



# Financial Intelligence Authority

*Safe Money for a Secure Market*

## GUIDELINES

### TO ALL ACCOUNTABLE PERSONS AND SUPERVISORY BODIES ON REGISTRATION OF AN ACCOUNTABLE PERSON

UNDER THE ANTI-MONEY LAUNDERING ACT, 2013  
(as amended)

JULY 2020

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## **1. INTRODUCTION**

Accountable persons are required under the Anti-Money Laundering Act, 2013 (as amended) to register with the Financial Intelligence Authority (FIA) among other obligations.

There are two modes of Registration with the FIA; Manual registration and System Registration. Manual registration entails submission of hardcopy registration documents to the FIA whereas System Registration entails the use of the goAML system to register with the FIA.

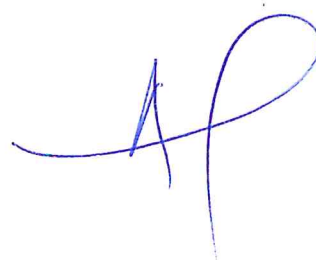
## **2. LEGAL BASIS**

This Guideline is issued by the Financial Intelligence Authority (FIA) pursuant to Section 20 (d) of the Anti-Money Laundering Act, 2013; S.21 (pb) of the Anti-Money Laundering Act, 2013 (as amended); and Part II of the Anti-Money Laundering Regulations, 2015 to all Supervisory bodies and Accountable persons as stipulated in Section 21(A) of the Anti-Money Laundering Act, 2013 (as amended) and the 2<sup>nd</sup> Schedule to the Anti-Money Laundering Act, 2013 respectively.

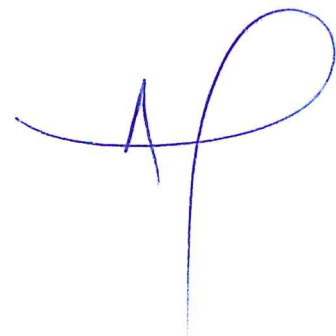
Section 21 (pb) of the Anti-Money Laundering Act, 2013 (as amended) provides for the registration of all accountable persons as listed in the 2<sup>nd</sup> Schedule to the Anti-Money Laundering Act, 2013.

As a result, the onus lies with the Financial Intelligence Authority to issue guidelines to all accountable persons, competent authorities, and other persons regarding compliance with the provisions of the Act as stipulated in Section 20 (d) of the Anti-Money Laundering Act, 2013.

The Accountable Persons as listed in the second schedule to the Anti-Money Laundering Act, 2013 are;



1. Advocates as defined in the Advocates Act, Notaries licensed and certified under the Notaries Public Act, Accountants as defined in the Accountants Act, and other independent legal professionals and accountants<sup>1</sup>.
2. A board of executors or a trust company or any other person that invests, keeps in safe custody, controls, or administers trust property within the meaning of the Trustees Act.
3. Casinos (which also includes internet casinos).
4. Real estate agents.
5. Dealers in precious metals and gems.
6. Trust and company service providers not covered elsewhere in this Schedule which as a business provide any of the following services to third parties— (a) acting as a formation agent of legal persons;  
(b) acting as (or arranging for another person to act as) a director or secretary of a company, a partner of a partnership, or a similar position in relation to other legal persons;  
(c) providing a registered office, business address or accommodation, correspondence or administrative address for a company, a partnership or any other legal person or arrangement;  
(d) acting as (or arranging for another person to act as) a trustee of an express trust;  
(e) acting as (or arranging for another person to act as) a nominee shareholder for another person.
7. A financial institution as defined in the Financial Institutions Act.
8. A broker, dealer or investment advisor licensed under the Capital Markets Authority Act.
9. An insurance company licensed under the Insurance Act.
10. Registrars of Companies.
11. Registrars of Land.
12. The Uganda Investment Authority.



