

## **ANNEXURE A - USER MANUAL**

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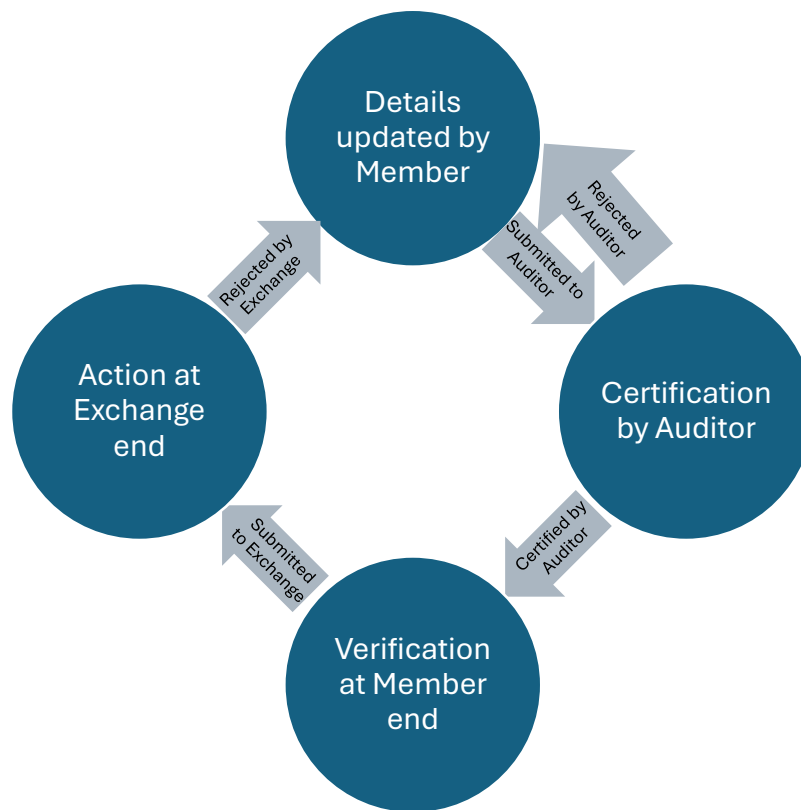
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## **USER MANUAL FOR SUBMISSION OF ANNUAL RETURNS ON ENIT PORTAL**

### **1. Process of Annual Returns (AR) Submission**

- The Member shall register auditors and provide access to the respective auditors for submission of below details:
  - Annual Accounts
  - Networth details
  - Director/ Proprietor/ Partner Details
  - Shareholding Details
  - Financial Details
  - Other Stock Exchange
  - Listed On
  - Attachments
- The tabs are grouped as follows:
  - **Group I:** Annual Accounts
  - **Group II:** Networth details
  - **Group III:** Other details (includes details of Director / Proprietor/Partner Details, Shareholding, Financial Details, Other Stock Exchange, Listed On)
- Member shall assign auditor for certification of details for each group mentioned above.
- The Member can assign all the 3 groups to a single Auditor or to separate auditor as per requirement.
- The attachments will reflect under each Auditor's login as per the tabs assigned to them.
- The Member and Auditor shall log in to the ENIT portal for Annual Returns submission and certification, respectively.
- The Annual Returns submission on ENIT Portal involves the following steps, with tab-wise status reflecting at member's end:
  - Members will enter the details in respective tab (application status will be "Entered")
  - Submit the entered details to Auditor for verification (application status will change to 'Submit to Auditor')

- Auditor may certify or reject the details (application status will change to “Certified by Auditor/ Rejected by Auditor”)
- In case of rejection, Member will resubmit the details to Auditor after rectification for certification (application status will be ‘Submit to Auditor’)
- After Auditor’s certification, Member will submit Annual Return details to Exchange for further action. (application status will be “Submitted to Exchange/ Approved”)
- In case Member has requested for any changes in the existing Director, Partner and/or Shareholding details available in the Exchange records, the Member needs to provide post-facto application for approval of such changes at Exchange level.
- Banks and Primary Dealers shall continue to submit their Annual Returns as per existing process.



## 2. Pre-requisite for submission of Annual Return

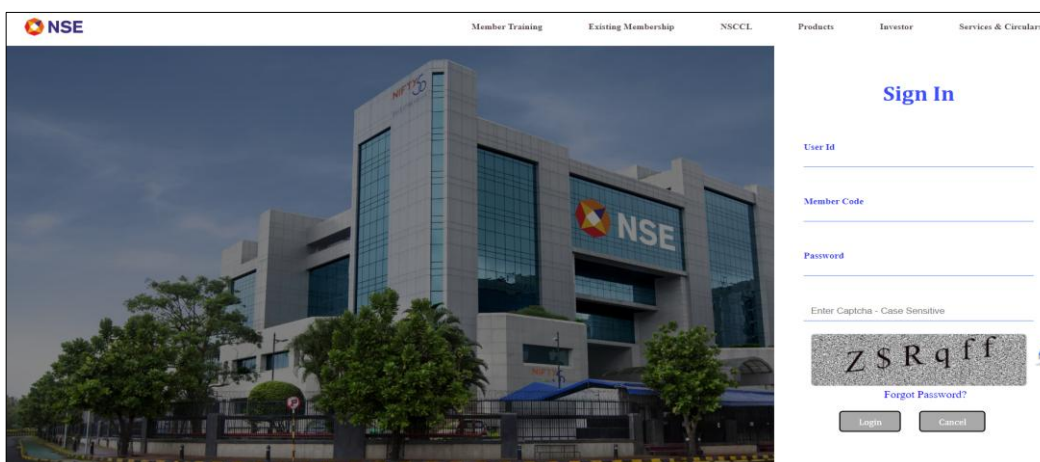
- Inventory of Assets submission for Financial Year 2025-26

- Members have to submit the inventory of assets prior to submission of Annual Returns for Financial Year 2025-26 on ENIT portal under following path:
- ENIT-New-Compliance > ENIT NxtGen > Compliance > Inventory of Assets > Inventory of Assets Submission
- Submission of declaration of Politically Exposed Person
  - Declaration of Politically Exposed Person as on March 31, 2026, has to be submitted by the members before submitting the Annual Returns for Financial Year 2025-26 on ENIT portal under following path:
  - ENIT-New-Compliance> Compliance > Politically Exposed Person > Submit declaration
- Members should ensure that the Login Id created in the Member portal for Auditor to access the ENIT portal, should match with the Login Id mentioned in the Auditor's registration on ENIT portal.
- Ensure that the Auditor assigned for 'Networth' tab shall have a Digital Signature.

### 3. **Auditor Registration process:**

#### 3.1 User creation and grant of access:

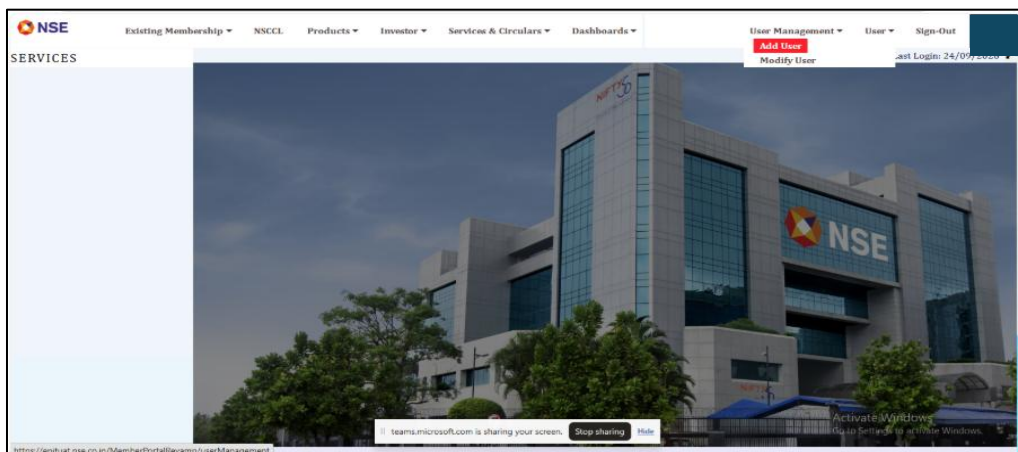
- Open Internet Explorer/Chrome browser for accessing Member portal through link-  
<https://enit.nseindia.com/MemberPortal>
- NSE Member Portal Login screen will be displayed as below:



- After entering the credentials, member needs to click on 'Submit' button to login.

|             |                                                                                                                                                                                                      |
|-------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| User Id     | <p>Type the appropriate User id in this field.</p> <p>This field is alphanumeric.</p> <p>This field is mandatory.</p>                                                                                |
| Member Code | <p>Type the appropriate member code of the member in this field.</p> <p>This field is numeric only.</p> <p>This field should accept 5 digit correct member code.</p> <p>This field is mandatory.</p> |
| Password    | <p>Type correct password in this field.</p> <p>This field accepts alphanumeric &amp; special characters.</p> <p>This field is mandatory.</p>                                                         |

- Click on User Management menu for providing access of Annual returns tab on ENIT portal to the Auditor & click on ‘Add User’ menu.



- Select the ‘Sub user’ radio button to select user type and click on the ‘Next’ button.

- Fill in all the details of each Auditor to create a login credential to access ENIT Portal and click on the ‘Next’ button.

Existing Membership

▼

NSCL

▼

Products

▼

Investor

▼

Services & Circulars

▼

Dashboards

▼

User Management

▼

User

▼

Sign-Out

▼

User Details

User Id:<sup>\*</sup>

Name:<sup>\*</sup>

Password:<sup>\*</sup>

\*\*\*\*\*

Confirm Password:<sup>\*</sup>

\*\*\*\*\*

Address Line 1 :<sup>\*</sup>

Address Line 2 :

Mobile No. :<sup>\*</sup>

Std Code :

Landline :

Fax No. :

Email :<sup>\*</sup>

<sup>\*</sup> Indicates mandatory fields , and all fields are mandatory for NSE-ASSIST service.

