User Manual for electronic upload of Annual Return submission through NCFE
Members are required to follow the below mentioned procedure and steps for submitting Annual Returns through NCFE. A member may take a note of following important points before proceeding:

- All fields marked with (*) are mandatory
- Refer format provided in "Download" tab wherever applicable
- All files which are to be uploaded must be in PDF format.
- Size of any file should not exceed 8 MB per tab of Annual return module
- Please ensure that all documents are uploaded after all the details correctly filled.
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Step 1 - Member Login - Login to Member portal –NCFE with the USER id and Password.
Step 2 - Registration of Digital Signature

Annual Return which is uploaded has to be digitally signed. In order to comply with this requirement, digital signature must be registered with the NCFE System.

As per prescribed guidelines of the Exchange, for corporates, partnership firms, LLPs, two authorized signatories are required whereas for individual and sole proprietor, one authorized signatory is required. Thus, digital signatories must be registered accordingly.

Prerequisite for Digital Signature Registration:

- Ensure that the port 14283 is available and is not used by any other process.
- Check whether Operating System is 32 bit or 64 bit and accordingly download the corresponding utility and install. (Control Panel > System > System Type)
- Login NCFE in Chrome browser
- For Mozilla Firefox, you need to Enable Websocket by following below steps:
  (a) Type “about:config” in Mozilla Firefox address bar
  (b) Search for “allowinsecureFromHTTPS” in the search bar
  (c) If the value is “false”, set it to “true” by double clicking it. Ignore if it is already true

Procedure to be followed for registration of digital signature is as under:

1. Click on Digital Signature menu. Following Screen would appear.
Once Registration is selected following screen would appear

2. Click on the link “Download Windows – 32bit” or “Download Windows – 64bit” whichever is applicable as per your system configuration

Once this is done, click on the icon to install the software
Following screen would appear:

3. Following screens will appear while clicking on Next > Next > Next > Finish option in below screens:

Click on Next
Click on Finish
4. Now “Restart” your computer.

5. After restart, you need to go to the installation directory. By default it is `C:/NCDEX_DSign/NCDEX_DSign.exe` Double click on the exe.

Following screen would appear and click on “ok”:

6. Then enter the name of the authorized signatory whose signature is to be registered and click on the blue icon adjacent to the name tab as shown below.
List of names would appear as under. Select the relevant name from the list and click on “Ok” button.

Following Screen would appear and click on “Save”:

7. For successful registration, it is essential that the name as per NCFE system and name appearing in the above list must be same. Once the name is matched, following screen would appear showing successful registration of digital signature.

Registered certificate name will get displayed and pop will come the message “Successfully registered”
Step 3 – To upload Annual Return
Go to Annual Returns Menu → View Annual Returns. The following screen will be displayed.

On clicking the View Annual Returns menu, following screen will appear. Select Financial Year of which the return is to be uploaded and then click on “Add” button to upload Annual Returns for that particular year.

Step 4- General Information Screen
This is the first tab of Annual Return module wherein basic information of member needs to be entered; which includes General Information, Contact Details, User Certificate Details, and Associate Details and Undertaking details tab.
1. **Member name, category, TMID, PAN, Constitution, Financial Year** will be auto populated in the TAB.

The member needs to enter the following information under these tabs:

2. **Occupation of the Member**: From the dropdown list provided, “Commodity Broker, Trader, Physical trader in Mandies, Processor/manufacture, any other “has to be selected as the occupation of the member.

3. **Any other – Please Specify**: If any other is selected in above mentioned dropdown, then occupation of the member needs to be specified in this field.

4. **Principal Officer registered with FIU**: Select Yes/No from Dropdown List. In case “Yes” is selected, enter FIU registration number in the field “FIUREID”.

---

**Download**

**Save and Next**
5. **If designated director details submitted to FIU:** Select Yes/No from Dropdown List. Enter name of the designated director if “Yes” is selected.

6. **Fidelity Insurance taken/renewed:** If fidelity Insurance taken/renewed, select “Yes/No” from dropdown list. If yes is selected then following fields are mandatory to enter details:
   - Amount of Fidelity Insurance
   - Name of Insurance Provider
   - Validity Period
   - Upload Copy of Fidelity Insurance

   The uploaded document can be viewed by clicking on “Download” button. If “No” is selected then select any one of the below option:
   a. Not taken as not trading on account of clients
   b. If any other reason, please specify – please mention reason here

7. **Whether having foreign shareholders in your Company or your Holding Company:** Select “Yes/No” from Dropdown list, if yes is selected then “Upload FIPB/RBI approval”. The uploaded document can be viewed by clicking on “Download” button.

