3 May 2012

Circular to Licensed Corporations and Associated Entities

Anti-Money Laundering / Counter-Terrorist Financing

(1) United Nations (Anti-Terrorism Measures) Ordinance

(2) United Nations Sanctions (Liberia) Regulation 2012 and the United Nations Sanctions (Liberia) Regulation 2011 (Repeal) Regulation

(3) United Nations Sanctions (Afghanistan) Regulation 2012

(4) United Nations Sanctions (Somalia) Regulation

(5) United Nations Sanctions (Eritrea) Regulation

(6) United Nations Sanctions (Libya) Regulation 2011

(7) US President's Executive Order 13224

(1) United Nations (Anti-Terrorism Measures) Ordinance

Further to our circular issued on 10 April 2012, an updated list specifying terrorists and terrorist associates designated by the United Nations Security Council ("UNSC") was published under section 4 of the United Nations (Anti-Terrorism Measures) Ordinance ("the UNATMO") (Cap. 575) in the Gazette on 27 April 2012 (G.N. 2774 of 2012). Relevant press releases issued by the UNSC are attached in Attachment 1.

(2) United Nations Sanctions (Liberia) Regulation 2012 and United Nations Sanctions (Liberia) Regulation 2011 (Repeal) Regulation

The United Nations Sanctions (Liberia) Regulation 2012 ("the Liberia Regulation") and the United Nations Sanctions (Liberia) Regulation 2011 (Repeal) Regulation ("the Liberia Repeal Regulation"), made under the United Nations Sanctions Ordinance (Cap. 537), were published in the Gazette (L.N. 71 & 72 of 2012) on 27 April 2012. The Liberia Regulation except the provisions relating to financial sanctions came into effect on 27 April 2012. The provisions of the Liberia Regulation relating to financial sanctions will come into effect on 4 May 2012.

The Liberia Regulation implements sanctions against Liberia imposed by the UNSC Resolution 2025 and continues the implementation of the existing financial sanctions against Liberia under the UNSC Resolution 1532. We would like to draw licensed corporations' ("LCs") and associated entities' ("AEs") attention to section 6 of the Liberia Regulation which prohibits making available funds or other financial assets or economic

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resources to certain persons or entities, or dealing with funds or other financial assets or economic resources belonging to such persons or entities, except with a licence.

(3) United Nations Sanctions (Afghanistan) Regulation 2012

Further to our circular issued on 27 March 2012, an updated list specifying "relevant persons" designated by the UNSC was published under section 29 of the United Nations Sanctions (Afghanistan) Regulation 2012 (Cap. 537AX) in the Gazette on 27 April 2012 (G.N. 2775 of 2012).

(4) United Nations Sanctions (Somalia) Regulation

Further to our circular issued on 13 May 2011, an updated list specifying "relevant entities and persons" designated by the UNSC was published under section 30 of the United Nations Sanctions (Somalia) Regulation (Cap. 537AN) in the Gazette on 27 April 2012 (G.N. 2778 of 2012).

(5) United Nations Sanctions (Eritrea) Regulation

Further to our circular issued on 13 May 2011, an updated list specifying "relevant entities and persons" designated by the UNSC was published under section 32 of the United Nations Sanctions (Eritrea) Regulation (Cap. 537AR) in the Gazette on 27 April 2012 (G.N. 2776 of 2012).

(6) United Nations Sanctions (Libya) Regulation 2011

Further to our circular issued on 27 March 2012, an updated list specifying "relevant entities and persons" designated by the UNSC was published under section 38 of the United Nations Sanctions (Libya) Regulation 2011 (Cap. 537AW) in the Gazette on 27 April 2012 (G.N. 2777 of 2012).

(7) US President's Executive Order 13224

Further to our circular issued on 10 April 2012, this is to inform you that the US Government has updated the list of designated individuals and entities issued under the US President's Executive Order 13224 ("the Executive Order"). The updated information can be found on the website of the US Treasury (http://www.treasury.gov/resource-center/sanctions/Programs/Documents/terror.pdf) under the headings of "Name of individual removed on 4-19-12", "Name of entity changed on 4-19-12"and "Name of entity changed on 4-23-12".

