

FINANCIAL REPORTING AUTHORITY

(CAYFIN)



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Financial Sanctions Notice

20/01/2021

Democratic Republic of the Congo

Introduction

1. The Democratic Republic of the Congo (Sanctions) (EU Exit) Regulations 2019 (S.I. 2019/433) were made under the Sanctions and Anti-Money Laundering Act 2018 (the Sanctions Act), and provide for the freezing of funds and economic resources of certain persons, entities or bodies which are, or have been, involved in the commission of a serious human rights violation or abuse in the Democratic Republic of the Congo, a violation of international humanitarian law in the Democratic Republic of the Congo, or obstructing or undermining respect for democracy, the rule of law and good governance.
2. On 20 January 2021 the Foreign, Commonwealth and Development Office updated the UK Sanctions List on GOV.UK. This list provides details of those designated under regulations made under the Sanctions Act. A link to the UK Sanctions List can be found below.
3. Following the publication of the UK Sanctions List, information on the Consolidated List has been updated.

Notice summary

4. 15 entries have been amended on the Consolidated List. Further details are available in the Annex to this Notice.

What you must do

5. You must:
 - i. check whether you maintain any accounts or hold any funds or economic resources for the persons set out in the Annex to this Notice;
 - ii. freeze such accounts, and other funds or economic resources and any funds which are owned or controlled by persons set out in the Annex to the Notice;
 - iii. refrain from dealing with the funds or assets or making them available (directly or indirectly) to such persons unless licensed by the Governor;
 - iv. report any findings to the FRA at financialsanctions@gov.ky, together with any additional information that would facilitate compliance with the Regulation;
 - v. provide any information concerning the frozen assets of designated persons to the FRA at financialsanctions@gov.ky by completing and submitting a Compliance Reporting Form (CRF). Information reported to FRA may be passed on to other regulatory authorities or law enforcement.
6. Where a relevant institution has already reported details of accounts, other funds or economic resources held frozen for designated persons, they are not required to report these details again.
7. Failure to comply with financial sanctions legislation or to seek to circumvent its provisions is a criminal offence.

Further Information

8. Copies of recent notices, UK legislation and relevant guidance can be found obtained from the Democratic Republic of the Congo financial sanctions page on the Gov.UK website:
<https://www.gov.uk/government/collections/financial-sanctions-regime-specific-consolidated-lists-and-releases>
9. Further details on the UN measures in respect of the Democratic Republic of the Congo can be found on the relevant UN Sanctions Committee webpage:
<https://www.un.org/securitycouncil/sanctions/1533>
10. The Consolidated List can be found here:
<https://www.gov.uk/government/publications/financial-sanctions-consolidated-list-of-targets/consolidated-list-of-targets>
11. The UK Sanctions List can be found here:
<https://www.gov.uk/government/publications/the-uk-sanctions-list>

12. For more information please see OFSI's guide to financial sanctions:

<https://www.gov.uk/government/publications/uk-financial-sanctions-guidance>

13. For general information on financial sanctions please see our Financial Sanctions Guidance

[http://fra.gov.ky/app/webroot/files/2020-02-21%20FRA%20Financial%20Sanctions%20Guidance%20\(Final\).pdf](http://fra.gov.ky/app/webroot/files/2020-02-21%20FRA%20Financial%20Sanctions%20Guidance%20(Final).pdf)

14. **Enquiries**

Enquiries regarding this Financial Sanctions Notice should be addressed to:

The Sanctions Coordinator
Financial Reporting Authority
P.O. BOX 1054
Grand Cayman KY1-1102
Cayman Islands
financialsanctions@gov.ky

ANNEX TO NOTICE

FINANCIAL SANCTIONS: DEMOCRATIC REPUBLIC OF THE CONGO

THE DEMOCRATIC REPUBLIC OF THE CONGO (SANCTIONS) (EU EXIT) REGULATIONS 2019 (S.I. 2019/433)

AMENDMENTS

Deleted information appears in strikethrough. Additional information appears in italics and is underlined.

