

## ANNEXURE I

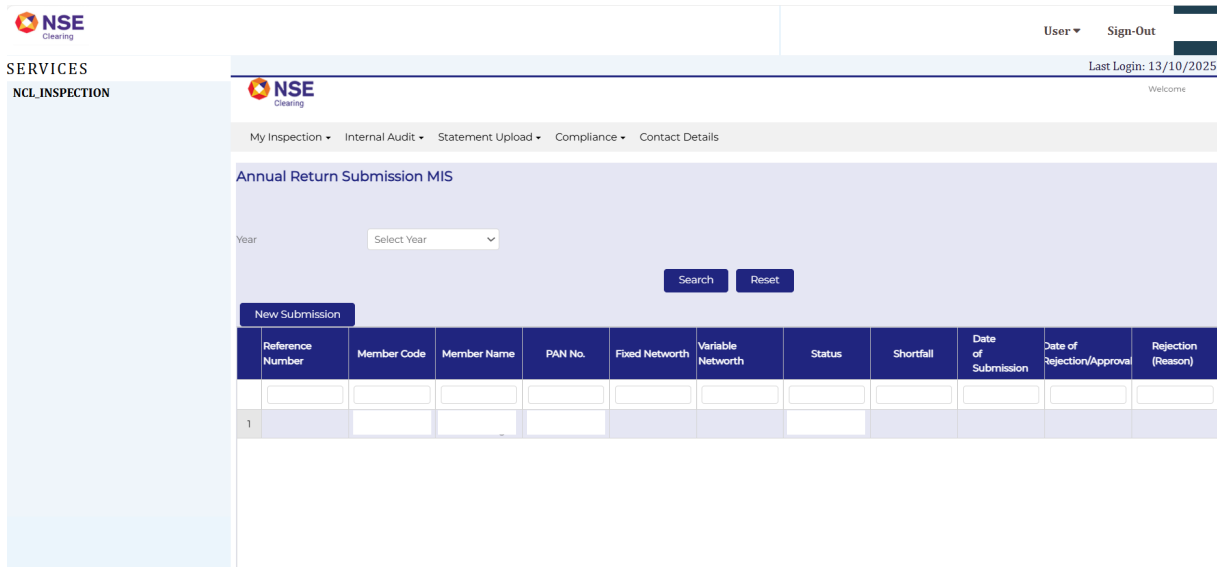
### USER MANUAL FOR SUBMISSION OF ANNUAL RETURN ON NEW NCL MEMBER PORTAL.

#### 1. Submission of Annual Returns:

- Login to Member portal
- Open Internet Explorer browser.
- Type <https://ims.connect2nsccl.com/NCLMemberPortal/> in the address bar & then click the Go button from the browser.
- NSE Member Portal **Login** screen gets displayed as below and put User ID, Member Code, Captcha and Password –

