

Department: Inspection	Segment: All
Circular No: MSE/INSP/13151/2023	Date : March 06, 2023

Subject: Internal Risk Assessment of Registered Intermediaries

To All Members,

This has reference to Exchange circular MSE/INSP/9491/2020 dated September 16, 2020, and MSE/INSP/9678/2020 dated October 30, 2020, on Internal Risk Assessment of Registered Intermediaries.

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. of all the active Members who have executed trades from April 2021 to March 2022.

The template for the collection of the aforementioned data/information is enclosed herewith as **Annexure A**.

All members are advised to ensure the submission on or before **March 14, 2023**.

For and on behalf of
Metropolitan Stock Exchange of India Limited

Mahendra Choudhari
AVP – Inspection and Membership Department

In case of any query kindly contact Inspection Department on 6112 9000 or mail on compliancemsx@msei.in

Metropolitan Stock Exchange of India Limited