

Sanktionslisten im Überblick

Overview of sanction lists

FORMAT-Content

Version: 11. November 2019



Über die FORMAT Software Service GmbH

Seit 1988 entwickelt FORMAT Softwarelösungen für die Außenhandels-, Zoll- und Versandabwicklung. Wer mit der Branche zu tun hat, weiß: In 30 Jahren passiert eine ganze Menge, denn die Anforderungen und Gesetzgebungen ändern sich ständig. Für FORMAT heißt das, immer in Bewegung zu bleiben. Um als Zollsoftware-Hersteller effizient und wettbewerbsfähig zu bleiben, braucht es intelligente Lösungen. Unsere Produkte sind modular aufgebaut und integrieren sich flexibel in vorhandene IT-Umgebungen. Sie ermöglichen eine effiziente Abwicklung aller Geschäftsprozesse im Rahmen der Außenhandels-, Zoll- und Versandabwicklung. Über 1.400 zufriedene Kunden profitieren heute bereits davon.

Neben Wartung und Update-Service bietet FORMAT auch Schulungen sowie professionelle Beratung. Ergänzend zu unseren Softwarelösungen, bietet FORMAT Ihnen Content als erweitertes Leistungspaket zu unseren Softwarelösungen an.

FORMAT-SAM: Ihre Sicherheit ist unser Anspruch

Mit dem Sanktionsmonitor von FORMAT sind Sie in puncto Compliance auf der sicheren Seite. Die Software erledigt für Sie den automatisierten Abgleich aller Personen und Firmenadressen mit den ausgewählten und tagesaktuellen Sanktionslisten. Der Suchalgorithmus von FORMAT-SAM ist einer der am weitesten entwickelten auf dem gesamten Markt. Er nimmt eine aktive Kontrolle Ihres Datenbestandes vor – unter Berücksichtigung verschiedener Prüfstrategien. Potenzielle Treffer bzw. Verdachtsfälle einer Überprüfung werden mit einem Übereinstimmungsquotienten angezeigt, der auf Ihren vorgegebenen Prüfkriterien basiert. Das Resultat: Eine minimale Fehlerquote – mit maximaler Sicherheit für Sie.



About FORMAT Software Service GmbH

Since 1988, FORMAT Software develops solutions for foreign trade, customs and dispatch processing. Who has to do with the industry knows: in 30 years, a whole lot is happening, because the requirements and legislation are constantly changing. For FORMAT this means always staying in motion. In order to remain efficient and competitive as a customs software manufacturer, intelligent solutions are needed. Our products are modular and integrate flexibly into existing IT environments. They enable the efficient handling of all business processes within the framework of foreign trade, customs and dispatch processing. More than 1,400 satisfied customers already benefit from this.

In addition to maintenance and update service, FORMAT also offers training and professional advice. In addition to our software solutions, FORMAT offers you content as an extended service package to our software solutions.

FORMAT-SAM: Your security is our entitlement

With the sanction monitor of FORMAT you are on the safe side in terms of compliance. The software handles the automated reconciliation of all persons and company addresses with the selected and current sanction lists. The search algorithm of FORMAT-SAM is one of the most advanced in the entire market. It takes an active control of your data, taking into account various test strategies. Potential hits or suspected cases of a review are displayed with a match quotient based on your specified test criteria. The result: a minimum error rate – with maximum security for you.



Sanktionslisten im Überblick:

Overview of sanction lists:

ADP	List of Administratively Debarred Parties (U.S Department of State)
AUST	Australia’s Implementation of United Nations Security Council Financial Sanctions (Australian Government – Department of Foreign Affairs)
CAAQ	Canada Anti-terrorism Financing (Government of Canada – Office of the Superintendent of Financial Institutions)
CACM	Canada Consolidated Measures (Government of Canada – Global Affairs Canada)
CATS	CAATSA (U.S. Department of State)
CFSP	EU Common Foreign and Security Policy List (Consolidated list)
CNSL	Consolidated Nonproliferation Sanctions List (U.S. Department of State)
CSL	Consolidated Sanctions List (U.S Department of the Treasury)
DPL	Denied Persons List (U.S. Bureau of Industry and Security)
EL	The Entity List (U.S. Bureau of Industry and Security)
FEUE	Format EU Embargo List (Russia sanctions)
FTO	Foreign Terrorist Organisations (NPS-FTO) (U. S. Department of State)
HMT	HM Treasury – Consolidated list of financial sanctions targets (Office of Financial Sanctions Implementation)
METI	Ministry of Economy, Trade and Industry – End user list
PEP-List	Politically Exposed Persons List
RESC	List of Restricted Entities and Subentities associated with Cuba
SDNL	Special Designated Nationals List (U.S. Department of the Treasury)
SDP	List of Statutorily Debarred Parties (U.S. Department of State)
SECO	Consolidated List
TEL	Terrorist Exclusion List (U.S. Department of State)
UL	Unverified List (U.S. Bureau of Industry and Security)
UNCL	UN Consolidated United Nations Security Council Sanctions List
WBLDFI	World Bank List - Ineligible Firms & Individuals
WBLOS	World Bank List - Other Sanctions

FORMAT-SAM Datenabonnements für Sanktionslisten

Listen, die im FORMAT-SAM enthalten sind:

- EU Common Foreign and Security Policy Liste (CFSP)
- FORMAT EU Embargo List (FEUE)

Optionale Listen:

Package US

Enthaltene Listen:

- Denied Persons List (DPL)
- The Entity List (EL)
- Unverified List (UL)
- Consolidated Nonproliferation Sanctions List (CNSL)
- Foreign Terrorist Organisations (FTO)
- List of Administratively Debarred Parties (ADP)
- List of Statutorily Debarred Parties (SDP)
- Terrorist Exclusion List (TEL)
- Consolidated Sanctions List (CSL)
- Special Designated Nationals List (SDNL)

Package Vario

Enthaltene Listen:

- Australia's Implementation of United Nations Security Council Financial Sanctions (AUST)
- HM Treasury - Consolidated list of financial sanctions targets (HMT)
- Ministry of Economy, Trade und Industry - End user List (METI)
- Consolidated List (SECO)
- Consolidated United Nations Security Council Sanctions List (UNCL)

Datenabonnement Japan

Enthaltene Liste:

- Ministry of Economy, Trade and Industry - End user list (METI)

Datenabonnement Australien

Enthaltene Liste:

- Australia's Implementation of United Nations Security Council Financial Sanctions (AUST)

Datenabonnement Kanada

Enthaltene Listen:

- Canada Anti-terrorism Financing (CAAQ)
- Canada Consolidated Measures (CACM)

Datenabonnement für Cuba - U.S. Department of State (RESC)

Enthaltene Liste:

- List of Restricted Entities and Subentities associated with Cuba (RESC)

Datenabonnement für Section 231 of the Countering America's Adversaries Through Sanctions Act of 2017 (CAATSA)

Enthaltene Liste:

- Section 231 of the Countering America's Adversaries Through Sanctions Act of 2017 (CATS)