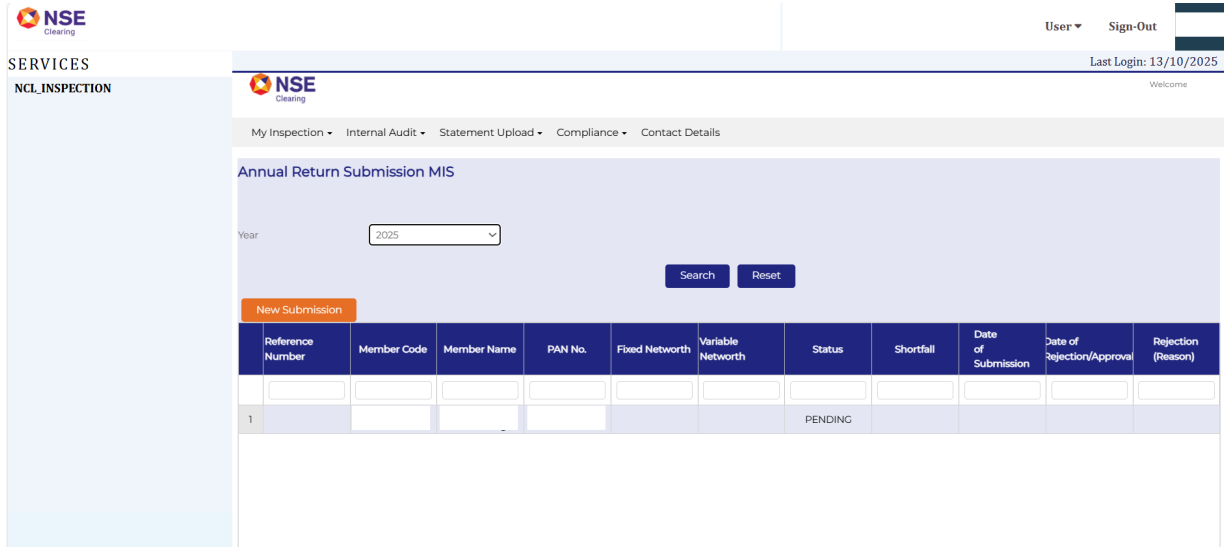


#### 2. After Login, click on Compliance tab. Under that click on “Annual Return Submission”



Reference Number	Member Code	Member Name	PAN No.	Fixed Network	Variable Network	Status	Shortfall	Date of Submission	Date of Rejection/Approval	Rejection (Reason)
1										

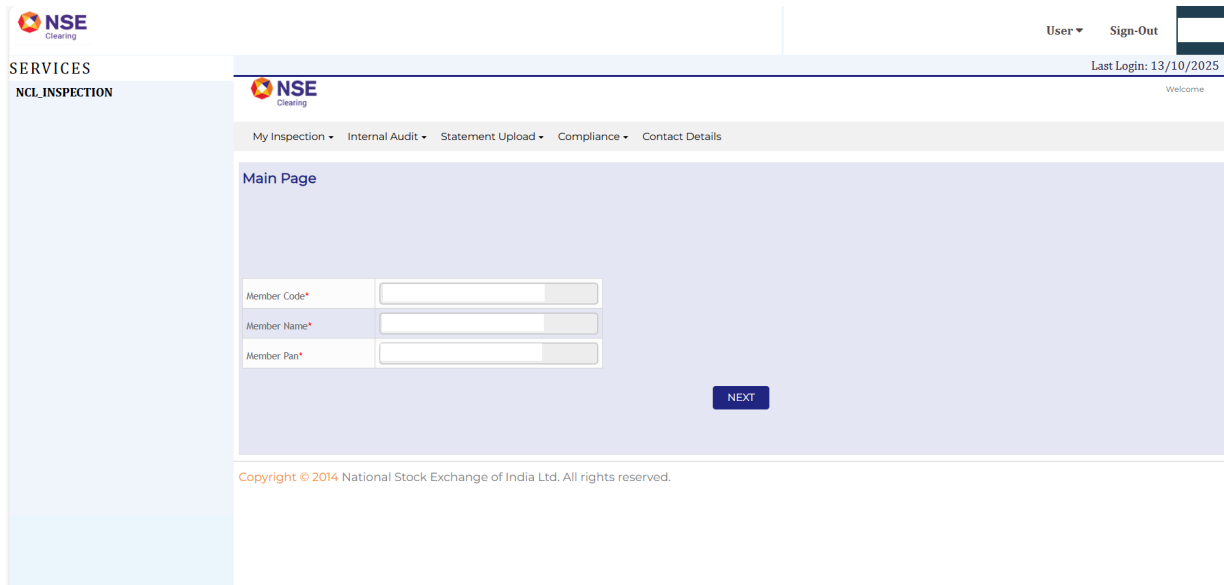
### 3. Select year 2025 & then click on “New Submission” tab.



The screenshot shows the NSE Clearing Annual Return Submission MIS interface. The left sidebar contains the NSE Clearing logo and the text "SERVICES" and "NCL\_INSPECTION". The top navigation bar includes "User", "Sign-Out", and "Last Login: 13/10/2025". The main content area has a breadcrumb trail: "My Inspection > Internal Audit > Statement Upload > Compliance > Contact Details". Below this, the title "Annual Return Submission MIS" is displayed. A "Year" dropdown menu is set to "2025". There are "Search" and "Reset" buttons. A "New Submission" button is highlighted in orange. Below this is a table with the following columns: Reference Number, Member Code, Member Name, PAN No., Fixed Network, Variable Network, Status, Shortfall, Date of Submission, Date of Rejection/Approval, and Rejection (Reason). The table contains one row with the status "PENDING".

