

Circular No.: NSDL/POLICY/2022/003

January 05, 2022

Subject - Implementation of Section 51A of UAPA, 1967: updates to UNSC 1267/1989 ISIL (Da'esh) & Al-Qaida Sanctions List: Addition of 2 entry and amendment of 62 entries

All Participants are hereby informed that SEBI vide its notifications dated **December 31, 2021** (copies enclosed) has informed about the updates to the list of 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:

1. 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
2. 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 regarding change in the list of individuals and entries subject to the assets freeze, travel ban, and arms embargo set out in paragraph 1 of Security Council resolution 2368 (2017) under Chapter VII of the Charter of the United Nations has issued the following Notification.

1. Note SC/14755 dated 30 December 2021, regarding addition of 1 individual A) QDi.432 Name: 1: ASHRAF 2: AL-QIZANI 3: na 4: na and 1 entity and other group (B) QDe.167 Name: JUND AL-KHILAFAH IN TUNISIA (JAK-T) in UNSC's 1267/ 1989 ISIL (Da'esh) & Al-Qaida Sanctions List.
The UNSC press release concerning the list of amended entries is available at URL: <https://www.un.org/press/en/2021/sc14755.doc.htm>
2. Note SC/14753 dated 29 December 2021, regarding the technical amendments in the field "Other Information", text was added as follows: Review pursuant to Security Council resolution 2368 (2017) was concluded on 15 November 2021.

List of amended Entries:

S. No.	Entry	S. No.	Entry	S. No.	Entry
1	QDi.014	22	QDi.305	43	QDi.394
2	QDi.065	23	QDi.306	44	QDi.395
3	QDi.080	24	QDi.307	45	QDi.396
4	QDi.083	25	QDi.311	46	QDi.397
5	QDi.187	26	QDi.324	47	QDi.398
6	QDi.192	27	QDi.325	48	QDe.009
7	QDi.193	28	QDi.326	49	QDe.020
8	QDi.249	29	QDi.340	50	QDe.068
9	QDi.250	30	QDi.341	51	QDe.069
10	QDi.252	31	QDi.353	52	QDe.071
11	QDi.262	32	QDi.354	53	QDe.072
12	QDi.283	33	QDi.366	54	QDe.096
13	QDi.290	34	QDi.375	55	QDe.099
14	QDi.291	35	QDi.376	56	QDe.103
15	QDi.294	36	QDi.378	57	QDe.107
16	QDi.295	37	QDi.383	58	QDe.129
17	QDi.299	38	QDi.385	59	QDe.133
18	QDi.300	39	QDi.386	60	QDe.134
19	QDi.301	40	QDi.387	61	QDe.137
20	QDi.303	41	QDi.388	62	QDe.150
21	QDi.304	42	QDi.389	--	--

The UNSC press release concerning the list of amended entries is available at URL:
<https://www.un.org/press/en/2021/sc14753.doc.htm>.

3. The United Nations Security Council Consolidated List is also updated following all changes made to the ISIL (Da'esh) and Al-Qaida Sanctions List. An updated version of the Consolidated List is accessible via the following URL: www.un.org/securitycouncil/content/un-sc-consolidated-list.

4. 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).
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 Home Affairs (MHA) 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

**Gayak Jalan
Manager**

Enclosed: Two

FORTHCOMING COMPLIANCE			
Particulars	Deadline	Manner of sending	Reference
Investor Grievance Report (Monthly)	By 10th of the following month.	Through e-PASS	Circular No. NSDL/POLICY/2015/0096 dated October 29, 2015
Networth Certificate and Audited Financial Statements for the FY 2020-21	January 15th, 2022	By hard copy to Inspection Department	1. Circular No. NSDL/PI/98/414 dated September 1, 1998 2. Circular No. NSDL/POLICY/2021/0104 dated October 08, 2021
Compliance Certificate (July - December)	January 31, 2022	Through e-PASS	Circular No. NSDL/POLICY/2020/0152 dated November 19, 2020.
Artificial Intelligence /Machine Learning Reporting Form (if offering or using such technologies as defined) - (Quarterly)	By 15th of the following month.	Through e-PASS	1. Circular No. NSDL/POLICY/2019/0016 dated March 27, 2019 2. Circular No. NSDL/POLICY/2021/0102 dated October 04, 2021
Cyber Security & Cyber Resilience framework of Depository Participants - (Quarterly)	By 15th of the following month	Through e-PASS	1. Circular No. NSDL/POLICY/2019/0076 dated November 13, 2019. 2. Circular no. NSDL/POLICY/2020/0069 dated May 15, 2020.
Reporting of status of the alerts generated by Participants- (Quarterly)	By 15th of the following month	Through e-PASS	NSDL/POLICY/2021/0072 dated July 15, 2021 NSDL/POLICY/2022/001 dated January 03, 2022

Dec 31, 2021

Implementation of Section 51A of UAPA,1967: Updates to UNSC's 1267/ 1989 ISIL (Da'esh) & Al-Qaida Sanctions List: Addition of 2 Entries in Its Sanctions List

1. Clause 2.8 of the 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 Oct 15, 2019 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). 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.
2. 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 regarding change in the list of individuals and entries subject to the assets freeze, travel ban, and arms embargo set out in paragraph 1 of Security Council resolution 2368 (2017) under Chapter VII of the Charter of the United Nations has issued the following Notification.

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The UNSC press release concerning the list of amended entries is available at URL:

<https://www.un.org/press/en/2021/sc14755.doc.htm>.

3. The United Nations Security Council Consolidated List is also updated following all changes made to the ISIL (Da'esh) and Al-Qaida Sanctions List. An updated version of the Consolidated List is accessible via the following URL: www.un.org/securitycouncil/content/un-sc-consolidated-list.

4. 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

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 - 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>
5. Stock Brokers/Depositories/AMFI/Registered intermediaries are advised to
 - a) Circulate this press release to respective members/ participants/AMC's for necessary compliance as required.
 - b) Follow the procedure as well as advise their respective members/participants/AMC's to 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.
 - c) 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, and
 - d) 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).
6. 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:

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Dec 31, 2021

Implementation of Section 51A of UAPA, 1967: Updates to UNSC's 1267/ 1989 ISIL (Da'esh) & Al-Qaida Sanctions List: Amendment of 62 Entries on Its Sanctions List

1. Clause 2.8 of the 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 Oct 15, 2019 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). 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.
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