Individuals

1. MYAMURO, Baudoin Ngaruye

Title: Brigadier General **DOB:** (1) ~~1978~~ (2) 01/04/1978. **POB:** (1) Bibwe (2) Lusamambo, Lubero territory, Democratic Republic of the Congo **a.k.a:** NGARUYE, Colonel, Baudoin **Nationality:** ~~Congolese~~ *Democratic Republic of the Congo* **Passport Details:** 1-78-09-44621-80 National Identification no: FARDC ID: 1-78-09-44621-80 **Address:** Rubavu / Mudende, Rwanda. **Position:** Military Leader of the movement du Mars (M23) **Other Information:** (UK Sanctions List Ref):DRC0024 (UN Ref):CDi.019 (Further Identifying Information):Entered the Republic of Rwanda on 16 March 2013.As of late 2014, living in Ngoma camp, Rwanda. INTERPOL-UN Security Council Special Notice web link: <https://www.interpol.int/en/notice/search/un/5268954> (Gender):Male **Listed on:** 28/02/2013 **Last Updated:** ~~31/12/2020~~ 20/01/2021 **Group ID:** 12828.

2. OZIA MAZIO, Dieudonné

DOB: 06/06/1949. **POB:** Ariwara, DRC **a.k.a:** (1) OMARI (2) OMARI, Mr (3) OZIA MAZIO **Nationality:** ~~Congolese~~ *Democratic Republic of the Congo* **Position:** Former president of the Fédération des entreprises congolaises (FEC) in ARU territory **Other Information:** (UK Sanctions List Ref):DRC0027 (UN Ref): CDi.027. (Further Identifying Information):While president of the Fédération des entreprises congolaises (FEC) in Aru territory, Dieudonné Ozia Mazio is believed to have died in Ariwara on 23 September 2008. INTERPOL-UN Security Council Special Notice web link: <https://www.interpol.int/en/notice/search/un/5275495>. (Gender):Male **Listed on:** 02/11/2005 **Last Updated:** ~~19/01/2021~~ 20/01/2021 **Group ID:** 8705.

3. BADEGE, Eric

DOB: ~~1971~~. **Nationality:** ~~Congolese~~ *Democratic Republic of the Congo* **Address:** Rwanda (as of early 2016). **Other Information:** (UK Sanctions List Ref):DRC0028 (UN Ref):CDi.001 (Further Identifying Information):He fled to Rwanda in March 2013 and is still living there as of early 2016.INTERPOL-UN Security Council Special Notice web link: <https://www.interpol.int/en/notice/search/un/5272441> (Gender):Male **Listed on:** 23/01/2013 **Last Updated:** ~~31/12/2020~~ 20/01/2021 **Group ID:** 12838.

4. NJABU, Floribert Ngabu

DOB: 23/05/1971. **a.k.a:** (1) NDJABU, Floribert (2) NDJABU, Floribert, Ngabu (3) NGABU, Floribert, Njabu **Nationality:** ~~Congolese~~ *Democratic Republic of the Congo* **Passport Details:** Passport No OB 0243318 **Position:** President of FNI **Other Information:** (UK Sanctions List Ref):DRC0030 (UN Ref):CDi.021 (Further Identifying Information):Under house arrest in Kinshasa since March 2005 for FNI involvement in human rights abuses.

Transferred to The Hague on 27 March 2011 to testify in the ICC Germain Katanga and Mathieu Ngudjolo trials. Applied for asylum in the Netherlands in May 2011. In October 2012, a Dutch court denied his asylum claim. In July 2014, he was deported from the Netherlands to DRC, where he was placed under arrest. INTERPOL-UN Security Council Special Notice web link: <https://www.interpol.int/en/notice/search/un/5776373> (Gender):Male Listed on: 02/11/2005 Last Updated: ~~31/12/2020~~ 20/01/2021 Group ID: 8737.

5. BWAMBALE, Frank Kakolele

a.k.a: (1) BLANC, Aigle (2) BWAMBALE, Frank, Kakorere (3) KAKORERE, Frank
Nationality: ~~Congolese~~ Democratic Republic of the Congo **Address:** Kinshasa, Democratic Republic of the Congo (as of June 2016). **Position:** FARDC General **Other Information:** (UK Sanctions List Ref):DRC0031 (UN Ref):CDi.002 (Further Identifying Information):Left the CNDP in January 2008. As of June 2011, resides in Kinshasa. Since 2010, Kakolele has been involved in activities apparently on behalf of the DRC government's Programme de Stabilisation et Reconstruction des Zones Sortant des Conflits Armés (STAREC), including participation in a STAREC mission to Goma and Beni in March 2011. DRC authorities arrested him in December 2013 in Beni, North Kivu Province, for allegedly blocking the DDR process. He left the DRC and lived in Kenya for some time, before being called back by the DRC Government to assist them with the situation in the Territory of Beni. He was arrested in October 2015 in the area of Mambasa for allegedly supporting a Mai Mai group, but no charges were brought and as of June 2016, he lived in Kinshasa. INTERPOL-UN Security Council Special Notice web link: <https://www.interpol.int/en/notice/search/un/5776078> (Gender):Male Listed on: 02/11/2005 Last Updated: ~~31/12/2020~~ 20/01/2021 Group ID: 8732.

