

**ANNEXURE - C**

**INDICATIVE PENALTY FOR NON-SUBMISSION / LATE SUBMISSION OF RISK BASED SUPERVISION (RBS) DATA**

The following late/non-submission penalty/ disciplinary actions would be initiated against the member in this regard.

Particulars	Penalty/Disciplinary Action	Highest Risk Rating
<b>Submission within the due date (May 31, 2025)</b>	<b>No Action</b>	
Submission within 5 days from the end of due date for submission	Penalty of Rs. 10,000/-	NA
Submission after 5 days but within 15 days from the end of the due date for submission	Penalty of Rs. 10,000 + Rs. 2,000/- per day (from the 6th day till the 15th day from the end of the due date)	NA
Non submission after 15 days from the end of due date for submission	Member will not be allowed to register any new clients in Exchange UCC database. This will be implemented across the exchanges, even if data is submitted to one Exchange. Registration of new clients will be allowed after data is submitted to all the exchanges.	Highest risk-rating will be assigned to the parameters for which data is not submitted by the member
Non submission after 45 days from the end of due date for submission	In addition to the above disablement of trading terminals by all stock exchanges, irrespective of the stock exchange where the Member has not submitted the data.  <b>2 weeks' notice shall be given to the Member after Non submission beyond 45 days from the end of due date subsequent to which the Member shall be disabled in all segments of the Exchange. Enablement of terminal will not be allowed till the data is submitted to all the Exchanges</b>	Highest risk-rating will be assigned to the parameters for which data is not submitted by the member