

## National Stock Exchange of India Limited

### Circular

| DEPARTMENT: INSPECTION                 |                             |
|--|-----------------------------|
| <b>Download Ref No: NSE/INSP/73795</b> | <b>Date: April 17, 2026</b> |
| <b>Circular Ref. No: 17/2026</b>       |                             |

To All Trading Members,

**Sub: Risk Based Supervision (RBS) - Submission of information for the period April 01, 2025 – March 31, 2026 (Financial Year ended March - 2026)**

Members are requested to submit the information / data towards the Risk Based Assessment for the period April 01, 2025 – March 31, 2026 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, 2026.

Additionally, pursuant to representations received from the Brokers' Industry Standards Forum for ease of compliance and in consultation with SEBI, certain information/details shall be sourced by Exchanges internally and through other regulatory submissions made by members to Exchanges. Details of such data points are given in **Annexure B**. Members are advised to ensure timely submission and periodically update all such regulatory information

The procedure for submitting the same through the Inspection module in the Member portal is given in **Annexure - C** 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 even a single trade during the assessment period i.e. April 01, 2025 – March 31, 2026). 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 - D** 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**

**Ajinkya Nikam  
Chief Manager – Inspection**

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

| <b>Regional Office</b> | <b>CONTACT NO.</b>              | <b>E MAIL ID</b>             |
|------------------------|---------------------------------|------------------------------|
| Ahmedabad (ARO)        | 079-65278024/55                 | inspectionahm@nse.co.in      |
| Chennai (CRO)          | 044- 66309915/17                | inspection_cro@nse.co.in     |
| Delhi (DRO)            | 011-23459146/127/144/147        | delhi_inspection@nse.co.in   |
| Kolkata (KRO)          | 033- 40400404/06                | inspection_kolkata@nse.co.in |
| Mumbai (WRO)           | 022-61928200                    | compliance_wro@nse.co.in     |
| Central Help Desk      | compliance_assistance@nse.co.in |                              |

## Annexure – A

| <b>RISK TEMPLATE FOR MEMBERS FOR THE ASSESMENT PERIOD APRIL 01, 2025 - MARCH 31, 2026</b> |  |  |
|---|--|--|
| <b>Sr. No.</b>  | <b>Particulars</b>   | <b>Description</b>   |
| <b>A</b>  | <b>Details of Branches</b>   |  |
| 1   | <b>Total no. of Branches as on last day of Assessment Period</b>   | <b>Total Number of Branches of the Member (Excluding AP) as on assessment period</b>   |
| a   | No. of Branches with Terminals   |  |
| b   | No. of Branches without Terminals and having client servicing facility   |  |
| 2   | <b>Number of Branches Inspected by Member during the Assessment Period</b>   | <b>Count of Branches Inspected by Member during the assessment period</b>  |
| a   | No. of Branches with Terminals   |  |
| b   | No. of Branches without Terminals and having client servicing facility   |  |
| <b>B</b>  | <b>Details of Branches / AP offices with order placement facility</b>  |  |
| 3   | Number of branches having order placement facility   | Count of branches as on the assessment period as per SEBI circular SEBI/HO/MIRSD/DOP1/CIR/P/2018/54 dated March 22, 2018.                  |
| 4   | Number of APs offices having order placement facility  | Count of APs offices of the member as on the assessment period as per SEBI circular SEBI/HO/MIRSD/DOP1/CIR/P/2018/54 dated March 22, 2018. |
| <b>C</b>  | <b>No. Internet trading clients</b>  |  |
| 5   | Total Internet Trading Clients   | Total number of registered clients who have been provided internet trading facility (IBT) as on assessment period.                         |
| <b>D</b>  | <b>No. of clients categorized as high risk clients e.g. PEPs, clients from countries mentioned in the FATF statements, NRIs, etc. registered as on assessment period - Total Number of Registered clients categorised by Member through the adoption of an appropriate client due diligence process as specified by the Prevention of Money Laundering Act, PMLA, 2002</b> |  |
| 6   | PEP  | Politically Exposed Persons  |
| 7   | FATF   | Clients in high-risk countries identified in the Financial Action Task Force (FATF) statements published regularly.                        |
| 8   | NRI  | Non-resident clients   |
| 9   | MF/ Trusts   | Mutual Funds/ Trusts Categorised as High Risk  |
| 10  | Others   | Others: - Charities, Non-Governmental  |

