

ANNEXURE I

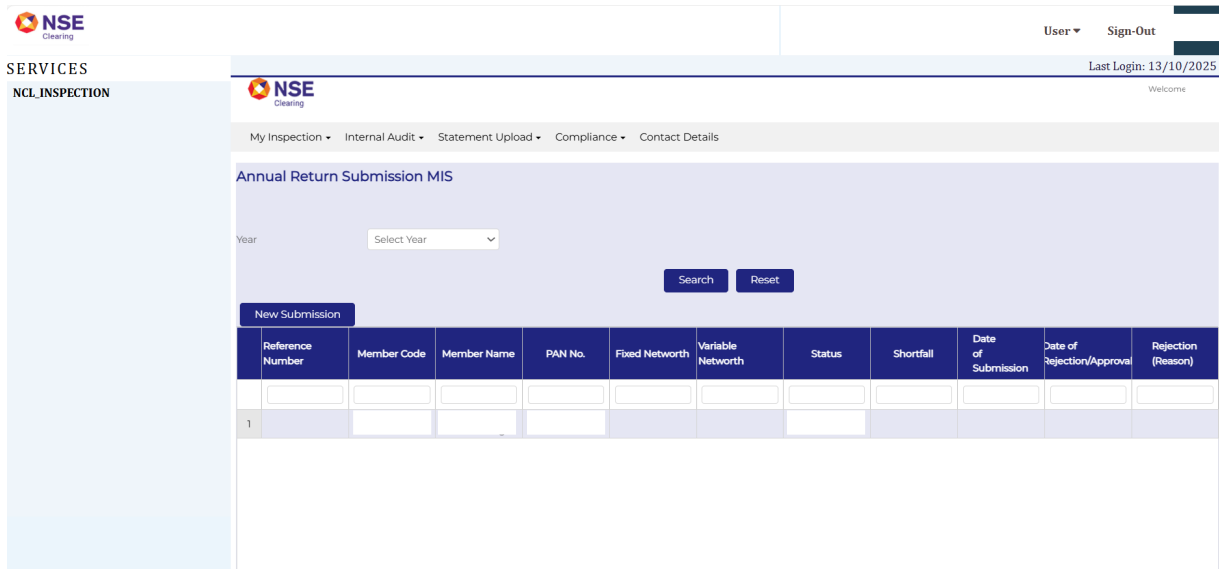
USER MANUAL FOR SUBMISSION OF ANNUAL RETURN ON NEW NCL MEMBER PORTAL.

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 –

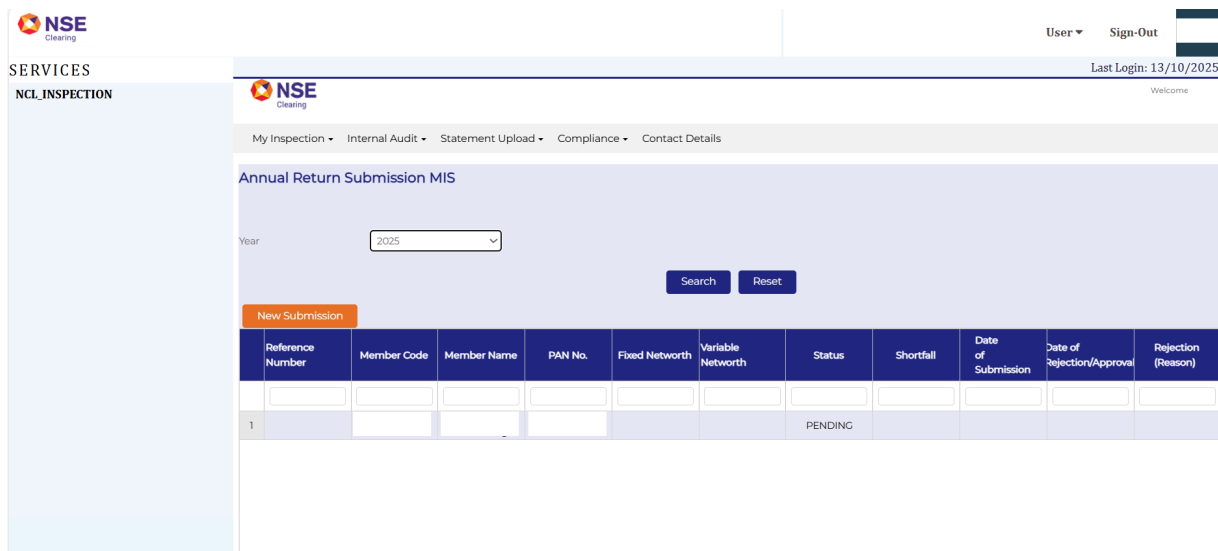


2. After Login, click on Compliance tab. Under that click on “Annual Return Submission”



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. Click on “New Submission” tab.



