



GUIDELINES

TO ALL ACCOUNTABLE PERSONS AND SUPERVISORY AUTHORITIES ON REGISTRATION OF AN ACCOUNTABLE PERSON

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

JANUARY, 2024

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 is only one mode of registration with the FIA which entails the use of the goAML system to register with the FIA.

2. Legal Basis

These guidelines are 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 2nd 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 in the 2nd 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 in Section 20 (d) of the Anti-Money Laundering Act, 2013.

The Accountable Persons as listed in the second schedule of 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.
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;

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- 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. This refers to sole practitioners, partners or employed professionals within professional firms. It is not meant to refer to 'internal' professionals that are employees of other types of business nor to professionals working for government agencies.
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;
 - 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; This applies to financial activity in both the formal and informal sector, e.g., alternative remittance activity. It does not apply to any natural or legal person that provides other

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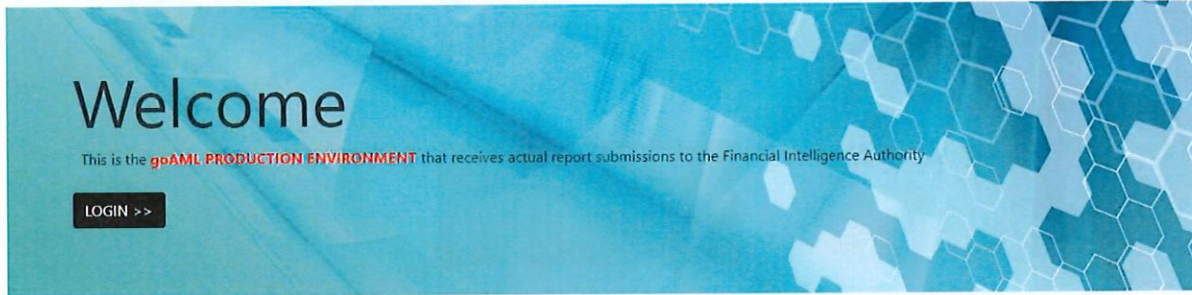
- persons solely with message or other support systems for transmitting funds.
- h) participation in securities issues and provision of financial services related to such issues;
 - i) individual and collective portfolio management;
 - j) safekeeping and administration of cash or liquid securities on 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;
 - m) money and currency changing.
15. Non-Governmental organisations, churches and other charitable organisations.
16. Virtual Asset Service Providers i.e. a natural or legal person who conducts the following activities: -
- a) the exchange between virtual assets and fiat currencies
 - b) the transfer of virtual assets
 - c) the safekeeping or administration of virtual assets; and
 - d) the participation in or provision of financial services related to an insurer's offer or sale of a virtual Assets

3. goAML Registration Procedure

The Financial Intelligence Authority hereby guides as follows:

- 3.1 goAML can be accessed by clicking the URL link <https://goaml.fia.go.ug/PRD/Home> which will take you directly to the goAML home page, displaying:
- Register Link – contains the link for accountable persons to register on the goAML platform; and
 - Login Link – contains the link for accountable persons that have already registered on the goAML platform to log in.





Register

Please note that in order to get access to the system, you first need to register as a reporting entity / accountable person under "Register as an Organization". Once the registration process has been successfully completed, you can log in with the credentials you have previously defined.

Register >>

Contact

For more information on goAML please contact the Project team at goamlhelpdesk@fia.go.ug or phone (+256) 417-892600

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- 3.2 goAML runs within Firefox and Google Chrome web browsers. It is advisable to add the URL to the trusted sites and have pop ups enabled to prevent the site from being blocked.
- 3.3 The goAML email address fialerts@fia.go.ug should also be added to your contact list to ensure that communications from goAML are not identified as a spam/junk email. Should you not receive an email in your inbox after registration, please check your spam/junk folder. The email should then be marked as "Not Junk".

4. Registration of Accountable Persons on goAML

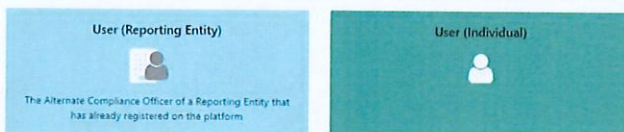
- 4.1 The person authorized to register the accountable person on goAML is the Money Laundering Control Officer ("MLCO"), appointed under Regulation 6 (1) of the AML Regulations.
- 4.2 To register an accountable person for the first time, the MLCO has to register the accountable person as an **Organisation** on goAML. The MLCO should click on **Reporting Entity** under **Register an Organisation** on the home page as displayed below.

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Register an Organisation



Register a User



4.3 “Reporting Entity” under “Register an Organisation” should be selected, even if the reporting entity is a sole proprietorship operating in the owner’s individual name.

4.4 The registration form will be displayed with four (4) tabs in the navigator on the left, with the following **Headings**:

- Reporting Entity
- Administrator
- Attachments
- Preview and Submit

The screenshot shows the 'Reporting Entity' registration form. On the left is a vertical navigation bar with four tabs: '1. Reporting Entity' (highlighted in red), '2. Administrator' (green), '3. Attachments' (blue), and '4. Preview and Submit' (purple). Below the tabs is a pink message: 'Cannot submit until the form is complete' and a 'Cancel' button. The main form area is titled 'Reporting Entity' and contains several input fields: 'Organization Business Type is required:' (dropdown), 'Email is required:' (text), 'Incorp/Business Reg. Num' (text), 'Licence Number' (text), and 'Group' (text). To the right of these fields are checkboxes for 'Nat', 'Reg', 'TIN', and 'Res'. Below the main form is a section for '+ Addresses*' with a dropdown for 'Address #1' and a 'Type is required:' field.

4.4.1 Reporting Entity



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The details of the accountable person are required to be provided under this tab. Although not all the fields have been indicated as ***mandatory**, accountable persons are advised to ensure that all fields relevant to the respective legal form are completed with the required information. Failure to do so, may result in the rejection of the application by the FIA.

