



Circular No.: MCX/COMP/216/2026

April 20, 2026

Risk Based Supervision

Submission of Data/Details/Information for the period April 01, 2025 to March 31, 2026

All Members of the Exchange are required to submit Data/Details/Information pertaining to Risk Based Supervision (RBS) for the period April 01, 2025 to March 31, 2026 to the Exchange latest by **May 31, 2026**.

All data/details/information pertaining to Risk Based Supervision (RBS) has to be submitted electronically only and no physical copies need to be submitted to the Exchange. The particulars of data/details/information sought by the Exchange has been mentioned in **Annexure - A** enclosed herewith.

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 link for submitting the data/details/information is as under:

<https://member.mcxindia.com>

The procedure to submit data/details/information sought by the Exchange has been mentioned in **Annexure C**.

Members may note that submission of data/details/information pertaining to Risk Based Supervision is mandatory for all active Members of the Exchange (i.e. Members who have executed even a single trade during the period April 01, 2025 to March 31, 2026). Further, the data/details/information collected from Members towards RBS is also shared with SEBI and any false/incorrect submission of data is viewed seriously by the Exchange.

In case of any non-submission/delayed submission by any Member, disciplinary actions as prescribed in **Annexure D** will be initiated.

----- Corporate office -----

Multi Commodity Exchange of India Limited

Exchange Square, CTS No. 255, Suren Road, Chakala, Andheri (East), Mumbai – 400 093

Tel.: 022 – 6649 4000 Fax: 022 – 6649 4151 CIN: L51909MH2002PLC135594

www.mcxindia.com email: customersupport@mcxindia.com

All Members are requested to ensure compliance with the above regulatory requirements.

Baiju Budhwani
Head of Department
(Inspection and Enforcement)

Enclosed: Annexure A - Data/Details/Information to be submitted
Annexure B - Details sourced internally and through other submissions
Annexure C - Procedure for submission (Help file)
Annexure D - Penalty structure for Non Submission/Delayed Submission of Risk
Based Supervision details

Kindly contact Inspection & Enforcement Team on 022-66494040 or send an email at customersupport@mcxindia.com and inspection@mcxindia.com for further clarification.

Annexure – A

| RISK TEMPLATE FOR MEMBERS FOR THE ASSESMENT PERIOD APRIL 01, 2025 - MARCH 31, 2026 | | |
|--|--|--|
| Sr. No. | Particulars | Description |
| A Details of Branches | | |
| 1 | Total no. of Branches as on last day of Assessment Period | Total Number of Branches of the Member (Excluding AP) as on assessment period |
| a | No. of Branches with Terminals | |
| b | No. of Branches without Terminals and having client servicing facility | |
| 2 | Number of Branches Inspected by Member during the Assessment Period | Count of Branches Inspected by Member during the assessment period |
| a | No. of Branches with Terminals | |
| b | No. of Branches without Terminals and having client servicing facility | |
| B Details of Branches / AP offices with order placement facility | | |
| 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. |
| C No. Internet trading clients | | |
| 5 | Total Internet Trading Clients | Total number of registered clients who have been provided internet trading facility (IBT) as on assessment period. |
| D 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 | | |
| 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. |
| E | Other Details | |
| 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 |
| F | Loans given to group companies/ associates/ subsidiaries/ key persons during the assessment period– details, secured/ unsecured and amount involved. | |
| 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 |
| G | Details of action taken by Police or any Foreign regulator | |
| 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 |
| H | No. of Instances of sharing of client Information | |
| 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 |
| I | Disciplinary actions against key persons of the Member | |
| 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 |
| J | Actions initiated/ taken/ pending against the stock broker, its employees, key persons*, controlling person | |
| 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 | Count of instances as per sheet |
| | Penalty levied (In Rs) | Amount as per sheet |

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

ANNEXURE B

| Sr. No. | Particulars | Details to be Source |
|----------------|---|---|
| A | Details of Branches | |
| 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. |
| C | Details of withdrawn/ termination of AP | |
| 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. |
| D | No. of AP clients | |
| 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) |
| F | Other Details | |
| 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 |
| H | Number and details of non-compliances observed by SEBI and details of any actions initiated/ taken against Member | |
| 29 | 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 |
| | Penalty levied (in Rs.) | |
| | Action taken against employees/AP | |

| Sr. No. | Particulars | Details to be Source |
|----------|---|---|
| 30 | Details of inspection undertaken by SEBI during assessment period, details of adverse observations and penalties/regulatory action, if any. | |
| | 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.) | |
| L | Details of Associates/Group Companies/Related Parties | |
| 35 | 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 |

