



Sanctions Source List

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Sanctions Source List

Countries and Jurisdictions Covered

Afghanistan	Cuba	Italy	New Caledonia	Swaziland
Albania	Cyprus	Jamaica	New Zealand	Sweden
Algeria	Czech Republic	Japan	Nicaragua	Switzerland
American Samoa	Denmark	Jersey	Niger	Syrian Arab Republic
Andorra	Djibouti	Jordan	Nigeria	Taiwan
Angola	Dominica	Kazakhstan	Niue	Tajikistan
Anguilla	Dominican Republic	Kenya	Norfolk Island	Tanzania
Antigua and Barbuda	East Timor	Kiribati	Northern Mariana Islands	Thailand
Argentina	Ecuador	Korea, North	Norway	Togo
Armenia	Egypt	Korea, South	Oman	Tonga
Aruba	El Salvador	Kosovo	Pakistan	Trinidad and Tobago
Australia	Equatorial Guinea	Kuwait	Palau	Tunisia
Austria	Eritrea	Kyrgyz Republic	Palestine, West Bank/ Gaza Strip	Turkey
Azerbaijan	Estonia	Lao PDR	Panama	Turkmenistan
Bahamas	Ethiopia	Latvia	Papua New Guinea	Turks and Caicos Islands
Bahrain	Faeroe Islands	Lebanon	Paraguay	Tuvalu
Bangladesh	Fiji	Lesotho	Peru	U.S Virgin Islands
Barbados	Finland	Liberia	Philippines	Uganda
Belarus	France	Libya	Poland	Ukraine
Belgium	French Guiana	Liechtenstein	Portugal	United Arab Emirates
Belize	French Polynesia	Lithuania	Puerto Rico	United Kingdom
Benin	Gabon	Luxembourg	Qatar	United States
Bermuda	Gambia, The	Macao SAR, China	Reuniun	Uruguay
Bhutan	Georgia	Macedonia, FYR	Romania	Uzbekistan
Bolivia	Germany	Madagascar	Russia	Vanuatu
Bosnia and Herzegovina	Ghana	Malawi	Rwanda	Venezuela
Botswana	Gibraltar	Malaysia	Saint Kitts and Nevis	Vietnam
Brazil	Greece	Maldives	Saint Lucia	Wallis and Futuna
British Virgin Islands	Greenland	Mali	Saint Pierre and Miquelon	Western Sahara
Brunei Darussalam	Grenada	Malta	Saint Vincent and the Grenadines	Yemen, Rep.
Bulgaria	Guadeloupe	Marshall Islands	Samoa	Yugoslavia
Burkina Faso	Guam	Martinique	San Marino	Zambia
Burundi	Guatemala	Mauritania	Sao Tome and Principe	Zimbabwe
Cambodia	Guernsey	Mauritius	Saudi Arabia	
Cameroon	Guinea	Mayotte	Senegal	
Canada	Guinea-Bissau	Mexico	Serbia	
Cape Verde	Guyana	Micronesia, Fed. Sts.	Seychelles	
Cayman Islands	Haiti	Moldova	Sierra Leone	
Central African Republic	Holy See / Vatican City	Monaco	Singapore	
Chad	Honduras	Mongolia	Slovak Republic	
Chile	Hong Kong	Montenegro	Slovenia	
China	Hungary	Montserrat	Solomon Islands	
Colombia	Iceland	Morocco	Somalia	
Comoros	India	Mozambique	South Africa	
Congo, Dem. Rep.	Indonesia	Myanmar	South Sudan	
Congo, Rep.	Iran, Islamic Rep.	Namibia	Spain	
Cook Islands	Iraq	Nauru	Sri Lanka	
Costa Rica	Ireland	Nepal	St. Maarten	
Cote d'Ivoire	Isle of Man	Netherlands	Sudan	
Croatia	Israel	Netherlands Antilles	Suriname	

Sanctions Source List

01 Americas

A selection of sanctions, financial regulatory and law enforcement sources.

List of sources

Desk	Source Name / Description	Country of Authority	Type
Americas	Antigua&Barbuda Office of National Drug & Money Laundering Control Policy (ONDCP) - Press releases on investigation into narcotics, money laundering and financial crimes and proceeds of crime.	Antigua & Barbuda	Law Enforcement
Americas	Argentinean National Securities Commission - Comision Nacional De Valores. Resolutions issued by the Argentinean Directorate of the National Securities Commission listing entities required immediately to cease activity of public negotiations and financial intermediary of stocks and securities, as well as warning notices to cease actions as financial intermediary or to warn the public of entities not authorized to operate in the Argentinean Stock Market.	Argentina	Regulatory Enforcement
Americas	Argentine Financial Information Unit Individuals and entities fined by the Financial Information Unit of Argentina (Unidad de Informacion Financiera - UIF) for breach of legal duties to prevent money laundering and terrorist financing contained in the Laws 25.246, 26.268 and Resolutions.	Argentina	Regulatory Enforcement
Americas	Bahamas Securities Commission Enforcement Notices and Alerts issued by the Bahamas Securities Commission for violations of the Securities Industry Act and Investment Funds Act of the Bahamas.	Bahamas	Regulatory Enforcement
Americas	CENTRAL BANK WARNING NOTICES - CBBW Warning notices - entities and individuals operating in breach of the Banks and Trust Companies Regulations Act, 2000, and/or other laws of The Bahamas.	Bahamas	Regulatory Enforcement
Americas	CENTRAL BANK OF BELIZE - WARNING NOTICES - BZCB Notices concerning unlicensed banks or financial institutions in Belize.	Belize	Regulatory Enforcement
Americas	Financial Services Commission - Advisory Notices Warning notices of unauthorised individuals and entities.	Belize	Regulatory Enforcement
Americas	Bermuda Monetary Authority - Press releases and Warnings on entities that are not incorporated or not licensed to conduct regulated financial services or business in Bermuda as issued by the Bermuda Monetary Authority (BMA).	Bermuda	Regulatory Enforcement
Americas	Government of Bermuda - list of sanctions regimes 2013	Bermuda	Sanctions
Americas	National Registry of Ineligible and Suspended Companies Consolidated list of companies and individuals declared ineligible or suspended on the Brazil National Registry of Ineligible and Suspended Companies (Cadastro Nacional de Empresas Inidoneas e Suspensas - CEIS) due to penalties and restriction orders imposed as maintained by the Office of the Comptroller General (Controladoria-Geral da Uniao) and barred from entering into contracts with the public administration.	Brazil	Regulatory Enforcement
Americas	Securities and Exchange Commission Securities and Exchange Commission of Brazil (Comissao de Valores Mobiliarios - CVM) Press Releases on Companies and Individuals who are fined/penalized for fraudulent administration, insider trading and infractions, publications on Administrative Sanctions and companies whose registrations have been suspended because of irregular activities.	Brazil	Regulatory Enforcement
Americas	National Register of Suspended Companies (CEIS)	Brazil	Sanctions
Americas	National Registry of Penalised Companies (CNEP)	Brazil	Sanctions
Americas	Bureau de Decision et de Revision Quebec - Individuals and companies subject to restraint orders, barring orders, penalties, prohibitions in trade and Cease Trade Order decisions issued by the Bureau de Decision et de Revision Quebec.	Canada	Regulatory Enforcement
Americas	Alberta Law Enforcement Response Teams Press Releases issued by the Alberta Law Enforcement Response Teams for ARI RRE relevant crimes.	Canada	Law Enforcement
Americas	Autorite Des Marches Financiers Warnings and enforcement actions instituted against individuals and entities for breaches of Quebec financial markets regulations.	Canada	Regulatory Enforcement
Americas	Alberta Securities Commission Enforcement actions taken by Alberta Securities Commission against individuals and companies for breaches of Alberta securities laws.	Canada	Regulatory Enforcement
Americas	Canada Border Services Agency Press releases issued by the Canada Border Services Agency (CBSA) published on the Government of Canada web site relating to enforcement of the Immigration and Refugee Protection Act in Canada and listing of wanted individuals that are the subject of an active Canada-wide arrest warrant, issued pursuant to the Immigration and Refugee Protection Act.	Canada	Law Enforcement
Americas	Canadian Law Society - Disciplined Lawyers Disciplinary Actions taken by Canadian Law Societies for breaches of rules and regulations.	Canada	Regulatory Enforcement
Americas	Saskatchewan Financial and Consumer Affairs Authority Enforcement action taken by Saskatchewan Financial and Consumer Affairs Authority (FCAA) against individuals and entities for breaches of Saskatchewan securities laws.	Canada	Regulatory Enforcement
Americas	Financial Consumer Services Commission New Brunswick Enforcement action notices published relating to provincial legislation regulating securities, insurance, pension, credit unions, caisses populaires, trust and loan companies, co-operatives as published by the Financial and Consumer Services Commission of New Brunswick (CAFCNB), including a caution list of individuals and entities not registered to trade in securities or to provide investment advice in New Brunswick.	Canada	Regulatory Enforcement
Americas	Financial Institutions Commission of British Columbia Enforcement proceedings taken by Financial Institutions Commission of British Columbia against individuals and entities for breaches of Financial Commission regulations.	Canada	Regulatory Enforcement
Americas	Mutual Fund Dealers Association of Canada Disciplinary action and enforcement proceedings taken against individuals and entities for breaches of Mutual Fund Dealers Association of Canada regulations.	Canada	Regulatory Enforcement

Sanctions Source List

Americas sanctions source list

Desk	Source Name / Description	Country of Authority	Type
Americas	Advisory Notices. Advisory notices issued by Office of the Superintendent of Financial Institutions Canada (includes FATF notices) entries not included on the Canadian sanctions list.	Canada	Regulatory Enforcement
Americas	New Brunswick Securities Commission. Caution List and Enforcement proceedings taken by New Brunswick Securities Commission against individuals and companies for breaches of New Brunswick securities laws.	Canada	Regulatory Enforcement
Americas	Ontario Securities Commission Investor Warnings and enforcement proceedings taken by Ontario Securities Commission against individuals and companies for breaches of Ontario securities laws.	Canada	Regulatory Enforcement
Americas	Quebec Ministry of Revenue Press releases issued by The Quebec Ministry of Revenue (Revenu Quebec) on individuals and entities allegedly involved in tax offenses, tax evasion, tax fraud and tax defaulters.	Canada	Regulatory Enforcement
Americas	Saskatchewan Financial Services commission Cease Trade Orders and enforcement proceedings taken by Saskatchewan Financial Services Commission against individuals and entities for breaches of Saskatchewan securities laws.	Canada	Regulatory Enforcement
Americas	Surete Du Quebec Press releases - warnings from foreign authorities and notice concerning illegal public soliciting of funds.	Canada	Law Enforcement
Americas	Quebec Administrative Tribunal of Financial Markets Enforcement action taken by the Administrative Tribunal of the Financial Markets of Quebec (TMF - Tribunal Administratif des Marchés Financiers) against individuals and entities for breaches of Quebec securities laws and financial products and services laws.	Canada	Regulatory Enforcement
Americas	Quebec Permanent Anti-Corruption Unit. Law enforcement action relating to corruption and investigations of influence peddling and collusion in the Canadian province of Quebec.	Canada	Law Enforcement
Americas	CANADIAN SECURITIES ADMINISTRATORS - persons and/or companies who appear to be engaging in securities activities that may pose a risk to investors per CSA member bodies.	Canada	Regulatory Enforcement
Americas	FINANCIAL TRANSACTIONS REPORTS ANALYSIS CENTRE - Administrative penalties imposed on persons and entities for violations of the Proceeds of Crime (Money Laundering) and Terrorist Financing Regulations as published by the Financial Transactions and Reports Analysis Centre of Canada (FINTRAC), as well as persons and entities reported by FINTRAC to be involved in activities violating said regulations.	Canada	Regulatory Enforcement
Americas	Investment Industry Reg. Organisation of Canada Consolidated Enforcement notices, hearings, media releases and enforcement decisions issued by the Investment Industry Regulatory Authority of Canada (IIROC) against individuals and entities for violations of IIROC Marketplace and Dealer Rules.	Canada	Regulatory Enforcement
Americas	OSFI CANADA - Office of the Superintendent of Financial Institutions - Bank Warning Notices Warning notices relating to fraudulent and unlicensed financial institutions.	Canada	Regulatory Enforcement
Americas	Quebec Chambre De La Securite Financiere Disciplinary Actions issued by Quebec Chambre de la Securite Financiere against individuals and entities which includes reprimands, temporary and permanent striking off the roll, fines and restitution orders.	Canada	Regulatory Enforcement
Americas	POLICE SERVICE of TORONTO - TPS News Releases issued by the Toronto Police Services for ARI RRE crimes.	Canada	Law Enforcement
Americas	UNSTR CANADA - UN SANCTIONS TERRORISM - UNSTR List of names related to terrorism financing subject to Regulations Implementing the United Nations Resolutions on the Suppression of Terrorism and/or United Nations AlQaida and Taliban Regulations and /or Regulations Establishing a List of Entities made under subsection 83.05(1) of the Criminal Code	Canada	Sanctions
Americas	Government of Canada - Global Affairs - Current Sanctions	Canada	Sanctions
Americas	Global Affairs Canada	Canada	Sanctions
Americas	CIMA CAYMAN ISLANDS - MONETARY AUTH. - CIMA Notices include enforcements notices - fraudulent websites, struck off or dissolved mutual funds / administrators.	Cayman Islands	Regulatory Enforcement
Americas	Chilean Superintendency of Banks and Financial Institutions Entities and individuals fined by the Chilean Superintendency of Banks and Financial Institutions (Superintendencia de Bancos e Instituciones Financieras) for violations of the governing laws them, and by-laws or instructions legally issued by the Superintendent of Banks.	Chile	Regulatory Enforcement
Americas	Chilean Financial Analysis Unit Administrative sanctions and penalties issued against entities regulated by the Chilean Financial Analysis Unit (Unidad de Analisis Financiero - UAF) for breach of legal duties to prevent money laundering and terrorist financing according to the Law 19.913 and Circulars.	Chile	Regulatory Enforcement
Americas	Chilean Securities and Insurance Supervisor List of entities and individuals fined by Superintendencia de Valores y Seguros (Chilean Securities and Insurance Supervisor) for violations of financial regulations. List of individuals whose register of External Auditor has been cancelled or entities whose authorization to operate has been revoked.	Chile	Regulatory Enforcement
Americas	Dept of Labour- Sanctions for Anti-Union Activities (List)	Chile	Sanctions
Americas	Prosecutor Generals Office of Colombia - List of individuals and entities dismissed from office, banned or suspended from holding public office or fined by the Prosecutor General Office of Colombia (Procuraduría General de la Nación - PGO).	Colombia	Law Enforcement
Americas	Financial Superintendence of Colombia - Administrative actions, fines and final resolutions instituted against supervised entities, directors, stock market agents and other individuals by the Financial Superintendence of Colombia (Superintendencia Financiera de Colombia) for violations of financial legislation and/or internal regulations.	Colombia	Regulatory Enforcement
Americas	Superintendence of Industry and Commerce - List of individuals and entities sanctioned by the Colombian Superintendence of Industry and Commerce (Superintendencia de Industria y Comercio - SIC) for violation of example Consumer Protection Laws, Competition Protection Laws, Industrial Protection Laws and Personal Data Protection Laws. Monitored for ARI RRE relevant crimes.	Colombia	Regulatory Enforcement
Americas	Superintendence of Banks of Ecuador - Entities listed as unauthorized by the Superintendence of Banks of Ecuador (Superintendencia de Bancos del Ecuador - SBS) to carry out business as financial providers, broker dealers, securities or investments intermediaries.	Ecuador	Regulatory Enforcement
Americas	INTER-AMERICAN DEVELOPMENT BANK - IDB Notices of firms and individuals sanctioned by the Bank making them ineligible to be awarded IDB-financed contracts.	International	Regulatory Enforcement

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Americas sanctions source list

