delete | Listed In | Listed Since | Delisted On |
|---|------|--------|-----------|--------------|-------------|
| 1 |      |        |           |              |             |
| 2 |      |        |           |              |             |
| 3 |      |        |           |              |             |

**Add**

‘Listed In’ tab consists of below two options:

- No change: to be selected when there’s no change in the Listing status of the member in the Stock Exchanges.
- Change : to be selected when there’s change in the Listing details of the member in Stock Exchanges.

(Please save this information before proceeding to fill below details.)

Annual Accounts (Entered)

Networth (Entered)

Director Details (Entered)

ShareHolding Details (Entered)

Other Stock Exchange (Entered)

**Listed In (Entered)**

● No Change (C-10) ● Change (C-2)

Financial Details (Entered)

Attach Scanned Copies (Not Entered)

Principal officer and Designated Director details (Not Entered)

Submit to Exchange

**Details of Listing**

Are you Listed? ☒ Yes ☐ No

Save

Add

| Edit | Delete | Listed In                                | Listed Since | Delisted On |
|------|--------|--|--------------|-------------|
| 1    |        | THE NATIONAL STOCK EXCHANGE OF INDIA LTD | 01-Aug-2023  |             |

Fields when ‘No change’ is selected: The previously entered details of member will be displayed on screen. In case, no change is selected, the portal will not allow to make any changes to the existing data saved for Listed in. Incase of ‘No Change’ C-10 to be attached under the head ‘Attach Scanned Copies’

Fields when ‘Change’ is selected:

- When member selects the ‘Change’ option and confirms by clicking on ‘Ok’, then member will not be able to modify the selection from ‘Change’ to ‘No Change’.
- When member selects ‘Cancel’ from the alert, then member will still be at ‘No Change’ option.
- When member selects ‘Yes’ radio button for ‘Are you Listed?’ and click on the Save button, member will be able to add new entries, update, delete the existing entries, etc.

Annual Accounts (Entered)

Networth (Entered)

Director Details (Entered)

ShareHolding Details (Not Entered)

Other Stock Exchange (Entered)

**Listed In (Entered)**

● No Change (C-10) ● Change (C-2)

Financial Details (Not Entered)

Attach Scanned Copies (Not Entered)

Principal officer and Designated Director details (Entered)

Submit to Exchange

**Details of Listing**

Are you Listed? ☒ Yes ☐ No

Save

Add

| Edit | Delete | Listed In                                | Listed Since | Delisted On |
|------|--------|--|--------------|-------------|
| 1    |        | THE NATIONAL STOCK EXCHANGE OF INDIA LTD | 01-Aug-2023  |             |

Change is selected

Edit the details

To delete the details

To add the Details

- When member clicks on the ‘Add’ button, below pop up window will open:

Below details are to be added for ‘Add details of Listed In’

- Name of Stock Exchange
  - Listed Since
  - Delisted On – applicable incase of delisting only.
- Incase of ‘Change’, a copy of C-2 to be attached under the head ‘Attach Scanned Copies’.

While adding the ‘Listed In’ details, kindly ensure:

- ✓ Date of listing cannot be prior to date of incorporation
- ✓ Listed Since date must not be equal or greater than Delisted Date.
- ✓ Date of Listing cannot be prior to the date of incorporation of the stock exchange.

Note: When member will save the details in tab, then only the module’s status will change to ‘Entered’

## H) Financial Details :

When member clicks on ‘Financial Details’ tab, the module will get highlighted & below screen will appear:

- Annual Financial Details tab has 7 fields. These fields will accept only numeric & two decimal values. They will accept zero & negative values, if applicable. Kindly mention numbers in absolute values only.
- ‘Save’: This button will enable member to save the above details.
- ‘Reset’: This button will reset the entered details to the default values.

Note: When member will save the details in tab, then only the module’s status will change to ‘Entered’.

**I) Attach Scanned Copies tab**

- Under the Attach Scanned Copies Tab only PDFs are to be uploaded as per the given guidelines.
- The below format to be followed for naming the files:

| Sr. No. | Document   | File Name                                    |
|---------|--|--|
| 1.      | Audited Balance Sheet  | XXXXXXAuditedBalanceSheet31MarYYYY           |
| 2.      | Profit & Loss Account  | XXXXXXPLAccount31MarYYYY                     |
| 3.      | Schedule & Notes to Account  | XXXXXXScheduleNotesAcc31MarYYYY              |
| 4.      | Auditor's Report   | XXXXXXAuditorsReport31MarYYYY                |
| 5.      | Directors Report   | XXXXXXDirectorsReport31MarYYYY               |
| 6.      | MGT 7 (For Corporates) / Form 11 (For LLP)   | XXXXXXMGT731MarYYYY<br>XXXXXXForm1131MarYYYY |
| 7.      | Networth (alongwith computation duly certified by CA)  | XXXXXXNetworth31MarYYYY                      |
| 8.      | Details of Proprietor/ Partner/ Directors (Copy of C-3/C-10 duly certified by CA/CS to be attached).<br><b>Note:</b><br>a) incase No change is selected at the Director Details tab, then C-10 to be attached.<br>b) incase Change is selected at the Director Details tab, then C-3 to be attached.                 | XXXXXXCZProprietorPartnerDirector31MarYYYY   |
| 9.      | Details of Shareholding pattern of trading member (Copy of C-7/C-10 duly certified by CA/CS to be attached).<br><b>Note:</b><br>a) incase No change is selected at the Shareholding Details tab, then C-10 to be attached.<br>b) incase Change is selected at the Shareholding Details tab, then C-7 to be attached. | XXXXXXCZShareholdingPattern31MarYYYY         |
| 10.     | Undertaking for Relative Support/ Corporate Support to Promoter Shareholders of trading member. (Copy of C-7/C-10 duly certified by CA/CS to be attached.)<br><b>Note:</b><br>a) incase No change is selected at the Shareholding Details tab, then C-10 to be attached.   | XXXXXXCZRelativeSupport31MarYYYY             |

|     |  |                                    |
|-----|--|------------------------------------|
|     | b) incase Change is selected at the Shareholding Details tab, then C- 7 to be attached.  |                                    |
| 11. | Details of Shareholding Pattern of corporate entity/ies forming part of Promoter Group of trading member entity  | XXXXXXDominantShareholder31MarYYYY |
| 12. | Membership on Other Stock Exchanges (Copy of C-2/C-10 duly certified by CA/CS to be attached)<br><b>Note:</b><br>a) incase No change is selected at the Other Stock Exchanges tab, then C-10 to be attached.<br>b) incase Change is selected at the Other Stock Exchanges tab, then C- 2 to be attached. | XXXXXXCZMembershipOSE31MarYYYY     |
| 13. | Details of Listing (Copy of C-2/C-10 duly certified by CA/CS to be attached).<br><b>Note:</b><br>a) incase No change is selected at the Listing In tab, then C-10 to be attached.<br>b) incase Change is selected at the Listing In tab, then C-2 to be attached.  | XXXXXXCZListedIn31MarYYYY          |

XXXXXX represents member code

YYYY represents as on date's year

Z represents the numeric value as per the file name i.e., 3 incase of C-3, 7 incase of C-7, etc.

- Once all files are uploaded, click on “Upload Documents”.
- Once documents are uploaded, below screen will appear:

### Annual Returns

Member Name

Member Code

PAH of Trading Member/Clearing Member

Financial year

Year Applicable\*

Start Date \*

End Date \*

As On Date \*

Save

(Please save this information before proceeding to fill below details.)

Annual Accounts (Entered)

Networth (Entered)

Director Details (Entered)

ShareHolding Details (Entered)

Other Stock Exchange (Entered)

#### Attach Scanned Copies

\*Note:C-10 to be scanned and uploaded wherever no change selected for documents from C-2 to C-8.

Scanned Copies Uploaded Successfully, kindly click on Submit to Exchange for Digital Signature Process.

Note: When member will save the details in tab, then only the module's status will change to 'Entered'

## J) Principal officer and Designated Director details tab

When member clicks on 'Principal Officer and Designated Director' tab, the module will get highlighted & below screen will appear:

The screenshot shows a web application interface for the 'Principal officer and Designated Director details' tab. At the top, there are input fields for 'Start Date', 'End Date', and 'As On Date', followed by a 'Save' button. Below this is a note: '(Please save this information before proceeding to fill below details.)'. The sidebar on the left contains links for 'Annual Accounts', 'Networth', 'Director Details', 'ShareHolding Details', 'Other Stock Exchange', 'Listed In', 'Financial Details', 'Attach Scanned Copies', 'Principal officer and Designated Director details' (highlighted), and 'Submit to Exchange'. The main content area displays a note about SEBI circulars and a table for 'Principal officer and Designated Director details'. The table has columns for 'Designation', 'Name', 'Email', and 'Contact number'. There are 'ADD MORE' and 'REMOVE' buttons. Below the table is a 'Reason for non submission of details stated above' field and a 'Save' button. The footer shows 'NSE Copyright (c) 2014'.

- Principal Officer and Designated Director tab will have 4 fields viz. Designation, Name, Email and Contact Number. Under Designation field, member will have option to update the details of Designated directors and Principal Officer.
- Details as per SEBI circular SEBI/HO/MIRSD-SEC-5/P/CIR/2023/022 dated February 03, 2023 are to be provided.
- Incase member is not providing the above details, reason for non-submission of the details has to be provided.
- Click on 'Save' to save the details/reason for non submission.
- 'Save': This button will enable member to save the above details.
- 'Reset': This button will reset the entered details to the default values.

Note: When member will save the details in tab, then only the module's status will change to 'Entered'.

## K) Submit to Exchange tab

- 'Submit to exchange' tab will be the final step towards the submission of annual returns to the NSE.
- If member has not submitted data for any module, then in the status it will come as 'Not Entered'.
- A table with module name & its respective status will be displayed here if entered or not. By clicking on the respective module's link, member will get redirected to the particular module to fill the details.
- Once all the details are filled and submitted, then all modules' status will be displayed as 'Entered'.

## Annual Returns - Submission To Exchange

| View Details                                      | Status  |
|---|---------|
| Annual Accounts                                   | Entered |
| Networth  | Entered |
| Director Details                                  | Entered |
| ShareHolding Details                              | Entered |
| Other Stock Exchange                              | Entered |
| Listed In   | Entered |
| Financial Details                                 | Entered |
| Principal officer and Designated Director details | Entered |
| Attach Scanned Copies                             | Entered |

- A declaration with the data fetched from the data entered and saved will be filled in the declaration. Members are advised to read the declaration before clicking on 'I Agree':

To,  
National Stock Exchange of India Ltd.

I/We Mr./Ms./M/s. hereby state that is associated with us as the Statutory Auditor from

With regards to SEBI circular SEBI/HO/MRSD/MRSD2/CIR/P/2016/95 dated September 26, 2016 pertaining to Enhanced Supervision of Stock Brokers/ Depository Participants, I/We hereby declare that, I/We did not :

1. Appoint an Individual as statutory auditor for more than one term of five consecutive years
2. Appoint an Audit Firm as statutory auditor for more than two terms of five consecutive years

I/We, also confirm that an Individual statutory auditor who has completed his term as mentioned above (1) has not been re-appointed as statutory auditor with us during the Financial Year 2024-2025.

Further I/We, also confirm that the statutory audit firm which has completed its term as mentioned above (2) has not been re-appointed as statutory auditor with us during the Financial Year 2024-2025.

I/We also further confirm that we have not appointed any statutory audit firm having a common partner or partners to the other audit firm whose tenure has expired immediately preceding the Financial Year.

I/we hereby confirm that there's no conflict of interest between the Statutory Auditor firm/any partner of the firm/any Director of the firm and the entity.

I/We Mr./Ms./M/s. hereby declare and confirm that all the details filled and documents provided are true and correct for the Financial Year 2024-2025.

Yours faithfully,  
For

☐ I Agree.

Name of the person whose signature is Affixed\*

Designation of the person whose signature is Affixed\*

Mobile / Phone Number\*

Email ID for further Communication\*

- The details of the person whose signature is affixed are to be duly mentioned. Click on 'Validate Date'. Post the validation of data, press 'Submit'. Once the data is successfully submitted a reference number will be generated on the screen:

Annual Returns

Member Name  Member Code  PAN of Trading Member/Clearing Member

Financial year  
Year Applicable\*

Start Date\*  End Date\*

☐ I Agree.

Name of the person whose signature is Affixed\*

Designation of the person whose signature is Affixed\*

Mobile / Phone Number\*

Email ID for further Communication\*

All Annual Submission Details have been submitted to NSEIL with Request Reference No:- Dated On 9/18/24 6:38:36 PM.000

(Please save this information before proceeding to fill below details.)

Annual Accounts (SUBMITTED)

Networth (SUBMITTED)

Director Details (SUBMITTED)

ShareHolding Details (SUBMITTED)

Other Stock Exchange (SUBMITTED)

Annual Returns - Submission To Exchange

| View Details         | Status    |
|----------------------|-----------|
| Annual Accounts      | SUBMITTED |
| Networth             | SUBMITTED |
| Director Details     | SUBMITTED |
| ShareHolding Details | SUBMITTED |



- Please note, in case if shortfall in Network is reported then a popup will appear. Mention the reasons for shortfall and upload supporting documents, if any.

**NSE** Member Code : Member Name : **ENIT**  
 Compliance for Assets Auditor Compliance Trade Membership Utilities Member Education ENIT Migration Welcome

## Annual Returns

Member Name  
 Financial year  
 Financial year Applicable  
 Start Date

**Network shortfall - revised upload**

Shortfall reason :  
 Shortfall reason

Upload :  
 Choose File No file chosen

**Note:**

- Attachments only in .pdf/.jpeg/.jpg/.doc/.docx/.zip/.tiff/.7z/.rar are permitted.

(Please save this information before proceeding to fill below details.)

| Annual Accounts (Entered)      | <h3>Annual Returns - Submission To Exchange</h3> <table> <tr> <th>View Details</th> <th>Status</th> </tr> <tr> <td>Annual Accounts</td> <td>Entered</td> </tr> <tr> <td>Network</td> <td>Entered</td> </tr> </table> | View Details | Status | Annual Accounts | Entered | Network | Entered |
|--------------------------------|--|--------------|--------|-----------------|---------|---------|---------|
| View Details                   |  | Status       |        |                 |         |         |         |
| Annual Accounts                |  | Entered      |        |                 |         |         |         |
| Network                        |  | Entered      |        |                 |         |         |         |
| Network (NOT APPROVED)         |  |              |        |                 |         |         |         |
| Proprietor Details (Entered)   |  |              |        |                 |         |         |         |
| Other Stock Exchange (Entered) |  |              |        |                 |         |         |         |

## 5. Submission of Annual returns – Banks

On click of Annual Submission menu, below default page will be displayed:

[A] The Main fields consists of following fields & buttons:

- **‘Member Name & Member Code’**: These are auto populated & disabled fields.
- **‘PAN of Trading Member’** is an auto populated & disabled field. It will auto fetch the PAN Card No. existing in the current system for the logged in member.
- **‘Financial Year’** consists of Financial Year and Calendar Year as drop-down menu. Select Applicable Year (Financial Year or Calendar Year) from the drop-down menu, for the period for which submission is to be done. ‘Start Date, End Date, As on Date’ will be auto populated once the financial year/calendar year is selected.

Click on ‘Save’, to save the year selection.

- ‘Save’ will save the entered details

## [B] Annual Accounts tab

When member clicks on ‘Annual Accounts’ tab, the module will get highlighted & below screen will appear:

‘Annual Accounts’ tab consists of below fields & buttons and all below fields are required to be filled mandatorily

- Name of Statutory Auditor's Firm
- Membership No. of Certifying Partner
- Name of Certifying Partner
- Registration number of Statutory Auditor Firm
- Mobile number of Certifying Partner
- Email address of Certifying Partner
- Format in which Annual Accounts to be submitted : Revised Schedule VI
- Date of appointment of Statutory Auditor
- UDIN of Certificate : UDIN mentioned in the Auditor’s report to be mandatorily filled here
- PAN of Statutory Auditor’s firm
- PAN of Statutory Auditor signing the balance sheet
- Is there a change in Statutory Auditor: Yes/No
- If yes is selected, then reason for change will be available in drop down for selecting the reason for change in Statutory Auditor. If reason selected is “Resignation of Statutory Auditor” or “Others”, then reason for such resignation/change needs to be mentioned in ‘Mention reason’ tab.

**Annual Accounts**

|   |   |   |   |
|---|---|---|---|
| Name of Statutory Auditor's Firm *  | <input type="text"/>                                      | Membership No. of Certifying Partner *              | <input type="text"/>                              |
| Name of the Certifying Partner *  | <input type="text"/>                                      | Registration number of the Statutory Auditor Firm * | <input type="text"/>                              |
| Mobile Number of the Certifying Partner*  | <input type="text"/>                                      | E-mail address of the Certifying Partner*           | <input type="text"/>                              |
| Format in which Annual Accounts to be Submitted *   | Revised Schedule VI Format ▼                              | Date of appointment of statutory auditor*           | <input type="text"/>                              |
| UDIN of Certifi   | <input type="text"/>                                      | PAN of Statutory Auditor's firm*                    | <input type="text"/>                              |
| PAN of Statutory Auditor*   | <input type="text"/>                                      |   |   |
| Is there change in Statutory Auditor? * @YES <input type="radio"/> NO <input type="radio"/> |   |   |   |
| Reason for change of statutory auditor *  | Others ▼  | Mention Reason *                                    | Reason for change in Auditor to be mentioned here |
| Format of Financial Statements*   | Select ▼  | Download XBRL Utility                               |   |
| Upload XBRL (.xml)*   | <input type="button" value="Choose File"/> No file chosen |   |   |
| Upload PDF Generated from XBRL Utility (.pdf)*  | <input type="button" value="Choose File"/> No file chosen |   |   |

**Annual Accounts**

|   |   |   |  |
|---|---|---|--|
| Name of Statutory Auditor's Firm *  | <input type="text"/>                                      | Membership No. of Certifying Partner *              | <input type="text"/>                                 |
| Name of the Certifying Partner *  | <input type="text"/>                                      | Registration number of the Statutory Auditor Firm * | <input type="text"/>                                 |
| Mobile Number of the Certifying Partner*  | <input type="text"/>                                      | E-mail address of the Certifying Partner*           | <input type="text"/>                                 |
| Format in which Annual Accounts to be Submitted *   | Revised Schedule VI Format ▼                              | Date of appointment of statutory auditor*           | <input type="text"/>                                 |
| UDIN of Certificate*  | <input type="text"/>                                      | PAN of Statutory Auditor's firm*                    | <input type="text"/>                                 |
| PAN of Statutory Auditor*   | <input type="text"/>                                      |   |  |
| Is there change in Statutory Auditor? * @YES <input type="radio"/> NO <input type="radio"/> |   |   |  |
| Reason for change of statutory auditor *  | Resignation Of Statutory Auditor ▼                        | Mention Reason *                                    | Reason to for change in auditor to be mentioned here |
| Format of Financial Statements*   | Select ▼  | Download XBRL Utility                               |  |
| Upload XBRL (.xml)*   | <input type="button" value="Choose File"/> No file chosen |   |  |
| Upload PDF Generated from XBRL Utility (.pdf)*  | <input type="button" value="Choose File"/> No file chosen |   |  |

- Select format of Financial Statement (IGAAP, IndAS, NBFC, as applicable)
- Download XBRL Utility and save in local computer. XBRL utility is also available on website of the Exchange and the path is “Resources > Forms and Formats > Click here for check form & formats > XBRL offline utility from Annual Returns”.

