



NOTICE

Notice No.	20261001-34
Notice Date	01 Oct 2026
Category	Compliance
Segment	General
Department	DOSS
Subject	Risk Based Supervision (RBS) - Submission of information for the period April 01, 2026 – September 30, 2026 (Half Year ended Sept - 2026)
Attachments	Annexure A ; Annexure B

Trading Members are requested to note that the Risk Based Supervision (RBS) data for the period April 01, 2026 – September 30, 2026 is required to be submitted by November 30, 2026 (“Due Date”).

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, 2026 – September 30, 2026).

The details to be provided by the Trading Members to the Exchange are attached as **Annexure A**.

The User manual to submit the details is attached as **Annexure B**.

Kindly note that the data collated from the Members towards RBS is shared with SEBI. In case of non-submission/delayed submission by a member, disciplinary action as prescribed in the Exchange’s notice no. 20260417-45 dated April 17, 2026, will be 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.

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:

Contact Nos	Email Id
022-69158540	Bse.inspection@bseindia.com
022-45720640	
022-45720440	

For and on behalf of BSE Ltd.

Kaustubh Mundada
Assistant Vice President
Member Oversight

Kalpesh Ganger
Manager
Member Oversight