Reference Number	Member Code	Member Name	PAN No.	Fixed Network	Variable Network	Status	Shortfall	Date of Submission	Date of Rejection/Approval	Rejection (Reason)
1						PENDING				

### 4. On clicking New submission module, “Annual Returns” page will open.



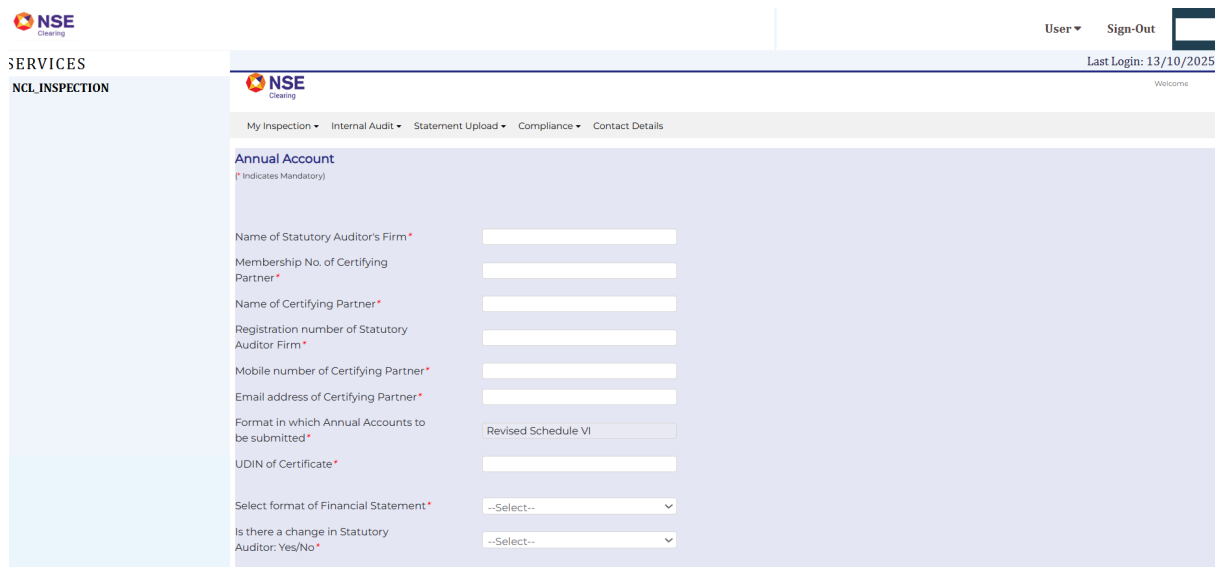
The screenshot shows the NSE Clearing Main Page interface. The left sidebar contains the NSE Clearing logo and the text "SERVICES" and "NCL\_INSPECTION". The top navigation bar includes "User", "Sign-Out", and "Last Login: 13/10/2025". The main content area has a breadcrumb trail: "My Inspection > Internal Audit > Statement Upload > Compliance > Contact Details". Below this, the title "Main Page" is displayed. There are three input fields: "Member Code\*", "Member Name\*", and "Member Pan\*", each with a dropdown arrow. A "NEXT" button is located below the input fields. At the bottom, there is a copyright notice: "Copyright © 2014 National Stock Exchange of India Ltd. All rights reserved."

(Member Name, Member Code & Member PAN fields are auto populated.)

### 5. Annual Returns module consists of different sub-modules. The below mentioned sub-modules will be accessible to the Members based on their constitution type.

Corporate/LLP	Partnership Firm	Individual
Annual Accounts Tab	Annual Accounts Tab	Annual Accounts Tab
Networth Tab	Networth Tab	Networth Tab
Directors Details Tab	Partners Details Tab	Compliance Officer Tab
Shareholding Details Tab	Partnership Sharing Details Tab	Submit to NCL tab
Compliance Officer Tab	Compliance Officer Tab	
Submit to NCL tab	Submit to NCL tab	

**6. Members to click next and proceed to Annual Accounts Tab and below screen will appear:**



**Note:**

- Members are requested to fill all the mandatory fields.
- If there is a change in Statutory Auditor then Members are required to select Yes - If yes is selected, then reason for change will be available in drop down for selecting the reason for change in Statutory Auditor. If reason selected is "Resignation of Statutory Auditor" or "Others", then reason for such resignation/change needs to be mentioned in 'Mention reason' tab.



