

**National Stock Exchange of India Ltd.**

**Annual Submission User Manual**

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## **TABLE OF CONTENTSABOUT THIS GUIDE**

### **1.1 PURPOSE OF THIS GUIDE**

This guide will enable you to use 'Annual Submission' Module of the Electronic Member Interface Member Module and provides detailed procedures for the same.

### **1.2 WHO SHOULD READ THIS GUIDE**

This guide is useful for Trading Members to submit the Annual Returns based on their constitution type on 'Annual Submission' Module.

### **1.3 HOW TO GET IN TOUCH**

The following sections provide information on how to obtain support for the documentation and the software.

#### **1.3.1 Documentation Support**

NSE welcomes your comments and suggestions on the quality and usefulness of this document. For any questions, comments, or suggestions on the documentation, you can contact us at: National Stock Exchange of India Limited.

Exchange Plaza, Block G,  
Bandra-Kurla Complex, Bandra (East),  
Mumbai – 400051  
Tel – 022-26598100

#### **1.3.2 Customer Support**

If you have any problems, questions, comments, or suggestions regarding Electronic Member Interface Member module, contact us at the address mentioned above. While contacting customer support, have the following information ready:

- Your NAME, Email address, phone number and FAX number
- The type of hardware including the server configuration and network hardware, if available
- The version of Electronic Member Interface Member Module
- The name and version of the operating system

## 2. Getting Started

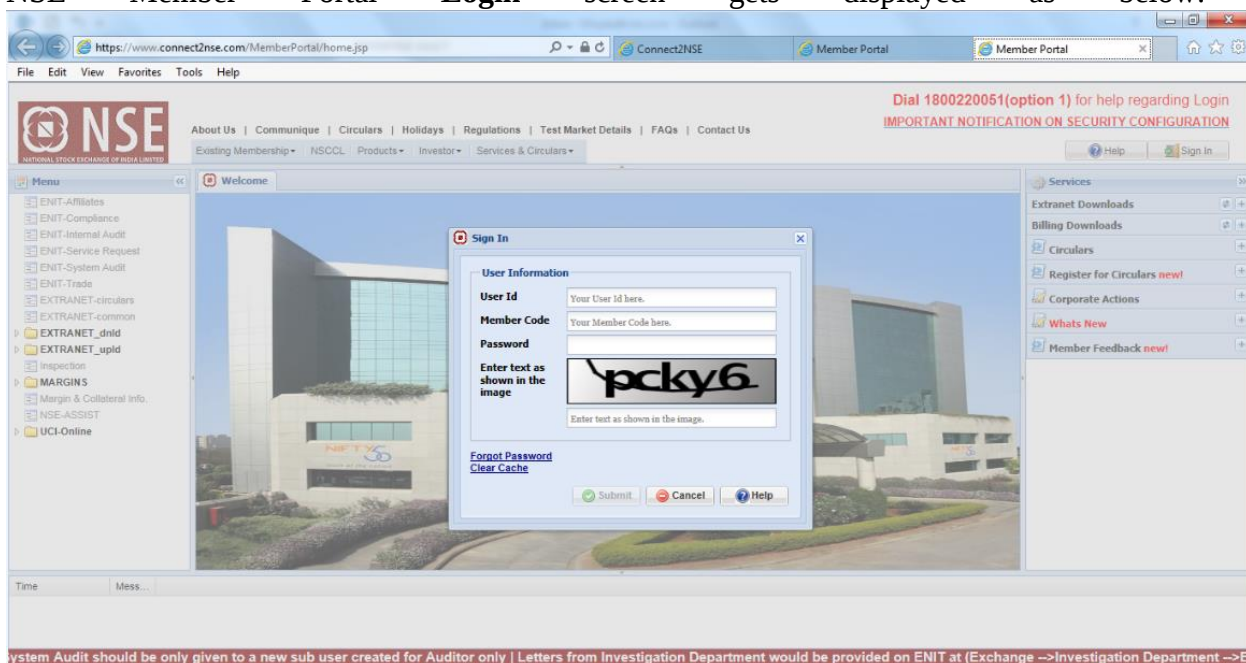
In this chapter, you will learn about “Annual Submission” module.

To start the ‘Electronic Member Interface’ portal, Trading Member first needs to login to the Member Portal using the ‘MemberId, Member Code and Password’.

Then he needs to go to ‘ENIT NEW COMPLIANCE’ tab to get the access. It is advisable to use IE11 or higher versions of IE.

### To start the electronic member interface member module

1. Open Internet Explorer browser from the desktop.
2. Type <https://www.connect2nse.com/MemberPortal/home.jsp> in the address bar & then click the **Go** button from the browser.
1. NSE Member Portal **Login** screen gets displayed as below:

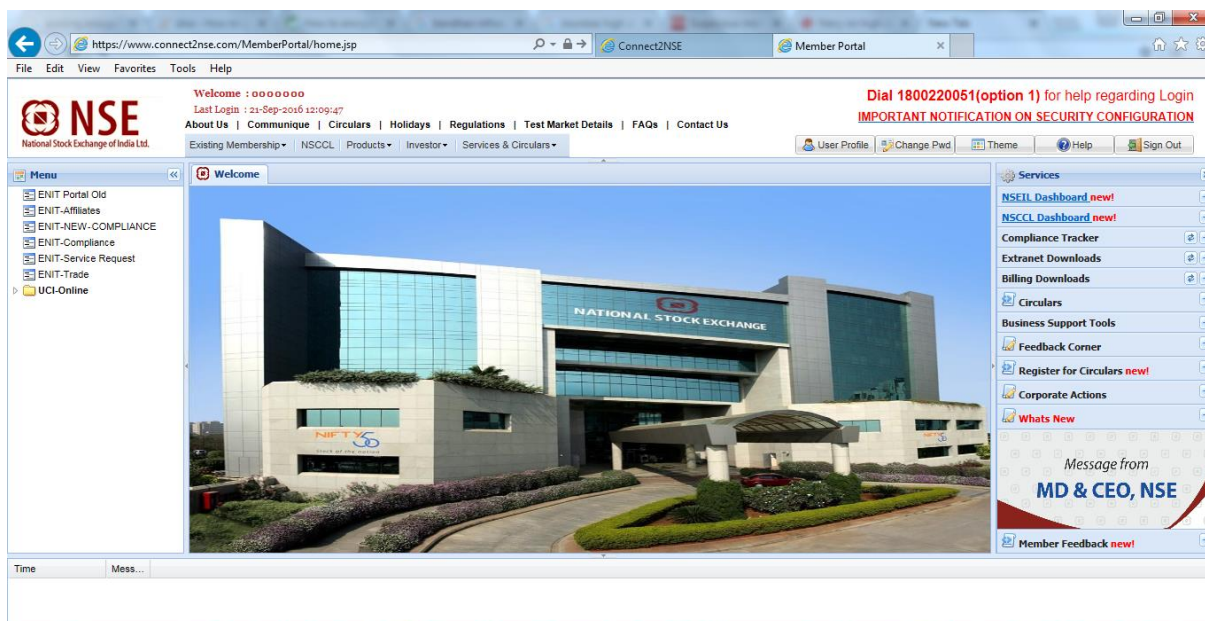


2. After entering the credentials, member needs to click on ‘Submit’ button to login.

|             |                                                                                                                                                                                                                                                               |
|-------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| MemberId    | <ul style="list-style-type: none"> <li>✓ Type the appropriate Memberid in this field.</li> <li>✓ This field is alphanumeric.</li> <li>✓ This field is mandatory.</li> </ul>                                                                                   |
| Member Code | <ul style="list-style-type: none"> <li>✓ Type the appropriate member code of the member in this field.</li> <li>✓ This field is numeric only.</li> <li>✓ This field should accept 5 digit correct member code.</li> <li>✓ This field is mandatory.</li> </ul> |

|          |                                                                                                                                                                                                   |
|----------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Password | <ul style="list-style-type: none"> <li>✓ Type correct password in this field.</li> <li>✓ This field accepts alphanumeric &amp; special characters.</li> <li>✓ This field is mandatory.</li> </ul> |
|----------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

3. When member logs in, then following screen will be displayed:



or complaints are now sent to the Trading Member through ENIT-Please check under Investor Services Cell > ISC correspondence | Access to ENIT-System Audit should be only given to a ne

4. When Trading Member opens 'ENIT NEW COMPLIANES' tab, the main screen 'Dashboard' gets open:

Compliance

Welcome

**Alerts**

| Request ID            | Module Name   | Submission Date | Status           |
|-----------------------|---------------|-----------------|------------------|
| 1 10851/ADVERTISEMENT | ADVERTISEMENT | 07-Jun-2016     | APPROVAL PENDING |
| 2 10851/ADVERTISEMENT | ADVERTISEMENT | 10-Jun-2016     | APPROVAL PENDING |
| 3 10851/ADVERTISEMENT | ADVERTISEMENT | 10-Jun-2016     | APPROVAL PENDING |
| 4 222/ADV/0616/61     | ADVERTISEMENT | 15-Jun-2016     | APPROVAL PENDING |
| 5 10851/ADVERTISEMENT | ADVERTISEMENT | 08-Jun-2016     | APPROVAL PENDING |

**Reminders**

| Request ID            | Module Name   | Submission Date | Status           |
|-----------------------|---------------|-----------------|------------------|
| 1 10851/ADVERTISEMENT | ADVERTISEMENT | 07-Jun-2016     | APPROVAL PENDING |
| 2 10851/ADVERTISEMENT | ADVERTISEMENT | 10-Jun-2016     | APPROVAL PENDING |
| 3 10851/ADVERTISEMENT | ADVERTISEMENT | 10-Jun-2016     | APPROVAL PENDING |
| 4 222/ADV/0616/61     | ADVERTISEMENT | 15-Jun-2016     | APPROVAL PENDING |
| 5 10851/ADVERTISEMENT | ADVERTISEMENT | 08-Jun-2016     | APPROVAL PENDING |

**Submission Alerts**

| Module Name     | Submission Date | Status             |
|-----------------|-----------------|--------------------|
| 1 ADVERTISEMENT | 20-Sep-2016     | Submission Pending |
| 2 ADVERTISEMENT | 28-Jul-2016     | Submission Pending |
| 3 ADVERTISEMENT | 13-Sep-2016     | Submission Pending |
| 4 ADVERTISEMENT | 10-Sep-2016     | Submission Pending |
| 5 ADVERTISEMENT | 21-Sep-2016     | Submission Pending |
| 6 ADVERTISEMENT | 17-Sep-2016     | Submission Pending |

**Submission Reminders**

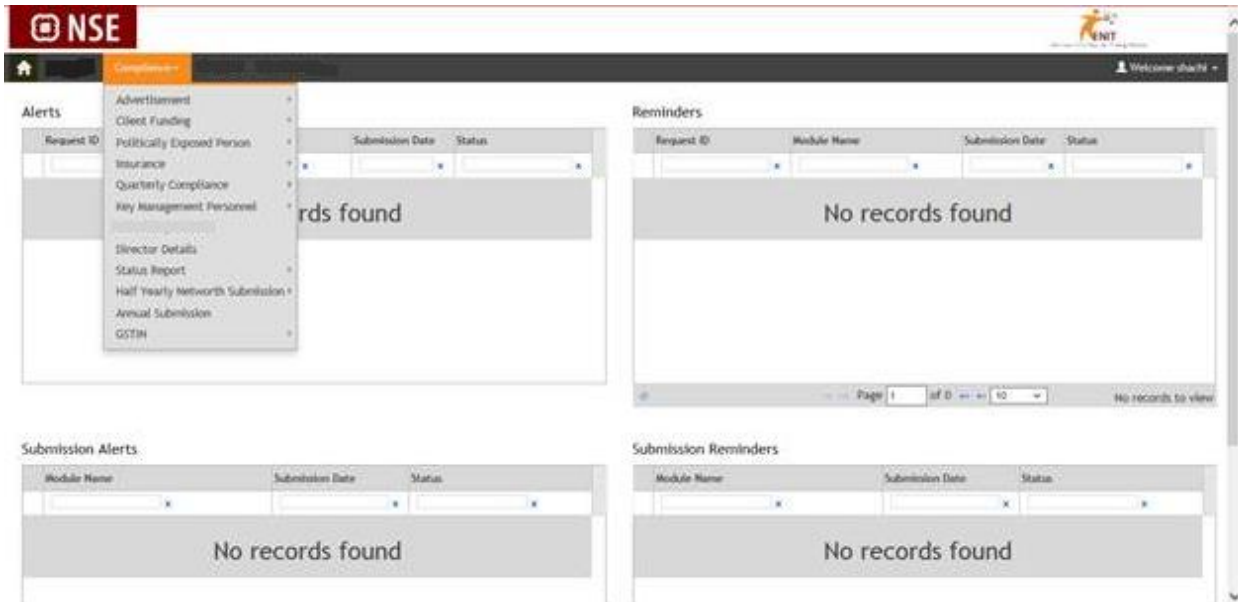
| Module Name     | Submission Date | Status             |
|-----------------|-----------------|--------------------|
| 1 ADVERTISEMENT | 20-Sep-2016     | Submission Pending |
| 2 ADVERTISEMENT | 28-Jul-2016     | Submission Pending |
| 3 ADVERTISEMENT | 13-Sep-2016     | Submission Pending |
| 4 ADVERTISEMENT | 10-Sep-2016     | Submission Pending |
| 5 ADVERTISEMENT | 21-Sep-2016     | Submission Pending |
| 6 ADVERTISEMENT | 17-Sep-2016     | Submission Pending |

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5. When no records are available, then it will show 'No Records Found'.

## 2.1 ELECTRONIC MEMBER INTERFACE

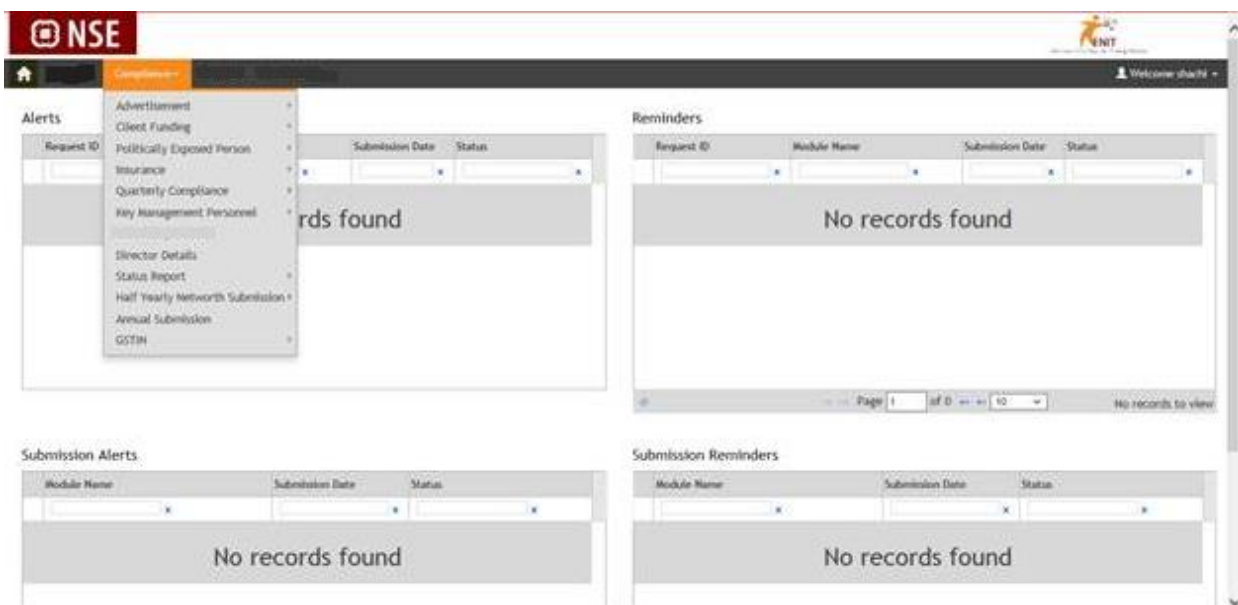
To navigate your way in the Electronic Member Interface (Member), a proper understanding of the interface is essential. This section illustrates the various parts of the Electronic Member Interface (Member) and their uses.



### 2.1.1 Navigation Bar

The navigation bar displays the various options available in the Electronic Member Interface.

On clicking on 'Compliance' module, "Annual Submission" module is available:



On clicking Annual Submission module, “**Annual Returns**” page will get open.

### 3. Compliances

#### 3.1 ANNUAL SUBMISSION

“**Annual Submission**” module helps the Trading Member to submit the Annual Returns data (Data for - Annual Accounts, Networth, Director/Partner/Proprietor/ Membership in other stock exchange, Listed IN details, Financial Details) to the National Stock Exchange.

#### 3.2 CONSTITUTION TYPES

Annual submission needs to be done on the basis of constitution types of the eligible Trading members. The types are as follow:

1. Corporate
2. Bank
3. LLP
4. Firm
5. Individual

Annual Returns module consists of different sub-modules inside it. The modules accessible to the TMs are based on their constitution types. The modules accessible for each type of the constitutions are as below:

##### [A] Corporate/Bank/LLP:

- Main field
- Annual Accounts
- Networth
- Director Details
- Shareholding Details
- Other Stock Exchange
- Listed In
- Financial Details
- Attached Scanned Copies
- Submit to Exchange

##### [B] Firm:

- Main field

- Annual Accounts
- Networth
- Partner Details
- Other Stock Exchange
- Financial Details
- Attached Scanned Copies
- Submit to Exchange

### [E] Individual:

- Main field
- Annual Accounts
- Networth
- Proprietor Details
- Other Stock Exchange
- Financial Details
- Attached Scanned Copies
- Submit to Exchange

When member freshly opens Annual Submission menu, below default page will be displayed to him:

The screenshot displays the NSEIL Annual Returns submission interface. At the top, the NSE and NSEIL logos are visible. The navigation bar includes 'Master', 'Compliance', and a user greeting 'Welcome shachi'. The main heading is 'Annual Returns'. Below this, there are input fields for 'Member Name' (ABC LTD), 'Member Code' (12345), 'PAN of Trading Member/Clearing Member' (ABCDE1234F), 'Financial year Start Date' (01-Apr-2016), 'End Date' (31-Mar-2017), and 'As On Date' (31-Mar-2017). A 'Save' button is located below these fields. On the left, a sidebar lists various modules, all marked as '(Not Entered)'. The 'Annual Accounts' module is selected and expanded, revealing a sub-section for entering details. This section includes a prompt to enter details for Profit & Loss before the Balance Sheet, a field for the 'Name of Statutory Auditor's Firm', a field for the 'Membership No. of Certifying Partner', and a dropdown menu for the 'Format in which Annual Accounts to be Submitted' (currently set to T-Format). 'Save' and 'Reset' buttons are provided at the bottom of this section.

**Note:** By default, the status for all accessible modules will be displayed as 'Not Entered'. When member enters & saves the details of any module, the status of the respective module will get changed to 'Entered'.

By default, all numeric fields will show 0.00 value. Member can save zero or positive or negative amount in all the fields.

