



USER MANUAL

Annual Returns

Objective:

This document is a step-by-step guide on how to do the annual returns submission by eligible members, the assigned statutory auditor and net worth auditor. Auditor's tagging to Annual Returns journey is done under user access management module separately.

Intended Users: Members registered with exchange

Document Owner: NSE

Note: This publication is a corporate document prepared as part of the NSE transformation program initiated by NSE in 2020.

Table of Content

(Please Click on the headers below to reach the required section)

1	Navigate to Annual Returns	3
2	Annual Return Submission	4
2.1	Statutory Auditor	4
2.2	Auditor's Declaration	8
2.3	Net Worth Certificate	11
2.4	OSE details	12
2.5	Listed in Details	13
2.6	Financial Details	14
2.7	Shareholder Details (only Corporates)	15
2.8	Director Detail (as per the constitution)	16
2.9	Partner Detail (as per the constitution)	17
2.10	Proprietor Detail (as per the constitution)	18
2.11	Application Review & E-sign	19
3	Statutory Auditor Confirmation	26
3.1	Landing Screen	26
3.2	Detailed view of an application	27
3.3	If deficiencies found, inform the member (offline) to re-upload	28
4	Net-worth Auditor Confirmation	29
4.1	Landing Screen	29
4.2	Detailed view of Application	30
4.3	E-sign & send certificate to member	32
4.4	Shortfall or high variation in Net Worth	37
4	Complete Pending Confirmation	38
4.5	Landing Screen	38
4.6	Navigate to status tracker dashboard	38

4.7 Actions on 'Confirmation Pending' tab

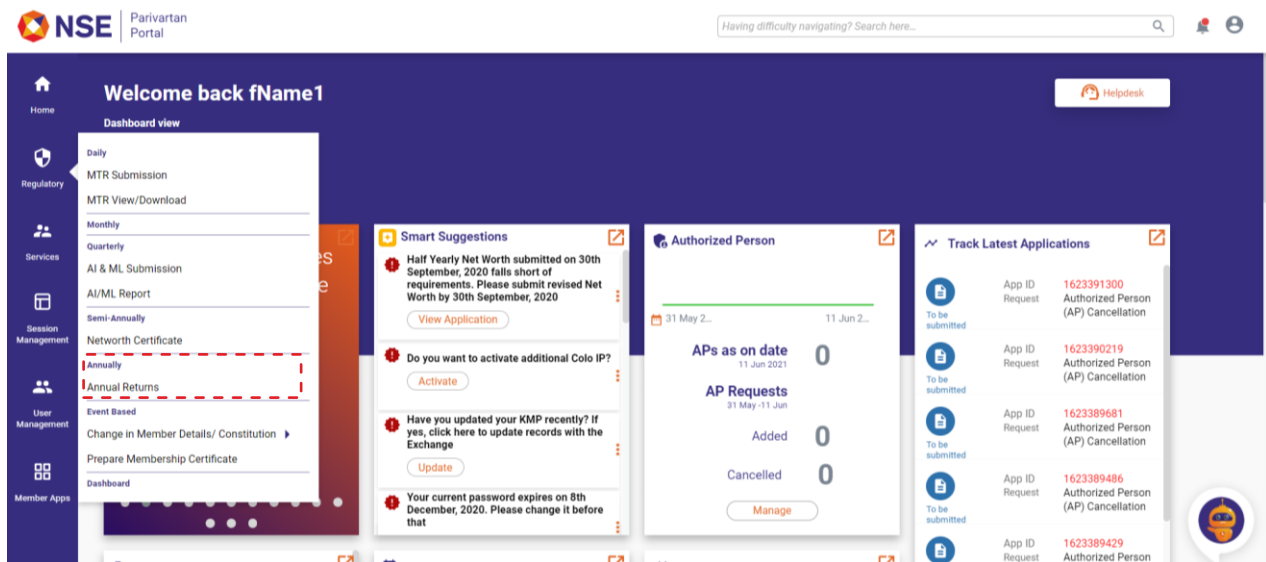
39

5 Frequently Asked Questions

40

1 Navigate to Annual Returns

Navigate through the left menu (Regulatory -> Annually -> Annual Returns)

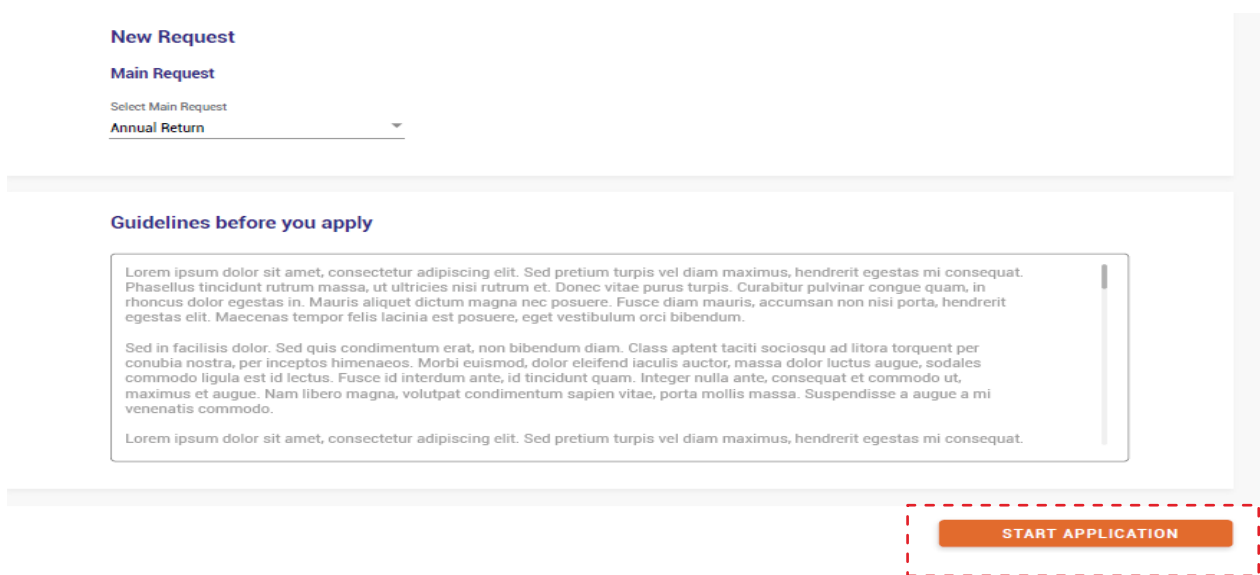


2 Annual Return Submission

2.1 Statutory Auditor

2.1.1 Landing Page

Clicking on the navigation menu, leads to this screen



The screenshot shows a web interface for submitting annual returns. On the left, there is a navigation menu with the following items: **New Request**, **Main Request**, and a dropdown menu labeled "Select Main Request" with "Annual Return" selected. The main content area is titled "Guidelines before you apply" and contains three paragraphs of placeholder text (Lorem ipsum). At the bottom right, there is a red dashed box containing an orange button labeled "START APPLICATION".

2.1.2 Add details

← Back to Main Dashboard

Request Selection
Statutory Auditor
Annual Accounts Upload
Auditor Declaration
Net Worth Certificate
OSE Details
Listed In Details
Financial Details
Director Details
Shareholder Details
Review

Statutory Auditor Details

Name of the Statutory Auditor Firm

Is the Statutory Auditor a Partnership firm or LLP?

☒ Yes ☐ No

Registration Number of the Statutory Auditor Firm

Name of the Statutory Auditor

Membership number of the Statutory Auditor

Mobile Number of the Statutory Auditor

E-mail Address of the Statutory Auditor

Annual Accounts Format

Format in which Annual Accounts XBRL to be Submitted

Select Annual Accounts Format

☐ I/We confirm that the tenure of the statutory auditor is in compliance with the SEBI guidelines

Note:

- Select format for Annual Accounts (**IGAAP, IndAs, Bank**)
- Checkbox needs to be selected for the Declaration provided

Auditor details are pre-filled based on user created in Access management screen
 User details tagged to AR bundle in access management screen will be pre-filled here.
 User then needs to click on Save & Proceed button

Statutory Auditor Details

Name of the Statutory Auditor
Ram Jain & Associates

Is the Statutory Auditor a Partnership firm or LLP?
☐ Yes ☒ No

Membership number of the Statutory Auditor
12345678

Mobile Number of Statutory Auditor
9999999999

E-mail address of the Statutory Auditor
abc@gmail.com

Annual Accounts Format

Format in which Annual Accounts to be Submitted
Ind AS

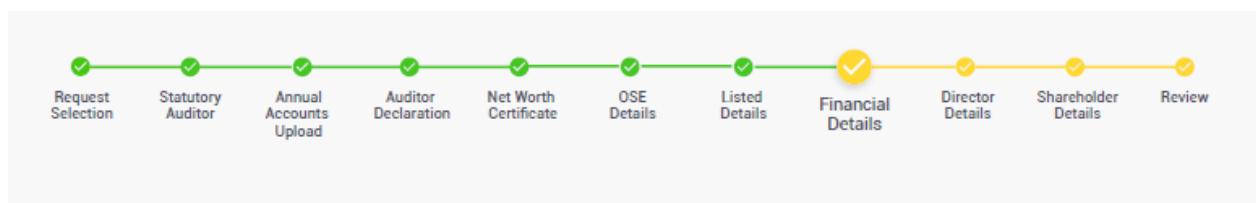
☒ I/We confirm that the tenure of the statutory auditor is in compliance with the SEBI guidelines

SAVE & PROCEED

Note:

Post adding statutory auditor, member can start submission process under each tab

- All tabs are initially yellow and will turn green based on user confirmation defined in each tab



- Post final review, e-sign can be initiated to complete submission
- Based on member constitution, Partner or Proprietor Details tab will be shown (here corporate)

2.1.3 Upload Documents

After clicking Save & Proceed, user lands on Annual Accounts Upload tab screen

[Back to Main Dashboard](#)

Request Selection

Statutory Auditor

Annual Accounts Upload

Auditor Declaration

Net Worth Certificate

OSE Details

Listed In Details

Financial Details

Director Details

Shareholder Details

Review

Annual Accounts Upload

[Download](#)

Upload of Financials in XBRL format for Financial Year 2020-21

Download Utility File

IGAAP.xlsm 

Upload Guidelines

Before uploading the files, please ensure the following

A Naming Convention for Annual Accounts for Financial Year 2020-21
AR_<Member code>_<Financials>_FY2020-21

D Document

1. Acceptable format : XBRL
2. Max file size limit : 5 MB

Upload XBRL 

Annual Accounts for Financial Year 2020-21

Annual Accounts to include Balance Sheet, Profit & Loss, Schedules & Notes to Accounts, Directors Report and Generated PDF Report from Utilities.

Upload Guidelines

Before uploading the files, please ensure the following

A Naming Convention for Annual Accounts for Financial Year 2020-21
AR_<Member code>_<Annual Accounts>_FY2020-21

D Document

1. Acceptable format : PDF
2. Max file size limit : 25 MB

Annual Accounts 

Auditor's Report for Financial Year 2020-21

Upload Guidelines

Before uploading the files, please ensure the following

A Naming Convention for Annual Accounts for Financial Year 2020-21
AR_<Member code>_<Auditors report>_FY2020-21

D Document

1. Acceptable format : PDF
2. Max file size limit : 5 MB

Auditor's Report 

Confirmations

☐ The Financials pertain to the financial year 2020-21

☐ The same are in the format as prescribed by the Companies Act 2013/ RBI guidelines

☐ The Annual Accounts have been stamped and signed by the Statutory auditor

☐ The XBRL document fairly represents in all respects the audited financial statements for the financial year 2020-21

Note:

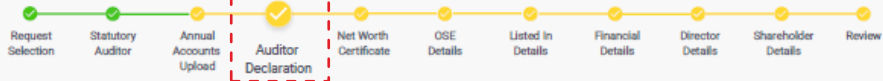
- Download utility to generate XBRL format
- Upload the below documents as per the guidelines on the screen
 - Financials in XBRL format
 - Annual Accounts in PDF format (Annual Accounts to include Balance Sheet, Profit & Loss, Schedules & Notes to Accounts, Directors Report and Generated PDF Report from Utilities.)
 - Auditors report in PDF format
- Select all checkboxes
- You can navigate to other tabs (Auditor's declaration, Net worth certificate etc.) without upload or confirmation. However, submission of Annual Return will be completed only when all the uploads have been made and all the tabs in the application turn green.

