

Circular No.: NSDL/POLICY/2021/0037

April 09, 2021

Subject: Implementation of Section 51A of UAPA, 1967: Updates to UNSC's 1267/ 1989 ISIL (Da'esh) & Al-Qaida Sanctions List: Amendment of 1 entry

All Participants are hereby informed that SEBI vide its email dated April 07, 2021 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 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 as forwarded by Ministry of External Affairs (MEA). Note SC/14489 dated April 6, 2021 regarding amendment of 1 individual [QDi.217 Name: 1: ABU BAKAR 2: BA'ASYIR 3: na 4: na] in UNSC's 1267/ 1989 ISIL (Da'esh) & Al-Qaida Sanctions List.

- 1) The UNSC press releases concerning amendments to the list are available at URL:
<https://www.un.org/securitycouncil/sanctions/1267/press-releases>
- 2) 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 February 02, 2021 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) and a copy of the same to MHA, Joint Secretary (UNP) (e-mail id: jsunp@mea.gov.in).
4. Inform to 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>

Further, 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.

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
Artificial Intelligence /Machine Learning Reporting Form (if offering or using such technologies as defined) (Quarterly)	By 15 th of the following month.	By email at Participant-Interface@nsdl.co.in	Circular No. NSDL/POLICY/2019/0016 dated March 27, 2019
Cyber Security & Cyber Resilience framework of Depository Participants (Quarterly)	By 15 th of the following month.	Through e-PASS	Circular No. NSDL/POLICY/2020/0069 dated May 15, 2020
Annual System Audit Report	June 30 th , 2021	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
Tariff Sheet (Yearly)	April 30 th 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.
Risk based supervision of Participants (October - March)	April 30 th every year.	Through e-PASS	Circular No. NSDL/POLICY/2018/0050 dated September 25, 2018
Internal/ Concurrent Audit Report (October - March)	May 15 th every year	Through e-PASS	Circular No. NSDL/POLICY/2019/0063 dated September 25, 2019