Datenabonnement für WBLDFI (World Bank Listing of Ineligible Firms & Individuals)

Enthaltene Liste:

- Debarred & Cross-Debarred Firms & Individuals
- Other Actions

Datenabonnement für PEP - Liste (Politisch exponierte Personen)

Enthaltene Liste:

- PEP-List - Politically Exposed Persons List



FORMAT-SAM Data subscriptions for sanctions lists

Lists included in FORMAT-SAM:

- EU Common Foreign and Security Policy Liste (CFSP)
- FORMAT EU Embargo List (FEUE)

Optional lists:

Package US

Included lists:

- Denied Persons List (DPL)
- The Entity List (EL)
- Unverified List (UL)
- Consolidated Nonproliferation Sanctions List (CNSL)
- Foreign Terrorist Organisations (FTO)
- List of Administratively Debarred Parties (ADP)
- List of Statutorily Debarred Parties (SDP)
- Terrorist Exclusion List (TEL)
- Consolidated Sanctions List (CSL)
- Special Designated Nationals List (SDNL)

Package Vario

Included lists:

- Australia's Implementation of United Nations Security Council Financial Sanctions (AUST)
- HM Treasury - Consolidated list of financial sanctions targets (HMT)
- Ministry of Economy, Trade und Industry - End user List (METI)
- Consolidated List (SECO)
- Consolidated United Nations Security Council Sanctions List (UNCL)

Data subscription Japan

Included list:

- Ministry of Economy, Trade and Industry - End user list (METI)

Data subscription Australia

Included list:

- Australia's Implementation of United Nations Security Council Financial Sanctions (AUST)

Data subscription Canada

Included lists:

- Canada Anti-terrorism Financing (CAAQ)
- Canada Consolidated Measures (CACM)

Data subscription for Cuba - U.S. Department of State (RESC)

Included list:

- List of Restricted Entities and Subentities associated with Cuba (RESC)

Data subscription for Section 231 of the Countering America's Adversaries Through Sanctions Act of 2017 (CAATSA)

Included list:

- Section 231 of the Countering America's Adversaries Through Sanctions Act of 2017 (CATS)

Data subscription for WBLDFI (World Bank Listing of Ineligible Firms & Individuals)

Included lists:

- Debarred & Cross-Debarred Firms & Individuals
- Other Actions

Data subscription for PEP - List (Politically Exposed Persons)

Included list:

- PEP-List - Politically Exposed Persons List



FORMAT-Content

Die Aufgaben unseres Content-Teams beinhalten die kontinuierliche Überprüfung und Sicherstellung aktueller Sanktionslistendaten zur Gewährleistung der Rechtssicherheit unserer Kunden. Wir stellen unseren Kunden diese Daten bei Änderungen vollautomatisiert, innerhalb von 24 Stunden, zur Verfügung.

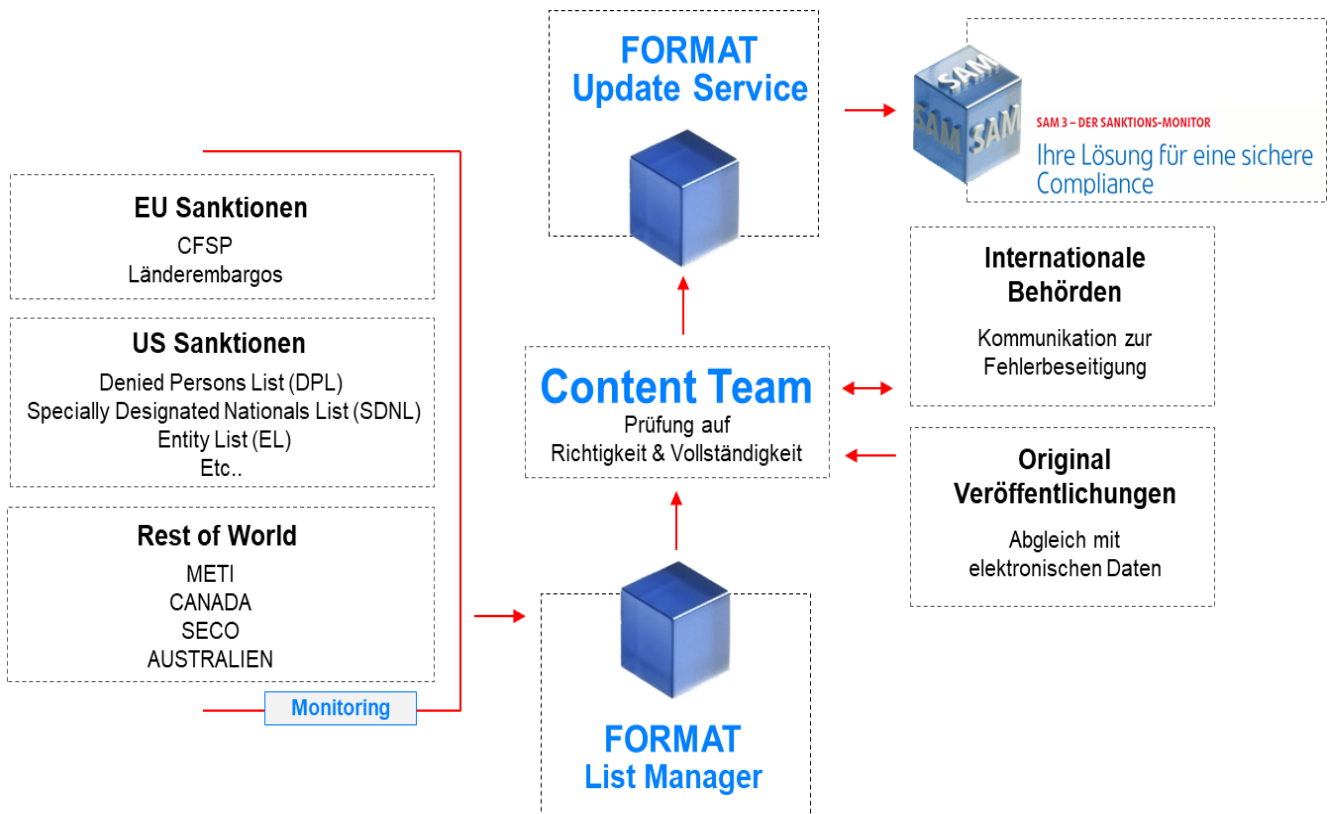
Ihr Vorteil:

Sie müssen weder selbst recherchieren, prüfen, manuell erfassen noch Fehler korrigieren.

Leistungsmerkmale

- Bündelung aller weltweit wichtigen Sanktionslisten in einer Software nebst täglicher Aktualisierung der Datenbasis
- Systemischer Abgleich aller Personen- und Firmenadressen gegen alle erforderlichen Sanktionslisten über Nacht
- Ad-hoc Prüfungen jederzeit individuell möglich, Protokollierung aller Maßnahmen und Prüfungen
- FORMAT Update-Service
- Zollerleichterungen durch Einhaltung aller gesetzlich vorgeschriebenen Prüfungen

Wie funktioniert FORMAT-Content?