As the designated individuals and entities under the Executive Order may be updated by the US Government from time to time, LCs and AEs are reminded to browse the website of the US Treasury regularly for the latest information

The aforesaid regulations in item (2) and lists in items (1) and (3) to (6) can be found on the Government's website http://www.gld.gov.hk/cgi-bin/gld/egazette/index.cgi?lang=e).

For items (1) and (3) to (7), LCs and AEs should check the names in all of the above lists against their records, and report any transactions or relationships they have or have had with the named persons or entities to the Joint Financial Intelligence Unit.

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Furthermore, LCs and AEs are reminded to refer to Chapter 6 of the Guideline on Anti-Money Laundering and Counter-Terrorist Financing ("AML Guideline") which contains guidance on the appropriate measures that LCs and AEs should take to ensure compliance with the UNATMO, the regulations made under United Nations Sanctions Ordinance and the Executive Order [Note 1].

Should you have any queries regarding the contents of this circular, please contact Ms Kiki Wong on 2840 9569.

Intermediaries Supervision Department
Securities and Futures Commission

Enclosure

End

SFO/IS/011/2012

[Note 1] *Under paragraph 6 of the Prevention of Money Laundering and Terrorist Financing Guideline issued by the Securities and Futures Commission for Associated Entities, AEs that are not authorized financial institutions are expected to have regard to the provisions of the AML Guideline as if they were themselves LCs.*

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21 March 2012

Attachment 1

Security Council
SC/10586

Department of Public Information • News and Media Division • New York

SECURITY COUNCIL AL-QAIDA SANCTIONS COMMITTEE AMENDS 12 ENTRIES ON ITS SANCTIONS LIST

On 20 March 2012, the Security Council Committee pursuant to resolutions 1267 (1999) and 1989 (2011) approved the amendments specified with strikethrough and underline in the entries below on its Al-Qaida Sanctions List of individuals and entities subject to the assets freeze, travel ban and arms embargo set out in paragraph 1 of Security Council resolution 1989 (2011) adopted under Chapter VII of the Charter of the United Nations.

B. Entities and other groups and undertakings associated with Al-Qaida

QE.A.4.01. Name: AL-QAIDA
Name (original script): القاعدة
A.k.a.: a) "The Base" **b)** Al Qaeda **c)** Islamic Salvation Foundation **d)** The Group for the Preservation of the Holy Sites **e)** The Islamic Army for the Liberation of Holy Places **f)** The World Islamic Front for Jihad Against Jews and Crusaders **g)** Usama Bin Laden Network **h)** Usama Bin Laden Organization **i)** Al Qa'ida **j)** Al Qa'ida/Islamic Army (formerly listed as) **F.k.a.:** na **Address:** na **Listed on:** 6 Oct. 2001 (amended on 5 Mar. 2009, 21 Mar. 2012) **Other information:** Review pursuant to Security Council resolution 1822 (2008) was concluded on 21 Jun. 2010.

QE.W.15.01. Name: WAFA HUMANITARIAN ORGANIZATION
A.k.a.: a) Al Wafa **b)** Al Wafa Organization **c)** Wafa Al-Igatha Al-Islamia **F.k.a.:** na **Address: a)** Jordan House No. 125, Street 54, Phase II Hayatabad, Peshawar, Pakistan (at time of listing) **b)** Saudi Arabia (at time of listing) **c)** Kuwait (at time of listing) **d)** United Arab Emirates (at time of listing) **e)** Afghanistan (at time of listing) **Listed on:** 6 Oct. 2001 (amended on 21 Mar. 2012) **Other information:** Headquarters was in Kandahar, Afghanistan as at 2001. Wafa was a component of Al-Qaida (QE.A.4.01) in 2001. Review pursuant to Security Council resolution 1822 (2008) was concluded on 21 Jun. 2010.

