

National Stock Exchange of India Limited

Circular

Department: Compliance	
Download Ref No: NSE/COMP/65203	Date: November 22, 2024
Circular Ref. No: 101/2024	

To All Members,

Sub: Internal Risk Assessment of Registered Intermediaries

This has reference to Exchange circular reference nos. NSE/COMP/45704 dated September 15, 2020, NSE/COMP/46108 dated October 21, 2020 and NSE/COMP/55876 dated March 03, 2023 on Internal Risk Assessment of Registered Intermediaries.

In order to ascertain 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 categorization & due diligence, ML/TF risk assessment, Alert Generation System, conduct of AML/CFT related trainings, BO identification, record keeping etc. of all the active Members who have executed trades from April 2023 to March 2024.

Members are required to do the submission through New ENIT > Compliance > Internal Risk Assessment. The detailed procedure for submitting the data/information through the module is enclosed herewith as Annexure-A.

All members are advised to ensure the submission on or before November 28, 2024.

For any support, please reach out to the helpdesk on 1800 266 0050 (Select IVR option 3) or email at memcompliance_support@nse.co.in

For and on behalf of
National Stock Exchange of India Limited

Anjali Kunde
Chief Manager

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