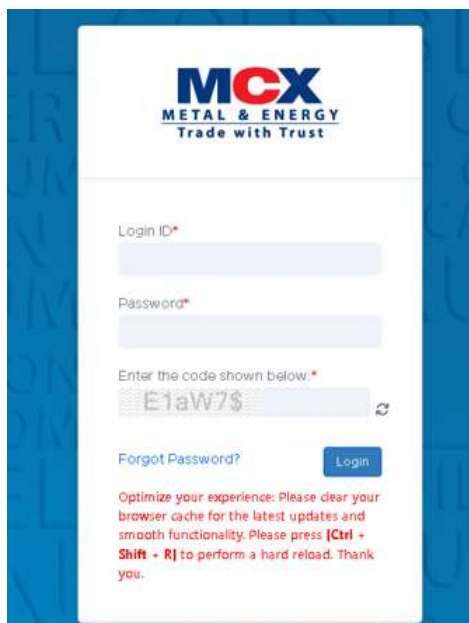
ANNEXURE C

Help File for Risk Based Supervision

(Please note that you have to digitally sign and submit)

- 1) Below is the link & the screenshot of the page from where you can login for submission of data pertaining to Risk Based Supervision. Kindly use Google Chrome as your web browser for submission of details pertaining to Risk Based Supervision.

<https://member.mcxindia.com>



MCX
METAL & ENERGY
Trade with Trust

Login ID*

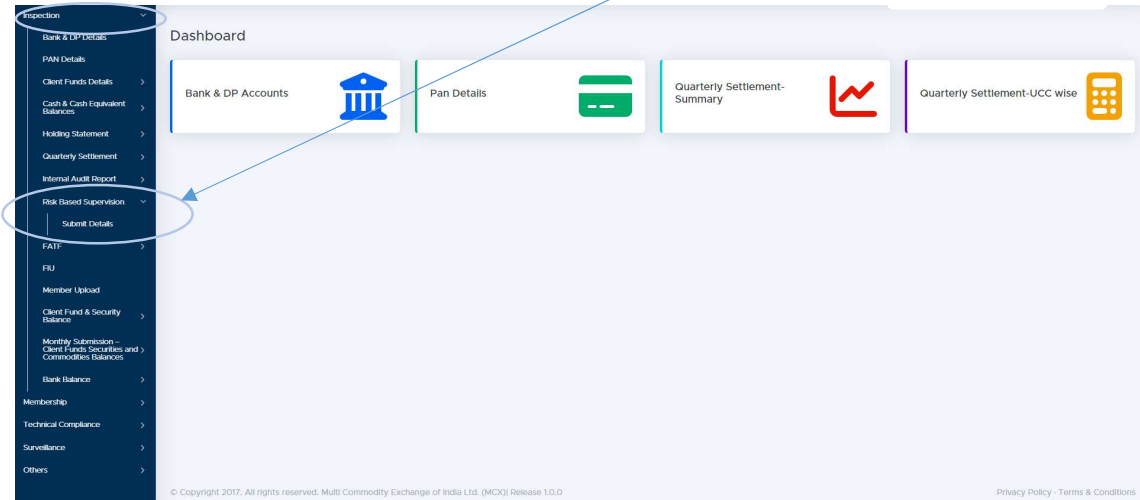
Password*

Enter the code shown below.*
E1aW7\$

Forgot Password?

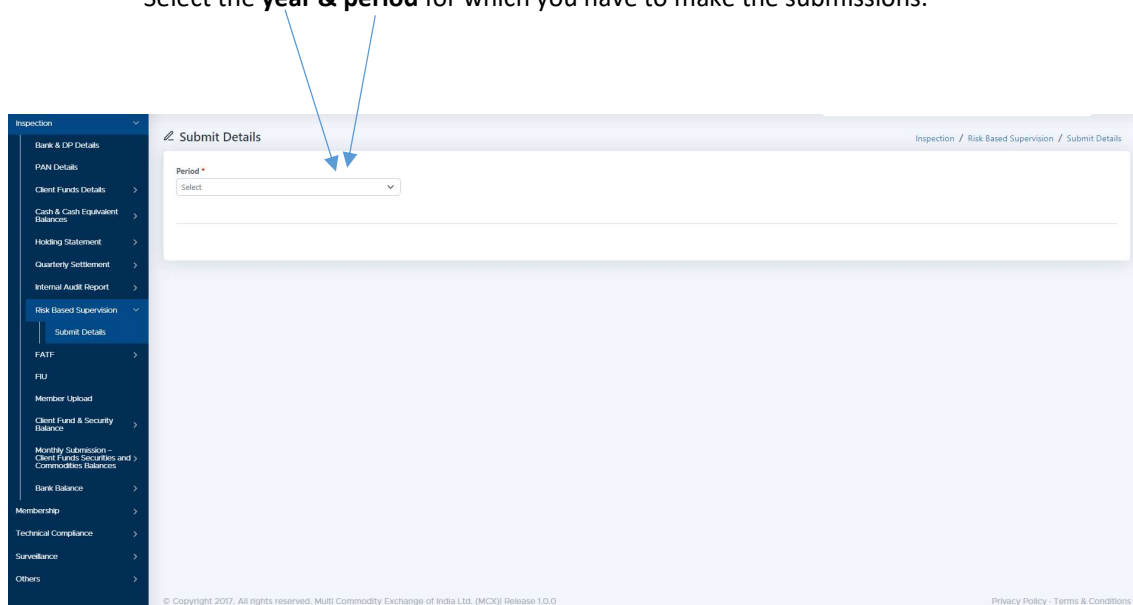
Optimize your experience: Please clear your browser cache for the latest updates and smooth functionality. Please press **Ctrl + Shift + R** to perform a hard reload. Thank you.

