



PAKISTAN  
MERCANTILE  
EXCHANGE

PMEX

Circular No.: PMEX/MKT, BD&CSS/2018/33

October 04, 2018

**Information and Details relating to Anti Money Laundering and Countering Financing of Terrorism Risk Based Approach**

This is in continuation to Circulars No. PMEX/MKT, BD&CSS/2018/26 dated August 24, 2018 and PMEX/MKT, BD&CSS/2018/31 dated September 19, 2018, whereby the Exchange informed all brokers regarding promulgation of the Securities and Exchange Commission of Pakistan (Anti Money Laundering and Countering Financing of Terrorism) Regulations, 2018 ("the Regulations") and the Guidelines issued by the Securities and Exchange Commission of Pakistan (SECP) to supplement the Regulations.

All brokers are hereby requested to provide the following information and details as required by the SECP:

1. Copy of updated Anti Money Laundering (AML) and Know Your Customer (KYC) policy duly approved by its Board of Directors;
2. Report on entity level risk assessment as required by the Regulations as per the templates provided in the Guidelines;
3. Report on control assessment as required by the Regulations as per the templates provided in the Guidelines.

All brokers are advised to submit the aforementioned information to the Exchange latest by **October 22, 2018**. Please note that report on entity level risk assessment and control assessment may also be submitted in excel format.

For further information and assistance, please feel free to contact our Customer Support Services by phone on 021-111-623-623 and 0300-8213-324 or by email at [support@pmex.com.pk](mailto:support@pmex.com.pk).

Best regards,

Syed Mumtaz Ali  
Chief Regulatory Officer

**Head Office:**  
3B, 3rd Floor  
Bahria Complex IV  
Ch. Khalique-uz-Zaman Road  
Gizri, Karachi – 75600, Pakistan.

**Islamabad Office:**  
Office No. G-9 (B)  
ISE Towers, Jinnah Avenue  
Blue Area  
Islamabad, Pakistan.

**Lahore Office:**  
Office # 01, P2 floor  
Ali Tower, 105-B2  
M.M Alam Road, Gulberg 3  
Lahore, Pakistan.

UAN: +9221 111-623-623  
Fax: +9221 35155-022  
Islamabad: +92-311 2796059  
Lahore: +92-311 2796018  
Email: [info@pmex.com.pk](mailto:info@pmex.com.pk)