



MCX Circular No. MCX/MCXCCL/585/2026

October 15, 2026

MCXCCL Circular no.: MCXCCL/MEM/223/2026

Submission of Annual Returns for Financial Year 2025-2026

As per the continuing membership norms of the Clearing Corporation, all Members of the Clearing Corporation are hereby advised to submit Annual Returns and Annual Confirmations for the financial year ended March 31, 2026, on or before **October 31, 2026**.

Further, as per Enhanced Supervision guidelines prescribed 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 the provisions of Companies Act, 2013 are applicable to the member or not.

Members are requested to adhere to and comply with the applicable Net worth (i.e. higher of the Base Net worth or Variable Net worth) as stated in the SEBI Gazette Notification No. SEBI/LADNRO/GN/2022/73 dated February 23, 2022.

Further, as per SEBI PR No.58/2026 dated September 17, 2026 and MCXCCL circular no. MCXCCL/MEM/203/2026 dated September 18, 2026 regarding "Samuhik Prativedan Manch- A Technology based sharing mechanism of common submissions extended to Members of Clearing Corporations", Institutional Trading Cum Clearing Members/Self Clearing Members of the Clearing Corporation who are also registered with NSE will be required to submit their Annual Returns to NSE only. NSE in turn will share such compliance reports/ requests (including data/documents) with the Clearing Corporation(s).

Submitting data to NSE alone will be treated as submission to the Clearing Corporation and the same will be in compliance of the regulatory requirements for such Members. It may be noted that Institutional Trading Cum Clearing Members/Self Clearing Members of MCXCCL who are not registered with NSE for submissions and Professional Clearing Members are required to make submissions to MCXCCL through the Member Reporting Portal at link <https://memberreporting.mcxcl.com>.

Members may note that the processing of the submission along with the monitoring and supervision of compliances will continue to be carried out by MCXCCL as per the existing process and in case of any revision(s) in submission(s) the same is required to be submitted to MCXCCL.

Kindly refer below mentioned Annexures for submission of 'Annual Returns' and 'Annual Confirmations and other relevant information:

• **CHECKLIST AND FORMATS FOR SUBMISSION OF ANNUAL RETURNS:**

Sr. No	Document Type	Description	Annexure No.
1	Annual Accounts	Auditors report	1



Sr. No	Document Type	Description	Annexure No.
2	Formats of Networth Certificate		2
	C-1	Networth Certificate for Corporates, Firms & Individuals	
	C-1	Networth Certificate for Banks	
		Computation statement of Networth certificate (To be submitted with Networth Certificate)	
3	C-3	Details of Directors/Partners/Proprietor	3
4	C-7	Details of Shareholding Pattern & Promoter/Non-Promoter Group	4
	OR		
5	C-10	Undertaking stating no changes in Documents C-3 and C-7	5

Notes:

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, 2026.

• **Other relevant information**

Sr. No	Description	Annexure No.
1	Networth Requirement & Method of Computation	6
2	Submission of undertaking related to Politically Exposed Person (PEP) <i>(Undertaking related to Politically Exposed Person as on March 31, 2026, has to be submitted by the members on Member Reporting Portal.)</i>	7
3	Actions for Non-Compliance and Timeline and Penalty/Action for violation of Clearing Corporation guidelines by the Clearing Members	8
4	Help file for Submission of Annual Returns for Financial Year 2025-2026 <i>(For Institutional Trading cum Clearing Members /Self Clearing Members of MCXCCL who are not registered with NSE and Professional Clearing members (PCM) registered with MCXCCL)</i>	9



Any issues faced while uploading the Annual Returns in the MCXCCL Member Reporting Portal may be sent to the email id "membership@mcxccl.com" with the subject line "**Annual Returns for the financial year 2025-26 – Issues in Submission** - <Name of the Clearing member and Member code>".

All members are advised to take note of the same and comply.

For and on behalf of
Multi Commodity Exchange Clearing Corporation Limited

Sugandhee Gupta
AVP – Compliance, Membership & GRD

----- Corporate office -----
Multi Commodity Clearing Corporation Clearing Corporation Limited
Clearing Corporation Square, CTS No. 255, Suren Road, Chakala, Andheri (East), Mumbai – 400 093
Tel.: 022 – 68646000 Fax: 022 – 67269558 CIN: U74999MH2008PLC185349
www.mcxccl.com email: customersupport@mcxindia.com



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 stockbroker/Clearing member has complied with the requirements of the stock exchange/Clearing corporation so far as they relate to maintenance of accounts and was regular in submitting the required accounting information to the stock exchange/Clearing corporation.
- 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 in so far as it relates to the balance-sheet, of the state of affairs of M/s. _____ and in so far 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

Formats of Network Certificate

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

CERTIFICATE

To:
The Concerned Stock Exchanges / Clearing Corporations

Subject: Network Certificate for [Name of Trading Member (TM)/Clearing Member (CM)/Professional Clearing Member (PCM)] bearing PAN: [-TM/CM/PCM PAN]

This is to certify that, in accordance with the SEBI (Stock Brokers) Regulations, 2026 and based on the guidelines, circulars, and communications issued by the relevant Market Infrastructure Institutions (MIIs) from time to time, we have verified the network of the aforementioned TM/CM/PCM as on _____ (dd/mm/yyyy).

A. Variable Network Requirement of the TM/CM/PCM:- ₹ _____/-

In case of NIL/Not Applicable variable network, kindly provide reason.

B. Computed Network of the TM/CM/PCM:-

As per the computation statement annexed and dated the same as this certificate, the computed net worth of the TM/CM/PCM - is ₹ _____ /- (Rupees _____ only)

C. Certification:

We hereby confirm and certify that:

1. The computation of network is based on our review of the books of accounts, records, and relevant documents, and is true and correct to the best of our knowledge and based on information provided to our satisfaction.
2. We are not a related party to the TM/CM/PCM.
3. A list of all partners of our CA/CS firm (where applicable), along with their respective PANs as on the date of signing, is attached as an annexure.
4. The computation is based on the TM/CM/PCM standalone financials and is derived from audited / unaudited (strike out whichever is not applicable) financial statements.
5. I/we confirm that I/we do not have any conflict of interest as per the relevant code of ethics or equivalent of the professional bodies (ICAI/ICSI) of which the certifying person is a member.
6. As per SEBI Circular ref. no. SEBI/HO/MIRSD/MIRSD-PoD/P/CIR/2025/61 dated May 02, 2025, the network of the Separate Business Unit carrying out securities market related activities in GIFT-IFSC is segregated from the network of the Trading Member/Clearing Member.



