Money and Finance: Treasury

Containing a codification of documents of general applicability and future effect

As of July 1, 2010

With Ancillaries

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Each volume of the Code is revised at least once each calendar year and issued on a quarterly basis approximately as follows:

- Title 1 through Title 16: as of January 1
- Title 17 through Title 27: as of April 1
- Title 28 through Title 41: as of July 1
- Title 42 through Title 50: as of October 1

The appropriate revision date is printed on the cover of each volume.

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The Paperwork Reduction Act of 1980 (Pub. L. 96-511) requires Federal agencies to display an OMB control number with their information collection request.
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Provisions that become obsolete before the revision date stated on the cover of each volume are not carried. Code users may find the text of provisions in effect on a given date in the past by using the appropriate numerical list of sections affected. For the period before January 1, 2001, consult either the List of CFR Sections Affected, 1949-1963, 1964–1972, 1973–1985, or 1986–2000, published in eleven separate volumes. For the period beginning January 1, 2001, a “List of CFR Sections Affected” is published at the end of each CFR volume.

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(c) The incorporating document is drafted and submitted for publication in accordance with 1 CFR part 51.

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An index to the text of “Title 3—The President” is carried within that volume.
The Federal Register Index is issued monthly in cumulative form. This index is based on a consolidation of the “Contents” entries in the daily Federal Register.

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RAYMOND A. MOSLEY,
Director,
Office of the Federal Register.
July 1, 2010.
Title 31—Money and Finance: Treasury is composed of three volumes. The parts in these volumes are arranged in the following order: parts 0-199, parts 200-499, and part 500 to end. The contents of these volumes represent all current regulations codified under this title of the CFR as of July 1, 2010.

For this volume, Robert J. Sheehan, III was Chief Editor. The Code of Federal Regulations publication program is under the direction of Michael L. White, assisted by Ann Worley.
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(This book contains part 500 to end)

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§ 500.101 Relation of this part to other laws and regulations.

(a) This part is separate from, and independent of, the other parts of this chapter with the exception of part 501 of this chapter, the recordkeeping and reporting requirements and license application and other procedures of which apply to this part. No license or authorization contained in or issued pursuant to one of those parts, or any other provision of law, authorizes any transaction prohibited by this part.

(b) No license or authorization contained in or issued pursuant to this part shall be deemed to authorize any transaction prohibited by any law other than the Trading With the Enemy Act, 50 U.S.C. App. 5(b), as amended, the Foreign Assistance Act of 1961, 22 U.S.C. 2370, or any proclamation, order, regulation or license issued pursuant thereto.

Subpart B—Prohibitions

§ 500.201 Transactions involving designated foreign countries or their nationals; effective date.

(a) All of the following transactions are prohibited, except as specifically authorized by the Secretary of the Treasury (or any person, agency, or instrumentality designated by him) by means of regulations, rulings, instructions, licenses, or otherwise, if either such transactions are by, or on behalf of, or pursuant to the direction of any designated foreign country, or any national thereof, or such transactions involve property in which any designated foreign country, or any national thereof, has at any time on or since the effective date of this section had any interest of any nature whatsoever, direct or indirect:

(1) All transfers of credit and all payments between, by, through, or to any banking institution or banking institutions wheresoever located, with respect to any property subject to the jurisdiction of the United States or by any person (including a banking institution) subject to the jurisdiction of the United States;

(2) All transactions in foreign exchange by any person within the United States; and

(3) The exportation or withdrawal from the United States of gold or silver coin or bullion, currency or securities, or the earmarking of any such property, by any person within the United States.

(b) All of the following transactions are prohibited, except as specifically authorized by the Secretary of the Treasury (or any person, agency, or instrumentality designated by him) by means of regulations, rulings, instructions, licenses, or otherwise, if such transactions involve property in which any designated foreign country, or any national thereof, has at any time on or since the effective date of this section had any interest of any nature whatsoever, direct or indirect:

(1) All dealings in, including, without limitation, transfers, withdrawals, or exportations of, any property or evidences of indebtedness or evidences of ownership of property by any person subject to the jurisdiction of the United States; and

(2) All transfers outside the United States with regard to any property or property interest subject to the jurisdiction of the United States.

(c) Any transaction for the purpose or which has the effect of evading or avoiding any of the prohibitions set forth in paragraph (a) or (b) of this section is hereby prohibited.

(d) The term “designated foreign country” means a foreign country in the following schedule, and the terms “effective date” and “effective date of this section” mean with respect to any designated foreign country, or any national thereof, 12:01 a.m. eastern standard time of the date specified in the following schedule, except as specifically noted after the country or area.
§ 500.202 Transactions with respect to securities registered or inscribed in the name of a designated national.

Unless authorized by a license expressly referring to this section, the acquisition, transfer (including the transfer on the books of any issuer or agent thereof), disposition, transportation, importation, exportation, or withdrawal of, or the endorsement or guaranty of signatures on, or otherwise dealing in any security (or evidence thereof) registered or inscribed in the name of any designated national is prohibited irrespective of the fact that at any time (either prior to, on or subsequent to the “effective date”) the registered or inscribed owner thereof may have, or appears to have, assigned, transferred or otherwise disposed of any such security.

§ 500.203 Effect of transfers violating the provisions of this chapter.

(a) Any transfer after the “effective date” which is in violation of any provision of this chapter or of any regulation, ruling, instruction, license, or other direction or authorization thereunder and involves any property in which a designated national has or has had an interest since such “effective date” is null and void and shall not be the basis for the assertion or recognition of any interest in or right, remedy, power or privilege with respect to such property.

(b) No transfer before the “effective date” shall be the basis for the assertion or recognition of any right, remedy, power, or privilege with respect to, or interest in, any property in which a designated national has or has had an interest since the “effective date” unless the person with whom such property is held or maintained had written notice of the transfer or by any written evidence had recognized such transfer prior to such “effective date.”

(c) Unless otherwise provided, an appropriate license or other authorization issued by or pursuant to the direction or authorization of the Secretary of the Treasury before, during or after a transfer shall validate such transfer or render it enforceable to the same extent as it would be valid or enforceable but for the provisions of section 5(b) of the Trading With the Enemy Act, as amended, and this chapter and any ruling, order, regulation, direction or instruction issued thereunder.

(d) Transfers of property which otherwise would be null and void, or unenforceable, by virtue of the provisions of this section shall not be deemed to be null and void, or unenforceable pursuant to such provisions, as to any person with whom such property was held or maintained (and as to such person, only) in cases in which such person is able to establish each of the following:

(1) Such transfer did not represent a willful violation of the provisions of this chapter by the person with whom such property was held or maintained;

(2) The person with whom such property was held or maintained did not have reasonable cause to know or suspect, in view of all the facts and circumstances known or available to such person, that such transfer required a license or authorization by or pursuant to the provisions of this chapter and was not so licensed or authorized or if a license or authorization did purport to cover the transfer, that such license or authorization had been obtained by misrepresentation or the withholding of material facts or was otherwise fraudulently obtained; and

(3) Promptly upon discovery that:
(i) Such transfer was in violation of the provisions of this chapter or any regulation, ruling, instruction, license or other direction or authorization thereunder, or
(ii) Such transfer was not licensed or authorized by the Secretary of the Treasury, or
(iii) If a license did purport to cover the transfer, such license had been obtained by misrepresentation or the withholding of material facts or was otherwise fraudulently obtained; the person with whom such property was held or maintained filed with the Treasury Department, Washington, DC 20220, a report in triplicate setting forth in full the circumstances relating to such transfer. The filing of a report in accordance with the provisions of this paragraph shall not be deemed to be compliance or evidence of compliance with paragraphs (d) (1) and (2) of this section.

(e) Unless licensed or authorized by §500.504 or otherwise licensed or authorized pursuant to this chapter any attachment, judgment, decree, lien, execution, garnishment, or other judicial process is null and void with respect to any property in which on or since the “effective date” there existed the interest of a designated foreign country or national thereof.

(f) For the purpose of this section the term “property” includes gold, silver, bullion, currency, coin, credit, securities (as that term is defined in section 2(1) of the Securities Act of 1933, as amended) (48 Stat. 74; 15 U.S.C. 77(b)), bills of exchange, notes, drafts, acceptances, checks, letters of credit, book credits, debts, claims, contracts, negotiable documents of title, mortgages, liens, annuities, insurance policies, options and futures in commodities, and evidences of any of the foregoing. The term “property” shall not, except to the extent indicated, be deemed to include chattels or real property.


§ 500.204 Importation of and dealings in certain merchandise.

(a) Except as specifically authorized by the Secretary of the Treasury (or any person, agency, or instrumentality designated by him) by means of regulations, or rulings, instructions, licenses, or otherwise, persons subject to the jurisdiction of the United States may not purchase, transport, import, or otherwise deal in or engage in any transaction with respect to any merchandise outside the United States specified in following paragraph (a)(1) of this section.

(1) Merchandise the country of origin of which is North Korea, North Viet-Nam, Cambodia, or South Viet-Nam.

Articles which are the growth, produce or manufacture of these areas shall be deemed for the purposes of this chapter to be merchandise whose country of origin is North Korea, North Viet-Nam, Cambodia, or South Viet-Nam, notwithstanding that they may have been subjected to one or any combination of the following processes in another country:

(i) Grading;
(ii) Testing;
(iii) Checking;
(iv) Shredding;
(v) Slicing;
(vi) Peeling or splitting;
(vii) Scraping;
(viii) Cleaning;
(ix) Washing;
(x) Soaking;
(xi) Drying;
(xii) Cooling, chilling or refrigerating;
(xiii) Roasting;
(xiv) Steaming;
(xv) Cooking;
(xvi) Curing;
(xvii) Combining of fur skins into plates;
(xviii) Blending;
(xix) Flavoring;
(xx) Preserving;
(xxi) Pickling;
(xxii) Smoking;
(xxiii) Dressing;
(xxiv) Salting;
(xxv) Dyeing;
(xxvi) Bleaching;
(xxvii) Tanning;
(xxviii) Packing;
(xxix) Canning;
(xxx) Labeling;
(xxxi) Carding;
(xxxii) Combing;
(xxxiii) Pressing;
(xxxiv) Any process similar to any of the foregoing.
§ 500.205 Holding of certain types of blocked property in interest-bearing accounts.

(a) Except as provided by paragraphs (d), (e) and (f) of this section, or as authorized by the Secretary of the Treasury or his delegate by specific license, any person holding any property included in paragraph (h) of this section is prohibited from holding, withholding, using, transferring, engaging in any transactions involving, or exercising any right, power, or privilege with respect to any such property, unless it is held in an interest-bearing account in a domestic bank.

(b) Any person presently holding property subject to the provisions of paragraph (a) of this section, not being held in accordance with the provisions of that paragraph, shall transfer such property to or hold such property in an interest-bearing account in any domestic bank within 30 days of the effective date of this section.

(c) Any person holding any checks or drafts subject to the provisions of §500.201 is authorized and directed, wherever possible consistent with state law (except as otherwise specifically provided in paragraph (c)(3) of this section), to negotiate or present for collection or payment such instruments and credit the proceeds to interest-bearing accounts. Any transaction by any person incident to the negotiation, processing, presentment, collection or payment of such instruments and deposit of the proceeds into an interest-bearing account is hereby authorized: Provided, That:

(1) The transaction does not represent, directly or indirectly, a transfer of the interest of a designated national to any other country or person;

(2) The proceeds are held in a blocked account indicating the designated national who is the payee or owner of the instrument; and,

(3) In the case of a blocked check or draft which has been purchased by the maker/drawer from the drawee bank (e.g., cashier’s check, money order, or traveler’s check) or which is drawn against a presently existing account, such bank, on presentment of the instrument in accordance with the provisions of this section, shall either:

(i) Pay the instrument (subject to paragraphs (c)(1) and (2) of this section) or

(ii) Credit a blocked account on its books with the amount payable on the instrument.

In either event, the blocked account shall be identified as resulting from the proceeds of a blocked check or draft, and the identification shall include a reference to the names of both the maker and payee of the instrument.

(d) Property subject to the provisions of paragraph (a) or (b) of this section, held by a person claiming a set-off against such property, is exempt from the provisions of paragraphs (a), (b) and (c) of this section to the extent of the set-off: Provided however, That interest shall be due from 30 days after the effective date of this section if it should ultimately be determined that the claim to a set-off is without merit.

(e) Property subject to the provisions of paragraphs (a) and (b) of this section, held in a customer’s account by a registered broker/dealer in securities, may continue to be held for the customer’s account provided interest is credited to the account on any balance not invested in securities in accordance with §500.513. The interest paid on such accounts by a broker/dealer who does not elect to hold such property for a customer’s account in a domestic bank shall not be less than the maximum rate payable on the
shortest time deposit available in any domestic bank in the jurisdiction in which the broker/dealer holds the account.

(f) Property subject to the provisions of paragraphs (a) and (b) of this section, held by a state agency charged with the custody of abandoned or unclaimed property under §500.561 may continue to be held by the agency provided interest is credited to the blocked account in which the property is held by the agency, or the property is held by the agency in a blocked account in a domestic bank. The interest credited to such accounts by an agency which does not elect to hold such property in a domestic bank shall not be less than the maximum rate payable on the shortest time deposit available in any domestic bank in the state.

(g) For purposes of this section, the term “interest-bearing account” means a blocked account earning interest at no less than the maximum rate payable on the shortest time deposit in the domestic bank where the account is held, provided however, that such an account may include six-month Treasury bills or insured certificates, with a maturity not exceeding six-months, appropriate to the amounts involved.

(h) The following types of property are subject to paragraphs (a) and (b) of this section:

(1) Any currency, bank deposit and bank accounts subject to the provisions of §500.201;

(2) Any property subject to the provisions of §500.201 which consists, in whole or in part, of undisputed and either liquidated or matured debts, claims, obligations or other evidence of indebtedness, to the extent of any amount that is undisputed and liquidated or matured; and,

(3) Any proceeds resulting from the payment of an obligation under paragraph (c) of this section.

(i) For purposes of this section, the term “domestic bank” includes any FSLIC-insured institution (as defined in 12 CFR 561.1).

(j) For the purposes of this section the term “person” includes the United States Government or any agency or instrumentality thereof, except where the agency or instrumentality submits to the Office of Foreign Assets Control an opinion of its General Counsel that either:

(1) It lacks statutory authority to comply with this section, or

(2) The requirements of paragraphs (a) and (b) of this section are inconsistent with the statutory program under which it operates.

[44 FR 11766, Mar. 2, 1979]

§ 500.206 Exemption of information and informational materials.

(a) The importation from any country and the exportation to any country of information or informational materials as defined in §500.332, whether commercial or otherwise, regardless of format or medium of transmission, are exempt from the prohibitions and regulations of this part.

(b) All transactions of common carriers incident to the importation or exportation of information or informational materials, including mail, between the United States and any foreign country designated under §500.201, are exempt from the prohibitions and regulations of this part.

(c) This section does not authorize transactions related to information or informational materials not fully created and in existence at the date of the transaction, or to the substantive or artistic alteration or enhancement of information or informational materials, or to the provision of marketing and business consulting services by a person subject to the jurisdiction of the United States. Such prohibited transactions include, without limitation, payment of advances for information or informational materials not yet created and completed, provision of services to market, produce or co-produce, create or assist in the creation of information or informational materials, and payment or royalties to a designated national with respect to income received for enhancements or alterations made by persons subject to the jurisdiction of the United States to information or informational materials imported from a designated national.

(d) This section does not authorize transactions incident to the exportation of restricted technical data as defined in section 799 of the Export Administration Regulations, 15 CFR parts 768–799, or to the exportation of goods
for use in the transmission of any data. The exportation of such goods to designated foreign countries is prohibited, as provided in §500.201 of this part and §785.1 of the Export Administration Regulations.

Example #1: A U.S. publisher ships 500 copies of a book to Vietnam directly from San Francisco aboard a chartered aircraft, and receives payment by means of a letter of credit issued by a Vietnamese bank and confirmed by an American bank. These are permissible transactions under this section.

Example #2: A Vietnamese party exports a single master copy of a Vietnamese motion picture to a U.S. party and licenses the U.S. party to duplicate, distribute, show and exploit in the United States the Vietnamese film in any medium, including home video distribution, for five years, with the Vietnamese party receiving 40% of the net income. All transactions relating to the activities described in this example are authorized under this section or §500.550.

Example #3: A U.S. recording company proposes to contract with a Vietnamese musician to create certain musical compositions, and to advance royalties of $10,000 to the musician. The music written in Vietnam is to be recorded in a studio that the recording company owns in the Bahamas. These are all prohibited transactions. The U.S. party is prohibited under §500.201 from contracting for the Vietnamese musician’s services, from transferring $10,000 to Vietnam to pay for those services, and from providing the Vietnamese with production services through the use of its studio in the Bahamas. No informational materials are in being at the time of these proposed transactions. However, the U.S. recording company may contract to purchase and import preexisting recordings by the Vietnamese musician, or to copy the recordings in the United States and pay negotiated royalties to Vietnam under this section or §500.550.

Example #4: A Vietnamese party enters into a subpublication agreement licensing a U.S. party to print and publish copies of a musical composition and to sub-license rights of public performance, adaptation, and arrangement of the musical composition, with payment to be a percentage of income received. All transactions related to the activities described in this example are authorized under this section and §500.550, except for adaption and arrangement, which constitute artistic enhancement of the Vietnamese composition. Payment to the Vietnamese party may not reflect income received as a result of these enhancements.

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Subpart C—General Definitions

§500.301 Foreign country.

The term foreign country also includes, but not by way of limitation:
(a) The state and the government of any such territory on or after the “effective date” as well as any political subdivision, agency, or instrumentality thereof or any territory, dependency, colony, protectorate, mandate, dominion possession or place subject to the jurisdiction thereof.
(b) Any other government (including any political subdivision, agency, or instrumentality thereof) to the extent and only to the extent that such government exercises or claims to exercise control, authority, jurisdiction or sovereignty over territory which on the “effective date” constituted such foreign country.
(c) Any person to the extent that such person is, or has been, or to the extent that there is reasonable cause to believe that such person is, or has been, since the “effective date”, acting or purporting to act directly or indirectly for the benefit or on behalf of any of the foregoing, and
(d) Any territory which on or since the “effective date” is controlled or occupied by the military, naval or police forces or other authority of such foreign country.

§500.302 National.

(a) The term national shall include:
(1) A subject or citizen of a country or any person who has been domiciled in or a permanent resident of that country at any time on or since the “effective date,” except persons who were resident or domiciled there in the service of the U.S. Government.
(2) Any partnership, association, corporation, or other organization, organized under the laws of, or which on or since the “effective date” had or has had its principal place of business in a foreign country, or which on or since such effective date was or has been controlled by, or a substantial part of the stock, shares, bonds, debentures, notes, drafts, or other securities or obligations of which, was or has been owned or controlled by, directly or indirectly, a foreign country and/or one
or more nationals thereof as defined in this section.  
(3) Any person to the extent that such person is, or has been, since the “effective date” acting or purporting to act directly or indirectly for the benefit or on behalf of any national of a foreign country.  
(4) Any other person who there is reasonable cause to believe is a “national” as defined in this section.  

(b) The Secretary of the Treasury retains full power to determine that any person is or shall be deemed to be a “national” within the meaning of this section, and to specify the foreign country of which such person is or shall be deemed to be a national.

[17 FR 5343, June 12, 1952, as amended at 50 FR 27436, July 3, 1985]

§ 500.303 Nationals of more than one foreign country.

(a) Any person who by virtue of any provision in this chapter is a national of more than one foreign country shall be deemed to be a national of each of such foreign countries.  
(b) In any case in which a person is a national of two or more designated foreign countries, a license or authorization with respect to nationals of one of such designated foreign countries shall not be deemed to apply to such person unless a license or authorization of equal or greater scope is outstanding with respect to nationals of each other designated foreign country of which such person is a national.  
(c) In any case in which the combined interests of two or more designated foreign countries and/or nationals thereof are sufficient in the aggregate to constitute control or ownership of 25 per centum or more of the stock, shares, bonds, debentures, notes, drafts, or other securities or obligations of a partnership, association, corporation or other organization, but such control or a substantial part of such stock, shares, bonds, debentures, notes, drafts, or other securities or obligations is not held by any one such foreign country and/or national thereof, such partnership, association, corporation or other organization shall be deemed to be a national of each of such foreign countries.

§ 500.305 Designated national.

The term designated national shall mean any country designated in §500.201 and any national thereof including any person who is a specially designated national.

§ 500.306 Specially designated national.

(a) The term specially designated national shall mean:

(1) Any person who is determined by the Secretary of the Treasury to be a specially designated national,  
(2) Any person who on or since the “effective date” has acted for or on behalf of the Government or authorities exercising control over any designated foreign country, or  
(3) Any partnership, association, corporation or other organization which on or since the “effective date” has been owned or controlled directly or indirectly by the Government or authorities exercising control over any designated foreign country or by any specially designated national.

(b) [Reserved]

NOTE TO §500.306: Please refer to the appendices at the end of this chapter for listings of persons designated pursuant to this part. Section 501.807 of this chapter sets forth the procedures to be followed by persons seeking administrative reconsideration of their designation or that of a vessel as blocked, or who wish to assert that the circumstances resulting in the designation are no longer applicable.


§ 500.307 Unblocked national.

Any person licensed pursuant to §500.505 as an unblocked national shall, while so licensed, be regarded as a person within the United States who is not a national of any designated foreign country: Provided, however, That the licensing of any person as an “unblocked national” shall not be deemed to suspend in any way the requirements of any section of this chapter relating to reports, and the production of books, documents, records, etc.  

§ 500.308 Person.

The term person means an individual, partnership, association, corporation, or other organization.

§ 500.309 Transactions.

The phrase transactions which involve property in which any designated foreign country, or any national thereof, has any interest of any nature whatsoever, direct or indirect, includes, but not by way of limitation:

(a) Any payment or transfer to any such designated foreign country or national thereof,

(b) Any export or withdrawal from the United States to such designated foreign country, and

(c) Any transfer of credit, or payment of an obligation, expressed in terms of the currency of such designated foreign country.

§ 500.310 Transfer.

The term transfer shall mean any actual or purported act or transaction, whether or not evidenced by writing, and whether or not done or performed within the United States, the purpose, intent, or effect of which is to create, surrender, release, transfer, or alter, directly or indirectly, any right, remedy, power, privilege, or interest with respect to any property and without limitation upon the foregoing shall include the making, execution, or delivery of any assignment, power, conveyance, check, declaration, deed, deed of trust, power of attorney, power of appointment, bill of sale, mortgage, receipt, agreement, contract, certificate, gift, sale, affidavit or statement; the appointment of any agent trustee, or other fiduciary; the creation or transfer of any lien; the issuance, docketing, filing, or the levy of or under any judgment, decree, attachment, execution, or other judicial or administrative process or order, or the service of any garnishment; the acquisition of any interest of any nature whatsoever by reason of a judgment or decree of any foreign country; the fulfillment of any condition, or the exercise of any power of appointment, power of attorney, or other power.

§ 500.311 Property; property interests.

Except as defined in § 500.203(f) for the purposes of that section the terms property and property interest or property interests shall include, but not by way of limitation, money, checks, drafts, bullion, bank deposits, savings accounts, any debts, indebtedness obligations, notes, debentures, stocks, bonds, coupons, any other financial securities, bankers’ acceptances, mortgages, pledges, liens or other right in the nature of security, warehouse receipts, bills of lading, trust receipts, bills of sale, any other evidences of title, ownership or indebtedness, powers of attorney, goods, wares, merchandise, chattels, stocks on hand, ships, goods on ships, real estate mortgages, deeds of trust, vendors’ sales agreements, land contracts, real estate and any interest therein, leaseholds, ground rents, options, negotiable instruments, trade acceptances, royalties, book accounts, accounts payable, judgments, patents, trademarks, copyrights, contracts or licenses affecting or involving patents, trademarks or copyrights, insurance policies, safe deposit boxes and their contents, annuities, pooling agreements, contracts of any nature whatsoever, services, and any other property, real, personal, or mixed, tangible or intangible, or interest or interests therein, present, future, or contingent.

§ 500.312 Interest.

The term interest when used with respect to property shall mean an interest of any nature whatsoever, direct or indirect.

§ 500.313 Property subject to the jurisdiction of the United States.

(a) The phrase property subject to the jurisdiction of the United States includes, without limitation, securities, whether registered or bearer; issued by:

(1) The United States or any State, district, territory, possession, county, municipality, or any other subdivision or agency or instrumentality of any thereof; or

(2) Any person within the United States whether the certificate which evidences such property or interest is
physically located within or outside the United States.

(b) The phrase property subject to the jurisdiction of the United States also includes, without limitation, securities, whether registered or bearer, by whomsoever issued, if the certificate evidencing such property or interest is physically located within the United States.

§ 500.314 Banking institution.

The term banking institution shall include any person engaged primarily or incidentally in the business of banking, of granting or transferring credits, or of purchasing or selling foreign exchange or procuring purchasers and sellers thereof, as principal or agent, or any person holding credits for others as a direct or incidental part of his business, or any broker; and, each principal, agent, home office, branch or correspondent of any person so engaged shall be regarded as a separate “banking institution.”

§ 500.316 License.

Except as otherwise specified, the term license shall mean any license or authorization contained in or issued pursuant to this chapter.

[28 FR 6973, July 9, 1963]

§ 500.317 General license.

A general license is any license or authorization the terms of which are set forth in this chapter.

§ 500.318 Specific license.

A specific license is any license or authorization issued pursuant to this chapter but not set forth in this chapter.

§ 500.319 Blocked account.

The term blocked account shall mean an account in which any designated national has an interest, with respect to which account payments, transfers or withdrawals of other dealings may not be made or effected except pursuant to an authorization or license authorizing such action. The term blocked account shall not be deemed to include accounts of unblocked nationals.

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§ 500.320 Domestic bank.

The term domestic bank shall mean any branch or office within the United States of any of the following which is not a national of any designated foreign country: Any bank or trust company incorporated under the banking laws of the United States or of any State, territory, or district of the United States, or any private bank or banker subject to supervision and examination under the banking laws of the United States, or of any state, territory or district of the United States. The Secretary of the Treasury may also authorize any other banking institution to be treated as a “domestic bank” for the purpose of this definition or for the purpose of any or all sections of this chapter.

§ 500.321 United States; continental United States.

The term United States means the United States and all areas under the jurisdiction or authority thereof, including U.S. trust territories and commonwealths. The term continental United States means the states of the United States and the District of Columbia.

[50 FR 27436, July 3, 1985]

§ 500.322 Authorized trade territory; member of the authorized trade territory.

(a) The term authorized trade territory shall include:

(1) North, South and Central America, including the Caribbean region, except Cuba;

(2) Africa;

(3) Australia and Oceania, including Indonesia, New Zealand, and the Philippines;

(4) Andorra, Austria, Belgium, Cyprus, Denmark, Ireland, the Federal Republic of Germany and the Western Sector of Berlin, Finland, France (including Monaco), Greece, Iceland, Italy, Liechtenstein, Luxembourg, Malta, the Netherlands, Norway, Portugal, San Marino, Spain, Sweden, Switzerland, Turkey, the United Kingdom, Vatican City, and Yugoslavia.

(5) Afghanistan, Bangladesh, Bhutan, Burma, Hong Kong, India, Iran, Iraq, Israel, Japan, Jordan, Kuwait, Laos,
(6) Any colony, territory, possession, or protectorate of any country included within this paragraph; but the term shall not include the United States.

(b) The term member of the authorized trade territory shall mean any of the foreign countries or political subdivisions comprising the authorized trade territory.

§ 500.325 National securities exchange.


§ 500.326 Custody of safe deposit boxes.

Safe deposit boxes shall be deemed to be in the custody not only of all persons having access thereto but also of the lessors of such boxes whether or not such lessors have access to such boxes. The foregoing shall not in any way be regarded as a limitation upon the meaning of the term custody.

§ 500.327 Blocked estate of a decedent.

The term blocked estate of a decedent shall mean any decedent’s estate in which a designated national has an interest. A person shall be deemed to have an interest in a decedent’s estate if he:

(a) Was the decedent;
(b) Is a personal representative; or
(c) Is a creditor, heir, legatee, devisee, distributee, or beneficiary.

§ 500.328 Status of those portions of Korea under control of the government of the Republic of Korea; and of the diplomatic and consular representatives of those countries.

(a) Those portions of Korea which are under the control of the government of the Republic of Korea are not included within the term designated foreign country.

(b) The diplomatic and consular representatives of the Republic of Korea are not deemed to be acting or purporting to act directly or indirectly for the benefit or on the behalf of any designated foreign country.

§ 500.329 Person subject to the jurisdiction of the United States.

The term, person subject to the jurisdiction of the United States, includes:

(a) Any individual, wherever located, who is a citizen or resident of the United States;
(b) Any person within the United States as defined in § 500.330;
(c) Any corporation organized under the laws of the United States or of any state, territory, possession, or district of the United States; and
(d) Any corporation, partnership, or association, wherever organized or doing business, that is owned or controlled by persons specified in paragraph (a) or (c) of this section.

§ 500.330 Person within the United States.

(a) The term, person within the United States, includes:

(1) Any person, wheresoever located, who is a resident of the United States;
(2) Any person actually within the United States;
(3) Any corporation organized under the laws of the United States or of any state, territory, possession, or district of the United States; and
(4) Any partnership, association, corporation, or other organization, wheresoever organized or doing business, which is owned or controlled by any person or persons specified in paragraph (a) (1), (2), or (3) of this section.
§ 500.331 Merchandise.

The term *merchandise* means all goods, wares and chattels of every description without limitation of any kind.

[24 FR 1884, Mar. 18, 1959]

§ 500.332 Information and informational materials.

(a) For purposes of this part, the term *informational materials* includes, without limitation:

(1) Publications, films, posters, phonograph records, photographs, microfilms, microfiche, tapes, compact disks, CD ROMs, artworks, and news wire feeds.

(2) To be considered informational materials, artworks must be classified under chapter subheading 9701, 9702, or 9703 of the Harmonized Tariff Schedule of the United States.

(b) The terms *information* and *informational materials* with respect to U.S. exports do not include items:

(1) That would be controlled for export pursuant to section 5 of the Export Administration Act of 1979, 50 U.S.C. App. 2401-2420 (1979) (the "EAA"), or section 6 of the EAA to the extent that such controls promote the nonproliferation or antiterrorism policies of the United States, including "software" that is not "publicly available" as these terms are defined in 15 CFR parts 779 and 799.1 (1994); or

(2) With respect to which acts are prohibited by 18 U.S.C. chapter 37.

[60 FR 8894, Feb. 16, 1995]

Subpart D—Interpretations

§ 500.401 Reference to amended sections.

Reference to any section of this chapter or to any regulation, ruling, order, instruction, direction or license issued pursuant to this chapter shall be deemed to refer to the same as currently amended unless otherwise so specified.

§ 500.402 Effect of amendment of sections of this chapter or of other orders, etc.

Any amendment, modification, or revocation of any section of this chapter or of any order, regulation, ruling, instruction, or license issued by or under the direction of the Secretary of the Treasury pursuant to section 3(a) or 5(b) of the Trading With the Enemy Act, as amended, shall not unless otherwise specifically provided be deemed to affect any act done or omitted to be done, or any suit or proceeding had or commenced in any civil or criminal case, prior to such amendment, modification, or revocation, and all penalties, forfeitures, and liabilities under any such section, order, regulation, ruling, instruction or license shall continue and may be enforced as if such amendment, modification, or revocation had not been made.

§ 500.403 Termination and acquisition of the interest of a designated national.

(a) Except as provided in §500.525, whenever a transaction licensed or authorized by or pursuant to this chapter results in the transfer of property (including any property interest) away from a designated national, such property shall no longer be deemed to be property in which a designated national has or has had an interest unless there exists in such property an interest of a designated national, the transfer of which has not been effected pursuant to license or other authorization.

(b) Unless otherwise specifically provided in a license or authorization contained in or issued pursuant to this chapter, if property (including any property interest) is transferred to a designated national such property shall be deemed to be property in which there exists the interest of a designated national.

§ 500.404 Transactions between principal and agent.

A transaction between any person within the United States and any principal, agent, home office, branch, or correspondent, outside the United States of such person is a transaction prohibited by §500.201 to the same extent as if the parties to the transaction
§ 500.405 Exportation of securities, etc. to designated foreign countries.

Section 500.201 prohibits the exportation of securities, currency, checks, drafts and promissory notes to designated foreign countries.

§ 500.406 Drafts under irrevocable letters of credit; documentary drafts.

Section 500.201 prohibits the presentation, acceptance or payment of:
(a) Drafts or other orders for payment drawn under irrevocable letters of credit issued in favor or on behalf of any designated national;
(b) Drafts or other orders for payment, in which any designated national has on or since the “effective date” had any interest, drawn under any irrevocable letter of credit; and
(c) Documentary drafts in which any designated national has on or since the “effective date” had any interest.

§ 500.407 Administration of blocked estates of decedents.

Section 500.201 prohibits all transactions incident to the administration of the blocked estate of a decedent, including the appointment and qualification of personal representatives, the collection and liquidation of assets, the payment of claims, and distribution to beneficiaries. Attention is directed to §500.523 which authorizes certain transactions in connection with the administration of blocked estates of decedents and §500.568 which authorizes the unblocking by specific license of estate assets to certain heirs under certain circumstances.


§ 500.408 Access to certain safe deposit boxes prohibited.

Section 500.201 prohibits access to any safe deposit box within the United States in the custody of any designated national or containing any property in which any designated national has any interest or which there is reasonable cause to believe contains property in which any such designated national has any interest. Attention is directed to §500.517 which authorizes access to such safe deposit boxes under certain conditions.

§ 500.409 Certain payments to designated foreign countries and nationals through third countries.

Section 500.201 prohibits any request or authorization made by or on behalf of a bank or other person within the United States to a bank or other person outside of the United States as a result of which request or authorization such latter bank or person makes a payment or transfer of credit either directly or indirectly to a designated national.

[18 FR 2080, Apr. 14, 1953]

§ 500.410 Currency, coins, and postage and other stamps.

Currency, coins, and postage and other stamps issued by North Korea, North Viet-Nam, Cambodia, or South Viet-Nam are merchandise of North Korean, North Vietnamese, Cambodian, or South Vietnamese origin subject to §500.204(a)(1).

[41 FR 16554, Apr. 20, 1976]

§ 500.411 Dealings abroad in commodities subject to the Regulations.

Section 500.204 prohibits the unlicensed importation into the United States of commodities of North Korean, North Vietnamese, Cambodian, or South Vietnamese origin. It also prohibits, unless licensed, persons subject to the jurisdiction of the United States from purchasing, transporting or otherwise dealing with such commodities which are outside the United States.

[41 FR 16554, Apr. 20, 1976]

§ 500.412 Process vs. manufacture.

A commodity subject to §500.204 remains subject howsoever it has been processed. It should not be assumed that a commodity which has undergone operations other than those listed in §500.204(a)(1), has become a manufactured form of the commodity rather than a processed form thereof. In case of question, a ruling should be requested from the Office of Foreign Assets Control. Requests for rulings in the form of license applications or otherwise should include adequate technical detail. It should be noted that it...
is quite possible for merchandise to have North Korea, North Viet-Nam, Cambodia, or South Viet-Nam as its “country of origin” for Foreign Assets Control purposes while having some other country as its “country of origin” for marking or statistical purposes. [41 FR 16554, Apr. 20, 1976]

§ 500.413 Participation in certain development projects in Vietnam.

The following examples illustrate the scope of the authorization in §500.576 for dealings in property in which Vietnam or a Vietnamese national has an interest with respect to development projects in Vietnam formally proposed or approved for execution, funding or sponsorship by a qualified international institution listed in appendix A to this part (“Qualified Projects”).

Example # 1: The Government of Vietnam (“Vietnam”) approaches a U.S. financial consulting firm (the “U.S. Consulting Firm”) for advice on building cement plants in Hanoi and Ho Chi Minh City. The project might be eligible for funding by the Asian Development Bank (the “ADB”), and Vietnam wants the U.S. Consulting Firm’s assistance in conducting a feasibility study for submission to the ADB. Since the project has not yet been formally proposed or approved for funding by the ADB, no involvement of the U.S. Consulting Firm is authorized pursuant to §500.576. However, had the ADB formally proposed the project in its monthly ADB Business Opportunities as a project being considered for funding, or had it funded the feasibility study, §500.576 would authorize the U.S. Consulting Firm’s transactions.

Example # 2: Upon ADB approval of funding for the cement plant project, a U.S. company (the “U.S. Company”) forms a joint venture with a Vietnamese company to bid on construction of the cement plants in Hanoi and Ho Chi Minh City. The joint venture’s bid is successful, and it purchases construction equipment from the United States, financed by a U.S. bank and insured by a U.S. company. Several items are sourced from the United States during construction, including cement equipment, which is covered by a ten-year service and maintenance agreement. The joint venture agreement calls for the continued management and operation of the plants by the U.S. Company after completion, and for the insurance of the plants by a U.S. insurance company. Each of these transactions with respect to the Qualified Project is authorized by §500.576.

Example # 3: The International Finance Corporation (“IFC”) offers equity investment in a Vietnamese company to finance environmental safeguards for drilling operations in offshore oil fields. Various U.S. investors, including venture capital companies, brokerage firms, and investment banks contribute capital and receive shares in the Vietnamese company. This equity investment in a Qualified Project is authorized by §500.576. The U.S. companies purchasing these shares as part of the IFC-sponsored development project may hold or resell them, including resale to other persons subject to U.S. jurisdiction. Shares acquired by entities not subject to U.S. jurisdiction may not then be purchased or repurchased by a person subject to U.S. jurisdiction.

Example # 4: (a) An Indonesian company (the “Contractor”) is a successful bidder on a Qualified Project, and hires a U.S. law firm to represent it in contract negotiations with Vietnam to build a fish processing and canning facility in Vietnam funded by the World Bank. The law firm may represent the Contractor throughout the course of the project pursuant to §500.576, once the project has been formally proposed or approved for funding by the World Bank.

(b) Once the Qualified Project is underway, the Contractor purchases equipment manufactured in France by a French company. The long-term servicing of the equipment, however, will be provided by the French company’s U.S. subsidiary. The service transactions are authorized pursuant to §500.576.

(c) After the processing facility is completed, Vietnam hires a U.S. marketing firm to develop marketing strategies for the product worldwide. It further asks the marketing firm to execute the strategies it devises and to represent the product in South-East Asia, including the domestic market in Vietnam. The marketing firm in turn would hire the brokerage services of a U.S. citizen domiciled in Thailand for the sale of the product to that country. These transactions are outside the scope of §500.576, and violate §500.201, because they are not directly incident to the Qualified Project funded by the World Bank. [58 FR 68530, Dec. 28, 1993]
Subpart E—Licenses, Authorizations and Statements of Licensing Policy

§ 500.501 General and specific licensing procedures.

For provisions relating to licensing procedures, see part 501, subpart E, of this chapter. Licensing actions taken pursuant to part 501 of this chapter with respect to the prohibitions contained in this part are considered actions taken pursuant to this part.

[68 FR 53641, Sept. 11, 2003]

§ 500.502 Effect of subsequent license or authorization.

No license or other authorization contained in this chapter or otherwise issued by or under the direction of the Secretary of the Treasury pursuant to section 3(a) or 5(b) of the Trading With the Enemy Act, as amended, shall be deemed to authorize or validate any transaction effected prior to the issuance thereof, unless such license or other authorization specifically so provides.

§ 500.503 Exclusion from licenses and authorizations.

The Secretary of the Treasury reserves the right to exclude from the operation of any license or from the privilege therein conferred or to restrict the applicability thereof with respect to particular persons, transactions or property or classes thereof. Such action shall be binding upon all persons receiving actual notice or constructive notice thereof.

§ 500.504 Certain judicial proceedings with respect to property of designated nationals.

(a) Subject to the limitations of paragraphs (b), (c) and (d) of this section judicial proceedings are authorized with respect to property in which on or since the “effective date” there has existed the interest of a designated national.

(b) A judicial proceeding is authorized by this section only if it is based upon a cause of action which accrued prior to the “effective date.”

(c) This section does not authorize or license:

(1) The entry of any judgment or of any decree or order of similar or analogous effect upon any judgment book, minute book, journal or otherwise, or the docketing of any judgment in any docket book, or the filing of any judgment roll or the taking of any other similar or analogous action.

(2) Any payment or delivery out of a blocked account based upon a judicial proceeding nor does it authorize the enforcement or carrying out of any judgment or decree or order of similar or analogous effect with regard to any property in which a designated national has an interest.

(d) If a judicial proceeding relates to property in which there exists the interest of any designated national other than a person who would not have been a designated national except for his relationship to an occupied area, such proceeding is authorized only if it is based upon a claim in which no person other than any of the following has had an interest since the “effective date”:

(1) A citizen of the United States;

(2) A corporation organized under the laws of the United States or any State, territory or possession thereof, or the District of Columbia;

(3) A natural person who is and has been since the “effective date” a resident of the United States and who has not been a specially designated national;

(4) A legal representative (whether or not appointed by a court of the United States) or successor in interest by inheritance, devise, bequest, or operation of law, who falls within any of the categories specified in paragraphs (d) (1), (2) and (3) of this section but only to the same extent that their principals or predecessors would be qualified by such paragraph.

§ 500.505 Certain persons unblocked.

(a) The following persons are hereby licensed as unblocked nationals:

(1) Any person resident in, or organized under the laws of a jurisdiction in, the United States or the authorized trade territory who or which has never been a designated national;

(2) Any individual resident in the United States who is not a specially designated national; and
Office of Foreign Assets Control, Treasury § 500.510

(3) Any corporation, partnership or association that would be a designated national solely because of the interest therein of an individual licensed in paragraph (a) or (b) of this section as an unblocked national.

(b) Individual nationals of a designated country who take up residence in the authorized trade territory may apply to the Office of Foreign Assets Control to be specifically licensed as unblocked nationals.

(c) The licensing of any person as an unblocked national shall not suspend the requirements of any section of this chapter relating to the maintenance or production of records.


§§ 500.506–500.507 [Reserved]

§ 500.508 Payments to blocked accounts in domestic banks.

(a) Any payment or transfer of credit to a blocked account in a domestic bank in the name of any designated national is hereby authorized providing such payment or transfer shall not be made from any blocked account if such payment or transfer represents, directly or indirectly, a transfer of the interest of a designated national to any other country or person.

(b) This section does not authorize:

(1) Any payment or transfer to any blocked account held in a name other than that of the designated national who is the ultimate beneficiary of such payment or transfer; or

(2) Any foreign exchange transaction including, but not by way of limitation, any transfer of credit, or payment of an obligation, expressed in terms of the currency of any foreign country.

(c) This section does not authorize any payment or transfer of credit comprising an integral part of a transaction which cannot be effected without the subsequent issuance of a further license.

(d) This section does not authorize the crediting of the proceeds of the sale of securities held in a blocked account or a sub-account thereof, or the income derived from such securities, to a blocked account or sub-account under any name or designation which differs from the name or designation of the specific blocked account or sub-account in which such securities are held.

(e) This section does not authorize any payment or transfer from a blocked account in a domestic bank to a blocked account in another domestic bank held under any name or designation which differs from the name or designation of the specific blocked account or sub-account from which the payment or transfer is made.

Note to §500.508: Please refer to §501.603 of this chapter for mandatory reporting requirements regarding financial transfers.


§ 500.509 Entries in certain accounts for normal service charges.

(a) Any banking institution within the United States is hereby authorized to:

(1) Debit any blocked account with such banking institution (or with another office within the United States of such banking institution) in payment or reimbursement for normal service charges owed to such banking institution by the owner of such blocked account.

(2) Make book entries against any foreign currency account maintained by it with a banking institution in any designated foreign country for the purpose of responding to debits to such account for normal service charges in connection therewith.

(b) As used in this section, the term normal service charge shall include charges in payment or reimbursement for interest due; cable, telegraph, or telephone charges; postage costs; custody fees; small adjustment charges to correct bookkeeping errors; and, but not by way of limitation, minimum balance charges, account carrying charges, notary and protest fees, and charges for reference books, photocasts, credit reports, transcripts of statements, registered mail insurance, stationery and supplies, check books, and other similar items.

§ 500.510 Payments to the United States, States and political subdivisions.

(a) The payment from any blocked account to the United States or any
agency or instrumentality thereof or to any State, territory, district, county, municipality or other political subdivision in the United States, of customs duties, taxes, and fees payable thereto by the owner of such blocked account is hereby authorized.

(b) This section also authorizes transactions incident to the payment of customs duties, taxes, and fees from blocked accounts, such as the levying of assessment, the creation and enforcement of liens, and the sale of blocked property in satisfaction of liens for customs duties, taxes, and fees.

§ 500.511 Transactions by certain business enterprises.

(a) Except as provided in paragraphs (b), (c) and (d) of this section any partnership, association, corporation or other organization which on the “effective date” was actually engaged in a commercial, banking or financial business within the United States and which is a national of any designated foreign country, is hereby authorized to engage in all transactions ordinarily incidental to the normal conduct of its business activities within the United States.

(b) This section does not authorize any transaction which would require a license if such organization were not a national of any designated foreign country.

(c) This section does not authorize any transaction by a specially designated national.

(d) Any organization engaging in business pursuant to this section shall not engage in any transaction, pursuant to this section or any other license or authorization contained in this chapter, which, directly or indirectly, substantially diminishes or imperils the assets of such organization or otherwise prejudicially affects the financial position of such organization.

(e) No dealings with regard to any account shall be evidence that any person having an interest therein is actually engaged in commercial, banking or financial business within the United States.

§ 500.513 Purchase and sale of certain securities.

(a) The bona fide purchase and sale of securities on a national securities exchange by banking institutions within the United States for the account, and pursuant to the authorization, of nationals of any designated foreign country and the making and receipt of payments, transfers of credit, and transfers of such securities which are necessary incidents of such purchase or sale are hereby authorized provided the following terms and conditions are complied with:

1. In the case of the purchase of securities, the securities purchased shall be held in an account in a banking institution within the United States in the name of the national whose account was debited to purchase such securities; and

2. In the case of the sale of securities, the proceeds of the sale shall be credited to an account in the name of the national for whose account the sale was made and in the banking institution within the United States which held the securities of such national.

(b) This section does not authorize the crediting of the proceeds of the sale of securities held in a blocked account or a subaccount thereof, to a blocked account or subaccount under any name or designation which differs from the name or designation of the specific blocked account or subaccount in which such securities were held.

(c) Securities issued or guaranteed by the Government of the United States or any State, territory, district, county, municipality, or other political subdivision thereof (including agencies and instrumentalities of the foregoing) need not be purchased or sold on a national securities exchange, but purchases or sales of such securities shall be made at market value and pursuant to all other terms and conditions prescribed in this section.

§ 500.514 Payment of dividends and interest on and redemption and collection of securities.

(a) The payment to, and receipt by, a banking institution within the United States of funds or other property representing dividends or interest on securities held by such banking institution
in a blocked account is hereby authorized provided the funds or other property are credited to or deposited in a blocked account in such banking institution in the name of the national for whose account the securities were held. Notwithstanding §500.202, this paragraph authorizes the foregoing transactions although such securities are registered or inscribed in the name of any designated national and although the national in whose name the securities are registered or inscribed may not be the owner of such blocked account.

(b) The payment to, and receipt by, a banking institution within the United States of funds payable in respect of securities (including coupons) presented by such banking institution to the proper paying agents within the United States for redemption or collection for the account and pursuant to the authorization of nationals of any designated country is hereby authorized provided the proceeds of the redemption or collection are credited to a blocked account in such banking institution in the name of the national for whose account the redemption or collection was made.

(c) The performance of such other acts, and the effecting of such other transactions, as may be necessarily incident to any of the foregoing, are also hereby authorized.

(d) This section does not authorize the crediting of the proceeds of the redemption or collection of securities (including coupons) held in a blocked account or subaccount thereof, or the income derived from such securities to a blocked account or subaccount under any name or designation which differs from the name or designation of the specific blocked account or subaccount in which such securities were held.

§ 500.515 Transfers of securities to blocked accounts in domestic banks.

(a) Transactions ordinarily incident to the transfer of securities from a blocked account in the name of any person to a blocked account in the same name in a domestic bank are hereby authorized provided such securities shall not be transferred from any blocked account if such transfer represents, directly or indirectly, a transfer of the interest of a designated national to any other country or person.

(b) This section does not authorize the transfer of securities held in a blocked account or subaccount thereof to a blocked account or subaccount under any name or designation which differs from the name or designation of the specific blocked account or subaccount in which such securities were held.

[32 FR 10846, July 25, 1967]

§ 500.516 Voting and soliciting of proxies on securities.

Notwithstanding §500.202, the voting and the soliciting of proxies or other authorizations is authorized with respect to the voting of securities issued by a corporation organized under the laws of the United States or of any State, territory, or district thereof, in which a designated national has any interest.

§ 500.517 Access to safe deposit boxes under certain conditions.

(a) Access to any safe deposit box leased to a designated national or containing property in which any designated national has an interest, and the deposit therein or removal therefrom of any property is hereby authorized, provided the following terms and conditions are complied with:

(1) Access shall be permitted only in the presence of an authorized representative of the lessor of such box; and

(2) In the event that any property in which any designated national has any interest is to be removed from such box, access shall be permitted only in the presence of an authorized representative of a banking institution within the United States, which may be the lessor of such box, which shall receive such property into its custody immediately upon removal from such box and which shall hold the same in a blocked account under an appropriate designation indicating the interest therein of designated nationals.
(b) The terms and conditions set forth in paragraph (a) of this section shall not apply to access granted to a representative of the Office of Alien Property pursuant to any rule, regulation or order of such Office.

(c) The lessee or other person granted access to any safe deposit box pursuant to this section (except an agent or representative of the Office of Alien Property) shall furnish to the lessor a certificate in triplicate that he has filed or will promptly file a report with respect to such box, if leased to a designated national, and with respect to all property contained in the box to which access is had in which any designated national has an interest. The lessor shall transmit two copies of such certificate to the Treasury Department, Washington, D.C. The certificate is required only on the first access to the box. In case a report on Form TFR–603 was not made, a report is hereby required to be filed. All reports made pursuant to this section shall bear on their face or have securely attached to them a statement reading, “this report is filed pursuant to 31 CFR 500.517”.


§ 500.519 Limited payments from accounts of United States citizens abroad.

(a) Payments and transfers of credit from blocked accounts for expenditures within the United States or the authorized trade territory of any citizen of the United States who is within any foreign country are hereby authorized provided the following terms and conditions are complied with:

1. Such payments and transfers shall be made only from blocked accounts in the name of, or in which the beneficial interest is held by, such citizen or his family; and

2. The total of all such payments and transfers made under this section shall not exceed $1,000 in any one calendar month for any such citizen or his family.

(b) This section does not authorize any remittance to any designated foreign country or, any payment, transfer, or withdrawal which could not be effected without a license by a person within the United States who is not a national of any designated foreign country.

§ 500.520 Payments from accounts of United States citizens in employ of United States in foreign countries and certain other persons.

(a) Banking institutions within the United States are hereby authorized to make all payments, transfers and withdrawals from accounts in the name of members of the armed forces of the United States and of citizens of the United States accompanying such armed forces in the course of their employment by any organization acting on behalf of the Government of the United States.

(b) Banking institutions within the United States are also hereby authorized to make all payments, transfers and withdrawals from accounts in the name of members of the armed forces of the United States and of citizens of the United States accompanying such armed forces in the course of their employment by any organization acting on behalf of the Government of the United States while such persons are within any foreign country.

(c) This section is deemed to apply to the accounts of members of the armed
forces of the United States and of citizens of the United States accompanying such armed forces in the course of their employment by the Government of the United States or by any organization acting on its behalf even though they are captured or reported missing.

§ 500.521 Certain remittances for necessary living expenses.

(a) Remittances by any person to any individual who is a resident of a foreign country and is within that foreign country are hereby authorized on the following terms and conditions:

(1) Such remittances are made only for the necessary living expenses of the payee and his household and do not exceed $100 in any one calendar month to any one household;

(2) Such remittances are not made from a blocked account other than from an account in a banking institution within the United States in the name of, or in which the beneficial interest is held by, the payee or members of his household;

(3) Such remittances are not made from a blocked account which is blocked pursuant to Executive order 8389, as amended;

(4) If the payee is within any designated foreign country, such remittances must be made through a domestic bank and any domestic bank is authorized to effect such remittances which, however, may be effected only by the payment of the dollar amount of the remittance to a domestic bank for credit to a blocked account in the name of a banking institution within such country.

(b) This section does not authorize any remittance to, or for the benefit of, a specially designated national who is not within a designated foreign country.

(c) This section does not authorize any remittance to an individual for the purpose of defraying the expenses of a person not constituting part of his household.

(d) As used in this section, the term household shall mean:

(1) Those individuals sharing a common dwelling as a family; or

(2) Any individual not sharing a common dwelling with others as a family.

[28 FR 6974, July 9, 1963]

§ 500.522 Certain remittances to United States citizens in foreign countries.

(a) Remittances by any person through any domestic bank to any individual who is a citizen of the United States within any foreign country are hereby authorized and any domestic bank is authorized to effect such remittances, on the following terms and conditions:

(1) Such remittances do not exceed $1,000 in any one calendar month to any payee and his household and are made only for the necessary living and traveling expenses of the payee and his household, except that an additional sum not exceeding $1,000 may be remitted once to such payee if such sum will be used for the purpose of enabling the payee or his household to return to the United States;

(2) Such remittances are not made from a blocked account other than from an account in a banking institution within the United States in the name of, or in which the beneficial interest is held by, the payee or members of his household;

(3) If the payee is within any designated foreign country, such remittances must be made through a domestic bank and must be effected by the payment of the dollar amount of remittance to a domestic bank for credit to a blocked account in the name of a banking institution within such country.

(b) This section does not authorize any remittance to an individual for the purpose of defraying the expenses of a person not constituting part of his household.

(c) As used in this section, the term household shall mean:

(1) Those individuals sharing a common dwelling as a family; or

(2) Any individual not sharing a common dwelling with others as a family.
§ 500.523 Transactions incident to the administration of decedents’ estates.

(a) The following transactions are authorized in connection with the administration of the assets in the United States of any blocked estate of a decedent:

(1) The appointment and qualification of a personal representative;

(2) The collection and preservation of such assets by such personal representative and the payment of all costs, fees and charges in connection therewith; and

(3) The payment by such personal representative of funeral expenses and expenses of the last illness.

(4) Any transfer of title pursuant to a valid testamentary disposition.

This paragraph does not authorize any unblocking or distribution of estate assets to a designated national.

(b) In addition to the authorization contained in paragraph (a) of this section, all other transactions incident to the administration of assets situated in the United States of any blocked estate of a decedent are authorized if:

(1) The decedent was not a national of a designated foreign country at the time of his death;

(2) The decedent was a citizen of the United States and a national of a designated foreign country at the time of his death solely by reason of his presence in a designated foreign country as a result of his employment by, or service with the United States Government; or

(3) The assets are unblocked under a specific license issued pursuant to §500.568.

(c) Any property or interest therein distributed pursuant to this section to a designated national shall be regarded for the purpose of this chapter as property in which such national has an interest and shall accordingly be subject to all the pertinent sections of this chapter. Any payment or distribution of any funds, securities or other choses in action to a designated national shall be made by deposit in a blocked account in a domestic bank or with a public officer, agency, or instrumentality designated by the court having jurisdiction of the estate. Any such deposit shall be made in one of the following ways:

(1) In the name of the national who is the ultimate beneficiary thereof;

(2) In the name of a person who is not a national of a designated foreign country in trust for the national who is the ultimate beneficiary; or

(3) Under some other designation which clearly shows the interest therein of such national.

(d) Any distribution of property authorized pursuant to this section may be made to a trustee of any testamentary trust or to the guardian of an estate of a minor or of an incompetent.

(e) This section does not authorize:

(1) Any designated national to act as personal representative or co-representative of any estate;

(2) Any designated national to represent, directly or indirectly, any person who has an interest in an estate;

(3) Any designated national to take distribution of any property as the trustee of any testamentary trust or as the guardian of an estate of a minor or of an incompetent; or

(4) Any transaction which could not be effected if no designated national had any interest in such estate.

(f) Any payment or distribution authorized by this section may be deposited in a blocked account in a domestic bank or with a public officer, agency, or instrumentality designated by the court having jurisdiction of the estate in one of the ways prescribed in paragraphs (c) (1), (2) or (3) of this section, but this section does not authorize any other transaction directly or indirectly at the request, or upon the instructions of any designated national.


§ 500.524 Payment from, and transactions in the administration of certain trusts and estates.

(a) Any bank or trust company incorporated under the laws of the United States, or of any State, territory, possession, or district of the United States, or any private bank subject to supervision and examination under the banking laws of any State of the United States, acting as trustee of a trust created by gift, donation or bequest and administered in the United States of America, or any bank or trust company acting as personal representative or co-representative of a trust, may distribute any funds, securities or other choses in action heretofore acquired on behalf of a designated national and held in a blocked account to any other entity or individual, or deposit any such funds, securities or other choses in action in a domestic bank in a blocked account.

[54 FR 5232, Feb. 2, 1989]
States, or as legal representative of an estate of an infant or incompetent administered in the United States, in which trust or estate one or more persons who are designated nationals have an interest, beneficial or otherwise, or are co-trustees or co-representatives, is hereby authorized to engage in the following transactions:

(1) Payments of distributive shares of principal or income to all persons legally entitled thereto upon the condition prescribed in paragraph (b) of this section.

(2) Other transactions arising in the administration of such trust or estate which might be engaged in if no national of a designated foreign country were a beneficiary, co-trustee or co-representative of such trust or estate upon the condition prescribed in paragraph (b) of this section.

(b) Any payment or distribution of any funds, securities or other choses in action to a national of a designated foreign country under this section shall be made by deposit in a blocked account in a domestic bank in the name of the national who is the ultimate beneficiary thereof.

(c) Any payment or distribution into a blocked account in a domestic bank in the name of any such national of a designated foreign country who is the ultimate beneficiary of and legally entitled to any such payment or distribution is authorized by this section, but this section does not authorize such trustee or legal representative to engage in any other transaction at the request, or upon the instructions, of any beneficiary, co-trustee or co-representative of such trust or estate or other person who is a national of any designated foreign country.

(d) The application of this section to trusts is limited to trusts established by gift, donation, or bequest from individuals or entities to benefit specific heirs, charitable causes, and similar beneficiaries. This section does not apply to trusts established for business or commercial purposes, such as sinking funds established by an insurer of securities in order to secure payment of interest or principal due on such securities.


§ 500.525 Certain transfers by operation of law.

(a) The following transfers by operation of law are hereby authorized:

(1) Any transfer of any dower, curtesy, community property, or other interest of any nature whatsoever provided that such transfer arises solely as a consequence of the existence or change of marital status;

(2) Any transfer to any person by intestate succession.

(3) Any transfer to any person as administrator, executor, or other fiduciary by reason of any testamentary disposition; and

(4) Any transfer to any person as administrator, executor, or fiduciary by reason of judicial appointment or approval in connection with any testamentary disposition or intestate succession.

(b) Except to the extent authorized by § 500.523, § 500.568 or by any other license or authorization contained in or issued pursuant to this chapter no transfer to any person by intestate succession and no transfer to any person as administrator, executor, or other fiduciary by reason of any testamentary disposition, and no transfer to any person as administrator, executor, or fiduciary by reason of judicial appointment or approval in connection with any testamentary disposition or intestate succession shall be deemed to terminate the interest of the decedent in the property transferred if the decedent was a designated national.

(c) This section does not authorize any dealings in property by any person.


§ 500.526 Transactions involving blocked life insurance policies.

(a) The following transactions are hereby authorized:

(1) The payment of premiums and interest on policy loans with respect to any blocked life insurance policy;

(2) The issuance, servicing or transfer of any blocked life insurance policy in which the only blocked interest is that of one or more of the following:
§ 500.527 Certain transactions with respect to United States patents, trademarks, and copyrights.

(a) There are hereby authorized:

1. The filing in the United States Patent Office of applications for letters patent and for trademarks registration;
2. The making and filing in the United States Copyright Office of applications for registration or renewal of copyrights;
3. The prosecution in the United States Patent Office of applications for letters patent and for trademarks registration;
4. The receipt of letters patent or trademark registration certificates or copyright registration or renewal certificates granted pursuant to any such applications in which any designated national has at any time on or since the "effective date" had any interest.

(b) This section further authorizes, subject to the terms and conditions prescribed in paragraphs (c) and (d) of this section, the execution and recording of any instrument recordable in the United States Patent Office or the United States Copyright Office which affects title to or grants any interest in, including licenses under, any

(i) The effecting by a life insurance company or other insurer of loans to an insured;
(ii) The effecting on behalf of an insured of surrenders, conversions, modifications, and reinstatements; and
(iii) The exercise or election by an insured of non-forfeiture options, optional modes of settlement, optional disposition of dividends, and other policy options and privileges not involving payment by the insurer.

(c) The application, in accordance with the provisions of the policy or the established practice of the insurer, of the dividends, cash surrender value, or loan value, of any blocked life insurance policy is also hereby authorized for the purposes of:

1. Paying premiums;
2. Paying policy loans and interest thereon;
3. Establishing paid-up insurance; or
4. Accumulating such dividends or values to the credit of the policy on the books of the insurer.

(d) As used in this section:

1. The term blocked life insurance policy shall mean any life insurance policy or annuity contract, or contract supplementary thereto, in which there is a blocked interest.
2. Any interest of a national of a designated foreign country shall be deemed to be a "blocked interest."
3. The term servicing shall mean the following transactions with respect to any blocked life insurance policy:
   (i) The payment of premiums, the payment of loan interest, and the reimbursement of policy loans;
§ 500.528 Certain transactions with respect to blocked foreign patents, trademarks and copyrights authorized.

(a) The following transactions by any person who is not a designated national are hereby authorized:

(1) The filing and prosecution of any application for a blocked foreign patent, trademark or copyright, or for the renewal thereof;

(2) The receipt of any blocked foreign patent, trademark or copyright;

(3) The filing and prosecution of opposition or infringement proceedings with respect to any blocked foreign patent, trademark, or copyright, and the prosecution of a defense to any such proceedings;

(4) The payment of fees currently due to the government of any foreign country, either directly or through an attorney or representative, in connection with any transactions authorized by paragraphs (a) (1), (2) and (3) of this section or for the maintenance of any blocked foreign patent, trademark or copyright; and

(5) The payment of reasonable and customary fees currently due to attorneys or representatives in any foreign country incurred in connection with any of the transactions authorized by paragraphs (a) (1), (2), (3) or (4) of this section.

United States letters patent, trademark registration, copyright or renewal thereof, or application therefor, in which a designated national, who is such a national solely by reason of his relationship to an occupied area, has at any time on or since the "effective date" had any interest, or which constitutes or evidences a transaction made by, or on behalf of, or pursuant to the direction of or with such a designated national, or if any of the parties to such instrument is such a designated national.

(c) Any such instrument the recording or the execution and recording of which is authorized by paragraph (b) of this section shall be recorded in the United States Patent Office or in the United States Copyright Office within ninety days of the date of execution thereof or ninety days from the "effective date" whichever is the longer period, or within such further time as may be allowed by the Secretary of the Treasury. The person presenting such instrument for recording shall file therewith in the United States Patent Office or United States Copyright Office a statement that such instrument is being recorded in accordance with the provisions of this section.

(d) Any such instrument the recording or the execution and recording of which is authorized by paragraph (b) of this section may be set aside by the Secretary of the Treasury at any time within a period of three years from the date of recording except that the Secretary of the Treasury may in his discretion reduce such period of time with respect to any such instrument after the recording thereof, and further, the patents, trademarks, interests, applications, or rights thereunder so transferred may be vested by the Secretary of the Treasury.

(e) This section also authorizes the payment from blocked accounts or otherwise, of fees currently due to the United States Government in connection with any transactions authorized by this section.

(f) This section further authorizes the payment from blocked accounts or otherwise of the reasonable and customary fees and charges currently due to attorneys or representatives within the United States in connection with the transactions referred to in paragraphs (a), (b), and (e) of this section, provided that such payment shall not exceed (1) $100 for the preparation, filing, and prosecution of any letters patent; or (2) $50 for the preparation, filing and prosecution of any application for a trademark registration; or (3) $25 for the securing and registration of any copyright; or (4) $35 for the preparation and filing of any amendment to a pending application for letters patent or for a trademark registration.

(g) This section also authorizes the payment of a nominal consideration not exceeding one dollar, to any party to an instrument executed or recorded hereunder with respect to the property affected by such instrument, as long as such instrument is subject to being set aside in accordance with paragraph (d) of this section.
§ 500.529 Payments effected pursuant to the terms of paragraphs (a) (4) and (5) of this section may not be made from any blocked account.

(b) As used in this section the term blocked foreign patent, trademark, or copyright shall mean any patent, petty patent, design patent, trademark or copyright issued by any foreign country, in which a designated foreign country or national thereof has an interest, including any patent, petty patent, design patent, trademark, or copyright issued by a designated foreign country.


§ 500.529 Powers of attorney.

(a) No power of attorney, whether granted before or after the “effective date” shall be invalid by reason of any of the provisions of this chapter with respect to any transaction licensed by or pursuant to the provisions of this chapter.

(b) This section does not authorize any transaction pursuant to a power of attorney if such transaction is prohibited by §500.201 and is not otherwise licensed or authorized by or pursuant to this chapter.

(c) This section does not authorize the creation of any power of attorney in favor of any person outside of the United States or the exportation from the United States of any power of attorney.

§ 500.530 Exportation of powers of attorney or instructions relating to certain types of transactions.

(a) The exportation to any foreign country of powers of attorney or other instruments executed or issued by any person within the United States who is not a national of a designated foreign country, which are limited to authorizations or instructions to effect transactions incident to the following, are hereby authorized upon the condition prescribed in paragraph (b) of this section:

(1) The representation of the interest of such person in a decedent’s estate which is being administered in any designated foreign country and the collection of the distributive share of such person in such estate;

(2) The maintenance, preservation, supervision or management of any property located in any designated foreign country in which such person has an interest; and

(3) The conveyance, transfer, release, sale or other disposition of any property specified in paragraph (a)(1) of this section or any real estate or tangible personal property if the value thereof does not exceed the sum of $5,000 or its equivalent in foreign currency.

(b) No instrument which authorizes the conveyance, transfer, release, sale or other disposition of any property may be exported under this section unless it contains an express stipulation that such authority may not be exercised if the value of such property exceeds the sum of $5,000 or the equivalent thereof in foreign currency.

(c) As used in this section, the term “tangible personal property” shall not include cash, bullion, deposits, credits, securities, patents, trademarks, or copyrights.

§ 500.533 Exportations, reexportations, and incidental transactions.

(a) All transactions ordinarily incident to the exportation of goods, software, or technology (including technical data) from the United States or reexportation of U.S.-origin goods, software, or technology from a foreign country to any person in a designated foreign country or to the government of a designated foreign country, are hereby authorized, provided that the exportation or reexportation is licensed or otherwise authorized by the Department of Commerce under the Export Administration Regulations (15 CFR parts 730–799).

(b) The general license does not authorize the financing of any transaction from a blocked account.

NOTE TO §500.533: See note to §500.586(b).

[65 FR 38165, June 19, 2000]

§ 500.535 Exchange of certain securities.

(a) Subject to the limitations and conditions of paragraph (b) of this section and notwithstanding §500.202 of this chapter, any banking institution within the United States is authorized
to engage in the following transactions with respect to securities listed on a national securities exchange, including the withdrawal of such securities from blocked accounts:

(1) Exchange of certificates necessitated by reason of changes in corporate name, par value or capitalization,
(2) Exchanges of temporary for permanent certificates,
(3) Exchanges or deposits under plans of reorganization,
(4) Exchanges under refunding plans, or
(5) Exchanges pursuant to conversion privileges accruing to securities held.

(b) This section does not authorize the following transactions:

(1) Any exchange of securities unless the new securities and other proceeds, if any, received are deposited in the blocked account in which the original securities were held immediately prior to the exchange.
(2) Any exchange of securities registered in the name of any designated national, unless the new securities received are registered in the same name in which the securities exchanged were registered prior to the exchange.
(3) Any exchange of securities issued by a person engaged in the business of offering, buying, selling, or otherwise dealing, or trading in securities, or evidences thereof, issued by another person.
(4) Any transaction with respect to any security by an issuer or other obligor who is a designated national.

[16 FR 767, Jan. 27, 1951]

§ 500.536 Certain transactions with respect to merchandise affected by § 500.204.

(a) With respect to merchandise the importation of which is prohibited by § 500.204, all Customs transactions are authorized except the following:

(1) Entry for consumption (including any appraisement entry, any entry of goods imported in the mails, regardless of value, and any other informal entries);
(2) Entry for immediate exportation;
(3) Entry for transportation and exportation;
(4) Withdrawal from warehouse;
(5) Transfer or withdrawal from a foreign-trade zone; or
(6) Manipulation or manufacture in a warehouse or in a foreign-trade zone.

(b) Paragraph (a) of this section is intended solely to allow certain restricted disposition of merchandise which is imported without proper authorization. Paragraph (a) does not authorize the purchase or importation of any merchandise.

(c) The purchase outside the United States for importation into the United States of merchandise specified in § 500.204 (other than merchandise to which § 500.204(a)(1) is applicable) and the importation of such merchandise into the United States (including transactions listed in paragraph (a) of this section) are authorized if there is presented to the collector of customs in connection with such importation the original of an appropriate certificate of origin as defined in paragraph (d) of this section and provided that the merchandise was shipped to the United States directly, or on a through bill of lading, from the country issuing the appropriate certificate of origin.

(d) A certificate of origin is appropriate for the purposes of this section only if:

(1) It is a certificate of origin the availability of which for Foreign Assets Control purposes has been announced in the FEDERAL REGISTER by the Office of Foreign Assets Control; and
(2) It bears a statement by the issuing agency referring to the Foreign Assets Control Regulations and stating that the certificate has been issued under procedures agreed upon with the United States Government.


§ 500.549 Proof of origin.

Specific licenses for importation of goods the origin of which is North Korea, North Viet-Nam, Cambodia, or South Viet-Nam are generally not issued unless the applicant submits satisfactory documentary proof of the location of the goods outside North Korea, North Viet-Nam, Cambodia, or South Viet-Nam prior to the applicable
§ 500.550 Transactions related to information and informational materials.

(a) All financial and other transactions directly incident to the importation or exportation of information or informational materials as defined in §500.332 of this part are authorized.

(b) Transactions relating to the dissemination of information or informational materials are authorized, including remittance of royalties paid for information or informational materials that are reproduced, translated, subtitled, or dubbed. This section does not authorize the remittance of royalties or other payments relating to works not yet in being, or for marketing and business consulting services, or artistic or other substantive alteration or enhancements to information or informational materials, as provided in §500.206(c).


§ 500.551 Reimports.

Specific licenses are issued for reimportation of merchandise subject to §500.204 on proof of the export of the identical merchandise from the United States. Persons planning to export any such merchandise for exhibition, repair, or for any other purpose should first ascertain that reimportation will be authorized. Generally, reimportation is authorized only if Customs Form 4455 was completed at the time of export.

[40 FR 7650, Feb. 21, 1975]

§ 500.552 Research samples.

Specific licenses are issued for importation of commodities subject to §500.204 for bona fide research purposes in sample quantities only.

[40 FR 7650, Feb. 21, 1975]

§ 500.553 Prior contractual commitments not a basis for licensing.

Specific licenses are not issued on the basis that an unlicensed firm commitment or payment has been made in connection with a transaction prohibited by §500.204. Contractual commitments to engage in transactions subject to the prohibitions in §500.204 should not be made, unless the contract specifies that the transaction is authorized by a general license or that it is subject to the issuance of a specific Foreign Assets Control license.

[40 FR 7650, Feb. 21, 1975]

§ 500.554 Gifts of North Korean, North Vietnamese, Cambodian, or South Vietnamese origin.

(a) Except as stated in paragraph (b) of this section and in §500.550, specific licenses are not issued for the importation of North Korean, North Vietnamese, Cambodian, or South Vietnamese origin goods sent as gifts to persons in the United States or acquired abroad as gifts by persons entering the United States. However, licenses are issued, upon request, for the return of such goods to the donors in countries other than North Korea, North Viet-Nam, Cambodia, or South Viet-Nam.

(b) Specific licenses are issued for the importation directly from North Korea, North Viet-Nam, Cambodia, or South Viet-Nam:

(1) Of goods which are claimed by the importer to have been sent as a bona fide gift and

(2) Of goods which are claimed to have been acquired in North Korea, North Viet-Nam, Cambodia, or South Viet-Nam as a bona fide gift, subject to the conditions that:

[34]
(i) The goods are of small value, and
(ii) There is no reason to believe that there is, or has been since the applicable effective date, any direct or indirect financial or commercial benefit to North Korea, North Viet-Nam, Cambodia, or South Viet-Nam or nationals thereof from the importation.

[41 FR 16555, Apr. 20, 1976]

§ 500.556 Joint bank accounts.

Specific licenses are issued unblocking a portion of or all of a blocked joint bank account where a non-blocked applicant claims beneficial ownership, as follows:

(a) **Joint bank account, without survivorship provisions.** Specific licenses are issued unblocking only that amount with respect to which the applicant is able to prove beneficial ownership by documentary evidence independent of his assertions of interest.

(b) **Joint bank account, with survivorship provision.** Specific licenses are issued unblocking an amount equivalent to that portion of the total amount to which the applicant would be entitled if the total were divided evenly among the persons in whose names the account is held (e.g. 50 percent where there are two names; 33⅓ percent where there are three names). Such licenses are issued on the basis of applicant’s assertions of beneficial ownership interest without the requirement of independent evidence.

[40 FR 7650, Feb. 21, 1975]

§ 500.557 Proceeds of insurance policies.

(a) Specific licenses are issued authorizing payment of the proceeds of blocked life insurance policies issued on the life of a North Korean, North Vietnamese, Cambodian, or South Vietnamese national, who died in one of those countries after the applicable effective date to certain beneficiaries licensed as unblocked nationals pursuant to § 500.555, as follows:

(1) The applicant is a permanent resident of the United States or the authorized trade territory and is not a specially designated national; and

(2) No interest on the part of a designated national not licensed as an unblocked national exists in that portion of the funds to which the applicant is entitled.

(b) Applications for specific licenses under this section must include all of the following information:

(1) Proof of permanent residence in the United States or the authorized trade territory, to be established by the submission of documentation issued by relevant government authorities that must include at least two of the following documents:

   (i) Passport;
   (ii) Voter registration card;
   (iii) Permanent resident alien card; or
   (iv) National identity card.

Other documents tending to show residency, such as income tax returns, may also be submitted in support of government documentation, but will not suffice in and of themselves; and

(2) Proof of entitlement under the insurance policy to be established by a copy of the policy and an affidavit from an appropriate officer of a recognized insurance company acknowledging the legitimacy of the beneficiary’s claim and the amount of the payment.

(c) Any document provided pursuant to this section that is not written in the English language must be accompanied by a translation into English, as well as a certification by the translator that he is not an interested party to the proceeding, is qualified to make the translation, and has made an accurate translation of the document in question.

[54 FR 5232, Feb. 2, 1989]

§ 500.558 Accounts of blocked partnerships.

Specific licenses are issued unblocking partnerships established under the laws of North Korea, North Viet-Nam, Cambodia, or South Viet-Nam, as follows:

(a) Where all of the general partners and limited partners, if any, have emigrated from North Korea, North Viet-Nam, Cambodia, or South Viet-Nam and have established residence in the United States or in a country in the authorized trade territory, specific licenses are issued unblocking the assets of the partnership after deducting the total debt due creditors wherever located.
§ 500.559 Accounts of North Korean, North Vietnamese, Cambodian, or South Vietnamese sole proprietorships.

Specific licenses are issued unblocking sole proprietorships established under the laws of North Korea, North Viet-Nam, Cambodia, or South Viet-Nam if the proprietor has emigrated from those countries and established residence in the United States or a country in the authorized trade territory. Such licenses do not unblock any indebtedness of the proprietorship due to persons in North Korea, North Viet-Nam, Cambodia, or South Viet-Nam.


§ 500.560 Bank accounts of official representatives of foreign governments in North Korea, North Viet-Nam, Cambodia, or South Viet-Nam.

Specific licenses are issued authorizing payments from accounts of official representatives of foreign governments in North Korea, North Viet-Nam, Cambodia, or South Viet-Nam for transactions which are not inconsistent with the purposes of any of the regulations in this chapter.


§ 500.561 Transfers of abandoned property under State laws.

(a) Except as stated in paragraphs (b) and (c) of this section, specific licenses are not issued authorizing the transfer of blocked property to State agencies under State laws governing abandoned property.

(b) Specific licenses are issued authorizing the transfer of blocked property, pursuant to the laws of the State governing abandoned property, to the appropriate State agency. Provided, That the State's laws are custodial in nature, i.e., there is no permanent transfer of beneficial interest to the State. Licenses require the property to be held by the State in accounts which are identified as blocked under the regulations. A separate index of these blocked assets is required to be maintained by the State agency. The requirements of this section for identification and separate indexing of blocked assets apply to all blocked assets held by State agencies and any licenses issued prior to the effective date of this section hereby are amended by the incorporation of such requirements.

(c) To be eligible for a specific license under this section, the state agency must demonstrate that it has the statutory authority under appropriate state law to comply with the requirements of §500.205. Such a showing shall include an opinion of the State Attorney General that such statutory authority exists.

[44 FR 11767, Mar. 2, 1979, as amended at 50 FR 27437, July 3, 1985]
Office of Foreign Assets Control, Treasury

§ 500.562 [Reserved]

§ 500.563 Transactions incident to travel to and within North Korea.

(a) All transactions of persons subject to U.S. jurisdiction, including travel service providers, ordinarily incident to travel to, from, and within North Korea and to maintenance within North Korea are authorized. This authorization extends to transactions with North Korean carriers and those involving group tours, payment of living expenses, the acquisition of goods in North Korea for personal use, and normal banking transactions involving currency drafts, charge, debit or credit cards, traveler’s checks, or other financial instruments negotiated incident to personal travel.

(b) The purchase of merchandise in North Korea by persons subject to U.S. jurisdiction, and importation as accompanied baggage, is limited to goods with a foreign market value not to exceed $100 per person for personal use only. Such merchandise may not be resold. This authorization may be used only once in every six consecutive months. As provided in §500.206 of this part, information and informational materials are exempt from this restriction.

(c) This section does not authorize any debit to a blocked account.

(60 FR 8935, Feb. 16, 1995)

§ 500.564 [Reserved]

§ 500.565 Family remittances to nationals of Vietnam and Cambodia.

(a) The remittances specified in this section are authorized to be made to any close relative of the remitter or of the remitter’s spouse, provided that the relative is a national of Vietnam or Cambodia, is a resident of Vietnam, Cambodia, or a country to which private remittances to nationals are not generally prohibited pursuant to this chapter, and is not a specially designated national.

(b) Remittances made pursuant to this section may be made only as follows:

(1) For the support of the payee, or for the support of the payee and members of his household, in amounts not exceeding $300 in any consecutive 3-month period to any one payee or to any household; and

(2) For the purpose of enabling the payee to emigrate from Vietnam or Cambodia, in an amount not exceeding $750, to be made only once to any one payee, provided that the payee is a resident of and within Vietnam or Cambodia.

(c) The term close relative used with respect to any person means spouse, child, grandchild, parent, grandparent, uncle, aunt, brother, sister, nephew, niece or spouse, widow, or widower of any of the foregoing.

(d) The term member of a household used with respect to any person means a close relative sharing a common dwelling with such person.

(e) This section does not authorize remittances from blocked accounts.

(f) Specific licenses may be issued authorizing a U.S. financial institution to establish direct correspondent banking relations with a Vietnamese or Cambodian bank or banks for the sole purpose of facilitating the remittance of funds authorized by this section.

(56 FR 20349, May 3, 1991)

§ 500.566 Certain transactions authorized on behalf of North Korean nationals incident to their travel and maintenance expenses.

(a) Except as provided in paragraph (b) of this section, the following transactions are authorized by or on behalf of a national of North Korea who enters the United States on a visa issued by the Department of State:

(1) All transactions ordinarily incident to travel to, from, and within the United States are authorized, including the importation into the United States of accompanied baggage for personal use;

(2) All transactions ordinarily incident to travel and maintenance within the United States, including payment of living expenses and the acquisition of goods in the United States for personal use; and

(3) Normal banking transactions involving foreign currency drafts, traveler’s checks, or other instruments negotiated incident to personal travel in the United States.
§ 500.567

(b) This section does not authorize any debit to a blocked account.


[49 FR 24994, June 19, 1984, as amended at 55 FR 33720, Aug. 21, 1985]

§ 500.568 U.S. assets of blocked debtors.

(a) Specific licenses may be issued unblocking the net pro rata shares of certain heirs of designated nationals in U.S.-located estate assets, after deducting the total debt due creditors for claims that accrued prior to the effective date, in cases where all of the following conditions are met:

(1) The applicant is a permanent resident of the United States or the authorized trade territory and is not a specially designated national; and

(2) No interest on the part of a designated national not licensed as an unblocked national pursuant to §500.565 exists in that portion of the assets to which the applicant is entitled.

(b) Applications for specific licenses under this section must include all of the following information:

(1) Proof of permanent residence in the United States or the authorized trade territory, to be established by a death certificate; and

(2) Proof of death of the designated national to be established by a death certificate; or

(iv) National identity card. Other documents tending to show residency, such as income tax returns, may also be submitted in support of government documentation, but will not suffice in and of themselves;

(2) Proof of death of the designated national to be established by a death certificate;

(3) Proof of heirship, to be established by a copy of the decedent’s duly executed will certified by a probate court, a court decree determining the heirs, or, failing the availability of such documents, copies of certificates establishing the relationship of the heir to the deceased, e.g., birth or marriage certificates; and

(5) Detailed information regarding the status of all debts and other obligations of the corporation, specifying the citizenship and residence of each creditor on the effective date and on the date of the application.

[50 FR 33720, Aug. 21, 1985]
(4) A description of the assets involved, including interest due on blocked funds since April 1, 1979, the name and address of the institution in which the assets are held, the account or safe deposit box number, the name in which the assets are held and a statement of all known encumbrances or claims against them.

(c) Any document provided pursuant to this section that is not written in the English language must be accompanied by a translation into English, as well as a certification by the translator that he is not an interested party to the proceeding, is qualified to make the translation, and has made an accurate translation of the document in question.

[54 FR 5232, Feb. 2, 1989]

§ 500.569 [Reserved]

§ 500.570 Cambodian property unblocked.

All transactions otherwise prohibited by this part which involve property in which Cambodia or a national thereof has an interest, other than property blocked in the name of the Exchange Support Fund for the Khmer Republic, are authorized.

[59 FR 60559, Nov. 25, 1994]

§ 500.571 Transactions related to telecommunications authorized.

All transactions of U.S. common carriers incident to the receipt or transmission of telecommunications involving North Korea are authorized.

Note: Exports or reexports to North Korea of goods and technical data, or of the direct products of technical data (regardless of U.S. content), not prohibited by this part may require authorization from the U.S. Department of Commerce pursuant to the Export Administration Regulations, 15 CFR parts 768–799.


§ 500.572 Humanitarian projects authorized.

(a) All transactions by non-governmental organizations incident to carrying out humanitarian projects in Vietnam are authorized. For purposes of this section, the term ‘‘non-governmental organization’’ shall mean any private voluntary organization accorded tax exempt status under §501(c)(3) of the Internal Revenue Code, as well as any other organization engaged in voluntary charitable assistance activities that receives funding from private sources, including but not limited to accredited degree-granting institutes of education, private foundations and research institutions.

(b) The non-governmental organization carrying out humanitarian projects in Vietnam pursuant to this authorization shall file an initial report within 10 business days after the formal commencement of U.S. activities on the project with the Office of Foreign Assets Control, Compliance Division, U.S. Department of the Treasury, 1500 Pennsylvania Avenue NW.—Annex, Washington, DC 20220, stating:

(1) The name, address, and telephone number of the non-governmental organization, and the officer charged with supervision of the project in Vietnam; and

(2) The nature, scope, purpose, and location of the project in Vietnam.

[57 FR 20766, May 15, 1992]

§ 500.573 Certain donations of funds and goods to meet basic human needs authorized.

(a) The donation of funds for the purpose of contributing to the provision of humanitarian assistance to victims of natural disasters in North Korea is authorized, provided that such donations may only be made through the United Nations, related UN programs and specialized agencies, the American Red Cross and the International Committee of the Red Cross.

(b) With respect to transactions not within the scope of the general license contained in §500.533 of this part, all transactions incident to the donation to North Korea of goods to meet basic human needs are authorized. For purposes of this section, goods to meet basic human needs shall be defined by reference to the Humanitarian License Procedure set forth in 15 CFR 773.5 (c) and (d) and supplement no. 7 to part 773 of the Export Administration Regulations.

Note: Exports from the United States to North Korea or reexports to North Korea of
§ 500.574 Executory contracts and related transactions authorized.

(a) Executory contracts. (1) Persons subject to U.S. jurisdiction are authorized to enter into executory contracts with Vietnam or Vietnamese nationals, or executory contracts in which Vietnam or a Vietnamese national has an interest, the performance of which is contingent upon the lifting or modification of the embargo on Vietnam to permit such performance.

(2) Within 10 business days of signing an executory contract authorized pursuant to paragraph (a) of this section, the person subject to U.S. jurisdiction must file a copy of the contract with the Office of Foreign Assets Control, Compliance Programs Division, 1500 Pennsylvania Avenue, NW.—Annex 2131, Washington, DC 20220, referencing the fact that the contract was entered into pursuant to 31 CFR 500.574(a).

(3) Specific licenses will be issued on a case-by-case basis to authorize financial transactions such as the payment of deposits, earnest money, signing bonuses, and administrative and registration fees incident to the signature of specific executory contracts authorized pursuant to paragraph (a)(1) of this section. The number of the pertinent license must be referenced in all funds transfers and other banking transactions through banks subject to U.S. jurisdiction made in connection with the contract.

(b) Preparatory transactions. (1) Specific licenses will be issued authorizing commercial and financial transactions necessary to obtaining and preparing to perform executory contracts authorized pursuant to paragraph (a)(1) of this section. These commercial and financial transactions include:

(i) Opening offices in Vietnam;
(ii) Hiring staff;
(iii) Writing and designing plans;
(iv) Carrying out preliminary feasibility studies and engineering and technical surveys; and
(v) Import, export, and service transactions incident to the foregoing.

(2) Specific licenses issued pursuant to paragraph (b)(1) of this section will, to the extent feasible, encompass commercial and financial transactions incident to the licensed commercial purpose or activity.

Note: Exports or reexports to Vietnam of goods and technical data, or of the direct products of technical data (regardless of U.S. content), in connection with activities licensed by FAC may require authorization from the U.S. Department of Commerce pursuant to the Export Administration Regulations, 15 CFR parts 768–799.

(3) The number of the pertinent license must be referenced in all funds transfers and other banking transactions through banks subject to U.S. jurisdiction in connection with preparatory transactions under paragraphs (b)(1) and (2) of this section.

[57 FR 62230, Dec. 30, 1992]

§ 500.575 Certain services to Vietnamese nationals authorized.

(a) Specific licenses may be issued on a case-by-case basis for the provision in the United States or a third country of business orientation or training services to Vietnamese nationals. The orientation or training program may pertain only to industrial or commercial processes, or to specific equipment and related technical data both of which are eligible for export under a general license to Country Group Y, as set forth in Supplement No. 1 to part 770 of the Export Administration Regulations, 15 CFR parts 768–799. Licenses issued pursuant to this section will not authorize Vietnamese participation in orientation or training programs with respect to specific equipment and related technical data that may not be exported under a general license to Country Group Y pursuant to the Export Administration Regulations. Training programs may involve instruction on the maintenance or operation of a particular product, but may not involve instruction in a product’s design or manufacture.

Note: The transfer of mass-market software and certain technical data eligible for export to most destinations under General License GTDU to Vietnamese nationals may require additional authorization from the

(a) All transactions by persons subject to U.S. jurisdiction in connection with participation in development projects in Vietnam formally proposed or approved for execution, funding or sponsorship by the international institutions listed in appendix A to this part ("Qualified Projects") are authorized. For purposes of this section, Qualified Projects include investment projects, structural adjustment lending, sector adjustment lending, International Monetary Fund balance-of-payments support, and general development assistance including grants, technical assistance, and loans.

(b) Persons subject to U.S. jurisdiction may provide both goods and services to any party contracting to participate in a Qualified Project pursuant to the authorization contained in this section.

1. Services may include financial, legal, consulting, insurance, shipping and other services.

2. Persons subject to U.S. jurisdiction may participate in Qualified Projects as suppliers, contractors, or subcontractors, and through joint ventures with third-country nationals and Vietnamese nationals.

3. Persons subject to U.S. jurisdiction may finance, or guarantee the performance of activities of U.S. participants in a Qualified Project; co-financing of or lending to the Qualified Project itself by a person subject to U.S. jurisdiction may be authorized by specific license pursuant to §500.801. Illustrative examples of transactions covered by this section are set forth in §500.413.

(c) Except as otherwise authorized, persons subject to U.S. jurisdiction may not participate in development projects in Vietnam that are bilaterally funded and administered, or in projects or feasibility studies prior to formal proposal or approval by a qualified international institution for its involvement in the project or study. If a qualified international institution formally proposes but thereafter rejects, terminates, or abandons a project, the project shall no longer constitute a Qualified Project for purposes of this section. Except as otherwise specifically authorized pursuant to this part, persons subject to U.S. jurisdiction may not enter into any new commitments with respect to the project after the date of such rejection, termination, or abandonment. In addition, this section does not authorize:

1. The importation of Vietnamese-origin goods into the United States, except as required to honor service or warranty contracts associated with Qualified Projects;

2. Offshore transactions of persons subject to U.S. jurisdiction involving the sale of Vietnamese-origin goods between Vietnam and third countries, or among third countries;

3. Flights into or out of Vietnam by aircraft owned or controlled by persons subject to U.S. jurisdiction, except when such persons transport, on aircraft they own, only passengers or cargo associated with a Qualified Project in which such persons are participating pursuant to this section;

4. The use in Vietnam of credit cards issued by a U.S. banking institution; or

5. A debit to a blocked account.

Example: A Vietnamese highway project feasibility study financed by a third-country development agency is not a Qualified Project for purposes of this section. However, the feasibility study would be a Qualified Project, notwithstanding the bilateral funding, if the International Development Association had formally proposed the highway project as one under consideration for
funding in its Monthly Operational Summary of World Bank and IDA Proposed Projects.

(d) Within 10 business days after entering into an agreement for goods, services, financing, investment, or other participation in or related to a Qualified Project, the person(s) subject to U.S. jurisdiction entering into the agreement must register with the Office of Foreign Assets Control, Compliance Division, U.S. Department of the Treasury, 1500 Pennsylvania Avenue, NW.—Annex, Washington, DC 20220. The registration shall reference the fact that the agreement was entered into pursuant to 31 CFR 500.576(a), and shall provide:

1. The name, address, telephone and facsimile numbers, and nationality of the person(s) subject to U.S. jurisdiction;
2. If the reporting party is not an individual, the name, address, telephone and facsimile numbers of the individual to contact for further information;
3. The name of the international institution listed in appendix A formally proposing, approving, executing, funding, or sponsoring the project;
4. The name and a brief description of the project in Vietnam (with any contract, project, request for bid, or other identifying number);
5. A brief description of the activity covered by the agreement, and the contract value; and
6. If the reporting party is a subcontractor, the prime contractor’s name, address, and nationality, and those of all intermediate subcontractors.

Registration is not required of agencies of the Federal Government participating in Qualified Projects.

(e) Upon registration meeting the requirements of paragraph (d) of this section, the Office of Foreign Assets Control will assign a registration number to the contract involved. This number should be referenced in all funds transfers and other banking transactions that take place through banks subject to U.S. jurisdiction, and in all U.S. export documents, in connection with the Qualified Project in Vietnam in order to avoid the blocking of such funds and to facilitate export transactions.

(f) Annual reports must be filed with the Office of Foreign Assets Control on the anniversary of the issuance of a contract registration number, briefly describing the status of the project and any material changes in the information originally provided.

Note to §500.576: Exports or reexports to Vietnam of goods and technical data, or of the direct products of technical data (regardless of U.S. content), in connection with activities licensed by FAC may require authorization from the U.S. Department of Commerce pursuant to the Export Administration Regulations, 15 CFR parts 768-799.

§ 500.577 Authorization of bank transactions with respect to Vietnam by certain international organizations.

All transactions by banking institutions subject to U.S. jurisdiction incidental to the processing of transactions of the international institutions identified in appendix A with reference to Vietnam are authorized.

Example: A transfer to Vietnam or a Vietnamese national of funds from the U.S. account of a qualified international institution listed in appendix A to this part, for a program, rent or salary payment, is not blocked under this part.

§ 500.578 Vietnamese property unblocked.

All transactions otherwise prohibited by this part which involve property in which a designated national of Vietnam has an interest are authorized.

§ 500.579 Authorization for release of certain blocked transfers by banking institutions subject to U.S. jurisdiction.

(a) Banking institutions subject to the jurisdiction of the United States are authorized to unblock and return to the remitting party funds that were blocked pursuant to this part because of an interest of Vietnam or a Vietnamese national and that came into their possession or control by wire transfer or check remittance received after December 31, 1989, provided that no funds are released to the Government of Vietnam or any person in Vietnam.

(b) Specific licenses may be issued authorizing the return to the remitting
§ 500.584 Energy sector projects in North Korea.

Specific licenses may be issued to permit persons subject to U.S. jurisdiction to participate in certain energy sector projects in North Korea in connection with that country's transition to light-water reactor ("LWR") power plants. Transactions that may be licensed include those related to LWR power plant design, site preparation, excavation, delivery of essential non-nuclear components including turbines and generators, building construction, the disposition of spent nuclear fuel, and the provision of heavy oil to North Korea.
§ 500.585 Payments for services rendered by North Korea to United States aircraft authorized.

Payments to North Korea of charges for services rendered by the Government of North Korea in connection with the overflight of North Korea or emergency landing in North Korea by aircraft owned or controlled by a person subject to the jurisdiction of the United States or registered in the United States are authorized.


§ 500.586 Authorization of new transactions concerning certain North Korean property.

(a) Subject to the limitations in paragraph (b) of this section, transactions in which North Korea or a national thereof has an interest are authorized where:

(1) The property comes within the jurisdiction of the United States or into the control or possession of a person subject to the jurisdiction of the United States on or after June 19, 2000; or

(2) The interest in the property of North Korea or a North Korean national arises on or after June 19, 2000.

(b)(1) Unless otherwise authorized by the Office of Foreign Assets Control, all property and interests in property of North Korea or its nationals that were blocked pursuant to subpart B of this part as of June 16, 2000, remain blocked and subject to the prohibitions and requirements of this part:

(2)(i) The importation of products into the United States from North Korea requires approval from the Office of Foreign Assets Control. The person seeking to import products into the United States must provide information relevant to the determination whether the product was produced by

(A) A foreign person whose actions triggered import sanctions under sections 73 and 74 of the Arms Export Control Act;

(B) An activity of the government of North Korea relating to the development or production of any missile equipment or technology; or

(C) An activity of the government of North Korea affecting the development or production of electronics, space systems or equipment, and military aircraft.

(ii) Those seeking to import products from North Korea into the United States must submit all available information satisfying the requirements of paragraph (b)(2)(i) of this section; the name, address, telephone number, facsimile number, and e-mail address of the importer; a description of the product to be imported, including quantity and cost; the name and address of the producer of the product; the name of the location where the product was produced; and the name and address of the North Korean exporter. Requests for import review should be submitted by mail to North Korea Unit, Office of Foreign Assets Control, U.S. Department of the Treasury, 1500 Pennsylvania Avenue, NW, Annex, Washington, DC 20220. Upon review of the submitted information, the Office of Foreign Assets Control will issue a letter indicating the results of the review to the person seeking to import the product.

(3) Except as authorized by §500.580 or unless otherwise authorized by the Office of Foreign Assets Control, persons subject to the jurisdiction of the United States are prohibited from engaging in any transfer from the government of North Korea:

(i) Constituting a donation to a person subject to the jurisdiction of the United States; or

(ii) With respect to which a person subject to the jurisdiction of the United States knows (including knowledge based on advice from an agent of the United States Government), or has reasonable cause to believe, that the transfer poses a risk of furthering terrorist acts in the United States.

(4) This section does not affect any open enforcement action initiated by the U.S. government prior to June 19, 2000 or any seizure, forfeiture, penalty, or liquidated damages case that is considered closed in accordance with U.S. Customs or other agency regulations. This section also does not authorize the importation into the United States
Office of Foreign Assets Control, Treasury

§ 500.602 Reporting of claims of U.S. nationals against North Korea.

(a) Requirement for reports. Reports are required to be filed on or before March 9, 1998, in the manner prescribed in this section, with respect to all outstanding claims held by United States nationals against the Government of North Korea or any North Korean government entity.

(b) Who must report. A report must be submitted by each U.S. national having a claim outstanding against the Government of North Korea or any North Korean government entity. Reports should be submitted only by persons who were U.S. citizens or entities organized under the laws of a U.S. jurisdiction on the date of the loss.

(c) How to register. U.S. nationals filing reports of claims must submit a letter containing the information required by paragraph (f) of this section. The letter must be sent to the Blocked Assets Division, Office of Foreign Assets Control, Department of the Treasury, 1500 Pennsylvania Ave., NW.—Annex, Washington, DC 20220, to arrive by March 9, 1998. A copy of the submission should be kept by the claimant.

(d) Certification. Every report shall bear the signature of the claimant or a person authorized by the claimant to sign the report. The signature will certify that, to the best of the reporter’s knowledge, the statements set forth in the report, including any papers attached to or filed with the report, are true and accurate, and that all material facts in connection with the report have been set forth.

(e) Confidentiality of reports. Reports submitted pursuant to this section are regarded as privileged and confidential.

(f) Contents of report. The report must contain the following information (with responses numbered to correspond with the numbers used below):

(i) Identification of claimant.

(ii) Claimant’s Legal Name.

(iii) Claimant’s Address.

(iv) Telephone number of individual to contact regarding the report.

(v) If claimant is a corporation or business, state the place of incorporation and principal place of business.

(vi) Information concerning claim.

(A) Amount of loss in U.S. dollars (indicate exchange or interest rates and
§ 500.701 Penalties.

For provisions relating to penalties, see part 501, subpart D, of this chapter.

[68 FR 53641, Sept. 11, 2003]

Subpart H—Procedures

§ 500.801 Procedures.

For license application procedures and procedures relating to amendments, modifications, or revocations of licenses; administrative decisions; rulemaking; and requests for documents pursuant to the Freedom of Information and Privacy Acts (5 U.S.C. 552 and 552a), see part 501, subpart E, of this chapter.

its face the number of the license pursuant to which it is filed. The original copy of the specific license shall be presented to the director in respect to each such transaction and shall bear a notation in ink by the licensee or person presenting the license showing the description, quantity, and value of the merchandise to be entered, withdrawn or otherwise dealt with. This notation should be so placed and so written that there will exist no possibility of confusing it with anything placed on the license at the time of its issuance. If the license in fact authorizes the entry, withdrawal or other transaction with regard to the merchandise, the director, or other authorized customs employee, shall verify the notation by signing or initialing it after first assuring himself that it accurately describes the merchandise it purports to represent. The license shall thereafter be returned to the person presenting it and the additional copy of the entry, withdrawal or other appropriate document shall be forwarded by the director to the Office of Foreign Assets Control, Treasury Department, Washington, DC 20220.

(c) Whenever a person shall present an entry, withdrawal or other appropriate document affected by this section and shall assert that no specific Foreign Assets Control license is required in connection therewith, the director of customs shall withhold action thereon, and shall advise such person to communicate directly with the Office of Foreign Assets Control to request that instructions be issued to the director to authorize him to take action with regard thereto.


Subpart I—Miscellaneous Provisions

§500.901 Paperwork Reduction Act notice.

For approval by the Office of Management and Budget (“OMB”) under the Paperwork Reduction Act of information collections relating to record-keeping and reporting requirements, to licensing procedures (including those pursuant to statements of licensing policy), and to other procedures, see §501.901 of this chapter. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid control number assigned by OMB. The information collection requirement in §500.602 has been approved by the Office of Management and Budget and assigned control number 1505–0160.


APPENDIX A TO PART 500—QUALIFYING INTERNATIONAL INSTITUTIONS

Asian Development Bank (ADB)
Food and Agricultural Organization (FAO)
International Bank for Reconstruction and Development (IBRD, the “World Bank”)
International Civil Aviation Organization (ICAO)
International Development Association (IDA)
International Finance Corporation (IFC)
International Fund for Agricultural Development (IFAD)
International Labor Organization (ILO)
International Maritime Organization (IMO)
International Monetary Fund (IMF)
Multilateral Investment Guarantee Association (MIGA)
UN Capital Development Fund (UNCDF)
UN Children’s Fund (UNICEF)
UN Development Fund for Women (UNDFW)
UN Development Program (UNDP)
UN Economic & Social Commission for Asia and the Pacific (UNESCAP)
UN Education, Scientific and Cultural Organization (UNESCO)
UN Environment Program (UNEP)
UN Food Program (UNFP)
UN Industrial Development Organization (UNIDO)
UN International Drug Control Program (UNDCP)
UN Population Fund (UNPF)
World Health Organization (WHO)
World Meteorological Organization (WMO)

[58 FR 68532, Dec. 28, 1993]
and license application and other procedures governing transactions regulated pursuant to other parts codified in this chapter, as well as to economic sanctions programs for which implementation and administration are delegated to the Office of Foreign Assets Control. Substantive prohibitions and policies particular to each economic sanctions program are not contained in this part but are set forth in the particular part of this chapter dedicated to that program, or, in the case of economic sanctions programs not yet implemented in regulations, in the applicable executive order or other authority. License application procedures and reporting requirements set forth in this part govern transactions undertaken pursuant to general or specific licenses. The criteria for general and specific licenses pertaining to a particular economic sanctions program are set forth in subpart E of the individual parts in this chapter. Statements of licensing policy contained in subpart E of the individual parts in this chapter, however, may contain additional information collection provisions that require production of specified documentation unique to a given general license or statement of licensing policy.


Subpart C—Reports

§ 501.601 Records and recordkeeping requirements.

Except as otherwise provided, every person engaging in any transaction subject to the provisions of this chapter shall keep a full and accurate record of each such transaction engaged in, regardless of whether such transaction is effected pursuant to license or otherwise, and such record shall be available for examination for at least 5 years after the date of such transaction. Except as otherwise provided, every person holding property blocked pursuant to the provisions of this chapter or funds transfers retained pursuant to §596.504(b) of this chapter shall keep a full and accurate record of such property, and such record shall be available for examination for the period of time that such property is blocked and for at least 5 years after the date such property is unblocked.

Note: See subpart F of part 597 for the relationship between this section and part 597.


§ 501.602 Reports to be furnished on demand.

Every person is required to furnish under oath, in the form of reports or otherwise, from time to time and at any time as may be required by the Director, Office of Foreign Assets Control, complete information relative to any transaction, regardless of whether such transaction is effected pursuant to license or otherwise, subject to the provisions of this chapter or relative to any property in which any foreign country or any national thereof has any interest of any nature whatsoever, direct or indirect. The Director may require that such reports include the production of any books of account, contracts, letters or other papers connected with any such transaction or property, in the custody or control of the persons required to make such reports. Reports with respect to transactions may be required either before or after such transactions are completed. Except as provided in parts 596 and 597, the Director may, through any
§ 501.603 Reports on blocked property.

(a) Who must report—(1) Holders of blocked property. Any person, including a financial institution, holding property blocked pursuant to this chapter must report. The requirement includes financial institutions that receive and block payments or transfers. This requirement is mandatory and applies to all U.S. persons (or persons subject to U.S. jurisdiction in the case of parts 500 and 515 of this chapter) who have in their possession or control any property or interests in property blocked pursuant to this chapter.

(2) Primary responsibility to report. A report may be filed on behalf of a holder of blocked property by an attorney, agent, or other person. Primary responsibility for reporting blocked property, however, rests with the actual holder of the property, or the person exercising control over property located outside the United States, with the following exceptions: primary responsibility for reporting any trust assets rest with the trustee; and primary responsibility for reporting real property rests with any U.S. co-owner, legal representative, agent, or property manager in the United States. No person is excused from filing a report by reason of the fact that another person has submitted a report with regard to the same property, except upon actual knowledge of the report filed by such other person. Reports filed are regarded as privileged and confidential.

(3) Financial institutions. For purposes of this section, the term "financial institution" shall include a banking institution, domestic bank, United States depository institution, financial institution, or U.S. financial institution, as those terms are defined in the applicable part of this chapter.

(b) What must be reported—(1) Initial reports—(i) When reports are due. Reports are required to be filed within 10 business days from the date that property becomes blocked. This reporting requirement includes payments or transfers that are received and blocked by financial institutions.

(ii) Contents of reports. Initial reports on blocked property shall describe the owner or account party, the property, its location, any existing or new account number or similar reference necessary to identify the property, actual or estimated value and the date it was blocked, and shall include the name and address of the holder, along with the name and telephone number of a contact person from whom compliance information can be obtained. If the report is filed by a financial institution and involves the receipt of a payment or transfer of funds which are blocked by the financial institution, the report shall also include a photocopy of the payment or transfer instructions received and shall confirm that the payment has been deposited into a new or existing blocked account which is labeled as such and is established in the name of, or contains a means of clearly identifying the interest of, the individual or entity subject to blocking pursuant to the requirements of this chapter.

(2) Annual reports—(i) When reports are due. A comprehensive report on all blocked property held as of June 30 of the current year shall be filed annually by September 30. The first annual report is due September 30, 1997.

§ 501.605 Reports on litigation, arbitration, and dispute resolution proceedings.

(a) U.S. persons (or persons subject to the jurisdiction of the United States in the case of parts 500 and 515 of this chapter) participating in litigation, arbitration, or other binding alternative dispute resolution proceedings in the United States on behalf of or against persons whose property or interests in property are blocked or whose funds have been retained pursuant to §596.504(b) of this chapter, or when the outcome of any proceeding may affect blocked property or retained funds, must:

(1) Referring a blocked vessel but where none of the parties or financial institutions involved in the transaction is a blocked person;

(2) Sending funds to a person in Iraq;

(3) Transferring unlicensed gifts or charitable donations from the Government of Syria to a U.S. person;

(4) Crediting Iranian accounts on the books of a U.S. financial institution; and

(5) Making unauthorized transfers from U.S. persons to Iran or the Government of Iran.

(c) When reports are due. Reports are required to be filed within 10 business days by any financial institution rejecting instructions to execute payments or transfers involving underlying transactions prohibited by the provisions of this chapter.

(d) What must be reported. The report shall include the name and address of the transferee financial institution, the date of the transfer, the amount of the payment transfer, and a photocopy of the payment or transfer instructions received, and shall state the basis for the rejection of the transfer instructions. The report shall also provide the name and telephone number of a contact person at the transferee financial institution from whom compliance information may be obtained.

(e) Where to report. Reports must be filed with the Office of Foreign Assets Control, Compliance Programs Division, U.S. Treasury Department, 1500 Pennsylvania Avenue NW.—Annex, Washington, DC 20220.
§ 501.606 Reporting and recordkeeping requirements applicable to economic sanctions programs.

The reporting and recordkeeping requirements set forth in this subpart are applicable to economic sanctions programs for which implementation and administration have been delegated to the Office of Foreign Assets Control.

Subpart D—Trading With the Enemy Act (TWEA) Penalties

SOURCE: 68 FR 53642, Sept. 11, 2003, unless otherwise noted.

§ 501.700 Applicability.

This subpart is applicable only to those parts of chapter V promulgated pursuant to the TWEA, which include parts 500, 505, and 515.

§ 501.701 Penalties.

(a) Attention is directed to section 16 of the TWEA, as adjusted pursuant to the Federal Civil Penalties Inflation Adjustment Act of 1990 (Pub. L. 101–410, as amended, 28 U.S.C. 2461 note), which provides that:

(1) Persons who willfully violate any provision of TWEA or any license, rule, or regulation issued thereunder, and persons who willfully violate, neglect, or refuse to comply with any order of the President issued in compliance with the provisions of TWEA shall, upon conviction, be fined not more than $1,000,000 or, if an individual, be fined not more than $100,000 or imprisoned for not more than 10 years, or both; and an officer, director, or agent of any corporation who knowingly participates in such violation shall, upon conviction, be fined not more than $100,000 or imprisoned for not more than 10 years, or both.

(2) Any property, funds, securities, papers, or other articles or documents, or any vessel, together with its tackle, apparel, furniture, and equipment, concerned in a violation of TWEA may...
upon conviction be forfeited to the United States Government.

(3) The Secretary of the Treasury may impose a civil penalty of not more than $65,000 per violation on any person who violates any license, order, or regulation issued under TWEA.

**NOTE TO PARAGRAPH (a)(3).** The current $65,000 civil penalty cap may be adjusted for inflation pursuant to the Federal Civil Penalties Inflation Adjustment Act of 1990.

(4) Any property, funds, securities, papers, or other articles or documents, or any vessel, together with its tackle, apparel, furniture, and equipment, that is the subject of a violation subject to a civil penalty issued pursuant to TWEA shall, at the discretion of the Secretary of the Treasury, be forfeited to the United States Government.

(b) The criminal penalties provided in TWEA are subject to increase pursuant to 18 U.S.C. 3571 which, when read in conjunction with section 16 of TWEA, provides that persons convicted of violating TWEA may be fined up to the greater of either $250,000 for individuals and $1,000,000 for organizations or twice the pecuniary gain or loss from the violation.

(c) Attention is directed to 18 U.S.C. 1001, which provides that whoever, in any matter within the jurisdiction of any department or agency of the United States, knowingly and willfully falsifies, conceals or covers up by any trick, scheme, or device a material fact, or makes any false, fictitious or fraudulent statements or representations, or makes or uses any false writing or document knowing the same to contain any false, fictitious or fraudulent statement or entry, shall be fined under title 18, United States Code, or imprisoned not more than 5 years, or both.


§ 501.702 Definitions.

(a) **Chief Counsel** means the Chief Counsel (Foreign Assets Control), Office of the General Counsel, Department of the Treasury.

(b) **Day** means calendar day. In computing any period of time prescribed in or allowed by this subpart, the day of the act, event, or default from which the designated period of time begins to run shall not be included. The last day of the period so computed shall be included unless it is a Saturday, Sunday, or Federal legal holiday, in which event the period runs until the end of the next day that is not a Saturday, Sunday, or Federal legal holiday. Intermediate Saturdays, Sundays, and Federal legal holidays shall be excluded from the computation when the period of time prescribed or allowed is seven days or less, not including any additional time allowed for service by mail. If on the day a filing is to be made, weather or other conditions have caused the designated filing location to close, the filing deadline shall be extended to the end of the next day that the filing location is not closed and that is not a Saturday, a Sunday, or a Federal legal holiday. If service is made by mail, three days shall be added to the prescribed period for response.

(c) **Department** means the Department of the Treasury.

(d) **Director** means the Director of the Office of Foreign Assets Control, Department of the Treasury.

(e) **Ex Parte Communication** means any material oral or written communication not on the public record concerning the merits of a proceeding with respect to which reasonable prior notice to all parties is not given, on any material matter or proceeding covered by these rules, that takes place between: A party to the proceeding, a party’s counsel, or any other interested individual; and the Administrative Law Judge or Secretary’s designee handling that proceeding. A request to learn the status of a proceeding does not constitute an ex parte communication; and settlement inquiries and discussions do not constitute ex parte communications.

(f) **General Counsel** means the General Counsel of the U.S. Department of the Treasury.

(g) **Order of Settlement** means a written order issued by the Director terminating a civil penalty action. An Order of Settlement does not constitute an agency decision that any violation took place.
(h) Order Instituting Proceedings means a written order issued by the Director to initiate a civil penalty hearing.

(i) Prepenalty Notice means a written notification from the Director informing a respondent of the alleged violation(s) and the respondent’s right to respond.

(j) Penalty Notice means a written notification from the Director informing a respondent that the Director has made a finding of violation and, absent a request for a hearing, will impose a civil monetary penalty.

(k) Proceeding means any agency process initiated by an “Order Instituting Proceedings,” or by the filing of a petition for review of an Administrative Law Judge’s decision or ruling.

(l) Respondent means any individual alleged by the Director to have violated a TWEA-based sanctions regulation.

(m) Secretary’s designee means a U.S. Treasury Department official delegated responsibility by the Secretary of the Treasury to consider petitions for review of Administrative Law Judge decisions made in civil penalty hearings conducted pursuant to this subpart.

(n) Secretary means the Secretary of the Treasury.

§ 501.703 Overview of civil penalty process and construction of rules.

(a) The administrative process for enforcing TWEA sanctions programs proceeds as follows:

(1) The Director of the Office of Foreign Assets Control will notify a suspected violator (hereinafter “respondent”) of an alleged violation by issuing a “Prepenalty Notice.” The Prepenalty Notice shall describe the alleged violation(s) and include a proposed civil penalty amount.

(2) The respondent will have 60 days from the date the Prepenalty Notice is served to make a written presentation either defending against the alleged violation or admitting the violation. A respondent who admits a violation may offer information as to why a monetary penalty should not be imposed or why, if imposed, the monetary penalty should be in a lesser amount than proposed.

(3) Absent a settlement agreement or a finding that no violation occurred, the Director of the Office of Foreign Assets Control will issue a “Penalty Notice.” The respondent will have 30 days from the date of service to either pay the penalty or request a hearing.

(4) If the respondent requests a hearing, the Director of the Office of Foreign Assets Control will have two options:

(i) The Director may issue an “Order Instituting Proceedings” and refer the matter to an Administrative Law Judge for a hearing and decision; or

(ii) The Director may determine to discontinue the penalty action based on information presented by the respondent.

(5) Absent review by a Secretary’s designee, the decision of the Administrative Law Judge will become the final decision of the Department without further proceedings.

(6) If review is taken by a Secretary’s designee, the Secretary’s designee reaches the final decision of the Department.

(7) A respondent may seek judicial review of the final decision of the Department.

(b) Construction of rules. The rules contained in this subpart shall be construed and administered to promote the just, speedy, and inexpensive determination of every action. To the extent there is a conflict between the rules contained in this subpart and a procedural requirement contained in any statute, the requirement in the statute shall control.

§ 501.704 Appearance and practice.

No person shall be represented before the Director in any civil penalty matter, or an Administrative Law Judge or the Secretary’s designee in a civil penalty hearing, under this subpart except as provided in this section.

(a) Representing oneself. In any proceeding, an individual may appear on his or her own behalf.

(b) Representative. Upon written notice to the Director,

(1) A respondent may be represented by a personal representative. If a respondent wishes to be represented by counsel, such counsel must be an attorney at law admitted to practice before
the Supreme Court of the United States, the highest court of any State, commonwealth, possession, or territory of the United States, or the District of Columbia;

(2) A duly authorized member of a partnership may represent the partnership; and

(3) A bona fide officer, director, or employee of a corporation, trust or association may represent the corporation, trust or association.

c) Director representation. The Director shall be represented by members of the Office of Chief Counsel or any other counsel specifically assigned by the General Counsel.

d) Conflicts of interest—(1) Conflict of interest in representation. No individual shall appear as representative for a respondent in a proceeding conducted pursuant to this subpart if it reasonably appears that such representation may be materially limited by that representative’s responsibilities to a third person, or by that representative’s own interests.

(2) Corrective measures. An Administrative Law Judge may take corrective measures at any stage of a proceeding to cure a conflict of interest in representation, including the issuance of an order limiting the scope of representation or disqualifying an individual from appearing in a representative capacity for the duration of the proceeding.

§ 501.705 Service and filing.

(a) Service of Prepenalty Notice, Penalty Notice, Acknowledgment of Hearing Request and Order Instituting Proceedings. The Director shall cause any Prepenalty Notice, Penalty Notice, Acknowledgment of Hearing Request, Order Instituting Proceedings, and other related orders and decisions, or any amendments or supplements thereto, to be served upon the respondent.

(1) Service on individuals. Service shall be complete:

(i) Upon the date of mailing by first class (regular) mail to the respondent at the respondent’s last known address, or to a representative authorized to receive service, including qualified representatives noticed to the Director pursuant to §501.704. Absent satisfactory evidence in the administrative record to the contrary, the Director may presume that the date of mailing is the date stamped on the first page of the notice or order. The respondent may rebut the presumption that a notice or order was mailed on the stamped mailing date only by presenting evidence of the postmark date on the envelope in which the notice or order was mailed;

(ii) Upon personal service on the respondent; or leaving a copy at the respondent’s place of business with a clerk or other person in charge thereof; or leaving a copy at the respondent’s dwelling house or usual place of abode with a person at least 18 years of age then residing therein; or with any other representative authorized by appointment or by law to accept or receive service for the respondent, including representatives noticed to the Director pursuant to §501.704; and evidenced by a certificate of service signed and dated by the individual making such service, stating the method of service and the identity of the individual with whom the notice or order was left; or

(iii) Upon proof of service on a respondent who is not resident in the United States by any method of service permitted by the law of the jurisdiction in which the respondent resides or is located, provided the requirements of such foreign law satisfy due process requirements under United States law with respect to notice of administrative proceedings, and where applicable laws or intergovernmental agreements or understandings make the methods of service set forth in paragraphs (a)(1)(i) and (ii) of this section inappropriate or ineffective for service upon the non-resident respondent.

(2) Service on corporations and other entities. Service is complete upon delivering a copy of the notice or order to a partner, bona fide officer, director, managing or general agent, or any other agent authorized by appointment or by law to receive such notice, by any method specified in paragraph (a)(1) of this section.

(b) Service of responses to Prepenalty Notice, Penalty Notice, and requests for a hearing. A respondent shall serve a response to a Prepenalty Notice and any request for a hearing on the Director
through the Chief of Civil Penalties, Office of Foreign Assets Control, U.S. Treasury Department, 1500 Pennsylvania Avenue, NW., Washington DC 20220, with the envelope prominently marked "Urgent: Part 501 Action." Service shall be complete upon the date of mailing, as evidenced by the post-mark date on the envelope, by first class (regular) mail.

(c) Service or filing of papers in connection with any hearing by an Administrative Law Judge or review by the Secretary's designee—(1) Service on the Director and/or each respondent. (i) Each paper, including each notice of appearance, written motion, brief, petition for review, statement in opposition to petition for review, or other written communication, shall be served upon the Director and/or each respondent in the proceeding in accordance with paragraph (a) of this section; provided, however, that no service shall be required in the case of documents that are the subject of a motion seeking a protective order to limit or prevent disclosure to another party.

(ii) Service upon the Director shall be made through the Chief Counsel (Foreign Assets Control), U.S. Treasury Department, 1500 Pennsylvania Avenue, NW., Washington, DC 20220, with the envelope prominently marked "Urgent: Part 501 Proceeding."

(iii) Service may be made:
(A) As provided in paragraph (a) of this section;
(B) By mailing the papers through the U.S. Postal Service by Express Mail; or
(C) By transmitting the papers by facsimile machine where the following conditions are met:
(I) The persons serving each other by facsimile transmission have agreed to do so in a writing, signed by each party, which specifies such terms as they deem necessary with respect to facsimile machine telephone numbers to be used, hours of facsimile machine operation, the provision of non-facsimile original or copy, and any other such matters; and

(ii) Receipt of each document served by facsimile is confirmed by a manually signed receipt delivered by facsimile machine or other means agreed to by the parties.

(iv) Service by U.S. Postal Service Express Mail is complete upon delivery as evidenced by the sender’s receipt. Service by facsimile is complete upon confirmation of transmission by delivery of a manually signed receipt.

(2) Filing with the Administrative Law Judge. Unless otherwise provided, all briefs, motions, objections, applications or other filings made during a proceeding before an Administrative Law Judge, and all requests for review by the Secretary’s designee, shall be filed with the Administrative Law Judge.

(3) Filing with the Secretary's designee. And all briefs, motions, objections, applications or other filings made during a proceeding before the Secretary’s designee shall be filed with the Secretary’s designee.

(4) Certificate of service. Papers filed with an Administrative Law Judge or Secretary’s designee shall be accompanied by a certificate stating the name of each person served, the date of service, the method of service and the mailing address or facsimile telephone number to which service was made, if not made in person. If the method of service to any person is different from the method of service to any other person, the certificate shall state why a different means of service was used.

(5) Form of briefs. All briefs containing more than 10 pages shall, to the extent applicable, include a table of contents, an alphabetized table of cases, a table of statutes, and a table of other authorities cited, with references to the pages of the brief wherein they are cited.

(6) Specifications. All original documents shall be filed with the Administrative Law Judge or Secretary’s designee, as appropriate. Papers filed in connection with any proceeding shall:

(i) Be on one grade of unglazed white paper measuring 8.5x11 inches, except that, to the extent that the reduction of larger documents would render them illegible, such documents may be filed on larger paper;

(ii) Be typewritten or printed in either 10- or 12-point typeface or otherwise reproduced by a process that produces permanent and plainly legible copies;
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(ii) Include at the head of the paper, or on a title page, the title of the proceeding, the name(s) of each respondent, the subject of the particular paper or pleading, and the file number assigned to the proceeding;

(iv) Be formatted with all margins at least 1 inch wide;

(v) Be double-spaced, with single-spaced footnotes and single-spaced indented quotations; and

(vi) Be stapled, clipped or otherwise fastened in the upper left corner.

(7) Signature requirement and effect. All papers must be dated and signed by a member of the Office of Chief Counsel, or other counsel assigned by the General Counsel to represent the Director, or a respondent or respondent’s representative, as appropriate. If a filing is signed by a respondent’s representative it shall state that representative’s mailing address and telephone number. A respondent who represents himself or herself shall sign his or her individual name and state his or her address and telephone number on every filing. A witness deposition shall be signed by the witness.

(i) Effect of signature. The signature shall constitute a certification that:

(A) The person signing the filing has read the filing;

(B) To the best of his or her knowledge, information, and belief, formed after reasonable inquiry, the filing is well grounded in fact and is warranted by existing law or a good faith argument for the extension, modification, or reversal of existing law; and

(C) The filing is not made for any improper purpose, such as to harass or to cause unnecessary delay or needless increase in the cost of adjudication.

(ii) If a filing is not signed, the Administrative Law Judge (or the Secretary’s designee) shall strike the filing, unless it is signed promptly after the omission is called to the attention of the person making the filing.

(d) Service of written orders or decisions issued by the Administrative Law Judge or Secretary’s designee. Written orders or decisions issued by the Administrative Law Judge or the Secretary’s designee shall be served promptly on each respondent and the Director pursuant to any method of service authorized under paragraph (a) of this section. Service of such orders or decisions shall be made by the Administrative Law Judge or the Secretary’s designee, as appropriate.

§ 501.706 Prepenalty Notice; issuance by Director.

(a) When required. If the Director has reason to believe there has occurred a violation of any provision of parts 500 or 515 of this chapter or a violation of the provisions of any license, ruling, regulation, order, direction or instruction issued by or pursuant to the direction or authorization of the Secretary pursuant to parts 500 or 515 of this chapter or otherwise under the Trading With the Enemy Act, and the Director determines that further civil proceedings are warranted, the Director shall issue a Prepenalty Notice. The Prepenalty Notice may be issued whether or not another agency has taken any action with respect to the matter.

(b) Contents of notice—(1) Facts of violation. The Prepenalty Notice shall describe the alleged violation, specify the laws and regulations allegedly violated, and state the amount of the proposed monetary penalty.

(2) Right to respond. The Prepenalty Notice shall inform the respondent of respondent’s right to make a written presentation within the time prescribed in §501.707 as to why the respondent believes there should be no finding of a violation or why, if the respondent admits the violation, a monetary penalty should not be imposed or why, if imposed, the monetary penalty should be in a lesser amount than proposed. The Prepenalty Notice shall also inform the respondent that:

(i) The act of submitting a written response by the respondent is a factor that may result in a lower penalty absent any aggravating factors; and

(ii) If the respondent fails to respond to the Prepenalty Notice within the applicable 60-day period set forth in §501.707, the Director may proceed with the issuance of a Penalty Notice.

(3) Right to request a hearing. The Prepenalty Notice shall inform the respondent of respondent’s right, if a subsequent Penalty Notice is issued, to request an administrative hearing. The Director will not consider any request
for an administrative hearing until a Penalty Notice has been issued.

§ 501.707 Response to Prepenalty Notice.

(a) Deadline for response.
(1) The respondent shall have 60 days after the date of service of the Prepenalty Notice pursuant to § 501.705(a) to respond thereto. The response, signed and dated, shall be served as provided in § 501.705(b).

(2) In response to a written request by the respondent, the Director may, at his or her discretion for the purpose of conducting settlement negotiations or for other valid reasons, grant additional time for a respondent to submit a response to the Prepenalty Notice.

(3) The failure to submit a response within the time period set forth in this paragraph (a), including any additional time granted by the Director, shall be deemed to be a waiver of the right to respond to the Prepenalty Notice.

(b) Form and contents of response.

(i) In general. The response need not be in any particular form, but must be typewritten and contain the heading “Response to Prepenalty Notice” and the Office of Foreign Assets Control identification number shown near the top of the Prepenalty Notice. It should be responsive to the allegations contained therein and set forth the nature of the respondent’s admission of the violation, or defenses and claims for mitigation, if any.

(ii) The response must admit or deny specifically each separate allegation of violation made in the Prepenalty Notice. If the respondent is without knowledge as to an allegation, the response shall so state, and such statement shall constitute a denial. Any allegation not specifically addressed in the response shall be deemed admitted.

(ii) The response must set forth any additional or new matter or arguments the respondent seeks, or shall seek, to use in support of all defenses or claims for mitigation. Any defense the respondent wishes to assert must be included in the response.

(iii) The response must accurately state (for each respondent, if applicable) the respondent’s full name and address for future service, together with a current telephone and, if applicable, facsimile machine number. If respondent is represented, the representative’s full name and address, together with telephone and facsimile numbers, may be provided instead of service information for the respondent. The respondent or respondent’s representative of record is responsible for providing timely written notice to the Director of any subsequent changes in the information provided.

(iv) Financial disclosure statement requirement. Any respondent who asserts financial hardship or an inability to pay a penalty shall include with the response a financial disclosure statement setting forth in detail the basis for asserting the financial hardship or inability to pay a penalty, subject to 18 U.S.C. 1001.

(b) Settlement. In addition, or as an alternative, to a written response to a Prepenalty Notice, the respondent or respondent’s representative may seek settlement of the alleged violation(s). See § 501.710. In the event of settlement prior to the issuance of a Penalty Notice, the claim proposed in the Prepenalty Notice will be withdrawn and the respondent will not be required to make a written response to the Prepenalty Notice. In the event no settlement is reached, a written response to the Prepenalty Notice is required pursuant to paragraph (c) of this section.

§ 501.708 Director’s finding of no penalty warranted.

If after considering any written response to the Prepenalty Notice submitted pursuant to § 501.707 and any other relevant facts, the Director determines that there was no violation or that the violation does not warrant the imposition of a civil monetary penalty, the Director promptly shall notify the respondent in writing of that determination and that no civil monetary penalty pursuant to this subpart will be imposed.

§ 501.709 Penalty notice.

(a) If, after considering any written response to the Prepenalty Notice, and any other relevant facts, the Director determines that there was a violation by the respondent and that a monetary penalty is warranted, the Director
promptly shall issue a Penalty Notice informing the respondent that, absent a timely request for an administrative hearing, the Director will impose the civil monetary penalty described in the Penalty Notice. The Penalty Notice shall inform the respondent:

(1) Of the respondent’s right to submit a written request for an administrative hearing not later than 30 days after the date of service of the Penalty Notice;

(2) That in the absence of a timely request for a hearing, the issuance of the Penalty Notice constitutes final agency action;

(3) That, absent a timely request for a hearing, payment (or arrangement with the Financial Management Service of the Department for installment payment) of the assessed penalty must be made not later than 30 days after the date of service of the Penalty Notice; and

(4) That absent a timely request for a hearing, the respondent must furnish respondent’s taxpayer identification number pursuant to 31 U.S.C. 7701 and that the Director intends to use such information for the purposes of collecting and reporting on any delinquent penalty amount in the event of a failure to pay the penalty imposed.

§ 501.710 Settlement.

(a) Availability. Either the Director or any respondent may, at any time during the administrative civil penalty process described in this subpart, propose an offer of settlement. The amount accepted in settlement may be less than the civil penalty that might be imposed in the event of a formal determination of violation. Upon mutual agreement by the Director and a respondent on the terms of a settlement, the Director shall issue an Order of Settlement.

(b) Procedure—(1) Prior to issuance of Penalty Notice. Any offer of settlement made by a respondent prior to the issuance of a Penalty Notice shall be submitted, in writing, to the Chief of Civil Penalties, Office of Foreign Assets Control, U.S. Department of the Treasury, 1500 Pennsylvania Avenue, NW., Washington, DC 20220.

(2) After issuance of Penalty Notice. Any offer of settlement made by a respondent after issuance of a Penalty Notice shall state that it is made pursuant to this section; shall recite or incorporate as a part of the offer the provisions of paragraphs (b)(5)(ii) and (b)(6) of this section; shall be signed by the respondent making the offer, and not only by his or her representative; and shall be submitted to the Chief Counsel.

(3) Extensions of time. The submission of any settlement offer does not provide a basis for adjourning or otherwise delaying all or any portion of the administrative civil penalty process.

(i) Prior to issuance of Order Instituting Proceedings. Any respondent (or potential respondent in the case of a pending Prepenalty Notice) may request, in writing, that the Director withhold issuance of any such notice, or grant an extension of time to respond to any such Notice, for a period not to exceed 60 days for the exclusive purpose of effecting settlement. The Director may grant any such request, in writing, under terms and conditions within his or her discretion.

(ii) After issuance of Order Instituting Proceedings. Upon mutual agreement of the Director and a respondent, the Administrative Law Judge may grant an extension of time, for a period not to exceed 60 days, for the exclusive purpose of effecting settlement.

(c) Views of Administrative Law Judge. Where an Administrative Law Judge is assigned to a proceeding, the Director or the respondent may request that the Administrative Law Judge express his or her views regarding the appropriate-ness of the offer of settlement. A request for the Administrative Law Judge to express his or her views on an offer of settlement or otherwise to participate in a settlement conference constitutes a waiver by the party making the request of any right to claim bias or prejudgment by the Administrative Law Judge based on the views expressed.

(d) Waivers. (1) By submitting an offer of settlement, a respondent making the offer waives, subject to acceptance of the offer:

(A) All hearings pursuant to section 16 of the Trading with the Enemy Act (50 U.S.C. App. 16);
§ 501.711 Hearing request.

(a) Deadline for request. A request for an agency hearing shall be served on the Director not later than 30 days after the date of service of the Penalty Notice. See §501.705(b). A respondent may not reserve the right to request a hearing after expiration of the 30 calendar day period. A request for a hearing that is not made as required by this paragraph shall constitute a waiver of the respondent’s right to a hearing.

(b) Form and contents of request. The request need not be in any particular form, but must be typewritten and contain the heading “Request for Agency Hearing”. The request must include the Office of Foreign Assets Control identification number shown near the top of the Penalty Notice. It should be responsive to the determination contained in the Penalty Notice and set forth the nature of the respondent’s defenses or claims for mitigation, if any.

(1) The request must admit or deny specifically each separate determination of violation made in the Penalty Notice. If the respondent is without knowledge as to a determination, the request shall so state, and such statement shall constitute a denial. Any determination not specifically addressed in the response shall be deemed admitted.

(2) The request must set forth any additional or new matter or arguments the respondent seeks, or shall seek, to use in support of all defenses or claims for mitigation. Any defense the respondent wishes to assert must be included in the request.

(3) The request must accurately state, for each respondent (if applicable), the respondent’s full name and address for future service, together with current telephone and, if applicable, a facsimile machine number. If respondent is represented, the representative’s full name and address, together with telephone and facsimile numbers, may be provided in lieu of service information for the respondent. The respondent or respondent’s representative is responsible for providing timely written notice to the Director of any subsequent changes in the information provided.

(c) Signature requirement. The respondent or, if represented, the respondent’s representative, must sign the hearing request.

§ 501.712 Acknowledgment of hearing request.

No later than 60 days after service of any hearing request, the Director shall acknowledge receipt and inform a respondent, in writing, whether an Order Instituting Proceedings shall be issued.

§ 501.713 Order Instituting Proceedings.

If a respondent makes a timely request for a hearing, the Director shall...
determine, at his or her option, whether to dismiss the violation(s) set forth in the Penalty Notice or to issue an Order Instituting Proceedings to initiate the hearing process. The Order shall be served on the respondent(s) as provided in §501.705(c)(1). The Director may, in his or her discretion, withdraw an Order Instituting Proceedings at any time prior to the issuance of a decision by the Administrative Law Judge.

(a) Content of Order. The Order Instituting Proceedings shall:

(1) Be prepared by the Office of the Chief Counsel or other counsel assigned by the General Counsel and based on information provided by the Director;

(2) State the legal authority under which the hearing is to be held;

(3) Contain a short and plain statement of the alleged violation(s) to be considered and determined (including the matters of fact and law asserted) in such detail as will permit a specific response thereto;

(4) State the amount of the penalty sought in the proceeding; and

(5) Be signed by the Director.

(b) Combining penalty actions. The Director may combine claims contained in two or more Penalty Notices involving the same respondent, and for which hearings have been requested, into a single Order Instituting Proceedings.

(c) Amendment to Order Instituting Proceedings. Upon motion by the Director, the Administrative Law Judge may, at any time prior to issuance of a decision, permit the Director to amend an Order Instituting Proceedings to include new matters of fact or law that are within the scope of the original Order Instituting Proceedings.

§ 501.714 Answer to Order Instituting Proceedings.

(a) When required. Not later than 45 days after service of the Order Instituting Proceedings, the respondent shall file, with the Administrative Law Judge and the Office of Chief Counsel, an answer to each of the allegations contained therein. If the Order Instituting Proceedings is amended, the Administrative Law Judge may require that an amended answer be filed and, if such an answer is required, shall specify a date for the filing thereof.

(b) Contents; effect of failure to deny. Unless otherwise directed by the Administrative Law Judge, an answer shall specifically admit, deny, or state that the respondent does not have, and is unable to obtain, sufficient information to admit or deny each allegation in the Order Instituting Proceedings. When a respondent intends to deny only a part of an allegation, the respondent shall specify so much of it as is true and shall deny only the remainder. A statement of lack of information shall have the effect of a denial. A defense of res judicata, statute of limitations or any other matter constituting an affirmative defense shall be asserted in the answer. Any allegation not specifically addressed in the answer shall be deemed admitted.

(c) Motion for more definite statement. A respondent may file with an answer a motion for a more definite statement of specified matters of fact or law to be considered or determined. Such motion shall state the respects in which, and the reasons why, each such matter of fact or law should be required to be made more definite. If the motion is granted, the order granting such motion shall set the periods for filing such a statement and any answer thereto.

(d) Amendments. A respondent may amend its answer at any time by written consent of the Director or with permission of the Administrative Law Judge. Permission shall be freely granted when justice so requires.

(e) Failure to file answer; default. If a respondent fails to file an answer required by this subpart within the time prescribed, such respondent may be deemed in default pursuant to §501.716(a). A party may make a motion to set aside a default pursuant to §501.726(e).

§ 501.715 Notice of Hearing.

(a) If the Director issues an Order Instituting Proceedings, the respondent shall receive not less than 45 days notice of the time and place of the hearing.

(b) Time and place of hearing. All hearings shall be held in the Washington, DC metropolitan area unless, based on extraordinary reasons, otherwise mutually agreed by the respondent and the Director. The time for any
hearing shall be fixed with due regard for the public interest and the convenience and necessity of the parties or their representatives. Requests to change the time of a hearing may be submitted to the Administrative Law Judge, who may modify the hearing date(s) and/or time(s) and place. All requests for a change in the date and time and/or place of a hearing must be received by the Administrative Law Judge and served upon the parties no later than 15 days before the scheduled hearing date.

(c) Failure to appear at hearings: default. Any respondent named in an order instituting proceedings as a person against whom findings may be made or penalties imposed who fails to appear (in person or through a representative) at a hearing of which he or she has been duly notified may be deemed to be in default pursuant to §501.716(a). Without further proceedings or notice to the respondent, the Administrative Law Judge may enter a finding that the right to a hearing was waived, and the Penalty Notice shall constitute final agency action as provided in §501.709(a)(2). A respondent may make a motion to set aside a default pursuant to §501.726(e).

§501.717 Consolidation of proceedings.
By order of the Administrative Law Judge, proceedings involving common questions of law and fact may be consolidated for hearing of any or all the matters at issue in such proceedings. The Administrative Law Judge may make such orders concerning the conduct of such proceedings as he or she deems appropriate to avoid unnecessary cost or delay. Consolidation shall not prejudice any rights under this subpart and shall not affect the right of any party to raise issues that could have been raised if consolidation had not occurred.

§501.718 Conduct and order of hearings.
All hearings shall be conducted in a fair, impartial, expeditious and orderly manner. Each party has the right to present its case or defense by oral and documentary evidence and to conduct such cross examination as may be required for full disclosure of the relevant facts. The Director shall present his or her case-in-chief first. The Director shall be the first party to present an opening statement and a closing statement and may make a rebuttal statement after the respondent’s closing statement.

§501.719 Ex parte communications.
(a) Prohibition. (1) From the time the Director issues an Order Instituting Proceedings until the date of final decision, no party, interested person, or representative thereof shall knowingly make or cause to be made an ex parte communication.
(2) Except to the extent required for the disposition of ex parte communications as authorized by law, the Secretary’s designee and the Administrative Law Judge presiding over any proceeding may not:
(i) Consult a person or party on an issue, unless on notice and opportunity for all parties to participate; or
(ii) Be responsible to or subject to the supervision, direction of, or evaluation by, an employee engaged in the performance of investigative or prosecutorial functions for the Department.

(b) Procedure upon occurrence of ex parte communication. If an ex parte communication is received by the Administrative Law Judge or the Secretary's designee, the Administrative Law Judge or the Secretary's designee, as appropriate, shall cause all of such written communication (or, if the communication is oral, a memorandum stating the substance of the communication) to be placed on the record of the proceeding and served on all parties. A party may, not later than 10 days after the date of service, file a response thereto and may recommend that the person making the prohibited communication be sanctioned pursuant to paragraph (c) of this section.

(c) Sanctions. Any party to the proceeding, a party's representative, or any other interested individual, who makes a prohibited ex parte communication, or who encourages or solicits another to make any such communication, may be subject to any appropriate sanction or sanctions imposed by the Administrative Law Judge or the Secretary's designee, as appropriate, for good cause shown, including, but not limited to, exclusion from the hearing and an adverse ruling on the issue that is the subject of the prohibited communication.

§ 501.720 Separation of functions.

Any officer or employee engaged in the performance of investigative or prosecutorial functions for the Department in a proceeding as defined in §501.702 may not, in that proceeding or one that is factually related, participate or advise in the decision pursuant to Section 557 of the Administrative Procedure Act, 5 U.S.C. 557, except as a witness or counsel in the proceeding.

§ 501.721 Hearings to be public.

All hearings, except hearings on applications for confidential treatment filed pursuant to §501.725(b), shall be public unless otherwise ordered by the Administrative Law Judge or the Secretary's designee, as appropriate, on his or her own motion or the motion of a party.

§ 501.722 Prehearing conferences.

(a) Purposes of conferences. The purposes of prehearing conferences include, but are not limited to:

1. Expediting the disposition of the proceeding;
2. Establishing early and continuing control of the proceeding by the Administrative Law Judge; and
3. Improving the quality of the hearing through more thorough preparation.

(b) Procedure. On his or her own motion or at the request of a party, the Administrative Law Judge may direct a representative or any party to attend one or more prehearing conferences. Such conferences may be held with or without the Administrative Law Judge present as the Administrative Law Judge deems appropriate. Where such a conference is held outside the presence of the Administrative Law Judge, the Administrative Law Judge shall be advised promptly by the parties of any agreements reached. Such conferences also may be held with one or more persons participating by telephone or other remote means.

(c) Subjects to be discussed. At a prehearing conference consideration may be given and action taken with respect to the following:

1. Simplification and clarification of the issues;
2. Exchange of witness and exhibit lists and copies of exhibits;
3. Admissions of fact and stipulations concerning the contents, authenticity, or admissibility into evidence of documents;
4. Matters of which official notice may be taken;
5. The schedule for exchanging prehearing motions or briefs, if any;
6. The method of service for papers;
7. Summary disposition of any or all issues;
8. Settlement of any or all issues;
9. Determination of hearing dates (when the Administrative Law Judge is present);
10. Amendments to the Order Instituting Proceedings or answers thereto;
(11) Production of documents as set forth in §501.723, and prehearing production of documents in response to subpoenas duces tecum as set forth in §501.728; and

(12) Such other matters as may aid in the orderly and expeditious disposition of the proceeding.

(d) Timing of conferences. Unless the Administrative Law Judge orders otherwise, an initial prehearing conference shall be held not later than 14 days after service of an answer. A final conference, if any, should be held as close to the start of the hearing as reasonable under the circumstances.

(e) Prehearing orders. At or following the conclusion of any conference held pursuant to this rule, the Administrative Law Judge shall enter written rulings or orders that recite the agreement(s) reached and any procedural determinations made by the Administrative Law Judge.

(f) Failure to appear: default. A respondent who fails to appear, in person or through a representative, at a prehearing conference of which he or she has been duly notified may be deemed in default pursuant to §501.716(a). A respondent may make a motion to set aside a default pursuant to §501.726(e).

§ 501.723 Prehearing disclosures; methods to discover additional matter.

(a) Initial disclosures. (1) Except to the extent otherwise stipulated or directed by order of the Administrative Law Judge, a party shall, without awaiting a discovery request, provide to the opposing party:

(i) The name and, if known, the address and telephone number of each individual likely to have discoverable information that the disclosing party may use to support its claims or defenses, unless solely for impeachment of a witness appearing in person or by deposition;

(ii) A copy, or a description by category and location, of all documents, data compilations, and tangible things that are in the possession, custody, or control of the party and that the disclosing party may use to support its claims or defenses, unless solely for impeachment of a witness appearing in person or by deposition;

(iii) The disclosures described in paragraph (a)(1)(i) of this section shall be made not later than 30 days after the issuance of an Order Instituting Proceedings, unless a different time is set by stipulation or by order of the Administrative Law Judge.

(b) Prehearing disclosures. (1) In addition to the disclosures required by paragraph (a) of this section, a party must provide to the opposing party, and promptly file with the Administrative Law Judge, the following information regarding the evidence that it may present at hearing for any purpose other than solely for impeachment of a witness appearing in person or by deposition:

(i) An outline or narrative summary of its case or defense (the Order Instituting Proceedings will usually satisfy this requirement for the Director and the answer thereto will usually satisfy this requirement for the respondent);

(ii) The legal theories upon which it will rely;

(iii) Copies and a list of documents or exhibits that it intends to introduce at the hearing; and

(iv) A list identifying each witness who will testify on its behalf, including the witness’s name, occupation, address, phone number, and a brief summary of the expected testimony.

(2) Unless otherwise directed by the Administrative Law Judge, the disclosures required by paragraph (b)(1) of this section shall be made not later than 30 days before the date of the hearing.

(c) Disclosure of expert testimony. A party who intends to call an expert witness shall submit, in addition to the information required by paragraph (b)(1)(iv) of this section, a statement of the expert’s qualifications, a list of other proceedings in which the expert has given expert testimony, and a list of publications authored or co-authored by the expert.

(d) Form of disclosures. Unless the Administrative Law Judge orders otherwise, all disclosures under paragraphs (a) through (c) of this section shall be made in writing, signed, and served as provided in §501.705.
(e) Methods to discover additional matter. Parties may obtain discovery by one or more of the following methods: Depositions of witnesses upon oral examination or written questions; written interrogatories to another party; production of documents or other evidence for inspection; and requests for admission. All depositions of Federal employees must take place in Washington, DC, at the Department of the Treasury or at the location where the Federal employee to be deposed performs his or her duties, whichever the Federal employee’s supervisor or the Office of Chief Counsel shall deem appropriate. All depositions shall be held at a date and time agreed by the Office of Chief Counsel and the respondent or respondent’s representative, and for an agreed length of time.

(f) Discovery scope and limits. Unless otherwise limited by order of the Administrative Law Judge in accordance with paragraph (f)(2) of this section, the scope of discovery is as follows:

(1) In general. The availability of information and documents through discovery is subject to the assertion of privileges available to the parties and witnesses. Privileges available to the Director and the Department include exemptions afforded pursuant to the Freedom of Information Act (5 U.S.C. 552(b)(1) through (9)) and the Privacy Act (5 U.S.C. 552a). Parties may obtain discovery regarding any matter, not privileged, that is relevant to the merits of the pending action, including the existence, description, nature, custody, condition, and location of any books, documents, or other tangible things and the identity and location of any persons having knowledge of any discoverable matter. For good cause, the Administrative Law Judge may order discovery of any matter relevant to the subject matter involved in the proceeding. Relevant information need not be admissible at the hearing if the discovery appears reasonably calculated to lead to the discovery of admissible evidence.

(2) Limitations. The Administrative Law Judge may issue any order that justice requires to ensure that discovery requests are not unreasonable, oppressive, excessive in scope or unduly burdensome, including an order to show cause why a particular discovery request is justified upon motion of the objecting party. The frequency or extent of use of the discovery methods otherwise permitted under this section may be limited by the Administrative Law Judge if he or she determines that:

(i) The discovery sought is unreasonably cumulative or duplicative, or is obtainable from some other source that is more convenient, less burdensome, or less expensive;

(ii) The party seeking discovery has had ample opportunity by discovery in the action to obtain the information sought; or

(iii) The burden or expense of the proposed discovery outweighs its likely benefit, taking into account the needs of the hearing, the importance of the issues at stake, and the importance of the proposed discovery in resolving the issues.

(3) Interrogatories. Respondent’s interrogatories shall be served upon the Office of the Chief Counsel not later than 30 days after issuance of the Order Instituting Proceedings. The Director’s interrogatories shall be served by the later of 30 days after the receipt of service of respondent’s interrogatories or 40 days after issuance of the Order Instituting Proceedings if no interrogatories are filed by respondent. Parties shall respond to interrogatories not later than 30 days after the date interrogatories are received. Interrogatories shall be limited to 20 questions only. Each subpart, section, or other designation of a part of a question shall be counted as one complete question in computing the permitted 20 question total. Where more than 20 questions are served upon a party, the receiving party may determine which of the 20 questions the receiving party shall answer. The limitation on the number of questions in an interrogatory may be waived by the Administrative Law Judge.

(4) Privileged matter. Privileged documents are not discoverable. Privileges include, but are not limited to, the attorney-client privilege, attorney work-product privilege, any government’s or government agency’s deliberative-process or classified information privilege, including materials classified pursuant
§ 501.724 Documents that may be withheld.

(a) Notwithstanding § 501.723(f), the Director or respondent may withhold a document if:
(1) The document is privileged;
(2) The document would disclose the identity of a confidential source; or
(3) The Administrative Law Judge grants leave to withhold a document or category of documents as not relevant to the subject matter of the proceeding or otherwise, for good cause shown.

(b) Nothing in paragraph (a) of this section authorizes the Director to withhold documents that contain material exculpatory evidence.

(c) Withheld document list. The Director and respondent shall provide the Administrative Law Judge, for review, a list of documents withheld pursuant to paragraphs (a)(1)–(3) of this section. The Administrative Law Judge shall determine whether any such document should be made available for inspection and copying.

§ 501.725 Confidential treatment of information in certain filings.

(a) Filing document under seal. (1) The Director may file any document or any part of a document under seal and/or seek a protective order concerning any document if disclosure of the document would be inconsistent with the protection of the public interest or if justice requires protection of any person, including a source or a party, from annoyance, threat, oppression, or undue burden or expense, or the disclosure of the information would be, or might reasonably lead to a disclosure, contrary to Executive Order 12958, as amended by Executive Order 13292, or other Executive orders concerning disclosure of information, Department regulations, or the Privacy Act, or information exempt from release under the Freedom of Information Act. The Administrative Law Judge shall allow placement of any such document under seal and/or grant a protective order upon a showing that the disclosure would be inconsistent with any such statute or Executive order, or that the harm resulting from disclosure would outweigh the benefits of disclosure.

(2) A respondent may file any document or any part of a document under seal and/or seek a protective order to limit such document from disclosure to other parties or to the public. The Administrative Law Judge shall allow placement of any document under seal and/or grant a protective order upon a showing that the harm resulting from disclosure would outweigh the benefits of disclosure.

(3) A respondent may file any document or any part of a document under seal and/or seek a protective order to limit such document from disclosure to other parties or to the public. The Administrative Law Judge shall allow placement of any document under seal and/or grant a protective order upon a showing that the harm resulting from disclosure would outweigh the benefits of disclosure.

(4) The Administrative Law Judge shall safeguard the security and integrity of any documents under seal or...
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protective order and shall take all appropriate steps to preserve the confidentiality of such documents or any parts thereof, including closing a hearing or portions of a hearing to the public. Release of any information under seal or to the extent inconsistent with a protective order, in any form or manner, is subject to the sanctions and the exercise of the authorities as are provided with respect to ex parte communications under §501.719.

(4) If the Administrative Law Judge denies placement of any document under seal or under protective order, any party, and any person whose document or material is at issue, may obtain interlocutory review by the Secretary’s designee. In such cases the Administrative Law Judge shall not release or expose any of the records or documents in question to the public or to any person for a period of 20 days from the date of the Administrative Law Judge’s ruling, in order to permit a party the opportunity either to withdraw the records and documents or obtain interlocutory review by the Secretary’s designee and an order that the records be placed under seal or a protective order.

(5) Upon settlement, final decision, or motion to the Administrative Law Judge for good cause shown, all materials (including all copies) under seal or protective order shall be returned to the submitting parties, except when it may be necessary to retain a record until any judicial process is completed.

(b) Application. An application for a protective order or to place under seal shall be filed with the Administrative Law Judge. The application shall be accompanied by a sealed copy of the materials as to which confidential treatment is sought.

(1) Procedure for supplying additional information. The person making the application may be required to furnish in writing additional information with respect to the grounds for objection to public disclosure. Failure to supply the information so requested within 14 days from the date of receipt of a notice of the information required shall be deemed a waiver of the objection to public disclosure of that portion of the information to which the additional information relates, unless the Administrative Law Judge shall otherwise order for good cause shown at or before the expiration of such 14-day period.

(2) Confidentiality of materials pending final decision. Pending the determination of the application for confidential treatment, transcripts, non-final orders including an initial decision, if any, and other materials in connection with the application shall be placed under seal; shall be for the confidential use only of the Administrative Law Judge, the Secretary’s designee, the applicant, the Director, and any other respondent and representative; and shall be made available to the public only in accordance with orders of the Administrative Law Judge or the Secretary’s designee.

(3) Public availability of orders. Any final order of the Administrative Law Judge or the Secretary’s designee denying or sustaining an application for confidential treatment shall be made public. Any prior findings or opinions relating to an application for confidential treatment under this section shall be made public at such time as the material as to which confidentiality was requested is made public.

§ 501.726 Motions.

(a) Generally. Unless made during a hearing or conference, a motion shall be in writing, shall state with particularity the grounds therefor, shall set forth the relief or order sought, and shall be accompanied by a written brief of the points and authorities relied
upon. Motions by a respondent must be filed with the Administrative Law Judge and served upon the Director through the Office of Chief Counsel and with any other party respondent or respondent's representative, unless otherwise directed by the Administrative Law Judge. Motions by the Director must be filed with the Administrative Law Judge and served upon each party respondent or respondent's representative. All written motions must be served in accordance with, and otherwise meet the requirements of, §501.705. The Administrative Law Judge may order that an oral motion be submitted in writing. No oral argument shall be heard on any motion unless the Administrative Law Judge otherwise directs.

(b) Opposing and reply briefs. Except as provided in §501.741(e), briefs in opposition to a motion shall be filed not later than 15 days after service of the motion. Reply briefs shall be filed not later than 3 days after service of the opposition. The failure of a party to oppose a written motion or an oral motion made on the record shall be deemed a waiver of objection by that party to the entry of an order substantially in the form of any proposed order accompanying the motion.

(c) Dilatory motions. Frivolous, dilatory, or repetitive motions are prohibited. The filing of such motions may form the basis for sanctions.

(d) Length limitation. Except as otherwise ordered by the Administrative Law Judge, a brief in support of, or in opposition to, a motion shall not exceed 15 pages, exclusive of pages containing any table of contents, table of authorities, or addendum.

(e) A motion to set aside a default shall be made within a reasonable time as determined by the Administrative Law Judge, state the reasons for the failure to appear or defend, and, if applicable, specify the nature of the proposed defense in the proceeding. In order to prevent injustice and on such conditions as may be appropriate, the Administrative Law Judge, at any time prior to the filing of his or her decision, or the Secretary's designee, at any time during the review process, may for good cause shown set aside a default.

§ 501.727 Motion for summary disposition.

(a) At any time after a respondent's answer has been filed, the respondent or the Director may make a motion for summary disposition of any or all allegations contained in the Order Instituting Proceedings. If the Director has not completed presentation of his or her case-in-chief, a motion for summary disposition shall be made only with permission of the Administrative Law Judge. The facts of the pleadings of the party against whom the motion is made shall be taken as true, except as modified by stipulations or admissions made by that party, by uncontested affidavits, or by facts officially noticed pursuant to §501.732(b).

(b) Decision on motion. The Administrative Law Judge may promptly decide the motion for summary disposition or may defer decision on the motion. The Administrative Law Judge shall issue an order granting a motion for summary disposition if the record shows there is no genuine issue with regard to any material fact and the party making the motion is entitled to a summary disposition as a matter of law.

(c) A motion for summary disposition must be accompanied by a statement of the material facts as to which the moving party contends there is no genuine issue. Such motion must be supported by documentary evidence, which may take the form of admissions in pleadings, stipulations, depositions, transcripts, affidavits, and any other evidentiary materials that the moving party contends support its position. The motion must also be accompanied by a brief containing the points and authorities in support of the contention that summary disposition would be inappropriate.
§ 501.728 Subpoenas.

(a) Availability; procedure. In connection with any hearing before an Administrative Law Judge, either the respondent or the Director may request the issuance of subpoenas requiring the attendance and testimony of witnesses at the designated time and place of hearing, and subpoenas requiring the production of documentary or other tangible evidence returnable at a designated time and place. Unless made on the record at a hearing, requests for issuance of a subpoena shall be made in writing and served on each party pursuant to § 501.705.

(b) Standards for issuance. If it appears to the Administrative Law Judge that a subpoena sought may be unreasonable, oppressive, excessive in scope, or unduly burdensome, he or she may, in his or her discretion, as a condition precedent to the issuance of the subpoena, require the person seeking the subpoena to show the general relevance and reasonable scope of the testimony or other evidence sought. If after consideration of all the circumstances, the Administrative Law Judge determines that the subpoena or any of its terms is unreasonable, oppressive, excessive in scope, or unduly burdensome, he or she may refuse to issue the subpoena, or issue a modified subpoena as fairness requires. In making the foregoing determination, the Administrative Law Judge may inquire of the other participants whether they will stipulate to the facts sought to be proved.

(c) Service. Service of a subpoena shall be made pursuant to the provisions of § 501.705.

(d) Application to quash or modify—(1) Procedure. Any person to whom a subpoena is directed or who is an owner, creator or the subject of the documents or materials that are to be produced pursuant to a subpoena may, prior to the time specified therein for compliance, but not later than 15 days after the date of service of such subpoena, request that the subpoena be quashed or modified. Such request shall be made by application filed with the Administrative Law Judge and served on all parties pursuant to § 501.705. The party on whose behalf the subpoena was issued may, not later than 5 days after service of the application, file an opposition to the application.

(2) Standards governing application to quash or modify. If the Administrative Law Judge determines that compliance with the subpoena would be unreasonable, oppressive or unduly burdensome, the Administrative Law Judge may quash or modify the subpoena, or may order return of the subpoena only upon specified conditions. These conditions may include, but are not limited to, a requirement that the party on whose behalf the subpoena was issued shall make reasonable compensation to the person to whom the subpoena was addressed for the cost of copying or transporting evidence to the place for return of the subpoena.

(e) Witness fees and mileage. Witnesses summoned to appear at a proceeding shall be paid the same fees and mileage that are paid to witnesses in the courts of the United States, and witnesses whose depositions are taken and the persons taking the same shall severally be entitled to the same fees as are paid for like services in the courts of the United States. Witness fees and mileage shall be paid by the party at whose instance the witnesses appear.

§ 501.729 Sanctions.

(a) Contemptuous conduct—(1) Subject to exclusion or suspension. Contemptuous conduct by any person before an Administrative Law Judge or the Secretary's designee during any proceeding, including any conference, shall be grounds for the Administrative Law Judge or the Secretary's designee to:

(i) Exclude that person from such hearing or conference, or any portion thereof; and/or

(ii) If a representative, summarily suspend that person from representing others in the proceeding in which such conduct occurred for the duration, or any portion, of the proceeding.

(2) Adjournment. Upon motion by a party represented by a representative subject to an order of exclusion or suspension, an adjournment shall be granted to allow the retention of a new representative. In determining the length of an adjournment, the Administrative Law Judge or the Secretary's designee shall consider, in addition to...
§ 501.730 Depositions upon oral examination.

(a) Procedure. Any party desiring to take the testimony of a witness by deposition shall make a written motion setting forth the reasons why such deposition should be taken including the specific reasons why the party believes the witness may be unable to attend or testify at the hearing; the name and address of the prospective witness; the matters concerning which the prospective witness is expected to be questioned; and the proposed time and place for the taking of the deposition.

(b) Required finding when ordering a deposition. In the discretion of the Administrative Law Judge, an order for deposition may be issued upon a finding that the prospective witness will likely give testimony material to the proceeding, that it is likely the prospective witness will be unable to attend or testify at the hearing because of age, sickness, infirmity, imprisonment or other disability, and that the taking of a deposition will serve the interests of justice.

(c) Contents of order. An order for deposition shall designate by name a deposition officer. The designated officer may be the Administrative Law Judge or any other person authorized to administer oaths by the laws of the United States or of the place where the deposition is to be held. An order for deposition also shall state:

(1) The name of the witness whose deposition is to be taken;
(2) The scope of the testimony to be taken;
(3) The time and place of the deposition;
(4) The manner of recording, preserving and filing the deposition; and
(5) The number of copies, if any, of the deposition and exhibits to be filed upon completion of the deposition.

(d) Procedure at depositions. A witness whose testimony is taken by deposition shall swear or affirm before any questions are put to him or her. Examination and cross-examination of witnesses may proceed as permitted at a hearing. A witness being deposed may have counsel or a representative present during the deposition.

(e) Objections to questions or evidence. Objections to questions or evidence shall be in short form, stating the grounds of objection relied upon. Objections to questions or evidence shall be noted by the deposition officer at the hearing.
Judge) shall not have the power to decide on the competency, materiality or relevance of evidence. Failure to object to questions or evidence before the deposition officer shall not be deemed a waiver unless the ground of the objection is one that might have been obviated or removed if presented at that time.

(f) Filing of depositions. The questions asked and all answers or objections shall be recorded or transcribed verbatim, and a transcript shall be prepared by the deposition officer, or under his or her direction. The transcript shall be subscribed by the witness and certified by the deposition officer. The original deposition transcript and exhibits shall be filed with the Administrative Law Judge. A copy of the deposition transcript and exhibits shall be served on the opposing party or parties. The cost of the transcript (including copies) shall be paid by the party requesting the deposition.

§ 501.731 Depositions upon written questions.

(a) Availability. Depositions may be taken and submitted on written questions upon motion of any party. The motion shall include the information specified in §501.730(a). A decision on the motion shall be governed by §501.730(b).

(b) Procedure. Written questions shall be filed with the motion. Not later than 10 days after service of the motion and written questions, any party may file objections to such written questions and any party may file cross questions. When a deposition is taken pursuant to this section no persons other than the witness, representative or counsel to the witness, the deposition officer, and, if the deposition officer does not act as reporter, a reporter, shall be present at the examination of the witness. No party shall be present or represented unless otherwise permitted by order. The deposition officer shall propound the questions and cross questions to the witness in the order submitted.

(c) Additional requirements. The order for deposition, filing of the deposition, form of the deposition and use of the deposition in the record shall be governed by paragraphs (b) through (g) of §501.730, except that no cross-examination shall be made.

§ 501.732 Evidence.

The applicable evidentiary standard for proceedings under this subpart is proof by a preponderance of reliable, probative, and substantial evidence. The Administrative Law Judge shall admit any relevant and material oral, documentary, or demonstrative evidence. The Federal Rules of Evidence do not apply, by their own force, to proceedings under this subpart, but shall be employed as general guidelines. The fact that evidence submitted by a party is hearsay goes only to the weight of the evidence and does not affect its admissibility.

(a) Objections and offers of proof—(1) Objections. Objections to the admission or exclusion of evidence must be made on the record and shall be in short form, stating the grounds relied upon. Exceptions to any ruling thereon by the Administrative Law Judge need not be noted at the time of the ruling. Such exceptions will be deemed waived on review by the Secretary’s designee, however, unless raised:

(i) Pursuant to interlocutory review in accordance with §501.741;

(ii) In a proposed finding or conclusion filed pursuant to §501.738; or

(iii) In a petition for the Secretary’s designee’s review of an Administrative Law Judge’s decision filed in accordance with §501.741.

(b) Offers of proof. Whenever evidence is excluded from the record, the party offering such evidence may make an offer of proof, which shall be included in the record. Excluded material shall be retained pursuant to §501.739(b).

(b) Official notice. An Administrative Law Judge or Secretary’s designee may take official notice of any material fact that might be judicially noticed by a district court of the United States, any matter in the public official records of the Secretary, or any matter that is particularly within the knowledge of the Department as an expert body. If official notice is requested or taken of a material fact not appearing in the evidence in the record, a party, upon timely request to the Administrative Law Judge, shall be afforded an opportunity to establish the contrary.
§ 501.733 Stipulations.

The parties may, by stipulation, at any stage of the proceeding agree upon any pertinent fact in the proceeding. A stipulation may be received in evidence and, when accepted by the Administrative Law Judge, shall be binding on the parties to the stipulation.

§ 501.733 Evidence: confidential information, protective orders.

(a) Procedure. In any proceeding as defined in §501.702, a respondent; the Director; any person who is the owner, subject or creator of a document subject to subpoena or which may be introduced as evidence; or any witness who testifies at a hearing may file a motion requesting a protective order to limit from disclosure to other parties or to the public documents or testimony containing confidential information. The motion should include a general summary or extract of the documents without revealing confidential details. If a person seeks a protective order against disclosure to other parties or to the public documents or testimony containing confidential information. The motion should include a general summary or extract of the documents without revealing confidential details. If a person seeks a protective order against disclosure to other parties as well as the public, copies of the documents shall not be served on other parties. Unless the documents are unavailable, the person shall file for inspection by the Administrative Law Judge a sealed copy of the documents as to which the order is sought.

(b) Basis for issuance. Documents and testimony introduced in a public hearing are presumed to be public. A motion for a protective order shall be granted only upon a finding that the harm resulting from disclosure would outweigh the benefits of disclosure.

(c) Requests for additional information supporting confidentiality. A person seeking a protective order under paragraph (a) of this section may be required to furnish in writing additional information with respect to the grounds for confidentiality. Failure to supply the information so requested not later than 5 days from the date of receipt by the person of a notice of the information required shall be deemed a waiver of the objection to public disclosure of that portion of the documents to which the additional information relates, unless the Administrative Law Judge shall otherwise order for good cause shown at or before the expiration of such 5-day period.

(d) Confidentiality of documents pending decision. Pending a determination of a motion under this section, the documents as to which confidential treatment is sought and any other documents that would reveal the confidential information in those documents shall be maintained under seal and shall be disclosed only in accordance with orders of the Administrative Law Judge. Any order issued in connection with a motion under this section shall be made public unless the order would disclose information as to which a protective order has been granted, in which case that portion of the order that would reveal the protected information shall not be made public.

§ 501.734 Introducing prior sworn statements of witnesses into the record.

(a) At a hearing, any person wishing to introduce a prior, sworn statement of a witness who is not a party to the proceeding, that is otherwise admissible in the proceeding, may make a motion setting forth the reasons therefor. If only part of a statement is offered in evidence, the Administrative Law Judge may require that all relevant portions of the statement be introduced. If all of a statement is offered in evidence, the Administrative Law Judge may require that portions not relevant to the proceeding be excluded. A motion to introduce a prior sworn statement may be granted if:

(1) The witness is dead;

(2) The witness is out of the United States, unless it appears that the absence of the witness was procured by the party offering the prior sworn statement;
(3) The witness is unable to attend or testify because of age, sickness, infirmity, imprisonment or other disability;

(4) The party offering the prior sworn statement has been unable to procure the attendance of the witness by subpoena; or,

(5) In the discretion of the Administrative Law Judge, it would be desirable, in the interests of justice, to allow the prior sworn statement to be used. In making this determination, due regard shall be given to the presumption that witnesses will testify orally in an open hearing. If the parties have stipulated to accept a prior sworn statement in lieu of live testimony, consideration shall also be given to the convenience of the parties in avoiding unnecessary expense.

§ 501.735 Proposed findings, conclusions and supporting briefs.

(a) Opportunity to file. Before a decision is issued by the Administrative Law Judge, each party shall have an opportunity, reasonable in light of all the circumstances, to file in writing proposed findings and conclusions.

(b) Procedure. Proposed findings of fact must be supported by citations to specific portions of the record. If successive filings are directed, the proposed findings and conclusions of the party assigned to file first shall be set forth in serially numbered paragraphs, and any counter statement of proposed findings and conclusions shall, in addition to any other matter presented, indicate those paragraphs of the proposals already filed as to which there is no dispute. A reply brief may be filed by the party assigned to file first, or, where simultaneous filings are directed, reply briefs may be filed by each party, within the period prescribed therefor by the Administrative Law Judge. No further briefs may be filed except with permission of the Administrative Law Judge.

(c) Time for filing. In any proceeding in which a decision is to be issued:

(1) At the close of each hearing, the Administrative Law Judge shall, by order, after consultation with the parties, prescribe the period within which proposed findings and conclusions and supporting briefs are to be filed. The party directed to file first shall make its initial filing not later than 30 days after the end of the hearing unless the Administrative Law Judge, for good cause shown, permits a different period and sets forth in the order the reasons why the different period is necessary.

(2) The total period within which all such proposed findings and conclusions and supporting briefs and any counter statements of proposed findings and conclusions and reply briefs are to be filed shall be no longer than 90 days after the close of the hearing unless the Administrative Law Judge, for good cause shown, permits a different period and sets forth in an order the reasons why the different period is necessary.

§ 501.736 Authority of Administrative Law Judge.

The Administrative Law Judge shall have authority to do all things necessary and appropriate to discharge his or her duties. No provision of these rules shall be construed to limit the powers of the Administrative Law Judge provided by the Administrative Procedure Act, 5 U.S.C. 556, 557. The powers of the Administrative Law Judge include, but are not limited to:

(a) Administering oaths and affirmations;

(b) Issuing subpoenas authorized by law and revoking, quashing, or modifying any such subpoena;

(c) Receiving relevant evidence and ruling upon the admission of evidence and offers of proof;

(d) Regulating the course of a proceeding and the conduct of the parties and their representatives;

(e) Holding prehearing and other conferences as set forth in §501.726 and requiring the attendance at any such conference of at least one representative of each party who has authority to negotiate concerning the resolution of issues in controversy;

(f) Subject to any limitations set forth elsewhere in this subpart, considering and ruling on all procedural and other motions;

(g) Upon notice to all parties, reopening any hearing prior to the issuance of a decision;

(h) Requiring production of records or any information relevant to any act
or transaction subject to a hearing under this subpart, and imposing sanctions available under Federal Rule of Civil Procedure 37(b)(2) (Fed. R. Civ. P. 37(b)(2), 28 U.S.C.) for a party’s failure to comply with discovery requests:
(i) Establishing time, place, and manner limitations on the attendance of the public and the media for any hearing; and
(j) Setting fees and expenses for witnesses, including expert witnesses.

§ 501.737 Adjustments of time, postponements and adjournments.

(a) Availability. Except as otherwise provided by law, the Administrative Law Judge or the Secretary’s designee, as appropriate, at any time prior to the filing of his or her decision, may, for good cause and in the interest of justice, modify any time limit prescribed by this subpart and may, consistent with paragraph (b) of this section, postpone or adjourn any hearing.

(b) Limitations on postponements, adjournments and adjustments. A hearing shall begin at the time and place ordered, provided that, within the limits provided, the Administrative Law Judge or the Secretary’s designee, as appropriate, may for good cause shown postpone the commencement of the hearing or adjourn any hearing.

(1) Additional considerations. In considering a motion for postponement of the start of a hearing, adjournment once a hearing has begun, or extensions of time for filing papers, the Administrative Law Judge or the Secretary’s designee, as appropriate, shall consider, in addition to any other factors:
(i) The length of the proceeding to date;
(ii) The number of postponements, adjournments or extensions already granted;
(iii) The stage of the proceedings at the time of the request; and
(iv) Any other matter as justice may require.

(2) Time limit. Postponements, adjournments or extensions of time for filing papers shall not exceed 21 days unless the Administrative Law Judge or the Secretary’s designee, as appropriate, states on the record or sets forth in a written order the reasons why a longer period of time is necessary.

§ 501.738 Disqualification and withdrawal of Administrative Law Judge.

(a) Notice of disqualification. If at any time an Administrative Law Judge or Secretary’s designee believes himself or herself to be disqualified from considering a matter, the Administrative Law Judge or Secretary’s designee, as appropriate, shall issue a notice stating that he or she is withdrawing from the matter and setting forth the reasons therefor.

(b) Motion for Withdrawal. Any party who has a reasonable, good faith basis to believe an Administrative Law Judge or Secretary’s designee has a personal bias, or is otherwise disqualified from hearing a case, may make a motion to the Administrative Law Judge or Secretary’s designee withdraw. The motion shall be accompanied by a statement subject to 18 U.S.C. 1001 setting forth in detail the facts alleged to constitute grounds for disqualification. If the Administrative Law Judge or Secretary’s designee finds himself or herself qualified, he or she shall so rule and shall continue to preside over the proceeding.

§ 501.739 Record in proceedings before Administrative Law Judge; retention of documents; copies.

(a) Recordation. Unless otherwise ordered by the Administrative Law Judge, all hearings shall be recorded and a written transcript thereof shall be prepared.

(1) Availability of a transcript. Transcripts of hearings shall be available for purchase.

(2) Transcript correction. Prior to the filing of post-hearing briefs or proposed findings and conclusions, or within such earlier time as directed by the Administrative Law Judge, a party or witness may make a motion to correct the transcript. Proposed corrections of the transcript may be submitted to the Administrative Law Judge by stipulation pursuant to § 501.732(c), or by motion. Upon notice to all parties to the proceeding, the Administrative Law
Judge may, by order, specify corrections to the transcript.

(b) Contents of the record. The record of each hearing shall consist of:

(1) The Order Instituting Proceedings, Answer to Order Instituting Proceedings, Notice of Hearing and any amendments thereto;

(2) Each application, motion, submission or other paper, and any amendments, motions, objections, and exceptions to or regarding them;

(3) Each stipulation, transcript of testimony, interrogatory, deposition, and document or other item admitted into evidence;

(4) With respect to a request to disqualify an Administrative Law Judge or to allow the Administrative Law Judge's withdrawal under §501.738, each affidavit or transcript of testimony taken and the decision made in connection with the request;

(5) All proposed findings and conclusions;

(6) Each written order issued by the Administrative Law Judge; and

(7) Any other document or item accepted into the record by the Administrative Law Judge.

(c) Retention of documents not admitted. Any document offered as evidence but excluded, and any document marked for identification but not offered as an exhibit, shall not be part of the record. The Administrative Law Judge shall retain any such document until the later of the date the proceeding becomes final, or the date any judicial review of the final proceeding is no longer available.

(d) Substitution of copies. A true copy of a document may be substituted for any document in the record or any document retained pursuant to paragraph (c) of this section.

§ 501.740 Decision of Administrative Law Judge.

The Administrative Law Judge shall prepare a decision that constitutes his or her final disposition of the proceedings.

(a) Content. (1) The Administrative Law Judge shall determine whether or not the respondent has violated any provision of parts 500 and 515 of this chapter or the provisions of any license, ruling, regulation, order, direction or instruction issued by or under the authority of the Secretary pursuant to part 500 or 515 of this chapter or otherwise under the Trading with the Enemy Act.

(2) The Administrative Law Judge’s decision shall include findings and conclusions, and the reasons or basis therefor, as to all the material issues of fact, law or discretion presented on the record.

(3) (i) Upon a finding of violation, the Administrative Law Judge shall award an appropriate monetary civil penalty in an amount consistent with the Penalty Guidelines published by the Director.

(ii) Notwithstanding paragraph (a)(3)(i) of this section, the Administrative Law Judge:

(A) Shall provide an opportunity for a respondent to assert his or her inability to pay a penalty, or financial hardship, by filing with the Administrative Law Judge a financial disclosure statement subject to 18 U.S.C. 1001 that sets forth in detail the basis for the financial hardship or the inability to pay; and

(B) Shall consider any such filing in determining the appropriate monetary civil penalty.

(b) Administrative Law Judge’s decision—(1) Service. The Administrative Law Judge shall serve his or her decision on the respondent and on the Director through the Office of Chief Counsel, and shall file a copy of the decision with the Secretary’s designee.

(2) Filing of report with the Secretary’s designee. If the respondent or Director files a petition for review pursuant to §501.741, or upon a request from the Secretary’s designee, the Administrative Law Judge shall file his or her report with the Secretary’s designee not later than 20 days after service of his or her decision on the parties. The report shall consist of the record, including the Administrative Law Judge’s decision, and any petition from the respondent or the Director seeking review.

(3) Correction of errors. Until the Administrative Law Judge’s report has been directed for review by the Secretary’s designee or, in the absence of a direction for review, until the decision
§ 501.741 Review of decision or ruling.

(a) Availability. (1)(i) Review of the decision of the Administrative Law Judge by the Secretary’s designee is not a right. The Secretary’s designee may, in his or her discretion, review the decision of the Administrative Law Judge on the petition of either the respondent or the Director, or upon his or her own motion. The Secretary’s designee shall determine whether to review a decision:

(A) If a petition for review has been filed by the respondent or the Director, not later than 30 days after that date the Administrative Law Judge filed his or her report with the Secretary’s designee pursuant to paragraph (b)(2) of this section; or

(B) If no petition for review has been filed by the respondent or the Director, not later than 40 days after the date the Administrative Law Judge filed his or her decision with the Secretary’s designee pursuant to paragraph (b)(1) of this section.

(ii) In determining whether to review a decision upon petition of the respondent or the Director, the Secretary’s designee shall consider whether the petition makes a reasonable showing that:

(A) A prejudicial error was committed in the conduct of the proceeding; or

(B) The decision embodies:

(1) A finding or conclusion of material fact that is clearly erroneous;

(2) A conclusion of law that is erroneous; or

(3) An exercise of discretion or decision of law or policy that is important and that the Secretary’s designee should review.

(2) Interlocutory review of ruling. The Secretary’s designee shall review any ruling of an Administrative Law Judge involving privileged or confidential material that is the subject of a petition for review. See §501.725.

(b) Filing. Either the respondent or the Director, when adversely affected or aggrieved by the decision or ruling of the Administrative Law Judge, may seek review by the Secretary’s designee by filing a petition for review. Any petition for review shall be filed with the Administrative Law Judge within 30 days after service of the Administrative Law Judge’s decision or the issuance of a ruling involving privileged or confidential material.

(c) Contents. The petition shall state why the Secretary’s designee should review the Administrative Law Judge’s decision or ruling, including: Whether the Administrative Law Judge’s decision or ruling raises an important question of law, policy or discretion; whether review by the Secretary’s designee will resolve a question about which the Department’s Administrative Law Judges have rendered differing opinions; whether the Administrative Law Judge’s decision or ruling is contrary to law or Department precedent; whether a finding of material fact is not supported by a preponderance of the evidence; or whether a prejudicial error of procedure or an abuse of discretion was committed. A petition should concisely state the portions of the decision or ruling for which review is sought. A petition shall not incorporate by reference a brief or legal memorandum.

(d) When filing effective. A petition for review is filed when received by the Administrative Law Judge.

(e) Statements in opposition to petition. Not later than 8 days after the filing of a petition for review, either the respondent or the Director may file a statement in opposition to a petition. A statement in opposition to a petition for review shall be filed in the manner
specified in this section for filing of petitions for review. Statements in opposition shall concisely state why the Administrative Law Judge’s decision or ruling should not be reviewed with respect to each portion of the petition to which it is addressed.

(f) Number of copies. An original and three copies of a petition or a statement in opposition to a petition shall be filed with the Administrative Law Judge.

(g) Prerequisite to judicial review. Pursuant to section 704 of the Administrative Procedure Act, 5 U.S.C. 704, a petition for review by the Secretary’s designee of an Administrative Law Judge decision or ruling is a prerequisite to the seeking of judicial review of a final order entered pursuant to such decision or ruling.

§ 501.742 Secretary’s designee’s consideration of decisions by Administrative Law Judges.

(a) Scope of review. The Secretary’s designee may affirm, reverse, modify, set aside or remand for further proceedings, in whole or in part, a decision or ruling by an Administrative Law Judge and may make any findings or conclusions that in his or her judgment are proper and on the basis of the record and such additional evidence as the Secretary’s designee may receive in his or her discretion.

(b) Summary affirmance. The Secretary’s designee may summarily affirm an Administrative Law Judge’s decision or ruling based upon the petition for review and any response thereto, without further briefing, if he or she finds that no issue raised in the petition for review warrants further consideration.

§ 501.743 Briefs filed with the Secretary’s designee.

(a) Briefing schedule order. If review of a determination is mandated by judicial order or whenever the Secretary’s designee reviews a decision or ruling, the Secretary’s designee shall, unless such review results in summary affirmance pursuant to §501.742(b), issue a briefing schedule order directing the parties to file opening briefs and specifying particular issues, if any, as to which briefing should be limited or directed. Unless otherwise provided, opening briefs shall be filed not later than 40 days after the date of the briefing schedule order. Opposition briefs shall be filed not later than 30 days after the date opening briefs are due. Reply briefs shall be filed not later than 14 days after the date opposition briefs are due. No briefs in addition to those specified in the briefing schedule order may be filed without permission of the Secretary’s designee. The briefing schedule order shall be issued not later than 21 days after the later of:

(1) The last day permitted for filing a brief in opposition to a petition for review pursuant to §501.741(e); or

(2) Receipt by the Secretary’s designee of the mandate of a court with respect to a judicial remand.

(b) Contents of briefs. Briefs shall be confined to the particular matters at issue. Each exception to the findings or conclusions being reviewed shall be stated succinctly. Exceptions shall be supported by citation to the relevant portions of the record, including references to the specific pages relied upon, and by concise argument including citation of such statutes, decisions and other authorities as may be relevant. If the exception relates to the admission or exclusion of evidence, the substance of the evidence admitted or excluded shall be set forth in the brief, in an appendix thereto, or by citation to the record. If the exception relates to interlocutory review, there is no requirement to reference pages of the transcript. Reply briefs shall be confined to matters in opposition briefs of other parties.

(c) Length limitation. Opening and opposition briefs shall not exceed 30 pages and reply briefs shall not exceed 20 pages, exclusive of pages containing the table of contents, table of authorities, and any addendum, except with permission of the Secretary’s designee.

§ 501.744 Record before the Secretary’s designee.

The Secretary’s designee shall determine each matter on the basis of the record and such additional evidence as the Secretary’s designee may receive in his or her discretion. In any case of interlocutory review, the Administrative Law Judge shall direct that a
transcript of the relevant proceedings be prepared and forwarded to the Secretary’s designee.

(a) Contents of the record. In proceedings for final decision before the Secretary’s designee the record shall consist of:

(1) All items that are part of the record in accordance with §501.739;
(2) Any petitions for review, cross-petitions or oppositions;
(3) All briefs, motions, submissions and other papers filed on appeal or review; and
(4) Any other material of which the Secretary’s designee may take administrative notice.

(b) Review of documents not admitted. Any document offered in evidence but excluded by the Administrative Law Judge and any document marked for identification but not offered as an exhibit shall not be considered a part of the record before the Secretary’s designee on review but shall be transmitted to the Secretary’s designee if he or she so requests. In the event that the Secretary’s designee does not request the document, the Administrative Law Judge shall retain the document not admitted into the record until the later of:

(1) The date upon which the Secretary’s designee’s order becomes final; or
(2) The conclusion of any judicial review of that order.

§ 501.745 Orders and decisions: signature, date and public availability.

(a) Signature required. All orders and decisions of the Administrative Law Judge or Secretary’s designee shall be signed.

(b) Date of entry of orders. The date of entry of an order by the Administrative Law Judge or Secretary’s designee shall be the date the order is signed. Such date shall be reflected in the caption of the order, or if there is no caption, in the order itself.

(c) Public availability of orders. (1) In general, any final order of the Department shall be made public. Any supporting findings or opinions relating to a final order shall be made public at such time as the final order is made public.

(2) Exception. Any final order of the Administrative Law Judge or Secretary’s designee pertaining to an application for confidential treatment shall only be available to the public in accordance with §501.725(b)(3).

§ 501.746 Referral to United States Department of Justice; administrative collection measures.

In the event that the respondent does not pay any penalty imposed pursuant to this part within 30 calendar days of the mailing of the written notice of the imposition of the penalty, the matter may be referred for administrative collection measures or to the United States Department of Justice for appropriate action to recover the penalty in a civil suit in a Federal district court.

§ 501.747 Procedures on remand of decisions.

Either an Administrative Law Judge or a Secretary’s designee, as appropriate, shall reconsider any Department decision on judicial remand to the Department. The rules of practice contained in this subpart shall apply to all proceedings held on judicial remand.

Subpart E—Procedures


§ 501.801 Licensing.

(a) General licenses. General licenses have been issued authorizing under appropriate terms and conditions certain types of transactions which are subject to the prohibitions contained in this chapter. All such licenses are set forth in subpart E of each part contained in this chapter. General licenses may also be issued authorizing under appropriate terms and conditions certain types of transactions which are subject to prohibitions contained in economic sanctions programs the implementation and administration of which have been delegated to the Director of the Office of Foreign Assets Control but
which are not yet codified in this chapter. It is the policy of the Office of Foreign Assets Control not to grant applications for specific licenses authorizing transactions to which the provisions of an outstanding general license are applicable. Persons availing themselves of certain general licenses may be required to file reports and statements in accordance with the instructions specified in those licenses. Failure to file such reports or statements will nullify the authority of the general license.

(b) Specific licenses—(1) General course of procedure. Transactions subject to the prohibitions contained in this chapter, or to prohibitions the implementation and administration of which have been delegated to the Director of the Office of Foreign Assets Control, which are not authorized by general license may be effected only under specific licenses.

(2) Applications for specific licenses. Original signed applications for specific licenses to engage in any transactions prohibited by or pursuant to this chapter or sanctions programs that have been delegated to the Director of the Office of Foreign Assets Control for implementation and administration must be filed by mail or courier. Applications will not be accepted by fax or electronically, unless otherwise authorized. Applications may be submitted in letter form with the exception of license applications for the unblocking of funds transfers. Applications for the unblocking of funds transfers must be submitted using TD-F 90-22.54, “Application for the Release of Blocked Funds,” accompanied by two complete copies of the entire submission. The form, which requires information regarding the date of the blocking, the financial institutions involved in the transfer, and the beneficiary and amount of the transfer, may be obtained from the OFAC Internet Home Page: http://www.treas.gov/ofac, the OFAC fax-on-demand service: 202/622-0077, or the Compliance Programs Division, Office of Foreign Assets Control, Department of the Treasury, Washington, DC 20220. Any person having an interest in a transaction or proposed transaction may file an application for a license authorizing such transaction.

