FINANCIAL REPORTING AUTHORITY

(CAYFIN)

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Financial Sanctions Notice 09/12/2024

Democratic Republic of the Congo

Introduction

1. The Democratic Republic of the Congo (Sanctions) (EU Exit) Regulations 2019 ("the Regulations") were made under the Sanctions and Anti-Money Laundering Act 2018 ("the Sanctions Act") and provide for the imposition of financial sanctions, namely the freezing of funds and economic resources of persons involved in the commission of a serious human rights violation or abuse, or violation of international humanitarian law, in the Democratic Republic of the Congo; obstructing or undermining respect for democracy, the rule of law and good governance in the Democratic Republic of the Congo; or the production, manufacture or use in the Democratic Republic of the Congo of improvised explosive devices, or in the commission, planning, ordering, aiding, abetting or otherwise assistance of attacks in the Democratic Republic of the Congo with improvised explosive devices.

2. On 09 December 2024 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. The following entry has been added to the Consolidated List and is now subject to an asset freeze:

- Alain Francois Viviane GOETZ (Group ID: 16710)

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 and any entities owned or controlled by them;

   ii. freeze such accounts, and other funds or economic resources;

   iii. refrain from dealing with the funds or economic resources or making then available directly or indirectly to or for the benefit of designated persons unless licensed by the Governor or if an exception applies;

   iv. report any findings to the FRA at financialsanctions@gov.ky, together with the information or other matter on which the knowledge or suspicion is based, by completing and submitting a Compliance Reporting Form (CRF). Where the information relates to funds or economic resources, the nature and quantity should also be reported.

6. Information received by the FRA may be disclosed to third parties in accordance with provisions set out in the Information and Records part of the regulations and in compliance with applicable data protection laws.

7. Failure to comply with financial sanctions legislation or to seek to circumvent its provisions may be 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/information

10. The UN Consolidated List can be found here:

    https://www.un.org/securitycouncil/content/list-updates-unsc-consolidated-list

11. The Consolidated List can be found here:

    https://www.gov.uk/government/publications/financial-sanctions-consolidated-list-of-targets/consolidated-list-of-targets

12. The UK Sanctions List can be found here:

https://www.gov.uk/government/publications/the-uk-sanctions-list

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

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

14. The Compliance Reporting Form can be found here:

https://fra.gov.ky/forms-documents/#74-91-wpfd-financial-sanctions-forms

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

https://fra.gov.ky/guides-to-financial-sanctions/

16. **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

ADDITION

Individual

1. **GOETZ, Alain Francois Viviane**
   Name (non-Latin script): Alain François Viviane GOETZ
   DOB: (1) 20/04/1965. (2) 24/04/1965. **a.k.a:** (1) GOETZ, Alain (2) GOZ, Alen **Nationality:** (1) Turkey (2) Belgium **Passport Number:** (1) EP985086 (2) 50641895930 **National Identification Number:** 784196536027277 **National Identification Details:** United Arab Emirates **Address:** The Palm Jumeirah 0-35, Villa 39, Frond N, The Palm Jumeirah, United Arab Emirates, 65919. **Other Information:** (UK Sanctions List Ref): DRC0072. (UK Statement of Reasons): Alain Francois Viviane GOETZ is an involved person under the Democratic Republic of the Congo (Sanctions) (EU Exit) Regulations 2019 on the basis of the following ground: GOETZ is or has been involved in providing financial services, or making available funds or economic resources, that could contribute to any serious human rights violation or abuse, any violation of international humanitarian law or obstructing or undermining respect for democracy, the rule of law and good governance in the Democratic Republic of the Congo. Specifically, GOETZ, through his involvement in the global gold market and the illicit trade of gold, is or has been involved in contributing to serious human rights violations and obstructing or undermining respect for democracy, the rule of law and good governance in the DRC. (Email address): alain@goetz.be (Gender): Male **Listed on:** 09/12/2024 **UK Sanctions List Date Designated:** 09/12/2024 **Last Updated:** 09/12/2024 **Group ID:** 16710.

Financial Reporting Authority

Portfolio of Legal Affairs

09/12/2024