

GUIDE TO COMPANIES FOR RECORDING RESPONSE ON AML RELATED SROs

Pursuant to SRO 245(I)/2019 dated February 22, 2019, the regulated entities are required to submit 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 regarding updates in list of proscribed persons under the Anti-Terrorism Act, 1997 within three day of receiving the same.

This guidance will help regulated entities file their compliance reports as required under SRO 245(I)/2019 through e-Service module which can be accessed at <https://eservices.secp.gov.pk/eServices>.

Each company receives every AML related order via email from SECP AML Department.

Steps for companies to respond against any SRO:

- 1) After login into eServices, list of companies of that particular user will be loaded. Login into the relevant company [Highlighted in below picture] to submit AML compliance report.

Securities & Exchange Commission of Pakistan

Registered User Company Listing

Welcome Taimoor Malik
You have been Enrolled with us on: [REDACTED]

Company Search

Sr. #	Company Name	Incorporation No.	Login
1	[REDACTED] LIMITED		Login
2	[REDACTED] FOUNDATION		Login
3	[REDACTED] (PVT.) LIMITED	null	Login
4	[REDACTED] (PRIVATE) LIMITED		Login
5	[REDACTED] (PRIVATE) LIMITED	null	Login
6	[REDACTED] (PVT.) LIMITED		Login
7	[REDACTED]		Login
8	[REDACTED]		Login

Companies listed in the table above were found according to given criteria.

List of Processes

Company Name Reservation	Name Reservation and Incorporation (LLP)
Name Reservation and Incorporation (Combined)	LLP Name Reservation

List of Processes Awaiting User Response

Process Name	Company Name	Reference ID
--------------	--------------	--------------

Filing of Form S/6/7 u/s 103 & 104 of Securities Act

Filing of SMD-BO Form-5 Filing of SMD-BO Form-6 Filing of SMD-BO Form-7

List of Processes Under Submission (Form S/6/7 u/s 103 & 104 of Securities Act)

Process Name	Company Name	Reference ID
--------------	--------------	--------------

List of Processes Awaiting User Response (Form S/6/7 u/s 103 & 104 of Securities Act)

Process Name	Company Name	Reference ID
--------------	--------------	--------------

- 2) After login, list of processes will appear. Click the AML link to file your company's response [Highlighted in below picture].

Securities & Exchange Commission of Pakistan

Welcome Taimoor Malik

PROCESS LISTING

List of Available Processes

- Company Name Reservation
- Change of Company Address (different province)
- Filing of Statutory Return
- Miscellaneous
- Inspection
- Form 5 - Petition for Alteration of memorandum
- Filing of Returns (Previously SM&H)
- Filing of Returns (Form-4 SO) u/s 102(3)(i)
- Application for Registration As An Intermediary (individual)
- Form 31 - Form 32 Global Register of Beneficial Ownership
- Change of Company Name
- Application for Conversion of Status (Public to Private to Single Member)
- Form C
- Certified True Copy
- Filing of Returns-M&C
- Appointment/Change of Company Officers
- Filing of Returns - Insurance
- LLP Incorporation
- Application for Registration As An Intermediary (Firm/LLP/Company)
- Filing of Research Reports by Brokerage House
- Change of Company Address
- Change in Company Objects
- Form-38 (Application for obtaining status of inactive company)
- Penalty
- Form 4 - Change in Principal Line of Business
- Insurance Surveyor Licensing
- Periodic Reporting of Redemption and Status of Covenant Compliance
- Application of Change / Rectification of Name (LLP Form II)
- Form 1 (Receipt Of Subscription Money)
- AML

