

National Stock Exchange of India

Circular

Department: Compliance	
Download Ref No: NSE/COMP/53906	Date: October 03, 2022
Circular Ref. No: 70/2022	

To All Members,

Sub: Submission of Annual Returns for the Financial year 2021-22

This has reference to the Exchange circular reference no. NSE/COMP/53647 dated September 12, 2022 regarding submission of Annual Returns to the Exchange for the financial year ended on March 31, 2022. Members of the Exchange are hereby advised to submit the Annual Returns i.e. Audited Balance sheet, Profit & Loss Account, details in respect of Shareholding, Directors, Net worth Certificate etc., as may be applicable, for the financial year ended on March 31, 2022, through the Digital Portal (<https://digitalexchange.nseindia.com>), on or before **October 31, 2022**.

All Members are hereby informed that submission of Annual Returns for the financial year ended on March 31, 2022 shall be done only through the said Digital Portal (<https://digitalexchange.nseindia.com>). The link for submitting the Annual Return is available on Digital Portal.

The manuals for accessing the portal and for making the submission are enclosed as under:

- Steps to login and create new users on the digital portal- **Annexure-A**
- Manual for submission for Annual Returns - **Annexure-B**

The action for non compliance

- Actions for Non-Compliance: **Annexure C**
- Guidelines for Statutory Auditor: **Annexure D**

Members are required to take note of the above and submit the Annual Returns on or before **October 31, 2022**.

National Stock Exchange of India

Circular

For any support, please reach out to the helpdesk on 1800 266 0050 (Select IVR option 3) or email at memcompliance_support@nse.co.in.

**For and on behalf of
National Stock Exchange of India Limited**

**Swati Sopare
Senior Manager**



ANNEXURE A

USER MANUAL

Frontend - User Account Management

Objective: This document is a step-by-step guide on how to login into the portal, create and edit users, and manage users across your organization.

Intended Users: NSE Members

Document Owner: NSE

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



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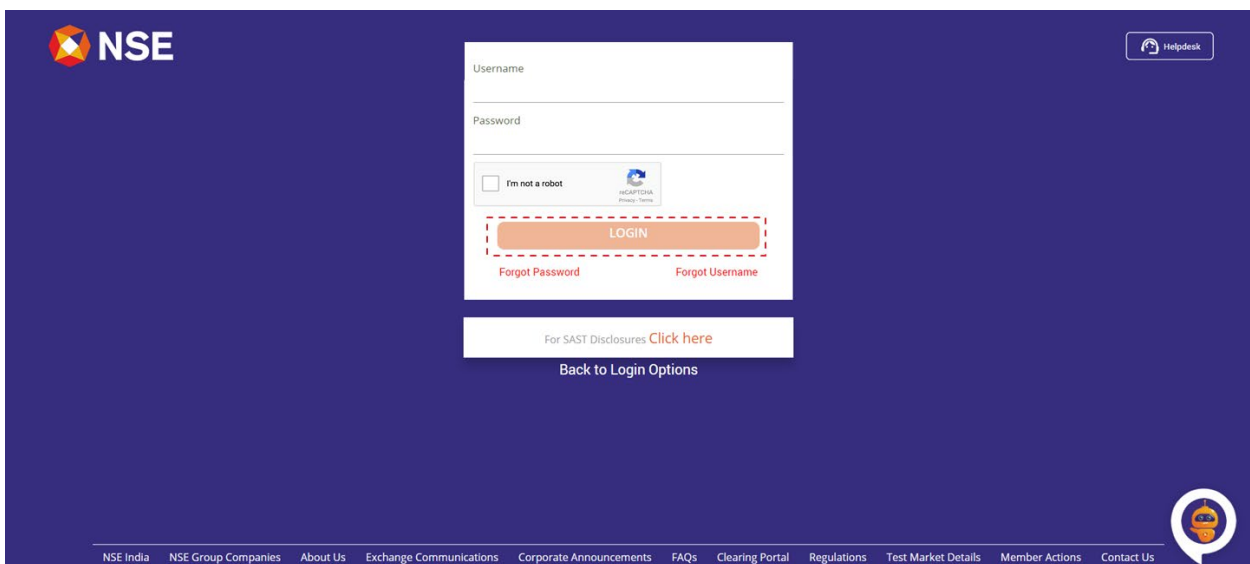
1 Login to the portal

Access NSE Digital Portal (<https://digitalexchange.nseindia.com/nse-frontend-navigation/#/auth>)

1.1 Exchange Portal Login Page

On the login page, enter your username and password, authenticate using reCAPTCHA and click 'Login'.

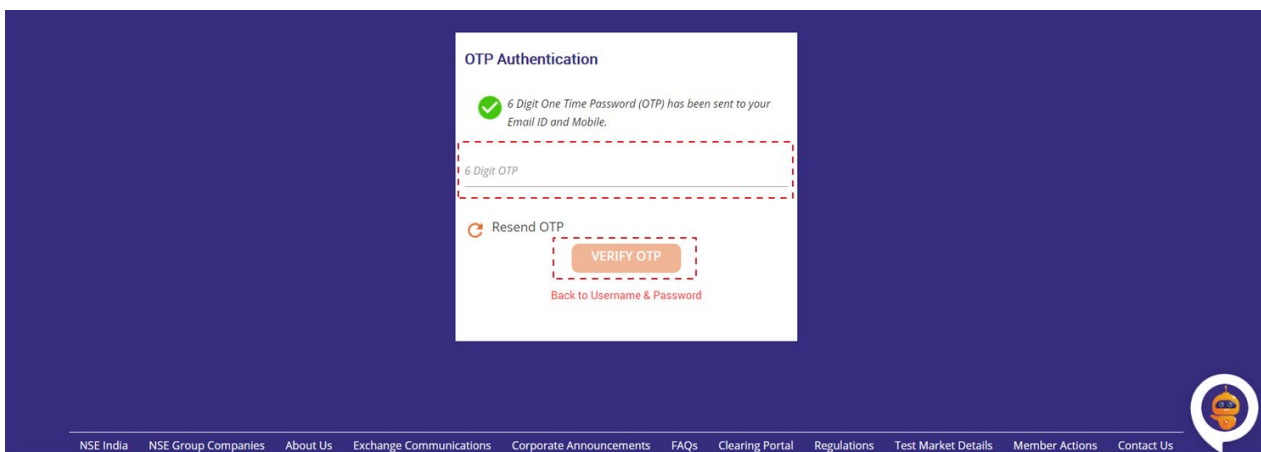
You can also use the Forgot Password/Username facility if required.



The screenshot shows the NSE Digital Portal login page. It features the NSE logo in the top left corner. The main login form includes fields for 'Username' and 'Password', a reCAPTCHA verification step with the text 'I'm not a robot', and a prominent orange 'LOGIN' button. Below the login button are links for 'Forgot Password' and 'Forgot Username'. At the bottom of the form, there is a link for 'SAST Disclosures' and a 'Back to Login Options' button. A 'Helpdesk' icon is located in the top right corner. The footer contains a navigation menu with links: NSE India, NSE Group Companies, About Us, Exchange Communications, Corporate Announcements, FAQs, Clearing Portal, Regulations, Test Market Details, Member Actions, and Contact Us. A chatbot icon is visible in the bottom right corner.

1.2 OTP verification

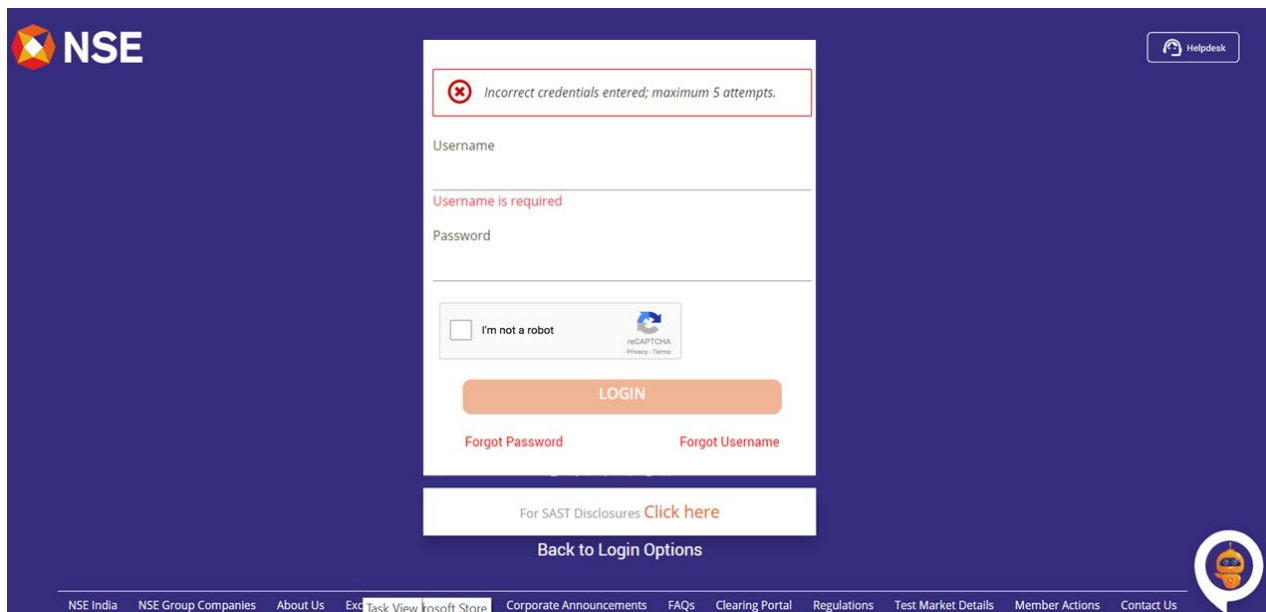
If the login details are correct, you will be redirected to the OTP authentication page. Enter the OTP received on your email address/mobile number and click 'Verify OTP'.



The screenshot shows the NSE OTP Authentication page. It features a green checkmark icon and the text '6 Digit One Time Password (OTP) has been sent to your Email ID and Mobile.' Below this is a text input field labeled '6 Digit OTP'. There is a 'Resend OTP' button with a circular arrow icon. A prominent orange 'VERIFY OTP' button is located below the input field. At the bottom of the form, there is a link for 'Back to Username & Password'. The footer contains the same navigation menu as the login page: NSE India, NSE Group Companies, About Us, Exchange Communications, Corporate Announcements, FAQs, Clearing Portal, Regulations, Test Market Details, Member Actions, and Contact Us. A chatbot icon is visible in the bottom right corner.

1.3 Incorrect Password

If you have entered the incorrect password, system will show an error message on top. Retype the username and password, authenticate using reCAPTCHA, before clicking on 'Login'

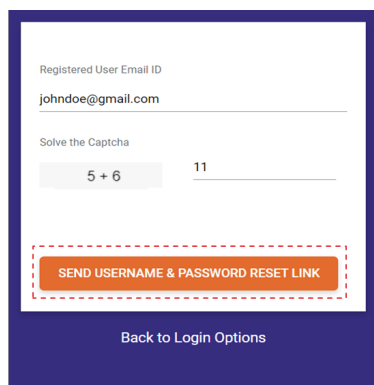


Note:

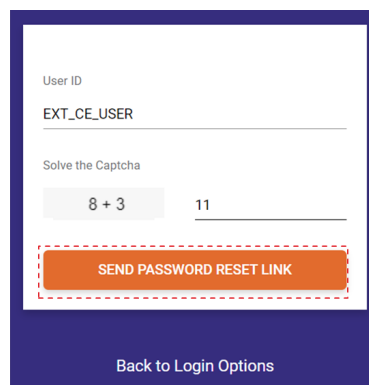
Maximum of 5 attempts are allowed before the username is blocked.

1.4 Forgot username/password

Click 'Forgot Username' or 'Forgot Password' on the Exchange login screen or 'Change/Reset Password' on login screen in case you have forgotten your username/ password.

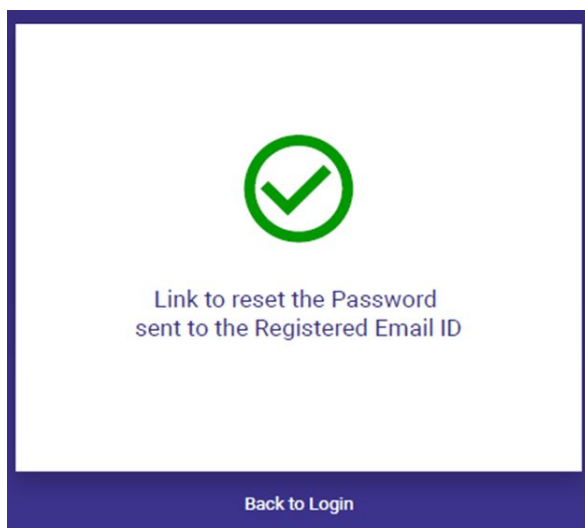


Forgot Username - Enter email ID and captcha. Click Send button.

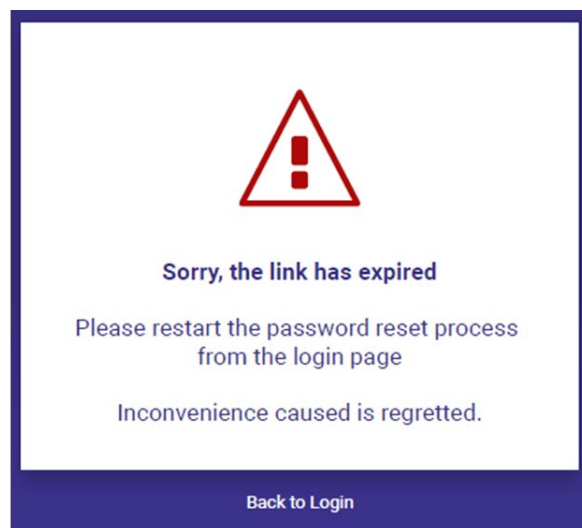


Forgot Password - Enter user ID and captcha. Click Send button.

If email ID or user ID is correct (depending on username/password reset), system will send a reset link to registered email ID. Navigate to your mailbox and action the email.



Reset link sent to registered email ID



In case you try to action the reset link after xx hours, system will display that link as expired. You need to restart the reset process from login page.

On clicking the reset link in the received email, you will be redirected to the 'Reset password' page. Enter the new password and confirm again. Click 'Reset Password'. System will show pop-up confirming password has been reset.



Reset Password

User ID
CLRMEM1

New Password
●●●●●●●●●●

Confirm Password
●●●●●●●●●●

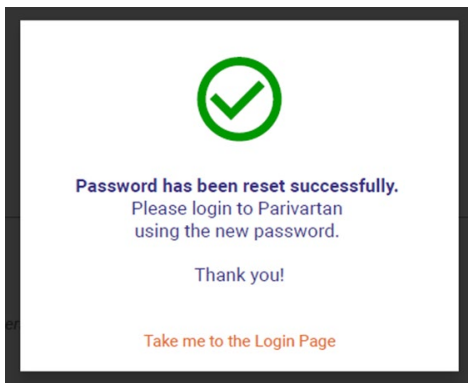
Guidelines for Password

1. Password should be between 12-15 characters
2. Password can contain the below characters

Lowercase: a-z
Uppercase: A-Z
Numeric Character: 0-9
Non-alphanumeric Special characters: @ # \$ % * & /

RESET PASSWORD

Note:
Ensure you follow the password setting guidelines.

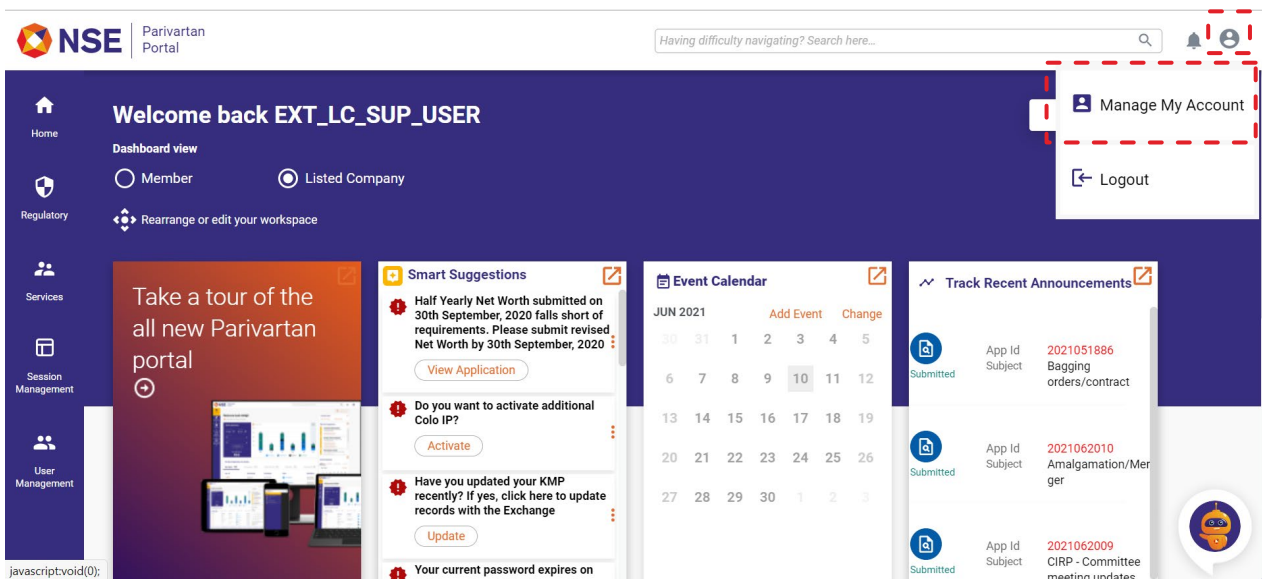
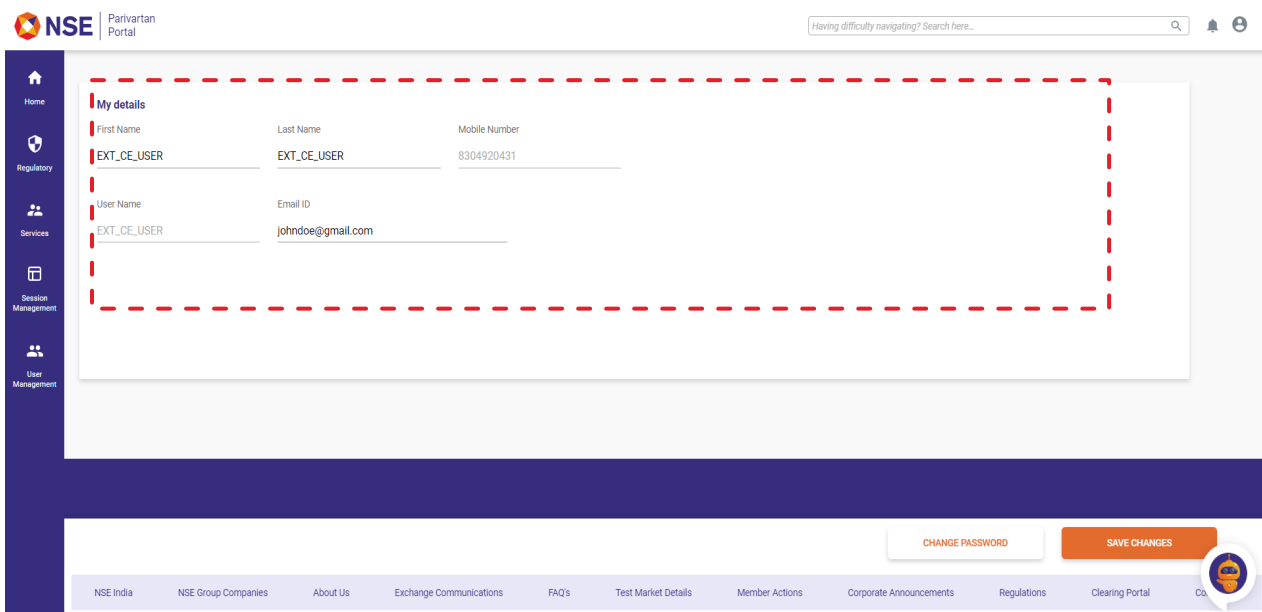


Password reset successfully

2 Manage your account

2.1 Edit Account details

To edit your details, click the face icon on top right. Then click 'Manage account'. Update name, mobile number or email address. Click 'Save changes'.

