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 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 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: **For (Name of Certifying Firm)**
Date:
UDIN:

Name of Partner/Proprietor
Chartered Accountant
Membership Number

Annexure-2

Format:C-1

Format for Networth Certificate for Corporates, Firms & Individuals

To:
The Concerned Stock Exchanges / Clearing Corporations

Subject: Networth Certificate for [Name of Trading Member (TM)/Clearing Member (CM)] bearing PAN: [-TM/CM 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 networth of the aforementioned TM/CM as on _____(dd/mm/yyyy).

A. Variable Networth Requirement of the TM/CM-: ₹ _____/-
In case of NIL/Not Applicable variable networth, kindly provide reason.

B. Computed Networth of the TM/CM-:

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

C. Certification:

We hereby confirm and certify that:

1. The computation of networth 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.

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 standalone financials and is derived from audited 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 networth of the Separate Business Unit carrying out securities market related activities in GIFT-IFSC is segregated from the networth 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

Annexure - Computation statement of Networth certificate

Name of TM/CM -
PAN of TM/CM -

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 + Fully compulsorily & mandatorily convertible debentures / bonds / warrantss**	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

<table>
<tr><th>Sr. No.</th><th>Components of Networth</th><th>Remarks</th></tr>
<tr><td>3</td><td>Fixed Assets</td><td>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 Networth.</td></tr>
<tr><td>4</td><td>Pledged Securities</td><td>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 Networth.

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><th colspan="2">Amount to be deducted from Networth</th></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></td></tr>
<tr><td>5</td><td>Non-allowable securities</td><td>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).</td></tr>
<tr><td>6</td><td>Any Debts and advances</td><td>This shall include: -</td></tr>
</table>

		• 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. *"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;* *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.* *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.*
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.

<table>
<tr>
<td>9</td>
<td>30% of Marketable Securities</td>
<td>
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. 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 & 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 do not form part of aforementioned Exchange circular, Members are advised to refer SEBI circular dated Feb 21, 2019 for the haircut.
Illustration:
<table>
<tr><th>Particulars</th><th></th><th>Amount (Rs.)</th></tr>
<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 GSec– 10% of Rs. 100 -Rs.10</td><td></td><td>Rs.70</td></tr>
</table>
In this 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.
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).
</td>
</tr>
</table>

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 31/03/2026

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: **For (Name of Certifying Firm)**

Date: **Name of Partner/Proprietor**

UDIN: **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 31/03/2026

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'.

(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 (for corporates only)

This is to certify that the details of directors / proprietor and their shareholding in _____ and the details of their Directorships / controlling shareholding in other companies, as given 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.

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. No.	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 *(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			
17.	Whether Partner (in the capacity of director in other entities) is disqualified under section 164 of Companies Act, 2013? If yes, provide details of action u/s 167 of Companies Act, 2013	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. No.	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			
17.	Whether Partner (in the capacity of director in other entities) is disqualified under section 164 of Companies Act, 2013? If yes, provide details of action u/s 167 of Companies Act, 2013	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:

f. *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.
g. **No. of years in capital market is minimum 2 years for Designated Partners.
h. $ 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.
i. #. 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).
j. Any admission/appointment, discontinuation/resignation of a designated 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/sharing 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 Pin code) & 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**	**CIN No.(In case of corporates)**
4							
5							
6	OTHERS						
TOTAL NON PROMOTER GROUP HOLDING (B)							
GRAND TOTAL (A) + (B)					100%		

[1] 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.

[2] 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 Partnership 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 [1]	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)[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 partners/Managing Partner. (A designated 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 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 Managing/ Designated Partner /Compliance Officer

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, 2026 are exactly the same as per the documents C-2 to 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-2 to 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-2	Details of Membership on other Stock Exchanges & Details of Listing	3	
2	C-3	Details of Directors/ Partners	4	
3	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: **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)**
Date: **Name of Partner/Proprietor**
Chartered Accountant / Company Secretary
Membership Number
UDIN:

Annexure 7

Networth Requirement & Method of Computation

Trading members shall comply with the minimum networth requirements as prescribed by the SEBI at all point of time. As per SEBI (Stock Brokers) Regulations 2026, networth requirement for members shall be Base Networth or Variable Networth, whichever is higher. Base Networth for all trading members is Rs 1,00,00,000/-.