For: [Name of the CA/CS Firm / Individual] PAN of CA/CS Firm / Individual: [PAN]
Name of Signatory: [Name]

Designation: [Proprietor / Partner]
PAN of Signatory: [PAN]
Membership No of CA/CS:
Firm Registration number (wherever applicable):

Date:
UDIN:

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

Sr no	Name of Director/Partner	PAN of Director/Partner



Format: C-1 (Networth Certificate for Banks)

CERTIFICATE

To:
The Concerned Stock Exchanges / Clearing Corporations

Subject: Network Certificate for [Name of Trading Member (TM)/Clearing Member (CM)/Professional Clearing Member (PCM)] bearing PAN: [-TM/CM/PCM PAN]

This is to certify that, in accordance with the RBI guidelines and circulars and communications issued by the relevant Market Infrastructure Institutions (MIIs) from time to time, we have verified the network of the aforementioned TM/CM/PCM as on _____ (dd/mm/yyyy).

A. Variable Network Requirement of the TM/CM/PCM:- ₹ _____/-

In case of NIL/Not Applicable variable network, kindly provide reason.

B. Computed Network of the TM/CM/PCM:-

As per the computation statement annexed and dated the same as this certificate, the computed Network of the TM/CM/PCM – is ₹ _____/- (Rupees _____ only)

C. Certification:

We hereby confirm and certify that:

1. The computation of network is based on our review of the books of accounts, records, and relevant documents, and is true and correct to the best of our knowledge and based on information provided to our satisfaction.
2. We are not a related party to the TM/CM/PCM.
3. A list of all partners of our CA/CS firm (where applicable), along with their respective PANs as on the date of signing, is attached as an annexure.
4. The computation is based on the TM/CM/PCM standalone financials and is derived from audited / unaudited (strike out whichever is not applicable) financial statements.
5. I/we confirm that I/we do not have any conflict of interest as per the relevant code of ethics or equivalent of the professional bodies (ICAI/ICSI) of which the certifying person is a member.
6. As per SEBI Circular ref. no. SEBI/HO/MIRSD/MIRSD-PoD/P/CIR/2025/61 dated May 02, 2025, the network of the Separate Business Unit carrying out securities market related activities in GIFT-IFSC is segregated from the network of the Trading Member/Clearing Member/Professional Clearing Member (PCM).



For: [Name of the CA/CS Firm / Individual]

PAN of CA/CS Firm / Individual: [PAN]

Name of Signatory: [Name]

Designation: [Proprietor / Partner]

PAN of Signatory: [PAN]

Membership No of CA/CS:

Firm Registration number (wherever applicable):

Date:

UDIN:

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

Sr no	Name of Director/Partner	PAN of Director/Partner



Annexure - Computation statement of Networth certificate

Name of TM/CM/PCM –

PAN of TM/CM/PCM -

Sr. No.	Particulars	Amount in Rs.
A.	Paid up capital	
B.	Fully compulsorily and mandatorily convertible debentures / bonds / warrants which are convertible within a period of 5 years from the date of issue	
C.	Free reserves	
D.	Less: Non-allowable assets viz.,	
	(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	
E.	Networth (A + B + C - D)	

For: [Name of the CA/CS Firm / Individual]

PAN of CA/CS Firm / Individual: [PAN]

Name of Signatory: [Name]

Designation: [Proprietor / Partner]

PAN of Signatory: [PAN]

Membership No. of CA/CS:

Firm Registration number (wherever applicable):

Date:

UDIN:



CLARIFICATION ON NETWORTH COMPUTATION

A) Share Capital (Paid up capital + Fully, compulsorily & mandatorily convertible debentures/ Bonds/ warrants) + Free Reserves

Sr. No.	Components of Networth	Remarks
1	Paid up capital and Fully, compulsorily & mandatorily convertible debentures/ Bonds/ warrants	This element shall include:- • Paid-up equity share capital of the member. • Paid-up Preference share capital of the member. • Fully, compulsorily & mandatorily convertible debentures/ Bonds/ warrants which are convertible within a period of 5 years from the date of issue • Share application money Loans from partners / directors / promoters will not be considered as share capital
2	Free Reserves	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: Provided that— (i) any amount representing unrealised gains, notional gains or revaluation of assets, whether shown as a reserve or otherwise, or (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. Free Reserves shall include Profit & 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. Free Reserves should not include reserves such as Revaluation Reserve, Capital Reserve, Amalgamation Reserve, Debenture Redemption Reserve and other like reserves.



B) Non-Allowable Assets

Sr. No.	Components of Networkth	Remarks														
3	Fixed Assets	This shall include: - • Net book value of all the Tangible Assets as per Balance Sheet / Trial Balance. • Advances given for acquisition of fixed assets • Capital work in progress. Assets under lease or taken on rent need not be deducted from the Networkth														
4	Pledged Securities	Total value of own securities (as recorded in the books of accounts) pledged with the Banks / NBFC or any Financial Institution for raising funds. Own shares pledged to clearing corporations/clearing members are not required to be deducted from Networkth. Illustration: <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 Networkth</td></tr><tr><td>Value of pledged securities (100% of Rs. 700/-) (To be deducted under this point)</td><td>Rs. 700/-</td></tr><tr><td>30 % of the balance marketable shares (see point 9) (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 Networkth		Value of pledged securities (100% of Rs. 700/-) (To be deducted under this point)	Rs. 700/-	30 % of the balance marketable shares (see point 9) (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 Networkth																
Value of pledged securities (100% of Rs. 700/-) (To be deducted under this point)	Rs. 700/-															
30 % of the balance marketable shares (see point 9) (30% of (Rs. 1000-Rs. 700))	Rs. 90/-															
TOTAL AMOUNT TO BE DEDUCTED	Rs. 790/-															