Desk	Source Name / Description	Country of Authority	Type
Americas	Jamaican Financial Services Commission - Warnings of unauthorised firms and individuals	Jamaica	Regulatory Enforcement
Americas	Central Bank of Mexico - Sanctions imposed by the Central Bank of Mexico (Banco de Mexico - BANXICO) on financial intermediaries for violations of the Banco de Mexico Law, of the Law for Transparency and Order of Financial Services and of the Law for Credit Institutions.	Mexico	Regulatory Enforcement
Americas	Mexican National Banking Securities Commission - List of entities and individuals fined for violations of the specific financial regulations or unauthorized by the National Banking and Securities Commission of Mexico (Comision Nacional Bancaria de Valores) to raise funds from the public.	Mexico	Regulatory Enforcement
Americas	CONDUSEF MEXICO - Comision Nacional Para La Proteccion Y Defensa De Los Usuarios De Servicios Financieros - List of financial entities fined for failure to comply with the Law for Transparency and Order of Financial Services, the Law on Credit Institutions and the Law for the Regulation of the Credit Information Companies.	Mexico	Regulatory Enforcement
Americas	MXCNSF MEXICO - Mexican Insurance and Surety National Commission - List of entities and individuals fined, suspended and/or licenses revoked by the Mexican Insurance and Surety National Commission (Comision Nacional de Seguros Y Fianzas) for violations of financial legislation and/or internal regulations.	Mexico	Regulatory Enforcement
Americas	Mexican Prosecutors General Offices - List of wanted fugitive persons issued by the various Prosecutors General Offices (Procuraduria General de la Republica or PGR) in Mexico	Mexico	Law Enforcement
Americas	Mexican Tax Administration Service - List of taxpayers (individuals and/or entities) listed as sentenced for tax offences and/or listed as taxpayer with alleged simulated operations and/or involved in issuing false invoices (facturas apocrifas).	Mexico	Regulatory Enforcement
Americas	MEXICAN PUBLIC FUNCTION SECRETARIAT - List of bidders, suppliers and contractors banned from government contracts with offices and/or entities of the Federal Public Administration of Mexico and the States' Governments due to fines and/or disqualifications issued by an internal control body of a government entity and civil servants sanctioned for violations to the Federal Law of Transparency and Access to Public Government Information.	Mexico	Regulatory Enforcement
Americas	Financial Intelligence Unit - United Nations Security Council (UNSC) lists	Mexico	Sanctions
Americas	Tax Ministry - United Nations Security Council (UNSC) lists	Mexico	Sanctions
Americas	Financial Intelligence Unit - United Nations Security Council (UNSC) lists	Mexico	Sanctions
Americas	NICARAGUA SUPERINTENDENCE OF BANKS - Entities fined for violations of financial legislation and/or internal regulations.	Nicaragua	Regulatory Enforcement
Americas	Government Suppliers (incl. Sanctioned)	Nicaragua	Sanctions
Americas	SUPERINTENDENCY OF BANKS OF PANAMA - SUPERINTENDENCIA DE BANCOS DE PANAMA SBP - Warning notices on persons and/or companies engaged in the banking business within and from Panama without a license (unlicensed banking activities).	Panama	Regulatory Enforcement
Americas	Superintendencia de Banca, Seguros y AFP (Superintendence of Banks, Insurance and Private Pension Funds) - List of individuals and entities sanctioned by the Financial Intelligence Unit of Peru (Unidad de Inteligencia Financiera de Peru) of the Superintendence of Banks, Insurance and Private Pension Funds (Superintendencia de Banca, Seguros y AFP - SBS) for not complying with the Offences and Penalties Regulation of the Prevention of Money Laundering and Financing of terrorism and entities listed as unauthorised by the SBS to carry out business as public money collector.	Peru	Regulatory Enforcement
Americas	Peru Securities Market Superintendency - List of individuals and entities fined by the Peruvian Securities Market Superintendency (Superintendencia del Mercado de Valores - SMV) for violation to the Sanctions Regulations of the Securities Market Law.	Peru	Regulatory Enforcement
Americas	Government Sanctions	Peru	Sanctions
Americas	Superintendencia Nacional de Educacion Superior y Universitaria, SINEDU	Peru	Sanctions
Americas	Trinidad and Tobago Financial Intelligence Unit - Terrorism Orders - Monitoring of Trinidad and Tobago (TT) High Court of Justice orders issued under the TT AntiTerrorism Act for freezing terrorist funds as published by the TT Financial Intelligence Unit (FIU).	Trinidad and Tobago	Sanctions
Americas	BCU URUGUAY - BCU - Central Bank Account Closures Listed in the Registry of Check Legislation Offenders.	Uruguay	Regulatory Enforcement
Americas	OFAC - List of Persons Identified as Blocked Solely Pursuant to Executive Order 13599 (the 13599 List)	USA	Sanctions
Americas	561 LIST USA - 561 LIST - Foreign Financial Institutions Subject to Part 561 of IFSR (the 561 List) List of Foreign Financial Institutions Subject to Part 561 of Iranian Financial Sanctions Regulation (the 561 List) issued under EO (31 July 2012) authorising additional sanctions in respect of Iran.	USA	Sanctions
Americas	ADOI USA - ADOI - Dept. of Insurance Press releases issued by Arizona Department of Insurance reporting insurance violations, fraud, enforcement actions and penalties imposed based on ARI RRE keywords.	USA	Regulatory Enforcement
Americas	CADI USA - CADI - California Department of Insurance Enforcement action taken against individuals and entities by the California Department of Insurance (CADI) for regulatory violations relating to insurance transactions.	USA	Regulatory Enforcement
Americas	CFTC USA - COMMODITY FUTURES TRADING COMMISSION - CFTC Enforcement actions taken against individuals and entities for violation of Commodities Futures Trading Commission regulations.	USA	Regulatory Enforcement
Americas	CORPCA USA - CALIFORNIA DEPARTMENT OF CORPORATIONS - CORPCA Civil Actions, Desist and Refrain Orders and Escrow Agent Disciplinary Actions issued by the California Department of Corporations.	USA	Regulatory Enforcement
Americas	FBI USA - FBI Most Wanted and press releases issued by the Federal Bureau of Investigation (Federal and State level) for ARI RRE relevant crimes.	USA	Law Enforcement

Sanctions Source List

Americas sanctions source list

Desk	Source Name/Description	Country of Authority	Type
Americas	FDIC Federal Deposit Insurance Corporation - Enforcement Decisions and Orders based on ARI RRE keywords	USA	Regulatory Enforcement
Americas	FED DEPOSIT INSURANCE CORPORATION - List of failed Banks.	USA	Regulatory Enforcement
Americas	FINCEN FINANCIAL CRIMES ENFORCEMENT NETWORK - ENFORCEMENT ACTIONS - FINCEN US Department of Treasury Financial Crimes Enforcement network notices of enforcements and penalties for failure to register as a money service business.	USA	Regulatory Enforcement
Americas	FSEL USA - FSEL - Foreign Sanctions Evaders List. Entries designated pursuant to Foreign Sanctions Evaders List under Executive Order 13608.	USA	Sanctions
Americas	FTO USA - OFAC SDN LIST - FOREIGN TERRORIST ORGANISATION - FTO OFAC SDN List entries designated pursuant to Counterterrorism Sanctions programme Foreign Terrorist Organizations Sanctions Regulations, 31 C.F.R. part 597.	USA	Sanctions
Americas	New York Banking Board - NYBB Enforcement actions against state-licensed and state-chartered financial entities.	USA	Regulatory Enforcement
Americas	NEW YORK DEPARTMENT OF FINANCIAL SERVICES - NYDFS Enforcement proceedings taken by New York Department of Financial Services against individuals and entities for breaching insurance and banking laws.	USA	Regulatory Enforcement
Americas	NEW YORK STOCK EXCHANGE - NYSE Disciplinary action to enforce violations of NYSE rules and federal securities laws by member organizations, as well as current and former employees of those organizations.	USA	Regulatory Enforcement
Americas	OFAC USA - OFAC SDN LIST (OFFICE OF FOREIGN ASSETS CONTROL) - OFAC All entries included in the Specially Designated Nationals (SDN) list under any sanctions programme.	USA	Sanctions
Americas	SEC - SECURITIES EXCHANGE COMMISSION - SEC Enforcement and administration proceedings, litigation notices, opinions and adjudicatory orders issued against individuals and entities for violation of US Securities Exchange Commission regulations.	USA	Regulatory Enforcement
Americas	US MARSHALLS - Most Wanted and press releases issued by US Marshalls for ARI RRE relevant crimes.	USA	Law Enforcement
Americas	DEA - DRUG ENFORCEMENT ADMINISTRATION- Most Wanted and press releases issued by US Drug Enforcement Administration (Federal and State level) for ARI RRE relevant crimes.	USA	Law Enforcement
Americas	FEDERAL TRADE COMMISSION - USFTC Enforcement actions issued by the US Federal Trade Commission (FTC) for fraud, deception and unfair business practices in the marketplace from July 2009.	USA	Regulatory Enforcement
Americas	US State Attorneys General Press releases issued by US State Attorneys General Offices - monitored for ARI RRE relevant crimes and civil settlements.	USA	Law Enforcement
Americas	SPECIAL INSPECTOR GENERAL FOR IRAQ RECONSTRUCTION - USSIGIR Suspensions, debarments, indictments and convictions by Special Inspector General for Iraq Reconstruction against individuals and entities for ARI RRE relevant crimes.	USA	Regulatory Enforcement
Americas	USSPSC - US State Prohibited or Scrutinized Companies Entities with alleged ties to Iran or Sudan, or who boycott Israel, prohibited by a US State from contracting with public entities, state agencies, or local government entities within the State, or named by a US State as a prohibited investment or as a scrutinized company.	USA	Regulatory Enforcement
Americas	OFAC - List of Foreign Financial Institutions Subject to Part 561 (the "Part 561 List")	USA	Sanctions
Americas	OFAC - Foreign Sanctions Evaders List (FSE List)	USA	Sanctions
Americas	OFAC - SDN List	USA	Sanctions
Americas	OFAC - Balkans-related Sanctions	USA	Sanctions
Americas	OFAC - Belarus Sanctions	USA	Sanctions
Americas	OFAC - Burundi Sanctions	USA	Sanctions
Americas	OFAC - Central African Republic	USA	Sanctions
Americas	OFAC - Counter Narcotics Trafficking Sanctions	USA	Sanctions
Americas	OFAC - Counter Terrorism Sanctions	USA	Sanctions
Americas	OFAC - Cuba Sanctions	USA	Sanctions
Americas	OFAC - Cyber Related Sanctions	USA	Sanctions
Americas	OFAC - Democratic Republic of the Congo-related Sanctions	USA	Sanctions
Americas	OFAC - Iran Sanctions	USA	Sanctions
Americas	OFAC - Iraq-related Sanctions	USA	Sanctions
Americas	OFAC - Lebanon-related Sanctions	USA	Sanctions
Americas	OFAC - Libya Sanctions	USA	Sanctions

Sanctions Source List

Americas sanctions source list

Desk	Source Name / Description	Country of Authority	Type
Americas	OFAC - Magnitsky Sanctions	USA	Sanctions
Americas	OFAC - Non-Proliferation Sanctions	USA	Sanctions
Americas	OFAC - North Korea Sanctions	USA	Sanctions
Americas	OFAC - Rough Diamond Trade Controls	USA	Sanctions
Americas	OFAC - Somalia Sanctions	USA	Sanctions
Americas	OFAC - Sudan and Darfur Sanctions	USA	Sanctions
Americas	OFAC - South Sudan Related Sanctions	USA	Sanctions
Americas	OFAC - Syria Sanctions	USA	Sanctions
Americas	OFAC - Transnational Criminal Organizations	USA	Sanctions
Americas	OFAC - Ukraine/Russia Related Sanctions	USA	Sanctions
Americas	OFAC - Venezuela-Related Sanctions	USA	Sanctions
Americas	OFAC - Yemen Related Sanctions	USA	Sanctions
Americas	OFAC - Zimbabwe Sanctions	USA	Sanctions
Americas	OFAC - Sectoral Sanctions Identifications (SSI) List	USA	Sanctions
Americas	OFAC - Non SDN Iranian Sanctions List	USA	Sanctions
Americas	OFAC - Non-SDN Palestinian Legislative Council List	USA	Sanctions
Americas	VENEZUELAN SUPERINTENDENCY OF BANKING SECTOR INSTITUTIONS - SUDEBAN List of entities fined and/or liquidated by the Venezuelan Superintendency of Banking Sector Institutions (Superintendencia de las Instituciones del Sector Bancario (SUDEBAN)).	Venezuela	Regulatory Enforcement
Americas	SUPERINTENDENCIA DE LA ACTIVIDAD ASURADORA - SUDESEG List of entities unauthorised to carry out insurance operations in Venezuela and entities fined by the Superintendencia of the Insurance Activity (Superintendencia de la Actividad Aseguradora - SUDESEG) for violation of the financial legislations related to the insurance market in Venezuela.	Venezuela	Regulatory Enforcement
Americas	NATIONAL SECURITIES COMM. OF VENEZUELA - COMISION NACIONAL DE VALORES - VCNV Warning notices on entities that have been intervened, investigated and/or liquidated by the National Securities Commission. Warning notices on entities and/or individuals whose licenses to operate within the Venezuela Stock market have been suspended or cancelled and entities that have been fined for violation of the stock market regulations.	Venezuela	Regulatory Enforcement
Americas	Comptroller General's Office of Venezuela Individuals sanctioned by the Comptroller General's Office of the Bolivarian Republic of Venezuela (CGR) due to administrative irregularities.	Venezuela	Regulatory Enforcement
Americas	BVI Financial Services Commission - Advisory Warnings Advisory warning notices relating to unauthorised individuals and entities in British Virgin Islands.	Virgin Islands (British)	Regulatory Enforcement

Sanctions Source List

02 APAC

A selection of sanctions, financial regulatory and law enforcement sources.

List of sources

Desk	Source Name / Description	Country of Authority	Type
APAC	ASIC AUSTRALIA - Securities and Investments Comm Published lists of unlicensed overseas companies, cold callers. Fraudulant List of fake regulators and exchanges.	Australia	Regulatory Enforcement
APAC	Australian Securities and Investments Commission - Investor Alert Unlicensed companies listed by the Australian Securities & Investments Commission (ASIC) on MONEYSMART for making unsolicited calls or sending emails about investing, financial advice, credit or loans and do not hold current Australian Financial Services (AFS) or Australian Credit licenses from ASIC as well as listings of so-called international organisations that are fake entities and no genuine government regulators exist under these names.	Australia	Regulatory Enforcement
APAC	Department of Foreign Affairs and Trade - Australia and Sanctions	Australia	Sanctions
APAC	Consolidated list	Australia	Sanctions
APAC	Bangladesh Bank Domestic Sanctions Bangladesh Bank's domestic sanctions list of banned terrorist organisations.	Bangladesh	Sanctions
APAC	Bangladesh Securities Exchange Commission Orders and penalties issued by the Enforcement Department of the Bangladesh Securities Exchange Commission (BDSEC) against those who breach/violate securities laws.	Bangladesh	Regulatory Enforcement
APAC	CIRC CHINA - China Insurance Regulatory Commission. Penalties (warnings, fines and revocation of licenses) issued against individuals and entities for violating insurance regulations in China.	China	Regulatory Enforcement
APAC	Central Commission for Discipline Inspection Individuals listed by the Central Commission for Discipline Inspection of the Communist Party of China (CCDI) within the Ministry of Supervision as wanted or press releases related to high level government officials and SOE executives who are under investigation for violations of discipline and the law and related allegations of corruption, bribery and other economic crimes.	China	Law Enforcement
APAC	Central Commission for Discipline Inspection - Most Wanted Individuals listed by the Central Commission for Discipline Inspection of the Communist Party of China (CCDI) as wanted in the Sky Net Operation, who fled abroad on allegations of corruption, bribery and other economic crimes.	China	Law Enforcement
APAC	SHANGHAI STOCK EXCHANGE - Enforcement action against companies and individuals for violation of the Rules Governing the Listing of Stocks on the Shanghai Stock Exchange (SSE) under the supervision of the Chinese Securities Regulatory Commission (CSRC) discharging regulatory functions which includes criticism and public censure against individuals deemed by the SSE as individuals unfit for serving as a director of a listed company.	China	Regulatory Enforcement
APAC	China Securities Regulatory Commission - Warnings, fines and revocation of licenses issued against individuals and entities for violating securities regulations in China. Alert Alerts published by the Chinese Securities Regulatory Commission (CSRC) of entities identified to be engaged in illegal activities in the securities and futures market.	China	Regulatory Enforcement
APAC	PEOPLE'S BANK OF CHINA - United Nations sanctions as published by Peoples Bank of China.	China	Sanctions
APAC	Ministry of Public Security	China	Sanctions
APAC	Hong Kong Securities and Futures Commission - Investor Alerts and enforcement reports and listed entities operating in financial market.	Hong Kong	Regulatory Enforcement
APAC	HONG KONG GAZETTE - Individuals and Entities as listed in the Sanctions notices, given official implementation in Hong Kong by publication in the Gazette.	Hong Kong	Sanctions
APAC	Hong Kong Monetary Authority - Individuals and Entities listed in the UN Sanctions notices and OFAC terrorism related notices published by HKMA.	Hong Kong	Sanctions
APAC	Hong Kong Monetary Authority - HKMA Notices of fraudulent bank and entity websites.	Hong Kong	Regulatory Enforcement
APAC	HONG KONG SECURITIES & FUTURES COMMISSION - HKSFC Published enforcement reports.	Hong Kong	Regulatory Enforcement
APAC	HONG KONG INDEPENDENT COMMISSION AGAINST CORRUPTION - ICACHK Press releases and wanted notices issued by Hong Kong Independent Commission Against Corruption.	Hong Kong	Regulatory Enforcement
APAC	CENTRAL BUREAU OF INVESTIGATION OF INDIA - Most wanted list and press releases monitored for ARI RRE crimes	India	Law Enforcement
APAC	Insurance Regulatory and Development Authority of India - Penalty orders issued and suspended agents listed by the Insurance Regulatory and Development Authority (IRDA) of India against Life Insurers, Third Party Administrators, Agents, Surveyors and Brokers.	India	Regulatory Enforcement