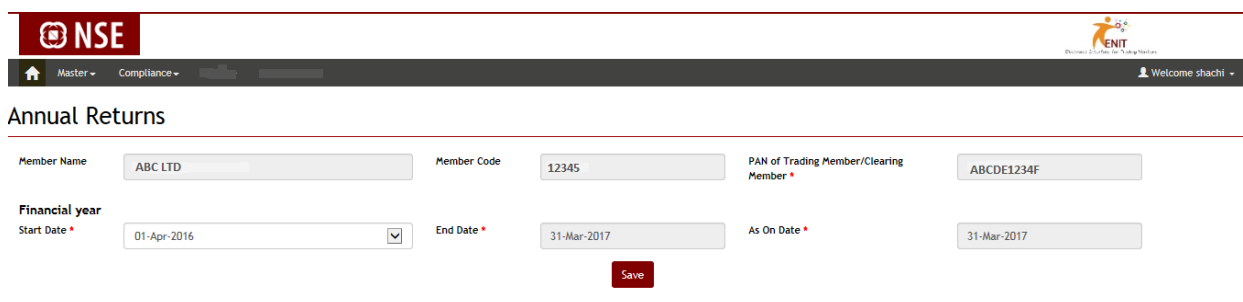
Also, the members can expand the form by hiding the left pane (sub-module pane) by clicking on below marked arrow:

Here, few sub-menus are common for each constitution type. The common sub-menus are as follows:

- Main fields
- Annual Accounts
- Networth
- Other Stock Exchange
- Financial Details
- Attached Scanned Copies
- Submit to Exchange

#### [A] Main Field:

1. Login with correct credentials
2. Click on Compliance
3. Select Annual Submission
4. Click on it
5. Then below Annual Returns page will get opened:



The above Main fields consists of following fields & buttons:

- **‘Member Name & Member Code’:** These are auto populated & disabled fields.
- **‘PAN of Trading Member/Clearing Member’** is an auto populated & disabled field. It will auto fetch the PAN Card No existing in the current system for the logged in member.
- **‘Financial Year’** consists of ‘Start Date, End Date, As on Date’ dropdown fields.
- **‘Start Date’** is a dropdown & when member selects any available date option from it, **‘End Date’** and **‘As on Date’** fields will be auto populated with the appropriate date, which will be disabled too.
- **‘Save’** will save the entered details.

**Note:** The mandatory fields available in every module will be marked with \* mark to highlight.

When member logs in with the correct details, ‘Start Date’ will be auto populated showing ‘01-Apr-YYYY’. This field will be editable having another option ‘01-Jan-YYYY’ where “YYYY” denotes Year.

As the start date is auto populating, it will also auto populate the ‘End Date’ & hence the ‘As on Date’. ‘End date & As on date’ fields will be read only & non editable.

- **When member will save the details, a successful alert ‘Submitted Successfully’ will be displayed as below:**

The screenshot shows the NSE Annual Returns portal. At the top, there's a navigation bar with 'NSE' logo and 'Welcome shachi'. Below it, the 'Annual Returns' section is active. A modal window in the center displays a green checkmark and the text 'Submitted successfully.' with an 'OK' button. The background form contains the following fields:

- Member Name:** ABC LTD
- Member Code:** 12345
- PAN of Trading Member/Clearing Member:** ABCDE1234F
- Financial year Start Date:** 01-Apr-2016
- End Date:** 31-Mar-2017

Below these fields, there's a section for 'Annual Accounts' with a sidebar menu on the left. The sidebar menu includes: 'Annual Accounts (Not Entered)', 'Networth (Not Entered)', 'Partner Details (Not Entered)', 'Other Stock Exchange (Not Entered)', 'Financial Details (Not Entered)', 'Attach Scanned Copies (Not Entered)', and 'Submit to Exchange'. The main content area for 'Annual Accounts' has a heading 'Annual Accounts' and a sub-heading 'Kindly Enter Details for Profit & Loss prior to entering Details for Balance Sheet'. It includes fields for 'Name of Statutory Auditor's Firm', 'Membership No. of Certifying Partner', and 'Format in which Annual Accounts to be Submitted' (set to 'T-Format'). There are also links for 'Profit & Loss' and 'Balance Sheet'.

### [B] Annual Accounts:

When member will click & open 'Annual Accounts' module, the module will get highlighted & below form will get opened:

This screenshot shows the same NSE Annual Returns portal, but with the 'Annual Accounts' module highlighted in the sidebar menu. The 'Save' button is now visible below the 'Financial year' fields. The 'Annual Accounts' section in the main content area is more prominent, showing the same fields as before: 'Name of Statutory Auditor's Firm', 'Membership No. of Certifying Partner', and 'Format in which Annual Accounts to be Submitted' (set to 'T-Format'). The 'Profit & Loss' and 'Balance Sheet' links are also visible.

'Annual Accounts' module consists of below fields & buttons:

- **‘Name of Statutory Auditor's Firm’:** It is a blank field accepts alphabets, numeric & below special characters: , . / - \_ Space
- **‘Membership No. of Certifying Partner’:** It is a blank field accepts alphabets, numeric & below special characters: , . / - \_ Space
- **‘Format in which Annual Accounts to be submitted’:** It is a dropdown field. It has following options:
  - T-Format
  - Revised Schedule VI Format
- **‘Save’:** This button will enable member to save the above details.
- **‘Reset’:** This button will reset the entered details to the default values.

By default, Revised Schedule VI Format is selected.

**‘Annual Accounts’** module consists of two tabs as follow:

- 1) Profit & Loss sheet
- 2) Balance Sheet

These tabs are common for both formats. Both sheets contain all amount fields representing in Rupees.

### [A] T - FORMAT:

- (1) **Profit & Loss sheet:** When member will click on ‘Profit & Loss sheet’ tab, below form will get open:

**NSE** **ENIT** **Welcome shachi**

**Annual Returns**

Member Name: ABC LTD Member Code: 12345 PAN of Trading Member/Clearing Member: ABCDE1234F

Financial year: Start Date: 01-Apr-2016 End Date: 31-Mar-2017 As On Date: 31-Mar-2017

**Save**

| Annual Accounts       | (Not Entered) |
|-----------------------|---------------|
| Networth              | (Not Entered) |
| Partner Details       | (Not Entered) |
| Other Stock Exchange  | (Not Entered) |
| Financial Details     | (Not Entered) |
| Attach Scanned Copies | (Not Entered) |

**Annual Accounts**

Kindly Enter Details for Profit & Loss prior to entering Details for Balance Sheet

Name of Statutory Auditor's Firm: TRADING FIRM 1 Membership No. of Certifying Partner: 8989787

Format in which Annual Accounts to be Submitted: T-Format

Attach Scanned Copies (Not Entered)  
 Submit to Exchange

Save Reset

Profit & Loss
Balance Sheet

### Profit and Loss Details

| Particulars                                         | Amount(Rs. in absolute figure) | Particulars                        | Amount(Rs. in absolute figure) |
|-----------------------------------------------------|--------------------------------|------------------------------------|--------------------------------|
| <b>INCOME</b>                                       |                                | <b>EXPENDITURE</b>                 |                                |
| Sales(Gross)*                                       | 0.00                           | Opening Stock *                    | 0.00                           |
| Income from Brokerage/Operations *                  | 0.00                           | Purchases *                        | 0.00                           |
| Closing Stock *                                     | 0.00                           | Brokerage/Comission Paid *         | 0.00                           |
| Other Income *                                      | 0.00                           | Administrative and Other Charges * | 0.00                           |
| <b>TOTAL(Income)</b>                                | <b>0.00</b>                    | Interest/Finance Charges *         | 0.00                           |
|                                                     |                                | <b>TOTAL(Expenditure)</b>          | <b>0.00</b>                    |
| <b>PROFIT/LOSS</b>                                  |                                |                                    |                                |
| Profit/Loss before Depreciation and Tax             |                                | 0.00                               |                                |
| Depreciation *                                      |                                | 0.00                               |                                |
| Profit/Loss after Depreciation and Tax              |                                | 0.00                               |                                |
| <b>Appropriations</b>                               |                                |                                    |                                |
| Dividend *                                          |                                | 0.00                               |                                |
| Dividend Distribution Tax *                         |                                | 0.00                               |                                |
| Transfer To Reserves *                              |                                | 0.00                               |                                |
| Balance Of P/L Brought Forward From Previous Year * |                                | 0.00                               |                                |
| Balance Of P/L Carried Forward To Balancesheet      |                                | 0.00                               |                                |

Save Reset

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^

When member will click on 'Save' button, the entered details will get saved & 'saved successfully' alert will be displayed. 'Reset' button will reset all the values.

(2) **Balance sheet:** When member will click on 'Balance sheet' tab, below form will get opened:

Home Master Compliance Settings
Welcome shachi

### Annual Returns

Member Name

Member Code

PAN of Trading Member/Clearing Member

Financial year  
 Start Date \*

End Date \*

As On Date \*

Save

Annual Accounts (Not Entered)

Networth (Not Entered)  
 Partner Details (Not Entered)  
 Other Stock Exchange (Not Entered)  
 Financial Details (Not Entered)  
 Attach Scanned Copies (Not Entered)

### Annual Accounts

To update anything, please click on EDIT button

Kindly Enter Details for Profit & Loss prior to entering Details for Balance Sheet

Name of Statutory Auditor's Firm \*

Membership No. of Certifying Partner \*

Format in which Annual Accounts to be Submitted \*

☒

Attach Scanned Copies  
(Not Entered)

Save
Reset

Submit to Exchange

Profit & Loss
Balance Sheet

### Balance Sheet

Profit/Loss Amount(Rs.):
☒ Profit ☐ Loss
0.00

| LIABILITIES                                 | Amount(Rs. in absolute figure) | ASSETS                      | Amount(Rs. in absolute figure) |
|---------------------------------------------|--------------------------------|-----------------------------|--------------------------------|
| Equity/Partner/Proprietor Capital (Paid Up) | 0.00+                          | Fixed Assets(Net Block)     | 0.00+                          |
| Preference Capital (Paid Up)                | 0.00+                          | Investments                 | 0.00+                          |
| Reserves & Surplus                          | 0.00+                          | Current Assets              |                                |
| Secured Loans *                             | 0.00                           | Cash In Hand/bank *         | 0.00                           |
| Unsecured Loans *                           | 0.00                           | Sundry Debtors *            | 0.00                           |
| Current Liabilities                         | 0.00+                          | Inventories/Stocks *        | 0.00                           |
| Provisions                                  | 0.00+                          | Other Current Assets *      | 0.00                           |
|                                             |                                |                             | 0.00                           |
|                                             |                                | Loans & Advances *          | 0.00                           |
|                                             |                                | Miscellaneous Expenditure * | 0.00                           |
|                                             |                                | P & L Account               | 0.00+                          |
| Other Liabilities                           | 0.00+                          | Other Assets                | 0.00+                          |
| Total                                       | 0.00                           | Total                       | 0.00                           |
|                                             |                                | Difference                  | 0                              |

Save
Reset

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When member will click on ‘Save’ button, the entered details will get saved & ‘saved successfully’ alert will be displayed. ‘Reset’ button will reset all the values.

‘Profit & Loss’ are the radio buttons which will auto populate the amount, depending on the final values calculating from ‘Profit & Loss sheet’.

+ Sign in the below form indicates the ‘Breakup’ as follow:

Profit & Loss
Balance Sheet

### Balance Sheet

Profit/Loss Amount(Rs.):
☒ Profit ☐ Loss
0.00

| LIABILITIES                                 | Amount(Rs. in absolute figure) | ASSETS                  | Amount(Rs. in absolute figure) |
|---------------------------------------------|--------------------------------|-------------------------|--------------------------------|
| Equity/Partner/Proprietor Capital (Paid Up) | 0.00+                          | Fixed Assets(Net Block) | 0.00+                          |
| Preference Capital (Paid Up)                | 0.00+                          | Investments             | 0.00+                          |
| Reserves & Surplus                          | 0.00+                          | Current Assets          |                                |

Click on any + sign to open Break up window

On opening, below break up window will get open:

**Balance Sheet**

Break Up

|   | Particulars | Amount | Delete |
|---|-------------|--------|--------|
| 1 |             | 0      |        |

Page 1 of 1 View 1 - 1 of 1

Add Save

Secured Loans \* 0.00 Cash In Hand/bank \*

Breakup window contains below fields & buttons:

**‘Particulars’:** In this field, member can add the details.

**‘Amount’:** This field will accept the numeric & decimals.

**‘Delete’ icon:** This icon will help member to delete the already added breakup details. Only last record will get deleted.

**‘Add’ button:** This button will enable member to add more rows to the respective breakup window.

**‘Save’ button:** This button will enable member to save the breakup details.

The Breakup window’s blank search boxes will help member to filter out the details.

## [B] REVISED SCHEDULE VI - FORMAT:

(1) **Profit & Loss sheet:** When member clicks on ‘Profit & Loss sheet’ tab, below form will get opened:

**NSE**

Master Compliance

Welcome shachi

### Annual Returns

Member Name: ABC LTD Member Code: 12345 PAN of Trading Member/Clearing Member: ABCDE1234F

Financial year: Start Date: 01-Apr-2016 End Date: 31-Mar-2017 As On Date: 31-Mar-2017

Save

**Annual Accounts** (Not Entered)

- Networth (Not Entered)
- Partner Details (Not Entered)
- Other Stock Exchange (Not Entered)
- Financial Details (Not Entered)
- Attach Scanned Copies (Not Entered)

**Annual Accounts**

To update anything, please click on EDIT button

Kindly Enter Details for Profit & Loss prior to entering Details for Balance Sheet

Name of Statutory Auditor's Firm: TRADING FIRM 1 Membership No. of Certifying Partner: 8989787

Format in which Annual Accounts to be Submitted: Revised Schedule VI Format

Edit

Attach Scanned Copies (Entered)  
Submit to Exchange

Profit & Loss **Balance Sheet**

### Revised Schedule VI Format - Profit and Loss Details

| Particulars                                                                     | Figures as at the end of current reporting period |
|---------------------------------------------------------------------------------|---------------------------------------------------|
| I. Revenue from operations *                                                    | 0.00                                              |
| II. Other Income *                                                              | 0.00                                              |
| III. Total Revenue (I + II)                                                     | 0.00                                              |
| IV. Expenses                                                                    |                                                   |
| Cost of materials consumed *                                                    | 0.00                                              |
| Purchase of Stock-in-Trade *                                                    | 0.00                                              |
| Changes in inventories of finished goods, work-in-progress and Stock-in-Trade * | 0.00                                              |
| Employee benefit expense *                                                      | 0.00                                              |
| Financial Costs *                                                               | 0.00                                              |
| Depreciation and Amortization Expense *                                         | 0.00                                              |
| Other Expenses *                                                                | 0.00                                              |
| Total Expenses                                                                  | 0.00                                              |
| V. Profit before exceptional and extraordinary items and tax (III - IV)         | 0.00                                              |
| VI. Exceptional Items *                                                         | 0.00                                              |
| VII. Profit before extraordinary items and tax (V - VI)                         | 0.00                                              |
| VIII. Extraordinary Items *                                                     | 0.00                                              |
| IX. Profit before tax (VII - VIII)                                              | 0.00                                              |
| X. Tax eExpense                                                                 |                                                   |
| (1) Current Tax *                                                               | 0.00                                              |
| (2) Deferred Tax *                                                              | 0.00                                              |
| XI. Profit (Loss) from the period from continuing operations (IX-X)             | 0.00                                              |
| XII. Profit/(Loss) from Discontinuing operations *                              | 0.00                                              |
| XIII. Tax expense of Discontinuing operations *                                 | 0.00                                              |
| XIV. Profit/(Loss) from Discontinuing operations (XII - XIII)                   | 0.00                                              |
| XV. Profit/(Loss) for the period (XI + XIV)                                     | 0.00                                              |
| XVI. Earning per equity share                                                   |                                                   |
| (1) Basic *                                                                     | 0.00                                              |
| (2) Diluted *                                                                   | 0.00                                              |

Save Reset

**‘Save’** button will enable member to save the entered details & **‘Reset’** button enables him to reset the entered details to the default values.

(2) **Balance sheet:** When member clicks on ‘Balance sheet’ tab, below form will get opened:




Master Compliance
Welcome shachi

## Annual Returns

Member Name: ABC LTD
Member Code: 12345
PAN of Trading Member/Clearing Member: ABCDE1234F

Financial year: 01-Apr-2016
End Date: 31-Mar-2017
As On Date: 31-Mar-2017

Save

Annual Accounts (Not Entered)

Network (Not Entered)
Partner Details (Not Entered)
Other Stock Exchange (Not Entered)
Financial Details (Not Entered)
Attach Scanned Copies (Not Entered)
Attach Scanned Copies (Entered)
Submit to Exchange

### Annual Accounts

To update anything, please click on EDIT button

Kindly Enter Details for Profit & Loss prior to entering Details for Balance Sheet

Name of Statutory Auditor's Firm: TRADING FIRM 1
Membership No. of Certifying Partner: 8989787

Format in which Annual Accounts to be Submitted: Revised Schedule VI Format

Profit & Loss
Balance Sheet

### Revised Schedule VI Format - Balance Sheet

| Particulars                                     | Figures as at the end of current reporting period | Particulars                                | Figures as at the end of current reporting period |
|-------------------------------------------------|---------------------------------------------------|--------------------------------------------|---------------------------------------------------|
| <b>I. EQUITY AND LIABILITIES</b>                |                                                   | <b>II. Assets</b>                          |                                                   |
| (1) Shareholder's Funds                         |                                                   | (1) Non-current assets                     |                                                   |
| (a) Share Capital *                             | 0.00                                              | (a) Fixed assets                           |                                                   |
| (b) Reserves and Surplus *                      | 0.00                                              | (i) Tangible assets *                      | 0.00                                              |
| (c) Money received against share warrants *     | 0.00                                              | (ii) Intangible assets *                   | 0.00                                              |
| (2) Share application money pending allotment * | 0.00                                              | (iii) Capital work-in-progress *           | 0.00                                              |
| (3) Non-Current Liabilities                     |                                                   | (iv) Intangible assets under development * | 0.00                                              |
| (a) Long-term borrowings *                      | 0.00                                              | (b) Non-current investments *              | 0.00                                              |
| (b) Deferred tax liabilities (Net) *            | 0.00                                              | (c) Deferred tax assets (net) *            | 0.00                                              |
| (c) Other Long term liabilities *               | 0.00                                              | (d) Long term loans and advances *         | 0.00                                              |
| (d) Long term provisions *                      | 0.00                                              | (e) Other non-current assets *             | 0.00                                              |
| (4) Current Liabilities                         |                                                   | (2) Current assets                         |                                                   |
| (a) Short-term borrowings *                     | 0.00                                              | (a) Current investments *                  | 0.00                                              |
| (b) Trade payables *                            | 0.00                                              | (b) Inventories *                          | 0.00                                              |
| (c) Other current liabilities *                 | 0.00                                              | (c) Trade receivables *                    | 0.00                                              |
| (d) Short-term provisions *                     | 0.00                                              | (d) Cash and cash equivalents *            | 0.00                                              |
|                                                 |                                                   | (e) Short-term loans and advances *        | 0.00                                              |
|                                                 |                                                   | (f) Other current assets *                 | 0.00                                              |
| <b>Total</b>                                    | <b>0.00</b>                                       | <b>Total</b>                               | <b>0.00</b>                                       |

Save
Reset

‘Save’ button will enable member to save the entered details & ‘Reset’ button enables him to reset the entered details to the default values.

