

IV. LEI Non-compliant FPIs - Quarterly -Custodian

| FPI Registration No.* (Select as filled in FPI General Info and Duplicate not allowed) | LEI Number* | Date of Expiry of LEI* | Date of Renewal of LEI/ Date of unfreezing* |
|-------------------------------------------------------------------------------------------|------------------------|------------------------|---------------------------------------------|
| | Alphanumeric 20 digits | date | date |
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V. FPIs who have not submitted granular BO details within the timelines - Quarterly - DDP

| FPI Regn Number* | Criteria for Granular Disclosures* | Date of Ineligibility/ Blocking the account* |
|------------------|--------------------------------------------------|----------------------------------------------|
| | <i>List given below:</i> | |
| | Para 7(a)-More than 50% in Singe Corporate group | |
| | Para 7(b) - More than 25000 Cr AUC | |
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VI. Details of FPIs granted exemption under Circular dated Aug 24 2023 - Quarterly-DDP

| FPI Regn Number* | Exemption granted* | List of Documentary Evidences Submitted by FPI* | Remarks by DDP |
|------------------|------------------------------------------------------------------------------|-------------------------------------------------|----------------|
| | <i>List given below:</i> | | |
| | Para 8(a) , Para 8(b), Para 8(c), Para 8(d), Para 8(e), Para 8(f), Para 8(g) | | |
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List for Names of central Bank of resident country of FPI

| S.No | Central bank Name |
|-------------|--------------------------------------------------|
| 1 | Bank of Algeria |
| 2 | Central Bank of Argentina |
| 3 | Reserve Bank of Australia |
| 4 | Central Bank of the Republic of Austria |
| 5 | National Bank of Belgium |
| 6 | Central Bank of Bosnia and Herzegovina |
| 7 | Central Bank of Brazil |
| 8 | Bulgarian National Bank |
| 9 | Bank of Canada |
| 10 | Central Bank of Chile |
| 11 | People's Bank of China |
| 12 | Central Bank of Colombia |
| 13 | Croatian National Bank |
| 14 | Czech National Bank |
| 15 | Danmarks Nationalbank (Denmark) |
| 16 | Bank of Estonia |
| 17 | European Central Bank |
| 18 | Bank of Finland |
| 19 | Bank of France |
| 20 | Deutsche Bundesbank (Germany) |
| 21 | Bank of Greece |
| 22 | Hong Kong Monetary Authority |
| 23 | Magyar Nemzeti Bank (Hungary) |
| 24 | Central Bank of Iceland |
| 25 | Reserve Bank of India |
| 26 | Bank Indonesia |
| 27 | Central Bank of Ireland |
| 28 | Bank of Israel |
| 29 | Bank of Italy |
| 30 | Bank of Japan |
| 31 | Bank of Korea |
| 32 | Central Bank of Kuwait |
| 33 | Bank of Latvia |
| 34 | Bank of Lithuania |
| 35 | Central Bank of Luxembourg |
| 36 | Central Bank of Malaysia |
| 37 | Bank of Mexico |
| 38 | Bank Al-Maghrib (Central Bank of Morocco) |
| 39 | De Nederlandsche Bank |
| 40 | Reserve Bank of New Zealand |
| 41 | National Bank of the Republic of North Macedonia |
| 42 | Central Bank of Norway |
| 43 | Central Reserve Bank of Peru |
| 44 | Bangko Sentral ng Pilipinas (Philippines) |
| 45 | Narodowy Bank Polski (Poland) |
| 46 | Banco de Portugal |
| 47 | National Bank of Romania |
| 48 | Central Bank of the Russian Federation |