FORMAT-Content

The tasks of our content team include the continuous verification and securing of current sanction list data to ensure the legal certainty of our customers. We provide this data to our customers fully automated, within 24 hours, in case of changes.

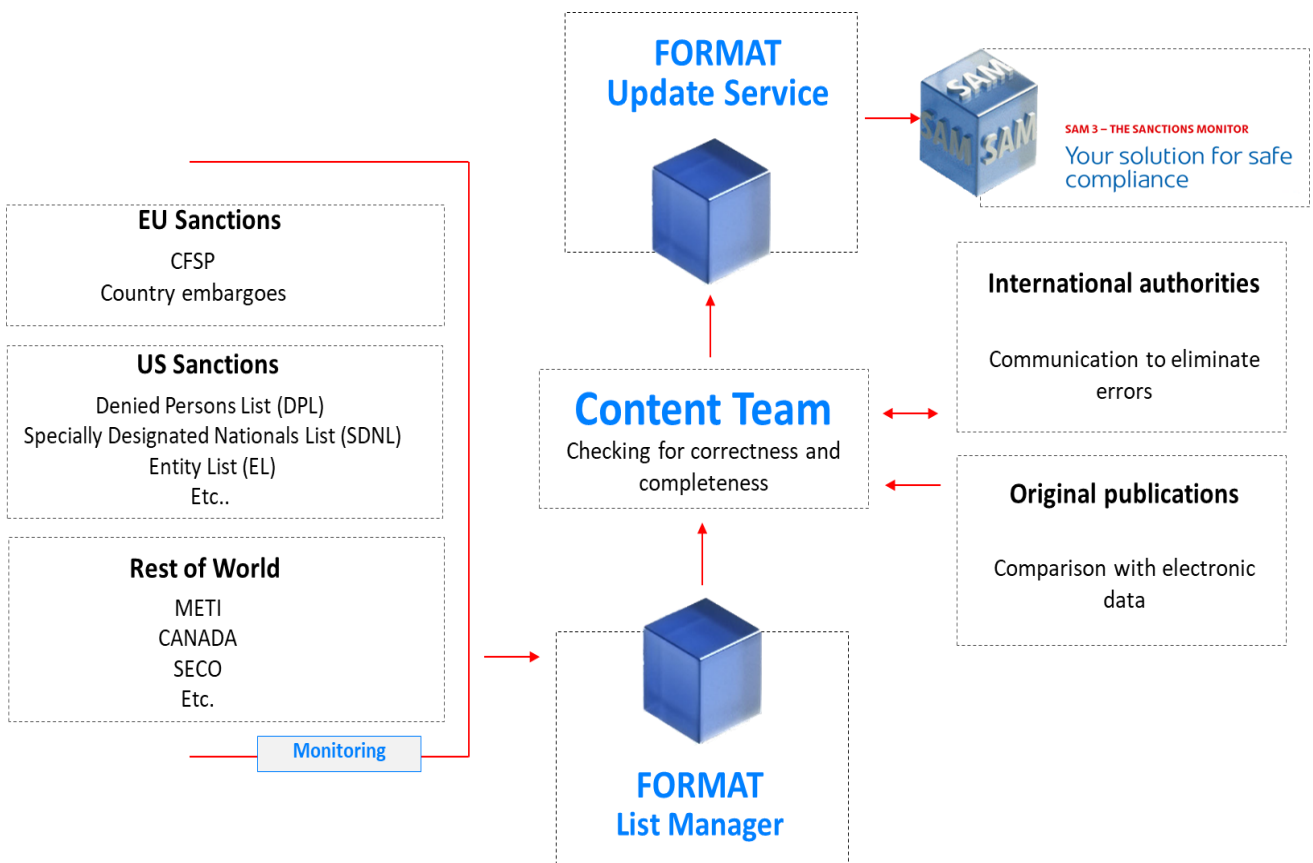
Your advantage:

You do not have to research yourself, check, manually record or correct errors.

Features

- Bundling of all worldwide important sanction lists in one software together with daily update of the data basis
- Systemic matching of all personal and company addresses against all required sanction lists overnight
- AD-hoc exams at any time individually possible, logging of all measures and tests
- FORMAT Update-Service
- Customs relief by complying with all statutory checks

How does FORMAT-Content work?





**AUST - Australia's Implementation of United Nations Security Council
Financial Sanctions
(Australian Government – Department of Foreign Affairs and Trade)**

1267/1989/2253 (ISIL(Da'esh) and Al-Qaida)

15 October 1999:
S/RES/1267(Afghanistan)
17 June 2011:
S/RES/1989(Terrorism)
17 December 2015:
S/RES/2253(Terrorism)

1373 (2001)

28 September 2001:
S/RES/1373(Terrorism)

1518 (Iraq)

24 November 2003:
S/RES/1518(Iraq)

1533 (Democratic Republic of the Congo)

28 July 2003:
S/RES/1493

1591 (Sudan)

29 March 2005:
S/RES/1591(Sudan(Darfur))

1718 (DPRK)

14 October 2006:
S/RES/1718

1970 (Libya)

26 February 2011:
S/RES/1970

1988 (Taliban)

17 June 2011:
S/RES/1988(Terrorism)

2127 (CentralAfricanRepublic)

5 December 2013:
S/RES/2127

2140 (Yemen)

26 February 2014:
S/RES/2140

2206 (SouthSudan)

3 March 2015:
S/RES/2206

2231 (Iran)

20 July 2015:
S/RES/2231

751 (Somalia and Eritrea)

24 April 1992:
S/RES/751(Somalia)

2374 (Mali)

05 September 2017
S/RES/2374

Autonomous (DPRK)

Autonomous (FFRY)

Autonomous (Iran)

Autonomous (Libya)

Autonomous (Myanmar)

Autonomous (Syria)

Autonomous (Ukraine)

Autonomous (Zimbabwe)





CAAQ - Canada Anti-terrorism Financing

(Government of Canada–Office of the Superintendent of Financial Institutions)

Lists of Names subject to the Regulations Establishing a List of Entities made under Subsection 83.05(1) of the Criminal Code, and/or the Regulations Implementing the United Nations Resolutions on the Suppression of Terrorism (RIUNRST) and/or United Nations Al-Qaida and Taliban Regulations (UNAQTR).