### [C] Network:

When member will click & open the network module, below page will get open:

**Annual Returns**

Member Name: ABC LTD    Member Code: 12345    PAN of Trading Member/Clearing Member: ABCDE1234F

Financial year: Start Date: 01-Apr-2016    End Date: 31-Mar-2017    As On Date: 31-Mar-2017

**Annual Network**

Name of CA Firm:    Membership No. of Certifying CA:    Method of Computation of Net Worth: Select    Circular Ref.:

**COMPUTE NETWORK**

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**‘Name of CA Firm’:** It will be a blank text box. The maximum character length will be of 50 characters.

**‘Membership No of certifying CA’:** It will be a text box field. The maximum character length will be of 30 characters.

**‘Method of computation of networth’:** It will be a dropdown field. Generally, there are total 4 methods as follow:

- Dr.L.C.Gupta method
- Method I of the exchange
- Method II of the exchange
- RBI method

For below conditions, the type of method will be applicable:

- 1) When the member is a Primary dealer, then below methods will be available:
  - Dr.L.C.Gupta method
  - RBI method
- 2) When constitution is Bank, then below methods will be available:
  - Dr.L.C.Gupta method
  - RBI method
- 3) For the remaining members as per their constitution and category of membership, following methods will be displayed:
  - Dr.L.C.Gupta method

- Method I of the exchange

If the TM is assigned for **Dr. L.C.Gupta Method**, then no other method types will be displayed & if the TM is assigned to the **Exchange Method**, then both Dr.L.C.Gupta Method, Exchange Method will be displayed to him. When the TM is **any Bank**, then both Dr.L.C.Gupta Method & RBI method will be displayed to him.

‘Exchange Method’ consists of both ‘Method I of Exchange & Method II of Exchange’.

**‘Circular Ref’:** It will be an auto populating field. When member will select the computation method then this field will show the respective value.

**‘Compute networth’:** It will be a button which will enable member to generate the respective method’s form.

The auto-calculated amount fields, will calculate & show the amounts as per the calculations.

To save the network for any method, **‘Save’** button will be provided. By clicking on this button, member will be able to save the network. **‘Reset’** button will enable member to reset the entered details to the default values.

(1) **Dr. L.C. Gupta Method:** The method form will be displayed as below:

Dr. L.C. Gupta Method latest Circular No. 541(Ref. NSE/MEM/7835 dated September 06.2006)

| Particulars                 | Amount(Rs. in absolute figure)    |
|-----------------------------|-----------------------------------|
| Capital + Free Reserves     |                                   |
| Capital*                    | <input type="text" value="0.00"/> |
| Free Reserves*              | <input type="text" value="0.00"/> |
|                             |                                   |
|                             |                                   |
|                             |                                   |
|                             |                                   |
|                             |                                   |
|                             |                                   |
|                             |                                   |
| Capital + Free Reserves (A) | <input type="text" value="0.00"/> |

| Particulars                                     | Amount(Rs. in absolute figure)    |
|-------------------------------------------------|-----------------------------------|
| Non-allowable assets viz.                       |                                   |
| Fixed Assets*                                   | <input type="text" value="0.00"/> |
| Pledged Securities*                             | <input type="text" value="0.00"/> |
| Members Card*                                   | <input type="text" value="0.00"/> |
| Non-allowable securities (unlisted securities)* | <input type="text" value="0.00"/> |
| Bad deliveries*                                 | <input type="text" value="0.00"/> |
| Doubtful Debts and Advances*                    | <input type="text" value="0.00"/> |
| Prepaid expenses, losses*                       | <input type="text" value="0.00"/> |
| Intangible Assets*                              | <input type="text" value="0.00"/> |
| Marketable securities*                          | <input type="text" value="0.00"/> |
| 30% of Marketable securities                    | <input type="text" value="0.00"/> |
| Total (Non-allowable assets viz) (B)            | <input type="text" value="0.00"/> |

NetWorth (A-B)

⬆

(2) **RBI Method:** The RBI method form will be displayed as below:

|                       |               |
|-----------------------|---------------|
| Annual Accounts       | (Not Entered) |
| <b>Networth</b>       | (Not Entered) |
| Director Details      | (Not Entered) |
| ShareHolding Details  | (Not Entered) |
| Other Stock Exchange  | (Not Entered) |
| Listed In             | (Not Entered) |
| Financial Details     | (Not Entered) |
| Attach Scanned Copies | (Not Entered) |
| Submit to Exchange    |               |

### Annual Network

Name of CA Firm \*  Membership No. of Certifying CA \*

Method of Computation of Net Worth \*  Circular Ref.

**COMPUTE NETWORK**

**RBI Circular No. NSE/COMP/2010/53 Download Ref No. NSE/COMP/14940 dated June 7, 2010**

A. RBI Amount : \*

**SAVE** **RESET**

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The minimum RBI amount needs to be Rs.500Cr. If it will be less than that, then member will not be able to save the amount.

**(3) Method I of Exchange:** The method I form will be displayed as below:

|                       |               |
|-----------------------|---------------|
| Annual Accounts       | (Not Entered) |
| <b>Networth</b>       | (Not Entered) |
| Director Details      | (Not Entered) |
| ShareHolding Details  | (Not Entered) |
| Other Stock Exchange  | (Not Entered) |
| Listed In             | (Not Entered) |
| Financial Details     | (Not Entered) |
| Attach Scanned Copies | (Not Entered) |
| Submit to Exchange    |               |

### Annual Network

Name of CA Firm \*  Membership No. of Certifying CA \*

Method of Computation of Net Worth \*  Circular Ref.

**COMPUTE NETWORK**

**Method I of Exchange Circular No. 44 Ref. NSE/MEM/00184 dated January 22, 1997)**

| ASSETS              |                                   | LIABILITIES                                                |                                   |
|---------------------|-----------------------------------|------------------------------------------------------------|-----------------------------------|
| Particulars         | Amount(Rs. in absolute figure)    | Particulars                                                | Amount(Rs. in absolute figure)    |
| <b>Fixed Assets</b> |                                   | <b>Share Capital - Equity/Preference</b>                   |                                   |
| Land*               | <input type="text" value="0.00"/> | <b>LIABILITIES</b>                                         |                                   |
| Buildings*          | <input type="text" value="0.00"/> | <b>Share Capital - Equity/Preference</b>                   |                                   |
| Leasehold*          | <input type="text" value="0.00"/> | Share application*                                         | <input type="text" value="0.00"/> |
| Plant & Machinery*  | <input type="text" value="0.00"/> | Preference share capital (if redeemable within 36 months)* | <input type="text" value="0.00"/> |

|                                                                                                       |      |                                                            |      |
|-------------------------------------------------------------------------------------------------------|------|------------------------------------------------------------|------|
|                                                                                                       | 0.00 | Preference share capital (if redeemable within 36 months)* | 0.00 |
| Plant & Machinery*                                                                                    | 0.00 | <b>TOTAL (Share Capital - Equity/Preference)</b>           | 0.00 |
| Furniture & Fittings*                                                                                 | 0.00 | Reserves & Surplus                                         |      |
| Development of Property*                                                                              | 0.00 | Revaluation Reserves*                                      | 0.00 |
| Vehicles*                                                                                             | 0.00 | <b>TOTAL (Reserves &amp; Surplus)</b>                      | 0.00 |
| Computers Etc.(Hardware & Software)*                                                                  | 0.00 | Secured Loans                                              |      |
| <b>TOTAL (Fixed Assets)</b>                                                                           | 0.00 | Debentures*                                                | 0.00 |
| Investments                                                                                           |      | Loans & Advances from Banks*                               | 0.00 |
| Govt./Trust Securities*                                                                               | 0.00 | Loans & Advances from Subsidiaries*                        | 0.00 |
| Debentures or Bonds*                                                                                  | 0.00 | Other Loans & Advances*                                    | 0.00 |
| Shares (Full paid up & Partly paid up)*                                                               | 0.00 | Interest accrued and due on Secured Loans*                 | 0.00 |
| Shares/Debentures and Bonds of Subsidiary Companies*                                                  | 0.00 | <b>TOTAL (Secured Loans)</b>                               | 0.00 |
| Immovable Properties*                                                                                 | 0.00 | Unsecured Loans                                            |      |
| Investments in capital of partnership firms*                                                          | 0.00 | Fixed Deposits*                                            | 0.00 |
| <b>TOTAL (Investments)</b>                                                                            | 0.00 | Loans and Advances from Subsidiaries*                      | 0.00 |
| Current Assets                                                                                        |      | Short Term Loans and Advances (Banks & Others)*            | 0.00 |
| NSE Security Deposit*                                                                                 | 0.00 | Other Loans and Advances (Banks & Others)*                 | 0.00 |
| NSE VSAT & UPS Deposit*                                                                               | 0.00 | Interest Accrued and Due on Unsecured Loans*               | 0.00 |
| Stock in trade*                                                                                       | 0.00 | <b>TOTAL (Unsecured Loans)</b>                             | 0.00 |
| Sundry Debtors (Net i.e. Debtors-Provision for bad debts)*                                            | 0.00 | Current Liabilities and Provisions                         |      |
| Cash on hand*                                                                                         | 0.00 | Acceptances (NSE and Others)*                              | 0.00 |
| Fixed deposit with bank*                                                                              | 0.00 | Sundry Creditors (NSE and Others)*                         | 0.00 |
| Bank balances*                                                                                        | 0.00 | Subsidiary Companies*                                      | 0.00 |
| Deposit with MTNL*                                                                                    | 0.00 | Advance Payments*                                          | 0.00 |
| Deposit for property/flat*                                                                            | 0.00 | Unclaimed Dividends*                                       | 0.00 |
| Deposits adjustable against rent*                                                                     | 0.00 | Interest accrued but not due on Loans*                     | 0.00 |
| Margins paid to NSE*                                                                                  | 0.00 | Overdrafts with Bank*                                      | 0.00 |
| Interest accrued on investment*                                                                       | 0.00 | Payments due to other stock exchange*                      | 0.00 |
| <b>TOTAL (Current Assets)</b>                                                                         | 0.00 | Other Liabilities*                                         | 0.00 |
| Loans and Advances                                                                                    |      | <b>TOTAL (Current Liabilities and Provisions)</b>          | 0.00 |
| Loans and Advances*                                                                                   | 0.00 | Provisions                                                 |      |
| Loans and Advances to Subsidiaries*                                                                   | 0.00 | Provisions for Taxation*                                   | 0.00 |
| Advances and Loans to Partnership Firms in which the company or any of its subsidiaries are partners* | 0.00 | Provisions Dividends*                                      | 0.00 |
| Bills of Exchanges*                                                                                   | 0.00 | For Provident Scheme/Contingencies*                        | 0.00 |
| Advances recoverable in cash or kind or for value to be received (rates, taxes, insurance etc.)*      | 0.00 | For insurance, pension etc. schemes*                       | 0.00 |
| Balances with Current A/C with Managing Agents or Secretaries and Treasurers*                         | 0.00 | Other Provisions*                                          | 0.00 |
| Balances with Customs, Port Trust etc. (where payable on demand)*                                     | 0.00 | <b>TOTAL (Provision)</b>                                   | 0.00 |
| <b>TOTAL (Loans and Advances)</b>                                                                     | 0.00 | LIABILITIES TOTAL                                          | 0.00 |
| <b>ASSETS TOTAL</b>                                                                                   | 0.00 | <b>NETWORTH (ASSETS TOTAL-LIABILITIES TOTAL)</b>           | 0.00 |

SAVE

RESET

## Notes:

1. Advance Payments, Investments with or debts due from persons notified under Special Court (Trial of Offences Relating to Transactions in Securities) Act, 1992 are to be excluded for the purpose of computation of networth.
2. All the items to be considered at book value as per statement of Assets & Liabilities / Balance Sheet.
3. Goodwill, intangible assets, patents, trademarks, designs, value of other stock exchange card, deposits with other stock exchange(s) should not be considered for net worth computation
4. Capital Reserves (Excluding Revaluation Reserves), Capital Redemption Reserves, Debenture Redemption Reserves, Sinking Fund Reserves, General Reserve, Share Premium and Profit c/f from P&L account should not be considered for net worth computation.

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**(4) Method II of Exchange:** The method II form will be displayed as below:

|                       |               |
|-----------------------|---------------|
| Annual Accounts       | (Not Entered) |
| <b>Networth</b>       | (Not Entered) |
| Director Details      | (Not Entered) |
| ShareHolding Details  | (Not Entered) |
| Other Stock Exchange  | (Not Entered) |
| Listed In             | (Not Entered) |
| Financial Details     | (Not Entered) |
| Attach Scanned Copies | (Not Entered) |
| Submit to Exchange    |               |

**Annual Network**

Name of CA Firm \* trading firm
Membership No. of Certifying CA \* 56465465

Method of Computation of Net Worth \* METHOD II OF EXCHANGE
Circular Ref. Circular No. 93 (Ref. No. NSE/MEM/475 dated March 4, 1998)

**COMPUTE NETWORK**

**Method II of Exchange Circular No. 93 Ref. NSE/MEM/475 dated March4, 1998)**

| Particulars                                                                                                                                                                                          | Amount(Rs. in absolute figure) | Particulars               | Amount(Rs. in absolute figure) |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------|---------------------------|--------------------------------|
| A. Listed (Quoted) Investments in the name of the applicant (at market value) (Detailed list to be enclosed)*                                                                                        | 0.00                           | M. Current Liabilities*   | 0.00                           |
| B. Margin of 30% on market value of listed (quoted) Investments                                                                                                                                      | 0.00                           | N. Long Term liabilities* | 0.00                           |
| C. Net value of listed investments (A-B)                                                                                                                                                             | 0.00                           |                           |                                |
| D. Investments in unlisted(unquoted) companies (as per Note No. 3)*                                                                                                                                  | 0.00                           |                           |                                |
| E. Margin of 50% on Investments in unlisted (unquoted) companies                                                                                                                                     | 0.00                           |                           |                                |
| F. Net value of unlisted Investments (D-E)                                                                                                                                                           | 0.00                           |                           |                                |
| G. Other Investments (at cost) like PPF, NSEC at current value, Statutory deposits with the Exchange, Deposits with registered NSFCs, Bank FDs*                                                      | 0.00                           |                           |                                |
| H. Total Net Investments (C+F+G)                                                                                                                                                                     | 0.00                           |                           |                                |
| I. Market Value of Land and Building component of the Fixed Assets (Full details of such assets like survey number, location, address, extent of land and building to be furnished)*                 | 0.00                           |                           |                                |
| J. Margin on Market Value of Land and Building component of the Fixed Assets (Full details of such assets like survey number, location, address, extent of land and building to be furnished) at 50% | 0.00                           |                           |                                |
| K. Net Value of such fixed assets (I-J)                                                                                                                                                              | 0.00                           |                           |                                |
| L. Debtors not exceeding 3 months + Cash and Bank Balance*                                                                                                                                           | 0.00                           |                           |                                |
|                                                                                                                                                                                                      |                                | O. Networth (H+K+L)-(M+N) | 0.00                           |

**SAVE** **RESET**

## Notes:

1. For computation of loans and advances as a component of current assets, all advances / loans other than those arising out of securities dealing have to be excluded. Only such loans and advances arising due to the securities dealings are to be included as current assets for the purpose of networth computation.
2. Valuation of fixed assets for the consideration of networth would have to be certified by government approved valuers and the value would hold good for 3 years unless a fresh valuation is submitted. Only those items of land & building that are in the name of the trading member as well as in the possession of the trading member shall be included under the head (I) - Land & Building component of the Fixed Assets. Those properties that are leased out by the trading member or taken on lease shall not be included for computation of networth. Fixed Assets other than Land & Building shall not be included for the purpose of computation of networth.
3. Valuation of unlisted investments would be at "fair value" of the said investment, i.e., the average of the "earning value" and the "break up value". For this purpose :-
  1. The "break up value" means equity capital and reserves as reduced by intangible assets and revaluation reserves, divided by number of equity shares of investee co.
  2. The "earning value" means the value of an equity share computed by taking the average of profits after tax as reduced by the preference dividend and adjusted for extra-ordinary and non-recurring items, for the immediately preceding three years and further divided by the number of equity shares of the investee company and capitalised at the following rate :-
    1. In case of predominantly manufacturing company, eight percent;
    2. In case of predominantly trading company, ten percent; and
    3. In case of any other company, including an NBFC, twelve percent;
  4. If, an investee company is a loss making company, the earning value will be taken at zero. (For e.g. EV for an NBFC with capitalisation rate of 12%, is earning per share multiplied by 100/12)
4. Details of items comprising Investments, current assets, current liabilities and long term liabilities should be given separately.
5. Current assets should exclude loans to related entities, bad and doubtful debts and debts outstanding for more than 3 months, advance against capital assets, pledged securities / assets, prepaid expenses, bad deliveries and also intangible assets.
6. Debtors should be distinguished as debtors arising from securities operations and others.
7. Value of membership card / Deposits with any other Stock Exchange is to be excluded for the purpose of computation of networth.
8. Advance / Investment with or debts due from persons notified under Special Court (Trial of Offences Relating to Transactions in securities) Act, 1992 are to be excluded for the purpose of computation of networth.

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If any shortfall in networth exists, then shortfall window will get opened while performing the final submission.

The screenshot shows the 'Annual Network' form with a red warning pop-up in the center. The pop-up text reads: 'Shortfall reported. Submit revised network certificate meeting minimum networth criteria in 15 days.' with an 'OK' button. The form fields include: Name of CA Firm (trading firm1), Membership No. of Certifying CA (432423423), Method of Computation of Net Worth (DR. L.C. GUPTA METHOD), Circular Ref. (Circular no. 541 (Ref. NSE/MEM/7835 dated September 06, 2006)), and a table for Shortfall reason from member with two entries.

| Sr. No. | Generated on            | Shortfall Letters                  |
|---------|-------------------------|------------------------------------|
| 1       | 13-Apr-2017 at 11:55 AM | shortfall.pdf                      |
| 2       | 13-Apr-2017 at 11:53 AM | E-Lock SuperSigner Signing API.pdf |

It will show a pop up window to upload the file & to write the reason for the same. The uploaded file & reason will be available in the Network module as below:

The screenshot shows the 'Annual Network' form with the 'Shortfall reason from member' field set to 'testing shortfall reason'. Below this, there is a table for 'Shortfall Uploaded Files' and a table for 'Uploaded Documents for 25% Difference'.

| Sr. No. | Uploaded on             | Shortfall Uploaded Files              |
|---------|-------------------------|---------------------------------------|
| 1       | 02-Aug-2017 at 01:08 PM | 10585AuditedBalanceSheet31Mar2017.pdf |
| 2       | 21-Jul-2017 at 01:48 PM | IP07.pdf                              |

| Sr. No. | Generated on            | Uploaded Documents for 25% Difference |
|---------|-------------------------|---------------------------------------|
| 1       | 13-Apr-2017 at 11:55 AM | shortfall.pdf                         |
| 2       | 13-Apr-2017 at 11:53 AM | E-Lock SuperSigner Signing API.pdf    |

The member will be able to download the uploaded shortfall files by clicking in the respective document's link.