6. KATANGA, Germain

DOB: 28/04/1978. **POB:** Mambasa, Ituri Province, Democratic Republic of the Congo
Nationality: ~~Congolese~~ Democratic Republic of the Congo **Address:** Democratic Republic of the Congo (in prison). **Other Information:** (UK Sanctions List Ref):DRC0034 (UN Ref):CDi.006 (Further Identifying Information):Appointed General in the FARDC in December 2004. Handed over by the Government of the DRC to the International Criminal Court on 18 October 2007. Initially convicted on 23 May 2014 by the ICC to 12 years in prison for war crimes and crimes against humanity, the ICC Appeals Chamber reduced his sentence and determined that Katanga's sentence should be completed on 18 January 2016. Although he was detained in the Netherlands for the duration of his trial, Katanga was transferred to a DRC prison in December 2015 and charged for other crimes previously committed in Ituri. INTERPOL-UN Security Council Special Notice web link: <https://www.interpol.int/en/notice/search/un/5776116> Listed on: 02/11/2005 Last Updated: ~~31/12/2020~~ 20/01/2021 Group ID: 8735.

7. ZIMURINDA, Innocent

Title: Lieutenant Colonel **DOB:** (1) 01/09/1972. (2) --/--/1975. (3) 16/03/1972. **POB:** Ngungu, Masisi Territory, North Kivu Province, Masisi, Democratic Republic of the Congo
a.k.a: ZIMULINDA **Nationality:** ~~Congolese~~ Democratic Republic of the Congo **Address:** Masisi Territory, North Kivu Province, Democratic Republic of the Congo. **Position:** M23, Bde Comd, Rank: Colonel and in the FARDC **Other Information:** (UK Sanctions List Ref):DRC0038 (UN Ref):CDi.031 (Further Identifying Information):Integrated in the FARDC in 2009 as a Lieutenant Colonel, brigade commander in FARDC Kimia II Ops, based in Ngungu area. In July 2009, Zimurinda was promoted to full Colonel and became FARDC Sector commander in Ngungu and subsequently in Kitchanga in FARDC Kimia II and Amani Leo Operations. Whereas Zimurinda did not appear in the 31 December 2010

DRC Presidential ordinance nominating high FARDC officers, Zimurinda de facto maintained his command position of FARDC 22nd sector in Kitchanga and wears the newly issued FARDC rank and uniform. In December 2010, recruitment activities carried out by elements under the command of Zimurinda were denounced in open source reports. Entered the Republic of Rwanda on 16 March 2013. As of late 2014, residing in Ngoma camp, Rwanda. INTERPOL-UN Security Council Special Notice web link: <https://www.interpol.int/en/notice/search/un/5275315> (Gender):Male **Listed on:** 03/12/2010 **Last Updated:** ~~31/12/2020~~ 20/01/2021 **Group ID:** 11278.

8. MPAMO, Iruta Douglas

DOB: (1) 28/12/1965. (2) 29/12/1965. **POB:** (1)Bashali, Masisi (2) Goma(3) Uvira, Masisi, Democratic Republic of the Congo **a.k.a:** (1) MPAMO, Douglas, Iruta (2) MPANO **Nationality:** ~~Congolese~~ Democratic Republic of the Congo **Address:** Gisenyi, Rwanda (as of June 2011). **Position:** Owner/Manager of the Compagnie Aeriene des Grands Lacs and of Great Lakes Business Company (GLBC) **Other Information:** (UK Sanctions List Ref):DRC0039 (UN Ref):CDi.011 (Further Identifying Information):No known occupation since two of the planes managed by Great Lakes Business Company (GLBC) crashed. INTERPOL-UN Security Council Special Notice web link: <https://www.interpol.int/en/notice/search/un/5272813> (Gender):Male **Listed on:** 02/11/2005 **Last Updated:** ~~31/12/2020~~ 20/01/2021 **Group ID:** 8711.