QE.R.21.01. Name: RABITA TRUST
A.k.a.: na **F.k.a.:** na **Address: a)** Room 9a, 2nd Floor, Wahdat Road, Education Town, Lahore, Pakistan **b)** Wares Colony, Lahore, Pakistan (at time of listing) **Listed on:** 17 Oct. 2001 (amended on 21 Mar. 2012) **Other information:** Wa'el Hamza Abd al-Fatah Julaidan (QI.J.79.02) served as its Director General. Banned in Pakistan. Review pursuant to Security Council resolution 1822 (2008) was concluded on 21 Jun. 2010.

QE.A.103.04. Name: AL-HARAMAIN FOUNDATION (INDONESIA)
A.k.a.: Yayasan Al-Manahil-Indonesia **F.k.a.:** na **Address:** Jalan Laut Sulawesi Blok DII/4, Kavling Angkatan Laut Duren Sawit, Jakarta Timur 13440 Indonesia (at time of listing); Tel.: 021-86611265 and 021-86611266; Fax.: 021-8620174 **Listed on:** 26 Jan. 2004 (amended on 21 Mar. 2012) **Other information:** Review pursuant to Security Council resolution 1822 (2008) was concluded on 22 Jun. 2010.

QE.A.104.04. Name: AL-HARAMAIN FOUNDATION (PAKISTAN)
A.k.a.: na **F.k.a.:** na **Address:** House #279, Nazimuddin Road, F-10/1, Islamabad, Pakistan (at time of listing) **Listed on:** 26 Jan. 2004 (amended on 21 Mar. 2012) **Other information:** Review pursuant to Security Council resolution 1822 (2008) was concluded on 19 Oct. 2009.

QE.A.105.04. Name: AL-HARAMAYN FOUNDATION (KENYA)
A.k.a.: na **F.k.a.:** na **Address: a)** Nairobi, Kenya, (at time of listing) **b)** Garissa, Kenya, (at time of listing) **c)** Dadaab, Kenya, (at time of listing) **Listed on:** 26 Jan. 2004 (amended on 21 Mar. 2012) **Other information:** Review pursuant to Security Council resolution 1822 (2008) was concluded on 22 Jun. 2010.

QE.A.106.04. Name: AL-HARAMAYN FOUNDATION (TANZANIA)
A.k.a.: na **F.k.a.:** na **Address: a)** P.O. Box 3616, Dar es Salaam, Tanzania (at time of listing) **b)** Tanga (at time of listing) **c)** Singida (at time of listing) **Listed on:** 26 Jan. 2004 (amended on 21 Mar. 2012) **Other information:** Review pursuant to Security Council resolution 1822 (2008) was concluded on 22 Jun. 2010.

QE.A.110.04. Name: AL-HARAMAIN: AFGHANISTAN BRANCH
A.k.a.: na **F.k.a.:** na **Address:** Afghanistan, (at time of listing) **Listed on:** 6 Jul. 2004 (amended on 21 Mar. 2012) **Other information:** Review pursuant to Security Council resolution 1822 (2008) was concluded on 22 Jun. 2010.

QE.A.111.04. Name: AL-HARAMAIN: ALBANIA BRANCH
A.k.a.: na **F.k.a.:** na **Address:** Irfan Tomini Street, #58, Tirana, Albania (at time of listing) **Listed on:** 6 Jul. 2004 (amended on 21 Mar. 2012) **Other information:** Review pursuant to Security Council resolution 1822 (2008) was concluded on 22 Jun. 2010.

QE.A.112.04. Name: AL-HARAMAIN: BANGLADESH BRANCH
A.k.a.: na **F.k.a.:** na **Address:** House 1, Road 1, S-6, Uttara, Dhaka, Bangladesh (at time of listing) **Listed on:** 6 Jul. 2004 (amended on 21 Mar. 2012) **Other information:** Review pursuant to Security Council resolution 1822 (2008) was concluded on 22 Jun. 2010.