<https://laws-lois.justice.gc.ca/eng/regulations/SOR-2001-360/FullText.html>

<https://laws-lois.justice.gc.ca/eng/regulations/SOR-2002-284/FullText.html>

<https://laws-lois.justice.gc.ca/eng/regulations/SOR-2011-78/page-2.html#h-780106>

<https://laws-lois.justice.gc.ca/eng/regulations/SOR-2014-44/FullText.html>

CACM - Canada Consolidated Measures

(Government of Canada–Global Affairs Canada)

Current sanctions imposed by Canada

- SOR/2007-285/SpecialEconomicMeasures(Burma/Myanmar)Regulations
- SOR/2008-248/SpecialEconomicMeasures(Zimbabwe)Regulations
- SOR/2010-165/SpecialEconomicMeasures(Iran)Regulations
- SOR/2011-114/SpecialEconomicMeasures(Syria)Regulations
- SOR/2014-235/SpecialEconomicMeasures(SouthSudan)Regulations
- SOR/2014-58/SpecialEconomicMeasures(Russia)Regulations
- SOR/2014-60/SpecialEconomicMeasures(Ukraine)Regulations
- SOR/2017-204/SpecialEconomicMeasures(Venezuela)Regulations
- SOR/2017-233 / Justice for Victims of Corrupt Foreign Officials Regulations (JVCFOR)
- SOR/2019-232/SpecialEconomicMeasures(Nicaragua) Regulations





CFSP - EU Common Foreign and Security Policy List (Consolidated list)

AFG – Afghanistan

Council Decision 2011/486/CFSP
Council Regulation (EU) No 753/2011

BDI – Burundi

Council Decision (CFSP) 2015/1763
Council Regulation (EU) 2015/1755

BLR – Belarus

Council Decision 2012/642/CFSP
Council Regulation (EC) No 765/2006

CAF – Central African Republic

Council Regulation (EU) No 224/2014

CHEM - Chemical Weapons

Council Implementing Regulation (EU)
No 2019/84

COD – Democratic Republic of Congo

Council Regulation (EC) No 1183/2005

CYBER - <https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32019D0797&qid=1561982736869&from=EN>

EGY – Egypt

Council Regulation (EU) No 270/2011

EUAQ - EU-AI-Qaida

Council Implementing Regulation
(EU) No 2018/281

GIN – Republic of Guinea (Conakry)

Council Decision 2010/638/CFSP
Council Regulation (EU) No 1284/2009

GNB - Guinea-Bissau

Council Regulation (EU) No 377/2012
Council Decision 2012/285/CFSP

IRN – Iran

Council Regulation (EU) No 359/2011
Council Decision 2010/413/CFSP

IRQ – Iraq

Council Regulation (EU) No 1210/2003
Council Decision 2010/128/CFSP

LBY – Libya

Council Regulation (EU) No 2016/44
Council Decision 2011/332/CFSP

MMR - Myanmar/Burma

Council Regulation (EU) No 401/2013

PRK – People's Republic of Korea

Council Regulation (EU) 329/2007
Council Common Position 2009/573/CFSP
Council Decision 2009/599/CFSP

SDN – Sudan

Council Regulation (EC) No 1184/2005

SOM – Somalia

Council Regulation (EU) No 356/2010
Council Decision 2010/231/CFSP

SSD – South Sudan

Council Regulation (EU) No 2015/735

SYR – Syria

Common Position 2005/888/CFSP
Council Regulation (EC) No 305/2006

TAQA – Taliban/Al-Qaida

Council Regulation (EC) No 881/2002

TERR – Terrorism

Council Regulation (EC) No 2580/2001

TUN – Tunisia

Council Regulation (EU) No 101/2011
Council Decision 2011/72 CFSP

UKR – Ukraine

Council Decision 2014/119/CFSP
Council Regulation (EU) No 208/2014

UNLI - own (EU) sanction list against the Daesh and Al-Qaida terrorist organizations as well as individual persons and legal persons associated with them

VEN – Venezuela

Council Regulation (EU) No 2017/2063
Council Implementing Regulation (EU)
No 2018/88

YEM – Yemen

Council Decision 2014/932/CFSP
Council Regulation (EU) No 1352/2014

ZWE – Zimbabwe

Council Decision 2011/101/CFSP
Council Regulation (EC) No 314/2004



FEUE - FORMAT EU Embargo List (Russia sanctions)

Council Regulation (EU) no 833/2014 of 31 July 2014

Council Regulation (EU) No 833/2014 of 31 July 2014 concerning restrictive measures in view of Russia's actions destabilising the situation in Ukraine

Council Regulation (EU) No 960/2014 of 8 September 2014

Council Regulation (EU) No 960/2014 of 8 September 2014 amending Regulation (EU) No 833/2014 concerning restrictive measures in view of Russia's actions destabilising the situation in Ukraine

Council Regulation (EU) No 1290/2014 of 4 December 2014

Council Regulation (EU) No 1290/2014 of 4 December 2014 amending Regulation (EU) No 833/2014 concerning restrictive measures in view of Russia's actions destabilising the situation in Ukraine, and amending Regulation (EU) No 960/2014 amending Regulation (EU) No 833/2014





HMT - HM Treasury Consolidated list of financial sanctions targets (Office of Financial Sanctions Implementation)

Afghanistan: Financial sanctions, Afghanistan

UK regulation: 05.08.2011 The Afghanistan (Asset-Freezing) Regulations 2011 (SI 2011/1893)
UK regulation: 25.01.2002 The Al-Qa'ida and Taliban (United Nations Measures) Order 2002 (SI 2002/111)

Al-Qaida: Current list of designated persons, ISIL (Da'esh) and Al-Qaida organisations

UK regulation: Al Qaida (Asset Freezing) (Amendment) Regulations 2016 (S.I. 2016/937)
UK regulation: Al-Qaida (Asset-Freezing) Regulations 2011 (S.I. 2011/2742)

Belarus: Financial sanctions, Belarus

UK regulation: 13.04.2016 The Belarus (Asset-Freezing) (Amendment) Regulations (SI 2016/504)
UK regulation: 21.02.2013 The Belarus (Asset-Freezing) Regulations 2013 (SI 2013/164)

Burma: Financial Sanctions, Burma

Council Regulation (EU) No 401/2013

Burundi: Financial Sanctions, Burundi

UK regulation: The Burundi (European Union Financial Sanctions) Regulations 2015

Central African Republic: Financial sanctions, Central African Republic

UK regulation: The Central African Republic (European Union Financial Sanctions) Regulations 2014

Chemical Weapons: Financial sanctions, Chemical Weapons

UK regulation: The Chemical Weapons (Asset-Freezing) and Miscellaneous Amendments Regulations 2018 (coming into force 7 November 2018)

Democratic Republic of the Congo: Financial sanctions, Democratic Republic of the Congo

UK regulation: 05.07.2012 The Democratic Republic of the Congo (Asset-Freezing) Regulations 2012 (SI 2012/1511)

Egypt: Financial sanctions, Egypt

UK regulation: 22.03.2011 The Egypt (Asset-Freezing) Regulations 2011 (S.I. 2011/887)

Iran (human rights): Financial sanctions, Iran (human rights)

UK regulation: 15.04.2011 The Iran (Asset-Freezing) Regulations 2011 (SI 2011/1129)

Iran (nuclear proliferation): Financial sanctions, Iran (nuclear proliferation)

UK regulation: 18.01.2016 The Iran (European Union Financial Sanctions) Regulations 2016 (SI 2016 No 36)

Iraq: Financial sanctions, Iraq

UK regulation: 02.07.2012 The Iraq (Asset Freezing) Regulations 2012 (SI 2012/1489)

