

## ANNUAL RETURN FORMATS

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

**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 Network **(Higher of 'Base Network' or 'Variable Network'):**

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

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

This is to certify that the Network 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 Clearing 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 network.
- The computation of network 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 Network 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 Network 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:

UDIN:

Name of Partner/Proprietor  
Chartered Accountants / Company Secretaries  
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.,

- (a) Fixed Assets
- (b) Pledged Securities
- (c) Member's Card
- (d) Non-allowable securities (unlisted securities)
- (e) Bad deliveries
- (f) Any Debts and Advances (except trade debtors of less than 3 months)
- (g) Prepaid expenses, losses
- (h) Intangible Assets
- (i) 30% of Marketable securities

Place:

For (Name of Certifying Firm)

Date:

UDIN:

Name of Partner/Proprietor

Chartered Accountants / Company Secretaries

Membership Number

**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