|          |   |   |
|----------|---|---|
|          |   | Organizations (NGOs) and organizations receiving donations, Clients with dubious reputation, Companies offering foreign exchange offerings etc.   |
| <b>E</b> | <b>Other Details</b>  |   |
| 11       | Total No. of employees, employed for broking operations   | Total Number of people employed by the Member including contract staff for broking operations as on last day of Assessment period                 |
| 12       | Type of Insurance cover obtained by the Member.   | The type of Insurance cover taken by the Member e.g. Stock Brokers Indemnity Policy, fire insurance etc. as on the Last day of assessment Period. |
| 13       | Amount of Insurance cover obtained by the Member. (Rs.)   | The aggregate amount of all insurance cover obtained by the Member as on assessment period.   |
| 14       | Brokerage income for the assessment period (in Rs.)   | Gross brokerage revenue from broking operations across all exchanges.   |
| 15       | Operating profit/ loss for the Member for the assessment period (in Rs.)  | Profit / loss from broking operations before tax (For all Exchanges)  |
| 16       | Total amount of delayed payment charges collected from the clients (Rs.)  | Total Amount of late/delayed payment charges/ interest levied on clients during the assessment period (across all Exchanges).                     |
| 17       | Number of STRs filed during the Assessment Period   | Count of the Suspicious Transaction Reports filed with FIU-India  |
| <b>F</b> | <b>Loans given to group companies/ associates/ subsidiaries/ key persons during the assessment period– details, secured/ unsecured and amount involved.</b> |   |
| 18       | Details of loans  | Details of loans to group companies/ associates/ subsidiaries / Key person/other entity   |
| 19       | Secured loans (In Rs.)  | Total amount of secured loans given by the Member to group companies/ associates/ subsidiaries  |
| 20       | Unsecured loans (In Rs.)  | Total amount of un-secured loans given by the Member to group companies/ associates/ subsidiaries   |
| <b>G</b> | <b>Details of action taken by Police or any Foreign regulator</b>   |   |
| 21       | Number and details of actions initiated/ taken/ pending against Member or its employees by police w.r.t. frauds, forgery, etc.                              |   |
|          | No. of instances of Actions initiated/pending   | Number of total proceedings initiated by Police (if any) for fraud, forgery etc. during   |

|          |   |   |
|----------|---|---|
|          |   | the assessment period   |
|          | No. of instances of Actions taken   | Number of total action by Police (if any) during the assessment period  |
| 22       | Whether any disciplinary action initiated/ pending/ taken, details and penalty levied by any foreign regulator against the Member for regulatory non-compliances in their jurisdiction?   |   |
|          | No. of Instances  | Number of total non-compliances observed by foreign regulator (if any) during the assessment period           |
|          | Penalty levied (In Rs)  | Penalty levied for the non-compliances observed by foreign regulator (if any) during the Assessment Period    |
| <b>H</b> | <b>No. of Instances of sharing of client Information</b>  |   |
| 23       | No of Instances of sharing client KYC or trade information with associate/ group company/ third party.  | Number of Instances of sharing of client information without his express consent during the assessment period |
| <b>I</b> | <b>Disciplinary actions against key persons of the Member</b>   |   |
| 24       | Details of disciplinary actions initiated/ taken against key persons of the Member by SEBI, or any other regulatory authority during the assessment period viz. name of concerned person, Designation/Relation, PAN, type of action and penalty if any. Also, specify the consent amount, if any. |   |
|          | Details of disciplinary actions initiated/ taken  | Details of disciplinary actions against key persons during the assessment period                              |
|          | No. of Instances  | Number of actions taken against the key persons of the Member during the assessment period.                   |
|          | Penalty levied/ consent amount (In Rs.)   | Penalty levied/consent amount for such disciplinary actions initiated/taken                                   |
| <b>J</b> | <b>Actions initiated/ taken/ pending against the stock broker, its employees, key persons*, controlling person</b>  |   |
| 25       | Number of instances and amount involved, if any, in actions initiated/ taken/ pending against the stock broker, its employees, key persons*, controlling person by SEBI, SAT,   |   |

