

NOTICES

Notice No.	20231005-54	Notice Date	05 Oct 2023
Category	Compliance	Segment	General
Subject	Revised Penalties/disciplinary action(s)/charges for System Audit Report & Cyber Security and Cyber Resilience Audit Report related submissions		
Attachments	Annexure A.pdf		

Content

This is with reference to and partial modification of Exchange Notice no. 20230704-27 July 04, 2023 regarding Penalties/disciplinary action(s)/charges for Delayed/Non submission of preliminary audit report, Action Taken Report (ATR), Follow on Audit Report, non-compliance and non-closure of observations reported in System Audit Report & Cyber Security and Cyber Resilience Audit Report of Trading Members.

In this regard, members are requested to take note of the revised framework of **Penalties/disciplinary action(s)/charges related to** Delayed/Non submission of preliminary audit report, Action Taken Report (ATR), Follow on Audit Report and non-closure of observations reported prescribed as **Annexure A**.

Further, penalties/disciplinary action(s)/charges for each Non-Compliance reported in preliminary System/Cyber audit report as provided in **Annexure A** of Exchange Notice no. 20230704-27 dated July 04, 2023 stands withdrawn.

The provisions of this circular shall be applicable from the System Audit and Cyber Security and Cyber Resilience Audit Report submissions for half year ended September 2023 and onwards.

All members are advised to take note of the above and put in place adequate systems and procedures to ensure strict adherence to the compliance requirements.

In case of any clarifications, members may contact us on details given as under:

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For and on behalf of BSE Ltd.

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