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**To** : **Regulated Entities**

- i. Cyprus Investment Firms ('CIFs')**
- ii. Branches of Investment Firms, located in Cyprus, where their head office is situated in another Member State or in a third country**
- iii. Undertakings for Collective Investment in Transferable Securities ('UCITS')**
- iv. UCITS Management Companies ('UCITS MC')**
- v. Alternative Investment Fund Managers ('AIFMs')**
- vi. Alternative Investment Funds ('AIFs')**
- vii. Alternative Investment Funds with a Limited Number of Persons ('AIFLNPs')**
- viii. Companies with sole purpose the management of AIFLNPs**

**From** : **Cyprus Securities and Exchange Commission**

**Date** : **26 October 2020**

**Circular No** : **C 410**

**Subject** : **Information to be submitted on the basis of the ESAs Joint Guidelines on Cooperation and Information Exchange between the Supervisory Authorities of Credit and Financial Institutions – (the “AML / CFT Colleges Guidelines”)**

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The Cyprus Securities and Exchange Commission ('CySEC') wishes with this Circular to inform the Regulated Entities of the following:

1. On 30th April 2020, CySEC issued the [Circular C384](#) on the 'ESAs Joint Guidelines on Cooperation and Information Exchange between the Supervisory Authorities of Credit and Financial Institutions - The “AML / CFT Colleges Guidelines”, issued by ESAs to clarify the practical modalities of supervisory cooperation and information exchange, and to create a common framework that supervisors should use to support effective oversight of cross-border groups from an AML/CFT perspective and also from a more general prudential perspective.
2. For this purpose, it is essential to gather information on Regulated Entities and their establishments (including parent undertakings, subsidiaries (whether direct or indirect holdings, branches and other group companies), in other Member States or in third-countries, and facilitate compliance with the AML/CFT College Guidelines. To this end, CySEC wishes to inform you of the following steps to be taken by Regulated Entities:

### 3. Information Requested by CySEC

- 3.1** Regulated Entities must download the Form **AML-CFT Colleges** ('the Form'), from the [Link](#). The Form must be completed and submitted to CySEC by **all Regulated Entities that were authorised by September 30, 2020**. In this respect, Regulated Entities that were authorised by August 31, 2020, but have not made use of their authorisation **must also submit the Form**.
- 3.2** The steps that Regulated Entities will have to follow, for the successful submission of the Form to the TRS, can be found [here](#). Upon submission, Regulated Entities are responsible to ensure that they have received a **feedback file**, i.e. an official submission confirmation dispatched by the TRS in the Outgoing directory.
- 3.3** The feedback file will either contain a NO ERROR indication or, in case that an error(s) has occurred during submission, the description of that error(s). In case of any errors detected during submission of the Form, Regulated Entities must review the Form and ensure that all errors are addressed and corrected, before they digitally sign and re-submit the Form. **The Form is regarded as being successfully submitted to CySEC only when a NO ERROR indication feedback file is received.**

### 4. Deadline for the submission of the Form

- 4.1. The Form must be successfully submitted electronically via the CySEC's Transaction Reporting System ('TRS') **by 15:00 hrs, Tuesday, 10 November 2020, at the latest.**

### 5. General Comments for the Form

- 5.1. The Form will be available **only** in the **English language**.
- 5.2. Regulated Entities are required to report data in **Euro**, rounded to the nearest unit.
- 5.3. Instructions on the completion of the Form can be found in the 'instructions' worksheet of the Form.
- 5.4. **Before submitting the Form, please ensure that all validation tests that are contained in the Form (Sections General Info, Parent Undertakings, Subsidiaries, Branches, Other Group Entities and Appendix) are TRUE (Green Colour).**

### 6. Method of creating, signing and submitting the Form to the CySEC

After populating the required Excel fields in the Form, Regulated Entities should name their Excel file in accordance to the following naming convention:

Username\_yyyymmdd\_AML-CFT Colleges

The information below explains the naming convention:

- (1) **Username** – is the username of the TRS credentials, which should already be in the possession of Regulated Entities that have previously submitted any electronic file to the TRS system. This codification should be entered in capital letters. Regulated Entities, that have not previously requested the TRS credentials, can do so by referring [here](#), where further information is provided about the TRS.
- (2) **yyyymmdd** – this denotes the end of the reporting period of the Form. In this case the Form should have a 20200531 format. Future forms will have different reporting periods.
- (3) **AML-CFT Colleges** – this is the coding of the Form that it remains unchanged and should be inserted exactly as it appears.
- (4) **The Excel® must be of 2007 version and onwards.** Excel will add the extension .xlsx as soon as it is saved. This extension should not under any circumstances be inserted manually.

## 7. Support

### 7.1. Queries on how to complete the fields of the Form

Should you have any queries on the completion of Form **AML-CFT Colleges**, please submit them **only** in writing, any day **PRIOR to Tuesday, 10 November 2020**, by sending an email to the addresses [aml@cysec.gov.cy](mailto:aml@cysec.gov.cy) and [aefthymiou@cysec.gov.cy](mailto:aefthymiou@cysec.gov.cy).

All email communication should include in the subject, the Regulated Entities' full name and the TRS coding.

### 7.2. Technical Queries on digitally signing and submitting the Form

For technical matters on digitally signing and submitting the Form, Regulated Entities are advised to frequently visit the CySEC's website at the specified [section](#). For further clarifications, Regulated Entities are requested to use the electronic address [information.technology@cysec.gov.cy](mailto:information.technology@cysec.gov.cy).

All email communication with CySEC should include in the subject, the Regulated Entities' full name and the TRS coding.

Yours sincerely,

Demetra Kalogerou  
Chairwoman of the Cyprus Securities and Exchange Commission