5	Non-allowable securities	This shall include: - • Value of all unlisted securities as recorded in the balance sheet including available under 'non-current investments'. • Investments done in unlisted securities of associate / subsidiary / group companies. Liquid & 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).
6	Any Debts and advances	This shall include: - • Any debts and advances (except trade debtors of less than 3 months) • Wherever, a provision is created for Doubtful / Bad Debts, net amount i.e. after reducing provision made for Doubtful / Bad Debts shall be considered. • Any amount given in the nature of Loans, advances, inter corporate deposits given to associates including subsidiaries / group companies of the member. • 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. • 'Associate' shall have the meaning as per the SEBI (Intermediaries) Regulations, 2008 <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> <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> <i>The term related party shall have the same meaning as given in clause 76 & 77 of Section 2 of Companies Act 2013 to be read with Rule 4 of the Companies (Specification and definition details) Rules, 2014.</i>
7	Prepaid Expenses, losses	This shall include: • Prepaid expenses and losses as per Balance Sheet / Trial Balance. • Preliminary / Deferred revenue / Pre-operative expenses / Deferred Tax Asset/ MAT credit not written-off as per Balance Sheet • GST credit not required to be deducted

8	Intangible Assets	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															
9	30% of Marketable Securities	This shall include: - Listed securities held either as investment or Stock-in-Trade / Inventories shall be referred as marketable securities. - 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. 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 & Sovereign Gold bonds) for the purpose of collecting collaterals from members. MCXCCL vide its circular stipulates 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 & Sovereign Gold bonds) can be aligned with the percentage hair cut applied by the clearing corporation on such collaterals. 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. Illustration: <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>TOTAL MARKETABLE SECURITIES</td><td>A+B</td><td>Rs. 300</td></tr> <tr> <td>Deduction from Networth 30% of Listed Shares – (30% of Rs. 200) - Rs. 60/- 10% of G Sec – 10% of Rs. 100 - Rs. 10</td><td></td><td>Rs. 70</td></tr> </tbody> </table> In process, for those securities / other type of mutual funds wherever hair cut applied by Clearing Corporation is higher than 30%, maximum ceiling percentage of 30% shall be applicable.	Particulars		Amount (Rs.)	Listed Shares	A	Rs. 200	G-Sec (having 10% haircut)	B	Rs. 100	TOTAL MARKETABLE SECURITIES	A+B	Rs. 300	Deduction from Networth 30% of Listed Shares – (30% of Rs. 200) - Rs. 60/- 10% of G Sec – 10% of Rs. 100 - Rs. 10		Rs. 70
Particulars		Amount (Rs.)															
Listed Shares	A	Rs. 200															
G-Sec (having 10% haircut)	B	Rs. 100															
TOTAL MARKETABLE SECURITIES	A+B	Rs. 300															
Deduction from Networth 30% of Listed Shares – (30% of Rs. 200) - Rs. 60/- 10% of G Sec – 10% of Rs. 100 - Rs. 10		Rs. 70															



		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 & Sovereign Gold bonds).
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Annexure 3 - Details of Directors/Partners/Proprietor

Annexure 3 (a)

Format: C-3 (Details of Directors in case of Corporates)

(To be provided on the Letterhead of the Member)

DETAILS OF DIRECTORS AS ON 31/03/2026

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'.

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- Against each director, please state whether he is designated director or not by indicating 'Yes' or 'No'.
- There must be atleast two designated directors. (A designated director shall be atleast HSC by qualification (or CA, ICWA, CS, etc) and possess at least 2 years of experience in (i) securities market, (ii) as investment consultant, (iii) as portfolio manager.
- Please note that a member may have more than 2 designated directors.
- Any appointment or resignation of a non-designated director requires fee clearance of the CC as per SEBI circular no SEBI/MIRSD/Cir. No.03/2010dated January 21, 2010
- Any appointment or resignation of a designated director requires prior approval of the Exchange/CC as per SEBI circular no. CIR/MIRSD/2/2011dated June 03, 2011

We confirm that the change in directors is not accompanied by the change in shareholding / control of the 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 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 3 (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, 2026 (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: Middle Name: Surname:	First Name: Middle Name: Surname:	First Name: Middle Name: Surname:
2.	Father Name			
3.	Designated Partner (<i>minimum two</i>)	Yes / No*	Yes / No*	Yes / No*
4.	Citizenship Details			
5.	Passport No. (in case of Foreign Individuals)	Place of Issue: Valid till:	Place of Issue: Valid till:	Place of Issue: 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>)\$			
12.	Experience** (in years) (<i>add annexures if multiple</i>)	Name of Organisation: Designation: Field/Activity: From: To:	Name of Organisation: Designation: Field/Activity: From: To:	Name of Organisation: Designation: Field/Activity: From: To:
13.	Residence Address City: District State / Union Territory: Pin code: Tel No(s): Fax No(s):			
14.	Mobile No.:			
15.	Email ID:			
16.	% of sharing of profit / losses in Member Entity			



Sr.	Particulars	1	2	3
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, 2026.

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:

- *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.
- **No. of years in capital market is minimum 2 years for Designated Partners.
- \$ 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.
- # 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).
- Any admission/appointment, discontinuation/resignation of a designated partner/partner requires prior approval of Exchange/Clearing Corporation.



Annexure 3 (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, 2026 (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: Middle Name: Surname:	First Name: Middle Name: Surname:	First Name: Middle Name: Surname:
2.	Father Name			
3.	Designated /Managing Partner (minimum two)	Yes / No*	Yes / No*	Yes / No*
4.	Citizenship Details			
5.	Passport No. (in case of Foreign Individuals)	Place of Issue: Valid till:	Place of Issue: Valid till:	Place of Issue: 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 (minimum HSC)\$			
12.	Experience** (in years) (add annexures if multiple)	Name of Organisation: Designation: Field / Activity: From: To:	Name of Organisation: Designation: Field / Activity: From: To:	Name of Organisation: Designation: Field / Activity: From: To:
13.	Residence Address City: District State / Union Territory: Pin code: Tel No(s): Fax No(s):			
14.	Mobile No.:			
15.	Email ID:			
16.	% of sharing of profit / losses in Member Entity			



Sr.	Particulars	1	2	3
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, 2026.

