

Circular No.: NSDL/POLICY/2021/0070

July 07, 2021

Subject: The Financial Action Task Force (FATF) public statements - June 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 June 2021 Plenary. The links to these public statements on FATF's website are as follows:

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

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

Also, it is highlighted that following review, FATF now also identifies Haiti, Malta, Philippines, and South Sudan as new jurisdictions subject to increased monitoring and it may be observed that Ghana is no longer subject to 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 10th of the following month. | Through e-PASS | Circular No. NSDL/POLICY/2015/0096 dated October 29, 2015 |
| Internal/ Concurrent Audit Report (October 2020 – March 2021) | July 31, 2021. | Through e-PASS | 1. Circular No. NSDL/POLICY/2021/0041 dated May 04, 2021 2. Circular No NSDL/POLICY/2021/0048 dated May 11, 2021 |
| Compliance Certificate (January - June) | July 31st every year | Through e-PASS | Circular No. NSDL/POLICY/2019/0088 dated December 17, 2019. |
| Artificial Intelligence I/Machine Learning Reporting Form (if offering or using such technologies as defined) (Quarterly) | July 31, 2021 | By email at Participant-Interface@nsdl.co.in | 1. Circular No. NSDL/POLICY/2019/0016 dated March 27, 2019 2. Circular No. NSDL/ POLICY/2020/0056 dated April 29, 2020 3. Circular No. NSDL/POLICY/2021/0041 dated May 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/2019/0039 dated July 9, 2019. 2. Circular no. NSDL/POLICY/2020/0069 dated May 15, 2020. |
| Risk based Supervision of Participants (October 2020 – March 2021) | July 31, 2021 | Through e-PASS | 1. Circular No. NSDL/POLICY/2018/0050 dated September 25, 2018 2. Circular No.: NSDL/ POLICY/2020/0082 dated June 16, 2020 3. Circular No. NSDL/POLICY/2021/0041 dated May 04, 2021 |
| Annual System Audit Report for the period ended March 2021 | July 31, 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 4. Circular No. NSDL/POLICY/2021/0041 dated May 04, 2021 |