13. All licensing authorities in Uganda.

14. Any other person who conducts the business of:

(a) acceptance of deposits and other repayable funds from the public including private banking;

(b) lending including, inter alia, consumer credit, mortgage credit, factoring with or without recourse, and finance of commercial transactions;

(c) financial leasing (not including financial leasing arrangements in relation to consumer products);

(d) the transfer of money or value<sup>2</sup>;

(e) issuing and managing means of payment e.g., credit and debit cards, cheques, traveler's checks, money orders, bankers' drafts, electronic money; (f)

financial guarantees and commitments; (g) trading in:

(i) money market instruments (cheques, bills, CDs, derivatives, etc.),

(ii) foreign exchange, exchange, interest rate and index instruments,

(iii) transferable securities,

(iv) commodity futures trading;

(h) participation in securities issues and provision of financial services related to such issues;

(i) individual and collective portfolio management;

(j) safekeeping and administration of cash or liquid securities on behalf of other persons;

(k) otherwise investing, administering or managing funds or money on behalf of other persons;

(l) underwriting and placement of life insurance and other investment related insurance , including non-life insurance business<sup>3</sup>; (m) money and currency changing.

15. Non-governmental organizations, churches and other charitable organizations.



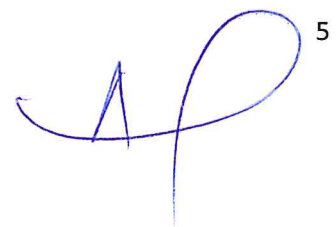


### 3. REGISTRATION PROCEDURE

The Financial Intelligence Authority hereby guides as follows;

#### **A) MANUAL REGISTRATION PROCESS**

1. Every accountable person shall register with the FIA pursuant to Section 21 (pb) of the Act (as amended) and Regulation 4 (1) of the AML Regulations 2015 which provides for registration within one year from the commencement of the Anti-Money Laundering Regulations, 2015 or such other period as the Authority may specify.
2. An accountable person shall apply for registration using Form 1 in the Schedule to the Anti-Money Laundering Act, 2013. It should be noted that;
  - PART I of Form 1 should be filled with Particulars of the accountable person in case of an Individual. Accountants and Lawyers should attach copies of their valid practicing certificates.
  - PART II of Form 1 should be filled with Particulars of the accountable person in case of legal entity/ corporate. The proof of registration or incorporation of the accountable person should be attached.
3. An accountable person shall, for purposes of registration, provide the following details to the Authority—
  - (a) the name of the accountable person;
  - (b) the physical, postal and email address of the accountable person;
  - (c) the status and proof of registration or incorporation of the accountable person, where the accountable person is not an individual.
4. An Accountable person shall appoint a Money Laundering Control Officer (MLCO), pursuant to Regulation 6(1) of the AML Regulations 2015. The MLCO should be an officer at senior management level and will be the contact person for the Accountable Person with the FIA. The accountable persons should notify the FIA of the appointment of the MLCO using Form 3.
5. An accountable person shall within fifteen days after the change in the particulars, use Form 2 - Notification of Change of Registered Particulars of



5

Accountable Persons, to notify the FIA of any changes in the particulars of an accountable person contained in the register.

6. It should be noted that the Forms 1, 2 and 3 above can be accessed on the FIA website [www.fia.go.ug](http://www.fia.go.ug) by going to Resources – Reporting – Registration. For more information contact compliance on Tel; 0417892613 or [compliance@fia.go.ug](mailto:compliance@fia.go.ug)
7. In addition to the above, the forms should be filled in, signed and stamped. They can be scanned and sent via email to [compliance@fia.go.ug](mailto:compliance@fia.go.ug) or delivered in hard copies at our offices located at Rwenzori Towers, 4th Floor, Wing B, Nakasero, Kampala, Uganda.
8. Verification of the documents submitted shall be carried out and once the FIA is satisfied that all requirements have been met, then it shall process a Certificate of Registration.
9. The Accountable Person shall then be contacted once the Certificate of Registration is ready. This is usually done 2 weeks from date of submission of the documents to the FIA.
10. Consequently, the FIA shall establish and maintain a register of accountable persons.
11. The register shall be kept in an electronic form or some other appropriate form determined by the Financial Intelligence Authority Board.
12. The Authority shall record in the register details of all accountable persons registered by the Authority.
13. The Authority shall make the register available to the public and shall post the list of accountable persons on the Authority's website - [www.fia.go.ug](http://www.fia.go.ug)



6

## **B) GoAML REGISTRATION PROCESS.**

### **1. Existing Registrations (already registered with the FIA)**

- All institutions registered on goAML have an entity registration identity, also referred to as an "Org ID".
- To add your institution to the new goAML system please follow the steps:

**Step 1:** Access the goAML website by clicking on this link:

<https://goaml.fia.go.ug/goAMLTST/Home>

**Step 2:** Click on "Register as a person" to commence the updating of registration related information.

Note:

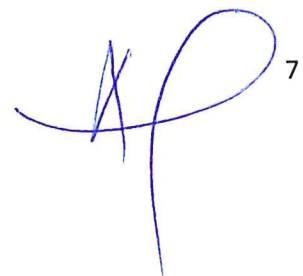
- a) Existing registrants should not click on "Register as an organisation" as this will create a duplicate registration which will be rejected by the FIA.
- b) Ensure that the first person using the Org ID No, as provided by the FIA, on the system is the appointed Compliance Officer for your entity.

