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**ANNEXURE II****FORMATS OF DOCUMENTS FOR SUBMISSION OF ANNUAL RETURNS**

<b>Sr. No</b>	<b>Document Type</b>	<b>Description</b>	<b>Annexure No.</b>
1	Annual Accounts	Auditors report	1
2	C-1	Networth Certificate along with the relevant computation	2
3	C-3	Details of Directors	3
4	C-7	Shareholding pattern	4
5	Declaration	Declaration from designated directors/designated partners/proprietor/authorized signatories	5

**Annexure 1**

**AUDITORS REPORT**

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

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

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

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

**For (Name of Certifying Firm)**

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

## **Annexure 2**

### **(A) Base Networth Requirement & Method of Computation**

Clearing members of the NCL are required to maintain Net worth as prescribed by the NCL at all points of time as per the continuing membership norms of the NCL. Base Net worth for various classes of members as per SEBI Gazette Notification No. SEBI/LAD-NRO/GN/2022/73 dated February 23, 2022, is as under:

<b>Segment</b>	<b>Type of Membership</b>	<b>Base Networth - Applicable from 23.02.2024</b>	
		<b>Corporate/LLP</b>	<b>Firm / Individual</b>
Capital Market	SCM	5 Crore	5 Crore
	CM	15 Crore	15 Crore
	PCM	50 Crore	NA
Futures & Options	SCM	5 Crore	5 Crore
	CM	15 Crores	15 Crores
	PCM	50 Crores	NA
Currency Derivatives	SCM	5 Crore	5 Crores
	CM	15 Crore	15 Crore
	PCM	50 Crore	NA
Commodity Derivatives	SCM	5 Crore	5 Crore
	CM	15 Crore	15 Crore
	PCM	50 Crore	NA
Debt Segment	SCM	5 Crore	5 Crore
	CM	15 Crore	15 Crore
	PCM	50 Crore	NA

SCM = Registered Self Clearing Membership.

CM = Registered Clearing Membership.

PCM = Registered Professional Clearing Membership.

**Method of computation applicable is as prescribed by Schedule VI of Securities and Exchange Board of India (Stock Brokers) (Amendment) Regulations, 2022.**

**(B) Formats of Net worth Certificate**

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

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

**CERTIFICATE**

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

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

1. Base Net worth is (in Rs.) \_\_\_\_\_/- (as mentioned in SEBI gazette notification No. SEBI/LAD-NRO/GN/2022/73 dated February 23, 2022)
2. Variable Net worth in (in Rs.) \_\_\_\_\_/-

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

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

We further certify that:

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

**Place:**

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

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

**UDIN:**

**Name of Partner/Proprietor**

**Chartered Accountants / Company Secretaries**

**PAN no. of Partner/Proprietor**

**Membership Number**

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

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

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

**Format: C-1 (Networth Certificate for Professional Clearing Members)**

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

**CERTIFICATE**

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

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

1. Base Networth is (in Rs.)\_\_\_\_\_/- (as mentioned in SEBI gazette notification No. SEBI/LAD-NRO/GN/2022/73 dated February 23, 2022)

2. Variable Networth is (in Rs.)\_\_\_\_\_/-

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

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

We further certify that:

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

**Place:**

**For (Name of Certifying Firm)**

**Date:**

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

**UDIN:**

**Name of Partner/Proprietor Chartered  
Accountants / Company Secretaries**

**PAN no. of Partner/Proprietor  
Membership Number**

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

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

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

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

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

**CERTIFICATE**

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

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

1. Base Networth is (in Rs.) \_\_\_\_\_/- (as mentioned in SEBI gazette notification No. SEBI/LAD-NRO/GN/2022/73 dated February 23, 2022)
2. Variable Networth is (in Rs.) \_\_\_\_\_/-

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

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

We further certify that:

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

**Place:**

**For (Name of Certifying Firm)**

**Date:**

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

**UDIN:**



**Name of Partner/Proprietor Chartered  
Accountants / Company Secretaries**

**PAN no. of Partner/Proprietor Membership  
Number**

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

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

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

**Format C-1**

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

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

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

**Place:**

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

**Date:**

**UDIN:**

**Name of Partner/Proprietor Chartered Accountants /  
Company Secretaries**

**PAN no. of Partner/Proprietor  
Membership Number**

## **CLARIFICATION ON NETWORTH COMPUTATION**

### **A) Share Capital + Free Reserves**

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

## B) Non-Allowable Assets

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

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

		<p><i>The term related party shall have the same meaning as given in clause 76 &amp; 77 of Section 2 of Companies Act 2013 to be read with Rule 4 of the Companies (Specification and definition details) Rules, 2014.</i></p>																					
7	<b>Prepaid Expenses, losses</b>	<p>This shall include:</p> <ul style="list-style-type: none"> <li>• Prepaid expenses and losses as per Balance Sheet / Trial Balance.</li> <li>• Preliminary / Deferred revenue / Pre-operative expenses / Deferred Tax Asset/ MAT credit not written-off as per Balance Sheet</li> <li>• GST credit not required to be deducted</li> </ul>																					
8	<b>Intangible Assets</b>	<p>Net book value of intangible assets such as goodwill, patents, copyrights, trademarks, computer software, investment in artwork and other antique items etc. as per Balance Sheet / Trial Balance</p>																					
9	<b>30% of Marketable Securities</b>	<p>This shall include:</p> <table border="1"> <thead> <tr> <th>Particulars</th><th></th><th>Amount (Rs.)</th></tr> </thead> <tbody> <tr> <td>Listed Shares</td><td>A</td><td>Rs. 200</td></tr> <tr> <td>G-Sec (having 10% haircut)</td><td>B</td><td>Rs. 100</td></tr> <tr> <td><b>TOTAL MARKETABLE SECURITIES</b></td><td><b>A+B</b></td><td><b>Rs. 300</b></td></tr> <tr> <td><b>Deduction from Networth</b></td><td></td><td><b>Rs. 70</b></td></tr> <tr> <td>30% of Listed Shares – (30% of Rs. 200) - Rs. 60/-</td><td></td><td></td></tr> <tr> <td>10% of G Sec – 10% of Rs. 100 - Rs. 10</td><td></td><td></td></tr> </tbody> </table> <ul style="list-style-type: none"> <li>• Listed securities held either as investment or Stock-in-Trade / Inventories shall be referred as marketable securities.</li> <li>• Value of these Securities to be considered for calculating this element shall be the value as recorded in the books of accounts, on the date of the computation of the Net worth.</li> </ul> <p>It is observed that Clearing Corporations applies different hair cut for less riskier securities (Liquid and Debt Mutual Funds, G-Sec, non-government debt securities, corporate bonds, T-bills &amp; Sovereign Gold bonds) for the purpose of collecting collaterals from members.</p>	Particulars		Amount (Rs.)	Listed Shares	A	Rs. 200	G-Sec (having 10% haircut)	B	Rs. 100	<b>TOTAL MARKETABLE SECURITIES</b>	<b>A+B</b>	<b>Rs. 300</b>	<b>Deduction from Networth</b>		<b>Rs. 70</b>	30% of Listed Shares – (30% of Rs. 200) - Rs. 60/-			10% of G Sec – 10% of Rs. 100 - Rs. 10		
Particulars		Amount (Rs.)																					
Listed Shares	A	Rs. 200																					
G-Sec (having 10% haircut)	B	Rs. 100																					
<b>TOTAL MARKETABLE SECURITIES</b>	<b>A+B</b>	<b>Rs. 300</b>																					
<b>Deduction from Networth</b>		<b>Rs. 70</b>																					
30% of Listed Shares – (30% of Rs. 200) - Rs. 60/-																							
10% of G Sec – 10% of Rs. 100 - Rs. 10																							

		<p>NCL vide its circular no. NCL/CMPT/48346 dated May 21, 2021 stipulated different hair cut on different type of approved securities. Based on this, instead of deducting 30% value, such approved securities (Liquid and Debt Mutual Funds, G- Sec, non-government debt securities, corporate bonds, T-bills &amp; Sovereign Gold bonds) can be aligned with the percentage hair cut applied by the clearing corporation on such collaterals.</p> <p>In case Liquid and Debt Mutual Funds, G-secs, T-bills, Sovereign Gold bonds, non-government debt securities, corporate bonds does not form part of aforementioned Exchange circular, Members are advised to refer SEBI circular dated Feb 21, 2019 for the haircut.</p> <p><b>Illustration:</b></p> <p>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.</p> <p>Further, whenever member is dealing with more than one Exchanges / Clearing Corporations then for the purpose of haircut, maximum applicable haircut / VAR by any of the Clearing Corporations with shall be taken for valuation of such securities (Liquid and Debt Mutual Funds, G-Sec, non- government debt securities, corporate bonds, T-bills &amp; Sovereign Gold bonds).</p>
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**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 31/03/2025**