[Password Policy](#)

Prev

Next

- User ID created on this screen should be used at the time of Auditor Registration.
- Once User credentials are created, click on 'ENITAnnualReturns' tick box to assign role to Auditors for Annual Return Submission

[illegible]

- After providing access, the respective Auditor will get access to the ‘Annual Return Submission’ menu on ENIT Portal for assigned tab.

### 3.2 Auditor registration on ENIT

- Open New Auditor Registration Screen on ENIT under ENIT-New-Compliance > Compliance > Annual Returns > New Auditor Registration.
- Select the ‘Annual Return Auditor Registration’ option. On clicking of said option, “New Auditor Registration” page will open.

**Annual Return Auditor Registration**

as on date  
31-Mar-2025

Registration No. of the Auditor's Firm\*

Date of appointment as a Auditor \*

Auditor Mobile No\*

Auditor login id\*

registration for tab\*

- ☐ Other Details (Director Details, Shareholding Details, Financial Details, Other Stock Exchange, Listed In)
- ☐ Annual Accounts
- ☐ Networth

Email id of the Auditor\*

Name of the Auditor's Firm\*

PAN of the Auditor's Firm \*

PAN of the auditor \*

Auditor Qualification\*

- Fill in all the required details of each Auditor and assign group of tabs to the respective Auditor by marking a tick on '**Registration for tab**' field.

**Annual Return Auditor Registration**

as on date  
31-Mar-2025

Registration No. of the Auditor's Firm\*

Date of appointment as a Auditor \*

Auditor Mobile No\*

Auditor login id\*

registration for tab\*

membership No. of the Auditor\*

Name of the auditor\*

Email id of the Auditor\*

Name of the auditor's firm\*

PAN of the Auditor's Firm \*

PAN of the auditor \*

Auditor Qualification\*

CA

☒ We certify that the auditor assigned for the tab 'Annual Accounts' and the details of the auditor provided thereunder are of the Statutory Auditor.

- Ensure that the same User ID created through Member portal for Auditor should be updated in Auditor login ID field for each Auditor.
- On clicking Submit, "Auditor Registration" is completed for respective auditors and auto generated email will be triggered to the Auditor for initiating Annual Returns certification through ENIT along with the login credentials.

**Annual Return Auditor Registration**

as on date  
31-Mar-2025

Registration No. of the Auditor's Firm\*

Date of appointment as a Auditor \*

Auditor Mobile No\*

Auditor login id\*

registration for tab\*

membership No. of the Auditor\*

Name of the auditor\*

Email id of the Auditor\*

Name of the auditor's firm\*

PAN of the Auditor's Firm \*

PAN of the auditor \*

Auditor Qualification\*

CA

☒ We certify that the auditor assigned for the tab 'Annual Accounts' and the details of the auditor provided thereunder are of the Statutory Auditor.

**Success**  
Auditor Details save successfully

| Sr No. ↑ | Name of Audit Firm ↑ | PAN of Audit Firm ↑ | Auditor email id ↑ | Auditor login id ↑ | Annual Return tab ↑ |
|----------|----------------------|---------------------|--------------------|--------------------|---------------------|
|          |                      |                     |                    |                    |                     |

- The Member can assign all the 3 groups of tabs to a single Auditor (upto 3 Auditors) or separate auditor for each group of tabs.

Registration No. of the Auditor's Firm\* Membership No. of the Auditor\* PAN of the Auditor's Firm \*

Date of appointment as a Auditor \* Name of the Auditor\* PAN of the auditor \*

Auditor Mobile No\* Email Id of the Auditor\* Auditor Qualification\*

Auditor login Id\*

Submit Reset

| Sr No. + | Name of Audit Firm + | PAN of Audit Firm + | Auditor email Id + | Auditor login Id + | Annual Return Tab +  |
|----------|----------------------|---------------------|--------------------|--------------------|----------------------|
|          |                      |                     |                    |                    |                      |
| 1        |                      |                     |                    |                    | Financial Details    |
| 2        |                      |                     |                    |                    | Listed In            |
| 3        |                      |                     |                    |                    | Shareholding Details |
| 4        |                      |                     |                    |                    | Other Stock Exchange |
| 5        |                      |                     |                    |                    | Director Details     |
| 6        |                      |                     |                    |                    | Annual Accounts      |

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#### 4. Annual Returns submission at Member Level

- Open Annual Returns submission screen on ENIT Portal available under ENIT-New-Compliance > Compliance > Annual Returns > Annual Submission

Annual Returns

Member Name: Member Code: PAN of Trading Member/Company Member:

Your Application: Financial Year: Start Date: 01-Apr-2025 End Date: 31-Mar-2026

As On Date: 31-Mar-2026

Save

(Please save this information before proceeding to fill below details.)

Annual Accounts Not Entered

Director Details Not Entered

Shareholding Details Not Entered

Other Stock Exchange Not Entered

Listed In Not Entered

Financial Details Not Entered

Attach Scanned Copies Not Entered

Principal officer and Designated Director details Not Entered

Annual Accounts

Name of the Statutory Auditor's Firm: Membership No. of the Statutory Auditor: Name of the Statutory Auditor:

Registration No. of the Statutory Auditor's Firm: Mobile No. of the Statutory Auditor: Email Id of the Statutory Auditor:

Format of Financial Statements: Revised Schedule VI Format: Date of appointment as a Statutory auditor: UOB of Certificate\*

PAN of the Statutory Auditor's Firm: PAN of the Statutory Auditor:

Is there change in Statutory Auditor? Yes No

Format of Financial Statements: Format of Financial Statements\*: Download XBRL Utility

Upload XBRL (.xml): Upload PDF Generated from XBRL Utility (.pdf):

Download Template: Upload Director/Partner Details Excel

Activate Windows Go to Settings to activate Windows

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- Annual submission needs to be done on the basis of constitution of the Trading members. The type of Constitutions are as follows:
  - Corporate
  - LLP
  - Firm
  - Individual

e) Bank

- The tabs available under the Annual Returns menu reflect based on the type of constitution of the TM. The tabs accessible for each type of the constitution are as below:

| Corporate/LLP                                                                                         | Firm                                                                                               | Individual                                                                                         | Bank                                                                                               |
|-------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------|
| Annual Accounts                                                                                       | Annual Accounts                                                                                    | Annual Accounts                                                                                    | Annual Accounts                                                                                    |
| Networth                                                                                              | Networth                                                                                           | Networth                                                                                           | Annual Networth                                                                                    |
| Director Details                                                                                      | Partner Details                                                                                    | Proprietor Details                                                                                 | Attach Scanned<br>Copies                                                                           |
| Shareholding<br>Details                                                                               | Other Stock Exchange                                                                               | Other Stock Exchange                                                                               | Details of Principal<br>Officer and<br>Designated Director<br>appointed as per<br>PMLA requirement |
| Other Stock<br>Exchange                                                                               | Financial Details                                                                                  | Financial Details                                                                                  | Submit to Exchange                                                                                 |
| Listed In                                                                                             | Attach Scanned<br>Copies                                                                           | Attach Scanned<br>Copies                                                                           |                                                                                                    |
| Financial Details                                                                                     | Details of Principal<br>officer and Designated<br>director appointed as<br>per PMLA<br>requirement | Details of Principal<br>officer and Designated<br>director appointed as<br>per PMLA<br>requirement |                                                                                                    |
| Attach Scanned<br>Copies                                                                              | Submit to Exchange                                                                                 | Submit to Exchange                                                                                 |                                                                                                    |
| Details of<br>Principal officer<br>and Designated<br>director appointed<br>as per PMLA<br>requirement |                                                                                                    |                                                                                                    |                                                                                                    |

| Corporate/LLP      | Firm | Individual | Bank |
|--------------------|------|------------|------|
| Submit to Exchange |      |            |      |

➤ Status flow:

| Status                       | Description                                                                                                                                   | Trigger / Action                                    |
|------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------|
| <b>Not Entered</b>           | Default initial status for all tabs except for tabs which fall under Group III (data under Group III will be fetched from Exchange database). | NA                                                  |
| <b>Entered</b>               | Member enters the details wherever applicable.                                                                                                | Member clicks on 'Save' button after entering data. |
| <b>Submitted to Auditor</b>  | Member sends the data for review to Auditor.                                                                                                  | Member clicks on 'Submit to Auditor' button.        |
| <b>Certified by Auditor</b>  | Auditor reviews and approves the details.                                                                                                     | Auditor clicks on 'Certify' button.                 |
| <b>Rejected by Auditor</b>   | Auditor sends details back to Member for correction.                                                                                          | Auditor clicks on 'Send back to Member' button.     |
| <b>Submitted to Exchange</b> | Details submitted by Member to Exchange.                                                                                                      | Member clicks on 'Submit to Exchange' button.       |
| <b>Approved</b>              | Details submitted by Member to Exchange.                                                                                                      |                                                     |
| <b>Rejected by Exchange</b>  | Exchange sends details back to Member for correction.                                                                                         | If any discrepancies are observed by Exchange.      |

➤ On click of Annual Returns Submission menu, below default page will be displayed:

- The Main field contains the following details and buttons:

| Field Name            | Description                                                                                                                                                                    |
|-----------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Member Name           | Details are auto populated and disabled                                                                                                                                        |
| Member Code           | Details are auto populated and disabled                                                                                                                                        |
| PAN of Trading Member | Details are auto populated and disabled                                                                                                                                        |
| Year Applicable       | Drop down - Financial Year and Calendar Year<br>Select Applicable Year (Financial Year or Calendar Year) from the drop-down for the period for which submission is to be done. |
| Start Date            | Auto populated based on selection of Year Applicable                                                                                                                           |
| End Date              | Auto populated based on selection of Year Applicable                                                                                                                           |
| As on Date            | Auto populated based on selection of Year Applicable                                                                                                                           |

- Member has to select 'Financial Year' / 'Calendar Year' from the dropdown available under the tab 'Year Applicable'.

