



## NOTICE

<b>Notice No.</b>	20260417-25
<b>Notice Date</b>	17 Apr 2026
<b>Category</b>	Compliance
<b>Segment</b>	General
<b>Department</b>	DOSS
<b>Subject</b>	Risk Based Supervision (RBS) - Submission of information for the period April 01, 2025 – March 31, 2026 (Financial Year ended March - 2026)
<b>Attachments</b>	<a href="#">Annexure A</a> ; <a href="#">Annexure B</a> ; <a href="#">Annexure C</a>

Trading members are requested to note that the Risk Based Supervision data for the FY 2025 - 2026 (for the period April 01, 2025 – March 31, 2026) is required to be submitted by May 31, 2026 (“Due Date”).

The trading members may note that the submission is to be made only electronically through BEFS, under the menu >>>Risk Based Supervision. No physical copies are required to be submitted to the Exchange.

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).

The details to be provided by the trading members to the Exchange are attached as **Annexure\_A**.

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**.

The User manual to submit the details is also attached as **Annexure\_C**.

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 by way of levying financial disincentive is prescribed in the exchange’s notice no. 20251010-20 dated October 10, 2025, are initiated. Details of the same is given below: -

<b>Details of contravention</b>	<b>Action in case of first instance</b>	<b>Action in case of repeat instance</b>
Failure to submit data for the half yearly Risk Based Supervision within the time specified by Exchange.	<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>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</p>

<b>Details of contravention</b>	<b>Action in case of first instance</b>	<b>Action in case of repeat instance</b>
	<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>	segments till submission of report.

Members are requested to take note of the above and comply.

In case of any clarifications, members may contact us on details given as under:

<b>Contact Nos</b>	<b>Email Id</b>
022-69158540	<a href="mailto:Bse.inspection@bseindia.com">Bse.inspection@bseindia.com</a>
022-45720640	
022-45720440	

**For and on behalf of BSE Ltd.**

**Kaustubh Mundada**  
**Assistant Vice President**  
**Member Oversight**

**Kalpesh Ganger**  
**Manager**  
**Member Oversight**