Also, members can upload the revised network certificate within 15 days meeting the minimum network criteria in the link available on network module as below:

The screenshot shows the 'Annual Network' module. On the left is a sidebar with a menu: 'Annual Accounts (SUBMITTED)', 'Network (NOT APPROVED)', 'Partner Details (SUBMITTED)', 'Other Stock Exchange (SUBMITTED)', 'Financial Details (Not Entered)', 'Attach Scanned Copies (SUBMITTED)', and 'Submit to Exchange'. The main area is titled 'Annual Network' and contains a form with the following fields:

- Name of CA Firm \***: dfdfdfdg
- Membership No. of Certifying CA \***: dfg453453453457897878
- Method of Computation of Net Worth \***: DR. L.C. GUPTA METHOD
- Circular Ref.**: Circular no. 541(Ref. NSE/MEM/7835 dated September 06, 2006)

Below the form is a table with columns: 'Sr. No.', 'Uploaded on', and 'Shortfall Uploaded Files'. The table is currently empty with the message 'No Records Found'.

There is an 'Upload revised network :' section with a 'Browse...' button. A note states: 'Attachments only in .pdf/.jpeg/.jpg/.doc/.docx/.zip/.tif/.7z/.rar are permitted.' A red 'Submit' button is located below the note.

At the bottom, there is another table with columns: 'Sr. No.', 'Generated on', and 'Shortfall Letters'. It contains one record:

| Sr. No. | Generated on            | Shortfall Letters |
|---------|-------------------------|-------------------|
| 1       | 21-Aug-2017 at 04:56 PM | shortfall.pdf     |

Also, the network will remain as not approved for members who have reported a shortfall until they revise it, even after the final submission is made to the Exchange a follow:

The screenshot shows the 'Annual Returns' module. The background interface includes a sidebar with 'Annual Accounts (SUBMITTED)', 'Network (Not Approved)', 'Partner Details (SUBMITTED)', 'Other Stock Exchange (SUBMITTED)', 'Financial Details (Not Entered)', 'Attach Scanned Copies (SUBMITTED)', and 'Submit to Exchange'. The main area is titled 'Annual Returns - Submission To Exchange' and contains a table with columns: 'View Details' and 'Status'.

The table shows the following status:

| View Details          | Status       |
|-----------------------|--------------|
| Annual Accounts       | SUBMITTED    |
| Network               | Not Approved |
| Partner Details       | SUBMITTED    |
| Other Stock Exchange  | SUBMITTED    |
| Financial Details     | No Records   |
| Attach Scanned Copies | SUBMITTED    |

A dialog box titled 'Network shortfall - revised upload' is open in the foreground. It contains the same form fields as the 'Annual Network' module. The 'Shortfall reason' field is empty. The 'Upload revised network :' section has a 'Browse...' button. The note about permitted attachments is also present. A red 'Submit' button is at the bottom of the dialog.

At the bottom of the main interface, a note reads: 'Note: Please check the annual submission details before submitting. Once the data is submitted member cannot add/modify/delete the details. So'.

#### [D] Other Stock Exchange:

When member clicks on 'Other Stock Exchange' module, by default, 'No Change' option will be selected as follow:

**Annual Returns**

Member Name: ABC LTD Member Code: 12345 PAN of Trading Member/Clearing Member: ABCDE12345

Financial year: Start Date: 01-Apr-2016 End Date: 31-Mar-2017 As On Date: 31-Mar-2017

**Membership on Other Stock Exchange**

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

**Other Stock Exchange** (Entered)

☒ No Change (C-10) ☐ Change (C-2)

| Edit | Delete | Name Of Stock Exchange    | Registration date | Name of Trading Member/Holding Co/Subsidiary Co/Promoters/Directors/Partners | Relation       | Membership Number |
|------|--------|---------------------------|-------------------|------------------------------------------------------------------------------|----------------|-------------------|
|      |        | COCHIN STOCK EXCHANGE LTD | 07-Aug-1975       | Trader3                                                                      | SISTER CONCERN | 8565489789        |

When member selects 'Change' option, below pop up alert will be displayed:

**Annual Returns**

Member Name: ABC LTD Member Code: 12345 PAN of Trading Member/Clearing Member: ABCDE12345

Financial year: Start Date: 01-Apr-2016 End Date: 31-Mar-2017 As On Date: 31-Mar-2017

**Membership on Other Stock Exchange**

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

**Other Stock Exchange** (Entered)

☒ No Change (C-10) ☐ Change (C-2)

**Error**

Kindly note that if you select and edit 'Change' option, you will not be able to select 'No Change (C-10)' at a later stage.

| Edit | Delete | Name Of Stock Exchange    | Registration date | Name of Trading Member/Holding Co/Subsidiary Co/Promoters/Directors/Partners | Relation       | Membership Number |
|------|--------|---------------------------|-------------------|------------------------------------------------------------------------------|----------------|-------------------|
|      |        | COCHIN STOCK EXCHANGE LTD | 07-Aug-1975       | Trader3                                                                      | SISTER CONCERN | 8565489789        |

- When member selects 'OK' from the above alert, then 'Change' option will get selected. Once 'Change' option is selected, he will not be able to revert to the 'No Change' option.
- When member selects 'Cancel' from the above alert, then he is still at 'No Change' option.

**[A] When member selects 'No Change' option, he will be able to –**

- Export the available MIS into a .csv sheet
- Read the available MIS
- Search/ filter the entries from the MIS
- He will not be able to perform any other function

**[B] When member will select ‘Change’, he will be able to –**

- Change the option for ‘Are you a member of other Stock Exchange’
- Click on the Submit button
- Add new entries by clicking on Add button
- Export the available MIS into a .csv sheet
- Read the available MIS
- Search/ filter the entries from the MIS
- Edit the existing entries from the MIS
- Delete the existing entries from the MIS

**(1) When member will select ‘Yes’ radio button for ‘Are you a member of other Stock Exchange’ & click on the Submit button, member will be able to add new entries, update, delete / search for the existing entries etc.**

i) When member clicks on the ‘Add’ button, below pop up window will get open-

The screenshot displays the NSEIL Annual Returns portal. A pop-up window titled 'Add details of other stock exchanges' is open. The background shows the 'Annual Returns' section with fields for Member Name, Financial year, and Start Date. The pop-up window contains the following fields and buttons:

- Name Of Stock Exchange:** A dropdown menu with a 'Select' button.
- Registration Date:** A calendar-type field.
- Name of Trading Member/Holding Co/Subsidiary Co/Promoters/Directors/Partners:** A text input field.
- Relation:** A dropdown menu with a 'Select' button.
- Membership number:** A text input field.
- Buttons:** 'Submit' and 'Reset' buttons.
- Notes:**
  - 1. Where Company/Sole Proprietor is member of other stock exchange - 'Self'
  - 2. Where Director of Company is member of other stock exchange - 'Director'
  - 3. Where Partner of Firm is member of other stock exchange - 'Partner'
  - 4. Where Subsidiary Co. is member of other stock exchange - 'Subsidiary Co.'
  - 5. Where Holding Co. is member of other stock exchange - 'Holding Co.'
  - 6. Where Sister Concern is member of other stock exchange - 'Sister Concern'

**‘Add details of Other Stock Exchanges’** pop up window will contain below fields & buttons-

**‘Name of Stock Exchange’:** It is a dropdown field having the correct existing other stock exchanges.

**‘Registration Date’:** It is calendar type field. Member can select the proper registration date.

**‘Name of Trading Member/Holding Co/Subsidiary Co/Promoters/Directors/Partners’:** It is a blank text box. The maximum character length of this field is of 70 characters.

**‘Relation’:** It is a dropdown field. It will contain below options:

Select  
 Director  
 Holding Company  
 Subsidiary Company  
 Self  
 Sister Concern  
 Partner

**‘Membership No’:** It is a blank text box. The maximum character length is of 29 characters.

**‘Submit’** button will enable member to submit the entered details while **‘Reset’** button will enable member to reset the entered details to the default values.

- ii) When member will submit the new entry, a successful alert will be displayed as follows & entry will get added to the grid:

The screenshot displays the 'Membership on Other Stock Exchange' form. A modal alert box in the center states 'Submitted successfully.' with an 'Ok' button. The form includes a sidebar with navigation options: Annual Accounts, Network, Director Details, ShareHolding Details, Other Stock Exchange (selected), Listed In, Financial Details, Attach Scanned Copies, and Submit to Exchange. The main form area has a question 'Are you a member of other Stock Exchange?' with radio buttons for 'Yes' and 'No'. Below this is a table with the following data:

| Edit | Delete | Name Of Stock exchange      | Registration date | Name of Trading Member/Holding Co/Subsidiary Co/Promoters/Directors/Partners | Relation | Membership Number |
|------|--------|-----------------------------|-------------------|------------------------------------------------------------------------------|----------|-------------------|
| 1    |        | CALCUTTA STOCK EXCHANGE LTD | 01-Aug-2017       | trader1                                                                      | DIRECTOR | 1545644           |

At the bottom of the table, there is a pagination bar showing 'Page 1 of 1' and a 'View 1 - 1 of 1' indicator.

- iii) When member will keep all fields blank while adding a new entry & click on the submit button, error alert for each mandatory field will be displayed with a common error alert ‘Please fill the error fields’.

- iv) When member will be trying to add an entry with already existing stock exchange name and ‘Name of Trading Member/Holding Co/Subsidiary Co/Promoters/Directors/Partners’ combination, then below alert will be displayed:

The screenshot shows a web application interface with a sidebar on the left containing menu items: Annual Accounts (Not Entered), Network (Not Entered), Director Details (Not Entered), ShareHolding Details (Entered), Other Stock Exchange (Entered), No Change (C-10) Change (C-2), Listed In (Not Entered), Financial Details (Not Entered), Attach Scanned Copies (Not Entered), and Submit to Exchange. The main content area is titled 'Add details of other stock exchanges'. It contains a form with fields for Name Of Stock Exchange (with a dropdown menu), Registration Date, Name of Trading Member/Holding Co/Promoters/Directors/Partners, Relation (with a dropdown menu), and Membership number. A red 'Submit' button and a 'Reset' button are at the bottom of the form. A modal dialog box is displayed in the center with a red warning icon and the text 'This exchange is already available.' with an 'Ok' button. Below the form, there is a 'Notes' section with a list of 6 items explaining different types of stock exchange memberships. At the bottom of the page, there is a footer with 'NSE Copyright (c) 2016' and a pagination bar showing 'Page 1 of 1'.

v) Member can open any existing entry by clicking on the 'edit' icon as follow:

The screenshot shows the 'Membership on Other Stock Exchange' form. The sidebar on the left is the same as in the previous screenshot. The main content area has a title 'Membership on Other Stock Exchange' and a form with a question 'Are you a member of other Stock Exchange?' and a 'Submit' button. Below the form is a table with columns: Edit, Delete, Name Of Stock Exchange, Registration date, Name of Trading Member/Holding Co/Subsidiary Co/Promoters/Directors/Partners, Relation, and Membership Number. The table contains one entry with the following details: Edit icon, Delete icon, CALCUTTA STOCK EXCHANGE LTD, 04-Aug-1920, trader1, SUBSIDIARY COMPANY, and 5645646. A callout box points to the 'Edit' icon with the text 'Click on this edit icon to open & update the existing entry'. At the bottom of the page, there is a footer with 'View 1 - 1 of 1'.

When member will open the existing entry, the stock exchange name will be read only and non-editable. Other details will be editable & hence member will be able to edit the entries successfully.

vi) Member will be able to delete any existing entry by clicking on the delete icon as below:

Annual Accounts (Not Entered)  
Networth (Not Entered)  
Director Details (Not Entered)  
ShareHolding Details (Entered)  
**Other Stock Exchange (Entered)**  
No Change (C-10) Change (C-2)  
Listed In (Not Entered)  
Financial Details (Not Entered)  
Attach Scanned Copies (Not Entered)  
Submit to Exchange

### Membership on Other Stock Exchange

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

Submit

Click on this delete icon to delete the entry

| Edit | Delete | Name Of Stock Exchange      | Registration date | Name of Trading Member/Holding Co/Subsidiary Co/Promoters/Directors/Partners | Relation           | Membership Number |
|------|--------|-----------------------------|-------------------|------------------------------------------------------------------------------|--------------------|-------------------|
| 1    |        | CALCUTTA STOCK EXCHANGE LTD | 04-Aug-1920       | trader1                                                                      | SUBSIDIARY COMPANY | 5645646           |

When member will delete the entry, below confirmation alert will be displayed:

Annual Accounts (Not Entered)  
Networth (Not Entered)  
Director Details (Not Entered)  
ShareHolding Details (Entered)  
**Other Stock Exchange (Entered)**  
No Change (C-10) Change (C-2)  
Listed In (Not Entered)  
Financial Details (Not Entered)  
Attach Scanned Copies (Not Entered)  
Submit to Exchange

### Membership on Other Stock Exchange

Are you a member of other

Are you sure you want to delete stock exchange details?

OK Cancel

| Edit | Delete | Name Of Stock Exchange      | Registration date | Name of Trading Member/Holding Co/Subsidiary Co/Promoters/Directors/Partners | Relation           | Membership Number |
|------|--------|-----------------------------|-------------------|------------------------------------------------------------------------------|--------------------|-------------------|
| 1    |        | CALCUTTA STOCK EXCHANGE LTD | 04-Aug-1920       | trader1                                                                      | SUBSIDIARY COMPANY | 5645646           |

When member will click on the OK button from the above alert, 'Deleted Successfully' alert will be displayed & hence the entry from the MIS will get removed.

vii) Member will be able to filter or search any detail using the below blank search boxes:

Annual Accounts (Not Entered)  
Network (Not Entered)  
Director Details (Not Entered)  
ShareHolding Details (Entered)  
**Other Stock Exchange (Entered)**  
No Change (C-10) Change (C-2)  
Listed In (Not Entered)  
Financial Details (Not Entered)  
Attach Scanned Copies (Not Entered)  
Submit to Exchange

### Membership on Other Stock Exchange

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

Submit

Member can search/filter using these blank search text boxes

| Edit | Delete | Name Of Stock Exchange    | Registration date | Name of Trading Member/Holding Co/Subsidiary Co/Promoters/Directors/Partners | Relation        | Membership Number |
|------|--------|---------------------------|-------------------|------------------------------------------------------------------------------|-----------------|-------------------|
| 1    |        | OTC EXCHANGE OF INDIA LTD | 07-Aug-1991       | Trader2                                                                      | HOLDING COMPANY | 424234234         |

Page 1 of 1 10 View 1 - 1 of 1

viii) By clicking on the 'Export' icon, member will be able to export the existing MIS entries into an excel sheet of format .CSV as below:

Annual Accounts (Not Entered)  
Network (Not Entered)  
Partner Details (Entered)  
**Other Stock Exchange (Entered)**  
No Change (C-10) Change (C-2)  
Financial Details (Not Entered)  
Attach Scanned Copies (Not Entered)  
Submit to Exchange

### Membership on Other Stock Exchange

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

Submit

Click on this export icon to export the existing MIS details into an excel sheet

| Edit | Delete | Name Of Stock Exchange      | Registration date | Name of Trading Member/Holding Co/Subsidiary Co/Promoters/Directors/Partners | Relation           | Membership Number |
|------|--------|-----------------------------|-------------------|------------------------------------------------------------------------------|--------------------|-------------------|
| 1    |        | COCHIN STOCK EXCHANGE LTD   | 01-Aug-1990       | Trader3                                                                      | DIRECTOR           | 666666            |
| 2    |        | METROPOLITAN STOCK EXCHANGE | 01-Aug-2017       | Trader2                                                                      | SUBSIDIARY COMPANY | 32312312          |
| 3    |        | CALCUTTA STOCK EXCHANGE LTD | 01-Aug-1996       | Trader1                                                                      | SUBSIDIARY COMPANY | 432423432         |

Page 1 of 1 10 View 1 - 3 of 1

When member clicks on the export icon, below pop up will be displayed:

Annual Accounts (Not Entered) | Network (Not Entered) | Partner Details (Entered) | **Other Stock Exchange (Entered)** | Financial Details (Not Entered) | Attach Scanned Copies (Not Entered) | Submit to Exchange

**Membership on Other Stock Exchange**

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

| Edit | Delete | Name Of Stock Exchange      | Registration date | Name of Trading Member/Holding Co/Subsidiary Co/Promoters/Directors/Partners | Relation           | Membership Number |
|------|--------|-----------------------------|-------------------|------------------------------------------------------------------------------|--------------------|-------------------|
| 1    |        | COCHIN STOCK EXCHANGE LTD   | 01-Aug-1990       | Trader3                                                                      | DIRECTOR           | 666666            |
| 2    |        | METROPOLITAN STOCK EXCHANGE | 01-Aug-2017       | Trader2                                                                      | SUBSIDIARY COMPANY | 32312312          |
| 3    |        | CALCUTTA STOCK EXCHANGE LTD | 01-Aug-1996       | Trader1                                                                      | SUBSIDIARY COMPANY | 432423432         |

Do you want to open or save AnnualRetOthrStkExchgDetails.csv from 172.17.7.46? Open Save Cancel

Hence, member will be able to save & open the exported sheet.

**Note:** The export function is a common function. It does not depend on any Yes/No option selected.

**(2) When member selects 'No' radio button for 'Are you a member of other Stock Exchange' & clicks on the Submit button, below pop up alert will be displayed:**

**NSE** | Annual Returns

Member Name: ABC LTD | Member Code: 12345 | PAN of Trading Member/Clearing Member: ABCDE1234F

Financial year: Start Date: 01-Apr-2016 | End Date: 31-Mar-2017

**Membership on Other Stock Exchange**

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

Are you sure you are not member of any other stock exchange? Note: On confirmation all data related to membership on other stock exchanges, if any, will be deleted. OK Cancel

| Edit | Delete | Name Of Stock Exchange    | Registration date | Name of Trading Member/Holding Co/Subsidiary Co/Promoters/Directors/Partners | Relation | Membership Number |
|------|--------|---------------------------|-------------------|------------------------------------------------------------------------------|----------|-------------------|
| 1    |        | COCHIN STOCK EXCHANGE LTD | 01-Aug-1990       | Trader3                                                                      | DIRECTOR | 666666            |

i) When member selects 'Cancel' the MIS details will not get deleted.

ii) When member selects 'OK', below deletion alert will be displayed:

The screenshot shows the 'Membership on Other Stock Exchange' form. A confirmation alert is displayed in the center: 'Details of membership on other stock exchanges deleted.' with an 'OK' button. The form includes a sidebar with navigation options: Annual Accounts (Not Entered), Network (Not Entered), Partner Details (Entered), Other Stock Exchange (Entered), No Change (C-10) / Change (C-2), Financial Details (Not Entered), Attach Scanned Copies (Not Entered), and Submit to Exchange. The main form area has a table with columns: Edit, Delete, Name Of Stock Exchange, Registration date, Name of Trading Member/Holding Co/Subsidiary Co/Promoters/Directors/Partners, Relation, and Membership Number. One record is visible: OTC EXCHANGE OF INDIA LTD, 01-Aug-2017, trader1, HOLDING COMPANY, 3213213. At the bottom, there is a pagination bar showing 'Page 1 of 1' and '10' records.