QE.A.113.04. Name: AL-HARAMAIN: ETHIOPIA BRANCH
A.k.a.: na **F.k.a.:** na **Address:** Woreda District 24 Kebele Section 13, Addis Ababa, Ethiopia (at time of listing) **Listed on:** 6 Jul. 2004 (amended on 21 Mar. 2012) **Other information:** Review pursuant to Security Council resolution 1822 (2008) was concluded on 22 Jun. 2010.

QE.A.116.04. Name: AL-HARAMAIN FOUNDATION (UNION OF THE COMOROS)
A.k.a.: na **F.k.a.:** na **Address:** B/P: 1652 Moroni, Union of the Comoros (at time of listing) **Listed on:** 28 Sep. 2004 (amended on 21 Mar. 2012) **Other information:** Review pursuant to Security Council resolution 1822 (2008) was concluded on 22 Jun. 2010.

The Committee's Al-Qaida Sanctions List is updated regularly on the basis of relevant information provided by Member States and international and regional organizations. This is the seventh update of the List in 2012. An updated List is accessible on the Committee's website at the following URL: http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml.

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2 April 2012

Security Council
SC/10598

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SECURITY COUNCIL AL-QAIDA SANCTIONS COMMITTEE DELETES ONE INDIVIDUAL FROM ITS LIST

Decision Taken Following Review of De-listing Request Submitted through Office of the Ombudsperson

On 30 March 2012, the Security Council Al-Qaida Sanctions Committee decided to remove the name of the one individual below from the Al-Qaida Sanctions List after concluding its consideration of a de-listing request submitted through the Ombudsperson established pursuant to Security Council resolution 1904 (2009), and after considering the Comprehensive Report of the Ombudsperson on this de-listing request.

Therefore, the assets freeze, travel ban and arms embargo set out in paragraph 1 of Security Council resolution1989 (2011) no longer apply to the name set out below.

Removed from Section A. Individuals associated with Al-Qaida

QI.A.94.03. Name: 1: MONDHER 2: BEN MOHSEN 3: BEN ALI 4: AL-BAAZAOUI
Name (original script): المنذر بن محسن بن علي البعزاوي
Title: na **Designation:** na **DOB:** 18 Mar. 1967 **POB:** Kairouan, Tunisia **Good quality a.k.a.: a)** Manza Mondher, born 18 Aug. 1968 in Tunisia **b)** Hanza Mondher, born 18 Aug. 1968 in Tunisia **c)** Al Yamani Noman, born 28 May 1961 in Yemen **Low quality a.k.a.: a)** Hamza **b)** Abdellah **Nationality:** Tunisian **Passport no.:** Tunisian passport number K602878, issued on 5 Nov. 1993, expired on 9 June 2001 **National identification no.:** na **Address:** 17 Boulevard Soustre, 04000 Digne-les-Bains, France **Listed on:** 25 Jun. 2003 (amended on 20 Dec. 2005, 17 Oct. 2007, 10 Aug. 2009, 1 Dec. 2010) **Other information:** Extradited from Italy to France on 4 Sep. 2003. Review pursuant to Security Council resolution 1822 (2008) was concluded on 15 Jun. 2010.

The names of individuals and entities removed from the Al-Qaida Sanctions List pursuant to a decision by the Committee may be found in the "Press Releases" section on the Committee's website. Other information about de-listing may be found on the Committee's website at:
http://www.un.org/sc/committees/1267/delisting.shtml.

The Al-Qaida Sanctions List is updated regularly on the basis of relevant information provided by Member States and international and regional organizations. This is part of the eighth update of the List in 2012. An updated List is accessible on the Committee's website at the following URL:
http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml.

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13 April 2012

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SC/10608

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SECURITY COUNCIL AL-QAIDA SANCTIONS COMMITTEE ADDS SON HADI BIN MUHADJIR TO ITS SANCTIONS LIST, AMENDS TWO ENTRIES

On 12 April 2012, the Security Council Committee pursuant to resolutions 1267 (1999) and 1989 (2011) approved the addition of the entry specified below to its Al-Qaida Sanctions List of individuals and entities subject to the assets freeze, travel ban and arms embargo set out in paragraph 1 of Security Council resolution 1989 (2011) adopted under Chapter VII of the Charter of the United Nations.

