

National Stock Exchange Of India Limited

DEPARTMENT : COMPLIANCE	
Download Ref No : NSE/COMP/45704	Date: September 15, 2020
Circular Ref. No : 58/2020	

To All Members,

Sub: Internal Risk Assessment of Registered Intermediaries

This has reference to the guidelines on Anti-Money Laundering (AML) standards and combating the Financing of Terrorism (CFT) issued by SEBI/Exchanges from time to time and the obligations of the Members under the Prevention of Money Laundering Act, 2002 and Rules stipulated there under. As per the provisions all Members are required to adopt necessary procedures to ensure compliance with AML/CFT directives including undertaking client due diligence, record keeping, transaction monitoring and reporting etc.

In order to ascertain the adherence to the AML/CFT norms and evaluate the implementation & effectiveness of measures to combat money laundering and terrorist financing, SEBI has advised the Exchanges to collate data/information from the Members relating to client risk categorisation & due diligence, ML/TF risk assessment, Alert Generation System, conduct of AML/CFT related trainings, BO identification, record keeping etc.

The template for the collection of the aforementioned data/information is enclosed herewith as **Annexure-A**. All active Members as on the date of the circular, who have executed trades from April 2015 to March 2020 are required to submit the data, consolidated across all Exchanges, as per the said template.

Eligible Members, as specified above, are advised to take note of the above and commence collation of the data/information sought in Annexure A. Exchange will shortly issue appropriate guidelines/procedures through a separate communication regarding the mode of submission of the said data to the Exchange and the timelines.

For and on behalf of

National Stock Exchange of India Limited

Srijith Menon

Associate Vice President

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