The screenshot displays the 'Annual Accounts' section of the XBRL filing interface. At the top, a dropdown menu for 'Year Applicable' is open, showing 'Financial Year' and 'Calendar Year' options. Below this, the 'Annual Accounts' tab is active, showing a list of fields on the left (e.g., Networth, Director Details, Shareholding Details) and a main form area on the right. The main form area contains fields for 'Name of the Statutory Auditor's Firm', 'Membership No. of the Statutory Auditor', 'Registration No. of the Statutory Auditor's Firm', 'Mobile No. of the Statutory Auditor', 'Email id of the Statutory Auditor', 'Date of appointment as a Statutory auditor', 'XBRL of Certificate', 'PAN of the Statutory Auditor's Firm', 'PAN of the Statutory Auditor', 'Is there change in Statutory Auditor?', 'Format of Financial Statements', 'Upload XBRL (.xml)', and 'Upload PDF Generated from XBRL Utility (.pdf)'. A 'Save' button is located at the top right of the main form area. A red message box at the top center says '(Please save this information before proceeding to fill below details.)'. The bottom of the interface shows a footer with 'XBRL Copyright (c) 2014', 'Exchange', 'Download Template', and 'Upload Director/Partner Details Excel'.

- After clicking on 'Save', all the existing details of the Member will be auto populated in respective tabs as per the latest data available in the Exchange database.

#### 4.1 Tab 1: Annual Accounts

- Once member clicks on 'Annual Accounts' tab, the below screen will appear:

- The 'Annual Accounts' tab contains the following details & buttons:

| Field Name                              | Description                                               |
|-----------------------------------------|-----------------------------------------------------------|
| Name of the Statutory Auditor's Firm    | Details are auto populated from Auditor registration page |
| Membership No. of the Statutory Auditor | Details are auto populated from Auditor registration page |
| Name of the Statutory Auditor           | Details are auto populated from Auditor registration page |

| Field Name                                                      | Description                                                                                                                                                                           |
|-----------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Registration No. of Statutory Auditor's Firm                    | Details are auto populated from Auditor registration page                                                                                                                             |
| Mobile number of the Statutory Auditor                          | Details are auto populated from Auditor registration page                                                                                                                             |
| Email id of the Statutory Auditor                               | Details are auto populated from Auditor registration page                                                                                                                             |
| Date of appointment as a Statutory Auditor                      | Details are auto populated from Auditor registration page                                                                                                                             |
| PAN of the Statutory Auditor's firm                             | Details are auto populated from Auditor registration page                                                                                                                             |
| PAN of the Statutory Auditor                                    | Details are auto populated from Auditor registration page                                                                                                                             |
| Name of the Statutory Auditor's Firm                            | Details are auto populated from Auditor registration page                                                                                                                             |
| Membership No. of the Statutory Auditor                         | Details are auto populated from Auditor registration page                                                                                                                             |
| UDIN of Certificate                                             | UDIN as mentioned in the Auditor's report needs to be filled here                                                                                                                     |
| Format in which Annual Accounts to be Submitted:                | As per Revised Schedule VI format                                                                                                                                                     |
| Is there change in Statutory Auditor                            | Drop Down- Yes/No                                                                                                                                                                     |
| Reason for change of statutory Auditor                          | Drop Down - Resignation of Statutory Auditor<br>If 'Yes' is selected, then reason for change will be available in drop down for selecting the reason for change in Statutory Auditor. |
| Mention Reason                                                  | If reason is selected as "Others" or "Resignation of Statutory Auditor", then reason for such change needs to be mentioned in the 'Mention reason' tab.                               |
| Supporting Documents for reason for change of statutory auditor | If 'Yes' is selected under 'Is there change in Statutory Auditor?' field, then attach necessary supporting documents (ADT-3/resignation letter, etc.)                                 |

| Field Name                                    | Description                                                                                                                                                                                                                                                                                     |
|-----------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Format of Financial Statement                 | Drop Down- IGAAP, INDAS, NBFC<br>(Select as applicable)                                                                                                                                                                                                                                         |
| Download XBRL Utility                         | Link for downloading utility<br><br>Download and save in local computer. XBRL utility is also available on Exchange website under following path: <b><i>“Resources &gt; Forms and Formats &gt; Click here for check form &amp; formats &gt; XBRL offline utility from Annual Returns”</i></b> . |
| Upload the XBRL (.xml)                        | Browse and upload xml file generated through XBRL utility. The file name should be the MemberCode-Format.                                                                                                                                                                                       |
| Upload PDF generated from XBRL utility (.pdf) | Upload PDF file converted from Html file. The file name should be the MemberCode-Format.                                                                                                                                                                                                        |
| Directors/ Partners of CA Firm                | Entries for Directors/ Partners can be added/ removed as per no. of directors/ partners of the CA firm by clicking on <b>Add</b> and <b>Delete</b> button<br><br>For Multiple Director/ Partner, Auditor can upload Excel template on the Portal as per the prescribed template format.         |
| Save                                          | This button will enable member to save the above details.                                                                                                                                                                                                                                       |
| Reset                                         | This button will reset the entered details to the default values.                                                                                                                                                                                                                               |

- Kindly refer to the following points for updating XBRL:
- Downloaded utilities are to be filled as per the financials.
  - Enter all applicable details in XBRL utility, enter “0” in fields which are not applicable and validate each sheet. Rectify errors, if any.
  - Type of XBRL utility filled should be the same as ‘Format of Financial Statements’ selected in the tab. For example, if IGAAP is selected as the format, the corresponding XBRL utility

must also be IGAAP. Further, the year Applicable (Calendar year/Financial year, applicable) selected should be the same in XBRL utility.

- After entering data in all sheets, click on General Info tab – “Home” button in utility > click on validate all sheets.
  - Once all sheets are validated successfully, generate XBRL file (.xml) and save on local computer.
  - Click on General Info tab – “Home” button in utility > click on Generate Report. The HTML file will get generated. Save the html file on the local computer.
  - Open the Html file and save it in PDF format. To save in PDF format, click on the print button and save file as PDF.
  - Upload the XBRL (.xml) - Browse and upload the xml file generated through XBRL utility.
  - Ensure following points while uploading the document:
    - Only XML file to be uploaded
    - File name should be the MemberCode-Format (XXXXXX-INDAS/IGAAP/NBFC)
    - The Year Applicable (Calendar Year/ Financial Year, as applicable) should be the same as mentioned in the main field.
    - Format of Financial Statement (IGAAP/IndAs/NBFC) mentioned while filling the utility should be the same as mentioned in the “Annual Accounts” tab.
    - Absolute numbers to be entered
  - Upload PDF (.pdf) –Upload PDF file converted from Html file in the attachment module. The file name should be the MemberCode-Format (XXXXXX-INDAS/IGAAP/NBFC).
- When member saves the details in the tab, the status will change to ‘**Entered**’ in the Annual Accounts tab.
- Once Member clicks on the ‘**Submit to Auditor**’ button, the details provided under the ‘Annual Accounts’ tab will be visible to the auditor for certification; further, the status of ‘Annual Accounts’ tab will be displayed as ‘**Submitted to Auditor**’ at the Member’s end.

## 4.2 Tab 2: Networth

- The process for Networth submission in Annual Returns will remain same as per Half yearly net worth submission process prescribed vide Exchange Circular Reference No. NSE/COMP/76716 dated October 05, 2026.
- The auditor shall log in to the Member portal and enter the Networth details.
- The auditor needs to download the Networth certificate, add their digital signature, and then submit it to the member.
- The member is required to verify the details entered by the auditor and submit the Networth certificate to Exchange.
- **If the member is okay with the submission made by the auditor:**  
At the end of the page, submit the declaration to the Exchange by filling in the details of the person providing declaration and click on the tab “Submit to Exchange”.

The screenshot shows the 'SUBMIT TO EXCHANGE' form. At the top, there is a red note: 'Note: Please check the networth submission details before submitting. Once the data is submitted member cannot add/modify/delete the details. So please confirm before submitting the details to the exchange.' Below this, the form is addressed to 'National Stock Exchange of India Ltd.' and includes a disclaimer about the submission of networth certificates. There is a checkbox for 'I hereby agree to all the above mentioned terms'. Below this, there are two columns of input fields: 'Name of the person providing declaration for the above mentioned point' and 'Designation of the person providing declaration'. Below these are fields for 'Mobile / phone no.' and 'Email id for further communication'. At the bottom right, there is a blue button labeled 'SUBMIT TO EXCHANGE'. At the bottom left, it says 'Current Status : APPROVED'.

This screenshot shows the same 'SUBMIT TO EXCHANGE' form as above, but with a 'Success' message overlay in the center. The message says 'Success' with a green checkmark icon and 'Request Saved Successfully'. Below the message is a blue 'OK' button. The form fields and the 'SUBMIT TO EXCHANGE' button are still visible in the background. The 'Current Status : APPROVED' is also visible at the bottom left.

- Fill in all the below mandatory tabs to submit the same to the Exchange:
  1. “I agree” – click on declaration
  2. Name of the person providing declaration
  3. Designation of the person whose signature is affixed
  4. Mobile / phone no.

## 5. Email id for further communication

### ➤ If the Member has any discrepancy with the submission made by the Auditor:

Member can mention the discrepancies or rejection remarks in the 'Rejection Remark' column and click on the tab 'Return to Auditor', post which, the submission will go back to the auditor for rectification along with the rejection remarks provided by the member.