A. Individuals associated with Al-Qaida

QI.B.310.12. Name: 1: SON 2: HADI 3: BIN MUHADJIR 4: na **Title:** na **Designation:** na **DOB:** 12 May 1971 **POB:** Pasuran, East Java, Indonesia **Good quality a.k.a.: a)** Son Hadi bin Muhadjr **b)** Son bn Hadi Muhadjir **c)** Son Hadi bin Mujahir **Low quality a.k.a.:** na **Nationality:** Indonesian **Passport no.:** Indonesian passport number R057803 under name Son bn Hadi Muhadjir **National identification no.:** Indonesian National Identity Card number 3514131205710004 under name Son Hadi **Address:** Jalan Raya, Gongdanglegi, RT/RW 1/13 Cangkring Malang, Beji, Pasuran 67154, East Java, Indonesia **Listed on:** 13 Apr. 2012 **Other information:** Spokesperson and director of Media Center of Jemmah Anshorut Tauhid (JAT) (QE.J.133.12.). Associated with Mochammad Achwan (QI.A.304.12.) and Jemaah Islamiyah (QE.J.92.02.).

In accordance with paragraph 19 of resolution 1989 (2011), the Committee has made accessible on its website the narrative summary of reasons for listing of the above name, at the following URL: http://www.un.org/sc/committees/1267/NSQI31012E.shtml.

On 13 April 2012, the Committee also enacted the amendments specified with strikethrough and underline in the entries below to its List of individuals and entities subject to the assets freeze, travel ban and arms embargo set out in paragraph 1 of Security Council resolution 1904 (2009) adopted under Chapter VII of the Charter of the United Nations.

B. Entities and other groups and undertakings associated with Al-Qaida

QE.A.114.04. Name: AL-HARAMAIN: THE NETHERLANDS BRANCH **A.k.a.:** Stichting Al Haramain Humanitarian Aid **F.k.a.:** na **Address:** Jan Hanzenstraat 114, 1053SV, Amsterdam, The Netherlands (at time of listing) **Listed on:** 6 Jul. 2004 (amended on 13 Apr. 2012) **Other information:** The founder and former leader is Aqeel Abdulaziz Aqeel al-Aqeel (QI.A.171.04) who was also chairman of its board of directors. Review pursuant to Security Council resolution 1822 (2008) was concluded on 28 Jun. 2010.

QE.M.120.05. Name: MOVEMENT FOR REFORM IN ARABIA **Name (original script):** الحركة الإسلامية للإصلاح **A.k.a.: a)** Movement for Islamic Reform in Arabia **b)** MIRA **c)** Al Islah (Reform) **d)** MRA **e)** Al-Harakat al-Islamiyah lil-Islah **f)** Islamic Movement for Reform **g)** Movement for (Islamic) Reform in Arabia Ltd **h)** Movement for Reform in Arabia Ltd **F.k.a.:** na **Address:** BM Box: MIRA, London WC1N 3XX, United Kingdom, Alternate Address: Safiee Suite, EBC House, Townsend Lane, London, NW9 8LL, United Kingdom **Listed on:** 15 Jul. 2005 (amended on 13 Apr. 2012) **Other information:** Email address: info@islah.org, info@islah.tv, Website: http://www.islah.info, Tel: 020 8452 0303, Fax: 020 8452 0808, UK Company number 03834450. Founded and led by Saad Rashed Mohammad al-Faqih (QI.A.181.04). Review pursuant to Security Council resolution 1822 (2008) was concluded on 29 Jul. 2010.

The Committee's Al-Qaida Sanctions List is updated regularly on the basis of relevant information provided by Member States and international and regional organizations. This is the ninth update of the List in 2012. An updated List is accessible on the Committee's website at the following URL: http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml.

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