Further, as per Exchange circular MCX/MEM/065/2026 dated February 06, 2026, all members shall continue to comply with the variable networth requirement i.e. 10% of average daily cash balance of clients retained with stock broker across segments/exchanges in the previous 6 months.

Method of computation is as per Chapter X of SEBI (Stock Brokers) Regulations, 2026.

Annexure- 8

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- 9

Actions as per Exchange circular MCX/COMP/213/2026 dated April 17, 2026

Sr No	Details of Contravention	Action in case of first instance	Action in case of repeat instance
1	Failure to furnish "Annual Returns" within the due date	a) Charges Rs. 1,500/- per day for Non QSB & Rs. 3,000/- per day for QSB from the due date till first 7 calendar days or submission of report, whichever is earlier. b) Charges of Rs. 2,500/- per day for Non QSB & Rs. 5,000/- per day for QSB from 8th calendar day after the due date to 21st calendar day or submission of report, whichever is earlier. c) In case of non-submission of report till 21st calendar days, new client registration shall be prohibited and notice of 7 calendar days for disablement of trading facility till submission of report, shall be issued. d) The disablement notice issued to the member will be shared with all the Exchanges for information. e) In case of non-submission of report by 28th calendar day, Member shall be disabled in all segments till submission of report.	2nd Time & Onwards - 50% Escalation In case of non-submission of report till 21st calendar days, new client registration shall be prohibited and notice of 7 calendar days for disablement of trading facility till submission of report, shall be issued. The disablement notice issued to the member will be shared with all the Exchanges for information. In case of non-submission of report by 28th calendar day, Member shall be disabled in all segments till submission of report.
2	Disciplinary action in case of Net worth shortfall	a) Rs. 5,000/- per day till the date of submission of net worth certificate or till disablement of trading rights whichever is earlier. b) Disablement of trading rights in all segments within two working days post due date	-
3	Non- rectification of deficiency observed in Annual Return/Half yearly net worth certificate submitted to exchange, within 15 calendar days from the date of intimation by Exchange	Post 15 days- Rs. 1,000/- per day till submission of correct details with maximum capping of Rs. 2,00,000/-	2nd Time and onwards- 50% escalation

Penalty for failure to maintain minimum prescribed Networth as per Exchange circular MCX/MEM/402/2026 dated July 13, 2026

Details of Contravention	Action in case of first instance	Action in case of repeat instance
Networth Shortfall reported by trading members during periodic submission	Monetary Penalty of 2% of the amount of shortfall from the required networth (subject to minimum Rs. 10,000) or Rs 2,00,000 whichever is lower	2nd Time & Onwards* - 50% Escalation