2) After login go to Inspection tab → Risk Based Supervision → Submit Details



3) After Clicking the Submit details tab, below mentioned Screen will appear.

Select the **year & period** for which you have to make the submissions.



- 4) After selection of period, user will be directed to the below displayed web page where user has to fill all the details.

Submit Details

Period *

Commodity Loans given to group companies/ associates/ subsidiaries/ key persons during the period— details, secured/ unsecured and amount involved Disciplinary Action Action against Broker

Details of Branches

Total number of Branches as on last day of the Assessment period

No. of Branches with Terminals

No. of Branches without Terminals and having client servicing facility

Number of Branches Inspected by Member during the Assessment Period

No. of Branches with Terminals

No. of Branches without Terminals and having client servicing facility

Details of Branches / APs offices with order placement facility

Number of branches having order placement facility

- 5) While filling details in sub tabs as circled in the below displayed image (Figure 1) a new page will open as shown in Figure 2.

Period *

Commodity Loans given to group companies/ associates/ subsidiaries/ key persons during the period— details, secured/ unsecured and amount involved Disciplinary Action Action against Broker

Show 10 entries Search:

| Sr.No. | Type Of Loan | Type of the entity/ Person | Name of the entity/person to whom loan given | Amount (Rs.) | Whether active in financial market |
|--------|--------------|----------------------------|--|---------------|------------------------------------|
|--------|--------------|----------------------------|--|---------------|------------------------------------|

Showing 0 to 0 of 0 entries Previous Next

Generate PDF Download Utility Generate Excel Choose File No file chosen Submit

Figure 1

6) After filling data in the image displayed below, click the (+) tab,

- to save the data entered, and
- to make any new entry i.e. suppose you have to make two or more entries of data then you have to click (+) tab after every entry.

You will always see an empty row getting added after clicking the (+) tab TO SAVE THE DATA ENTERED (ONLY BY CLICKING + TAB the data filled till the earlier row will be saved by the system).

If you want to save and submit data request you to kindly click on the (+) tab,

Inspection

Bank & DP Details

PAN Details

Client Funds Details

Cash & Cash Equivalent Balances

Holding Statement

Quarterly Settlement

Internal Audit Report

Risk Based Supervision

Submit Details

FATF

FIU

Member Upload

Client Fund & Security Balance

Monthly Submission -

Period *

Commodity Loans given to group companies/ associates/ subsidiaries/ key persons during the period- details, secured/ unsecured and amount involved

Disciplinary Action Action against Broker

Show 10 entries Search:

| Sr.No. | Type Of Loan | Type of the entity/ Person | Name of the entity/person to whom loan given | Amount (Rs.) | Whether active in financial market |
|----------------------------|--------------|----------------------------|--|---------------|------------------------------------|
| No data available in table | | | | | |
| Select | Select | | | Select | |

Showing 0 to 0 of 0 entries

Previous Next

Generate PDF Download Utility Generate Excel Choose File No file chosen Submit

Figure 2

7) On clicking the **add (+) tab** and after entering the data in respective fields, a notification dialog box will pop up confirming that details inserted successfully.

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Inspection

Membership

Technical Compliance

Surveillance

Others

Inspect Pro

Help File

LRT Request Handle

Logout

Details inserted successfully.

OK

Period *

Commodity Loans given to group companies/ associates/ subsidiaries/ key persons during the period- details, secured/ unsecured and amount involved

Disciplinary Action Action against Broker

A:Details of Branches

Total number of Branches as on last day of the Assessment period

No. of Branches with Terminals

No. of Branches without Terminals and having client servicing facility

Number of Branches inspected by Member during the Assessment Period

No. of Branches with Terminals

No. of Branches without Terminals and having client servicing facility

B:Details of Branches / APs offices with order placement facility

Number of branches having order placement facility

Number of APs offices having order placement facility

D:No. Internet trading clients

8) Similarly, for other Sub tabs fill the data according to the below displayed images,

- Disciplinary Action

The screenshot shows the 'Submit Details' page for 'Disciplinary Action'. The left sidebar contains a navigation menu with 'Submit Details' selected under 'Risk Based Supervision'. The main content area has a 'Period' dropdown menu. Below it, there are tabs for 'Commodity' (selected), 'Disciplinary Action', and 'Action against Broker'. The 'Commodity' tab shows a text field with the value 'Loans given to group companies/ associates/ subsidiaries/ key persons during the period- details, secured/ unsecured and amount involved'. The 'Disciplinary Action' tab is active, displaying a table titled 'Details of disciplinary actions against key persons'. The table has 8 columns: Sr.No., Name of the Key Person, Designation of the Key person, Other Designation(if Applicable), PAN No. of the Key Person, Type of Action, No. of Instances, and Penalty levied/consent amount, where applicable(in Rs.). The table is currently empty with the message 'No data available in table'. At the bottom, there are buttons for 'Generate PDF', 'Download Utility', 'Generate Excel', 'Choose File', and 'Submit'.