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APAC Sanctions Source List

Desk	Source Name / Description	Country of Authority	Type
APAC	INDIAN NATIONAL INVESTIGATION AGENCY - INNIA Wanted List and releases on terrorism, arms trafficking, counterfeit currency syndicates and other criminal cases issued by the National Investigation Agency (NIA), part of the Ministry of Home Affairs of Government of India.	India	Law Enforcement
APAC	RESERVE BANK OF INDIA - SANCTIONS NOTICES - International sanctions notices as published by the Reserve Bank of India.	India	Sanctions
APAC	SECURITIES & EXCHANGE BOARD - SEBI Enforcement reports appearing on press releases issued by SEBI.	India	Regulatory Enforcement
APAC	Indonesian Financial Services Authority Regulatory enforcement action taken by the Indonesian Financial Services Authority (Otoritas Jasa Keuangan - OJK) against the Indonesian financial sector such as banking, capital markets, and non-bank financial industry sectors, for non-compliance with financial regulations, financial manipulation and embezzlement in financial service activities which include revocation of licenses, fines, cease and desist orders and corrective orders.	Indonesia	Regulatory Enforcement
APAC	Asian Development Bank Notices issued by Asian Development Bank declaring firms and individuals ineligible to participate in ADB-financed activity for committing fraudulent or corrupt acts as defined by ADB's Anticorruption Policy.	International	Regulatory Enforcement
APAC	JAPAN FINANCIAL SERVICES AGENCY - JFSA List of companies fined by JFSA for violating financial laws and warnings issued against unregistered Japanese and foreign companies, including suspension of operation and registration revocations.	Japan	Regulatory Enforcement
APAC	JAPANESE MINISTRY OF ECONOMY, TRADE & INDUSTRY - List of end-users noted for their involvement in Weapons of Mass Destruction.	Japan	Sanctions
APAC	JAPANESE MINISTRY OF FINANCE - INTERNATIONAL SANCTIONS - JMOF Notices pertaining to International sanctions currently in force in Japan.	Japan	Sanctions
APAC	Japan Ministry of Economy Trade and Industry (METI) End User list	Japan	Sanctions
APAC	Ministry of Finance	Japan	Sanctions
APAC	Ministry of Finance Sanctions List	Japan	Sanctions
APAC	South Korean Financial Intelligence Unit - Notices pertaining to International sanctions relating to terrorism currently in force in South Korea.	Korea, South	Sanctions
APAC	Ministry of Strategy and Finance - Sanctions Notices of those subject to the various international sanctions orders.	Korea, South	Sanctions
APAC	Financial Services Commission	Korea, South	Sanctions
APAC	Bank Negara Malaysia - Financial fraud alerts, enforcement actions, investigations and press releases issued against illegal financial activities by individuals and entities.	Malaysia	Regulatory Enforcement
APAC	Bank Negara Malaysia Sanctions Order Entities subject to a freezing of funds order pursuant to the Anti-Money Laundering and Anti-Terrorism Financing (Declaration of Specified Entities and Reporting Requirements) Order as published by the Central Bank of Malaysia (Bank Negara Malaysia - BNM).	Malaysia	Sanctions
APAC	Malaysian Securities Commission - Investor Alerts of entities unauthorized to provide financial services and fraudulent websites.	Malaysia	Regulatory Enforcement
APAC	Malaysian Attorney Generals Chambers - AGC Sanctions Orders - Entities subject to a freezing of funds order pursuant to the Anti-Money Laundering and Anti-Terrorism Financing (Declaration of Specified Entities and Reporting Requirements) Order as published by the Attorney General's Chambers of Malaysia (AGC).	Malaysia	Sanctions
APAC	Malaysian Anti-Corruption Commission (MACC) - Arrests, charges and convictions of individuals and organisations for violating anticorruption laws and regulations in Malaysia.	Malaysia	Law Enforcement
APAC	Ministry of Home Affairs	Malaysia	Sanctions
APAC	MINISTRY FOREIGN AFFAIRS & TRADE - UNSC SANCTIONS - NZ-MFAT Ministry of Foreign Affairs and Trade-publication of the non terrorism related sanctions imposed, in line with the United Nations sanctions.	New Zealand	Sanctions
APAC	NZPOL NEW ZEALAND - notices of current terrorism related sanctions applied in New Zealand in line with United Nations	New Zealand	Sanctions
APAC	NEW ZEALAND Securities and Exchange Commission - Warning notifications in relation to fraudulent investments offered.	New Zealand	Regulatory Enforcement
APAC	NEW ZEALAND SERIOUS FRAUD OFFICE - Media releases relating to serious fraud investigations and prosecutions based on ARI RRE keywords.	New Zealand	Law Enforcement
APAC	NATIONAL ACCOUNTABILITY BUREAU - NAB Fines, court orders and crime reports issued by the National Accountability Bureau.	Pakistan	Regulatory Enforcement
APAC	Securities and Exchange Commission of Pakistan - Ban orders, suspensions and fines issued against individuals and entities for violating financial and securities regulations in Pakistan.	Pakistan	Regulatory Enforcement
APAC	CENTRAL BANK OF THE PHILIPPINES - PHBSP Press releases circulars and warning notices published by the Central Bank of the Philippines (Bangko Sentral Ng Pilipinas) on individuals and entities.	Philippines	Regulatory Enforcement
APAC	PHILIPPINES SECURITIES AND EXCHANGE COMMISSION - PHSEC Cease and Desist orders.	Philippines	Regulatory Enforcement
APAC	Consolidated List of Prohibited and Regulated Products for Export, Department of Trade and Industry	Philippines	Sanctions
APAC	Monetary Authority of Singapore - Sanctions notices relating to the UN Sanctions which are currently applicable in Singapore. List of designated individuals/entities designated by Singapore in respect of the Terrorism (Suppression of Financing) Act Schedule 1A.	Singapore	Sanctions

Sanctions Source List

APAC Sanctions Source List

Desk	Source Name /Description	Country of Authority	Type
APAC	Monetary Authority of Singapore - Warnings and Investor Alerts of entities that are not licensed or regulated by MAS.	Singapore	Regulatory Enforcement
APAC	SINGAPORE CORRUPT PRACTICES INVESTIGATION BUREAU - Press releases issued by Singapore Corrupt Practices Investigation Bureau on companies and individuals charged and convicted of corruption and white collar crimes.	Singapore	Law Enforcement
APAC	Monetary Authority of Singapore - Regulations and Financial Stability - Targeted Financial Sanctions	Singapore	Sanctions
APAC	Sri Lanka Government Gazette - Terrorism List Individuals and Entities as listed in the Sanctions notices, given official implementation in Sri Lanka by publication in the Gazette	Sri Lanka	Sanctions
APAC	MINISTRY OF JUSTICE INVESTIGATION BUREAU OF TAIWAN - Notices issued by the Investigation Bureau of the Ministry of Justice for corruption, financial and narcotics crimes.	Taiwan	Law Enforcement
APAC	TAIWAN FINANCIAL SUPERVISORY COMMISSION - TWFSB Enforcement notices monitored for fines, suspensions imposed.	Taiwan	Regulatory Enforcement
APAC	THAILAND SECURITIES AND EXCHANGE COMMISSION - Investor contact sanction lists, revocation of corporate registration lists, and those who violate securities law, special audit ordered and complaints filed by SECTHA.	Thailand	Regulatory Enforcement
APAC	STATE SECURITIES COMMISSION OF VIETNAM - Warnings, revocation and suspension of certificates of registration and fines imposed on individuals and organizations for violating securities regulations in Viet Nam.	Vietnam	Regulatory Enforcement

Sanctions Source List

03 Europe

A selection of sanctions, financial regulatory and law enforcement sources.

List of sources

Desk	Source Name / Description	Country of Authority	Type
Europe	Albanian State Police - Notices of individuals and entities investigated, indicted or wanted by the Albanian State Police (ASP) for corruption, organised crime-related actions or other serious criminal offences.	Albania	Law Enforcement
Europe	ACB AUSTRIA - ACB - Oesterreichische National Bank - Terrorism List Terrorism Financing Sanctions notices.	Austria	Sanctions
Europe	Austrian National Bank - Sanction Lists Published sanctions notices (other than Terrorism Financing notices).	Austria	Sanctions
Europe	Financial Market Authority - FMA - National and International warning notices in respect of Financial Organisations.	Austria	Regulatory Enforcement
Europe	Financial Monitoring Service of Azerbaijan - Sanctions Notices Notices published by Central Bank - Financial Monitoring Services in relation to domestic and international sanctions.	Azerbaijan	Sanctions
Europe	Azerbaijan Ministry of Internal Affairs' Department on Combating Human Trafficking - Individuals listed by the for involvement in human trafficking.	Azerbaijan	Law Enforcement
Europe	Financial Markets Supervision Chamber - Financial Monitoring Service	Azerbaijan	Sanctions
Europe	Belgium Federal Public Service - National sanctions list of individuals and entities suspected to be involved in terrorism whose funds and other financial assets are frozen by the Belgium Federal Public Service for Justice (Federale Overheidsdienst Justitie - FOJ).	Belgium	Sanctions
Europe	Belgian Financial Services and Markets Authority - FSMA (formerly CBF). Warnings notices published by the Financial Services and Markets Authority of Belgium (FSMA - formerly CBF or Comm. Banc. Et Financiere) from foreign authorities and notices concerning illegal public soliciting of funds.	Belgium	Regulatory Enforcement
Europe	Federal Public Service Finance	Belgium	Sanctions
Europe	Federal Public Service Finance - National Financial Sanctions	Belgium	Sanctions
Europe	State Agency for National Security - Press releases based on ARIRRE keywords (no names mentioned, additional research needed)	Bulgaria	Sanctions
Europe	Cypriot Securities & Exchange Commission - Warning to investor notices from Cyprus Securities and Exchange Commission and from foreign regulators.	Cyprus	Regulatory Enforcement
Europe	Czech National Bank - Warnings issued by the Czech National Bank (CNB) against activities of companies providing financial services without a license from the CNB or monetary fine decisions issued by the CNB for violations of applicable banking or securities trading laws.	Czech Republic	Regulatory Enforcement
Europe	FINANCIAL SUPERVISORY AUTHORITY OF DENMARK - DKFSA warning notices of unauthorised individuals and entities.	Denmark	Regulatory Enforcement
Europe	Estonian Financial Supervision Authority - Alerts issued by the Estonian Financial Supervision Authority (Finantsinspektsioon FI) on individuals and entities not authorized to provide financial services within the European Union.	Estonia	Regulatory Enforcement
Europe	FINANCIAL SUPERVISORY AUTHORITY OF FINLAND - FIFSA notices relating to warning lists and unlicensed providers.	Finland	Regulatory Enforcement
Europe	French Prudential Supervisory Authority - Administrative enforcement measures (warnings and fines) issues by the French Prudential Supervisory Authority (Autorite de controle prudentiel et de resolution ACPR) against individuals and entities for violations of the French Monetary and Financial Code.	France	Regulatory Enforcement
Europe	FRENCH AUTORITE DES MARCHES FINANCIERS - Warning notices of unauthorised individuals/entities and individuals/entities subject to enforcement action in violation of securities regulation.	France	Regulatory Enforcement
Europe	FRENCH MINISTRY OF FINANCE - Individuals and entities subject to EU sanctions applicable in France and the French national list relating to terrorism.	France	Sanctions
Europe	MINISTRY OF FINANCE - List of designated entries published as Mesures Nationales (MN) by French Ministry of Finance.	France	Sanctions
Europe	Ministry of Finance - National Terrorism List List of designated entries published on the Liste Nationale.	France	Sanctions
Europe	Ministry of Economy and Finance	France	Sanctions
Europe	Argel Autorite de regulation des jeux en ligne	France	Sanctions

Sanctions Source List

Europe Sanctions Source List

Desk	Source Name/Description	Country of Authority	Type
Europe	Ministry of Internal Affairs of Georgia - Individuals and entities investigated, indicted or wanted for corruption, organised crime, individuals connected with terrorism or other serious criminal offences as published by the Georgian Ministry of Internal Affairs (MIA).	Georgia	Law Enforcement
Europe	Deutsche Bundesbank Sanctions List - Identifies entries listed on Official Sanctions Notices issued inline with EU actions.	Germany	Sanctions
Europe	GIBFSC GIBRALTAR - FIN. SERVICES COMM. - GIBFSC Warning notices relating to bogus banks and other unauthorized entities.	Gibraltar	Regulatory Enforcement
Europe	Capital Markets Commission - News releases based on ARI RRE keywords	Greece	Regulatory Enforcement
Europe	GUERNEY Financial Services Commission - Notices pertaining to prohibitions issued by the FSC, unauthorised financial institutions, warning notices and Public statements made under section 11C of the FSC Law.	Guernsey	Regulatory Enforcement
Europe	HUNGARIAN FINANCIAL SUPERVISORY AUTHORITY - WARNING NOTICES - Warning notices of unauthorised individuals and entities.	Hungary	Regulatory Enforcement
Europe	NATIONAL BANK OF HUNGARY - Warnings on entities not eligible to carry out certain business activities, entities that do not have permit to operate in financial markets in Hungary and warnings on companies whose activities are designated as unauthorised according to Act 2001 on the Capital Market or by foreign supervisory authorities.	Hungary	Regulatory Enforcement
Europe	Hungarian Police - Wanted notices issued by the Hungarian Police.	Hungary	Law Enforcement
Europe	HMT - Consolidated List	International	Sanctions
Europe	Financial Services Regulatory Authority of Ireland - Notices of unauthorised Firms and settlement agreements.	Ireland	Regulatory Enforcement
Europe	CONSOB - National Commission for Companies and the Stock Exchange - Investor warnings	Italy	Regulatory Enforcement
Europe	Central Bank of Italy Supervisory bulletins published by Banca d'Italia (Central Bank of Italy) listing companies and individuals who are fined for fraudulent administration, insider trading and infractions, publications on administrative sanctions and companies whose registrations have been suspended because of irregular activities.	Italy	Regulatory Enforcement
Europe	National Bank of Kazakhstan - Committee for the Control and Supervision of the Financial Market and Financial Organizations - licence suspensions or administrative fines for infringements, such as false accounting, money laundering and illegal funds transactions.	Kazakhstan	Regulatory Enforcement
Europe	State Revenue Committee of The Ministry of Finance - Individuals listed as wanted for involvement in financial crimes.	Kazakhstan	Law Enforcement
Europe	Kyrgyzstan Financial Intelligence Service - International and National List issued by the State Financial Intelligence Service of Kyrgyzstan (FIU) of individuals and entities involved in terrorist and extremist activities or the proliferation of weapons of mass destruction.	Kyrgyzstan	Law Enforcement
Europe	FINANCIAL AND CAPITAL MARKET COMMISSION - Investor warning notices regarding unauthorised financial concerns.	Latvia	Regulatory Enforcement
Europe	LANDESGESETZBLATT - Notices relating to on current sanctions regimes in force.	Liechtenstein	Sanctions
Europe	CENTRAL BANK OF LITHUANIA - WARNING NOTICES - LTLCB Warning notices relating to unlicensed companies including entries from the former Lithuanian Securities Commission (LSC).	Lithuania	Regulatory Enforcement
Europe	CSSF LUXEMBOURG - CSSF - Comm. De Surv. Du Secteur Financier. International Sanctions Notices published in Luxembourg - inline with UN and EU Sanctions.	Luxembourg	Sanctions
Europe	Commission De Surveillance Du Secteur Financier - Warning Notices Warning notices on entities not authorised to carry out certain business activities, entities that do not have permit to operate in financial markets in Luxembourg and warnings on companies whose activities are designated as unauthorised by foreign supervisory authorities or entities and individuals reported by the CSSF as suspected of illegal financial activities.	Luxembourg	Regulatory Enforcement
Europe	Commission de Surveillance du Secteur Financier	Luxembourg	Sanctions
Europe	Financial Services Authority of Malta - National and international warning in relation to unauthorised entities providing financial services.	Malta	Regulatory Enforcement
Europe	Malta Gaming Authority - Online and land-based gaming operators suspended by the Malta Gaming Authority (MGA).	Malta	Regulatory Enforcement
Europe	MONACO MINISTRY OF STATE - FINANCIAL INFORMATION & CONTROL SERVICE - Notices related to the sanctions programmes currently imposed by Monaco.	Monaco	Sanctions
Europe	AFM NETHERLANDS - Autoriteit Financiële Markten - Lists relating to unlicensed institutions and persons offering securities services in the Netherlands, institutions that are offering securities without issuing a prospectus and warning notices issued by foreign supervisory bodies.	Netherlands	Regulatory Enforcement
Europe	NETHERLANDS NATIONAL TERRORISM SANCTIONS - Sanctions imposed by the Netherlands government on individuals and entities related to terrorism. Notices published in the Government gazette.	Netherlands	Sanctions
Europe	Rijksoverheid - Nationale sanctielijst terrorisme	Netherlands	Sanctions
Europe	NORWAY FINANCIAL SUPERVISORY AUTHORITY - WARNING NOTICES - Fraudulent banks and internet sites, also individuals purporting to be legitimate business persons.	Norway	Regulatory Enforcement
Europe	Polish Financial Supervision Authority - List of unauthorised entities which have not obtained the required license from the Polish Financial Supervision Authority (Komisja Nadzoru Finansowego, KNF) to conduct activities as financial entities within Poland as required by law and list of financial penalties issued by KNF for violations of trading regulations.	Poland	Regulatory Enforcement

Sanctions Source List

Europe Sanctions Source List

Desk	Source Name / Description	Country of Authority	Type
Europe	Comissao Do Mercado De Valores Mobiliarios - Non-authorized Financial Institutions, Foreign Supervisory Authorities Warnings, Serious administrative infractions and Judicial decisions on crimes against the market.	Portugal	Regulatory Enforcement
Europe	Romanian Financial Supervision Authority - Companies and individuals as fined, licence revocations or other administrative proceedings.	Romania	Regulatory Enforcement
Europe	Romanian Organised Crime & Terrorism Investigation Directorate - Press releases on individuals , entities, groups or associations investigated, wanted or indicted for terrorism, crimes against the security of the state and organised crimelrelated actions.	Romania	Law Enforcement
Europe	Romanian National Anti-corruption Directorate - Press releases and news issued by the Romanian National Anticorruption Directorate (Directia Nationala Anticoruptie (DNA)) on individuals and entities investigated or indicted for corruption-related actions.	Romania	Law Enforcement
Europe	General Inspectorate of Romanian Police - Press releases and communiques on individuals wanted, investigated or indicted for serious financial criminal offences based on ARI RRE keywords	Romania	Law Enforcement
Europe	Federal Financial Monitoring Service	Russian Federation	Sanctions
Europe	Federal Financial Monitoring Service - List of Individuals/Organisations involved in Extremist/Terrorism activities.	Russian Federation	Sanctions
Europe	RUSSIAN FEDERAL DRUG CONTROL SERVICE - Wanted notices issued against individuals wanted by the Federal Drug Control Service of the Russian Federation for narcotic trafficking crimes and notices of conviction for narcotics trafficking and related crimes.	Russian Federation	Law Enforcement
Europe	RUSSIAN FEDERAL PENAL SERVICE - Individuals wanted for corruption and/or organised crime-related actions or other serious criminal offences.	Russian Federation	Law Enforcement
Europe	RUSSIAN MINISTRY OF INTERNAL AFFAIRS- Press releases issued by the Ministry of Internal Affairs of Russian Federation (Ministerstvo Vnutrennikh Del Rosiiskoy Federaciy - MVD) on individuals and entities investigated, wanted or indicted for financial or organised crime and terrorism.	Russian Federation	Law Enforcement
Europe	Prosecutor Generals Office Russian Federation - Press releases on individuals and entities investigated or indicted for corruption and/or organised crime-related actions or other financial crime offences.	Russian Federation	Law Enforcement
Europe	Russian Federal Investigative Committee - Press releases on individuals and entities investigated or indicted for financial and related crimes.	Russian Federation	Law Enforcement
Europe	NATIONAL BANK OF SLOVAKIA - Warnings on unethical and unfair practises in the Slovakian capital market and warnings issued by the European authorities informing the public of the financial activities of the financial market participants engaged in activities in the European Union including fines, license revocations and other regulatory actions ordered by the NBS.	Slovakia	Regulatory Enforcement
Europe	SLOVENIAN SECURITIES MARKET AGENCY - Warning notices relating to individuals and entities not authorised by the Securities Market Agency of Slovenia and warning notices published by other authorities.	Slovenia	Regulatory Enforcement
Europe	Commission Nacional Del Mercado De Valores - Warnings of firms not authorized to provide investment services in Spain and listings of disciplinary penalties issued by the CNMV against individuals and entities for violations of Law 44/2002 on the Measures to Reform the Financial System (Medidas de Reforma del Sistema Financiero), Law 24/88 on the Stock Market (Mercado de Valores) and the Law 35/2003 (Collective Investments Schemes (Instituciones de Inversion Colectiva)).	Spain	Regulatory Enforcement
Europe	Directorate General of Insurance and Pension Funds - Warnings issued by the Spanish Directorate General for Insurance and Pensions Funds (DGSFP) on organisations that are not registered or authorised to operate in Spain as Insurance Companies or to exercise said activity in Spain under the system of the free provision of services from another member state of the European Economic Space, or under the system of the right of establishment through a branch in Spain	Spain	Regulatory Enforcement
Europe	Swiss Federal Banking Commission - Lists of individuals/entities associated with terrorism. Last updated 2008.	Switzerland	Sanctions
Europe	SWISS FEDERAL DEPARTMENT OF FOREIGN AFFAIRS - FDFA Sanctions imposed by Swiss government, administered by the Federal Dept of Foreign Affairs (not included by SECO - State secretariat for Economic Affairs).	Switzerland	Sanctions
Europe	Swiss Financial Market Supervisory Authority - FINMA enforcement measures against unauthorised institutions (black list) and rulings under Article 34 FINMASA. This keyword also includes press releases for sanctions lists not published by SECO.	Switzerland	Regulatory Enforcement
Europe	State Secretariat for Economic Affairs. General keyword to identify entries subject to sanctions imposed by SECO.	Switzerland	Sanctions
Europe	Swiss Stock Exchange - Penalties and monetary fines issued by the SIX Swiss Exchange (previously SWX Swiss Exchange) relating to its regulatory mandate as prescribed under the Swiss Stock Exchange Act, regulating stock exchange trading and admission of securities.	Switzerland	Regulatory Enforcement
Europe	State Secretariat for Economic Affairs	Switzerland	Sanctions
Europe	Ministry of Internal Affairs of Tajikistan - Press releases on individuals and entities investigated or indicted for corruption, organised crimelrelated actions or other serious criminal offences.	Tajikstan	Law Enforcement
Europe	Council of Ministers of Turkey - Terrorism Linked Organisations Institutions, corporations, foundations, organisations, federations, confederations and other enterprises whose operations are terminated and/or assets seized due to alleged affiliation with terrorist organisations by the Council of Ministers (COM) of Turkey.	Turkey	Regulatory Enforcement
Europe	Turkish Ministry of Interior - Most Wanted Terrorists Most Wanted Terrorists Lists (Red, Blue, Green, Orange and Grey notices) issued by the Turkish Ministry of the Interior on members of religious, political and separatist terrorist organisations.	Turkey	Law Enforcement
Europe	Ministry of Interior Wanted Lists	Turkey	Sanctions
Europe	STATE COMMITTEE FOR FINANCIAL MONITORING - UN SANCTIONS PROGRAMMES - SCFM Notifications of current UN sanctions applicable in the Ukraine.	Ukraine	Sanctions
Europe	STATE COMMITTEE FOR FINANCIAL MONITORING - TERRORISM LIST - Notifications of current UN terrorism related sanctions applicable in the Ukraine.	Ukraine	Sanctions