(3) Information to be supplied. The applicant must supply all information specified by relevant instructions and/or forms, and must fully disclose the names of all parties who are concerned with or interested in the proposed transaction. If the application is filed by an agent, the agent must disclose the name of his principal(s). Such documents as may be relevant shall be attached to each application as a part of such application, except that documents previously filed with the Office of Foreign Assets Control may, where appropriate, be incorporated by reference in such application. Applicants are required to supply their taxpayer identifying number pursuant to 31 U.S.C. 7701, which number may be used for purposes of collecting and reporting any delinquent amounts arising out of the applicant’s relationship with the United States Government. Applicants may be required to furnish such further information as is deemed necessary to a proper determination by the Office of Foreign Assets Control. Any applicant or other party in interest desiring to present additional information may do so at any time before or after decision. Arrangements for oral presentation should be made with the Office of Foreign Assets Control.

(4) Effect of denial. The denial of a license does not preclude the reopening of an application or the filing of a further application. The applicant or any other party in interest may at any time request explanation of the reasons for a denial by correspondence or personal interview.

(5) Reports under specific licenses. As a condition for the issuance of any license, the licensee may be required to file reports with respect to the transaction covered by the license, in such form and at such times and places as may be prescribed in the license or otherwise.

(6) Issuance of license. Licenses will be issued by the Office of Foreign Assets Control acting on behalf of the Secretary of the Treasury or licenses may be issued by the Secretary of the Treasury acting directly or through any specifically designated person, agency, or instrumentality.
(7) Address. License applications, reports, and inquiries should be addressed to the appropriate division or individual within the Office of Foreign Assets Control, or to its Director, at the following address: Office of Foreign Assets Control, U.S. Department of the Treasury, 1500 Pennsylvania Avenue, NW.—Annex, Washington, DC 20220.

(c) Registration of nongovernmental organizations—(1) Purpose of registration. For those parts of this chapter specifically authorizing the registration of nongovernmental organizations ("NGOs"), registration numbers may be issued on a case-by-case basis to NGOs involved in humanitarian or religious activities in countries or geographic areas subject to economic sanctions pursuant to this chapter V. A registration number authorizes certain transactions by or on behalf of the registered NGO otherwise prohibited by the specific part with respect to which the registration number is issued, including the exportation of goods, services, and funds to the country or geographic area subject to such part for the purpose of relieving human suffering. The transactions authorized for registered NGOs either will be specified by the statement of licensing policy in the part under which the registration number is issued or by the Office of Foreign Assets Control letter issuing the registration number.

(2) Application information to be supplied. Applications for registration numbers should be submitted to the Compliance Programs Division, Office of Foreign Assets Control, U.S. Department of the Treasury, 1500 Pennsylvania Avenue, NW., Annex, Washington, DC 20220, or by facsimile to (202) 622–2426, and must include:

(i) The organization’s name in English, in the language of origin, and any acronym or other names used to identify the organization;

(ii) Address and phone number of the organization’s headquarters location;

(iii) Full name in English, in the language of origin, and any acronym or other names used, as well as nationality, citizenship, current country of residence, place and date of birth for key staff at the organization’s headquarters, such as the chairman and board members, president, director, etc.;

(iv) Identification of field offices or partner offices elsewhere, including addresses, phone numbers, and organizational names used, as well as the identification of the senior officer(s) at these locations, including the person’s name, position, nationality, citizenship, and date of birth (names of individuals and organizations shall be provided in English, in the language of origin, and shall include any acronym or other names used to identify the individuals or organizations);

(v) Identification of subcontracting organizations, if any, to the extent known or contemplated at the time of the application;

(vi) Existing sources of income, such as official grants, private endowments, commercial activities;

(vii) Financial institutions that hold deposits on behalf of or extend lines of credit to the organization (names of individuals and organizations shall be provided in English, in the language of origin, and shall include any acronym or other names used to identify the individuals or organizations);

(viii) Independent accounting firms, if employed in the production of the organization’s financial statements (names of individuals and organizations shall be provided in English, in the language of origin, and shall include any acronym or other names used to identify the individuals or organizations);

(ix) A detailed description of the organization’s humanitarian or religious activities and projects in countries or geographic areas subject to economic sanctions pursuant to this chapter V;

(x) Most recent official registry documents, annual reports, and annual filings with the pertinent government, as applicable; and

(xi) Names and addresses of organizations to which the applicant currently provides or proposes to provide funding, services or material support, to the extent known at the time of the vetting, as applicable.

(3) Use of registration number. Registered NGOs conducting transactions authorized by their registrations to support their humanitarian or religious activities pursuant to any part of
this chapter should reference the registration number on all payments and funds transfers and on all related documentation, including all purchasing, shipping, and financing documents.

(4) Limitations. Registered NGOs are not authorized to make remittances from blocked accounts. Registration numbers are not transferable and may be revoked or modified at any time at the discretion of the Director, Office of Foreign Assets Control. Registration numbers do not excuse compliance with any law or regulation administered by the Office of Foreign Assets Control or any other agency (including reporting requirements) applicable to the transaction(s) herein authorized, nor does it release the Registrant or third parties from civil or criminal liability for violation of any law or regulation.

(5) Prior numbers. Registration numbers already issued remain in effect.

§ 501.802 Decisions.

The Office of Foreign Assets Control will advise each applicant of the decision respecting filed applications. The decision of the Office of Foreign Assets Control acting on behalf of the Secretary of the Treasury with respect to an application shall constitute final agency action.

§ 501.803 Amendment, modification, or revocation.

Except as otherwise provided by law, the provisions of each part of this chapter and any rulings, licenses (whether general or specific), authorizations, instructions, orders, or forms issued thereunder may be amended, modified or revoked at any time.

§ 501.804 Rulemaking.

(a) All rules and other public documents are issued by the Director of the Office of Foreign Assets Control. In general, rulemaking by the Office of Foreign Assets Control involves foreign affairs functions of the United States, and for that reason is exempt from the requirements under the Administrative Procedure Act (5 U.S.C. 553) for notice of proposed rulemaking, opportunity for public comment, and delay in effective date.

(b) Any interested person may petition the Director of the Office of Foreign Assets Control in writing for the issuance, amendment, or repeal of any rule.

§ 501.805 Rules governing availability of information.

(a) The records of the Office of Foreign Assets Control which are required by the Freedom of Information Act (5 U.S.C. 552) to be made available to the public shall be made available in accordance with the definitions, procedures, payment of fees, and other provisions of the regulations on the Disclosure of Records of the Departmental Offices and of other bureaus and offices of the Department of the Treasury issued under 5 U.S.C. 552 and published at 31 CFR part 1.

NOTE TO PARAGRAPH § 501.805(a): Records or information obtained or created in the implementation of part 598 of this chapter are not subject to disclosure under section 552(a)(3) of the Freedom of Information Act. See § 598.802 of this chapter.

(b) The records of the Office of Foreign Assets Control which are required by the Privacy Act (5 U.S.C. 552a) to be made available to an individual shall be made available in accordance with the definitions, procedures, requirements for payment of fees, and other provisions of the Regulations on the Disclosure of Records of the Departmental Offices and of other bureaus and offices of the Department of the Treasury issued under 5 U.S.C. 552a and published at 31 CFR part 1.

(c) Any form issued for use in connection with this chapter may be obtained in person or by writing to the Office of Foreign Assets Control, U.S. Department of the Treasury, 1500 Pennsylvania Avenue, NW,—Annex, Washington, DC 20220, or by calling 202/622–2480.

(d) Certain Civil Penalties Information.

(1) After the conclusion of a civil penalties proceeding that results in either the imposition of a civil monetary penalty or an informal settlement, OFAC shall make available to the public certain information on a routine basis,
§ 501.806  Procedures for unblocking funds believed to have been blocked due to mistaken identity.

When a transaction results in the blocking of funds at a financial institution pursuant to the applicable regulations of this chapter and a party to the transaction believes the funds have been blocked due to mistaken identity, that party may seek to have such funds unblocked pursuant to the following administrative procedures:

(a) Any person who is a party to the transaction may request the release of funds which the party believes to have been blocked due to mistaken identity.

(b) Requests to release funds which a party believes to have been blocked due to mistaken identity must be made in writing and addressed to the Office of Foreign Assets Control, Compliance Programs Division, 1500 Pennsylvania Avenue, NW.—Annex, Washington, DC 20220, or sent by facsimile transmission to the Compliance Programs Division at 202/622-1657.

(c) The written request to release funds must include the name, address, telephone number, and (where available) fax number of the party seeking the release of the funds. For individuals, the inclusion of a social security number is voluntary but will facilitate resolution of the request. For corporations or other entities, the application should include its principal place of business, the state of incorporation or organization, and the name and telephone number of the appropriate person to contact regarding the application.

(d) A request to release funds should include the following information, where known, concerning the transaction:

(1) The name of the financial institution in which the funds are blocked;
(2) The amount blocked;
(3) The date of the blocking;
(4) The identity of the original remitter of the funds and any intermediary financial institutions;
(5) The intended beneficiary of the blocked transfer;
(6) A description of the underlying transaction including copies of related documents (e.g., invoices, bills of lading, promissory notes, etc.).
§ 501.807 Procedures governing removal of names from appendices A, B, and C to this chapter.

A person may seek administrative reconsideration of his, her or its designation or that of a vessel as blocked, or assert that the circumstances resulting in the designation no longer apply, and thus seek to have the designation rescinded pursuant to the following administrative procedures:

(a) A person blocked under the provisions of any part of this chapter, including a specially designated national, specially designated terrorist, or specially designated narcotics trafficker (collectively, “a blocked person”), or a person owning a majority interest in a blocked vessel may submit arguments or evidence that the person believes establishes that insufficient basis exists for the designation. The blocked person also may propose remedial steps on the person’s part, such as corporate reorganization, resignation of persons from positions in a blocked entity, or similar steps, which the person believes would negate the basis for designation. A person owning a majority interest in a blocked vessel may propose the sale of the vessel, with the proceeds to be placed into a blocked interest-bearing account after deducting the costs incurred while the vessel was blocked and the costs of the sale. This submission must be made in writing and addressed to the Director, Office of Foreign Assets Control, U.S. Department of the Treasury, 1500 Pennsylvania Avenue, NW.—Annex, Washington, DC 20220.

(b) The information submitted by the blocked person seeking unblocking or by a person seeking the unblocking of a vessel will be reviewed by the Office of Foreign Assets Control, which may request clarifying, corroborating, or other additional information.

(c) A blocked person seeking unblocking or a person seeking the unblocking of a vessel may request a meeting with the Office of Foreign Assets Control; however, such meetings are not required, and the office may, at its discretion, decline to conduct such meetings prior to completing a review pursuant to this section.

(d) After the Office of Foreign Assets Control has conducted a review of the request for reconsideration, it will provide a written decision to the blocked person or person seeking the unblocking of a vessel.

[64 FR 5614, Feb. 4, 1999]
§ 501.901 Paperwork Reduction Act notice.

The information collection requirements in subparts C and D have been approved by the Office of Management and Budget ("OMB") under the Paperwork Reduction Act (44 U.S.C. 3507(j)) and assigned control number 1505–0164. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid control number assigned by OMB.

APPENDIX A TO PART 501—ECONOMIC SANCTIONS ENFORCEMENT GUIDELINES.

NOTE: This appendix provides a general framework for the enforcement of all economic sanctions programs administered by the Office of Foreign Assets Control (OFAC).

I. DEFINITIONS

A. Apparent violation means conduct that constitutes an actual or possible violation of U.S. economic sanctions laws, including the International Emergency Economic Powers Act (IEEPA), the Trading With the Enemy Act (TWEA), the Foreign Narcotics Kingpin Designation Act, and other statutes administered or enforced by OFAC, as well as Executive orders, regulations, orders, directives, or licenses issued pursuant thereto.

B. Applicable schedule amount means:

1. $1,000 with respect to a transaction valued at less than $1,000;
2. $10,000 with respect to a transaction valued at $1,000 or more but less than $10,000;
3. $25,000 with respect to a transaction valued at $10,000 or more but less than $25,000;
4. $50,000 with respect to a transaction valued at $25,000 or more but less than $50,000;
5. $100,000 with respect to a transaction valued at $50,000 or more but less than $100,000;
6. $170,000 with respect to a transaction valued at $100,000 or more but less than $170,000;
7. $250,000 with respect to a transaction valued at $170,000 or more, except that where the applicable schedule amount as defined above exceeds the statutory maximum civil penalty amount applicable to an apparent violation, the applicable schedule amount shall equal such applicable statutory maximum civil penalty amount.

C. OFAC means the Department of the Treasury’s Office of Foreign Assets Control.

D. Penalty is the final civil penalty amount imposed in a Penalty Notice.

E. Proposed penalty is the civil penalty amount set forth in a Pre-Penalty Notice.

F. Regulator means any Federal, State, local or foreign official or agency that has authority to license or examine an entity for compliance with federal, state, or foreign law.

G. Subject Person means an individual or entity subject to any of the sanctions programs administered or enforced by OFAC.

H. Transaction value means the dollar value of a subject transaction. In export and import cases, the transaction value generally will be the domestic value in the United States of the goods, technology, or services sought to be exported from or imported into the United States, as demonstrated by commercial invoices, bills of lading, signed Customs declarations, or similar documents. In cases involving seizures by U.S. Customs and Border Protection (CBP), the transaction value generally will be the dollar value of the underlying transaction involved, such as the value of the property dealt in or the amount of the funds transfer that a financial institution failed to block or reject. Where the transaction value is not otherwise ascertainable, OFAC may consider the market value of the goods or services that were the subject of the transaction, the economic benefit conferred on the sanctioned party, and/or the economic benefit derived by the Subject Person from the transaction, in determining transaction value. For purposes of these Guidelines, “transaction value” will not necessarily have the same meaning, nor be applied in the same manner, as that term is used for import valuation purposes at 19 CFR 152.103.

I. Voluntary self-disclosure means self-initiated notification to OFAC of an apparent violation by a Subject Person that has committed, or otherwise participated in, an apparent violation of a statute, Executive order, or regulation administered or enforced by OFAC, prior to or at the same time that OFAC, or any other federal, state, or local government agency or official, discovers the apparent violation or another substantially similar apparent violation. For these purposes, "substantially similar apparent violation" means an apparent violation that is part of a series of similar apparent violations or is related to the same pattern or practice of conduct. Notification of an apparent violation to another government agency (but not to OFAC) by a Subject Person, which is considered a voluntary self-disclosure by that agency, may be considered a voluntary self-disclosure by OFAC, based on a case-by-case assessment. Notification to OFAC of an apparent violation is not a voluntary self-disclosure if: a third party is required to and does notify OFAC of the apparent violation or a substantially similar apparent violation because a transaction was blocked or rejected by that third party (regardless of when OFAC receives such notice from the
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third party and regardless of whether the Subject Person was aware of the third party’s disclosure; the disclosure includes false or misleading information; the disclosure (when considered along with supplemental information provided by the Subject Person) is materially incomplete; the disclosure is not self-initiated (including when the disclosure results from a suggestion or order of a federal or state agency or official); or, when the Subject Person is an entity, the disclosure is made by an individual in a Subject Person entity without the authorization of the entity’s senior management. Responding to an administrative subpoena or other inquiry from, or filing a license application with, OFAC is not a voluntary self-disclosure. In addition to notification, a voluntary self-disclosure must include, or be followed within a reasonable period of time by, a report of sufficient detail to afford a complete understanding of an apparent violation’s circumstances, and should also be followed by responsiveness to any follow-up inquiries by OFAC. (As discussed further below, a Subject Person’s level of cooperation with OFAC is an important factor in determining the appropriate enforcement response to an apparent violation even in the absence of a voluntary self-disclosure as defined herein; disclosure by a Subject Person generally will result in mitigation insofar as it represents cooperation with OFAC’s investigation.)

II. TYPES OF RESPONSES TO APPARENT VIOLATIONS

Depending on the facts and circumstances of a particular case, an OFAC investigation may lead to one or more of the following actions:

A. No Action. If OFAC determines that there is insufficient evidence to conclude that a violation has occurred and/or, based on an analysis of the General Factors outlined in Section III of these Guidelines, concludes that the conduct does not rise to a level warranting an administrative response, then no action will be taken. In those cases in which OFAC is aware that the Subject Person has knowledge of OFAC’s investigation, OFAC generally will issue a letter to the Subject Person indicating that the investigation is being closed with no administrative action taken. A no-action determination represents a final determination as to the apparent violation, unless OFAC later learns of additional related violations or other relevant facts.

B. Request Additional Information. If OFAC determines that additional information regarding the apparent violation is needed, it may request further information from the Subject Person or third parties, including through an administrative subpoena issued pursuant to 31 CFR 501.802. In the case of an institution subject to regulation where OFAC has entered into a Memorandum of Understanding (MOU) with the Subject Person’s regulator, OFAC will follow the procedures set forth in such MOU regarding consultation with the regulator. Even in the absence of an MOU, OFAC may seek relevant information about a regulated institution and/or the conduct constituting the apparent violation from the institution’s federal, state, or foreign regulator. Upon receipt of information determined to be sufficient to assess the apparent violation, OFAC will decide, based on an analysis of the General Factors outlined in Section III of these Guidelines, whether to pursue further enforcement action or whether some other response to the apparent violation is appropriate.

C. Cautionary Letter. If OFAC determines that there is insufficient evidence to conclude that a violation has occurred or that a Finding of Violation or a civil monetary penalty is not warranted under the circumstances, but believes that the underlying conduct could lead to a violation in other circumstances and/or that a Subject Person does not appear to be exercising due diligence in assuring compliance with the statutes, Executive orders, and regulations that OFAC enforces, OFAC may issue a cautionary letter, which may convey OFAC’s concerns about the underlying conduct and/or the Subject Person’s OFAC compliance policies, practices and/or procedures. A cautionary letter represents a final enforcement response to the apparent violation, unless OFAC later learns of additional related violations or other relevant facts, but does not constitute a final agency determination as to whether a violation has occurred.

D. Finding of Violation: If OFAC determines that a violation has occurred and considers it important to document the occurrence of a violation and, based on an analysis of the General Factors outlined in Section III of these Guidelines, concludes that the Subject Person’s conduct warrants an administrative response but that a civil monetary penalty is not the most appropriate response, OFAC may issue a Finding of Violation that identifies the violation. A Finding of Violation may also convey OFAC’s concerns about the violation and/or the Subject Person’s OFAC compliance policies, practices and/or procedures, and/or identify the need for further compliance steps to be taken. A Finding of Violation represents a final enforcement response to the violation, unless OFAC later learns of additional related violations or other relevant facts, and constitutes a final agency determination that a violation has occurred. A Finding of Violation will afford the Subject Person an opportunity to respond to OFAC’s determination that a violation has occurred before that determination becomes final. In the event a Subject Person fails to respond, the initial Finding of Violation...
will not constitute a final agency determination that a violation has occurred. In such cases, after considering the response received, OFAC will inform the Subject Person of its final enforcement response to the apparent violation.

E. Civil Monetary Penalty. If OFAC determines that a violation has occurred and, based on an analysis of the General Factors outlined in Section III of these Guidelines, concludes that the Subject Person’s conduct warrants the imposition of a monetary penalty, OFAC may impose a civil monetary penalty. Civil monetary penalty amounts will be determined as discussed in Section V of these Guidelines. The imposition of a civil monetary penalty constitutes a final agency determination that a violation has occurred and represents a final civil enforcement response to the violation. OFAC will afford the Subject Person an opportunity to respond to OFAC’s determination that a violation has occurred before a final penalty is imposed.

F. Criminal Referal. In appropriate circumstances, OFAC may refer the matter to appropriate law enforcement agencies for criminal investigation and/or prosecution. Apparent sanctions violations that OFAC has referred for criminal investigation and/or prosecution also may be subject to OFAC civil penalty or other administrative action.

G. Other Administrative Actions. In addition to or in lieu of other administrative actions, OFAC may also take the following administrative actions in response to an apparent violation:

1. License Denial, Suspension, Modification, or Revocation. OFAC authorizations to engage in a transaction (including the release of blocked funds) pursuant to a general or specific license may be withheld, denied, suspended, modified, or revoked in response to an apparent violation.

2. Cease and Desist Order. OFAC may order the Subject Person to cease and desist from conduct that is prohibited by any of the sanctions programs enforced by OFAC when OFAC has reason to believe that a Subject Person has engaged in such conduct and/or that such conduct is ongoing or may recur.

III. GENERAL FACTORS AFFECTING ADMINISTRATIVE ACTION

As a general matter, OFAC will consider some or all of the following General Factors in determining the appropriate administrative action in response to an apparent violation of U.S. sanctions by a Subject Person, and, where a civil monetary penalty is imposed, in determining the appropriate amount of any such penalty:

A. Willful or Reckless Violation of Law: A Subject Person’s willfulness or recklessness in violating, attempting to violate, conspiring to violate, or causing a violation of the law. Generally, to the extent the conduct at issue is the result of willful conduct or a deliberate intent to violate, attempt to violate, conspire to violate, or cause a violation of the law, the OFAC enforcement response will be stronger. Among the factors OFAC may consider in evaluating willfulness or recklessness are:

1. Willfulness. Was the conduct at issue the result of a decision to take action with the knowledge that such action would constitute a violation of U.S. law? Did the Subject Person know that the underlying conduct constituted, or likely constituted, a violation of U.S. law at the time of the conduct?

2. Recklessness. Did the Subject Person demonstrate reckless disregard for U.S. sanctions requirements or otherwise fail to exercise a minimal degree of caution or care in avoiding conduct that led to the apparent violation? Were there warning signs that should have alerted the Subject Person that an action or failure to act would lead to an apparent violation?

3. Concealment. Was there an effort by the Subject Person to hide or purposely obfuscate its conduct in order to mislead OFAC, Federal, State, or foreign regulators, or other parties involved in the conduct about an apparent violation?

4. Pattern of Conduct. Did the apparent violation constitute or result from a pattern or practice of conduct or was it relatively isolated and atypical in nature?

5. Prior Notice. Was the Subject Person on notice, or should it reasonably have been on notice, that the conduct at issue, or similar conduct, constituted a violation of U.S. law?

6. Management Involvement. In cases of entities, at what level within the organization did the willful or reckless conduct occur? Were supervisory or managerial level staff aware, or should they reasonably have been aware, of the willful or reckless conduct?

B. Awareness of Conduct at Issue: the Subject Person’s awareness of the conduct giving rise to the apparent violation. Generally, the greater a Subject Person’s actual knowledge of, or reason to know about, the conduct constituting an apparent violation, the stronger the OFAC enforcement response will be. In the case of a corporation, awareness will focus on supervisory or managerial level staff in the business unit at issue, as well as other senior officers and managers. Among the factors OFAC may consider in evaluating the Subject Person’s awareness of the conduct at issue are:

1. Actual Knowledge. Did the Subject Person have actual knowledge that the conduct giving rise to an apparent violation took place? Was the conduct part of a business process, structure or arrangement that was designed or implemented with the intent to prevent or shield the Subject Person from having such actual knowledge, or was the conduct part of a business process, structure or arrangement implemented for other legitimate reasons that made it difficult or
impossible for the Subject Person to have actual knowledge?

2. **Reason to Know.** If the Subject Person did not have actual knowledge that the conduct took place, did the Subject Person have reason to know, or should the Subject Person reasonably have known, based on all readily available information and with the exercise of reasonable due diligence, that the conduct would or might take place?

3. **Management Involvement.** In the case of an entity, was the conduct undertaken with the explicit or implicit knowledge of senior management, or was the conduct undertaken by personnel outside the knowledge of senior management? If the apparent violation was undertaken without the knowledge of senior management, was there oversight intended or undertaken without the knowledge of senior management, or was the conduct undertaken with the explicit or implicit knowledge of senior management? In the case of an individual or an entity? If an individual, was the conduct undertaken with the explicit or implicit knowledge of the particular individual? If an entity, was the conduct undertaken with the explicit or implicit knowledge of the entity? If an individual or an entity, was the conduct undertaken with the explicit or implicit knowledge of the appropriate internal controls and procedures to prevent a recurrence of the apparent violation.

4. **Sanctions History:** the Subject Person’s sanctions history, including OFAC’s issuance of prior penalties, findings of violations or cautionary, warning or evaluative letters, or other administrative actions (including settlements). As a general matter, OFAC will only consider a Subject Person’s sanctions history for the five years preceding the date of the transaction giving rise to the apparent violation.

5. **Compliance Program:** the existence, nature and adequacy of a Subject Person’s risk-based OFAC compliance program at the time of the apparent violation. Among the factors OFAC may consider in evaluating the remedial response are:

1. **Sanctions History:** the Subject Person’s sanctions history, including OFAC’s issuance of prior penalties, findings of violations or cautionary, warning or evaluative letters, or other administrative actions (including settlements). As a general matter, OFAC will only consider a Subject Person’s sanctions history for the five years preceding the date of the transaction giving rise to the apparent violation.

6. **Compliance Program:** the existence, nature and adequacy of a Subject Person’s risk-based OFAC compliance program at the time of the apparent violation. Among the factors OFAC may consider in evaluating the remedial response are:

1. **Sanctions History:** the Subject Person’s sanctions history, including OFAC’s issuance of prior penalties, findings of violations or cautionary, warning or evaluative letters, or other administrative actions (including settlements). As a general matter, OFAC will only consider a Subject Person’s sanctions history for the five years preceding the date of the transaction giving rise to the apparent violation.

2. **Size of Operations and Financial Condition:** the size of a Subject Person’s business operations and overall financial condition, where such information is available and relevant. Qualification of the Subject Person as a small business or organization for the purposes of the Small Business Regulatory Enforcement Fairness Act, as determined by reference to the applicable regulations of the Small Business Administration, may also be considered.

3. **Volume of Transactions:** the total volume of transactions undertaken by the Subject Person on an annual basis, with attention given to the apparent violations as compared with the total volume.

4. **Sanctions History:** the Subject Person’s sanctions history, including OFAC’s issuance of prior penalties, findings of violations or cautionary, warning or evaluative letters, or other administrative actions (including settlements). As a general matter, OFAC will only consider a Subject Person’s sanctions history for the five years preceding the date of the transaction giving rise to the apparent violation.
upon discovery of the apparent violations? If it did have an OFAC compliance program, did it take appropriate steps to enhance the program to prevent the recurrence of similar violations? Did the entity provide the individual(s) responsible for the apparent violation with additional training, and/or take other appropriate action, to ensure that similar violations do not occur in the future?

4. Where applicable, whether the Subject Person undertook a thorough review to identify other possible violations.

G. Cooperation with OFAC: the nature and extent of the Subject Person’s cooperation with OFAC. Among the factors OFAC may consider in evaluating cooperation with OFAC are:

1. Did the Subject Person voluntarily self-disclose the apparent violation to OFAC?

2. Did the Subject Person provide OFAC with all relevant information regarding an apparent violation (whether or not voluntarily self-disclosed)?

3. Did the Subject Person research and disclose to OFAC relevant information regarding any other apparent violations caused by the same course of conduct?

4. Was information provided voluntarily or in response to an administrative subpoena?

5. Did the Subject Person cooperate with, and promptly respond to, all requests for information?

6. Did the Subject Person enter into a statute of limitations tolling agreement, if requested by OFAC (particularly in situations where the apparent violations were not immediately notified to or discovered by OFAC, in particularly complex cases, and in cases in which the Subject Person has requested and received additional time to respond to a request for information from OFAC)? If so, the Subject Person’s entering into a tolling agreement will be deemed a mitigating factor. Note: a Subject Person’s refusal to enter into a tolling agreement will not be considered by OFAC as an aggravating factor in assessing a Subject Person’s cooperation or otherwise under the Guidelines.

Where appropriate, OFAC will publicly note substantial cooperation provided by a Subject Person.

H. Timing of apparent violation in relation to imposition of sanctions: the timing of the apparent violation in relation to the adoption of the applicable prohibitions, particularly if the apparent violation took place immediately after relevant changes in the sanctions program regulations or the addition of a new name to OFAC’s List of Specially Designated Nationals and Blocked Persons (SDN List).

1. Other enforcement action: other enforcement actions taken by federal, state, or local agencies against the Subject Person for the apparent violation or similar apparent violations, including whether the settlement of alleged violations of OFAC regulations is part of a comprehensive settlement with other federal, state, or local agencies.

J. Future Compliance/Deterrence Effect: the impact administrative action may have on promoting future compliance with U.S. economic sanctions by the Subject Person and similar Subject Persons, particularly those in the same industry sector.

K. Other relevant factors on a case-by-case basis: such other factors that OFAC deems relevant on a case-by-case basis in determining the appropriate enforcement response and/or the amount of any civil monetary penalty. OFAC will consider the totality of the circumstances to ensure that its enforcement response is proportionate to the nature of the violation.

IV. CIVIL PENALTIES FOR FAILURE TO COMPLY WITH A REQUIREMENT TO FURNISH INFORMATION OR KEEP RECORDS

As a general matter, the following civil penalty amounts shall apply to a Subject Person’s failure to comply with a requirement to furnish information or maintain records:

A. The failure to comply with a requirement to furnish information pursuant to 31 CFR 501.602 may result in a penalty in an amount up to $50,000, irrespective of whether any other violation is alleged. Where OFAC has reason to believe that the apparent violation(s) is that the subject of the requirement to furnish information involves a transaction(s) valued at greater than $500,000, a failure to comply with a requirement to furnish information may result in a penalty in an amount up to $50,000, irrespective of whether any other violation is alleged. A failure to comply with a requirement to furnish information may be considered a continuing violation, and the penalties described above may be imposed each month that a party has continued to fail to comply with the requirement to furnish information. OFAC may also seek to have a requirement to furnish information judicially enforced. Imposition of a civil monetary penalty for failure to comply with a requirement to furnish information does not preclude OFAC from seeking such judicial enforcement of the requirement to furnish information.

B. The late filing of a required report, whether set forth in regulations or in a specific license, may result in a civil monetary penalty in an amount up to $2,500, if filed within the first 30 days after the report is due, and a penalty in an amount up to $5,000 if filed more than 30 days after the report is due. If the report relates to blocked assets, the penalty may include an additional $1,000 for every 30 days that the report is overdue, up to five years.

C. The failure to maintain records in conformance with the requirements of OFAC’s
regulations or of a specific license may result in a penalty in an amount up to $50,000.

V. CIVIL PENALTIES

OFAC will review the facts and circumstances surrounding an apparent violation and apply the General Factors for Taking Administrative Action in Section III above in determining whether to initiate a civil penalty proceeding and in determining the amount of any civil monetary penalty. OFAC will give careful consideration to the appropriateness of issuing a cautionary letter or Finding of Violation in lieu of the imposition of a civil monetary penalty.

A. Civil Penalty Process

1. Pre-Penalty Notice. If OFAC has reason to believe that a sanctions violation has occurred and believes that a civil monetary penalty is appropriate, it will issue a Pre-Penalty Notice in accordance with the procedures set forth in the particular regulations governing the conduct giving rise to the apparent violation. The amount of the proposed penalty set forth in the Pre-Penalty Notice will reflect OFAC's preliminary assessment of the appropriate penalty amount, based on information then in OFAC's possession. The amount of the final penalty may change as OFAC learns additional relevant information. If, after issuance of a Pre-Penalty Notice, OFAC determines that a penalty in an amount that represents an increase of more than 10 percent from the proposed penalty set forth in the Pre-Penalty Notice is appropriate, or if OFAC intends to allege additional violations, it will issue a revised Pre-Penalty Notice setting forth the new proposed penalty amount and/or alleged violations.

a. In general, the Pre-Penalty Notice will set forth the following with respect to the specific violations alleged and the proposed penalties:

i. Description of the alleged violations, including the number of violations and their value, for which a penalty is being proposed;

ii. Identification of the regulatory or other provisions alleged to have been violated;

iii. Identification of the base category (defined below) according to which the proposed penalty amount was calculated and the General Factors that were most relevant to the determination of the proposed penalty amount;

iv. The maximum amount of the penalty to which the Subject Person could be subject under applicable law; and

v. The proposed penalty amount, determined in accordance with the provisions set forth in these Guidelines.

b. The Pre-Penalty Notice will also include information regarding how to respond to the Pre-Penalty Notice including:

1. A statement that the Subject Person may submit a written response to the Pre-Penalty Notice by a date certain addressing the alleged violation(s), the General Factors Affecting Administrative Action set forth in Section III of these Guidelines, and any other information or evidence that the Subject Person deems relevant to OFAC's consideration.

2. A statement that a failure to respond to the Pre-Penalty Notice may result in the imposition of a civil monetary penalty.

2. Response to Pre-Penalty Notice. A Subject Person may submit a written response to the Pre-Penalty Notice in accordance with the procedures set forth in the particular regulations governing the conduct giving rise to the apparent violation. Generally, the response should either agree to the proposed penalty set forth in the Pre-Penalty Notice or set forth reasons why a penalty should not be imposed or, if imposed, why it should be a lesser amount than proposed, with particular attention paid to the General Factors Affecting Administrative Action set forth in Section III of these Guidelines. The response should include all documentary or other evidence available to the Subject Person that supports the arguments set forth in the response. OFAC will consider all relevant materials submitted.

3. Penalty Notice. If OFAC receives no response to a Pre-Penalty Notice within the time prescribed in the Pre-Penalty Notice, or if following the receipt of a response to a Pre-Penalty Notice and a review of the information and evidence contained therein OFAC concludes that a civil monetary penalty is warranted, a Penalty Notice generally will be issued in accordance with the procedures set forth in the particular regulations governing the conduct giving rise to the violation. A Penalty Notice constitutes a final agency determination that a violation has occurred. The penalty amount set forth in the Penalty Notice will take into account relevant additional information provided in response to a Pre-Penalty Notice. In the absence of a response to a Pre-Penalty Notice, the penalty amount set forth in the Penalty Notice will generally be the same as the proposed penalty set forth in the Pre-Penalty Notice.

4. Referral to Financial Management Division. The imposition of a civil monetary penalty pursuant to a Penalty Notice creates a debt due the U.S. Government. OFAC will advise Treasury's Financial Management Division upon the imposition of a penalty. The Financial Management Division may take follow-up action to collect the penalty assessed if it is not paid within the prescribed time period set forth in the Penalty Notice. In addition or instead, the matter may be referred to the U.S. Department of Justice for appropriate action to recover the penalty.
5. **Final Agency Action.** The issuance of a Penalty Notice constitutes final agency action with respect to the violation(s) for which the penalty is assessed.

**B. Amount of Civil Penalty**

1. **Egregious case.** In those cases in which a civil monetary penalty is deemed appropriate, OFAC will make a determination as to whether a case is deemed “egregious” for purposes of the base penalty calculation. This determination will be based on an analysis of the applicable General Factors. In making the egregiousness determination, OFAC generally will give substantial weight to General Factors A (“willful or reckless violation of law”), B (“awareness of conduct at issue”), C (“harm to sanctions program objectives”) and D (“individual characteristics”), with particular emphasis on General Factors A and B. A case will be considered an “egregious case” where the analysis of the applicable General Factors, with a focus on those General Factors identified above, indicates that the case represents a particularly serious violation of the law calling for a strong enforcement response. A determination that a case is “egregious” will be made by the Director or Deputy Director.

2. **Pre-Penalty Notice.** The penalty amount proposed in a Pre-Penalty Notice shall generally be calculated as follows, except that neither the base amount nor the proposed penalty will exceed the applicable statutory maximum amount:

   a. **Base Category Calculation**

       i. In a non-egregious case, if the apparent violation is disclosed through a voluntary self-disclosure by the Subject Person, the base amount of the proposed civil penalty in the Pre-Penalty Notice shall be one-half of the transaction value, capped at a maximum base amount of $125,000 per violation (except in the case of transactions subject to the Trading With the Enemy Act, in which case the base amount of the proposed civil penalty will be capped at the lesser of $125,000 or one-half of the maximum statutory penalty under TWEA, which at the time of publication of these Guidelines equaled $32,500 per violation).

       ii. In a non-egregious case, if the apparent violation comes to OFAC’s attention by means other than a voluntary self-disclosure, the base amount of the proposed civil penalty in the Pre-Penalty Notice shall be the “applicable schedule amount,” as defined above (capped at a maximum base amount of $250,000 per violation, or, in the case of transactions subject to the Trading With the Enemy Act, capped at the lesser of $250,000 or the maximum statutory penalty under TWEA, which at the time of publication of these Guidelines equaled a maximum of $65,000 per violation).

       iii. In an egregious case, if the apparent violation is disclosed through a voluntary self-disclosure by a Subject Person, the base amount of the proposed civil penalty in the Pre-Penalty Notice shall be one-half of the applicable statutory maximum penalty applicable to the violation.

   iv. In an egregious case, if the apparent violation comes to OFAC’s attention by means other than a voluntary self-disclosure, the base amount of the proposed civil penalty in the Pre-Penalty Notice shall be the applicable statutory maximum penalty amount applicable to the violation.

The following matrix represents the base amount of the proposed civil penalty for each category of violation:
b. Adjustment for Applicable Relevant General Factors

The base amount of the proposed civil penalty may be adjusted to reflect applicable General Factors for Administrative Action set forth in Section III of these Guidelines. Each factor may be considered mitigating or aggravating, resulting in a lower or higher proposed penalty amount. As a general matter, in those cases where the following General Factors are present, OFAC will adjust the base proposed penalty amount in the following manner:

i. In cases involving substantial cooperation with OFAC but no voluntary self-disclosure as defined herein, including cases in which an apparent violation is reported to OFAC by a third party but the Subject Person provides substantial additional information regarding the apparent violation and/or other related violations, the base penalty amount generally will be reduced between 25 and 40 percent. Substantial cooperation in cases involving voluntary self-disclosure may also be considered as a further mitigating factor.

ii. In cases involving a Subject Person’s first violation, the base penalty amount generally will be reduced up to 25 percent. An apparent violation generally will be considered a “first violation” if the Subject Person has not received a penalty notice or Finding of Violation from OFAC in the five years preceding the date of the transaction giving rise to the apparent violation. A group of substantially similar apparent violations addressed in a single Pre-Penalty Notice shall be considered as a single violation for purposes of this subsection. In those cases where a prior penalty notice or Finding of Violation within the preceding five years involved conduct of a substantially different nature

<table>
<thead>
<tr>
<th>Voluntary Self-Disclosure</th>
<th>NO</th>
<th>YES</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>(1)</td>
<td>(3)</td>
</tr>
<tr>
<td></td>
<td>One-Half of</td>
<td>One-Half of</td>
</tr>
<tr>
<td></td>
<td>Transaction Value</td>
<td>Applicable Statutory Maximum</td>
</tr>
<tr>
<td></td>
<td>(capped at $125,000 per violation/ $32,500 per TWEA violation)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>(2)</td>
<td>(4)</td>
</tr>
<tr>
<td></td>
<td>Applicable Schedule Amount</td>
<td>Applicable Statutory Maximum</td>
</tr>
<tr>
<td></td>
<td>(capped at $250,000 per violation/ $65,000 per TWEA violation)</td>
<td></td>
</tr>
</tbody>
</table>

Where the base penalty amount would otherwise exceed the statutory maximum civil penalty amount applicable to an apparent violation, the base penalty amount shall equal such applicable statutory maximum amount.
from the apparent violation at issue, OFAC may consider the apparent violation at issue a “first violation.” In determining the extent of any mitigation for a first violation, OFAC may consider any prior OFAC enforcement action taken with respect to the Subject Person, including any cautionary, warning or evaluative letters issued, or any civil monetary settlements entered into with OFAC.

In all cases, the proposed penalty amount will not exceed the applicable statutory maximum.

In cases involving a large number of apparent violations, where the transaction value of all apparent violations is either unknown or would require a disproportionate allocation of resources to determine, OFAC may estimate or extrapolate the transaction value of the total universe of apparent violations in determining the amount of any proposed civil monetary penalty.

3. Penalty Notice. The amount of the proposed civil penalty in the Pre-Penalty Notice will be the presumptive starting point for calculation of the civil penalty amount in the Penalty Notice. OFAC may adjust the penalty amount in the Penalty Notice based on:

a. Evidence presented by the Subject Person in response to the Pre-Penalty Notice, or otherwise received by OFAC with respect to the underlying violation(s); and/or

b. Any modification resulting from further review and reconsideration by OFAC of the proposed civil monetary penalty in light of the General Factors for Administrative Action set forth in Section III above.

In no event will the amount of the civil monetary penalty in the Penalty Notice exceed the proposed penalty set forth in the Pre-Penalty Notice by more than 10 percent, or include additional alleged violations, unless a revised Pre-Penalty Notice has first been sent to the Subject Person as set forth above. In the event that OFAC determines upon further review that no penalty is appropriate, it will so inform the Subject Person in a no-action letter, a cautionary letter, or a Finding of Violation.

C. Settlements

A settlement does not constitute a final agency determination that a violation has occurred.

1. Settlement Process. Settlement discussions may be initiated by OFAC, the Subject Person or the Subject Person’s authorized representative. Settlements generally will be negotiated in accordance with the principles set forth in these Guidelines with respect to appropriate penalty amounts. OFAC may condition the entry into or continuation of settlement negotiations on the execution of a tolling agreement with respect to the statute of limitations.

2. Settlement Prior to Issuance of Pre-Penalty Notice. Where settlement discussions occur prior to the issuance of a Pre-Penalty Notice, the Subject Person may request in writing that OFAC withhold issuance of a Pre-Penalty Notice pending the conclusion of settlement discussions. OFAC will generally agree to such a request as long as settlement discussions are continuing in good faith and the statute of limitations is not at risk of expiring.

3. Settlement Following Issuance of Pre-Penalty Notice. If a matter is settled after a Pre-Penalty Notice has been issued, but before a final Penalty Notice is issued, OFAC will not make a final determination as to whether a sanctions violation has occurred. In the event no settlement is reached, the period specified for written response to the Pre-Penalty Notice remains in effect unless additional time is granted by OFAC.

4. Settlements of Multiple Apparent Violations. A settlement initiated for one apparent violation may also involve a comprehensive or global settlement of multiple apparent violations covered by other Pre-Penalty Notices, apparent violations for which a Pre-Penalty Notice has not yet been issued by OFAC, or previously unknown apparent violations reported to OFAC during the pendency of an investigation of an apparent violation.

ANNEX

The following matrix can be used by financial institutions to evaluate their compliance programs:
**OFAC Risk Matrix**

<table>
<thead>
<tr>
<th>Low</th>
<th>Moderate</th>
<th>High</th>
</tr>
</thead>
<tbody>
<tr>
<td>Stable, well-known customer base in a localized environment</td>
<td>Customer base changing due to branching, merger, or acquisition in the domestic market</td>
<td>A large, fluctuating client base in an international environment</td>
</tr>
<tr>
<td>Few high-risk customers; these may include nonresident aliens, foreign customers (including accounts with U.S. powers of attorney), and foreign commercial customers. No overseas branches and no correspondent accounts with foreign banks.</td>
<td>A moderate number of high-risk customers</td>
<td>A large number of high-risk customers.</td>
</tr>
<tr>
<td>No electronic services (e.g., e-banking) offered, or products available are purely informational or non-transactional.</td>
<td>Overseas branches or correspondent accounts with foreign banks. The institution offers limited electronic (e.g., e-banking) products and services.</td>
<td>Overseas branches or multiple correspondent accounts with foreign banks.</td>
</tr>
<tr>
<td>Limited number of funds transfers for customers and non-customers, limited third-party transactions, and no international funds transfers.</td>
<td>A moderate number of high-risk customers, mostly for customers. Possibly, a few international funds transfers with personal or business accounts.</td>
<td>A high number of customer and non-customer funds transfers, including international funds transfers.</td>
</tr>
<tr>
<td>No other types of international transactions, such as trade finance, cross-border ACH, and management of sovereign debt. No history of OFAC actions. No evidence of apparent violation or circumstances that might lead to a violation.</td>
<td>Limited other types of international transactions</td>
<td>Multiple recent actions by OFAC, where the institution has not addressed the issues, thus leading to an increased risk of the institution undertaking similar violations in the future.</td>
</tr>
<tr>
<td>Management has fully assessed the institution’s level of risk based on its customer base and product lines. This understanding of risk and strong commitment to OFAC compliance is satisfactorily communicated throughout the organization.</td>
<td>A small number of recent actions (i.e., actions within the last five years) by OFAC, including notice letters, or civil money penalties, with evidence that the institution addressed the issues and is not at risk of similar violations in the future.</td>
<td>Management does not understand, or has chosen to ignore, key aspects of OFAC compliance risk. The importance of compliance is not emphasized or communicated throughout the organization.</td>
</tr>
<tr>
<td>The board of directors, or board committee, has approved an OFAC compliance program that includes policies, procedures, controls, and information systems that are adequate, and consistent with the institution’s OFAC risk profile.</td>
<td>Authority and accountability for compliance are clearly defined and enforced, including the designation of a qualified OFAC officer.</td>
<td>The board has not approved an OFAC compliance program, or policies, procedures, controls, and information systems are significantly deficient.</td>
</tr>
<tr>
<td>Staffing levels appear adequate to properly execute the OFAC compliance program. Authority and accountability for OFAC compliance are clearly defined and enforced, including the designation of a qualified OFAC officer.</td>
<td>Staffing levels appear generally adequate, but some deficiencies are noted. Authority and accountability are defined, but some refinements are needed. A qualified OFAC officer has been designated.</td>
<td>Management has failed to provide appropriate staffing levels to handle workload. Authority and accountability for compliance have not been clearly established. No OFAC compliance officer, or an unqualified one, has been appointed. The role of the OFAC officer is unclear.</td>
</tr>
<tr>
<td>Training is appropriate and effective based on the institution’s risk profile, covers applicable personnel, and provides necessary up-to-date information and resources to ensure compliance. The institution employs strong quality control methods.</td>
<td>Training is conducted and management provides adequate resources given the risk profile of the organization; however, some areas are not covered within the training program. The institution employs limited quality control methods.</td>
<td>Training is sporadic and does not cover important regulatory and risk areas or is nonexistent.</td>
</tr>
<tr>
<td>The institution employs strong quality control methods.</td>
<td>Authority and accountability are defined, but some refinements are needed. A qualified OFAC officer has been designated.</td>
<td>The institution does not employ quality control methods.</td>
</tr>
</tbody>
</table>
§ 505.01 Short title.

The regulations in this part may be referred to as the Transaction Control Regulations.

(19 FR 5483, Aug. 27, 1954)

§ 505.10 Prohibitions.

Except as specifically authorized by the Secretary of the Treasury (or any person, agency, or instrumentality designated by him) by means of regulations, rulings, instructions, licenses, or otherwise, no person within the United States, for his own account or that of another, may purchase or sell or arrange the purchase or sale of any merchandise in any foreign country or obtain from any banking institution a credit or payment in connection therewith, or attempt to do any of the foregoing, if:

(a) The transaction involves the shipment from any foreign country of any merchandise directly or indirectly to any destination within a country on the attached schedule, and

(b) The merchandise is of a type the unauthorized exportation of which from the United States is prohibited by regulations issued under the Arms Export Control Act of 1976, 22 U.S.C. 2778, or the Atomic Energy Act of 1954, 42 U.S.C. 2111-2297g-4, or successor acts restricting the exportation of strategic goods.

SCHEDULE

Albania
Bulgaria
Cambodia
The Czech Republic
Estonia
Latvia
Lithuania
North Korea
Mongolia
People’s Republic of China
Poland
Romania
The Slovak Republic
The geographic area formerly known as the Union of Soviet Socialist Republics
Vietnam


§ 505.20 Definitions.

The definitions contained in subpart C, part 500 of this chapter are applicable to any terms therein defined which are used in this part.

(19 FR 5483, Aug. 27, 1954)

§ 505.30 Licenses.

No regulation, ruling, instruction or license authorizes a transaction prohibited by § 505.10 unless the regulation, ruling, instruction or license is issued by the Treasury Department and specifically refers to that section. For provisions relating to licensing procedures, see part 501, subpart E, of this chapter. Licensing actions taken pursuant to part 501 of this chapter with respect to the prohibitions contained in this part are considered actions taken pursuant to this part.


§ 505.31 General license for offshore transactions from certain countries.

(a) Except as provided in paragraph (b) of this section, all transactions prohibited by § 505.10 are hereby authorized provided:

(1) Shipment is to a country listed in the schedule to § 505.10, other than North Korea; and
(2) Shipment is made from and licensed by one of the following foreign countries: Australia, Austria, Belgium, Canada, Denmark, France, Finland, Germany, Greece, Hong Kong, Ireland, Italy, Japan, Luxembourg, The Netherlands, New Zealand, Norway, Portugal, Spain, Sweden, Switzerland, Turkey, or the United Kingdom.

(b) This section does not authorize any transactions otherwise prohibited by this chapter.

§ 505.40 Records and reports.

For provisions relating to records and reports, see §§ 501.601 and 501.602 of this chapter.

§ 505.50 Penalties.

For provisions relating to penalties, see part 501, subpart D, of this chapter.

§ 505.60 Procedures.

For license application procedures and procedures relating to amendments, modifications, or revocations of licenses; administrative decisions; rulemaking; and requests for documents pursuant to the Freedom of Information and Privacy Acts (5 U.S.C. 552 and 552a), see part 501, subpart E, of this chapter.

PART 515—CUBAN ASSETS CONTROL REGULATIONS

Subpart A—Relation of This Part to Other Laws and Regulations

Sec.
515.101 Relation of this part to other laws and regulations.

Subpart B—Prohibitions

515.201 Transactions involving designated foreign countries or their nationals, effective date.

515.202 Transactions with respect to securities registered or inscribed in the name of a designated national.

515.203 Effect of transfers violating the provisions of this part.

515.204 Importation of and dealings in certain merchandise.

515.205 Holding of certain types of blocked property in interest-bearing accounts.

515.206 Exempt transactions.

515.207 Entry of vessels engaged in trade with Cuba.

515.208 Restrictions on loans, credits and other financing.

Subpart C—General Definitions

515.301 Foreign country.

515.302 National.

515.303 Nationals of more than one foreign country.

515.305 Designated national.

515.306 Specially designated national.

515.307 Unblocked national.

515.308 Person.

515.309 Transactions.

515.310 Transfer.

515.311 Property; property interests.

515.312 Interest.

515.313 Property subject to the jurisdiction of the United States.

515.314 Banking institution.

515.315 License.

515.316 General license.

515.317 Specific license.

515.318 Blocked account.

515.320 Domestic bank.

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515.323 Occupied area.

515.325 National securities exchange.

515.326 Custody of safe deposit boxes.

515.327 Blocked estate of a decedent.

515.329 Person subject to the jurisdiction of the United States.

515.330 Person within the United States.

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515.333 Depository institution.

515.334 United States national.

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Subpart D—Interpretations

515.401 Reference to amended sections.

515.402 Effect of amendment of sections of this part or of other orders, etc.

515.403 Termination and acquisition of the interest of a designated national.
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515.401 Transactions between principal and agent.
515.405 Exportation of securities, currency, checks, drafts and promissory notes.
515.406 Drafts under irrevocable letters of credit; documentary drafts.
515.407 Administration of blocked estates of decedents.
515.408 Access to certain safe deposit boxes prohibited.
515.409 Certain payments to a designated foreign country and nationals through third countries.
515.410 Dealing abroad in Cuban origin commodities.
515.411–515.413 [Reserved]
515.415 Travel to Cuba; transportation of certain Cuban nationals.
515.416–515.419 [Reserved]
515.420 Travel to Cuba.

Subpart E—Licenses, Authorizations, and Statements of Licensing Policy

515.501 General and specific licensing procedures.
515.502 Effect of subsequent license or authorization.
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515.514 Payment of dividends and interest on and redemption and collection of securities.
515.515 Transfers of securities to blocked accounts in domestic banks.
515.516 Voting and soliciting of proxies on securities.
515.517 Access to safe deposit boxes under certain conditions.
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515.520 Payments from accounts of United States citizens in employ of United States in foreign countries and certain other persons.

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515.522 U.S. assets of certain Cuban decedents.
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515.529 Powers of attorney.
515.530 Exportation of powers of attorney or instructions relating to certain types of transactions.
515.531 Payment of certain checks and drafts.
515.532 Completion of certain securities transactions.
515.533 Transactions incident to exportations from the United States and re-exportations of 100% U.S.-origin items to Cuba; negotiation of executory contracts.
515.535 Exchange of certain securities.
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515.559 Certain transactions by U.S.-owned or controlled foreign firms with Cuba.
§ 515.201 Transactions involving designated foreign countries or their nationals; effective date.

(a) All of the following transactions are prohibited, except as specifically authorized by the Secretary of the Treasury (or any person, agency, or instrumentality designated by him) by means of regulations, rulings, instructions, licenses, or otherwise, if either such transactions are by, or on behalf of, or pursuant to the direction of a foreign country designated under this part, or any national thereof, or such transactions involve property in which a foreign country designated under this part, or any national thereof, has at any time on or since the effective date of this section had any interest of any nature whatsoever, direct or indirect:

(1) All transfers of credit and all payments between, by, through, or to any banking institution or banking institutions wheresoever located, with respect
§ 515.202 Transactions with respect to securities registered or inscribed in the name of a designated national.

Unless authorized by a license expressly referring to this section, the acquisition, transfer (including the transfer on the books of any issuer or agent thereof), disposition, transportation, importation, exportation, or withdrawal of, or the endorsement or guaranty of signatures on or otherwise dealing in any security (or evidence thereof) registered or inscribed in the name of any designated national is prohibited irrespective of the fact that at any time (either prior to, on, or subsequent to the “effective date”) the registered or inscribed owner thereof may have, or appears to have, assigned, transferred or otherwise disposed of any such security.

§ 515.203 Effect of transfers violating the provisions of this part.

(a) Any transfer after the “effective date” which is in violation of any provision of this part or of any regulation, ruling, instruction, license, or other direction or authorization thereunder and involves any property in which a designated national has or has had an interest since such “effective date” is null and void and shall not be the basis for the assertion or recognition of any interest in or right, remedy, power or privilege with respect to such property.

(b) No transfer before the “effective date” shall be the basis for the assertion or recognition of any interest in or right, remedy, power, or privilege with respect to, or interest in, any property in which a designated national has or has had an interest since the “effective date” unless the person with whom such property is held or maintained had written notice of the transfer or by any written evidence had recognized such transfer prior to such “effective date.”

(c) Unless otherwise provided, an appropriate license or other authorization issued by or pursuant to the direction or authorization of the Secretary of the Treasury before, during or after the administrative procedures set forth in §501.806 of this chapter.

§ 515.204 Importation of and dealings in certain merchandise.

(a) Except as specifically authorized by the Secretary of the Treasury (or any person, agency, or instrumentality designated by him) by means of regulations, rulings, instructions, licenses, or otherwise, no person subject to the jurisdiction of the United States may purchase, transport, import, or otherwise deal in or engage in any transaction with respect to any merchandise outside the United States if such merchandise:

(1) Is of Cuban origin; or

(2) Is or has been located in or transported from or through Cuba; or

(3) Is made or derived in whole or in part of any article which is the growth, produce or manufacture of Cuba.

(b) [Reserved]
§ 515.205 Holding of certain types of blocked property in interest-bearing accounts.

(a) Except as provided by paragraphs (d), (e) and (f) of this section, or as authorized by the Secretary of the Treasury or his delegate by specific license, any person holding any property included in paragraph (b) of this section is prohibited from holding, withholding, using, transferring, engaging in any transactions involving, or exercising any right, power, or privilege with respect to any such property, unless it is held in an interest-bearing account in a domestic bank.

(b) Any person presently holding property subject to the provisions of paragraph (a) of this section which, as of the effective date of this section, is not being held in accordance with the provisions of that paragraph shall transfer such property to or hold such property or cause such property to be held in an interest-bearing account in any domestic bank within 30 days of the effective date of this section.

(c) Any person holding any checks or drafts subject to the provisions of §515.201 is authorized and directed, wherever possible consistent with state law (except as otherwise specifically provided in paragraph (c)(3) of this section), to negotiate or present for collection or payment such instruments and credit the proceeds to an interest-bearing account. Any transaction by any person incident to the negotiation, processing, presentment, collection or payment of such instruments and deposit of the proceeds into an interest-bearing account is hereby authorized:

Provided that:

(1) The transaction does not represent, directly or indirectly, a transfer of the interest in a designated national to any other country or person;

(2) The proceeds are held in a blocked account indicating the designated national who is the payee or owner of the instrument; and,

(3) In the case of a blocked check or draft which has been purchased by the maker/drawer from the drawee bank (e.g., cashier's check, money order, or traveler's check) or which is drawn against a presently existing account, such bank, on presentment of the instrument in accordance with the provisions of this section, shall either:

(i) Pay the instrument (subject to paragraphs (c)(1) and (2) of this section) or

(ii) Credit a blocked account on its books with the amount payable on the instrument.

In either event, the blocked account shall be identified as resulting from the proceeds of a blocked check or draft, and the identification shall include a reference to the names of both the maker and payee of the instrument.

(d) Property subject to the provisions of paragraph (a) or (b) of this section, held by a person claiming a set-off against such property, is exempt from the provisions of paragraphs (a), (b) and (c) of this section to the extent of the set-off: Provided however, That interest shall be due from 30 days after the effective date of this section if it should ultimately be determined that the claim to a set-off is without merit.

(e) Property subject to the provisions of paragraphs (a) and (b) of this section, held in a customer's account by a registered broker/dealer in securities, may continue to be held for the customer by the broker/dealer provided interest is credited to the account on any balance not invested in securities in accordance with §515.513. The interest paid on such accounts by a broker/dealer who does not elect to hold such property for a customer's account in a domestic bank shall not be less than the maximum rate payable on the shortest time deposit available in any domestic bank in the jurisdiction in which the broker/dealer holds the account.

(f) Property subject to the provisions of paragraphs (a) and (b) of this section, held by a state agency charged with the custody of abandoned or unclaimed property under §515.554 may continue to be held by the agency provided interest is credited to the blocked account in which the property is held by the agency, or the property is held by the agency in a blocked account in a domestic bank. The interest credited to such accounts by an agency which does not elect to hold such property in a domestic bank shall not be less than the maximum rate payable on...
the shortest time deposit available in any domestic bank in the state.

(g) For purposes of this section, the term interest-bearing account means a blocked account earning interest at no less than the maximum rate payable on the shortest time deposit in the domestic bank where the account is held: Provided, however, That such an account may include six-month Treasury bills or insured certificates, with a maturity not exceeding six-months, appropriate to the amounts involved.

(h) The following types of property are subject to paragraphs (a) and (b) of this section:

(1) Any currency, bank deposit and bank accounts subject to the provisions of § 515.201;

(2) Any property subject to the provisions of § 515.201 which consists, in whole or in part, of undisputed and either liquidated or matured debts, claims, obligations or other evidence of indebtedness, to the extent of any amount that is undisputed and liquidated or matured;

(3) Any proceeds resulting from the payment of an obligation under paragraph (c) of this section.

(i) For purposes of this section, the term domestic bank includes any FSLIC-insured institution (as defined in 12 CFR 561.1).

(j) For the purposes of this section the term person includes the United States Government or any agency or instrumentality thereof, except where the agency or instrumentality submits to the Office of Foreign Assets Control an opinion of its General Counsel that either:

(1) It lacks statutory authority to comply with this section, or

(2) The requirements of paragraphs (a) and (b) of this section are inconsistent with the statutory program under which it operates.

[44 FR 11770, Mar. 2, 1979]

§ 515.206 Exempt transactions.

(a) Information and informational materials. (1) The importation from any country and the exportation to any country of information or informational materials as defined in § 515.332, whether commercial or otherwise, regardless of format or medium of transmission, are exempt from the prohibitions and regulations of this part except for payments owed to Cuba for telecommunications services between Cuba and the United States, which are subject to the provisions of § 515.542.

(2) This section does not authorize transactions related to information or informational materials not fully created and in existence at the date of the transaction, or to the substantive or artistic alteration or enhancement of information or informational materials, or to the provision of marketing and business consulting services by a person subject to the jurisdiction of the United States. Such prohibited transactions include, without limitation, payment of advances for information or informational materials not yet created and completed, provision of services to market, produce or co-produce, create or assist in the creation of information or informational materials, and payment of royalties to a designated national with respect to income received for enhancements or alterations made by persons subject to the jurisdiction of the United States to information or informational materials imported from a designated national.

(3) This section does not authorize transactions incident to the transmission of restricted technical data as defined in the Export Administration Regulations, 15 CFR parts 730–774, or to the exportation of goods for use in the transmission of any data. The exportation of such goods to designated foreign countries is prohibited, as provided in § 515.201 of this part and § 785.1 of the Export Administration Regulations.

(4) This section does not authorize transactions related to travel to Cuba when such travel is not otherwise authorized under § 515.545.

Example #1: A U.S. publisher ships 500 copies of a book to Cuba directly from Miami aboard a chartered aircraft, and receives payment by means of a letter of credit issued by a Cuban bank and confirmed by an American bank. These are permissible transactions under this section.

Example #2: A Cuban party exports a single master copy of a Cuban motion picture to a U.S. party and licenses the U.S. party to duplicate, distribute, show and exploit in the United States the Cuban film in any medium, including home video distribution, for five years, with the Cuban party receiving
§ 515.207 Entry of vessels engaged in trade with Cuba.

Except as specifically authorized by the Secretary of the Treasury (or any person, agency or instrumentality designated by him), by means of regulations, rulings, instructions, licenses or otherwise,

(a) No vessel that enters a port or place in Cuba to engage in the trade of goods or the purchase or provision of services, may enter a U.S. port for the purpose of loading or unloading freight for a period of 180 days from the date the vessel departed from a port or place in Cuba; and

(b) No vessel carrying goods or passengers to or from Cuba or carrying goods in which Cuba or a Cuban national has an interest may enter a U.S. port with such goods or passengers on board.

NOTE TO § 515.207: For the waiver of the prohibitions contained in this section for certain vessels engaged in licensed or exempt trade with Cuba, see § 515.550.

[58 FR 34710, June 29, 1993, as amended at 66 FR 36687, July 12, 2001]

§ 515.208 Restrictions on loans, credits and other financing.

No United States national, permanent resident alien, or United States agency may knowingly make a loan, extend credit or provide other financing for the purpose of financing transactions involving confiscated property the claim to which is owned by a United States national, except for financing by a United States national owning such a claim for a transaction permitted under United States law.

[61 FR 37386, July 18, 1996]

Subpart C—General Definitions

§ 515.301 Foreign country.

The term foreign country also includes, but not by way of limitation:

(a) The state and the government of any such territory on or after the “effective date” as well as any political subdivision, agency, or instrumentality thereof or any territory, dependency, colony, protectorate, mandate, dominion, possession or place subject to the jurisdiction thereof;

(b) Any other government (including any political subdivision, agency, or instrumentality thereof) to the extent and only to the extent that such government exercises or claims to exercise control, authority, jurisdiction or sovereignty over territory which on the “effective date” constituted such foreign country;

(c) Any person to the extent that such person is, or has been, or to the extent that there is reasonable cause to believe that such person is, or has been, since the “effective date,” acting
or purporting to act directly or indirectly for the benefit or on behalf of any of the foregoing, and

(d) Any territory which on or since the “effective date” is controlled or occupied by the military, naval or police forces or other authority of such foreign country.

§ 515.302 National.

(a) The term national when used with respect to a country shall include:

(1) A subject or citizen of that country or any person who has been domiciled in or a permanent resident of that country at any time on or since the “effective date,” except persons who were permanent residents of or domiciled in that country in the service of the U.S. Government and persons whose transactions in that country were authorized by the Office of Foreign Assets Control.

(2) Any partnership, association, corporation, or other organization that, on or since the effective date:

(i) Was or has been organized under the laws of that country;

(ii) Had or has had its principal place of business in that country; or

(iii) Was or has been controlled by, or a substantial part of the stocks, share, bonds, debentures, notes, drafts, or other securities or obligations of which was or has been controlled by, directly or indirectly, that country and/or one or more nationals thereof.

(3) Any organization’s office or other sub-unit that is located within that country.

(4) Any person to the extent that such person, on or since the “effective date” was or has been acting or purporting to act directly or indirectly for the benefit or on behalf of any national of that country.

(5) Any other person who there is reasonable cause to believe is a “national” as defined in this section.

(b) Persons who travel in Cuba do not become nationals of Cuba solely because of such travel.

(c) The Secretary of the Treasury retains full power to determine that any person is or shall be deemed to be a “national” within the meaning of this section, and to specify the foreign country of which such person is or shall be deemed to be a national.


§ 515.303 Nationals of more than one foreign country.

(a) Any person who by virtue of any provision in this chapter is a national of more than one foreign country shall be deemed to be a national of each of such foreign countries.

(b) In any case in which a person is a national of two or more designated foreign countries, as defined in this chapter, a license or authorization with respect to nationals of one of such designated foreign countries shall not be deemed to apply to such person unless a license or authorization of equal or greater scope is outstanding with respect to nationals of each other designated foreign country of which such person is a national.

§ 515.305 Designated national.

For the purposes of this part, the term designated national shall mean Cuba and any national thereof including any person who is a specially designated national.

§ 515.306 Specially designated national.

(a) The term specially designated national shall mean:

(1) Any person who is determined by the Secretary of the Treasury to be a specially designated national,
§ 515.307 Unblocked national.

Any person licensed pursuant to § 515.505 licensed as an unblocked national shall, while so licensed, be regarded as a person within the United States who is not a national of any designated foreign country: Provided, however, That the licensing of any person as an unblocked national shall not be deemed to suspend in any way the requirements of any section of this chapter relating to reports, or the production of books, documents, and records specified therein.


§ 515.308 Person.

The term person means an individual, partnership, association, corporation, or other organization.

§ 515.309 Transactions.

The phrase transactions which involve property in which a designated foreign country, or any national thereof, has any interest of any nature whatsoever, direct or indirect, includes, but not by way of limitation:

(a) Any payment or transfer to such designated foreign country or national thereof,

(b) Any export or withdrawal from the United States to such designated foreign country, and

(c) Any transfer of credit, or payment of an obligation, expressed in terms of the currency of such designated foreign country.

§ 515.310 Transfer.

The term transfer shall mean any actual or purported act or transaction, whether or not evidenced by writing, and whether or not done or performed within the United States, the purpose, intent, or effect of which is to create, surrender, release, transfer, or alter, directly or indirectly, any right, remedy, power, privilege, or interest with respect to any property and without limitation upon the foregoing shall include the making, execution, or delivery of any assignment, power, conveyance, check, declaration, deed, deed of trust, the creation or transfer of any lien; the issuance, docketing, filing, or the levy of or under any judgment, decree, attachment, execution, or other judicial or administrative process or order, or the service of any garnishment; the acquisition of any interest of any nature whatsoever by reason of a judgment or decree of any foreign country; the fulfillment of any condition, or the exercise of any power of appointment, power of attorney, or other power.
§ 515.320 Domestic bank.

The term "domestic bank" shall mean any branch or office within the United States of any of the following which is not a national of a designated foreign

§ 515.319 Blocked account.

The term "blocked account" shall mean an account in which any designated national has an interest, with respect to which account payments, transfers or withdrawals or other dealings may not be made or effected except pursuant to an authorization or license authorizing such action. The term "blocked account" shall not be deemed to include accounts of unblocked nationals.

§ 515.318 Specific license.

A specific license is any license or authorization issued pursuant to this part.

§ 515.317 General license.

A general license is any license or authorization the terms of which are set forth in this part.

§ 515.316 License.

Except as otherwise specified, the term "license" shall mean any license or authorization contained in or issued pursuant to this part.

§ 515.315 Banking institution.

The term "banking institution" shall include any person engaged primarily or incidentally in the business of banking, of granting or transferring credits, or of purchasing or selling foreign exchange or procuring purchases and sellers thereof, as principal or agent, or any person holding credits for others as a direct or incidental part of his business, or any broker; and each principal, agent, home office, branch or correspondent of any person so engaged shall be regarded as a separate "banking institution."

§ 515.314 License.

Except as otherwise specified, the term "license" shall mean any license or authorization contained in or issued pursuant to this part.

§ 515.313 Property subject to the jurisdiction of the United States.

(a) The phrase "property subject to the jurisdiction of the United States" includes, without limitation, securities, whether registered or bearer, issued by:

(1) The United States or any State, district, territory, possession, county, municipality, or any other subdivision or agency or instrumentality of any thereof; or

(2) Any person with the United States whether the certificate which evidences such property or interest is physically located within or outside the United States.

(b) The phrase "property subject to the jurisdiction of the United States" also includes, without limitation, securities, whether registered or bearer, by whomsoever issued, if the instrument evidencing such property or interest is physically located within the United States.

§ 515.312 Interest.

The term "interest" when used with respect to property shall mean an interest of any nature whatsoever, direct or indirect.

§ 515.311 Property subject to the jurisdiction of the United States.

(a) The phrase "property subject to the jurisdiction of the United States" includes, without limitation, securities, whether registered or bearer, issued by:

(1) The United States or any State, district, territory, possession, county, municipality, or any other subdivision or agency or instrumentality of any thereof; or

(2) Any person with the United States whether the certificate which evidences such property or interest is physically located within or outside the United States.

(b) The phrase "property subject to the jurisdiction of the United States" also includes, without limitation, securities, whether registered or bearer, by whomsoever issued, if the instrument evidencing such property or interest is physically located within the United States.

§ 515.310 Domestic bank.

The term "domestic bank" shall mean any branch or office within the United States of any of the following which is not a national of a designated foreign

§ 515.309 Blocked account.

The term "blocked account" shall mean an account in which any designated national has an interest, with respect to which account payments, transfers or withdrawals or other dealings may not be made or effected except pursuant to an authorization or license authorizing such action. The term "blocked account" shall not be deemed to include accounts of unblocked nationals.

§ 515.308 Specific license.

A specific license is any license or authorization issued pursuant to this part.

§ 515.307 General license.

A general license is any license or authorization the terms of which are set forth in this part.

§ 515.306 License.

Except as otherwise specified, the term "license" shall mean any license or authorization contained in or issued pursuant to this part.

§ 515.305 Banking institution.

The term "banking institution" shall include any person engaged primarily or incidentally in the business of banking, of granting or transferring credits, or of purchasing or selling foreign exchange or procuring purchases and sellers thereof, as principal or agent, or any person holding credits for others as a direct or incidental part of his business, or any broker; and each principal, agent, home office, branch or correspondent of any person so engaged shall be regarded as a separate "banking institution."

§ 515.304 Interest.

The term "interest" when used with respect to property shall mean an interest of any nature whatsoever, direct or indirect.

§ 515.303 Property subject to the jurisdiction of the United States.

(a) The phrase "property subject to the jurisdiction of the United States" includes, without limitation, securities, whether registered or bearer, issued by:

(1) The United States or any State, district, territory, possession, county, municipality, or any other subdivision or agency or instrumentality of any thereof; or

(2) Any person with the United States whether the certificate which evidences such property or interest is physically located within or outside the United States.

(b) The phrase "property subject to the jurisdiction of the United States" also includes, without limitation, securities, whether registered or bearer, by whomsoever issued, if the instrument evidencing such property or interest is physically located within the United States.

§ 515.302 Domestic bank.

The term "domestic bank" shall mean any branch or office within the United States of any of the following which is not a national of a designated foreign

§ 515.301 Blocked account.

The term "blocked account" shall mean an account in which any designated national has an interest, with respect to which account payments, transfers or withdrawals or other dealings may not be made or effected except pursuant to an authorization or license authorizing such action. The term "blocked account" shall not be deemed to include accounts of unblocked nationals.

§ 515.300 License.

Except as otherwise specified, the term "license" shall mean any license or authorization contained in or issued pursuant to this part.

§ 515.299 Banking institution.

The term "banking institution" shall include any person engaged primarily or incidentally in the business of banking, of granting or transferring credits, or of purchasing or selling foreign exchange or procuring purchases and sellers thereof, as principal or agent, or any person holding credits for others as a direct or incidental part of his business, or any broker; and each principal, agent, home office, branch or correspondent of any person so engaged shall be regarded as a separate "banking institution."

§ 515.298 Interest.

The term "interest" when used with respect to property shall mean an interest of any nature whatsoever, direct or indirect.

§ 515.297 Property subject to the jurisdiction of the United States.

(a) The phrase "property subject to the jurisdiction of the United States" includes, without limitation, securities, whether registered or bearer, issued by:

(1) The United States or any State, district, territory, possession, county, municipality, or any other subdivision or agency or instrumentality of any thereof; or

(2) Any person with the United States whether the certificate which evidences such property or interest is physically located within or outside the United States.

(b) The phrase "property subject to the jurisdiction of the United States" also includes, without limitation, securities, whether registered or bearer, by whomsoever issued, if the instrument evidencing such property or interest is physically located within the United States.

§ 515.296 Domestic bank.

The term "domestic bank" shall mean any branch or office within the United States of any of the following which is not a national of a designated foreign

§ 515.295 Blocked account.

The term "blocked account" shall mean an account in which any designated national has an interest, with respect to which account payments, transfers or withdrawals or other dealings may not be made or effected except pursuant to an authorization or license authorizing such action. The term "blocked account" shall not be deemed to include accounts of unblocked nationals.

§ 515.294 License.

Except as otherwise specified, the term "license" shall mean any license or authorization contained in or issued pursuant to this part.

§ 515.293 Banking institution.

The term "banking institution" shall include any person engaged primarily or incidentally in the business of banking, of granting or transferring credits, or of purchasing or selling foreign exchange or procuring purchases and sellers thereof, as principal or agent, or any person holding credits for others as a direct or incidental part of his business, or any broker; and each principal, agent, home office, branch or correspondent of any person so engaged shall be regarded as a separate "banking institution."

§ 515.292 Interest.

The term "interest" when used with respect to property shall mean an interest of any nature whatsoever, direct or indirect.

§ 515.291 Property subject to the jurisdiction of the United States.

(a) The phrase "property subject to the jurisdiction of the United States" includes, without limitation, securities, whether registered or bearer, issued by:

(1) The United States or any State, district, territory, possession, county, municipality, or any other subdivision or agency or instrumentality of any thereof; or

(2) Any person with the United States whether the certificate which evidences such property or interest is physically located within or outside the United States.

(b) The phrase "property subject to the jurisdiction of the United States" also includes, without limitation, securities, whether registered or bearer, by whomsoever issued, if the instrument evidencing such property or interest is physically located within the United States.
§ 515.321 United States; continental United States.

The term United States means the United States and all areas under the jurisdiction or authority thereof, including the Trust Territory of the Pacific Islands. The term continental United States means the States of the United States and the District of Columbia.

[49 FR 27144, July 2, 1984]

§ 515.322 Authorized trade territory; member of the authorized trade territory.

(a) The term authorized trade territory includes all countries, including any colony, territory, possession, or protectorate, except those countries subject to sanctions pursuant to this chapter. The term does not include the United States.

(b) The term member of the authorized trade territory shall mean any of the foreign countries or political subdivisions comprising the authorized trade territory.


§ 515.323 Occupied area.

The term occupied area shall mean any territory occupied by a designated foreign country which was not occupied by such country prior to the “effective date” of this part.

§ 515.325 National securities exchange.


§ 515.326 Custody of safe deposit boxes.

Safe deposit boxes shall be deemed to be in the custody not only of all persons having access thereto but also of the lessors of such boxes whether or not such lessors have access to such boxes. The foregoing shall not in any way be regarded as a limitation upon the meaning of the term custody.

§ 515.327 Blocked estate of a decedent.

The term blocked estate of a decedent shall mean any decedent’s estate in which a designated national has an interest. A person shall be deemed to have an interest in a decedent’s estate if he:

(a) Was the decedent;

(b) Is a personal representative; or

(c) Is a creditor, heir, legatee, devisee, distributee, or beneficiary.

§ 515.329 Person subject to the jurisdiction of the United States.

The term person subject to the jurisdiction of the United States includes:

(a) Any individual, wherever located, who is a citizen or resident of the United States;

(b) Any person within the United States as defined in § 515.330;

(c) Any corporation, partnership, association, or other organization organized under the laws of the United States or of any State, territory, possession, or district of the United States; and

(d) Any corporation, partnership, association, or other organization, wherever organized or doing business, that is owned or controlled by persons specified in paragraphs (a) or (c) of this section.

States or of any State, territory, possession, or district of the United States; and
(4) Any corporation, partnership, association, or other organization, wherever organized or doing business, which is owned or controlled by any person or persons specified in paragraphs (a)(1) or (a)(3) of this section.
(b) [Reserved]

§ 515.331 Merchandise.
The term merchandise means all goods, wares and chattels of every description without limitation of any kind.

§ 515.332 Information and informational materials.
(a) For purposes of this part, the term information and informational materials means:
   (1) Publications, films, posters, phonograph records, photographs, microfilms, microfiche, tapes, compact disks, CD ROMs, artworks, news wire feeds, and other information and informational articles.
   (2) To be considered informational materials, artworks must be classified under Chapter subheading 9701, 9702, or 9703 of the Harmonized Tariff Schedule of the United States.
(b) The term information and informational materials does not include items:
   (1) That would be controlled for export pursuant to section 5 of the Export Administration Act of 1979, 50 U.S.C. App. 2401–2420 (1993) (the “EAA”), or section 6 of the EAA to the extent that such controls promote non-proliferation of antiterrorism policies of the United States, including “software” that is not “publicly available” as these terms are defined in 15 CFR parts 779 and 799.1 (1994); or
   (2) With respect to which acts are prohibited by 18 U.S.C. chapter 37.
[61 FR 37386, July 18, 1996]

§ 515.333 Depository institution.
The term depository institution means any of the following:
(a) An insured bank as defined in section 3 of the Federal Deposit Insurance Act;
(b) An insured institution as defined in section 408(a) of the National Housing Act;
(c) An insured credit union as defined in section 101 of the Federal Credit Union Act;
(d) Any other institution that is carrying on banking activities pursuant to a charter from a Federal or state banking authority.
[57 FR 53997, Nov. 16, 1992]

§ 515.334 United States national.
As used in §515.208, the term United States national means:
(a) Any United States citizen; or
(b) Any other legal entity which is organized under the laws of the United States, or of any State, the District of Columbia, or any commonwealth, territory, or possession of the United States, and which has its principal place of business in the United States.
[61 FR 37386, July 18, 1996]

§ 515.335 Permanent resident alien.
As used in §515.208, the term permanent resident alien means an alien lawfully admitted for permanent residence into the United States.
[61 FR 37386, July 18, 1996]

§ 515.336 Confiscated.
As used in §515.208, the term confiscated refers to:
(a) The nationalization, expropriation, or other seizure by the Cuban Government of ownership or control of property, on or after January 1, 1959:
   (1) Without the property having been returned or adequate and effective compensation provided; or
   (2) Without the claim to the property having been settled pursuant to an international claims settlement agreement or other mutually accepted settlement procedure; and
(b) The repudiation by the Cuban Government of, the default by the Cuban Government on, or the failure of the Cuban Government to pay, on or after January 1, 1959:
   (1) A debt of any enterprise which has been nationalized, expropriated, or otherwise taken by the Cuban Government;
§ 515.337 Prohibited officials of the Government of Cuba.

For purposes of this part, the term prohibited officials of the Government of Cuba means Ministers and Vice-ministers, members of the Council of State and the Council of Ministers; members and employees of the National Assembly of People’s Power; members of any provincial assembly; local sector chiefs of the Committees for the Defense of the Revolution; Director Generals and sub-Director Generals and higher of all Cuban ministries and state agencies; employees of the Ministry of the Interior (MININT); employees of the Ministry of Defense (MINPARD); secretaries and first secretaries of the Confederation of Labor of Cuba (CTC) and its component unions; chief editors, editors, and deputy editors of Cuban state-run media organizations and programs, including newspapers, television, and radio; and members and employees of the Supreme Court (Tribuno Supremo Nacional).

[74 FR 46003, Sept. 8, 2009]

§ 515.338 Prohibited members of the Cuban Communist Party.

For purposes of this part, the term prohibited members of the Cuban Communist Party means members of the Politburo, the Central Committee, Department Heads of the Central Committee, employees of the Central Committee, and secretaries and first secretaries of the provincial Party central committees.

[74 FR 46003, Sept. 8, 2009]

§ 515.339 Close relative.

(a) For purposes of this part, the term close relative used with respect to any person means any individual related to that person by blood, marriage, or adoption who is no more than three generations removed from that person or from a common ancestor with that person.

(b) Example. Your mother’s first cousin is your close relative for purposes of this part, because you are both no more than three generations removed from your great-grandparents, who are the ancestors you have in common. Similarly, your husband’s great-grandson is your close relative for purposes of this part, because he is no more than three generations removed from your husband. Your daughter’s father-in-law is not your close relative for purposes of this part, because you have no common ancestor.

[74 FR 46003, Sept. 8, 2009]

Subpart D—Interpretations

§ 515.401 Reference to amended sections.

Reference to any section of this part or to any regulation, ruling, order, instruction, direction or license issued pursuant to this part shall be deemed to refer to the same as currently amended unless otherwise so specified.

§ 515.402 Effect of amendment of sections of this part or of other orders, etc.

Any amendment, modification, or revocation of any section of this part or of any order, regulation, ruling, instruction, direction or license issued pursuant to this part shall be deemed to refer to the same as currently amended unless otherwise so specified.
§ 515.403 Termination and acquisition of the interest of a designated national.

(a) Except as provided in §515.525, whenever a transaction licensed or authorized by or pursuant to this part results in the transfer of property (including any property interest) away from a designated national, such property shall no longer be deemed to be property in which a designated national has or has had an interest unless there exists in such property an interest of a designated national, the transfer of which has not been effected pursuant to license or other authorization.

(b) Unless otherwise specifically provided in a license or authorization contained in or issued pursuant to this part, if property (including any property interest) is transferred to a designated national such property shall be deemed to be property in which there exists the interest of a designated national.

§ 515.404 Transactions between principal and agent.

A transaction between any person within the United States and any principal, agent, home office, branch, or correspondent, outside the United States of such person is a transaction prohibited by §515.201 to the same extent as if the parties to the transaction were in no way affiliated or associated with each other.

§ 515.405 Exportation of securities, currency, checks, drafts and promissory notes.

Section 515.201 prohibits the exportation of securities, currency, checks, drafts and promissory notes to a designated foreign country.

§ 515.406 Drafts under irrevocable letters of credit; documentary drafts.

Section 515.201 prohibits the presentation, acceptance or payment of:

(a) Drafts or other orders for payment drawn under irrevocable letters of credit issued in favor of or on behalf of any designated national;

(b) Drafts or other orders for payment, in which any designated national has on or since the “effective date” had any interest, drawn under any irrevocable letter of credit; and

(c) Documentary drafts in which any designated national has on or since the “effective date” had any interest.

§ 515.407 Administration of blocked estates of decedents.

Section 515.201 prohibits all transactions incident to the administration of the blocked estate of a decedent, including the appointment and qualification of personal representatives, the collection and liquidation of assets, the payment of claims, and distribution to beneficiaries. Attention is directed to §515.523 which authorizes certain transactions in connection with the administration of blocked estates of decedents, and §515.522 which authorizes the unblocking by specific license of estate assets to certain heirs under certain circumstances.


§ 515.408 Access to certain safe deposit boxes prohibited.

Section 515.201 prohibits access to any safe deposit box within the United States in the custody of any designated national or containing any property in which any designated national has any interest or which there is reasonable cause to believe contains property in which any such designated national has any interest. Attention is directed to §515.517 which authorizes access to such safe deposit boxes under certain conditions.

§ 515.409 Certain payments to a designated foreign country and nationals through third countries.

Section 515.201 prohibits any request or authorization made by or on behalf of a bank or other person within the United States to a bank or other person outside of the United States as a result of which request or authorization such latter bank or person makes a payment or transfer of credit either directly or indirectly to a designated national.

§ 515.410 Dealing abroad in Cuban origin commodities.

Section 515.204 prohibits, unless licensed, the importation of commodities of Cuban origin. It also prohibits, unless licensed, persons subject to the
§§ 515.411—515.413

jurisdiction of the United States from purchasing, transporting or otherwise dealing in commodities of Cuban origin which are outside the United States.

[39 FR 25317, July 10, 1974]

§§ 515.411—515.413 [Reserved]

§ 515.415 Travel to Cuba; transportation of certain Cuban nationals.

(a) The following transactions are prohibited by §515.201 when in connection with the transportation of any Cuban national, except a Cuban national holding an unexpired immigrant or non-immigrant visa or a returning resident of the United States, from Cuba to the United States, unless otherwise licensed:

(1) Transactions incident to travel to, from, or within Cuba;
(2) The transportation to Cuba of a vessel or aircraft;
(3) The transportation into the United States of any vessel or aircraft which has been in Cuba since the effective date, regardless of registry;
(4) The provision of any services to a Cuban national, regardless of whether any consideration for such services is furnished by the Cuban national;
(5) The transportation or importation of baggage or other property of a Cuban national;
(6) The transfer of funds or other property to any person where such transfer involves the provision of services to a Cuban national or the transportation or importation of, or any transactions involving, property in which Cuba or any Cuban national has any interest, including baggage or other such property;
(7) Any other transaction such as payment of port fees and charges in Cuba and payment for fuel, meals, lodging; and
(8) The receipt or acceptance of any gratuity, grant, or support in the form of meals, lodging, fuel, payments of travel or maintenance expenses, or otherwise, in connection with travel to or from Cuba or travel or maintenance within Cuba.

(b) Transactions incident to the travel to the United States of Cuban nationals traveling without a visa issued by the Department of State are not authorized under the provisions of §515.571.

(c) Transactions described in paragraph (a) of this section are not ’transactions ordinarily incident to travel to and from Cuba’ as set forth in §515.560(c).

[45 FR 32671, May 19, 1980, as amended at 64 FR 25812, May 13, 1999]

§§ 515.416–515.419 [Reserved]

§ 515.420 Travel to Cuba.

The prohibition on dealing in property in which Cuba or a Cuban national has an interest set forth in §515.201(b)(1) includes a prohibition on the receipt of goods or services in Cuba, even if provided free-of-charge by the Government of Cuba or a national of Cuba or paid for by a third-country national who is not subject to U.S. jurisdiction. The prohibition set forth in §515.201(b)(1) also prohibits payment for air travel to Cuba on a third-country carrier unless the travel is pursuant to an OFAC general or specific license.

[69 FR 33771, June 16, 2004]

Subpart E—Licenses, Authorizations, and Statements of Licensing Policy

§ 515.501 General and specific licensing procedures.

For provisions relating to licensing procedures, see part 501, subpart E, of this chapter. Licensing actions taken pursuant to part 501 of this chapter with respect to the prohibitions contained in this part are considered actions taken pursuant to this part.

[68 FR 53657, Sept. 11, 2003]

§ 515.502 Effect of subsequent license or authorization.

(a) No license or other authorization contained in this part or otherwise issued by or under the direction of the Secretary of the Treasury pursuant to section 3(a) or 5(b) of the Trading With the Enemy Act, as amended, or section 620(a), Pub. L. 87–195, or Proclamation 3447, shall be deemed to authorize or validate any transaction effected prior
§ 515.503 Exclusion from licenses and authorizations.

The Secretary of the Treasury reserves the right to exclude from the operation of any license or from the privileges therein conferred or to restrict the applicability thereof with respect to particular persons, transactions or property or classes thereof. Such action shall be binding upon all persons receiving actual notice or constructive notice thereof.

§ 515.504 Certain judicial proceedings with respect to property of designated nationals.

(a) Subject to the limitations of paragraphs (b), (c) and (d) of this section judicial proceedings are authorized with respect to property in which on or since the “effective date” there has existed the interest of a designated national.

(b) A judicial proceeding is authorized by this section only if it is based upon a cause of action which accrued prior to the “effective date”.

(c) This section does not authorize or license:

(1) The entry of any judgment or of any decree or order of similar or analogous effect upon any judgment book, minute book, journal or otherwise, or the docketing of any judgment in any docket book, or the filing of any judgment roll or the taking of any other similar or analogous action.

(2) Any payment or delivery out of a blocked account based upon a judicial proceeding nor does it authorize the enforcement or carrying out of any judgment or decree or order of similar or analogous effect with regard to any property in which a designated national has an interest.

(d) If a judicial proceeding relates to property in which there exists the interest of any designated national other than a person who would not have been a designated national except for his relationship to an occupied area, such proceeding is authorized only if it is based upon a claim in which no person other than any of the following has had an interest since the “effective date”:

(1) A citizen of the United States;

(2) A corporation organized under the laws of the United States or any State, territory or possession thereof, or the District of Columbia;

(3) A natural person who is and has been since the “effective date” a resident of the United States and who has not been a specially designated national;

(4) A legal representative (whether or not appointed by a court of the United States) or successor in interest by inheritance, devise, bequest, or operation of law, who falls within any of the categories specified in paragraphs (a) (1), (2), and (3) of this section but only to the same extent that their principals or predecessors would be qualified by such paragraphs.

§ 515.505 Certain Cuban nationals unblocked; transactions of certain other Cuban nationals lawfully present in the United States.

(a) General license unblocking certain persons. The following persons are licensed as unblocked nationals, as that term is defined in §515.307 of this part:

(i) Any individual who:

(ii) Is a United States citizen, a permanent resident alien of the United States and who has applied to become a permanent resident alien of the United States and has an adjustment of status application pending; and

(iii) Is not a specially designated national; and

(ii) Is a United States citizen, a permanent resident alien of the United States, or has applied to become a permanent resident alien of the United States and has an adjustment of status application pending; and

(iii) Is not a specially designated national; and

(2) Any entity that otherwise would be a national of Cuba solely because of the interest therein of an individual licensed in paragraph (a)(1) of this section as an unblocked national.

NOTE TO PARAGRAPH (a): An individual unblocked pursuant to this paragraph does
§ 515.505

not become blocked again merely by leaving the United States. An individual unblocked national remains unblocked unless and until the individual thereafter becomes domiciled in or a permanent resident of Cuba, meets any of the criteria in §515.302(a)(2) through (5), or is a “specially designated national” of Cuba, as that term is defined in §515.306 of this part.

(b) Specific licenses unblocking certain individuals who have taken up permanent residence outside of Cuba. Individual nationals of Cuba who have taken up permanent residence outside of Cuba may apply to the Office of Foreign Assets Control to be specifically licensed as unblocked nationals. Applications for specific licenses under this paragraph should include copies of at least two documents issued by the government authorities of the new country of permanent residence, such as a passport, voter registration card, permanent resident alien card, or national identity card. In cases where two of such documents are not available, other information will be considered, such as evidence that an individual has been resident for the past two years without interruption in a single country outside of Cuba or evidence that the individual does not intend to, or would not be welcome to, return to Cuba.

NOTE TO PARAGRAPH (b): An individual unblocked pursuant to this paragraph remains unblocked unless and until the individual thereafter becomes domiciled in or a permanent resident of Cuba, meets any of the criteria in §515.302(a)(2) through (5), or is a “specially designated national” of Cuba, as that term is defined in §515.306 of this part.

(c) General license authorizing certain transactions of individuals who are lawfully present in the United States in a non-visitor status. An individual national of Cuba who is lawfully present in the United States in a non-visitor status is authorized to engage in all transactions available to an unblocked national, as that term is defined in §515.307 of this part, except that all transactions of individuals who are lawfully present in the United States in a non-visitor status are authorized to engage in all transactions ordinarily included in any of the authorizations contained in this chapter relating to the maintenance or production of records.

(e) The following examples illustrate the application of this section:

(1) Example 1: A national of Cuba with a blocked U.S. bank account receives a U.S. immigration visa. Upon arrival in the United States, she is issued a permanent resident alien card and thereby is licensed as an unblocked national pursuant to paragraph (a) of this section. At this time, she is authorized by §515.571 to have his blocked bank account unblocked.

(2) Example 2: A national of Cuba with a blocked U.S. bank account arrives in the United States without a valid visa but is allowed by the U.S. Government to remain in the United States in a non-visitor status. One year later, he applies for and receives permanent resident alien status. From the date he was permitted to remain in the United States in a non-visitor status until the date he applies for permanent resident alien status, he qualifies for the general license contained in paragraph (c) of this section. During this time he can engage in all transactions as if he is an unblocked national, with the exception that he cannot gain access to his blocked bank account other than to withdraw $250 each month. Beginning at the point in time when he applies for permanent resident alien status, he is licensed as an unblocked national pursuant to paragraph (a) of this section. At this time, he can apply to OFAC for a specific license to have his blocked bank account unblocked.

(3) Example 3: A national of Cuba with a blocked U.S. bank account arrives in the United States on a temporary visa valid for six months. After her visa expires, she remains in the United States for an additional six months and then applies to become a permanent resident alien. She has an adjustment of status application pending until she receives permanent resident alien status one year later. From her arrival in the United States until her application for permanent resident alien status, she does not qualify for any of the authorizations contained in this section. Instead, she is authorized by §515.371 only to engage in transactions ordinarily incident to her travel and maintenance in the United States and to withdraw $250 each month from her blocked account to cover her...
Office of Foreign Assets Control, Treasury

§ 515.510 Payments to the United States, States and political subdivisions.

(a) The payment from any blocked account to the United States or any agency or instrumentality thereof or to any State, territory, district, county, municipality or other political subdivision in the United States, of customs duties, taxes, and fees payable

(b) This section does not authorize any payment or transfer from a blocked account in a domestic bank to a blocked account held under any name or designation which differs from the name or designation of the blocked account from which the payment or transfer is made.

NOTE TO §515.508: Please refer to §501.603 of this chapter for mandatory reporting requirements regarding financial transfers.


§ 515.509 Entries in certain accounts for normal service charges.

(a) Any banking institution within the United States is hereby authorized to:

(1) Debit any blocked account with such banking institution (or with another office within the United States of such banking institution) in payment or reimbursement for normal service charges owed to such banking institution by the owner of such blocked account.

(b) As used in this section, the term normal service charge shall include charges in payment or reimbursement for interest due; cable, telegraph, or telephone charges; postage costs; custody fees; small adjustment charges to correct bookkeeping errors; and, but not by way of limitation, minimum balance charges, account carrying charges, notary and protest fees, and charges for reference books, photocopies, credit reports, transcripts of statements, registered mail insurance, stationery and supplies, check books, and other similar items.

§ 515.506–515.507 [Reserved]

§ 515.508 Payments to blocked accounts in domestic banks.

(a) Any payment or transfer of credit to a blocked account in a domestic bank in the name of any designated national is hereby authorized providing such payment or transfer shall not be made from any blocked account if such payment or transfer represents, directly or indirectly, a transfer of the interest of a designated national to any other country or person.

(b) This section does not authorize:

(1) Any payment or transfer to any blocked account held in a name other than that of the designated national who is the ultimate beneficiary of such payment or transfer; or

(2) Any foreign exchange transaction including, but not by way of limitation, any transfer of credit, or payment of an obligation, expressed in terms of the currency of any foreign country.

(c) This section does not authorize any payment or transfer of credit comprising an integral part of a transaction which cannot be effected without the subsequent issuance of a further license.

(d) This section does not authorize the crediting of the proceeds of the sale of securities held in a blocked account or a subaccount thereof, or the income derived from such securities to a blocked account or subaccount under any name or designation which differs from the name or designation of the specific blocked account or subaccount in which such securities were held.

(e) This section does not authorize any payment or transfer from a

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§ 515.511 Transactions by certain business enterprises.

(a) Except as provided in paragraphs (b), (c) and (d) of this section any partnership, association, corporation or other organization which on the "effective date" was actually engaged in a commercial, banking or financial business within the United States and which is a national of a designated foreign country, is hereby authorized to engage in all transactions ordinarily incidental to the normal conduct of its business activities within the United States.

(b) This section does not authorize any transaction which would require a license if such organization were not a national of a designated foreign country.

(c) This section does not authorize any transaction by a specially designated national.

(d) Any organization engaging in business pursuant to this section shall not engage in any transaction, pursuant to this section or any other license or authorization contained in this part, which, directly or indirectly, substantially diminishes or imperils the assets of such organization or otherwise prejudicially affects the financial position of such organization.

(e) No dealings with regard to any account shall be evidence that any person having an interest therein is actually engaged in commercial, banking or financial business within the United States.

§ 515.512 Provision of certain legal services authorized.

(a) The provision of the following legal services to or on behalf of Cuba or a Cuban national is authorized, provided that all receipts of payment of professional fees and reimbursement of incurred expenses must be specifically licensed:

(1) Provision of legal advice and counseling on the requirements of and compliance with the laws of any jurisdiction within the United States, provided that such advice and counseling are not provided to facilitate transactions in violation of this part;

(2) Representation of persons when named as defendants in or otherwise made parties to domestic U.S. legal, arbitration, or administrative proceedings;

(3) Initiation and conduct of domestic U.S. legal, arbitration, or administrative proceedings in defense of property interests subject to U.S. jurisdiction;

(4) Representation of persons before any federal or state agency with respect to the imposition, administration, or enforcement of U.S. sanctions against such persons; and

(5) Provision of legal services in any other context in which prevailing U.S. law requires access to legal counsel at public expense.

(b) The provision of any other legal services to Cuba or a Cuban national, not otherwise authorized in this part, requires the issuance of a specific license.

(c) Entry into a settlement agreement affecting property or interests in property or the enforcement of any lien, judgment, arbitral award, decree, or other order through execution, garnishment, or other judicial process purporting to transfer or otherwise alter or affect property in which Cuba or a Cuban national has had an interest at any time on or since 12:01 a.m., e.s.t., July 8, 1963, is prohibited except to the extent otherwise provided by law or unless otherwise authorized by or pursuant to this part.

[68 FR 14146, Mar. 24, 2003]

§ 515.513 Purchase and sale of certain securities.

(a) The bona fide purchase and sale of securities on a national securities exchange by banking institutions within the United States for the account, and pursuant to the authorization, of nationals of a designated foreign country
and the making and receipt of payments, transfers of credit, and transfers of such securities which are necessary incidents of any such purchase or sale are hereby authorized provided the following terms and conditions are complied with:

(1) In the case of the purchase of securities, the securities purchased shall be held in an account in a banking institution within the United States in the name of the national whose account was debited to purchase such securities; and

(2) In the case of the sale of securities, the proceeds of the sale shall be credited to an account in the name of the national for whose account the sale was made and in the banking institution within the United States which held the securities for such national.

(b) This section does not authorize the crediting of the proceeds of the sale of securities held in a blocked account or a subaccount thereof, to a blocked account or subaccount under any name or designation which differs from the name or designation of the specific blocked account or subaccount in which such securities were held.

(c) Securities issued or guaranteed by the Government of the United States or any State, territory, district, county, municipality, or other political subdivision thereof (including agencies and instrumentalities of the foregoing) need not be purchased or sold on a national securities exchange, but purchases or sales of such securities shall be made at market value and pursuant to all other terms and conditions prescribed in this section.

§ 515.514 Payment of dividends and interest on and redemption and collection of securities.

(a) The payment to, and receipt by, a banking institution within the United States of funds or other property representing dividends or interest on securities held by such banking institution in a blocked account is hereby authorized provided the funds or other property are credited to or deposited in a blocked account in such banking institution in the name of the national for whose account the securities were held. Notwithstanding §515.202, this paragraph authorizes the foregoing transactions although such securities are registered or inscribed in the name of any designated national and although the national in whose name the securities are registered or inscribed may not be the owner of such blocked account.

(b) The payment to, and receipt by, a banking institution within the United States of funds payable in respect of securities (including coupons) presented by such banking institution to the proper paying agents within the United States for redemption or collection for the account and pursuant to the authorization of nationals of a designated country is hereby authorized provided the proceeds of the redemption or collection are credited to a blocked account in such banking institution in the name of the national for whose account the redemption or collection was made.

(c) The performance of such other acts, and the effecting of such other transactions, as may be necessarily incident to any of the foregoing, are also hereby authorized.

(d) This section does not authorize the crediting of the proceeds of the redemption or collection of securities (including coupons) held in a blocked account or a subaccount thereof, or the income derived from such securities to a blocked account or subaccount under any name or designation which differs from the name or designation of the specific blocked account or subaccount in which such securities were held.

(e) This section does not authorize any issuer or other obligor, with respect to a security, who is a designated national, to make any payment, transfer or withdrawal.

§ 515.515 Transfers of securities to blocked accounts in domestic banks.

(a) Transactions ordinarily incident to the transfer of securities from a blocked account in the name of any person to a blocked account in the same name in a domestic bank are hereby authorized provided such securities shall not be transferred from any blocked account if such transfer represents, directly or indirectly, a transfer of the interest of a designated national to any other country or person.
§ 515.516 Voting and soliciting of proxies on securities.
Notwithstanding § 515.202, the voting and the soliciting of proxies or other authorizations is authorized with respect to the voting of securities issued by a corporation organized under the laws of the United States or of any State, territory, or district thereof, in which a designated national has any interest.

§ 515.517 Access to safe deposit boxes under certain conditions.
(a) Access to any safe deposit box leased to a designated national or containing property in which any designated national has an interest, and the deposit therein or removal therefrom of any property is hereby authorized, provided the following terms and conditions are complied with:
(1) Access shall be permitted only in the presence of an authorized representative of the lessor of such box; and
(2) In the event that any property in which any designated national has any interest is to be removed from such box, access shall be permitted only in the presence of an authorized representative of a banking institution within the United States, which may be the lessor of such box, which shall receive such property into its custody immediately upon removal from such box and which shall hold the same in a blocked account under an appropriate designation indicating the interest therein of designated nationals.
(b) The terms and conditions set forth in paragraph (a) of this section shall not apply to access granted to a representative of the Office of Alien Property pursuant to any rule, regulation or order of such Office.

§ 515.518 Limited payments from accounts of United States citizens abroad.
(a) Payments and transfers of credit from blocked accounts for expenditures within the United States or the authorized trade territory of any citizens of the United States who are within any foreign country are hereby authorized provided the following terms and conditions are complied with:
(1) Such payments and transfers shall be made only from blocked accounts in the name, or in which the beneficial interest is held by, such citizen or his family; and
(2) The total of all such payments and transfers made under this section shall not exceed $1,000 in any one calendar month for any such citizen or his family.
(b) This section does not authorize any remittance to a designated foreign country or, any payment, transfer, or withdrawal which could not be effected without a license by a person within the United States who is not a national of a designated foreign country.

§ 515.519 Limited payments from accounts of United States citizens in employ of United States in foreign countries and certain other persons.
(a) Banking institutions within the United States are hereby authorized to make all payments, transfers and withdrawals from accounts in the name of citizens of the United States while such citizens are within any foreign country in the course of their employment by the Government of the United States.
(b) Banking institutions within the United States are also hereby authorized to make all payments, transfers and withdrawals from accounts in the name of members of the armed forces of the United States and of citizens of the United States accompanying such armed forces in the course of their employment by any organization acting on behalf of the Government of the United States while such persons are within any foreign country.
(c) This section is deemed to apply to the accounts of members of the armed forces of the United States and of citizens of the United States accompanying such armed forces in the course of their employment by the Government of the United States or by any organization acting on its behalf even though they are captured or reported missing.

§ 515.521 U.S. assets of certain Cuban corporations.

(a) Specific licenses may be issued unblocking the net pro rata shares of individuals who are permanent residents of the United States or the authorized trade territory, and who are not specially designated nationals, in U.S.-located assets of corporations formed under the laws of Cuba, after deducting the total debt due creditors for claims that accrued prior to the effective date, in cases where all of the following conditions are met:

(1) The assets were owned by, or accrued to, the corporation before the effective date of the regulations;

(2) The corporation did not carry on substantial business in Cuba under the management or control of the applicant(s) after the effective date;

(3) In cases where the blocked assets purportedly have been nationalized by Cuba, compensation has not been paid to the applicant(s).

(b) Applications for specific licenses under this section must include all of the following information:

(1) A detailed description of the corporation, its by-laws, activities, distribution of shares, and its current status;

(2) Proof of the permanent residence of the applicant(s) in the United States or the authorized trade territory;

(3) A list of all officers, directors and shareholders of the corporation, giving the citizenship and the residence of each person as of the date of the application;

(4) A detailed description of all of the assets of the corporation, wherever located, including a statement of all known encumbrances or claims against them; and

(5) Detailed information regarding the status of all debts and other obligations of the corporation, specifying the citizenship and residence of each creditor on the effective date and on the date of the application.

§ 515.522 U.S. assets of certain Cuban decedents.

(a) Specific licenses may be issued unblocking the net pro rata shares of certain heirs of designated nationals in U.S.-located estate assets, after deducting the total debt due creditors for claims that accrued prior to the effective date, in cases where all of the following conditions are met:

(1) The applicant is a permanent resident of the United States or the authorized trade territory and is not a specially designated national; and

(2) No interest on the part of a designated national not licensed as an unblocked national pursuant to § 515.505 exists in that portion of the assets to which the applicant is entitled.

(b) Applications for specific licenses under this section must include all of the following information:

(1) Proof of permanent residence in the United States or the authorized trade territory, to be established by the submission of documentation issued by relevant government authorities that must include at least two of the following documents: (i) passport; (ii) voter registration card; (iii) permanent resident alien card; or (iv) national identity card. Other documents tending to show residency, such as income tax returns, may also be submitted in support of government documentation, but will not suffice in and of themselves;

(2) Proof of death of the designated national to be established by a death certificate;

(3) Proof of heirship, to be established by a copy of the decedent’s duly executed will certified by a probate court, a court decree determining the heirs, or, failing the availability of such documents, copies of certificates establishing the relationship of the heir to the deceased, e.g., birth or marriage certificates;

(4) A description of the assets involved, including interest due on blocked funds since April 1, 1979, the name and address of the institution in
which the assets are held, the account or safe deposit box number, the name in which the assets are held and a statement of all known encumbrances or claims against them; and

(c) Any document provided pursuant to this section that is not written in the English language must be accompanied by a translation into English, as well as a certification by the translator that he is not an interested party to the proceeding, is qualified to make the translation, and has made an accurate translation of the document in question.


§ 515.523 Transactions incident to the administration of decedents' estates.

(a) The following transactions are authorized in connection with the administration of the assets in the United States of any blocked estate of a decedent:

(1) The appointment and qualification of a personal representative;
(2) The collection and preservation of such assets by such personal representative and the payment of all costs, fees and charges in connection therewith; and
(3) The payment by such personal representative of funeral expenses and expenses of the last illness.

(4) Any transfer of title pursuant to a valid testamentary disposition.

This paragraph does not authorize any unblocking or distribution of estate assets to a designated national.

(b) In addition to the authorization contained in paragraph (a) of this section, all other transactions incident to the administration of assets situated in the United States of any blocked estate of a decedent are authorized if:

(1) The decedent was not a national of a designated foreign country at the time of his death;

(2) The decedent was a citizen of the United States and a national of a designated foreign country at the time of his death solely by reason of his presence in a designated foreign country as a result of his employment by, or service with, the United States Government; or

(3) The assets are unblocked under a specific license issued pursuant to §515.522.

(c) Any property or interest therein distributed pursuant to this section to a designated national shall be regarded for the purpose of this chapter as property in which such national has an interest and shall accordingly be subject to all the pertinent sections of this chapter. Any payment or distribution of any funds, securities or other choses in action to a designated national shall be made by deposit in a blocked account in a domestic bank or with a public officer, agency, or instrumentality designated by a court having jurisdiction of the estate. Any such deposit shall be made in one of the following ways:

(1) In the name of the national who is the ultimate beneficiary thereof;

(2) In the name of a person who is not a national of a designated foreign country in trust for the national who is the ultimate beneficiary; or

(3) Under some other designation which clearly shows the interest therein of such national.

(d) Any distribution of property authorized pursuant to this section may be made to a trustee of any testamentary trust or to the guardian of an estate of a minor or of an incompetent.

(e) This section does not authorize:

(1) Any designated national to act as personal representative or co-representative of any estate;

(2) Any designated national to represent, directly or indirectly, any person who has an interest in an estate;

(3) Any designated national to take distribution of any property as the trustee of any testamentary trust or as the guardian of an estate of a minor or of an incompetent; or

(4) Any transaction which could not be effected if no designated national had any interest in such estate.

(f) Any payment or distribution authorized by this section may be deposited in a blocked account in a domestic bank or with a public officer, agency, or instrumentality designated by the court having jurisdiction of the estate in one of the ways prescribed in paragraph (c) (1), (2) or (3) of this section, but this section does not authorize any other transaction directly or indirectly
§ 515.524 Payment from, and transactions in the administration of certain trusts and estates.

(a) Any bank or trust company incorporated under the laws of the United States, or of any State, territory, possession, or district of the United States, or any private bank subject to supervision and examination under the banking laws of any State of the United States, acting as trustee of a trust created by gift, donation or bequest and administered in the United States, or as legal representative of an estate of an infant or incompetent administered in the United States, in which trust or estate one or more persons who are designated nationals have an interest, beneficial or otherwise, or are co-trustees or co-representatives, is hereby authorized to engage in the following transactions:

(1) Payments of distributive shares of principal or income to all persons legally entitled thereto upon the condition prescribed in paragraph (b) of this section.

(2) Other transactions arising in the administration of such trust or estate which might be engaged in if no national of a designated foreign country were a beneficiary, co-trustee or co-representative of such trust or estate upon the condition prescribed in paragraph (b) of this section.

(b) Other transactions arising in the administration of such trust or estate which might be engaged in if no national of a designated foreign country were a beneficiary, co-trustee or co-representative of such trust or estate upon the condition prescribed in paragraph (b) of this section.

(b) Any payment or distribution of any funds, securities or other choses in action to a national of a designated foreign country under this section shall be made by deposit in a blocked account in a domestic bank in the name of the national who is the ultimate beneficiary thereof.

(c) Any payment or distribution into a blocked account in a domestic bank in the name of any such national of a designated foreign country who is the ultimate beneficiary of and legally entitled to any such payment or distribution is authorized by this section, but this section does not authorize such trustee or legal representative to engage in any other transaction at the request, or upon the instructions, of any beneficiary, co-trustee or co-representative of such trust or estate or other person who is a national of any designated foreign country.

(d) The application of this section to trusts is limited to trusts established by gift, donation, or bequest from individuals or entities to benefit specific heirs, charitable causes, and similar beneficiaries. This section does not apply to trusts established for business or commercial purposes, such as sinking funds established by an issuer of securities in order to secure payment of interest or principal due on such securities.


§ 515.525 Certain transfers by operation of law.

(a) The following are hereby authorized:

(1) Any transfer of any dower, curtesy, community property, or other interest of any nature whatsoever, provided that such transfer arises solely as a consequence of the existence or change of marital status;

(2) Any transfer to any person by intestate succession;

(3) Any transfer to any person as administrator, executor, or other fiduciary by reason of any testamentary disposition; and

(4) Any transfer to any person as administrator, executor, or fiduciary by reason of judicial appointment or approval in connection with any testamentary disposition or intestate succession.

(b) Except to the extent authorized by §515.522, §515.523 or by any other license or authorization contained in or issued pursuant to this part no transfer to any person by intestate succession and no transfer to any person as administrator, executor, or other fiduciary by reason of any testamentary disposition, and no transfer to any person as administrator, executor, or fiduciary by reason of judicial appointment or approval in connection with any testamentary disposition or intestate succession shall be deemed to terminate the interest of the decedent in the
property transferred if the decedent was a designated national.


§ 515.526 Transactions involving blocked life insurance policies.  
(a) The following transactions are hereby authorized:
(1) The payment of premiums and interest on policy loans with respect to any blocked life insurance policy;  
(2) The issuance, servicing or transfer of any blocked life insurance policy in which the only blocked interest is that of one or more of the following:
(i) A member of the armed forces of the United States or a person accompanying such forces (including personnel of the American Red Cross, and similar organizations);  
(ii) An officer or employee of the United States; or
(iii) A citizen of the United States resident in a designated foreign country;
and  
(3) The issuance, servicing or transfer of any blocked life insurance policy in which the only blocked interest (other than that of a person specified in paragraph (a)(2) of this section) is that of a beneficiary.
(b) Paragraph (a) of this section does not authorize:
(1) Any payment to the insurer from any blocked account except a blocked account of the insured or beneficiary, or
(2) Any payment by the insurer to a national of a designated foreign country unless payment is made by deposit in a blocked account in a domestic bank in the name of the national who is the ultimate beneficiary thereof.
(c) The application, in accordance with the provisions of the policy or the established practice of the insurer of the dividends, cash surrender value, or loan value, of any blocked life insurance policy is also hereby authorized for the purpose of:
(1) Paying premiums;
(2) Paying policy loans and interest thereon;
(3) Establishing paid-up insurance; or
(4) Accumulating such dividends or values to the credit of the policy on the books of the insurer.
(d) As used in this section:
(1) The term blocked life insurance policy shall mean any life insurance policy or annuity contract, or contract supplementary thereto, in which there is a blocked interest.
(2) Any interest of a national of a designated foreign country shall be deemed to be a “blocked interest.”
(3) The term servicing shall mean the following transactions with respect to any blocked life insurance policy:
(i) The payment of premiums, the payment of loan interest, and the repayment of policy loans;
(ii) The effecting by a life insurance company or other insurer of loans to an insured;
(iii) The effecting on behalf of an insured or surrenders, conversions, modifications, and reinstatements; and
(iv) The exercise or election by an insured of nonforfeiture options, optional modes of settlement, optional disposition of dividends, and other policy options and privileges not involving payment by the insurer.
(e) This section does not authorize any transaction with respect to any blocked life insurance policy issued by a life insurance company or other insurer which is a national of a designated foreign country or which is not doing business or effecting insurance in the United States.

§ 515.527 Certain transactions with respect to United States intellectual property.  
(a)(1) Transactions related to the registration and renewal in the United States Patent and Trademark Office or the United States Copyright Office of patents, trademarks, and copyrights in which the Government of Cuba or a Cuban national has an interest are authorized.
(b) Paragraph (a)(1) of this section with respect to a mark, trade name, or commercial name that is the same as or substantially similar to a mark, trade name, or commercial name that was used in connection with a business or assets
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that were confiscated, as that term is defined in §515.336, unless the original owner of the mark, trade name, or commercial name, or the bona fide successor-in-interest has expressly consented.

(b) This section authorizes the payment from blocked accounts or otherwise of fees currently due to the United States Government in connection with any transaction authorized in paragraph (a) of this section.

(c) This section further authorizes the payment from blocked accounts or otherwise of the reasonable and customary fees and charges currently due to attorneys or representatives within the United States in connection with the transactions authorized in paragraph (a) of this section.


§ 515.528 Certain transactions with respect to blocked foreign intellectual property.

(a) The following transactions by any person who is not a designated national are hereby authorized:

(1) The filing and prosecution of any application for a blocked foreign patent, trademark or copyright, or for the renewal thereof;

(2) The receipt of any blocked foreign patent, trademark or copyright;

(3) The filing and prosecution of opposition or infringement proceedings with respect to any blocked foreign patent, trademark, or copyright, and the prosecution of a defense to any such proceedings;

(4) The payment of fees currently due to the government of any foreign country, either directly or through an attorney or representative, in connection with any of the transactions authorized by paragraphs (a)(1), (2), and (3) of this section or for the maintenance of any blocked foreign patent, trademark or copyright; and

(b) The payment of reasonable and customary fees currently due to attorneys or representatives in any foreign country incurred in connection with any of the transactions authorized by paragraphs (a)(1), (2), (3), or (4) of this section.

(b) Payments effected pursuant to the terms of paragraphs (a) (4) and (5) of this section may not be made from any blocked account.

(c) As used in this section the term blocked foreign patent, trademark, or copyright shall mean any patent, petty patent, design patent, trademark or copyright issued by any foreign country in which a designated foreign country or national thereof has an interest, including any patent, petty patent, design patent, trademark, or copyright issued by a designated foreign country.

(28 FR 6974, July 9, 1963, as amended at 60 FR 54196, Oct. 20, 1995)

§ 515.529 Powers of attorney.

(a) No power of attorney, whether granted before or after the “effective date” shall be invalid by reason of any of the provisions of this part with respect to any transaction licensed by or pursuant to the provisions of this part.

(b) This section does not authorize any transaction pursuant to a power of attorney if such transaction is prohibited by §515.201 and is not otherwise licensed or authorized by or pursuant to this part.

(c) This section does not authorize the creation of any power of attorney in favor of any person outside of the United States or the exportation from the United States of any power of attorney.

§ 515.530 Exportation of powers of attorney or instructions relating to certain types of transactions.

(a) The exportation to any foreign country of powers of attorney or other instruments executed or issued by any person within the United States who is not a national of a designated foreign country, which are limited to authorizations or instructions to effect transactions incident to the following, are hereby authorized upon the condition prescribed in paragraph (b) of this section:

(1) The representation of the interest of such person in a decedent’s estate which is being administered in a designated foreign country and the collection of the distributive share of such person in such estate;

(b) Payments effected pursuant to the terms of paragraphs (a)(4) and (5) of this section may not be made from any blocked account.

(c) As used in this section the term blocked foreign patent, trademark, or copyright shall mean any patent, petty patent, design patent, trademark or copyright issued by any foreign country in which a designated foreign country or national thereof has an interest, including any patent, petty patent, design patent, trademark, or copyright issued by a designated foreign country.
§ 515.531 Property located in a designated foreign country in which such person has an interest; and

(3) The conveyance, transfer, release, sale or other disposition of any property specified in paragraph (a)(1) of this section or any real estate or tangible personal property if the value thereof does not exceed the sum of $5,000 or its equivalent in foreign currency.

(b) No instrument which authorizes the conveyance, transfer, release, sale or other disposition of any property may be exported under this section unless it contains an express stipulation that such authority may not be exercised if the value of such property exceeds the sum of $5,000 or the equivalent thereof in foreign currency.

(c) As used in this section, the term tangible personal property shall not include cash, bullion, deposits, credits, securities, patents, trademarks, or copyrights.

§ 515.532 Completion of certain securities transactions.

(a) Banking institutions within the United States are hereby authorized to complete, on or before July 12, 1963 purchases and sales made prior to the "effective date" of securities purchased or sold for the account of a designated foreign country or any designated national thereof provided the following terms and conditions are complied with, respectively:

(1) The proceeds of such sale are credited to a blocked account in a banking institution in the name of the person for whose account the sale was made; and

(2) The securities so purchased are held in a blocked account in a banking institution in the name of the person for whose account the purchase was made.

(b) This section does not authorize the crediting of the proceeds of the sale of securities held in a blocked account or a subaccount thereof, to a blocked account or subaccount under any name or designation which differs from the name or designation of the specific blocked account or subaccount in which such securities were held.

§ 515.533 Transactions incident to exportations from the United States and reexportations of 100% U.S.-origin items to Cuba; negotiation of executory contracts.

(a) All transactions ordinarily incident to the exportation of items from the United States, or the reexportation of 100% U.S.-origin items from a third country, to any person within Cuba are authorized, provided that:

(1) The exportation or reexportation is licensed or otherwise authorized by the Department of Commerce under the provisions of the Export Administration Act of 1979, as amended (50 U.S.C. app. 2401–0420) (see the Export Administration Regulations, 15 CFR 730–774); and

(2) Only the following payment and financing terms may be used:

(i)(A) Payment of cash in advance. Except as provided in paragraph (a)(2)(i)(B) of this section, for the purposes of this section, the term "payment of cash in advance" means that payment is received by the seller or the seller’s agent prior to shipment of the goods from the port at which they are loaded;

(B) Payment of cash in advance during Fiscal Year 2010. For sales of agricultural items delivered to Cuba between
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October 1, 2009, and September 30, 2010, or delivered pursuant to a contract entered into between October 1, 2009, and September 30, 2010, and shipped within twelve months from the signing of the contract, the term “payment of cash in advance” shall mean payment before the transfer of title to, and control of, the exported items to the Cuban purchaser;


(ii) For authorized sales of agricultural items, financing by a banking institution located in a third country provided the banking institution is not a designated national, U.S. citizen, U.S. permanent resident alien, or an entity organized under the laws of the United States or any jurisdiction within the United States (including foreign branches). Such financing may be confirmed or advised by a U.S. banking institution; or

(iii) For all other authorized sales, financing by a banking institution located in a third country provided the banking institution is not a designated national or a person subject to the jurisdiction of the United States. Such financing may be confirmed or advised by a U.S. banking institution.

NOTE TO PARAGRAPH (a): The transactions authorized by this paragraph include, but are not limited to, all transactions that are directly incident to the shipping of specific exports or reexports (e.g., insurance and transportation of the exports to Cuba). Transactions that are not tied to specific exports or reexports, such as transactions involving future (non-specific) shipments, must be separately licensed by OFAC. For the waiver of the prohibitions on entry into U.S. ports contained in § 515.207 for vessels transporting shipments of items between the United States and Cuba pursuant to this section, see § 515.550.

(b) Persons subject to the jurisdiction of the United States are authorized to engage in all transactions ordinarily incident to negotiation of and entry into executory contracts for the sale of items that may be exported from the United States to Cuba or 100% U.S.-origin items that may be reexported from a third country to Cuba consistent with the export licensing policy of the Department of Commerce, provided that performance of such executory contracts is expressly made contingent on the prior authorization by the Department of Commerce.

NOTE TO PARAGRAPH (b): This paragraph does not authorize transactions related to travel to, from, or within Cuba. See paragraphs (e) and (f) for general licenses, and paragraph (g) for a statement of specific licensing policy, with respect to such transactions.

(c) This section does not authorize:

(1) The financing of any transactions from any blocked account.

(2) Any transaction involving, directly or indirectly, property in which any designated national, other than a person located in the country to which the exportation or reexportation is consigned, has an interest or has had an interest since the effective date set forth in § 515.201 of this part.

(d) In addition to those transactions authorized pursuant to paragraph (a) of this section, all transactions ordinarily incident to the processing of payments received for items exported from the United States to any person within Cuba are authorized, provided that:

(1) The exportation is licensed or otherwise authorized by the Department of Commerce under the provisions of the Export Administration Act of 1979, as amended (50 U.S.C. App. 2401–2420) (see the Export Administration Regulations, 15 CFR 730–774);

(2) The items are shipped from the port at which they are loaded on or before March 24, 2005; and

(3) Payment is received by a U.S. banking institution on or before March 24, 2005, and prior to the transfer of title to, and control of, the exported items to the Cuban purchaser.

(e) General license for travel-related transactions incident to sales of agricultural commodities, medicine, or medical devices. The travel-related transactions set forth in § 515.560(c) and additional transactions that are directly incident to the commercial marketing, sales negotiation, accompanied delivery, or servicing in Cuba of agricultural commodities, medicine, or medical devices that appear consistent with the export or re-export licensing policy of the Department of Commerce are authorized, provided that:
§ 515.535 Exchange of certain securities.

(a) Subject to the limitations and conditions of paragraph (b) of this section and notwithstanding §515.202, any banking institution within the United States is authorized to engage in the following transactions with respect to securities listed on a national securities exchange, including the withdrawal of such securities from blocked accounts:

(1) Exchange of certificates necessitated by reason of changes in corporate name, par value or capitalization,
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§ 515.542 Mail and telecommunications-related transactions.

(a) All transactions of common carriers incident to the receipt or transmission of mail between the United States and Cuba are authorized.

(b) All transactions, including but not limited to payments, incident to the provision of telecommunications services between the United States and Cuba, the provision of satellite radio or satellite television services to Cuba, or the entry into and performance under roaming service agreements with telecommunications services providers in Cuba, by a telecommunications services provider that is a person subject to U.S. jurisdiction are authorized. This paragraph does not authorize any transactions addressed in paragraphs (c), (d), (f) or (g) of this section, nor
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does it authorize the entry into or performance of a contract with or for the benefit of any particular individual in Cuba.

(c) All persons subject to U.S. jurisdiction are authorized to enter into, and make payments under, contracts with non-Cuban telecommunications services providers, or particular individuals in Cuba, for telecommunications services provided to particular individuals in Cuba, provided that such individuals in Cuba are not prohibited officials of the Government of Cuba, as defined in §515.337 of this part, or prohibited members of the Cuban Communist Party, as defined in §515.338 of this part. The authorization in this paragraph includes but is not limited to telephone, telegraph, and similar services and the transmission of satellite radio and satellite television broadcasts and news wire feeds.

(g) Nothing in this section authorizes the exportation or re-exportation of any items to Cuba. For the rules related to authorization of exports and re-exports to Cuba, see §§515.533 and 515.559 of this part.

(b) For an authorization of travel-related transactions that are directly incident to the commercial marketing, sales negotiation, accompanied delivery, or servicing in Cuba of telecommunications-related items that have been authorized for commercial export to Cuba by the U.S. Department of Commerce, see §515.533(f) of this part. For an authorization of travel-related transactions that are directly incident to participation in professional meetings for the commercial marketing of, sales negotiation for, or performance under contracts for the provision of the telecommunications services, or the establishment of facilities to provide telecommunications services, §515.542 authorizes transactions related to travel to, from, or within Cuba.

[74 FR 46005, Sept. 8, 2009]

§ 515.543 Proof of origin.

Specific licenses for importation of goods of Cuban origin are generally not issued unless the applicant submits satisfactory documentary proof of the location of the goods outside Cuba prior to July 8, 1963 and of the absence of any Cuban interest in the goods at all times on or since that date. Since the type of document which would constitute satisfactory proof varies depending upon the facts of the particular case, it is not possible to state
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in advance the type of documents required. However, it has been found that affidavits, statements, invoices, and other documents prepared by manufacturers, processors, sellers or shippers cannot be relied on and are therefore not by themselves accepted by the Office of Foreign Assets Control as satisfactory proof of origin. Independent corroborating documentary evidence, such as insurance documents, bills of lading, etc., may be accepted as satisfactory proof.

(39 FR 25317, July 10, 1974)

§ 515.544 Gifts of Cuban origin goods.

(a) Except as stated in paragraph (b) of this section, specific licenses are not issued for the importation of Cuban-origin goods sent as gifts to persons in the United States or acquired abroad as gifts by persons entering the United States. However, licenses are issued upon request for the return of such goods to the donors in countries other than Cuba.

(b) Specific licenses are issued for the importation directly from Cuba:

(1) Of goods which are claimed by the importer to have been sent as a bona fide gift or

(2) Of goods which are imported by a person entering the U.S., which are claimed to have been acquired in Cuba as a bona fide gift, subject to the conditions that:

(i) The goods are of small value, and

(ii) There is no reason to believe that there is, or has been since July 8, 1963, any direct or indirect financial or commercial benefit to Cuba or nationals thereof from the importation.


§ 515.545 Transactions related to information and informational materials.

(a) Transactions relating to the dissemination of informational materials are authorized, including remittance of royalties paid for informational materials that are reproduced, translated, subtitled, or dubbed. This section does not authorize the remittance of royalties or other payments relating to works not yet in being, or for marketing and business consulting services, or artistic or other substantive alteration or enhancements to informational materials, as provided in § 515.206(a)(3).

(b) Specific licenses may be issued on a case-by-case basis authorizing the travel-related transactions set forth in § 515.560(c) for purposes related to the exportation, importation, or transmission of information or informational materials as defined in § 515.332.

Note to § 515.545. With respect to transactions necessary and ordinarily incident to the publishing and marketing of manuscripts, books, journals and newspapers, see § 515.577.


§ 515.546 Accounts of Cuban sole proprietorships.

Specific licenses are issued unblocking sole proprietorships established under the laws of Cuba if the proprietor has emigrated from Cuba and established residence in the United States or a country in the authorized trade territory.


§ 515.547 Research samples.

Specific licenses are issued for importation of Cuban-origin commodities for bona-fide research purposes in sample quantities only.

(39 FR 25318, July 10, 1974)

§ 515.548 Services rendered by Cuba to United States aircraft.

Specific licenses are issued for payment to Cuba of charges for services rendered by Cuba in connection with overflights of Cuba or emergency landings in Cuba, of private, commercial or government-owned United States aircraft.

(39 FR 25318, July 10, 1974, as amended at 49 FR 27144, July 2, 1984)

§ 515.549 Bank accounts and other property of non-Cuban citizens who were in Cuba on or after July 8, 1963.

(a) Citizens of foreign countries. Specific licenses are issued unblocking the accounts and other property of non-
§ 515.550 Certain vessel transactions authorized.

Unless a vessel has otherwise engaged in transactions that would prohibit entry pursuant to §515.207, §515.207 shall not apply to a vessel that is:

(a) Engaging in trade with Cuba authorized by licenses issued pursuant to §515.533 or §515.559; or

(b) Engaging in trade with Cuba that is exempt from the prohibitions of this part (see §515.206).

[39 FR 25318, July 10, 1974]

§ 515.551 Joint bank accounts.

(a) Specific licenses are issued unblocking a portion of or all of a joint bank account blocked by reason of the fact that one or more of the persons in whose names the account is held is a blocked national, where a non-blocked applicant claims beneficial ownership, as follows:

(1) Joint bank account, without survivorship provisions. Specific licenses are issued unblocking only that amount with respect to which the applicant is able to prove beneficial ownership by documentary evidence independent of his assertions of interest.

(2) Joint bank account, with survivorship provisions. Specific licenses are issued unblocking an amount equivalent to that portion of the total amount to which the applicant would be entitled if the total were divided evenly among the persons in whose names the account is held (e.g., 50 percent where there are two names; 33 1/3 percent where there are three names). Such licenses generally are issued on the basis of applicant’s assertions of beneficial ownership interest without the requirement of independent evidence.

(3) Joint bank account in the names of a husband and wife, with survivorship provision. Specific licenses are issued unblocking portions of such accounts blocked by reason of the residence of one spouse in Cuba in favor of the non-blocked spouse under the policy stated in paragraph (a)(2) of this section. However, if 50 percent of the account has been unblocked under that policy, and the spouse who is the blocked Cuban national subsequently dies, the surviving spouse may be entitled to a license unblocking the remainder of the assets under §515.522.

(b) [Reserved]


§ 515.552 Proceeds of insurance policies.

(a) Specific licenses are issued authorizing payment of the proceeds of blocked life insurance policies issued on the life of a Cuban national who died in Cuba after July 8, 1963, to certain beneficiaries licensed as unblocked nationals pursuant to §515.505, as follows:

(1) The applicant is a permanent resident of the United States or the authorized trade territory and is not a specially designated national; and

(2) No interest on the part of a designated national not licensed as an unblocked national exists in that portion of the funds to which the applicant is entitled.

(b) Applications for specific licenses under this section must include all of the following information:

(1) Proof of permanent residence in the United States or the authorized trade territory, to be established by the submission of documentation issued by relevant government authorities that must include at least two of the following documents:

(i) Passport;

(ii) Voter registration card;

(iii) Permanent resident alien card; or

(iv) National identity card.
Other documents tending to show residency, such as income tax returns, may also be submitted in support of government documentation, but will not suffice in and of themselves.

(2) Proof of entitlement under the insurance policy to be established by a copy of the policy and an affidavit from an appropriate officer of a recognized insurance company acknowledging the legitimacy of the beneficiary’s claim and the amount of the payment; and

(c) Any document provided pursuant to this section that is not written in the English language must be accompanied by a translation into English, as well as a certification by the translator that he is not an interested party to the proceeding, is qualified to make the translation, and has made an accurate translation of the document in question.

[54 FR 5234, Feb. 2, 1989]

§ 515.553 Bank accounts of official representatives in Cuba of foreign governments.

Specific licenses are issued authorizing payments from accounts of official representatives in Cuba of foreign governments for transactions which are not inconsistent with the purposes of any of the regulations in this chapter.

[39 FR 25319, July 10, 1974]

§ 515.554 Transfers of abandoned property under State laws.

(a) Except as stated in paragraphs (b) and (c) of this section, specific licenses are not issued authorizing the transfer of blocked property to State agencies under State laws governing abandoned property.

(b) Specific licenses are issued authorizing the transfer of blocked property, pursuant to the laws of the State governing abandoned property, to the appropriate State agency: Provided, That the State’s laws are custodial in nature, i.e., there is no permanent transfer of beneficial interest to the State. Licenses require the property to be held by the State in accounts which are identified as blocked under the regulations. A separate index of these blocked assets is required to be maintained by the State agency. The requirements of this section for identification and separate indexing of blocked assets apply to all blocked assets held by State agencies and any licenses issued prior to the effective date of this section hereby are amended by the incorporation of such requirements.

(c) To be eligible for a specific license under this section, the state agency must demonstrate that it has the statutory authority under appropriate state law to comply with the requirements of §515.205. Such a showing shall include an opinion of the State Attorney General that such statutory authority exists.

[44 FR 11771, Mar. 2, 1979]

§ 515.555 Assets of Cuban firms wholly or substantially owned by U.S. citizens.

(a) Specific licenses are issued to applicants requesting the unblocking of their stock in Cuban corporations if:

(1) The corporation was wholly or substantially owned by United States citizens on July 8, 1963;

(2) The assets are in the United States and either;

(3) The applicant is a stockholder who was a United States citizen on July 8, 1963 and owned the stock interests on that date; or,

(4) The applicant is a non-blocked person who acquired such stock interest after July 8, 1963 from a person specified in paragraph (a)(3) of this section.

(b) The issuance of licenses is conditioned on the applicant’s furnishing the following information:

(1) Detailed information as to the status of all debts and other obligations of the Cuban corporation, specifying the citizenship and residence of each creditor as of July 8, 1963, and as of the date of filing of the application;

(2) Current status of the Cuban corporation, e.g., liquidated, nationalized, inoperative, etc.;

(3) A detailed description of all the corporation’s assets, wherever located;

(4) A list of all officers, directors, and stockholders giving the citizenship and the residence of each such person as of July 8, 1963; and,

(5) Satisfactory proof that such stock was owned by U.S. citizens as of July 8,
§ 515.556 1963. Such proof may consist of sworn statements by the persons in question attesting to their citizenship. The Office of Foreign Assets Control reserves the right to require additional proof of citizenship.

[39 FR 25319, July 10, 1974]

§ 515.556 [Reserved]

§ 515.557 Accounts of Cuban partnerships.

Specific licenses are issued unblocking partnerships established under the laws of Cuba as follows:

(a) Where all of the general partners and limited partners, if any, have emigrated from Cuba and have established residence in the United States or in a country in the authorized trade territory, specific licenses are issued unblocking the assets of the partnership after deducting the total debt due creditors wherever located.

(b) Where one or more partners, whether general or limited, is still in Cuba (or elsewhere but still blocked), specific licenses are issued unblocking only the net pro-rata shares of those partners who are resident in the United States or in a country in the authorized trade territory after deducting the total debt due creditors wherever located.

(c) The issuance of licenses is conditioned on the applicant’s furnishing the following information:

(1) Detailed information as to the status of all debts and other obligations of the blocked partnership, specifying the citizenship and residence of each creditor as of July 8, 1963, and as of the date of the application;

(2) Current status of the Cuban partnership, e.g., liquidated, nationalized, inoperative, etc.;

(3) A detailed description of all the partnership’s assets, wherever located; and,

(4) A list of all partners, indicating whether they are general, limited, etc. and giving their citizenship and residence as of July 8, 1963, and as of the date of filing of the application.

[39 FR 25319, July 10, 1974]

§ 515.558 Bunkering of Cuban vessels and fueling of Cuban aircraft by American-owned or controlled foreign firms.

Foreign firms owned or controlled by United States persons are authorized to engage in transactions ordinarily incident to the bunkering of vessels and to the fueling of aircraft owned or controlled by, or chartered to, Cuba or nationals thereof.


§ 515.559 Certain transactions by U.S.-owned or controlled foreign firms with Cuba.

(a) Effective October 23, 1992, no specific licenses will be issued pursuant to paragraph (b) of this section for transactions between U.S.-owned or controlled firms in third countries and Cuba for the exportation to Cuba of commodities produced in the authorized trade zone or for the importation of goods of Cuban origin into countries in the authorized trade zone, unless, in addition to meeting all requirements of paragraph (b), one or more of the following conditions are satisfied:

(1) The contract underlying the proposed transaction was entered into prior to October 23, 1992;

(2) The transaction is for the exportation of medicine or medical supplies from a third country to Cuba, which shall not be restricted:

(i) Except to the extent such restrictions would be permitted under section 5(m) of the Export Administration Act of 1979 or section 203(b)(2) of the International Emergency Economic Powers Act if the exportation were subject to these provisions;

(ii) Except in a case in which there is a reasonable likelihood that the item to be exported will be used for purposes of torture or other human rights abuses;

(iii) Except in a case in which there is a reasonable likelihood that the item to be exported will be reexported; or

(iv) Except in a case in which the item to be exported could be used in
the production of any biotechnological product; and

(v) Except in a case where it is determined that the United States Government is unable to verify, by on-site inspection or other means, that the item to be exported will be used for the purpose for which it was intended and only for the use and benefit of the Cuban people, but this exception shall not apply to donations for humanitarian purposes to a nongovernmental organization in Cuba.

(3) The transaction is for the exportation of telecommunications equipment from a third country, when the equipment is determined to be necessary for efficient and adequate telecommunications service between the United States and Cuba.

(b) Specific licenses will be issued in appropriate cases for certain categories of transactions between U.S.-owned or controlled firms in third countries and Cuba, where local law requires, or policy in the third country favors, trade with Cuba. The categories include:

(1) Exportation to Cuba of commodities produced in the authorized trade territory, provided:

(i) The commodities to be exported are non-strategic;

(ii) United States-origin technical data (other than maintenance, repair and operations data) will not be transferred;

(iii) If any U.S.-origin parts and components are included therein, such inclusion has been authorized by the Department of Commerce;

(iv) If any U.S.-origin spares are to be reexported to Cuba in connection with a licensed transaction, such reexport has been authorized by the Department of Commerce;

(v) No U.S. dollar accounts are involved; and

(vi) Any financing or other extension of credit by a U.S.-owned or controlled firm is granted on normal short-term conditions which are appropriate for the commodity to be exported.

(2) Travel-related transactions set forth in §515.560(c) and other transactions that are directly incident to marketing, sales negotiation, accompanied delivery, or servicing of exports that are consistent with the licensing policy under this section.

(3) Importation of goods of Cuban origin into countries in the authorized trade territory.


(c) The term strategic goods means any item, regardless of origin, of a type included in the Commodity Control List of the U.S. Department of Commerce (15 CFR part 399) and identified by the code letter “A” following the Export Control Commodity Numbers, or of a type the unauthorized exportation of which from the United States is prohibited by regulations issued under the Arms Export Control Act of 1976, 22 U.S.C. 2778, or under the Atomic Energy Act of 1954, 42 U.S.C. 2011, et seq., or successor acts restricting the export of strategic goods.

NOTE TO §515.559: For reexportation of U.S.-origin goods, wares, or merchandise by U.S.-owned or controlled foreign firms, see §515.533. Transactions by U.S.-owned or controlled foreign firms directly incident to the exportation of information or informational materials or the donation of food to nongovernmental entities or individuals in Cuba are exempt from the prohibitions of this part. See §515.206. For the waiver of the prohibitions contained in §515.207 with respect to vessels transporting shipments of goods, wares, or merchandise pursuant to this section, see §515.550.


§ 515.560 Travel-related transactions to, from, and within Cuba by persons subject to U.S. jurisdiction.

(a) The travel-related transactions listed in paragraph (c) of this section may be authorized either by a general license or on a case-by-case basis by a specific license for travel related to the following activities (see the referenced sections for the applicable general and specific licensing criteria):

(1) Family visits (general and specific licenses) (see §515.561);
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(2) Official business of the U.S. government, foreign governments, and certain intergovernmental organizations (general license) (see §515.562);  
(3) Journalistic activity (general and specific licenses) (see §515.563);  
(4) Professional research and professional meetings (general and specific licenses) (see §515.564);  
(5) Educational activities (specific licenses) (see §515.565);  
(6) Religious activities (specific licenses) (see §515.566);  
(7) Public performances, athletic and other competitions, and exhibitions (specific licenses) (see §515.567);  
(8) Support for the Cuban people (specific licenses) (see §515.574);  
(9) Humanitarian projects (specific licenses) (see §515.575);  
(10) Activities of private foundations or research or educational institutes (specific licenses) (see §515.576);  
(11) Exportation, importation, or transmission of information or informational materials (specific licenses) (see §515.545); and  
(12) Certain export transactions that may be considered for authorization under existing Department of Commerce regulations and guidelines with respect to Cuba or engaged in by U.S.-owned or -controlled foreign firms (general and specific licenses) (see §§515.583 and 515.559).  

(b) Effective October 28, 2000, no specific licenses will be issued authorizing the travel-related transactions in paragraph (c) of this section in connection with activities other than those referenced in paragraph (a) of this section.  

(c) Persons generally or specifically licensed under this part to engage in transactions in connection with travel to, from, and within Cuba may engage in the following transactions:  

(1) Transportation to and from Cuba. All transportation-related transactions ordinarily incident to travel to and from (not within) Cuba are authorized.  

(2) Living expenses in Cuba. All transactions ordinarily incident to travel anywhere within Cuba, including payment of living expenses and the acquisition in Cuba of goods for personal consumption there, are authorized, provided that, unless otherwise authorized, the total for such expenses does not exceed the “maximum per diem rate” for Havana, Cuba, in effect during the period that the travel takes place. The maximum per diem rate is published in the Department of State’s “Maximum Travel per Diem Allowances for Foreign Areas,” a supplement to section 925, Department of State Standardized Regulations (Government Civilians, Foreign Areas), which is available from the Government Printing Office, Superintendent of Documents, P.O. Box 371945, Pittsburgh, PA 15209–7954, and on the Department of State’s Office of Allowances Web site (http://aoprals.state.gov).  

(3) Importation of Cuban merchandise prohibited. Nothing in this section authorizes the importation into the United States of any merchandise purchased or otherwise acquired in Cuba, including but not limited to any importation of such merchandise as accompanied baggage. The importation of Cuban-origin information and informational materials is exempt from the prohibitions of this part, as described in §515.206.  

(4) Carrying remittances to Cuba. The carrying to Cuba of any remittances that the licensed traveler is authorized to remit pursuant to §515.570 is authorized, provided that:  

(i) The total of all family remittances authorized by §515.570(a) does not exceed $3,000, and  

(ii) No emigration remittances authorized by §515.570(b) are carried to Cuba unless a U.S. immigration visa has been issued for each payee and the licensed traveler can produce the visa recipients’ full names, dates of birth, visa numbers, and visa dates of issuance.  

NOTE TO PARAGRAPH (c)(4): This paragraph does not authorize a traveler to carry remittances on behalf of other remitters.  

(5) Processing certain financial instruments. All transactions incident to the processing and payment of checks, drafts, travelers’ checks, and similar instruments negotiated in Cuba by any person authorized pursuant to this part to engage in financial transactions in Cuba. For purposes of this section, the authorized transactions may be conducted using currency, which is defined as money, cash, drafts, notes, travelers’ checks, negotiable instruments,
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or scrip having a specified or readily determinable face value or worth, but which does not include gold or other precious metals in any form.

(d) A blocked Cuban national permanently resident outside the United States who is departing the United States may carry currency, as that term is defined in paragraph (c)(5) of this section, as follows:

(1) The amount of any currency brought into the United States by the Cuban national and registered with U.S. Customs and Border Protection upon entry;

(2) Up to $3,000 in funds received as remittances by the Cuban national during his or her stay in the United States; and

(e) The following transactions by persons generally or specifically licensed to engage in travel-related transactions to, from, and within Cuba are prohibited by §515.201 unless specifically authorized:

(1) All transactions by persons subject to U.S. jurisdiction related to the utilization of charge cards, including but not limited to debit or credit cards, for expenditures in Cuba.

(2) All transactions related to the processing and payment by persons subject to U.S. jurisdiction, such as charge card issuers or intermediary banks, of charge card instruments (e.g., vouchers, drafts, or sales receipts) for expenditures in Cuba. The issuer of a charge card, or a foreign charge card firm owned or controlled by persons subject to U.S. jurisdiction, is not authorized to deal with a Cuban enterprise, a Cuban national, or a third-country person, such as a franchisee, in connection with the extension of charge card services to any person in Cuba.

(f) Nothing in this section authorizes transactions in connection with tourist travel to Cuba, nor does it authorize transactions in relation to any business travel, including making or agreeing to make any investment in Cuba, establishing or agreeing to establish any branch or agency in Cuba, or transferring or agreeing to transfer any property to Cuba, except transfers by or on behalf of individual or group travelers authorized pursuant to this part.

§ 515.561 Persons visiting close relatives in Cuba.

(a) General license. (1) Persons subject to the jurisdiction of the United States and persons traveling with them who share a common dwelling as a family with them are authorized to engage in the travel-related transactions set forth in §515.560(c) and additional transactions directly incident to visiting a close relative, as defined in §515.339 of this part, who is a national of Cuba, as defined in §515.302 of this part.

(2) Persons subject to the jurisdiction of the United States and persons traveling with them who share a common dwelling as a family with them are prohibited by §515.201 unless specifically authorized:

(b) Specific licenses. Specific licenses may be issued on a case-by-case basis authorizing persons subject to the jurisdiction of the United States and persons traveling with them who share a common dwelling as a family with them to engage in the travel-related transactions set forth in §515.560(c) and additional transactions directly incident to visiting a close relative, as defined in §515.339 of this part, who is a U.S. Government employee assigned to the U.S. Interests Section in Havana.

§ 515.562 Officials of the U.S. government, foreign governments, and certain intergovernmental organizations traveling to, from, and within Cuba on official business.

The travel-related transactions set forth in §515.560(c) and such additional transactions as are directly incident to activities in their official capacities by persons who are officials of the United States, the governments of other countries, or certain intergovernmental organizations are authorized.
§ 515.563 Journalistic activities in Cuba.

(a) General license. The travel-related transactions set forth in §515.560(c) and such additional transactions as are directly incident to journalistic activities in Cuba by persons regularly employed as journalists by a news reporting organization or by persons regularly employed as supporting broadcast or technical personnel are authorized.

NOTE TO PARAGRAPH (a): See §§501.601 and 501.602 of this chapter for applicable record-keeping and reporting requirements. The exportation of equipment and other items to be used in journalistic activities may require separate licensing by the Department of Commerce.

(b) Specific licenses. (1) Specific licenses may be issued on a case-by-case basis authorizing the travel-related transactions set forth in §515.560(c) and other transactions that are directly incident to journalistic activities in Cuba by persons regularly employed as journalists by a news reporting organization or by persons regularly employed as supporting broadcast or technical personnel are authorized.

(2) To qualify for a specific license pursuant to this section, the itinerary for the proposed research in Cuba for a free-lance article upon submission of an adequate written application including the following documentation:

(i) A detailed itinerary and a detailed description of the proposed research; and

(ii) A resume or similar document showing a record of publications.

(3) Specific licenses may be issued pursuant to this section authorizing transactions for multiple trips to Cuba over an extended period of time by applicants demonstrating a significant record of free-lance journalism.

[64 FR 25815, May 13, 1999]
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(3) Professional meetings for commercial telecommunications transactions. The travel-related transactions set forth in § 515.560(c) and additional transactions directly incident to participation in professional meetings for the commercial marketing of, sales negotiation for, or performance under contracts for the provision of the telecommunications services, or the establishment of facilities to provide telecommunications services, authorized by paragraphs (b), (c), or (d)(1) of § 515.542 of this part by a telecommunications services provider that is a person subject to U.S. jurisdiction are authorized, provided that:

(i) The traveler is regularly employed by a telecommunications services provider that is a person subject to U.S. jurisdiction or by an entity duly appointed to represent such a provider; and

(ii) The traveler’s schedule of activities does not include free time, travel, or recreation in excess of that consistent with a full work schedule.

Note to paragraph (a): See §§501.601 and 501.602 of this chapter for applicable record-keeping and reporting requirements. Exportation of equipment and other items, including the transfer of technology or software to foreign persons ("deemed exportation") and items not eligible for Department of Commerce GFT or BAG License Exceptions, 15 CFR 740.12 and 740.14, may require separate authorization by the Department of Commerce.

(b) Specific licensing. Specific licenses may be issued on a case-by-case basis authorizing the travel-related transactions set forth in § 515.560(c) and other transactions that are directly incident to professional research and professional meetings that do not qualify for the general license in paragraph (a) of this section. Specific licenses may be issued pursuant to this section authorizing transactions for multiple trips to Cuba over an extended period of time by applicants demonstrating a significant record of research. Specific licenses will not be issued for travel-related transactions for purposes of attendance at meetings or conferences in Cuba organized by the Cuban government where such meetings or conferences could be intended primarily for the purpose of fostering the production of any biotechnological products.

(c) Categories of activities that do not qualify for the general license in paragraph (a) of this section and for which the specific licenses described in paragraph (b) of this section will not be issued include recreational travel; tourist travel; travel in pursuit of a hobby; research for personal satisfaction only; and any travel for an authorized professional research purpose if the schedule of activities includes free time, travel, or recreation in excess of that consistent with a full work schedule of professional research or attendance at professional meetings or conferences.

(d) Any entire group does not qualify for the general license in paragraph (a) of this section and will not be issued a specific license under paragraph (b) of this section merely because some members of the group could qualify individually for such licenses.

Example 1 to paragraph (d): A musicologist travels to Cuba to do research on Cuban music pursuant to the general license for professional researchers set forth in paragraph (a) of this section. Others who are simply interested in music but who do not re-

search music as part of their careers may not engage in travel-related transactions with the musicologist in reliance on this general license. For example, an art his-

torian who plays in the same band with the musicologist would not qualify as a profes-

sional researcher of Cuban music for pur-

poses of this general license.

Example 2 to paragraph (d): A specific li-

cense issued pursuant to paragraph (b) of this section authorizing travel-related trans-

actions by a fish biologist who travels to Cuba to engage in professional research does not authorize transactions by other persons who might travel with the fish biologist but whose principal purpose in travel is to en-

gage in recreational or trophy fishing. The fact that such persons may engage in certain activities with or under the direction of the professional fish biologist, such as measuring or recording facts about their catch, does not bring these individuals’ activities within the scope of professional research and similar ac-


divities.

(e) A person will not qualify as en-


gaging in professional research merely because that person is a professional who plans to travel to Cuba.

Example 1 to paragraph (e): A professor of

history interested in traveling to Cuba for
the principal purpose of learning or practicing Spanish or attending general purpose lectures devoted to Cuban culture and contemporary life does not qualify for the general license in paragraph (a) of this section or for a specific license issued pursuant to paragraph (b) of this section.

Example 2 to paragraph (e): A professional photographer who wishes to take photographs in Cuba that will become the basis for creating post cards, paintings, and other secondary products or that merely document the photographer’s travel does not qualify for the general license in paragraph (a) of this section or for a specific license issued pursuant to paragraph (b) of this section.

§ 515.565 Educational activities.

(a) Specific institutional licenses. Specific licenses for up to one year in duration may be issued to an accredited U.S. undergraduate or graduate degree-granting academic institution authorizing the institution, its students enrolled in an undergraduate or graduate degree program at the institution, and its full-time permanent employees to engage, under the auspices of the institution, in the travel-related transactions set forth in §515.560(c) and such additional transactions that are directly incident to:

(1) Participation in a structured educational program in Cuba as part of a course offered at the licensed institution, provided the program includes a full term, and in no instance includes fewer than 10 weeks, of study in Cuba. An individual planning to engage in such transactions must carry a letter from the licensed institution stating that the individual is a student currently enrolled in an undergraduate or graduate degree program at the U.S. institution, stating that the study in Cuba will be accepted for credit toward that degree and will be no shorter than 10 weeks in duration, and citing the number of the U.S. institution’s license;

(2) Noncommercial academic research in Cuba specifically related to Cuba and for the purpose of obtaining a graduate degree. A student planning to engage in such transactions must carry a letter from the licensed institution stating that the individual is a student currently enrolled in a graduate degree program at the institution, stating that the research in Cuba will be accepted for credit toward that degree, and citing the number of the institution’s license;

(3) Participation in a formal course of study at a Cuban academic institution, provided the formal course of study in Cuba will be accepted for credit toward the student’s undergraduate or graduate degree at the licensed U.S. institution and provided the course of study is no shorter than 10 weeks in duration. An individual planning to engage in such transactions must carry a letter from the licensed U.S. institution stating that the individual is a student currently enrolled in an undergraduate or graduate degree program at the U.S. institution, stating that the study in Cuba will be accepted for credit toward that degree and will be no shorter than 10 weeks in duration, and citing the number of the U.S. institution’s license;

(4) Teaching at a Cuban academic institution by an individual regularly employed in a teaching capacity at the licensed institution, provided the teaching activities are related to an academic program at the Cuban institution and provided that the duration of the teaching will be no shorter than 10 weeks. An individual planning to engage in such transactions must carry a written letter from the licensed U.S. institution stating that the individual is a full-time permanent employee regularly employed in a teaching capacity at the U.S. institution and citing the number of the U.S. institution’s license;

(5) Sponsorship, including the payment of a stipend or salary, of a Cuban scholar to teach or engage in other scholarly activity at the licensed institution (in addition to those transactions authorized by the general license contained in §515.571). Such earnings may be remitted to Cuba as provided in §515.570 or carried on the person of the Cuban scholar returning to Cuba as provided in §515.560(d)(3); or

(6) The organization of and preparation for activities described in paragraphs (a)(1) through (a)(5) of this section by a full-time permanent employee of the licensed institution. An
individual engaging in such transactions must carry a written letter from the licensed institution stating that the individual is a full-time permanent employee of that institution and citing the number of the institution’s license.

NOTE TO PARAGRAPH (a): See §§ 501.601 and 501.602 of this chapter for applicable record-keeping and reporting requirements. Exportation of equipment and other items, including the transfer of technology or software to foreign persons ("deemed exportation"), may require separate authorization from the Department of Commerce.

(b) Other specific licenses. Specific licenses may be issued to individuals on a case-by-case basis authorizing the travel-related transactions set forth in §515.560(c) and other transactions directly incident to the educational activities described in paragraphs (a)(2) and (a)(3) of this section but not engaged in pursuant to a specific license issued to an institution pursuant to paragraph (a) of this section.

(c) Transactions related to activities that are primarily tourist-oriented, including self-directed educational activities that are intended only for personal enrichment, are not authorized by this section.

§ 515.566 Religious activities in Cuba.

(a) Specific license for U.S. religious organizations—(1) Issuance; renewal. A specific license may be issued to a religious organization located in the United States authorizing the organization and individuals and groups affiliated with the organization to engage, under the auspices of the organization, in religious activities involving transactions (including travel-related transactions) in which Cuba or a Cuban national has an interest. The application for the specific license must set forth examples of religious activities to be undertaken in Cuba. The religious organization’s specific license may be renewed after a period of two years to authorize the organization and individuals and groups affiliated with the organization to continue to engage in the transactions authorized under the organization’s license.

(2) Scope of transactions authorized under U.S. religious organization’s specific license: documentation. Upon receipt by the religious organization located in the United States of a specific license pursuant to paragraph (a)(1) of this section, the organization and individuals or groups affiliated with the organization are authorized to engage in the travel-related transactions set forth in §515.560(c) and such additional transactions as are directly incident to religious activities in Cuba under the auspices of the organization. Travel-related transactions pursuant to this authorization must be for the purpose of engaging, while in Cuba, in a full-time program of religious activities. Financial and material donations to Cuba or Cuban nationals are not authorized by this paragraph (a)(2). All individuals who engage in transactions in which Cuba or Cuban nationals have an interest (including travel-related transactions) pursuant to this paragraph (a)(2) must carry with them a letter from the specifically-licensed U.S. religious organization, citing the number of the organization’s specific license and confirming that they are affiliated with the organization and are traveling to Cuba to engage in religious activities under the auspices of the organization.

NOTE TO PARAGRAPH (a): See §§ 501.601 and 501.602 of this chapter for applicable record-keeping and reporting requirements. Exportation of items to be used in Cuba may require separate licensing by the Department of Commerce.

(b) Specific licenses. Specific licenses may be issued on a case-by-case basis authorizing the travel-related transactions set forth in §515.560(c) and other transactions that are directly incident to religious activities not covered by a specific license issued pursuant to paragraph (a) of this section to a U.S. religious organization. Specific licenses may be issued pursuant to this section authorizing transactions for multiple trips over an extended period of time to engage in a full-time program of religious activities in Cuba.

[64 FR 25817, May 13, 1999]
§ 515.567 Public performances, athletic and other competitions, and exhibitions.

(a) Amateur and semi-professional international sports federation competitions. Specific licenses, including for multiple trips to Cuba over an extended period of time, may be issued on a case-by-case basis authorizing the travel-related transactions set forth in §515.560(c) and other transactions that are directly incident to athletic competition by amateur or semi-professional athletes or athletic teams wishing to travel to participate in athletic competition in Cuba, provided that:

(1) The athletic competition in Cuba is held under the auspices of the international sports federation for the relevant sport;

(2) The U.S. participants in the athletic competition are selected by the U.S. federation for the relevant sport; and

(3) The competition is open for attendance, and in relevant situations participation, by the Cuban public.

(b) Public performances, other athletic or other non-athletic competitions, and exhibitions. Specific licenses, including for multiple trips to Cuba over an extended period of time, may be issued on a case-by-case basis authorizing the travel-related transactions set forth in §515.560(c) and other transactions that are directly incident to participation in a public performance, athletic competition not covered by paragraph (a) of this section, non-athletic competition, or exhibition in Cuba by participants in such activities, provided that:

(1) The event is open for attendance, and in relevant situations participation, by the Cuban public; and

(2) All U.S. profits from the event after costs are donated to an independent nongovernmental organization in Cuba or a U.S.-based charity, with the objective, to the extent possible, of benefiting the Cuban people.

(c) Specific licenses will not be issued pursuant to this section authorizing any debit to a blocked account.

NOTE TO §515.567: See §515.571 for the authorization of certain transactions related to the activities of nationals of Cuba traveling in the United States.

[69 FR 33772, June 16, 2004]

§ 515.568 [Reserved]

§ 515.569 Foreign passengers’ baggage.

The importation of Cuban-origin goods, otherwise prohibited by this part, brought into the United States as baggage by any person arriving in the United States other than a citizen or resident of the United States is hereby authorized, notwithstanding the provisions of §515.803, provided that such goods are not in commercial quantities and are not imported for resale. This authorization does not apply to the importation of Cuban-origin alcohol or tobacco products.

[64 FR 25818, May 13, 1999]

§ 515.570 Remittances to Nationals of Cuba.

(a) Family remittances authorized. Persons subject to the jurisdiction of the United States who are 18 years of age or older are authorized to make remittances to nationals of Cuba who are close relatives, as defined in §515.339 of this part, of the remitter, provided that:

(1) The remittances are not made from a blocked source. Certain remittances from blocked accounts are authorized pursuant to paragraph (c) of this section;

(2) The recipient is not a prohibited official of the Government of Cuba, as defined in §515.337 of this part, or a prohibited member of the Cuban Communist Party, as defined in §515.338 of this part; and

(3) The remittances are not made for emigration-related purposes. Remittances for emigration-related purposes are addressed by paragraph (b) of this section.

(b) Two one-time $1,000 emigration-related remittances authorized. Persons subject to the jurisdiction of the United States are authorized to remit the following amounts:

(1) Up to $1,000 per payee on a one-time basis to Cuban nationals for the purpose of covering the payees’ preliminary expenses associated with emigrating from Cuba to the United States. These remittances may be sent before the payees have received valid visas issued by the State Department or other approved U.S. immigration documents, but may not be carried by
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§ 515.571 Certain transactions incident to travel to, from, and within the United States by Cuban nationals.

(a) Except as provided in paragraph (c) of this section, the following transactions by or on behalf of a Cuban national who enters the United States on a non-immigrant visa or other non-immigrant travel authorization issued by the State Department are authorized:

(1) All transactions ordinarily incident to travel between the United States and Cuba, including the importation into the United States of accompanied baggage for personal use;
(2) All transactions ordinarily incident to travel and maintenance within the United States, including the payment of living expenses and the acquisition of goods for personal consumption in the United States;

(3) All transactions on behalf of aircraft or vessels incident to non-scheduled flights or voyages between the United States and Cuba, provided that the carrier used has a carrier service provider license issued pursuant to §515.572. This paragraph does not authorize the carriage of any merchandise into the United States except accompanied baggage; and

(4) Normal banking transactions involving foreign currency drafts, travelers’ checks, or other instruments negotiated incident to travel in the United States by any person under the authority of this section.

(5) All transactions ordinarily incident to the activities for which a visa or other travel authorization was issued.

(i) This paragraph (a)(5) does not authorize receipt of compensation in excess of amounts covering living expenses and the acquisition of goods for personal consumption. See §515.565(a)(5) of this part for the case-by-case authorization of payments to certain Cuban scholars of stipends or salaries that exceed this limit.

(ii) Examples of transactions authorized by this paragraph (a)(5) include: the payment of tuition to a U.S. educational institution by a national of Cuba issued a student visa; the payment of compensation covering only living expenses and the purchase of goods for personal consumption to a national of Cuba issued a performance-related visa; and the rental of a stage by a Cuban group issued a performance visa.

(b) Payments and transfers of credit in the United States from blocked accounts in domestic banking institutions held in the name of a Cuban national who enters the United States on a visa or other travel authorization issued by the State Department to or upon the order of such Cuban national are authorized provided that:

(1) Such payments and transfers of credit are made only for the living, traveling, and similar personal expenses in the United States of such Cuban national or his or her family;

(2) The total of all such payments and transfers of credit made under this section from the accounts of such Cuban national do not exceed $250 in any one calendar month; and

(3) No payment or transfer is made from a blocked account in which a specially designated national has an interest.

(c) This section does not authorize any transfer of property to Cuba, or, except as otherwise authorized in paragraph (b) of this section, any debit to a blocked account.

NOTE TO §515.571: For the authorization of certain transactions by Cuba nationals who become U.S. citizens, apply for or receive U.S. permanent resident alien status, or are paroled into the United States, see §515.505 of this part.

(2) Authorization of carrier service provider. Persons subject to U.S. jurisdiction wishing to provide carrier services by aircraft or vessels incidental to their non-scheduled flights or voyages to, from, or within Cuba are "carrier service providers" for purposes of this part. Carrier service providers must obtain authorization from the Office of Foreign Assets Control before providing services with respect to non-scheduled flights or voyages to, from, or within Cuba. Carriage to or from Cuba of any merchandise, cargo or gifts, other than those permitted to individual travelers as accompanied baggage, must also be authorized by licenses issued by the U.S. Department of Commerce.

(3) Authorization of remittance forwarders. Persons subject to U.S. jurisdiction, including persons that provide payment forwarding services and non-commercial organizations acting on behalf of donors, that wish to provide services in connection with the collection or forwarding of remittances authorized pursuant to this part must obtain specific authorization from OFAC. Depository institutions, as defined in §515.333, are hereby authorized to provide these services without obtaining specific authorization from OFAC. However, all licensed remittance forwarders, including depository institutions, that forward remittances authorized pursuant to this part are required to collect from persons who use their services information showing compliance with the relevant remittance provisions of this part. Depository institutions are permitted to set up testing arrangements and exchange authenticator keys with Cuban financial institutions to forward remittances authorized by or pursuant to §515.570, but may not open or use direct correspondent accounts of their own with Cuban financial institutions.

NOTE TO PARAGRAPH (a)(3): A suggested form for the collection of information showing compliance with the remittance provisions in §515.570 is available from OFAC’s Web site (www.treas.gov/ofac).

(b) Terms and conditions of authorization to engage in service transactions. Authorization to engage in service transactions will be issued only upon the applicant’s written affirmation and subsequent demonstration that it does not participate in discriminatory practices of the Cuban government against certain residents and citizens of the United States. Examples of such practices include, but are not limited to, charging discriminatory rates for air travel or requiring payment for services, such as hotel accommodations and meals, not desired, planned to be utilized, or actually utilized, based on such characteristics as race, color, religion, sex, citizenship, place of birth, or national origin. Authorization, whether a grant of provisional authorization or a license issued pursuant to this part, does not permit a travel or carrier service provider to provide services in connection with any individual’s transactions incident to travel which are prohibited by this part.

(c) Initial applications for licenses. The initial application for a license shall contain:

(1) The applicant organization’s name, address, telephone number, and the name of an official of the applicant organization responsible for its licensed services;

(2) The state of applicant’s organization, if a juridical entity, the address of its principal place of business and all branch offices, the identity and ownership percentages of all shareholders or partners, and the identity and position of all principal officers and directors;

(3) Copies of any bylaws, articles of incorporation, partnership agreements, management agreements, or other documents pertaining to the organization, ownership, control, or management of the applicant; and

(4)(i) In the case of applications for authorization to serve as travel or carrier service providers, a report on the forms and other procedures used to establish that each customer is in full compliance with U.S. law implementing the Cuban embargo and either qualifies for one of the general licenses contained in this part authorizing travel-related transactions in connection with travel to Cuba or has received a specific license from the Office of Foreign Assets Control issued pursuant to this part. In the case of a customer traveling pursuant to a general license, the applicant must demonstrate that it requires each customer to attest, in a
signed statement, to his or her qualification for the particular general license claimed. The statement must provide facts supporting the customer’s belief that he or she qualifies for the general license claimed. In the case of a customer traveling under a specific license, the applicant must demonstrate that it requires the customer to furnish it with a copy of the license. The copy of the signed statement or the specific license must be maintained on file with the applicant.

(ii) In the case of applications for authorization as remittance forwarders, a report on the forms, account books, and other recordkeeping procedures used to determine whether each customer has violated the terms of any authorization for remittances contained in or issued pursuant to this part, or sent remittances to persons ineligible to receive them under §515.570; and the method by which remittances are sent to Cuba and the procedures used by the applicant to ensure that the remittances are received by the persons intended.

(d) Required reports and recordkeeping.

(1) Each specific license or grant of provisional authority shall require that the service provider furnish annual reports to the Department of the Treasury, Office of Foreign Assets Control, Washington, DC 20220, during the term of the license. The required content of such reports and their due dates shall be provided to the service provider in a letter authorizing the provider to commence services. Each such report will cover only the one-year period immediately preceding the date of the report.

(2) While the names and addresses of individual travelers or remitters, the number and amount of each remittance, and the name and address of each recipient, as applicable, need not be submitted with annual reports, this information must be retained on file with all other information required by §515.601 of this chapter. These records must be furnished to the Office of Foreign Assets Control on demand pursuant to §515.602 of this chapter.

(3) Presentation of passenger lists. Tour operators, persons operating an aircraft or vessel, or persons chartering an aircraft or vessel on behalf of others, for travel to, from, and within Cuba must furnish the U.S. Customs Service on demand a list of passengers on each flight or voyage to, from, and within Cuba.

(e) Procedures governing the grant of provisional authority, denial, suspension, or revocation of authority to engage in service transactions—(1) Grant of provisional authority. Following submission of a complete application as described in paragraph (c) of this section, the submission of any additional relevant information, and a preliminary evaluation by the Office of Foreign Assets Control, the applicant will be notified in writing that provisional authority has been granted to provide the services contemplated in the application. This provisional authority to provide services will remain in effect pending a final decision to grant or deny the license.

(2) Denial of license—(i) Notice of denial. If the Director, Office of Foreign Assets Control, determines that the application for a license to engage in service transactions related to travel to Cuba, carrier service transactions related to travel to Cuba, or transactions related to remittance forwarding should be denied for any reason, notice of denial shall be given to the applicant. The notice of denial shall state the reasons for the denial.

(ii) Grounds for denial. The causes sufficient to justify denial of an application for a license may include, but need not be limited to:

(A) Any cause which would justify suspension or revocation of the authority of a service provider pursuant to paragraph (e)(3) of this section;

(B) Failure to file a full and complete application;

(C) Any willful misstatement of pertinent facts in the application;

(D) Evidence indicating that the applicant participates in discriminatory practices of the Cuban Government against certain residents and citizens of the United States as described in paragraph (b) of this section; or

(E) A reputation imputing to the applicant criminal, dishonest, or unethical conduct, or a record of such conduct.

(3) Suspension or revocation of a license or provisional authorization. A license or
provisional authorization issued pursuant to this section may be suspended for a specific period of time, or revoked, for the following reasons:

(i) The service provider has willfully made or caused to be made in any application for any license, request for a ruling or opinion, or report be filed with the Office of Foreign Assets Control, any statement that, at the time and in light of the circumstances under which it was made, false or misleading with respect to any material fact, or has omitted to state in any application, request for ruling or opinion, or report any material fact that was required;

(ii) The service provider has failed to file timely reports or comply with the recordkeeping requirements of his license or provisional authorization.

(iii) The service provider has been convicted, at any time after filing an application for a license under this section, of any felony or misdemeanor that:

(A) Involved the importation, exportation, or transfer of property in violation of any law or regulation administered by the Office of Foreign Assets Control;

(B) Arose directly out of the conduct of the business covered by the license; or

(C) Involved larceny, extortion, forgery, counterfeiting, fraudulent concealment, embezzlement, fraudulent conversion, misappropriation of funds, or a violation of the Customs laws, export or import control laws, or banking laws.

(iv) The service provider has violated any provision of law enforced by the Office of Foreign Assets Control or the rules or regulations issued under any such provision;

(v) The service provider has counseled, commanded, induced, procured, or knowingly aided or abetted the violation by any other person of any provision of any law or regulation referred to above;

(vi) The service provider has, in the course of the business covered by the license, with felonious intent, in any manner willfully and knowingly deceived, defrauded, misled, threatened, or coerced any client or prospective client; or

(vii) The service provider has committed any other act or omission that demonstrates unfitness to conduct the business covered by the license.


§ 515.573 Transactions by news organizations.

(a) Specific licenses may be issued authorizing all transactions necessary for the establishment and operation of news bureaus in Cuba whose primary purpose is the gathering and dissemination of news to the general public. Transactions that may be authorized include, but are not limited to, those incident to the following:

(1) Leasing office space and securing related goods and services;

(2) Hiring Cuban nationals to serve as support staff;

(3) Purchasing Cuban-origin goods for use in the operation of the office; and

(4) Paying fees related to the operation of the office in Cuba.

(b) Specific licenses may be issued authorizing transactions necessary for the establishment and operation of news bureaus in the United States by Cuban organizations whose primary purpose is the gathering and dissemination of news to the general public.

(c) Specific licenses may be issued authorizing transactions related to hiring Cuban nationals to provide reporting services or other services related to the gathering and dissemination of news.

(d) NOTE: The number assigned to a specific license issued pursuant to this section should be referenced in all import documents, and in all funds transfers and other banking transactions through banks organized or located in the United States, in connection with the licensed transaction to avoid the blocking of goods imported from Cuba and the interruption of the financial transactions with Cuba.

§ 515.574 Support for the Cuban People.

(a) Specific licenses may be issued on a case-by-case basis authorizing the travel-related transactions set forth in §515.560(c) and other transactions that are intended to provide support for the Cuban people including, but not limited to, the following:

1. Activities of recognized human rights organizations.
2. Activities of independent organizations designed to promote a rapid, peaceful transition to democracy, and
3. Activities of individuals and non-governmental organizations that promote independent activity intended to strengthen civil society in Cuba.

(b) Licenses will be issued pursuant to this section once the applicant shows that the proposed transactions are consistent with the purposes of this section and provides an explanation that no significant accumulation of funds or financial benefit will accrue to the government of Cuba.

[68 FR 14148, Mar. 24, 2003]

§ 515.575 Humanitarian projects.

Specific licenses may be issued on a case-by-case basis authorizing the travel-related transactions set forth in §515.560(c) and such additional transactions as are directly incident to certain humanitarian projects in or related to Cuba not otherwise covered by this part that are designed to directly benefit the Cuban people. Such projects may include, but are not limited to: medical and health-related projects; construction projects intended to benefit legitimately independent civil society groups; environmental projects; projects involving formal or non-formal educational training, within Cuba or off-island, on topics including civil education, journalism, advocacy and organizing, adult literacy, and vocational skills; community-based grassroots projects; projects suitable to the development of small scale private enterprise; projects that are related to agricultural and rural development that promote independent activity; and projects to meet basic human needs.

Specific licenses may be issued authorizing transactions for multiple visits for the same project over an extended period of time by applicants demonstrating a significant record of overseas humanitarian projects.

[68 FR 14148, Mar. 24, 2003]

§ 515.576 Activities of private foundations or research or educational institutes.

Specific licenses may be issued on a case-by-case basis authorizing the travel-related transactions set forth in §515.560(c) and such additional transactions as are directly incident to activities by private foundations or research or educational institutes that have an established interest in international relations to collect information related to Cuba for noncommercial purposes, not otherwise covered by the general license for professional research contained in §515.564 or more properly issued under §515.575, relating to humanitarian projects. Specific licenses may be issued pursuant to this section authorizing transactions for multiple trips to Cuba for the same project over an extended period of time.

[64 FR 25820, May 13, 1999]

§ 515.577 Authorized transactions necessary and ordinarily incident to publishing.

(a) To the extent that such activities are not exempt from this part, and subject to the restrictions set forth in paragraphs (b) through (d) of this section, persons subject to the jurisdiction of the United States are authorized to engage in all transactions necessary and ordinarily incident to the publishing and marketing of manuscripts, books, journals, and newspapers in paper or electronic format (collectively, "written publications").

This section does not apply if the parties to the transactions described in this paragraph include the Government of Cuba. For the purposes of this section, the term "Government of Cuba" includes the state and the Government of Cuba, as well as any political subdivision, agency, or instrumentality thereof, including the Central Bank of Cuba; any person occupying the positions identified in §515.570(a)(3); employees of the Ministry of Justice; and any person acting or purporting to act directly or indirectly on behalf of any
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of the foregoing with respect to the transactions described in this paragraph. For the purposes of this section, the term “Government of Cuba” does not include any academic and research institutions and their personnel. Pursuant to this section, the following activities are authorized, provided that persons subject to the jurisdiction of the United States ensure that they are not engaging, without separate authorization, in the activities identified in paragraphs (b) through (d) of this section:

(1) Commissioning and making advance payments for identifiable written publications not yet in existence, to the extent consistent with industry practice;

(2) Collaborating on the creation and enhancement of written publications;

(3)(i) Augmenting written publications through the addition of items such as photographs, artwork, translation, explanatory text, and, for a written publication in electronic format, the addition of embedded software necessary for reading, browsing, navigating, or searching the written publication;

(ii) Exporting embedded software necessary for reading, browsing, navigating, or searching a written publication, provided that, to the extent a license is required under the Export Administration Regulations, 15 CFR parts 730 through 774 (the “EAR”), the exportation is licensed or otherwise authorized by the Department of Commerce under the provisions of the EAR;

(4) Substantive editing of written publications;

(5) Payment of royalties for written publications;

(6) Creating or undertaking a marketing campaign to promote a written publication; and

(7) Other transactions necessary and ordinarily incident to the publishing and marketing of written publications as described in this paragraph (a).

(b) This section does not authorize transactions involving the provision of goods or services not necessary and ordinarily incident to the publishing and marketing of written publications as described in this paragraph (a) of this section. For example, this section does not authorize persons subject to the jurisdiction of the United States:

(1) To provide or receive individualized or customized services (including, but not limited to, accounting, legal, design, or consulting services), other than those necessary and ordinarily incident to the publishing and marketing of written publications, even though such individualized or customized services are delivered through the use of information and informational materials;

(2) To create or undertake for any person a marketing campaign with respect to any service or product other than a written publication, or to create or undertake a marketing campaign of any kind for the benefit of the Government of Cuba;

(3) To engage in the exportation or importation of goods to or from Cuba other than the exportation of embedded software described in paragraph (a)(3)(ii) of this section;

(4) To operate a publishing house, sales outlet, or other office in Cuba; or

(5) To engage in transactions related to travel to, from, or within Cuba.

Note to paragraph (b): The importation from Cuba and the exportation to Cuba of information or informational materials, as defined in §515.332, whether commercial or otherwise, regardless of format or medium of transmission, are exempt from the prohibitions and regulations of this part. See §515.206(a).

(c) This section does not authorize persons subject to the jurisdiction of the United States to engage the services of publishing houses or translators in Cuba unless such activity is primarily for the dissemination of written publications in Cuba.

(d) This section does not authorize:

(1) Transactions for the development, production, or design of software;

(2) Transactions for the development, production, design, or marketing of technology specifically controlled by the International Traffic in Arms Regulations, 22 CFR parts 120 through 130 (the “ITAR”), the EAR, or the Department of Energy Regulations set forth at 10 CFR part 810.

(3) The exportation of information or technology subject to the authorization requirements of 10 CFR part 810, or Restricted Data as defined in section
11 y. of the Atomic Energy Act of 1954, as amended, or of other information, data, or technology the release of which is controlled under the Atomic Energy Act and regulations therein;

(4) The exportation of any item (including information) subject to the EAR where a U.S. person knows or has reason to know that the item will be used, directly or indirectly, with respect to certain nuclear, missile, chemical, or biological weapons or nuclear-maritime end-uses as set forth in part 744 of the EAR. In addition, U.S. persons are precluded from exporting any item subject to the EAR to certain restricted end-users, as set forth in part 744 of the EAR, as well as certain persons whose export privileges have been denied pursuant to parts 764 or 766 of the EAR, without authorization from the Department of Commerce; or

(5) The exportation of information subject to licensing requirements under the ITAR, or exchanges of information that are subject to regulation by other government agencies.

(e) Pursuant to §515.564, specific licenses may be issued on a case-by-case basis authorizing the travel-related transactions set forth in §515.560(c) and such additional transactions that are directly incident to attendance of professional meetings that are necessary and ordinarily incident to the publishing and marketing of written publications.

[72 FR 50048, Aug. 30, 2007]

§ 515.578 Exportation of certain services incident to Internet-based communications.

(a) Except as provided in paragraph (b) of this section, the exportation from the United States or by persons subject to U.S. jurisdiction to persons in Cuba of services incident to the exchange of personal communications over the Internet, such as instant messaging, chat and email, social networking, sharing of photos and movies, web browsing, and blogging, is authorized, provided that such services are publicly available at no cost to the user.

(b) This section does not authorize:

(1) The direct or indirect exportation of services with knowledge or reason to know that such services are intended for a prohibited official of the Government of Cuba, as defined in §515.337 of this part, or a prohibited member of the Cuban Communist Party, as defined in §515.338 of the part.

(2) The direct or indirect exportation of Internet connectivity services or telecommunications transmission facilities (such as satellite links or dedicated lines).

Note to §515.578(b)(2): For general licenses related to the provision of telecommunications services between the United States and Cuba and contracts for telecommunications services provided to particular individuals in Cuba, see §§515.542(b) and 515.542(c), respectively, of this part. For a general license and a statement of specific licensing policy related to the establishment of telecommunications facilities linking the United States or third countries and Cuba, see §515.542(d) of this part.

(3) The direct or indirect exportation of web-hosting services that are for purposes other than personal communications (e.g., web-hosting services for commercial endeavors) or of domain name registration services.

(4) The direct or indirect exportation of any items to Cuba.

Note to §515.578(b)(4): For the rules related to transactions ordinarily incident to the exportation or reexportation of items, including software, to Cuba, see §§515.533 and 515.559 of this part.

(c) Specific licenses may be issued on a case-by-case basis for the exportation of other services incident to the sharing of information over the Internet.

Subpart F—Reports

§ 515.601 Records and reports.

For provisions relating to records and reports, see subpart C of part 501 of this chapter.


Subpart G—Penalties

Source: 63 FR 10331, Mar. 3, 1998, unless otherwise noted.

§ 515.701 Penalties.

For provisions relating to penalties, see part 501, subpart D, of this part.

[68 FR 53657, Sept. 11, 2003]
Office of Foreign Assets Control, Treasury

Subpart H—Procedures

§ 515.801 Procedures.

For license application procedures and procedures relating to amendments, modifications, or revocations of licenses; administrative decisions; rulemaking; and requests for documents pursuant to the Freedom of Information and Privacy Acts (5 U.S.C. 552 and 552a), see part 501, subpart E, of this chapter.


§ 515.802 Delegation by the Secretary of the Treasury.

Any action under §515.201 which the Secretary of the Treasury is authorized to take pursuant to Proclamation 3447 or the Trading With the Enemy Act may be taken by the Director, Office of Foreign Assets Control, or by any other person to whom the Secretary of the Treasury has delegated authority so to act.


§ 515.803 Customs procedures; merchandise specified in §515.204.

(a) With respect to merchandise specified in §515.204 (including nickel-bearing materials presumptively subject thereto) whether or not such merchandise has been imported into the United States, collectors of customs shall not accept or allow any:

(1) Entry for consumption (including any appraisement entry, any entry of goods imported in the mails, regardless of value, and any other informal entries);

(2) Entry for immediate exportation;

(3) Entry for transportation and exportation;

(4) Withdrawal from warehouse;

(5) Transfer or withdrawal from a foreign-trade zone; or

(6) Manipulation or manufacture in a warehouse or in a foreign-trade zone, unless either:

(i) The merchandise was imported prior to 12:01 a.m., February 7, 1962, or

(ii) A specific license pursuant to this part is presented, or

(iii) Instructions from the Office of Foreign Assets Control, authorizing the transaction are received, or

(iv) The original of an appropriate certificate of origin as defined in §515.536(d) is presented.

(b) Whenever a specific license is presented to a collector of customs in accordance with this section, one additional legible copy of the entry, withdrawal or other appropriate document with respect to the merchandise involved shall be filed with the collector of customs at the port where the transaction is to take place. Each copy of any such entry, withdrawal or other appropriate document, including the additional copy, shall bear plainly on its face the number of the license pursuant to which it is filed. The original copy of the specific license shall be presented to the collector in respect of each such transaction and shall bear a notation in ink by the licensee or person presenting the license showing the description, quantity and value of the merchandise to be entered, withdrawn or otherwise dealt with. This notation should be so placed and so written that there will exist no possibility of confusing it with anything placed on the license at the time of its issuance. If the license in fact authorizes the entry, withdrawal or other transaction with regard to the merchandise the collector, or other authorized customs employee, shall verify the notation by signing or initialing it after first assuring himself that it accurately describes the merchandise it purports to represent. The license shall thereafter be returned to the person presenting it and the additional copy of the entry, withdrawal or other appropriate document shall be forwarded by the collector to the Foreign Assets Control.

(c)(1) Whenever the original of an appropriate certificate or origin as defined in §515.536(d) is presented to a collector of customs in accordance with this section, an additional legible copy of the entry, withdrawal or other appropriate document with respect to the merchandise involved shall be filed with the collector of customs at the port where the transaction is to take place. Each copy of the entry, withdrawal, or other appropriate document, including the additional copy, shall
bear plainly on its face the following statement: “This document is presented under the provisions of §515.536 (c) of the Cuban Assets Control Regulations.” The original of the certificate of origin shall not be returned to the person presenting it. It shall be securely attached to the additional copy required by this subparagraph and shall be forwarded by the collector to the Office of Foreign Assets Control, Treasury Department, Washington, DC 20220. Collectors may forward such documents weekly or more often if the volume warrants.

(2) If the original of an appropriate certificate of origin is properly presented to a collector of customs with respect to a transaction which is the first of a series of transactions which may be allowed in connection therewith under paragraph (a)(6)(iv) of this section (as, for example, where merchandise has been entered in a bonded warehouse and an appropriate certificate of origin is presented which relates to all of the merchandise entered therein but the importer desires to withdraw only part of the merchandise in the first transaction), the collector shall so note on the original of the appropriate certificate of origin and return it to the importer. In addition, the collector shall endorse his pertinent records so as to record what merchandise is covered by the appropriate certificate of origin presented. The collector may thereafter allow subsequent authorized transactions on presentation of the certificate of origin. The collector shall, with respect to each such transaction, demand an additional copy of each withdrawal or other appropriate document, which copy shall be promptly forwarded by the collector to the Office of Foreign Assets Control, Treasury Department, Washington, DC 20220, with an endorsement thereon reading:

This document has been accepted pursuant to §515.808(c) (2) of the Cuban Assets Control Regulations. Appropriate certificate of origin No. _________ from (country).

When the final transaction has been effected under the certificate of origin, the original shall be taken up and attached to the entry and forwarded as in this paragraph.

