



## SEC Staff Announces Availability of Anti-Money Laundering Compliance Tool

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*Washington, D.C., April 16, 2007* - The Securities and Exchange Commission's staff today announced the availability of a new compliance tool to assist anti-money laundering (AML) compliance efforts by broker-dealers. The "AML Source Tool" is on the Commission's website at: <http://www.sec.gov/about/offices/ocie/amlsourcetool.htm>

Broker-dealers have compliance obligations under statutory and regulatory provisions and related rules of the securities self-regulatory organizations (SROs). The AML Source Tool, developed by the SEC's Office of Compliance Inspections and Examinations (OCIE), compiles and organizes key AML laws, rules and related guidance applicable to broker-dealers and provides links to these materials to promote easy accessibility.

"We're hoping that this AML Source Tool will assist broker-dealers with their AML compliance efforts," said Lori Richards, Director of OCIE. "It puts all AML requirements in one easy-to-reference location. While we initially developed the Source Tool for our own SEC examiners, we think it also will be an invaluable reference tool for broker-dealers and their internal AML compliance staff."

The Commission's staff appreciates the assistance it received from the staff of the U.S. Treasury Department's Office of the Financial Crimes Enforcement Network (FinCEN) and Office of Foreign Assets and Control (OFAC), as well as from the NASD and NYSE.

<http://www.sec.gov/news/press/2007/2007-67.htm>