

National Stock Exchange Of India Limited

DEPARTMENT : INSPECTION	
Download Ref. No.: NSE/INSP/47935	Date : April 07, 2021
Circular Ref. No.: 17/2021	

To All Members,

Sub: Risk Based Supervision (RBS) - Submission of information for the period April 01, 2020 – March 31, 2021 (FY 2020-21)

Members are requested to submit the information / data towards the Risk Based Assessment for the period April 01, 2020 – March 31, 2021 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, 2021.

The link for submission of the information/data is activated. 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, 2020 – March 31, 2021). 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**

**Subhankar Chowdhury
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 our below offices:

Regional Office	E MAIL ID
Ahmedabad (ARO)	inspectionahm@nse.co.in
Chennai (CRO)	inspection_cro@nse.co.in
Delhi (DRO)	delhi_inspection@nse.co.in
Kolkata (KRO)	inspection_kolkata@nse.co.in
Mumbai (WRO)	compliance_wro@nse.co.in
Central Help Desk	compliance_assistance@nse.co.in