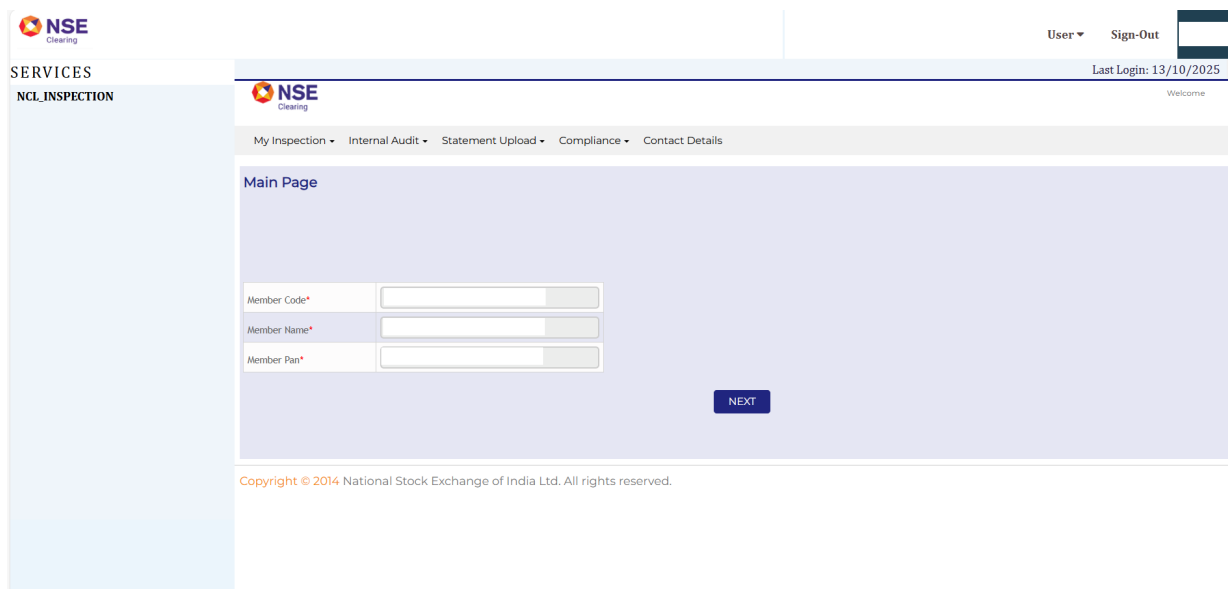
Year: 2025

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						PENDING				

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



Member Code*

Member Name*

Member Pan*

NEXT

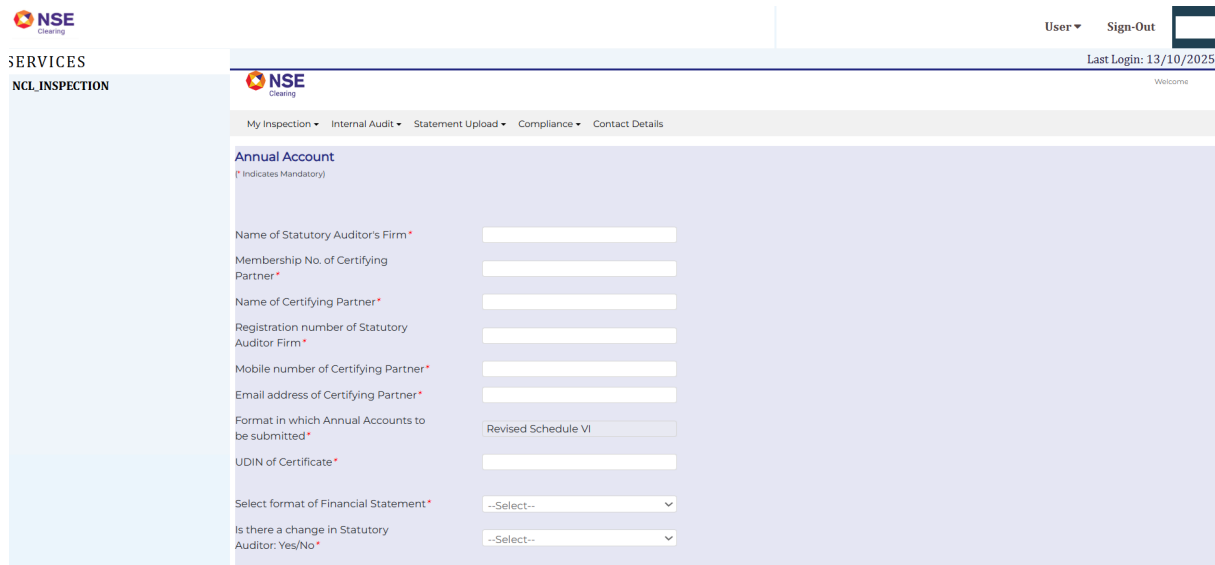
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(Member Name, Member Code & Member PAN fields are auto populated.)

