



NOTICE

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

Notice is hereby given to all Covered Persons (CPs) listed below as supervised by the Securities and Exchange Commission (SEC) which 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 following procedures shall be followed:

1. The CPs shall register/update their registration with the AMLC. For more information on how to register, please refer to the step-by-step AMLC registration procedure at <http://www.amlc.gov.ph/19-amlc-registration/23-registration-procedure>.

The AMLC Portal may also be accessed through this link: <https://portal.amlc.gov.ph/amlc/web/index.htm>.

2. The CPs shall submit a copy of the Certificate of Registration issued by the AMLC or the email confirmation from AMLC that the registration was approved as proof of registration.
3. In submitting such proof of registration, the CPs shall use the official email address filed with the Commission pursuant to SEC Memorandum Circular No. 28, Series of 2020.

4. The proof of registration shall be submitted via electronic mail to the following email address:

aml-d-amlcreg@sec.gov.ph

5. The email should contain the following subject:

Submission of Proof of AMLC Registration – Company Name, Date of AMLC Registration
(example: Submission of Proof of AMLC Registration – XYZ Company, 31 May 2024).

6. There is **no need** to submit a hard copy of the proof of registration.

Further, Compliance Officers are required to update their company's user account information in the AMLC Online Registration System **every two (2) years**. The proof of 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 SEC Memorandum Circular No. 16, Series of 2018 (2018 AML/CFT Guidelines) and/or the 2018 Implementing Rules and Regulations of the Anti-Money Laundering Act, as amended.

For further information, please email the Anti-Money Laundering Division at eipd-aml-d@sec.gov.ph.

FOR THE INFORMATION AND GUIDANCE OF THE PUBLIC.