

18 April 2019

Circular to Licensed Corporations and Associated Entities

Anti-Money Laundering / Counter-Financing of Terrorism

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

(2) United Nations Sanctions (ISIL and Al-Qaida) Regulation

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

Further to our circular issued on 16 April 2019, 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 (G.N. (E.) 22 of 2019) on 18 April 2019. A relevant press release issued by the UNSC, reflecting the updates since the previous list was published in the Gazette (G.N. (E.) 21 of 2019), is attached in Attachment 1 ^{Note 1}.

The aforesaid list can be found on the Government’s website (<https://www.gld.gov.hk/egazette/pdf/20192322e/egn2019232222.pdf>).

(2) United Nations Sanctions (ISIL and Al-Qaida) Regulation

Further to our circular issued on 16 April 2019, an updated list specifying “individuals, groups, undertakings and entities” was published under section 25 of the United Nations Sanctions (ISIL and Al-Qaida) Regulation (Cap. 537CB) on the website of the Commerce and Economic Development Bureau on 18 April 2019. A relevant press release issued by the UNSC, reflecting the updates since the previous list was published on the website of the Commerce and Economic Development Bureau, is attached in Attachment 1 ^{Note 1}.

The aforesaid list obtained from the website of the Commerce and Economic Development Bureau is attached in Attachment 2.

Licensed corporations (“LCs”) and associated entities (“AEs”) are reminded to refer to Chapter 6 of the Guideline on Anti-Money Laundering and Counter-Financing of Terrorism (For Licensed Corporations) (“AML Guideline”) which contains guidance on the appropriate measures that LCs and AEs should take to ensure compliance with the regulations made under the UNATMO (Cap. 575) and the United Nations Sanctions Ordinance (Cap.537) ^{Note 2}. The Securities and Futures Commission expects all new designations to be screened by LCs and AEs against their client lists as soon as practicable whenever there are updates. LCs

^{Note 1} The updates made to the sanctions lists published under the UNATMO and the United Nations Sanctions (ISIL and Al-Qaida) Regulation are identical.

^{Note 2} 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.



and AEs are also reminded to report any transactions or relationships they have or have had with any designated person or entity to the Joint Financial Intelligence Unit.

Should you have any queries regarding the contents of this circular, please contact Ms Kiki Wong at 2231 1569 who will assist to refer your queries to the relevant officer.

Intermediaries Supervision Department
Intermediaries Division
Securities and Futures Commission

Enclosure

End

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