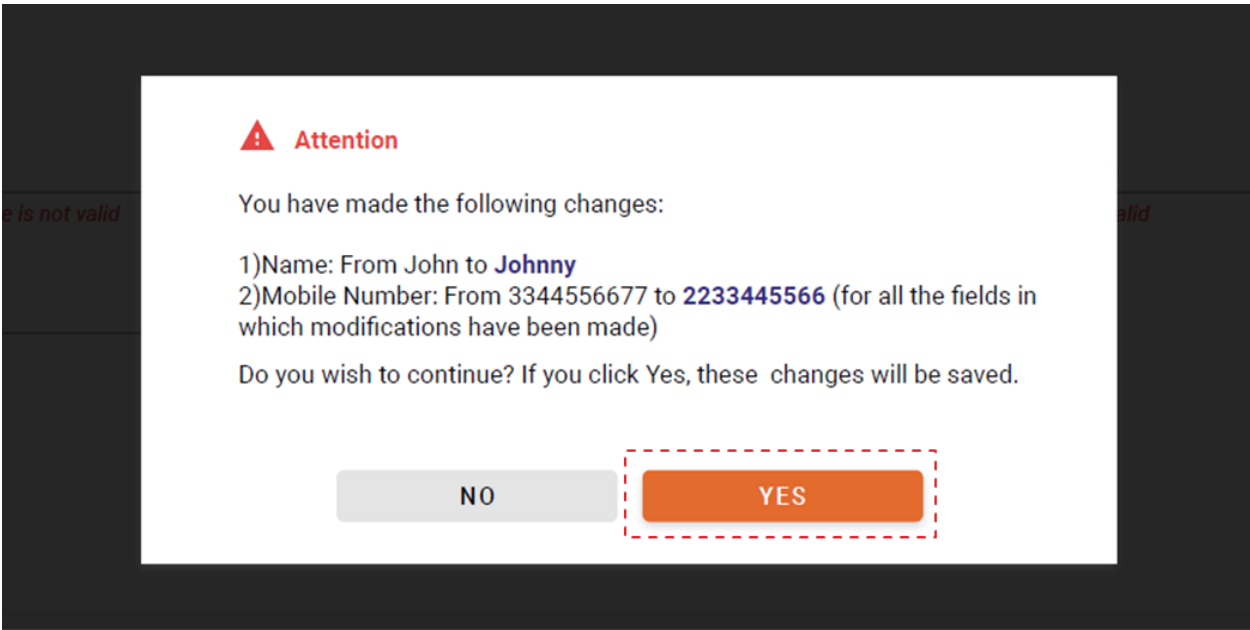
If data entered in any field is invalid, system will show a error message below the field. Else, system will display a pop-up enlisting changes made and asking for confirmation. Click 'Yes' if everything has been captured correctly.

Mobile Number

+91 ▼ 8967346523

✖ Mobile Number is not valid

Data entered in any field is
invalid



A confirmation dialog box with a white background and a dark grey border. At the top left is a red triangle icon with an exclamation mark, followed by the word "Attention" in red. Below this, the text "You have made the following changes:" is displayed. A list of changes follows: "1)Name: From John to **Johnny**" and "2)Mobile Number: From 3344556677 to **2233445566** (for all the fields in which modifications have been made)". Below the list, the text "Do you wish to continue? If you click Yes, these changes will be saved." is shown. At the bottom, there are two buttons: a grey "NO" button and an orange "YES" button. The "YES" button is highlighted with a red dashed border.

Attention

You have made the following changes:

1)Name: From John to **Johnny**

2)Mobile Number: From 3344556677 to **2233445566** (for all the fields in which modifications have been made)

Do you wish to continue? If you click Yes, these changes will be saved.

NO YES

Confirmation screen and list of changes

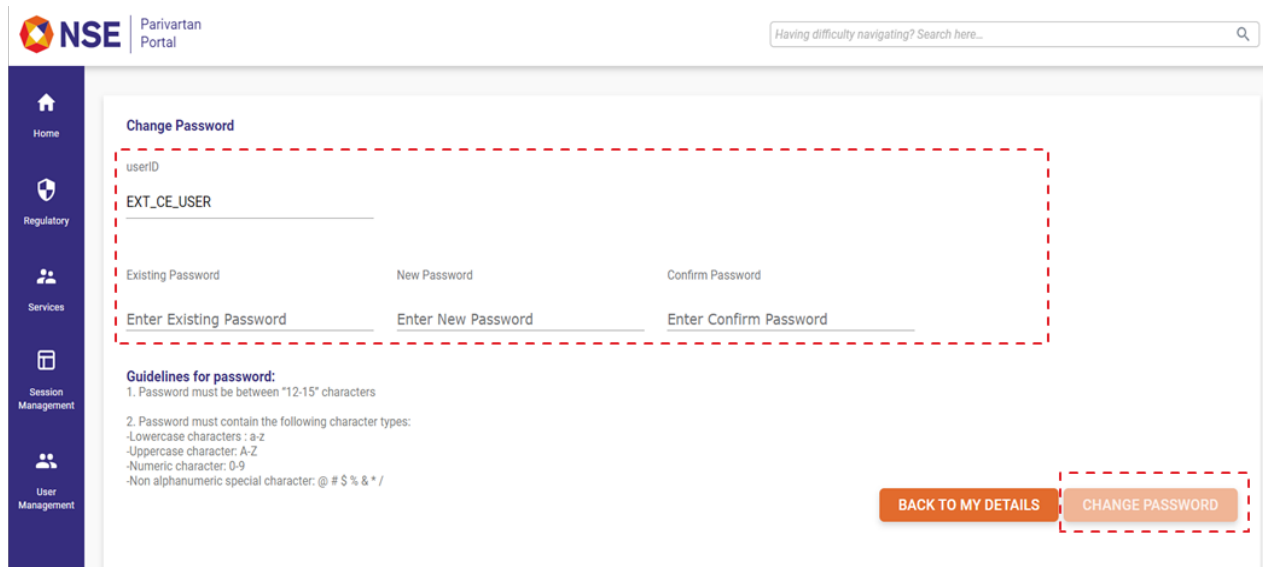
2.2 Change password

In case your password is due for change (password policy duration), system will throw a pop-up informing that it is redirecting you to 'Change password' page. Enter user ID, existing password, new password (twice to confirm) and click 'Change password'.

Your password is older than <password policy time>. Please change your password.

You are being redirected to the change password Page.

Password change due message



Change Password

userID
EXT_CE_USER

Existing Password New Password Confirm Password
Enter Existing Password Enter New Password Enter Confirm Password

Guidelines for password:
 1. Password must be between "12-15" characters
 2. Password must contain the following character types:
 -Lowercase characters : a-z
 -Uppercase character: A-Z
 -Numeric character: 0-9
 -Non alphanumeric special character: @ # \$ % & * /

BACK TO MY DETAILS CHANGE PASSWORD

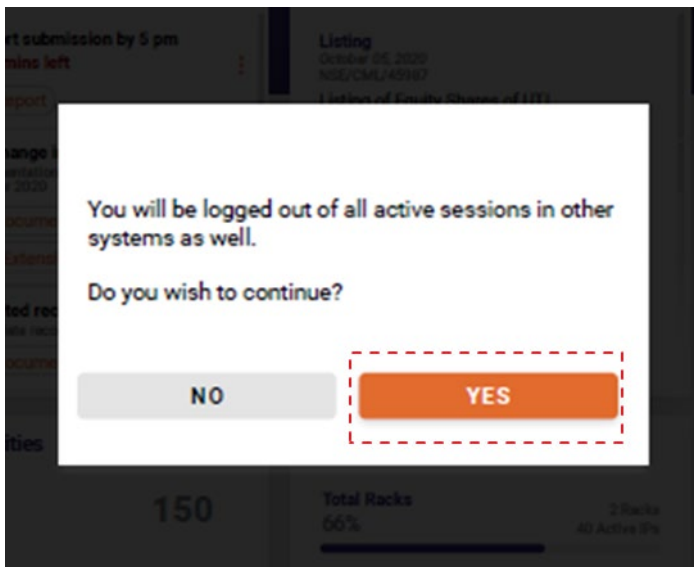
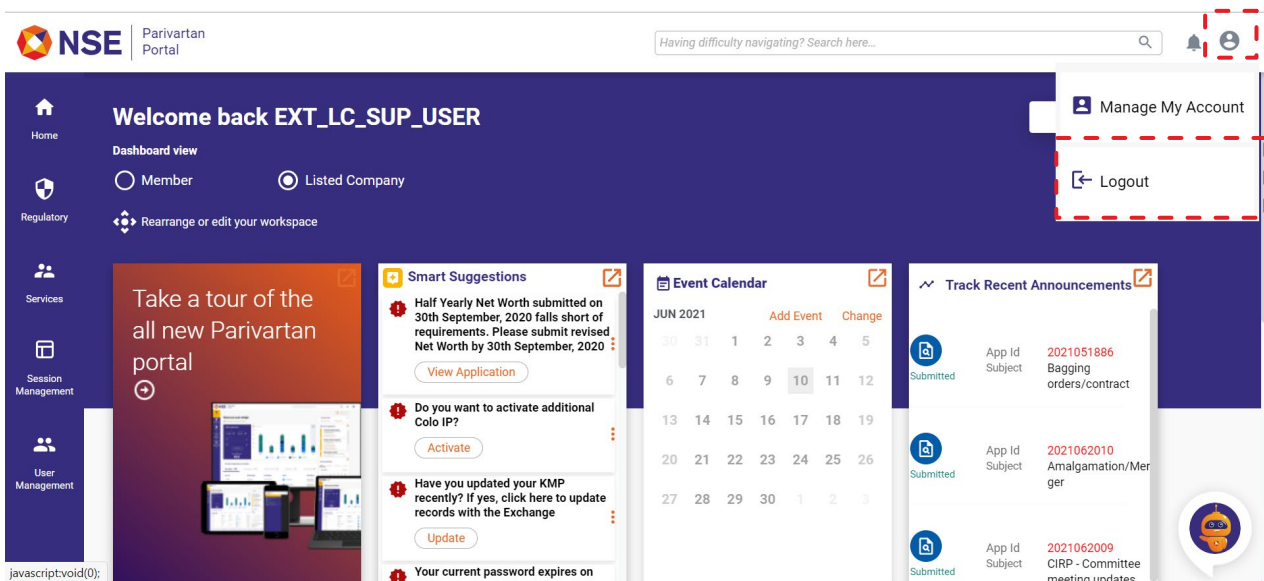
Change password screen

Note:

- Ensure new password adheres to provided guidelines
- If you have entered current password incorrectly for 5 consecutive attempts, your username will be blocked. Please contact your admin in such situation.

2.3 Logout

If you want to logout of your account, click the face icon on top right. Then click 'Logout'. Click on 'Yes' on the pop-up asking for confirmation for logging out of all active sessions.

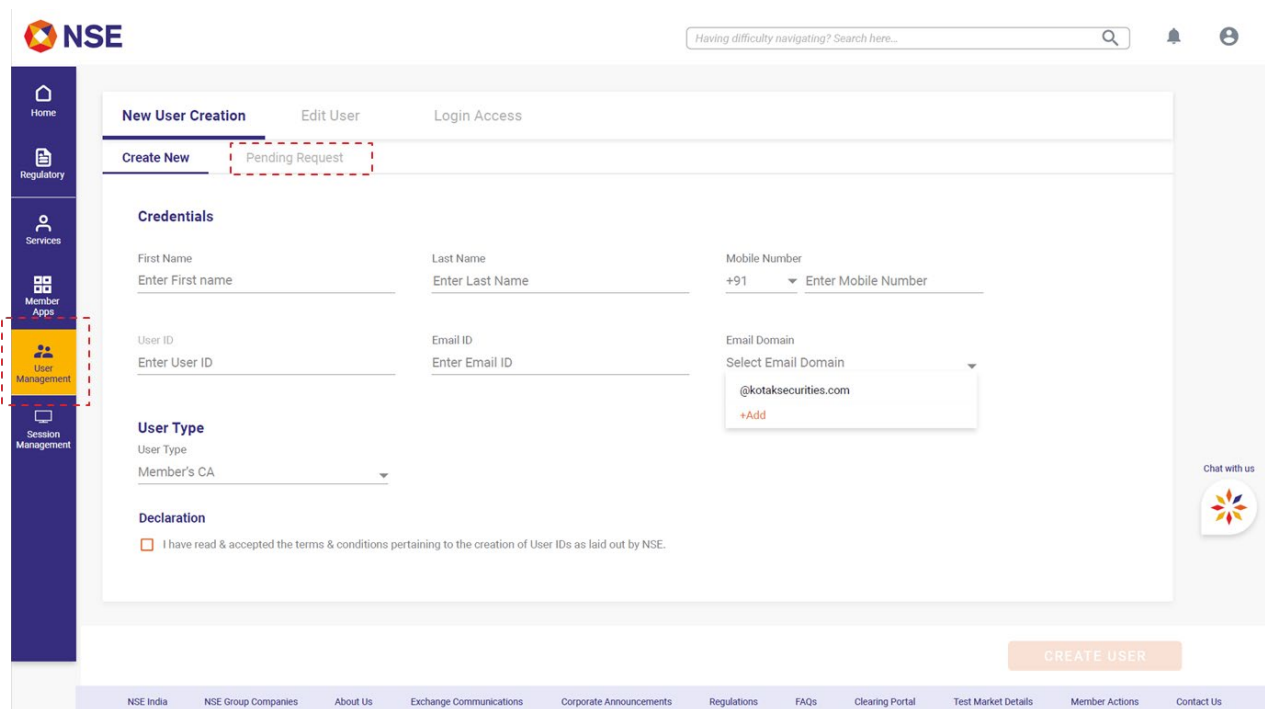


3 User Management

3.1 Create new user (access only to Admin)

3.1.1 Navigate to 'Create New' screen

Click on 'User Management' on left pane. 'New User Creation' screen with 'Create New' tab will open by default.



The screenshot displays the NSE New User Creation interface. The left sidebar contains navigation links: Home, Regulatory, Services, Member Apps, User Management (highlighted), and Session Management. The main content area features three tabs: 'New User Creation', 'Edit User', and 'Login Access'. The 'New User Creation' tab is active, showing two sub-tabs: 'Create New' and 'Pending Request'. The 'Create New' sub-tab is selected, displaying a form with the following sections:

- Credentials:** Includes input fields for First Name, Last Name, Mobile Number (with a dropdown for country code, currently showing +91), User ID, Email ID, and Email Domain (with a dropdown menu showing '@kotaksecurities.com' and an '+Add' button).
- User Type:** Includes a dropdown for 'User Type' and a dropdown for 'Member's CA'.
- Declaration:** Includes a checkbox and text: 'I have read & accepted the terms & conditions pertaining to the creation of User IDs as laid out by NSE.'

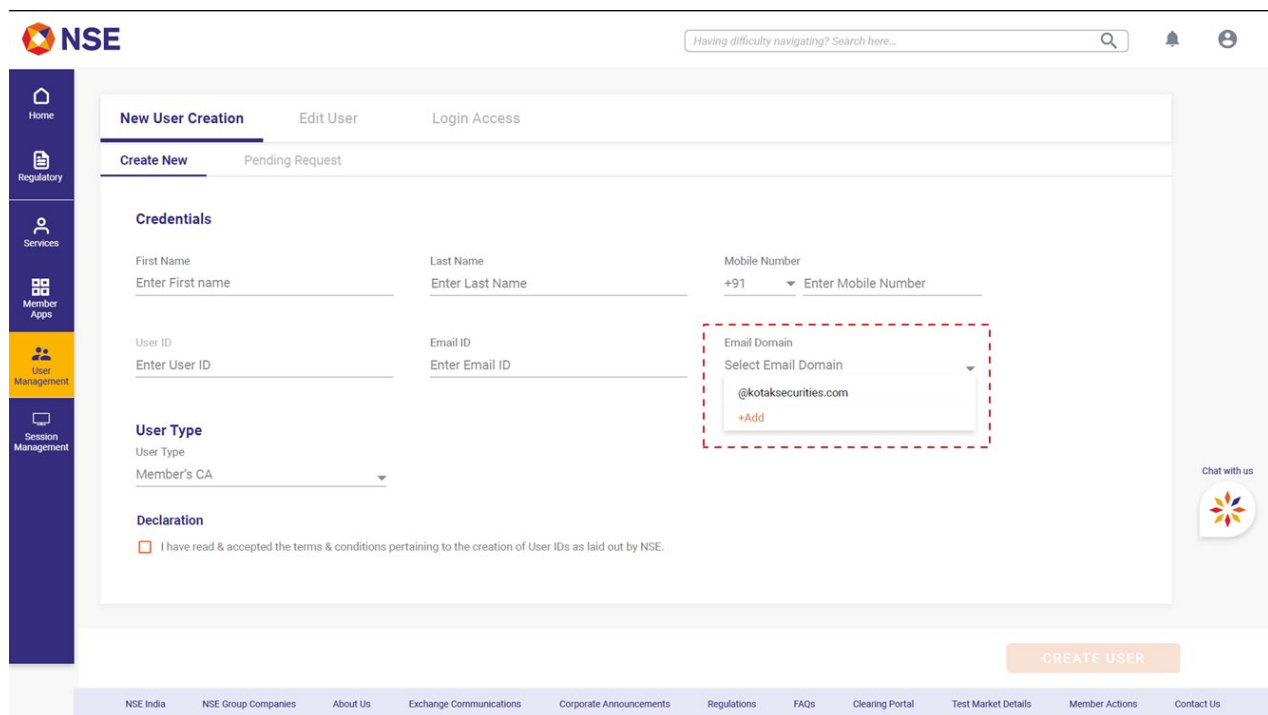
A 'CREATE USER' button is located at the bottom right of the form. The footer contains links: NSE India, NSE Group Companies, About Us, Exchange Communications, Corporate Announcements, Regulations, FAQs, Clearing Portal, Test Market Details, Member Actions, and Contact Us.

Note:

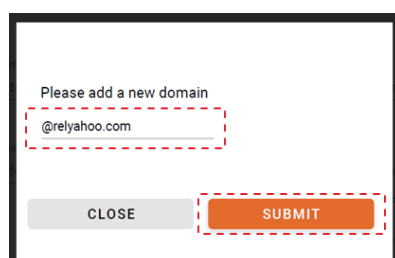
View any pending requests in 'Pending requests' tab

3.1.2 Select domain name from dropdown.

If domain name is not present, click 'Add'.



System will display a pop-up asking for new domain name. Enter a valid domain name and click 'Submit' to add your domain to the dropdown list.

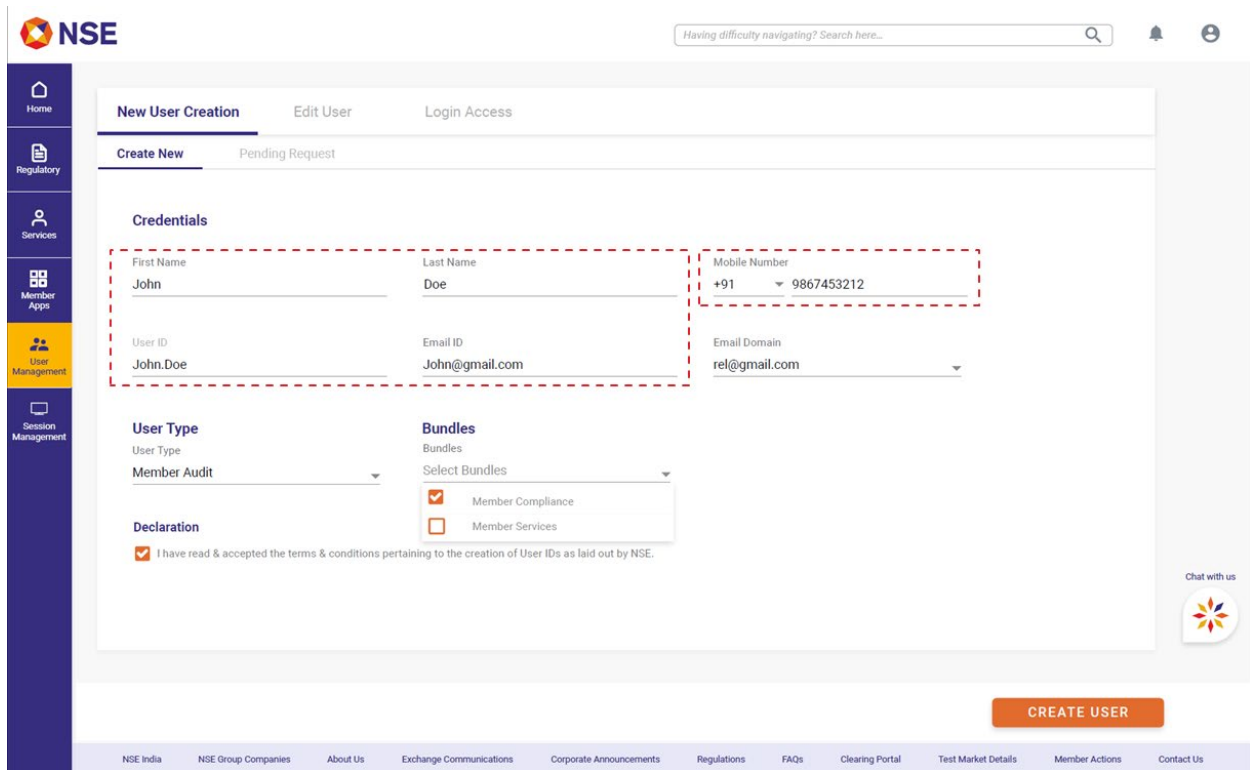


Note:

- Domains selected through dropdown & entered in the Email ID field should match for the user to be created
- If you enter an invalid domain, system will display an error message below the field.