## 4.3 Tab 3: Director/ Proprietor/ Partner Details

Director Details (Applicable for the following constitutions - Corporate, LLP):

### ➤ Once member clicks on 'Director Details' tab, the below screen will appear:

### ➤ The 'Director Details' tab contains the following details & buttons:

| Radio Button     | Description                                                                                                    |
|------------------|----------------------------------------------------------------------------------------------------------------|
| No Change (C-10) | No change to be selected when there is no change in the auto populated director details reflecting in the tab. |

|                                                                |                                                                                                                                                             |
|----------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Change (C-3/ C-15)                                             | Change to be selected when there is a change in the auto populated director details reflecting in the tab.                                                  |
| Name of the Audit Firm                                         | Details are auto populated from Auditor registration page                                                                                                   |
| Auditor Membership No.                                         | Details are auto populated from Auditor registration page                                                                                                   |
| Add Button<br><i>(Enabled only if 'Change' is selected)</i>    | Addition of new director details can be done by clicking on Add button.                                                                                     |
| Delete Button<br><i>(Enabled only if 'Change' is selected)</i> | Deletion of the existing Director details                                                                                                                   |
| Edit Button<br><i>(Enabled in both Change and No Change)</i>   | If Member wants to change the basic details like address, phone no., email id, etc of the existing directors; the same can be modified through this option. |
| Save                                                           | This tab will enable the member to save the details                                                                                                         |

➤ Brief description of the tabs:

■ No Change (C-10)

No Change to be selected when there is no change in the auto-populated director details reflecting in the tab.

The screenshot shows a web application interface for 'Director Details'. On the left is a sidebar menu with options: Annual Accounts, Networth, Director Details (selected), Shareholding Details, Other Stock Exchange, Listed In, Financial Details, Attach Scanned Copies, Principal officer and Designated Director details, and Submit to Exchange. The 'Director Details' section is active, showing a 'Submitted to Auditor' status. Below this, there are radio buttons for 'No Change (C-10)' (selected) and 'Change (C-3 / C-15)'. The main form area has fields for 'Name of Audit Firm' and 'Auditor Membership No.' with a 'Save' button. Below these is a table with columns: Sr. No., Edit, Delete, Designation/Controlling, Name of Director, DIN of Director, Experience, In Designated Director, Date of Birth, Email Id, Mobile No., and PAN. The table contains two rows of data. At the bottom, there is a 'SUBMIT TO EXCHANGE' button.

■ Change (C-3)

- Details of Directors appearing in the Screen should match with the last approval given by the Exchange. However, if there is a change in the auto populated director details reflecting in the tab, 'Change' radio button to be selected.

(Please save this information before proceeding to fill below details.)

### Director Details

NAME OF AUDIT FIRM: \_\_\_\_\_ AUDITOR MEMBERSHIP NO.: \_\_\_\_\_

Save

Export: Items per page: 10 1 - 2 of 2

| Sr. No. | Edit | Delete | Directorship /Controlling | Name Of Director | DOB of Director | Experience | In Designated Director | Date of birth | Email Id | Mobile No | PAN |
|---------|------|--------|---------------------------|------------------|-----------------|------------|------------------------|---------------|----------|-----------|-----|
| 1       |      |        |                           |                  |                 |            |                        |               |          |           |     |
| 2       |      |        |                           |                  |                 |            |                        |               |          |           |     |

APPROVAL STATUS  
SUBMITTED TO AUDITOR

- Once the member selects 'Change' and confirms by clicking 'Ok', the selection cannot be reverted to 'No Change'.
- Additionally, since the director details currently displayed on the portal (under the Exchange Records tab) do not match your internal records, you must obtain post-facto approval from the Exchange to reconcile these discrepancies, the same shall be communicated via below pop-up message.

Annual Accounts Submitted to Auditor

Networth Not Entered

Director Details Submitted to Auditor

Shareholding Details Entered

Other Stock Exchange Entered

Listed In Entered

Financial Details Not Entered

Attach Scanned Copies Not Entered

Principal officer and Designated Director details Not Entered

Submit To Exchange

### Director Details

NAME OF AUDIT FIRM: \_\_\_\_\_ AUDITOR MEMBERSHIP NO.: \_\_\_\_\_

Save

Export: Items per page: 10 1 - 3 of 3

| Sr. No. | Edit | Delete | Directorship /Controlling | Name Of Director | DOB of Director | Experience | In Designated Director | Date of birth | Email Id | Mobile No | PAN |
|---------|------|--------|---------------------------|------------------|-----------------|------------|------------------------|---------------|----------|-----------|-----|
| 1       |      |        |                           |                  |                 |            |                        |               |          |           |     |
| 2       |      |        |                           |                  |                 |            |                        |               |          |           |     |

APPROVAL STATUS  
SUBMITTED TO AUDITOR

- Addition/ Deletion of Director Details: (Enabled only in case of 'Change')
  - The 'Add' tab is provided to add the details of any new director. This tab shall be enabled only when the 'Change' radio button is selected.

31-Mar-2026

(Please save this information before proceeding to fill below details.)

### Director Details

NAME OF AUDIT FIRM: \_\_\_\_\_ AUDITOR MEMBERSHIP NO.: \_\_\_\_\_

Save

Export: Items per page: 10 1 - 2 of 2

| Sr. No. | Edit | Delete | Directorship /Controlling | Name Of Director | DOB of Director | Experience | In Designated Director | Date of birth | Email Id | Mobile No | PAN |
|---------|------|--------|---------------------------|------------------|-----------------|------------|------------------------|---------------|----------|-----------|-----|
| 1       |      |        |                           |                  |                 |            |                        |               |          |           |     |
| 2       |      |        |                           |                  |                 |            |                        |               |          |           |     |

Submit To Auditor

- When member clicks on Add button, below ‘Add Details of Director’ form will be displayed:

- Fill in the details and save the entry. Once the entry is saved, director details shall be reflected on the submission screen.  
 ‘**Save**’: This button will enable the member to save the above details.  
 ‘**Reset**’: This button will reset the entered details to the default values.
- While adding the Directors’ details, kindly ensure:
  - ✓ If ‘Mrs.’ is selected from the title, ‘Husband Name’ field will get enabled & it will be a mandatory field.
  - ✓ Each Designated Director must hold at least HSC or an equivalent qualification.
  - ✓ The Designated Directors must have minimum 2 years of experience.
  - ✓ The years of experience must be less than the age selected, otherwise it will show an error.
  - ✓ Experience cannot be 0.
  - ✓ Incase of Designated Directors, the minimum age must be 21 years otherwise it will show an error.
  - ✓ Incase of Non-Designated Directors, the minimum age must be 18 years, otherwise it will show an error.
  - ✓ Member needs to enter 10 digit mobile number and contact number.
  - ✓ PAN Card number and Father’s Name are mandatory fields.
  - ✓ Member will not be able to add another entry having already saved PAN Card no.
  - ✓ Member will not be able to add another entry of the designated director having same DIN no. & same Name.

- ✓ ✓ DIN number must be of 8 numeric digits.
- ✓ To delete the existing directors details reflecting in the tab, click on 'Delete' icon reflecting against each director.
- Once member is satisfied with the director's details appearing in the tab, member can proceed further with saving the details.
- Upon saving the details, the member has to click on the tab, '**Submit to Auditor**'. Once clicking on this tab, the assigned auditor for 'Other Details' tab will be able to certify the details submitted under this particular tab.

The screenshot shows the 'Director Details' form. A success message box is displayed: 'Success Submitted Successfully.' with an 'OK' button. Below the message is a table with columns: Sr. No., Edit, Delete, Relationship /Controlling, Name Of Director, DIN of Director, Experience, Designated Director, Date of birth, Email Id, Mobile No, PAN. The table has two rows of data. At the bottom, there is a 'Submit To Auditor' button.

- Once Member clicks on the '**Submit to Auditor**' button, then status will be displayed as 'Submitted to Auditor' at the Member end.

### **Proprietor Details (For constitution- Individual):**

- When member clicks on 'Proprietor Details' tab, the module will get highlighted & below screen will appear:

The screenshot shows the 'Proprietor Details' form. A callout box points to the 'Basic details of the proprietor can be changed from here' text, which is located near the 'Do you want to change some basic details of Proprietor?' question. The form includes fields for Name, Education Qualification, Experience, Date Of Birth, Age, Flat/Door No., Building Name, Floor, Street/Road Name, Landmark, Area/Localty/City, and Select City.

- Details of proprietor should be same as reported last year.

- The 'Proprietor Details' tab contains the following details & buttons:

| Field/Button                                            | Description                                                                                                                                                                                                                                                       |
|---------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| No Change (C-10)                                        | No change to be selected when there is no change in the auto populated proprietor details reflecting in the tab.                                                                                                                                                  |
| Change (C-3)                                            | No changes are allowed under this field in the case of proprietor.                                                                                                                                                                                                |
| Name of Audit Firm                                      | Details are auto populated from Auditor registration page                                                                                                                                                                                                         |
| Auditor Membership No.                                  | Details are auto populated from Auditor registration page                                                                                                                                                                                                         |
| Do you want to change some basic details of Proprietor? | Yes/No radio button is provided. If 'Yes' is selected, then certain basic details like address, email id, qualification, contact no., mobile no., etc are editable. However, other details like Name, PAN, Date of Birth, age and father's name are non-editable. |

- Once member is satisfied with the proprietor details appearing in the tab, member can proceed further with saving the details.
- Upon saving the details, the member has to click on the button, 'Submit to Auditor', post which the assigned auditor for 'Other Details' tab will be able to certify the details submitted under this particular tab.