The screenshot shows the 'Reporting Entity' registration form in the goAML system. The form is divided into several sections:

- Reporting Entity:** Organization Business Type (dropdown), Email (text), Incorporation State (text), Incorporation City (text), Name of holding company (text), Contact Person (text).
- Acronym:** Text field.
- Swift/Bic:** Text field.
- Incorporation Legal Form:** Dropdown menu.
- Incorporation Country:** Dropdown menu (set to UGANDA).
- URL:** Text field.
- Addresses*:** Address #1 (Type, Address, Town, City, Zip, Country, State).
- Phones*:** Phone #1 (Contact Type, Comm. Type, Country Prefix, Number).

- **Organisation Business Type:** The list of reporting sectors as defined under the AMLA. The respective sector must be selected from the drop-down list during the registration process. This field is mandatory.
- **is financial:** Is the accountable person a financial institution with a Swift/BIC code? Please tick, if Yes.
- **Swift/Bic:** If you have selected yes for “is financial”, please insert your organization Swift/Bic code.
- **Name:** This refers to the full registered name of your Organisation. If your business license is issued in your personal (individual) name, please insert your full name. This field is mandatory.
- **Commercial Name:** If the accountable person has a trading name which is different from its registered name, please complete this field.

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- **Incorporation Legal Form:** From the drop-down list, select whether you are an association, partnership, private entity, public enterprise or a sole proprietorship.
- **Incorp. /Business Reg. Num:** This refers to the unique incorporation or registration number issued to the reporting entity upon incorporation/registration with the Registrar.
- **Country of Incorp. /Reg:** The country in which the business/company has been incorporated/registered. This field is mandatory.
- **URL:** Business/Company website, if available
- **Contact Person:** This is the name of the individual who has primary responsibility of the accountable person i.e., the nominated MLCO. This field is mandatory.
- **Email:** This is the email address of the MLCO. This field is mandatory.
- **Address Details:**
The address details provided for the accountable person and the registering person must be the business address details. Please note that at least one address must be provided, with the option to add multiple addresses by clicking the green plus (+), if required.

+ Addresses*

▼ Address #1

Type is required!	Address is required!	Town	City is required!
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Zip	* Country	State	
<input type="text"/>	UGANDA	<input type="text"/>	
Comments	<input type="text"/>		

- **Type:** Please select “Business” from the available drop-down list. This field is mandatory.
- **Address:** Physical Address details like office/room number, building name, street name. This field is mandatory.

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- **Address (Line 2):** Long addresses may be split into the two address fields.
- **City:** Town or the respective district or area e.g., Kampala, Mukono, Wakiso, Gulu etc. This field is mandatory.
- **Country:** Uganda
- **Comments:** Comments if any.
- **Phones:**

The contact details provided for the accountable person and the registering person must be the business contact details. Please note that at least one contact number must be provided, with the option to add multiple contact numbers by clicking the green plus (+) sign if required.

+ Phones⁴

▼ Phone #1

Contact Type is required!	Comm. Type is required!	Country Prefix	Number is required!
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Extension	Comments		
<input type="text"/>	<input type="text"/>		

- **Contact Type:** Please select “Business” from the available drop-down list.
This field is mandatory.
- **Comm. Type:** This can be Landline, Mobile or Fax. It is advisable to include at least a landline or mobile number. This field is mandatory.
- **Country Prefix:** This is the country code (+256).
- **Number:** The contact number for the selected communication type. This field is mandatory.
- **Extension:** Extension number if available
- **Comments:** Comments if any.

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Once all the required fields have been completed, the tab colour will change from **red** to **green**.

4.4.2 Administrator (Money Laundering Control Officer)

This tab is required to be completed with the details of the MLCO. This person will be the primary contact person for the accountable person, in line with the liaison functionality prescribed under Regulation 7 (a) of the AML Regulations. The MLCO will also have administrator access rights to the goAML system.

The MLCO should ensure to remember the credentials provided during the registration process because they will be used to log in to goAML system thereafter. The username and password provided, should be unique and remain confidential to the MLCO to prevent unauthorized access to the platform.

The screenshot shows the 'Administrator' registration form in the goAML system. The form is divided into several sections:

- Reporting Entity:** 1. Reporting Entity (red), 2. Administrator (green), 3. Attachments (red), 4. Preview and Submit (red).
- Administrator Section:**
 - User Name (required)
 - Password (required)
 - Confirm Password (required)
 - Title
 - First Name (required)
 - Last Name (required)
 - Email (required)
 - Gender (required)
 - Birth Date (required)
 - ID Number (required)
 - Nationality (required)
 - Occupation (required)
 - Passport Number (required)
 - Passport Country (required)
- Addresses:**
 - Address #1:
 - Type (required)
 - Address (required)
 - Zip (required)
 - Country (required, currently set to UGANDA)
 - State (required)
 - City (required)
- Phones:**
 - Phone #1:
 - Contact Type (required)
 - Comment Type (required)
 - Country Prefix (required)
 - Number (required)

- **User Name:** Unique username to be used by the MLCO to login to goAML. Should the MLCO be the appointed MLCO for more than one reporting entity, please note that the username should differ for each as duplicates will not be accepted by the system. This field is mandatory.
- **Password:** Password must be between 5-10 characters, include capital alpha, alphanumeric and special characters (e.g., Pa\$word12). This field is mandatory.
- **Confirm Password:** Retype the password. This field is mandatory.

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- **Title:** Dr. / Mr. / Mrs. / Ms. / Miss. This field is mandatory.
- **First Name:** First name of the MLCO. This field is mandatory.
- **Last Name:** Last name / Surname of the MLCO. This field is mandatory.
- **Email:** Email address of the MLCO. Should the MLCO be the appointed MLCO for more than one reporting entity, please note that the email address used should differ for each because duplicates will not be accepted by the system. This field is mandatory.
- **Gender:** Male / Female.
- **Birth Date:** Date of birth of the MLCO. This field is mandatory.
- **NIN:** The National Identity/Identification Number of the MLCO. This field is mandatory if the MLCO is Ugandan.
- **Nationality:** The nationality of the MLCO. This field is mandatory.
- **Occupation:** Official job title of the MLCO. This field is mandatory.
- **Passport Number:** Passport Number of the MLCO. This field is mandatory if the MLCO is a foreigner.
- **Passport Country:** Passport issuing country.
- **Addresses:**

The address details provided for the accountable person and the registering person must be the business address details. Please note that at least one address must be provided, with the option to add multiple addresses by clicking the green plus (+), if required.