|  |  |                                     |
|--|--|-------------------------------------|
|  | Courts, Consumer Forums, stock exchanges, other regulators, etc. pertaining to securities market operations in the Assessment Period |                                     |
|  | No. of Instances of non-compliances  | No. of Instances of non-compliances |
|  | Penalty levied (In Rs)   | Penalty levied (In Rs)              |

**Note:** \*"Key person" means and includes directors, promoters, compliance officer

**Annexure - B**

| <b>Sr. No.</b> | <b>Particulars</b>   | <b>Details to be Source</b>   |
|----------------|--|---|
| <b>A</b>       | <b>Details of Branches</b>   |   |
| 3              | Number of APs Inspected by Member during the assessment period   | Shall be sourced through Member reporting of AP Inspection report to Exchange during the assessment period.   |
| <b>C</b>       | <b>Details of withdrawn/ termination of AP</b>   |   |
| 6              | Number of APs who discontinued service or were terminated during the assessment period   | Shall be sourced based on member requests submitted to Exchange during the assessment period.   |
| 7              | Number of instances of AP termination due to any regulatory non-compliance during the assessment period                                    | Shall be sourced based on member requests submitted to Exchange during the assessment period.   |
| <b>D</b>       | <b>No. of AP clients</b>   |   |
| 8              | Number of AP clients   | Shall be sourced through member reporting of clients mapped to Authorized Persons (AP) as on the last day of the assessment period (i.e. March 31, 2026)                                    |
| <b>F</b>       | <b>Other Details</b>   |   |
| 18             | Whether there are any subsidiaries/ branches/representative offices in other countries and whether regulatory approval taken for the same? | Shall be sourced through Internal Audit submissions made by members on half yearly basis during assessment period   |
| 19             | Location of BCP/ DR site   | Shall be sourced through other regulatory submissions.  |
| 22             | Total debit balances of all clients as on last day of assessment period (in Rs.)   | Shall be sourced through Segregation and Monitoring of Collateral at Client Level reporting as on last day of assessment period.  |
| 23             | Total available collaterals from all debit balance clients as on last day of the Assessment period   | Shall be sourced through Segregation and Monitoring of Collateral at Client Level reporting, Depository details, Holding Statement reporting, etc. as on last day of the Assessment period. |
| 26             | Total credit balances of all clients as on last day of the Assessment period (in Rs.)  | Shall be sourced through Segregation and Monitoring of Collateral at Client Level reporting as on last day of the Assessment period.  |

|          |   |   |
|----------|---|---|
| 27       | Total funds available in Bank (all Client Bank Accounts, including the Settlement Account)/ with Clearing Member/ clearing corporations as on last day of the Assessment period (in Rs.)  | Shall be sourced through details of Clearing corporation, Clearing member, Bank balance submission etc. as on last day of the Assessment period |
| <b>H</b> | <b>Number and details of non-compliances observed by SEBI and details of any actions initiated/ taken against Member</b>  |   |
| 31       | Number of instances of non-compliances and amount of penalties levied by SEBI on the Member during the Assessment Period with regard to fraud instances by the Member – Nature of the frauds, amount involved, whether involving client assets or Member’s own assets, whether actions taken against employees, APs, etc. |   |
|          | Number of Instances   | Shall be sourced through Internal Audit submissions made by members on half yearly basis during assessment period                               |
|          | Penalty levied (in Rs.)   |   |
|          | Action taken against employees/AP   |   |
| 32       | <b>Details of inspection undertaken by SEBI during assessment period, details of adverse observations and penalties/regulatory action, if any.</b>  |   |
|          | Number of SEBI inspections  | Shall be sourced through Internal Audit submissions made by members on half yearly basis during assessment period                               |
|          | Number of adverse observations in SEBI inspections  |   |
|          | Nature of disciplinary action by SEBI for inspections   |   |
|          | Monetary penalty, if any, levied by SEBI (in Rs.)   |   |
| <b>L</b> | <b>Details of Associates/Group Companies/Related Parties</b>  |   |
| 37       | Details of Associates/ group companies/Related parties along with details of registration and whether active in any sector of the financial market.   | Shall be sourced through other regulatory submissions   |