Sanctions Source List

Europe Sanctions Source List

Desk	Source Name / Description	Country of Authority	Type
Europe	National Security and Defence Council of Ukraine - Special economic and other restrictive measures (sanctions) issued by the National Security and Defence Council of Ukraine (RNBO) against individuals and entities of Russia and other countries related to the annexation of Crimea and aggression in Donbass.	Ukraine	Sanctions
Europe	National Security and Defense Council of Ukraine - president decree No. 133/2017 dated May 15, 2017 one list of persons and one of entities - lists includes Ukrainian, Russian and other foreign persons and entities - Link to PDF versions of the lists (special economic and other restrictive measures)	Ukraine	Sanctions
Europe	National Security and Defense Council of Ukraine	Ukraine	Sanctions
Europe	Financial Conduct Authority - Enforcement Notices including Press Releases, Enforcement Press Releases, Consumer Information, Final Notices, Latest Publications and Prohibited Individuals.	United Kingdom	Regulatory Enforcement
Europe	Financial Conduct Authority - List of Unauthorised Internet Banks. List of unauthorised entities presenting themselves, over the Internet to be Banks and/or to offer banking services.	United Kingdom	Regulatory Enforcement
Europe	Financial Conduct Authority - List of Unauthorised Overseas Firms. List now combined with Unauthorised Firms or individuals.	United Kingdom	Regulatory Enforcement
Europe	IOM Financial Services Commission - Warnings and notices.	United Kingdom	Regulatory Enforcement
Europe	IOM Financial Services Commission - DISSOLVED COs - IOMFSC-D Financial Services Commission publishes notices of dissolved companies.	United Kingdom	Regulatory Enforcement
Europe	IOM Financial Services Commission - STRUCK OFF COs - IOMFSC-S Financial Services Commission publishes notices of companies struck off companies.	United Kingdom	Regulatory Enforcement
Europe	Metropolitan Police News Releases issued by the Metropolitan Police.	United Kingdom	Law Enforcement
Europe	Serious Fraud Office - Press releases issued by The Serious Fraud Office relating to serious fraud investigations and prosecutions.	United Kingdom	Regulatory Enforcement
Europe	HM CUSTOMS & EXCISE - Press Releases	United Kingdom	Law Enforcement
Europe	CITY OF LONDON POLICE - Press Releases issued by the City of London Police and monitored for ARI RRE relevant crimes.	United Kingdom	Law Enforcement
Europe	UK Gambling Commission - Press releases and notices against gambling licence holders (individuals and entities), including warnings, imposing additional conditions or amending existing ones, financial penalties for breach of licence conditions, licence suspensions and revocations, as well as law enforcement action taken against licenced and unlicenced gambling operators.	United Kingdom	Regulatory Enforcement
Europe	HM REVENUE & CUSTOMS TAX DEFAULTERS - UKHMRC-TD List of tax defaulters published by UK HM Revenue & Customs penalised for deliberately failing to comply with tax obligations.	United Kingdom	Regulatory Enforcement
Europe	HM TREASURY - Individuals and entities listed on the UK consolidated list of Financial sanctions targets as designated by United Nations, European Union and United Kingdom.	United Kingdom	Sanctions
Europe	HM Treasury Financial Restrictions. Notices issued by UK HM Treasury implementing Financial Restrictions under Counter terrorism Act 2008 - entries not always included on the UK Consolidated sanctions list.	United Kingdom	Regulatory Enforcement
Europe	HM Treasury Investment Ban List of entries subject to Investment restrictions.	United Kingdom	Sanctions
Europe	UK HOME OFFICE - Proscribed Terrorist Groups.	United Kingdom	Regulatory Enforcement
Europe	UK NATIONAL CRIME AGENCY - Individuals subject to Serious Crime Prevention Orders, Financial Reporting Orders, Travel Restriction Orders and Ancillary Orders as published by the UK National Crime Agency (NCA)	United Kingdom	Law Enforcement
Europe	HMT	United Kingdom	Sanctions
Europe	HMT - Eritrea	United Kingdom	Sanctions
Europe	HMT - Lebanon and Syria	United Kingdom	Sanctions
Europe	HMT - Republic of Guinea	United Kingdom	Sanctions
Europe	HMT - Zimbabwe	United Kingdom	Sanctions
Europe	HMT - Burundi	United Kingdom	Sanctions
Europe	HMT - Belarus	United Kingdom	Sanctions
Europe	HMT - UK freezing orders	United Kingdom	Sanctions
Europe	HMT - Tunisia	United Kingdom	Sanctions
Europe	HMT - Ukraine (Misappropriation and Human Rights)	United Kingdom	Sanctions

Sanctions Source List

Europe Sanctions Source List

Desk	Source Name / Description	Country of Authority	Type
Europe	HMT - Somalia	United Kingdom	Sanctions
Europe	HMT - Republic of Guinea-Bissau	United Kingdom	Sanctions
Europe	HMT - South Sudan	United Kingdom	Sanctions
Europe	HMT - Iraq	United Kingdom	Sanctions
Europe	HMT - Egypt	United Kingdom	Sanctions
Europe	HMT - Yemen	United Kingdom	Sanctions
Europe	HMT - Afghanistan	United Kingdom	Sanctions
Europe	HMT - Iran (human rights)	United Kingdom	Sanctions
Europe	HMT - Democratic Republic of the Congo	United Kingdom	Sanctions
Europe	HMT - Central African Republic	United Kingdom	Sanctions
Europe	HMT - Iran (nuclear proliferation)	United Kingdom	Sanctions
Europe	HMT - Libya	United Kingdom	Sanctions
Europe	HMT - Ukraine (Sovereignty and Territorial Integrity)	United Kingdom	Sanctions
Europe	HMT - Syria	United Kingdom	Sanctions
Europe	HMT - ISIL (Da'esh) and Al-Qaida organisations	United Kingdom	Sanctions
Europe	HMT - Current list of designated persons, terrorism and terrorist financing	United Kingdom	Sanctions
Europe	HMT - North Korea (Democratic People's Republic of Korea)	United Kingdom	Sanctions
Europe	HMT - Sudan	United Kingdom	Sanctions

Sanctions Source List

04

International & Regional

A selection of sanctions, financial regulatory and law enforcement sources.

List of sources

Desk	Source Name / Description	Country of Authority	Type
International & Regional	EUROPEAN BANK FOR RECONSTRUCTION AND DEVELOPMENT - EBRD List of entities and individuals which are ineligible to become an European Bank for Reconstruction and Development Counterparty because they have engaged in Prohibited Practices as defined in EBRD Enforcement Policy and procedures.	International	Regulatory Enforcement
International & Regional	EUROPEAN UNION SANCTIONS - EU General keyword to group all entries subject to asset freeze/asset freeze and travel restrictions.	International	Sanctions
International & Regional	Europol Wanted List - Europe's Most Wanted Wanted notices published by European law enforcement authorities in cooperation with Europol as published on a dedicated website (www.euromostwanted.eu) for Europe's Most Wanted Fugitives.	International	Law Enforcement
International & Regional	EU - Lebanon	International	Sanctions
International & Regional	EU - Terrorist Groups (Foreign Terrorist Organisations)	International	Sanctions
International & Regional	EU - Iraq	International	Sanctions
International & Regional	EU - Eritrea	International	Sanctions
International & Regional	EU - Somalia	International	Sanctions
International & Regional	EU - Iran	International	Sanctions
International & Regional	EU - Moldova	International	Sanctions
International & Regional	EU - Republic of Guinea (Conakry)	International	Sanctions
International & Regional	EU - Democratic Republic of Congo	International	Sanctions
International & Regional	EU - Tunisia	International	Sanctions
International & Regional	EU - Zimbabwe	International	Sanctions
International & Regional	EU - Egypt	International	Sanctions
International & Regional	EU - Afghanistan	International	Sanctions
International & Regional	EU - Guinea-Bissau	International	Sanctions
International & Regional	EU - Belarus	International	Sanctions
International & Regional	EU - Burma (Myanmar)	International	Sanctions
International & Regional	EU - Syria	International	Sanctions
International & Regional	EU - Central African Republic	International	Sanctions
International & Regional	EU - Sudan	International	Sanctions
International & Regional	EU - Russian Federation	International	Sanctions
International & Regional	EU - Yemen	International	Sanctions
International & Regional	EU - South Sudan	International	Sanctions
International & Regional	EU - Burundi	International	Sanctions

Sanctions Source List

International & Regional Sanctions Source List

Desk	Source Name / Description	Country of Authority	Type
International & Regional	EU - Democratic People's Republic of Korea (North Korea)	International	Sanctions
International & Regional	EU - Al Qaeda and ISIL (Da'esh)	International	Sanctions
International & Regional	EU - Haiti	International	Sanctions
International & Regional	EU - China	International	Sanctions
International & Regional	EU - Serbia and Montenegro	International	Sanctions
International & Regional	EU - Yugoslavia (Serbia and Montenegro)	International	Sanctions
International & Regional	EU - USA (United States of America)	International	Sanctions
International & Regional	EU - Bosnia and Herzegovina	International	Sanctions
International & Regional	EU - Libya	International	Sanctions
International & Regional	EU - Mali	International	Sanctions
International & Regional	EU - Ukraine	International	Sanctions
International & Regional	European Union - Recently Published	International	Sanctions
International & Regional	Sanctions Checker	International	Sanctions
International & Regional	European Sanctions blog	International	Sanctions
International & Regional	Interpol - Wanted Persons	International	Law Enforcement
International & Regional	UN - UNITED NATIONS SANCTIONS - UN General keyword used to identify ALL entries designated by any committee that are subject to either an asset freeze and a travel Ban or just an asset freeze.	International	Sanctions
International & Regional	UN - Resolution 1267 & 1989 & 2253 - ISIL (Da'esh) & Al-Qaida	International	Sanctions
International & Regional	UN - Resolution 2127 & 2134 - Central African Republic	International	Sanctions
International & Regional	UN - Consolidated Sanction List	International	Sanctions
International & Regional	UN - Resolution 1718 - Democratic People's Republic of Korea	International	Sanctions
International & Regional	UN - Resolution 1533 - Democratic Republic of the Congo	International	Sanctions
International & Regional	UN - Resolution 2048 - Guinea-Bissau	International	Sanctions
International & Regional	UN - Resolution 1518 - Iraq and Kuwait	International	Sanctions
International & Regional	UN - Resolution 1970 - Libyan Arab Jamahiriya	International	Sanctions
International & Regional	UN - Resolutions 751 & 1907 - Somalia & Eritrea	International	Sanctions
International & Regional	UN - Resolution 2206 (Concerning South Sudan)	International	Sanctions
International & Regional	UN - Resolution 1591 - Sudan	International	Sanctions
International & Regional	UN - Resolution 1988 - Taliban and associated Individuals and Entities	International	Sanctions
International & Regional	UN - Resolution 2140 - Yemen	International	Sanctions
International & Regional	UN - Resolution 1636 - Lebanon	International	Sanctions
International & Regional	UN - Resolution 2374 (Concerning Mali)	International	Sanctions
International & Regional	World Bank Debarred firms and individuals	International	Sanctions

Sanctions Source List

05 Middle East - MEA

A selection of sanctions, financial regulatory and law enforcement sources.

List of sources

Desk	Source Name / Description	Country of Authority	Type
MEA	High Office of Oversight and Anti-Corruption	Afghanistan	Regulatory Enforcement
MEA	Da Afghanistan Bank	Afghanistan	Regulatory Enforcement
MEA	Financial Transactions and Reports Analysis Center of Afghanistan	Afghanistan	Regulatory Enforcement
MEA	Bank of Algeria	Algeria	Regulatory Enforcement
MEA	Ministry of Finance	Algeria	Regulatory Enforcement
MEA	Commission for organisation and surveillance of the exchange operation (COSOB)	Algeria	Regulatory Enforcement
MEA	No Official Lists - only media	Bahrain	Sanctions
MEA	Bahrain Bourse (BHB)	Bahrain	Regulatory Enforcement
MEA	Central Bank of Bahrain	Bahrain	Regulatory Enforcement
MEA	No Official Lists - only media	Bahrain	Sanctions
MEA	Center of National Financial Information - Benin	Benin	Regulatory Enforcement
MEA	Non-Bank Financial Institutions Regulatory Authority - notices	Botswana	Regulatory Enforcement
MEA	Chamber of Commerce, Industry, Mines and Crafts of Cameroon	Cameroon	Regulatory Enforcement
MEA	US Department of the Treasury	Central African Republic	Sanctions
MEA	Financial Investigation Agency	Congo, Republic of the	Regulatory Enforcement
MEA	COTE D'IVOIRE - Ivory Coast Platform Combating Cyber Criminality - Individuals involved in or wanted by the Ivory Coast Police for cybercrime activities as published by the Platform Combating Cyber Criminality (Plateforme de Lutte Contre la Cybercriminalite - PLCC) of the Ivory Coast Ministry of State and Interior.	Cote D'Ivoire	Law Enforcement
MEA	US Department of the Treasury	Cote D'Ivoire	Sanctions
MEA	EGYPTIAN EXCHANGE - ASSET FREEZE - Entries subject to Egyptian Attorney General Decrees and /or orders imposed by Egyptian Chancellor and President of Court Appeal.	Egypt	Sanctions
MEA	No Official Lists - only media	Egypt	Sanctions
MEA	The Electric Utility and Consumer Protection Regulatory Agency	Egypt	Regulatory Enforcement
MEA	Administrative Control Authority	Egypt	Regulatory Enforcement
MEA	Cargo Supervision and Surveying Office	Egypt	Regulatory Enforcement
MEA	Central Bank of Egypt	Egypt	Regulatory Enforcement
MEA	Egyptian Drug Authority	Egypt	Regulatory Enforcement
MEA	Egyptian Financial Supervisory Authority	Egypt	Regulatory Enforcement

Sanctions Source List

Middle East - MEA Sanctions Source List

Desk	Source Name / Description	Country of Authority	Type
MEA	General Authority for Investment and Free Zones	Egypt	Regulatory Enforcement
MEA	General Authority for Investment	Egypt	Regulatory Enforcement
MEA	National Telecommunication Regulatory Authority	Egypt	Regulatory Enforcement
MEA	Administrative Control Authority	Egypt	Regulatory Enforcement
MEA	No Official Lists - only media	Egypt	Sanctions
MEA	Central Auditing Organization	Egypt	Regulatory Enforcement
MEA	Financial Intelligence Agency	Ethiopia	Regulatory Enforcement
MEA	Court of Auditors	Gabon	Regulatory Enforcement
MEA	Central Bank of Gambia	Gambia, The	Regulatory Enforcement
MEA	Financial Intelligence Centre (FIC)	Ghana	Regulatory Enforcement
MEA	Securities & Exchange Commission	Ghana	Regulatory Enforcement
MEA	Bank of Ghana - public notices	Ghana	Regulatory Enforcement
MEA	African Development Bank - Debarred Entities Debarred Entities which have been or may be declared ineligible for contracts financed by the African Development Bank Group.	International	Regulatory Enforcement
MEA	MFA - Sanctions List	Iran	Sanctions
MEA	Central Securities Depository of Iran	Iran	Regulatory Enforcement
MEA	Securities and Exchange Organisation	Iran	Regulatory Enforcement
MEA	Tehran Securities Exchange Technology Management	Iran	Regulatory Enforcement
MEA	Iran Fara Bourse	Iran	Regulatory Enforcement
MEA	Iran Mercantile Exchange	Iran	Regulatory Enforcement
MEA	Central Bank of the Islamic Republic of Iran	Iran	Regulatory Enforcement
MEA	Iran Tehran Stock Exchange	Iran	Regulatory Enforcement
MEA	Mutual Funds	Iran	Regulatory Enforcement
MEA	Central Securities Depository of Iran	Iran	Regulatory Enforcement
MEA	MFA - Sanctions List	Iran	Sanctions
MEA	Ministry of Planning	Iraq	Sanctions
MEA	Central Bank of Iraq	Iraq	Regulatory Enforcement
MEA	Federal Bureau of Financial Supervision	Iraq	Regulatory Enforcement
MEA	Iraq Stock Exchange	Iraq	Regulatory Enforcement
MEA	Ministry of Planning	Iraq	Sanctions
MEA	ISRAEL MINISTRY OF DEFENCE - TERRORISM LIST - IMOD Israeli Ministry of Defence published list of identified terrorist groups and associates.	Israel	Sanctions
MEA	Bank of Israel	Israel	Sanctions
MEA	Israel Securities Authority	Israel	Sanctions