Reason for Change*	Resignation of Statutory Auditor
PAN of Statutory Auditor's Firm*	--Select--
PAN of Statutory Auditor signing the balance sheet*	Resignation of Statutory Auditor
	Others

- Member to select format of Financial Statement - IGAAP, IndAS, NBFC, as applicable

Email address of Certifying Partner*	
Format in which Annual Accounts to be submitted*	--Select--
UDIN of Certificate*	IGAAP
	IndAS
	NBFC
Select format of Financial Statement*	--Select--

- Members are required to upload the scanned copy of Audited Balance Sheet, Profit & Loss Account, Schedule & Notes to Account, Auditor's Report and Directors Report (Directors Report Not Applicable for Individual and partnership).
- Only PDFs are to be uploaded as per the given nomenclature guidelines for naming the files.

Sr. No.	Document	File Name
1.	Audited Balance Sheet	XXXXXAuditedBalanceSheet31MarYYYY
2.	Profit & Loss Account	XXXXXPLAccount31MarYYYY
3.	Schedule & Notes to Account	XXXXXScheduleNotesAcc31MarYYYY
4.	Auditor's Report	XXXXXAuditorsReport31MarYYYY
5.	Directors Report	XXXXXDirectorsReport31MarYYYY

XXXXXX represents Five digit member code  
 YYYY represents as on date's year (i.e. 2025).

7. Once all files are uploaded, click on "Save". "Save" button does not submit the form to NCL. On saving the form reference no. shall be generated.

NSE

Clearing

Services

NCL Inspection

User

Sign-Out

Last Login: 13/10/2025

Is there a change in Statutory Auditor: Yes/No \*

PAN of Statutory Auditor's Firm \*

PAN of Statutory Auditor signing the balance sheet \*

Date of appointment of Statutory Auditor \*

Audit Balance Sheet \*

Format: XXXXXAuditedBalanceSheet31MarYYYY

Choose File No file chosen

Profit & Loss Account \*

Format: XXXXXPLAccount31MarYYYY

Choose File No file chosen

Schedule & Notes to Account \*

Format: XXXXXScheduleNotesAcc31MarYYYY

Choose File No file chosen

Auditors Report \*

Format: XXXXXAuditorsReport31MarYYYY

Choose File No file chosen

Directors Report \*

Format: XXXXXDirectorsReport31MarYYYY

Choose File No file chosen

Save

Next

Success

Data has been Saved successfully

OK


ScheduleNotesAcc31Mar2025.pdf

AuditorsReport31Mar2025.pdf

DirectorsReport31Mar2025.pdf

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“Save’ button helps Members to save the entered values and uploaded documents. But it does not submit the form to the NCL. On saving the form reference no. shall be generated.



SERVICES

NCL\_INSPECTION

User

Sign-Out

Last Login: 13/10/2025

Welcome

My Inspection

Internal Audit

Statement Upload

Compliance

Contact Details

Annual Return Submission MIS

Year

Select Year

Search

Reset

New Submission

	Reference Number	Member Code	Member Name	PAN No.	Fixed Network	Variable Network	Status	Shortfall	Date of Submission	Date of Rejection/Approval	Rejection Reason
1											

**8. Members to click next and proceed to Networth Tab and & below screen will appear:**

**Networth**

(\* Indicates Mandatory)

 Name of CA Firm: \* 

Method of Computation of Net Worth \* -- Select Method -- ▾

 Membership No of certifying CA: \* 

 UDIN of the certificate: \* 

 PAN of CA/CA Firm: \* 

 Networth computation is based on standalone basis: \* ☐ Yes ☐ No

Name of Director/Partner of CA Firm:

PAN of Director/Partner of CA Firm:

Add More

 Fixed Networth Reported(Rs): \* 

 Variable Networth Reported(Rs): \* 

 Networth (Along with computation duly certified by CA): \*  Choose File | No fl..osen

 The nomenclature of the document uploaded should be XXXXXXNetworth31MarYYYY.  
 Note: XXXXX represents member code, YYYY represents the year.

