



## ANTI-MONEY LAUNDERING DIVISION

### NOTICE

**TO:** SECURITIES BROKERS AND DEALERS, INVESTMENT HOUSES, UNDERWRITERS OF SECURITIES, GOVERNMENT SECURITIES ELIGIBLE DEALERS, INVESTMENT COMPANIES/MUTUAL FUND, INVESTMENT COMPANY ADVISERS, MUTUAL FUND DISTRIBUTORS, REIT FUND MANAGERS, FINANCING COMPANIES AND LENDING COMPANIES

**SUBJECT:** ADVISORY ON DEALING ONLY WITH DESIGNATED NON-FINANCIAL BUSINESSES AND PROFESSIONS REGISTERED WITH THE ANTI-MONEY LAUNDERING COUNCIL (AMLC)

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This is to disseminate to all SEC Covered Persons (CPs) that the AMLC issued an advisory, dated 14 May 2024, to all covered persons dealing with clients who are classified under the sector of **Designated Non-Financial Businesses and Professions (DNFBPs)** to demand presentation of their **Certificate of Registration (COR) or Provisional COR (PCOR) with the AMLC** as part of Customer Due Diligence (CDD) measures under Section 3.5(b)(1) of the 2018 Implementing Rules and Regulations of the AMLA, as amended.

Failure of a DNFBP to supply its P/COR is a ground to conduct **enhanced due diligence (EDD)** measure and/or to re-evaluate the business relationship.

For the updated list of Registered DNFBPs, you may access it through this link: <http://www.amlc.gov.ph/covered-persons/other-covered-persons>

To view the advisory issued by the AMLC, kindly visit their website at <http://www.amlc.gov.ph/>.

For information and strict compliance.