Sanctions Source List

Middle East - MEA Sanctions Source List

Desk	Source Name / Description	Country of Authority	Type
MEA	Ministry of Defence	Israel	Sanctions
MEA	Israel Tax Authority	Israel	Sanctions
MEA	Ministry of Justice	Israel	Sanctions
MEA	Ministry of Finance	Israel	Regulatory Enforcement
MEA	Israel Tax Authority	Israel	Regulatory Enforcement
MEA	Bank of Israel	Israel	Regulatory Enforcement
MEA	Israel Securities Authority - lists of judgements	Israel	Regulatory Enforcement
MEA	Israel Tax Authority - News search	Israel	Regulatory Enforcement
MEA	Israel Tax Authority - Press Releases	Israel	Regulatory Enforcement
MEA	Israel Tax Authority-Search for Judgments - Criminal Proceedings for Income Tax and VAT	Israel	Regulatory Enforcement
MEA	Israel Tax Authority - search for entities that are not registered by law (not sure what this means)	Israel	Regulatory Enforcement
MEA	Israel Securities Authority	Israel	Regulatory Enforcement
MEA	Bank of Israel	Israel	Sanctions
MEA	Israel Securities Authority	Israel	Sanctions
MEA	Ministry of Defence	Israel	Sanctions
MEA	Israel Tax Authority	Israel	Sanctions
MEA	Ministry of Justice	Israel	Sanctions
MEA	Amman Stock Exchange (ASE)	Jordan	Regulatory Enforcement
MEA	Jordan Securities Depository Center	Jordan	Regulatory Enforcement
MEA	Jordan Telecommunication Regulatory Commission (TRC)	Jordan	Regulatory Enforcement
MEA	Securities Commission	Jordan	Regulatory Enforcement
MEA	Kenyan Specified Entity List Entities and individuals listed as Specified Entities pursuant to the Kenyan Prevention of Terrorism Act which includes an account freeze, freeze of funds in transit and freeze of property held by the Specified Entities and to cease provision of financial services.	Kenya	Sanctions
MEA	Central Bank of Kenya (CBK)	Kenya	Regulatory Enforcement
MEA	Capital Markets Authority	Kenya	Regulatory Enforcement
MEA	Ministry of Finance	Kuwait	Regulatory Enforcement
MEA	Kuwait Stock Exchange (Borsa Kuwait)	Kuwait	Regulatory Enforcement
MEA	Central Bank of Kuwait	Kuwait	Regulatory Enforcement
MEA	State Audit Bureau of Kuwait	Kuwait	Regulatory Enforcement
MEA	Central Bank of Kuwait	Kuwait	Regulatory Enforcement
MEA	Capital Market Authority (CMA)	Kuwait	Regulatory Enforcement
MEA	Kuwait Stock Exchange (Borsa Kuwait)	Kuwait	Regulatory Enforcement
MEA	Ministry of Economy and Trade	Lebanon	Sanctions

Sanctions Source List

Middle East - MEA Sanctions Source List

Desk	Source Name /Description	Country of Authority	Type
MEA	Banking control commission of Lebanon	Lebanon	Regulatory Enforcement
MEA	Banque du Liban	Lebanon	Regulatory Enforcement
MEA	Beirut Stock Exchange	Lebanon	Regulatory Enforcement
MEA	Ministry of Economy and Trade	Lebanon	Sanctions
MEA	Central Bank of Lesotho	Lebanon	Regulatory Enforcement
MEA	Libyan National Transitional Council Law 36 List of individuals and entities named in terms of the Libyan National Transitional Council Law 36 - The Administration of the Assets and Properties of Some Individuals.	Libya	Sanctions
MEA	List of entities and individuals designated as terrorists by SA,UAE, Bahrain and Egypt	Libya	Sanctions
MEA	State Secretariat for Economic Affairs, Switzerland	Libya	Sanctions
MEA	Libyan Audit Bureau	Libya	Regulatory Enforcement
MEA	Libya's Central Bank	Libya	Regulatory Enforcement
MEA	Libyan Stock Market	Libya	Regulatory Enforcement
MEA	List of entities and individuals designated as terrorists by SA,UAE, Bahrain and Egypt	Libya	Sanctions
MEA	Anti Corruption Bureau – Malawi	Malawi	Regulatory Enforcement
MEA	The Pension and Insurance Supervision (PISU) Department of Reserve Bank of Malawi	Malawi	Regulatory Enforcement
MEA	Regulation Authority	Mauritania	Regulatory Enforcement
MEA	Central Bank of Mauritania (BCM)	Mauritania	Regulatory Enforcement
MEA	Court of Auditors	Mauritania	Regulatory Enforcement
MEA	Ministry of Economy and Finance	Mauritania	Regulatory Enforcement
MEA	Mauritius Financial Services Commission - Press releases and communiques issued by the Financial Services Commission of Mauritius on companies penalized for irregular activities, license revocations and warnings against unlicensed entities.	Mauritius	Regulatory Enforcement
MEA	Financial Services Commission Mauritius	Mauritius	Regulatory Enforcement
MEA	Financial Reporting Council	Mauritius	Regulatory Enforcement
MEA	Bank of Mauritius	Mauritius	Regulatory Enforcement
MEA	Financial Services Commission	Mauritius	Regulatory Enforcement
MEA	Revenue Authority	Mauritius	Regulatory Enforcement
MEA	Financial Services Commission - Enforcement Actions	Mauritius	Regulatory Enforcement
MEA	Moroccan Securities Board	Morocco	Regulatory Enforcement
MEA	Bank al-Maghrib	Morocco	Regulatory Enforcement
MEA	Moroccan Ministry of Economy and Finance	Morocco	Regulatory Enforcement
MEA	Moroccan Ministry of Industry, Commerce, Investment and Digital Economy	Morocco	Regulatory Enforcement
MEA	NATIONAL DRUG LAW ENFORCEMENT AGENCY - Wanted persons and press releases published by the National Drug Law Enforcement Agency (NDLEA) of Nigeria relating to law enforcement action against individuals for offences relating to illicit narcotics trafficking.	Nigeria	Law Enforcement
MEA	NIGERIAN ECONOMIC AND FINANCIAL CRIMES COMMISSION - Press Releases and Most Wanted notices issued by the Nigerian Economic and Financial Crimes Commission for ARI RRE crimes.	Nigeria	Law Enforcement

Sanctions Source List

Middle East - MEA Sanctions Source List

Desk	SourceName /Description	Country of Authority	Type
MEA	Independent Corrupt Practices Commission - Wanted persons, press releases and court cases published by the Independent Corrupt Practices and Other Related Offences Commission (ICPC) of Nigeria relating to law enforcement and prosecution of corruption offences.	Nigeria	Law Enforcement
MEA	Nigerian Securities and Exchange Commission - Enforcement proceedings taken by the Nigerian Securities and Exchange Commission against individuals and companies for breaches of securities laws.	Nigeria	Regulatory Enforcement
MEA	Securities and Exchange Commission -- SEC ADMINISTRATIVE PROCEEDINGS COMMITTEE Decisions	Nigeria	Regulatory Enforcement
MEA	Securities and Exchange Commission -- Litigation	Nigeria	Regulatory Enforcement
MEA	Securities and Exchange Commission -- REFERRED CASES	Nigeria	Regulatory Enforcement
MEA	Securities and Exchange Commission -- SUSPENSIONS AND PENALTIES	Nigeria	Regulatory Enforcement
MEA	Federal Inland Revenue Services	Nigeria	Regulatory Enforcement
MEA	Economic and Financial Crimes Commission	Nigeria	Regulatory Enforcement
MEA	Central Bank of Oman	Oman	Regulatory Enforcement
MEA	Capital Market Authority	Oman	Regulatory Enforcement
MEA	State Audit Institution	Oman	Regulatory Enforcement
MEA	Muscat Securities Market	Oman	Regulatory Enforcement
MEA	Capital Market Authority (CMA)	Oman	Regulatory Enforcement
MEA	OFAC - Palestinian Legislative Council (PLC) list	Palestine	Sanctions
MEA	Palestine Ministry of Finance	Palestine	Regulatory Enforcement
MEA	State Audit and Administrative Control Bureau - PNA	Palestine	Regulatory Enforcement
MEA	Bank of Palestine	Palestine	Regulatory Enforcement
MEA	Palestine Capital Market Authority - List of licensed financial leasing companies for the year 2016	Palestine	Regulatory Enforcement
MEA	Palestine Capital Market Authority - List of licensed insurance companies for the year 2016	Palestine	Regulatory Enforcement
MEA	Palestine Capital Market Authority - List of licensed mortgage companies for the year 2016	Palestine	Regulatory Enforcement
MEA	Palestine Capital Market Authority	Palestine	Regulatory Enforcement
MEA	Palestine Capital Market Authority - List of companies licensed to conduct financial activities for the year 2016	Palestine	Regulatory Enforcement
MEA	OFAC - Palestinian Legislative Council (PLC) list	Palestine	Sanctions
MEA	Qatar Central Bank	Qatar	Regulatory Enforcement
MEA	Qatar Stock Exchange	Qatar	Regulatory Enforcement
MEA	Qatar Financial Centre Authority	Qatar	Regulatory Enforcement
MEA	Qatar Financial Centre Regulatory Authority	Qatar	Regulatory Enforcement
MEA	Qatar Financial Markets Authority	Qatar	Regulatory Enforcement
MEA	Qatar Stock Exchange	Qatar	Regulatory Enforcement
MEA	Qatar Financial Markets Authority	Qatar	Regulatory Enforcement
MEA	Rwanda National Police - Press releases issued by the Rwandan National Police on individuals and/or entities indicted for corruption and/or organised crime-related actions or other serious criminal offences.	Rwanda	Law Enforcement

Sanctions Source List

Middle East - MEA Sanctions Source List

Desk	Source Name / Description	Country of Authority	Type
MEA	National Bank of Rwanda	Rwanda	Regulatory Enforcement
MEA	Public Warnings - Securities Dealers	Sao Tome and Principe	Regulatory Enforcement
MEA	Official Gazette (Um Al Qura)	Saudi Arabia	Sanctions
MEA	Saudi Arabian Capital Market Authority	Saudi Arabia	Regulatory Enforcement
MEA	Saudi Arabian Monetary Agency	Saudi Arabia	Regulatory Enforcement
MEA	Saudi Arabian Capital Market Authority	Saudi Arabia	Regulatory Enforcement
MEA	Saudi Stock Exchange (Tadawul) -- Suspended companies	Saudi Arabia	Regulatory Enforcement
MEA	Saudi Stock Exchange (Tadawul) -- Suspended companies historical list	Saudi Arabia	Regulatory Enforcement
MEA	Official Gazette (Um Al Qura)	Saudi Arabia	Sanctions
MEA	Chamber of Public Notaries	Senegal	Regulatory Enforcement
MEA	Central Bank of Seychelles	Seychelles	Regulatory Enforcement
MEA	Financial Services Authority Seychelles:	Seychelles	Regulatory Enforcement
MEA	Bank of Sierra Leone	Sierra Leone	Regulatory Enforcement
MEA	Central Bank of Somalia	Somalia	Regulatory Enforcement
MEA	SOUTH AFRICAN POLICE SERVICE - Official press releases issued on the South African Police Service (SAPS) website on individuals and entities investigated, indicted or wanted for corruption and/or organised crime-related actions or other serious criminal offences by the SAPS.	South Africa	Law Enforcement
MEA	Financial Intelligence Centre -- Sanctions by FIC	South Africa	Regulatory Enforcement
MEA	Financial Intelligence Centre -- Sanctions issued by supervisory bodies	South Africa	Regulatory Enforcement
MEA	Bank of South Sudan	South Africa	Regulatory Enforcement
MEA	Central Bank of Sudan	Sudan	Regulatory Enforcement
MEA	Syrian Commission on Financial Markets and Securities (SCFMS)	Syria	Regulatory Enforcement
MEA	Central Bank of Syria	Syria	Regulatory Enforcement
MEA	Syrian Ministry of Finance	Syria	Regulatory Enforcement
MEA	Financial Intelligence Unit	Tanzania	Regulatory Enforcement
MEA	Capital Market & Securities Authority	Tanzania	Regulatory Enforcement
MEA	Bank of Tanzania	Tanzania	Regulatory Enforcement
MEA	Financial Intelligence Unit	Tanzania	Regulatory Enforcement
MEA	Regional Council for Public Savings and Financial Markets (CREPMF) -- Regulatory decisions	Togo	Regulatory Enforcement
MEA	Inter-African Conference of Insurance Markets (CIMA)	Togo	Regulatory Enforcement
MEA	Central Bank of Tunisia	Tunisia	Regulatory Enforcement
MEA	Tunisia Stock Exchange (Bourse de Tunis)	Tunisia	Regulatory Enforcement
MEA	Tunisian Council of the Financial Market	Tunisia	Regulatory Enforcement

Sanctions Source List

Middle East - MEA Sanctions Source List

Desk	SourceName /Description	Country of Authority	Type
MEA	Tunisian Council of the Financial Market	Tunisia	Regulatory Enforcement
MEA	Ministry of Finance	Tunisia	Regulatory Enforcement
MEA	Ministry of Foreign Affairs and International Cooperation	UAE	Sanctions
MEA	Ministry of Foreign Affairs and International Cooperation	UAE	Sanctions
MEA	Abu Dhabi Securities Exchange	UAE	Regulatory Enforcement
MEA	Dubai International Financial Centre (DIFC)	UAE	Regulatory Enforcement
MEA	Regulation and Supervision Bureau	UAE	Regulatory Enforcement
MEA	State Audit Institution	UAE	Regulatory Enforcement
MEA	Central Bank of the UAE	UAE	Regulatory Enforcement
MEA	Dubai Financial Services Authority (DFSA)	UAE	Regulatory Enforcement
MEA	Multi Commodities Centre Authority	UAE	Regulatory Enforcement
MEA	Securities and Commodities Authority	UAE	Regulatory Enforcement
MEA	National Bank of Uganda	Uganda	Regulatory Enforcement
MEA	Bank of Zambia	Zambia	Regulatory Enforcement
MEA	Pensions and Insurance Authority	Zambia	Regulatory Enforcement
MEA	Zambia Securities and Exchange Commission	Zambia	Regulatory Enforcement
MEA	Securities and Exchange Commission	Zambia	Regulatory Enforcement
MEA	Financial Intelligence Centre	Zambia	Regulatory Enforcement
MEA	Zambia Revenue Authority	Zambia	Regulatory Enforcement
MEA	Zimbabwe Sanctions - US Treasury	Zimbabwe	Sanctions
MEA	Royal Bank Zimbabwe	Zimbabwe	Regulatory Enforcement
MEA	Zimbabwe Sanctions - US Treasury	Zimbabwe	Sanctions
MEA	My Zimbabwe - Wanted Persons	Zimbabwe	Law Enforcement
MEA	Public Police - Wanted Persons	Zimbabwe	Law Enforcement

Content

1. Politically Exposed Persons (PEPs)

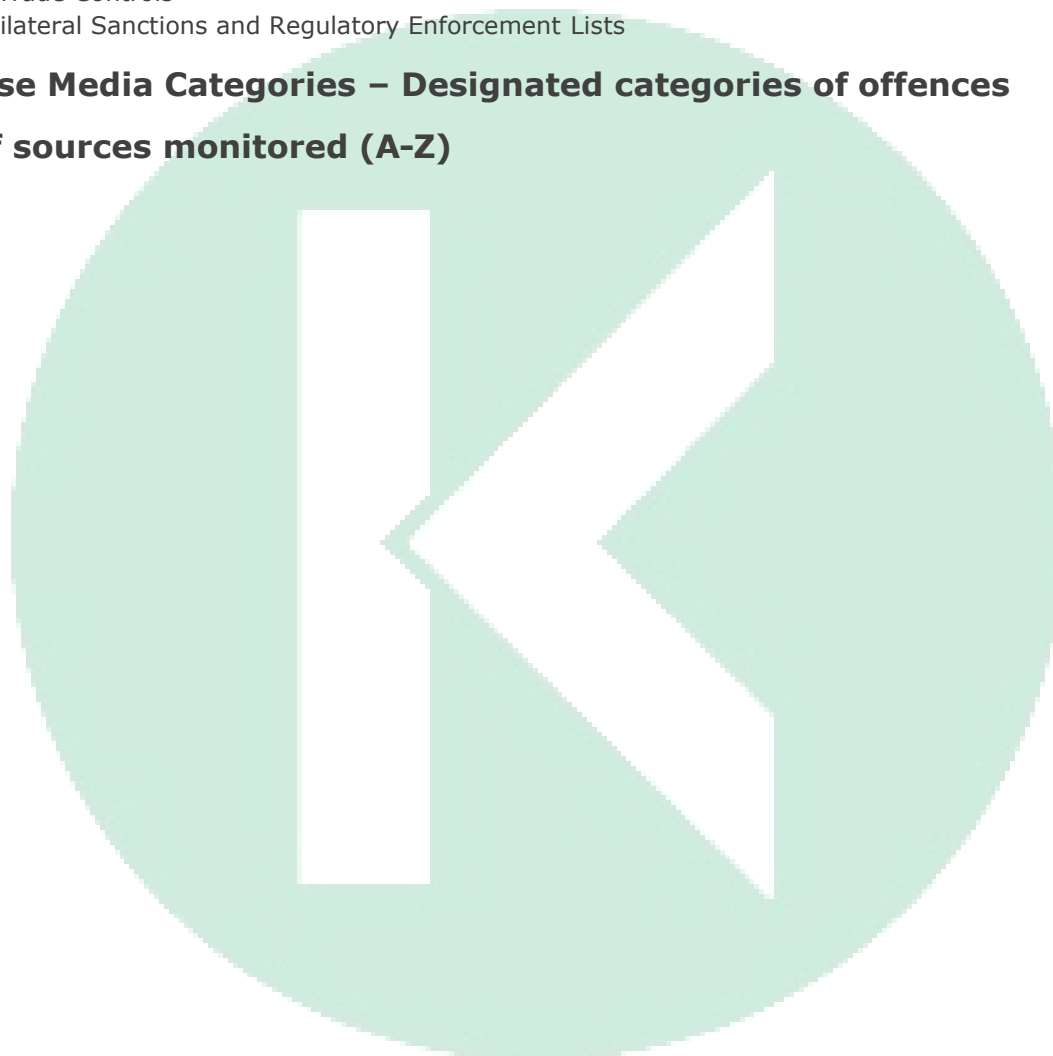
- 1.1 PEP definition
- 1.2 PEPs classification
- 1.3 PEPs in State-Owned Enterprises (SOEs)
- 1.4 PEP Data Resources

2. Sanctions & Freeze

- 2.1 United Kingdom (UK): HM Treasury
- 2.2 United States (US): Department of the Treasury - Office of Foreign Assets Control (OFAC)
- 2.3 US: Department of State - Bureau of International Security & Non-Proliferation Sanctions
- 2.4 United Nations (UN): Security Council Committees
- 2.5 European Union (EU)
- 2.6 Defence Trade Controls
- 2.7 Other Unilateral Sanctions and Regulatory Enforcement Lists

3. Adverse Media Categories – Designated categories of offences

4. List of sources monitored (A-Z)



1 Politically Exposed Persons (PEPs)

1.1 PEP definition

The general PEP Definition is primarily based on the FATF version but also draws from the United Nations Convention Against Corruption (UNCAC), the 4th EU Money Laundering Directive, the Joint Anti Money Laundering Steering Group (JMLSG) and the Wolfsberg Group:

- Current or former senior officials in the executive, legislative, administrative, military, or judicial branch of a foreign government (elected or not)
- A senior official of a major foreign political party
- A senior executive of a foreign government owned commercial enterprise, being a corporation, business or other entity formed by or for the benefit of any such individual
- An immediate family member of such individual; meaning spouse, parents, siblings, children, and spouse's parents or siblings
- Any individual publicly known (or known by the relevant financial institution) to be a personal or professional associate.