3.1.3 Enter details

Enter credentials such as name, mobile number, user ID, and email ID.



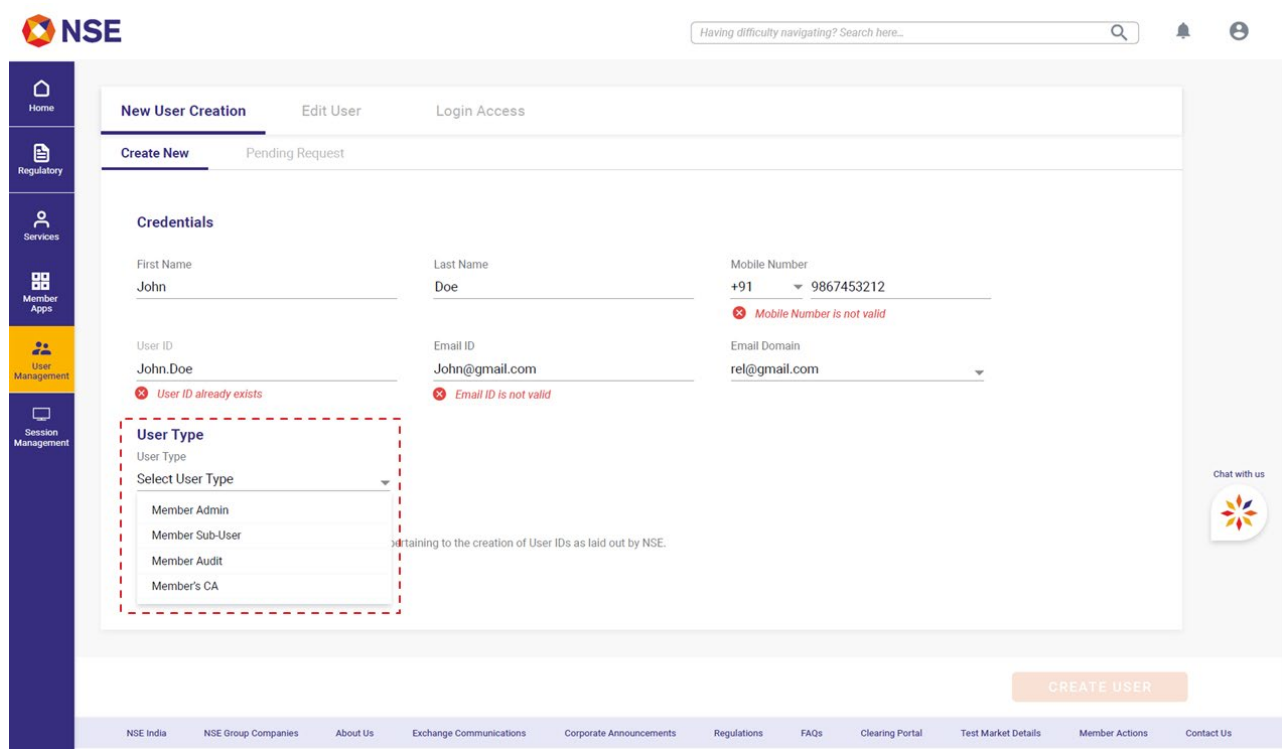
The screenshot shows the 'New User Creation' form in the NSE frontend. The form is divided into several sections: 'Credentials', 'User Type', 'Bundles', and 'Declaration'. The 'Credentials' section is highlighted with a red dashed border and contains fields for First Name (John), Last Name (Doe), Mobile Number (+91 9867453212), User ID (John.Doe), Email ID (John@gmail.com), and Email Domain (rel@gmail.com). The 'User Type' section has a dropdown menu set to 'Member Audit'. The 'Bundles' section has a dropdown menu set to 'Select Bundles' with two options: 'Member Compliance' (checked) and 'Member Services' (unchecked). The 'Declaration' section has a checkbox labeled 'I have read & accepted the terms & conditions pertaining to the creation of User IDs as laid out by NSE.' which is checked. A 'CREATE USER' button is located at the bottom right of the form. The footer of the page contains links to NSE India, NSE Group Companies, About Us, Exchange Communications, Corporate Announcements, Regulations, FAQs, Clearing Portal, Test Market Details, Member Actions, and Contact Us.

Note:

- Criteria for user ID:
 - 4-32 alphanumeric char.
 - '@', '_' & '.' are allowed
 - Cannot contain common nouns like 'admin', 'superuser', etc.
- System will display error message below any field which does not the validation criteria.
- If user ID, email ID, mobile number matches any already existing record, system will display an error message.

3.1.4 Select User Type

If there are any validation errors, system will display corresponding error messages below the fields. Solve those errors. Click the 'User type' dropdown to select type of user.



The screenshot shows the 'New User Creation' form in the NSE frontend. The form has tabs for 'New User Creation', 'Edit User', and 'Login Access'. Under 'New User Creation', there are sub-tabs for 'Create New' and 'Pending Request'. The 'Create New' tab is active, showing a 'Credentials' section with the following fields and errors:

- First Name:** John
- Last Name:** Doe
- Mobile Number:** +91 9867453212 (Error: Mobile Number is not valid)
- User ID:** John.Doe (Error: User ID already exists)
- Email ID:** John@gmail.com (Error: Email ID is not valid)
- Email Domain:** rel@gmail.com

The 'User Type' dropdown menu is open, showing the following options:

- Member Admin
- Member Sub-User
- Member Audit
- Member's CA

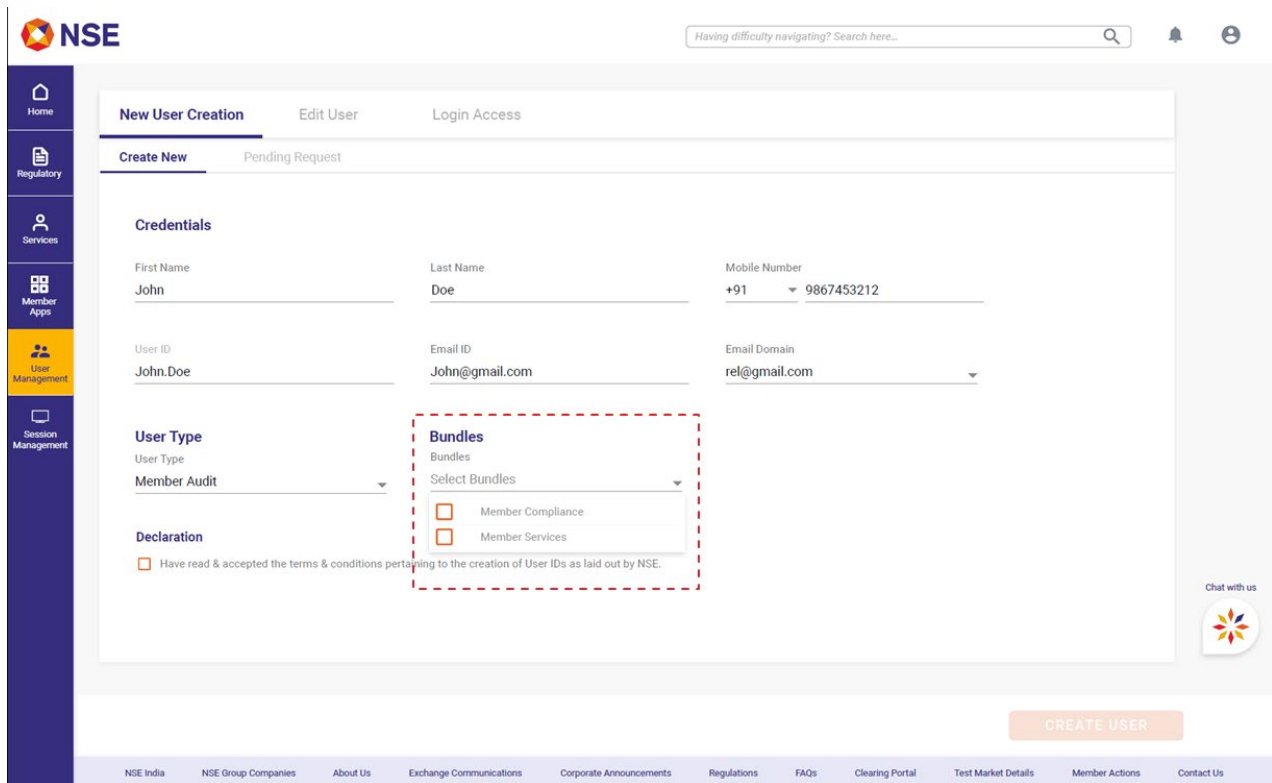
A red dashed box highlights the 'User Type' dropdown and the 'Email ID' field. A note at the bottom of the form states: 'Maintaining to the creation of User IDs as laid out by NSE.' The 'CREATE USER' button is at the bottom right of the form.

Note:

- There can only be 5 admins or superusers for a Member.
- If you select user type as 'Admin' and the number is exceeding 5, then system won't allow user creation.
- If type is 'Member CA', user must enter CA entity, CA membership no. and CA qualification.

3.1.5 Choose Bundles

As soon as you select the user type, the 'Bundles' dropdown will appear. Click on the dropdown and select bundles to be assigned to the user.

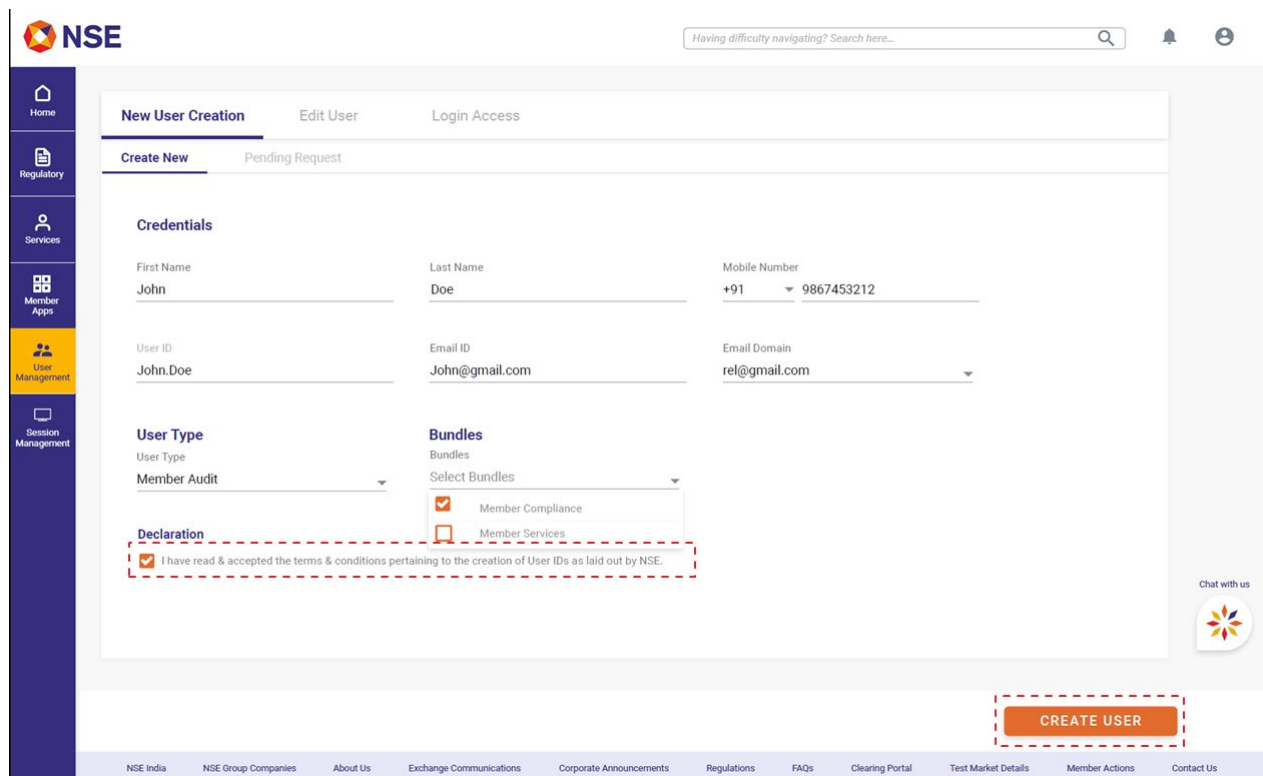


Note:

- Bundles dropdown is auto-populated basis the user type selection.
- For some user types, bundles are not applicable.

3.1.6 Sign Declaration & Create User

Once bundles are selected, tick mark the declaration checkbox to agree to the terms and conditions. Click 'Create User' button.



NSE Having difficulty navigating? Search here...

New User Creation Edit User Login Access

Create New Pending Request

Credentials

First Name: John Last Name: Doe Mobile Number: +91 9867453212

User ID: John.Doe Email ID: John@gmail.com Email Domain: rel@gmail.com

User Type User Type: Member Audit

Bundles Bundles: Select Bundles

☒ Member Compliance ☐ Member Services

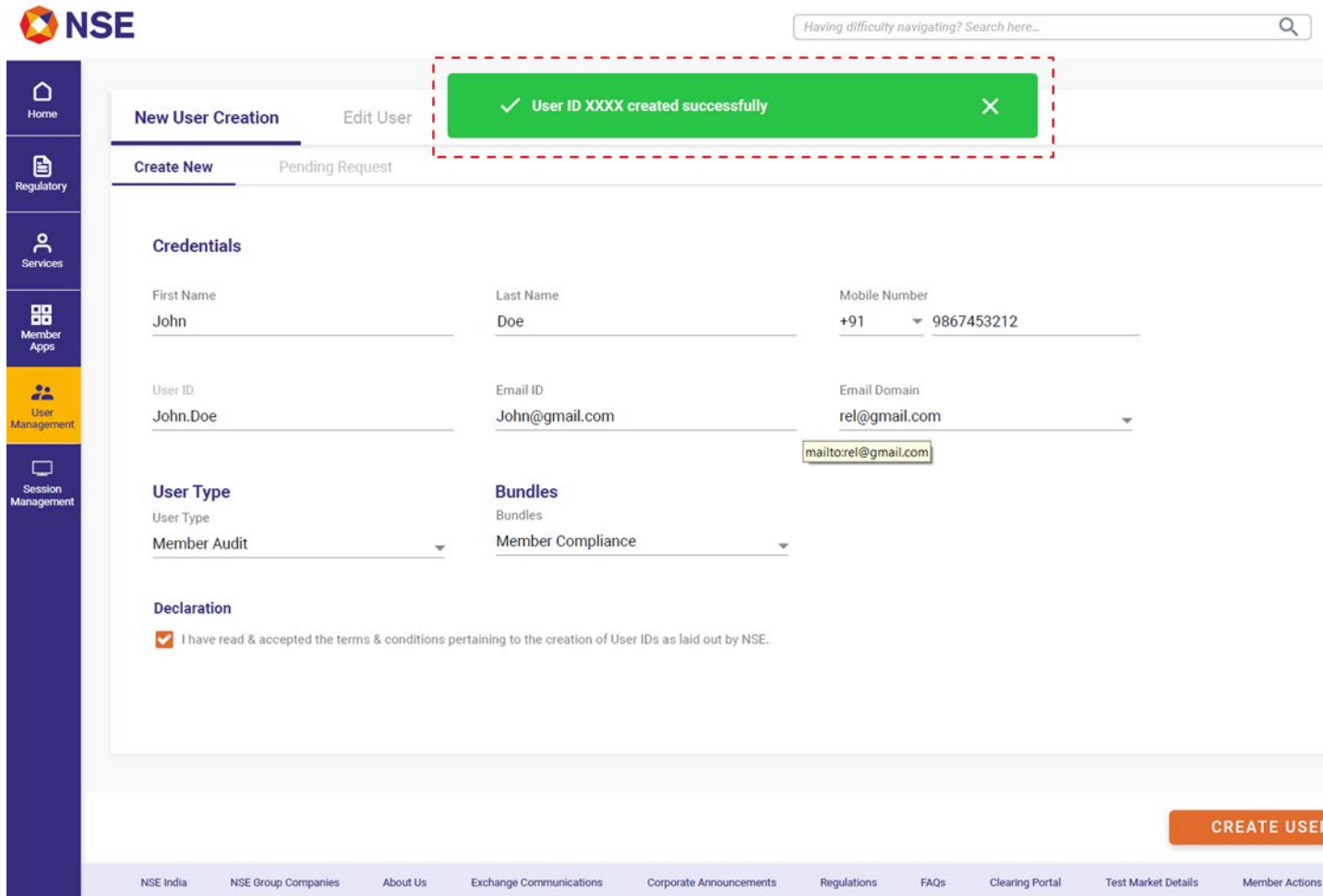
Declaration ☒ I have read & accepted the terms & conditions pertaining to the creation of User IDs as laid out by NSE.

CREATE USER

Chat with us

NSE India NSE Group Companies About Us Exchange Communications Corporate Announcements Regulations FAQs Clearing Portal Test Market Details Member Actions Contact Us

System will display a success message on top in green box. New user is created successfully. Instructions to set password and setup 2-factor authorization are sent to the user's email ID.



The screenshot shows the NSE New User Creation interface. A green success message box at the top states: "✓ User ID XXXX created successfully". The form includes fields for First Name (John), Last Name (Doe), Mobile Number (+91 9867453212), User ID (John.Doe), Email ID (John@gmail.com), and Email Domain (rel@gmail.com). There are also sections for User Type (Member Audit), Bundles (Member Compliance), and a Declaration checkbox which is checked.

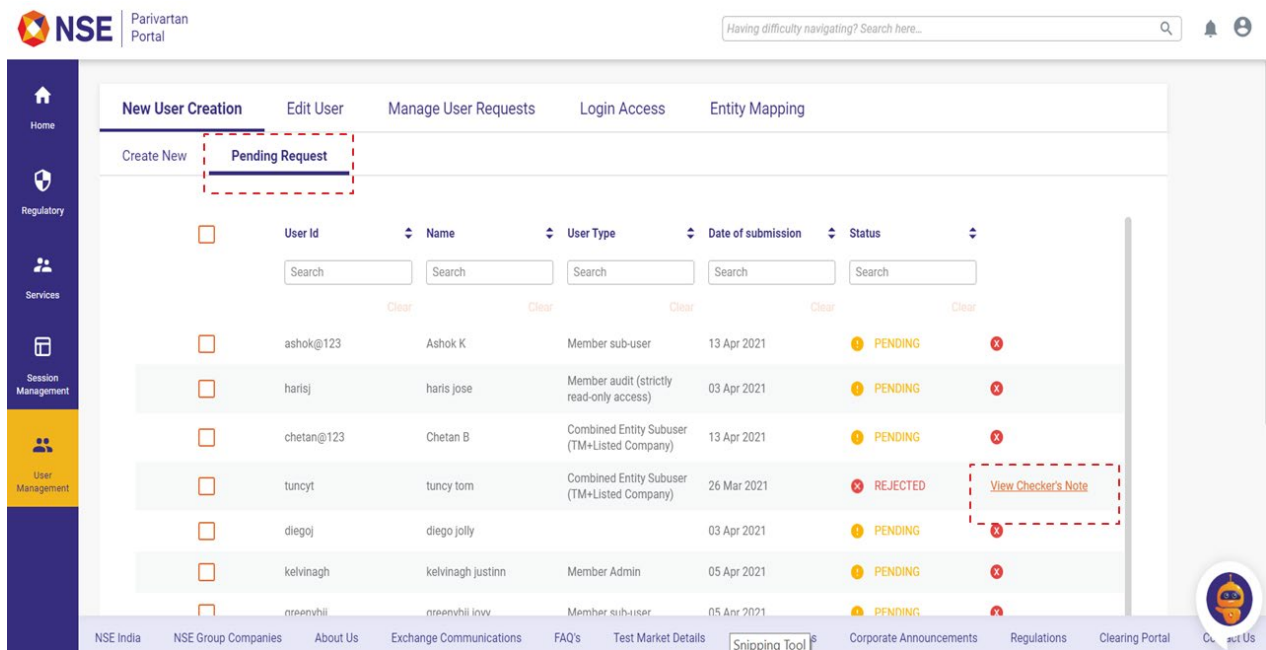
Note:

- Maximum 50 users can be created for an entity.
- If this limit has been reached, request will be sent to NSE for approval.