+ Addresses*

▼ Address #1

Type is required!	Address is required!	Town	City is required!
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Zip	* Country	State	
<input type="text"/>	UGANDA ▼	<input type="text"/>	
Comments			
<input type="text"/>			

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- **Type:** Please select “Business” from the available drop-down list. This field is mandatory.
- **Address:** Physical Address details like office/room number, building name, street name. This field is mandatory.
- **Address (Line 2):** Long addresses may be split into the two address fields.
- **City:** Town or the respective district or area e.g., Kampala, Mukono, Wakiso, Gulu etc. This field is mandatory.
- **Country:** Uganda
- **Comments:** Comments if any.
- **Phones:**

The contact details provided for the accountable person and the registering person must be the business contact details. Please note that at least one contact number must be provided, with the option to add multiple contact numbers by clicking the green plus (+) sign if required.

+ Phones'

Phone #1

Contact Type is required!	Comm. Type is required!	Country Prefix	Number is required!
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Extension	Comments		
<input type="text"/>	<input type="text"/>		

- **Contact Type:** Please select “Business” from the available drop-down list. This field is mandatory.
- **Comm. Type:** This can be Landline, Mobile or Fax. It is advisable to include at least a landline or mobile number. This field is mandatory.
- **Country Prefix:** This is the country code (+256).
- **Number:** The contact number for the selected communication type. This field is mandatory.
- **Extension:** Extension number if available

- **Comments:** Comments if any.

Once all the required fields have been completed, the tab colour will change from **red** to **green**.

4.4.3 Attachments

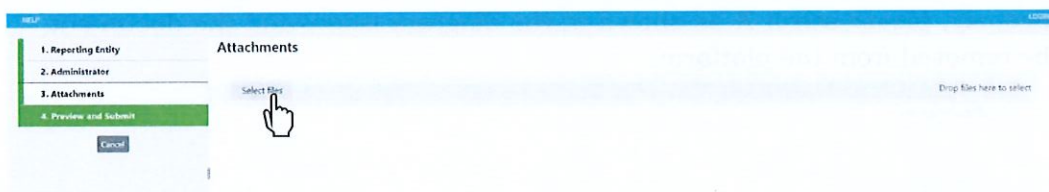
As part of the registration process, the following documents are required to be submitted for verification of the information provided, prior to the approval of the registration request by the FIA:

- Copy of the Certificate of Registration / Incorporation (where applicable)
- Copy of the Business License
- Identification Document of the MLCO (National ID for a Ugandan national, Refugee ID for refugees & Passport and work permit for a foreign national).
- Correctly filled forms 1 & 3 (Forms can be accessed using this link; <https://www.fia.go.ug/how-to-register>)

NB; Refer to Section 11 for specific registration requirements for each category of accountable persons.

4.4.3.1 Uploading Documents

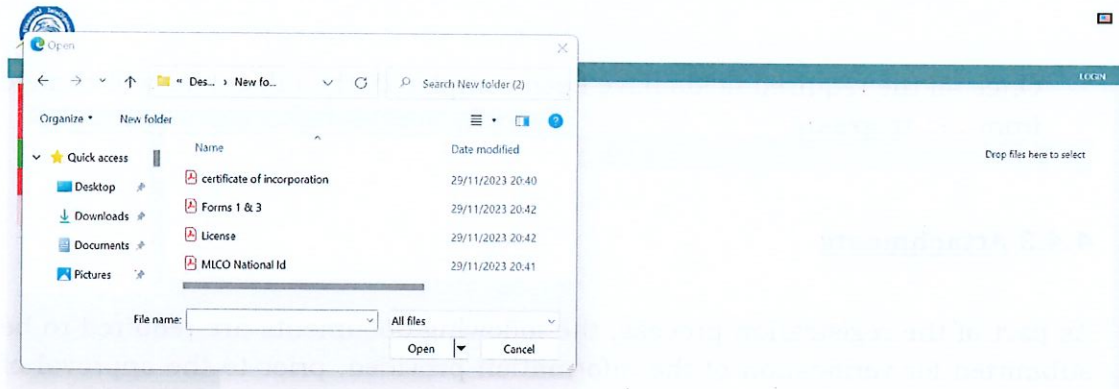
To upload documents, click on the “**Select files**” icon which will open a window display to select the respective file/document required from the file browser window.



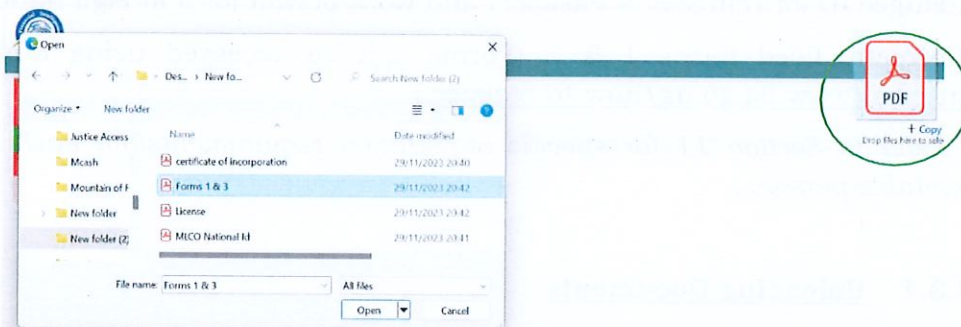
Once the required file/document has been selected, click open to upload the documents to the registration platform. Please note that documents should be saved in the following acceptable file formats: **.pdf**; **.jpeg**; and **.png**.