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

Notes:

- *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.
- **No. of years in capital market is minimum 2 years for Designated / managing Partners.
- \$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.
- #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).
- Any admission/appointment, discontinuation/resignation of a Designated/Managing partner/partner requires prior approval of Exchange/ Clearing Corporation.



Annexure 4 -- Details of Shareholding Pattern & Promoter/Non Promoter Group

Format: C-7

(To be provided on the Letterhead of the Member)

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

Certificate dated _____

Share Holding Pattern* of _____ (Name of the Entity) as on March 31, 2026

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)

PART I –PROMOTER GROUP

Sr No.	Name of promoter ¹	Under what capacity ²	Residential address (with Pincode) & Contact No.	No. of shares held	Face value per share (Rs.)	Total Amt paid up	% shareholding	Pan Card No.	CIN No. (In case of corporates)
1	A								
2	B								
3	C								
TOTAL PROMOTER GROUP HOLDING (A)									

PART II – NON PROMOTER GROUP

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



¹Promoter 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 2026 shall also form part of the Promoter/Promoter Group.

²As 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 2026 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 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)



PART III - Details of other stock exchange/clearing corporation memberships held by the member, holding company, subsidiary company, promoters, directors & partners as on 31/03/2026

Sr. No	Name	Relation@	Stock Exchange/Clearing Corporation	Since (specify the date)	Member ship No.	Segment	Remarks
1							
2							
3							

NOTES:

@:

Please Indicate relation as:

Where company is member of other Stock Exchange/Clearing Corporation

- Self

Where director of company is member of other Stock Exchange/Clearing Corporation

- Director

Where partnership firm is member of other Stock Exchange/Clearing Corporation

- Partner

Where sole proprietor is member of other Stock Exchange/Clearing Corporation

- Self`

PART IV- 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			

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

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 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 4 (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)]

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

¹ Partner as defined in partnership deed/LLP Agreement

² 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 SEBI/Exchange/CC 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, 2026.



PART II - Details of other stock exchange/clearing corporation memberships held by the member, holding company, subsidiary company, promoters, directors & partners as on 31/03/2026

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

Date:
Place:

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

@Notes

Where company is member of other Stock Exchange/Clearing Corporation
Where director of company is member of other Stock Exchange/Clearing Corporation
Where partnership firm is member of other Stock Exchange/Clearing Corporation
Where sole proprietor is member of other Stock Exchange/Clearing Corporation

Please Indicate relation as:

- Self
- Director
- Partner
- Self



CERTIFICATE

This is to certify that the details of sharing pattern of M/s _____ **(Name of 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

(To be provided on the Letterhead of the Member)

Format: C-10 (Undertaking Stating No Changes in Documents C-3 and C-7)

Undertaking Stating No Changes in Documents C-3 and C-7

After verification of the books of accounts, records and documents, we hereby confirm that as per our records, details of documents C-3 and C-7 as on March 31, 2026 are exactly the same as per the documents C-3 and C-7 submitted by us as on March 31, 2025 and there is no change in any details as compared to March 31, 2025.

OR

Details of documents C-3 and C-7 as per our records as on March 31, 2026 are exactly the same as per records of the Exchange as on March 31, 2026 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:

Sr. No.	Document Type	Description	Annexure No.	Change from previous accounting Year (Yes/No/NA)
1	C-3	Details of Directors/Partners/Proprietor	3	
2	C-7	Details of Shareholding Pattern & Promoter/Non Promoter Group	4	

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:

Signature of Compliance Officer / Director

Place:

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:

For (Name of Certifying Firm) Name of Partner/Proprietor

Date:

Chartered Accountant / Company Secretary

Membership Number

UDIN



Annexure-6

Networth Requirement & Method of Computation

Clearing members of the MCXCCL are required to maintain Net worth as prescribed by the MCXCCL at all points of time as per the continuing membership norms of the MCXCCL. As per SEBI (Stock Broker) Regulations 2026, Net worth requirement for members shall be Base Net worth or Variable Net worth, whichever is higher. Members are further advised to refer to MCXCCL Circular ref no. MCXCCL/MEM/029/ 2023 dated February 03, 2023 for clarification on ascertaining Net worth as per SEBI Gazette Notification No. SEBI/LADNRO/GN/2022/73 dated February 23, 2022.

Base Net worth for various classes of members as per SEBI Gazette Notification No. SEBI/LADNRO/GN/2022/73 dated February 23, 2022, is as under:

Type / Category of Member	Base Network# (in Rs.)	Variable Network (in Rs.)
TCM	5 Crore	*10% of average daily cash balance of clients retained with the member across segments / exchanges in the previous 6 months.
ITCM	15 Crore	
PCM	50 Crore	
# Members should ensure that its Base Network / Variable Network (whichever is higher) is maintained throughout the year.		
Method of computation is as per Chapter X of SEBI (Stock Brokers) Regulations, 2026.		

Reason/ Explanation in case of reduction in network by more than 25%:

Please note that the detailed reason/ explanation should be provided, if there is a reduction of more than 25% in reported Network as on March 31, 2026, compared to the last reported Audited Network as on March 31, 2025. The reason/ explanation can be attached along with the Network Certificate or Computation of Network.



Annexure - 7

Undertaking related to Politically Exposed Persons (PEP)

Date: _____

I/ we hereby declare that the below mentioned Directors / Promoter (s) /Partners/Associates who are Politically Exposed Persons' (PEP) (If applicable)

Sr. No.	Full Name of the PEP	PAN of PEP	Address of the PEP	Details of Function / position held by PEP	Date since when position held as PEP	Relationship of PEP with the Member

I/We, hereby undertake to submit revised undertaking stamped and signed by two designated directors or authorised signatory(ies) as per Board Resolution, as and when there is change in any of the details submitted as per the current undertaking.