3.2 Pending requests

3.2.1 Check Status

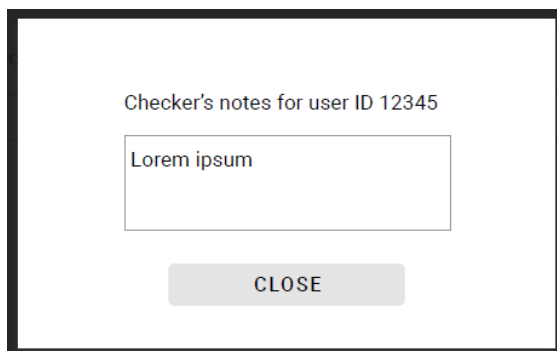
Click 'Pending request' on the menu bar to view pending requests. Click 'View checker's notes' and system will display a pop-up with comments from checker as to why the request has been rejected.



The screenshot shows the NSE Parivartan Portal interface. The 'Pending Request' tab is selected. The table below lists users and their request status.

User Id	Name	User Type	Date of submission	Status
ashok@123	Ashok K	Member sub-user	13 Apr 2021	PENDING
harisj	haris jose	Member audit (strictly read-only access)	03 Apr 2021	PENDING
chetan@123	Chetan B	Combined Entity Subuser (TM+Listed Company)	13 Apr 2021	PENDING
tuncyt	tuncy tom	Combined Entity Subuser (TM+Listed Company)	26 Mar 2021	REJECTED
diegoj	diego jolly		03 Apr 2021	PENDING
kelvinagh	kelvinagh justinn	Member Admin	05 Apr 2021	PENDING
greenhill	greenhill low	Member sub-user	05 Apr 2021	PENDING

A 'View Checker's Note' link is visible next to the 'REJECTED' status for the user 'tuncy tom'.



The screenshot shows a pop-up window titled 'Checker's notes for user ID 12345'. It contains a text area with the placeholder text 'Lorem ipsum' and a 'CLOSE' button.

Checker notes for request that has been rejected

3.2.2 Withdraw Request

Click on cross icon next to 'Status' column for withdrawing any pending request. System will throw a pop-up to confirm withdrawal. Click 'Yes'. System will then show a withdrawal success message on top.

User Id	Name	User Type	Date of submission	Status	
Search	Search	Search	Search	Search	
Clear	Clear	Clear	Clear	Clear	Clear
ashok@123	Ashok K	Member sub-user	13 Apr 2021	PENDING	
harisj	haris jose	Member audit (strictly read-only access)	03 Apr 2021	PENDING	
chetan@123	Chetan B	Combined Entity Subuser (TM+Listed Company)	13 Apr 2021	PENDING	
tuncyt	tuncy tom	Combined Entity Subuser (TM+Listed Company)	26 Mar 2021	REJECTED	View Checker's Note
diegoj	diego jolly		03 Apr 2021	PENDING	
kelvinagh	kelvinagh justinn	Member Admin	05 Apr 2021	PENDING	
greenvhii	greenvhii inw	Member sub-user	05 Apr 2021	PENDING	

Are you sure you want to withdraw your request?

NO
YES

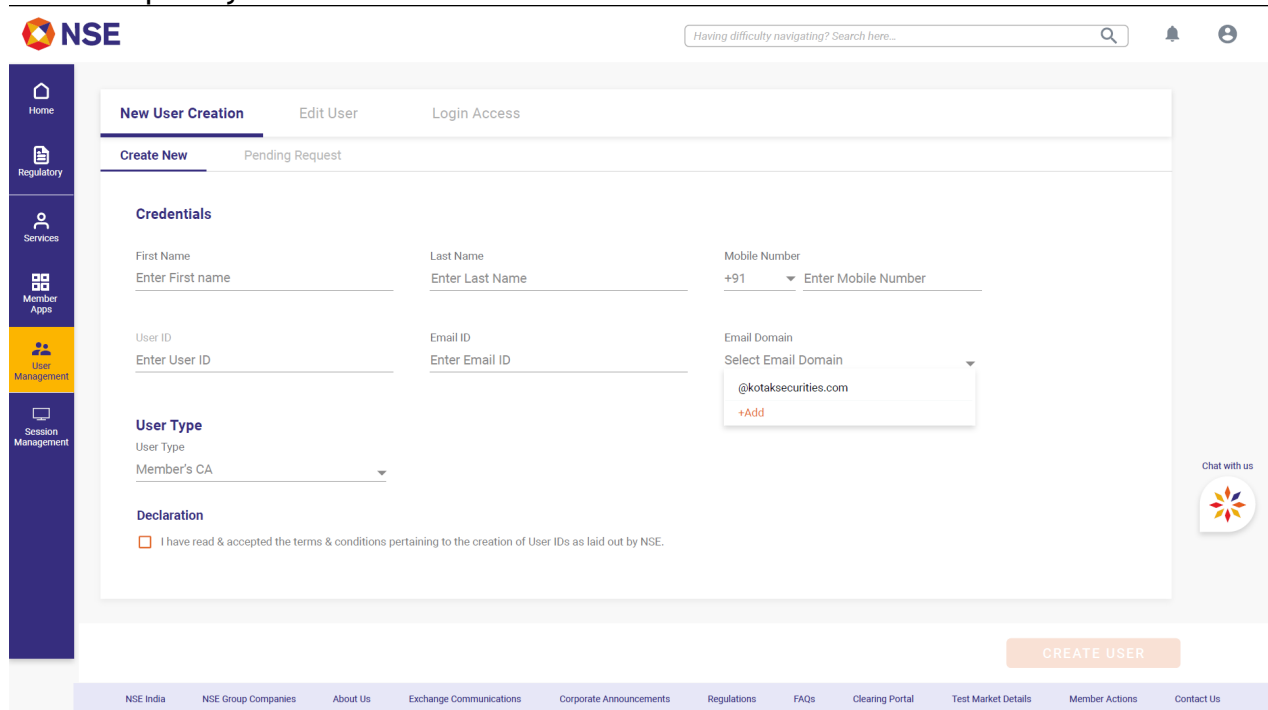
Request withdrawn successfully.
 ×

Request successfully withdrawn
message on top

3.3 Modify user access (access only to Admin)

3.3.1 Navigate to 'Edit user; screen

Click on 'User Management' on left pane. 'New User Creation' screen with 'Create New' tab will open by default.

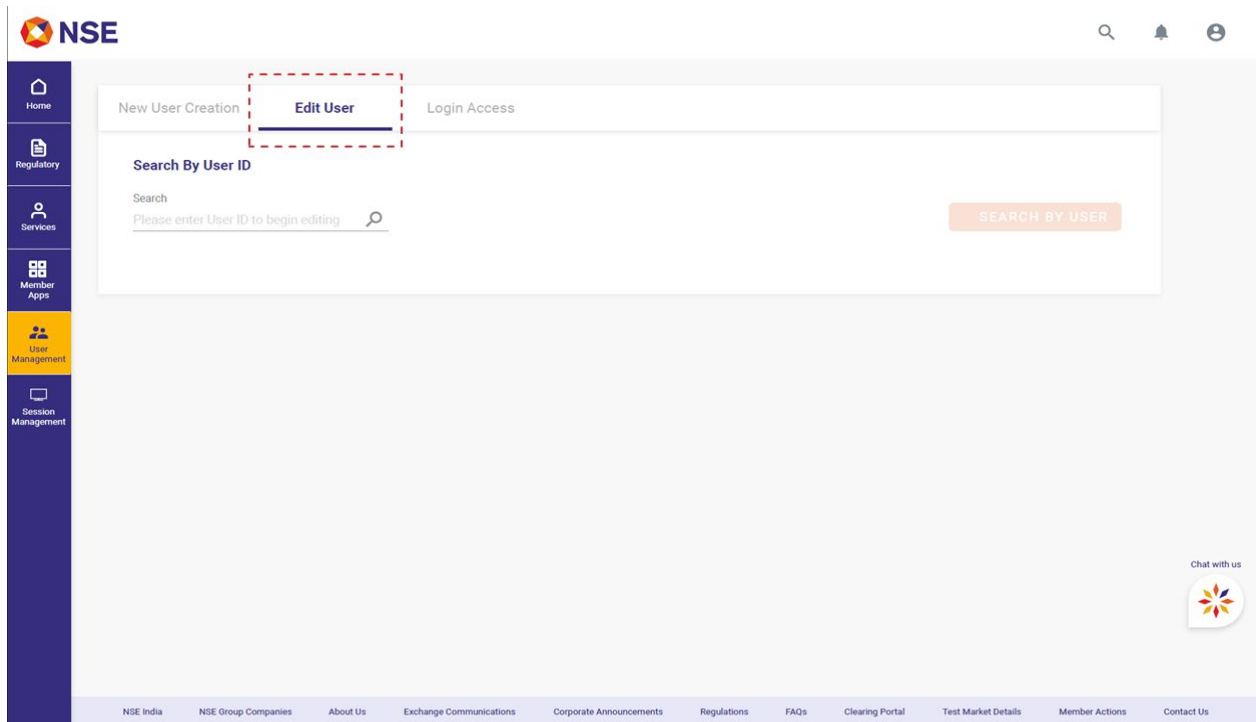


The screenshot displays the NSE New User Creation interface. The top navigation bar includes the NSE logo, a search bar with the placeholder text "Having difficulty navigating? Search here...", and notification and user icons. The left sidebar contains a vertical menu with icons for Home, Regulatory, Services, Member Apps, User Management (highlighted in orange), and Session Management. The main content area is titled "New User Creation" and features three tabs: "New User Creation", "Edit User", and "Login Access". Under the "New User Creation" tab, there are two sub-tabs: "Create New" (active) and "Pending Request". The "Create New" sub-tab contains the following sections:

- Credentials:**
 - First Name: Enter First name
 - Last Name: Enter Last Name
 - Mobile Number: +91 (dropdown) Enter Mobile Number
 - User ID: Enter User ID
 - Email ID: Enter Email ID
 - Email Domain: Select Email Domain (dropdown menu showing "@kotaksecurities.com" and "+Add")
- User Type:**
 - User Type: Member's CA (dropdown)
- Declaration:**
 - ☐ I have read & accepted the terms & conditions pertaining to the creation of User IDs as laid out by NSE.

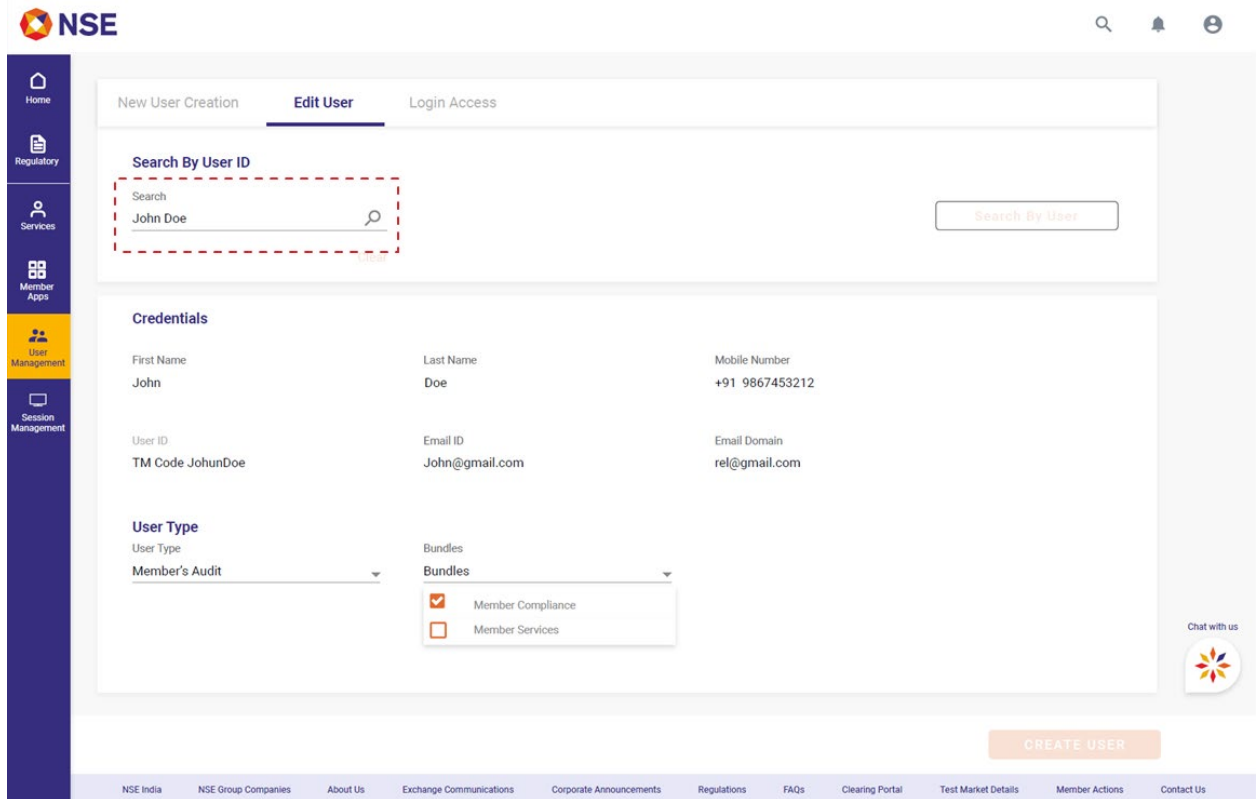
A "CREATE USER" button is located at the bottom right of the form. The footer contains a horizontal menu with links: NSE India, NSE Group Companies, About Us, Exchange Communications, Corporate Announcements, Regulations, FAQs, Clearing Portal, Test Market Details, Member Actions, and Contact Us.

Click 'Edit User' on the top horizontal bar to modify access rights for a user.



3.3.2 Search User ID

Enter the User ID of the user to be modified in the search box. Click 'Search by user'. Existing details of user will be displayed below. If there is any error in user ID, system will display error message below the user ID field.



NSE Search Notifications User

Home Regulatory Services Member Apps **User Management** Session Management

New User Creation **Edit User** Login Access

Search By User ID

Search
John Doe Search By User

Credentials

First Name John	Last Name Doe	Mobile Number +91 9867453212
User ID TM Code JohunDoe	Email ID John@gmail.com	Email Domain rel@gmail.com

User Type

User Type
Member's Audit

Bundles
Bundles

- ☒ Member Compliance
- ☐ Member Services

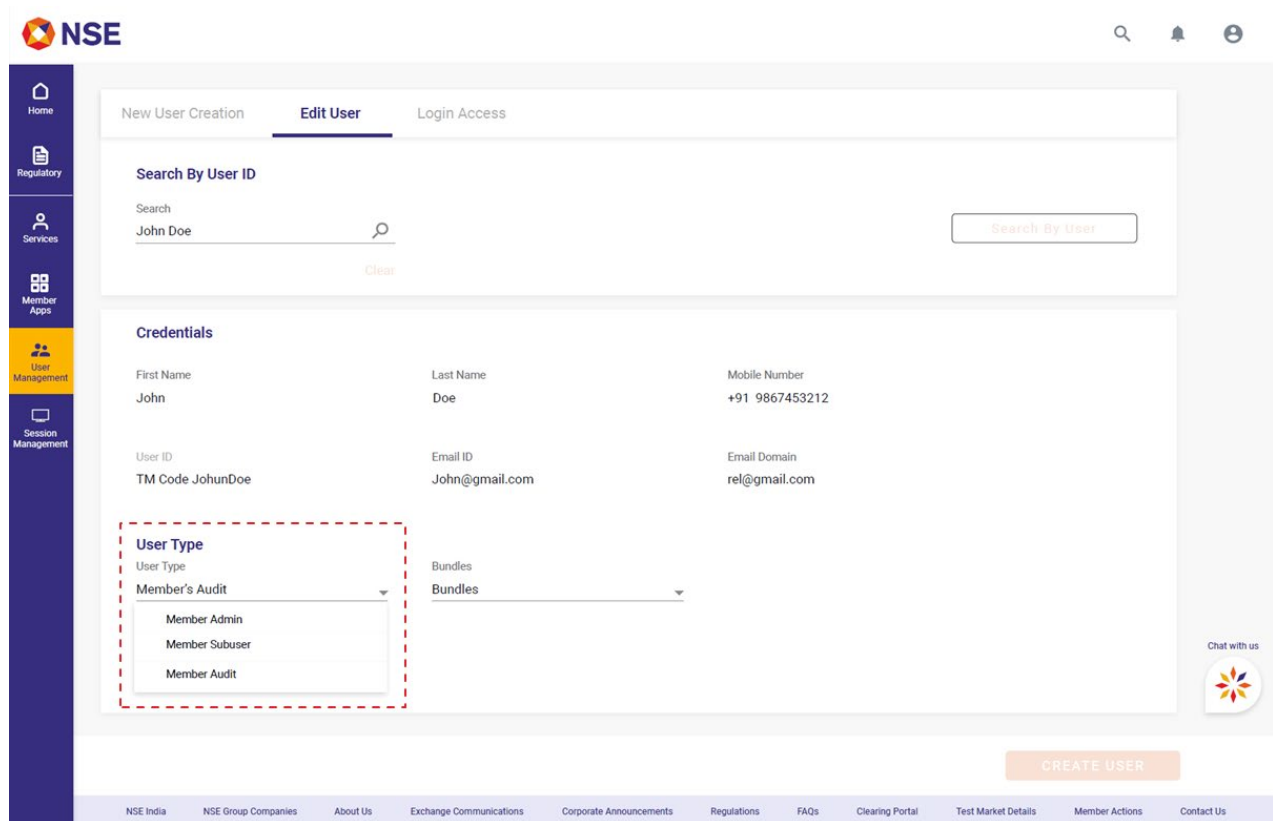
Chat with us

CREATE USER

NSE India NSE Group Companies About Us Exchange Communications Corporate Announcements Regulations FAQs Clearing Portal Test Market Details Member Actions Contact Us

3.3.3 Change User Type or Bundle access

Choose new user type from the dropdown (if needed).



NSE

Home Regulatory Services Member Apps **User Management** Session Management

New User Creation **Edit User** Login Access

Search By User ID

Search
John Doe

Credentials

First Name John	Last Name Doe	Mobile Number +91 9867453212
User ID TM Code JohunDoe	Email ID John@gmail.com	Email Domain rel@gmail.com

User Type

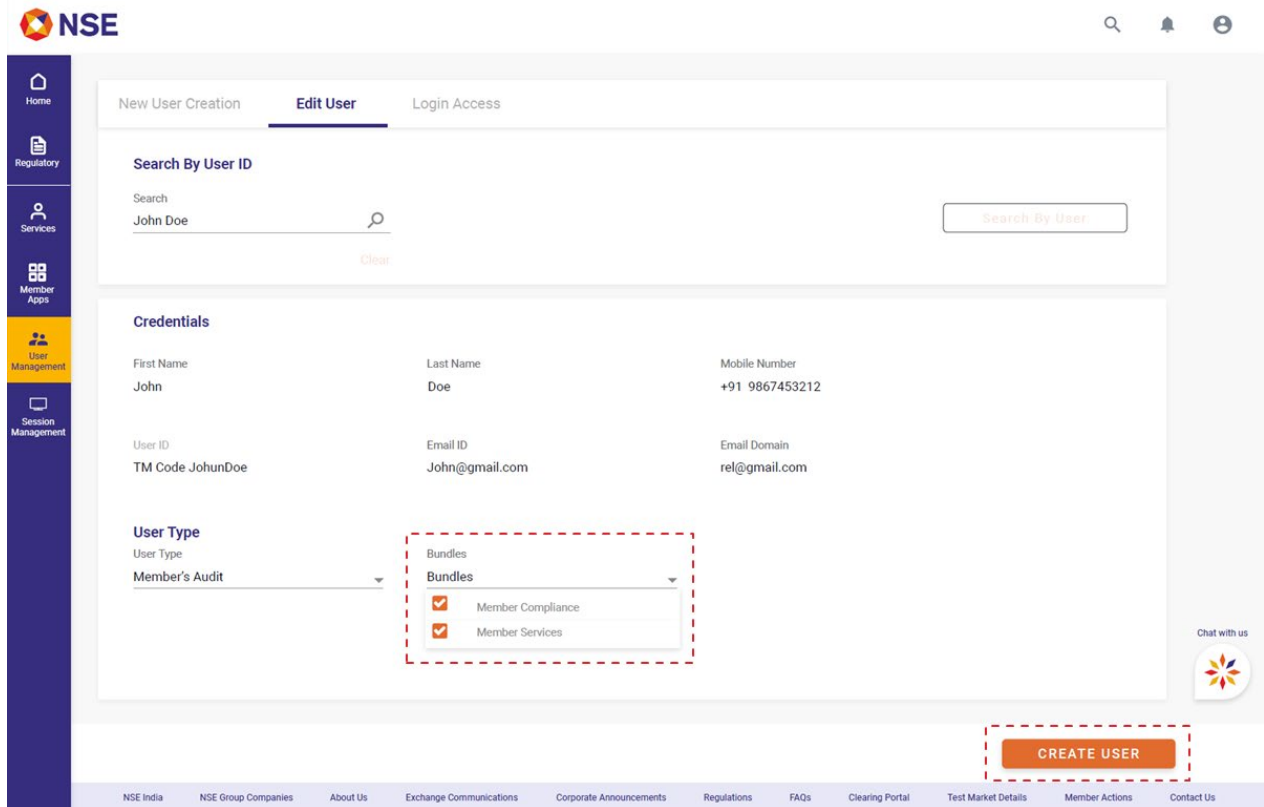
User Type
Member's Audit ▼

- Member Admin
- Member Subuser
- Member Audit

Bundles
Bundles ▼

NSE India NSE Group Companies About Us Exchange Communications Corporate Announcements Regulations FAQs Clearing Portal Test Market Details Member Actions Contact Us

Select Bundles to be assigned to the user. This can be done with/ without changing the User Type. If User Type is modified, then bundles need to be selected afresh. Click 'Create User'.