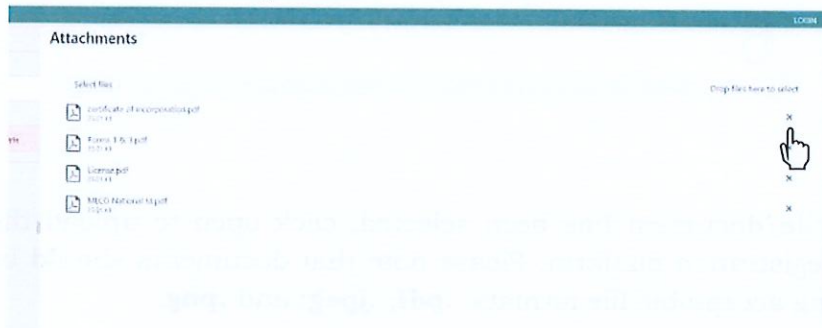
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Alternatively, the respective files can be dragged and dropped on the “Drop” section on the attachment tab as indicated below:



NB: To delete an uploaded document which may have been uploaded erroneously, please select **X** as shown in the diagram below and the document will be removed from the platform.



4.4.4 Preview and Submit

Before submitting the request, a preview of the information provided and the list of documents uploaded is provided under the “Preview and Submit” tab. Please note that the “Preview and Submit” tab is only activated once each tab; Reporting Entity, Administrator and Attachments has been completed. Any tab which is incomplete, will be indicated in **RED** on the left of the respective tab.

The screenshot shows the 'New Registration' form in the goAML system. The left sidebar has four tabs: '1. Reporting Entity', '2. Administrator', '3. Attachments', and '4. Preview and Submit'. The '4. Preview and Submit' tab is active and highlighted in green. The main content area shows the registration details for 'Xon YZ Insurance Company'. The form includes sections for Attachments (listing certificates and forms), Organisation (name, email, website), Address (street, city, country), and Phons (mobile and landline numbers). A captcha code '854914' is displayed above a 'Submit New Organisation' button. The bottom of the form shows the Administrator's name and email.

Once the information provided has been verified and ready to be submitted, please type the Captcha code (sequence of digits that appears on the screen) into the field provided without making any errors and select “Submit New Organisation”.

Once the registration has been submitted, a confirmation screen similar to the one below will be displayed, confirming that the registration information has been successfully submitted, together with the allocated reference number for your request.

The screenshot shows a confirmation screen with a blue header. The main text reads 'Registration info has been submitted'. Below this, a smaller line of text says 'Please wait for notification of successful registration by email. Your request has been given the following reference number: FIA-2023-0001464'. There is a small square icon in the top right corner.

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Additionally, two emails will be sent to the email ID provided, confirming receipt of registration request for:

- The accountable person; and
- The registering person i.e., the MLCO.

5. Approval Process for Accountable Person's Registration Request

- 5.1** Accountable Persons must ensure that information provided during the registration requests are accurate, and all required information is submitted in its entirety, together with all the relevant documentation as required.
- 5.2** Upon submission of a registration request by an accountable person, the FIA will verify the information and documents provided by the accountable person to ensure that the accountable person and registering person submitting the request is authorized to do so.
- 5.3** Based on the verification undertaken by the FIA, the FIA will do either of the following within **72 hours** after receiving the request:

5.3.1 Approve the request for registration

Provided that all the information and documents submitted meets the prescribed requirements, the FIA will proceed to approve the request for registration.

Upon approval, an email confirmation will be issued notifying the MLCO that the registration request has been accepted. An electronic certificate of registration will be issued via the email address provided at registration (See sample below).

FIA-2023-0003219



THE REPUBLIC OF UGANDA
CERTIFICATE OF REGISTRATION

This is to certify that ██████████ FOUNDATION has on this 11/14/2023 been duly registered with the Financial Intelligence Authority, pursuant to and in accordance with the provisions of the Anti-Money Laundering Act, 2013 (as amended) and the Regulations made there under, and has been entered under the number FIA-565 in the Register of Accountable Persons.

OFFICIAL FIA REPRESENTATIVE

Printed Name of Signatory Wandera Were Samuel	Designation of Signatory Executive Director	Authorized Signature 
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This certificate is only intended for registration purposes and is not a license/permit.

The MLCO will then be able to log in thereafter, as per process outlined under section 8 of these guidelines.

5.3.2 Reject the request for registration

A request for registration may be rejected under the following circumstances:

- a) There is mandatory information or document (s) which has not been provided as part of the registration process;
- b) The information provided is inaccurate and does not match the information on the documents provided;
- c) The person registering on behalf of the reporting entity is not authorized to do so; or
- d) The organization requesting registration is not designated as an accountable person and as such unauthorized to obtain access to the goAML platform.

Upon rejection of the request by the FIA, the MLCO will receive an email notifying the accountable person that the request for registration has been rejected, with clear indication of the reasons for rejection.

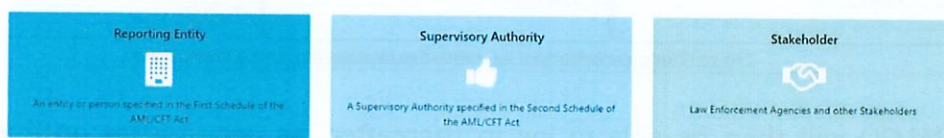
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If a request has been rejected on the basis of missing or inaccurate information or documents, the MLCO will have to complete the registration process again as per procedures outlined under Section 4 of these guidelines.

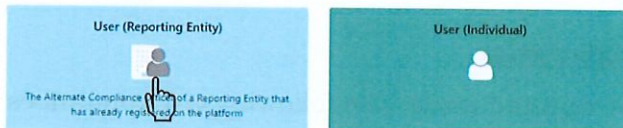
6. Adding new users to goAML

- 6.1** New users will only be able to register once the registration request of the accountable person has been approved by the FIA.
- 6.2** To register, the user has to register as a new User on goAML. This is done by selecting User (Reporting Entity) under Register a User on the goAML home page as displayed below.

Register an Organisation



Register a User



- 6.3** The registration form will be displayed with three (3) tabs in the navigator on the left, with the following **Headings**:

- User (Reporting Entity)
- Attachments
- Preview and Submit

6.3.1 User (Reporting Entity)

The details of the user are required to be provided under this tab. The user should ensure that all mandatory fields are completed with the required information to ensure successful submission of the registration request.