### Filling of XBRL Utilities:

- Downloaded utilities are to be filled as per the financials.
- Enter all applicable details in XBRL utility, enter “0” in fields which are not applicable and Validate each sheet. Rectify error, if any.
- Type of XBRL utility filled should be same as ‘Format of Financial Statements’ selected in the tab. For example, if IGAAP is selected as the format, the corresponding XBRL utility must also be IGAAP. Further, the financial year (Calendar year/Financial year, applicable) selected should be same in XBRL utility.
- After completion of entering data in all sheets, click on General Info Tab - Home button in utility > click on validate all sheets.

- Once all sheets are validated successfully, generate XBRL file (.xml) and save in local computer.
- Click on General Info Tab - Home button in utility > click on Generate Report. Html file will get generated. Save html file in local computer.
- Open Html file and save it in PDF format. To save in PDF format click on print button and save file as PDF.
- Upload the XBRL (.xml) - Browse and upload xml file generated through XBRL utility.  
While uploading the document, kindly ensure:
  - ✓ Only XML file to be uploaded
  - ✓ File name should be the member code
  - ✓ Year of financials (Calendar Year/ Financial Year, as applicable) should be same as mentioned in the main field.
  - ✓ Format of Financial Statement (IGAAP/IndAs/NBFC) mentioned while filling the utility should be same as mentioned in the “Annual Accounts” tab.
  - ✓ Absolute numbers to be entered
- Upload PDF (.pdf) –Upload PDF file converted from Html file in Attachment module. The file name should be the member code.
- Directors/ Partners of CA Firm: Details of all the Directors/partners of the statutory auditor firm are to be added in the field. Incase if the statutory auditor is a sole proprietor/individual, details of such individual are to be added. Entries for Directors/Partners can be added/removed as per no. of directors/partners of the CA firm.
- ‘Save’: This button will enable member to save the above details.
- ‘Reset’: This button will reset the entered details to the default values.

Note: When member will save the details in tab, then only the module’s status will be changed to ‘Entered’ in Annual Accounts tab.

### [C] Annual Network

When member clicks on ‘Network’ tab, the module will get highlighted & below screen will appear:

‘**Networth**’ tab consists of below fields & buttons:

- Name of CA Firm : name of CA certifying the network to be filled mandatorily
- Membership No of certifying CA : detail of CA certifying the network to be filled mandatorily
- ‘Method of computation of network: It will be an auto selected field i.e. RBI Method.
- UDIN of the certificate: UDIN mentioned in the network certificate to be mentioned mandatorily

- PAN of CA/CA Firm: PAN of CA to be mentioned if network certificate is certified by an individual/sole proprietor. PAN of CA firm to be mentioned if network certificate is certified by the CA of a firm/corporate.
- Date of appointment of certifying entity
- RBI Amount
- Variable network amount
- Check Box to be ticked for certifying that network computation is based on standalone basis.
- Directors/Partners of CA Firm Details: Details of all the Directors/partners of CA firm certifying the network are to be added in the field. Incase if the Network certificate is certified by sole proprietor/individual, details of such individual are to be added.
- ‘Save’: This button will enable member to save the above details.

Note: When member will save the details in tab, then only the module’s status will change to ‘Entered’.

#### [D] Attach Scanned Copies tab

- Under the Attach Scanned Copies Tab only PDFs are to be uploaded as per the given guidelines.
- The below format to be followed for naming the files:

| Sr. No. | Document  | File Name                          |
|---------|---|------------------------------------|
| 1.      | Audited Balance Sheet                                 | XXXXXXAuditedBalanceSheet31MarYYYY |
| 2.      | Profit & Loss Account                                 | XXXXXXPLAccount31MarYYYY           |
| 3.      | Schedule & Notes to Account                           | XXXXXXScheduleNotesAcc31MarYYYY    |
| 4.      | Auditor’s Report                                      | XXXXXXAuditorsReport31MarYYYY      |
| 5.      | Directors Report                                      | XXXXXXDirectorsReport31MarYYYY     |
| 6.      | Networth (alongwith computation duly certified by CA) | XXXXXXNetworth31MarYYYY            |

XXXXXX represents member code

YYYY represents as on date’s year

- Once all files are uploaded, click on “Upload Documents”.
- Once documents are uploaded, below screen will appear:

**Annual Returns**

Member Name: [Text Field] Member Code: [Text Field] PAN of Trading Member/Clearing Member: [Text Field]

Financial year: [Dropdown Menu]

Start Date: [Text Field] End Date: [Text Field] As On Date: [Text Field]

**Save**

(Please save this information before proceeding to fill below details.)

Annual Accounts (Entered) **Attach Scanned Copies**

Attach scanned: [Image Placeholder]

Scanned Copies Uploaded Successfully, kindly click on Submit to Exchange for Digital Signature Process.

Note: When member will save the details in tab, then only the module's status will change to 'Entered'

### [E] Principal officer and Designated Director details tab

When member clicks on 'Principal Officer and Designated Director' tab, the module will get highlighted & below screen will appear:

Annual Accounts (Not Entered)

Annual Networth (Not Entered)

Attach Scanned Copies (Not Entered)

Principal officer and Designated Director details (Not Entered)

Submit to Exchange

**Note**

This is with reference to the SEBI circular No. SEBI/HO/MIRSD-SEC-5/P/CIR/2023/022 dated February 03, 2023 regarding appointment of Principal Officer and Designated Director for ensuring compliance with provisions of Prevention of Money Laundering Act, 2002 and intimation of these details to the Office of the Director, FIU-IND. Further, the definition of Principal Officer can be referred to in SEBI Circular SEBI/HO/MIRSD-SEC-6/2019/0170 dated October 13, 2023 regarding Amendment to the Guidelines on Anti-Money Laundering (AML) Standards and Combating the Financing of Terrorism (CFT) Obligations of Securities Market Intermediaries under the Prevention of Money Laundering Act, 2002 and Rules framed there under Provide Principal officer and Designated director details which are appointed as per provisions of the Prevention of Money Laundering Act, 2002 and Rules framed there under

**Principal officer and Designated Director details**

| Designation         | Name | Email | Contact number |
|---------------------|------|-------|----------------|
| Designated Director |      |       |                |

ADD MORE

Reason for non submission of details stated above

Save

- Principal Officer and Designated Director tab will have 4 fields viz. Designation, Name, Email and Contact Number. Under Designation field, member will have option to update the details of Designated directors and Principal Officer.
- Details as per SEBI circular SEBI/HO/MIRSD-SEC-5/P/CIR/2023/022 dated February 03, 2023 are to be provided.
- Incase member is not providing the above details, reason for non-submission of the details has to be provided.
- Click on 'Save' to save the details/reason for non submission.
- 'Save': This button will enable member to save the above details.
- 'Reset': This button will reset the entered details to the default values.

Note: When member will save the details in tab, then only the module's status will change to 'Entered'.

### [F] Submit to Exchange tab

- 'Submit to exchange' tab will be the final step towards the submission of annual returns to the NSE.
- If member has not submitted data for any module, then in the status it will come as 'Not Entered'.
- A table with module name & its respective status will be displayed here if entered or not. By clicking on the respective module's link, member will get redirected to the particular module to fill the details.
- Once all the details are filled and submitted, then all modules' status will be displayed as 'Entered'.
- A declaration with the data fetched from the data entered and saved will be filled in the declaration. Members are advised to read the declaration before clicking on 'I Agree':

To,  
National Stock Exchange of India Ltd.

I/We Mr./Ms./M/s. hereby state that is associated with us as the Statutory Auditor from

With regards to SEBI circular SEBI/HO/MRSD/MRSD2/CIR/P/2016/95 dated September 26, 2016 pertaining to Enhanced Supervision of Stock Brokers/ Depository Participants, I/We hereby declare that, I/We did not :

1. Appoint an Individual as statutory auditor for more than one term of five consecutive years
2. Appoint an Audit Firm as statutory auditor for more than two terms of five consecutive years

I/We, also confirm that an Individual statutory auditor who has completed his term as mentioned above (1) has not been re-appointed as statutory auditor with us during the Financial Year 2024-2025.

Further I/We, also confirm that the statutory audit firm which has completed its term as mentioned above (2) has not been re-appointed as statutory auditor with us during the Financial Year 2024-2025.

I/We also further confirm that we have not appointed any statutory audit firm having a common partner or partners to the other audit firm whose tenure has expired immediately preceding the Financial Year.

I/we hereby confirm that there's no conflict of interest between the Statutory Auditor firm/any partner of the firm/any Director of the firm and the entity.

I/We Mr./Ms./M/s. hereby declare and confirm that all the details filled and documents provided are true and correct for the Financial Year 2024-2025.

Yours faithfully,  
For

☐ I Agree.

Name of the person whose signature is Affixed\*

Designation of the person whose signature is Affixed\*

Mobile / Phone Number\*

Email ID for further Communication\*

- The details of the person whose signature is affixed are to be duly mentioned. Click on ‘Validate Date’. Post the validation of data, press ‘Submit’. Once the data is successfully submitted a reference number will be generated on the screen:

All Annual Submission Details have been submitted to NSE, with Request Reference Dated On

(Please save this information before proceeding to fill below details.)

### Annual Returns - Submission To Exchange

| View Details    | Status    |
|-----------------|-----------|
| Annual Accounts | SUBMITTED |



## 6. Submission of Annual returns – Firm

On click of Annual Submission menu, below default page will be displayed:

The screenshot displays the NSE Annual Returns submission interface. At the top, the NSE logo and navigation tabs (Compliance for Assets Auditor, Compliance, Trade, Membership, Utilities, Member Education, ENT Migration) are visible. The main heading is 'Annual Returns'. The form includes fields for Member Name, Member Code, PAN of Trading Member/Clearing Member, Financial year (Year Applicable), Start Date, End Date, and As On Date. A 'Save' button is located below the form. A message states: '(Please save this information before proceeding to fill below details.)'. Below the form, there are two sections: 'Annual Accounts' and 'Annual Accounts', each with a list of fields to be filled.

[A] The Main fields consists of following fields & buttons:

- **‘Member Name & Member Code’**: These are auto populated & disabled fields.
- **‘PAN of Trading Member’** is an auto populated & disabled field. It will auto fetch the PAN Card No existing in the current system for the logged in member.
- **‘Financial Year’** consists of Financial Year and Calendar Year as drop-down menu. Select Applicable Year (Financial Year or Calendar Year) from the drop-down menu, for the period for which submission is to be done. ‘Start Date, End Date, As on Date’ will be auto populated once the financial year/calendar year is selected.

This screenshot shows the same NSE Annual Returns submission page, but with the 'Financial year' dropdown menu open. The dropdown menu displays the following options: 'Financial year', 'Select', 'Financial year', and 'Calendar year'. The 'Save' button is visible below the form.

Click on ‘Save’, to save the year selection.

The screenshot shows the NSE Annual Returns portal. At the top, there's a header with the NSE logo and navigation tabs: Compliance for Assets Auditor, Compliance, Trade, Membership, Utilities, Member Education, and ENT Migration. Below the header, the 'Annual Returns' section is active. A modal window in the center displays a green checkmark and the text 'Saved successfully.' with 'Ok' and 'Save' buttons. The background form has fields for Member Name, Member Code, PAN of Trading Member/Clearing Member, Financial Year, Start Date, and End Date. Below this, the 'Annual Accounts' tab is highlighted in red, showing a list of sub-tabs: Network, Partner Details, Other Stock Exchange, Financial Details, and Attach Scanned Copies. The main form area for 'Annual Accounts' contains fields for Name of Statutory Auditor's Firm, Membership No. of Certifying Partner, Name of the Certifying Partner, Registration number of the Statutory Auditor Firm, Mobile Number of the Certifying Partner, E-mail address of the Certifying Partner, Format in which Annual Accounts to be Submitted (Revised Schedule VI Format), Date of appointment of statutory auditor, UDIN of Certificate, and PAN of Statutory Auditor.

- **Save** will save the entered details

### [B] Annual Accounts tab:

When member clicks on 'Annual Accounts' tab, the module will get highlighted & below screen will appear:

This screenshot provides a detailed view of the 'Annual Accounts' tab. On the left, a sidebar lists various sections: Annual Accounts (Not Entered), Network (Not Entered), Partner Details (Not Entered), Other Stock Exchange (Not Entered), Financial Details (Not Entered), Attach Scanned Copies (Not Entered), Principal officer and Designated Director details (Not Entered), and Submit to Exchange. The main content area is titled 'Annual Accounts' and contains several sections. The first section includes fields for Name of Statutory Auditor's Firm, Membership No. of Certifying Partner, Name of the Certifying Partner, Registration number of the Statutory Auditor Firm, Mobile Number of the Certifying Partner, E-mail address of the Certifying Partner, Date of appointment of statutory auditor, UDIN of Certificate, and PAN of Statutory Auditor. Below these is a section for 'Is there change in Statutory Auditor?' with radio buttons for YES and NO. The next section is 'Format of Financial Statements' with a dropdown menu. Following this are two file upload sections: 'Upload XBRL (.xml)' and 'Upload PDF Generated from XBRL Utility (.pdf)', each with a 'Choose File' button. The final section is 'Director/Partner of CA Firm Details', which includes fields for Name of Director/partner of CA firm and PAN of Director/partner of CA firm. At the bottom right, there are 'Save' and 'Reset' buttons, and an 'Add More' button.

**'Annual Accounts'** tab consists of below fields & buttons and all below fields are required to be filled mandatorily

- Name of Statutory Auditor's Firm
- Membership No. of Certifying Partner
- Name of Certifying Partner
- Registration number of Statutory Auditor Firm
- Mobile number of Certifying Partner
- Email address of Certifying Partner
- Format in which Annual Accounts to be submitted : Revised Schedule VI
- Date of appointment of Statutory Auditor
- UDIN of Certificate : UDIN mentioned in the Auditor's report to be mandatorily filled here
- PAN of Statutory Auditor's firm
- PAN of Statutory Auditor signing the balance sheet
- Is there a change in Statutory Auditor: Yes/No
- If yes is selected, then reason for change will be available in drop down for selecting the reason for

change in Statutory Auditor. If reason selected is “Resignation of Statutory Auditor” or “Others”, then reason for such resignation/change needs to be mentioned in ‘Mention reason’ tab.

The image displays two screenshots of the 'Annual Accounts' form, illustrating the process of selecting a reason for a change in the statutory auditor.

**Top Screenshot:** The 'Reason for change of statutory auditor' dropdown is set to 'Others'. The 'Mention Reason' tab is active, showing a text area for providing details. An arrow points to the text area with the label 'Reason for change in Auditor to be mentioned here'.

**Bottom Screenshot:** The 'Reason for change of statutory auditor' dropdown is set to 'Resignation Of Statutory Auditor'. The 'Mention Reason' tab is active, showing a text area for providing details. An arrow points to the text area with the label 'Reason to for change in auditor to be mentioned here'.

- Select format of Financial Statement (IGAAP, IndAS, NBFC, as applicable)
- Download XBRL Utility and save in local computer. XBRL utility is also available on website of the Exchange and the path is “Resources > Forms and Formats > Click here for check form & formats > XBRL offline utility from Annual Returns”.

### Filling of XBRL Utilities:

- Downloaded utilities are to be filled as per the financials.
- Enter all applicable details in XBRL utility, enter “0” in fields which are not applicable and Validate each sheet. Rectify error, if any.
- Type of XBRL utility filled should be same as ‘Format of Financial Statements’ selected in the tab. For example, if IGAAP is selected as the format, the corresponding XBRL utility must also be IGAAP. Further, the financial year (Calendar year/Financial year, applicable) selected should be same in XBRL utility.
- After completion of entering data in all sheets, click on General Info tab – “Home” button in utility > click on validate all sheets.
- Once all sheets are validated successfully, generate XBRL file (.xml) and save in local computer.
- Click on General Info tab – “Home” button in utility > click on Generate Report. Html file will get generated. Save html file in local computer.

- Open Html file and save it in PDF format. To save in PDF format click on print button and save file as PDF.
- Upload the XBRL (.xml) - Browse and upload xml file generated through XBRL utility. While uploading the document, kindly ensure:
  - ✓ Only XML file to be uploaded
  - ✓ File name should be the member code
  - ✓ Year of financials (Calendar Year/ Financial Year, as applicable) should be same as mentioned in the main field.
  - ✓ Format of Financial Statement (IGAAP/IndAs/NBFC) mentioned while filling the utility should be same as mentioned in the “Annual Accounts” tab.
  - ✓ Absolute numbers to be entered
- Upload PDF (.pdf) –Upload PDF file converted from Html file in Attachment module. The file name should be the member code.
- Directors/ Partners of CA Firm: Details of all the Directors/partners of the statutory auditor firm are to be added in the field. Incase if the statutory auditor is a sole proprietor/individual, details of such individual are to be added. Entries for Directors/Partners can be added/removed as per no. of directors/partners of the CA firm.
- ‘Save’: This button will enable member to save the above details.
- ‘Reset’: This button will reset the entered details to the default values.

Note: When member will save the details in tab, then only the module’s status will be changed to ‘Entered’ in Annual Accounts tab.

#### [C] Network Tab :

When member clicks on ‘Network’ tab, the module will get highlighted & below screen will appear:

‘Network’ tab consists of below fields & buttons:

- Name of CA Firm : name of CA certifying the network to be filled mandatorily
- Membership No of certifying CA : detail of CA certifying the network to be filled mandatorily
- ‘Method of computation of network: It will be an auto selected field i.e. Schedule VI of SEBI (Stock Broker) Regulations, 1992.
- UDIN of the certificate UDIN mentioned in the network certificate to be mentioned mandatorily
- PAN of CA/CA Firm : PAN of CA to be mentioned if network certificate is certified by an individual/sole proprietor. PAN of CA firm to be mentioned if network certificate is certified by the CA of a firm/corporate.

- Check box to be ticked for certifying that network computation is based on standalone basis.
- Director/Partner of CA Firm Details: Details of all the Directors/partners of CA firm certifying the network are to be added in the field. Incase if the Network certificate is certified by sole proprietor/individual, details of such individual are to be added.

Once the details are filled, click on ‘Compute Network’. Below screen will appear and network details are to be added. Kindly mention numbers in absolute value.

Schedule VI of SEBI (Stock Brokers) Regulations, 1992 latest Circular No. 10 (Ref. NSE/COMP/51578 dated March 09, 2022)

| Particulars                 | Amount(Rs. in absolute figure) | Particulars  | Amount(Rs. in absolute figure) |
|-----------------------------|--------------------------------|--|--------------------------------|
| Capital + Free Reserves     |                                | Non-allowable assets viz.  |                                |
| Capital*                    | 0.00                           | Fixed Assets*  | 0.00                           |
| Free Reserves*              | 0.00                           | Pledged Securities*  | 0.00                           |
|                             |                                | Member's Card*   | 0.00                           |
|                             |                                | Non-allowable securities (unlisted securities)*                      | 0.00                           |
|                             |                                | Bad deliveries*  | 0.00                           |
|                             |                                | Any Debts and Advances (except trade debtors of less than 3 months)* | 0.00                           |
|                             |                                | Prepaid expenses, losses*  | 0.00                           |
|                             |                                | Intangible Assets*   | 0.00                           |
|                             |                                | Marketable securities*   | 0.00                           |
|                             |                                | 30% of Marketable securities   | 0.00                           |
| Capital + Free Reserves (A) | 0.00                           | Total (non-allowable assets viz) (B)                                 | 0.00                           |
|                             |                                | Networth (A-B)   | 0.00                           |
|                             |                                | Variable Networth*   | 0.00                           |
|                             |                                | <b>SAVE</b> <b>RESET</b>   |                                |

The auto-calculated amount fields, will calculate & show the amounts as per the calculations.