**Step 3:** Insert the Org ID and complete the registration form and then add the relevant attachments (a copy of the National ID / Passport document and authorization letter) to the profile, and only then "click submit" to the FIA for approval.

Note: The authorization letter must contain the details of the user, such as user name and surname, National ID / Passport number, occupation of the user and the role of the user to be allocated on the system.

**Step 4:** Upon receiving an email from the FIA confirming successful account registration, the user then logs onto the registration platform, using the Org ID and approved user credentials, to update and verify the institution's details, by making Changes where necessary.

Note: The mandatory details such as Email, Name, Trade as Name, Incorp. / Reg Number, Telephone and address details either must be provided or updated to ensure successful submission of all reports to the FIA.



7



**Step 5:** Once confirmation has been sent by the FIA confirming the successful updating of the institutions details (account registration), the registration is complete if no further users need be added, and the User is now able to file reports with the FIA.

Note:

- a) If the entity requires the registration of further delegated users, then the Admin User must communicate the Org ID to these delegated users (including the Money Laundering Control Officers (MLCOs), so they can commence their user registration as an MLCO of the entity.
- b) Kindly now refer to the instructions in section 4 below on how to add delegated users including MLCOs.
- If you have not received an Org ID No. from the FIA, kindly contact the FIA via email on [goamlhelpdesk@fia.go.ug](mailto:goamlhelpdesk@fia.go.ug) to obtain your Org ID No.
- DO NOT register as a new organization.

## **2. New registrations not registered with the FIA**

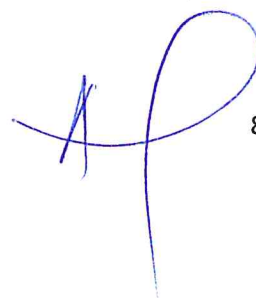
- If you have not previously registered with the FIA, kindly follow the steps below to register:

**Step 1:** Access the new platform on the FIA website using the link

<https://goaml.fia.go.ug/goAMLTST/Home> and then click on “register as an organization” to register your entity.

**Step 2:** Ensure that the first person to register is the Admin User.

**Step 3:** Complete all necessary fields on the system (both for the organization and user) and attach a copy of the organization's Certificate of Incorporation, a National ID / passport of the Admin User and an authorization letter from the entity when registering. The authorization letter must contain the user name and surname, National ID / Passport number, occupation of the user and the role of the user to be allocated on the system.



8



**Step 4:** Once the registration form has been submitted, a registration reference number will be provided. The reference number is used for any registration related enquiries.

**Step 5:** The Admin User will receive an email from the FIA confirming the approval or rejection of the registration. Once the registration has been approved, the Admin User is required to communicate the Org ID No to further delegated users (if any) within their institution who are permitted to use the system, where applicable. These users include MLCOs.

Note:

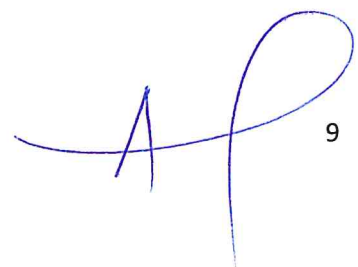
- a) All delegated users, including MLCOs must also register as users on the system by clicking on "Register as a person" and inserting the Org ID of their entity, to add themselves as a user of their institution.
  - b) All delegated users, including the MLCO must also attach an authorization letter explaining their user details, such as user name and surname, National ID / Passport number, occupation of the user, and the type of MLCO user role to be allocated on the system.
  - c) Kindly refer to the instructions in 4 below to add MLCOs.
- Once the FIA has reviewed and approved the user details of the User, an email will be sent by the FIA confirming successful account registration.