2.2 Auditor's Declaration

2.2.1 Landing Page

Clicking on Auditor Declaration tab user lands on the below page

← Back to Dashboard



Auditor declaration

Download

Send Annual Accounts to Auditor for Confirmation

You will be able to send Annual accounts for Auditor Confirmation only after the Applicable Requirements for Annual Accounts Upload have been completed.



Annual Accounts Upload, Pending



Send To Auditor, Pending



Auditor Confirmation, Pending

SAVE AND PROCEED

Note:

- Annual Accounts to be sent to Statutory Auditor for confirmation
- Accounts cannot be sent until uploaded
- Option to Download application in pdf format is available in all the tabs

2.2.2 Send account to statutory auditor

← Back to Dashboard



Auditor declaration

Download

Send Annual Accounts to Auditor for Confirmation

You will be able to send Annual accounts for Auditor Confirmation only after the Applicable Requirements for Annual Accounts Upload have been completed.



Annual Accounts Uploaded, Completed

22/02/2020
10:50 AM

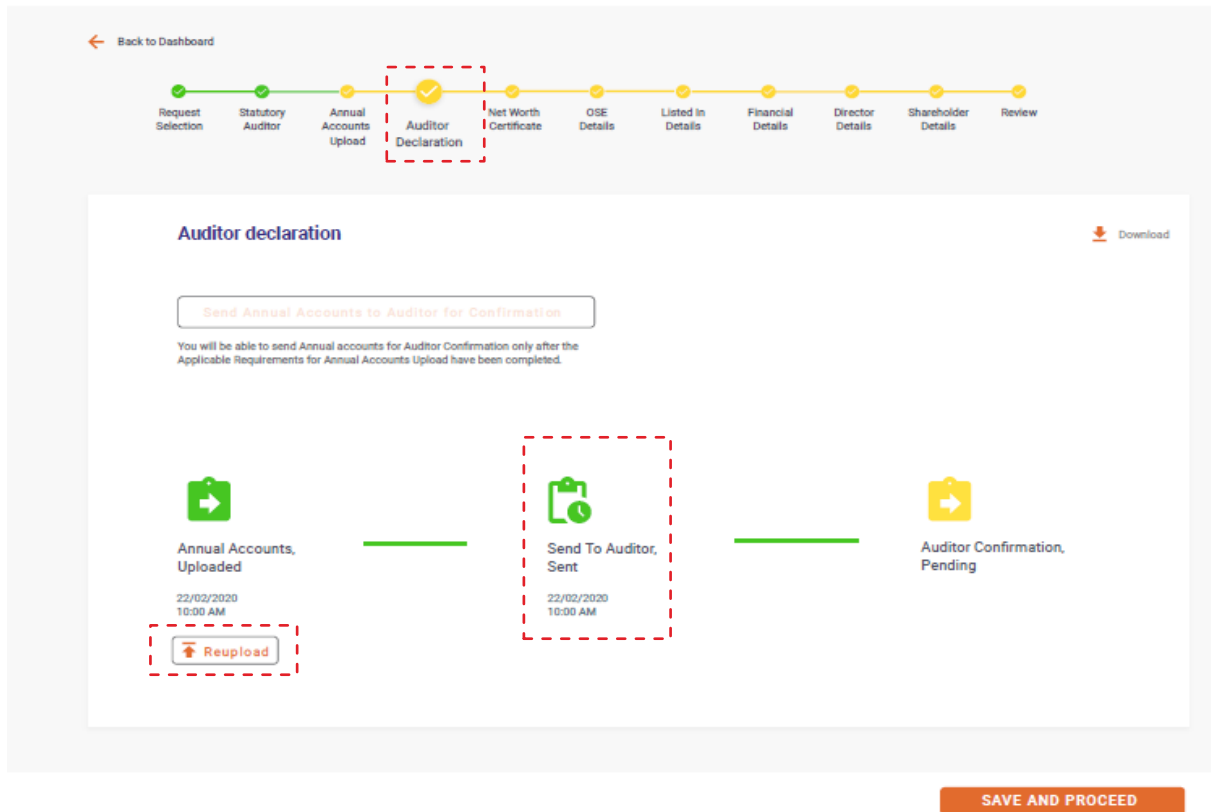


Send To Auditor, Pending



Auditor Confirmation, Pending

Clicking on Send Annual Accounts to Statutory Auditor, the status gets updated



The screenshot displays the 'Auditor declaration' step in the submission process. At the top, a progress bar shows the sequence of steps: Request Selection, Statutory Auditor, Annual Accounts Upload, Auditor Declaration (highlighted with a red dashed box and a checkmark), Net Worth Certificate, OSE Details, Listed in Details, Financial Details, Director Details, Shareholder Details, and Review. Below the progress bar, the 'Auditor declaration' section contains a button labeled 'Send Annual Accounts to Auditor for Confirmation'. A message states: 'You will be able to send Annual accounts for Auditor Confirmation only after the Applicable Requirements for Annual Accounts Upload have been completed.' Below this, a timeline shows three stages: 'Annual Accounts, Uploaded' (dated 22/02/2020 10:00 AM) with a 'Reupload' button (highlighted with a red dashed box), 'Send To Auditor, Sent' (dated 22/02/2020 10:00 AM) (highlighted with a red dashed box), and 'Auditor Confirmation, Pending'. A 'Download' link is visible in the top right corner of the section. At the bottom right, there is a 'SAVE AND PROCEED' button.

Note:

- The user can reupload the document

2.3 Net Worth Certificate

Clicking on Net Worth Certificate tab, user lands on the below page

Note:

- User details tagged under the AR N/w bundle in the user access management screen will be pre-filled and can certify the network

[← Back to Dashboard](#)



Net Worth submission

Please contact the [Helpdesk](#) for further assistance

CA Details

Name of CA Firm	Name of Certifying CA	Membership No. of certifying CA
XYZ & Associates	Manan Gala	112233

Submission Details

Member Name	Member Code	Minimum Net Worth required (INR)
ABC Securities	123456	1,00,00,000

Type of submission	Submission cycle	Net Worth As On	Application ID of new submission
New	31/03/2020	31/03/2020	12345678

Certification

CA is yet to certify Net Worth

 In Progress

SAVE AND PROCEED

2.4 OSE details

Clicking on OSE Details tab, user lands on the below page

Note:

- Select Yes if member of any other stock exchange

[← Back to Dashboard](#)

Request Selection

Statutory Auditor

Annual Accounts Upload

Auditor Declaration

Net Worth Certificate

OSE Details

Listed In Details

Financial Details

Director Details

Shareholder Details

Review

Other Stock Exchange Membership Details

Download

Are you a member of any other stock exchange as at 31st March 2021?

☒ Yes
☐ No

Please Note-

The above option has been selected basis the information previously shared with the exchange. Please select the applicable option which appropriately reflects the status as at **31st March 2021**.

The "Yes" option will also have to be selected even in a case where the director, partner, holding company, subsidiary company and any sister concern is a member of any other stock exchange **as at 31st March 2021**.

Membership Details

Details below are as per the information available with the exchange. In case there has been any change please incorporate the same in the below table.

+

 Add

✎

 Edit

Name of Stock Exchange	Registration Date	Name of Member	Relation	Membership Number	Delete
NIX	15/10/2020	NA	Self	123456	
BSE	05/10/2020	XYZ Pvt. Ltd	Holding Company	789234	

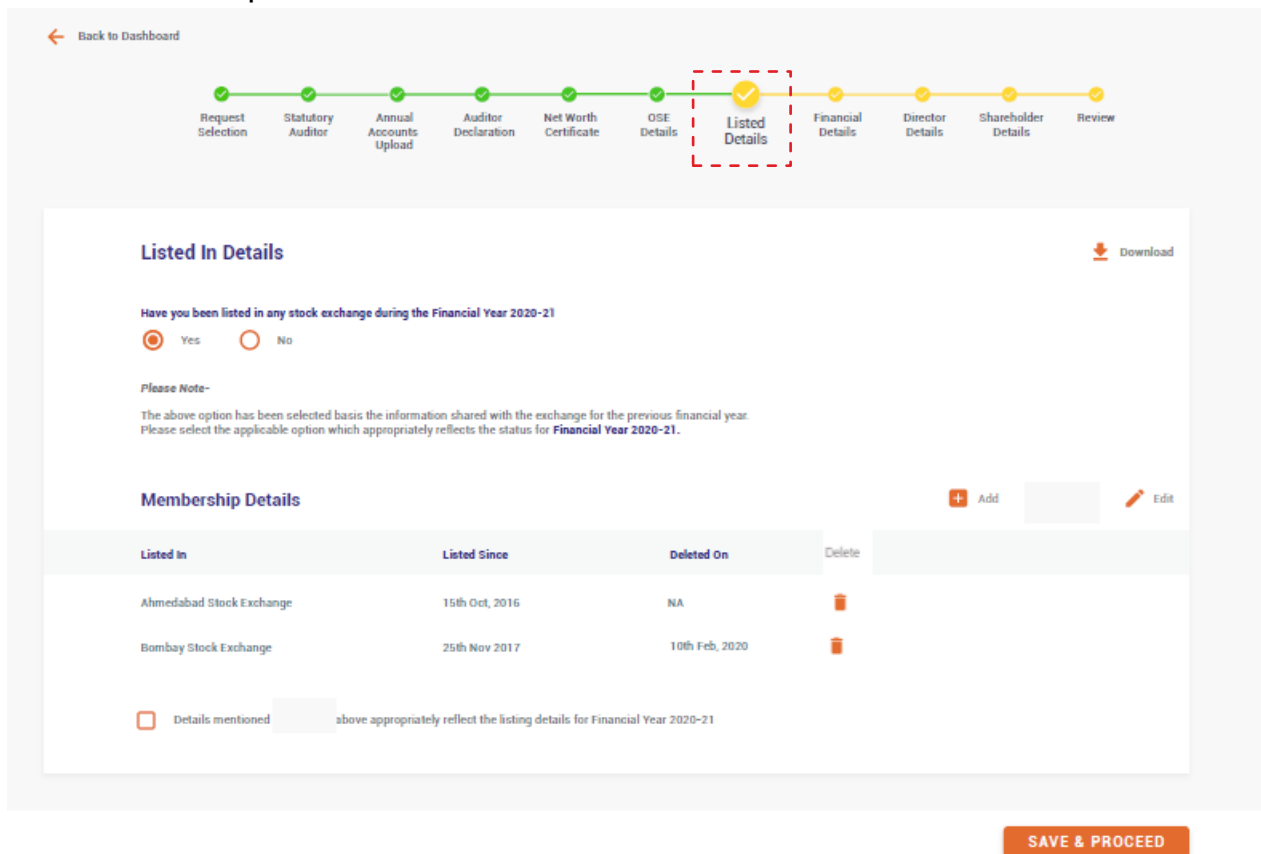
☐ Details mentioned above appropriately reflect the listing details as at **31st March 2021**.