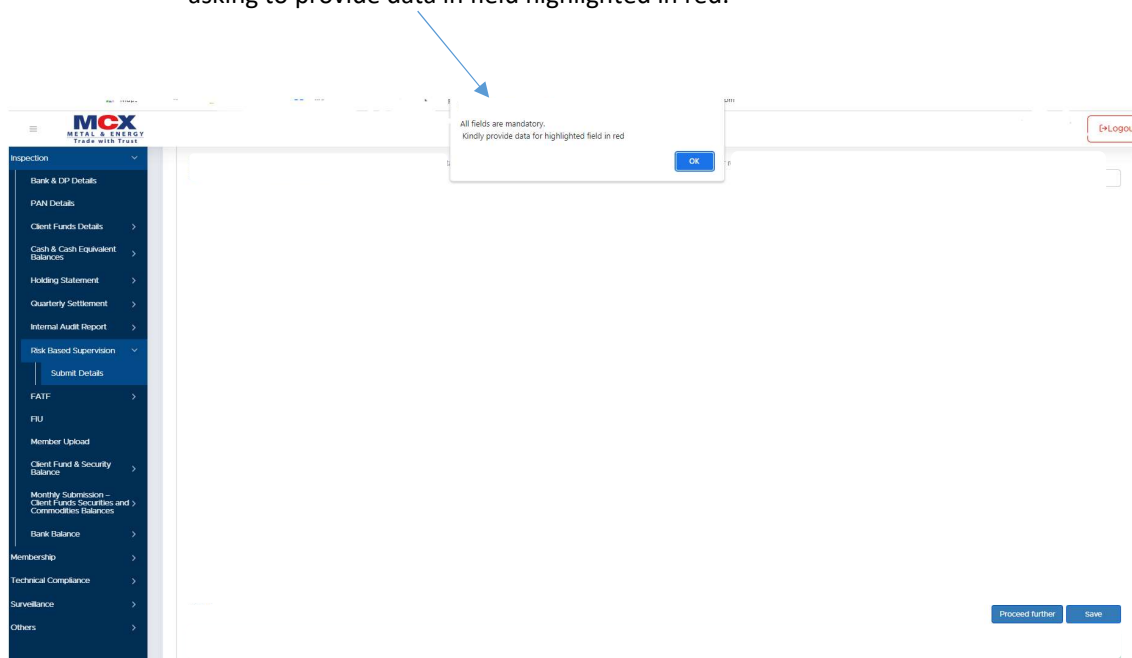
- Action Against Broker

The screenshot shows the 'Submit Details' page for 'Action Against Broker'. The left sidebar is the same as in the previous image. The main content area has the 'Action against Broker' tab selected. The 'Commodity' tab shows the same text field as before. The 'Action against Broker' tab is active, displaying a table titled 'Details of disciplinary actions against key persons'. The table has 6 columns: Sr.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 (in Rs.), and Whether involving Client Assets. The table is currently empty with the message 'No data available in table'. At the bottom, there are buttons for 'Generate PDF', 'Download Utility', 'Generate Excel', 'Choose File', and 'Submit'.

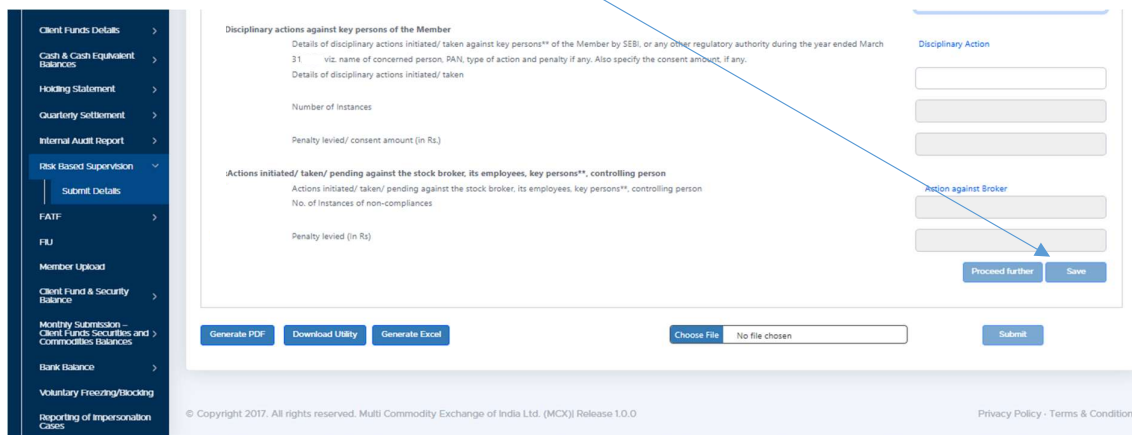
9) No mandatory field shall be left blank

Please note:

- User will not be able to **Proceed Further** without filling up data in all the mandatory fields.
- If any mandatory field is left blank and user clicks on **Proceed Further** button, the blank field will appear in red colour and simultaneously a notification will popup asking to provide data in field highlighted in red.



