



ABU DHABI GLOBAL MARKET
سوق أبوظبي العالمي

Date: 27 July 2017

Ref. No. FSRA/AML/170002

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

Dear SEO/MLRO/PR,

On 24 July 2017 the UAE Government updated their list of designated terrorist organisations and individuals in accordance with Federal Law No. 7 of 2014 on Combating Terrorism Crimes. The updated list was issued pursuant to UAE Cabinet of Ministers' Resolution No. 18 of 2017. The Government announcement was published on WAM at: <http://wam.ae/en/details/1395302624531>

On 25 July 2017 the Central Bank of the UAE issued notice 218/2017 requesting banks and other financial institutions, money changers, finance and investment companies operating in the UAE to take the following action:

- 1- To search for and freeze any account/accounts or deposits or investments or any other financial instruments.
- 2- Identify any credit facilities or safe deposit boxes, or any financial transfers executed from inception of opening account/accounts till date.
- 3- Deny access to the safe deposit boxes.
- 4- Stop any financial transfers in the names mentioned in the attached list.
- 5- Confirmation on the implementation of the above mentioned instructions.
- 6- Provide the following:

Detailed reports of amounts deposited or transferred to the account/accounts (in operation at present and the closed) and amounts withdrawn or transferred from/to the account/accounts, including name of depositors/transferrers, beneficiaries and their sources, from inception till date, supported by the following documents:

- Account / Accounts Opening Forms and related documents
- Authorized person / persons to operate the account / accounts
- Account / Accounts statements from their inception till date
- Deposit / withdrawal / transfer slips
- Swift copy & other financial transfer's receipts
- Documents relating to verification of source of funds credited to the Account / Accounts
- Application Forms for Loans & other Facilities and related documents
- Cheques
- Any other relevant documents

FINANCIAL SERVICES REGULATORY AUTHORITY
سلطة تنظيم الخدمات المالية

Abu Dhabi Global Market Al Maryah Island PO Box 111999 Abu Dhabi United Arab Emirates T +971 2 333 8888
سوق أبوظبي العالمي جزيرة الماريا من ب 111999 أبوظبي الإمارات العربية المتحدة هاتف +971 2 333 8888

adgm.com



Therefore, you are required to immediately comply with Actions 1 to 6 above and provide your confirmation on the implementation on these instructions, including any NIL findings. Your confirmations and any NIL findings must be sent to the following email: Michael.larter@adgm.com no later than close of business 3 August 2017.

Yours faithfully,

Richard Teng
Chief Executive Officer
Financial Services Regulatory Authority