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The screenshot shows the 'User (Reporting Entity)' registration form. It is divided into three main sections: '1. User (Reporting Entity)', '2. Attachments', and '3. Preview and Submit'. The '1. User (Reporting Entity)' section contains the following fields and requirements:

- Organization ID is required!
- User Name is required!
- Password is required!
- Confirm Password is required!
- Title
- First Name is required!
- Last Name is required!
- Email is required!
- Gender is required!
- Birth Date (M/d/yyyy)
- NIN is required!
- Nationality
- Occupation is required!
- ID Number
- Passport Number
- Passport Country

There are also sections for 'Addresses' and 'Phones' with their respective mandatory fields. A 'Cancel' button is visible in the 'Preview and Submit' section.

6.3.2 The **Organisation ID**, which was received by the accountable person/MLCO upon the initial registration of the reporting entity, must be provided to the new user and inserted in the Organisation ID field, to enable the registration to be linked to the accountable person. Please note that this field is mandatory.

- **User Name:** Unique username to be used by the MLCO to login to goAML. Should the MLCO be the appointed MLCO for more than one reporting entity, please note that the username should differ for each as duplicates will not be accepted by the system. This field is mandatory.
- **Password:** Password must be between 5-10 characters, include capital alpha, alphanumeric and special characters (e.g., Pa\$word12). This field is mandatory.
- **Confirm Password:** Retype the password. This field is mandatory.
- **Title:** Dr. / Mr. / Mrs. / Ms. / Miss. This field is mandatory.
- **First Name:** First name of the MLCO. This field is mandatory.
- **Last Name:** Last name / Surname of the MLCO. This field is mandatory.
- **Email:** Email address of the MLCO. Should the MLCO be the appointed MLCO for more than one reporting entity, please note that the email

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address used should differ for each entity because duplicates will not be accepted by the system. This field is mandatory.

- **Gender:** Male / Female.
- **Birth Date:** Date of birth of the MLCO. This field is mandatory.
- **NIN:** The National Identity/Identification Number of the MLCO. This field is mandatory if the MLCO is Ugandan.
- **Nationality:** The nationality of the MLCO. This field is mandatory.
- **Occupation:** Official job title of the MLCO. This field is mandatory.
- **Passport Number:** Passport Number of the MLCO. This field is mandatory if the MLCO is a foreigner.
- **Passport Country:** Passport issuing country.
- **Addresses:**

The address details provided for the accountable person and the registering person must be the business address details. Please note that at least one address must be provided, with the option to add multiple addresses by clicking the green plus (+), if required.

+ Addresses'

▼ Address #1

Type is required!	Address is required!	Town	City is required!
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Zip	* Country	State	
<input type="text"/>	UGANDA	<input type="text"/>	
Comments	<input type="text"/>		

- **Type:** Please select "Business" from the available drop-down list. This field is mandatory.
- **Address:** Physical Address details like office/room number, building name, street name. This field is mandatory.

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- **Address (Line 2):** Long addresses may be split into the two address fields.
- **City:** Town or the respective district or area e.g., Kampala, Mukono, Wakiso, Gulu etc. This field is mandatory.
- **Country:** Uganda
- **Comments:** Comments if any.

- **Phones:**

The contact details provided for the accountable person and the registering person must be the business contact details. Please note that at least one contact number must be provided, with the option to add multiple contact numbers by clicking the green plus (+) sign if required.

+ Phones*

Phone #1

Contact Type is required! Comm. Type is required! Country Prefix Number is required!

Extension Comments

- **Contact Type:** Please select “Business” from the available drop-down list. This field is mandatory.
- **Comm. Type:** This can be Landline, Mobile or Fax. It is advisable to include at least a landline or mobile number. This field is mandatory.
- **Country Prefix:** This is the country code (+256).
- **Number:** The contact number for the selected communication type. This field is mandatory.
- **Extension:** Extension number if available
- **Comments:** Comments if any.

6.3.3 The new user should ensure to remember the credentials provided during the registration process, they will be used to log in to goAML system thereafter. The username and password provided, should be unique and remain confidential to the user to prevent unauthorized access to the platform

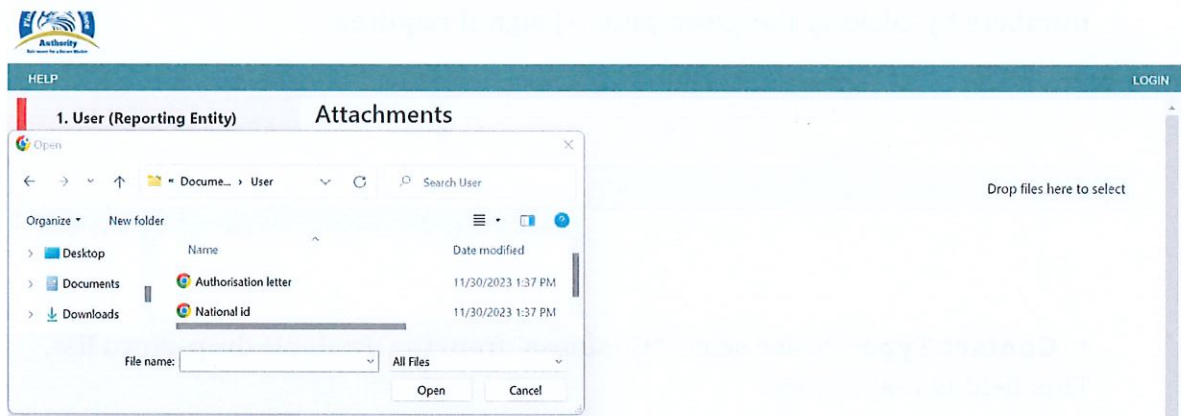
6.3.4 Attachments

As part of the registration process, the following documents are also required to be attached, prior to the submission of the registration request:

- Identification Document of the user (National ID for Ugandan National, Refugee ID for refugees or passport and work permit for foreign national)
- Authorisation Letter signed by the Managing Director/Chief Executive Officer

Uploading Documents

To upload documents, click on the “**Select files**” button which will open a window display to select the respective file/document required from the file browser window.