10) At any point of time during filling the data if you wish to leave the page, you have the option to **save the data** so that next time when you resume to fill remaining data you can continue from where you left earlier. **(Kindly note: No modification shall be allowed to be done once the data is saved in the respective field)**



11) Click on the button “Proceed further”, after the data is completely filled and saved

- in the main sheet, and
- all the Three sub tabs i.e. **Loans to group Companies, Disciplinary Action and Action against Broker (If applicable)**

Disciplinary actions against key persons of the Member

Details of disciplinary actions initiated/ taken against key persons** of the Member by SEBI, or any other regulatory authority during the year ended March 31,2027 viz. name of concerned person, PAN, type of action and penalty if any. Also specify the consent amount, if any.

Details of disciplinary actions initiated/ taken

Number of Instances

Penalty levied/ consent amount (in Rs.)

Actions initiated/ taken/ pending against the stock broker, its employees, key persons**, controlling person

Actions initiated/ taken/ pending against the stock broker, its employees, key persons**, controlling person

No. of instances of non-compliances

Penalty levied (in Rs.)

Disciplinary Action

Action against Broker

Proceed further Save

Generate PDF Download Utility Generate Excel Choose File No file chosen Submit

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12) On clicking the button Proceed further, a Confirmation Dialog box will pop up which will ask to ensure the following things before finally proceeding further;

1. Once you click on “**Proceed Further**” the form will get locked and becomes non editable.
2. Check that you have submitted/ filled the information correctly in each cell.
3. Check that information, if any, in the sheets given for **Loan from group Companies/ Action against broker/ Disciplinary actions** is updated.
4. After “**Generating PDF**”, you have to **digitally sign it and upload it for submitting it to the exchange.**

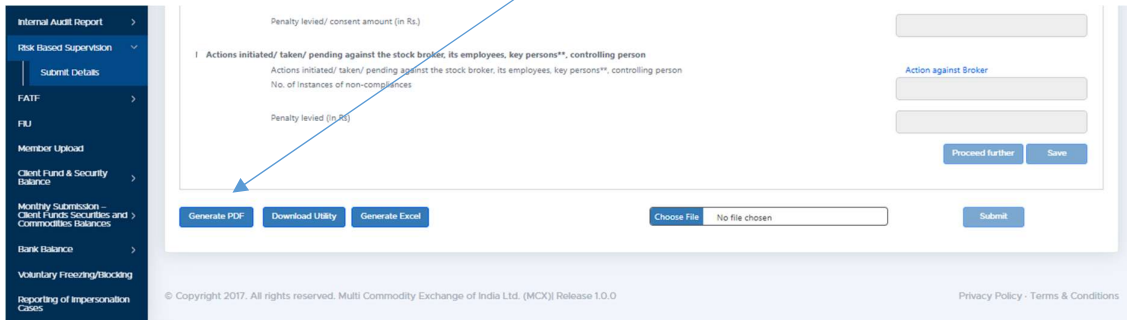
Confirmation

Ensure that below points are taken care:

- 1) Once you click on “Proceed further” the form will get locked.
- 2) Check that you have submitted the information correctly in each cell.
- 3) Check that information if any in the sheets given for “**Loan from Group Companies / Actions against broker / Disciplinary actions**” is updated.
- 4) After “**Generating pdf**”, you can digitally sign it and upload it for submitting it to Exchange.

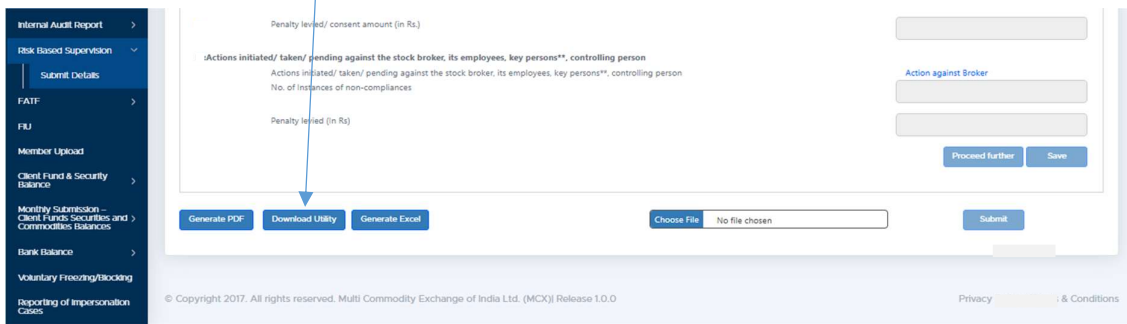
Cancel Proceed further

13) After **“Proceed Further”** is clicked, user has to **Generate PDF**, download it and save it for digital signature and upload.



