# 

# ANNUAL RETURN FORMATS

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| **Sr.** | **Documents / Details** | **Annexures** |
| A | Annual Return |  |
| (i) | Audited Networth Certificate and Computation | Annexure 1 |
| (ii) | Audited Balance Sheet along with the schedules | - |
| (iii) | Audited Profit & loss account along with schedules |
| (iv) | Auditors and Directors report |
| (v) | Certificate | Annexure 2 |

**Annexure 1**

**Format: C-1 (Networth Certificate for Corporates, Firms & Individuals)**

*(To be provided on the Letterhead of the certifying Chartered Accountant/ Company Secretary)*

## CERTIFICATE

Member Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Member Applicable Networth ***(Higher of ‘Base Networth’ or ‘Variable Networth):***

1. Base Networth is Rs. \_\_\_\_\_\_\_\_\_\_\_\_/-

2. Variable Networth is Rs. \_\_\_\_\_\_\_\_\_\_\_\_/-

This is to certify that the Networth of M/s./Mr./Ms. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (Name of Member) as on \_\_\_\_\_\_\_\_\_\_ as per the statement of computation of even date annexed to this report is Rs. \_\_\_\_\_\_\_\_\_\_\_\_\_\_ only).

We further certify that:

* M/s./Mr./Ms.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (Name of Trading Member) is not engaged in any fund-based activities or business other than that of securities or commodity derivatives. Existing fund based assets, if any, have been divested from the books of account and have not been included for the purpose of calculation of networth.
* The computation of networth based on my / our scrutiny of the books of accounts, records and documents is true and correct to the best of my / our knowledge and as per information provided to my / our satisfaction.
* The computation of Networth is in accordance with method of computation prescribed by Schedule VI of SEBI (Stock Brokers) (Amendment) Regulations, 2022.

* The computation of Variable Net worth is in accordance with the method of computation prescribed by SEBI as per Gazette Notification No. SEBI/LAD-NRO/GN/2022/73 dated February 23, 2022 on revised Networth requirement or as amended from time to time\*.
* We hereby confirm that we are not the related party to the aforesaid entity

Place: For (Name of Certifying Firm)

Date: PAN no. of CA/CS Firm

UDIN:

Name of Partner/Proprietor Chartered Accountants / Company Secretaries

PAN no. of Partner/Proprietor

Membership Number

*\*Shall be read with amendments, circular, notification issued in this regard till date*

# Format C-1

# Method of computation of Networth as per Schedule VI of SEBI (Stock Brokers) (Amendment) Regulations, 2022

The method of computation of Networth as prescribed by Schedule VI of SEBI (Stock Brokers) (Amendment) Regulations, 2022 is as follows:

Capital + Free Reserves

Less: Non-allowable assets viz.,

1. Fixed Assets
2. Pledged Securities
3. Member’s Card
4. Non-allowable securities (unlisted securities)
5. Bad deliveries
6. Any Debts and Advances (except trade debtors of less than 3 months)
7. Prepaid expenses, losses
8. Intangible Assets
9. 30% of Marketable securities

Place: For (Name of Certifying Firm)

Date: PAN no. of CA/CS Firm

UDIN:

Name of Partner/Proprietor

Chartered Accountants / Company Secretaries

PAN no. of Partner/Proprietor

Membership Number

**Annexure 2**

**CA Certification**

*(To be provided on the Letterhead of the certifying Chartered Accountant)*

I/We hereby state that the details of Directors, Shareholding pattern, Dominant Promoter group pattern and details of relative/ corporate support, Details of associates, Financial ratios, Financial Indicators of our member \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (Name of member) are true, correct and complete based on my/ our scrutiny of the books of accounts, records and documents to the best of my/our knowledge and as per information provided to my/our satisfaction.

We hereby confirm that we are not the related party to the aforesaid entity.

For (Name of Accounting Firm)

Name of Partner/Proprietor

Chartered Accountant

CA Stamp & Membership Number

UDIN