### **Partner Details (For constitution- Firm):**

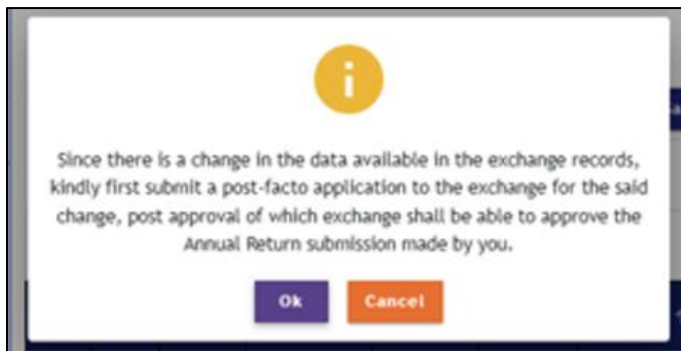
- Once member clicks on 'Partner Details' tab, the below screen will appear:

- The 'Partner Details' tab contains the following details & buttons:

| Radio Button           | Description                                                                                                  |
|------------------------|--------------------------------------------------------------------------------------------------------------|
| No Change (C-10)       | No change to be selected when there is no change in the auto populated partner details reflected in the tab. |
| Change (C-3)           | Change to be selected when there is a change in the auto-populated partner details reflected in the tab.     |
| Name of the Audit Firm | Details are auto populated from Auditor registration page                                                    |
| Auditor Membership No. | Details are auto populated from Auditor registration page                                                    |

| Radio Button                                            | Description                                                                                                                                         |
|---------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------|
| Add Button<br>(Enabled only if 'Change' is selected)    | Addition of new partner details can be done by clicking on Add button.                                                                              |
| Delete Button<br>(Enabled only if 'Change' is selected) | Deletion of the existing partner details can be done using the Delete button.                                                                       |
| Edit Button<br>(Enabled in both Change and No Change)   | If Member wants to change the basic details like address, email id, qualification, phone no., etc. of the existing partner, edit option is enabled. |
| Save                                                    | This tab will enable the member to save the details                                                                                                 |
| Reset                                                   | This button will reset the entered details to the default values.                                                                                   |

- When member selects the 'Change' option and confirms by clicking on 'Ok', then member will not be able to modify the selection from 'Change' to 'No Change'.
- Details of Partners appearing in the screen should match with the last approval given by the Exchange. However, if there is a change in the auto-populated partner details reflecting in the tab, 'Change' radio button to be selected.
- Additionally, since the partner details currently displayed on the portal (under the Exchange Records tab) do not match your internal records, you must obtain post-facto approval from the Exchange to reconcile these discrepancies, the same shall be communicated via below pop-up message:



- While adding the Partners' details, kindly ensure:
  - ✓ If 'Mrs.' is selected from the title, 'Husband Name' field will get enabled & it will be a mandatory field.
  - ✓ Each Designated Partner must hold at least HSC or an equivalent qualification
  - ✓ The designated partner must have minimum 2 years of experience pertaining to securities market.
  - ✓ The years of experience must be less than the age selected, otherwise it will show an error.
  - ✓ Experience cannot be 0.

- Once member is satisfied with the partner details appearing in the tab, member can proceed further with saving the details.
- Upon saving the details, the member has to click on the tab, ‘Submit to Auditor’, post which, the assigned auditor for ‘Other Details’ tab will be able to certify the details submitted under this particular tab.

#### 4.4 Tab 4: Shareholding Details

- Once member clicks on ‘Shareholding Details’ tab, the below screen will appear:

- The ‘Shareholding Details’ tab contains the following details & buttons.

| Field Name                       | Description                                                                                                     |
|----------------------------------|-----------------------------------------------------------------------------------------------------------------|
| No Change (C-10)                 | No change to be selected when there is no change in the existing shareholders and their shareholding.           |
| Change (C-7 & C-8 if applicable) | Change to be selected when there is change in existing shareholders and/or their shareholding.                  |
| Name of the Audit Firm           | Details are auto populated from Auditor registration page                                                       |
| Auditor Membership No.           | Details are auto populated from Auditor registration page                                                       |
| Equity / Preference              | Category wise shareholders will reflect under selected radio button.                                            |
| Add Button                       | If Member selects ‘Change’ radio button, then new shareholder addition can be done by clicking on ‘Add’ button. |

|                |                                                                                                                                                                                                 |
|----------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Edit Button    | If Member wants to change the basic details of the existing shareholders like address, phone no., email id, etc; the same can be modified through this option.                                  |
| Delete Button  | If Member selects 'Change' radio button, then existing shareholders deletion can be done by clicking on 'Delete' button.                                                                        |
| Promoter Group | 'Yes' to be selected in Promoter Group only when details of Person Acting in Concert (PAC) of the respective promoter to be added. If there's no PAC, 'No' to be selected under Promoter Group. |
| Save Button    | This button will enable member to save the above details.                                                                                                                                       |

➤ Brief description of the tabs:

■ No Change (C-10)

No change to be selected when there is no change in the auto populated shareholder and shareholding details reflecting in the tab.

■ Change (C-7)

- Change to be selected when there is a change in the auto-populated shareholder and shareholding details reflected in the tab.

(Please save this information before proceeding to fill below details.)

### Shareholding Report

Name of Audit Firm: \_\_\_\_\_ Auditor Membership No.: \_\_\_\_\_

Save

☒ Equity ☐ Preference

Note :  
 • For Promoter Group - Select "Yes" only In case details of Person Acting in Concert (PAC) is to be added under the respective Promoter

Add

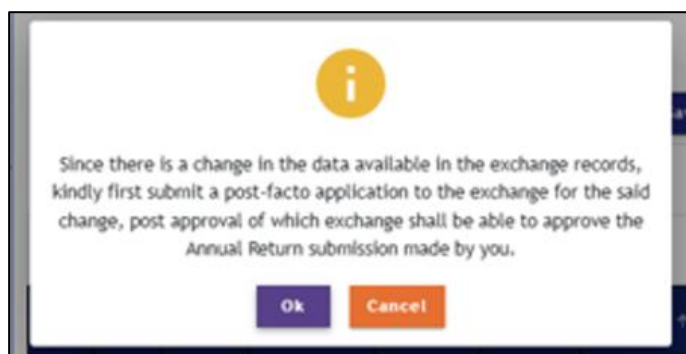
Export: Items per page: 10 1 - 3 of 3

| Sr No. | Edt | Delete | Promoter Group | Name of the Shareholder / Relative / Corporate | PAN of Shareholder / Relative / Corporate | CIN Number | No. of Shares | Amount Paid In Lacs | Percentage | Promoter | Promoter Group |
|--------|-----|--------|----------------|------------------------------------------------|-------------------------------------------|------------|---------------|---------------------|------------|----------|----------------|
|        |     |        |                | PROMOTER :                                     |                                           |            | 1350000       | 135.00000000        | 100.000    |          |                |
| 1      |     |        |                |                                                |                                           |            |               |                     |            |          |                |
|        |     |        |                | TOTAL :                                        |                                           |            | 1350000       | 135.00              | 100.00     |          |                |

Approval Status  
SUBMITTED TO AUDITOR \_\_\_\_\_

Submit To Auditor

- Once you select 'Change' and confirm by clicking 'Ok', the selection cannot be reverted to 'No Change'.
- Additionally, since the shareholder and shareholding details displayed on the portal (under the Exchange Records tab) do not match your internal records, you must obtain post-facto approval from the Exchange to reconcile these discrepancies, the same shall be communicated via below pop-up message:



- Addition/ Deletion of Shareholding Details: (Enabled only in case of 'Change')
  - The 'Add' tab is provided to add the details of any new shareholder. This tab shall be enabled only when the 'Change' radio button is selected.
  - When member clicks on Add button, below 'Add Details of shareholder' form will be displayed.
  - ✓ Name of the shareholder, PAN of shareholder, CIN (in case of corporate/LLP) to be mentioned.
  - ✓ Selection from Equity/Preference/Equity and preference to be selected.

- ✓ If the shareholder is a promoter – Yes/ No to be selected. If ‘No’ is selected, then promoter group option will be disabled. If ‘Yes’ is selected, then Promoter Group to be selected as Yes/No. While selecting Promoter Group, ‘Yes’ to be selected only in case when details of Person Acting in Concert (PAC) are to be added under the respective promoter.
- ✓ Number of shares and paid up value to be added. Percentage will be auto calculated on the basis of the entries made.
- ✓ Address of the shareholder is to be filled mandatorily.
- ✓ Fill in the details and save the entry. Once the entry is saved, shareholding details shall be reflected in the page.

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

‘**Reset**’: This button will reset the entered details to the default values.

- Once member is satisfied with the shareholder details appearing in the tab, member can proceed further with saving the details.
- Upon saving the details, the member has to click on the tab, ‘**Submit to Auditor**’, post which, the assigned auditor for ‘Other Details’ tab will be able to certify the details submitted under this particular tab.

(Please save this information before proceeding to fill below details.)

### Shareholding Report

Name of Auditor Firm: S Auditor Membership No: S

**Save**

☒ Equity ☐ Preference

**Note :**

- For Promoter Group - Select "Yes" only in case details of Person Acting in Concert (PAC) is to be added under the respective Promoter

**Success**  
Submitted Successfully.

**Export:** Items per page: 10 1 - 3 of 3

| No.               | Edit | Delete | Promoter Group | Name of the Shareholder / Relative / Corporate | PAN of Shareholder / Relative / Corporate | CIN Number | No. of Shares | Amount Paid in Lacs | Percentage | Promoter | Promoter Group |
|-------------------|------|--------|----------------|------------------------------------------------|-------------------------------------------|------------|---------------|---------------------|------------|----------|----------------|
| <b>PROMOTER :</b> |      |        |                |                                                |                                           |            |               |                     |            |          |                |
| 1                 |      |        |                | ASHOK KUMAR GOENKA                             | ABCDE1234F                                | ---        | 450000        | 45                  | 48.148     | YES      | YES            |
|                   |      |        |                | RAKUL GOENKA                                   | ABCDE1234F                                | ---        | 200000        | 20                  | 14.815     | ---      | ---            |
|                   |      |        |                | SHRUTI GOENKA                                  | ABCDE1234F                                | ---        | 500000        | 50                  | 37.027     | ---      | ---            |
| <b>TOTAL :</b>    |      |        |                |                                                |                                           |            | 1350000       | 135.00              | 100.00     |          |                |

**Submit To Auditor**

- Once Member clicks on the ‘Submit to Auditor’ button, then status will be displayed as ‘Submitted to Auditor’ at the Member end.

## 4.5 Tab 5: Other Stock Exchange

- Once member clicks on 'Other Stock Exchange' tab, the below screen will appear:

(Please save this information before proceeding to fill below details.)