*consecutive periodic reporting of networth

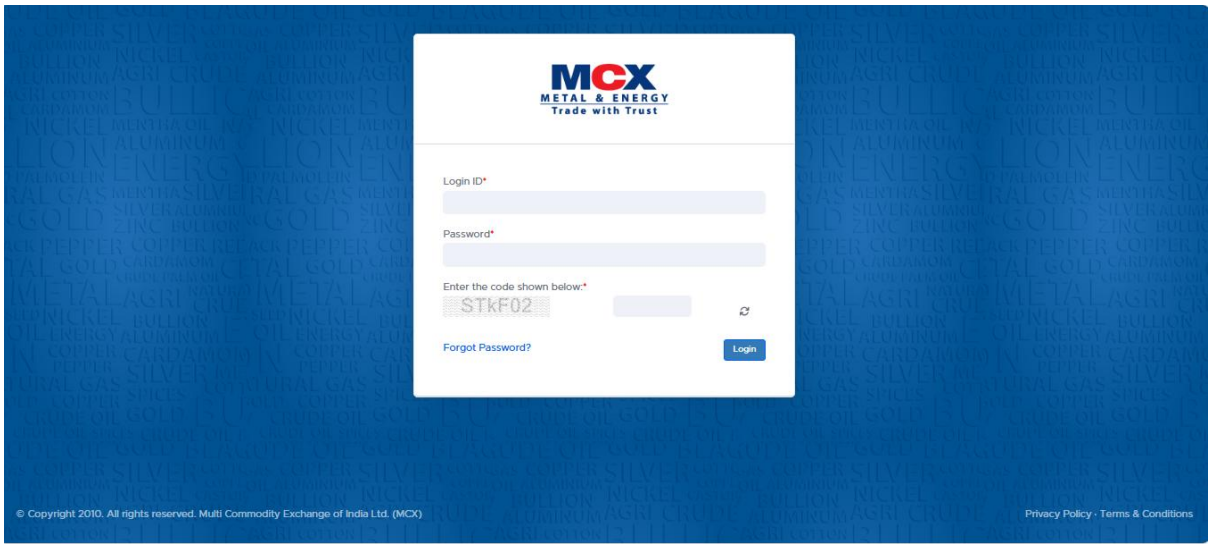
Annexure 10

User Manual for submission of Annual Returns and details of Financial Strength

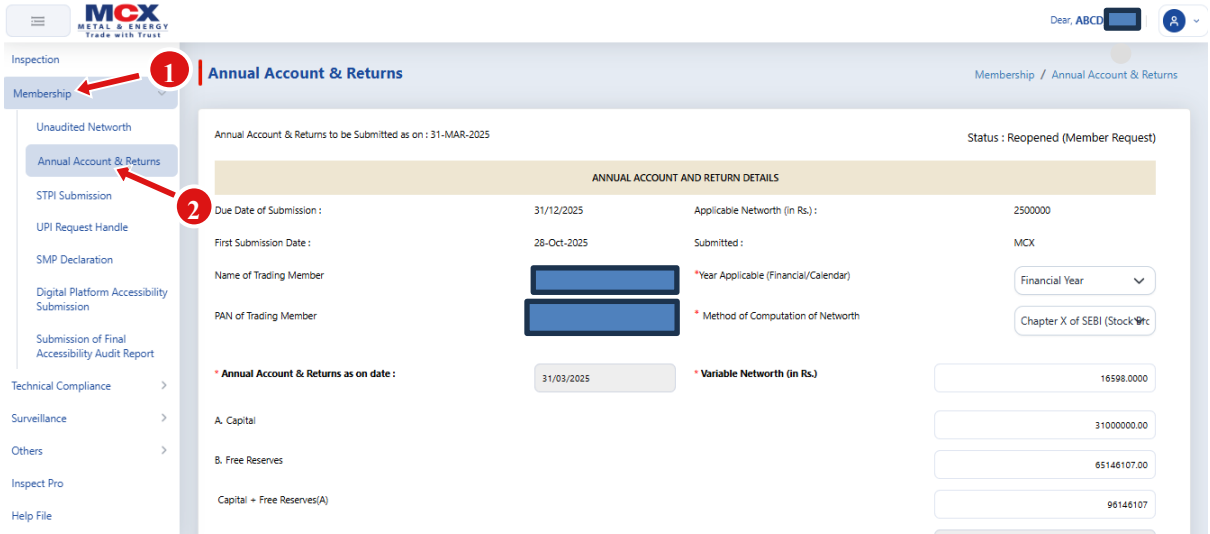
User Guide

Step	Screen/ Tab
1	Annual Account & Return Details
2	Statutory Auditor Details
3	Details of Proprietor / Partner / Directors
4	Share Holding Details
5	Other Stock Exchange / Listed In
6	Financial Strength