(d) Whenever a person shall present an entry, withdrawal or other appropriate document affected by this section and shall assert that no specific Foreign Assets Control license or appropriate certificate of origin as defined in §515.536 (d) is required in connection therewith, the collector of customs shall withhold action thereon and shall advise such person to communicate directly with the Office of Foreign Assets Control to request that instructions be issued to the collector to authorize him to take action with regard thereto.


Subpart I—Miscellaneous Provisions

§515.901 Paperwork Reduction Act notice.

Collection of information on TDF 90–22.39, “Declaration, Travel to Cuba,” has been approved by the Office of Management and Budget (“OMB”) under the Paperwork Reduction Act (44 U.S.C. 3507(j)) and assigned control number 1505–0118. For approval by OMB under the Paperwork Reduction Act of information collections relating to recordkeeping and reporting requirements, to licensing procedures (including those pursuant to statements of licensing policy), and to other procedures, see §501.901 of this chapter. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid control number assigned by OMB.


PART 535—IRANIAN ASSETS CONTROL REGULATIONS

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Sec. 535.101 Relation of this part to other laws and regulations.
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535.203 Effect of transfers violating the provisions of this part.
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Subpart C—General Definitions

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§ 535.101 Relation of this part to other laws and regulations.

(a) This part is separate from, and independent of, the other parts of this chapter with the exception of part 501 of this chapter, the recordkeeping and reporting requirements and license application and other procedures of which apply to this part. No license or authorization contained in or issued pursuant to such parts shall be deemed to authorize any transaction prohibited by this part, nor shall any license or authorization issued pursuant to any other provision of law (except this part) be deemed to authorize any transaction so prohibited.

(b) No license or authorization contained in or issued pursuant to this part shall be deemed to authorize any transaction to the extent that it is prohibited by reason of the provisions of any law or any statute other than the International Emergency Economic Powers Act, as amended, or any proclamation order or regulation other than those contained in or issued pursuant to this part.


Subpart B—Prohibitions

§ 535.201 Transactions involving property in which Iran or Iranian entities have an interest.

No property subject to the jurisdiction of the United States or which is in the possession of or control of persons subject to the jurisdiction of the United States in which on or after the effective date Iran has any interest of any nature whatsoever may be transferred, paid, exported, withdrawn or otherwise dealt in except as authorized.

[45 FR 24432, Apr. 9, 1980]

§ 535.202 Transactions with respect to securities registered or inscribed in the name of Iran.

Unless authorized by a license expressly referring to this section, the acquisition, transfer (including the transfer on the books of any issuer or agent thereof), disposition, transportation, importation, exportation, or withdrawal of, or the endorsement or guaranty of signatures on or otherwise dealing in any security (or evidence thereof) registered or inscribed in the name of any Iranian entity is prohibited irrespective of the fact that at any time (either prior to, on, or subsequent to the effective date) the registered or inscribed owner thereof may have, or appears to have, assigned, transferred or otherwise disposed of any such security.
§ 535.203 Effect of transfers violating the provisions of this part.

(a) Any transfer after the effective date which is in violation of any provision of this part or of any regulation, ruling, instruction, license, or other direction or authorization thereunder and involves any property in which Iran has or has had an interest since such effective date is null and void and shall not be the basis for the assertion or recognition of any interest in or right, remedy, power or privilege with respect to such property.

(b) No transfer before the effective date shall be the basis for the assertion or recognition of any right, remedy, power, or privilege with respect to, or interest in, any property in which Iran has or has had an interest since the effective date unless the person with whom such property is held or maintained had written notice of the transfer or by any written evidence had recognized such transfer prior to such effective date.

(c) Unless otherwise provided, an appropriate license or other authorization issued by or pursuant to the direction or authorization of the Secretary of the Treasury before, during or after a transfer shall validate such transfer or render it enforceable to the same extent as it would be valid or enforceable but for the provisions of the International Emergency Economic Powers Act and this part and any ruling, order, regulation, direction or instruction issued hereunder.

(d) Transfers of property which otherwise would be null and void, or unenforceable by virtue of the provisions of this section shall not be deemed to be null and void, or unenforceable pursuant to such provisions, as to any person with whom such property was held or maintained (and as to such person only) in cases in which such person is able to establish each of the following:

(1) Such transfer did not represent a willful violation of the provisions of this part by the person with whom such property was held or maintained;

(2) The person with whom such property was held or maintained did not have reasonable cause to know or suspect, in view of all the facts and circumstances known or available to such person, that such transfer required a license or authorization by or pursuant to the provision of this part and was not so licensed or authorized or if a license or authorization did purport to cover the transfer, that such license or authorization had been obtained by misrepresentation or the withholding of material facts or was otherwise fraudulently obtained; and

(3) Promptly upon discovery that:

(i) Such transfer was in violation of the provisions of this part or any regulation, ruling, instruction, license or other direction or authorization thereunder, or

(ii) Such transfer was not licensed or authorized by the Secretary of the Treasury, or

(iii) If a license did purport to cover the transfer, such license had been obtained by misrepresentation or the withholding of material facts or was otherwise fraudulently obtained; the person with whom such property was held or maintained filed with the Treasury Department, Washington, D.C., a report in triplicate setting forth in full the circumstances relating to such transfer. The filing of a report in accordance with the provisions of this paragraph shall not be deemed to be compliance or evidence of compliance with paragraphs (d) (1) and (2) of this section.

(e) Unless licensed or authorized pursuant to this part any attachment, judgment, decree, lien, execution, garnishment, or other judicial process is null and void with respect to any property in which on or since the effective date there existed an interest of Iran.

(f) For the purpose of this section the term "property" includes gold, silver, bullion, currency, coin, credit, securities (as that term is defined in section 2(l) of the Securities Act of 1933, as amended), bills of exchange, notes, drafts, acceptances, checks, letters of credit, book credits, debts, claims, contracts, negotiable documents of title, mortgages, liens, annuities, insurance policies, options and futures in commodities, and evidences of any of the foregoing. The term "property" shall not, except to the extent indicated, be deemed to include chattels or real property.

[44 FR 65956, Nov. 15, 1979, as amended at 45 FR 24432, Apr. 9, 1980]
§ 535.208  Evasions; effective date.

(a) Any transaction for the purpose of, or which has the effect of, evading or avoiding any of the prohibitions set forth in this subpart is hereby prohibited.

(b) The term effective date means, with respect to transactions prohibited in §535.201, 8:10 a.m. eastern standard time, November 14, 1979, and with respect to the transactions prohibited in §§535.206 and 535.207, 4:19 p.m. eastern standard time, April 7, 1980.

(c) With respect to any amendments of the foregoing sections or any other amendments to this part the term “effective date” shall mean the date of filing with the FEDERAL REGISTER.

[45 FR 24433, Apr. 9, 1980, as amended at 45 FR 26940, Apr. 21, 1980]

§ 535.210  Direction for establishing an escrow agreement.

(a) The Federal Reserve Bank of New York, as fiscal agent of the United States, is licensed, authorized, directed and compelled to enter into escrow and related agreements under which certain money and other assets shall be credited to escrow accounts by the Bank of England or the N.V. Settlement Bank of the Netherlands.

(b) The Federal Reserve Bank of New York is licensed, authorized, directed and compelled, as fiscal agent of the United States, to receive certain money and other assets in which Iran or its agencies, instrumentalities or controlled entities have an interest and to hold or transfer such money and other assets, and any earnings or interest payable thereon, in such manner and at such times as the Secretary of the Treasury deems necessary to fulfill the rights and obligations of the United States under the Declaration of the government of the Democratic and Popular Republic of Algeria dated January 19, 1981, and the Undertakings of the Government of the United States of America and the Government of Islamic Republic of Iran with respect to the Declaration of the Government of the Democratic and Popular Republic of Algeria, and the escrow and related agreements described in paragraph (a) of this section. Such money and other assets may be invested, or not, at the discretion of the Federal Reserve Bank of New York, as fiscal agent of the United States.


§ 535.211  Direction involving transfers by the Federal Reserve Bank concerning certain Iranian property.

The Federal Reserve Bank of New York is licensed, authorized, directed and compelled to transfer to its account at the Bank of England, and subsequently to transfer to accounts in the name of the Central Bank of Algeria as Escrow Agent at the Bank of England that are established pursuant to an escrow and related agreements approved by the Secretary of the Treasury, all gold bullion, together with all other assets in its custody (or the cash equivalent thereof), of Iran or its agencies, instrumentalities or controlled entities. Such transfers, and whatever further related transactions are deemed appropriate by the Secretary of the Treasury, shall be executed when and in the manner directed by the Secretary of the Treasury.


§ 535.212  Direction to transfer property in which Iran or an Iranian entity has an interest by branches and offices of United States banks located outside the United States.

(a) Any branch or office of a United States bank or subsidiary thereof, which branch, office or subsidiary is located outside the territory of the United States, and which, on or after 8:10 a.m., e.s.t., on November 14, 1979:

(1) Has been or is in possession of funds or securities legally or beneficially owned by the Government of
Iran or its agencies, instrumentalities, or controlled entities, or

(2) Has carried or is carrying on its books deposits standing to the credit of or beneficially owned by such government, its agencies, instrumentalities or controlled entities, is licensed, authorized, directed and compelled to transfer such funds, securities and deposits, held on January 19, 1981, including interest from November 14, 1979, at commercially reasonable rates, to the account of the Federal Reserve Bank of New York, as fiscal agent of the U.S., at the Bank of England, to be held or transferred as directed by the Secretary of the Treasury. The funds, securities and deposits described in this section shall be further transferred as provided for in the Declarations of the Government of the Democratic and Popular Republic of Algeria and the Undertakings of the Government of the United States of America and the Government of the Islamic Republic of Iran with respect to the Declaration.

(b) Any banking institution subject to the jurisdiction of the United States that has executed a set-off on or after 8:10 a.m., e.s.t., November 14, 1979, against Iranian funds, securities or deposits referred to in paragraph (a) of this section is hereby licensed, authorized, directed and compelled to cancel such set-off and to transfer all funds, securities and deposits which have been subject to such set-off, including interest from November 14, 1979, at commercially reasonable rates, pursuant to the provisions of paragraph (a) of this section.

Transfer of funds, securities or deposits under paragraph (a) of this section shall be in accordance with the provisions of §535.221 of this part, and such funds, securities or deposits, plus interest at commercially reasonable rates from November 14, 1979, to the transfer date, shall be received by the Federal Reserve Bank of New York by 11 a.m., E.D.T., July 10, 1981. For periods for which rates are to be determined in the future, whether by agreement between Iran and the bank or otherwise (see §535.440), interest for such periods shall be transferred to the Federal Reserve Bank of New York promptly upon such determination. Such interest shall include interest at commercially reasonable rates from July 19, 1981, on the interest which would have accrued by July 19, 1981.

(c) Any funds, securities or deposits subject to a valid attachment, injunction or other like proceeding or process not affected by §535.218 need not be transferred as otherwise required by this section.

(d) The transfers of securities required by this section shall be made notwithstanding §535.202.

§535.213 Direction involving property held by offices of banks in the United States in which Iran or an Iranian entity has an interest.

(a) Any branch or office of a bank, which branch or office is located within the United States and is, on the effective date of this section, either:

(1) In possession of funds or securities legally or beneficially owned by the Government of Iran or its agencies, instrumentalities or controlled entities, or

(2) Carrying on its books deposits standing to the credit of or beneficially owned by such government or its agencies, instrumentalities or controlled entities, is licensed, authorized, directed and compelled to transfer such funds, securities and deposits, held on January 19, 1981, including interest from November 14, 1979, at commercially reasonable rates, to the Federal Reserve Bank of New York, as fiscal agent of the U.S., to be held or transferred as directed by the Secretary of the Treasury.

(b) Any banking institution subject to the jurisdiction of the United States that has executed a set-off on or after 8:10 a.m., e.s.t., November 14, 1979, against Iranian funds, securities or deposits referred to in paragraph (a) of this section is hereby licensed, authorized, directed and compelled to cancel such set-off and to transfer all funds, securities and deposits which have been subject to such set-off, including interest from November 14, 1979, at commercially reasonable rates, pursuant to the provisions of paragraph (a) of this section.


§ 535.214 Direction involving other financial assets in which Iran or an Iranian entity has an interest held by any person subject to the jurisdiction of the United States.

(a) Any person subject to the jurisdiction of the United States which is not a banking institution and is on January 19, 1981, in possession or control of funds or securities of Iran or its agencies, instrumentalities or controlled entities is licensed, authorized, directed and compelled to transfer such funds or securities to the Federal Reserve Bank of New York, as fiscal agent of the U.S. to be held or transferred as directed by the Secretary of the Treasury. However, such funds and securities need not be transferred until any disputes (not relating to any attachment, injunction or similar order) as to the entitlement of Iran and its entities to them are resolved.

(b) Transfers of funds and securities under paragraph (a) of this section shall be in accordance with the provisions of §535.221 of this part, and such funds and securities shall be received by the Federal Reserve Bank of New York by 11 a.m., E.D.T., July 10, 1981.

(c) Any funds, securities or deposits subject to a valid attachment, injunction or other like proceeding or process not affected by §535.218 need not be transferred as otherwise required by this section.

(d) The transfers of securities required by this section shall be made notwithstanding §535.202.

§ 535.215 Direction involving other properties in which Iran or an Iranian entity has an interest held by any person subject to the jurisdiction of the United States.

(a) Except as provided in paragraphs (b) and (c) of this section, all persons subject to the jurisdiction of the United States in possession or control of properties, as defined in §535.333 of this part, not including funds and securities owned by Iran or its agencies, instrumentalities or controlled entities, are licensed, authorized, directed and compelled to transfer such properties held on January 18, 1981 as directed after that day by the Government of Iran, acting through its authorized agent. Such directions shall include arrangements for payment of the costs of transporting the properties, unless the possessors of the properties were required to pay such costs by contract or applicable law on January 19, 1981. Except where specifically stated, this license, authorization and direction does not relieve persons subject to the jurisdiction of the United States from existing legal requirements other than those based upon the International Emergency Economic Powers Act.

(b) Any properties subject to a valid attachment, injunction or other like proceeding or process not affected by §535.218 need not be transferred as otherwise required by this section.

(c) Notwithstanding paragraph (a) of this section, persons subject to the jurisdiction of the United States, including agencies, instrumentalities and entities controlled by the Government of Iran, who have possession, custody or control of blocked tangible property covered by §535.201, shall not transfer such property without a specific Treasury license, if the export of such property requires a specific license or authorization pursuant to the provisions of any of the following acts, as amended, or regulations in force with respect to them: the Export Administration Act, 50 U.S.C. App. 2403, et seq., the Aims Export Control Act, 22 U.S.C. 2751, et seq., the Atomic Energy Act, 42 U.S.C. 2011, et seq., or any other act prohibiting the export of such property, except as licensed.

§ 535.216 Aliens and corporations subject to the jurisdiction of the United States.

(a) Any person subject to the jurisdiction of the United States shall be deemed an alien for purposes of this part.

(b) Any corporation subject to the jurisdiction of the United States shall be deemed a corporation for purposes of this part.
§ 535.216 Prohibition against prosecution of certain claims.

(a) Persons subject to the jurisdiction of the United States are prohibited from prosecuting in any court within the United States or elsewhere, whether or not litigation was commenced before or after January 19, 1981, any claim against the Government of Iran arising out of events occurring before January 19, 1981 relating to:

(1) The seizure of the hostages on November 4, 1979;
(2) The subsequent detention of such hostages;
(3) Injury to United States property or property of United States nationals within the United States Embassy compound in Tehran after November 3, 1979; or
(4) Injury to United States nationals or their property as a result of popular movements in the course of the Islamic Revolution in Iran which were not an act of the Government of Iran.

(b) Any persons who are not United States nationals are prohibited from prosecuting any claim described in paragraph (a) of this section in any court within the United States.

(c) No further action, measure or process shall be taken after the effective date of this section in any judicial proceeding instituted before the effective date of this section which is based upon any claim described in paragraph (a) of this section, and all such proceedings shall be terminated.

(d) No judicial order issued in the course of the proceedings described in paragraph (c) of this section shall be enforced in any way.

§ 535.217 Blocking of property of the former Shah of Iran and of certain other Iranian nationals.

(a) For the purpose of protecting the rights of litigants in courts within the United States, all property and assets located in the United States in the control of the estate of Mohammad Reza Pahlavi, the former Shah of Iran, or any close relative of the former Shah served as a defendant in litigation in such courts brought by Iran seeking the return of property alleged to belong to Iran, is blocked as to each such estate or person, until all such litigation against such estate or person is finally terminated. This provision shall apply only to such estate or persons as to which Iran has furnished proof of service to the Office of Foreign Assets Control and which the Office has identified in paragraph (b) of this section.

(b) [No persons presently listed].

(c) The effective date of this section is January 19, 1981, except as otherwise specified after the name of a person identified in paragraph (b) of this section.

§ 535.218 Prohibitions and nullifications with respect to property described in §§ 535.211, 535.212, 535.213, 535.214 and 535.215 and standby letters of credit.

(a) All licenses and authorizations for acquiring or exercising any right, power or privilege, by court order, attachment, or otherwise, including the license contained in § 535.504, with respect to the property described in §§ 535.211, 535.212, 535.213, 535.214 and 535.215 and which derive from any attachment, injunction, other like proceedings or process, or other action in any litigation after November 14, 1979, at 8:10 a.m., e.s.t., including those derived from § 535.504, other than rights, powers and privileges of the Government of Iran and its agencies, instrumentalities and controlled entities, whether acquired by court order or otherwise, are nullified, and all persons claiming any such right, power or privilege are hereafter barred from exercising the same.

(b) All rights, powers and privileges relating to the property described in §§ 535.211, 535.212, 535.213, 535.214 and 535.215 are revoked and withdrawn.
§ 535.219 Discharge of obligation by compliance with this part.

Compliance with §§ 535.210, 535.211, 535.212, 535.213, 535.214 and 535.215, or any other orders, regulations, instructions or directions issued pursuant to this part, licensing, authorizing, directing or compelling the transfer of the assets described in those sections, shall, to the extent thereof, be a full acquittance and discharge for all purposes of the obligation of the person making the same. No person shall be held liable in any court for or with respect to anything done or omitted in good faith in connection with the administration of, or pursuant to and in reliance on, such orders, regulations, instructions or directions.

§ 535.220 Timing of transfers required by § 535.212.

Transfers required by § 535.212 to the account of the Federal Reserve Bank of New York, as fiscal agent of the U.S., at the Bank of England shall be executed no later than 6 a.m., e.s.t., January 20, 1981, when the banking institution had knowledge of the terms of Executive Order 12278 of January 19, 1981.

§ 535.221 Compliance with directive provisions.

(a) Transfers of deposits or funds required by §§ 535.213 and 535.214 of this part shall be effected by means of wire transfer to the Federal Reserve Bank of New York for credit to the following accounts: with respect to transfers required by § 535.213, to the Federal Reserve Bank of New York, as fiscal agent of the United States, Special Deposit Account A, and with respect to transfers required by § 535.214, to the Federal Reserve Bank of New York, as fiscal agent of the United States, Special Deposit Account B.

(b) Securities to be transferred as required by §§ 535.213 and 535.214 of this
part that are not presently registered in the name of Iran or an Iranian entity shall be delivered to the Federal Reserve Bank of New York in fully transferable form (bearer or endorsed in blank), accompanied by all necessary transfer documentation, e.g., stock or bond powers or powers of attorney. All securities transferred, including those presently registered in the name of Iran or an Iranian entity, shall be accompanied by instructions to deposit such securities to the following accounts: with respect to transfers required by §535.213, to the Federal Reserve Bank of New York, as fiscal agent of the United States, Special Custody Account A, and with respect to transfers required by §535.214, to the Federal Reserve Bank of New York, as fiscal agent of the United States, Special Custody Account B.

(1) Securities which are in book-entry form shall be transferred by wire transfer to the Federal Reserve Bank of New York to the appropriate account named in this paragraph.

(2) Definitive securities which are in bearer or registered form shall be hand delivered or forwarded by registered mail, insured, to the Federal Reserve Bank of New York, Safekeeping Department, to the appropriate account named in this paragraph.

(c) If a security in which Iran or an Iranian entity has an interest is evidenced by a depositary receipt or other evidence of a security, the legal owner of such security shall arrange to have the security placed in fully transferable form (bearer or endorsed in blank) as provided in paragraph (b) of this section, and transferred pursuant to paragraph (b)(2) of this section.

(d) Any person delivering a security or securities to the Federal Reserve Bank of New York under paragraph (b) of this section, shall provide the Bank at least 2 business days prior written notice of such delivery, specifically identifying the sending person, the face or par amount and type of security, and whether the security is in bearer, registered or book-entry form.


[46 FR 30341, June 8, 1981]

§ 535.222 Suspension of claims eligible for Claims Tribunal.

(a) All claims which may be presented to the Iran-United States Claims Tribunal under the terms of Article II of the Declaration of the Government of the Democratic and Popular Republic of Algeria Concerning the Settlement of Claims by the Government of the United States of America and the Government of the Islamic Republic of Iran, dated January 19, 1981, and all claims for equitable or other judicial relief in connection with such claims, are hereby suspended, except as they may be presented to the Tribunal. During the period of this suspension, all such claims shall have no legal effect in any action now pending in any court in the United States, including the courts of any state and any locality thereof, the District of Columbia and Puerto Rico, or in any action commenced in any such court after the effective date of this section.

(b) Nothing in paragraph (a) of this section shall prohibit the assertion of a defense, set-off or counterclaim in any pending or subsequent judicial proceeding commenced by the Government of Iran, any political subdivision of Iran, or any agency, instrumentality or entity controlled by the Government of Iran or any political subdivision thereof.

(c) Nothing in this section precludes the commencement of an action after the effective date of this section for the purpose of tolling the period of limitations for commencement of such action.

(d) Nothing in this section shall require dismissal of any action for want of prosecution.

(e) Suspension under this section of a claim or a portion thereof submitted to the Iran-United States Claims Tribunal for adjudication shall terminate upon a
§ 535.301 Determination by the Tribunal that it does not have jurisdiction over such claim or portion thereof.

(f) A determination by the Iran-United States Claims Tribunal on the merits that a claimant is not entitled to recover on a claim or part thereof shall operate as a final resolution and discharge of such claim or part thereof for all purposes. A determination by the Tribunal that a claimant shall have recovery on a claim or part thereof in a specified amount shall operate as a final resolution and discharge of such claim or part thereof for all purposes upon payment to the claimant of the full amount of the award including any interest awarded by the Tribunal.

(g) Nothing in this section shall apply to any claim concerning the validity or payment of a standby letter of credit, performance or payment bond, or other similar instrument that is not the subject of a determination by the Iran-United States Claims Tribunal on the merits thereof. However, assertion of such a claim through judicial proceedings is governed by the general license in §535.504. A determination by the Iran-United States Claims Tribunal on the merits that a standby letter of credit, performance bond or similar obligation is invalid, has been paid or otherwise discharged, or has no further purpose, or any similar determination shall operate as a final resolution and discharge of Iran’s interest therein and, notwithstanding the provisions of §535.504, may be enforced by a judicial proceeding to obtain a final judicial judgment or order permanently disposing of that interest.

(h) The effective date of this section is February 24, 1981.


§ 535.308 Person.

The term person means an individual, partnership, association, corporation or other organization.

[45 FR 24433, Apr. 9, 1980]

§ 535.310 Transfer.

The term transfer shall mean any actual or purported act or transaction, whether or not evidenced by writing, and whether or not done or performed within the United States, the purpose, intent or effect of which is to create, surrender, release, transfer, or alter, directly or indirectly, any right, remedy, power, privilege, or interest with respect to any property and, without

Subpart C—General Definitions

§ 535.301 Iran; Iranian Entity.

(a) The term Iran and Iranian Entity includes:

(1) The state and the Government of Iran as well as any political subdivision, agency, or instrumentality thereof or any territory, dependency, colony, protectorate, mandate, dominion, possession or place subject to the jurisdiction thereof;

(2) Any partnership, association, corporation, or other organization substantially owned or controlled by any of the foregoing;

(3) Any person to the extent that such person is, or has been, or to the extent that there is reasonable cause to believe that such person is, or has been, since the effective date acting or purporting to act directly or indirectly on behalf of any of the foregoing;

(4) Any territory which on or since the effective date is controlled or occupied by the military, naval or police forces or other authority of Iran; and

(5) Any other person or organization determined by the Secretary of the Treasury to be included within paragraph (a) of this section.

(b) A person specified in paragraph (a)(2) of this section shall not be deemed to fall within the definition of Iran solely by reason of being located in, organized under the laws of, or having its principal place of business in, Iran.

§ 535.308 Person.

The term person means an individual, partnership, association, corporation or other organization.

[45 FR 24433, Apr. 9, 1980]
limitation upon the foregoing, shall in-clude the making, execution, or deliv-ery of any assignment, power, convey-ance, check, declaration, deed, deed of trust, power of attorney, power of ap-pointment, bill of sale, mortgage, re-cpt, agreement, contract, certificate, gift, sale, affidavit, or statement; the appointment of any agent, trustee, or fiduciary; the creation or transfer of any lien; the issuance,ocketing, file-ing, or the levy of or under any judg-ment, decree, attachment, execution, or other judicial or administrative process or order, or the service of any garnishment; the acquisition of any in-terest of any nature whatsoever by rea-son of a judgment or decree of any for-eign country; the fulfillment of any condition, or the exercise of any power of appointment, power of attorney, or other power.

§ 535.320 Domestic bank.

(a) The term domestic bank shall mean any branch or office within the United States of any of the following which is not Iran or an Iranian entity: any bank or trust company incor-porated under the banking laws of the United States or of any state, territ-ory, or district of the United States, or any private bank or banker subject to supervision and examination under the banking laws of the United States or of any state, territory or district of the United States. The Secretary of the Treasury may also authorize any other banking institution to be treated as a “domestic bank” for the purpose of this definition or for the purpose of any or all sections of this part.

(b) For purposes of §§535.413, 535.508, 535.531 and 535.901, the term domestic bank includes any branch or office within the United States of a non-Ira-nian foreign bank.

§ 535.311 Property; property interests.

Except as defined in §535.203(f) for the purposes of that section, the terms property and property interest or property interests shall include, but not by way of limitation, money, checks, drafts, bullion, bank deposits, savings ac-counts, debts, indebtedness, obliga-tions, notes, debentures, stocks, bonds, coupons, any other financial securities, acceptances, mortgages, pledges, liens or other rights in the na-ture of security, warehouse receipts, bills of lading, trust receipts, bills of sale, any other evidences of title, own-ership or indebtedness, powers of attor-ney, goods, wares, merchandise, chatt els, stocks on hand, ships, goods on ships, real estate mortgages, deeds of trust, vendors’ sales agreements, land contracts, real estate and any interest therein, leaseholds, grounds rents, op-tions, negotiable instruments, trade acceptances, royalties, book accounts, accounts payable, judgments, patents, trademarks or copyrights, insurance policies, safe deposit boxes and their contents, annuities, pooling agree-ments, contracts of any nature whatso-ever, and any other property, real, per-sonal, or mixed, tangible or intangible, or interests or interests therein, present, future or contingent.

§ 535.312 Interest.

Except as otherwise provided in this part, the term interest when used with respect to property shall mean an in-terest of any nature whatsoever, direct or indirect.

[44 FR 75352, Dec. 19, 1979]

§ 535.316 License.

Except as otherwise specified, the term license shall mean any license or authorization contained in or issued pursuant to this part.

[44 FR 66832, Nov. 21, 1979]

§ 535.317 General license.

A general license is any license or au-thorization the terms of which are set forth in this part.

[44 FR 66832, Nov. 21, 1979]

§ 535.318 Specific license.

A specific license is any license or authorization issued pursuant to this part but not set forth in this part.

[44 FR 66832, Nov. 21, 1979]
§ 535.321 United States; continental United States.

The term United States means the United States and all areas under the jurisdiction or authority thereof including the Trust Territory of the Pacific Islands. The term continental United States means the states of the United States and the District of Columbia.

[44 FR 66833, Nov. 21, 1979]

§ 535.329 Person subject to the jurisdiction of the United States.

The term person subject to the jurisdiction of the United States includes:
(a) Any person wheresoever located who is a citizen or resident of the United States;
(b) Any person actually within the United States;
(c) Any corporation organized under the laws of the United States or of any state, territory, possession, or district of the United States; and
(d) Any partnership, association, corporation, or other organization wheresoever organized or doing business which is owned or controlled by persons specified in paragraph (a), (b), or (c) of this section.

§ 535.333 Properties.

(a) The term properties as used in §535.215 means all uncontested and non-contingent liabilities and property interests of the Government of Iran, its agencies, instrumentalities, or controlled entities, including debts. It does not include bank deposits or funds and securities. It also does not include obligations under standby letters of credit or similar instruments in the nature of performance bonds, including accounts established pursuant to §535.568.
(b) Properties do not cease to fall within the definition in paragraph (a), above, merely due to the existence of unpaid obligations, charges or fees relating to such properties, or undischarged liens against such properties.
(c) Liabilities and property interests of the Government of Iran, its agencies, instrumentalities, or controlled entities may be considered contested only if the holder thereof reasonably believes that Iran does not have title or has only partial title to the asset. After October 23, 2001, such a belief may be considered reasonable only if it is based upon a bona fide opinion, in writing, of an attorney licensed to practice within the United States stating that Iran does not have title or has only partial title to the asset. For purposes of this paragraph, the term holder shall include any person who possesses the property, or who, although not in physical possession of the property, has, by contract or otherwise, control over a third party who does in fact have physical possession of the property. A person is not a holder by virtue of being the beneficiary of an attachment, injunction or similar order.
(d) Liabilities and property interests shall not be deemed to be contested solely because they are subject to an attachment, injunction, or other similar order.

[66 FR 38554, July 25, 2001]


For purposes of §535.216, an act of the Government of Iran includes any acts ordered, authorized, allowed, approved, or ratified by the Government of Iran, its agencies, instrumentalities or controlled entities.


§ 535.335 Claim arising out of events in Iran.

For purposes of §535.216, a claim is one “arising out of events” of the type specified only if such event is the specific act that is the basis of the claim.


§535.337 Funds.

For purposes of this part, the term "funds" shall mean monies in trust, escrow and similar special funds held by non-banking institutions, currency and coins. It does not include accounts created under §535.568.


[46 FR 30341, June 8, 1981]

Subpart D—Interpretations

§535.401 Reference to amended sections.

Reference to any section of this part or to any regulation, ruling, order, instruction, direction or license issued pursuant to this part shall be deemed to refer to the same as currently amended unless otherwise so specified.

[45 FR 24433, Apr. 9, 1980]

§535.402 Effect of amendment of sections of this part or of other orders, etc.

Any amendment, modification, or revocation of any section of this part or of any order, regulation, ruling, instruction, or license issued by or under the direction of the Secretary of the Treasury pursuant to section 203 of the International Emergency Economic Powers Act shall not, unless otherwise specifically provided, be deemed to affect any act done or omitted to be done, or any suit or proceeding had or commenced in any civil or criminal case, prior to such amendment, modification, or revocation and all penalties, forfeitures, and liabilities under any such order, regulation, ruling, instruction or license shall continue and may be enforced as if such amendment, modification, or revocation had not been made.

[45 FR 24433, Apr. 9, 1980]

§535.403 Termination and acquisition of an interest of Iran or an Iranian entity.

(a) Whenever a transaction licensed or authorized by or pursuant to this part results in the transfer of property (including any property interest) away from Iran or an Iranian entity, such property shall no longer be deemed to be property in which Iran or an Iranian entity has or has had an interest, unless there exists in the property another such interest the transfer of which has not been effected pursuant to license or other authorization.

(b) Unless otherwise specifically provided, if property (including any property interest) is transferred to Iran or an Iranian interest, such property shall be deemed to be property in which there exists an interest of Iran or an Iranian entity.

[45 FR 24433, Apr. 9, 1980]

§535.413 Transfers between dollar accounts held for foreign banks.

Transfers authorized by §535.901 include transfers by order of a non-Iranian foreign bank from its account in a domestic bank (directly or through a foreign branch or subsidiary of a domestic bank) to an account held by a foreign branch or subsidiary for a second non-Iranian foreign bank which in turn credits an account held by it abroad for Iran. For the purposes of this section, a non-Iranian foreign bank means a bank which is not a person subject to the jurisdiction of the United States.

[44 FR 66833, Nov. 21, 1979]

§535.414 Payments to blocked accounts under §535.508.

(a) Section 535.508 does not authorize any transfer from a blocked account within the United States to an account held by any bank outside the United States or any other payment into a blocked account outside the United States.

(b) Section 535.508 only authorizes payment into a blocked account held by a domestic bank as defined by §535.320.

[44 FR 67617, Nov. 26, 1979]
§ 535.415 Payment by Iranian entities of obligations to persons within the United States.

A person receiving payment under § 535.904 may distribute all or part of that payment to anyone: Provided, That any such payment to Iran or an Iranian entity must be to a blocked account in a domestic bank.

[44 FR 67617, Nov. 26, 1979]

§ 535.416 Letters of credit.

(a) Question. Prior to the effective date, a bank subject to the jurisdiction of the United States has issued or confirmed a documentary letter of credit for a non-Iranian account party in favor of an Iranian entity. Can payment be made upon presentation of documentary drafts?

Answer. Yes, provided payment is made into a blocked account in a domestic bank.

(b) Question. Prior to the effective date, a domestic branch of a bank organized or incorporated under the laws of the United States has issued or confirmed a documentary letter of credit for a non-Iranian account party in favor of an Iranian entity. Payment is to be made through a foreign branch of the bank. Can payment be made upon presentation of documentary drafts?

Answer. Yes, provided payment is made into a blocked account in a domestic bank.

(c) Question. Prior to the effective date, a foreign bank confirms a documentary letter of credit issued by its U.S. agency or branch for a non-Iranian account party in favor of an Iranian entity. Can the U.S. agency or branch of the foreign bank transfer funds to the foreign bank in connection with that foreign bank’s payment under the letter of credit?

Answer. No, the U.S. agency’s payment is blocked, unless the foreign bank made payment to the Iranian entity prior to the effective date.

(d) Question. Prior to the effective date, a bank subject to the jurisdiction of the United States has issued or confirmed a documentary letter of credit for a non-Iranian account party in favor of an Iranian entity. The Iranian entity presents documentary drafts which are deficient in some detail. May the non-Iranian account party waive the documentary deficiency and authorize the bank to make payment?

Answer. Yes, provided payment is made into a blocked account in a domestic bank. However, the non-Iranian account party is not obligated by these Regulations to exercise a waiver of documentary deficiencies. In cases where such a waiver is not exercised, the bank’s payment obligation, if any, under the letter of credit remains blocked, as does any obligation, contingent or otherwise, of the account party. The documents are also blocked.

(e) Question. Prior to the effective date, a bank subject to the jurisdiction of the United States has issued or confirmed a documentary letter of credit for a non-Iranian account party in favor of an Iranian entity. The Iranian entity does not make timely, complete, or proper presentation of documents, and the letter of credit expires. Does there remain a blocked payment obligation held by the bank?

Answer. No, but any documents held by the bank continue to be blocked. It is also possible that the account party still has a related obligation to the Iranian entity and any such obligation would be blocked.

(f) Question. A bank subject to the jurisdiction of the United States has issued a letter of credit for a U.S. account party in favor of an Iranian entity. The letter of credit is confirmed by a foreign bank. Prior to or after the effective date, the Iranian entity presents documents to the U.S. issuing bank. Payment is deferred. After the effective date, the Iranian entity requests that the issuing bank either return the documents to the Iranian entity or transfer them to the confirming bank. Can the issuing bank do so?

Answer. No. The U.S. issuing bank can neither return nor transfer the documents without a license. The documents constitute blocked property under the Regulations.

(g) Question. Prior to the effective date, a bank subject to the jurisdiction of the United States has issued or confirmed a documentary letter of credit for a non-Iranian account party in favor of an Iranian entity. The Iranian entity presents documentary drafts which are deficient in some detail. May
the non-Iranian account party waive the documentary deficiency and make payment?

Answer. Yes, provided payment is made into a blocked account in a domestic bank. However, the non-Iranian account party is not obligated by these Regulations to exercise a waiver of documentary deficiencies. In cases where such a waiver is not exercised, the amount of the payment held by the account party is blocked.


§ 535.420 Transfers of accounts under § 535.508 from demand to interest-bearing status.

Section 535.508 authorizes transfer of a blocked demand deposit account to interest-bearing status at the instruction of the Iranian depositor at any time.

[44 FR 76784, Dec. 28, 1979]

§ 535.421 Prior contractual commitments not a basis for licensing.

Specific licenses are not issued on the basis that an unlicensed firm commitment or payment has been made in connection with a transaction prohibited by this part. Contractual commitments to engage in transactions subject to the prohibitions of this part should not be made, unless the contract specifically states that the transaction is authorized by general license or that it is subject to the issuance of a specific license.

[45 FR 24433, Apr. 9, 1980]

§ 535.433 Central Bank of Iran.

The Central Bank of Iran (Bank Markazi Iran) is an agency, instrumentality and controlled entity of the Government of Iran for all purposes under this part.


§ 535.437 Effect on other authorities.

Nothing in this part in any way relieves any persons subject to the jurisdiction of the United States from securing licenses or other authorizations as required from the Secretary of State, the Secretary of Commerce or other relevant agency prior to executing the transactions authorized or directed by this part. This includes licenses for transactions involving military equipment.


§ 535.440 Commercially reasonable interest rates.

(a) For purposes of §§ 535.212 and 535.213, what is meant by “commercially reasonable rates” depends on the particular circumstances. In the case of time or savings deposits, the “commercially reasonable rate” is that rate provided for by the deposit agreement or applicable law. With respect to other obligations where the rate remains to be determined, it is presently expected that the “commercially reasonable rate” will be the rate agreed upon by the bank and Iran. However, where a deposit has in fact operated as a demand account under Treasury license, it would be appropriate to treat the deposit for purposes of §§ 535.212 and 535.213 as a non-interest bearing account. Furthermore, in the event that the Iran-U.S Claims Tribunal (the “Tribunal”) determines that interest additional to that agreed upon between the bank and Iran, or compensation or damages in lieu of interest, is due Iran, then that amount determined by the Tribunal to be owing to Iran shall be transferred as, or as part of, the interest at “commercially reasonable rates” required to be transferred pursuant to §§ 535.212 and 535.213, regardless of any settlement between the bank and Iran, or any release or discharge that Iran may have given the bank.

(b) The contingent interest of Iran in any liability for further or additional interest, or compensation or damages in lieu of interest, that may be claimed in, and determined by the Tribunal, constitutes an interest of Iran in property for purposes of this part, and no agreement between Iran and any person subject to the jurisdiction of the United States is effective to extinguish such Iranian interest in property unless so specifically licensed by the Treasury Department.

(c) For deposits held as time deposits, no penalty shall be imposed for early withdrawal. (In this connection, the Board of Governors of the Federal Reserve System has determined that application of the penalty for early withdrawal of time deposits transferred before maturity, pursuant to §535.213 is not required.)


§ 535.441 Settlement Agreement regarding small claims.

(a) Award No. 483 of June 22, 1990 of the Iran-United States Claims Tribunal, approving and giving effect to the Settlement Agreement in Claims of Less Than $250,000, Case No. 86 and Case No. B38, dated May 13, 1990 (the “Settlement Agreement”), constitutes a determination by the Iran-United States Claims Tribunal of all claims encompassed therein within the meaning of §535.222(f) of this part. In accordance with §535.222(f), upon payment from the Security Account to the United States, the Settlement Agreement shall operate as a final resolution and discharge of all claims encompassed by the Settlement Agreement for all purposes. All such claims shall be subject to the exclusive jurisdiction of the Foreign Claims Settlement Commission on the terms established in the Settlement Agreement and by the provisions of Public Law 99–93, Title V, Aug. 16, 1985, 99 Stat. 437, applicable to en bloc settlements of claims of U.S. nationals against Iran.

(b) Pursuant to the Settlement Agreement, the private claims subject to that agreement and this part are "* * * claims of less than $250,000 each, which have been filed with the Tribunal by the United States on behalf of U.S. nationals, which claims are included in Cases Nos. 10001 through 12783, and which are still pending,* * * ;" and "* * * claims of U.S. nationals for less than $250,000 which have been submitted to the United States Department of State but were not timely filed with the Tribunal, as well as claims of U.S. nationals for less than $250,000 which have been either withdrawn by the Claimants or dismissed by the Tribunal for lack of jurisdiction, * * *." Settlement Agreement, Art. I(A).

[55 FR 40831, Oct. 5, 1990]
Subpart E—Licenses, Authorizations and Statements of Licensing Policy

§ 535.501 General and specific licensing procedures.

For provisions relating to licensing procedures, see part 501, subpart E, of this chapter. Licensing actions taken pursuant to part 501 of this chapter with respect to the prohibitions contained in this part are considered actions taken pursuant to this part.

[68 FR 53657, Sept. 11, 2003]

§ 535.502 Effect of license or authorization.

(a) No license or other authorization contained in this part or otherwise issued by or under the direction of the Secretary of the Treasury pursuant to section 203 of the International Emergency Economic Powers Act, shall be deemed to authorize or validate any transaction effected prior to the issuance thereof, unless such license or other authorization specifically so provides.

(b) No regulation, ruling, instruction, or license authorizes a transaction prohibited under this part unless the regulation, ruling, instruction, or license is issued by the Treasury Department and specifically refers to this part. No regulation, ruling, instruction or license referring to this part shall be deemed to authorize any transaction effected prior to the issuance thereof, unless such license or other authorization specifically so provides.

(c) Any regulation, ruling, instruction or license authorizing a transaction otherwise prohibited under this part has the effect of removing a prohibition in subpart B from the transaction, but only to the extent specifically stated by its terms. Unless the regulation, ruling, instruction or license otherwise specifies, such an authorization does not create any right, duty, obligation, claim, or interest in, or with respect to, any property which would not otherwise exist under ordinary principles of law.

[44 FR 66833, Nov. 21, 1979, as amended at 44 FR 75353, Dec. 19, 1979]

§ 535.503 Exclusion from licenses and authorizations.

The Secretary of the Treasury reserves the right to exclude any person from the operation of any license or from the privileges therein conferred or to restrict the applicability thereof with respect to particular persons, transactions or property or classes thereof. Such action shall be binding upon all persons receiving actual notice or constructive notice thereof.

[44 FR 66833, Nov. 21, 1979]

§ 535.504 Certain judicial proceedings with respect to property of Iran or Iranian entities.

(a) Subject to the limitations of paragraphs (b) and (c) of this section and §535.222, judicial proceedings are authorized with respect to property in which on or after 8:10 a.m., e.s.t., November 14, 1979, there has existed an interest of Iran or an Iranian entity.

(b) This section does not authorize:

(1) Any pre-judgment attachment or any other proceeding of similar or analogous effect pertaining to any property (and any income earned thereon) subject to the provisions of §§535.211, 535.212, 535.213, 535.214 or 535.215 on January 19, 1981, including, but not limited to, a temporary restraining order or preliminary injunction, which operates as a restraint on property, for purposes of holding it within the jurisdiction of a court, or otherwise;

(2) Any payment or delivery out of a blocked account based upon a judicial proceeding, pertaining to any property subject to the provisions of §§535.211, 535.212, 535.213, 535.214 or 535.215 on January 19, 1981;

(3)(i) Any final judicial judgment or order (A) permanently enjoining, (B) terminating or nullifying, or (C) otherwise permanently disposing of any interest of Iran in any standby letter of credit, performance bond or similar obligation. Any license authorizing such action is hereby revoked and withdrawn. This revocation and withdrawal of prior licenses prohibits judgments or orders that are within the terms of this paragraph (b)(3)(i), including any such judgments or orders which may have been previously entered but which had not become final by July 2, 1982,
through the conclusion of appellate proceedings or the expiration of the time for appeal.

(ii) Nothing in this paragraph (b)(3) shall prohibit the assertion of any defense, set-off or counterclaim in any pending or subsequent judicial proceeding commenced by the Government of Iran, any political subdivision of Iran, or any agency, instrumentality or entity owned or controlled by the Government of Iran or any political subdivision thereof.

(iii) Nothing in this paragraph (b)(3) shall preclude the commencement of an action for the purpose of tolling the period of limitations for commencement of such action.

(iv) Nothing in this paragraph (b)(3) shall require dismissal of any action for want of prosecution.

(c) For purposes of this section, contested and contingent liabilities and property interests of the Government of Iran, its agencies, instrumentalities, or controlled entities, including debts, shall be deemed to be subject to §535.215.

(d) A judicial proceeding is not authorized by this section if it is based on transactions which violated the prohibitions of this part.

(e) Judicial proceedings to obtain attachments on standby letters of credit, performance bonds or similar obligations and on substitute blocked accounts established under §535.568 relating to standby letters of credit, performance bonds and similar obligations are not authorized or licensed.


§535.508 Payments to blocked accounts in domestic banks.

(a) Any payment or transfer of credit, including any payment or transfer by any U.S.-owned or controlled foreign firm or branch to a blocked account in the name of Iran or any Iranian entity is hereby authorized: Provided, Such payment or transfer shall not be made from any blocked account if such payment or transfer represents, directly or indirectly, a transfer of the interest of Iran or an Iranian entity to any other country or person.

(b) This section does not authorize:

(1) Any payment or transfer to any blocked account held in a name other than that of Iran or the Iranian entity who is the ultimate beneficiary of such payment or transfer; or

(2) Any foreign exchange transaction including, but not by way of limitation, any transfer of credit, or payment of an obligation, expressed in terms of the currency of any foreign country.

(c) This section does not authorize any payment or transfer of credit comprising an integral part of a transaction which cannot be effected without the subsequent issuance of a further license.

(d) This section does not authorize the crediting of the proceeds of the sale of securities held in a blocked account or a sub-account thereof, or the income derived from such securities to a blocked account or sub-account under any name or designation which differs from the name or designation of the specific blocked account or sub-account in which such securities were held.

(e) This section does not authorize any payment or transfer from a blocked account in a domestic bank to a blocked account held under any name or designation which differs from the name or designation of the specified blocked account or sub-account from which the payment or transfer is made.

NOTE TO §535.508: Please refer to §501.603 of this chapter for mandatory reporting requirements regarding financial transfers.

§535.528 Certain transactions with respect to Iranian patents, trademarks and copyrights authorized.

(a) The following transactions by any person subject to the jurisdiction of the United States are authorized:

(1) The filing and prosecution of any application for an Iranian patent,
trademark or copyright, or for the renewal thereof;
(2) The receipt of any Iranian patent, trademark or copyright;
(3) The filing and prosecution of opposition or infringement proceedings with respect to any Iranian patent, trademark, or copyright, and the prosecution of a defense to any such proceedings;
(4) The payment of fees currently due to the government of Iran, either directly or through an attorney or representative, in connection with any of the transactions authorized by paragraphs (a)(1), (2), and (3) of this section or for the maintenance of any Iranian patent, trademark or copyright; and
(5) The payment of reasonable and customary fees currently due to attorneys or representatives in Iran incurred in connection with any of the transactions authorized by paragraphs (a)(1), (2), (3) or (4) of this section.

(b) Payments effected pursuant to the terms of paragraphs (a)(4) and (5) of this section may not be made from any blocked account.

(c) As used in this section the term Iranian patent, trademark, or copyright shall mean any patent, petty patent, design patent, trademark or copyright issued by Iran.

§ 535.531 Payment of certain checks and drafts.
(a) A bank subject to the jurisdiction of the United States is hereby authorized to make payments from blocked accounts with such banking institution of checks and drafts drawn or issued prior to the effective date, Provided, That:
(1) The amount involved in any one payment, acceptance, or debit does not exceed $3,000; or
(2) The check or draft was within the United States in process of collection by a domestic bank on or prior to the effective date and does not exceed $50,000.
(3) The authorization contained in this paragraph shall expire at the close of business on January 14, 1980.
(b) A bank subject to the jurisdiction of the United States as its own obligation may make payment to a person subject to the jurisdiction of the United States who is the beneficiary of any letter of credit issued or confirmed by it, or on a draft accepted by it, prior to the effective date, where the letter of credit was issued or confirmed on behalf of Iran or an Iranian entity, Provided, That:
(1) Notwithstanding the provisions of §535.902, no blocked account may at any time be debited in connection with such a payment.
(2) Such a payment shall give the bank making payment no special priority or other right to blocked accounts it holds in the event that such blocked accounts are vested or otherwise lawfully used in connection with a settlement of claims.
(3) Nothing in this paragraph prevents payment being made to the beneficiary of any draft or letter of credit or to any banking institution pursuant to §535.904.
(c) The office will consider on a case-by-case basis, without any commitment on its part to authorize any transaction or class of transactions, applications for specific licenses to make payments from blocked accounts of documentary drafts drawn under irrevocable letters of credit issued or confirmed by a domestic bank prior to the effective date, in favor of any person subject to the jurisdiction of the United States. Any bank or payee submitting such an application should include data on all such letters of credit in which it is involved. Applications should be submitted not later than January 10, 1980.
(d) Paragraphs (a) and (b) of this section do not authorize any payment to Iran or an Iranian entity except payments into a blocked account in a domestic bank unless Iran or the Iranian entity is otherwise licensed to receive such payment.

§ 535.532 Completion of certain securities transactions.
(a) Banking institutions within the United States are hereby authorized to complete, on or before November 21, 1979, purchases and sales made prior to the effective date of securities purchased or sold for the account of Iran.
or an Iranian entity provided the following terms and conditions are complied with, respectively.

(1) The proceeds of such sale are credited to a blocked account in a banking institution in the name of the person for whose account the sale was made; and

(2) The securities so purchased are held in a blocked account in a banking institution in the name of the person for whose account the purchase was made.

(b) This section does not authorize the crediting of the proceeds of the sale of securities held in a blocked account or a sub-account thereof, to a blocked account or sub-account under any name or designation which differs from the name or designation of the specific blocked account or sub-account in which such securities were held.

§ 535.540 Disposition of certain tangible property.

(a) Specific licenses may be issued in appropriate cases at the discretion of the Secretary of the Treasury for the public sale and transfer of certain tangible property that is encumbered or contested within the meaning of §535.333 (b) and (c) and that, because it is blocked by §535.201, may not be sold or transferred without a specific license, provided that each of the following conditions is met:

(1) The holder or supplier of the property has made a good faith effort over a reasonable period of time to obtain payment of any amounts owed by Iran or the Iranian entity, or adequate assurance of such payment;

(2) Neither payment nor adequate assurance of payment has been received;

(3) The license applicant has, under provisions of law applicable prior to November 14, 1979, a right to sell, or reclaim and sell, such property by methods not requiring judicial proceedings, and would be able to exercise such right under applicable law, but for the prohibitions in this part, and

(4) The license applicant shall enter into an indemnification agreement acceptable to the United States providing for the applicant to indemnify the United States, in an amount up to 150 percent of the proceeds of sale, for any monetary loss which may accrue to the United States from a decision by the Iran-U.S. Claims Tribunal that the United States is liable to Iran for damages that are in any way attributable to the issuance of such license. In the event the applicant and those acting for or on its behalf are the only bidders on the property, the United States shall have the right to establish a reasonable indemnification amount.

(b) An applicant for a license under this section shall provide the Office of Foreign Assets Control with documentation on the points enumerated in paragraph (a) of this section. The applicant normally will be required to submit an opinion of legal counsel regarding the legal right claimed under paragraph (a)(3) of this section.

(c) Any sale of property licensed under this section shall be at public auction and shall be made in good faith in a commercially reasonable manner. Notwithstanding any provision of State law, the license applicant shall give detailed notice to the appropriate Iranian entity of the proposed sale or transfer at least 30 days prior to the sale or other transfer. In addition, if the license applicant has filed a claim with the Iran-U.S. Claims Tribunal, the license applicant shall give at least 30 days' advance notice of the sale to the Tribunal.

(d) The disposition of the proceeds of any sale licensed under this section, minus such reasonable costs of sale as are authorized by applicable law (which will be licensed to be deducted), shall be in accordance with either of the following methods:

(1) Deposit into a separate blocked, interest-bearing account at a domestic bank in the name of the licensed applicant; or

(2) Any reasonable disposition in accordance with provisions of law applicable prior to November 14, 1979, which may include unrestricted use of all or a portion of the proceeds, provided that the applicant shall post a bond or establish a standby letter of credit, subject to the prior approval of the Secretary of the Treasury, in favor of the United States in the amount of the proceeds of sale, prior to any such disposition.

(e) For purposes of this section, the term proceeds means any gross amount
of money or other value realized from the sale. The proceeds shall include any amount equal to any debt owed by Iran which may have constituted all or part of a successful bid at the licensed sale.

(f) The proceeds of any such sale shall be deemed to be property governed by §535.215 of this part. Any part of the proceeds that constitutes Iranian property which under §535.215 is to be transferred to Iran shall be so transferred in accordance with that section.

(g) Any license pursuant to this section may be granted subject to conditions deemed appropriate by the Secretary of the Treasury.

(h) Any person licensed pursuant to this section is required to submit a report to the Chief of Licensing, Office of Foreign Assets Control, within ten business days of the licensed sale or other transfer, providing a full accounting of the transaction, including the costs, any payment to lienholders or others, including payments to Iran or Iranian entities, and documentation concerning any blocked account established or payments made.

§535.566 Unblocking of foreign currency deposits held by U.S.-owned or controlled foreign firms.

Deposits held abroad in currencies other than U.S. dollars by branches and subsidiaries of persons subject to the jurisdiction of the United States are unblocked, provided however that conversions of blocked dollar deposits into foreign currencies are not authorized.

§535.567 Payment under advised letters of credit.

(a) Specific licenses may be issued for presentation, acceptance, or payment of documentary drafts under a letter of credit opened by an Iranian entity and advised by a domestic bank or an Iranian bank subject to the jurisdiction of the United States, provided, That:

1. The letter of credit was advised prior to the effective date;
2. The property which is the subject of the payment under the letter of credit was not in the possession or control of the exporter on or after the effective date;
3. The Beneficiary is a person subject to the jurisdiction of the United States.

(b) As a general matter, licenses will not be issued if the amount to be paid to a single payee exceeds $500,000, or if hardship cannot be shown.

§535.568 Certain standby letters of credit and performance bonds.

(a) Notwithstanding any other provision of law, payment into a blocked account in a domestic bank by an issuing or confirming bank under a standby letter of credit in favor of an Iranian entity is prohibited by §535.201 and not authorized, notwithstanding the provisions of §535.508, if either:

1. A specific license has been issued pursuant to the provisions of paragraph (b) of this section, or
2. Eight business days have not expired after notice to the account party pursuant to paragraph (b) of this section.

(b) Whenever an issuing or confirming bank shall receive such demand for payment under a standby letter of credit, it shall promptly notify the person for whose account the credit was opened. Such person may then apply within five business days for a specific license authorizing the account party to establish a blocked account on its books in the name of the Iranian entity in the amount payable under the credit, in lieu of payment by the issuing or confirming bank into a blocked account and reimbursement therefor by the account party.

(c) Where there is outstanding a demand for payment under a standby letter of credit, and the issuing or confirming bank has been enjoined from making payment, upon removal of the injunction, the person for whose account the credit was opened may apply for a specific license for the same purpose and in the same manner as that set forth in paragraph (b) of this section. The issuing or confirming bank
shall not make payment under the standby letter of credit unless:

(1) Eight business days have expired since the bank has received notice of the removal of the injunction and;

(2) A specific license issued to the account party pursuant to the provisions of this paragraph has not been presented to the bank.

(d) If necessary to assure the availability of the funds blocked, the Secretary may at any time require the payment of the amounts due under any letter of credit described in paragraph (a) of this section into a blocked account in a domestic bank or the supplying of any form of security deemed necessary.

(e) Nothing in this section precludes any person whose account a standby letter of credit was opened or any other person from at any time contesting the legality of the demand from the Iranian entity or from raising any other legal defense to payment under the standby letter of credit.

(f) This section does not affect the obligation of the various parties of the instruments covered by this section if the instruments and payment thereunder are subsequently unblocked.

(g) For the purposes of this section, the term standby letter of credit shall mean a letter of credit securing performance of, or repayment of, any advance payments of deposits, under a contract with Iran or an Iranian entity, or any similar obligation in the nature of a performance bond.

(h) The regulations do not authorize any person subject to the jurisdiction of the United States to reimburse a non-U.S. bank for payment to Iran or an Iranian entity under a standby letter of credit, except by payment into a blocked account in accordance with §535.508 or paragraph (b) or (c) of this section.

(i) A person receiving a specific license under paragraph (b) or (c) of this section shall certify to the Office of Foreign Assets Control within five business days after receipt of that license that it has established the blocked account on its books as provided for in those paragraphs. However, in appropriate cases, this time may be extended upon application to the Office of Foreign Assets Control when the account party has filed a petition with an appropriate court seeking a judicial order barring payment by the issuing or confirming bank.

(j) The extension or renewal of a standby letter of credit is authorized.

(k) All specific licenses previously issued under this section to account parties to standby letters of credit are revoked, effective February 28, 1991, unless the license holder submits documentation to the Office of Foreign Assets Control establishing that the specific license pertains to a standby letter of credit obligation that (1) is at issue in any claim brought before the Iran-United States Claims Tribunal (“Tribunal”), (2) is or was at issue in any claim that the Tribunal resolves, or has resolved, on the merits in favor of the account party, or (3) was at issue in a matter that was settled by the parties. The documentation required for such a showing may include such items as a copy of a Tribunal Award, a copy of a signed settlement agreement, or copies of cover pages of recent filings in pending Tribunal cases.


§535.569 Licensed letter of credit transactions; forwarding of documents.

When payment of a letter of credit issued, advised, or confirmed by a bank subject to the jurisdiction of the United States is authorized by either general or specific license, the forwarding of the letter of credit documents to the account party is authorized.

[45 FR 1877, Jan. 9, 1980]

§535.576 Payment of non-dollar letters of credit to Iran.

Notwithstanding the prohibitions of §§535.201 and 535.206(a)(4), payment of existing non-dollar letters of credit in favor of Iranian entities or any person in Iran by any foreign branch or subsidiary of a U.S. firm is authorized, provided that the credit was opened prior to the respective effective date.

[45 FR 29288, May 2, 1980]
§ 535.579 Authorization of new transactions concerning certain Iranian property.

(a) Transactions involving property in which Iran or an Iranian entity has an interest are authorized where:

(1) The property comes within the jurisdiction of the United States or into the control or possession of any person subject to the jurisdiction of the United States after January 19, 1981, or

(2) The interest in the property of Iran or an Iranian entity (e.g. exports consigned to Iran or an Iranian entity) arises after January 19, 1981.

(b) Transactions involving standby letters of credit, performance or payment bonds and similar obligations, entered into prior to January 20, 1981, described in § 535.568 remain subject to the prohibitions and procedures contained in §§ 535.201 and 535.568.

(c) Property not blocked under § 535.201 as of January 19, 1981, in which the Government of Iran or an Iranian entity has an interest, which after that date is or becomes subject to the jurisdiction of the United States or comes within the control or possession of a person subject to the jurisdiction of the United States for the express purpose of settling claims against Iran or Iranian entities, is excluded from any authorization in this part for any attachment, injunction or other order of similar or analogous effect and any such attachment, injunction or order is prohibited by §§ 535.201 and 535.203.


Subpart F—Reports

§ 535.601 Records and reports.

For provisions relating to records and reports, see subpart C of part 501 of this chapter.


Subpart G—Penalties

§ 535.701 Penalties.

(a) Attention is directed to section 206 of the International Emergency Economic Powers Act (the “Act”) (50 U.S.C. 1705), which is applicable to violations of the provisions of any license, ruling, regulation, order, direction or instruction issued by or pursuant to the direction or authorization of the Secretary of the Treasury pursuant to this part or otherwise under the Act.

(1) A civil penalty not to exceed the amount set forth in Section 206 of the Act may be imposed on any person who violates, attempts to violate, conspires to violate, or causes a violation of any license, ruling, regulation, order, or prohibition issued under the Act.

NOTE TO PARAGRAPH (a)(1) OF § 535.701: As of June 10, 2008, the Act provides for a maximum civil penalty not to exceed the greater of $250,000 or an amount that is twice the amount of the transaction that is the basis of the violation with respect to which the penalty is imposed.

(2) A person who willfully commits, willfully attempts to commit, or willfully conspires to commit, or aids or abets in the commission of a violation of any license, order, regulation, or prohibition issued under the Act.

(b) Adjustments to penalty amounts.


§ 535.580 Necessary living expenses of relatives of the former Shah of Iran.

The transfer, payment or withdrawal of property described in § 535.217 is authorized to the extent necessary to pay living expenses of any individual listed in that section. Living expenses for this purpose shall include food, housing, transportation, security and other personal expenses.


§ 535.702

(2) The criminal penalties provided in the Act are subject to adjustment pursuant to 18 U.S.C. 3571.

(c) Attention is also directed to 18 U.S.C. 1001, which provides that whoever, in any matter within the jurisdiction of any department or agency of the United States, knowingly and willfully falsifies, conceals or covers up by any trick, scheme, or device a material fact, or makes any false, fictitious or fraudulent statement or representation or makes or uses any false writing or document knowing the same to contain any false, fictitious or fraudulent statement or entry, shall be fined under title 18, United States Code, or imprisoned not more than five years, or both.

(d) Attention is directed to 18 U.S.C. 2332d, as added by Public Law 104–132, section 321, which provides that, except as provided in regulations issued by the Secretary of the Treasury, in consultation with the Secretary of State, a U.S. person, knowing or having reasonable cause to know that a country is designated under section 6(j) of the Export Administration Act, 50 U.S.C. App. 2405, as a country supporting international terrorism, engages in a financial transaction with the government of that country, shall be fined under title 18, United States Code, or imprisoned for not more than 10 years, or both.


§ 535.703 Presentation responding to prepenalty notice.

(a) Time within which to respond. The named person shall have 30 days from the date of mailing of the prepenalty notice to make a written presentation to the Director.

(b) Form and contents of written presentation. The written presentation need not be in any particular form, but shall contain information sufficient to indicate that it is in response to the prepenalty notice. It should contain responses to the allegations in the prepenalty notice and set forth the reasons why the person believes the penalty should not be imposed or, if imposed, why it should be in a lesser amount than proposed.

[53 FR 7356, Mar. 8, 1988]

§ 535.704 Penalty notice.

(a) No violation. If, after considering any presentations made in response to the prepenalty notice, the Director determines that there was no violation by the person named in the prepenalty notice, he promptly shall notify the person in writing of that determination and that no monetary penalty will be imposed.

(b) Violation. If, after considering any presentations made in response to the prepenalty notice, the Director determines that there was a violation by the person named in the prepenalty notice,
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§ 535.905 Paperwork Reduction Act notice.

For approval by the Office of Management and Budget ("OMB") under the Paperwork Reduction Act of Information collections relating to record-keeping and reporting requirements, to licensing procedures (including those pursuant to statements of licensing policy), and to other procedures, see § 501.901 of this chapter. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid control number assigned by OMB.

§ 536.100 Licensing procedures.

For provisions relating to licensing procedures, see part 501, subpart E, of this chapter. Licensing actions taken pursuant to part 501 of this chapter with respect to the prohibitions contained in this part are considered actions taken pursuant to this part.

[68 FR 36357, Sept. 11, 2003]

§ 536.101 Relation of this part to other laws and regulations.

(a) This part is separate from, and independent of, the other parts of this chapter with the exception of part 501 of this chapter, the recordkeeping and
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§ 536.202 Effect of transfers violating the provisions of this part.

(a) Any transfer after the effective date, which is in violation of any provision of this part or of any regulation, order, directive, ruling, instruction, license, or other authorization hereunder and involves any property held in the name of a specially designated narcotics trafficker or in which a specially designated narcotics trafficker has or has had an interest since such date, is null and void and shall not be the basis for the assertion or recognition of any interest in or right, remedy, power or privilege with respect to such property.

(b) No transfer before the effective date shall be the basis for the assertion or recognition of any right, remedy, power, or privilege with respect to, or interest in, any property held in the name of a specially designated narcotics trafficker or in which a specially designated narcotics trafficker has an interest, or has had an interest since such date, unless the person with whom such property is held or maintained, prior to such date, had written notice of the transfer or by any written evidence had recognized such transfer.

(c) Unless otherwise provided, an appropriate license or other authorization issued by or pursuant to the direction or authorization of the Director of the Office of Foreign Assets Control before, during, or after a transfer shall validate such transfer or render it enforceable to the same extent that it would be valid or enforceable but for the provisions of the International Emergency Economic Powers Act, this part, and any regulation, order, directive, ruling, instruction, or license issued hereunder.

(d) Transfers of property which otherwise would be null and void or unenforceable by virtue of the provisions of this section shall not be deemed to be null and void or unenforceable as to any person with whom such property was held or maintained (and as to such person only) in cases in which such person is able to establish to the satisfaction of the Director of the Office of Foreign Assets Control each of the following:

(1) Such transfer did not represent a willful violation of the provisions of this part by the person with whom such property was held or maintained;

(2) The person with whom such property was held or maintained did not...
§ 536.203 Holding of certain types of blocked property in interest-bearing accounts.

(a)(1) Any person, including a U.S. financial institution, currently holding property subject to §536.201 which, as of the effective date or the date of receipt if subsequent to the effective date, is not being held in an interest-bearing account, or otherwise invested in a manner authorized by the Office of Foreign Assets Control (e.g., §536.504), shall transfer such property to, or hold such property or cause such property to be held in, an interest-bearing account or interest-bearing status in a U.S. financial institution as of the effective date or the date of receipt if subsequent to the effective date of this section, unless otherwise authorized or directed by the Office of Foreign Assets Control.

(b) For purposes of this section, the term interest-bearing account means a blocked account in a U.S. financial institution earning interest at rates that are commercially reasonable for the amount of funds in the account. Except as otherwise authorized, the funds may not be invested or held in instruments the maturity of which exceeds 90 days.

(c) This section does not apply to blocked tangible property, such as chattels, nor does it create an affirmative obligation on the part of the holder of such blocked tangible property to sell or liquidate the property and put the proceeds in a blocked account. However, the Office of Foreign Assets Control may issue licenses permitting or directing sales of tangible property in appropriate cases.

§ 536.204 Evasions; attempts; conspiracies.

Any transaction for the purpose of, or which has the effect of, evading or
avoiding, or which facilitates the evasion or avoidance of, any of the prohibitions set forth in this part, is hereby prohibited. Any attempt to violate the prohibitions set forth in this part is hereby prohibited. Any conspiracy formed for the purpose of engaging in a transaction prohibited by this part is hereby prohibited.

§ 536.205 Exempt transactions.

(a) Personal communications. The prohibitions contained in this part do not apply to any postal, telegraphic, telephonic, or other personal communication, which does not involve the transfer of anything of value.

(b) Information and informational materials. (1) The importation from any country and the exportation to any country of information or informational materials as defined in § 536.306, whether commercial or otherwise, regardless of format or medium of transmission, are exempt from the prohibitions and regulations of this part.

(2) This section does not authorize transactions related to information and informational materials not fully created and in existence at the date of the transactions, or to the substantive or artistic alteration or enhancement of informational materials, or to the provision of marketing and business consulting services by a U.S. person. Such prohibited transactions include, without limitation, payment of advances for informational materials not yet created and completed, provision of services to market, produce or co-produce, create or assist in the creation of information and informational materials, and payment of royalties to a specially designated narcotics trafficker with respect to income received for enhancements or alterations made by U.S. persons to information or informational materials imported from a specially designated narcotics trafficker.

(3) This section does not authorize transactions incident to the exportation of technology that is not informational material as defined in § 536.306(b)(1) or incident to the exportation of goods for use in the transmission of any information.

(c) Travel. The prohibitions contained in this part do not apply to transactions ordinarily incident to travel to or from any country, including importation of accompanied baggage for personal use, maintenance within any country including payment of living expenses and acquisition of goods or services for personal use, and arrangement or facilitation of such travel including non-scheduled air, sea, or land voyages. Any transactions entered into by a specially designated narcotics trafficker while traveling in the United States that are outside the scope of those set forth in this paragraph are in violation of § 536.201.

Subpart C—General Definitions

§ 536.301 Blocked account; blocked property.

The terms blocked account and blocked property shall mean any account or property subject to the prohibition in § 536.201 held in the name of a specially designated narcotics trafficker or in which a specially designated narcotics trafficker has an interest, and with respect to which payments, transfers, exportations, withdrawals, or other dealings may not be made or effected except pursuant to an authorization or license from the Office of Foreign Assets Control authorizing such action.

§ 536.302 Effective date.

The term effective date refers to the effective date of the applicable prohibitions and directives contained in this part which is 12:01 a.m. EDT, October 22, 1995, or, in the case of specially designated narcotics traffickers designated after that date, the earlier of the date on which a person receives actual or constructive notice of such designation.

§ 536.303 Entity.

The term entity means a partnership, association, corporation, or other organization, group or subgroup.

§ 536.304 Foreign person.

The term foreign person means any citizen or national of a foreign state (including any such individual who is also a citizen or national of the United States), or any entity not organized solely under the laws of the United States or existing solely in the United States.
§ 536.305 General license.

The term general license means any license or authorization the terms of which are set forth in this part.

§ 536.306 Information and informational materials.

(a) For purposes of this part, the term information and informational materials means:

1. Publications, films, posters, phonograph records, photographs, microfilms, microfiche, tapes, compact disks, CD ROMs, artworks, and news wire feeds, and other information and informational articles.

2. To be considered informational materials, artworks must be classified under chapter subheading 9701, 9702, or 9703 of the Harmonized Tariff Schedule of the United States.

(b) The terms information and informational materials with respect to U.S. exports do not include items:

1. That were, as of April 30, 1994, or that thereafter become, controlled for export pursuant to section 5 of the Export Administration Act of 1979, 50 U.S.C. App. 2401–2420 (the “EAA”), or section 6 of the EAA to the extent that such controls promote nonproliferation or antiterrorism policies of the United States, including software as defined in 15 CFR part 772 that is not publicly available (see 15 CFR parts 734 and 772); or

2. With respect to which acts are prohibited by 18 U.S.C. chapter 37.

§ 536.307 Interest.

Except as otherwise provided in this part, the term interest when used with respect to property (e.g., “an interest in property”) means an interest of any nature whatsoever, direct or indirect.

§ 536.308 License.

Except as otherwise specified, the term license means any license or authorization contained in or issued pursuant to this part.

§ 536.309 Person.

The term person means an individual or entity.
(1) To play a significant role in international narcotics trafficking centered in Colombia; or

(2) Materially to assist in, or provide financial or technological support for or goods or services in support of, the narcotics trafficking activities of specially designated narcotics traffickers; and

(c) Persons determined by the Secretary of the Treasury, in consultation with the Attorney General and the Secretary of State, to be owned or controlled by, or to act for or on behalf of, any other specially designated narcotics trafficker.

NOTE TO § 536.312: Please refer to the appendices at the end of this chapter for listings of persons determined to fall within this definition who have been designated pursuant to this part. Section 501.807 of this chapter sets forth the procedures to be followed by persons seeking administrative reconsideration of their designation, or who wish to assert that the circumstances resulting in the designation are no longer applicable.

§ 536.313 Specific license.

The term specific license means any license or authorization not set forth in this part but issued pursuant to this part.

§ 536.314 Transfer.

The term transfer means any actual or purported act or transaction, whether or not evidenced by writing, and whether or not done or performed within the United States, the purpose, intent, or effect of which is to create, surrender, release, convey, transfer, or alter, directly or indirectly, any right, remedy, power, privilege, or interest with respect to any property and, without limitation upon the foregoing, shall include the making, execution, or delivery of any assignment, power, conveyance, check, declaration, deed, deed of trust, power of attorney, power of appointment, bill of sale, mortgage, receipt, agreement, contract, certificate, gift, sale, affidavit, or statement; the making of any payment; the setting off of any obligation or credit; the appointment of any agent, trustee, or fiduciary; the creation or transfer of any lien; the issuance, docketing, filing, or levy of or under any judgment, decree, attachment, injunction, execution, or other judicial or administrative process or order, or the service of any garnishment; the acquisition of any interest of any nature whatsoever by reason of a judgment or decree of any foreign country; the fulfillment of any condition; the exercise of any power of appointment, power of attorney, or other power; or the acquisition, disposition, transportation, importation, exportation, or withdrawal of any security.

§ 536.315 United States.

The term United States means the United States, its territories and possessions, and all areas under the jurisdiction or authority thereof.

§ 536.316 United States person; U.S. person.

The term United States person or U.S. person means any United States citizen or national; permanent resident alien; entity organized under the laws of the United States or any jurisdiction within the United States (including foreign branches); or any person in the United States.

§ 536.317 U.S. financial institution.

The term U.S. financial institution means any U.S. person (including foreign branches) that is engaged in the business of accepting deposits, making, granting, transferring, holding, or brokering loans or credits, or purchasing or selling foreign exchange, securities, commodity futures or options, or procuring purchasers and sellers thereof, as principal or agent; including, but not limited to, depository institutions, banks, savings banks, trust companies, securities brokers and dealers, commodity futures and options brokers and dealers, forward contract and foreign exchange merchants, securities and commodities exchanges, clearing corporations, investment companies, employee benefit plans, and U.S. holding companies, U.S. affiliates, or U.S. subsidiaries of any of the foregoing. This term includes those branches, offices and agencies of foreign financial institutions which are located in the United States, but not such institutions' foreign branches, offices, or agencies.
§ 536.401 Reference to amended sections.

Except as otherwise specified, reference to any section of this part or to any regulation, ruling, order, instruction, direction, or license issued pursuant to this part shall be deemed to refer to the same as currently amended.

§ 536.402 Effect of amendment.

Any amendment, modification, or revocation of any section of this part or of any order, regulation, ruling, instruction, or license issued by or under the direction of the Director of the Office of Foreign Assets Control shall not, unless otherwise specifically provided, be deemed to affect any act done or omitted to be done, or any civil or criminal suit or proceeding commenced or pending prior to such amendment, modification, or revocation. All penalties, forfeitures, and liabilities under any such order, regulation, ruling, instruction, or license shall continue and may be enforced as if such amendment, modification, or revocation had not been made.

§ 536.403 Termination and acquisition of an interest in blocked property.

(a) Whenever a transaction licensed or authorized by or pursuant to this part results in the transfer of property (including any property interest) away from a specially designated narcotics trafficker, such property shall no longer be deemed to be property in which a specially designated narcotics trafficker has or has had an interest, or which is held in the name of a specially designated narcotics trafficker, unless there exists in the property another interest of a specially designated narcotics trafficker, the transfer of which has not been effected pursuant to license or other authorization.

(b) Unless otherwise specifically provided in a license or authorization issued pursuant to this part, if property (including any property interest) is transferred or attempted to be transferred to a specially designated narcotics trafficker, such property shall be deemed to be property in which there exists an interest of the specially designated narcotics trafficker.

§ 536.404 Setoffs prohibited.

A setoff against blocked property (including a blocked account), whether by a U.S. bank or other U.S. person, is a prohibited transfer under § 536.201 if effected after the effective date.

§ 536.405 Transactions incidental to a licensed transaction.

Any transaction ordinarily incident to a licensed transaction and necessary to give effect thereto is also authorized, except a transaction by an unlicensed, specially designated narcotics trafficker or involving a debit to a blocked account or a transfer of blocked property not explicitly authorized within the terms of the license.

§ 536.406 Provision of services.

(a) Except as provided in § 536.205, the prohibitions contained in § 536.201 apply to services performed by U.S. persons, wherever located:

(1) On behalf of, or for the benefit of, a specially designated narcotics trafficker; or

(2) With respect to property interests of a specially designated narcotics trafficker.

(b) Example: U.S. persons may not, except as authorized by the Office of Foreign Assets Control by or pursuant to this part, provide legal, accounting, financial, brokering, freight forwarding, transportation, public relations, educational, or other services to a specially designated narcotics trafficker. See § 536.506, with respect to certain authorized legal services.

§ 536.407 Offshore transactions.

The prohibitions contained in § 536.201 apply to transactions by U.S. persons in locations outside the United States with respect to property which the U.S. person knows, or has reason to know, is held in the name of a specially designated narcotics trafficker, or in which the U.S. person knows, or has reason to know, a specially designated narcotics trafficker has or has had an interest since the effective date.
§ 536.408 Alleged change in ownership or control of an entity designated as a specially designated narcotics trafficker.

(a) A change or alleged change in ownership or control of an entity designated as a specially designated narcotics trafficker shall not be the basis for removal of that entity from the list of specially designated narcotics traffickers unless, upon investigation by the Office of Foreign Assets Control and submission of evidence by the entity, it is demonstrated to the satisfaction of the Director of the Office of Foreign Assets Control that the transfer to a bona fide purchaser at arm’s length is legitimate and that the entity no longer meets the criteria for designation under §536.312. Evidence submitted must conclusively demonstrate that all ties with other specially designated narcotics traffickers have been completely severed, and may include, but is not limited to, articles of incorporation; identification of new directors, officers, shareholders, and sources of capital; and contracts evidencing the sale of the entity to its new owners.

(b) Any continuing substantial financial obligations on the part of the new owners to any specially designated narcotics traffickers, including long-term payment plans, leases, or rents, will be considered as evidence of continuing control of the entity by the specially designated narcotics trafficker. Purchase of a designated entity without ongoing substantial financial obligations to a specially designated narcotics trafficker may nonetheless be a basis for subsequent designation of the purchaser, if the transaction is determined materially to assist in or provide financial support for the narcotics trafficking activities of specially designated narcotics traffickers for purposes of §536.312(b)(2). For example, any acquisition transaction resulting in a direct cash transfer to or other enrichment of a specially designated narcotics trafficker could lead to designation of the purchaser. Mere change in name of an entity will not be considered as constituting a change of the entity’s status.

§ 536.409 Credit extended and cards issued by U.S. financial institutions.

The prohibition in §536.201 on dealing in property in which a specially designated narcotics trafficker has an interest prohibits U.S. financial institutions from performing under any existing credit agreements, including, but not limited to, charge cards, debit cards, or other credit facilities issued by a U.S. financial institution to a person designated under this part.

Subpart E—Licenses, Authorizations, and Statements of Licensing Policy

§ 536.501 Effect of license or authorization.

(a) No license or other authorization contained in this part, or otherwise issued by or under the direction of the Director of the Office of Foreign Assets Control, shall be deemed to authorize or validate any transaction effected prior to the issuance of the license, unless specifically provided in such license or authorization.

(b) No regulation, ruling, instruction, or license authorizes any transaction prohibited under this part unless the regulation, ruling, instruction, or license is issued by the Office of Foreign Assets Control and specifically refers to this part. No regulation, ruling, instruction, or license referring to this part shall be deemed to authorize any transaction prohibited by any provision of this chapter unless the regulation, ruling, instruction or license specifically refers to such provision.

(c) Any regulation, ruling, instruction, or license authorizing any transaction otherwise prohibited under this part has the effect of removing a prohibition or prohibitions contained in this part from the transaction, but only to the extent specifically stated by its terms. Unless the regulation, ruling, instruction, or license otherwise specifies, such an authorization does not create any right, duty, obligation, claim, or interest in, or with respect to, any property which would not otherwise exist under ordinary principles of law.
§ 536.502 Exclusion from licenses and authorizations.

The Director of the Office of Foreign Assets Control reserves the right to exclude any person, property, or transaction from the operation of any license, or from the privileges therein conferred, or to restrict the applicability thereof with respect to particular persons, property, transactions, or classes thereof. Such action shall be binding upon all persons receiving actual or constructive notice of such exclusion or restriction.

§ 536.503 Payments and transfers to blocked accounts in U.S. financial institutions.

(a) Any payment of funds or transfer of credit or other financial or economic resources or assets into a blocked account in a U.S. financial institution is authorized, provided that a transfer from a blocked account pursuant to this authorization may only be made to another blocked account held in the same name on the books of the same U.S. financial institution.

(b) This section does not authorize any transfer from a blocked account within the United States to an account held outside the United States.

NOTE TO § 536.503: Please refer to § 501.603 of this chapter for mandatory reporting requirements regarding financial transfers.

§ 536.504 Investment and reinvestment of certain funds.

(a) U.S. financial institutions are hereby authorized and directed to invest and reinvest assets held in blocked accounts in the name of a specially designated narcotics trafficker, subject to the following conditions:

(1) The assets representing such investments and reinvestments are credited to a blocked account or sub-account which is in the name of the specially designated narcotics trafficker and which is located in the United States or within the possession or control of a U.S. person; and

(2) The proceeds of such investments and reinvestments are not credited to a blocked account or sub-account under any name or designation which differs from the name or designation of the specific blocked account or sub-account in which such funds or securities were held; and

(3) No immediate financial or economic benefit or access accrues (e.g., through pledging or other use) to the specially designated narcotics trafficker.

(b)(1) U.S. persons seeking to avail themselves of this authorization must register with the Office of Foreign Assets Control, Blocked Assets Division, before undertaking transactions authorized under this section.

(2) Transactions conducted pursuant to this section must be reported to the Office of Foreign Assets Control, Blocked Assets Division, in a report filed no later than 10 business days following the last business day of the month in which the transactions occurred.

§ 536.505 Entries in certain accounts for normal service charges authorized.

(a) U.S. financial institutions are hereby authorized to debit any blocked account with such U.S. financial institution in payment or reimbursement for normal service charges owed to such U.S. financial institution by the owner of such blocked account.

(b) As used in this section, the term normal service charge shall include charges in payment or reimbursement for interest due; cable, telegraph, or telephone charges; postage costs; custody fees; small adjustment charges to correct bookkeeping errors; and, but not by way of limitation, minimum balance charges, notary and protest fees, and charges for reference books, photostats, credit reports, transcripts of statements, registered mail, insurance, stationery and supplies, check books, and other similar items.

§ 536.506 Provision of certain legal services authorized.

(a) The provision to or on behalf of a specially designated narcotics trafficker of the legal services set forth in paragraph (b) of this section is authorized, provided that all receipt of payment therefor must be specifically licensed.
(b) Specific licenses may be issued, on a case-by-case basis, authorizing receipt of payment of professional fees and reimbursement of incurred expenses for the following legal services by U.S. persons to a specially designated narcotics trafficker:

1. Provision of legal advice and counseling on the requirements of and compliance with the laws of any jurisdiction within the United States, provided that such advice and counseling is not provided to facilitate transactions that would violate any of the prohibitions contained in this part;

2. Representation of a specially designated narcotics trafficker when named as a defendant in or otherwise made a party to domestic United States legal, arbitration, or administrative proceedings;

3. Initiation of domestic United States legal, arbitration, or administrative proceedings in defense of property interests subject to U.S. jurisdiction of a specially designated narcotics trafficker;

4. Representation before any federal or state agency with respect to the imposition, administration, or enforcement of United States sanctions against significant narcotics traffickers centered in Colombia or specially designated narcotics traffickers; and

5. Provision of legal services in any other context in which prevailing United States law requires access to legal counsel at public expense.

(c) The provision of any other legal services to a specially designated narcotics trafficker, not otherwise authorized in or exempted by this part, requires the issuance of a specific license.

(d) Entry into a settlement agreement affecting property or interests in property of a specially designated narcotics trafficker or the enforcement of any lien, judgment, arbitral award, decree, or other order through execution, garnishment or other judicial process purporting to transfer or otherwise alter or affect a property interest of a specially designated narcotics trafficker is prohibited unless specifically licensed in accordance with §536.202(e).

§536.507 Authorization of emergency medical services.

The provision of nonscheduled emergency medical services to a specially designated narcotics trafficker located in the United States is authorized, provided that any payment for such services requires prior authorization by specific license.

Subpart F—Reports

§536.601 Records and reports.

For provisions relating to records and reports, see subpart C of part 501 of this chapter.

§536.701 Penalties.

(a) Attention is directed to section 206 of the International Emergency Economic Powers Act (50 U.S.C. 1705—the “Act”), which is applicable to violations of the provisions of any license, ruling, regulation, order, direction or instruction issued by or pursuant to the direction or authorization of the Secretary of the Treasury pursuant to this part or otherwise under the Act.

1. A civil penalty not to exceed the amount set forth in Section 206 of the Act may be imposed on any person who violates, attempts to violate, conspires to violate, or causes a violation of any license, order, regulation, or prohibition issued under the Act.

NOTE TO PARAGRAPH (A)(1) OF §536.701: As of June 10, 2008, the Act provides for a maximum civil penalty not to exceed the greater of $250,000 or an amount that is twice the amount of the transaction that is the basis of the violation with respect to which the penalty is imposed.

2. A person who willfully commits, willfully attempts to commit, or willfully conspires to commit, or aids or abets in the commission of a violation of any license, order, regulation, or prohibition shall, upon conviction, be fined not more than $1,000,000, or if a natural person, may be imprisoned for not more than 20 years, or both.

(b) Adjustments to penalty amounts.

The civil penalties provided in the Act are subject to adjustment pursuant to the Federal Civil Penalties Inflation

(2) The criminal penalties provided in the Act are subject to adjustment pursuant to 18 U.S.C. 3571.

(c) Attention is also directed to 18 U.S.C. 1001, which provides that whoever, in any matter within the jurisdiction of any department or agency of the United States, knowingly and willfully falsifies, conceals or covers up by any trick, scheme, or device a material fact, or makes any false, fictitious or fraudulent statements or representations or makes or uses any false writing or document knowing the same to contain any false, fictitious or fraudulent statement or entry, shall be fined under title 18, United States Code, or imprisoned not more than five years, or both.

(d) Violations of this part may also be subject to relevant provisions of other applicable laws.


§ 536.703 Response to prepenalty notice.

(a) Time within which to respond. The respondent shall have 30 days from the date of mailing of the prepenalty notice to respond in writing to the Director of the Office of Foreign Assets Control.

(b) Form and contents of written response. The written response need not be in any particular form, but shall contain information sufficient to indicate that it is in response to the prepenalty notice. It should respond to the allegations in the prepenalty notice and set forth the reasons why the person believes the penalty should not be imposed or, if imposed, why it should be in a lesser amount than proposed.

(c) Informal settlement. In addition or as an alternative to a written response to a prepenalty notice pursuant to this section, the respondent or respondent’s representative may contact the Office of Foreign Assets Control as advised in the prepenalty notice to propose the settlement of allegations contained in the prepenalty notice and related matters. In the event of settlement at the prepenalty stage, the prepenalty notice will be withdrawn, the respondent is not required to take a written position on allegations contained in the prepenalty notice, and the Office of Foreign Assets Control will make no final determination as to whether a violation occurred. The amount accepted in settlement of allegations in a prepenalty notice may vary from the civil penalty that might finally be imposed in the event of a formal determination of violation. In the event no settlement is reached, the 30–day period specified in paragraph (a) of this section for written response to the prepenalty notice remains in effect unless additional time is granted by the Office of Foreign Assets Control.

§ 536.704 Penalty notice.

(a) No violation. If, after considering any written response to the prepenalty notice and any relevant facts, the Director of the Office of Foreign Assets Control determines that there was no violation of any provision of this part or a violation of the provisions of any license, ruling, regulation, order, direction or instruction issued by or pursuant to the direction or authorization of the Secretary of the Treasury pursuant to this part or otherwise under the International Emergency Economic Powers Act, and the Director determines that further proceedings are warranted, he shall issue to the person concerned a notice of his intent to impose a monetary penalty. The prepenalty notice may be issued whether or not another agency has taken any action with respect to this matter.

(b) Contents—(1) Facts of violation. The prepenalty notice shall describe the violation, specify the laws and regulations allegedly violated, and state the amount of the proposed monetary penalty.

(2) Right to respond. The prepenalty notice also shall inform the respondent of respondent’s right to respond to the notice within 30 days of its mailing as to why a monetary penalty should not be imposed, or, if imposed, why it should be in a lesser amount than proposed.
Control determines that there was no violation by the respondent named in the prepenalty notice, the Director promptly shall notify the respondent in writing of that determination and that no monetary penalty will be imposed.

(b) Violation. If, after considering any written response to the prepenalty notice and any relevant facts, the Director of the Office of Foreign Assets Control determines that there was a violation by the respondent named in the prepenalty notice, the Director promptly shall issue a written notice of the imposition of the monetary penalty or other available disposition on the respondent.

§ 536.705 Administrative collection; referral to United States Department of Justice.

In the event that the respondent does not pay the penalty imposed pursuant to this part or make payment arrangements acceptable to the Director of the Office of Foreign Assets Control within 30 days of the mailing of the written notice of the imposition of the penalty, the matter may be referred for administrative collection measures or to the United States Department of Justice for appropriate action to recover the penalty in a civil suit in a Federal district court.

Subpart H—Procedures

§ 536.801 Procedures.

For license application procedures and procedures relating to amendments, modifications, or revocations of licenses; administrative decisions; rulemaking; and requests for documents pursuant to the Freedom of Information and Privacy Acts (5 U.S.C. 552 and 552a), see part 501, subpart E, of this chapter.

§ 536.802 Delegation by the Secretary of the Treasury.

Any action which the Secretary of the Treasury is authorized to take pursuant to Executive Order 12978 or any further executive orders relating to the national emergency declared in Executive Order 12978 may be taken by the Director of the Office of Foreign Assets Control, or by any other person to whom the Secretary of the Treasury has delegated authority so to act.


Subpart I—Paperwork Reduction Act

§ 536.901 Paperwork Reduction Act notice.

For approval by the Office of Management and Budget (“OMB”) under the Paperwork Reduction Act of information collections relating to record-keeping and reporting requirements, to licensing procedures (including those pursuant to statements of licensing policy), and to other procedures, see §501.901 of this chapter. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid control number assigned by OMB.

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§ 537.101 Relation of this part to other laws and regulations.

This part is separate from, and independent of, the other parts of this chapter, with the exception of part 501 of this chapter, the recordkeeping and reporting requirements and license application and other procedures of which apply to this part. Actions taken pursuant to part 501 of this chapter with respect to the prohibitions contained in this part are considered actions taken pursuant to this part. Differing foreign policy and national security circumstances may result in differing interpretations of similar language among the parts of this chapter. No license or authorization contained in or issued pursuant to those other parts authorizes any transaction prohibited by this part. No license or authorization contained in or issued pursuant to any other provision of law or regulation authorizes any transaction prohibited by this part. No license or authorization contained in or issued pursuant to this part relieves the involved parties from complying with any other applicable laws or regulations.

Subpart B—Prohibitions

§ 537.201 Prohibited transactions involving certain blocked property.

(a) Except as authorized by regulations, orders, directives, rulings, instructions, licenses or otherwise, and notwithstanding any contracts entered into or any license or permit granted prior to 12:01 a.m. eastern daylight time, July 29, 2003, all property and interests in property of the following persons that are in the United States, that hereafter come within the United States, or that are or hereafter come within the possession or control of U.S. persons, including their overseas branches, are blocked and may not be transferred, paid, exported, withdrawn or otherwise dealt in:

(1) Any person listed in the Annex to Executive Order 13310 of July 28, 2003 (68 FR 4853, July 30, 2003); and

(2) Any person determined by the Secretary of the Treasury, in consultation with the Secretary of State,

(i) To be a senior official of the Government of Burma, the State Peace and Development Council of Burma, the Union Solidarity and Development Association of Burma, or any successor entity to any of the foregoing, or

(ii) To be owned or controlled by, or acting or purporting to act for or on behalf of, directly or indirectly, any person whose property or interests in property are blocked pursuant to paragraph (a) of this section.

NOTE TO PARAGRAPH (a) OF § 537.201: The names of persons whose property or interests in property are blocked pursuant to § 537.201(a) are announced in the FEDERAL REGISTER, published on OFAC's Web site, and incorporated on an ongoing basis with the identifier [BURMA] into Appendix A to this chapter V.

(b) Unless otherwise authorized by this part or by a specific license expressly referring to this section, any dealing in any security (or evidence thereof) held within the possession or control of a U.S. person and either registered or inscribed in the name of or known to be held for the benefit of any person whose property or interests in property are blocked pursuant to paragraph (a) of this section is prohibited. This prohibition includes but is not limited to the transfer (including the transfer on the books of any issuer or agent thereof), disposition, transportation, importation, exportation, or withdrawal of any such security or the endorsement or guaranty of signatures on any such security. This prohibition applies irrespective of the fact that at any time (whether prior to, on, or subsequent to 12:01 a.m. eastern daylight time, July 29, 2003) the registered or inscribed owner of any such security may have or might appear to have assigned, transferred, or otherwise disposed of the security.
§ 537.202 Prohibited exportation or re-exportation of financial services to Burma.

Except as authorized, and notwithstanding any contracts entered into or any license or permit granted prior to July 29, 2003, the exportation or re-exportation of financial services to Burma, directly or indirectly, from the United States or by a U.S. person, wherever located, is prohibited.

§ 537.203 Prohibited importation of products of Burma.

Except as otherwise authorized, and notwithstanding any contracts entered into or any license or permit granted prior to August 28, 2003, the importation into the United States of any article that is a product of Burma is prohibited.

NOTE TO § 537.203: Section 3(b) of the Burmese Freedom and Democracy Act of 2003 provides that the prohibition contained in this section may be waived by the President for any or all articles that are a product of Burma if the President determines and notifies specified committees of Congress that to do so is in the national interest of the United States. Therefore, the Office of Foreign Assets Control will not issue licenses authorizing transactions prohibited under this section in the absence of such a waiver process.

§ 537.204 Prohibited new investment in Burma.

Except as otherwise authorized, new investment, as defined in § 537.311, in Burma by U.S. persons is prohibited.

NOTE TO § 537.204: Section 570 of the Foreign Operations, Export Financing, and Related Programs Appropriations Act, 1997 (Public L. 104–208), provides that the prohibition contained in this section may be waived if the President determines and notifies Congress that to do so is in the national interest of the United States. Licenses are thus not available for purposes of authorizing transactions prohibited under this section in the absence of such a waiver process.

§ 537.205 Prohibited facilitation.

(a) Except as otherwise authorized, U.S. persons, wherever located, are prohibited from approving, financing, facilitating, or guaranteeing a transaction by a person who is a foreign person where the transaction would be prohibited if performed by a U.S. person or within the United States.

(b) With respect to new investment in Burma, the prohibition against facilitation does not include the entry into, performance of, or financing of a contract to sell or purchase goods, services, or technology unless such contract includes any of the activities described in § 537.311(a)(2), (3) or (4).

NOTE TO § 537.205: This section’s prohibitions include, but are not limited to, the approval, financing, facilitation, or guarantee of transactions prohibited by either section 570 of the Foreign Operations, Export Financing, and Related Programs Appropriations Act, 1997 (Public L. 104–208), or the Burmese Freedom and Democracy Act of 2003 (Public L. 108–61). The prohibitions of these two statutes may be waived by the President upon the making of certain determinations and notification to Congress. Therefore, the Office of Foreign Assets Control will not issue licenses authorizing the approval, financing, facilitation, or guarantee of the transactions prohibited by these statutes if Congress is not notified.

§ 537.206 Evasions; attempts; conspiracies.

(a) Any transaction by a U.S. person or within the United States on or after the effective date that evades or avoids, has the purpose of evading or avoiding, or attempts to violate any of the prohibitions set forth in this part is prohibited.

(b) Any conspiracy formed to violate any of the prohibitions set forth in this part is prohibited.

NOTE TO § 537.206: See § 537.303 for a definition of the term effective date.

§ 537.207 Effect of transfers violating the provisions of this part.

(a) Any transfer after July 28, 2003, that is in violation of any provision of this part or of any regulation, order, directive, ruling, instruction, or license issued pursuant to this part, and that involves any property or interest in property blocked pursuant to § 537.201(a), is null and void and shall not be the basis for the assertion or recognition of any interest in or right,
remedy, power, or privilege with respect to such property or property interests.

(b) No transfer before July 29, 2003 shall be the basis for the assertion or recognition of any right, remedy, power, or privilege with respect to, or any interest in, any property or interest in property blocked pursuant to §537.201(a), unless the person with whom such property is held or maintained, prior to that date, had written notice of the transfer or by any written evidence had recognized such transfer.

(c) Unless otherwise provided, an appropriate license or other authorization issued by or pursuant to the direction or authorization of the Director of the Office of Foreign Assets Control before, during, or after a transfer shall validate such transfer or make it enforceable to the same extent that it would be valid or enforceable but for the provisions of the International Emergency Economic Powers Act (50 U.S.C. 1701–1706), this part, and any regulation, order, directive, ruling, instruction, or license issued pursuant to this part.

(d) Transfers of property that otherwise would be null and void or unenforceable by virtue of the provisions of this section shall not be deemed to be null and void or unenforceable as to any person with whom such property was held or maintained (and as to such person only) in cases in which such person is able to establish to the satisfaction of the Director of the Office of Foreign Assets Control each of the following:

(1) Such transfer did not represent a willful violation of the provisions of this part by the person with whom such property was held or maintained;

(2) The person with whom such property was held or maintained did not have reasonable cause to know or suspect, in view of all the facts and circumstances known or available to such person, that such transfer required a license or authorization issued pursuant to this part and was not so licensed or authorized, or, if a license or authorization did purport to cover the transfer, that such license or authorization had been obtained by misrepresentation of a third party or withholding of material facts or was otherwise fraudulently obtained; and

(3) The person with whom such property was held or maintained filed with the Office of Foreign Assets Control a report setting forth in full the circumstances relating to such transfer promptly upon discovery that:

(i) Such transfer was in violation of the provisions of this part or any regulation, ruling, instruction, license, or other direction or authorization issued pursuant to this part;

(ii) Such transfer was not licensed or authorized by the Director of the Office of Foreign Assets Control; or

(iii) If a license did purport to cover the transfer, such license had been obtained by misrepresentation of a third party or withholding of material facts or was otherwise fraudulently obtained.

NOTE TO PARAGRAPH (d) OF §537.207: The filing of a report in accordance with the provisions of paragraph (d)(3) of this section shall not be deemed evidence that the terms of paragraphs (d)(1) and (d)(2) of this section have been satisfied.

(e) Except to the extent otherwise provided by law or unless licensed pursuant to this part, any attachment, judgment, decree, lien, execution, garnishment, or other judicial process is null and void with respect to any property in which, at or since 12:01 a.m. eastern daylight time, July 29, 2003, there existed an interest of a person whose property or interests in property are blocked pursuant to §537.201(a).

§537.208 Holding of funds in interest-bearing accounts; investment and reinvestment.

(a) Except as provided in paragraph (c) or (d) of this section, or as otherwise directed by the Office of Foreign Assets Control, any U.S. person holding funds, such as currency, bank deposits, or liquidated financial obligations, subject to §537.201(a) shall hold or place such funds in a blocked interest-bearing account located in the United States.

(b)(1) For purposes of this section, the term blocked interest-bearing account means a blocked account:

(i) In a federally-insured U.S. bank, thrift institution, or credit union, provided the funds are earning interest at
rates that are commercially reasonable; or

(ii) With a broker or dealer registered with the Securities and Exchange Commission under the Securities Exchange Act of 1934, provided the funds are invested in a money market fund or in U.S. Treasury bills.

(2) For purposes of this section, a rate is commercially reasonable if it is the rate currently offered to other depositors on deposits or instruments of comparable size and maturity.

(3) Funds held or placed in a blocked account pursuant to this paragraph (b) may not be invested in instruments the maturity of which exceeds 180 days. If interest is credited to a separate blocked account or subaccount, the name of the account party on each account must be the same.

(c) Blocked funds held in instruments the maturity of which exceeds 180 days at the time the funds become subject to §537.201(a) may continue to be held until maturity in the original instrument, provided any interest, earnings, or other proceeds derived therefrom are paid into a blocked interest-bearing account in according with paragraph (b) or (d) of this section.

(d) Blocked funds held in accounts or instruments outside the United States at the time the funds become subject to §537.201(a) may continue to be held in the same type of accounts or instruments, provided the funds earn interest at rates that are commercially reasonable.

(e) This section does not create an affirmative obligation for the holder of blocked tangible property, such as chattels or real estate, or of other blocked property, such as debt or equity securities, to sell or liquidate such property at the time the property becomes subject to §537.201(a). However, the Office of Foreign Assets Control may issue licenses permitting or directing such sales in appropriate cases.

(f) Funds subject to this section may not be held, invested, or reinvested in a manner that provides immediate financial or economic benefit or access to any person whose property or interests in property are blocked pursuant to §537.201(a), nor may their holder cooperate in or facilitate the pledging or other attempted use as collateral of blocked funds or other assets.

§ 537.209 Expenses of maintaining blocked property; liquidation of blocked account.

(a) Except as otherwise authorized, and notwithstanding the existence of any rights or obligations conferred or imposed by any international agreement or contract entered into or any license or permit granted before 12:01 a.m. eastern daylight time, July 29, 2003, all expenses incident to the maintenance of physical property blocked pursuant to §537.201(a) shall be the responsibility of the owners or operators of such property, which expenses shall not be met from blocked funds.

(b) Property blocked pursuant to §537.201(a) may, in the discretion of the Director, Office of Foreign Assets Control, be sold or liquidated and the net proceeds placed in a blocked interest-bearing account in the name of the owner of the property.

§ 537.210 Exempt transactions.

(a) Personal communications. The prohibitions contained in this part, other than those set forth in §537.203, do not apply to any postal, telegraphic, telephonic, or other personal communication that does not involve the transfer of anything of value.

(b) Information or informational materials. (1) The prohibitions contained in this part, other than those set forth in §537.203, do not apply to the importation from any country, or the exportation to any country, of information or informational materials, regardless of format or medium of transmission.

NOTE TO PARAGRAPH (b)(1) OF §537.210: Section 537.203 prohibits the importation of products of Burma into the United States pursuant to the Burmese Freedom and Democracy Act of 2003. Therefore, the importation into the United States of information or informational materials that are products of Burma is not exempt from the prohibition set forth in §537.203. However, such transactions are authorized by the general license set forth in §537.515.

(2) Property blocked pursuant to §537.201(a) may be sold or liquidated and the net proceeds placed in an interest-bearing account in the name of the owner of the property.

Note to Paragraph (b)(1) of §537.210: Section 537.203 prohibits the importation of products of Burma into the United States pursuant to the Burmese Freedom and Democracy Act of 2003. Therefore, the importation into the United States of information or informational materials that are products of Burma is not exempt from the prohibition set forth in §537.203. However, such transactions are authorized by the general license set forth in §537.515.

(2) This section does not exempt from regulation or authorize transactions related to information or informational materials not fully created and
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§ 537.302 Economic development of resources located in Burma

(a) The term economic development of resources located in Burma means activities pursuant to a contract the subject of which includes responsibility for the development or exploitation of resources located in Burma, including making or attempting to make those resources accessible or available for exploitation or economic use. The term shall not be construed to include not-for-profit educational, health, or other humanitarian programs or activities.

(b) Examples: The economic development of resources located in Burma includes a contract conferring rights to explore for, develop, extract, or refine petroleum, natural gas, or minerals in the ground in Burma; or a contract to assume control of a mining operation in Burma, acquire a forest or agricultural area for commercial use of the
§ 537.303 Effective date.

The term effective date refers to the effective date of the applicable prohibitions and directives contained in this part as follows:

(a) With respect to prohibited transfers or other dealings in blocked property or interests in property of persons listed in the Annex to Executive Order 13310 of July 28, 2003 (68 FR 44853, July 30, 2003), 12:01 a.m. eastern daylight time, July 29, 2003;

(b) With respect to prohibited transfers or other dealings in blocked property or interests in property of persons designated pursuant to §537.201(a)(2), the earlier of the date on which either actual notice or constructive notice is received of such person’s designation;

(c) With respect to the exportation or reexportation of financial services to Burma prohibited by §537.202, 12:01 a.m. eastern daylight time, July 29, 2003;

(d) With respect to the importation into the United States of products of Burma prohibited by §537.203, 12:01 a.m. eastern daylight time, August 28, 2003;

(e) With respect to new investment prohibited by §537.204, 12:01 a.m. eastern daylight time, May 21, 1997.

§ 537.304 Entity.

The term entity means a partnership, association, trust, joint venture, corporation, group, subgroup, or other organization.

§ 537.305 Exportation or reexportation of financial services to Burma.

The term exportation or reexportation of financial services to Burma means:

(a) The transfer of funds, directly or indirectly, from the United States or by a U.S. person, wherever located, to Burma; or

(b) The provision, directly or indirectly, to persons in Burma of insurance services, investment or brokerage services (including but not limited to brokering or trading services regarding securities, debt, commodities, options or foreign exchange), banking services, money remittance services; loans, guarantees, letters of credit or other extensions of credit; or the service of selling or redeeming traveler’s checks, money orders and stored value.

Note to §537.305: This defined term has not appeared in other parts of 31 CFR chapter V and is specifically tailored to further the goals of the sanctions prohibitions set forth in this part.

§ 537.306 Foreign person.

The term foreign person means any person that is not a U.S. person.

§ 537.307 Government of Burma.

The term Government of Burma means the Government of Burma (sometimes referred to as Myanmar), its agencies, instrumentalities and controlled entities, and the Central Bank of Burma.

§ 537.308 Information or informational materials.

(a) For purposes of this part, the term information or informational materials includes, but is not limited to, publications, films, posters, phonograph records, photographs, microfilms, microfiche, tapes, compact disks, CD ROMs, artworks, and news wire feeds.

Note to paragraph (a) of §537.307: To be considered information or informational materials, artworks must be classified under chapter heading 9701, 9702, or 9703 of the Harmonized Tariff Schedule of the United States.

(b) The term information or informational materials, with respect to United States exports, does not include items:

(1) That were, as of April 30, 1994, or that thereafter become, controlled for export pursuant to section 5 of the Export Administration Act of 1979, 50 U.S.C. App. 2401–2420 (1979) (the “EAA”), or section 6 of the EAA to the extent that such controls promote the nonproliferation or antiterrorism policies of the United States; or

(2) With respect to which acts are prohibited by 18 U.S.C. chapter 37.

§ 537.309 Interest.

Except as otherwise provided in this part, the term interest when used with respect to property (e.g., “an interest in property”) means an interest of any nature whatsoever, direct or indirect.
§ 537.310 Licenses; general and specific.

(a) Except as otherwise specified, the term license means any license or authorization contained in or issued pursuant to this part.

(b) The term general license means any license or authorization the terms of which are set forth in subpart E of this part.

(c) The term specific license means any license or authorization not set forth in subpart E of this part but issued pursuant to this part.

NOTE TO § 537.309: See § 501.801 of this chapter on licensing procedures.

§ 537.311 New investment.

(a) The term new investment means any of the following activities if such activity is undertaken pursuant to an agreement, or pursuant to the exercise of rights under such an agreement, that is entered into with the Government of Burma or a nongovernmental entity in Burma on or after May 21, 1997:

(1) The entry into a contract that includes the economic development of resources located in Burma, as defined in § 537.302;

(2) The entry into a contract providing for the general supervision and guarantee of another person’s performance of a contract that includes the economic development of resources located in Burma;

(3) The purchase of a share of ownership, including an equity interest, in the economic development of resources located in Burma; or

(4) The entry into a contract providing for the participation in royalties, earnings, or profits in the economic development of resources located in Burma, without regard to the form of the participation.

(b) The term new investment shall not include the entry into, performance of, or financing of a contract to sell or purchase goods, services, or technology unless such contract includes any of the activities described in paragraph (a)(2), (a)(3) or (a)(4) of this section.

§ 537.312 Nongovernmental entity in Burma.

The term nongovernmental entity in Burma means a partnership, association, trust, joint venture, corporation, or other organization, wherever organized, that is located in Burma or exists for the exclusive or predominant purpose of engaging in the economic development of resources located in Burma or derives its income predominantly from such economic development, and is not the Government of Burma.

§ 537.313 Person.

The term person means an individual or entity.

§ 537.314 Product of Burma.

The term product of Burma means goods of Burmese origin pursuant to rules of origin of U.S. Customs and Border Protection.

§ 537.315 Property; property interest.

The terms property and property interest include, but are not limited to, money, checks, drafts, bullion, bank deposits, savings accounts, debts, indebtedness, obligations, notes, guarantees, debentures, stocks, bonds, coupons, any other financial instruments, bankers acceptances, mortgages, pledges, liens or other rights in the nature of security, warehouse receipts, bills of lading, trust receipts, bills of sale, any other evidences of title, ownership or indebtedness, letters of credit and any documents relating to any rights or obligations thereunder, powers of attorney, goods, wares, merchandise, chattels, stocks on hand, ships, goods on ships, real estate mortgages, deeds of trust, vendors’ sales agreements, land contracts, leaseholds, ground rents, real estate and any other interest therein, options, negotiable instruments, trade acceptances, royalties, book accounts, accounts payable, judgments, patents, trademarks or copyrights, insurance policies, safe deposit boxes and their contents, annuities, pooling agreements, services of any nature whatsoever, contracts of any nature whatsoever, and any other...
§ 537.316 Resources located in Burma.

The term resources located in Burma means any resources, including natural, agricultural, commercial, financial, industrial and human resources, located within the territory of Burma, including the territorial sea, or located within the exclusive economic zone or continental shelf of Burma.

§ 537.317 Transfer.

The term transfer means any actual or purported act or transaction, whether or not evidenced by writing, and whether or not done or performed within the United States, the purpose, intent, or effect of which is to create, surrender, release, convey, transfer, or alter, directly or indirectly, any right, remedy, power, privilege, or interest with respect to any property and, without limitation upon the foregoing, shall include the making, execution, or delivery of any assignment, power, conveyance, check, declaration, deed, deed of trust, power of attorney, power of appointment, bill of sale, mortgage, receipt, agreement, contract, certificate, gift, sale, affidavit, or statement; the making of any payment; the setting off of any obligation or credit; the appointment of any agent, trustee, or fiduciary; the creation or transfer of any lien; the issuance, docketing, filing, or levy of or under any judgment, decree, attachment, injunction, execution, or other judicial or administrative process or order, or the service of any garnishment; the acquisition of any interest of any nature whatsoever by reason of a judgment or decree of any foreign country; the fulfillment of any condition; the exercise of any power of appointment, power of attorney, or other power; or the acquisition, disposition, transportation, importation, exportation, or withdrawal of any security.

§ 537.318 United States.

The term United States means the United States, its territories and possessions, and all areas under the jurisdiction or authority thereof.

§ 537.319 U.S. depository institution.

The term U.S. depository institution means any entity (including its foreign branches) organized under the laws of the United States or of any jurisdiction within the United States, or any agency, office or branch located in the United States of a foreign entity, that is engaged primarily in the business of banking (for example, banks, savings banks, savings associations, credit unions, trust companies and United States bank holding companies) and is subject to regulation by federal or state banking authorities.

§ 537.320 U.S. financial institution.

The term U.S. financial institution means any U.S. entity (including foreign branches) that is engaged in the business of accepting deposits, making, granting, transferring, holding, or brokering loans or credits, or purchasing or selling foreign exchange, securities, commodity futures or options, or procuring purchasers and sellers thereof, as principal or agent; including, but not limited to, depository institutions, banks, savings banks, trust companies, securities brokers and dealers, commodity futures and options brokers and dealers, forward contract and foreign exchange merchants, securities and commodities exchanges, clearing corporations, investment companies, employee benefit plans, and U.S. holding companies, U.S. affiliates, or U.S. subsidiaries of any of the foregoing. This term includes those branches, offices and agencies of foreign financial institutions that are located in the United States, but not such institutions' foreign branches, offices, or agencies.

§ 537.321 U.S. person.

The term U.S. person means any United States citizen, permanent resident alien, entity organized under the laws of the United States or any jurisdiction within the United States (including foreign branches), or any person in the United States.
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§ 537.322 U.S. registered broker or dealer in securities.

The term U.S. registered broker or dealer in securities means any U.S. citizen, permanent resident alien, or entity organized under the laws of the United States or of any jurisdiction within the United States, including its foreign branches, or any agency, office or branch of a foreign entity located in the United States, that:

(a) Is a “broker” or “dealer” in securities within the meanings set forth in the Securities Exchange Act of 1934;
(b) Holds or clears customer accounts; and
(c) Is registered with the Securities and Exchange Commission under the Securities Exchange Act of 1934.

§ 537.323 U.S. registered money transmitter.

The term U.S. registered money transmitter means any U.S. citizen, permanent resident alien, or entity organized under the laws of the United States or of any jurisdiction within the United States, including its foreign branches, or any agency, office or branch of a foreign entity located in the United States, that is a money transmitter, as defined in 31 CFR 103.11(uu)(5), and that is registered pursuant to 31 CFR 103.41.

Subpart D—Interpretations

§ 537.401 Reference to amended sections.

Except as otherwise specified, reference to any provision in or appendix to this part or chapter or to any regulation, ruling, order, instruction, direction, or license issued pursuant to this part refers to the same as currently amended.

§ 537.402 Effect of amendment.

Unless otherwise specifically provided, any amendment, modification, or revocation of any provision in or appendix to this part or chapter or of any order, regulation, ruling, instruction, or license issued by or under the direction of the Director of the Office of Foreign Assets Control does not affect any act done or omitted, or any civil or criminal suit or proceeding commenced or pending prior to such amendment, modification, or revocation. All penalties, forfeitures, and liabilities under any such order, regulation, ruling, instruction, or license continue and may be enforced as if such amendment, modification, or revocation had not been made.

§ 537.403 Termination and acquisition of an interest in blocked property.

(a) Whenever a transaction licensed or authorized by or pursuant to this part results in the transfer of property (including any property interest) away from a person, such property shall no longer be deemed to be property blocked pursuant to §537.201(a), unless there exists in the property another interest that is blocked pursuant to §537.201(a) or any other part of this chapter, the transfer of which has not been effected pursuant to license or other authorization.

(b) Unless otherwise specifically provided in a license or authorization issued pursuant to this part, if property (including any property interest) is transferred or attempted to be transferred to a person whose property or interests in property are blocked pursuant to §537.201(a), such property shall be deemed to be property in which that person has an interest and therefore blocked.

§ 537.404 Transactions incidental to a licensed transaction authorized.

(a) Any transaction ordinarily incident to a licensed transaction and necessary to give effect thereto is also authorized, except:

(1) A transaction, not explicitly authorized within the terms of the license, by or with a person whose property or interests in property are blocked pursuant to §537.201(a), except as provided in paragraph (b) of this section; or

(2) A transaction, not explicitly authorized within the terms of the license, involving a debit to a blocked account or a transfer of blocked property, except as provided in paragraph (b) of this section.

(b) Transactions licensed pursuant to subpart E of this part and those transactions falling within the scope of paragraph (a) of this section are authorized even though they may involve
§ 537.405 Provision of services.

(a) Except as provided in § 537.210, the prohibitions on transactions involving blocked property contained in § 537.201 apply to services performed in the United States or by U.S. persons, wherever located, including by an overseas branch of an entity located in the United States:

(1) On behalf of or for the benefit of a person whose property or interests in property are blocked pursuant to § 537.201(a); or

(2) With respect to property interests subject to § 537.201.

(b) Example: U.S. persons may not, except as authorized by or pursuant to this part, provide legal, accounting, financial, brokering, freight forwarding, transportation, public relations, or other services to a person whose property or interests in property are blocked pursuant to § 537.201(a).

NOTE TO § 537.405: See §§ 537.507 and 537.508 on licensing policy with regard to the provision of certain legal or medical services, respectively.

§ 537.406 Offshore transactions.

The prohibitions in § 537.201 on transactions involving blocked property apply to transactions by any U.S. person in a location outside the United States with respect to property that the U.S. person knows, or has reason to know, is held in the name of a person whose property or interests in property are blocked pursuant to § 537.201(a) or in which the U.S. person knows, or has reason to know, a person whose property or interests in property are blocked pursuant to § 537.201(a) has or has had an interest since the effective date.

§ 537.407 Payments from blocked accounts to satisfy obligations prohibited.

Pursuant to § 537.201, no debits may be made to a blocked account to pay obligations to U.S. persons or other persons, except as authorized by or pursuant to this part.

§ 537.408 Setoffs prohibited.

A setoff against blocked property (including a blocked account), whether by a U.S. bank or other U.S. person, is a prohibited transfer under § 537.201 if effectuated after the effective date.

§ 537.409 Activities under pre-May 21, 1997 agreements.

Section 537.210(c) exempts from all prohibitions contained in this part, except those contained in § 537.203, activities undertaken by a U.S. person pursuant to an agreement entered into prior to May 21, 1997, between a U.S. person and the Government of Burma or a nongovernmental entity in Burma. A U.S. person who is a party to a pre-May 21, 1997 agreement falling outside the scope of § 537.203 may enter into subsequent agreements with foreign persons where such agreements are pursuant to, or in exercise of rights under, the pre-May 21, 1997 agreement and are specifically contemplated by the pre-May 21, 1997 agreement. The exercise of rights under a pre-May 21, 1997 agreement falling outside the scope of § 537.203 may include the exercise of options to extend the contract, depending on such factors as the degree of specificity with which the option to extend is described in the pre-May 21, 1997 agreement, and the degree to which the party wishing to renew can enforce its decision to exercise the option.

§ 537.410 Contracts and subcontracts regarding economic development of resources in Burma.

Section 537.204 prohibits new investment in Burma by U.S. persons. Section 537.311 defines the term new investment to include certain contracts providing for the general supervision and guarantee of another person’s performance of a contract that includes the economic development of resources located in Burma. With respect to entry into such contracts, only the following will be considered new investment in Burma:

(a) Entry into contracts for supervision and guarantee at the highest level of project management, such as
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§ 537.502 Effect of license or authorization.

The sale to a foreign person of a U.S. person’s equity or income interest in a development project in Burma constitutes facilitation of that foreign person’s investment in Burma, unless pursuant to a pre-May 21, 1997 agreement. Such a sale, however, is authorized by general license under §537.524.

Subpart E—Licenses, Authorizations and Statements of Licensing Policy

§ 537.501 General and specific licensing procedures.

For provisions relating to licensing procedures, see part 501, subpart D, of this chapter. Licensing actions taken pursuant to part 501 of this chapter with respect to the prohibitions contained in this part are considered actions taken pursuant to this part.

§ 537.502 Effect of license or authorization.

(a) No license or other authorization contained in this part, or otherwise issued by or under the direction of the Director of the Office of Foreign Assets Control, authorizes or validates any transaction effected prior to the issuance of the license, unless specifically provided in such license or authorization.

(b) No regulation, ruling, instruction, or license authorizes any transaction prohibited under this part unless the regulation, ruling, instruction or license is issued by the Office of Foreign Assets Control and specifically refers to this part. No regulation, ruling, instruction, or license referring to this part shall be deemed to authorize any transaction prohibited by any provision of this chapter unless the regulation, ruling, instruction, or license specifically refers to such provision.

(c) Any regulation, ruling, instruction, or license authorizing any transaction otherwise prohibited by this part has the effect of removing a prohibition or prohibitions contained in this part from the transaction, but only to the extent specifically stated by its terms. Unless the regulation, ruling,
§ 537.503 Exclusion from licenses.

The Director of the Office of Foreign Assets Control reserves the right to exclude any person, property, or transaction from the operation of any license or from the privileges conferred by any license. The Director of the Office of Foreign Assets Control also reserves the right to restrict the applicability of any license to particular persons, property, transactions, or classes thereof. Such actions are binding upon all persons receiving actual or constructive notice of the exclusions or restrictions.

§ 537.504 Payments and transfers to blocked accounts in U.S. financial institutions.

Any payment of funds or transfer of credit in which a person whose property or interests in property are blocked pursuant to § 537.201(a) has any interest, that comes within the possession or control of a U.S. financial institution, must be blocked in an account on the books of that financial institution. A transfer of funds or credit by a U.S. financial institution between blocked accounts in its branches or offices is authorized, provided that no transfer is made from an account within the United States to an account held outside the United States, and further provided that a transfer from a blocked account may only be made to another blocked account held in the same name.

NOTE TO § 537.504: Please refer to § 501.603 of this chapter for mandatory reporting requirements regarding financial transfers. See also § 537.208 concerning the obligation to hold blocked funds in interest-bearing accounts.

§ 537.505 Entries in certain accounts for normal service charges authorized.

(a) A U.S. financial institution is authorized to debit any blocked account held at that financial institution in payment or reimbursement for normal service charges owed it by the owner of that blocked account.

(b) As used in this section, the term normal service charge shall include charges in payment or reimbursement for interest due; cable, telegraph, internet, or telephone charges; postage costs; custody fees; small adjustment charges to correct bookkeeping errors; and, but not by way of limitation, minimum balance charges, notary and protest fees, and charges for reference books, photocopies, credit reports, transcripts of statements, registered mail, insurance, stationery and supplies, and other similar items.

§ 537.506 Investment and reinvestment of certain funds.

Subject to the requirements of § 537.208, U.S. financial institutions are authorized to invest and reinvest assets blocked pursuant to § 537.201, subject to the following conditions:

(a) The assets representing such investments and reinvestments are credited to a blocked account or subaccount which is held in the same name as the same U.S. financial institution, or within the possession or control of a U.S. person, but funds shall not be transferred outside the United States for this purpose;

(b) The proceeds of such investments and reinvestments shall not be credited to a blocked account or subaccount under any name or designation that differs from the name or designation of the specific blocked account or subaccount in which such funds or securities were held; and

(c) No immediate financial or economic benefit accrues (e.g., through pledging or other use) to persons whose property or interests in property are blocked pursuant to § 537.201(a).

§ 537.507 Provision of certain legal services authorized.

(a) The provision of the following legal services to or on behalf of persons whose property or interests in property are blocked pursuant to § 537.201(a) is authorized, provided that all receipts of payment of professional fees and reimbursement of incurred expenses must be specifically licensed:
(1) Provision of legal advice and counseling on the requirements of and compliance with the laws of any jurisdiction within the United States, provided that such advice and counseling are not provided to facilitate transactions in violation of this part; 

(2) Representation of persons when named as defendants in or otherwise made parties to domestic U.S. legal, arbitration, or administrative proceedings; 

(3) Initiation and conduct of domestic U.S. legal, arbitration, or administrative proceedings in defense of property interests subject to U.S. jurisdiction; 

(4) Representation of persons before any federal or state agency with respect to the imposition, administration, or enforcement of U.S. sanctions against such persons; and 

(5) Provision of legal services in any other context in which prevailing U.S. law requires access to legal counsel at public expense.

(b) The provision of any other legal services to persons whose property or interests in property are blocked pursuant to §537.201(a), not otherwise authorized in this part, requires the issuance of a specific license.

(c) Entry into a settlement agreement affecting property or interests in property or the enforcement of any lien, judgment, arbitral award, decree, or other order through execution, garnishment, or other judicial process purporting to transfer or otherwise alter or affect property or interests in property blocked pursuant to §537.201(a) is prohibited except to the extent otherwise provided by law or unless specifically licensed in accordance with §537.207(e).

§537.508 Authorization of emergency medical services.

The provision of nonscheduled emergency medical services in the United States to persons whose property or interests in property are blocked pursuant to §537.201(a) is authorized, provided that all receipt of payment for such services must be specifically licensed.

§537.509 Official activities of the U.S. Government and certain international organizations.

All transactions and activities otherwise prohibited by this part that are for the conduct of the official business of the United States Government, the United Nations, the World Bank, or the International Monetary Fund are authorized. This section does not authorize any importation into the United States of any article that is a product of Burma.

§537.510 Third-country diplomatic and consular funds transfers.

All transactions that are related to funds transfers otherwise prohibited by §§537.201 and 537.202 and that are for the conduct of diplomatic or consular activities of third-country diplomatic or consular missions in Burma are authorized.

§537.511 Importation of accompanied baggage and household effects of U.S. diplomatic and consular officials.

U.S. diplomatic or consular officials entering the United States directly or indirectly from Burma are authorized to engage in all transactions incident to the importation into the United States of products of Burma as accompanied baggage or household effects, provided that such products are not intended for any other person or for sale and are not otherwise prohibited from importation under applicable United States laws.

§537.512 Importation for official or personal use by foreign diplomatic and consular officials.

All transactions incident to the importation into the United States of any article that is a product of Burma that is destined for official or personal use by personnel employed by a diplomatic mission or consulate in the United States are authorized, provided that such article is not intended for any other person or for sale and is not otherwise prohibited from importation under applicable United States laws.
§ 537.513 Importation and exportation of diplomatic pouches.

All transactions in connection with the importation into the United States or the exportation from the United States of diplomatic pouches and their contents are authorized.

§ 537.514 Importation of certain personal and household effects.

(a) A U.S. person who maintained a residence in Burma prior to July 28, 2003, is authorized to import into the United States personal and household effects that are products of Burma, including accompanied baggage and articles for family use, provided the imported items were purchased by the U.S. person prior to July 28, 2003, have been actually used abroad by the U.S. person or by other family members arriving from the same foreign household, are not intended for any other person or for sale, and are not otherwise prohibited from importation.

(b) A national of Burma who arrives in the United States after July 28, 2003, is authorized to import into the United States personal and household effects that are products of Burma, including accompanied baggage and articles for family use, provided the imported items are ordinarily incident to the Burmese national’s arrival in the United States, have been actually used abroad by the Burmese national or by other family members arriving from the same foreign household, are not intended for any other person or for sale, and are not otherwise prohibited from importation.

§ 537.515 Importation of information or informational materials.

The importation of information or informational materials that are products of Burma and all transactions directly incident to such importation are authorized.

§ 537.516 Importation of Burmese-origin articles and incidental transactions.

(a) The importation of an article that is a product of Burma, otherwise prohibited by §537.203, is authorized, provided the article was purchased prior to July 28, 2003, shipped from Burma to the United States prior to August 28, 2003, and is not property in which a person whose property or interests in property are blocked pursuant to §537.201(a) has an interest.

(b) All transactions otherwise prohibited by §§537.201 and 537.202 that are directly incident to the importation into the United States of an article that is a product of Burma are authorized, provided that:

1. The importation is authorized pursuant to paragraph (a) of this section; or
2. The importation occurred prior to August 28, 2003, and was not from a person whose property or interests in property are blocked pursuant to §537.201(a).

(c) All transactions otherwise prohibited by §§537.201 and 537.202 that are directly incident to the importation into a country other than the United States or Burma of an article that is a product of Burma are authorized, provided that:

1. The article was purchased prior to July 28, 2003, shipped from Burma prior to August 28, 2003, and is not property in which a person whose property or interests in property are blocked pursuant to §537.201(a) has an interest; or
2. The importation occurred prior to August 28, 2003, and was not from a person whose property or interests in property are blocked pursuant to §537.201(a).

(d) Financing agreements with respect to the importations described in paragraphs (a), (b) and (c) of this section may be performed only according to their terms and may not be extended or renewed.

§ 537.517 Noncommercial, personal remittances.

(a) 1. U.S. depository institutions, U.S. registered brokers or dealers in securities, and U.S. registered money transmitters are authorized to process transfers of funds to or from Burma or for or on behalf of an individual ordinarily resident in Burma in cases in which the transfer involves a noncommercial, personal remittance, provided the following conditions are met:
(i) The transfer is not by, to, or through a person whose property or interests in property are blocked pursuant to §537.201(a), except as explained in §537.404 of this part; and

(ii) Total remittances to the territory of Burma in any consecutive 3-month period do not exceed $300 per Burmese household, regardless of the number of individuals comprising the household.

(2) Noncommercial, personal remittances do not include charitable donations to or for the benefit of an entity or funds transfers for use in supporting or operating a business.

NOTE TO PARAGRAPH (a) OF §537.517: U.S. persons may make charitable donations to nongovernmental organizations in Burma that are authorized to operate pursuant to §537.523, provided that the donations are made pursuant to §537.523 and the terms of the authorization.

(b) The transferring institutions identified in paragraph (a) of this section may rely on the originator of a funds transfer with regard to compliance with paragraph (a) of this section, provided that the transferring institution does not know or have reason to know that the funds transfer is not in compliance with paragraph (a) of this section.

(c) This section does not authorize transactions with respect to property blocked pursuant to §537.201, except as explained in §537.404(b) of this part.

§ 537.518 Transactions incident to exportations to Burma.

All transactions otherwise prohibited by §§537.201 and 537.202 that are ordinarily incident to an exportation to Burma of goods, technology or services, other than financial services, are authorized, provided the exportation is not to or on behalf of a person whose property or interests in property are blocked pursuant to §537.201(a). This section does not authorize a financial institution that is a U.S. person to advise or confirm any financing by a person whose property or interests in property are blocked pursuant to §537.201(a).

§ 537.519 Activities undertaken pursuant to certain pre-May 21, 1997 agreements.

Except as prohibited by §537.203, U.S. persons are authorized to engage in any activity, or any transaction incident to an activity, undertaken pursuant to an agreement entered into prior to 12:01 a.m., eastern daylight time, on May 21, 1997, or pursuant to the exercise of rights under such an agreement, provided that the parties to the agreement include:

(a) The Government of Burma or a nongovernmental entity in Burma, and

(b) An entity organized under the laws of a foreign state.

NOTE TO §537.519: The authorization contained in §537.519 pertains to pre-May 21, 1997 contracts between foreign business entities and either the Government of Burma or a nongovernmental entity in Burma. Pre-May 21, 1997 contracts between U.S. persons and the Government of Burma or a nongovernmental entity in Burma are exempt from all prohibitions contained in this part except those contained in §537.203. See §537.210 (exemptions).

§ 537.520 Payments for overflights of Burmese airspace.

Payments to Burma of charges for services rendered by the Government of Burma in connection with the overflight of Burma or emergency landing in Burma of aircraft owned or operated by a U.S. person or registered in the United States are authorized.

§ 537.521 Operation of accounts.

The operation of an account in a U.S. financial institution for an individual ordinarily resident in Burma, other than an individual whose property or interests in property are blocked pursuant to §537.201(a), is authorized, provided that each transaction processed through the account:

(a) Is of a personal nature and not for use in supporting or operating a business;

(b) Does not involve a transfer directly or indirectly to Burma or for the benefit of individuals ordinarily resident in Burma unless authorized by §537.517; and

(c) Is not otherwise prohibited by this part.
§ 537.522 Certain transactions related to patents, trademarks and copyrights authorized.

(a) All of the following transactions in connection with patent, trademark, copyright or other intellectual property protection in the United States or Burma, except for those transactions prohibited by §537.203, are authorized:

1. The filing and prosecution of any application to obtain a patent, trademark, copyright or other form of intellectual property protection;
2. The receipt of a patent, trademark, copyright or other form of intellectual property protection;
3. The renewal or maintenance of a patent, trademark, copyright or other form of intellectual property protection; and
4. The filing and prosecution of opposition or infringement proceedings with respect to a patent, trademark, copyright or other form of intellectual property protection, or the entrance of a defense to any such proceedings.

(b) This section authorizes the payment of fees currently due to the United States Government, or of the reasonable and customary fees and charges currently due to attorneys or representatives within the United States, in connection with the transactions authorized in paragraph (a) of this section. Payment effected pursuant to the terms of this paragraph may not be made from a blocked account.

(c) This section authorizes the payment of fees currently due to the Government of Burma, or of the reasonable and customary fees and charges currently due to attorneys or representatives within Burma, in connection with the transactions authorized in paragraph (a) of this section.

(d) Nothing in this section affects obligations under any other provision of law.

§ 537.523 Authorization of nongovernmental organizations to engage in humanitarian or religious activities.

(a) Specific licenses may be issued on a case-by-case basis authorizing nongovernmental organizations to engage in transactions otherwise prohibited by §§537.201 and 537.202 that are necessary for their humanitarian or religious activities in Burma. Applications for specific licenses must include:

1. The organization’s name in English, in the language of origin, and any acronym or other names used to identify the organization;
2. Address and phone number of the organization’s headquarters location;
3. Identification of field offices and partner offices, including addresses and organizational names used;
4. Identification of key staff, such as directors and senior officers, at the organization’s headquarters and partner offices, including the nationality, citizenship, current country of residence, place and date of birth, and current position of each person identified;
5. Identification of subcontracting organizations, if any, to the extent known or contemplated at the time of the application;
6. Existing sources of income, such as official grants, private endowments, commercial activities;
7. Financial institutions that hold deposits on behalf of or extend lines of credit to the organization (names of individuals and organizations shall be provided in English, in the language of origin, and shall include any acronym or other names used to identify the individuals or organizations);
8. Independent accounting firms, if employed in the production of the organization’s financial statements (names of individuals and organizations shall be provided in English, in the language of origin, and shall include any acronym or other names used to identify the individuals or organizations);
9. A detailed description of the organization’s humanitarian, environmental or religious activities and projects in countries or geographic areas subject to economic sanctions pursuant to this chapter V, including, if applicable, a summary of all information provided in grant proposals or funding requests made in connection with the proposed activities;
10. Most recent official registry documents, annual reports, and annual filings with the pertinent government, as applicable; and
11. Names and addresses of organizations to which the applicant currently
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provides or proposes to provide funding, services or material support, to the extent known at the time of the application, as applicable.

(b) This section does not authorize transfers from blocked accounts.

NOTE TO § 537.523: Authorization pursuant to this section does not excuse a U.S. person from compliance with other applicable U.S. laws governing the exportation or reexportation of U.S.-origin goods, software, or technology (including technical data). See, e.g., the Export Administration Regulations administered by the U.S. Department of Commerce (15 CFR parts 730–774).

§ 537.524 Divestiture of U.S. person’s investments in Burma.

All transactions, except those prohibited by §537.203, related to the divestiture or transfer to a foreign person of a U.S. person’s share of ownership, including an equity interest, in the economic development of resources located in Burma are authorized. U.S. persons participating in such a transaction valued at more than $10,000 are required, within 10 business days after the transaction takes place, to file a report for statistical purposes with the Office of Foreign Assets Control, U.S. Treasury Department, 1500 Pennsylvania Avenue NW.–Annex, Washington, DC 20220.

§ 537.525 Transactions related to U.S. citizens residing in Burma.

To the extent otherwise prohibited, U.S. citizens who reside on a permanent basis in Burma are authorized to pay their personal living expenses and engage in other transactions in Burma ordinarily incident to their routine and necessary personal maintenance.

§ 537.526 Authorized transactions necessary and ordinarily incident to publishing.

(a) To the extent that such activities are not exempt from this part, and subject to the restrictions set forth in paragraphs (b) through (d) of this section, U.S. persons are authorized to engage in all transactions otherwise prohibited by §537.201 or §537.202 that are necessary and ordinarily incident to the publishing and marketing of manuscripts, books, journals, and newspapers in paper or electronic format (collectively, “written publications”). This section does not apply if the parties to the transactions described in this paragraph include the State Peace and Development Council of Burma or the Union Solidarity and Development Association of Burma; any successor entity to any of the foregoing entities; or any person, other than personnel of academic and research institutions, acting or purporting to act directly or indirectly on behalf of the foregoing entities with respect to the transactions described in this paragraph. Pursuant to this section, transactions incident to the following activities are authorized, provided they do not involve any importations prohibited by §537.203 that are not authorized by another section of this part 537, and further provided that U.S. persons ensure that they are not engaging, without separate authorization, in the activities identified in paragraphs (b) through (d) of this section:

(1) Commissioning and making advance payments for identifiable written publications not yet in existence, to the extent consistent with industry practice;

(2) Collaborating on the creation and enhancement of written publications;

(3)(i) Augmenting written publications through the addition of items such as photographs, artwork, translation, explanatory text, and, for a written publication in electronic format, the addition of embedded software necessary for reading, browsing, navigating, or searching the written publication;

(ii) Exporting embedded software necessary for reading, browsing, navigating, or searching a written publication in electronic format, provided that, to the extent a license is required under the Export Administration Regulations, 15 CFR parts 730 through 774 (the “EAR”), the exportation is licensed or otherwise authorized by the Department of Commerce under the provisions of the EAR;

(4) Substantive editing of written publications;

(5) Payment of royalties for written publications;

(6) Creating or undertaking a marketing campaign to promote a written publication; and
(7) Other transactions necessary and ordinarily incident to the publishing and marketing of written publications as described in this paragraph (a).

(b) This section does not authorize transactions constituting the exportation or reexportation of financial services from the United States or by U.S. persons to Burma that are not necessary and ordinarily incident to the publishing and marketing of written publications as described paragraph (a) of this section. For example, this section does not authorize U.S. persons to transfer funds to Burma relating to the following:

(1) The provision or receipt of individualized or customized services (including, but not limited to, accounting, legal, design, or consulting services), other than those necessary and ordinarily incident to the publishing and marketing of written publications, even though such individualized or customized services are delivered through the use of information and informational materials;

(2) The creation or undertaking of a marketing campaign for any person with respect to any service or product other than a written publication, or the creation or undertaking of a marketing campaign of any kind for the benefit of the State Peace and Development Council of Burma or the Union Solidarity and Development Association of Burma; or

(3) The operation of a publishing house, sales outlet, or other office in Burma.

NOTE TO PARAGRAPH (b): The importation of information or informational materials, as defined in §537.308, that are products of Burma is authorized by the general license set forth in §537.515.

(c) This section does not authorize U.S. persons to engage in transactions constituting the exportation or reexportation of financial services to Burma that relate to the services of publishing houses or translators in Burma unless such activity is primarily for the dissemination of written publications in Burma.

(d) This section does not authorize:

(1) The importation into the United States of any article that is a product of Burma.

NOTE TO PARAGRAPH (d)(1): The importation of information or informational materials, as defined in §537.308, that are products of Burma is authorized by the general license set forth in §537.515.

(2) Transactions constituting the exportation or reexportation of financial services from the United States or by U.S. persons to Burma that relate to the development, production, design, or marketing of technology specifically controlled by the International Traffic in Arms Regulations, 22 CFR parts 120 through 130 (the ‘‘ITAR’’), the EAR, or the Department of Energy Regulations set forth at 10 CFR part 810.

(3) Transactions constituting the exportation or reexportation of financial services from the United States or by U.S. persons to Burma that relate to the exportation of information or technology subject to the authorization requirements of 10 CFR part 810, or Restricted Data as defined in section 11y. of the Atomic Energy Act of 1954, as amended, or of other information, data, or technology the release of which is controlled under the Atomic Energy Act and regulations therein;

(4) Transactions constituting the exportation or reexportation of financial services from the United States or by U.S. persons to Burma that relate to the exportation of any item (including information) subject to the EAR where a U.S. person knows or has reason to know that the item will be used, directly or indirectly, with respect to certain nuclear, missile, chemical, or biological weapons or nuclear-mari-time end-uses as set forth in part 744 of the EAR. In addition, U.S. persons are precluded from exporting any item subject to the EAR to certain restricted end-users, as set forth in part 744 of the EAR, as well as certain persons whose export privileges have been denied pursuant to parts 764 or 766 of the EAR, without authorization from the Department of Commerce; or

(5) Transactions constituting the exportation or reexportation of financial services from the United States or by
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§ 537.702 Prepenalty notice.

(a) When required. If the Director of the Office of Foreign Assets Control has reason to believe that there has occurred a violation of any provision of this part or a violation of the provisions of any license, ruling, regulation, or prohibition issued by or pursuant to the direction or authorization of the Secretary of the Treasury pursuant to this part or otherwise under the International Emergency Economic Powers Act, and the Director determines that further proceedings are warranted, the Director

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shall notify the alleged violator of the agency's intent to impose a monetary penalty by issuing a prepenalty notice. The prepenalty notice shall be in writing. The prepenalty notice may be issued whether or not another agency has taken any action with respect to the matter.

(b) Contents of notice—(1) Facts of violation. The prepenalty notice shall describe the violation, specify the laws and regulations allegedly violated, and state the amount of the proposed monetary penalty.

(2) Right to respond. The prepenalty notice also shall inform the respondent of the respondent's right to make a written presentation within the applicable 30-day period set forth in §537.703 as to why a monetary penalty should not be imposed or why, if imposed, the monetary penalty should be in a lesser amount than proposed.

(c) Informal settlement prior to issuance of prepenalty notice. At any time prior to the issuance of a prepenalty notice, an alleged violator may request in writing that, for a period not to exceed 60 days, the agency withhold issuance of the prepenalty notice for the exclusive purpose of effecting settlement of the agency's potential civil monetary penalty claims. In the event the Director grants the request, under terms and conditions within the Director's discretion, the Office of Foreign Assets Control will agree to withhold issuance of the prepenalty notice for a period not to exceed 60 days and will enter into settlement negotiations of the potential civil monetary penalty claim.

§537.703 Response to prepenalty notices—informal settlement.

(a) Deadline for response. The respondent may submit a response to the prepenalty notice within the applicable 30-day period set forth in this paragraph. The Director may grant, at the Director's discretion, an extension of time in which to submit a response to the prepenalty notice. The failure to submit a response within the applicable time period set forth in this paragraph shall be deemed to be a waiver of the right to respond.

(1) Computation of time for response. A response to the prepenalty notice must be postmarked or date-stamped by the U.S. Postal Service (or foreign postal service, if mailed abroad) or courier service provider (if transmitted to OFAC by courier) on or before the 30th day after the postmark date on the envelope in which the prepenalty notice was mailed. If the respondent refused delivery or otherwise avoided receipt of the prepenalty notice, a response must be postmarked or date-stamped on or before the 30th day after the date on the stamped postal receipt maintained at the Office of Foreign Assets Control. If the prepenalty notice was personally delivered to the respondent by a non-U.S. Postal Service agent authorized by the Director, a response must be postmarked or date-stamped on or before the 30th day after the date of delivery.

(2) Extensions of time for response. If a due date falls on a federal holiday or weekend, that due date is extended to include the following business day. Any other extensions of time will be granted, at the Director's discretion, only upon the respondent's specific request to the Office of Foreign Assets Control.

(b) Form and method of response. The response must be submitted in typewritten form and signed by the respondent or a representative thereof. The response need not be in any particular form. A copy of the written response may be sent by facsimile, but the original also must be sent to the Office of Foreign Assets Control Civil Penalties Division by mail or courier and must be postmarked or date-stamped, in accordance with paragraph (a) of this section.

(c) Contents of response. A written response must contain information sufficient to indicate that it is in response to the prepenalty notice.

(1) A written response must include the respondent's full name, address, telephone number, and facsimile number, if available, or those of the representative of the respondent.

(2) A written response should either admit or deny each specific violation alleged in the prepenalty notice and also state if the respondent has no knowledge of a particular violation. If the written response fails to address any specific violation alleged in the prepenalty notice, that alleged violation shall be deemed to be admitted.
(3) A written response should include any information in defense, evidence in support of an asserted defense, or other factors that the respondent requests the Office of Foreign Assets Control to consider. Any defense or explanation previously made to the Office of Foreign Assets Control or any other agency must be repeated in the written response. Any defense not raised in the written response will be considered waived. The written response also should set forth the reasons why the respondent believes the penalty should not be imposed or why, if imposed, it should be in a lesser amount than proposed.

(d) Failure to Respond. Where OFAC receives no response to a prepenalty notice within the applicable time period set forth in paragraph (a) of this section, a penalty notice generally will be issued, taking into account the mitigating and/or aggravating factors present in the record. If there are no mitigating factors present in the record, or the record contains a preponderance of aggravating factors, the proposed prepenalty amount generally will be assessed as the final penalty.

(e) Informal settlement. In addition to or as an alternative to a written response to a prepenalty notice, the respondent or respondent’s representative may contact the Office of Foreign Assets Control as advised in the prepenalty notice to propose the settlement of allegations contained in the prepenalty notice and related matters. However, the requirements set forth in paragraph (f) of this section as to oral communication by the representative must first be fulfilled. In the event of settlement at the prepenalty stage, the claim proposed in the prepenalty notice will be withdrawn, the respondent will not be required to take a written position on allegations contained in the prepenalty notice, and the Office of Foreign Assets Control will make no final determination as to whether a violation occurred. The amount accepted in settlement of allegations in a prepenalty notice may vary from the civil penalty that might finally be imposed in the event of a formal determination of violation. In the event no settlement is reached, the time limit specified in paragraph (a) of this section for written response to the prepenalty notice will remain in effect unless additional time is granted by the Office of Foreign Assets Control.

(f) Guidelines. Guidelines for the imposition or settlement of civil penalties by the Office of Foreign Assets Control have been codified in the Appendix to the Reporting, Procedures and Penalties Regulations, 31 CFR part 501.

(g) Representation. A representative of the respondent may act on behalf of the respondent, but any oral communication with the Office of Foreign Assets Control prior to a written submission regarding the specific allegations contained in the prepenalty notice must be preceded by a written letter of representation, unless the prepenalty notice was served upon the respondent in care of the representative.

§ 537.704 Penalty imposition or withdrawal.

(a) No violation. If, after considering any response to the prepenalty notice and any relevant facts, the Director of the Office of Foreign Assets Control determines that there was no violation by the respondent named in the prepenalty notice, the Director shall notify the respondent in writing of that determination and of the cancellation of the proposed monetary penalty.

(b) Violation. (1) If, after considering any written response to the prepenalty notice, or default in the submission of a written response, and any relevant facts, the Director of the Office of Foreign Assets Control determines that there was a violation by the respondent named in the prepenalty notice, the Director shall notify the respondent in writing of that determination and of the imposition of the monetary penalty.

(2) The penalty notice shall inform the respondent that payment or arrangement for installment payment of the assessed penalty must be made within 30 days of the date of mailing of the penalty notice by the Office of Foreign Assets Control.

(3) The penalty notice shall inform the respondent of the requirement to furnish the respondent’s taxpayer identification number pursuant to 31 U.S.C. 7701 and that such number will be used
for purposes of collecting and reporting on any delinquent penalty amount.

(4) The issuance of the penalty notice finding a violation and imposing a monetary penalty shall constitute final agency action. The respondent has the right to seek judicial review of that final agency action in federal district court.

§ 537.705 Administrative collection; referral to United States Department of Justice.

In the event that the respondent does not pay the penalty imposed pursuant to this part or make payment arrangements acceptable to the Director of the Office of Foreign Assets Control within 30 days of the date of mailing of the penalty notice, the matter may be referred for administrative collection measures by the Department of the Treasury or to the United States Department of Justice for appropriate action to recover the penalty in a civil suit in a federal district court.

Subpart H—Procedures

§ 537.801 Procedures.

For license application procedures and procedures relating to amendments, modifications, or revocations of licenses; administrative decisions; rulemaking; and requests for documents pursuant to the Freedom of Information and Privacy Acts (5 U.S.C. 552 and 552a), see part 501, subpart D, of this chapter.

§ 537.802 Delegation by the Secretary of the Treasury.

Any action that the Secretary of the Treasury is authorized to take pursuant to Executive Order 13047 of May 20, 1997 (62 FR 28299, May 22, 1997) and Executive Order 13310 of July 28, 2003 (68 FR 44853, July 30, 2003), and any further Executive orders relating to the national emergency declared therein, may be taken by the Director of the Office of Foreign Assets Control or by any other person to whom the Secretary of the Treasury has delegated authority so to act.
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§ 538.101 Relation of this part to other laws and regulations.

(a) This part is separate from, and independent of, the other parts of this chapter with the exception of part 501 of this chapter, the recordkeeping and reporting requirements and license application and other procedures of which apply to this part. Differing foreign policy and national security contexts may result in differing interpretations of similar language among the parts of this chapter. No license or authorization contained in or issued pursuant to those other parts authorizes any transaction prohibited by this part.

(b) No license or authorization contained in or issued pursuant to this part relieves the involved parties from complying with any other applicable laws or regulations.

Subpart B—Prohibitions

§ 538.201 Prohibited transactions involving blocked property.

(a) Except as authorized by regulations, orders, directives, rulings, instructions, licenses, or otherwise, no property or interests in property of the Government of Sudan, that are in the United States, that hereafter come within the United States, or that are or hereafter come within the possession or control of U.S. persons, including their overseas branches, may be transferred, paid, exported, withdrawn or otherwise dealt in.

(b) Unless otherwise authorized by this part or by a specific license expressly referring to this section, the transfer (including the transfer on the books of any issuer or agent thereof), disposition, transportation, importation, exportation, or withdrawal of, or the endorsement or guaranty of signatures on, or otherwise dealing in any security (or evidence thereof) registered or inscribed in the name of the Government of Sudan, and held within the possession or control of a U.S. person is prohibited, irrespective of the fact that at any time (either prior to, on, or subsequent to the effective date) the registered or inscribed owner thereof may have, or appears to have, assigned, transferred, or otherwise disposed of any such security.

§ 538.202 Effect of transfers violating the provisions of this part.

(a) Any transfer after the effective date, which is in violation of any provision of this part or of any regulation, order, directive, ruling, instruction, license, or other authorization hereunder and involves any property or interest in property blocked pursuant to §538.201 is null and void and shall not be the basis for the assertion or recognition of any interest in or right, remedy, power or privilege with respect to such property or property interests.

(b) No transfer before the effective date shall be the basis for the assertion or recognition of any right, remedy, power, or privilege with respect to, or interest in, any property or interest in property blocked pursuant to §538.201, unless the person with whom such property is held or maintained, prior to
such date, had written notice of the transfer or by any written evidence had recognized such transfer.

(c) Unless otherwise provided, an appropriate license or other authorization issued by or pursuant to the direction or authorization of the Director of the Office of Foreign Assets Control before, during, or after a transfer shall validate such transfer or render it enforceable to the same extent that it would be valid or enforceable but for the provisions of the International Emergency Economic Powers Act, this part, and any regulation, order, directive, ruling, instruction, or license issued hereunder.

(d) Transfers of property which otherwise would be null and void or unenforceable by virtue of the provisions of this section shall not be deemed to be null and void or unenforceable as to any person with whom such property was held or maintained (and as to such person only) in cases in which such person is able to establish to the satisfaction of the Director of the Office of Foreign Assets Control each of the following:

(1) Such transfer did not represent a willful violation of the provisions of this part by the person with whom such property was held or maintained;

(2) The person with whom such property was held or maintained did not have reasonable cause to know or suspect, in view of all the facts and circumstances known or available to such person, that such transfer required a license or authorization by or pursuant to this part and was not so licensed or authorized, or if a license or authorization did purport to cover the transfer, that such license or authorization had been obtained by misrepresentation of a third party or the withholding of material facts or was otherwise fraudulently obtained;

(3) The person with whom such property was held or maintained filed with the Office of Foreign Assets Control a report setting forth in full the circumstances relating to such transfer promptly upon discovery that:

(i) Such transfer was in violation of the provisions of this part or any regulation, ruling, instruction, license, or other direction or authorization hereunder; or

(ii) Such transfer was not licensed or authorized by the Director of the Office of Foreign Assets Control; or

(iii) If a license did purport to cover the transfer, such license had been obtained by misrepresentation of a third party or the withholding of material facts or was otherwise fraudulently obtained.

NOTE TO PARAGRAPH (d): The filing of a report in accordance with the provisions of paragraph (d)(3) of this section shall not be deemed evidence that the terms of paragraphs (d)(1) and (2) of this section have been satisfied.

(e) Unless licensed or authorized pursuant to this part, any attachment, judgment, decree, lien, execution, garnishment, or other judicial process is null and void with respect to any property or interest in property blocked pursuant to §538.201.

§ 538.203 Holding of funds in interest-bearing accounts; investment and reinvestment.

(a) Except as provided in paragraphs (c) or (d) of this section, or as otherwise directed by the Office of Foreign Assets Control, any U.S. person holding funds, such as currency, bank deposits, or liquidated financial obligations, subject to §538.201(a) shall hold or place such funds in a blocked interest-bearing account located in the United States.

(b)(1) For purposes of this section, the term blocked interest-bearing account means a blocked account:

(i) In a federally-insured U.S. bank, thrift institution, or credit union, provided the funds are earning interest at rates which are commercially reasonable; or

(ii) With a broker or dealer registered with the Securities and Exchange Commission under the Securities Exchange Act of 1934, provided the funds are invested in a money market fund or in U.S. Treasury Bills.

(2) For purposes of this section, a rate is commercially reasonable if it is the rate currently offered to other depositors on deposits or instruments of comparable size and maturity.

(3) Funds held or placed in a blocked account pursuant to this paragraph (b) may not be invested in instruments the maturity of which exceeds 180 days. If
§ 538.204 Prohibited importation of goods or services from Sudan.

Except as otherwise authorized, the importation into the United States, directly or indirectly, of any goods or services of Sudanese origin, other than information or informational materials, is prohibited.

§ 538.205 Prohibited exportation and reexportation of goods, technology, or services to Sudan.

Except as otherwise authorized, the exportation or reexportation, directly or indirectly, to Sudan of any goods, technology (including technical data, software, or other information) or services from the United States or by a United States person, wherever located, or requiring the issuance of a license by a Federal agency, is prohibited.

[66 FR 36688, July 12, 2001]

§ 538.206 Prohibited facilitation.

Except as otherwise authorized, the facilitation by a United States person, including but not limited to brokering activities, of the exportation or re-exportation of goods, technology, or services from Sudan to any destination, or to Sudan from any location, is prohibited.

§ 538.207 Prohibited performance of contracts.

Except as otherwise authorized, the performance by any United States person of any contract, including a financing contract, in support of an industrial, commercial, public utility, or governmental project in Sudan is prohibited.

§ 538.208 Prohibited grant or extension of credits or loans to the Government of Sudan.

Except as otherwise authorized, the grant or extension of credits or loans by any United States person to the Government of Sudan is prohibited.

§ 538.209 Prohibited transportation-related transactions involving Sudan.

Except as otherwise authorized, the following are prohibited:

(a) Any transaction by a U.S. person relating to transportation of cargo to or from Sudan;
(b) The provision of transportation of cargo to or from the United States by any Sudanese person or any vessel or aircraft of Sudanese registration; or
(c) The sale in the United States by any person holding authority under 49 U.S.C. subtitle VII of any transportation of cargo by air that includes any stop in Sudan.

§ 538.210 Prohibited transactions relating to petroleum and petrochemical industries.

(a) Except as otherwise authorized, and notwithstanding any contract entered into or any license or permit
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§ 538.212 Exempt transactions.

(a) Personal communications. The prohibitions contained in this part do not apply to any postal, telegraphic, telephonic, or other personal communication, which does not involve the transfer of anything of value.

(b) Humanitarian donations. The prohibitions of this part do not apply to donations by United States persons of articles, such as food, clothing, and medicine, intended to be used to relieve human suffering.

(c) Information and informational materials. (1) The importation from any country and the exportation to any country of information or informational materials as defined in §538.306, whether commercial or otherwise, regardless of format or medium of transmission, are exempt from the prohibitions and regulations of this part.

(2) This section does not authorize transactions related to information and informational materials not fully created and in existence at the date of the transactions, or to the substantive or artistic alteration or enhancement of informational materials, or to the provision of marketing and business consulting services. Such prohibited transactions include, without limitation, payment of advances for informational materials not yet created and completed, provision of services to market, produce or co-produce, create or assist in the creation of information and informational materials, and payment of royalties to the Government of Sudan or a person in Sudan with respect to income received for enhancements or alterations made by U.S. persons to information or informational materials imported from the Government of Sudan or a person in Sudan.

(d) Travel. The prohibitions contained in this part do not apply to transactions ordinarily incident to travel to or from any country, including exportation or importation of accompanied baggage for personal use, maintenance within any country including payment of living expenses and acquisition of goods or services for personal use, and arrangement or facilitation of such travel including non-scheduled air, sea, or land voyages.

(e) Official business. The prohibitions contained in this part do not apply to transactions for the conduct of the official business of the Federal Government or the United Nations by employees thereof.

(f) Journalistic activity. The prohibitions contained in this part do not apply to transactions in Sudan for journalistic activity by persons regularly employed in such capacity by a news-gathering organization.

(1) Specified Areas of Sudan. Except for the provisions of §§538.201 through 538.203, 538.210, and 538.211, and except as provided in paragraph (g)(2) of this section, the prohibitions contained in this part do not apply to activities or related transactions with respect to the Specified Areas of Sudan.
(2) The exemption in paragraph (g)(1) of this section does not apply to the exportation or reexportation of agricultural commodities (including bulk agricultural commodities listed in appendix A to this part 538), medicine, and medical devices.

NOTE TO § 538.212(g)(2): See § 538.523(a)(2) for a general license authorizing the exportation and reexportation of agricultural commodities, medicine, and medical devices to the Specified Areas of Sudan, and the conduct of related transactions.

(3) Any person to the extent that such person is, or has been, or to the extent that there is reasonable cause to believe that such person is, or has been, since the effective date, acting or purporting to act directly or indirectly on behalf of any of the foregoing; and

(4) Any other person determined by the Director of the Office of Foreign Assets Control to be included within paragraphs (a)(1) through (a)(3) of this section.

(b) Effective October 13, 2006, the term Government of Sudan, as defined in paragraph (a) of this section, does not include the regional government of Southern Sudan.

NOTE TO § 538.305: Please refer to the appendices at the end of this chapter for listings of persons determined to fall within this definition who have been designated pursuant to this part. Section 501.807 of this chapter sets forth the procedures to be followed by persons seeking administrative reconsideration of their designation, or who wish to assert that the circumstances resulting in the designation are no longer applicable.

§ 538.306 Information and informational materials.

(a)(1) For purposes of this part, the term information and informational materials means publications, films, posters, phonograph records, photographs, microfilms, microfiche, tapes, compact disks, CD ROMs, artworks, and news wire feeds, and other information and informational materials.

(b) The term information and informational materials with respect to U.S. exports does not include items:

1. That were, as of April 30, 1994, or that thereafter become, controlled for export pursuant to section 5 of the Export Administration Act of 1979, 50 U.S.C. App. 2401–2420 (the “EAA”), or section 6 of the EAA to the extent that such controls promote nonproliferation
or antiterrorism policies of the United States.

(2) With respect to which acts are prohibited by 18 U.S.C. chapter 37.

§ 538.307 Interest.

Except as otherwise provided in this part, the term interest when used with respect to property (e.g., "an interest in property") means an interest of any nature whatsoever, direct or indirect.

§ 538.308 License.

Except as otherwise specified, the term license means any license or authorization contained in or issued pursuant to this part.

§ 538.309 Person.

The term person means an individual or entity.

§ 538.310 Property; property interest.

The terms property and property interest include, but are not limited to, money, checks, drafts, bullion, bank deposits, savings accounts, debts, indebtedness, obligations, notes, guarantees, debentures, stocks, bonds, coupons, any other financial instruments, bankers acceptances, mortgages, pledges, liens or other rights in the nature of security, warehouse receipts, bills of lading, trust receipts, bills of sale, any other evidences of title, ownership or indebtedness, letters of credit and any documents relating to any rights or obligations thereunder, powers of attorney, goods, wares, merchandise, chattels, stocks on hand, ships, goods on ships, real estate mortgages, deeds of trust, vendors' sales agreements, land contracts, leaseholds, ground rents, real estate and any other interest therein, options, negotiable instruments, trade acceptances, royalties, book accounts, accounts payable, judgments, patents, trademarks or copyrights, insurance policies, safe deposit boxes and their contents, annuities, pooling agreements, services of any nature whatsoever, contracts of any nature whatsoever, and any other property, real, personal, or mixed, tangible or intangible, or interest or interests therein, present, future or contingent.

§ 538.311 Specific license.

The term specific license means any license or authorization not set forth in this part but issued pursuant to this part.

§ 538.312 Sudanese origin.

The term goods or services of Sudanese origin includes:

(a) Goods produced, manufactured, grown, extracted, or processed within Sudan;
(b) Goods which have entered into Sudanese commerce;
(c) Services performed in Sudan or by a person ordinarily resident in Sudan who is acting as an agent, employee, or contractor of the Government of Sudan or of a business entity located in Sudan. Services of Sudanese origin are not imported into the United States when such services are provided in the United States by a Sudanese national employed or resident in the United States.
(d) The term services of Sudanese origin does not include:
(1) Diplomatic and consular services performed by or on behalf of the Government of Sudan;
(2) Diplomatic and consular services performed by or on behalf of the Government of the United States.

§ 538.313 Transfer.

The term transfer means any actual or purported act or transaction, whether or not evidenced by writing, and whether or not done or performed within the United States, the purpose, intent, or effect of which is to create, surrender, release, convey, transfer, or alter, directly or indirectly, any right, remedy, power, privilege, or interest with respect to any property and, without limitation upon the foregoing, shall include the making, execution, or delivery of any assignment, power, conveyance, check, declaration, deed, deed of trust, power of attorney, power of appointment, bill of sale, mortgage, receipt, agreement, contract, certificate, gift, sale, affidavit, or statement; the making of any payment; the setting off of any obligation or credit; the appointment of any agent, trustee, or fiduciary; the creation or transfer of any lien; the issuance, docketing, filing, or levy of or under any judgment, decree,
attachment, injunction, execution, or other judicial or administrative process or order, or the service of any garnishment; the acquisition of any interest of any nature whatsoever by reason of a judgment or decree of any foreign country; the fulfillment of any condition; the exercise of any power of appointment, power of attorney, or other power; or the acquisition, disposition, transportation, importation, exportation, or withdrawal of any security.

§ 538.314 United States.

The term United States means the United States, its territories and possessions, and all areas under the jurisdiction or authority thereof.

§ 538.315 United States person; U.S. person.

The term United States person or U.S. person means any United States citizen, permanent resident alien, entity organized under the laws of the United States or any jurisdiction within the United States (including foreign branches), or any person in the United States.

§ 538.316 U.S. financial institution.

The term U.S. financial institution means any U.S. entity (including foreign branches) that is engaged in the business of accepting deposits, making, granting, transferring, holding, or brokering loans or credits, or purchasing or selling foreign exchange, securities, commodity futures or options, or procuring purchasers and sellers thereof, as principal or agent; including, but not limited to, depository institutions, banks, savings banks, trust companies, securities brokers and dealers, commodity futures and options brokers and dealers, forward contract and foreign exchange merchants, securities and commodities exchanges, clearing corporations, investment companies, employee benefit plans, and U.S. holding companies, U.S. affiliates, or U.S. subsidiaries of any of the foregoing. This term includes those branches, offices and agencies of foreign financial institutions which are located in the United States, but not such institutions' foreign branches, offices, or agencies.

§ 538.317 U.S. depository institution.

The term U.S. depository institution means any entity (including its foreign branches) organized under the laws of the United States or of any jurisdiction within the United States, or any agency, office or branch located in the United States of a foreign entity, that is engaged primarily in the business of banking (for example, banks, savings banks, savings associations, credit unions, trust companies and United States bank holding companies) and is subject to regulation by federal or state banking authorities.

§ 538.318 U.S. registered broker or dealer in securities.

The term U.S. registered broker or dealer in securities means any U.S. citizen, permanent resident alien, or entity organized under the laws of the United States or of any jurisdiction within the United States, including its foreign branches, or any agency, office or branch of a foreign entity located in the United States, that:

(a) Is a “broker” or “dealer” in securities within the meanings set forth in the Securities Exchange Act of 1934;

(b) Holds or clears customer accounts; and

(c) Is registered with the Securities and Exchange Commission under the Securities Exchange Act of 1934.

§ 538.319 U.S. registered money transmitter.

The term U.S. registered money transmitter means any U.S. citizen, permanent resident alien, or entity organized under the laws of the United States or of any jurisdiction within the United States, including its foreign branches, or any agency, office or branch of a foreign entity located in the United States, that is a money transmitter, as defined in 31 CFR 103.11(uu)(5), that is registered pursuant to 31 CFR 103.41.

§ 538.320 Specified Areas of Sudan.

(a) The term Specified Areas of Sudan means Southern Sudan, Southern Kordofan/Nuba Mountains State, Blue
§ 538.406 Exportation of services; performance of service contracts; legal services.

(a) The prohibition on the exportation of services contained in §538.205 applies to services performed on behalf of the Government of Sudan, or where issued pursuant to this part, if property (including any property interest) is transferred or attempted to be transferred to the Government of Sudan, such property shall be deemed to be property in which there exists an interest of the Government of Sudan.

(b) The term "marginalized areas in and around Khartoum" means the following official camps for internally displaced persons: Mayo, El Salaam, Wad El Bashir, and Soba.

[72 FR 61516, Oct. 31, 2007]
§ 538.407 Facilitation by a United States person.

(a) The prohibition contained in §538.206 against facilitation by a United States person of the exportation or reexportation of goods, technology, or services between Sudan and any destination (including the United States) bars any unlicensed action by a U.S. person that assists or supports trading activity with Sudan by any person. Facilitation of a trade or financial transaction that could be engaged in directly by a U.S. person or from the United States consistent with the prohibitions, general licenses and exemptions contained in this part is not prohibited. Activity of a purely clerical or reporting nature that does not further trade or financial transactions with Sudan or the Government of Sudan is not considered prohibited facilitation. For example, reporting on the results of a subsidiary’s trade with Sudan is not prohibited, while financing or insuring that trade or warranting the quality of goods sold by a subsidiary to the Government of Sudan constitutes prohibited facilitation.

(b) To avoid potential liability for U.S. persons under this part, a U.S. parent corporation must ensure that its foreign subsidiaries act independently of any U.S. person with respect to all transactions and activities relating to the exportation or reexportation of goods, technology, or services between Sudan and any other location including but not limited to business and legal planning; decision making; designing, ordering or transporting goods; and financial, insurance, and other risks. See §538.505 with respect to exports of, inter alia, certain legal services benefitting Sudan.

(c) No U.S. person may change its policies or operating procedures, or those of a foreign affiliate or subsidiary, in order to enable a foreign entity owned or controlled by U.S. persons to enter into a transaction that could not be entered into directly by a U.S. person or from the United States pursuant to this part.

(d) No U.S. person may refer to a foreign person purchase orders, requests for bids, or similar business opportunities involving Sudan or the Government of Sudan to which the United States person could not directly respond as a result of the prohibitions contained in this part.

§ 538.408 Offshore transactions.

(a) The prohibitions contained in §§538.201 and 538.206 apply to transactions by any U.S. person in a location outside the United States with respect to property in which the U.S. person knows, or has reason to know, that the Government of Sudan has or has had an interest since the effective date, or with respect to goods, technology or services which the U.S. person knows, or has reason to know, are of Sudanese origin or owned or controlled by the Government of Sudan.
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§ 538.415 Payments involving Sudan.

Before a United States financial institution initiates a payment subject to the prohibitions contained in this part on behalf of any customer, or credits a transfer subject to such prohibitions to the account on its books of the ultimate beneficiary, the U.S. financial institution must determine if those raw materials or components have been incorporated into manufactured products or otherwise substantially transformed in a third country.

(b) Importation into the United States of goods of Sudanese origin that have been transshipped through a third country without being incorporated into manufactured products or otherwise substantially transformed in a third country are prohibited.

§ 538.411 Exports to third countries; transshipments.

Exportation of goods or technology (including technical data, software, information not exempted from the prohibitions of this part pursuant to §538.211, or technical assistance) from the United States to third countries is prohibited if the exporter knows, or has reason to know, that the goods or technology are intended for transshipment to Sudan (including passage through, or storage in, intermediate destinations). The exportation of goods or technology intended specifically for incorporation or substantial transformation into a third-country product is also prohibited if the particular product is to be used in Sudan, is being specifically manufactured to fill a Sudanese order, or if the manufacturer’s sales of the particular product are predominantly to Sudan.

§ 538.414 Loans or extensions of credit.

(a) The prohibition in §538.205 applies to loans or extensions of credit to a person in Sudan, including overdraft protection on checking accounts, and the unlicensed renewal or rescheduling of credits or loans in existence as of the effective date, whether by affirmative action or operation of law.

(b) The prohibition in §538.205 applies to financial services including loans or credits extended in any currency.

§ 538.410 Imports of Sudanese goods from third countries; transshipments.

(a) Importation into the United States from third countries of goods containing raw materials or components of Sudanese origin is not prohibited if those raw materials or components have been incorporated into manufactured products or otherwise substantially transformed in a third country.

(b) Prohibited transactions include, but are not limited to, importation into or exportation from locations outside the United States of, or purchasing, selling, financing, swapping, insuring, transporting, lifting, storing, incorporating, transforming, brokering, or otherwise dealing in, within such locations, goods, technology or services of Sudanese origin.

(c) Examples. (1) A U.S. person may not, within the United States or abroad, purchase, sell, finance, insure, transport, act as a broker for the sale or transport of, or otherwise deal in, Sudanese crude oil or sugar refined in Sudan.

(2) A U.S. person may not, within the United States or abroad, conduct transactions of any nature whatsoever with an entity that the U.S. person knows or has reason to know is the Government of Sudan, including a controlled entity or agent of that Government, or which benefits or supports the business of an entity located in Sudan, unless the entity is licensed by the Office of Foreign Assets Control to conduct such transactions with U.S. persons or the transaction is generally licensed, or exempted from the prohibitions of this part.

§ 538.409 Transshipments through the United States prohibited.

(a) The prohibitions in §538.205 apply to the importation into the United States, for transshipment or transit, of goods which are intended or destined for Sudan, or an entity operated from Sudan.

(b) The prohibitions in §538.204 apply to the importation into the United States, for transshipment or transit, of goods of Sudanese origin which are intended or destined for third countries.

(c) Goods in which the Government of Sudan has an interest which are imported into or transshipped through the United States are blocked pursuant to §538.201.
that the transfer is not prohibited by this part.

§ 538.416 Payments from blocked accounts to U.S. exporters and for other obligations prohibited.

No debits may be made to a blocked account to pay obligations to U.S. persons or other persons, including payment for goods, technology or services exported prior to the effective date, except as authorized pursuant to this part.

§ 538.417 Transshipments through Sudan.

(a) The exportation or reexportation of goods, technology, or services to the Specified Areas of Sudan is exempt under § 538.212(g) only if such goods, technology, or services do not transit or transship through any area of Sudan other than the Specified Areas of Sudan.

(b) The importation into the United States of goods or services from, or originating in, the Specified Areas of Sudan is exempt under § 538.212(g) only if such goods or services do not transit or transship through any area of Sudan other than the Specified Areas of Sudan.

NOTE TO § 538.417. See § 538.532, which authorizes humanitarian transshipments to or from Southern Sudan and Darfur.

[72 FR 61516, Oct. 31, 2007]

§ 538.418 Financial transactions in Sudan.

(a) Any financial transaction with a depository institution located in an area of Sudan other than the Specified Areas of Sudan, e.g., Khartoum, remains prohibited.

(b) Financial transactions are no longer prohibited by this part if:

(1) The underlying activity is not prohibited by this part;

(2) The financial transaction involves a third-country depository institution, or a Sudanese depository institution not owned or controlled by the Government of Sudan, that is located in the Specified Areas of Sudan; and

(3) The financial transaction is not routed through a depository institution that is located in an area of Sudan other than the Specified Areas of Sudan or that is owned or controlled by the Government of Sudan, wherever located.

(c) Example. A U.S. bank is instructed to transfer funds to the Abyei branch of a Sudanese bank that is not owned or controlled by the Government of Sudan. In order for the transfer to take place, the U.S. bank is required to route the funds through the Sudanese bank’s headquarters, which is located in Khartoum. Due to the routing of the financial transaction through Khartoum, this transaction is prohibited and requires authorization from the Office of Foreign Assets Control. However, if the U.S. bank is able to bypass the Khartoum headquarters and transfer the funds directly to the Abyei branch of the Sudanese bank, then the transaction would not be prohibited.

[72 FR 61516, Oct. 31, 2007]

Subpart E—Licenses, Authorizations, and Statements of Licensing Policy

§ 538.500 Licensing procedures.

For provisions relating to licensing procedures, see part 501, subpart E, of this chapter. Licensing actions taken pursuant to part 501 of this chapter with respect to the prohibitions contained in this part are considered actions taken pursuant to this part.

[68 FR 53658, Sept. 11, 2003]

§ 538.501 Effect of license or authorization.

(a) No license or other authorization contained in this part, or otherwise issued by or under the direction of the Director of the Office of Foreign Assets Control, authorizes or validates any transaction effected prior to the issuance of the license, unless specifically provided in such license or authorization.

(b) No regulation, ruling, instruction, or license authorizes any transaction prohibited under this part unless the regulation, ruling, instruction, or license is issued by the Office of Foreign Assets Control and specifically refers to this part. No regulation, ruling, instruction, or license referring to this part shall be deemed to authorize any
transaction prohibited by any provision of this chapter unless the regulation, ruling, instruction or license specifically refers to such provision.

(c) Any regulation, ruling, instruction, or license authorizing any transaction otherwise prohibited under this part has the effect of removing a prohibition or prohibitions contained in this part from the transaction, but only to the extent specifically stated by its terms. Unless the regulation, ruling, instruction, or license otherwise specifies, such an authorization does not create any right, duty, obligation, claim, or interest in, or with respect to, any property which would not otherwise exist under ordinary principles of law.

§ 538.502 Exclusion from licenses and authorizations.

The Director of the Office of Foreign Assets Control reserves the right to exclude any person, property, or transaction from the operation of any license, or from the privileges therein conferred, or to restrict the applicability thereof with respect to particular persons, property, transactions, or classes thereof. Such action shall be binding upon all persons receiving actual or constructive notice of such exclusion or restriction.

§ 538.503 Payments and transfers to blocked accounts in U.S. financial institutions.

Any payment of funds or transfer of credit in which the Government of Sudan has any interest, that comes within the possession or control of a U.S. financial institution, must be blocked in an account on the books of that financial institution. A transfer of funds or credit by a U.S. financial institution between blocked accounts in its branches or offices is authorized, provided that no transfer is made from an account within the United States to an account held outside the United States, and further provided that a transfer from a blocked account may only be made to another blocked account held in the same name.

Note to § 538.503: Please refer to § 501.603 of this chapter for mandatory reporting requirements regarding financial transfers. See also § 538.203 concerning the obligation to hold blocked funds in interest-bearing accounts.

§ 538.504 Entries in certain accounts for normal service charges authorized.

(a) U.S. financial institutions are hereby authorized to debit any blocked account with such U.S. financial institution in payment or reimbursement for normal service charges owed to such U.S. financial institution by the owner of such blocked account.

(b) As used in this section, the term normal service charge shall include charges in payment or reimbursement for interest due; cable, telegraph, or telephone charges; postage costs; custody fees; small adjustment charges to correct bookkeeping errors; and, but not by way of limitation, minimum balance charges, notary and protest fees, and charges for reference books, photocopies, credit reports, transcripts of statements, registered mail, insurance, stationery and supplies, and other similar items.

§ 538.505 Provision of certain legal services to the Government of Sudan, persons in Sudan, or benefiting Sudan.

(a) The provision to the Government of Sudan, to a person in Sudan, or in circumstances in which the benefit is otherwise received in Sudan, of the legal services set forth in paragraph (b) of this section is authorized, provided that all receipts of payment therefor must be specifically licensed. The provision of any other legal services as interpreted in § 538.406 requires the issuance of a specific license.

(b) Specific licenses may be issued, on a case-by-case basis, authorizing receipt, from unblocked sources, of payment of professional fees and reimbursement of incurred expenses for the following legal services by U.S. persons to the Government of Sudan or to a person in Sudan:

(1) Provision of legal advice and counseling to the Government of Sudan, to a person in Sudan, or in circumstances in which the benefit is otherwise received in Sudan, on the requirements of and compliance with the laws of any jurisdiction within the United States, provided that such advice and counseling is not provided to
facilitate transactions in violation of this part; 
(2) Representation of the Government of Sudan or a person in Sudan when named as a defendant in or otherwise made a party to domestic U.S. legal, arbitration, or administrative proceedings; 
(3) Initiation of domestic U.S. legal, arbitration, or administrative proceedings in defense of property interests subject to U.S. jurisdiction of the Government of Sudan, or of a person in Sudan; 
(4) Representation of the Government of Sudan or a person in Sudan before any federal agency with respect to the imposition, administration, or enforcement of U.S. sanctions against Sudan; and 
(5) Provision of legal services in any other context in which prevailing U.S. law requires access to legal counsel at public expense. 
(c) Enforcement of any lien, judgment, arbitral award, decree, or other order through execution, garnishment, or other judicial process purporting to transfer or otherwise alter or affect a property interest of the Government of Sudan is prohibited unless specifically licensed in accordance with §538.202(e).

§538.506 30–day delayed effective date for pre–November 4, 1997 trade contracts involving Sudan.

(a) Pre–existing trade contracts. Trade transactions required under a contract entered into prior to November 4, 1997 (a “pre-existing trade contract”), otherwise prohibited by this part, including the importation of goods or services of Sudanese origin or the exportation of goods, services, or technology that was authorized under applicable Federal regulations in force immediately prior to November 4, 1997, are authorized without specific licensing by the Office of Foreign Assets Control as follows:

(1) Exports or reexports are authorized until 12:01 a.m. EST, December 4, 1997, and non–financing activity by U.S. persons incidental to the performance of the pre-existing trade contract (such as the provision of transportation or insurance) is authorized through 12:01 a.m. EST, February 2, 1998, if the pre-existing trade contract is for:

(i) The exportation of goods, services, or technology from the United States or a third country that was authorized under applicable Federal regulations in force immediately prior to November 4, 1997; or

(ii) The reexportation of goods or technology that was authorized under applicable Federal regulations in force immediately prior to November 4, 1997.

(2) If the pre-existing trade contract is for the importation of goods or services of Sudanese origin or other trade transactions relating to goods or services of Sudanese origin or owned or controlled by the Government of Sudan, importations under the pre-existing trade contract are authorized until 12:01 a.m. EST, December 4, 1997.

(3) For purposes of this section, goods are considered to be exported upon final loading aboard the exporting conveyance in the country of export. Goods are considered to be imported upon arrival in the jurisdiction of the country of importation.

(b)(1) Financing for pre–existing trade contracts. In general, no financing services prohibited by this part may be performed after 12:01 a.m. EST, November 4, 1997. However, letters of credit and other financing agreements with respect to the trade transactions authorized in paragraph (a) of this section may be performed according to their terms, and may be extended or renewed, except that:

(i) Any payment required to be made to the Government of Sudan or any person blocked pursuant to this part or otherwise, including payments authorized with respect to trade transactions described in paragraph (a) of this section, must be made into a blocked account in the United States; and

(ii) No payment may be made from a blocked account unless authorized by a specific license issued by the Office of Foreign Assets Controls.

(2) Specific licenses may be issued by the Office of Foreign Asset Controls on a case–by–case basis to permit a U.S. bank to debit a blocked account of the Government of Sudan for funds held as collateral under an irrevocable letter of credit issued or confirmed by it, or a letter of credit reimbursement confirmed by it, for goods, services or
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§ 538.507 Reexports by non-U.S. persons.

(a) Goods and technology subject to export license application requirements under other United States regulations. The reexportation to Sudan or the Government of Sudan by a non-U.S. person of any goods or technology exported from the United States, the exportation of which to Sudan is subject to export or reexport license application requirements, is authorized under this section provided that the goods or technology:

(1) Have been incorporated into another product outside the United States and constitute 10 percent or less by value of that product exported from a third country; or

(2) Have been substantially transformed outside the United States.

NOTE TO PARAGRAPH (a) OF § 538.507: Notwithstanding the authorization set forth in paragraph (a), a non-U.S. person’s reexportation of goods, technology or software of U.S. origin that are subject to the Export Administration Regulations (15 CFR parts 730 through 774) may require specific authorization from the Department of Commerce, Bureau of Industry and Security.

(b) Goods and technology not subject to export license application requirements under other United States regulations. The reexportation to Sudan or the Government of Sudan by a non-U.S. person of any goods or technology of U.S. origin, the exportation of which to Sudan is not subject to any export license application requirements under any other United States regulations, is authorized under this section.

NOTE TO PARAGRAPH (b) OF § 538.507: However, the reexportation by non-U.S. persons of U.S.-origin goods, technology or software classified as EAR99 under the Export Administration Regulations (15 CFR parts 730 through 774) may require specific authorization from the Department of Commerce, Bureau of Industry and Security. See, for example, the end-use and end-user restrictions set forth in 15 CFR part 744.

[70 FR 34062, June 13, 2005]
§ 538.508 Certain payments by the Government of Sudan of obligations to persons within the United States authorized.

Specific licenses may be issued on a case-by-case basis to permit the transfer of funds after the effective date by, through, or to any U.S. financial institution or other U.S. person not blocked pursuant to this chapter, from a non-blocked account outside of the United States, solely for the purpose of payment of obligations of the Government of Sudan to persons or accounts within the United States, provided that the obligation arose prior to the effective date, and the payment requires no debit to a blocked account.

§ 538.509 Certain services relating to participation in various events authorized.

The importation of Sudanese-origin services into the United States is authorized where such services are performed in the United States by a Sudanese national who enters the United States on a visa issued by the State Department for the purpose of participating in a public conference, performance, exhibition or similar event, and such services are consistent with that purpose.

§ 538.510 Importation and exportation of certain gifts authorized.

The importation into the United States of Sudanese-origin goods, and the exportation from the United States of goods, is authorized for goods sent as gifts to persons provided that the value of the gift is not more than $100; the goods are of a type and in quantities normally given as gifts between individuals; and the goods are not controlled for chemical and biological weapons (CB), missile technology (MT), national security (NS), or nuclear proliferation (NP)(see Commerce Control List, 15 CFR part 774 of the Export Administration Regulations).

§ 538.511 Accompanied baggage authorized.

(a) Persons entering the United States directly or indirectly from Sudan are authorized to import into the United States Sudanese-origin accompanied baggage normally incident to travel.

(b) Persons leaving the United States for Sudan are authorized to export from the United States accompanied baggage normally incident to travel.

(c) For purposes of this section, the term accompanied baggage normally incident to travel includes only baggage that:

(1) Accompanies the traveler on the same aircraft, train, or vehicle;

(2) Includes only articles that are necessary for personal use incident to travel, are not intended for any other person or for sale, and are not otherwise prohibited from importation or exportation under applicable United States laws.

§ 538.512 Transactions related to telecommunications authorized.

All transactions with respect to the receipt and transmission of telecommunications involving Sudan are authorized. This section does not authorize the provision to the Government of Sudan or a person in Sudan of telecommunications equipment or technology.

§ 538.513 Transactions related to mail authorized.

All transactions by U.S. persons, including payment and transfers to common carriers, incident to the receipt or transmission of mail between the United States and Sudan are authorized, provided that mail is limited to personal communications not involving a transfer of anything of value.

§ 538.514 Certain transactions related to patents, trademarks and copyrights authorized.

(a) All of the following transactions in connection with patent, trademark, copyright or other intellectual property protection in the United States or Sudan are authorized:

(1) The filing and prosecution of any application to obtain a patent, trademark, copyright or other form of intellectual property protection;

(2) The receipt of a patent, trademark, copyright or other form of intellectual property protection;

(3) The renewal or maintenance of a patent, trademark, copyright or other
§ 538.515 Sudanese diplomatic missions in the United States.

(a) The importation of goods or services into the United States by the Government of Sudan, or of the reasonable and customary fees and charges currently due to attorneys or representatives within Sudan, in connection with the transactions authorized in paragraph (a) of this section. Payment effected pursuant to the terms of this paragraph may not be made from a blocked account.

(b) The importation of goods or services into the United States by the Government of Sudan to the United Nations is authorized, provided that:

(1) The goods or services are for personal use of the employees of the missions, and are not for resale; and

(2) The transaction does not involve the purchase, sale, financing, or refinancing of real property.

(c) The transaction is not otherwise prohibited by law.

(d) Nothing in this section affects obligations under any other provision of law.

§ 538.516 Diplomatic pouches.

The following transactions are authorized:

(a) The importation into the United States from Sudan, or the exportation from the United States to Sudan, of the Government of Sudan to the United States and the United Nations.

(b) The importation of goods or services into the United States by, and the provision of goods or services to the United States to, the employees of the diplomatic missions of the Government of Sudan to the United States and the United Nations are authorized, provided that:

(1) The goods or services are for personal use of the employees of the missions, and are not for resale; and

(2) The transaction is not otherwise prohibited by law.

(c) The importation of goods or services into the United States by the regional Government of Southern Sudan and its employees that involves the transit or transshipment of goods from the Specified Areas of Sudan through areas of Sudan other than the Specified Areas of Sudan is authorized, provided that:

(1) The goods or services are for the conduct of the business of the regional Government, or for personal use of the employees of the regional Government, and are not for resale; and

(2) The transaction is not otherwise prohibited by law.

NOTE TO PARAGRAPH (c) OF §538.515: The authorization contained in paragraph (c) of this section permits the regional Government of Southern Sudan and its employees to import into the United States goods or services that have transited or transshipped through areas of Sudan other than the Specified Areas of Sudan without the need to obtain a specific license under §538.417. The importation of goods and services into the United States by the regional Government of Southern Sudan not involving transit or transshipment through areas of Sudan other than the Specified Areas of Sudan already is exempt pursuant to §§538.212(g) and 538.305(b) and, therefore, requires no authorization. Similarly, the provision of goods and services in the United States to the regional Government of Southern Sudan and its employees already is exempt pursuant to §§538.212(g) and 538.305(b) and also requires no authorization.