Once the required file/document has been selected, click open to upload the documents to the registration platform. Please note that documents should be saved in the following acceptable file formats: **.pdf**; **.jpeg**; and **.png**.

6.3.5 Preview and Submit

Before submitting the request, a preview of the information provided and the list of documents uploaded is provided under the “Preview and Submit” tab. Please note that the “Preview and Submit” tab is only activated when the tabs; *User (Reporting Entity)* and *Attachments* have been completed. Any tab which is incomplete, will be indicated in **RED** on the left of the respective tab.

Guidelines for Online Registration on the goAML System

1. User (Reporting Entity)

2. Attachments

3. Preview and Submit

508338

Enter the code above in the box below

Submit New User

Cancel

New Registration

User

User Name	Test	First Name	Test
Email	test@user.com	Gender	Female
Password	CMJTYJHYHYVYU	Relationship	
Phone Number		Relationship Number	

Addresses

#1

Type	Personal	Address	KAMPALA
Town		District	KAMPALA
City		County	UGANDA
State		Comments	

Phones

#1

Contact Type	Work	Contact Type	Mobile Phone
Country Name		Number	70809809
Extension		Comments	

Once the information provided has been verified and ready to be submitted, please type the Captcha code (sequence of digits that appears on the screen) into the field provided without making any errors and select “Submit New User”.

Once the registration has been submitted, a confirmation screen similar to the below will be displayed, confirming that the registration information has been successfully submitted, together with the allocated reference number for your request.

Registration info has been submitted

Please wait for notification of acceptance/rejection by email. Your request has been given the following reference number:
F16-2023-000404

Additionally, an email will be sent to the email ID provided, confirming receipt of registration request for the new user.

7. Approval Process for Registration Request

- 7.1** A user must ensure that information provided during the registration request is accurate, and all required information is submitted in its entirety, together with all the relevant documentation as required.
- 7.2** Upon submission of a registration request by the user, the FIA will verify the information and documents provided by the user to ensure that the user submitting the request is authorized to do so.
- 7.3** Based on the verification undertaken by the FIA, the FIA will do either of the following within **72 hours** after receiving the request:

7.3.1 Approve the request for registration

Provided that all the information and documents submitted meets the prescribed requirements, the FIA will proceed to approve the request for registration.

Upon approval, an email confirmation will be issued notifying the new user that the registration request has been accepted and the respective user account is activated.

The new user will then be able to log in thereafter, as per process outlined under section 8 of these guidelines.

7.3.2 Reject the request for registration

A request for registration may be rejected under the following circumstances:

- a) There are mandatory information or documents which have not been provided as part of the registration process;
- b) The information provided is inaccurate and does not match the information on the documents provided;
- c) The person registering is not authorized to do so

Upon rejection by the FIA, the user will receive an email notifying him/her that the request for registration has been rejected, with clear indication of the reasons for rejection.

If a request has been rejected on the basis of missing or inaccurate information or documents, the user will have to complete the registration process again as per procedures outlined under Section 6 of these guidelines.

8. Log In/Out of goAML

- 8.1 Upon successful registration, the new user will gain access to goAML, using the username and password captured during the registration process.
- 8.2 The Login page can be accessed on the goAML Home page via <https://goaml.fia.go.ug/PRD/Home>.

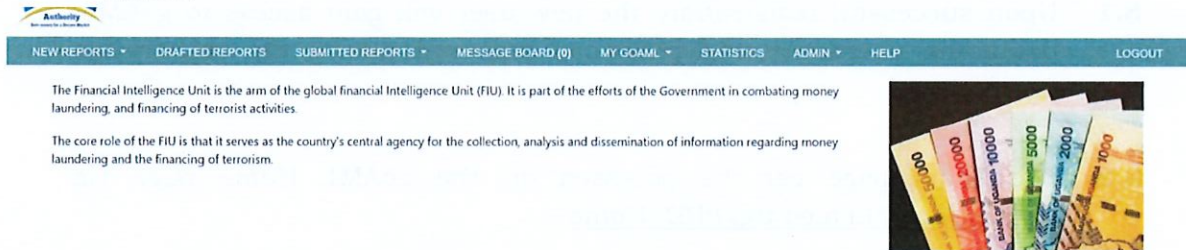


- 8.3 The Login page will be displayed, where your username and password should be entered.

DR

Guidelines for Online Registration on the goAML System

- 8.4** Once logged in, the goAML internal secure home page will be as shown below:



- 8.5** Should you forget your password, please click on **Forgot Password**. This will redirect you to the web page shown below, where your username and email needs to be provided to reset your password.

Reset Password Request



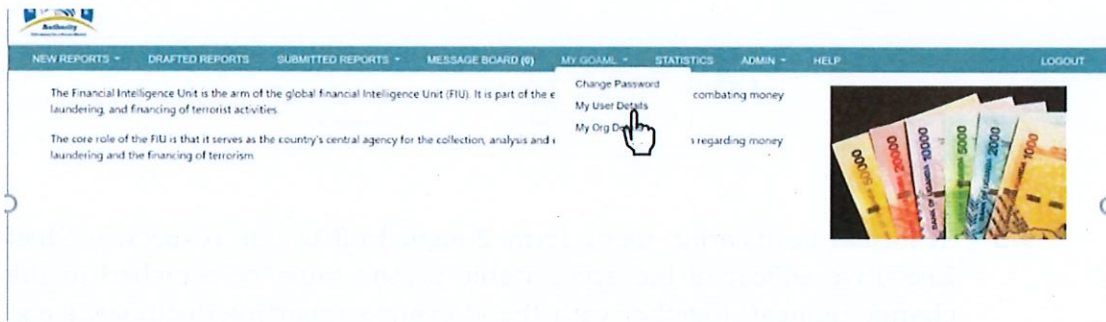
- 8.6** You will then receive an email with instructions on how to reset your password.
- 8.7** To log off from goAML, click on Log Out in the navigation bar and this will terminate the goAML session.
- 8.8** Please note that the user will be automatically logged out after 15 minutes of inactivity.