Uploaded File :

PREVIOUS SAVE NEXT

**Note:**

- Upload Scanned copy of Networth Certificate in the “Networth (along with computation duly certified by CA)’ field
- Only PDFs are to be uploaded as per the given nomenclature guidelines for naming the files

Sr. No.	Document	File Name
1.	Networth (along with computation duly certified by CA)	XXXXXXNetworth31MarYYYY

XXXXXX represents Five digit member code  
 YYYY represents as on date’s year (i.e. 2025).

- ‘Method of Computation of Net Worth’ is a dropdown option. The general options available are:
  - (i) Schedule VI of SEBI (Stockbrokers) Regulations, 1992.
  - (ii) RBI Method.
- Members are requested to adhere 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/LAD-NRO/GN/2022/73 dated February 23, 2022. Refer Annexure II for formats.
- Members are also advised to refer to NCL Circular ref no. NCL/CMPL/55460 dated February 01, 2023, for clarification on ascertaining Net worth as per SEBI Gazette Notification.

- Members are required to select whether computation of Networth is based on company's standalone financial statements.

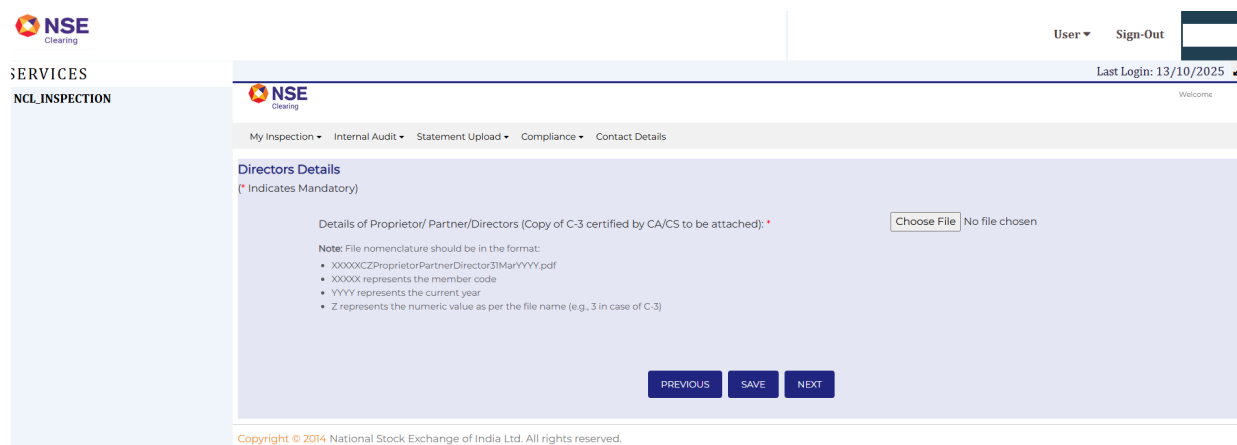
Networth computation is based on standalone basis: ☒ Yes ☐ No

- Members can also add details of more than one **Director/Partner of CA Firm** by clicking on add more tab.

Networth computation is based on standalone basis: ☒ Yes ☐ No

Name of Director/Partner of CA Firm:	PAN of Director/Partner of CA Firm:	
<input type="text"/>	<input type="text"/>	<input type="button" value="Add More"/>
<input type="text"/>	<input type="text"/>	<input type="button" value="Delete"/>
<input type="text"/>	<input type="text"/>	<input type="button" value="Delete"/>

## 9. Members are required to click on “Save” and click on next to provide the Details of Proprietor/ Partner/ Directors.



The screenshot shows the NSE Clearing web application interface. The top navigation bar includes the NSE Clearing logo, a user profile dropdown, and a 'Sign-Out' button. The left sidebar lists 'SERVICES' and 'NCL INSPECTION'. The main content area is titled 'Directors Details' and includes a note about mandatory fields. It features a file upload section with a 'Choose File' button and a 'No file chosen' status. Below the upload section, there are three buttons: 'PREVIOUS', 'SAVE', and 'NEXT'. The footer indicates 'Copyright © 2014 National Stock Exchange of India Ltd. All rights reserved.'

