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COMMUNIQUÉ TO DEPOSITORY PARTICIPANTS

CDSL/OPS/DP/POLCY/2020/367

August 27, 2020

SECURITY COUNCIL DOCUMENT AND SANCTIONS LISTS

SEBI vide its email dated August 25, 2020 has informed the depository about the Security Council document as received from Ministry of External Affairs (MEA) and the UNSC press releases concerning amendments to the Sanctions list and has shared the following:

1. Please find the following notification(s) issued by the United Nations Security Council (UNSC) Committee. (Refer Annexure)

Note SC/14280 regarding amendments to entries in UNSC's 1533 DRC Sanctions List

2. The UNSC press releases concerning amendments to the list are available at URL:

<https://www.un.org/press/en/2020/sc14280.doc.htm>

3. The latest version of the Sanctions list is accessible on the UN Security Council's website at the following URL:

- a) Updates to the names of individuals and entities on the 1533 Committee's website pursuant to a decision by the Committee may be found in the "Press Releases" section on the Committee's website.

. <https://www.un.org/securitycouncil/sanctions/1533/press-releases>

- b) An updated List is accessible on the Committee's website at the following URL:

<https://www.un.org/securitycouncil/sanctions/1533/materials>

- c) An updated and consolidated list of all the Sanction Committees are available at the following URL:

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

4. In this regard DPs are advised to:

- i) Follow the procedure as mentioned in the Central Government Order dated March 14, 2019 detailing the implementation of Section 51A of Unlawful Activities (Prevention) Act, 1967.

- ii) Scan all existing accounts to ensure that no accountant is held by or linked to any of the entities or individuals included in the list and also ascertain the same for future accounts as well (As per Clause 2.8.1 of SEBI "Guidelines on Anti-Money Laundering (AML)



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Standards and Combating the Financing of Terrorism (CFT) / Obligations of Securities Market Intermediaries under the Prevention of Money Laundering Act, 2002 and Rules framed there under” issued on Oct 15, 2019.

- iii) Forward any request for de-listing received by them, electronically to Joint Secretary (CTCR) (e-mail id: jsctcr-mha@gov.in) and a copy of the same to MHA, Joint Secretary (UNP)(e-mail id: jsunp@mea.gov.in)
- iv) Inform to individuals, groups, undertakings or entities seeking to be removed from the Security Council's ISIL (Da'esh) and Al-Qaida Sanctions List that they can submit their request for delisting to an independent and impartial Ombudsperson who has been appointed by the United Nations Secretary-General.

Queries regarding this communiqué may be addressed to CDSL – Helpdesk: on telephone numbers (022) 2305-8624, 2305-8639, 2305-8642, 2305-8663, 2305-8640, 2300-2041 or 2300-2033. Emails may be sent to: helpdesk@cdslindia.com

Sd/-

Farokh Patel

Vice President – Audit, Inspection & Compliance

Security Council Committee concerning Democratic Republic of the Congo Amends List Entries of Two Individuals, Three Entities on Its Sanctions List

On 19 August 2020, the Security Council Committee established pursuant to resolution 1533 (2004) concerning the Democratic Republic of the Congo amended the list entries of the following individuals and entities included on its list of individuals and entities, subject to the assets freeze and travel ban set out in paragraphs 1 to 6 of resolution 2293 (2016), as renewed by paragraph 1 of resolution 2528 (2020), adopted under Chapter VII of the Charter of the United Nations:

A. Individuals

CDi.029 **Name:** 1: NTABO NTABERI 2: SHEKA 3: na 4: na
Title: na **Designation:** Commander-in-Chief, Nduma Defence of Congo, Mayi Mayi Sheka group
DOB: 4 Apr.1976 **POB:** Walikale, Walikale territory, Democratic Republic of the Congo **Good quality a.k.a.:** na **Low quality a.k.a.:** na **Nationality:** Democratic Republic of the Congo **Passport no:** na **National identification no:** na **Address:** Goma, North Kivu, Democratic Republic of the Congo (in prison) **Listed on:** 28 Nov. 2011 (amended on 19 August 2020) **Other information:** He surrendered to MONUSCO on 26 July 2017 and has been since detained by the Congolese authorities. His trial for war crimes, crimes against humanity and participation in an insurrectional movement, before the Military Court in Goma, started in November 2018. INTERPOL-UN Security Council Special Notice web link: <https://www.interpol.int/en/How-we-work/Notices/View-UN-Notices-Individuals>.

