



To: All Registrants and Licensees

Date: 11 November 2021

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

Pursuant to section 3A of the International Obligations (Economic and Ancillary Measures) Act, Chapter 16 (IOEAMA), registrants and licensees of the Securities Commission of The Bahamas (the Commission) are hereby informed that on 9 November 2021, the Security Council Committee established pursuant to resolution 2140 (2014) 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 resolutions 2140 (2014) and 2216 (2015) 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/sc14695.doc.htm>

Registrants and licensees 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.

Registrants and licensees 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 registrants and licensees are also required to submit confirmation of compliance to the Commission where there are no findings or 'hits'.

Registrants and licensees 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:

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

Registrants and licensees 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>
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, Bahamas
Email: info@scb.gov.bs
Telephone: 1 (242) 397-4100



United Nations

SECURITY COUNCIL PRESS RELEASE

SC/14695

9 NOVEMBER 2021

Security Council 2140 Sanctions Committee Adds Three Entries to Its Sanctions List

On 9 November 2021, the Security Council Committee established pursuant to resolution 2140 (2014) approved the addition of the entries specified below to its Sanctions List of individuals and entities subject to the measures imposed by Security Council resolutions 2140 (2014) and 2216 (2015) and adopted under Chapter VII of the Charter of the United Nations.

A. Individuals

YEi.007 Name: 1: SALEH 2: MESFER 3: SALEH 4: AL SHAER

Name (original script): صالح مسفر صالح الشاعر

Title: na **Designation:** Major General, 'Judicial Custodian' of properties and funds owned by Houthis' opponents **DOB:** na **POB:** Al Safrah, Sa'dah Governorate, Yemen **Good quality**

a.k.a.: na **Low quality a.k.a.:** a) Saleh Mosfer Saleh al Shaer b) Saleh Musfer Saleh al Shaer c) Saleh Mesfer al Shaer d) Saleh al Shae e) Saleh al Sha'ir f) Abu Yasser **Nationality:** Yemen

Passport no: a) Yemen number 05274639, issued on 7 Oct. 2013 (Expiration date: 7 Oct 2019)

b) Yemen number 00481779, issued on 9 Dec. 2000 (Expiration date: 9 Dec 2006) **National**

identification no: a) Yemen 1388114 b) Yemen 10010057512 **Address:** Yemen **Listed on:** 9

Nov. 2021 **Other information:** As Houthi 'Assistant Minister of Defence for Logistics', assisted the Houthis in acquiring smuggled arms and weapons. As 'Judicial Custodian' directly involved in the widespread and unlawful appropriation of assets and entities owned by private individuals under arrest by the Houthis or forced to take refuge outside of Yemen. Physical Description: Eye Colour: Brown; Hair: Grey; Complexion: Medium; Build: Slim; Height (ft/in): Unknown; Weight (lbs): Unknown; and Clan: Member of the Hashid tribal confederacy. Photograph available for inclusion in INTERPOL-UNSC Special Notice web link: INTERPOL-UN Security Council Special Notice web link: <https://www.interpol.int/en/How-we-work/Notices/View-UN-Notices-Individuals>

YEi.008 Name: 1: MUHAMMAD 2: ABD AL-KARIM 3: AL-GHAMARI 4: na

Name (original script): محمد عبدالكريم الغماري

Title: na **Designation:** Major General, Houthi Chief of General Staff **DOB:** 1979 **POB:** Izla Dhaen, Wahha District, Hajjar Governorate, Yemen **Good quality a.k.a.:** na **Low quality a.k.a.:** Mohammad Al-Ghamari born 1984 **Nationality:** Yemen **Passport no:** na **National**

identification no: na **Address:** Yemen **Listed on:** 9 Nov. 2021 **Other information:** Houthi Military Chief of General Staff, plays the leading role in orchestrating the Houthis' military efforts that are directly threatening the peace, security and stability of Yemen, including in Marib, as well as cross-border attacks against Saudi Arabia. Photograph available for inclusion in INTERPOL-UN Security Council Special Notice web link: [INTERPOL-UN Security Council Special Notice web link: https://www.interpol.int/en/How-we-work/Notices/View-UN-Notices-Individuals](https://www.interpol.int/en/How-we-work/Notices/View-UN-Notices-Individuals)

YEi.009 Name: 1: YUSUF 2: AL-MADANI 3: na 4: na

Name (original script): يوسف المداني

Title: Major General **Designation:** Commander of the Houthi's Fifth Military Region **DOB:** 1977 **POB:** Muhatta Directorate, Hajjah Province, Yemen **Good quality a.k.a.:** na **Low quality a.k.a.:** na **Nationality:** Yemen **Passport no:** na **National identification no:** na **Address:** Yemen **Listed on:** 9 Nov. 2021 **Other information:** A prominent leader of Houthi forces and commander of forces in Hudaydah, Hajjah, Al Mahwit, and Raymah, Yemen – threatening the peace, security, and stability of Yemen. As of 2021, Al-Madani was assigned to the offensive targeting Marib. Photograph available for inclusion in INTERPOL-UN Security Council Special Notice web link: [INTERPOL-UN Security Council Special Notice web link: https://www.interpol.int/en/How-we-work/Notices/View-UN-Notices-Individuals](https://www.interpol.int/en/How-we-work/Notices/View-UN-Notices-Individuals)

Press releases concerning changes to the Committee's Sanctions List may be found in the "Press Releases" section on the Committee's website at the following URL: <https://www.un.org/securitycouncil/sanctions/2140/press-releases>.

The updated version of the Committee's Sanctions List, available in HTML, PDF and XML format, may be found at the following URL: <https://www.un.org/securitycouncil/sanctions/2140/materials>.

The United Nations Security Council Consolidated List is also updated following all changes made to the Committee's Sanctions List and is accessible at the following URL: <https://www.un.org/securitycouncil/content/un-sc-consolidated-list>.

 **For information media. Not an official record.**

[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