



To: All registrants and licensees

Date: 23 September 2019

Re: United Nations Security Council Updated Sanctions List

The Securities Commission of The Bahamas wishes to advise its registrants and licensees that the United Nations Security Council has issued an update to its List of Individuals and Entities Subject to Sanctions removing Hassan Abdullah Hersi Al Turki (QDi.172). The update to the Sanctions List is contained in the attached United Nations Security Council Letter SCA/2/19 (18).

Please be advised that, pursuant to section 3 of the International Obligations (Economic and Ancillary Measures) (Amendment) Act, 2019, the aforementioned updates immediately have the effect of law.

The Commission takes this opportunity to remind registrants and licensees of the requirement to file suspicious transaction reports with the Financial Intelligence Unit where required. Licensees and registrants are also reminded to comply with Section 44 of the Anti-Terrorism Act, 2018, the Anti-Terrorism (Amendment) Act, 2019 and the Anti-Terrorism Regulations, 2019.

Licensees and registrants are further urged to regularly consult the following UNSC website addresses, to ensure continued compliance, and accurate record keeping relating to United Nations Security Council Resolutions:

1. UNSC: <https://www.un.org/securitycouncil/>
2. UNSC Sanctions list materials: <https://www.un.org/securitycouncil/sanctions/1718/materials>
3. Consolidated UNSC Sanctions List: <https://scsanctions.un.org/consolidated/>

In addition, the Commission advises that registrants/licensees are required to review all transactions, records and databases against any Orders issued under the International Obligations (Economic and Ancillary Measures) Act and the United Nations Securities Council Sanctions List on a quarterly basis and provide the Commission with the required reports and confirmations. Quarterly reports should be made by the submission of Form 1A or Form 1B, as appropriate.

Please be advised that failure to submit the required reports may result in disciplinary action, including a minimum fine of \$200.00 per day per Order.

Further, please be reminded that registrants and licensees are also required to file an annual declaration (see: Form 2, attached), certifying that their operations are in full compliance with the provisions of any Orders issued pursuant to the International Obligations (Economic and Ancillary Measures) Act, signed by at least two (2) Directors of its Board of Directors or in the alternative, one (1) Director and the compliance officer registered with the Commission.

A copy of this notice, as well as the abovementioned United Nations Security Council Letter SCA/2/19, can be found on the Commission's website. Any inquiries concerning this notice may be directed to the Commission at:

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2nd Floor,
31A East Bay Street
P. O. Box N-8347
Nassau, The Bahamas
Email: info@scb.gov.bs
Telephone: 1-(242) 397-4100 (Nassau)
1-(242)-225-8171 (Family Island toll free)
1-(360)-450-0981 (International)

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REFERENCE: SCA/2/19 (18)

The Chair of the Security Council Committee pursuant to resolutions 1267 (1999), 1989 (2011) and 2253 (2015) concerning ISIL (Da'esh), Al-Qaida and associated individuals, groups, undertakings and entities presents his compliments to the Permanent Representatives and Observers to the United Nations and wishes to convey the following:

On 9 August 2019, the Committee enacted **the technical amendments** specified with strikethrough and underline in **the entry** below on its List of individuals and entities subject to sanctions - assets freeze, travel ban, and arms embargo- set out in paragraph 1 of Security Council resolution 2368 (2017) and adopted under Chapter VII of the Charter of the United Nations.