NSE

Home Regulatory Services Member Apps **User Management** Session Management

New User Creation **Edit User** Login Access

Search By User ID

Search
John Doe

Clear

Credentials

First Name John	Last Name Doe	Mobile Number +91 9867453212
User ID TM Code JohnDoe	Email ID John@gmail.com	Email Domain rel@gmail.com

User Type
User Type
Member's Audit

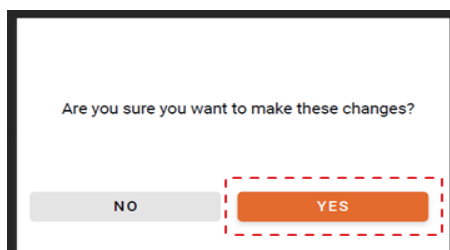
Bundles
Bundles

- ☒ Member Compliance
- ☒ Member Services

CREATE USER

NSE India NSE Group Companies About Us Exchange Communications Corporate Announcements Regulations FAQs Clearing Portal Test Market Details Member Actions Contact Us

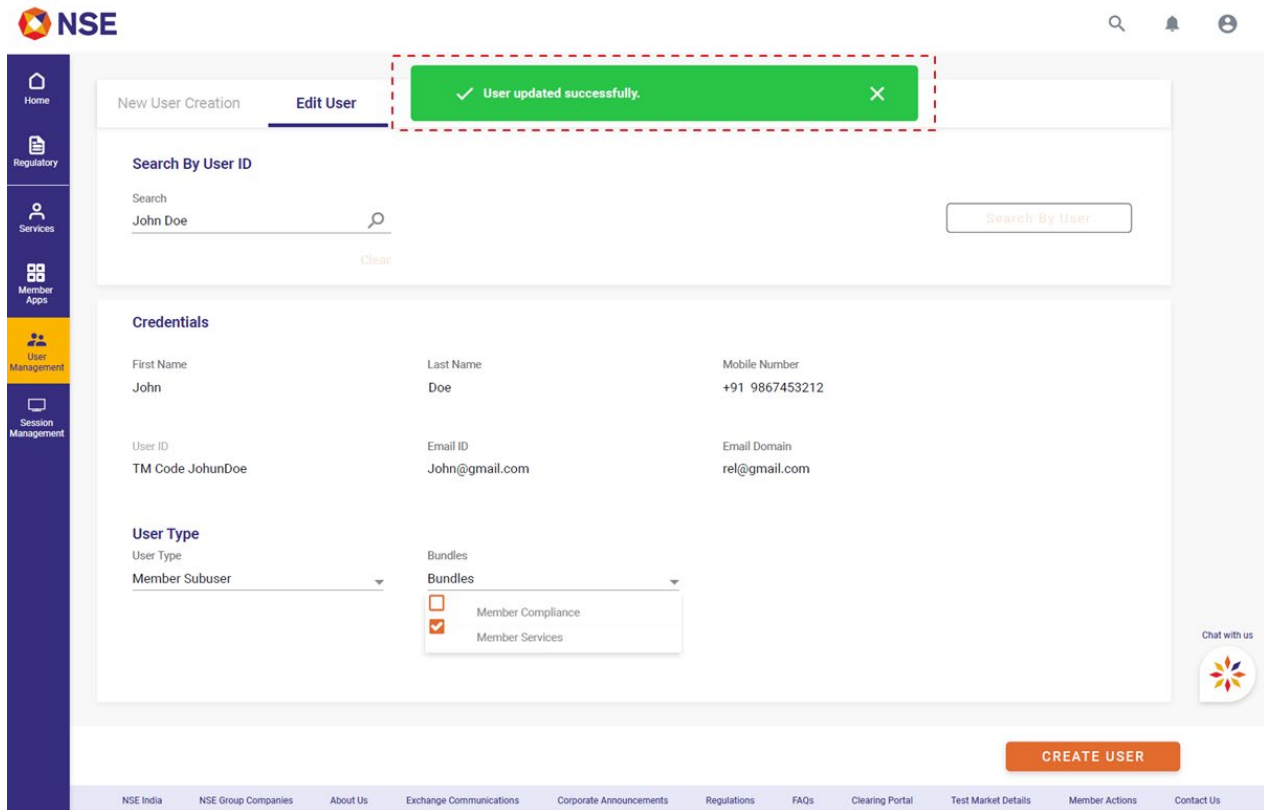
On clicking 'Create User', system will display pop-up to confirm changes. Click 'Yes'.



Are you sure you want to make these changes?

NO YES

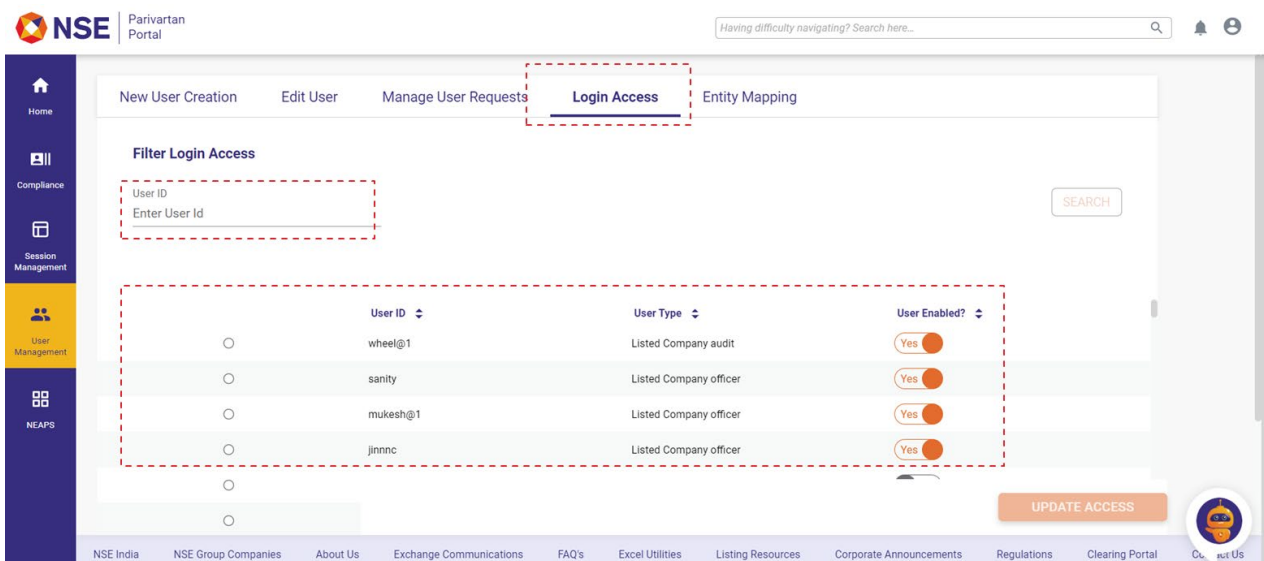
System will display a success message on top in green box stating that changes to user's access rights have been updated successfully.



The screenshot displays the NSE User Management interface. At the top, a green success message box states "User updated successfully." with a close button. The interface is divided into a sidebar with navigation options (Home, Regulatory, Services, Member Apps, User Management, Session Management) and a main content area. The main content area has tabs for "New User Creation" and "Edit User". Under "Edit User", there is a "Search By User ID" section with a search input containing "John Doe" and a "Search By User" button. Below this is a "Credentials" section with fields for First Name (John), Last Name (Doe), Mobile Number (+91 9867453212), User ID (TM Code JohunDoe), Email ID (John@gmail.com), and Email Domain (rel@gmail.com). The "User Type" section shows "Member Subuser" selected. A "Bundles" dropdown menu is open, showing "Member Compliance" and "Member Services" with checkboxes. A "CREATE USER" button is located at the bottom right. The footer contains various links including NSE India, NSE Group Companies, About Us, Exchange Communications, Corporate Announcements, Regulations, FAQs, Clearing Portal, Test Market Details, Member Actions, and Contact Us.

3.3.4 Activate/deactivate user login

Click 'Login access' on the top horizontal bar to activate or deactivate users' login. Search user ID in search box and click 'Search' to modify login access for specific user. You can view user status in the user list given below.



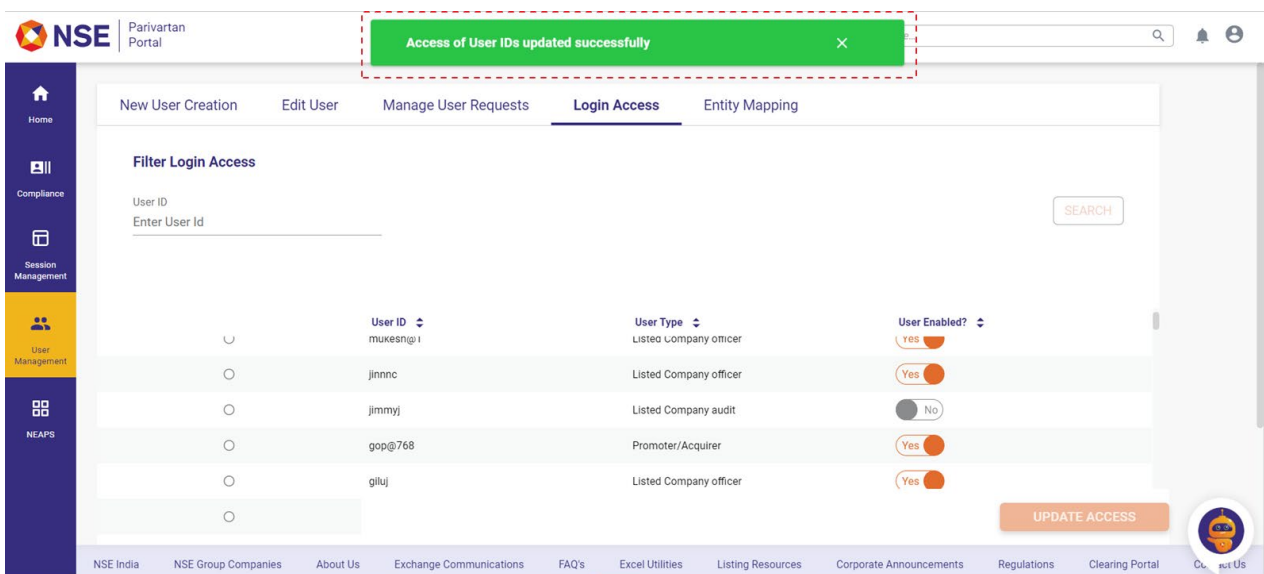
Filter Login Access

User ID
Enter User Id SEARCH

User ID	User Type	User Enabled?
wheel@1	Listed Company audit	Yes
sanity	Listed Company officer	Yes
mukesh@1	Listed Company officer	Yes
jinnnc	Listed Company officer	Yes

UPDATE ACCESS

System will display a success message on top in green box stating that user access has been updated successfully.



Access of User IDs updated successfully

Filter Login Access

User ID
Enter User Id SEARCH

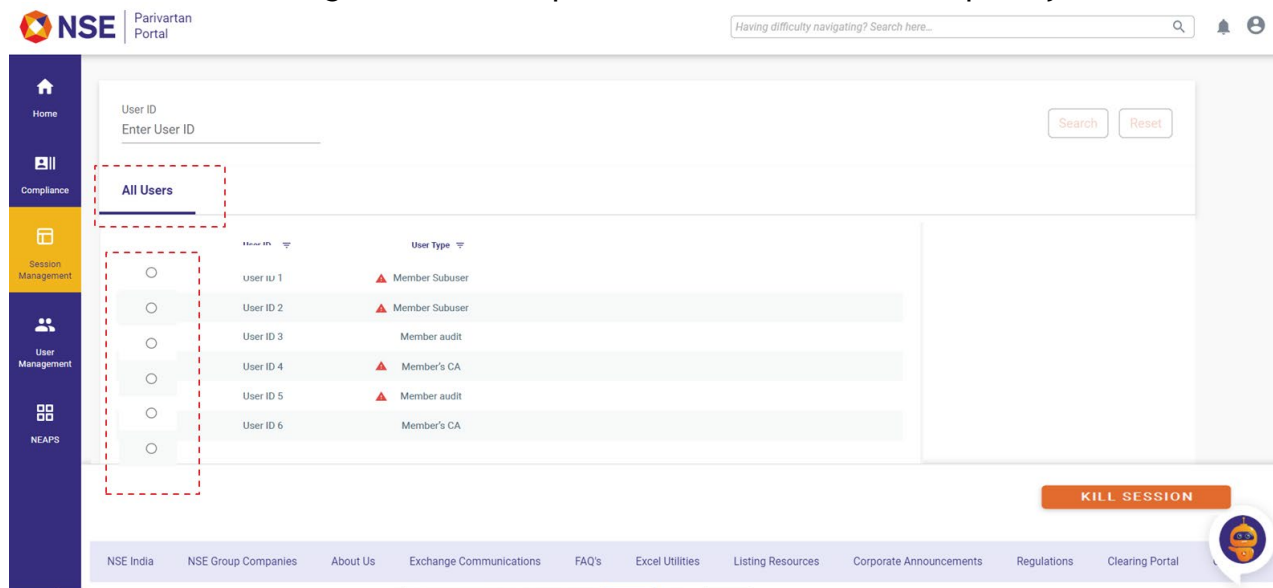
User ID	User Type	User Enabled?
mukesh@1	Listed Company officer	Yes
jinnnc	Listed Company officer	No
jimmyj	Listed Company audit	Yes
gop@768	Promoter/Acquirer	Yes
gilluj	Listed Company officer	Yes

UPDATE ACCESS

4 Session management (access only to Admin)

4.1 Navigate to 'All Users' screen

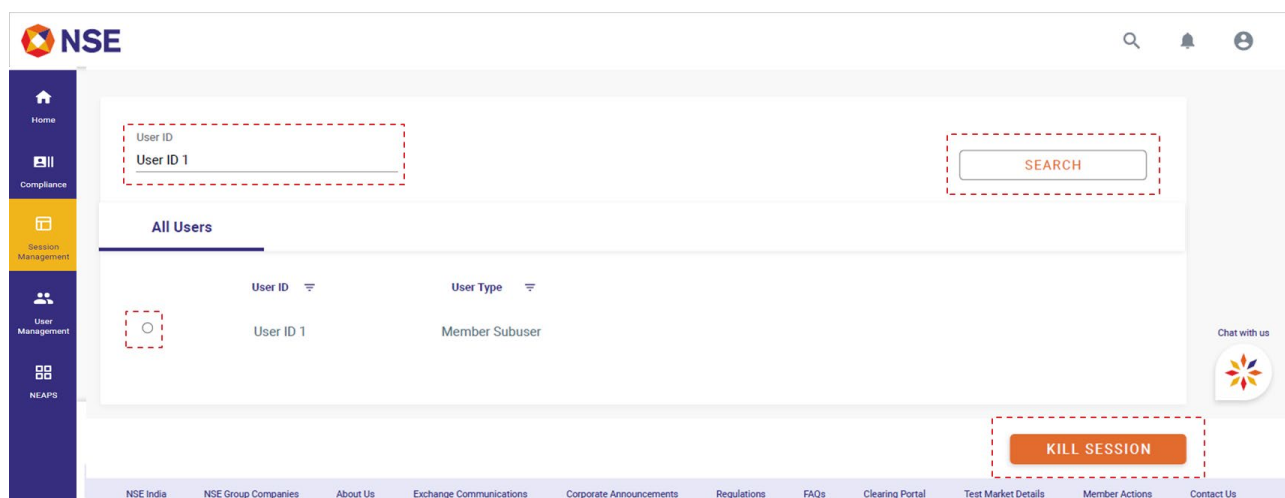
Click on 'Session Management' on left pane. 'All users' screen will open by default.



The screenshot shows the NSE Parivartan Portal interface. The left sidebar contains navigation links: Home, Compliance, Session Management (highlighted), User Management, and NEAPS. The main content area displays the 'All Users' screen. At the top, there is a search bar labeled 'User ID' with a 'Search' button and a 'Reset' button. Below the search bar is a table with columns 'User ID' and 'User Type'. The table lists six users: User ID 1 (Member Subuser), User ID 2 (Member Subuser), User ID 3 (Member audit), User ID 4 (Member's CA), User ID 5 (Member audit), and User ID 6 (Member's CA). Each user has a radio button next to their ID. A 'KILL SESSION' button is located at the bottom right of the table. The footer contains various links: NSE India, NSE Group Companies, About Us, Exchange Communications, FAQ's, Excel Utilities, Listing Resources, Corporate Announcements, Regulations, and Clearing Portal.

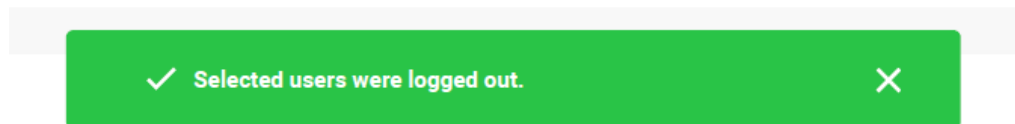
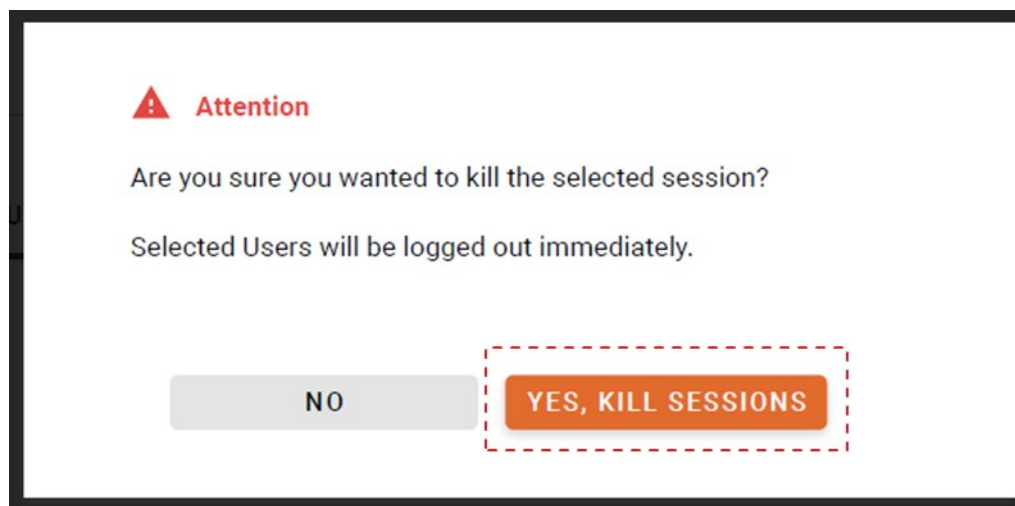
4.2 Search User ID & Kill Session

Search by typing specific user IDs in search box and click 'Search'. If search is valid, results will be displayed in table below. Select checkbox against that user and click 'Kill session'.