Libya: Financial sanctions, Libya

UK regulation: 27.02.2011 The Libya (Financial Sanctions) Order 2011 (S.I. 2011/548)
UK regulation: 03.03.2011 The Libya (Asset-Freezing) Regulations 2011 (S.I. 2011/605)

North Korea (Democratic People's Republic of Korea): Financial sanctions, North Korea

UK regulation: 16.11.2006 The North Korea (United Nations Measures) Order 2006 (SI 2006/2958)

Republic of Guinea: Financial sanctions, Republic of Guinea

UK regulation: The Republic of Guinea (Asset Freezing) Regulations 2012 (SI 2012/1508)

Republic of Guinea-Bissau: Financial sanctions, Republic of Guinea-Bissau

UK regulation: 06.06.2012 The Guinea-Bissau (Asset-Freezing) Regulations 2012 (SI 2012/1301)

Somalia: Financial sanctions, Somalia

UK regulation: 04.01.2011 The Somalia (Asset-Freezing) Regulations 2010 (SI 2010/2956)

South Sudan: Financial sanctions, South Sudan

UK regulation: The South Sudan (European Union Financial Sanctions) (No. 2) Regulations 2015.





HMT - HM Treasury Consolidated list of financial sanctions targets (Office of Financial Sanctions Implementation)

Sudan: Financial sanctions, Sudan

UK regulation: 19.02.2004 The Sudan (Technical Assistance and Financing and Financial Assistance) (Penalties and Licences) Regulations 2004 (SI 2004/373)

Syria: Financial sanctions, Syria

UK regulation: 19.01.2012 The Syria (European Union Financial Sanctions) Regulations 2012 (S.I. 2012/129)

Terrorism and Terrorist Financing

UK regulation: 17.12.2010 Terrorist Asset-Freezing etc. Act 2010

The ISIL (Da'esh) and Al-Qaida organisations

UK regulations: The Al-Qaida (Asset Freezing) Regulations 2011 (SI/2742),
The Al-Qaida (Asset Freezing) (Amendment) Regulations 2016 (SI 2016/937)

Tunisia: Financial sanctions, Tunisia

UK regulation: 22.03.2011 The Tunisia (Asset-Freezing) Regulations 2011 (S.I. 2011/888)

UK Freezing orders: Financial sanctions, UK freezing orders

UK regulation: Anti-Terrorism, Crime and Security Act 2001
UK regulation: The Andrey Lugovoy and Dmitri Kovtun Freezing Order 2016

Ukraine (Misappropriation): Financial sanctions, Ukraine (Misappropriation and Human Rights)

UK regulation: The Ukraine (European Financial Sanctions) Regulations 2014 (SI2014/507)

Ukraine (Sovereignty): Financial sanctions, Ukraine (Sovereignty and Territorial Integrity)

UK regulation: The Ukraine (European Union Financial Sanctions) (No.2) Regulations 2014 (SI2014/693)

Venezuela: Financial sanctions, Venezuela

UK regulation: The Venezuela (European Union Financial Sanctions) Regulations 2017 (S.I. 2017/1094)

Yemen: Financial sanctions, Yemen

UK regulation: 19.12.2014 The Yemen (European Union Financial Sanctions) Regulations 2014

Zimbabwe: Financial sanctions, Zimbabwe

UK regulation: 24.04.2009 The Zimbabwe (Financial Sanctions) Regulations 2009 (SI 2009/847)





METI (Japan) - Ministry of Economy, Trade and Industry – End user list

Feature of Japanese Security Export Control System

The Government of Japan controls military sensitive goods and technologies, including relevant dual-use goods and technologies, in order to maintain both national and international peace and security. Based on the Foreign Trade Act (1949) and its relevant legislations, we request exporters in Japan to apply for the Export license in case:

- Items or technologies are listed in the control list; or
- The export is under the provision of end-use control such as 'catch-all control.'



SECO - Consolidated List

SR 946.203

**Al-Qaïda, Taliban -
Massnahmen gegenüber Personen und
Organisationen mit Verbindung zu Usama bin
Laden, der Gruppierung «Al-Qaïda» oder den
Taliban**

SR 946.231.116.9

Belarus - Massnahmen gegenüber Belarus

SR 946.231.121.8

Burundi - Massnahmen gegenüber Burundi

SR 946.231.138.1

Guinea - Massnahmen gegenüber Guinea

SR 946.231.138.3

**Guinea-Bissau - Massnahmen gegenüber Guinea-
Bissau**

SR 946.206

Irak - Massnahmen gegenüber der Republik Irak

SR 946.231.143.6

**Iran - Massnahmen gegenüber der Islamischen
Republik Iran**

SR 946.231.179.8

Jemen - Massnahmen gegenüber Jemen

SR 946.231.12

**Kongo - Massnahmen gegenüber der Demokrati-
schen Republik Kongo**

SR 946.231.149.82

Libyen - Massnahmen gegenüber Libyen

SR 946.231.154.1

Mali - Massnahmen gegenüber Mali

SR 946.231.157.5

Myanmar - Massnahmen gegenüber Myanmar

SR 946.231.127.6

**Nordkorea - Massnahmen gegenüber der Demokra-
tischen Volksrepublik Korea (Nordkorea)**

SR 946.209.2

Simbabwe - Massnahmen gegenüber Simbabwe

SR 946.231.176.72

**Situation in der Ukraine - Massnahmen zur Vermei-
dung der Umgehung internationaler Sanktionen
im Zusammenhang mit der Situation in der Ukraine**

SR 946.231.169.4

Somalia - Massnahmen gegenüber Somalia

SR 946.231.18

Sudan - Massnahmen gegenüber Sudan

SR 946.231.169.9

**Südsudan - Massnahmen gegenüber der Republik
Südsudan**

SR 946.231.172.7

Syrien - Massnahmen gegenüber Syrien

SR 946.231.178.5

Venezuela - Massnahmen gegenüber Venezuela

SR 946.231.123.6

**Zentralafrikanische Republik - Massnahmen gegen-
über der Zentralafrikanischen Republik**



ADP - List of Administratively Debarred Parties (U.S. Department of State)

The persons (including entities and individuals) listed in SDP have been convicted of violating or conspiracy to violate the Arms Export Control Act (AECA). As a consequence, they are subject to "statutory debarment" pursuant to §38(g)(4) of the AECA and §127.7 of the International Traffic in Arms Regulations (ITAR). Thus, these persons are prohibited from participating directly or indirectly in the export of defense articles (including technical data) and defense services. The names of these parties and their ineligibility for defense trade have been previously published by DDTC in the Federal Register. Statutory debarment remains in effect unless the debarred person's application for reinstatement of export privileges is granted by DDTC; notice of reinstatement will be published in the Federal Register and the person's name will be removed from the list.

In addition, persons may be "administratively debarred" on a case-by-case basis resulting from the resolution of individual enforcement proceedings for violations of the AECA and ITAR.