B. Entities and other groups

QDe.002 Name: AL-ITIHAAD AL-ISLAMIYA / AIAI

Name (original script): الاتحاد الاسلامي

A.k.a.: na **F.k.a.:** na **Address:** na **Listed on:** 6 Oct. 2001 (amended on 21 Dec. 2007, 13 Dec. 2011, 18 Mar. 2013, 9 Aug 2019) **Other information:** Reported to have operated in Somalia and Ethiopia and to have merged with Harakat Al-Shabaab Al-Mujaahidiin (Al-Shabaab), which was accepted as an affiliate of Al-Qaida (QDe.004) by Aiman Muhammed Rabi al-Zawahiri (QDi.006) in Feb. 2012, and is also subject to the sanctions measures set out in Security Council resolution 1844 (2008) concerning Somalia and Eritrea (see <https://www.un.org/sc/suborg/en/sanctions/751>). Leadership included ~~Hassan Abdullah Hersi Al Turki (QDi.172)~~ and Hassan Dahir Aweys (QDi.042). AIAI has received funds through the Al-Haramain Islamic Foundation (Somalia) (QDe.072). Review pursuant to Security Council resolution 1822 (2008) was concluded on 21 Jun. 2010. INTERPOL-UN Security Council Special Notice web link: <https://www.interpol.int/en/How-we-work/Notices/View-UN-Notices-Entities> [click here](#)

The names of individuals and entities on the ISIL (Da'esh) and Al-Qaida Sanctions List pursuant to a decision by the Committee may be found in the "Press



Releases” section on the Committee’s website:

<https://www.un.org/securitycouncil/sanctions/1267/press-releases>.

To obtain a fully updated version of the List of individuals and entities associated with ISIL (Da’esh) and Al-Qaida and subject to the sanctions measures, Member States are encouraged to consult, on a regular basis, the Committee’s website at the following URL: https://www.un.org/securitycouncil/sanctions/1267/aq_sanctions_list. The ISIL (Da’esh) and Al-Qaida Sanctions List is available in HTML, PDF and XML format and is updated regularly on the basis of relevant information provided by Member States and international and regional organizations.

The Consolidated United Nations Security Council List is also updated following all changes made to the ISIL (Da’esh) and Al-Qaida Sanctions List. An updated version of the Consolidated List is accessible via the following URL:

<https://www.un.org/securitycouncil/content/un-sc-consolidated-list>.

In accordance with paragraph 19 of resolution 1526 (2004), the Secretariat automatically conveys updates of the ISIL (Da’esh) and Al-Qaida Sanctions List to States, regional and sub-regional organizations by e-mail shortly following the postings of such updates on the Committee’s website. Member States are invited to submit any updated or new information for this purpose to the Secretariat by e-mail to: SC-1267-Committee@un.org or fax: (+1) 212-963-1300. The Committee encourages all States to allow implementation of updates of the ISIL (Da’esh) and Al-Qaida Sanctions List based on e-mails, soft-copy notices, or website postings.

9 August 2019

[REGISTRANT/LICENSEE LETTERHEAD]

NOTICE

**RE: [Name of (i) International Obligations (Economic and Ancillary Measures) Order Citation/
(ii) Notice of the listing to the United Nations Sanctions List]**

This notice is to confirm that **[Name of Registrant/Licensee]** has conducted a review of its databases and records (including transaction records) for any findings related to **[Cite Order/and/or Individual/entity added to United Nations Sanctions List]**, and hereby confirms that there were no positive results.

Compliance Officer

[REGISTRANT/LICENSEE LETTERHEAD]

NOTICE

RE: [Name of: (i) International Obligations (Economic and Ancillary Measures) Order Citation/ (ii) Notice of the listing to the United Nations Sanctions List]

This is to confirm that [Name of Registrant/Licensee] has conducted a review of its databases and records (including transaction records) for any findings related to ***[Cite Order and/or Individual/entity added to United Nations Sanctions List]***, and hereby advise of the following positive results, which have been reported to the Attorney General and Financial Intelligence Unit:

Name of Individual/Entity	Account/Transaction Details

Compliance Officer

[REGISTRANT/LICENSEE LETTERHEAD]

DECLARATION

We, **[Name of Director]** and, **[Name of additional Director/Compliance Officer]** hereby declare that the operations of [Name of Registrant/Licensee] are in full compliance with the following Orders:

1. ***[List of International Obligations (Economic and Ancillary Measures) Orders relevant to this Declaration].***

DIRECTOR

DIRECTOR/COMPLIANCE OFFICER