[74 FR 27434, June 10, 2009]

§ 538.516 Diplomatic pouches.

The following transactions are authorized:

(a) The importation into the United States from Sudan, or the exportation from the United States to Sudan, of
§ 538.517 Allowable payments for overflights of Sudanese airspace.

Payments to Sudan of charges for services rendered by the Government of Sudan in connection with the overflight of Sudan or emergency landing in Sudan of aircraft owned by a United States person or registered in the United States are authorized.

§ 538.518 Household goods and personal effects.

(a) The exportation from the United States to Sudan of household and personal effects, including baggage and articles for family use, of persons departing the United States to relocate in Sudan is authorized provided the articles included in such effects have been actually used by such persons or by family members accompanying them, are not intended for any other person or for sale, and are not otherwise prohibited from exportation.

(b) The importation of Sudanese-origin household and personal effects, including baggage and articles for family use, of persons arriving in the United States is authorized; to qualify, articles included in such effects must have been actually used abroad by such persons or by other family members arriving from the same foreign household, must not be intended for any other person or for sale, and must not be otherwise prohibited from importation.

§ 538.519 Aircraft and maritime safety.

Specific licenses may be issued on a case-by-case basis for the exportation and reexportation of goods, services, and technology to insure the safety of civil aviation and safe operation of U.S.-origin commercial passenger aircraft, and to ensure the safety of ocean-going maritime traffic in international waters.

§ 538.520 Extensions or renewals of loans and credits.

(a) Specific licenses may be issued on a case-by-case basis for rescheduling loans or otherwise extending the maturities of existing loans, and for charging fees or interest at commercially reasonable rates in connection therewith, provided that no new funds or credits are thereby transferred or extended to Sudan or the Government of Sudan.

(b) Specific licenses may be issued on a case-by-case basis, at the request of the account party, for the extension or renewal of a letter of credit or a standby letter of credit issued or confirmed by a U.S. financial institution.

§ 538.521 Registration of nongovernmental organizations for humanitarian or religious activities.

(a) Registration numbers may be issued on a case-by-case basis for the registration of nongovernmental organizations involved in humanitarian or religious activities in Sudan, authorizing transactions by such organizations otherwise prohibited by this part, including the exportation of services, goods, software, or technology to Sudan and the transfer of funds to and from Sudan for the purpose of relieving human suffering. Applicants for registration numbers must comply with the requirements of §501.801(c), 31 CFR chapter V.

(b) This section does not authorize transfers from blocked accounts.

NOTE TO §538.521: Registration does not excuse a U.S. person from compliance with other applicable U.S. laws governing the exportation or reexportation of U.S.-origin goods, software, or technology (including
Office of Foreign Assets Control, Treasury § 538.523


[66 FR 2728, Jan. 11, 2001]

§ 538.522 Transactions related to U.S. citizens residing in Sudan.

U.S. persons are authorized to engage in transactions in Sudan ordinarily incident to the routine and necessary maintenance and other personal living expenses of U.S. citizens who reside on a permanent basis in Sudan.

§ 538.523 Commercial sales, exportation, and reexportation of agricultural commodities, medicine, and medical devices.

(a)(1) One-year specific license requirement. The exportation or reexportation of agricultural commodities (including bulk agricultural commodities listed in appendix A to this part 538), medicine, or medical devices to the Government of Sudan, to any individual or entity in an area of Sudan other than the Specified Areas of Sudan, or to persons in third countries purchasing specifically for resale to the foregoing, shall only be made pursuant to a one-year specific license issued by the U.S. Department of the Treasury, Office of Foreign Assets Control, for contracts entered into during the one-year period of the license and shipped within the 12-month period beginning on the date of the signing of the contract. No specific license will be granted for the exportation or reexportation of agricultural commodities, medicine, or medical equipment to any entity or individual in Sudan promoting international terrorism, to any narcotics trafficking entity designated pursuant to Executive Order 12978 of October 21, 1995 (60 FR 54579, October 24, 1995) or the Foreign Narcotics Kingpin Designation Act (21 U.S.C. 1901–1908), or to any foreign organization, group, or persons subject to any restriction for their involvement in weapons of mass destruction or missile proliferation. Executory contracts entered into pursuant to paragraph (b)(2) of this section prior to the issuance of the one-year specific license described in this paragraph shall be deemed to have been signed on the date of issuance of that one-year specific license (and, therefore, the exporter is authorized to make shipments under that contract within the 12-month period beginning on the date of issuance of the one-year specific license).

(2) General license for the Specified Areas of Sudan. The exportation or reexportation of agricultural commodities (including bulk agricultural commodities listed in appendix A to this part 538), medicine, and medical devices to the Specified Areas of Sudan and the conduct of related transactions, including, but not limited to, the making of shipping and cargo inspection arrangements, the obtaining of insurance, the arrangement of financing and payment, the entry into executory contracts, and the provision of brokerage services for such sales and exports or reexports, are hereby authorized, provided that such activities or transactions do not involve any property or interests in property of the Government of Sudan and also provided that all such exports or reexports are shipped within the 12-month period beginning on the date of the signing of the contract for export or reexport.

NOTE 1 TO § 538.523(a)(2): Consistent with section 906(a)(1) of the Trade Sanctions Reform and Export Enhancement Act of 2000 (22 U.S.C. 7205), each year by the anniversary of its effective date of September 9, 2000, the Office of Foreign Assets Control will determine whether to revoke this general license. Unless revoked, the general license will remain in effect.

NOTE 2 TO § 538.523(a)(2): See §§ 538.417 and 538.418 for additional requirements with respect to transshipments through, and financial transactions in, Sudan.

(b) General license for arrangement of exportation or reexportation of covered products. (1) With respect to sales pursuant to § 538.523(a)(1), the making of shipping arrangements, cargo inspection, obtaining of insurance, and arrangement of financing (consistent with § 538.525) for the exportation or reexportation of agricultural commodities, medicine, or medical devices to the Government of Sudan, to any individual or entity in an area of Sudan other than the Specified Areas of Sudan, or to persons in third countries purchasing specifically for resale to the foregoing, are authorized.
(2) If desired, entry into executory contracts (including executory pro forma invoices, agreements in principle, or executory offers capable of acceptance such as bids in response to public tenders) for the exportation or reexportation of agricultural commodities, medicine, and medical devices to the Government of Sudan, to any individual or entity in an area of Sudan other than the Specified Areas of Sudan, or to persons in third countries purchasing specifically for resale to the foregoing, is authorized, provided that performance of an executory contract is expressly made contingent upon the prior issuance of the one-year specific license described in paragraph (a)(1) of this section.

(c) Instructions for obtaining one-year specific licenses. In order to obtain the one-year specific license described in paragraph (a)(1) of this section, the exporter must provide to the Office of Foreign Assets Control:

(1) The applicant’s full legal name (if the applicant is a business entity, the state or jurisdiction of incorporation and principal place of business).

(2) The applicant’s mailing and street address (so that OFAC may reach a responsible point of contact, the applicant should also include the name of the individual(s) responsible for the application and related commercial transactions along with their telephone and fax numbers and, if available, e-mail addresses).

(3) The names, mailing addresses, and if available, fax and telephone numbers of all parties with an interest in the transaction. If the goods are being exported or reexported to a purchasing agent in Sudan, the exporter must identify the agent’s principals at the wholesale level for whom the purchase is being made. If the goods are being exported or reexported to an individual, the exporter must identify any organizations or entities with which the individual is affiliated that have an interest in the transaction.

(4) A description of all items to be exported or reexported pursuant to the requested one-year license, including a statement that the item is classified as EAR 99, and, if necessary, documentation sufficient to verify that the items to be exported or reexported are classified as EAR 99 and do not fall within any of the limitations contained in paragraph (d) of this section.

(5) An Official Commodity Classification of EAR 99 issued by the Department of Commerce, Bureau of Industry and Security ("BIS"), certifying that the product is EAR 99, is required to be submitted to OFAC with the request for a license authorizing the exportation or reexportation of all fertilizers, live horses, western red cedar, and medical devices other than basic medical supplies, such as syringes, bandages, gauze and similar items, that are specifically listed on BIS’s Web site, http://www.bis.doc.gov/policiesandregulations/tradesanctions/reformexportenhancementact.html. Medical supplies that are specifically listed on BIS’s Web site may not require an Official Commodity Classification of EAR 99 from BIS. BIS will also provide a list on its Web site of medicines that are ineligible for a one-year license under these procedures. Exporters should seek an Official Commodity Classification of EAR 99 from BIS for medicines and submit a copy to OFAC. See 15 CFR 745.3 for instructions for obtaining Official Commodity Classification of EAR 99 from BIS.

(d) Limitations. (1) Nothing in this section or in any license issued pursuant to paragraph (a) of this section relieves the exporter from compliance with the export license application requirements of another Federal agency.

(2) Nothing in this section or in any license issued pursuant to paragraph (a) of this section authorizes the exportation or reexportation of any agricultural commodity, medicine, or medical device controlled on the United States Munitions List established under section 38 of the Arms Export Control Act (22 U.S.C. 2778); controlled on any control list established under the Export Administration Act of 1979 or any successor statute (50 U.S.C. App. 2401 et seq.); or used to facilitate the development or production of a chemical or biological weapon or weapon of mass destruction.

(3) Nothing in this section or in any license issued pursuant to paragraph (a) of this section affects prohibitions
on the sale or supply of U.S. technology or software used to manufacture agricultural commodities, medicine, or medical devices, such as technology to design or produce biotechnological items or medical devices.

(4) Nothing in this section or in any license issued pursuant to paragraph (a) of this section affects U.S. non-proliferation export controls, including end-user and end-use controls maintained under the Enhanced Proliferation Control Initiative.

(5) This section does not apply to any transaction or dealing involving property blocked pursuant to this chapter or to any other activity prohibited by this chapter that is not otherwise authorized in this part.

(e) Covered items. For the purposes of this part, agricultural commodities, medicine, and medical devices are defined below.

(1) Agricultural commodities. For the purposes of this section, agricultural commodities are:

(i) Products that are not listed on the Commerce Control List in the Export Administration Regulations, 15 CFR part 774, supplement no. 1, and that fall within the term “agricultural commodity” as defined in section 102 of the Agricultural Trade Act of 1978 (7 U.S.C. 5602); and

(ii) Products not listed on the Commerce Control List in the Export Administration Regulations, 15 CFR part 774, supplement no. 1, that are intended for ultimate use in Sudan as:

(A) Food for humans (including raw, processed, and packaged foods; live animals; vitamins and minerals; food additives or supplements; and bottled drinking water) or animals (including animal feeds);

(B) Seeds for food crops;

(C) Fertilizers or organic fertilizers; or

(D) Reproductive materials (such as live animals, fertilized eggs, embryos, and semen) for the production of food animals.

(2) Medicine. For the purposes of this section, the term medicine has the same meaning given the term “drug” in section 201 of the Federal Food, Drug, and Cosmetic Act (21 U.S.C. 321) but does not include any item listed on the Commerce Control List in the Export Administration Regulations, 15 CFR part 774, supplement no. 1 (excluding items classified as EAR 99).

(3) Medical device. For the purposes of this section, the term medical device has the meaning given the term “device” in section 201 of the Federal Food, Drug, and Cosmetic Act (21 U.S.C. 321) but does not include any item listed on the Commerce Control List in the Export Administration Regulations, 15 CFR part 774, supplement no. 1 (excluding items classified as EAR 99).

[74 FR 61032, Nov. 23, 2009]

§ 538.524 [Reserved]

§ 538.525 Payment for and financing of commercial sales of agricultural commodities, medicine, and medical equipment.

(a) General license for payment terms. The following payment terms for sales, pursuant to §538.523(a)(1), of agricultural commodities and products, medicine, and medical equipment to the Government of Sudan, to any individual or entity in an area of Sudan other than the Specified Areas, or to persons in third countries purchasing specifically for resale to the foregoing are authorized:

(1) Payment of cash in advance;

(2) Sales on open account, provided that the account receivable may not be transferred by the person extending the credit; or

(3) Financing by third-country financial institutions that are neither United States persons nor Government of Sudan entities. Such financing may be confirmed or advised by U.S. financial institutions.

(b) Specific licenses for alternate payment terms. Specific licenses may be issued on a case-by-case basis for payment terms and trade financing not authorized by the general license in paragraph (a) of this section for sales pursuant to §538.523(a)(1). See §501.801(b) of this chapter for specific licensing procedures.

(c) No debits to blocked accounts. Nothing in this section authorizes payment terms or trade financing involving a debit to an account of the Government of Sudan blocked pursuant to this part.
§ 538.526  Transfers through the U.S. financial system. Before a United States financial institution initiates a payment on behalf of any customer, or credits a transfer to the account on its books of the ultimate beneficiary, the United States financial institution must determine that the underlying transaction is not prohibited by this part. Any payment relating to a transaction authorized in or pursuant to §538.523 or §538.526 that is routed through the U.S. financial system must reference the relevant Office of Foreign Assets Control license authorizing the payment to avoid the blocking or rejection of the transfer.

(e) Notwithstanding any other provision of this part, no commercial exportation to Sudan may be made with United States Government assistance, including United States foreign assistance, United States export assistance, and any United States credit or guarantees absent a Presidential waiver.

[74 FR 61033, Nov. 23, 2009]

§ 538.526 Brokering sales of agricultural commodities, medicine, and medical devices.

(a) General license for brokering sales by U.S. persons. United States persons are authorized to provide brokerage services on behalf of U.S. persons for the sale and exportation or reexportation by United States persons of agricultural commodities, medicine, and medical devices to the Government of Sudan, to any individual or entity in an area of Sudan other than the Specified Areas of Sudan, or to persons in third countries purchasing specifically for resale to the foregoing, provided that the sale and exportation or reexportation is authorized by a one-year specific license issued pursuant to §538.523(a)(1).

(b) Specific licensing for brokering sales by non-U.S. persons of bulk agricultural commodities. Specific licenses may be issued on a case-by-case basis to permit United States persons to provide brokerage services on behalf of non-United States, non-Sudanese persons for the sale and exportation or reexportation of bulk agricultural commodities to the Government of Sudan, to any individual or entity in an area of Sudan other than the Specified Areas of Sudan, or to persons in third countries purchasing specifically for resale to the foregoing. Specific licenses issued pursuant to this section will authorize the brokering only of sales that:

(1) Are limited to the bulk agricultural commodities listed in appendix A to this part 538;

(2) Are to purchasers permitted pursuant to §538.523(a)(1); and

Note to paragraph (b)(2) of § 538.526: Requests for specific licenses to provide brokerage services under this paragraph must include all of the information described in §538.523(c).

(3) Make any performance involving the exportation or reexportation of any goods, technology or services (including technical data, software, or information) that are subject to license application requirements of another Federal agency contingent upon the prior authorization of that agency. (For example, items classified EAR 99 under the Export Administration Regulations, 15 CFR parts 730 through 774, may in certain instances require a license from the Department of Commerce, Bureau of Industry and Security. See, e.g., 15 CFR 736.2(b)(5), 744.2 through 744.4, 744.10; see also 22 CFR 123.9.)

(c) No debit to blocked accounts. Payment for any brokerage fee earned pursuant to this section may not involve a debit to an account blocked pursuant to this part.

(d) Recordkeeping and reporting requirements. Attention is drawn to the recordkeeping, retention, and reporting requirements of §§501.601 and 501.602.

[74 FR 61033, Nov. 23, 2009]

§ 538.527 Operation of accounts.

The operation of an account in a U.S. financial institution for an individual ordinarily resident in Sudan who is not included within the term “Government of Sudan,” as defined in §538.305, is authorized, provided that transactions processed through the account:

(a) Are of a personal nature and not for use in supporting or operating a business;

(b) Do not involve transfers directly or indirectly to Sudan or for the benefit of individuals ordinarily resident
in Sudan unless authorized by §538.528; and
(c) Are not otherwise prohibited by this part.

[70 FR 34062, June 13, 2005]

§ 538.528 Noncommercial, personal remittances.

(a) U.S. depository institutions, U.S. registered brokers or dealers in securities, and U.S. registered money transmitters are authorized to process transfers of funds to or from Sudan or for or on behalf of an individual ordinarily resident in Sudan who is not included within the term “Government of Sudan,” as defined in §538.305, in cases in which the transfer involves a noncommercial, personal remittance, provided the transfer is not by, to, or through a person who is included within the term “Government of Sudan,” as defined in §538.305. Noncommercial, personal remittances do not include charitable donations to or for the benefit of an entity or funds transfers for use in supporting or operating a business.

NOTE TO PARAGRAPH (a) OF §538.528: The institutions identified in paragraph (a) may transfer charitable donations made by U.S. persons to nongovernmental organizations in Sudan registered pursuant to §538.521, provided that the transfer is made pursuant to §538.521 and the terms of the registration.

(b) The transferring institutions identified in paragraph (a) of this section may rely on the originator of a funds transfer with regard to compliance with paragraph (a), provided that the transferring institution does not know or have reason to know that the funds transfer is not in compliance with paragraph (a).

(c) This section does not authorize transactions with respect to property blocked pursuant to §538.201.

[70 FR 34062, June 13, 2005]

§ 538.529 Authorized transactions necessary and ordinarily incident to publishing.

(a) To the extent that such activities are not exempt from this part, and subject to the restrictions set forth in paragraphs (b) through (d) of this section, U.S. persons are authorized to engage in all transactions necessary and ordinarily incident to the publishing and marketing of manuscripts, books, journals, and newspapers in paper or electronic format (collectively, “written publications”). This section does not apply if the parties to the transactions described in this paragraph include the Government of Sudan. For the purposes of this section, the term “Government of Sudan” includes the state and the Government of Sudan, as well as any political subdivision, agency, or instrumentality thereof, including the Central Bank of Sudan, and any person acting or purporting to act directly or indirectly on behalf of any of the foregoing with respect to the transactions described in this paragraph. For the purposes of this section, the term “Government of Sudan” does not include any academic and research institutions and their personnel. Pursuant to this section, the following activities are authorized, provided that U.S. persons ensure that they are not engaging, without separate authorization, in the activities identified in paragraphs (b) through (d) of this section:

1. Commissioning and making advance payments for identifiable written publications not yet in existence, to the extent consistent with industry practice;
2. Collaborating on the creation and enhancement of written publications;
3. (i) Augmenting written publications through the addition of items such as photographs, artwork, translation, explanatory text, and, for a written publication in electronic format, the addition of embedded software necessary for reading, browsing, navigating, or searching the written publication;
   (ii) Exporting embedded software necessary for reading, browsing, navigating, or searching a written publication in electronic format, provided that the software is classified as “EAR 99” under the Export Administration Regulations, 15 CFR parts 730–774 (the “EAR”), or is not subject to the EAR;
4. Substantive editing of written publications;
5. Payment of royalties for written publications;
§538.530 Licenses and registrations issued pursuant to Executive Order 13067 or this part authorized pursuant to Executive Order 13412.

(a) All general licenses issued pursuant to Executive Order 13067 are authorized pursuant to Executive Order 13412 and remain in effect.

(b) All specific licenses and all non-governmental organization registrations issued pursuant to Executive Order 13067 or this part prior to October 13, 2006, are authorized pursuant to Executive Order 13412 and remain in effect until the expiration date specified in the license or registration or, if no
expiration date is specified, June 30, 2008.
[72 FR 61516, Oct. 31, 2007]
 § 538.531 Official activities of the United States Government and international organizations.

(a) Subject to the conditions of paragraphs (b), (c), and (d) of this section, the following transactions are authorized:

(1) All transactions and activities otherwise prohibited by this part that are for the conduct of the official business of the United States Government or the United Nations by contractors or grantees thereof; and

(2) All transactions and activities otherwise prohibited by this part that are for the conduct of the official business of the United Nations specialized agencies, programmes, and funds by employees, contractors, or grantees thereof.

(b) Contractors or grantees conducting transactions authorized pursuant to paragraph (a) of this section must provide a copy of their contract or grant with the United States Government or the United Nations, or its specialized agencies, programmes, and funds, to any U.S. person before the U.S. person engages in or facilitates any transaction or activity prohibited by this part. If the contract or grant contains any sensitive or proprietary information, such information may be redacted or removed from the copy given to the U.S. person, provided that the information is not necessary to demonstrate that the transaction is authorized pursuant to paragraph (a) of this section.

(c) Any U.S. person engaging in or facilitating transactions authorized pursuant to this section shall keep a full and accurate record of each such transaction, including a copy of the contract or grant, and such record shall be available for examination for at least five (5) years after the date of the transaction.

(d) No payment pursuant to this section may involve a debit to an account blocked pursuant to this part.

Note 1 to § 538.531. This license does not relieve any persons participating in transactions authorized hereunder from compliance with any other U.S. legal requirements applicable to the transactions authorized pursuant to paragraph (a) of this section. See, e.g., the Export Administration Regulations (15 CFR parts 730 et seq.).

Note 2 to § 538.531. Paragraph (e) of § 538.212 exempts transactions for the conduct of the official business of the Federal Government or the United Nations by employees thereof from the prohibitions contained in this part.

[72 FR 61516, Oct. 31, 2007]
 § 538.532 Humanitarian transshipments to or from Southern Sudan and Darfur authorized.

The transit or transshipment to or from Southern Sudan and Darfur of goods, technology, or services intended for humanitarian purposes, through any area of Sudan not exempted by paragraph (g)(1) of § 538.212, is authorized.

[72 FR 61517, Oct. 31, 2007]
 § 538.533 Exportation of certain services and software incident to Internet-based communications.

(a) To the extent that such transactions are not exempt from the prohibitions of this part and subject to the restrictions set forth in paragraph (b) of this section, the following transactions are authorized:

(1) The exportation from the United States or by U.S. persons, wherever located, to persons in Sudan of services incident to the exchange of personal communications over the Internet, such as instant messaging, chat and email, social networking, sharing of photos and movies, web browsing, and blogging, provided that such services are publicly available at no cost to the user.

(2) The exportation from the United States or by U.S. persons, wherever located, to persons in Sudan of software necessary to enable the services described in paragraph (a)(1) of this section, provided that such software is classified as “EAR99” under the Export Administration Regulations, 15 CFR parts 730 through 774 (the “EAR”), is not subject to the EAR, or is classified by the U.S. Department of Commerce (“Commerce”) as mass market software under export control classification number (“ECCN”) 5D992 of the EAR, and provided further that such software is publicly available at no cost to the user.
§ 538.601

(b) This section does not authorize:

(1) The direct or indirect exportation of services or software with knowledge or reason to know that such services or software are intended for the Government of Sudan.

(2) The direct or indirect exportation of any goods or technology listed on the Commerce Control List in the EAR, 15 CFR part 774, supplement No. 1 ("CCL"), except for software necessary to enable the services described in paragraph (a)(1) of this section that is classified by Commerce as mass market software under ECCN 5D992 of the EAR.

(3) The direct or indirect exportation of Internet connectivity services or telecommunications transmission facilities (such as satellite links or dedicated lines).

(4) The direct or indirect exportation of web-hosting services that are for purposes other than personal communications (e.g., web-hosting services for commercial endeavors) or of domain name registration services.

(c) Specific licenses may be issued on a case-by-case basis for the exportation of other services and software incident to the sharing of information over the Internet, provided the software is classified as "EAR99," not subject to the EAR, or classified by Commerce as mass market software under ECCN 5D992 of the EAR.

(d) Nothing in this section or in any license issued pursuant to paragraph (c) of this section relieves the exporter from compliance with the export license application requirements of another Federal agency.

(75 FR 10999, Mar. 10, 2010)

Subpart F—Reports

§ 538.601 Records and reports.

For additional provisions relating to records and reports, see subpart C of part 501 of this chapter.

Subpart G—Penalties

§ 538.701 Penalties.

(a) Attention is directed to section 206 of the International Emergency Economic Powers Act (the “Act”)(30 U.S.C. 1705), which is applicable to violations of the provisions of any license, ruling, regulation, order, direction or instruction issued by or pursuant to the direction or authorization of the Secretary of the Treasury pursuant to this part or otherwise under the Act.

(1) A civil penalty not to exceed the amount set forth in section 206 of the Act may be imposed on any person who violates, attempts to violate, conspires to violate, or causes a violation of any license, order, regulation, or prohibition issued under the Act.

NOTE TO PARAGRAPH (a)(1) OF §538.701: As of June 10, 2008, the Act provides for a maximum civil penalty not to exceed the greater of $250,000 or an amount that is twice the amount of the transaction that is the basis of the violation with respect to which the penalty is imposed.

(2) A person who willfully commits, willfully attempts to commit, or willfully conspires to commit, or aids or abets in the commission of a violation of any license, order, regulation, or prohibition shall, upon conviction, be fined not more than $1,000,000, or if a natural person, may be imprisoned for not more than 20 years, or both.

(b) Adjustments to penalty amounts.


(2) The criminal penalties provided in the Act are subject to adjustment pursuant to 18 U.S.C. 3571.

(c) Attention is also directed to 18 U.S.C. 1001, which provides that whoever, in any matter within the jurisdiction of the executive, legislative, or judicial branch of the United States, knowingly and willfully falsifies, conceals or covers up by any trick, scheme, or device a material fact, or makes any materially false, fictitious or fraudulent statement or representation or makes or uses any false writing or document knowing the same to contain any materially false, fictitious or fraudulent statement or entry, shall be fined under title 18, United States Code, or imprisoned not more than five years, or both.
§ 538.702 Prepenalty notice.

(a) When required. If the Director of the Office of Foreign Assets Control has reason to believe that there has occurred a violation of any provision of this part or a violation of the provisions of any license, ruling, regulation, order, direction or instruction issued by or pursuant to the direction or authorization of the Secretary of the Treasury pursuant to this part or otherwise under the International Emergency Economic Powers Act, and the Director determines that further proceedings are warranted, the Director shall notify the alleged violator of the agency’s intent to impose a monetary penalty by issuing a prepenalty notice. The prepenalty notice shall be in writing. The prepenalty notice may be issued whether or not another agency has taken any action with respect to the matter.

(b) Contents of notice—(1) Facts of violation. The prepenalty notice shall describe the violation, specify the laws and regulations allegedly violated, and state the amount of the proposed monetary penalty.

(2) Right to respond. The prepenalty notice also shall inform the respondent of the respondent’s right to make a written presentation within the applicable 30-day period set forth in §538.703 as to why a monetary penalty should not be imposed or why, if imposed, the monetary penalty should be in a lesser amount than proposed.

(c) Informal settlement prior to issuance of prepenalty notice. At any time prior to the issuance of a prepenalty notice, an alleged violator may request in writing that, for a period not to exceed sixty (60) days, the agency withhold issuance of the prepenalty notice for the exclusive purpose of effecting settlement of the agency’s potential civil monetary penalty claims. In the event the Director grants the request, under terms and conditions within the Director’s discretion, the Office of Foreign Assets Control will agree to withhold issuance of the prepenalty notice for a period not to exceed 60 days and will enter into settlement negotiations with respect to the potential civil monetary penalty claim.

§ 538.703 Response to prepenalty notice; informal settlement.

(a) Deadline for response. The respondent may submit a response to the prepenalty notice within the applicable 30-day period set forth in this paragraph. The Director may grant, at the Director’s discretion, an extension of time in which to submit a response to the prepenalty notice. The failure to submit a response within the applicable time period set forth in this paragraph shall be deemed to be a waiver of the right to respond.

(1) Computation of time for response. A response to the prepenalty notice must be postmarked or date-stamped by the U.S. Postal Service (or foreign postal service, if mailed abroad) or courier service provider (if transmitted to OFAC by courier) on or before the 30th day after the postmark date on the envelope in which the prepenalty notice was mailed. If the respondent refused delivery or otherwise avoided receipt of the prepenalty notice, a response must be postmarked or date-stamped on or before the 30th day after the date on the stamped postal receipt maintained at the Office of Foreign Assets Control. If the prepenalty notice was personally delivered to the respondent by a non-U.S. Postal Service agent authorized by the Director, a response must be postmarked or date-stamped on or before the 30th day after the date of delivery.

(2) Extensions of time for response. If a due date falls on a federal holiday or weekend, that due date is extended to include the following business day. Any other extensions of time will be granted, at the Director’s discretion, only upon the respondent’s specific request to the Office of Foreign Assets Control.

(b) Form and method of response. The response must be submitted in type-written form and signed by the respondent or a representative thereof. The response need not be in any particular form. A copy of the written response may be sent by facsimile, but
the original also must be sent to the Office of Foreign Assets Control Civil Penalties Division by mail or courier and must be postmarked or date-stamped, in accordance with paragraph (a) of this section.

(c) Contents of response. A written response must contain information sufficient to indicate that it is in response to the prepenalty notice and must identify the Office of Foreign Assets Control identification number listed on the prepenalty notice.

(1) A written response must include the respondent’s full name, address, telephone number, and facsimile number, if available, or those of the representative of the respondent.

(2) A written response should either admit or deny each specific violation alleged in the prepenalty notice and also state if the respondent has no knowledge of a particular violation. If the written response fails to address any specific violation alleged in the prepenalty notice, that alleged violation shall be deemed to be admitted.

(3) A written response should include any information in defense, evidence in support of an asserted defense, or other factors that the respondent requests the Office of Foreign Assets Control to consider. Any defense or explanation previously made to the Office of Foreign Assets Control or any other agency must be repeated in the written response. Any defense not raised in the written response will be considered waived. The written response also should set forth the reasons why the respondent believes the penalty should not be imposed or why, if imposed, it should be in a lesser amount than proposed.

(d) Failure to respond. Where OFAC receives no response to a prepenalty notice within the applicable time period set forth in paragraph (a) of this section, a penalty notice generally will be issued, taking into account the mitigating and/or aggravating factors present in the record. If there are no mitigating factors present in the record, or the record contains a preponderance of aggravating factors, the proposed prepenalty amount generally will be assessed as the final penalty.

(e) Informal settlement. In addition to or as an alternative to a written response to a prepenalty notice, the respondent or respondent’s representative may contact the Office of Foreign Assets Control’s Civil Penalties Division as advised in the prepenalty notice to propose the settlement of allegations contained in the prepenalty notice and related matters. However, the requirements set forth in paragraph (g) of this section as to oral communication by the representative must first be fulfilled. In the event of settlement at the prepenalty stage, the claim proposed in the prepenalty notice will be withdrawn, the respondent will not be required to take a written position on allegations contained in the prepenalty notice, and the Office of Foreign Assets Control will make no final determination as to whether a violation occurred. The amount accepted in settlement of allegations in a prepenalty notice may vary from the civil penalty that might finally be imposed in the event of a formal determination of violation. In the event no settlement is reached, the time limit specified in paragraph (a) of this section for written response to the prepenalty notice will remain in effect, unless additional time is granted by the Office of Foreign Assets Control.

(f) Guidelines. Guidelines for the imposition or settlement of civil penalties by the Office of Foreign Assets Control have been codified in the Appendix to 31 CFR part 501, the Reporting, Procedures and Penalties Regulations.

(g) Representation. A representative of the respondent may act on behalf of the respondent, but any oral communication with the Office of Foreign Assets Control prior to a written submission regarding the specific allegations contained in the prepenalty notice must be preceded by a written letter of representation, unless the prepenalty notice was served upon the respondent in care of the representative.

[70 FR 34063, June 13, 2005]
by the respondent named in the prepenalty notice, the Director shall notify the respondent in writing of that determination and of the cancellation of the proposed monetary penalty.

(b) Violation. (1) If, after considering any written response to the prepenalty notice, or default in the submission of a written response, and any relevant facts, the Director of the Office of Foreign Assets Control determines that there was a violation by the respondent named in the prepenalty notice, the Director is authorized to issue a written penalty notice to the respondent of the determination of the violation and the imposition of the monetary penalty.

(2) The penalty notice shall inform the respondent that payment or arrangement for installment payment of the assessed penalty must be made within 30 days of the date of mailing of the penalty notice by the Office of Foreign Assets Control.

(3) The penalty notice shall inform the respondent of the requirement to furnish the respondent’s taxpayer identification number pursuant to 31 U.S.C. 7701 and that such number will be used for purposes of collecting and reporting on any delinquent penalty amount.

(4) The issuance of the penalty notice finding a violation and imposing a monetary penalty shall constitute final agency action. The respondent has the right to seek judicial review of that agency action in federal district court.

[70 FR 34064, June 13, 2005]

§ 538.705 Administrative collection; referral to United States Department of Justice.

In the event that the respondent does not pay the penalty imposed pursuant to this part or make payment arrangements acceptable to the Director of the Office of Foreign Assets Control within 30 days of the mailing of the written notice of the imposition of the penalty, the matter may be referred for administrative collection measures by the Department of the Treasury or to the United States Department of Justice for appropriate action to recover the penalty in a civil suit in a Federal district court.

[63 FR 35810, July 1, 1998, as amended at 68 FR 53658, Sept. 11, 2003]

Subpart H—Procedures

§ 538.801 Procedures.

For license application procedures and procedures relating to amendments, modifications, or revocations of licenses; administrative decisions; rulemaking; and requests for documents pursuant to the Freedom of Information and Privacy Acts (5 U.S.C. 552 and 552a), see part 501, subpart E, of this chapter.

Subpart I—Paperwork Reduction Act

§ 538.901 Paperwork Reduction Act notice.

The information collection requirements in §§ 538.506 and 538.521 have been approved by the Office of Management and Budget (“OMB”) and assigned control number 1505–0169. For approval by OMB under the Paperwork Reduction Act of other information collections relating to recordkeeping and reporting requirements, to licensing procedures (including those pursuant to statements of licensing policy), and to other procedures, see §501.901 of this chapter. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid control number assigned by OMB.

APPENDIX A TO PART 538—BULK AGRICULTURAL COMMODITIES

Notes:
1. Appendix A sets forth those agricultural commodities eligible for the bulk agricultural commodity sales licensing procedures in §538.524.

2. Commodities are identified by their classification numbers in the Harmonized Tariff Schedule of the United States (see 19 U.S.C. 1202) ("HTS").

<table>
<thead>
<tr>
<th>HTS Number</th>
<th>Commodity</th>
</tr>
</thead>
<tbody>
<tr>
<td>1001.10</td>
<td>Durum Wheat</td>
</tr>
<tr>
<td>1001.90</td>
<td>Other Wheat and Meslin, including seed, Red Spring Wheat, White Winter Wheat, &quot;Canadian&quot; Western Red Winter Wheat, Soft White Spring Wheat, and Wheat not elsewhere specified</td>
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<tr>
<td>1101.00</td>
<td>Wheat or Meslin Flour</td>
</tr>
<tr>
<td>1006.10</td>
<td>Rice in the husk (paddy or rough)</td>
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<tr>
<td>1006.20</td>
<td>Husked (brown) Rice</td>
</tr>
<tr>
<td>1006.30</td>
<td>Semi-milled or wholly milled Rice, whether or not polished or glazed</td>
</tr>
<tr>
<td>1006.40</td>
<td>Broken Rice</td>
</tr>
<tr>
<td>1102.30</td>
<td>Rice Flour</td>
</tr>
<tr>
<td>1103.14</td>
<td>Rice Groats, Meal and Pellets</td>
</tr>
<tr>
<td>1002.00</td>
<td>Rye</td>
</tr>
<tr>
<td>1003.00</td>
<td>Barley</td>
</tr>
<tr>
<td>1004.00</td>
<td>Oats</td>
</tr>
<tr>
<td>1007.00</td>
<td>Grain Sorghum</td>
</tr>
<tr>
<td>1005.00</td>
<td>Corn (Maize)</td>
</tr>
<tr>
<td>0713.31</td>
<td>Dried Beans including Vigna mungo (L.), Hepper, and Vigna radiata (L.) Wilczek</td>
</tr>
<tr>
<td>0713.32</td>
<td>Small red (adzuki) beans</td>
</tr>
<tr>
<td>0713.33</td>
<td>Kidney beans, including white pea beans</td>
</tr>
<tr>
<td>0713.39</td>
<td>Beans, other</td>
</tr>
<tr>
<td>0713.50</td>
<td>Broad beans and horse beans</td>
</tr>
<tr>
<td>0713.10</td>
<td>Dried Peas (Pisum sativum)</td>
</tr>
<tr>
<td>0713.20</td>
<td>Chickpeas (garbanzos)</td>
</tr>
<tr>
<td>0713.40</td>
<td>Lentils</td>
</tr>
<tr>
<td>0713.90</td>
<td>Dried leguminous vegetables, shelled, not elsewhere specified</td>
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<tr>
<td>1201.00</td>
<td>Soybeans, whether or not broken</td>
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<tr>
<td>2304.00</td>
<td>Soybean cake, meal and pellets</td>
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<tr>
<td>1507.10</td>
<td>Soybean oil, crude</td>
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<tr>
<td>1507.90</td>
<td>Soybean oil, other</td>
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<td>Rapeseed, colza and mustard oil, crude</td>
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<td>Peanut (ground-nut) oil, other</td>
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<td>Sesame oil</td>
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<td>Sugar Beets, fresh, chilled, frozen or dried</td>
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<td>1212.92</td>
<td>Sugar Cane, fresh, chilled, frozen or dried</td>
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<td>1701.11</td>
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<td>1701.12</td>
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<tr>
<td>1701.99</td>
<td>Cane or Beet Sugar, other, not elsewhere specified</td>
</tr>
</tbody>
</table>

[65 FR 41789, Aug. 2, 1999]
Office of Foreign Assets Control, Treasury

Subpart G—Penalties

539.701 Penalties.
539.702 Prepenalty notice.
539.703 Response to prepenalty notice; informal settlement.
539.704 Penalty imposition or withdrawal.
539.705 Administrative collection; referral to United States Department of Justice.

Subpart H—Procedures

539.801 Procedures.
539.802 Delegation by the Secretary of the Treasury.

Subpart I—Paperwork Reduction Act

539.901 Paperwork Reduction Act notice.

Appendix I to Part 539—Designated Foreign Persons


Source: 64 FR 8716, Feb. 23, 1999, unless otherwise noted.

Subpart A—Relation of This Part to Other Laws and Regulations

§ 539.101 Relation of this part to other laws and regulations.

(a) This part is separate from, and independent of, the other parts of this chapter, with the exception of part 501 of this chapter, the provisions of which apply to this part. Actions taken pursuant to part 501 of this chapter with respect to the prohibitions contained in this part are considered actions taken pursuant to this part. Differing foreign policy and national security contexts may result in differing interpretations of similar language among the parts of this chapter. No license or authorization contained in or issued pursuant to those other parts authorizes any transaction prohibited by this part. No license or authorization contained in or issued pursuant to any other provision of law or regulation authorizes any transaction prohibited by this part.

(b) No license contained in or issued pursuant to this part relieves the involved parties from complying with any other applicable laws or regulations.

§ 539.201 Prohibited importation of goods, technology, or services.

Except as otherwise authorized, the importation into the United States, on or after the effective date, directly or indirectly, of any goods, technology, or services produced or provided by a designated foreign person, other than information or informational materials, is prohibited.

§ 539.202 Prohibition on import-related transactions.

Except as otherwise authorized, no United States person may finance, act as broker for, transfer, transport, or otherwise participate in the importation into the United States on or after the effective date of any goods, technology, or services produced or provided by a designated foreign person, other than information or informational materials.

§ 539.203 Evasions; attempts; conspiracies.

Any transaction by any United States person or within the United States on or after the effective date that evades or avoids, has the purpose of evading or avoiding, or attempts to violate any of the prohibitions set forth in this part is prohibited. Any conspiracy formed for the purpose of engaging in a transaction prohibited by this part is prohibited.

§ 539.204 Exempt transactions.

(a) Personal communications. The prohibitions contained in this part do not apply to any postal, telegraphic, telephonic, or other personal communication, which does not involve the transfer of anything of value.

(b) Information or informational materials. (1) The prohibitions contained in this part do not apply to the importation from any country, or to the exportation to any country, whether commercial or otherwise, regardless of format or medium of transmission, of any information or informational materials as defined in §539.308, or any transaction directly incident to such importation or exportation.
(2) Paragraph (b)(1) of this section does not exempt from regulation or authorize transactions related to information or informational materials not fully created and in existence at the date of the transaction, or to the substantive or artistic alteration or enhancement of information or informational materials, or to the provision of marketing and business consulting services. Examples of prohibited transactions include, but are not limited to, payment of advances for information or informational materials not yet created and completed (with the exception of prepaid subscriptions for mass-market magazines and other periodical publications that are widely-circulated); importation into the United States of services to market, produce or co-produce, create, or assist in the creation of information or informational materials; and payment of royalties to a designated foreign person with respect to income received for enhancements or alterations made by U.S. persons to informational or informational materials imported from a designated foreign person.

(3) Paragraph (b)(1) of this section does not exempt from regulation or authorize the importation into the United States of or transactions incident to the importation into the United States or leasing of telecommunications transmission facilities (such as satellite links or dedicated lines) for use in the transmission of any data.

(c) Travel. The prohibitions contained in this part do not apply to transactions ordinarily incident to travel to or from any country, including importation of accompanied baggage for personal use, maintenance within any country including payment of living expenses and acquisition of goods or services for personal use, and arrangement or facilitation of such travel including nonscheduled air, sea, or land voyages.

Subpart C—General Definitions

§ 539.301 Designated foreign person.

The term designated foreign person means any person determined by the Secretary of State pursuant to section 4(a) of Executive Order 12938 of November 14, 1994 (59 FR 59099, 3 CFR, 1994 Comp., p. 950), as amended by section 1(a) of Executive Order 13094 of July 28, 1998 (63 FR 40803, July 30, 1998), to be subject to import measures. Designated foreign persons are any persons listed in appendix I to this part and any entities owned or controlled by any person listed in appendix I to this part unless otherwise indicated in appendix I to this part.

§ 539.302 Effective date.

The term effective date means the “effective date” specified in the relevant Federal Register notice issued by the Department of State identifying a designated foreign person. This date is listed after the name of each designated foreign person in appendix I to this part.

§ 539.303 Entity.

The term entity means a partnership, association, trust, joint venture, corporation, or other organization.

§ 539.304 Entity owned or controlled by a person listed in appendix I to this part.

The term entity owned or controlled by a person listed in appendix I to this part includes any subsidiaries and branches, wherever located, of entities listed in appendix I to this part, any successors to such entities, and any persons acting or purporting to act for or on behalf of any of the foregoing.

§ 539.305 General license.

The term general license means any license the terms of which are set forth in this part.

§ 539.306 Goods, technology, or services produced or provided by a designated foreign person.

With respect to the prohibitions in §§539.201 and 539.202, the term goods, technology, or services produced or provided by a designated foreign person includes but is not limited to the following:

(a) Goods grown, manufactured, extracted, or processed by a designated foreign person;

(b) Technology developed, owned, licensed, or otherwise controlled by a designated foreign person;

(c) Goods grown, manufactured, extracted, or processed by a designated foreign person.

The term effective date means the “effective date” specified in the relevant Federal Register notice issued by the Department of State identifying a designated foreign person. This date is listed after the name of each designated foreign person in appendix I to this part unless otherwise indicated in appendix I to this part.

§ 539.303 Entity.

The term entity means a partnership, association, trust, joint venture, corporation, or other organization.

§ 539.304 Entity owned or controlled by a person listed in appendix I to this part.

The term entity owned or controlled by a person listed in appendix I to this part includes any subsidiaries and branches, wherever located, of entities listed in appendix I to this part, any successors to such entities, and any persons acting or purporting to act for or on behalf of any of the foregoing.

§ 539.305 General license.

The term general license means any license the terms of which are set forth in this part.

§ 539.306 Goods, technology, or services produced or provided by a designated foreign person.

With respect to the prohibitions in §§539.201 and 539.202, the term goods, technology, or services produced or provided by a designated foreign person includes but is not limited to the following:

(a) Goods grown, manufactured, extracted, or processed by a designated foreign person;

(b) Technology developed, owned, licensed, or otherwise controlled by a designated foreign person;
(c) Services performed by or on behalf of a designated foreign person, or by a third party under contract, directly or indirectly, to a designated foreign person, regardless of location.

§ 539.307 Importation into the United States.

The term importation into the United States means:
(a) With respect to goods or technology, the bringing of any goods or technology into the United States, except that in the case of goods or technology being transported by vessel, importation into the United States means the bringing of any goods or technology into the United States with the intent to unlade. See also §539.404.
(b) With respect to services, the receipt in the United States of services or of the benefit of services wherever such services may be performed. The benefit of services is received in the United States if the services are:
(1) Performed on behalf of or for the benefit of a person located in the United States;
(2) Received by a person located in the United States;
(3) Received by a person located outside the United States on behalf of or for the benefit of an entity organized in the United States; or
(4) Received by an individual temporarily located outside the United States for the purpose of obtaining such services for use in the United States.
(c) The following example illustrates the provisions of paragraph (b) of this section:
Example: An employee of an entity organized in the United States may not, without specific authorization from the Office of Foreign Assets Control, receive from a designated foreign person consulting services for use in the United States.

§ 539.308 Information or informational materials.

(a) For purposes of this part, the term information or informational materials includes, but is not limited to, publications, films, posters, phonograph records, photographs, microfilms, microfiche, tapes, compact disks, CD ROMs, artworks, and news wire feeds.

(b) To be considered information or informational materials, artworks must be classified under chapter heading 9701, 9702, or 9703 of the Harmonized Tariff Schedule of the United States.

§ 539.309 License.

Except as otherwise specified, the term license means any license or authorization contained in or issued pursuant to this part.

§ 539.310 Person.

The term person means an individual or entity.

§ 539.311 Specific license.

The term specific license means any license not set forth in this part but issued pursuant to this part.

§ 539.312 United States.

The term United States means the United States, its territories and possessions, and all areas under the jurisdiction or authority thereof.

§ 539.313 United States person; U.S. person.

The term United States person or U.S. person means any United States citizen, permanent resident alien, entity organized under the laws of the United States (including foreign branches), or any person in the United States.

Subpart D—Interpretations

§ 539.401 Reference to amended sections.

Except as otherwise specified, reference to any provision in or appendix to this part or chapter or to any regulation, ruling, order, instruction, direction, or license issued pursuant to this part refers to the same as currently amended.

§ 539.402 Effect of amendment.

Unless otherwise specifically provided, any amendment, modification, or revocation of any provision in or appendix to this part or chapter or of any order, regulation, ruling, instruction, direction, or license issued pursuant to the direction of the Director of the Office of Foreign Assets Control does not affect any act done or omitted, or any civil or
§ 539.403 Transactions incident to a licensed transaction.

Any transaction ordinarily incidental to a licensed transaction and necessary to give effect to the licensed transaction is also authorized by the license. Except as specifically authorized by the terms of the license, prohibited transactions involving designated foreign persons not named in the license are not considered incidental to a licensed transaction and therefore remain prohibited.

§ 539.404 Transshipments through the United States prohibited.

(a) The prohibitions in §§ 539.201 and 539.202 apply to the importation into the United States, for transshipment or transit, of goods, technology, or services produced or provided by a designated foreign person that are intended or destined for third countries.

(b) In the case of goods or technology transported by vessel, the prohibitions in §§ 539.201 and 539.202 apply to the unloading in the United States and the intent to unload in the United States of goods or technology produced or provided by a designated foreign person that is intended or destined for third countries.

§ 539.405 Importation of goods or technology from third countries.

Importation into the United States from third countries of goods or technology is prohibited if undertaken with knowledge or reason to know that those goods contain raw materials or components produced or provided by a designated foreign person or technology produced or provided by a designated foreign person.
Office of Foreign Assets Control, Treasury

§ 539.701 Penalties.

(a) Attention is directed to section 206 of the International Emergency Economic Powers Act (the "Act") (50 U.S.C. 1705), which is applicable to violations of the provisions of any license, ruling, regulation, order, direction, or instruction issued by or pursuant to the direction or authorization of the Secretary of the Treasury pursuant to this part or otherwise under the Act.

(1) A civil penalty not to exceed the amount set forth in Section 206 of the Act may be imposed on any person who violates, attempts to violate, conspires to violate, or causes a violation of any license, order, regulation, or prohibition issued under the Act.

NOTE TO PARAGRAPH (a)(1) OF § 539.701: As of June 10, 2008, the Act provides for a maximum civil penalty not to exceed the greater of $250,000 or an amount that is twice the amount of the transaction that is the basis of the violation with respect to which the penalty is imposed.

(2) A person who willfully commits, willfully attempts to commit, or willfully conspires to commit, or aids or abets in the commission of a violation of any license, order, regulation, or prohibition shall, upon conviction, be fined not more than $1,000,000, or if a
natural person, may be imprisoned for not more than 20 years, or both.

(b) Adjustments to penalty amounts. (1) The civil penalties provided in the Act are subject to adjustment pursuant to the Federal Civil Penalties Inflation Adjustment Act of 1990 (Pub. L. 101–410, as amended, 28 U.S.C. 2461 note).

(2) The criminal penalties provided in the Act are subject to adjustment pursuant to 18 U.S.C. 3571.

(c) Attention is also directed to 18 U.S.C. 1001, which provides that whoever, in any matter within the jurisdiction of any department or agency of the United States, knowingly and willfully falsifies, conceals, or covers up by any trick, scheme, or device a material fact, or makes any false, fictitious, or fraudulent statement or representation or makes or uses any false writing or document knowing the same to contain any false, fictitious, or fraudulent statement or entry shall be fined under title 18, United States Code, or imprisoned not more than five years, or both.

(d) Violations of this part may also be subject to relevant provisions of other applicable laws.

§ 539.702 Prepenalty notice.

(a) When required. If the Director of the Office of Foreign Assets Control has reasonable cause to believe that there has occurred a violation of any provision of this part or a violation of the provisions of any license, ruling, regulation, order, direction, or instruction issued by or pursuant to the direction or authorization of the Secretary of the Treasury pursuant to this part or otherwise under the International Emergency Economic Powers Act, and the Director determines that further proceedings are warranted, the Director shall issue to the person concerned a notice of intent to impose a monetary penalty. This prepenalty notice shall be issued whether or not another agency has taken any action with respect to this matter.

(b) Contents—(1) Facts of violation. The prepenalty notice shall describe the violation, specify the laws and regulations allegedly violated, and state the amount of the proposed monetary penalty.

(2) Right to respond. The prepenalty notice also shall inform the respondent of respondent's right to make a written presentation within 30 days of the date of mailing of the notice as to why a monetary penalty should not be imposed or why, if imposed, the monetary penalty should be in a lesser amount than proposed.

§ 539.703 Response to prepenalty notice; informal settlement.

(a) Deadline for response. The respondent shall have 30 days from the date of mailing of the prepenalty notice to make a written response to the Director of the Office of Foreign Assets Control.

(b) Form and contents of response. The written response need not be in any particular form, but must contain information sufficient to indicate that it is in response to the prepenalty notice. It should contain responses to the allegations in the prepenalty notice and set forth the reasons why the respondent believes the penalty should not be imposed or why, if imposed, it should be in a lesser amount than proposed.

(c) Informal settlement. In addition or as an alternative to a written response to a prepenalty notice issued pursuant to this section, the respondent or respondent's representative may contact the Office of Foreign Assets Control as advised in the prepenalty notice to propose the settlement of allegations contained in the prepenalty notice and related matters. In the event of settlement at the prepenalty stage, the claim proposed in the prepenalty notice will be withdrawn, the respondent is not required to take a written position on allegations contained in the prepenalty notice, and the Office of Foreign Assets Control will make no final determination as to whether a violation occurred. The amount accepted in settlement of allegations in a prepenalty notice may vary from the civil penalty that might finally be imposed in the event of a formal determination of violation. In the event no settlement is reached, the 30-day period specified in paragraph (a) of this section for written response to the
prepenalty notice remains in effect unless additional time is granted by the Office of Foreign Assets Control.

§ 539.704 Penalty imposition or withdrawal.

(a) No violation. If, after considering any response to a prepenalty notice and any relevant facts, the Director of the Office of Foreign Assets Control determines that there was no violation by the respondent named in the prepenalty notice, the Director promptly shall notify the respondent in writing of that determination and that no monetary penalty will be imposed.

(b) Violation. If, after considering any response to a prepenalty notice and any relevant facts, the Director of the Office of Foreign Assets Control determines that there was a violation by the respondent named in the prepenalty notice, the Director promptly shall issue a written notice of the imposition of the monetary penalty to the respondent.

(1) The penalty notice shall inform the respondent that payment of the assessed penalty must be made within 30 days of the date of mailing of the penalty notice.

(2) The penalty notice shall inform the respondent of the requirement to furnish the respondent’s taxpayer identification number pursuant to 31 U.S.C. 7701 and that such number will be used for purposes of collecting and reporting on any delinquent penalty amount.

§ 539.705 Administrative collection; referral to United States Department of Justice.

In the event that the respondent does not pay the penalty imposed pursuant to this part or make payment arrangements acceptable to the Director of the Office of Foreign Assets Control within 30 days of the date of mailing of the penalty notice, the matter may be referred for administrative collection measures by the Department of the Treasury or to the United States Department of Justice for appropriate action to recover the penalty in a civil suit in a Federal district court.

Subpart H—Procedures

§ 539.801 Procedures.

For license application procedures and procedures relating to amendments, modifications, or revocations of licenses; administrative decisions; rulemaking; and requests for documents pursuant to the Freedom of Information and Privacy Acts (5 U.S.C. 552 and 552a), see part 501, subpart E, of this chapter.


§ 539.802 Delegation by the Secretary of the Treasury.

Any action that the Secretary of the Treasury is authorized to take pursuant to Executive Order 12938 of November 14, 1994 (59 FR 59099, 3 CFR, 1994 Comp., p. 950), as amended by Executive Order 13094 of July 28, 1998 (63 FR 40803, July 30, 1998), and any further Executive orders relating to the national emergency declared in Executive Order 12938 may be taken by the Director of the Office of Foreign Assets Control or by any other person to whom the Secretary of the Treasury has delegated authority so to act.

Subpart I—Paperwork Reduction Act

§ 539.901 Paperwork Reduction Act notice.

For approval by the Office of Management and Budget (‘‘OMB’’) under the Paperwork Reduction Act of 1995 (44 U.S.C. 3507) of information collections relating to recordkeeping and reporting requirements, licensing procedures (including those pursuant to statements of licensing policy), and other procedures, see §501.901 of this chapter. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid control number assigned by OMB.

APPENDIX I TO PART 539—DESIGNATED FOREIGN PERSONS

The following foreign persons have been determined by the Secretary of State to have materially contributed or attempted to contribute materially to the efforts of a foreign
country, project, or entity of proliferation concern to use, acquire, design, develop, produce, or stockpile weapons of mass destruction or missiles capable of delivering such weapons, for purposes of section 4(a) of Executive Order 12938, as amended by section 1(a) of Executive Order 13094, and to be subject to import measures authorized in Executive Orders 12938 and 13094. They, and any entities owned or controlled by them, unless indicated otherwise, are designated foreign persons for purposes of this part. The applicable effective date and citation to the Federal Register for each such person is given in brackets after that person's name and identifying information:

1. Baltic State Technical University, including at 1/21, 1-ya Krasnoarmeiskaya Ul., 198005 St. Petersburg, Russia [July 30, 1998; 63 FR 42089, August 6, 1998].

2. Europalace 2000, including at Moscow, Russia [July 30, 1998; 63 FR 42089, August 6, 1998].

3. Glavkosmos, including at 9 Krasnoproletarskaya St., 103030 Moscow, Russia [July 30, 1998; 63 FR 42089, August 6, 1998].

4. Grafit, also known as (“aka”) State Scientific Research Institute of Graphite or NIIKAFIT, including at 2 Ulitsa Elektrodnaya, 111524 Moscow, Russia [July 30, 1998; 63 FR 42089, August 6, 1998].

5. MOSO Company, including at Moscow, Russia [July 30, 1998; 63 FR 42089, August 6, 1998].

6. D. Mendeleev University of Chemical Technology of Russia, including at 9 Miusskaya Sq., Moscow 125047, Russia [January 8, 1999; 64 FR 2935, January 19, 1999].

7. Moscow Aviation Institute (MAI), including at 4 Volokolamskoye Shosse, Moscow 125871, Russia [January 8, 1999; 64 FR 2935, January 19, 1999].

8. The Scientific Research and Design Institute of Power Technology, aka NIKIET, Research and Development Institute of Power Engineering (RDIPE), and ENTEK, including at 101000, P.O. Box 788, Moscow, Russia.


PART 540—HIGHLY ENRICHED URANIUM (HEU) AGREEMENT ASSETS CONTROL REGULATIONS

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Office of Foreign Assets Control, Treasury

Subpart H—Procedures

§ 540.801 Procedures.
§ 540.802 Delegation by the Secretary of the Treasury.

Subpart I—Paperwork Reduction Act

§ 540.901 Paperwork Reduction Act notice.


SOURCE: 66 FR 38555, July 25, 2001, unless otherwise noted.

Subpart A—Relation of This Part to Other Laws and Regulations

§ 540.101 Relation of this part to other laws and regulations.

(a) This part is separate from, and independent of, the other parts of this chapter, with the exception of part 501 of this chapter, the recordkeeping and reporting requirements and license application and other procedures of which apply to this part. Actions taken pursuant to part 501 of this chapter with respect to the prohibitions contained in this part are considered actions taken pursuant to this part. Differing foreign policy and national security circumstances may result in differing interpretations of similar language among the parts of this chapter. No license or authorization contained in or issued pursuant to this part authorizes any transaction prohibited by this part. No license or authorization contained in or issued pursuant to any other provision of law or regulation authorizes any transaction prohibited by this part.

(b) Nothing contained in these regulations shall relieve a person from any requirement to obtain a license or other authorization from any department or agency of the United States Government in compliance with applicable laws and regulations subject to the jurisdiction of that department or agency, and no license contained in or issued pursuant to this part relieves the involved parties from complying with any other applicable laws or regulations.

Subpart B—Prohibitions

§ 540.201 Prohibited transactions involving blocked property.

(a) Except as otherwise authorized by regulations, orders, directives, rulings, instructions, licenses, or otherwise, the property or property interests of the Government of the Russian Federation that are directly related to the implementation of the Highly Enriched Uranium (HEU) Agreements, that are in the United States, that hereafter come within the United States, or that are or hereafter come within the possession or control of U.S. persons are blocked and may not be transferred, paid, exported, withdrawn or otherwise dealt in.

(b) Unless otherwise authorized by this part or by a specific license expressly referring to this part, any attachment, judgment, decree, lien, execution, garnishment, or other judicial process is null and void with respect to any blocked property or interest in blocked property covered by this part.

§ 540.202 Effect of transfers violating the provisions of this part.

(a) Any transfer after the effective date (see §540.302) that is in violation of any provision of this part or of any regulation, order, directive, ruling, instruction, or license issued pursuant to this part, and that involves any property or interest in property blocked pursuant to §540.201(a) is null and void and shall not be the basis for the assertion or recognition of any interest in or right, remedy, power, or privilege with respect to such property or property interests.

(b) No transfer before the effective date shall be the basis for the assertion or recognition of any right, remedy, power, or privilege with respect to, or any interest in, any property or interest in property blocked pursuant to §540.201, unless the person with whom such property is held or maintained, prior to that date, had written notice of the transfer or by any written evidence had recognized such transfer.

(c) Unless otherwise provided, an appropriate license or other authorization issued by or pursuant to the direction or authorization of the Director of
§ 540.203 Holding of funds in interest-bearing accounts; investment and reinvestment.

(a) Except as provided in paragraphs (c) or (d) of this section, or as otherwise directed by the Office of Foreign Assets Control, any U.S. person holding funds, such as currency, bank deposits, or liquidated financial obligations subject to §540.201 shall hold or place such funds in a blocked interest-bearing account located in the United States.

(b)(1) For purposes of this section the term blocked interest-bearing account means a blocked account:
   (i) In a federally-insured U.S. bank, thrift institution, or credit union, provided the funds are earning interest at rates which are commercially reasonable; or
   (ii) With a broker or dealer registered with the Securities and Exchange Commission under the Securities Exchange Act of 1934, provided the funds are invested in a money market fund or U.S. Treasury Bills.

(2) For purposes of this section, a rate is commercially reasonable if it is the rate currently offered to other depositors on deposits or instruments of comparable size and maturity.

(3) Funds held or placed in a blocked account pursuant to this paragraph (b) may not be invested in instruments the maturity of which exceeds 180 days. If interest is credited to a separate blocked account or sub-account, the name of the account party on each account must be the same.

(c) Blocked funds held in instruments the maturity of which exceeds 180 days at the time the funds become subject to §540.201 may continue to be held until maturity in the original instrument, provided any interest, earnings, or other proceeds derived therefrom are tained by misrepresentation of a third party or withholding of material facts or was otherwise fraudulently obtained.

NOTE TO PARAGRAPH (d) OF §540.202: The filing of a report in accordance with the provisions of paragraph (d)(3) of this section shall not be deemed evidence that the terms of paragraphs (d)(1) and (d)(2) of this section have been satisfied.
Office of Foreign Assets Control, Treasury

§ 540.305

The term HEU Agreements means the Agreement Between the Government of the United States of America and the Government of the Russian Federation Concerning the Disposition of Highly Enriched Uranium Extracted from Nuclear Weapons, dated February 18, 1993; the Initial Implementing Contract, Contract Number DE-AC01-93NE50067, dated January 14, 1994; and all current and future amendments thereto; as well as the related current and future implementing agreements, memoranda of understanding, protocols, and contracts, including all current and future amendments thereto, to include without limitation the following:

(a) Memorandum of Agreement Between the United States, Acting By and Through the United States Department of State, and the United States Department of Energy and the United States Enrichment Corporation (USEC), for USEC to Serve as the United States Government’s Executive Agent under the Agreement Between the United States and the Russian Federation Concerning the Disposition of Highly Enriched Uranium Extracted from Nuclear Weapons, dated April 18, 1997;

(b) Agreement Between the United States Department of Energy and the
 § 540.306 Highly Enriched Uranium (HEU).

The term highly enriched uranium or HEU means uranium enriched to twenty (20) percent or greater in the isotope U235.

 § 540.307 Licenses; general and specific.

(a) Except as otherwise specified, the term license means any license or authorization contained in or issued pursuant to this part.

(b) The term general license means any license or authorization the terms of which are set forth in subpart E of this part.

(c) The term specific license means any license or authorization not set forth in subpart E of this part but issued pursuant to this part.

 Note to § 540.307. See § 501.801 of this chapter on licensing procedures.

 § 540.308 Low Enriched Uranium (LEU).

The term low enriched uranium or LEU means uranium enriched to less than twenty (20) percent in the isotope U235.

 § 540.309 Natural uranium.

The term natural uranium means uranium found in nature, with an average concentration of 0.711 percent by weight of the isotope U235.

 § 540.310 Person.

The term person means an individual or entity.
levy of or under any judgment, decree, attachment, injunction, execution, or other judicial or administrative process or order, or the service of any garnishment; the acquisition of any interest of any nature whatsoever by reason of a judgment or decree of any foreign country; the fulfillment of any condition; the exercise of any power of appointment, power of attorney, or other power; or the acquisition, disposition, transportation, importation, exportation, or withdrawal of any security.

§ 540.313 United States.

The term United States means the United States, its territories and possessions, and all areas under the jurisdiction or authority thereof.

§ 540.314 United States person; U.S. person.

The term United States person or U.S. person means any United States citizen, permanent resident alien, juridical person organized under the laws of the United States or any jurisdiction within the United States, including foreign branches, or any person in the United States.

§ 540.315 Uranium-235 (U235).

The term uranium-235 or U235 means the fissile isotope found in natural uranium.

§ 540.316 Uranium enrichment.

The term uranium enrichment means the process of increasing the concentration of the isotope U235 relative to that of the isotope U238.

§ 540.317 Uranium feed; natural uranium feed.

The term uranium feed or natural uranium feed means natural uranium in the form of UF6 suitable for uranium enrichment.

§ 540.318 Uranium Hexafluoride (UF6).

The term uranium hexafluoride or UF6 means a compound of uranium and fluorine.

§ 540.319 U.S. financial institution.

The term U.S. financial institution means any U.S. entity (including its foreign branches) that is engaged in the business of accepting deposits, making, granting, transferring, holding, or brokering loans or credits, or purchasing or selling foreign exchange, securities, commodity futures or options, or procuring purchasers and sellers thereof, as principal or agent; including but not limited to, depository institutions, banks, savings banks, trust companies, securities brokers and dealers, commodity futures and options brokers and dealers, forward contract and foreign exchange merchants, securities and commodities exchanges, clearing corporations, investment companies, employee benefit plans, and U.S. holding companies, U.S. affiliates, or U.S. subsidiaries of any of the foregoing. This term includes those branches, offices and agencies of foreign financial institutions that are located in the United States, but not such institutions’ foreign branches, offices, or agencies.
31 CFR Ch. V (7–1–10 Edition)

§ 540.404 Setoffs prohibited.

A setoff against blocked property (including a blocked account), whether by a U.S. bank or other U.S. person, is a prohibited transfer under §540.201 if effected after the effective date (see §540.302).

§ 540.405 Transactions incidental to a licensed transaction.

Any transaction ordinarily incident to a licensed transaction and necessary to give effect thereto is also authorized, except for any attachment, judgment, decree, lien, execution, garnishment, or other judicial process which has the effect of encumbering the property or interest in property of the Government of the Russian Federation directly related to the implementation of the HEU agreements, or any transaction involving a debit to a blocked account or transfer of blocked property not explicitly authorized within the terms of a license.

Subpart E—Licenses, Authorizations, and Statements of Licensing Policy

§ 540.500 Licensing procedures.

For provisions relating to licensing procedures, see part 501, subpart E, of this chapter. Licensing actions taken pursuant to part 501 of this chapter with respect to the prohibitions contained in this part are considered actions taken pursuant to this part.

[68 FR 53658, Sept. 11, 2003]

§ 540.501 Effect of license or authorization.

(a) No license or other authorization contained in this part, or otherwise issued by or under the direction of the Director of the Office of Foreign Assets Control, authorizes or validates any transaction effected prior to the issuance of the license, unless specifically provided in such license or authorization.

(b) Unless otherwise specifically provided in a license or authorization issued pursuant to this part, if property (including any property interest) is transferred or attempted to be transferred to the Government of the Russian Federation, such property shall be deemed to be property in which there exists an interest of the Government of the Russian Federation.

§ 540.502 Exclusion from licenses.

The Director of the Office of Foreign Assets Control reserves the right to exclude any person, property, or transaction from the operation of any license or from the privileges conferred by any license. The Director of the Office of Foreign Assets Control also reserves the right to restrict the applicability of any license to particular persons, property, transactions, or classes thereof. Such actions are binding upon all persons receiving actual or constructive notice of the exclusions or restrictions.
§ 540.503 Payments and transfers to blocked accounts in U.S. financial institutions.

Except as otherwise authorized, licensed or directed by the Office of Foreign Assets Control, any payment of funds or transfer of credit in which the Government of the Russian Federation has any interest that is directly related to the implementation of the HEU Agreements and that comes within the possession or control of a U.S. financial institution must be blocked in an account on the books of that financial institution. A transfer of funds or credit by a U.S. financial institution between blocked accounts in its branches or offices is authorized, provided that no transfer is made from an account within the United States to an account held outside the United States, and further provided that a transfer from a blocked account may only be made to another blocked account held in the same name. U.S. financial institutions are authorized to engage in routine currency exchange transfers involving funds directly associated with the implementation of the HEU agreements that flow through correspondent accounts in U.S. financial institutions.

NOTE TO § 540.503. Please refer to § 501.603 of this chapter for mandatory reporting requirements regarding financial transfers. See also § 501.203 concerning the obligation to hold blocked funds in interest-bearing accounts.

§ 540.504 Entries in certain accounts for normal service charges authorized.

(a) A U.S. financial institution is authorized to debit any blocked account held by that financial institution in payment or reimbursement for normal service charges owed to it by the owner of the blocked account.

(b) As used in this section, the term normal service charge shall include charges in payment or reimbursement for interest due; cable, telegraph, internet, or telephone charges; postage costs; custody fees; small adjustment charges to correct bookkeeping errors; and, but not by way of limitation, minimum balance charges, notary and protest fees, and charges for reference books, photocopies, credit reports, transcripts of statements, registered mail, insurance, stationery and supplies, and other similar items.

Subpart F—Reports

§ 540.601 Records and reports.

For additional provisions relating to required records and reports, see part 501, subpart C, of this chapter.

Subpart G—Penalties

§ 540.701 Penalties.

(a) Attention is directed to section 206 of the International Emergency Economic Powers Act (the “Act”) (50 U.S.C. 1705), which is applicable to violations of the provisions of any license, ruling, regulation, order, direction, or instruction issued by or pursuant to the direction or authorization of the Secretary of the Treasury pursuant to this part or otherwise under the Act.

(1) A civil penalty not to exceed the amount set forth in Section 206 of the Act may be imposed on any person who violates, attempts to violate, conspires to violate, or causes a violation of any license, order, regulation, or prohibition issued under the Act.

NOTE TO PARAGRAPH (a)(1) OF § 540.701: As of June 10, 2008, the Act provides for a maximum civil penalty not to exceed the greater of $250,000 or an amount that is twice the amount of the transaction that is the basis of the violation with respect to which the penalty is imposed.

(2) A person who willfully commits, willfully attempts to commit, or willfully conspires to commit, or aids or abets in the commission of a violation of any license, order, regulation, or prohibition shall, upon conviction, be fined not more than $1,000,000, or if a natural person, may be imprisoned for not more than 20 years, or both.

(b) Adjustments to penalty amounts.


(2) The criminal penalties provided in the Act are subject to adjustment pursuant to 18 U.S.C. 3571.
(c) Attention is also directed to 18 U.S.C. 1001, which provides that whoever, in any matter within the jurisdiction of the executive, legislative, or judicial branch of the Government of the United States, knowingly and willfully falsifies, conceals, or covers up by any trick, scheme, or device, a material fact, or makes any materially false, fictitious, or fraudulent statement or representation or makes or uses any false writing or document knowing the same to contain any materially false, fictitious, or fraudulent statement or entry shall be fined under title 18, United States Code, or imprisoned not more than five years, or both.

(d) Violations of this part may also be subject to relevant provisions of other applicable laws.

§ 540.703 Response to prepenalty notice; informal settlement.

(a) Deadline for response. The respondent may submit a response to the prepenalty notice within the applicable 30 day period set forth in this paragraph. The Director may grant, at his discretion, an extension of time in which to submit a response to the prepenalty notice. The failure to submit a response within the applicable time period set forth in this paragraph shall be deemed to be a waiver of the right to respond.

(1) Computation of time for response. A response to the prepenalty notice must be postmarked or date-stamped by the U.S. Postal Service (or foreign postal service, if mailed abroad) or courier service provider (if transmitted to OFAC by courier) on or before the 30th day after the postmark date on the envelope in which the prepenalty notice was mailed. If the respondent refused delivery or otherwise avoided receipt of the prepenalty notice, a response must be postmarked or date-stamped on or before the 30th day after the date on the stamped postal receipt maintained at the Office of Foreign Assets Control. If the prepenalty notice was personally delivered to the respondent by a non-U.S. Postal Service agent authorized by the Director, a response must be postmarked or date-stamped on or before the 30th day after the date of delivery.
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(2) Extensions of time for response. If a due date falls on a federal holiday or weekend, that due date is extended to include the following business day. Any other extensions of time will be granted, at the Director’s discretion, only upon the respondent’s specific request to the Office of Foreign Assets Control.

(b) Form and method of response. The response must be submitted in writing and may be handwritten or typed. The response need not be in any particular form. A copy of the written response may be sent by facsimile, but the original must also be sent to the Office of Foreign Assets Control Civil Penalties Division by mail or courier and must be postmarked or date-stamped, in accordance with paragraph (a) of this section.

(c) Contents of response. A written response must contain information sufficient to indicate that it is in response to the prepenalty notice.

(1) A written response must include the respondent’s full name, address, telephone number, and facsimile number, if available, or those of the representative of the respondent.

(2) A written response should either admit or deny each specific violation alleged in the prepenalty notice and also state if the respondent has no knowledge of a particular violation. If the written response fails to address any specific violation alleged in the prepenalty notice, that alleged violation shall be deemed to be admitted.

(3) A written response should include any information in defense, evidence in support of an asserted defense, or other factors that the respondent requests the Office of Foreign Assets Control to consider. Any defense or explanation previously made to the Office of Foreign Assets Control or any other agency must be repeated in the written response. Any defense not raised in the written response will be considered waived. The written response should also set forth the reasons why the respondent believes the penalty should not be imposed or why, if imposed, it should be in a lesser amount than proposed.

(d) Default. If the respondent elects not to submit a written response within the time limit set forth in paragraph (a) of this section, the Office of Foreign Assets Control will conclude that the respondent has decided not to respond to the prepenalty notice. The agency generally will then issue a written penalty notice imposing the penalty proposed in the prepenalty notice.

(e) Informal settlement. In addition to or as an alternative to a written response to a prepenalty notice, the respondent or respondent’s representative may contact the Office of Foreign Assets Control as advised in the prepenalty notice to propose the settlement of allegations contained in the prepenalty notice and related matters. However, the requirements set forth in paragraph (f) of this section as to oral communication by the representative must first be fulfilled. In the event of settlement at the prepenalty stage, the claim proposed in the prepenalty notice will be withdrawn, the respondent will not be required to take a written position on allegations contained in the prepenalty notice, and the Office of Foreign Assets Control will make no final determination as to whether a violation occurred. The amount accepted in settlement of allegations in a prepenalty notice may vary from the civil penalty that might finally be imposed in the event of a formal determination of violation. In the event no settlement is reached, the time limit specified in paragraph (a) of this section for written response to the prepenalty notice remains in effect unless additional time is granted by the Office of Foreign Assets Control.

(f) Representation. A representative of the respondent may act on behalf of the respondent, but any oral communication with the Office of Foreign Assets Control prior to a written submission regarding the specific allegations contained in the prepenalty notice must be preceded by a written letter of representation, unless the prepenalty notice was served upon the respondent in care of the representative.

§ 540.704 Penalty imposition or withdrawal.

(a) No violation. If, after considering any response to the prepenalty notice and any relevant facts, the Director of the Office of Foreign Assets Control determines that there was no violation by the respondent named in the
§ 540.705 Administrative collection; referral to United States Department of Justice.

In the event that the respondent does not pay the penalty imposed pursuant to this part or make payment arrangements acceptable to the Director of the Office of Foreign Assets Control within 30 days of the date of mailing of the penalty notice, the matter may be referred for administrative collection measures by the Department of the Treasury or to the United States Department of Justice for appropriate action to recover the penalty in a civil suit in a federal district court.

Subpart H—Procedures

§ 540.801 Procedures.

For license application procedures and procedures relating to amendments, modifications, or revocations of licenses; administrative decisions; rulemaking; and requests for documents pursuant to the Freedom of Information and Privacy Acts (5 U.S.C. 552 and 552a), see subpart E of part 501 of this chapter.


§ 540.802 Delegation by the Secretary of the Treasury.

Any action that the Secretary of the Treasury is authorized to take pursuant to Executive Order 13159 of June 21, 2000 (65 FR 39279, June 26, 2000) and any further executive orders relating to the national emergency declared in Executive Order 13159 may be taken by the Director of the Office of Foreign Assets Control or by any other person to whom the Secretary of the Treasury has delegated authority so to act.

Subpart I—Paperwork Reduction Act

§ 540.901 Paperwork Reduction Act notice.

For approval by the Office of Management and Budget ("OMB") under the Paperwork Reduction Act of 1995 (44 U.S.C. 3507) of information collections relating to recordkeeping and reporting requirements, licensing procedures (including those pursuant to statements of licensing policy), and other procedures, see 501.901 of this chapter. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid control number assigned by OMB.
§ 541.101 Relation of this part to other laws and regulations.

This part is separate from, and independent of, the other parts of this chapter, with the exception of part 501 of this chapter, the record keeping and reporting requirements and license application and other procedures of which apply to this part. Actions taken pursuant to part 501 of this chapter with respect to the prohibitions contained in this part are considered actions taken pursuant to this part. Differing foreign policy and national security circumstances may result in differing interpretations of similar language among the parts of this chapter. No license or authorization contained in or issued pursuant to those other parts authorizes any transaction prohibited by this part. No license or authorization contained in or issued pursuant to any other provision of law or regulation authorizes any transaction prohibited by this part. No license or authorization contained in or issued pursuant to this part relieves the involved parties from complying with any other applicable laws or regulations.
§ 541.201 Prohibited transactions involving blocked property.

(a) Except as authorized by regulations, orders, directives, rulings, instructions, licenses or otherwise, and notwithstanding any contracts entered into or any license or permit granted prior to the effective date, property or interests in property of the following persons that are in the United States, that hereafter come within the United States, or that are or hereafter come within the possession or control of U.S. persons, including their overseas branches, are blocked and may not be transferred, paid, exported, withdrawn or otherwise dealt in:

1. Any person listed in the Annex to Executive Order 13288 of March 6, 2003 (68 FR 11457, March 10, 2003); and

2. Any person determined by the Secretary of the Treasury, in consultation with the Secretary of State, to be owned or controlled by, or acting or purporting to act directly or indirectly for or on behalf of, any person listed in the Annex to Executive Order 13288.

NOTE TO PARAGRAPH (a) OF § 541.201: The names of persons whose property or interests in property are blocked pursuant to paragraph (a) of this section will be published on OFAC’s Web site, announced in the Federal Register and incorporated on an ongoing basis with the identifier [ZIMBABWE] into appendix A to 31 CFR chapter V. Section 501.807 of this chapter V sets forth the procedures to be followed by persons seeking administrative reconsideration of their designation pursuant to paragraph (a)(2) of this section or who wish to assert that the circumstances resulting in designation no longer apply. Similarly, when a transaction results in the blocking of funds at a financial institution pursuant to this section and a party to the transaction believes the funds to have been blocked due to mistaken identity, that party may seek to have such funds unblocked pursuant to the administrative procedures set forth in §501.806 of this chapter.

(b) Unless otherwise authorized by this part or by a specific license expressly referring to this section, any dealing in any security (or evidence thereof) held within the possession or control of a U.S. person and either registered or inscribed in the name of or known to be held for the benefit of any person whose property or interests in property are blocked pursuant to paragraph (a) of this section is prohibited. This prohibition includes but is not limited to the transfer (including the transfer on the books of any issuer or agent thereof), disposition, transportation, importation, exportation, or withdrawal of any such security or the endorsement or guaranty of signatures on any such security. This prohibition applies irrespective of the fact that at any time (whether prior to, on, or subsequent to the effective date) the registered or inscribed owner of any such security may have or might appear to have assigned, transferred, or otherwise disposed of the security.

§ 541.202 Effect of transfers violating the provisions of this part.

(a) Any transfer after the effective date that is in violation of any provision of this part or of any regulation, order, directive, ruling, instruction, or license issued pursuant to this part, and that involves any property or interest in property blocked pursuant to §541.201(a), is null and void and shall not be the basis for the assertion or recognition of any interest in or right, remedy, power, or privilege with respect to such property or property interests.

(b) No transfer before the effective date shall be the basis for the assertion or recognition of any right, remedy, power, or privilege with respect to, or any interest in, any property or interest in property blocked pursuant to §541.201(a), unless the person with whom such property is held or maintained, prior to that date, had written notice of the transfer or by any written evidence had recognized such transfer.

(c) Unless otherwise provided, an appropriate license or other authorization issued by or pursuant to the direction or authorization of the Director of the Office of Foreign Assets Control before, during, or after a transfer shall validate such transfer or make it enforceable to the same extent that it would be valid or enforceable but for the provisions of the International Emergency Economic Powers Act (50 U.S.C. 1701 et seq.), this part, and any regulation, order, directive, ruling, instruction, or license issued pursuant to this part.
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(d) Transfers of property that otherwise would be null and void or unenforceable by virtue of the provisions of this section shall not be deemed to be null and void or unenforceable as to any person with whom such property was held or maintained (and as to such person only) in cases in which such person is able to establish to the satisfaction of the Director of the Office of Foreign Assets Control each of the following:

(1) Such transfer did not represent a willful violation of the provisions of this part by the person with whom such property was held or maintained;

(2) The person with whom such property was held or maintained did not have reasonable cause to know or suspect, in view of all the facts and circumstances known or available to such person, that such transfer required a license or authorization issued pursuant to this part and was not so licensed or authorized, or, if a license or authorization did purport to cover the transfer, that such license or authorization had been obtained by misrepresentation of a third party or withholding of material facts or was otherwise fraudulently obtained; and

(3) The person with whom such property was held or maintained filed with the Office of Foreign Assets Control a report setting forth in full the circumstances relating to such transfer promptly upon discovery that:

(i) Such transfer was in violation of the provisions of this part or any regulation, ruling, instruction, license, or other direction or authorization issued pursuant to this part;

(ii) Such transfer was not licensed or authorized by the Director of the Office of Foreign Assets Control; or

(iii) If a license did purport to cover the transfer, such license had been obtained by misrepresentation of a third party or withholding of material facts or was otherwise fraudulently obtained.

NOTE TO PARAGRAPH (d) OF §541.202: The filing of a report in accordance with the provisions of paragraph (d)(3) of this section shall not be deemed evidence that the terms of paragraphs (d)(1) and (d)(2) of this section have been satisfied.

(e) Except to the extent otherwise provided by law or unless licensed pursuant to this part, any attachment, judgment, decree, lien, execution, garnishment, or other judicial process is null and void with respect to any property in which on or since the effective date there existed an interest of a person whose property or interests in property are blocked pursuant to §541.201(a).

§ 541.203 Holding of funds in interest-bearing accounts; investment and reinvestment.

(a) Except as provided in paragraph (c) or (d) of this section, or as otherwise directed by the Office of Foreign Assets Control, any U.S. person holding funds, such as currency, bank deposits, or liquidated financial obligations, subject to §541.201(a) shall hold or place such funds in a blocked interest-bearing account located in the United States.

(b)(1) For purposes of this section, the term blocked interest-bearing account means a blocked account:

(i) In a federally-insured U.S. bank, thrift institution, or credit union, provided the funds are earning interest at rates that are commercially reasonable; or

(ii) With a broker or dealer registered with the Securities and Exchange Commission under the Securities Exchange Act of 1934 (15 U.S.C. 78a et seq.), provided the funds are invested in a money market fund or in U.S. Treasury bills.

(2) For purposes of this section, a rate is commercially reasonable if it is the rate currently offered to other depositors on deposits or instruments of comparable size and maturity.

(c) Blocked funds held in instruments the maturity of which exceeds 180 days at the time the funds become subject to §541.201(a) may continue to be held until maturity in the original instrument, provided any interest, earnings, or other proceeds derived therefrom are
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paid into a blocked interest-bearing account in accordance with paragraph (b)
or (d) of this section.

(d) Blocked funds held in accounts or instruments outside the United States
at the time the funds become subject to §541.201(a) may continue to be held
in the same type of accounts or instruments, provided the funds earn interest
at rates that are commercially reasonable.

(e) This section does not create an affirmative obligation for the holder of
blocked tangible property, such as chattels or real estate, or of other
blocked property, such as debt or equity securities, to sell or liquidate such
property at the time the property becomes subject to §541.201(a). However,
the Office of Foreign Assets Control may issue licenses permitting or di-
recting such sales in appropriate cases.

(f) Funds subject to this section may not be held, invested, or reinvested in a
manner that provides immediate financial or economic benefit or access to
any person whose property or interests in property are blocked pursuant to
§541.201(a), nor may their holder cooperate in or facilitate the pledging or
other attempted use of blocked funds or other assets as collateral.

§ 541.206 Exempt transactions.

(a) Personal communications. The prohibitions contained in this part do not
apply to any postal, telegraphic, telephonic, or other personal communica-
tion that does not involve the transfer of anything of value.

(b) Information or informational mate-
rials. (1) The importation from any
country and the exportation to any
country of information or informa-
tional materials, as defined in §541.304,
whether commercial or otherwise, re-
gardless of format or medium of trans-
mission, are exempt from the prohibi-
tions of this part.

(2) This section does not exempt from
regulation or authorize transactions
related to information or informa-
tional materials not fully created and
in existence at the date of the trans-
actions, or to the substantive or artis-
tic alteration or enhancement of infor-
mational materials, or to the provision
of marketing and business consulting
services. Such prohibited transactions
include, but are not limited to, pay-
ment of advances for information or in-
formational materials not yet created
and completed (with the exception of
prepaid subscriptions for widely-cir-
culated magazines and other periodical
publications); provision of services to
market, produce or co-produce, create,
or assist in the creation of information
or informational materials; and, with
respect to information or informa-
tional materials imported from persons
whose property or interests in property
are blocked pursuant to §541.201(a),
payment of royalties with respect to income received for enhancements or alterations made by U.S. persons to such information or informational materials.

(3) This section does not exempt from regulation or authorize transactions incident to the exportation of software subject to the Export Administration Regulations, 15 CFR parts 730–774, or to the exportation of goods, technology or software, or to the provision, sale, or leasing of capacity on telecommunications transmission facilities (such as satellite or terrestrial network connectivity) for use in the transmission of any data. The exportation of such items or services and the provision, sale, or leasing of such capacity or facilities to a person whose property or interests in property are blocked pursuant to §541.201(a) are prohibited.

(c) Travel. The prohibitions contained in this part do not apply to transactions ordinarily incident to travel to or from any country, including exportation or importation of accompanied baggage for personal use, maintenance within any country, including payment of living expenses and acquisition of goods or services for personal use, and arrangement or facilitation of such travel, including nonscheduled air, sea, or land voyages.

Subpart C—General Definitions

§541.301 Blocked account; blocked property.

The terms blocked account and blocked property shall mean any account or property subject to the prohibitions in §541.201 held in the name of a person whose property or interests in property are blocked pursuant to §541.201(a), or in which such person has an interest, and with respect to which payments, transfers, exportations, withdrawals, or other dealings may not be made or effected except pursuant to an authorization or license from the Office of Foreign Assets Control expressly authorizing such action.

§541.302 Effective date.

The term effective date refers to the effective date of the applicable prohibitions and directives contained in this part as follows:

(a) With respect to a person whose property or interests in property are blocked pursuant to §541.201(a)(1), 12:01 eastern standard time, March 7, 2003;

(b) With respect to a person whose property or interests in property are blocked pursuant to §541.201(a)(2), the earlier of the date on which either actual notice or constructive notice is received of such person’s designation by the Secretary of the Treasury.

§541.303 Entity.

The term entity means a partnership, association, trust, joint venture, corporation, group, subgroup, or other organization.

§541.304 Information or informational materials.

(a) For purposes of this part, the term information or informational materials includes, but is not limited to, publications, films, posters, phonograph records, photographs, microfilms, microfiche, tapes, compact disks, CD ROMs, artworks, and news wire feeds.

Note to paragraph (a) of §541.304: To be considered information or informational materials, artworks must be classified under chapter heading 9701, 9702, or 9703 of the Harmonized Tariff Schedule of the United States.

(b) The term information or informational materials, with respect to United States exports, does not include items:

(1) That were, as of April 30, 1994, or that thereafter become, controlled for export pursuant to section 5 of the Export Administration Act of 1979, 50 U.S.C. App. 2401–2420 (1979) (the “EAA”), or section 6 of the EAA to the extent that such controls promote the nonproliferation or antiterrorism policies of the United States; or

(2) With respect to which acts are prohibited by 18 U.S.C. chapter 37.

§541.305 Interest.

Except as otherwise provided in this part, the term interest when used with respect to property (e.g., “an interest in property”) means an interest of any nature whatsoever, direct or indirect.
§ 541.306 Licenses; general and specific.

(a) Except as otherwise specified, the term license means any license or authorization contained in or issued pursuant to this part.

(b) The term general license means any license or authorization the terms of which are set forth in subpart E of this part.

(c) The term specific license means any license or authorization not set forth in subpart E of this part but issued pursuant to this part.

Note to § 541.306: See § 501.801 of this chapter on licensing procedures.

§ 541.307 Person.

The term person means an individual or entity.

§ 541.308 Property; property interest.

The terms property and property interest include, but are not limited to, money, checks, drafts, bullion, bank deposits, savings accounts, debts, indebtedness, obligations, notes, guarantees, debentures, stocks, bonds, coupons, any other financial instruments, bankers’ acceptances, mortgages, pledges, liens or other rights in the nature of security, warehouse receipts, bills of lading, trust receipts, bills of sale, any other evidences of title, ownership or indebtedness, letters of credit and any documents relating to any rights or obligations thereunder, powers of attorney, goods, wares, merchandise, chattels, stocks on hand, ships, goods on ships, real estate mortgages, deeds of trust, vendors’ sales agreements, land contracts, leaseholds, ground rents, real estate and any other interest therein, options, negotiable instruments, trade acceptances, royalties, book accounts, accounts payable, judgments, patents, trademarks or copyrights, insurance policies, safe deposit boxes and their contents, annuities, pooling agreements, services of any nature whatsoever, contracts of any nature whatsoever, and any other property, real, personal, or mixed, tangible or intangible, or interest or interests therein, present, future or contingent.

§ 541.309 Transfer.

The term transfer means any actual or purported act or transaction, whether or not evidenced by writing, and whether or not done or performed within the United States, the purpose, intent, or effect of which is to create, surrender, release, convey, transfer, or alter, directly or indirectly, any right, remedy, power, privilege, or interest with respect to any property and, without limitation upon the foregoing, shall include the making, execution, or delivery of any assignment, power, conveyance, check, declaration, deed, deed of trust, power of attorney, power of appointment, bill of sale, mortgage, receipt, agreement, contract, certificate, gift, sale, affidavit, or statement; the making of any payment; the setting off of any obligation or credit; the appointment of any agent, trustee, or fiduciary; the creation or transfer of any lien; the issuance, docketing, filing, or levy of or under any judgment, decree, attachment, injunction, execution, or other judicial or administrative process or order, or the service of any garnishment; the acquisition of any interest of any nature whatsoever by reason of a judgment or decree of any foreign country; the fulfillment of any condition; the exercise of any power of appointment, power of attorney, or other power; or the acquisition, disposition, transportation, importation, exportation, or withdrawal of any security.

§ 541.310 United States.

The term United States means the United States, its territories and possessions, and all areas under the jurisdiction or authority thereof.

§ 541.311 U.S. financial institution.

The term U.S. financial institution means any U.S. entity (including its foreign branches) that is engaged in the business of accepting deposits, making, granting, transferring, holding, or brokering loans or credits, or purchasing or selling foreign exchange, securities, commodity futures or options, or procuring purchasers and sellers thereof, as principal or agent; including but not limited to, depository institutions, banks, savings banks, trust companies, securities brokers and dealers, commodity futures and options.
brokers and dealers, forward contract and foreign exchange merchants, securities and commodities exchanges, clearing corporations, investment companies, employee benefit plans, and U.S. holding companies, U.S. affiliates, or U.S. subsidiaries of any of the foregoing. This term includes those branches, offices and agencies of foreign financial institutions that are located in the United States, but not such institutions' foreign branches, offices, or agencies.

§ 541.312 United States person; U.S. person.

The term United States person or U.S. person means any United States citizen, permanent resident alien, entity organized under the laws of the United States or any jurisdiction within the United States (including foreign branches), or any person in the United States.

Subpart D—Interpretations

§ 541.401 Reference to amended sections.

Except as otherwise specified, reference to any provision in or appendix to this part or chapter or to any regulation, ruling, order, instruction, direction, or license issued pursuant to this part refers to the same as currently amended.

§ 541.402 Effect of amendment.

Unless otherwise specifically provided, any amendment, modification, or revocation of any provision in or appendix to this part or chapter or of any order, regulation, ruling, instruction, or license issued pursuant to this part refers to the same as currently amended.

§ 541.403 Termination and acquisition of an interest in blocked property.

(a) Whenever a transaction licensed or authorized by or pursuant to this part results in the transfer of property (including any property interest) away from a person, such property shall no longer be deemed to be property blocked pursuant to §541.201(a), unless there exists in the property another interest that is blocked pursuant to §541.201(a) or any other part of this chapter, the transfer of which has not been effected pursuant to license or other authorization.

(b) Unless otherwise specifically provided in a license or authorization issued pursuant to this part, if property (including any property interest) is transferred or attempted to be transferred to a person whose property or interests in property are blocked pursuant to §541.201(a), such property shall be deemed to be property in which that person has an interest and therefore blocked.

§ 541.404 Transactions incidental to a licensed transaction authorized.

Any transaction ordinarily incident to a licensed transaction and necessary to give effect thereto is also authorized, except:

(a) An incidental transaction, not explicitly authorized within the terms of the license, by or with a person whose property or interests in property are blocked pursuant to §541.201(a); or

(b) An incidental transaction, not explicitly authorized within the terms of the license, involving a debit to a blocked account or a transfer of blocked property.

§ 541.405 Provision of services.

(a) Except as provided in §541.206, the prohibitions on transactions involving blocked property contained in §541.201 apply to services performed in the United States or by U.S. persons, wherever located, including by an overseas branch of an entity located in the United States:

1. On behalf of or for the benefit of a person whose property or interests in property are blocked pursuant to §541.201(a); or

2. With respect to property interests subject to §541.201.
(b) Example: U.S. persons may not, except as authorized by or pursuant to this part, provide legal, accounting, financial, brokering, freight forwarding, transportation, public relations, or other services to a person whose property or interests in property are blocked pursuant to §541.201(a).

NOTE TO §541.406: See §§541.507 and 541.508 on licensing policy with regard to the provision of, respectively, certain legal or medical services.

§ 541.406 Offshore transactions.

The prohibitions in §541.201 on transactions involving blocked property apply to transactions by any U.S. person in a location outside the United States with respect to property that the U.S. person knows, or has reason to know, is held in the name of a person whose property or interests in property are blocked pursuant to §541.201(a) or in which the U.S. person knows, or has reason to know, a person whose property or interests in property are blocked pursuant to §541.201(a) has or has had an interest since the effective date.

§ 541.407 Payments from blocked accounts to satisfy obligations prohibited.

Pursuant to §541.201, no debits may be made to a blocked account to pay obligations to U.S. persons or other persons, except as authorized pursuant to this part.

§ 541.408 Credit extended and cards issued by U.S. financial institutions.

The prohibition in §541.201 on dealing in property subject to that section prohibits U.S. financial institutions from performing under any existing credit agreements, including, but not limited to, charge cards, debit cards, or other credit facilities issued by a U.S. financial institution to a person whose property or interests in property are blocked pursuant to §541.201(a).

§ 541.409 Setoffs prohibited.

A setoff against blocked property (including a blocked account), whether by a U.S. bank or other U.S. person, is a prohibited transfer under §541.201 if effected after the effective date.
by any license. The Director of the Office of Foreign Assets Control also reserves the right to restrict the applicability of any license to particular persons, property, transactions, or classes thereof. Such actions are binding upon all persons receiving actual or constructive notice of the exclusions or restrictions.

§ 541.504 Payments and transfers to blocked accounts in U.S. financial institutions.

Any payment of funds or transfer of credit in which a person whose property or interests in property are blocked pursuant to §541.201(a) has any interest, that comes within the possession or control of a U.S. financial institution, must be blocked in an account on the books of that financial institution. A transfer of funds or credit by a U.S. financial institution between blocked accounts in its branches or offices is authorized, provided that no transfer is made from an account within the United States to an account held outside the United States to an account held outside the United States, and further provided that a transfer from a blocked account may only be made to another blocked account held in the same name.

NOTE TO §541.504: Refer to §501.603 of this chapter for mandatory reporting requirements regarding financial transfers. See also §541.203 concerning the obligation to hold blocked funds in interest-bearing accounts.

§ 541.505 Entries in certain accounts for normal service charges authorized.

(a) A U.S. financial institution is authorized to debit any blocked account held at that financial institution in payment or reimbursement for normal service charges owed it by the owner of that blocked account.

(b) As used in this section, the term normal service charge shall include charges in payment or reimbursement for interest due; cable, telegraph, internet, or telephone charges; postage costs; custody fees; small adjustment charges to correct bookkeeping errors; and, but not by way of limitation, minimum balance charges, notary and protest fees, and charges for reference books, photocopies, credit reports, transcripts of statements, registered mail, insurance, stationery and supplies, and other similar items.

§ 541.506 Investment and reinvestment of certain funds.

Subject to the requirements of §541.203, U.S. financial institutions are authorized to invest and reinvest assets blocked pursuant to §541.201, subject to the following conditions:

(a) The assets representing such investments and reinvestments are credited to a blocked account or subaccount which is held in the same name at the same U.S. financial institution, or within the possession or control of a U.S. person, but funds shall not be transferred outside the United States for this purpose;

(b) The proceeds of such investments and reinvestments shall not be credited to a blocked account or subaccount under any name or designation that differs from the name or designation of the specific blocked account or subaccount in which such funds or securities were held; and

(c) No immediate financial or economic benefit accrues (e.g., through pledging or other use) to persons whose property or interests in property are blocked pursuant to §541.201(a).

§ 541.507 Provision of certain legal services authorized.

(a) The provision of the following legal services to or on behalf of persons whose property or interests in property are blocked pursuant to §541.201(a) is authorized, provided that all receipts of payment of professional fees and reimbursement of incurred expenses must be specifically licensed:

(1) Provision of legal advice and counseling on the requirements of and compliance with the laws of any jurisdiction within the United States, provided that such advice and counseling are not provided to facilitate transactions in violation of this part;

(2) Representation of persons when named as defendants in or otherwise made parties to domestic U.S. legal, arbitration, or administrative proceedings;

(3) Initiation and conduct of domestic U.S. legal, arbitration, or administrative proceedings in defense of property interests subject to U.S. jurisdiction;
(4) Representation of persons before any federal or state agency with respect to the imposition, administration, or enforcement of U.S. sanctions against such persons; and

(5) Provision of legal services in any other context in which prevailing U.S. law requires access to legal counsel at public expense.

(b) The provision of any other legal services to persons whose property or interests in property are blocked pursuant to §541.201(a), not otherwise authorized in this part, requires the issuance of a specific license.

(c) Entry into a settlement agreement affecting property or interests in property or the enforcement of any lien, judgment, arbitral award, decree, or other order through execution, garnishment, or other judicial process purporting to transfer or otherwise alter or affect property or interests in property blocked pursuant to §541.201(a), not otherwise provided by law or unless specifically licensed in accordance with §541.202(e).

§ 541.508 Authorization of emergency medical services.

The provision of nonscheduled emergency medical services in the United States to persons whose property or interests in property are blocked pursuant to §541.201(a) is authorized, provided that all receipt of payment for such services must be specifically licensed.

Subpart F—Reports

§ 541.601 Records and reports.

For provisions relating to required records and reports, see part 501, subpart C, of this chapter. Recordkeeping and reporting requirements imposed by part 501 of this chapter with respect to the prohibitions contained in this part are considered requirements arising pursuant to this part.

Subpart G—Penalties

§ 541.701 Penalties.

(a) Attention is directed to section 206 of the International Emergency Economic Powers Act (the “Act”) (50 U.S.C. 1705), which is applicable to violations of the provisions of any license, ruling, regulation, order, direction, or instruction issued by or pursuant to the direction or authorization of the Secretary of the Treasury pursuant to this part or otherwise under the Act.

(1) A civil penalty not to exceed the amount set forth in section 206 of the Act may be imposed on any person who violates, attempts to violate, conspires to violate, or causes a violation of any license, order, regulation, or prohibition issued under the Act.

NOTE TO PARAGRAPH (a)(1) OF §541.701: As of June 10, 2008, the Act provides for a maximum civil penalty not to exceed the greater of $250,000 or an amount that is twice the amount of the transaction that is the basis of the violation with respect to which the penalty is imposed.

(2) A person who willfully commits, willfully attempts to commit, or willfully conspires to commit, or aids or abets in the commission of a violation of any license, order, regulation, or prohibition shall, upon conviction, be fined not more than $1,000,000, or if a natural person, may be imprisoned for not more than 20 years, or both.

(b) Adjustments to penalty amounts. (1) The civil penalties provided in the Act are subject to adjustment pursuant to the Federal Civil Penalties Inflation Adjustment Act of 1990 (Pub. L. 101–410, as amended, 28 U.S.C. 2461 note).

(2) The criminal penalties provided in the Act are subject to adjustment pursuant to 18 U.S.C. 3571.

(c) Attention is also directed to 18 U.S.C. 1001, which provides that whoever, in any matter within the jurisdiction of the executive, legislative, or judicial branch of the Government of the United States, knowingly and willfully falsifies, conceals, or covers up by any trick, scheme, or device, a material fact, or makes any materially false, fictitious, or fraudulent statement or representation, or makes or uses any false writing or document knowing the same to contain any materially false, fictitious, or fraudulent statement or representation or entry shall be fined under title 18, United States Code, or imprisoned not more than five years, or both.
§ 541.703 Prepenalty notice.

(a) When required. If the Director of the Office of Foreign Assets Control has reason to believe that there has occurred a violation of any provision of this part or a violation of the provisions of any license, ruling, regulation, order, or instruction issued by or pursuant to the direction or authorization of the Secretary of the Treasury pursuant to this part or otherwise under the International Emergency Economic Powers Act, and the Director determines that further proceedings are warranted, the Director shall notify the alleged violator of the agency’s intent to impose a monetary penalty by issuing a prepenalty notice. The prepenalty notice shall be in writing. The prepenalty notice may be issued whether or not another agency has taken any action with respect to the matter.

(b) Contents of notice—(1) Facts of violation. The prepenalty notice shall describe the violation, specify the laws and regulations allegedly violated, and state the amount of the proposed monetary penalty.

(2) Right to respond. The prepenalty notice also shall inform the respondent of the respondent’s right to make a written presentation within the applicable 30-day period set forth in §541.703 as to why a monetary penalty should not be imposed or why, if imposed, the monetary penalty should be in a lesser amount than proposed.

(c) Informal settlement prior to issuance of prepenalty notice. At any time prior to the issuance of a prepenalty notice, an alleged violator may request in writing that, for a period not to exceed sixty (60) days, the agency withhold issuance of the prepenalty notice for the exclusive purpose of effecting settlement of the agency’s potential civil monetary penalty claims. In the event the Director grants the request, under terms and conditions within his discretion, the Office of Foreign Assets Control will agree to withhold issuance of the prepenalty notice for a period not to exceed 60 days and will enter into settlement negotiations of the potential civil monetary penalty claim.

§ 541.703 Response to prepenalty notice; informal settlement.

(a) Deadline for response. The respondent may submit a response to the prepenalty notice within the applicable 30-day period set forth in this paragraph. The Director may grant, at his discretion, an extension of time in which to submit a response to the prepenalty notice. The failure to submit a response within the applicable time period set forth in this paragraph shall be deemed to be a waiver of the right to respond.

(1) Computation of time for response. A response to the prepenalty notice must be postmarked or date-stamped by the U.S. Postal Service (or foreign postal service, if mailed abroad) or courier service provider (if transmitted to OFAC by courier) on or before the 30th day after the postmark date on the envelope in which the prepenalty notice was mailed. If the respondent refused delivery or otherwise avoided receipt of the prepenalty notice, a response must be postmarked or date-stamped on or before the 30th day after the date on the stamped postal receipt maintained at the Office of Foreign Assets Control. If the prepenalty notice was personally delivered to the respondent by a non-U.S. Postal Service agent authorized by the Director, a response must be postmarked or date-stamped on or before the 30th day after the date of delivery.

(2) Extensions of time for response. If a due date falls on a federal holiday or weekend, that due date is extended to include the following business day. Any other extensions of time will be granted, at the Director’s discretion, only upon the respondent’s specific request to the Office of Foreign Assets Control.

(b) Form and method of response. The response must be submitted in typewritten form and signed by the respondent or a representative thereof. The response need not be in any particular form. A copy of the written response may be sent by facsimile, but the original also must be sent to the Office of Foreign Assets Control Civil...
Penalties Division by mail or courier and must be postmarked or date-stamped in accordance with paragraph (a) of this section.

(c) Contents of response. A written response must contain information sufficient to indicate that it is in response to the prepenalty notice.

(1) A written response must include the respondent’s full name, address, telephone number, and facsimile number, if available, or those of the representative of the respondent.

(2) A written response should either admit or deny each specific violation alleged in the prepenalty notice and also state if the respondent has no knowledge of a particular violation. If the written response fails to address any specific violation alleged in the prepenalty notice, that alleged violation shall be deemed to be admitted.

(3) A written response should include any information in defense, evidence in support of an asserted defense, or other factors that the respondent requests the Office of Foreign Assets Control to consider. Any defense or explanation previously made to the Office of Foreign Assets Control or any other agency must be repeated in the written response. Any defense not raised in the written response will be considered waived. The written response also should set forth the reasons why the respondent believes the penalty should not be imposed or why, if imposed, it should be in a lesser amount than proposed.

(d) Failure to respond. Where OFAC receives no response to a prepenalty notice within the applicable time period set forth in paragraph (a) of this section, a penalty notice generally will be issued, taking into account the mitigating and/or aggravating factors present in the record. If there are no mitigating factors present in the record, or the record contains a preponderance of aggravating factors, the proposed prepenalty amount generally will be assessed as the final penalty.

(e) Informal settlement. In addition to or as an alternative to a written response to a prepenalty notice, the respondent or respondent’s representative may contact the Office of Foreign Assets Control as advised in the prepenalty notice to propose the settlement of allegations contained in the prepenalty notice and related matters. However, the requirements set forth in paragraph (f) of this section as to oral communication by the representative must first be fulfilled. In the event of settlement at the prepenalty stage, the claim proposed in the prepenalty notice will be withdrawn, the respondent will not be required to take a written position on allegations contained in the prepenalty notice, and the Office of Foreign Assets Control will make no final determination as to whether a violation occurred. The amount accepted in settlement of allegations in a prepenalty notice may vary from the civil penalty that might finally be imposed in the event of a formal determination of violation. In the event no settlement is reached, the time limit specified in paragraph (a) of this section for written response to the prepenalty notice will remain in effect unless additional time is granted by the Office of Foreign Assets Control.

(f) Representation. A representative of the respondent may act on behalf of the respondent, but any oral communication with the Office of Foreign Assets Control prior to a written submission regarding the specific allegations contained in the prepenalty notice must be preceded by a written letter of representation, unless the prepenalty notice was served upon the respondent in care of the representative.

§ 541.704 Penalty imposition or withdrawal.

(a) No violation. If, after considering any response to the prepenalty notice and any relevant facts, the Director of the Office of Foreign Assets Control determines that there was no violation by the respondent named in the prepenalty notice, the Director shall notify the respondent in writing of that determination and of the cancellation of the proposed monetary penalty.

(b) Violation. (1) If, after considering any written response to the prepenalty notice, or default in the submission of a written response, and any relevant facts, the Director of the Office of Foreign Assets Control determines that there was a violation by the respondent named in the prepenalty notice, the Director is authorized to issue a written
penalty notice to the respondent of the determination of the violation and the imposition of the monetary penalty.

(2) The penalty notice shall inform the respondent that payment or arrangement for installment payment of the assessed penalty must be made within 30 days of the date of mailing of the penalty notice by the Office of Foreign Assets Control.

(3) The penalty notice shall inform the respondent of the requirement to furnish the respondent’s taxpayer identification number pursuant to 31 U.S.C. 7701 and that such number will be used for purposes of collecting and reporting on any delinquent penalty amount.

(4) The issuance of the penalty notice finding a violation and imposing a monetary penalty shall constitute final agency action. The respondent has the right to seek judicial review of that final agency action in federal district court.

§ 541.705 Administrative collection; referral to United States Department of Justice.

In the event that the respondent does not pay the penalty imposed pursuant to this part or make payment arrangements acceptable to the Director of the Office of Foreign Assets Control within 30 days of the date of mailing of the penalty notice, the matter may be referred for administrative collection measures by the Department of the Treasury or to the United States Department of Justice for appropriate action to recover the penalty in a civil suit in a federal district court.

Subpart H—Procedures

§ 541.801 Procedures.

For license application procedures and procedures relating to amendments, modifications, or revocations of licenses; administrative decisions; rulemaking; and requests for documents pursuant to the Freedom of Information and Privacy Acts (5 U.S.C. 552 and 552a), see part 501, subpart D, of this chapter.

§ 541.802 Delegation by the Secretary of the Treasury.

Any action that the Secretary of the Treasury is authorized to take pursuant to Executive Order 13288 of March 6, 2003 (68 FR 11457, March 10, 2003), and any further Executive orders relating to the national emergency declared therein, may be taken by the Director of the Office of Foreign Assets Control or by any other person to whom the Secretary of the Treasury has delegated authority so to act.

Subpart I—Paperwork Reduction Act

§ 541.901 Paperwork Reduction Act notice.

For approval by the Office of Management and Budget (“OMB”) under the Paperwork Reduction Act of 1995 (44 U.S.C. 3507) of information collections relating to record keeping and reporting requirements, licensing procedures (including those pursuant to statements of licensing policy), and other procedures, see § 501.901 of this chapter. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid control number assigned by OMB.

PART 542—SYRIAN SANCTIONS REGULATIONS

Subpart A—Relation of This Part to Other Laws and Regulations

§ 542.101 Relation of this part to other laws and regulations.

§ 542.102 Relation of this part to part 596 of this chapter.

Subpart B—Prohibitions

§ 542.201 Prohibited transactions involving blocked property.

§ 542.202 Effect of transfers violating the provisions of this part.

§ 542.203 Holding of funds in interest-bearing accounts; investment and reinvestment.

§ 542.204 Expenses of maintaining blocked property; liquidation of blocked property.

§ 542.205 Evasions; attempts; conspiracies.

§ 542.206 Exempt transactions.

Subpart C—General Definitions

§ 542.301 Blocked account; blocked property.

§ 542.302 Effective date.

§ 542.303 Entity.
Subpart A—Relation of This Part to Other Laws and Regulations

§ 542.101 Relation of this part to other laws and regulations.

This part is separate from, and independent of, the other parts of this chapter, with the exception of part 501 of this chapter, the recordkeeping and reporting requirements and license application and other procedures of which apply to this part. Actions taken pursuant to part 501 of this chapter with respect to the prohibitions contained in this part are considered actions taken pursuant to this part. Differing foreign policy and national security circumstances may result in differing interpretations of similar language among the parts of this chapter. No license or authorization contained in or issued pursuant to those other parts authorizes any transaction prohibited by this part. No license or authorization contained in or issued pursuant to any other provision of law or regulation authorizes any transaction prohibited by this part. No license or authorization contained in or issued pursuant to this part relieves the involved parties from complying with any other applicable laws or regulations.

Subpart B—Procedures

§ 542.102 Relation of this part to part 596 of this chapter.

For the purposes of the Terrorism List Government Sanctions Regulations set forth in part 596 of this chapter, the Government of Syria in its entirety is not subject to the regulations set forth in this part. Consequently, 31 CFR 596.503 does not apply to financial transactions with the Government of Syria, while 31 CFR 596.504 and 596.505 continue to apply.
Subpart B—Prohibitions

§ 542.201 Prohibited transactions involving blocked property.

(a) Except as authorized by regulations, orders, directives, rulings, instructions, licenses or otherwise, and notwithstanding any contracts entered into or any license or permit granted prior to the effective date, all property and interests in property of the following persons that are in the United States, that hereafter come within the United States, or that are or hereafter come within the possession or control of United States persons, including their overseas branches, are blocked and may not be transferred, paid, exported, withdrawn, or otherwise dealt in:

(1) [Reserved]

(2) Any person determined by the Secretary of the Treasury, in consultation with the Secretary of State:
   (i) To be or to have been directing or otherwise significantly contributing to the Government of Syria’s provision of safe haven to or other support for any person whose property or interests in property are blocked under United States law for terrorism-related reasons, including, but not limited to, Hamas, Hizballah, Palestinian Islamic Jihad, the Popular Front for the Liberation of Palestine, the Popular Front for the Liberation of Palestine-General Command, and any persons designated pursuant to Executive Order 13224 of September 23, 2001;
   (ii) To be or to have been directing or otherwise significantly contributing to the Government of Syria’s military or security presence in Lebanon;
   (iii) To be or to have been directing or otherwise significantly contributing to the Government of Syria’s pursuit of the development and production of chemical, biological, or nuclear weapons and medium- and long-range surface-to-surface missiles;
   (iv) To be or to have been directing or otherwise significantly contributing to any steps taken by the Government of Syria to undermine United States and international efforts with respect to the stabilization and reconstruction of Iraq; or
   (v) To be owned or controlled by, or acting or purporting to act for or on behalf of, directly or indirectly, any person whose property or interests in property are blocked pursuant to this section.

NOTE TO PARAGRAPH (a) OF § 542.201: The names of persons whose property or interests in property are blocked pursuant to § 542.201(a) will be published on OFAC’s Web site, announced in the Federal Register, and incorporated on an ongoing basis with the identifier [SYRIA] in appendix A to 31 CFR chapter V. Section 501.807 of this chapter sets forth the procedures to be followed by persons seeking administrative reconsideration of their designations pursuant to § 542.201(a) or who wish to assert that the circumstances resulting in a designation no longer apply. Similarly, when a transaction results in the blocking of funds at a financial institution pursuant to this section and a party to the transaction believes the funds to have been blocked due to mistaken identity, that party may seek to have such funds unblocked pursuant to the administrative procedures set forth in § 501.806 of this chapter.

Section 203 of the International Emergency Economic Powers Act (50 U.S.C. 1702) explicitly authorizes the blocking of property and interests in property of a person during the pendency of an investigation. The name of any individual or entity whose property or interests in property are blocked under this part pending investigation will be published as noted above with the descriptor “[BPI–SYRIA].” The scope of the blocking of property or interests in property during the pendency of an investigation may be more limited than the scope of the blocking set forth in § 542.201(a). Inquiries regarding the scope of any such blocking should be directed to OFAC’s Compliance Division at 202/622-2490.

(b) The blocking of property and interests in property pursuant to § 542.201(a) includes, but is not limited to, the prohibition of:

(1) The making of any contribution of funds, goods, or services by, to, or for the benefit of any person whose property or interests in property are blocked pursuant to this section; and

(2) The receipt of any contribution or provision of funds, goods, or services from any such person.

(c) Unless otherwise authorized by this part or by a specific license expressly referring to this section, any dealing in any security (or evidence thereof) held within the possession or control of a U.S. person and either registered or inscribed in the name of or known to be held for the benefit of any
§ 542.202  Effect of transfers violating the provisions of this part.

(a) Any transfer after the effective date that is in violation of any provision of this part or of any regulation, order, directive, ruling, instruction, or license issued pursuant to this part, and that involves any property or interest in property blocked pursuant to § 542.201(a), is null and void and shall not be the basis for the assertion or recognition of any interest in, or right, remedy, power, or privilege with respect to, such property or property interests.

(b) No transfer before the effective date shall be the basis for the assertion or recognition of any right, remedy, power, or privilege with respect to, or any interest in, any property or interest in property blocked pursuant to § 542.201(a), unless the person with whom such property is held or maintained, prior to that date, had written notice of the transfer or by any written evidence had recognized such transfer.

(c) Unless otherwise provided, an appropriate license or other authorization issued by or pursuant to the direction or authorization of the Director of the Office of Foreign Assets Control before, during, or after a transfer shall validate such transfer or make it enforceable to the same extent that it would be valid or enforceable but for the provisions of the International Emergency Economic Powers Act, this part, and any regulation, order, directive, ruling, instruction, or license issued pursuant to this part.

(d) Transfers of property that otherwise would be null and void or unenforceable by virtue of the provisions of this section shall not be deemed to be null and void or unenforceable as to any person with whom such property was held or maintained (and as to such person only) in cases in which such person is able to establish to the satisfaction of the Director of the Office of Foreign Assets Control each of the following:

(1) Such transfer did not represent a willful violation of the provisions of this part by the person with whom such property was held or maintained;

(2) The person with whom such property was held or maintained did not have reasonable cause to know or suspect, in view of all the facts and circumstances known or available to such person, that such transfer required a license or authorization issued pursuant to this part and was not so licensed or authorized, or, if a license or authorization did purport to cover the transfer, that such license or authorization had been obtained by misrepresentation of a third party or withholding of material facts or was otherwise fraudulently obtained; and

(3) The person with whom such property was held or maintained filed with the Office of Foreign Assets Control a report setting forth in full the circumstances relating to such transfer promptly upon discovery that:

(i) Such transfer was in violation of the provisions of this part or any regulation, ruling, instruction, license, or other direction or authorization issued pursuant to this part;

(ii) Such transfer was not licensed or authorized by the Director of the Office of Foreign Assets Control; or

(iii) If a license did purport to cover the transfer, such license had been obtained by misrepresentation of a third party or withholding of material facts or was otherwise fraudulently obtained.

NOTE TO PARAGRAPH (d) OF § 542.202: The filing of a report in accordance with the provisions of paragraph (d)(3) of this section shall not be deemed evidence that the terms of paragraphs (d)(1) and (d)(2) of this section have been satisfied.
(e) Except to the extent otherwise provided by law or unless licensed pursuant to this part, any attachment, judgment, decree, lien, execution, garnishment, or other judicial process is null and void with respect to any property in which, on or since the effective date, there existed an interest of a person whose property or interests in property are blocked pursuant to §542.201(a).

§ 542.203 Holding of funds in interest-bearing accounts; investment and reinvestment.

(a) Except as provided in paragraph (c) or (d) of this section, or as otherwise directed by the Office of Foreign Assets Control, any U.S. person holding funds, such as currency, bank deposits, or liquidated financial obligations subject to §542.201(a) shall hold or place such funds in a blocked interest-bearing account located in the United States.

(b)(1) For purposes of this section, the term blocked interest-bearing account means a blocked account:
   (i) In a federally-insured U.S. bank, thrift institution, or credit union, provided the funds are earning interest at rates that are commercially reasonable; or
   (ii) With a broker or dealer registered with the Securities and Exchange Commission under the Securities Exchange Act of 1934, provided the funds are invested in a money market fund or in U.S. Treasury Bills.

(2) For purposes of this section, a rate is commercially reasonable if it is the rate currently offered to other depositors on deposits or instruments of comparable size and maturity.

(3) Funds held or placed in a blocked account pursuant to this paragraph (b) may not be invested in instruments the maturity of which exceeds 180 days. If interest is credited to a separate blocked account or subaccount, the name of the account party on each account must be the same.

(c) Blocked funds held in instruments the maturity of which exceeds 180 days at the time the funds become subject to §542.201(a) may continue to be held until maturity in the original instrument, provided any interest, earnings, or other proceeds derived therefrom are paid into a blocked interest-bearing account in accordance with paragraph (b) or (d) of this section.

(d) Blocked funds held in accounts or instruments outside the United States at the time the funds become subject to §542.201(a) may continue to be held in the same type of accounts or instruments, provided the funds earn interest at rates that are commercially reasonable.

(e) This section does not create an affirmative obligation for the holder of blocked tangible property, such as chattels or real estate, or of other blocked property, such as debt or equity securities, to sell or liquidate such property at the time the property becomes subject to §542.201(a). However, the Office of Foreign Assets Control may issue licenses permitting or directing such sales in appropriate cases.

(f) Funds subject to this section may not be held, invested, or reinvested in a manner that provides immediate financial or economic benefit or access to any person whose property or interests in property are blocked pursuant to §542.201(a), nor may their holder cooperate in or facilitate the pledging or other attempted use of blocked funds or other assets as collateral.

NOTE TO §542.203: See §542.506 regarding investment and reinvestment of certain funds.

§ 542.204 Expenses of maintaining blocked property; liquidation of blocked property.

(a) Except as otherwise authorized, and notwithstanding the existence of any rights or obligations conferred or imposed by any international agreement or contract entered into or any license or permit granted before 12:01 a.m., eastern daylight time, May 12, 2004, all expenses incident to the maintenance of physical property blocked pursuant to §542.201(a) shall be the responsibility of the owners or operators of such property, which expenses shall not be met from blocked funds.

(b) Property blocked pursuant to §542.201(a) may, in the discretion of the Director, Office of Foreign Assets Control, be sold or liquidated and the net proceeds placed in a blocked interest-bearing account in the name of the owner of the property.
§ 542.205 Evasions; attempts; conspiracies.

(a) Except as otherwise authorized, and notwithstanding any contract entered into or any license or permit granted prior to the effective date, any transaction by any U.S. person or within the United States on or after the effective date that evades or avoids, has the purpose of evading or avoiding, or attempts to violate any of the prohibitions set forth in this part is prohibited.

(b) Except as otherwise authorized, and notwithstanding any contract entered into or any license or permit granted prior to the effective date, any conspiracy formed for the purpose of engaging in a transaction prohibited by this part is prohibited.

§ 542.206 Exempt transactions.

(a) Personal communications. The prohibitions contained in this part do not apply to any postal, telegraphic, telephonic, or other personal communication that does not involve the transfer of anything of value.

(b) Information or informational materials. (1) The importation from any country and the exportation to any country of information or informational materials, as defined in §542.304, whether commercial or otherwise, regardless of format or medium of transmission, are exempt from the prohibitions of this part.

(2) This section does not exempt from regulation or authorize transactions related to information or informational materials not fully created and in existence at the date of the transactions, or to the substantive or artistic alteration or enhancement of informational materials, or to the provision of marketing and business consulting services. Such prohibited transactions include, but are not limited to, payment of advances for information or informational materials not yet created and completed (with the exception of prepaid subscriptions for widely-circulated magazines and other periodical publications); provision of services to market, produce or co-produce, create, or assist in the creation of information or informational materials; and, with respect to information or informational materials imported from persons whose property or interests in property are blocked pursuant to §542.201(a), payment of royalties with respect to income received for enhancements or alterations made by U.S. persons to such information or informational materials.

(3) This section does not exempt from regulation or authorize transactions incident to the exportation of software subject to the Export Administration Regulations, 15 CFR parts 730 through 799, or to the exportation of goods, technology or software, or to the provision, sale, or leasing of capacity on telecommunications transmission facilities (such as satellite or terrestrial network connectivity) for use in the transmission of any data. The exportation of such items or services and the provision, sale, or leasing of such capacity or facilities to a person whose property or interests in property are blocked pursuant to §542.201(a) are prohibited.

(c) Travel. The prohibitions contained in this part do not apply to transactions ordinarily incident to travel to or from any country, including exportation or importation of accompanied baggage for personal use, maintenance within any country including payment of living expenses and acquisition of goods or services for personal use, and arrangement or facilitation of such travel including nonscheduled air, sea, or land voyages.

Subpart C—General Definitions

§ 542.301 Blocked account; blocked property.

The terms blocked account and blocked property shall mean any account or property subject to the prohibitions in §542.201 held in the name of a person whose property or interests in property are blocked pursuant to §542.201(a), or in which such person has an interest, and with respect to which payments, transfers, exportations, withdrawals, or other dealings may not be made or effected except pursuant to an authorization or license from the Office of Foreign Assets Control expressly authorizing such action.
§ 542.302 Effective date.
With respect to a person whose property or interests in property are blocked pursuant to a designation under § 542.201(a), the effective date is the earlier of the date on which either actual notice or constructive notice is received of such person's designation.

§ 542.303 Entity.
The term entity means a partnership, association, trust, joint venture, corporation, group, subgroup, or other organization.

§ 542.304 Information or informational materials.
(a) For purposes of this part, the term information or informational materials includes, but is not limited to publications, films, posters, phonograph records, photographs, microfilms, microfiche, tapes, compact disks, CD ROMs, artworks, and news wire feeds.

NOTE TO PARAGRAPH (a) OF § 542.304. To be considered information or informational materials, artworks must be classified under chapter heading 9701, 9702, or 9703 of the Harmonized Tariff Schedule of the United States.

(b) The term information or informational materials, with respect to United States exports, does not include items:
(1) That were, as of April 30, 1994, or that thereafter become, controlled for export pursuant to section 5 of the Export Administration Act of 1979, 50 U.S.C. App. 2401-2420 (1979) (the "EAA"), or section 6 of the EAA to the extent that such controls promote the nonproliferation or antiterrorism policies of the United States; or
(2) With respect to which acts are prohibited by 18 U.S.C. chapter 37.

§ 542.305 Interest.
Except as otherwise provided in this part, the term interest when used with respect to property (e.g., "an interest in property") means an interest of any nature whatsoever, direct or indirect.

§ 542.306 Licenses; general and specific.
(a) Except as otherwise specified, the term license means any license or authorization contained in or issued pursuant to this part.

(b) The term general license means any license or authorization the terms of which are set forth in subpart E of this part.

(c) The term specific license means any license or authorization not set forth in subpart E of this part but issued pursuant to this part.

Note to § 542.306: See § 501.801 of this chapter on licensing procedures.

§ 542.307 Person.
The term person means an individual or entity.

§ 542.308 Property; property interest.
The terms property and property interest include, but are not limited to, money, checks, drafts, bullion, bank deposits, savings accounts, debts, indebtedness, obligations, notes, guarantees, debentures, stocks, bonds, coupons, any other financial instruments, bankers acceptances, mortgages, pledges, liens or other rights in the nature of security, warehouse receipts, bills of lading, trust receipts, bills of sale, any other evidences of title, ownership or indebtedness, letters of credit and any documents relating to any rights or obligations thereunder, powers of attorney, goods, wares, merchandise, chattels, stocks on hand, ships, goods on ships, real estate mortgages, deeds of trust, vendors' sales agreements, land contracts, leaseholds, ground rents, real estate and any other interest therein, options, negotiable instruments, trade acceptances, royalties, book accounts, accounts payable, judgments, patents, trademarks or copyrights, insurance policies, safe deposit boxes and their contents, annuities, pooling agreements, services of any nature whatsoever, and any other property, real, personal, or mixed, tangible or intangible, or interest or interests therein, present, future or contingent.

§ 542.309 Transfer.
The term transfer means any actual or purported act or transaction, whether or not evidenced by writing, and whether or not done or performed within the United States, the purpose, intent, or effect of which is to create, surrender, release, convey, transfer, or
alter, directly or indirectly, any right, remedy, power, privilege, or interest with respect to any property and, without limitation upon the foregoing, shall include the making, execution, or delivery of any assignment, power, conveyance, check, declaration, deed, deed of trust, power of attorney, power of appointment, bill of sale, mortgage, receipt, agreement, contract, certificate, gift, sale, affidavit, or statement; the making of any payment; the setting off of any obligation or credit; the appointment of any agent, trustee, or fiduciary; the creation or transfer of any lien; the issuance, docketing, filing, or levy of or under any judgment, decree, attachment, injunction, execution, or other judicial or administrative process or order, or the service of any garnishment; the acquisition of any interest of any nature whatsoever by reason of a judgment or decree of any foreign country; the fulfillment of any condition; the exercise of any power of appointment, power of attorney, or other power; or the acquisition, disposition, transportation, importation, exportation, or withdrawal of any security.

§ 542.310 United States.
The term United States means the United States, its territories and possessions, and all areas under the jurisdiction or authority thereof.

§ 542.311 U.S. financial institution.
The term U.S. financial institution means any U.S. entity (including its foreign branches) that is engaged in the business of accepting deposits, making, granting, transferring, holding, or brokering loans or credits, or purchasing or selling foreign exchange, securities, commodity futures or options, or procuring purchasers and sellers thereof, as principal or agent, including but not limited to: Depository institutions; banks; savings banks; trust companies; securities brokers and dealers; commodity futures and options brokers and dealers; forward contract and foreign exchange merchants; securities and commodities exchanges; clearing corporations; investment companies; employee benefit plans; and U.S. holding companies, U.S. affiliates, or U.S. subsidiaries of any of the foregoing. This term includes those branches, offices and agencies of foreign financial institutions that are located in the United States, but not such institutions’ foreign branches, offices, or agencies.

§ 542.312 United States person; U.S. person.
The term United States person or U.S. person means any United States citizen, permanent resident alien, entity organized under the laws of the United States or any jurisdiction within the United States (including foreign branches), or any person in the United States.

Subpart D—Interpretations

§ 542.401 Reference to amended sections.
Except as otherwise specified, reference to any provision in or appendix to this part or chapter or to any regulation, ruling, order, instruction, direction, or license issued pursuant to this part refers to the same as currently amended.

§ 542.402 Effect of amendment.
Unless otherwise specifically provided, any amendment, modification, or revocation of any provision in or appendix to this part or chapter or of any order, regulation, ruling, instruction, or license issued by or under the direction of the Director of the Office of Foreign Assets Control does not affect any act done or omitted, or any civil or criminal suit or proceeding commenced or pending prior to such amendment, modification, or revocation. All penalties, forfeitures, and liabilities under any such order, regulation, ruling, instruction, or license continue and may be enforced as if such amendment, modification, or revocation had not been made.

§ 542.403 Termination and acquisition of an interest in blocked property.
(a) Whenever a transaction licensed or authorized by or pursuant to this part results in the transfer of property (including any property interest) away from a person, such property shall no longer be deemed to be property blocked pursuant to §542.201(a), unless
there exists in the property another interest that is blocked pursuant to §542.201(a) or any other part of this chapter, the transfer of which has not been effected pursuant to license or other authorization.

(b) Unless otherwise specifically provided in a license or authorization issued pursuant to this part, if property (including any property interest) is transferred or attempted to be transferred to a person whose property or interests in property are blocked pursuant to §542.201(a), such property shall be deemed to be property in which that person has an interest and therefore blocked.

§ 542.404 Transactions incidental to a licensed transaction.

Any transaction ordinarily incident to a licensed transaction and necessary to give effect thereto is also authorized, except:

(a) An incidental transaction, not explicitly authorized within the terms of the license, by or with a person whose property or interests in property are blocked pursuant to §542.201(a); or

(b) An incidental transaction, not explicitly authorized within the terms of the license, involving a debit to a blocked account or a transfer of blocked property.

§ 542.405 Provision of services.

(a) Except as provided in §542.206, the prohibitions on transactions involving blocked property contained in §542.201 apply to services performed in the United States or by U.S. persons, wherever located, including by an overseas branch of an entity located in the United States:

1. On behalf of or for the benefit of a person whose property or interests in property are blocked pursuant to §542.201(a); or

2. With respect to property interests subject to §542.201.

(b) Example: U.S. persons may not, except as authorized by or pursuant to this part, provide legal, accounting, financial, brokering, freight forwarding, transportation, public relations, or other services to a person whose property or interests in property are blocked pursuant to §542.201(a).

§ 542.406 Offshore transactions.

The prohibitions in §542.201 on transactions involving blocked property apply to transactions by any U.S. person in a location outside the United States with respect to property that the U.S. person knows, or has reason to know, is held in the name of a person whose property or interests in property are blocked pursuant to §542.201(a) or in which the U.S. person knows, or has reason to know, a person whose property or interests in property are blocked pursuant to §542.201(a) has or has had an interest since the effective date.

§ 542.407 Payments from blocked accounts to satisfy obligations prohibited.

Pursuant to §542.201, no debits may be made to a blocked account to pay obligations to U.S. persons or other persons, except as authorized pursuant to this part.

§ 542.408 Charitable contributions.

Unless otherwise specifically authorized by the Office of Foreign Assets Control by or pursuant to this part, no charitable contribution or donation of funds, goods, services, or technology, including those to relieve human suffering, such as food, clothing or medicine, may be made by, to, or for the benefit of a person whose property or interests in property are blocked pursuant to §542.201(a). For purposes of this part, a contribution or donation is made by, to, or in the name of such a person; if made by, to, or in the name of an entity or individual acting for or on behalf of, or owned or controlled by, such a person; or if made in an attempt to violate, to evade, or to avoid the bar on the provision of contributions or donations by, to, or for such a person.

Note to §542.405: See §§542.507 and 542.508, respectively, on licensing policy with regard to the provision of certain legal or medical services.
§ 542.409 Credit extended and cards issued by U.S. financial institutions.

The prohibition in §542.201 on dealing in property subject to that section prohibits U.S. financial institutions from performing under any existing credit agreements, including, but not limited to, charge cards, debit cards, or other credit facilities issued by a U.S. financial institution to a person whose property or interests in property are blocked pursuant to §542.201(a).

§ 542.410 Setoffs prohibited.

A setoff against blocked property (including a blocked account), whether by a U.S. bank or other U.S. person, is a prohibited transfer under §542.201 if effected after the effective date.

Subpart E—Licenses, Authorizations and Statements of Licensing Policy

§ 542.501 General and specific licensing procedures.

For provisions relating to licensing procedures, see part 501, subpart E of this chapter. Licensing actions taken pursuant to part 501 of this chapter with respect to the prohibitions contained in this part are considered actions taken pursuant to this part.

§ 542.502 Effect of license or authorization.

(a) No license or other authorization contained in this part, or otherwise issued by or under the direction of the Director of the Office of Foreign Assets Control, authorizes or validates any transaction effected prior to the issuance of the license, unless specifically provided in such licenses or authorization.

(b) No regulation, ruling, instruction, or license authorizes any transaction prohibited under this part unless the regulation, ruling, instruction or license is issued by the Office of Foreign Assets Control and specifically refers to this part. No regulation, ruling, instruction, or license referring to this part shall be deemed to authorize any transaction prohibited by any provision of this chapter unless the regulation, ruling, instruction, or license specifically refers to such provision.

(c) Any regulation, ruling, instruction, or license authorizing any transaction otherwise prohibited under this part has the effect of removing a prohibition contained in this part from the transaction, but only to the extent specifically stated by its terms. Unless the regulation, ruling, instruction, or license otherwise specifies, such an authorization does not create any right, duty, obligation, claim, or interest in, or with respect to, any property which would not otherwise exist under ordinary principles of law.

§ 542.503 Exclusion from licenses.

The Director of the Office of Foreign Assets Control reserves the right to exclude any person, property, or transaction from the operation of any license or from the privileges conferred by any license. The Director of the Office of Foreign Assets Control also reserves the right to restrict the applicability of any license to particular persons, property, transactions, or classes thereof. Such actions are binding upon all persons receiving actual or constructive notice of the exclusions or restrictions.

§ 542.504 Payments and transfers to blocked accounts in U.S. financial institutions.

Any payment of funds or transfer of credit in which a person whose property or interests in property are blocked pursuant to §542.201(a) has any interest, that comes within the possession or control of a U.S. financial institution, must be blocked in an account on the books of that financial institution. A transfer of funds or credit by a U.S. financial institution between blocked accounts in its branches or offices is authorized, provided that no transfer is made from an account within the United States to an account held outside the United States, and further provided that a transfer from a blocked account may only be made to another blocked account held in the same name.

NOTE TO §542.504. Please refer to §501.603 of this chapter for mandatory reporting requirements regarding financial transfers. See also §542.203 concerning the obligation to hold blocked funds in interest-bearing accounts.
§ 542.505 Entries in certain accounts for normal service charges authorized.

(a) A U.S. financial institution is authorized to debit any blocked account held at that financial institution in payment or reimbursement for normal service charges owed it by the owner of that blocked account.

(b) As used in this section, the term normal service charge shall include charges in payment or reimbursement for interest due; cable, telegraph, internet, or telephone charges; postage costs; custody fees; small adjustment charges to correct bookkeeping errors; and, but not by way of limitation, minimum balance charges, notary and protest fees, and charges for reference books, photocopies, credit reports, transcripts of statements, registered mail, insurance, stationery and supplies, and other similar items.

§ 542.506 Investment and reinvestment of certain funds.

Subject to the requirements of § 542.203, U.S. financial institutions are authorized to invest and reinvest assets blocked pursuant to § 542.201, subject to the following conditions:

(a) The assets representing such investments and reinvestments are credited to a blocked account or subaccount which is held in the same name at the same U.S. financial institution, or within the possession or control of a U.S. person, but funds shall not be transferred outside the United States for this purpose;

(b) The proceeds of such investments and reinvestments shall not be credited to a blocked account or subaccount under any name or designation that differs from the name or designation of the specific blocked account or subaccount in which such funds or securities were held; and

(c) No immediate financial or economic benefit accrues (e.g., through pledging or other use) to persons whose property or interests in property are blocked pursuant to § 542.201(a).

§ 542.507 Provision of certain legal services authorized.

(a) The provision of the following legal services to or on behalf of persons whose property or interests in property are blocked pursuant to § 542.201(a) is authorized, provided that all receipts of payment of professional fees and reimbursement of incurred expenses must be specifically licensed:

1. Provision of legal advice and counseling on the requirements of and compliance with the laws of any jurisdiction within the United States, provided that such advice and counseling is not provided to facilitate transactions in violation of this part;

2. Representation of persons when named as defendants in or otherwise made parties to domestic U.S. legal, arbitration, or administrative proceedings;

3. Initiation and conduct of domestic U.S. legal, arbitration, or administrative proceedings in defense of property interests subject to U.S. jurisdiction;

4. Representation of persons before any Federal or State agency with respect to the imposition, administration, or enforcement of U.S. sanctions against such persons; and

5. Provision of legal services in any other context in which prevailing U.S. law requires access to legal counsel at public expense.

(b) The provision of any other legal services to persons whose property or interests in property are blocked pursuant to § 542.201(a), not otherwise authorized in this part, requires the issuance of a specific license.

(c) Entry into a settlement agreement affecting property or interests in property or the enforcement of any lien, judgment, arbitral award, decree, or other order through execution, garnishment, or other judicial process purporting to transfer or otherwise alter or affect property or interests in property blocked pursuant to § 542.201(a) is prohibited unless specifically licensed in accordance with § 542.202(e).

§ 542.508 Authorization of emergency medical services.

The provision of nonscheduled emergency medical services in the United States to persons whose property or interests in property are blocked pursuant to § 542.201(a) is authorized, provided that all receipt of payment for such services must be specifically licensed.
Subpart F—Reports

§ 542.601 Records and reports.

For provisions relating to required records and reports, see part 501, subpart C, of this chapter. Recordkeeping and reporting requirements imposed by part 501 of this chapter with respect to the prohibitions contained in this part are considered requirements arising pursuant to this part.

Subpart G—Penalties

§ 542.701 Penalties.

(a) Attention is directed to section 206 of the International Emergency Economic Powers Act (the “Act”) (50 U.S.C. 1705), which is applicable to violations of the provisions of any license, ruling, regulation, order, direction, or instruction issued by or pursuant to the direction or authorization of the Secretary of the Treasury pursuant to this part or otherwise under the Act.

(1) A civil penalty not to exceed the amount set forth in Section 206 of the Act may be imposed on any person who violates, attempts to violate, conspires to violate, or causes a violation of any license, order, regulation, or prohibition issued under the Act.

NOTE TO PARAGRAPH (a)(1) OF § 542.701: As of June 10, 2008, the Act provides for a maximum civil penalty not to exceed the greater of $250,000 or an amount that is twice the amount of the transaction that is the basis of the violation with respect to which the penalty is imposed.

(2) A person who willfully commits, willfully attempts to commit, or willfully conspires to commit, or aids or abets in the commission of a violation of any license, order, regulation, or prohibition shall, upon conviction, be fined not more than $1,000,000, or if a natural person, may be imprisoned for not more than 20 years, or both.

(b) Adjustments to penalty amounts. (1) The civil penalties provided in the Act are subject to adjustment pursuant to the Federal Civil Penalties Inflation Adjustment Act of 1990 (Pub. L. 101–410, as amended, 28 U.S.C. 2461 note).

(2) The criminal penalties provided in the Act are subject to adjustment pursuant to 18 U.S.C. 3571.

(c) Attention is also directed to 18 U.S.C. 1001, which provides that whoever, in any matter within the jurisdiction of the executive, legislative, or judicial branch of the Government of the United States, knowingly and willfully falsifies, conceals, or covers up by any trick, scheme, or device, a material fact, or makes any materially false, fictitious, or fraudulent statement or representation, or makes or uses any false writing or document knowing the same to contain any materially false, fictitious, or fraudulent statement or entry shall be fined under title 18, United States Code, or imprisoned not more than five years, or both.

(d) Violations of this part may also be subject to relevant provisions of other applicable laws.

[70 FR 17203, Apr. 5, 2005, as amended at 71 FR 29253, May 22, 2006; 73 FR 32653, June 10, 2008]

§ 542.702 Prepenalty notice.

(a) When required. If the Director of the Office of Foreign Assets Control has reason to believe that there has occurred a violation of any provision of this part or a violation of the provisions of any license, ruling, regulation, order, direction, or instruction issued by or pursuant to the direction or authorization of the Secretary of the Treasury pursuant to this part or otherwise under the International Emergency Economic Powers Act, the Director determines that further civil proceedings are warranted, the Director shall notify the alleged violator of the agency’s intent to impose a monetary penalty by issuing a prepenalty notice. The prepenalty notice shall be in writing. The prepenalty notice may be issued whether or not another agency has taken any action with respect to the matter.

(b) Contents of notice—(1) Facts of violation. The prepenalty notice shall describe the violation, specify the laws and regulations allegedly violated, and state the amount of the proposed monetary penalty.

(2) Right to respond. The prepenalty notice also shall inform the respondent of the respondent’s right to make a written presentation within the applicable 30 day period set forth in §542.703 as to why a monetary penalty should
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not be imposed or why, if imposed, the monetary penalty should be in a lesser amount than proposed.

(c) Informal settlement prior to issuance of prepenalty notice. At any time prior to the issuance of a prepenalty notice, an alleged violator may request in writing that, for a period not to exceed sixty (60) days, the agency withhold issuance of the prepenalty notice for the exclusive purpose of effecting settlement of the agency’s potential civil monetary penalty claims. In the event the Director of the Office of Foreign Assets Control grants the request, under terms and conditions within his discretion, the Office of Foreign Assets Control will agree to withhold issuance of the prepenalty notice for a period not to exceed 60 days and will enter into settlement negotiations of the potential civil monetary penalty claim.

§ 542.703 Response to prepenalty notice; informal settlement.

(a) Deadline for response. The respondent may submit a response to the prepenalty notice within the applicable 30-day period set forth in this paragraph. The Director of the Office of Foreign Assets Control may grant, at his discretion, an extension of time in which to submit a response to the prepenalty notice. The failure to submit a response within the applicable time period set forth in this paragraph shall be deemed to be a waiver of the right to respond.

(1) Computation of time for response. A response to the prepenalty notice must be postmarked or date-stamped by the U.S. Postal Service (or foreign postal service, if mailed abroad) or courier service provider (if transmitted to the Office of Foreign Assets Control by courier) on or before the 30th day after the postmark date on the envelope in which the prepenalty notice was mailed. If the respondent refused delivery or otherwise avoided receipt of the prepenalty notice, a response must be postmarked or date-stamped on or before the 30th day after the date on the stamped postal receipt maintained at the Office of Foreign Assets Control. If the prepenalty notice was personally delivered to the respondent by a non-U.S. Postal Service agent authorized by the Director, a response must be postmarked or date-stamped on or before the 30th day after the date of delivery.

(2) Extensions of time for response. If a due date falls on a Federal holiday or weekend, that due date is extended to include the following business day. Any other extensions of time will be granted, at the discretion of the Director of the Office of Foreign Assets Control, only upon the respondent’s specific request to the Office of Foreign Assets Control.

(b) Form and method of response. The response must be submitted in handwritten or typed form and signed by the respondent or a representative thereof. The response need not be in any particular form. A copy of the written response may be sent by facsimile, but the original also must be sent to the Office of Foreign Assets Control Civil Penalties Division by mail or courier and must be postmarked or date-stamped, in accordance with paragraph (a) of this section.

(c) Contents of response. A written response must contain information sufficient to indicate that it is in response to the prepenalty notice and must include the Office of Foreign Assets Control identification number listed on the prepenalty notice.

(1) A written response must include the respondent’s full name, address, telephone number, and facsimile number, if available, or those of the representative of the respondent.

(2) A written response should either admit or deny each specific violation alleged in the prepenalty notice and also state if the respondent has no knowledge of a particular violation. If the written response fails to address any specific violation alleged in the prepenalty notice, that alleged violation shall be deemed to be admitted.

(3) A written response should include any information in defense, evidence in support of an asserted defense, or other factors that the respondent requests the Office of Foreign Assets Control to consider. Any defense or explanation previously made to the Office of Foreign Assets Control or any other agency must be repeated in the written response. Any defense not raised in the written response will be considered waived. The written response also
§ 542.704 Penalty imposition or withdrawal.

(a) No violation. If, after considering any response to the prepenalty notice and any relevant facts, the Director of the Office of Foreign Assets Control determines that there was no violation by the respondent named in the prepenalty notice, the Director shall notify the respondent in writing of that determination and of the cancellation of the proposed monetary penalty.

(b) Violation. (1) If, after considering any written response to the prepenalty notice, or default in the submission of a written response, and any relevant facts, the Director of the Office of Foreign Assets Control determines that there was a violation by the respondent named in the prepenalty notice, the Director is authorized to issue a written penalty notice to the respondent of the determination of the violation and the imposition of the monetary penalty.

(2) The penalty notice shall inform the respondent that payment or arrangement for installment payment of the assessed penalty must be made within 30 days of the date of mailing of the penalty notice by the Office of Foreign Assets Control.

(3) The penalty notice shall inform the respondent of the requirement to furnish the respondent’s taxpayer identification number pursuant to 31 U.S.C. 7701 and that such number will be used for purposes of collecting and reporting on any delinquent penalty amount.

(4) The issuance of the penalty notice finding a violation and imposing a monetary penalty shall constitute final agency action. The respondent has the right to seek judicial review of that final agency action in Federal District Court.

§ 542.705 Administrative collection; referral to United States Department of Justice.

In the event that the respondent does not pay the penalty imposed pursuant to this part or make payment arrangements acceptable to the Director of the Office of Foreign Assets Control within
30 days of the date of mailing of the penalty notice, the matter may be referred for administrative collection measures by the Department of the Treasury or to the United States Department of Justice for appropriate action to recover the penalty in a civil suit in a Federal District Court.

Subpart H—Procedures

§ 542.801 Procedures.

For license application procedures and procedures relating to amendments, modifications, or revocations of licenses; administrative decisions; rulemaking; and requests for documents pursuant to the Freedom of Information and Privacy Acts (5 U.S.C. 552 and 552a), see part 501, subpart E, of this chapter.

§ 542.802 Delegation by the Secretary of the Treasury.

Any action that the Secretary of the Treasury is authorized to take pursuant to Executive Order 13338 of May 11, 2004 (69 FR 26751, May 13, 2004), and any further Executive orders relating to the national emergency declared therein, may be taken by the Director of the Office of Foreign Assets Control or by any other person to whom the Secretary of the Treasury has delegated authority so to act.

Subpart I—Paperwork Reduction Act

§ 542.901 Paperwork Reduction Act notice.

For approval by the Office of Management and Budget (“OMB”) under the Paperwork Reduction Act of 1995 (44 U.S.C. 3507) of information collections relating to recordkeeping and reporting requirements, licensing procedures (including those pursuant to statements of licensing policy), and other procedures, see §501.901 of this chapter. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid control number assigned by OMB.

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SOURCE: 74 FR 16764, Apr. 13, 2009, unless otherwise noted.

Subpart A—Relation of This Part to Other Laws and Regulations
§ 543.101 Relation of this part to other laws and regulations.

This part is separate from, and independent of, the other parts of this chapter, with the exception of part 501 of this chapter, the recordkeeping and reporting requirements and license application and other procedures of which apply to this part. Actions taken pursuant to part 501 of this chapter with respect to the prohibitions contained in this part are considered actions taken pursuant to this part. Differing foreign policy and national security circumstances may result in differing interpretations of similar language among the parts of this chapter. No license or authorization contained in or issued pursuant to any other provision of law or regulation authorizes any transaction prohibited by this part. No license or authorization contained in or issued pursuant to this part relieves the involved parties from complying with any other applicable laws or regulations.

Subpart B—Prohibitions
§ 543.201 Prohibited transactions involving blocked property.

(a) Except as authorized by regulations, orders, directives, rulings, instructions, licenses, or otherwise, and notwithstanding any contracts entered into or any license or permit granted prior to the effective date, all property and interests in property that are in the United States, that hereafter come within the United States, or that are or hereafter come within the possession or control of U.S. persons, including their overseas branches, of the following persons are blocked and may not be transferred, paid, exported, withdrawn, or otherwise dealt in:

(1) Any person listed in the Annex to Executive Order 13396 of February 7, 2006 (71 FR 7389, February 10, 2006); and

(2) Any person determined by the Secretary of the Treasury, after consultation with the Secretary of State:

(i) To constitute a threat to the peace and national reconciliation process in Côte d'Ivoire, such as by blocking the implementation of the Linas-Marcoussy Agreement of January 24, 2003, the Accra III Agreement of July 30, 2004, and the Pretoria Agreement of April 6, 2005;

(ii) To be responsible for serious violations of international law in Côte d'Ivoire;

(iii) To have directly or indirectly supplied, sold, or transferred to Côte d'Ivoire arms or any related materiel or any assistance, advice, or training related to military activities;

(iv) To have publicly incited violence and hatred contributing to the conflict in Côte d'Ivoire;

(v) To have materially assisted, sponsored, or provided financial, material, or technological support for, or goods or services in support of, the activities described in paragraphs (a)(2)(i) through (a)(2)(iv) of this section or any person whose property or interests in

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property are blocked pursuant to this paragraph (a); or

(vi) To be owned or controlled by, or acting or purporting to act for or on behalf of, directly or indirectly, any person whose property and interests in property are blocked pursuant to this paragraph (a).

NOTE TO PARAGRAPH (a) OF §543.201: 1. The names of persons listed in or designated pursuant to Executive Order 13396, whose property and interests in property are blocked pursuant to paragraph (a) of this section, are published on the Office of Foreign Assets Control’s Specially Designated Nationals and Blocked Persons List (“SDN List”) (which is accessible via the Office of Foreign Assets Control’s Web site), published in the Federal Register, and incorporated into Appendix A to this chapter with the identifier “[COTED].” See §543.411 concerning entities that may not be listed on the SDN list but whose property and interests in property are nevertheless blocked pursuant to paragraph (a) of this section.

2. Section 203 of the International Emergency Economic Powers Act (50 U.S.C. 1701–1706) (“IEEPA”) explicitly authorizes the blocking of property and interests in property of a person during the pendency of an investigation. The names of persons whose property and interests in property are blocked pending investigation pursuant to this part also are published on the SDN List, published in the Federal Register, and incorporated into Appendix A to this chapter with the identifier “[BPI–COTED].”

3. Sections 501.806 and 501.807 of this chapter V describe the procedures to be followed by persons seeking, respectively, the unblocking of funds that they believe were blocked due to mistaken identity, or administrative reconsideration of their status as persons whose property and interests in property are blocked pursuant to paragraph (a) of this section.

(b) The prohibitions in paragraph (a) of this section include, but are not limited to, prohibitions on the following transactions when engaged in by a United States person or within the United States:

(1) The making of any contribution or provision of funds, goods, or services by, to, or for the benefit of any person whose property and interests in property are blocked pursuant to paragraph (a) of this section; and

(2) The receipt of any contribution or provision of funds, goods, or services from any person whose property and interests in property are blocked pursuant to paragraph (a) of this section.

(c) Unless otherwise authorized by this part or by a specific license expressly referring to this section, any dealing in any security (or evidence thereof) held within the possession or control of a U.S. person and either registered or inscribed in the name of, or known to be held for the benefit of, or issued by, any person whose property and interests in property are blocked pursuant to paragraph (a) of this section is prohibited. This prohibition includes but is not limited to the transfer (including the transfer on the books of any issuer or agent thereof), disposition, transportation, importation, exportation, or withdrawal of, or the endorsement or guaranty of signatures on, any such security on or after the effective date. This prohibition applies irrespective of the fact that at any time (whether prior to, on, or subsequent to the effective date) the registered or inscribed owner of any such security may have or might appear to have assigned, transferred, or otherwise disposed of the security.

§ 543.202 Effect of transfers violating the provisions of this part.

(a) Any transfer after the effective date that is in violation of any provision of this part or of any regulation, order, directive, ruling, instruction, or license issued pursuant to this part, and that involves any property or interest in property blocked pursuant to §543.201(a), is null and void and shall not be the basis for the assertion or recognition of any interest in or right, remedy, power, or privilege with respect to such property or property interests.

(b) No transfer before the effective date shall be the basis for the assertion or recognition of any right, remedy, power, or privilege with respect to, or any interest in, any property or interest in property blocked pursuant to §543.201(a), unless the person who holds or maintains such property, prior to that date, had written notice of the transfer or by any written evidence had recognized such transfer.

(c) Unless otherwise provided, an appropriate license or other authorization issued by or pursuant to the direction or authorization of the Director of...
the Office of Foreign Assets Control before, during, or after a transfer shall validate such transfer or make it enforceable to the same extent that it would be valid or enforceable but for the provisions of IEEPA, Executive Order 13396, this part, and any regulation, order, directive, ruling, instruction, or license issued pursuant to this part.

(d) Transfers of property that otherwise would be null and void or unenforceable by virtue of the provisions of this section shall not be deemed to be null and void or unenforceable as to any person with whom such property is or was held or maintained (and as to such person only) in cases in which such person is able to establish to the satisfaction of the Director of the Office of Foreign Assets Control each of the following:

(1) Such transfer did not represent a willful violation of the provisions of this part by the person with whom such property is or was held or maintained (and as to such person only);

(2) The person with whom such property is or was held or maintained did not have reasonable cause to know or suspect, in view of all the facts and circumstances known or available to such person, that such transfer required a license or authorization issued pursuant to this part and was not so licensed or authorized, or, if a license or authorization did purport to cover the transfer, that such license or authorization had been obtained by misrepresentation of a third party or withholding of material facts or was otherwise fraudulently obtained; and

(3) The person with whom such property is or was held or maintained filed with the Office of Foreign Assets Control a report setting forth in full the circumstances relating to such transfer promptly upon discovery that:

(i) Such transfer was in violation of the provisions of this part or any regulation, ruling, instruction, license, or other directive or authorization issued pursuant to this part;

(ii) Such transfer was not licensed or authorized by the Director of the Office of Foreign Assets Control; or

(iii) If a license did purport to cover the transfer, such license had been obtained by misrepresentation of a third party or withholding of material facts or was otherwise fraudulently obtained.

NOTE TO PARAGRAPH (d) OF § 543.202: The filing of a report in accordance with the provisions of paragraph (d)(3) of this section shall not be deemed evidence that the terms of paragraphs (d)(1) and (d)(2) of this section have been satisfied.

(e) Unless licensed pursuant to this part, any attachment, judgment, decree, lien, execution, garnishment, or other judicial process is null and void with respect to any property in which, on or since the effective date, there existed an interest of a person whose property and interests in property are blocked pursuant to § 543.201(a).

§ 543.203 Holding of funds in interest-bearing accounts; investment and reinvestment.

(a) Except as provided in paragraphs (c) or (d) of this section, or as otherwise directed by the Office of Foreign Assets Control, any U.S. person holding funds, such as currency, bank deposits, or liquidated financial obligations, subject to § 543.201(a) shall hold or place such funds in a blocked interest-bearing account located in the United States.

(b)(1) For purposes of this section, the term blocked interest-bearing account means a blocked account:

(i) In a federally-insured U.S. bank, thrift institution, or credit union, provided the funds are earning interest at rates that are commercially reasonable; or

(ii) With a broker or dealer registered with the Securities and Exchange Commission under the Securities Exchange Act of 1934 (15 U.S.C. 78a et seq.), provided the funds are invested in a money market fund or in U.S. Treasury bills.

(2) For purposes of this section, a rate is commercially reasonable if it is the rate currently offered to other depositors on deposits or instruments of comparable size and maturity.

(3) Funds held or placed in a blocked account pursuant to this paragraph (b) may not be invested in instruments the maturity of which exceeds 180 days. If interest is credited to a separate blocked account or subaccount, the name of the account party on each account must be the same.
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(c) Blocked funds held in instruments the maturity of which exceeds 180 days at the time the funds become subject to §543.201(a) may continue to be held until maturity in the original instrument, provided any interest, earnings, or other proceeds derived therefrom are paid into a blocked interest-bearing account in accordance with paragraphs (b) or (d) of this section.

(d) Blocked funds held in accounts or instruments outside the United States at the time the funds become subject to §543.201(a) may continue to be held in the same type of accounts or instruments, provided the funds earn interest at rates that are commercially reasonable.

(e) This section does not create an affirmative obligation for the holder of blocked tangible property, such as chattels or real estate, or of other blocked property, such as debt or equity securities, to sell or liquidate such property. However, the Office of Foreign Assets Control may issue licenses permitting or directing such sales or liquidation in appropriate cases.

(f) Funds subject to this section may not be held, invested, or reinvested in a manner that provides immediate financial or economic benefit or access to any person whose property and interests in property are blocked pursuant to §543.201(a), nor may their holder cooperate in or facilitate the pledging or other attempted use as collateral of blocked funds or other assets.

§ 543.204 Expenses of maintaining blocked physical property; liquidation of blocked property.

(a) Except as otherwise authorized, and notwithstanding any contract entered into or any license or permit granted prior to the effective date, any transaction by a U.S. person or within the United States on or after the effective date that evades or avoids, has the purpose of evading or avoiding, or attempts to violate any of the prohibitions set forth in this part is prohibited.

(b) Except as otherwise authorized, and notwithstanding any contract entered into or any license or permit granted prior to the effective date, any conspiracy formed to violate the prohibitions set forth in this part is prohibited.

Subpart C—General Definitions

§ 543.301 Arms or any related materiel.

The term arms or any related materiel means arms or related materiel of all types, including military aircraft and equipment, but excludes:

(a) Supplies and technical assistance intended solely for the support of or use by the United Nations Operation in Côte d’Ivoire and forces of France who support them;

(b) Supplies temporarily exported to Côte d’Ivoire to the forces of a country that is taking action solely and directly to facilitate the evacuation of its nationals and those for whom it has consular responsibility in Côte d’Ivoire; and

(c) Supplies of protective clothing, including flak jackets and military helmets, temporarily exported to Côte d’Ivoire for use by United Nations personnel, representatives of the media, and humanitarian and development workers and associated personnel, for their personal use only;

(d) Supplies temporarily exported to Côte d’Ivoire to the forces of a country that is taking action solely and directly to facilitate the evacuation of its nationals and those for whom it has consular responsibility in Côte d’Ivoire; and

(e) Supplies of arms and related materiel and technical training and assistance intended solely for support of
or use in the process of restructuring defense and security forces pursuant to paragraph 3, subparagraph (f) of the Linas-Marcoussis Agreement.

§ 543.302 Blocked account; blocked property.

The terms blocked account and blocked property shall mean any account or property subject to the prohibitions in §543.201 held in the name of a person whose property and interests in property are blocked pursuant to §543.201(a), or in which such person has an interest, and with respect to which payments, transfers, exportations, withdrawals, or other dealings may not be made or effected except pursuant to an authorization or license from the Office of Foreign Assets Control expressly authorizing such action.

NOTE TO §543.302: See §543.411 concerning the blocked status of property and interests in property of an entity that is 50 percent or more owned by a person whose property and interests in property are blocked pursuant to §543.201(a).

§ 543.303 Effective date.

The term effective date refers to the effective date of the applicable prohibitions and directives contained in this part as follows:

(a) With respect to a person whose property and interests in property are blocked pursuant to §543.201(a)(1), 12:01 a.m. eastern standard time, February 8, 2006;

(b) With respect to a person whose property and interests in property are blocked pursuant to §543.201(a)(2), the earlier of the date of actual or constructive notice of such person’s designation.

§ 543.304 Entity.

The term entity means a partnership, association, trust, joint venture, corporation, group, subgroup, or other organization.

§ 543.305 Interest.

Except as otherwise provided in this part, the term interest, when used with respect to property (e.g., “an interest in property”), means an interest of any nature whatsoever, direct or indirect.

§ 543.306 Licenses; general and specific.

(a) Except as otherwise specified, the term license means any license or authorization contained in or issued pursuant to this part.

(b) The term general license means any license or authorization the terms of which are set forth in subpart E of this part.

(c) The term specific license means any license or authorization not set forth in subpart E of this part but issued pursuant to this part.

NOTE TO §543.306: See §501.801 of this chapter on licensing procedures.

§ 543.307 Person.

The term person means an individual or entity.

§ 543.308 Property; property interest.

The terms property and property interest include, but are not limited to, money, checks, drafts, bullion, bank deposits, savings accounts, debts, indebtedness, obligations, notes, guarantees, debentures, stocks, bonds, coupons, any other financial instruments, bankers acceptances, mortgages, pledges, liens or other rights in the nature of security, warehouse receipts, bills of lading, trust receipts, bills of sale, any other evidences of title, ownership or indebtedness, letters of credit and any documents relating to any rights or obligations thereunder, powers of attorney, goods, wares, merchandise, chattels, stocks on hand, ships, goods on ships, real estate mortgages, deeds of trust, vendors’ sales agreements, land contracts, leaseholds, ground rents, real estate and any other interest therein, options, negotiable instruments, trade acceptances, royalties, book accounts, accounts payable, judgments, patents, trademarks or copyrights, insurance policies, safe deposit boxes and their contents, annuities, pooling agreements, services of any nature whatsoever, contracts of any nature whatsoever, and any other property, real, personal, or mixed, tangible or intangible, or interest or interests therein, present, future or contingent.
§ 543.309 Transfer.

The term transfer means any actual or purported act or transaction, whether or not evidenced by writing, and whether or not done or performed within the United States, the purpose, intent, or effect of which is to create, surrender, release, convey, transfer, or alter, directly or indirectly, any right, remedy, power, privilege, or interest with respect to any property and, without limitation upon the foregoing, shall include the making, execution, or delivery of any assignment, power, conveyance, check, declaration, deed, deed of trust, power of attorney, power of appointment, bill of sale, mortgage, receipt, agreement, contract, certificate, gift, sale, affidavit, or statement; the making of any payment; the setting off of any obligation or credit; the appointment of any agent, trustee, or fiduciary; the creation or transfer of any lien; the issuance, docketing, filing, or levy of or under any judgment, decree, attachment, injunction, execution, or other judicial or administrative process or order, or the service of any garnishment; the acquisition of any interest of any nature whatsoever by reason of a judgment or decree of any foreign country; the fulfillment of any condition; the exercise of any power of appointment, power of attorney, or other power; or the acquisition, disposition, transportation, importation, exportation, or withdrawal of any security.

§ 543.310 United States.

The term United States means the United States, its territories and possessions, and all areas under the jurisdiction or authority thereof.

§ 543.311 U.S. financial institution.

The term U.S. financial institution means any U.S. entity (including its foreign branches) that is engaged in the business of accepting deposits, making, granting, transferring, holding, or brokering loans or credits, or purchasing or selling foreign exchange, securities, commodity futures or options, or procuring purchasers and sellers thereof, as principal or agent; including but not limited to depository institutions, banks, savings banks, trust companies, securities brokers and dealers, commodity futures and options brokers and dealers, forward contract and foreign exchange merchants, securities and commodities exchanges, clearing corporations, investment companies, employee benefit plans, and U.S. holding companies, U.S. affiliates, or U.S. subsidiaries of any of the foregoing. This term includes those branches, offices and agencies of foreign financial institutions that are located in the United States, but not such institutions’ foreign branches, offices, or agencies.

§ 543.312 United States person; U.S. person.

The term United States person or U.S. person means any United States citizen, permanent resident alien, entity organized under the laws of the United States or any jurisdiction within the United States (including foreign branches), or any person in the United States.

Subpart D—Interpretations

§ 543.401 Reference to amended sections.

Except as otherwise specified, reference to any provision in or appendix to this part or chapter or to any regulation, ruling, order, instruction, directive, or license issued pursuant to this part refers to the same as currently amended.

§ 543.402 Effect of amendment.

Unless otherwise specifically provided, any amendment, modification, or revocation of any provision in or appendix to this part or chapter or of any order, regulation, ruling, instruction, directive, or license issued pursuant to the direction of the Director of the Office of Foreign Assets Control does not affect any act done or omitted, or any civil or criminal suit or proceeding commenced or pending prior to such amendment, modification, or revocation. All penalties, forfeitures, and liabilities under any such order, regulation, ruling, instruction, or license continue and may be enforced as if such amendment, modification, or revocation had not been made.
§ 543.403 Termination and acquisition of an interest in blocked property.

(a) Whenever a transaction licensed or authorized by or pursuant to this part results in the transfer of property (including any property interest) away from a person, such property shall no longer be deemed to be property blocked pursuant to §543.201(a), unless there exists in the property another interest that is blocked pursuant to §543.201(a) or any other part of this chapter, the transfer of which has not been effected pursuant to license or other authorization.

(b) Unless otherwise specifically provided in a license or authorization issued pursuant to this part, if property (including any property interest) is transferred or attempted to be transferred to a person whose property and interests in property are blocked pursuant to §543.201(a), such property shall be deemed to be property in which that person has an interest and therefore blocked.

§ 543.404 Transactions ordinarily incident to a licensed transaction.

Any transaction ordinarily incident to a licensed transaction and necessary to give effect thereto is also authorized, except:

(a) An ordinarily incident transaction, not explicitly authorized within the terms of the license, by or with a person whose property and interests in property are blocked pursuant to §543.201(a); or

(b) An ordinarily incident transaction, not explicitly authorized within the terms of the license, involving a debit to a blocked account or a transfer of blocked property.

(c) Example. A license authorizing Company A, whose property and interests in property are blocked pursuant to §543.201(a), to complete a securities sale also authorizes all activities by other parties required to complete the sale, including transactions by the buyer, broker, transfer agents, banks, etc., provided that such other parties are not themselves persons whose property and interests in property are blocked pursuant to §543.201(a).

§ 543.405 Provision of services.

(a) The prohibitions on transactions involving blocked property contained in §543.201 apply to services performed in the United States or by U.S. persons, wherever located, including by an overseas branch of an entity located in the United States:

(1) On behalf of or for the benefit of a person whose property and interests in property are blocked pursuant to §543.201(a); or

(2) With respect to property interests subject to §543.201.

(b) Example. U.S. persons may not, except as authorized by or pursuant to this part, provide legal, accounting, financial, brokering, freight forwarding, transportation, public relations, or other services to a person whose property and interests in property are blocked pursuant to §543.201(a).

NOTE TO § 543.405: See §§543.507 and 543.508 on licensing policy with regard to the provision of certain legal and medical services.

§ 543.406 Offshore transactions.

The prohibitions in §543.201 on transactions or dealings involving blocked property apply to transactions by any U.S. person in a location outside the United States with respect to property held in the name of a person whose property and interests in property are blocked pursuant to §543.201(a), or property in which a person whose property and interests in property are blocked pursuant to §543.201(a) has or has had an interest since the effective date.

§ 543.407 Payments from blocked accounts to satisfy obligations prohibited.

Pursuant to §543.201, no debits may be made to a blocked account to pay obligations to U.S. persons or other persons, except as authorized by or pursuant to this part.

§ 543.408 Charitable contributions.

Unless specifically authorized by the Office of Foreign Assets Control pursuant to this part, no charitable contribution of funds, goods, services, or technology, including contributions to relieve human suffering, such as food, clothing or medicine, may be made by,
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Subpart E—Licenses, Authorizations and Statements of Licensing Policy

§ 543.501 General and specific licensing procedures.

For provisions relating to licensing procedures, see part 501, subpart E of this chapter. Licensing actions taken pursuant to part 501 of this chapter with respect to the prohibitions contained in this part are considered actions taken pursuant to this part.

§ 543.502 Effect of license or authorization.

(a) No license or other authorization contained in this part, or otherwise issued by or under the direction of the Director of the Office of Foreign Assets Control, authorizes or validates any transaction effected prior to the issuance of such license or other authorization, unless specifically provided in such license or authorization.

(b) No regulation, ruling, instruction, or license authorizes any transaction prohibited under this part unless the regulation, ruling, instruction, or license is issued by the Office of Foreign Assets Control and specifically refers to this part. No regulation, ruling, instruction, or license referring to this part shall be deemed to authorize any transaction prohibited by any other provision of this chapter unless the regulation, ruling, instruction, or license specifically refers to such provision.

(c) Any regulation, ruling, instruction, or license authorizing any transaction otherwise prohibited under this part has the effect of removing a prohibition contained in this part from the transaction, but only to the extent specifically stated by its terms. Unless the regulation, ruling, instruction, or license otherwise specifies, such an authorization does not create any right, duty, obligation, claim, or interest in, or with respect to, any property that would not otherwise exist under ordinary principles of law.
§ 543.503 Exclusion from licenses.

The Director of the Office of Foreign Assets Control reserves the right to exclude any person, property, or transaction from the operation of any license or from the privileges conferred by any license. The Director of the Office of Foreign Assets Control also reserves the right to restrict the applicability of any license to particular persons, property, transactions, or classes thereof. Such actions are binding upon actual or constructive notice of the exclusions or restrictions.

§ 543.504 Payments and transfers to blocked accounts in U.S. financial institutions.

Any payment of funds or transfer of credit in which a person whose property and interests in property are blocked pursuant to § 543.201(a) has any interest that comes within the possession or control of a U.S. financial institution must be blocked in an account on the books of that financial institution. A transfer of funds or credit by a U.S. financial institution between blocked accounts in its branches or offices is authorized, provided that no transfer is made from an account within the United States to an account held outside the United States, and further provided that a transfer from a blocked account may be made only to another blocked account held in the same name.

Note to § 543.504: See § 501.603 of this chapter for mandatory reporting requirements regarding financial transfers. See also § 543.203 concerning the obligation to hold blocked funds in interest-bearing accounts.

§ 543.505 Entries in certain accounts for normal service charges authorized.

(a) A U.S. financial institution is authorized to debit any blocked account held at that financial institution in payment or reimbursement for normal service charges owed it by the owner of that blocked account.

(b) As used in this section, the term normal service charges shall include charges in payment or reimbursement for interest due; cable, telegraph, internet, or telephone charges; postage costs; custodian fees; small adjustment charges to correct bookkeeping errors; and, but not by way of limitation, minimum balance charges, notary and protest fees, and charges for reference books, photocopies, credit reports, transcripts of statements, registered mail, insurance, stationery and supplies, and other similar items.

§ 543.506 Investment and reinvestment of certain funds.

Subject to the requirements of § 543.203, U.S. financial institutions are authorized to invest and reinvest assets blocked pursuant to § 543.201, subject to the following conditions:

(a) The assets representing such investments and reinvestments shall not be credited to a blocked account or subaccount that is held in the same name at the same U.S. financial institution, or within the possession or control of a U.S. person, but funds shall not be transferred outside the United States for this purpose;

(b) The proceeds of such investments and reinvestments shall not be credited to a blocked account or subaccount under any name or designation that differs from the name or designation of the specific blocked account or subaccount in which such funds or securities were held; and

(c) No immediate financial or economic benefit accrues (e.g., through pledging or other use) to a person whose property and interests in property are blocked pursuant to § 543.201(a).

§ 543.507 Provision of certain legal services authorized.

(a) The provision of the following legal services to or on behalf of persons whose property and interests in property are blocked pursuant to § 543.201(a) is authorized, provided that all receipts of payment of professional fees and reimbursement of incurred expenses must be specifically licensed:

(1) Provision of legal advice and counseling on the requirements of and compliance with the laws of the United States or any jurisdiction within the United States, provided that such advice and counseling are not provided to facilitate transactions in violation of this part;

(2) Representation of persons named as defendants in or otherwise made
parties to domestic U.S. legal, arbitration, or administrative proceedings;
(3) Initiation and conduct of domestic U.S. legal, arbitration, or administrative proceedings in defense of property interests subject to U.S. jurisdiction;
(4) Representation of persons before any federal or state agency with respect to the imposition, administration, or enforcement of U.S. sanctions against such persons; and
(5) Provision of legal services in any other context in which prevailing U.S. law requires access to legal counsel at public expense.

(b) The provision of any other legal services to persons whose property and interests in property are blocked pursuant to §543.201(a), not otherwise authorized in this part, requires the issuance of a specific license.

(c) Entry into a settlement agreement or the enforcement of any lien, judgment, arbitral award, decree, or other order through execution, garnishment, or other judicial process purporting to transfer or otherwise alter or affect property or interests in property blocked pursuant to §543.201(a) is prohibited unless specifically licensed in accordance with §543.202(e).

§ 543.508 Authorization of emergency medical services.

The provision of nonscheduled emergency medical services in the United States to persons whose property and interests in property are blocked pursuant to §543.201(a) is authorized, provided that all receipt of payment for such services must be specifically licensed.

Subpart F—Reports

§ 543.601 Records and reports.

For provisions relating to required records and reports, see part 501, subpart C, of this chapter. Recordkeeping and reporting requirements imposed by part 501 of this chapter with respect to the prohibitions contained in this part are considered requirements arising pursuant to this part.
years; and the officer, director, or agent of any corporation who knowingly participates in such violation or evasion shall be punished by a like fine, imprisonment, or both and any property, funds, securities, papers, or other articles or documents, or any vessel, together with her tackle, apparel, furniture, and equipment, or vehicle, or aircraft, concerned in such violation shall be forfeited to the United States.

(d) Violations involving transactions described at section 203(b)(1), (3), and (4) of IEEPA shall be subject only to the penalties set forth in paragraph (c) of this section.

(e) Attention is also directed to 18 U.S.C. 1001, which provides that whoever, in any matter within the jurisdiction of the executive, legislative, or judicial branch of the Government of the United States, knowingly and willfully falsifies, conceals, or covers up by any trick, scheme, or device a material fact; or makes any materially false, fictitious or fraudulent statement or representation; or makes or uses any false writing or document knowing the same to contain any materially false, fictitious or fraudulent statement or entry; shall be fined under title 18, United States Code, imprisoned not more than five years, or both.

(f) Violations of this part may also be subject to relevant provisions of other applicable laws.

§ 543.702 Pre-Penalty Notice; settlement.

(a) When required. If the Office of Foreign Assets Control has reason to believe that there has occurred a violation of any provision of this part or a violation of the provisions of any license, ruling, regulation, order, direction, or instruction issued by or pursuant to the direction or authorization of the Secretary of the Treasury pursuant to this part or otherwise under IEEPA and determines that a civil monetary penalty is warranted, the Office of Foreign Assets Control will issue a Pre-Penalty Notice informing the alleged violator of the agency’s intent to impose a monetary penalty. A Pre-Penalty Notice may be issued whether or not another agency has taken any action with respect to the matter. For a description of the contents of a Pre-Penalty Notice, see Appendix A to part 501 of this chapter.

(b)(1) Right to respond. An alleged violator has the right to respond to a Pre-Penalty Notice by making a written presentation to the Office of Foreign Assets Control. For a description of the information that should be included in such a response, see appendix A to part 501 of this chapter.

(2) Deadline for response. A response to a Pre-Penalty Notice must be made within the applicable 30-day period set forth in this paragraph. The failure to submit a response within the applicable time period set forth in this paragraph shall be deemed to be a waiver of the right to respond.

(i) Computation of time for response. A response to a Pre-Penalty Notice must be postmarked or date-stamped by the U.S. Postal Service (or foreign postal service, if mailed abroad) or courier service provider (if transmitted to the Office of Foreign Assets Control by courier) on or before the 30th day after the postmark date on the envelope in which the Pre-Penalty Notice was mailed. If the Pre-Penalty Notice was personally delivered by a non-U.S. Postal Service agent authorized by the Office of Foreign Assets Control, a response must be postmarked or date-stamped on or before the 30th day after the date of delivery.

(ii) Extensions of time for response. If a due date falls on a federal holiday or weekend, that due date is extended to include the following business day. Any other extensions of time will be granted, at the discretion of the Office of Foreign Assets Control, only upon specific request to the Office of Foreign Assets Control.

(3) Form and method of response. A response to a Pre-Penalty Notice need not be in any particular form, but it must be typewritten and signed by the alleged violator or a representative thereof, must contain information sufficient to indicate that it is in response to the Pre-Penalty Notice, and must include the Office of Foreign Assets Control identification number listed on the Pre-Penalty Notice. A copy of the written response may be sent by facsimile, but the original also must be
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§ 543.901 Paperwork Reduction Act notice.

For approval by the Office of Management and Budget ("OMB") under the Paperwork Reduction Act of 1995 (44 U.S.C. 3507) of information collections relating to recordkeeping and reporting requirements, licensing procedures (including those pursuant to statements of licensing policy), and other procedures, see §501.901 of this chapter. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid control number assigned by OMB.
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544.101 Relation of this part to other laws and regulations.

This part is separate from, and independent of, the other parts of this chapter, with the exception of part 501 of this chapter, the recordkeeping and reporting requirements and license application and other procedures of which apply to this part. Actions taken pursuant to part 501 of this chapter with respect to the prohibitions contained in this part are considered actions taken pursuant to this part. Differing foreign policy and national security circumstances may result in differing interpretations of similar language among the parts of this chapter. No license or authorization contained in or
issued pursuant to those other parts authorizes any transaction prohibited by this part. No license or authorization contained in or issued pursuant to any other provision of law or regulation authorizes any transaction prohibited by this part. No license or authorization contained in or issued pursuant to this part relieves the involved parties from complying with any other applicable laws or regulations.

NOTE TO §544.101: The sanctions implemented pursuant to the Weapons of Mass Destruction Trade Control Regulations set forth in part 599 of this chapter are separate and distinct from the sanctions implemented pursuant to this part, even though both programs have been imposed pursuant to the same declaration of national emergency in Executive Order 12938 of November 14, 1994. Accordingly, a “designated foreign person” whose goods, technology, or services are prohibited from being imported into the United States under part 599 is not necessarily a person whose property and interests in property are blocked pursuant to §544.201(a). Consequently, the property and interests in property of a “designated foreign person” under part 599 are not blocked, unless the “designated foreign person” has separately become a person whose property and interests in property are blocked pursuant to §544.201(a) or any other part of 31 CFR chapter V. Note, however, that the importation into the United States of goods, technology, or services (other than information or informational materials) produced or provided by a “designated foreign person” under part 599 is prohibited by that part.

Subpart B—Prohibitions

§544.201 Prohibited transactions involving blocked property.

(a) Except as authorized by regulations, orders, directives, rulings, instructions, licenses or otherwise, and notwithstanding any contracts entered into or any license or permit granted prior to the effective date, all property and interests in property that are in the United States, that hereafter come within the United States, or that are or hereafter come within the possession or control of U.S. persons, including their overseas branches, of the following persons are blocked and may not be transferred, paid, exported, withdrawn, or otherwise dealt in:

(1) Any person listed in the Annex to Executive Order 13382 of June 28, 2005 (70 FR 38567, July 1, 2005);

(2) Any foreign person determined by the Secretary of State, in consultation with the Secretary of the Treasury, the Attorney General, and other relevant agencies, to have engaged, or attempted to engage, in activities or transactions that have materially contributed to, or pose a risk of materially contributing to, the proliferation of weapons of mass destruction or their means of delivery (including missiles capable of delivering such weapons), including any efforts to manufacture, acquire, possess, develop, transport, transfer or use such items, by any person or foreign country of proliferation concern;

(3) Any person determined by the Secretary of the Treasury, in consultation with the Secretary of State, the Attorney General, and other relevant agencies, to have provided, or attempted to provide, financial, material, technological or other support for, or goods or services in support of, any activity or transaction described in paragraph (a)(2) of this section, or any person whose property and interests in property are blocked pursuant to this section; and

(4) Any person determined by the Secretary of the Treasury, in consultation with the Secretary of State, the Attorney General, and other relevant agencies, to have engaged, or attempted to engage, in activities or transactions that have materially contributed to, or pose a risk of materially contributing to, the proliferation of weapons of mass destruction or their means of delivery (including missiles capable of delivering such weapons), including any efforts to manufacture, acquire, possess, develop, transport, transfer or use such items, by any person or foreign country of proliferation concern;

NOTE TO PARAGRAPH (a) OF §544.201: 1. The names of persons listed in or designated pursuant to Executive Order 13382, whose property and interests in property are blocked pursuant to paragraph (a) of this section, are published on the Office of Foreign Assets Control’s Specially Designated Nationals and Blocked Persons List (“SDN” list) (which is accessible via the Office of Foreign Assets Control’s Web site), published in the Federal Register, and incorporated into Appendix A to this chapter with the identifier “[NPWMD].” See §544.411 concerning entities that may not be listed on the SDN list but whose property and interests in property are nevertheless blocked pursuant to paragraph (a) of this section.

§ 544.202 Effect of transfers violating the provisions of this part.

(a) Any transfer after the effective date that is in violation of any provision of this part or of any regulation, order, directive, ruling, instruction, or license issued pursuant to this part, and that involves any property or interest in property blocked pursuant to §544.201(a), is null and void and shall not be the basis for the assertion or recognition of any interest in or right, remedy, power, or privilege with respect to such property or property interests.

(b) No transfer before the effective date shall be the basis for the assertion or recognition of any right, remedy, power, or privilege with respect to, or any interest in, any property or interest in property blocked pursuant to §544.201(a), unless the person who holds or maintains such property, prior to that date, had written notice of the transfer or by any written evidence had recognized such transfer.

(c) Unless otherwise provided, an appropriate license or other authorization issued by or pursuant to the direction or authorization of the Director of the Office of Foreign Assets Control before, during, or after a transfer shall validate such transfer or make it enforceable to the same extent that it would be valid or enforceable but for the provisions of IEEPA, Executive Order 13382, this part, and any regulation, order, directive, ruling, instruction, or license issued pursuant to this part.

(d) Transfers of property that otherwise would be null and void or unenforceable by virtue of the provisions of this section shall not be deemed to be null and void or unenforceable as to any person with whom such property is or was held or maintained (and as to such person only) in cases in which such person is able to establish to the satisfaction of the Director of the Office of Foreign Assets Control each of the following:

(1) Such transfer did not represent a willful violation of the provisions of this part by the person with whom such property was held or maintained.
property is or was held or maintained (and as to such person only):

(2) The person with whom such property is or was held or maintained did not have reasonable cause to know or suspect, in view of all the facts and circumstances known or available to such person, that such transfer required a license or authorization issued pursuant to this part and was not so licensed or authorized, or, if a license or authorization did purport to cover the transfer, that such license or authorization had been obtained by misrepresentation of a third party or withholding of material facts or was otherwise fraudulently obtained; and

(3) The person with whom such property is or was held or maintained filed with the Office of Foreign Assets Control a report setting forth in full the circumstances relating to such transfer promptly upon discovery that:

(i) Such transfer was in violation of the provisions of this part or any regulation, instruction, license, or other directive or authorization issued pursuant to this part;

(ii) Such transfer was not licensed or authorized by the Director of the Office of Foreign Assets Control; or

(iii) If a license did purport to cover the transfer, such license had been obtained by misrepresentation of a third party or withholding of material facts or was otherwise fraudulently obtained.

NOTE TO PARAGRAPH (d) OF §544.202: The filing of a report in accordance with the provisions of paragraph (d)(3) of this section shall not be deemed evidence that the terms of paragraphs (d)(1) and (d)(2) of this section have been satisfied.

(e) Unless licensed pursuant to this part, any attachment, judgment, decree, lien, execution, garnishment, or other judicial process is null and void with respect to any property in which, on or since the effective date, there existed an interest of a person whose property and interests in property are blocked pursuant to §544.201(a).

§544.203 Holding of funds in interest-bearing accounts; investment and reinvestment.

(a) Except as provided in paragraphs (c) or (d) of this section, or as otherwise directed by the Office of Foreign Assets Control, any U.S. person holding funds, such as currency, bank deposits, or liquidated financial obligations, subject to §544.201(a) shall hold or place such funds in a blocked interest-bearing account located in the United States.

(b)(1) For purposes of this section, the term blocked interest-bearing account means a blocked account:

(i) In a federally-insured U.S. bank, thrift institution, or credit union, provided the funds are earning interest at rates that are commercially reasonable; or

(ii) With a broker or dealer registered with the Securities and Exchange Commission under the Securities Exchange Act of 1934 (15 U.S.C. 78a et seq.), provided the funds are invested in a money market fund or in U.S. Treasury bills.

(2) For purposes of this section, a rate is commercially reasonable if it is the rate currently offered to other depositors on deposits or instruments of comparable size and maturity.

(3) Funds held or placed in a blocked account pursuant to this paragraph (b) may not be invested in instruments the maturity of which exceeds 180 days. If interest is credited to a separate blocked account or subaccount, the name of the account party on each account must be the same.