Signature of Designated Directors/ Designated Partners/ Authorised signatory under rubber stamp

Notes:

1. As per SEBI circular SEBI/HO/MIRSD/DOP/CIR/P/2019/113 dated October 15, 2019, 'Politically Exposed Persons' (PEP) are individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior government/judicial/military officers, senior executives of state-owned corporations, important political party officials, etc. The additional norms applicable to PEP as contained in the para 2.2.5 of the said SEBI circular shall also be applied to the accounts of the family members or close relatives of PEPs.
2. 'Associate' has the same definition as given under Section 2(1)(b) of the SEBI (Intermediaries) Regulations, 2008.
3. 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 undertaking stamped & signed by two designated directors or authorised signatory(ies) as per Board Resolution mentioning names and designations need to be submitted as and when there is change in any of the details submitted vide current undertaking
5. In case Directors / Shareholders / Partners/Associates are not Politically Exposed Persons' (PEP), then kindly submit this undertaking duly signed by designated directors/ Authorised Signatory mentioning "Not Applicable".



Annexure - 8

Actions for Non-Compliance and Timeline and Penalty/Action for violation of Clearing Corporation guidelines by the Clearing Members

Actions for Non/ late -Submission of Annual Return as per MCXCCL circular no. MCXCCL/MEM/075/2026 dated April 13, 2026

Details of violation / contravention	Revised Penalties / Disciplinary Action
Failure to furnish "Annual Returns" within the due date	1.Charges of Rs. 1,500/- per day from the due date till first 7 calendar days or submission of Annual Returns, whichever is earlier. 2.Charges of Rs. 2,500/- per day from 8th calendar day after the due date to 21st calendar day or submission of Annual Returns, whichever is earlier. 3.In case of non-submission of Annual Returns till 21st calendar days, onboarding new Trading Members shall be prohibited and notice of 7 calendar days for disablement of clearing facility till submission of Annual Returns, shall be issued. 4.The disablement notice issued to the members will be shared with all the Exchanges/ CCs for information. 5.In case of non-submission of Annual Returns by 28th calendar day, Member shall be disabled till submission of Annual Returns. Action in case of repeat instance 2nd Time & Onwards - Levy of applicable monetary penalty along with an escalation of 50%. In case of non-submission of Annual Returns till 21st calendar days, onboarding new Trading Members shall be prohibited and notice of 7 calendar days for disablement of trading facility till submission of Annual Returns, shall be issued. The disablement notice issued to the members will be shared with all the Exchanges/ CCs for information. In case of non-submission of Annual Returns by 28th calendar day, Member shall be disabled till submission of Annual Returns.



Disciplinary action in case of shortfall observed in reported networth during submission of Annual Returns:

Details of violation / contravention	Action in case of first instance	Action in case of repeat instance											
Disciplinary action in case of shortfall in networth w.r.t. submission of Annual Returns	Financial Disincentive of Rs. 50,000/- shall be levied on members who have reported shortfall in networth to MCXCCL.	In addition to Blocking of deposits, Financial Disincentive shall be as follows: <table><tr><th>Instances of reporting shortfall in networth Penalty to be levied</th><th>Instances of reporting shortfall in networth Penalty to be levied</th></tr><tr><td>2nd instance</td><td>50% escalation</td></tr><tr><td>3rd instance</td><td>100% escalation</td></tr><tr><td>4th instance</td><td>Shall be referred to the Member Committee for suitable action.</td></tr></table>	Instances of reporting shortfall in networth Penalty to be levied	Instances of reporting shortfall in networth Penalty to be levied	2 nd instance	50% escalation	3 rd instance	100% escalation	4 th instance	Shall be referred to the Member Committee for suitable action.			
	Instances of reporting shortfall in networth Penalty to be levied		Instances of reporting shortfall in networth Penalty to be levied										
	2 nd instance		50% escalation										
	3 rd instance		100% escalation										
	4 th instance		Shall be referred to the Member Committee for suitable action.										
	Blocking the deposits/collaterals (Cash and Cash Equivalents) of the Member until recoupment of shortfall in net worth by the Member to the satisfaction of the Clearing Corporation or for the specified period:												
	<table><tr><th>Shortfall as a % of the prescribed minimum Net Worth for Clearing Membership</th><th>Blocking of deposits/Collaterals</th></tr><tr><td>Shortfall up to 10%</td><td>10%</td></tr><tr><td>Shortfall over 10% and up to 20%</td><td>25%</td></tr><tr><td>Shortfall over 20% and up to 50%</td><td>50%</td></tr><tr><td>Shortfall over 50%</td><td>100%</td></tr></table>		Shortfall as a % of the prescribed minimum Net Worth for Clearing Membership	Blocking of deposits/Collaterals	Shortfall up to 10%	10%	Shortfall over 10% and up to 20%	25%	Shortfall over 20% and up to 50%	50%	Shortfall over 50%	100%	
	Shortfall as a % of the prescribed minimum Net Worth for Clearing Membership		Blocking of deposits/Collaterals										
	Shortfall up to 10%		10%										
	Shortfall over 10% and up to 20%		25%										
Shortfall over 20% and up to 50%	50%												
Shortfall over 50%	100%												
Note:													
No exposure shall be available to the Clearing Member on such blocked deposits/ collaterals (Cash and Cash Equivalents) until recoupment of shortfall in net worth by the Member													
In order to ensure adequate residual risk mitigation, the amount to be blocked would be based on:													
Previous calendar month's average daily total cash and cash equivalent balances of proprietary and Client's deposits as reported to MCXCCL.													
The percentage mentioned in the above table corresponding to the extent of													



Details of violation / contravention	Action in case of first instance	Action in case of repeat instance
	shortfall shall be applied to the amount derived as per the Point (i) above, subject to minimum of shortfall amount.	