Login into Portal using link https://member.mcxindia.com

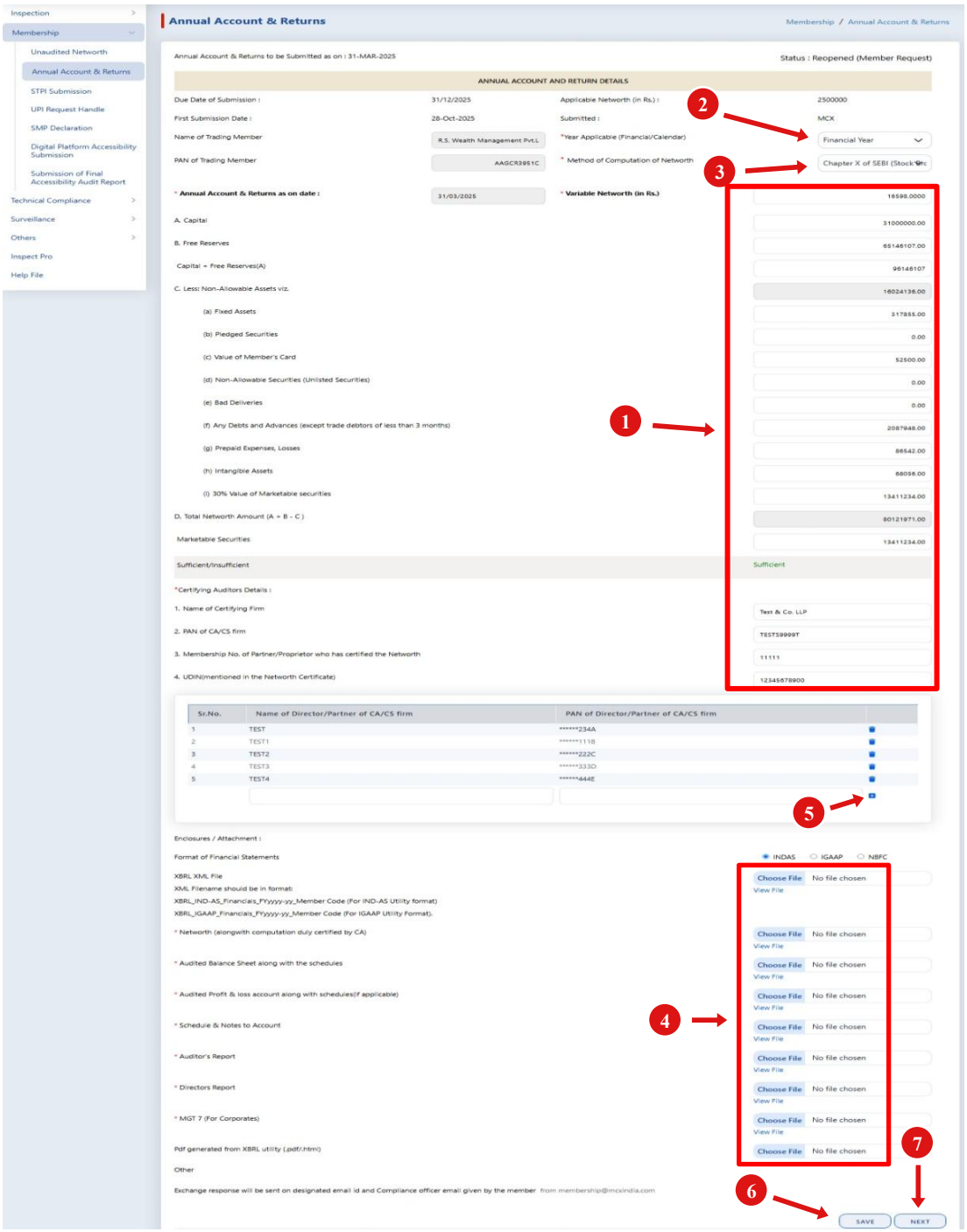


1. Click on Membership.
2. In dropdown menu click on Annual Accounts & Returns and following screen will appear.