- ‘Save’: This button will enable member to save the above details.
- ‘Reset’: This button will reset the entered details to the default values.

Note: When member will save the details in tab, then only the module’s status will change to ‘Entered’.

## [D] Partner Details Tab

When member clicks on ‘Partner Details’ tab, the module will get highlighted & below screen will appear:

|   |                 |
|---|-----------------|
| Annual Accounts (Not Entered)                                   | Partner Details |
| Networth (Not Entered)  |                 |
| <b>Partner Details (Not Entered)</b>                            |                 |
| Other Stock Exchange (Not Entered)                              |                 |
| Financial Details (Not Entered)                                 |                 |
| Attach Scanned Copies (Not Entered)                             |                 |
| Principal officer and Designated Director details (Not Entered) |                 |
| Submit to Exchange  |                 |

Partner Details

Name of certifying Firm\*  Membership No. of the Certifying Person\*

**Save** **Reset**

| Edit | Delete | Directorship/Controlling | Partner Name *       | Partner Type         | Is Designated Partner    | Profit %             | Loss %               | Experience           | Age                  | Mobile No            | Email Id             |
|------|--------|--------------------------|----------------------|----------------------|--------------------------|----------------------|----------------------|----------------------|----------------------|----------------------|----------------------|
|      |        |                          | <input type="text"/> | <input type="text"/> | <input type="checkbox"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |

Page 1 of 0

Details of Partners appearing in the Screen should match with the last approval given by the Exchange  
**‘Partner Details’** tab consists of below two options:

- No change : to be selected when there’s no change in the existing partners. However, basic details of the existing partners like address, phone no., email id, etc can be modified through this option.
- Change : to be selected when there’s change in existing partners.

Fields when **‘No change’** is selected:

- Name of certifying firm : name of person certifying C-10 to be added
- Membership no. of the certifying person : membership number person certifying C-10 to be added
- Do you want to change some basic details of existing partners : Yes/No
- If yes is selected, then certain basic details like address, email id, qualification, contact no., mobile no. etc are editable. However, other details like Name, designated partner – yes/no, PAN, Date of Birth, age and father’s name are non-editable.
- If No is selected, then member will not be able to edit any of the details.
- Document C-10 (format available in Annexure C) to be added under ‘Attach Scanned Copies’ tab when ‘No Change’ is selected.

When no change is selected

Annual Account (Entered)

Networth (Entered)

**Partner Details (Entered)**

☒ No Change (C-10) ☐ Change (C-3 / C-4)

Other Stock Exchange (Entered)

Financial Details (Entered)

Attach Scanned Copies (Entered)

Principal officer and Designated Director details (Entered)

Submit to Exchange

**Partner Details**

Name of certifying Firm\*

Membership No. of the Certifying Person\*

Do you want to change some basic details of Partners? ☒ YES ☐ NO

Save Reset

Yes to be selected in basic details of existing partners are to be changed

| Edit | Delete | Directorships/ Controlling | Partner Name         | Partner Type         | Is Designated Partner | Profit %             | Loss %               | Experience           | Age                  | Mobile No            | Email Id             |
|------|--------|----------------------------|----------------------|----------------------|-----------------------|----------------------|----------------------|----------------------|----------------------|----------------------|----------------------|
|      |        |                            | <input type="text"/> | <input type="text"/> | <input type="text"/>  | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| 1    |        |                            |                      |                      |                       |                      |                      |                      |                      |                      |                      |
| 2    |        |                            |                      |                      |                       |                      |                      |                      |                      |                      |                      |

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Fields when **‘Change’** is selected:

- When member selects the ‘Change’ option and confirms by clicking on ‘Ok’, then member will not be able to modify the selection from ‘Change’ to ‘No Change’.
- When member selects ‘Cancel’ from the alert, then member will still be at ‘No Change’ option.
- Name of certifying firm : name of person certifying C-3 to be added
- Membership no. of the certifying person : membership number of person certifying C-3 to be added
- The member has to submit these details first otherwise it will give an error alert on adding new entry.
- Addition and/or deletion of partners can be done under this tab.

- ‘Save’: This button will enable member to save the above details.
- ‘Reset’: This button will reset the entered details to the default values.

While adding the Partners’ details, kindly ensure:

- ✓ If ‘Mrs.’ is selected from the title, ‘Husband Name’ field will get enabled & it will be a mandatory field.
- ✓ Each of the Designated Partner should at least be HSC or of equivalent qualification
- ✓ The designated partner must have minimum 2 years of experience pertaining to securities market.
- ✓ The years of experience must be less than the age selected, otherwise it will show an error.
- ✓ Experience cannot be 0

Note: When member will save the details in tab, then only the module’s status will change to ‘Entered’.

## [E] Other Stock Exchange

When member clicks on ‘Other Stock Exchange’ tab, the module will get highlighted & below screen will appear:

‘Other Stock Exchange’ tab consists of below two options:

- No change: to be selected when there’s no change in the membership of the member in other Stock Exchanges.
- Change : to be selected when there’s change in the membership of the member in other Stock Exchanges.

Fields when ‘No change’ is selected:

The previously entered details of member will be displayed on screen. Incase, no change is selected, the portal will not allow to make any changes to the existing data saved for Membership on Other Stock Exchanges. Incase of ‘No Change’ C-10 to be attached under the head ‘Attach Scanned Copies’

Fields when 'Change' is selected:

- When member selects the 'Change' option and confirms by clicking on 'Ok', then member will not be able to modify the selection from 'Change' to 'No Change'.
- When member selects 'Cancel' from the alert, then member will still be at 'No Change' option.

- When member selects 'Yes' radio button for 'Are you a member of other Stock Exchange' & click on the Submit button, member will be able to add new entries, update, delete / search for the existing entries etc.
- Please note that once 'Change' is selected, C-2 to be attached at the time of 'Attach Scanned Copies'.
- When member clicks on the 'Add' button, below pop up window will get open-

- When add is clicked, below details are to be added:
  - Name of Stock Exchange
  - Registration Date
  - Name of Trading Member/Holding Co/Subsidiary Co/Sister Co/Promoters/Directors/Partners



- Relation (relation be mentioned as per note given in the screen)
- Membership No. of that Exchange
- “Save”: This button will enable member to save the above details.
- ‘Reset’: This button will reset the entered details to the default values.

Note: When member will save the details in tab, then only the module’s status will change to ‘Entered’

#### [F] Financial Details :

When member clicks on ‘Financial Details’ tab, the module will get highlighted & below screen will appear:

- Annual Financial Details tab has 7 fields. These fields will accept only numeric & two decimal values. They will accept zero & negative values, if applicable. Kindly mention numbers in absolute values only.
- ‘Save’: This button will enable member to save the above details.
- ‘Reset’: This button will reset the entered details to the default values.

Note: When member will save the details in tab, then only the module’s status will change to ‘Entered’.

#### [G] Attach Scanned Copies tab

- Under the Attach Scanned Copies Tab only PDFs are to be uploaded as per the given guidelines.
- The below format to be followed for naming the files:

| Sr. No. | Document   | File Name                                 |
|---------|--|---|
| 1.      | Audited Balance Sheet  | XXXXXXAuditedBalanceSheet31MarYYYY        |
| 2.      | Profit & Loss Account  | XXXXXXPLAccount31MarYYYY                  |
| 3.      | Schedule & Notes to Account  | XXXXXXScheduleNotesAcc31MarYYYY           |
| 4.      | Auditor’s Report   | XXXXXXAuditorsReport31MarYYYY             |
| 5.      | Networth (alongwith computation duly certified by CA)  | XXXXXXNetworth31MarYYYY                   |
| 6.      | Details of Proprietor/ Partner/ Directors (Copy of C-3/C-10 duly certified by CA/CS to be attached).<br><b>Note:</b> | XXXXXCZProprietorPartnerDirector31MarYYYY |

|    |   |                                |
|----|---|--------------------------------|
|    | <p>c) incase No change is selected at the Director Details tab, then C-10 to be attached.</p> <p>d) incase Change is selected at the Director Details tab, then C- 3 to be attached.</p>  |                                |
| 7. | <p>Membership on Other Stock Exchanges (Copy of C-2/C-10 duly certified by CA/CS to be attached)</p> <p><b>Note:</b></p> <p>c) incase No change is selected at the Other Stock Exchange tab, then C-10 to be attached.</p> <p>d) incase Change is selected at the Other Stock Exchange tab, then C- 2 to be attached.</p> | XXXXXXCZMembershipOSE31MarYYYY |

XXXXXX represents member code

YYYY represents as on date's year

Z represents the numeric value as per the file name i.e., 3 incase of C-3.

- Once all files are uploaded, click on “Upload Documents”.
- Once documents are uploaded, below screen will appear:

|   |   |
|---|---|
| Annual Accounts (Entered)                                   | <p><b>Attach Scanned Copies</b></p> <hr/> <p><b>*Note:C-10 to be scanned and uploaded wherever no change selected for documents from C-2 to C-8.</b></p> <p>Scanned Copies Uploaded Successfully, kindly click on Submit to Exchange for Digital Signature Process.</p> |
| Networth (Entered)  |   |
| Partner Details (Entered)                                   |   |
| Other Stock Exchange (Entered)                              |   |
| Financial Details (Entered)                                 |   |
| <b>Attach Scanned Copies (Entered)</b>                      |   |
| Principal officer and Designated Director details (Entered) |   |

### [H] Principal officer and Designated Director details tab

When member clicks on ‘Principal Officer and Designated Director’ tab, the module will get highlighted & below screen will appear:

| Annual Accounts (Entered)  | <p><b>Note</b></p> <p>This is with reference to the SEBI circular No. SEBI/HO/MRSD/MRSD-SEC-5/P/CIR/2023/022 dated February 03, 2023 regarding appointment of Principal Officer and Designated Director for ensuring compliance with provisions of Prevention of Money Laundering Act, 2002 and Intimation of these details to the Office of the Director, FIU IND. Further, the definition of Principal Officer can be referred to in SEBI Circular SEBI/HO/MRSD/SEC-FATF/P/CIR/2023/0170 dated October 13, 2023 regarding Amendment to the Guidelines on Anti-Money Laundering (AML) Standards and Combating the Financing of Terrorism (CFT) Obligation of Securities Market Intermediaries under the Prevention of Money laundering Act, 2002 and Rules framed there under Provide Principal officer and Designated director details which are appointed as per provision of the Prevention of Money laundering Act, 2002 and Rules framed there under</p> <p><b>Principal officer and Designated Director details</b></p> <table border="1"> <thead> <tr> <th>Designation</th> <th>Name</th> <th>Email</th> <th>Contact number</th> <th></th> </tr> </thead> <tbody> <tr> <td></td> <td></td> <td></td> <td></td> <td>ADD MORE</td> </tr> <tr> <td>I</td> <td></td> <td></td> <td></td> <td>REMOVE</td> </tr> </tbody> </table> <p>Reason for non submission of details stated above</p> <p>...</p> <p><b>Save</b></p> | Designation | Name  | Email          | Contact number |  |  |  |  |  | ADD MORE | I |  |  |  | REMOVE |
|--|---|-------------|-------|----------------|----------------|--|--|--|--|--|----------|---|--|--|--|--------|
| Designation  |   | Name        | Email | Contact number |                |  |  |  |  |  |          |   |  |  |  |        |
|  |   |             |       |                | ADD MORE       |  |  |  |  |  |          |   |  |  |  |        |
| I  |   |             |       |                | REMOVE         |  |  |  |  |  |          |   |  |  |  |        |
| Networth (Entered)   |   |             |       |                |                |  |  |  |  |  |          |   |  |  |  |        |
| Partner Details (Entered)  |   |             |       |                |                |  |  |  |  |  |          |   |  |  |  |        |
| Other Stock Exchange (Entered)                                     |   |             |       |                |                |  |  |  |  |  |          |   |  |  |  |        |
| Financial Details (Entered)  |   |             |       |                |                |  |  |  |  |  |          |   |  |  |  |        |
| Attach Scanned Copies (Entered)                                    |   |             |       |                |                |  |  |  |  |  |          |   |  |  |  |        |
| <b>Principal officer and Designated Director details (Entered)</b> |   |             |       |                |                |  |  |  |  |  |          |   |  |  |  |        |
| Submit to Exchange   |   |             |       |                |                |  |  |  |  |  |          |   |  |  |  |        |
|  |   |             |       |                |                |  |  |  |  |  |          |   |  |  |  |        |
|  |   |             |       |                |                |  |  |  |  |  |          |   |  |  |  |        |

- Principal Officer and Designated Director tab will have 4 fields viz. Designation, Name, Email and Contact Number. Under Designation field, member will have option to update the details of Designated directors and Principal Officer.
- Details as per SEBI circular SEBI/HO/MIRSD-SEC-5/P/CIR/2023/022 dated February 03, 2023 are to be provided.
- Incase member is not providing the above details, reason for non-submission of the details has to be provided.
- Click on 'Save' to save the details/reason for non-submission.
- 'Save': This button will enable member to save the above details.
- 'Reset': This button will reset the entered details to the default values.

Note: When member will save the details in tab, then only the module's status will change to 'Entered'.

## [I] Submit to Exchange tab

- 'Submit to exchange' tab will be the final step towards the submission of annual returns to the NSE.
- If member has not submitted data for any module, then in the status it will come as 'Not Entered'.
- A table with module name & its respective status will be displayed here if entered or not. By clicking on the respective module's link, member will get redirected to the particular module to fill the details.
- Once all the details are filled and submitted, then all modules' status will be displayed as 'Entered'.

(Please save this information before proceeding to fill below details.)

| Annual Returns - Submission To Exchange                           |         |
|---|---------|
| View Details  | Status  |
| <a href="#">Annual Accounts</a>                                   | Entered |
| <a href="#">Networth</a>  | Entered |
| <a href="#">Partner Details</a>                                   | Entered |
| <a href="#">Other Stock Exchange</a>                              | Entered |
| <a href="#">Financial Details</a>                                 | Entered |
| <a href="#">Principal officer and Designated Director details</a> | Entered |
| <a href="#">Attach Scanned Copies</a>                             | Entered |

- A declaration with the data fetched from the data entered and saved will be filled in the declaration. Members are advised to read the declaration before clicking on 'I Agree':

National Stock Exchange of India Ltd.

I/We Mr./Ms./M/s. hereby state that is associated with us as the Statutory Auditor from

With regards to SEBI circular SEBI/HO/MIRSD2/CIR/P/2016/95 dated Septe ck Brokers/ Depository Participants,

I/We hereby declare that, I/We did not:

1. Appoint an Individual as statutory auditor for more than one term of five consecutive years
2. Appoint an Audit Firm as statutory auditor for more than two terms of five consecutive years

I/We, also confirm that an Individual statutory auditor who has completed his term as mentioned above (1) has not been re-appointed as statutory auditor with us during the Financial Year 2024-2025.

Further I/We, also confirm that the statutory audit firm which has completed its term as mentioned above (2) has not been re-appointed as statutory auditor with us during the Financial Year 2024-2025.

I/We also further confirm that we have not appointed any statutory audit firm having a common partner or partners to the other audit firm whose tenure has expired immediately preceding the Financial Year.

I/we hereby confirm that there's no conflict of interest between the Statutory Auditor firm/any partner of the firm/any Director of the firm and the entity.

I/We Mr./Ms./M/s. hereby declare and confirm that all the details filled and documents provided are true and correct for the Financial Year 2024-2025.

Yours faithfully,  
For

☐ I Agree.

Name of the person whose signature is Affixed\*

Designation of the person whose signature is Affixed\*

Mobile / Phone Number\*

Email ID for further Communication\*

- The details of the person whose signature is affixed are to be duly mentioned. Click on ‘Validate Data’. Post the validation of data, press ‘Submit’. Once the data is successfully submitted a reference number will be generated on the screen:

The screenshot shows the 'Annual Returns - Submission To Exchange' page. A modal window in the center displays a green checkmark and the message: 'All Annual Submission Details have been submitted to NSEIL & NCL with Request Reference No:- 3 On [date]'. Below the message is an 'Ok' button. The background form includes fields for Member Name, Member Code, Financial Year, Start Date, and End Date. On the left, a sidebar lists submission categories: Annual Accounts (SUBMITTED), Networth (SUBMITTED), Partner Details (SUBMITTED), Other Stock Exchange (SUBMITTED), and Financial Details (SUBMITTED). On the right, a table shows the status of these submissions, all marked as 'SUBMITTED'.

- Please note, in case if shortfall in Networth is reported then a popup will appear. Mention the reasons for shortfall and upload supporting documents, if any.

The screenshot shows the same 'Annual Returns - Submission To Exchange' page, but with a 'Networth shortfall - revised upload' modal window open. The modal contains a 'Shortfall reason' text area, an 'Upload' section with a 'Choose File' button (showing 'No file chosen'), and a 'Note' section stating: 'Attachments only in .pdf/.jpg/.png/.doc/.docx/.zip/.tiff/.7z/.rar are permitted.' Below the modal, a message says: '(Please save this information before proceeding to fill below details.)'. The background form shows the 'Networth' status as '(NOT APPROVED)'. The sidebar and submission status table are also visible, with the 'Networth' status now listed as 'Entered' in the table.

## 7. Submission of Annual returns – Individuals

On click of Annual Submission menu, below default page will be displayed:

Annual Returns

Member Name: [Text Field] Member Code: [Text Field] PAN of Trading Member/Clearing Member: [Text Field]

Financial year: [Dropdown Menu] Year Applicable: [Text Field]

Start Date: [Text Field] End Date: [Text Field] As On Date: [Text Field]

[Save]

(Please save this information before proceeding to fill below details.)

Annual Accounts (Not Entered) | **Annual Network**

Network (Not Entered)

Proprietor Details (Not Entered)

Other Stock Exchange (Not Entered)

Financial Details (Not Entered)

Attach Scanned Copies (Not Entered)

Principal officer and Designated Director details (Not Entered)

Submit to Exchange

Name of CA Firm: [Text Field] Membership No. of Certifying CA: [Text Field]

Method of Computation of Net Worth: [Dropdown Menu]

UDIN of the certificate: [Text Field] PAN of CA/CA firm: [Text Field]

☐ We certify that network computation is based on standalone basis

Director/Partner of CA Firm Details

Name of Director/partner of CA firm: [Text Field] PAN of Director/partner of CA firm: [Text Field] [ADD MORE]

[A] The Main fields consists of following fields & buttons:

- **‘Member Name & Member Code’**: These are auto populated & disabled fields.
- **‘PAN of Trading Member’** is an auto populated & disabled field. It will auto fetch the PAN Card No existing in the current system for the logged in member.
- **‘Financial Year’** consists of Financial Year and Calendar Year as drop-down menu. Select Applicable Year (Financial Year or Calendar Year) from the drop-down menu, for the period for which submission is to be done. ‘Start Date, End Date, As on Date’ will be auto populated once the financial year/calendar year is selected.

Click on ‘Save’, to save the year selection.

Member Code: [Text Field] Member Name: [Text Field] Test Digital Signature

Compliance for Agents Auditor - Compliance - Trade - Membership - Utilities - Member Education - EBT Migration - Welcome

Annual Returns

Member Name: [Text Field] Member Code: [Text Field] PAN of Trading Member/Clearing member: [Text Field]

Financial year: [Dropdown Menu] Year Applicable: [Text Field]

Start Date: [Text Field] End Date: [Text Field] On Date: [Text Field]

[Save]

[Saved successfully.] [Ok]

(Please save this information before proceeding to fill below details.)

