

Circular No.: NSDL/POLICY/2015/0004

Date: January 5, 2015

**Subject: Registration on FINgate Gateway for uploading Reports to FIU – IND.**

Attention of Participants is invited to Circular No. NSDL/POLICY/2012/0108 dated October 03, 2012 wherein the Financial Intelligence Unit – India (FIU-IND) had informed about the new reporting format for CTRs and STRs under the FINnet Project. FIU – IND had informed that reporting entities are required to initiate submission of reports on the FINnet gateway using the ‘Test Mode’ in order to test the new system. In this context, FIU-IND has now requested the Depositories to instruct the Participants the following:

1. Register on FINNET gateway.
2. Appoint a Principal Officer and Designated Director.
3. Apply for a digital signature and use the same for filing of STRs.

Further, FIU-IND has also provided the following clarifications in this context:

1. Whether a Participant which is already registered on FINNET gateway as a Bank, will be required to register again as a Participant and get a separate FIUREID?

**FIU-IND clarification:** Yes, separate registration is required as a bank and as a Participant. For Reporting Entity / Principal Officer’s registration related queries, Participants may send email to [ctrcell@fiuindia.gov.in](mailto:ctrcell@fiuindia.gov.in)

2. Action to be taken in case Participant has already appointed a Principal Officer and Designated Director and intimated to FIU-IND.

**FIU-IND clarification:** No further action is needed if Participant has appointed Principal Officer and Designated Director. But, the Participant (through their Principal Officer) is required to register on FINNET gateway to obtain FIUREID. The process of registration is available on FIUIND website (<http://fiuindia.gov.in/>).

3. Where can the List of Certifying Authorities approved by FIU from whom the digital signature can to be procured be obtained?

**FIU-IND clarification:** The list of certifying authorities may be obtained by Participants by sending email to FIUIND helpdesk [helpdesk@fiuindia.gov.in](mailto:helpdesk@fiuindia.gov.in).



4. Format to be used by the Participants in which STR is to be filed / uploaded with FIUIND.

**FIU-IND clarification:** The format of STR is available on website ([fiuindia.gov.in](http://fiuindia.gov.in)). The Participants may also refer to FAQ available on FIUIND website (<http://fiuindia.gov.in/faq-reportingformats.htm#3e>)

Participants are requested to take note of the same and ensure compliance.

For and on behalf of  
**National Securities Depository Limited**

**Samar Banwat**  
**Senior Vice President**

FORTHCOMING COMPLIANCE			
Particulars	Deadline	Manner of sending	Reference
Investor Grievance Report (Monthly)	By 10 <sup>th</sup> of the following month.	By email at <a href="mailto:dp_igreport@nsdl.co.in">dp_igreport@nsdl.co.in</a> Alternatively, by hard copy to the Investor Relationship Cell.	1. Circular No. NSDL/PI/98/500 dated October 6, 1998. 2. Circular No. NSDL/PI/2004/1688 dated September 16, 2004.
Compliance Certificate (July - December)	January 31st every year.	Digitally signed compliance certificate by email at <a href="mailto:nsdl-bp-inspection@nsdl.co.in">nsdl-bp-inspection@nsdl.co.in</a> Alternatively, by hard copy to Inspection Department.	Circular No. NSDL/ POLICY/2006/0023 dated July 6, 2006 and Circular No. NSDL/POLICY/2010/0017 dated February 22, 2010.