

By Email

22 August 2021

To: Money Laundering Reporting Officers (**MLRO**) of Relevant Persons

Re: **Reporting Mechanism re United Nations Security Council (UNSC) Resolutions and UAE National Sanctions List**

Dear MLRO,

As you will be aware, the National Committee for Combating Money Laundering and the Financing of Terrorism and Illegal Organisations (the **NAMLCFTC**) established a Sub-Committee for Supervisory Authorities in the UAE (the **UAE SCSA**) to support the objectives of the NAMLCFTC.

Please be informed that the UAE SCSA has issued a new Administrative Decision No. (1) of 2021 on 15 July 2021 titled: *Approving the immediate reporting mechanism for financial institutions and designated non-financial businesses and professions pursuant to Cabinet Resolution 74 of 2020 concerning terrorist lists, and the implementation of Security Council resolutions on the prevention and suppression of terrorism and terrorist financing and the prevention of the proliferation and financing of weapons, and related resolutions* (the **Administrative Decision**).

The Administrative Decision requires all financial institutions and designated non-financial businesses and professions in the UAE (the **Reporting Entities**) to utilise the reporting mechanism on the goAML platform for the purposes of meeting their reporting obligations set out in Article 21(5) of UAE Federal Cabinet Decision No. (74) of 2020 *Regarding Terrorism Lists Regulation and Implementation of UN Security Council Resolutions*. In particular, Reporting Entities must submit the following reports via the goAML platform: (1) Funds Freeze Reports; and (2) Partial Name Match Reports (the **TFS Reports**).

Please be informed that the TFS Reports submitted via the goAML platform will be received simultaneously by the Executive Office of the Committee for Goods and Materials Subject to Import and Export Control (the **UAEIEC**), and the DFSA as the relevant Supervisory Body in the DIFC. Although each of the UAEIEC and DFSA will assess all TFS Reports and related information, the DIFC remains the sole administrator responsible for overseeing Relevant Persons compliance with AML/CTF/sanctions laws and regulations in the DIFC.

The DFSA would like to remind Relevant Persons that registration on the goAML platform is mandatory. If a Relevant Person is yet to complete its registration, please contact the DFSA for further information regarding this process. Please also note that the above goAML reporting obligations are in addition to the mandatory reporting obligations that apply to Relevant Persons in the DIFC.

The DFSA would also like to remind all Relevant Persons of their obligations to ensure compliance with Federal AML Legislation, the DIFC Regulatory Law 2004 (as amended) as it relates to AML, CTF and Sanctions compliance and the AML Module of the DFSA Rulebook, including but not limited to, AML Rules 10.2 and 10.3 on UNSC Resolutions and UAE Sanctions Lists, and AML 14.3 on specific AML related notifications to the DFSA.

Relevant Persons are reminded that general communications with the DFSA should be made via the Supervised Firm Contact Form available on the [e-Portal](#). This includes any questions regarding this letter.

DFSA Financial Crime Prevention Team, Supervision