Notes:

In case of ITCMs/PCMs, if net worth falls below prescribed limit, other than blocking of Deposit/collateral, ITCMs/PCMs will be allowed 2 months' time from the date of submission or the time prescribed by the Clearing Corporation (for disablement of terminal for non-submission under the applicable circular), whichever is earlier, to increase their network (under intimation to the Trading Members(TMs) associated with such ITCMs/PCMs), failing which, they will not be allowed to clear trades of TMs affiliated to them. TMs associated with such ITCMs/PCMs may make alternative clearing arrangements during this two months period. Further, the Concerned Exchange will also be informed to not allow any new TMs being affiliated to these ITCMs/PCMs.

Timeline and Penalty/Action for violation of Clearing Corporation guidelines by the Clearing Members

A. Timeline for resubmission of Annual Returns including submission of clarification on the observations emanating out of such submissions.

Timeline of 15 calendar days from the date of intimation of deficiency/ observation by the Clearing Corporation for resubmitting the Annual Returns including submission of clarification on the observations emanating out of such submissions.

B. Penalty Structure applicable to the Clearing Members for failure to resubmit the Annual Returns including failure to provide clarification on the observations emanating out of such submissions (in case the deficiencies in the initial submissions are communicated to the Clearing Members).

i. In case the Clearing Member re-submits/ provides clarification on the observation w.r.t. the Annual Returns beyond 15 calendar days from the date of intimation of deficiency/ observation by the Clearing Corporation, a penalty of Rs. 200/- per day to be levied till rectification of all the deficiencies/ observation is made by the Member.

ii. In case the resubmitted documents/clarifications are also deficient, then the penalty Rs. 200/- per day shall continue to be levied till the deficiencies are completely rectified by the Member.



Annexure-9

Help file for submission of Annual Returns for Financial Year 2025-2026

(For Institutional Trading cum Clearing Member /Self Clearing Members of MCXCCL who are not registered with NSE and Professional Clearing members (PCM) registered with MCXCCL)

Step1: Login to Member Reporting Portal using link <https://memberreporting.mcxcl.com>

MCXCCL

Login

Signin to Clearing Corporation

Username

Password

a b c d e

Enter Captcha

Login Refresh Captcha

[Forgot password?](#)

Note: If the session is idle for 20 minutes, the user will

After that enter OTP received on the designated email id and/ or mobile number

MCXCCL

OTP has been sent to your registered email.

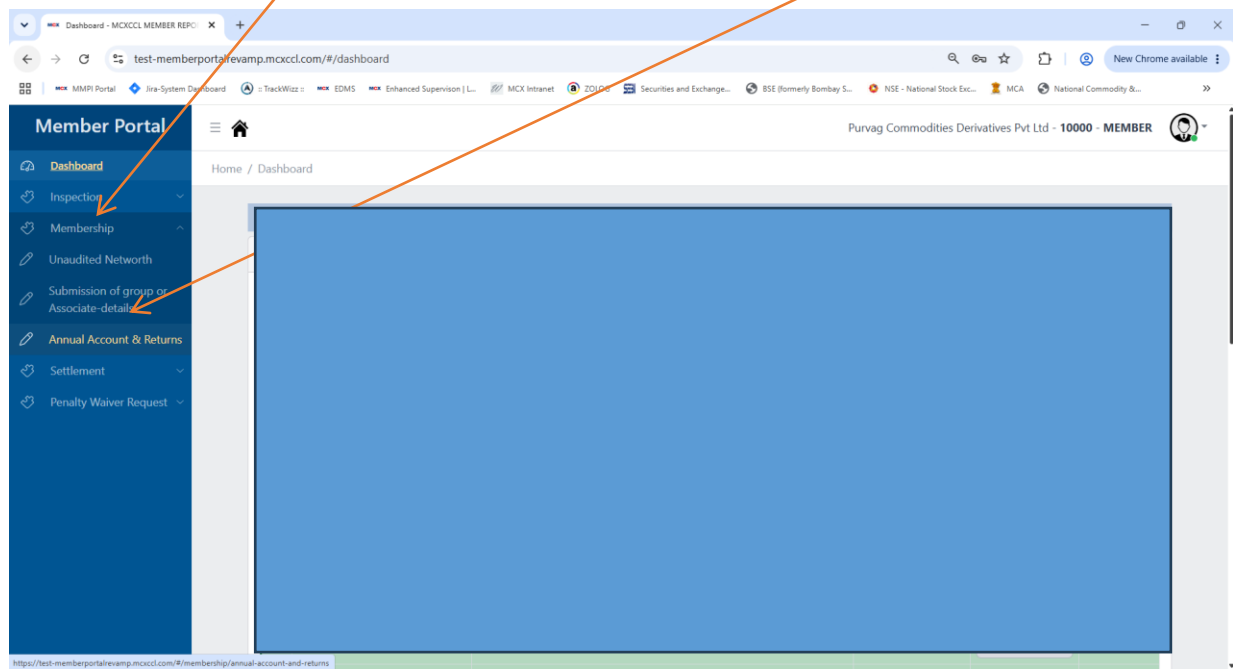
OTP

Verify OTP Resend OTP

OTP expires in 09:54 minutes



Step2: Click on Membership > Annual Accounts & Returns and following screen will appear



Step 3: Enter the details

Annual Accounts & Returns

Annual Accounts & Returns to be Submitted as on : 31-MAR-2027

ANNUAL ACCOUNTS AND RETURN DETAILS

Due Date of Submission :	31/10/2026	Applicable Network (in Rs.):	50000000
First Submission Date:		Re-Submission Date:	
Name of Clearing Member :		Year Applicable (Financial/Calendar) :	
RAN of Clearing Member :		Method of Computation of Network :	
Annual Accounts & Returns as on date :	dd-mm-yyyy	Variable Network (in Rs.):	Enter number(in Rs.)
Paid up capital			Enter number(in Rs.)
Fully compulsorily and mandatorily convertible debentures / bonds / warrants which are convertible within a period of 5 years from the date of issue			Enter number(in Rs.)
Free Reserves			Enter number(in Rs.)
A. Paid up capital + Fully compulsorily and mandatorily convertible debentures / bonds / warrants which are convertible within a period of 5 years from the date of issue + Free Reserves			
B. Total (Non-allowable assets viz)			
(a) Fixed Assets			Enter number(in Rs.)