CDi.030 **Name:** 1: BOSCO 2: TAGANDA 3: na 4: na
Title: na **Designation:** na **DOB:** Between 1973 and 1974 **POB:** Bigogwe, Rwanda **Good quality a.k.a.:** a) Bosco Ntaganda b) Bosco Ntagenda c) General Taganda **Low quality a.k.a.:** a) Lydia (When he was part of APR.) b) Terminator c) Tango Romeo (Call sign) d) Romeo (Call sign) e) Major **Nationality:** Democratic Republic of the Congo **Passport no:** na **National identification no:** na **Address:** The Hague, Netherlands (As of June 2016) **Listed on:** 1 Nov. 2005 (amended on 13 Oct. 2016, 19 August 2020) **Other information:** Born in Rwanda, he moved to Nyamitaba, Masisi territory, North Kivu, when he was a child. Nominated FARDC Brigadier-General by Presidential Decree on 11 December 2004, following Ituri peace agreements. Formerly Chief of Staff in CNDP and became CNDP military commander since the arrest of Laurent Nkunda in January 2009. Since January 2009, de facto Deputy Commander of consecutive anti-FDLR operations 'Umoja Wetu', 'Kimia II', and 'Amani Leo' in North and South Kivu. Entered Rwanda in March 2013, and voluntarily surrender to ICC officials in Kigali on March 22. Transferred to the ICC in The Hague, Netherlands. On 9 June 2014, ICC confirmed 13 charges of war crimes and five charges of crimes against humanity against him; the trial started in September 2015. On 8 July 2019, the ICC found him guilty of 18 counts of war crimes and crimes against humanity, committed in Ituri in 2002-2003. On 7 November 2019, he was sentenced to a total of 30 years imprisonment. He has appealed both his conviction and sentence. INTERPOL-UN Security Council Special Notice web link: <https://www.interpol.int/en/How-we-work/Notices/View-UN-Notices-Individuals>.

B. Entities

CDe.001 Name: ADF
A.k.a.: Allied Democratic Forces **F.k.a.:** a) Forces Démocratiques Alliées-Armée Nationale de Libération de l'Ouganda b) ADF/NALU c) NALU **Address:** North Kivu, Democratic Republic of the Congo **Listed on:** 30 Jun. 2014 (amended on 19 Oct. 2016, 19 August 2020) **Other information:** ADF founder and leader, Jamil Mukulu (CDi.015), was arrested in Dar es Salaam, Tanzania in April 2015. He was subsequently extradited to Kampala, Uganda in July 2015. As of June 2016, Mukulu is reportedly being held in a police detention cell awaiting his trial. Seka Baluku (CDi.036) succeeded Jamil Mukulu (CDi.015) as the overall leader of the ADF. As highlighted in several reports from the Group of Experts on the DRC (S/2015/19, S/2015/797, S/2016/1102, S/2017/672, S/2018/531, S/2019/469, S/2019/974, S/2020/482), the ADF, including under Seka Baluku's leadership, continued to commit the repeated targeting, killing and maiming, rape and other sexual violence, abduction of civilians, including children, as well as attacks on villages and health facilities, in particular in Mamove, Beni territory, on 12 and 24 February 2019, and Mantumbi, Beni territory, on 5 December 2019 and 30 January 2020, as well as the continuous recruitment and use of children during attacks and for forced labour in Beni territory in the DRC since at least 2015. INTERPOL-UN Security Council Special Notice web link: <https://www.interpol.int/en/How-we-work/Notices/View-UN-Notices-Entities>.

CDe.007 Name: MACHANGA LTD
A.k.a.: na **F.k.a.:** na **Address:** Plot 55A, Upper Kololo Terrace, Kampala, Uganda **Listed on:** 29 Mar. 2007 (amended on 19 August 2020) **Other information:** Gold export company (Directors: Mr. Rajendra Kumar Vaya and Mr. Hirendra M. Vaya). In 2010, assets belonging to Machanga, held in the account of Emirates Gold, were frozen by Bank of Nova Scotia Mocatta (UK). The owners of Machanga have remained involved in purchasing gold from eastern DRC. Machanga Ltd last filed an annual return in 2004 and was listed as "status inactive" according to the authorities of the Republic of Uganda. INTERPOL-UN Security Council Special Notice web link: <https://www.interpol.int/en/How-we-work/Notices/View-UN-Notices-Entities>.

CDe.009 Name: UGANDA COMMERCIAL IMPEX (UCI) LTD
A.k.a.: na **F.k.a.:** na **Address:** a) Plot 22, Kanjokya Street, Kamwokya, Kampala, Uganda (Tel.: +256 41 533 578/9) b) PO BOX 22709, Kampala, Uganda **Listed on:** 29 Mar. 2007 (amended on 19 August 2020) **Other information:** Gold export company. (Directors Mr. Jamnadas V. LODHIA – known as "Chuni"- and his sons Mr. Kunal LODHIA and Jitendra J. LODHIA). In January 2011, Ugandan authorities notified the Committee that following an exemption on its financial holdings, Emirates Gold repaid UCI's debt to Crane Bank in Kampala, leading to final closure of its accounts. The directors of UCI have remained involved in purchasing gold from eastern DRC. Uganda Commercial Impex (UCI) Ltd last filed a return in 2013 and was listed as "Inactive – status inactive" by the authorities of the Republic of Uganda. INTERPOL-UN Security Council Special Notice web link: <https://www.interpol.int/en/How-we-work/Notices/View-UN-Notices-Entities>.

The Committee has made accessible on its website the narrative summaries of reasons for listing of the above names, at the following URL: www.un.org/securitycouncil/sanctions/1533/materials/summaries.

An updated List is accessible on the Committee's website at the following URL: www.un.org/securitycouncil/sanctions/1533/materials.

The United Nations Security Council Consolidated List is also updated following all changes made to the Committee's Sanctions List. An updated version of the Consolidated List is accessible via the following URL: www.un.org/securitycouncil/content/un-sc-consolidated-list.