

NOTICES

Notice No.	20251007-1	Notice Date	07 Oct 2025
Category	Compliance	Segment	General
Subject	Risk Based Supervision (RBS) - Submission of information for the period April 01, 2025 - September 30, 2025.		
Attachments	Annexure 3_FAQ.pdf ; Annexure 1.xls ; Annexure 2_User Manual.pdf		

Content

Trading members are requested to note that the Risk Based Supervision data for the FY 2025 -2026 (for the period April 01, 2025 – September 30, 2025) is required to be submitted by November 30, 2025 (“Due Date”).

The link for submission of the information/data will be activated from **October 15, 2025**. 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 trading members of the Exchange who have executed even a single trade during the aforementioned period.

The details to be provided by the trading members to the Exchange are attached as **Annexure - 1**.

User manual and FAQs to submit the details are also attached as **Annexure – 2 and 3** respectively.

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 will be initiated as prescribed below:

Particulars	Action	Highest Risk Rating
Submission within the due date (November 30, 2025)	No Action	NA
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	Trading 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 trading 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 TM has not submitted the data. 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	Highest risk-rating will be assigned to the parameters for which data is not submitted by the trading member

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

In case of any clarification required, you may reach at **022-69158540/ 45720640/ 45720440** or you may send an email to bse.rbs@bseindia.com .

For and on behalf of BSE Ltd.

Kaustubh Mundada
Assistant Vice President
Member Oversight

Yash Dedhia
Manager
Member Oversight