



# MEMORANDUM – 2018-031

TO : ALL TRADING PARTICIPANTS

SUBJECT : 2018 GUIDELINES ON ANTI-MONEY LAUNDERING AND COMBATING THE FINANCING OF TERRORISM FOR SEC COVERED INSTITUTIONS AND OTHER SEC REGULATED PERSONS/ENTITIES


DATE : 31 OCTOBER 2018



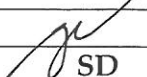
The Securities and Exchange Commission ("Commission"), in a notice published at its website on 26 October 2018, requested comments on the *2018 Guidelines on Anti-Money Laundering and Combating the Financing of Terrorism for SEC Covered Institutions and other SEC Regulated Persons/Entities*, otherwise known as the *2018 AML/CFT Guidelines*.

As an interested party, the Capital Markets Integrity Corporation has submitted its comments on the 2018 AML/CFT Guidelines. For the trading participants intending to submit their comments on the 2018 AML/CFT Guidelines, duly signed written comments on the exposure draft may be submitted to the Enforcement and Investor Protection Department or EIPD of the Commission **on or before 02 November 2018** by any of the following means:

|                 |  |
|-----------------|--|
| Letter          | DIRECTOR JOSE P. AQUINO<br><i>Enforcement and Investor Protection Department</i><br>Ground Floor, North Wing Hall, Secretariat Building<br>PICC Complex, Pasay City                    |
| Electronic mail | <a href="mailto:sltamayo@sec.gov.ph">sltamayo@sec.gov.ph</a><br><a href="mailto:adlanuzajr@sec.gov.ph">adlanuzajr@sec.gov.ph</a><br><a href="mailto:epd@sec.gov.ph">epd@sec.gov.ph</a> |

For reference, attached is a copy of the 26 October 2018 notice. Further, a copy of the 2018 AML/CTF Guidelines is available for viewing and uploading at [http://www.sec.gov.ph/wp-content/uploads/2018/10/2018Notice\\_Draft-AML-Guidelines\\_Public-Comment26Oct181.pdf](http://www.sec.gov.ph/wp-content/uploads/2018/10/2018Notice_Draft-AML-Guidelines_Public-Comment26Oct181.pdf).

  
DAISY P. ARCE  
President

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| <br>ACD | FHRAD | <br>IED | <br>SD |
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## NOTICE

### Request for Comments

The Commission hereby requests comments on the following draft documents (*click title to view the document*):

1. [2018 GUIDELINES ON ANTI-MONEY LAUNDERING AND COMBATING THE FINANCING OF TERRORISM FOR SEC COVERED INSTITUTIONS AND OTHER SEC REGULATED PERSONS/ENTITIES \("2018 AML/CFT Guidelines"\)](#)
2. [GUIDELINES FOR THE PROTECTION OF SEC REGISTERED NON-PROFIT ORGANIZATIONS FROM MONEY LAUNDERING AND TERRORIST FINANCING ABUSE \("NPO Guidelines"\)](#)

You may submit your duly signed written comments on the exposure draft to the Enforcement and Investor Protection Department (EIPD) of the Commission on or before **02 November 2018**, by way of any of the following:

|        |  |
|--------|--|
| Letter | <b>DIRECTOR JOSE P. AQUINO</b><br>Enforcement and Investor Protection Department<br>Ground Floor, North Wing Hall, Secretariat Building<br>PICC Complex, PasayCity                     |
| Email  | <a href="mailto:sltamayo@sec.gov.ph">sltamayo@sec.gov.ph</a><br><a href="mailto:adlanuzajr@sec.gov.ph">adlanuzajr@sec.gov.ph</a><br><a href="mailto:epd@sec.gov.ph">epd@sec.gov.ph</a> |

Issued on 26 October 2018. Pasay City.