

Department: Inspection

Segment: All Segments

Circular No: MSE/INSP/5214/2017

Date : Jun 07, 2017

Subject: Details of training programmes by FI's

To All Members,

SEBI vide email dated June 1, 2017 has asked the Exchange to provide the details as sought by Department of Economic Affairs-Ministry of Finance with regard to the Stock Brokers, by June 20, 2017. These details are pertaining to AML/CFT areas to assess the technical compliance with the FATF Recommendations and effectiveness of AML/CFT systems. The details are required to be submitted for the FY 2014-15, 2015-16 and 2016- 17.

Stock brokers are advised to submit the details in the format prescribed by SEBI (attached as Annexure)

You are requested to provide the details on email id compliancemsx@msei.in on or before June 19, 2017.

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

Kirit Dodiya
Vice President – Inspection

Encl: Annexure – AML / CFT Training Format for FY 2014-15, 2015-16 and 2016- 17.

In case of any query, members may contact the compliance team on 022-6112 9000 or on:
Compliancemsx@msei.in