Note : Please enter the details as per the computation of the Network in L.C.Gupta format.



Step 3 (continued): Annual Accounts & Returns Details

1. Enter the details.
2. Year Applicable (Financial/Calendar): choose Financial Year or Calendar Year, as applicable.
3. *Method of Computation of Networth: select "Chapter X of SEBI (Stock Brokers) Regulations, 2026".
4. **Upload documents** – click Choose File and upload all the mandatory documents.
5. **+ icon** – add each Director/Partner of the statutory auditor firm (name and PAN) on the blank row. The delete icon deletes a row.
6. **SAVE** – saves what you have entered on

The screenshot shows the top portion of the 'Annual Accounts & Returns' form. The left sidebar contains navigation links: Dashboard, Inspection, Membership, Unaudited Networth, Submission of group or Associate details, Annual Accounts & Returns (active), Settlement, and Penalty Waiver Request. The main form area is titled 'Home / Membership / Annual Accounts & Returns'. It includes fields for 'Due Date of Submission' (31/03/2025), 'First Submission Date', 'Name of Clearing Member' (Alpha Credit Securities Pvt Ltd), 'PAN of Clearing Member' (AAEC6716B), 'Annual Accounts & Returns as on date' (31-03-2025), 'Applicable Networth (in Rs.)' (5000000), 'Re-Submission Date', 'Year Applicable (Financial/Calendar)' (Financial Year), and 'Method of Computation of Networth' (Chapter X of SEBI (Stock Brokers) Regulations, 2026). Below these are input fields for 'Paid up capital', 'Fully compulsorily and mandatorily convertible debentures / bonds / warrants which are convertible within a period of 5 years from the date of issue', 'Free Reserves', and a summary row 'A. Paid up capital + Fully compulsorily and mandatorily convertible debentures / bonds / warrants which are convertible within a period of 5 years from the date of issue + Free Reserves'. Further down are fields for 'B. Total (Non-allowable assets viz):', '(a) Fixed Assets', '(b) Charged Securities', '(c) Value of Member's Card', '(d) Non-Allowable Securities (limited secured)', '(e) Bad Debts', '(f) Any Debts and Advances (except trade debtors of less than 3 months)', '(g) Prepaid Expenses, Loans', '(h) Intangible Assets', and '(i) 20% Value of Marketable Securities'. A summary row 'C. Networth (A-B)' is followed by 'Marketable Securities' and 'Sufficient/Insufficient' (Insufficient).

The screenshot shows the bottom portion of the 'Annual Accounts & Returns' form. It includes the 'C. Networth (A-B)' summary row, 'Marketable Securities', and 'Sufficient/Insufficient' (Insufficient). Below this is the 'Certifying Auditors Details' section, which includes fields for '1. Name of Certifying Firm', '2. PAN of CA/CS firm', '3. Membership No. of Partner/Proprietor who has certified the Networth', '4. Unique Document Identification number (UDIN)', and '5. Date of Appointment of certifying entity'. A table for 'Name of Directors/Partners of CA/CS firm' and 'PAN of Directors/Partners of CA/CS firm' is shown, with a '+ Add' button and a 'Delete' button. The 'Enclosures / Attachment' section includes 'Attachments Name' and 'Attachments'. It lists 'Format of Financial Statements' (IND-AS, IGAAP, NBFC) and 'XBRL XML File' (Choose file, No file chosen, Max Size 3MB). It also lists 'XBRL IGAAP Financials' (Choose file, No file chosen, Max Size 3MB) and 'XBRL NBFC Financials' (Choose file, No file chosen, Max Size 3MB). A note at the bottom states: 'Networth values with incorporation shall be certified by CA/CS'.



Annual Accounts & Returns - MCXCCL

test-memberportalrevamp.mcxcd.com/#/membership/annual-account-and-returns

Member Portal

Home / Membership / Annual Accounts & Returns

Attachments Name

Format of Financial Statements	☐ IND-AS ☐ KSARP ☐ IBCRC
XERL XMS File (XMS File name should be in format XERL_IND-AS_Financials_F1000000_Member Code (For IND-AS Utility format) XERL_KSARP_Financials_F1000000_Member Code (For KSARP Utility format))	Choose File No file chosen Max Size: 30MB
Network (along with computation duly certified by CA)	Choose File No file chosen Max Size: 30MB
Audited Balance Sheet along with the schedules	Choose File No file chosen Max Size: 30MB
Audited Profit & Loss Accounts along with schedules (if applicable)	Choose File No file chosen Max Size: 30MB
Schedule & Notes to Account	Choose File No file chosen Max Size: 30MB
Auditors report	Choose File No file chosen Max Size: 30MB
Director report	Choose File No file chosen Max Size: 30MB
Form TT (For LLP)	Choose File No file chosen Max Size: 30MB
PDF generated from XERL utility (.pdf) format	Choose File No file chosen Max Size: 30MB
Other	Choose File No file chosen Max Size: 30MB
Network Computations	☐ Standalone

Clearing Corporation response will be sent to the Email ID / Compliance Officer.

Admin Observations for Incomplete Submission

Sr. No.	Observation	Observation Date	Observation By
---------	-------------	------------------	----------------

Step 4: Statutory Auditor Details

Enter the required details.

1. ***Format in which Annual Accounts to be submitted** – select from the drop-down (e.g., Revised Schedule VI Format).
2. ***Is there a change in statutory auditor?** – select Yes or No. If Yes, choose the reason from the option. If “Others” or “Resignation of Statutory Auditor” is selected, enter the reason in writing.
3. **+ icon** – add each Director/Partner of the statutory auditor firm (name and PAN) on the blank row. The delete icon deletes a row.
4. **SAVE** saves the entries on this screen, **BACK** returns to the previous screen.