8. **KMP Details:** Upload KMP details in the following format in xlsx/xls file only:

<table>
<thead>
<tr>
<th>Name of Person</th>
<th>Designation</th>
<th>PAN number</th>
<th>Mobile Number</th>
<th>Email ID</th>
<th>Address</th>
<th>Date of Appointment</th>
<th>Date of Resignation</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

   The uploaded document can be viewed by clicking on “Download” button.

9. **Whether member itself (in case of individual or sole proprietor) /our Directors/Dominant Shareholders/Associates is/are Politically Exposed Persons (PEP):** Select “Yes/No” from Dropdown list, if yes is selected then Upload PEP details in the following format in xlsx/xls file only:

<table>
<thead>
<tr>
<th>Sr. No</th>
<th>Full Name of the PEP</th>
<th>PAN of PEP</th>
<th>Address of the PEP</th>
<th>Details of Function /position held by PEP</th>
<th>Date since when position held as PEP</th>
<th>Relationship of PEP with the Member</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

   The uploaded document can be viewed by clicking on “Download” button.

   After entering the necessary details, click on “Save and Next” button to go to the Contact Details tab.
**Step 5 - Contact Details**
Enter contact details of Registered Office, Correspondence Office, Compliance Officer, and Principal Officer. After entering necessary details, click on “Save and Next” button to go to the User Certificate Details tab. All fields are mandatory except Fax number.

**Step 6 - User Certificate Details**
Enter the certificate details under this tab.

1. A member has to upload minimum one user certificates. After entering the details, click on “Save” button. The same record would be displayed. Enter another user certificate details. All fields are mandatory. By clicking on “Refresh” button all details would get cleared. Member can view the uploaded document by clicking on “Download” button.

2. Maximum 5 user certificate can be uploaded.

After entering both the user certificate details, click on “Save and Next” button to go to the next Tab.
Step 7 - Associate Details

Enter details of associate companies/Partnership/Proprietorship firm having direct or indirect interest in capital or commodity market. After entering relevant information, click on “Save” button to enter details of another associate if any. Mention ‘not applicable’ in all the fields, if there is no associated entities.

Enter the details of associates as per Regulation 2(1) (b) of the Securities Contracts (Regulation) (Stock Exchanges and Clearing Corporations) Regulations, 2012 of SEBI
All fields are mandatory. By clicking on “Refresh” button, all field details will get cleared. After entering necessary details, click on “Save and Next” button to go to the next Tab.
Step 8- Undertaking Details

The member is required to submit undertaking as displayed in the following screen shot. The procedure as under:

1. **Name of the designated Director**: Enter name of Designated Director/partner. Click on “Add” button to save the record and to add another designated director. For Company/LLP/Partnership firm, it is mandatory to enter 2 designated director/partner.

2. Select the “Yes or No” option as applicable for the fields listed from “a” to “i”.

3. Member is required to select the option yes or no depending upon the applicability of the same. Wherever “Yes” is selected, relevant attachment needs to be uploaded in given option. Click on “Upload” button to upload the file. Member can view the uploaded document by clicking on “Download” button.

4. Click on all checkboxes to submit the undertaking as displayed in screen shot.

5. After entering all necessary details, click on “Save and Next” button to go to the next Tab.
Record saved successfully.

Add

Upload

Download

Click on Checkbox

Save and next

<table>
<thead>
<tr>
<th>Undertaking from designated directors</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name Of Designated Director: Dinesh</td>
</tr>
</tbody>
</table>

We hereby confirm/declare/undertake that RELIARE COMMODITIES LIMITED and its directors, designated directors and shareholders:

- Are not debarred/disqualified/disabled by SEBI/AMC/IRDA any recognized Stock Exchange/any recognized Commodity Exchange.
  - Yes
  - No

- Are not connected with any of the disbarred/disqualified/disabled member of any stock exchange/commodity exchange.
  - Yes
  - No

- There are no complaints/disciplinary action against us at SEBI/AMC/IRDA any recognized Stock Exchange/any recognized Commodity Exchange.
  - Yes
  - No

