CDSL/OPS/DP/1448 **January 29, 2009**

GUIDELINES ON ANTI-MONEY LAUNDERING MEASURES

DPs are advised to refer to communiqué no. **CDSL/OPS/DP/1408** dated December 31, 2008 regarding the Master Circular issued by SEBI, no. ISD/AML/CIR-1/2008 dated December 19, 2008 on Anti-Money Laundering and Combating Financing of Terrorism [**AML** and **CFT**].

SEBI has now informed CDSL that very few DPs have filed Suspicious Transaction Reports [**STRs**] with FIU-IND, which are generally found to be deficient in grounds of suspicion.

SEBI has directed CDSL to advise DPs to:

- carefully analyze alerts sent by CDSL and file STRs with FIU-IND in appropriate cases;
- provide the following information in the grounds of suspicion so that FIU-IND will be in a position to analyze STRs correctly.

Sr. No.	Additional details to be included in STR
1	Details of initial alert sent by CDSL through an upload to the DP's billing folder
2	Information collected during analysis of alert
3	KYC information of the client
4	Period of the activities being reported
5	Quantum of the activities being reported
6	ISIN / Issuer Name, if reported transaction relates to a particular ISIN / Issuer
7	Explanation regarding the reported suspicion

DPs are advised to take note of the above and ensure that the specified guidelines are implemented, as directed.

Queries regarding this communiqué may be addressed to:

- **CDSL-Helpdesk** on telephone no. (022) 2272-3333 (extn. 8642, 8427, 8663, 8624, 8693, 8625, 8639), direct (022) 2272-1261, (022) 3246-2767, (022) 2272-2075 or email ID: helpdesk@cdslindia.com.
- **CDSL-Principal Officer** on telephone (022) 2272-3333 (extn. 8650), Direct nos. (022) 3246-2559, (022) 2272-2008 or email ID: pmla@cdslindia.com or iyerk@cdslindia.com.

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