- Formats for providing the Details of Proprietor/ Partner/ Directors are attached to Circular as Annexure II - C-3 Details of Directors/Proprietor/ Partner.
- Only PDFs are to be uploaded as per the given nomenclature guidelines for naming the files.


Sr. No.	Document	File Name
1.	Details of Proprietor/ Partner/ Directors (Copy of C-3 duly certified by CA/CS to be attached).	XXXXCZProprietorPartnerDirector31MarYYYY

XXXXXX represents Five digit member code

YYYY represents as on date's year (i.e. 2025).

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

## 10. Members are required to click on “Save” and click on next to proceed to Shareholding Details Tab



**SERVICES**  
 NCL\_INSPECTION

User ▼ Sign-Out  
 Last Login: 13/10/2025  
 Welcome

My Inspection ▼ Internal Audit ▼ Statement Upload ▼ Compliance ▼ Contact Details

### Shareholding Details

Details of Shareholding pattern of member (Copy of C-7 duly certified by CA/CS to be attached) : \*

Undertaking for Relative Support/ Corporate Support to Dominant Shareholders of member (Copy of C-7 duly certified by CA/CS to be attached):

Details of Shareholding Pattern of corporate entity/ies forming part of Promoter Group of trading member entity :

No file chosen

No file chosen

No file chosen

**Note:**  
 • File nomenclature for Details of Shareholding pattern of member - XXXXXC7ShareholdingPattern31MarYYYY.pdf  
 • File nomenclature for Undertaking for Relative Support/ Corporate Support to Dominant Shareholders of member - XXXXXC7RelativeSupport31MarYYYY.pdf  
 • File nomenclature for Details of Shareholding Pattern of corporate entity/ies forming part of Promoter Group of trading member entity - XXXXXC7DominantShareholder31MarYYYY.pdf  
 • XXXXX represents the member code  
 • YYYY represents the current year

**Note:**

- Only PDFs are to be uploaded as per the given nomenclature guidelines for naming the files

Sr. No.	Document	File Name
1.	Details of Shareholding pattern of member (Copy of C-7 duly certified by CA/CS to be attached)	XXXXXCZShareholdingPattern31MarYYYY
2.	Undertaking for Relative Support/ Corporate Support to Dominant Shareholders of member. (Copy of C-7 duly certified by CA/CS to be attached.)	XXXXXCZRelativeSupport31MarYYYY
3.	Details of Shareholding Pattern of corporate entity/ies forming part of Promoter Group of trading member entity	XXXXXCZDominantShareholder31MarYYYY

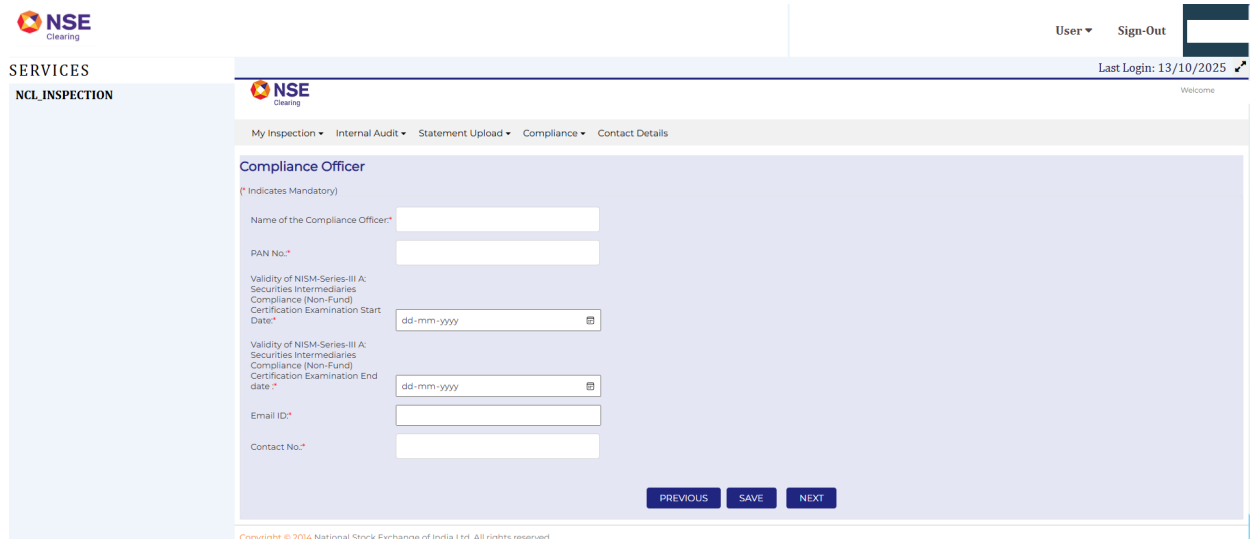
XXXXXX represents Five digit member code