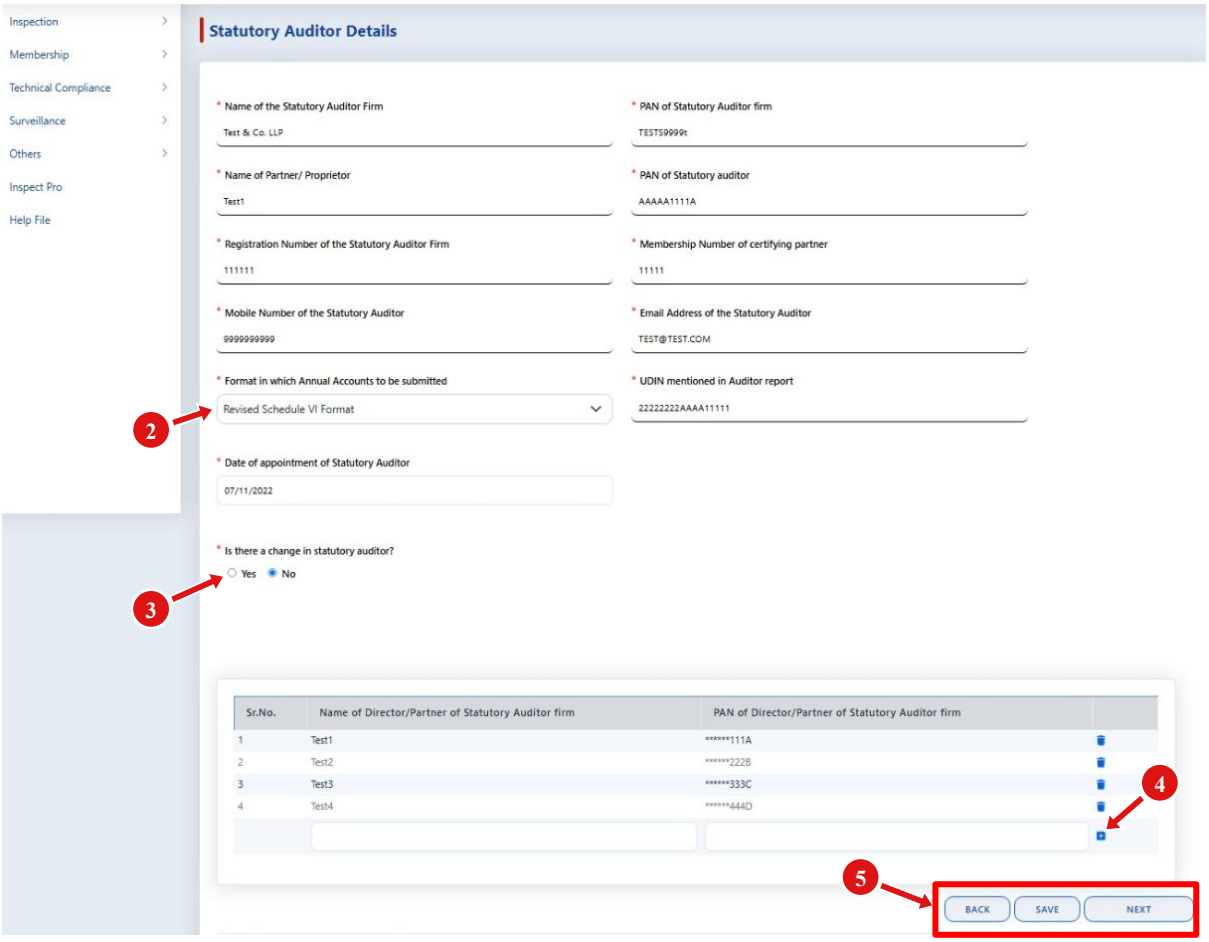
(A) Annual Account & Return Details

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 dustbin icon deletes a row.
6. SAVE – saves what you have entered on this screen.
7. NEXT – moves to the next screen.



