

Circular No.: NSDL/POLICY/2020/0119

August 28, 2020

Subject: Implementation of Section 51A of UAPA, 1967: Updates to UNSC's Democratic Republic of Congo List.

All Participants are hereby informed that SEBI vide its press release dated August 25, 2020 (Copy enclosed) has informed about the updates on Updates to UNSC's Democratic Republic of Congo 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/14280 regarding amendments to entries in UNSC's 1533 DRC Sanctions List.

The UNSC press release concerning the amendment to the list are available at URL: <https://www.un.org/press/en/2020/sc14280.doc.htm>

b) The latest versions of the Sanctions lists are accessible on the UN Security Council's website at the following URL:

i) Updates to the names of individuals and entities on the 1533 Committee's website pursuant to a decision by the Committee may be found in the "Press Releases" section on the Committee's website. <https://www.un.org/securitycouncil/sanctions/1533/press-releases>

ii) An updated List is accessible on the Committee's website at the following URL: <https://www.un.org/securitycouncil/sanctions/1533/materials>

iii) An updated and consolidated list of all the Sanction Committees are available at the following URL: <https://www.un.org/securitycouncil/content/un-sc-consolidated-list>

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 Democratic Republic of Congo 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) | September 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. 4. Circular No. NSDL/POLICY/2020/0083 dated June 16, 2020 5. Circular No. NSDL/POLICY/2020/0086 dated June 30, 2020 6. Circular No. NSDL/POLICY/2020/0105 dated July 31, 2020 7. Circular No. NSDL/POLICY/2020/0106 dated July 31, 2020 |
| Networth Certificate and Audited Financial Statements. | September 30 th every year. | By hard copy to Inspection Department | Circular No. NSDL/PI/98/414 dated September 1, 1998 |
| System Audit Report (Annual) | September 30 th , 2020 | Through e-PASS | 1. Circular No. NSDL/ POLICY/2020/0056 dated April 29, 2020 2. Circular No. NSDL/POLICY/2020/0071 dated May 19, 2020 3. Circular No. NSDL/POLICY/2020/0106 dated July 31, 2020 |