(c) Blocked funds held in instruments the maturity of which exceeds 180 days at the time the funds become subject to §544.201(a) may continue to be held until maturity in the original instrument, provided any interest, earnings, or other proceeds derived therefrom are paid into a blocked interest-bearing account in accordance with paragraphs (b) or (d) of this section.

(d) Blocked funds held in accounts or instruments outside the United States at the time the funds become subject to §544.201(a) may continue to be held in the same type of accounts or instruments, provided the funds earn interest at rates that are commercially reasonable.

(e) This section does not create an affirmative obligation for the holder of blocked tangible property, such as chattels or real estate, or of other blocked property, such as debt or equity securities, to sell or liquidate such
property. However, the Office of Foreign Assets Control may issue licenses permitting or directing such sales or liquidation in appropriate cases.

(f) Funds subject to this section may not be held, invested, or reinvested in a manner that provides immediate financial or economic benefit or access to any person whose property and interests in property are blocked pursuant to §544.201(a), nor may their holder cooperate in or facilitate the pledging or other attempted use as collateral of blocked funds or other assets.

§ 544.204 Expenses of maintaining blocked physical property; liquidation of blocked property.

(a) Except as otherwise authorized, and notwithstanding the existence of any rights or obligations conferred or imposed by any international agreement or contract entered into or any license or permit granted prior to the effective date, all expenses incident to the maintenance of physical property blocked pursuant to §544.201(a) shall be the responsibility of the owners or operators of such property, which expenses shall not be met from blocked funds.

(b) Property blocked pursuant to §544.201(a) may, in the discretion of the Office of Foreign Assets Control, be sold or liquidated and the net proceeds placed in a blocked interest-bearing account in the name of the owner of the property.

§ 544.205 Evasions; attempts; conspiracies.

(a) Except as otherwise authorized, and notwithstanding any contract entered into or any license or permit granted prior to the effective date, any transaction by a U.S. person or within the United States on or after the effective date that evades or avoids, has the purpose of evading or avoiding, or attempts to violate any of the prohibitions set forth in this part is prohibited.

(b) Except as otherwise authorized, and notwithstanding any contract entered into or any license or permit granted prior to the effective date, any conspiracy formed to violate the prohibitions set forth in this part is prohibited.

§ 544.206 Exempt transactions.

(a) Personal communications. The prohibitions contained in this part do not apply to any postal, telegraphic, telephonic, or other personal communication that does not involve the transfer of anything of value.

(b) Information or informational materials. (1) The importation from any country and the exportation to any country of any information or informational materials, as defined in §544.304, whether commercial or otherwise, regardless of format or medium of transmission, are exempt from the prohibitions of this part.

(2) This section does not exempt from regulation or authorize transactions related to information or informational materials not fully created and in existence at the date of the transactions, or to the substantive or artistic alteration or enhancement of informational materials, or to the provision of marketing and business consulting services. Such prohibited transactions include, but are not limited to, payment of advances for information or informational materials not yet created and completed (with the exception of prepaid subscriptions for widely circulated magazines and other periodical publications); provision of services to market, produce or co-produce, create, or assist in the creation of information or informational materials; and, with respect to information or informational materials imported from persons whose property and interests in property are blocked pursuant to §544.201(a), payment of royalties with respect to income received for enhancements or alterations made by U.S. persons to such information or informational materials.

(3) This section does not exempt or authorize transactions incident to the exportation of software subject to the Export Administration Regulations, 15 CFR parts 730–774, or to the exportation of goods, technology, or software for use in the transmission of any data, or to the provision, sale, or leasing of capacity on telecommunications transmission facilities (such as satellite or terrestrial network connectivity) for use in the transmission of any data. The exportation of
such items or services and the provision, sale, or leasing of such capacity or facilities to a person whose property and interests in property are blocked pursuant to §544.201(a) are prohibited.

(c) Travel. The prohibitions contained in this part do not apply to any transactions ordinarily incident to travel to or from any country, including importation of accompanied baggage for personal use, maintenance within any country including payment of living expenses and acquisition of goods or services for personal use, and arrangement or facilitation of such travel including nonscheduled air, sea, or land voyages.

Subpart C—General Definitions

§544.301 Blocked account; blocked property.

The terms blocked account and blocked property shall mean any account or property subject to the prohibitions in §544.201 held in the name of a person whose property and interests in property are blocked pursuant to §544.201(a), or in which such person has an interest, and with respect to which payments, transfers, exportations, withdrawals, or other dealings may not be made or effected except pursuant to an authorization or license from the Office of Foreign Assets Control expressly authorizing such action.

Note to §544.301: See §544.411 concerning the blocked status of property and interests in property of an entity that is 50 percent or more owned by a person whose property and interests in property are blocked pursuant to §544.201(a).

§544.302 Effective date.

The term effective date refers to the effective date of the applicable prohibitions and directives contained in this part as follows:

(a) With respect to a person whose property and interests in property are blocked pursuant to §544.201(a)(1), 12:01 a.m. eastern daylight time, June 29, 2005; and

(b) With respect to a person whose property and interests in property are blocked pursuant to §544.201(a)(2), (a)(3), or (a)(4), the earlier of the date of actual or constructive notice of such person’s designation.

§544.303 Entity.

The term entity means a partnership, association, trust, joint venture, corporation, group, subgroup, or other organization.

§544.304 Information or informational materials.

(a) For purposes of this part, the term information or informational materials includes, but is not limited to, publications, films, posters, phonograph records, photographs, microfilms, microfiche, tapes, compact disks, CD-ROMs, artworks, and news wire feeds.

Note to paragraph (a) of §544.304: To be considered information or informational materials, artworks must be classified under chapter heading 9701, 9702, or 9703 of the Harmonized Tariff Schedule of the United States.

(b) The term information or informational materials, with respect to United States exports, does not include items:

1. That were, as of April 30, 1994, or that thereafter become, controlled for export pursuant to section 5 of the Export Administration Act of 1979, 50 U.S.C. App. 2401–2420 (1979) (the “EAA”), or section 6 of the EAA to the extent that such controls promote the nonproliferation or antiterrorism policies of the United States; or

2. With respect to which acts are prohibited by 18 U.S.C. chapter 37.

§544.305 Interest.

Except as otherwise provided in this part, the term interest, when used with respect to property (e.g., “an interest in property”), means an interest of any nature whatsoever, direct or indirect.

§544.306 Licenses; general and specific.

(a) Except as otherwise specified, the term license means any license or authorization contained in or issued pursuant to this part.

(b) The term general license means any license or authorization the terms of which are set forth in subpart E of this part.

(c) The term specific license means any license or authorization not set forth in subpart E of this part but issued pursuant to this part.
§ 544.307 Person.

The term *person* means an individual or entity.

§ 544.308 Property; property interest.

The terms *property* and *property interest* include, but are not limited to, money, checks, drafts, bullion, bank deposits, savings accounts, debts, indebtedness, obligations, notes, guarantees, debentures, stocks, bonds, coupons, any other financial instruments, bankers acceptances, mortgages, pledges, liens or other rights in the nature of security, warehouse receipts, bills of lading, trust receipts, bills of sale, any other evidences of title, ownership or indebtedness, letters of credit and any documents relating to any rights or obligations thereunder, powers of attorney, goods, wares, merchandise, chattels, stocks on hand, ships, goods on ships, real estate mortgages, deeds of trust, vendors’ sales agreements, land contracts, leaseholds, ground rents, real estate and any other interest therein, options, negotiable instruments, trade acceptances, royalties, book accounts, accounts payable, judgments, patents, trademarks or copyrights, insurance policies, safe deposit boxes and their contents, annuities, pooling agreements, services of any nature whatsoever, contracts of any nature whatsoever, any other property, real, personal, or mixed, tangible or intangible, or interest or interests therein, present, future or contingent.

§ 544.309 Transfer.

The term *transfer* means any actual or purported act or transaction, whether or not evidenced by writing, and whether or not done or performed within the United States, the purpose, intent, or effect of which is to create, surrender, release, convey, transfer, or alter, directly or indirectly, any right, remedy, power, privilege, or interest with respect to any property and, without limitation upon the foregoing, shall include the making, execution, or delivery of any assignment, power, conveyance, check, declaration, deed, deed of trust, power of attorney, power of appointment, bill of sale, mortgage, receipt, agreement, contract, certificate, gift, sale, affidavit, or statement; the making of any payment; the setting off of any obligation or credit; the appointment of any agent, trustee, or fiduciary; the creation or transfer of any lien; the issuance, docketing, filing, or levy of or under any judgment, decree, attachment, injunction, execution, or other judicial or administrative process or order, or the service of any garnishment; the acquisition of any interest or ownership interest of any nature whatsoever by reason of a judgment or decree of any foreign country; the fulfillment of any condition; the exercise of any power of appointment, power of attorney, or other power; or the acquisition, disposition, transportation, importation, exportation, or withdrawal of any security.

§ 544.310 United States.

The term *United States* means the United States, its territories and possessions, and all areas under the jurisdiction or authority thereof.

§ 544.311 U.S. financial institution.

The term *U.S. financial institution* means any U.S. entity (including its foreign branches) that is engaged in the business of accepting deposits, making, granting, transferring, holding, or brokering loans or credits, or purchasing or selling foreign exchange, securities, commodity futures or options, or procuring purchasers and sellers thereof, as principal or agent; including but not limited to depository institutions, banks, savings banks, trust companies, securities brokers and dealers, commodity futures and options brokers and dealers, forward contract and foreign exchange merchants, securities and commodities exchanges, clearing corporations, investment companies, employee benefit plans, and U.S. holding companies, U.S. affiliates, or U.S. subsidiaries of any of the foregoing. This term includes those branches, offices and agencies of foreign financial institutions that are located in the United States, but not such institutions’ foreign branches, offices, or agencies.
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§ 544.312 United States person; U.S. person.  
The term United States person or U.S. person means any United States citizen, permanent resident alien, entity organized under the laws of the United States or any jurisdiction within the United States (including foreign branches), or any person in the United States.

Subpart D—Interpretations

§ 544.401 Reference to amended sections.  
Except as otherwise specified, reference to any provision in or appendix to this part or chapter or to any regulation, ruling, order, instruction, directive, or license issued pursuant to this part refers to the same as currently amended.

§ 544.402 Effect of amendment.  
Unless otherwise specifically provided, any amendment, modification, or revocation of any provision in or appendix to this part or chapter or of any order, regulation, ruling, instruction, or license issued pursuant to this part refers to the same as currently amended.

§ 544.403 Termination and acquisition of an interest in blocked property.  
(a) Whenever a transaction licensed or authorized by or pursuant to this part results in the transfer of property (including any property interest) away from a person, such property shall no longer be deemed to be property blocked pursuant to §544.201(a), unless there exists in the property another interest that is blocked pursuant to §544.201(a) or any other part of this chapter, the transfer of which has not been effected pursuant to license or other authorization.

(b) Unless otherwise specifically provided in a license or authorization issued pursuant to this part, if property (including any property interest) is transferred or attempted to be transferred to a person whose property and interests in property are blocked pursuant to §544.201(a), such property shall be deemed to be property in which that person has an interest and therefore blocked.

§ 544.404 Transactions ordinarily incident to a licensed transaction.  
Any transaction ordinarily incident to a licensed transaction and necessary to give effect thereto is also authorized, except:

(a) An ordinarily incident transaction, not explicitly authorized within the terms of the license, by or with a person whose property and interests in property are blocked pursuant to §544.201(a); or
(b) An ordinarily incident transaction, not explicitly authorized within the terms of the license, involving a debit to a blocked account or a transfer of blocked property.

(c) Example. A license authorizing Company A, whose property and interests in property are blocked pursuant to §544.201(a), to complete a securities sale also authorizes all activities by other parties required to complete the sale, including transactions by the buyer, broker, transfer agents, banks, etc., provided that such other parties are not themselves persons whose property and interests in property are blocked pursuant to §544.201(a).

§ 544.405 Provision of services.  
(a) Except as provided in §544.206, the prohibitions on transactions involving blocked property contained in §544.201 apply to services performed in the United States or by U.S. persons, wherever located, including by an overseas branch of an entity located in the United States:

(1) On behalf of or for the benefit of a person whose property and interests in property are blocked pursuant to §544.201(a); or

(2) With respect to property interests subject to §544.201.

(b) Example: U.S. persons may not, except as authorized by or pursuant to
this part, provide legal, accounting, financial, brokering, freight forwarding, transportation, public relations, or other services to a person whose property and interests in property are blocked pursuant to §544.201(a).

Note to §544.406: See §§544.507 and 544.508 on licensing policy with regard to the provision of certain legal and medical services.

§544.407 Offshore transactions.
The prohibitions in §544.201 on transactions or dealings involving blocked property apply to transactions by any U.S. person in a location outside the United States with respect to property held in the name of a person whose property and interests in property are blocked pursuant to §544.201(a), or property in which a person whose property and interests in property are blocked pursuant to §544.201(a) has had an interest since the effective date.

§544.408 Payments from blocked accounts to satisfy obligations prohibited.
Pursuant to §544.201, no debits may be made to a blocked account to pay obligations to U.S. persons or other persons, except as authorized by or pursuant to this part.

§544.409 Charitable contributions.
Unless specifically authorized by the Office of Foreign Assets Control pursuant to this part, no charitable contribution of funds, goods, services, or technology, including contributions to relieve human suffering, such as food, clothing, or medicine, may be made by, to, or for the benefit of a person whose property and interests in property are blocked pursuant to §544.201(a). For the purposes of this part, a contribution is made by, to, or for the benefit of a person whose property and interests in property are blocked pursuant to §544.201(a) if made by, to, or in the name of such a person; if made by or to, or in the name of an entity or individual acting for or on behalf of, or owned or controlled by, such a person; or if made in an attempt to violate, to evade, or to avoid the bar on the provision of contributions by, to, or for the benefit of such a person.

§544.409 Credit extended and cards issued by U.S. financial institutions.
The prohibition in §544.201 on dealing in property subject to that section prohibits U.S. financial institutions from performing under any existing credit agreements, including, but not limited to, charge cards, debit cards, or other credit facilities issued by a U.S. financial institution to a person whose property and interests in property are blocked pursuant to §544.201(a).

§544.410 Setoffs prohibited.
A setoff against blocked property (including a blocked account), whether by a U.S. bank or other U.S. person, is a prohibited transfer under §544.201 if effected after the effective date.

§544.411 Entities owned by a person whose property and interests in property are blocked.
A person whose property and interests in property are blocked pursuant to §544.201(a) has an interest in all property and interests in property of an entity in which it owns, directly or indirectly, a 50 percent or greater interest. The property and interests in property of such an entity, therefore, are blocked, and such an entity is a person whose property and interests in property are blocked pursuant to §544.201(a), regardless of whether the entity itself is listed in the Annex to Executive Order 13382 or designated pursuant to §544.201(a).

Subpart E—Licenses, Authorizations and Statements of Licensing Policy

§544.501 General and specific licensing procedures.
For provisions relating to licensing procedures, see part 501, subpart E of this chapter. Licensing actions taken pursuant to part 501 of this chapter with respect to the prohibitions contained in this part are considered actions taken pursuant to this part.

§544.502 Effect of license or authorization.
(a) No license or other authorization contained in this part, or otherwise issued by or under the direction of the
Director of the Office of Foreign Assets Control, authorizes or validates any transaction effected prior to the issuance of such license or other authorization, unless specifically provided in such license or authorization.

(b) No regulation, ruling, instruction, or license authorizes any transaction prohibited under this part unless the regulation, ruling, instruction or license is issued by the Office of Foreign Assets Control and specifically refers to this part. No regulation, ruling, instruction, or license referring to this part shall be deemed to authorize any transaction prohibited by any other provision of this chapter unless the regulation, ruling, instruction, or license specifically refers to such provision.

(c) Any regulation, ruling, instruction, or license authorizing any transaction otherwise prohibited under this part has the effect of removing a prohibition contained in this part from the transaction, but only to the extent specifically stated by its terms. Unless the regulation, ruling, instruction, or license otherwise specifies, such an authorization does not create any right, duty, obligation, claim, or interest in, or with respect to, any property that would not otherwise exist under ordinary principles of law.

§ 544.503 Exclusion from licenses.

The Director of the Office of Foreign Assets Control reserves the right to exclude any person, property, or transaction from the operation of any license or from the privileges conferred by any license. The Director of the Office of Foreign Assets Control also reserves the right to restrict the applicability of any license to particular persons, property, transactions, or classes thereof. Such actions are binding upon actual or constructive notice of the exclusions or restrictions.

§ 544.504 Payments and transfers to blocked accounts in U.S. financial institutions.

Any payment of funds or transfer of credit in which a person whose property and interests in property are blocked pursuant to §544.201(a) has any interest that comes within the possession or control of a U.S. financial institution must be blocked in an account on the books of that financial institution. A transfer of funds or credit by a U.S. financial institution between blocked accounts in its branches or offices is authorized, provided that no transfer is made from an account within the United States to an account held outside the United States, and further provided that a transfer from a blocked account may be made only to another blocked account held in the same name.

Note to §544.504: See §501.603 of this chapter for mandatory reporting requirements regarding financial transfers. See also §544.203 concerning the obligation to hold blocked funds in interest-bearing accounts.

§ 544.505 Entries in certain accounts for normal service charges authorized.

(a) A U.S. financial institution is authorized to debit any blocked account held at that financial institution in payment or reimbursement for normal service charges owed it by the owner of that blocked account.

(b) As used in this section, the term normal service charges shall include charges in payment or reimbursement for interest due; cable, telegraph, internet, or telephone charges; postage costs; custody fees; small adjustment charges to correct bookkeeping errors; and, but not by way of limitation, minimum balance charges, notary and protest fees, and charges for reference books, photocopies, credit reports, transcripts of statements, registered mail, insurance, stationery and supplies, and other similar items.

§ 544.506 Investment and reinvestment of certain funds.

Subject to the requirements of §544.203, U.S. financial institutions are authorized to invest and reinvest assets blocked pursuant to §544.201, subject to the following conditions:

(a) The assets representing such investments and reinvestments are credited to a blocked account or sub-account that is held in the same name at the same U.S. financial institution, or within the possession or control of a U.S. person, but funds shall not be transferred outside the United States for this purpose;
§ 544.507 Provision of certain legal services authorized.

(a) The provision of the following legal services to or on behalf of persons whose property and interests in property are blocked pursuant to §544.201(a) is authorized, provided that all receipts of payment of professional fees and reimbursement of incurred expenses must be specifically licensed:

(1) Provision of legal advice and counseling on the requirements of and compliance with the laws of the United States or any jurisdiction within the United States, provided that such advice and counseling are not provided to facilitate transactions in violation of this part;

(2) Representation of persons named as defendants in or otherwise made parties to domestic U.S. legal, arbitration, or administrative proceedings;

(3) Initiation and conduct of domestic U.S. legal, arbitration, or administrative proceedings in defense of property interests subject to U.S. jurisdiction;

(4) Representation of persons before any federal or state agency with respect to the imposition, administration, or enforcement of U.S. sanctions against such persons; and

(5) Provision of legal services in any other context in which prevailing U.S. law requires access to legal counsel at public expense.

(b) The provision of any other legal services to persons whose property and interests in property are blocked pursuant to §544.201(a), not otherwise authorized in this part, requires the issuance of a specific license.

(c) Entry into a settlement agreement or the enforcement of any lien, judgment, arbitral award, decree, or other order through execution, garnishment, or other judicial process purporting to transfer or otherwise alter or affect property or interests in property blocked pursuant to §544.201(a) is prohibited unless specifically licensed in accordance with §544.202(e).

§ 544.508 Authorization of emergency medical services.

The provision of nonscheduled emergency medical services in the United States to persons whose property and interests in property are blocked pursuant to §544.201(a) is authorized, provided that all receipt of payment for such services must be specifically licensed.

Subpart F—Reports

§ 544.601 Records and reports.

For provisions relating to required records and reports, see part 501, subpart C, of this chapter. Recordkeeping and reporting requirements imposed by part 501 of this chapter with respect to the prohibitions contained in this part are considered requirements arising pursuant to this part.

Subpart G—Penalties

§ 544.701 Penalties.

(a) Attention is directed to section 206 of the International Emergency Economic Powers Act (50 U.S.C. 1705) ("IEEPA"), which is applicable to violations of the provisions of any license, ruling, regulation, order, directive, or instruction issued by or pursuant to the direction or authorization of the Secretary of the Treasury pursuant to this part or otherwise under IEEPA.

(1) A civil penalty not to exceed the amount set forth in section 206 of IEEPA may be imposed on any person who violates, attempts to violate, conspires to violate, or causes a violation of any license, order, regulation, or prohibition issued under IEEPA.

NOTE TO PARAGRAPH (a)(1) OF §544.701: As of the date of publication in the Federal Register of the final rule adding this part to 31 CFR chapter V (April 13, 2009), IEEPA provides for a maximum civil penalty not to exceed the greater of $250,000 or an amount that is twice the amount of the transaction that is the basis of the violation with respect to which the penalty is imposed.
(2) A person who willfully commits, willfully attempts to commit, or willfully conspires to commit, or aids or abets in the commission of a violation of any license, order, regulation, or prohibition may, upon conviction, be fined not more than $1,000,000, or if a natural person, be imprisoned for not more than 20 years, or both.

(b) Adjustments to penalty amounts. (1) The civil penalties provided in IEEPA are subject to adjustment pursuant to the Federal Civil Penalties Inflation Adjustment Act of 1990 (Pub. L. 101–410, as amended, 28 U.S.C. 2461 note).

(2) The criminal penalties provided in IEEPA are subject to adjustment pursuant to 18 U.S.C. 3571.

(c) Attention is also directed to 18 U.S.C. 1001, which provides that whoever, in any matter within the jurisdiction of the executive, legislative, or judicial branch of the Government of the United States, knowingly and willfully falsifies, conceals, or covers up by any trick, scheme, or device a material fact; makes any materially false, fictitious, or fraudulent statement or representation; or makes or uses any false writing or document knowing the same to contain any materially false, fictitious, or fraudulent statement or entry; shall be fined under title 18, United States Code, imprisoned not more than five years, or both.

(d) Violations of this part may also be subject to relevant provisions of other applicable laws.

§ 544.702 Pre-Penalty Notice; settlement.

(a) When required. If the Office of Foreign Assets Control has reason to believe that there has occurred a violation of any provision of this part or a violation of the provisions of any license, ruling, regulation, order, direction, or instruction issued by or pursuant to the direction or authorization of the Secretary of the Treasury pursuant to this part or otherwise under IEEPA and determines that a civil monetary penalty is warranted, the Office of Foreign Assets Control will issue a Pre-Penalty Notice informing the alleged violator of the agency’s intent to impose a monetary penalty. A Pre-Penalty Notice may be issued whether or not another agency has taken any action with respect to the matter. For a description of the contents of a Pre-Penalty Notice, see Appendix A to part 501 of this chapter.

(b)(1) Right to respond. An alleged violator has the right to respond to a Pre-Penalty Notice by making a written presentation to the Office of Foreign Assets Control. For a description of the information that should be included in such a response, see Appendix A to part 501 of this chapter.

(2) Deadline for response. A response to a Pre-Penalty Notice must be made within the applicable 30-day period set forth in this paragraph. The failure to submit a response within the applicable time period set forth in this paragraph shall be deemed to be a waiver of the right to respond.

(i) Computation of time for response. A response to a Pre-Penalty Notice must be postmarked or date-stamped by the U.S. Postal Service (or foreign postal service, if mailed abroad) or courier service provider (if transmitted to the Office of Foreign Assets Control by courier) on or before the 30th day after the postmark date on the envelope in which the Pre-Penalty Notice was mailed. If the Pre-Penalty Notice was personally delivered by a non-U.S. Postal Service agent authorized by the Office of Foreign Assets Control, a response must be postmarked or date-stamped on or before the 30th day after the date of delivery.

(ii) Extensions of time for response. If a due date falls on a federal holiday or weekend, that due date is extended to include the following business day. Any other extensions of time will be granted, at the discretion of the Office of Foreign Assets Control, only upon specific request to the Office of Foreign Assets Control.

(3) Form and method of response. A response to a Pre-Penalty Notice need not be in any particular form, but it must be typewritten and signed by the alleged violator or a representative thereof, must contain information sufficiently to indicate that it is in response to the Pre-Penalty Notice, and must include the Office of Foreign Assets Control identification number listed on the Pre-Penalty Notice. A copy of the

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written response may be sent by facsimile, but the original also must be sent to the Office of Foreign Assets Control Civil Penalties Division by mail or courier and must be postmarked or date-stamped in accordance with paragraph (b)(2) of this section.

(c) Settlement. Settlement discussion may be initiated by the Office of Foreign Assets Control, the alleged violator, or the alleged violator’s authorized representative. For a description of practices with respect to settlement, see appendix A to part 501 of this chapter.

(d) Guidelines. Guidelines for the imposition or settlement of civil penalties by the Office of Foreign Assets Control are contained in appendix A to part 501 of this chapter.

(e) Representation. A representative of the alleged violator may act on behalf of the alleged violator, but any oral communication with the Office of Foreign Assets Control prior to a written submission regarding the specific allegations contained in the Pre-Penalty Notice must be preceded by a written letter of representation, unless the Pre-Penalty Notice was served upon the alleged violator in care of the representative.

§ 544.703 Penalty imposition.

If, after considering any written response to the Pre-Penalty Notice and any relevant facts, the Office of Foreign Assets Control determines that there was a violation by the alleged violator named in the Pre-Penalty Notice and that a civil monetary penalty is appropriate, the Office of Foreign Assets Control may issue a Penalty Notice to the violator containing a determination of the violation and the imposition of the monetary penalty. For additional details concerning issuance of a Penalty Notice, see Appendix A to part 501 of this chapter. The issuance of the Penalty Notice shall constitute final agency action. The violator has the right to seek judicial review of that final agency action in federal district court.

§ 544.704 Administrative collection; referral to United States Department of Justice.

In the event that the violator does not pay the penalty imposed pursuant to this part or make payment arrangements acceptable to the Director of the Office of Foreign Assets Control, the matter may be referred for administrative collection measures by the Department of the Treasury or to the United States Department of Justice for appropriate action to recover the penalty in a civil suit in a federal district court.

Subpart H—Procedures

§ 544.801 Procedures.

For license application procedures and procedures relating to amendments, modifications, or revocations of licenses; administrative decisions; rulemaking; and requests for documents pursuant to the Freedom of Information and Privacy Acts (5 U.S.C. 552 and 552a), see part 501, subpart E, of this chapter.

§ 544.802 Delegation by the Secretary of the Treasury.

Any action that the Secretary of the Treasury is authorized to take pursuant to Executive Order 13382 of June 28, 2005 (70 FR 38567, July 1, 2005), and any further Executive Orders relating to the national emergency declared in Executive Order 12938 of November 14, 1994, as expanded by Executive Order 13094 of July 28, 1998, and with respect to which additional steps were taken in Executive Order 13382 of June 28, 2005, may be taken by the Director of the Office of Foreign Assets Control or by any other person to whom the Secretary of the Treasury has delegated authority so to act.

Subpart I—Paperwork Reduction Act

§ 544.901 Paperwork Reduction Act notice.

For approval by the Office of Management and Budget (“OMB”) under the Paperwork Reduction Act of 1995
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(44 U.S.C. 3507) of information collections relating to recordkeeping and reporting requirements, licensing procedures (including those pursuant to statements of licensing policy), and other procedures, see §501.901 of this chapter. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid control number assigned by OMB.

PART 545—TALIBAN (AFGHANISTAN) SANCTIONS REGULATIONS

Subpart A—Relation of This Part to Other Laws and Regulations

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(a) Except as otherwise authorized by regulations, orders, directives, rulings, instructions, licenses, or otherwise, and notwithstanding any contract entered into or any license or permit granted prior to the effective date, property or property interests of the following persons that are in the United States, that hereafter come within the United States, or that are or hereafter come within the possession or control of U.S. persons are blocked, and may not be transferred, paid, exported, withdrawn, or otherwise dealt in:

(1) The Taliban; and

(2) Persons determined by the Secretary of the Treasury, in consultation with the Secretary of State and the Attorney General:

(i) To be owned or controlled by, or to act for or on behalf of, the Taliban; or

(ii) To provide financial, material, or technological support for, or services in support of, any of the foregoing.

Subpart A—Relation of This Part to Other Laws and Regulations

§ 545.101 Relation of this part to other laws and regulations.

This part is separate from, and independent of, the other parts of this chapter, with the exception of part 501 of this chapter, the recordkeeping and reporting requirements and license application and other procedures of which apply to this part. Actions taken pursuant to part 501 of this chapter with respect to the prohibitions contained in this part are considered actions taken pursuant to this part. Differing foreign policy and national security circumstances may result in differing interpretations of similar language among the parts of this chapter. No license or authorization contained in or issued pursuant to those other parts authorizes any transaction prohibited by this part. No license or authorization contained in or issued pursuant to any other provision of law or regulation authorizes any transaction prohibited by this part. No license contained in or issued pursuant to this part relieves the involved parties from complying with any other applicable laws or regulations.

§ 545.201 Prohibited transactions involving blocked property.

(a) Except as otherwise authorized by regulations, orders, directives, rulings, instructions, licenses, or otherwise, and notwithstanding any contract entered into or any license or permit granted prior to the effective date, property or property interests of the following persons that are in the United States, that hereafter come within the United States, or that are or hereafter come within the possession or control of U.S. persons are blocked, and may not be transferred, paid, exported, withdrawn, or otherwise dealt in:

(1) The Taliban; and

(2) Persons determined by the Secretary of the Treasury, in consultation with the Secretary of State and the Attorney General:

(i) To be owned or controlled by, or to act for or on behalf of, the Taliban; or

(ii) To provide financial, material, or technological support for, or services in support of, any of the foregoing.

Note to paragraph (a) of §545.201. Please refer to the appendices at the end of this chapter V for listings of persons designated...
pursuant to this section. Section 501.807 of this chapter sets forth the procedures to be followed by persons seeking administrative reconsideration of their designation or who wish to assert that the circumstances resulting in designation no longer apply. Similarly, when a transaction results in the blocking of funds at a financial institution pursuant to this section and a party to the transaction believes the funds to have been blocked due to mistaken identity, that party may seek to have such funds unblocked pursuant to the administrative procedures set forth in §501.806 of this chapter.

(b) Except as otherwise authorized, and notwithstanding any contract entered into or any license or permit granted prior to the effective date, any transaction or dealing by U.S. persons or within the United States in property or interests in property blocked pursuant to paragraph (a) of this section is prohibited, including the making or receiving of any contribution of funds, goods, or services to or for the benefit of the Taliban or persons designated pursuant to §545.201(a).

(c) Unless otherwise authorized by this part or by a specific license expressly referring to this section, any dealing in any security (or evidence thereof) held within the possession or control of a U.S. person and either registered or inscribed in the name of or known to be held for the benefit of any person whose property or interests in property are blocked pursuant to this section is prohibited. This prohibition includes but is not limited to the transfer (including the transfer on the books of any issuer or agent thereof), disposition, transportation, importation, exportation, or withdrawal of any such security or the endorsement or guaranty of signatures on any such security. This prohibition applies irrespective of the fact that at any time (whether prior to, on, or subsequent to January 11, 2001) the registered or inscribed owner of any such security may have or might appear to have assigned, transferred, or otherwise disposed of the security.

§ 545.202 Effect of transfers violating the provisions of this part.

(a) Any transfer after the effective date that is in violation of any provision of this part or of any regulation, order, directive, ruling, instruction, or license issued pursuant to this part, and that involves any property or interest in property blocked pursuant to §545.201(a), is null and void and shall not be the basis for the assertion or recognition of any interest in or right, remedy, power, or privilege with respect to such property or property interests.

(b) No transfer before the effective date shall be the basis for the assertion or recognition of any right, remedy, power, or privilege with respect to, or any interest in, any property or interest in property blocked pursuant to §545.201(a), unless the person with whom such property is held or maintained, prior to that date, had written notice of the transfer or by any written evidence had recognized such transfer.

(c) Unless otherwise provided, an appropriate license or other authorization issued by or pursuant to the direction or authorization of the Director of the Office of Foreign Assets Control before, during, or after a transfer shall validate such transfer or make it enforceable to the same extent that it would be valid or enforceable but for the provisions of the International Emergency Economic Powers Act, this part, and any regulation, order, directive, ruling, instruction, or license issued pursuant to this part.

(d) Transfers of property that otherwise would be null and void or unenforceable by virtue of the provisions of this section shall not be deemed to be null and void or unenforceable as to any person with whom such property was held or maintained (and as to such person only) in cases in which such person is able to establish to the satisfaction of the Director of the Office of Foreign Assets Control each of the following:

(1) Such transfer did not represent a willful violation of the provisions of this part by the person with whom such property was held or maintained;

(2) The person with whom such property was held or maintained did not have reasonable cause to know or suspect, in view of all the facts and circumstances known or available to such person, that such transfer required a license or authorization issued pursuant to this part and was not so licensed or
authorized, or, if a license or authorization did purport to cover the transfer, that such license or authorization had been obtained by misrepresentation of a third party or withholding of material facts or was otherwise fraudulently obtained; and

(3) The person with whom such property was held or maintained filed with the Office of Foreign Assets Control a report setting forth in full the circumstances relating to such transfer promptly upon discovery that:

(i) Such transfer was in violation of the provisions of this part or any regulation, ruling, instruction, license, or other direction or authorization issued pursuant to this part;

(ii) Such transfer was not licensed or authorized by the Director of the Office of Foreign Assets Control; or

(iii) If a license did purport to cover the transfer, such license had been obtained by misrepresentation of a third party or withholding of material facts or was otherwise fraudulently obtained.

NOTE TO PARAGRAPH (d) OF §545.202: The filing of a report in accordance with the provisions of paragraph (d)(3) of this section shall not be deemed evidence that the terms of paragraphs (d)(1) and (d)(2) of this section have been satisfied.

(e) Unless licensed pursuant to this part, any attachment, judgment, decree, lien, execution, garnishment, or other judicial process is null and void with respect to any property in which on or since the effective date of §545.201 there existed an interest of a person whose property or interests in property are blocked pursuant to §545.201(a).

§545.203 Holding of funds in interest-bearing accounts; investment and reinvestment.

(a) Except as provided in paragraph (c) or (d) of this section, or as otherwise directed by the Office of Foreign Assets Control, any U.S. person holding funds, such as currency, bank deposits, or liquidated financial obligations, subject to §545.201(a) shall hold or place such funds in a blocked interest-bearing account located in the United States.

(b)(1) For purposes of this section, the term blocked interest-bearing account means a blocked account:

(i) In a federally-insured U.S. bank, thrift institution, or credit union, provided the funds are earning interest at rates that are commercially reasonable; or

(ii) With a broker or dealer registered with the Securities and Exchange Commission under the Securities Exchange Act of 1934, provided the funds are invested in a money market fund or in U.S. Treasury bills.

(2) For purposes of this section, a rate is commercially reasonable if it is the rate currently offered to other depositors on deposits or instruments of comparable size and maturity.

(3) Funds held or placed in a blocked account pursuant to this paragraph (b) may not be invested in instruments the maturity of which exceeds 180 days. If interest is credited to a separate blocked account or subaccount, the name of the account party on each account must be the same.

(c) Blocked funds held in instruments the maturity of which exceeds 180 days at the time the funds become subject to §545.201(a) may continue to be held until maturity in the original instrument, provided any interest, earnings, or other proceeds derived therefrom are paid into a blocked interest-bearing account in accordance with paragraph (b) or (d) of this section.

(d) Blocked funds held in accounts or instruments outside the United States at the time the funds become subject to §545.201(a) may continue to be held in the same type of accounts or instruments, provided the funds earn interest at rates that are commercially reasonable.

(e) This section does not create an affirmative obligation for the holder of blocked tangible property, such as chattels or real estate, or of other blocked property, such as debt or equity securities, to sell or liquidate such property at the time the property becomes subject to §545.201(a). However, the Office of Foreign Assets Control may issue licenses permitting or directing such sales in appropriate cases.

(f) Funds subject to this section may not be held, invested, or reinvested in a manner that provides immediate financial or economic benefit or access to persons whose property or interests in property are blocked pursuant to
Office of Foreign Assets Control, Treasury § 545.208

§ 545.201(a), nor may their holder co-operate in or facilitate the pledging or other attempted use as collateral of blocked funds or other assets.

§ 545.204 Prohibited exportation, re-exportation, sale, or supply of goods, software, technology, or services.
Except as otherwise authorized, and notwithstanding any contract entered into or any license or permit granted prior to the effective date, the exportation, reexportation, sale, or supply, directly or indirectly, from the United States, or by a U.S. person, wherever located, of any goods, software, technology (including technical data), or services to the territory of Afghanistan controlled by the Taliban or to the Taliban or to persons whose property or interests in property are blocked pursuant to § 545.201 is prohibited.

§ 545.205 Prohibited importation of goods, software, technology, or services.
Except as otherwise authorized, and notwithstanding any contract entered into or any license or permit granted prior to the effective date, the importation into the United States of any goods, software, technology, or services owned or controlled by the Taliban or persons whose property or interests in property are blocked pursuant to § 545.201 or from the territory of Afghanistan controlled by the Taliban is prohibited.

§ 545.206 Evasions; attempts; conspiracies.
(a) Except as otherwise authorized, and notwithstanding any contract entered into or any license or permit granted prior to the effective date, any transaction by any U.S. person or within the United States on or after the effective date that evades or avoids, has the purpose of evading or avoiding, or attempts to violate any of the prohibitions set forth in this part is prohibited.

(b) Except as otherwise authorized, and notwithstanding any contract entered into or any license or permit granted prior to the effective date, any conspiracy formed for the purpose of engaging in a transaction prohibited by this part is prohibited.

§ 545.207 Expenses of maintaining blocked property; liquidation of blocked account.
(a) Except as otherwise authorized, and notwithstanding the existence of any rights or obligations conferred or imposed by any international agreement or contract entered into or any license or permit granted before 12:01 a.m., Eastern Daylight Time, July 6, 1999, all expenses incident to the maintenance of physical property blocked pursuant to § 545.201 shall be the responsibility of the owners or operators of such property, which expenses shall not be met from blocked funds.

(b) Property blocked pursuant to § 545.201 may, in the discretion of the Director, Office of Foreign Assets Control, be sold or liquidated and the net proceeds placed in a blocked interest-bearing account in the name of the owner of the property.

§ 545.208 Exempt transactions.
(a) Personal communications. The prohibitions contained in this part do not apply to any postal, telegraphic, telephonic, or other personal communication, which does not involve the transfer of anything of value.

(b) Information or informational materials. (1) The importation from any country and the exportation to any country of information or informational materials as defined in § 545.305, whether commercial or otherwise, regardless of format or medium of transmission, are exempt from the prohibitions of this part.

(2) This section does not exempt from regulation or authorize transactions related to information and informational materials not fully created and in existence at the date of the transaction, or to the substantive or artistic alteration or enhancement of informational materials, or to the provision of marketing and business consulting services. Such prohibited transactions include, but are not limited to, payment of advances for information and informational materials not yet created and completed (with the exception of prepaid subscriptions for widely-circulated magazines and other periodical publications); provision of services to market, produce or co-produce, create, or assist in the creation of information...
or informational materials; and, with respect to information or informational materials imported from persons whose property and interests in property are blocked pursuant to §545.201 or from the territory of Afghanistan controlled by the Taliban, payment of royalties with respect to income received for enhancements or alterations made by U.S. persons to such information or informational materials.

(3) This section does not exempt or authorize transactions incident to the exportation of software subject to the Export Administration Regulations, 15 CFR parts 730–774, or to the exportation of goods, technology or software, or to the provision, sale, or leasing of capacity on telecommunications transmission facilities (such as satellite or terrestrial network connectivity) for use in the transmission of any data. The exportation of such items or services and the provision, sale, or leasing of such capacity or facilities to a person whose property or interests in property are blocked pursuant to §545.201 are prohibited.

(c) Travel. The prohibitions contained in this part do not apply to transactions ordinarily incident to travel to or from any country, including exportation or importation of accompanied baggage for personal use, maintenance within any country including payment of living expenses and acquisition of goods or services for personal use, and arrangement or facilitation of such travel including nonscheduled air, sea, or land voyages.

(d) Official business. The prohibitions contained in this part do not apply to transactions for the conduct of the official business of the United States Government or the United Nations by employees thereof.

(e) Journalistic activity. The prohibitions contained in this part do not apply to transactions in the territory of Afghanistan controlled by the Taliban for journalistic activity by persons regularly employed in such capacity by a news-gathering organization.

(f) Humanitarian donations. The prohibitions contained in this part do not apply to donations by U.S. persons of articles, such as food, clothing, and medicine, intended to be used to relieve human suffering.

Subpart C—General Definitions

§545.301 Blocked account; blocked property.

The terms blocked account and blocked property, shall mean any account or property subject to the prohibitions in §545.201 held in the name of the Taliban or persons whose property or interests in property are blocked pursuant to §545.201, or in which the Taliban or persons whose property or interests in property are blocked pursuant to §545.201 have an interest, and with respect to which payments, transfers, exportations, withdrawals, or other dealings may not be made or effected except pursuant to an authorization or license from the Office of Foreign Assets Control expressly authorizing such action.

§545.302 Effective date.

The term effective date refers to the effective date of the applicable prohibitions and directives contained in this part which is 12:01 a.m., Eastern Daylight Time, on July 6, 1999.

§545.303 Entity.

The term entity means a partnership, association, corporation, or other organization, group, or subgroup.

§545.304 Importation into the United States.

(a) With respect to goods, software, or technology, the term importation into the United States means the bringing of any goods, software, or technology into the United States. However, with respect to goods, software or technology being transported by vessel, importation into the United States means the bringing of any goods or technology into the United States with the intent to unlade. See also §545.404.

(b) With respect to services, the term importation into the United States means the receipt in the United States of services or receipt in the United States of the benefit of services wherever such services may be performed. The benefit of services is received in the United States if the services are:
(1) Performed on behalf of or for the benefit of a person located in the United States;
(2) Received by a person located in the United States;
(3) Received by a person located outside the United States on behalf of or for the benefit of an entity organized in the United States; or
(4) Received by an individual temporarily located outside the United States for the purpose of obtaining such services for use in the United States.

§ 545.305 Information or informational materials.

(a) For purposes of this part, the term information or informational materials includes, but is not limited to publications, films, posters, phonograph records, photographs, microfilms, microfiche, tapes, compact disks, CD ROMs, artworks, and news wire feeds.

Note to § 545.305(a). To be considered information or informational materials, artworks must be classified under chapter heading 9701, 9702, or 9703 of the Harmonized Tariff Schedule of the United States.

(b) The term information and informational materials with respect to United States exports does not include items:
(1) That were, as of April 30, 1994, or that thereafter become, controlled for export pursuant to section 5 of the Export Administration Act of 1979, 50 U.S.C. App. 2401–2420 (1979) (the “EAA”), or section 6 of the EAA to the extent that such controls promote the nonproliferation or antiterrorism policies of the United States; or
(2) With respect to which acts are prohibited by 18 U.S.C. chapter 37.

§ 545.306 Interest.

Except as otherwise provided in this part, the term interest when used with respect to property (e.g., “an interest in property”) means an interest of any nature whatsoever, direct or indirect.

§ 545.307 Licenses; general and specific.

(a) Except as otherwise specified, the term license means any license or authorization contained in or issued pursuant to this part.

(b) The term general license means any license or authorization the terms of which are set forth in subpart E of this part.

(c) The term specific license means any license or authorization not set forth in subpart E of this part but issued pursuant to this part.

Note to § 545.307: See § 501.801 of this chapter on licensing procedures.

§ 545.308 Person.

The term person means an individual or entity.

§ 545.309 Property; property interest.

The terms property and property interest include, but are not limited to, money, checks, drafts, bullion, bank deposits, savings accounts, debts, indebtedness, obligations, notes, guarantees, debentures, stocks, bonds, coupons, any other financial instruments, bankers’ acceptances, mortgages, pledges, liens or other rights in the nature of security, warehouse receipts, bills of lading, trust receipts, bills of sale, any other evidences of title, ownership or indebtedness, letters of credit and any documents relating to any rights or obligations thereunder, powers of attorney, goods, wares, merchandise, chattels, stocks on hand, ships, goods on ships, real estate mortgages, deeds of trust, vendors’ sales agreements, land contracts, leaseholds, ground rents, real estate and any other interest therein, options, negotiable instruments, trade acceptances, royalties, book accounts, accounts payable, judgments, patents, trademarks or copyrights, insurance policies, safe deposit boxes and their contents, annuities, pooling agreements, services of any nature whatsoever, contracts of any nature whatsoever, and any other property, real, personal, or mixed, tangible or intangible, or interest or interests therein, present, future or contingent.

§ 545.310 The Taliban.

(a) For purposes of this part, the term the Taliban includes:
(1) The political/military entity headquartered in Kandahar, Afghanistan that as of July 4, 1999, exercised de facto control over the territory of Afghanistan, described in § 545.310(a); and
(2) Its agencies and instrumentalities;
(3) The Taliban leaders listed in the Annex to Executive Order 13129 (see appendix A of this chapter) and such additional leaders as may be designated by the Secretary of State in consultation with the Secretary of the Treasury and the Attorney General in accordance with section 4(c) of Executive Order 13129; and

(4) Persons designated pursuant to §545.201(a)(2).

NOTE TO §545.310. The Taliban is also known as the “Taleban,” “Islamic Movement of Taliban,” “the Taliban Islamic Movement,” “Talibano Islami Tahrik,” and “Tahrike Islami’a Taliban.”

§ 545.311 Territory of Afghanistan controlled by the Taliban.

The term territory of Afghanistan controlled by the Taliban means the territory referred to as the “Islamic Emirate of Afghanistan,” known in Pashtun as “de Afghanistan Islami Emarat” or in Dari as “Emarat Islami-e Afghan-istan,” including:

(a) As of July 4, 1999, the following provinces of the country of Afghanistan: Kandahar, Farah, Helmund, Nimruz, Herat, Badghis, Ghowr, Oruzghon, Zabol, Paktiha, Ghazni, Nangarhar, Lowgar, Vardan, Faryab, Jowlan, Balkh, and Paktika; and

(b) Thereafter, the description of the term territory of Afghanistan controlled by the Taliban may be modified by the Secretary of State in consultation with the Secretary of the Treasury and the Attorney General.

NOTE TO §545.311. The Secretary of State, in consultation with the Secretary of the Treasury and the Attorney General, has added the City of Kabul to the territory of Afghanistan controlled by the Taliban. (See Public Notice 3151 of October 21, 1999, 64 FR 58879, November 1, 1999).

§ 545.312 Transfer.

The term transfer means any actual or purported act or transaction, whether or not evidenced by writing, and whether or not done or performed within the United States, the purpose, intent, or effect of which is to create, surrender, release, convey, transfer, or alter, directly or indirectly, any right, remedy, power, privilege, or interest with respect to any property and, without limitation upon the foregoing, shall include the making, execution, or delivery of any assignment, power, conveyance, check, declaration, deed, deed of trust, power of attorney, power of appointment, bill of sale, mortgage, receipt, agreement, contract, certificate, gift, sale, affidavit, or statement; the making of any payment; the setting off of any obligation or credit; the appointment of any agent, trustee, or fiduciary; the creation or transfer of any lien; the issuance, docketing, filing, or levy of or under any judgment, decree, attachment, injunction, execution, or other judicial or administrative process or order, or the service of any garnishment; the acquisition of any interest of any nature whatsoever by reason of a judgment or decree of any foreign country; the fulfillment of any condition; the exercise of any power of appointment, power of attorney, or other power; or the acquisition, disposition, transportation, importation, exportation, or withdrawal of any security.

§ 545.313 United States.

The term United States means the United States, its territories and possessions, and all areas under the jurisdiction or authority thereof.

§ 545.314 U.S. financial institution.

The term U.S. financial institution means any U.S. entity (including its foreign branches) that is engaged in the business of accepting deposits, making, granting, transferring, holding, or brokering loans or credits, or purchasing or selling foreign exchange, securities, commodity futures or options, or procuring purchasers and sellers thereof, as principal or agent; including but not limited to, depository institutions, banks, savings banks, trust companies, securities brokers and dealers, commodity futures and options brokers and dealers, forward contract and foreign exchange merchants, securities and commodities exchanges, clearing corporations, investment companies, employee benefit plans, and U.S. holding companies, U.S. affiliates, or U.S. subsidiaries of any of the foregoing. This terms includes those branches, offices and agencies of foreign financial institutions that are located in the United States, but not
§ 545.315 United States person; U.S. person.
The term United States person or U.S. person means any United States citizen, permanent resident alien, entity organized under the laws of the United States (including foreign branches), or any person in the United States.

Subpart D—Interpretations
§ 545.401 Reference to amended sections.
Except as otherwise specified, reference to any provision in or appendix to this part or chapter or to any regulation, ruling, order, instruction, direction, or license issued pursuant to this part refers to the same as currently amended.

§ 545.402 Effect of amendment.
Unless otherwise specifically provided, any amendment, modification, or revocation of any provision in or appendix to this part or chapter or of any order, regulation, ruling, instruction, or license issued by or under the direction of the Director of the Office of Foreign Assets Control does not affect any act done or omitted, or any civil or criminal suit or proceeding commenced or pending prior to such amendment, modification, or revocation. All penalties, forfeitures, and liabilities under any such order, regulation, ruling, instruction, or license continue and may be enforced as if such amendment, modification, or revocation had not been made.

§ 545.403 Transactions incidental to a licensed transaction authorized.
Any transaction ordinarily incident to a licensed transaction and necessary to give effect thereto is also authorized, except:

(a) A transaction involving a person whose property or interests in property are blocked pursuant to § 545.201, or involving a debit to a blocked account or a transfer of blocked property, not explicitly authorized within the terms of the license; and
(b) Distribution or leasing in the territory of Afghanistan controlled by the Taliban of any containers or similar goods owned or controlled by U.S. persons after the performance of transportation services to the territory of Afghanistan controlled by the Taliban.

§ 545.404 Transshipment or transit through the United States prohibited.
Except as otherwise specified:
(a) The prohibitions in §§ 545.201 and 545.204 apply to the importation into the United States, for transshipment or transit, of foreign goods which are intended or destined for the Taliban or the territory of Afghanistan controlled by the Taliban.
(b) The prohibitions in §§ 545.201 and 545.205 apply to the importation into the United States, for transshipment or transit to third countries, of goods owned or controlled by the Taliban or from the territory of Afghanistan controlled by the Taliban which are intended or destined for third countries.
(c) Goods, software, or technology in which the Taliban have an interest that are imported into or transshipped through the United States are blocked pursuant to § 545.201.

Note to § 545.404: See § 545.304 for the definition of the term importation into the United States.

§ 545.405 [Reserved]

§ 545.406 Exportation of services; performance of service contracts; legal services.

(a) The prohibition on transactions involving blocked property and the exportation of services contained in §§ 545.201 and 545.204 applies to services performed on behalf of the Taliban or persons whose property or interests in property are blocked pursuant to § 545.201 or where the benefit of such services is otherwise received in the territory of Afghanistan controlled by the Taliban, when such services are performed:
(1) In the United States;
(2) Outside the United States by a U.S. person, including by an overseas branch of an entity located in the United States.
(b) The benefit of services performed anywhere in the world on behalf of the
Taliban, including persons whose property or interests in property are blocked pursuant to §545.201, is presumed to have been received in the territory of Afghanistan controlled by the Taliban.

NOTE TO §545.406. See §545.513 with regard to provision of certain legal services and §545.516 with regard to the provision of certain financial services.

§ 545.407 Services performed in the territory of Afghanistan controlled by the Taliban.

The prohibitions on transactions involving blocked property and certain transactions or dealings in that property and the importation into the United States of services contained in §§545.201 and 545.205, respectively, apply to services performed in the territory of Afghanistan controlled by the Taliban or by the Taliban, wherever located, when the benefit of such services is received in the United States or by a U.S. person outside the United States. See §545.304 for the definition of the term importation into the United States and a description of circumstances in which the benefit of services is considered to be received in the United States.

§ 545.408 Offshore transactions.

(a) The prohibitions contained in §545.201 apply:

(1) To transactions by any U.S. person in a location outside the United States with respect to property in which the U.S. person knows, or has reason to know, that the Taliban or persons whose property or interests in property are blocked pursuant to §545.201 have or have had an interest since the effective date; and

(2) With respect to goods, software, technology, or services which the U.S. person knows, or has reason to know, are from the territory of Afghanistan controlled by the Taliban.

(b) Prohibited transactions include, but are not limited to:

(1) Importation into or exportation from locations outside the United States of goods, software, technology or services owned or controlled by the Taliban or persons whose property or interests in property are blocked pursuant to §545.201; or

(2) Purchasing, selling, financing, swapping, insuring, transporting, lifting, storing, incorporating, transforming, brokering or otherwise dealing in such blocked goods, software, technology, or services.

(c) Example. A U.S. person may not, within the United States or abroad, purchase, sell, finance, insure, transport, act as a broker for the sale or transport of, or otherwise deal in goods (such as carpets, fruits, or nuts), owned or controlled by the Taliban or by persons whose property or interests in property are blocked pursuant to §545.201 or which comes from the territory of Afghanistan controlled by the Taliban.

§ 545.409 Payments from blocked accounts to U.S. exporters and for other obligations prohibited.

No debits may be made to a blocked account to pay obligations to U.S. persons or other persons, including payment for goods, software, technology, or services exported prior to the effective date, except as authorized pursuant to this part.

§ 545.410 Acquisition of instruments including bankers acceptances.

No U.S. persons may acquire or deal in any obligation, including bankers acceptances and debt of or guaranteed by a person whose property or interests in property are blocked pursuant to §545.201, in cases in which the documents evidencing the obligation indicate, or the U.S. person has actual knowledge, that the underlying transaction is in violation of §§545.201 and 545.204 through 545.206. This interpretation does not apply to obligations arising from an underlying transaction licensed or otherwise authorized pursuant to this part.

§ 545.411 Exportation to third countries; transshipments.

Except as otherwise specified, exportation of goods, software, or technology from the United States to third countries is prohibited if the exporter knows, or has reason to know, that the goods, software, or technology are intended for reexportation or transshipment to the Taliban, to persons whose property or interests in property
are blocked pursuant to §545.201, or to the territory of Afghanistan controlled by the Taliban, including passage through, or storage in, intermediate destinations.

§ 545.412 Release of goods originating in the territory of Afghanistan controlled by the Taliban from a bonded warehouse or foreign trade zone.

Section 545.205 does not prohibit the release from a bonded warehouse or foreign trade zone of goods originating in the territory of Afghanistan controlled by the Taliban imported into a bonded warehouse or foreign trade zone either prior to the effective date or in a transaction authorized pursuant to this part after the effective date.

NOTE TO §545.412: Property in which the Taliban or persons whose property or interests in property are blocked pursuant to §545.201 have an interest may not be released unless authorized or licensed by the Office of Foreign Assets Control.

§ 545.413 Importation of goods from third countries; transshipments.

(a) Importation into the United States from third countries of goods containing raw materials or components originating in the territory of Afghanistan controlled by the Taliban is not prohibited if those raw materials or components have been incorporated into manufactured products or otherwise substantially transformed in a third country.

(b) Importation into the United States of goods originating in the territory of Afghanistan controlled by the Taliban that have been transhipped through a third country without being incorporated into manufactured products or otherwise substantially transformed in a third country is prohibited.

§ 545.414 Loans or extensions of credit.

(a) The prohibitions in §§545.201 and 545.204 apply to loans or extensions of credit to a person in the territory of Afghanistan controlled by the Taliban, including overdraft protection on checking accounts, and the unauthorized renewal or rescheduling of credits or loans in existence as of 12:01 a.m., Eastern Daylight Time, July 6, 1999, whether by affirmative action or operation of law.

(b) The prohibitions in §§545.201 and 545.204 apply to financial services including loans or credits extended in any currency.

§ 545.415 Payments from blocked accounts to U.S. exporters and for other obligations prohibited.

Pursuant to §545.201, no debits may be made to a blocked account to pay obligations to U.S. persons or other persons, including payment for goods, technology or services exported prior to the effective date, except as authorized pursuant to this part.

§ 545.416 Termination and acquisition of an interest in blocked property.

(a) Whenever a transaction licensed or authorized by or pursuant to this part results in the transfer of property (including any property interest) away from a person whose property or interests in property are blocked pursuant to §545.201, such property shall no longer be deemed to be property blocked pursuant to §545.201, unless there exists in the property another interest that is blocked pursuant to §545.201 or any other part of this chapter, the transfer of which has not been effected pursuant to license or other authorization.

(b) Unless otherwise specifically provided in a license or authorization issued pursuant to this part, if property (including any property interest) is transferred or attempted to be transferred to a person whose property or interests in property are blocked pursuant to §545.201, such property shall be deemed to be property in which that person has an interest and therefore blocked.

§ 545.417 Setoffs prohibited.

A setoff against blocked property (including a blocked account), whether by a U.S. bank or other U.S. person, is a prohibited transfer under §545.201 if effected after the effective date.

Subpart E—Licenses, Authorizations and Statements of Licensing Policy

§ 545.500 Licensing procedures.

For provisions relating to licensing procedures, see part 501, subpart E, of
§ 545.501 Effect of license or authorization.
(a) No license or other authorization contained in this part, or otherwise issued by or under the direction of the Director of the Office of Foreign Assets Control, authorizes or validates any transaction effected prior to the issuance of the license, unless specifically provided in such licenses or authorization.
(b) No regulation, ruling, instruction, or license authorizes any transaction prohibited under this part unless the regulation, ruling, instruction or license is issued by the Office of Foreign Assets Control and specifically refers to this part. No regulation, ruling, instruction, or license referring to this part shall be deemed to authorize any transaction prohibited by any provision of this chapter unless the regulation, ruling, instruction, or license specifically refers to such provision.
(c) Any regulation, ruling, instruction, or license authorizing any transaction otherwise prohibited under this part has the effect of removing a prohibition contained in this part from the transaction, but only to the extent specifically stated by its terms. Unless the regulation, ruling, instruction, or license otherwise specifies, such an authorization does not create any right, duty, obligation, claim, or interest in, or with respect to, any property which would not otherwise exist under ordinary principles of law.

§ 545.502 Exclusion from licenses.
The Director of the Office of Foreign Assets Control reserves the right to exclude any person, property, or transaction from the operation of any license or from the privileges conferred by any license. The Director of the Office of Foreign Assets Control also reserves the right to restrict the applicability of any license to particular persons, property, transactions, or classes thereof. Such actions are binding upon all persons receiving actual or constructive notice of the exclusions or restrictions.

§ 545.503 Payments and transfers to blocked accounts in U.S. financial institutions.
Any payment of funds or transfer of credit in which the Taliban or a person whose property or interests in property are blocked pursuant to §545.201 has any interest, that comes within the possession or control of a U.S. financial institution, must be blocked in an account on the books of that financial institution. A transfer of funds or credit by a U.S. financial institution between blocked accounts in its branches or offices is authorized, provided that no transfer is made from an account within the United States to an account held outside the United States, and further provided that a transfer from a blocked account may only be made to another blocked account held in the same name.

Note to §545.503. Please refer to §501.603 of this chapter for mandatory reporting requirements regarding financial transfers. See also §545.203 concerning the obligation to hold blocked funds in interest bearing accounts.

§ 545.504 Entries in certain accounts for normal service charges authorized.
(a) A U.S. financial institution is authorized to debit any blocked account held at that financial institution in payment or reimbursement for normal service charges owed it by the owner of that blocked account.
(b) As used in this section, the term normal service charge shall include charges in payment or reimbursement for interest due; cable, telegraph, internet, or telephone charges; postage costs; custody fees; small adjustment charges to correct bookkeeping errors; and, but not by way of limitation, minimum balance charges, notary and protest fees, and charges for reference books, photocopies, credit reports, transcripts of statements, registered mail, insurance, stationery and supplies, and other similar items.
§ 545.505 Importation of goods, software, or technology exported from the territory of Afghanistan controlled by the Taliban prior to July 6, 1999.

(a) Except for the persons and property described in paragraph (c) below, importation of goods, software, or technology from the territory of Afghanistan controlled by the Taliban is authorized provided that:

(1) The applicant submits proof satisfactory to the U.S. Customs Service that the goods, software, or technology were exported from the territory of Afghanistan controlled by the Taliban before the effective date; and

(2) The importation is not otherwise prohibited by U.S. law.

NOTE TO § 545.505(a). The general license in § 545.505(a) does not extend to services.

(b) The type of evidence that would constitute proof satisfactory to the U.S. Customs Service of the location of goods, software, or technology outside the territory of Afghanistan controlled by the Taliban before the effective date may vary depending on the facts of a particular case. However, independent corroborating documentary evidence issued and certified by a disinterested party normally will be required. This might include contracts, insurance documents, shipping documents, warehouse receipts, and appropriate customs documents, accompanied by a certification of an insurance agent, warehouse agent, or other appropriate person, identifying with particularity the goods sought to be imported and attesting that the goods concerned were located outside the territory of Afghanistan controlled by the Taliban at a time prior to the effective date. In general, affidavits, statements and other documents prepared by the applicant or other interested parties will not, by themselves, constitute satisfactory proof.

(c) The authorization in paragraph (a) above, shall not apply to any goods, software, or technology in which the Taliban or persons whose property or interests in property are blocked pursuant to §545.201 have any interest.

§ 545.506 Importation of certain gifts authorized.

The importation into the United States of goods from the territory of Afghanistan controlled by the Taliban or from a person whose property or interests in property are blocked pursuant to §545.201 is authorized for goods sent as gifts to persons provided that:

(a) The value of a gift is not more than $100 per recipient;

(b) The goods are of a type and in quantities normally given as gifts between individuals; and

(c) The goods are not controlled for chemical and biological weapons (CB), missile technology (MT), national security (NS), or nuclear proliferation (NP) (see Commerce Control List, 15 CFR part 774, supplement No. 1, of the Export Administration Regulations).

§ 545.507 Accompanied baggage authorized.

(a) Persons entering the United States directly or indirectly from the territory of Afghanistan controlled by the Taliban are authorized to import into the United States accompanied baggage normally incident to travel.

(b) Persons leaving the United States for the territory of Afghanistan controlled by the Taliban are authorized to export from the United States accompanied baggage normally incident to travel.

(c) For purposes of this section, the term "accompanied baggage normally incident to travel" includes only baggage that accompanies the traveler on the same aircraft, train, or vehicle, and includes only articles that are necessary for personal use incident to travel, that are not intended for any other person or for sale, and that are not otherwise prohibited from importation or exportation under applicable United States laws.

§ 545.508 Transactions related to telecommunications authorized.

All transactions ordinarily incident to the receipt or transmission of telecommunications involving the territory of Afghanistan controlled by the Taliban are authorized. This section does not authorize the provision, sale, or lease to the Taliban, or to persons whose property or interests in property
§ 545.509

are blocked pursuant to §545.201, or to the territory of Afghanistan controlled by the Taliban, of telecommunications equipment or technology; nor does it authorize the provision, sale, or leasing of capacity on telecommunications transmission facilities (such as satellite or terrestrial network connectivity).

§ 545.509 Transactions related to mail authorized.

All transactions by U.S. persons, including payment and transfers to common carriers, incident to the receipt or transmission of mail between the United States and the territory of Afghanistan controlled by the Taliban are authorized, provided that mail is limited to personal communications not involving a transfer of anything of value.

§ 545.510 Importation of household and personal effects authorized.

The importation of household and personal effects originating in the territory of Afghanistan controlled by the Taliban, including baggage and articles for family use, of persons arriving in the United States, directly or indirectly from the territory of Afghanistan controlled by the Taliban, is authorized; to qualify, articles included in such effects must actually have been used abroad by such persons or by other family members arriving from the same foreign household, must not be intended for any other person or for sale, and must not be otherwise prohibited from importation.

§ 545.511 Registration of nongovernmental organizations for humanitarian or religious activities.

(a) Registration numbers may be issued on a case-by-case basis for the registration of nongovernmental organizations involved in humanitarian or religious activities in the territory of Afghanistan controlled by the Taliban, authorizing transactions by such organizations otherwise prohibited by this part, including the exportation of goods, software, technology or services to the territory of Afghanistan controlled by the Taliban and the transfer of funds to and from the territory of Afghanistan controlled by the Taliban for the purpose of relieving human suffering. Applicants for registration numbers must comply with the requirements of §501.801(c).

(b) This section does not authorize transfers from blocked accounts.

NOTE TO §545.511: Registration does not excuse a U.S. person from compliance with other applicable U.S. laws governing the exportation or reexportation of U.S.-origin goods, software, or technology (including technical data). See, e.g., the Export Administration Regulations administered by the U.S. Department of Commerce (15 CFR parts 730–774).

§ 545.512 Payment of obligations to U.S. persons authorized.

(a) The transfer of funds after the effective date by, through, or to any U.S. financial institution or other U.S. person solely for the purpose of payment of obligations owed to U.S. persons, including a payment of such obligations of persons whose property or interests in property are blocked pursuant to §545.201, is authorized, provided that (1) the obligation arose prior to the effective date or is otherwise authorized or not prohibited pursuant to statute or the provisions of this part; (2) the payment requires no debit to a blocked account; and (3) the U.S. person is not blocked pursuant to this chapter V.

(b) A person receiving payment under this section may distribute all or part of that payment to any person, provided that any such payment to a person whose property or interests in property are blocked pursuant to §545.201 must be to a blocked account in a U.S. financial institution.

NOTE TO §545.512: Please refer to §501.603 of this chapter for mandatory reporting requirements regarding financial transfers. See also §545.203 concerning the obligation to hold blocked funds in interest-bearing accounts.

§ 545.513 Provision of certain legal services authorized.

(a) The provision of the legal services set forth in paragraph (b) of this section to or on behalf of persons whose property or interests in property are blocked pursuant to §545.201, and the exportation of such legal services to persons located in the territory of Afghanistan controlled by the Taliban or in circumstances in which the benefit...
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§ 545.514 Payments for services rendered by the Taliban to aircraft.

(a) Specific licenses may be issued on a case-by-case basis for authorization of payments to the Taliban, to persons whose property or interests in property are blocked pursuant to §545.201, or to persons within the territory of Afghanistan controlled by the Taliban of charges for services rendered in connection with the overflight of the territory of Afghanistan controlled by the Taliban or emergency landing in the territory of Afghanistan controlled by the Taliban by aircraft. Any such payments shall be made consistent with United Nations Security Council Resolution 1267.

(b) Specific licenses may be issued on a case-by-case basis for the exportation, reexportation, sale, or supply, directly or indirectly, of goods, software, technology, and services to ensure the safety of civil aviation and safe operation of U.S.-origin commercial passenger aircraft.

§ 545.515 Certain transactions related to patents, trademarks, and copyrights authorized.

(a) All of the following transactions in connection with patent, trademark, copyright or other intellectual property protection in the United States or Afghanistan are authorized:

(1) The filing and prosecution of any application to obtain a patent, trademark, copyright or other form of intellectual property protection, including importation of or dealing in services or payment for services from the Taliban, persons whose property or interests in property are blocked pursuant to §545.201, or from persons within the territory of Afghanistan controlled by the Taliban, not otherwise authorized in this part, requires the issuance of a specific license.

(d) Entry into a settlement agreement affecting property or interests in property or the enforcement of any lien, judgment, arbitral award, decree, or other order through execution, garnishment, or other judicial process purporting to transfer or otherwise alter or affect property or interests in property blocked pursuant to §545.201 is prohibited unless specifically licensed in accordance with §545.202(e).
§ 545.516 Certain payments to or from the territory of Afghanistan controlled by the Taliban.

(a) United States financial institutions, as defined in §545.314, are authorized to process transfers of funds to or from the territory of Afghanistan controlled by the Taliban if the transfer is covered in full by any of the following conditions and does not involve debiting a blocked account on the books of a U.S. financial institution:

(1) The transfer arises from an underlying transaction that has been authorized by a specific license, general license, or nongovernmental organization’s registration number issued pursuant to this part; or

(2) The transfer arises from an underlying transaction that is not prohibited by or that is exempted from the prohibitions of this part, such as an exportation of information or informational materials to the territory of Afghanistan controlled by the Taliban, a travel-related remittance, or payment for the shipment of a donation of articles to relieve human suffering.

(b) With respect to transactions meeting the conditions of paragraph (a) of this section, before a United States depository institution initiates a payment on behalf of any U.S. non-bank customer, or credits a transfer to the account on its books of the ultimate beneficiary, the United States depository institution must determine that the underlying transaction is not prohibited by this part. To meet this requirement, a United States depository institution must either obtain a copy of the applicable specific license or nongovernmental organization’s registration number or obtain a certification from the customer or beneficiary confirming that the transaction is authorized by a general license or not prohibited by this part. Such a certification will not meet the requirements of this section if the United States depository institution knows or has reason to know that any part of the certification is false.

§ 545.517 Authorization of emergency medical services.

The provision of nonscheduled emergency medical services in the United States to persons whose property or interests in property are blocked pursuant to §545.201 is authorized, provided that all receipt of payment for such services must be specifically licensed.

§ 545.518 Investment and reinvestment of certain funds.

Subject to the requirements of §545.203, U.S. financial institutions are authorized to invest and reinvest assets blocked pursuant to §545.201, subject to the following conditions:

(a) The assets representing such investments and reinvestments are credited to a blocked account or subaccount which is held in the same name at the same U.S. financial institution, or within the possession or control of a U.S. person, but funds shall not be transferred outside the United States for this purpose;

(b) The proceeds of such investments and reinvestments shall not be credited to a blocked account or subaccount under any name or designation that differs from the name or designation of the specific blocked account or subaccount in which such funds or securities were held; and

(c) No immediate financial or economic benefit accrues (e.g., through pledging or other use) to persons whose property or interests in property are blocked pursuant to §545.201.

§ 545.519 Payments and transfers authorized for goods and services exported to the territory of Afghanistan controlled by the Taliban prior to the effective date.

(a) Specific licenses may be issued on a case-by-case basis to permit payment involving an irrevocable letter of credit issued or confirmed by a U.S. bank, or a letter of credit reimbursement confirmed by a U.S. bank, from a blocked account or otherwise, of amounts owed to or for the benefit of a person with respect to goods, software, technology, or services exported prior to the effective date, directly or indirectly to the territory of Afghanistan controlled by the Taliban, or to third countries for an entity operated from
§ 545.525 Noncommercial personal remittances to or from the territory of Afghanistan controlled by the Taliban.

United States financial institutions, as defined in §545.314, are authorized to process transfers of funds to or from the territory of Afghanistan controlled by the Taliban in cases in which the transfer involves a noncommercial, personal remittance, provided the beneficiary is not a person whose property or interests in property are blocked pursuant to §545.201, or any other part of this chapter, and the transfer is not by, to, or through a person whose property or interests in property are blocked pursuant to §545.201 or any other part of this chapter V.

§ 545.521 Transactions related to U.S. citizens residing in the territory of Afghanistan controlled by the Taliban.

U.S. citizens who reside on a permanent basis in the territory of Afghanistan controlled by the Taliban are authorized to engage in transactions within the territory of Afghanistan controlled by the Taliban ordinarily incident to their routine and necessary maintenance and other personal living expenses.

Note to §545.521. This provision does not authorize U.S. financial institutions, as defined in §545.314, to transfer funds to persons whose property or interests in property are blocked pursuant to §545.201.

§ 545.522 Operation of accounts.

The operation of an account in a U.S. financial institution, as defined in §545.314, for a natural person in the territory of Afghanistan controlled by the Taliban, other than a person whose property or interests in property are blocked pursuant to §545.201, is hereby authorized; however, such operation may not include the execution of transactions in support of transactions or activities prohibited by subpart B of this part.

§ 545.523 Extensions or renewals of letters of credit authorized.

(a) The extension or renewal, at the request of the account party, of a letter of credit or a standby letter of credit issued or confirmed by a U.S. financial institution is authorized, provided the transfer of funds is not made to a blocked account.

(b) Transactions conducted pursuant to this section must be reported to the Compliance Programs Division of the Office of Foreign Assets Control, U.S. Treasury Department, 1500 Pennsylvania Ave., NW., Annex, Washington, D.C. 20220, within 10 days after completion of the transaction.

§ 545.524 Extensions or renewals of loans.

Specific licenses may be issued on a case-by-case basis for rescheduling loans or otherwise extending the maturities of existing loans, and for charging fees or interest at commercially reasonable rates in connection therewith, provided that no new funds or credits are thereby transferred or extended to the Taliban, persons whose property or interests in property are blocked pursuant to §545.201, or persons in the territory of Afghanistan controlled by the Taliban.

§ 545.525 Certain services relating to participation in various events and activities authorized.

(a) The importation into the United States or other dealing in services originating in the territory of Afghanistan controlled by the Taliban is authorized where such services are performed in the United States by a person from the territory of Afghanistan controlled by the Taliban who enters the United
§ 545.526  Certain importations for diplomatic or official personnel authorized.

All transactions ordinarily incident to the importation into the United States of any goods, software, technology or services from the territory of Afghanistan controlled by the Taliban that are not for sale and are destined for official or personal use by personnel employed by the diplomatic missions of the Taliban to the United States and to international organizations located in the United States are authorized, unless the importation is otherwise prohibited by law.

§ 545.527  Diplomatic pouches.

All transactions in connection with the importation into the United States from the territory of Afghanistan controlled by the Taliban, or the exportation from the United States to the territory of Afghanistan controlled by the Taliban, of diplomatic pouches and their contents are authorized.

Subpart F—Reports

§ 545.601  Records and reports.

For provisions relating to required records and reports, see part 501, subpart C, of this chapter. Recordkeeping and reporting requirements imposed by part 501 of this chapter with respect to the prohibitions contained in this part are considered requirements arising pursuant to this part.

Subpart G—Penalties

§ 545.701  Penalties.

(a) Attention is directed to section 206 of the International Emergency Economic Powers Act (the "Act") (50 U.S.C. 1705), which is applicable to violations of the provisions of any license, ruling, regulation, order, direction, or instruction issued by or pursuant to the direction or authorization of the Secretary of the Treasury pursuant to this part or otherwise under the Act.

(1) A civil penalty not to exceed the amount set forth in Section 206 of the Act may be imposed on any person who violates, attempts to violate, conspires to violate, or causes a violation of any license, order, regulation, or prohibition issued under the Act.

NOTE TO PARAGRAPH (a)(1) OF § 545.701: As of June 10, 2008, the Act provides for a maximum civil penalty not to exceed the greater of $250,000 or an amount that is twice the amount of the transaction that is the basis of the violation with respect to which the penalty is imposed.

(2) A person who willfully commits, willfully attempts to commit, or willfully conspires to commit, or aids or abets in the commission of a violation of any license, order, regulation, or prohibition shall, upon conviction, be fined not more than $1,000,000, or if a natural person, may be imprisoned for not more than 20 years, or both.

(2) The criminal penalties provided in the Act are subject to adjustment pursuant to 18 U.S.C. 3571.

(c) Attention is also directed to 18 U.S.C. 1001(a), which provides that whoever, in any matter within the jurisdiction of the executive, legislative, or judicial branch of the Government of the United States, knowingly and willfully falsifies, conceals, or covers up by any trick, scheme, or device, a material fact, or makes any materially false, fictitious, or fraudulent statement or representation, or makes or uses any materially false writing or document knowing the same to contain any false, fictitious, or fraudulent statement or entry shall be fined under title 18, United States Code, or imprisoned not more than five years, or both.

(d) Violations of this part may also be subject to relevant provisions of other applicable laws.

§ 545.702 Prepenalty notice. (a) When required. If the Director of the Office of Foreign Assets Control has reasonable cause to believe that there has occurred a violation of any provision of this part or a violation of the provisions of any license, ruling, regulation, order, direction, or instruction issued by or pursuant to the direction or authorization of the Secretary of the Treasury pursuant to this part or otherwise under the International Emergency Economic Powers Act, and the Director determines that further proceedings are warranted, the Director shall notify the alleged violator of the agency’s intent to impose a monetary penalty by issuing a prepenalty notice. The prepenalty notice may be in writing. The prepenalty notice may be issued whether or not another agency has taken any action with respect to the matter.

(b) Contents of notice—(1) Facts of violation. The prepenalty notice shall describe the violation, specify the laws and regulations allegedly violated, and state the amount of the proposed monetary penalty.

(2) Right to respond. The prepenalty notice shall inform the respondent of its right to make a written presentation within the applicable 30 day period set forth in section 545.703 as to why a monetary penalty should not be imposed or why, if imposed, the monetary penalty should be in a lesser amount than proposed.

(c) Informal settlement prior to issuance of prepenalty notice. At any time prior to the issuance of a prepenalty notice, an alleged violator may request in writing that, for a period not to exceed sixty (60) days, the agency withhold issuance of the prepenalty notice for the exclusive purpose of effecting settlement of the agency’s potential civil monetary penalty claims. In the event the Director grants the request, under terms and conditions within his discretion, the Office of Foreign Assets Control will agree to withhold issuance of the prepenalty notice for a period not to exceed 60 days and will enter into settlement negotiations of the potential civil monetary penalty claim.

§ 545.703 Response to prepenalty notice; informal settlement. (a) Deadline for response. The respondent may submit a response to the prepenalty notice within the applicable 30 day period set forth in this paragraph. The Director may grant, at his discretion, an extension of time in which to submit a response to the prepenalty notice. The failure to submit a response within the applicable time period set forth in this paragraph shall be deemed to be a waiver of the right to respond.

(1) Computation of time for response. A response to the prepenalty notice must be postmarked or date-stamped by the U.S. Postal Service (or foreign postal service, if mailed abroad) or courier service provider (if transmitted to OFAC by courier) on or before the 30th day after the postmark date on the envelope in which the prepenalty notice was mailed. If the respondent refused delivery or otherwise avoided receipt of the prepenalty notice, a response must be postmarked or date-stamped on or before the 30th day after the date on the stamped postal receipt maintained.
at the Office of Foreign Assets Control. If the prepenalty notice was personally delivered to the respondent by a non-U.S. Postal Service agent authorized by the Director, a response must be postmarked or date-stamped on or before the 30th day after the date of delivery.

(2) Extensions of time for response. If the due date falls on a federal holiday or weekend, that due date is extended to include the following business day. Any other extensions of time will be granted, at the Director’s discretion, only upon the respondent’s specific request to the Office of Foreign Assets Control.

(b) Form and method of response. The response must be submitted in writing and may be handwritten or typed. The response need not be in any particular form. A copy of the written response may be sent by facsimile, but the original also must be sent to the Office of Foreign Assets Control Civil Penalties Division by mail or courier and must be postmarked or date-stamped, in accordance with paragraph (a) of this section.

(c) Contents of response. A written response must contain information sufficient to indicate that it is in response to the prepenalty notice.

(1) A written response must include the respondent’s full name, address, telephone number, and facsimile number, if available, or those of the representative of the respondent.

(2) A written response should either admit or deny each specific violation alleged in the prepenalty notice and also state if the respondent has no knowledge of a particular violation. If the written response fails to address any specific violation alleged in the prepenalty notice, that alleged violation shall be deemed to be admitted.

(3) A written response should include any information in defense, evidence in support of an asserted defense, or other factors that the respondent requests the Office of Foreign Assets Control to consider. Any defense or explanation previously made to the Office of Foreign Assets Control or any other agency must be repeated in the written response. Any defense not raised in the written response will be considered waived. The written response also should set forth the reasons why the respondent believes the penalty should not be imposed or why, if imposed, it should be in a lesser amount than proposed.

(d) Default. If the respondent elects not to submit a written response within the time limit set forth in paragraph (a) of this section, the Office of Foreign Assets Control will conclude that the respondent has decided not to respond to the prepenalty notice. The agency generally will then issue a written penalty notice imposing the penalty proposed in the prepenalty notice.

(e) Informal settlement. In addition to or as an alternative to a written response to a prepenalty notice, the respondent or respondent’s representative may contact the Office of Foreign Assets Control as advised in the prepenalty notice to propose the settlement of allegations contained in the prepenalty notice and related matters. However, the requirements set forth in paragraph (f) of this section as to oral communication by the representative must first be fulfilled. In the event of settlement at the prepenalty stage, the claim proposed in the prepenalty notice will be withdrawn, the respondent will not be required to take a written position on allegations contained in the prepenalty notice, and the Office of Foreign Assets Control will make no final determination as to whether a violation occurred. The amount accepted in settlement of allegations in a prepenalty notice may vary from the civil penalty that might finally be imposed in the event of a formal determination of violation. In the event no settlement is reached, the time limit specified in paragraph (a) of this section for written response to the prepenalty notice remains in effect unless additional time is granted by the Office of Foreign Assets Control.

(f) Representation. A representative of the respondent may act on behalf of the respondent, but any oral communication with the Office of Foreign Assets Control prior to a written submission regarding the specific allegations contained in the prepenalty notice must be preceded by a written letter of representation, unless the prepenalty notice was served upon the respondent in care of the representative.
§ 545.704 Penalty imposition or withdrawal.

(a) No violation. If, after considering any response to the prepenalty notice and any relevant facts, the Director of the Office of Foreign Assets Control determines that there was no violation by the respondent named in the prepenalty notice, the Director shall notify the respondent in writing of that determination and of the cancellation of the proposed monetary penalty.

(b) Violation. (1) If, after considering any written response to the prepenalty notice, or default in the submission of a written response, and any relevant facts, the Director of the Office of Foreign Assets Control determines that there was a violation by the respondent named in the prepenalty notice, the Director is authorized to issue a written penalty notice to the respondent of the determination of violation and the imposition of the monetary penalty.

(2) The penalty notice shall inform the respondent that payment or arrangement for installment payment of the assessed penalty must be made within 30 days of the date of mailing of the penalty notice by the Office of Foreign Assets Control.

(3) The penalty notice shall inform the respondent of the requirement to furnish the respondent’s taxpayer identification number pursuant to 31 U.S.C. 7701 and that such number will be used for purposes of collecting and reporting on any delinquent penalty amount.

(4) The issuance of the penalty notice finding a violation and imposing a monetary penalty shall constitute final agency action. The respondent has the right to seek judicial review of that final agency action in federal district court.

§ 545.705 Administrative collection; referral to United States Department of Justice.

In the event that the respondent does not pay the penalty imposed pursuant to this part or make payment arrangements acceptable to the Director of the Office of Foreign Assets Control within 30 days of the date of mailing of the penalty notice, the matter may be referred for administrative collection measures by the Department of the Treasury or to the United States Department of Justice for appropriate action to recover the penalty in a civil suit in a federal district court.

Subpart H—Procedures

§ 545.801 Procedures.

For license application procedures and procedures relating to amendments, modifications, or revocations of licenses; administrative decisions; rulemaking; and requests for documents pursuant to the Freedom of Information and Privacy Acts (5 U.S.C. 552 and 552a), see part 501, subpart E, of this chapter.


§ 545.802 Delegation by the Secretary of the Treasury.

Any action that the Secretary of the Treasury is authorized to take pursuant to Executive Order 13129 of July 4, 1999 (64 FR 36759, July 7, 1999) and any further Executive orders relating to the national emergency declared in Executive Order 13129 may be taken by the Director of the Office of Foreign Assets Control or by any other person to whom the Secretary of the Treasury has delegated authority so to act.

Subpart I—Paperwork Reduction Act

§ 545.901 Paperwork Reduction Act notice.

For approval by the Office of Management and Budget ("OMB") under the Paperwork Reduction Act of 1995 (44 U.S.C. 3507) of information collections relating to recordkeeping and reporting requirements, licensing procedures (including those pursuant to statements of licensing policy), and other procedures, see §501.901 of this chapter. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid control number assigned by OMB.
PART 546—DARFUR SANCTIONS REGULATIONS

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by this part. No license or authorization contained in or issued pursuant to any other provision of law or regulation authorizes any transaction prohibited by this part. No license or authorization contained in or issued pursuant to this part relieves the involved parties from complying with any other applicable laws or regulations.

Subpart B—Prohibitions

§ 546.201 Prohibited transactions involving blocked property.

(a) Except as authorized by regulations, orders, directives, rulings, instructions, licenses, or otherwise, and notwithstanding any contracts entered into or any license or permit granted prior to the effective date, all property and interests in property that are in the United States, that hereafter come within the United States, or that are or hereafter come within the possession or control of U.S. persons, including their overseas branches, of the following persons are blocked and may not be transferred, paid, exported, withdrawn, or otherwise dealt in:

(1) Any person listed in the Annex to Executive Order 13400 of April 26, 2006; and

(2) Any person determined by the Secretary of the Treasury, after consultation with the Secretary of State:

(i) To have constituted a threat to the peace process in Darfur;

(ii) To have constituted a threat to stability in Darfur and the region;

(iii) To be responsible for conduct related to the conflict in Darfur that violates international law;

(iv) To be responsible for heinous conduct with respect to human life or limb related to the conflict in Darfur;

(v) To have directly or indirectly supplied, sold, or transferred arms or any related materiel, or any assistance, advice, or training related to military activities to:

(A) The Government of Sudan;

(B) The Sudan Liberation Movement/Army;

(C) The Justice and Equality Movement;

(D) The Janjaweed; or

(E) Any person (other than a person listed in paragraph (a)(2)(v)(A) through (a)(2)(v)(D) of this section) operating in the states of North Darfur, South Darfur, or West Darfur that is a belligerent, a nongovernmental entity, or an individual;

(vi) To be responsible for offensive military overflights in and over the Darfur region;

(vii) To have materially assisted, sponsored, or provided financial, material, or technological support for, or goods or services in support of, the activities described in paragraphs (a)(2)(i) through (a)(2)(vi) of this section or any person whose property and interests in property are blocked pursuant to this paragraph (a); or

(viii) To be owned or controlled by, or acting or purporting to act for or on behalf of, directly or indirectly, any person whose property and interests in property are blocked pursuant to this paragraph (a).

NOTE 1 TO PARAGRAPH (a) of § 546.201: The names of persons listed in or designated pursuant to Executive Order 13400, whose property and interests in property are blocked pursuant to paragraph (a) of this section, are published on the Office of Foreign Assets Control’s Specially Designated Nationals and Blocked Persons List (“SDN List”) (which is accessible via the Office of Foreign Assets Control’s Web site), published in the FEDERAL REGISTER, and incorporated into Appendix A to this chapter with the identifier “[DARFUR].” See §546.411 concerning entities that may not be listed on the SDN list but whose property and interests in property are nevertheless blocked pursuant to paragraph (a) of this section.

NOTE 2 TO PARAGRAPH (a) of § 546.201: Section 203 of the International Emergency Economic Powers Act (50 U.S.C. 1701–1706 (“IEEPA”)) explicitly authorizes the blocking of property and interests in property of a person during the pendency of an investigation. The names of persons whose property and interests in property are blocked pending investigation pursuant to this part also are published on the SDN List, published in the FEDERAL REGISTER, and incorporated into Appendix A to this chapter with the identifier “[BPI–DARFUR].”

NOTE 3 TO PARAGRAPH (a) of § 546.201: Sections 501.806 and 501.807 of this chapter V describe the procedures to be followed by persons seeking, respectively, the unblocking of funds that they believe were blocked due to mistaken identity, or administrative reconsideration of their status as persons whose property and interests in property are blocked pursuant to paragraph (a) of this section.
§ 546.202 Effect of transfers violating the provisions of this part.

(a) Any transfer after the effective date that is in violation of any provision of this part or of any regulation, order, directive, ruling, instruction, or license issued pursuant to this part, and that involves any property or interest in property blocked pursuant to §546.201(a), is null and void and shall not be the basis for the assertion or recognition of any interest in or right, remedy, power, or privilege with respect to such property or property interests.

(b) No transfer before the effective date shall be the basis for the assertion or recognition of any right, remedy, power, or privilege with respect to, or any interest in, any property or interest in property blocked pursuant to §546.201(a), unless the person who holds or maintains such property, prior to that date, had written notice of the transfer or by any written evidence had recognized such transfer.

(c) Unless otherwise provided, an appropriate license or other authorization issued by or pursuant to the direction or authorization of the Director of the Office of Foreign Assets Control before, during, or after a transfer shall validate such transfer or make it enforceable to the same extent that it would be valid or enforceable but for the provisions of IEEPA, Executive Order 13400, this part, and any regulation, order, directive, ruling, instruction, or license issued pursuant to this part.

(d) Transfers of property that otherwise would be null and void or unenforceable by virtue of the provisions of this section shall not be deemed to be null and void or unenforceable as to any person with whom such property is or was held or maintained (and as to such person only) in cases in which such person is able to establish to the satisfaction of the Director of the Office of Foreign Assets Control each of the following:

(1) Such transfer did not represent a willful violation of the provisions of this part by the person with whom such property is or was held or maintained (and as to such person only);

(2) The person with whom such property is or was held or maintained did not have reasonable cause to know or suspect, in view of all the facts and circumstances known or available to such person, that such transfer required a license or authorization issued pursuant to this part and was not so licensed or authorized, or, if a license or authorization did purport to cover the transfer, that such license or authorization had been obtained by misrepresentation of a third party or withholding of material facts or was otherwise fraudulently obtained; and
(3) The person with whom such property is or was held or maintained filed with the Office of Foreign Assets Control a report setting forth in full the circumstances relating to such transfer promptly upon discovery that:

(i) Such transfer was in violation of the provisions of this part or any regulation, ruling, instruction, license, or other directive or authorization issued pursuant to this part;

(ii) Such transfer was not licensed or authorized by the Director of the Office of Foreign Assets Control; or

(iii) If a license did purport to cover the transfer, such license had been obtained by misrepresentation of a third party or withholding of material facts or was otherwise fraudulently obtained.

NOTE TO PARAGRAPH (d) OF § 546.202: The filing of a report in accordance with the provisions of paragraph (d)(3) of this section shall not be deemed evidence that the terms of paragraphs (d)(1) and (d)(2) of this section have been satisfied.

§ 546.203 Holding of funds in interest-bearing accounts; investment and reinvestment.

(a) Except as provided in paragraph (c) or (d) of this section, or as otherwise directed by the Office of Foreign Assets Control, any U.S. person holding funds, such as currency, bank deposits, or liquidated financial obligations, subject to § 546.201(a) shall hold or place such funds in a blocked interest-bearing account located in the United States.

(b) (1) For purposes of this section, the term blocked interest-bearing account means a blocked account:

(i) In a federally-insured U.S. bank, thrift institution, or credit union, provided the funds are earning interest at rates that are commercially reasonable; or

(ii) With a broker or dealer registered with the Securities and Exchange Commission under the Securities Exchange Act of 1934 (15 U.S.C. 78a et seq.), provided the funds are invested in a money market fund or in U.S. Treasury bills.

(2) For purposes of this section, a rate is commercially reasonable if it is the rate currently offered to other depositors on deposits or instruments of comparable size and maturity.

(3) Funds held or placed in a blocked account pursuant to this paragraph (b) may not be invested in instruments the maturity of which exceeds 180 days. If interest is credited to a separate blocked account or subaccount, the name of the account party on each account must be the same.

(c) Blocked funds held in instruments the maturity of which exceeds 180 days at the time the funds become subject to § 546.201(a) may continue to be held until maturity in the original instrument, provided any interest, earnings, or other proceeds derived therefrom are paid into a blocked interest-bearing account in accordance with paragraph (b) or (d) of this section.

(d) Blocked funds held in accounts or instruments outside the United States at the time the funds become subject to § 546.201(a) may continue to be held in the same type of accounts or instruments, provided the funds earn interest at rates that are commercially reasonable.

(e) This section does not create an affirmative obligation for the holder of blocked tangible property, such as chattels or real estate, or of other blocked property, such as debt or equity securities, to sell or liquidate such property. However, the Office of Foreign Assets Control may issue licenses permitting or directing such sales or liquidation in appropriate cases.

(f) Funds subject to this section may not be held, invested, or reinvested in a manner that provides immediate financial or economic benefit or access to any person whose property and interests in property are blocked pursuant to § 546.201(a), nor may their holder cooperate in or facilitate the pledging or other attempted use as collateral of blocked funds or other assets.
§ 546.204 Expenses of maintaining blocked physical property; liquidation of blocked property.

(a) Except as otherwise authorized, and notwithstanding the existence of any rights or obligations conferred or imposed by any international agreement or contract entered into or any license or permit granted prior to the effective date, all expenses incident to the maintenance of physical property blocked pursuant to §546.201(a) shall be the responsibility of the owners or operators of such property, which expenses shall not be met from blocked funds.

(b) Property blocked pursuant to §546.201(a) may, in the discretion of the Office of Foreign Assets Control, be sold or liquidated and the net proceeds placed in a blocked interest-bearing account in the name of the owner of the property.

§ 546.205 Evasions; attempts; conspiracies.

(a) Except as otherwise authorized, and notwithstanding any contract entered into or any license or permit granted prior to the effective date, any transaction by a U.S. person or within the United States on or after the effective date that evades or avoids, has the purpose of evading or avoiding, or attempts to violate any of the prohibitions set forth in this part is prohibited.

(b) Except as otherwise authorized, and notwithstanding any contract entered into or any license or permit granted prior to the effective date, any conspiracy formed to violate the prohibitions set forth in this part is prohibited.

Subpart C—General Definitions

§ 546.301 Arms or any related materiel.

The term arms or any related materiel shall mean arms or related materiel of all types, military aircraft, and equipment, but excludes:

(a) Supplies and technical assistance, including training, intended solely for use in authorized monitoring, verification, or peace support operations, including such operations led by regional organizations;

(b) Supplies of non-lethal military equipment intended solely for humanitarian use, human rights monitoring use, or protective use, and related technical assistance, including training;

(c) Supplies of protective clothing, including flak jackets and military helmets, for use by United Nations personnel, representatives of the media, and humanitarian and development workers and associated personnel, for their personal use only;

(d) Assistance and supplies provided in support of implementation of the Comprehensive Peace Agreement signed January 9, 2005, by the Government of Sudan and the People’s Liberation Movement/Army; and

(e) Other movements of military equipment and supplies into the Darfur region by the United States or that are permitted by a rule or decision of the Secretary of State, after consultation with the Secretary of the Treasury.

§ 546.302 Blocked account; blocked property.

The terms blocked account and blocked property shall mean any account or property subject to the prohibitions in §546.201 held in the name of a person whose property and interests in property are blocked pursuant to §546.201(a), or in which such person has an interest, and with respect to which payments, transfers, exportations, withdrawals, or other dealings may not be made or effected except pursuant to an authorization or license from the Office of Foreign Assets Control expressly authorizing such action.

Note to §546.302: See §546.411 concerning the blocked status of property and interests in property of an entity that is 50 percent or more owned by a person whose property and interests in property are blocked pursuant to §546.201(a).

§ 546.303 Effective date.

The term effective date refers to the effective date of the applicable prohibitions and directives contained in this part as follows:

(a) With respect to a person whose property and interests in property are blocked pursuant to §546.201(a)(1), 12:01 a.m. eastern daylight time, April 27, 2006;
(b) With respect to a person whose property and interests in property are blocked pursuant to §546.201(a)(2), the earlier of the date of actual or constructive notice of such person’s designation.

§ 546.304 Entity.

The term entity means a partnership, association, trust, joint venture, corporation, group, subgroup, or other organization.

§ 546.305 Interest.

Except as otherwise provided in this part, the term interest, when used with respect to property (e.g., “an interest in property”), means an interest of any nature whatsoever, direct or indirect.

§ 546.306 Licenses; general and specific.

(a) Except as otherwise specified, the term license means any license or authorization contained in or issued pursuant to this part.

(b) The term general license means any license or authorization the terms of which are set forth in subpart E of this part.

(c) The term specific license means any license or authorization not set forth in subpart E of this part but issued pursuant to this part.

NOTE TO §546.306: See §501.801 of this chapter on licensing procedures.

§ 546.307 Person.

The term person means an individual or entity.

§ 546.308 Property; property interest.

The terms property and property interest include, but are not limited to, money, checks, drafts, bullion, bank deposits, savings accounts, debts, indebtedness, obligations, notes, guarantees, debentures, stocks, bonds, coupons, any other financial instruments, bankers’ acceptances, mortgages, pledges, liens or other rights in the nature of security, warehouse receipts, bills of lading, trust receipts, bills of sale, any other evidences of title, ownership or indebtedness, letters of credit and any documents relating to any rights or obligations thereunder, powers of attorney, goods, wares, merchandise, chattels, stocks on hand, ships, goods on ships, real estate mortgages, deeds of trust, vendors’ sales agreements, land contracts, leaseholds, ground rents, real estate and any other interest therein, options, negotiable instruments, trade acceptances, royalties, book accounts, accounts payable, judgments, patents, trademarks or copyrights, insurance policies, safe deposit boxes and their contents, annuities, pooling agreements, services of any nature whatsoever, contracts of any nature whatsoever, and any other property, real, personal, or mixed, tangible or intangible, or interest or interests therein, present, future, or contingent.

§ 546.309 Transfer.

The term transfer means any actual or purported act or transaction, whether or not evidenced by writing, and whether or not done or performed within the United States, the purpose, intent, or effect of which is to create, surrender, release, convey, transfer, or alter, directly or indirectly, any right, remedy, power, privilege, or interest with respect to any property and, without limitation upon the foregoing, shall include the making, execution, or delivery of any assignment, power of attorney, power of appointment, bill of sale, mortgage, receipt, agreement, contract, certificate, gift, sale, affidavit, or statement; the making of any payment; the setting off of any obligation or credit; the appointment of any agent, trustee, or fiduciary; the creation or transfer of any lien; the issuance, docketing, filing, or levy of or under any judgment, decree, attachment, injunction, execution, or other judicial or administrative process or order, or the service of any garnishment; the acquisition of any interest of any nature whatsoever by reason of a judgment or decree of any foreign country; the fulfillment of any condition; the exercise of any power of appointment, power of attorney, or other power; or the acquisition, disposition, transportation, importation, exportation, or withdrawal of any security.
§ 546.310 United States.

The term United States means the United States, its territories and possessions, and all areas under the jurisdiction or authority thereof.

§ 546.311 U.S. financial institution.

The term U.S. financial institution means any U.S. entity (including its foreign branches) that is engaged in the business of accepting deposits, making, granting, transferring, holding, or brokering loans or credits, or purchasing or selling foreign exchange, securities, commodity futures or options, or procuring purchasers and sellers thereof, as principal or agent; including but not limited to, depository institutions, banks, savings banks, trust companies, securities brokers and dealers, commodity futures and options brokers and dealers, forward contract and foreign exchange merchants, securities and commodities exchanges, clearing corporations, investment companies, employee benefit plans, and U.S. holding companies, U.S. affiliates, or U.S. subsidiaries of any of the foregoing. This term includes those branches, offices, and agencies of foreign financial institutions that are located in the United States, but not such institutions’ foreign branches, offices, or agencies.

§ 546.312 United States person; U.S. person.

The term United States person or U.S. person means any United States citizen, permanent resident alien, entity organized under the laws of the United States or any jurisdiction within the United States (including foreign branches), or any person in the United States.

Subpart D—Interpretations

§ 546.401 Reference to amended sections.

Except as otherwise specified, reference to any provision in or appendix to this part or chapter or to any regulation, ruling, order, instruction, directive, or license issued pursuant to this part refers to the same as currently amended.

§ 546.402 Effect of amendment.

Unless otherwise specifically provided, any amendment, modification, or revocation of any provision in or appendix to this part or chapter or of any order, regulation, ruling, instruction, or license issued by or under the direction of the Director of the Office of Foreign Assets Control does not affect any act done or omitted, or any civil or criminal suit or proceeding commenced or pending prior to such amendment, modification, or revocation. All penalties, forfeitures, and liabilities under any such order, regulation, ruling, instruction, or license continue and may be enforced as if such amendment, modification, or revocation had not been made.

§ 546.403 Termination and acquisition of an interest in blocked property.

(a) Whenever a transaction licensed or authorized by or pursuant to this part results in the transfer of property (including any property interest) away from a person, such property shall no longer be deemed to be property blocked pursuant to § 546.201(a), unless there exists in the property another interest that is blocked pursuant to § 546.201(a) or any other part of this chapter, the transfer of which has not been effected pursuant to license or other authorization.

(b) Unless otherwise specifically provided in a license or authorization issued pursuant to this part, if property (including any property interest) is transferred or attempted to be transferred to a person whose property and interests in property are blocked pursuant to § 546.201(a), such property shall be deemed to be property in which that person has an interest and therefore blocked.

§ 546.404 Transactions ordinarily incident to a licensed transaction.

Any transaction ordinarily incident to a licensed transaction and necessary to give effect thereto is also authorized, except:

(a) An ordinarily incident transaction, not explicitly authorized within the terms of the license, by or with a person whose property and interests in property are blocked pursuant to § 546.201(a); or
§ 546.405 Provision of services.

(a) The prohibitions on transactions involving blocked property contained in §546.201 apply to services performed in the United States or by U.S. persons, wherever located, including by an overseas branch of an entity located in the United States:

(1) On behalf of or for the benefit of a person whose property and interests in property are blocked pursuant to §546.201(a); or

(2) With respect to property interests subject to §546.201.

(b) Example. U.S. persons may not, except as authorized by or pursuant to this part, provide legal, accounting, financial, brokering, freight forwarding, transportation, public relations, or other services to a person whose property and interests in property are blocked pursuant to §546.201(a).

NOTE TO §546.405: See §§546.507 and 546.508 on licensing policy with regard to the provision of certain legal or medical services.

§ 546.406 Offshore transactions.

The prohibitions in §546.201 on transactions or dealings involving blocked property apply to transactions by any U.S. person in a location outside the United States with respect to property held in the name of a person whose property and interests in property are blocked pursuant to §546.201(a), or property in which a person whose property and interests in property are blocked pursuant to §546.201(a) has or has had an interest since the effective date.

§ 546.407 Payments from blocked accounts to satisfy obligations prohibited.

Pursuant to §546.201, no debits may be made to a blocked account to pay obligations to U.S. persons or other persons, except as authorized by or pursuant to this part.

§ 546.408 Charitable contributions.

Unless specifically authorized by the Office of Foreign Assets Control pursuant to this part, no charitable contribution of funds, goods, services, or technology, including contributions to relieve human suffering, such as food, clothing, or medicine, may be made by, to, or for the benefit of a person whose property and interests in property are blocked pursuant to §546.201(a).

For the purposes of this part, a contribution is made by, to, or for the benefit of a person whose property and interests in property are blocked pursuant to §546.201(a) if made by, to, or in the name of such a person; if made by, to, or in the name of an entity or individual acting for or on behalf of, or owned or controlled by, such a person; or if made in an attempt to violate, to evade, or to avoid the bar on the provision of contributions by, to, or for the benefit of such a person.

§ 546.409 Credit extended and cards issued by U.S. financial institutions.

The prohibition in §546.201 on dealing in property subject to that section prohibits U.S. financial institutions from performing under any existing credit agreements, including, but not limited to, charge cards, debit cards, or other credit facilities issued by a U.S. financial institution to a person whose property and interests in property are blocked pursuant to §546.201(a).

§ 546.410 Setoffs prohibited.

A setoff against blocked property (including a blocked account), whether by a U.S. bank or other U.S. person, is a prohibited transfer under §546.201 if effected after the effective date.

§ 546.411 Entities owned by a person whose property and interests in property are blocked.

A person whose property and interests in property are blocked pursuant
§ 546.501  to § 546.201(a) has an interest in all property and interests in property of an entity in which it owns, directly or indirectly, a 50 percent or greater interest. The property and interests in property of such an entity, therefore, are blocked, and such an entity is a person whose property and interests in property are blocked pursuant to § 546.201(a), regardless of whether the entity itself is listed in the Annex to Executive Order 13400 or designated pursuant to § 546.201(a).

Subpart E—Licenses, Authorizations, and Statements of Licensing Policy

§ 546.501 General and specific licensing procedures.

For provisions relating to licensing procedures, see part 501, subpart E of this chapter. Licensing actions taken pursuant to part 501 of this chapter with respect to the prohibitions contained in this part are considered actions taken pursuant to this part.

§ 546.502 Effect of license or authorization.

(a) No license or other authorization contained in this part, or otherwise issued by or under the direction of the Director of the Office of Foreign Assets Control, authorizes or validates any transaction effected prior to the issuance of such license or other authorization, unless specifically provided in such license or authorization.

(b) No regulation, ruling, instruction, or license authorizes any transaction prohibited under this part unless the regulation, ruling, instruction, or license is issued by the Office of Foreign Assets Control and specifically refers to this part. No regulation, ruling, instruction, or license referring to this part shall be deemed to authorize any transaction prohibited by any other provision of this chapter unless the regulation, ruling, instruction, or license specifically refers to such provision.

(c) Any regulation, ruling, instruction, or license authorizing any transaction otherwise prohibited under this part has the effect of removing a prohibition contained in this part from the transaction, but only to the extent specifically stated by its terms. Unless the regulation, ruling, instruction, or license otherwise specifies, such an authorization does not create any right, duty, obligation, claim, or interest in, or with respect to, any property which would not otherwise exist under ordinary principles of law.

§ 546.503 Exclusion from licenses.

The Director of the Office of Foreign Assets Control reserves the right to exclude any person, property, or transaction from the operation of any license or from the privileges conferred by any license. The Director of the Office of Foreign Assets Control also reserves the right to restrict the applicability of any license to particular persons, property, transactions, or classes thereof. Such actions are binding upon actual or constructive notice of the exclusions or restrictions.

§ 546.504 Payments and transfers to blocked accounts in U.S. financial institutions.

Any payment of funds or transfer of credit in which a person whose property and interests in property are blocked pursuant to § 546.201(a) has any interest that comes within the possession or control of a U.S. financial institution must be blocked in an account on the books of that financial institution. A transfer of funds or credit by a U.S. financial institution between blocked accounts in its branches or offices is authorized, provided that no transfer is made from an account within the United States to an account held outside the United States, and further provided that a transfer from a blocked account may be made only to another blocked account held in the same name.

Note to § 546.504: See § 501.603 of this chapter for mandatory reporting requirements regarding financial transfers. See also § 546.203 concerning the obligation to hold blocked funds in interest-bearing accounts.

§ 546.505 Entries in certain accounts for normal service charges authorized.

(a) A U.S. financial institution is authorized to debit any blocked account held at that financial institution in payment or reimbursement for normal
service charges owed it by the owner of that blocked account.

(b) As used in this section, the term normal service charges shall include charges in payment or reimbursement for interest due; cable, telegraph, Internet, or telephone charges; postage costs; custody fees; small adjustment charges to correct bookkeeping errors; and, but not by way of limitation, minimum balance charges, notary and protest fees, and charges for reference books, photocopies, credit reports, transcripts of statements, registered mail, insurance, stationery and supplies, and other similar items.

§ 546.506 Investment and reinvestment of certain funds.

Subject to the requirements of §546.203, U.S. financial institutions are authorized to invest and reinvest assets blocked pursuant to §546.201, subject to the following conditions:

(a) The assets representing such investments and reinvestments are credited to a blocked account or subaccount that is held in the same name at the same U.S. financial institution, or within the possession or control of a U.S. person, but funds shall not be transferred outside the United States for this purpose;

(b) The proceeds of such investments and reinvestments shall not be credited to a blocked account or subaccount that differs from the name or designation of the specific blocked account or subaccount in which such funds or securities were held; and

(c) No immediate financial or economic benefit accrues (e.g., through pledging or other use) to persons whose property and interests in property are blocked pursuant to §546.201(a).

§ 546.507 Provision of certain legal services authorized.

(a) The provision of the following legal services to or on behalf of persons whose property and interests in property are blocked pursuant to §546.201(a) is authorized, provided that all receipts of payment of professional fees and reimbursement of incurred expenses must be specifically licensed:

(1) Provision of legal advice and counseling on the requirements of and compliance with the laws of the United States or any jurisdiction within the United States, provided that such advice and counseling are not provided to facilitate transactions in violation of this part,

(2) Representation of persons named as defendants in or otherwise made parties to domestic U.S. legal, arbitration, or administrative proceedings;

(3) Initiation and conduct of domestic U.S. legal, arbitration, or administrative proceedings in defense of property interests subject to U.S. jurisdiction;

(4) Representation of persons before any federal or state agency with respect to the imposition, administration, or enforcement of U.S. sanctions against such persons; and

(5) Provision of legal services in any other context in which prevailing U.S. law requires access to legal counsel at public expense.

(b) The provision of any other legal services to persons whose property and interests in property are blocked pursuant to §546.201(a), not otherwise authorized in this part, requires the issuance of a specific license.

(c) Entry into a settlement agreement or the enforcement of any lien, judgment, arbitral award, decree, or other order through execution, garnishment, or other judicial process purporting to transfer or otherwise affect property or interests in property blocked pursuant to §546.201(a) is prohibited unless specifically licensed in accordance with §546.202(e).

§ 546.508 Authorization of emergency medical services.

The provision of nonscheduled emergency medical services in the United States to persons whose property and interests in property are blocked pursuant to §546.201(a) is authorized, provided that all receipt of payment for such services must be specifically licensed.

Subpart F—Reports

§ 546.601 Records and reports.

For provisions relating to required records and reports, see part 501, subpart C, of this chapter. Recordkeeping and reporting requirements imposed by part 501 of this chapter with respect to
the prohibitions contained in this part are considered requirements arising pursuant to this part.

Subpart G—Penalties

§ 546.701 Penalties.

(a) Attention is directed to section 206 of the International Emergency Economic Powers Act (50 U.S.C. 1705) ("IEEPA"), which is applicable to violations of the provisions of any license, ruling, regulation, order, directive, or instruction issued by or pursuant to the direction or authorization of the Secretary of the Treasury pursuant to this part or otherwise under IEEPA.

(1) A civil penalty not to exceed the amount set forth in section 206 of IEEPA may be imposed on any person who violates, attempts to violate, conspires to violate, or causes a violation of any license, order, regulation, or prohibition issued under IEEPA.

NOTE TO PARAGRAPH (a)(1) OF § 546.701: As of the date of publication in the Federal Register of the final rule adding this part to 31 CFR chapter V (May 28, 2009), IEEPA provides for a maximum civil penalty not to exceed the greater of $250,000 or an amount that is twice the amount of the transaction that is the basis of the violation with respect to which the penalty is imposed.

(2) A person who willfully commits, willfully attempts to commit, or willfully conspires to commit, or aids or abets in the commission of a violation of any license, order, regulation, or prohibition may, upon conviction, be fined not more than $1,000,000, or if a natural person, may also be imprisoned for not more than 20 years, or both.

(b) Adjustments to penalty amounts. (1) The civil penalties provided in IEEPA are subject to adjustment pursuant to the Federal Civil Penalties Inflation Adjustment Act of 1990 (Pub. L. 101–410, as amended, 28 U.S.C. 2461 note).

(2) The criminal penalties provided in IEEPA are subject to adjustment pursuant to 18 U.S.C. 3571.

(c) Attention is directed to section 5 of the United Nations Participation Act, as amended (22 U.S.C. 287c(b)) ("UNPA"), which provides that any person who willfully violates or evades or attempts to violate or evade any order, rule, or regulation issued by the President pursuant to the authority granted in that section, upon conviction, shall be fined not more than $10,000 and, if a natural person, may also be imprisoned for not more than 10 years; and the officer, director, or agent of any corporation who knowingly participates in such violation or evasion shall be punished by a like fine, imprisonment, or both and any property, funds, securities, papers, or other articles or documents, or any vessel, together with her tackle, apparel, furniture, and equipment, or vehicle, or aircraft, concerned in such violation shall be forfeited to the United States.

(d) Violations involving transactions described at section 203(b)(1), (3), and (4) of IEEPA shall be subject only to the penalties set forth in paragraph (c) of this section.

(e) Attention is also directed to 18 U.S.C. 1001, which provides that whoever, in any matter within the jurisdiction of the executive, legislative, or judicial branch of the Government of the United States, knowingly and willfully falsifies, conceals, or covers up by any trick, scheme, or device a material fact; or makes any materially false, fictitious, or fraudulent statement or representation; or makes or uses any false writing or document knowing the same to contain any materially false, fictitious, or fraudulent statement or entry; shall be fined under title 18, United States Code, imprisoned not more than five years, or both.

(f) Violations of this part may also be subject to relevant provisions of other applicable laws.

§ 546.702 Pre-Penalty Notice; settlement.

(a) When required. If the Office of Foreign Assets Control has reason to believe that there has occurred a violation of any provision of this part or a violation of the provisions of any license, ruling, regulation, order, directive, or instruction issued by or pursuant to the direction or authorization of the Secretary of the Treasury pursuant to this part or otherwise under IEEPA and determines that a civil monetary penalty is warranted, the Office of Foreign Assets Control will issue a Pre-Penalty Notice informing the alleged
violator of the agency’s intent to impose a monetary penalty. A Pre-Penalty Notice shall be in writing. The Pre-Penalty Notice may be issued whether or not another agency has taken any action with respect to the matter. For a description of the contents of a Pre-Penalty Notice, see appendix A to part 501 of this chapter.

(b)(1) Right to respond. An alleged violator has the right to respond to a Pre-Penalty Notice by making a written presentation to the Office of Foreign Assets Control. For a description of the information that should be included in such a response, see appendix A to part 501 of this chapter.

(2) Deadline for response. A response to the Pre-Penalty Notice must be made within the applicable 30-day period set forth in this paragraph. The failure to submit a response within the applicable time period set forth in this paragraph shall be deemed to be a waiver of the right to respond.

(i) Computation of time for response. A response to a Pre-Penalty Notice must be postmarked or date-stamped by the U.S. Postal Service (or foreign postal service, if mailed abroad) or courier service provider (if transmitted to the Office of Foreign Assets Control by courier) on or before the 30th day after the postmark date on the envelope in which the Pre-Penalty Notice was mailed. If the Pre-Penalty Notice was personally delivered by a non-U.S. Postal Service agent authorized by the Office of Foreign Assets Control, a response must be postmarked or date-stamped on or before the 30th day after the date of delivery.

(ii) Extensions of time for response. If a due date falls on a federal holiday or weekend, that due date is extended to include the following business day. Any other extensions of time will be granted, at the discretion of the Office of Foreign Assets Control, only upon specific request to the Office of Foreign Assets Control.

(3) Form and method of response. A response to a Pre-Penalty Notice need not be in any particular form, but it must be typewritten and signed by the alleged violator or a representative thereof, must contain information sufficient to indicate that it is in response to the Pre-Penalty Notice, and must include the Office of Foreign Assets Control identification number listed on the Pre-Penalty Notice. A copy of the written response may be sent by facsimile, but the original also must be sent to the Office of Foreign Assets Control Civil Penalties Division by mail or courier and must be postmarked or date-stamped, in accordance with paragraph (b)(2) of this section.

(c) Settlement. Settlement discussion may be initiated by the Office of Foreign Assets Control, the alleged violator, or the alleged violator’s authorized representative. For a description of practices with respect to settlement, see Appendix A to part 501 of this chapter.

(d) Guidelines. Guidelines for the imposition or settlement of civil penalties by the Office of Foreign Assets Control are contained in appendix A to part 501 of this chapter.

(e) Representation. A representative of the alleged violator may act on behalf of the alleged violator, but any oral communication with the Office of Foreign Assets Control prior to a written submission regarding the specific allegations contained in the Pre-Penalty Notice must be preceded by a written letter of representation, unless the Pre-Penalty Notice was served upon the alleged violator in care of the representative.

§ 546.703 Penalty imposition.

If, after considering any written response to the Pre-Penalty Notice and any relevant facts, the Office of Foreign Assets Control determines that there was a violation by the alleged violator named in the Pre-Penalty Notice and that a civil monetary penalty is appropriate, the Office of Foreign Assets Control may issue a written Penalty Notice to the violator containing a determination of the violation and the imposition of the monetary penalty. For additional details concerning issuance of a Penalty Notice, see Appendix A to part 501 of this chapter. The issuance of the Penalty Notice shall constitute final agency action. The violator has the right to seek judicial review of that final agency action in Federal district court.
§ 546.704 Administrative collection; referral to United States Department of Justice.

In the event that the violator does not pay the penalty imposed pursuant to this part or make payment arrangements acceptable to the Director of the Office of Foreign Assets Control, the matter may be referred for administrative collection measures by the Department of the Treasury or to the United States Department of Justice for appropriate action to recover the penalty in a civil suit in a Federal district court.

Subpart H—Procedures

§ 546.801 Procedures.

For license application procedures and procedures relating to amendments, modifications, or revocations of licenses; administrative decisions; rulemaking; and requests for documents pursuant to the Freedom of Information and Privacy Acts (5 U.S.C. 552 and 552a), see part 501, subpart E, of this chapter.

§ 546.802 Delegation by the Secretary of the Treasury.

Any action that the Secretary of the Treasury is authorized to take pursuant to Executive Order 13400, and any further Executive orders relating to the national emergency declared in Executive Order 13067, may be taken by the Director of the Office of Foreign Assets Control or by any other person to whom the Secretary of the Treasury has delegated authority so to act.

Subpart I—Paperwork Reduction Act

§ 546.901 Paperwork Reduction Act notice.

For approval by the Office of Management and Budget (“OMB”) under the Paperwork Reduction Act of 1995 (44 U.S.C. 3507) of information collections relating to record keeping and reporting requirements, licensing procedures (including those pursuant to statements of licensing policy), and other procedures, see §501.901 of this chapter. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid control number assigned by OMB.

PART 547—DEMOCRATIC REPUBLIC OF THE CONGO SANCTIONS REGULATIONS

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Sec.
547.101 Relation of this part to other laws and regulations.

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§ 547.201 Prohibited transactions involving blocked property.

(a) Except as authorized by regulations, orders, directives, rulings, instructions, licenses, or otherwise, and notwithstanding any contracts entered into or any license or permit granted prior to the effective date, all property and interests in property that are in the United States, that hereafter come within the United States, or that are or hereafter come within the possession or control of U.S. persons, including their overseas branches, of the following persons are blocked and may not be transferred, paid, exported, withdrawn, or otherwise dealt in:

(1) Any person listed in the Annex to Executive Order 13413 of October 27, 2006; and

(2) Any person determined by the Secretary of the Treasury, after consultation with the Secretary of State:

(i) To be a political or military leader of a foreign armed group operating in the Democratic Republic of the Congo that impedes the disarmament, repatriation, or resettlement of combatants;

(ii) To be a political or military leader of a Congolese armed group that impedes the disarmament, demobilization, or reintegration of combatants;

(iii) To be a political or military leader recruiting or using children in armed conflict in the Democratic Republic of the Congo in violation of applicable international law;

(iv) To have committed serious violations of international law involving the targeting of children in situations of...
§ 547.202 Effect of transfers violating the provisions of this part.

(a) Any transfer after the effective date that is in violation of any provision of this part or of any regulation, order, directive, ruling, instruction, or license issued pursuant to this part, or any dealing in any security (or evidence thereof) held within the possession or control of a U.S. person and either registered or inscribed in the name of, or known to be held for the benefit of, or issued by, any person whose property and interests in property are blocked pursuant to paragraph (a) of this section, is prohibited. This prohibition includes but is not limited to the transfer (including the transfer on the books of any issuer or agent thereof), disposition, transportation, importation, exportation, or withdrawal of, or the endorsement or guaranty of signatures on, any such security on or after the effective date. This prohibition applies irrespective of the fact that at any time (whether prior to, on, or subsequent to the effective date) the registered or inscribed owner of any such security may have or might appear to have assigned, transferred, or otherwise disposed of the security.

(b) The prohibitions in paragraph (a) of this section include, but are not limited to, prohibitions on the following transactions when engaged in by a United States person or within the United States:

(1) The making of any contribution or provision of funds, goods, or services by, to, or for the benefit of any person whose property and interests in property are blocked pursuant to paragraph (a) of this section; and

(2) The receipt of any contribution or provision of funds, goods, or services from any person whose property and interests in property are blocked pursuant to paragraph (a) of this section.

(c) Unless otherwise authorized by this part or by a specific license expressly referring to this section, any dealing in any security (or evidence thereof) held within the possession or control of a U.S. person and either registered or inscribed in the name of, or known to be held for the benefit of, or issued by, any person whose property and interests in property are blocked pursuant to paragraph (a) of this section is prohibited. This prohibition includes but is not limited to the transfer (including the transfer on the books of any issuer or agent thereof), disposition, transportation, importation, exportation, or withdrawal of, or the endorsement or guaranty of signatures on, any such security on or after the effective date. This prohibition applies irrespective of the fact that at any time (whether prior to, on, or subsequent to the effective date) the registered or inscribed owner of any such security may have or might appear to have assigned, transferred, or otherwise disposed of the security.

NOTE 1 TO PARAGRAPH (a) of §547.201: 1. The names of persons listed in or designated pursuant to Executive Order 13413, whose property and interests in property are blocked pursuant to paragraph (a) of this section, are published on the Office of Foreign Assets Control's Specially Designated Nationals and Blocked Persons List ("SDN List") (which is accessible via the Office of Foreign Assets Control's Web site), published in the Federal Register, and incorporated into Appendix A to this chapter with the identifier "[DRC]." See §547.411 concerning entities that may not be listed on the SDN list but whose property and interests in property are nevertheless blocked pursuant to paragraph (a) of this section.

NOTE 2 TO PARAGRAPH (a) of §547.201: Section 203 of the International Emergency Economic Powers Act (50 U.S.C. 1701–1706) ("IEEPA") explicitly authorizes the blocking of property and interests in property of a person during the pendency of an investigation. The names of persons whose property and interests in property are blocked pending investigation pursuant to this part also are published on the SDN List, published in the Federal Register, and incorporated into Appendix A to this chapter with the identifier "[BPI–DRC]."

NOTE 3 TO PARAGRAPH (a) of §547.201: Sections 501.306 and 501.307 of this chapter describe the procedures to be followed by persons seeking, respectively, the unblocking of funds that they believe were blocked due to mistaken identity, or administrative reconsideration of their status as persons whose property and interests in property are blocked pursuant to paragraph (a) of this section.
Office of Foreign Assets Control, Treasury § 547.203

and that involves any property or interest in property blocked pursuant to §547.201(a), is null and void and shall not be the basis for the assertion or recognition of any interest in or right, remedy, power, or privilege with respect to such property or property interests.

(b) No transfer before the effective date shall be the basis for the assertion or recognition of any right, remedy, power, or privilege with respect to, or any interest in, any property or interest in property blocked pursuant to §547.201(a), unless the person who holds or maintains such property, prior to that date, had written notice of the transfer or by any written evidence had recognized such transfer.

c) Unless otherwise provided, an appropriate license or other authorization issued by or pursuant to the direction or authorization of the Director of the Office of Foreign Assets Control before, during, or after a transfer shall validate such transfer or make it enforceable to the same extent that it would be valid or enforceable but for the provisions of IEEPA, Executive Order 13413, this part, and any regulation, order, directive, instruction, license, or other direction or authorization issued pursuant to this part.

d) Transfers of property that otherwise would be null and void or unenforceable by virtue of the provisions of this section shall not be deemed to be null and void or unenforceable as to any person with whom such property is or was held or maintained (and as to such person only) in cases in which such person is able to establish to the satisfaction of the Director of the Office of Foreign Assets Control each of the following:

(1) Such transfer did not represent a willful violation of the provisions of this part by the person with whom such property is or was held or maintained (and as to such person only);

(2) The person with whom such property is or was held or maintained did not have reasonable cause to know or suspect, in view of all the facts and circumstances known or available to such person, that such transfer required a license or authorization issued pursuant to this part and was not so licensed or authorized, or, if a license or authorization did purport to cover the transfer, that such license or authorization had been obtained by misrepresentation of a third party or withholding of material facts or was otherwise fraudulently obtained; and

(3) The person with whom such property is or was held or maintained filed with the Office of Foreign Assets Control a report setting forth in full the circumstances relating to such transfer promptly upon discovery that:

(i) Such transfer was in violation of the provisions of this part or any regulation, ruling, instruction, license, or other direction or authorization issued pursuant to this part;

(ii) Such transfer was not licensed or authorized by the Director of the Office of Foreign Assets Control; or

(iii) If a license did purport to cover the transfer, such license had been obtained by misrepresentation of a third party or withholding of material facts or was otherwise fraudulently obtained.

Note to Paragraph (d) of §547.202: The filing of a report in accordance with the provisions of paragraph (d)(3) of this section shall not be deemed evidence that the terms of paragraphs (d)(1) and (d)(2) of this section have been satisfied.

e) Unless licensed pursuant to this part, any attachment, judgment, decree, lien, execution, garnishment, or other judicial process is null and void with respect to any property in which, on or since the effective date, there existed an interest of a person whose property and interests in property are blocked pursuant to §547.201(a).

§ 547.203 Holding of funds in interest-bearing accounts; investment and reinvestment.

(a) Except as provided in paragraph (c) or (d) of this section, or as otherwise directed by the Office of Foreign Assets Control, any U.S. person holding funds, such as currency, bank deposits, or liquidated financial obligations, subject to §547.201(a) shall hold or place such funds in a blocked interest-bearing account located in the United States.

(b)(1) For purposes of this section, the term blocked interest-bearing account means a blocked account:
(i) In a federally-insured U.S. bank, thrift institution, or credit union, provided the funds are earning interest at rates that are commercially reasonable; or

(ii) With a broker or dealer registered with the Securities and Exchange Commission under the Securities Exchange Act of 1934 (15 U.S.C. 78a et seq.), provided the funds are invested in a money market fund or in U.S. Treasury bills.

(2) For purposes of this section, a rate is commercially reasonable if it is the rate currently offered to other depositors on deposits or instruments of comparable size and maturity.

(3) Funds held or placed in a blocked account pursuant to this paragraph (b) may not be invested in instruments the maturity of which exceeds 180 days. If interest is credited to a separate blocked account or subaccount, the name of the account party on each account must be the same.

(c) Blocked funds held in instruments the maturity of which exceeds 180 days at the time the funds become subject to §547.201(a) may continue to be held until maturity in the original instrument, provided any interest, earnings, or other proceeds derived therefrom are paid into a blocked interest-bearing account in accordance with paragraph (b) or (d) of this section.

(d) Blocked funds held in accounts or instruments outside the United States at the time the funds become subject to §547.201(a) may continue to be held in the same type of accounts or instruments, provided the funds earn interest at rates that are commercially reasonable.

(e) This section does not create an affirmative obligation for the holder of blocked tangible property, such as chattels or real estate, or of other blocked property, such as debt or equity securities, to sell or liquidate such property. However, the Office of Foreign Assets Control may issue licenses permitting or directing such sales or liquidation in appropriate cases.

(f) Funds subject to this section may not be held, invested, or reinvested in a manner that provides immediate financial or economic benefit or access to any person whose property and interests in property are blocked pursuant to §547.201(a), nor may their holder cooperate in or facilitate the pledging or other attempted use as collateral of blocked funds or other assets.

§547.204 Expenses of maintaining blocked physical property; liquidation of blocked property.

(a) Except as otherwise authorized, and notwithstanding the existence of any rights or obligations conferred or imposed by any international agreement or contract entered into or any license or permit granted prior to the effective date, all expenses incident to the maintenance of physical property blocked pursuant to §547.201(a) shall be the responsibility of the owners or operators of such property, which expenses shall not be met from blocked funds.

(b) Property blocked pursuant to §547.201(a) may, in the discretion of the Office of Foreign Assets Control, be sold or liquidated and the net proceeds placed in a blocked interest-bearing account in the name of the owner of the property.

§547.205 Evasions; attempts; conspiracies.

(a) Except as otherwise authorized, and notwithstanding any contract entered into or any license or permit granted prior to the effective date, any transaction by a U.S. person or within the United States on or after the effective date that evades or avoids, has the purpose of evading or avoiding, or attempts to violate any of the prohibitions set forth in this part is prohibited.

(b) Except as otherwise authorized, and notwithstanding any contract entered into or any license or permit granted prior to the effective date, any conspiracy formed to violate the prohibitions set forth in this part is prohibited.

Subpart C—General Definitions

§547.301 Arms or any related materiel.

The term arms or any related materiel means arms or related materiel of all types, including military aircraft and equipment, but excludes:

(a) Supplies of arms and related materiel, technical training, and assistance intended solely for support of or
use by units of the army and police of
the Democratic Republic of the Congo, provided that said units:

(1) Have completed the process of their integration; or

(2) Operate under the command, respectively, of the état-major intégré of the Armed Forces or of the National Police of the Democratic Republic of the Congo;

(3) Are in the process of their integration in the territory of the Democratic Republic of the Congo outside the provinces of North and South Kivu and the Ituri district; and

(4) The supplies of arms and related materiel, technical training, and assistance described in paragraphs (a)(1) through (a)(3) of this section are delivered or provided only to receiving sites as designated by the Government of National Unity and Transition, in coordination with the United Nations Organization Mission in the Democratic Republic of the Congo (MONUC), and advance notification of such delivery or provision is provided to the Secretary of State;

(b) Supplies of arms and related materiel intended solely for support of or use by MONUC;

(c) Supplies of non-lethal military equipment, and related technical assistance and training, intended solely for humanitarian or protective use, following advance notification to the Secretary of State; and

(d) Supplies of arms and related materiel, training, and technical assistance intended solely for support of or use by the European Union force deployed to support MONUC.

§ 547.302 Blocked account; blocked property.

The terms blocked account and blocked property shall mean any account or property subject to the prohibitions in §547.201 held in the name of a person whose property and interests in property are blocked pursuant to §547.201(a), or in which such person has an interest, and with respect to which payments, transfers, exportations, withdrawals, or other dealings may not be made or effected except pursuant to an authorization or license from the Office of Foreign Assets Control expressly authorizing such action.

Note to §547.302: See §547.411 concerning the blocked status of property and interests in property of an entity that is 50 percent or more owned by a person whose property and interests in property are blocked pursuant to §547.201(a).

§ 547.303 Effective date.

The term effective date refers to the effective date of the applicable prohibitions and directives contained in this part as follows:

(a) With respect to a person whose property and interests in property are blocked pursuant to §547.201(a)(1), 12:01 a.m. eastern standard time on October 30, 2006;

(b) With respect to a person whose property and interests in property are blocked pursuant to §547.201(a)(2), the earlier of the date of actual or constructive notice of such person’s designation.

§ 547.304 Entity.

The term entity means a partnership, association, trust, joint venture, corporation, group, subgroup, or other organization.

§ 547.305 Interest.

Except as otherwise provided in this part, the term interest, when used with respect to property (e.g., “an interest in property”), means an interest of any nature whatsoever, direct or indirect.

§ 547.306 Licenses; general and specific.

(a) Except as otherwise specified, the term license means any license or authorization contained in or issued pursuant to this part.

(b) The term general license means any license or authorization the terms of which are set forth in subpart E of this part.

(c) The term specific license means any license or authorization not set forth in subpart E of this part but issued pursuant to this part.

Note to §547.306: See §501.801 of this chapter on licensing procedures.

§ 547.307 Person.

The term person means an individual or entity.
§ 547.308 Property; property interest.

The terms property and property interest include, but are not limited to, money, checks, drafts, bullion, bank deposits, savings accounts, debts, indebtedness, obligations, notes, guarantees, debentures, stocks, bonds, coupons, any other financial instruments, bankers’ acceptances, mortgages, pledges, liens or other rights in the nature of security, warehouse receipts, bills of lading, trust receipts, bills of sale, any other evidences of title, ownership or indebtedness, letters of credit and any documents relating to any rights or obligations thereunder, powers of attorney, goods, wares, merchandise, chattels, stocks on hand, ships, goods on ships, real estate mortgages, deeds of trust, vendors’ sales agreements, land contracts, leases, ground rents, real estate and any other interest therein, options, negotiable instruments, trade acceptances, royalties, book accounts, accounts payable, judgments, patents, trademarks or copyrights, insurance policies, safe deposit boxes and their contents, annuities, pooling agreements, services of any nature whatsoever, and any other property, real, personal, or mixed, tangible or intangible, or interest or interests therein, present, future or contingent.

§ 547.309 Transfer.

The term transfer means any actual or purported act or transaction, whether or not evidenced by writing, and whether or not done or performed within the United States, the purpose, intent, or effect of which is to create, surrender, release, convey, transfer, or alter, directly or indirectly, any right, remedy, power, privilege, or interest with respect to any property and, without limitation upon the foregoing, shall include the making, execution, or delivery of any assignment, power, conveyance, check, declaration, deed, deed of trust, power of attorney, power of appointment, bill of sale, mortgage, receipt, agreement, contract, certificate, gift, sale, affidavit, or statement; the making of any payment; the setting off of any obligation or credit; the appointment of any agent, trustee, or fiduciary; the creation or transfer of any lien; the issuance, docketing, filing, or levy of or under any judgment, decree, attachment, injunction, execution, or other judicial or administrative process or order, or the service of any garnishment; the acquisition of any interest of any nature whatsoever by reason of a judgment or decree of any foreign country; the fulfillment of any condition; the exercise of any power of appointment, power of attorney, or other power; or the acquisition, disposition, transportation, importation, exportation, or withdrawal of any security.

§ 547.310 United States.

The term United States means the United States, its territories and possessions, and all areas under the jurisdiction or authority thereof.

§ 547.311 U.S. financial institution.

The term U.S. financial institution means any U.S. entity (including its foreign branches) that is engaged in the business of accepting deposits, making, granting, transferring, holding, or brokering loans or credits, or purchasing or selling foreign exchange, securities, commodity futures or options, or procuring purchasers and sellers thereof, as principal or agent; including but not limited to depository institutions, banks, savings banks, trust companies, securities brokers and dealers, commodity futures and options brokers and dealers, forward contract and foreign exchange merchants, securities and commodities exchanges, clearing corporations, investment companies, employee benefit plans, and U.S. holding companies, U.S. affiliates, or U.S. subsidiaries of any of the foregoing. This term includes those branches, offices and agencies of foreign financial institutions that are located in the United States, but not such institutions’ foreign branches, offices, or agencies.

§ 547.312 United States person; U.S. person.

The term United States person or U.S. person means any United States citizen, permanent resident alien, entity organized under the laws of the United States or any jurisdiction within the United States (including foreign
branches), or any person in the United States.

Subpart D—Interpretations

§ 547.401 Reference to amended sections.

Except as otherwise specified, reference to any provision in or appendix to this part or chapter or to any regulation, ruling, order, instruction, direction, or license issued pursuant to this part refers to the same as currently amended.

§ 547.402 Effect of amendment.

Unless otherwise specifically provided, any amendment, modification, or revocation of any provision in or appendix to this part or chapter or of any order, regulation, ruling, instruction, or license issued by or under the direction of the Director of the Office of Foreign Assets Control does not affect any act done or omitted, or any civil or criminal suit or proceeding commenced or pending prior to such amendment, modification, or revocation. All penalties, forfeitures, and liabilities under any such order, regulation, ruling, instruction, or license continue and may be enforced as if such amendment, modification, or revocation had not been made.

§ 547.403 Termination and acquisition of an interest in blocked property.

(a) Whenever a transaction licensed or authorized by or pursuant to this part results in the transfer of property (including any property interest) away from a person, such property shall no longer be deemed to be property blocked pursuant to §547.201(a), unless there exists in the property another interest that is blocked pursuant to §547.201(a) or any other part of this chapter, the transfer of which has not been effected pursuant to license or other authorization.

(b) Unless otherwise specifically provided in a license or authorization issued pursuant to this part, if property (including any property interest) is transferred or attempted to be transferred to a person whose property and interests in property are blocked pursuant to §547.201(a), such property shall be deemed to be property in which that person has an interest and therefore blocked.

§ 547.404 Transactions ordinarily incident to a licensed transaction.

Any transaction ordinarily incident to a licensed transaction and necessary to give effect thereto is also authorized, except:

(a) An ordinarily incident transaction, not explicitly authorized within the terms of the license, by or with a person whose property and interests in property are blocked pursuant to §547.201(a); or

(b) An ordinarily incident transaction, not explicitly authorized within the terms of the license, involving a debit to a blocked account or a transfer of blocked property.

(c) Example. A license authorizing Company A, whose property and interests in property are blocked pursuant to §547.201(a), to complete a securities sale also authorizes all activities by other parties required to complete the sale, including transactions by the buyer, broker, transfer agents, banks, etc., provided that such other parties are not themselves persons whose property and interests in property are blocked pursuant to §547.201(a).

§ 547.405 Provision of services.

(a) The prohibitions on transactions involving blocked property contained in §547.201 apply to services performed in the United States or by U.S. persons, wherever located, including by an overseas branch of an entity located in the United States:

(1) On behalf of or for the benefit of a person whose property and interests in property are blocked pursuant to §547.201(a); or

(2) With respect to property interests subject to §547.201.

(b) Example. U.S. persons may not, except as authorized by or pursuant to this part, provide legal, accounting, financial, brokering, freight forwarding, transportation, public relations, or other services to a person whose property and interests in property are blocked pursuant to §547.201(a).

NOTE TO §547.405: See §§547.507 and 547.508 on licensing policy with regard to the provision of certain legal or medical services.
§ 547.406 Offshore transactions.

The prohibitions in §547.201 on transactions or dealings involving blocked property apply to transactions by any U.S. person in a location outside the United States with respect to property held in the name of a person whose property and interests in property are blocked pursuant to §547.201(a), or property in which a person whose property and interests in property are blocked pursuant to §547.201(a) has or has had an interest since the effective date.

§ 547.407 Payments from blocked accounts to satisfy obligations prohibited.

Pursuant to §547.201, no debits may be made to a blocked account to pay obligations to U.S. persons or other persons, except as authorized by or pursuant to this part.

§ 547.408 Charitable contributions.

Unless specifically authorized by the Office of Foreign Assets Control pursuant to this part, no charitable contribution of funds, goods, services, or technology, including contributions to relieve human suffering, such as food, clothing or medicine, may be made by, to, or for the benefit of a person whose property and interests in property are blocked pursuant to §547.201(a). For the purposes of this part, a contribution is made by, to, or in the name of such a person; if made by, to, or in the name of an entity or individual acting for or on behalf of, or owned or controlled by, such a person; or if made in an attempt to violate, to evade, or to avoid the bar on the provision of contributions by, to, or for the benefit of such a person.

§ 547.409 Credit extended and cards issued by U.S. financial institutions.

The prohibition in §547.201 on dealing in property subject to that section prohibits U.S. financial institutions from performing under any existing credit agreements, including, but not limited to, charge cards, debit cards, or other credit facilities issued by a U.S. financial institution to a person whose property and interests in property are blocked pursuant to §547.201(a).

§ 547.410 Setoffs prohibited.

A setoff against blocked property (including a blocked account), whether by a U.S. bank or other U.S. person, is a prohibited transfer under §547.201 if effected after the effective date.

§ 547.411 Entities owned by a person whose property and interests in property are blocked.

A person whose property and interests in property are blocked pursuant to §547.201(a) has an interest in all property and interests in property of an entity in which it owns, directly or indirectly, a 50 percent or greater interest. The property and interests in property of such an entity, therefore, are blocked, and such an entity is a person whose property and interests in property are blocked pursuant to §547.201(a), regardless of whether the entity itself is listed in the Annex to Executive Order 13413 or designated pursuant to §547.201(a).

Subpart E—Licenses, Authorizations, and Statements of Licensing Policy

§ 547.501 General and specific licensing procedures.

For provisions relating to licensing procedures, see part 501, subpart E of this chapter. Licensing actions taken pursuant to part 501 of this chapter with respect to the prohibitions contained in this part are considered actions taken pursuant to this part.

§ 547.502 Effect of license or authorization.

(a) No license or other authorization contained in this part, or otherwise issued by or under the direction of the Director of the Office of Foreign Assets Control, authorizes or validates any transaction effected prior to the issuance of such license or other authorization, unless specifically provided in such license or authorization.

(b) No regulation, ruling, instruction, or license authorizes any transaction prohibited under this part unless the regulation, ruling, instruction, or license is issued by the Office of Foreign
Assets Control and specifically refers to this part. No regulation, ruling, instruction, or license referring to this part shall be deemed to authorize any transaction prohibited by any other provision of this chapter unless the regulation, ruling, instruction, or license specifically refers to such provision.

(c) Any regulation, ruling, instruction, or license authorizing any transaction otherwise prohibited under this part has the effect of removing a prohibition contained in this part from the transaction, but only to the extent specifically stated by its terms. Unless the regulation, ruling, instruction, or license otherwise specifies, such an authorization does not create any right, duty, obligation, claim, or interest in, or with respect to, any property that would not otherwise exist under ordinary principles of law.

§ 547.503 Exclusion from licenses.

The Director of the Office of Foreign Assets Control reserves the right to exclude any person, property, or transaction from the operation of any license or from the privileges conferred by any license. The Director of the Office of Foreign Assets Control also reserves the right to restrict the applicability of any license to particular persons, property, transactions, or classes thereof. Such actions are binding upon actual or constructive notice of the exclusions or restrictions.

§ 547.504 Payments and transfers to blocked accounts in U.S. financial institutions.

Any payment of funds or transfer of credit in which a person whose property and interests in property are blocked pursuant to § 547.201(a) has any interest that comes within the possession or control of a U.S. financial institution must be blocked in an account on the books of that financial institution. A transfer of funds or credit by a U.S. financial institution between blocked accounts in its branches or offices is authorized, provided that no transfer is made from an account within the United States to an account held outside the United States, and further provided that a transfer from a blocked account may be made only to another blocked account held in the same name.

NOTE TO § 547.504: See § 501.603 of this chapter for mandatory reporting requirements regarding financial transfers. See also § 547.203 concerning the obligation to hold blocked funds in interest-bearing accounts.

§ 547.505 Entries in certain accounts for normal service charges authorized.

(a) A U.S. financial institution is authorized to debit any blocked account held at that financial institution in payment or reimbursement for normal service charges owed by the owner of that blocked account.

(b) As used in this section, the term normal service charges shall include charges in payment or reimbursement for interest due; cable, telegraph, internet, or telephone charges; postage costs; custody fees; small adjustment charges to correct bookkeeping errors; and, but not by way of limitation, minimum balance charges, notary and protest fees, and charges for reference books, photocopies, credit reports, transcripts of statements, registered mail, insurance, stationery and supplies, and other similar items.

§ 547.506 Investment and reinvestment of certain funds.

Subject to the requirements of § 547.203, U.S. financial institutions are authorized to invest and reinvest assets blocked pursuant to § 547.201, subject to the following conditions:

(a) The assets representing such investments and reinvestments are credited to a blocked account or subaccount that is held in the same name at the same U.S. financial institution, or within the possession or control of a U.S. person, but funds shall not be transferred outside the United States for this purpose;

(b) The proceeds of such investments and reinvestments shall not be credited to a blocked account or subaccount under any name or designation that differs from the name or designation of the specific blocked account or subaccount in which such funds or securities were held; and

(c) No immediate financial or economic benefit accrues (e.g., through pledging or other use) to persons whose
property and interests in property are blocked pursuant to §547.201(a).

§547.507 Provision of certain legal services authorized.

(a) The provision of the following legal services to or on behalf of persons whose property and interests in property are blocked pursuant to §547.201(a) is authorized, provided that all receipts of payment of professional fees and reimbursement of incurred expenses must be specifically licensed:

(1) Provision of legal advice and counseling on the requirements of and compliance with the laws of the United States or any jurisdiction within the United States, provided that such advice and counseling are not provided to facilitate transactions in violation of this part;

(2) Representation of persons named as defendants in or otherwise made parties to domestic U.S. legal, arbitration, or administrative proceedings;

(3) Initiation and conduct of domestic U.S. legal, arbitration, or administrative proceedings in defense of property interests subject to U.S. jurisdiction;

(4) Representation of persons before any federal or state agency with respect to the imposition, administration, or enforcement of U.S. sanctions against such persons; and

(5) Provision of legal services in any other context in which prevailing U.S. law requires access to legal counsel at public expense.

(b) The provision of any other legal services to persons whose property and interests in property are blocked pursuant to §547.201(a), not otherwise authorized in this part, requires the issuance of a specific license.

§547.601 Records and reports.

For provisions relating to required records and reports, see part 501, subpart C, of this chapter. Recordkeeping and reporting requirements imposed by part 501 of this chapter with respect to the prohibitions contained in this part are considered requirements arising pursuant to this part.

Subpart G—Penalties

§547.701 Penalties.

(a) Attention is directed to section 206 of the International Emergency Economic Powers Act (50 U.S.C. 1705) (“IEEPA”), which is applicable to violations of the provisions of any license, ruling, regulation, order, directive, or instruction issued by or pursuant to the direction or authorization of the Secretary of the Treasury pursuant to this part or otherwise under IEEPA.

(1) A civil penalty not to exceed the amount set forth in section 206 of IEEPA may be imposed on any person who violates, attempts to violate, conspires to violate, or causes a violation of any license, order, regulation, or prohibition issued under IEEPA.

(2) A person who willfully commits, willfully attempts to commit, or willfully conspires to commit, or aids or abets in the commission of a violation of any license, order, regulation, or prohibition may, upon conviction, be fined not more than $1,000,000, or if a natural person, be imprisoned for not more than 20 years, or both.

(b) Adjustments to penalty amounts. (1) The civil penalties provided in IEEPA

(2) The criminal penalties provided in IEEPA are subject to adjustment pursuant to 18 U.S.C. 3571.

(c) Attention is directed to section 5 of the United Nations Participation Act, as amended (22 U.S.C. 287c(b)) ("UNPA"), which provides that any person who willfully violates or evades or attempts to violate or evade any order, rule, or regulation issued by the President pursuant to the authority granted in that section, upon conviction, shall be fined not more than $10,000 and, if a natural person, may also be imprisoned for not more than 10 years; and the officer, director, or agent of any corporation who knowingly participates in such violation or evasion shall be punished by a like fine, imprisonment, or both and any property, funds, securities, papers, or other articles or documents, or any vessel, together with her tackle, apparel, furniture, and equipment, or vehicle, or aircraft, concerned in such violation shall be forfeited to the United States.

(d) Violations involving transactions described at section 203(b)(1), (3), and (4) of IEEPA shall be subject only to the penalties set forth in paragraph (c) of this section.

(e) Attention is also directed to 18 U.S.C. 1001, which provides that whoever, in any matter within the jurisdiction of the executive, legislative, or judicial branch of the Government of the United States, knowingly and willfully falsifies, conceals, or covers up by any trick, scheme, or device a material fact; makes any materially false, fictitious or fraudulent statement or representation; or makes or uses any false writing or document knowing the same to contain any materially false, fictitious or fraudulent statement or entry; shall be fined under title 18, United States Code, imprisoned not more than five years, or both.

(f) Violations of this part may also be subject to relevant provisions of other applicable laws.

§ 547.702 Pre-Penalty Notice; settlement.

(a) When required. If the Office of Foreign Assets Control has reason to believe that there has occurred a violation of any provision of this part or a violation of the provisions of any license, ruling, regulation, order, direction, or instruction issued by or pursuant to the direction or authorization of the Secretary of the Treasury pursuant to this part or otherwise under IEEPA and determines that a civil monetary penalty is warranted, the Office of Foreign Assets Control will issue a Pre-Penalty Notice informing the alleged violator of the agency's intent to impose a monetary penalty. A Pre-Penalty Notice shall be in writing. The Pre-Penalty Notice may be issued whether or not another agency has taken any action with respect to the matter. For a description of the contents of a Pre-Penalty Notice, see Appendix A to part 501 of this chapter.

(b)(1) Right to respond. An alleged violator has the right to respond to a Pre-Penalty Notice by making a written presentation to the Office of Foreign Assets Control. For a description of the information that should be included in such a response, see Appendix A to part 501 of this chapter.

(b)(2) Deadline for response. A response to a Pre-Penalty Notice must be made within the applicable 30-day period set forth in this paragraph. The failure to submit a response within the applicable time period set forth in this paragraph shall be deemed to be a waiver of the right to respond.

(1) Computation of time for response. A response to a Pre-Penalty Notice must be postmarked or date-stamped by the U.S. Postal Service (or foreign postal service, if mailed abroad) or courier service provider (if transmitted to the Office of Foreign Assets Control by courier) on or before the 30th day after the postmark date on the envelope in which the Pre-Penalty Notice was mailed. If the Pre-Penalty Notice was personally delivered by a non-U.S. Postal Service agent authorized by the Office of Foreign Assets Control, a response must be postmarked or date-stamped on or before the 30th day after the date of delivery.
§ 547.703 Penalty imposition.

If, after considering any written response to the Pre-Penalty Notice and any relevant facts, the Office of Foreign Assets Control determines that there was a violation by the alleged violator named in the Pre-Penalty Notice and that a civil monetary penalty is appropriate, the Office of Foreign Assets Control may issue a Penalty Notice to the violator containing a determination of the violation and the imposition of the monetary penalty. For additional details concerning issuance of a Penalty Notice, see appendix A to part 501 of this chapter. The issuance of the Penalty Notice shall constitute final agency action. The violator has the right to seek judicial review of that final agency action in federal district court.

§ 547.704 Administrative collection; referral to United States Department of Justice.

In the event that the violator does not pay the penalty imposed pursuant to this part or make payment arrangements acceptable to the Director of the Office of Foreign Assets Control, the matter may be referred for administrative collection measures by the Department of the Treasury or to the United States Department of Justice for appropriate action to recover the penalty in a civil suit in a federal district court.

Subpart H—Procedures

§ 547.801 Procedures.

For license application procedures and procedures relating to amendments, modifications, or revocations of licenses; administrative decisions; rulemaking; and requests for documents pursuant to the Freedom of Information and Privacy Acts (5 U.S.C. 552 and 552a), see part 501, subpart E, of this chapter.

§ 547.802 Delegation by the Secretary of the Treasury.

Any action that the Secretary of the Treasury is authorized to take pursuant to Executive Order 13413 of October 27, 2006, and any further Executive orders relating to the national emergency declared in Executive Order 13413, may be taken by the Director of the Office of Foreign Assets Control or by any other person to whom the Secretary of the Treasury has delegated authority so to act.
Office of Foreign Assets Control, Treasury

Subpart I—Paperwork Reduction Act

§ 547.901 Paperwork Reduction Act notice.

For approval by the Office of Management and Budget (“OMB”) under the Paperwork Reduction Act of 1995 (44 U.S.C. 3507) of information collections relating to record keeping and reporting requirements, licensing procedures (including those pursuant to statements of licensing policy), and other procedures, see §501.901 of this chapter. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid control number assigned by OMB.

PART 548—BELARUS SANCTIONS REGULATIONS

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§ 548.101

Relation of this part to other laws and regulations.

This part is separate from, and independent of, the other parts of this chapter, with the exception of part 501 of this chapter, the recordkeeping and reporting requirements and license application and other procedures of which apply to this part. Actions taken pursuant to part 501 of this chapter with respect to the prohibitions contained in this part are considered actions taken pursuant to this part. Differing foreign policy and national security circumstances may result in differing interpretations of similar language among the parts of this chapter. No license or authorization contained in or issued pursuant to those other parts authorizes any transaction prohibited by this part. No license or authorization contained in or issued pursuant to any other provision of law or regulation authorizes any transaction prohibited by this part. No license or authorization contained in or issued pursuant to this part relieves the involved parties from complying with any other applicable laws or regulations.

Subpart B—Prohibitions

§ 548.201 Prohibited transactions involving blocked property.

(a) All property and interests in property that are in the United States, that hereafter come within the United States, or that are or hereafter come within the possession or control of U.S. persons, including their overseas branches, of the following persons are blocked and may not be transferred, paid, exported, withdrawn, or otherwise dealt in:

1. Any person listed in the Annex to Executive Order 13405 of June 16, 2006 (71 FR 35485, June 20, 2006); and

2. Any person determined by the Secretary of the Treasury, after consultation with the Secretary of State:

(i) To be responsible for, or to have participated in, actions or policies that undermine democratic processes or institutions in Belarus;

(ii) To be responsible for, or to have participated in, human rights abuses related to political repression in Belarus;

(iii) To be a senior-level official, a family member of such an official, or a person closely linked to such an official who is responsible for or has engaged in public corruption related to Belarus;

(iv) To have materially assisted, sponsored, or provided financial, material, or technological support for, or goods or services in support of, the activities described in paragraphs (a)(2)(i) through (a)(2)(iii) of this section or any person whose property or interests in property are blocked pursuant to this paragraph (a); or

(v) To be owned or controlled by, or acting or purporting to act for or on behalf of, directly or indirectly, any person whose property or interests in property are blocked pursuant to this paragraph (a).

NOTE 1 TO PARAGRAPH (a) OF § 548.201: The names of persons listed in or designated pursuant to Executive Order 13405, whose property and interests in property are blocked pursuant to paragraph (a) of this section, are published on the Office of Foreign Assets Control’s Specially Designated Nationals and Blocked Persons List ("SDN" list) (which is accessible via the Office of Foreign Assets Control’s Web site), published in the Federal Register, and incorporated into Appendix A to this chapter with the identifier "[BELARUS]." See §548.411 concerning entities that may not be listed on the SDN list but whose property and interests in property are nevertheless blocked pursuant to paragraph (a) of this section.

NOTE 2 TO PARAGRAPH (a) OF § 548.201: The International Emergency Economic Powers Act (50 U.S.C. 1701–1706) ("IEEPA"), in section 203 (50 U.S.C. 1702), explicitly authorizes the blocking of property and interests in property of a person during the pendency of an investigation. The names of persons whose property and interests in property are blocked pending investigation pursuant to this part also are published on the SDN list, published in the Federal Register, and incorporated into Appendix A to this chapter with the identifier "[BPI–BELARUS]."

NOTE 3 TO PARAGRAPH (a) OF § 548.201: Sections 501.806 and 501.807 of this chapter describe the procedures to be followed by persons seeking, respectively, the unblocking of funds that they believe were blocked due to...
§ 548.202 Effect of transfers violating the provisions of this part.

(a) Any transfer after the effective date that is in violation of any provision of this part or of any regulation, order, directive, ruling, instruction, or license issued pursuant to this part, and that involves any property or interest in property blocked pursuant to §548.201(a), is null and void and shall not be the basis for the assertion or recognition of any interest in or right, remedy, power, or privilege with respect to such property or property interests.

(b) No transfer before the effective date shall be the basis for the assertion or recognition of any right, remedy, power, or privilege with respect to, or any interest in, any property or interest in property blocked pursuant to §548.201(a), unless the person who holds or maintains such property, prior to that date, had written notice of the transfer or by any written evidence had recognized such transfer.

(c) Unless otherwise provided, an appropriate license or other authorization issued by the Office of Foreign Assets Control before, during, or after a transfer shall validate such transfer or make it enforceable to the same extent that it would be valid or enforceable but for the provisions of IEEPA, Executive Order 13405, this part, and any regulation, order, directive, ruling, instruction, or license issued pursuant to this part.

(d) Transfers of property that otherwise would be null and void or unenforceable by virtue of the provisions of this section shall not be deemed to be null and void or unenforceable as to any person with whom such property is or was held or maintained (and as to such person only) in cases in which such person is able to establish to the satisfaction of the Office of Foreign Assets Control each of the following:

(1) Such transfer did not represent a willful violation of the provisions of this part by the person with whom such property is or was held or maintained (and as to such person only);

(2) The person with whom such property is or was held or maintained did not have reasonable cause to know or suspect, in view of all the facts and circumstances known or available to such person.
person, that such transfer required a license or authorization issued pursuant to this part and was not so licensed or authorized, or, if a license or authorization did purport to cover the transfer, that such license or authorization had been obtained by misrepresentation of a third party or withholding of material facts or was otherwise fraudulently obtained; and

(3) The person with whom such property is or was held or maintained filed with the Office of Foreign Assets Control a report setting forth in full the circumstances relating to such transfer promptly upon discovery that:

(i) Such transfer was in violation of the provisions of this part or any regulation, ruling, instruction, license, or other directive or authorization issued pursuant to this part;

(ii) Such transfer was not licensed or authorized by the Office of Foreign Assets Control; or

(iii) If a license did purport to cover the transfer, such license had been obtained by misrepresentation of a third party or withholding of material facts or was otherwise fraudulently obtained.

NOTE TO PARAGRAPH (d) OF §548.202: The filing of a report in accordance with the provisions of paragraph (d)(3) of this section shall not be deemed evidence that the terms of paragraphs (d)(1) and (d)(2) of this section have been satisfied.

(e) Unless licensed pursuant to this part, any attachment, judgment, decree, lien, execution, garnishment, or other judicial process is null and void with respect to any property in which, on or since the effective date, there existed an interest of a person whose property and interests in property are blocked pursuant to §548.201(a).

§548.203 Holding of funds in interest-bearing accounts; investment and reinvestment.

(a) Except as provided in paragraphs (c) or (d) of this section, or as otherwise directed by the Office of Foreign Assets Control, any U.S. person holding funds, such as currency, bank deposits, or liquidated financial obligations, subject to §548.201(a) shall hold or place such funds in a blocked interest-bearing account located in the United States.

(b)(1) For purposes of this section, the term blocked interest-bearing account means a blocked account:

(i) In a federally-insured U.S. bank, thrift institution, or credit union, provided the funds are earning interest at rates that are commercially reasonable; or

(ii) With a broker or dealer registered with the Securities and Exchange Commission under the Securities Exchange Act of 1934 (15 U.S.C. 78a et seq.), provided the funds are invested in a money market fund or in U.S. Treasury bills.

(2) For purposes of this section, a rate is commercially reasonable if it is the rate currently offered to other depositors on deposits or instruments of comparable size and maturity.

(3) Funds held or placed in a blocked account pursuant to this paragraph (b) may not be invested in instruments the maturity of which exceeds 180 days. If interest is credited to a separate blocked account or subaccount, the name of the account party on each account must be the same.

(c) Blocked funds held in instruments the maturity of which exceeds 180 days at the time the funds become subject to §548.201(a) may continue to be held until maturity in the original instrument, provided any interest, earnings, or other proceeds derived therefrom are paid into a blocked interest-bearing account in accordance with paragraphs (b) or (d) of this section.

(d) Blocked funds held in accounts or instruments outside the United States at the time the funds become subject to §548.201(a) may continue to be held in the same type of accounts or instruments, provided the funds earn interest at rates that are commercially reasonable.

(e) This section does not create an affirmative obligation for the holder of blocked tangible property, such as chattels or real estate, or of other blocked property, such as debt or equity securities, to sell or liquidate such property. However, the Office of Foreign Assets Control may issue licenses permitting or directing such sales or liquidation in appropriate cases.

(f) Funds subject to this section may not be held, invested, or reinvested in a manner that provides immediate financial or economic benefit or access to
any person whose property and interests in property are blocked pursuant to §548.201(a), nor may their holder cooperate in or facilitate the pledging or other attempted use as collateral of blocked funds or other assets.

§ 548.204 Expenses of maintaining blocked physical property; liquidation of blocked property.

(a) Except as otherwise authorized, and notwithstanding the existence of any rights or obligations conferred or imposed by any international agreement or contract entered into or any license or permit granted prior to the effective date, all expenses incident to the maintenance of physical property blocked pursuant to §548.201(a) shall be the responsibility of the owners or operators of such property, which expenses shall not be met from blocked funds.

(b) Property blocked pursuant to §548.201(a) may, in the discretion of the Office of Foreign Assets Control, be sold or liquidated and the net proceeds placed in a blocked interest-bearing account in the name of the owner of the property.

§ 548.205 Evasions; attempts; conspiracies.

(a) Except as otherwise authorized, and notwithstanding any contract entered into or any license or permit granted prior to the effective date, any transaction by a U.S. person or within the United States on or after the effective date that evades or avoids, has the purpose of evading or avoiding, or attempts to violate any of the prohibitions set forth in this part is prohibited.

(b) Except as otherwise authorized, and notwithstanding any contract entered into or any license or permit granted prior to the effective date, any conspiracy formed to violate the prohibitions set forth in this part is prohibited.

§ 548.206 Exempt transactions.

(a) Personal communications. The prohibitions contained in this part do not apply to any postal, telegraphic, telephonic, or other personal communication that does not involve the transfer of anything of value.

(b) Information or informational materials. (1) The importation from any country and the exportation to any country of any information or informational materials, as defined in §548.304, whether commercial or otherwise, regardless of format or medium of transmission, are exempt from the prohibitions of this part.

(2) This section does not exempt from regulation or authorize transactions related to information or informational materials not fully created and in existence at the date of the transactions, or to the substantive or artistic alteration or enhancement of informational materials, or to the provision of marketing and business consulting services. Such prohibited transactions include, but are not limited to, payment of advances for information or informational materials not yet created and completed (with the exception of prepaid subscriptions for widely circulated magazines and other periodical publications); provision of services to market, produce or co-produce, create, or assist in the creation of information or informational materials; and, with respect to information or informational materials imported from persons whose property and interests in property are blocked pursuant to §548.201(a), payment of royalties with respect to income received for enhancements or alterations made by U.S. persons to such information or informational materials.

(3) This section does not exempt or authorize transactions incident to the exportation of software subject to the Export Administration Regulations, 15 CFR parts 730–774, or to the exportation of goods, technology, or software for use in the transmission of any data, or to the provision, sale, or leasing of capacity on telecommunications transmission facilities (such as satellite or terrestrial network connectivity) for use in the transmission of any data. The exportation of such items or services and the provision, sale, or leasing of such capacity or facilities to a person whose property and interests in property are blocked pursuant to §548.201(a) are prohibited.

(c) Travel. The prohibitions contained in this part do not apply to any transactions ordinarily incident to travel to
or from any country, including importation of accompanied baggage for personal use, maintenance within any country including payment of living expenses and acquisition of goods or services for personal use, and arrangement or facilitation of such travel including nonscheduled air, sea, or land voyages.

Subpart C—General Definitions

§ 548.301 Blocked account; blocked property.

The terms blocked account and blocked property shall mean any account or property subject to the prohibitions in §548.201 held in the name of a person whose property and interests in property are blocked pursuant to §548.201(a), or in which such person has an interest, and with respect to which payments, transfers, exportations, withdrawals, or other dealings may not be made or effected except pursuant to an authorization or license from the Office of Foreign Assets Control expressly authorizing such action.

NOTE TO § 548.301: See §548.411 concerning the blocked status of property and interests in property of an entity that is 50 percent or more owned by a person whose property and interests in property are blocked pursuant to §548.201(a).

§ 548.302 Effective date.

The term effective date refers to the effective date of the applicable prohibitions and directives contained in this part as follows:

(a) With respect to a person whose property and interests in property are blocked pursuant to §548.201(a)(1), 12:01 a.m. eastern daylight time on June 19, 2006; and

(b) With respect to a person whose property and interests in property are otherwise blocked pursuant to §548.201(a), the earlier of the date of actual or constructive notice that such person's property and interests in property are blocked.

§ 548.303 Entity.

The term entity means a partnership, association, trust, joint venture, corporation, group, subgroup, or other organization.

§ 548.304 Information or informational materials.

(a) For purposes of this part, the term information or informational materials includes, but is not limited to, publications, films, posters, phonograph records, photographs, microfilms, microfiche, tapes, compact disks, CD–ROMs, artworks, and news wire feeds.

NOTE TO PARAGRAPH (a) OF §548.304: To be considered information or informational materials, artworks must be classified under chapter heading 9701, 9702, or 9703 of the Harmonized Tariff Schedule of the United States.

(b) The term information or informational materials, with respect to United States exports, does not include items:

(1) That were, as of April 30, 1994, or that thereafter become, controlled for export pursuant to section 5 of the Export Administration Act of 1979, 50 U.S.C. App. 2401–2420 (the “EAA”), or section 6 of the EAA to the extent that such controls promote the nonproliferation or antiterrorism policies of the United States; or

(2) With respect to which acts are prohibited by 18 U.S.C. chapter 37.

§ 548.305 Interest.

Except as otherwise provided in this part, the term interest, when used with respect to property (e.g., "an interest in property"), means an interest of any nature whatsoever, direct or indirect.

§ 548.306 Licenses; general and specific.

(a) Except as otherwise specified, the term license means any license or authorization contained in or issued pursuant to this part.

(b) The term general license means any license or authorization the terms of which are set forth in subpart E of this part.

(c) The term specific license means any license or authorization not set forth in subpart E of this part but issued pursuant to this part.

NOTE TO §548.306: See §501.801 of this chapter on licensing procedures.

§ 548.307 Person.

The term person means an individual or entity.
§ 548.308 Property; property interest.

The terms property and property interest include, but are not limited to, money, checks, drafts, bullion, bank deposits, savings accounts, debts, indebtedness, obligations, notes, guaranties, debentures, stocks, bonds, coupons, any other financial instruments, bankers’ acceptances, mortgages, pledges, liens or other rights in the nature of security, warehouse receipts, bills of lading, trust receipts, bills of sale, any other evidences of title, ownership or indebtedness, letters of credit and any documents relating to any rights or obligations thereunder, powers of attorney, goods, wares, merchandize, chattels, stocks on hand, ships, goods on ships, real estate mortgages, deeds of trust, vendors’ sales agreements, land contracts, leaseholds, ground rents, real estate and any other interest therein, options, negotiable instruments, trade acceptances, royalties, book accounts, accounts payable, judgments, patents, trademarks or copyrights, insurance policies, safe deposit boxes and their contents, annuities, pooling agreements, services of any nature whatsoever, any other property, real, personal, or mixed, tangible or intangible, or interest or interests therein, present, future, or contingent.

§ 548.309 Transfer.

The term transfer means any actual or purported act or transaction, whether or not evidenced by writing, and whether or not done or performed within the United States, the purpose, intent, or effect of which is to create, surrender, release, convey, transfer, or alter, directly or indirectly, any right, remedy, power, privilege, or interest with respect to any property. Without limitation on the foregoing, it shall include the making, execution, or delivery of any assignment, power, conveyance, check, declaration, deed, deed of trust, power of attorney, power of appointment, bill of sale, mortgage, receipt, agreement, contract, certificate, gift, sale, affidavit, or statement; the making of any payment; the setting off of any obligation or credit; the appointment of an agent, trustee, or fiduciary; the creation or transfer of any lien; the issuance, docketing, filing, or levy of or under any judgment, decree, attachment, injunction, execution, or other judicial or administrative process or order, or the service of any garnishment; the acquisition of any interest of any nature whatsoever by reason of a judgment or decree of any foreign country; the fulfillment of any condition; the exercise of any power of appointment, power of attorney, or other power; or the acquisition, disposition, transportation, importation, exportation, or withdrawal of any security.

§ 548.310 United States.

The term United States means the United States, its territories and possessions, and all areas under the jurisdiction or authority thereof.

§ 548.311 U.S. financial institution.

The term U.S. financial institution means any U.S. entity (including its foreign branches) that is engaged in the business of accepting deposits, making, granting, transferring, holding, or brokering loans or credits, or purchasing or selling foreign exchange, securities, commodity futures or options, or procuring purchasers and sellers thereof, as principal or agent. It includes but is not limited to depository institutions, banks, savings banks, trust companies, securities brokers and dealers, commodity futures and options brokers and dealers, forward contract and foreign exchange merchants, securities and commodities exchanges, clearing corporations, investment companies, employee benefit plans, and U.S. holding companies, U.S. affiliates, or U.S. subsidiaries of any of the foregoing. This term includes those branches, offices, and agencies of foreign financial institutions that are located in the United States, but not such institutions’ foreign branches, offices, or agencies.

§ 548.312 United States person; U.S. person.

The term United States person or U.S. person means any United States citizen, permanent resident alien, entity organized under the laws of the United States or any jurisdiction within the United States (including foreign
§ 548.313 Financial, material, or technological support.

The term financial, material, or technological support, as used in §548.201(a)(2)(iv) of this part, means any property, tangible or intangible, including but not limited to currency, financial instruments, securities, or any other transmission of value; weapons or related materiel; chemical or biological agents; explosives; false documentation or identification; communications equipment; computers; electronic or other devices or equipment; technologies; lodging; safe houses; facilities; vehicles or other means of transportation; or goods. "Technologies" as used in this definition means specific information necessary for the development, production, or use of a product, including related technical data such as blueprints, plans, diagrams, models, formulae, tables, engineering designs and specifications, manuals, or other recorded instructions.

Subpart D—Interpretations

§ 548.401 Reference to amended sections.

Except as otherwise specified, reference to any provision in or appendix to this part or chapter or to any regulation, ruling, order, instruction, directive, or license issued pursuant to this part refers to the same as currently amended.

§ 548.402 Effect of amendment.

Unless otherwise specifically provided, any amendment, modification, or revocation of any provision in or appendix to this part or chapter or of any order, regulation, ruling, instruction, or license issued by the Office of Foreign Assets Control does not affect any act done or omitted, or any civil or criminal proceeding commenced or pending, prior to such amendment, modification, or revocation. All penalties, forfeitures, and liabilities under any such order, regulation, ruling, instruction, or license continue and may be enforced as if such amendment, modification, or revocation had not been made.

§ 548.403 Termination and acquisition of an interest in blocked property.

(a) Whenever a transaction licensed or authorized by or pursuant to this part results in the transfer of property (including any property interest) away from a person, such property shall no longer be deemed to be property blocked pursuant to §548.201(a), unless there exists in the property another interest that is blocked pursuant to §548.201(a) or any other part of this chapter, the transfer of which has not been effected pursuant to license or other authorization.

(b) Unless otherwise specifically provided in a license or authorization issued pursuant to this part, if property (including any property interest) is transferred or attempted to be transferred to a person whose property and interests in property are blocked pursuant to §548.201(a), such property shall be deemed to be property in which that person has an interest and therefore blocked.

§ 548.404 Transactions ordinarily incident to a licensed transaction.

Any transaction ordinarily incident to a licensed transaction and necessary to give effect thereto is also authorized, except:

(a) An ordinarily incident transaction, not explicitly authorized within the terms of the license, by or with a person whose property and interests in property are blocked pursuant to §548.201(a); or

(b) An ordinarily incident transaction, not explicitly authorized within the terms of the license, involving a debit to a blocked account or a transfer of blocked property.

(c) Example. A license authorizing Company A, whose property and interests in property are blocked pursuant to §548.201(a), to complete a securities sale also authorizes all activities by other parties required to complete the sale, including transactions by the buyer, broker, transfer agents, banks, etc., provided that such other parties are not themselves persons whose property and interests in property are blocked pursuant to §548.201(a).
§ 548.405 Provision of services.

(a) Except as provided in §548.206, the prohibitions on transactions involving blocked property contained in §548.201 apply to services performed in the United States or by U.S. persons, wherever located, including by an overseas branch of an entity located in the United States:

(1) On behalf of or for the benefit of a person whose property and interests in property are blocked pursuant to §548.201(a); or

(2) With respect to property interests subject to §548.201.

(b) Example. U.S. persons may not, except as authorized by or pursuant to this part, provide legal, accounting, financial, brokering, freight forwarding, transportation, public relations, or other services to a person whose property and interests in property are blocked pursuant to §548.201(a).

NOTE TO §548.405: See §§548.507 and 548.508 on licensing policy with regard to the provision of certain legal and medical services.

§ 548.406 Offshore transactions.

The prohibitions in §548.201 on transactions or dealings involving blocked property apply to transactions by any U.S. person in a location outside the United States with respect to property held in the name of a person whose property and interests in property are blocked pursuant to §548.201(a), or property in which a person whose property and interests in property are blocked pursuant to §548.201(a) has or has had an interest since the effective date.

§ 548.407 Payments from blocked accounts to satisfy obligations prohibited.

Pursuant to §548.201, no debits may be made to a blocked account to pay obligations to U.S. persons or other persons, except as authorized by or pursuant to this part.

§ 548.408 Charitable contributions.

Unless specifically authorized by the Office of Foreign Assets Control pursuant to this part, no charitable contribution of funds, goods, services, or technology, including contributions to relieve human suffering, such as food, clothing or medicine, may be made by, to, or for the benefit of, or received from, a person whose property and interests in property are blocked pursuant to §548.201(a). For the purposes of this part, a contribution is made by, to, or for the benefit of, or received from, a person whose property and interests in property are blocked pursuant to §548.201(a) if made by, to, or in the name of, or received from or in the name of, such a person; if made by, to, or in the name of, or received from or in the name of, an entity or individual acting for or on behalf of, or owned or controlled by, such a person; or if made in an attempt to violate, to evade, or to avoid the bar on the provision of contributions by, to, or for the benefit of such a person, or the receipt of contributions from any such person.

§ 548.409 Credit extended and cards issued by U.S. financial institutions.

The prohibition in §548.201 on dealing in property subject to that section prohibits U.S. financial institutions from performing under any existing credit agreements, including, but not limited to, charge cards, debit cards, or other credit facilities issued by a U.S. financial institution to a person whose property and interests in property are blocked pursuant to §548.201(a).

§ 548.410 Setoffs prohibited.

A setoff against blocked property (including a blocked account), whether by a U.S. bank or other U.S. person, is a prohibited transfer under §548.201 if effected after the effective date.

§ 548.411 Entities owned by a person whose property and interests in property are blocked.

A person whose property and interests in property are blocked pursuant to §548.201(a) has an interest in all property and interests in property of an entity in which it owns, directly or indirectly, a 50 percent or greater interest. The property and interests in property of such an entity, therefore, are blocked, and such an entity is a person whose property and interests in property are blocked pursuant to §548.201(a), regardless of whether the entity itself is listed in the Annex to
Subpart E—Licenses, Authorizations, and Statements of Licensing Policy

§ 548.501 General and specific licensing procedures.

For provisions relating to licensing procedures, see part 501, subpart E of this chapter. Licensing actions taken pursuant to part 501 of this chapter with respect to the prohibitions contained in this part are considered actions taken pursuant to this part.

§ 548.502 Effect of license or authorization.

(a) No license or other authorization contained in this part, or otherwise issued by the Office of Foreign Assets Control, authorizes or validates any transaction effected prior to the issuance of such license or other authorization, unless specifically provided in such license or authorization.

(b) No regulation, ruling, instruction, or license authorizes any transaction prohibited under this part unless the regulation, ruling, instruction, or license is issued by the Office of Foreign Assets Control and specifically refers to this part. No regulation, ruling, instruction, or license referring to this part shall be deemed to authorize any transaction prohibited by any other part of this chapter unless the regulation, ruling, instruction, or license specifically refers to such part.

(c) Any regulation, ruling, instruction, or license authorizing any transaction otherwise prohibited under this part has the effect of removing a prohibition contained in this part from the transaction, but only to the extent specifically stated by its terms. Unless the regulation, ruling, instruction, or license otherwise specifies, such an authorization does not create any right, duty, obligation, claim, or interest in, or with respect to, any property which would not otherwise exist under ordinary principles of law.

§ 548.503 Exclusion from licenses.

The Office of Foreign Assets Control reserves the right to exclude any person, property, or transaction from the operation of any license or from the privileges conferred by any license. The Office of Foreign Assets Control also reserves the right to restrict the applicability of any license to particular persons, property, transactions, or classes thereof. Such actions are binding upon actual or constructive notice of the exclusions or restrictions.

§ 548.504 Payments and transfers to blocked accounts in U.S. financial institutions.

Any payment of funds or transfer of credit in which a person whose property and interests in property are blocked pursuant to §548.201(a) has any interest that comes within the possession or control of a U.S. financial institution must be blocked in an account on the books of that financial institution. A transfer of funds or credit by a U.S. financial institution between blocked accounts in its branches or offices is authorized, provided that no transfer is made from an account within the United States to an account held outside the United States, and further provided that a transfer from a blocked account may be made only to another blocked account held in the same name.

Note to §548.504: See §501.603 of this chapter for mandatory reporting requirements regarding financial transfers. See also §548.203 concerning the obligation to hold blocked funds in interest-bearing accounts.

§ 548.505 Entries in certain accounts for normal service charges authorized.

(a) A U.S. financial institution is authorized to debit any blocked account held at that financial institution in payment or reimbursement for normal service charges owed it by the owner of that blocked account.

(b) As used in this section, the term normal service charges shall include charges in payment or reimbursement for interest due; cable, telegraph, internet, or telephone charges; postage costs; custody fees; small adjustment charges to correct bookkeeping errors; and, but not by way of limitation, minimum balance charges, notary and protest fees, and charges for reference books, photocopies, credit reports, transcripts of statements, registered
Office of Foreign Assets Control, Treasury § 548.509

§ 548.506 Investment and reinvestment of certain funds.

Subject to the requirements of § 548.203, U.S. financial institutions are authorized to invest and reinvest assets blocked pursuant to § 548.201, subject to the following conditions:

(a) The assets representing such investments and reinvestments are credited to a blocked account or subaccount that is held in the same name at the same U.S. financial institution, or within the possession or control of a U.S. person, but funds shall not be transferred outside the United States for this purpose;

(b) The proceeds of such investments and reinvestments shall not be credited to a blocked account or subaccount under any name or designation that differs from the name or designation of the specific blocked account or subaccount in which such funds or securities were held; and

(c) No immediate financial or economic benefit accrues (e.g., through pledging or other use) to a person whose property and interests in property are blocked pursuant to § 548.201(a).

§ 548.507 Provision of certain legal services authorized.

(a) The provision of the following legal services to or on behalf of persons whose property and interests in property are blocked pursuant to § 548.201(a) is authorized, provided that all receipts of payment of professional fees and reimbursement of incurred expenses must be specifically licensed:

(1) Provision of legal advice and counseling on the requirements of and compliance with the laws of the United States or any jurisdiction within the United States, provided that such advice and counseling are not provided to facilitate transactions in violation of this part;

(2) Representation of persons named as defendants in or otherwise made parties to domestic U.S. legal, arbitration, or administrative proceedings;

(3) Initiation and conduct of domestic U.S. legal, arbitration, or administrative proceedings in defense of property interests subject to U.S. jurisdiction;

(4) Representation of persons before any federal or state agency with respect to the imposition, administration, or enforcement of U.S. sanctions against such persons; and

(5) Provision of legal services in any other context in which prevailing U.S. law requires access to legal counsel at public expense.

(b) The provision of any other legal services to persons whose property and interests in property are blocked pursuant to § 548.201(a), not otherwise authorized in this part, requires the issuance of a specific license.

(c) Entry into a settlement agreement or the enforcement of any lien, judgment, arbitral award, decree, or other order through execution, garnishment, or other judicial process purporting to transfer or otherwise alter or affect property or interests in property blocked pursuant to § 548.201(a) is prohibited unless licensed pursuant to this part.

§ 548.508 Authorization of emergency medical services.

The provision of nonscheduled emergency medical services in the United States to persons whose property and interests in property are blocked pursuant to § 548.201(a) is authorized, provided that all receipt of payment for such services must be specifically licensed.

§ 548.509 Transactions with certain blocked persons authorized.

(a) Except as provided in paragraph (b), U.S. persons are authorized to engage in all transactions otherwise prohibited by this part with Lakokraska OAO and/or Polotsk Steklovolokno OAO, entities whose property and interests in property are blocked pursuant to § 548.201(a), until May 31, 2010.

(b) Unless otherwise authorized pursuant to this part, all property and interests in property of Lakokraska OAO or Polotsk Steklovolokno OAO that were blocked pursuant to Executive Order 13405 prior to September 4, 2008, remain blocked and subject to the prohibitions of this part. This section does not authorize U.S. persons to procure goods, services, or technology from, or
engage in transactions with, any other blocked person, directly or indirectly, through Lakokraska OAO and/or Polotosk Steklovolokno OAO.

Subpart F—Reports

§ 548.601 Records and reports.

For provisions relating to required records and reports, see part 501, subpart C, of this chapter. Recordkeeping and reporting requirements imposed by part 501 of this chapter with respect to the prohibitions contained in this part are considered requirements arising pursuant to this part.

Subpart G—Penalties

§ 548.701 Penalties.

(a) Attention is directed to section 206 of the International Emergency Economic Powers Act (50 U.S.C. 1706) ("IEEPA"), which is applicable to violations of the provisions of any license, ruling, regulation, order, directive, or instruction issued by or pursuant to the direction or authorization of the Secretary of the Treasury pursuant to this part or otherwise under IEEPA.

(1) A civil penalty not to exceed the amount set forth in section 206 of IEEPA may be imposed on any person who violates, attempts to violate, conspires to violate, or causes a violation of any license, order, regulation, or prohibition issued under IEEPA.

NOTE TO PARAGRAPH (a)(1) OF § 548.701: As of the date of publication in the FEDERAL REGISTER of the final rule adding this part to 31 CFR chapter V (February 3, 2010), IEEPA provides for a maximum civil penalty not to exceed the greater of $250,000 or an amount that is twice the amount of the transaction that is the basis of the violation with respect to which the penalty is imposed.

(2) A person who willfully commits, willfully attempts to commit, or willfully conspires to commit, or aids or abets in the commission of a violation of any license, order, regulation, or prohibition may, upon conviction, be fined not more than $1,000,000, or if a natural person, be imprisoned for not more than 20 years, or both.

(b) Adjustments to penalty amounts. (1) The civil penalties provided in IEEPA are subject to adjustment pursuant to the Federal Civil Penalties Inflation Adjustment Act of 1990 (Pub. L. 101–410, as amended, 28 U.S.C. 2461 note).

(2) The criminal penalties provided in IEEPA are subject to adjustment pursuant to 18 U.S.C. 3571.

(c) Attention is also directed to 18 U.S.C. 1001, which provides that whoever, in any matter within the jurisdiction of the executive, legislative, or judicial branch of the Government of the United States, knowingly and willfully falsifies, conceals, or covers up by any trick, scheme, or device a material fact; makes any materially false, fictitious, or fraudulent statement or representation; or makes or uses any false writing or document knowing the same to contain any materially false, fictitious, or fraudulent statement or entry shall be fined under title 18, United States Code, imprisoned, or both.

(d) Violations of this part may also be subject to relevant provisions of other applicable laws.

§ 548.702 Pre-Penalty Notice; settlement.

(a) When required. If the Office of Foreign Assets Control has reason to believe that there has occurred a violation of any provision of this part or a violation of the provisions of any license, ruling, regulation, order, direction, or instruction issued by or pursuant to the direction or authorization of the Secretary of the Treasury pursuant to this part or otherwise under IEEPA and determines that a civil monetary penalty is warranted, the Office of Foreign Assets Control will issue a Pre-Penalty Notice informing the alleged violator of the agency's intent to impose a monetary penalty. A Pre-Penalty Notice shall be in writing. The Pre-Penalty Notice may be issued whether or not another agency has taken any action with respect to the matter. For a description of the contents of a Pre-Penalty Notice, see appendix A to part 501 of this chapter.

(b) Right to respond. An alleged violator has the right to respond to a Pre-Penalty Notice by making a written presentation to the Office of Foreign Assets Control. For a description of the information that should be included in such a response, see Appendix A to part 501 of this chapter.
(2) Deadline for response. A response to a Pre-Penalty Notice must be made within the applicable 30-day period set forth in this paragraph. The failure to submit a response within the applicable time period set forth in this paragraph shall be deemed to be a waiver of the right to respond.

(i) Computation of time for response. A response to a Pre-Penalty Notice must be postmarked or date-stamped by the U.S. Postal Service (or foreign postal service, if mailed abroad) or courier service provider (if transmitted to the Office of Foreign Assets Control by courier) on or before the 30th day after the postmark date on the envelope in which the Pre-Penalty Notice was mailed. If the Pre-Penalty Notice was personally delivered by a non-U.S. Postal Service agent authorized by the Office of Foreign Assets Control, a response must be postmarked or date-stamped on or before the 30th day after the date of delivery.

(ii) Extensions of time for response. If a due date falls on a federal holiday or weekend, that due date is extended to include the following business day. Any other extensions of time will be granted, at the discretion of the Office of Foreign Assets Control, only upon specific request to the Office of Foreign Assets Control.

(3) Form and method of response. A response to a Pre-Penalty Notice need not be in any particular form, but it must be typewritten and signed by the alleged violator or a representative thereof, must contain information sufficient to indicate that it is in response to the Pre-Penalty Notice, and must include the Office of Foreign Assets Control identification number listed on the Pre-Penalty Notice. A copy of the written response may be sent by facsimile, but the original also must be sent to the Office of Foreign Assets Control Civil Penalties Division by mail or courier and must be postmarked or date-stamped in accordance with paragraph (b)(2) of this section.

(c) Settlement. Settlement discussion may be initiated by the Office of Foreign Assets Control, the alleged violator, or the alleged violator’s authorized representative. For a description of practices with respect to settlement, see appendix A to part 501 of this chapter.