14) After generating PDF i.e. downloading the PDF file, follow below mentioned steps:

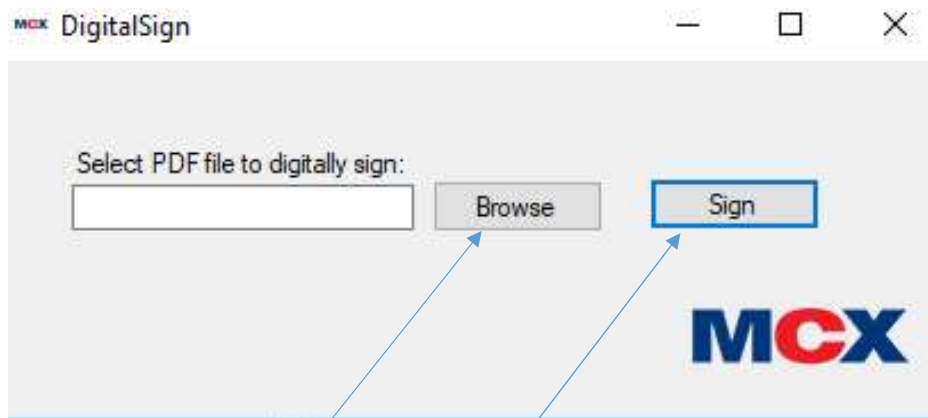
- a) Plug in your Digital Signature Dongle in the system
- b) Tap the **“Download Utility”** tab (button) to download the utility file for attaching the Digital signature to the PDF file.
- c) After downloading, extract the **“Digital Sign”** file and
- d) ‘Run’ (Double click) the **“Digital Sign”** file (File type would be **“Application”**) as shown in the below image.



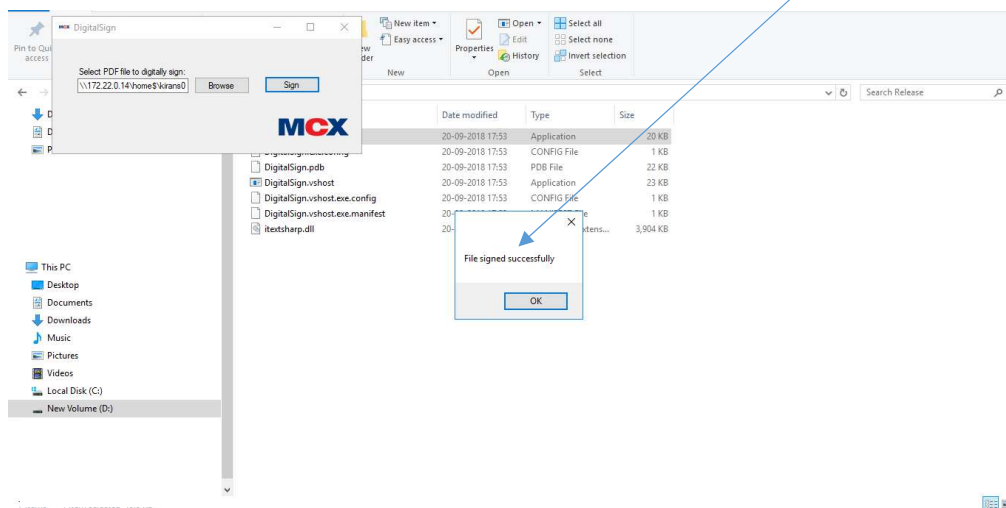
| Name | Type | Compressed size | Password ... | Size | Ratio | Date modified |
|---------------------------------|-----------------------|-----------------|--------------|----------|-------|------------------|
| DigitalSign | Application | 5 KB | No | 11 KB | 56% | 14-07-2017 10:10 |
| itextsharp | XML Document | 423 KB | No | 3,068 KB | 87% | 22-07-2014 12:32 |
| itextsharp.dll | Application extension | 1,335 KB | No | 3,904 KB | 66% | 22-07-2014 12:32 |
| WindowsFormsApplication2.exe... | CONHG File | 1 KB | No | 1 KB | 27% | 13-04-2017 11:12 |

- **Kindly note that Digital Signature utility works in Dot Net frame work 4.0.**
- **User need to install Dot Net framework 4.0 to run the same**
- **Digital Signature to be used for signing the PDF document should be class 2 signature.**

15) Once member runs the application as explained above, pop up message box would appear on the screen as shown below.

