



Annexure C

**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 is prescribed in the exchange's circular MSE/INSP/18897/2026 dated April 17, 2026, are initiated. Details of the same is given below:-

Details of contravention	Action in case of first instance	Action in case of repeat instance
Delay / Non-submission of Risk Based Supervision within the due date.	1.Charges Rs. 1,500/- per day for Non QSB & Rs. 3,000/- per day for QSB from the due date till first 7 calendar days or submission of report, whichever is earlier. 2.Charges of Rs. 2,500/- per day for Non QSB & 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. 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. 4.The disablement notice issued to the member will be shared with all the Exchanges for information. 5.In case of non-submission of report by 28th calendar day, Member shall be disabled in all segments till submission of report.	2nd Time & Onwards – Levy of applicable monetary penalty along with an escalation of 50%. 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. The disablement notice issued to the member will be shared with all the Exchanges for information. In case of non-submission of report by 28th calendar day, Member shall be disabled in all segments till submission of report.