SAVE & PROCEED

- Membership Details pre-filled based on previous submission if 'Yes' is selected above
- Select the checkbox to proceed

2.5 Listed in Details

Clicking on 'Listed in Details' tab, user lands on the below page. Add details and select the checkbox to proceed



← Back to Dashboard

Request Selection Statutory Auditor Annual Accounts Upload Auditor Declaration Net Worth Certificate OSE Details **Listed Details** Financial Details Director Details Shareholder Details Review

Listed In Details

Download

Have you been listed in any stock exchange during the Financial Year 2020-21

☒ Yes ☐ No

Please Note-
The above option has been selected basis the information shared with the exchange for the previous financial year. Please select the applicable option which appropriately reflects the status for **Financial Year 2020-21**.

Membership Details

+ Add Edit

Listed In	Listed Since	Deleted On	Delete
Ahmedabad Stock Exchange	15th Oct, 2016	NA	
Bombay Stock Exchange	25th Nov 2017	10th Feb, 2020	

☐ Details mentioned above appropriately reflect the listing details for Financial Year 2020-21

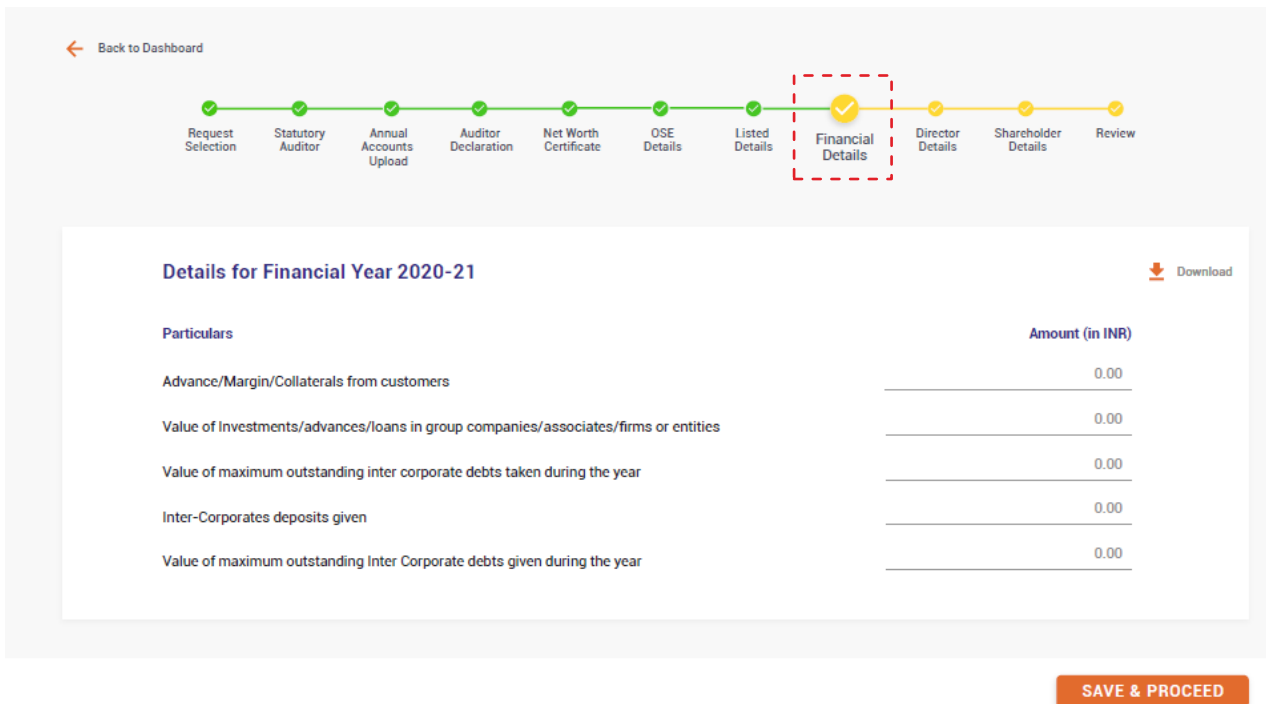
SAVE & PROCEED

Note:

- Select Yes if member is listed in stock exchange
- Membership Details pre-filled based on previous submission if 'Yes' is selected above

2.6 Financial Details

Clicking on Financial Details tab, user lands on the below page



← Back to Dashboard

Progress bar: Request Selection, Statutory Auditor, Annual Accounts Upload, Auditor Declaration, Net Worth Certificate, OSE Details, Listed Details, **Financial Details**, Director Details, Shareholder Details, Review

Details for Financial Year 2020-21 Download

Particulars	Amount (in INR)
Advance/Margin/Collaterals from customers	0.00
Value of Investments/advances/loans in group companies/associates/firms or entities	0.00
Value of maximum outstanding inter corporate debts taken during the year	0.00
Inter-Corporates deposits given	0.00
Value of maximum outstanding Inter Corporate debts given during the year	0.00

SAVE & PROCEED

Note:

- Membership Details pre-filled if annual accounts are uploaded

2.7 Shareholder Details (only Corporates)

Clicking on Shareholder Details tab, user lands on the below page

← Back to Dashboard



Shareholder Details

Please confirm if the shareholder details mentioned below are accurate as at 31st March, 2020

☐ Yes ☐ No

Please Note:-

In case the same is incorrect you need to get the details updated with the exchange post which the revised details will be reflected here. You can also select No and submit the Annual Return application. While the same will be considered as submitted however approval will be granted only after you have updated the relevant details with the exchange and confirmed the same on the status tracking dashboard for the Annual Return application.

Dominant Equity Shareholder Group				Non Dominant Equity Shareholder Group			Overall		
Name of Dominant Shareholder	Persons Supporting Dominant Shareholder	Relation to Shareholder	PAN	CIN	No. of Equity Shares Held	% of Overall Equity Shares		% Overall Equity Shares	
						Self	Relative		
ABC Subtotal						250	20%	5%	25%
ABC Ltd		Self	ABCDE1234F	NA	200	20%		20%	
	XYZ Ltd	Wife	BCDEG1234F	NA	50		5%	5%	
PQR Subtotal						500	40%	10%	50%
PQR Ltd		Self	BCDEG1234F	NA	400	40%		40%	
	KDM Gang (HUF) Kanta - Mr. Raj Gang Co-Partners	HUF	BCDEG1234F	NA	100		10%	10%	
Total (ABC Ltd + PQR Ltd)						750	60%	15%	75%

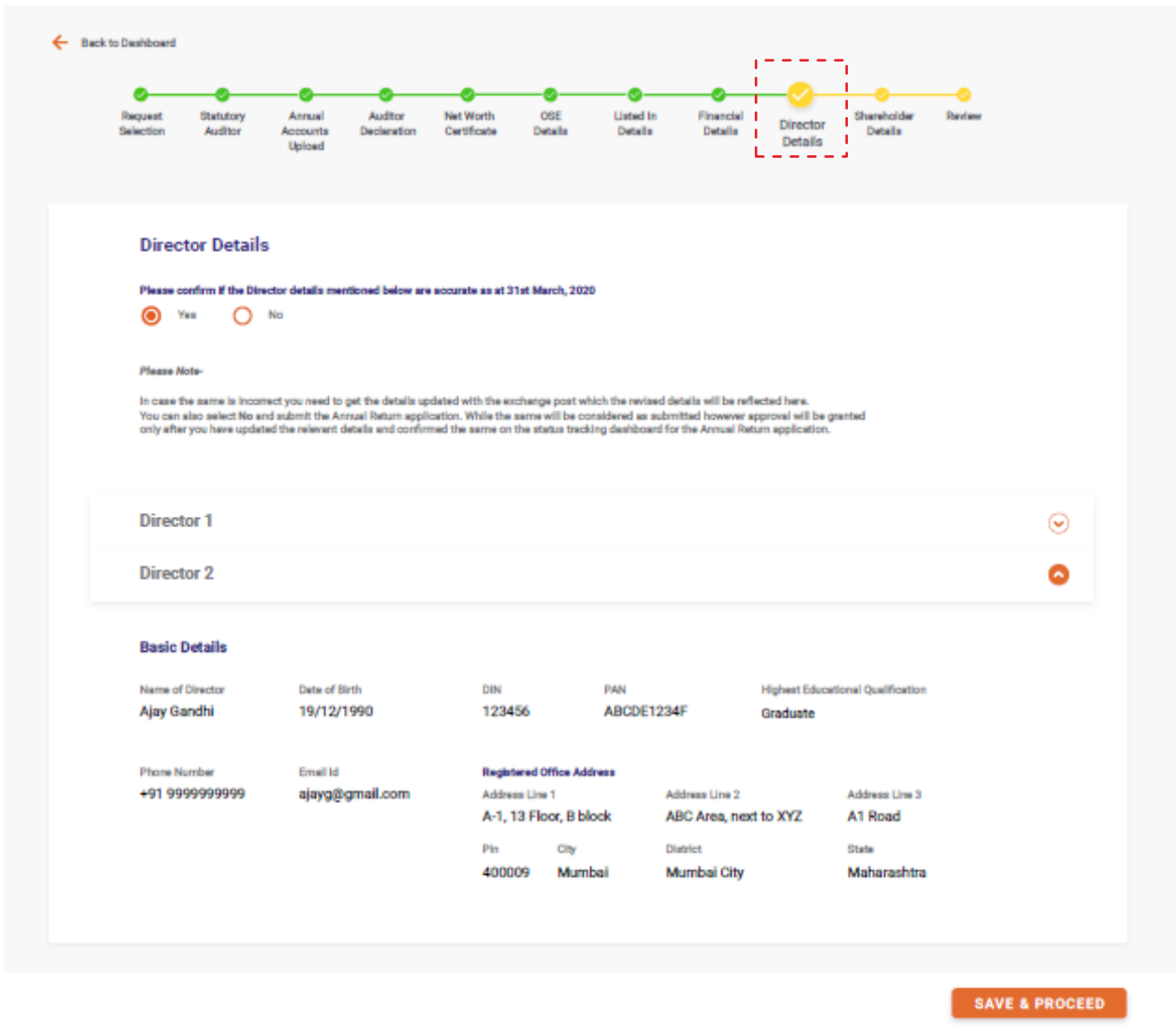
SAVE & PROCEED

Note:

- If details are not accurate, select 'No'. Application can be submitted however approval will be granted after updating the accurate values with exchange. Complete Pending Confirmations section
- Details pre-filled as per exchange records

2.8 Director Detail (as per the constitution)

Clicking on Director Details tab, user lands on the below page



← Back to Dashboard

Request Selection Statutory Auditor Annual Accounts Upload Auditor Declaration Net Worth Certificate OSE Details Listed In Details Financial Details **Director Details** Shareholder Details Review

Director Details

Please confirm if the Director details mentioned below are accurate as at 31st March, 2020

☒ Yes ☐ No

Please Note-

In case the same is incorrect you need to get the details updated with the exchange post which the revised details will be reflected here. You can also select No and submit the Annual Return application. While the same will be considered as submitted however approval will be granted only after you have updated the relevant details and confirmed the same on the status tracking dashboard for the Annual Return application.

