

Circular No.: NSDL/POLICY/2021/0021

March 02, 2021

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

All Participants are hereby informed that SEBI vide its notification dated February 25, 2021 (copy enclosed) has informed about the updates to the list of Individuals/Entities designated/added/amended by United Nations Security Council under UNSC's 1267/ 1989 ISIL (Da'esh) & Al-Qaida sanctions list. SEBI has advised 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:

- a) 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) and
- b) Registered intermediaries should continuously 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.

In this regard, United Nations Security Council (UNSC) Committee established pursuant to Resolutions 1267 (1999), 1989 (2011) and 2253 (2015) concerning ISIL (Da'esh), Al-Qaida, and associated individuals, groups, undertakings and entities regarding changes in the List of individuals and entities subject to the assets freeze, travel ban and arms embargo set out in paragraph 1 of UNSC resolution 2368 (2017), and adopted under Chapter VII of the Charter of the United Nations.

Note SC/14440 dated 19 February 2021 regarding deletion of two individuals [QDi.138 Name: 1: SAID 2: BEN ABDELHAKIM 3: BEN OMAR 4: AL-CHERIF and QDi.362 Name: 1: EMRAH 2: ERDOGAN 3: na 4: na] in UNSC's 1267/ 1989 ISIL (Da'esh) & Al-Qaida Sanctions List.

The UNSC press releases concerning amendments to the list are available at URL:

<https://www.un.org/securitycouncil/sanctions/1267/press-releases>

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

a) List issued by the UNSC Committee established pursuant to resolution 1989 (2011) of individuals and entities linked to ISIL (Da'esh) and Al-Qaida

www.un.org/securitycouncil/sanctions/1267/aq_sanctions_list

b) 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 that they 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 |
| Charge Structure | April 30th every year. | By email at dpfees@nsdl.co.in | 1. Circular No. NSDL/POLICY/2006/0064 dated December 26, 2006. 2. Circular No. NSDL/POLICY/2007/0003 dated January 8, 2007. |