**Membership on Other Stock Exchange**

Name of Audit Firm:  Auditor Membership No.:

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

Application Status: SUBMITTED TO AUDITOR

Buttons: Save, Submit To Auditor

| Sr. No. | Edit | Delete | Name Of Stock Exchange | Registration Date | Name of Trading Member/Holding Co/Proprietor/Partners | Relation | Membership Number |
|---------|------|--------|------------------------|-------------------|-------------------------------------------------------|----------|-------------------|
| 1       |      |        |                        |                   |                                                       |          |                   |

- The 'Other Stock Exchange' tab contains the following details & buttons.

| Field Name                                              | Description                                                                                                                                                     |
|---------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------|
| No Change (C-10)                                        | No change to be selected when there is no change in the membership of the member in other Stock Exchanges.                                                      |
| Change (C-2)                                            | Change to be selected when there is change in the membership of the member in other Stock Exchanges.                                                            |
| Name of Audit Firm                                      | Details are auto populated from Auditor registration page                                                                                                       |
| Auditor Membership No.                                  | Details are auto populated from Auditor registration page                                                                                                       |
| Are you a member of other Stock Exchange                | Yes/ No Radio Button                                                                                                                                            |
| Add Button<br>(Enabled only if 'Change' is selected)    | If Member selects 'Change' radio button, then new Other Stock Exchange details addition can be done.                                                            |
| Edit Button<br>(Enabled only if 'Change' is selected)   | If Member wants to change the basic details of the existing Other Stock Exchange details appearing on the screen; the same can be modified through this option. |
| Delete Button<br>(Enabled only if 'Change' is selected) | For deletion of existing Other Stock Exchange details appearing in the tab.                                                                                     |
| Save Button<br>(Enabled in both Change and No Change)   | This button will enable member to save the above details.                                                                                                       |

- Once Member clicks on the '**Submit to Auditor**' button, then status will be displayed as 'Submitted to Auditor' at the Member end.

## 4.6 Tab 6: Listed in

- Once member clicks on 'Listed In' tab, the below screen will appear:

- The 'Listed In' tab contains the following details & buttons.

| Field Name             | Description                                                                                                                                                                                               |
|------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| No Change (C-10)       | No change to be selected when there is no change in the Listing details/ status of the member in the Stock Exchanges.                                                                                     |
| Change (C-2)           | Change to be selected when there is change in the Listing details/ status of the member in Stock Exchanges.                                                                                               |
| Name of Audit Firm     | Details are auto populated from Auditor registration page                                                                                                                                                 |
| Auditor Membership No. | Details are auto populated from Auditor registration page                                                                                                                                                 |
| Are you Listed?        | Yes- To be selected when the member entity is listed, upon clicking on Yes, 'Save' button should be clicked to add further details of listing.<br>No- To be selected when the member entity is not listed |
| Add Button             | If Member selects 'Change' radio button, then additional details can be submitted by clicking on Add button                                                                                               |
| Edit Button            | Member can change the existing details through this option.                                                                                                                                               |
| Delete Button          | If Member selects 'Change' radio button, then existing details can be deleted by clicking on 'Delete' button.                                                                                             |
| Save Button            | This button will enable member to save the above details.                                                                                                                                                 |

- Upon saving the details, the member has to click on the tab, 'Submit to Auditor', post which, the assigned auditor for 'Other Details' tab will be able to certify the details submitted under this particular tab.

- Once Member clicks on the ‘**Submit to Auditor**’ button, then status will be displayed as ‘Submitted to Auditor’ at the Member end.

#### 4.7 Tab 7: Financial Details

- Once Member clicks on ‘Financial Details’ tab, the below screen will appear:

- The ‘Financial Details’ tab contains the following details & buttons.

| Field Name                                                                                      | Data Type                                                 |
|-------------------------------------------------------------------------------------------------|-----------------------------------------------------------|
| Name of Audit Firm                                                                              | Details are auto populated from Auditor registration page |
| Auditor Membership No.                                                                          | Details are auto populated from Auditor registration page |
| PAN of the Auditor                                                                              | Details are auto populated from Auditor registration page |
| Inter-corporate deposits given                                                                  | Numeric & two decimal values (in Actuals)                 |
| Value of Investments or advances or loans in group companies or associates or firms or entities | Numeric & two decimal values (in Actuals)                 |
| Value of maximum outstanding inter corporate debts given during year                            | Numeric & two decimal values (in Actuals)                 |
| Value of maximum outstanding inter corporate debts taken during year                            | Numeric & two decimal values (in Actuals)                 |

| Field Name                                  | Data Type                                                                                                                                                                                                                                                                         |
|---------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Debt Equity Ratio                           | Numeric & two decimal values (in times)                                                                                                                                                                                                                                           |
| Loan to Associates entities – Current Year  | Numeric & two decimal values (in Actuals)                                                                                                                                                                                                                                         |
| Loan to Associates entities – Previous Year | Numeric & two decimal values (in Actuals)                                                                                                                                                                                                                                         |
| Directors/ Partners of CA Firm              | Entries for Directors/ Partners can be added/ removed as per no. of directors/ partners of the CA firm by clicking on <b>Add</b> and <b>Delete</b> button<br>For Multiple Director/ Partner, member can upload Excel template on the Portal as per the template format available. |

- Once Member clicks on the ‘**Submit to Auditor**’ button, then status will be displayed as ‘Submitted to Auditor’ at the Member end.

#### 4.8 Tab 8: Principal officer and Designated Director details

- Once Member clicks on the ‘Principal Officer and Designated Director details’ tab, the below screen will appear.

- The ‘Principal officer and Designated Director details’ tab contains the following details & buttons.

| Field Name  | Data Type                                                |
|-------------|----------------------------------------------------------|
| Designation | 1. Principal officer<br>2. Designated Director           |
| Name        | Name of the Principal officer and/or Designated Director |
| Email       | Email id of the Principal officer/ Designated Director   |

|                     |                                                                                                                              |
|---------------------|------------------------------------------------------------------------------------------------------------------------------|
| Contact Number      | Mobile No. of the Principal officer/ Designated Director details                                                             |
| Add row/ Delete Row | Member can add/ delete the principal officer and Designated Director by clicking on Add Row/ Delete Row button respectively. |
| Save                | This button will enable member to save the above details.                                                                    |

- Principal officer and Designated Director need to be added as per the details prescribed in SEBI circular SEBI/HO/MIRSD-SEC-5/P/CIR/2023/022 dated February 03, 2023.
- Incase Member is not providing the above details, reason for non-submission of the details has to be provided.

(Please save this information before proceeding to fill below details.)

Note  
This is with reference to the SEBI circular No. SEBI/HO/MIRSD/MIRSD-SEC-5/P/CIR/2023/022 dated February 03, 2023 regarding appointment of Principal Officer and Designated Director for ensuring compliance with provisions of Prevention of Money Laundering Act, 2002 and intimation of these details to the Office of the Director, FIU IND. Further, the definition of Principal Officer can be referred to in SEBI Circular SEBI/HO/MIRSD/SEC-FATF/P/CIR/2023/0170 dated October 13, 2023 regarding Amendment to the Guidelines on Anti-Money Laundering (AML) Standards and Combating the Financing of Terrorism (CFT) Obligations of Securities Market Intermediaries under the provisions of Prevention of Money Laundering Act, 2002 and Rules framed there under Provide Principal officer and Designated Director details which are appointed as per the provisions of Prevention of Money Laundering Act, 2002 and Rules framed there under

**Error**  
Kindly provide Reason for non submission of details

| No. | Designation         | Name | Email | Contact number |
|-----|---------------------|------|-------|----------------|
| 1   | Designated Director |      |       |                |

+ Add Row

Reason for non submission of details stated above

Save

- Upon saving the details, the status will change to 'Entered' in the 'Principal officer and Designated Director details' tab.

(Please save this information before proceeding to fill below details.)

Note  
This is with reference to the SEBI circular No. SEBI/HO/MIRSD/MIRSD-SEC-5/P/CIR/2023/022 dated February 03, 2023 regarding appointment of Principal Officer and Designated Director for ensuring compliance with provisions of Prevention of Money Laundering Act, 2002 and intimation of these details to the Office of the Director, FIU IND. Further, the definition of Principal Officer can be referred to in SEBI Circular SEBI/HO/MIRSD/SEC-FATF/P/CIR/2023/0170 dated October 13, 2023 regarding Amendment to the Guidelines on Anti-Money Laundering (AML) Standards and Combating the Financing of Terrorism (CFT) Obligations of Securities Market Intermediaries under the provisions of Prevention of Money Laundering Act, 2002 and Rules framed there under Provide Principal officer and Designated Director details which are appointed as per the provisions of Prevention of Money Laundering Act, 2002 and Rules framed there under

**Success**  
Data Saved Successfully

| No.                        | Designation         | Name | Email | Contact number |
|----------------------------|---------------------|------|-------|----------------|
| 1                          | Designated Director | AA   |       | 8              |
| <input type="checkbox"/> 2 | Principal Officer   | AA   |       |                |

+ Add Row - Delete Row

Reason for non submission of details stated above

Save

#### 4.9 Tab 9: Attach Scanned Copies

- The required documents for annual returns submission to be uploaded under the ‘Attach Scanned Copies’ tab.
- The tab-wise documents will reflect under Auditor’s login for certification as per their assigned group of tabs.