(B) Statutory Auditor Details

1. Enter the required details.
2. ***Format in which Annual Accounts to be submitted** – select from the drop-down (e.g., Revised Schedule VI Format).
3. ***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.
4. **+ icon** – add each Director/Partner of the statutory auditor firm (name and PAN) on the blank row; PAN is displayed masked after saving. The dustbin icon deletes a row.
5. SAVE saves the entries on this screen, NEXT moves to the next screen and BACK returns to the previous screen.



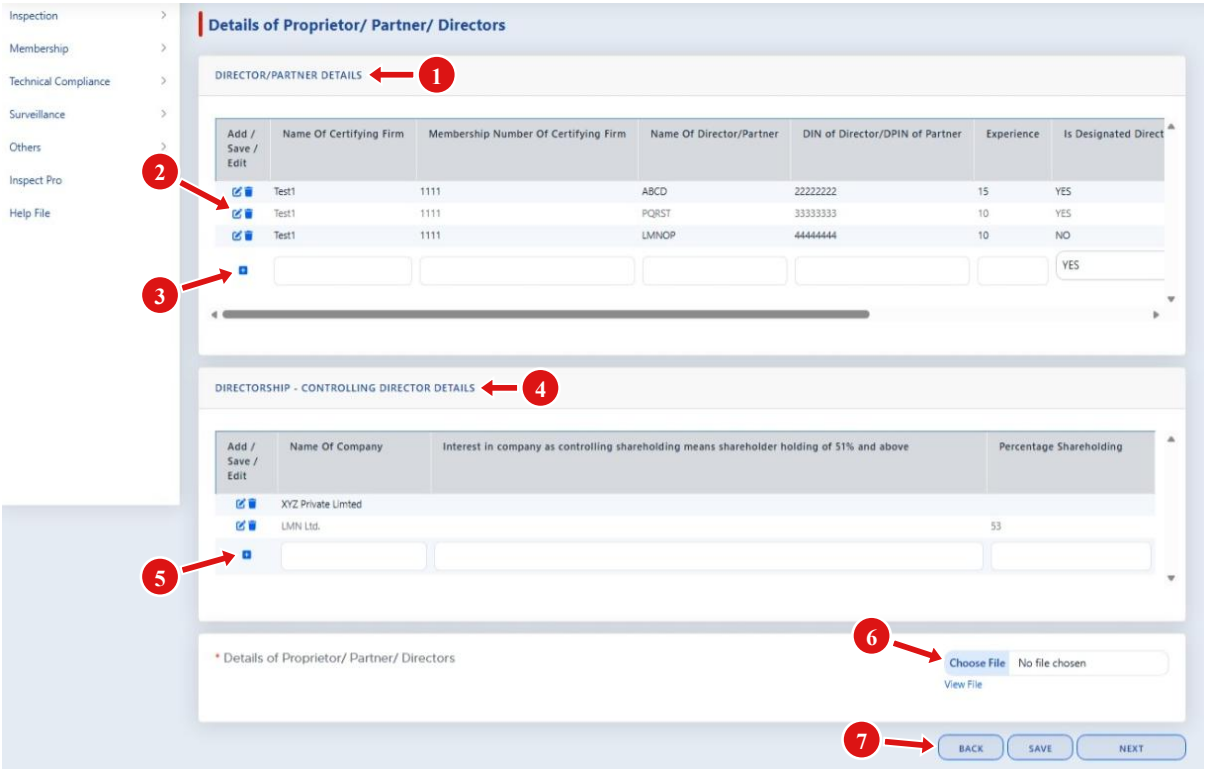
(C) Details of Proprietor / Partner / Directors

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. **Edit / Delete icons –** the pencil icon edits a saved row; the dustbin 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 the edit/dustbin icons to change or 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, NEXT moves to the next screen and BACK returns to the previous screen.



