



To: All SEBI Registered Portfolio Managers
From: Rashim Bagga
Subject: **Information to be submitted by Portfolio Managers- Mail from SEBI.**
Date: 8th March'2023

This has reference to the email below from, wherein APMI has been entrusted to collate the report from all SEBI Registered Portfolio Managers in the attached template.

You are requested to kindly submit your responses in the attached template with APMI by Monday 13th March'2023 **only** on the below mentioned email id-

- principalofficer@apmiindia.org

Please note that we will not be able to accept any responses post Monday 13th March'23.

Looking forward to your co-operation & support.

Warm Regards,

Principal Officer
Association of Portfolio Managers in India
B-121, 10th Floor, WeWork- Enam Sambhav
G-Block, Bandra Kurla Complex, Mumbai- 400051

----- Forwarded message -----

From: **SAMUEL MADDELA** <samuelbabu@sebi.gov.in>
Date: Wed, Mar 8, 2023 at 3:13 PM
Subject: RE: Information to be submitted by Portfolio managers
To: rashim.bagga@apmiindia.org <rashim.bagga@apmiindia.org>
Cc: RAJANI AGADI-KORI <rajaniu@sebi.gov.in>

Mr. Bagga,

The information needs to be collated by APMI from the PMSs' and send it to the undersigned with a copy to Mr. Rajani Agadi, DGM, SEBI.

Regards

Maddela Samuel Babu

*Asst. General Manager,
Investment Management Department
Securities and Exchange Board of India
SEBI Bhavan, Plot No C4-A "G" Block, Bandra Kurla Complex
Bandra (East), Mumbai-400 051
☎: 022 2644 9855 ✉: samuelbabu@sebi.gov.in*

APMI
ASSOCIATION OF
PORTFOLIOMANAGERS
IN INDIA

ASSOCIATION OF PORTFOLIO MANAGERS IN INDIA
Corporate Office: B-121, 10th Floor, WeWork- Enam Sambhav G-Block, Bandra Kurla Complex, Mumbai- 400051
Maharashtra. CIN: U91100MH2021NPL374185.



From: SAMUEL MADDELA
Sent: 08/03/2023 15:03
To: rashim.bagga@apmiindia.org
Cc: RAJANI AGADI-KORI <rajaniu@sebi.gov.in>
Subject: Information to be submitted by Portfolio managers

Dear Sir,

SEBI has initiated the Supervisory Risk assessment w.r.t Money Laundering, Terrorist Financing and Proliferation Financing risks in Securities market.

This assessment has been taken up to align the Money Laundering/ Terrorist Financing and Risk preventive measures with the risk posed by the entities and to gather how each PMS is complying with the extant AML/CFT norms.

In this regard, you are advised to circulate this template amongst all the PMSs' and submit the information to SEBI by March 13, 2023.

Regards

Maddela Samuel Babu

*Asst. General Manager,
Investment Management Department
Securities and Exchange Board of India
SEBI Bhavan, Plot No C4-A "G" Block, Bandra Kurla Complex
Bandra (East), Mumbai-400 051
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