



SECURITIES  
CLEARING CORPORATION  
OF THE PHILIPPINES

# Memo for Brokers

No. 04-0105

**For : All Trading Participants**  
**Date : 17 January 2005**  
**Subject : Anti-Money Laundering Compliance Forms (AML-CF) through SEC-MRD**

Please find attached letter from the Securities and Exchange Commission (SEC) Market Regulation Department (MRD) re submission of the Anti-Money Laundering Compliance Forms (AML-CF) not later than 31 January 2005.

Kindly find attached memo of the SEC-MRD for your reference.

For your information and guidance.

(ORIGINAL SIGNED)

**William L. Ang**

*Chairman and OIC*



Republic of the Philippines  
**SECURITIES AND EXCHANGE COMMISSION**  
SEC Building, EDSA, Greenhills, Mandaluyong City, Metro Manila  
Tel No. 725-3702 / 726-0931 Fax No. 726-1593

**MARKET REGULATION DEPARTMENT**

6 January 2005

**SECURITIES CLEARING CORPORATION  
OF THE PHILIPPINES**  
2/F PSE Plaza, Ayala Avenue  
Makati City

Attention : MR. WILLIAM ANG  
Officer-in-Charge

Gentlemen:

In connection with the Commission's task of ensuring compliance of the anti-money laundering laws by entities under its jurisdiction and in order to assess their level of compliance thereof, the Commission hereby directs covered institutions such as broker dealers, investment houses, and Investment Company Advisers to submit their duly accomplished Anti-Money Laundering Compliance Forms (AML-CF) to the Commission not later than 31 January 2005. A soft copy of the AML-CF may be downloaded from the official website of the Commission at [www.sec.gov.ph](http://www.sec.gov.ph).

The duly accomplished AML-CF shall be a one-time submission. Any changes therein shall be disclosed to the Commission by way of a formal letter within seven (7) days from the effectivity of the said changes. Any company deviating or not complying with its Anti-Money Laundering Manual shall likewise provide a written explanation thereto and/or reasons therefor.

Kindly disseminate the foregoing to your member firms to ensure their prompt compliance thereof. Thank you.

Very truly yours,

**JOSE P. AQUINO**  
Director