



"ENSURING INVESTOR PROTECTION"

# SECURITIES AND EXCHANGE COMMISSION

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OUR REF: SEC/A&RMD/AMLROs WORKSHOP/2/18

6<sup>th</sup> February, 2018

**TO: ALL BROKER DEALERS, INVESTMENT ADVISORS  
AND FUND MANAGERS**

Dear Sir/ Madam,

**INVITATION TO A WORKSHOP ON DRAFT SEC/FIC AML/CFT GUIDELINES AND  
DRAFT AML/CFT ADMINISTRATIVE SANCTIONS**

Section 138 of the Securities Industry Act, 2016,(Act 929) empowers the Commission to ensure that all its regulated entities operate in a manner so as to comply with the provisions of Anti-Money Laundering and Countering the Financing of Terrorism (AML/CFT).

Following our letter to you to submit comments on the above mentioned documents, we wish to invite you to a Workshop to discuss your comments and subsequently incorporate them into the final documents.

Please, find below the details of the Workshop:

Date: Tuesday 13<sup>th</sup> February, 2018

Venue: Science and Technology Policy Research Institute (STEPRI)

Time: 9:00am-12noon

Yours faithfully,

Emmanuel Mensah Appiah

Head- Audit & Risk Management Department

For Director General

Cc: Director-General  
Chief Executive Officer- FIC  
Deputy Director-General-Finance  
Head- Legal & Enforcement  
Head of AML/CFT Unit- BOG  
Head of AML/CFT Unit- NIC  
The President- GSIA  
Mrs. E. Mate-Kole- GSE  
Head-Human Resource & Administration

**Note: All CMOs are encouraged to send representatives to attend this Workshop so as to comply with AML/CFT legislations.**

