

lwtfkq bnf n Joj ; foln]/Nq'kgTlj j/Of kpfhgsf]nful

cg' r l !Muxs kl/ro-kq (Client Identity Card)

JolQmt ufxssf]nflu

lwtfkq Aoj ; fol sDkgsf]gfd lwtfkq Aoj ; fol sif g+ 7ufgf		ufxs kl/ro btf(g-M)
ufxssf]gfd M gful/stf kpfhgsf g+tyf hf/l ul/Psf]:yfg / ldltl :yfol 7ufgf M xfnstf]7ufgf tyf kntf g-M afa' = cdfsf]gfd M kl = kfgsf]gfd M afa] ; ; /sf]gfd M ufxssf]kzf M ufxsn]lwtfkq sf/f/ ubf(kpf] ug]a]sf]gfd / vtf g-M	<div style="border: 1px solid black; width: 100px; height: 100px; margin: auto;"> kntf] </div>	
ufxssf]b:vtv M ldltl M	kl/rokq lbg]clwsf/l]sf]gfd M kb M b:vtv M ldtl M sfofhos]5fk M	

;ayfut ufxssf]nflu

lwtfkq Aoj ; fol sDkgsf]gfd lwtfkq Aoj ; fol sif g+ 7ufgf		ufxs kl/ro btf(g-M)
;ayfsf]gfd M btf(g-M) ldltl 7ufgf M kntf = kntf: g-M ufxssf]kzf jf Aoj ; fo lfg M ufxsn]lwtfkq sf/f/ ubf(kpf] ug]a]sf]gfd / vtf g-M	<div style="border: 1px solid black; width: 100px; height: 100px; margin: auto;"> kntf] </div>	
sfof]l kpf]vsf]b:vtv ;ayfsf]5fk M kofg g-M ldltl M	kl/rokq lbg]clwsf/l]sf]gfd M kb M b:vtv M ldtl M sfofhos]5fk M	

cg' r l @ Mcfb] btf]stfj (Order Registration Book)

q# ; =	ufxs kl/ro btf(g+)	ufxssf]gfd	lwtfkq	Ufxsn] t]f]dNo	kl/dfol	cfb] btf{; do	cfb]sf]k]f/	cfb]sf zt?	cfb]sf] cj:yf	k]s/lwtfkq hdf	s]kmt
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g] M

! = cfb]sf]cj:yf df sf/f/ ePsf, sf/f/sf nful kntf] / x]f, Sof; ln ePsf, jf sf/f/ sf nful /Nq gefoPsf x] ; S5g / o; sf]klj idl x]f lbg]sf]c]fo ; ld ul; Sg' kb] .
 @ = k]os sf/f/ sf nful /Nq gefoPsf cfb]x?sf]klj idl x]f lbg]sf]z?df qndab ?kdf ug]kb] .
 # = lwtfkqdf ; Dalwt ; ul7t ; ayfsf]gfd / lwtfkqsf]k]f/ vhfpg' kb] . pbfx/Ofsf]nful :6of]88 rfo]sf] ; fw/Of z]p/sf]nfulSCB-OS .
 \$ = c; Dalwt sf]hdf NA n]g' kg] . pbfx/Ofsf]nful ufxsn]cfb]zdf d]lo g]t]f]eP k]Ff]sf]hdfNA n]g' kg] .
 % = cfb] kqs]btf]g cfb] btf]stf]sf]q# ; = x]g' kb] .
 ^ = cfb]sf]k]f/df vl/b jf las] vhfpg' kb] .

cg:rl # Mleqlq/ jflx/lq]sfuhfts]stfj (Document's Inward-outward Book)

qm: ;=	u]xs kl/ro btf(g+)	u]xssf]gfd	sfuhfts]gfd	sfuhfts] ljj/0f	sfuhft lelqPsf]ldtl	sfuhft afxl/Psf]ldtl	sfuhft klq] :yfg	s]kmt
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cg:rl \$ Ms// qf (Contract Notes)

lwt]q Aoj ; fol sDkglst]gfd		lwt]q ; DaGwl Pj, @)^# s]bkn && s]l]oj :yf ad]hnds]		cfyls jif						
lwt]q Aoj ; fol sf] g+		u]xsnf0]bgkg]s// g		s// g] g						
7]fgf										
u]xs kl/ro btf(g+)				s// g] hf/l u]f]ldt M						
u]xssf]gfd / xnsf]7]gf M										
qm: ;=	lwt]q	cfb] kqs] ldtl	cfb] sf]og				lgodg lgsfox?sf]sid; g	Soflk6n u]	u]xsn] ltg]j]f	s]kmt
		ldtl	sf/]f/ g+	kl/df0f	d]lo	/sd	Aoj ; folx?sf] sid; g	lwt]q ah/ ;]]	6ofS;	lqkq]/sd
lx; fa /fk: fkm xg]bg M										
u]xsn]lwt]q sf/]f/ ubf(k]p] ug]a]sf]gfd / v]tf g+M										lwt]q Aoj ; fols]sf]of]o k]h]gs]nful
u]xssf]PAN g+ePsf]cj :ydf dq. M										?h'ug]clwsf]sf]gfd M
										b:vt M
										ldtl M
										sf]os]5k M

