National Stock Exchange of India Limited

Annexure – A

Expected / Indicative Penalty

Penalty Status | **Expected Penalty** | IGRP / ARB | Directions

Date of LO/SCN	Case Id	Category	Expected Penalty
22-NOV-2023	2023-33044	Enforcement Actions	0.00
22-AUG-2023	2023-29710	Enforcement Actions	0.00
21-NOV-2023	2023-33026	Enforcement Actions	0.00

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Latest Penalties | NEW Compliance Calendar | NEW Know Your Penalties (KYP)

Date of Penalty	Case Id	Category	Description of Penal Action	Relevant Circular/Provision	Penalty Amount
23-NOV-2023	2023-31351	Enforcement Actions	Penalties levied as per MCSGFC directives	NSE/INSP/53530 dated September 2, 2022	0.00
23-NOV-2023	2023-32664	Enforcement Actions	Penalties levied as per MCSGFC directives	NSE/INSP/53530 dated September 2, 2022	0.00
21-NOV-2023	2023-31771	Enforcement Actions	Penalties levied as per MCSGFC directives	NSE/INSP/53530 dated September 2, 2022	0.00

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Expected / Indicative Penalties Details

LO_23-24M_CMFOCDS_OFFSITE_22112023.pdf

Case Id	Action Category	Period of Inspection(From Date)	Period of Inspection(From Date)	Violations	Relevant Circular Provision	Expected/Indicative Penalty
2023-33044	Enforcement	23-OCT-2023	17-NOV-2023	Member has not correctly reported the data towards "Segregation and Monitoring of Collateral at Client Level" to Clearing Member/Clearing Corporation	NSE/INSP/53530 dated 2-Sep-22	0.00

Note:

Your attention is drawn to the NSE Circular reference no. NSE/INSP/53530 dated 2-Sep-22 which contains the indicative applicable penalties / actions which is leviable against each observation mentioned in Annexure 1.
The penalty in terms of each observation is accordingly quantified and stated against each of the observation in the letter of observation.The penalties mentioned are indicative and subject to escalations, if any.

All Members are requested to note that the amount collected in the form of penalty do not constitute any part of the revenue of NSE/NCL. The entire amount of penalty collected is credited to Investor Protection Fund (IPF) account in case of NSE and Settlement Guarantee Fund (SGF) account in case of NCL.

Disclaimer: The information provided on this Penalty Dashboard is for quick reference and for general purposes only. The same may not be considered as final. Compliance Calendar includes compliances which have specific due dates and does not include routine/ongoing/event-based compliances like client code modification, error account etc. The Trading Members are advised to refer official communication received via circulars etc from the National Stock Exchange of India Limited for completeness, exhaustiveness, and details of all the compliances. As this is a ready reckoner, National Stock Exchange of India Limited is not responsible for any errors or omissions, or any losses caused due to the usage of this information in dashboard without reference/context to corresponding circulars and other circulars.

Directions

Penalty Status | Expected Penalty | **Directions** | IGRP / ARB

Case Id	Actionable/Direction	Due Date	Status
2023-27827	Submit Compliance Certificate	30-DEC-2023	Open

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Latest Penalties | NEW Compliance Calendar | NEW Know Your Penalties (KYP)

Date of Penalty	Case Id	Category	Description of Penal Action	Relevant Circular/Provision	Penalty Amount
23-NOV-2023	2023-31351	Enforcement Actions	Penalties levied as per MCSGFC directives	NSE/INSP/53530 dated September 2, 2022	0.00
23-NOV-2023	2023-32664	Enforcement Actions	Penalties levied as per MCSGFC directives	NSE/INSP/53530 dated September 2, 2022	0.00
21-NOV-2023	2023-31771	Enforcement Actions	Penalties levied as per MCSGFC directives	NSE/INSP/53530 dated September 2, 2022	0.00

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National Stock Exchange of India Limited

IGRP orders / Arbitration awards

Penalty Status | Expected Penalty | **IGRP / ARB** | Directions

Year	IGRP Orders	Arb. awards	App. Arb. Awards
2022-23	11	2	0
2020-21	16	6	2
2021-22	10	2	2

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Latest Penalties NEW Compliance Calendar NEW Know Your Penalties (KYP)

Date of Penalty	Case Id	Category	Description of Penal Action	Relevant Circular/Provision	Penalty Amount
23-NOV-2023	2023-31351	Enforcement Actions	Penalties levied as per MCSGFC directives	NSE/INSP/53530 dated September 2, 2022	0.
23-NOV-2023	2023-32664	Enforcement Actions	Penalties levied as per MCSGFC directives	NSE/INSP/53530 dated September 2, 2022	0.
21-NOV-2023	2023-31771	Enforcement Actions	Penalties levied as per MCSGFC directives	NSE/INSP/53530 dated September 2, 2022	0.

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IGRP & Arbitrary Orders

2022-23

IGRP Ref. no.	Date of IGRP Order	Amount	Arbitration Ref. no.	Date of Arbitration award	Amount	Appellate Arbitration Ref. no	Date of Appellate Arbitration award	Amount	Amount collected	Date of Collection
NSEDRO/0010742/22-23/ISC/IGRP	01-Dec-2022	0.0		-	-		-	-	-	-
NSEDRO/0012118/22-23/ISC/IGRP	03-Jan-2023	0.0		-	-		-	-	-	-
NSEBEN/0016141/22-23/ISC/IGRP	31-Mar-2023	0.0		-	-		-	-	-	-
	-	-	NSEDRO/0010881/22-23/ARB	10-Mar-2023	6084273.0		-	-	6084273.0	20-Mar-2023
	-	-	NSEHRO/0008056/22-23/ARB	09-Nov-2022	71073.03		-	-	-	-

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Compliance Calendar and Know Your Penalties (KYP)

SERVICES

Inspection
Inspection
ENIT-COMPLIANCE-NEW
NICEPLUS-1
ENIT-Compliance

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Penalty Status

Year	Penalty Levied
2022-23	4449500.00
2023-24	1385700.00
2021-22	121000.00

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Latest Penalties NEW Compliance Calendar NEW Know Your Penalties (KYP)

Date of Penalty	Case Id	Category	Description of Penal Action	Relevant Circular/Provision	Penalty Amount
12-JUL-2023	2021-7820	Enforcement Actions	Penalties levied as per MCSGFC directives	NSE/INSP/53530 dated September 2, 2022	416500.00
12-JUL-2023	2023-28177	Enforcement Actions	Penalties levied as per MCSGFC directives	NSE/INSP/53530 dated September 2, 2022	0.00
04-JUL-2023	2022-18168	Enforcement Actions	Penalties levied as per MCSGFC directives	NSE/INSP/53530 dated September 2, 2022	100000.00

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