YYYY represents as on date's year (i.e. 2025)

Z represents the numeric value as per the file name i.e., 7 in case of C-7



## 11. Members are required to click on “Save” and click on next to proceed to enter Compliance officer tab.



The screenshot shows the NSE Clearing portal interface. On the left, there's a sidebar with 'SERVICES' and 'NCL\_INSPECTION'. The main content area is titled 'Compliance Officer' and contains a form with the following fields:

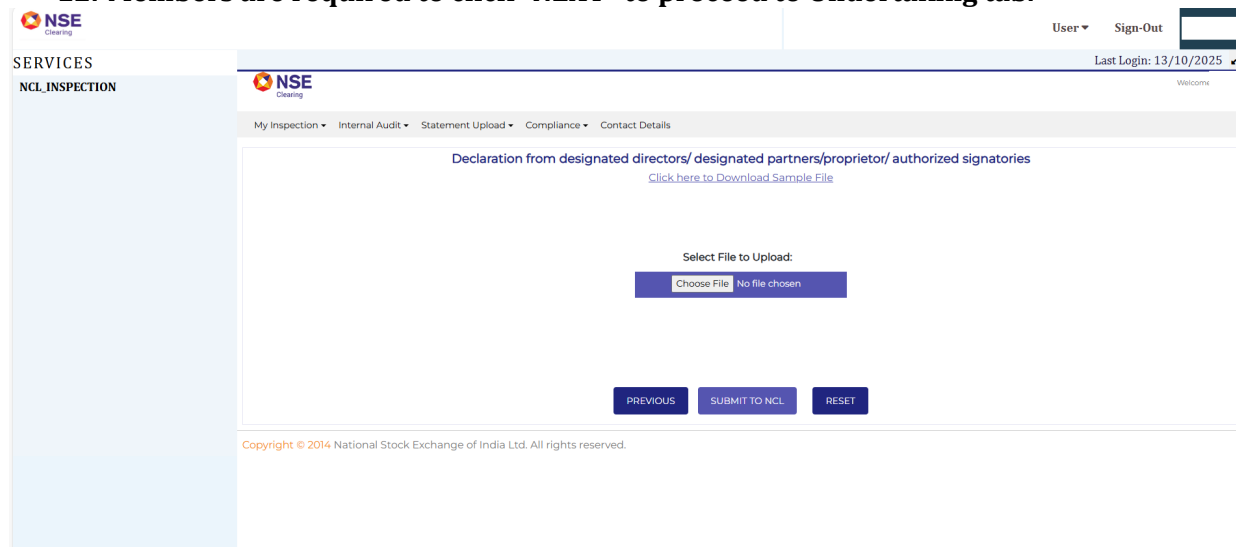
- Name of the Compliance Officer\*
- PAN No.\*
- Validity of NISM-Series-III A: Securities Intermediaries Compliance (Non-Fund) Certification Examination Start Date\* (dd-mm-yyyy)
- Validity of NISM-Series-III A: Securities Intermediaries Compliance (Non-Fund) Certification Examination End date\* (dd-mm-yyyy)
- Email ID\*
- Contact No.\*

At the bottom of the form are three buttons: 'PREVIOUS', 'SAVE', and 'NEXT'. The footer of the page reads: 'Copyright © 2014 National Stock Exchange of India Ltd. All rights reserved.'