(d) Guidelines. Guidelines for the imposition or settlement of civil penalties by the Office of Foreign Assets Control are contained in Appendix A to part 501 of this chapter.

(e) Representation. A representative of the alleged violator may act on behalf of the alleged violator, but any oral communication with the Office of Foreign Assets Control prior to a written submission regarding the specific allegations contained in the Pre-Penalty Notice must be preceded by a written letter of representation, unless the Pre-Penalty Notice was served upon the alleged violator in care of the representative.

§ 548.703 Penalty imposition.

If, after considering any written response to the Pre-Penalty Notice and any relevant facts, the Office of Foreign Assets Control determines that there was a violation by the alleged violator named in the Pre-Penalty Notice and that a civil monetary penalty is appropriate, the Office of Foreign Assets Control may issue a Penalty Notice to the violator containing a determination of the violation and the imposition of the monetary penalty. For additional details concerning issuance of a Penalty Notice, see appendix A to part 501 of this chapter. The issuance of the Penalty Notice shall constitute final agency action. The violator has the right to seek judicial review of that final agency action in federal district court.

§ 548.704 Administrative collection; referral to United States Department of Justice.

In the event that the violator does not pay the penalty imposed pursuant to this part or make payment arrangements acceptable to the Office of Foreign Assets Control, the matter may be referred for administrative collection measures by the Department of the Treasury or to the United States Department of Justice for appropriate action to recover the penalty in a civil suit in a Federal district court.
§ 548.801 Subpart H—Procedures

§ 548.801 Procedures.

For license application procedures and procedures relating to amendments, modifications, or revocations of licenses; administrative decisions; rulemaking; and requests for documents pursuant to the Freedom of Information and Privacy Acts (5 U.S.C. 552 and 552a), see part 501, subpart E, of this chapter.

§ 548.802 Delegation by the Secretary of the Treasury.

Any action that the Secretary of the Treasury is authorized to take pursuant to Executive Order 13405 of June 16, 2006 (71 FR 35485, June 20, 2006), and any further Executive orders relating to the national emergency declared therein, may be taken by the Director of the Office of Foreign Assets Control or by any other person to whom the Secretary of the Treasury has delegated authority so to act.

Subpart I—Paperwork Reduction Act

§ 548.901 Paperwork Reduction Act notice.

For approval by the Office of Management and Budget (“OMB”) under the Paperwork Reduction Act of 1995 (44 U.S.C. 3507) of information collections relating to recordkeeping and reporting requirements, licensing procedures (including those pursuant to statements of licensing policy), and other procedures, see §501.901 of this chapter. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid control number assigned.

PART 551—SOMALIA SANCTIONS REGULATIONS

Subpart A—Relation of This Part to Other Laws and Regulations

Sec. 551.101 Relation of this part to other laws and regulations.

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551.203 Holding of funds in interest-bearing accounts; investment and reinvestment.

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Subpart H—Procedures

551.801 [Reserved]

551.802 Delegation by the Secretary of the Treasury.

Subpart I—Paperwork Reduction Act

551.901 Paperwork Reduction Act notice.

APPENDIX A TO PART 551—EXECUTIVE ORDER 13336


SOURCE: 75 FR 24395, May 5, 2010, unless otherwise noted.
Subpart A—Relation of This Part to Other Laws and Regulations

§ 551.101 Relation of this part to other laws and regulations.

This part is separate from, and independent of, the other parts of this chapter, with the exception of part 501 of this chapter, the recordkeeping and reporting requirements and license application and other procedures of which apply to this part. Actions taken pursuant to part 501 of this chapter with respect to the prohibitions contained in this part are considered actions taken pursuant to this part. Differing foreign policy and national security circumstances may result in differing interpretations of similar language among the parts of this chapter. No license or authorization contained in or issued pursuant to those other parts authorizes any transaction prohibited by this part. No license or authorization contained in or issued pursuant to any other provision of law or regulation authorizes any transaction prohibited by this part. No license or authorization contained in or issued pursuant to any other applicable laws or regulations.

NOTE TO § 551.101: This part has been published in abbreviated form for the purpose of providing immediate guidance to the public. OFAC intends to supplement this part with a more comprehensive set of regulations, which may include additional interpretive and definitional guidance and additional general licenses and statements of licensing policy.

Subpart B—Prohibitions

§ 551.201 Prohibited transactions.

All transactions prohibited pursuant to Executive Order 13536 are also prohibited pursuant to this part.

NOTE 1 TO § 551.201: The names of persons listed in or designated pursuant to Executive Order 13536, whose property and interests in property are blocked pursuant to this section, are published on the Office of Foreign Assets Control’s Specially Designated Nationals and Blocked Persons List (“SDN” list) (which is accessible via the Office of Foreign Assets Control’s Web site), published in the FEDERAL REGISTER, and incorporated into Appendix A to this chapter with the identifier “[SOMALIA].” See §551.406 concerning entities that may not be listed on the SDN list but whose property and interests in property are nevertheless blocked pursuant to this section.

NOTE 2 TO § 551.201: Section 203 of the International Emergency Economic Powers Act (50 U.S.C. 1701–1706) (‘‘IEEPA’’) explicitly authorizes the blocking of property and interests in property of a person during the pendency of an investigation. The names of persons whose property and interests in property are blocked pending investigation pursuant to this part also are published on the SDN list, published in the FEDERAL REGISTER, and incorporated into Appendix A to this chapter with the identifier “[BPI–SOMALIA].”

NOTE 3 TO § 551.201: Sections 501.806 and 501.807 of this chapter describe the procedures to be followed by persons seeking, respectively, the unblocking of funds that they believe were blocked due to mistaken identity, or administrative reconsideration of their status as persons whose property and interests in property are blocked pursuant to this section.

§ 551.202 Effect of transfers violating the provisions of this part.

(a) Any transfer after the effective date that is in violation of any provision of this part or of any regulation, order, directive, ruling, instruction, or license issued pursuant to this part, and that involves any property or interest in property blocked pursuant to §551.201, is null and void and shall not be the basis for the assertion or recognition of any interest in or right, remedy, power, or privilege with respect to such property or property interests.

(b) No transfer before the effective date shall be the basis for the assertion or recognition of any right, remedy, power, or privilege with respect to, or any interest in, any property or interest in property blocked pursuant to §551.201, unless the person who holds or maintains such property, prior to that date, had written notice of the transfer or by any written evidence had recognized such transfer.

(c) Unless otherwise provided, an appropriate license or other authorization issued by the Office of Foreign Assets Control before, during, or after a transfer shall validate such transfer or make it enforceable to the same extent that it would be valid or enforceable.
§ 551.203 Holding of funds in interest-bearing accounts; investment and reinvestment.

(a) Except as provided in paragraphs (c) or (d) of this section, or as otherwise directed by the Office of Foreign Assets Control, any U.S. person holding funds, such as currency, bank deposits, or liquidated financial obligations, subject to §551.201 shall hold or place such funds in a blocked interest-bearing account located in the United States.

(b)(1) For purposes of this section, the term blocked interest-bearing account means a blocked account:

(i) In a federally-insured U.S. bank, thrift institution, or credit union, provided the funds are earning interest at rates that are commercially reasonable; or
(ii) With a broker or dealer registered with the Securities and Exchange Commission under the Securities Exchange Act of 1934 (15 U.S.C. 78a et seq.), provided the funds are invested in a money market fund or in U.S. Treasury bills.

(2) For purposes of this section, a rate is commercially reasonable if it is the rate currently offered to other depositors on deposits or instruments of comparable size and maturity.

(3) Funds held or placed in a blocked account pursuant to this paragraph (b) may not be invested in instruments the maturity of which exceeds 180 days. If interest is credited to a separate blocked account or subaccount, the name of the account party on each account must be the same.

(c) Blocked funds held in instruments the maturity of which exceeds 180 days at the time the funds become subject to §551.201 may continue to be held

NOTE TO PARAGRAPH (d) OF §551.202: The filing of a report in accordance with the provisions of paragraph (d)(3) of this section shall not be deemed evidence that the terms of paragraphs (d)(1) and (d)(2) of this section have been satisfied.

(e) Unless licensed pursuant to this part, any attachment, judgment, decree, lien, execution, garnishment, or other judicial process is null and void with respect to any property in which, on or since the effective date, there existed an interest of a person whose property and interests in property are blocked pursuant to §551.201.
Office of Foreign Assets Control, Treasury

§ 551.307 Effective date.

The term effective date refers to the effective date of the applicable prohibitions and directives contained in this part as follows:

(a) With respect to a person listed in the Annex to E.O. 13536, 12:01 a.m. eastern daylight time, April 13, 2010; or

(b) With respect to a person whose property and interests in property are otherwise blocked pursuant to E.O. 13536, the earlier of the date of actual or constructive notice that such person’s property and interests in property are blocked.

§ 551.303 Entity.

The term entity means a partnership, association, trust, joint venture, corporation, group, subgroup, or other organization.

§ 551.304 Interest.

Except as otherwise provided in this part, the term interest, when used with respect to property (e.g., “an interest in property”), means an interest of any nature whatsoever, direct or indirect.

§ 551.305 Licenses; general and specific.

(a) Except as otherwise specified, the term license means any license or authorization contained in or issued pursuant to this part.

(b) The term general license means any license or authorization the terms of which are set forth in subpart E of this part and issued pursuant to this part.

(c) The term specific license means any license or authorization not set forth in subpart E of this part but issued pursuant to this part.

NOTE TO § 551.305: See § 501.801 of this chapter on licensing procedures.

§ 551.306 Person.

The term person means an individual or entity.

§ 551.307 Property; property interest.

The terms property and property interest include, but are not limited to, money, checks, drafts, bullion, bank deposits, savings accounts, debts, indebtedness, obligations, notes, guarantees, debentures, stocks, bonds, coupons, any other financial instruments,
§ 551.308 Transfer.

The term transfer means any actual or purported act or transaction, whether or not evidenced by writing, and whether or not done or performed within the United States, the purpose, intent, or effect of which is to create, surrender, release, convey, transfer, or alter, directly or indirectly, any right, remedy, power, privilege, or interest with respect to any property. Without limitation on the foregoing, it shall include the making, execution, or delivery of any assignment, power, conveyance, check, declaration, deed, deed of trust, power of attorney, power of appointment, bill of sale, mortgage, receipt, agreement, contract, certificate, gift, sale, affidavit, or statement; the making of any payment; the setting off of any obligation or credit; the appointment of any agent, trustee, or fiduciary; the creation or transfer of any lien; the issuance, docketing, filing, or levy of or under any judgment, decree, attachment, injunction, execution, or other judicial or administrative process or order, or the service of any garnishment; the acquisition of any interest of any nature whatsoever by reason of a judgment or decree of any foreign court; the fulfillment of any condition; the exercise of any power of appointment, power of attorney, or other power; or the acquisition, disposition, transportation, importation, exportation, or withdrawal of any security.

§ 551.309 United States.

The term United States means the United States, its territories and possessions, and all areas under the jurisdiction or authority thereof.

§ 551.310 U.S. financial institution.

The term U.S. financial institution means any U.S. entity (including its foreign branches) that is engaged in the business of accepting deposits, making, granting, transferring, holding, or brokering loans or credits, or purchasing or selling foreign exchange, securities, commodity futures or options, or procuring purchasers and sellers thereof, as principal or agent. It includes but is not limited to depository institutions, banks, savings banks, trust companies, securities brokers and dealers, commodity futures and options brokers and dealers, forward contract and foreign exchange merchants, securities and commodities exchanges, clearing corporations, investment companies, employee benefit plans, and U.S. holding companies, U.S. affiliates, or U.S. subsidiaries of any of the foregoing. This term includes those branches, offices and agencies of foreign financial institutions that are located in the United States, but not such institutions’ foreign branches, offices, or agencies.

§ 551.311 United States person; U.S. person.

The term United States person or U.S. person means any United States citizen, permanent resident alien, entity organized under the laws of the United States or any jurisdiction within the United States (including foreign branches), or any person in the United States.
Subpart D—Interpretations

§ 551.401 [Reserved]

§ 551.402 Effect of amendment.

Unless otherwise specifically provided, any amendment, modification, or revocation of any provision in this part, any provision in or appendix to this chapter, or any order, regulation, ruling, instruction, or license issued by the Office of Foreign Assets Control does not affect any act done or omitted, or any civil or criminal proceeding commenced or pending, prior to such amendment, modification, or revocation. All penalties, forfeitures, and liabilities under any such order, regulation, ruling, instruction, or license continue and may be enforced as if such amendment, modification, or revocation had not been made.

§ 551.403 Termination and acquisition of an interest in blocked property.

(a) Whenever a transaction licensed or authorized by or pursuant to this part results in the transfer of property (including any property interest) away from a person, such property shall no longer be deemed to be property blocked pursuant to §551.201, unless there exists in the property another interest that is blocked pursuant to §551.201 or any other part of this chapter, the transfer of which has not been effected pursuant to license or other authorization.

(b) Unless otherwise specifically provided in a license or authorization issued pursuant to this part, if property (including any property interest) is transferred or attempted to be transferred to a person whose property and interests in property are blocked pursuant to §551.201, such property shall be deemed to be property in which that person has an interest and therefore blocked.

§ 551.404 Transactions ordinarily incident to a licensed transaction authorized.

Any transaction ordinarily incident to a licensed transaction and necessary to give effect thereto is also authorized, except:

(a) An ordinarily incident transaction, not explicitly authorized within the terms of the license, by or with a person whose property and interests in property are blocked pursuant to §551.201; or

(b) An ordinarily incident transaction, not explicitly authorized within the terms of the license, involving a debit to a blocked account or a transfer of blocked property.

§ 551.405 Setoffs prohibited.

A setoff against blocked property (including a blocked account), whether by a U.S. bank or other U.S. person, is a prohibited transfer under §551.201 if effected after the effective date.

§ 551.406 Entities owned by a person whose property and interests in property are blocked.

A person whose property and interests in property are blocked pursuant to §551.201 has an interest in all property and interests in property of an entity in which it owns, directly or indirectly, a 50 percent or greater interest. The property and interests in property of such an entity, therefore, are blocked, and such an entity is a person whose property and interests in property are blocked pursuant to §551.201, regardless of whether the entity itself is listed in the Annex or designated pursuant to Executive Order 13536.

Subpart E—Licenses, Authorizations, and Statements of Licensing Policy

§§ 551.501—551.502 [Reserved]

§ 551.503 Exclusion from licenses.

The Office of Foreign Assets Control reserves the right to exclude any person, property, or transaction from the operation of any license or from the privileges conferred by any license. The Office of Foreign Assets Control also reserves the right to restrict the applicability of any license to particular persons, property, transactions, or classes thereof. Such actions are binding upon actual or constructive notice of the exclusions or restrictions.
§ 551.504 Payments and transfers to blocked accounts in U.S. financial institutions.

Any payment of funds or transfer of credit in which a person whose property and interests in property are blocked pursuant to § 551.201 has any interest that comes within the possession or control of a U.S. financial institution must be blocked in an account on the books of that financial institution. A transfer of funds or credit by a U.S. financial institution between blocked accounts in its branches or offices is authorized, provided that no transfer is made from an account within the United States to an account held outside the United States, and further provided that a transfer from a blocked account may be made only to another blocked account held in the same name.

Note to § 551.504: See § 501.603 of this chapter for mandatory reporting requirements regarding financial transfers. See also § 551.203 concerning the obligation to hold blocked funds in interest-bearing accounts.

§ 551.505 Entries in certain accounts for normal service charges authorized.

(a) A U.S. financial institution is authorized to debit any blocked account held at that financial institution in payment or reimbursement for normal service charges owed by the owner of that blocked account.

(b) As used in this section, the term normal service charges shall include charges in payment or reimbursement for interest due; cable, telegraph, internet, or telephone charges; postage costs; custody fees; small adjustment charges to correct bookkeeping errors; and, but not by way of limitation, minimum balance charges, notary and protest fees, and charges for reference books, photocopies, credit reports, transcripts of statements, registered mail, insurance, stationery and supplies, and other similar items.

§ 551.506 Provision of certain legal services authorized.

(a) The provision of the following legal services to or on behalf of persons whose property and interests in property are blocked pursuant to § 551.201 is authorized, provided that all receipts of payment of professional fees and reimbursement of incurred expenses must be specifically licensed:

(1) Provision of legal advice and counseling on the requirements of and compliance with the laws of the United States or any jurisdiction within the United States, provided that such advice and counseling are not provided to facilitate transactions in violation of this part;

(2) Representation of persons named as defendants in or otherwise made parties to domestic U.S. legal, arbitration, or administrative proceedings;

(3) Initiation and conduct of domestic U.S. legal, arbitration, or administrative proceedings in defense of property interests subject to U.S. jurisdiction;

(4) Representation of persons before any federal or state agency with respect to the imposition, administration, or enforcement of U.S. sanctions against such persons; and

(5) Provision of legal services in any other context in which prevailing U.S. law requires access to legal counsel at public expense.

(b) The provision of any other legal services to persons whose property and interests in property are blocked pursuant to § 551.201, not otherwise authorized in this part, requires the issuance of a specific license.

(c) Entry into a settlement agreement or the enforcement of any lien, judgment, arbitral award, decree, or other order through execution, garnishment, or other judicial process purporting to transfer or otherwise alter or affect property or interests in property blocked pursuant to § 551.201 is prohibited unless licensed pursuant to this part.

§ 551.507 Authorization of emergency medical services.

The provision of nonscheduled emergency medical services in the United States to persons whose property and interests in property are blocked pursuant to § 551.201 is authorized, provided that all receipt of payment for such services must be specifically licensed.

Subparts F—G [Reserved]
Office of Foreign Assets Control, Treasury

Subpart H—Procedures

§ 551.801 [Reserved]

§ 551.802 Delegation by the Secretary of the Treasury.

Any action that the Secretary of the Treasury is authorized to take pursuant to Executive Order 13336 of April 12, 2010 (75 FR 19869, April 15, 2010), and any further Executive orders relating to the national emergency declared therein, may be taken by the Director of the Office of Foreign Assets Control or by any other person to whom the Secretary of the Treasury has delegated authority so to act.

Subpart I—Paperwork Reduction Act

§ 551.901 Paperwork Reduction Act notice.

For approval by the Office of Management and Budget (“OMB”) under the Paperwork Reduction Act of 1995 (44 U.S.C. 3507) of information collections relating to recordkeeping and reporting requirements, licensing procedures (including those pursuant to statements of licensing policy), and other procedures, see §501.901 of this chapter. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid control number assigned by OMB.

APPENDIX A TO PART 551—
EXECUTIVE ORDER 13336

EXECUTIVE ORDER BLOCKING PROPERTY OF CERTAIN PERSONS CONTRIBUTING TO THE CONFLICT IN SOMALIA

By the authority vested in me as President by the Constitution and the laws of the United States of America, including the International Emergency Economic Powers Act (50 U.S.C. 1701 et seq.) (IEEPA), the National Emergencies Act (50 U.S.C. 1601 et seq.) (NEA), section 5 of the United Nations Participation Act, as amended (22 U.S.C. 2570c) (UNPA), and section 301 of title 3, United States Code,

I, BARACK OBAMA, President of the United States of America, find that the deterioration of the security situation and the persistence of violence in Somalia, and acts of piracy and armed robbery at sea off the coast of Somalia, which have repeatedly been the subject of United Nations Security Council resolutions (including Resolution 1844 of November 20, 2008; Resolution 1846 of December 2, 2008; Resolution 1851 of December 16, 2008; and Resolution 1897 of November 30, 2009), and violations of the arms embargo imposed by the United Nations Security Council in Resolution 733 of January 23, 1992, and elaborated upon and amended by subsequent resolutions (including Resolution 1356 of June 19, 2001; Resolution 1725 of December 6, 2006; Resolution 1744 of February 20, 2007; Resolution 1772 of August 29, 2007; Resolution 1816 of June 2, 2006; and Resolution 1872 of May 26, 2009), constitute an unusual and extraordinary threat to the national security and foreign policy of the United States, and I hereby declare a national emergency to deal with that threat.

I hereby order:

Section 1. (a) All property and interests in property that are in the United States, that hereafter come within the United States, or that are or hereafter come within the possession or control of any United States person, including any overseas branch, of the following persons are blocked and may not be transferred, paid, exported, withdrawn, or otherwise dealt in:

(i) the persons listed in the Annex to this order; and

(ii) any person determined by the Secretary of the Treasury, in consultation with the Secretary of State:

(A) to have engaged in acts that directly or indirectly threaten the peace, security, or stability of Somalia, including but not limited to:

(1) acts that threaten the Djibouti Agreement of August 19, 2006, or the political process;

(2) acts that threaten the Transitional Federal Institutions, the African Union Mission in Somalia (AMISOM), or other international peacekeeping operations related to Somalia;

(B) to have obstructed the delivery of humanitarian assistance to Somalia, or access to, or distribution of, humanitarian assistance in Somalia;

(C) to have directly or indirectly supplied, sold, or transferred to Somalia, or to have been the recipient in the territory of Somalia of, arms or any related material, or any technical advice, training, or assistance, including financing and financial assistance, related to military activities;

(D) to have materially assisted, sponsored, or provided financial, material, logistical, or technical support for, or goods or services in support of, the activities described in subsections (a)(1)(A), (a)(1)(B), or (a)(1)(C) of this section or any person whose property and interests in property are blocked pursuant to this order; or

(E) to be owned or controlled by, or to have acted or purported to act for or on behalf of, directly or indirectly, any person whose
property and interests in property are blocked pursuant to this order.

(b) I hereby determine that, among other threats to the peace, security, or stability of Somalia, acts of piracy or armed robbery at sea off the coast of Somalia threaten the peace, security, or stability of Somalia.

(c) I hereby determine that, to the extent section 203(b)(2) of IEEPA (50 U.S.C. 1702(b)(2)) may apply, the making of donations of the type of articles specified in such section by, to, or for the benefit of any person whose property and interests in property are blocked pursuant to subsection (a) of this section would seriously impair my ability to deal with the national emergency declared in this order, and I hereby prohibit such donations as provided by subsection (a) of this section.

(d) The prohibitions in subsection (a) of this section include but are not limited to:

(i) the making of any contribution or provision of funds, goods, or services by, to, or for the benefit of any person whose property and interests in property are blocked pursuant to this order; and

(ii) the receipt of any contribution or provision of funds, goods, or services from any such person.

(e) The prohibitions in subsection (a) of this section apply except to the extent provided by statutes, or in regulations, orders, directives, or licenses that may be issued pursuant to this order, and notwithstanding any contract entered into or any license or permit granted prior to the effective date of this order.

Sec. 3. For the purposes of this order:

(a) the term “person” means an individual or entity;

(b) the term “entity” means a partnership, association, trust, joint venture, corporation, group, subgroup, or other organization;

(c) the term “United States person” means any United States citizen, permanent resident alien, entity organized under the laws of the United States or any 5 jurisdiction within the United States (including foreign branches), or any person in the United States;

(d) the term “Transitional Federal Institutions” means the Transitional Federal Charter of the Somali Republic adopted in February 2004 and the Somali federal institutions established pursuant to such charter, and includes their agencies, instrumentalities, and controlled entities; and


Sec. 4. For those persons whose property and interests in property are blocked pursuant to this order who might have a constitutional presence in the United States, I find that because of the ability to transfer funds or other assets instantaneously, prior notice to such persons of measures to be taken pursuant to this order would render those measures ineffectual. I therefore determine that for these measures to be effective in addressing the national emergency declared in this order, there need be no prior notice of a listing or determination made pursuant to section 1(a) of this order.

Sec. 5. The Secretary of the Treasury, in consultation with the Secretary of State, is hereby authorized to take such actions, including the promulgation of rules and regulations, and to employ all powers granted to the President by IEEPA and the UNPA, as may be necessary to carry out the purposes of this order. The Secretary of the Treasury may delegate any of these functions to other officers and agencies of the United States Government consistent with applicable law. All 6 agencies of the United States Government are hereby directed to take all appropriate measures within their authority to carry out the provisions of this order.

Sec. 6. The Secretary of the Treasury, in consultation with the Secretary of State, is hereby authorized to submit the recurring and final reports to the Congress on the national emergency declared in this order, consistent with section 401(c) of the NEA (50 U.S.C. 1611(c)) and section 204(c) of IEEPA (50 U.S.C. 1702(c)).

Sec. 7. The Secretary of the Treasury, in consultation with the Secretary of State, is hereby authorized to determine that circumstances no longer warrant the blocking of the property and interests in property of a person listed in the Annex to this order, and to take necessary action to give effect to that determination.

Sec. 8. This order is not intended to, and does not, create any right or benefit, substantive or procedural, enforceable at law or in equity by any party against the United States, its departments, agencies, or entities, its officers, employees, or agents, or any other person.

Sec. 9. This order is effective at 12:01 a.m. eastern standard time on April 13, 2010.

Barack Obama,
THE WHITE HOUSE,
April 12, 2010.
Office of Foreign Assets Control, Treasury

ANNEX

Individuals

1. Abshir ABDILLAH [born circa 1966]
2. Hassan Abd Allah Heri AL–TURKI [born circa 1944]
3. Hassan Dahir AWEYS [born 1935]
5. Yasin Ali BAYNAH [born circa 1966]
6. Mohamed Abdi GARAAD [born circa 1973]
7. Yemane GHEBREAB [born 21 July 1951]
8. Fuad Mohamed KHALAF [born circa 1965]
10. Fares Mohammed MANA’ [born 8 February 1965]
11. Mohamed SA’ID [born circa 1966]

Entity

1. al-Shabaab

PART 560—IRANIAN TRANSACTIONS REGULATIONS

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Sec.

560.101 Relation of this part to other laws and regulations.

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SOURCE: 60 FR 47063, Sept. 11, 1995, unless otherwise noted.
Subpart A—Relation of This Part to Other Laws and Regulations

§ 560.101 Relation of this part to other laws and regulations.

(a) This part is separate from, and independent of, the other parts of this chapter, including part 535 of this chapter, ‘Iranian Assets Control Regulations,’ with the exception of part 561 of this chapter, the recordkeeping and reporting requirements and license application and other procedures of which apply to this part. No license or authorization contained in or issued pursuant to those other parts authorizes any transaction prohibited by this part. No license or authorization contained in or issued pursuant to any other provision of law or regulations authorizes any transaction prohibited by this part.

(b) No license or authorization contained in or issued pursuant to this part relieves the involved parties from complying with any other applicable laws or regulations.


Subpart B—Prohibitions

§ 560.201 Prohibited importation of goods or services from Iran.

Except as otherwise authorized pursuant to this part, and notwithstanding any contract entered into or any license or permit granted prior to May 7, 1995, the importation into the United States of any goods or services of Iranian origin or owned or controlled by the Government of Iran, other than information and informational materials within the meaning of section 203(b)(3) of the International Emergency Economic Powers Act (50 U.S.C. 1702(b)(3)), is prohibited.


§ 560.202 [Reserved]

§ 560.203 Evasions; attempts.

Any transaction by any United States person or within the United States that evades or avoids, or has the purpose of evading or avoiding, or attempts to violate, any of the prohibitions contained in this part is hereby prohibited.

§ 560.204 Prohibited exportation, reexportation, sale or supply of goods, technology, or services to Iran.

Except as otherwise authorized pursuant to this part, including §560.511, and notwithstanding any contract entered into or any license or permit granted prior to May 7, 1995, the exportation, reexportation, sale, or supply, directly or indirectly, from the United States, or by a United States person, wherever located, of any goods, technology, or services to Iran or the Government of Iran is prohibited, including the exportation, reexportation, sale, or supply of any goods, technology, or services to a person in a third country undertaken with knowledge or reason to know that:

(a) Such goods, technology, or services are intended specifically for supply, transshipment, or reexportation, directly or indirectly, to Iran or the Government of Iran; or

(b) Such goods, technology, or services are intended specifically for use in the production of, or for commingling with, or for incorporation into goods, technology, or services to be directly or indirectly supplied, transshipped, or reexported exclusively or predominantly to Iran or the Government of Iran.


§ 560.205 Prohibited reexportation of goods, technology or services to Iran or the Government of Iran by persons other than United States persons; exceptions.

(a) Except as otherwise authorized pursuant to this part, and notwithstanding any contract entered into or any license or permit granted prior to May 7, 1995, the reexportation from a third country, directly or indirectly, by a person other than a United States person, of any goods, technology or services that have been exported from the United States is prohibited, if:

(1) Undertaken with knowledge or reason to know that the reexportation is intended specifically for Iran or the Government of Iran; and

(2) The exportation of such goods, technology, or services from the United
§ 560.206  Prohibited trade-related transactions with Iran; goods, technology, or services.

(a) Except as otherwise authorized pursuant to this part, and notwithstanding any contract entered into or any license or permit granted prior to May 7, 1995, no United States person, wherever located, may engage in any transaction or dealing in or related to:

(1) Goods or services of Iranian origin or owned or controlled by the Government of Iran; or

(2) Goods, technology, or services for exportation, reexportation, sale or supply, directly or indirectly, to Iran or the Government of Iran.

(b) For purposes of paragraph (a) of this section, the term transaction or dealing includes but is not limited to purchasing, selling, transporting, swapping, brokering, approving, financing, facilitating, or guaranteeing.

[64 FR 20170, Apr. 26, 1999]

§ 560.207  Prohibited investment.

Except as otherwise authorized pursuant to this part, and notwithstanding any contract entered into or any license or permit granted prior to May 7, 1995, no new investment by a United States person in Iran or in property (including entities) owned or controlled by the Government of Iran is prohibited.

[64 FR 20170, Apr. 26, 1999]

§ 560.208  Prohibited facilitation by United States persons of transactions by foreign persons.

Except as otherwise authorized pursuant to this part, and notwithstanding any contract entered into or any license or permit granted prior to May 7, 1995, no United States person, wherever located, may approve, finance, facilitate, or guarantee any transaction by a foreign person where the transaction by that foreign person would be prohibited by this part if performed by a United States person or within the United States.

[64 FR 20171, Apr. 26, 1999]

§ 560.209  Prohibited transactions with respect to the development of Iranian petroleum resources.

Except as otherwise authorized, and notwithstanding any contract entered into or any license or permit granted prior to March 16, 1995, the following are prohibited:

(a) The entry into or performance by a United States person, or the approval by a United States person of the entry into or performance by an entity owned or controlled by a United States person, of:

(1) A contract that includes overall supervision and management responsibility for the development of petroleum resources located in Iran, or

(2) A guaranty of another person’s performance under such contract; or

(b) The entry into or performance by a United States person, or the approval by a United States person of the entry into or performance by an entity owned or controlled by a United States person, of:

(1) Goods or services of Iranian origin or owned or controlled by the Government of Iran; or

(2) Goods, technology, or services including but not limited to financial or other support, directly or indirectly, to Iran or the Government of Iran.
into or performance by an entity owned or controlled by a United States person, of

(1) A contract for the financing of the development of petroleum resources located in Iran, or

(2) A guaranty of another person’s performance under such a contract.

§ 560.210 Exempt transactions.

(a) Personal communications. The prohibitions of §§560.204 and 560.206 do not apply to any postal, telegraphic, telephonic, or other personal communication, which does not involve the transfer of anything of value.

(b) Humanitarian donations. The prohibitions of §§560.204 and 560.206 do not apply to donations by United States persons of articles, such as food, clothing, and medicine, intended to be used to relieve human suffering.

(c) Information and informational materials. (1) The importation from any country and the exportation to any country of information and informational materials as defined in §560.315, whether commercial or otherwise, regardless of format or medium of transmission, are exempt from the prohibitions and regulations of this part.

(2) This section does not exempt from regulation or authorize transactions related to information and informational materials not fully created and in existence at the date of the transaction, or to the substantive or artistic alteration or enhancement of informational materials, or to the provision of marketing and business consulting services. Transactions that are prohibited notwithstanding this section include, but are not limited to, payment of advances for information and informational materials not yet created and completed (with the exception of pre-paid subscriptions for widely circulated magazines and other periodical publications), and provision of services to market, produce or co-produce, create or assist in the creation of information and informational materials.

(3) This section does not exempt from regulation or authorize transactions incident to the exportation of software subject to the Export Administration Regulations (15 CFR parts 730-774).

(4) This section does not exempt from regulation or authorize the exportation of goods (including software) or technology or the sale or leasing of telecommunications transmission facilities (such as satellite links or dedicated lines) where such exportation, sale or leasing is for use in the transmission of any data.

(d) Travel. The prohibitions contained in this part do not apply to transactions ordinarily incident to travel to or from any country, including importation of accompanied baggage for personal use, maintenance within any country including payment of living expenses and acquisition of goods or services for personal use, and arrangement or facilitation of such travel including nonscheduled air, sea, or land voyages. This exemption extends to transactions with Iranian carriers and those involving group tours and payments in Iran made for transactions directly incident to travel.

(e) Letters of credit. Letters of credit and other financing agreements with respect to trade contracts in force as of May 6, 1995, may be performed pursuant to their terms with respect to underlying trade transactions occurring prior to 12:01 a.m. EDT, June 6, 1995. See §560.413.

[60 FR 47063, Sept. 11, 1995, as amended at 64 FR 20171, Apr. 26, 1999; 64 FR 58791, Nov. 1, 1999]

Subpart C—General Definitions

§ 560.301 Effective date.

The effective date of the prohibitions and directives contained in subpart B of this part is 12:01 a.m., Eastern Daylight Time, August 20, 1997. For the effective date of pre-existing regulations and directives, see the Executive orders in the Authority citation for this part and implementing regulations.

[64 FR 20171, Apr. 26, 1999]

§ 560.302 [Reserved]

§ 560.303 Iran; Iranian.

The term Iran means the territory of Iran, and any other territory or marine area, including the exclusive economic zone and continental shelf, over which the Government of Iran claims sovereignty, sovereign rights or jurisdiction, provided that the Government of
§ 560.304 Government of Iran.
The term Government of Iran includes:
(a) The state and the Government of Iran, as well as any political subdivision, agency, or instrumentality thereof;
(b) Any entity owned or controlled directly or indirectly by the foregoing;
(c) Any person to the extent that such person is, or has been, or to the extent that there is reasonable cause to believe that such person is, or has been, since the applicable effective date, acting or purporting to act directly or indirectly on behalf of any of the foregoing; and
(d) Any person or entity designated by the Secretary of the Treasury as included within paragraphs (a) through (c) of this section.

§ 560.305 Person; entity.
(a) The term person means an individual or entity.
(b) The term entity means a partnership, association, trust, joint venture, corporation or other organization.

§ 560.306 Iranian-origin goods or services; goods or services owned or controlled by the Government of Iran.
(a) The terms goods of Iranian origin and Iranian-origin goods include:
(1) Goods grown, produced, manufactured, extracted, or processed in Iran; and
(2) Goods which have entered into Iranian commerce.
(b) The terms services of Iranian origin and Iranian-origin services include:
(1) Services performed in Iran or by an entity organized under the laws of Iran, or a person residing in Iran; and
(2) Services performed outside Iran by a citizen, national or permanent resident of Iran who is ordinarily resident in Iran, or by an entity organized under the laws of Iran.
(c) The term goods or services owned or controlled by the Government of Iran includes:
(1) Goods grown, produced, manufactured, extracted or processed by the Government of Iran or goods in its possession or control; and
(2) Services performed by the Government of Iran.
(d) The terms services of Iranian-origin, Iranian-origin services, and services owned or controlled by the Government of Iran do not include:
(1) Diplomatic and consular services performed by or on behalf of the Government of Iran;
(2) Diplomatic and consular services performed by or on behalf of the Government of the United States; and
(3) Services performed outside Iran by an Iranian citizen or national who is resident in the United States or a third country, provided such services are not performed by or on behalf of the Government of Iran (other than diplomatic and consular services), an entity organized under the laws of Iran, or a person located in Iran.

§ 560.307 United States.
The term United States means the United States, including its territories and possessions.

§ 560.308 Importation of goods.
With respect to goods (including software), the term importation means the bringing of any goods into the United States, except that in the case of goods transported by vessel, importation means the bringing of any goods into the United States with the intent to unlace them.

§ 560.309 [Reserved]

§ 560.310 License.
Except as otherwise specified, the term license means any license or authorization contained in or issued pursuant to this part.

§ 560.311 General license.
The term general license means any license or authorization the terms of which are set forth in this part.
§ 560.312 Specific license.

The term specific license means any license or authorization not set forth in this part but issued pursuant to this part.

§ 560.313 Entity owned or controlled by the Government of Iran.

The term entity owned or controlled by the Government of Iran includes any corporation, partnership, association, or other entity in which the Government of Iran owns a majority or controlling interest, and any entity which is otherwise controlled by that government.

§ 560.314 United States person.

The term United States person means any United States citizen, permanent resident alien, entity organized under the laws of the United States (including foreign branches), or any person in the United States.

§ 560.315 Information and informational materials.

(a) The term information and informational materials includes:

(1) Publications, films, posters, phonograph records, photographs, microfilms, microfiche, tapes, compact disks, CD ROMs, artworks, and news wire feeds.

(2) To be considered information or informational materials, artworks must be classified under chapter subheading 9701, 9702, or 9703 of the Harmonized Tariff Schedule of the United States.

(b) The term information and informational materials, with respect to exports, does not include items:

(1) That were, as of April 30, 1994, or that thereafter become, controlled for export pursuant to section 5 of the Export Administration Act of 1979 (50 U.S.C. App. 2401-2420, the “EAA”), or section 6 of the EAA to the extent that such controls promote the non-proliferation or antiterrorism policies of the United States; or

(2) With respect to which acts are prohibited by 18 U.S.C. chapter 37.

§ 560.317 Credits or loans.

The term credits or loans means any transfer or extension of funds or credit on the basis of an obligation to repay, or any assumption or guarantee of the obligation of another to repay an extension of funds or credit, including but not limited to: overdrafts; currency swaps; purchases of debt securities issued by the Government of Iran; purchases of a loan made by another person; sales of financial assets subject to an agreement to repurchase; renewals or refinancings whereby funds or credits are transferred to or extended to a prohibited borrower or prohibited recipient; the issuance of standby letters of credit; and drawdowns on existing lines of credit.

§ 560.319 United States depository institution.

The term United States depository institution means any entity (including its foreign branches) organized under the laws of any jurisdiction within the United States, or any agency, office or branch located in the United States of a foreign entity, that is engaged primarily in the business of banking (for example, banks, savings banks, savings associations, credit unions, trust companies and United States bank holding companies).

§ 560.320 Iranian accounts.

The term Iranian accounts means accounts of persons who are ordinarily resident in Iran, except when such persons are not located in Iran, or of the Government of Iran maintained on the books of either a United States depository institution or a United States registered broker or dealer in securities.

[74 FR 36398, July 23, 2009]
§ 560.321 United States registered broker or dealer in securities.

The term United States registered broker or dealer in securities means any U.S. citizen, permanent resident alien, or entity organized under the laws of the United States or of any jurisdiction within the United States, including its foreign branches, or any agency, office or branch of a foreign entity located in the United States, that:

(a) Is a “broker” or “dealer” in securities within the meanings set forth in the Securities Exchange Act of 1934;
(b) Holds or clears customer accounts; and
(c) Is registered with the Securities and Exchange Commission under the Securities Exchange Act of 1934.

[70 FR 15584, Mar. 28, 2005]

Subpart D—Interpretations

§ 560.401 Reference to amended sections.

Except as otherwise specified, reference to any section of this part or to any regulation, ruling, order, instruction, direction, or license issued pursuant to this part refers to the same as currently amended.

§ 560.402 Effect of amendment.

Any amendment, modification, or revocation of any section of this part or of any order, regulation, ruling, instruction, or license issued by or under the direction of the Director of the Office of Foreign Assets Control does not, unless otherwise specifically provided, affect any act done or omitted to be done, or any civil or criminal suit or proceeding commenced or pending prior to such amendment, modification, or revocation. All penalties, forfeitures, and liabilities under any such order, regulation, ruling, instruction, or license continue and may be enforced as if such amendment, modification, or revocation had not been made.

§ 560.403 Transshipment through Iran.

The prohibitions in §§560.204, 560.206 and 560.208 apply to export, reexport or supply transactions which require a transshipment or transit of goods or technology through Iran to third countries.

[64 FR 20172, Apr. 26, 1999]

§ 560.404 [Reserved]

§ 560.405 Transactions incidental to a licensed transaction authorized.

Any transaction ordinarily incident to a licensed transaction and necessary to give effect thereto is also authorized, except:

(a) A transaction by an unlicensed Iranian governmental entity or involving a debit or credit to an Iranian account not explicitly authorized within the terms of the license;
(b) Provision of any transportation services to or from Iran not explicitly authorized in or pursuant to this part other than loading, transporting, and discharging licensed or exempt cargo there;
(c) Distribution or leasing in Iran of any containers or similar goods owned or controlled by United States persons after the performance of transportation services to Iran;
(d) Financing of licensed sales for exportation or reexportation of agricultural commodities or products, medicine or medical equipment to Iran or the Government of Iran (see §560.532); and
(e) Letter of credit services relating to transactions authorized in §560.534. See §560.535(a).

[73 FR 66542, Nov. 10, 2008]

§ 560.406 Transshipment or transit through United States prohibited.

(a) The prohibitions in §560.201 apply to the importation into the United States, for transshipment or transit, of Iranian-origin goods or goods owned or controlled by the Government of Iran which are intended or destined for third countries.
(b) The prohibitions in §560.204 apply to the transshipment or transit of foreign goods through the United States which are intended or destined for Iran or the Government of Iran, including entities owned or controlled by the Government of Iran.

[64 FR 20172, Apr. 26, 1999]
§ 560.407 Transactions related to Iranian-origin goods.

(a) Importation into the United States from third countries of goods containing Iranian-origin raw materials or components is not prohibited if those raw materials or components have been incorporated into manufactured products or substantially transformed in a third country by a person other than a United States person.

(b) Transactions relating to Iranian-origin goods that have not been incorporated into manufactured products or substantially transformed in a third country are prohibited.

(c) Transactions relating to goods containing Iranian-origin raw materials or components are not prohibited if those raw materials or components have been incorporated into manufactured products or substantially transformed in a third country by a person other than a United States person.

§ 560.408 Importation into and release from a bonded warehouse or foreign trade zone.

The prohibitions in § 560.201 apply to importation into a bonded warehouse or a foreign trade zone of the United States. However, § 560.201 does not prohibit the release from a bonded warehouse or a foreign trade zone of Iranian-origin goods imported into a bonded warehouse or a foreign trade zone prior to October 29, 1987.

§ 560.409 [Reserved]

§ 560.410 Exportation, reexportation, sale or supply of services.

(a) The prohibition on the exportation, reexportation, sale or supply of services contained in § 560.204 applies to services performed on behalf of a person in Iran or the Government of Iran or where the benefit of such services is otherwise received in Iran, if such services are performed:

(1) In the United States, or

(2) Outside the United States by a United States person, including by an overseas branch of an entity located in the United States.

(b) The benefit of services performed anywhere in the world on behalf of the Government of Iran is presumed to be received in Iran.

(c) Example. A United States person is engaged in a prohibited exportation of services to Iran when it extends credit to a third-country firm specifically to enable that firm to manufacture goods for sale to Iran or for an entity of the Government of Iran. See also § 560.416.

[64 FR 20172, Apr. 26, 1999]

§ 560.411 [Reserved]

§ 560.412 Extensions of credit or loans to Iran.

(a) The prohibitions contained in §§ 560.204 and 560.207 apply to but are not limited to the unauthorized renewal or rescheduling of credits or loans in existence as of May 6, 1995, such as the extension of a standby letter of credit.

(b) The prohibitions contained in § 560.209 apply, among other things, to the unauthorized renewal or rescheduling of credits or loans in existence as of March 15, 1995.

(c) The prohibitions contained in §§ 560.204, 560.207 and 560.209 apply to, among other things, credits or loans in any currency.

[64 FR 20172, Apr. 26, 1999]

§ 560.413 Letter of credit payments by Iranian banks in the United States.

(a) For purposes of the exemption in § 560.210(e), payment of letters of credit and other financing agreements according to their terms includes, in the case of payments made by an Iranian bank's branch or agency located in the United States, payments that such branch or agency is:

(1) Legally obligated to make pursuant to the terms of letters of credit and other financing agreements relating to pre-May 7, 1995 trade contracts; or

(2) Licensed to make by the Office of Foreign Assets Control with respect to pre-May 7, 1995 trade contracts.

(b) Payments that are not binding legal obligations of an Iranian bank's branch or agency pursuant to the terms of the letter of credit or other financing agreement are not covered by this exemption.

The prohibitions on reexportation in §560.205 do not apply to United States-origin goods or technology that were exported from the United States prior to 12:01 a.m., Eastern Daylight Time, May 7, 1995, if:

(a) Such goods or technology were not the property of a United States person as of 12:01 a.m. Eastern Daylight Time, May 7, 1995; and

(b) The reexportation of the U.S.-origin goods or technology to Iran or the Government of Iran was not subject to reexport (as opposed to export) license application requirements under U.S. regulations in effect prior to May 6, 1995.

NOTES TO §560.414. 1. The exclusion in this section applies, among other things, to goods that were as of May 6, 1995, classified under the U.S. Department of Commerce’s Export Administration Regulations (15 CFR parts 730–774) as ECCNs 2A994; 3A993; 5A995; 6A990; 6A994; 7A994; 8A992; 8A994; 9A990; 9A992; and 9A994, that were exported from the United States prior to 12:01 a.m. Eastern Daylight Time, May 7, 1995, and were not the property of a United States person as of 12:01 a.m. Eastern Daylight Time, May 7, 1995. As of April 26, 1999, items covered by this note are classified under ECCNs 2A994; 3A992.a; 3A991.f; 5A992; 6A991; 6A998; 7A994; 8A992.a, .e, .f and .g; 9A990.a and .b; and 9A991.d and .e.

2. A reexportation of U.S.-origin goods or technology which meets the conditions of paragraph (a) of this section, or which is not within the scope of §560.205, nevertheless may require specific authorization by other agencies of the U.S. Government for reexport to Iran or the Government of Iran. For example, items which meet the conditions of paragraph (a) may nevertheless require an export license under the Enhanced Proliferation Control Initiative provisions of the Export Administration Regulations (15 CFR part 744).

[64 FR 20172, Apr. 26, 1999]

§ 560.416 Brokering services.

(a) For purposes of the prohibitions in §§560.201, 560.204, 560.205, 560.206 and 560.208, the term services includes performing a brokering function.

(b) Examples. A person within the United States, or a United States person, wherever located, may not:

(1) Act as broker for the provision of goods, services or technology, from whatever source, to or from Iran or the Government of Iran;

(2) Act as broker for the purchase or swap of crude oil of Iranian origin or owned or controlled by the Government of Iran;

(3) Act as broker for the provision of financing, a financial guarantee or an extension of credit to any person specifically to enable that person to construct or operate a facility in Iran or owned or controlled by the Government of Iran; or

(4) Act as a broker for the provision of financing, a financial guarantee, or an extension of credit to any person specifically to enable that person to provide goods, services, or technology intended for Iran or the Government of Iran.

[61 FR 20172, Apr. 26, 1999]

§ 560.417 Facilitation; change of policies and procedures; referral of business opportunities offshore.

With respect to §560.208, a prohibited facilitation or approval of a transaction by a foreign person occurs, among other instances, when a United States person:

(a) Alters its operating policies or procedures, or those of a foreign affiliate, to permit a foreign affiliate to accept or perform a specific contract, engagement or transaction involving Iran or the Government of Iran without the approval of the United States person, where such transaction previously required approval by the United States person and such transaction by the foreign affiliate would be prohibited by this part if performed directly by a United States person or from the United States;

(b) Refers to a foreign person purchase orders, requests for bids, or similar business opportunities involving Iran or the Government of Iran to which the United States person could not directly respond as a result of the prohibitions contained in this part; or

(c) Changes the operating policies and procedures of a particular affiliate with the specific purpose of facilitating transactions that would be prohibited.
§ 560.418 Release of technology or software in the United States or a third country.

The release of technology or software in the United States, or by a United States person wherever located, to any person violates the prohibitions of this part if made with knowledge or reason to know the technology is intended for Iran or the Government of Iran, unless that technology or software meets the definition of information and informational materials in § 560.315. See § 560.511.

NOTES TO § 560.418. 1. The U.S. Department of Commerce’s Bureau of Export Administration requires a license for the release in the United States (or in a third country) to a foreign national of technology if both of the following conditions are met:

(a) That technology would require a license for exportation (or reexportation) to the home country of the foreign national; and

(b) The foreign national is not a citizen or permanent resident of the United States (or of the third country) or is not a protected individual under the Immigration and Naturalization Act (8 U.S.C. § 1324(b)(a)(3)). See 15 CFR 734.2(b)(2)(ii) and 734.2(b)(5).

2. The transfer to a foreign national of technology subject to regulations administered by the U.S. Department of State or other agencies of the U.S. Government may require authorization by those agencies.

[64 FR 20173, Apr. 26, 1999]

§ 560.419 U.S. employment of persons normally located in Iran.

The prohibitions in § 560.201 make it unlawful to hire an Iranian national normally located in Iran to come to the United States solely or for the principal purpose of engaging in employment on behalf of an entity in Iran or as the employee of a U.S. person, unless that employment is authorized pursuant to a visa issued by the U.S. State Department or by § 560.505. See also § 560.418 with respect to the release of technology and software.

[64 FR 20173, Apr. 26, 1999]

§ 560.420 Reexportation by non-U.S. persons of certain foreign-made products containing U.S.-origin goods or technology.

For purposes of satisfying the de minimis content rule in § 560.205(b)(2):

(a) U.S.-origin goods (excluding software) falling within the definition in § 560.205 must comprise less than 10 percent of the foreign-made good (excluding software);

(b) U.S.-origin software falling within the definition in § 560.205 must comprise less than 10 percent of the foreign-made software;

(c) U.S.-origin technology falling within the definition in § 560.205 must comprise less than 10 percent of the foreign-made technology; and,

(d) In cases involving a complex product made of a combination of U.S.-origin goods (including software) and technology falling within the definition in § 560.205, the aggregate value of all such U.S.-origin goods (including software) and such technology contained in the foreign-made product must be less than 10 percent of the total value of the foreign-made product.

NOTES TO § 560.420. 1. Notwithstanding the exceptions contained in § 560.205(b)(1) and (b)(2) and this section, a reexportation to Iran or the Government of Iran of U.S.-origin items falling within the definition in § 560.205 is prohibited if those U.S.-origin goods (including software) or that technology have been substantially transformed or incorporated into a foreign-made end product which is destined to end uses or end users prohibited under regulations administered by other U.S. Government agencies. See, e.g., the Export Administration Regulations (31 CFR 738.2(b)(5), 744.2, 744.3, 744.4, 744.7, and 744.10); International Traffic in Arms Regulations (22 CFR 121.9).

2. A reexportation not prohibited by § 560.205 may nevertheless require authorization by the U.S. Department of Commerce, the U.S. Department of State or other agencies of the U.S. Government.

3. The provisions of § 560.205 and this section apply only to persons other than United States persons.

[64 FR 20173, Apr. 26, 1999]
Subpart E—Licenses, Authorizations and Statements of Licensing Policy

§ 560.500 Licensing procedures.

For provisions relating to licensing procedures, see part 501, subpart E, of this chapter. Licensing actions taken pursuant to part 501 of this chapter with respect to the prohibitions contained in this part are considered actions taken pursuant to this part.

[68 FR 53659, Sept. 11, 2003]

§ 560.501 Effect of license or authorization.

(a) No license or other authorization contained in this part, or otherwise issued by or under the direction of the Director of the Office of Foreign Assets Control, authorizes or validates any transaction effected prior to the issuance of the license, unless specifically provided in such license or other authorization.

(b) No regulation, ruling, instruction, or license authorizes a transaction prohibited under this part unless the regulation, ruling, instruction, or license is issued by the Office of Foreign Assets Control and specifically refers to this part. No regulation, ruling, instruction, or license referring to this part authorizes any transactions prohibited by any provision of this chapter unless the regulation, ruling, instruction or license specifically refers to such provision.

(c) Any regulation, ruling, instruction or license authorizing any transaction otherwise prohibited under this part has the effect of removing a prohibition or prohibitions contained in this part from the transaction, but only to the extent specifically stated by its terms. Unless the regulation, ruling, instruction or license otherwise specifies, such an authorization does not create any right, duty, obligation, claim, or interest in, or with respect to, any property which would not otherwise exist under ordinary principles of law.

(d) Specific licenses issued prior to 12:01 a.m., Eastern Daylight Time, August 20, 1997, continue in effect in accordance with their terms except to the extent specifically revoked, amended, or modified by the Office of Foreign Assets Control.

(e) Nothing contained in this part shall be construed to supersede the requirements established under any other provision of law or to relieve a person from any requirement to obtain a license or other authorization from another department or agency of the U.S. Government in compliance with applicable laws and regulations subject to the jurisdiction of that department or agency. For example, exports of goods, services, or technical data which are not prohibited by this part or which do not require a license by the Office of Foreign Assets Control, nevertheless may require authorization by the U.S. Department of Commerce, the U.S. Department of State or other agencies of the U.S. Government. See also §560.701(d).

[60 FR 47063, Sept. 11, 1995, as amended at 64 FR 20173, Apr. 26, 1999]

§ 560.502 Exclusion from licenses and authorizations.

The Director of the Office of Foreign Assets Control reserves the right to exclude any person, property, or transaction from the operation of any license, or from the privileges therein conferred, or to restrict the applicability thereof with respect to particular persons, property, transactions, or classes thereof. Such action is binding upon all persons receiving actual or constructive notice of such exclusion or restriction.

§§ 560.503–560.504 [Reserved]

§ 560.505 Importation of certain Iranian-origin services authorized; activities related to certain visa categories authorized.

(a) The importation of Iranian-origin services into the United States or other dealing in such services is authorized where such services are performed in the United States by an Iranian citizen or national for the purpose of, or which directly relate to, participating in a public conference, performance, exhibition or similar event, and such services are consistent with that purpose.

(b) Persons otherwise qualified for a non-immigrant visa under categories
A–3 and G–5 (attendants, servants and personal employees of aliens in the United States on diplomatic status), D (crewmens), F (students), I (information media representatives), J (exchange visitors), M (non-academic students), O and P (aliens with extraordinary ability, athletes, artists and entertainers), Q (international cultural exchange visitors), R (religious workers), or S (witnesses) are authorized to carry out in the United States those activities for which such a visa has been granted by the U.S. State Department.

(c) Persons otherwise qualified for a visa under categories E–2 (treaty investor), H (temporary worker), or L (intra-company transferee) and all immigrant visa categories are authorized to carry out in the United States those activities for which such a visa has been granted by the U.S. State Department, provided that the persons are not coming to the United States to work as an agent, employee or contractor of the Government of Iran or a business entity or other organization in Iran.

[64 FR 20173, Apr. 26, 1999, as amended at 64 FR 58791, Nov. 1, 1999]

§ 560.506 Importation and exportation of certain gifts authorized.

The importation into the United States of Iranian-origin goods from Iran or a third country, and the exportation from the United States to Iran of goods, are authorized for goods sent as gifts to persons provided that the value of the gift is not more than $100; the goods are of a type and in quantities normally given as gifts between individuals; and the goods are not controlled for chemical and biological weapons (CB), missile technology (MT), national security (NS), or nuclear proliferation (NP). See Commerce Control List, Export Administration Regulations (15 CFR part 774).

[64 FR 20174, Apr. 26, 1999]

§ 560.507 Accompanied baggage authorized.

(a) Persons entering the United States directly or indirectly from Iran are authorized to import into the United States Iranian-origin accompanied baggage normally incident to travel.

(b) Persons leaving the United States for Iran are authorized to export from the United States accompanied baggage normally incident to travel.

(c) This authorization applies to accompanied baggage that includes only articles that are necessary for personal use incident to travel, not intended for any other person or for sale, and are not otherwise prohibited from importation or exportation under applicable United States laws.

§ 560.508 Telecommunications and mail transactions authorized.

All transactions of common carriers incident to the receipt or transmission of telecommunications and mail between the United States and Iran are authorized. For purposes of this section, the term mail includes parcels only to the extent the parcels contain goods exempted from the prohibitions contained in this part or otherwise eligible for importation from or exportation to Iran under a general or specific license.

§ 560.509 Certain transactions related to patents, trademarks and copyrights authorized.

(a) All of the following transactions in connection with patent, trademark, copyright or other intellectual property protection in the United States or Iran are authorized:

(1) The filing and prosecution of any application to obtain a patent, trademark, copyright or other form of intellectual property protection, including importation of or dealing in Iranian-origin services, payment for such services, and payment to persons in Iran directly connected to such intellectual property protection;

(2) The receipt of a patent, trademark, copyright or other form of intellectual property protection;

(3) The renewal or maintenance of a patent, trademark, copyright or other form of intellectual property protection; and

(4) The filing and prosecution of opposition or infringement proceedings with respect to a patent, trademark, copyright or other form of intellectual property protection, or the entrance of a defense to any such proceedings.
(b) Nothing in this section affects obligations under any other provision of law.

[60 FR 47063, Sept. 11, 1995, as amended at 64 FR 20174, Apr. 26, 1999]

§ 560.510 Transactions related to the resolution of disputes between the United States or United States nationals and the Government of Iran.

(a) Except as otherwise authorized, specific licenses may be issued on a case-by-case basis to authorize transactions in connection with awards, decisions or orders of the Iran-United States Claims Tribunal in The Hague, the International Court of Justice, or other international tribunals (collectively, "tribunals"); agreements settling claims brought before tribunals; and awards, orders, or decisions of an administrative, judicial or arbitral proceeding in the United States or abroad, where the proceeding involves the enforcement of awards, decisions or orders of tribunals, or is contemplated under an international agreement, or involves claims arising before 12:01 a.m. EDT, May 7, 1995, that resolve disputes between the Government of Iran and the United States or United States nationals, including the following transactions:

(1) Importation into the United States of, or any transaction related to, goods and services of Iranian origin or owned or controlled by the Government of Iran;

(2) Exportation or reexportation to Iran or the Government of Iran of any goods, technology, or services, except to the extent that such exportation or reexportation is also subject to export licensing application requirements of another agency of the United States Government and the granting of such a license by that agency would be prohibited by law;

(3) Financial transactions related to the resolution of disputes at tribunals, including transactions related to the funding of proceedings or of accounts related to proceedings or to a tribunal; participation, representation, or testimony before a tribunal; and the payment of awards of a tribunal; and

(4) Other transactions otherwise prohibited by this part which are necessary to permit implementation of the foregoing awards, decisions, orders, or agreements.

(b) Specific licenses may be issued on a case-by-case basis to authorize payment of costs related to the storage or maintenance of goods in which the Government of Iran has title, and to authorize the transfer of title to such goods, provided that such goods are in the United States and that such goods are the subject of a proceeding pending before a tribunal.

(c)(1) All transactions are authorized with respect to the importation of Iranian-origin goods and services necessary to the initiation and conduct of legal proceedings, in the United States or abroad, including administrative, judicial and arbitral proceedings and proceedings before tribunals.

(2) Specific licenses may be issued on a case-by-case basis to authorize the exportation to Iran or the Government of Iran of goods, and of services not otherwise authorized by §560.525, necessary to the initiation and conduct of legal proceedings, in the United States or abroad, including administrative, judicial and arbitral proceedings and proceedings before tribunals, except to the extent that the exportation is also subject to export licensing application requirements of another agency of the United States Government and the granting of such a license by that agency would be prohibited by law.

(3) Representation of United States persons or of third country persons in legal proceedings, in the United States or abroad, including administrative, judicial and arbitral proceedings and proceedings before tribunals, against Iran or the Government of Iran is not prohibited by this part. The exportation of certain legal services to a person in Iran or the Government of Iran is authorized in §560.525.

(d) The following are authorized:

(1) All transactions related to payment of awards of the Iran-United States Claims Tribunal in The Hague against Iran.

(2) All transactions necessary to the payment and implementation of awards (other than exports or reexports subject to export license application requirements of other agencies of the United States Government) in a legal proceeding to which the United States is a party.
States Government is a party, or to payments pursuant to settlement agreements entered into by the United States Government in such a legal proceeding.


§ 560.511 Exportation or supply of insufficient United States content for use in foreign-made products or technology.

(a) Except as provided in paragraph (b) of this section and notwithstanding the prohibitions in §560.204, the exportation or supply of goods or technology from the United States, or by a United States person wherever located, for substantial transformation or incorporation into a foreign-made end product in a country other than the United States or Iran, intended specifically or predominantly for Iran or the Government of Iran, is permitted under this part where the exporter has ascertained that all of the following are the case:

(1) The U.S.-origin goods or technology being exported for substantial transformation or incorporation abroad were not subject to export license application requirements under any United States regulations in effect on May 6, 1995, or were not thereafter made subject to such regulations imposed independently of this part;

(2) With respect to the foreign-made end product:

(i) U.S.-origin goods (excluding software) comprise less than 10 percent of the foreign-made good (excluding software);

(ii) U.S.-origin software comprises less than 10 percent of the foreign-made software;

(iii) U.S.-origin technology comprises less than 10 percent of the foreign-made technology; and

(iv) In cases involving a complex product made of a combination of goods (including software) and technology, the aggregate value of all U.S.-origin goods (including software) and technology contained in the foreign-made end product is less than 10 percent of the total value of the foreign-made product;

(3) The foreign-made end product is not destined to end uses or end users prohibited under regulations administered by other U.S. Government agencies. See, e.g., the Export Administration Regulations (31 CFR 736.2(b)(5), 744.2, 744.3, 744.4, 744.7, and 744.10); International Traffic in Arms Regulations (22 CFR 123.9);

(4) The foreign-made end product is not intended for use in the Iranian petroleum or petrochemical industry. For this purpose, products intended for use in the Iranian petroleum or petrochemical industry include not only products uniquely suited for use in those industries, such as oilfield services equipment, but also goods and technology for use in products, such as computers, office equipment, construction equipment, or building materials, which are suitable for use in other industries but which are intended specifically for use in the petroleum or petrochemical industries.

(b) The authorization contained in this section is not available if the foreign-made end product is of a type which other U.S. Government agencies make ineligible for de minimis U.S.-origin content. See, e.g., the Export Administration Regulations (15 CFR 734.4(a) and (b)); International Traffic in Arms Regulations (22 CFR 123.9).

NOTE TO §560.511. An exportation authorized by this section may nevertheless require authorization by the U.S. Department of Commerce, the U.S. Department of State or other agencies of the U.S. Government.

[64 FR 20174, Apr. 26, 1999]

§ 560.512 Iranian Government missions in the United States.

(a) All transactions ordinarily incident to the importation of goods or services into the United States by, the exportation of goods or services from the United States by, or the provision of goods or services in the United States to, the missions of the Government of Iran to international organizations in the United States to, the missions of the Government of Iran to international organizations in the United States, and Iranians admitted to the United States under section 101(a)(15)(G) of the Immigration and Nationality Act ("INA"), 8 U.S.C. 1101(a)(15)(G), are authorized, provided that:

(1) The goods or services are for the conduct of the official business of the mission, or for personal use of personnel admitted to the United States
under INA section 101(a)(15)(G), and are not for resale; and
(2) The transaction is not otherwise prohibited by law.

(b) All transactions ordinarily incident to the importation of goods or services into the United States by, the exportation of goods or services from the United States by, or the provision of goods or services in the United States to, the Iranian Interests Section of the Embassy of Pakistan (or any successor protecting power) in the United States, are authorized, provided that:
(1) The goods or services are for the conduct of the official business of the Iranian Interests Section, and are not for resale; and
(2) The transaction is not otherwise prohibited by law.

(c) All transactions ordinarily incident to the provision of goods or services in the United States to the employees of Iranian missions to international organizations in the United States, and to employees of the Iranian Interests Section of the Embassy of Pakistan (or any successor protecting power) in the United States, are authorized, provided that the transaction is not otherwise prohibited by law.

§ 560.513 Importation of Iranian-origin oil.

(a) Specific licenses will be issued on a case-by-case basis to permit the importation of Iranian-origin oil in connection with the resolution or settlement of cases before the Iran-United States Claims Tribunal in The Hague, established pursuant to the Declaration of the Government of the Democratic and Popular Republic of Algeria Concerning the Settlement of Claims by the Government of the United States of America and the Government of the Islamic Republic of Iran of January 19, 1981, or where the proceeds are otherwise to be deposited in the Tribunal’s Security Account.

(b) License applications submitted pursuant to this section must contain the importer’s certification that the oil is of Iranian origin with all relevant supporting documentation, including specification of the production site at which the oil was extracted, and that the sale or transfer of the oil is by or for the account of the Government of Iran. Licenses will not be issued for importations of Iranian-origin oil which is not sold or transferred by or for the account of the Government of Iran. In cases where the oil is being imported either in whole or in part in resolution or settlement of a case pending before the Tribunal, applicants are required to identify the case and submit a copy of the settlement agreement and the Award on Agreed Terms issued by the Tribunal. In cases where any proceeds are generated for the account of the Government of Iran from the importation of Iranian-origin oil, the importer must demonstrate that irrevocable arrangements are in place that will ensure that the proceeds will be deposited in the Tribunal’s Security Account.

§ 560.514 [Reserved]

§ 560.515 30-day delayed effective date for pre-May 7, 1995 trade contracts involving Iran.

(a) All transactions necessary to complete performance of a trade contract entered into prior to May 7, 1995, and involving Iran (a pre-existing trade contract), including the exportation of goods, services (including financial services), or technology from the United States that was authorized pursuant to Federal regulations in force immediately prior to May 6, 1995, or performance under a pre-existing trade contract for transactions in Iranian-origin or Government of Iran-owned or controlled goods or services that do not involve importation into the United States, are authorized without specific licensing by the Office of Foreign Assets Control if the conditions in paragraph (a)(1) or (a)(2) of this section are met:
(1) If the pre-existing trade contract is for an exportation of goods or technology from the United States that was authorized pursuant to Federal regulations in force immediately prior to May 6, 1995, the goods or technology must be exported from the United States prior to 12:01 a.m. Eastern Daylight Time, June 6, 1995, and all other activity by U.S. persons that is necessary and incidental to the performance of the pre-existing trade contract (other than payment under a financing contract) must be completed prior to
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§ 560.516 Payment and United States dollar clearing transactions involving Iran.

(a) United States depository institutions are authorized to process transfers of funds to or from Iran, or for the direct or indirect benefit of persons in Iran or the Government of Iran, if the transfer is covered in full by any of the following conditions and does not involve debiting or crediting an Iranian account:

(1) The transfer arises from an underlying transaction that has been authorized by a specific or general license issued pursuant to this part;

(2) The transfer arises from an underlying transaction that is not prohibited by this part, such as a non-commercial remittance to or from Iran (e.g., a family remittance not related to a family-owned enterprise); or

(3) The transfer arises from an underlying transaction that is exempted from regulation pursuant to §203(b) of the International Emergency Economic Powers Act (50 U.S.C. 1702(b)), such as an exportation to Iran or importation from Iran of information and informational materials, a travel-related remittance, or payment for the shipment of a donation of articles to relieve human suffering.

(b) United States registered brokers or dealers in securities are authorized to process transfers of funds to or from Iran, or for the direct or indirect benefit of persons in Iran or the Government of Iran, if the transfer is covered in full by any of the conditions set forth in paragraph (a) of this section and does not involve the debiting or crediting of an Iranian account.

(c) Before a United States depository institution or a United States registered broker or dealer in securities initiates a payment on behalf of any customer, or credits a transfer to the account on its books of the ultimate beneficiary, the United States depository institution or United States registered broker or dealer in securities must determine that the underlying transaction is not prohibited by this part.

(d) Pursuant to the prohibitions contained in §560.208, a United States depository institution or a United States registered broker or dealer in securities may not make transfers to or for the benefit of a foreign-organized entity owned or controlled by it if the underlying transaction would be prohibited if engaged in directly by the U.S. depository institution or U.S. registered broker or dealer in securities.
§ 560.517

(e) This section does not authorize transactions with respect to property blocked pursuant to part 535.

[73 FR 66542, Nov. 10, 2008]

§ 560.517 Exportation of services: Iranian accounts at United States depository institutions or United States registered brokers or dealers in securities.

(a) United States depository institutions are prohibited from performing services with respect to Iranian accounts, as defined in §560.320, except that United States depository institutions are authorized to provide and be compensated for services and incidental transactions with respect to:

(1) The maintenance of Iranian accounts, including the payment of interest and the debiting of service charges;

(2) The processing of transfers arising from underlying transactions that are exempted from regulation pursuant to section 203(b) of the International Emergency Economic Powers Act, 50 U.S.C. 1702(b), such as an exportation of information or informational materials to Iran, a travel-related remittance, or payment for the shipment of a donation of articles to relieve human suffering; and

(3) At the request of the account party, the closing of Iranian accounts and the lump sum transfer only to the account party of all remaining funds and other assets in the account.

(b) United States registered brokers or dealers in securities are prohibited from performing services with respect to Iranian accounts, as defined in §560.320, except that United States registered brokers or dealers in securities are authorized to provide and be compensated for services and incidental transactions with respect to:

(1) The limited maintenance of an Iranian account, including only the payment into such account of interest, cash dividends, and stock dividends; the debiting of service charges; and the execution of stock splits and dividend reinvestment plans; and

(2) At the request of the account party, the closing of Iranian accounts through the one-time liquidation of all assets in the account at fair market value and the lump sum transfer only to the account party of all proceeds derived therefrom and all remaining funds in the account.

(c) Specific licenses may be issued with respect to the operation of Iranian accounts that constitute accounts of:

(1) Foreign government missions and their personnel in Iran; or

(2) Missions of the Government of Iran in the United States.


§ 560.518 Transactions in Iranian-origin and Iranian Government property.

(a) Except for transactions involving the Government of Iran, all domestic transactions with respect to Iranian-origin goods located in the United States are authorized, provided that this paragraph (a) does not affect the status of property blocked pursuant to part 535 or detained or seized, or subject to detention or seizure, pursuant to this part.

(b) All transactions necessary and incidental to a United States person’s sale or other disposition of goods or services of Iranian origin or owned or controlled by the Government of Iran that are located or to be performed outside the United States and were acquired by that United States person in transactions not prohibited by part 535 or this part are authorized, provided:

(1) The sale or other disposition does not result in the importation of such goods or services into the United States, and

(2) The sale or other disposition is completed no later than 12:01 a.m. EDT, August 6, 1995.

(c) Except as provided in paragraphs (a) and (b) of this section, United States persons may not deal in goods or services of Iranian origin or owned or controlled by the Government of Iran, except that the following transactions are authorized:

(1) Transactions by a United States person with third-country nationals incidental to the storage and maintenance in third countries of Iranian-origin goods owned prior to May 7, 1995, by that United States person or acquired thereafter by that United States
person consistent with the provisions of this part;

(2) Exportation of Iranian-origin household and personal effects from the United States incident to the relocation of United States persons outside the United States; and

(3) Purchase for personal use or consumption in Iran of Iranian-origin goods or services.

(d) In addition to transactions authorized by paragraph (c)(1) of this section, a United States person is authorized after 12:01 a.m. EDT, May 7, 1995, to use or dispose of Iranian-origin household and personal effects that are located outside the United States and that have been acquired by the United States person in transactions not prohibited by part 535 or this part.

§ 560.519 Policy governing news organization offices.

(a) Specific licenses may be issued on a case-by-case basis authorizing transactions necessary for the establishment and operation of news bureaus in Iran by United States organizations whose primary purpose is the gathering and dissemination of news to the general public.

(b) Transactions that may be authorized include but are not limited to those incident to the following:

(1) Leasing office space and securing related goods and services;

(2) Hiring support staff;

(3) Purchasing Iranian-origin goods for use in the operation of the office; and

(4) Paying fees related to the operation of the office in Iran.

(c) Specific licenses may be issued on a case-by-case basis authorizing transactions necessary for the establishment and operation of news bureaus in the United States by Iranian organizations whose primary purpose is the gathering and dissemination of news to the general public.

(d) The number assigned to such specific licenses should be referenced in all import and export documents and in all funds transfers and other banking transactions through banking institutions organized or located in the United States in connection with the licensed transactions to avoid disruption of the trade and financial transactions.

§ 560.520 Exportation of agricultural commodities on contracts entered into prior to May 7, 1995.

(a) All transactions by United States persons in connection with the exportation from the United States to Iran of any agricultural commodity under an export sales contract are authorized, provided:

(1) Such contract was entered into prior to 12:01 a.m. EDT, May 7, 1995; and

(2) The terms of such contract require delivery of the commodity prior to February 2, 1996.

(b) The performance of letters of credit and other financing agreements with respect to exports authorized by this section is authorized pursuant to their terms.

(c) For purposes of this section, the term agricultural commodity means feed grains, rice, wheat, cotton, peanuts, tobacco, dairy products, and oilseeds (including vegetable oil).

(d) Specific licenses may be granted on a case-by-case basis for transactions by United States persons in connection with the exportation of other agricultural articles from the United States to Iran that do not fall within the definition of “agricultural commodity” contained in paragraph (c) of this section, provided such exportation is pursuant to an export sales contract and the conditions contained in paragraphs (a)(1) and (a)(2) of this section are met.

§ 560.521 Diplomatic pouches.

The following transactions are authorized:

(a) The importation into the United States from Iran, or the exportation from the United States to Iran, of diplomatic pouches and their contents; and

(b) The exportation, reexportation, sale, or supply, directly or indirectly, from the United States or by a U.S. person, wherever located, of any goods or technology to a third-country government, or to its contractors or agents, for shipment to Iran via a diplomatic pouch. To the extent necessary, this section also authorizes the shipment of such goods or technology.
§ 560.522 Allowable payments for overflights of Iranian airspace.

Payments to Iran of charges for services rendered by the Government of Iran in connection with the overflight of Iran or emergency landing in Iran of aircraft owned by a United States person or registered in the United States are authorized.

§ 560.523 Exportation of equipment and services relating to information and informational materials.

Specific licenses may be issued on a case-by-case basis for the exportation of equipment and services necessary for the establishment of news wire feeds or other transmissions of information and informational materials.

[64 FR 20175, Apr. 26, 1999]

§ 560.524 Household goods and personal effects.

(a) The exportation from the United States to Iran of household and personal effects, including baggage and articles for family use, of persons departing the United States to relocate in Iran is authorized provided the articles included in such effects have been actually used by such persons or by family members accompanying them, are not intended for any other person or for sale, and are not otherwise prohibited from exportation. See also, §560.518(c)(2).

(b) The importation of Iranian-origin household and personal effects, including baggage and articles for family use, of persons arriving in the United States is authorized; to qualify, articles included in such effects must have been actually used abroad by such persons or by other family members arriving from the same foreign household, must not be intended for any other person or for sale, and must not be otherwise prohibited from importation. For purposes of this paragraph, household and personal effects include all articles meeting the criteria stated in this paragraph regardless of the time elapsed since the importer’s arrival in the United States from Iran.

[60 FR 47063, Sept. 11, 1995, as amended at 65 FR 25643, May 3, 2000]

§ 560.525 Exportation of certain legal services.

(a) The provision of the following legal services to the Government of Iran or to a person in Iran, and receipt of payment of professional fees and reimbursement of incurred expenses, are authorized:

(1) Provision of legal advice and counselling on the requirements of and compliance with the laws of any jurisdiction within the United States, provided that such advice and counselling is not provided to facilitate transactions that would violate any of the prohibitions contained in this part;

(2) Representation when a person in Iran or the Government of Iran has been named as a defendant in or otherwise made a party to domestic United States legal, arbitration, or administrative proceedings;

(3) Initiation and conduct of domestic United States legal, arbitration, or administrative proceedings on behalf of the Government of Iran or a person in Iran;

(4) Representation before any federal or state agency with respect to the imposition, administration, or enforcement of United States sanctions against Iran;

(5) Initiation and conduct of legal proceedings, in the United States or abroad, including administrative, judicial and arbitral proceedings and proceedings before international tribunals (including the Iran-United States Claims Tribunal in The Hague and the International Court of Justice):

(i) To resolve disputes between the Government of Iran and an Iranian national and the United States or a United States national;

(ii) Where the proceeding is contemplated under an international agreement; or

(iii) Where the proceeding involves the enforcement of awards, decisions,
or orders resulting from legal proceedings within the scope of paragraph (a)(5)(I) or (a)(5)(II) of this section, provided that any transaction, unrelated to the provision of legal services or the payment therefor, that is necessary or related to the execution of an award, decision or order resulting from such legal proceeding, or otherwise necessary for the conduct of such proceeding, and which would otherwise be prohibited by this part requires a specific license in accordance with §§560.510 and 560.801:

(6) Provision of legal advice and counselling in connection with settlement or other resolution of matters described in paragraph (a)(5) of this section; and

(7) Provision of legal services in any other context in which prevailing United States law requires access to legal counsel at public expense.

(b) The provision of any other legal services to a person in Iran or the Government of Iran, not otherwise authorized in or exempted by this part, requires the issuance of a specific license.

§ 560.526 Commodities trading and related transactions.

(a) Trading in Iranian-origin commodities. With respect to §560.206, specific licenses may be issued on a case-by-case basis to authorize certain commodities trading by a United States person in Iranian-origin goods, or transactions incidental to such trading, where:

(1) No party to the transaction with the United States person is a person in Iran or the Government of Iran, and

(2) It was impossible for the United States person to determine at the time of entry into the transaction, given all circumstances of the transaction, that the goods would be of Iranian origin or would be owned or controlled by the Government of Iran.

(b) Trading in commodities destined for Iran or the Government of Iran. With respect to §560.204, specific licenses may be issued on a case-by-case basis to authorize certain trading by United States persons in commodities of U.S. or third-country origin destined for Iran or the Government of Iran, or transactions incidental to such trading, where:

(1) It was impossible for the United States person to determine at the time of entry into the transaction, given all circumstances of the transaction, that the goods would be for delivery to Iran or to the Government of Iran;

(2) The United States person did not contract with a person in Iran or the Government of Iran; and

(3) The United States person did not initiate the nomination of the commodity’s destination as Iran or the Government of Iran.

§ 560.527 Rescheduling existing loans.

Specific licenses may be issued on a case-by-case basis for rescheduling loans or otherwise extending the maturities of existing loans, and for charging fees or interest at commercially reasonable rates, in connection therewith, provided that no new funds or credits are thereby transferred or extended to Iran or the Government of Iran.

§ 560.528 Aircraft safety.

Specific licenses may be issued on a case-by-case basis for the exportation and reexportation of goods, services, and technology to insure the safety of civil aviation and safe operation of U.S.-origin commercial passenger aircraft.

§ 560.529 Bunkering and emergency repairs.

Goods or services provided in the United States to a non-Iranian carrier transporting passengers or goods to or from Iran are permissible if they are:

(a) Bunkers or bunkering services;

(b) Supplied or performed in the course of emergency repairs; or

(c) Supplied or performed under circumstances which could not be anticipated prior to the carrier’s departure for the United States.
§ 560.530 Commercial sales, exportation, and reexportation of agricultural commodities, medicine, and medical devices.

(a) One-year license requirement. The exportation or reexportation of agricultural commodities (including bulk agricultural commodities listed in appendix B to this part 560), medicine, or medical devices to the Government of Iran, any entity in Iran, individuals in Iran, or persons in third countries purchasing specifically for resale to any of the foregoing, shall only be made pursuant to a one-year license issued by the United States Department of the Treasury, Office of Foreign Assets Control, for contracts entered into during the one-year period of the license and shipped within the 12-month period beginning on the date of the signing of the contract. No license will be granted for the exportation or reexportation of agricultural commodities, medicine, or medical equipment to any entity or individual in Iran promoting international terrorism. Executory contracts entered into pursuant to paragraph (b)(2) of this section prior to the issuance of the one-year license described in this paragraph shall be deemed to have been signed on the date of issuance of that one-year license and, therefore, the exporter is authorized to make shipments under that contract within the 12-month period beginning on the date of issuance of the one-year license.

(b) General license for arrangement of exportation and reexportation of covered products. (1) The making of shipping arrangements, cargo inspections, obtaining of insurance, and arrangement of financing (consistent with § 560.532) for the exportation or reexportation of agricultural commodities, medicine, and medical devices to the Government of Iran, entities in Iran, individuals in Iran, or persons in third countries purchasing specifically for resale to any of the foregoing, is authorized.

(2) If desired, entry into executory contracts (including executory pro forma invoices, agreements in principle, or executory offers capable of acceptance such as bids in response to public tenders) for the exportation or reexportation of agricultural commodities, medicine, and medical devices to the Government of Iran, entities in Iran, individuals in Iran, or persons in third countries purchasing specifically for resale to any of the foregoing, is authorized, provided that performance of an executory contract is expressly made contingent upon the prior issuance of the one-year license described in paragraph (a) of this section.

(c) Instructions for obtaining one-year licenses. In order to obtain the one-year license described in paragraph (a), the exporter must provide to the Office of Foreign Assets Control:

(1) The applicant’s full legal name (if the applicant is a business entity, the state or jurisdiction of incorporation and principal place of business).

(2) The applicant’s mailing and street address (so that OFAC may reach a responsible point of contact, the applicant should also include the name of the individual(s) responsible for the application and related commercial transactions along with their telephone and fax numbers and, if available, e-mail addresses).

(3) The names, mailing addresses, and, if available, fax and telephone numbers of all parties with an interest in the transaction. If the goods are being exported or reexported to a purchasing agent in Iran, the exporter must identify the agent’s principals at the wholesale level for whom the purchase is being made. If the goods are being exported or reexported to an individual, the exporter must identify any organizations or entities with which the individual is affiliated that have an interest in the transaction.

(4) A description of all items to be exported or reexported pursuant to the requested one-year license, including a statement that the item is classified as EAR 99, and, if necessary, documentation sufficient to verify that the items to be exported or reexported are classified as EAR 99 and do not fall within any of the limitations contained in paragraph (d) of this section.

(5) An Official Commodity Classification of EAR 99 issued by the Department of Commerce, Bureau of Industry and Security ("BIS"), certifying that the product is EAR 99, is required to be submitted to OFAC with the request.
for a license authorizing the exportation or reexportation of all fertilizers, live horses, western red cedar, and medical devices other than basic medical supplies, such as syringes, bandages, gauze and similar items, that are specifically listed on BIS’s Web site, http://www.bis.doc.gov/policiesandregulations/tradesanctionsreformexportenhancementact.html. Medical supplies that are specifically listed on BIS’s Web site may not require an Official Commodity Classification of EAR 99 from BIS. BIS will also provide a list on its Web site of medicines that are ineligible for a one-year license under these procedures. Exporters should seek an Official Commodity Classification of EAR 99 from BIS for medicines and submit a copy to OFAC. See 15 CFR 745.3 for instructions for obtaining Official Commodity Classification of EAR 99 from BIS.

(d) Limitations. (1) Nothing in this section or in any license issued pursuant to paragraph (a) of this section relieves the exporter from compliance with the export license application requirements of another Federal agency.

(2) Nothing in this section or in any license issued pursuant to paragraph (a) of this section authorizes the exportation or reexportation of any agricultural commodity, medicine, or medical device controlled on the United States Munitions List established under section 38 of the Arms Export Control Act (22 U.S.C. 2778); controlled on any control list established under the Export Administration Act of 1979 or any successor statute (50 U.S.C. App. 2401 et seq.); or used to facilitate the development or production of a chemical or biological weapon or weapon of mass destruction.

(3) Nothing in this section or in any license issued pursuant to paragraph (a) of this section affects prohibitions on the sale or supply of U.S. technology or software used to manufacture agricultural commodities, medicine, or medical devices, such as technology to design or produce biotechnological items or medical devices.

(4) Nothing in this section or in any license issued pursuant to paragraph (a) of this section affects U.S. non-proliferation export controls, including end-user and end-use controls maintained under the Enhanced Proliferation Control Initiative.

(5) This section does not apply to any transaction or dealing involving property blocked pursuant to this chapter or any other activity prohibited by this chapter not otherwise authorized in this part.

(e) Covered items. For the purposes of this part, agricultural commodities, medicine, and medical devices are defined below.

(1) Agricultural commodities. For the purposes of this section, agricultural commodities are:

(A) Food for humans (including raw, processed, and packaged foods; live animals; vitamins and minerals; food additives or supplements; and bottled drinking water) or animals (including animal feeds);

(B) Seeds for food crops;

(C) Fertilizers or organic fertilizers;

or

(D) Reproductive materials (such as live animals, fertilized eggs, embryos, and semen) for the production of food animals.

(2) Medicine. For the purposes of this section, the term medicine has the same meaning given the term “drugs” in section 201 of the Federal Food, Drug, and Cosmetic Act (21 U.S.C. 321) but does not include any item listed on the Commerce Control List in the Export Administration Regulations, 15 CFR part 774, supplement no. 1 (excluding items classified as EAR 99).

(3) Medical device. For the purposes of this section, the term medical device has the meaning given the term “device” in section 201 of the Federal Food, Drug, and Cosmetic Act (21 U.S.C. 321) but does not include any item listed on the Commerce Control
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List in the Export Administration Regulations, 15 CFR part 774, supplement no. 1 (excluding items classified as EAR 99).

[74 FR 61034, Nov. 23, 2009]

§ 560.532 Payment for and financing of exports and reexports of agricultural commodities, medicine, and medical devices.

(a) General license for payment terms. The following payment terms for sales of agricultural commodities and products, medicine, and medical equipment pursuant to §§ 560.530 and 560.531 are authorized:

1. Payment of cash in advance;
2. Sales on open account, provided that the account receivable may not be transferred by the person extending the credit; or
3. Financing by third-country financial institutions that are neither United States persons nor Government of Iran entities. Such financing may be confirmed or advised by U.S. financial institutions.

(b) Specific licenses for alternate payment terms. Specific licenses may be issued on a case-by-case basis for payment terms and trade financing not authorized by the general license in paragraph (a) of this section for sales pursuant to § 560.530. See § 501.801(b) of this chapter for specific licensing procedures.

(c) No debits or credits to Iranian accounts on the books of U.S. depository institutions. Nothing in this section authorizes payment terms or trade financing involving debits or credits to Iranian accounts, as defined in § 560.320.

(d) Transfers through the U.S. financial system. Any payment relating to a transaction authorized in or pursuant to § 560.530 or § 560.533 that is routed through the U.S. financial system must reference the relevant Office of Foreign Assets Control license authorizing the payment to avoid the rejection of the transfer. See § 560.516(c).

(e) Notwithstanding any other provision of this section, no commercial exportation to Iran may be made with United States Government assistance, including United States foreign assistance, United States export assistance, and any United States credit or guarantees absent a Presidential waiver.

[74 FR 61035, Nov. 23, 2009]

§ 560.533 Brokering sales of agricultural commodities, medicine, and medical devices.

(a) General license for brokering sales by U.S. persons. United States persons are authorized to provide brokerage services on behalf of U.S. persons for the sale and exportation or reexportation by United States persons of agricultural commodities, medicine, and medical devices, provided that the sale and exportation or reexportation is authorized by a one-year license issued pursuant to § 560.530.

(b) Specific licensing for brokering sales by non-U.S. persons of bulk agricultural commodities. Specific licenses may be issued on a case-by-case basis to permit United States persons to provide brokerage services on behalf of non-United States, non-Iranian persons for the sale and exportation or reexportation of bulk agricultural commodities to the Government of Iran, entities in Iran or individuals in Iran. Specific licenses issued pursuant to this section will authorize the brokering only of sales that:

1. Are limited to the bulk agricultural commodities listed in appendix B to this part 560;
2. Are to purchasers permitted pursuant to § 560.530; and

Note to § 560.533(b)(2): Requests for specific licenses to provide brokerage services under this paragraph must include all of the information described in § 560.530(c).

(3) Make any performance involving the exportation or reexportation of any goods, technology or services (including technical data, software, or information) that are subject to license application requirements of another Federal agency contingent upon the prior authorization of that agency. (For example, items classified EAR 99 under the Export Administration Regulations, 15 CFR parts 730 through 774, may in certain instances require a license from the Department of Commerce, Bureau of Industry and Security. See, e.g., 15 CFR 736.2(b)(5), 744.2 through 744.4, 744.7, and 744.10; see also 22 CFR 123.9.)
§ 560.534 Importation into the United States of, and dealings in, certain foodstuffs and carpets authorized.

(a) The importation into the United States, from Iran or a third country, of the following goods of Iranian-origin is authorized:

(1) Foodstuffs intended for human consumption that are classified under chapters 2-23 of the Harmonized Tariff Schedule of the United States;

(2) Carpets and other textile floor coverings and carpets used as wall hangings that are classified under chapter 57 or heading 9706.00.0060 of the Harmonized Tariff Schedule of the United States.

(b) United States persons, wherever located, are authorized to engage in transactions or dealings in or related to the categories of Iranian-origin goods described in paragraph (a) of this section, provided that the transaction or dealing does not involve or relate to goods, technology, or services for exportation, reexportation, sale, or supply, directly or indirectly, to Iran or the Government of Iran, other than services described in §560.405 (“Transactions incidental to a licensed transaction authorized”).

(c) This section does not affect any open enforcement action initiated by the U.S. Government prior to April 28, 2000, or any seizure, forfeiture, penalty, or liquidated damages case that is considered closed in accordance with Customs or other agency regulations. This section also does not authorize the importation into the United States of goods that are under seizure or detention by U.S. Customs officials pursuant to Customs laws or other applicable provisions of law, until any applicable penalties, charges, duties, or other conditions are satisfied. This section does not authorize importation into the United States of goods for which forfeiture proceedings have commenced or of goods that have been forfeited to the U.S. Government, other than through Customs disposition by selling at auction.

(d) Iranian accounts. Nothing in this section authorizes debits or credits to Iranian accounts, as defined in §560.320.

(e) Examples. The following are examples of transactions permitted under this section:

(1) A United States person living abroad is permitted to purchase or sell an Iranian-origin carpet, as long as the sale is not to Iran or the Government of Iran.

(2) A United States person may process a documentary collection relating to the importation into the United States of Iranian-origin pistachios, but payment under the documentary collection may not involve the crediting of an Iranian account, as defined in §560.320.

[65 FR 25643, May 3, 2000, as amended at 74 FR 36398, July 23, 2009]

§ 560.535 Letters of credit and brokering services relating to certain foodstuffs and carpets.

(a) Purchases from Iran or the Government of Iran. United States depository institutions are authorized to issue letters of credit in favor of a beneficiary in Iran or the Government of Iran to pay for purchases from Iran or the Government of Iran of the categories of Iranian-origin goods described in §560.534(a), provided that such letters of credit are not advised, negotiated, paid, or confirmed by the Government of Iran.

(b) Transactions or dealings in Iranian-origin goods other than purchases from Iran or the Government of Iran. United States depository institutions are authorized to issue, advise, negotiate, pay, or confirm letters of credit to pay for transactions in or related to the categories of Iranian-origin goods described in §560.534(a), other than purchases from Iran or the Government of Iran, provided that such letters of credit are not issued, advised, negotiated, paid, or confirmed by the Government of Iran.

(c) Brokering. United States persons, wherever located, are authorized to act

[74 FR 61035, Nov. 23, 2009]
as brokers for the purchase or sale of the categories of Iranian-origin goods described in §560.534(a), provided that the goods are not for exportation, re-exportation, sale, or supply, directly or indirectly, to Iran or the Government of Iran.

(d) Iranian accounts. Nothing in this section authorizes debits or credits to Iranian accounts, as defined in §560.320.

(e) Examples. The following are examples of transactions permitted under this section:

1. A United States depository institution may issue a letter of credit in favor of a person in Iran to finance the importation into the United States of Iranian-origin caviar; the letter of credit may be confirmed by a third-country bank that is not included within the definition of the term Government of Iran.

2. A United States depository institution may advise or confirm a letter of credit issued by a third-country bank that is not included within the definition of the term Government of Iran to finance the purchase from a third country of Iranian-origin carpets by a U.S. person or third-country national.

3. A United States person may broker the sale of Iranian-origin carpets from Iran to a third-country national located outside Iran.

4. A bank that is owned or controlled by the Government of Iran may forward letter of credit documents, strictly on a documentary collection basis, either directly to a United States depository institution or to a third country bank that is not included within the definition of the term Government of Iran and that is party to a letter of credit issued by a United States depository institution. The Iranian bank may not, however, send the documents on an “approval” basis, since it is not and cannot be party to the letter of credit.

Note to §560.535: See §§560.304 and 560.313 for information relating to individuals and entities that are included within the definition of the term Government of Iran. Some entities meeting this definition are listed in appendix A to this part. See also §560.516 for information relating to authorized transfers to Iran by U.S. depository institutions relating to licensed transactions.

§560.536 Humanitarian activities in and around Iraq.

(a) A nongovernmental organization specifically licensed pursuant to 31 CFR part 575 or otherwise authorized pursuant to §560.527 to conduct certain humanitarian activities in and around Iraq is authorized to conduct activities in Iran that are directly incidental and essential to its authorized humanitarian activities in and around Iraq, subject to all conditions and restrictions imposed on the organization pursuant to §560.527 and the terms of its license or registration. This section does not authorize the actual provision of humanitarian support in Iran.

(b) No exportations or re-exportations of goods or technology, whether U.S. or foreign origin, to Iran are permitted pursuant to this section, except for articles, such as food, clothing, and medicine, intended to be used to relieve human suffering or items intended for temporary use, as personal baggage, by representatives of the authorized nongovernmental organization, provided that:

1. Any such goods or technology are not of the type controlled under the Department of Commerce’s Export Administration Regulations for exportation or re-exportation to Iran or controlled on the United States Munitions List, and

2. Any such personal items are either consumed by representatives of that organization during the visit or removed from Iran at the end of each visit.

(c) This section does not authorize the shipment or transshipment of goods or technology, whether U.S. or foreign origin, from Iran to any other country, including Iraq, except for the shipment or transshipment to Iraq of articles, such as food, clothing, and medicine, intended to be used to relieve human suffering. Nongovernmental organizations that wish to transport other types of goods or technology from Iran to Iraq must apply
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for specific authorization from the Office of Foreign Assets Control pursuant to §501.801(b), 31 CFR chapter V.

d) U.S. financial institutions are authorized to engage in funds transfers in connection with transactions authorized pursuant to this section consistent with the provisions of 31 CFR 560.516.

e) Nongovernmental organizations conducting transactions under this section based on a specific license or a registration issued pursuant to 31 CFR part 575 must reference their license or registration number on all payments and funds transfers and on all related documentation.

(3) Any funds transferred to Iran pursuant to this section may be used only for the purchase of services and goods necessary and essential to the conduct of the assessment mission and, whether U.S. or foreign origin, not of the type controlled under the Department of Commerce's Export Administration Regulations for exportation or re-exportation to Iran or controlled on the United States Munitions List.

§ 560.537 Authorization of certain survey or assessment missions in Iran.

(a) Subject to the conditions of paragraphs (b), (c), and (d) of this section, nongovernmental organizations are authorized to conduct survey or assessment missions in Iran related to the planning or preparation for the provision of humanitarian support to the Iraqi people. This section does not authorize the actual provision of such humanitarian support in Iran.

(b) The authorization of paragraph (a) of this section is available only to the following types of nongovernmental organizations:

(1) Nongovernmental organizations registered pursuant to 31 CFR 575.527; or

(2) Nongovernmental organizations that have been issued specific licenses under 31 CFR part 575 to carry out humanitarian activities in Iraq, but not including organizations that have been issued specific licenses solely to export goods to Iraq.

(c) This section does not authorize nongovernmental organizations to open offices or to establish permanent facilities of any kind or to purchase any goods, services, or technology in Iran of any kind, except those described in paragraph (d)(3) of this section.

(d) The authorization of this section is subject to the following conditions:

(1) U.S. financial institutions are authorized to engage in funds transfers in connection with transactions authorized pursuant to this section consistent with the provisions of 31 CFR 560.516.

(2) Nongovernmental organizations conducting transactions under this section based on a specific license or a registration issued pursuant to 31 CFR part 575 must reference their license or registration number on all payments and funds transfers and on all related documentation.

(3) Any funds transferred to Iran pursuant to this section may be used only for the purchase of services and goods necessary and essential to the conduct of the assessment mission and, whether U.S. or foreign origin, not of the type controlled under the Department of Commerce’s Export Administration Regulations for exportation or re-exportation to Iran or controlled on the United States Munitions List.

(4)(i) No exportations or re-exportations of goods or technology, whether U.S. or foreign origin, to Iran are permitted pursuant to this section, except for those items intended for temporary use, as personal baggage, by mission representatives, provided that such items are either consumed by mission representatives during the visit or removed from Iran at the end of each visit, and further provided that any such personal items are not of the type controlled under the Department of Commerce’s Export Administration Regulations for exportation or re-exportation to Iran or controlled on the United States Munitions List.

(ii) Nongovernmental organizations that wish to export or re-export goods or technology to Iran, beyond personal baggage items described in paragraph (d)(4)(i) of this section, as part of a survey or assessment mission must apply for specific authorization from the Office of Foreign Assets Control pursuant to §501.801(b), 31 CFR chapter V.

(5) Nongovernmental organizations acting under this section shall take adequate measures to prevent any items authorized for exportation, re-exportation, or local purchase from being obtained or acquired by the Government of Iran.

[68 FR 11742, Mar. 12, 2003] [68 FR 11743, Mar. 12, 2003]
§ 560.538 Authorized transactions necessary and ordinarily incident to publishing.

(a) To the extent that such activities are not exempt from this part, and subject to the restrictions set forth in paragraphs (b) through (d) of this section, U.S. persons are authorized to engage in all transactions necessary and ordinarily incident to the publishing and marketing of manuscripts, books, journals, and newspapers in paper or electronic format (collectively, “written publications”). This section does not apply if the parties to the transactions described in this paragraph include the Government of Iran. For the purposes of this section, the term “Government of Iran” includes the state and the Government of Iran, as well as any political subdivision, agency, or instrumentality thereof, which includes the Central Bank of Islamic Republic of Iran, and any person acting or purporting to act directly or indirectly on behalf of any of the foregoing with respect to the transactions described in this paragraph. For the purposes of this section, the term “Government of Iran” does not include any academic and research institutions and their personnel. Pursuant to this section, the following activities are authorized, provided that U.S. persons ensure that they are not engaging, without separate authorization, in the activities identified in paragraphs (b) through (d) of this section:

(1) Commissioning and making advance payments for identifiable written publications not yet in existence, to the extent consistent with industry practice;

(2) Collaborating on the creation and enhancement of written publications;

(3)(i) Augmenting written publications through the addition of items such as photographs, artwork, translation, explanatory text, and, for a written publication in electronic format, the addition of embedded software necessary for reading, browsing, navigating, or searching the written publication;

(ii) Exporting embedded software necessary for reading, browsing, navigating, or searching a written publication in electronic format, provided that the software is classified as “EAR 99” under the Export Administration Regulations, 15 CFR parts 730 through 774 (the “EAR”), or is not subject to the EAR;

(4) Substantive editing of written publications;

(5) Payment of royalties for written publications;

(6) Creating or undertaking a marketing campaign to promote a written publication; and

(7) Other transactions necessary and ordinarily incident to the publishing and marketing of written publications as described in this paragraph (a).

(b) This section does not authorize transactions involving the provision of goods or services not necessary and ordinarily incident to the publishing and marketing of written publications as described in paragraph (a) of this section. For example, this section does not authorize U.S. persons:

(1) To provide or receive individualized or customized services (including, but not limited to, accounting, legal, design, or consulting services), other than those necessary and ordinarily incident to the publishing and marketing of written publications, even though such individualized or customized services are delivered through the use of information and informational materials;

(2) To create or undertake for any person a marketing campaign with respect to any service or product other than a written publication, or to create or undertake a marketing campaign of any kind for the benefit of the Government of Iran;

(3) To engage in the exportation or importation of goods to or from Iran other than the exportation of embedded software described in paragraph (a)(3)(ii); or

(4) To operate a publishing house, sales outlet, or other office in Iran.

NOTE TO PARAGRAPH (b): The importation from Iran and the exportation to Iran of information or informational materials, as defined in §560.515, whether commercial or otherwise, regardless of format or medium of transmission, are exempt from the prohibitions and regulations of this part. See §560.210(c).

(c) This section does not authorize U.S. persons to engage the services of publishing houses or translators in
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§ 560.539 Official activities of certain international organizations.

(a) General license. Except as provided in paragraph (b) of this section, the performance of transactions for the conduct of the official business of the United Nations, the World Bank, the International Monetary Fund, the International Atomic Energy Agency, the International Labor Organization or the World Health Organization in or involving Iran by U.S. persons who are employees or contractors thereof is hereby authorized. Authorized transactions include, but are not limited to:

(1) The provision of services involving Iran necessary for carrying out the official business;

(2) Purchasing Iranian-origin goods and services for use in carrying out the official business;

(3) Leasing office space and securing related goods and services;

(4) Funds transfers to or from accounts of the international organizations covered in this paragraph, provided that funds transfers to or from Iran are not routed through an account of an Iranian bank on the books of a U.S. financial institution; and

(5) The operation of accounts for employees and contractors located in Iran who are described in this paragraph. Transactions conducted through these accounts must be solely for the employee’s or contractor’s personal use and not for any commercial purposes in or involving Iran. Any funds transfers to or from an Iranian bank must be routed through a third-country bank that is not a U.S. person.

(b) Limitations. This section does not authorize:

(1) the exportation from the United States to Iran of any goods or technology listed on the Commerce Control List in the Export Administration Regulations, 15 CFR part 774, supplement No. 1 (CCL);

(2) the reexportation to Iran of any U.S.-origin goods or technology listed on the CCL; or

(3) the exportation or reexportation from the United States or by a U.S. person, wherever located, to Iran of any services not necessary and ordinarily incident to the official business in Iran. Such transactions require separate authorization from OFAC.

NOTE TO PARAGRAPH (b): The CCL includes items such as laptops, personal computers, cell phones, personal digital assistants and other wireless handheld devices/blackberries, and other similar items. The exportation of these items to Iran, even on a temporary basis, is prohibited, unless specifically authorized in a license issued pursuant to this part in a manner consistent with the Iran-Iraq Arms Nonproliferation Act of 1992 and other relevant law.
§ 560.540 Exportation of certain services and software incident to Internet-based communications.

(a) To the extent that such transactions are not exempt from the prohibitions of this part and subject to the restrictions set forth in paragraph (b) of this section, the following transactions are authorized:

(1) The exportation from the United States or by U.S. persons, wherever located, to persons in Iran of services incident to the exchange of personal communications over the Internet, such as instant messaging, chat and email, social networking, sharing of photos and movies, web browsing, and blogging, provided that such services are publicly available at no cost to the user.

(2) The exportation from the United States or by U.S. persons, wherever located, to persons in Iran of software necessary to enable the services described in paragraph (a)(1) of this section, provided that such software is classified as “EAR99,” not subject to the EAR, or classified by the U.S. Department of Commerce ("Commerce") as mass market software under ECCN 5D992 of the EAR, and provided further that such software is publicly available at no cost to the user.

(b) This section does not authorize:

(1) The direct or indirect exportation of services or software with knowledge or reason to know that such services or software are intended for the Government of Iran.

(2) The direct or indirect exportation of any goods or technology listed on the Export Control List in the EAR, 15 CFR part 774, supplement No. 1 ("CCL"), except for software necessary to enable the services described in paragraph (a)(1) of this section that is classified by Commerce as mass market software under ECCN 5D992 of the EAR.

(3) The direct or indirect exportation of Internet connectivity services or telecommunications transmission facilities (such as satellite links or dedicated lines).

(4) The direct or indirect exportation of web-hosting services that are for purposes other than personal communications (e.g., web-hosting services for commercial endeavors) or of domain name registration services.

(c) Specific licenses may be issued on a case-by-case basis for the exportation of other services and software incident to the sharing of information over the Internet, provided the software is classified as “EAR99,” not subject to the EAR, or classified by Commerce as mass market software under ECCN 5D992 of the EAR.

[75 FR 11000, Mar. 10, 2010]
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(2) The term foreign affiliate means a person or entity other than a United States person (see §560.314) which is organized or located outside the United States and which is owned or controlled by a United States person or persons.

(c) Who must report. A United States person must file a report with respect to each foreign affiliate owned or controlled by it which engaged in a reportable transaction or transactions during the calendar quarter. For the calendar quarter beginning October 1, 1996, and all subsequent quarters, a United States person must file a report only as to each foreign affiliate owned or controlled by it which engaged in a reportable transaction or transactions totaling $1,000,000 or more during the calendar quarter. A single United States entity within a consolidated or affiliated group may be designated to report on each foreign affiliate of the United States members of the group. Such centralized reporting may be done by the United States person who owns or controls, or has been delegated authority to file on behalf of, the remaining United States persons in the group.

(d) What must be reported. (1) Part I of the report must provide the name, address, and principal place of business of the United States person; its place of incorporation or organization if an entity; and the name, title, and telephone number of the individual to contact concerning the report.

(2) Part II of the report must provide, with respect to the foreign affiliate, its name and address; the type of entity, e.g., corporation, partnership, limited liability company; the country of its incorporation or organization; and its principal place of business.

(3) Part III of the report must include the following information with respect to each reportable transaction (a separate Part III must be submitted for each reportable transaction):

(i) The nature of the transaction, e.g., purchase, sale, swap;

(ii) A description of the product involved;

(iii) The name of the Iranian or third country party or parties involved in the transaction;

(iv) The currency and amount of the transaction, and corresponding United States dollar value of the transaction if not denominated in United States dollars.

(e) Where to report. Reports must be filed with the Compliance Programs Division, Office of Foreign Assets Control, Department of the Treasury, 1500 Pennsylvania Avenue, NW—Annex, Washington, DC 20220. Reports may be submitted by facsimile transmission at 202/622-1657. A copy must be retained for the reporter’s records.

(f) Whom to contact. Blocked Assets Division, Office of Foreign Assets Control, Department of the Treasury, 1500 Pennsylvania Avenue, NW—Annex, Washington, DC 20220; telephone: 202/622-2440.

[63 FR 62941, Nov. 10, 1998]

Subpart G—Penalties

§ 560.701 Penalties.

(a) Attention is directed to section 206 of the International Emergency Economic Powers Act (the “Act”) (50 U.S.C. 1705), which is applicable to violations of the provisions of any license, ruling, regulation, order, direction or instruction issued by or pursuant to the direction or authorization of the Secretary of the Treasury pursuant to this part or otherwise under the Act.

(1) A civil penalty not to exceed the amount set forth in Section 206 of the Act may be imposed on any person who violates, attempts to violate, conspires to violate, or causes a violation of any license, order, regulation, or prohibition issued under the Act.

NOTE TO PARAGRAPH (a)(1) OF §560.701: As of June 10, 2008, the Act provides for a maximum civil penalty not to exceed the greater of $250,000 or an amount that is twice the amount of the transaction that is the basis of the violation with respect to which the penalty is imposed.

(2) A person who willfully commits, willfully attempts to commit, or willfully conspires to commit, or aids or abets in the commission of a violation of any license, order, regulation, or prohibition shall, upon conviction, be fined not more than $1,000,000, or if a natural person, may be imprisoned for not more than 20 years, or both.

(b) Adjustments to penalty amounts. (1) The civil penalties provided in the Act

(2) The criminal penalties provided in the Act are subject to adjustment pursuant to 18 U.S.C. 3571.

(c) Attention is also directed to 18 U.S.C. 1001, which provides that whoever, in any matter within the jurisdiction of any department or agency of the United States, knowingly and willfully falsifies, conceals or covers up by any trick, scheme, or device a material fact, or makes any false, fictitious or fraudulent statement or representation or makes or uses any false writing or document knowing the same to contain any false, fictitious or fraudulent statement or entry, shall be fined under title 18, United States Code, or imprisoned not more than five years, or both.

(d) Attention is directed to 18 U.S.C. 2332d, as added by Public Law 104–132, section 321, which provides that a U.S. person, knowing or having reasonable cause to know that a country is designated under section 6(j) of the Export Administration Act, 50 U.S.C. App. 2405, as a country supporting international terrorism, engages in a financial transaction with the government of that country, shall be fined under title 18, United States Code, or imprisoned for not more than 10 years, or both.

(e) Violations of this part may also be subject to relevant provisions of the Customs laws and other applicable laws.

§ 560.702 Detention of shipments.

Import shipments into the United States of Iranian-origin goods in violation of §560.201 and export shipments from the United States of goods destined for Iran in violation of §560.202 or §560.204 shall be detained. No such import, export, or reexport will be permitted to proceed, except as specifically authorized by the Secretary of the Treasury. Unless licensed, such shipments are subject to penalty or seizure and forfeiture action, under the Customs laws or other applicable provisions of law, depending on the circumstances.

§ 560.703 Prepenalty notice.

(a) When required. If the Director of the Office of Foreign Assets Control has reasonable cause to believe that there has occurred a violation of any provision of this part or a violation of the provisions of any license, ruling, regulation, order, direction or instruction issued by or pursuant to the direction or authorization of the Secretary of the Treasury pursuant to this part or otherwise under the International Emergency Economic Powers Act, and the Director determines that further proceedings are warranted, he may issue to the person concerned a notice of his intent to impose a monetary penalty. The prepenalty notice may be issued whether or not another agency has taken any action with respect to this matter.

(b) Contents—(1) Facts of violation. The prepenalty notice will describe the violation, specify the laws and regulations allegedly violated, and state the amount of the proposed monetary penalty.

(2) Right to make presentations. The prepenalty notice also shall inform the person of his right to make a written presentation within 30 days of mailing of the notice as to why a monetary penalty should not be imposed, or, if imposed, why it should be in a lesser amount than proposed.

§ 560.704 Presentation responding to prepenalty notice.

(a) Time within which to respond. The named person shall have 30 days from the date of mailing of the prepenalty notice to make a written presentation to the Director.

(b) Form and contents of the written presentation. The written presentation need not be in any particular form, but shall contain information sufficient to indicate that it is in response to the prepenalty notice. It should contain responses to the allegations in the
prepenalty notice and set forth the reasons why the person believes the penalty should not be imposed or, if imposed, why it should be in a lesser amount than proposed.

§ 560.705 Penalty notice.

(a) No violation. If, after considering any presentations made in response to the prepenalty notice and any relevant facts, the Director determines that there was no violation by the person named in the prepenalty notice, he shall promptly notify the person in writing of the determination and that no monetary penalty will be imposed.

(b) Violation. If, after considering any presentations made in response to the prepenalty notice, the Director determines that there was a violation by the person named in the prepenalty notice, he may issue a written notice of the imposition of the monetary penalty to that person.

§ 560.706 Referral for administrative collection measures or to United States Department of Justice.

In the event that the person named does not pay the penalty imposed pursuant to this part or make payment arrangements acceptable to the Director within 30 days of the mailing of the written notice of the imposition of the penalty, the matter may be referred for administrative collection measures or to the United States Department of Justice for appropriate action to recover the penalty in a civil suit in a Federal district court.

Subpart H—Procedures

§ 560.801 Procedures.

For license application procedures and procedures relating to amendments, modifications, or revocations of licenses; administrative decisions; rulemaking; and requests for documents pursuant to the Freedom of Information and Privacy Acts (5 U.S.C. 552 and 552a), see part 501, subpart E, of this chapter.


§ 560.802 Delegation by the Secretary of the Treasury.

Any action which the Secretary of the Treasury is authorized to take pursuant to Executive Order 12613, Executive Order 12957, Executive Order 12959, and any further Executive orders relating to the national emergency declared in Executive Order 12957 may be taken by the Director, Office of Foreign Assets Control, or by any other person to whom the Secretary of the Treasury has delegated authority so to act.


§ 560.803 Customs procedures: Goods specified in § 560.201.

(a) With respect to goods specified in § 560.201, and not otherwise licensed or excepted from the scope of that section, appropriate Customs officers shall not accept or allow any:

(1) Entry for consumption or warehouse (including any appraisement entry, any entry of goods imported in the mails, regardless of value, and any informal entries);

(2) Entry for immediate exportation;

(3) Entry for transportation and exportation;

(4) Withdrawal from warehouse;

(5) Admission, entry, transfer or withdrawal to or from a foreign trade zone; or

(6) Manipulation or manufacture in a warehouse or in a foreign trade zone.

(b) Customs officers may accept or allow the importation of Iranian-origin goods under the procedures listed in paragraph (a) if:

(1) A specific license pursuant to this part is presented; or

(2) Instructions authorizing the transaction are received from the Office of Foreign Assets Control.

(c) Whenever a specific license is presented to an appropriate Customs officer in accordance with this section, one additional legible copy of the entry, withdrawal or other appropriate document with respect to the merchandise involved must be filed with the appropriate Customs officers at the port where the transaction is to take place. Each copy of any such entry, withdrawal or other appropriate document, including the additional copy, must bear plainly on its face the number of
§ 560.901 Paperwork Reduction Act notice.

The specific information collection requirements in § 560.603 have been approved by the Office of Management and Budget ("OMB") under the Paperwork Reduction Act (44 U.S.C. 3507(j)) and assigned control number 1505-0106. For approval by OMB under the Paperwork Reduction Act of information collections relating to recordkeeping and reporting requirements, to licensing procedures (including those pursuant to statements of licensing policy), and to other procedures, see § 501.901 of this chapter. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid control number assigned by OMB.


APPENDIX A TO PART 560—PERSONS DETERMINED TO BE THE GOVERNMENT OF IRAN, AS DEFINED IN § 560.304 OF THIS PART

This non-exhaustive appendix lists persons determined by the Office of Foreign Assets Control ("OFAC") to be the Government of Iran, as defined in § 560.304 of this part. The persons listed below are considered to be the Government of Iran not only when they operate from the locations listed below, but also when they operate from any other location. The names and addresses are subject to change. This part 560 contains prohibitions against engaging in most transactions with persons that meet the definition of the Government of Iran, whether such persons are located or incorporated inside or outside of Iran. Moreover, regardless of whether a person is listed below, if the person comes within the definition of Government of Iran in § 560.304, the prohibitions on engaging in transactions with the person, wherever located worldwide, apply to the same extent they would apply if the person were listed in this appendix. Note that the prohibitions in this part 560 also apply to most transactions with persons located in Iran that are not the Government of Iran. Finally, a person listed in appendix A to part 560 also may be subject to other sanctions programs administered by OFAC, in which case that person's name would also appear in the list at appendix A to 31 CFR chapter V. Such a person is identified in appendix A to part 560 by references ("tags"), located at the end of the person's listing, to the sanctions program(s) to which the person is subject (e.g., [IRAN] [NPWMD] or [IRAN] [SDGT]).

NOTES TO APPENDIX A TO PART 560:

1. The alphabetical list below provides the following information concerning persons determined by OFAC to be the Government of Iran: the name (including known former or alternate names), address, [IRAN] tag, and, if applicable, the tag(s) denoting other sanctions program(s) under which the person also is blocked.

2. The abbreviations used in this appendix are "a.k.a." (also known as) and "f.k.a." (formerly known as).
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3. The references to sanctions programs in 31 CFR chapter V include: [IRAN] (Iranian Transactions Regulations, part 560); [NPWMD] (Weapons of Mass Destruction Proliferators Sanctions Regulations, part 544); and [SDGT] (Global Terrorism Sanctions Regulations, part 594).

4. The names of persons listed in Appendix A to Part 560 also are published on OFAC's Specially Designated Nationals and Blocked Persons List ("SDN" list), available on OFAC's Web site. New names of persons determined to be the Government of Iran and changes to existing listings will be published in the FEDERAL REGISTER as the names are added to the SDN list on OFAC's Web site. Appendix A to Part 560 will be republished annually.

This document and additional information concerning OFAC are available from OFAC's Web site (http://www.treas.gov/ofac). Certain information pertaining to OFAC's sanctions programs also is available via facsimile through a 24-hour fax-on-demand service, tel.: 202/622–0077. Please consult OFAC's Web site prior to engaging in transactions concerning OFAC. Certain sanctions programs also is available via fax-on-demand service.

**BANK MELLI IRAN (a.k.a. BANK MELLI; BANK MELLAT, 327 Forsat and Taleghani**

**BANK MASKAN (a.k.a. HOUSING BANK (OF IRAN))**, PO Box 14155-6395, 129 Patrice Lumumba St, Jalal-al-Ahmad Expressway, Tehran 14454, Iran; all offices worldwide [IRAN]

**BANK KESHavarzi IRAN (a.k.a. AGRICULTURAL BANK OF IRAN; a.k.a. BANK KESHavarzi), PO Box 14155-6395, 129 Patrice Lumumba St, Jalal-al-Ahmad Expressway, Tehran 14454, Iran; all offices worldwide [IRAN]

**BANK MARKazi Jomhoouri Islami IRAN (a.k.a. BANK MARKAZI IRAN; a.k.a. CENTRAL BANK OF IRAN; a.k.a. CENTRAL BANK OF THE ISLAMIC REPUBLIC OF IRAN), 213 Ferdowsi Avenue, Tehran 11365, Iran; PO Box 15875/7177, 144 Mirdamad Blvd, Tehran, Iran [IRAN]

**BANK MASKAN (a.k.a. HOUSING BANK (OF IRAN)), PO Box 11365/5699, No 247 3rd Floor Fedowsi Ave, Cross Sarhang Sakhai St, Tehran, Iran; all offices worldwide [IRAN]

**BANK Mellat, 327 Forsat and Taleghani Avenue, Tehran 15817, Iran; PO Box 3763010, Amiryan Str #6, P–N–24, Yerevan, Armenia; Keumkang Tower—13th & 14th Floor, 889–13 Daechi-Dong, Gangnam-Ku, Seoul 135–280, Korea, South; PO Box 7906425, Ziya Gokalp Bulvari No 12, Kizilay, Ankara, Ankara, Turkey; Cumhuriyet Bulvari No 88/A, P.K 7103321, Konak, Izmir, Turkey; Buyukdere Cad, Cicek Sokak No 1–1 Levent, Levent, Istanbul, Turkey; Head Office Bldg, 327 Taleghani Ave, Tehran 15817, Iran; all offices worldwide [IRAN] [NPWMD]

**BANK Melli IRAN (a.k.a. BANK MELLI; a.k.a. NATIONAL BANK OF IRAN), 43 Avenue Montaigne, Paris 75008, France; Room 704–2, Wheelock Hse, 20 Pedder St, Central, Hong Kong; Bank Melli Iran Bldg, 111 St 24, 929 Arasat, Baghdad, Iraq; PO Box 2643, Rusi, Muscat 112, Oman; PO Box 2656, Liva Street, Abu Dhabi, United Arab Emirates; PO Box 248, Hamad Bin Abdulla St, Fujairah, United Arab Emirates; PO Box 1888, Clock Tower, Industrial Rd, Al Ain Club Bldg, Al Ain, Abu Dhabi, United Arab Emirates; PO Box 1894, Rashid St, Commercial Bank Bldg, Dubai City, United Arab Emirates; PO Box 5270, Oman Street Al Nakheel, Ras Al-Khaimah, United Arab Emirates; PO Box 459, Al Borj St, Sharjah, United Arab Emirates; PO Box 3093, Ahmed Seddiqui Bldg, Khalid Bin El-Walid St, Bur-Dubai, Dubai City 3093, United Arab Emirates; PO Box 1894, Al Wasi Rd, Jumeirah, Dubai, United Arab Emirates; Postfach 112 129, Holzbruecke 2, D-20459, Hamburg, Germany; Nobel Ave. 14, Baku, Azerbaijan; Unit 1703–4, 17th Floor, Hong Kong Club Building, 3 A Chater Road Central, Hong Kong; PO Box 11365–171, Ferdowsi Avenue, Tehran, Iran; all offices worldwide [IRAN] [NPWMD]

**BANK OF INDUSTRY AND MINE (OF IRAN) (a.k.a. BANK SANAD VA MADAN; a.k.a. “BIM”), No 1655, Firouzeh Building, Mahmoudiyi Street, Viliaar Ave, Tehran, Iran; PO Box 15875–4456, Firouzeh Tower, Iran; No 1655 Vail–Asr Ave after Chamran Crossroads, Tehran 19666–3311, Iran; all offices worldwide [IRAN]

**BANK Refah Kargaran (a.k.a. BANK Refah, a.k.a. WORKERS’ WELFARE BANK (OF IRAN)), No. 80 North Shariat Street, Mollasadra Ave, Vanak Sq, Tehran 19917, Iran; all offices worldwide [IRAN]

**BANK SADERAT IRAN (a.k.a. IRAN EXPORT BANK), Ground Floor Business Room, Building Banke Khoon Road, Harat, Afghanistan; No. 56, Opposite of Security Department, Torabz Khan Str., Kabul, Afghanistan; 5 Lothbury, London EC2R 7HD, United Kingdom; Postfach 112227, Deichstrasse 11, 20459, Hamburg, Germany; PO Box 4398, 25–29 Venizelou St, Athens, Attica GR 105 64, Greece; PO Box 15745–631, Bank Saderat Tower, 43 Somayeh Avenue, Tehran, Iran; 16 rue de la Paix, Paris 75002, France; Postfach 18051, Friedensstr 4, D–60311, Frankfurt am Main, Germany; 3rd Floor, Alkitisad Bldg, Ras El Ein Street Baalbak, Baalbak, Lebanon; Saida Branch, Sida Riad Elsoleh St, Martyrs Sq, Saida, Lebanon; Borj Alarajneh Branch—20 Alholom Bldg, Sahat Mreiijeh, Kafaf St, Beirut, Lebanon; 1st Floor, Alrose Bldg, Verdun—Alaide Karame St, Beirut, Lebanon; Alghobeiri Branch—Aljawhara Bldg, Gboreiy Bldv, Beirut, Lebanon; PO Box 1289, Muscat 112, Oman; PO Box 4425, Salwa Rd, Doha, Qatar; PO Box 2256, Doha, Qatar; 2nd Floor, No 161 Makhtoomgoli Ave, Ashgabat, Turkmenistan; PO Box 700, Abu Dhabi, United Arab Emirates; PO Box 16, Liwara Street, Ajman, United Arab Emirates; PO Box 1140, Al–Am Road, Al–Ein, Al
Ain, Abu Dhabi, United Arab Emirates; Bur Dubai, Khaled Bin Al Wald St, Dubai City, United Arab Emirates; Sheikh Zayed Rd, Dubai City, United Arab Emirates; PO Box 4182, Almaktoum Rd, Dubai City, United Arab Emirates; PO Box 4182, Murshid Bazar Branch, Dubai City, United Arab Emirates; PO Box 316, Bank Saderat, 64 Rue de Miromesnil, Paris 75008, France; PO Box 417, Muscat 113, Oman; PO Box 995, Manama, Bahrain; Al-Lami Center, Ali-Bin-Abi Taleb St, Sharafia, P.O. Box 11210, Jeddah 21438, Saudi Arabia; Al Alia Center, Salaheddiek Rd, P.O. Box 2194, Riyadh 11485, Saudi Arabia; Al Rajhi Bldg., 3rd Floor, Suite 23, Dahran St., P.O. Box 1365, Dammam 31431, Saudi Arabia; all offices worldwide [IRAN] [SDGT]

BANK SEPAH, 64 Rue de Miromesnil, Paris 75008, France; Hafenstrasse 54, D-40227, Frankfurt am Main, Germany; Via Barberini 50, Rome, RM 00187, Italy; 17 Place Vendome, Paris 75008, France; Imam Khomeini Square, Tehran 113693412, Iran; all offices worldwide [IRAN] [SDGT]

BANK TEJARAT, 130, Zandi Alley, Taleghani Avenue, No 152, Ostad Neja, Ollahi Cross, Tehran 14567, Iran; 124-126 Rue de Provence, Angle 76 bd Haussman, Paris 75008, France; PO Box 734001, Rudaki Ave 98, Dushanbe 734001, Tajikistan; Office C208, Berlin Luthansha Center No 50, Liangmaqiao Rd, Chaoyang District, Beijing 100016, China; c/o Europaisch-Iranische Handelsbank AG, Depenau 2, D-20095, Hamburg, Germany; PO Box 119871, 4th Floor, c/o Persia International Bank, 6th Floor, Sadaf Bldg, Dubai City, United Arab Emirates; PO Box 15175/584, 6th Floor, Sadaf Bldg., 1137 Vali Asr Ave, Tehran 15119–43885, Iran; UK Company Number 01326618 (United Kingdom); all offices worldwide [IRAN] [NPWMD]

BIMEH IRAN INSURANCE COMPANY (U.K.) LIMITED (a.k.a. BIUK), 4/5 Fenchurch Buildings, London EC3M 5HN, United Kingdom; UK Company Number 01573317 (United Kingdom); all offices worldwide [IRAN]

European-iranische handelsbank AG (f.k.a. Deutsch-iranische handelsbank AG; a.k.a. Europaisch-iranische handelsbank Aktiengesellschaft), PO Box 79415-448, Sanaje Avenue, Kish Island, Iran; No. C15651 Valiasr Avenue, PO Box 19615-851, Tehran 19565 43 511, Iran; Depenau 2, D-20095, Hamburg, Germany; all offices worldwide [IRAN]

Intra-CHEM TRADING GMBH (a.k.a. INTRA-CHEM TRADING CO. (GMHH)), Schottweg 3, Hamburg 22087, Germany; Registration ID HRB4916 (Germany); all offices worldwide [IRAN]

Iran Insurance Company (a.k.a. Bimeh Iran), Abdolaziz-Al-Masaeed Building, Sheikh Maktoum St., Deira, P.O. Box 2004, Dubai, United Arab Emirates; P.O. Box 1865, Al Ain, Abu Dhabi, United Arab Emirates; 107 Dr Fatemi Avenue, Tehran H155/6431, Iran; P.O. Box 3281, Abu Dhabi, United Arab Emirates; P.O. Box 1566, Sharjah, United Arab Emirates; P.O. Box 489, Rase-Al-Khaimah, United Arab Emirates; P.O. Box 417, Muscat 113, Oman; P.O. Box 876, Salalah 211, Oman; P.O. Box 995, Manama, Bahrain; Al-Lami Center, Ali-Bin-Abi Taleb St, Sharafia, P.O. Box 11210, Jeddah 21438, Saudi Arabia; Al Alia Center, Salaheddiek Rd, P.O. Box 2194, Riyadh 11485, Saudi Arabia; Al Rajhi Bldg., 3rd Floor, Suite 23, Dahran St., P.O. Box 1365, Dammam 31431, Saudi Arabia; all offices worldwide [IRAN] [NPWMD]


Irani Oil Company (U.K.) Limited (a.k.a. Ioc Uk Ltd), Riverside House, Riverside Drive, Aberdeen AB1 1LH, United Kingdom; UK Company Number 01019769 (United Kingdom); all offices worldwide [IRAN]

Kala Limited (a.k.a. Kala Naft London Ltd), NIOC House, 4 Victoria Street, Westminster, London SW1H 0NE, United Kingdom; UK Company Number 0157853 (United Kingdom); all offices worldwide [IRAN]

Kala Pension Trust Limited, C/O Kala Limited, N.I.O.C. House, 4 Victoria Street, London SW1H 0NE, United Kingdom; UK Company Number 01573317 (United Kingdom); all offices worldwide [IRAN]


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MANUFACTURING, SUPPORT AND PROCUREMENT KALA NAFT COMPANY; a.k.a. MSP KALA NAFT TEHRAN COMPANY; a.k.a. MSP KALANFAET; a.k.a. MSP-KALANFAET COMPANY; a.k.a. SHERKAT SAHAMI KHASS KALA NAFT; a.k.a. SHERKAT SAHAMI KHASS POSHTIBANI VA TAHIEH KALAYE NAFT TEHRAN; a.k.a. SHERKAT POSHTIBANI SAKHT VA TAHIEH KALAIE NAFT TEHRAN; 342 Sepahbod Gharani Street, Karim Khan Zand Bridge, Corner Kalantari Street, 6th Floor, P.O. Box 15815-1775/15815-3446, Tehran 15988, Iran; Building No. 226, Corner of Shahid Kalantari Street, Sepahbod Gharani Avenue, Karimkhani Avenue, Tehran 1598844115, Iran; No. 242, Shahid Kalantari St., Near Karimkhani Bridge, Sepahbod Gharani Avenue, Tehran, Iran; Head Office Tehran, Sepahbod Gharani Ave., P.O. Box 15815-1775 15815/3446, Tehran, Iran; P.O. Box 2965, Sharjah, United Arab Emirates; 333 7th Ave SW #1162, Calgary, AB T2P 2E1, Canada; Chekhov St., 212. AP 97, Moscow, Russia; Room No. 704—No. 10 Chao Waidajie Chao Yang District, Beijing 10020, China; Sanaee Room No. 704—No. 10 Chao Waidajie Chao Yang Street, Tehran 19199/45111, Iran; Alley, Shahid Dastgerdi (Ex Zafar) Street, Next to Shahid Amir Soheil Tabrizian Beheshti Street, Tehran, Iran; No. 102, Lane, Khalid Eslamboli Street, Shahid Beheshti Avenue, Tehran, Iran; Head Office Tehran, Sepahbod Gharani Ave, P.O. Box 15875–6731, Tehran, Iran; 10th Floor, Sadaf Tower, Kish Island, Iran; all offices worldwide [IRAN]

NAPHTIRAN INTERTRADE CO. (NICO) LIMITED (a.k.a. NAPHT IRAN INTERNATIONAL COMPANY LTD; a.k.a. NAPHTIRAN INTERTRADE COMPANY (NICO); a.k.a. NAPHTIRAN INTERTRADE COMPANY LTD; a.k.a. NICO), 3rd Floor, Windward House, La Route De La Liberation, St. Helier JE2 3QQ, Jersey; Petro Pars Building, Saadat Abad Ave, No 35, Farhang Blvd, Tehran, Iran; all offices worldwide [IRAN] NAPHTIRAN TRADING SERVICES CO. (NTS) LIMITED, 47 Queen Anne Street, London WIG 9JG, United Kingdom; 6th Floor NOIC Ho, 4 Victoria St., London SW1H 0NE, United Kingdom; UK Company Number 02600121 (United Kingdom); all offices worldwide [IRAN]

NATIONAL IRANIAN OIL COMPANY (a.k.a. NIOC), Hafez Crossing, Taleghani Avenue, P.O. Box 1683 and 2501, Tehran, Iran; all offices worldwide [IRAN]

NATIONAL IRANIAN OIL COMPANY PTE LTD, 9 Temasek Boulevard #07-02, Suntec Tower One 039887, Singapore; Registration ID 199004388C (Singapore); all offices worldwide [IRAN]

NATIONAL PETROCHEMICAL COMPANY (a.k.a. “NPC”), No. 104, North Sheikh Bahaei Blvd., Molla Sadra Ave., Tehran, Iran; all offices worldwide [IRAN]

NICO ENGINEERING LIMITED, 41, 1st Floor, International House, The Parade, St. Helier JE2 3QQ, Jersey; Registration ID 75797 (Jersey); all offices worldwide [IRAN]

NIIOC INTERNATIONAL AFFAIRS (LONDON) LIMITED, NIOC House, 4 Victoria Street, London SW1H 0NE, United Kingdom; UK Company Number 02772297 (United Kingdom); all offices worldwide [IRAN]

NPC INTERNATIONAL LIMITED (a.k.a. NPC INTERNATIONAL COMPANY), 5th Floor NIOC House, 4 Victoria Street, London SW1H 0NE, United Kingdom; UK Company Number 02696754 (United Kingdom); all offices worldwide [IRAN]

P.C.C. (SINGAPORE) PRIVATE LIMITED (a.k.a. P.C.C. SINGAPORE BRANCH; a.k.a. PCC SINGAPORE PTE LTD), 78 Shenton Way, #08–02 079120, Singapore; Registration ID 199708410K (Singapore); all offices worldwide [IRAN]

PETROCHEMICAL COMMERCIAL COMPANY (U.K.) LIMITED (a.k.a. PCC UK; a.k.a. PCC UK LTD), 4 Victoria Street, London SW1H 0NE, United Kingdom; UK Company Number 02647333 (United Kingdom); all offices worldwide [IRAN]

PETROCHEMICAL COMMERCIAL COMPANY FZE (a.k.a. PCC FZE), 1703 17th Floor, Dubai World Trade Center Tower Sheikh Zayed Road, Dubai, United Arab Emirates; Office No. 59–A, Maker Tower “F” 9th Floor Cutte Pavade, Colaba, Bumbai 700005, India; all offices worldwide [IRAN]

PETROCHEMICAL COMMERCIAL COMPANY INTERNATIONAL LIMITED (a.k.a. PETROCHEMICAL COMMERCIAL COMPANY INTERNATIONAL LTD; a.k.a. PETROCHEMICAL TRADING COMPANY INTERNATIONAL LTD; a.k.a. “PCCI”), P.O. Box 261539, Jebel Ali, Dubai, United Arab Emirates; 41, 1st Floor, International House, The Parade, St. Helier JE2 3QQ, Jersey; Ashkhabat, Ave. 54, Yimpash Business Center, No. 506, 507, Turkmenistan; No. 21 End of 9th St, Gandi Ave, Tehran, Iran; 21, Africa Boulevard, Tehran, Iran; Registration ID 77283 (Jersey); all offices worldwide [IRAN]

PETROIRAN DEVELOPMENT COMPANY (PEDCO) LIMITED (a.k.a. PETRO IRAN DEVELOPMENT COMPANY; a.k.a. “PEDCO”), National Iranian Oil Company—PEDCO, P.O. Box 2965, Al Bathaa Tower, 9th Floor, Apt. 905, Al Buhaira Corniche, Sharjah, United Arab Emirates; P.O. Box 15875–6731, Tehran, Iran; 41, 1st Floor, International House, The Parade, St. Helier JE2 3QQ, Jersey; No. 22, 7th Lane, Khalid Eslembooli Street, Shahid Beheshti Avenue, Tehran, Iran; No. 102, Next to Shahid Amir Soheil Tabrizian Alley, Shahid Dastgerdi (Ex Zafar) Street, Shariati Street, Tehran 19186–5311, Iran;
### APPENDIX B TO PART 560—BULK AGRICULTURAL COMMODITIES

**NOTES:**
1. Appendix B sets forth those agricultural commodities eligible for the bulk agricultural commodity sales licensing procedures in §560.531.
2. Commodities are identified by their classification numbers in the Harmonized Tariff Schedule of the United States (see 19 U.S.C. 1202) ("HTS").

<table>
<thead>
<tr>
<th>HTS Number</th>
<th>Commodity</th>
</tr>
</thead>
<tbody>
<tr>
<td>1001.10</td>
<td>Durum Wheat</td>
</tr>
<tr>
<td>1001.90</td>
<td>Other Wheat and Meslin, including seed, Red Spring Wheat, White Winter Wheat, &quot;Canadian&quot; Western Red Winter Wheat, Soft White Spring Wheat, and Wheat not elsewhere specified</td>
</tr>
<tr>
<td>1101.00</td>
<td>Wheat or Meslin Flour</td>
</tr>
<tr>
<td>1006.10</td>
<td>Rice in the husk (paddy or rough)</td>
</tr>
<tr>
<td>1006.20</td>
<td>Husked (brown) Rice</td>
</tr>
<tr>
<td>1006.30</td>
<td>Semi-milled or wholly milled Rice, whether or not polished or glazed</td>
</tr>
<tr>
<td>1006.40</td>
<td>Broken Rice</td>
</tr>
<tr>
<td>1102.30</td>
<td>Rice Flour</td>
</tr>
<tr>
<td>1103.14</td>
<td>Rice Groat's, Meal and Pellets</td>
</tr>
<tr>
<td>1002.00</td>
<td>Rye</td>
</tr>
<tr>
<td>1003.00</td>
<td>Barley</td>
</tr>
<tr>
<td>1004.00</td>
<td>Oats</td>
</tr>
<tr>
<td>1007.00</td>
<td>Grain Sorghum</td>
</tr>
<tr>
<td>1005.00</td>
<td>Corn (Maize)</td>
</tr>
<tr>
<td>0713.31</td>
<td>Dried Beans including Vigna mungo (L.), Hepper, and Vigna radiata (L.) Wilczek</td>
</tr>
<tr>
<td>0713.32</td>
<td>Small red adzuki beans</td>
</tr>
<tr>
<td>0713.33</td>
<td>Kidney beans, including white pea beans</td>
</tr>
<tr>
<td>0713.39</td>
<td>Beans, other</td>
</tr>
<tr>
<td>0713.50</td>
<td>Broad beans and horse beans</td>
</tr>
<tr>
<td>0713.60</td>
<td>Dried Peas (Pisum sativum)</td>
</tr>
<tr>
<td>0713.60</td>
<td>Barley (garbanzos)</td>
</tr>
<tr>
<td>0713.60</td>
<td>Lentils</td>
</tr>
<tr>
<td>0713.90</td>
<td>Dried leguminous vegetables, shelled, not elsewhere specified</td>
</tr>
<tr>
<td>1201.00</td>
<td>Soybeans, whether or not broken</td>
</tr>
<tr>
<td>2304.00</td>
<td>Soybean cake, meal and pellets</td>
</tr>
<tr>
<td>1507.10</td>
<td>Soybean oil, crude</td>
</tr>
<tr>
<td>1507.90</td>
<td>Soybean oil, other</td>
</tr>
<tr>
<td>1514.10</td>
<td>Rapeseed, colza and mustard oil, crude</td>
</tr>
<tr>
<td>1514.90</td>
<td>Rapeseed, colza and mustard oil, other</td>
</tr>
</tbody>
</table>

(75 FR 34631, June 18, 2010)

### APPENDIX C TO PART 560—ELIGIBLE PROCUREMENT BODIES

This Appendix C sets forth eligible procurement bodies of the Government of Iran identified by the Office of Foreign Assets Control as not being affiliated with the coercive organs of the state. See §560.531(e). Government Trading Corporation (a.k.a. GTC). State Livestock and Logistics Co. (a.k.a. State Livestock Affairs Logistics; a.k.a. SLAL).

(64 FR 41793, Aug. 2, 1999)

### PART 575—IRAQI SANCTIONS REGULATIONS

#### Subpart A—Relation of This Part to Other Laws and Regulations

Sec. 575.101 Relation of this part to other laws and regulations.

#### Subpart B—Prohibitions

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575.202 Effect of transfers violating the provisions of this part.

575.203 Holding of certain types of blocked property in interest-bearing accounts.

575.204 Prohibited importation of goods or services from Iraq.

575.205 Prohibited exportation and reexportation of goods, technology, or services to Iraq.

575.206 Prohibited dealings in property.

575.207 Prohibited transactions relating to travel to Iraq or to activities within Iraq.

(64 FR 58792, Nov. 1, 1999)
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575.209 Prohibited performance of contracts.
575.210 Prohibited transfers of funds to the Government of Iraq or any person in Iraq.
575.211 Evasions; attempts; conspiracies.
575.212 Effective dates.

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575.311 Iraqi origin.
575.312 Iraqi person.
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575.314 Person.
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575.319 United States.
575.320 U.S. financial institution.
575.321 United States person; U.S. person.
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575.408 Offshore transactions.
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575.501 Effect of license or authorization.
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Source: 56 FR 2113, Jan. 18, 1991, unless otherwise noted.
Subpart A—Relation of This Part to Other Laws and Regulations

§575.101 Relation of this part to other laws and regulations.

(a) This part is separate from, and independent of, the other parts of this chapter with the exception of part 501 of this chapter, the recordkeeping and reporting requirements and license application and other procedures of which apply to this part. No license or authorization contained in or issued pursuant to those other parts authorizes any transaction prohibited by this part. No license or authorization contained in or issued pursuant to any other provision of law or regulation authorizes any transaction prohibited by this part.

(b) No license or authorization contained in or issued pursuant to this part relieves the involved parties from complying with any other applicable laws or regulations.


Subpart B—Prohibitions

§575.201 Prohibited transactions involving property in which the Government of Iraq has an interest; transactions with respect to securities.

(a) Except as authorized by regulations, rulings, instructions, licenses, or otherwise, no property or interests in property of the Government of Iraq that are in the United States, that hereafter come within the United States, or that are or hereafter come within the possession or control of U.S. persons, including their overseas branches, may be transferred, paid, exported, withdrawn or otherwise dealt in.

(b) Unless otherwise authorized by this part or by a specific license expressly referring to this section, the transfer (including the transfer on the books of any issuer or agent thereof), the endorsement or guaranty of signatures on, or any other dealing in any security (or evidence thereof) registered or inscribed in the name of the Government of Iraq and held within the possession or control of a U.S. person is prohibited, irrespective of the fact that at any time either at or subsequent to the effective date the registered or inscribed owner thereof may have, or appears to have, assigned, transferred, or otherwise disposed of any such security.

(c) When a transaction results in the blocking of funds at a financial institution pursuant to this section and a party to the transaction believes the funds have been blocked due to mistaken identity, that party may seek to have such funds unblocked pursuant to the administrative procedures set forth in §501.806 of this chapter.


§575.202 Effect of transfers violating the provisions of this part.

(a) Any transfer after the effective date, which is in violation of any provision of this part or of any regulation, ruling, instruction, license, or other direction or authorization hereunder and involves any property in which the Government of Iraq has or has had an interest since such date, is null and void and shall not be the basis for the assertion or recognition of any interest in or right, remedy, power or privilege with respect to such property.

(b) No transfer before the effective date shall be the basis for the assertion or recognition of any right, remedy, power, or privilege with respect to, or interest in, any property in which the Government of Iraq has an interest, or has had an interest since such date, unless the person with whom such property is held or maintained, prior to such date, had written notice of the transfer or by any written evidence had recognized such transfer.

(c) Unless otherwise provided, an appropriate license or other authorization issued by or pursuant to the direction or authorization of the Director of the Office of Foreign Assets Control before, during, or after a transfer shall validate such transfer or render it enforceable to the same extent that it would be valid or enforceable but for the provisions of the International Emergency Economic Powers Act, the United Nations Participation Act, this part, and any ruling, order, regulation, direction, or instruction issued hereunder.
(d) Transfers of property which otherwise would be null and void or unenforceable by virtue of the provisions of this section shall not be deemed to be null and void or unenforceable as to any person with whom such property was held or maintained (and as to such person only) in cases in which such person is able to establish to the satisfaction of the Director of the Office of Foreign Assets Control each of the following:
   (1) Such transfer did not represent a willful violation of the provisions of this part by the person with whom such property was held or maintained;
   (2) The person with whom such property was held or maintained did not have reasonable cause to know or suspect, in view of all the facts and circumstances known or available to such person, that such transfer required a license or authorization by or pursuant to this part and was not so licensed or authorized, or if a license or authorization did purport to cover the transfer, that such license or authorization had been obtained by misrepresentation of a third party or the withholding of material facts or was otherwise fraudulently obtained; and
   (3) Promptly upon discovery that:
      (i) Such transfer was in violation of the provisions of this part or any regulation, ruling, instruction, license, or other direction or authorization hereunder, or
      (ii) Such transfer was not licensed or authorized by the Director of the Office of Foreign Assets Control, or
      (iii) If a license did purport to cover the transfer, such license had been obtained by misrepresentation of a third party or the withholding of material facts or was otherwise fraudulently obtained;
   the person with whom such property was held or maintained filed with the Office of Foreign Assets Control a report setting forth in full the circumstances relating to such transfer. The filing of a report in accordance with the provisions of this paragraph shall not be deemed evidence that the terms of paragraphs (d) (1) and (2) of this section have been satisfied.

(e) Unless licensed or authorized pursuant to this part, any attachment, judgment, decree, lien, execution, garnishment, or other judicial process is null and void with respect to any property in which, on or since the effective date, there existed an interest of the Government of Iraq.

§ 575.203 Holding of certain types of blocked property in interest-bearing accounts.

(a) Any person, including a U.S. financial institution, currently holding property subject to § 575.201 which, as of the effective date or the date of receipt if subsequent to the effective date, is not being held in an interest-bearing account, or otherwise invested in a manner authorized by the Office of Foreign Assets Control, must transfer such property to, or hold such property or cause such property to be held in, an interest-bearing account or interest-bearing status in a U.S. financial institution as of the effective date or the date of receipt if subsequent to the effective date of this section, unless otherwise authorized or directed by the Office of Foreign Assets Control. This requirement shall apply to currency, bank deposits, accounts, and any other financial assets, and any proceeds resulting from the sale of tangible or intangible property. If interest is credited to an account separate from that in which the interest-bearing asset is held, the name of the account party on both accounts must be the same and must clearly indicate the blocked Government of Iraq entity having an interest in the accounts.

(b) For purposes of this section, the term interest-bearing account means a blocked account in a U.S. financial institution earning interest at rates that are commercially reasonable for the amount of funds in the account. Except as otherwise authorized, the funds may not be invested or held in instruments the maturity of which exceeds 90 days.

(c) This section does not apply to blocked tangible property, such as chattels, nor does it create an affirmative obligation on the part of the holder of such blocked tangible property to sell or liquidate the property and put the proceeds in a blocked account. However, the Office of Foreign Assets Control may issue licenses permitting or directing sales of tangible property in appropriate cases.
§ 575.204 Prohibited importation of goods or services from Iraq.

Except as otherwise authorized, no goods or services of Iraqi origin may be imported into the United States, nor may any U.S. person engage in any activity that promotes or is intended to promote such importation.

§ 575.205 Prohibited exportation and reexportation of goods, technology, or services to Iraq.

Except as otherwise authorized, no goods, technology (including technical data and information), or services may be exported from the United States, or, if subject to U.S. jurisdiction, exported or reexported from a third country to Iraq, to any entity owned or controlled by the Government of Iraq, or to any entity operated from Iraq, except donated foodstuffs in humanitarian circumstances, and donated supplies intended strictly for medical purposes, the exportation of which has been specifically licensed pursuant to §§575.507, 575.517 or 575.518.

§ 575.206 Prohibited dealing in property.

Except as otherwise authorized, no U.S. person may deal in property of Iraqi origin exported from Iraq after August 6, 1990, property intended for exportation to Iraq, or property intended for exportation from Iraq to any other country, nor may any U.S. person engage in any activity that promotes or is intended to promote such dealing.

§ 575.207 Prohibited transactions relating to travel to Iraq or to activities within Iraq.

Except as otherwise authorized, no U.S. person may engage in any transaction relating to travel by any U.S. citizen or permanent resident alien to Iraq, or to activities by any U.S. citizen or permanent resident alien within Iraq, after the effective date, other than transactions:

(a) Necessary to effect the departure of a U.S. citizen or permanent resident alien from Kuwait or Iraq;

(b) Relating to travel and activities for the conduct of the official business of the United States Government or the United Nations; or

(c) Relating to journalistic activity by persons regularly employed in such capacity by a newsgathering organization.

This section prohibits the unauthorized payment by a U.S. person of his or her own travel or living expenses to or within Iraq.

§ 575.208 Prohibited transportation-related transactions involving Iraq.

Except as otherwise authorized, the following are prohibited:

(a) Any transaction by a U.S. person relating to transportation to or from Iraq;

(b) The provision of transportation to or from the United States by any Iraqi person or any vessel or aircraft of Iraqi registration; or

(c) The sale in the United States by any person holding authority under the Federal Aviation Act of any transportation by air which includes any stop in Iraq.

(d) Example. Unless licensed or exempted, no U.S. person may insure, or provide ticketing, ground, port, refueling, bunkering, clearance, or freight forwarding services, with respect to any sea, ground, or air transportation the destination of which is Iraq, or which is intended to make a stop in Iraq.

§ 575.209 Prohibited performance of contracts.

Except as otherwise authorized, no U.S. person may perform any contract, including a financing contract, in support of an industrial, commercial, public utility, or governmental project in Iraq.

§ 575.210 Prohibited transfer of funds to the Government of Iraq or any person in Iraq.

Except as otherwise authorized, no U.S. person may commit or transfer, directly or indirectly, funds or other financial or economic resources to the Government of Iraq or any person in Iraq.

§ 575.211 Evasions; attempts; conspiracies.

Any transaction for the purpose of, or which has the effect of, evading or
avoiding, or which facilitates the evasion or avoidance of, any of the prohibitions set forth in this subpart, is hereby prohibited. Any attempt to violate the prohibitions set forth in this part is hereby prohibited. Any conspiracy formed for the purpose of engaging in a transaction prohibited by this part is hereby prohibited.

§ 575.212 Effective dates.

The effective dates of the prohibitions and directives contained in this subpart B are as follow:

(a) With respect to §§ 575.201, 575.202, 575.204, 575.205, 575.207, 575.208, 575.209, and 575.211, 5 a.m., Eastern Daylight Time ("e.d.t."), August 2, 1990;

(b) With respect to §§ 575.206, and 575.210, 8:55 p.m. e.d.t., August 9, 1990; and

(c) With respect to § 575.203, January 18, 1991.

Subpart C—General Definitions

§ 575.301 Blocked account; blocked property.

The terms blocked account and blocked property shall mean any account or property in which the Government of Iraq has an interest, and with respect to which payments, transfers, exports, extractions, withdrawals, or other dealings may not be made or effected except pursuant to an authorization or license from OFAC authorizing such action.

§ 575.302 Effective date.

The term effective date refers to the effective date of the applicable prohibition, as identified in § 575.212.

§ 575.303 Entity.

The term entity includes a corporation, partnership, association, or other organization.


The term entity of the Government of Iraq or Iraqi Government entity includes:

(a) Any corporation, partnership, association, or other entity in which the Government of Iraq owns a majority or controlling interest, any entity managed or funded by that government, or any entity which is otherwise controlled by that government;

(b) Any agency or instrumentality of the Government of Iraq, including the Central Bank of Iraq.

§ 575.305 General license.

The term general license means any license or authorization the terms of which are set forth in this part.

§ 575.306 Government of Iraq.

The term Government of Iraq includes:

(a) The state and the Government of Iraq, as well as any political subdivision, agency, or instrumentality thereof, including the Central Bank of Iraq;

(b) Any partnership, association, corporation, or other organization substantially owned or controlled by the foregoing;

(c) Any person to the extent that such person is, or has been, or to the extent that there is reasonable cause to believe that such person is, or has been, since the effective date, acting or purporting to act directly or indirectly on behalf of any of the foregoing; and

(d) Any other person or organization determined by the Director of the Office of Foreign Assets Control to be included within this section.

NOTE TO § 575.306: Please refer to the appendices at the end of this chapter for listings of persons determined to fall within this definition that have been designated pursuant to this part. Section 501.807 of this chapter sets forth the procedures to be followed by persons seeking administrative reconsideration of their designation or that of a vessel as blocked, or who wish to assert that the circumstances resulting in the designation are no longer applicable.

§ 575.307 [Reserved]

§ 575.308 Interest.

Except as otherwise provided in this part, the term interest when used with respect to property (e.g., "an interest in property") means an interest of any nature whatsoever, direct or indirect.

§ 575.309 Iraq; Iraqi.

The term Iraq means the country of Iraq and any territory under the jurisdiction or authority thereof, legal or illegal. The term Iraqi means pertaining to Iraq as defined in this section.
§ 575.310 Kuwait; Kuwaiti.

The term Kuwait means the country of Kuwait and any territory under the jurisdiction or authority thereof. The term Kuwaiti means pertaining to Kuwait as defined in this section.

§ 575.311 Iraqi origin.

The term goods or services of Iraqi origin includes:
(a) Goods produced, manufactured, grown, or processed within Iraq;
(b) Goods which have entered into Iraqi commerce;
(c) Services performed in Iraq or by an Iraqi national who is acting as an agent, employee, or contractor of the Government of Iraq, or of a business entity located in Iraq. Services of Iraqi origin are not imported into the United States when such services are provided in the United States by an Iraqi national employed in the United States.

§ 575.312 Iraqi person.

The term Iraqi person means an Iraqi citizen, any person organized under the laws of Iraq, or any person owned or controlled, directly or indirectly, by a Iraqi national or the Government of Iraq.

§ 575.313 License.

Except as otherwise specified, the term license means any license or authorization contained in or issued pursuant to this part.

§ 575.314 Person.

The term person means an individual, partnership, association, corporation, or other organization.

§ 575.315 Property; property interest.

The terms property and property interest include, but are not limited to, money, checks, drafts, bullion, bank deposits, savings accounts, debts, indebtedness, obligations, notes, debentures, stocks, bonds, coupons, any other financial instruments, bankers acceptances, mortgages, pledges, liens or other rights in the nature of security, warehouse receipts, bills of lading, trust receipts, bills of sale, any other evidences of title, ownership or indebtedness, letters of credit and any documents relating to any rights or obligations thereunder, powers of attorney, goods, wares, merchandise, chattels, stocks on hand, ships, goods on ships, real estate mortgages, deeds of trust, vendors sales agreements, land contracts, leaseholds, ground rents, real estate and any other interest therein, options, negotiable instruments, trade acceptances, royalties, book accounts, accounts payable, judgments, patents, trademarks or copyrights, insurance policies, safe deposit boxes and their contents, annuities, pooling agreements, services of any nature whatsoever, contracts of any nature whatsoever, and any other property, real, personal, or mixed, tangible or intangible, or interest or interests therein, present, future or contingent.

§ 575.316 Special license.

The term specific license means any license or authorization not set forth in this part but issued pursuant to this part in response to an application.

§ 575.317 Transfer.

The term transfer means any actual or purported act or transaction, whether or not evidenced by writing, and whether or not done or performed within the United States; the purpose, intent, or effect of which is to create, surrender, release, convey, transfer, or alter, directly or indirectly, any right, remedy, power, privilege, or interest with respect to any property and, without limitation upon the foregoing, shall include the making, execution, or delivery of any assignment, power, conveyance, check, declaration, deed, deed of trust, power of attorney, power of appointment, bill of sale, mortgage, receipt, agreement, contract, certificate, gift, sale, affidavit, or statement; the appointment of any agent, trustee, or fiduciary; the creation or transfer of any lien; the issuance, docketing, filing, or the levy of or under any judgment, decree, attachment, injunction, execution, or other judicial or administrative process or order, or the service of any garnishment; the acquisition of any interest of any nature whatsoever by reason of a judgment or decrease of any foreign country; the fulfillment of any condition; the exercise of any power of appointment, power of attorney, or other power; or the acquisition,
§ 575.318 UNSC Resolution 661.


§ 575.319 United States.

The term United States means the United States, its territories and possessions, and all areas under the jurisdiction or authority thereof.

§ 575.320 U.S. financial institution.

The term U.S. financial institution means any U.S. person (including foreign branches) that is engaged in the business of accepting deposits, making, granting, transferring, holding, or brokering loans or credits, or purchasing or selling foreign exchange, securities, commodity futures or options, or procuring purchasers and sellers thereof, as principal or agent; including, but not limited to, depository institutions, banks, savings banks, trust companies, securities brokers and dealers, commodity futures and options brokers and dealers, forward contract and foreign exchange merchants, securities and commodities exchanges, clearing corporations, investment companies, employee benefit plans, and U.S. holding companies, U.S. affiliates, or U.S. subsidiaries of any of the foregoing. This term includes those branches, offices and agencies of foreign financial institutions which are located in the United States, but not such institutions’ foreign branches, offices, or agencies.

§ 575.321 United States person; U.S. person.

The term United States person or U.S. person means any United States citizen; permanent resident alien; juridical person organized under the laws of the United States or any jurisdiction within the United States, including foreign branches; or any person in the United States.

§ 575.322 United States national; U.S. national.

The term United States national or U.S. national means any United States citizen; any person who, though not a citizen of the United States, owes permanent allegiance to the United States; and any juridical person organized under the laws of the United States or any jurisdiction within the United States. This term does not include U.S. branches of persons organized under foreign law, or aliens, regardless of whether they have permanent resident status in the United States.

[56 FR 5636, Feb. 11, 1991]

§ 575.323 661 Committee.

The term 661 Committee means the Security Council Committee established by UNSC Resolution 661, and persons acting for or on behalf of the Committee under its specific delegation of authority for the relevant matter or category of activity, including the overseers appointed by the UN Secretary-General to examine and approve agreements for purchases of petroleum and petroleum products from the Government of Iraq pursuant to UNSC Resolution 986 (1995).

[61 FR 36628, July 12, 1996]

§ 575.324 UNSC Resolution 986.


[61 FR 36628, July 12, 1996]

§ 575.325 [Reserved]

§ 575.326 Executory contract.

The term executory contract means a contract which cannot be performed according to its terms until a stated condition has been fulfilled, such as a contract which requires the approval of a regulatory body before the contracting parties may begin performance.

[61 FR 36628, July 12, 1996]
§ 575.329 Areas of Iraq not controlled by the Government of Iraq.

The term *areas of Iraq not controlled by the Government of Iraq* means, as of January 30, 2003, the areas north of the “Green Line” and under the control of the Kurdistan Democratic Party (KDP) or the Patriotic Union of Kurdistan (PUK) in the following provinces of Iraq: Dahuk (Dohuk), Arbil (Erbil), and Sulaymaniyyah (Suleimaniyah). The description of the term *areas of Iraq not controlled by the Government of Iraq* may be modified by the Department of State.

NOTE TO § 575.329: Questions on the description of this term should be addressed to the Office of Northern Gulf Affairs, Bureau of Near Eastern Affairs, Room 4241, U.S. Department of State, 2201 C Street NW., Washington, DC 20520 (Tel: (202) 647–5692). Any changes to the description of this term will be posted on the Department of State Web site at [http://www.state.gov/e/eb/](http://www.state.gov/e/eb/).

[68 FR 11743, Mar. 12, 2003]

§ 575.330 Humanitarian activities, humanitarian purposes, and humanitarian support.

The terms *humanitarian activities*, *humanitarian purposes*, and *humanitarian support* mean, as these terms have been defined by the Department of State for relevant United Nations Security Council Resolutions on Iraq, humanitarian relief, educational, cultural, recreational, and human rights-related activities, and activities to ameliorate the effects of or to investigate war crimes. Such purposes may include preparatory activities and transactions.

[68 FR 28755, May 27, 2003]

Subpart D—Interpretations

§ 575.401 Reference to amended sections.

Except as otherwise specified, reference to any section of this part or to any regulation, ruling, order, instruction, direction, or license issued pursuant to this part shall be deemed to refer to the same as currently amended.
§ 575.405 Acquisition of instruments including bankers acceptances.

No U.S. person may acquire or deal in any obligation, including bankers acceptances, where the documents evidencing the obligation indicate, or the U.S. person has actual knowledge, that the underlying transaction is in violation of §§ 575.201, 575.204, or § 575.205. This interpretation does not apply to obligations arising from an underlying transaction licensed or otherwise authorized pursuant to this part.

§ 575.406 Extensions of credits or loans to Iraq.

(a) The prohibition in § 575.210 applies to the unlicensed renewal of credits or loans in existence on the effective date, whether by affirmative action or operation of law.

(b) The prohibition in § 575.210 applies to credits to loans extended in any currency.

§ 575.407 Payments in connection with certain authorized transactions.

Payments are authorized in connection with transactions authorized in or pursuant to subpart E.

§ 575.408 Offshore transactions.

(a) The prohibitions contained in §§ 575.201 and 575.206 apply to transactions by U.S. persons in locations outside the United States with respect to property in which the U.S. person knows, or has reason to know, that the Government of Iraq has or has had an interest since the effective date.

(b) Prohibited transactions include, but are not limited to, importation into locations outside the United States of, or dealings within such locations in, goods or services of Iraqi origin.

(c) Examples. (1) A U.S. person may not, within the United States or abroad, purchase, sell, finance, insure, transport, act as a broker for the sale or transport of, or otherwise deal in, Iraqi crude oil or petroleum products refined in Iraq.

(2) A U.S. person may not, within the United States or abroad, conduct transactions of any nature whatsoever with an entity that the U.S. person knows or has reason to know is an Iraqi Government entity unless the entity is licensed by the Office of Foreign Assets Control to conduct such transactions with U.S. persons.

§ 575.409 Transshipments through the United States prohibited.

(a) The prohibitions in § 575.205 apply to the importation into the United States, for transshipment or transit, of goods which are intended or destined for Iraq, or an entity operated from Iraq.

(b) The prohibitions in § 575.204 apply to the importation into the United States, for transshipment or transit, of goods of Iraqi origin which are intended or destined for third countries.

(c) Goods in which the Government of Iraq has an interest which are imported into or transshipped through the United States are blocked pursuant to § 575.201.

§ 575.410 Imports of Iraqi goods from third countries; transshipments.

Importation into the United States from third countries of goods, including refined petroleum products, containing raw materials or components of Iraqi origin is prohibited. In light of the universal prohibition in UNSC Resolution 661 on the importation of goods exported from Iraq or Kuwait after August 6, 1990, substantial transformation of Iraqi-origin goods in a third country does not exempt the third-country products from the prohibitions contained in this part.

§ 575.411 Exports to third countries; transshipments.

Exportation of goods or technology (including technical data and other information) from the United States to third countries is prohibited if the exporter knows, or has reason to know, that the goods or technology are intended for transshipment to Iraq (including passage through, or storage in, intermediate destinations). The exportation of goods and technology intended specifically for incorporation or substantial transformation into a third-country product is also prohibited if the particular product is to be used in Iraq, is being specifically manufactured to fill a Iraqi order, or if the manufacturer’s sales of the particular product are predominantly to Iraq.
§ 575.412 Release of Iraqi goods from bonded warehouse or foreign trade zone.

Section 575.204 does not prohibit the release from a bonded warehouse or a foreign trade zone of goods of Iraqi origin imported into a bonded warehouse or a foreign trade zone either prior to the effective date or in a transaction authorized pursuant to this part after the effective date.

**Note:** Pursuant to §575.201, property in which the Government of Iraq has an interest may not be released unless authorized or licensed by the Office of Foreign Assets Control.

§ 575.413 Goods intended for export to Iraq.

The prohibitions contained in §575.201 do not apply to goods manufactured, consigned, or destined for export to Iraq and not subject to §575.517, if the Government of Iraq has never held or received title to such goods on or after the effective date, and if any payment received from the Government of Iraq with respect to such goods is placed in a blocked account in a U.S. financial institution pursuant to §575.503. The prohibitions of §575.205 apply to goods subject to this section.

§ 575.414 Imports of Iraqi goods and purchases of goods from Iraq.

The prohibitions contained in §575.201 shall not apply to the importation of Iraqi-origin goods and services described in §575.204 if the importation of such goods is permitted by an authorization or license issued pursuant to this part. However, any payments in connection with such importation are subject to the prohibitions contained in §§575.201 and 575.210.

§ 575.415 Setoffs prohibited.

A setoff against a blocked account, whether by a U.S. bank or other U.S. person, is a prohibited transfer under §575.201 if effected after the effective date.

§ 575.416 Travel transactions for journalistic activity in Iraq.

(a) Section 575.207 does not prohibit travel transactions in Iraq by persons regularly employed in journalistic activity by recognized news gathering organizations.

(b) For purposes of this part:

(1) A person is considered regularly employed as a journalist if he or she is employed in a constant or regular manner by a recognized news gathering organization. Free-lance journalists should have an assignment from a recognized news gathering organization requiring travel to Iraq, or be able to demonstrate that publication by a recognized news gathering organization of a work requiring such travel is likely. The latter may be demonstrated by providing a resume listing previously-published free-lance works or copies of previously-published works.

(2) **Recognized news gathering organizations** include those entities regularly and principally engaged in collecting news for publication in the public press, transmission by wire services, or broadcast by radio or television.

(c) Authorized travel transactions are limited to those incident to travel for the purpose of collecting and disseminating information for a recognized news gathering organization, and do not include travel transactions related to any other activity in Iraq.

§ 575.417 [Reserved]

§ 575.418 Transactions incidental to a licensed transaction.

(a) Any transaction ordinarily incident to a licensed transaction and necessary to give effect thereto is also authorized, except a transaction by an unlicensed, blocked person or involving an unlicensed debit to a blocked account.

(b) **Example.** A license authorizing the Government of Iraq to complete a securities sale also authorizes all activities by other parties required to complete the sale, including transactions by the buyer, brokers, transfer agents, banks, etc.

§ 575.419 Transactions in Iraqi debt.

Section 575.533 authorizes U.S. persons to trade in Iraqi commercial or sovereign debt in secondary markets, subject to the following conditions:

(a) Such debt was not held in the United States or within the possession
Office of Foreign Assets Control, Treasury

§ 575.503 Payments and transfers to blocked accounts in U.S. financial institutions.

(a) Any payment of funds or transfer of credit or other assets, including any payment or transfer by any U.S. person outside the United States, to a blocked account in a U.S. financial institution located in the United States in the name of the Government of Iraq is hereby authorized, including incidental foreign exchange transactions, provided that such payment or transfer shall not be made from any blocked account if such payment or transfer represents, directly or indirectly, a transfer of any interest of the Government of Iraq to any other country or person.

(b) This section authorizes transfer of the funds of a blocked demand deposit account to a blocked interest-bearing account under the same name or designation as was the demand deposit account, as required pursuant to §575.203 or at the instruction of the depositor, at any time. If such transfer is to a blocked account in a different U.S. financial institution such transfer must

(c) Any regulation, ruling, instruction, or license authorizing any transaction otherwise prohibited under this part has the effect of removing a prohibition or prohibitions contained in Subpart B from the transaction, but only to the extent specifically stated by its terms. Unless the regulation, ruling, instruction, or license otherwise specifies, such an authorization does not create any right, duty, obligation, claim, or interest in, or with respect to, any property which would not otherwise exist under ordinary principles of law.

§ 575.502 Exclusion from licenses and authorizations.

The Director of the Office of Foreign Assets Control reserves the right to exclude any person, property, or transaction from the operation of any license, or from the privileges therein conferred, or to restrict the applicability thereof with respect to particular persons, property, transactions, or classes thereof. Such action shall be binding upon all persons receiving actual or constructive notice of such exclusion or restriction.
be made to a blocked account in a U.S. financial institution located in the United States, and the transferee financial institution must furnish within 10 business days of the date of transfer, the notification described in paragraph (h) of this section to the Office of Foreign Assets Control, Blocked Assets Section.

(c) This section does not authorize any transfer from a blocked account within the United States to an account held outside the United States.

(d) This section does not authorize any payment or transfer to any blocked account held in a name other than that of the Government of Iraq where such government is the ultimate beneficiary of such payment or transfer.

(e) This section does not authorize any payment or transfer of credit comprising an integral part of a transaction which cannot be effected without the subsequent issuance of a further license.

(f) This section does not authorize the crediting of the proceeds of the sale of securities or other assets, held in a blocked account or a sub-account thereof, or the income derived from such securities or assets, to a blocked account or sub-account, under any name or designation which differs from the name or designation of the specific blocked account or sub-account in which such securities or assets were or are held.

(g) This section does not authorize any payment or transfer from a blocked account in a U.S. financial institution to a blocked account held under any name or designation which differs from the name or designation of the specified blocked account or sub-account from which the payment or transfer is made.

NOTE TO §575.503: Please refer to §501.603 of this chapter for mandatory reporting requirements regarding financial transfers.

§§ 575.504–575.532 [Reserved]

§ 575.533 Certain new transactions.

(a) New transactions. Except as provided in paragraph (b) of this section, on or after May 23, 2003 and prior to July 30, 2004, all transactions that are otherwise prohibited by subpart B of this part are authorized.

NOTE TO §575.533(a): This authorization does not eliminate the need to comply with Executive Order 13315, "Blocking Property of the Former Iraqi Regime, Its Senior Officials and Their Family Members, and Taking Certain Other Actions," or other provisions of 31 CFR chapter V, or with other applicable provisions of law, including any aviation, financial, or trade requirements of agencies other than the Department of the Treasury’s Office of Foreign Assets Control. Such requirements include the Export Administration Regulations (15 CFR parts 730 through 799) administered by the Bureau of Industry and Security, Department of Commerce, and the International Traffic in Arms Regulations (22 CFR parts 120 through 138) administered by the Department of State.

(b) Continued blocking, special provisions for certain exports and reexports, and additional conditions. (1) All property and interests in property that were blocked as of May 23, 2003, pursuant to Executive Orders 12722 or 12724, or subpart B of this part, remain blocked and subject to the prohibitions and requirements of this part.

(2) (i) Any specific license issued by the Treasury Department before July 30, 2004, for the exportation from the United States, or, if subject to U.S. jurisdiction, the exportation or reexportation from a third country to Iraq of any items (including technical data or other information) controlled by the Department of Commerce under the Export Administration Regulations (15 CFR parts 730 through 799) for exportation to Iraq shall expire on the date set forth in that license, or, if no expiration date is provided in that license, on July 30, 2005.

NOTE TO §575.533(b)(2)(i): Effective July 30, 2004, with the termination of the national emergency declared in Executive Order 12722 and the revocation of that Executive order, OFAC’s authority to license exports and reexports to Iraq ceases, and the licensing jurisdiction for exports and reexports to Iraq will be transferred back to the Department of Commerce. All OFAC license applications pending but not acted upon before July 30, 2004, will be returned to applicants and applicants will be required to resubmit them to the Department of Commerce using the appropriate Department of Commerce forms.
Moreover, as July 30, 2004, OFAC will not accept any applications for licenses for exports or reexports to Iraq. On or after July 30, 2004, all inquiries and applications regarding such exports or reexports are to be directed to the Exporter Services Office, Bureau of Industry and Security, Department of Commerce (telephone: 202–482–4611).

(ii) Persons issued a specific license by the Treasury Department before July 30, 2004, for the exportation from the United States, or if subject to U.S. jurisdiction, the exportation or reexportation from a third country to Iraq, of any items (including technical data or other information) controlled by the Department of Commerce under the Export Administration Regulations (15 CFR parts 730 through 799) must maintain such records as are required by 15 CFR part 746 of the Export Administration Regulations.

NOTE TO §575.533(b)(2)(ii): Pursuant to an amendment to the Export Administration Regulations (15 CFR parts 730 through 799), effective July 30, 2004, further authorization by the Department of Commerce will not be required for exports or reexports licensed by the Department of the Treasury until the Treasury Department license expires by its own terms, or, if no expiration date is provided in the license, until July 30, 2005. Those holding specific licenses issued by the Treasury Department for exports or reexports to Iraq must comply with the recordkeeping requirements found in 15 CFR 746.3 of the Export Administration Regulations.

(iii) Items licensed by the Treasury Department for exportation or reexportation to Iraq may not be transferred within Iraq to a new end-user without further authorization by the Bureau of Industry and Security, Department of Commerce. Reexportation of items originally authorized pursuant to a specific license issued by the Treasury Department must conform to the relevant provision of the Export Administration Regulations (15 CFR parts 730 through 799) based on the items being reexported and the country to which they are being reexported.

NOTE TO §575.533(b)(2)(iii): Pursuant to an amendment to the Export Administration Regulations (15 CFR parts 730 through 799), effective July 30, 2004, further authorization by the Department of Commerce will be required for exports or reexports licensed by the Department of the Treasury prior to the transfer of such items within Iraq to a new end-user. The amendment also requires that any reexportation of items pursuant to a specific license issued by the Treasury Department must conform to the relevant provision of the Export Administration Regulations (15 CFR parts 730 through 799) based on the country to which the items are being reexported.

NOTE TO §575.533(b)(3): The term ''controlled by the Department of Commerce'' means subject to a license requirement under the Department of Commerce’s Export Administration Regulations (EAR). Items subject to a license requirement under the EAR include items on the Commerce Control List that require a license for exportation or reexportation to Iraq pursuant to 15 CFR part 742 or 15 CFR 746.3, as well as items and activities that require a license under the end-use and end-user provisions of 15 CFR part 744. To inquire whether particular items are controlled by the Department of Commerce under the Export Administration Regulations for exportation to Iraq, the exporter or reexporter should contact the Department of Commerce, Bureau of Industry and Security.

(3) This section does not authorize any transactions with persons listed in appendix A to chapter V of title 31, Code of Federal Regulations, except for those organizations listed in paragraph (b)(4) of this section.

(4) Notwithstanding paragraph (b)(3) of this section, and except as provided in paragraphs (b)(1), (2) and (5), on or after May 23, 2003, all transactions that are otherwise prohibited by subpart B of this part are authorized for the following Iraqi state bodies, corporations or agencies that are listed in Appendix A to chapter V, title 31, Code of Federal Regulations, but that are now operating under the authority of the coalition, an interimm or transitional Iraqi government, or a subsequent permanent Iraqi government:

- Agricultural Cooperative Bank
- Al-Rafidain Shipping Company
- Industrial Bank of Iraq
- Iraqi Reinsurance Company
- Iraqi Airways
- Iraqi-Jordan Land Transport Company
- Iraqi State Enterprise for Maritime Transport
- Rafidain Bank
- Rasheed Bank
- Real Estate Bank

NOTE TO §575.533(b)(4): Numerous other Iraqi state bodies, corporations, or agencies are not listed in Appendix A to chapter V, 31 CFR. This section permits transactions with such entities on or after May 23, 2003. But for the operation of this paragraph (b)(4), these
entities would be blocked under subpart B because they meet the definition of ‘Government of Iraq’ in 31 CFR 575.306 or ‘entity of the Government of Iraq’ in 31 CFR 575.304, whether or not they appeared in appendix A to chapter V, 31 CFR.

(5) This section does not authorize any transactions with respect to Iraqi cultural property or other items of archaeological, historical, cultural, rare scientific, and religious importance illegally removed from the Iraq National Museum, the National Library, and other locations in Iraq since August 6, 1990. Any trade in or transfer of such items, including items with respect to which reasonable suspicion exists that they have been illegally removed.

NOTE TO §575.533(b)(5): Questions concerning whether particular Iraqi cultural property or other items are subject to this paragraph should be directed to the Cultural Property Office, U.S. Department of State, tel. 202-619-6612, fax 202-260-4893, Web site http://www.exchanges.state.gov/culprop, e-mail culprop@pd.state.gov.

(c) Effective date. Paragraphs (a), (b)(1), (b)(3), (b)(4) and (b)(5) of this section are effective May 23, 2003. Paragraph (b)(2) of this section is effective July 30, 2004.

§575.534 Transfers of certain blocked claims by U.S. financial institutions.

U.S. financial institutions are authorized to transfer claims that were booked in the United States as of May 23, 2003, against the Government of Iraq for unpaid loans and other debts to their home offices or to other foreign offices of the same institution. This section authorizes only the transfer of claims and does not authorize the debiting of any blocked account.

§575.535 Iraqi debt unblocked.

(a) Except as provided in paragraph (b) of this section, all transactions otherwise prohibited by this part that involve debts in which the Government of Iraq has an interest are authorized.

(b) For purposes of this part:

(1) This section does not authorize transactions that remain prohibited under the terms of paragraphs (b)(3) and (b)(5) of §575.533 of this part.

(2) This section does not authorize the purchase, exchange or settlement of debt in which the Government of Iraq has an interest utilizing funds or other property that is blocked pursuant to this part.

§575.601 Records and reports.

For provisions relating to records and reports, see subpart C of part 501 of this chapter.

Subpart G—Penalties

§575.701 Penalties.


(1) A civil penalty of not to exceed $325,000 per violation may be imposed on any person who, after the enactment of this Act, violates or evades or attempts to violate or evade Executive Order Number 12722, 12723, 12724, or 12725, or any license, order, or regulation issued under any such Executive Order;

NOTE TO PARAGRAPH (a)(1). The current $325,000 civil penalty cap may be adjusted for inflation pursuant to the Federal Civil Penalties Inflation Adjustment Act of 1990.

(2) Whoever after the date of enactment of this Act willfully violates or evades or attempts to violate or evade Executive Order Number 12722, 12723, 12724, or 12725, or any license, order, or regulation issued under any such Executive Order—

(i) Shall, upon conviction, be fined not more than $1,000,000 if a person other than a natural person; or

(ii) If a natural person, shall, upon conviction, be fined not more than
§ 575.702 Prepenalty notice.

(a) When required. If the Director of the Office of Foreign Assets Control has reasonable cause to believe that there has occurred a violation of any provision of this part or a violation of the provisions of any license, ruling, regulation, order, direction or instruction issued by or pursuant to the authority granted in that section, he shall issue to the person concerned a notice of his intent to impose a monetary penalty. The prepenalty notice shall be issued whether or not another agency has taken any action with respect to this matter.

(b) Contents—(1) Facts of violation. The prepenalty notice shall describe the violation, specify the laws and regulations allegedly violated, and state the amount of the proposed monetary penalty.

(2) Right to make presentations. The prepenalty notice also shall inform the person of his right to make a written presentation within 30 days of mailing of the notice as to why a monetary penalty should not be imposed, or, if imposed, why it should be in a lesser amount than proposed.
§ 575.703 Presentation responding to prepenalty notice.

(a) Time within which to respond. The named person shall have 30 days from the date of mailing of the prepenalty notice to make a written presentation to the Director.

(b) Form and contents of written presentation. The written presentation need not be in any particular form, but shall contain information sufficient to indicate that it is in response to the prepenalty notice. It should contain responses to the allegations in the prepenalty notice and set forth the reasons why the person believes the penalty should not be imposed or, if imposed, why it should be in a lesser amount than proposed.

§ 575.704 Penalty notice.

(a) No violation. If, after considering and presentations made in response to the prepenalty notice and any relevant facts, the Director determines that there was no violation by the person named in the prepenalty notice, he promptly shall notify the person in writing of the determination and that no monetary penalty will be imposed.

(b) Violation. If, after considering any presentations made in response to the prepenalty notice, the Director determines that there was a violation by the person named in the prepenalty notice, he promptly shall issue a written notice of the imposition of the monetary penalty to that person.

§ 575.705 Administrative collection; referral to United States Department of Justice.

In the event that the person named does not pay the penalty imposed pursuant to this part or make payment arrangements acceptable to the Director of the Office of Foreign Assets Control within 30 days of the date of mailing of the penalty notice, the matter may be referred for administrative collection measures by the Department of the Treasury or to the United States Department of Justice for appropriate action to recover the penalty in a civil suit in a Federal district court.

[70 FR 15762, Mar. 29, 2005]
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Sec.
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§ 585.101 Relation of this part to other laws and regulations

(a) This part is separate from, and independent of, the other parts of this chapter with the exception of part 501 of this chapter, the recordkeeping and reporting requirements and license application and other procedures of which apply to this part. Differing foreign policy and national security contexts may result in differing interpretations.
of similar language among the parts of this chapter. No license or authorization contained in or issued pursuant to those other parts authorizes any transaction prohibited by this part. No license or authorization contained in or issued pursuant to any other provision of law or regulation authorizes any transaction prohibited by this part. (b) No license or authorization contained in or issued pursuant to this part relieves the involved parties from complying with any other applicable laws or regulations. [58 FR 13201, Mar. 10, 1993, as amended at 62 FR 45110, Aug. 25, 1997]

Subpart B—Prohibitions

§ 585.201 Prohibited transactions involving blocked property; transactions with respect to securities.

(a) Except as authorized by regulations, orders, directives, rulings, instructions, licenses, or otherwise, and notwithstanding the existence of any rights or obligations conferred or imposed by any international agreement or any contract entered into or any license or permit granted before 11:59 p.m. Eastern Daylight Time ("EDT"), May 30, 1992, no property or interest in property of the Government of the FRY (S&M), or that is held in the name of the Federal Republic of Yugoslavia or the former Government of the Socialist Federal Republic of Yugoslavia, that is in the United States, that hereafter comes within the United States, or that is or hereafter comes within the possession or control of United States persons, including their overseas branches, may be transferred, paid, exported, withdrawn or otherwise dealt in.

(b) Except as otherwise authorized, and notwithstanding the existence of any rights or obligations conferred or imposed by any international agreement or any contract entered into or any license or permit granted before 12:01 a.m. EDT, April 26, 1993, no property or interest in property of any commercial, industrial, or public utility undertaking, organized or located in those areas of the Republic of Bosnia and Herzegovina under the control of Bosnian Serb forces; and

(3) Any entity, wherever organized or located, which is owned or controlled directly or indirectly by any person in, or resident in, those areas of the Republic of Bosnia and Herzegovina under the control of Bosnian Serb forces; and

(4) Any person acting for or on behalf of any person included within the scope of paragraphs (c)(1), (2), or (3) of this section.

NOTE TO PARAGRAPH (c) OF §585.201: Please refer to the appendices at the end of this chapter for listings of persons designated pursuant to this section. Section 501.807 of this chapter sets forth the procedures to be followed by persons seeking administrative reconsideration of their designation or that of a vessel as blocked, or who wish to assert that the circumstances resulting in the designation are no longer applicable.
§ 585.202 Effect of transfers violating the provisions of this part.

(a) Any transfer after the effective date specified in §585.301 which is in violation of any provision of this part or of any regulation, order, directive, ruling, instruction, license, or other authorization hereunder and involves any property or interest in property blocked pursuant to §585.201 is null and void and shall not be the basis for the assertion or recognition of any interest in or right, remedy, power or privilege with respect to such property or property interests.

(b) No transfer before the effective date shall be the basis for the assertion or recognition of any right, remedy, power, or privilege with respect to, or interest in, any property or interest in property blocked pursuant to §585.201, unless the person with whom such property is held or maintained, prior to such date, had written notice of the transfer or by any written evidence had recognized such transfer.

(c) Unless otherwise provided, an appropriate license or other authorization issued by or pursuant to the direction or authorization of the Director of the Office of Foreign Assets Control before, during, or after a transfer shall validate such transfer or render it enforceable to the same extent that it would be valid or enforceable but for the provisions of the International Emergency Economic Powers Act, the United Nations Participation Act, this part, and any regulation, order, directive, ruling, instruction, or license issued hereunder.

(d) Transfers of property which otherwise would be null and void or unenforceable by virtue of the provisions of this section shall not be deemed to be null and void or unenforceable as to any person with whom such property was held or maintained (and as to such person only) in cases in which such person is able to establish to the satisfaction of the Director of the Office of Foreign Assets Control each of the following:

1. Such transfer did not represent a willful violation of the provisions of this part by the person with whom such property was held or maintained;

2. The person with whom such property was held or maintained did not have reasonable cause to know or suspect, in view of all the facts and circumstances known or available to such person, that such transfer required a license or authorization by or pursuant to this part and was not so licensed or authorized, or if a license or authorization did purport to cover the transfer, that such license or authorization had been obtained by misrepresentation of a third party or the withholding of material facts or was otherwise fraudulently obtained; and

3. Promptly upon discovery that

i. Such transfer was in violation of the provisions of this part or any regulation, ruling, instruction, license, or other direction or authorization hereunder, or

ii. Such transfer was not licensed or authorized by the Director of the Office of Foreign Assets Control, or
(iii) If a license did purport to cover the transfer, such license had been obtained by misrepresentation of a third party or the withholding of material facts or was otherwise fraudulently obtained; the person with whom such property was held or maintained filed with the Office of Foreign Assets Control a report setting forth in full the circumstances relating to such transfer. The filing of a report in accordance with the provisions of this paragraph shall not be deemed evidence that the terms of paragraphs (d)(1) and (2) of this section have been satisfied.

(e) Unless licenced or authorized pursuant to this part, any attachment, judgement, decree, lien, execution, garnishment, or other judicial process is null and void with respect to any property or interest in property blocked pursuant to §585.201.

§585.203 Holding of certain types of blocked property in interest-bearing accounts.

(a)(1) Any person, including a U.S. financial institution, currently holding property subject to §585.201, which, as of July 15, 1992, or the date of receipt if subsequent to July 15, 1992, is not being held in an interest-bearing account or otherwise invested in a manner authorized by the Office of Foreign Assets Control, shall transfer such property to, or hold such property or cause such property to be held in, an interest-bearing account or interest-bearing status in a U.S. financial institution as of July 15, 1992, or the date of receipt if subsequent to July 15, 1992, unless otherwise authorized or directed by the Office of Foreign Assets Control.

(2) The requirement set forth in paragraph (a)(1) of this section shall apply to currency, bank deposits, accounts, obligations, and any other financial or economic resources or assets, and any proceeds resulting from the sale of tangible or intangible property. If interest is credited to an account separate from that in which the interest-bearing asset is held, the name of the account party on both accounts must be the same and must clearly indicate the person(s) having an interest in the accounts. If the account is held in the name of the Government of the Federal Republic of Yugoslavia or the former Government of the Socialist Federal Republic of Yugoslavia, the name of the account to which interest is credited must be the same.