While such definition is a valid source of mandate for financial institutions to consider, to comply with relevant regulations, it is not sufficiently elaborate for clients to conveniently refer to the PEP verification process in a comprehensive approach.

To address this issue, a PEP Tiering guidelines has been set up that serves as the research framework for analysts to follow consistently throughout systematic research and adhoc due diligence investigations. While several categories have to be treated with discretion in certain contexts, the general guidelines should cover most governance systems spanning all jurisdictions in the world. In accordance with the designated risk based approach, the categories are divided into different risk levels, which also form a systematic data development and maintenance procedure.

- A risk based approach requires researchers to allocate resources. on a priority basis to investigate and profile high risk individuals and entities. Individuals and entities that are sanctioned by competent authorities are also considered high risk (for more details please refer to the latest Transparency International's Corruption Perception Index, FATF High Risk Jurisdiction and Non-Compliant Countries, and Basel AML Index). Once the high risk categories have been investigated, any free resources should then be utilised to deal with the individuals and entities falling in the medium risk category.

1 Politically Exposed Persons (PEPs)

1.2 PEPs classification

PEP Tier 1

Heads of state and government (including Royal families).

Members of government (ministers, deputies, state and under-state secretaries) at national and sub-national levels in case of federal states (e.g. Florida in the US, Bavaria in Germany, Johor in Malaysia, Lagos in Nigeria, Goa in India etc) and provinces in China (e.g. Henan); President and College of Commissioner of the European Commission.

Members of Parliament or similar legislative bodies (at national and sub-national level in case of federal states – same as above); Members of the European Parliament.

Heads and top commanders of military and law enforcement and their deputies.

Heads and members of supreme courts, of constitutional courts or of other high-level judicial bodies whose decisions are not subject to further appeal, except in exceptional cases; similar for EU Court of Justice.

Heads and members of courts of auditors (including EU Court of Auditors) and of the boards of central banks (including the European Central Bank);

Top ranking officials of mainstream political parties (e.g. party leaders and members of governing bodies) and only the heads/deputy heads of minor political parties (without representation in parliament).

PEP Tier 2

Members of legislative (e.g. aldermen, councillors) and executive (e.g. prefects) bodies at regional, provincial, cantonal or equivalent levels (below the level of states in case of federal jurisdiction).

Judges, justices, magistrates, prosecutors, attorneys in courts with jurisdiction at regional, provincial or equivalent level.

Ambassadors, general consuls, high commissioners, permanent representatives, head of missions and their deputies, charge d'affairs.

Chairmen, secretary generals, directors, deputy directors and members of the board or equivalent function of international / regional organisations (e.g. UN, EU, World Bank, EBRD, OAS, Arab League, ASEAN, CARICOM etc).

Presidents/Chairperson and board members of State Owned Enterprises (SOEs), businesses and organisations.

Senior officials of the military, judiciary, law enforcement agencies, central banks and other state agencies, authorities and state bodies (e.g. high ranking civil servants, director generals, directors, heads of units, secretaries (permanent, principal, joint secretaries etc).

Heads and senior members of mainstream religious groups (e.g. archbishop, patriarch, cardinal, bishop, imam, rabbi).

Mayors of capital cities (e.g. London, New Delhi, Paris, New York, Rio de Janeiro) and Head of Cities which are directly appointed and answerable to the Chinese central government.

1 Politically Exposed Persons (PEPs)

PEP Tier 3

Advisers, heads of cabinet and similar roles of senior officials of the military, judiciary, law enforcement, central banks and other state agencies, authorities and state bodies (designation/ level to be determined depending on country ML/ TF and corruption risks profile and administration structure).

Heads and board members / senior officials of Trade Unions. In case of Chambers of Commerce and Charities a risk- based approach is followed.

Presidents, secretary generals, directors, deputy directors and members of the board or equivalent function of international NGOs (e.g. Oxfam, Amnesty Transparency International etc).

Alternate/deputy members of parliament/senate (not currently occupying seat).

Mayors and members of local councils at municipal, town, village or equivalent levels (i.e., below regional provincial, cantonal and other levels not captured elsewhere).

Senior civil servants at regional/provincial or equivalent levels; senior officials of administrative bodies at local levels (directors/secretaries of city governments).

PEPs by association

Family members and personal and business associates of PEPs, typically individuals who are not PEPs in their own capacity but serve on a board of directors alongside PEPs. Based on FATF, Close Associates are considered to be: (known) (sexual) partners outside the family unit (e.g. girlfriends, boyfriends, mistresses); prominent members of the same political party, civil organisation, labour or employee union as the PEP; business partners or associates, especially those that share (beneficial) ownership of legal entities with the PEP, or who are otherwise connected (e.g., through joint membership of a company board). In the case of personal relationships, the social, economic and cultural context may also play a role in determining how close those relationships generally are (FATF Guidelines, 2013).

1.3 PEPs in State-Owned Enterprises (SOEs)

High Risk – Tier 1 SoEs

Businesses which are 51%-100% state owned.

Medium to High Risk – Tier 2 SoEs

</=50% state owned and where government is represented on the company's board.

Low Risk – Tier 4 SoEs

State owned/controlled companies at local or municipal government level regardless of % of ownership as long as government is represented on the company's board.

Subsidiaries of high risk and medium to high risk businesses as long as these subsidiaries also fit the criteria defined therein relating to the ownership structure and representation on the board.

Companies in which % of government control is not defined but there is evidence of state ownership and the government is involved in the company through its representation on the board.

(Where the government has an investment equal to or less than 50% or where the ownership is unclear and there is no board representation in both cases, then profiling maybe required depending on the socio-economic and political set up of the country in question).

1 Politically Exposed Persons (PEPs)

1.4 PEP Data Resources

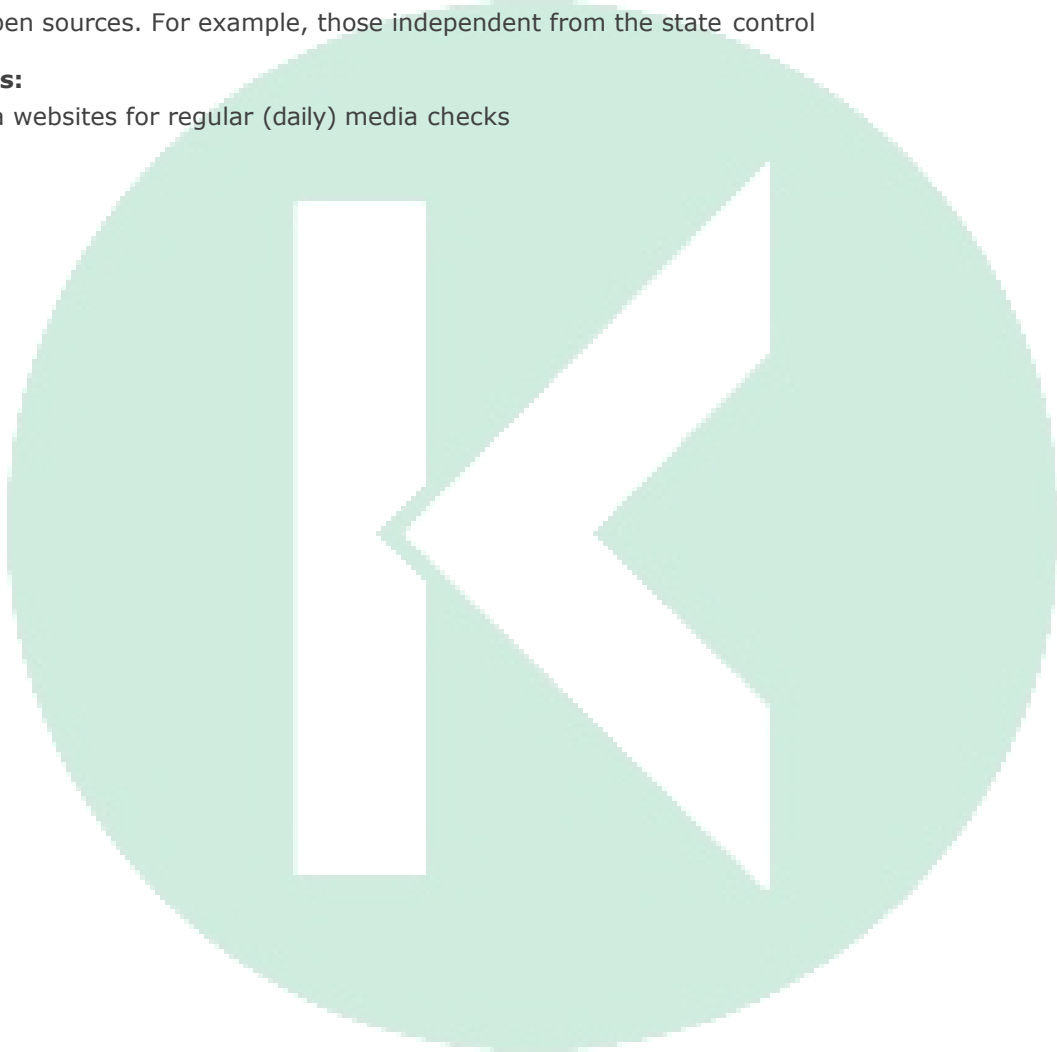
Our sources include official government websites or national assemblies of foreign offices.

Systematic Data-entry:

- CIA World Leaders
- CIA World Factbook
- Rulers articles and other databases continually monitored to additional information
- Gov't/Official websites covering all levels of PEPs
- Other useful open sources. For example, those independent from the state control

Regular Updates:

- Selected media websites for regular (daily) media checks



2 Sanctions & Freeze

2.1 United Kingdom (UK): Office of Financial Sanctions Implementation (OFSI) - HM Treasury

All global sanction lists are continuously monitored and any updates / releases are reflected in the database immediately.

- **Consolidated list of financial sanctions targets (Asset Freeze Target List)**

- **Current Regimes**

- Afghanistan
- Belarus
- Burundi
- Central African Republic
- Democratic Republic of Congo
- Egypt
- Iran (Human Rights)
- Iran (Nuclear Proliferation)
- ISIL (Da'esh) and Al-Qaida
- Iraq
- Libya
- Mali
- North Korea (Democratic People's Republic of Korea)
- Republic of Guinea
- Republic of Guinea-Bissau
- Somalia
- South Sudan
- Sudan
- Syria
- Terrorism and Terrorist Financing
- Tunisia
- UK Freezing Orders (Anti-Terrorism, Crime and Security Act 2001).
- Ukraine (Misappropriation and Human Rights)
- Ukraine (Sovereignty and Territorial Integrity)
- Yemen
- Zimbabwe

- **Proscribed Terrorist Groups or Organisations (Issued by the United Kingdom Home Office)**

2.2 United States (US): Department of the Treasury - Office of Foreign Assets Control (OFAC)

- **Specially Designated Nationals (SDN) List**

- **OFAC Sanctions Programs - Balkans-related Sanctions**

- Belarus Sanctions
- Burundi Sanctions
- Countering America's Adversaries Through Sanctions Act of 2017 (CAATSA)
- Central African Republic
- Counter Narcotics Trafficking Sanctions
- Counter Terrorism Sanctions
- Cuba Sanctions
- Cyber Related Sanctions
- Democratic Republic of the Congo-related Sanctions
- Global Magnitsky Sanctions
- Iran Sanctions
- Iraq-related Sanctions
- Foreign Sanctions Evaders List (FSE List)
- Lebanon-related Sanctions
- Libya Sanctions
- List of Foreign Financial Institutions Subject to Part 561 (the "Part 561 List")
- List of Persons Identified as Blocked Solely Pursuant to Executive Order 13599 (the 13599 List)
- Magnitsky Sanctions
- Non-Proliferation Sanctions
- Non-SDN Palestinian Legislative Council List
- Non SDN Iranian Sanctions List
- North Korea Sanctions
- Rough Diamond Trade Controls
- Sectoral Sanctions Identifications (SSI) List
- Somalia Sanctions
- Sudan and Darfur Sanctions
- South Sudan Related Sanctions
- Syria Sanctions
- Transnational Criminal Organizations
- Ukraine/Russia Related Sanctions
- Venezuela-Related Sanctions
- Yemen Related Sanctions
- Zimbabwe Sanctions
- Former Liberian Regime of Charles Taylor Sanctions (Archive of Inactive Sanctions Programs)

2 Sanctions & Freeze

2.3 US: Department of State - Bureau of International Security & Non-Proliferation Sanctions

- **United States Department of State**

- Terrorist Exclusion List
- Enacted under Section 411 of the USA Patriot Act of 2001
- Non-Proliferation Sanctions List
- The Non-Proliferation List is a comprehensive list of all US Department of State-sanctioned entities incorporating:
- Missile Sanctions laws (The Arms Export Control Act / The Export Administration Act)
- Executive Order 12938 (Including Amendments Executive Orders 13094 and 13382)
- Iran, North Korea, and Syria Non-Proliferation Act Sanctions (INKSNA)
- Executive Order 13382
- Chemical and Biological Weapons Control and Warfare Elimination Act (CBW Act)
- Nuclear Proliferation Prevention Act
- Export-Import Bank Act
- Transfer of Lethal Military Equipment

2.4 United Nations (UN): Security Council Committees

- **Resolutions 751 & 1907 – Somalia & Eritrea**
 - Arms Embargo (Consolidated List)
 - Travel Ban (Consolidated List)
 - Assets Freeze (Consolidated List)
- **Resolution 1267 & 1989 & 2253**
 - ISIL (Da'esh), Al-Qaida and associated Individuals and Entities
 - Consolidated List
- **Resolution 1518 – Iraq and Kuwait**
 - List of Individuals
 - List of Entities
- **Resolution 1533 - Democratic Republic of the Congo**
 - Consolidated Travel Ban and Assets Freeze List
- **Resolution 1591 – Sudan**
 - Consolidated Travel Ban and Assets Freeze List
- **Resolution 1636 – Lebanon**
 - Consolidated Travel Ban and Assets Freeze List
- **Resolution 1718 – Democratic People's Republic of Korea**
 - List of Designated Entities, Goods and Individuals
- **Resolution 1970 – Libyan Arab Jamahiriya**
 - Consolidated Travel Ban and Assets Freeze List
- **Resolution 1988 – Taliban and associated Individuals and Entities**
- **Resolution 2048 – Guinea-Bissau**
 - Consolidated Travel Ban and Assets Freeze List
- **Resolution 2127 & 2134 – Central African Republic**
 - Arms embargo, travel ban and asset freeze
- **Resolution 2140 – Yemen**
- **Resolution 2206 (Concerning South Sudan)**
- **Resolution 2374 (Concerning Mali)**

2 Sanctions & Freeze

2.5 European Union (EU):

- **Consolidated list of persons, groups and entities subject to EU financial sanctions**
- **Restrictive Measures (Sanctions) in Force**
 - Afghanistan
 - Al Qaeda and ISIL (Da'esh)
 - Belarus
 - Bosnia and Herzegovina
 - Burma
 - Burundi
 - Central African Republic
 - Democratic People's Republic of Korea (North Korea)
 - Lebanon
 - Libya
 - Mali
 - Moldova
 - Myanmar (Burma)
 - Russian Federation
 - Serbia and Montenegro
 - Somalia
 - South Sudan
 - China
 - Democratic Republic of Congo
 - Egypt
 - Eritrea
 - Republic of Guinea (Conakry)
 - Guinea-Bissau
 - Haiti
 - Iran
 - Iraq
 - Sudan
 - Syria
 - Terrorist Groups (Foreign Terrorist Organisations)
 - Tunisia
 - Ukraine
 - USA (United States of America)
 - Yemen
 - Yugoslavia (Serbia and Montenegro)
 - Zimbabwe

2.6 Defence Trade Controls

- **United States Bureau of Industry and Security (BiS)**
 - Denied Person List
 - Entity List
 - Unverified List
- **United States Department of State**
 - Statutorily Debarred Parties List
 - Administratively Debarred Parties List
- **United States Department of the Treasury Financial Crimes Enforcement Network (FinCEN)**
 - Section 311 - Special Measures for Jurisdictions, Financial Institutions, or International Transactions of Primary Money Laundering Concern

2 Sanctions & Freeze

2.7 Other Unilateral Sanctions and Regulatory Enforcement Lists

The sanction lists issued by the government and agencies listed in section 2.1 to 2.6 are frequently reviewed and consequently individuals and entities may be removed from such lists. Such individuals and entities are identified as “previously sanctioned” rather than completely removed from the database.

