

Circular No.: PMEX/MKT, BD&CSS/2019/15

March 08, 2019

**SECP Directive on AML/CFT Reporting**

All brokers are hereby informed that the Securities and Exchange Commission of Pakistan ("SECP") has issued a Directive vide S.R.O. 245(I)/2019 dated February 22, 2019 (copy of S.R.O is attached herewith as Annexure-A) regarding SECP (Anti Money Laundering and Countering Financing of Terrorism) Regulations, 2018 ("the Regulations"). All brokers are directed to comply with reporting requirements and submit information in the prescribed manner to the respective supervisory department of the SECP, in accordance with the requirements of the Regulations and related Guidelines. In this regard, the following information is to be submitted:

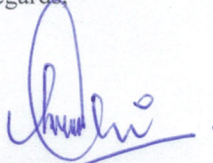
1. Annual risk assessment report and control/compliance assessment checklist
2. Six monthly information/ data
3. Compliance report on statutory regulatory orders issued by the Ministry of Foreign Affairs on United Nations Security Council Resolutions and intimation from National Counter Terrorism Authority/Ministry of Interior

All brokers are advised to ensure submission of the above mentioned information at the following e-mail addresses: [smdaml.dept@secp.gov.pk](mailto:smdaml.dept@secp.gov.pk) and [aml.dept@secp.gov.pk](mailto:aml.dept@secp.gov.pk)

The above must be noted for strict compliance purposes.

For further information and assistance, please feel free to contact our Customer Support Services by phone on 021-111-623-623 and 0321-8756-623 or by email at [support@pmex.com.pk](mailto:support@pmex.com.pk).

Best regards,



Syed Mumtaz Ali  
Chief Regulatory Officer

Encl.: **Annexure "A"**