



NATIONAL STOCK EXCHANGE OF INDIA LIMITED

DEPARTMENT : INSPECTION	
Download Ref.No.: NSE/INSP/37359	Date : March 28, 2018
Circular Ref.No.: 322/2017	

To All Members

Sub: Risk Based Supervision (RBS) - Submission of information for the period April 01, 2017 – March 31, 2018 (FY 2017-18)

Members are requested to submit the information / data towards the Risk Based Assessment for the period April 01, 2017 – March 31, 2018 to the Exchange. The particulars of such information / data sought in this regard are enclosed as Annexure-A. The same has to be submitted to the Exchange electronically through the Inspection module in the Member portal latest by May 31, 2018.

The link for submission of the information/data will be activated w.e.f. April 02, 2018. The procedure for submitting the same through the Inspection module in the Member portal is given in Annexure-B of this circular.

It is to be noted that the submission of RBS data is mandatory for all active Members of the Exchange (i.e. those who have executed/cleared even a single trade during the aforementioned period i.e. April 01, 2017 – March 31, 2018). Further, the data collated from the Members/Exchange towards RBS is shared with SEBI and in case of any non-submission/delayed submission by a Member, disciplinary action as prescribed in Annexure-C will be initiated.

All Members are advised to take note of the above and comply.

**For and on behalf of
National Stock Exchange of India Limited**

Manish Sharma
Manager-Inspection Department

In case of any clarifications, Members may contact our below offices:

CENTRE	CONTACT NO.	E MAIL ID
Ahmedabad	079-49008632	inspectionahm@nse.co.in
Chennai	044-28479915 / 17	inspection_cro@nse.co.in
Delhi	011-23459127 / 38 / 46	delhi_inspection@nse.co.in
Kolkata	033-40400411 / 06	inspection_kolkata@nse.co.in
Mumbai	022-25045224 / 259/ 264	compliance_wro@nse.co.in
Help Desk	1800 2200 51- (2)	Compliance_assistance@nse.co.in