

National Stock Exchange of India Limited

Circular

DEPARTMENT: INSPECTION	
Download Ref No: NSE/INSP/51970	Date: April 08, 2022
Circular Ref. No: 28/2022	

To All Trading Members,

Sub: Risk Based Supervision (RBS) - Submission of information for the period April 01, 2021 – March 31, 2022 (FY 2021-22)

Members are requested to submit the information / data towards the Risk Based Assessment for the period April 01, 2021 – March 31, 2022 to the Exchange. The particulars of such information / data sought in this regard are enclosed as Annexure-A. The same has to be submitted to the Exchange electronically through the Inspection module in the Member portal latest by May 31, 2022.

The link for submission of the information/data will be activated from April 13, 2022. The procedure for submitting the same through the Inspection module in the Member portal is given in Annexure-B of this circular.

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/cleared even a single trade during the aforementioned period i.e. April 01, 2021 – March 31, 2022). 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 as prescribed in Annexure C will be initiated.

All Members are advised to take note of the above and comply.

**For and on behalf of
National Stock Exchange of India Limited**

**Swati Sopare
Senior Manager – Inspection**

In case of any clarifications, Members may contact our below offices:

Regional Office	E MAIL ID	CONTACT NO.
Ahmedabad (ARO)	inspectionahm@nse.co.in	079- 49008632
Chennai (CRO)	inspection_cro@nse.co.in	044- 66309915 / 17
Delhi (DRO)	delhi_inspection@nse.co.in	011- 23459127 / 38 / 46
Kolkata (KRO)	inspection_kolkata@nse.co.in	033- 40400411 / 405
Mumbai (WRO)	compliance_wro@nse.co.in	Board Line: 022-25045000 / 022-61928200 Direct Line: 022-25045138 / 022-25045144 Extn: 28144 / 28138
Central Help Desk		compliance_assistance@nse.co.in