Director 1

Director 2

Basic Details

Name of Director	Date of Birth	DIN	PAN	Highest Educational Qualification	
Ajay Gandhi	19/12/1990	123456	ABCDE1234F	Graduate	
Phone Number	Email Id	Registered Office Address			
+91 9999999999	ajayg@gmail.com				
		Address Line 1	Address Line 2	Address Line 3	
		A-1, 13 Floor, B block	ABC Area, next to XYZ	A1 Road	
		Pin	City	District	State
		400009	Mumbai	Mumbai City	Maharashtra

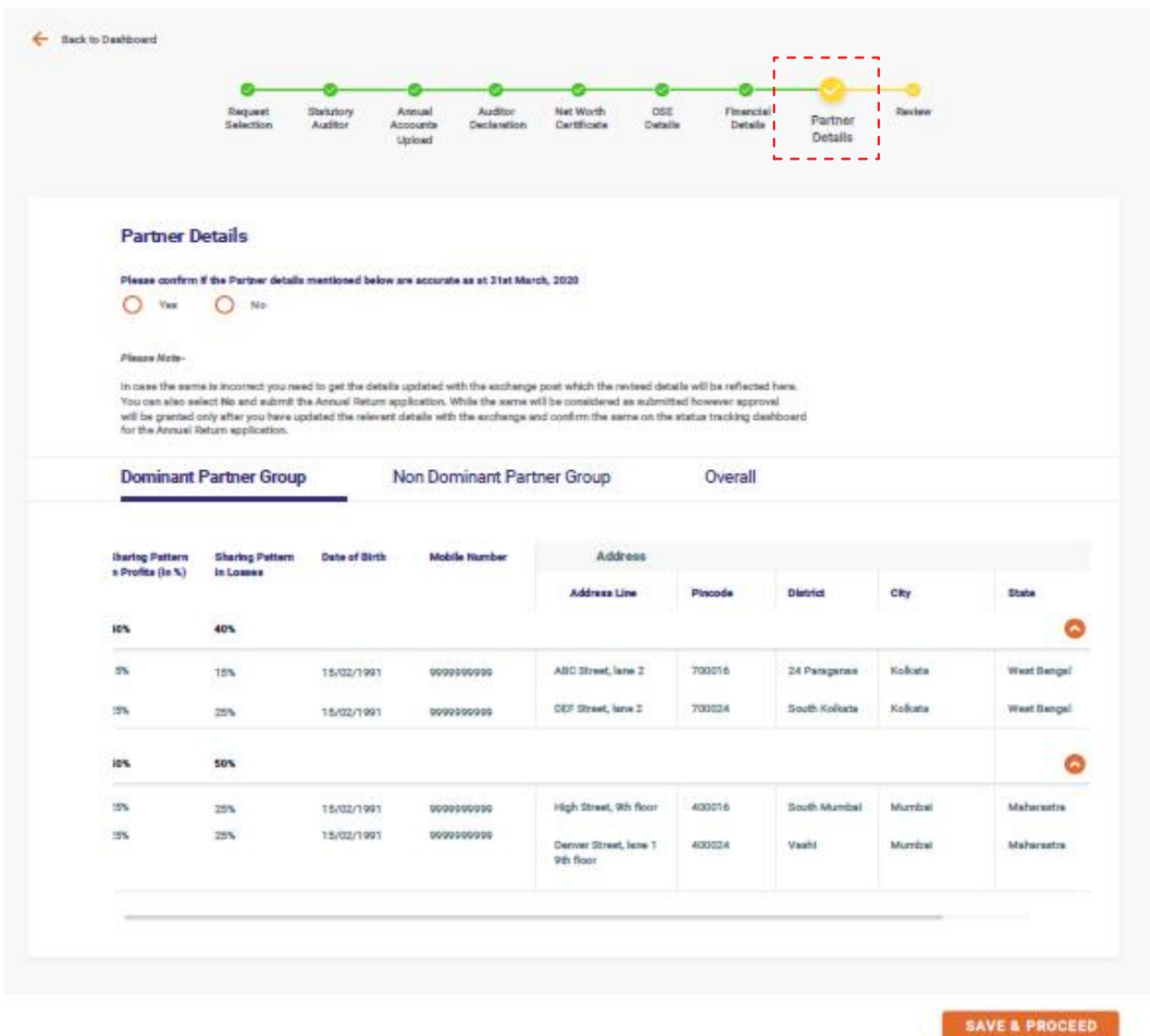
SAVE & PROCEED

Note:

- If details are not accurate, select 'No'. Application can be submitted however approval will be granted after updating the accurate values with exchange. Complete Pending Confirmations section
- N.A. for individuals, Partnership firms, LLP
- Details pre-filled as per exchange records

2.9 Partner Detail (as per the constitution)

Clicking on Partner Details tab, user lands on the below page



Back to Dashboard

Request Selection Statutory Auditor Annual Accounts Upload Auditor Declaration Net Worth Certificate DSE Details Financial Details **Partner Details** Review

Partner Details

Please confirm if the Partner details mentioned below are accurate as at 31st March, 2020

☐ Yes ☐ No

Please Note-

In case the same is incorrect you need to get the details updated with the exchange post which the revised details will be reflected here. You can also select No and submit the Annual Return application. While the same will be considered as submitted however approval will be granted only after you have updated the relevant details with the exchange and confirm the same on the status tracking dashboard for the Annual Return application.

Dominant Partner Group Non Dominant Partner Group Overall

Sharing Pattern in Profits (in %)	Sharing Pattern in Losses	Date of Birth	Mobile Number	Address					
				Address Line	Pincode	District	City	State	
10%	40%								
5%	15%	15/02/1991	9999999999	ABC Street, lane 2	700016	24 Parganas	Kolkata	West Bengal	
15%	25%	15/02/1991	9999999999	DEF Street, lane 2	700024	South Kolkata	Kolkata	West Bengal	
10%	50%								
15%	25%	15/02/1991	9999999999	High Street, 9th floor	400016	South Mumbai	Mumbai	Maharashtra	
15%	25%	15/02/1991	9999999999	Denver Street, lane 1 9th floor	400024	Vaahli	Mumbai	Maharashtra	

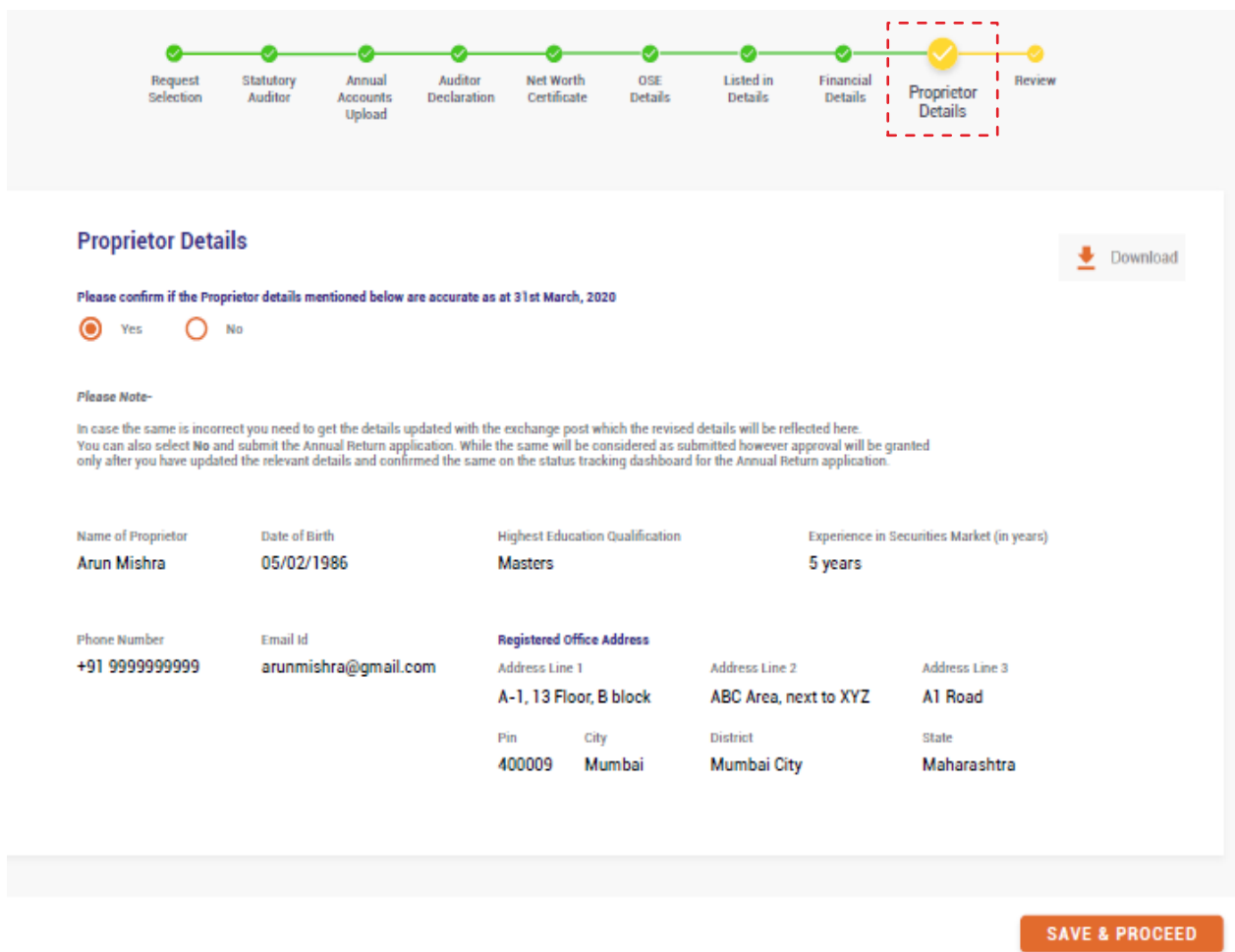
SAVE & PROCEED

Note:

- If details are not accurate, select 'No'. Application can be submitted however approval will be granted after updating the accurate values with exchange. Complete Pending Confirmations section
- N.A. for individuals, Corporate & Banks
- Details pre-filled as per exchange records

2.10 Proprietor Detail (as per the constitution)

Clicking on Proprietor Details tab, user lands on the below page



Proprietor Details

Please confirm if the Proprietor details mentioned below are accurate as at 31st March, 2020

☒ Yes ☐ No

Please Note-

In case the same is incorrect you need to get the details updated with the exchange post which the revised details will be reflected here. You can also select **No** and submit the Annual Return application. While the same will be considered as submitted however approval will be granted only after you have updated the relevant details and confirmed the same on the status tracking dashboard for the Annual Return application.

Name of Proprietor	Date of Birth	Highest Education Qualification	Experience in Securities Market (in years)	
Arun Mishra	05/02/1986	Masters	5 years	

Phone Number	Email Id	Registered Office Address		
+91 9999999999	arunmishra@gmail.com	Address Line 1	Address Line 2	Address Line 3
		A-1, 13 Floor, B block	ABC Area, next to XYZ	A1 Road
		Pin	City	District
		400009	Mumbai	Mumbai City
				State
				Maharashtra

