



NOTICE

REGISTRATION WITH THE ANTI-MONEY LAUNDERING COUNCIL (AMLC)

TO: ALL SEC SUPERVISED/REGULATED COVERED PERSONS WHO HAVE NOT YET REGISTERED WITH THE AMLC

Please be reminded that the following covered persons (CPs) supervised or regulated by the Securities and Exchange Commission (SEC) are required to register with the AMLC through its Online Registration System:

- 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; 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.

Further, Compliance Officers are required to update their CP's user account information in the AMLC Online Registration System every two (2) years.

For strict compliance.