(b) For purposes of this section, the term “interest-bearing account” means a blocked account in a U.S. financial institution earning interest at rates that are commercially reasonable for the amount of funds in the account, i.e., a rate similar to that currently offered other depositors on deposits of comparable size and maturity. Overnight investment of blocked funds is authorized, provided that the funds remain within the possession and control of the U.S. person holding the funds and that the funds remain in a blocked status at all times. Except as otherwise authorized, the funds may not be reinvested or held in instruments the maturity of which exceeds 90 days.

(c) U.S. financial institutions receiving instructions to execute a payment or transfer of funds they hold in which a person has an interest whose property or interests in property are blocked pursuant to §585.201, shall block the funds and provide written notification to the Compliance Programs Division, Office of Foreign Assets Control, U.S. Treasury Department, 1500 Pennsylvania Ave., NW.–2131 Annex, Washington, DC 20220, within 10 business days from the value date of the payment or transfer. The notification shall include a photocopy of the payment or transfer instructions received, shall confirm that the payment or transfer has been deposited into an existing or newly-established blocked account, and shall provide the account number, the name of the account, the location of the account, the name and address of the transferor and transferee financial instructions, the date of the deposit and the amount of the payment or transfer.

(d) This section does not apply to blocked tangible property, such as chattels, nor does it create an affirmative obligation on the part of the holder of such blocked tangible property to sell or liquidate the property and put the proceeds in a blocked account. However, the Office of Foreign Assets Control may issue licenses permitting
or directing sales of tangible property in appropriate cases.

[58 FR 13201, Mar. 10, 1993, as amended at 60 FR 34145, June 30, 1995]

§ 585.204 Prohibited importation of goods or services from the FRY (S&M).

Except as otherwise authorized, no goods originating in, or services performed in, the FRY (S&M), exported from the FRY (S&M) after May 30, 1992, may be imported into the United States, nor may any U.S. person engage in any activity that promotes or is intended to promote such importation.

§ 585.205 Prohibited exportation and reexportation of goods, technology, or services to the FRY (S&M).

Except as otherwise authorized, no goods, technology (including technical data or other information controlled for export pursuant to the Export Administration Regulations, 15 CFR parts 768–799), or services, either (a) from the United States, (b) requiring the issuance of a license by a Federal agency, or (c) involving the use of U.S.-registered vessels or aircraft, may be exported, directly or indirectly, to the FRY (S&M), or to any entity operated from the FRY (S&M), nor may any U.S. person engage in any activity that promotes or is intended to promote such exportation.

§ 585.206 Prohibited dealing in property.

Except as otherwise authorized, no U.S. person may deal in:

(a) Property originating in the FRY (S&M) and exported from the FRY (S&M) after May 30, 1992, or

(b) Property intended for exportation from the FRY (S&M) to any country, or for exportation to the FRY (S&M) from any country, or

(c) Property being transshipped through the FRY (S&M), or in any activity of any kind that promotes or is intended to promote such dealing.

§ 585.207 Prohibited transportation-related transactions involving the FRY (S&M).

Except as otherwise authorized, the following are prohibited:

(a) Any transaction by a U.S. person, or involving the use of U.S. registered vessels and aircraft, relating to transportation to or from the FRY (S&M);

(b) The provision of transportation to or from the United States by:

(1) Any person in the FRY (S&M) or

(2) Any vessel or aircraft registered in the FRY (S&M), or

(3) Any vessel in which a majority or controlling interest is held by a person or entity in or operating from the FRY (S&M), regardless of registry; or

(c) The sale in the United States by any person holding authority under the Federal Aviation Act of 1958, as amended (49 U.S.C. 1301 et seq.) of any transportation by air that includes any stop in the FRY (S&M).

(d) Example. Unless licensed or exempted, no U.S. person may insure, or provide ticketing, ground, port, refueling, bunkering, clearance, or freight forwarding services with respect to,

(i) Any sea or air transportation the destination of which is the FRY (S&M), or which is intended to make a stop in the FRY (S&M), or

(ii) Any vessel in which a majority or controlling interest is held by a person or entity in or operating from the FRY (S&M).

§ 585.208 Prohibited overflights, takeoffs and landings of aircraft en route to or from the FRY (S&M).

Except as otherwise authorized, no aircraft, regardless of registry, may take off from, land in, or overfly the United States, if the aircraft, as part of the same flight or as a continuation of that flight, is destined to land in or has taken off from the territory of the FRY (S&M). See also: Special Federal Aviation Regulation (SFAR) No. 66, 14 CFR part 91.

§ 585.209 Prohibited performance of contracts.

Except as otherwise authorized, no U.S. person may perform any contract,
including a financing contract, in support of an industrial, commercial, public utility, or governmental project in the FRY (S&M).

§ 585.210 Prohibited transfer of funds to or for the benefit of the Government of the FRY (S&M) or any person in the FRY (S&M).

Except as otherwise authorized, no U.S. person may commit or transfer, directly or indirectly, funds or other financial or economic resources to or for the benefit of the Government of the FRY (S&M) or any person in the FRY (S&M).

§ 585.211 Prohibited transactions related to participation in sporting events.

Except as otherwise authorized, transactions in the United States or by a U.S. person related to participation in sporting events in the United States by persons or groups representing the FRY (S&M) are prohibited.

§ 585.212 Prohibited transactions related to scientific and technical cooperation, cultural exchanges, and other official visits.

Except as otherwise authorized, transactions in the United States or by a U.S. person related to scientific and technical cooperation and cultural exchanges involving persons or groups officially sponsored by or representing the FRY (S&M), or related to visits to the United States by such persons or groups other than as authorized for the purpose of participation at the United Nations, are prohibited.

§ 585.213 Exemption of activities related to certain international organizations.

Any activities related to the United Nations Protection Force (UNPROFOR), the Conference on Yugoslavia, or the European Community Monitor Mission are exempt from the prohibitions and regulations of this part.

§ 585.214 Evasions; attempts; conspiracies.

Any transaction for the purpose of, or which has the effect of, evading or avoiding, or which facilitates the evasion or avoidance of, any of the prohibitions set forth in this subpart, is hereby prohibited. Any attempt to violate the prohibitions set forth in this part is hereby prohibited. Any conspiracy formed for the purpose of engaging in a transaction prohibited by this part is hereby prohibited.

§ 585.215 Conveyances and cargo suspected of being in violation of United Nations sanctions; detention; blocking.

(a) Except as otherwise authorized, and notwithstanding the existence of any rights or obligations conferred or imposed by any international agreement or any contract entered into or any license or permit granted before 12:01 a.m. EDT, April 26, 1993, all vessels, freight vehicles, rolling stock, aircraft and cargo that are in or hereafter come within the United States and are not subject to blocking pursuant to §585.201, but which are suspected of a violation of United Nations Security Council Resolutions No. 713 (1991), 757 (1992), 787 (1992) or 820 (1993):

(1) Shall be detained, pending investigation; and,

(2) Upon a determination by the Director, Office of Foreign Assets Control, that they have been in violation of any of these resolutions, may not be transferred, moved, exported, withdrawn, or otherwise dealt in.

(b) Conveyances and cargoes blocked pursuant to paragraph (a) of this section may be liquidated as provided in §585.216.

§ 585.216 Expenses of maintaining blocked property; liquidation into blocked account.

(a) Except as otherwise authorized, and notwithstanding the existence of any rights or obligations conferred or imposed by any international agreement or any contract entered into or any license or permit granted before 12:01 a.m. EDT, April 26, 1993, all expenses incident to the blocking and maintenance of property blocked pursuant to §585.201 or §585.215(a) shall be charged to the owners or operators of such property, which expenses shall not be met from blocked funds.
§ 585.217  
(b) Property blocked pursuant to § 585.201 or § 585.215 may, in the discretion of the Director, Office of Foreign Assets Control, be sold or liquidated and the net proceeds shall be placed in a blocked interest-bearing account in the name of the owner of the property.  
[58 FR 35829, July 1, 1993]

§ 585.217  
Entry into the territorial waters of the FRY (S&M) or the riverine ports of the Republic of Bosnia and Herzegovina prohibited.  

Except as otherwise authorized by the Director of the Office of Foreign Assets Control pursuant to this part, no vessel registered in the United States or owned or controlled by U.S. persons, other than a United States naval vessel, may enter:  
(a) The territorial waters of the FRY (S&M); or  
(b) The riverine ports of those areas of the Republic of Bosnia and Herzegovina under the control of Bosnian Serb forces.  
[60 FR 34145, June 30, 1995]

§ 585.218  
Trade in United Nations Protected Areas of Croatia and those areas of the Republic of Bosnia and Herzegovina under the control of Bosnian Serb forces.  

The following are prohibited, except as otherwise authorized by the Director of the Office of Foreign Assets Control pursuant to this part:  
(a) Any dealing by a United States person relating to the importation from, exportation to, or transshipment of goods through the United Nations Protected Areas in the Republic of Croatia and those areas of the Republic of Bosnia and Herzegovina under the control of Bosnian Serb forces, or activity of any kind that promotes or is intended to promote such dealing (see § 585.524); and  
(b) The provision or exportation of services to those areas of the Republic of Bosnia and Herzegovina under the control of Bosnian Serb forces, or to any person for the purpose of any business carried on in those areas, either from the United States or by a United States person.  
[60 FR 34145, June 30, 1995]
bankers acceptances, mortgages, pledges, liens or other rights in the nature of security, warehouse receipts, bills of lading, trust receipts, bills of sale, any other evidences of title, ownership or indebtedness, letters of credit and any documents relating to any rights or obligations thereunder, powers of attorney, goods, wares, merchandise, chattels, stocks on hand, ships, goods on ships, real estate mortgages, deeds of trust, vendors sales agreements, land contracts, leaseholds, ground rents, real estate and any other interest therein, options, negotiable instruments, trade acceptances, royalties, book accounts, accounts payable, judgments, patents, trademarks or copyrights, insurance policies, safe deposit boxes and their contents, annuities, pooling agreements, services of any nature whatsoever, contracts of any nature whatsoever, and any other property, real, personal, or mixed, tangible or intangible, or interest or interests therein, present, future or contingent.

§ 585.305 Transfer.

The term transfer means any actual or purported act of transaction, whether or not evidenced by writing, and whether or not done or performed within the United States, the purpose, intent, or effect of which is to create, surrender, release, convey, transfer, or alter, directly or indirectly, any right, remedy, power, privilege, or interest with respect to any property, including funds, and, without limitation upon the foregoing, shall include the making, execution, or delivery of any assignment, power, conveyance, check, declaration, deed, deed of trust, power of attorney, power of appointment, bill of sale, mortgage, receipt, agreement, contract, certificate, gift, sale, affidavit, or statement; the making of any payment; the setting off of any obligation or credit; the appointment of any agent, trustee, or fiduciary; the creation or transfer of any lien; the issuance, docketing, filing, or the levy of or under any judgment, decree, attachment, injunction, execution, or other judicial or administrative process or order, or the service of any garnishment; the acquisition of any interest of any nature whatsoever by reason of a judgment or decree of any foreign country; the fulfillment of any condition; the exercise of any power of appointment, power of attorney, or other power; or the acquisition, disposition, transportation, importation, exportation, or withdrawal of any security.

§ 585.306 License.

Except as otherwise specified, the term license means any license or authorization contained in or issued pursuant to this part.

§ 585.307 General license.

The term general license means any license or authorization the terms of which are set forth in this subpart E.

§ 585.308 Specific license.

The term specific license means any license or authorization not set forth in subpart E but issued pursuant to this part in response to an application.

§ 585.309 Person.

The term person means an individual, partnership, association, corporation, or other organization.

§ 585.310 Entity.

The term entity includes a corporation, partnership, association, or other organization.

§ 585.311 Government of the FRY (S&M).

The term Government of the FRY (S&M) includes:

(a) The state and the Government of the FRY (S&M), the Government of Serbia, and the Government of Montenegro, including any subdivisions thereof or local governments therein, their respective agencies or instrumentalities, including the National Bank of Yugoslavia, the Yugoslav National Army, the Yugoslav Chamber of Economy, the National Bank of Serbia, the Serbian Chamber of Economy, the National Bank of Montenegro, and the Montenegrin Chamber of Economy;

(b) Any entity owned or controlled by the foregoing. For purposes of the prohibitions of this part, all entities located in or organized under the laws of any jurisdiction within the FRY (S&M) are presumed to be controlled by the
Government of the FRY (S&M), unless proven otherwise;
(c) Any person to the extent that such person is, or has been, or to the extent that there is reasonable cause to believe that such person is, or has been, since the effective date, acting or purporting to act, directly or indirectly, on behalf of any of the foregoing; and
(d) Any person or organization determined by the Director of the Office of Foreign Assets Control to be included within this section, or owned or controlled by such a person or organization.

NOTE TO § 585.311: Please refer to the appendices at the end of this chapter for listings of persons designated pursuant to this part, and pursuant to § 585.201(c) with respect to the Bosnian Serbs. Section 501.807 of this chapter sets forth the procedures to be followed by persons seeking administrative reconsideration of their designation, or who wish to assert that the circumstances resulting in the designation are no longer applicable.


The term Government of the Socialist Federal Republic of Yugoslavia is used in this part only in reference to property held in the name of the former Government of the Socialist Federal Republic of Yugoslavia. Property and property interests held solely in the name of the Government of Slovenia, Croatia, Bosnia-Hercegovina or Macedonia, or in the name of any political subdivision, agency, or instrumentality thereof, do not constitute property held in the name of the former Government of the Socialist Federal Republic of Yugoslavia.

§ 585.313 Federal Republic of Yugoslavia (Serbia and Montenegro); FRY (S&M).

The term Federal Republic of Yugoslavia (Serbia and Montenegro) or FRY (S&M) means the territory of Serbia and Montenegro.

§ 585.314 Goods and services originating in the FRY (S&M).

The term goods or services originating in the FRY (S&M) includes:
(a) Goods produced, manufactured, grown, or processed within the FRY (S&M);
(b) Goods which have entered into the commerce of the FRY (S&M);
(c) Services performed in the FRY (S&M), or by a national thereof, wherever located, who is acting as an agent, employee, or contractor of the Government of the FRY (S&M) or of a business entity located in the FRY (S&M). Such services are not considered imported into the United States when such services are provided in the United States by a national of the FRY (S&M) employed in the United States who is not acting on behalf of the Government of the FRY (S&M).

§ 585.315 Person in the FRY (S&M).

The term person in the FRY (S&M) includes any individual, partnership, association, corporation, or other organization or entity located in or organized under the laws of any jurisdiction in the FRY (S&M).

§ 585.316 United States.

The term United States means the United States, its territories and possessions, and all areas under the jurisdiction or authority thereof.

§ 585.317 United States person; U.S. person.

The term United States person or U.S. person means any United States citizen; permanent resident alien; juridical person organized under the laws of the United States or any jurisdiction within the United States, including foreign branches; or any person in the United States, and vessels and aircraft of U.S. registration.

§ 585.318 U.S. financial institution.

The term U.S. financial institution means any U.S. person (including foreign branches) that is engaged in the business of accepting deposits, making, granting, transferring, holding, or brokering loans or credits, or purchasing or selling foreign exchange, securities, commodity futures or options, or procuring purchasers and sellers thereof, as principal or agent; including, but not limited to, depository institutions, banks, savings banks, trust
companies, securities brokers and dealers, commodity futures and options brokers and dealers, forward contract and foreign exchange merchants, securities and commodities exchanges, clearing corporations, investment companies, employee benefit plans, and U.S. holding companies, U.S. affiliates, or U.S. subsidiaries of any of the foregoing. This term includes those branches, offices and agencies of foreign financial institutions which are located in the United States, but not such institutions’ foreign branches, offices, or agencies.

§ 585.319 UNSC Resolution 757.


Subpart D—Interpretations

§ 585.401 Reference to amended sections.

Except as otherwise specified, reference to any section of this part or to any regulation, ruling, order, instruction, direction, or license issued pursuant to this part shall be deemed to refer to the same as currently amended.

§ 585.402 Effect of amendment.

Any amendment, modification, or revocation of any section of this part or of any order, regulation, ruling, instruction, or license issued by or under the direction of the Director of the Office of Foreign Assets Control shall not, unless otherwise specifically provided, be deemed to affect any act done or omitted to be done, or any civil or criminal suit or proceeding commenced or pending prior to such amendment, modification, or revocation. All penalties, forfeitures, and liabilities under any such order, regulation, ruling, instruction, or license shall continue and may be enforced as if such amendment, modification, or revocation had not been made.

§ 585.403 Termination and acquisition of an interest in blocked property.

(a) Whenever a transaction licensed or authorized by or pursuant to this part results in the transfer of property (including any property interest) from a person whose property or property interests are blocked pursuant to §585.201, such property shall no longer be deemed to be property blocked pursuant to §585.201, unless there exists in the property another interest that is blocked pursuant to §585.201 or any other part of this chapter, the transfer of which has not been effected pursuant to license or other authorization.

(b) Unless otherwise specifically provided in a license or authorization issued pursuant to this part, if property (including any property interest) is transferred or attempted to be transferred to a person whose property or property interests are blocked pursuant to §585.201, such property shall be deemed to be property in which that person has an interest and therefore blocked.

[60 FR 34146, June 30, 1995]

§ 585.404 Payments from blocked accounts to U.S. exporters and for other obligations prohibited.

No debits may be made to a blocked account to pay obligations to U.S. persons or other persons, including payment for goods, technology or services exported prior to the effective date, except as authorized pursuant to this part.

§ 585.405 Acquisition of instruments including bankers acceptances.

No U.S. person may acquire or deal in any obligation, including bankers acceptances and debt of or guaranteed by the a person whose property or interests in property are blocked pursuant to §585.201, where the documents evidencing the obligation indicate, or the U.S. person has actual knowledge, that the underlying transaction is in violation of §585.201, §§585.204-585.212, and §§585.217-585.218. This interpretation does not apply to obligations arising from an underlying transaction licensed or otherwise authorized pursuant to this part.

[58 FR 13201, Mar. 10, 1993, as amended at 60 FR 34146, June 30, 1995]
§ 585.406 Extensions of credits or loans.

(a) The prohibition in §585.210 applies to the unlicensed renewal of credits or loans held in the name of a person whose property or interests in property are blocked pursuant to §585.201 that were in existence on the effective date, whether by affirmative action or operation of law.

(b) The prohibition in §585.210 applies to credits or loans extended in any currency.

[58 FR 13201, Mar. 10, 1993, as amended at 60 FR 34146, June 30, 1995]

§ 585.407 Payments in connection with certain authorized transactions.

Except as otherwise specified, payments are authorized in connection with transactions authorized in or pursuant to subpart E.

§ 585.408 Offshore transactions.

(a) The prohibitions contained in §§585.201 and 585.206 apply to transactions by U.S. persons in locations outside the United States with respect to property in which the U.S. person knows, or has reason to know, that a person whose property or interests in property are blocked pursuant to §585.201 has or has had an interest since the effective date specified in §585.301, or that such property is held in the name of a person whose property or interests in property are blocked pursuant to §585.201.

(b) Prohibited transactions include, but are not limited to, importation into locations outside the United States of, or dealings within such locations in, goods or services originating in the FRY (S&M).

(c) Examples:

(1) A U.S. person may not, within the United States or abroad, purchase, sell, finance, insure, transport, act as a broker for the sale or transport of, or otherwise deal in, shoes made in the FRY (S&M).

(2) A U.S. person may not, within the United States or abroad, conduct transactions of any nature whatsoever with an entity that the U.S. person knows or has reason to know is operated by the Government of the FRY (S&M).

[58 FR 13201, Mar. 10, 1993, as amended at 60 FR 34146, June 30, 1995]

§ 585.409 Transshipments through the United States prohibited.

(a) The prohibitions in §585.205 apply to the importation into the United States, for transshipment or transit, of goods which are intended or destined for the FRY (S&M), or an entity operated from the FRY (S&M), or to the Government of the FRY (S&M) in any country.

(b) The prohibitions in §585.204 apply to the importation into the United States, for transshipment or transit, of goods originating in the FRY (S&M) which are intended or destined for third countries.

(c) Goods in which the Government of the FRY (S&M) has an interest that are imported into or transshipped through the United States are blocked pursuant to §585.201.

§ 585.410 Imports from third countries of goods originating in the FRY (S&M); transshipments.

Importation into the United States from third countries of goods containing raw materials or components originating in the FRY (S&M) is prohibited. In light of the universal prohibition in UNSC Resolution 757 on the importation of goods exported from the FRY (S&M) after May 30, 1992, substantial transformation or incorporation of such goods in a third country does not exempt the third-country products from the prohibitions contained in this part.

§ 585.411 Exports to third countries; transshipments.

Exportation of goods or technology (including technical data and other information) from the United States to third countries is prohibited if the exporter knows, or has reason to know, that the goods or technology are intended for reexportation or transshipment to the FRY (S&M), including passage through, or storage in, intermediate destinations. The exportation
§ 585.416 Exportation of services; performance of service contracts; legal services.

(a) The prohibition on the exportation of services contained in § 585.205 applies to services performed:

(1) In the United States;

(2) Outside the United States by an entity located in the United States, including its overseas branches; or

(3) Outside the United States by an individual U.S. person ordinarily resident in the United States; on behalf of the Government of the FRY (S&M), or where the benefit of such services is otherwise received in the FRY (S&M).

(Example: U.S. persons may not, without specific authorization from the Office of Foreign Assets Control, represent an individual or entity with respect to contract negotiations, contract performance, commercial arbitration, or other business dealings with the Government of the FRY (S&M). See § 585.517 on licensing policy with regard to the benefit of services performed anywhere in the world on behalf of the Government of the FRY (S&M), including services performed for a controlled entity or specially designated national of the Government of the FRY (S&M), as defined in § 585.312, are presumed to be received in the FRY (S&M).

(b) The prohibitions contained in §§ 585.201 and 585.209 apply to services performed by U.S. persons, wherever located:

(1) On behalf of the Government of the FRY (S&M);

(2) With respect to property interests of the Government of the FRY (S&M); or

(3) In support of an industrial or other commercial or governmental project in the FRY (S&M).

(c) Example: U.S. persons may not, without specific authorization from the Office of Foreign Assets Control, represent an individual or entity with respect to contract negotiations, contract performance, commercial arbitration, or other business dealings with the Government of the FRY (S&M). See § 585.517 on licensing policy with regard to the benefit of services performed anywhere in the world on behalf of the Government of the FRY (S&M), including services performed for a controlled entity or specially designated national of the Government of the FRY (S&M), as defined in § 585.312, are presumed to be received in the FRY (S&M).
§ 585.417 Transactions incidental to a licensed transaction.

(a) Any transaction ordinarily incident to a licensed transaction and necessary to give effect thereto is also authorized, except a transaction by an unlicensed, blocked person or involving an unlicensed debit to a blocked account.

(b) Example: A license authorizing an exportation of goods to the FRY (S&amp;M) also authorizes all activities by other parties required to complete the sale, including transactions by the buyer, brokers, transfer agents, banks, etc.

§ 585.418 Vessels of the Federal Republic of Yugoslavia (Serbia and Montenegro).

Any vessel in which a majority or controlling interest is held by a person or entity in, or operating from the FRY (S&amp;M) shall be considered as a vessel of the FRY (S&amp;M) regardless of the flag under which the vessel sails.

[58 FR 35829, July 1, 1993]

§ 585.419 Effect of E.O. 12846 on outstanding licenses and authorizations.

Executive Order 12846 does not affect the provisions of licenses and authorizations issued pursuant to Executive Order 12808, 12810 or 12831 or this part by the Office of Foreign Assets Control and in force as of 12:01 a.m. EDT, April 26, 1993, except as such licenses or authorizations are thereafter terminated, modified or suspended by the Director, Office of Foreign Assets Control.

[58 FR 35829, July 1, 1993]

§ 585.420 Prohibited transfer of funds involving those areas of the Republic of Bosnia and Herzegovina under the control of Bosnian Serb forces.

Sections 585.201(c) and 585.218(b) prohibit U.S. financial institutions from committing or transferring, directly or indirectly, funds or other financial or economic resources to or for the benefit of any person whose property or interests in property are blocked pursuant to §585.201(c).

[60 FR 34146, June 30, 1995]

Subpart E—Licenses, Authorizations, and Statements of Licensing Policy

§ 585.500 Licensing procedures.

For provisions relating to licensing procedures, see part 501, subpart E, of this chapter. Licensing actions taken pursuant to part 501 of this chapter with respect to the prohibitions contained in this part are considered actions taken pursuant to this part.

[68 FR 53659, Sept. 11, 2003]

§ 585.501 Effect of license or authorization.

(a) No license or other authorization contained in this part, or otherwise issued by or under the direction of the Director of the Office of Foreign Assets Control, shall be deemed to authorize or validate any transaction effected prior to the issuance of the license, unless specifically provided in such license or authorization.

(b) No regulation, ruling, instruction, or license authorizes any transaction prohibited under this part unless the regulation, ruling, instruction, or license is issued by the Office of Foreign Assets Control and specifically refers to this part. No regulation, ruling, instruction, or license referring to this part shall be deemed to authorize any transaction prohibited by any provision of this chapter unless the regulation, ruling, instruction or license specifically refers to such provision.

(c) Any regulation, ruling, instruction, or license authorizing any transaction otherwise prohibited under this part has the effect of removing a prohibition or prohibitions contained in subpart H from the transaction, but only to the extent specifically stated by its terms. Unless the regulation, ruling, instruction, or license otherwise specifies, such an authorization does not create any right, duty, obligation, claim, or interest in, or with respect to, any property which would not otherwise exist under ordinary principles of law.
§ 585.502 Exclusion from licenses and authorizations.

The Director of the Office of Foreign Assets Control reserves the right to exclude any person, property, or transaction from the operation of any license, or from the privileges therein conferred, or to restrict the applicability thereof with respect to particular persons, property, transactions, or classes thereof. Such action shall be binding upon all persons receiving actual or constructive notice of such exclusion or restriction.

§ 585.503 Payments and transfers to blocked accounts in U.S. financial institutions.

(a) Any payment of funds or transfer of credit or other financial or economic resources or assets into a blocked account in a U.S. financial institution is authorized, provided that a transfer from a blocked account pursuant to this authorization may only be made to another blocked account held in the same name on the books of the same U.S. financial institution.

(b) This section does not authorize any transfer from a blocked account within the United States to an account held outside the United States.

NOTE TO § 585.503: Please refer to § 501.603 of this chapter for mandatory reporting requirements regarding financial transfers.

[58 FR 13201, Mar. 10, 1993, as amended at 60 FR 34146, June 30, 1995]

§ 585.504 Investment and reinvestment of certain funds.

U.S. financial institutions are hereby authorized to invest and reinvest assets blocked pursuant to § 585.201, subject to the following conditions:

(a) The assets representing such investments and reinvestments are credited to a blocked account or subaccount which is held in the same name at the same U.S. financial institution, or within the possession or control of a U.S. person, but in no case may funds be transferred outside the United States for this purpose; and

(b) The proceeds of such investments and reinvestments are not credited to a blocked account or subaccount under any name or designation which differs from the name or designation of the specific blocked account or subaccount in which such funds or securities were held; and

(c) No immediate financial or economic benefit accrues (e.g., through pledging or other use) to any person whose property or interests in property are blocked pursuant to § 585.201.

[58 FR 13201, Mar. 10, 1993, as amended at 60 FR 34146, June 30, 1995]

§ 585.505 Completion of certain transactions related to bankers acceptances authorized.

(a) Persons other than those whose property or interests in property are blocked pursuant to § 585.201 are authorized to buy, sell, and satisfy obligations with respect to bankers acceptances, and to pay under deferred payment undertakings, relating to a property interest blocked pursuant to § 585.201, as long as the bankers acceptances were created or the deferred payment undertakings were incurred prior to the effective date.

(b) Persons other than those whose property or interests in property are blocked pursuant to § 585.201 are authorized to buy, sell, and satisfy obligations with respect to bankers acceptances, and to pay under deferred payment undertakings, relating to the importation or exportation of goods to or from the FRY (S&M) that do not involve a property interest blocked pursuant to § 585.201, as long as the bankers acceptances or the deferred payment undertakings were accepted prior to the effective date.

(c) Nothing in this section shall authorize or permit a debit to a blocked account. Specific licenses for the debiting of a blocked account may be issued on a case-by-case basis.

[58 FR 13201, Mar. 10, 1993, as amended at 60 FR 34146, June 30, 1995]

§ 585.506 Payments of obligations to persons within the United States authorized.

(a) The transfer of funds after the effective date by, through, or to any U.S. financial institution or other U.S. person not blocked pursuant to this chapter solely for the purpose of payment of obligations of a person whose property or interests in property are blocked pursuant to § 585.201 to persons or
accounts within the United States is authorized, provided that the obligation arose prior to the effective date, and the payment requires no debit to a blocked account. Property is not blocked by virtue of being transferred or received pursuant to this section.

(b) A person receiving payment under this section may distribute all or part of that payment to any person, provided that any such payment to a person whose property or interests in property are blocked pursuant to § 585.201 must be to a blocked account in U.S. financial institution.

(c) The authorization in this section is subject to the condition that written notification from the U.S. financial institution or U.S. person transferring or receiving funds is furnished to the Blocked Assets Division, Office of Foreign Assets Control, U.S. Treasury Department, 1500 Pennsylvania Ave., NW.—Annex, Washington, DC 20220, within 10 business days from the date of transfer or receipt. The notification shall provide the account number, name and address of the transferor and/or transferee U.S. financial institution or person, and the account number, name and address of the person into whose account payment is made.

[58 FR 13201, Mar. 10, 1993, as amended at 60 FR 34147, June 30, 1995]

§ 585.507 Certain exportations to the FRY (S&M) authorized.

(a) All transactions ordinarily incident to the exportation of any item, commodity, or product from the United States to or destined for the FRY (S&M) are authorized if:

(1) Such exports would ordinarily be authorized under one of the following regulations administered by the Department of Commerce: 15 CFR 771.6—General license BAGGAGE (accompanied and unaccompanied baggage); 15 CFR 771.13—General license GUS (shipments to personnel and agencies of the U.S. Government); or;

(2) Such exports are for the official use of the United Nations, its personnel and agencies (excluding its relief or development agencies).

(b) All transactions related to exportation or reexportation not otherwise authorized in this part are prohibited unless licensed by the Office of Foreign Assets Control pursuant to the procedures described in § 585.801.

§ 585.508 Importation of household and personal effects from the FRY (S&M) authorized.

The importation of household and personal effects originating in the FRY (S&M), including baggage and articles for family use, of persons arriving in the United States directly or indirectly from the FRY (S&M) is authorized. Articles included in such effects may be imported without limitation provided they were actually used by such persons or their family members abroad, are not intended for any other person or for sale, and are not otherwise prohibited from importation.

§ 585.509 Trading in certain pre-sanctions obligations of debtors in the Republics of Slovenia, Croatia, Bosnia-Hercegovina, and Macedonia authorized.

(a) All transactions by U.S. persons involving secondary market trading in debt obligations, or portions thereof, as well as “Qualified Transactions” that result in the cancellation of Refinancing Loans, or portions thereof, originally incurred or transferred to banks (“Pre-sanctions Obligors”) organized and headquartered in the Republics of Slovenia, Croatia, Bosnia-Hercegovina, and Macedonia, prior to the effective date, and rescheduled pursuant to the “New Financing Agreement” of September 20, 1988 (the “NFA”), are authorized, notwithstanding the joint and several liability undertaken by the National Bank of Yugoslavia and/or of banks located in the FRY (S&M), for repayment of such obligations.

(b) Nothing in this section shall authorize trading in debt obligations, or portions thereof, subject to the NFA for which the Pre-sanctions Obligor was the National Bank of Yugoslavia or an entity organized or headquartered in Serbia or Montenegro.

(c) No transfer of debt obligations, or portions thereof, for which the National Bank of Yugoslavia or a bank located in the FRY (S&M) has joint or several liability may be completed unless the transferee undertakes in writing that the debt obligations will not
be further transferred to or for the benefit of the Government of the FRY (S&­M), including the National Bank of Yugoslavia, or any person in the FRY (S&­M), until permitted by U.S. law.

(d) A U.S. person involved in the transfer of any debt obligation for which the National Bank of Yugoslavia or an entity located in the FRY (S&­M) has joint or several liability must file a report with the Blocked Assets Division, Office of Foreign Assets Control, U.S. Treasury Department, 1500 Pennsylvania Ave., NW.—Annex, Washington, DC 20220, within 10 days of the transfer, providing:

(1) The names and addresses of the transferor, transferee and the U.S. person involved if neither of the foregoing;

(2)(i) A copy of the “Refinancing Loan Notice” required pursuant to the NFA concerning the debt obligation transferred, and

(ii) If a Pre-sanctions Obligor located or headquartered in Serbia or Montenegro, including the National Bank of Yugoslavia, is included in a consortium of obligors identified in a “Refinancing Loan Notice” for the debt obligation transferred is that of a Pre-sanctions Obligor organized and headquartered in the Republic of Slovenia, Croatia, Bosnia-Hercegovina, or Macedonia; and

(3) A certification that the transfer documents include the transferee’s undertaking required in paragraph (c) of this section.

§ 585.510 Payments and transfers authorized for goods and services exported to the FRY (S&­M) prior to the effective date.

(a) Specific licenses may be issued on a case-by-case basis to permit payment involving an irrevocable letter of credit issued or confirmed by a U.S. bank, or a letter of credit reimbursement confirmed by a U.S. bank, from a blocked account or otherwise, of amounts owed to or for the benefit of a person with respect to goods or services exported prior to May 30, 1992, directly or indirectly to the FRY (S&­M), or to third countries for an entity operations or the benefit of the Government of the FRY (S&­M), where the license application presents evidence satisfactory to the Office of Foreign Assets Control that the exportation occurred prior to the effective date (such evidence may include, for example, the bill of lading, the air waybill, the purchaser’s written confirmation of completed services, customs documents, and insurance documents).

(b) This section does not authorize exportation or the performance of services after the effective date pursuant to a contract entered into or partially performed prior to the effective date.

(c) Separate criteria may be applied to the issuance of licenses authorizing payment from an account of or held by a blocked U.S. bank owned or controlled by the Government of the FRY (S&­M).

§ 585.511 Extensions or renewals of letters of credit authorized.

(a) The extension or renewal, at the request of the account party, of a letter of credit or a standby letter of credit issued or confirmed by a U.S. financial institution is authorized, provided no transfer of funds is made except to a blocked account.

(b) Transactions conducted pursuant to this section must be reported to the Blocked Assets Division, Office of Foreign Assets Control, U.S. Treasury Department, 1500 Pennsylvania Ave., NW.—Annex, Washington, DC 20220, within 10 days after completion of the transaction.

§ 585.512 Transactions relating to travel to or within the FRY (S&­M).

(a) All transactions by U.S. persons related to nombusiness travel to, from, and within the FRY (S&­M) are authorized, including the booking of travel arrangements, the payment of living expenses, and the acquisition of goods for personal consumption within the FRY (S&­M), provided that no such transactions may involve transportation by air into or out of the FRY (S&­M).

(b) All transactions by U.S. persons related to travel to, from, and within, and to activities within, the FRY (S&­M) for the conduct of the official
§ 585.513 Transactions related to telecommunications authorized.

(a) All transactions of U.S. common carriers with respect to the receipt and transmission of telecommunications involving the FRY (S&M) are authorized, provided any payment owed to the Government of the FRY (S&M) or to any other person in the FRY (S&M) is paid into a blocked account in a U.S. financial institution. This section does not authorize the exportation of equipment to upgrade telecommunications facilities.

(b) The term “telecommunications” shall mean telephone, telex and telegraph transmissions, and transmissions for the gathering or broadcast of news.

§ 585.514 Transactions related to mail authorized.

All transactions by U.S. persons, including payment and transfers to common carriers, incident to the receipt or transmission of mail between the United States and the FRY (S&M) are authorized. For purposes of this authorization, mail is limited to personal communications not involving a transfer of anything of value, and publications and other informational materials, subject to a maximum weight limitation of 12 ounces.

§ 585.515 Certain transactions related to patents, trademarks and copyrights authorized.

(a) All of the following transactions in connection with patent, trademark, copyright, or other intellectual property protection in the United States or the FRY (S&M) are authorized.

(1) The filing and prosecution of any application for a patent, trademark or copyright, or for the renewal thereof;

(2) The receipt of any patent, trademark or copyright; and

(3) The filing and prosecution of opposition or infringement proceedings with respect to any patent, trademark, or copyright, and the prosecution of a defense to any such proceeding.

(b) The payment of reasonable and customary fees currently due to the United States Government or to attorneys or representatives within the United States in connection with any transaction authorized by paragraphs (a) (1)–(3) of this section may be made from a blocked account held in the name of the entity in the FRY (S&M) holding the patent, trademark or copyright.

(c) The payment of fees currently due to the Government of the FRY (S&M) directly or through an attorney or representative, in connection with any of the transactions authorized by paragraphs (a) (1)–(3) of this section, or for the maintenance of any patent, trademark, or copyright, must be made into a blocked account in a domestic U.S. financial institution in the name of the appropriate governmental entity. In addition, fees currently due to individual attorneys or representatives in the FRY (S&M) in connection with any of the transactions authorized by paragraphs (a) (1)–(3) of this section may not be transferred to the FRY (S&M), but may otherwise be transferred as authorized in §585.523.

(d) Payments of amounts due into a blocked account in the name of the Government of the FRY (S&M) must be reported to the Blocked Assets Division, Office of Foreign Assets Control, U.S. Treasury Department, 1500 Pennsylvania Ave., NW.—Annex, Washington, DC 20220. The report shall include the date and amount deposited, the account title, the account number,
Office of Foreign Assets Control, Treasury § 585.517

and the name and address of the U.S.
financial institution.

§ 585.516 Procedures established for
export transactions initiated prior
to the effective date.

Goods awaiting exportation to the
FRY (S&M) on the effective date and
seized or detained by the U.S. Customs
Service on the effective date or there-
after may be released to the exporter,
provided the following documents are
filed with Customs officials at the port
where such goods are located:
(a) A copy of the contract governing
the exportation (sale or other transfer)
of the goods to the FRY (S&M) or, if no
contract exists, a written explanation
of the circumstances of exportation,
including in either case a description of
the manner and terms of payment re-
cieved or to be received by the exporter
(or other person) for, or by reason of,
the exportation of the goods;
(b) An invoice, bill of lading, or other
documentation fully describing the
goods; and
(c) A statement by the exporter sub-
stantially in the following form:

Any amount received from or on behalf of
the Government of the FRY (S&M) by reason
of the failure of [name of exporter] to prop-
erly pay into a blocked account any amount
received for the goods from or on behalf of
the Government of the FRY (S&M), [Name of
exporter] also agrees to waive all claims (1)
against any payments received and placed
into a blocked account, except as may be
later authorized by law, regulations, or li-
cense, and (2) against the U.S. Government
with regard to the disposition of the amounts
placed into a blocked account.

The statement should be dated and
signed by the exporter or by a person
authorized to sign on the exporter’s be-
half. The Customs Service may release
the goods to the exporter upon receipt
of the documentation and statement
described above, provided it is satisfied
that all customs laws and regulations
have been complied with, including the
execution of such hold harmless assur-
ances as it shall determine to be appro-
priate. The documentation and state-
ment received by Customs will be for-
warded to the Office of Foreign Assets
Control for review and appropriate ac-
tion.

§ 585.517 Exportation of certain legal
services to the Government of, or
persons in, the FRY (S&M).

(a) The provision to the Government
of the FRY (S&M), or to a person in the
FRY (S&M), of the legal services set
forth in paragraph (b) of this section is
authorized, provided that all receipt of
payment therefor must be specifically
licensed. The provision of any other
legal services as interpreted in § 585.416
requires the issuance of a specific li-
cense.

(b) Specific licenses are issued, on a
case-by-case basis, authorizing receipt,
from unblocked sources, of payment of
professional fees and reimbursement of
incurred expenses for the following
legal services by U.S. persons to the
Government of the FRY (S&M) or to a
person in the FRY (S&M):
(1) Provision of legal advice and
counselling to the Government of the
FRY (S&M) or to a person in the
FRY (S&M) on the requirements of and com-
pliance with the laws of any jurisdic-
tion within the United States, provided
that such advice and counselling is not
provided to facilitate transactions in
violation of subpart B of this part;
(2) Representation of the Government
of the FRY (S&M) or of a person in the
FRY (S&M) when named as a defendant
in or otherwise made a party to domes-
tic U.S. legal, arbitration, or adminis-
trative proceedings;
(3) Initiation of domestic U.S. legal,
arbitration, or administrative pro-
cedings in defense of property inter-
ests subject to U.S. jurisdiction of the
Government of the FRY (S&M) that
were in existence prior to May 30, 1992,
or of a person in the FRY (S&M);
(4) Representation of the Government
of the FRY (S&M) or a person in the
FRY (S&M) before any federal agency
with respect to the imposition, admin-
istration, or enforcement of U.S. sanc-
tions against the FRY (S&M); and
§ 585.518 Certain standby letters of credit and performance bonds.

(a) Notwithstanding any other provision of law, payment into a blocked account in a U.S. financial institution by an issuing or confirming bank under a standby letter of credit in favor of a beneficiary that is the Government of the FRY (S&M) or a person in the FRY (S&M) is prohibited by § 585.201 and not authorized, notwithstanding the provisions of § 585.503, if

(1) The account party is a U.S. person; and

(2)(i) A specific license has been issued pursuant to the provisions of paragraph (b) of this section, or

(ii) 10 business days have not expired since the bank has received notice of the removal of the injunction, and

(c) Where there is outstanding a demand for payment under a standby letter of credit, and the issuing or confirming bank has been enjoined from making payment, upon removal of the injunction, the account party may apply for a specific license for the same purpose and in the same manner as that set forth in paragraph (b) of this section. The issuing or confirming bank shall not make payment under the standby letter of credit unless:

(1) 10 business days have expired since the bank has received notice of the removal of the injunction, and

(2) A specific license issued to the account party pursuant to the provisions of this paragraph has not been presented to the bank.

(b) Whenever an issuing or confirming bank shall receive such demand for payment under such a standby letter of credit, it shall promptly notify the account party. The account party may then apply within 5 business days for a specific license authorizing the account party to establish a blocked account on its books in the name of the FRY (S&M) beneficiary in the amount payable under the credit, in lieu of payment by the issuing or confirming bank into a blocked account and reimbursement therefor by the account party. Nothing in this section relieves any such bank or such account party from giving any notice of defense against payment or reimbursement that is required by applicable law.

(g) This section does not authorize any U.S. person to reimburse a non-U.S. bank for payment to an FRY (S&M) beneficiary under a standby letter of credit, except by payments into a blocked account in accordance with § 585.503 or paragraph (b) or (c) of this section.

(h) A person receiving a specific license under paragraph (b) or (c) of this section shall certify to the Office of Foreign Assets Control within 5 business days after receipt of that license that it has established the blocked account on its books as provided in those paragraphs. However, in appropriate cases, this time period may be extended upon application to the Office of Foreign Assets Control when the account party has filed a petition with an appropriate court seeking a judicial
Office of Foreign Assets Control, Treasury § 585.522

order barring payment by the issuing or confirming bank.

(i) For the purposes of this section:

(1) The term *standby letter of credit* shall mean a letter of credit securing performance of a contract, or repayment of any advance payments or deposits under a contract, or any similar obligation in the nature of a performance bond;

(2) The term *account party* shall mean the person for whose account the standby letter of credit was opened; and

(3) The term *FRY (S&M) beneficiary* shall mean a beneficiary that is (i) a person in the FRY (S&M), (ii) an entity operated from the FRY (S&M), or (iii) the Government of the FRY (S&M).

§ 585.519 Certain imports for diplomatic or official personnel authorized.

All transactions ordinarily incident to the importation of any goods or services into the United States, which are not for resale, and which are destined for official or personal use by personnel employed by the diplomatic missions of the Government of the FRY (S&M) to the United States and to international organizations located in the United States are authorized, unless the importation is otherwise prohibited by law.

§ 585.520 Entries in certain accounts for normal service charges authorized.

(a) U.S. financial institutions are hereby authorized to:

(1) Debit any blocked account on their books in payment or reimbursement for normal service charges owed to such U.S. financial institution by the owner of such blocked account; and

(2) Make book entries against any foreign currency account maintained by it with a financial institution in the FRY (S&M) for the purpose of responding to debits to such account for normal service charges in connection therewith.

(b) As used in this section, the term *normal service charge* shall include charges in payment or reimbursement for interest due; cable, telegraph, or telephone charges; postage costs; custody fees; small adjustment charges to correct bookkeeping errors; and, but not by way of limitation, minimum balance charges, notary and protest fees, and charges for reference books, photocopies, credit reports, transcripts of statements, registered mail insurance, stationery and supplies, check books, and other similar items.

§ 585.521 Donations of food to relieve human suffering authorized.

(a) Specific licenses may be issued on a case-by-case basis to permit exportation to the FRY (S&M) of donated food intended to relieve human suffering.

(b) In general, specific licenses will only be granted for donations of food to be provided through the United Nations in accordance with UNSC Resolution 757 and in cooperation with the International Committee of the Red Cross or other appropriate humanitarian agencies for distribution by them or under their supervision, or in such other manner as may be approved under UNSC Resolution 757 and any other applicable Security Council resolutions, in order to ensure that such donations reach the intended beneficiaries.

(c) Applications for specific licenses pursuant to paragraph (a) of this section shall be made in advance of the proposed exportation, and provide the following information:

(1) The nature, quantity, value, and intended use of the donated food; and

(2) The terms and conditions of distribution, including the intended method of compliance with such terms and conditions of distribution as may have been adopted by the United Nations Security Council or a duly authorized body subordinate thereto to govern the shipment of foodstuffs under applicable United Nations Security Council resolutions, including UNSC Resolution 757.

§ 585.522 Donations of medical supplies authorized.

(a) Specific licenses may be issued on a case-by-case basis to permit exportation to the FRY (S&M) of donated supplies intended strictly for medical purposes, in accordance with the provisions of UNSC Resolution 757 and other
§ 585.523 Certain transactions for the benefit of individuals in the FRY (S&M) authorized.

All transactions are authorized by U.S. financial institutions that are not blocked, including their foreign branches, for the benefit of individuals located in the FRY (S&M) provided that such transactions do not result in the transfer of funds to or for the benefit of the Government of the FRY (S&M) or to persons in the FRY (S&M).

§ 585.524 Humanitarian aid and trade in United Nations Protected Areas of Croatia and those areas of the Republic of Bosnia and Herzegovina controlled by Bosnian Serb forces.

(a) Specific licenses may be issued on a case-by-case basis to permit exportation to, or transshipment through, the United Nations Protected Areas in the Republic of Croatia and those areas of the Republic of Bosnia and Herzegovina under the control of Bosnian Serb forces of any other goods, only upon a determination by the Director of the Office of Foreign Assets Control that such activities have been properly authorized by the Government of the Republic of Croatia or the Government of the Republic of Bosnia and Herzegovina, respectively.

§ 585.525 Authorization of certain new transactions with respect to the FRY (S&M).

(a) Notwithstanding the provisions of subpart B of this part, transactions and activities otherwise prohibited by §§585.201(a), (b) and (d) (blocked property), 585.204 (imports), 585.205 (exports), 585.206 (dealing in exports and imports), 585.207 (transportation-related transactions), 585.208 (aircraft), 585.209 (performance of contracts), 585.210 (transfer of funds), 585.211 (sporting events), 585.212 (scientific and technical cooperation, cultural exchanges), 585.215 (detention of conveyances and cargo), 585.217(a) (entry of U.S. vessels into territorial waters), 585.218(a) (insofar as that paragraph relates to trade in the United Nations Protected Areas of Croatia), and the restrictions on certain travel-related transactions (including those for commercial travel) delineated in §585.512, are hereby authorized on or after January 16, 1996, provided that no such transaction results in a debit to an account blocked prior to December 27, 1995, or a transfer of property blocked prior to December 27, 1995, unless such debit or transfer is independently authorized by or pursuant to this part.

(b)(1) All provisions of §585.509 continue to apply to debt for which the National Bank of Yugoslavia or a bank located in the FRY (S&M) bears joint or several liability and which, immediately prior to January 16, 1996, was held in the United States or was within
the possession or control of a U.S. person, except that the certification and reporting requirements contained in §585.509(c) and (d)(3) no longer apply to transactions with or for the benefit of persons with respect to whom the blocking provisions of §585.201(a), (b) and (d) have been suspended pursuant to this section.

(2) Transactions by U.S. persons involving debt for which the National Bank of Yugoslavia or a bank located in the FRY (S&M) bears joint or several liability but that was not held in the United States or within the possession or control of a U.S. person immediately prior to January 16, 1996 are authorized, provided that no debit or transfer to a blocked account is authorized.

(c) Transactions and activities prohibited by §§585.201(c) (blocked property), 585.217(b) (entry of U.S. vessels into riverine ports), 585.218(a) (insofar as that paragraph relates to trade in Bosnian Serb-controlled areas of Bosnia and Herzegovina), and 585.218(b) (services to Bosnian Serb-controlled areas), remain prohibited and are not authorized by this section.

(d) The authorizations contained in this section do not eliminate the need to comply with regulatory requirements not administered by the Office of Foreign Assets Control, including aviation, financial and trade requirements administered by other federal agencies.

[61 FR 1284, Jan. 19, 1996]

§ 585.526 Authorization for release of certain blocked transfers by U.S. financial institutions.

(a) U.S. financial institutions are authorized to unblock and return to the remitting party funds which came into their possession or control through wire transfer instructions or check remittances that were not destined for an account on the books of a U.S. financial institution, which account was established by a person whose property or interests in property were blocked immediately prior to January 16, 1996 pursuant to §585.201 (a “blocked person”), provided that the funds may not be so unblocked and returned if they were remitted by or through a blocked person.

(b)(1) Nothing in this section authorizes the unblocking and release of funds destined for credit:

(i) To accounts established by blocked persons on the books of U.S. financial institutions; or

(ii) To Beogradska Banka d.d. New York Agency or Jugobanka d.d. New York Agency for further credit to account holders. Both banks are blocked persons.

(2) Funds described in paragraph (b)(1) of this section that are not already held in an account described in paragraph (b)(1)(i) must be transferred to such an account by January 29, 1996, where the funds must be maintained in blocked status pursuant to §585.201. Nothing in this section authorizes transfers involving property or property interests blocked pursuant to §585.201(c) (blocking property and interests in property of the Bosnian Serb forces and authorities in the areas of the Republic of Bosnia and Herzegovina such forces control; entities organized or located in those areas; entities owned or controlled directly or indirectly by any person in, or resident in, those areas; and any person acting for or on behalf of any of the foregoing persons).

[61 FR 1284, Jan. 19, 1996]

§ 585.527 Authorization of certain new transactions with respect to the Bosnian Serbs.

(a) Notwithstanding the provisions of subpart B of this part, transactions and activities otherwise prohibited by §§585.201(c) (blocked property), 585.217(b) (entry of U.S. vessels into riverine ports), 585.218(a) (insofar as that paragraph relates to trade in Bosnian Serb-controlled areas of Bosnia and Herzegovina), and 585.218(b) (services to Bosnian Serb-controlled areas), are hereby authorized on or after May 10, 1996, provided that no such transaction results in a debit to an account blocked prior to May 10, 1996, or a transfer of property blocked prior to May 10, 1996, unless such debit or transfer is independently authorized by or pursuant to this part.

(b) The authorizations contained in this section do not eliminate the need to comply with regulatory requirements not administered by the Office
§ 585.528 Unblocking of certain vessels and accounts.

(a) All transactions with respect to the following vessels are authorized as of May 19, 1997: the M/V MOSLAVINA, M/V ZETA, M/V LOVCEN, M/V DURMITOR, and M/V BAR (a.k.a. M/V INViken).

(b) All transactions by U.S. persons to seek and obtain judicial warrants of maritime arrest against the blocked vessels referenced in paragraph (a) of this section are authorized, but service of a warrant of maritime arrest on a blocked vessel referenced in paragraph (a) of this section may be effected not before 10:00 a.m. local time in the location of the vessel, May 8, 1997.

(c) Nothing in this section authorizes a debit to an account blocked prior to December 27, 1995, unless such debit is independently authorized by or pursuant to this part.

(d) All transactions with respect to blocked accounts held at Whitney National Bank, New Orleans, Louisiana, containing the proceeds of the sales of the M/V KAPETAN MARTINOVIC and the M/V BOR are authorized as of December 7, 1998. All transactions by U.S. persons to seek and obtain judicial writs of attachment against the blocked accounts as substitute property for these vessels are authorized as of 10:00 a.m. Eastern Standard Time, November 27, 1998.


§ 585.529 Unblocking of previously blocked property.

(a)(1) Except for such property and interests in property described in paragraph (a)(2) of this section, as of February 25, 2003, all transactions that otherwise would be prohibited by this part involving property or interests in property blocked pursuant to Executive Order 12808 of May 30, 1992, Executive Order 12810 of June 5, 1992, Executive Order 12846 of April 25, 1993, or Executive Order 12934 of October 25, 1994, that has remained blocked pursuant to Presidential Determination No. 96–7 of December 27, 1995, are authorized.

(2) The authorization in paragraph (a)(1) does not apply to:

(i) Property or interests in property of diplomatic and/or consular missions of the former Socialist Federal Republic of Yugoslavia,

(ii) Property or interests in property blocked pursuant to this part of those persons presently subject to sanctions under either the Federal Republic of Yugoslavia (Serbia & Montenegro) Milosevic Regulations set forth at 31 CFR part 587 or the Western Balkans Transactions Regulations set forth at 31 CFR part 588, or who are otherwise subject to sanctions under this chapter, or

(iii) Property or interests in property of the National Bank of Yugoslavia blocked pursuant to this part.

(b) As of December 27, 2002, any person or government is authorized to seek an attachment, judgment, decree, lien, or other judicial or legal process against or with respect to any property or interests in property subject to the unblocking authorization set forth in paragraph (a) of this section. This section does not authorize any execution against, final settlement with respect to, garnishment of, or other action effecting the transfer of any property or interests in property subject to the unblocking authorization set forth in paragraph (a) of this section prior to February 25, 2003.

NOTE TO PARAGRAPH (b) OF §585.529: Any person or government seeking judicial or other legal process under the authority of this paragraph must comply with the reporting requirements set forth under 31 CFR 501.665 pertaining to litigation, arbitration and dispute resolution proceedings.

[67 FR 78974, Dec. 27, 2002]

Subpart F—Reports

§ 585.601 Records and reports.

For provisions relating to records and reports, see subpart C of part 501 of this chapter.

Subpart G—Penalties

§ 585.701 Penalties.

(a) Attention is directed to section 206 of the International Emergency Economic Powers Act (the “Act”) (50 U.S.C. 1705), which is applicable to violations of the provisions of any license, ruling, regulation, order, direction or instruction issued by or pursuant to the direction or authorization of the Secretary of the Treasury pursuant to this part or otherwise under the Act.

(1) A civil penalty not to exceed the amount set forth in Section 206 of the Act may be imposed on any person who violates, attempts to violate, conspires to violate, or causes a violation of any license, order, regulation, or prohibition issued under the Act.

NOTE TO PARAGRAPH (a)(1) OF § 585.701: As of June 10, 2008, the Act provides for a maximum civil penalty not to exceed the greater of $250,000 or an amount that is twice the amount of the transaction that is the basis of the violation with respect to which the penalty is imposed.

(2) A person who willfully commits, willfully attempts to commit, or willfully conspires to commit, or aids or abets in the commission of a violation of any license, order, regulation, or prohibition shall, upon conviction, be fined not more than $1,000,000, or if a natural person, may be imprisoned for not more than 20 years, or both.

(b) Adjustments to penalty amounts. (1) The civil penalties provided in the Act are subject to adjustment pursuant to the Federal Civil Penalties Inflation Adjustment Act of 1990 (Pub. L. 101–410, as amended, 28 U.S.C. 2461 note).

(2) The criminal penalties provided in the Act are subject to adjustment pursuant to 18 U.S.C. 3571.

(c) Attention is directed to the United Nations Participation Act (22 U.S.C. 287c(b)), which provides that any person who willfully violates or evades or attempts to violate or evade any order, rule, or regulation issued by the President pursuant to the authority granted in this section shall, upon conviction, be fined not more than $10,000 or, if a natural person, be imprisoned for not more than 10 years, or both; and the officer, director or agent of any corporation who knowingly participates in such violation or evasion shall be punished by a similar fine, imprisonment or both, and any property, funds, securities, papers, or other articles or documents, or any vessel, together with tackle, apparel, furniture, and equipment, or vehicle, or aircraft, concerned in such violation shall be forfeited to the United States. The criminal penalties provided in the United Nations Participation Act are subject to increase pursuant to 18 U.S.C. 3571.

(d) Attention is also directed to 18 U.S.C. 1001, which provides that whoever, in any matter within the jurisdiction of any department or agency of the United States, knowingly and willfully falsifies, conceals or covers up by any trick, scheme, or device a material fact, or makes any false, fictitious or fraudulent statement or representation or makes or uses any false writing or document knowing the same to contain any false, fictitious or fraudulent statement or entry, shall be fined under title 18, United States Code, or imprisoned not more than five years, or both.

(e) Violations of this part may also be subject to relevant provisions of the Customs laws and other applicable laws.


§ 585.702 Prepenalty notice.

(a) When required. If the Director of the Office of Foreign Assets Control has reasonable cause to believe that there has occurred a violation of any provision of this part or a violation of the provisions of any license, ruling, regulation, order, direction or instruction issued by or pursuant to the direction or authorization of the Secretary of the Treasury pursuant to this part or otherwise under the International Emergency Economic Powers Act, and the Director determines that further proceedings are warranted, he shall issue to the person concerned a notice of his intent to impose a monetary penalty. The prepenalty notice shall be issued whether or not another agency has taken any action with respect to this matter.

(b) Contents. (1) Facts of violation. The prepenalty notice shall describe
§ 585.703 Presentation responding to prepenalty notice.

(a) Time within which to respond. The named person shall have 30 days from the date of mailing of the prepenalty notice to make a written presentation to the Director.

(b) Form and contents of written presentation. The written presentation need not be in any particular form, but shall contain information sufficient to indicate that it is in response to the prepenalty notice. It should contain responses to the allegations in the prepenalty notice and set forth the reasons why the person believes the penalty should not be imposed or, if imposed, why it should be in a lesser amount than proposed.

§ 585.704 Penalty notice.

(a) No violation. If, after considering any presentations made in response to the prepenalty notice and any relevant facts, the Director determines that there was no violation by the person named in the prepenalty notice, he promptly shall notify the person in writing of that determination and that no monetary penalty will be imposed.

(b) Violation. If, after considering any presentations made in response to the prepenalty notice, the Director determines that there was a violation by the person named in the prepenalty notice, he promptly shall issue a written notice of the imposition of the monetary penalty to that person.

§ 585.705 Referral to United States Department of Justice.

In the event that the person named does not pay the penalty imposed pursuant to this subpart or make payment arrangements acceptable to the Director within 30 days of the mailing of the written notice of the imposition of the penalty, the matter shall be referred for administrative collection measures or to the United States Department of Justice for appropriate action to recover the penalty in a civil suit in a Federal district court.

Subpart H—Procedures

§ 585.801 Procedures.

For license application procedures and procedures relating to amendments, modifications, or revocations of licenses; administrative decisions; rulemaking; and requests for documents pursuant to the Freedom of Information and Privacy Acts (5 U.S.C. 552 and 552a), see part 501, subpart E, of this chapter.


§ 585.802 Delegation by the Secretary of the Treasury.

Any action which the Secretary of the Treasury is authorized to take pursuant to Executive Orders 12808, 12810, 12831, and any further Executive orders relating to the national emergency declared in Executive Order 12808 may be taken by the Director, Office of Foreign Assets Control.


Subpart I—Paperwork Reduction Act

§ 585.901 Paperwork Reduction Act notice.

For approval by the Office of Management and Budget (“OMB”) under the Paperwork Reduction Act of information collections relating to recordkeeping and reporting requirements, to licensing procedures (including those pursuant to statements of licensing policy), and to other procedures, see §501.901 of this chapter. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid control number assigned by OMB.

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PART 586—FEDERAL REPUBLIC OF YUGOSLAVIA (SERBIA & MONTENEGRO) KOSOVO SANCTIONS REGULATIONS

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586.901 Paperwork Reduction Act notice.


Source: 63 FR 54576, Oct. 13, 1998, unless otherwise noted.

Subpart A—Relation of This Part to Other Laws and Regulations

§ 586.101 Relation of this part to other laws and regulations.

(a) This part is separate from, and independent of, the other parts of this chapter with the exception of part 501 of this chapter, the recordkeeping and reporting requirements and license application and other procedures of which apply to this part. Actions pursuant to part 501 of this chapter with respect to the prohibitions of this part are considered actions pursuant to this part. Differing foreign policy and national security contexts may result in differing interpretations of similar language among the parts of this chapter. No license or authorization contained in or issued pursuant to those other parts authorizes any transaction prohibited by this part. No license or authorization contained in or issued pursuant to any other provision of law or regulation authorizes any transaction prohibited by this part.

(b) No license or authorization contained in or issued pursuant to this part relieves the involved parties from complying with any other applicable laws or regulations.

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Subpart B—Prohibitions

§ 586.201 Prohibited transactions involving blocked property.

(a) Except as authorized by regulations, orders, directives, rulings, instructions, licenses, or otherwise, no property or interests in property of the Governments of the FRY (S&M), the Republic of Serbia, and the Republic of Montenegro, that are in the United States, that hereafter come within the United States, or that are hereafter come within the possession or control of U.S. persons, including their overseas branches, may be transferred, paid, exported, withdrawn or otherwise dealt in.

NOTE TO PARAGRAPH (a) OF § 586.201: See note at end of this section with regard to the lifting of certain sanctions effective January 19, 2001.

(b) The blocking of property and property interests in paragraph (a) of this section includes the prohibition of financial transactions with, including trade financing for, the Governments of the FRY (S&M), the Republic of Serbia, and the Republic of Montenegro by United States persons.

NOTE TO PARAGRAPH (b) OF § 586.201: See note at end of this section with regard to the lifting of certain sanctions effective January 19, 2001.

(c) Property or interests in property blocked pursuant to Executive Order 13088 of June 9, 1998, as amended by Executive Order 13121 of April 30, 1999, and this part prior to 12:01 a.m. eastern standard time, January 19, 2001, are blocked, and may not be transferred, paid, exported or otherwise dealt in except as otherwise authorized by the Secretary of the Treasury.

NOTE TO PARAGRAPH (c) OF § 586.201: See note at end of this section with regard to the lifting of certain sanctions effective January 19, 2001.

(d) Unless otherwise authorized by this part or by a specific license expressly referring to this section, the transfer (including the transfer on the books of any issuer or agent thereof), disposition, transportation, importation, exportation, or withdrawal of, or the endorsement or guaranty of signatures on, or otherwise dealing in any
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§ 586.202 Effect of transfers violating the provisions of this part.

(a) Any transfer after the effective date which is in violation of any provision of this part or of any regulation, order, directive, ruling, instruction, license, or other authorization issued pursuant to this part and involves any property or interest in property blocked pursuant to §586.201 is null and void and shall not be the basis for the assertion or recognition of any interest in or right, remedy, power or privilege with respect to such property or property interests.

(b) No transfer before the effective date shall be the basis for the assertion or recognition of any right, remedy, power, or privilege with respect to, or interest in, any property or interest in property blocked pursuant to §586.201, unless the person with whom such property is held or maintained, prior to such date, had written notice of the transfer or by any written evidence had recognized such transfer.

(c) Unless otherwise provided, an appropriate license or other authorization issued by or pursuant to the direction or authorization of the Director of the Office of Foreign Assets Control before, during, or after a transfer shall validate such transfer or render it enforceable to the same extent that it would be valid or enforceable but for the provisions of the International Emergency Economic Powers Act, this part, and any regulation, order, directive, ruling, instruction, or license issued pursuant to this part.

(d) Transfers of property which otherwise would be null and void or unenforceable by virtue of the provisions of this section shall not be deemed to be null and void or unenforceable as to any person with whom such property was held or maintained (and as to such person only) in cases in which such person is able to establish to the satisfaction of the Director of the Office of Foreign Assets Control each of the following:

(1) Such transfer did not represent a willful violation of the provisions of this part by the person with whom such property was held or maintained;

(2) The person with whom such property was held or maintained did not have reasonable cause to know or suspect, in view of all the facts and circumstances known or available to such person, that such transfer required a license or authorization by or pursuant to

§ 586.201

Exitation of transfers violating the provisions of this part.

(a) Any transfer after the effective date which is in violation of any provision of this part or of any regulation, order, directive, ruling, instruction, license, or other authorization issued pursuant to this part and involves any property or interest in property blocked pursuant to §586.201 is null and void and shall not be the basis for the assertion or recognition of any interest in or right, remedy, power or privilege with respect to such property or property interests.

(b) No transfer before the effective date shall be the basis for the assertion or recognition of any right, remedy, power, or privilege with respect to, or interest in, any property or interest in property blocked pursuant to §586.201, unless the person with whom such property is held or maintained, prior to such date, had written notice of the transfer or by any written evidence had recognized such transfer.

(c) Unless otherwise provided, an appropriate license or other authorization issued by or pursuant to the direction or authorization of the Director of the Office of Foreign Assets Control before, during, or after a transfer shall validate such transfer or render it enforceable to the same extent that it would be valid or enforceable but for the provisions of the International Emergency Economic Powers Act, this part, and any regulation, order, directive, ruling, instruction, or license issued pursuant to this part.

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(1) Such transfer did not represent a willful violation of the provisions of this part by the person with whom such property was held or maintained;

(2) The person with whom such property was held or maintained did not have reasonable cause to know or suspect, in view of all the facts and circumstances known or available to such person, that such transfer required a license or authorization by or pursuant to

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(b) No transfer before the effective date shall be the basis for the assertion or recognition of any right, remedy, power, or privilege with respect to, or interest in, any property or interest in property blocked pursuant to §586.201, unless the person with whom such property is held or maintained, prior to such date, had written notice of the transfer or by any written evidence had recognized such transfer.

(c) Unless otherwise provided, an appropriate license or other authorization issued by or pursuant to the direction or authorization of the Director of the Office of Foreign Assets Control before, during, or after a transfer shall validate such transfer or render it enforceable to the same extent that it would be valid or enforceable but for the provisions of the International Emergency Economic Powers Act, this part, and any regulation, order, directive, ruling, instruction, or license issued pursuant to this part.

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(1) Such transfer did not represent a willful violation of the provisions of this part by the person with whom such property was held or maintained;

(2) The person with whom such property was held or maintained did not have reasonable cause to know or suspect, in view of all the facts and circumstances known or available to such person, that such transfer required a license or authorization by or pursuant to

§ 586.201

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(b) No transfer before the effective date shall be the basis for the assertion or recognition of any right, remedy, power, or privilege with respect to, or interest in, any property or interest in property blocked pursuant to §586.201, unless the person with whom such property is held or maintained, prior to such date, had written notice of the transfer or by any written evidence had recognized such transfer.

(c) Unless otherwise provided, an appropriate license or other authorization issued by or pursuant to the direction or authorization of the Director of the Office of Foreign Assets Control before, during, or after a transfer shall validate such transfer or render it enforceable to the same extent that it would be valid or enforceable but for the provisions of the International Emergency Economic Powers Act, this part, and any regulation, order, directive, ruling, instruction, or license issued pursuant to this part.

(d) Transfers of property which otherwise would be null and void or unenforceable by virtue of the provisions of this section shall not be deemed to be null and void or unenforceable as to any person with whom such property was held or maintained (and as to such person only) in cases in which such person is able to establish to the satisfaction of the Director of the Office of Foreign Assets Control each of the following:

(1) Such transfer did not represent a willful violation of the provisions of this part by the person with whom such property was held or maintained;

(2) The person with whom such property was held or maintained did not have reasonable cause to know or suspect, in view of all the facts and circumstances known or available to such person, that such transfer required a license or authorization by or pursuant to

§ 586.201

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(b) No transfer before the effective date shall be the basis for the assertion or recognition of any right, remedy, power, or privilege with respect to, or interest in, any property or interest in property blocked pursuant to §586.201, unless the person with whom such property is held or maintained, prior to such date, had written notice of the transfer or by any written evidence had recognized such transfer.

(c) Unless otherwise provided, an appropriate license or other authorization issued by or pursuant to the direction or authorization of the Director of the Office of Foreign Assets Control before, during, or after a transfer shall validate such transfer or render it enforceable to the same extent that it would be valid or enforceable but for the provisions of the International Emergency Economic Powers Act, this part, and any regulation, order, directive, ruling, instruction, or license issued pursuant to this part.

(d) Transfers of property which otherwise would be null and void or unenforceable by virtue of the provisions of this section shall not be deemed to be null and void or unenforceable as to any person with whom such property was held or maintained (and as to such person only) in cases in which such person is able to establish to the satisfaction of the Director of the Office of Foreign Assets Control each of the following:

(1) Such transfer did not represent a willful violation of the provisions of this part by the person with whom such property was held or maintained;

(2) The person with whom such property was held or maintained did not have reasonable cause to know or suspect, in view of all the facts and circumstances known or available to such person, that such transfer required a license or authorization by or pursuant to

§ 586.201

Exitation of transfers violating the provisions of this part.

(a) Any transfer after the effective date which is in violation of any provision of this part or of any regulation, order, directive, ruling, instruction, license, or other authorization issued pursuant to this part and involves any property or interest in property blocked pursuant to §586.201 is null and void and shall not be the basis for the assertion or recognition of any interest in or right, remedy, power or privilege with respect to such property or property interests.

(b) No transfer before the effective date shall be the basis for the assertion or recognition of any right, remedy, power, or privilege with respect to, or interest in, any property or interest in property blocked pursuant to §586.201, unless the person with whom such property is held or maintained, prior to such date, had written notice of the transfer or by any written evidence had recognized such transfer.

(c) Unless otherwise provided, an appropriate license or other authorization issued by or pursuant to the direction or authorization of the Director of the Office of Foreign Assets Control before, during, or after a transfer shall validate such transfer or render it enforceable to the same extent that it would be valid or enforceable but for the provisions of the International Emergency Economic Powers Act, this part, and any regulation, order, directive, ruling, instruction, or license issued pursuant to this part.

(d) Transfers of property which otherwise would be null and void or unenforceable by virtue of the provisions of this section shall not be deemed to be null and void or unenforceable as to any person with whom such property was held or maintained (and as to such person only) in cases in which such person is able to establish to the satisfaction of the Director of the Office of Foreign Assets Control each of the following:

(1) Such transfer did not represent a willful violation of the provisions of this part by the person with whom such property was held or maintained;

(2) The person with whom such property was held or maintained did not have reasonable cause to know or suspect, in view of all the facts and circumstances known or available to such person, that such transfer required a license or authorization by or pursuant to

§ 586.201
to this part and was not so licensed or authorized, or if a license or authorization did purport to cover the transfer, that such license or authorization had been obtained by misrepresentation of a third party or the withholding of material facts or was otherwise fraudulently obtained; and

(3) The person with whom such property was held or maintained filed with the Office of Foreign Assets Control a report setting forth in full the circumstances relating to such transfer promptly upon discovery that:

(i) Such transfer was in violation of the provisions of this part or any regulation, ruling, instruction, license, or other direction or authorization issued pursuant to this part; or

(ii) Such transfer was not licensed or authorized by the Director of the Office of Foreign Assets Control; or

(iii) If a license did purport to cover the transfer, such license had been obtained by misrepresentation of a third party or the withholding of material facts or was otherwise fraudulently obtained.

NOTE TO PARAGRAPH (d) OF §586.202: The filing of a report in accordance with the provisions of paragraph (d)(3) of this section shall not be deemed evidence that the terms of paragraphs (d)(1) and (2) of this section have been satisfied.

(e) Unless licensed or authorized pursuant to this part, any attachment, judgment, decree, lien, execution, garnishment, or other judicial process is null and void with respect to any property or interest in property blocked pursuant to §586.201.

§586.203 Holding of funds in interest-bearing accounts; investment and reinvestment.

(a) Except as provided in paragraph (c) or (d) of this section, or as otherwise directed by the Office of Foreign Assets Control, any U.S. person holding funds, such as currency, bank deposits, or liquidated financial obligations, subject to §586.201 shall hold or place such funds in a blocked interest-bearing account located in the United States.

(b)(1) For purposes of this section, the term blocked interest-bearing account means a blocked account:

(i) In a federally-insured U.S. bank, thrift institution, or credit union, provided the funds are earning interest at rates which are commercially reasonable; or

(ii) With a broker or dealer registered with the Securities and Exchange Commission under the Securities Exchange Act of 1934, provided the funds are invested in a money market fund or in U.S. Treasury bills.

(2) For purposes of this section, a rate is commercially reasonable if it is the rate currently offered to other depositors on deposits or instruments of comparable size and maturity.

(3) Funds held or placed in a blocked account pursuant to this paragraph (b) may not be invested in instruments the maturity of which exceeds 180 days. If interest is credited to a separate blocked account or sub-account, the name of the account party on each account must be the same.

(c) Blocked funds held in instruments the maturity of which exceeds 180 days at the time the funds become subject to §586.201 may continue to be held until maturity in the original instrument, provided any interest, earnings, or other proceeds derived therefrom are paid into a blocked interest-bearing account in accordance with paragraph (b) or (d) of this section.

(d) Blocked funds held in accounts or instruments outside the United States at the time the funds become subject to §586.201 may continue to be held in the same type of accounts or instruments, provided the funds earn interest at rates which are commercially reasonable.

(e) This section does not create an affirmative obligation for the holder of blocked tangible property, such as chattels or real estate, or of other blocked property, such as debt or equity securities, to sell or liquidate such property at the time the property becomes subject to §586.201. However, the Office of Foreign Assets Control may issue licenses permitting or directing such sales in appropriate cases.

(f) Funds subject to this section may not be held, invested, or reinvested in a manner which provides immediate financial or economic benefit or access to persons whose property or interests in property are blocked pursuant to
§ 586.201, nor may their holder cooperate in or facilitate the pledging or other attempted use as collateral of blocked funds or other assets.

§ 586.204 Prohibited new investment within Serbia.

Except as otherwise provided in regulations, orders, directives, or licenses that may hereafter be issued pursuant to this order, all new investment in the territory of the Republic of Serbia by United States persons, and the approval or other facilitation by United States persons of other persons' new investment in the territory of the Republic of Serbia, are prohibited.

NOTE TO § 586.204: Section 1(b) of Executive Order 13192 of January 17, 2001 (66 FR 7379, January 23, 2001), revoked section 3 of Executive Order 13088 of June 9, 1998 (63 FR 32109, June 12, 1998), which prohibited all new investment by United States persons in the territory of the Republic of Serbia and the approval and other facilitation by United States persons of other persons' new investment in the territory of the Republic of Serbia. Consequently, with the exception of transactions involving property or interests in property of persons designated in or pursuant to 31 CFR § 587.201(a), the new investment activities of United States persons in the territory of the Republic of Serbia on or after January 19, 2001, are not prohibited by § 586.204.

§ 586.205 Evasions; attempts; conspiracies.

Any transaction by any United States person or within the United States that evades or avoids, or has the purpose of evading or avoiding, or attempts to violate, any of the prohibitions set forth in this part is prohibited. Any conspiracy formed for the purpose of engaging in a transaction prohibited by this part is prohibited.

§ 586.206 Exempt transactions.

(a) Personal communications. The prohibitions contained in this part do not apply to any postal, telegraphic, telephonic, or other personal communication, which does not involve the transfer of anything of value.

(b) Information and informational materials. (1) The importation from any country and the exportation to any country of information or informational materials as defined in §586.309, whether commercial or otherwise, regardless of format or medium of transmission, are exempt from the prohibitions and regulations of this part.

(2) This section does not authorize transactions related to information and informational materials not fully created and in existence at the date of the transactions, or to the substantive or artistic alteration or enhancement of informational materials, or to the provision of marketing and business consulting services. Such prohibited transactions include, but are not limited to, payment of advances for information and informational materials not yet created and completed (with the exception of prepaid subscriptions for widely circulated magazines and other periodical publications), provision of services to market, produce or co-produce, create or assist in the creation of information and informational materials, and payment of royalties to persons whose property or interests in property are blocked pursuant to §586.201 with respect to income received for enhancements or alterations made by U.S. persons to information or informational materials imported from persons whose property and property interests are blocked pursuant to §586.201.

(3) This section does not exempt or authorize transactions incident to the exportation of software subject to the Export Administration Regulations, 15 CFR parts 730–774, or to the exportation of goods, technology or software, or to the sale or leasing of telecommunications transmission facilities (such as satellite links or dedicated lines) for use in the transmission of any data. The exportation of such items or services and the sale or leasing of such facilities to a person whose property and interests in property are blocked pursuant to §586.201 is prohibited.

(c) Travel. The prohibitions contained in this part do not apply to transactions ordinarily incident to travel to or from any country, including exportation or importation of accompanied baggage for personal use, maintenance within any country including payment of living expenses and acquisition of
goods or services for personal use, and arrangement or facilitation of such travel including non-scheduled air, sea, or land voyages.

(d) Journalistic activity. The prohibitions contained in this part do not apply to transactions in the FRY (S&Ms) for journalistic activity by persons regularly employed in such capacity by a news-gathering organization.

(e) Humanitarian donations. The prohibitions of this part do not apply to donations by U.S. persons of articles, such as food, clothing, and medicine, intended to be used to relieve human suffering.

Subpart C—General Definitions

§ 586.301 Blocked account; blocked property.

The terms blocked account and blocked property shall mean any account or property subject to the prohibition in § 586.201 held in the name of a person whose property is blocked pursuant to § 586.201 or in which such person has an interest, and with respect to which payments, transfers, exportations, withdrawals, or other dealings may not be made or effected except pursuant to an authorization or license from the Office of Foreign Assets Control.

§ 586.302 Effective date.

The term effective date refers to the effective date of the applicable prohibitions and directives contained in this part which is 12:01 a.m. eastern daylight time, June 10, 1998, except, with respect to § 586.201(c), 12:01 a.m. eastern standard time, January 19, 2001, shall apply.

[66 FR 50509, Oct. 3, 2001]

§ 586.303 Entity.

The term entity means a partnership, association, trust, joint venture, corporation, or other organization.

§ 586.304 Federal Republic of Yugoslavia (Serbia & Montenegro); FRY (S&Ms).

The term Federal Republic of Yugoslavia (Serbia & Montenegro) or FRY (S&Ms) means the territory of the Republics of Serbia and Montenegro.

§ 586.305 General license.

The term general license means any license or authorization the terms of which are set forth in this part.


The term Government of the Federal Republic of Yugoslavia (Serbia and Montenegro) means the government of the FRY (S&Ms), its agencies, instrumentalities, and controlled entities, including all financial institutions and state-owned and socially-owned entities organized or located in the FRY (S&Ms) as of June 9, 1998, any successors to such entities, and their respective subsidiaries and branches, wherever located, and any persons acting or purporting to act for or on behalf of any of the foregoing.

NOTE TO § 586.306: Please refer to the appendices at the end of this chapter for listings of persons determined to fall within this definition who have been designated pursuant to this part. Section 501.807 of this chapter sets forth the procedures to be followed by persons seeking administrative reconsideration of their designations, or who wish to assert that the circumstances resulting in designation are no longer applicable.


The term Government of the Republic of Montenegro means the government of the Republic of Montenegro, including any subdivisions thereof or local governments therein, its agencies, instrumentalities and controlled entities, including all financial institutions and state-owned and socially-owned entities organized or located in the Republic of Montenegro as of June 9, 1998, any successors to such entities, and their respective subsidiaries and branches, wherever located, and any persons acting or purporting to act for or on behalf of any of the foregoing.

NOTE TO § 586.307: Section 586.516 authorizes all transactions by U.S. persons involving property or interests in property of the Government of the Republic of Montenegro, unless such property remains blocked pursuant to the Federal Republic of Yugoslavia (Serbia and Montenegro) and Bosnian Serb-Controlled Areas of the Republic of Bosnia and Herzegovina Sanctions Regulations, 31 CFR part 585 (see §586.308).
§ 586.308 Government of the Republic of Serbia.

The term Government of the Republic of Serbia means the government of the Republic of Serbia, including any subdivisions thereof or local governments therein, its agencies, instrumentalities, and controlled entities, including all financial institutions and state-owned and socially-owned entities organized or located in the Republic of Serbia as of June 9, 1998, any successors to such entities, and their respective subsidiaries and branches, wherever located, and any persons acting or purporting to act for or on behalf of any of the foregoing.

NOTE TO § 586.308: Please refer to the appendices at the end of this chapter for listings of persons determined to fall within this definition who have been designated pursuant to this part. Section 501.807 of this chapter sets forth the procedures to be followed by persons seeking administrative reconsideration of their designations, or who wish to assert that the circumstances resulting in designation are no longer applicable.

§ 586.309 Information and informational materials.

(a)(1) For purposes of this part, the term information and informational materials means publications, films, posters, phonograph records, photographs, microfilms, microfiche, tapes, compact disks, CD ROMs, artworks, and news wire feeds, and other information and informational materials.

(2) To be considered informational materials, artworks must be classified under chapter heading 9701, 9702, or 9703 of the Harmonized Tariff Schedule of the United States.

(b) The term information and informational materials with respect to U.S. exports does not include items:

(1) That were, as of April 30, 1994, or that thereafter become, controlled for export pursuant to section 5 of the Export Administration Act of 1979, 50 U.S.C. App. 2401–2420 (the “EAA”), or section 6 of the EAA to the extent that such controls promote nonproliferation or antiterrorism policies of the United States.

(2) With respect to which acts are prohibited by 18 U.S.C. chapter 37.

§ 586.310 Interest.

Except as otherwise provided in this part, the term interest when used with respect to property (e.g., an interest in property) means an interest of any nature whatsoever, direct or indirect.

§ 586.311 License.

Except as otherwise specified, the term license means any license or authorization contained in or issued pursuant to this part.

§ 586.312 New investment.

The term new investment means the acquisition of debt or equity interests in, a commitment or contribution of funds or other assets to, or a loan or other extension of credit to, a public or private undertaking, entity, or project, including the Government of the Republic of Serbia, other than donations of funds to charitable organizations for purely humanitarian purposes.

§ 586.313 Person.

The term person means an individual or entity.

§ 586.314 Property; property interest.

The terms property and property interest include, but are not limited to, money, checks, drafts, bullion, bank deposits, savings accounts, debts, indebtedness, obligations, notes, guarantees, debentures, stocks, bonds, coupons, any other financial instruments, bankers’ acceptances, mortgages, pledges, liens or other rights in the nature of security, warehouse receipts, bills of lading, trust receipts, bills of sale, any other evidences of title, ownership or indebtedness, letters of credit and any documents relating to any rights or obligations thereunder, powers of attorney, goods, wares, merchandise, chattels, stocks on hand, ships, goods on ships, real estate mortgages, deeds of trust, vendors’ sales agreements, land contracts, leaseholds, ground rents, real estate and any other interest therein, options, negotiable instruments, trade acceptances, royalties, book accounts, accounts payable, judgments, patents, trademarks or copyrights, insurance policies, safe deposit boxes and their contents, annuities, pooling agreements, services of
§ 586.315 Specific license.

The term specific license means any license or authorization not set forth in this part but issued pursuant to this part.

§ 586.316 Transfer.

The term transfer means any actual or purported act or transaction, whether or not evidenced by writing, and whether or not done or performed within the United States, the purpose, intent, or effect of which is to create, surrender, release, convey, transfer, or alter, directly or indirectly, any right, remedy, power, privilege, or interest with respect to any property and, without limitation upon the foregoing, shall include the making, execution, or delivery of any assignment, power, conveyance, check, declaration, deed, deed of trust, power of attorney, power of appointment, bill of sale, mortgage, receipt, agreement, contract, certificate, gift, sale, affidavit, or statement; the making of any payment; the setting off of any obligation or credit; the appointment of any agent, trustee, or fiduciary; the creation or transfer of any lien; the issuance, docketing, filing, or levy of or under any judgment, decree, attachment, injunction, execution, or other judicial or administrative process or order, or the service of any garnishment; the acquisition of any interest of any nature whatsoever by reason of a judgment or decree of any foreign country; the fulfillment of any condition; the exercise of any power of appointment, power of attorney, or other power; or the acquisition, disposition, transportation, importation, exportation, or withdrawal of any security.

§ 586.317 U.S. financial institution.

The term U.S. financial institution means any U.S. entity (including foreign branches) that is engaged in the business of accepting deposits, making, granting, transferring, holding, or brokering loans or credits, or purchasing or selling foreign exchange, securities, commodity futures or options, or procuring purchasers and sellers thereof, as principal or agent; including, but not limited to, depository institutions, banks, savings banks, trust companies, securities brokers and dealers, commodity futures and options brokers and dealers, forward contract and foreign exchange merchants, securities and commodities exchanges, clearing corporations, investment companies, employee benefit plans, and U.S. holding companies, U.S. affiliates, or U.S. subsidiaries of any of the foregoing. This term includes those branches, offices and agencies of foreign financial institutions which are located in the United States, but not such institutions’ foreign branches, offices, or agencies.

§ 586.318 United States.

The term United States means the United States, its territories and possessions, and all areas under the jurisdiction or authority thereof.

§ 586.319 United States person; U.S. person.

The term United States person or U.S. person means any United States citizen, permanent resident alien, entity organized under the laws of the United States or any jurisdiction within the United States (including foreign branches), or any person in the United States.

[66 FR 50509, Oct. 3, 2001]

Subpart D—Interpretations

§ 586.401 Reference to amended sections.

Except as otherwise specified, reference to any section of this part or to any regulation, ruling, order, instruction, direction, or license issued pursuant to this part refers to the same as currently amended.

§ 586.402 Effect of amendment.

Any amendment, modification, or revocation of any section of this part or of any order, regulation, ruling, instruction, or license issued by or under the direction of the Director of the Office of Foreign Assets Control does not, unless otherwise specifically provided,
Office of Foreign Assets Control, Treasury § 586.407

affect any act done or omitted to be done, or any civil or criminal suit or proceeding commenced or pending prior to such amendment, modification, or revocation. All penalties, forfeitures, and liabilities under any such order, regulation, ruling, instruction, or license continue and may be enforced as if such amendment, modification, or revocation had not been made.

§ 586.403 Termination and acquisition of an interest in blocked property.

(a) Whenever a transaction licensed or authorized by or pursuant to this part results in the transfer of property (including any property interest) away from a person whose property or interests in property are blocked pursuant to § 586.201, such property shall no longer be deemed to be property blocked pursuant to § 586.201, unless there exists in the property another interest that is blocked pursuant to § 586.201 or any other part of this chapter, the transfer of which has not been effected pursuant to license or other authorization.

(b) Unless otherwise specifically provided in a license or authorization issued pursuant to this part, if property (including any property interest) is transferred or attempted to be transferred to a person whose property or interests in property are blocked pursuant to § 586.201, such property shall be deemed to be property in which that person has an interest and therefore blocked.

§ 586.404 Setoffs prohibited.

A setoff against blocked property (including a blocked account), whether by a U.S. bank or other U.S. person, is a prohibited transfer under § 586.201 if effected after the effective date.

§ 586.405 Transactions incidental to a licensed transaction.

Any transaction ordinarily incident to a licensed transaction and necessary to give effect thereto is also authorized, except:

(a) An incidental transaction, not explicitly authorized within the terms of the license, by or with a person whose property or interests in property are blocked pursuant to § 586.201; or

(b) An incidental transaction, not explicitly authorized within the terms of the license, involving a debit or credit to a blocked account or a transfer of blocked property.

[66 FR 50509, Oct. 3, 2001]

§ 586.406 Provision of services.

(a) Except as otherwise authorized, the prohibitions contained in § 586.201 apply to services performed by U.S. persons, wherever located:

(1) On behalf of, or for the benefit of, a person whose property or interests in property are blocked pursuant to § 586.201; or

(2) With respect to property interests of a person whose property or interests in property are blocked pursuant to § 586.201.

(b) Example: U.S. persons may not, without specific authorization from the Office of Foreign Assets Control, represent an individual or entity with respect to contract negotiations, contract performance, commercial arbitration, or other business dealings with persons whose property or interests in property are blocked pursuant to § 586.201. See § 586.509 on licensing policy with regard to the provision of certain legal services.


§ 586.407 Offshore transactions.

(a) The prohibitions contained in § 586.201 apply to transactions by any U.S. person in a location outside the United States with respect to property in which the U.S. person knows, or has reason to know, that a person whose property and interests in property are blocked pursuant to § 586.201 has or has had an interest since the effective date.

(b) Prohibited transactions include, but are not limited to, importation into or exportation from locations outside the United States of, or purchasing, selling, financing, swapping, insuring, transporting, lifting, storing, incorporating, transforming, brokering, or otherwise dealing in, within such locations, goods, technology or services in which the U.S. person knows, or has reason to know,
§ 586.408  Exempt financial transactions within the territory of the FRY (S&M); prohibition on establishment of new offices in Serbia.

(a) Section 586.201(c) exempts financial transactions, including trade financing, from the prohibitions contained in §586.201 by U.S. persons physically located within the territory of the FRY (S&M), where those transactions are conducted exclusively through the domestic banking system within the FRY (S&M) in local currency (dinars), or using bank notes or barter. A U.S. entity must have a permanent establishment, such as a branch or representative office, within the territory of the FRY (S&M) to be considered physically located there for purposes of this paragraph (a).

(b) The prohibition on new investment within Serbia contained in §586.204, as defined in §586.312, precludes the establishment after the effective date of a new representative or branch office or joint venture or other entity within the territory of the Republic of Serbia, because such activity would necessarily involve a commitment or contribution of funds or other assets to a public or private undertaking, entity, or project within Serbia. See §586.513 concerning the authorization of certain trade-related transactions conducted using bank notes or barter by U.S. persons located outside of the territory of the FRY (S&M).

Note to §586.408: All transactions with respect to property in which the Government of the Republic of Montenegro has an interest are authorized pursuant to §586.516. Therefore, all financial transactions by U.S. persons within the territory of the Republic of Montenegro are authorized, unless the transaction involves property in which another interest exists that is blocked pursuant to §586.201 or any other part of this chapter. See §586.403.

§ 586.409  Approval or other facilitation of other persons’ investment in the territory of the Republic of Serbia.

(a) The prohibition contained in §586.204 against approval or other facilitation by U.S. persons of other persons’ investment in the territory of the Republic of Serbia bars any action by a U.S. person that assists or supports other persons’ activity that would constitute prohibited new investment under that section if engaged in by a U.S. person. Such approval or other facilitation with respect to persons whose property or interests in property are blocked pursuant to §586.201 also constitutes a violation of that section. See the definition of the term new investment in §586.312.

(b) Examples: (1) A U.S. person is prohibited from brokering, financing, guaranteeing, or approving the purchase by any other person, including a foreign affiliate, of shares, including an equity interest, in a publicly or privately held undertaking, entity or project located in the territory of the Republic of Serbia, except as provided in §586.514.

(2) The sale to a non-U.S. person of a U.S. person’s equity or income interest in an entity in the territory of the Republic of Serbia constitutes facilitation of that other person’s investment in Serbia, and would otherwise be prohibited but for the authorization contained in §586.514.
(3) A U.S. national or permanent resident alien employed by a foreign person may not participate in any decision-making role in an activity by the foreign person that includes investment in the territory of the Republic of Serbia.

§ 586.410 Transfer of funds to the benefit of certain persons in the territory of the FRY (S&M).

Section 586.201 does not prohibit U.S. financial institutions that are not blocked, including their foreign branches, from transferring funds to accounts in financial institutions for the benefit of individuals, non-governmental organizations and other persons located in the territory of the FRY (S&M) whose property and interests in property are not blocked pursuant to that section, provided that such transactions do not result in the transfer of funds to or for the benefit of persons whose property or interests in property are blocked pursuant to § 586.201.

Subpart E—Licenses, Authorizations, and Statements of Licensing Policy

§ 586.501 General and specific licensing procedures.

For provisions relating to licensing procedures, see part 501, subpart E, of this chapter. Licensing actions pursuant to part 501 of this chapter with respect to the prohibitions of this part are considered actions pursuant to this part.


§ 586.502 Effect of license or authorization.

(a) No license or other authorization contained in this part, or otherwise issued by or under the direction of the Director of the Office of Foreign Assets Control pursuant to this part, authorizes or validates any transaction effected prior to the issuance of the license, unless specifically so provided in such license or authorization.

(b) No regulation, ruling, instruction, or license authorizes any transaction prohibited under this part unless the regulation, ruling, instruction, or license is issued by the Office of Foreign Assets Control and specifically refers to this part. No regulation, ruling, instruction, or license referring to this part authorizes any transaction prohibited by any provision of this chapter unless the regulation, ruling, instruction or license specifically refers to such provision.

(c) Any regulation, ruling, instruction, or license authorizing any transaction otherwise prohibited under this part has the effect of removing a prohibition or prohibitions contained in this part from the transaction, but only to the extent specifically stated by its terms. Unless the regulation, ruling, instruction, or license otherwise specifies, such an authorization does not create any right, duty, obligation, claim, or interest in, or with respect to, any property which would not otherwise exist under ordinary principles of law.

NOTE TO PARAGRAPH (c) OF § 586.502: The general license in § 586.516 authorizing transactions with respect to property in which the Government of the Republic of Montenegro has an interest removes such property and interests in property from the phrase “property and interests in property blocked pursuant to § 586.201” for purposes of this part.

(d) Any general license or statement of licensing policy contained in this part authorizing transactions with respect to the Government of the FRY (S&M) shall, unless otherwise stated, also authorize analogous transactions with respect to the Governments or territories of the Republic of Serbia and the Republic of Montenegro.

§ 586.503 Exclusion from licenses and authorizations.

The Director of the Office of Foreign Assets Control reserves the right to exclude any person, property, or transaction from the operation of any license, or from the privileges therein conferred, or to restrict the applicability thereof with respect to particular persons, property, transactions, or classes thereof. Such action is binding upon all persons receiving actual or constructive notice of such exclusion or restriction.
§ 586.504 Payments and transfers to blocked accounts in U.S. financial institutions.

Any payment of funds or transfer of credit in which any person whose property and interests in property are blocked pursuant to § 586.201 has any interest, that comes within the possession or control of a U.S. financial institution, must be blocked in an account on the books of that financial institution. A transfer of funds or credit by a U.S. financial institution between blocked accounts in its branches or offices is authorized, provided that no transfer is made from an account within the United States to an account held outside the United States, and further provided that a transfer from a blocked account may only be made to another blocked account held in the same name.

NOTE TO § 586.504: Please refer to § 501.603 of this chapter for mandatory reporting requirements regarding financial transfers. See also § 586.203 concerning the obligation to hold blocked funds in interest-bearing accounts.

§ 586.505 Payment of obligations to U.S. persons authorized.

(a) The transfer of funds after the effective date by, through, or to any U.S. financial institution or other U.S. person not blocked pursuant to this chapter solely for the purpose of payment of obligations to U.S. persons of persons whose property or interests in property are blocked pursuant to § 586.201 is authorized, provided that the obligation arose prior to the effective date or is otherwise authorized pursuant to statute or the provisions of this part, and the payment requires no debit to a blocked account. Property is not blocked by virtue of being transferred or received pursuant to this section.

(b) A person receiving payment under this section may distribute all or part of that payment to any person, provided that any such payment to a person whose property or interests in property are blocked pursuant to § 586.201 must be to a blocked account in a U.S. financial institution.

NOTE TO § 586.505: Please refer to § 501.603 of this chapter for mandatory reporting requirements regarding financial transfers. See also § 586.203 concerning the obligation to hold blocked funds in interest-bearing accounts.

§ 586.506 Investment and reinvestment of certain funds.

U.S. financial institutions are authorized to invest and reinvest assets blocked pursuant to § 586.201, subject to the following conditions:

(a) The assets representing such investments and reinvestments are credited to a blocked account or subaccount which is held in the same name at the same U.S. financial institution, or within the possession or control of a U.S. person, but in no case may funds be transferred outside the United States for this purpose; and

(b) The proceeds of such investments and reinvestments are not credited to a blocked account or subaccount under any name or designation which differs from the name or designation of the specific blocked account or subaccount in which such funds or securities were held; and

(c) No immediate financial or economic benefit accrues (e.g., through pledging or other use) to any person whose property or interests in property are blocked pursuant to § 586.201.

§ 586.507 Completion of certain transactions related to bankers acceptances authorized.

Persons other than those whose property or interests in property are blocked pursuant to § 586.201 are authorized to buy, sell, and satisfy obligations with respect to bankers acceptances, and to pay under deferred payment undertakings, involving a property interest blocked pursuant to § 586.201, as long as the bankers acceptances were created or the deferred payment undertakings were incurred prior to the effective date.

§ 586.508 Entries in certain accounts for normal service charges authorized.

(a) U.S. financial institutions are hereby authorized to debit any blocked account with such U.S. financial institution in payment or reimbursement for normal service charges owed to such U.S. financial institution by the owner of such blocked account.

(b) As used in this section, the term normal service charge shall include
§ 586.509 Provision of certain legal services authorized.

(a) The provision to or on behalf of a person whose property or interests in property are blocked pursuant to §586.201 of the legal services set forth in paragraph (b) of this section is authorized, provided that all receipt of payment therefor must be specifically licensed.

(b) Specific licenses may be issued, on a case-by-case basis, authorizing receipt, from unblocked sources, of payment of professional fees and reimbursement of incurred expenses for the following legal services by U.S. persons to a person whose property or interests in property are blocked pursuant to §586.201:

1. Provision of legal advice and counseling on the requirements of and compliance with the laws of any jurisdiction within the United States, provided that such advice and counseling is not provided to facilitate transactions that would violate any of the prohibitions contained in this part;

2. Representation of a person whose property or interests in property are blocked pursuant to §586.201 when named as a defendant in or otherwise made a party to domestic U.S. legal, arbitration, or administrative proceedings;

3. Initiation of domestic U.S. legal, arbitration, or administrative proceedings in defense of property interests subject to U.S. jurisdiction of a person whose property or interests in property are blocked pursuant to §586.201;

4. Representation of a person whose property and interests in property are blocked pursuant to §586.201 before any federal or state agency with respect to the imposition, administration, or enforcement of U.S. sanctions against such person; and

5. Provision of legal services in any other context in which prevailing U.S. law requires access to legal counsel at public expense.

(c) The provision of any other legal services to a person whose property or interests in property are blocked pursuant to §586.201, not otherwise authorized in or exempted by this part, requires the issuance of a specific license.

(d) Entry into a settlement agreement affecting property or interests in property of a person whose property or interests in property are blocked pursuant to §586.201 or the enforcement of any lien, judgment, arbitral award, decree, or other order through execution, garnishment or other judicial process purporting to transfer or otherwise alter or affect a property interest of such person is prohibited unless specifically licensed in accordance with §586.202(e).

§ 586.510 Transactions related to telecommunications authorized.

All transactions with respect to the receipt and transmission of telecommunications involving the FRY (S&M) are authorized. This section does not authorize the provision to any person whose property or interests in property are blocked pursuant to §586.201 of telecommunications equipment or technology, nor the sale or leasing of telecommunications transmission facilities (such as satellite links or dedicated lines).

§ 586.511 Transactions related to mail authorized.

All transactions by U.S. persons, including payment and transfers to common carriers, incident to the receipt or transmission of mail between the United States and the FRY (S&M) are authorized, provided that mail is limited to personal communications not involving a transfer of anything of value.

§ 586.512 Certain transactions related to patents, trademarks and copyrights authorized.

(a) All of the following transactions in connection with patent, trademark,
Copyright or other intellectual property protection in the United States or the FRY (S&M) are authorized:

(1) The filing and prosecution of any application to obtain a patent, trademark, copyright or other form of intellectual property protection;

(2) The receipt of a patent, trademark, copyright or other form of intellectual property protection;

(3) The renewal or maintenance of a patent, trademark, copyright or other form of intellectual property protection; and

(4) The filing and prosecution of opposition or infringement proceedings with respect to a patent, trademark, copyright or other form of intellectual property protection, or the entrance of a defense to any such proceedings.

(b) This section authorizes the payment of fees currently due to the United States Government, or of the reasonable and customary fees and charges currently due to attorneys or representatives within the United States, in connection with the transactions authorized in paragraph (a) of this section. Payment effected pursuant to the terms of this paragraph (b) may not be made from a blocked account.

(c) This section authorizes the payment of fees currently due to the Government of the FRY (S&M), or of the reasonable and customary fees and charges currently due to attorneys or representatives within the territory of the FRY (S&M), in connection with the transactions authorized in paragraph (a) of this section.

(d) Nothing in this section affects obligations under any other provision of law.

§ 586.513 Certain transactions with respect to trade with blocked persons authorized.

(a) U.S. persons may trade in goods in which a person whose property and interests in property are blocked pursuant to §586.201 has an interest, provided that the payment for the goods is made in bank notes and coins of any currency or by barter. Any open account credit terms may not exceed 30 days. Transactions relating to services incident to this trade in goods, including payment for shipping and insurance to non-blocked entities, are authorized.

(b) Example: A U.S. company located outside of Serbia may ship goods to Serbia in exchange for bank notes and coins or under a barter arrangement in exchange for Serbian goods, exchanged directly with the U.S. company or assigned to a third company in satisfaction of an obligation owed that party by the U.S. company. Except as provided in §586.408 or otherwise specifically authorized, however, the U.S. company may not establish or use an account at a financial institution within the territory of the Republic of Serbia in connection with any trade transaction described in this section.

§ 586.514 Divestiture of U.S. person's equity investment in the territory of the Republic of Serbia.

Notwithstanding the prohibition in §586.204 against the facilitation by a U.S. person of other persons' new investment in the territory of the Republic of Serbia, all transactions related to the divestiture or transfer to a non-U.S. person, other than a person whose property or property interests are blocked pursuant to §586.201 or this chapter, of a U.S. person's investment in the Republic of Serbia are authorized.

§ 586.515 Payments for services rendered by the Government of the FRY (S&M) to aircraft authorized; aircraft and maritime safety.

(a) Payments to the Government of the FRY (S&M) of charges for services rendered by that Government in connection with the overflight of the territory of the FRY (S&M) or emergency landing in the FRY (S&M) by aircraft are authorized.

(b) Specific licenses may be issued on a case-by-case basis for the exportation and reexportation of goods, services, and technology to insure the safety of civil aviation and safe operation of U.S.-origin commercial passenger aircraft, and to ensure the safety of ocean-going maritime traffic in international waters.
§ 586.516 Transactions with respect to property in which the Government of the Republic of Montenegro has an interest authorized.

All transactions by U.S. persons involving property or interests in property in which the Government of the Republic of Montenegro has an interest are authorized, except with respect to property blocked pursuant to the Federal Republic of Yugoslavia (Serbia and Montenegro) and Bosnian Serb-Controlled Areas of the Republic of Bosnia and Herzegovina Sanctions Regulations, 31 CFR part 585 (see §585.525). Property and interests in property of the Government of Montenegro shall not be considered “property and interests in property blocked pursuant to §586.201” for purposes of this part. This authorization does not apply, however, to property in which the Government of Montenegro has an interest but in which there also exists an interest of another person whose property or interests in property are blocked pursuant to §586.201 or any other part of this chapter.

§ 586.517 Unblocking of certain debt.

(a) Subject to the limitations in paragraph (c) below, debt obligations in the possession or control of U.S. persons for which the National Bank of Yugoslavia has joint or several liability and that were rescheduled pursuant to the “New Financing Agreement” of September 20, 1988, are unblocked.

(b) Specific licenses may be issued on a case-by-case basis to permit the unblocking of debt obligations not otherwise authorized under either paragraph (a) of this section or 31 CFR 585.509.

(c) Nothing in this section authorizes transactions with any person designated in or pursuant to 31 CFR 587.201(a).

[66 FR 50509, Oct. 3, 2001]

§ 586.518 Authorization of release of certain blocked transfers by U.S. financial institutions.

(a) Subject to the limitation set forth in this paragraph, U.S. financial institutions are authorized to unblock and return to the remitting party funds blocked pursuant to this part that came into their possession or control through wire transfer instructions or check remittances, provided those funds were not destined for an account established on the books of a U.S. financial institution by a person whose property or interests in property were blocked immediately prior to January 19, 2001. Funds otherwise eligible for release under this general license, however, may not be unblocked and returned if they were remitted by or destined for a person designated in or pursuant to 31 CFR 587.201(a).

(b) Funds blocked pursuant to this part that were destined through wire transfer instructions or check remittances for an account established on the books of a U.S. financial institution by a person whose property or interests in property were blocked immediately prior to January 19, 2001, remain blocked. If such funds are not already held in the account for which they were destined, they must be transferred to such an account by October 15, 2001, and maintained in blocked status pursuant to §586.201(c).

[66 FR 50509, Oct. 3, 2001]

§ 586.519 Release of certain funds held at overseas branches of U.S. financial institutions.

Specific licenses may be issued on a case-by-case basis to permit the overseas branches of U.S. financial institutions to unblock deposit accounts that were blocked pursuant to this part prior to January 19, 2001, and that were established outside of the United States in situations in which such accounts are not owned or controlled, directly or indirectly, by any person designated in or pursuant to 31 CFR §587.201(a).

[66 FR 50510, Oct. 3, 2001]

§ 586.520 Unblocking of previously blocked property.

(a)(1) Except for such property and interests in property set forth in paragraph (a)(2) of this section, as of February 25, 2003, all transactions that otherwise would be prohibited by this part involving property or interests in property blocked pursuant to Executive Order 13058 of June 9, 1998, or Executive Order 13121 of April 30, 1999, that...
§ 586.601

has remained blocked pursuant to Executive Order 13192 of January 17, 2001, are authorized.

(2) The authorization in paragraph (a)(1) does not apply to property or interests in property blocked pursuant to this part of those persons presently subject to sanctions under either the Federal Republic of Yugoslavia (Serbia & Montenegro) Milosevic Regulations set forth at 31 CFR part 587 or the Western Balkans Transactions Regulations set forth at 31 CFR part 588, or who are otherwise subject to sanctions under this chapter.

(b)(1) As of December 27, 2002, any person or government is authorized to seek an attachment, judgment, decree, lien, or other judicial or legal process against or with respect to any property or interests in property subject to the unblocking authorization set forth in paragraph (a) of this section. This section does not authorize any execution against, final settlement with respect to, garnishment of, or other action effecting the transfer of any property or interests in property subject to the unblocking authorization set forth in paragraph (a) of this section prior to February 25, 2003.

NOTE TO PARAGRAPH (b) OF § 586.520: Any person or government seeking judicial or other legal process under the authority of this paragraph must comply with the reporting requirements set forth under 31 CFR 501.605 pertaining to litigation, arbitration and dispute resolution proceedings.

[67 FR 78974, Dec. 27, 2002]

Subpart F—Reports

§ 586.601 Records and reports.

For provisions relating to records and reports, see subpart C of part 501 of this chapter.

Subpart G—Penalties

§ 586.701 Penalties.

(a) Attention is directed to section 206 of the International Emergency Economic Powers Act (the “Act”) (50 U.S.C. 1705), which is applicable to violations of the provisions of any license, ruling, regulation, order, direction, or instruction issued by or pursuant to the direction or authorization of the Secretary of the Treasury pursuant to this part or otherwise under the Act.

(1) A civil penalty not to exceed the amount set forth in Section 206 of the Act may be imposed on any person who violates, attempts to violate, conspires to violate, or causes a violation of any license, order, regulation, or prohibition issued under the Act.

NOTE TO PARAGRAPH (a)(1) OF § 586.701: As of June 10, 2008, the Act provides for a maximum civil penalty not to exceed the greater of $250,000 or an amount that is twice the amount of the transaction that is the basis of the violation with respect to which the penalty is imposed.

(2) A person who willfully commits, willfully attempts to commit, or willfully conspires to commit, or aids or abets in the commission of a violation of any license, order, regulation, or prohibition shall, upon conviction, be fined not more than $1,000,000, or if a natural person, may be imprisoned for not more than 20 years, or both.

(b) Adjustments to penalty amounts. (1) The civil penalties provided in the Act are subject to adjustment pursuant to the Federal Civil Penalties Inflation Adjustment Act of 1990 (Pub. L. 101–410, as amended, 28 U.S.C. 2461 note).

(2) The criminal penalties provided in the Act are subject to adjustment pursuant to 18 U.S.C. 3571.

(c) Attention is also directed to 18 U.S.C. 1001, which provides that whoever, in any matter within the jurisdiction of the executive, legislative, or judicial branch of the Government of the United States, knowingly and willfully falsifies, conceals, or covers up by any trick, scheme, or device a material fact, or makes any materially false, fictitious, or fraudulent statement or representation, or makes or uses any false writing or document knowing the same to contain any materially false, fictitious, or fraudulent statement or entry shall be fined under title 18, United States Code, or imprisoned not more than five years, or both.

(d) Violations of this part may also be subject to relevant provisions of other applicable laws.

Office of Foreign Assets Control, Treasury § 586.703

§ 586.702 Prepenalty notice.

(a) When required. If the Director of the Office of Foreign Assets Control has reasonable cause to believe that there has occurred a violation of any provision of this part or a violation of the provisions of any license, ruling, regulation, order, direction, or instruction issued by or pursuant to the direction or authorization of the Secretary of the Treasury pursuant to this part or otherwise under the International Emergency Economic Powers Act, and the Director determines that further proceedings are warranted, the Director shall notify the alleged violator of the agency's intent to impose a monetary penalty by issuing a prepenalty notice. The prepenalty notice shall be in writing. The prepenalty notice may be issued whether or not another agency has taken any action with respect to the matter.

(b) Contents of notice—(1) Facts of violation. The prepenalty notice shall describe the violation, specify the laws and regulations allegedly violated, and state the amount of the proposed monetary penalty.

(2) Right to respond. The prepenalty notice also shall inform the respondent of respondent's right to make a written presentation within the applicable prepenalty notice. The prepenalty notice shall be in writing. The prepenalty notice may be issued whether or not another agency has taken any action with respect to the matter.

(c) Informal settlement prior to issuance of prepenalty notice. At any time prior to the issuance of a prepenalty notice, an alleged violator may request in writing that, for a period not to exceed sixty (60) days, the agency withhold issuance of the prepenalty notice for the exclusive purpose of effecting settlement of the agency's potential civil monetary penalty claims. In the event the Director grants the request, under terms and conditions within his discretion, the Office of Foreign Assets Control will agree to withhold issuance of the prepenalty notice for a period not to exceed 60 days and will enter into settlement negotiations of the potential civil monetary penalty claim.

[66 FR 50510, Oct. 3, 2001]

§ 586.703 Response to prepenalty notice; informal settlement.

(a) Deadline for response. The respondent may submit a response to the prepenalty notice within the applicable 30-day period set forth in this paragraph. The Director may grant, at his discretion, an extension of time in which to submit a response to the prepenalty notice. The failure to submit a response within the applicable time period set forth in this paragraph shall be deemed to be a waiver of the right to respond.

(1) Computation of time for response. A response to the prepenalty notice must be postmarked or date-stamped by the U.S. Postal Service (or foreign postal service, if mailed abroad) or courier service provider (if transmitted to OFAC by courier) on or before the 30th day after the postmark date on the envelope in which the prepenalty notice was mailed. If the respondent refused delivery or otherwise avoided receipt of the prepenalty notice, a response must be postmarked or date-stamped on or before the 30th day after the date on the stamped postal receipt maintained at the Office of Foreign Assets Control. If the prepenalty notice was personally delivered to the respondent by a non-U.S. Postal Service agent authorized by the Director, a response must be postmarked or date-stamped on or before the 30th day after the date of delivery.

(2) Extensions of time for response. If a due date falls on a federal holiday or weekend, that due date is extended to include the following business day. Any other extensions of time will be granted, at the Director's discretion, only upon the respondent's specific request to the Office of Foreign Assets Control.

(b) Form and method of response. The response must be submitted in writing and may be handwritten or typed. The response need not be in any particular form. A copy of the written response may be sent by facsimile, but the original must also be sent to the Office of Foreign Assets Control Civil Penalties Division by mail or courier and must be postmarked or date-stamped, in accordance with paragraph (a) of this section.
(c) Contents of response. A written response must contain information sufficient to indicate that it is in response to the prepenalty notice.

(1) A written response must include the respondent’s full name, address, telephone number, and facsimile number, if available, or those of the representative of the respondent.

(2) A written response should either admit or deny each specific violation alleged in the prepenalty notice and also state if the respondent has no knowledge of a particular violation. If the written response fails to address any specific violation alleged in the prepenalty notice, that alleged violation shall be deemed to be admitted.

(3) A written response should include any information in defense, evidence in support of an asserted defense, or other factors that the respondent requests the Office of Foreign Assets Control to consider. Any defense or explanation previously made to the Office of Foreign Assets Control or any other agency must be repeated in the written response. Any defense not raised in the written response will be considered waived. The written response should also set forth the reasons why the respondent believes the penalty should not be imposed or why, if imposed, it should be in a lesser amount than proposed.

(d) Default. If the respondent elects not to submit a written response within the time limit set forth in paragraph (a) of this section, the Office of Foreign Assets Control will conclude that the respondent has decided not to respond to the prepenalty notice. The agency generally will then issue a written penalty notice imposing the penalty proposed in the prepenalty notice.

(e) Informal settlement. In addition to or as an alternative to a written response to a prepenalty notice, the respondent or respondent’s representative may contact the Office of Foreign Assets Control as advised in the prepenalty notice to propose the settlement of allegations contained in the prepenalty notice and related matters. However, the requirements set forth in paragraph (f) of this section as to oral communication by the representative must first be fulfilled. In the event of settlement at the prepenalty stage, the claim proposed in the prepenalty notice will be withdrawn, the respondent will not be required to take a written position on allegations contained in the prepenalty notice, and the Office of Foreign Assets Control will make no final determination as to whether a violation occurred. The amount accepted in settlement of allegations in a prepenalty notice may vary from the civil penalty that might finally be imposed in the event of a formal determination of violation. In the event no settlement is reached, the time limit specified in paragraph (a) of this section for written response to the prepenalty notice will remain in effect unless additional time is granted by the Office of Foreign Assets Control.

(f) Representation. A representative of the respondent may act on behalf of the respondent, but any oral communication with the Office of Foreign Assets Control prior to a written submission regarding the specific allegations contained in the prepenalty notice must be preceded by a written letter of representation, unless the prepenalty notice was served upon the respondent in care of the representative.

[66 FR 50510, Oct. 3, 2001]
the assessed penalty must be made within 30 days of the date of mailing of the penalty notice by the Office of Foreign Assets Control.

(3) The penalty notice shall inform the respondent of the requirement to furnish the respondent’s taxpayer identification number pursuant to 31 U.S.C. 7701 and that such number will be used for purposes of collecting and reporting on any delinquent penalty amount.

(4) The issuance of the penalty notice finding a violation and imposing a monetary penalty shall constitute final agency action. The respondent has the right to seek judicial review of that final agency action in federal district court.

[66 FR 50511, Oct. 3, 2001]

§ 586.705 Administrative collection; referral to United States Department of Justice.

In the event that the respondent does not pay the penalty imposed pursuant to this part or make payment arrangements acceptable to the Director of the Office of Foreign Assets Control within 30 days of the date of mailing of the penalty notice, the matter may be referred for administrative collection measures by the Department of the Treasury or to the United States Department of Justice for appropriate action to recover the penalty in a civil suit in federal district court.

[66 FR 50511, Oct. 3, 2001]

Subpart H—Procedures

§ 586.801 Procedures.

For license application procedures and procedures relating to amendments, modifications, or revocations of licenses; administrative decisions; rulemaking; and requests for documents pursuant to the Freedom of Information and Privacy Acts (5 U.S.C. 552 and 552a), see part 501, subpart E, of this chapter.

[68 FR 53659, Sept. 11, 2003]

§ 586.802 Delegation by the Secretary of the Treasury.

Any action which the Secretary of the Treasury is authorized to take pursuant to Executive Order 13088 (63 FR 32109, June 12, 1998), and any further Executive orders relating to the national emergency declared in Executive Order 13088, may be taken by the Director of the Office of Foreign Assets Control, or by any other person to whom the Secretary of the Treasury has delegated authority so to act.

Subpart I—Paperwork Reduction Act

§ 586.901 Paperwork Reduction Act notice.

For approval by OMB under the Paperwork Reduction Act of 1995 (44 U.S.C. 3507) of information collections relating to recordkeeping and reporting requirements, to licensing procedures (including those pursuant to statements of licensing policy), and to other procedures, see § 501.901 of this chapter. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid control number assigned by OMB.

PART 587—FEDERAL REPUBLIC OF YUGOSLAVIA (SERBIA AND MONTENEGRO) MILOSEVIC SANCTIONS REGULATIONS

Subpart A—Relation of This Part to Other Laws and Regulations

Sec.
587.101 Relation of this part to other laws and regulations.

Subpart B—Prohibitions

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587.206 Exempt transactions.

Subpart C—General Definitions

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587.302 Effective date.
587.303 Entity.
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587.306 Licenses; general and specific.
§ 587.101 Relation of this part to other laws and regulations.

This part is separate from, and independent of, the other parts of this chapter, with the exception of part 501 of this chapter, the recordkeeping and reporting requirements and license application and other procedures of which apply to this part. Actions taken pursuant to part 501 of this chapter with respect to the prohibitions contained in this part are considered actions taken pursuant to this part. Differing foreign policy and national security circumstances may result in differing interpretations of similar language among the parts of this chapter. No license or authorization contained in or issued pursuant to those other parts authorizes any transaction prohibited by this part. No license or authorization contained in or issued pursuant to any other provision of law or regulation authorizes any transaction prohibited by this part. No license contained in or issued pursuant to this part relieves the involved parties from complying with any other applicable laws or regulations.

Subpart B—Prohibitions

§ 587.201 Prohibited transactions involving blocked property.

(a) Except as authorized by regulations, orders, directives, rulings, instructions, licenses or otherwise, and notwithstanding any contracts entered into or any license or permit granted prior to the effective date, property or interests in property of any person designated below that are in the United States, that hereafter come within the United States, or that are or hereafter come within the possession or control of U.S. persons, including their overseas branches, are blocked and may not...
be transferred, paid, exported, withdrawn or otherwise dealt in:

(1) Any person listed in the Annex to Executive Order 13192 of January 17, 2001 (66 FR 7379, January 23, 2001); and

(2) Any person determined by the Secretary of the Treasury, in consultation with the Secretary of State:

(i) To be under open indictment by the International Criminal Tribunal for the former Yugoslavia, subject to applicable laws and procedures;

(ii) To have sought, or to be seeking, through repressive measures or otherwise, to maintain or reestablish illegitimate control over the political processes or institutions or the economic resources or enterprises of the Federal Republic of Yugoslavia, the Republic of Serbia, the Republic of Montenegro or the territory of Kosovo;

(iii) To have provided material support or resources to any person designated in the Annex to Executive Order 13192 or any person otherwise designated by the Secretary of the Treasury pursuant to this section; or

(iv) To be owned or controlled by or acting or purporting to act directly or indirectly for or on behalf of any person designated in the Annex to Executive Order 13192 or any person otherwise designated by the Secretary of the Treasury pursuant to this section.

NOTE TO PARAGRAPH (a) OF § 587.201: Persons designated pursuant to § 587.201(a)(1) or (2) are listed with the acronym [FRYM] in appendix A to 31 CFR chapter V. Section 501.807 of this chapter V sets forth the procedures to be followed by persons seeking administrative reconsideration of their designation or who wish to assert that the circumstances resulting in designation no longer apply. Similarly, when a transaction results in the blocking of funds at a financial institution pursuant to this section and a party to the transaction believes the funds to have been blocked due to mistaken identity, that party may seek to have such funds unblocked pursuant to the administrative procedures set forth in § 501.806 of this chapter.

§ 587.202 Effect of transfers violating the provisions of this part.

(a) Any transfer after the effective date that is in violation of any provision of this part or of any regulation, order, directive, ruling, instruction, or license issued pursuant to this part, and that involves any property or interest in property blocked pursuant to § 587.201(a), is null and void and shall not be the basis for the assertion or recognition of any interest in or right, remedy, power, or privilege with respect to such property or property interests.

(b) No transfer before the effective date shall be the basis for the assertion or recognition of any right, remedy, power, or privilege with respect to, or any interest in, any property or interest in property blocked pursuant to § 587.201(a), unless the person with whom such property is held or maintained, prior to that date, had written notice of the transfer or by any written evidence had recognized such transfer.

(c) Unless otherwise provided, an appropriate license or other authorization issued by or pursuant to the direction or authorization of the Director of
§ 587.203 Holding of funds in interest-bearing accounts; investment and reinvestment.

(a) Except as provided in paragraph (c) or (d) of this section, or as otherwise directed by the Office of Foreign Assets Control, any U.S. person holding funds, such as currency, bank deposits, or liquidated financial obligations subject to § 587.201(a) shall hold or place such funds in a blocked interest-bearing account located in the United States.

(b)(1) For purposes of this section, the term blocked interest-bearing account means a blocked account:

(1) In a federally-insured U.S. bank, thrift institution, or credit union, provided the funds are earning interest at rates that are commercially reasonable; or

(2) With a broker or dealer registered with the Securities and Exchange Commission under the Securities Exchange Act of 1934, provided the funds are invested in a money market fund or in U.S. Treasury bills.

(2) For purposes of this section, a rate is commercially reasonable if it is the rate currently offered to other depositors on deposits or instruments of comparable size and maturity.

(3) Funds held or placed in a blocked account pursuant to this paragraph (b) may not be invested in instruments the maturity of which exceeds 180 days. If interest is credited to a separate blocked account or subaccount, the name of the account party on each account must be the same.
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§ 587.206 Expenses of maintaining blocked property; liquidation of blocked account.

(a) Except as otherwise authorized, and notwithstanding the existence of any rights or obligations conferred or imposed by any international agreement or contract entered into or any license or permit granted before 12:01 a.m., eastern standard time, January 19, 2001, all expenses incident to the maintenance of physical property blocked pursuant to § 587.201(a) shall be the responsibility of the owners or operators of such property, which expenses shall not be met from blocked funds.

(b) Property blocked pursuant to § 587.201(a) may, in the discretion of the Director, Office of Foreign Assets Control, be sold or liquidated and the net proceeds placed in a blocked interest-bearing account in the name of the owner of the property.

§ 587.206 Exempt transactions.

(a) Personal communications. The prohibitions contained in this part do not apply to any postal, telegraphic, telephonic, or other personal communication that does not involve the transfer of anything of value.

(b) Humanitarian donations. The prohibitions contained in this part do not apply to donations by U.S. persons of articles, such as food, clothing, and medicine, intended to be used to relieve human suffering.

(c) Information or informational materials. (1) The importation from any country and the exportation to any country of information or informational materials, as defined in § 587.304, whether commercial or otherwise, regardless of format or medium of transmission, are exempt from the prohibitions of this part.

(2) This section does not exempt from regulation or authorize transactions related to information or informational materials not fully created and in existence at the date of the transactions, or to the substantive or artistic alteration or enhancement of informational materials, or to the provision of marketing and business consulting services. Such prohibited transactions


include, but are not limited to, payment of advances for information or informational materials not yet created and completed (with the exception of prepaid subscriptions for widely-circulated magazines and other periodical publications; provision of services to market, produce or co-produce, create, or assist in the creation of information or informational materials; and, with respect to information or informational materials imported from persons designated in or pursuant to §587.201(a), payment of royalties with respect to income received for enhancements or alterations made by U.S. persons to such information or informational materials.

(3) This section does not exempt or authorize transactions incident to the exportation of software subject to the Export Administration Regulations, 15 CFR parts 730 through 774, or to the exportation of goods, technology or software, or to the provision, sale, or leasing of capacity on telecommunications transmission facilities (such as satellite or terrestrial network connectivity) for use in the transmission of any data. The exportation of such items or services and the provision, sale, or leasing of such capacity or facilities to a person designated in or pursuant to §587.201(a) is prohibited.

(d) Travel. The prohibitions contained in this part do not apply to transactions ordinarily incident to travel to or from any country, including exportation or importation of accompanied baggage for personal use, maintenance within any country including payment of living expenses and acquisition of goods or services for personal use, and arrangement or facilitation of such travel including nonscheduled air, sea, or land voyages.

Subpart C—General Definitions

§587.301 Blocked account; blocked property.

The terms blocked account and blocked property shall mean any account or property subject to the prohibitions in §587.201 held in the name of a person designated in or pursuant to §587.201(a), or in which a person designated in or pursuant to §587.201(a) has an interest, and with respect to which payments, transfers, exportations, withdrawals, or other dealings may not be made or effected except pursuant to an authorization or license from the Office of Foreign Assets Control expressly authorizing such action.

§587.302 Effective date.

The term effective date refers to the effective date of the applicable prohibitions and directives contained in this part, which is 12:01 a.m. eastern standard time, January 19, 2001, or, in the case of any person designated pursuant to §587.201(a)(2), the earlier of the date on which a person receives actual or constructive notice of such designation.

§587.303 Entity.

The term entity means a partnership, association, trust, joint venture, corporation, group, subgroup, or other organization.

§587.304 Information or informational materials.

(a) For purposes of this part, the term information or informational materials includes, but is not limited to publications, films, posters, phonograph records, photographs, microfilms, microfiche, tapes, compact disks, CD ROMs, artworks, and news wire feeds.

NOTE TO PARAGRAPH (a) OF §587.304: To be considered information or informational materials, artworks must be classified under chapter heading 9701, 9702, or 9703 of the Harmonized Tariff Schedule of the United States.

(b) The term information or informational materials with respect to United States exports does not include items:

(1) That were, as of April 30, 1994, or that thereafter become, controlled for export pursuant to section 5 of the Export Administration Act of 1979, 50 U.S.C. App. 2401–2420 (1979) (the "EAA"), or section 6 of the EAA to the extent that such controls promote the nonproliferation or antiterrorism policies of the United States; or

(2) With respect to which acts are prohibited by 18 U.S.C. chapter 37.

§587.305 Interest.

Except as otherwise provided in this part, the term interest when used with
respect to property (e.g., “an interest in property”) means an interest of any nature whatsoever, direct or indirect.

§ 587.306 Licenses; general and specific.

(a) Except as otherwise specified, the term license means any license or authorization contained in or issued pursuant to this part.

(b) The term general license means any license or authorization the terms of which are set forth in subpart E of this part.

(c) The term specific license means any license or authorization not set forth in subpart E of this part but issued pursuant to this part.

NOTE TO § 587.306: See § 501.801 of this chapter on licensing procedures.

§ 587.307 Person.

The term person means an individual or entity.

§ 587.308 Property; property interest.

The terms property and property interest include, but are not limited to, money, checks, drafts, bullion, bank deposits, savings accounts, debts, indebtedness, obligations, notes, guarantees, debentures, stocks, bonds, coupons, any other financial instruments, bankers acceptances, mortgages, pledges, liens or other rights in the nature of security, warehouse receipts, bills of lading, trust receipts, bills of sale, any other evidences of title, ownership or indebtedness, letters of credit and any documents relating to any rights or obligations thereunder, powers of attorney, goods, wares, merchandise, chattels, stocks on hand, ships, goods on ships, real estate mortgages, deeds of trust, vendors’ sales agreements, land contracts, leaseholds, ground rents, real estate and any other interest therein, options, negotiable instruments, trade acceptances, royalties, book accounts, accounts payable, judgments, patents, trademarks or copyrights, insurance policies, safe deposit boxes and their contents, annuities, pooling agreements, services of any nature whatsoever, contracts of any nature whatsoever, and any other property, real, personal, or mixed, tangible or intangible, or interest or interests therein, present, future or contingent.

§ 587.309 Transfer.

The term transfer means any actual or purported act or transaction, whether or not evidenced by writing, and whether or not done or performed within the United States, the purpose, intent, or effect of which is to create, surrender, release, convey, transfer, or alter, directly or indirectly, any right, remedy, power, privilege, or interest with respect to any property and, without limitation upon the foregoing, shall include the making, execution, or delivery of any assignment, power, conveyance, check, declaration, deed, deed of trust, power of attorney, power of appointment, bill of sale, mortgage, receipt, agreement, contract, certificate, gift, sale, affidavit, or statement; the making of any payment; the setting off of any obligation or credit; the appointment of any agent, trustee, or fiduciary; the creation or transfer of any lien; the issuance, docketing, filing, or levy of or under any judgment, decree, attachment, injunction, execution, or other judicial or administrative process or order, or the service of any garnishment; the acquisition of any interest of any nature whatsoever by reason of a judgment or decree of any foreign country; the fulfillment of any condition; the exercise of any power of appointment, power of attorney, or other power; or the acquisition, disposition, transportation, importation, exportation, or withdrawal of any security.

§ 587.310 United States.

The term United States means the United States, its territories and possessions, and all areas under the jurisdiction or authority thereof.

§ 587.311 U.S. financial institution.

The term U.S. financial institution means any U.S. entity (including its foreign branches) that is engaged in the business of accepting deposits, making, granting, transferring, holding, or brokering loans or credits, or purchasing or selling foreign exchange, securities, commodity futures or options, or procuring purchasers and sellers thereof, as principal or agent; including but not limited to, depository
§ 587.312 United States person; U.S. person.

The term United States person or U.S. person means any United States citizen, permanent resident alien, entity organized under the laws of the United States or any jurisdiction within the United States (including foreign branches), or any person in the United States.

Subpart D—Interpretations

§ 587.401 Reference to amended sections.

Except as otherwise specified, reference to any provision in or appendix to this part or chapter or to any regulation, ruling, order, instruction, direction, or license issued pursuant to this part refers to the same as currently amended.

§ 587.402 Effect of amendment.

Unless otherwise specifically provided, any amendment, modification, or revocation of any provision in or appendix to this part or chapter or of any order, regulation, ruling, instruction, or license issued by or under the direction of the Director of the Office of Foreign Assets Control does not affect any act done or omitted, or any civil or criminal suit or proceeding commenced or pending prior to such amendment, modification, or revocation. All penalties, forfeitures, and liabilities under any such order, regulation, ruling, instruction, or license continue and may be enforced as if such amendment, modification, or revocation had not been made.

§ 587.403 Termination and acquisition of an interest in blocked property.

(a) Whenever a transaction licensed or authorized by or pursuant to this part results in the transfer of property (including any property interest) away from a person, such property shall no longer be deemed to be property blocked pursuant to §587.201(a), unless there exists in the property another interest that is blocked pursuant to §587.201(a) or any other part of this chapter, the transfer of which has not been effected pursuant to license or other authorization.

(b) Unless otherwise specifically provided in a license or authorization issued pursuant to this part, if property (including any property interest) is transferred or attempted to be transferred to a person designated in or pursuant to §587.201(a), such property shall be deemed to be property in which that person has an interest and therefore blocked.

§ 587.404 Transactions incidental to a licensed transaction.

Any transaction ordinarily incident to a licensed transaction and necessary to give effect thereto is also authorized, except:

(a) An incidental transaction, not explicitly authorized within the terms of the license, by or with a person whose property or interests in property are blocked pursuant to §587.201(a); or

(b) An incidental transaction, not explicitly authorized within the terms of the license, involving a debit or credit to a blocked account or a transfer of blocked property.

§ 587.405 Provision of services.

(a) Except as provided in §587.206, the prohibitions contained in §587.201 apply to services performed by U.S. persons, wherever located:

(1) On behalf of or for the benefit of a person designated in or pursuant to §587.201(a); or

(2) With respect to property interests of a person designated in or pursuant to §587.201(a).

(b) Example: U.S. persons may not, except as authorized by or pursuant to this part, provide legal, accounting, financial, brokering, freight forwarding, transportation, public relations,
other services to a person designated in or pursuant to §587.201(a). See §§587.507 and 587.508, respectively, on licensing policy with regard to the provision of certain legal or medical services.

§ 587.406 Offshore transactions.

The prohibitions in §587.201 apply to transactions by any U.S. person in a location outside the United States with respect to property that the U.S. person knows, or has reason to know, is held in the name of a person designated in or pursuant to §587.201(a) or in which the U.S. person knows, or has reason to know, a person designated in or pursuant to §587.201(a) has or has had an interest since the effective date.

§ 587.407 Payments from blocked accounts to satisfy obligations prohibited.

Pursuant to §587.201, no debits may be made to a blocked account to pay obligations to U.S. persons or other persons, except as authorized pursuant to this part.

§ 587.408 Credit extended and cards issued by U.S. financial institutions.

Section 587.201 on dealing in property in which a person designated in or pursuant to §587.201(a) has an interest prohibits U.S. financial institutions from performing under any existing credit agreements, including, but not limited to, charge cards, debit cards, or other credit facilities issued by a U.S. financial institution to a person designated in or pursuant to §587.201(a).

§ 587.409 Setoffs prohibited.

A setoff against blocked property (including a blocked account), whether by a U.S. bank or other U.S. person, is a prohibited transfer under §587.201 if effected after the effective date.

Subpart E—Licenses, Authorizations and Statements of Licensing Policy

§ 587.501 General and specific licensing procedures.

For provisions relating to licensing procedures, see part 501, subpart E, of this chapter. Licensing actions taken pursuant to part 501 of this chapter with respect to the prohibitions contained in this part are considered actions taken pursuant to this part.

§ 587.504 Payments and transfers to blocked accounts in U.S. financial institutions.

Any payment of funds or transfer of credit in which a person designated in or pursuant to §587.201(a) has any interest, that comes within the possession or control of a U.S. financial institution, must be blocked in an account on the books of that financial institution. A transfer of funds or credit by a U.S. financial institution between blocked accounts in its branches or offices is authorized, provided that no transfer is made from an account within the United States to an account held outside the United States, and further provided that a transfer from a blocked account may only be made to another blocked account held in the same name.

NOTE TO §587.504: Please refer to §501.603 of this chapter for mandatory reporting requirements regarding financial transfers. See also §587.203 concerning the obligation to hold blocked funds in interest-bearing accounts.

§ 587.505 Entries in certain accounts for normal service charges authorized.

(a) A U.S. financial institution is authorized to debit any blocked account held at that financial institution in payment or reimbursement for normal service charges owed it by the owner of that blocked account.

(b) As used in this section, the term normal service charge shall include charges in payment or reimbursement for interest due; cable, telegraph, internet, or telephone charges; postage costs; custody fees; small adjustment charges to correct bookkeeping errors; and, but not by way of limitation, minimum balance charges, notary and protest fees, and charges for reference books, photocopies, credit reports, transcripts of statements, registered mail, insurance, stationery and supplies, and other similar items.

§ 587.506 Investment and reinvestment of certain funds.

Subject to the requirements of §587.201, U.S. financial institutions are authorized to invest and reinvest assets blocked pursuant to §587.201, subject to the following conditions:

(a) The assets representing such investments and reinvestments are credited to a blocked account or subaccount which is held in the same name at the same U.S. financial institution, or within the possession or control of a U.S. person, but funds shall not be transferred outside the United States for this purpose.

(b) The proceeds of such investments and reinvestments shall not be credited to a blocked account or subaccount under any name or designation that differs from the name or designation of the specific blocked account or subaccount in which such funds or securities were held; and

(c) No immediate financial or economic benefit accrues (e.g., through pledging or other use) to persons designated in or pursuant to §587.201(a).

§ 587.507 Provision of certain legal services authorized.

(a) Provision of the legal services set forth in paragraph (b) of this section to or on behalf of persons designated in or pursuant to §587.201(a) is authorized, provided that all receipts of payment of professional fees and reimbursement of incurred expenses must be specifically licensed.

(b) Specific licenses may be issued on a case-by-case basis authorizing receipt from unblocked sources of payment of professional fees and reimbursement of incurred expenses for the following legal services by U.S. persons to persons specified in paragraph (a) of this section:

1. Provision of legal advice and counseling on the requirements of and compliance with the laws of any jurisdiction within the United States, provided that such advice and counseling is not provided to facilitate transactions in violation of this part;

2. Representation of persons when named as defendants in or otherwise made parties to domestic U.S. legal, arbitration, or administrative proceedings;

3. Initiation and conduct of domestic U.S. legal, arbitration, or administrative proceedings in defense of property interests subject to U.S. jurisdiction;
(4) Representation of persons before any federal or state agency with respect to the imposition, administration, or enforcement of U.S. sanctions against such persons; and

(5) Provision of legal services in any other context in which prevailing U.S. law requires access to legal counsel at public expense.

(c) Provision of any other legal services to persons designated in or pursuant to § 587.201(a), not otherwise authorized in this part, requires the issuance of a specific license.

(d) Entry into a settlement agreement affecting property or interests in property or the enforcement of any lien, judgment, arbitral award, decree, or other order through execution, garnishment, or other judicial process purporting to transfer or otherwise alter or affect property or interests in property blocked pursuant to § 587.201 is prohibited unless specifically licensed in accordance with § 587.202(e).

§ 587.508 Authorization of emergency medical services.

The provision of nonscheduled emergency medical services in the United States to persons designated in or pursuant to § 587.201(a) is authorized, provided that all receipt of payment for such services must be specifically licensed.

Subpart F—Reports

§ 587.601 Records and reports.

For provisions relating to required records and reports, see part 501, subpart C, of this chapter. Recordkeeping and reporting requirements imposed by part 501 of this chapter with respect to the prohibitions contained in this part are considered requirements arising pursuant to this part.

Subpart G—Penalties

§ 587.701 Penalties.

(a) Attention is directed to section 206 of the International Emergency Economic Powers Act (the “Act”) (50 U.S.C. 1705), which is applicable to violations of the provisions of any license, ruling, regulation, order, direction, or instruction issued by or pursuant to the direction or authorization of the Secretary of the Treasury pursuant to this part or otherwise under the Act.

(1) A civil penalty not to exceed the amount set forth in Section 206 of the Act may be imposed on any person who violates, attempts to violate, conspires to violate, or causes a violation of any license, order, regulation, or prohibition issued under the Act.

NOTE TO PARAGRAPH (a)(1) OF § 587.701: As of June 10, 2008, the Act provides for a maximum civil penalty not to exceed the greater of $250,000 or an amount that is twice the amount of the transaction that is the basis of the violation with respect to which the penalty is imposed.

(2) A person who willfully commits, willfully attempts to commit, or willfully conspires to commit, or aids or abets in the commission of a violation of any license, order, regulation, or prohibition shall, upon conviction, be fined not more than $1,000,000, or if a natural person, may be imprisoned for not more than 20 years, or both.

(b) Adjustments to penalty amounts.


(2) The criminal penalties provided in the Act are subject to adjustment pursuant to 18 U.S.C. 3571.

(c) Attention is directed to section 5 of the United Nations Participation Act (22 U.S.C. 287c(b)), which provides that any person who willfully violates or evades or attempts to violate or evade any order, rule, or regulation issued by the President pursuant to the authority granted in that section, upon conviction, shall be fined not more than $10,000 and, if a natural person, may also be imprisoned for not more than 10 years; and the officer, director, or agent of any corporation who knowingly participates in such violation or evasion shall be punished by a like fine, imprisonment, or both, and any property, funds, securities, papers, or other articles or documents, or any vessel, together with her tackles, apparel, furniture, and equipment, or vehicle, or aircraft, concerned in such violation shall be forfeited to the United States. The criminal penalties
provided in the United Nations Participation Act are subject to increase pursuant to 18 U.S.C. 3571.

(d) Attention is also directed to 18 U.S.C. 1001, which provides that whoever, in any matter within the jurisdiction of the executive, legislative, or judicial branch of the Government of the United States, knowingly and willfully falsifies, conceals, or covers up by any trick, scheme, or device, a material fact, or makes any materially false, fictitious, or fraudulent statement or representation, or makes or uses any false writing or document knowing the same to contain any materially false, fictitious, or fraudulent statement or entry shall be fined under title 18, United States Code, or imprisoned not more than five years, or both.

(e) Violations of this part may also be subject to relevant provisions of other applicable laws.


§ 587.702 Prepenalty notice.

(a) When required. If the Director of the Office of Foreign Assets Control has reasonable cause to believe that there has occurred a violation of any provision of this part or a violation of the provisions of any license, ruling, regulation, order, direction, or instruction issued by or pursuant to the direction or authorization of the Secretary of the Treasury pursuant to this part or otherwise under the International Emergency Economic Powers Act, and the Director determines that further proceedings are warranted, the Director shall notify the alleged violator of the agency’s intent to impose a monetary penalty by issuing a prepenalty notice. The prepenalty notice shall be in writing. The prepenalty notice may be issued whether or not another agency has taken any action with respect to the matter.

(b) Contents of notice—(1) Facts of violation. The prepenalty notice shall describe the violation, specify the laws and regulations allegedly violated, and state the amount of the proposed monetary penalty.

(2) Right to respond. The prepenalty notice also shall inform the respondent of respondent’s right to make a written presentation within the applicable 30 day period set forth in §587.703 as to why a monetary penalty should not be imposed or why, if imposed, the monetary penalty should be in a lesser amount than proposed.

(c) Informal settlement prior to issuance of prepenalty notice. At any time prior to the issuance of a prepenalty notice, an alleged violator may request in writing that, for a period not to exceed sixty (60) days, the agency withhold issuance of the prepenalty notice for the exclusive purpose of effecting settlement of the agency’s potential civil monetary penalty claims. In the event the Director grants the request, under terms and conditions within his discretion, the Office of Foreign Assets Control will agree to withhold issuance of the prepenalty notice for a period not to exceed 60 days and will enter into settlement negotiations of the potential civil monetary penalty claim.

§ 587.703 Response to prepenalty notice; informal settlement.

(a) Deadline for response. The respondent may submit a response to the prepenalty notice within the applicable 30 day period set forth in this paragraph. The Director may grant, at his discretion, an extension of time in which to submit a response to the prepenalty notice. The failure to submit a response within the applicable time period set forth in this paragraph shall be deemed to be a waiver of the right to respond.

(1) Computation of time for response. A response to the prepenalty notice must be postmarked or date-stamped by the U.S. Postal Service (or foreign postal service, if mailed abroad) or courier service provider (if transmitted to OFAC by courier) on or before the 30th day after the postmark date on the envelope in which the prepenalty notice was mailed. If the respondent refused delivery or otherwise avoided receipt of the prepenalty notice, a response must be postmarked or date-stamped on or before the 30th day after the date on the stamped postal receipt maintained at the Office of Foreign Assets Control. If the prepenalty notice was personally delivered to the respondent by a non-U.S. Postal Service agent authorized by the Director, a response must be
postmarked or date-stamped on or before the 30th day after the date of delivery.

(2) Extensions of time for response. If a due date falls on a federal holiday or weekend, that due date is extended to include the following business day. Any other extension of time will be granted, at the Director’s discretion, only upon the respondent’s specific request to the Office of Foreign Assets Control.

(b) Form and method of response. The response must be submitted in writing and may be handwritten or typed. The response need not be in any particular form. A copy of the written response may be sent by facsimile, but the original also must be sent to the Office of Foreign Assets Control Civil Penalties Division by mail or courier and must be postmarked or date-stamped, in accordance with paragraph (a) of this section.

(c) Contents of response. A written response must contain information sufficient to indicate that it is in response to the prepenalty notice.

(1) A written response must include the respondent’s full name, address, telephone number, and facsimile number, if available, or those of the representative of the respondent.

(2) A written response should either admit or deny each specific violation alleged in the prepenalty notice and also state if the respondent has no knowledge of a particular violation. If the written response fails to address any specific violation alleged in the prepenalty notice, that alleged violation shall be deemed to be admitted.

(3) A written response should include any information in defense, evidence in support of an asserted defense, or other factors that the respondent requests the Office of Foreign Assets Control to consider. Any defense or explanation previously made to the Office of Foreign Assets Control or any other agency must be repeated in the written response. Any defense not raised in the written response will be considered waived. The written response also should set forth the reasons why the respondent believes the penalty should not be imposed or why, if imposed, it should be in a lesser amount than proposed.

(d) Default. If the respondent elects not to submit a written response within the time limit set forth in paragraph (a) of this section, the Office of Foreign Assets Control will conclude that the respondent has decided not to respond to the prepenalty notice. The agency generally will then issue a written penalty notice imposing the penalty proposed in the prepenalty notice.

(e) Informal settlement. In addition to or as an alternative to a written response to a prepenalty notice, the respondent or respondent’s representative may contact the Office of Foreign Assets Control as advised in the prepenalty notice to propose the settlement of allegations contained in the prepenalty notice and related matters. However, the requirements set forth in paragraph (f) of this section as to oral communication by the representative must first be fulfilled. In the event of settlement at the prepenalty stage, the claim proposed in the prepenalty notice will be withdrawn, the respondent will not be required to take a written position on allegations contained in the prepenalty notice, and the Office of Foreign Assets Control will make no final determination as to whether a violation occurred. The amount accepted in settlement of allegations in a prepenalty notice may vary from the civil penalty that might finally be imposed in the event of a formal determination of violation. In the event no settlement is reached, the time limit specified in paragraph (a) of this section for written response to the prepenalty notice will remain in effect unless additional time is granted by the Office of Foreign Assets Control.

(f) Representation. A representative of the respondent may act on behalf of the respondent, but any oral communication with the Office of Foreign Assets Control prior to a written submission regarding the specific allegations contained in the prepenalty notice must be preceded by a written letter of representation, unless the prepenalty notice was served upon the respondent in care of the representative.

§ 587.704 Penalty imposition or withdrawal.

(a) No violation. If, after considering any response to the prepenalty notice
and any relevant facts, the Director of the Office of Foreign Assets Control determines that there was no violation by the respondent named in the prepenalty notice, the Director shall notify the respondent in writing of that determination and of the cancellation of the proposed monetary penalty.

(b) Violation. (1) If, after considering any written response to the prepenalty notice, or default in the submission of a written response, and any relevant facts, the Director of the Office of Foreign Assets Control determines that there was a violation by the respondent named in the prepenalty notice, the Director is authorized to issue a written penalty notice to the respondent of the determination of violation and the imposition of the monetary penalty.

(2) The penalty notice shall inform the respondent that payment or arrangement for installment payment of the assessed penalty must be made within 30 days of the date of mailing of the penalty notice by the Office of Foreign Assets Control.

(3) The penalty notice shall inform the respondent of the requirement to furnish the respondent’s taxpayer identification number pursuant to 31 U.S.C. 7701 and that such number will be used for purposes of collecting and reporting on any delinquent penalty amount.

(4) The issuance of the penalty notice finding a violation and imposing a monetary penalty shall constitute final agency action. The respondent has the right to seek judicial review of that final agency action in federal district court.

§587.705 Administrative collection; referral to United States Department of Justice.

In the event that the respondent does not pay the penalty imposed pursuant to this part or make payment arrangements acceptable to the Director of the Office of Foreign Assets Control within 30 days of the date of mailing of the penalty notice, the matter may be referred for administrative collection measures by the Department of the Treasury or to the United States Department of Justice for appropriate action to recover the penalty in a civil suit in a federal district court.

§587.801 Procedures.

For license application procedures and procedures relating to amendments, modifications, or revocations of licenses; administrative decisions; rulemaking; and requests for documents pursuant to the Freedom of Information and Privacy Acts (5 U.S.C. §§552 and 552a), see part 501, subpart E, of this chapter.


§587.802 Delegation by the Secretary of the Treasury.

Any action that the Secretary of the Treasury is authorized to take pursuant to Executive Order 13192 of January 17, 2001 (66 FR 7379, January 23, 2001) and any further Executive orders relating to the national emergency declared in Executive Order 13088 of June 9, 1988 (63 FR 32109, June 12, 1998) may be taken by the Director of the Office of Foreign Assets Control or by any other person to whom the Secretary of the Treasury has delegated authority so to act.

Subpart I—Paperwork Reduction Act

§587.901 Paperwork Reduction Act notice.

For approval by the Office of Management and Budget (“OMB”) under the Paperwork Reduction Act of 1995 (44 U.S.C. 3507) of information collections relating to recordkeeping and reporting requirements, licensing procedures (including those pursuant to statements of licensing policy), and other procedures, see §501.901 of this chapter. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid control number assigned by OMB.
Office of Foreign Assets Control, Treasury

PART 588—WESTERN BALKANS
STABILIZATION REGULATIONS

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AUTHORITY: 3 U.S.C. 301; 31 U.S.C. 321(b); 50
Stat. 1011; E.O. 13219, 66 FR 34777, 3 CFR,
2001 Comp., p. 778; E.O. 13304, 68 FR 32315, 3

otherwise noted.
by this part. No license or authorization contained in or issued pursuant to any other provision of law or regulation authorizes any transaction prohibited by this part. No license or authorization contained in or issued pursuant to this part relieves the involved parties from complying with any other applicable laws or regulations.

Subpart B—Prohibitions

§ 588.201 Prohibited transactions involving blocked property.

(a) Except as authorized by regulations, orders, directives, rulings, instructions, licenses or otherwise, and notwithstanding any contracts entered into or any license or permit granted prior to the effective date, property or interests in property of the following persons that are in the United States, that hereafter come within the United States, or that are or hereafter come within the possession or control of U.S. persons, including their overseas branches, are blocked and may not be transferred, paid, exported, withdrawn or otherwise dealt in:

(1) Any person listed in the Annex to Executive Order 13219 of June 26, 2001 (3 CFR, 2001 Comp., p. 778); and

(2) Any person designated by the Secretary of the Treasury, in consultation with the Secretary of State, because they are found:

(i) To have committed, or to pose a significant risk of committing, acts of violence that have the purpose or effect of threatening the peace in or diminishing the stability or security of any area or state in the Western Balkans region, undermining the authority, efforts, or objectives of international organizations or entities present in the region, or endangering the safety of persons participating in or providing support to the activities of those international organizations or entities; or

(ii) To have actively obstructed, or to pose a significant risk of actively obstructing, implementation of the Dayton Accords in Bosnia or United Nations Security Council Resolution 1244 of June 10, 1999, in Kosovo; or

(iii) Materially to assist in, sponsor, or provide financial support for, or goods or services in support of, such acts of violence and obstructionism; or

(iv) To be owned or controlled by, or acting or purporting to act directly or indirectly for or on behalf of, any person designated in the Annex to Executive Order 13219 or any person otherwise designated by the Secretary of the Treasury pursuant to this section.

NOTE TO PARAGRAPH (a) OF §588.201: The names of persons whose property or interests in property are blocked pursuant to paragraph (a) of this section will be published on OFAC’s website, announced in the Federal Register and incorporated on an ongoing basis with the identifier [BALKANS] into Appendix A to 31 CFR chapter V. Section 501.807 of this chapter V sets forth the procedures to be followed by persons seeking administrative reconsideration of their designation pursuant to paragraph (a)(2) of this section or who wish to assert that the circumstances resulting in designation no longer apply. Similarly, when a transaction results in the blocking of funds at a financial institution pursuant to this section and a party to the transaction believes the funds to have been blocked due to mistaken identity, that party may seek to have such funds unblocked pursuant to the administrative procedures set forth in §501.806 of this chapter.

(b) The blocking of property and interests in property pursuant to paragraph (a) of this section includes, but is not limited to, the prohibition of the making or receiving by a United States person of any contribution or provision of funds, goods or services to or for the benefit of a person whose property or interests in property are blocked pursuant to paragraph (a) of this section.

(c) Unless otherwise authorized by this part or by a specific license expressly referring to this section, any dealing in any security (or evidence thereof) held within the possession or control of a U.S. person and either registered or inscribed in the name of or known to be held for the benefit of any person whose property or interests in property are blocked pursuant to paragraph (a) of this section.

(iv) To be owned or controlled by, or acting or purporting to act directly or indirectly for or on behalf of, any person designated in the Annex to Executive Order 13219 or any person otherwise designated by the Secretary of the Treasury pursuant to this section.
any time (whether prior to, on, or subsequent to the effective date) the registered or inscribed owner of any such security may have or might appear to have assigned, transferred, or otherwise disposed of the security.

§ 588.202 Effect of transfers violating the provisions of this part.

(a) Any transfer after the effective date that is in violation of any provision of this part or of any regulation, order, directive, ruling, instruction, or license issued pursuant to this part, and that involves any property or interest in property blocked pursuant to §588.201(a), is null and void and shall not be the basis for the assertion or recognition of any interest in or right, remedy, power, or privilege with respect to such property or property interests.

(b) No transfer before the effective date shall be the basis for the assertion or recognition of any right, remedy, power, or privilege with respect to, or any interest in, any property or interest in property blocked pursuant to §588.201(a), unless the person with whom such property is held or maintained, prior to that date, had written notice of the transfer or by any written evidence had recognized such transfer.

(c) Unless otherwise provided, an appropriate license or other authorization issued by or pursuant to the direction or authorization of the Director of the Office of Foreign Assets Control before, during, or after a transfer shall validate such transfer or make it enforceable to the same extent that it would be valid or enforceable but for the provisions of the International Emergency Economic Powers Act (50 U.S.C. 1701 et seq.), this part, and any regulation, order, directive, ruling, instruction, or license issued pursuant to this part.

(d) Transfers of property that otherwise would be null and void or unenforceable by virtue of the provisions of this section shall not be deemed to be null and void or unenforceable as to any person with whom such property was held or maintained (and as to such person only) in cases in which such person is able to establish to the satisfaction of the Director of the Office of Foreign Assets Control each of the following:

(1) Such transfer did not represent a willful violation of the provisions of this part by the person with whom such property was held or maintained;

(2) The person with whom such property was held or maintained did not have reasonable cause to know or suspect, in view of all the facts and circumstances known or available to such person, that such transfer required a license or authorization issued pursuant to this part and was not so licensed or authorized, or, if a license or authorization did purport to cover the transfer, that such license or authorization had been obtained by misrepresentation of a third party or withholding of material facts or was otherwise fraudulently obtained; and

(3) The person with whom such property was held or maintained filed with the Office of Foreign Assets Control a report setting forth in full the circumstances relating to such transfer promptly upon discovery that:

(i) Such transfer was in violation of the provisions of this part or any regulation, ruling, instruction, license, or other direction or authorization issued pursuant to this part;

(ii) Such transfer was not licensed or authorized by the Director of the Office of Foreign Assets Control; or

(iii) If a license did purport to cover the transfer, such license had been obtained by misrepresentation of a third party or withholding of material facts or was otherwise fraudulently obtained.

NOTE TO PARAGRAPH (d) OF §588.202: The filing of a report in accordance with the provisions of paragraph (d)(3) of this section shall not be deemed evidence that the terms of paragraphs (d)(1) and (d)(2) of this section have been satisfied.

(e) Unless licensed pursuant to this part, any attachment, judgment, decree, lien, execution, garnishment, or other judicial process is null and void with respect to any property in which on or since the effective date there existed an interest of a person whose property or interests in property are blocked pursuant to §588.201(a).
§ 588.203  Holding of funds in interest-bearing accounts; investment and reinvestment.

(a) Except as provided in paragraph (c) or (d) of this section, or as otherwise directed by the Office of Foreign Assets Control, any U.S. person holding funds, such as currency, bank deposits, or liquidated financial obligations subject to § 588.201(a) shall hold or place such funds in a blocked interest-bearing account located in the United States.

(b)(1) For purposes of this section, the term blocked interest-bearing account means a blocked account:

(i) In a federally-insured U.S. bank, thrift institution, or credit union, provided the funds are earning interest at rates that are commercially reasonable; or

(ii) With a broker or dealer registered with the Securities and Exchange Commission under the Securities Exchange Act of 1934 (15 U.S.C. 78a et seq.), provided the funds are invested in a money market fund or in U.S. Treasury bills.

(2) For purposes of this section, a rate is commercially reasonable if it is the rate currently offered to other depositors on deposits or instruments of comparable size and maturity.

(3) Funds held or placed in a blocked account pursuant to this paragraph (b) may not be invested in instruments the maturity of which exceeds 180 days. If interest is credited to a separate blocked account or subaccount, the name of the account party on each account must be the same.

(c) Blocked funds held in instruments the maturity of which exceeds 180 days at the time the funds become subject to § 588.201(a) may continue to be held until maturity in the original instrument, provided any interest, earnings, or other proceeds derived therefrom are paid into a blocked interest-bearing account in accordance with paragraph (b) or (d) of this section.

(d) Blocked funds held in accounts or instruments outside the United States at the time the funds become subject to § 588.201(a) may continue to be held in the same type of accounts or instruments, provided the funds earn interest at rates that are commercially reasonable.

(e) This section does not create an affirmative obligation for the holder of blocked tangible property, such as chattels or real estate, or of other blocked property, such as debt or equity securities, to sell or liquidate such property at the time the property becomes subject to § 588.201(a). However, the Office of Foreign Assets Control may issue licenses permitting or directing such sales in appropriate cases.

(f) Funds subject to this section may not be held, invested, or reinvested in a manner that provides immediate financial or economic benefit or access to any person whose property or interests in property are blocked pursuant to § 588.201(a), nor may their holder cooperate in or facilitate the pledging or other attempted use as collateral of blocked funds or other assets.

§ 588.204  Evasions; attempts; conspiracies.

(a) Except as otherwise authorized, and notwithstanding any contract entered into or any license or permit granted prior to the effective date, any transaction by any U.S. person or within the United States on or after the effective date that evades or avoids, has the purpose of evading or avoiding, or attempts to violate any of the prohibitions set forth in this part is prohibited.

(b) Except as otherwise authorized, and notwithstanding any contract entered into or any license or permit granted prior to the effective date, any conspiracy formed for the purpose of engaging in a transaction prohibited by this part is prohibited.

§ 588.205  Expenses of maintaining blocked property; liquidation of blocked account.

(a) Except as otherwise authorized, and notwithstanding the existence of any rights or obligations conferred or imposed by any international agreement or contract entered into or any license or permit granted before 12:01 a.m., eastern daylight time, June 27, 2001, all expenses incident to the maintenance of physical property blocked pursuant to § 588.201(a) shall be the responsibility of the owners or operators of such property, which expenses shall not be met from blocked funds.
(b) Property blocked pursuant to §588.201(a) may, in the discretion of the Director, Office of Foreign Assets Control, be sold or liquidated and the net proceeds placed in a blocked interest-bearing account in the name of the owner of the property.

§ 588.206 Exempt transactions.

(a) Personal communications. The prohibitions contained in this part do not apply to any postal, telegraphic, telephonic, or other personal communication that does not involve the transfer of anything of value.

(b) Information or informational materials. (1) The importation from any country and the exportation to any country of information or informational materials, as defined in §588.304, whether commercial or otherwise, regardless of format or medium of transmission, are exempt from the prohibitions of this part.

(2) This section does not exempt from regulation or authorize transactions related to information or informational materials not fully created and in existence at the date of the transactions, or to the substantive or artistic alteration or enhancement of informational materials, or to the provision of marketing and business consulting services. Such prohibited transactions include, but are not limited to, payment of advances for information or informational materials not yet created and completed (with the exception of prepaid subscriptions for widely-circulated magazines and other periodical publications); provision of services to market, produce or co-produce, create, or assist in the creation of information or informational materials; and, with respect to information or informational materials imported from persons whose property or interests in property are blocked pursuant to §588.201(a), payment of royalties with respect to income received for enhancements or alterations made by U.S. persons to such information or informational materials.

(3) This section does not exempt or authorize transactions incident to the exportation of software subject to the Export Administration Regulations, 15 CFR parts 730–774, or to the exportation of goods, technology or software, or to the provision, sale, or leasing of capacity on telecommunications transmission facilities (such as satellite or terrestrial network connectivity) for use in the transmission of any data. The exportation of such items or services and the provision, sale, or leasing of such capacity or facilities to a person whose property or interests in property are blocked pursuant to §588.201(a) are prohibited.

(c) Travel. The prohibitions contained in this part do not apply to transactions ordinarily incident to travel to or from any country, including exportation or importation of accompanied baggage for personal use, maintenance within any country including payment of living expenses and acquisition of goods or services for personal use, and arrangement or facilitation of such travel including nonscheduled air, sea, or land voyages.

Subpart C—General Definitions

§ 588.301 Blocked account; blocked property.

The terms blocked account and blocked property shall mean any account or property subject to the prohibitions in §588.201 held in the name of a person whose property or interests in property are blocked pursuant to §588.201(a), or in which such person has an interest, and with respect to which payments, transfers, exportations, withdrawals, or other dealings may not be made or effected except pursuant to an authorization or license from the Office of Foreign Assets Control expressly authorizing such action.

§ 588.302 Effective date.

The term effective date refers to the effective date of the applicable prohibitions and directives contained in this part as follows:

(a) With respect to a person whose property or interests in property are blocked pursuant to §588.201(a)(1), 12:01 a.m. eastern daylight time, June 27, 2001;

(b) With respect to a person whose property or interests in property are blocked pursuant to §588.201(a)(2), the earlier of the date on which is received actual or constructive notice of such
§ 588.303 Entity.

The term "entity" means a partnership, association, trust, joint venture, corporation, group, subgroup, or other organization.

§ 588.304 Information or informational materials.

(a) For purposes of this part, the term "information or informational materials" includes, but is not limited to, publications, films, posters, phonograph records, microfilms, microfiche, tapes, compact disks, CD ROMs, artworks, and news wire feeds.

NOTE TO PARAGRAPH (a) OF § 588.304. To be considered information or informational materials, artworks must be classified under chapter heading 9701, 9702, or 9703 of the Harmonized Tariff Schedule of the United States.

(b) The term "information or informational materials," with respect to United States exports, does not include items:

(1) That were, as of April 30, 1994, or that thereafter become, controlled for export pursuant to section 5 of the Export Administration Act of 1979, 50 U.S.C. App. 2401–2420 (1979) (the "EAA"), or section 6 of the EAA to the extent that such controls promote the nonproliferation or antiterrorism policies of the United States; or

(2) With respect to which acts are prohibited by 18 U.S.C. chapter 37.

§ 588.305 Interest.

Except as otherwise provided in this part, the term "interest" when used with respect to property (e.g., "an interest in property") means an interest of any nature whatsoever, direct or indirect.

§ 588.306 Licenses; general and specific.

(a) Except as otherwise specified, the term "license" means any license or authorization contained in or issued pursuant to this part.

(b) The term "general license" means any license or authorization the terms of which are set forth in subpart E of this part.

(c) The term "specific license" means any license or authorization not set forth in subpart E of this part but issued pursuant to this part.

Note to § 588.306: See § 501.801 of this chapter on licensing procedures.

§ 588.307 Person.

The term "person" means an individual or entity.

§ 588.308 Property; property interest.

The terms "property" and "property interest" include, but are not limited to, money, checks, drafts, bullion, bank deposits, savings accounts, debts, indebtedness, obligations, notes, guarantees, debentures, stocks, bonds, coupons, any other financial instruments, bankers' acceptances, mortgages, pledges, liens or other rights in the nature of security, warehouse receipts, bills of lading, trust receipts, bills of sale, any other evidences of title, ownership or indebtedness, letters of credit and any documents relating to any rights or obligations thereunder, powers of attorney, goods, wares, merchandise, chattels, stocks on hand, ships, goods on ships, real estate mortgages, deeds of trust, vendors' sales agreements, leaseholds, ground rents, real estate and any other interest therein, options, negotiable instruments, trade acceptances, royalties, book accounts, accounts payable, judgments, patents, trademarks or copyrights, insurance policies, safe deposit boxes and their contents, annuities, pooling agreements, services of any nature whatsoever, contracts of any nature whatsoever, and any other property, real, personal, or mixed, tangible or intangible, or interest or interests therein, present, future or contingent.

§ 588.309 Transfer.

The term "transfer" means any actual or purported act or transaction, whether or not evidenced by writing, and whether or not done or performed within the United States; the purpose, intent, or effect of which is to create, surrender, release, convey, transfer, or alter, directly or indirectly, any right, remedy, power, privilege, or interest with respect to any property and, without limitation upon the foregoing, shall include the making, execution, or
Office of Foreign Assets Control, Treasury § 588.403

delivery of any assignment, power, conveyance, check, declaration, deed, deed of trust, power of attorney, power of appointment, bill of sale, mortgage, receipt, agreement, contract, certificate, gift, sale, affidavit, or statement; the making of any payment; the setting off of any obligation or credit; the appointment of any agent, trustee, or fiduciary; the creation or transfer of any lien; the issuance, docketing, filing, or levy of or under any judgment, decree, attachment, injunction, execution, or other judicial or administrative process or order, or the service of any garnishment; the acquisition of any interest of any nature whatsoever by reason of a judgment or decree of any foreign country; the fulfillment of any condition; the exercise of any power of appointment, power of attorney, or other power; or the acquisition, disposition, transportation, importation, exportation, or withdrawal of any security.

§ 588.310 United States.
The term United States means the United States, its territories and possessions, and all areas under the jurisdiction or authority thereof.

§ 588.311 U.S. financial institution.
The term U.S. financial institution means any U.S. entity (including its foreign branches) that is engaged in the business of accepting deposits, making, granting, transferring, holding, or brokering loans or credits, or purchasing or selling foreign exchange, securities, commodity futures or options, or procuring purchasers and sellers thereof, as principal or agent; including but not limited to, depository institutions, banks, savings banks, trust companies, securities brokers and dealers, commodity futures and options brokers and dealers, forward contract and foreign exchange merchants, securities and commodities exchanges, clearing corporations, investment companies, employee benefit plans, and U.S. holding companies, U.S. affiliates, or U.S. subsidiaries of any of the foregoing. This term includes those branches, offices and agencies of foreign financial institutions that are located in the United States, but not such institutions' foreign branches, offices, or agencies.

§ 588.312 United States person; U.S. person.
The term United States person or U.S. person means any United States citizen, permanent resident alien, entity organized under the laws of the United States or any jurisdiction within the United States (including foreign branches), or any person in the United States.

Subpart D—Interpretations

§ 588.401 Reference to amended sections.
Except as otherwise specified, reference to any provision in or appendix to this part or chapter or to any regulation, ruling, order, instruction, direction, or license issued pursuant to this part refers to the same as currently amended.

§ 588.402 Effect of amendment.
Unless otherwise specifically provided, any amendment, modification, or revocation of any provision in or appendix to this part or chapter or of any order, regulation, ruling, instruction, or license issued by or under the direction of the Director of the Office of Foreign Assets Control does not affect any act done or omitted, or any civil or criminal suit or proceeding commenced or pending prior to such amendment, modification, or revocation. All penalties, forfeitures, and liabilities under any such order, regulation, ruling, instruction, or license continue and may be enforced as if such amendment, modification, or revocation had not been made.

§ 588.403 Termination and acquisition of an interest in blocked property.
(a) Whenever a transaction licensed or authorized by or pursuant to this part results in the transfer of property (including any property interest) away from a person, such property shall no longer be deemed to be property blocked pursuant to §588.201(a), unless there exists in the property another interest that is blocked pursuant to §588.201(a) or any other part of this chapter, the transfer of which has not been effected pursuant to license or other authorization.
(b) Unless otherwise specifically provided in a license or authorization issued pursuant to this part, if property (including any property interest) is transferred or attempted to be transferred to a person whose property or interests in property are blocked pursuant to §588.201(a), such property shall be deemed to be property in which that person has an interest and therefore blocked.

§ 588.404 Transactions incidental to a licensed transaction.

Any transaction ordinarily incident to a licensed transaction and necessary to give effect thereto is also authorized, except:

(a) An incidental transaction, not explicitly authorized within the terms of the license, by or with a person whose property or interests in property are blocked pursuant to §588.201(a); or

(b) An incidental transaction, not explicitly authorized within the terms of the license, involving a debit to a blocked account or a transfer of blocked property.

§ 588.405 Provision of services.

(a) Except as provided in §588.206, the prohibitions on transactions involving blocked property contained in §588.201 apply to services performed in the United States or by U.S. persons, wherever located, including by an overseas branch of an entity located in the United States:

1. On behalf of or for the benefit of a person whose property or interests in property are blocked pursuant to §588.201(a); or

2. With respect to property interests subject to §588.201.

(b) Example: U.S. persons may not, except as authorized by or pursuant to this part, provide legal, accounting, financial, brokering, freight forwarding, transportation, public relations, or other services to a person whose property or interests in property are blocked pursuant to §588.201(a).

Note to §588.405: See §§588.507 and 588.508, respectively, on licensing policy with regard to the provision of certain legal or medical services.

§ 588.406 Offshore transactions.

The prohibitions in §588.201 on transactions involving blocked property apply to transactions by any U.S. person in a location outside the United States with respect to property that the U.S. person knows, or has reason to know, is held in the name of a person whose property or interests in property are blocked pursuant to §588.201(a) or in which the U.S. person knows, or has reason to know, a person whose property or interests in property are blocked pursuant to §588.201(a) has or has had an interest since the effective date.

§ 588.407 Payments from blocked accounts to satisfy obligations prohibited.

Pursuant to §588.201, no debits may be made to a blocked account to pay obligations to U.S. persons or other persons, except as authorized pursuant to this part.

§ 588.408 Charitable contributions.

Unless otherwise specifically authorized by the Office of Foreign Assets Control by or pursuant to this part, no charitable contribution or donation of funds, goods, services, or technology may be made to or for the benefit of a person whose property or interests in property are blocked pursuant to §588.201(a). For purposes of this part, a contribution or donation is made to or for the benefit of a person whose property or interests in property are blocked pursuant to §588.201(a) if made to or in the name of such a person; if made to or in the name of an entity or individual acting for or on behalf of, or owned or controlled by, such a person; or if made in an attempt to violate, to evade or to avoid the bar on the provision of contributions or donations to such a person.

§ 588.409 Credit extended and cards issued by U.S. financial institutions.

The prohibition in §588.201 on dealing in property subject to that section prohibits U.S. financial institutions from performing under any existing credit agreements, including, but not limited to, charge cards, debit cards, or other
credit facilities issued by a U.S. financial institution to a person whose property or interests in property are blocked pursuant to §588.201(a).

§ 588.410 Setoffs prohibited.

A setoff against blocked property (including a blocked account), whether by a U.S. bank or other U.S. person, is a prohibited transfer under §588.201 if effected after the effective date.

Subpart E—Licenses, Authorizations and Statements of Licensing Policy

§ 588.501 General and specific licensing procedures.

For provisions relating to licensing procedures, see part 501, subpart E, of this chapter. Licensing actions taken pursuant to part 501 of this chapter with respect to the prohibitions contained in this part are considered actions taken pursuant to this part.


§ 588.502 Effect of license or authorization.

(a) No license or other authorization contained in this part, or otherwise issued by or under the direction of the Director of the Office of Foreign Assets Control, authorizes or validates any transaction effected prior to the issuance of the license, unless specifically provided in such license or authorization.

(b) No regulation, ruling, instruction, or license issued by the Office of Foreign Assets Control and specifically refers to this part. No regulation, ruling, instruction, or license referring to this part shall be deemed to authorize any transaction prohibited by any provision of this chapter unless the regulation, ruling, instruction, or license specifically refers to such provision.

(c) Any regulation, ruling, instruction, or license authorizing any transaction otherwise prohibited under this part has the effect of removing a prohibition contained in this part from the transaction, but only to the extent specifically stated by its terms. Unless the regulation, ruling, instruction, or license otherwise specifies, such an authorization does not create any right, duty, obligation, claim, or interest in, or with respect to, any property which would not otherwise exist under ordinary principles of law.

§ 588.503 Exclusion from licenses.

The Director of the Office of Foreign Assets Control reserves the right to exclude any person, property, or transaction from the operation of any license or from the privileges conferred by any license. The Director of the Office of Foreign Assets Control also reserves the right to restrict the applicability of any license to particular persons, property, transactions, or classes thereof. Such actions are binding upon all persons receiving actual or constructive notice of the exclusions or restrictions.

§ 588.504 Payments and transfers to blocked accounts in U.S. financial institutions.

Any payment of funds or transfer of credit in which a person whose property or interests in property are blocked pursuant to §588.201(a) has any interest, that comes within the possession or control of a U.S. financial institution, must be blocked in an account on the books of that financial institution. A transfer of funds or credit by a U.S. financial institution between blocked accounts in its branches or offices is authorized, provided that no transfer is made from an account within the United States to an account held outside the United States, and further provided that a transfer from a blocked account may only be made to another blocked account held in the same name.

NOTE TO §588.504. Please refer to §501.603 of this chapter for mandatory reporting requirements regarding financial transfers. See also §588.203 concerning the obligation to hold blocked funds in interest-bearing accounts.

§ 588.505 Entries in certain accounts for normal service charges authorized.

(a) A U.S. financial institution is authorized to debit any blocked account
§ 588.506 Investment and reinvestment of certain funds.

Subject to the requirements of § 588.203, U.S. financial institutions are authorized to invest and reinvest assets blocked pursuant to § 588.201, subject to the following conditions:

(a) The assets representing such investments and reinvestments are credited to a blocked account or subaccount which is held in the same name at the same U.S. financial institution, or within the possession or control of a U.S. person, but funds shall not be transferred outside the United States for this purpose;

(b) The proceeds of such investments and reinvestments shall not be credited to a blocked account or subaccount under any name or designation that differs from the name or designation of the specific blocked account or subaccount in which such funds or securities were held; and

(c) No immediate financial or economic benefit accrues (e.g., through pledging or other use) to persons whose property or interests in property are blocked pursuant to § 588.201(a).

§ 588.507 Provision of certain legal services authorized.

(a) The provision of the following legal services to or on behalf of persons whose property or interests in property are blocked pursuant to § 588.201(a) is authorized, provided that all receipts of payment of professional fees and reimbursement of incurred expenses must be specifically licensed:

(1) Provision of legal advice and counseling on the requirements of and compliance with the laws of any jurisdiction within the United States, provided that such advice and counseling are not provided to facilitate transactions in violation of this part;

(2) Representation of persons when named as defendants in or otherwise made parties to domestic U.S. legal, arbitration, or administrative proceedings;

(3) Initiation and conduct of domestic U.S. legal, arbitration, or administrative proceedings in defense of property interests subject to U.S. jurisdiction;

(4) Representation of persons before any federal or state agency with respect to the imposition, administration, or enforcement of U.S. sanctions against such persons; and

(5) Provision of legal services in any other context in which prevailing U.S. law requires access to legal counsel at public expense.

(b) The provision of any other legal services to persons whose property or interests in property are blocked pursuant to § 588.201(a), not otherwise authorized in this part, requires the issuance of a specific license.

(c) Entry into a settlement agreement affecting property or interests in property or the enforcement of any lien, judgment, arbitral award, decree, or other order through execution, garnishment, or other judicial process purporting to transfer or otherwise alter or affect property or interests in property blocked pursuant to § 588.201(a) is prohibited unless specifically licensed in accordance with § 588.202(e).

§ 588.508 Authorization of emergency medical services.

The provision of nonscheduled emergency medical services in the United States to persons whose property or interests in property are blocked pursuant to § 588.201(a) is authorized, provided that all receipt of payment for such services must be specifically licensed.
Subpart F—Reports

§ 588.601 Records and reports.

For provisions relating to required records and reports, see part 501, subpart C, of this chapter. Recordkeeping and reporting requirements imposed by part 501 of this chapter with respect to the prohibitions contained in this part are considered requirements arising pursuant to this part.

Subpart G—Penalties

§ 588.701 Penalties.

(a) Attention is directed to section 206 of the International Emergency Economic Powers Act (the “Act”) (50 U.S.C. 1705), which is applicable to violations of the provisions of any license, ruling, regulation, order, direction, or instruction issued by or pursuant to the direction or authorization of the Secretary of the Treasury pursuant to this part or otherwise under the Act.

(1) A civil penalty not to exceed the amount set forth in Section 206 of the Act may be imposed on any person who violates, attempts to violate, conspires to violate, or causes a violation of any license, order, regulation, or prohibition issued under the Act.

NOTE TO PARAGRAPH (a)(1) OF § 588.701: As of June 10, 2008, the Act provides for a maximum civil penalty not to exceed the greater of $250,000 or an amount that is twice the amount of the transaction that is the basis of the violation with respect to which the penalty is imposed.

(2) A person who willfully commits, willfully attempts to commit, or willfully conspires to commit, or aids or abets in the commission of a violation of any license, order, regulation, or prohibition shall, upon conviction, be fined not more than $1,000,000, or if a natural person, may be imprisoned for not more than 20 years, or both.

(b) Adjustments to penalty amounts. (1) The civil penalties provided in the Act are subject to adjustment pursuant to the Federal Civil Penalties Inflation Adjustment Act of 1990 (Pub. L. 101–410, as amended, 28 U.S.C. 2461 note).

(2) The criminal penalties provided in the Act are subject to adjustment pursuant to 18 U.S.C. 3571.

(c) Attention is also directed to 18 U.S.C. 1001, which provides that whoever, in any matter within the jurisdiction of the executive, legislative, or judicial branch of the Government of the United States, knowingly and willfully falsifies, conceals, or covers up by any trick, scheme, or device, a material fact, or makes any materially false, fictitious, or fraudulent statement or representation, or makes or uses any false writing or document knowing the same to contain any materially false, fictitious, or fraudulent statement or entry shall be fined under title 18, United States Code, or imprisoned not more than five years, or both.

(d) Violations of this part may also be subject to relevant provisions of other applicable laws.

§ 588.702 Prepenalty notice.

(a) When required. If the Director of the Office of Foreign Assets Control has reasonable cause to believe that there has occurred a violation of any provision of this part or a violation of the provisions of any license, ruling, regulation, order, direction, or instruction issued by or pursuant to the direction or authorization of the Secretary of the Treasury pursuant to this part or otherwise under the Act, and the Director determines that further proceedings are warranted, the Director shall notify the alleged violator of the agency’s intent to impose a monetary penalty by issuing a prepenalty notice. The prepenalty notice shall be in writing. The prepenalty notice may be issued whether or not another agency has taken any action with respect to the matter.

(b) Contents of notice—(1) Facts of violation. The prepenalty notice shall describe the violation, specify the laws and regulations allegedly violated, and state the amount of the proposed monetary penalty.

(2) Right to respond. The prepenalty notice also shall inform the respondent of the respondent’s right to make a written presentation within the applicable 30 day period set forth in §588.703 as to why a monetary penalty should
§ 588.703 Response to prepenalty notice; informal settlement.

(a) Deadline for response. The respondent may submit a response to the prepenalty notice within the applicable 30-day period set forth in this paragraph. The Director may grant, at his discretion, an extension of time in which to submit a response to the prepenalty notice. The failure to submit a response within the applicable time period set forth in this paragraph (a) shall be deemed to be a waiver of the right to respond.

(1) Computation of time for response. A response to the prepenalty notice must be postmarked or date-stamped by the U.S. Postal Service (or foreign postal service, if mailed abroad) or courier service provider (if transmitted to OFAC by courier) on or before the 30th day after the postmark date on the envelope in which the prepenalty notice was mailed. If the respondent refused delivery or otherwise avoided receipt of the prepenalty notice, a response must be postmarked or date-stamped on or before the 30th day after the date on the stamped postal receipt maintained at the Office of Foreign Assets Control. If the prepenalty notice was personally delivered to the respondent by a non-U.S. Postal Service agent authorized by the Director, a response must be postmarked or date-stamped on or before the 30th day after the date of delivery.

(2) Extensions of time for response. If a due date falls on a federal holiday or weekend, that due date is extended to include the following business day. Any other extensions of time will be granted, at the Director's discretion, only upon the respondent's specific request to the Office of Foreign Assets Control.

(b) Form and method of response. The response must be submitted in writing and may be handwritten or typed. The response need not be in any particular form. A copy of the written response may be sent by facsimile, but the original also must be sent to the Office of Foreign Assets Control Civil Penalties Division by mail or courier and must be postmarked or date-stamped, in accordance with paragraph (a) of this section.

(c) Contents of response. A written response must contain information sufficient to indicate that it is in response to the prepenalty notice.

(1) A written response must include the respondent's full name, address, telephone number, and facsimile number, if available, or those of the representative of the respondent.

(2) A written response should either admit or deny each specific violation alleged in the prepenalty notice and also state if the respondent has no knowledge of a particular violation. If the written response fails to address any specific violation alleged in the prepenalty notice, that alleged violation shall be deemed to be admitted.

(3) A written response should include any information in defense, evidence in support of an asserted defense, or other factors that the respondent requests the Office of Foreign Assets Control to consider. Any defense or explanation previously made to the Office of Foreign Assets Control or any other agency must be repeated in the written response. Any defense not raised in the written response will be considered waived. The written response also should set forth the reasons why the respondent believes the penalty should not be imposed or why, if imposed, it should be in a lesser amount than proposed.

(d) Default. If the respondent elects not to submit a written response within the time limit set forth in paragraph (a) of this section, the Office of Foreign Assets Control will issue a prepenalty notice.
Office of Foreign Assets Control, Treasury § 588.705  

Assets Control will conclude that the respondent has decided not to respond to the prepenalty notice. The agency generally will then issue a written penalty notice imposing the penalty proposed in the prepenalty notice.  

(e) Informal settlement. In addition to or as an alternative to a written response to a prepenalty notice, the respondent or respondent’s representative may contact the Office of Foreign Assets Control as advised in the prepenalty notice to propose the settlement of allegations contained in the prepenalty notice and related matters. However, the requirements set forth in paragraph (f) of this section as to oral communication by the representative must first be fulfilled. In the event of settlement at the prepenalty stage, the claim proposed in the prepenalty notice will be withdrawn, the respondent will not be required to take a written position on allegations contained in the prepenalty notice, and the Office of Foreign Assets Control will make no final determination as to whether a violation occurred. The amount accepted in settlement of allegations in a prepenalty notice may vary from the civil penalty that might finally be imposed in the event of a formal determination of violation. In the event no settlement is reached, the time limit specified in paragraph (a) of this section for written response to the prepenalty notice will remain in effect unless additional time is granted by the Office of Foreign Assets Control.  

(f) Representation. A representative of the respondent may act on behalf of the respondent, but any oral communication with the Office of Foreign Assets Control prior to a written submission regarding the specific allegations contained in the prepenalty notice must be preceded by a written letter of representation, unless the prepenalty notice was served upon the respondent in care of the representative.  

§ 588.704 Penalty imposition or withdrawal.  

(a) No violation. If, after considering any response to the prepenalty notice and any relevant facts, the Director of the Office of Foreign Assets Control determines that there was no violation by the respondent named in the prepenalty notice, the Director shall notify the respondent in writing of that determination and of the cancellation of the proposed monetary penalty.  

(b) Violation. (1) If, after considering any written response to the prepenalty notice, or default in the submission of a written response, and any relevant facts, the Director of the Office of Foreign Assets Control determines that there was a violation by the respondent named in the prepenalty notice, the Director is authorized to issue a written penalty notice to the respondent of the determination of the violation and the imposition of the monetary penalty.  

(2) The penalty notice shall inform the respondent that payment or arrangement for installment payment of the assessed penalty must be made within 30 days of the date of mailing of the penalty notice by the Office of Foreign Assets Control.  

(3) The penalty notice shall inform the respondent of the requirement to furnish the respondent’s taxpayer identification number pursuant to 31 U.S.C. 7701 and that such number will be used for purposes of collecting and reporting on any delinquent penalty amount.  

(4) The issuance of the penalty notice finding a violation and imposing a monetary penalty shall constitute final agency action. The respondent has the right to seek judicial review of that final agency action in federal district court.  

§ 588.705 Administrative collection; referral to United States Department of Justice.  

In the event that the respondent does not pay the penalty imposed pursuant to this part or make payment arrangements acceptable to the Director of the Office of Foreign Assets Control within 30 days of the date of mailing of the penalty notice, the matter may be referred for administrative collection measures by the Department of the Treasury or to the United States Department of Justice for appropriate action to recover the penalty in a civil suit in a federal district court.
Subpart H—Procedures
§ 588.801 Procedures.
For license application procedures and procedures relating to amendments, modifications, or revocations of licenses; administrative decisions; rulemaking; and requests for documents pursuant to the Freedom of Information and Privacy Acts (5 U.S.C. 552 and 552a), see part 501, subpart E, of this chapter.

§ 588.802 Delegation by the Secretary of the Treasury.
Any action that the Secretary of the Treasury is authorized to take pursuant to Executive Order 13219 of June 26, 2001 (3 CFR, 2001 Comp., p. 778), and any further Executive orders relating to the national emergency declared therein, may be taken by the Director of the Office of Foreign Assets Control or by any other person to whom the Secretary of the Treasury has delegated authority so to act.