9. BUKANDE, Jérôme Kakwavu

Title: General **POB:** Goma, Democratic Republic of the Congo **a.k.a:** (1) JÉRÔME, Commandant (2) KAKWAVU, Jérôme **Nationality:** ~~Congolese~~ Democratic Republic of the Congo **Position:** Former General in the FARDC **Other Information:** (UK Sanctions List Ref):DRC0043 (UN Ref):CDi.005 (Further Identifying Information):Given the rank of General in the FARDC in December 2004.As of June 2011, detained in Makala Prison in Kinshasa.As of 25 March 2011, the High Military Court in Kinshasa opened a trial against Kakwavu for war crimes. In November 2014, convicted by a DRC military court to ten years in prison for rape, murder, and torture. INTERPOL-UN Security Council Special Notice web link: <https://www.interpol.int/en/notice/search/un/5776083> (Gender):Male **Listed on:** 02/11/2005 **Last Updated:** ~~31/12/2020~~ 20/01/2021 **Group ID:** 8707.

10. MUTEBUTSI, Jules

DOB: --/--/1964. **POB:** Minembwe, South Kivu, Democratic Republic of the Congo **a.k.a:** (1) MUTEBUSI, Jules (2) MUTEBUTSI, Colonel (3) MUTEBUZI, Jules **Nationality:** ~~Congolese~~ Democratic Republic of the Congo **Other Information:** (UK Sanctions List Ref):DRC0044 (UN Ref):CDi.018 (Further Identifying Information):Former FARDC Deputy Military Regional Commander of 10th Military Region in April 2004, dismissed for indiscipline. In December 2007, he was arrested by Rwandan authorities when he tried to cross the border into the DRC. Reported to have died in Kigali on 9 May 2014.INTERPOL-UN Security Council Special Notice web link: <https://www.interpol.int/en/notice/search/un/5272093> (Gender):Male **Listed on:** 02/11/2005 **Last Updated:** ~~31/12/2020~~ 20/01/2021 **Group ID:** 8709.

11. MANDRO, Khawa Panga

DOB: 20/08/1973. **POB:** Bunia, Democratic Republic of the Congo **a.k.a:** (1) KAHWA, Chief (2) KAHWA, Mandro, Panga (3) KARIM, Yves, Andoul (4) KAWA (5) MANDRO, Kawa (6) MANDRO, Kawa, Panga (7) MANDRO, Yves, Khawa, Panga (8) PANGA, Kawa **Nationality:** ~~Congolese~~ Democratic Republic of the Congo **Address:** Uganda (as of May 2016). **Other Information:** (UK Sanctions List Ref):DRC0045 (UN Ref):CDi.009 (Further Identifying Information):Placed in prison in Bunia in April 2005 for sabotage of the Ituri

peace process. Arrested by Congolese authorities in October 2005, acquitted by the Court of Appeal in Kisangani, subsequently transferred to the judicial authorities in Kinshasa on new charges of crimes against humanity, war crimes, murder, aggravated assault and battery. In August 2014, a DRC military court in Kisangani convicted him of war crimes and crimes against humanity, sentenced him to nine years in prison, and ordered him to pay approximately \$85,000 to his victims. He served his sentence and resides in Uganda as of May 2016. INTERPOL-UN Security Council Special Notice web link: <https://www.interpol.int/en/notice/search/un/5272933> (Gender):Male **Listed on:** 02/11/2005 **Last Updated:** ~~31/12/2020~~ 20/01/2021 **Group ID:** 8708.

