## **Annexure A**

Table – A – Non-submission of VAPT report and/or compliance report within below specified dates by Members (other than QSB's):

Details of Violation	Penalty/disciplinary actions	Penalty/disciplinary action
		in case of repeated violation
Non-submission of VAPT	1.Charges Rs. 1,500/- per day	In case of a repeat instance
report <b>on or before</b>	till first 7 calendar days or	by the Member, levy of
<b>December 31</b> and/or	submission of report,	applicable monetary penalty
Compliance report on or	whichever is earlier	along with an escalation of
before March 31.	2.Charges of Rs. 2,500/- per	50%.
	day from 8th calendar day to	In case of non-submission of
	21st calendar day or	report till 21st calendar days,
	submission of report,	new client registration shall
	whichever is earlier	be prohibited and notice of 7
	3.In case of non-submission	calendar days for
	of report till 21st calendar	disablement of trading
	days, new client registration	facility till submission of
	shall be prohibited and	report, shall be issued. The
	notice of 7 calendar days for	disablement notice issued to
	disablement of trading	the member will be shared
	facility till submission of	with all the Exchanges for
	report, shall be issued.	information. In case of non-
	4.The disablement notice	submission of report by 28th
	issued to the member will be	calendar day. Member shall
	shared with all the	be disabled in all segments
	Exchanges for information.	till submission of report.
	5.In case of non-submission	
	of report by 28th calendar	
	day, Member shall be	
	disabled in all segments till	
	submission of report.	

## **Annexure A**

Table – B – Non-submission of VAPT report and/or compliance report within below specified dates by QSB's Members:

Details of Violation	Penalty/disciplinary actions	Penalty/disciplinary action
		in case of repeated violation
Non-submission of VAPT	1.Charges Rs. 3,000/- per day	In case of a repeat instance
report <b>on or before June</b>	till first 7 calendar days or	by the Member, levy of
<b>30/December 31</b> and/or	submission of report,	applicable monetary penalty
Compliance report <b>on or</b>	whichever is earlier	along with an escalation of
before September 30/	2.Charges of Rs. 5,000/- per	50%.
March 31.	day from 8th calendar day to	In case of non-submission of
	21st calendar day or	report till 21st calendar days,
	submission of report,	new client registration shall
	whichever is earlier	be prohibited and notice of 7
	3.In case of non-submission	calendar days for
	of report till 21st calendar	disablement of trading
	days, new client registration	facility till submission of
	shall be prohibited and	report, shall be issued. The
	notice of 7 calendar days for	disablement notice issued to
	disablement of trading	the member will be shared
	facility till submission of	with all the Exchanges for
	report, shall be issued.	information.
	4.The disablement notice	In case of non-submission of
	issued to the member will be	report by 28th calendar day.
	shared with all the	Member shall be disabled in
	Exchanges for information.	all segments till submission
	5.In case of non-submission	of report.
	of report by 28th calendar	
	day, Member shall be	
	disabled in all segments till	
	submission of report.	

## Annexure A

Table C - Penalty/Disciplinary actions applicable in case of non-closure of per open vulnerabilities as reported in VAPT report within period of 3 months as specified hereunder:-

	For All Members (other than QSBs)	For QSB Members
Categories of Risks	Non closure of open vulnerabilities by March 31	Non closure of open vulnerabilities by March 31 (for HY September 30) and by September 30 (for HY March 31)
High/critical Risk	Rs.50,000/-	Rs.1,00,000/-
Medium Risk	Rs.25,000/-	Rs.50,000/-
Low Risk	Rs.10,000/-	Rs.20,000/-

Apart from the monetary penalty mentioned above, if High/Critical/Medium vulnerability is not closed by member within 21 days from the due date of submission of compliance report, new client registration shall be prohibited and notice of 7 days for disablement of trading facility shall be issued. If the vulnerability is not closed during this notice period, then member shall be disabled in all segments till closure of the vulnerability. The disablement notice issued to the member will be shared with all the Exchanges for information.