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.

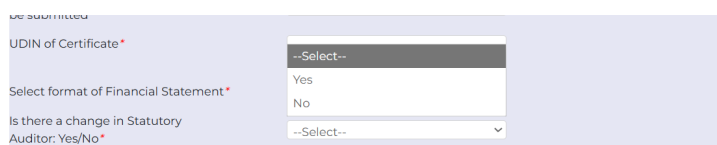
Corporate/LLP	Partnership Firm	Individual
Annual Accounts Tab	Annual Accounts Tab	Annual Accounts Tab
Networth Tab	Networth Tab	Networth Tab
Directors Details Tab	Partners Details Tab	Compliance Officer Tab
Shareholding Details Tab	Partnership Sharing Details Tab	Submit to NCL tab
Compliance Officer 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. 2026).

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.



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: XXXXXAuditBalanceSheet31MarYYYY

Choose File | No fl...

Profit & Loss Account *

Format: XXXXXPLAccount31MarYYYY

Choose File | No fl...

Schedule & Notes to Account *

Format: XXXXXScheduleNotesAcc31MarYYYY

Choose File | No fl...osen | ScheduleNotesAcc31Mar2025.pdf

Auditors Report *

Format: XXXXXAuditorsReport31MarYYYY

Choose File | No fl...osen | AuditorsReport31Mar2025.pdf

Directors Report *

Format: XXXXXDirectorsReport31MarYYYY

Choose File | No fl...osen | DirectorsReport31Mar2025.pdf

Save

Next

Success

✓ Data has been Saved successfully

Ok

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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

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. Members are required to enter “**Actual Net Worth (in Rs.)**” under the “**Fixed Networth Reported**” tab and “**Variable Net Worth (in Rs.)**” under the “**Variable Networth Reported**” tab
- 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. 2026).

- ‘Method of Computation of Net Worth’ is a dropdown option. The general options available are:
 - Chapter X of SEBI (Stockbrokers) Regulations, 1996.
 - 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:	
		Add More
		Delete
		Delete

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

Directors Details
(* Indicates Mandatory)

Details of Proprietor/ Partner/Directors (Copy of C-3 certified by CA/CS to be attached): *

Note: File nomenclature should be in the format:

- XXXXXC3ProprietorPartnerDirector31MarYYYY.pdf
- XXXXX represents the member code
- YYYY represents the current year
- Z represents the numeric value as per the file name (e.g., 3 in case of C-3)

No file chosen

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- Formats for providing the Details of Proprietor/ Partner/ Directors are attached to Circular as Annexure II - C-3 Details of Directors/Proprietor/ Partner or C-10-Undertaking stating no changes in Documents C-3 and C-7
- 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 or C-10, as applicable)	XXXXXC3ProprietorPartnerDirector31MarYYYY

XXXXXX represents Five digit member code
YYYY represents as on date's year (i.e. 2026).