- **‘Save’** will save the entered details

### [B] Annual Accounts tab:

When member clicks on ‘Annual Accounts’ tab, the module will get highlighted & below screen will appear:

| Annual Accounts                                   | (Not Entered) | Annual Accounts  |   |
|---|---------------|--|---|
| Networth  | (Not Entered) | Name of Statutory Auditor's Firm *   | Membership No. of Certifying Partner *              |
| Proprietor Details                                | (Not Entered) | Name of the Certifying Partner *   | Registration number of the Statutory Auditor Firm * |
| Other Stock Exchange                              | (Not Entered) | Mobile Number of the Certifying Partner *  | E-mail address of the Certifying Partner *          |
| Financial Details                                 | (Not Entered) | Format in which Annual Accounts to be Submitted *  | Date of appointment of statutory auditor *          |
| Attach Scanned Copies                             | (Not Entered) | UDIN of Certificate *  | PAN of Statutory Auditor's firm *                   |
| Principal officer and Designated Director details | (Not Entered) | PAN of Statutory Auditor *   |   |
| Submit to Exchange                                |               | Is there change in Statutory Auditor? * <input type="radio"/> YES <input type="radio"/> NO |   |
|   |               | Format of Financial Statements *   | Download XBRL Utility                               |
|   |               | Upload XBRL (.xml) *   | Choose File No file chosen                          |
|   |               | Upload PDF Generated from XBRL Utility (.pdf) *  | Choose File No file chosen                          |
| Director/Partner of CA Firm Details               |               |  |   |
|   |               | Name of Director/partner of CA firm *  | PAN of Director/partner of CA firm *                |
|   |               |  |   |

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‘Annual Accounts’ tab consists of below fields & buttons and all below fields are required to be filled mandatorily

- Name of Statutory Auditor's Firm
- Membership No. of Certifying Partner
- Name of Certifying Partner
- Registration number of Statutory Auditor Firm
- Mobile number of Certifying Partner
- Email address of Certifying Partner
- Format in which Annual Accounts to be submitted : Revised Schedule VI
- Date of appointment of Statutory Auditor
- UDIN of Certificate : UDIN mentioned in the Auditor’s report to be mandatorily filled here
- PAN of Statutory Auditor’s firm
- PAN of Statutory Auditor signing the balance sheet
- Is there a change in Statutory Auditor: Yes/No
- If yes is selected, then reason for change will be available in drop down for selecting the reason for change in Statutory Auditor. If reason selected is “Resignation of Statutory Auditor” or “Others”, then reason for such resignation/change needs to be mentioned in ‘Mention reason’ tab.

**Annual Accounts**

Name of Statutory Auditor's Firm \*  Membership No. of Certifying Partner \*

Name of the Certifying Partner \*  Registration number of the Statutory Auditor Firm \*

Mobile Number of the Certifying Partner \*  E-mail address of the Certifying Partner \*

Format in which Annual Accounts to be Submitted \* Revised Schedule VI Format  Date of appointment of statutory auditor \*

UDIN of Certificate \*  PAN of Statutory Auditor's firm \*

Is there change in Statutory Auditor? \* ☐ YES ☐ NO

Reason for change of statutory auditor \* Others  Mention Reason \*  Reason for change in Auditor to be mentioned here

Format of Financial Statements \* Select  Download XBRL Utility

Upload XBRL (.xml) \* Choose File No file chosen

Upload PDF Generated from XBRL Utility (.pdf) \* Choose File No file chosen

**Annual Accounts**

Name of Statutory Auditor's Firm \*  Membership No. of Certifying Partner \*

Name of the Certifying Partner \*  Registration number of the Statutory Auditor Firm \*

Mobile Number of the Certifying Partner \*  E-mail address of the Certifying Partner \*

Format in which Annual Accounts to be Submitted \* Revised Schedule VI Format  Date of appointment of statutory auditor \*

UDIN of Certificate \*  PAN of Statutory Auditor's firm \*

Is there change in Statutory Auditor? \* ☐ YES ☐ NO

Reason for change of statutory auditor \* Resignation Of Statutory Auditor  Mention Reason \*  Reason to for change in auditor to be mentioned here

- Select format of Financial Statement (IGAAP, IndAS, NBFC, as applicable)
- Download XBRL Utility and save in local computer. XBRL utility is also available on website of the Exchange and the path is “Resources > Forms and Formats > Click here for check form & formats > XBRL offline utility from Annual Returns”.

### Filling of XBRL Utilities:

- Downloaded utilities are to be filled as per the financials.
- Enter all applicable details in XBRL utility, enter “0” in fields which are not applicable and Validate each sheet. Rectify error, if any.
- Type of XBRL utility filled should be same as ‘Format of Financial Statements’ selected in the tab. For example, if IGAAP is selected as the format, the corresponding XBRL utility must also be IGAAP. Further, the financial year (Calendar year/Financial year, applicable) selected should be same in XBRL utility.
- After completion of entering data in all sheets, click on General Info tab – “Home” button in utility > click on validate all sheets.
- Once all sheets are validated successfully, generate XBRL file (.xml) and save in local computer.
- Click on General Info tab – “Home” button in utility > click on Generate Report. Html file will get generated. Save html file in local computer.
- Open Html file and save it in PDF format. To save in PDF format click on print button and save file as PDF.
- Upload the XBRL (.xml) - Browse and upload xml file generated through XBRL utility. While uploading the document, kindly ensure:
  - ✓ Only XML file to be uploaded

- ✓ File name should be the member code
- ✓ Year of financials (Calendar Year/ Financial Year, as applicable) should be same as mentioned in the main field.
- ✓ Format of Financial Statement (IGAAP/IndAs/NBFC) mentioned while filling the utility should be same as mentioned in the “Annual Accounts” tab.
- ✓ Absolute numbers to be entered

- Upload PDF (.pdf) –Upload PDF file converted from Html file in Attachment module. The file name should be the member code.
- Directors/s Partner of CA Firm: Details of all the Directors/partners of the statutory auditor firm are to be added in the field. Incase if the statutory auditor is a sole proprietor/individual, details of such individual are to be added. Entries for Directors/Partners can be added/removed as per no. of directors/partners of the CA firm.
- ‘Save’: This button will enable member to save the above details.
- ‘Reset’: This button will reset the entered details to the default values.

Note: When member will save the details in tab, then only the module’s status will be changed to ‘Entered’ in Annual Accounts tab.

## [C] Networth Tab

When member clicks on ‘Networth’ tab, the module will get highlighted & below screen will appear:

‘Networth’ tab consists of below fields & buttons:

- Name of CA Firm : name of CA certifying the network to be filled mandatorily
- Membership No of certifying CA : detail of CA certifying the network to be filled mandatorily
- ‘Method of computation of network: It will be an auto selected field i.e. Schedule VI of SEBI (Stock Broker) Regulations, 1992.
- UDIN of the certificate UDIN mentioned in the network certificate to be mentioned mandatorily
- PAN of CA/CA Firm : PAN of CA to be mentioned if network certificate is certified by an individual/sole proprietor. PAN of CA firm to be mentioned if network certificate is certified by the CA of a firm/corporate.
- Check box to be ticked for certifying that network computation is based on standalone basis.
- Director/Partner of CA Firm Details: Details of all the Directors/partners of CA firm certifying the network are to be added in the field. Incase if the Network certificate is certified by sole proprietor/individual, details of such individual are to be added.



Once the details are filled, click on ‘Compute Network’. Below screen will appear and network details are to be added. Kindly mention numbers in absolute value.

Schedule VI of SEBI (Stock Brokers) Regulations, 1992 latest Circular No. 10 (Ref. NSE/COMP/51578 dated March 09, 2022)

| Particulars                 | Amount(Rs. in absolute figure) | Particulars  | Amount(Rs. in absolute figure) |
|-----------------------------|--------------------------------|--|--------------------------------|
| Capital + Free Reserves     |                                | Non-allowable assets viz.  |                                |
| Capital*                    | 0.00                           | Fixed Assets*  | 0.00                           |
| Free Reserves*              | 0.00                           | Pledged Securities*  | 0.00                           |
|                             |                                | Member's Card*   | 0.00                           |
|                             |                                | Non-allowable securities (unlisted securities)*                      | 0.00                           |
|                             |                                | Bad deliveries*  | 0.00                           |
|                             |                                | Any Debts and Advances (except trade debtors of less than 3 months)* | 0.00                           |
|                             |                                | Prepaid expenses, losses*  | 0.00                           |
|                             |                                | Intangible Assets*   | 0.00                           |
|                             |                                | Marketable securities*   | 0.00                           |
|                             |                                | 30% of Marketable securities   | 0.00                           |
| Capital + Free Reserves (A) | 0.00                           | Total (Non-allowable assets viz) (B)                                 | 0.00                           |
|                             |                                | Networth (A-B)   | 0.00                           |
|                             |                                | Variable Networth*   | 0.00                           |

SAVE RESET

The auto-calculated amount fields, will calculate & show the amounts as per the calculations.

- ‘Save’: This button will enable member to save the above details.
- ‘Reset’: This button will reset the entered details to the default values.

Note: When member will save the details in tab, then only the module’s status will change to ‘Entered’.

## [D] Proprietor details

Details of proprietor should be same as reported last year. When member clicks on ‘Proprietor Details’ tab, the module will get highlighted & below screen will appear:

Networth (Entered)

**Proprietor Details (Entered)**

Other Stock Exchange (Entered)

Financial Details (Entered)

Attach Scanned Copies (Entered)

Principal officer and Designated Director details (Entered)

Submit to Exchange

Name of certifying Firm

Membership No. of the Certifying Person

Do you want to change some basic details of Proprietor? ☐ YES ☒ NO

Basic details proprietor can be changed from here

Name Of the proprietor:\*

Education Qualification:\*

If others, please specify:\*

Experience:\*

years: months:

Date Of Birth:\*

Age:\*

Flat/Door No.:\*

Building Name:\*

Floor:\*

Street/Road Name:\*

Landmark:\*

ADE

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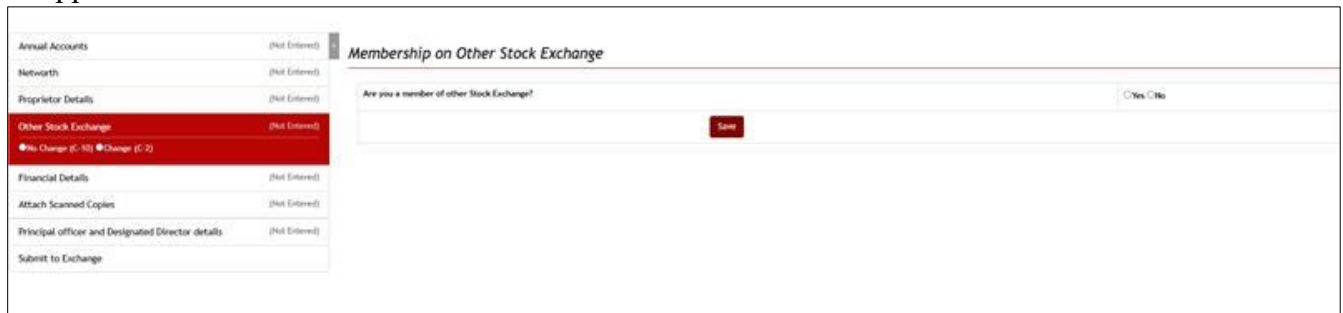
Fields when ‘**No change**’ is selected:

- Name of certifying firm : name of person certifying C-10 to be added
- Membership no. of the certifying person : membership number person certifying C-10 to be added
- Do you want to change some basic details of existing proprietor : Yes/No
- If yes is selected, then certain basic details like address, email id, qualification, contact no., mobile no. etc are editable. However, other details like Name, PAN, Date of Birth, age and father’s name are non-editable.
- Document C-10 (format available in Annexure C) to be added under ‘Attach Scanned Copies’ tab when ‘No Change’ is selected.

Fields when ‘**Change**’ is selected: No changes allowed under this field in proprietor case.

### [E] Other Stock Exchange Tab

When member clicks on ‘Shareholding’ tab, the module will get highlighted & below screen will appear:



**Other Stock Exchange**’ tab consists of below two options:

- a) No change: to be selected when there’s no change in the membership of the member in other Stock Exchanges.
- b) Change : to be selected when there’s change in in the membership of the member in other Stock Exchanges.

Fields when ‘**No change**’ is selected:

The previously entered details of member will be displayed on screen. Incase, no change is selected, the portal will not allow to make any changes to the existing data saved for Membership on Other Stock Exchanges. Incase of ‘No Change’ C-10 to be attached under the head ‘Attach Scanned Copies’

Fields when ‘**Change**’ is selected:

- When member selects the ‘Change’ option and confirms by clicking on ‘Ok’, then member will not be able to modify the selection from ‘Change’ to ‘No Change’.
- When member selects ‘Cancel’ from the alert, then member will still be at ‘No Change’ option.

**Annual Returns**

Member Name:  Member Code:  PAN of Trading Member/Clearing Member:

Financial year  
Start Date:  01-Apr-2018 End Date:  31-Mar-2019

Annual Accounts (Not Entered) | Membership on Other Stock Exchange

Networth (Not Entered)

Proprietor Details (Not Entered)

Other Stock Exchange (Not Entered)  
☐ No Change (C-10) ☒ Change (C-2)

Financial Details (Not Entered)

Attach Scanned Copies (Not Entered)

Submit to Exchange

Are you a member of other Stock Exchange? ☐ Yes ☐ No

Save

| Edit | Delete | Name Of Stock Exchange | Registration date | Name of Trading Member/Holding Co/Subsidiary Co/Promoters/Directors/Partners | Relation | Membership Number |
|------|--------|------------------------|-------------------|--|----------|-------------------|
|      |        |                        |                   |  |          |                   |

- When member selects 'Yes' radio button for 'Are you a member of other Stock Exchange' & click on the Submit button, member will be able to add new entries, update, delete / search for the existing entries etc.
- Please note that once 'Change' is selected, C-2 to be attached at the time of 'Attach Scanned Copies'.
- When member clicks on the 'Add' button, below pop up window will get open-

**Add details of other stock exchanges**

Name Of Stock Exchange:

Registration Date:

Name of Trading Member/Holding Co/Subsidiary Co/Promoters/Directors/Partners:

Relation:

Membership number:

Save Reset

**Notes:**

1. Where Company/Sole Proprietor is member of other stock exchange - 'Self'
2. Where Director of Company is member of other stock exchange - 'Director'
3. Where Partner of Firm is member of other stock exchange - 'Partner'
4. Where Subsidiary Co. is member of other stock exchange - 'Subsidiary Co.'
5. Where Holding Co. is member of other stock exchange - 'Holding Co.'
6. Where Sister Concern is member of other stock exchange - 'Sister Concern'

- When add is clicked, below details are to be added :
  - Name of Stock Exchange
  - Registration Date
  - Name of Trading Member/Holding Co/Subsidiary Co/Sister Co/Promoters/Directors/Partners
  - Relation (relation be mentioned as per note given in the screen)
  - Membership No. of that Exchange
- "Save": This button will enable member to save the above details.
- "Reset": This button will reset the entered details to the default values.

Note: When member will save the details in tab, then only the module's status will change to 'Entered'.

#### [F] Financial Details tab

When member clicks on 'Financial Details' tab, the module will get highlighted & below screen will appear:

|   |                      |  |  |   |  |
|---|----------------------|--|--|---|--|
| Annual Accounts                                   | (Not Entered)        | <b>Annual Financial Details</b>  |  |   |  |
| Networth  | (Not Entered)        | Current Financial Year   |  |   |  |
| Proprietor Details                                | (Not Entered)        | Current Financial Year   |  |   |  |
| Other Stock Exchange                              | (Not Entered)        | Inter-corporate deposits given*  |  |   |  |
| <b>Financial Details</b>                          | <b>(Not Entered)</b> | Value of investments or advances or loans in group companies or associates or firms or entities* |  | Value of maximum outstanding inter corporate debts given during the year* |  |
| Attach Scanned Copies                             | (Not Entered)        | Value of maximum outstanding inter corporate debts taken during the year*                        |  | Debt Equity ratio*  |  |
| Principal officer and Designated Director details | (Not Entered)        | Loan to Associated entities- Current Year*   |  | Loan to Associated entities- Previous Year*                               |  |
| Submit to Exchange                                |                      |  |  |   |  |
|   |                      | <input type="button" value="Save"/> <input type="button" value="Reset"/>                         |  |   |  |

- Annual Financial Details tab has 7 fields. These fields will accept only numeric & two decimal values. They will accept zero & negative values, if applicable. Kindly mention numbers in absolute values only.
- 'Save': This button will enable member to save the above details.
- 'Reset': This button will reset the entered details to the default values.

Note: When member will save the details in tab, then only the module's status will change to 'Entered'.

#### [G] Attach Scanned Copies tab

- Under the Attach Scanned Copies Tab only PDFs are to be uploaded as per the given guidelines.
- The below format to be followed for naming the files:

| Sr. No. | Document  | File Name                                  |
|---------|---|--|
| 1.      | Audited Balance Sheet   | XXXXXXAuditedBalanceSheet31MarYYYY         |
| 2.      | Profit & Loss Account   | XXXXXXPLAccount31MarYYYY                   |
| 3.      | Schedule & Notes to Account   | XXXXXXScheduleNotesAcc31MarYYYY            |
| 4.      | Auditor's Report  | XXXXXXAuditorsReport31MarYYYY              |
| 5.      | Networth (alongwith computation duly certified by CA)   | XXXXXXNetworth31MarYYYY                    |
| 6.      | Details of Proprietor/ Partner/ Directors (Copy of C-3/C-10 duly certified by CA/CS to be attached).<br><b>Note:</b><br>a) incase No change is selected at the Director Details tab, then C-10 to be attached.<br>b) incase Change is selected at the Director Details tab, then C- 3 to be attached. | XXXXXXCZProprietorPartnerDirector31MarYYYY |

|    |   |                               |
|----|---|-------------------------------|
| 7. | <p>Membership on Other Stock Exchanges (Copy of C-2/C-10 duly certified by CA/CS to be attached)</p> <p><b>Note:</b></p> <p>a) incase No change is selected at the Other Stock Exchange tab, then C-10 to be attached.</p> <p>b) incase Change is selected at the Other Stock Exchange tab, then C- 2 to be attached.</p> | XXXXXCZMembershipOSE31MarYYYY |
|----|---|-------------------------------|

XXXXXX represents member code

YYYY represents as on date's year

Z represents the numeric value as per the file name i.e., 3 in case of C-3.

- Once all files are uploaded, click on "Upload Documents".
- Once documents are uploaded, below screen will appear:

(Please save this information before proceeding to fill below details.)