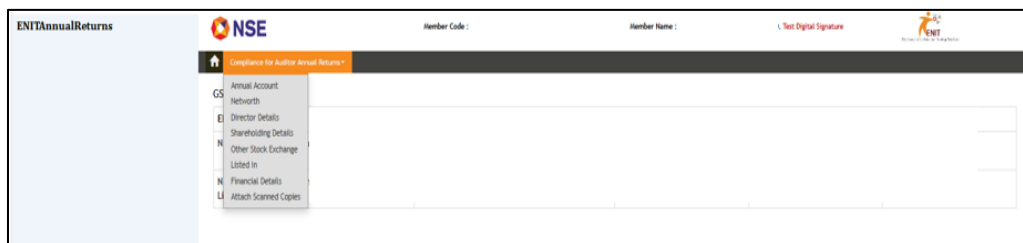
| Tab Name                                       | Document Type                                   | Applicable Constitution                     | File Nomenclature                          | Attachment for Change / No Change                                                                                         |
|------------------------------------------------|-------------------------------------------------|---------------------------------------------|--------------------------------------------|---------------------------------------------------------------------------------------------------------------------------|
| Annual Account                                 | Audited Balance Sheet                           | Corporate<br>Individual Firm<br>LLP<br>Bank | XXXXXXAuditedBalanceSheet31MarYYYY         | NA                                                                                                                        |
| Annual Account                                 | Profit & Loss Account                           | Corporate<br>Individual Firm<br>LLP<br>Bank | XXXXXXPLAccount31MarYYYY                   | NA                                                                                                                        |
| Annual Account                                 | Schedule & Notes to Account                     | Corporate<br>Individual Firm<br>LLP<br>Bank | XXXXXXScheduleNotesAcc31MarYYYY            | NA                                                                                                                        |
| Annual Account                                 | Auditor’s Report                                | Corporate<br>Individual Firm<br>LLP<br>Bank | XXXXXXAuditorsReport31MarYYYY              | NA                                                                                                                        |
| Annual Account                                 | Director’s Report                               | Corporate<br>LLP<br>Bank                    | XXXXXXDirectorsReport31MarYYYY             | NA                                                                                                                        |
| Annual Account                                 | MGT 7                                           | Corporate                                   | XXXXXXMGT731MarYYYY                        | NA                                                                                                                        |
| Annual Account                                 | Form 11                                         | LLP                                         | XXXXXXForm1131MarYYYY                      | NA                                                                                                                        |
| Director/<br>Proprietor/<br>Partner<br>Details | Details of<br>Proprietor/<br>Partner/ Directors | Corporate<br>Individual Firm<br>LLP         | XXXXXXCZProprietorPartnerDirector31MarYYYY | <b>No Change- C-10<br/>Change- C-3</b><br><br><i>Copy of C-3/C-10<br/>duly certified by<br/>CA/ CS to be<br/>attached</i> |

| Tab Name             | Document Type                                                                                                   | Applicable Constitution       | File Nomenclature                    | Attachment for Change / No Change                                                                          |
|----------------------|-----------------------------------------------------------------------------------------------------------------|-------------------------------|--------------------------------------|------------------------------------------------------------------------------------------------------------|
| Shareholding Details | Details of Shareholding pattern of trading member                                                               | Corporate LLP                 | XXXXXXCZShareholdingPattern31MarYYYY | <b>No Change- C-10 Change- C-7</b><br><br><i>Copy of C-7/ C-10 duly certified by CA/ CS to be attached</i> |
| Shareholding Details | Undertaking for Relative Support/ Corporate Support to Promoter Shareholders of trading member                  | Corporate LLP                 | XXXXXXCZRelativeSupport31MarYYYY     | <b>No Change- C-10 Change- C-7</b><br><br><i>Copy of C-7/ C-10 duly certified by CA/ CS to be attached</i> |
| Shareholding Details | Details of Shareholding Pattern of corporate entity/ies forming part of Promoter Group of trading member entity | Corporate LLP                 | XXXXXXDominantShareholder31MarYYYY   | NA                                                                                                         |
| Other Stock Exchange | Membership on Other Stock Exchanges                                                                             | Corporate Individual Firm LLP | XXXXXXCZMembershipOSE31MarYYYY       | <b>No Change- C-10 Change- C-2</b><br><br><i>(Copy of C-2/C-10 duly certified by CA/CS to be attached)</i> |
| Listed in            | Details of Listing                                                                                              | Corporate                     | XXXXXXCZListedIn31MarYYYY            | <b>No Change- C-10 Change- C-2</b><br><br><i>(Copy of C-2/C-10 duly certified by CA/CS to be attached)</i> |

## 5. Certification by Auditor

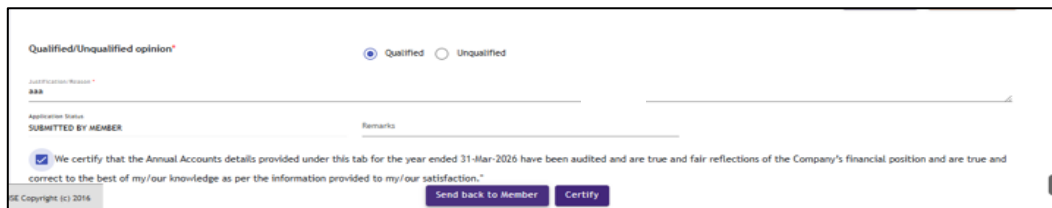
### Brief Process:

- Before submitting request to the Exchange, Auditor has to certify details submitted by Member.
- When member enters & saves the details of any tab (Except Networth tab), the status of the respective tab will change to 'Entered'.
- Once Member clicks on 'Submit to Auditor' then status of the respective tab will be displayed as 'Submitted to Auditor'.
- Member can submit each tab separately to the auditor for certification.
- URL and Registration details will be provided to the Auditor via auto generated email, once member completes the Auditor Registration and assignment of relevant roles on ENIT and Member Portal respectively. The Auditor shall connect with the Member for login details post which Auditor will click on the URL provided via email and login through credentials.
- If auditor is satisfied with the information provided by the Member, Auditor will 'Certify' the details of that tab. The status will be updated to 'Certified by Auditor'
- If Auditor observes any discrepancies, auditor will click on 'Send back to Member' and status will be updated to 'Rejected by Auditor' at Member end. Member has to make necessary changes as requested by the Auditor.
- The tab wise status will reflect at Member end once auditor completes the certification of each tab.
- The relevant scanned copies uploaded by the Member related to specific tab will reflect under 'Attach Scanned Copies' tab. Auditor has to verify and certify the same along with the respective tab.
- For accessing 'Annual Accounts' tab, click on 'Compliance for Auditor Annual Returns' menu.



## 5.1 Group I: Certification process for Annual Accounts Auditor

- In case auditor is not satisfied with the details provided by the member under this particular tab, auditor can send the submission back to the member for rectification by clicking on the tab 'Send back to Member'.
- In case auditor is satisfied with the details provided by the member under the tab, Auditor can click on 'Qualified/Unqualified' Opinion by providing Justification/Reason in free text tab.
- By clicking on tick box of declaration mentioned on the screen, auditor certifies the submission made by the member and details provided under the tab.



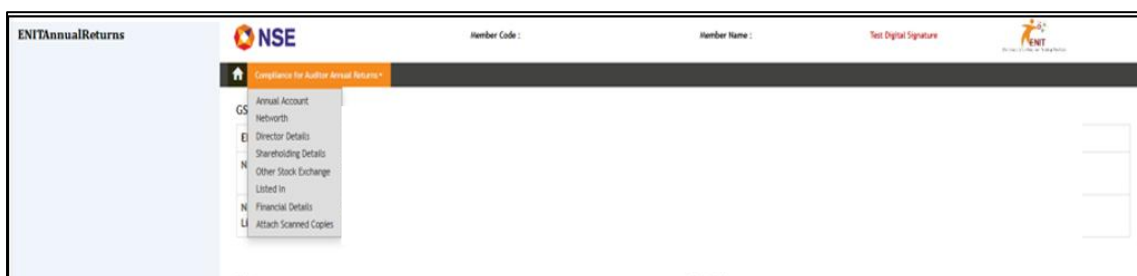
- Once Auditor clicks on 'Certify' button, the Status will reflect as 'Certified by Auditor' at member's end.



- The relevant scanned copies uploaded by the Member related to Annual Accounts tab will reflect under 'Attach Scanned Copies' tab. Auditor has to separately verify and certify the said documents along with the 'Annual Accounts' tab by clicking on 'Certify' button. If any discrepancies, Auditor can click on 'Send back to Member' button. In this case, Member has to revise the uploaded document.
- In case of rejection, the Member will resubmit the respective tab to auditor for certification.

## 5.2 Group II: Certification process for Network Details

- In case of Network details, the assigned Auditor has to update the network related details of the Member which is available under the 'Compliance for Auditor Annual Returns' menu.



- The process for Network submission in Annual Returns will remain same as per Half yearly network submission process prescribed vide Exchange Circular Reference No. NSE/COMP/76716 dated October 05, 2026.
- Here, 'Name of Audit Firm', Auditor Membership No.', 'PAN of Audit Firm', 'Date of appointment of certifying entity' and 'Method of computation of Network' fields are auto populated and not editable.

 The screenshot shows the 'Annual Network' form. It includes fields for 'Name of Audit Firm', 'Auditor Membership No.', 'Method of Computation of Net Worth', 'SEBI ID of the certifying entity', 'Net of Audit Firm', and 'Date of appointment of certifying entity'. There is a checkbox for 'We certify that network computation is based on standalone basis'. Below this is a section for 'Director/Partner of CA Firm Details' with a table to enter details. The table has columns for 'Sr No', 'Name of Director/partner of CA firm', and 'PAN of Director/partner of CA firm'. There are 'Add More' and 'Delete Row' buttons. At the bottom, there's a section for 'Chapter X of SEBI (Stock Brokers) Regulations, 2026' with various financial fields like 'Paid up capital (A)', 'Non-allowable assets viz.', 'Fixed Assets', 'Pledged Securities', 'Free Reserves (C)', and 'Member's Exp'.

