

## Annexure-C

### **INDICATIVE PENALTY FOR NON-SUBMISSION / LATE SUBMISSION OF RISK BASED SUPERVISION (RBS) DATA**

The following late/non-submission penalty/ disciplinary actions would be initiated against the Member in this regard:

| <b>Particulars</b>                                                                     | <b>Action</b>                                                                                                                                                                                                                                                                                    | <b>Remarks</b>                                                                                       |
|----------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------|
| Submission within 5 days from the end of due date for submission                       | Penalty of Rs.10,000/-                                                                                                                                                                                                                                                                           | -                                                                                                    |
| Submission after 5 days but within 15 days from the end of the due date for submission | Penalty of Rs. 10,000 + Rs. 2,000/- per day (from the 6 <sup>th</sup> day till the 15 <sup>th</sup> day from the end of the due date)                                                                                                                                                            | -                                                                                                    |
| Non submission after 15 days from the end of due date for submission                   | Member will not be allowed to register any new clients in Exchange UCC database. This will be implemented across the exchanges, even if data is submitted to only one Exchange.<br><br>Registration of new clients will be allowed only after data is submitted to all the exchanges.            | Highest risk-rating will be assigned to the parameters for which data is not submitted by the member |
| Non submission after 45 days from the end of due date for submission                   | In addition to the above disablement of trading terminals by all stock exchanges, irrespective of the stock exchange where the TM has not submitted the data.<br><br>Disablement of terminal and no new registration of clients will be allowed till the data is submitted to all the exchanges. | Highest risk-rating will be assigned to the parameters for which data is not submitted by the member |