List of Processes Awaiting Response

List of Unavailable Processes

- Company Incorporation
- Issuance of Commencement of Business Certificate
- Form-39 (Application for conversion of status from inactive to active)
- Form A and 29
- Change in Particulars of Persons (Directors/Chief Executives/Secretaries)
- FNC Form VI - Notice by a Foreign Company on
- Licence of Sec42 Companies
- Change of Company Status (Single Member to Private)
- Miscellaneous (Without Payment)
- Foreign Company Incorporation
- Fnc Form III - Registration of Alteration in Documents or Details of a Foreign Company
- Change in Foreign Company Place of Business
- Licence of Sec42 if Entity Already Exists
- Filing of Returns-M&I
- Filing of Statutory Return (Multiple Forms)
- Change of Registered / Principal Office of Foreign Company (in Country of Origin)
- Fnc Form-V Filing Of Accounts And Related Information
- Change in Particulars of Persons (Principal

- 3) When you click the AML link, a list of available SROs will appear. Only those SROs will appear against which the company hasn't responded. Company user can view the SRO file from Attachment link. To submit response, click the "Give Response" link and next screen will appear.

Securities & Exchange Commission of Pakistan

SRO Details

Sr.No	SRO/Letter/Notification Reference No.	Dated	Source/Issued By	Attachment	Give Response
1	SRO_ONE	2019-11-07	NACTA	SRO_ONE	Give Response
2	SRO_TWO	2019-10-07	NACTA	SRO_TWO	Give Response

- 4) Following screen will appear for response filing. Select your relevant sector (i.e. Broker, NBFC, Insurance) from dropdown menu [Highlighted in below picture]. In case of No match or Suspicion found of a proscribed person, check the option “NO”.

Processes List

Submitted Processes

Company List

Online Payment

ADC / ePayment

Update Profile

Reset Pin

Company Information

Name of CompanyAB INTERNATIONAL COMPANY (PVT.) LIMITED
Incorporation Number0050592Submission Date16/07/2019

Form Details

SRO/Letter/Notification Reference No.:SRO_ONE
Dated:11/07/2019
Source/Issued By:NACTA
Sector:Select
Date of Screening Undertaken By the Entity :
True Match or Suspicion Found of a Proscribed/Designated Person :

☐ Yes
☐ No

In case of YES, confirm the desired action along with date:
In case of NO, no further details are required.

Action	Action Date	Status of Action
<input type="checkbox"/> Freeze without delay* the customer's fund or block the transaction, if it is an existing customer the customer's fund;		Select
<input type="checkbox"/> Reject the customer, if the relationship has not commenced;		Select
<input type="checkbox"/> Notify the SECP;		Select
<input type="checkbox"/> Notify the Ministry of Foreign Affairs in case that person is designated under United Nations Security Council Resolutions, and		Select
<input type="checkbox"/> Notify the National Counter Terrorism Authority (NACTA) in case that person is designated under the Anti-Terrorism Act, 1997		Select
<input type="checkbox"/> Lodge a STR with the FMU;		Select

- 5) In case where a suspicion/match is found, the user will then check “Yes” option [Highlighted in above picture], fill the form and submit the data. Only those section will be available for editing which are relevant for particular sector [Highlighted in below picture] as selected in dropdown menu.

[illegible]

- 6) The form can only be submitted if the user enters the correct PIN. After submitting necessary checks and responses, “successful save” message will appear and the SRO will be removed from the list (See Fig. in Step# 03) and an automatic email will be sent to AML department.

The screenshot shows a web form with the following elements:

- Buttons: [Add Row](#), [Remove Row](#)
- Section Header: **Proscribed Persons Identified:**
- Text: **Total Amount Freeze:**
- Form Fields:
 - Remarks: [Text area]
 - Enter User PIN: [Text input]
- Declaration:
 - ☐ I do hereby solemnly, and sincerely declare that the information provided in the form is:
 - i) true and correct to the best of my knowledge, in consonance with the record as maintained by the Company and nothing has been concealed; and;
 - ii) hereby reported after complying with and fulfilling all requirements under the relevant provisions of law, rules, regulations, directives, circulars and notifications whichever is applicable.
- Buttons: [Save](#)
- Footer: Copyrights SECP, All rights reserved 2007.

Note: The system has a timeout deadline of 25 minutes, please arrange your information in advance so that you can fill the relevant information in given time.

-----*****-----