



SECURITIES & EXCHANGE COMMISSION OF PAKISTAN

Anti-Money Laundering Department

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# Step by Step User Guide for Filing AML Quarterly Survey

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# 1. Enter your User Id/Password.

Please enter User ID/ Password here

The screenshot displays the SEC Pakistan eServices portal. At the top, there is a blue header with the SEC logo and the text "Securities & Exchange Commission of Pakistan". Below the header, a yellow banner contains a message: "Dear Citizens, As precautionary measure to prevent the coronavirus pandemic, SECP has temporary suspended public dealing at its Company Registration Offices (CROs). Please, use our online services file documents/ correspondence, where our team are available for quick disposal. For any query and complaint, please contact us through our Service Desk: <https://sdms.secp.gov.pk> stay home, stay safe."

The main content area is divided into three columns:

- SEC Guidelines:** A list of links including "User Guides", "Incorporation of a Company (Flyer)", "Services of Registered Intermediaries (Brochure)", "User Registration", "Company Name Reservation", "Company Incorporation", "Change of Company Name", "Change of Company Address", "Change in Company Objects", "Change of Company Status", "Filing of Statutory Returns", "Related Links", "SECP Home", "Corporate Laws", and "Guide Series".
- eServices:** A list of links including "New User Registration Flyer(New)", "ADC Payment Guide (New)", "Online Payment Guide", "Online Fund Transfer Guide", "eServices Home", "eServices Helpline", and "eServices FAQs". Below this list, there is a red text box stating: "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 that, there is a paragraph: "Now, you may also register your company with FBR (NTN registration), EOBI, Punjab Employee Social Security Institution (PESSI) / Sindh Employee Social Security Institution (SESSI), Labor Department and Excise and Taxation Department of the province of Punjab and Sindh through eService by providing additional information while submitting your incorporation application. \*Automatic NTN generation facility is available for companies incorporated after March 14, 2018." At the bottom of this column is a section for "eServices Requirements".
- Login Section:** A "LOGIN" button with a key icon. Below it are two input fields: "CNIC/NICOP/Passport#" and "Password". A "Login" button is positioned below the fields. Below the login button are links for "Signup For National", "Signup For Foreign/POC Holders", and "Forgot Login Information". Below these links is a section for "Queries/Complaints, Please Contact" with a "TOLL FREE : 0800-88008" and a "VISIT: <https://sdms.secp.gov.pk>" link. Below this is a "Please note:" section with instructions: "To proceed further, you may use Internet Explorer, Microsoft Edge, Google Chrome and Mozilla Firefox for company incorporation process" and "Copy/Paste and use of special character is not allowed".

At the bottom left, there is a "PAY ONLINE" button with the text "Easy online payment. We strive". At the bottom right, there is an "ABOUT eSERVICES" button with a key icon.

## 2. Click Login to enter your Company account.

Click Login to your respective company

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**Registered User Company Listing**

Welcome  
You have been Enrolled with us on:

**Company Search**

Sr. #	Company Name	Incorporation No.	Login
			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

## 3. Click AML/CFT Survey Process Link.

Click AML/CFT Quarterly Survey here

### PROCESS LISTING

#### List of Available Processes

- Company Name Reservation
- Change of Company Address (different province)
- Form C
- Certified True Copy
- Filing of Statutory Return (Multiple Forms)
- Form 5 - Petition for Alteration of memorandum
- Filing of Returns-FRS (SMBH)
- Periodic Reporting of Redemption and Status of Covenant Compliance
- 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-38 (Application for obtaining status of inactive company)
- Penalty
- Filing of Returns-NBFC
- Appointment/Change of Company Officers
- Filing of Returns - Insurance
- Filing of Form 4 (BO) under u/s 102 of Securities Act, 2015
- AML
- Change of Company Address
- Filing of Statutory Return
- Miscellaneous
- Inspection
- Form 4 - Change in Principal Line of Business
- Insurance Surveyor Licensing
- Reporting of Features of Debt Instrument
- Form 1 (Receipt Of Subscription Money)
- AML/CFT Quarterly Survey

#### 4. Enter the mandatory information with \* to continue.

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**Company Information**

Name of Company

Incorporation Number  Return Period

**Compliance Assessment Checklist**

a) Extracts of the discussion / deliberations on ML/TF risks and issues, by board of directors and/or management committees: \*

b) Number of new customer accounts opened during the period according to risk categorizations i.e. high, medium and low and their respective investment amount: \*

Risk Categories	No. of New Customer Accounts	Investment Amount (PKRs.)
High	<input style="width: 80%;" type="text"/>	<input style="width: 80%;" type="text"/>
Medium	<input style="width: 80%;" type="text"/>	<input style="width: 80%;" type="text"/>
Low	<input style="width: 80%;" type="text"/>	<input style="width: 80%;" type="text"/>

c) Total number of foreign and domestic politically exposed persons (PEP) and their total value of investments/deposits/financing etc. during the period: \*

