

Circular No.: NSDL/POLICY/2020/0127

September 24, 2020

Subject: Implementation of Section 51A of UAPA, 1967: Updates to UNSC's 1267/ 1989 ISIL (Da'esh) & Al-Qaida Sanctions List – Amendment to 11 entries (10 Individuals and one entry in Entities and Groups).

All Participants are hereby informed that SEBI vide its press release dated September 21, 2020 (Copy enclosed) has informed about the Updates to **UNSC's 1267/ 1989 ISIL (Da'esh) & Al-Qaida Sanctions List – Amendment to 11 entries (10 Individuals and one entry in Entities and Groups)** 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/14299 dated 10 September 2020 amending available information relating to 11 entries (10 individuals and one entity/group) in UNSC's 1267/ 1989 ISIL (Da'esh) & Al-Qaida Sanctions List viz.

A. Individuals

- 1) QDi.096 Name: 1: MOUSSA 2: BEN OMAR 3: BEN ALI 4: ESSAADI
- 2) QDi.099 Name: 1: KHALIL 2: BEN AHMED 3: BEN MOHAMED 4: JARRAYA
- 3) QDi.138 Name: 1: SAID 2: BEN ABDELHAKIM 3: BEN OMAR 4: ALCHERIF
- 4) QDi.139 Name: 1: IMED 2: BEN MEKKI 3: ZARKAOUI 4: na
- 5) QDi.140 Name: 1: KAMAL 2: BEN MAOELDI 3: BEN HASSAN 4: ALHAMRAOUI
- 6) QDi.143 Name: 1: HAMADI 2: BEN ABDUL AZIZ 3: BEN ALI 4: BOUYEHIA
- 7) QDi.149 Name: 1: NOUREDDINE 2: BEN ALI 3: BEN BELKASSEM 4: AL-DRISSI
- 8) QDi.330 Name: 1: AZZAM 2: ABDULLAH 3: ZUREIK 4: AL-MAULID ALSUBHI
- 9) QDi.332 Name: 1: IBRAHIM 2: SULEIMAN 3: HAMAD 4: AL-HABLAIN
- 10) QDi.370 Name: 1: TARAD 2: MOHAMMAD 3: ALJABRA ALNORI ALFARES 4: na ALJARBA

B. Entities and other groups

QDe.015 Name: Wafa Humanitarian Organization The UNSC press release concerning the amendment to the list are available at URL: <https://www.un.org/press/en/2020/sc14256.doc.htm>

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

List of individuals and entities issued by the UNSC ISIL (Da'esh) and Al-Qaida Sanctions Committee: https://www.un.org/securitycouncil/sanctions/1267/aq_sanctions_list

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 delisting 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