



Department: Inspection	Segment: All
Circular No: MSE/INSP/16357/2024	Date: November 27, 2024

Internal Risk Assessment of Registered Intermediaries

To All Members,

This has reference to Exchange circular MSE/INSP/9491/2020 dated September 16, 2020, MSE/INSP/9678/2020 dated October 30, 2020 and MSE/INSP/13151/2023 dated March 06, 2023 on Internal Risk Assessment of Registered Intermediaries.

In order to ascertain 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 categorization & 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 2023 to March 2024**.

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

Members are required to submit the digitally signed soft copy of the report to the Exchange through mail at compliancemsx@msei.in

All members are advised to ensure the submission on or before **December 04, 2024**.

In case of any query kindly contact Inspection Department on (022) 6112 9000 or mail on compliancemsx@msei.in.

**For and on behalf of
Metropolitan Stock Exchange of India Limited**

**Chintan Shingala
Vice President
Regulatory**

Metropolitan Stock Exchange of India Limited

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