Total number of foreign and domestic politically exposed persons (PEP)	Total value of investments/deposits/financing
<input style="width: 90%;" type="text"/>	<input style="width: 90%;" type="text"/>

d. Number of accounts/transactions closed and rejected for non-compliance of Customer Due Diligence (CDD) process and due to identification in proscribed person/Targeted Financial Sanction (TFS): \*

h) Details of trainings conducted on AML/CFT for new and existing staff including number of participants and topics covered: \*

i) Number of customers transferred from one risk category to another and their amount of investments: \*

Risk Category	Number of Customers transferred	Amount of Investment (PKRs.)
Low to Medium	<input style="width: 80%;" type="text"/>	<input style="width: 80%;" type="text"/>
Medium to High	<input style="width: 80%;" type="text"/>	<input style="width: 80%;" type="text"/>
High to Medium	<input style="width: 80%;" type="text"/>	<input style="width: 80%;" type="text"/>
Medium to Low	<input style="width: 80%;" type="text"/>	<input style="width: 80%;" type="text"/>

j) Confirmation of having an automatic Transaction Monitoring System (TMS) or otherwise? If yes, the name of TMS used: \*

k) Do you have automatic name screening solution? If yes, then what is the name of screening solution? If not, what are your future plans w.r.t. to automation: \*

l) Upgradation in AML CFT policies/manuals during the reporting period: \*

m) How much human resource is deployed for AML CFT and Compliance Function? Details of increase in number of employees during the period: \*

## 5. Click “Fill AML Survey Attachment” Link

The screenshot shows the SECPS (Securities & Exchange Commission of Pakistan) website interface. The main content area is titled "PROCESS DOCUMENT LISTING - FORMS LIST" and contains a table with the following data:

List of Documents	
• <a href="#">Update AML Survey</a>	<a href="#">View</a>
• <a href="#">Fill AML Survey Attachment</a>	<input type="checkbox"/>

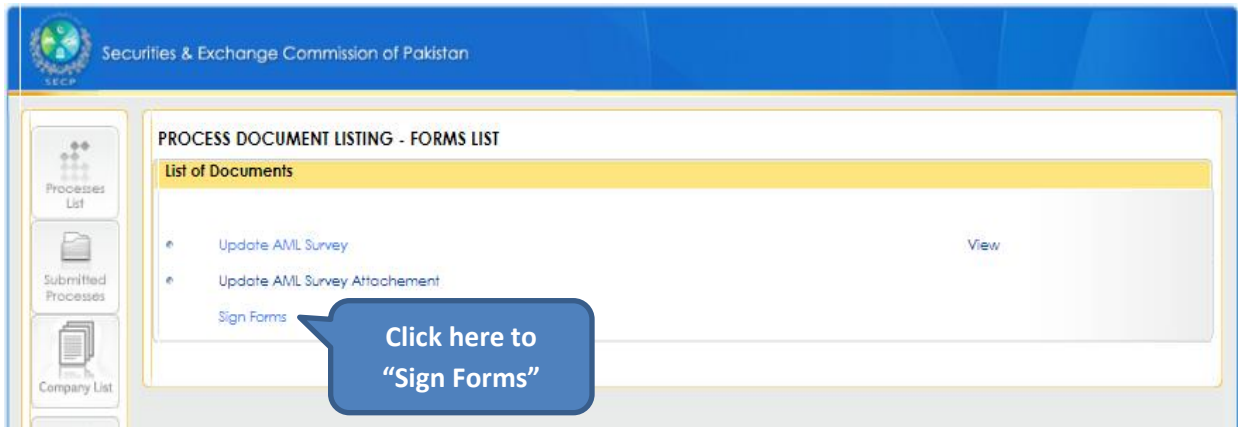
A blue callout box with white text points to the "Fill AML Survey Attachment" link, stating: "Click here to 'Fill AML Survey Attachment'".

## 6. Attach if there is any attachment and click Save Form.

The screenshot shows the "Attachment Form - AML Survey" page. It includes the following elements:

- Attachment Form - AML Survey**
- Only Pdf files are allowed for attachment**
- A text area containing: "1. Copies of reports/mechanism to identify unusual transactions warranting further review"
- Buttons: **Attach**, **Delete**, **View**
- A blue callout box pointing to the **Save Form** button, stating: "Attach the required file and click 'Save Form' here"
- Instruction to Upload Attachment:**
- Allowed Attachment Size Limit:** Maximum file attachment size is 2MB (2 Megabytes).
- File Name:** Please limit file names to 50 characters and do not use special characters (example: &,-,\*,%/,#) in attachment names). An underscore (For example: my\_Attached\_File.pdf) may be used to separate a file name.
- Allowed File Type:** pdf

7. After filling the Survey information and saving attachments, it will enable the Link for “Sign Form”



8. Enter the PIN and Click Submit Process to SECP.

