Securities and Exchange Commission PHILIPPINES

N O T I C E

Subject: **SUBMISSION OF PROOF OF ANTI-MONEY LAUNDERING COUNCIL (AMLC) REGISTRATION FOR ALL SEC SUPERVISED/REGULATED COVERED PERSONS (CPs) WHO HAVE NOT YET REGISTERED WITH THE AMLC ONLINE REGISTRATION SYSTEM**

Notice is hereby given to all covered persons listed below as supervised by the Securities and Exchange Commission (SEC) who have not yet submitted their proof of AMLC Registration to the SEC.

- Securities dealers, brokers, salesmen, investment houses and other similar persons managing securities or rendering services as investment agent, advisor, or consultant;
- Mutual funds, close-end investment companies, common trust funds, and other similar persons;
- REIT fund managers;
- All financing companies and lending companies; and
- Other entities administering or otherwise dealing in currency, commodities or financial derivatives based thereon, valuable objects, cash substitutes and other similar monetary instruments or property supervised or regulated by the SEC.

Please be reminded that all CPs of the SEC are required to register with the AMLC portal and submit a proof of registration to the SEC.

The procedure in submitting the AMLC Registration proof can be accessed on the following link:

https://www.sec.gov.ph/notices/registration-with-the-anti-money-laundering-council-amlc-and-submission-of-proof-of-registration/#gsc.tab=0

Further, Compliance Officers are required to update their CP's user account information in the AMLC Online Registration System every two (2) years. The proof of the updated AMLC registration shall likewise be submitted to the SEC.

Failure to register or update the AMLC registration is subject to applicable penalties as provided for under the 2018 AML/CFT Guidelines for SEC Covered Persons and/or the 2018 Implementing Rules and Regulations of the AMLA, as amended.

For any further information, please email the AMLD at eipd-amld@sec.gov.ph or visit the SEC website at www.sec.gov.ph.

FOR INFORMATION AND GUIDANCE OF THE PUBLIC.

Issued on 28 July 2023.