



SECURITIES & EXCHANGE COMMISSION OF PAKISTAN

Anti-Money Laundering Department

User-Guide for Filing Online Annual AML/CFT Risk Assessment by Regulated Entities

1. Enter User Id/Password.

Please enter User Id/ Password

The screenshot shows the SEC Pakistan eServices portal. At the top, there is a banner with a message from the SEC regarding the coronavirus pandemic. Below the banner, there are navigation menus for 'SEC Guidelines' and 'eServices'. The 'eServices' menu includes options like 'New User Registration Flyer (New)', 'ADC Payment Guide (New)', and 'Online Payment Guide'. A central text block states: "eServices is integrated with Federal Board of Revenue (FBR), Employees Old Age Benefits Institution (EOBI), Punjab Business Registration Portal and Sindh Business Registration Portal." Below this, it mentions that users can register with FBR (NTN registration), EOBI, Punjab Employee Social Security Institution (PESSI), or Sindh Employee Social Security Institution (SESSI). A 'Login' button is visible in the top right corner. A red box highlights the login form fields: 'CNIC/NICOP/Passport#', 'Password', and a 'Login' button. A blue callout box with the text 'Please enter User Id/ Password' points to these fields. Below the login form, there is a 'Queries/Complaints' section with a toll-free number '0800-88008' and a website URL 'https://sdms.secp.gov.pk'. A 'Please note' section provides instructions on browser usage and special characters.

2. Click Login to enter Company account.

Click Login against the relevant company

The screenshot shows the 'Registered User Company Listing' page. It features a 'Company Search' table with columns for 'Sr. #', 'Company Name', and 'Incorporation No.'. A 'Login' button is located in the rightmost column of the table. A blue callout box with the text 'Click Login against the relevant company' points to this button. The page also includes a 'Welcome' message and a 'You have been Enrolled with us on:' section. A sidebar on the left contains icons for 'Processes List', 'Submitted Processes', 'Company List', and 'Online'.

3. Click AML/CFT Reporting by Regulated Entities Process Link.

Click AML/CFT Reporting by Regulated Entities

PROCESS LISTING

List of Available Processes

- Company Name Reservation
- Change of Company Address (different province)
- Filing of Statutory Return
- Miscellaneous
- Inspection
- Form 4 - Change in Principal Line of Business
- Insurance Surveyor Licensing
- Filing of Returns (Form-4 BO) u/s 102(3)1
- Application for Registration As An Intermediary (Firm/LLP/Company)
- Filing of Research Reports by Brokerage House
- AML/CFT Quarterly Survey
- Change of Company Name
- Application for Conversion of Status (Public to Private to Single Member)
- Form C
- Certified True Copy
- Filing of Statutory Return (Multiple Forms)
- Form 5 - Petition for Alteration of memorandum
- Filing of Returns - Insurance
- Notice of Induction and Cessation of Partners and Designated Partners (LLP Form V)
- Form 1 (Receipt Of Subscription Money)
- AML
- Change of Company Address
- Change in Company Objects
- Form-38 (Application for obtaining status of inactive company)
- Penalty
- Filing of Returns-NBFC
- Appointment/Change of Company Officers
- Periodic Reporting of Redemption and Status of Covenant Compliance
- Application for Registration As An Intermediary (Individual)
- Form 31 - Form 32 Global Register of Beneficial Ownership
- AML/CFT Reporting by Regulated Entities

4. Click Fill Customer Risk Type.

PROCESS DOCUMENT LISTING - ANNEXURES LIST

List of Documents

Document	Information to be Submitted
• Fill Customer Risk Type	Annual
• Fill Politically Exposed Persons/High Net Worth Individuals	Annual
• Fill Products and Services	Annual
• Fill Geographic Locations	Annual
• Fill Customer Risk Likelihood	Annual
• Fill Product Risk Likelihood	Annual
• Fill Delivery Channels Risk Likelihood	Annual
• Fill Overall Entity Level AML/CFT Risk Assessment	Annual
• Fill AML CFT Compliance Assessment Checklist	Annual