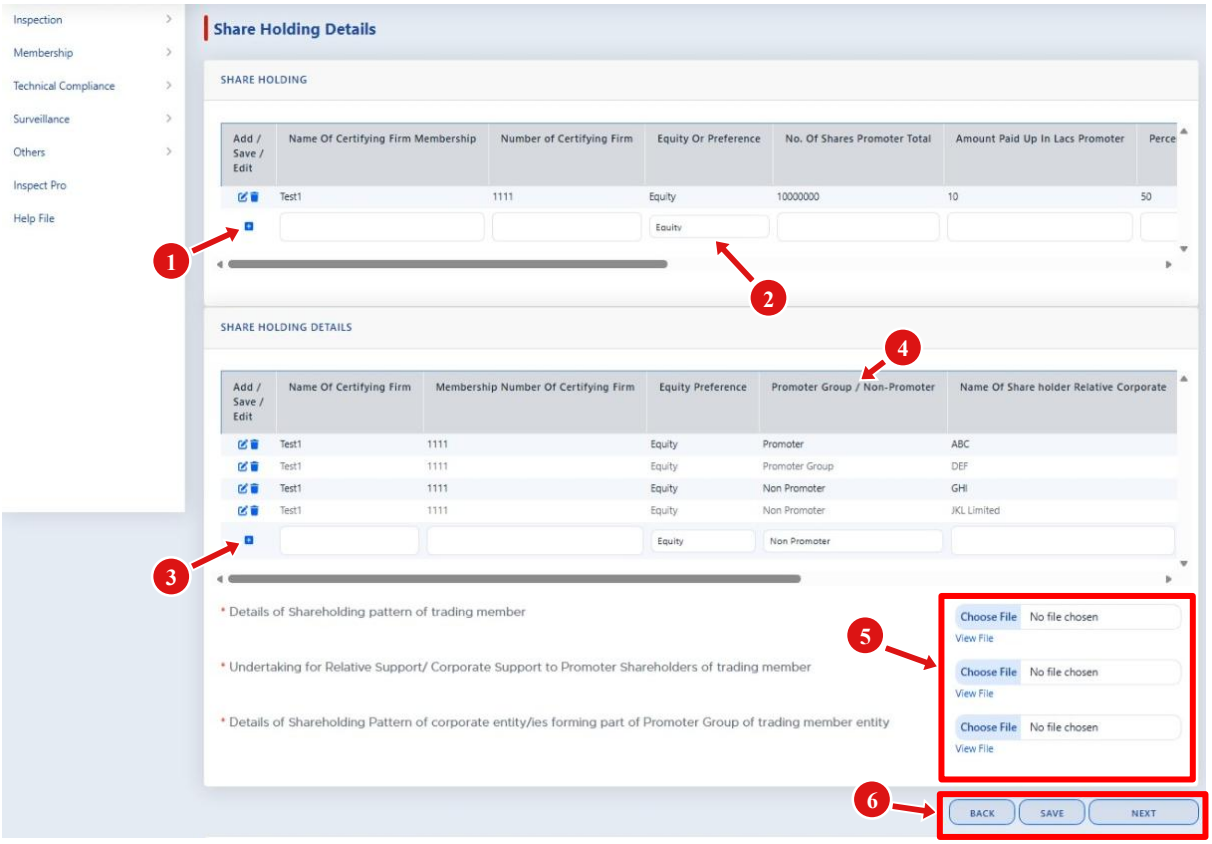
(D) Share Holding Details

Share Holding

1. **+ icon –** enter each shareholding of the trading member on the blank row and click + to add it. Use the edit/dustbin icons to change or 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 edit/dustbin icons to change or 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, NEXT moves to the next screen and BACK returns to the previous screen.