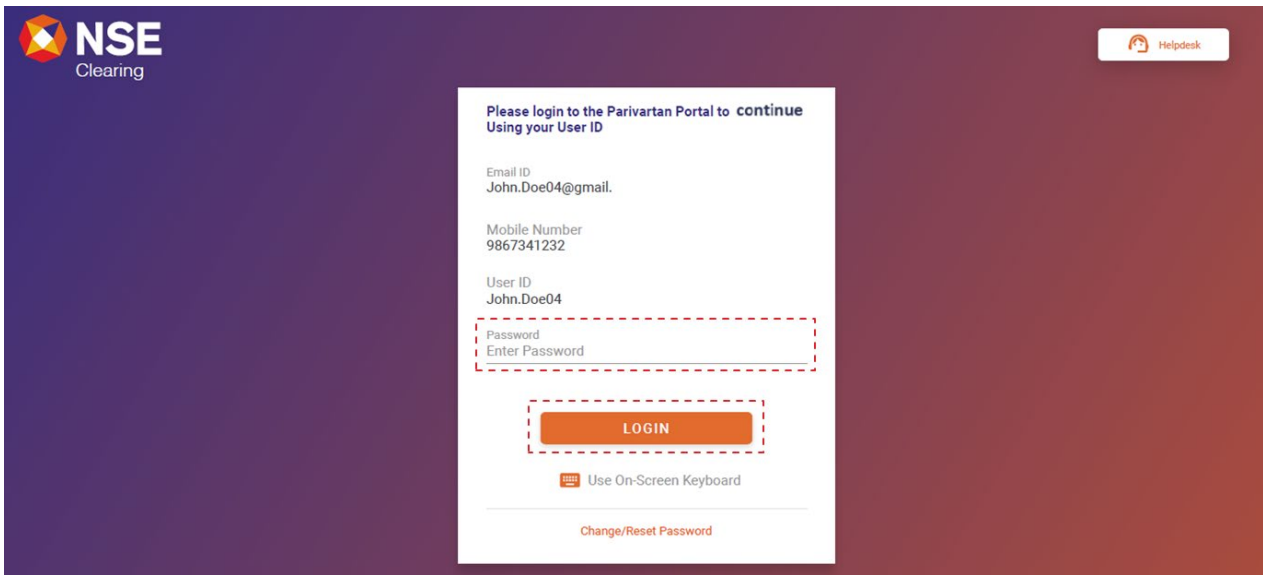
The screenshot shows the NSE Parivartan Portal interface after a search. The left sidebar is the same as in the previous screenshot. The main content area displays the 'All Users' screen. The search bar now contains 'User ID 1' and the 'SEARCH' button is highlighted. Below the search bar, the table shows one result: User ID 1 (Member Subuser). The radio button next to 'User ID 1' is selected. A 'KILL SESSION' button is located at the bottom right of the table. The footer contains various links: NSE India, NSE Group Companies, About Us, Exchange Communications, Corporate Announcements, Regulations, FAQ's, Clearing Portal, Test Market Details, Member Actions, and Contact Us.

System will display pop-up asking for confirmation to kill selected sessions. Click 'Yes, kill sessions' to logout selected users immediately. System will display a success message on top in green box stating that selected users have been logged out successfully.



5 Recertify user

Your registered email ID will receive an email asking you to recertify your account for security reasons every 3 months. Click the link in email to reach login screen. Enter your current password and click 'Login' (other details pre-populated). If password is correct, you will be considered certified.



Note:

- If user does not recertify within 15 days of receiving the email, his/her user ID will be disabled.
- User would be barred from logging-in in future and would be asked to contact Member company's administrator.



ANNEXURE B

USER MANUAL

Annual Returns Submission

OBJECTIVE:

This document is a step-by-step guide on how to submit the annual returns by members, to assign certifying auditor for Annual Accounts and Net Worth submission. 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.

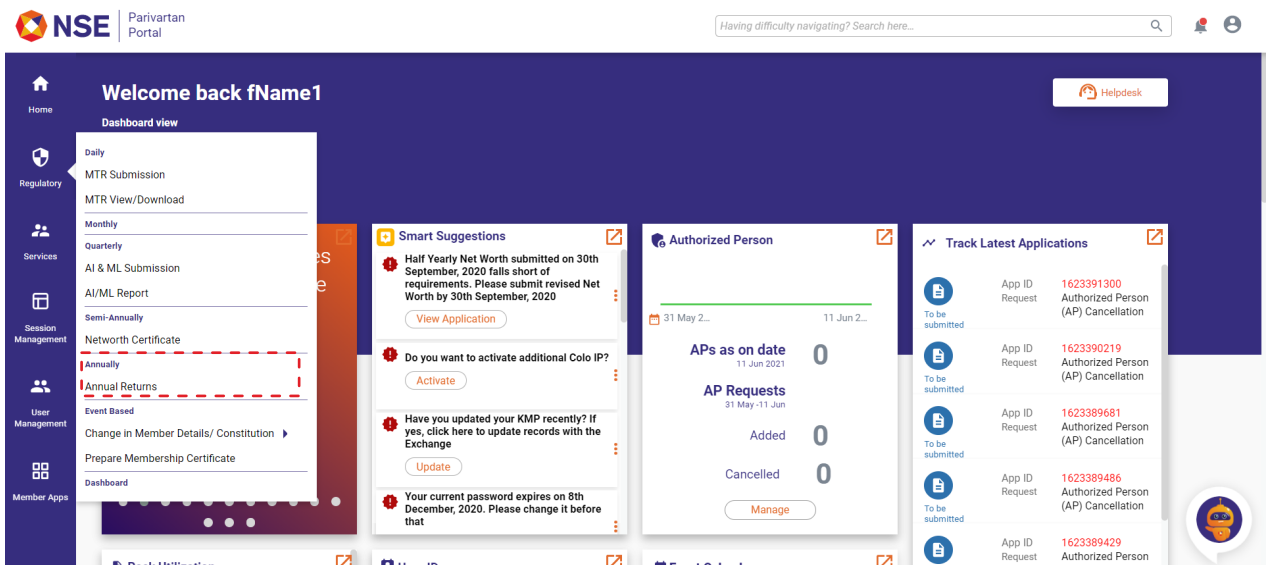


Table of Content ([Please Click on the headers below to reach the required section](#))

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1 Navigate to Annual Returns

Navigate through the left menu (Regulatory → Annually → Annual Returns)



The screenshot shows the NSE Parivartan Portal dashboard. The left sidebar menu is expanded, showing the following structure:

- Home
- Regulatory
 - Daily
 - MTR Submission
 - MTR View/Download
 - Monthly
 - Quarterly
 - Services
 - AI & ML Submission
 - AI/ML Report
 - Semi-Annually
 - Network Certificate
 - Annually** (highlighted with a red dashed box)
 - Annual Returns** (highlighted with a red dashed box)
 - Event Based
 - Change in Member Details/ Constitution
 - Prepare Membership Certificate
 - Dashboard
- User Management
- Member Apps

The main dashboard area displays several widgets:

- Smart Suggestions:**
 - Half Yearly Net Worth submitted on 30th September, 2020 falls short of requirements. Please submit revised Net Worth by 30th September, 2020. [View Application]
 - Do you want to activate additional Colo IP? [Activate]
 - Have you updated your KMP recently? If yes, click here to update records with the Exchange. [Update]
 - Your current password expires on 8th December, 2020. Please change it before that.
- Authorized Person:**
 - APs as on date 11 Jun 2021: 0
 - AP Requests 31 May -11 Jun: Added 0, Cancelled 0. [Manage]
- Track Latest Applications:**
 - To be submitted: App ID Request 1623391300 Authorized Person (AP) Cancellation
 - To be submitted: App ID Request 1623390219 Authorized Person (AP) Cancellation
 - To be submitted: App ID Request 1623389681 Authorized Person (AP) Cancellation
 - To be submitted: App ID Request 1623389486 Authorized Person (AP) Cancellation
 - To be submitted: App ID Request 1623389429 Authorized Person

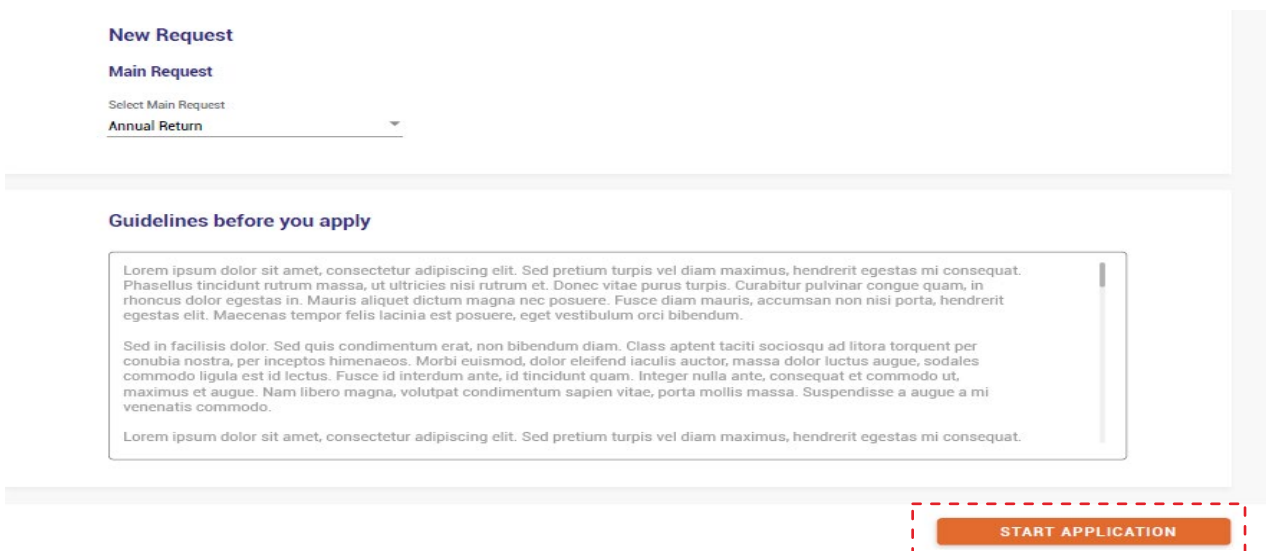
2 Annual Return Submission

Pre-requisite : In case there is change in Certifying Auditor (CA) for Networth and/or Annual Accounts, member needs to disable CA User created for previous year submission and create CA user for current year's submission and assign bundle related to Networth and/or Annual Accounts. Post creation and assignment of bundle, respective application ID will be displayed on CA's dashboard. For detail process please refer to Annexure A.

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 the Annual Return Submission process. At the top, there are two links: "New Request" and "Main Request". Below "Main Request", there is 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 a button labeled "START APPLICATION".

2.1.2 On the Statutory Auditor tab

Auditor details are pre-filled/populated on screen based on user created in Access management screen after selecting Name of the Statutory Auditor Firm.

User details tagged to Annual return bundle in user access management screen will be pre-filled here. *Reason of Resignation will be auto populated Only in case where there is change in statutory for current year from previous year.*



Statutory Auditor Details

Name of the Statutory Auditor Firm
ABC

Certifying Authority Entity Type
Partnership/ LLP

Registration Number of the Statutory Auditor Firm
67554

Name of the Statutory Auditor
SKS CA

Membership number of the Statutory Auditor
98765

Mobile Number of the Statutory Auditor
9845768645

E-mail Address of the Statutory Auditor
ABC@gmail.com

Download

Note:

- Select format for Annual Accounts (IGAAP, IndAs)

Statutory Auditor Details

Name of the Statutory Auditor Firm
Select Statutory Auditor Firm

Certifying Authority Entity Type
Enter entity type

Download

Annual Accounts Format

Format in which Annual Accounts XBRL to be Submitted

Ind AS
IGAAP

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

Confirm the declaration mention on screen before save and 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 Annual Accounts Upload

Depending upon Utility selection; member may download the utility and can fill the required details related to financials.



Annual Accounts Upload

[Download](#)

Upload of Financials in XBRL format for Financial Year 2021-22

Download Utility File

Ind AS.xlsm 

Upload Guidelines

Before uploading the files, please ensure the following

A Naming Convention for Annual Accounts for Financial Year 2021-22
AR_<Member code>_<Financials>_FY2021-22

D Document

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

Upload XBRL



Annual Accounts for Financial Year 2021-22

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 2021-22
AR_<Member code>_<Annual Accounts>_FY2021-22

D Document

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

Annual Accounts



Auditor's Report for Financial Year 2021-22

Upload Guidelines

Before uploading the files, please ensure the following



Naming Convention for Annual Accounts for Financial Year 2021-22
 AR_<Member code>_<Auditors report>_FY2021-22



Document

1. Acceptable format : PDF
2. Max file size limit : 50 MB

Auditor's Report



Confirmations

- ☐ The Financials pertain to the financial year 2021-22
- ☐ 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
- ☐ Annual Accounts also contains PDF report generated using XBRL utility. The XBRL document fairly represents in all respects the audited financial statements for the financial year 2021-22

SAVE & PROCEED

Select all the confirmations mentioned on screen and click on Save and Proceed.

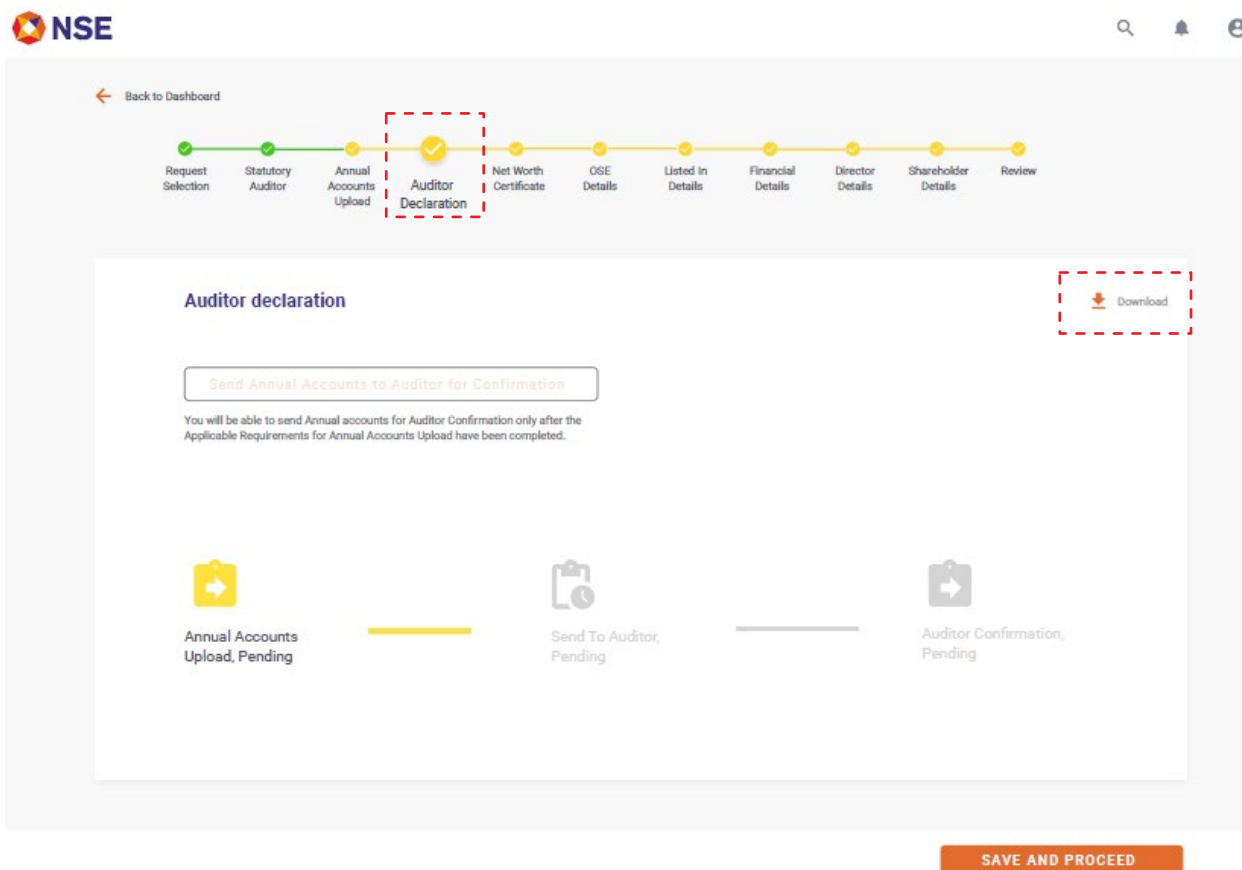
Note:

- Upload the below documents (mandatory) as per the guidelines on the screen
 - Scan copies Annual Accounts i.e. Balance sheet, Profit and loss account statements and Schedules and notes and Directors report
 - PDF generated from respective utilities as selected
 - Financials in XBRL/ XML format
 - Auditor report
- You can navigate to other tabs (Auditor's declaration, Net worth certificate etc.) without upload or confirmation

2.2 Auditor's Declaration

2.2.1 Landing Page

By clicking on Auditor Declaration tab user lands on the below page

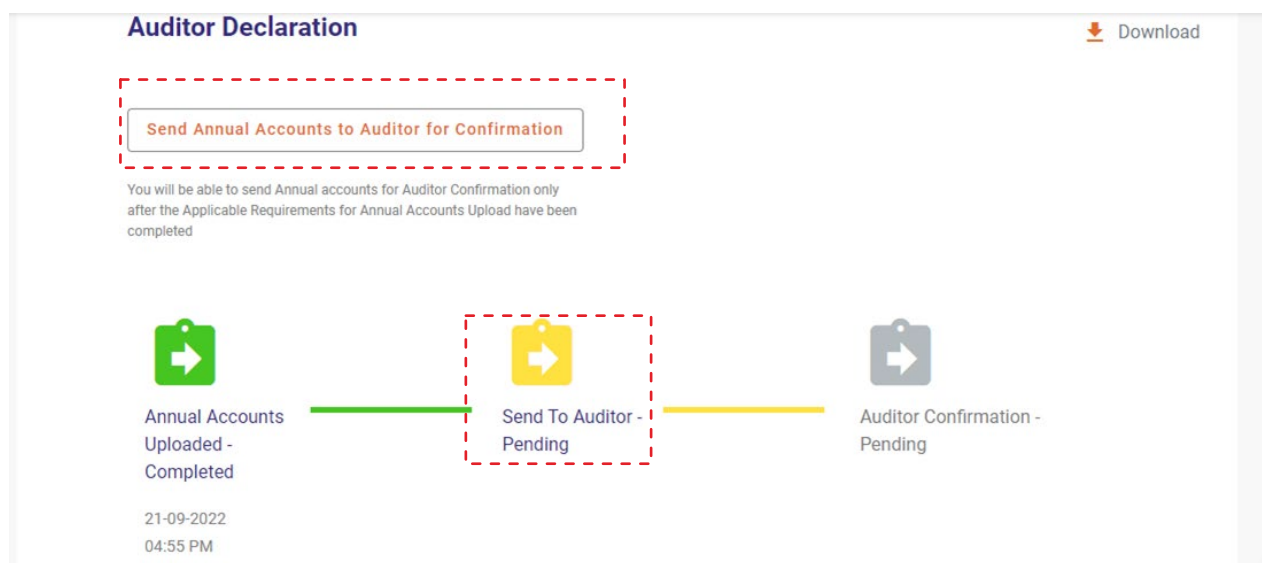


Note:

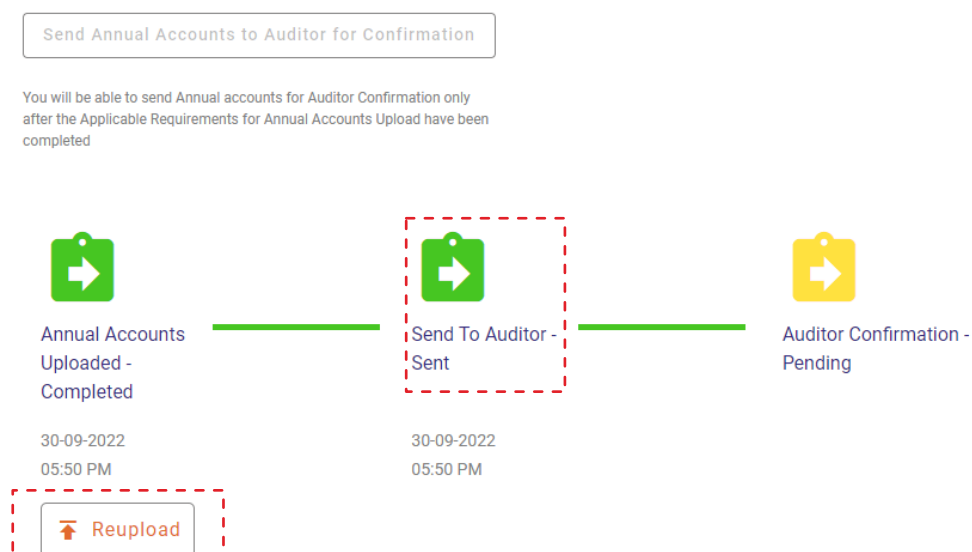
- Annual Accounts to be sent to Statutory Auditor for confirmation
- Accounts cannot be sent until uploaded
- Option to Download application in pdf format is available in all the tabs

2.2.2 Send Annual account to statutory auditor

Click to “Send Annual Accounts to Statutory Auditor for Confirmation”



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



Note:

- The user can reupload the document
- Post this steps the application will be directed towards Statutory auditor selected by member
- Auditor needs to login using credentials received by them and authorize Annual accounts and/or Networth certificate as applicable.