5. Fill the required information and press continue.

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Company Information

Name of Company

Incorporation Number Return Period

AML/CFT Risk Assessment

*Date of Risk Assessment *Reviewer

*Assessment Period

*Name of Financial Institution

*Type of Financial Institution *Compliance Officer

*Total Assets/Asset Size (mill.) *No of Employees

Legal Persons

Customer Type	Number of Customers/Policyholders	Total Amount on Deposit/Value of Trade (Buy and Sale)/Gross Premium	Internal Risk Rating by RP		
			Total Number Classified as Low Risk	Total Number Classified as Medium Risk	Total Number Classified as High Risk
Non-Resident Legal Persons					
Foreign Company					
Resident Legal Persons					
Listed Companies					
Private Companies					
Limited Liability Partnerships					
Trusts/WAQF					
Cooperatives					
NGOs					
Mutual Funds					
Exchange Companies					
Gov Contractors					
Other(as may be defined by RP)					
Accountants/Auditors/Tax Consultants					
Lawyers					
Real Estate Agents					
Gems/Jewellery Dealers					
Total Legal Persons					
Total Exposure					

Customer Type	Number of Customers/Policyholders	Total Amount on Deposit/Value of Trade (Buy and Sale)/Gross Premium	Internal Risk Rating by RP		
			Total Number Classified as Low Risk	Total Number Classified as Medium Risk	Total Number Classified as High Risk
Natural Persons					
Resident					
Non-Resident					
Total Natural Persons					
Legal Persons					
Resident					
Non-Resident					
Total Legal Persons					
Total Exposure					

Fill the required information
and click continue

Continue

6. Just like the Sr#05, Fill all the remaining annexures and press continue button

Document	Information to be Submitted	
• Update Customer Risk Type	Annual	View
• Update Politically Exposed Persons/High Net Worth Individuals	Annual	View Delete
• Update Products and Services	Annual	View Delete
• Update Geographic Locations	Annual	View Delete
• Update Customer Risk Likelihood	Annual	View Delete
• Update Product Risk Likelihood	Annual	View Delete
• Update Delivery Channels Risk Likelihood	Annual	View Delete
• Update Overall Entity Level AML/CFT Risk Assessment	Annual	View Delete
• Fill AML CFT Compliance Assessment Checklist	Annual	

7. In the last, Click Fill AML CFT Compliance Assessment Checklist.

Document	Information to be Submitted	
• Update Customer Risk Type	Annual	View
• Update Politically Exposed Persons/High Net Worth Individuals	Annual	View Delete
• Update Products and Services	Annual	View Delete
• Update Geographic Locations	Annual	View Delete
• Update Customer Risk Likelihood	Annual	View Delete
• Update Product Risk Likelihood	Annual	View Delete
• Update Delivery Channels Risk Likelihood	Annual	View Delete
• Update Overall Entity Level AML/CFT Risk Assessment	Annual	View Delete
• Fill AML CFT Compliance Assessment Checklist	Annual	

8. Upload data through excel.

SECP AML/CFT Compliance Assessment Checklist

Company Name
Company Incorporation No.

Upload ID	Sub Company	Submission Status	Submission Date	Total Records	Export To Excel	Submit To SECP	Delete
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Download the excel template, fill the required information and click Upload data through excel

Upload data through Excel Back to Main Screen

Submit
Please enter your PIN number for Submission.

Lost Submission Information

Filing Instructions

- For data uploading through excel, please use the provided sheet with exact format
 - [Download Excel template for uploading, Compliance Assessment Checklist \(xlsx format\)](#)