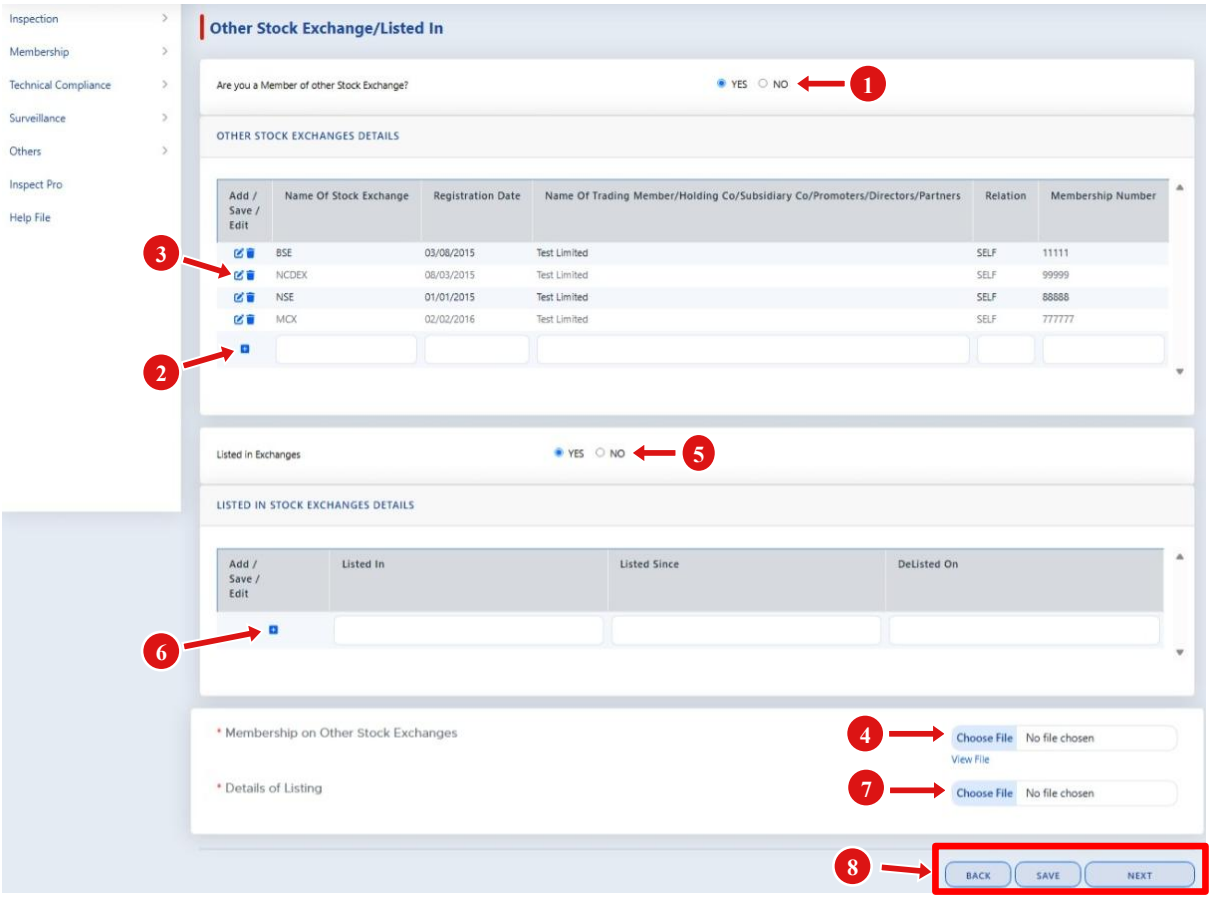
(E) Other Stock Exchange / Listed In

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. **Edit / Delete icons** – the pencil icon edits a saved exchange row; the dustbin 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.



(F) 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 & EXIT – final submission