cg:rl % Mu]xssf]lwt]q ; DaGwl]lj /0f (Statement of Securities of Clients)

qm: ;=	u]xs kl/ro btf(g+)	u]xssf]gfd	lwt]q	kl/df0f	lwt]q lelqPsf] ldtl	lwt]q afxl/Psf]ldtl	lwt]q lelqPsf]afxl /Psf]s/0f	lwt]q klq] :yfg	s]kmt
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g] M]lwt]q lelqPsf]j flxl/Psf]s/0f df /fk: fkm]nful j f u]xsnf0]kmt]ug]f nful xg ; Sb5 .

lwt]q bnfn Joj ; foln]k] ug]kg]k]t]g k]h]gs]nful

cg:rl ^ Mv/lb]aqn si/]f]/sf]e]f]ts l:yt] (Physical Status of Transactions)

qm: ;=	sh u]xssf] ; wof	gofFu]xssf] ; wof	cfb] btf]stfa cg'f/s]h]df cfb]	sf/]f/ ePsf cfb]x?	sf/]f]/sf nful /N]g g]e]0Psf cfb]x?	/2 ePsf cfb]x?	sf/]f]/sf nful k]n]f] /x]f cfb]x?	sf/]f/ ePsf sh sDkglx?	s]kmt
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cg; Fl & Msl/f/f/sf/lj Qlo l: ytl (Financial Status of Transactions)										
qm; =	sh ufxsf; Wof	s/f/f/ ePsf sh sDkglx?	cfb; bt(f)stfa cg; f/sf/hDdf cfb;	sh s/f/f/ ePsf cfb;x?	sh s/f/f/ /sd	Aoj; folx?sf] sld; g	lgodg lgsfox?sf]sld; g		Soflk6n u; 6ofS;	s]knot
							g;]	; ;f;		

cg; Fl * Msl/f/f/sf/fkm fkm tyf qfd; f/l : yug (Transactions Pending Clearing and Settlement)										
qm; =	ufxs kl/ro bt(f)q+	ufxssf]qfd	lwt]kq	cfb; kqs] ldtl	cfb; sf(f)og				:yug laGb' :yugs]sf/Of	s]knot
					ldtl	kl/dfOf	dNo	/sd		

g] M
 != :yug lj bbf Aoj; fol cfk]f lwt]kq ahf/ jf sDkgL xg; Sb5 .
 @= :yugsf[sf/Ofdf /fkm fkm jf gfd; f/l cfbL xg; Sb5g\

cg; Fl (Mufxssf]lwt]kq ; Da6wl]lj j/Of (Statement of Securities of Clients)									
qm; =	ufxs kl/ro bt(f)q+	ufxssf]qfd	lwt]kq	kl/dfOf	lwt]kq lelqPsf] ldtl	lwt]kq afxl/Psf]ldtl	lwt]kq lelqPsf]afxl /Psf]sf/Of	lwt]kq kDg] :yfg	s]knot

g] M lwt]kq lelqPsf]j fxl/Psf]sf/Ofdf /fkm fkm sf]nful jf ufxsnfO(lkntf]ug f nful xg; Sb5 .

cg; Fl ! Msl/ qf; ; Da6wl]lj j/Of (Statement of Contract Notes)																
qm; =	ufxs kl/ro bt(f)q+	ufxssf]qfd	s// qf; q+	lwt]kq	cfb; kqs] ldtl	cfb; sf(f)og				lx; fa /fkm fkm xq]ldt	Aoj; folx?sf] sld; g	lgodg lgsfox?sf] sld; g		Soflk6n u; 6ofS;	ufxsn] ltg]g]f lngkg] /sd	s]knot
						ldtl	s/f/f/ q+	kl/dfOf	dNo			/sd	g;]			

cg; Fl !! Mufxssf]gub tyf a; ; Da6wl lj j/Of (Statement of Client's Cash or Bank)										
qm; =	ufxs kl/ro bt(f)q+	ufxssf]qfd	gub lj j/Of	a; sf]gfd	vtf g+	/sd	/sd cfPsf] ldtl	p4]o	; Def] t lkntf; dfOf] hq ldtl	s]knot

cg; Fl !@ Mlwt]kq bnfn Aoj; fols]k]n]n (Securities Broker's Profile)			
qm; =	lj j/Ofx?	cfly; jif{	
		o; jif{	ut jif{
1	sld; g cDbf]l		
	sh k]t sld; g		
	6g] M g;]sld; g		
	vb sld; g		
2	; fng vr{		