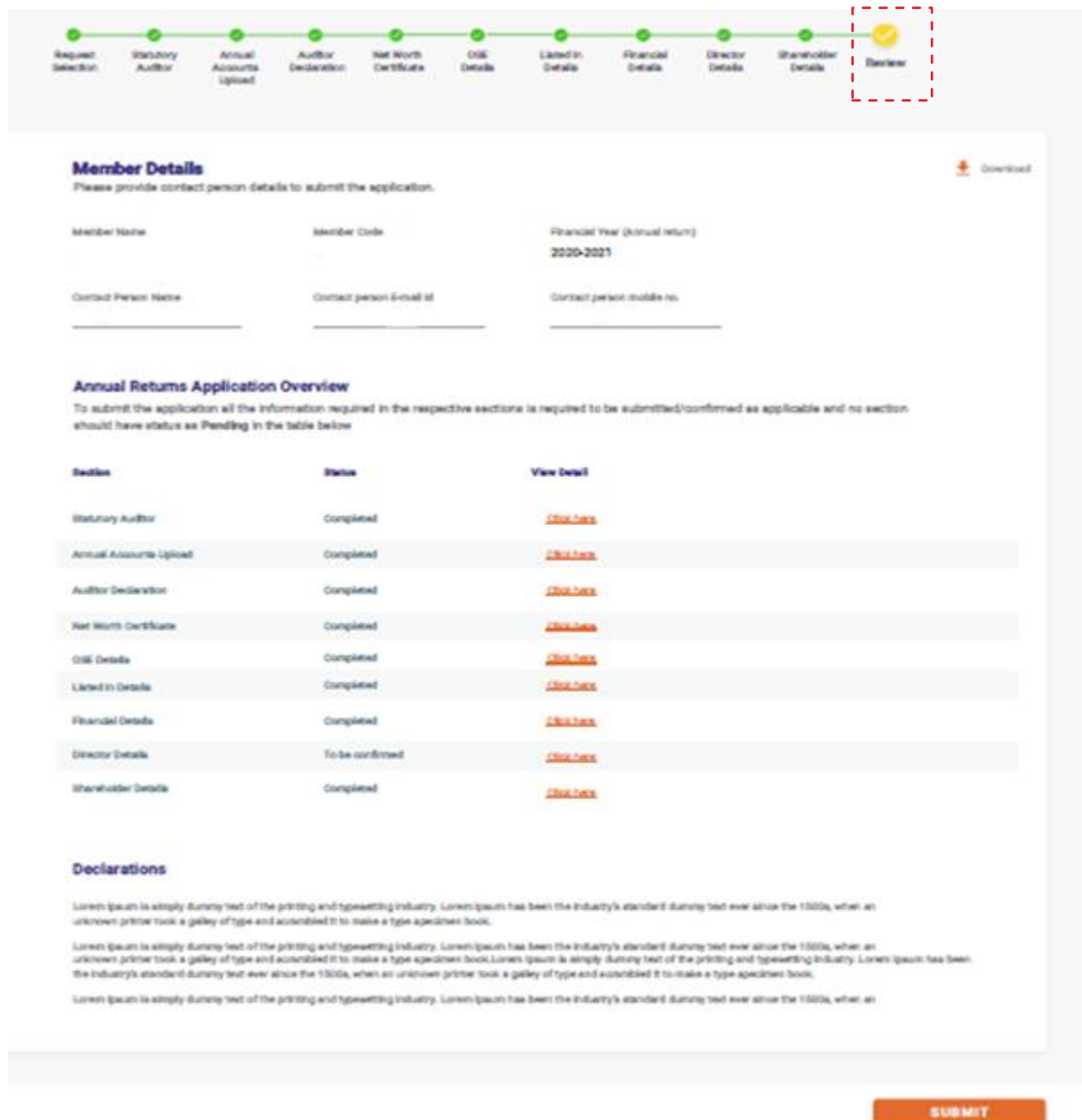
SAVE & PROCEED

Note:

- If details are not accurate, select 'No'. Application can be submitted however approval will be granted after updating the accurate values with exchange. Complete Pending Confirmations section
- N.A. for Corporates, Banks, Partnership firms, LLP
- Details pre-filled as per exchange records

2.11 Application Review & E-sign

Clicking on Review tab, user lands on the below page



Member Details

Please provide contact person details to submit the application.

Member Name: _____ Member Code: _____ Financial Year (Annual return): 2020-2021

Contact Person Name: _____ Contact person E-mail id: _____ Contact person mobile no.: _____

Annual Returns Application Overview

To submit the application all the information required in the respective sections is required to be submitted/confirmed as applicable and no section should have status as Pending in the table below

Section	Status	View Detail
Statutory Auditor	Completed	Click Here
Annual Accounts Upload	Completed	Click Here
Auditor Declaration	Completed	Click Here
Net Worth Certificate	Completed	Click Here
OIG Details	Completed	Click Here
Listed in Details	Completed	Click Here
Financial Details	Completed	Click Here
Director Details	To be confirmed	Click Here
Shareholder Details	Completed	Click Here

Declarations

Loren Ipsum is simply dummy text of the printing and typesetting industry. Lorem Ipsum has been the industry's standard dummy text ever since the 1500s, when an unknown printer took a galley of type and assembled it to make a type specimen book.

Loren Ipsum is simply dummy text of the printing and typesetting industry. Lorem Ipsum has been the industry's standard dummy text ever since the 1500s, when an unknown printer took a galley of type and assembled it to make a type specimen book. Lorem Ipsum is simply dummy text of the printing and typesetting industry. Lorem Ipsum has been the industry's standard dummy text ever since the 1500s, when an unknown printer took a galley of type and assembled it to make a type specimen book.

Loren Ipsum is simply dummy text of the printing and typesetting industry. Lorem Ipsum has been the industry's standard dummy text ever since the 1500s, when an unknown printer took a galley of type and assembled it to make a type specimen book.

SUBMIT

Note:

- Status for each tab displayed & Hyperlinks available to navigate each tab
- Application can be submitted when all tabs are green (except pending confirmations sections like Director/Partner/Proprietor/Shareholder/Networth details)

Clicking on Submit on Review tab, user lands on the e-sign page

E-Sign Request

Member Details

Member Name	Member Constitution	Member Code
ABC Pvt Ltd	Corporate	123456

Details of the Signing Authority

Please provide details of the person who will E-sign the Application

Select Role of the Signing Authority
Director

Name	Mobile no.	Email ID
Arav Jha	912304590	arav@gmail.com

Mode of E-Sign

Select from the E-signing options

☒ DSC ☐ Aadhaar

System through which you want to E-sign

☒ Current device ☐ Send Link on contact details

Initiate E-sign

Note:

- Select signing authority (list as per constitution)
- Select mode & Initiate e-sign
- Details will be sent to email Id of the signatory
- On clicking on 'Initiate E-sign' the user will be provided with a link on the email.

Dear User,

National Stock Exchange of India Limited (NSE) has requested your eSign on -
Please click below to eSign.

Click Here

If you are facing issues in opening above link, Copy this link in separate tab:
<https://app.digio.in/#s/DGO211110028320944H>

The user needs click on the 'Click here' link. Upon which the user will be provided with an OTP on the email Id, entering the same will redirect the user to the E-signing portal.



Security code sent to .

Please check all mail folders (updates/junk/spam)

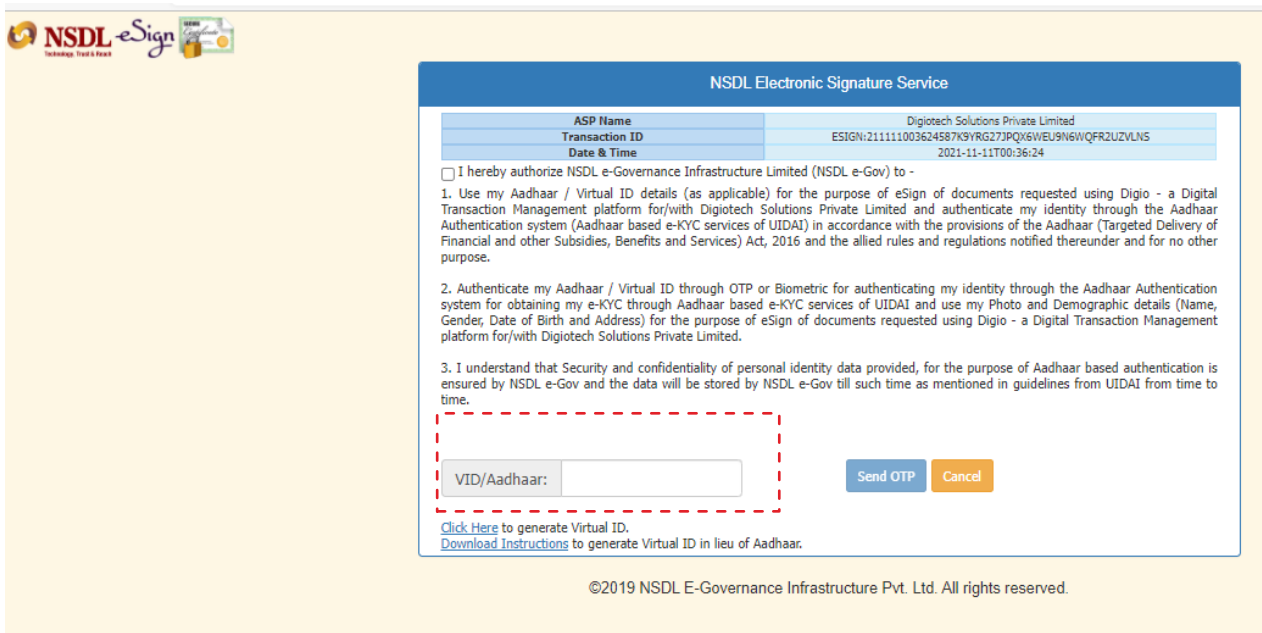
[Resend via Text](#)

Security code is valid for 10 minutes only

Submit

Powered by 

- On successfully entering the OTP the PDF form of the Application will be displayed and user needs to click on 'Sign Now' button to proceed ahead.
- Clicking 'Sign now' will re-direct the user to the screen where the Aadhar number needs to be entered.



NSDL Electronic Signature Service

ASP Name	Digitech Solutions Private Limited
Transaction ID	ESIGN:211111003624587K9YRG27JPQX6WEU9N6WQFR2UZVLNS
Date & Time	2021-11-11T00:36:24

☐ I hereby authorize NSDL e-Governance Infrastructure Limited (NSDL e-Gov) to -

1. Use my Aadhaar / Virtual ID details (as applicable) for the purpose of eSign of documents requested using Digio - a Digital Transaction Management platform for/with Digitech Solutions Private Limited and authenticate my identity through the Aadhaar Authentication system (Aadhaar based e-KYC services of UIDAI) in accordance with the provisions of the Aadhaar (Targeted Delivery of Financial and other Subsidies, Benefits and Services) Act, 2016 and the allied rules and regulations notified thereunder and for no other purpose.
2. Authenticate my Aadhaar / Virtual ID through OTP or Biometric for authenticating my identity through the Aadhaar Authentication system for obtaining my e-KYC through Aadhaar based e-KYC services of UIDAI and use my Photo and Demographic details (Name, Gender, Date of Birth and Address) for the purpose of eSign of documents requested using Digio - a Digital Transaction Management platform for/with Digitech Solutions Private Limited.
3. I understand that Security and confidentiality of personal identity data provided, for the purpose of Aadhaar based authentication is ensured by NSDL e-Gov and the data will be stored by NSDL e-Gov till such time as mentioned in guidelines from UIDAI from time to time.

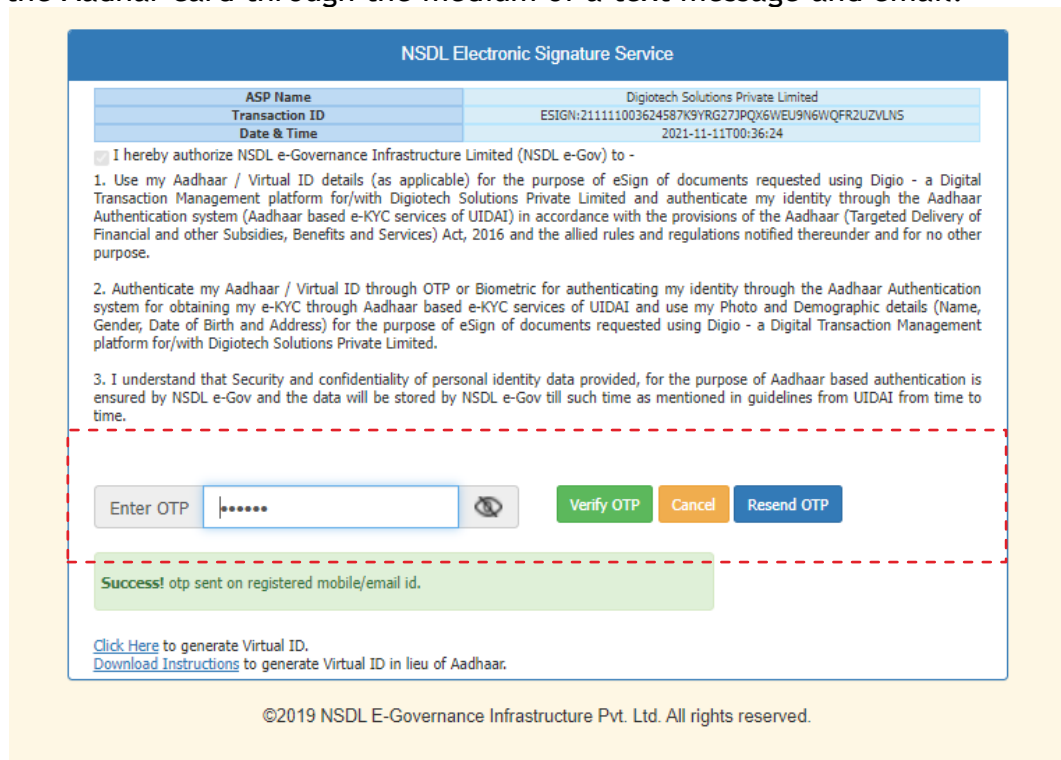
VID/Aadhaar:

[Click Here](#) to generate Virtual ID.
[Download Instructions](#) to generate Virtual ID in lieu of Aadhaar.