When member clicks on OK, the entries will get deleted & hence NO option will get selected.

iii) When no records are available to delete & member clicks on No option, 'No Records available to delete' alert will be displayed.

### [E] Financial Details:

When member clicks on Financial Details module, below section will get open:

The screenshot shows the 'Annual Financial Details' form. The top section contains fields for Member Name (ABC LTD), Member Code (12345), PAN of Trading Member/Clearing Member (ABCDE1234F), Financial year Start Date (01-Apr-2016), End Date (31-Mar-2017), and As On Date (31-Mar-2017). A 'Save' button is present. The sidebar on the left includes: Annual Accounts (Entered), Network (Entered), Director Details (Entered), ShareHolding Details (Not Entered), Other Stock Exchange (Not Entered), Listed In (Not Entered), Financial Details (Not Entered), Attach Scanned Copies (Not Entered), and Submit to Exchange. The main form area has tabs for 'Current Financial Year' and 'Previous Financial Year'. Under 'Current Financial Year', there are input fields for 'Advance/margin/collaterals from customers\*' (0.00), 'Inter-corporate deposits given\*' (0.00), 'Value of Investments or advances or loans in group companies or associates or firms or entities\*' (0.00), and 'Value of maximum outstanding inter corporate debts given during the year\*' (0.00). 'Save' and 'Reset' buttons are at the bottom.

'Annual Financial Details' module will provide member the main Two Tabs:

- 1) Current Financial Year
- 2) Previous Financial Year

**These both tab will have common 4 fields. These field will accept only numeric & two decimal points. They will accept zero & negative values, if applicable.**

Member has to submit data for two years – current year and previous year.

‘Save’ button will enable member to save the details successfully. On saving, the below successful alert will be displayed.

‘Reset’ button will reset the entered values to the default values.

**Note: When member will save the details in both the current and previous tab, then only the module’s status will get changed to ‘Entered’.**

### [F] Attached Scanned Copies:

Here, member will have to upload the mandatory & required documents.

The page will have all the required modules’ name & its respective sizes. Using the ‘Browse’ button, member will be able to browse the documents & by clicking on the ‘Upload documents button, he will be able to upload them successfully.

**Attach Scanned Copies**

\*Note: Please scan and attach each document separately Member may submit document C-10 instead of submitting documents C-2 to C-8 as may be applicable

|                                                                                                                                                       |                                                                                                                   |                                |
|-------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------|--------------------------------|
| 1) Annual Accounts*                                                                                                                                   | i) Audited Balance Sheet (Max Size 5 MB)                                                                          | <input type="text"/> Browse... |
| (File name for Audited Balance Sheet: XXXXXAuditedBalanceSheet31MarYYYY where XXXXX represents member code and YYYY represents ASONDATE's YEAR)       |                                                                                                                   |                                |
| 2) Annual Accounts*                                                                                                                                   | ii) Profit & Loss Account (Max Size 5 MB)                                                                         | <input type="text"/> Browse... |
| (File name for Profit & Loss Account: XXXXXPLAccount31MarYYYY where XXXXX represents member code and YYYY represents ASONDATE's YEAR)                 |                                                                                                                   |                                |
| 3) Annual Accounts*                                                                                                                                   | iii) Schedules & Notes to Accounts (Max Size 5 MB)                                                                | <input type="text"/> Browse... |
| (File name for Schedules & Notes to Accounts: XXXXXSchedulesNotesAcc31MarYYYY where XXXXX represents member code and YYYY represents ASONDATE's YEAR) |                                                                                                                   |                                |
| 4) Annual Accounts*                                                                                                                                   | iv) Auditors Report (Max Size 5 MB)                                                                               | <input type="text"/> Browse... |
| (File name for Auditors Report: XXXXXAuditorsReport31MarYYYY where XXXXX represents member code and YYYY represents ASONDATE's YEAR)                  |                                                                                                                   |                                |
| 5) Networth (Max Size 5 MB):*                                                                                                                         | (Please attach scan copy of Net worth Certificate along with computation duly certified by Chartered Accountant.) | <input type="text"/> Browse... |
| (File name for Networth: XXXXXNetworth31MarYYYY where XXXXX represents member code and YYYY represents ASONDATE's YEAR)                               |                                                                                                                   |                                |
| 6) Details of Proprietor/ Partner/ Directors (Max Size 5 MB):*                                                                                        | (Please attach copy of C-3/C-6/C-10 duly certified by a Chartered Accountant/ Company Secretary)                  | <input type="text"/> Browse... |
| (File name for C-10: XXXXXC10ProprietorPartnerDirector31MarYYYY where XXXXX represents member code and YYYY represents ASONDATE's YEAR)               |                                                                                                                   |                                |

**Upload Documents**

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When the member uploads the document for ‘No Change’ i.e. for C10 condition, then it will not be required / mandatory to upload remaining documents where C10 is applicable.

The file format & supported sizes will be mentioned in this module.

Once the member will upload the documents, below page will be displayed:

NSE

Master

Compliance

ENIT

Electronic Filing System for Trading Members

Welcome shachi

### Annual Returns

Member Name  
ABC LTD

Member Code  
12345

PAN of Trading Member/Clearing Member  
ABCDE1234F

Financial year  
Start Date  
01-Apr-2016

End Date  
31-Mar-2017

As On Date  
31-Mar-2017

Save

Annual Accounts (Entered)

Networth (Entered)

Proprietor Details (Entered)

Other Stock Exchange (Entered)

Financial Details (Entered)

Attach Scanned Copies (Entered)

Submit to Exchange

#### Attach Scanned Copies

\*Note: Please scan and attach each document separately Member may submit document C-10 instead of submitting documents C-2 to C-8 as may be applicable

Scanned Copies Uploaded Successfully.

When the member will again click & go to the Attached scanned copies modules, the 'download' hyperlink will be displayed for each uploaded file & using 'browse' buttons, member will be able to upload/change the files again as follow:

Annual Accounts (Entered)

Networth (Entered)

Proprietor Details (Entered)

Other Stock Exchange (Entered)

Financial Details (Entered)

Attach Scanned Copies (Entered)

Submit to Exchange

#### Attach Scanned Copies

\*Note: Please scan and attach each document separately Member may submit document C-10 instead of submitting documents C-2 to C-8 as may be applicable

Using this 'download' user can download the uploaded document

1) Annual Accounts:\*

i) Audited Balance Sheet (Max Size 5 MB)

Browse...

Download

(File name for Audited Balance Sheet: XXXXXAuditedBalanceSheet31MarYYYY where XXXXX represents member code and YYYY represents ASONDATE's YEAR)

2) Annual Accounts:\*

ii) Profit & Loss Account(Max Size 5 MB)

Browse...

Download

(File name for Profit & Loss Account: XXXXXPLAccount31MarYYYY where XXXXX represents member code and YYYY represents ASONDATE's YEAR)

3) Annual Accounts:\*

iii) Schedules & Notes to Accounts (Max Size 5 MB)

Browse...

Download

(File name for Schedules & Notes to Accounts: XXXXXSchedulesNotesAcc31MarYYYY where XXXXX represents member code and YYYY represents ASONDATE's YEAR)

4) Annual Accounts:\*

iv) Auditors Report(Max Size 5 MB)

Browse...

Download

(File name for Auditors Report: XXXXXAuditorsReport31MarYYYY where XXXXX represents member code and YYYY represents ASONDATE's YEAR)

5) Networth (Max Size 5 MB):\*

(Please attach scan copy of Net worth Certificate along with computation duly certified by Chartered Accountant.)

Browse...

Download

(File name for Networth: XXXXXNetworth31MarYYYY where XXXXX represents member code and YYYY represents ASONDATE's YEAR)

6) Details of Proprietor/ Partner/ Directors (Max Size 5 MB):\*

(Please attach copy of C-3/C-6/C-10 duly certified by a Chartered Accountant/ Company Secretary)

Browse...

Download

(File name for C-10: XXXXXC10ProprietorPartnerDirector31MarYYYY where XXXXX represents member code and YYYY represents ASONDATE's YEAR)

Upload Documents

### 3.2.1 CORPORATE/BANK/LLP

#### [A] Director Details:

When member will click on the Director Details module, by default, 'No Change' option will be selected. When 'No Change' option is selected, member will be able to edit few fields from it.

(1) When member will keep 'No Change' option, below fields will be editable & non editable respectively:

#### Non Editable Fields:

- Name of the director
- Designated director

#### Remaining fields will be editable.

Also, when member will opt for 'No Change', he will be able to:

- Export the available MIS into a .csv sheet
- Read the available MIS
- Search/ filter the entries from the MIS
- He will not be able to perform any other function

(2) When member accepts the 'Change' option, he will not be able to select 'No Change' option again as follow:

The screenshot displays the NSEIL Director Details module. The interface includes a sidebar with navigation options: Annual Accounts, Network, Director Details (selected), ShareHolding Details, Other Stock Exchange, Listed In, Financial Details, and Attach Scanned Copies. The main content area shows the Director Details form with fields for Name of certifying Firm, Membership No. of the Certifying Person, and a table for Directorships/Controlling. An error message dialog box is overlaid on the form, stating: "Error: Kindly note that if you select and edit 'Change' option, you will not be able to select 'No Change (C-10)' at a later stage." The dialog box has 'Ok' and 'Cancel' buttons. The form also shows a 'Save' button and a 'Reset' button.

When member selects 'Cancel' from the above alert, then he is still at 'No Change' option.

To add any new entry, member has to enter the below details first:

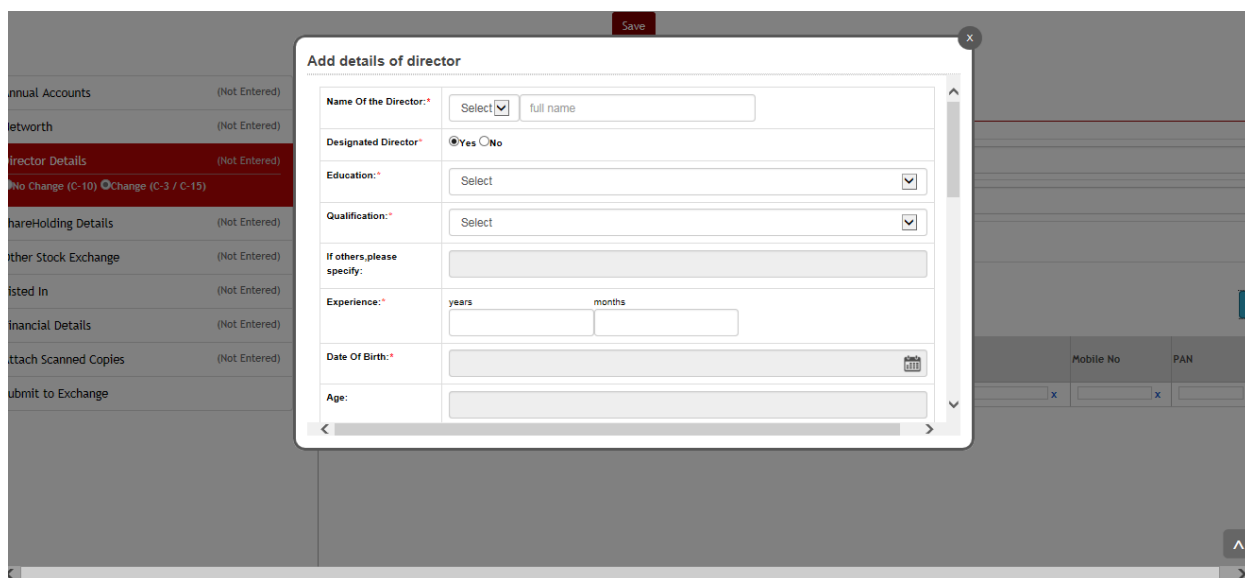
**‘Name of certifying firm’:** It will be a blank text box. The maximum character length will be of 80 characters.

**‘Membership No of the certifying person’:** It will be a blank text box. The maximum character length will be of 30 characters.

**‘Save’** button will enable member to save the details & **‘Reset’** button will enable him to reset the entered details to the default values.

The member has to submit these details first otherwise it will give an error alert on adding new entry.

- When member will click on Add button, below ‘Add Details of director’ pop up form will be displayed:



This add window will have ‘Save & Reset’ buttons at the bottom of it.

**‘Save’** button will save the details & **‘Reset’** button will reset the entered details to the default values.

Member needs to be keep in mind the below validations while filling the form:

- a) When member will select ‘Mrs.’ from the title, ‘Husband Name’ field will get enabled & it will be a mandatory field.
- b) When member will select less qualification for the higher education, then below error alert will be displayed:

The screenshot shows the 'Add details of director' form in the NSEIL Annual Returns portal. The form is partially filled out. An error alert is displayed over the Education field, stating: "A SSC Pass out cannot have a qualification as B.A." with an "Ok" button. The background shows the portal's navigation menu and a table of directors.

- c) When member will select designated director & any education category below graduation, then below error alert will be displayed:

The screenshot shows the 'Add details of director' form in the NSEIL Annual Returns portal. The form is partially filled out. An error alert is displayed over the Education field, stating: "Designated director must be at least graduate by qualification. Do you want to continue?" with "YES" and "NO" buttons. The background shows the portal's navigation menu and a table of directors.

Only when member selects Yes, then the selected education will remain on the screen & when he selects No then the value will get changed to select.

- d) The designated director must have minimum 2 years of experience, otherwise it will show an error alert as follow:

The screenshot shows the 'Director Details' form in the NSEIL system. The form is titled 'Add details of director' and contains several fields: 'Name Of the Director' (with a dropdown for 'MR.' and a text input 'trader1'), 'Designated Director' (with a radio button for 'Yes'), 'Education' (with a dropdown for 'CA'), 'Qualification' (with a dropdown for 'B'), 'Experience' (with fields for 'years' and 'months'), 'Date Of Birth' (with a date picker), and 'Age' (with a text input). An error alert is displayed over the form, stating: 'Designated director must have at least 2 years of experience pertaining to securities market. Do you want to continue?' with 'YES' and 'NO' buttons. The background shows a sidebar with navigation options like 'Annual Accounts', 'Networth', 'Director Details', 'ShareHolding Details', 'Other Stock Exchange', 'Listed In', 'Financial Details', 'Attach Scanned Copies', and 'Submit to Exchange'. The bottom of the screen shows a footer with 'NSEIL Copyright © 2016' and a page number 'Page 0 of 10'.

When member will select Yes, the entered experience will remain on the screen but when member will select No, the entered experience will get blank.

- e) The years of experience must be less than the age selected, otherwise it will show an error alert.
- f) The experience cannot be 0.
- g) When the director is designated, the minimum age must be 21 years otherwise it will show an error alert.
- h) When the director is non designated, the minimum age must be 18 years, otherwise it will show an error alert.
- i) Member has to enter either mobile no or contact no.
- j) If the PAN Card no is not available, the member can enter NA for the same.
- k) Member will be unable to add another entry having already saved PAN Card no.
- l) Member will not be able to add another entry of the designated director having same DIN no & same Name.
- m) DIN no cannot be zero.

**[A] Member can open & edit the existing entry by clicking on the edit icon as below:**

Annual Accounts (Not Entered)  
Network (Not Entered)  
**Director Details (Entered)**  
No Change (C-10) Change (C-3 / C-15)  
ShareHolding Details (Not Entered)  
Other Stock Exchange (Not Entered)  
Listed In (Not Entered)  
Financial Details (Not Entered)  
Attach Scanned Copies (Not Entered)  
Submit to Exchange

### Director Details

Name of certifying Firm
trading firm1

Membership No. of the Certifying Person
56546746546

Save Reset

Click here to open & edit the existing entry

|   | Edit | Delete | Directorships/Controlling | Name of Director | DIN of Director | Experience    | Is Designated Director | Date of Birth | Email id | Mobile No  | PAN        |
|---|------|--------|---------------------------|------------------|-----------------|---------------|------------------------|---------------|----------|------------|------------|
| 1 |      |        |                           | trader1          | 43242423        | 22Yrs 2Months | Yes                    | 10-Aug-1989   | a@a.com  | 4324234234 | QWERT1234R |

Page 1 of 1
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View 1 - 1 of

**[B] Member can delete the existing entry by clicking on the delete icon as below:**

Annual Accounts (Not Entered)  
Network (Not Entered)  
**Director Details (Entered)**  
No Change (C-10) Change (C-3 / C-15)  
ShareHolding Details (Not Entered)  
Other Stock Exchange (Not Entered)  
Listed In (Not Entered)  
Financial Details (Not Entered)  
Attach Scanned Copies (Not Entered)  
Submit to Exchange

### Director Details

Name of certifying Firm
trading firm1

Membership No. of the Certifying Person
56546746546

Save Reset

Click here to delete the entry

|   | Edit | Delete | Directorships/Controlling | Name of Director | DIN of Director | Experience    | Is Designated Director | Date of Birth | Email id | Mobile No  | PAN        |
|---|------|--------|---------------------------|------------------|-----------------|---------------|------------------------|---------------|----------|------------|------------|
| 1 |      |        |                           | trader1          | 43242423        | 22Yrs 2Months | Yes                    | 10-Aug-1989   | a@a.com  | 4324234234 | QWERT1234R |

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**[C] Member can add 'Directorship/Controlling' details to the existing entry by clicking on the group icon as below:**

The screenshot shows the 'Director Details' form. On the left is a sidebar with navigation options: Annual Accounts (Not Entered), Network (Not Entered), Director Details (Entered), No Change (C-10) / Change (C-3 / C-15), ShareHolding Details (Not Entered), Other Stock Exchange (Not Entered), Listed In (Not Entered), Financial Details (Not Entered), Attach Scanned Copies (Not Entered), and Submit to Exchange. The main form has two input fields: 'Name of certifying Firm' (trading firm1) and 'Membership No. of the Certifying Person' (56546746546). Below these are 'Save' and 'Reset' buttons. A table below the form lists existing directorships. A callout box points to the 'Directorships/Controlling' column header with the text 'Click here to add directorship/controlling details'. The table has columns: Edit, Delete, Directorships/Controlling, Name of Director, DIN of Director, Experience, Is Designated Director, Date of Birth, Email id, Mobile No, and PAN. The first row shows a director named 'trader1' with DIN 43242423, 22Yrs 2Months experience, designated as Yes, born 10-Aug-1989, email a@a.com, mobile 4324234234, and PAN QWERT1234R.

| Edit | Delete | Directorships/Controlling | Name of Director | DIN of Director | Experience    | Is Designated Director | Date of Birth | Email id | Mobile No  | PAN        |
|------|--------|---------------------------|------------------|-----------------|---------------|------------------------|---------------|----------|------------|------------|
|      |        |                           | trader1          | 43242423        | 22Yrs 2Months | Yes                    | 10-Aug-1989   | a@a.com  | 4324234234 | QWERT1234R |

When member will click here, add pop up window will get opened as displayed below:

The screenshot shows the same 'Director Details' form as above, but with a pop-up window titled 'Directorships/Controlling Shareholding in other cos' open. The pop-up has an 'Add' button. The background form is dimmed. The table below the form is the same as in the previous screenshot.

| Edit | Delete | Directorships/Controlling | Name of Director | DIN of Director | Experience    | Is Designated Director | Date of Birth | Email id | Mobile No  | PAN        |
|------|--------|---------------------------|------------------|-----------------|---------------|------------------------|---------------|----------|------------|------------|
|      |        |                           | trader1          | 43242423        | 22Yrs 2Months | Yes                    | 10-Aug-1989   | a@a.com  | 4324234234 | QWERT1234R |

Here, when member clicks on the 'Add' button, it will display below fields:

The screenshot shows the 'Director Details' section of the NSEIL portal. A modal titled 'Directorships/Controlling Shareholding in other cos' is open. The modal contains three input fields: 'Name of company:', 'Interest in company as Controlling Shareholding means Shareholder holding of 51% and above:', and 'Percentage of shareholding:'. The 'Interest' field has a dropdown menu with 'select' as the current option. A 'Save' button is at the bottom of the modal. The background shows a sidebar with various menu items and a table of user details.