- No investigation/inquiry/adjudication/prosecution or any other action including consent proceedings, administrative warning, caution or advisory letter, etc., by SEBI/AMC/IRDA any recognized Stock Exchange/any recognized Commodity Exchange has been initiated against us.
  - Yes
  - No

- No action in respect of defaults in our commodity broking operations has been initiated against us by any of the commodity exchanges pursuant to investigation.
  - Yes
  - No

- We are not, at any point, involved in any type of money laundering activities.
  - Yes
  - No

- Have not, at any point, committed any act and/or have not any time convicted for any act involving threat to the public interest.
  - Yes
  - No

- The incoming designated director is eligible to be appointed as director and meet the eligibility criteria specified in Securities Contracts (Regulation) Rules, 1997 (Rule 5(4)) and other relevant provisions and SEBI (Stock Brokers and Sub-brokers) Regulations, 1992.
  - Yes
  - No

- There is no adverse comment against us or our directors/partners/proponents/promoters/Top five shareholders in the following:
  - Defaulters list of RBI as at www.debtfmi.com. Sub listed cases (as at latest data available). Sub-listed firms of Rs. 100 lakh and above
  - Sub-listed firms of Rs. 25 lakh and above
  - Status of prosecution launched against us (as per latest data available)
  - Database of prosecution launched against other than CIS entities
  - List of companies and Directors/Shareholders/proprietors against which delinquency has been passed U/s 115 of SEBI Act, last available data available in various Companies under issues and listing on www.sebi.gov.in.
  - Yes
  - No

- If we declare that the information given above is true.
- In case of any miss-declaration/investigation/inquiry by any Statutory Agency/Regulatory Agency/Stock Exchange/Commodity Exchange in future, we undertake to inform the Exchange immediately.
- We declare that the information given above is true and any misstatement or misrepresentation or suppression of facts in connection with the above undertaking may entail rejection of our application or expulsion of our Membership.
  - Yes
  - No
Step 9 - Submission of Net Worth details

1. **Net worth as on**: The date should be March 31, 2019 and the net worth in actual numbers.

2. **Computation of Net worth**: Enter all necessary details as given in computation page as displayed in following screen shot. The net worth will be calculated automatically once all relevant fields are entered.

   If any short fall in net worth exists, the message stating “Net worth is less than the prescribed limit”. will appear on screen. However member will allowed to submit other details of Annual Return in system.
3. **Upload Net worth Certificate:** Further, Net worth Certificate should be uploaded as Annexure C-1 and Annexure C-1A as displayed in screenshot. The format has provided on the screen.

4. **Upload Financial Statements:** Upload Financial Statements as per Companies Act, 2013 as per given fields displayed in screen shots. After selecting relevant file, click on ‘Upload’ button for uploading the file. You can also view the uploaded file by clicking on ‘Download’ button.

5. **Any qualifications or adverse remarks:** Mention remarks by the auditor, if any

6. **Statutory Auditors:** Mention the Name and Firm Registration Number of Statutory Auditors

7. **Financial Ratios:** Enter financial ratios as displayed in the screenshot below. Ratios (A/B) would get calculated automatically after entering figures in A and B.

8. **Financial Indicators:** Enter financial indicators as displayed in the screenshot below. Indicator \((\text{Current year} - \text{Previous year})/\text{Previous year}\) would get calculated automatically after entering figures in Previous year and Current year.

9. **Membership with other exchange:**
   - In case you are not a member of any other stock exchange select “No” from dropdown list.
   - In case you are a member on stock exchange other than NCDEX, select “Yes” and enter all details specified thereunder:
     - After selecting relevant option in dropdown, click on save button.

10. Click on “Save” button. After entering all necessary details, click on “Save and Next” button to go to next tab.
Step 10- Director Details
Enter details of all directors/Partners/Proprietor. All fields are mandatory. Click on save button and add
further details of directors/Partners/Proprietor if any.

Details of Directors/Partners/Proprietor as on:
- The date should be March 31, 2019.
- Select ‘Yes’ if the director has been identified as a designated director or ‘No’ if the director is not
  identified as designated director. Please note that every trading member corporate/firm should
  identify a minimum of two directors/partners as designated directors/partners.
- As per prescribed eligibility criteria, two designated directors/partners should be at least HSC or
  equivalent qualification and should have minimum 2 years’ experience in commodities market.
- If any Disciplinary action is taken by the Stock / Commodity Exchange or any other regulatory
  authority in respect of these memberships then select “Yes.” and upload the relevant file.
- By clicking on “Refresh” button all the field details will get cleared.
- If any record is to be deleted, then click on “Delete” button.
- Click on “Save and Next” button.

