



<p>Date: 15/4/2021 Ref: 2/2021</p> <p>To: Licensed Financial Service Companies and Licensed Securities and Commodities Exchanges Operating in the United Arab Emirates.</p> <p><u>Subject: Implementation of United Nations Security Council (UNSC) and UAE Cabinet Resolutions regarding UNSC and Local Lists</u></p> <p>After greetings,</p>	<p>التاريخ: 2021/4/15 مرجع : 2021/2</p> <p>إلى كافة الشركات المرخصة وأسواق الأوراق المالية والسلع المرخصة في دولة الإمارات العربية المتحدة</p> <p><u>الموضوع: تنفيذ قرارات مجلس الأمن التابع للأمم المتحدة وقرارات مجلس الوزراء لدولة الإمارات بشأن قوائم الجزاءات الأممية والقوائم المحلية</u></p> <p>تحية طيبة وبعد،،</p>
<p>With reference to the legislations issued on Implementation of United Nations Security Council (UNSC) and UAE Cabinet Resolutions regarding UNSC and Local Lists, all entities are hereby notified to comply with Federal Cabinet Decision 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 and specifically to complying with Article No.21 of the Decision having title 'Obligations of Financial Institutions and DNFBPs'.</p>	<p>بالإشارة إلى القرارات الصادرة بشأن تنفيذ قرارات مجلس الأمن التابع للأمم المتحدة وقرارات مجلس الوزراء لدولة الإمارات بشأن قوائم الجزاءات الأممية والقوائم المحلية، يجب على كافة الجهات المرخصة الامتثال بتنفيذ ما ورد في قرار مجلس الوزراء رقم 74 لسنة 2020 بشأن نظام قوائم الإرهاب وتطبيق قرارات مجلس الأمن المتعلقة بمنع وقمع الإرهاب وتمويله ووقف انتشار التسلح وتمويله والقرارات ذات الصلة وخاصة ما ورد في المادة 21 من القرار بشأن "التزامات المنشآت المالية والأعمال والمهن غير المالية المحددة"</p>
<p>The email address relating to receiving the notification form, as well as any inquiry relating to the implementation of UNSCRs and Cabinet Resolutions concerning the Local lists is:</p>	<p>أدناه البريد الإلكتروني المعتمد لاستلام الإخطارات ولتلقى أية استفسارات تتعلق بتنفيذ قرارات مجلس الأمن التابع للأمم المتحدة وقرارات مجلس الوزراء بشأن القوائم المحلية:</p>
<p>tfsnotice@sca.ae</p>	
<p>Please ensure compliance with the above at all times and use the attached notification form when required.</p>	<p>يرجى الامتثال لما ورد أعلاه في جميع الأوقات واستخدام نموذج الإخطار المرفق عندما يتطلب الأمر.</p>
<p>Sincerely Yours,</p>	<p>وتفضلوا بقبول فائق الاحترام والتقدير،،،</p>

Notification Form

Enclosure to the SCA's Notice No. (2) /2021
Dated 15/04/2021

Financial Institution's Name: _____ Date: _____

Please fill out the relevant box below and send to tfsnotice@sca.ae

☐ We have identified a **match to a listing** of an individual or an entity.

The individual or entity is designated by the:

☐ UNSC Resolution No. _____ ☐ UAE Cabinet Resolution No. _____

Individual or entity name: _____

We have **frozen** the following:

☐ Accounts ☐ Deposits ☐ Investments
☐ Credit facilities ☐ Safe deposit boxes ☐ Financial transfers
☐ Any other financial instruments: _____

Total amount of **frozen** funds: _____

Funds frozen at: ____:____ am/pm, on ____/____/20____

Additional information: _____

Kindly include copies of account(s) opening forms, KYC records and account statements from inception to date, as well as details of safe deposit boxes and financial transfers. Note that credits to the frozen account(s) are acceptable, but are also to be frozen, as per the Cabinet Decision No. (74) of 2020.

Note that submitting this notification form does not absolve your Financial Institution's responsibility to submit a STR or SAR to the Financial Intelligence Unit, if deemed necessary.

☐ We have identified a **match to a delisting** of an individual or an entity.

The individual or entity is delisted from the sanctions list of the:

☐ UNSC Resolution No. _____ ☐ UAE Cabinet Resolution No. _____

Individual or entity name: _____

We have **canceled the freeze** on the following:

☐ Accounts ☐ Deposits ☐ Investments
☐ Credit facilities ☐ Safe deposit boxes ☐ Financial transfers
☐ Any other financial instruments: _____

Total amount of **unfrozen** funds: _____

Funds unfrozen at: ____:____ am/pm, on ____/____/20____

Additional information: _____

Kindly include copies of account(s) opening forms, KYC records and account statements from inception to date, as well as details of safe deposit boxes and financial transfers.

Authorized Signature(s): _____

Full name(s): _____

Designation(s): _____