Interest in company as consists of below options:

- Director
- Director & controlling shareholder
- Controlling shareholder

If 'Director' option is selected, % of shareholding field will get disabled. While for remaining two options, % must be 51 or greater than 51.

When member will click on the 'Save' button, the entered details will get saved & hence will get available in the MIS:

The screenshot shows the same 'Director Details' section, but the modal now displays a table of saved data. The table has columns for 'Edit', 'Delete', 'Name Of the Company', 'Interest in company as\*Controlling Shareholding means Shareholder holding of 51% and above.', and 'Percentage of shareholding'. The first row shows 'trading company' with 'DIRECTOR & CONTROLLING SHAREHOLDER' as the interest and '52' as the percentage. The 'Save' button is still present at the bottom of the modal.

Using the blank search boxes, member will be able to filter the entries.

Using the delete icon in the MIS, member will be able to delete the entries.

**[D] Member can export the existing MIS into an excel sheet of format .CSV by clicking on the export icon as below:**

**Director Details**

Name of certifying Firm: trading firm1

Membership No. of the Certifying Person: 56546746546

Save Reset

Click here to export the MIS into .csv format

| Edit | Delete | Directorships/Controlling | Name of Director | DIN of Director | Experience       | Is Designated Director | Date of Birth | Email id | Mobile No  | PAN        |
|------|--------|---------------------------|------------------|-----------------|------------------|------------------------|---------------|----------|------------|------------|
| 1    |        |                           | trader1          | 43242423        | 22Yrs<br>2Months | Yes                    | 10-Aug-1989   | a@a.com  | 4324234234 | QWERT1234R |

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### **[B] Shareholding Details:**

When member will click on the Shareholding Details module, by default, 'No Change' option will be selected. When 'No Change' option is selected, member will be able to edit few fields from it.

(1) When member will keep 'No Change' option, below fields will be editable & non editable respectively:

#### **Non Editable Fields:**

- Name of the shareholder
- Pan of the shareholder
- CIN
- Equity/Preference: Equity, Preference , Equity and Preference – option buttons
- Dominant Promoter
- Update Relative Support
- Equity No. Of Shares
- Equity Amount Paid in Lacs
- Equity Self %

- Preference No. Of Shares
- Paid up value per share
- Preference Amount Paid in Lacs
- Preference Self %

Also, when member will opt for 'No Change', he will be able to:

- Export the available MIS into a .csv sheet
- Read the available MIS
- Search/ filter the entries from the MIS
- He will not be able to perform any other function

### Editable Fields:

- Paid up value per share
- Flat/Door No
- Building Name
- Floor
- Street/Road Name
- Landmark
- Area/Locality/Colony
- City
- Pin code

(2) When member accepts the 'Change' option, he will not be able to select 'No Change' option again as follow:

The screenshot displays the 'Shareholding Report' interface. On the left, a sidebar contains various menu items: Annual Accounts (Not Entered), Network (Not Entered), Director Details (Entered), ShareHolding Details (Not Entered), Other Stock Exchange (Not Entered), Listed In (Not Entered), Financial Details (Not Entered), Attach Scanned Copies (Not Entered), and Submit to Exchange. The 'ShareHolding Details' section is active, showing radio buttons for 'No Change (C-10)' and 'Change (C-7 & C-8 if applicable)'. The 'Change' option is selected.

The main area shows a form for 'Shareholding Report' with fields for 'Name Of certifying firm:', 'Membership No. of the Certifying Person:', and 'Preference'. Below the form is a table with columns: Edit, Delete, Relative / Corporate Support, Relative / Corporate, CN Number, No. Of Shares, Amount Paid in Lacs, Percentage, Dominant Promoter, and Relative / support. The table contains three rows: 1. DOMINANT : (0 shares, 0 lacs, NaN%), 2. NON DOMINANT : (0 shares, 0 lacs, NaN%), and 3. TOTAL : (0 shares, 0.0000 lacs, NaN%).

An error message dialog box is displayed in the center, stating: 'Error. Kindly note that if you select and edit 'Change' option, you will not be able to select 'No Change (C-10)' at a later stage.' The dialog has 'Ok' and 'Cancel' buttons.

**‘Name of certifying firm’:** It will be a blank text box. The maximum character length will be of 80 characters.

**‘Membership No of the certifying person’:** It will be a blank text box. The maximum character length will be of 30 characters.

**‘Save’** button will enable member to save the details & **‘Reset’** button will enable him to reset the entered details to the default values.

**‘Equity & Preference’** will be the radio buttons. By selecting any of them, member will be able to view the respective MIS.

The member has to submit these details first otherwise it will give an error alert on adding new entry.

- When member will click on Add button, below ‘Add Details of shareholder’ pop up form will be displayed:

This add window will have ‘Save & Reset’ buttons at the bottom of it.

**‘Save’** button will save the details & **‘Reset’** button will reset the entered details to the default values.

Member needs to be keep in mind the below validations while filling the form:

- In the PAN card no, if its 4<sup>th</sup> letter is C, then only ‘Format of CIN’ field will get enabled, otherwise it will be disabled.

- b) Second column of CIN format will accept only numbers. The character length will be of 5 digits.
- c) Last column of CIN format will accept only numbers. The character length will be of 6 digits.
- d) PAN card will be mandatory for dominant shareholder & optional for other shareholders.
- e) In case the constitution of the Shareholder is corporate the CIN number is required to be updated.
- f) In case the shareholder holds equity shares only, the option 'Equity' has to be checked and in case the shareholder holds only preference shares, option 'Preference' has to be checked. In case the shareholder holds both, equity and preference shares, the option 'Equity & Preference' has to be checked.
- g) Member will be able to add details into Relative support only when he will select Yes for 'Update relative support' field while adding a new entry.
- h) The equity self % will be auto calculating based on the no. of shares, member will add.
- i) For first shareholder, the percentage will be shown as 100%, after that it will be changed on adding remaining shareholders.

**[A] Member can open & edit the existing entry by clicking on the edit icon as below:**

The screenshot displays the 'Shareholding Report' interface. On the left is a sidebar menu with options: Annual Accounts (Not Entered), Network (Not Entered), Director Details (Entered), ShareHolding Details (Entered), Other Stock Exchange (Not Entered), Listed In (Not Entered), Financial Details (Not Entered), Attach Scanned Copies (Not Entered), and Submit to Exchange. The 'ShareHolding Details' section is active, showing radio buttons for 'No Change (C-10)' and 'Change (C-7 & C-8 if applicable)'. The main area contains a form for 'Name Of certifying firm' (trading firm1) and 'Membership No. of the Certifying Person' (546456456), with 'Save' and 'Reset' buttons. Below this is a table with columns: Edit, Delete, Relative / Corporate Support, Name of the Shareholder / Relative / Corporate, PAN Of ShareHolder / Relative / Corporate, CIN Number, No. Of Shares, Amount Paid in Lacs, Percentage, Dominant Promoter, and Relative / support. The table has four rows: 1. DOMINANT : (1000 shares, 0.1%, 100.000%), 2. trader1 (ASDCE3333E, U12345MH1901G01123456, 1000 shares, 0.1%, 100.000%, YES, YES), 3. NON DOMINANT : (0 shares, 0%, 0.000%), and 4. TOTAL : (1000 shares, 0.1000%, 100.00%). A callout box with the text 'Click here to open & edit the existing entry' points to the edit icon in the first column of the second row. The bottom of the interface shows a pagination bar with 'Page 1 of 1' and a 'View' button.

**[B] Member can delete the existing entry by clicking on the delete icon as below:**

Annual Accounts (Not Entered)
Network (Not Entered)
Director Details (Entered)
**ShareHolding Details (Entered)**
No Change (C-10) Change (C-7 & C-8 if applicable)
Other Stock Exchange (Not Entered)
Listed In (Not Entered)
Financial Details (Not Entered)
Attach Scanned Copies (Not Entered)
Submit to Exchange

### Shareholding Report

Name Of certifying firm: trading firm1
Membership No. of the Certifying Person: 546456456

Save Reset

☒ Equity ☐ Preference

Click here to delete the entry

| Edit | Delete | Relative / Corporate Support | Name of the Shareholder / Relative / Corporate | PAN Of ShareHolder / Relative / Corporate | CIN Number            | No. Of Shares | Amount Paid in Lacs | Percentage | Dominant Promoter | Relative / support |
|------|--------|------------------------------|------------------------------------------------|-------------------------------------------|-----------------------|---------------|---------------------|------------|-------------------|--------------------|
| 1    |        |                              | DOMINANT :                                     |                                           |                       | 1000          | 0.1                 | 100.000    |                   |                    |
| 2    |        |                              | trader1                                        | ASDCE3333E                                | U12345MH1901GO1123456 | 1000          | 0.1                 | 100.000    | YES               | YES                |
| 3    |        |                              | NON DOMINANT :                                 |                                           |                       | 0             | 0                   | 0.000      |                   |                    |
| 4    |        |                              | TOTAL :                                        |                                           |                       | 1000          | 0.1000              | 100.00     |                   |                    |

**[C] Member can add 'Relative support details' to the existing entry by clicking on the group icon as below:**

Annual Accounts (Not Entered)
Network (Not Entered)
Director Details (Entered)
**ShareHolding Details (Entered)**
No Change (C-10) Change (C-7 & C-8 if applicable)
Other Stock Exchange (Not Entered)
Listed In (Not Entered)
Financial Details (Not Entered)
Attach Scanned Copies (Not Entered)
Submit to Exchange

### Shareholding Report

Name Of certifying firm: trading firm1
Membership No. of the Certifying Person: 546456456

Save Reset

☒ Equity ☐ Preference

Click here to add relative support details

| Edit | Delete | Relative / Corporate Support | Name of the Shareholder / Relative / Corporate | PAN Of ShareHolder / Relative / Corporate | CIN Number            | No. Of Shares | Amount Paid in Lacs | Percentage | Dominant Promoter | Relative / support |
|------|--------|------------------------------|------------------------------------------------|-------------------------------------------|-----------------------|---------------|---------------------|------------|-------------------|--------------------|
| 1    |        |                              | DOMINANT :                                     |                                           |                       | 1000          | 0.1                 | 100.000    |                   |                    |
| 2    |        |                              | trader1                                        | ASDCE3333E                                | U12345MH1901GO1123456 | 1000          | 0.1                 | 100.000    | YES               | YES                |
| 3    |        |                              | NON DOMINANT :                                 |                                           |                       | 0             | 0                   | 0.000      |                   |                    |
| 4    |        |                              | TOTAL :                                        |                                           |                       | 1000          | 0.1000              | 100.00     |                   |                    |

When member will click here, below add pop up window will get open:

**Shareholding Report**

Relative/Corporate Support

546456456

Equity Preference

| Edit | Deletes | Relative / Corporate Support | Name of the Shareholder / Relative / Corporate | PAN Of ShareHolder / Relative / Corporate | CIN Number            | No. Of Shares | Amount Paid in Lacs | Percentage | Dominant Promoter | Relative / support |
|------|---------|------------------------------|------------------------------------------------|-------------------------------------------|-----------------------|---------------|---------------------|------------|-------------------|--------------------|
|      |         |                              | DOMINANT :                                     |                                           |                       | 1000          | 0.1                 | 100.000    |                   |                    |
|      |         |                              | trader1                                        | ASDCE3333E                                | U12345MH1901G01123456 | 1000          | 0.1                 | 100.000    | YES               | YES                |
|      |         |                              | NON DOMINANT :                                 |                                           |                       | 0             | 0                   | 0.000      |                   |                    |
|      |         |                              | TOTAL :                                        |                                           |                       | 1000          | 0.1000              | 100.00     |                   |                    |

Page 1 of 1 50 View

Here, when member clicks on the ‘Add’ button, it will launch below fields:

**Shareholding Report**

Relative/Corporate Support

546456456

Add Relative/Corporate details

Name of the Shareholder: TRADER1

Relative/Corporate Name:

PAN Of Relative/Corporate:

Relation: Select

If Others, specify:

Equity No. Of Shares:

Equity Paidup value per share:

Amount Paid in Lacs Percentage Dominant Promoter Relative / support

0.1 100.000

0.1 100.000 YES YES

0 0.000

0.1000 100.00

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Here, the ‘**Name of the shareholder**’ field will be auto populating field & disabled. Other fields will be editable.

‘Equity Amount Paid in Lacs & Equity self %’ will be an auto populating field. They will calculate on the amount entered into ‘Equity Paid-up value per share & Equity No. Of Shares’ respectively.

When member will click on the ‘Save’ button, the entered details will get saved & hence will get available in the MIS:

Annual Accounts (Not Entered) < Shareholding Report

Network (Not Entered)

Director Details (Entered)

ShareHolding Details (Entered)

No Change (C-10) Change (C-7 & C-8 if applicable)

Other Stock Exchange (Not Entered)

Listed In (Not Entered)

Financial Details (Not Entered)

Attach Scanned Copies (Not Entered)

Submit to Exchange

Relative/Corporate Support

Add

| Edit | Delete | Name of the Relative /Corporate | No. Of Shares | Amount Paid in Lacs | Percentage |
|------|--------|---------------------------------|---------------|---------------------|------------|
|      |        |                                 |               |                     |            |
| 1    |        | member                          | 100           | 0.01                | 8.33       |

| Edit | Delete | Relative / Corporate Support | Name of the Shareholder / Relative / Corporate | PAN Of ShareHolder / Relative / Corporate | CIN Number            | No. Of Shares | Amount Paid in Lacs | Percentage | Dominant Promoter | Relative / support |
|------|--------|------------------------------|------------------------------------------------|-------------------------------------------|-----------------------|---------------|---------------------|------------|-------------------|--------------------|
| 1    |        |                              | DOMINANT :                                     |                                           |                       | 1000          | 0.1                 | 100.000    |                   |                    |
| 2    |        |                              | trader1                                        | ASDCE3333E                                | U12345MH1901GO1123456 | 1000          | 0.1                 | 100.000    | YES               | YES                |
| 3    |        |                              | NON DOMINANT :                                 |                                           |                       | 0             | 0                   | 0.000      |                   |                    |
| 4    |        |                              | TOTAL :                                        |                                           |                       | 1000          | 0.1000              | 100.00     |                   |                    |

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Using the blank search boxes, member will be able to filter the entries.

Using the delete icon in the MIS, member will be able to delete the entries.

Using the edit icon, member will be able to open & edit the entries.

**[D] Member can export the existing MIS into an excel sheet of format .CSV by clicking on the export icon as below:**

Annual Accounts (Not Entered) < Shareholding Report

Network (Not Entered)

Director Details (Entered)

ShareHolding Details (Entered)

No Change (C-10) Change (C-7 & C-8 if applicable)

Other Stock Exchange (Not Entered)

Listed In (Not Entered)

Financial Details (Not Entered)

Attach Scanned Copies (Not Entered)

Submit to Exchange

Name Of certifying firm: trading firm1 Membership No. of the Certifying Person: 546456456

Save Reset

Equity Preference

Click here to export the MIS details into an excel sheet of .csv format

| Edit | Delete | Relative / Corporate Support | Name of the Shareholder / Relative / Corporate | PAN Of ShareHolder / Relative / Corporate | CIN Number            | No. Of Shares | Amount Paid in Lacs | Percentage | Dominant Promoter | Relative / support |
|------|--------|------------------------------|------------------------------------------------|-------------------------------------------|-----------------------|---------------|---------------------|------------|-------------------|--------------------|
| 1    |        |                              | DOMINANT :                                     |                                           |                       | 1000          | 0.1                 | 100.000    |                   |                    |
| 2    |        |                              | trader1                                        | ASDCE3333E                                | U12345MH1901GO1123456 | 1000          | 0.1                 | 100.000    | YES               | YES                |
| 3    |        |                              | member                                         | NA                                        |                       | 0             | 0                   | 0.000      | --                |                    |

## [C] Listed In:

When member clicks on 'Listed In' module, by default, 'No Change' option will be selected as follow:

The screenshot shows the NSE Annual Returns interface. The 'Listed In' module is active, and the 'No Change (C-10)' option is selected. The 'Details of Listing' section shows a table with columns for Edit, Delete, Listed In, Listed Since, and Delisted On. The 'Are you Listed?' section has a 'Yes' radio button selected.

When member selects 'Change' option, below pop up alert will be displayed:

The screenshot shows the NSE Annual Returns interface with an error pop-up alert. The alert message reads: "Error. Kindly note that if you select and edit 'Change' option, you will not be able to select 'No Change (C-10)' at a later stage." The 'Change (C-2)' option is selected in the 'Listed In' module.

- When member selects 'OK' from the above alert, then 'Change' option will get selected. Once 'Change' option is selected, he will not be able to revert to the 'No Change' option.
- When member selects 'Cancel' from the above alert, then he is still at 'No Change' option.

**[A] When member selects ‘No Change’ option, he will be able to –**

- (3) Export the available MIS into a .csv sheet
- (4) Read the available MIS
- (5) Search/ filter the entries from the MIS
- (6) He will not be able to perform any other function

**[B] When member will select ‘Change’, he will be able to –**

- Change the option for ‘Are you listed?’
- Click on the Submit button
- Add new entries by clicking on Add button
- Export the available MIS into a .csv sheet
- Read the available MIS
- Search/ filter the entries from the MIS
- Edit the existing entries from the MIS
- Delete the existing entries from the MIS

**(1) When member will select ‘Yes’ radio button for ‘Are you Listed?’ & click on the Submit button, member will be able to add new entries, update, delete / search for the existing entries etc.**

i) When member clicks on the ‘Add’ button, below pop up window will get open-

The screenshot displays the NSEIL member portal interface. On the left, a sidebar contains various menu items: 'Annual Accounts (Not Entered)', 'Networth (Not Entered)', 'Director Details (Not Entered)', 'ShareHolding Details (Entered)', 'Other Stock Exchange (Entered)', 'Listed In (Not Entered)', 'Financial Details (Not Entered)', 'Attach Scanned Copies (Not Entered)', and 'Submit to Exchange'. The 'Listed In' section is currently selected, showing two radio button options: 'No Change (C-10)' and 'Change (C-2)'. A pop-up window titled 'Add details of Listed In' is open in the center. This window contains three input fields: 'Name Of Stock Exchange' with a dropdown menu, 'Listed Since' with a date picker, and 'Delisted On' with a date picker. At the bottom of the pop-up are 'Submit' and 'Reset' buttons. The background is dimmed, and a footer at the bottom left reads 'NSE Copyright (c) 2016'.