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) : *

No file chosen

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

No file chosen

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

No file chosen

Note:
• File nomenclature for Details of Shareholding pattern of member - XXXXC7ShareholdingPattern31MarYYYY.pdf
• File nomenclature for Undertaking for Relative Support/ Corporate Support to Dominant Shareholders of member - XXXXC7RelativeSupport31MarYYYY.pdf
• File nomenclature for Details of Shareholding Pattern of corporate entity/ies forming part of Promoter Group of trading member entity - XXXXC7DominantShareholder31MarYYYY.pdf
• XXXXX represents the member code
• YYYY represents the current year

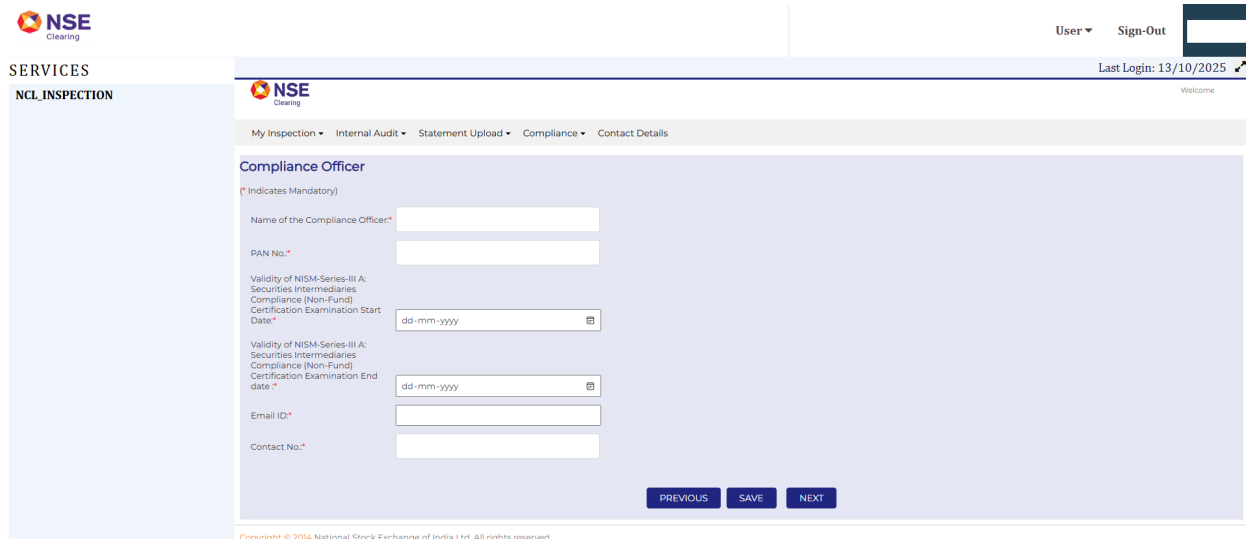
Note:

- 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 or C-10-Undertaking stating no changes in Documents C-3 and C-7)	XXXXC7ShareholdingPattern31MarYYYY
2.	Undertaking for Relative Support/ Corporate Support to Dominant Shareholders of member. (Copy of C-7 duly certified by CA/CS to be attached,if applicable.)	XXXXC7RelativeSupport31MarYYYY
3.	Details of Shareholding Pattern of corporate entity/ies forming part of Promoter Group of trading member entity , if applicable	XXXXC7DominantShareholder31MarYYYY

XXXXXX represents Five digit member code
YYYY represents as on date's year (i.e. 2026)

