

Circular No.: NSDL/POLICY/2021/0035

April 06, 2021

**Subject: Amendment of 8 Entries by UNSC ISIL (Da'esh) and Al-Qaida Sanctions Committee**

All Participants are hereby informed that SEBI vide its notification dated March 24, 2021 (copy enclosed) has informed about the amendment of 8 entries to the list of Individuals/ Entities by UNSC ISIL (Da'esh) and Al-Qaida Sanctions Committee. SEBI has advised necessary compliance as required under clause 2.8 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 shall 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 has issued the following notification(s):-

Note SC/14473 dated 23 March 2021 regarding amendment of 8 individuals [QDi.253 Name: 1: KHALIFA 2: MUHAMMAD 3: TURKI 4: AL-SUBAIY, QDi.326 Name: 1: HAMID 2: HAMAD 3: HAMID 4: AL-'ALI, QDi.334 Name: 1: 'ABD AL-RAHMAN 2: BIN 'UMAYR 3: AL-NU'AYMI 4: na, QDi.343 Name: 1: ASHRAF 2: MUHAMMAD 3: YUSUF 4: 'UTHMAN 'ABD AL-SALAM, QDi.344 Name: 1: IBRAHIM 2: 'ISA HAJJI 3: MUHAMMAD 4: AL-BAKR, QDi.346 Name: 1: 'ABD AL-MALIK 2: MUHAMMAD 3: YUSUF 4: 'UTHMAN 'ABD AL-SALAM, QDi.380 Name: 1: ABD ALLATIF 2: BIN ABDALLAH 3: SALIH MUHAMMAD 4: AL-KAWARI and QDi.382 Name: 1: SA'D 2: BIN SA'D 3:

MUHAMMAD SHARIYAN 4: AL-KA'BIJ 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](http://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 by them, electronically to Joint Secretary (CTCR) (e-mail id: [jsctcr-mha@gov.in](mailto:jsctcr-mha@gov.in)) and a copy of the same to MHA, Joint Secretary (UNP) (e-mail id: [jsunp@mea.gov.in](mailto: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. Updates regarding amendments made to UNSC Sanctions list as received from Ministry of External Affairs are

also available on SEBI Website under Head Media in a separate tab UNSC Sanctions Committee List. Participants are advised to visit SEBI website on a regular basis for updates in this regard.

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 <sup>th</sup> of the following month.	Through e-PASS	Circular No. NSDL/POLICY/2015/0096 dated October 29, 2015
Artificial Intelligence /Machine Learning Reporting Form (if offering or using such technologies as defined) (Quarterly)	By 15 <sup>th</sup> of the following month.	By email at <a href="mailto:Participant-Interface@nsdl.co.in">Participant-Interface@nsdl.co.in</a>	Circular No. NSDL/POLICY/2019/0016 dated March 27, 2019
Cyber Security & Cyber Resilience framework of Depository Participants (Quarterly)	By 15 <sup>th</sup> of the following month.	By email at <a href="mailto:dpinfosec@nsdl.co.in">dpinfosec@nsdl.co.in</a>	Circular No. NSDL/POLICY/2019/0076 dated November 13, 2019.
Tariff Sheet (Yearly)	April 30 <sup>th</sup> every year.	By email at <a href="mailto:dpfees@nsdl.co.in">dpfees@nsdl.co.in</a>	1. Circular No. NSDL/POLICY/2006/0064 dated December 26, 2006. 2. Circular No. NSDL/POLICY/2007/0003 dated January 8, 2007.
Risk based supervision of Participants (October - March)	April 30 <sup>th</sup> every year.	Through e-PASS	Circular No. NSDL/POLICY/2018/0050 dated September 25, 2018
Internal/ Concurrent Audit Report (October - March)	May 15 <sup>th</sup> every year	Through e-PASS	Circular No. NSDL/POLICY/2019/0063 dated September 25, 2019