Guidelines for Online Registration on the goAML System

9. Notification of Changes

- 9.1 In accordance with Regulation 5 (1) of the AML Regulations every accountable person is required to notify the FIA of any changes in the particulars furnished, in writing, within a period of 15 days from the date of such change.
- 9.2 goAML provides accountable persons the access to make changes to the User's details or the Organisation's details through the platform using the functionality below under the **MY GOAML** tab on the navigation bar.



- 9.3 The existing registration particulars within the system will be displayed for the accountable person or the registered person depending on the option selected.
- 9.4 The new particulars should be populated in their respective fields, with the details which remain valid left unchanged.

Changing User Details

A screenshot of the 'My User Details' form in the goAML system. The form is divided into several sections: 'User', 'Attachments', 'Addresses', and 'Phones'. The 'User' section contains fields for 'First Name' (Peter), 'Last Name' (Peter), 'Email' (fishbr@gmail.com), 'Birth Date' (M/d/yyyy), 'Nationality' (UGANDA), 'Occupation' (Banker), and 'Passport Number'. The 'Addresses' section contains a field for 'Address #1' with sub-fields for 'Address' (Kampala), 'City' (Kampala), and 'Country' (UGANDA). The 'Phones' section contains a field for 'Phone #1' with sub-fields for 'Contact Type' (Work), 'Country Profile' (Landline Phone), and 'Number' (0). A green 'Submit' button is visible in the 'Attachments' section.

Changing Org. Details

Guidelines for Online Registration on the goAML System

My Org Details

Organization

Organization Business Type: Financial Institution

Name: BANK

Email: goamlhelpdesk@fia.go.ug

Incorp. Num: 60005970099

Incorp. City: Kampala

Name of holding company: Bank

Delegate

Name: Bank

Attachments

Submit Request

Addresses*

Type	Address	City	Comments
Work	Kampala	Kampala	

Phones*

Contact Type	Country	Number	Comments
Work	UGANDA	0	

- 9.5** A formal notification using form 2 signed off by the respective Chief Executive Officer of the accountable person must be attached to the change request, together with the relevant supporting documents e.g. certificate of name change, Company form 18 for change of address etc before submission to the FIA.
- 9.6** Upon submission, the FIA will review the information and documents provided, before approving and effecting the change within the system.

10. Changes in appointment of MLCO

- 10.1** Where there is a change in the appointed MLCO, the accountable person should notify the FIA, within 15 days using Form 3 to enable the FIA to deactivate the previous MLCO's access and administrative rights to the accountable person's goAML account.
- 10.2** The newly appointed MLCO will be required to register as a new user as per the procedures outlined under Section 6 of these guidelines, and will be provided with administrative rights to the goAML system for the accountable person.
- 10.3** If the newly appointed MLCO was registered as a user previously, he/she will not be required to re-register on the platform. The accountable person will only have to inform the FIA via email to compliance@fia.go.ug with the corresponding Form 3 attached, so that the FIA may designate them as the administrator for the accountable person.

11. Registration requirements for the respective categories of accountable persons

11.1 Accountable persons licensed by Bank of Uganda

- i) Commercial Banks
- ii) Microfinance Deposit Taking Institutions (MDIs)
- iii) Credit Institutions
- iv) Forex Bureaus and Money remitters
- v) Payment System Operators and Payment Service Providers

11.1.1 Registration requirements

- a) *Correctly filled forms 1 & 3*
- b) *Certificate of Incorporation*
- c) *License issued by Bank of Uganda*
- d) *Copy of the MLCO/Administrator's National ID in case of a Ugandan national, Refugee ID for refugees / passport and work permit in case of a foreign national.*

11.2 Accountable Persons licensed by the Insurance Regulatory Authority

- i) Insurance Companies
- ii) Insurance Brokers
- iii) Any other person who deals in underwriting and placement of life insurance and other related investment insurance, including non-life insurance business.

11.2.1 Registration Requirements

- a) *Correctly filled forms 1 & 3*
- b) *Certificate of Incorporation*
- c) *License issued by The Insurance Regulatory Authority*
- d) *Copy of the MLCO/Administrator's National ID in case of a Ugandan national Refugee ID for refugees or passport and work permit in case of a foreign national.*

11.3 Capital Markets Authority Licensees

- i) Brokers, Dealers and Investment Advisors
- ii) Any other person who deals in trading in;
 - a) money market instruments (cheques, bills, CDs, Derivatives etc)
 - b) transferable securities
 - c) commodity futures trading
- iii) Any other person who deals in participation of securities issues and provision of financial services related to such issues.

Guidelines for Online Registration on the goAML System

- iv) Any other person who deals in individual and collective portfolio management
- v) Any other person who deals in safekeeping and administration of cash or liquid securities on behalf of other persons

11.3.1 Registration requirements

- a) *Correctly filled forms 1 & 3*
- b) *Certificate of incorporation*
- c) *License issued by the Capital Markets Authority*
- d) *Copy of the MLCO/Administrator's National ID in case of a Ugandan national, Refugee ID for refugees or passport and work permit in case of a foreign national*

11.4 Accountable persons licensed by Uganda Microfinance Regulatory Authority (UMRA):

- i) Microfinance Institutions
- ii) Money Lenders
- iii) SACCOs

11.4.1 Registration requirements

- a) *Correctly filled forms 1 & 3*
- b) *Certificate of Incorporation*
- c) *License issued by UMRA*
- d) *Copy of MLCO/Administrator's National ID in case of a Ugandan national, Refugee ID for refugees or passport and work permit in case of a foreign national.*

11.5 Accountants as defined in the Accountants Act.

11.5.1 Registration requirements

- a) *Correctly filled forms 1 & 3*
- b) *Certificate of registration*
- c) *License issued by ICPAU*
- d) *Practicing certificates for the partners*
- e) *Copy of MLCO/Administrator's National ID in case of a Ugandan national, Refugee ID for refugees or passport and work permit in case of a foreign national.*