[Send OTP](#) [Cancel](#)

©2019 NSDL E-Governance Infrastructure Pvt. Ltd. All rights reserved.

- The Aadhar number needs to be entered and 'Send OTP' needs to be clicked. Please note OTP will be sent on the mobile number and email id registered with the Aadhar card through the medium of a text message and email.



NSDL Electronic Signature Service

ASP Name	Digitech Solutions Private Limited
Transaction ID	ESIGN:211111003624587K9YRG27JPQX6WEU9N6WQFR2UZVLNS
Date & Time	2021-11-11T00:36:24

☐ I hereby authorize NSDL e-Governance Infrastructure Limited (NSDL e-Gov) to -

1. Use my Aadhaar / Virtual ID details (as applicable) for the purpose of eSign of documents requested using Digio - a Digital Transaction Management platform for/with Digitech Solutions Private Limited and authenticate my identity through the Aadhaar Authentication system (Aadhaar based e-KYC services of UIDAI) in accordance with the provisions of the Aadhaar (Targeted Delivery of Financial and other Subsidies, Benefits and Services) Act, 2016 and the allied rules and regulations notified thereunder and for no other purpose.
2. Authenticate my Aadhaar / Virtual ID through OTP or Biometric for authenticating my identity through the Aadhaar Authentication system for obtaining my e-KYC through Aadhaar based e-KYC services of UIDAI and use my Photo and Demographic details (Name, Gender, Date of Birth and Address) for the purpose of eSign of documents requested using Digio - a Digital Transaction Management platform for/with Digitech Solutions Private Limited.
3. I understand that Security and confidentiality of personal identity data provided, for the purpose of Aadhaar based authentication is ensured by NSDL e-Gov and the data will be stored by NSDL e-Gov till such time as mentioned in guidelines from UIDAI from time to time.

Enter OTP:

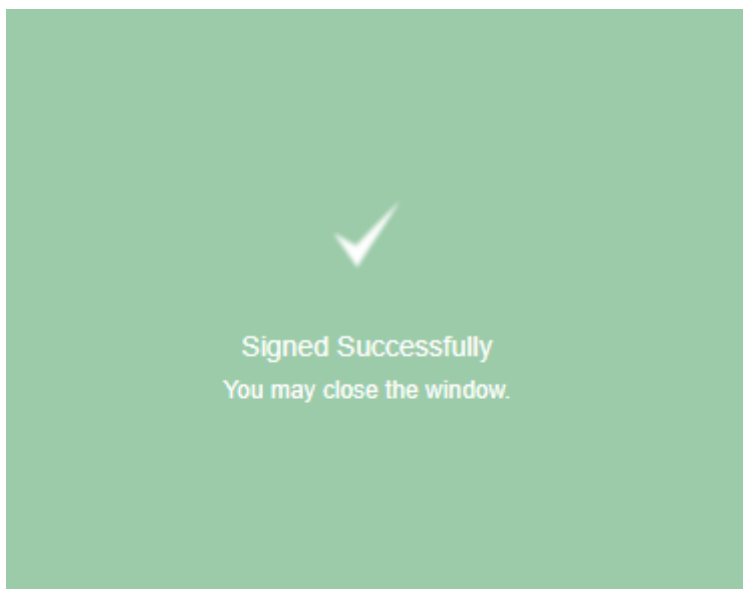
[Verify OTP](#) [Cancel](#) [Resend OTP](#)

Success! otp sent on registered mobile/email id.

[Click Here](#) to generate Virtual ID.
[Download Instructions](#) to generate Virtual ID in lieu of Aadhaar.

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- On entering the OTP, the Verify OTP button will be enabled and user can proceed further clicking on the same.



On completion of the E-signing process the same shall be updated on the respective application as well. Please note the update on the application will take a few moments.

After successful e-sign, submission is complete

[← Back to Dashboard](#)

E-Signing has been completed successfully

E-Sign Request

Member Details

Member Name	Member Constitution	Member Code
ABC Pvt Ltd	Corporate	123456

Details of the Signing Authority

Please provide details of the person who will E-sign the Application

Select Role of the Signing Authority

Director

Name	Mobile no.	Email ID
Arav Jha	912304590	arav@gmail.com

Mode of E-Sign

Select from the E-signing options

☒ DSC ☐ Aadhaar

System through which you want to E-sign

☒ Current device ☐ Send Link on contact details

✔ E-Sign Completed

Note:

- If there are any pending confirmation's, then Application Status will show Application Submitted else Application Approved

Application status screen after successful submission

Application Approved !!

Dear ABC Pvt. Ltd.,
 Prior approval has been granted by the exchange for submission of Annual Returns application.

Approval Letter

Member Code_Annual Return_FY2020-21
 _Approval Letter

Statutory Auditor Declaration

Member Code_Statutory Auditor Declaration
 _FY2020-21_Approval Letter

Certified NetWorth

Member Code_Annual Return_Certified NetWorth
 _FY 2020-21

E- signed Application

Member Code_Annual Return_E-Signed
 Application_FY 2020-21

Please note-
 The document will be available for future reference in the respective status tracking dashboard of the application (accessible by clicking on application ID of application)

EXIT THE APPLICATION

Dear ABC Pvt. Ltd.,

Your application for Annual Return has been submitted to the exchange. For getting approval for the same please get the director details updated with the exchange and then go to the respective status tracking dashboard of the application for confirming the same. Post completion of these steps your application will be approved.

Statutory Auditor Declaration

Member Code_Statutory Auditor Declaration
 _FY2020-21_Approval Letter

Certified NetWorth

Member Code_Annual Return_Certified NetWorth
 _FY 2020-21

E- signed Application

Member Code_Annual Return_E-Signed
 Application_FY 2020-21

Please note-
 The document will be available for future reference in the respective status tracking dashboard of the application (accessible by clicking on application ID of application)

EXIT THE APPLICATION

Note:

- Instant Approval if there are no pending confirmations
- Pending approval if there are pending confirmations

3 Statutory Auditor Confirmation

3.1 Landing Screen

Clicking on the navigation menu, leads to this screen

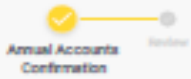
List of All Applications									
Till Date		From-To Date		Delete	Export	Clear all search	Clear Sort	Show/Hide Columns	
☐	App. ID	Main Request	Submission Cycle	Sub Request	Status	Application Started on	Application Submitted on	Application Completed on	
	Search	Search	Search	Search	Search				
Clear	Clear	Clear	Clear	Clear	Clear				
☐	109948	Annual Returns	31-03-2021		To be submitted	07/12/2021 02:34 PM			

Note:

- Click on App.ID to view members annual accounts

3.2 Detailed view of an application

Clicking on the App.ID menu, leads to this screen



Statutory Auditor Confirmations

Member Details

Member Name	Member Code
Shreehan	123456EDC

Annual Accounts for Financial Year 2020-21

Annual Accounts includes Auditor's Report, Balance Sheet, Profit & Loss, Schedules & Notes to Accounts

Download Annual Accounts File

Member Code_Annual Accounts_FY21 

Directors Report for the Financial Year 2020-21

Download Director's Report File

Member Code_Directors Report_FY21 

Financials in XBRL format for Financial Year 2020-21

Download XBRL File

Member Code_Financials_XBRL_FY21 

Details for Audit Report of ABC Pvt Ltd for Financial Year 2020-21

Has there been a qualified opinion provided in the audit report?

☒ Yes ☐ No

Please mention below in detail the reason for providing the qualified opinion

UDIN number of Audit Report

Type UDIN Number

Declarations

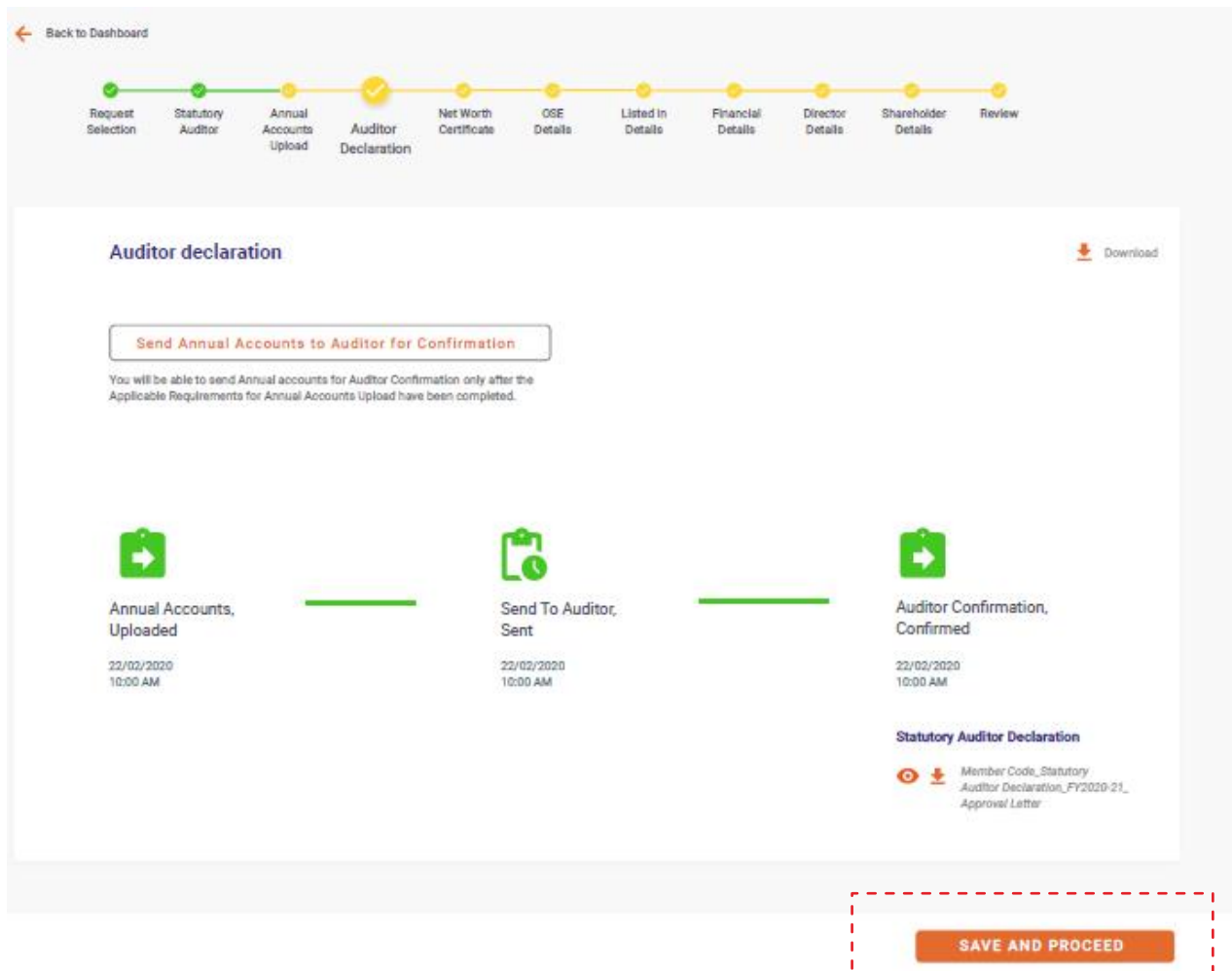
- ☒ I/we hereby confirm that the XBRL document fairly presents in all respects the audited financial statements for the financial year 2020-21
- ☒ The financial statements are as per the format prescribed by the Companies Act 2013
- ☒ The financial statements pertain to the financial year 2020-21
- ☒ The UDIN number has been provided in the audit report

CONFIRM

Note:

- **View/download** annual submissions by member
- Tick the declarations to 'Confirm' else If deficiencies found, inform the member (offline) to re-upload

3.3 If deficiencies found, inform the member (offline) to re-upload



Note:

Member can view/download e-signed auditor declaration

Statutory Auditor can track the application status



The diagram shows a flow from 'Application Submitted' to 'Approval'. The 'Approval' box is highlighted with a red dashed border.