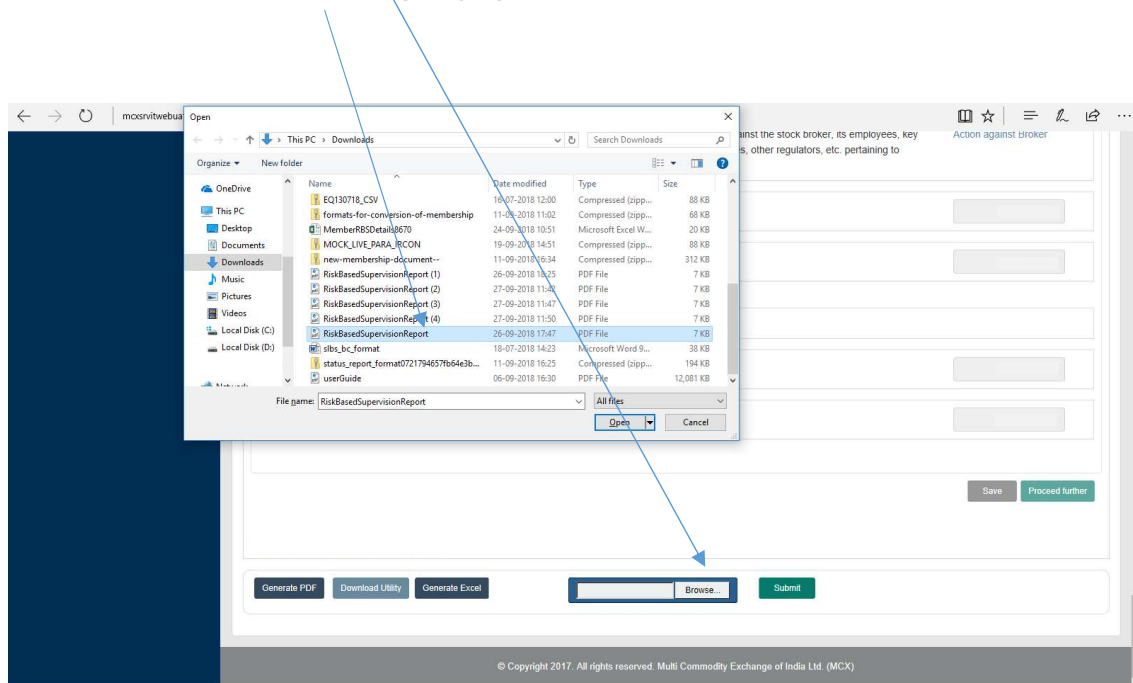


- Now click browse and search the location where the PDF document is generated
- Select File and click the **Sign button** as shown in screen above.
- System will ask for digital signature password.
- Once the password is entered, message is displayed, stating **"File Signed Successfully"**



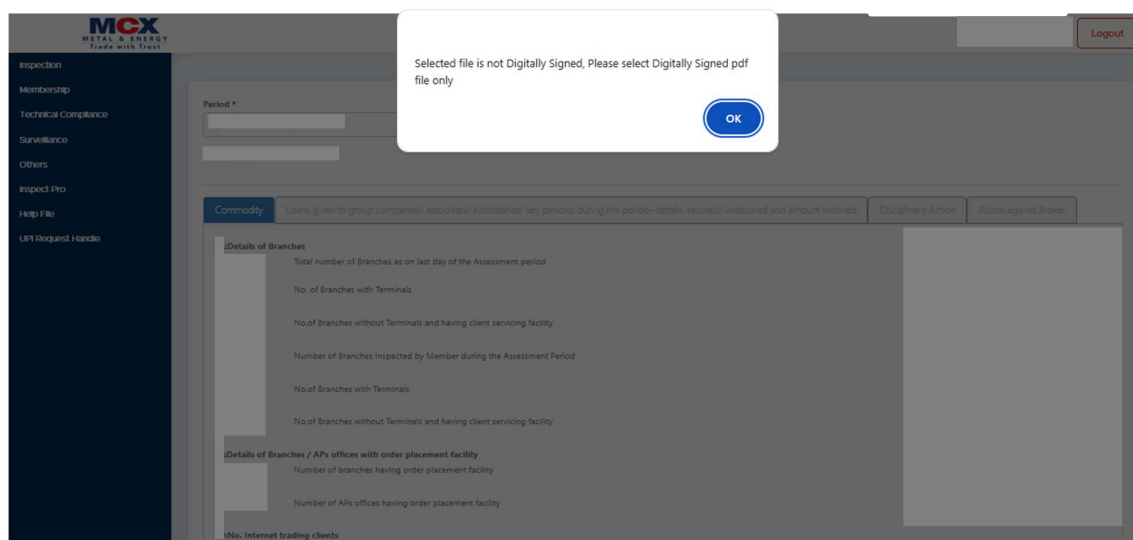
16) After the file is successfully digitally signed, following steps are to be followed

- Click on **browse** to select the digitally signed PDF
- **Select the digitally signed PDF**



17) If the PDF selected is not digitally signed, a dialog box will pop up stating that selected file is not digitally signed.

Therefore, to submit the form user has to select digitally signed PDF only.



18) After Selecting the Digitally Signed PDF, User shall click on **Submit button**.

Once **Submit button** is clicked, the selected/ uploaded file will be **Submitted to the exchange**.

The screenshot displays the 'Submit Details' form in the MCX portal. The form includes the following fields and buttons:

- No. of instances of non-compliances:** Input field with value 0.
- Penalty levied (in Rs):** Input field with value 0.
- Buttons:** 'Proceed further' and 'Save'.
- Message:** A green box with a downward arrow icon and the text 'Kindly Generate PDF and digitally sign and upload'.
- Footer Buttons:** 'Generate PDF', 'Download Utility', 'Generate Excel', 'Choose File' (with 'No file chosen' text), and 'Submit'.