Annual Accounts & Returns - MCXCCL

test-memberportalrevamp.mxccl.com/#/membership/annual-account-and-returns

Member Portal

Home / Membership / Annual Accounts & Returns

Annual Accounts & Returns

Statutory Auditor Details

Details of Proprietor / Partners / Directors

Shareholding Details

Other Stock Exchange Listed In

Financial Strength

Name of the Statutory Auditor Firm

PIN of Statutory Auditor Firm

Name of Partner/Proprietor

PIN of Statutory Auditor

Registration Number of the Statutory Auditor Firm

Membership Number of Certifying Partner

Mobile Number of the Statutory Auditor

Email Address of the Statutory Auditor

Format in which Annual Accounts to be submitted

UDIN mentioned in Auditor Report

Date of Appointment of Statutory Auditor

Is there a change in Statutory Auditor?

Yes

No

1

Enter name

Enter PIN

Save

Submit

Advisory Observations for Incorrect Submission

Sr No.	Observation	Observation Date	Observation By
--------	-------------	------------------	----------------

© 2025 Member Portal Revamp

Step 5: Details of Proprietor / Partners / Directors

Director/Partner Details

1. **Director/Partner table** – record each director/partner of the member entity.
2. **+ icon** – enter the details on the blank row and click + to add the director/partner.
3. **Delete icons** – The delete icon deletes it.

Directorship – Controlling Director Details

4. **Controlling directorship table** – record each company in which the director holds a controlling interest (shareholding of 51% and above).
5. **+ icon** – add each company on the blank row; use delete icons to delete a saved row.
6. ***Details of Proprietor/ Partner/ Directors** – click Choose File and upload the document.
7. **Buttons** – SAVE saves the entries on this screen, BACK returns to the previous screen.



Step 6: Share Holding Details

Share Holding

1. **+ icon** – enter each shareholding of the trading member on the blank row and click + to add it. Use the delete icons to delete a saved row.
2. **Equity Or Preference** – select Equity or Preference from the drop-down, then fill No. of Shares, Amount Paid Up (in Lacs) and the remaining columns (scroll right).

Share Holding Details

3. **+ icon** – add each shareholder of the member entity on the blank row. Use the delete icons to delete a saved row.
4. **Shareholder details** – select Equity/Preference and Promoter Group/Non-Promoter from the drop-downs and enter the Name of Shareholder/Relative/Corporate and the remaining columns (scroll right).
5. **Upload documents** – click Choose File and upload each of the documents (all mandatory):
6. **Buttons** – SAVE saves the entries on this screen and BACK returns to the previous screen.



Step 7: Other Stock Exchange / Listed In

Other Stock Exchange

1. ***Are you a Member of other Stock Exchange?** – select YES or NO. If YES, fill in the table below.
2. **+ icon** – add each exchange on the blank row:
3. **Delete icons** – The delete icon deletes it.
4. **Upload documents** – click Choose File and upload documents.

Listed In

5. **Listed in Exchanges** – select YES or NO. If YES, fill in the table below.
6. **+ icon** – add each listing on the blank row: Listed In, Listed Since and DeListed On.
7. **Upload documents** – click Choose File and upload “Documents.
8. **Buttons** – SAVE saves the entries on this screen, NEXT moves to the next screen and BACK returns to the previous screen.

Other Stock Exchange

9. ***Are you a Member of other Stock Exchange?** – select YES or NO. If YES, fill in the table below.
10. **+ icon** – add each exchange on the blank row:
11. **Delete icons** – The delete icon deletes it.
12. **Upload documents** – click Choose File and upload documents.

Listed In

13. **Listed in Exchanges** – select YES or NO. If YES, fill in the table below.
14. **+ icon** – add each listing on the blank row: Listed In, Listed Since and DeListed On.
15. **Upload documents** – click Choose File and upload “Documents.
16. **Buttons** – SAVE saves the entries on this screen and BACK returns to the previous screen.



Annual Accounts & Returns - MCXCCL

test-memberportalrevamp.moxcd.com/#/membership/annual-account-and-returns

Member Portal

Home / Membership / Annual Accounts & Returns

Annual Accounts & Returns

Annual Accounts & Returns | Statutory Auditor Details | Details of Proprietor / Partners / Directors | Shareholding Details

Other Stock Exchange / Listed In | Financial Strength

Are you a Member of other Stock Exchange? ☒ Yes ☐ No

Other Stock Exchange Details [+ Add](#)

Name of Stock Exchange	Registration Date	Name Of Trading Member/Holding Co/Subsidiary Co/Promoters/Directors/Partners	Relation
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Listed in Exchanges? ☒ Yes ☐ No

Listed In Stock Exchanges Details [+ Add](#)

Listed In Exchange	Listed Since	DeListed On
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Membership on Other Stock Exchanges*

Choose file No file chosen

Details of Listing*

Choose file No file chosen

[Save](#)

Step 8: Financial Strength

1. Enter values for the current financial year and the previous financial year (both marked mandatory). Enter 0 where not applicable; do not leave fields blank.
2. BACK – returns to the previous screen.
3. Save – saves the entries.
4. SUBMIT– final submission

Annual Accounts & Returns - MCXCCL

test-memberportalrevamp.moxcd.com/#/membership/annual-account-and-returns

Member Portal

Home / Membership / Annual Accounts & Returns

Annual Accounts & Returns

Annual Accounts & Returns | Statutory Auditor Details | Details of Proprietor / Partners / Directors | Shareholding Details

Other Stock Exchange / Listed In | Financial Strength

Particulars	Financial Year - 2024-2027	Previous Financial Year - 2023-2024
Inter Corporate Deposits Given		
Value of Investments/Advances or Loans to Group Companies or Associates or Firms or Entities		
Value of maximum outstanding inter-corporate debts given during the year		
Value of maximum outstanding inter-corporate debts taken during the year		
Debt Equity Ratio		
Loans to Associated Entities		
Total Current Liabilities		
Total Non-current Liabilities		
Trade Payables		
Borrowing Non-current		
Reserves & Surplus		
Accumulated Losses		

[Save](#)

[Submit](#)

Admin Observations for Incorrect Submission

Sr.No.	Observation	Observation Date	Observation By
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