



PR No.43/2020

Implementation of Section 51A of UAPA, 1967: Updates to UNSC's Democratic Republic of Congo 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, UNSC has released the following press release:

- a) Note SC/14280 regarding amendments to entries in UNSC's 1533 DRC Sanctions List.

The UNSC press release concerning the amendment to the list are available at URL: <https://www.un.org/press/en/2020/sc14280.doc.htm>

- a) The latest versions of the Sanctions lists are accessible on the UN Security Council's website at the following URL:
 - i) Updates to the names of individuals and entities on the 1533 Committee's website pursuant to a decision by the Committee may be found in the "Press Releases" section on the Committee's website. <https://www.un.org/securitycouncil/sanctions/1533/press-releases>
 - ii) An updated List is accessible on the Committee's website at the following URL: <https://www.un.org/securitycouncil/sanctions/1533/materials>

iii) An updated and consolidated list of all the Sanction Committees are available at the following URL:

<https://www.un.org/securitycouncil/content/un-sc-consolidated-list>

3. 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 accountant 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).
4. As per the instructions from Ministry of Home Affairs (MHA), individuals, groups, undertakings or entities seeking to be removed from the Security Council's Democratic Republic of Congo 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:

<https://www.un.org/securitycouncil/ombudsperson/application>

Mumbai
August 25, 2020