**‘Add details of Listed In’ pop up window will contain below fields & buttons-**

**‘Name of Stock Exchange’:** It is a dropdown field having the names of existing other stock exchanges.

**‘Listed Since’:** It is a calendar type field.

**‘Delisted On’:** It is a calendar type field.

**Note:** Please note down that Listed Since date must not be equal or greater than Delisted Date.

**‘Submit’** button will enable member to submit the entered details while **‘Reset’** button will enable member to reset the entered details to the default values.

- ii) When member will submit the new entry, a successful alert will be displayed as follow & entry will get added to the MIS:

The screenshot displays the 'Details of Listing' form. On the left is a sidebar with navigation options: Annual Accounts (Not Entered), Network (Not Entered), Director Details (Not Entered), ShareHolding Details (Entered), Other Stock Exchange (Entered), Listed In (Not Entered), Financial Details (Not Entered), Attach Scanned Copies (Not Entered), and Submit to Exchange. The 'Listed In' section is highlighted in red and contains radio buttons for 'No Change (C-10)' and 'Change (C-2)'. The main form area has a title 'Details of Listing' and a question 'Are you Listed?' with radio buttons for 'Yes' and 'No'. A modal alert box is centered on the screen, displaying a red triangle icon and the text 'Submitted successfully.' with an 'Ok' button. Below the alert is a table with columns: Edit, Delete, Listed In, Listed Since, and Delisted On. The table contains one entry with 'AHMEDABAD STOCK EXCHANGE' in the 'Listed In' column, '01-Aug-1989' in the 'Listed Since' column, and '16-Aug-2017' in the 'Delisted On' column. At the bottom, there is a pagination bar showing 'Page 1 of 1' and a 'View' button.

- iii) When member will keep all fields blank while adding a new entry & click on the submit button, error alert for each mandatory field will be displayed with a common error alert ‘Please fill all the mandatory fields properly’.
- iv) When member will be trying to add an entry with already existing stock exchange name, then below alert will be displayed:

The screenshot shows the 'Add details of Listed In' form. A modal dialog box is displayed in the center with a red warning icon and the text: "This exchange is already available." Below the text is an 'Ok' button. The background form is partially visible, showing fields for 'Name Of Stock Exchange', 'Listed Since', and 'Delisted On'. Below the form is a table with three rows of stock exchange data.

|   |                                                  | Listed Since | Delisted On |
|---|--------------------------------------------------|--------------|-------------|
| 1 | BANGALORE STOCK EXCHANGE LTD                     | 03-Jan-2017  | 01-Aug-2017 |
| 2 | THE UTTAR PRADESH STOCK EXCHANGE ASSOCIATION LTD | 01-Aug-2017  | 16-Aug-2017 |
| 3 | AHMEDABAD STOCK EXCHANGE                         | 01-Aug-1989  | 16-Aug-2017 |

v) Member can open any existing entry by clicking on the 'edit' icon as follow:

The screenshot shows the 'Details of Listing' form. A callout box points to the 'Edit' icon in the table, with the text: "Click on this edit icon to open & update the existing entry". The form includes a 'Are you Listed?' section with 'Yes' and 'No' radio buttons and a 'Submit' button. Below this is a table with three rows of stock exchange data.

| Edit | Delete | Listed In                                        | Listed Since | Delisted On |
|------|--------|--------------------------------------------------|--------------|-------------|
| 1    |        | BANGALORE STOCK EXCHANGE LTD                     | 03-Jan-2017  | 01-Aug-2017 |
| 2    |        | THE UTTAR PRADESH STOCK EXCHANGE ASSOCIATION LTD | 01-Aug-2017  | 16-Aug-2017 |
| 3    |        | AHMEDABAD STOCK EXCHANGE                         | 01-Aug-1989  | 16-Aug-2017 |

When member will open the existing entry, the stock exchange name will be read only and non-editable. Other details will be editable & hence member will be able to edit the entries successfully.

vi) Member will be able to delete any existing entry by clicking on the delete icon as below:

Annual Accounts (Not Entered)  
Network (Not Entered)  
Director Details (Not Entered)  
ShareHolding Details (Entered)  
Other Stock Exchange (Entered)  
**Listed In (Entered)**  
☒ No Change (C-10) ☐ Change (C-2)  
Financial Details (Not Entered)  
Attach Scanned Copies (Not Entered)  
Submit to Exchange

### Details of Listing

Are you Listed? ☒ Yes ☐ No Submit

User is able to delete the entry by clicking on this delete icon

| Edit | Delete | Listed In                                        | Listed Since                   | Delisted On                    |
|------|--------|--------------------------------------------------|--------------------------------|--------------------------------|
|      |        | <input type="text" value="x"/>                   | <input type="text" value="x"/> | <input type="text" value="x"/> |
| 1    |        | BANGALORE STOCK EXCHANGE LTD                     | 03-Jan-2017                    | 01-Aug-2017                    |
| 2    |        | THE UTTAR PRADESH STOCK EXCHANGE ASSOCIATION LTD | 01-Aug-2017                    | 16-Aug-2017                    |
| 3    |        | AHMEDABAD STOCK EXCHANGE                         | 01-Aug-1989                    | 16-Aug-2017                    |

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When member will delete the entry, below confirmation alert will be displayed:

Annual Accounts (Not Entered)  
Network (Not Entered)  
Director Details (Not Entered)  
ShareHolding Details (Entered)  
Other Stock Exchange (Entered)  
**Listed In (Entered)**  
☒ No Change (C-10) ☐ Change (C-2)  
Financial Details (Not Entered)  
Attach Scanned Copies (Not Entered)  
Submit to Exchange

### Details of Listing

Are you Listed? ☒ Yes ☐ No

Are you sure you want to delete listed in details?

OK Cancel

| Edit | Delete | Listed In                                        | Listed Since                   | Delisted On                    |
|------|--------|--------------------------------------------------|--------------------------------|--------------------------------|
|      |        | <input type="text" value="x"/>                   | <input type="text" value="x"/> | <input type="text" value="x"/> |
| 1    |        | BANGALORE STOCK EXCHANGE LTD                     | 03-Jan-2017                    | 01-Aug-2017                    |
| 2    |        | THE UTTAR PRADESH STOCK EXCHANGE ASSOCIATION LTD | 01-Aug-2017                    | 16-Aug-2017                    |
| 3    |        | AHMEDABAD STOCK EXCHANGE                         | 01-Aug-1989                    | 16-Aug-2017                    |

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When member will click on the OK button from the above alert, 'Deleted Successfully' alert will be displayed & hence the entry from the MIS will get removed.

- vii) Member will be able to filter or search any detail using the below blank search boxes:

Annual Accounts (Not Entered)  
Network (Not Entered)  
Director Details (Not Entered)  
ShareHolding Details (Entered)  
Other Stock Exchange (Entered)  
**Listed In (Entered)**  
No Change (C-10) Change (C-2)  
Financial Details (Not Entered)  
Attach Scanned Copies (Not Entered)  
Submit to Exchange

### Details of Listing

Are you Listed? ☒ Yes ☐ No

User is able to search or filter using these blank search boxes

| Edit | Delete | Listed In                | Listed Since | Delisted On |
|------|--------|--------------------------|--------------|-------------|
| 1    |        | ahm                      |              |             |
|      |        | AHMEDABAD STOCK EXCHANGE | 01-Aug-1989  | 16-Aug-2017 |

Page 1 of 1 10

viii) By clicking on the 'Export' icon, member will be able to export the existing MIS entries into an excel sheet of format .CSV as below:

Annual Accounts (Not Entered)  
Network (Not Entered)  
Director Details (Not Entered)  
ShareHolding Details (Entered)  
Other Stock Exchange (Entered)  
**Listed In (Entered)**  
No Change (C-10) Change (C-2)  
Financial Details (Not Entered)  
Attach Scanned Copies (Not Entered)  
Submit to Exchange

### Details of Listing

Are you Listed? ☒ Yes ☐ No

By clicking on this export icon, user is able to get the MIS exported into an excel sheet

| Edit | Delete | Listed In                                        | Listed Since | Delisted On |
|------|--------|--------------------------------------------------|--------------|-------------|
| 1    |        |                                                  |              |             |
|      |        | THE UTTAR PRADESH STOCK EXCHANGE ASSOCIATION LTD | 01-Aug-2017  | 16-Aug-2017 |
| 2    |        | AHMEDABAD STOCK EXCHANGE                         | 01-Aug-1989  | 16-Aug-2017 |

When member clicks on the export icon, below pop up will be displayed:

Annual Accounts (Not Entered)  
Network (Not Entered)  
Director Details (Not Entered)  
ShareHolding Details (Entered)  
Other Stock Exchange (Entered)  
**Listed In (Entered)**  
No Change (C-10) Change (C-2)  
Financial Details (Not Entered)  
Attach Scanned Copies (Not Entered)  
Submit to Exchange

### Details of Listing

Are you Listed? ☒ Yes ☐ No

| Edit | Delete | Listed In                                        | Listed Since | Delisted On |
|------|--------|--------------------------------------------------|--------------|-------------|
| 1    |        |                                                  |              |             |
|      |        | THE UTTAR PRADESH STOCK EXCHANGE ASSOCIATION LTD | 01-Aug-2017  | 16-Aug-2017 |
| 2    |        | AHMEDABAD STOCK EXCHANGE                         | 01-Aug-1989  | 16-Aug-2017 |

Do you want to open or save AnnualRetListedInDetails.csv from 172.17.7.46?

Hence, member will be able to save & open the exported sheet.

**Note:** The export function is a common function. It does not depend on any Yes/No option selected.

**(2) When member selects 'No' radio button for 'Are you Listed?' & clicks on the Submit button, below pop up alert will be displayed:**

The screenshot shows the NSE Annual Returns portal. A modal alert is displayed in the center with the text: "Are you sure you are not listed? Note: All data related to listing, if any, will be deleted." with "OK" and "Cancel" buttons. The background form includes fields for Member Name (ABC LTD), Member Code (12345), PAN of Trading Member/Clearing Member (ABCDE1234F), Financial year (01-Apr-2016 to 31-Mar-2017), and a "Details of Listing" section with a "Submit" button.

- i) When member selects 'Cancel' the MIS details will not get deleted
- ii) When member selects 'OK', below deletion alert will be displayed:

The screenshot shows the NSE Annual Returns portal with the "Details of Listing" section. A modal alert is displayed in the center with the text: "Deleted all record successfully." with an "OK" button. The background form includes fields for Member Name, Member Code, PAN, Financial year, and a table of listings. The table has columns: Edit, Delete, Listed In, Listed Since, and Delisted On. The table contains two rows: 1. THE UTTAR PRADESH STOCK EXCHANGE ASSOCIATION LTD (01-Aug-2017 to 16-Aug-2017) and 2. AHMEDABAD STOCK EXCHANGE (01-Aug-1989 to 16-Aug-2017).

When member clicks on OK, the entries will get deleted & hence NO option will get selected.

- iii) When no records are available to delete & member clicks on No option, 'No Records available to delete' alert will be displayed.

### 3.2.2 FIRM

**[A] Partner Details:**

When member will click on the Partner detail's module, it will show 'No Change & Change' options.

(1) When member will keep 'No Change' option, below fields will be editable & non editable respectively:

**Non Editable Fields:**

- Name of the partner
- Partner type Dominant Partner Non Dominant Partner Relative Support
- Name of the dominant partner
- Relation
- If Others, specify
- Designated Partner
- Profit Percentage
- Loss Percentage

**Editable Fields:**

- Education
- Qualification
- If Others, please specify
- Experience
- Date of Birth
- Flat/Door No
- Building Name
- Floor
- Street/Road Name
- Landmark
- Area/Locality/Colony
- City
- Pin Code
- Contact no
- Fax no
- Mobile no
- Email id
- PAN of Partner
- Father Name
- Husband Name

Also, when member will opt for 'No Change', he will be able to:

- Export the available MIS into a .csv sheet
- Read the available MIS
- Search/ filter the entries from the MIS
- He will not be able to perform any other function

(2) When member accepts the 'Change' option, he will not be able to select 'No Change' option again as follow:

The screenshot shows the NSEIL Annual Returns portal. The top navigation bar includes 'Master' and 'Compliance' tabs. The main header displays 'Annual Returns'. Below this, there are input fields for 'Member Name' (ABC LTD), 'Member Code' (12345), 'PAN of Trading Member/Clearing Member' (ABCDE1234F), 'Financial year' (Start Date: 01-Apr-2016, End Date: 31-Mar-2017), and 'Partner Details'. The 'Partner Details' section is highlighted in red and contains a 'No Change (C-10)' option. An error message box is overlaid on the 'Partner Details' section, stating: 'Error: Kindly note that if you select and edit 'Change' option, you will not be able to select 'No Change (C-10)' at a later stage.' The error message has 'Ok' and 'Cancel' buttons. Below the error message, there are 'Save' and 'Reset' buttons. At the bottom, there is a table with columns: Edit, Delete, Directorships/Controlling, Partner Name, Partner Type, Is Designated Partner, Profit %, Loss %, Exp Year, Age, Mobile No, and Email Id. The table is currently empty, and the footer indicates 'Page 1 of 0' and 'No records to display'.

When member selects 'Cancel' from the above alert, then he is still at 'No Change' option.

To add any new entry, member has to enter the below details first:

- **'Name of certifying firm':** It will be a blank text field. It's maximum character length will be of 80 characters.
- **'Membership No. of the Certifying Person':** It will be a blank text field. It's maximum character length will be of 30 characters.
- **'Save':** This button will enable member to save the details.
- **'Reset':** This button will enable member to reset the entered details to the blank default values.

- The member has to submit these details first otherwise it will give an error alert on adding new entry as follow:

The screenshot shows the NSEIL Annual Returns portal. A modal error message is displayed in the center: "Error Please Save Partner Details first!!!". The background form is for "Partner Details" and includes fields for "Name of certifying Firm\*", "Membership No. of the Certifying Person\*", "Save", and "Reset" buttons. Below these is a table with columns: Edit, Delete, Directorships/Controlling, Partner Name, Partner Type, Is Designated Partner, Profit %, Loss %, Exp Year, Age, Mobile No, and Email Id. The table currently shows "No records to display".

- When member will click on Add button, below 'Add Details of Partner' pop up form will be displayed:

The screenshot shows the NSEIL Annual Returns portal with the "Add Details of Partner" pop-up form open. The form includes the following fields:

- Name of the Partner\* (Dropdown)
- Designated Partner\* (Radio buttons: Yes, No)
- Profit Percentage\* (Text input)
- Education\* (Dropdown)
- Qualification\* (Dropdown)
- If Others, please specify (Text input)
- Experience\* (Year and Month inputs)
- Date of Birth\* (Date picker)
- Age\* (Text input)
- Flat / Door No\* (Text input)
- Floor (Text input)
- Address/Road Name\* (Text input)
- Landmark (Text input)

At the bottom of the form are "Save" and "Reset" buttons. The background form is partially visible, showing the same "Partner Details" section as the previous screenshot.

This add window will have 'Save & Reset' buttons at the bottom of it.

'Save' button will save the details & 'Reset' button will reset the entered details to the default values.

Member needs to be keep in mind the below validations while filling the form:

- When member will select 'Mrs.' from the title, 'Husband Name' field will get available & it will be a mandatory field.
- When member selects 'partner Type' as 'Relative Support', 'Name of the dominant partner & Relation' fields will get available & it will be a mandatory field. If member selects 'Others' from the 'Relation' dropdown field, 'If other relation, please specify' will become a mandatory field.
- 'Profit & loss percentage' field will accept maximum 100%. Otherwise they will show an error alert that it cannot be greater than 100.

Member can also enter the % having a decimal also.

- When member will select the partner as Designated Partner & select the education below graduation, then error alert will be displayed:

If member will select Yes, then the selected education will remain selected as below graduation but when member will select No, then Education field will show the default value as 'Select'.

- The designated partner must have minimum 2 years of experience, otherwise it will show an error alert as follow:

The screenshot shows the 'Add Details of Partner' form in the NSEIL system. A validation error message is displayed in the center: 'Designated director must have at least 2 years of experience pertaining to securities market. Do you want to continue?' with 'YES' and 'NO' buttons. The form fields include:

- Name of the Partner: MR. [dropdown] Trader
- Designated Partner: ☒ Yes ☐ No
- Loss Percentage: 40
- Qualification: B.E.
- Experience: Year 1
- Age: 28
- Building Name: Building Name
- Street/Road Name: Road
- Partner Type: ☒ Dominant Partner ☐ Non Dominant Partner ☐ Relative Support
- Profit Percentage: 30
- Education: CFA
- Date of Birth: 02-08-1989
- Flat no: Flat no 1
- Floor: Floor
- Landmark: Landmark

Below the form, there is a table showing the partner details:

| Edit | Delete | Directorships/Controlling | Partner Name * | Partner Type     | Is Designated Partner | Profit % | Loss % | Exp Year | Age | Mobile No | Email Id |
|------|--------|---------------------------|----------------|------------------|-----------------------|----------|--------|----------|-----|-----------|----------|
| 1    |        |                           | Trader         | Dominant Partner | Yes                   | 30       | 40     | 05       | 18  |           | a@a.com  |

When member will select Yes, the entered experience will remain on the screen but when member will select No, the entered experience will get blank.

- f) The years of experience must be less than the age selected, otherwise it will show an error alert.
- g) The experience cannot be 0.
- h) When the partner is designated, the minimum age must be 21 years otherwise it will show an error alert.

**Note:** The above validation is not applicable when the Partner is not a designated partner.

When the partner is non-designated, the minimum age must be 18 years, otherwise it will show an error alert.

- i) Member has to enter either mobile no or contact no.
- j) If the PAN Card no is not available, the member can enter NA for the same.
- k) Member will be unable to add another entry having already saved PAN Card no.