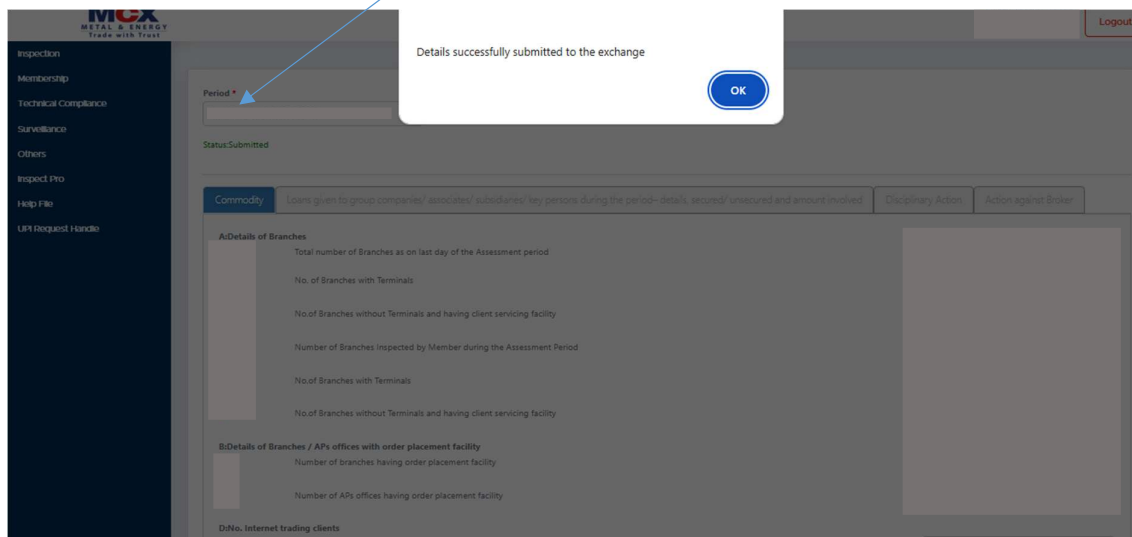
At the bottom of the page, there is a copyright notice: '© Copyright 2017. All rights reserved. Multi Commodity Exchange of India Ltd. (MCX) Release 1.0.0' and a link for 'Privacy Policy - Terms & Conditions'.

19) On successful submission of the file to the exchange, a confirmation dialog box will pop up stating **“Details successfully submitted to the exchange”**.

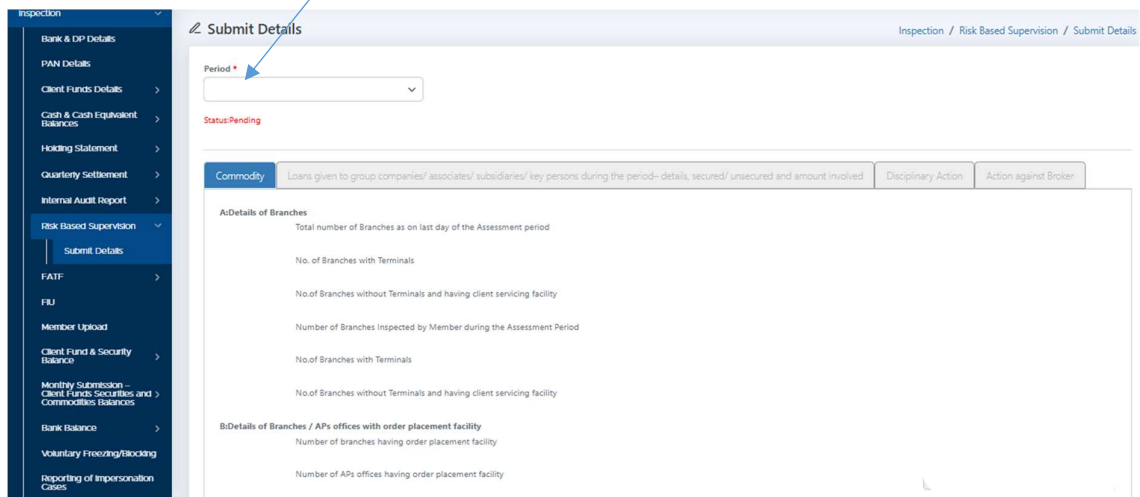
The screenshot shows a confirmation dialog box with the text 'Details successfully submitted to the exchange' and an 'OK' button. The background shows the MCX portal interface with a sidebar menu containing 'Inspection', 'Membership', 'Technical Compliance', 'Surveillance', and 'Others'. The main content area is titled 'Period *' and contains a table with the following structure:

| Commodity | Loans given to group companies/ associates/ subsidiaries/ key persons during the period- details, secured/ unsecured and amount involved | Disciplinary Action |
|-----------------------|--|---------------------|
| Action against Broker | | |

20) After submitting the details, User can see the notification display on the main page highlighting the **Status as Submitted**.



21) If the digitally signed file is not uploaded for submission to the exchange after clicking on **Proceed further**, the **Status** will continue to be highlighted as **Pending** until the time the file is digitally signed and uploaded for submission to the exchange.



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 is prescribed in the exchange's circular MCX/COMP/213/2026 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 |
|--|--|--|
| 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 & 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 & 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 & 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> |

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