- Fill in the details of Name, PAN number of all the directors/partners of the auditing firm. To add multiple entries of directors/partners, click on the tab 'Add More'. For Multiple Director/Partner, Auditor can upload Excel template on the Portal as per the prescribed template format.
- Fill in the computation figures. Variable Network needs to be updated under the Variable Network field which is a mandatory field. In case Variable Network is not applicable, put '0' in the tab of variable Network and provide the reason for non-applicability of the variable Network in the free text column provided below the tab. Click on the tab "Save" once all the details along with the computation are filled in.

| Particulars                                                                                                                                                                                       | Amount/In absolute figure                                            |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------|
| Net up capital (A) = Fully compulsorily and mandatorily convertible debentures / bonds / warrants which are convertible within a period of 5 years from the date of issue (B) + Free Reserves (C) | Non-allowable assets viz.,                                           |
| Paid up capital (A1)                                                                                                                                                                              | Fixed Assets                                                         |
| Fully compulsorily and mandatorily convertible debentures / bonds / warrants which are convertible within a period of 5 years                                                                     | Pledged Securities                                                   |
| Free Reserves (C)                                                                                                                                                                                 | Member's Card                                                        |
|                                                                                                                                                                                                   | Non-allowable securities (unlisted securities)                       |
|                                                                                                                                                                                                   | Bad deliveries                                                       |
|                                                                                                                                                                                                   | Any Deltas and Advances (except trade debtors of less than 3 months) |
|                                                                                                                                                                                                   | Prepaid expenses, losses                                             |
|                                                                                                                                                                                                   | Intangible Assets                                                    |
|                                                                                                                                                                                                   | Marketable securities                                                |
|                                                                                                                                                                                                   | Deductible Value of Marketable Securities                            |
| Paid up capital (A1) + Fully compulsorily and mandatorily convertible debentures / bonds / warrants which are convertible                                                                         | Total (non-allowable assets viz) (D)                                 |
|                                                                                                                                                                                                   | Networth (A+B-C-D) = E                                               |
|                                                                                                                                                                                                   | Variable Networth                                                    |
| Reason for negative or 0% variable networth*                                                                                                                                                      |                                                                      |

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Save

- In case member has 25% variation or shortfall, auditor will be directed to submit reason and upload the revised Network file.

Upload Revised Network for Shortfall along with Shortfall and 25% Variation Reasons

|                                |                                   |
|--------------------------------|-----------------------------------|
| Shortfall reason *             | Upload Shortfall Reason File      |
| 25% or more variation reason * | Upload 25% or more variation File |

- Network template will be generated basis the details provided. Download the template generated by the system by clicking on the tab “Auditor Template File”

Auditor Sign

Auditor Template File :- [AUDITOR\\_TEMPLATE.pdf](#)

Auditor Signed File\*



- Auditor will fill in all the details on the portal, basis which, a template of the Network certificate will get generated by the system as per the format of the Exchange. E-sign the template and upload the template of Network certificate generated by the system.
- Click on the “Sign PDF” tab to affix Digital Signature Certificate (DSC) to the Network certificate template.

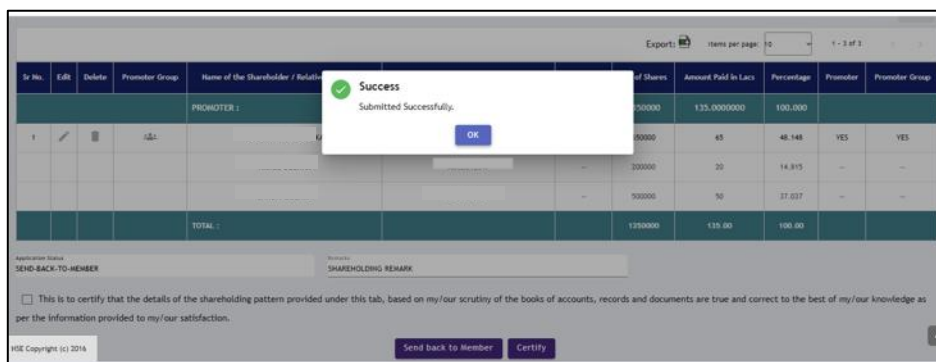
Note: Please ensure that the name of the signed template file is suffixed with “-signed” prior to uploading the file under the tab “Auditor Signed File” (Member Code\_Networth\_31032026-signed).

- Once the certificate (Template) is digitally signed, click on ‘Check Sign’ option to verify the signed document. Post which Auditor will submit the request of Networth for verification to the Member by clicking on the button ‘Submit to Member’.



### 5.3 Group III: Certification process for Other Details

- Auditor will verify all the details provided by the Member under the ‘Director Details’, ‘Proprietor Details’, ‘Partner Details’, ‘Shareholding Details’, ‘Other Stock Exchange’, ‘Listed In’ and ‘Financial Details’ tabs.
- In case auditor is not satisfied with the details provided by the member under the above mentioned tabs, auditor can send back the submission to the member for rectification by clicking on the button ‘Send back to Member’.



- In case auditor is satisfied with the details provided by the member, auditor can proceed with clicking on tick box of declaration mentioned on the screen, Auditor will click on ‘Certify’ button and Status will reflect as ‘Certified by Auditor’ at Member’s end.
- The relevant scanned copies uploaded by the Member related to ‘Director Details’, ‘Proprietor Details’, ‘Partner Details’, ‘Shareholding Details’, ‘Other Stock Exchange’, ‘Listed In’ and ‘Financial Details’ tabs will reflect under ‘Attach Scanned Copies’ tab. Auditor has to separately verify and certify the said documents along with the ‘Director Details’, ‘Proprietor Details’, ‘Partner Details’, ‘Shareholding Details’, ‘Other Stock Exchange’, ‘Listed In’ and ‘Financial Details’ tabs by clicking on ‘Certify’ button. If any discrepancies, Auditor can click on ‘Send back to Member’ button. In this case, Member has to revise the uploaded document.

## 6. Submission of Annual Returns to Exchange

- 'Submit to Exchange' tab will be the final step towards the submission of Annual Returns to the Exchange.
- Before submitting to the Exchange, Member has to ensure that status of all the tabs should be 'Certified by Auditor' except for Networth and Principal officer & Designated Director details (In case of Networth, status should be 'Approved' and in case of Principal officer & Designated Director details, status should be 'Entered').

(Please save this information before proceeding to fill below details.)

**Attach Scanned Copies**  
**\*Note: C-10 to be scanned and uploaded wherever no change selected for documents from C-2 to C-8.**

| Document                                                               | Status               | Action |
|------------------------------------------------------------------------|----------------------|--------|
| 1. Annual Accounts: i) Audited Balance Sheet (Max Size 5 MB)           | Certified by Auditor | Upload |
| 2. Annual Accounts: ii) Profit & Loss Account (Max Size 5 MB)          | Certified by Auditor | Upload |
| 3. Annual Accounts: iii) Schedules & Notes to Accounts (Max Size 5 MB) | Certified by Auditor | Upload |
| 4. Annual Accounts: iv) Auditors Report (Max Size 5 MB)                | Certified by Auditor | Upload |
| 5. Annual Accounts: v) Directors Report (Max Size 5 MB)                | Certified by Auditor | Upload |
| 6. Annual Accounts: vi) MGT 7                                          | Certified by Auditor | Upload |

Networth: Approved  
 Director Details: Certified by Auditor  
 Shareholding Details: Certified by Auditor  
 Other Stock Exchange: Certified by Auditor  
 Listed in: Certified by Auditor  
 Financial Details: Certified by Auditor  
 Attach Scanned Copies: Certified by Auditor  
 Principal officer and Designated Director details: Entered  
 Submit to Exchange

- After verifying the status, Members are advised to read the declaration before clicking on 'I Agree'.
- Once Member clicks on 'I Agree', the details of the person whose signature is affixed are to be duly mentioned & click on the 'Submit' button.

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

To,  
 National Stock Exchange of India Ltd.

I/We Mr./Ms./M/s, hereby state that \_\_\_\_\_ is associated with us as the Statutory Auditor from 28-Sep-2022.

With regards to SEBI circular SEBI/HO/MIRSD/MRSQ2/CIR/P/2016/95 dated September 26, 2016 pertaining to Enhanced Supervision of Stock Brokers/ Depository Participants,  
 I/We hereby declare that, I/We did not:

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

I/We also confirm that an individual statutory auditor who has completed his term as mentioned above (1) has not been re-appointed as statutory auditor with us during the Financial Year 2025-2026.

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 2025-2026.

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

I/We Mr./Ms./M/s, hereby declare and confirm that all the details filled and documents provided are true and correct for the Financial Year 2025-2026.

Yours faithfully,  
 For: \_\_\_\_\_

☒ I Agree.

Signature of the person whose report on is attached: \_\_\_\_\_  
 Signature of the person whose report on is attached: \_\_\_\_\_

Submit

- Once the data is successfully submitted a reference number will be generated on the screen and record will get submitted to Exchange (Status- Submitted to Exchange/ Approved).

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

To,  
National Stock Exchange of India Ltd.

I/We Mr./Ms./M/s. \_\_\_\_\_ hereby state that \_\_\_\_\_ P is associated with us as the Statutory Auditor from \_\_\_\_\_

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 \_\_\_\_\_ 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 2025-2026.

Further, I/We \_\_\_\_\_ term as mentioned above (2) has not been re-appointed as statutory auditor with us during the financial year 2025-2026.

I/We \_\_\_\_\_ by giving a common partner or partners to the other audit firm whose tenure has expired during the financial year 2025-2026.

I/We \_\_\_\_\_ Statutory firm/any partner of the firm/any Director of the firm and the entity.

I/We Mr./Ms./M/s. \_\_\_\_\_ hereby declare and confirm that all the details filled and documents provided are true and correct for the Financial Year 2025-2026.

Yours faithfully,  
For C \_\_\_\_\_

☒ I Agree.

Signature of the person whose name is in bold \_\_\_\_\_

Signature of the person whose name is in bold \_\_\_\_\_

Submit

**Success**  
All Annual Submission Details have been submitted to exchange with Request Reference No: \_\_\_\_\_

OK

- In case Member has requested for any changes in the existing Director, Partner and/or Shareholding details available in the Exchange records, the Member needs to provide post-facto application for approval of such changes at Exchange level.