Application Submitted !!

Member has completed Annual Return Submission for the year

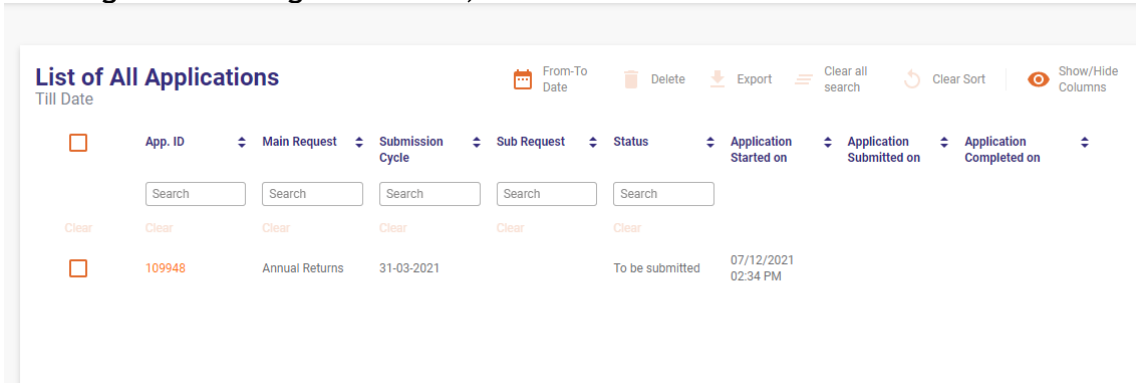
Annual Accounts

Annual Accounts	View	Download	Financials	View	Download
MemCode_AnnualAccounts_FY 20-21			MemCode_XMLFinancials_FY 20-21		

4 Net-worth Auditor Confirmation

4.1 Landing Screen

Clicking on the navigation menu, leads to this screen



List of All Applications

Till Date

From-To Date Delete Export Clear all search Clear Sort Show/Hide Columns

	App. ID	Main Request	Submission Cycle	Sub Request	Status	Application Started on	Application Submitted on	Application Completed on
☐	109948	Annual Returns	31-03-2021		To be submitted	07/12/2021 02:34 PM		

Note:

- Click on App.ID to view members annual accounts

4.2 Detailed view of Application

Clicking on the App.ID menu, leads to this screen

[← Back to Dashboard](#)



 Net Worth Certificate

Net Worth submission

Please contact the [Helpdesk](#) for further assistance

CA Details

Name of CA Firm	Name of Certifying CA	Membership No. of certifying CA
XYZ & Associates	Manan Gala	112233

Submission Details

Member Name	Member Code	Minimum Net Worth required (INR)
ADC Securities	123456	1,00,00,000

Type of submission	Submission cycle	Net Worth As On	Application ID of new submission
New	31/03/2020	31/03/2020	12345678

Certification


 Reset

Method

Method	Based on books of account
Dr. L. C. Gupta Method	Audited 

Capital + Free Reserves

Capital	10,00,000.00
Free Reserves	10,00,000.00

Less: Non-allowable Assets

Fixed Assets	10,00,000.00
Pledged Securities	10,00,000.00
Member's Card	0.00
Non-allowable securities (unlisted)	10,00,000.00
Bad deliveries	10,00,000.00
Doubtful Debts and Advances (Includes debts/advances overdue for more than three months or given to associates)	10,00,000.00


 Add Pledges

Advances given to associates	00.00	
Debts/advances from others overdue for more than three months	00.00	
Doubtful debts	00.00	
Others	00.00	
Prepaid expenses, losses		10,000,000.00
Intangible Assets		3,000,000.00
Marketable securities		30,00,000.00
Investment in Subsidiaries/associates	00.00	(This is 30% of Total Marketable Securities)
Investment in other Companies	00.00	
Others (if any)	00.00	
Net Worth Amount		80,300,000.00

Net Worth Certification

*This is to certify that the Networth of **ABC Securities** as on **31/03/2020** as per the statement of computation of even date annexed to this report is Rs. **80,300,000.00** only.*

We further certify that:

ABC Securities is not engaged in any fund-based activities or business other than that of securities. Existing fund based assets, if any have been divested from the books of account and have not been included for the purpose of calculation of net worth.

The computation of net worth based on my / our scrutiny of the books of accounts, records and documents is true and correct to the best of my / our knowledge and as per information provided to my / our satisfaction.

The computation of net worth is in accordance with the method of computation prescribed by Schedule VI of SEBI (Stock Brokers and Sub-brokers) (Second Amendment) Regulations, 2013 / the method of computation prescribed by Dr. L. C Gupta Committee Report.

For **XYZ & Associates**

Name **Manan Gala**

Membership No **123456**

UDIN **112233445566778899**

[Generate PDF](#)

Certified Network 

Document_pdf

[Initiate E-Sign](#)

[SEND TO MEMBER](#)
Note:

- Select the method and Enter audited data
- Enter UDIN and generate net worth certificate

4.3 E-sign & send certificate to member

After e-sign successful, send certificate to member

← Back to Dashboard

Net Worth s

CA Details

Name of CA Firm
XYZ & Associates

Submission De

Member Name
ABC Securities

Type of submission
New

E-Signing Options

Mode of E-Sign
☒ Aadhar E-Sign ☐ DSC Token

System through which you want to E-sign
☒ Current device ☐ Send Link on contact details

Certifying CA
Manan Gala

Email ID
manan@abc.com

Mobile no.
8102291771

the *Helpdesk* for further assistance

	Submission Date	CA Firm Name	CA Firm Email ID	CA Firm Mobile No.
New	31/03/2020	31/03/2020	12345678	

Net Worth Certification

*This is to certify that the Networth of **ABC Securities** as on **31/03/2020** as per the statement of computation of even date annexed to this report is Rs. **80,300,000.00** only.*

We further certify that:

ABC Securities is not engaged in any fund-based activities or business other than that of securities. Existing fund based assets, if any have been divested from the books of account and have not been included for the purpose of calculation of net worth.

The computation of net worth based on my / our scrutiny of the books of accounts, records and documents is true and correct to the best of my / our knowledge and as per information provided to my / our satisfaction.

The computation of net worth is in accordance with the method of computation prescribed by Schedule VI of SEBI (Stock Brokers and Sub-brokers) (Second Amendment) Regulations, 2013 / the method of computation prescribed by Dr. L C Gupta Committee Report.

For **XYZ & Associates**

Name	Manan Gala
Membership No	123456
UDIN	112233445566778899

Generate PDF

Certified Networth



MemCode_HYNW_31032020



Attached

Certificate received from Manan Gala

Re-send certificate if comments received from member

← Back to Dashboard



Net Worth submission

Please contact the [Helpdesk](#) for further assistance

CA Details

Name of CA Firm	Name of Certifying CA	Membership No. of certifying CA
XYZ & Associates	Manan Gala	112233

Submission Details

Member Name	Member Code	Minimum Net Worth required (INR)	
ABC Securities	123456	1,00,00,000	
Type of submission	Submission cycle	Net Worth As On	Application ID of new submission
New	31/03/2020	31/03/2020	12345678

Certification

Method

Method	Based on books of account
Dr. L. C. Gupta Method	Audited

Capital + Free Reserves

Capital	10,00,000.00
Free Reserves	10,00,000.00

Less: Non-allowable Assets

Fixed Assets	10,00,000.00
Pledged Securities	10,00,000.00
Member's Card	0.00
Non-allowable securities (unlisted)	10,00,000.00
Bad deliveries	10,00,000.00
Doubtful Debts and Advances (Includes debts/advances overdue for more than three months or given to associates)	10,00,000.00
Advances given to associates	00.00
Debts/advances from others overdue for more than three months	00.00
Doubtful debts	00.00

Others	00.00	
Prepaid expenses, losses		10,000,000.00
Intangible Assets		3,000,000.00
Marketable securities		30,00,000.00
Investment in Subsidiaries/associates	00.00	(This is 30% of Total Marketable Securities)
Investment in other Companies	00.00	
Others (if any)	00.00	
Net Worth Amount		80,300,000.00

Net Worth Certification

This is to certify that the Networth of **ABC Securities** as on **31/03/2020** as per the statement of computation of even date annexed to this report is **Rs. 80,300,000.00** only.

We further certify that:

ABC Securities is not engaged in any fund-based activities or business other than that of securities. Existing fund based assets, if any have been divested from the books of account and have not been included for the purpose of calculation of net worth.

The computation of net worth based on my / our scrutiny of the books of accounts, records and documents is true and correct to the best of my / our knowledge and as per information provided to my / our satisfaction.

The computation of net worth is in accordance with the method of computation prescribed by Schedule VI of SEDI (Stock Brokers and Sub-brokers) (Second Amendment) Regulations, 2013 / the method of computation prescribed by Dr. L.C. Gupta Committee Report.

For **XYZ & Associates**

Name **Manan Gala**

Membership No **123456**

UDIN **112233445566778899**

Certified Net Worth  

[Send Back to CA](#)

Note:

- Members can send back to auditor for revision
- Auditor can re-enter revised numbers to generate new certificate or send back original certificate

Net Worth Certification

This is to certify that the Networth of **Abc Securities** as on **31/03/2020** as per the statement of computation of even date annexed to this report is **Rs. 80,300,000.00** only.

We further certify that:-

ABC Securities is not engaged in any fund-based activities or business other than that of securities. Existing fund based assets, if any have been divested from the books of account and have not been included for the purpose of calculation of net worth.

The computation of net worth based on my / our scrutiny of the books of accounts, records and documents is true and correct to the best of my / our knowledge and as per information provided to my / our satisfaction.

The computation of net worth is in accordance with the method of computation prescribed by Schedule VI of SEBI (Stock Brokers and Sub-brokers) (Second Amendment) Regulations, 2013 / the method of computation prescribed by Dr. L. C. Gupta Committee Report.

