

National Stock Exchange of India Limited

Circular

DEPARTMENT: INSPECTION	
Download Ref No: NSE/INSP/50229	Date: November 08, 2021
Circular Ref. No: 55/2021	

To All Members,

Sub: Risk Based Supervision (RBS) - Submission of information for the period April 01, 2021 –September 30, 2021.

Members are requested to submit the Information / data towards the Risk Based Assessment for the period April 01, 2021–September 30, 2021 to the Exchange. The particulars of such information / data sought in this regard is 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, 2021.

The link for submission will be available w.e.f. November 10, 2021. 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, 2021–September 30, 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**

**Swati Sopare
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