9. Upload Excel Sheet.

EXCEL FILE UPLOAD SCREEN

Excel File Upload Screen

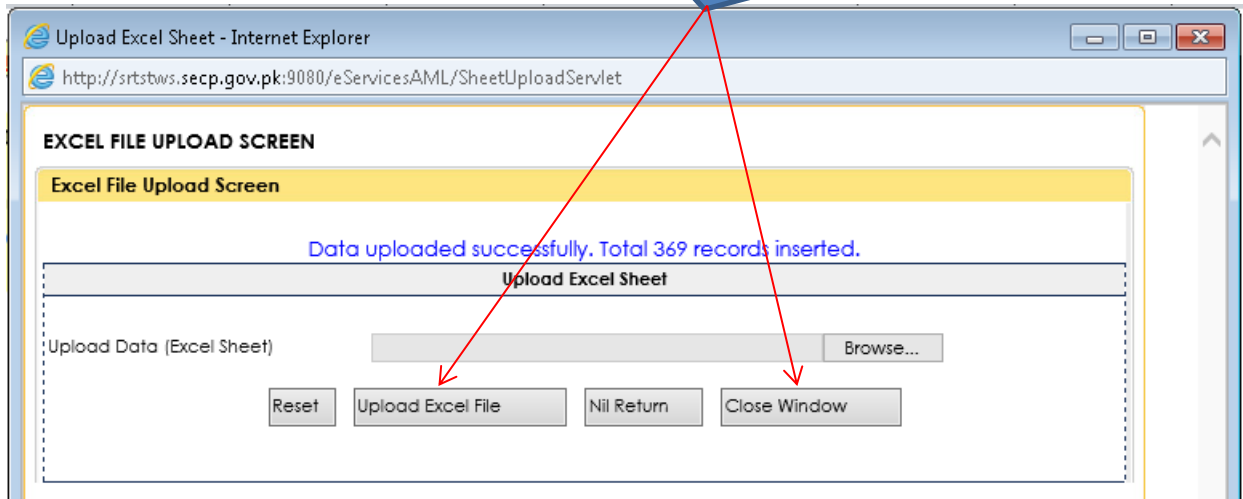
Upload Excel Sheet

Upload Data (Excel Sheet) Browse...

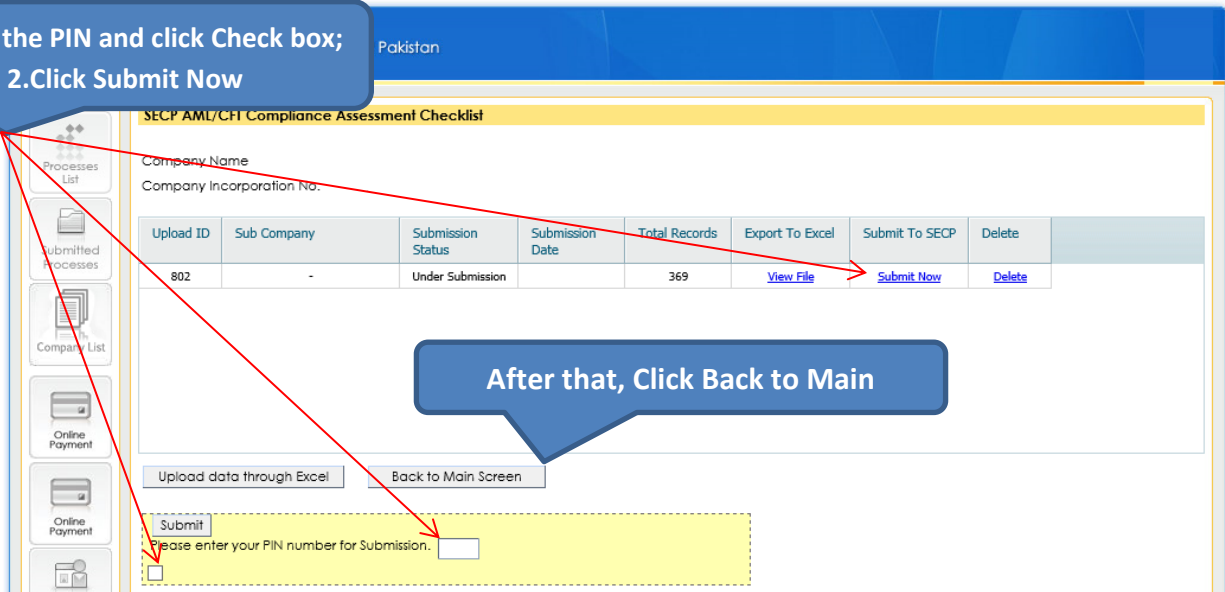
Reset Upload Excel File Nil Return Close Window