2=1	kžf; g tyf clkᵐ vr{		
2=2	xk sšl vr{		
	sh ; #fng vr{		
3	; #fng cᵒbfgl -!-@_		
4	ckᵒlf cᵒbfgl		
4=1	nufglaf6 kᵒt cᵒbfgl		
4=2	ᵒfh cᵒbfgl		
4=3	cᵒo ckᵒlf cᵒbfgl		
	sh ckᵒlf cᵒbfgl		
5	ckᵒlf vrž?		
6	vb gfkᵐ		
	s/ cl3sfjvb gfkᵐ -#+\$-%		
	ᵒgᵐ ᵐsdf/l aᵒ;		
	cfoš/ ᵒj:yf		
	vb gfkᵐ		
	cᵒt/ld tyf kᵒlj t nfež		
7	kᵒl sᵒj		
7=1	sh rᵒᵐ zᵒ/ ; ᵒf		
7=2	rᵒᵐ kᵒl		
7=3	huᵒf tyf sᵒjx?		
7=4	3ᵒfpg afšl :yug vrž?		
7=5	; slnt gᵒ; fgx?		
7=6	gᵒ j y{-&=@+&#-&-\$-&-%		
	gᵒ j y{kᵒt zᵒ/ -&^÷&=!_		
8	rᵒn'bfᵒlj tyf ᵒj:yfx?		
8=1	uᵒksnᵒ(ltgkᵒ		
8=2	uᵒksfjkᵒsl		
8=3	Cᵒf tyf ; kᵒl		
8=4	cᵒo rᵒn'bfᵒlj tyf ᵒj:yfx?		
	sh rᵒn'bfᵒlj tyf ᵒj:yfx?		
9	lb3ᵒfng bᵒljx?		
10	rᵒn'; Dkᵒl		
10=1	uᵒkssfjgub dᵒbft		
10=2	uᵒkssfjaᵒ dᵒbft		
10=3	sᵒkᵒsfjgub tyf aᵒ dᵒbft		
10=4	gᵒ; ᵒf6 kᵒt ugᵒgᵒ/sd		
10=5	uᵒksaf6 kᵒt ugᵒgᵒ/sd		
10=6	cᵒo rᵒn'; Dkᵒl		
	sh rᵒn'; Dkᵒl		
11	:y/ tyf cᵒo ; Dkᵒlx?		
11=1	:y/ ; Dkᵒl		

11-2	nufgl		
11-3	c6o ; dktl		
	sh :y/ tyf c6o ;dktlx?		
11	d7o ; P'sx?		
11-1	klt z7/ c0bfgl -0- lk= P; _		
11-2	klt z7/ nfez -l8= lk= P; _		
11-3	s/76 /7; of]		
11-4	lnsj l8 /7; of]		

S.No.	Particulars	Financial Year	
		Current Year	Previous Year
1	Commission Income		
	Total Commission		
	Less: Nepse Commission		
	Net Commission		
2	Operating Expenses		
2.1	Administrative and Office Expenses		
2.2	Depreciation		
	Total Operating Expenses		
3	Operating Profit (1-2)		
4	Indirect Incomes		
4.1	Income from Investment in Securities		
4.2	Interest Income		
4.3	Other Indirect Incomes		
	Total Indirect Income		
5	Indirect Expenses		
6	Net Profit		
	Net Profit Before Tax (3+4-5)		
	Less; Bonus		
	Provision for Tax		
	Net Profit After Tax		
	Interim and Proposed Dividend		
7	Capital Funds		
7.1	Total No. of Paid up Shares		
7.2	Paid up capital		
7.3	Reserve and Surplus		
7.4	Misc. Exp/Assets not writen off		
7.5	Accumulated Losses		
7.6	Net Worth (7.2+7.3-7.4-7.5)		
	Net Worth Per Share (7.6/7.1)		
8	Current Liabilities and Provisions		
8.1	Payable to Clients		
8.2	Client Advance		
8.2	Loans and Borrowings		

8.3	Other Current Liabilities and Provisions		
	Total Current Liabilities and Provisions		
9 Long Term Liabilities			
10 Current Assets			
10.1	Cash Balance of Client		
10.2	Bank Balance of Client		
10.3	Own Cash and Bank Balance		
10.4	Receivable from NEPSE		
10.5	Receivable from Client		
10.6	Other Current Assets		
	Total Current Assets		
11 Long Term Assets			
11.1	Fixed Assets		
11.2	Investments		
11.3	Other Assets		
	Total Long Term Assets		
12 Major Indicators			
12.1	Earning Per Share(EPS)		
12.2	Dividend Per Share(DPS)		
12.3	Current Ratio		
12.4	Liquid Ratio		

* **Note:** Liquid Ratio for this purpose shall be calculated as:
(Cash and Bank Balances + Receivable from NEPSE + Receivable from Client)/Current Liabilities and Provisions