

## **Annexure - 5**

**Technical Glitches to prevent business disruptions - Failure to report the incident to the Exchange (non-submission of preliminary report and/or RCA), failure to move to DR and failure to take remedial measures.**

1. Delay in Reporting Member will be liable to pay a monetary fine of Rs. 20,000/- for each working day after the due date specified vide Exchange circular NSE/COMP/50610 dated December 15, 2021, for each of the reporting as mentioned in section V of the said circular.
2. Repeat Violation In case of repeated instances of non-compliance on 2 or more occasions, appropriate disciplinary action shall be initiated, after following due process and providing opportunity of a hearing.
3. Failure to move to DR site within the timeline timely address specified by the Exchanges/SEBI In the event that Members fail to move to DR site within the time specified, appropriate disciplinary action shall be initiated by the Exchange, after following due process and providing opportunity of hearing.
4. Failure to timely address technical glitch in the event that Members do not address the technical glitch within the timeline specified by the Exchanges, appropriate disciplinary action shall be initiated by the Exchange, after following due process and providing opportunity of hearing.