Click Browse, attach the Assessment Checklist

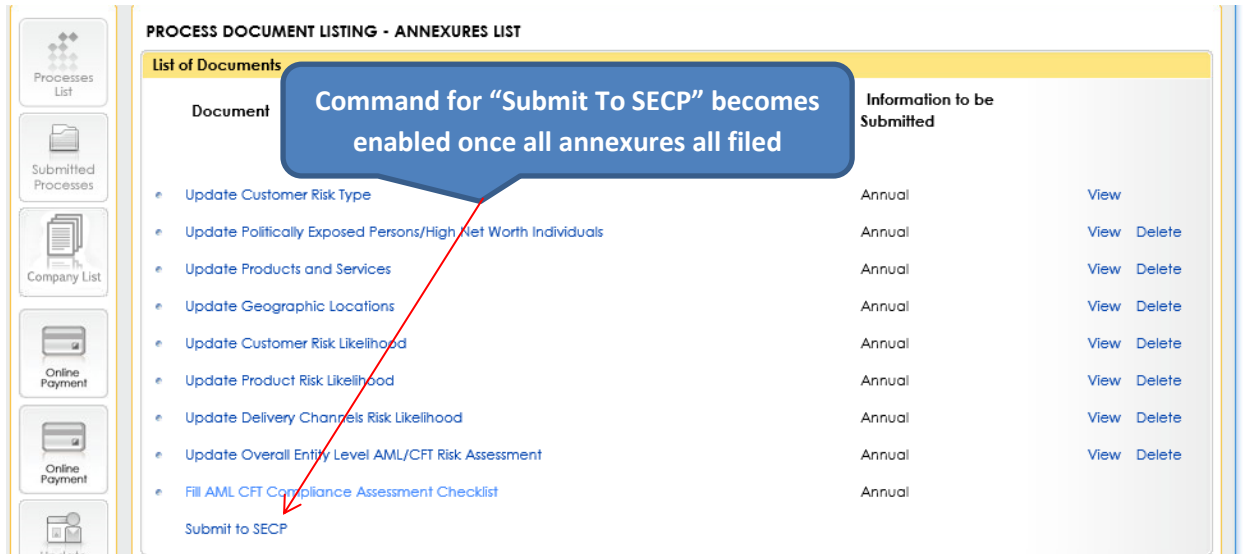
Click Upload Excel File, upon successful Submission then click Close Window



1. Enter the PIN and click Check box;
2. Click Submit Now



After that, Click Back to Main



Command for "Submit To SECP" becomes enabled once all annexures all filed

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PROCESS DOCUMENT LIST

Document List For Submission

Company Kind:
Company Name:
Company Authorised Signatory:

Sr./	Document Name	PIN Required	PIN Applied
1	Customer Risk Type	CFO/ComplianceOfficer	
2	Politically Exposed Persons/High Net Wort...	CFO/ComplianceOfficer	
3	Products and Services	CFO/ComplianceOfficer	
4	Wire Transfer		
5	Geographic Locations	CFO/ComplianceOfficer	
6	Customer Risk Likelihood	CFO/ComplianceOfficer	
7	Product Risk Likelihood	CFO/ComplianceOfficer	

Enter PIN: Step - 1 [Apply User Pin] Step - 2 [Submit Process to SECP]

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Welcome

PROCESS LISTING

List of Available Processes

- Company Name Reservation
- Change of Company Address (different province)
- Filing of Statutory Return
- Miscellaneous
- Inspection
- Form 4 - Change in Principal Line of Business
- Insurance Surveyor Licensing
- Annual Return by Listed Companies SMD-BO-246
- Filing of Form 4 (BO) under u/s 102 of Securities Act, 2015
- Application for Registration As An Intermediary (Firm/LLP/Company)
- Filing of Research Reports by Brokerage House
- AML/CFT Quarterly Survey
- Change of Company Name
- Application for Conversion of Status (Public to Private to Single Member)
- Form C
- Certified True Copy
- Filing of Statutory Return (Multiple Forms)
- Form 5 - Petition for Alteration of memorandum
- Filing of Returns-FRS(Previously SMBH)
- Periodic Reporting of Redemption and Status of Covenant Compliance
- Notice of Induction and Cessation of Partners and Designated Partners(LLPFormV)
- Form 1 (Receipt Of Subscription Money)
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