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

**NOTES :**

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

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

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

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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 atleast 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.03/2010 dated January 21, 2010/ NCL Master Circular ref no. NCL/CMPL/67806 dated April 30 2025
- Any appointment or resignation of a designated director requires prior approval of the Exchange/CC as per SEBI circular no CIR/MIRSD/2/2011 dated June 03, 2011/ NCL Master Circular ref no. NCL/CMPL/67806 dated April 30 2025

**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 4 above, based on my/ our scrutiny of the books of accounts, records and documents are true and correct to the best of my/our knowledge and as per information provided to my/our satisfaction.

**Place:**

**Date:**

**UDIN:**

**For (Name of Certifying Firm)**

**Name of Partner/ Proprietor**

**Chartered Accountant / Company Secretary**

**Membership Number**

**Annexure 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, 20\*\* (For LLP)**

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

Sr.	Particulars	1	2	3
1.	Name	First Name: 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> ) <sup>s</sup>			
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, 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 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, 20\*\* (for Partnership Firms)**

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

Sr.	Particulars	1	2	3
1.	Name	First Name: 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) <sup>§</sup>			
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 AddressCity: 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			

<b>Sr.</b>	<b>Particulars</b>	<b>1</b>	<b>2</b>	<b>3</b>
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

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

### Certificate

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

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

Date:

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

**Annexure 4 (a)****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, 2025

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

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

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

<b>PART I –PROMOTER GROUP</b>									
Sr No.	Name of promoter 1	Under what capacity 2	Residential address (with Pincode) & ContactNo	No. of share 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								
<b>TOTAL PROMOTER GROUP HOLDING (A)</b>									

<b>PART II – NON PROMOTER GROUP</b>									
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								
<b>TOTAL NON PROMOTER GROUP HOLDING (B)</b>									
<b>GRAND TOTAL (A) + (B)</b>					100%				



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

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

**NOTES:**

1. In case of all body corporate in the promoter group of the 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 31/03/2025**

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 - Sharing Pattern & Details of Partners**

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

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

<sup>2</sup> Applicable only in case where partner is a designated partner. All initials to be expanded (full name to be indicated).

**NOTES:**

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

Any change in partners not amounting to dissolution of the firm requires prior approval of the 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, 1992.

**PART II - Details of other stock exchange/clearing corporation memberships held by the member, holding company, subsidiary company, promoters, directors & partners as on 31/03/2025**

Sr. No	Name	Relation@	Stock Exchange/Clearing Corporation	Since (specify the date)	Member ship 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**

### **Undertaking to NSE Clearing Limited** *(On the letterhead of the member)*

To,  
NSE Clearing Limited  
Exchange Plaza, Bandra-Kurla Complex  
Bandra (E), Mumbai – 400 051.

I/We Mr./Ms./M/s. (Member name: \_\_\_\_\_) (PAN: .....)  
hereby state that \_\_\_\_\_ is associated with us as the statutory  
auditor from the Year \_\_\_\_\_.

With regards to SEBI Circular SEBI/HO/MIRSD/MIRSD2/CIR/P/2016/95 dated September  
2016 pertaining to enhanced Supervision of stock brokers/Depository participants,

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

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

I/we also confirm that an individual statutory auditor who has completed his term as mentioned in (1)  
above has not been re-appointed as Statutory auditor with us during the financial year.

Further I/we also confirm that statutory audit firm which has completed its term as mentioned in (2)  
above has not been re-appointed as Statutory auditor with us during the financial year.

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

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

I/We Mr./Ms./M/s. (Member name: \_\_\_\_\_) confirm the following:

1. Annual Accounts
2. Networth
3. Details of Directors/Partners/proprietor;
4. Details of Shareholding Pattern;
5. Undertaking from corporate support to Dominant Shareholders;
6. Details of Shareholding pattern of corporate entities forming part of Promoter Group (if applicable).
7. Compliance Officer Details

are true and correct for the financial year

Stamp:

Date:

Place:

Sign: \_\_\_\_\_

Name of the Person whose signature is affixed: \_\_\_\_\_

Designation of the Person whose signature is affixed: \_\_\_\_\_

Mobile / phone No.: \_\_\_\_\_

Email id for further communication \_\_\_\_\_

Note: Should be signed by the designated directors/ designated partners/proprietor/  
authorized signatories