In addition to the above mentioned international sanctions, other national or unilateral sanctions are also monitored which are only enforced locally rather than globally. Individuals and entities featuring local sanction list. This approach enables our customers to easily distinguish between those who are subjected to international sanctions and the local ones. The lists are updated as soon as alerts are received from the appropriate agencies. Additionally, regional teams carry out daily media checks to ensure all sanction related news are timely updated. The list below is an illustration of our coverage and not intended to provide a full disclosure of all sources regularly monitored:

- African Development Bank - List of Debarred Entities
- Albanian Customs Company Notifications
- Asian Development Bank Sanctioned Entities
- Australia - Listed terrorist organisations
- Austrian Financial Market Authority - List of Countries and Sanctions
- Bahamas Central Bank Warning Notices
- Belgian Financial Services and Markets Authority
- Belize International Financial Services Commission - Warning Notices
- Canada DFAT Consolidated List of Sanctions
- Canada Government of Quebec - Autorité des Marchés Financiers (AMF) – Alerts
- Canada Office of the Superintendent of Financial Institutions - Warning Notices Section
- Canada OSFI Designated Individuals and Entities - Terrorism Financing
- Canada Public Safety - Currently Listed Terrorist Entities
- China Ministry of Public Security CNMPS Terrorist List
- China CSRC – Banned from entering market
- China National Bureau of Corruption Prevention – Supreme People’s Procuratorate of China (CSPP) Anti Bribery and Corruption News
- China – Hubei Songci Public Security Bureau Wanted List
- Costa Rica - Superintendencia General de Valores - Alerts
- Cyprus Securities and Exchange Commission CYSEC - Decisions and Warnings
- Egyptian Exchange: Hot Links - Prohibited List
- El Salvador - Search Banned Providers/ Inhabilitados
- European Bank for Reconstruction and Development (EBRD) - Ineligible entities
- France Individuals Subject to Asset- freezing measures
- French Central Bank (Banque de France) Commission Bancaire - Public Warnings
- French National Terrorist Freeze
- Germany - Financial Sanctions List
- Germany - Forbidden Organisations
- Germany - Insolvencies
- Germany - Precautionary Proxies
- Greece Hellenic Capital Market Commission: Investor warnings
- Guatemala - Search Banned Providers/ Inhabilitados
- Hong Kong Joint Financial Intelligence Unit Terrorist List
- Hong Kong SFC – Unlicensed Entities
- India Securities and Exchange Board of India (SEBI): Enforcement Actions
- Indian Ministry of Home Affairs - Banned Organisations
- Inter-American Development Bank (Banco Interamericano de Desarrollo, BID) - Sanctioned Firms and Individuals
- Inter-American Development Bank Sanctioned Firms and Individuals
- Ireland Central Bank: Warnings and Press Releases
- Israel Ministry of Justice - Terrorist Organisations
- Israel Securities Authority: Regulatory actions/ enforcement
- Italy CONSOB (Commissione Nazionale per le Società e la Borsa) - Investors Warnings
- Japan Asset-freezing measures: Terrorism list

2 Sanctions & Freeze

- Japan End User list
- Japan Ministry of Finance - Economic Sanctions
- Latvia Financial and Capital Market Commission: Financial Fraud
- Liechtenstein Financial Market Authority (Finanzmarktaufsicht) - Warning Notices and Indications
- Lithuania Financial and Capital Market Commission - Financial Fraud
- Malaysia Labuan Offshore Financial Services Authority - Licence Revocations
- Malta Financial Services Authority - Warnings
- Mauritius International Financial Centre - Being Supervised
- Mexico – Suppliers, Contractors Sanctioned
- Mexico Superior Audit of Federation (Auditoria Superior de Federacion, ASF)
- National Bank of Slovenia Warnings
- Netherlands Antilles Bank van de Nederlande Antillen - Warning Notices
- Nicaragua – Sanctions
- Pakistan Supreme Audit Court - Investor Warnings
- Paraguay - Search Banned Providers/ Inhabilitados
- Poland Financial Supervision Authority - Warnings
- Polish Public Warnings - Polish Financial Supervision Authority
- Qatar Financial Centre Authority - Regulatory actions/enforcement
- Russia - Unified list of terrorist organizations
- Russian Central Bank – Revoked licenses of financial markets experts
- Russian Central Bank - Suspended Banking Professionals- information about entities, CEO's and board members
- Russian Central Bank- Revoked licences for securities and commodity market
- Saint Kitts and Nevis Financial Services - Warnings
- Saudi Arabia Capital Market Authority - Regulatory actions/enforcement
- US - Securities and Exchange Commission - Enforcement Actions
- Serbian Public Warnings - Serbian Securities Commission
- Seychelles - Financial Services Authority
- Monetary Authority of Singapore (MAS) - Lists of Designated Individuals and Entities
- Slovakia National Bank (Narodna Banka Slovenska) - Warning and announcements
- Slovenian Public Warnings - Slovenian Securities Market Agency
- South Africa Office of the Ombudsman for Financial Services - Determinations Section
- South Africa Competition Tribunal
- South Africa National Credit Regulator - Investigation and Enforcement
- South Africa Ombudsman for Long-Term Insurance - Final Determinations
- Sri Lanka - List of Proscribed groups and entities
- St. Vincent and the Grenadines Financial Services Authority – Warnings
- Stolen Asset Recovery Initiative
- Swiss Federal Department of Economic Affairs
- Swiss State Secretariat for Economic Affairs - Terrorism list
- Tanzania Public Procurement Regulatory Authority (PPRA) - Blacklisted firms and News
- The Regional Council for Public Savings and Financial Markets of West Africa
- Trinidad & Tobago Financial Intelligence Unit
- Tunisia Conseil du Marché Financier (CMF) - Avis et decisions
- Turkey Designated Persons list
- Ukraine State Commission for Regulation of Financial Services Markets Warnings
- United Kingdom Solicitors Regulation Authority - Regulatory Decisions
- Vatican Financial Intelligence Authority - List of designated subjects
- World Bank - Listing of Ineligible Firms & Individuals

3 Adverse Media Categories - Designated categories of offences

Financial Action Task Force (FATF)

- participation in an organised criminal group and racketeering;
- terrorism, including terrorist financing;
- trafficking in human beings and migrant smuggling;
- sexual exploitation, including sexual exploitation of children;
- illicit trafficking in narcotic drugs and psychotropic substances;
- illicit arms trafficking;
- illicit trafficking in stolen and other goods;
- corruption and bribery;
- fraud;
- counterfeiting currency;
- counterfeiting and piracy of products;
- environmental crime;
- murder, grievous bodily injury;
- kidnapping, illegal restraint and hostagetaking;
- robbery or theft;
- smuggling; (including in relation to customs and excise duties and taxes);
- tax crimes (related to direct taxes and indirect taxes);
- extortion;
- forgery;
- piracy; and
- insider trading and market manipulation

When deciding on the range of offences to be covered as predicate offences under each of the categories listed above, each country may decide, in accordance with its domestic law, how it will define those offences and the nature of any particular elements of those offences that make them serious offences.

Designated nonfinancial businesses and professions

Designated nonfinancial businesses and professions means:

- A) Casinos
- B) Real estate agents.
- C) Dealers in precious metals.
- D) Dealers in precious stones.
- E) Lawyers, notaries, other independent legal professionals and accountants – this refers to sole practitioners, partners or employed professionals within professional firms. It is not meant to refer to 'internal' professionals that are employees of other types of businesses, nor to professionals working for government agencies, who may already be subject to AML/CFT measures.
- F) Trust and Company Service Providers refers to all persons or businesses that are not covered elsewhere under these Recommendations, and which as a business, provide any of the following services to third parties:
 - acting as a formation agent of legal persons;
 - acting as (or arranging for another person to act as) a director or secretary of a company, a partner of a partnership, or a similar position in relation to other legal persons;
 - providing a registered office; business address or accommodation, correspondence or administrative address for a company, a partnership or any other legal person or arrangement;
 - acting as (or arranging for another person to act as) a trustee of an express trust or performing the equivalent function for another form of legal arrangement;
 - acting as (or arranging for another person to act as) a nominee shareholder for another person.

References to Casinos throughout the FATF Standards include internet and shipbased casinos.

3 Adverse Media Categories - Designated categories of offences

Designated person or entity

The term designated person or entity refers to:

- i) Individual, groups, undertakings and entities designated by the Committee of the Security Council established pursuant to resolution 1267 (1999) (the 1267 Committee), as being individuals associated with AlQaida, or entities and other groups and undertakings associated with AlQaida;
- ii) Individuals, groups, undertakings and entities designated by the Committee of the Security Council established pursuant to resolution 1988 (2011) (the 1988 Committee), as being associated with the Taliban in constituting a threat to the peace, stability and security of Afghanistan, or entities and other groups and undertakings associated with the Taliban;
- iii) Any natural or legal person or entity designated by jurisdictions or a supranational jurisdiction pursuant to Security Council resolution 1373 (2001);
- iv) Any natural or legal person or entity designated for the application of targeted financial sanctions pursuant to Security Council resolution 1718 (2006) and its successor resolutions by the Security Council in annexes to the relevant resolutions, or by the Security Council Committee established pursuant to resolution 1718 (2006) (the 1718 Sanctions Committee) pursuant to Security Council resolution 1718 (2006);
- v) Any natural or legal person or entity designated for the application of targeted financial sanctions pursuant to Security Council resolution 1737 (2006) and its successor resolutions by the Security Council in annexes to the relevant resolutions, or by the Security Council Committee established pursuant to paragraph 18 of resolution 1737 (2006) (the 1737 Sanctions Committee) pursuant to resolution 1737 (2006) and its successor resolutions.

Designation

The term designation refers to the identification of a person or entity that is subject to targeted financial sanctions pursuant to:

- United Nations Security Council resolution 1267 (1999) and its successor resolutions;
- Security Council resolution 1373 (2001), including the determination that the relevant sanctions will be applied to the person or entity and the public communication of that determination;
- Security Council resolution 1718 (2006) and its successor resolutions;
- Security Council resolution 1737 (2006) and its successor resolutions; and
- Any future Security Council resolutions which impose targeted financial sanctions in the context of the financing of proliferation of weapons of mass destruction.

[1] Natural or legal.

Domestic Wire Transfer

refers to any wire transfer where the ordering financial institution and beneficiary financial institution are located in the same country. This term therefore refers to any chain of wire transfer that takes place entirely within the borders of a single country, even though the system used to transfer the payment message may be located in another country. The term also refers to any chain of wire transfer that takes place entirely within the borders of the European Economic Area (EEA) (as this term is used in the Interpretive Note to Recommendation 16).

[1] An entity may petition the FATF to be designated as a supranational jurisdiction for the purposes of and limited to an assessment of Recommendation 16 compliance.

3 Adverse Media Categories - Designated categories of offences

Enforceable means

The term "Enforceable means" refers to regulations, guidelines, instructions or other documents or mechanisms that set out enforceable AML/CFT requirements in mandatory language with sanctions for noncompliance, and which are issued or approved by a competent authority. The sanctions for noncompliance should be effective, proportionate and dissuasive (see Recommendation 35) (as this term is used in the Note on the legal basis of requirements on financial institutions and DNFBPs).

Ex Parte

The term ex parte means proceeding without prior notification and participation of the affected party.

Express trust

Express trust refers to a trust clearly created by the settlor, usually in the form of a document e.g. a written deed of trust. They are to be contrasted with trusts which come into being through the operation of the law and which do not result from the clear intent or decision of a settlor to create a trust or similar legal arrangements (e.g. constructive trust).

False declaration

Refers to a misrepresentation of the value of currency or BNIs being transported, or a misrepresentation of other relevant data which is required for submission in the declaration or otherwise requested by the authorities. This includes failing to make a declaration as required (as this term is used in the Interpretive Note to Recommendation 32).

False disclosure

Refers to a misrepresentation of the value of currency or BNIs being transported, or a misrepresentation of other relevant data which is asked for upon request in the disclosure or otherwise requested by the authorities. This includes failing to make a disclosure as required (as this term is used in the Interpretive Note to Recommendation 32).

Financial Group

Financial group means a group that consists of a parent company or of any other type of legal person exercising control and coordinating functions over the rest of the group for the application of group supervision under the Core Principles, together with branches and/or subsidiaries that are subject to AML/CFT policies and procedures at the group level.

3 Adverse Media Categories - Designated categories of offences

Financial Institutions

Financial institutions means any natural or legal person who conducts as a business one or more of the following activities or operations for or on behalf of a customer:

- 1) Acceptance of deposits and other repayable funds from the public.
- 2) Lending.
- 3) Financial leasing.
- 4) Money or value transfer services.
- 5) Issuing and managing means of payment (e.g. credit and debit cards, cheques, traveller's cheques, money orders and bankers' drafts, electronic money).
- 6) Financial guarantees and commitments.
- 7) Trading in:
 - A) money market instruments (cheques, bills, certificates of deposit, derivatives etc.);
 - B) foreign exchange;
 - C) exchange, interest rate and index instruments;
 - D) transferable securities;
 - E) commodity futures trading.
- 8) Participation in securities issues and the provision of financial services related to such issues.
- 9) Individual and collective portfolio management.
- 10) Safekeeping and administration of cash or liquid securities on behalf of other persons.
- 11) Otherwise investing, administering or managing funds or money on behalf of other persons.
- 12) Underwriting and placement of life insurance and other investment related insurance.
- 13) Money and currency changing.
 - This also captures private banking.
 - This includes inter alia: consumer credit; mortgage credit; factoring, with or without recourse; and finance of commercial transactions (including forfeiting).
 - This does not extend to financial leasing arrangements in relation to consumer products.
 - It does not apply to any natural or legal person that provides financial institutions solely with message or other support systems for transmitting funds. See the Interpretive Note to Recommendation 16.
 - This applies both to insurance undertakings and to insurance intermediaries (agents and brokers).

FIU

Financial Intelligence Unit

Foreign counterparts

Foreign counterparts refers to foreign competent authorities that exercise similar responsibilities and functions in relation to the cooperation which is sought, even where such foreign competent authorities have a different nature or status (e.g. depending on the country, AML/CFT supervision of certain financial sectors may be performed by a supervisor that also has prudential supervisory responsibilities or by a supervisory unit of the FIU).

Freeze

In the context of confiscation and provisional measures (e.g., Recommendations 4, 32 and 38), the term freeze means to prohibit the transfer, conversion, disposition or movement of any property, equipment or other instrumentalities on the basis of, and for the duration of the validity of, an action initiated by a competent authority or a court under a freezing mechanism, or until a forfeiture or confiscation determination is made by a competent authority.

For the purposes of Recommendations 6 and 7 on the implementation of targeted financial sanctions, the term freeze means to prohibit the transfer, conversion, disposition or movement of any funds or other assets that are owned or controlled by designated persons or entities on the basis of, and for the duration of the validity of, an action initiated by the United Nations Security Council or in accordance with applicable Security Council resolutions by a competent authority or a court. In all cases, the frozen property, equipment, instrumentalities, funds or other assets remain the property of the natural or legal person(s) that held an interest in them at the time of the freezing and may continue to be administered by third parties, or through other arrangements established by such natural or legal person(s) prior to the initiation of an action under a freezing mechanism, or in accordance with other national provisions. As part of the implementation of a freeze, countries may decide to take control of the property, equipment, instrumentalities, or funds or other assets as a means to protect against flight.

3 Adverse Media Categories - Designated categories of offences

Fundamental principles of domestic law

This refers to the basic legal principles upon which national legal systems are based and which provide a framework within which national laws are made and powers are exercised. These fundamental principles are normally contained or expressed within a national Constitution or similar document, or through decisions of the highest level of court having the power to make binding interpretations or determinations of national law. Although it will vary from country to country, some examples of such fundamental principles include rights of due process, the presumption of innocence, and a person's right to effective protection by the courts.

Funds

The term funds refers to assets of every kind, whether corporeal or incorporeal, tangible or intangible, movable or immovable, however acquired, and legal documents or instruments in any form, including electronic or digital, evidencing title to, or interest in, such assets.

Funds or other assets

The term funds or other assets means any assets, including, but not limited to, financial assets, economic resources, property of every kind, whether tangible or intangible, movable or immovable, however acquired, and legal documents or instruments in any form, including electronic or digital, evidencing title to, or interest in, such funds or other assets, including, but not limited to, bank credits, travellers cheques, bank cheques, money orders, shares, securities, bonds, drafts, or letters of credit, and any interest, dividends or other income on or value accruing from or generated by such funds or other assets.

Identification data

The term identification data refers to reliable, independent source documents, data or information.

IN

Interpretive Note to the [FATF Recommendations](#).

Intermediary financial institution

Refers to a financial institution in a serial or cover payment chain that receives and transmits a wire transfer on behalf of the ordering financial institution and the beneficiary financial institution, or another intermediary financial institution (as this term is used in the Interpretive Note to Recommendation 16).

International organisations

International organisations are entities established by formal political agreements between their member States that have the status of international treaties; their existence is recognised by law in their member countries; and they are not treated as resident institutional units of the countries in which they are located. Examples of international organisations include the United Nations and affiliated international organisations such as the International Maritime Organisation; regional international organisations such as the Council of Europe, institutions of the European Union, the Organization for Security and Cooperation in Europe and the Organization of American States; military international organisations such as the North Atlantic Treaty Organization, and economic organisations such as the World Trade Organisation or the Association of Southeast Asian Nations, etc.