---

**Attach Scanned Copies**

---

**\*Note:C-10 to be scanned and uploaded wherever no change selected for documents from C-2 to C-8.**

**Scanned Copies Uploaded Successfully, kindly click on Submit to Exchange for Digital Signature Process.**

Note: When member will save the details in tab, then only the module's status will change to 'Entered'

## (H) Principal officer and Designated Director details tab

When member clicks on 'Principal Officer and Designated Director' tab, the module will get highlighted & below screen will appear:

| Annual Accounts (Not Entered)  | <p><b>Note</b></p> <p>This is with reference to the SEBI circular No. SEBI/HO/MIRSD/SEC-5/P/CIR/2023/022 dated February 03, 2023 regarding appointment of Principal Officer and Designated Director for ensuring compliance with provisions of Prevention of Money Laundering Act, 2002 and intimation of these details to the Office of the Director, FIU IND. Further, the definition of Principal Officer can be referred to in SEBI Circular SEBI/HO/MIRSD/SEC-FATF/P/CIR/2023/0170 dated October 13, 2023 regarding Amendment to the Guidelines on Anti-Money Laundering (AML) Standards and Combating the Financing of Terrorism (CFT) Obligations of Securities Market Intermediaries under the Prevention of Money Laundering Act, 2002 and Rules framed there under Provide Principal officer and Designated director details which are appointed as per provisions of the Prevention of Money Laundering Act, 2002 and Rules framed there under.</p> <p><b>Principal officer and Designated Director details</b></p> <table border="1"> <thead> <tr> <th>Designation</th> <th>Name</th> <th>Email</th> <th>Contact number</th> </tr> </thead> <tbody> <tr> <td>Designated Director</td> <td></td> <td></td> <td></td> </tr> </tbody> </table> <p>Reason for non submission of details stated above</p> <p><b>Save</b></p> | Designation | Name  | Email          | Contact number | Designated Director |  |  |  |
|--|---|-------------|-------|----------------|----------------|---------------------|--|--|--|
| Designation  |   | Name        | Email | Contact number |                |                     |  |  |  |
| Designated Director  |   |             |       |                |                |                     |  |  |  |
| Networth (Not Entered)   |   |             |       |                |                |                     |  |  |  |
| Proprietor Details (Not Entered)                                       |   |             |       |                |                |                     |  |  |  |
| Other Stock Exchange (Not Entered)                                     |   |             |       |                |                |                     |  |  |  |
| Financial Details (Not Entered)  |   |             |       |                |                |                     |  |  |  |
| Attach Scanned Copies (Not Entered)                                    |   |             |       |                |                |                     |  |  |  |
| <b>Principal officer and Designated Director details (Not Entered)</b> |   |             |       |                |                |                     |  |  |  |
| Submit to Exchange   |   |             |       |                |                |                     |  |  |  |

- Principal Officer and Designated Director tab will have 4 fields viz. Designation, Name, Email and Contact Number. Under Designation field, member will have option to update the details of Designated directors and Principal Officer.
- Details as per SEBI circular SEBI/HO/MIRSD-SEC-5/P/CIR/2023/022 dated February 03, 2023 are to be provided.

- In case member is not providing the above details, reason for non-submission of the details has to be provided.
- Click on 'Save' to save the details/reason for non-submission.
- 'Save': This button will enable member to save the above details.
- 'Reset': This button will reset the entered details to the default values.

Note: When member will save the details in tab, then only the module's status will change to 'Entered'.

#### (I) Submit to Exchange tab

- 'Submit to exchange' tab will be the final step towards the submission of annual returns to the NSE.
- If member has not submitted data for any module, then in the status it will come as 'Not Entered'.
- A table with module name & its respective status will be displayed here if entered or not. By clicking on the respective module's link, member will get redirected to the particular module to fill the details.
- Once all the details are filled and submitted, then all modules' status will be displayed as 'Entered'.

| Annual Returns - Submission To Exchange   |         |
|---|---------|
| View Details  | Status  |
| Annual Accounts   | Entered |
| Networth  | Entered |
| Proprietor Details  | Entered |
| Other Stock Exchange  | Entered |
| Financial Details   | Entered |
| Principal officer and Designated Director details   | Entered |
| Attach Scanned Copies   | Entered |
| <p>Note: Please check the annual submission details before submitting. Once the data is submitted member cannot add/modify/delete the details. So please confirm before submitting the details to the exchange.</p> |         |

- A declaration with the data fetched from the data entered and saved will be filled in the declaration. Members are advised to read the declaration before clicking on 'I Agree':

National Stock Exchange of India Ltd.

I/We Mr./Ms./M/s. hereby state that is associated with us as the Statutory Auditor from

With regards to SEBI circular SEBI/HO/MIRSD/MIRSD2/CIR/P/2016/95 dated September 26, 2016 pertaining to Enhanced Supervision of Stock Brokers/ Depository Participants, I/We hereby declare that, I/We did not :

1. Appoint an Individual as statutory auditor for more than one term of five consecutive years
2. Appoint an Audit Firm as statutory auditor for more than two terms of five consecutive years

I/We, also confirm that an Individual statutory auditor who has completed his term as mentioned above (1) has not been re-appointed as statutory auditor with us during the Financial Year 2024-2025.

Further I/We, also confirm that the statut :h has completed its term as mentioned above (2) has not been re-appointed as statutory auditor with us during the Financial Year 2024-2025.

I/We also further confirm that we have not appointed any statutory audit firm having a common partner or partners to the other audit firm whose tenure has expired immediately preceding the Financial Year.

I/ve hereby confirm that there's no conflict of interest between the Statutory Auditor firm/any partner of the firm/any Director of the firm and the entity.

I/We Mr./Ms./M/s. hereby declare and confirm that all the details filled and documents provided are true and correct for the Financial Year 2024-2025.

Yours faithfully,  
For

☐ I Agree.

Name of the person whose signature is Affixed\*

Designation of the person whose signature is Affixed\*

Mobile / Phone Number\*

Email ID for further Communication\*

- The details of the person whose signature is affixed are to be duly mentioned. Click on 'Validate Date'. Post the validation of data, press 'Submit'. Once the data is successfully submitted a reference number will be generated on the screen:

NSE Member Code : Member Name : Test Digital Signature

Compliance for Assets Auditor Compliance Trade Membership Utilities Member Education ENT Migration Welcome

### Annual Returns

Member Name  Member Code 13246 PAN of Trading Member/Clearing Member AFRPP610SP

Financial year Year Applicable\* Financial Year

Start Date\*  End Date\*

☒ All Annual Submission Details have been submitted to NSEIL with Request Reference No:- On

Annual Accounts (SUBMITTED)

Networth (SUBMITTED)

Proprietor Details (SUBMITTED)

Other Stock Exchange (SUBMITTED)

Financial Details (SUBMITTED)

Attach Scanned Copies (SUBMITTED)

NSE Copyright (c) 2016 signed Director details (SUBMITTED)

### Annual Returns - Submission To Exchange

| View Details                                      | Status    |
|---|-----------|
| Annual Accounts                                   | SUBMITTED |
| Networth  | SUBMITTED |
| Proprietor Details                                | SUBMITTED |
| Other Stock Exchange                              | SUBMITTED |
| Financial Details                                 | SUBMITTED |
| Principal officer and Designated Director details | SUBMITTED |

- Please note, in case if shortfall in Networth is reported then a popup will appear. Mention the reasons for shortfall and upload supporting documents, if any.





## ANNEXURE B

### Part – I

#### MANUAL FOR SUBMISSION OF INVENTORY OF ASSETS BY MEMBER AND AUDITOR

The submission of Inventory of assets is divided into three parts:

Part A – Member needs to fill the data and submit the data to Auditor for certification.

Part B – Auditor to certify the data provided by member.

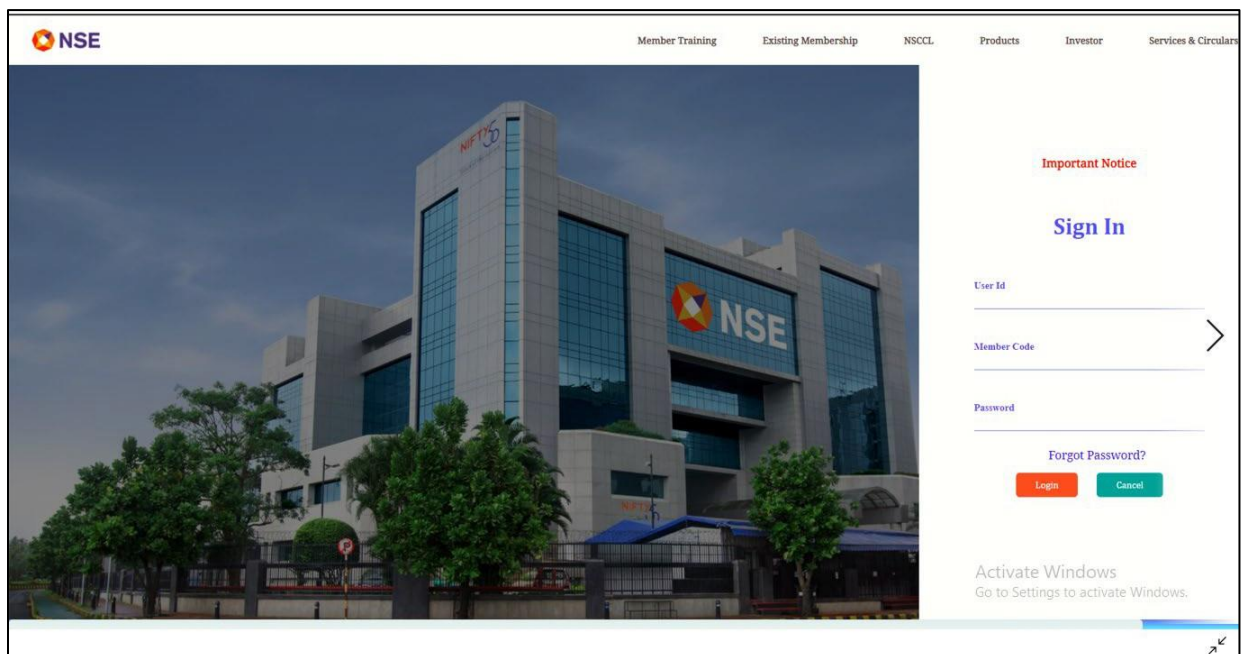
Part C – Member to submit the data to Exchange after certification of the Auditor.

#### PART A OF INVENTORY OF ASSETS – BY MEMBER

Step: 1 - Open your Internet browser.

Step: 2- Type <https://enit.nseindia.com/MemberPortal/> in the address bar and then click the Go button from the browser.

Step:3 - NSE Member Portal Login screen will appear as below:



Step: 4- Open Inventory of Assets Screen:

1. Login with correct member credentials.
2. Click on 'Compliance'
3. Go to 'Inventory of Assets'
4. Select 'Inventory of Assets Submission'.

After clicking on Inventory of Assets Submission module, "Inventory of Assets Form for Trading

Member” page will open:

Compliance for Assets Auditor
Compliance
Trade
Membership
Utilities
Member Education
DIT Migration
Welcome

Inventory of Assets Form for Trading Member

Financial Assets

Immovable Assets

Step: 5- Click on ‘Financial Assets’ tab to fill the required details as mentioned in the screen:

Inventory of Assets Form for Trading Member

Financial Assets

1

Name of financial assets

Total Balance as 31-Mar-2025(Rs. In Lakhs)

A

Cash In Hand

2

Name of financial assets

Total no. of bank accounts

Total value as on 31-Mar-2025

A

Own Bank Balance

B

Client bank balance

C

Settlement A/c balance

3

Name of financial assets

Total no. of FDR's and other deposits

Total value as on 31-Mar-2025 (Rs. In Lakhs)

Encumbrances such as Mortgage, hypothecation etc.

Amount of funds raised (Rs. In Lakhs)

Name of the Lender

Outstanding amount with lender as on 31-Mar-2025

A

FDR and other deposits

4

Name of financial assets

Total no. of bank guarantee valid as on 31-Mar-2025

Total value as on 31-Mar-2025(Rs. In Lakhs)

A

Bank Guarantees

5

Name of financial assets

Total Book value as on 31-Mar-2025 (Rs. In Lakhs)

Encumbrances such as Mortgage, hypothecation etc.

Amount of funds raised (Rs. In Lakhs)

Name of the Lender

Outstanding amount with lender as on 31-Mar-2025

A

Details of investments in Bonds/Debentures/shares/mutual funds and others

6

Name of financial assets

No. of subsidiary and associate companies

Total Book value as 31-Mar-2025(Rs. In Lakhs)

Encumbrances such as pledge etc.

Amount of funds raised (Rs. In Lakhs)

Name of the Lender

Outstanding amount with lender as on 31-Mar-2025

A

Investment in subsidiary and associate companies

7

Name of financial assets

Total no. of Personal Loans/advances given

Amount of Principal (Rs. In Lakhs)

Total Book value as 31-Mar-2025(Rs. In Lakhs)

A

Loans & advance given to Associates & group companies including Inter corporate Deposits

B

Loans & advance given to Directors/Partners/Proprietor/related parties

C

Loans & advance given to staff

8

Name of financial assets

Total no. receivables

Total balance as 31-Mar-2025 (Rs. In Lakhs)

Total balance outstanding for more than 3 months as on 31-Mar-2025

Encumbrances such as Mortgage, hypothecation etc.

Amount of funds raised (Rs. In Lakhs)

Name of the Lender

Outstanding amount with lender as on 31-Mar-2025

A

Receivables from clients across Exchanges

0

B

Receivables from others Non client entities

**Note:**

- Own Bank Balance, Client Bank Balance and Settlement A/c Balance mentioned at point no. 2 shall be auto populated.
- FDRs and other deposits/Bank Guarantees pledged with Exchange/Clearing Corporation need not be reported.
- Receivable from Client Across Exchanges (serial no. 8.A.) - Member may consider clients across all licences under the Member entity towards receivables from client. Further for "Receivable from Client Across Exchanges" you are required to take the total of debit balances (receivable balances) for all your registered clients, whether custodian settled or not, as recorded in your books as on March 31, 2025. If the Brokerage amount is showing as debit in the client ledger as on March 31, 2025, it has to be shown.
- Receivable from Non-Client Entities (serial no. 8.B.) - For this field Members are required to mention the total of debit balances (i.e. which is due to you) from non-client entities/persons, as recorded in your books as on March 31, 2025.

Step:6- Click on ‘Immoveable Assets’ tab to fill the required details as mentioned in the below screen:

| Agricultural Land |              |   |         |                  |  |                                       |                    |  |          |
|-------------------|--------------|---|---------|------------------|--|---------------------------------------|--------------------|--|----------|
| Sr No             | Owned/Leased | Book value as 31-Mar-2025(Rs. In Lakhs) | Address | Area (in sq.ft.) | Encumbrances such as Mortgage, hypothecation etc | Amount of funds raised (Rs. In Lakhs) | Name of the Lender | Outstanding amount with lender as on 31-Mar-2025 |          |
| a                 | Select       |   |         |                  |  |                                       |                    |  | ADD MORE |

| Non-agricultural Land |              |   |         |                  |  |                                       |                    |  |          |
|-----------------------|--------------|---|---------|------------------|--|---------------------------------------|--------------------|--|----------|
| Sr No                 | Owned/Leased | Book value as 31-Mar-2025(Rs. In Lakhs) | Address | Area (in sq.ft.) | Encumbrances such as Mortgage, hypothecation etc | Amount of funds raised (Rs. In Lakhs) | Name of the Lender | Outstanding amount with lender as on 31-Mar-2025 |          |
| a                     | Select       |   |         |                  |  |                                       |                    |  | ADD MORE |

| Residential property |              |   |         |                  |  |                                       |                    |  |          |
|----------------------|--------------|---|---------|------------------|--|---------------------------------------|--------------------|--|----------|
| Sr No                | Owned/Leased | Book value as 31-Mar-2025(Rs. In Lakhs) | Address | Area (in sq.ft.) | Encumbrances such as Mortgage, hypothecation etc | Amount of funds raised (Rs. In Lakhs) | Name of the Lender | Outstanding amount with lender as on 31-Mar-2025 |          |
| a                    | Select       |   |         |                  |  |                                       |                    |  | ADD MORE |

| Office Premises |              |   |         |                  |  |                                       |                    |  |          |
|-----------------|--------------|---|---------|------------------|--|---------------------------------------|--------------------|--|----------|
| Sr No           | Owned/Leased | Book value as 31-Mar-2025(Rs. In Lakhs) | Address | Area (in sq.ft.) | Encumbrances such as Mortgage, hypothecation etc | Amount of funds raised (Rs. In Lakhs) | Name of the Lender | Outstanding amount with lender as on 31-Mar-2025 |          |
| a               | Select       |   |         |                  |  |                                       |                    |  | ADD MORE |

| Others |              |   |                   |  |                                       |                    |  |  |          |
|--------|--------------|---|-------------------|--|---------------------------------------|--------------------|--|--|----------|
| Sr No  | Owned/Leased | Book value as 31-Mar-2025(Rs. In Lakhs) | Details of Assets | Encumbrances such as Mortgage, hypothecation etc | Amount of funds raised (Rs. In Lakhs) | Name of the Lender | Outstanding amount with lender as on 31-Mar-2025 |  |          |
| a      | Select       |   |                   |  |                                       |                    |  |  | ADD MORE |

In the drop-down menu, you can select any of the one option from:

**1. Owned**

**2. Leased** – It means the property which is registered in Member’s name and given on lease by Member to some other entity/individual. If member is paying rent for any property/premises than the same shall not be required to be reported here.

**3. Nil**

**Note:** In case nil is selected than mention “0” in all the other fields.

Step:7 – After filling all the details in both the tabs, tick mark the declaration option and click on certify tab to affix digital signature:

NSE

Member Code : Member Name :

Text Digital Signature

Compliance Trade Membership

Inventory of Assets Form for Trading Member

Financial Assets

Immovable Assets

Declaration ☐ : I/We hereby declare that all the information provided is correct to the best of my knowledge

RESET Submit To Auditor

Certify

Signing Wizard

Select Digital Certificate

You can choose a digital certificate from those available on your computer to sign your file.

| Issued To | Issued By | Expiration Date |
|-----------|-----------|-----------------|
|           |           | 26              |

Click View to see the contents of your digital certificate

View...

Sign Cancel

Step:8 – After affixing digital signature, click on button – ‘Submit to Auditor’:

NSE

Member Code : Member Name :

Text Digital Signature

Compliance Trade Membership

Inventory of Assets Form for Trading Member

Financial Assets

Immovable Assets

Declaration ☒ : I/We hereby declare that all the information provided is correct to the best of my knowledge

RESET Submit To Auditor

Certify

Note: Digital Signature is not mandatory.

## PART B OF INVENTORY OF ASSESTS – BY AUDITOR

Step: 1 - Open your Internet browser.

Step: 2- Type <https://enit.nseindia.com/MemberPortal/> in the address bar and then click the Go button from the browser.

Step:3 - NSE Member Portal Login screen will appear as below for auditor to login:

**NSE**

Member Training Existing Membership NSCL Products Investor Services & Circulars

**Important Notice**

**Sign In**

User Id

Member Code

Password

[Forgot Password?](#)

[Login](#) [Cancel](#)

Activate Windows  
Go to Settings to activate Windows.

Step:4 – Auditor can view the below screen, select the tab ‘Inventory of Asset-Auditor Submission’ from Compliance module.

