Annexure A - Form to report on AI and ML technologies – to be submitted half-yearly

Intimation by Designated Depository Participant/ Custodian registered with SEBI for the use of the AI and ML applications and systems.

S/N	Head	Value
1	Entity SEBI registration number	
2	Registered entity category	
3	Entity name	
4	Entity PAN no.	
5	Application / System name	
6	Date since when the Application/ System is being used	
7	Type of area where AI or ML is being used	<order execution/ Advisory services/ KYC/ AML/ Surveillance/ compliance/ others (please specify in 256 characters) >
7.a	Does the system involve order initiation, routing and execution?	<Yes / NO>
7.b	Does the system fall under discretionary investment or Portfolio management activities?	<Yes / NO>
7.c	Does the system disseminate investment or trading advice or strategies?	<Yes / NO>
7.d	Is the application/ system used in the area of Cyber security to detect attacks	<Yes / NO>
7.e	What claims have been made regarding AI and ML Application/ System – if any?	<free text field>
8	What is the name of the Tool / Technology that is categorized as AI and ML system / Application submitted vide this response	<free text field>
9	How was the AI or ML project implemented	<Internally / through solution provider / Jointly with a solution provider or third party>
10	Are the key controls and control points in your AI or ML application or systems in accordance to circular of SEBI that mandate cyber security control requirements	<free text field>
11	Is the AI / ML system included in the system audit	<Yes / NO>
12	Describe the application / system and how it uses AI / ML as portrayed in the product offering	<free text field>
13	What safeguards are in place to prevent abnormal behavior of the AI or ML application / System.	<free text field>