



Central Depository Services (India) Limited

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COMMUNIQUÉ TO DEPOSITORY PARTICIPANTS

CDSL/OPS/DP/POLCY/2020/386

September 07, 2020

TEMPLATE FOR INTERNAL RISK ASSESSMENT OF DPs

A meeting was held between SEBI, Stock Exchanges, Depositories and AMFI wherein issues pertaining to DPs compliance with AML/CFT norms were discussed. A template for Internal Risk Assessment of Depository Participants has been prepared and is attached to the said communique as “**Annexure-A**”.

The template involves data collection from DPs regarding how each DP is complying with AML/CFT norms and contains various details including.

- a. General information of the entity.
- b. Data on risk categorization, clients from grey list countries, brokers providing cross border services.
- c. Details regarding the Client Due Diligence, policies in place, procedures followed and document requirements for different class of investors etc.
- d. Measures adopted to undertake Enhanced Due Diligence (EDD), EDD measures in case of PEPs and clients from High Risk Jurisdictions.
- e. Details regarding implementation of Statutory and Regulatory orders.
- f. Details of ML/TF risk assessment, parameters used for the same, details of risk mitigation plan, if any, etc.
- g. Questionnaire on sharing of information on AML/CFT (covering R.18 of FATF) and Alert Generation System which also includes data on AML/CFT training conducted, Investor Education Programme, if any on AML/CFT etc.
- h. Details of AML alert generation, basis for alert generation, data on alerts generated etc.
- i. Data on identification of BO.
- j. Details of record keeping.
- k. Details of audit and governance, frequency of the audit etc.

Depository Participants are advised to fill up the template in a time bound manner and submit the same expeditiously ensuring the completeness of the same. Further, **Main DP should consolidate the data pertaining to its live connected branches with Main DP and submit the same** latest by EOD of Monday, September 21, 2020. File Name will be **<DPID>_<DP Short Name>_IntRiskAssessment.xls** and should be emailed to vijayk@cdslindia.com, manalib@cdslindia.com and heenaj@cdslindia.com.



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DPs are advised to take note of the same and ensure compliance.

Queries regarding this communiqué may be addressed to **CDSL – Operations:** on telephone numbers (022) 2305-8689, 2305-8660, 2305-8648, 2305-8655. Emails be sent to: vijayk@cdslindia.com , manalib@cdslindia.com and heenaj@cdslindia.com.

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Umesh Kambli
Asst. Vice President – Operations