CATS - U.S. Department of State - CAATSA

Section 231 of the Countering America's Adversaries Through Sanctions Act of 2017

Section 231 of the Countering America's Adversaries Through Sanctions Act ("CAATSA," or "the Act") (Pub. L. 115-44,) was enacted on August 2, 2017. The Act states that the President shall impose five or more of the sanctions described in Section 235 of the Act with respect to a person the President determines knowingly, on or after such date of enactment, engages in a significant transaction with a person that is part of, or operates for or on behalf of, the defense or intelligence sectors of the Government of the Russian Federation. The President delegated to the Secretary of State, in consultation with the Secretary of the Treasury, the authority to implement Section 231 on September 29, 2017.

The Secretary of State has determined that the following persons are part of, or operate for or on behalf of, the defense or intelligence sectors of the Government of the Russian Federation for the purposes of CAATSA Section 231.

Section 231(a) of CAATSA imposes sanctions on persons who have knowingly engaged in a "significant transaction" with a specified person under section 231(d) of CAATSA. This guidance specifies individuals but does not itself impose sanctions.

CAATSA Section 231(d) Defense Sector of the Government of the Russian Federation

CAATSA Section 231(d) Intelligence Sector of the Government of the Russian Federation

Guidance on Specified Persons Under Section 231 of the Countering Russian Influence in Europe and Eurasia Act of 2017:

82 FR 57325 12/04/2018





CNSL - Consolidated Nonproliferation Sanctions List (U.S. Department of State)

The Bureau of International Security and Nonproliferation (ISN) is responsible for managing a broad range of U.S. nonproliferation policies, programs, agreements, and initiatives. The proliferation of Weapons of Mass Destruction (WMD) and related materials, technologies, and expertise -- and the fact that terrorists are trying to acquire them -- is a preeminent challenge to American national security. Combating this threat through bilateral and multilateral diplomacy is one of the highest priorities of the Department of State. The ISN Bureau leads the Department's efforts to prevent the spread of WMD -- whether nuclear, biological, chemical, or radiological -- and their delivery systems.

- CBW Act
- Chemical and Biological Weapons Act
- Chemical and Biological Weapons Control and Warfare Elimination Act (CBW Act9)
- E.O. 12938
- E.O. 13382
- E.O. 13382, Export-Import Bank Act
- E.O. 13382, Export-Import Bank Act, Nuclear Proliferation Prevention Act
- Executive Order 12938
- Executive Order 13382
- Export-Import Bank Act
- Export-Import Bank Act, Nuclear Proliferation Prevention Act
- INKSNA
- INKSNA, INKSNA
- INPA
- Iran and Syria Nonproliferation Act
- Iran-Iraq Arms Nonpro Act of 1992
- Missile Sanctions laws
- Nuclear Proliferation Prevention Act
- Transfer of Lethal Military Equipment





CSL - Consolidated Sanctions List (U.S Department of the Treasury)

The Consolidated Screening List (CSL) is a list of parties for which the United States Government maintains restrictions on certain exports, reexports or transfers of items.

Included in the Consolidated Sanctions List Data Files:

- Foreign Sanctions Evaders (FSE) List
- Sectoral Sanctions Identifications (SSI) List
- Palestinian Legislative Council (NS-PLC) list
- List of Foreign Financial Institutions Subject to Correspondent Account or Payable-Through Account Sanctions (CAPTA List)
- Non-SDN Iranian Sanctions Act (NS-ISA) List
- List of Persons Identified as Blocked Solely Pursuant to Executive Order 13599 (the 13599 List)

561-Related - List of Foreign Financial Institutions Subject to Correspondent Account or Payable-Through Account Sanctions (CAPTA List)

FSE-IR - Foreign Sanctions Evaders (FSE) - Iran

FSE-SY - Foreign Sanctions Evaders (FSE) – Syria

NS-PLC - Non-SDN, Palestinian Legislative Council List

SDGT - Global Terrorism Sanctions Regulations

SYRIA - Syrian Sanctions Regulations

UKRAINE-EO13662 - Sectoral Sanctions Identifications (SSI) List

DPL - Denied Persons List (U.S. Bureau of Industry and Security)

A list of individuals and entities that have been denied export privileges. Any dealings with a party on this list that would violate the terms of its denial order are prohibited.

EL - The Entity List (U.S. Bureau of Industry and Security)

The Entity List identifies foreign parties that are prohibited from receiving some or all items subject to the EAR unless the exporter secures a license. Those persons present a greater risk of diversion to weapons of mass destruction (WMD) programs, terrorism, or other activities contrary to U.S. national security or foreign policy interests. By publicly listing such persons, the Entity List is an important tool to prevent unauthorized trade in items subject to the EAR.

FTO - Foreign Terrorist Organisations (NPS-FTO) (U.S. Department of State)

Foreign Terrorist Organizations (FTOs) are foreign organizations that are designated by the Secretary of State in accordance with section 219 of the Immigration and Nationality Act (INA), as amended. FTO designations play a critical role in our fight against terrorism and are an effective means of curtailing support for terrorist activities and pressuring groups to get out of the terrorism business.



SDNL - Special Designated Nationals List (U.S. Department of the Treasury)

BALKANS - Western Balkans Stabilization Regulations – Executive Order 13304, 31 CFR part 588

BELARUS - Belarus Sanctions Regulations – Executive Order 13405, 31 CFR part 548

BURUNDI - Executive Order 13712

CAATSA-RUSSIA - Countering America's Adversaries Through Sanctions Act of 2017 (CAATSA)-
Section 224

CAR - Central African Republic Sanctions, 31 CFR part 553

CUBA - Cuban Assets Control Regulations, 31 CFR part 515

CYBER2 - Executive Order 13757

DARFUR - Darfur Sanctions Regulations - Executive Order 13400, 31 CFR part 546

DPRK - North Korea Sanctions Regulations – Executive Order 13551, 31 CFR part 510

DPRK2 - Executive Order 13687

DPRK3 -Executive Order 13722

DPRK4 - Executive Order 13810

DRCONGO - Democratic Republic of the Congo Sanctions Regulations, 31 CFR part 547

ELECTION-EO13848 - Foreign Interference in a United States Election Sanctions

FSE-SY - Foreign Sanctions Evaders – Syria – Executive Order 13608

FTO - Foreign Terrorist Organizations Sanctions Regulations, 31 CFR part 597

GLOMAG - Global Magnitsky Sanctions - Executive Order 13818

HIFPAA - Hizballah International Financing Prevention Amendments Act of 2018
Public Law No:115-272

HRIT-IR - Executive Order 13606

HRIT-SY - Executive Order 13606

IFCA - Iran Freedom and Counter-Proliferation Act f 2012 (IFCA) (PL112-239)

IFSR - Iranian Financial Sanctions Regulations,
31 CFR part 561

IRAN - Iranian Transactions and Sanctions Regulations,
31CFR part 560

IRAN-EO13846 - Executive Order 13846

IRAN-EO13876 - Executive Order 13876

IRAN-HR – Executive Order 13553

IRAN-TRA - Executive Order 13628





SDNL - Special Designated Nationals List (U.S. Department of the Treasury)

