

National Stock Exchange Of India Limited**Department : Inspection**

Download Ref No: NSE/INSP/42244

Date : September 27, 2019

Circular Ref. No: 30/2019

To All Members,

Sub: Risk Based Supervision (RBS) - Submission of information for the period April 01, 2019 –September 30, 2019.

Members are requested to submit the Information / data towards the Risk Based Assessment for the period **April 01, 2019 –September 30, 2019** to the Exchange. The particulars of such information / data sought in this regard are enclosed as **Annexure-A** and the same has to be submitted to the Exchange electronically through the Inspection module in the Member portal latest by **November 30, 2019**.

The link for submission of the information/data will be activated **w.e.f. October 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, 2019 – September 30, 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****Enclosed:****Annexure A- Draft / Information to be submitted****Annexure B- Manual for RBS Submission****Annexure C- Penalty structure for Non-submission/ Delayed Submission**

In case of any clarifications, Members may contact 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	