^z 4 List of sources Monitored (A-Z)

(Financial and Market Regulators, Ministries, Law Enforcement and Anti-Corruption Units)

Country	Source	Organization
A		
Albania	Albanian Financial Supervisory Authority	
Argentina	Comision Nacional de Valores Policia Federal Argentina	
Australia	Attorney-General's Department Australian Prudential Regulation Authority Australian Securities & Investments Commission (ASIC) Australian Transaction Reports and Analysis Centre (AUSTRAC) Commonwealth of Australian Law Crimenet Crime Stoppers Australian Capital Territory Crime Stoppers Queensland Crime Stoppers South Australia Crime Stoppers Victoria Crime Stoppers Western Australia Department of Foreign Affairs and Trade New South Wales Police Force Reserve Bank of Australia (RBA)	
Austria	Bundeskriminalarnt (Austrian Federal Police) Finanzmarktaufsicht (Financial Market Authority / FMA)	
B		
Bahamas	Central Bank of Bahamas Securities Commission of the Bahamas Royal Bahamas Police Force	
Bahrain	Central Bank of Bahrain	
Bangladesh	Securities and Exchange Commission of Bangladesh	
Belgium	Banking, Finance and Insurance Commission (CBFA) now Financial Services and Markets Authority (FSMA) Belgian Federal Police	
Belize	Central Bank of Belize International Financial Services Commission	
Bermuda	Bermuda Monetary Authority Bermuda Police Service	
Bolivia	Bolsa Boliviana de Valores	
Bosnia and Herzegovina	Securities Commission of the Republic of Srpska Securities Commission of the Federation of Bosnia and Herzegovina	
Brazil	Departamento de Investigacoes Sobre Narcoticos	

4 List of sources Monitored (A-Z)

Brazil	Comissão de Valores Mobiliários (CVM /Securities and Exchange Commission)
British Virgin Islands	Financial Services Commission
Bulgaria	Financial Supervision Commission
C	
Canada	Alberta Securities Commission British Columbia – Combined Forces Special Enforcement Unit British Columbia Securities Commission Canadian Securities Administrators Department of Foreign Affairs and International Trade Department of Public Safety Financial Transactions and Reports Analysis Centre of Canada Government of Quebec - Autorité des Marchés Financiers (AMF) Investment Dealers Association Investment Industry Regulatory Nova Scotia Securities Commission Organization of Canada (IROC) Prince Edward Island Securities Office Manitoba Securities Commission Mutual Fund Dealers Association of Canada Office of the Superintendent of Financial Institutions Ontario Securities Commission (OSC) Quebec Most Wanted Royal Canadian Mounted Police Saskatchewan Financial Services Commission Securities Commission of Newfoundland and Labrador The College of Nurses of Ontario
Cayman Islands	Cayman Islands Monetary Authority
Chile	Superintendencia de Valores y Seguros de Chile
China	China Securities Regulatory Commission People's Bank of China
Colombia	Superintendencia Financiera de Colombia Comision Nacional Supervisora de Empresas Y Valores Departamento Administrativo de Seguridad
Costa Rica	Superintendencia General de Valores de Costa Rica (SUGEVAL)
Croatia	Croatian Financial Services Supervisory Agency
Cyprus	Cyprus Securities and Exchange Commission
Czech Republic	Police of Czech Republic
D	
Denmark	Finanstilsynet (Danish Financial Supervisory Authority)
Dominica	Ministry of Finance

4 List of sources Monitored (A-Z)

Dominican Republic	Superintendencia de Valores
E	
Egypt	The Egyptian Exchange
El Salvador	Superintendencia del Sistema Financiero
Estonia	Finantsinspektsioon (Financial Supervision Authority)
Ethiopia	Ethiopia Commodity Exchange (ECE)
F	
Finland	Finanssivalvonta (Finish Financial Supervision Authority)
France	Autorite des Marches Financiers (AMF) Avis de recherche de la Police Nationale Banque de France - Commission Bancaire Ministry of Economy, Finance and Industry
G	
Germany	Bundesanstalt für Finanzdienstleistungsaufsicht (BaFin / Federal Financial Supervisory Authority) Bundeskriminalamt (Federal Criminal Police Office) Polizei Bayern (Bavarian State Police)
Ghana	Securities and Exchange Commission (SEC) Ghana Anti-Corruption Coalition
Gibraltar	Financial Services Commission
Greece	Hellenic Capital Market Commission (HCMC) Hellenic Police
Guatemala	Bolsa de Valores Nacional, S.A.
Guernsey	Financial Services Commission
H	
Honduras	Central Bank of Honduras
Hong Kong	Hong Kong Government News Hong Kong Monetary Authority (HKMA) Hong Kong Police Force Hong Kong Special Administrative Region Gazette Hong Kong SFC Investor Education Panel Independent Commission Against Corruption (ICAC) Securities and Futures Commission (SFC)
Hungary	Hungarian Financial Supervisory Authority
I	
Iceland	Financial Supervisory Authority
India	Central Bureau of Investigation Central Vigilance Commission
India	Ministry of Home Affairs Reserve Bank of India Securities and Exchange Board of India (SEBI) Ministry of Corporate Affairs
Indonesia	Indonesian Capital Market Executive Agency (Bapepam)

4 List of sources Monitored (A-Z)



Ireland	Central Bank of Ireland Chartered Accountants Ireland
Ireland	Companies Registration Office Office of the Director of Corporate Enforcement Irish Tax & Customs – Revenue
Isle of Man	Financial Supervision Commission Customs and Excise
Israel	Bank of Israel Israel Securities Authority Ministry of Defence
Italy	Commissione Nazionale per la Società e la Borsa Ministero Dell’Interno
J	
Jamaica	Financial Services Commission
Japan	Financial Services Agency (FSA) Ministry of Agriculture, Forestry and Fisheries Ministry of Economy, Trade and Industry Ministry of Finance National Police Agency Securities and Exchange Surveillance Commission
Jersey	Financial Services Commission
Jordan	Jordan Securities Commission
K	
Kenya	Capital Markets Authority (CMA) Kenya Revenue Authority (KRA) Kenya Anti Corruption Commission (KACC)
Korea, South	Foreign Trade of Korea Financial Services Commission/Financial Supervisory Service (FSC/FSS) Financial Intelligence Unit
L	
Latvia	Financial and Capital Market Commission
Liberia	Liberia Anti-Corruption Commission (LACC)
Liechtenstein	Financial Market Authority (FMA) Landespolizei Liechtenstein
Lithuania	Insurance Supervisory Commission Securities Commission
Luxembourg	Commission de Surveillance du Secteur Financier (CSSF)
M	
Macao (China)	Monetary Authority of Macao
Macedonia	Directorate for Prevention of Money Laundering and Terrorism Financing
Malawi	Malawi Anti-Corruption Commission
Malaysia	Labuan Offshore Financial Services Authority Malaysian Securities Commission

4 List of sources Monitored (A-Z)

	Royal Malaysian Police
Maldives	Capital Market Development Authority (CMDA)
Malta	Malta Financial Services Authority (MFSA)
Moldova	Centre for Combating Economic Crimes and Corruption
Montenegro	Securities Commission
Mauritius	Financial Services Commission
Mexico	Centro Mexicano Para La Filantropia Comisión Nacional Bancaria y de Valores (CNBV)
Morocco	Conseil deontologique des valeurs mobilières (CDVM)

N

Namibia	Corruption Watch (Namibia) Namibia Financial Institutions Supervisory Authority (NAMFISA) Anti-Corruption Commission
Nepal	Commission for the Investigation of Abuse of Authority
Netherlands	Autoriteit Financiële Markten (AFM) De Juridische Helpdesk De Nederlandsche Bank Insolvency Register Netherlands Most Wanted Opgelicht The Dutch Police
Netherlands Antilles	Bank van de Nederlandse Antillen
New Zealand	Ministry of Foreign Affairs and Trade Ministry of Consumer Affairs New Zealand Police Securities Commission Serious Fraud Office Reserve Bank of New Zealand
Nicaragua	Superintendencia de Bancos y de otras Instituciones Financieras de Nicaragua
Nigeria	Securities and Exchange Commission National Insurance Commission (NIA) Investments and Securities Tribunal (IST) Federal Inland Revenue Services (FIRS) Code of Conduct Bureau (CCB - Legal Matters) Independent Corrupt Practices and Other Related Offences Commission (ICPC) Economic and Financial Crimes Commission (EFCC) Nigerian Financial Intelligence Unit (NFIU)
Norway	Finanstilsynet (Financial Supervisory Authority of Norway)

P

Pakistan	Federal Investigation Agency National Accountability Bureau Securities and Exchange Commission of Pakistan
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4 List of sources Monitored (A-Z)

	State Bank of Pakistan
Panama	Comisión Nacional de Valores República de Panamá
Paraguay	Comisión Nacional de Valores
Peru	Comision Nacional Supervisora de Empresas Y Valores Superintendencia del Mercado de Valores
Philippines	Philippines National Police Securities and Exchange Commission
Poland	Polish Financial Supervision Authority
Portugal	Comissão do Mercado de Valores Mobiliários (CMVM / Portuguese Securities Market Commission)
Puerto Rico	Oficina Del Comisionado De Instituciones Financieras (OCIF)
Q	
Qatar	Qatar Financial Centre Regulatory Authority
R	
Romania	Comisia Nationala a Valorilor Mobiliare Directia Nationala Anticoruptie
Russian Federation	Ministry of the Interior The Presidential Office
Rwanda	Rwanda Revenue Authority (RRA) Rwanda Public Procurement Authority (RPPA) National Public Prosecution Authority (NPPA)
S	
Saint Kitts and Nevis	St. Kitts Financial Services Nevis Financial Services
Saudi Arabia	Capital Market Authority (CMA) Ministry of Interior
Serbia	Securities Commission
Sierra Leone	Sierra Leone Anti-Corruption Commssion
Singapore	Commercial Affairs Department Central Narcotics Bureau Monetary Authority of Singapore
Slovakia	Narodna Banka Slovenska General Police Directorate Securities Market Agency (ATVP) Ministry of the Interior
South Africa	Financial Services Board National Credit Regulator (NCR) Corruption Watch (South Africa) Securities and Exchange Commission (SEC- Sotuh Africa) South African Police Service
Spain	National Prosecuting Authority (NPA) Comision Nacional Del Mercado de Valores (CNMV)

4 List of sources Monitored (A-Z)

	Cuerpo Nacional de Policía
Sri Lanka	Securities and Exchange Commission of Sri Lanka
Sweden	Finansinspektionen
Switzerland	State Secretariat for Economic Affairs
Switzerland	Swiss Financial Market Supervisory Authority (FINMA)
	Swiss Police
Syria	Syrian Commission on Financial Markets and Securities
	Damascus Securities Exchange

T

Taiwan	Financial Supervisory Commission
	Ministry of Justice – Investigation Bureau
Tanzania	Capital Markets Authority
	Prevention and Combating of Corruption Bureau (PCCB)
	Capital Market and Securities Authority
Thailand	Securities and Exchange Commission
Tunisia	Conseil du Marché Financier (CMF)
Turkey	Capital Markets Board

U

Uganda	Capital Markets Authority (CMA - Uganda)
	The Inspectorate of Government (IGG)
	Directorate of Public Prosecutions Uganda (DPP)
	The Public Procurement Disposal of Public Assets Authority (PPDA)
United Arab Emirates	Dubai Financial Services Authority (DFSA)
United Kingdom	Action Fraud
	Bank of England
	Charity Commission
	Cheshire Constabulary
	Child Exploitation and Online Protection Centre
	City of London Police
United Kingdom	Companies House
	Crimestoppers
	Criminal Cases Review Commission
	Crown Prosecution Service
	Devon and Cornwall Police
	Financial Services Authority (FSA)
	General Medical Council
	Hampshire Constabulary
	Health & Safety Executive
	HM Revenue and Customs
	HM Treasury
	Home Office
	Insolvency Service
	Insolvency Service (IVA)
	Investment Management Regulatory Organisation

4 List of sources Monitored (A-Z)

Insurance Fraud Investigators Group
Lancashire Constabulary
Law Society Gazette
Lloyd's Insurance Market
Metropolitan Police
National Extremism Tactical Coordination Unit
News Distribution Service
NHS Business Services Authority
Personal Investment Authority
Royal Institution of Chartered Surveyors
Scottish Solicitors' Discipline Tribunal
Securities and Futures Authority
Serious Fraud Office
Serious Organised Crime Agency
Solicitors Regulation Authority
The Institute of Chartered Accountants in England and Wales
The Institute of Chartered Accountants Scotland
Tribunals Service
United States of America
America's Most Wanted
Bureau for International Narcotics and Law Enforcement Affairs
Bureau of International Security & Non- Proliferation Sanction
Central Intelligence Agency
Commodity Futures Trading Commission
Court of International Trade
Department of State
Department of State – Directorate of Defense Trade Controls
District Attorney's Office
Department of Commerce - Bureau of Industry and Security
Department of Health & Human Services - Office of Inspector General
Department of Health & Human Services – US Food and Drug Administration
Department of Homeland Security – US Customs and Border Protection
Department of the Treasury
Department of the Treasury - Financial Crimes Enforcement Network (FinCEN)
Department of the Treasury - Office of the Comptroller of the Currency (OCC)
Department of the Treasury - Office of Environmental Protection Agency
Excluded Parties List System (EPLS)

4 List of sources Monitored (A-Z)

United States of America Federal Bureau of Investigation

Federal Deposit Insurance Corporation

Federal Reserve Board

Federal Trade Commission

Financial Crimes Enforcement Network

Financial Industry Regulatory Authority

Food and Drug Administration

Foreign Assets Control (OFAC)

Federal Deposit Insurance Corporation (FDIC)

Federal Reserve Board

Federal Trade Commission

Financial Industry Regulatory Authority (FINRA)

Immigration and Customs Enforcement

National Association of Securities Dealers

National Credit Union Administration

National Futures Association

Naval Criminal Investigative Service (NCIS)

Occupational Safety and Health Administration

Office of Inspector General

Office of the Comptroller of the Currency

Office of Thrift Supervision

Rewards for Justice

Securities and Exchange Commission (SEC)

United States Bureau of Alcohol, Tobacco, Firearms and Explosives

United States Department of Justice – Antitrust Division

United States Department of Justice – Civil Division

United States Department of Justice – Executive Office for Immigration Review (EOIR)

United States Department of Justice – Office of the Pardon Attorney

United States Department of Justice – Office of Public Affairs

United States Department of Justice – Office of the Coordinator for Counterterrorism

United States Department of Justice – Bureau of Diplomatic Security

United States Drug Enforcement Administration

United States Marshals Service

United States Naval Criminal Investigative Service

United States Postal Inspection Service

US Air Force Office of Special Investigations

US Secret Service

US Treasury

Alabama Securities Commission

Alabama Medicaid Agency

4 List of sources Monitored (A-Z)

United States of America

- United States Department of Justice – Civil Division
- United States Department of Justice – Executive Office for Immigration Review (EOIR)
- United States Department of Justice – Office of the Pardon Attorney
- United States Department of Justice – Office of Public Affairs
- United States Department of Justice – Office of the Coordinator for Counterterrorism
- United States Department of Justice – Bureau of Diplomatic Security
- United States Drug Enforcement Administration
- United States Marshals Service
- United States Naval Criminal Investigative Service
- United States Postal Inspection Service
- US Air Force Office of Special Investigations
- US Secret Service
- US Treasury
- Alabama Securities Commission
- Alabama Medicaid Agency
- Arizona Department of Insurance
- Attorney’s Office (Regional)
- Douglas County Sheriff
- Federal Bureau of Investigation (Regional)
- Idaho Medicaid Provider
- Kansas Bureau of Investigation
- Kentucky State Police
- National Credit Union Administration
- Nevada Gaming Commission and State Gaming Board
- New Jersey State, Department of Labour and Workforce Development
- New York Department of Taxation and Finance
- New York State Banking Department
- New York State Insurance Department
- New York State Office of the Medicaid Inspector General
- New York Stock Exchange
- Office of Securities (State of Maine)
- Oklahoma County Sheriff’s Office
- Pennsylvania Department of Public Welfare
- Pennsylvania Department General Services
- State of Connecticut Department of Social Services
- State of New Jersey Casino Control Commission

4 List of sources Monitored (A-Z)

United States of America	Arizona Department of Insurance Attorney's Office (Regional) Douglas County Sheriff Federal Bureau of Investigation (Regional) Idaho Medicaid Provider Kansas Bureau of Investigation Kentucky State Police National Credit Union Administration Nevada Gaming Commission and State Gaming Board New Jersey State, Department of Labour and Workforce Development New York Department of Taxation and Finance New York State Banking Department New York State Insurance Department New York State Office of the Medicaid Inspector General New York Stock Exchange Office of Securities (State of Maine) Oklahoma County Sheriff's Office Pennsylvania Department of Public Welfare Pennsylvania Department General Services State of Connecticut Department of Social Services State of New Jersey Casino Control Commission South Carolina Department of Health and Human Services Tennessee Bureau of Investigation Tennessee Department of Health Texas Department of Aging and Disability Services Texas Department of Public Safety US Law Enforcement (Regional) Washington State Department of Financial Institutions Washington State Office Of The Insurance Commissioner Wisconsin Department of Transportation
Uruguay	Banco Central del Uruguay
V	
Venezuela	Superintendencia Nacional de Valores
Z	
Zambia	Zambia Revenue Authority (ZRA) Securities and Exchange Commission (SEC) Zambia Anti-Corruption Commission
Zimbabwe	Securities Commission of Zimbabwe (SCZ) Reserve Bank of Zimbabwe Zimbabwe Revenue Authority (ZRA) Eastern Caribbean Central Bank

4 List of sources Monitored (A-Z)

Other

Restrictive measures (sanctions) in force	European Union
4th EU Money Laundering Directive	European Union
European Parliament	European Union
European Sanction	European Union
West African Economic and Monetary	
West African Monetary Union	
Union Conseil regional de l'épargne publique et des marches financiers (CREPMF)	
Commercial Crime Services	International Chamber of Commerce (ICC)
Red Corner Notices etc	Interpol
UNCAC	United Nations
Security Council – Sanctions	United Nations
Listing of Ineligible Firms & Individuals	World Bank
De Barred List	World Bank
Financial Action Task Force	G7
Joint Anti Money Laundering Steering Group	
Wolfsberg Group	
CIA World Factbook	CIA
CIA World Leaders	CIA
List of Debarred Entities	African Development Bank
The FBI Ten Most Wanted Fugitive List	FBI