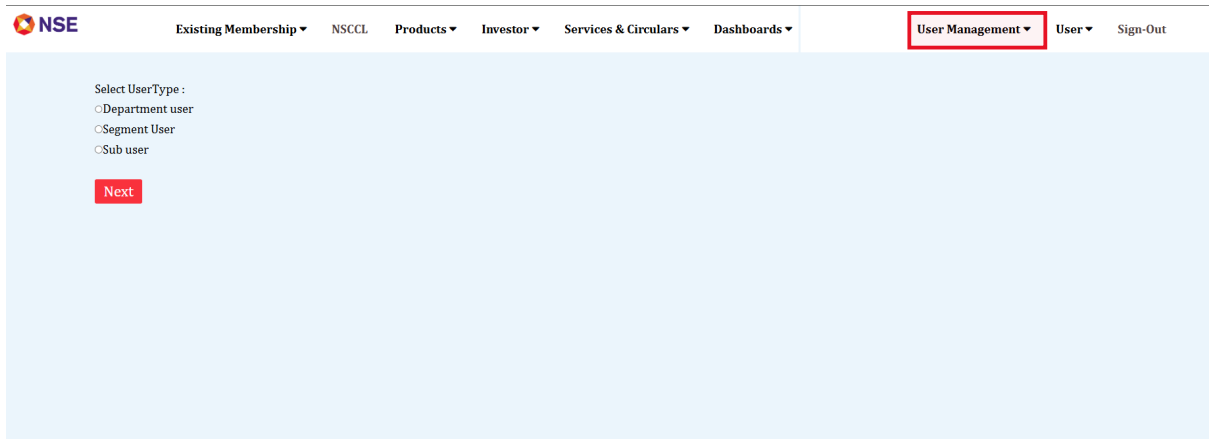
## Annexure - C

### Member Portal User Guide for RBS Submission

1. Members are required to use below URL to login to Member Portal.

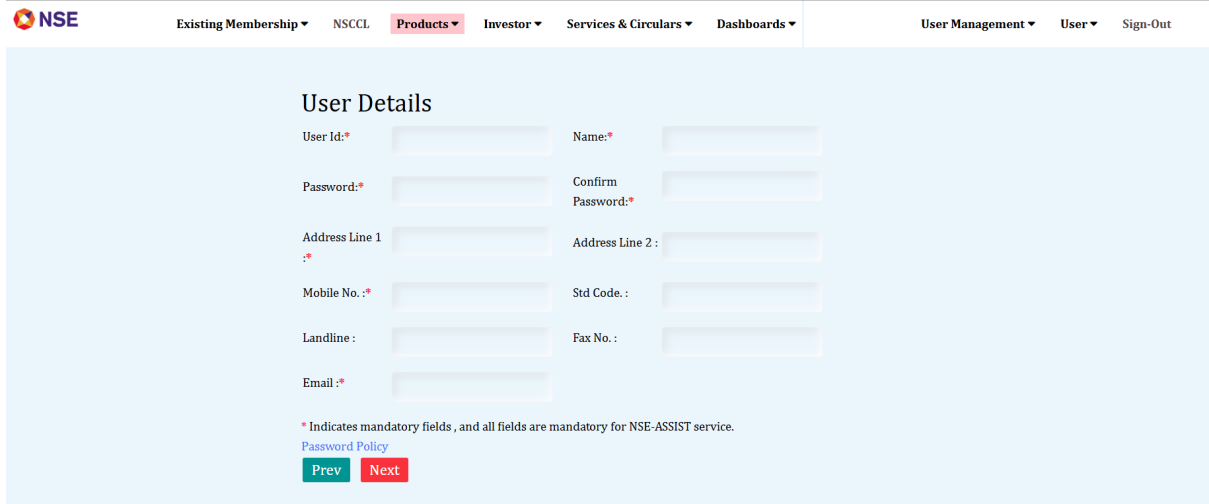
URL - <https://inspection.nseindia.com/MemberPortal/>