For **XYZ & Associates**

Name	Manan Gala
Membership No	123456
UDIN	112233445566778899

Generate PDF

Certified Networth

MemCode_HYNNW_31032020

✓ Attached

Certificate received from Manan Gala

Comments from Member

Error in intangible assets figure

SEND NEW CERTIFICATE

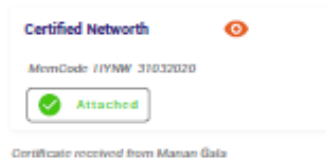
You will have to reinitiate E-Sign

RESEND ORIGINAL CERTIFICATE

Certificate sent earlier remains unchanged

4.4 Shortfall or high variation in Net Worth

After member submits to exchange, comments by member are shown in case of shortfall or high variation



Certificate received from Manan Gola

✓ Member has submitted to the Exchange

⚠ Shortfall in Net Worth detected

Shortfall Amount	Reason for shortfall in net worth	Remarks
Rs. 25,00,000	Others	Discontinuation of a business vertical

⚠ High variation in Net Worth from previous submission cycle detected

Variation %	Reason for variation
26%	Increased Sales

If shortfall is detected, then Auditor must generate revised certificate and complete Pending Confirmations section

4 Complete Pending Confirmation

4.5 Landing Screen

After member submits to exchange, lands on Dashboard

List of All Applications
Till Date

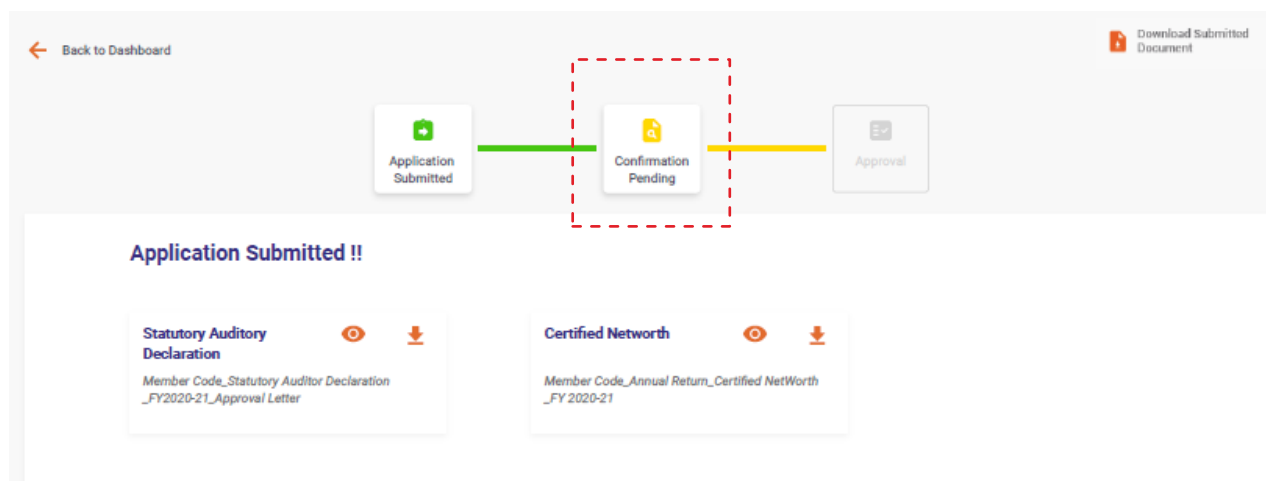
From-To Date Delete Export Clear all search Clear Sort Show/Hide Columns

	App. ID	Main Request	Sub Request	Status	Application Started on	Application Submitted on	Application Approved on
☐	Search	Search	Search	Search			
☐	1615789115	Annual Returns		Application under review			
☐	1615788832	Annual Returns		Application under review			
☐	1615463051	Annual Returns		Application under review			
☐	1615461968	Authorized Person(AP)	Authorized Person (AP) Registration	To be submitted	03/11/2021 04:56 PM		
☐	1615440824	Annual Returns		To be submitted			
☐	1615434038	Annual Returns		Application under review			
☐	1615409171	Annual Returns		Application under review			

Note:

Click on App.ID to navigate to status tracker

4.6 Navigate to status tracker dashboard

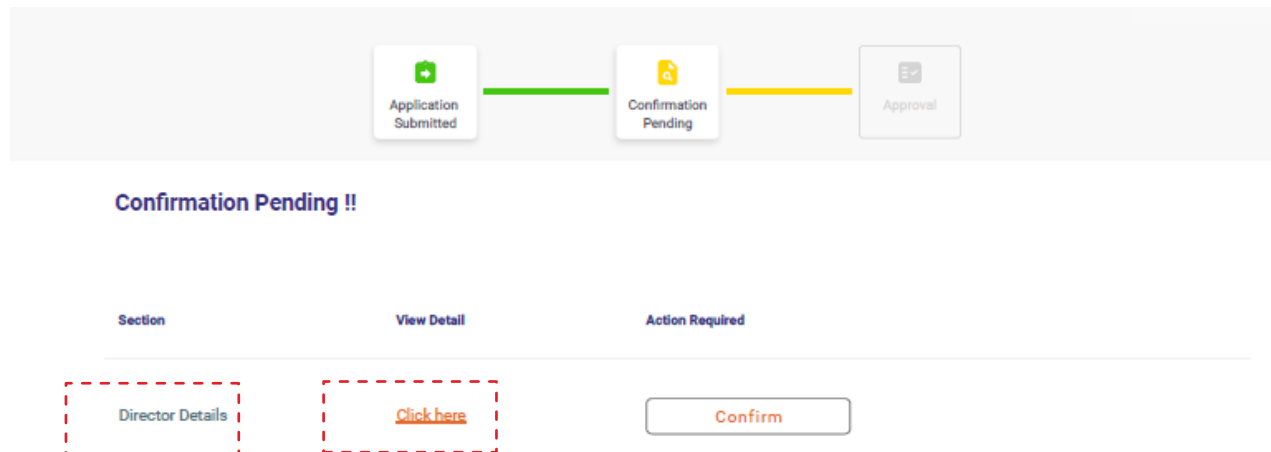


Note:

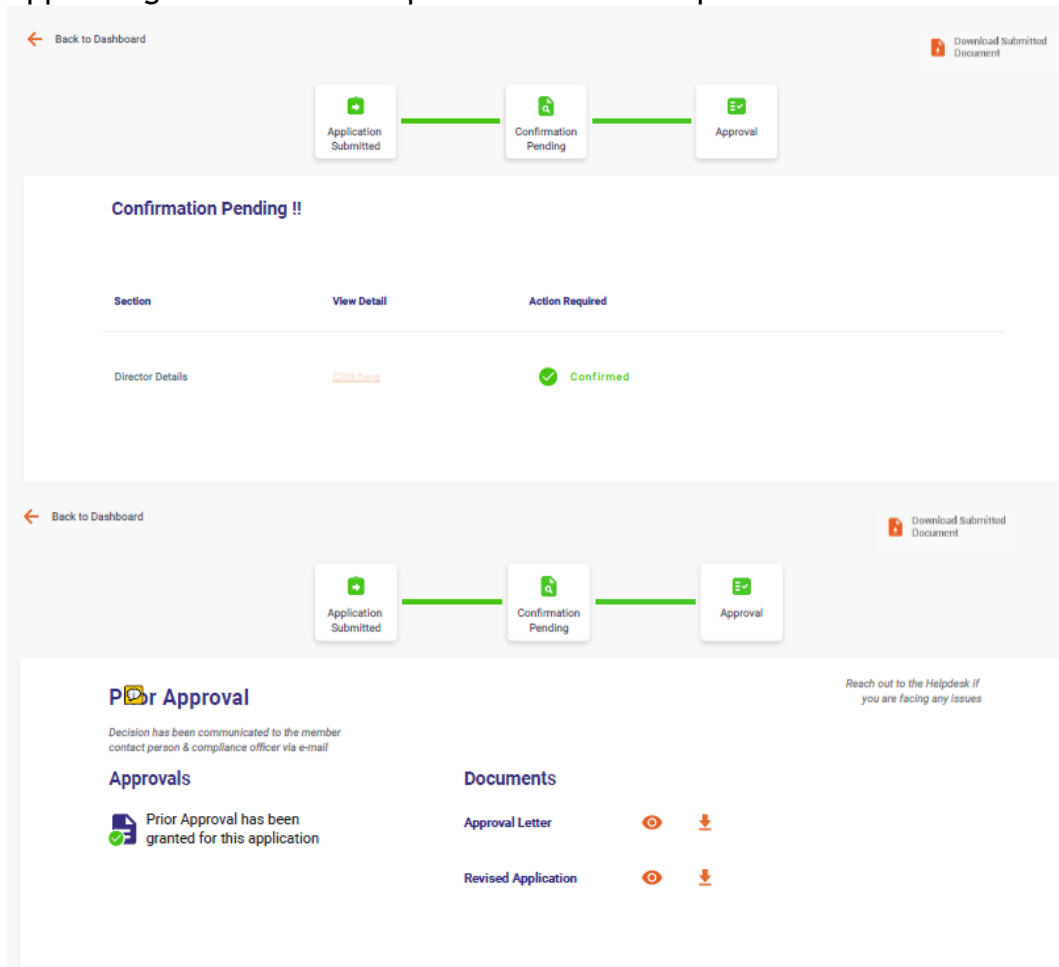
If there any sub-tabs with confirmation pending, then this tab is displayed and in yellow colour.

4.7 Actions on 'Confirmation Pending' tab

Sub-tabs with confirmation pending are listed. Submit accurate details to exchange via separate application like change in director, SHP etc. Click on the button 'Click here' to view revised values for e.g., Director details as per the latest exchange records are displayed. Click on 'confirm' button to complete pending submission



Approval granted after all open actions are complete



The screenshot displays the NSE Annual Returns Submission portal. At the top, there is a navigation bar with a 'Back to Dashboard' link and a 'Download Submitted Document' button. Below this, a progress bar shows three steps: 'Application Submitted', 'Confirmation Pending', and 'Approval'. The 'Confirmation Pending' step is currently active, indicated by a green checkmark and the text 'Confirmation Pending !!'. Below the progress bar, there is a table with the following structure:

Section	View Detail	Action Required
Director Details	Click here	Confirmed

Below the table, there is another 'Back to Dashboard' link and a 'Download Submitted Document' button. The 'Approval' section is also visible, showing a message: 'Decision has been communicated to the member contact person & compliance officer via e-mail'. Under the 'Approvals' section, it states: 'Prior Approval has been granted for this application'. The 'Documents' section lists 'Approval Letter' and 'Revised Application', each with a download icon.

Note:

View/Download Submitted document, Revised application and Approval letter.

5 Frequently Asked Questions

Q. How do I begin Annual Return process?

A. Member need to register Statutory Auditor and Net worth Auditor under 'Annual Return Bundles'. Once registered Member can login to Parivartan portal and initiate Annual Return request from Annual - >Regulatory Menu > Annual Returns

Q. Member user is a bank, how does member user indicate the same considering annual return format is different

A. Member need to select 'Annual Account format' from dropdown with options - IGAAP, IndAs, Bank

Q. Do member need to sign details submitted?

A. Yes E-sign is mandatory for the member application, along with Statutory auditor declaration and networth certificate which are e-signed by the respective auditor.

Q. Do I need to submit the annual accounts in XBRL format only?

A. Yes, Member can download utility from 'Annual Account Upload' section and enter the financial details to generate the XBRL output. Member can import existing XBRL as use as input for XBRL utility.

Q. Is navigation between tabs allowed without submitted entire content?

A. Yes user can navigate between multiple tabs

Q. how do I check status of account submitted to Auditor?

A. In 'Auditor Declaration' tab status of accounts submitted is captured

Q. Partner/Director/Shareholder details were not accurate and annual accounts were submitted but exchange has not approved them?

A. Member needs to get the details updated with exchange through the respective process, and once approved by exchange the annual account will be approved

Q. As a statutory auditor, how do I access the member submitted application

A. From Dashboard, Auditor need to navigate to Regulatory > Annually > Annual Returns - Click on Application Id to view details

Q. As a statutory auditor, Do I have option to download submission by member on local system or only viewing rights

A. Auditor has option to download submission on local system

Q. As an Auditor, How I do track current status of application?

A. Auditor can click on application ID which will redirect to 'Status Tracker page' which will reflect current stage of application