Inventory of Assets Form for Trading Member

**Financial Assets**

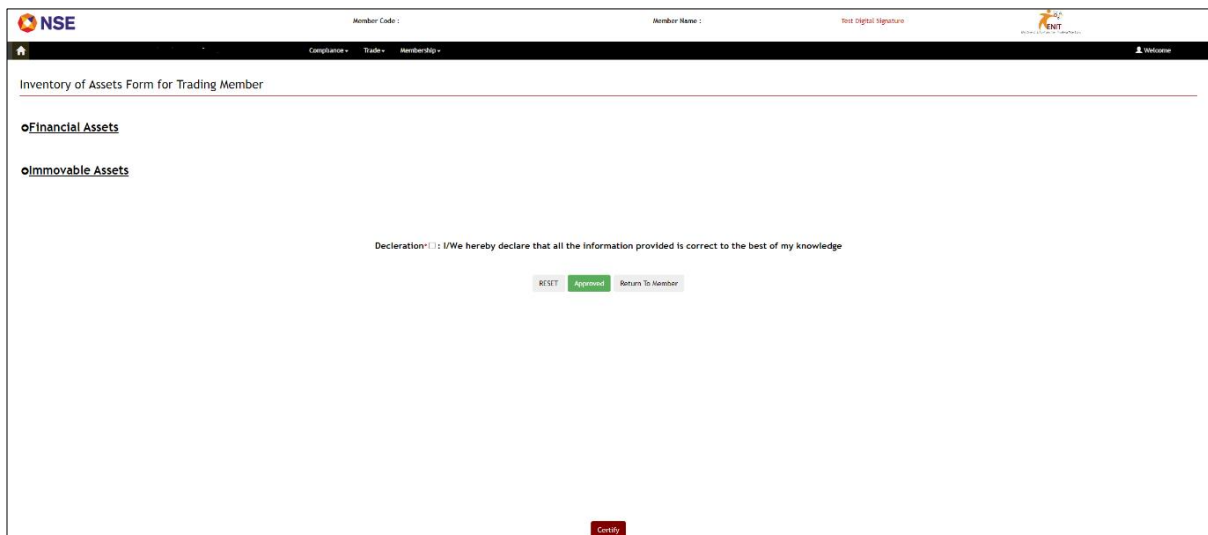
**Immovable Assets**

NSE Copyright (c) 2016

[Cancel](#)

Step 5: After checking all the details entered by member in the tabs – ‘Financial assets and Immoveable assets’, auditor needs to click the declaration and select any of the one option mentioned below:

- 1. Approved – If auditor finds everything in order, click on Approved. Auditor has to certify the form by affixing the digital signature by clicking on ‘Certify’ tab**



NSE

Member Code : Member Name : Test Digital Signature

Compliance + Trade + Membership +

Inventory of Assets Form for Trading Member

Financial Assets

Immoveable Assets

Declaration: I/We hereby declare that all the information provided is correct to the best of my knowledge

RESET Approved Return To Member

Certify

- 2. Return to member – In case any discrepancy is observed, click on this button.**

If Auditor selects ‘Return to member’, then auditor has to provide reasons of deficiency as mentioned below in the screen and click on submit.



Intimation of Deficiency

Reason of Deficiency

Close Submit

## PART C OF INVENTORY OF ASSETS – BY MEMBER

Step:1 – Once the Auditor sends the data to member, then the member can check the status in the tab – “Inventory of Assets – MIS”.

If any rejection is mentioned by auditor than Member has to again submit the data after doing the required correction to Auditor. (Follow step 7 & 8 of Part A)

The screenshot shows the NSE (National Stock Exchange) portal for a Trading Member. The header includes the NSE logo, Member Code, Member Name, and a Text Digital Signature field. The main content area is titled "Inventory of Assets Form for Trading Member". It contains two sections: "Financial Assets" and "Immovable Assets", both with expandable/collapsible icons. Below these sections is a declaration statement: "Declaration: ☐ I/We hereby declare that all the information provided is correct to the best of my knowledge". At the bottom of the form, there are three buttons: "RESET" (grey), "Submit To Auditor" (green), and "Certify" (red).

Step 2: If Auditor approves the data, member needs to click on ‘Certify’ tab of the declaration and to affix the digital signature

This screenshot shows the same NSE portal after the declaration step. The declaration statement remains the same, but the button that was previously "Submit To Auditor" is now "Submit To Exchange" (green). The "Certify" button (red) is still present at the bottom of the form. The rest of the interface, including the header and asset sections, remains unchanged.

Step 3: After affixing digital signature, click on the button ‘Submit to Exchange’.

Inventory of Assets Form for Trading Member

**Financial Assets**

**Immovable Assets**

Declaration ☐ I/We hereby declare that all the information provided is correct to the best of my knowledge

[Submit to Exchange](#)

[Cancel](#)

Step:4 – Member can check the status of submission of Inventory of Assets by clicking on the tab ‘Inventory of Assets – Inventory of Assets MIS’ as shown below:

| Compliance for Assets Auditor            |  |  |  |  | Compliance - Trade - Membership - Utilities - Member Education - ENT Migration - |  |  |  | Welcome |
|--|--|--|--|--|--|--|--|--|---------|
| GSTIN Information                        |  |  |  |  | Advertisement  |  |  |  |         |
| ENTITY                                   |  |  |  |  | MTR  |  |  |  |         |
| National Stock Exchange of India         |  |  |  |  | Member Details   |  |  |  |         |
| National Securities Clearing Corporation |  |  |  |  | Trade Through Other Member   |  |  |  |         |
| Members are requested to                 |  |  |  |  | Authorized Person  |  |  |  |         |
| Criticality                              |  |  |  |  | Quarterly Compliance   |  |  |  |         |
| Level 1                                  |  |  |  |  | Politically Exposed Person   |  |  |  |         |
| Level 2                                  |  |  |  |  | UDI Registration   |  |  |  |         |
| Level 3                                  |  |  |  |  | Director Details   |  |  |  |         |
| Level 4                                  |  |  |  |  | Insurance  |  |  |  |         |
| Level 5                                  |  |  |  |  | Key Management Personnel   |  |  |  |         |
| Alerts                                   |  |  |  |  | Status Report  |  |  |  |         |
|  |  |  |  |  | Half Yearly Networth Submission  |  |  |  |         |
|  |  |  |  |  | GSTIN  |  |  |  |         |
|  |  |  |  |  | Surrender  |  |  |  |         |
|  |  |  |  |  | ML and AI  |  |  |  |         |
|  |  |  |  |  | Margin Trading Approval Withdrawal   |  |  |  |         |
|  |  |  |  |  | Client Code Modification   |  |  |  |         |
|  |  |  |  |  | FATF   |  |  |  |         |
|  |  |  |  |  | Internal Risk Assessment   |  |  |  |         |
|  |  |  |  |  | Sub Broker   |  |  |  |         |
|  |  |  |  |  | Annual Returns   |  |  |  |         |
|  |  |  |  |  | Inventory of Assets  |  |  |  |         |
|  |  |  |  |  | Registered Address   |  |  |  |         |
|  |  |  |  |  | Change In Name   |  |  |  |         |
|  |  |  |  |  | HSEIL CDS Instrument   |  |  |  |         |
|  |  |  |  |  | Algorithmic Trading  |  |  |  |         |
|  |  |  |  |  | Associate And Subsidiary   |  |  |  |         |
|  |  |  |  |  | E-Voting Facility  |  |  |  |         |

| Address  | Provisional GST Id | ARN Number      | PAN        |
|--|--------------------|-----------------|------------|
| G-Block, Exchange Plaza, BKC, Bandra (E), Mumbai, Maharashtra-400051 | 27AAACH1797L120    | AA271216007256G | AAACH1797L |
| G-Block, Exchange Plaza, BKC, Bandra (E), Mumbai, Maharashtra-400051 | 27AAACH2642L1ZE    | AA271216007418C | AAACH2642L |

Below for the service related Query/issues on the Leased Line managed by Sify Technologies Ltd.

| Contact Number | Email Id   | Contact person                            | Priority  |
|----------------|--|---|-----------|
| 18004199963    | nse.servicedesk@sifycorp.com<br>nse.sifynoc@sifycorp.com | Help desk Team                            | Immediate |
| 9841264447     | senithil.saravanan@sifycorp.com                          | Senithil Saravanan(Asistant manager GNOC) | 1 Hour    |
| 9818784467     | shankar.yadavi@sifycorp.com                              | Shankar Yadavi(Senior Manager GNOC)       | 2 Hour    |
| 9884968619     | pillai.pramod@sifycorp.com                               | pramod Pillai(AGM Network Operations)     | 3 Hour    |
| 9884070474     | joseph.abraham@sifycorp.com                              | Joseph Abraham(A/P Network Operations)    | 4 Hour    |

[Inventory of Assets Submission](#)

[Inventory of Assets MIS](#)

Reminders



Step:5-The below screen will appear after submitting the data to Exchange. The status shall appear as “Submit To Exchange”

The screenshot displays the 'ASSETS OF MEMBER MIS' interface on the NSE website. At the top, there are navigation tabs for 'Compliance', 'Trade', and 'Membership'. The main section contains a form with fields for 'Member Name', 'Member Code', 'Request Status' (a dropdown menu), 'Request Reference No.', 'Statement From Date', and 'Statement To Date'. A 'Search' button is located below the date fields. Below the form is a table with columns: 'Sl. No.', 'Request Ref. No.', 'Member Code', 'Status', and 'As on Date'. The first row of the table shows a status of 'SUBMIT TO EXCHANGE', which is highlighted with a red rectangular box. At the bottom of the table, there is a pagination bar indicating 'Page 1 of 1' and 'View 1 of 1'. The footer of the page includes the text 'NSE Copyright (c) 2016'.

**Note:** Member can view the other Status such as Save, Submit to Auditor, Return by Auditor, Approved by Auditor, Submit to Exchange as per the status of the submission.

**-END-**

## PART - II

### MANUAL FOR SUBMISSION OF DECLARATION FOR POLITICALLY EXPOSED PERSON

Members have to submit the declaration for Politically Exposed Person as on March 31, 2025 before submitting the Annual Returns for Financial Year 2024-25. A module for submission of the declaration is available on ENIT-New-Compliance under Compliance Tab.

Steps for submission of declarations:

1. Login with correct member credentials.
2. Click on 'Compliance'.
3. Go to 'Politically Exposed Person'.
4. Select 'Submit Declaration'.

The screenshot shows the ENIT-New-Compliance interface. The 'Compliance' tab is selected. Under the 'Politically Exposed Person' menu, the 'Submit Declaration' option is highlighted. The interface also displays a table with member details and a list of queries/issues.

| ENTITY                                   | Provisional GST Id | ARN Number      | PAN        |
|--|--------------------|-----------------|------------|
| National Stock Exchange of India         | 27AAACN1797L1Z0    | AA271216007256G | AAACN1797L |
| National Securities Clearing Co. Limited | 27AAACN2642L1ZE    | AA271216007418C | AAACN2642L |

| Level   | Member | Email Id                       | Contact person                           | Priority  |
|---------|--------|--------------------------------|--|-----------|
| Level 1 | 53     | nse.servicedesk@sifycorp.com   | Help desk Team                           | Immediate |
| Level 2 | 7      | senthil.saravanan@sifycorp.com | Senthil Saravanan(Assitant manager GNOC) | 1 Hour    |
| Level 3 | 7      | shankar.yadav@sifycorp.com     | Shankar Yadav(Senior Manager GNOC)       | 2 Hour    |
| Level 4 | 9      | pillai.pramod@sifycorp.com     | pramod Pillai(AGM Network Operations)    | 3 Hour    |
| Level 5 | 4      | joseph.abraham@sifycorp.com    | Joseph Abraham(AVP Network Operations)   | 4 Hour    |

5. On clicking Submit Declaration module, 'Declaration' page will appear.

The screenshot shows the 'Politically Exposed Person Declaration' form. It includes fields for 'As on Date', 'Upload scan copy of Declaration', 'Email Id', and 'Mobile No.'. There are 'Submit' and 'Reset' buttons. A 'Notes' section at the bottom provides instructions for the declaration.

**Politically Exposed Person Declaration**

☐ I/We, M/s: hereby declare that neither me/us nor any of our Directors/Shareholders/Promoters/Compliance Officer/Partners/Relatives/Associates are Politically Exposed Person.

☐ I/We, M/s: hereby declare that I/we and/or our Directors/Shareholders/Promoters/Compliance Officer/Partners/Relatives/Associates are Politically Exposed Person.

As on Date:

Upload scan copy of Declaration:  No file chosen

Email Id:

Mobile No.:

**Notes**

1. A PEP shall include individuals who are or have been entrusted with prominent public functions in India or in a foreign country, e.g., heads of states/governments, senior politicians, senior government/judicial/military officers, senior executives of state-owned corporations, important political party officials etc.
2. 'Associate' has the same definition as given under Section 2(1)(b) of the SEBI (Intermediaries) Regulations, 2008.
3. The physical copy of the current undertaking has to be stamped & signed by two designated directors or authorised signatory(ies) as per Board Resolution mentioning names and designations.
4. A revised declaration is required to be submitted as and when there is any change in the details submitted.

Below details are to be filled in:

- Name of the entity in the declaration will be auto populated.
- As on date has be March 31, 2025.
- Format of declaration is available on the PEP declaration page.

The screenshot shows the 'Politically Exposed Person Declaration' form. It has two radio buttons at the top for different declaration types. Below them are fields for 'As on Date', 'Email id', and 'Mobile No.'. There is a 'Download Declaration' link and a 'PEP\_ANNEKURE\_doc' link. A callout box points to the 'PEP\_ANNEKURE\_doc' link with the text 'Declaration format is available here'. Another callout box points to the 'Choose File' button with the text 'Upload the signed Declaration here'. At the bottom, there are 'Submit' and 'Reset' buttons, and a 'Certify' button.

- Upload the signed copy of the declaration in PDF format only.
- Email id and mobile number are mandatory to be filled
- 'Submit' button will enable member to save the details successfully. 'Reset' button will reset the details submitted to default data.
- Once, member enters all the correct details, click on Certify, and below submission Reference No will be generated.

This screenshot shows the same form as the previous one, but with a 'Confirmation' dialog box overlaid in the center. The dialog box contains a green checkmark and the text 'Request is Submitted Successfully. Request Number is'. Below the text is an 'OK' button. The background form is dimmed, showing the same fields and buttons as before.

**ANNEXURE C**  
**CHECKLIST AND FORMATS FOR SUBMISSION OF ANNUAL RETURNS**

**Checklist**

| <b>Sr. No</b> | <b>Document Type</b> | <b>Description</b>  | <b>Annexure No.</b> |
|---------------|----------------------|---|---------------------|
| 1             | Annual Accounts      | Auditors report   | 1                   |
| 2             | C-1                  | Networth Certificate along with the relevant computation            | 2                   |
| 3             | C-2                  | Details of Membership on other Stock Exchanges & Details of Listing | 3                   |
| 4             | C-3                  | Details of Directors  | 4                   |
| 5             | C-7                  | Shareholding pattern  | 5                   |
| <b>OR</b>     |                      |   |                     |
| 6             | C-10                 | Undertaking stating no changes in Documents C-2 to C-7              | 6                   |

**Notes:**

- a) Submission of documents listed above are mandatory for all the members.
- b) If there are changes in the details of Other Stock Exchanges, details of Listing, Directors, and /or Shareholders, respective documents to be provided as per the formats given.
- c) C-10 has to be provided if there is no change in the details and those are same as year ending on March 31, 2025.

## **FORMATS OF DOCUMENTS TO BE SUBMITTED TOWARDS ANNUAL RETURNS**

### **Annexure 1**

#### **AUDITORS REPORT**

*(To be provided on the Letterhead of the statutory Auditor)*

We have audited the attached balance-sheet of M/s. \_\_\_\_\_ as at \_\_\_\_\_ and the profit and loss account for the year ended on that date thereto and report that:

- a. We have obtained all the information and explanations which to the best of our knowledge and belief were necessary for the purpose of our audit.
- b. In our opinion, proper books of account and records as specified in Rule 15 of the Securities Contracts (Regulation) Rule, 1957 have been kept so far as appears from our examination of such books.
- c. The stock broker has complied with the requirements of the stock exchange so far as they relate to maintenance of accounts and was regular in submitting the required accounting information to the stock exchange.
- d. The balance sheet and the profit and loss account referred to in this report are in agreement with the books of account.
- e. In our opinion and to the best of our information and according to the explanations given to us, the said balance sheet and the profit and loss account read together with the notes thereon give a true and fair view insofar as it relates to the balance-sheet, of the state of affairs of M/s. \_\_\_\_\_, and insofar as it relates to the profit and loss account, of the profit of M/s. \_\_\_\_\_ for the year ended on that date.

**Place:**  
**Date:**  
**UDIN:**

**For (Name of Certifying Firm)**

**Name of Partner/Proprietor**  
**Chartered Accountant**  
**Membership Number**

**Annexure – 2**

*(To be provided on the Letterhead of the certifying Chartered Accountant/ Company Secretary)*

**Format: C-1**

**Format: C-1 (Networth Certificate for Corporates, Firms & Individuals)**

*(To be provided on the Letterhead of the certifying Chartered Accountant/ Company Secretary)*

**CERTIFICATE**

Member Name: \_\_\_\_\_

Member Applicable Network\* (***Higher of ‘Base Network’ or ‘Variable Network’***):

1. Base Network is (in Rs.)

|       |  |
|-------|--|
| NSE   |  |
| BSE   |  |
| NCDEX |  |
| MCX   |  |
| MSE   |  |

2. Variable Network is Rs. \_\_\_\_\_/-

\*(Reason in case Variable Network is “Nil/Not Applicable”): \_\_\_\_\_  
\_\_\_\_\_

This is to certify that the Networth of M/s./Mr./Ms. \_\_\_\_\_ (Name of Member) as on \_\_\_\_\_ as per the statement of computation of even date annexed to this report is Rs. \_\_\_\_\_ only).

We further certify that:

- M/s./Mr./Ms. \_\_\_\_\_ (Name of Trading Member) is not engaged in any fund-based activities or business other than that of securities or commodity derivatives. Existing fund based assets, if any, have been divested from the books of account and have not been included for the purpose of calculation of Networth.
- The computation of Networth based on my / our scrutiny of the books of accounts, records and documents is true and correct to the best of my / our knowledge and as per information provided to my / our satisfaction.
- The computation of Networth is in accordance with method of computation prescribed by Schedule VI of SEBI (Stock Brokers) (Amendment) Regulations, 2022.
- The computation of Variable Networth is in accordance with the method of computation prescribed by SEBI as per SEBI Gazette Notification No. SEBI/LAD-NRO/GN/2022/73 dated February 23, 2022 on revised Networth requirement or as amended from time to time\*.
- We hereby confirm that we are not the related party to the aforesaid entity.

- The computation of Networth is based on company's standalone financial statements and based on audited financial statements.

**Place:**

**Date:**

**UDIN:**

**For (Name of Certifying Firm)**

**PAN no. of CA/CS Firm**

**Name of Partner/Proprietor**

**Chartered Accountants / Company Secretaries**

**PAN no. of Partner/Proprietor**

**Membership Number**

**Name and PAN of all Directors/Partners of certifying Chartered Accountant/Company Secretary firm**

| <b>Sr no</b> | <b>Name of Director/Partner</b> | <b>PAN of Director/Partner</b> |
|--------------|---------------------------------|--------------------------------|
|              |                                 |                                |

\*Shall be read with amendments, circular, notification issued in this regard till date.

**Format: C-1 (Networth Certificate for Banks)**

*(To be provided on the Letterhead of the certifying Chartered Accountant/ Company Secretary)*

**CERTIFICATE**

Member Name: \_\_\_\_\_

Member Applicable Network\* (***Higher of 'Base Network' or 'Variable Network'***):

1. Base Network is (in Rs.)

|       |  |
|-------|--|
| NSE   |  |
| BSE   |  |
| NCDEX |  |
| MCX   |  |
| MSE   |  |

2. Variable Network is Rs. \_\_\_\_\_/-

\*(Reason in case Variable Network is "Nil / Not Applicable"): \_\_\_\_\_

This is to certify that the Network of M/s. \_\_\_\_\_ (Name of the Member) as on \_\_\_\_\_ as per RBI guidelines is Rs. \_\_\_\_\_ only.