2.3 Net Worth Certificate

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

Details of network will be filled by Auditor and after authentications only, member can view details of 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	12345G	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

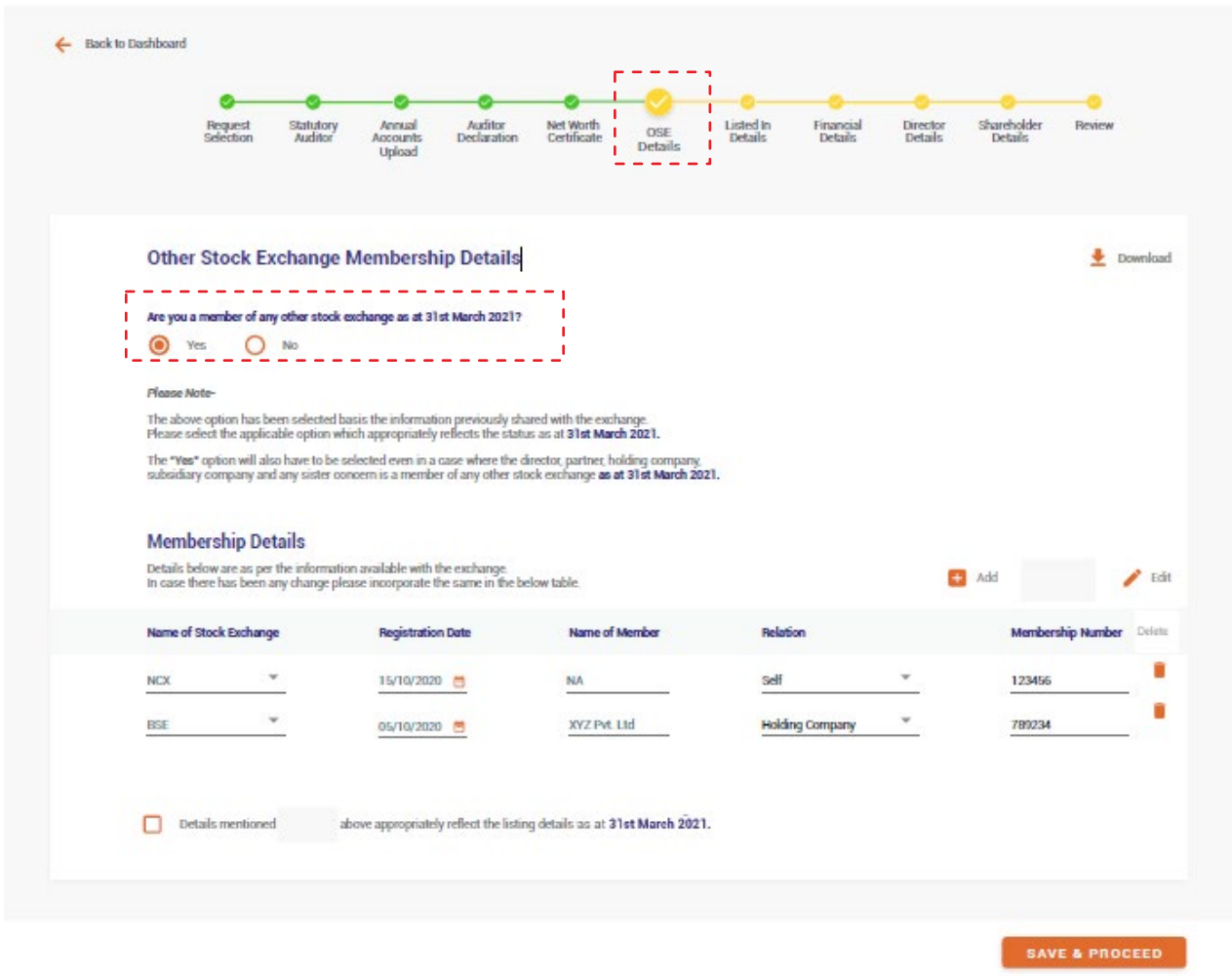
SAVE AND PROCEED

Note:

- User details tagged under the Annual Return Net worth bundle in the user access management screen will be pre-filled and can certify the network

2.4 OSE details

Clicking on OSE 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

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
NCX	15/10/2020	NA	Self	123456	
BSE	05/10/2020	XYZ Pvt. Ltd	Holding Company	7890234	

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

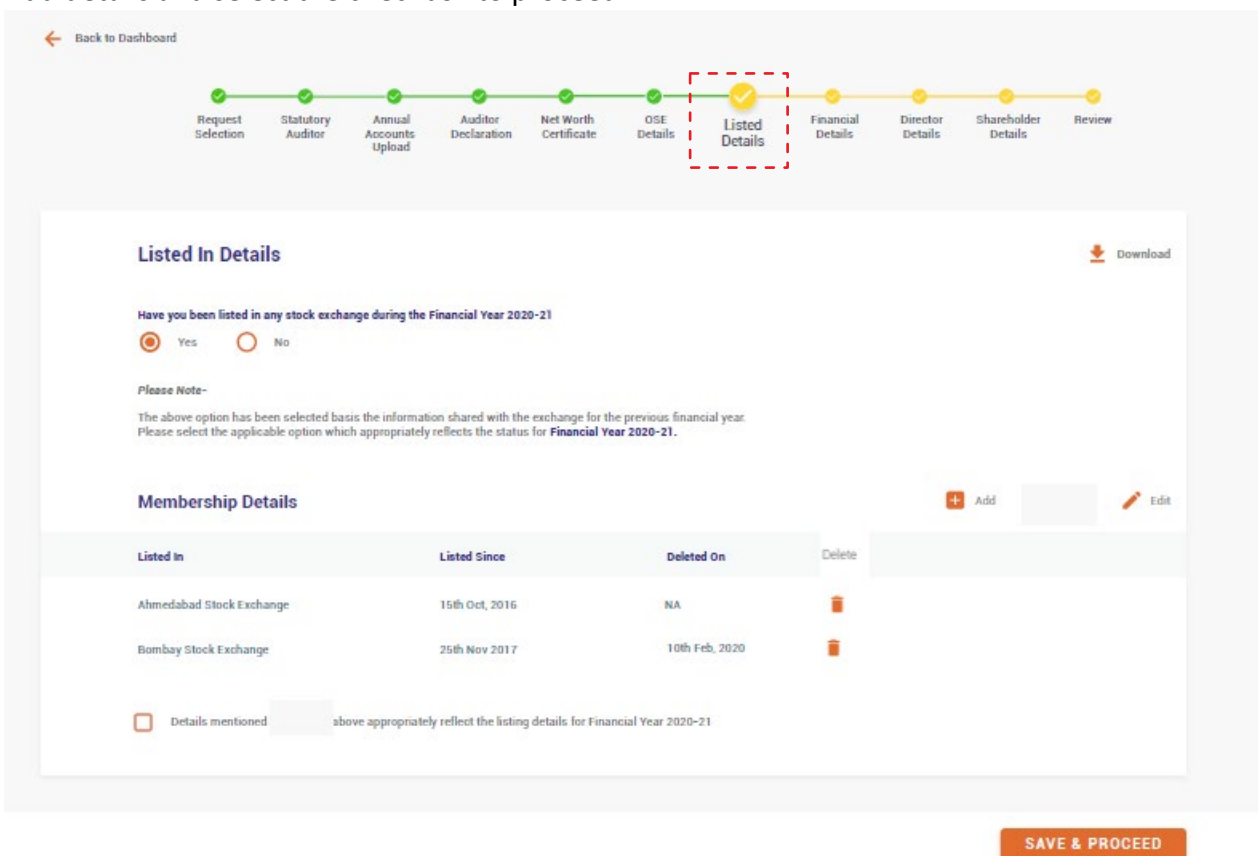
SAVE & PROCEED

Note:

- Select Yes if member of any other stock exchange
- 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

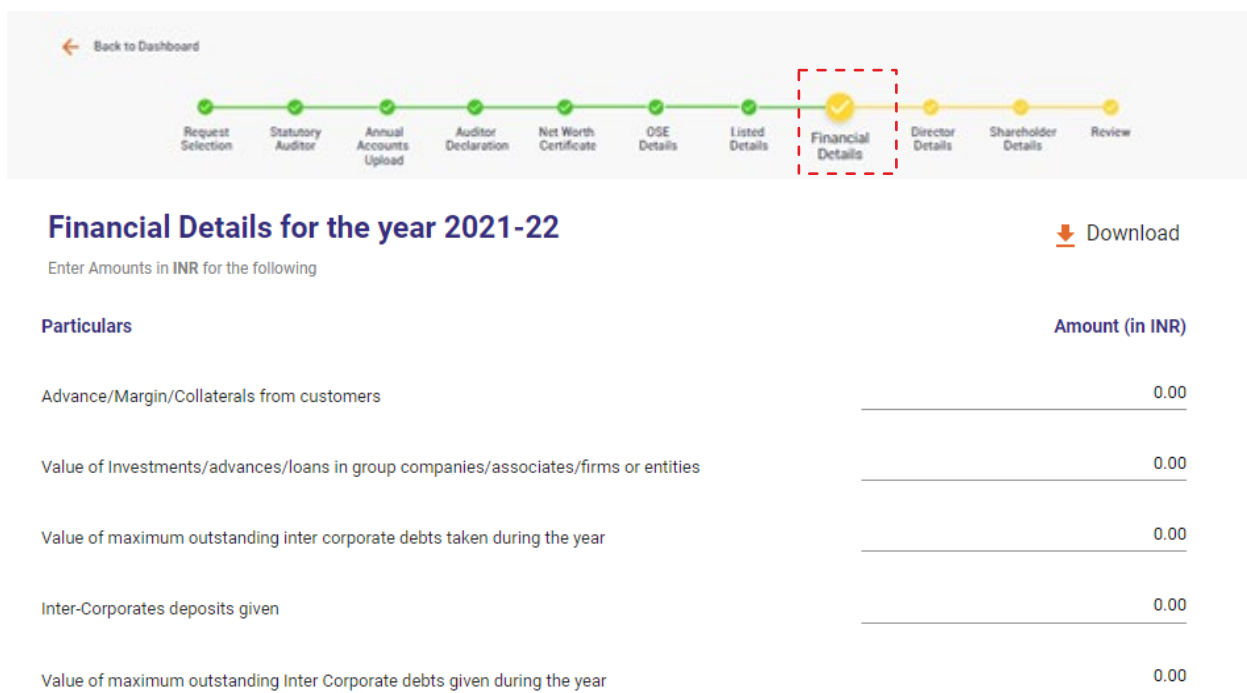
SAVE & PROCEED

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

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

Financial Details for the year 2021-22

Enter Amounts in INR for the following

[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

Note :Below details e.g. Total investments will be auto populated based on authorized XML uploaded. Member needs to add sub-information asked under each tab.

Additional information

Please fill details after Auditor has certified Annual Accounts. Ensure that the totals tally with audited financial statements.

Assets

Particulars	Amount (in INR)
Total Investments (Non-current & Current)	0.00
Investment in Group Companies	0.00
Investment other than in Group Companies	0.00
Total Loans and Advances (Non-current & Current)	0.00
Loans & Advances receivable from Group Companies & Associates (total)	0.00

Loans & Advances receivable from Others (due for less than 3 months)	0.00
Loans & Advances receivable from Others (due for more than 3 months)	0.00
Total Trade Receivables (Non-current & Current)	0.00
Trade receivables from trading clients (due for less than 3 months)	0.00
Trade receivables from trading clients (due for more than 3 months)	0.00
Trade receivables from others	0.00

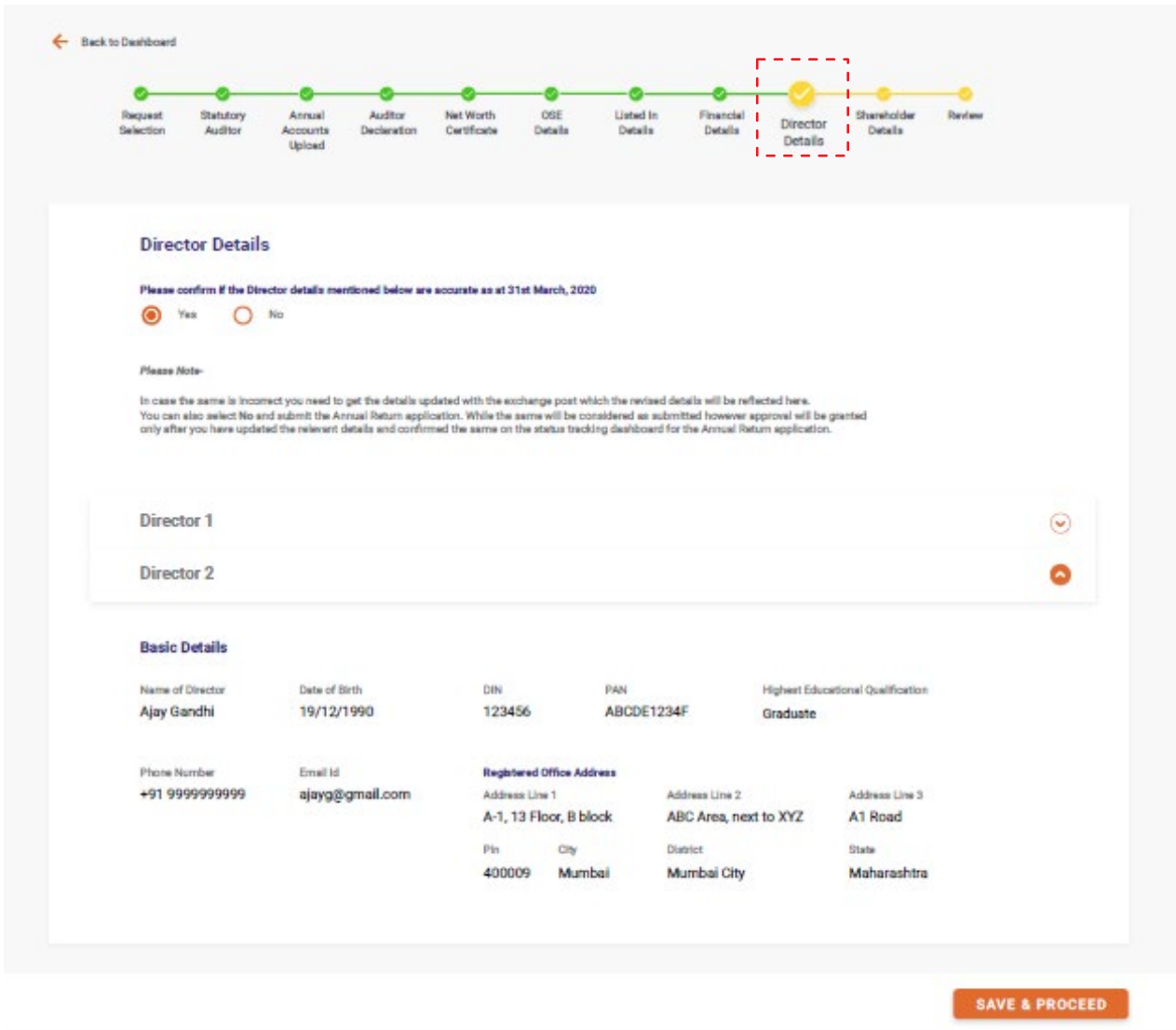
Liabilities

Particulars	Amount (in INR)
Total Borrowings (Non-current & Current)	0.00
Borrowings from Directors/ Promoters/ Group Cos. & Associates	0.00
Investment other than in Group Companies Borrowings from Banks/ Financial Institutions/ Others	0.00
Total Trade Payables (Non-current & Current)	0.00
Trade Payables to trading clients	0.00
Trade Payables to others	0.00

[SAVE & PROCEED](#)

2.7 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 OBE 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.
- Details pre-filled as per exchange records

2.8 Shareholder Details (only Corporates)

Clicking on Shareholder Details, 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	XYZ Ltd	Self	ABCDE1234F	NA	230	20%		20%	
		Wife	BCDEG1234F	NA	50		5%	5%	
PQR Subtotal					500	40%	10%	50%	▲
PQR Ltd	KDM Gang (HUF) Kanta - Mr. Raj Gang Co-Partners	Self	BCDEG1234F	NA	400	40%		40%	
		HUF	BCDEG1234F	NA	100		10%	10%	
Total (ABC Ltd + PQR Ltd)					750	60%	15%	75%	

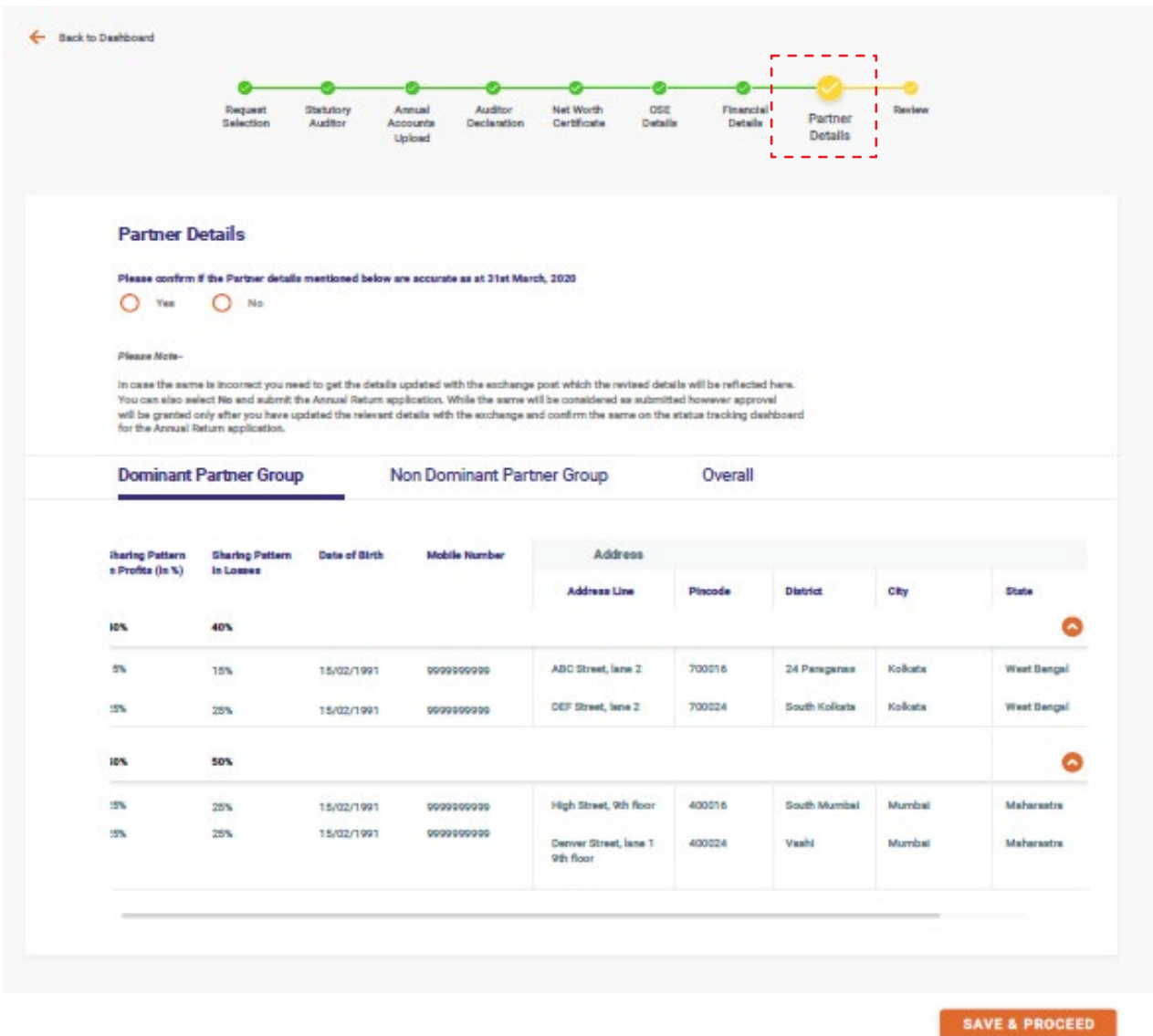
SAVE & PROCEED

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.
- Not Applicable 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 OSE 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 Paraganas	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	Vashi	Mumbai	Maharashtra	

