



Central Depository Services (India) Limited

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COMMUNIQUÉ TO DEPOSITORY PARTICIPANTS

CDSL/SURV/DP/POLCY/2022/129

March 08, 2022

SEPARATE INTIMATION OF FILING IMPORTANT & URGENT STRS TO FIU-INDIA BY REPORTING ENTITIES

DPs are advised to refer to the communication received from Financial Intelligence Unit – India, regarding **Requirement of Separate Intimation of filing of Important and urgent STRs to FIU-India by Reporting Entities (Annexure-A)**. As informed by the FIU-IND, the said communication is already sent by them to all reporting entities.

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

Queries regarding this communiqué may be addressed to **CDSL – Helpdesk**: on telephone numbers (022) 2305-8624, 2305-8639, 2305-8642, 2305-8663, 2305-8640, 2300-2041 or 2300-2033. Emails may be sent to: helpdesk@cdslindia.com.

sd/-

Umesh Kambli
Asst. Vice President - Surveillance

Confidential
By E-mail

F. No.25-18/DOMC/2014/FIU-IND (VoI-I)
Ministry of Finance
Department of Revenue
Financial Intelligence Unit- India

6th Floor, Tower-2
Jeevan Bharti Building, Connaught Place,
New Delhi – 110001.
Dated 03.03.2022

To
The Principal Officer,
All Recognized Stock Exchanges,
All Depositories,
All Depository Participants/Stock Brokers,

Sub: Communication concerning separate intimation of filing of Important and urgent STRs to FIU- India by Reporting entities – reg.

Dear Principal Officer,

The practise of separate intimation of important and urgent STRs to the FIU-IND by Reporting Entities (REs) in the banking sector has helped us to prioritise the dissemination of such STRs. Such an action from FIU-IND in turn would help the law enforcement agency concerned to take prompt action in respect of reported suspicious transaction which warranted an urgent response.

2. It has also been observed, that STRs of urgent and important nature which have been separately intimated are of very high quality. Therefore, on the similar lines, REs in the securities market are required to separately intimate to FIU-IND very important and urgent STRs which based on their understanding may require urgent and prompt law enforcement action from the agency concerned.

3. It is equally important that practise of separate intimation of filing of certain urgent and important STRs does not compromise the confidentiality of reported STR. Therefore, you are requested to follow certain ground rules in respect of separate intimation to the FIU, concerning filing of important and urgent STRs. The ground rules are:-

i. Only Batch ID and report serial number may be communicated.

- ii. The pattern may be communicated without any of the identifier in the form of name/ ID or account. No identity must be revealed.
 - iii. No reproduction in any form of GOS of the reported STR.
 - iv. Only the most important and urgent STRs filing may be intimated. The objective should be objective should be to use the process optimally and consciously avoid overwhelming of the process.
4. In order streamline the communication process, you are requested to intimate the information related to filing of important and urgent STRs on the designated email IDs viz. adl-director1@fiuindia.gov.in and dydirector7@fiuindia.gov.in The undersigned may be contacted for any clarification on the matter.
5. I hope that you will continue with your sincere efforts as a constructive stakeholder and establish the process of intimating to FIU-IND, filing of urgent and important STR.

Yours faithfully,



(Nikhil Varma)
Additional Director, FIU-IND
Tell: 011-23312794/23463601