We further certify that:

- The computation of Network based on my / our scrutiny of the books of accounts, records and documents is true and correct to the best of my / our knowledge and as per information provided to my / our satisfaction.
- The computation of Network is in accordance with method of computation prescribed by Schedule VI of SEBI (Stock Brokers) (Amendment) Regulations, 2022.
- The computation of Variable Network is in accordance with the method of computation prescribed by SEBI as per SEBI Gazette Notification No. SEBI/LAD-NRO/GN/2022/73 dated February 23, 2022 on revised Network requirement or as amended from time to time\*.
- We hereby confirm that we are not the related party to the aforesaid entity.
- The computation of Network is based on company's standalone financial statements and based on audited financial statements.



**Place:**  
**Date:**  
**UDIN:**

**For (Name of Certifying Firm)**  
**PAN no. of CA/CS Firm**

**Name of Partner/Proprietor**  
**Chartered Accountants / Company Secretaries**  
**PAN no. of Partner/Proprietor**  
**Membership Number**

**Name and PAN of all Directors/Partners of certifying Chartered Accountant/Company Secretary firm**

| <b>Sr no</b> | <b>Name of Director/Partner</b> | <b>PAN of Director/Partner</b> |
|--------------|---------------------------------|--------------------------------|
|              |                                 |                                |

\*Shall be read with amendments, circular, notification issued in this regard till date.

**Format C-1**  
**Method of computation of Networth as per Schedule VI of SEBI (Stock Brokers)**  
**(Amendment) Regulations, 2022**

The method of computation of Networth as prescribed by Schedule VI of SEBI (Stock Brokers) (Amendment) Regulations, 2022 is as follows:

| <b>Sr. No.</b> | <b>Particulars</b>  | <b>Amount in Rs.</b> |
|----------------|---|----------------------|
| A.             | Capital   |                      |
| B.             | Free Reserves   |                      |
| C.             | <b>Less: Non-allowable assets viz.,</b>                                 |                      |
|                | (a) Fixed Assets  |                      |
|                | (b) Pledged Securities  |                      |
|                | (c) Member's card   |                      |
|                | (d) Non-allowable securities (unlisted securities)                      |                      |
|                | (e) Bad deliveries  |                      |
|                | (f) Any Debts and Advances (except trade debtors of less than 3 months) |                      |
|                | (g) Prepaid expenses, losses  |                      |
|                | (h) Intangible Assets   |                      |
|                | (i) 30% of Marketable securities  |                      |
| D.             | <b>Total Amount (A + B - C)</b>   |                      |

**Place:**

**For (Name of Certifying Firm)**  
**PAN no. of CA/CS Firm**

**Date:**

**UDIN:**

**Name of Partner/Proprietor**  
**Chartered Accountants / Company Secretaries**  
**PAN no. of Partner/Proprietor**  
**Membership Number**

## CLARIFICATION ON NETWORTH COMPUTATION

### A) Share Capital + Free Reserves

| S.No. | Components of Networth | Remarks  |
|-------|------------------------|--|
| 1     | Share Capital          | <p>This element shall include:-</p> <ul style="list-style-type: none"><li>• Paid-up equity share capital of the member.</li><li>• Paid-up Preference share capital of the member.</li><li>• Fully, compulsorily &amp; mandatorily convertible debentures/ Bonds/ warrants which are convertible within a period of 5 years from the date of issue</li><li>• Share application money</li></ul> <p>Loans from partners / directors / promoters will not be considered as share capital</p>   |
| 2     | Free Reserves          | <p>As per Sec. 2(43) of the Companies Act, 2013, free reserves mean such reserves which, as per the latest audited balance sheet of a company, are available for distribution as dividend:</p> <p>Provided that—</p> <p>(i) any amount representing unrealised gains, notional gains or revaluation of assets, whether shown as a reserve or otherwise, or</p> <p>(ii) any change in carrying amount of an asset or of a liability recognised in equity, including surplus in profit and loss account on measurement of the asset or the liability at fair value, shall not be treated as free reserves.</p> <p>Free Reserves shall include Profit &amp; Loss, General Reserve, Securities Premium, Preference Share Redemption Reserve, Capital Redemption Reserve etc. balance of which represents surplus arising out of sale proceeds of assets but will not include reserves created by revaluation of assets.</p> <p>Free Reserves should not include reserves such as Revaluation Reserve, Capital Reserve, Amalgamation Reserve, Debenture Redemption Reserve and other like reserves.</p> |

## B) Non-Allowable Assets

| S. No.   | Components of Networth | Remarks   |             |        |   |            |  |           |                                     |  |  |           |   |          |                             |           |
|--|------------------------|---|-------------|--------|---|------------|--|-----------|-------------------------------------|--|--|-----------|---|----------|-----------------------------|-----------|
| 3  | Fixed Assets           | <p>This shall include: -</p> <ul style="list-style-type: none"><li>• Net book value of all the Tangible Assets as per Balance Sheet / Trial Balance.</li><li>• Advances given for acquisition of fixed assets</li><li>• Capital work in progress.</li></ul> <p>Assets under lease or taken on rent need not be deducted from the Networth</p>   |             |        |   |            |  |           |                                     |  |  |           |   |          |                             |           |
| 4  | Pledged Securities     | <p>Total value of own securities (as recorded in the books of accounts) pledged with the Banks / NBFC or any Financial Institution for raising funds.</p> <p>Own shares pledged to clearing corporations/clearing members are not required to be deducted from Networth.</p> <p>Illustration:</p> <table><tr><th>Particulars</th><th>Amount</th></tr><tr><td>Total Value of own securities as per books of accounts (all Marketable)</td><td>Rs. 1000/-</td></tr><tr><td>Total Value of own securities pledged (Included above)</td><td>Rs. 700/-</td></tr><tr><td colspan="2">Amount to be deducted from Networth</td></tr><tr><td>Value of pledged securities (100% of Rs. 700/-)<br/>(To be deducted under this point)</td><td>Rs. 700/-</td></tr><tr><td>30 % of the balance marketable shares (see point 9)<br/>(30% of (Rs. 1000-Rs. 700) )</td><td>Rs. 90/-</td></tr><tr><td>TOTAL AMOUNT TO BE DEDUCTED</td><td>Rs. 790/-</td></tr></table> | Particulars | Amount | Total Value of own securities as per books of accounts (all Marketable) | Rs. 1000/- | Total Value of own securities pledged (Included above) | Rs. 700/- | Amount to be deducted from Networth |  | Value of pledged securities (100% of Rs. 700/-)<br>(To be deducted under this point) | Rs. 700/- | 30 % of the balance marketable shares (see point 9)<br>(30% of (Rs. 1000-Rs. 700) ) | Rs. 90/- | TOTAL AMOUNT TO BE DEDUCTED | Rs. 790/- |
| Particulars  | Amount                 |   |             |        |   |            |  |           |                                     |  |  |           |   |          |                             |           |
| Total Value of own securities as per books of accounts (all Marketable)              | Rs. 1000/-             |   |             |        |   |            |  |           |                                     |  |  |           |   |          |                             |           |
| Total Value of own securities pledged (Included above)                               | Rs. 700/-              |   |             |        |   |            |  |           |                                     |  |  |           |   |          |                             |           |
| Amount to be deducted from Networth  |                        |   |             |        |   |            |  |           |                                     |  |  |           |   |          |                             |           |
| Value of pledged securities (100% of Rs. 700/-)<br>(To be deducted under this point) | Rs. 700/-              |   |             |        |   |            |  |           |                                     |  |  |           |   |          |                             |           |
| 30 % of the balance marketable shares (see point 9)<br>(30% of (Rs. 1000-Rs. 700) )  | Rs. 90/-               |   |             |        |   |            |  |           |                                     |  |  |           |   |          |                             |           |
| TOTAL AMOUNT TO BE DEDUCTED  | Rs. 790/-              |   |             |        |   |            |  |           |                                     |  |  |           |   |          |                             |           |

|   |                                 |   |
|---|---------------------------------|---|
| 5 | <b>Non-allowable securities</b> | <p>This shall include: -</p> <ul style="list-style-type: none"> <li>• Value of all unlisted securities as recorded in the balance sheet including available under 'non-current investments'.</li> <li>• Investments done in unlisted securities of associate / subsidiary / group companies.</li> </ul> <p>Liquid &amp; Debt Mutual Funds, G-Sec, non-government debt securities, corporate bonds shall not form part of Non-allowable securities and the same shall be covered under 30% of marketable securities (See point no..9).</p>   |
| 6 | <b>Any Debts and advances</b>   | <p>This shall include: -</p> <ul style="list-style-type: none"> <li>• Any debts and advances (except trade debtors of less than 3 months)</li> <li>• Wherever, a provision is created for Doubtful / Bad Debts, net amount i.e. after reducing provision made for Doubtful / Bad Debts shall be considered.</li> <li>• Any amount given in the nature of Loans, advances, inter corporate deposits given to associates including subsidiaries / group companies of the member.</li> <li>• Loans given to Directors/Partners or any related party of the Member or its Directors or its partners or to the entities in which such director /partners or their relatives have control, irrespective of time period, shall also be deducted.</li> <li>• 'Associate' shall have the meaning as per the SEBI (Intermediaries) Regulations, 2008</li> </ul> <p><i>“associate” means and includes any person controlled, directly or indirectly, by the intermediary, any person who controls, directly or indirectly, the intermediary, or any entity or person under common control with such intermediary, or where such intermediary is a natural person any relative as defined under the Companies Act, 1956 (1 of 1956) of such intermediary or where such intermediary is a body corporate its group companies or companies under the same management;</i></p> <p><i>The expression 'control' shall have the same meaning as defined under clause (c) of Regulation 2 of the SEBI (Substantial Acquisition of Shares and Takeovers) Regulations, 1997.</i></p> <ul style="list-style-type: none"> <li>• <i>The term related party shall have the same meaning as given in clause 76 &amp; 77 of Section 2 of Companies Act 2013 to be read with Rule 4 of the Companies (Specification and definition details) Rules, 2014.</i></li> </ul> |

| 7                                       | <b>Prepaid Expenses, losses</b>     | <p>This shall include:</p> <ul style="list-style-type: none"> <li>• Prepaid expenses and losses as per Balance Sheet / Trial Balance.</li> <li>• Preliminary / Deferred revenue / Pre-operative expenses / Deferred Tax Asset/ MAT credit not written-off as per Balance Sheet</li> <li>• GST credit not required to be deducted</li> </ul>  |             |  |              |               |   |         |                            |   |         |                                    |            |                |                                |  |               |   |  |  |            |  |  |  |  |  |
|---|-------------------------------------|--|-------------|--|--------------|---------------|---|---------|----------------------------|---|---------|------------------------------------|------------|----------------|--------------------------------|--|---------------|---|--|--|------------|--|--|--|--|--|
| 8                                       | <b>Intangible Assets</b>            | <p>Net book value of intangible assets such as goodwill, patents, copyrights, trademarks, computer software, investment in artwork and other antique items etc. as per Balance Sheet / Trial Balance</p>   |             |  |              |               |   |         |                            |   |         |                                    |            |                |                                |  |               |   |  |  |            |  |  |  |  |  |
| 9                                       | <b>30% of Marketable Securities</b> | <p>This shall include:</p> <table border="1"> <thead> <tr> <th>Particulars</th><th></th><th>Amount (Rs.)</th></tr> </thead> <tbody> <tr> <td>Listed Shares</td><td>A</td><td>Rs. 200</td></tr> <tr> <td>G-Sec (having 10% haircut)</td><td>B</td><td>Rs. 100</td></tr> <tr> <td><b>TOTAL MARKETABLE SECURITIES</b></td><td><b>A+B</b></td><td><b>Rs. 300</b></td></tr> <tr> <td><b>Deduction from Networth</b></td><td></td><td><b>Rs. 70</b></td></tr> <tr> <td>30% of Listed Shares – (30% of Rs. 200)</td><td></td><td></td></tr> <tr> <td>- Rs. 60/-</td><td></td><td></td></tr> <tr> <td>10% of G Sec – 10% of Rs. 100 - Rs. 10</td><td></td><td></td></tr> </tbody> </table> <ul style="list-style-type: none"> <li>• Listed securities held either as investment or Stock-in-Trade / Inventories shall be referred as marketable securities.</li> <li>• Value of these Securities to be considered for calculating this element shall be the value as recorded in the books of accounts, on the date of the computation of the Networth.</li> </ul> <p>It is observed that Clearing Corporations applies different hair cut for less riskier securities (Liquid and Debt Mutual Funds, G-Sec, non-government debt securities, corporate bonds, T-bills &amp; Sovereign Gold bonds) for the purpose of collecting collaterals from members. NCL vide its circular no. NCL/CMPT/48346 dated May 21, 2021 stipulated different hair cut on different type of approved securities. Based on this, instead of deducting 30% value, such approved securities (Liquid and Debt Mutual Funds, G-Sec, non-government debt securities, corporate bonds, T-bills &amp; Sovereign Gold bonds) can be aligned with the percentage hair cut applied by the clearing corporation on such collaterals.</p> <p>In case Liquid and Debt Mutual Funds, G-secs, T-bills, Sovereign Gold bonds, non-government debt securities, corporate bonds does not form part of aforementioned Exchange circular, Members are advised to refer SEBI circular dated Feb 21, 2019 for the haircut.</p> | Particulars |  | Amount (Rs.) | Listed Shares | A | Rs. 200 | G-Sec (having 10% haircut) | B | Rs. 100 | <b>TOTAL MARKETABLE SECURITIES</b> | <b>A+B</b> | <b>Rs. 300</b> | <b>Deduction from Networth</b> |  | <b>Rs. 70</b> | 30% of Listed Shares – (30% of Rs. 200) |  |  | - Rs. 60/- |  |  | 10% of G Sec – 10% of Rs. 100 - Rs. 10 |  |  |
| Particulars                             |                                     | Amount (Rs.)   |             |  |              |               |   |         |                            |   |         |                                    |            |                |                                |  |               |   |  |  |            |  |  |  |  |  |
| Listed Shares                           | A                                   | Rs. 200  |             |  |              |               |   |         |                            |   |         |                                    |            |                |                                |  |               |   |  |  |            |  |  |  |  |  |
| G-Sec (having 10% haircut)              | B                                   | Rs. 100  |             |  |              |               |   |         |                            |   |         |                                    |            |                |                                |  |               |   |  |  |            |  |  |  |  |  |
| <b>TOTAL MARKETABLE SECURITIES</b>      | <b>A+B</b>                          | <b>Rs. 300</b>   |             |  |              |               |   |         |                            |   |         |                                    |            |                |                                |  |               |   |  |  |            |  |  |  |  |  |
| <b>Deduction from Networth</b>          |                                     | <b>Rs. 70</b>  |             |  |              |               |   |         |                            |   |         |                                    |            |                |                                |  |               |   |  |  |            |  |  |  |  |  |
| 30% of Listed Shares – (30% of Rs. 200) |                                     |  |             |  |              |               |   |         |                            |   |         |                                    |            |                |                                |  |               |   |  |  |            |  |  |  |  |  |
| - Rs. 60/-                              |                                     |  |             |  |              |               |   |         |                            |   |         |                                    |            |                |                                |  |               |   |  |  |            |  |  |  |  |  |
| 10% of G Sec – 10% of Rs. 100 - Rs. 10  |                                     |  |             |  |              |               |   |         |                            |   |         |                                    |            |                |                                |  |               |   |  |  |            |  |  |  |  |  |

|  |  |  |
|--|--|--|
|  |  | <p><b>Illustration:</b></p> <p>In this process, for those securities / other type of mutual funds wherever haircut applied by Clearing Corporation is higher than 30%, maximum ceiling percentage of 30% shall be applicable.</p> <p>Further, whenever member is dealing with more than one Exchanges / Clearing Corporations then for the purpose of haircut, maximum applicable haircut / VAR by any of the Clearing Corporations with shall be taken for valuation of such securities (Liquid and Debt Mutual Funds, G-Sec, non-government debt securities, corporate bonds, T-bills &amp; Sovereign Gold bonds).</p> |
|--|--|--|

**Annexure – 3**

*(To be provided on the Letterhead of the Member)*

**Format: C-2**

**Details of Membership on other Stock Exchanges & Details of Listing**

**PART I**

**Details of other stock exchange memberships held by trading member entity, holding company, subsidiary company, promoters, directors & partners as on 31/03/2025**

| Sr. No | Name | Relation@ | Stock Exchange | Since (specify the date) | Membership No. | Segment | Remarks |
|--------|------|-----------|----------------|--------------------------|----------------|---------|---------|
| 1      |      |           |                |                          |                |         |         |
| 2      |      |           |                |                          |                |         |         |
| 3      |      |           |                |                          |                |         |         |

**PART II**

**Details of listing on stock exchanges\***

| Sr. No. | Name of the Stock Exchange(s) on which company is listed | Listed since (date) | Delisted on (date) |
|---------|--|---------------------|--------------------|
| 1       |  |                     |                    |
| 2       |  |                     |                    |
| 3       |  |                     |                    |

**Date:**

**Signature of Compliance Officer / Partner**

**Place:**

**Name of Person Signing**

**NOTES:**

**@:**

**Please Indicate relation as:**

Where company is member of other stock exchange

- Self

Where director of company is member of other stock exchange

- Director

Where partnership firm is member of other stock exchange

- Partner

Where sole proprietor is member of other stock exchange

- Self

\* Please strike off if the entity is not listed on any stock exchange.



### **CERTIFICATE**

This is to certify that the details given in Annexure 3 above, based on my/our scrutiny of the books of accounts, records and documents are true and correct to the best of my/our knowledge and as per information provided to my/our satisfaction.

**Place:**

**Date:**

**UDIN:**

**For (Name of Certifying Firm)**

**Name of Partner/Proprietor**

**Chartered Accountant / Company Secretary**

**Membership Number**

**Annexure – 4(a)**

*(To be provided on the Letterhead of the Member)*

**Format: C-3 (Details of Directors in case of Corporates)  
DETAILS OF DIRECTORS AS ON 31/03/2025**

| Sr No | Name (in full) \$ | Experience (No. of years) @ | PAN No. | DIN No. | Qualification* | Designated director (Yes/No) # | Equity Share holding |     |            | Preference Shareholding |     |            | Date of Birth | Residential Address (with Pin code) | Contact No. | Directorship /controlling shareholding in other cos. |
|-------|-------------------|-----------------------------|---------|---------|----------------|--------------------------------|----------------------|-----|------------|-------------------------|-----|------------|---------------|-------------------------------------|-------------|--|
|       |                   |                             |         |         |                |                                | No.                  | Amt | % of total | No.                     | Amt | % of total |               |                                     |             |  |
| 1     |                   |                             |         |         |                |                                |                      |     |            |                         |     |            |               |                                     |             |  |
| 2     |                   |                             |         |         |                |                                |                      |     |            |                         |     |            |               |                                     |             |  |
| 3     |                   |                             |         |         |                |                                |                      |     |            |                         |     |            |               |                                     |             |  |

**NOTES :**

\$ All initials to be expanded (full name to be indicated along with Father's name).

@ Experience only in (i) securities market, (ii) as investment consultant, (iii) as portfolio manager, be indicated.

\* Indicate also whether the director is a 'graduate' or an 'under graduate'.

