

## National Stock Exchange Of India Limited

| DEPARTMENT : INSPECTION           |                       |
|-----------------------------------|-----------------------|
| Download Ref. No.: NSE/INSP/40575 | Date : March 28, 2019 |
| Circular Ref. No.: 05/2019        |                       |

To All Members,

**Sub: Risk Based Supervision (RBS) - Submission of information for the period April 01, 2018 – March 31, 2019 (FY 2018-19)**

Members are requested to submit the information / data towards the Risk Based Assessment for the period April 01, 2018 – March 31, 2019 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, 2019.

The link for submission of the information/data will be activated w.e.f. April 01, 2019. 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, 2018 – March 31, 2019). 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  
Senior Manager-Inspection Department

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

| Regional Office   | CONTACT NO.                     | E MAIL ID                    |
|-------------------|---------------------------------|------------------------------|
| Ahmedabad (ARO)   | 079-49008632                    | inspectionahm@nse.co.in      |
| Chennai (CRO)     | 044- 66309915/17                | inspection_cro@nse.co.in     |
| Delhi (DRO)       | 011-23459127 / 38 / 46          | delhi_inspection@nse.co.in   |
| Kolkata (KRO)     | 033-40400411 / 06               | inspection_kolkata@nse.co.in |
| Mumbai(WRO)       | 022-25045264/259/224            | compliance_wro@nse.co.in     |
| Central Help Desk | compliance_assistance@nse.co.in |                              |