Members are required to provide Name, PAN No., Validity of NISM-Series-III A: Securities Intermediaries Compliance (Non-Fund) Certification Examination start and end date, Email and Contact Number.

**Note:** Kindly note that members are required to save the entered values and upload documents on each page. “Save” does not submit the form to NCL.

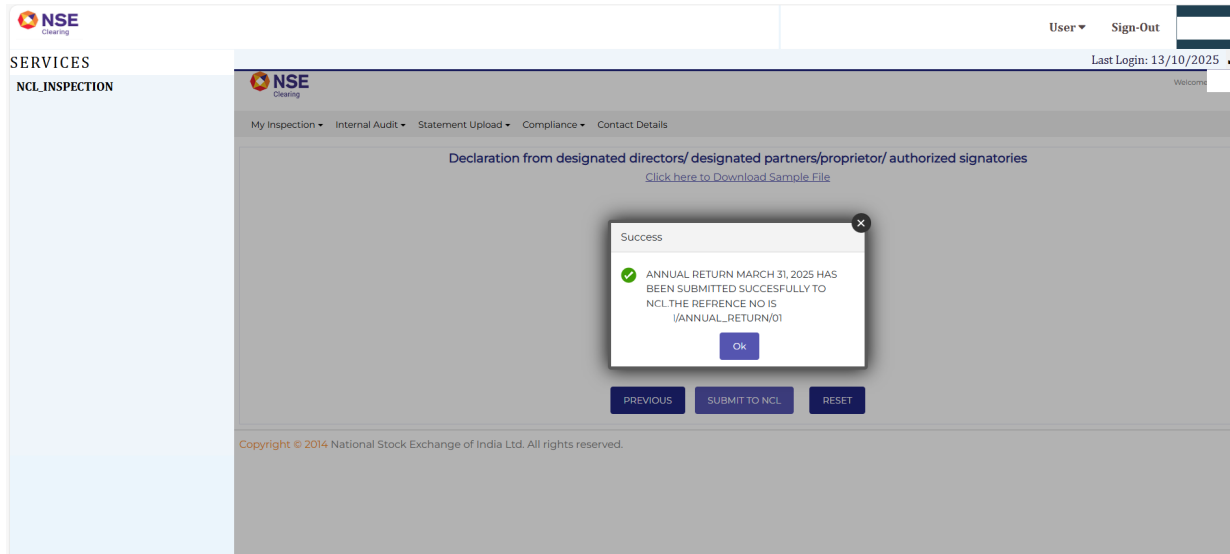
## 12. Members are required to click “NEXT” to proceed to Undertaking tab.



The screenshot shows the NSE Clearing portal interface for the Undertaking tab. The main content area is titled 'Declaration from designated directors/ designated partners/proprietor/ authorized signatories'. Below this, there's a link: 'Click here to Download Sample File'. A section titled 'Select File to Upload:' contains a 'Choose File' button and the text 'No file chosen'. At the bottom of the form are three buttons: 'PREVIOUS', 'SUBMIT TO NCL', and 'RESET'. The footer of the page reads: 'Copyright © 2014 National Stock Exchange of India Ltd. All rights reserved.'

Members are required to download the Format/Template and upload the same on Portal in PDF Format/Refer Annexure II for Formats.

### 13. Submit to NCL tab – Kindly note that members must click the ‘Submit to NCL’ button to make the final submission to NCL.



### 14. Verification of Annual Returns by NCL

- When the Members submits the Annual return, the same will be reflected in the dashboard of ‘**Annual report MIS**’ module viewable from member’s end.
- In case of any **shortfall** in Net worth, the same shall be reflected on the dashboard on submission of network certificate.
- When NCL approves the submission, the status on the dashboard shall reflect as ‘Approved’. An email/intimation regarding the approval shall be sent to the email-id provided by the members during the Annual return submission.
- When NCL rejects the submitted details, the status on the dashboard shall reflect as ‘Rejected’. An email/intimation regarding the rejection shall be sent to the email-id provided by the members during the Annual return submission.
- When NCL rejects the submissions, members will be required to login to the portal and re-submit the Annual return to NCL.