Admin User needs to create sub user id login in Member Portal under user management tab.



The screenshot shows the NSE Member Portal interface. The top navigation bar includes the NSE logo and several menu items: Existing Membership, NSCL, Products, Investor, Services & Circulars, Dashboards, User Management (highlighted with a red box), User, and Sign-Out. Below the navigation bar, there is a section titled 'Select UserType:' with three radio button options: Department user, Segment User, and Sub user. A red 'Next' button is positioned below these options.

Enter User Details as given in the below screen shot.



The screenshot shows the 'User Details' form in the NSE Member Portal. The form is titled 'User Details' and contains several input fields for user information. The fields are arranged in two columns:

- User Id.\* (Mandatory)
- Name.\* (Mandatory)
- Password.\* (Mandatory)
- Confirm Password.\* (Mandatory)
- Address Line 1 :.\* (Mandatory)
- Address Line 2 :
- Mobile No. :\* (Mandatory)
- Std Code. :
- Landline :
- Fax No. :
- Email :.\* (Mandatory)

Below the form, there is a note: '\* Indicates mandatory fields, and all fields are mandatory for NSE-ASSIST service.' and a link for 'Password Policy'. At the bottom of the form, there are two buttons: 'Prev' (green) and 'Next' (red).

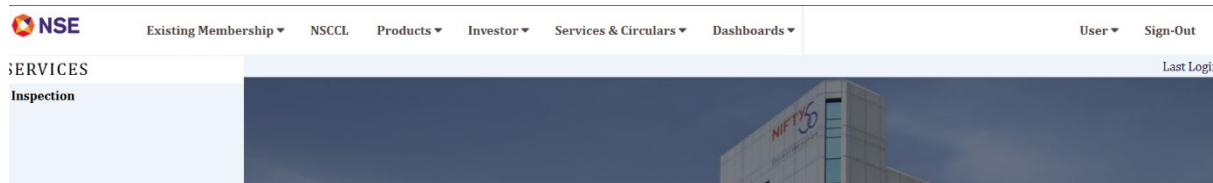
2. **Enable Inspection tab in Member Portal**

Admin user should assign Inspection service to sub user id. Please use below navigation to assign service.

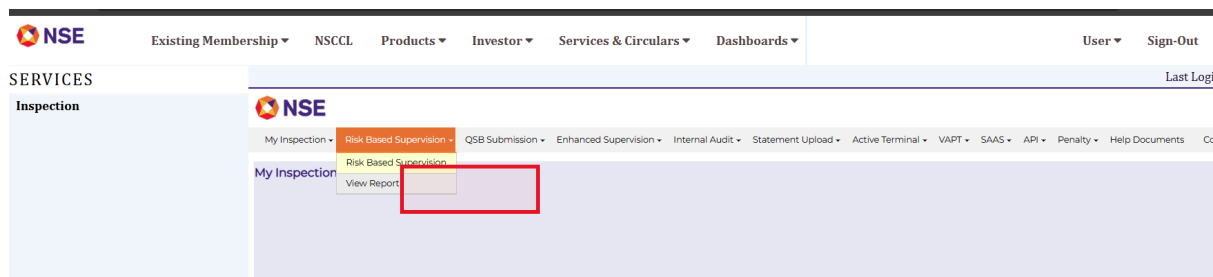
Select services as per below screenshot:

|                           |                                     |                          |                          |                          |                          |                          |                          |                          |                          |                          |                          |                          |                          |
|---------------------------|-------------------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| ENITHalfYearly            | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| ENIT_Portal_Old           | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| EXTRANET-circulars        | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| EXTRANET-common           | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| EXTRANET_dnld             | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| EXTRANET_upld             | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| ExtranetAPI-Registration  | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| INSPECTION-INTERNAL AUDIT | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Inspectn_Bchmrkng_Api     | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Inspection                | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Inspection_Oracle         | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Inspection_Oracle_IA      | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Inspection_Rhel8          | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Inspection_bank_recon     | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Inspection_rhel_8         | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Internal Audit-ATR        | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| NSE Extranet Beta         | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| NSE Investor Centre       | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| NSE-ASSIST                | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| UCI Online                | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| UCI-Online DEV            | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| UCI-Online DEV2           | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| WebAPP                    | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| inspection_itr            | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

Click on Inspection service



3. Under Risk Based Supervision Tab drop down risk based supervision.



4. A form for entering the details will appear. Carefully fill the form as per the details collated by you in the boxes against each of the line items. You may also save the form as draft for later submission.

5. Please ensure that all the details filled are correct and complete in all respect. Submit the form by clicking on "Submit" button.

| Select   | S. No. | Mention whether the Action is Initiated / Taken against the Stock Broker, its Employees, Key Persons | Mention Action Taken by SEBI, SAT, Courts, Consumer Forums, Stock Exchanges, Other Regulators, etc. | No. of instances | Amount (Rs.) | Whether involving client assets |
|--|--------|--|---|------------------|--------------|---------------------------------|
| No broker action details added.                    |        |  |   |                  |              |                                 |
| <a href="#">Add Row</a> <a href="#">Delete Row</a> |        |  |   |                  |              |                                 |

[Save Draft](#)[Submit](#)

\*\*\*\*End of Document\*\*\*\*

## Annexure – D

### **DISCIPLINARY ACTION FOR NON-SUBMISSION / LATE SUBMISSION OF RISK BASED SUPERVISION (RBS) DATA**

In case of any non-submission/delayed submission by the trading member, disciplinary action by way of levying financial disincentive as prescribed in the Annexure 1.2 of Exchange’s circular No NSE/INSP/73792 dated April 17, 2026, are initiated. Details of the same are given below: -

| <b>Details of contravention</b>   | <b>Action in case of first instance</b>  | <b>Action in case of repeat instance</b>   |
|---|--|--|
| <p>Delay / Non-submission of Risk Based Supervision within the due date. (Financial Disincentive)</p> | <p>1.Charges Rs. 1,500/- per day for Non QSB &amp; Rs. 3,000/- per day for QSB from the due date till first 7 calendar days or submission of report, whichever is earlier.</p> <p>2.Charges of Rs. 2,500/- per day for Non QSB &amp; Rs. 5,000/- per day for QSB from 8th calendar day after the due date to 21st calendar day or submission of report, whichever is earlier.</p> <p>3.In case of non-submission of report till 21st calendar days, new client registration shall be prohibited and notice of 7 calendar days for disablement of trading facility till submission of report, shall be issued.</p> <p>4.The disablement notice issued to the member will be shared with all the Exchanges for information.</p> <p>5.In case of non-submission of report by 28th calendar day, Member shall be disabled in all segments till submission of report.</p> | <p>2nd Time &amp; Onwards –</p> <p>Levy of applicable monetary penalty along with an escalation of 50%.</p> <p>In case of non-submission of report till 21st calendar days, new client registration shall be prohibited and notice of 7 calendar days for disablement of trading facility till submission of report, shall be issued.</p> <p>The disablement notice issued to the member will be shared with all the Exchanges for information.</p> <p>In case of non-submission of report by 28th calendar day, Member shall be disabled in all segments till submission of report.</p> |