12. NKUNDA, Laurent

DOB: (1) 06/02/1967. (2) 02/02/1967. **POB:** North Kivu/Rutshuru, Democratic Republic of the Congo **a.k.a:** (1) BATWARE, Laurent, Nkunda (2) BATWARE, Laurent, Nkunda, Mahoro (3) BWATARE, Laurent, Nkunda (4) CHAIRMAN (5) LAURENT, Nkunda, Mihigo (6) NKUNDA, General (7) NKUNDABATWARE, Laurent (8) SIX, Papa **Nationality:** Congolese Democratic Republic of the Congo **Position:** (1) Former RCD-G General (2) Founder of the National Congress for the People's Defense, Senior Officer for the Rally for Congolese Democracy-Goma (RCD-G) (3) Officer for the Rwandan Patriotic Front (RPF) **Other Information:** (UK Sanctions List Ref):DRC0046 (UN Ref): CDi.022. Also referred to as Chairman, General Nkunda and Papa Six. (Further Identifying Information):Former RCD-G General. Founder, National Congress for the People's Defense, 2006, Senior Officer, Rally for Congolese Democracy-Goma (RCD-G), 1998-2006, Officer Rwandan Patriotic Front (RPF), 1992-1998. Laurent Nkunda was arrested by Rwandan authorities in Rwanda in January 2009 and replaced as the commander of the CNDP. Since then, he has been under house arrest in Kigali, Rwanda. DRC Government's request to extradite Nkunda for crimes committed in eastern DRC has been refused by Rwanda. In 2010, Nkunda's appeal for illegal detention was rejected by Rwandan court in Gisenyi, ruling that the matter should be examined by a military court. Nkunda's lawyers appealed with the Rwandan Military Court. INTERPOL-UN Security Council Special Notice web link: <https://www.interpol.int/en/notice/search/un/5270703>. (Gender):Male **Listed on:** 02/11/2005 **Last Updated:** ~~31/12/2020~~ 20/01/2021 **Group ID:** 8710.

13. NGUDJOLO, Mathieu Chui

DOB: 08/10/1970. **POB:** Bunia, Ituri Province, Democratic Republic of the Congo **a.k.a:** NGUDJOLO, Cui **Nationality:** Congolese Democratic Republic of the Congo **Address:** Democratic Republic of the Congo. **Other Information:** (UK Sanctions List Ref):DRC0050 (UN Ref):CDi.020 (Further Identifying Information):Arrested by MONUC in Bunia in October 2003.Surrendered by the Government of the DRC to the International Criminal Court on 7 February 2008.Acquitted of all charges by the ICC in December 2012, and the verdict was upheld by the Appeals Chamber on 27 February 2015.Ngudjolo filed a claim for asylum in the Netherlands, but was denied. He was deported to the DRC on 11 May 2015.INTERPOL-UN Security Council Special Notice web link: <https://www.interpol.int/en/notice/search/un/5776118> (Gender):Male **Listed on:** 02/11/2005 **Last Updated:** ~~31/12/2020~~ 20/01/2021 **Group ID:** 8734.

14. MAKENGA, Sultani

DOB: 25/12/1973. **POB:** Rutshuru, Democratic Republic of the Congo **a.k.a:** (1) MAKENGA, Colonel, Sultani (2) MAKENGA, Emmanuel, Sultani **Nationality:** Congolese Democratic Republic of the Congo **Position:** Military leader of the Mouvement du 23 Mars (M23) group operating in the Democratic Republic of the Congo **Other Information:** (UK Sanctions List Ref):DRC0056 (UN Ref):CDi.008 (Further Identifying

Information):A military leader of the Mouvement du 23 Mars (M23) group operating in the Democratic Republic of the Congo. In Uganda as of late 2014. INTERPOL-UN Security Council Special Notice web link: <https://www.interpol.int/en/notice/search/un/5272833> (Gender):Male **Listed on:** 28/02/2013 **Last Updated:** ~~31/12/2020~~ 20/01/2021 **Group ID:** 12812.

15. LUBANGA, Thomas

POB: Ituri, DRC **Nationality:** ~~Congolese~~ Democratic Republic of the Congo **Address:** Democratic Republic of the Congo (in prison). **Other Information:** (UK Sanctions List Ref):DRC0058 (UN Ref):CDi.007 (Further Identifying Information): Arrested in Kinshasa in March 2005 for UPC/L involvement in human rights abuses violations. Transferred to the ICC on 17 March 2006.Convicted by the ICC in March 2012 and sentenced to 14 years in prison. On 1 December 2014, ICC appeals judges upheld Lubanga’s conviction and sentence. Transferred to a prison facility in the DRC on 19 December 2015 to serve out his sentence of imprisonment. He was released on 15 March 2020 after having served his ICC sentence. INTERPOL-UN Security Council Special Notice web link: www.interpol.int/en/How-we-work/Notices/View-UN-Notices-Individuals (Gender):Male **Listed on:** 02/11/2005 **Last Updated:** ~~31/12/2020~~ 20/01/2021 **Group ID:** 8738.

Financial Reporting Authority

Portfolio of Legal Affairs

20/01/2021