



ABU DHABI GLOBAL MARKET
سوق أبوظبي العالمي

Date: 15 January 2018

Notice No.: FSRA/FCPU/001/2018

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

Dear SEO/MLRO/PR

On 22 November 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. 53 of 2017. The Government announcement was published on WAM at: <http://wam.ae/en/details/1395302648918>

On 14 January 2018, the Central Bank of the UAE issued notice 9/2018 requesting banks and other financial institutions, moneychangers, finance and investment companies operating in the UAE to take the following action in relation to the names appearing on the attached list:

1. Search and freeze any account(s), deposits, investments or any other financial instruments.
2. Identify and report 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 and stop any financial transfers in the names mentioned on the list.
4. Confirm the implementation of the above mentioned instructions, and 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of amounts deposited or transferred to the account/accounts (in operation at present and the closed) and amounts withdrawn or transferred from/to the account/accounts, including name of depositors/transferrers, beneficiaries and their sources, from inception till date, supported by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 documents

FINANCIAL SERVICES REGULATORY AUTHORITY
سلطة تنظيم الخدمات المالية

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

adgm.com



Articles 1.1 and 14 of the FSRA's Anti-Money Laundering and Sanctions Rules and Guidance (AML) are applicable to all recipients of this notification and failure to comply with these instructions will expose you to legal accountability under the laws of the United Arab Emirates.

Therefore, all **financial institutions** are required to immediately comply with Actions 1, 2, 3 and 4 above and provide your confirmation on the implementation of these instructions, including any NIL findings.

Any Person who specifically falls within Rule 1.2.3 of the FSRA's Anti-Money Laundering and Sanctions Rules and Guidance (AML) are required to report on any dealings, relationships or transactions, your firm may have had with those names appearing on the list to the Financial Crime Prevention Unit (FCPU). In addition, you are required to provide your confirmation on the implementation of these instructions, including any NIL findings.

Your confirmations and any NIL findings must be sent to the following email: fcpu@adgm.com no later than close of business 21 January 2018.

Sincerely,

Thomas Hirschi, Executive Director
Banking and Insurance