

(Unofficial Translation)

Lao People's Democratic Republic
Peace Independence Democracy Unity Prosperity

Bank of the Lao PDR
Securities and Exchange Commission Office

No. 0042/SECO
Vientiane Capital, dated 19 July 2019

Notification

To: Director General, Securities Company...

Subject: Supply your company information on the implementation of the work of Anti-Money Laundering and Couter-Financing of Tourism (AML/CFT).

- According to the Law on Anti-Money Laundering and Couter-Financing of Tourism, No. 50/PM, date 21 July 2014;
- According to the guidelines to the National Risk Assessment Result on Anti-Money Laundering and Couter-Financing of Tourism, No. 191/PMO, date 5 February 2019;

Securities and Exchange Commission Office has the honour to inform you to supply your company information on the implementation of the work of Anti-Money Laundering and Couter-Financing of Tourism (AML/CFT) as follows:

1. Annual Report on the implementation in accordance with Article 18-32 of the Law on Anti-Money Laundering and Couter-Financing of Tourism (AML/CFT);
2. Risk Assessment of their own Institution in accordance with Article 20 of the Law on Anti-Money Laundering and Couter-Financing of Tourism (AML/CFT), information on risk assessment to your customers, products, service channel, office location, service users and use of technology in services. In addition, these include the provision of policies, control measures and procedures of performing which help reduce risk;

3. For the securities company bank that has already assessed their own but not completed based on the information attached, please copy the incomplete file and submit to AMLIO according to the date and time (Details of documents are attached)

Remark: PLS supply information to Anti-Money Laundering Intelligence Office within 02 weeks from the date of issuing the Notification.

Therefore, we would like to inform you to acknowledge and implement this notification.

**Director General
Securities and Exchange Commission Office
(Seal and Signature)**

Saisamone Chanthachak