11.6 Advocates as defined by the Advocates Act, notaries licensed and certified under the Notaries Public Act and other independent legal professionals

11.6.1 Registration requirements



Guidelines for Online Registration on the goAML System

- a) *Correctly filled forms 1 & 3*
- b) *Certificate of registration*
- c) *Law chambers approvals*
- d) *Practicing certificates*
- e) *Copy of the MLCO/Administrator's National ID in case of a Ugandan national, Refugee ID for refugees or passport and work permit in case of a foreign national.*

11.7 Casinos (including internet casinos)

11.7.1 Registration requirements

- a) *Correctly filled forms 1 & 3*
- b) *Certificate of incorporation*
- c) *License issued by the National Lotteries and Gaming Regulatory Board*
- d) *Copy of the MLCO/Administrator's National ID in case of a Ugandan national, Refugee ID for refugees or passport and work permit in case of a foreign national.*

11.8 Dealers in Precious Metals and Gems

11.8.1 Registration requirements

- a) *Correctly filled forms 1 & 3*
- b) *Certificate of incorporation*
- c) *Mineral Dealer's license issued by the Ministry of Energy and Mineral Development*
- d) *Copy of the MLCO/Administrator's National ID in case of a Ugandan national, Refugee ID for refugees or passport and work permit in case of a foreign national.*

11.9 Real Estate Agents

11.9.1 Registration requirements

- a) *Correctly filled forms 1 & 3*
- b) *Certificate of incorporation*
- c) *Copy of the MLCO/Administrator's National ID in case of a Ugandan national, Refugee ID for refugees or passport and work permit in case of a foreign national.*

11.10 Registrars of Companies

11.10.1 Registration requirements

Guidelines for Online Registration on the goAML System

- a) *Correctly filled forms 1 & 3*
- b) *Copy of the MLCO/Administrator's National ID in case of a Ugandan national, Refugee ID for refugees or passport and work permit in case of a foreign national.*

11.11 Registrars of Land

11.11.1 Registration requirements

- a) *Correctly filled forms 1 & 3*
- b) *Letter of appointment of MLCO by the Accounting Officer*
- c) *Copy of the MLCO/Administrator's National ID.*

11.12 The Uganda Investment Authority

11.12.1 Registration requirements

- a) *Correctly filled forms 1 & 3*
- b) *Letter of appointment of MLCO by the Accounting Officer*
- c) *Copy of the MLCO/Administrator's National ID.*

11.13 Any other person who deals in otherwise investing, administering or managing funds or money on behalf of other persons.

11.13.1 Registration requirements

- a) *Correctly filled forms 1 & 3*
- b) *Certificate of incorporation*
- c) *License from Uganda Retirement Benefits Regulatory Authority.*
- d) *Copy of the MLCO/Administrator's National ID in case of a Ugandan national, Refugee ID for refugees or passport and work permit in case of a foreign national.*

11.14 Non-governmental organisations, churches and other charitable organisations.

11.14.1 Registration requirements

- a) *Correctly filled forms 1 & 3*
- b) *Certificate of incorporation*
- c) *Certificate of registration from the NGO Bureau*
- d) *Permit issued by the NGO Bureau*
- e) *Copy of the MLCO/Administrator's National ID in case of a Ugandan national, Refugee ID for refugees or passport and work permit in case of a foreign national.*

11.15 All licensing authorities in Uganda

11.15.1 Registration requirements

- a) *Correctly filled forms 1 & 3*
- b) *Copy of the MLCO/Administrator's National ID in case of a Ugandan national, Refugee ID for refugees or passport and work permit in case of a foreign national.*

11.16 Trust and company service providers not covered elsewhere in the 2nd 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.

11.16.1 Registration requirements

- a) *Correctly filled forms 1 & 3*
- b) *Certificate of incorporation*
- c) *Copy of the MLCO/Administrator's National ID in case of a Ugandan national, Refugee ID for refugees or passport and work permit in case of a foreign national.*

11.17 Virtual Asset Service Providers i.e. a natural or legal person who conducts the following activities: -

- a) the exchange between virtual assets and fiat currencies
- b) the transfer of virtual assets
- c) the safekeeping or administration of virtual assets; and
- d) the participation in or provision of financial services related to an insurer's offer or sale of a virtual Assets

11.17.1 Registration requirements

- a) *Correctly filled forms 1 & 3*
- b) *Certificate of incorporation*

Guidelines for Online Registration on the goAML System

- c) Copy of the MLCO/Administrator's National ID in case of a Ugandan national, Refugee ID for refugees or passport and work permit in case of a foreign national.

12. Penalties for Non-Compliance

12.1 Pursuant to Regulation 4 (4) & (5) of the AML Regulations, 2023 (<https://www.fia.go.ug/sites/default/files/Anti-Money%20Laundering%20%28Amendment%29%20Regulations%2C%202023.pdf>)

an accountable person which fails to register with the FIA as required shall be issued a written Directive to comply with the requirement and where the accountable person does not comply with the issued Directive, the accountable person is liable;

- a) in the case of an accountable person that is a corporate person to a fine not exceeding 500 currency points (Ugx. 10,000,000)
- b) in the case of an accountable person that is a natural person to a fine not exceeding 250 currency points (Ugx. 5,000,000)

12.2 Pursuant to Regulation 6 (8) & (9) of the AML Regulations, 2023 (<https://www.fia.go.ug/sites/default/files/Anti-Money%20Laundering%20%28Amendment%29%20Regulations%2C%202023.pdf>)

an accountable person who fails to appoint a Money Laundering Control Officer shall be issued a written Directive to comply with the requirement and where the accountable person does not comply with the Directive, the accountable person is liable;

- a) in the case of an accountable person that is a corporate person to a fine not exceeding 1,250 currency points (Ugx. 25,000,000)
- b) in the case of an accountable person that is a natural person to a fine not exceeding 250 currency points (Ugx. 5,000,000).

13. Review of these Guidelines

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

14. Effective Date

These guidelines become effective on the 5th day of JANUARY 2024



Samuel Were Wandera
Executive Director
Financial intelligence Authority