# (1) Against each director, please state whether he is designated director or not by indicating 'Yes' or 'No'.

(2) There must be atleast two designated directors. (A designated director shall be atleast HSC by qualification (or CA, ICWA, CS, etc) and possess atleast 2 years of experience in (i) securities market, (ii) as investment consultant, (iii) as portfolio manager.

(3) Please note that a trading member may have more than 2 designated directors.

(4) Any appointment or resignation of a non-designated director requires fee clearance of the Exchange as per SEBI circular no SEBI/MIRSD/Cir. No.03/2010 dated January 21, 2010

(5) Any appointment or resignation of a designated director requires prior approval of the Exchange as per SEBI circular no CIR/MIRSD/2/2011 dated June 03, 2011

**We confirm that the change in directors is not accompanied with change in shareholding / control of the trading member.**

**Date:**

**Place:**

**Director / Compliance Officer /Company Secretary  
Name of the Person signing**

### **CERTIFICATE**

This is to certify that the details of directors/proprietor and their shareholding in M/s \_\_\_\_\_ and the details of their Directorships / controlling shareholding in other companies as given in Annexure 4 above, based on my/ our scrutiny of the books of accounts, records and documents are true and correct to the best of my/our knowledge and as per information provided to my/our satisfaction.

**Place:**

**Date:**

**UDIN:**

**For (Name of Certifying Firm)**

**Name of Partner/ Proprietor**

**Chartered Accountant / Company Secretary**

**Membership Number**

**Annexure 4(b)**  
**Format: C-3 (Details of Partners - LLP)**  
*(To be provided on the Letterhead of the Member)*

**Details of the Partners as on March 31, 20\*\* (For LLP)**

Details of all Partners as on \_\_\_\_\_ (date should not be later than the date of the earliest Partnership resolution)

| Sr. | Particulars   | 1  | 2  | 3  |
|-----|---|--|--|--|
| 1.  | Name  | First Name:<br>Middle Name:<br>Surname:                                    | First Name:<br>Middle Name:<br>Surname:                                    | First Name:<br>Middle Name:<br>Surname:                                    |
| 2.  | Father Name   |  |  |  |
| 3.  | Designated Partner ( <i>minimum two</i> )   | Yes / No*  | Yes / No*  | Yes / No*  |
| 4.  | Citizenship Details   |  |  |  |
| 5.  | Passport No.<br>(in case of Foreign Individuals)  | Place of Issue:<br>Valid till:   | Place of Issue:<br>Valid till:   | Place of Issue:<br>Valid till:   |
| 6.  | Date of Birth   |  |  |  |
| 7.  | Date of Admission of Partner  |  |  |  |
| 8.  | PAN   |  |  |  |
| 9.  | Aadhaar No. (Optional)  |  |  |  |
| 10. | DPIN No. / DIN No.  |  |  |  |
| 11. | Qualification of Partner ( <i>minimum HSC</i> ) <sup>s</sup>  |  |  |  |
| 12. | Experience** (in years)<br>( <i>add annexures if multiple</i> )   | Name of Organisation:<br>Designation:<br>Field / Activity:<br>From:<br>To: | Name of Organisation:<br>Designation:<br>Field / Activity:<br>From:<br>To: | Name of Organisation:<br>Designation:<br>Field / Activity:<br>From:<br>To: |
| 13. | Residence Address<br>City:<br>District<br>State / Union Territory:<br>Pin code:<br>Tel No(s):<br>Fax No(s):   |  |  |  |
| 14. | Mobile No.:   |  |  |  |
| 15. | Email ID:   |  |  |  |
| 16. | % of sharing of profit / losses in Member Entity  |  |  |  |
| 17. | Whether Partner (in the capacity of director in other entities) is disqualified under section 164 of Companies Act, 2013? <i>If yes, provide details of action u/s 167 of Companies Act, 2013</i> | Yes / No   | Yes / No   | Yes / No   |

Signature of Designated Partners/ Authorised signatory/ Compliance officer under rubber stamp

### Certificate

This is to certify that the details of partners and their sharing pattern in \_\_\_\_\_ (name of Member entity) and the details of their Partnerships / controlling interest in other companies / entities, as provided by \_\_\_\_\_ (name of Member entity) above, based on my / our scrutiny of the books of accounts, records and documents is true and correct to the best of my / our knowledge and as per information provided to my / our satisfaction.

Further, based on the information, explanation and documents given to us, we state that the designated partners as mentioned above meet the eligibility requirements as prescribed in Securities Contracts (Regulation) Rules, 1957 (rule 8(4A) and other relevant provisions) and, SEBI (Stock Brokers) Regulations, 1992.

Date:

Place:

For (Name of Certifying Firm)

Name of the partner / proprietor  
Chartered Accountant / Company Secretary  
Membership No.:  
CP No.:  
UDIN -  
(Rubber Stamp of Firm)

### Notes:

- a. \*If the aforesaid declaration exceeds in more than one page, please take the signature of designated partners/ authorized signatory/ compliance officer and practicing CA on all the pages.
- b. \*\*No. of years in capital market is minimum 2 years for Designated Partners.
- c. \$ For Designated Partner, the qualification should be minimum HSC. Further, if there is a minor mismatch of name on the educational certificate as compared to PAN, then kindly provide affidavit. In case of name change, then kindly provide copy of gazette.
- d. # If Directorship / Controlling shareholding in other Cos / entities is provided as separate Annexure, then it should be certified by Designated Partner/ authorized signatory/ compliance officer along with sign and stamp of the practicing CA / CS (as applicable).
- e. Any admission/appointment, discontinuation/resignation of a designated partner/partner requires prior approval of Exchange/ Clearing Corporation.

**Annexure 4(c)**  
**Format: C-3 (Details of Partners – Partnership Firm)**  
*(To be provided on the Letterhead of the Member)*

**Details of the Partners as on March 31, 20\*\* (for Partnership Firms)**

Details of all Partners as on \_\_\_\_\_ (date should not be later than the date of the earliest partnership resolution)

| Sr. | Particulars   | 1  | 2  | 3  |
|-----|---|--|--|--|
| 1.  | Name  | First Name:<br>Middle Name:<br>Surname:                                    | First Name:<br>Middle Name:<br>Surname:                                    | First Name:<br>Middle Name:<br>Surname:                                    |
| 2.  | Father Name   |  |  |  |
| 3.  | Designated /Managing Partner ( <i>minimum two</i> )   | Yes / No*  | Yes / No*  | Yes / No*  |
| 4.  | Citizenship Details   |  |  |  |
| 5.  | Passport No.<br>(in case of Foreign Individuals)  | Place of Issue:<br>Valid till:   | Place of Issue:<br>Valid till:   | Place of Issue:<br>Valid till:   |
| 6.  | Date of Birth   |  |  |  |
| 7.  | Date of Admission of Partner  |  |  |  |
| 8.  | PAN   |  |  |  |
| 9.  | Aadhaar No. (Optional)  |  |  |  |
| 10. | DPIN No. / DIN No.  |  |  |  |
| 11. | Qualification of Partner ( <i>minimum HSC</i> ) <sup>s</sup>  |  |  |  |
| 12. | Experience** (in years)<br>( <i>add annexures if multiple</i> )   | Name of Organisation:<br>Designation:<br>Field / Activity:<br>From:<br>To: | Name of Organisation:<br>Designation:<br>Field / Activity:<br>From:<br>To: | Name of Organisation:<br>Designation:<br>Field / Activity:<br>From:<br>To: |
| 13. | Residence Address<br>City:<br>District<br>State / Union Territory:<br>Pin code:<br>Tel No(s):<br>Fax No(s):   |  |  |  |
| 14. | Mobile No.:   |  |  |  |
| 15. | Email ID:   |  |  |  |
| 16. | % of sharing of profit / losses in Member Entity  |  |  |  |
| 17. | Whether Partner (in the capacity of director in other entities) is disqualified under section 164 of Companies Act, 2013? <i>If yes, provide details of action u/s 167 of Companies Act, 2013</i> | Yes / No   | Yes / No   | Yes / No   |

Signature of Designated /Managing Partners / Authorised signatory/ Compliance officer under rubber stamp

### Certificate

This is to certify that the details of partners and their sharing pattern in \_\_\_\_\_ (name of Member entity) and the details of their Partnerships / controlling interest in other companies / entities, as provided by \_\_\_\_\_ (name of Member entity) above, based on my / our scrutiny of the books of accounts, records and documents is true and correct to the best of my / our knowledge and as per information provided to my / our satisfaction.

Further, based on the information, explanation and documents given to us, we state that the designated /managing partners as mentioned above meet the eligibility requirements as prescribed in Securities Contracts (Regulation) Rules, 1957 (rule 8(4A) and other relevant provisions) and, SEBI (Stock Brokers) Regulations, 1992.

|        |  |
|--------|--|
| Date:  | For (Name of Certifying Firm)  |
| Place: | Name of the partner / proprietor<br>Chartered Accountant / Company Secretary<br>Membership No.:<br>CP No.:<br>UDIN -<br>(Rubber Stamp of Firm) |

#### Notes:

- a. \*If the aforesaid declaration exceeds in more than one page, please take the signature of designated partners/ compliance officer/ Authorised signatory and practicing CA on all the pages.
- b. \*\*No. of years in capital market is minimum 2 years for Designated / managing Partners.
- c. \$For Designated /Managing Partner, the qualification should be minimum HSC. Further, if there is a minor mismatch of name on the educational certificate as compared to PAN, then kindly provide affidavit. In case of name change, then kindly provide copy of gazette.
- d. #If Directorship / Controlling shareholding in other Cos / entities is provided as separate Annexure, then it should be certified by Designated /Managing Partner/ compliance officer/ Authorised signatory along with sign and stamp of the practicing CA / CS (as applicable).
- e. Any admission/appointment, discontinuation/resignation of a Designated/Managing partner/partner requires prior approval of Exchange/ Clearing Corporation.

**Annexure 5 (a) for Corporates**  
(To be provided on the Letterhead of the Member)

**Format: C-7**

**Details of Shareholding Pattern & promoter/non promoter group of Corporates)**

**Certificate dated \_\_\_\_\_**

Share Holding Pattern \* of \_\_\_\_\_ (Name of the Entity) as on March 31, 2025

Total Equity Share capital: Rs. \_\_\_\_\_ (In figures), Rs. \_\_\_\_\_ (In words).

Total Paid up Equity Share capital: Rs. \_\_\_\_\_ (In figures), Rs. \_\_\_\_\_ (In words).

Face value of each equity share (or any other instrument): Rs. \_\_\_\_\_ (In figures) Rs. \_\_\_\_\_ (In words)

| <b>PART I –PROMOTER GROUP</b>           |                                      |   |   |                           |                                   |                          |                       |                     |                                       |
|---|--------------------------------------|---|---|---------------------------|-----------------------------------|--------------------------|-----------------------|---------------------|---------------------------------------|
| <b>Sr No.</b>                           | <b>Name of promoter <sup>1</sup></b> | <b>Under what capacity <sup>2</sup></b> | <b>Residential address (with Pin code) &amp; Contact No</b> | <b>No. of shares held</b> | <b>Face value per share (Rs.)</b> | <b>Total Amt paid up</b> | <b>% shareholding</b> | <b>Pan Card No.</b> | <b>CIN NO (In case of corporates)</b> |
| 1                                       | A                                    |   |   |                           |                                   |                          |                       |                     |                                       |
| 2                                       | B                                    |   |   |                           |                                   |                          |                       |                     |                                       |
| 3                                       | C                                    |   |   |                           |                                   |                          |                       |                     |                                       |
| <b>TOTAL PROMOTER GROUP HOLDING (A)</b> |                                      |   |   |                           |                                   |                          |                       |                     |                                       |

| <b>PART II – NON PROMOTER GROUP</b>         |                                 |                           |                                   |                          |                       |                     |                                       |  |  |
|---|---------------------------------|---------------------------|-----------------------------------|--------------------------|-----------------------|---------------------|---------------------------------------|--|--|
| <b>Sr No.</b>                               | <b>Name of the non promoter</b> | <b>No. of shares held</b> | <b>Face value per share (Rs.)</b> | <b>Total Amt paid up</b> | <b>% shareholding</b> | <b>Pan Card No.</b> | <b>CIN NO (In case of corporates)</b> |  |  |
| 4   |                                 |                           |                                   |                          |                       |                     |                                       |  |  |
| 5   |                                 |                           |                                   |                          |                       |                     |                                       |  |  |
| 6   | OTHERS                          |                           |                                   |                          |                       |                     |                                       |  |  |
| <b>TOTAL NON PROMOTER GROUP HOLDING (B)</b> |                                 |                           |                                   |                          |                       |                     |                                       |  |  |
| <b>GRAND TOTAL (A) + (B)</b>                |                                 |                           |                                   |                          | 100%                  |                     |                                       |  |  |

<sup>1</sup>Promoter as defined under SEBI (Issue of Capital and Disclosure Requirements) Regulations, 2018 for Listed companies and as per Section 69 of companies Act 2013 for unlisted companies. Persons having controlling interest in terms of SEBI (Stock broker) Regulations 1992 shall also form part of the Promoter/Promoter Group.



<sup>2</sup>As defined in SEBI (Issue of Capital and Disclosure Requirements) Regulations, 2018 for Listed companies and as per Section 69 of companies Act 2013 for unlisted companies and/or having controlling interest in terms of SEBI (Stock broker) Regulations 1992 and Persons Acting in concert as defined under 2 (q) of Chapter I of SEBI (SAST) Regulations, 2011

**NOTES:**

1. In case of all body corporate in the promoter group of the trading member entity, the details of their shareholding shall also be furnished in the same format as given above
2. In case of HUF, give names of Karta and co-parceners.
3. Persons holding less than 2% of the paid up capital (not covered in the definition of promoter) may be clubbed and shown as 'others' under Non promoter group
4. Persons Acting in concert should be included in the list of promoters and should be mentioned as 'PAC' under the head 'Under what capacity'
5. All initials to be expanded (full name to be indicated)

**Date:**

**Place:**

**Signature of Compliance Officer / Director**  
**Name of Person Signing**

**CERTIFICATE**

This is to certify that the details of shareholding pattern and promoter group of M/s \_\_\_\_\_ (Name of Trading Member) as given in above Annexure, based on my/ our scrutiny of the books of accounts, records and documents are true and correct to the best of my/our knowledge and as per information provided to my/our satisfaction.

**Place:**

**Date:**

**For (Name of Certifying Firm)**

**Name of Partner/Proprietor**

**Chartered Accountant / Company Secretary**

**Membership Number**

**UDIN**

**(Signature under Rubber stamp of Firm)**

**Annexure 5 (b) for Partnerships Firms/LLP**  
(To be provided on the Letterhead of the Member)

**Format: C-7**

**Certificate dated \_\_\_\_\_**

**Sharing Pattern & Details of Partner as on \_\_\_\_\_ (For Partnership Firms / LLP)**

Monetary Value of Contribution of \_\_\_\_\_ (Name of the PF/ LLP) as on \_\_\_\_\_ (Date) is Rs. \_\_\_\_\_ (in figures)  
[Rupees \_\_\_\_\_ (in words)]

| Sr No | Name of partner <sup>1</sup> | PAN Card No.                   | Residential address (with Pin code) & Contact No. | Date of Birth | Capital contribution | Sharing % in profits | Sharing % in loss | Whether Designated Partner (Y/N) | Experience (No. of years) <sup>2</sup> @ | Education <sup>2</sup> | Directorships/ Partnerships/controlling shareholding in other cos. |
|-------|------------------------------|--------------------------------|---|---------------|----------------------|----------------------|-------------------|----------------------------------|--|------------------------|--|
| 1     | A                            |                                |   |               |                      |                      |                   |                                  |  |                        |  |
| 2     | B                            |                                |   |               |                      |                      |                   |                                  |  |                        |  |
| 3     | C                            |                                |   |               |                      |                      |                   |                                  |  |                        |  |
|       |                              | <b>TOTAL PARTNERS HOLDINGS</b> |   |               |                      |                      |                   |                                  |  |                        |  |

<sup>1</sup> Partner as defined in partnership deed/LLP Agreement

<sup>2</sup> Applicable only in case where partner is a designated partner

All initials to be expanded (full name to be indicated).

**NOTES:**

@There must be atleast two designated / managing partners. (A designated /managing partner shall be atleast HSC by qualification and possess atleast 2 years of experience in an activity related to dealing in securities or as portfolio manager or as investment consultant or as a merchant banker or in financial services or treasury, broker, sub broker, authorised agent or authorised clerk or authorised representative or remisier or apprentice or client to a member of a recognised stock exchange, dealer, jobber, market maker, or in any other manner in dealing in securities or clearing and settlement thereof.

Any change in partners not amounting to dissolution of the firm requires prior approval of the Exchange/SEBI as per SEBI circular no. CIR/MIRSD/2/2011 dated June 03, 2011 and SEBI/HO/MIRSD/DOR/CIR/P/2021/42 dated March 25, 2021.

Change in Control shall have the same meaning as defined under SEBI (Stock Broker) Regulations, 1992.

**Date:**

**Place:**

**Signature of Compliance Officer / Designated Partner/ Managing Partner**  
**Name of Person Signing**

### **CERTIFICATE**

This is to certify that the details of sharing pattern of M/s \_\_\_\_\_ **(Name of Trading Member)** as given in above Annexure, based on my/our scrutiny of the books of accounts, records and documents are true and correct to the best of my/our knowledge and as per information provided to my/our satisfaction.

**Place:**

**Date:**

**For (Name of Certifying Firm)**

**Name of Partner/Proprietor**

**Chartered Accountant / Company Secretary**

**Membership Number**

**UDIN**

(Signature under Rubber stamp of Firm)

## **Annexure 6**

*(To be provided on the Letterhead of the Member)*

### **Format: C-10 (Undertaking Stating No Changes in Documents C-2 to C-7)**

#### **Undertaking Stating No Changes in Documents C-2 to C-7**

After verification of the books of accounts, records and documents, we hereby confirm that as per our records, details of documents C-2 to C-7 as on March 31, 2025 are exactly the same as per the documents C-2 to C-7 submitted by us as on March 31, 2024 and there is no change in any details as compared to March 31, 2024.

**OR**

Details of documents C-2 to C-7 as per our records as on March 31, 2025 are exactly the same as per records of the Exchange as on March 31, 2025 made available to the member by the Exchange and any change, if any, therein have been intimated to / got approved from the Exchange, as may be applicable.

We also confirm as under:

| <b>Sr. No.</b> | <b>Document Type</b> | <b>Description</b>  | <b>Annexure No.</b> | <b>Change from previous accounting Year(Yes/No/NA)</b> |
|----------------|----------------------|---|---------------------|--|
| 1              | C-2                  | Details of Membership on other Stock Exchanges & Details of Listing | 3                   |  |
| 2              | C-3                  | Details of Directors  | 4                   |  |
| 4              | C-7                  | Details of Shareholding Pattern & Promoter/Non Promoter Group       | 5                   |  |

**Note:**

- In case there is any change in the details of documents C-2 to C-7, we are submitting required details as per the prescribed format.

**Date:**

**Place:**

**Signature of Compliance Officer / Director**

**Name of Person Signing**

### **CERTIFICATE**

This is to certify that the details given in Annexure 6 above, based on my/our scrutiny of the books of accounts, records and documents are true and correct to the best of my/our knowledge and as per information provided to my /our satisfaction.

**Place:**

**Date:**

**For (Name of Certifying Firm)**

**Name of Partner/Proprietor**

**Chartered Accountant / Company Secretary**

**Membership Number**

**UDIN:**