IRAQ2 - Executive Order 13315, Executive Order 13350

IRAQ3 - Executive Order 13438

IRGC - Iranian Financial Sanctions Regulations -
Executive Order 13224, 31 CFR part 561

ISA – Iran Sanctions Act – Executive Order 13574

LEBANON - Lebanon Sanctions Regulations – Executive Order 13441, 31 CFR part 549

LYBIA2 - Libyan Sanctions, 31 CFR part 570

LYBIA3 - Executive Order 13726

MAGNIT - Sergei Magnitsky Rule of Law Accountability Act of 2012

NICARAGUA - Blocking Property of Certain Persons Contributing to the Situation in Nicaragua -
Executive Order 13851

NICARAGUA-NHRAA - Nicaragua Human Rights and Anticorruption Act of 2018
Executive Order 13581

NPWMD - Weapons of Mass Destruction Proliferators Sanctions Regulations, 31 CFR part 544

NS-PLC - Non-SDN, Palestinian Legislative Council List, issued pursuant to the Global Terrorism
Sanctions Regulations (General License 4), 31 CFR part 594

SDGT - Global Terrorism Sanctions Regulations – Executive Order 13224, 31 CFR part 594

SDNT - Narcotics Trafficking Sanctions Regulations, 31 CFR part 536

SDNTK - Foreign Narcotics Kingpin Sanctions Regulations, 31 CFR part 598

SOMALIA - Somalia Sanctions Regulations – Executive Order 13620, 31 CFR part 551

SOUTH

SUDAN - South Sudan Sanctions Regulations - Executive Order 13664, 31 CFR part 558

SYRIA - Syrian Sanctions Regulations – Executive Order 13338, Executive Order 13399,
Executive Order 13460, 31 CFR part 542

TCO - Transnational Criminal Organizations Sanctions
Regulations - Executive Order 13581,
31 CFR part 590

UKRAINE - EO13660 - Executive Order 13660

UKRAINE - EO13661 - Executive Order 13661

UKRAINE - EO13662 - Executive Order 13662

UKRAINE - EO13685 - Executive Order 13685





SDNL - Special Designated Nationals List (U.S. Department of the Treasury)

VENEZUELA - Executive Order 13692

VENEZUELA-EO13884 - Executive Order 13884

VENEZUELA-EO13850 - Executive Order 13850

YEMEN - Yemen Sanctions Regulations -
Executive Order 13611, 31 CFR part 552

ZIMBABWE - Zimbabwe Sanctions Regulations –
Executive Order 13288,
Executive Order 13391,
Executive Order 13469, 31 CFR part 541





RESC - List of Restricted Entities and Subentities Associated with Cuba

The U.S. Department of State's list of entities and subentities under the control of, or acting for or on behalf of, the Cuban military, intelligence, or security services or personnel with which direct financial transactions would disproportionately benefit such services or personnel at the expense of the Cuban people or private enterprise in Cuba. For information regarding the prohibition on direct financial transactions with these entities, please see the Department of the Treasury's Office of Foreign Assets Control website and the Department of Commerce's Bureau of Industry and Security website.

SDP - List of Statutorily Debarred Parties (U.S. Department of State)

The List of Statutorily Debarred Parties (SDP) lists persons and entities convicted in a US court of violating the Arms Export Control Act (AECA) and are prohibited from trading in US defense articles, including technical data and services.

Lists of Parties Debarred Pursuant to the ITAR

The persons (including entities and individuals) listed in the SDP have been convicted of violating or conspiracy to violate the Arms Export Control Act (AECA). As a consequence, they are subject to "statutory debarment" pursuant to §38(g)(4) of the AECA and §127.7 of the International Traffic in Arms Regulations (ITAR). Thus, these persons are prohibited from participating directly or indirectly in the export of defense articles (including technical data) and defense services. The names of these parties and their ineligibility for defense trade have been previously published by DDTC in the Federal Register. Statutory debarment remains in effect unless the debarred person's application for reinstatement of export privileges is granted by DDTC; notice of reinstatement will be published in the Federal Register and the person's name will be removed from the list.

<https://www.pmdtdc.state.gov/compliance/debar.html>

The above list includes only persons who are subject to statutory debarment for convictions of violating or conspiracy to violate the AECA. This is a small subset of persons who may be debarred or ineligible to participate in the export of defense articles and defense services. In other words, the list does not include persons that may be ineligible under other AECA and ITAR prohibitions or restrictions (e.g., for violations of, or indictments under, other statutes specified in the AECA; ineligibility to receive export or import licenses from other U.S. Government agencies; ineligibility for U.S. Government contracts).

TEL - Terrorist Exclusion List (U.S. Department of State)

Section 411 of the USA PATRIOT ACT of 2001 (8 U.S.C. § 1182) authorized the Secretary of State, in consultation with or upon the request of the Attorney General, to designate terrorist organizations for immigration purposes. This authority is known as the "Terrorist Exclusion List (TEL)" authority. A TEL designation bolsters homeland security efforts by facilitating the USG's ability to exclude aliens associated with entities on the TEL from entering the United States.

UL - Unverified List (U.S. Bureau of Industry and Security)

Parties listed on the Unverified List (UVL) are ineligible to receive items subject to the Export Administration Regulations (EAR) by means of a license exception. In addition, exporters must file an Automated Export System record for all exports to parties listed on the UVL and obtain a statement from such parties prior to exporting, reexporting, or transferring to such parties any item subject to the EAR which is not subject to a license requirement. Restrictions on exports, reexports and transfers (in-country) to persons listed on the UVL are set forth in Section 744.15 of the EAR. The Unverified List is set forth in Supplement No. 6 to Part





UNCL - UN Consolidated United Nations Security Council Sanctions List

Al-Qaida

S/RES/1267 (1999)
15 October 1999

S/RES/1989 (2011)
17 June 2011

S/RES/2253 (2015)
17 December 2015

CAR

S/RES/2127
05 December 2013:

DPRK

S/RES/1718
14 October 2006:

DRC

S/RES/1533
12 March 2004:

GB

S/RES/2048
18 May 2012:

Iran

S/RES/1737
23 December 2006:

Iraq

S/RES/1518
24 November 2003:

Libya

S/RES/1970
26 February 2011:

Mali

S/RES/2374
05 September 2017

Somalia

S/RES/751
24 April 1992:

South Sudan

S/RES/2206
03 March 2015:

Sudan

S/RES/1591
29 March 2005:

Taliban

S/RES/1988
17 June 2011:

Yemen

S/RES/2140
26 February 2014:



PEP-List - Politically Exposed Persons List

Es gibt keine offizielle PEP-Liste "eine", die von Behörden oder dem Staat veröffentlicht wird. Die verschiedenen Anbieter von PEP-Listen sammeln die Informationen von ihren Nutzern, etwa Banken.

