

Circular No.: NSDL/POLICY/2020/0081

June 11, 2020

Subject: Implementation of Section 51A of UAPA, 1967 - Updates to UNSC's 1267/ 1989 ISIL (Da'esh) & Al-Qaida Sanctions List - Addition of one individual.

All Participants are hereby informed that SEBI vide its press releases dated June 10, 2020 (Copy enclosed) has informed about the updates on UNSC 1267/1989 ISIL (Da'esh) & Al-Qaida Sanctions List for necessary compliance as required under provisions of SEBI Master Circular Guidelines on Anti-Money Laundering (AML) Standards and Combating the Financing of Terrorism (CFT) / Obligations of Securities Market Intermediaries under the Prevention of Money Laundering Act, 2002 and Rules framed there under dated October 15, 2019 which inter-alia states that registered intermediaries should ensure that accounts are not opened in the name of anyone whose name appears in updated list of individuals and entities which are subject to various sanction measures such as freezing of assets/accounts, denial of financial services etc., as approved by the Security Council Committee established pursuant to various United Nations' Security Council Resolutions (UNSCRs).

In this regard, UNSC has released the following press release and sanctions list:

- a) Note SC/14195 regarding addition of a Iraqi individual [QDi.426 Name: 1: Amir 2: Muhammad Sa'id 3: Abdal-Rahman 4: al-Mawla] in UNSC's 1267/ 1989 ISIL (Da'esh) & Al-Qaida Sanctions List. The UNSC press release concerning the amendment to the list are available at URL: <https://www.un.org/press/en/2020/sc14195.doc.htm>
- b) The latest versions of the Sanctions lists are accessible on the UN Security Council's website at the following URL:
- i. List issued by the UNSC Committee established pursuant to resolution 1989 (2011) of individuals and entities linked to ISIL (Da'esh) and AlQaida: www.un.org/securitycouncil/sanctions/1267/aq_sanctions_list
 - ii. List issued by the UNSC Committee established pursuant to resolution 1988 (2011) of individuals and entities linked to Taliban <https://www.un.org/securitycouncil/sanctions/1988/materials>

Participants are advised as under:

1. Follow the procedure as mentioned in the Central Government Order dated March 14, 2019 detailing the implementation of Section 51A of Unlawful Activities (Prevention) Act, 1967.
2. Participants should scan all existing accounts to ensure that no account is held by or linked to any of the entities or individuals included in the list and also ascertain the same for future accounts as well (As per Clause 2.8.1 of SEBI "Guidelines on Anti-Money Laundering (AML) Standards and Combating the Financing of Terrorism (CFT) / Obligations of Securities Market Intermediaries under the Prevention of Money Laundering Act, 2002 and Rules framed there under" issued on Oct 15, 2019
3. Forward any request for de-listing received, electronically to Joint Secretary (CTCR) (e-mail id: jsctcr-mha@gov.in) and a copy of the same to MHA, Joint Secretary (UNP) (e-mail id: jsunp@mea.gov.in).



Further, as per the instructions from Ministry of Home Affairs (MHA), individuals, groups, undertakings or entities seeking to be removed from the Security Council's ISIL (Da'esh) and Al-Qaida Sanctions List can submit their request for de-listing to an independent and impartial Ombudsperson who has been appointed by the United Nations Secretary-General.

More details are available at the following URL: <https://www.un.org/securitycouncil/ombudsperson/application>

For and on behalf of
National Securities Depository Limited

Chirag Shah
Senior Manager

Enclosed: One

FORTHCOMING COMPLIANCE			
Particulars	Deadline	Manner of sending	Reference
Investor Grievance Report (Monthly)	By 10 th of the following month.	Through e-PASS	Circular No. NSDL/POLICY/2015/0096 dated October 29, 2015
Internal/ Concurrent Audit Report (October 2019 – March 2020)	June 30 th 2020	Through e-PASS	1. Circular No. NSDL/POLICY/2020/0045 dated April 7, 2020 2. Circular No. NSDL/ POLICY/2020/0056 dated April 29, 2020 3. Circular No.: NSDL/ POLICY/2020/0062 dated May 7, 2020.
Compliance Certificate (January - June)	July 31st every year	Through e-PASS	1. Circular No. NSDL/POLICY/2010/0017 dated February 22, 2010 2. Circular No. NSDL/POLICY/2018/0028 dated May 21, 2018. 3. Circular No. NSDL/POLICY/2019/0088 dated December 17, 2019.