

Financial Crime Prevention Unit  
Financial Services Regulatory Authority  
ADGM Authorities Building,  
ADGM Square,  
Al Maryah Island,  
Abu Dhabi

8 August 2021

Notice No.: FSRA/FCPU/18/2021

To: Senior Executive Officers (SEO), Money Laundering Reporting Officers (MLRO) and Principal Representatives (PR) of Relevant Persons

Dear SEO/MLRO/RP

**RE: REPORTING TARGETED FINANCIAL SANCTION (TFS) MATCH TO THE FINANCIAL INTELLIGENCE UNIT THROUGH “goAML” SYSTEM**

Targeted Financial Sanctions (TFS) Reporting:

In accordance with the TFS reporting obligations under Cabinet Resolution No. (74) of 2020, “Regarding Terrorism Lists Regulation and Implementation of UN Security Council Resolutions on the Suppression and Combating of Terrorism, Terrorist Financing, Countering the Proliferation of Weapons of Mass Destruction and its Financing and Relevant Resolutions”, the Central Bank of the UAE (CBUAE) in coordination with the Executive Office of the Committee for Goods and Materials Subject to Import and Export Control (Executive Office – IEC), **has established a unified mechanism to report TFS obligations utilizing the Financial Intelligence Unit’s (FIU) online reporting platform, goAML<sup>1</sup>.**

Going forward, the goAML platform will be the designated platform enabling Relevant Persons to comply with their TFS reporting obligations. The FIU has created two new features to raise/report TFS matches on the goAML platform, namely the:

- (i) Funds Freeze Report (FFR); and
- (ii) Partial Name Match Report (PNMR).

---

<sup>1</sup> All Relevant Persons are required to connect to the goAML online system upon receipt of their Financial Service Permission (FSP) or Registration License.



The Executive Office – IEC and the CBUAE would receive the said TFS reports submitted via the goAML platform simultaneously.

*Procedures on TFS reporting via the goAML Platform:*

When a **'confirmed match'** to a listing of names of individuals, groups, or entities to the UAE Local Terrorist List or UNSC Consolidated List is identified, Relevant Persons are required to take the following necessary actions:

1. Implement all necessary freezing measures without delay as outlined in the Cabinet Resolution No. (74) of 2020, Guidance on TFS issued by the Executive Office – IEC;
2. Report any freezing measure, prohibition to provide funds or services, and any attempted transactions to the Executive Office – IEC and the CBUAE **via the goAML platform within 2 business days** by selecting the Fund Freeze Report (FFR);
3. Ensure all the necessary information and documents regarding the 'confirmed match' is uploaded along with the FFR;
4. Uphold freezing measures related to the 'confirmed match' until further instructions are received from Executive Office – IEC; and
5. Notify and share a copy of the report with your Supervisory Authority, Financial Crime Prevention Unit through this email [fcpu@adgm.com](mailto:fcpu@adgm.com)

When a **'potential match'** to a listing of names of individuals, groups, or entities to the UAE Local Terrorist List or UNSC Consolidated List is identified, Relevant Persons are required to take the following necessary action:

1. Suspend without delay any transaction and refrain from offering any funds or services, as outlined in the Cabinet Resolution No. (74) of 2020, Guidance on TFS issued by the Executive Office – IEC;
2. Report the 'potential match' to the Executive Office – IEC and the CBUAE **via the goAML platform** by selecting the Partial Name Match Report (PNMR);
3. Ensure all the necessary information and documents regarding the name match is uploaded;
4. Uphold suspension measures related to the 'potential match' until further instructions are received from Executive Office – IEC via the goAML platform on whether to cancel the suspension measures or to implement freezing measures; and
5. Notify and share a copy of the report with your Supervisory Authority, Financial Crime Prevention Unit through this email [fcpu@adgm.com](mailto:fcpu@adgm.com)

Relevant Persons are reminded that the failure to raise a TFS report may constitute a contravention of the AML Rulebook and Cabinet Resolution No. (74) of 2020. The Financial Services Regulatory Authority (FSRA) will take appropriate action against Relevant Persons who contravene FSRA administered regulations and rules and the Federal AML/CFT Laws.

Sincerely,

**Financial Crime Prevention**