



Date: 1 March 2021

To: Registrants/Licensees

Re: International Obligations (Economic and Ancillary Measures) Act, Chapter 16 (IOEAMA): Somalia

Pursuant to section 3A of the International Obligations (Economic and Ancillary Measures) Act, Chapter 16 (IOEAMA), licensees and registrants of the Securities Commission of The Bahamas (the Commission) are hereby informed of the following:

On 26 February 2021, the Security Council Committee pursuant to resolution 751 (1992) concerning Somalia approved the addition of the entries specified in the United Nations press release attached hereto to its Sanctions List of individuals and entities subject to the measures imposed by Security Council resolution 1844 (2008) and adopted under Chapter VII of the Charter of the United Nations. The press release can also be found at the web address below:

1. <https://www.un.org/press/en/2021/sc14455.doc.htm>

Licensees and registrants are urged to take all appropriate actions to ensure full compliance with the s. 3A IOEAMA, Part IV "Implementation of United Nations Security Resolutions" of the Anti-Terrorism Act, and section 8 of the Anti-Terrorism Regulations.

Licensees and registrants must confirm compliance within 30 days of the date of this notice and on a quarterly basis thereafter by submitting **Form 1A or 1B** attached, as appropriate. Please note that licensees and registrants are also required to submit confirmation of compliance to the Commission where there are no findings or 'hits'.

Licensees and registrants are further required to file an annual declaration, certifying that their operations are in full compliance with the aforementioned legislative provisions, signed by at least two Directors of its Board of Directors or in the alternative, one Director and the compliance officer registered with the Commission. The Commission further advises that the filing deadline relative to the annual declaration is 31 January annually. See **Form 2** attached.

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.

All confirmations of compliance and declarations should be addressed to:

The Executive Director
Securities Commission of The Bahamas
Poinciana House, North Building, 2nd Floor
31A East Bay Street
P. O. Box N-8347

Nassau, The Bahamas
Email: SUDfilings@scb.gov.bs

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

A copy of this notice, as well as the above-mentioned listing, can be found on the Commission's website.

Any inquiries concerning this notice may be directed to the Commission at:

Poinciana House, North Building, 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)

[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 t
he 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



United Nations

SECURITY COUNCIL PRESS RELEASE

SC/14455

26 FEBRUARY 2021

Security Council Sanctions Committee concerning Somalia Adds Three Entries to Its Sanctions List

On 26 February 2021, the Security Council Committee pursuant to resolution 751 (1992) concerning Somalia approved the addition of the entries specified below to its Sanctions List of individuals and entities subject to the measures imposed by Security Council resolution 1844 (2008) and adopted under Chapter VII of the Charter of the United Nations.

A. Individuals

SOi.018

Name: 1: ABUKAR 2: ALI 3: ADAN 4: na

Title: na **Designation:** Deputy leader of Al-Shabaab **DOB:** a) 1972; b) 1971; c) 1973 **POB:** na

Good quality a.k.a.: a) Abukar Ali Aden; b) Ibrahim Afghan; c) Sheikh Abukar **Low quality a.k.a.:**

na **Nationality:** na **Passport no:** na **National identification no:** na **Address:** na **Listed on:** 26 Feb.

2021 Other information: Listed pursuant to paragraph 8(a) of resolution 1844 (2008) as “Engaging in or providing support for acts that threaten the peace, security or stability of Somalia, including acts that threaten the Djibouti Agreement of 18 August 2008 or the political process, or threaten the TFIs or AMISOM by force.” Adan is also associated with Al-Qaida affiliates, Al-Qaida in the Arabian Peninsula (AQAP – QDe.129) and Al-Qaida in the Islamic Maghreb (AQIM – Qde.014).

INTERPOL-UN Security Council Special Notice web link: <https://www.interpol.int/en/How-we-work/Notices/View-UN-Notices-Individuals>

SOi.019

Name: 1: MAALIM 2: AYMAN 3: na 4: na

Title: na **Designation:** Founder and leader of Jaysh Ayman, an al-Shabaab unit conducting attacks and operations in Kenya and Somalia. **DOB:** a) 1973; b) 1983 **POB:** Kenya **Good quality a.k.a.:** a) Ma’alim Ayman; b) Mo’alim Ayman; c) Nuh Ibrahim Abdi; d) Ayman Kabo; e) Abdiaziz Dubow Ali **Low quality a.k.a.:** na **Nationality:** na **Passport no:** na **National identification no:** na **Address:** a) Kenya/Somalia border; b) Badamadow, Lower Juba Region, Somalia **Listed on:** 26 Feb. 2021 **Other**

information: Listed pursuant to paragraph 8(a) of resolution 1844 (2008) as “Engaging in or providing support for acts that threaten the peace, security or stability of Somalia, including acts that threaten the Djibouti Agreement of 18 August 2008 or the political process, or threaten the TFIs or AMISOM by force.” Ayman helped with preparations for the 5 January 2020 attack on Camp Simba in Lamu County, Kenya. INTERPOL-UN Security Council Special Notice web link: <https://www.interpol.int/en/How-we-work/Notices/View-UN-Notices-Individuals>

SOi.020

Name: 1: MAHAD 2: KARATE 3: na 4: na

Title: na **Designation:** na **DOB:** a) Between 1957 and 1962 **POB:** Xararadheere, Somalia **Good quality a.k.a.:** a) Mahad Mohamed Ali Karate; b) Mahad Warsame Qalley Karate; c) Abdirahim Mohamed Warsame **Low quality a.k.a.:** na **Nationality:** na **Passport no:** na **National identification no:** na **Address:** Somalia **Listed on:** 26 Feb. 2021 **Other information:** Listed pursuant to paragraph 8(a) of resolution 1844 (2008) as “Engaging in or providing support for acts that threaten the peace, security or stability of Somalia, including acts that threaten the Djibouti Agreement of 18 August 2008 or the political process, or threaten the TFIs or AMISOM by force.” Karate played a key role in the Amniyat, the wing of al-Shabaab responsible for the recent attack on Garissa University College in Kenya that resulted in nearly 150 deaths. The Amniyat is al-Shabaab’s intelligence wing, which plays a key role in the execution of suicide attacks and assassinations in Somalia, Kenya, and other countries in the region, and provides logistics and support for al-Shabaab’s terrorist activities. INTERPOL-UN Security Council Special Notice web link: <https://www.interpol.int/en/How-we-work/Notices/View-UN-Notices-Individuals>

The names of individuals and entities on the Sanctions List pursuant to a decision by the Committee may be found in the “Press Releases” section on the Committee's website: www.un.org/securitycouncil/sanctions/751/press-releases.

To obtain a fully updated version of the Sanctions List, Member States are encouraged to consult, on a regular basis, the Committee’s website at the following URL: www.un.org/securitycouncil/sanctions/751/materials. The 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 United Nations Security Council Consolidated List is also updated following all changes made to the Committee’s Sanctions List. An updated version of the Consolidated List is accessible via the following URL: www.un.org/securitycouncil/content/un-sc-consolidated-list.



For information media. Not an official record.