### **3. Updating of Entity Details**

- Once confirmation of registration has been received from the FIA, the Admin User must logon with his/her user login credentials and update the details of the institution.
- To update entity details, the Admin User must follow these steps:

**Step 1:** The Admin User must login to the FIA system on this link

<https://goaml.fia.go.ug/goAMLTST/Home> using the user login credentials they acquired during the registration process.



9

**Step 2:** Once Admin User has logged in, he/she must go to the Admin menu, then click on the Active Organization's menu, select the entity they want to update and click on New Change Request.

**Step 3:** The Admin User must then update entity details like the name, registration number, license number, email, reporting obligation, telephone number, address of the institution etc.

- The FIA will verify this information and upon approval send a detailed confirmation email to the institution. Upon receipt of this email, the Admin User of the institution must communicate the Org ID to their additional users to enable them to register on the system.

#### **4. Adding Delegated Users Including MLCO's**

- Once the Admin User has received a registration confirmation from the FIA and has updated the entity details on the FIA system, the Admin User of the institution must communicate the Org ID to additional delegated users (including MLCOs) within their organization who need to use the system to enable them to register on the system.
- Once the delegated users receive the Org ID from the Admin User, they must follow these steps to register:

**Step 1:** Go to the goAML website on <https://goaml.fia.go.ug/goAMLST/Home> and register as a person.

**Step 2:** In the organization ID field, provide the Org ID No. emailed to them by the Admin User.

**Step 3:** Attach a copy of a National ID / Passport and an authorization letter from the entity when registering. The authorization letter must contain the user name and surname, National ID / Passport number, occupation of the user and the role of the user to be allocated on the system.

**Step 4:** Once the delegated user has added their details, they must notify the



Admin User who must first internally approve the delegated user's registration and thereafter the FIA will verify and approve the individual users and confirm such additional user credentials via email to the delegated user.

Note:

- a) Delegated users including MLCOs must register by clicking on "Register as a person" and by inserting the Org ID No. of their entity, to add themselves as a user of their institution.
- b) The delegated user must attach a copy of their ID with an authorization letter explaining their user details, such as user name and surname, National ID / Passport number, occupation of the user and the type of user role to be allocated on the system.

## **5. Important Information for All Registrations**

- If you have previously registered with the FIA but have not received an Org ID from the FIA, kindly contact the FIA via email on [goamlhelpdesk@fia.go.ug](mailto:goamlhelpdesk@fia.go.ug) to obtain your Org ID.
  - DO NOT register as a new organization, if you have previously registered with the FIA.
  - The first person to register must be the Admin User.
  - Do ensure that your organization business type and your reporting obligation fields contain the applicable AML Act schedule item that your institution falls under in terms of the AML Act.
  - All persons registering must ensure that they attach a copy of a National ID or
  - Passport and an authorization letter.
  - All fields with an asterisk (\*) are mandatory and must be completed as part of the registration process.
  - All registrations must be approved by the FIA prior to activation.



- The Admin User must approve all MLCO registrations prior to the FIA's final approval.

#### **6. Additional Information**

- For additional information on the new FIA registration and reporting platform, Queries on registration and reporting on the new FIA platform and other matters can be logged via email to: [goamlhelpdesk@fia.go.ug](mailto:goamlhelpdesk@fia.go.ug)

#### **4. PENALTIES FOR NON-COMPLIANCE**

Failure to comply with the obligations under the AMLA and the AML regulations may result in criminal and/or administrative sanctions.

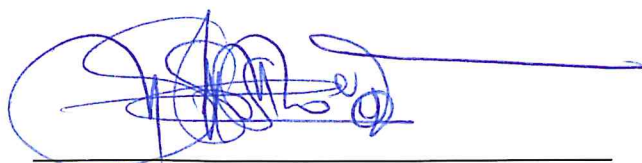
Penalties may include fines and/ or imprisonment whereas the administrative Sanctions include possible revocation of licenses, issuance of directives, deregistration of an entity, court orders, among others.

#### **5. REVIEW OF THE GUIDELINES**

The FIA reserves the right to review and re-issue these guidelines as and when it deems fit. Legal Professionals acting on behalf of the Accountable persons are encouraged to compile and record any comments, which arise in relation to these guidelines, and forward them to the FIA for its appropriate action.

#### **6. EFFECTIVE DATE**

The Guidelines become effective on the 1st day of July 2020.



**Sydney Asubo**

**Executive Director**

**Financial Intelligence Authority**