## [A] Member can open & edit the existing entry by clicking on the edit icon as below:

Member Name  Member Code  PAN of Trading Member/Clearing Member

Financial year  
Start Date  End Date  As On Date

Annual Accounts (Not Entered) x  
Network (Not Entered)  
**Partner Details (Entered)**  
☐ No Change (C-10) ☒ Change (C-3 / C-6)  
Other Stock Exchange (Not Entered)  
Financial Details (Not Entered)  
Attach Scanned Copies (Not Entered)  
Submit to Exchange

### Partner Details

Name of certifying Firm\*  Membership No. of the Certifying Person\*

Click on this edit icon to open & update the existing details

|   | Edit | Delete | Directorships/Controlling | Partner Name | Partner Type         | Is Designated Partner | Profit % | Loss % | Exp Year | Age | Mobile No  | Email Id |
|---|------|--------|---------------------------|--------------|----------------------|-----------------------|----------|--------|----------|-----|------------|----------|
| 1 |      |        |                           | shachi       | Relative Support     | Yes                   | 58.3     | 22.22  | 11       | 28  | 3213123123 | d@ds.com |
| 2 |      |        |                           | Trader       | Non Dominant Partner | Yes                   | 30       | 40     | 22       | 28  | 9773512030 | a@a.com  |

Page 1 of 10 View 1 - 2 of 2

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## [B] Member can delete the existing entry by clicking on the delete icon as below:

Annual Accounts (Not Entered) x  
Network (Not Entered)  
**Partner Details (Entered)**  
☐ No Change (C-10) ☒ Change (C-3 / C-6)  
Other Stock Exchange (Not Entered)  
Financial Details (Not Entered)  
Attach Scanned Copies (Not Entered)  
Submit to Exchange

### Partner Details

Name of certifying Firm\*  Membership No. of the Certifying Person\*

User can delete the entry by clicking on this delete icon

|   | Edit | Delete | Directorships/Controlling | Partner Name | Partner Type     | Is Designated Partner | Profit % | Loss % | Exp Year | Age | Mobile No  | Email Id |
|---|------|--------|---------------------------|--------------|------------------|-----------------------|----------|--------|----------|-----|------------|----------|
| 1 |      |        |                           | shachi       | Dominant Partner | Yes                   | 58.3     | 22.22  | 11       | 28  | 3213123123 | d@ds.com |
| 2 |      |        |                           | Trader       | Relative Support | Yes                   | 30       | 40     | 22       | 28  | 9773512030 | a@a.com  |

Page 1 of 10 View 1 - 2 of 2

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**[C] Member can add ‘Partnership/Controlling’ details to the existing entry by clicking on the group icon as below:**

**Partner Details**

Name of certifying Firm\* Trading Firm1 Membership No. of the Certifying Person\* 86746787

Save Reset

Click here to add directorship/controlling details to the existing entry

| Edit | Delete | Directorships/Controlling | Partner Name | Partner Type     | Is Designated Partner | Profit % | Loss % | Exp Year | Age | Mobile No  | Email Id |
|------|--------|---------------------------|--------------|------------------|-----------------------|----------|--------|----------|-----|------------|----------|
|      |        |                           | shachi       | Dominant Partner | Yes                   | 58.3     | 22.22  | 11       | 28  | 3213123123 | d@ds.com |
|      |        |                           | Trader       | Relative Support | Yes                   | 30       | 40     | 22       | 28  | 9773512030 | a@a.com  |

Page 1 of 1 10 View 1 - 2 of 2

When member will click here, below add pop up window will get open:

**Directorships/Controlling Shareholding in other cos**

Add

| Delete | Company name | Interest in company | Percentage of shareholding |
|--------|--------------|---------------------|----------------------------|
|        |              |                     |                            |

Here, when member clicks on the ‘Add’ button, it will launch below fields:

Financial year

Start Date \*

01-Apr-2016

Annual Accounts

(Not Entered)

Network

(Not Entered)

Partner Details

(Entered)

No Change (C-10) Change (C-3 / C-6)

Other Stock Exchange

(Not Entered)

Financial Details

(Not Entered)

Attach Scanned Copies

(Not Entered)

Submit to Exchange

Directorships/Controlling Shareholding in other cos

Add

| Delete                   | Company name         | Interest in company  | Percentage of shareholding |
|--------------------------|----------------------|----------------------|----------------------------|
| <input type="checkbox"/> | <input type="text"/> | <input type="text"/> | <input type="text"/>       |

Name of the Company \*

Interest in company as \*

Percentage of shareholding \*

Select

Save

1

shachi

Dominant Partner

Yes

58.3

22.22

11

28

3213123123

d@ds.com

2

Trader

Relative Support

Yes

30

40

22

28

9773512030

a@a.com

Page 1 of 1

View 1 - 2 of 2

Interest in company as consists of below options:

- Partner
- Partner & controlling shareholder
- Controlling shareholder

For 'partner' option selected, % of shareholding field will get disabled. While for remaining two options, the % must be 51 & greater than it.

When member will click on the 'Save' button, the entered details will get saved & hence will get available in the MIS:

Financial year

Start Date \*

01-Apr-2016

Annual Accounts

(Not Entered)

Networth

(Not Entered)

Partner Details

(Entered)

No Change (C-10)

Change (C-3 / C-6)

Other Stock Exchange

(Not Entered)

Financial Details

(Not Entered)

Attach Scanned Copies

(Not Entered)

Submit to Exchange

Directorships/Controlling Shareholding in other cos

Add

| Delete | Company name                  | Interest in company               | Percentage of shareholding    |
|--------|-------------------------------|-----------------------------------|-------------------------------|
|        | <input type="text" value=""/> | <input type="text" value=""/>     | <input type="text" value=""/> |
| 1      | company1                      | PARTNER & CONTROLLING SHAREHOLDER | 51                            |

Edit

Delete

Directorships/Controlling

Partner Name \*

Partner Type

Is Designated Partner

Profit %

Loss %

Exp Year

Age

Mobile No

Email Id

|   |  |  |                               |                               |                               |                               |                               |                               |                               |                               |                               |          |
|---|--|--|-------------------------------|-------------------------------|-------------------------------|-------------------------------|-------------------------------|-------------------------------|-------------------------------|-------------------------------|-------------------------------|----------|
|   |  |  | <input type="text" value=""/> | <input type="text" value=""/> | <input type="text" value=""/> | <input type="text" value=""/> | <input type="text" value=""/> | <input type="text" value=""/> | <input type="text" value=""/> | <input type="text" value=""/> | <input type="text" value=""/> |          |
| 1 |  |  |                               | shachi                        | Dominant Partner              | Yes                           | 58.3                          | 22.22                         | 11                            | 28                            | 3213123123                    | d@ds.com |
| 2 |  |  |                               | Trader                        | Relative Support              | Yes                           | 30                            | 40                            | 22                            | 28                            | 9773512030                    | a@a.com  |

Page 1 of 1

10

View 1 - 2 of 2

Using the blank search boxes, member will be able to filter the entries.  
Using the delete icon in the MIS, member will be able to delete the entries.

**[D] Member can export the existing MIS into an excel sheet of format .CSV by clicking on the export icon as below:**

The screenshot shows the 'Partner Details' form. On the left is a sidebar with navigation options: Annual Accounts (Not Entered), Network (Not Entered), Partner Details (Entered), No Change (C-10) / Change (C-3 / C-6), Other Stock Exchange (Not Entered), Financial Details (Not Entered), Attach Scanned Copies (Not Entered), and Submit to Exchange. The main form area has fields for 'Name of certifying Firm\*' (Trading Firm1) and 'Membership No. of the Certifying Person\*' (86746787). Below these are 'Save' and 'Reset' buttons. A callout box points to an export icon with the text 'Click here to export the sheet into .csv format'. Below the form is a table of partner details.

|   | Edit | Delete | Directorships/Controlling | Partner Name | Partner Type     | Is Designated Partner | Profit % | Loss % | Exp Year | Age | Mobile No     | Email Id |
|---|------|--------|---------------------------|--------------|------------------|-----------------------|----------|--------|----------|-----|---------------|----------|
| 1 |      |        |                           | shachi       | Dominant Partner | Yes                   | 58.3     | 22.22  |          | 11  | 28 3213123123 | d@ds.com |
| 2 |      |        |                           | Trader       | Relative Support | Yes                   | 30       | 40     |          | 22  | 28 9773512030 | a@a.com  |

At the bottom of the table, there is a pagination bar showing 'Page 1 of 1' and a 'View 1 - 2 of 2' link.

### 3.2.3 INDIVIDUAL

#### **[A] Proprietor Details:**

When member will click on the Proprietor detail's module, it will show 'No Change & Change' options.

- (3) When member will keep 'No Change' option, 'Name of the Proprietor' will be read only & non editable and remaining details will be editable.
- (4) When member accepts the 'Change' option, he will not be able to select 'No Change' option again as follow:

The screenshot shows the 'Proprietor Details' form. The sidebar on the left has 'Proprietor Details' selected. The main form area has fields for 'Member Name' (ABC LTD), 'Member Code' (12345), 'PAN of Trading Member/Clearing Member' (ABCDE1234F), 'Financial year' (Start Date: 01-Jan-2016, End Date: 31-Dec-2016), and 'Name of certifying Firm'. Below these are fields for 'Name Of the proprietor\*', 'Education\*', 'Qualification\*', and 'If others, please specify\*'. An error message box is overlaid on the form, stating: 'Error: Kindly note that if you select and edit 'Change' option, you will not be able to select 'No Change (C-10)' at a later stage.' with 'OK' and 'Cancel' buttons.

When member will opt for 'Change' option, 'Submit & Reset' buttons will get visible to him.

- i) When member will not fill the form & directly click on 'Directorship/controlling shareholding in other cos', below error alert will be displayed:

The screenshot shows the 'Proprietor Details' form. On the left sidebar, the 'Proprietor Details' section is highlighted in red, with options for 'No Change (C-10)' and 'Change (C-3 / C-6)'. The main form area is titled 'Proprietor Details' and contains various input fields. A modal error alert is displayed in the center, stating: 'Please enter proprietor details first.' with an 'OK' button.

- ii) When member will keep all mandatory fields blank & tries to save, error alert will be displayed to fill all the mandatory fields.
- iii) When member will enter all correct details & save the form, a successful alert will be displayed

Member needs to be keep in mind the below validations while filling the form:

- a) The education must be selected as per the qualification. The qualification must be greater than the education, otherwise below error alert will be displayed (e.g.):

The screenshot shows the 'Proprietor Details' form. A modal error alert is displayed in the center, stating: 'A SSC Pass out cannot have a qualification as M.A.' with an 'OK' button. The form fields for 'Education' and 'Qualification' are visible, with 'Education' set to 'M.A.' and 'Qualification' set to 'SSC'.

- b) Experience must not be greater than the Age
- c) The experience cannot be 0.
- d) For proprietor, the education must be 10+2. If he will select it less than that, then below error alert will be displayed:

The screenshot shows the 'Proprietor Details' form in the NSEIL system. A red error alert box is displayed in the center, stating: 'Proprietor must be at least 10+2 by qualification. Do you want to continue?' with 'YES' and 'NO' buttons. The form fields include: 'Name of certifying Firm' (trader1), 'Membership No. of the Certifying Person' (5656565), 'Name Of the proprietor:' (MRS. trading), 'Education:' (LS), 'Qualification:' (Select), 'If others, please specify:', 'Experience:' (years: months:), and 'Date Of Birth:'. The left sidebar shows navigation options: 'Annual Accounts', 'Network', 'Proprietor Details' (selected), 'Other Stock Exchange', 'Financial Details', 'Attach Scanned Copies', and 'Submit to Exchange'.

When member will click on Yes, the selected education will remain selected & when member will click on NO, then it will show the default value as select.

- e) The month of the experience must not be greater than 11
- f) Either contact no or mobile no must be entered
- g) For PAN Card no, member could enter NA also
- h) In 'Directorship/controlling shareholding in other cos', for Director, % field will be disabled & if applicable then member must enter the % 51 & more than it.

### Directorship/controlling shareholding in other companies:

When member submits the proprietor details, then only he will be able to submit the details for 'Directorship/controlling shareholding in other companies'.

When member will click on 'Directorship/controlling shareholding in other companies', below pop up window will get open:

The screenshot shows the 'Proprietor Details' form with a sidebar on the left containing links like 'Annual Accounts', 'Network', 'Proprietor Details', 'Other Stock Exchange', 'Financial Details', 'Attach Scanned Copies', and 'Submit to Exchange'. The 'Proprietor Details' link is highlighted. The main form area is titled 'Proprietor Details' and contains a table with columns: 'Edit', 'Delete', 'Name Of the Company', 'Interest in company as\*Controlling Shareholding means Shareholder holding of 51% and above.', and 'Percentage of shareholdin'. An 'Add' button is visible in the top right corner of the table. Below the table, there are input fields for 'Date Of Birth:', 'Age:', 'Flat/Door No.:', 'Building Name:', 'Floor:', and 'Street/Board Name:'. The 'Add' button is highlighted in blue.

Here, when member clicks on the 'Add' button, it will launch below fields:

The screenshot shows the 'Other cos' modal form. It has a table with columns: 'Edit', 'Delete', 'Name Of the Company', 'Interest in company as\*Controlling Shareholding means Shareholder holding of 51% and above.', and 'Percentage of shareholdin'. Below the table, there are input fields for 'Name of company:', 'Interest in company as:', and 'Percentage of shareholding:'. The 'Interest in company as:' field has a dropdown menu with 'Select' and a checkmark. There are 'Save' and 'Reset' buttons at the bottom. The 'Add' button is highlighted in blue.

Interest in company as consists of below options:

- Director
- Director & controlling shareholder
- Controlling shareholder

For 'Director' option selected, % of shareholding field will get disabled. While for remaining two options, the % must be 51 & greater than it.

When member will click on the ‘Save’ button, the entered details will get saved & hence will get available in the MIS:

The screenshot shows the 'Proprietor Details' form in the NSEIL system. A modal window titled 'Other cos' is open, displaying a table of other companies. The table has columns for 'Edit', 'Delete', 'Name Of the Company', 'Interest in company as\*Controlling Shareholding means Shareholder holding of 51% and above.', and 'Percentage of sharehold'. One entry is visible: 'company1' with an interest of 'DIRECTOR & CONTROLLING SHAREHOLDER' and a percentage of '51'. The background form shows various fields like 'Date Of Birth', 'Age', 'Flat/Door No.', 'Building Name', 'Floor', and 'Street/Road Name'.

| Edit | Delete | Name Of the Company | Interest in company as*Controlling Shareholding means Shareholder holding of 51% and above. | Percentage of sharehold |
|------|--------|---------------------|---------------------------------------------------------------------------------------------|-------------------------|
| 1    |        | company1            | DIRECTOR & CONTROLLING SHAREHOLDER                                                          | 51                      |

Using the blank search boxes, member will be able to filter the entries.

Using the delete icon in the MIS, member will be able to delete the entries.

### 3.3 SUBMIT TO EXCHANGE

‘Submit to exchange’ will be the final step towards the submission of annual returns to the NSE.

If member has missed out to fill any details or any data is mismatching, then the particular information will be available in this module. Hence member will not be able to perform the final submission.

A table with module name & its respective status will be displayed here if entered or not. By clicking on the respective module’s link, member will get redirected to the particular module to fill the details/make the changes as follow:

Master
Compliance
Welcome shachi

### Annual Returns

Member Name: ABC LTD
Member Code: 12345
PAN of Trading Member/Clearing Member: ABCDE1234F

Financial year:
Start Date: 01-Apr-2016
End Date: 31-Mar-2017
As On Date: 31-Mar-2017

Save

Annual Accounts (SUBMITTED)
Networth (SUBMITTED)
Partner Details (SUBMITTED)
Other Stock Exchange (SUBMITTED)
Financial Details (SUBMITTED)
Attach Scanned Copies (SUBMITTED)
Submit to Exchange

#### Annual Returns - Submission To Exchange

| View Details          | Status    |
|-----------------------|-----------|
| Annual Accounts       | SUBMITTED |
| Networth              | SUBMITTED |
| Partner Details       | SUBMITTED |
| Other Stock Exchange  | SUBMITTED |
| Financial Details     | SUBMITTED |
| Attach Scanned Copies | SUBMITTED |

Note: Please check the annual submission details before submitting. Once the data is submitted member cannot add/modify/delete the details. So

Also below this, the summary of the details which is not matching/filled will be available as below:

#### You Cannot Submit All Details To Exchange Due To Following Reason:

- Annual Submission details cannot be submitted since there is no entry for Networth Details.
- Annual Submission details cannot be submitted since there is no entry for Membership in Other Stock Exchange Details.
- Annual Submission details cannot be submitted since there is no entry for Uploaded Scanned Copies.
- Annual Submission details cannot be submitted since there is no entry for Financial Details.

Note: Please check the annual submission details before submitting. Once the data is submitted member cannot add/modify/delete the details. So please confirm before submitting the details to the exchange.

To,  
National Stock Exchange of India Ltd.

This is with reference to your circular Ref No: 75/2012, Download Ref No: NSE/COMP/21435 dated August 08, 2012 regarding submission of Annual Return as a part of the continuing membership norms.

I/We confirm that the following scanned copy of the documents are attached herewith.

|                 |                                                          |
|-----------------|----------------------------------------------------------|
| Annual Accounts | Balance Sheet, Profit & Loss Account & Auditors Report   |
| *C-1            | Networth Certificate along with the relevant computation |
| *C-2            | Details of Membership on other Stock Exchanges           |
| *C-3            | Details of Proprietor                                    |
| Or              |                                                          |
| C-10            | Undertaking stating no changes in Documents C-2 to C-3   |

I/We undertake that the details provided to the Exchange is true and correct.

The original copy of the above mentioned documents is available with us, which would be made available to the Exchange as and when required.

Yours faithfully,  
For MURARILAL SARAF



Once the member will fulfill all the requirements, then all module's status will be displayed as 'Entered':

|                       |           |
|-----------------------|-----------|
| Annual Accounts       | (Entered) |
| Networth              | (Entered) |
| Proprietor Details    | (Entered) |
| Other Stock Exchange  | (Entered) |
| Financial Details     | (Entered) |
| Attach Scanned Copies | (Entered) |
| Submit to Exchange    |           |

### Annual Submit To Exchange

| View Details          | Status  |
|-----------------------|---------|
| Annual Accounts       | Entered |
| Networth              | Entered |
| Proprietor Details    | Entered |
| Other Stock Exchange  | Entered |
| Financial Details     | Entered |
| Attach Scanned Copies | Entered |

**Note:** Please check the annual submission details before submitting. Once the data is submitted member cannot add/modify/delete the details. So please confirm before submitting the details to the exchange.

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For MURARILAL SARAF

☐ I Agree.

Name of the person whose signature is Affixed\*

Designation of the person whose signature is Affixed\*

Mobile / Phone Number\*

Email ID for further Communication\*

NSE Copyright (c) 2016

Once the member will select the box 'I Agree', certify button will get enabled:

please confirm before submitting the details to the exchange.

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For MURARILAL SARAF

☒ I Agree.

Name of the person whose signature is Affixed\*  Designation of the person whose signature is Affixed\*

Mobile / Phone Number\*  Email ID for further Communication\*

NSE Copyright (c) 2016

If the member will keep these fields blank & click on the certify button, then the error alert will be displayed & hence he will be unable to proceed further.

Once, member will enter all the correct details & click on the Certify button, below pop up window will get open to select the certificate:

please confirm before submitting the details to the exchange.

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Signing Wizard

Select Digital Certificate  
You can choose a digital certificate from those available on your computer to sign your file.

| Issued To                | Issued By             | Expiration Date           |
|--------------------------|-----------------------|---------------------------|
| nseil_sgovekar@vencor... | Communications Server | Monday, December 04, 2017 |

Click View to see the contents of your digital certificate

Name of the person whose signature is  Designation of the person whose signature is

Mobile / Phone Number\*  Email ID for further Communication\*

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On selecting the correct certificate, when member will click on sign button, below alert will be displayed:

please confirm before submitting the details to the exchange.

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Message from webpage

 Form Signing Completed !! Kindly Submit The Form

OK

Name of the person whose signature is Affixed\*  Designation of the person whose signature is Affixed\*

Mobile / Phone Number\*  Email ID for further Communication\*

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After clicking on OK button, Submit button will get enabled & by clicking on it, member will be able to submit the annual returns details to the exchange successfully.

Once the member has done this final submission, the status of the modules' will get changed to 'Submitted' & hence he will not be able to edit & resubmit the data again.

If any shortfall will be present, then shortfall window will get open while performing the final submission. Then member will need to submit the shortfall reason & supporting documents, if any (document is not mandatory).