List for Names of central Bank of resident country of FPI

| S.No | Central bank Name |
|-------------|------------------------------------------------------------------|
| 49 | Saudi Central Bank |
| 50 | National Bank of Serbia |
| 51 | Monetary Authority of Singapore |
| 52 | National Bank of Slovakia |
| 53 | Bank of Slovenia |
| 54 | South African Reserve Bank |
| 55 | Bank of Spain |
| 56 | Sveriges Riksbank (Sweden) |
| 57 | Swiss National Bank |
| 58 | Bank of Thailand |
| 59 | Central Bank of the Republic of Türkiye |
| 60 | Central Bank of the United Arab Emirates |
| 61 | Bank of England |
| 62 | Board of Governors of the Federal Reserve System (United States) |
| 63 | State Bank of Vietnam |

List of Names for Securities Market Regulator

| S.No | Member Agency |
|------|-------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1 | Financial Services Regulatory Authority (FSRA), Abu Dhabi |
| 2 | Astana Financial Services Authority (AFSA), AIFC, Nur-Sultan (formerly Astana) |
| 3 | Albanian Financial Supervisory Authority (AFSA), Albania |
| 4 | Alberta Securities Commission (ASC), Alberta |
| 5 | Commission d'Organisation et de Surveillance des Opérations de Bourse (COSOB), Algeria |
| 6 | Autoritat Financera Andorrana (AFA), Andorra |
| 7 | Comissão do Mercado de Capitais (CMC), Angola |
| 8 | Comisión Nacional de Valores (CNV), Argentina |
| 9 | Central Bank of Armenia (CBA), Armenia |
| 10 | Australian Securities and Investments Commission (ASIC), Australia |
| 11 | Financial Market Authority (FMA), Austria |
| 12 | Securities Commission of The Bahamas (SCB), Bahamas |
| 13 | Central Bank of Bahrain (CBB), Bahrain, Kingdom of |
| 14 | Bangladesh Securities and Exchange Commission (BSEC), Bangladesh |
| 15 | Financial Services and Markets Authority (FSMA) Formerly: Banking, Finance and Insurance Commission (BFIC), Belgium |
| 16 | Bermuda Monetary Authority (BMA), Bermuda |
| 17 | Securities Commission of the Federation of Bosnia and Herzegovina (SCFBH), Bosnia and Herzegovina, Federation of |
| 18 | Comissão de Valores Mobiliários (CVM), Brazil |
| 19 | British Columbia Securities Commission (BCSC), British Columbia |
| 20 | British Virgin Islands Financial Services Commission (FSC), British Virgin Islands |
| 21 | Brunei Darussalam Central Bank (BDCB), Brunei |
| 22 | Financial Supervision Commission (FSC), Bulgaria |
| 23 | Auditoria Geral do Mercado de Valores Mobiliários, Banco Central of Cabo Verde (AGMVM), Cabo Verde |
| 24 | Cayman Islands Monetary Authority (CIMA), Cayman Islands |
| 25 | Commission de Surveillance du Marché Financier de l'Afrique Centrale (Securities and Exchange Commission of Central Africa) (COSUMAF), Central Africa |
| 26 | Comisión para el Mercado Financiero (Financial Market Commission) (CMF), Chile |
| 27 | China Securities Regulatory Commission (CSRC), China |
| 28 | Superintendencia Financiera de Colombia (SFC), Colombia |
| 29 | Superintendencia General de Valores (SGV), Costa Rica |
| 30 | Croatian Financial Services Supervisory Agency (HANFA), Croatia, Republic of |
| 31 | Cyprus Securities and Exchange Commission (CYSEC), Cyprus |
| 32 | Czech National Bank (CNB) Formerly: Czech Securities Commission, Czech Republic |
| 33 | Danish Financial Supervisory Authority (FSA), Denmark |
| 34 | Dubai Financial Services Authority (DFSA), DIFC, Dubai |

