

FINANCIAL REPORTING AUTHORITY

(CAYFIN)



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Financial Sanctions Notice

07/02/2020

Democratic Republic of the Congo

Introduction

1. The United Nations Security Council's sanctions list has been updated.

Notice summary (Full details are provided in the Annex to this Notice)

2. By virtue of the United Nations and European Union Financial Sanctions (Linking) Regulations 2017, the following entry has been added to the consolidated list and is now subject to an asset freeze.

- Seka BALUKU (Group ID: 13813) (the "DP")

Legislative details

3. On 6 February 2020, the United Nations Security Council Committee established by Resolution 1533 (2004) concerning the Democratic Republic of the Congo approved the addition of 1 entry to its list of individuals and entities subject to an asset freeze.

4. Unless the DP is listed under Council Regulation (EC) No 1183/2005 by 7 March 2020, the asset freeze will cease to apply from 11:59 p.m. on 7 March 2020 until the date upon which the DP is listed by the EU.

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;
 - 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. Failure to comply with financial sanctions legislation or seeking to circumvent its provisions is a criminal offence.

Further Information

7. The UN's press release describing these changes can be found here:
<https://www.un.org/press/en/2020/sc14101.doc.htm>
8. 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/sc/suborg/en>
9. Copies of recent Notices, UNSC Resolutions and UK legislation can be 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>
10. For more information please see OFSI's guide to financial sanctions:
<https://www.gov.uk/government/publications/financial-sanctions-faqs>

11. Information on the UK's controls on strategic goods and countries subject to an arms embargo can be found here:

<https://www.gov.uk/guidance/export-military-or-dual-use-goods-services-or-technology-special-rules>

Enquiries

14. 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

Individual

1. **BALUKU, Seka**

DOB: --/--/1977. **a.k.a:** (1) KAJAJU, Mzee (2) LUMONDE (3) LUMU (4) MUSA **Nationality:** Uganda **Address:** Kajuju camp of Medina II, Beni territory, North Kivu, Democratic Republic of the Congo (last known location). **Position:** Overall leader of the Allied Democratic Forces (ADF) (CDe.001) **Other Information:** UN Ref: CDi.036. Longtime member of the ADF (CDe.001), Baluku used to be the second in command to ADF founder Jamil Mukulu (CDi.015) until he took over after FARDC military operation Sukola I in 2014. DOB is approximate. (Listing to be treated as temporary for 30 days from the date of listing by the UN or until the EU adds the new listing to an existing sanctions regulation (whichever is sooner) in accordance with Policing and Crime Act 2017). **Listed on:** 07/02/2020 **Last Updated:** 07/02/2020 **Group ID:** 13813.

Financial Reporting Authority

Portfolio of Legal Affairs

07/02/2020