Die Banken sollten alle vernünftigen Schritte unternehmen, um sicherzustellen, dass sie nicht wissentlich oder unwissentlich dabei helfen, die Erlöse aus Korruption durch hochrangige ausländische Politiker, ihre Familien und ihre Verbündeten zu verstecken oder zu verschieben. Da die Risiken, die von PEPs ausgehen, je nach Kunde, Produkt-/Service, Land und Industrie variieren werden, sollte die Identifizierung, Überwachung und Gestaltung von Kontrollen für diese Konten und Transaktionen risikobasiert sein.

Nach § 6 Abs. 2 Nr. 1 des Geldwäschereigesetzes handelt es sich bei politisch exponierten Personen um natürliche Personen, die ein wichtiges öffentliches Amt ausüben oder ausgeübt haben, um ihre unmittelbaren Familienangehörigen und Personen, die als verwandte Personen bekannt sind. Das Gesetz unterscheidet zwischen Personen, die sich im Ausland aufhalten und sich im Inland aufhalten. Personen, die ein wichtiges öffentliches Amt ausüben oder ausgeübt haben

1. Einwohner des Landes

a. Personen mit Funktionen auf Bundesebene, Bundespolitiker, Bundesrichter und Landesminister

1. Auslandsaufenthalt

A. Staats- und Regierungschefs, (stellvertretende) Minister oder Staatssekretäre,

B. Abgeordnete,

C. Mitglieder der höchsten Gerichte oder Justizbehörden,

d. Botschafter, Chargé d' Affaires und leitende Offiziere der Streitkräfte und

E. Mitglieder der Leitungs-, Verwaltungs- und Aufsichtsgremien von Staatsunternehmen.

Eine Person, die seit mindestens einem Jahr keine wichtigen öffentlichen Ämter mehr im Sinne des oben Gesagten hat.

Aktivitäten sind nicht mehr politisch exponiert.

Nahe Familienmitglieder sind

-der Ehepartner,

-der Partner, der nach nationalem Recht als Ehepartner behandelt wird

-die Kinder und ihre Ehepartner und Partner

-die Eltern

-die Geschwister

Eine Person, die bekannt ist, verwandt zu sein.

Eine natürliche Person, die bekanntermaßen ein gemeinsamer wirtschaftlicher Eigentümer von juristischen Personen ist oder andere enge Geschäftsbeziehungen mit dieser Person unterhält, wie es bekanntermaßen mit einer natürlichen Person geschieht, die ein wichtiges öffentliches Amt ausübt oder ausgeübt hat.



PEP-List - Politically Exposed Persons List

There is no "one" official PEP list published by authorities or the state. The various providers of PEP lists collect the information from their users, such as Banks.

Banks should take all reasonable steps to ensure that they do not knowingly or unwittingly assist in hiding or moving the proceeds of corruption by senior foreign political figures, their families, and their associates. Because the risks presented by PEPs will vary by customer, product/service, country, and industry, identifying, monitoring, and designing controls for these accounts and transactions should be risk-based.

Pursuant to Section 6 (2) no. 1 of the Money Laundering Act, politically exposed persons are those natural persons who exercise or have exercised an important public office, their immediate family members and persons known to be related parties. The law distinguishes between persons residing abroad and domestically.

Persons who exercise or have exercised an important public office

1. resident in the country

a. Persons with functions at federal level, federal politicians, federal judges and state ministers

1. resident abroad

a. Heads of State or Government, (Deputy) Ministers or State Secretaries,

b. Members of Parliament,

c. Members of the highest courts or judicial authorities,

d. Ambassadors, Chargé d'Affaires and senior officers of the Armed Forces and

e. Members of the governing, administrative and supervisory bodies of state-owned enterprises.

A person who for at least one year has not had any important public offices within the meaning of the above.

Activities is no longer to be considered politically exposed.

Immediate family members are

- the spouse,
- the partner who is treated as a spouse under national law
- the children and their spouses and partners
- the parents
- the siblings

A person known to be related is

A natural person who is known to be a common economic owner of legal entities or has other close business relations with that person, as is notoriously with a natural person who exercises or has exercised an important public office.



World Bank List

WBLDFI – World Bank Listing of Ineligible Firms & Individuals &

WBLOS – World Bank Listing of other sanctions

Die börsennotierten Firmen und Personen sind nicht berechtigt, einen von der Weltbank finanzierten Vertrag für die angegebenen Zeiträume zu erhalten, weil sie im Rahmen der Betrugs- und Korruptionspolitik der Bank, wie sie in den Vergaberichtlinien oder den Vergaberichtlinien festgelegt sind, sanktioniert wurden. Beratende Richtlinien. Eine solche Sanktion wurde als Folge von:

(1) ein von der Bank durchgeführter Verwaltungsprozess, der es den angeklagten Firmen und Einzelpersonen ermöglichte, auf die Vorwürfe zu reagieren. Bis Juli 2007 wurde dieser Prozess in Übereinstimmung mit den am 2. August 2001 beschlossenen Verfahren des Sanktionsausschusses durchgeführt. Seitdem wird der Prozess in Übereinstimmung mit den Sanktionsverfahren des Sanktionsausschusses der Weltbankgruppe durchgeführt. Weitere Informationen zum Zwei-Klassen-Sanktionsprozess finden Sie auf der Webseite des Sanktionsmanagements.

Oder

(2) Crossdebarment gemäß dem Abkommen über die gegenseitige Vollstreckung von Entwurfsbeschlüssen vom 9. April 2010, das zum 1. Juli 2011 von der Weltbank, der Asiatischen Entwicklungsbank, der Europäischen Bank für Wiederaufbau und Entwicklung wirksam gemacht wurde, Interamerikanische Entwicklungsbank und Afrikanische Entwicklungsbank.

(3) Die Bank kann auch andere Maßnahmen auf Firmen und Privatpersonen anwenden, die nicht zu einer Entsperrung führen.



World Bank List

WBLDFI – World Bank Listing of Ineligible Firms & Individuals &

WBLOS – World Bank Listing of other sanctions

The firms and individuals listed are ineligible to be awarded a World Bank-financed contract for the periods indicated because they have been sanctioned under the Bank's fraud and corruption policy as set forth in the [Procurement Guidelines](#) or the [Consultant Guidelines](#). Such sanction was imposed as the result of:

(1) an administrative process conducted by the Bank that permitted the accused firms and individuals to respond to the allegations. Through July 2007, this process was conducted in accordance with the [Sanctions Committee Procedures](#) adopted on August 2, 2001. Since then, the process has been conducted in accordance with the [Sanctions Procedures](#) of the World Bank Group Sanctions Board. For more information on the two-tier sanctions process go to [Sanctions Management](#) webpage.

OR

(2) cross-debarment in accordance with the Agreement for Mutual Enforcement of Debarment Decisions dated 9 April 2010, which, as of July 1, 2011, has been made effective by the World Bank, Asian Development Bank, European Bank for Reconstruction and Development, Inter-American Development Bank, and African Development Bank.

(3) The Bank may also apply other actions to firms and individuals that do not result in debarment.