List of Names for Securities Market Regulator

| S.No | Member Agency |
|------|----------------------------------------------------------------------------------------------------------------------------------------------------|
| 35 | Superintendencia del Mercado de Valores (SIMV) Formerly: Superintendencia de Valores, Banco Central de la República Dominicana, Dominican Republic |
| 36 | Superintendencia de Compañías, Valores y Seguros (SCVS), Ecuador |
| 37 | Financial Regulatory Authority (FRA) Formerly: Capital Market Authority, Egypt |
| 38 | Superintendencia del Sistema Financiero (SSF), El Salvador |
| 39 | Finantsinspektsioon (FI), Estonia |
| 40 | Financial Supervision Authority (FSA), Finland |
| 41 | Autorité des marchés financiers (AMF) Formerly: Commission des Opérations de Bourse (COB), France |
| 42 | National Bank Of Georgia (NBG), Georgia |
| 43 | Bundesanstalt für Finanzdienstleistungsaufsicht (BaFin), Germany |
| 44 | Securities and Exchange Commission (SEC), Ghana |
| 45 | Gibraltar Financial Services Commission (GFSC), Gibraltar |
| 46 | Hellenic Capital Market Commission (HCMC), Greece |
| 47 | Guernsey Financial Services Commission (GFSC), Guernsey |
| 48 | Securities and Futures Commission (SFC), Hong Kong |
| 49 | Magyar Nemzeti Bank (The Central Bank of Hungary) (MNB), Hungary |
| 50 | The Central Bank of Iceland (CBI), Iceland |
| 51 | International Financial Services Centres Authority (IFSCA), India |
| 52 | Securities and Exchange Board of India (SEBI), India |
| 53 | Indonesia Financial Services Authority (OJK), Indonesia |
| 54 | Securities and Exchange Organization (SEO), Iran |
| 55 | Central Bank of Ireland (CBI) Formerly: Central Bank and Financial Services Authority of Ireland (CBFSAI), Ireland |
| 56 | Isle of Man Financial Services Authority (IOMFSA), Isle of Man |
| 57 | Israel Securities Authority (ISA), Israel |
| 58 | Commissione Nazionale per le Società e la Borsa (CONSOB), Italy |
| 59 | Financial Services Commission (JFSC), Jamaica |
| 60 | Financial Services Agency (FSA), Japan |
| 61 | Ministry of Agriculture, Forestry and Fisheries (MAFF), Japan |
| 62 | Ministry of Economy, Trade and Industry (METI), Japan |
| 63 | Jersey Financial Services Commission (FSC), Jersey |
| 64 | Jordan Securities Commission (JSC), Jordan |
| 65 | Agency of the Republic of Kazakhstan for Regulation and Development of Financial Market (ARDFM), Kazakhstan, Republic of |
| 66 | Capital Markets Authority (CMA), Kenya |
| 67 | Financial Services Commission/Financial Supervisory Service (FSC/FSS), Korea, Republic of |
| 68 | Capital Markets Authority (CMA), Kuwait |
| 69 | Labuan Financial Services Authority (FSA), Labuan |
| 70 | Financial and Capital Market Commission (FCMC), Latvia, Republic of |
| 71 | Financial Market Authority (FMA), Liechtenstein |