Step 11- Shareholder Details
- Details of shareholding pattern as on. The date should be March 31, 2019.
- Add shareholding pattern – Enter all the details of shareholder and PAN card copy of
  shareholder.
- To add shareholder details and enter all necessary details.
- In case of non-individual shareholder, need to upload shareholding pattern of the said
  corporate/firm.
Click on “Save” button. System will be allowed to enter another shareholder details till the total shareholding % is 100%.

A member is required to specify, whether shareholding pattern and /or DPG have changed since the date of seeking membership. If answer is “Yes” then all required details are to be entered.

PAN card is mandatory for shareholder who are holding more than 2% and should be attested by member.

Please ensure to upload all the required attachments

By clicking on “Refresh” button all the field details will get cleared.

If member wants to delete record then click on “Delete” button.

Click on “Save and Next” button to go to next tab.

Step 12- Dominant Promoter Details

- **Details of Dominant Promoter Group Pattern** - The date should be March 31, 2019.

- **Whether DPG is identified from member company which is a Listed entity/Holding company is a listed entity** – If DPG is identified from listed entity then select “Yes”

- **Name**- Mention the name of DPG constituents

- **Person/corporate supporting dominant share holder**- Mention the name of person who is giving relative support or name of the company/firm giving a corporate support

- **Relation** - Select relevant option from dropdown list i.e. “Self”, “Relative”, “Corporate”
- Enter **No of share held, amount paid up, % of total details** in row.
- Undertaking – Fill the undertaking details by clicking on undertaking icon. No undertaking is required if “Self” is selected in abovementioned dropdown. In case of “Corporate” undertaking, Board resolution (as prescribed) and shareholding pattern of the corporate support is mandatory.
- Click on “**Save**” button.
- Whether DPG pattern have changed since the date of seeking membership, select “Yes” or “No” from Dropdown. If “Yes” is selected then enter required details.
- Click on “**Save and Next**” button to go to next tab.
Step 13- Certification

Certification by the authorized signatory - Member is required to certify all the details entered for the submission of Annual return. For Non-individual members, two authorized signatories certification is mandatory and for individual members, only one authorized signatory signature is mandatory.

Declaration by Authorized Signatory:

1. Enter the name of authorized signatory whose digital signature is registered in registration tab. Before uploading, the digital signature must be registered with NCFE. (Refer User manual page no 4-10)
2. Click on Blue icon then a pop up will appear. Select the authorized signatory digital signature. Click on “save” button.
3. Click on “Save” button to submit the digital signature of authorized person.

Certification by CA: Member is required to upload undertaking from Chartered Accountant (CA) to stating that the submitted details are certified by the CA.

1. Name of the Audit Firm: Mention the name of Audit Firm
2. Name of the CA: Enter the name of CA
3. Membership No.: Mention the CA membership number
4. UDIN: Mention the UDIN mentioned in CA Certificate
5. Download format CA Certification: Download the format to be uploaded as scan copy under the upload section
6. Upload CA Certification: Scan the certification by CA and upload the CA certification
7. Click on “Save” button.
Once all the above fields are updated accurately, click on “Final Submit” button for final submission of Annual Returns.
Following are the documents which are required to be uploaded by members while submitting annual return:

<table>
<thead>
<tr>
<th>S.No.</th>
<th>Tab</th>
<th>Document Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Basic Details Tab</td>
<td>1. Insurance copy</td>
</tr>
<tr>
<td></td>
<td></td>
<td>2. Latest KMP details</td>
</tr>
<tr>
<td></td>
<td></td>
<td>3. PEP details</td>
</tr>
<tr>
<td>2</td>
<td>Contact Details Tab</td>
<td>Not Applicable</td>
</tr>
<tr>
<td>3</td>
<td>User Certificate Details Tab</td>
<td>Copy of user certificate</td>
</tr>
<tr>
<td>4</td>
<td>Associate Details Tab</td>
<td>No upload. However, PAN details are required to be entered of associates.</td>
</tr>
<tr>
<td>5</td>
<td>Undertaking Details Tab</td>
<td>Not Applicable</td>
</tr>
<tr>
<td>6</td>
<td>Net worth Tab</td>
<td>1. Annexure C1 (format is annexed below)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>2. Annexure C1A (format is annexed below)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>3. Financial Statement as per Companies Act, 2013</td>
</tr>
<tr>
<td></td>
<td></td>
<td>4. Auditor Report</td>
</tr>
<tr>
<td></td>
<td></td>
<td>5. Director Report</td>
</tr>
<tr>
<td></td>
<td></td>
<td>6. Tax Audit report, if any</td>
</tr>
<tr>
<td>7</td>
<td>Director Details Tab</td>
<td>PAN card copy of directors</td>
</tr>
<tr>
<td>8</td>
<td>Shareholder Details Tab</td>
<td>• PAN card of shareholders who are holding more than 2%</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Shareholding pattern in case of corporate shareholder holds more than 10%</td>
</tr>
<tr>
<td>9</td>
<td>Dominant Promoter</td>
<td>In case of corporate support, Board resolution and</td>
</tr>
<tr>
<td>Group Details Tab</td>
<td>shareholding pattern of corporate supporter</td>
<td></td>
</tr>
<tr>
<td>-------------------</td>
<td>-------------------------------------------</td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>Certifications Tab</td>
<td>CA certificate (format is annexed below)</td>
</tr>
</tbody>
</table>
Annexure: C-1

Certificate dated ______ submitted by ( T M I D ) _____ to NCDEX

CERTIFICATE

This is to certify that the Net worth of M/s./Mr./Ms. ___________________________ as on ____________ as per the statement of computation of even date annexed to this report is Rs. _____ Only (Rupees (in words) _______________ calculated as per L.C. Gupta method of Annexure C – 1A.

We further certify that:

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

- The computation of net worth is in accordance with method of computation prescribed by Dr. L. C. Gupta method committee report.

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

Place: ___________________________  For (Name of Chartered Accountant Firm)

Date:

______________________________
Name of the Partner/Proprietor
Chartered Accountant
CA Stamp and Membership Number
UDIN
Annexure C – 1A

Computation of Networth as on........................ prescribed by Dr. L.C. Gupta Committee is as follows:

<p>| | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>A.</td>
<td>Capital</td>
<td></td>
</tr>
<tr>
<td>B.</td>
<td>Frees Reserves</td>
<td></td>
</tr>
<tr>
<td>C.</td>
<td>Less Non-allowable assets viz.,</td>
<td></td>
</tr>
<tr>
<td></td>
<td>(a) Fixed Assets</td>
<td></td>
</tr>
<tr>
<td></td>
<td>(b) Pledged Securities</td>
<td></td>
</tr>
<tr>
<td></td>
<td>(c) Member’s card</td>
<td></td>
</tr>
<tr>
<td></td>
<td>(d) Non-allowable securities (unlisted securities)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>(e) Bad deliveries</td>
<td></td>
</tr>
<tr>
<td></td>
<td>(f) Doubtful Debts and Advances*</td>
<td></td>
</tr>
<tr>
<td></td>
<td>(g) Prepaid expenses, losses</td>
<td></td>
</tr>
<tr>
<td></td>
<td>(h) Intangible Assets</td>
<td></td>
</tr>
<tr>
<td></td>
<td>(i) 30% of Marketable securities</td>
<td></td>
</tr>
<tr>
<td>D.</td>
<td>Total Net Worth(A+B-C)</td>
<td></td>
</tr>
</tbody>
</table>

*Explanation:
Includes debts/advances overdue for more than three months or given to associates

Place: For (Name of Chartered Accountant Firm)

Date:

Name of the Partner/Proprietor
Chartered Accountant
CA Stamp and Membership Number
UDIN
BOARD RESOLUTION

Certified true copy of the Resolution passed at the meeting of the Board of Directors of ____________________________ (Name of the Company) held on __________________ (Date) at ________________________________ (Venue).

Resolved that the company do extend its unconditional and irrevocable support in favor of Mr./Ms. ____________________________, for the purpose of determining the dominant group in M/s. ___________________________________ (Member) and accordingly, execute necessary documents including an irrevocable undertaking to give effect to the same and submit it to National Commodity & Derivatives Exchange Limited. Resolved further that Mr./Ms. ____________________________, Director(s) of the company be and is / are hereby authorised to execute necessary documents including undertakings as prescribed by NCDEX form time to time.

Certified to be true

For ____________________________ (Name of the Company)

______________________________________ (Signature)
Certification Tab

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