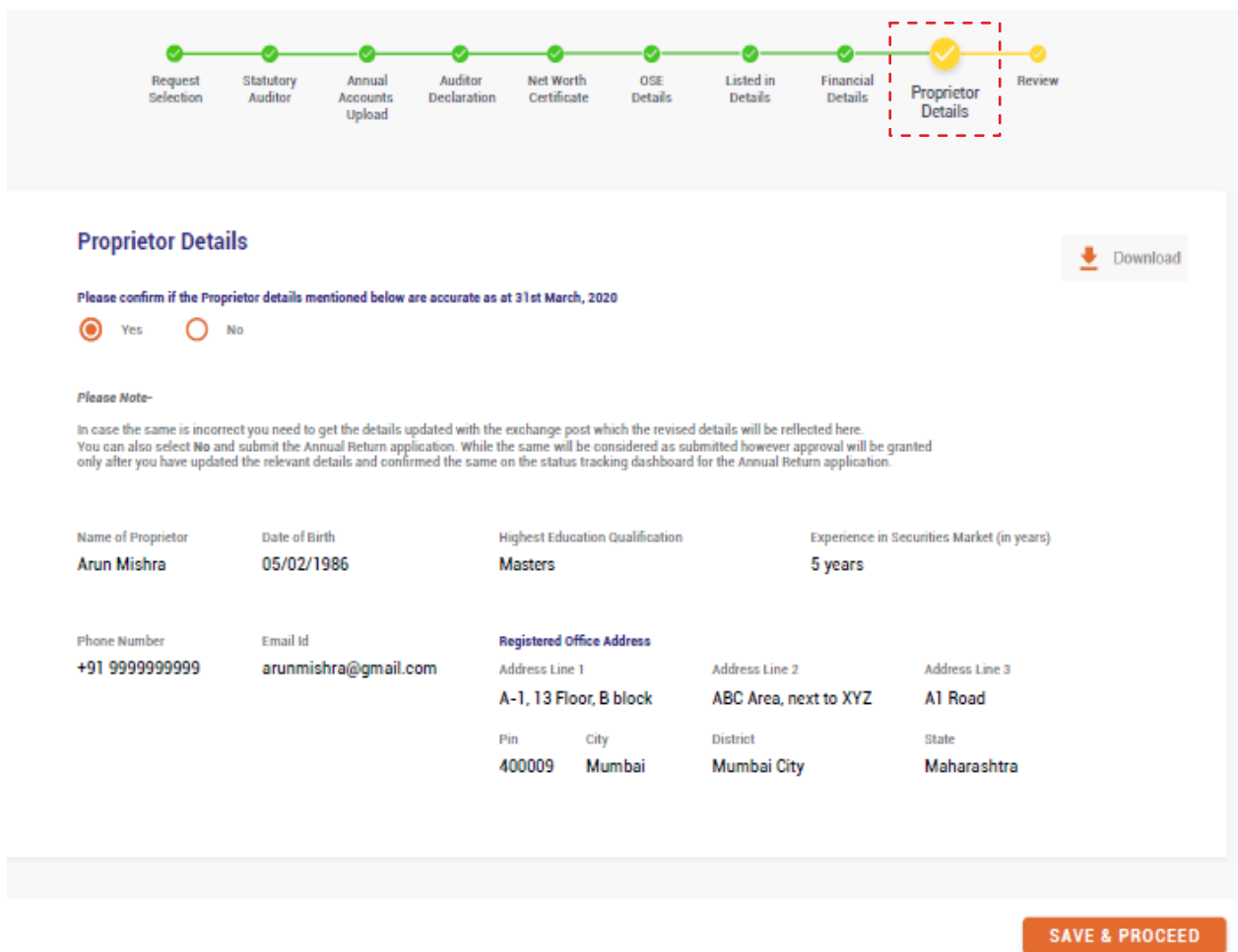
SAVE & PROCEED

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
- Not applicable 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

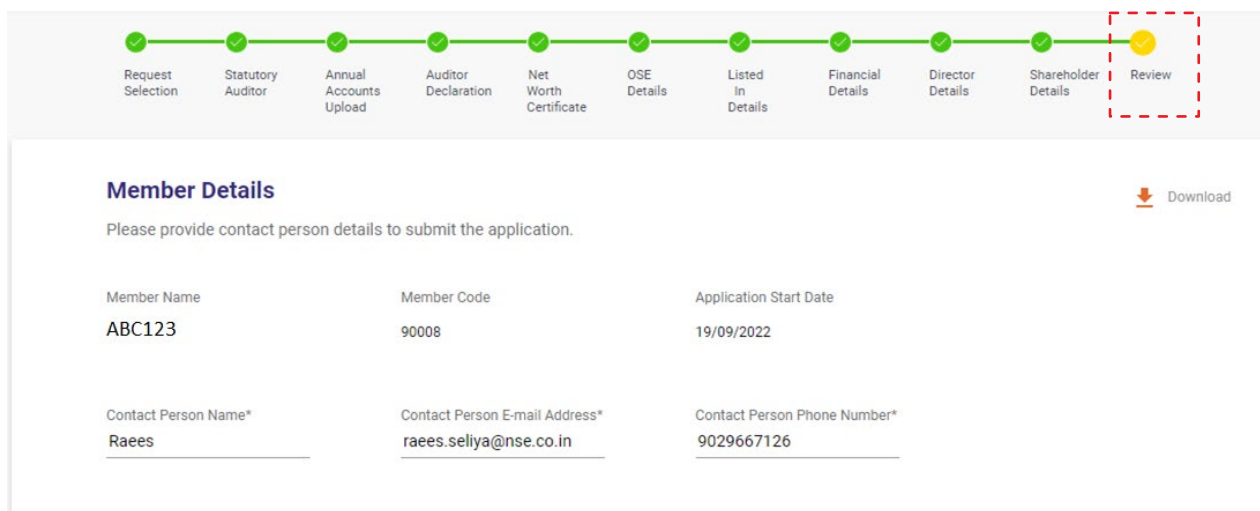
SAVE & PROCEED

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
- Not Applicable 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 [Download](#)

Please provide contact person details to submit the application.

Member Name	Member Code	Application Start Date
ABC123	90008	19/09/2022
Contact Person Name*	Contact Person E-mail Address*	Contact Person Phone Number*
Raees	raees.seliya@nse.co.in	9029667126

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
Request Selection	Completed	Click here
Statutory Auditor	Completed	Click here
Annual Accounts Upload	Completed	Click here
Auditor Declaration	Completed	Click here
Net Worth Certificate	Completed	Click here
OSE Details	Completed	Click here
Listed In Details	Completed	Click here

Declarations

I/We Mr./Ms./M/s. NOMURA FIXED INCOME SECURITIES PRIVATE LIMITED hereby state that M/s Nomura CA is associated with us as the Statutory Auditor from the Financial Year 2021-22.

With regards to SEBI circular SEBI/HO/MIRSD/MIRSD2/CIR/P/2016/95 dated September 26, 2016 pertaining to Enhanced Supervision of Stock Brokers/ Depository Participants, I/We NOMURA FIXED INCOME SECURITIES PRIVATE LIMITED hereby declare that, I/We did not :

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

I/We, also confirm that an Individual statutory auditor who has completed his term as mentioned above (1) has not been re-appointed as statutory auditor with us during the Financial Year 2021-22.

Further I/We, also confirm that the statutory audit firm which has completed its term as mentioned above (2) has not been re-appointed as statutory auditor with us during the Financial Year 2021-22.

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

I/We Mr./Ms./M/s. NOMURA FIXED INCOME SECURITIES PRIVATE LIMITED hereby declare and confirm the following –

1. Details of the Directors/Partners/Proprietor;
2. Details of the Shareholding pattern;
3. Details of the Membership on Other Stock Exchanges;
4. Details of Listing;
5. Undertaking from Relative support/Corporate support to Dominant Shareholders;

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
- For successful E-sign name of Director / Compliance officer as per portal needs to be same as per Aadhar / DSC.

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:

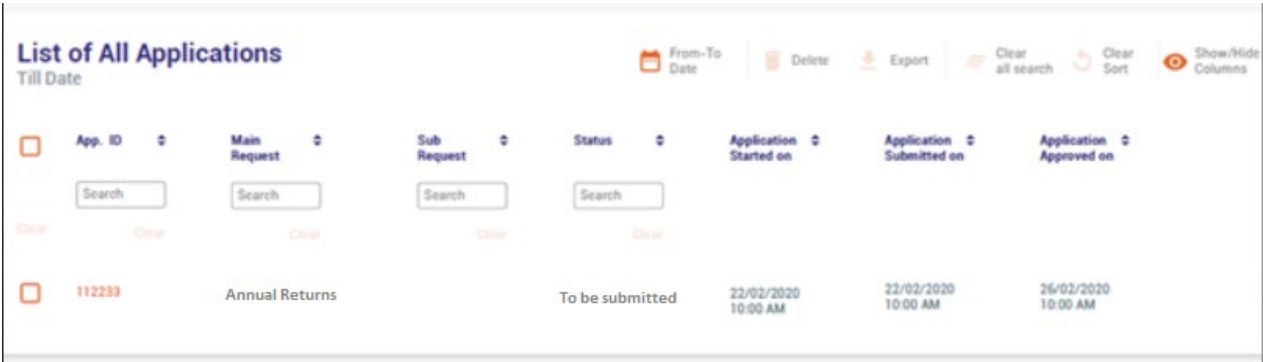
- Instant Approval if there are no pending confirmations
- Pending approval if there are pending confirmations

3 Statutory Auditor Confirmation

3.1 Landing Screen

Clicking on the navigation menu, leads to this screen

S



App. ID	Main Request	Sub Request	Status	Application Started on	Application Submitted on	Application Approved on
112233	Annual Returns		To be submitted	22/02/2020 10:00 AM	22/02/2020 10:00 AM	26/02/2020 10:00 AM

Note:

- Click on App.ID to view members annual accounts OR annual accounts and network both depending on bundle selection by member.

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

[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

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

22/02/2020 10:00 AM

Send To Auditor, Sent

22/02/2020 10:00 AM

Auditor Confirmation, Confirmed

22/02/2020 10:00 AM

Statutory Auditor Declaration

Member Code_Statutory Auditor Declaration_FY2020-21_Approval Letter

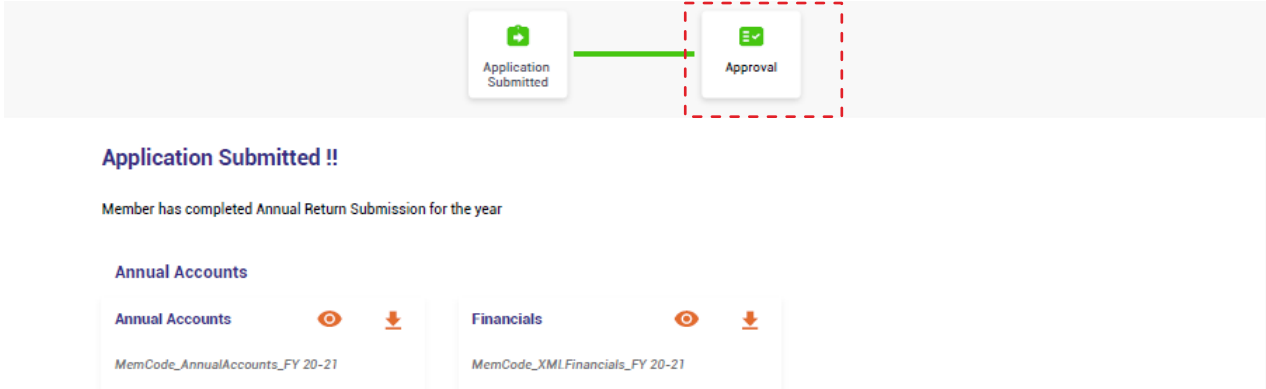
SAVE AND PROCEED

Note:

Member can view/download e-signed auditor declaration

27

Statutory Auditor can track the application status

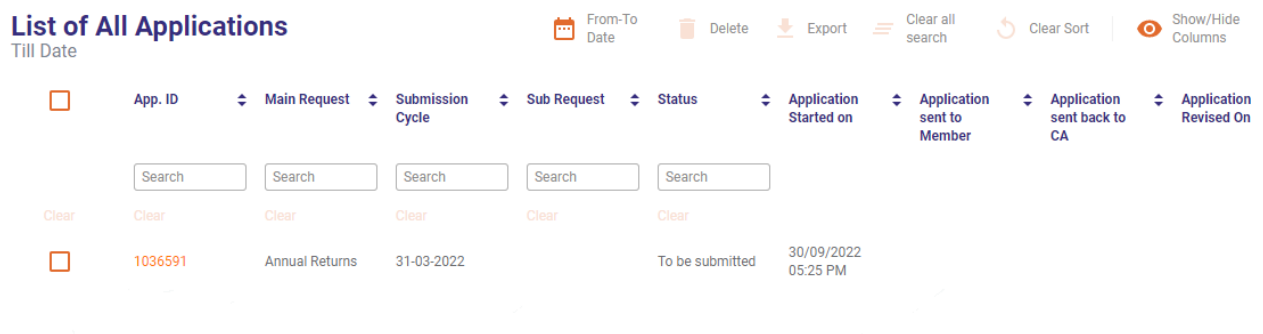


The flowchart shows the process from 'Application Submitted' to 'Approval'. Below the flowchart, a message states: 'Application Submitted !! Member has completed Annual Return Submission for the year'. Under the heading 'Annual Accounts', there are two sections: 'Annual Accounts' and 'Financials'. Each section has a search icon, a download icon, and a file name: 'MemCode_AnnualAccounts_FY 20-21' and 'MemCode_XMLFinancials_FY 20-21' respectively.

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 sent to Member	Application sent back to CA	Application Revised On
Clear	Search	Search	Search	Search	Search				
Clear	1036591	Annual Returns	31-03-2022		To be submitted	30/09/2022 05:25 PM			

Note:

- Click on App.ID to view member's network

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
		<i>(This is 30% of Total Marketable Securities)</i>
Investment in Subsidiaries/associates	00.00	
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

Note : While using Aadhar based E-sign ensure Name as per Aadhar card is updated while submission

[Back to Dashboard](#)

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

CANCEL

INITIATE

Net Worth s

CA Details

Name of CA Firm

XYZ & Associates

Submission De

Member Name

ABC Securities

Type of submission

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

[← Back to Dashboard](#)



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

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

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

Method

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

Capital	10,000,000.00
Free Reserves	10,000,000.00

Fixed Assets	10,000,000.00
Pledged Securities	10,000,000.00
Member's Card	0.00
Non-allowable securities (unlisted)	10,000,000.00
Bad deliveries	10,000,000.00
Doubtful Debts and Advances (Includes debts/advances overdue for more than three months or given to associates)	10,000,000.00
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 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**

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

Certified Networth


MemCode: /IYNW 37032020

 **Attached**

Certificate received from Manan Gaba

 **Member has submitted to the Exchange**

 **Shortfall in Net Worth detected**

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

 **High variation in Net Worth from previous submission cycle detected**

Variation %	26%	Reason for variation
		Increased Sales

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

4.5 Landing Screen

After member submits to exchange, lands on Dashboard

List of All Applications
Till Date

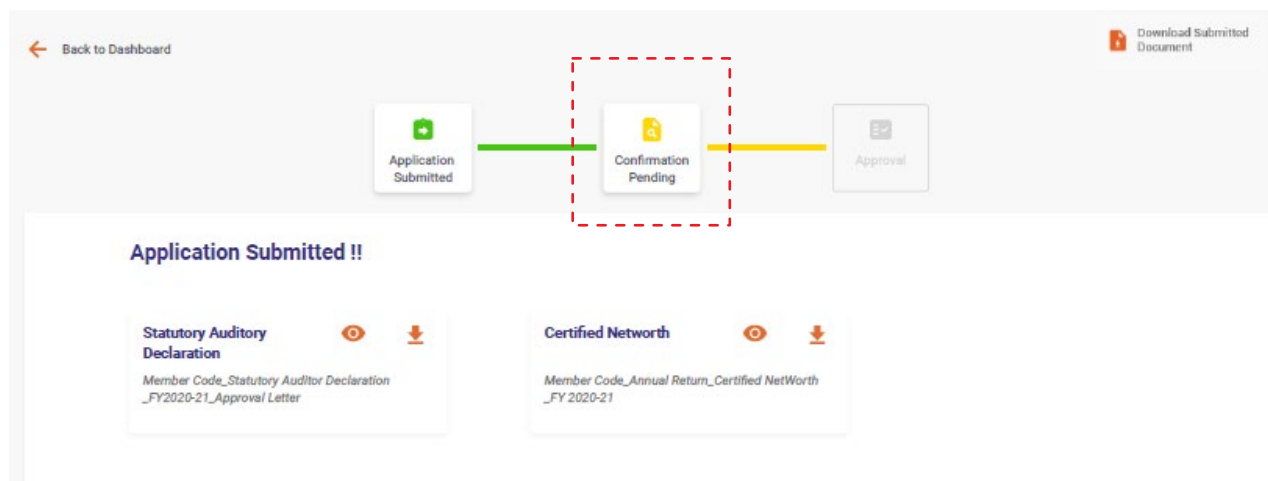
From-To Date Delete Export Clear all search Clear Sort Show/Hide Columns

	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



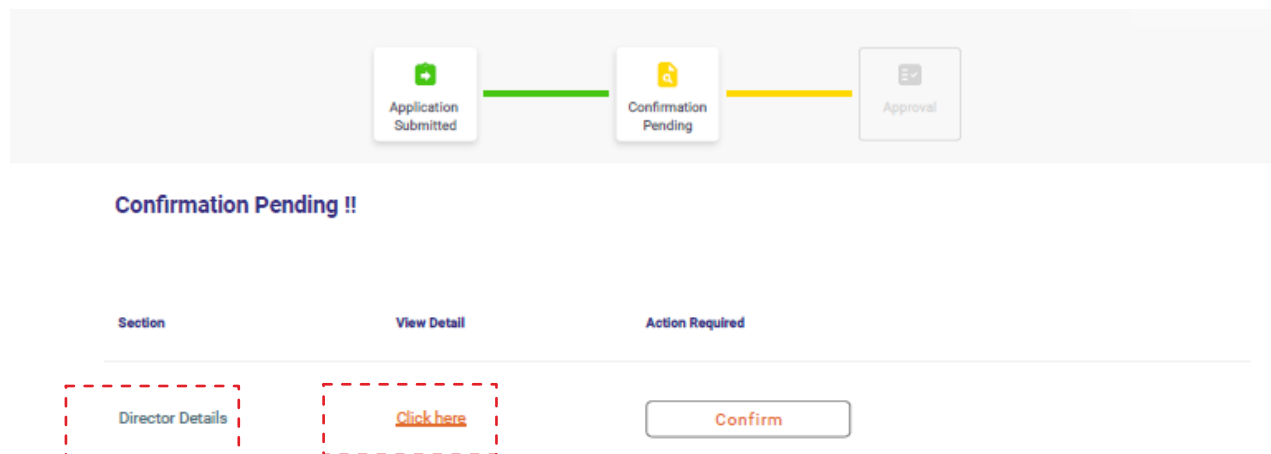
Note:

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.

In case there is Networth shortfall then Revise Networth certificate needs to be uploaded. After clicking of the request to upload revise Networth gets populated at Auditor's end and Auditor needs to follow same process as mentioned above.



Approval granted after all open actions are complete

[← Back to Dashboard](#)
[Download Submitted Document](#)

Application Submitted

Confirmation Pending

Approval

Confirmation Pending !!

Section	View Detail	Action Required
Director Details	Click here	Confirmed

[← Back to Dashboard](#)
[Download Submitted Document](#)

POr Approval

Decision has been communicated to the member contact person & compliance officer via e-mail

Approvals

Prior Approval has been granted for this application

Documents

Approval Letter		
Revised Application		

Reach out to the Helpdesk if you are facing any issues

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. Only for Banks and Primary dealers 'NA' option is available.

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 xrb1 output. Member can import existing xrb1 as use as input for XBRL utility. Exception given only to Banks and Primary dealers.

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

For any queries or questions, please reach out to the helpdesk.

ANNEXURE C

ACTIONS FOR NON-COMPLIANCE

All members are required to ensure that they submit the Annual Returns, on or before October 31, 2022, in order to avoid any late / non-submission charges. Further, Non-submission of any of the documents forming part of the Annual Return or submission of documents not in the prescribed formats would be construed as non-submission of *Annual Returns* and non-submission charges would be levied in accordance with Exchange circular reference no. NSE/INSP/53530 dated September 02, 2022.

Networth requirements:

All members of the Exchange are required to maintain Networth at all points of time as prescribed by the Exchange. In case the Networth is below the prescribed minimum, the Exchange would initiate appropriate disciplinary action in accordance with Exchange circular NSE/COMP/47735 dated March 24, 2021.

ANNEXURE D

Guidelines pertaining to statutory auditors

As per the guidelines mentioned in the SEBI circular reference no. SEBI/HO/MIRSD/MIRSD2/CIR/P/2016/95 dated September 26, 2016:

I) No stockbroker shall appoint or re-appoint—

- a) an individual as statutory auditor for more than one term of five consecutive years;
and
- b) an audit firm as statutory auditor for more than two terms of five consecutive years:

II) Provided that—

- i. An individual statutory auditor who has completed his term under clause I (a) above shall not be eligible for re-appointment as statutory auditor for the same stock broker for five years from the completion of his term.
- ii. An statutory audit firm which has completed its term under clause I (b) above, shall not be eligible for re-appointment as statutory auditor for the same stock broker for five years from the completion of such term:

Provided further that as on the date of appointment no statutory audit firm having a common partner or partners to the other audit firm, whose tenure has expired for a stock broker immediately preceding the financial year, shall be appointed as statutory auditor of the same stock broker for a period of five years.

The above provisions are applicable from the financial year April 01, 2017 - March 31, 2018.

All the members are required to take note of the same and ensure adherence to the provisions.