List of Names for Securities Market Regulator

| S.No | Member Agency |
|------|-----------------------------------------------------------------------------------------------------------------------------|
| 72 | Bank of Lithuania (BL) Formerly: Lithuanian Securities Commission, Lithuania |
| 73 | Commission de Surveillance du Secteur Financier (CSSF), Luxembourg |
| 74 | Reserve Bank of Malawi (RBM), Malawi |
| 75 | Securities Commission (SC), Malaysia |
| 76 | Capital Market Development Authority (CMDA), Maldives |
| 77 | Malta Financial Services Authority (MFSA), Malta |
| 78 | Financial Services Commission (FSC), Mauritius |
| 79 | Comisión Nacional Bancaria y de Valores (CNBV), Mexico |
| 80 | Commission de Contrôle des Activités Financières (CCAF), Monaco, Principality of |
| 81 | Financial Regulatory Commission (FRC), Mongolia |
| 82 | Capital Market Authority of Montenegro (CMA), Montenegro |
| 83 | Autorité Marocaine du Marché des Capitaux (AMMC), Morocco |
| 84 | The Dutch Authority for the Financial Markets (AFM) Formerly: Stichting Toezicht Effectenverkeer, The Netherlands |
| 85 | Financial Markets Authority (FMA) Formerly: Securities Commission (SC), New Zealand |
| 86 | Securities and Exchange Commission (SEC), Nigeria |
| 87 | Securities and Exchange Commission of the Republic of North Macedonia (SEC), North Macedonia, Republic of |
| 88 | Finanstilsynet (The Financial Supervisory Authority of Norway) (FSA), Norway |
| 89 | Capital Market Authority (CMA), Oman, Sultanate of |
| 90 | Ontario Securities Commission (OSC), Ontario |
| 91 | Securities and Exchange Commission (SECP), Pakistan |
| 92 | Palestine Capital Market Authority (PCMA), Palestine |
| 93 | Superintendencia del Mercado de Valores (SMV), Panama |
| 94 | Superintendencia del Mercado de Valores (SMV) Formerly: Comisión Nacional Supervisora de Empresas y Valores (CONASEV), Peru |
| 95 | Polish Financial Supervision Authority (KNF) Formerly: Polish Securities and Exchange Commission, Poland |
| 96 | Comissão do Mercado de Valores Mobiliários (CMVM), Portugal |
| 97 | Qatar Financial Centre Regulatory Authority (QFCRA), Qatar |
| 98 | Qatar Financial Markets Authority (QFMA), Qatar |
| 99 | Autorité des marchés financiers (AMF), Quebec |
| 100 | Financial Supervisory Authority (ASF), Romania |
| 101 | The Bank of Russia (CBR)**, Russia |
| 102 | Capital Market Authority (CMA), Saudi Arabia |
| 103 | Securities Commission (SC), Serbia, Republic of |
| 104 | Monetary Authority of Singapore (MAS), Singapore |
| 105 | The National Bank of Slovakia (NBS) Formerly: Financial Market Authority, Slovak Republic |
| 106 | Securities Market Agency/Agencija Za Trg Vrednostnih Papirjev (SMA), Slovenia |

List of Names for Securities Market Regulator

| S.No | Member Agency |
|------|------------------------------------------------------------------------------------------------------------------------------------------------|
| 107 | Financial Sector Conduct Authority (FSCA), South Africa |
| 108 | Comisión Nacional del Mercado de Valores (CNMV), Spain |
| 109 | Securities and Exchange Commission of Sri Lanka (SEC), Sri Lanka |
| 110 | Securities Commission of the Republic Srpska (SECRS), Srpska, Republic of |
| 111 | Finansinspektionen (FI), Sweden |
| 112 | Swiss Financial Market Supervisory Authority (FINMA) Formerly: Swiss Federal Banking Commission (Commission fédérale des banques), Switzerland |
| 113 | Syrian Commission on Financial Markets and Securities (SCFMS), Syria |
| 114 | Financial Supervisory Commission (FSC), Chinese Taipei |
| 115 | Capital Markets and Securities Authority (CMSA), Tanzania |
| 116 | Securities and Exchange Commission (SEC), Thailand |
| 117 | Trinidad and Tobago Securities and Exchange Commission (TTSEC), Trinidad and Tobago |
| 118 | Conseil du marché financier (CMF), Tunisia |
| 119 | Capital Markets Board (CMB), Turkey |
| 120 | Turks & Caicos Islands Financial Services Commission (TCIFSC), Turks & Caicos |
| 121 | Capital Markets Authority (CMA), Uganda |
| 122 | Securities and Commodities Authority (SCA), United Arab Emirates |
| 123 | Financial Conduct Authority (FCA) Formerly: Financial Services Authority, United Kingdom |
| 124 | Commodity Futures Trading Commission (CFTC), United States of America |
| 125 | Securities and Exchange Commission (SEC), United States of America |
| 126 | Banco Central del Uruguay (BCU), Uruguay |
| 127 | State Securities Commission (SSC), Vietnam |
| 128 | Conseil régional de l'épargne publique et des marchés financiers (CREPMF), West African Monetary Union |
| 129 | Securities and Exchange Commission (SEC), Zambia |