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

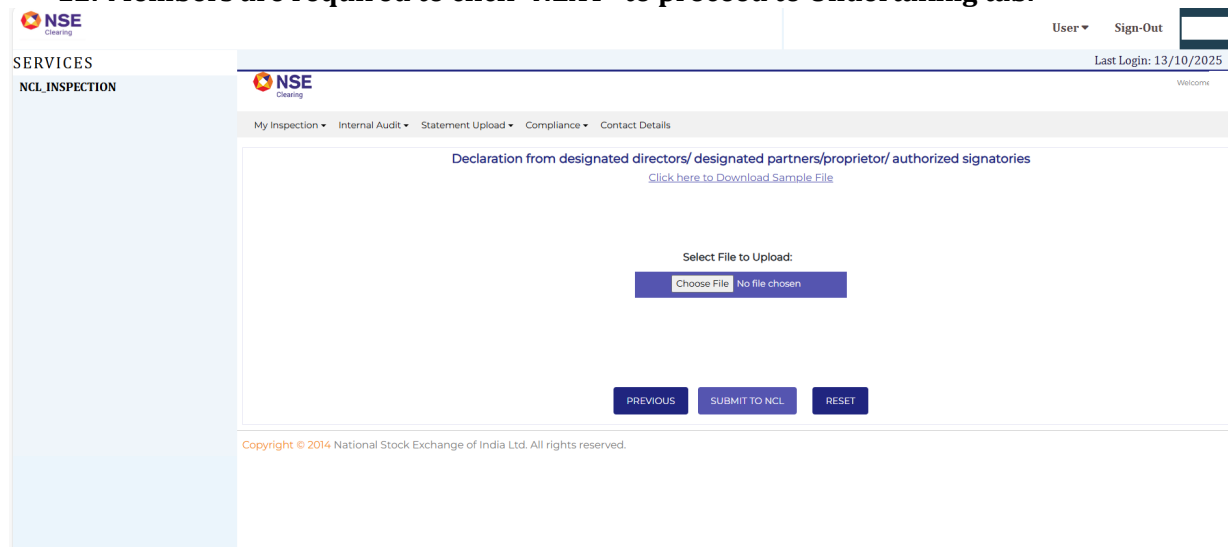


The screenshot shows the NSE Clearing portal interface. On the left, there's a sidebar with 'SERVICES' and 'NCL_INSPECTION'. The main content area is titled 'Compliance Officer' and contains several input fields: 'Name of the Compliance Officer*', 'PAN No.*', 'Validity of NISM-Series-III A: Securities Intermediaries Compliance (Non-Fund) Certification Examination Start Date*' (with a date picker), 'Validity of NISM-Series-III A: Securities Intermediaries Compliance (Non-Fund) Certification Examination End date*' (with a date picker), 'Email ID*', and 'Contact No.*'. At the bottom right of the form are buttons for 'PREVIOUS', 'SAVE', and 'NEXT'. The footer indicates '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.

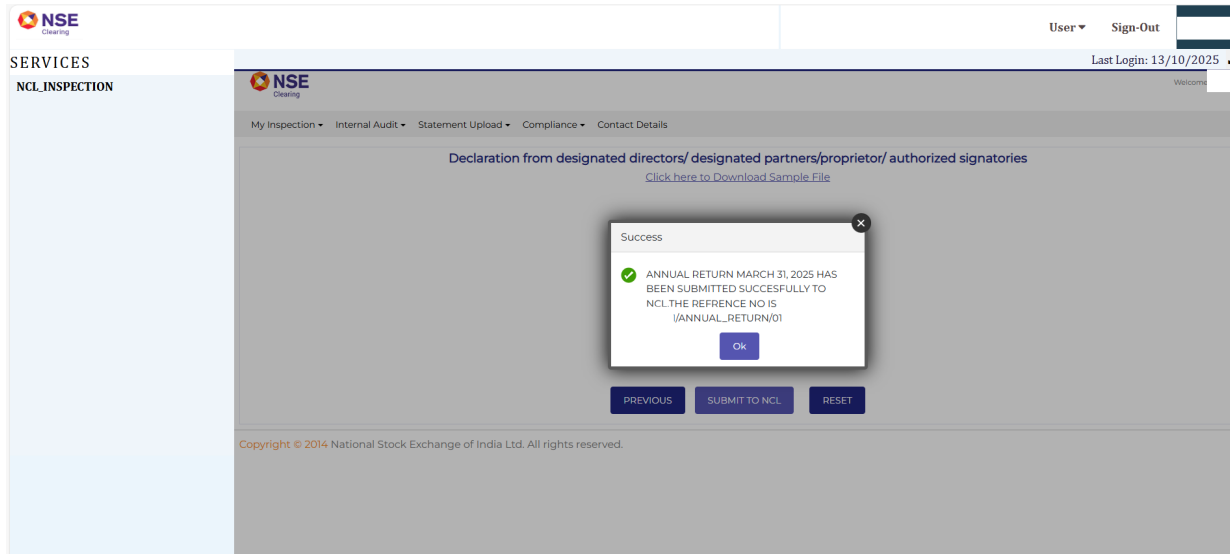
12. Members are required to click “NEXT” to proceed to Undertaking tab.



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' and includes a link 'Click here to Download Sample File'. Below this, there's a section 'Select File to Upload:' with a 'Choose File' button and the text 'No file chosen'. At the bottom right are buttons for 'PREVIOUS', 'SUBMIT TO NCL', and 'RESET'. The footer indicates '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. It is mandatory to click on OK to confirm the submission.



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 networth 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.