

Circular No.: NSDL/POLICY/2021/0038

April 09, 2021

Subject: The Financial Action Task Force (FATF) public statements - February 2021 regarding High-Risk Jurisdictions subject to a Call for Action & Jurisdictions under increased monitoring & FATF Plenary Outcomes.

Participants are hereby informed that as part of the on-going efforts to identify and work with jurisdictions with strategic AML / CFT deficiencies, FATF has released Public Statements after February 2021 Plenary.

The links to these public statements on FATF's website are as follows:

<https://www.fatf-gafi.org/publications/high-risk-and-other-monitored-jurisdictions/documents/increased-monitoring-february-2021.html>

<https://www.fatf-gafi.org/publications/high-risk-and-other-monitored-jurisdictions/documents/call-for-action-february-2021.html>

Also, it is highlighted that the Bahamas is no longer subjected to increased monitoring based on the decision made at the February 2021 Plenary. Following the review, Burkina Faso, the Cayman Islands, Morocco and Senegal have now been added to the list of Jurisdiction under increased Monitoring.

Participants are requested to take note of the above and ensure compliance. Further, Participants are requested to take note that this does not preclude regulated entities from legitimate trade and business transactions with these countries and jurisdictions.

For and on behalf of

National Securities Depository Limited

Chirag Shah

Senior Manager



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 every year	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