Subpart I—Paperwork Reduction Act
§ 588.901 Paperwork Reduction Act notice.
For approval by the Office of Management and Budget ("OMB") under the Paperwork Reduction Act of 1995 (44 U.S.C. 3507) of information collections relating to recordkeeping and reporting requirements, licensing procedures (including those pursuant to statements of licensing policy), and other procedures, see § 501.901 of this chapter. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid control number assigned by OMB.

PART 592—ROUGH DIAMONDS CONTROL REGULATIONS

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Sec.
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592.801 Paperwork Reduction Act notice.


SOURCE: 69 FR 56938, Sept. 23, 2004, unless otherwise noted.
Subpart A—Relation of This Part to Other Laws and Regulations

§ 592.101 Relation of this part to other laws and regulations.

This part is separate from, and independent of, the other parts of this chapter, with the exception of part 501 of this chapter, the recordkeeping and reporting requirements and procedures of which apply to this part. Actions taken pursuant to part 501 of this chapter with respect to the prohibitions contained in this part are considered actions taken pursuant to this part. Differing foreign policy and national security circumstances may result in differing interpretations of similar language among the parts of this chapter. No license or authorization contained in or issued pursuant to those other parts authorizes any transaction prohibited by this part. No license or authorization contained in or issued pursuant to any other provision of law or regulation authorizes any transaction prohibited by this part.

Subpart B—Prohibitions

§ 592.201 Prohibited importation and exportation of any rough diamond; permitted importation or exportation of any rough diamond.

(a) Except to the extent provided in paragraph (b) of this section, and notwithstanding the existence of any rights or obligations conferred or imposed by any contract entered into or any license or permit granted prior to the effective date, the importation into, or exportation from, the United States on or after July 30, 2003, of any rough diamond, from whatever source, is prohibited, unless the rough diamond has been controlled through the Kimberley Process Certification Scheme.

(b) The prohibitions in paragraph (a) of this section regarding the importation into, or exportation from, the United States of any rough diamond not controlled through the Kimberley Process Certification Scheme do not apply to an importation from, or exportation to, any country with respect to which the Secretary of State has granted a waiver pursuant to section 4(b) of the Clean Diamond Trade Act (Pub. L. 108–19) and section 2(a)(i) of Executive Order 13312.

Note to § 592.201. An importation of any rough diamond from, or an exportation of any rough diamond to, a non-Participant is not controlled through the Kimberley Process Certification Scheme and thus is not permitted, except in the following circumstance. The Secretary of State may, pursuant to section 4(b) of the Clean Diamond Trade Act, waive the prohibitions contained in section 4(a) of that Act with respect to a particular country for periods of not more than one year each. The Secretary of State will publish a notice in the Federal Register identifying any country with respect to which a waiver applies and specifying the relevant time period during which the waiver will apply.

§ 592.202 Evasions; attempts; conspiracies.

(a) Notwithstanding the existence of any rights or obligations conferred or imposed by any contract entered into or any license or permit granted prior to July 30, 2003, any transaction by a United States person anywhere, or any transaction that occurs in whole or in part within the United States, on or after the effective date that evades or avoids, or has the purpose of evading or avoiding, or attempts to violate, any of the prohibitions set forth in this part is prohibited.

(b) Notwithstanding the existence of any rights or obligations conferred or imposed by any contract entered into or any license or permit granted prior to July 30, 2003, any conspiracy formed to violate any of the prohibitions of this part is prohibited.

Subpart C—General Definitions

§ 592.301 Controlled through the Kimberley Process Certification Scheme.

(a) Except as otherwise provided in paragraph (b) of this section, the term controlled through the Kimberley Process Certification Scheme refers to the following requirements that apply, as appropriate, to the importation into the United States from a Participant, or to the exportation from the United States to a Participant, of any shipment including any rough diamond:

(1) Kimberley Process Certificate. A shipment of rough diamonds imported...
into, or exported from, the United States must be accompanied by an original Kimberley Process Certificate. The certificate must be presented in connection with an importation or exportation of rough diamonds if demanded by United States customs officials. Pursuant to 31 CFR §§ 501.601 and 501.602, the person identified as the ultimate consignee (see Customs Directive 3550–079A) on the Customs Form 7501 Entry Summary or its electronic equivalent filed with U.S. Customs and Border Protection in connection with an importation of rough diamonds must retain the original Kimberley Process Certificate for a period of at least five years from the date of importation and must make such certificate available for examination upon demand.

(2) Tamper-resistant container. A shipment of rough diamonds imported into, or exported, from the United States must be sealed in a tamper-resistant container;

(3) Notification requirements for importations into the United States. The person identified as the ultimate consignee (see Customs Directive 3550–079A) on the Customs Form 7501 Entry Summary or its electronic equivalent filed with U.S. Customs and Border Protection in connection with an importation of rough diamonds must notify the relevant foreign exporting authority within 15 calendar days of the date the shipment arrived at the U.S. port of entry. The report must refer to the relevant Kimberley Process Certificate by its unique identifying number; specify the number of parcels in the shipment; specify the total carat weight of the shipment; and identify the importer and exporter of the shipment. The report need not be in any particular form and may be submitted electronically or by mail or courier; and

(4) Validation of Kimberley Process Certificate for exportations from the United States. With respect to the exportation of rough diamonds from the United States and regardless of the destination, the U.S. Census Bureau requires the filing of export information through the Automated Export System. Submission of export information through the Automated Export System must be done in advance and must be confirmed by the return of an Internal Transaction Number. The return to the filer of the Internal Transaction Number shall constitute the validation of the Kimberley Process Certificate for an exportation of rough diamonds from the United States to a Participant. The exporter is required to report the Internal Transaction Number on the Kimberley Process Certificate accompanying any exportation from the United States. The Internal Transaction Number is a unique confirmation number generated by the Automated Export System to the filer who provides in a timely manner the complete commodity shipment data when such data have been accepted by the system.

(b) The Secretary of State, consistent with section 3(2)(B) of the Clean Diamond Trade Act (Pub. L. 108–19), may modify the requirements set forth in paragraph (a) of this section upon making a determination that a Participant has established an alternative system of control for rough diamonds that meets substantially the standards, practices, and procedures of the Kimberley Process Certification Scheme.

NOTE 1 TO § 592.301. The Secretary of State will periodically publish in the Federal Register an up-to-date listing of all Participants and their importing and exporting authorities. Where appropriate, such listing also will describe any modification of the requirements set forth in paragraph (a) of this section.

NOTE 2 TO § 592.301. Pursuant to 31 CFR §§ 501.601 and 501.602, the recordkeeping and reporting requirements imposed by § 592.501 apply to all U.S. persons engaged in the importation into, or exportation from, the United States of any shipment of rough diamonds.

NOTE 3 TO § 592.301. Effective November 1, 2004, customs brokers, importers, and filers making entry of a shipment of rough diamonds must either submit through U.S. Customs Automated Broker Interface (ABI) system the unique identifying number of the Kimberley Process Certificate accompanying the shipment or, for non-ABI entries, indicate the certificate number on the Customs Form 7501 Entry Summary at each entry line.

NOTE 4 TO § 592.301. As of May 21, 2008, any diamond, regardless of value, that is described in subheadings 7102.10, 7102.21 or...
§ 592.302 Effective date.

The term effective date refers to the effective date of the applicable prohibitions and directives contained in this part as follows:

(a) With respect to all provisions of this part except for §592.301(a)(3), 12:01 a.m., eastern daylight time, July 30, 2003; and

(b) With respect to §592.301(a)(3), September 23, 2004.

§ 592.303 Entity.

The term entity means a partnership, association, trust, joint venture, corporation, or other organization.

§ 592.304 Exporting authority.

(a) The term exporting authority means one or more entities designated by a Participant from whose territory a shipment of rough diamonds is being exported as having the authority to validate the Kimberley Process Certificate.

(b) The exporting authority for the United States is the U.S. Bureau of the Census.

NOTE TO §592.304. The Secretary of State will periodically publish in the Federal Register an up-to-date listing of the exporting authorities of all Participants.

§ 592.305 Importation into the United States.

The term importation into the United States means the bringing of goods into the United States.

§ 592.306 Importing authority.

(a) The term importing authority means one or more entities designated by a Participant into whose territory a shipment of rough diamonds is being imported as having the authority to enforce the laws and regulations of the Participant regulating imports, including the verification of the Kimberley Process Certificate accompanying the shipment.

(b) The importing authorities for the United States are the U.S. Bureau of Customs and Border Protection or, in the case of a territory or possession of the United States with its own customs administration, analogous officials.

NOTE TO §592.306. The Secretary of State will periodically publish in the Federal Register an up-to-date listing of the importing authorities of all Participants.

§ 592.307 Kimberley Process Certificate.

The term Kimberley Process Certificate means a tamper- and forgery-resistant document that bears the following information in any language, provided that an English translation is incorporated:

(a) The title “Kimberley Process Certificate” and the statement: “The rough diamonds in this shipment have been handled in accordance with the provisions of the Kimberley Process Certification Scheme for rough diamonds”;

(b) Country of origin for shipment of parcels of unmixed (i.e., from the same) origin;

NOTE TO PARAGRAPH (b). A shipment including a parcel of mixed-origin rough diamonds is to be entered into the United States with the Kimberley Process Certificate accompanying the shipment, and the certificate need not indicate the countries of origin of the diamonds. With respect to such a shipment, the country-of-origin field on the certificate must be filled in with asterisks. The shipment must, however, still comply with all other country-of-origin reporting requirements imposed by statute or regulation.

(c) Unique numbering with the Alpha 2 country code, according to ISO 3166-1;

(d) Date of issuance;

(e) Date of expiry;

(f) Name of issuing authority;

(g) Identification of exporter and importer;

(h) Carat weight/mass;

(i) Value in U.S. dollars;

(j) Number of parcels in the shipment;

(k) Relevant Harmonized Commodity Description and Coding System; and

(l) Validation by the exporting authority.
§ 592.308 Participant.
The term Participant means a state, customs territory, or regional economic integration organization identified by the Secretary of State as one for which rough diamonds are controlled through the Kimberley Process Certification Scheme.

NOTE TO § 592.308. The Secretary of State will periodically publish in the Federal Register an up-to-date listing of all Participants.

§ 592.309 Person.
The term person means an individual or entity.

§ 592.310 Rough diamond.
The term rough diamond means any diamond that is unworked or simply sawn, cleaved, or bruted and classifiable under subheading 7102.10, 7102.21, or 7102.31 of the Harmonized Tariff Schedule of the United States.

§ 592.311 United States.
The term United States, when used in the geographic sense, means the several States, the District of Columbia, and any commonwealth, territory, or possession of the United States.

§ 592.312 United States person; U.S. person.
The term United States person or U.S. person means any United States citizen; any alien admitted for permanent residence into the United States; any entity organized under the laws of the United States or any jurisdiction within the United States (including its foreign branches); or any person in the United States.

Subpart D—Interpretations

§ 592.401 Reference to amended sections.
Except as otherwise specified, reference to any provision in this part or chapter or to any other regulation refers to the same as currently amended.

§ 592.402 Effect of amendment.
Unless otherwise specifically provided, any amendment, modification, or revocation of any provision in or appendix to this part or chapter or of any order, regulation, ruling, or instruction issued by or under the direction of the Director of the Office of Foreign Assets Control does not affect any act done or omitted, or any civil or criminal suit or proceeding commenced or pending prior to such amendment, modification, or revocation. All penalties, forfeitures, and liabilities under any such order, regulation, ruling, or instruction continue and may be enforced as if such amendment, modification, or revocation had not been made.

§ 592.403 Transshipment or transit through the United States.
The prohibitions in §592.201 apply to the importation into, or exportation from, the United States, for transshipment or transit, of any rough diamond intended or destined for any country other than the United States, unless the shipment is sealed in a tamper-resistant container, accompanied by a Kimberley Process Certificate, and leaves the United States in the identical state in which it entered. The validation, recordkeeping, and reporting procedures applicable to importations and exportations do not apply in this case.

§ 592.404 Importation into or release from a bonded warehouse or foreign trade zone.
The requirements of the Kimberley Process Certification Scheme apply to all imported shipments of a rough diamond, regardless of whether they are destined for entry into, or withdrawal from, a bonded warehouse or a foreign trade zone of the United States.

Subpart E—Records and Reports

§ 592.501 Records and reports.
For provisions relating to required records and reports, see part 501, subpart C, of this chapter. Recordkeeping and reporting requirements imposed by part 501 of this chapter with respect to the prohibitions contained in this part are considered requirements arising pursuant to this part.
§ 592.602 Annual reports by rough diamond importers and exporters.

(a) Requirement for reports. Reports shall be filed annually, by April 1 of each year, covering the preceding calendar year (January 1–December 31), except the first annual report, covering the period January 1–December 31, 2007, shall be filed by September 1, 2008.

(b) Who must report; reporting period. All persons who import rough diamonds into the United States or export rough diamonds from the United States during the reporting period (January 1–December 31).

(c) What must be reported. The report need not be in any specified format but must include the following information:

(1) The contact information of the U.S. importer or exporter, including name, address, telephone number, fax number, and e-mail address;

(2) Identification of total import and/or export activity for each of the three Harmonized Tariff Schedule classifications of rough diamonds during the reporting year, including:

(A) Total amount of carats of each classification of rough diamonds imported and/or exported; and

(B) Total of all shipments of each classification of rough diamonds imported and/or exported.

(3) Information on stockpiles of rough diamonds, if any, for each of the three Harmonized Tariff Schedule classifications, as of the end of the reporting year, reported in both total carats and approximate total value. For the purposes of this section, stockpiles are defined as the amount of rough diamonds held unsold at the end of the reporting period.

(d) Where to send report. Reports must be filed with the Office of the Special Advisor for Conflict Diamonds, U.S. Department of State via e-mail at USKimberleyProcess@state.gov. For further information, please call that office at 202/647–1713.

(e) Failure to file report. Any importer or exporter who fails to file a required report shall be subject to the penalties set forth in Subpart F of this part.

§ 592.601 Penalties.

(a) Attention is directed to section 8 of the Clean Diamond Trade Act (the “Act”) (Pub. L. 108–19), which provides that:

(1) A civil penalty not to exceed $10,000 per violation may be imposed on any person who violates, or attempts to violate, any order or regulation issued under the Act;

(2) Whoever willfully violates, or willfully attempts to violate, any order or regulation issued under this Act shall, upon conviction, be fined not more than $50,000, or, if a natural person, may be imprisoned for not more than 10 years, or both; and any officer, director, or agent of any corporation who willfully participates in such violation may be punished by a like fine, imprisonment, or both; and

(3) Those customs laws of the United States, both civil and criminal, including those laws relating to seizure and forfeiture, that apply to articles imported in violation of such laws shall apply with respect to any rough diamond imported in violation of the Act.

NOTE TO PARAGRAPH (a). As reflected in paragraphs (a)(1) and (2) of this section, section 8(a) of the Clean Diamond Trade Act (Pub. L. 108–19) establishes penalties with respect to any violation of any regulation issued under the Act. OFAC prepenalty, penalty, and administrative collection procedures relating to such violations are set forth below in §§ 592.602 through 592.605. Section 8(c) of the Act also authorizes the U.S. Bureau of Customs and Border Protection and the U.S. Bureau of Immigration and Customs Enforcement, as appropriate, to enforce the penalty provisions set forth in paragraph (a) of this section and to enforce the laws and regulations governing exports of rough diamonds, including with respect to the validation of the Kimberley Process Certificate by the U.S. Bureau of the Census. The Office of Foreign Assets Control civil penalty procedures set forth below are separate from, and independent of, any penalty procedures that may be followed by the U.S. Bureau of Customs and Border Protection and the U.S. Bureau of Immigration and Customs Enforcement in their exercise of the authorities set forth in section 8(c) of the Clean Diamond Trade Act.

(b) The criminal penalties provided in the Act are subject to increase pursuant to 18 U.S.C. 3571.
(c) Attention is also directed to 18 U.S.C. 1001, which provides that whoever, in any matter within the jurisdiction of the executive, legislative, or judicial branch of the Government of the United States, knowingly and willfully falsifies, conceals, or covers up by any trick, scheme, or device, a material fact, or makes any materially false, fictitious, or fraudulent statement or representation or makes or uses any false writing or document knowing the same to contain any materially false, fictitious, or fraudulent statement or entry shall be fined under title 18, United States Code, or imprisoned not more than five years, or both.

(d) Violations of this part may also be subject to relevant provisions of other applicable laws.

§ 592.602 Prepenalty notice.

(a) When required. If the Director of the Office of Foreign Assets Control has reason to believe that there has occurred a violation of any provision of this part or a violation of the provisions of any regulation or order issued by or pursuant to the direction or authorization of the Secretary of the Treasury pursuant to this part or otherwise under the Clean Diamond Trade Act, and the Director determines that further civil proceedings are warranted, the Director shall notify the alleged violator of the agency’s intent to impose a monetary penalty by issuing a prepenalty notice. The prepenalty notice shall be in writing. The prepenalty notice may be issued whether or not another agency has taken any action with respect to the matter.

(b) Contents of notice—(1) Facts of violation. The prepenalty notice shall describe the violation, specify the laws and regulations allegedly violated, and state the amount of the proposed monetary penalty.

(2) Right to respond. The prepenalty notice also shall inform the respondent of the respondent’s right to make a written presentation within the applicable 30-day period set forth in §592.603 as to why a monetary penalty should not be imposed or why, if imposed, the monetary penalty should be in a lesser amount than proposed.

(c) Informal settlement prior to issuance of prepenalty notice. At any time prior to the issuance of a prepenalty notice, an alleged violator may request in writing that, for a period not to exceed sixty (60) days, the agency withhold issuance of the prepenalty notice for the exclusive purpose of effecting settlement of the agency’s potential civil monetary penalty claims. In the event the Director grants the request, under terms and conditions within his discretion, the Office of Foreign Assets Control will agree to withhold issuance of the prepenalty notice for a period not to exceed 60 days and will enter into settlement negotiations of the potential civil monetary penalty claim.

§ 592.603 Response to prepenalty notice; informal settlement.

(a) Deadline for response. The respondent may submit a response to the prepenalty notice within the applicable 30-day period set forth in this paragraph. The Director of the Office of Foreign Assets Control may grant, at his discretion, an extension of time in which to submit a response to the prepenalty notice. The failure to submit a response within the applicable time period set forth in this paragraph shall be deemed to be a waiver of the right to respond.

(1) Computation of time for response. A response to the prepenalty notice must be postmarked or date-stamped by the U.S. Postal Service (or foreign postal service, if mailed abroad) or courier service provider (if transmitted to the Office of Foreign Assets Control by courier) on or before the 30th day after the postmark date on the envelope in which the prepenalty notice was mailed. If the respondent refused delivery or otherwise avoided receipt of the prepenalty notice, a response must be postmarked or date-stamped on or before the 30th day after the date on the stamped postal receipt maintained at the Office of Foreign Assets Control. If the prepenalty notice was personally delivered to the respondent by a non-U.S. Postal Service agent authorized by the Director, a response must be postmarked or date-stamped on or before the 30th day after the date of delivery.

(2) Extensions of time for response. If a due date falls on a federal holiday or weekend, that due date is extended to
include the following business day. Any other extensions of time will be granted, at the Director’s discretion, only upon the respondent’s specific request to the Office of Foreign Assets Control.

(b) Form and method of response. The response must be submitted in writing and may be handwritten or typed. The response need not be in any particular form. A copy of the written response may be sent by facsimile, but the original also must be sent to the Office of Foreign Assets Control Civil Penalties Division by mail or courier and must be postmarked or date-stamped, in accordance with paragraph (a) of this section.

(c) Contents of response. A written response must contain information sufficient to indicate that it is in response to the prepenalty notice and must include the Office of Foreign Assets Control identification number listed on the prepenalty notice.

(1) A written response must include the respondent’s full name, address, telephone number, and facsimile number, if available, or those of the representative of the respondent.

(2) A written response should either admit or deny each specific violation alleged in the prepenalty notice and also state if the respondent has no knowledge of a particular violation. If the written response fails to address any specific violation alleged in the prepenalty notice, that alleged violation shall be deemed to be admitted.

(3) A written response should include any information in defense, evidence in support of an asserted defense, or other factors that the respondent requests the Office of Foreign Assets Control to consider. Any defense or explanation previously made to the Office of Foreign Assets Control or any other agency must be repeated in the written response. Any defense not raised in the written response will be considered waived. The written response also should set forth the reasons why the respondent believes the penalty should not be imposed or why, if imposed, it should be in a lesser amount than proposed.

(d) Failure to respond. Where the Office of Foreign Assets Control receives no response to a prepenalty notice within the applicable time period set forth in paragraph (a) of this section, a penalty notice generally will be issued, taking into account the mitigating and/or aggravating factors present in the record. If there are no mitigating factors present in the record, or the record contains a preponderance of aggravating factors, the proposed prepenalty amount generally will be assessed as the final penalty.

(e) Informal settlement. In addition to or as an alternative to a written response to a prepenalty notice, the respondent or respondent’s representative may contact the Office of Foreign Assets Control as advised in the prepenalty notice to propose the settlement of allegations contained in the prepenalty notice and related matters. However, the requirements set forth in paragraph (f) of this section as to oral communication by the representative must first be fulfilled. In the event of settlement at the prepenalty stage, the claim proposed in the prepenalty notice will be withdrawn, the respondent will not be required to take a written position on allegations contained in the prepenalty notice, and the Office of Foreign Assets Control will make no final determination as to whether a violation occurred. The amount accepted in settlement of allegations in a prepenalty notice may vary from the civil penalty that might finally be imposed in the event of a formal determination of violation. In the event no settlement is reached, the time limit specified in paragraph (a) of this section for written response to the prepenalty notice will remain in effect unless additional time is granted by the Office of Foreign Assets Control.

(f) Representation. A representative of the respondent may act on behalf of the respondent, but any oral communication with the Office of Foreign Assets Control prior to a written submission regarding the specific allegations contained in the prepenalty notice must be preceded by a written letter of representation, unless the prepenalty notice was served upon the respondent in care of the representative.
and any relevant facts, the Director of the Office of Foreign Assets Control determines that there was no violation by the respondent named in the prepenalty notice, the Director shall notify the respondent in writing of that determination and of the cancellation of the proposed monetary penalty.

(b) Violation. (1) If, after considering any written response to the prepenalty notice, or default in the submission of a written response, and any relevant facts, the Director of the Office of Foreign Assets Control determines that there was a violation by the respondent named in the prepenalty notice, the Director is authorized to issue a written penalty notice to the respondent of the determination of the violation and the imposition of the monetary penalty.

(2) The penalty notice shall inform the respondent that payment or arrangement for installment payment of the assessed penalty must be made within 30 days of the date of mailing of the penalty notice by the Office of Foreign Assets Control.

(3) The penalty notice shall inform the respondent of the requirement to furnish the respondent’s taxpayer identification number pursuant to 31 U.S.C. 7701 and that such number will be used for purposes of collecting and reporting on any delinquent penalty amount.

(4) The issuance of the penalty notice finding a violation and imposing a monetary penalty shall constitute final agency action. The respondent has the right to seek judicial review of that final agency action in federal district court.

§ 592.605 Administrative collection; referral to United States Department of Justice.

In the event that the respondent does not pay the penalty imposed pursuant to this part or make payment arrangements acceptable to the Director of the Office of Foreign Assets Control within 30 days of the date of mailing of the penalty notice, the matter may be referred for administrative collection measures by the Department of the Treasury or to the United States Department of Justice for appropriate action to recover the penalty in a civil suit in a federal district court.

Subpart G—Procedures

§ 592.701 Procedures.

For procedures relating to rulemaking and requests for documents pursuant to the Freedom of Information and Privacy Acts (5 U.S.C. 552 and 552a), see part 501, subpart E, of this chapter.

§ 592.702 Delegation by the Secretary of the Treasury.

Any action that the Secretary of the Treasury is authorized to take pursuant to Executive Order 13312 (FR vol. 68, No. 147, July 31, 2003) and any further Executive orders relating to the Clean Diamond Trade Act (Pub. L. 108–19) may be taken by the Director of the Office of Foreign Assets Control or by any other person to whom the Secretary of the Treasury has delegated authority so to act.

Subpart H—Paperwork Reduction Act

§ 592.801 Paperwork Reduction Act notice.

For approval by the Office of Management and Budget (OMB) under the Paperwork Reduction Act of 1995 (44 U.S.C. 3507) of the information collections relating to the recordkeeping and reporting requirements of §§592.301(a)(1), subpart C, §592.301, subpart E, and 592.603, subpart F, see 501.901 of this chapter. The information collection requirements in §§592.301(a)(3) and (a)(4), subpart C, have been approved by the OMB and assigned control numbers 1505–0198 and 0607–0152, respectively. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid control number assigned by OMB.
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593.601 Records and reports.

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Subpart A—Relation of This Part to Other Laws and Regulations

§ 593.101 Relation of this part to other laws and regulations.

This part is separate from, and independent of, the other parts of this chapter, with the exception of part 501 of this chapter, the recordkeeping and reporting requirements and license application and other procedures of which apply to this part. Actions taken pursuant to part 501 of this chapter with respect to the prohibitions contained in this part are considered actions taken pursuant to this part. Differing foreign policy and national security circumstances may result in differing interpretations of similar language among the parts of this chapter. No license or authorization contained in or
issued pursuant to any other provision of law or regulation authorizes any transaction prohibited by this part. No license contained in or issued pursuant to this part relieves the involved parties from complying with any other applicable laws or regulations.

Subpart B—Prohibitions

§ 593.201 Prohibited transactions involving blocked property.

(a) Except as authorized by regulations, orders, directives, rulings, instructions, licenses or otherwise, and notwithstanding any contracts entered into or any license or permit granted prior to the effective date, property and interests in property that are in the United States, that hereafter come within the United States, or that are or hereafter come within the possession or control of U.S. persons, including their overseas branches, of the following persons are blocked and may not be transferred, paid, exported, withdrawn, or otherwise dealt in:

(1) Any person listed in the Annex to Executive Order 13348 of July 22, 2004 (69 FR 44885, July 27, 2004); and

(2) Any person determined by the Secretary of the Treasury, in consultation with the Secretary of State:

(i) To be or have been an immediate family member of Charles Taylor;

(ii) To have been a senior official of the former Liberian regime headed by Charles Taylor or otherwise to have been or be a close ally or associate of Charles Taylor or the former Liberian regime;

(iii) To have materially assisted, sponsored, or provided financial, material, or technological support for, or goods or services in support of, the unlawful depletion of Liberian resources, the removal of Liberian resources from that country, and the secreting of Liberian funds and property by any person whose property and interests in property are blocked pursuant to this paragraph (a); or

(iv) To be owned or controlled by, or acting or purporting to act for or on behalf of, directly or indirectly, any person whose property and interests in property are blocked pursuant to this paragraph (a).

NOTE TO PARAGRAPH (a) OF §593.201: The names of persons whose property and interests in property are blocked pursuant to paragraph (a) of this section are published on the Office of Foreign Assets Control's Specially Designated Nationals and Blocked Persons List (the “SDN List”), which is accessible via the Office of Foreign Assets Control’s Web site, announced in the Federal Register, and incorporated on an ongoing basis with the identifier [LIBERIA] into Appendix A to 31 CFR chapter V. In addition, section 203 of the International Emergency Economic Powers Act (50 U.S.C. 1701-1706) (“IEEPA”) explicitly authorizes the blocking of property and interests in property of a person or entity during the pendency of an investigation. The names of such persons also are published on the SDN List, announced in the Federal Register, and incorporated on an ongoing basis with the identifier [BPI–LIBERIA] into Appendix A to 31 CFR chapter V. Sections 501.806 and 501.807 of this chapter V describe the procedures to be followed by persons seeking, respectively, the unblocking of funds that they believe were blocked due to mistaken identity, or administrative reconsideration of their listing or designation pursuant to §593.201(a).

(b) The blocking of property and interests in property pursuant to §593.201(a) includes, but is not limited to, the prohibition of the making or receiving by a United States person of any contribution or provision of funds, goods, or services by, to, or for the benefit of a person whose property and interests in property are blocked pursuant to §593.201(a).

(c) Unless otherwise authorized by this part or by a specific license expressly referring to this section, any dealing in any security (or evidence thereof) held within the possession or control of a U.S. person and either registered or inscribed in the name of, or known to be held for the benefit of, or issued by, any person whose property and interests in property are blocked pursuant to §593.201(a) is prohibited. This prohibition includes but is not limited to the transfer (including the transfer on the books of any issuer or agent thereof), disposition, transportation, importation, exportation, or withdrawal of, or the endorsement or guaranty of signatures on, any such security on or after the effective date. This prohibition applies irrespective of the fact that at any time (whether prior to, on, or subsequent to the effective date) the registered or inscribed...
owner of any such security may have or might appear to have assigned, transferred, or otherwise disposed of the security.

§ 593.202 Effect of transfers violating the provisions of this part.

(a) Any transfer after the effective date that is in violation of any provision of this part or of any regulation, order, directive, ruling, instruction, or license issued pursuant to this part, and that involves any property or interest in property blocked pursuant to § 593.201(a), is null and void and shall not be the basis for the assertion or recognition of any interest in or right, remedy, power, or privilege with respect to such property or property interests.

(b) No transfer before the effective date shall be the basis for the assertion or recognition of any right, remedy, power, or privilege with respect to, or any interest in, any property or interest in property blocked pursuant to § 593.201(a), unless the person with whom such property is held or maintained, prior to that date, had written notice of the transfer or by any written evidence had recognized such transfer.

(c) Unless otherwise provided, an appropriate license or other authorization issued by or pursuant to the direction or authorization of the Director of the Office of Foreign Assets Control before, during, or after a transfer shall validate such transfer or make it enforceable to the same extent that it would be valid or enforceable but for the provisions of IEEPA, Executive Order 13348, this part, and any regulation, order, directive, ruling, instruction, or license issued pursuant to this part.

(d) Transfers of property that otherwise would be null and void or unenforceable by virtue of the provisions of this section shall not be deemed to be null and void or unenforceable as to any person with whom such property is or was held or maintained (and as to such person only) in cases in which such person is able to establish to the satisfaction of the Director of the Office of Foreign Assets Control each of the following:

(i) Such transfer did not represent a willful violation of the provisions of this part by the person with whom such property is or was held or maintained;

(ii) The person with whom such property is or was held or maintained did not have reasonable cause to know or suspect, in view of all the facts and circumstances known or available to such person, that such transfer required a license or authorization issued pursuant to this part and was not so licensed or authorized, or, if a license or authorization did purport to cover the transfer, that such license or authorization had been obtained by misrepresentation of a third party or withholding of material facts or was otherwise fraudulently obtained; and

(iii) The person with whom such property is or was held or maintained filed with the Office of Foreign Assets Control a report setting forth in full the circumstances relating to such transfer promptly upon discovery that:

(a) Such transfer was in violation of the provisions of this part or any regulation, ruling, instruction, license, or other direction or authorization issued pursuant to this part;

(b) Such transfer was not licensed or authorized by the Director of the Office of Foreign Assets Control; or

(c) If a license did purport to cover the transfer, such license had been obtained by misrepresentation of a third party or withholding of material facts or was otherwise fraudulently obtained.

Note to paragraph (d) of § 593.202: The filing of a report in accordance with the provisions of paragraph (d)(3) of this section shall not be deemed evidence that the terms of paragraphs (d)(1) and (d)(2) of this section have been satisfied.

(e) Except to the extent otherwise provided by law, unless licensed pursuant to this part, any attachment, judgment, decree, lien, execution, garnishment, or other judicial process is null and void with respect to any property in which, on or since the effective date, there existed an interest of a person whose property and interests in property are blocked pursuant to § 593.201(a).
§ 593.203 Holding of blocked funds in interest-bearing accounts; investment and reinvestment.

(a) Except as provided in paragraph (c) or (d) of this section, or as otherwise directed by the Office of Foreign Assets Control, any U.S. person holding funds, such as currency, bank deposits, or liquidated financial obligations, subject to §593.201(a) shall hold or place such funds in a blocked interest-bearing account located in the United States.

(b)(1) For purposes of this section, the term blocked interest-bearing account means a blocked account:
   (i) In a federally-insured U.S. bank, thrift institution, or credit union, provided the funds are earning interest at rates that are commercially reasonable; or
   (ii) With a broker or dealer registered with the Securities and Exchange Commission under the Securities Exchange Act of 1934 (15 U.S.C. 78a et seq.), provided the funds are invested in a money market fund or in U.S. Treasury bills.

(2) For purposes of this section, a rate is commercially reasonable if it is the rate currently offered to other depositors on deposits or instruments of comparable size and maturity.

(3) Funds held or placed in a blocked account pursuant to this paragraph (b) may not be invested in instruments the maturity of which exceeds 180 days. If interest is credited to a separate blocked account or subaccount, the name of the account party on each account must be the same.

(c) Blocked funds held in instruments the maturity of which exceeds 180 days at the time the funds become subject to §593.201(a) shall continue to be held until maturity in the original instrument, provided any interest, earnings, or other proceeds derived therefrom are paid into a blocked interest-bearing account in accordance with paragraph (b) or (d) of this section.

(d) Blocked funds held in accounts or instruments outside the United States at the time the funds become subject to §593.201(a) may continue to be held in the same type of accounts or instruments, provided the funds earn interest at rates that are commercially reasonable.

(e) This section does not create an affirmative obligation for the holder of blocked tangible property, such as chattels or real estate, or of other blocked property, such as debt or equity securities, to sell or liquidate such property at the time the property becomes subject to §593.201(a). However, the Office of Foreign Assets Control may issue licenses permitting or directing such sales in appropriate cases.

(f) Funds subject to this section may not be held, invested, or reinvested in a manner that provides immediate financial or economic benefit or access to any person whose property and interests in property are blocked pursuant to §593.201(a), nor may their holder cooperate in or facilitate the pledging or other attempted use as collateral of blocked funds or other assets.

§ 593.204 Expenses of maintaining blocked physical property; liquidation of blocked account.

(a) Except as otherwise authorized, and notwithstanding the existence of any rights or obligations conferred or imposed by any international agreement or contract entered into or any license or permit granted prior to the effective date, all expenses incident to the maintenance of physical property blocked pursuant to §593.201(a) shall be the responsibility of the owners or operators of such property, which expenses shall not be met from blocked funds.

(b) Property blocked pursuant to §593.201(a) may, in the discretion of the Director of the Office of Foreign Assets Control, be sold or liquidated and the net proceeds placed in a blocked interest-bearing account in the name of the owner of the property.

§ 593.205 Prohibition on the importation of any round log or timber product originating in Liberia.

Except as otherwise authorized by regulations, orders, directives, rulings, instructions, licenses, or otherwise, and notwithstanding any contract entered into or any license or permit granted prior to the effective date of this section, the importation into the United States, directly or indirectly, of any round log or timber product originating in Liberia is prohibited.
Office of Foreign Assets Control, Treasury § 593.308

NOTE TO § 593.305: See section 593.510, which authorizes transactions related to the importation of any round log or timber product originating in Liberia. This general license has been issued in accordance with United Nations Security Council Resolution 1689 of June 20, 2006.

§ 593.306 Evasions; attempts; conspiracies.

(a) Except as otherwise authorized, and notwithstanding any contract entered into or any license or permit granted prior to the effective date, any transaction by any U.S. person or within the United States on or after the effective date that evades or avoids, has the purpose of evading or avoiding, or attempts to violate any of the prohibitions set forth in this part is prohibited.

(b) Except as otherwise authorized, and notwithstanding any contract entered into or any license or permit granted prior to the effective date, any conspiracy formed to violate the prohibitions set forth in this part is prohibited.

Subpart C—General Definitions

§ 593.301 Blocked account; blocked property.

The terms blocked account and blocked property shall mean any account or property subject to the prohibitions in § 593.201 held in the name of a person whose property and interests in property are blocked pursuant to § 593.201(a), or in which such person has an interest, and with respect to which payments, transfers, exportations, withdrawals, or other dealings may not be made or effected except pursuant to an authorization or license from the Office of Foreign Assets Control expressly authorizing such action.

§ 593.302 Effective date.

The term effective date refers to the effective date of the applicable prohibitions and directives contained in this part as follows:

(a) With respect to a person whose property and interests in property are blocked pursuant to § 593.201(a)(1), or with respect to the prohibitions set forth at §§ 593.205, 12:01 a.m. eastern daylight time, July 23, 2004;

(b) With respect to a person whose property and interests in property are blocked pursuant to § 593.201(a)(2), the earlier of the date of actual or constructive notice of such person’s designation.

§ 593.303 Entity.

The term entity means a partnership, association, trust, joint venture, corporation, group, subgroup, or other organization.

§ 593.304 Interest.

Except as otherwise provided in this part, the term interest, when used with respect to property (e.g., “an interest in property”), means an interest of any nature whatsoever, direct or indirect.

§ 593.305 Licenses; general and specific.

(a) Except as otherwise specified, the term license means any license or authorization contained in or issued pursuant to this part.

(b) The term general license means any license or authorization the terms of which are set forth in subpart E of this part.

(c) The term specific license means any license or authorization not set forth in subpart E of this part but issued pursuant to this part.

NOTE TO § 593.305: See § 501.801 of this chapter on licensing procedures.

§ 593.306 Originating in Liberia.

The term originating in Liberia means:

(a) Any product determined to be a good of Liberian origin pursuant to the rules of origin of U.S. Customs and Border Protection; or

(b) Any product that has entered into Liberian commerce.

§ 593.307 Person.

The term person means an individual or entity.

§ 593.308 Property; property interest.

The terms property and property interest include, but are not limited to, money, checks, drafts, bullion, bank deposits, savings accounts, debts, indebtedness, obligations, notes, guarantees, debentures, stocks, bonds, coupons, any other financial instruments,
§ 593.309 Round log or timber product.

The term round log or timber product means any product classifiable in Chapter 44 of the Harmonized Tariff Schedule of the United States.

§ 593.310 Transfer.

The term transfer means any actual or purported act or transaction, whether or not evidenced by writing, and whether or not done or performed within the United States, the purpose, intent, or effect of which is to create, surrender, release, convey, transfer, or alter, directly or indirectly, any right, remedy, power, privilege, or interest with respect to any property and, without limitation upon the foregoing, shall include the making, execution, or delivery of any assignment, power, conveyance, check, declaration, deed, deed of trust, power of attorney, power of appointment, bill of sale, mortgage, receipt, agreement, contract, certificate, gift, sale, affidavit, or statement; the making of any payment; the setting off of any obligation or credit; the appointment of any agent, trustee, or fiduciary; the creation or transfer of any lien; the issuance, docketing, filing, or levy of or under any judgment, decree, attachment, injunction, execution, or other judicial or administrative process or order, or the service of any garnishment; the acquisition of any interest of any nature whatsoever by reason of a judgment or decree of any foreign country; the fulfillment of any condition; the exercise of any power of appointment, power of attorney, or other power; or the acquisition, disposition, transportation, importation, exportation, or withdrawal of any security.

§ 593.311 United States.

The term United States means the United States, its territories and possessions, and all areas under the jurisdiction or authority thereof.

§ 593.312 U.S. financial institution.

The term U.S. financial institution means any U.S. entity (including its foreign branches) that is engaged in the business of accepting deposits, making, granting, transferring, holding, or brokering loans or credits, or purchasing or selling foreign exchange, securities, commodity futures or options, or procuring purchasers and sellers thereof, as principal or agent; including but not limited to, depository institutions, banks, savings banks, trust companies, securities brokers and dealers, commodity futures and options brokers and dealers, forward contract and foreign exchange merchants, securities and commodities exchanges, clearing corporations, investment companies, employee benefit plans, and U.S. holding companies, U.S. affiliates, or U.S. subsidiaries of any of the foregoing. This term includes those branches, offices and agencies of foreign financial institutions that are located in the United States, but not such institutions' foreign branches, offices, or agencies.

§ 593.313 United States person; U.S. person.

The term United States person or U.S. person means any United States citizen, permanent resident alien, entity organized under the laws of the United States or any jurisdiction within the United States (including foreign branches), or any person in the United States.
§ 593.401 Reference to amended sections.
Except as otherwise specified, reference to any provision in or appendix to this part or chapter or to any regulation, ruling, order, instruction, direction, or license issued pursuant to this part refers to the same as currently amended.

§ 593.402 Effect of amendment.
Unless otherwise specifically provided, any amendment, modification, or revocation of any provision in or appendix to this part or chapter or of any order, regulation, ruling, instruction, or license issued by or under the direction of the Director of the Office of Foreign Assets Control does not affect any act done or omitted, or any civil or criminal suit or proceeding commenced or pending prior to such amendment, modification, or revocation. All penalties, forfeitures, and liabilities under any such order, regulation, ruling, instruction, or license continue and may be enforced as if such amendment, modification, or revocation had not been made.

§ 593.403 Termination and acquisition of an interest in blocked property.
(a) Whenever a transaction licensed or authorized by or pursuant to this part results in the transfer of blocked property (including any property interest) away from a person, such property shall no longer be deemed to be property blocked pursuant to § 593.201(a), unless there exists in the property another interest that is blocked pursuant to § 593.201(a) or any other part of this chapter, the transfer of which has not been effected pursuant to license or other authorization.

(b) Unless otherwise specifically provided in a license or authorization issued pursuant to this part, if property (including any property interest) is transferred or attempted to be transferred to a person whose property and interests in property are blocked pursuant to § 593.201(a), such property shall be deemed to be property in which that person has an interest and therefore blocked.

§ 593.404 Transactions ordinarily incident to a licensed transaction.
Any transaction ordinarily incident to a licensed transaction and necessary to give effect thereto is also authorized, except:

(a) An ordinarily incident transaction, not explicitly authorized within the terms of the license, by or with a person whose property and interests in property are blocked pursuant to § 593.201(a); or

(b) An ordinarily incident transaction, not explicitly authorized within the terms of the license, involving a debit to a blocked account or a transfer of blocked property.

§ 593.405 Provision of services.
(a) The prohibitions on transactions involving blocked property contained in § 593.201 apply to services performed in the United States or by U.S. persons, wherever located, including by an overseas branch of an entity located in the United States:

(1) On behalf of or for the benefit of a person whose property and interests in property are blocked pursuant to § 593.201(a); or

(2) With respect to property interests subject to § 593.201.

(b) Example. U.S. persons may not, except as authorized by or pursuant to this part, provide legal, accounting, financial, brokering, freight forwarding, transportation, public relations, or other services to a person whose property and interests in property are blocked pursuant to § 593.201.

NOTE TO § 593.405. See §§ 593.507 and 593.508, respectively, on licensing policy with regard to the provision of certain legal or medical services.

§ 593.406 Offshore transactions.
The prohibitions in § 593.201 on transactions involving blocked property apply to transactions by any U.S. person in a location outside the United States with respect to property held in the name of a person whose property and interests in property are blocked pursuant to § 593.201(a), or property in which a person whose property and interests in property are blocked pursuant to § 593.201(a) has or has had an interest since the effective date.
§ 593.407 Payments from blocked accounts to satisfy obligations prohibited.

Pursuant to § 593.201, no debits may be made to a blocked account to pay obligations to U.S. persons or other persons, except as authorized by or pursuant to this part.

§ 593.408 Charitable contributions.

Unless otherwise specifically authorized by the Office of Foreign Assets Control by or pursuant to this part, no charitable contribution or donation of funds, goods, services, or technology, including those to relieve human suffering, such as food, clothing or medicine, may be made by, to, or for the benefit of a person whose property or interests in property are blocked pursuant to Sec. 593.201(a). For purposes of this part, a contribution or donation is made by, to, or in the name of such a person; if made by, to, or in the name of an entity or individual acting for or on behalf of, or owned or controlled by, such a person; or if made in an attempt to violate, to evade, or to avoid the bar on the provision of contributions or donations by, to, or for such a person.

§ 593.409 Credit extended and cards issued by U.S. financial institutions.

The prohibition in § 593.201 on dealing in property subject to that section prohibits U.S. financial institutions from performing under any existing credit agreements, including, but not limited to, charge cards, debit cards, or other credit facilities issued by a U.S. financial institution to a person whose property and interests in property are blocked pursuant to § 593.201(a).

§ 593.410 Setoffs prohibited.

A setoff against blocked property (including a blocked account), whether by a U.S. bank or other U.S. person, is a prohibited transfer under § 593.201 if effected after the effective date.

§ 593.411 Importation into the United States.

With respect to the prohibitions set forth in § 593.205, the term "importation into the United States generally means the bringing of any such products into the United States. In the case of round logs or timber products originating in Liberia being transported by vessel, "importation into the United States means the bringing of any such products into the United States with the intent to unlade. See also § 593.413 and § 593.510.

§ 593.412 Release of any round log or timber product originating in Liberia from a bonded warehouse or foreign trade zone.

(a) The prohibitions in § 593.205 apply to importation into a bonded warehouse or a foreign trade zone in the United States.

(b) Section 593.205 does not prohibit the release from a bonded warehouse or foreign trade zone of any round log or timber product originating in Liberia imported into a bonded warehouse or foreign trade zone either prior to the effective date or in a transaction authorized pursuant to this part on or after the effective date.

(c) Notwithstanding paragraph (b) of this section, any round log or timber product originating in Liberia in which persons whose property and interests in property are blocked pursuant to § 593.201(a) have an interest may not be released unless authorized by the Office of Foreign Assets Control.

NOTE TO § 593.412. See § 593.510.

§ 593.413 Transshipment or transit through the United States prohibited.

Except as otherwise specified:

(a) The prohibitions in § 593.205 apply to the importation into the United States, for transshipment or transit to third countries, of any round log or timber product originating in Liberia.

(b) In the case of any round log or timber product originating in Liberia, the prohibitions in § 593.205 apply to the unlading in the United States and the intent to unlade in the United States of such products intended or destined for third countries.

NOTE TO § 593.413. See § 593.510.
Subpart E—Licenses, Authorizations and Statements of Licensing Policy

§ 593.501 General and specific licensing procedures.

For provisions relating to licensing procedures, see part 501, subpart E of this chapter. Licensing actions taken pursuant to part 501 of this chapter with respect to the prohibitions contained in this part are considered actions taken pursuant to this part.

§ 593.502 Effect of license or authorization.

(a) No license or other authorization contained in this part, or otherwise issued by or under the direction of the Director of the Office of Foreign Assets Control, authorizes or validates any transaction effected prior to the issuance of such license or other authorization, unless specifically provided in such license or authorization.

(b) No regulation, ruling, instruction, or license authorizes any transaction prohibited under this part unless the regulation, ruling, instruction, or license is issued by the Office of Foreign Assets Control and specifically refers to this part. A transfer of funds or credit by a U.S. financial institution between blocked accounts in its branches or offices is authorized, provided that no transfer is made from an account within the United States to an account held outside the United States, and further provided that a transfer from a blocked account may be made only to another blocked account held in the same name.

Note to § 593.504: Please refer to § 501.603 of this chapter for mandatory reporting requirements regarding financial transfers. See also § 593.203 concerning the obligation to hold blocked funds in interest-bearing accounts.

§ 593.505 Entries in certain accounts for normal service charges authorized.

(a) A U.S. financial institution is authorized to debit any blocked account held at that financial institution in payment or reimbursement for normal service charges owed it by the owner of that blocked account.

(b) As used in this section, the term normal service charges shall include charges in payment or reimbursement for interest due; cable, telegraph, internet, or telephone charges; postage costs; custody fees; small adjustment charges to correct bookkeeping errors; and, but not by way of limitation, minimum balance charges, notary and protest fees, and charges for reference books, photocopies, credit reports, transcripts of statements, registered
§ 593.506 Investment and reinvestment of certain funds.

Subject to the requirements of § 593.203, U.S. financial institutions are authorized to invest and reinvest assets blocked pursuant to § 593.201, subject to the following conditions:

(a) The assets representing such investments and reinvestments are credited to a blocked account or subaccount which is held in the same name at the same U.S. financial institution, or within the possession or control of a U.S. person, but funds shall not be transferred outside the United States for this purpose;

(b) The proceeds of such investments and reinvestments shall not be credited to a blocked account or subaccount under any name or designation that differs from the name or designation of the specific blocked account or subaccount in which such funds or securities were held; and

(c) No immediate financial or economic benefit accrues (e.g., through pledging or other use) to a person whose property and interests in property are blocked pursuant to § 593.201(a).

§ 593.507 Provision of certain legal services authorized.

(a) The provision of the following legal services to or on behalf of persons whose property and interests in property are blocked pursuant to § 593.201(a) is authorized, provided that all receipts of payment of professional fees and reimbursement of incurred expenses must be specifically licensed:

1. Provision of legal advice and counseling on the requirements of and compliance with the laws of any jurisdiction within the United States, provided that such advice and counseling are not provided to facilitate transactions in violation of this part;

2. Representation of persons when named as defendants in or otherwise made parties to domestic U.S. legal, arbitration, or administrative proceedings;

3. Initiation and conduct of domestic U.S. legal, arbitration, or administrative proceedings in defense of property interests subject to U.S. jurisdiction;

4. Representation of persons before any Federal or State agency with respect to the imposition, administration, or enforcement of U.S. sanctions against such persons; and

5. Provision of legal services in any other context in which prevailing U.S. law requires access to legal counsel at public expense.

(b) The provision of any other legal services to persons whose property and interests in property are blocked pursuant to § 593.201(a), not otherwise authorized in this part, requires the issuance of a specific license.

(c) Entry into a settlement agreement affecting property and interests in property or the enforcement of any lien, judgment, arbitral award, decree, or other order through execution, garnishment, or other judicial process purporting to transfer or otherwise alter or affect property and interests in property blocked pursuant to § 593.201(a) is prohibited unless specifically licensed in accordance with § 593.202(e).

§ 593.508 Authorization of emergency medical services.

The provision of nonscheduled emergency medical services in the United States to persons whose property and interests in property are blocked pursuant to § 593.201(a) is authorized, provided that all receipt of payment for such services must be specifically licensed.

§ 593.509 Transactions related to mail authorized.

All transactions by U.S. persons, including payment and transfers to common carriers, incident to the receipt or transmission of mail between a U.S. person and a person whose property and interests in property are blocked pursuant to § 593.201(a) are authorized, provided the mail is limited to personal communications not involving a transfer of anything of value and not exceeding 12 ounces in weight.
§ 593.510 Transactions related to the importation of any round log or timber product originating in Liberia authorized.

Except as otherwise prohibited by § 593.201, all transactions that are prohibited by § 593.205 with respect to the importation into the United States of any round log or timber product originating in Liberia are authorized.

Subpart F—Reports

§ 593.601 Records and reports.

For provisions relating to required records and reports, see part 501, subpart C, of this chapter. Recordkeeping and reporting requirements imposed by part 501 of this chapter with respect to the prohibitions contained in this part are considered requirements arising pursuant to this part.

Subpart G—Penalties

§ 593.701 Penalties.

(a) Attention is directed to section 206 of the International Emergency Economic Powers Act (IEEPA) (50 U.S.C. 1705), which is applicable to violations of the provisions of any license, ruling, regulation, order, direction, or instruction issued by or pursuant to the direction or authorization of the Secretary of the Treasury pursuant to this part or otherwise under IEEPA.

(1) A civil penalty not to exceed the amount set forth in Section 206 of the Act may be imposed on any person who violates, attempts to violate, conspires to violate, or causes a violation of any license, order, regulation, or prohibition issued under the Act.

NOTE TO PARAGRAPH (a)(1) OF § 593.701: As of June 10, 2008, the Act provides for a maximum civil penalty not to exceed the greater of $250,000 or an amount that is twice the amount of the transaction that is the basis of the violation with respect to which the penalty is imposed.

(2) A person who willfully commits, willfully attempts to commit, or willfully conspires to commit, or aids or abets in the commission of a violation of any license, order, regulation, or prohibition shall, upon conviction, be fined not more than $1,000,000, or if a natural person, may be imprisoned for not more than 20 years, or both.

(b) Adjustments to penalty amounts. (1) The civil penalties provided in the Act are subject to adjustment pursuant to the Federal Civil Penalties Inflation Adjustment Act of 1990 (Pub. L. 101–410, as amended, 28 U.S.C. 2461 note).

(2) The criminal penalties provided in the Act are subject to adjustment pursuant to 18 U.S.C. 3571.

(c) Violations involving transactions described at section 203(b)(1), (3–4) of IEEPA (50 U.S.C. 1702(b)(1), (3–4)) shall be subject only to the penalties set forth in paragraph (b) of this section.


(2) The criminal penalties provided in IEEPA and UNPA are subject to increase pursuant to 18 U.S.C. 3571.

(e) Attention is also directed to 18 U.S.C. 1001, which provides that whoever, in any matter within the jurisdiction of the executive, legislative, or judicial branch of the United States, knowingly and willfully falsifies, conceals or covers up by any trick, scheme, or device a material fact, or makes any materially false, fictitious or fraudulent statement or representation or makes or uses any false writing or document knowing the same to contain any materially false, fictitious or fraudulent statement or entry, shall be fined under title 18, United States Code, or imprisoned not more than five years, or both.

(f) Violations of this part may also be subject to relevant provisions of other applicable laws.

[72 FR 28856, May 23, 2007, as amended at 73 FR 32655, June 10, 2008]

§ 593.702 Prepenalty notice.

(a) When required. If the Director of the Office of Foreign Assets Control has reason to believe that there has occurred a violation of any provision of this part or a violation of the provisions of any license, ruling, regulation, order, direction, or instruction issued by or pursuant to the direction or authorization of the Secretary of the
§ 593.703 Response to prepenalty notice; informal settlement.

(a) Deadline for response. The respondent may submit a response to the prepenalty notice within the applicable 30-day period set forth in this paragraph. The Director may grant, at the Director’s discretion, an extension of time in which to submit a response to the prepenalty notice. The failure to submit a response within the applicable time period set forth in this para-

(b) Form and method of response. The response need not be in any particular form, but it must be typewritten and signed by the respondent or a representative thereof. A copy of the written response may be sent by facsimile, but the original also must be sent to the Office of Foreign Assets Control by mail or courier and must be postmarked or date-stamped, in accordance with paragraph (a) of this section.

(c) Contents of response. A written response must contain information sufficient to indicate that it is in response to the prepenalty notice and must identify the Office of Foreign Assets Control identification number listed on the prepenalty notice.

(1) A written response must include the respondent’s full name, address, telephone number, and facsimile number, if available, or those of the representative of the respondent.

(2) A written response should either admit or deny each specific violation alleged in the prepenalty notice and also state if the respondent has no knowledge of a particular violation. If the written response fails to address any specific violation alleged in the
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prepenalty notice, that alleged violation shall be deemed to be admitted.  
(3) A written response should include any information in defense, evidence in support of an asserted defense, or other factors that the respondent requests the Office of Foreign Assets Control to consider. Any defense or explanation previously made to the Office of Foreign Assets Control or any other agency must be repeated in the written response. Any defense not raised in the written response will be considered waived. The written response also should set forth the reasons why the respondent believes the penalty should not be imposed or why, if imposed, it should be in a lesser amount than proposed.

(d) Failure to respond. If the Office of Foreign Assets Control receives no response to a prepenalty notice within the applicable time period set forth in paragraph (a) of this section, a penalty notice generally will be issued, taking into account the mitigating and/or aggravating factors present in the record. If there are no mitigating factors present in the record, or the record contains a preponderance of aggravating factors, the proposed prepenalty amount generally will be assessed as the final penalty.

(e) Informal settlement. In addition to or as an alternative to a written response to a prepenalty notice, the respondent or respondent’s representative may contact the Office of Foreign Assets Control’s Civil Penalties Division as advised in the prepenalty notice to propose the settlement of allegations contained in the prepenalty notice and related matters. However, the requirements set forth in paragraph (g) of this section as to oral communication by the representative must first be fulfilled. In the event of settlement at the prepenalty stage, the claim proposed in the prepenalty notice will be withdrawn, the respondent will not be required to take a written position on allegations contained in the prepenalty notice, and the Office of Foreign Assets Control will make no final determination as to whether a violation occurred. The amount accepted in settlement of allegations in a prepenalty notice may vary from the civil penalty that might finally be imposed in the event of a formal determination of violation. In the event no settlement is reached, the time limit specified in paragraph (a) of this section for written response to the prepenalty notice will remain in effect unless additional time is granted by the Office of Foreign Assets Control.

(f) Guidelines. Guidelines for the imposition or settlement of civil penalties by the Office of Foreign Assets Control are available on OFAC’s Web site (http://www.treas.gov/ofac).

(g) Representation. A representative of the respondent may act on behalf of the respondent, but any oral communication with the Office of Foreign Assets Control prior to a written submission regarding the specific allegations contained in the prepenalty notice must be preceded by a written letter of representation, unless the prepenalty notice was served upon the respondent in care of the representative.

§ 593.704 Penalty imposition or withdrawal.

(a) No violation. If, after considering any response to the prepenalty notice and any relevant facts, the Director of the Office of Foreign Assets Control determines that there was no violation by the respondent named in the prepenalty notice, the Director shall notify the respondent in writing of that determination and of the cancellation of the proposed monetary penalty.

(b) Violation. (1) If, after considering any written response to the prepenalty notice, or default in the submission of a written response, and any relevant facts, the Director of the Office of Foreign Assets Control determines that there was a violation by the respondent named in the prepenalty notice, the Director is authorized to issue a written penalty notice to the respondent of the determination of the violation and the imposition of the monetary penalty.

(2) The penalty notice shall inform the respondent that payment or arrangement for installment payment of the assessed penalty must be made within 30 days of the date of mailing of the penalty notice by the Office of Foreign Assets Control.

(3) The penalty notice shall inform the respondent of the requirement to
furnish the respondent’s taxpayer identification number pursuant to 31 U.S.C. 7701 and that such number will be used for purposes of collecting and reporting on any delinquent penalty amount.

(4) The issuance of the penalty notice finding a violation and imposing a monetary penalty shall constitute final agency action. The respondent has the right to seek judicial review of that final agency action in Federal district court.

§ 593.705 Administrative collection; referral to United States Department of Justice.

In the event that the respondent does not pay the penalty imposed pursuant to this part or make payment arrangements acceptable to the Director of the Office of Foreign Assets Control within 30 days of the date of mailing of the penalty notice, the matter may be referred for administrative collection measures by the Department of the Treasury or to the United States Department of Justice for appropriate action to recover the penalty in a civil suit in a Federal district court.

Subpart H—Procedures

§ 593.801 Procedures.

For license application procedures and procedures relating to amendments, modifications, or revocations of licenses; administrative decisions; rulemaking; and requests for documents pursuant to the Freedom of Information and Privacy Acts (5 U.S.C. 552 and 552a), see part 501, subpart E, of this chapter.

§ 593.802 Delegation by the Secretary of the Treasury.

Any action that the Secretary of the Treasury is authorized to take pursuant to Executive Order 13348 of July 22, 2004 (69 FR 44885, July 27, 2004), and any further Executive orders relating to the national emergency declared therein, may be taken by the Director of the Office of Foreign Assets Control or by any other person to whom the Secretary of the Treasury has delegated authority so to act.
Subpart A—Relation of This Part to Other Laws and Regulations

§ 594.101 Relation of this part to other laws and regulations.

This part is separate from, and independent of, the other parts of this chapter, with the exception of part 501 of this chapter, the recordkeeping and reporting requirements and license application and other procedures of which apply to this part. Actions taken pursuant to part 501 of this chapter with respect to the prohibitions contained in this part are considered actions taken pursuant to this part. Differing foreign policy and national security circumstances may result in differing interpretations of similar language among the parts of this chapter. No license or authorization contained in or issued pursuant to those other parts authorizes any transaction prohibited by this part. No license or authorization contained in or issued pursuant to any other provision of law or regulation authorizes any transaction prohibited by this part. No license or authorization contained in or issued pursuant to this part relieves the involved parties from complying with any other applicable laws or regulations.
Subpart B—Prohibitions

§594.201  Prohibited transactions involving blocked property.

(a) Except as authorized by statutes, regulations, orders, directives, rulings, instructions, licenses or otherwise, and notwithstanding any contracts entered into or any license or permit granted prior to the effective date, property and interests in property of the following persons that are in the United States, that hereafter come within the United States, or that hereafter come within the possession or control of U.S. persons, including their overseas branches, are blocked and may not be transferred, paid, exported, withdrawn or otherwise dealt in:

(1) Foreign persons listed in the Annex to Executive Order 13224 of September 23, 2001, as may be amended;

(2) Foreign persons determined by the Secretary of State, in consultation with the Secretary of the Treasury, the Secretary of Homeland Security and the Attorney General, to have committed, or to pose a significant risk of committing, acts of terrorism that threaten the security of U.S. nationals or the national security, foreign policy, or economy of the United States;

(3) Persons determined by the Secretary of the Treasury, in consultation with the Secretary of State, the Secretary of Homeland Security and the Attorney General, to be owned or controlled by, or to act for or on behalf of, any person whose property or interests in property are blocked pursuant to paragraphs (a)(1), (a)(2), (a)(3), or (a)(4)(i) of this section; or

(4) Except as provided in section 5 of Executive Order 13224, any person determined by the Secretary of the Treasury, in consultation with the Secretary of State, the Secretary of Homeland Security and the Attorney General:

(i) To assist in, sponsor, or provide financial, material, or technological support for, or financial or other services to or in support of:

(A) Acts of terrorism that threaten the security of U.S. nationals or the national security, foreign policy, or economy of the United States, or

(B) Any person whose property or interests in property are blocked pursuant to paragraph (a) of this section; or

(ii) To be otherwise associated with any person whose property or interests in property are blocked pursuant to paragraphs (a)(1), (a)(2), (a)(3), or (a)(4)(i) of this section.

NOTE 1 TO PARAGRAPH (a): Section 5 of Executive Order 13224, as amended, provides that, with respect to those persons designated pursuant to paragraph (a)(4) of this section, the Secretary of the Treasury, in the exercise of his discretion and in consultation with the Secretary of State, the Secretary of Homeland Security and the Attorney General, may take such other actions than the complete blocking of property or interests in property as the President is authorized to take under the International Emergency Economic Powers Act and the United Nations Participation Act if the Secretary of the Treasury, in consultation with the Secretary of State, the Secretary of Homeland Security and the Attorney General, deems such other actions to be consistent with the national interests of the United States, considering such factors as he deems appropriate.

NOTE 2 TO PARAGRAPH (a): The names of persons whose property or interests in property are blocked pursuant to §594.201(a) are published on OFAC’s website, announced in the FEDERAL REGISTER and incorporated on an ongoing basis with the identifier [SDGT] in appendix A to 31 CFR chapter V.

NOTE 3 TO PARAGRAPH (a): Section 501.807 of this chapter V sets forth the procedures to be followed by persons seeking administrative reconsideration of their designation pursuant to §594.201(a) or who wish to assert that the circumstances resulting in designation no longer apply. Similarly, when a transaction results in the blocking of funds at a financial institution pursuant to this section and a party to the transaction believes the funds to have been blocked due to mistaken identity, that party may seek to have such funds unblocked pursuant to the administrative procedures set forth in §501.806 of this chapter.

(b) Unless otherwise authorized by this part or by a specific license expressly referring to this section, any dealing in any security (or evidence thereof) held within the possession or control of a U.S. person and either registered or inscribed in the name of or known to be held for the benefit of any person whose property or interests in property are blocked pursuant to §594.201(a) is prohibited. This prohibition includes but is not limited to the...
transfer (including the transfer on the books of any issuer or agent thereof), disposition, transportation, importation, exportation, or withdrawal of any such security or the endorsement or guaranty of signatures on any such security. This prohibition applies irrespective of the fact that at any time (whether prior to, on, or subsequent to the effective date) the registered or inscribed owner of any such security may have or might appear to have assigned, transferred, or otherwise disposed of the security.

NOTE 1 TO §594.201: Section 106 of the USA PATRIOT Act of 2001 (Pub. L. 107–56, Oct. 26, 2001) amended section 203 of the International Emergency Economic Powers Act (50 U.S.C. 1702) to authorize explicitly the blocking of property and interests in property of a person or entity during the pendency of an investigation. The name of any person or entity whose property or interests in property are blocked pursuant to this authority appears on the Office of Foreign Assets Control’s (OFAC) blocked persons list with the descriptor "[BPI-PA]." The scope of the property or interests in property blocked during the pendency of an investigation may be more limited than the scope of the blocking set forth in §594.201(a). Inquiries regarding the scope of any such blocking should be directed to OFAC’s Compliance Division at 202-622-2490.

NOTE 2 TO §594.201. The prohibitions set forth in this part are separate from and in addition to other parts of 31 CFR chapter V, including but not limited to the Terrorism Sanctions Regulations (part 586), the Terrorism List Government Sanctions Regulations (part 596), and the Foreign Terrorist Organizations Sanctions Regulations (part 597). The prohibitions set forth in this part also are separate and apart from the criminal prohibition, set forth at 18 U.S.C. 2339B, against providing material support or resources to foreign terrorist organizations designated pursuant to section 219 of the Immigration and Nationality Act, as amended.

§594.202 Effect of transfers violating the provisions of this part.

(a) Any transfer after the effective date that is in violation of any provision of this part or of any regulation, order, directive, ruling, instruction, or license issued pursuant to this part, and that involves any property or interest in property blocked pursuant to §594.201(a), is null and void and shall not be the basis for the assertion or recognition of any interest in or right, remedy, power, or privilege with respect to such property or property interests.

(b) No transfer before the effective date shall be the basis for the assertion or recognition of any right, remedy, power, or privilege with respect to, or any interest in, any property or interest in property blocked pursuant to §594.201(a), unless the person with whom such property is held or maintained, prior to that date, had written notice of the transfer or by any written evidence had recognized such transfer.

(c) Unless otherwise provided, an appropriate license or other authorization issued by or pursuant to the direction or authorization of the Director of the Office of Foreign Assets Control before, during, or after a transfer shall validate such transfer or make it enforceable to the same extent that it would be valid or enforceable but for the provisions of the International Emergency Economic Powers Act, this part, and any regulation, order, directive, ruling, instruction, or license issued pursuant to this part.

(d) Transfers of property that otherwise would be null and void or unenforceable by virtue of the provisions of this section shall not be deemed to be null and void or unenforceable as to any person with whom such property was held or maintained (and as to such person only) in cases in which such person is able to establish to the satisfaction of the Director of the Office of Foreign Assets Control each of the following:

(1) Such transfer did not represent a willful violation of the provisions of this part by the person with whom such property was held or maintained;

(2) The person with whom such property was held or maintained did not have reasonable cause to know or suspect, in view of all the facts and circumstances known or available to such person, that such transfer required a license or authorization issued pursuant to this part and was not so licensed or authorized, or, if a license or authorization did purport to cover the transfer, that such license or authorization had been obtained by misrepresentation of a third party or withholding of

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material facts or was otherwise fraudulently obtained; and
(3) The person with whom such property was held or maintained filed with the Office of Foreign Assets Control a report setting forth in full the circumstances relating to such transfer promptly upon discovery that:
   (i) Such transfer was in violation of the provisions of this part or any regulation, ruling, instruction, license, or other direction or authorization issued pursuant to this part;
   (ii) Such transfer was not licensed or authorized by the Director of the Office of Foreign Assets Control; or
   (iii) If a license did purport to cover the transfer, such license had been obtained by misrepresentation of a third party or withholding of material facts or was otherwise fraudulently obtained.

NOTE TO PARAGRAPH (d). The filing of a report in accordance with the provisions of paragraph (d)(3) of this section shall not be deemed evidence that the terms of paragraphs (d)(1) and (d)(2) of this section have been satisfied.

(e) Except to the extent otherwise provided by law or unless licensed pursuant to this part, any attachment, judgment, decree, lien, execution, garnishment, or other judicial process is null and void with respect to any property in which on or since the effective date there existed an interest of a person whose property or interests in property are blocked pursuant to § 594.201(a).

§ 594.203 Holding of funds in interest-bearing accounts; investment and reinvestment.

(a) Except as provided in paragraph (c) or (d) of this section, or as otherwise directed by the Office of Foreign Assets Control, any U.S. person holding funds, such as currency, bank deposits, or liquidated financial obligations, subject to § 594.201(a) shall hold or place such funds in a blocked interest-bearing account located in the United States.

(b)(1) For purposes of this section, the term blocked interest-bearing account means a blocked account:

(i) In a federally-insured U.S. bank, thrift institution, or credit union, provided the funds are earning interest at rates that are commercially reasonable; or
(ii) With a broker or dealer registered with the Securities and Exchange Commission under the Securities Exchange Act of 1934, provided the funds are invested in a money market fund or in U.S. Treasury bills.
(2) For purposes of this section, a rate is commercially reasonable if it is the rate currently offered to other depositors on deposits or instruments of comparable size and maturity.
(3) Funds held or placed in a blocked account pursuant to this paragraph (b) may not be invested in instruments the maturity of which exceeds 180 days. If interest is credited to a separate blocked account or subaccount, the name of the account party on each account must be the same.

(c) Blocked funds held in instruments the maturity of which exceeds 180 days at the time the funds become subject to § 594.201(a) may continue to be held until maturity in the original instrument, provided any interest, earnings, or other proceeds derived therefrom are paid into a blocked interest-bearing account in accordance with paragraph (b) or (d) of this section.

(d) Blocked funds held in accounts or instruments outside the United States at the time the funds become subject to § 594.201(a) may continue to be held in the same type of accounts or instruments, provided the funds earn interest at rates that are commercially reasonable.

(e) This section does not create an affirmative obligation for the holder of blocked tangible property, such as chattels or real estate, or of other blocked property, such as debt or equity securities, to sell or liquidate such property at the time the property becomes subject to § 594.201(a). However, the Office of Foreign Assets Control may issue licenses permitting or directing such sales or liquidation in appropriate cases.

(f) Funds subject to this section may not be held, invested, or reinvested in a manner that provides immediate financial or economic benefit or access to any person whose property or interests in property are blocked pursuant to § 594.201(a), nor may their holder cooperate in or facilitate the pledging or
other attempted use as collateral of blocked funds or other assets.

§ 594.204 Prohibited transaction or dealing in property; contributions of funds, goods, or services.

Except as otherwise authorized, no U.S. person may engage in any transaction or dealing in property or interests in property of persons whose property or interests in property are blocked pursuant to § 594.201(a), including but not limited to the making or receiving of any contribution of funds, goods, or services to or for the benefit of persons whose property or interests in property are blocked pursuant to § 594.201(a).

§ 594.205 Evasions; attempts; conspiracies.

(a) Except as otherwise authorized, and notwithstanding any contract entered into or any license or permit granted prior to the effective date, any transaction by any U.S. person or within the United States on or after the effective date that evades or avoids, has the purpose of evading or avoiding, or attempts to violate any of the prohibitions set forth in this part is prohibited.
(b) Except as otherwise authorized, and notwithstanding any contract entered into or any license or permit granted prior to the effective date, any conspiracy formed for the purpose of engaging in a transaction prohibited by this part is prohibited.

§ 594.206 Expenses of maintaining blocked property; liquidation of blocked property.

(a) Except as otherwise authorized, and notwithstanding the existence of any rights or obligations conferred or imposed by any international agreement or contract entered into or any license or permit granted before the effective date, all expenses incident to the maintenance of physical property blocked pursuant to § 594.201(a) shall be the responsibility of the owners or operators of such property, which expenses shall not be met from blocked funds.
(b) Property blocked pursuant to § 594.201(a) may, in the discretion of the Director, Office of Foreign Assets Control, be sold or liquidated and the net proceeds placed in a blocked interest-bearing account in the name of the owner of the property.

Subpart C—General Definitions

§ 594.301 Blocked account; blocked property.

The terms blocked account and blocked property shall mean any account or property subject to the prohibition in § 594.201 held in the name of a person whose property or interests in property are blocked pursuant to § 594.201(a), or in which such person has an interest, and with respect to which payments, transfers, exportations, withdrawals, or other dealings may not be made or effected except pursuant to an authorization or license from the Office of Foreign Assets Control expressly authorizing such action.

§ 594.302 Effective date.

The term effective date refers to the effective date of the applicable prohibitions and directives contained in this part as follows:
(a) With respect to a person whose property or interests in property are blocked pursuant to § 594.201(a)(1), 12:01 a.m. eastern daylight time, September 24, 2001;
(b) With respect to a person whose property or interests in property are blocked pursuant to § 594.201(a)(2), (a)(3), or (a)(4), the earlier of the date on which is received actual or constructive notice of such person’s designation by the Secretary of State or the Secretary of the Treasury.

§ 594.303 Entity.

The term entity means a partnership, association, corporation, or other organization, group, or subgroup.

§ 594.304 Foreign person.

The term foreign person means any citizen or national of a foreign state (including any such individual who is also a citizen or national of the United States), or any entity not organized solely under the laws of the United States or existing solely in the United States, but does not include a foreign state.
§ 594.305 Information or informational materials.

(a) For purposes of this part, the term information or informational materials includes, but is not limited to, publications, films, posters, phonograph records, photographs, microfilms, microfiche, tapes, compact disks, CD ROMs, artworks, and news wire feeds.

NOTE TO PARAGRAPH (a). To be considered information or informational materials, artworks must be classified under chapter heading 9701, 9702, or 9703 of the Harmonized Tariff Schedule of the United States.

(b) The term information or informational materials, with respect to United States exports, does not include items:

(1) That were, as of April 30, 1994, or that thereafter became, controlled for export pursuant to section 5 of the Export Administration Act of 1979, 50 U.S.C. App. 2401–2420 (1979) (the “EAA”), or section 6 of the EAA to the extent that such controls promote the nonproliferation or antiterrorism policies of the United States; or

(2) With respect to which acts are prohibited by 18 U.S.C. chapter 37.

§ 594.306 Interest.

Except as otherwise provided in this part, the term interest when used with respect to property (e.g., “an interest in property”) means an interest of any nature whatsoever, direct or indirect.

§ 594.307 Licenses; general and specific.

(a) Except as otherwise specified, the term license means any license or authorization contained in or issued pursuant to this part.

(b) The term general license means any license or authorization the terms of which are set forth in subpart E of this part.

(c) The term specific license means any license or authorization not set forth in subpart E of this part but issued pursuant to this part.

NOTE TO § 594.307: See § 501.801 of this chapter on licensing procedures.

§ 594.308 Person.

The term person means an individual or entity.

§ 594.309 Property; property interest.

The terms property and property interest include, but are not limited to, money, checks, drafts, bullion, bank deposits, savings accounts, debts, indebtedness, obligations, notes, guarantees, debentures, stocks, bonds, coupons, any other financial instruments, bankers acceptances, mortgages, pledges, liens or other rights in the nature of security, warehouse receipts, bills of lading, trust receipts, bills of sale, any other evidences of title, ownership or indebtedness, letters of credit and any documents relating to any rights or obligations thereunder, powers of attorney, goods, wares, merchandise, chattels, stocks on hand, ships, goods on ships, real estate mortgages, deeds of trust, vendors’ sales agreements, land contracts, leaseholds, ground rents, real estate and any other interest therein, options, negotiable instruments, trade acceptances, royalties, book accounts, accounts payable, judgments, patents, trademarks or copyrights, insurance policies, safe deposit boxes and their contents, annuities, pooling agreements, services of any nature whatsoever, contracts of any nature whatsoever, and any other property, real, personal, or mixed, tangible or intangible, or interest or interests therein, present, future or contingent.

§ 594.310 Specially designated global terrorist; SDGT.

The term specially designated global terrorist or SDGT means any foreign person or person listed in the Annex or designated pursuant to Executive Order 13224 of September 23, 2001.

§ 594.311 Terrorism.

The term terrorism means an activity that:

(a) Involves a violent act or an act dangerous to human life, property, or infrastructure; and

(b) Appears to be intended:

(1) To intimidate or coerce a civilian population;

(2) To influence the policy of a government by intimidation or coercion; or

(3) To affect the conduct of a government by mass destruction, assassination, kidnapping, or hostage-taking.
§ 594.312 Transfer.
The term "transfer" means any actual or purported act or transaction, whether or not evidenced by writing, and whether or not done or performed within the United States, the purpose, intent, or effect of which is to create, surrender, release, convey, transfer, or alter, directly or indirectly, any right, remedy, power, privilege, or interest with respect to any property and, without limitation upon the foregoing, shall include the making, execution, or delivery of any assignment, power, conveyance, check, declaration, deed, deed of trust, power of attorney, power of appointment, bill of sale, mortgage, receipt, agreement, contract, certificate, gift, sale, affidavit, or statement; the making of any payment; the setting off of any obligation or credit; the appointment of any agent, trustee, or fiduciary; the creation or transfer of any lien; the issuance, docketing, filing, or levy of or under any judgment, decree, attachment, injunction, execution, or other judicial or administrative process or order, or the service of any garnishment; the acquisition of any interest of any nature whatsoever by reason of a judgment or decree of any foreign country; the fulfillment of any condition; the exercise of any power of appointment, power of attorney, or other power; or the acquisition, disposition, transportation, importation, exportation, or withdrawal of any security.

§ 594.313 United States.
The term "United States" means the United States, its territories and possessions, and all areas under the jurisdiction or authority thereof.

§ 594.314 U.S. financial institution.
The term "U.S. financial institution" means any U.S. person (including its foreign branches) that is engaged in the business of accepting deposits, making, granting, transferring, holding, or brokering loans or credits; in purchasing or selling foreign exchange; in securities, commodity futures or options; or in procuring purchasers and sellers thereof, as principal or agent; including but not limited to, depository institutions, banks, savings banks, trust companies, securities brokers and dealers, commodity futures and options brokers and dealers, forward contract and foreign exchange merchants, securities and commodities exchanges, clearing corporations, investment companies, employee benefit plans, and U.S. holding companies, U.S. affiliates, or U.S. subsidiaries of any of the foregoing. This term includes those branches, offices and agencies of foreign financial institutions that are located in the United States, but not such institutions' foreign branches, offices, or agencies.

§ 594.315 United States person; U.S. person.
The term "United States person" or "U.S. person" means any United States citizen, permanent resident alien, entity organized under the laws of the United States (including foreign branches), or any person in the United States.

§ 594.316 Otherwise associated with.
The term "to be otherwise associated with," as used in §594.201(a)(4)(ii), means:
(a) To own or control; or
(b) To attempt, or to conspire with one or more persons, to act for or on behalf of or to provide financial, material, or technological support, or financial or other services, to.

[72 FR 4207, Jan. 30, 2007]

§ 594.317 Financial, material, or technological support.
The term "financial, material, or technological support," as used in §594.201(a)(4)(i) of this part, means any property, tangible or intangible, including but not limited to currency, financial instruments, securities, or any other transmission of value; weapons or related materiel; chemical or biological agents; explosives; false documentation or identification; communications equipment; computers; electronic or other devices or equipment; technologies; lodging; safe houses; facilities; vehicles or other means of transportation; or goods. "Technologies" as used in this definition means specific information necessary for the development, production, or use of a product, including related technical data such as blueprints, plans, diagrams, models, formulae, tables, engineering designs and specifications,
§ 594.401 Reference to amended sections.

Except as otherwise specified, reference to any provision in or appendix to this part or chapter or to any regulation, ruling, order, instruction, direction, or license issued pursuant to this part refers to the same as currently amended.

§ 594.402 Effect of amendment.

Unless otherwise specifically provided, any amendment, modification, or revocation of any provision in or appendix to this part or chapter or of any order, regulation, ruling, instruction, or license issued by or under the direction of the Director of the Office of Foreign Assets Control does not affect any act done or omitted, or any civil or criminal suit or proceeding commenced or pending prior to such amendment, modification, or revocation. All penalties, forfeitures, and liabilities under any such order, regulation, ruling, instruction, or license continue and may be enforced as if such amendment, modification, or revocation had not been made.

§ 594.403 Setoffs prohibited.

A setoff against blocked property (including a blocked account), whether by a U.S. bank or other U.S. person, is a prohibited transfer under §§ 594.201 and 594.204 if effected after the effective date.

§ 594.404 Termination and acquisition of an interest in blocked property.

(a) Whenever a transaction licensed or authorized by or pursuant to this part results in the transfer of property (including any property interest) away from a person, such property shall no longer be deemed to be property blocked pursuant to §594.201(a), unless there exists in the property another interest that is blocked pursuant to §594.201(a) or any other part of this chapter, the transfer of which has not been effected pursuant to license or other authorization.

(b) Unless otherwise specifically provided in a license or authorization issued pursuant to this part, if property (including any property interest) is transferred or attempted to be transferred to a person whose property or interests in property are blocked pursuant to §594.201(a), such property shall be deemed to be property in which that person has an interest and therefore blocked.

§ 594.405 Transactions incidental to a licensed transaction.

Any transaction ordinarily incident to a licensed transaction and necessary to give effect thereto is also authorized, except:

(a) An incidental transaction, not explicitly authorized within the terms of the license, by or with a person whose property or interests in property are blocked pursuant to §594.201(a); or

(b) An incidental transaction, not explicitly authorized within the terms of the license, involving a debit to a blocked account or a transfer of blocked property.

§ 594.406 Provision of services.

(a) Except as provided in §594.207, the prohibitions on transactions or dealings involving blocked property contained in §§594.201 and 594.204 apply to services performed in the United States or by U.S. persons, wherever located, including by an overseas branch of an entity located in the United States:

(1) On behalf of or for the benefit of a person whose property or interests in property are blocked pursuant to §594.201(a); or

(2) With respect to property interests subject to §§594.201 and 594.204.

(b) Example: U.S. persons may not, except as authorized by or pursuant to this part, provide legal, accounting, financial, brokering, freight forwarding, transportation, public relations, educational, or other services to a person whose property or interests in property are blocked pursuant to §594.201(a).

Note to §594.406: See §§594.506 and 594.507, respectively, on licensing policy with regard to the provision of certain legal or medical services.
§ 594.407 Offshore transactions.

The prohibitions in §§ 594.201 and 594.204 on transactions or dealings involving blocked property apply to transactions or dealings by any U.S. person in a location outside the United States with respect to property that the U.S. person knows, or has reason to know, is held in the name of a person whose property or interests in property are blocked pursuant to § 594.201(a) or in which the U.S. person knows, or has reason to know, a person whose property or interests in property are blocked pursuant to § 594.201(a) has or has had an interest since the effective date.

§ 594.408 Payments from blocked accounts to satisfy obligations prohibited.

Pursuant to §§ 594.201 and 594.204, no debits may be made to a blocked account to pay obligations to U.S. persons or other persons, except as authorized pursuant to this part.

§ 594.409 Charitable contributions.

Unless otherwise specifically authorized by the Office of Foreign Assets Control by or pursuant to this part, no charitable contribution or donation of funds, goods, services, or technology, including those to relieve human suffering, such as food, clothing, or medicine, may be made to or for the benefit of a person whose property or interests in property are blocked pursuant to § 594.201(a). For purposes of this part, a contribution or donation is made to or for the benefit of a person whose property or interests in property are blocked pursuant to § 594.201(a) if made to or in the name of such a person; if made to or in the name of an entity or individual acting for or on behalf of, or owned or controlled by, such a person; or if made in an attempt to violate, to evade or to avoid the bar on the provision of contributions or donations to such a person.

§ 594.410 Credit extended and cards issued by U.S. financial institutions.

The prohibitions in §§ 594.201 and 594.204 on engaging in transactions or dealings in property subject to those sections prohibits U.S. financial institutions from performing under any existing credit agreements, including, but not limited to, charge cards, debit cards, or other credit facilities issued by a U.S. financial institution to a person whose property or interests in property are blocked pursuant to § 594.201(a).

§ 594.411 Palestinian Authority.

Following the January 2006 Palestinian elections, Hamas, a designated terrorist entity whose property and interests in property are blocked pursuant to § 594.201, has been determined to have a property interest in the transactions of the Palestinian Authority. Accordingly, pursuant to §§ 594.201 and 594.204, U.S. persons are prohibited from engaging in transactions with the Palestinian Authority unless authorized. Certain transactions with the Palestinian Authority may be authorized by license, see subpart E of this part.

[71 FR 27200, May 10, 2006]

Subpart E—Licenses, Authorizations and Statements of Licensing Policy

§ 594.501 General and specific licensing procedures.

For provisions relating to licensing procedures, see part 501, subpart E, of this chapter. Licensing actions taken pursuant to part 501 of this chapter with respect to the prohibitions contained in this part are considered actions taken pursuant to this part.

[68 FR 53660, Sept. 11, 2003]

§ 594.502 Effect of license or authorization.

(a) No license or other authorization contained in this part, or otherwise issued by or under the direction of the Director of the Office of Foreign Assets Control, authorizes or validates any transaction effected prior to the issuance of the license, unless specifically provided in such license or authorization.

(b) No regulation, ruling, instruction, or license authorizes any transaction prohibited under this part unless the regulation, ruling, instruction or license is issued by the Office of Foreign Assets Control and specifically refers
§ 594.503 Exclusion from licenses and other authorizations.

The Director of the Office of Foreign Assets Control reserves the right to exclude any person, property, or transaction from the operation of any license or from the privileges conferred by any license. The Director of the Office of Foreign Assets Control also reserves the right to restrict the applicability of any license to particular persons, property, transactions, or classes thereof. Such actions are binding upon all persons receiving actual or constructive notice of the exclusions or restrictions.

§ 594.504 Payments and transfers to blocked accounts in U.S. financial institutions.

Any payment of funds or transfer of credit in which a person whose property or interests in property are blocked pursuant to §594.201(a) has any interest, that comes within the possession or control of a U.S. financial institution, must be blocked in an account on the books of that financial institution. A transfer of funds or credit by a U.S. financial institution between blocked accounts in its branches or offices is authorized, provided that no transfer is made from an account held in the United States to an account held outside the United States, and further provided that a transfer from a blocked account may only be made to another blocked account held in the same name.

Note to §594.504. Please refer to §501.603 of this chapter for mandatory reporting requirements regarding financial transfers. See also §594.203 concerning the obligation to hold blocked funds in interest-bearing accounts.

§ 594.505 Entries in certain accounts for normal service charges authorized.

(a) A U.S. financial institution is authorized to debit any blocked account held at that financial institution in payment or reimbursement for normal service charges owed it by the owner of that blocked account.

(b) As used in this section, the term normal service charge shall include charges in payment or reimbursement for interest due; cable, telegraph, internet, or telephone charges; postage costs; custody fees; small adjustment charges to correct bookkeeping errors; and, but not by way of limitation, minimum balance charges, notary and protest fees, and charges for reference books, photocopies, credit reports, transcripts of statements, registered mail, insurance, stationery and supplies, and other similar items.

§ 594.506 Provision of certain legal services authorized.

(a) The provision of the following legal services to or on behalf of persons whose property or interests in property are blocked pursuant to §594.201(a) is authorized, provided that all receipts of payment of professional fees and reimbursement of incurred expenses must be specifically licensed:

(1) Provision of legal advice and counseling on the requirements of and compliance with the laws of any jurisdiction within the United States, provided that such advice and counseling are not provided to facilitate transactions in violation of this part;

(2) Representation of persons when named as defendants in or otherwise made parties to domestic U.S. legal, arbitration, or administrative proceedings;

(3) Initiation and conduct of domestic U.S. legal, arbitration, or administrative proceedings in defense of property interests subject to U.S. jurisdiction;

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(4) Representation of persons before any federal or state agency with respect to the imposition, administration, or enforcement of U.S. sanctions against such persons;

(5) Representation of persons, wherever located, detained within the jurisdiction of the United States or by the United States government, with respect to either such detention or any charges made against such persons, including, but not limited to, the conduct of military commission prosecutions and the initiation and conduct of federal court proceedings; and

(6) Provision of legal services in any other context in which prevailing U.S. law requires access to legal counsel at public expense.

(b) The provision of any other legal services to persons whose property or interests in property are blocked pursuant to §594.201(a), not otherwise authorized in this part, requires the issuance of a specific license.

(c) Entry into a settlement agreement affecting property or interests in property or the enforcement of any lien, judgment, arbitral award, decree, or other order through execution, garnishment, or other judicial process pertaining to transfer or otherwise alter or affect property or interests in property blocked pursuant to §594.201(a) is prohibited except to the extent otherwise provided by law or unless specifically licensed in accordance with §594.202(e).

§594.507 Authorization of emergency medical services.

The provision of nonscheduled emergency medical services in the United States to persons whose property or interests in property are blocked pursuant to §594.201(a) is authorized, provided that all receipt of payment for such services must be specifically licensed.

§594.508 Transactions related to telecommunications authorized.

All transactions ordinarily incident to the receipt or transmission of telecommunications involving persons whose property or interests in property are blocked pursuant to §594.201(a) are authorized, provided that any payment owed to any such person is paid into a blocked account in a U.S. financial institution. This section does not authorize the provision, sale, or lease to persons whose property or interests in property are blocked pursuant to §594.201(a) of telecommunications equipment or technology; nor does it authorize the provision, sale, or leasing of capacity on telecommunications transmission facilities (such as satellite or terrestrial network connectivity).

§594.509 Transactions related to mail authorized.

All transactions by U.S. persons, including payment and transfers to common carriers, incident to the receipt or transmission of mail between a U.S. person and a person whose property or interests in property are blocked pursuant to §594.201(a) are authorized, provided the mail is limited to personal communications not involving a transfer of anything of value and not exceeding 12 ounces in weight.

§594.510 Official activities of certain international organizations; U.S. person employees of certain governments.

(a) Effective April 12, 2006, all transactions and activities with the Palestinian Authority otherwise prohibited under this part that are for the conduct of the official business of the United Nations are authorized, provided that no payment pursuant to this license may involve a debit to an account of the Palestinian Authority on the books of a U.S. financial institution or to any account blocked pursuant to this part.

(b) Effective April 12, 2006, U.S. persons who are employees of the governments of states bordering the West Bank or Gaza are authorized to engage in all transactions and activities outside of the United States with the Palestinian Authority that are otherwise prohibited under this part in support of the U.S. persons’ official duties, provided that no payment pursuant to this license may involve a debit to an account of the Palestinian Authority on the books of a U.S. financial institution or to any account blocked pursuant to this part.
§ 594.511 Travel, employment, residence and maintenance transactions with the Palestinian Authority.

Effective April 12, 2006, U.S. persons are authorized to engage in all transactions with the Palestinian Authority otherwise prohibited under this part that are ordinarily incident to their travel to or from, or employment, residence or personal maintenance within, the jurisdiction of the Palestinian Authority, including, but not limited to, receipt of salaries, payment of living expenses and acquisition of goods or services for personal use. Nothing in this license authorizes any debit to an account of the Palestinian Authority on the books of a U.S. financial institution or to any account blocked pursuant to this part.

[71 FR 27200, May 10, 2006]

§ 594.512 Payment of taxes and incidental fees to the Palestinian Authority.

Effective April 12, 2006, U.S. persons are authorized to pay taxes or fees to, and purchase or receive permits or public utility services from, the Palestinian Authority where such transactions are necessary and ordinarily incident to such persons’ day-to-day operations. Nothing in this license authorizes a debit to an account of the Palestinian Authority on the books of a U.S. financial institution or to any account blocked pursuant to this part.

[71 FR 27200, May 10, 2006]

§ 594.513 Transactions with entities under the control of the Palestinian President and certain other entities.

(a) Effective April 12, 2006, U.S. persons are authorized to engage in all transactions otherwise prohibited under this part with the following entities and individuals:

(1) The Palestinian Authority Presidency, including only the Office of the President, Presidential Security, General Intelligence Apparatus, Governors and Governorate staff, the Attorney General’s Office, the Palestine Investment Fund (PIF), the Border Crossings Administration, and the Palestine Broadcasting Corporation (including the Voice of Palestine, Wafa News Agency, and the General Public Information Agency/State Information Services);

(2) The Palestinian Judiciary, including the Higher Judicial Council;

(3) Members of the Palestinian Legislative Council (PLC) who were not elected to the PLC on the party slate of Hamas or any other Foreign Terrorist Organization (FTO), Specially Designated Terrorist (SDT), or Specially Designated Global Terrorist (SDGT); and

(4) The following independent agencies: The Central Elections Commission; the Independent Citizens Rights Commission; the General Audit Authority/External Audit Agency; and the Palestinian Monetary Authority.

(b) Effective April 12, 2006, U.S. financial institutions are authorized to reject transactions with members of the Palestinian Legislative Council (PLC) who were elected to the PLC on the party slate of Hamas or any other Foreign Terrorist Organization (FTO), Specially Designated Terrorist (SDT), or Specially Designated Global Terrorist (SDGT), provided that any such individuals are not named on OFAC’s list of Specially Designated Nationals and Blocked Persons.

(c) Nothing in this license authorizes a debit to an account of the Palestinian Authority on the books of a U.S. financial institution or to any account blocked pursuant to this part.

[71 FR 27200, May 10, 2006]
§ 594.514 Concluding activities with the Palestinian Authority.

Effective April 12, 2006, all transactions and activities with the Palestinian Authority otherwise prohibited under this part are authorized through May 12, 2006, provided that they are necessary to conclude ongoing contracts or programs with the Palestinian Authority, and further provided that no payment pursuant to this license may involve a debit to an account of the Palestinian Authority on the books of a U.S. financial institution or to any account blocked pursuant to this part.

[71 FR 27200, May 10, 2006]

§ 594.515 In-kind donations of medicine, medical devices, and medical services.

(a) Effective July 6, 2006, nongovernmental organizations that are U.S. persons are authorized to provide in-kind donations of medicine, medical devices, and medical services to the Palestinian Authority Ministry of Health, provided that such donations are strictly for distribution in the West Bank or Gaza and not intended for resale, and provided further that no payment pursuant to this license may involve a debit to an account of the Palestinian Authority on the books of a U.S. financial institution or to any account blocked pursuant to this part.

(b) For the purposes of this section only, the term medical device has the meaning given the term “device” in section 201 of the Federal Food, Drug, and Cosmetic Act (21 U.S.C. 321), including medical supplies, but does not include any item listed on the Commerce Control List in the Export Administration Regulations, 15 CFR part 774, supplement no. 1.

NOTE TO PARAGRAPH (b): Nongovernmental organizations that are interested in providing items listed on the Commerce Control List to the Palestinian Authority Ministry of Health must apply for a specific license from the Office of Foreign Assets Control.

[72 FR 58743, Oct. 5, 2006]

§ 594.516 Transactions with the Palestinian Authority authorized.

(a) As of June 20, 2007, U.S. persons are authorized to engage in all transactions otherwise prohibited under this part with the Palestinian Authority.

(b) For purposes of this section only, the term Palestinian Authority means the Palestinian Authority government of Prime Minister Salam Fayyad and President Mahmoud Abbas, including all branches, ministries, offices, and agencies (independent or otherwise) thereof.

[72 FR 61518, Oct. 31, 2007]
natural person, may be imprisoned for not more than 20 years, or both.

(b) Adjustments to penalty amounts. (1) The civil penalties provided in the Act are subject to adjustment pursuant to the Federal Civil Penalties Inflation Adjustment Act of 1990 (Pub. L. 101–410, as amended, 28 U.S.C. 2461 note).

(2) The criminal penalties provided in the Act are subject to adjustment pursuant to 18 U.S.C. 3571.

(c) Attention is directed to section 5 of the United Nations Participation Act (22 U.S.C. 287c(b)), which provides that any person who willfully violates or evades or attempts to violate or evade any order, rule, or regulation issued by the President pursuant to the authority granted in that section, upon conviction, shall be fined not more than $10,000 and, if a natural person, may also be imprisoned for not more than 10 years; and the officer, director, or agent of any corporation who knowingly participates in such violation or evasion shall be punished by a like fine, imprisonment, or both and any property, funds, securities, papers, or other articles or documents, or any vessel, together with her tackle, apparel, furniture, and equipment, or vehicle, or aircraft, concerned in such violation shall be forfeited to the United States. The criminal penalties provided in the United Nations Participation Act are subject to increase pursuant to 18 U.S.C. 3571.

(d) Attention is also directed to 18 U.S.C. 1001, which provides that whoever, in any matter within the jurisdiction of the executive, legislative, or judicial branch of the Government of the United States, knowingly and willfully falsifies, conceals, or covers up by any trick, scheme, or device, a material fact, or makes any materially false, fictitious, or fraudulent statement or representation or makes or uses any false writing or document knowing the same to contain any materially false, fictitious, or fraudulent statement or entry shall be fined under title 18, United States Code, or imprisoned not more than five years, or both.

(e) Violations of this part may also be subject to relevant provisions of other applicable laws.

[68 FR 34197, June 6, 2003, as amended at 71 FR 29253, May 22, 2006; 73 FR 32656, June 10, 2008]

§ 594.702 Prepenalty notice.

(a) When required. If the Director of the Office of Foreign Assets Control has reasonable cause to believe that there has occurred a violation of any provision of this part or a violation of the provisions of any license, ruling, regulation, order, direction, or instruction issued by or pursuant to the direction or authorization of the Secretary of the Treasury pursuant to this part or otherwise under the International Emergency Economic Powers Act, and the Director determines that further proceedings are warranted, the Director shall notify the alleged violator of the agency’s intent to impose a monetary penalty by issuing a prepenalty notice. The prepenalty notice shall be in writing. The prepenalty notice may be issued whether or not another agency has taken any action with respect to the matter.

(b) Contents of notice—(1) Facts of violation. The prepenalty notice shall describe the violation, specify the laws and regulations allegedly violated, and state the amount of the proposed monetary penalty.

(2) Right to respond. The prepenalty notice also shall inform the respondent of the respondent’s right to make a written presentation within the applicable 30-day period set forth in §594.703 as to why a monetary penalty should not be imposed or why, if imposed, the monetary penalty should be in a lesser amount than proposed.

(c) Informal settlement prior to issuance of prepenalty notice. At any time prior to the issuance of a prepenalty notice, an alleged violator may request in writing that, for a period not to exceed sixty (60) days, the agency withhold issuance of the respondent’s right to make a written presentation within the applicable 30-day period set forth in §594.703 as to why a monetary penalty should not be imposed or why, if imposed, the monetary penalty should be in a lesser amount than proposed.
§ 594.703 Response to prepenalty notice; informal settlement.

(a) Deadline for response. The respondent may submit a response to the prepenalty notice within the applicable 30-day period set forth in this paragraph. The Director may grant, at his discretion, an extension of time in which to submit a response to the prepenalty notice. The failure to submit a response within the applicable time period set forth in this paragraph shall be deemed to be a waiver of the right to respond.

(1) Computation of time for response. A response to the prepenalty notice must be postmarked or date-stamped by the U.S. Postal Service (or foreign postal service, if mailed abroad) or courier service provider (if transmitted to OFAC by courier) on or before the 30th day after the postmark date on the envelope in which the prepenalty notice was mailed. If the respondent refused delivery or otherwise avoided receipt of the prepenalty notice, a response must be postmarked or date-stamped on or before the 30th day after the date on the stamped postal receipt maintained at the Office of Foreign Assets Control. If the prepenalty notice was personally delivered to the respondent by a non-U.S. Postal Service agent authorized by the Director, a response must be postmarked or date-stamped on or before the 30th day after the date of delivery.

(2) Extensions of time for response. If a due date falls on a federal holiday or weekend, that due date is extended to include the following business day. Any other extensions of time will be granted, at the Director’s discretion, only upon the respondent’s specific request to the Office of Foreign Assets Control.

(b) Form and method of response. The response must be submitted in writing and may be handwritten or typed. The response need not be in any particular form. A copy of the written response may be sent by facsimile, but the original also must be sent to the Office of Foreign Assets Control Civil Penalties Division by mail or courier and must be postmarked or date-stamped, in accordance with paragraph (a) of this section.

(c) Contents of response. A written response must contain information sufficient to indicate that it is in response to the prepenalty notice.

(1) A written response must include the respondent’s full name, address, telephone number, and facsimile number, if available, or those of the representative of the respondent.

(2) A written response should either admit or deny each specific violation alleged in the prepenalty notice and also state if the respondent has no knowledge of a particular violation. If the written response fails to address any specific violation alleged in the prepenalty notice, that alleged violation shall be deemed to be admitted.

(3) A written response should include any information in defense, evidence in support of an asserted defense, or other factors that the respondent requests the Office of Foreign Assets Control to consider. Any defense or explanation previously made to the Office of Foreign Assets Control or any other agency must be repeated in the written response. Any defense not raised in the written response will be considered waived. The written response also should set forth the reasons why the respondent believes the penalty should not be imposed or why, if imposed, it should be in a lesser amount than proposed.

(d) Default. If the respondent elects not to submit a written response within the time limit set forth in paragraph (a) of this section, the Office of Foreign Assets Control will conclude that the respondent has decided not to respond to the prepenalty notice. The agency generally will then issue a written penalty notice imposing the penalty proposed in the prepenalty notice.

(e) Informal settlement. In addition to or as an alternative to a written response to a prepenalty notice, the respondent or respondent’s representative may contact the Office of Foreign Assets Control as advised in the prepenalty notice to propose the settlement of allegations contained in the prepenalty notice and related matters. However, the requirements set forth in paragraph (f) of this section as to oral
§ 594.704 Penalty imposition or withdrawal.

(a) No violation. If, after considering any response to the prepenalty notice and any relevant facts, the Director of the Office of Foreign Assets Control determines that there was no violation by the respondent named in the prepenalty notice, the Director shall notify the respondent in writing of that determination and of the cancellation of the proposed monetary penalty.

(b) Violation. (1) If, after considering any written response to the prepenalty notice, or default in the submission of a written response, and any relevant facts, the Director of the Office of Foreign Assets Control determines that there was a violation by the respondent named in the prepenalty notice, the Director is authorized to issue a written penalty notice to the respondent of the determination of the violation and the imposition of the monetary penalty.

(2) The penalty notice shall inform the respondent that payment or arrangement for installment payment of the assessed penalty must be made within 30 days of the date of mailing of the penalty notice by the Office of Foreign Assets Control.

(3) The penalty notice shall inform the respondent of the requirement to furnish the respondent’s taxpayer identification number pursuant to 31 U.S.C. 7701 and that such number will be used for purposes of collecting and reporting on any delinquent penalty amount.

(4) The issuance of the penalty notice finding a violation and imposing a monetary penalty shall constitute final agency action. The respondent has the right to seek judicial review of that final agency action in a federal district court.

§ 594.705 Administrative collection; referral to United States Department of Justice.

In the event that the respondent does not pay the penalty imposed pursuant to this part or make payment arrangements acceptable to the Director of the Office of Foreign Assets Control within 30 days of the date of mailing of the penalty notice, the matter may be referred for administrative collection measures by the Department of the Treasury or to the United States Department of Justice for appropriate action to recover the penalty in a civil suit in a federal district court.

Subpart H—Procedures

§ 594.801 Procedures.

For license application procedures and procedures relating to amendments, modifications, or revocations of licenses; administrative decisions; rulemaking; and requests for documents pursuant to the Freedom of Information and Privacy Acts (5 U.S.C. 552 and 552a), see part 501, subpart E, of this chapter.

[68 FR 53660, Sept. 11, 2003]

§ 594.802 Delegation by the Secretary of the Treasury.

Any action that the Secretary of the Treasury is authorized to take pursuant to Executive Order 12224 of September 23, 2001 (66 FR 49079, September
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25, 2001, and any further Executive orders relating to the national emergency declared therein, may be taken by the Director of the Office of Foreign Assets Control or by any other person to whom the Secretary of the Treasury has delegated authority so to act.

Subpart I—Paperwork Reduction Act

§ 594.901 Paperwork Reduction Act notice.

For approval by the Office of Management and Budget (“OMB”) under the Paperwork Reduction Act of 1995 (44 U.S.C. 3507) of information collections relating to recordkeeping and reporting requirements, licensing procedures (including those pursuant to statements of licensing policy), and other procedures, see 501.901 of this chapter. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid control number assigned by OMB.

PART 595—TERRORISM SANCTIONS REGULATIONS

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Subpart G—Penalties

595.701 Penalties.

595.702 Prepenalty notice.

595.703 Presentation responding to prepenalty notice.
§ 595.101 Relation of this part to other laws and regulations

(a) This part is separate from, and independent of, the other parts of this chapter with the exception of part 501 of this chapter, the recordkeeping and reporting requirements and license application and other procedures of which apply to this part. Differing foreign policy and national security contexts may result in differing interpretations of similar language among the parts of this chapter. No license or authorization contained in or issued pursuant to those other parts authorizes any transaction prohibited by this part. No license or authorization contained in or issued pursuant to any other provision of law or regulation authorizes any transaction prohibited by this part.

(b) No license or authorization contained in or issued pursuant to this part relieves the involved parties from complying with any other applicable laws or regulations.

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§ 595.203 Holding of certain types of blocked property in interest-bearing accounts.

(a)(1) Any person, including a U.S. financial institution, currently holding property subject to §595.201 which, as of the effective date or the date of receipt if subsequent to the effective date, is not being held in an interest-bearing account, or otherwise invested in a manner authorized by the Office of Foreign Assets Control, shall transfer such property to, or hold such property or cause such property to be held in, an interest-bearing account or interest-bearing status in a U.S. financial institution as of the effective date or the date of receipt if subsequent to the effective date of this section, unless otherwise authorized or directed by the Office of Foreign Assets Control.

(b) For purposes of this section, the term interest-bearing account means a blocked account in a U.S. financial institution earning interest at rates that are commercially reasonable for the amount of funds in the account. Except
as otherwise authorized, the funds may not be invested or held in instruments the maturity of which exceeds 90 days.

(c) This section does not apply to blocked tangible property, such as chattels, nor does it create an affirmative obligation on the part of the holder of such blocked tangible property to sell or liquidate the property and put the proceeds in a blocked account. However, the Office of Foreign Assets Control may issue licenses permitting or directing sales of tangible property in appropriate cases.

§ 595.204 Prohibited dealing in property; contributions of funds, goods, or services.

Except as otherwise authorized, no U.S. person may deal in property or interests in property of a specially designated terrorist, including the making or receiving of any contribution of funds, goods, or services to or for the benefit of a specially designated terrorist.

§ 595.205 Evasions; attempts; conspiracies.

Any transaction for the purpose of, or which has the effect of, evading or avoiding, or which facilitates the evasion or avoidance of, any of the prohibitions set forth in this part, is hereby prohibited. Any attempt to violate the prohibitions set forth in this part is hereby prohibited. Any conspiracy formed for the purpose of engaging in a transaction prohibited by this part is hereby prohibited.

§ 595.206 Exempt transactions.

(a) Personal communications. The prohibitions contained in this part do not apply to any postal, telegraphic, telephonic, or other personal communication, which does not involve the transfer of anything of value.

(b) Information and informational materials. (1) The importation from any country and the exportation to any country of information or informational materials as defined in §595.306, whether commercial or otherwise, regardless of format or medium of transmission, are exempt from the prohibitions and regulations of this part.

(2) This section does not authorize transactions related to information and informational materials not fully created and in existence at the date of the transactions, or to the substantive or artistic alteration or enhancement of informational materials, or to the provision of marketing and business consulting services by a U.S. person. Such prohibited transactions include, without limitation, payment of advances for informational materials not yet created and completed, provision of services to market, produce or co-produce, create or assist in the creation of information and informational materials, and payment of royalties to a specially designated terrorist with respect to income received for enhancements or alterations made by U.S. persons to information or informational materials imported from a specially designated terrorist.

(3) This section does not authorize transactions incident to the exportation of technical data under restriction as defined in §779.4 of the Export Administration Regulations, 15 CFR parts 768-799 (1994), or to the exportation of goods for use in the transmission of any data. The exportation of such goods to specially designated terrorists is prohibited, as provided in §595.201 of this part.

(c) Travel. The prohibitions contained in this part do not apply to transactions ordinarily incident to travel to or from any country, including importation of accompanied baggage for personal use, maintenance within any country including payment of living expenses and acquisition of goods or services for personal use, and arrangement or facilitation of such travel including non scheduled air, sea, or land voyages.

Subpart C—General Definitions

§ 595.301 Blocked account; blocked property.

The terms blocked account and blocked property shall mean any account or property subject to the prohibition in §595.201 held in the name of a specially designated terrorist or in which a specially designated terrorist has an interest, and with respect to which payments, transfers, exportations, withdrawals, or other dealings may not be made or effected except pursuant to an
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authorization or license from the Office of Foreign Assets Control authorizing such action.

§ 595.302 Effective date.

The term effective date refers to the effective date of the applicable prohibitions and directives contained in this part which is 12:01 a.m. EST, January 24, 1995, or, in the case of specially designated terrorists designated after that date, the earlier of the date on which a person receives actual or constructive notice of such designation.

§ 595.303 Entity.

The term entity means a partnership, association, corporation, or other organization, group or subgroup.

§ 595.304 Foreign person.

The term foreign person means any citizen or national of a foreign state (including any such individual who is also a citizen or national of the United States), or any entity not organized solely under the laws of the United States or existing solely in the United States, but does not include a foreign state.

§ 595.305 General license.

The term general license means any license or authorization the terms of which are set forth in this part.

§ 595.306 Information and informational materials.

(a)(1) For purposes of this part, the term information and informational materials means publications, films, posters, phonograph records, photographs, microfilms, microfiche, tapes, compact disks, CD ROMs, artworks, and news wire feeds, and other information and informational articles.

(b) The terms information and informational materials with respect to U.S. exports do not include items:

(1) That were, as of April 30, 1994, or that thereafter become, controlled for export pursuant to section 5 of the Export Administration Act of 1979, 50 U.S.C. App. 2401-2420 (the “EAA”), or section 6 of the EAA to the extent that such controls promote nonproliferation or antiterrorism policies of the United States, including “software” that is not “publicly available” as these terms are defined in 15 CFR Parts 779 and 799.1; or

(2) With respect to which acts are prohibited by 18 U.S.C. chapter 37.

§ 595.307 Interest.

Except as otherwise provided in this part, the term interest when used with respect to property (e.g., “an interest in property”) means an interest of any nature whatsoever, direct or indirect.

§ 595.308 License.

Except as otherwise specified, the term license means any license or authorization contained in or issued pursuant to this part.

§ 595.309 Person.

The term person means an individual or entity.

§ 595.310 Property; property interest.

The terms property and property interest include, but are not limited to, money, checks, drafts, bullion, bank deposits, savings accounts, debts, indebtedness, obligations, notes, guarantees, debentures, stocks, bonds, coupons, any other financial instruments, bankers acceptances, mortgages, pledges, liens or other rights in the nature of security, warehouse receipts, bills of lading, trust receipts, bills of sale, any other evidences of title, ownership or indebtedness, letters of credit and any documents relating to any rights or obligations thereunder, powers of attorney, goods, wares, merchandise, chattels, stocks on hand, ships, goods on ships, real estate mortgages, deeds of trust, vendors sales agreements, land contracts, leaseholds, ground rents, real estate and any other interest therein, options, negotiable instruments, trade acceptances, royalties, book accounts, accounts payable, judgments, patents, trademarks or copyrights, insurance policies, safe deposit boxes and their contents, annuities, pooling agreements, services of any nature whatsoever, contracts of any nature whatsoever, and any other
§ 595.311 Specially designated terrorist.
(a) The term specially designated terrorist means:
(1) Persons listed in the Annex to Executive Order 12947;
(2) Foreign persons designated by the Secretary of State, in coordination with the Secretary of the Treasury and the Attorney General, because they are found:
   (i) To have committed, or to pose a significant risk of committing, acts of violence that have the purpose or effect of disrupting the Middle East peace process, or
   (ii) To assist in, sponsor, or provide financial, material, or technological support for, or services in support of, such acts of violence; and
(3) Persons determined by the Secretary of the Treasury, in coordination with the Secretary of State and the Attorney General, to be owned or controlled by, or to act for or on behalf of, any other specially designated terrorist.
(b) [Reserved]

NOTE TO § 595.311: Please refer to the appendices at the end of this chapter for listings of persons designated pursuant to this part. Section 501.807 of this chapter sets forth the procedures to be followed by persons seeking administrative reconsideration of their designation, or who wish to assert that the circumstances resulting in the designation are no longer applicable.

§ 595.312 Specific license.
The term specific license means any license or authorization not set forth in this part but issued pursuant to this part.

§ 595.313 Transfer.
The term transfer means any actual or purported act or transaction, whether or not evidenced by writing, and whether or not done or performed within the United States, the purpose, intent, or effect of which is to create, surrender, release, convey, transfer, or alter, directly or indirectly, any right, remedy, power, privilege, or interest with respect to any property and, without limitation upon the foregoing, shall include the making, execution, or delivery of any assignment, power, conveyance, check, declaration, deed, deed of trust, power of attorney, power of appointment, bill of sale, mortgage, receipt, agreement, contract, certificate, gift, sale, affidavit, or statement; the making of any payment; the setting off of any obligation or credit; the appointment of any agent, trustee, or fiduciary; the creation or transfer of any lien; the issuance, docketing, filing, or levy of or under any judgment, decree, attachment, injunction, execution, or other judicial or administrative process or order, or the service of any garnishment; the acquisition of any interest of any nature whatsoever by reason of a judgment or decree of any foreign country; the fulfillment of any condition; the exercise of any power of appointment, power of attorney, or other power; or the acquisition, disposition, transportation, importation, exportation, or withdrawal of any security.

§ 595.314 United States.
The term United States means the United States, its territories and possessions, and all areas under the jurisdiction or authority thereof.

§ 595.315 United States person; U.S. person.
The term United States person or U.S. person means any United States citizen, permanent resident alien, entity organized under the laws of the United States or any jurisdiction within the United States (including foreign branches); or any person in the United States.

§ 595.316 U.S. financial institution.
The term U.S. financial institution means any U.S. person (including foreign branches) that is engaged in the business of accepting deposits, making, granting, transferring, holding, or brokering loans or credits, or purchasing or selling foreign exchange, securities, commodity futures or options, or procuring purchasers and sellers...
thereof, as principal or agent; including, but not limited to, depository institutions, banks, savings banks, trust companies, securities brokers and dealers, commodity futures and options brokers and dealers, forward contract and foreign exchange merchants, securities and commodities exchanges, clearing corporations, investment companies, employee benefit plans, and U.S. holding companies, U.S. affiliates, or U.S. subsidiaries of any of the foregoing. This term includes those branches, offices and agencies of foreign financial institutions which are located in the United States, but not such institutions’ foreign branches, offices, or agencies.

Subpart D—Interpretations

§ 595.401 Reference to amended sections.
Except as otherwise specified, reference to any section of this part or to any regulation, ruling, order, instruction, direction, or license issued pursuant to this part shall be deemed to refer to the same as currently amended.

§ 595.402 Effect of amendment.
Any amendment, modification, or revocation of any section of this part or of any regulation, ruling, instruction, or license issued by or under the direction of the Director of the Office of Foreign Assets Control shall not, unless otherwise specifically provided, be deemed to affect any act done or omitted to be done, or any civil or criminal suit or proceeding commenced or pending prior to such amendment, modification, or revocation. All penalties, forfeitures, and liabilities under any such order, regulation, ruling, instruction, or license shall continue and may be enforced as if such amendment, modification, or revocation had not been made.

§ 595.403 Termination and acquisition of an interest in blocked property.
(a) Whenever a transaction licensed or authorized by or pursuant to this part results in the transfer of property (including any property interest) away from a specially designated terrorist, such property shall no longer be deemed to be property in which a specially designated terrorist has or has had an interest, or which is held in the name of a specially designated terrorist, unless there exists in the property another interest of a specially designated terrorist, the transfer of which has not been effected pursuant to license or other authorization.
(b) Unless otherwise specifically provided in a license or authorization issued pursuant to this part, if property (including any property interest) is transferred or attempted to be transferred to a specially designated terrorist, including by the making of any contribution of funds, goods, or services to or for the benefit of a specially designated terrorist, such property shall be deemed to be property in which there exists an interest of the specially designated terrorist.

§ 595.404 Setoffs prohibited.
A setoff against blocked property (including a blocked account), whether by a U.S. bank or other U.S. person, is a prohibited transfer under §595.201 if effected after the effective date.

§ 595.405 Transactions incidental to a licensed transaction.
Any transaction ordinarily incident to a licensed transaction and necessary to give effect thereto is also authorized, except a transaction by an unlicensed, specially designated terrorist or involving a debit to a blocked account or a transfer of blocked property not explicitly authorized within the terms of the license.

§ 595.406 Provision of services.
(a) Except as provided in §595.206, the prohibitions contained in §§595.201 and 595.204 apply to services performed by U.S. persons, wherever located:
(1) On behalf of, or for the benefit of, a specially designated terrorist; or
(2) With respect to property interests of a specially designated terrorist.
(b) Example: U.S. persons may not, except as authorized by the Office of Foreign Assets Control by or pursuant to this part, provide legal, accounting, public relations, educational, or other services to a specially designated terrorist. See §595.506.
§ 595.407 Offshore transactions.

The prohibitions contained in §595.201 apply to transactions by U.S. persons in locations outside the United States with respect to property which the U.S. person knows, or has reason to know, is held in the name of a specially designated terrorist, or in which the U.S. person knows, or has reason to know, a specially designated terrorist has or has had an interest since the effective date.

§ 595.408 Charitable contributions to specially designated terrorists.

(a) Unless otherwise specifically authorized by the Office of Foreign Assets Control by or pursuant to this part, no charitable contribution or donation of funds, goods, services, or technology to relieve human suffering, such as food, clothing or medicine, may be made to or for the benefit of a specially designated terrorist. For purposes of this part, a contribution or donation is made to or for the benefit of a specially designated terrorist if made to or in the name of a specially designated terrorist; if made to or in the name of an entity or individual acting for or on behalf of, or owned or controlled by, a specially designated terrorist; or if made in an attempt to violate, to evade or to avoid the bar on the provision of contributions or donations to specially designated terrorists.

(b) Individuals and organizations who donate or contribute funds, goods, services or technology without knowledge or reason to know that the donation or contribution is destined to or for the benefit of a specially designated terrorist shall not be subject to penalties for such donation or contribution.

§ 595.409 Palestinian Authority.

Following the January 2006 Palestinian elections, Hamas, a designated terrorist entity whose property and interests in property are blocked pursuant to §§595.201 and 595.204, has been determined to have a property interest in the transactions of the Palestinian Authority. Accordingly, pursuant to §§595.201 and 595.204, U.S. persons are prohibited from engaging in transactions with the Palestinian Authority unless authorized. Certain transactions with the Palestinian Authority may be authorized by license, see subpart E of this part.

[71 FR 27201, May 10, 2006]

Subpart E—Licenses, Authorizations, and Statements of Licensing Policy

§ 595.500 Licensing procedures.

For provisions relating to licensing procedures, see part 501, subpart E, of this chapter. Licensing actions taken pursuant to part 501 of this chapter with respect to the prohibitions contained in this part are considered actions taken pursuant to this part.

[68 FR 38660, Sept. 11, 2003]

§ 595.501 Effect of license or authorization.

(a) No license or other authorization contained in this part, or otherwise issued by or under the direction of the Director of the Office of Foreign Assets Control, shall be deemed to authorize or validate any transaction effected prior to the issuance of the license, unless specifically provided in such license or authorization.

(b) No regulation, ruling, instruction, or license authorizes any transaction prohibited under this part unless the regulation, ruling, instruction, or license is issued by the Office of Foreign Assets Control and specifically refers to this part. No regulation, ruling, instruction, or license referring to this part shall be deemed to authorize any transaction prohibited by any provision of this chapter unless the regulation, ruling, instruction or license specifically refers to such provision.

(c) Any regulation, ruling, instruction, or license authorizing any transaction otherwise prohibited under this part has the effect of removing a prohibition or prohibitions contained in this part from the transaction, but only to the extent specifically stated by its terms. Unless the regulation, ruling, instruction, or license otherwise specifies, such an authorization does not create any right, duty, obligation, claim, or interest in, or with respect to, any property which would not otherwise exist under ordinary principles of law.
§ 595.502 Exclusion from licenses and authorizations.

The Director of the Office of Foreign Assets Control reserves the right to exclude any person, property, or transaction from the operation of any license, or from the privileges therein conferred, or to restrict the applicability thereof with respect to particular persons, property, transactions, or classes thereof. Such action shall be binding upon all persons receiving actual or constructive notice of such exclusion or restriction.

§ 595.503 Payments and transfers to blocked accounts in U.S. financial institutions.

(a) Any payment of funds or transfer of credit or other financial or economic resources or assets into a blocked account in a U.S. financial institution is authorized, provided that a transfer from a blocked account pursuant to this authorization may only be made to another blocked account held in the same name on the books of the same U.S. financial institution.

(b) This section does not authorize any transfer from a blocked account within the United States to an account held outside the United States.

Note to § 595.503: Please refer to § 501.603 of this chapter for mandatory reporting requirements regarding financial transfers.

§ 595.504 Investment and reinvestment of certain funds.

(a) U.S. financial institutions are hereby authorized and directed to invest and reinvest assets held in blocked accounts in the name of a specially designated terrorist, subject to the following conditions:

(1) The assets representing such investments and reinvestments are credited to a blocked account or sub-account which is in the name of the specially designated terrorist and which is located in the United States or within the possession or control of a U.S. person; and

(2) The proceeds of such investments and reinvestments are not credited to a blocked account or sub-account under any name or designation which differs from the name or designation of the specific blocked account or sub-account in which such funds or securities were held; and

(3) No immediate financial or economic benefit or access accrues (e.g., through pledging or other use) to the specially designated terrorist.

(b)(1) U.S. persons seeking to avail themselves of this authorization must register with the Office of Foreign Assets Control, Blocked Assets Section, before undertaking transactions authorized under this section.

(2) Transactions conducted pursuant to this section must be reported to the Office of Foreign Assets Control, Blocked Assets Division, in a report filed no later than 10 business days following the last business day of the month in which the transactions occurred.

§ 595.505 Entries in certain accounts for normal service charges authorized.

(a) U.S. financial institutions are hereby authorized to debit any blocked account with such U.S. financial institution in payment or reimbursement for normal service charges owed to such U.S. financial institution by the owner of such blocked account.

(b) As used in this section, the term normal service charge shall include charges in payment or reimbursement for interest due; cable, telegraph, or telephone charges; postage costs; custody fees; small adjustment charges to correct bookkeeping errors; and, but not by way of limitation, minimum balance charges, notary and protest fees, and charges for reference books, photostats, credit reports, transcripts of statements, registered mail insurance, stationary and supplies, check books, and other similar items.

§ 595.506 Provision of certain legal services authorized.

(a) The provision of the following legal services to or on behalf of persons whose property or interests in property are blocked pursuant to § 595.201(a) is authorized, provided that all receipts of payment of professional fees and reimbursement of incurred expenses must be specifically licensed:

(1) Provision of legal advice and counseling on the requirements of and
connection with the laws of any jurisdiction within the United States, provided that such advice and counseling are not provided to facilitate transactions in violation of this part;

(2) Representation of persons when named as defendants in or otherwise made parties to domestic U.S. legal, arbitration, or administrative proceedings;

(3) Initiation and conduct of domestic U.S. legal, arbitration, or administrative proceedings in defense of property interests subject to U.S. jurisdiction;

(4) Representation of persons before any federal or state agency with respect to the imposition, administration, or enforcement of U.S. sanctions against such persons;

(5) Representation of persons, wherever located, detained within the jurisdiction of the United States or by the United States government, with respect to either such detention or any charges made against such persons, including, but not limited to, the conduct of military commission prosecutions and the initiation and conduct of federal court proceedings; and

(6) Provision of legal services in any other context in which prevailing U.S. law requires access to legal counsel at public expense.

(b) The provision of any other legal services to persons whose property or interests in property are blocked pursuant to §595.201(a), not otherwise authorized in this part, requires the issuance of a specific license.

(c) For purposes of this section only, the term "United Nations" means its principal organs, including funds, bodies, commissions, agencies, departments and other entities of the Security Council, General Assembly, Economic and Social Council and Secretariat, specifically including, among others, the World Bank, the International Monetary Fund, the World Food Programme, and the World Health Organization.

[71 FR 78632, Dec. 23, 2008]

§ 595.507 Authorization of emergency medical services.

The provision of nonscheduled emergency medical services to a specially designated terrorist located in the United States is authorized, provided that any payment for such services requires prior authorization by specific license.

§ 595.508 Official activities of certain international organizations; U.S. person employees of certain governments.

(a) Effective April 12, 2006, all transactions and activities with the Palestinian Authority otherwise prohibited under this part that are for the conduct of the official business of the United Nations are authorized, provided that no payment pursuant to this license may involve a debit to an account of the Palestinian Authority on the books of a U.S. financial institution or to any account blocked pursuant to this part.

(b) Effective April 12, 2006, U.S. persons who are employees of the governments of states bordering the West Bank or Gaza are authorized to engage in all transactions and activities outside of the United States with the Palestinian Authority that are otherwise prohibited under this part in support of the U.S. persons' official duties, provided that no payment pursuant to this license may involve a debit to an account of the Palestinian Authority on the books of a U.S. financial institution or to any account blocked pursuant to this part.

(c) For purposes of this section only, the term "United Nations" means its principal organs, including funds, bodies, commissions, agencies, departments and other entities of the Security Council, General Assembly, Economic and Social Council and Secretariat, specifically including, among others, the World Bank, the International Monetary Fund, the World Food Programme, and the World Health Organization.

[71 FR 27201, May 10, 2006]

§ 595.509 Travel, employment, residence and maintenance transactions with the Palestinian Authority.

Effective April 12, 2006, U.S. persons are authorized to engage in all transactions with the Palestinian Authority otherwise prohibited under this part that are ordinarily incident to their
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travel to or from, or employment, residence or personal maintenance within, the jurisdiction of the Palestinian Authority, including, but not limited to, receipt of salaries, payment of living expenses and acquisition of goods or services for personal use. Nothing in this license authorizes any debit to an account of the Palestinian Authority on the books of a U.S. financial institution or to any account blocked pursuant to this part.

[71 FR 27201, May 10, 2006]

§ 595.510 Payment of taxes and incidental fees to the Palestinian Authority.

Effective April 12, 2006, U.S. persons are authorized to pay taxes or fees to, and purchase or receive permits or public utility services from, the Palestinian Authority where such transactions are necessary and ordinarily incident to such persons’ day-to-day operations. Nothing in this license authorizes a debit to an account of the Palestinian Authority on the books of a U.S. financial institution or to any account blocked pursuant to this part.

[71 FR 27201, May 10, 2006]

§ 595.511 Transactions with entities under the control of the Palestinian President and certain other entities.

(a) Effective April 12, 2006, U.S. persons are authorized to engage in all transactions otherwise prohibited under this part with the following entities and individuals:

(1) The Palestinian Authority Presidency, including only the Office of the President, Presidential Security, General Intelligence Apparatus, Governors and Governorate staff, the Attorney General’s Office, the Palestine Investment Fund (PIF), the Border Crossings Administration, and the Palestine Broadcasting Corporation (including the Voice of Palestine, Wafa News Agency, and the General Public Information Agency/State Information Services);

(2) The Palestinian Judiciary, including the Higher Judicial Council;

(3) Members of the Palestinian Legislative Council (PLC) who were not elected to the PLC on the party slate of Hamas or any other Foreign Terrorist Organization (FTO), Specially Designated Terrorist (SDT), or Specially Designated Global Terrorist (SDGT); and

(4) The following independent agencies: The Central Elections Commission; the Independent Citizens Rights Commission; the General Audit Authority/External Audit Agency; and the Palestinian Monetary Authority.

(b) Effective April 12, 2006, U.S. financial institutions are authorized to reject transactions with members of the Palestinian Legislative Council (PLC) who were elected to the PLC on the party slate of Hamas or any other Foreign Terrorist Organization (FTO), Specially Designated Terrorist (SDT), or Specially Designated Global Terrorist (SDGT), provided that any such individuals are not named on OFAC’s list of Specially Designated Nationals and Blocked Persons.

(c) Nothing in this license authorizes a debit to an account of the Palestinian Authority on the books of a U.S. financial institution or to any account blocked pursuant to this part.

[71 FR 27201, May 10, 2006]

§ 595.512 Concluding activities with the Palestinian Authority.

Effective April 12, 2006, all transactions and activities with the Palestinian Authority otherwise prohibited under this part are authorized through May 12, 2006, provided that they are necessary to conclude ongoing contracts or programs with the Palestinian Authority, and further provided that no payment pursuant to this license may involve a debit to an account of the Palestinian Authority on the books of a U.S. financial institution or to any account blocked pursuant to this part.

[71 FR 27201, May 10, 2006]

§ 595.513 In-kind donations of medicine, medical devices, and medical services.

(a) Effective July 6, 2006, nongovernmental organizations that are U.S. persons are authorized to provide in-kind donations of medicine, medical devices, and medical services to the Palestinian Authority Ministry of Health, provided
that such donations are strictly for distribution in the West Bank or Gaza and not intended for resale, and provided further that no payment pursuant to this license may involve a debit to an account of the Palestinian Authority on the books of a U.S. financial institution or to any account blocked pursuant to this part.

(b) For the purposes of this section only, the term medical device has the meaning given the term "device" in section 201 of the Federal Food, Drug, and Cosmetic Act (21 U.S.C. 321), including medical supplies, but does not include any item listed on the Commerce Control List in the Export Administration Regulations, 15 CFR part 774, supplement no. 1.

NOTE TO PARAGRAPH (b): Nongovernmental organizations that are interested in providing items listed on the Commerce Control List to the Palestinian Authority Ministry of Health must apply for a specific license from the Office of Foreign Assets Control.

[71 FR 58744, Oct. 5, 2006]

§ 595.514 Transactions with the Palestinian Authority authorized.

(a) As of June 20, 2007, U.S. persons are authorized to engage in all transactions otherwise prohibited under this part with the Palestinian Authority.

(b) For purposes of this section only, the term Palestinian Authority means the Palestinian Authority government of Prime Minister Salam Fayyad and President Mahmoud Abbas, including all branches, ministries, offices, and agencies (independent or otherwise) thereof.

[72 FR 61518, Oct. 31, 2007]

Subpart F—Reports

§ 595.601 Records and reports.

For provisions relating to records and reports, see part 501 of this chapter.


Subpart G—Penalties

§ 595.701 Penalties.

(a) Attention is directed to section 206 of the International Emergency Economic Powers Act (the "Act") (50 U.S.C. 1705), which is applicable to violations of the provisions of any license, ruling, regulation, order, direction or instruction issued by or pursuant to the direction or authorization of the Secretary of the Treasury pursuant to this part or otherwise under the Act.

(1) A civil penalty not to exceed the amount set forth in Section 206 of the Act may be imposed on any person who violates, attempts to violate, conspires to violate, or causes a violation of any license, order, regulation, or prohibition issued under the Act.

NOTE TO PARAGRAPH (a)(1) OF § 595.701: As of June 10, 2008, the Act provides for a maximum civil penalty not to exceed the greater of $250,000 or an amount that is twice the amount of the transaction that is the basis of the violation with respect to which the penalty is imposed.

(2) A person who willfully commits, willfully attempts to commit, or willfully conspires to commit, or aids or abets in the commission of a violation of any license, order, regulation, or prohibition shall, upon conviction, be fined not more than $1,000,000, or if a natural person, may be imprisoned for not more than 20 years, or both.

(b) Adjustments to penalty amounts.


(2) The criminal penalties provided in the Act are subject to adjustment pursuant to 18 U.S.C. 3571.

(c) Attention is also directed to 18 U.S.C. 1001, which provides that whoever, in any matter within the jurisdiction of any department or agency of the United States, knowingly and willfully falsifies, conceals or covers up by any trick, scheme, or device a material fact, or makes any false, fictitious or fraudulent statement or representation or makes or uses any false writing or document knowing the same to contain any false, fictitious or fraudulent statement or entry, shall be fined under title 18, United States Code, or imprisoned not more than five years, or both.
§ 595.801 Procedures.

(a) For license application procedures and procedures relating to amendments, modifications, or revocations of licenses; administrative decisions; rulemaking; and requests for documents pursuant to the Freedom of Information and Privacy Acts (5 U.S.C. 552 and 552a), see part 501, subpart E, of this chapter.

§ 595.802 Delegation by the Secretary of the Treasury.

Any action which the Secretary of the Treasury is authorized to take pursuant to Executive Order 12947 or any further Executive orders relating to the national emergency declared in Executive Order 12947 may be taken by the Director of the Office of Foreign Assets Control, or by any other person to whom the Secretary of the Treasury has delegated authority so to act.


Subpart I—Paperwork Reduction Act

§ 595.901 Paperwork Reduction Act notice.

For approval by the Office of Management and Budget (“OMB”) under the Paperwork Reduction Act of information collections relating to record-keeping and reporting requirements, to licensing procedures (including those pursuant to statements of licensing policy), and to other procedures, see § 501.901 of this chapter. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid control number assigned by OMB.

policy and national security contexts may result in differing interpretations of similar language among the parts of this chapter. Except as otherwise authorized in this part, no license or authorization contained in or issued pursuant to those other parts authorizes any transaction prohibited by this part. Except as otherwise authorized in this part, no license or authorization contained in or issued pursuant to any other provision of law or regulation authorizes any transaction prohibited by this part. See §596.503.

(b) No license or authorization contained in or issued pursuant to this part relieves the involved parties from complying with any other applicable laws or regulations.


Subpart B—Prohibitions

§ 596.201 Prohibited financial transactions.

(a) Except as authorized by regulations, orders, directives, rulings, instructions, licenses, or otherwise, no United States person, on or after the effective date, knowing or having reasonable cause to know that a country is designated under section 6(j) of the Export Administration Act, 50 U.S.C. App. 2405, as a country supporting international terrorism, shall engage in a financial transaction with the government of that country.

(b) Countries designated under section 6(j) of the Export Administration Act as of May 18, 2009 are listed in the following schedule.

SCHEDULE

Cuba.
Iran.
Sudan.
Syria.

[74 FR 23112, May 18, 2009]

§ 596.202 Evasions; attempts; conspiracies.

Any transaction for the purpose of, or which has the effect of, evading or avoiding, or which facilitates the evasion or avoidance of, any of the prohibitions set forth in this part, is hereby prohibited. Any attempt to violate the prohibitions set forth in this part is hereby prohibited. Any conspiracy formed for the purpose of engaging in a transaction prohibited by this part is hereby prohibited.

Subpart C—General Definitions

§ 596.301 Donation.

The term donation means a transfer made in the form of a gift or charitable contribution.

§ 596.302 Effective date.

The term effective date refers to the effective date of the applicable prohibitions and directives contained in this part which is 12:01 a.m. EDT, August 22, 1996.

§ 596.303 Financial institution.

The term financial institution shall have the definition given that term in 31 U.S.C. 5312(a)(2) or the regulations promulgated thereunder, as from time to time amended.

NOTE: The breadth of the definition precludes its reproduction in this section.

§ 596.304 Financial transaction.

The term financial transaction shall have the meaning set forth in 18 U.S.C. 1956(c)(4), as from time to time amended. As of the effective date, this term includes:

(a) A transaction which in any way or degree affects interstate or foreign commerce;

(1) Involving the movement of funds by wire or other means; or

(2) Involving one or more monetary instruments; or

(3) Involving the transfer of title to any real property, vehicle, vessel, or aircraft; or

(b) A transaction involving the use of a financial institution which is engaged in, or the activities of which affect, interstate or foreign commerce in any way or degree.

§ 596.305 General license.

The term general license means any license or authorization the terms of which are set forth in this part.
§ 596.306 License.
Except as otherwise specified, the term license means any license or authorization contained in or issued pursuant to this part.

§ 596.307 Monetary instruments.
The term monetary instruments shall have the meaning set forth in 18 U.S.C. 1956(c)(5), as from time to time amended. As of the effective date, this term includes coin or currency of the United States or of any other country, traveler's checks, personal checks, bank checks, and money orders, or investment securities or negotiable instruments, in bearer form or otherwise in such form that title thereto passes upon delivery.

§ 596.308 Person; entity.
(a) The term person means an individual or entity.
(b) The term entity means a partnership, association, corporation, or other organization.

§ 596.309 Specific license.
The term specific license means any license or authorization not set forth in this part but issued pursuant to this part.

§ 596.310 Terrorism List Government.
The term Terrorism List Government includes:
(a) The government of a country designated under section 6(j) of the Export Administration Act, as well as any political subdivision, agency, or instrumentality thereof, including the central bank of such a country;
(b) Any entity owned or controlled by such a government.

§ 596.311 Transaction.
The term transaction shall have the meaning set forth in 18 U.S.C. 1956(c)(3), as from time to time amended. As of the effective date, this term includes a purchase, sale, loan, pledge, gift, transfer, delivery, or other disposition, and with respect to a financial institution includes a deposit, withdrawal, transfer between accounts, exchange of currency, loan, extension of credit, purchase or sale of any stock, bond, certificate of deposit, or other monetary instrument, use of a safe deposit box, or any other payment, transfer, or delivery by, through, or to a financial institution, by whatever means effected.

§ 596.312 United States.
The term United States means the United States, including its territories and possessions.

§ 596.313 United States person.
The term United States person means any United States citizen or national, permanent resident alien, juridical person organized under the laws of the United States, or any person in the United States.

Subpart D—Interpretations

§ 596.401 Reference to amended sections.
Except as otherwise specified, reference to any section of this part or to any regulation, ruling, order, instruction, direction, or license issued pursuant to this part refers to the same as currently amended.

§ 596.402 Effect of amendment.
Any amendment, modification, or revocation of any section of this part or of any order, regulation, ruling, instruction, or license issued by or under the direction of the Director of the Office of Foreign Assets Control does not, unless otherwise specifically provided, affect any act done or omitted to be done, or any civil or criminal suit or proceeding commenced or pending prior to such amendment, modification, or revocation. All penalties, forfeitures, and liabilities under any such order, regulation, ruling, instruction, or license continue and may be enforced as if such amendment, modification, or revocation had not been made.

§ 596.403 Transactions incidental to a licensed transaction.
Any transaction ordinarily incident to a licensed transaction and necessary to give effect thereto is also authorized.
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§ 596.504 Financial transactions transferred through a bank of a Terrorism List Government.

For the purposes of this part only, a financial transaction not originated by a Terrorism List Government, but transferred to the United States through a bank owned or controlled by a Terrorism List Government, shall not be deemed a financial transaction with the government of a country supporting international terrorism pursuant to § 596.201.

Subpart E—Licenses, Authorizations and Statements of Licensing Policy

§ 596.500 Licensing procedures.

For provisions relating to licensing procedures, see part 501, subpart E, of this chapter. Licensing actions taken pursuant to part 501 of this chapter with respect to the prohibitions contained in this part are considered actions taken pursuant to this part.

[68 FR 53660, Sept. 11, 2003]

§ 596.501 Effect of license or authorization.

(a) No license or other authorization contained in this part, or otherwise issued by or under the direction of the Director of the Office of Foreign Assets Control, authorizes or validates any transaction effected prior to the issuance of the license, unless specifically provided in such license or other authorization.

(b) No regulation, ruling, instruction, or license authorizes a transaction prohibited under this part unless the regulation, ruling, instruction, or license is issued by the Office of Foreign Assets Control and specifically refers to a part in 31 CFR chapter V. No regulation, ruling, instruction, or license referring to this part authorizes any transactions prohibited by any provision of this chapter unless the regulation, ruling, instruction or license specifically refers to such provision.

(c) Any regulation, ruling, instruction or license authorizing any transaction otherwise prohibited under this part has the effect of removing a prohibition or prohibitions contained in this part from the transaction, but only to the extent specifically stated by its terms. Unless the regulation, ruling, instruction or license otherwise specifies, such an authorization does not create any right, duty, obligation, claim, or interest in, or with respect to, any property which would not otherwise exist under ordinary principles of law.

§ 596.502 Exclusion from licenses and authorizations.

The Director of the Office of Foreign Assets Control reserves the right to exclude any person, property, or transaction from the operation of any license, or from the privileges therein conferred, or to restrict the applicability thereof with respect to particular persons, property, transactions, or classes thereof. Such action is binding upon all persons receiving actual or constructive notice of such exclusion or restriction.

§ 596.503 Financial transactions with a Terrorism List Government otherwise subject to 31 CFR chapter V.

United States persons are authorized to engage in financial transactions with a Terrorism List Government that is subject to regulations contained in parts of 31 CFR chapter V other than this part to the extent and subject to the conditions stated in such other parts, or in any regulations, orders, directives, rulings, instructions, or licenses issued pursuant thereto.

§ 596.504 Certain financial transactions with Terrorism List Governments authorized.

(a) United States persons are authorized to engage in all financial transactions with a Terrorism List Government that is subject to regulations contained in 31 CFR chapter V, except for a transfer from a Terrorism List Government:

1. Constituting a donation to a United States person; or

2. With respect to which the United States person knows (including knowledge based on advice from an agent of the United States Government), or has reasonable cause to believe, that the transfer poses a risk of furthering terrorist acts in the United States.
§ 596.505
(b) Nothing in this section authorizes the return of a transfer prohibited by paragraph (a)(2) of this section.

§ 596.505 Certain transactions related to stipends and scholarships authorized.

(a) United States persons are authorized to engage in all financial transactions with respect to stipends and scholarships covering tuition and related educational, living and travel expenses provided by the Government of Syria to Syrian nationals or the Government of Sudan to Sudanese nationals who are enrolled as students in an accredited educational institution in the United States. Representations made by an accredited educational institution concerning the status of a student may be relied upon in determining the applicability of this section.

(b) Nothing in this section authorizes a transaction prohibited by § 596.504(a)(2).

[61 FR 67944, Dec. 26, 1996]

Subpart F—Reports

§ 596.601 Records and reports.

For provisions relating to records and reports, see subpart C of part 501 of this chapter.


Subpart G—Penalties

§ 596.701 Penalties.

Attention is directed to 18 U.S.C. 2332d, as added by Public Law 104–132, section 321, which provides that, except as provided in regulations issued by the Secretary of the Treasury, in consultation with the Secretary of State, a United States person, knowing or having reasonable cause to know that a country is designated under section 6(j) of the Export Administration Act, 50 U.S.C. App. 2405, as a country supporting international terrorism, engages in a financial transaction with the government of that country, shall be fined under title 18, United States Code, or imprisoned for not more than 10 years, or both.

PART 597—FOREIGN TERRORIST ORGANIZATIONS SANCTIONS REGULATIONS

Subpart A—Relation of This Part to Other Laws and Regulations

§ 597.101 Relation of this part to other laws and regulations.

(a) This part is separate from, and independent of, the other parts of this chapter, with the exception of part 501 of this chapter, the recordkeeping and reporting requirements and license application and other procedures of which apply to this part. Differing statutory authority and foreign policy and national security contexts may result in differing interpretations of similar language among the parts of this chapter.
§ 597.201 Prohibited transactions involving blocked assets or funds of foreign terrorist organizations or their agents.

(a) Upon notification to Congress of the Secretary of State’s intent to designate an organization as a foreign terrorist organization pursuant to 8 U.S.C. 1189(a), until the publication in the Federal Register as described in paragraph (b) of this section, any U.S. financial institution receiving notice from the Secretary of the Treasury by means of order, directive, instruction, regulation, ruling, license, or otherwise shall, except as otherwise provided in such notice, block all financial transactions involving any assets of such organization within the possession or control of such U.S. financial institution until further directive from the Secretary of the Treasury, Act of Congress, or order of court.

(b) Except as otherwise authorized by order, directive, instruction, regulation, ruling, license, or otherwise, from and after the designation of an organization as a foreign terrorist organization pursuant to 8 U.S.C. 1189(a), any U.S. financial institution that becomes aware that it has possession of or control over any funds in which the designated foreign terrorist organization or its agent has an interest shall:

1. Retain possession of or maintain control over such funds; and
2. Report to the Secretary of the Treasury the existence of such funds in accordance with §501.603 of this chapter.

(c) This part does not implement, construe, or limit the scope of any criminal statute, including (but not limited to) 18 U.S.C. 2339B(a)(1) and 2339A, and does not excuse any person from complying with any other part of this chapter, including (but not limited to) 18 U.S.C. 2339B(a)(1) and 18 U.S.C. 2339A.

Subpart B—Prohibitions

§ 597.202 Effect of transfers violating the provisions of this part.

(a) Any transfer after the effective date which is in violation of §597.201 or any other provision of this part or of any regulation, order, directive, ruling, instruction, license, or other authorization hereunder and involves any funds or assets held in the name of a foreign terrorist organization or its agent or in which a foreign terrorist organization or its agent has or has
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had an interest since such date, is null and void and shall not be the basis for the assertion or recognition of any interest in or right, remedy, power or privilege with respect to such funds or assets.

(b) No transfer before the effective date shall be the basis for the assertion or recognition of any right, remedy, power, or privilege with respect to, or interest in, any funds or assets held in the name of a foreign terrorist organization or its agent or in which a foreign terrorist organization or its agent has an interest, or has had an interest since such date, unless the financial institution with whom such funds or assets are held or maintained, prior to such date, had written notice of the transfer or by any written evidence had recognized such transfer.

(c) Unless otherwise provided, an appropriate license or other authorization issued by or pursuant to the direction or authorization of the Director of the Office of Foreign Assets Control before, during, or after a transfer shall validate such transfer or render it enforceable to the same extent that it would be valid or enforceable but for the provisions of this part, and any regulation, order, directive, ruling, instruction, or license issued hereunder.

(d) Transfers of funds or assets which otherwise would be null and void or unenforceable by virtue of the provisions of this section shall not be deemed to be null and void or unenforceable as to any financial institution with whom such funds or assets were held or maintained (and as to such financial institution only) in cases in which such financial institution is able to establish to the satisfaction of the Director of the Office of Foreign Assets Control each of the following:

(1) Such transfer did not represent a willful violation of the provisions of this part by the financial institution with whom such funds or assets were held or maintained;

(2) The financial institution with which such funds or assets were held or maintained did not have reasonable cause to know or suspect, in view of all the facts and circumstances known or available to such institution, that such transfer required a license or authorization by or pursuant to this part and was not so licensed or authorized, or if a license or authorization did purport to cover the transfer, that such license or authorization had been obtained by misrepresentation of a third party or the withholding of material facts or was otherwise fraudulently obtained; and

(3) The financial institution with which such funds or assets were held or maintained filed with the Office of Foreign Assets Control a report setting forth in full the circumstances relating to such transfer promptly upon discovery that:

(i) Such transfer was in violation of the provisions of this part or any regulation, ruling, instruction, license, or other direction or authorization hereunder; or

(ii) Such transfer was not licensed or authorized by the Director of the Office of Foreign Assets Control; or

(iii) If a license did purport to cover the transfer, such license had been obtained by misrepresentation of a third party or the withholding of material facts or was otherwise fraudulently obtained.

NOTE TO PARAGRAPH (d): The filing of a report in accordance with the provisions of paragraph (d)(3) of this section shall not be deemed evidence that the terms of paragraphs (d)(1) and (2) of this section have been satisfied.

(e) Except for exercises of judicial authority pursuant to 8 U.S.C. 1189(b), unless licensed or authorized pursuant to this part, any attachment, judgment, decree, lien, execution, garnishment, or other judicial process is null and void with respect to any funds or assets which, on or since the effective date, were in the possession or control of a U.S. financial institution and were held in the name of a foreign terrorist organization or its agent or in which there existed an interest of a foreign terrorist organization or its agent.

§ 597.203 Holding of funds in interest-bearing accounts; investment and reinvestment.

(a) Except as provided in paragraph (c) of this section, or as otherwise directed by the Office of Foreign Assets Control, any U.S. financial institution holding funds subject to § 597.201(b) shall hold or place such funds in a
§ 597.204 Evasions; attempts; conspiracies.

Any transaction for the purpose of, or which has the effect of, evading or avoiding, or which facilitates the evasion or avoidance of, any of the prohibitions set forth in this part, is hereby prohibited. Any attempt to violate the prohibitions set forth in this part is hereby prohibited. Any conspiracy formed for the purpose of engaging in a transaction prohibited by this part is hereby prohibited.

Subpart C—General Definitions

§ 597.301 Agent.

(a) The term agent means:

(1) Any person owned or controlled by a foreign terrorist organization; or

(2) Any person to the extent that such person is, or has been, or to the extent that there is reasonable cause to believe that such person is, or has been, since the effective date, acting or purporting to act directly or indirectly on behalf of a foreign terrorist organization.

(b) The term agent includes, but is not limited to, any person determined by the Director of the Office of Foreign Assets Control to be an agent as defined in paragraph (a) of this section.

NOTE TO § 597.301: Please refer to the appendices at the end of this chapter for listings of persons designated as foreign terrorist organizations or their agents. Section 501.807 of this chapter sets forth the procedures to be followed by a person seeking administrative reconsideration of a designation as an agent, or who wishes to assert that the circumstances resulting in the designation as an agent are no longer applicable.

§ 597.302 Assets.

The term assets includes, but is not limited to, money, checks, drafts, bullion, bank deposits, savings accounts, debts, indebtedness, obligations, notes, guarantees, debentures, stocks, bonds, coupons, any other financial instruments, bankers acceptances, mortgages, pledges, liens or other rights in the nature of security, warehouse receipts, bills of lading, trust receipts, bills of sale, any other evidences of title, ownership or indebtedness, letters of credit and any documents relating to any rights or obligations thereunder, powers of attorney, goods, wares, merchandise, chattels, stocks on hand, ships, goods on ships, real estate mortgages, deeds of trust, vendors' sales agreements, land contracts, leases, ground leases, ground rents, real estate and any...
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§ 597.307 Financial institution.

The term financial institution shall have the definition given that term in 31 U.S.C. 5312(a)(2) as from time to time amended, notwithstanding the definition of that term in 31 CFR part 103.

NOTE: The breadth of the statutory definition of financial institution precludes its reproduction in this section. Among the types of businesses covered are insured banks (as defined in 12 U.S.C. 1813(h)), commercial banks or trust companies, private bankers, agencies or branches of a foreign bank in the United States, insured institutions (as defined in 12 U.S.C. 1724(a)), thrift institutions, brokers or dealers registered with the Securities and Exchange Commission under 15 U.S.C. 78a et seq., securities or commodities brokers and dealers, investment bankers or investment companies, currency exchanges, issuers, redeemers, or cashiers of traveler's checks, checks, money orders, or similar instruments, credit card system operators, insurance companies, dealers in precious metals, stones or jewels, pawnbrokers, loan or finance companies, travel agencies, licensed senders of money, telegraph companies, businesses engaged in vehicle sales, including automobile, airplane or boat sales, persons involved in real estate closings and settlements, the United States Postal Service, a casino, gambling casino, or gaming establishment with an annual gaming revenue of more than $1,000,000 as further described in 31 U.S.C. 5312(a)(2), or agencies of the United States Government or of a State or local government carrying out a duty or power of any of the businesses described in 31 U.S.C. 5312(a)(2).

§ 597.308 Financial transaction.

The term financial transaction means a transaction involving the transfer or movement of funds, whether by wire or other means.

§ 597.309 Foreign terrorist organization.

The term foreign terrorist organization means an organization designated or redesignated as a foreign terrorist organization, or with respect to which the Secretary of State has notified Congress of the intention to designate as a foreign terrorist organization, under 8 U.S.C. 1189(a).

§ 597.310 Funds.

The term funds includes coin or currency of the United States or any other country, traveler's checks, personal checks, bank checks, money orders,
§ 597.311 Stocks, bonds, debentures, drafts, letters of credit, any other negotiable instrument, and any electronic representation of any of the foregoing. An electronic representation of any of the foregoing includes any form of digital or electronic cash, coin, or currency in use currently or placed in use in the future.

§ 597.312 Interest. Except as otherwise provided in this part, the term interest when used with respect to funds or assets (e.g., “an interest in funds”) means an interest of any nature whatsoever, direct or indirect.

§ 597.313 License. Except as otherwise specified, the term license means any license or authorization contained in or issued pursuant to this part.

§ 597.314 Person. The term person means an individual or entity.

§ 597.315 Specific license. The term specific license means any license or authorization not set forth in this part but issued pursuant to this part.

§ 597.316 Transaction. The term transaction shall have the meaning set forth in 18 U.S.C. 1956(c)(3), as from time to time amended. As of the effective date, this term includes a purchase, sale, loan, pledge, gift, transfer, delivery, or other disposition of any asset, and with respect to a financial institution includes a deposit, withdrawal, transfer between accounts, exchange of currency, loan, extension of credit, purchase or sale of any stock, bond, certificate of deposit, or other monetary instrument, use of a safe deposit box, or any other payment, transfer, or delivery by, through, or to a financial institution, by whatever means effected.

§ 597.317 Transfer. The term transfer means any actual or purported act or transaction, whether or not evidenced by writing, and whether or not done or performed within the United States, the purpose, intent, or effect of which is to create, surrender, release, convey, transfer, or alter, directly or indirectly, any right, remedy, power, privilege, or interest with respect to any property and, without limitation upon the foregoing, shall include the making, execution, or delivery of any assignment, power, conveyance, check, declaration, deed, deed of trust, power of attorney, power of appointment, bill of sale, mortgage, receipt, agreement, contract, certificate, gift, sale, affidavit, or statement; the making of any payment; the setting off of any obligation or credit; the appointment of any agent, trustee, or fiduciary; the creation or transfer of any lien; the issuance, docketing, filing, or levy of or under any judgment, decree, attachment, injunction, execution, or other judicial or administrative process or order, or the service of any garnishment; the acquisition of any interest of any nature whatsoever by reason of a judgment or decree of any foreign country; the fulfillment of any condition; the exercise of any power of appointment, power of attorney, or other power; or the acquisition, disposition, transportation, importation, exportation, or withdrawal of any security.

§ 597.318 United States. The term United States means the United States, its territories, states, commonwealths, districts, and possessions, and all areas under the jurisdiction or authority thereof.

§ 597.319 U.S. financial institution. The term U.S. financial institution means:

(a) Any financial institution organized under the laws of the United States, including such financial institution’s foreign branches;

(b) Any financial institution operating or doing business in the United States; or

(c) Those branches, offices and agencies of foreign financial institutions which are located in the United States,
but not such foreign financial institutions’ other foreign branches, offices, or agencies.

Subpart D—Interpretations

§ 597.401 Reference to amended sections.

Except as otherwise specified, reference to any section of this part or to any regulation, ruling, order, instruction, direction, or license issued pursuant to this part shall be deemed to refer to the same as currently amended.

§ 597.402 Effect of amendment.

Any amendment, modification, or revocation of any section of this part or of any order, regulation, ruling, instruction, or license issued by or under the direction of the Director of the Office of Foreign Assets Control shall not, unless otherwise specifically provided, be deemed to affect any act done or omitted to be done, or any civil or criminal suit or proceeding commenced or pending prior to such amendment, modification, or revocation. All penalties, forfeitures, and liabilities under any such order, regulation, ruling, instruction, or license shall continue and may be enforced as if such amendment, modification, or revocation had not been made.

§ 597.403 Termination and acquisition of an interest in blocked funds.

(a) Whenever a transaction licensed or authorized by or pursuant to this part results in the transfer of funds (including any interest in funds) away from a foreign terrorist organization or its agent, such funds shall no longer be deemed to be funds in which the foreign terrorist organization or its agent has or has had an interest, or which are held in the name of a foreign terrorist organization or its agent, unless there exists in the funds another interest of a foreign terrorist organization or its agent, the transfer of which has not been effected pursuant to license or other authorization.

(b) Unless otherwise specifically provided in a license or authorization issued pursuant to this part, if funds (including any interest in funds) are or at any time since the effective date have been held by a foreign terrorist organization or its agent, or at any time thereafter are transferred or attempted to be transferred to a foreign terrorist organization or its agent, including by the making of any contribution to or for the benefit of a foreign terrorist organization or its agent, such funds shall be deemed to be funds in which there exists an interest of the foreign terrorist organization or its agent.

§ 597.404 Setoffs prohibited.

A setoff against blocked funds (including a blocked account) by a U.S. financial institution is a prohibited transaction under §597.201 if effected after the effective date.

§ 597.405 Transactions incidental to a licensed transaction.

Any transaction ordinarily incident to a licensed transaction and necessary to give effect thereto is also authorized, except a transaction by an unlicensed, foreign terrorist organization or its agent or involving a debit to a blocked account or a transfer of blocked funds not explicitly authorized within the terms of the license.

§ 597.406 Offshore transactions.

The prohibitions contained in §597.201 apply to transactions by U.S. financial institutions in locations outside the United States with respect to funds or assets which the U.S. financial institution knows, or becomes aware, are held in the name of a foreign terrorist organization or its agent, or in which the U.S. financial institution knows, or becomes aware that, a foreign terrorist organization or its agent has or has had an interest since the effective date.

§ 597.407 Palestinian Authority.

Following the January 2006 Palestinian elections, Hamas, a designated terrorist entity whose property and interests in property are blocked pursuant to §597.201, has been determined to have a property interest in the transactions of the Palestinian Authority. Accordingly, pursuant to §597.201, U.S. persons are prohibited from engaging in transactions with the Palestinian Authority unless authorized. Certain
transactions with the Palestinian Authority may be authorized by license, see subpart E of this part.

[71 FR 27202, May 10, 2006]

Subpart E—Licenses, Authorizations, and Statements of Licensing Policy

§ 597.500 Licensing procedures.

For provisions relating to licensing procedures, see part 501, subpart E, of this chapter. Licensing actions taken pursuant to part 501 of this chapter with respect to the prohibitions contained in this part are considered actions taken pursuant to this part.

[68 FR 53660, Sept. 11, 2003]

§ 597.501 Effect of license or authorization.

(a) No license or other authorization contained in this part, or otherwise issued by or under the direction of the Director of the Office of Foreign Assets Control, shall be deemed to authorize or validate any transaction effected prior to the issuance of the license, unless specifically provided in such license or authorization.

(b) No regulation, ruling, instruction, or license authorizes any transaction prohibited under this part unless the regulation, ruling, instruction, or license referring to this part shall be deemed to authorize any transaction prohibited by any provision of this chapter unless the regulation, ruling, instruction, or license is issued by the Office of Foreign Assets Control and specifically refers to this part. No regulation, ruling, instruction, or license referring to this part shall be deemed to authorize any transaction prohibited by any provision of this chapter unless the regulation, ruling, instruction, or license specifically refers to such provision.

(c) Any regulation, ruling, instruction, or license authorizing any transaction otherwise prohibited under this part has the effect of removing a prohibition or prohibitions contained in this part from the transaction, but only to the extent specifically stated by its terms. Unless the regulation, ruling, instruction, or license otherwise specifies, such an authorization does not create any right, duty, obligation, claim, or interest in, or with respect to, any property which would not otherwise exist under ordinary principles of law.

§ 597.502 Exclusion from licenses and authorizations.

The Director of the Office of Foreign Assets Control reserves the right to exclude any person, property, or transaction from the operation of any license, or from the privileges therein conferred, or to restrict the applicability thereof with respect to particular persons, property, transactions, or classes thereof. Such action shall be binding upon all persons receiving actual or constructive notice of such exclusion or restriction.

§ 597.503 Payments and transfers to blocked accounts in U.S. financial institutions.

(a) Any payment of funds or transfer of credit or other financial or economic resources or assets by a financial institution into a blocked account in a U.S. financial institution is authorized, provided that a transfer from a blocked account pursuant to this authorization may only be made to another blocked account held in the same name on the books of the same U.S. financial institution.

(b) This section does not authorize any transfer from a blocked account within the United States to an account held outside the United States.

Note to §597.503: Please refer to §§501.603 and 597.601 of this chapter for mandatory reporting requirements regarding financial transfers.

§ 597.504 Entries in certain accounts for normal service charges authorized.

(a) U.S. financial institutions are hereby authorized to debit any blocked account with such U.S. financial institution in payment or reimbursement for normal service charges owed to such U.S. financial institution by the owner of such blocked account.

(b) As used in this section, the term normal service charge shall include charges in payment or reimbursement for interest due; cable, telegraph, or telephone charges; postage costs; custody fees; small adjustment charges to correct bookkeeping errors; and, but not by way of limitation, minimum balance charges, notary and protest fees, and charges for reference books, photostats, credit reports, transcripts.
of statements, registered mail insurance, stationery and supplies, check books, and other similar items.

§ 597.505 Payment for certain legal services.

Specific licenses may be issued, on a case-by-case basis, authorizing receipt of payment of professional fees and reimbursement of incurred expenses through a U.S. financial institution for the following legal services by U.S. persons:

(a) Provision of legal advice and counseling to a foreign terrorist organization or an agent thereof on the requirements of and compliance with the laws of any jurisdiction within the United States, provided that such advice and counseling is not provided to facilitate transactions in violation of any of the prohibitions of this part;

(b) Representation of a foreign terrorist organization or an agent thereof when named as a defendant in or otherwise made a party to domestic U.S. legal, arbitration, or administrative proceedings;

(c) Initiation and conduct of domestic U.S. legal, arbitration, or administrative proceedings on behalf of a foreign terrorist organization or an agent thereof;

(d) Representation of a foreign terrorist organization or an agent thereof before any federal or state agency with respect to the imposition, administration, or enforcement of U.S. sanctions against a foreign terrorist organization or an agent thereof;

(e) Representation of an agent of a foreign terrorist organization, wherever located, detained within the jurisdiction of the United States or by the United States government, with respect to either such detention or any charges made against such agent, including, but not limited to, the conduct of military commission proceedings and the initiation and conduct of federal court proceedings;

(f) Provision of legal services to a foreign terrorist organization or an agent thereof in any other context in which prevailing U.S. law requires access to legal counsel at public expense; and

(g) Representation of a foreign terrorist organization seeking judicial review of a designation before the United States Court of Appeals for the District of Columbia Circuit pursuant to 8 U.S.C. 1189(b)(1).


§ 597.506 Official activities of certain international organizations; U.S. person employees of certain governments.

(a) Effective April 12, 2006, U.S. financial institutions are authorized to engage in all financial transactions with the Palestinian Authority otherwise prohibited by this part that are for the conduct of the official business of the United Nations, provided that no payment pursuant to this license may involve a debit to an account of the Palestinian Authority on the books of a U.S. financial institution or to any account blocked pursuant to this part.

(b) For purposes of this section only, the term “United Nations” means its principal organs, including funds, bodies, commissions, agencies, departments and other entities of the Security Council, General Assembly, Economic and Social Council and Secretariat, specifically including, among others, the World Bank, the International Monetary Fund, the World Food Programme, and the World Health Organization.

(c) The retention and reporting provisions of §597.201 shall not apply with respect to transactions authorized by paragraph (a) of this section.

[71 FR 27202, May 10, 2006]

§ 597.507 Travel, employment, residence and maintenance transactions with the Palestinian Authority.

(a) Effective April 12, 2006, U.S. financial institutions are authorized to engage in all transactions that are ordinarily incident to U.S. persons’ travel to or from, or employment, residence or personal maintenance within, the jurisdiction of the Palestinian Authority, including, but not limited to, receipt of salaries, payment of living expenses and acquisition of goods or services for personal use. Nothing in this license authorizes any debit to an account of the Palestinian Authority on
§ 597.508 Payment of taxes and incidental fees to the Palestinian Authority.

(a) Effective April 12, 2006, U.S. financial institutions are authorized to conduct all transactions ordinarily incidental to the following activities by U.S. persons: the payment of taxes or fees to, or the purchase or receipt of permits or public utility services from, the Palestinian Authority where such transactions are necessary and ordinarily incident to such persons’ day-to-day operations. Nothing in this license authorizes a debit to an account of the Palestinian Authority on the books of a U.S. financial institution or to any account blocked pursuant to this part. 

(b) The retention and reporting provisions of §597.201 shall not apply with respect to transactions authorized by paragraph (a) of this section.

[71 FR 27202, May 10, 2006]

§ 597.509 Transactions with entities under the control of the Palestinian President and certain other entities.

(a) Effective April 12, 2006, U.S. financial institutions are authorized to engage in all transactions otherwise prohibited under this part with the following entities and individuals:

1. The Palestinian Authority Presidency, including only the Office of the President, Presidential Security, General Intelligence Apparatus, Governors and Governorate staff, the Attorney General’s Office, the Palestine Investment Fund (PIF), the Border Crossings Administration, and the Palestine Broadcasting Corporation (including the Palestine Television, Wafa News Agency, and the General Public Information Agency/State Information Services);

2. The Palestinian Judiciary, including the Higher Judicial Council;

3. Members of the Palestinian Legislative Council (PLC) who were not elected to the PLC on the party slate of Hamas or any other Foreign Terrorist Organization (FTO), Specially Designated Terrorist (SDT), or Specially Designated Global Terrorist (SDGT); and

4. The following independent agencies: The Central Elections Commission; the Independent Citizens Rights Commission; the General Audit Authority/External Audit Agency; and the Palestinian Monetary Authority.

(b) Effective April 12, 2006, U.S. financial institutions are authorized to reject transactions with members of the Palestinian Legislative Council (PLC) who were elected to the PLC on the party slate of Hamas or any other Foreign Terrorist Organization (FTO), Specially Designated Terrorist (SDT), or Specially Designated Global Terrorist (SDGT), provided that any such individuals are not named on OFAC’s list of Specially Designated Nationals and Blocked Persons.

(c) Nothing in this license authorizes a debit to an account of the Palestinian Authority on the books of a U.S. financial institution or to any account blocked pursuant to this part.

(d) The retention and reporting provisions of §597.201 shall not apply with respect to transactions authorized by paragraph (a) of this section. The retention provisions of §597.201 shall not apply with respect to transactions authorized by paragraph (b) of this section.

[71 FR 27202, May 10, 2006]

§ 597.510 Concluding activities with the Palestinian Authority.

(a) Effective April 12, 2006, all transactions and activities with the Palestinian Authority otherwise prohibited under this part are authorized through May 12, 2006, provided that they are necessary to conclude ongoing contracts or programs with the Palestinian Authority, and further provided that no payment pursuant to this license may involve a debit to an account of the Palestinian Authority on the books of a U.S. financial institution or to any account blocked pursuant to this part.

(b) The retention and reporting provisions of §597.201 shall not apply with
§ 597.701 Penalties.
(a) Attention is directed to 18 U.S.C. 2339B(a)(1), as added by Public Law 104–132, 110 Stat. 1250–1253, section 303, which provides that whoever, within the United States or subject to the jurisdiction of the United States, knowingly provides material support or resources to a foreign terrorist organization, or attempts or conspires to do so, shall be fined under title 18, United States Code, or imprisoned for not more than 10 years, or both.

(b) Attention is directed to 18 U.S.C. 2339B(b), as added by Public Law 104–132, 110 Stat. 1250–1253, section 303, which, as adjusted pursuant to the Federal Civil Penalties Inflation Adjustment Act of 1990 (Pub. L. 101–410, as
amended, 28 U.S.C. 2461 note), provides that, except as authorized by the Secretary of the Treasury, any financial institution that knowingly fails to retain possession of or maintain control over funds in which a foreign terrorist organization or its agent has an interest, or to report the existence of such funds in accordance with these regulations, shall be subject to a civil penalty in an amount that is the greater of $55,000 per violation, or twice the amount of which the financial institution was required to retain possession or control.

Note to paragraph (b). The current $55,000 civil penalty cap may be adjusted for inflation pursuant to the Federal Civil Penalties Inflation Adjustment Act of 1990.

(c) Attention is directed to 18 U.S.C. 1001, which provides that whoever, in any matter within the jurisdiction of the executive, legislative, or judicial branch of the Government of the United States, knowingly and willfully falsifies, conceals or covers up by any trick, scheme, or device a material fact, or makes any materially false, fictitious or fraudulent statement or representation, or makes or uses any false writing or document knowing the same to contain any materially false, fictitious or fraudulent statement or entry, shall be fined under title 18, United States Code, or imprisoned not more than 5 years, or both.

(d) Conduct covered by this part may also be subject to relevant provisions of other applicable laws.


§ 597.702 Prepenalty notice.

(a) When required. If the Director of the Office of Foreign Assets Control has reasonable cause to believe that there has occurred a violation of any provision of this part or a violation of the provisions of any license, ruling, regulation, order, direction or instruction issued by or pursuant to the direction or authorization of the Secretary of the Treasury pursuant to this part, and the Director, acting in coordination with the Attorney General, determines that civil penalty proceedings are warranted, the Director shall issue to the person concerned a notice of intent to impose a monetary penalty. The prepenalty notice shall be issued whether or not another agency has taken any action with respect to this matter.

(b) Contents—(1) Facts of violation. The prepenalty notice shall describe the violation, specify the laws and regulations allegedly violated, and state the amount of the proposed monetary penalty.

(2) Right to respond. The prepenalty notice also shall inform the respondent of respondent's right to respond within 30 days of mailing of the notice as to why a monetary penalty should not be imposed, or, if imposed, why it should be in a lesser amount than proposed.

§ 597.703 Response to prepenalty notice.

(a) Time within which to respond. The respondent shall have 30 days from the date of mailing of the prepenalty notice to respond in writing to the Director of the Office of Foreign Assets Control.

(b) Form and contents of written response. The written response need not be in any particular form, but shall contain information sufficient to indicate that it is in response to the prepenalty notice. It should respond to the allegations in the prepenalty notice and set forth the reasons why the respondent believes the penalty should not be imposed or, if imposed, why it should be in a lesser amount than proposed.

(c) Informal settlement. In addition or as an alternative to a written response to a prepenalty notice pursuant to this section, the respondent or respondent's representative may contact the Office of Foreign Assets Control as advised in the prepenalty notice to propose the settlement of allegations contained in the prepenalty notice and related matters. In the event of settlement at the prepenalty stage, the prepenalty notice will be withdrawn, the respondent is not required to take a written position on allegations contained in the prepenalty notice, and the Office of Foreign Assets Control will make no final determination as to whether a violation occurred. The amount accepted in settlement of allegations in a prepenalty notice may vary from the
civil penalty that might finally be imposed in the event of a formal determination of violation. In the event no settlement is reached, the 30-day period specified in paragraph (a) of this section for written response to the prepenalty notice remains in effect unless additional time is granted by the Office of Foreign Assets Control.

§ 597.704 Penalty notice.
(a) No violation. If, after considering any written response to the prepenalty notice and any relevant facts, the Director of the Office of Foreign Assets Control determines that there was no violation by the respondent, the Director promptly shall notify the respondent in writing of that determination and that no monetary penalty will be imposed.

(b) Violation. (1) If, after considering any written response to the prepenalty notice and any relevant facts, the Director of the Office of Foreign Assets Control determines that there was a violation by the respondent, the Director promptly shall issue a written notice of the imposition of the monetary penalty on the respondent. The issuance of a written notice of the imposition of a monetary penalty shall constitute final agency action.

(2) The penalty notice shall inform the respondent that payment of the assessed penalty must be made within 30 days of the mailing of the penalty notice.

(3) The penalty notice shall inform the respondent of the requirement to furnish respondent’s taxpayer identification number pursuant to 31 U.S.C. 7701 and that the Department intends to use such number for the purposes of collecting and reporting on any delinquent penalty amount in the event of a failure to pay the penalty imposed.

§ 597.705 Administrative collection; referral to United States Department of Justice.

In the event that the respondent does not pay the penalty imposed pursuant to this part or make payment arrangements acceptable to the Director of the Office of Foreign Assets Control within 30 days of the mailing of the written notice of the imposition of the penalty, the matter may be referred for administrative collection measures by the Department of the Treasury or to the United States Department of Justice for appropriate action to recover the penalty in a civil suit in a Federal district court.
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PART 598—FOREIGN NARCOTICS KINGPIN SANCTIONS REGULATIONS

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SOURCE: 65 FR 41336, July 5, 2000, unless otherwise noted.

Subpart A—Relation of This Part to Other Laws and Regulations

§ 598.101 Relation of this part to other laws and regulations.

(a) This part is separate from, and independent of, the other parts of this chapter, including part 536 of this chapter, “Narcotics Trafficking Sanctions Regulations,” with the exception of part 501 of this chapter, the provisions of which apply to this part. Actions

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taken pursuant to part 501 of this chapter with respect to the prohibitions contained in this part are considered actions taken pursuant to this part. Differing foreign policy and national security contexts may result in differing interpretations of similar language among the parts of this chapter. No license or authorization contained in or issued pursuant to those other parts authorizes any transaction prohibited by this part. No license or authorization contained in or issued pursuant to any other provision of law or regulation authorizes any transaction prohibited by this part.

(b) No license contained in or issued pursuant to this part relieves the involved parties from complying with any other applicable laws or regulations.

Subpart B—Prohibitions

§ 598.201 Applicability of sanctions.

A specially designated narcotics trafficker is subject to any and all sanctions authorized by the Foreign Narcotics Kingpin Designation Act and implemented in this part. The application of sanctions on any specially designated narcotics trafficker will remain in effect until revoked by the President pursuant to section 804(h)(2) of the Foreign Narcotics Kingpin Designation Act, waived by the President pursuant to section 804(g)(1) of that Act, or revoked by the Secretary of the Treasury pursuant to section 805(e)(1)(A) of that Act.

§ 598.202 Blocking of assets.

Except to the extent provided in regulations, orders, instructions, licenses, or directives issued pursuant to this part, and notwithstanding any contract entered into or any license or permit granted prior to the effective date, there are blocked as of the effective date, and any date thereafter, all such property and interests in property within the United States, or within the possession or control of any United States person, which are owned or controlled by a specially designated narcotics trafficker.

§ 598.203 Prohibited transactions involving blocked property.

(a) Except to the extent provided in regulations, orders, instructions, licenses, or directives issued pursuant to this part, and notwithstanding any contract entered into or any license or permit granted prior to the effective date, any transaction or dealing by a United States person, or within the United States, in property or interests in property of a specially designated narcotics trafficker is prohibited.

(b) Unless otherwise authorized by this part or by a specific license expressly referring to this section, any dealing in any security (or evidence thereof) held within the possession or control of a U.S. person and either registered or inscribed in the name of or known to be held for the benefit of any specially designated narcotics trafficker is prohibited. This prohibition includes but is not limited to the transfer (including the transfer on the books of any issuer or agent thereof), disposition, transportation, importation, exportation, or withdrawal of any such security or the endorsement or guaranty of signatures on any such security.

(c) When a transaction results in the blocking of funds at a financial institution pursuant to this section and a party to the transaction believes the funds have been blocked due to mistaken identity, that party may seek to have such funds unblocked pursuant to the administrative procedures set forth in §501.806 of this chapter.

§ 598.204 Evasions; attempts; conspiracies.

Except to the extent provided in regulations, orders, instructions, licenses, or directives issued pursuant to this part, and notwithstanding any contract entered into or any license or permit granted prior to the effective date, any transaction or dealing by any United States person, or within the United States, that evades or avoids, or has the effect of evading or avoiding, and any endeavor, attempt, or conspiracy to violate any of the prohibitions set forth in this part is prohibited.
§ 598.205 Effect of transfers violating the provisions of this part.

(a) Any transfer after the effective date that is in violation of any provision of this part or of any regulation, order, directive, ruling, instruction, or license issued pursuant to this part, and that involves any property or interest in property of a specially designated narcotics trafficker is null and void and shall not be the basis for the assertion or recognition of any interest in or right, remedy, power, or privilege with respect to such property or property interests.

(b) No transfer before the effective date shall be the basis for the assertion or recognition of any right, remedy, power, or privilege with respect to, or any interest in, any property or interest in property of a specially designated narcotics trafficker, unless the person with whom such property is held or maintained, prior to that date, had written notice of the transfer or by any written evidence had recognized such transfer.

(c) Unless otherwise provided, an appropriate license or other authorization issued by or pursuant to the direction or authorization of the Director of the Office of Foreign Assets Control before, during, or after a transfer shall validate such transfer or make it enforceable to the same extent that it would be valid or enforceable but for the provisions of the Foreign Narcotics Kingpin Designation Act, this part, and any regulation, order, directive, ruling, instruction, or license issued pursuant to this part.

(d) Property transfers that otherwise would be null and void or unenforceable by virtue of the provisions of this section shall not be deemed to be null and void or unenforceable as to any person with whom such property was held or maintained (and as to such person only) in cases in which such person is able to establish to the satisfaction of the Director of the Office of Foreign Assets Control each of the following:

(1) Such transfer did not represent a willful violation of the provisions of this part by the person with whom such property was held or maintained;

(2) The person with whom such property was held or maintained did not have reasonable cause to know or suspect, in view of all the facts and circumstances known or available to such person, that such transfer required a license issued pursuant to this part and was not so licensed, or if a license did purport to cover the transfer, that such license had been obtained by misrepresentation of a third party or withholding of material facts or was otherwise fraudulently obtained; and

(3) The person with whom such property was held or maintained filed with the Office of Foreign Assets Control a report setting forth in full the circumstances relating to such transfer promptly upon discovery that:

(i) Such transfer was in violation of the provisions of this part or any regulation, ruling, instruction, direction, or license issued pursuant to this part;

(ii) Such transfer was not licensed or authorized by the Director of the Office of Foreign Assets Control; or

(iii) If a license did purport to cover the transfer, such license had been obtained by misrepresentation of a third party or withholding of material facts or was otherwise fraudulently obtained.

NOTE TO PARAGRAPH (d) OF § 598.205: The filing of a report in accordance with the provisions of paragraph (d)(3) of this section shall not be deemed evidence that the terms of paragraphs (d)(1) and (2) of this section have been satisfied.

(e) Unless licensed or authorized pursuant to this part, any attachment, judgment, decree, lien, execution, garnishment, or other judicial process is null and void with respect to any property in which on or since the effective date there existed an interest of a specially designated narcotics trafficker.

§ 598.206 Holding of funds in interest-bearing accounts; investment and reinvestment.

(a) Except as provided in paragraph (c) or (d) of this section, or as otherwise directed by the Office of Foreign Assets Control, any U.S. person holding funds, such as currency, bank deposits, or liquidated financial obligations, subject to § 598.202 shall hold or place such funds in a blocked interest-bearing account located in the United States.
Office of Foreign Assets Control, Treasury

§ 598.305

(b)(1) For purposes of this section, the term blocked interest-bearing account means a blocked account:

(i) In a federally-insured U.S. bank, thrift institution, or credit union, provided the funds are earning interest at rates that are commercially reasonable; or

(ii) With a broker or dealer registered with the Securities and Exchange Commission under the Securities Exchange Act of 1934, provided the funds are invested in a money market fund or in U.S. Treasury bills.

(2) For purposes of this section, a rate is commercially reasonable if it is the rate currently offered to other depositors on deposits or instruments of comparable size and maturity.

(3) Funds held or placed in a blocked account pursuant to this paragraph (b) may not be invested in instruments the maturity of which exceeds 180 days. If interest is credited to a separate blocked account or sub-account, the name of the account party on each account must be the same.

(c) Blocked funds held in instruments the maturity of which exceeds 180 days at the time the funds become subject to §598.202 may continue to be held until maturity in the original instrument, provided any interest, earnings, or other proceeds derived therefrom are paid into a blocked interest-bearing account in accordance with paragraph (b) or (d) of this section.

(d) Blocked funds held in accounts or instruments outside the United States at the time the funds become subject to §598.202 may continue to be held in the same type of accounts or instruments, provided the funds earn interest at rates that are commercially reasonable.

(e) This section does not create an affirmative obligation for the holder of blocked tangible property, such as chattels or real estate, or of other blocked property, such as debt or equity securities, to sell or liquidate such property at the time the property becomes subject to §598.202. However, the Office of Foreign Assets Control may issue licenses permitting or directing such sales in appropriate cases.

(f) Funds subject to this section may not be held, invested, or reinvested in a manner that provides immediate financial or economic benefit or access to specially designated narcotics traffickers, nor may their holder cooperate in or facilitate the pledging or other attempted use as collateral of blocked funds or other assets.

Note to §598.206: Please refer to §598.505 for authorized investment and reinvestment of certain funds held in blocked accounts.

Subpart C—General Definitions

§ 598.301 Blocked account; blocked property.

The terms blocked account and blocked property mean any account or property subject to §598.202 held in the name of a specially designated narcotics trafficker, or in which a specially designated narcotics trafficker has an interest, and with respect to which payments, transfers, exportations, withdrawals, or other dealings may not be made or effected except pursuant to an authorization or license from the Office of Foreign Assets Control authorizing such action.

§ 598.302 Effective date.

The term effective date refers to the effective date of the applicable prohibitions and directives of this part, which is December 3, 1999, or, in the case of specially designated narcotics traffickers designated after that date, the earlier of the date on which actual or constructive notice of such designation is received.

§ 598.303 Entity.

The term entity means a partnership, joint venture, association, corporation, organization, network, group, or sub-group, or any form of business collaboration.

§ 598.304 Foreign Narcotics Kingpin Designation Act.


§ 598.305 Foreign person.

The term foreign person means any citizen or national of a foreign state or
any entity not organized under the laws of the United States, but does not include a foreign state.

§ 598.306 General license.

The term general license means any license or authorization the terms of which are set forth in this part.

§ 598.307 Interest.

Except as otherwise provided in this part, the term interest when used with respect to property (e.g., an interest in property) means an interest of any nature whatsoever, direct or indirect.

§ 598.308 License.

Except as otherwise specified, the term license means any license or authorization contained in or issued pursuant to this part.

§ 598.309 Narcotic drug; controlled substance; listed chemical.

The terms narcotic drug, controlled substance, and listed chemical have the meanings given those terms in section 102 of the Controlled Substances Act (21 U.S.C. 802).

§ 598.310 Narcotics trafficking.

The term narcotics trafficking means any illicit activity to cultivate, produce, manufacture, distribute, sell, finance, or transport narcotic drugs, controlled substances, or listed chemicals, or otherwise endeavor or attempt to do so, or to assist, abet, conspire, or collude with others to do so.

§ 598.311 Person.

The term person means an individual or entity.

§ 598.312 Property; property interest.

The terms property and property interest include but are not limited to money, checks, drafts, bullion, bank deposits, savings accounts, debts, indebtedness, obligations, notes, guarantees, debentures, stocks, bonds, coupons, any other financial instruments, bankers acceptances, mortgages, pledges, liens or other rights in the nature of security, warehouse receipts, bills of lading, trust receipts, bills of sale, any other evidences of title, ownership, or indebtedness, letters of credit and any documents relating to any rights or obligations thereunder, powers of attorney, goods, wares, merchandise, chattels, stocks on hand, ships, goods on ships, real estate mortgages, deeds of trust, vendors’ sales agreements, land contracts, leaseholds, ground rents, real estate and any other interest therein, options, negotiable instruments, trade acceptances, royalties, book accounts, accounts payable, judgments, patents, trademarks or copyrights, insurance policies, safe deposit boxes and their contents, annuities, pooling agreements, services of any nature whatsoever, contracts of any nature whatsoever, and any other property, real, personal, or mixed, tangible or intangible, or interest or interests therein, whether present, future, or contingent.

§ 598.313 Significant foreign narcotics trafficker.

The term significant foreign narcotics trafficker means any foreign person that plays a significant role in international narcotics trafficking that the President has determined to be appropriate for sanctions and has publicly identified under section 804(b) or section 804(h)(1) of the Foreign Narcotics Kingpin Designation Act.

§ 598.314 Specially designated narcotics trafficker.

The term specially designated narcotics trafficker means:

(a) Significant foreign narcotics traffickers; and

(b) Foreign persons designated by the Secretary of the Treasury, in consultation with the Attorney General, the Director of Central Intelligence, the Director of the Federal Bureau of Investigation, the Administrator of the Drug Enforcement Administration, the Secretary of Defense, and the Secretary of State, because they are found to be:

(1) Materially assisting in, or providing financial or technological support for or to, or providing goods or services in support of, the international narcotics trafficking activities of a specially designated narcotics trafficker;

(2) Owned, controlled, or directed by, or acting for or on behalf of, a specially designated narcotics trafficker; or
(3) Playing a significant role in international narcotics trafficking.

NOTE TO § 598.314: Please refer to the appendices at the end of this chapter V for listings of persons determined to fall within this definition who have been designated pursuant to this part. Section 501.807 of this chapter V sets forth the procedures to be followed by persons seeking administrative reconsideration of their designation or who wish to assert that the circumstances resulting in designation no longer apply.

§ 598.315 Specific license.

The term specific license means any license not set forth in this part but issued pursuant to this part.

§ 598.316 Transfer.

The term transfer means any actual or purposed act or transaction, whether or not evidenced by writing, and whether or not done or performed within the United States, the purpose, intent, or effect of which is to create, surrender, release, convey, transfer, or alter, directly or indirectly, any right, remedy, power, privilege, or interest with respect to any property. Without limitation upon the foregoing, the term transfer includes the making, execution, or delivery of any assignment, power, conveyance, check, declaration, deed, deed of trust, power of attorney, power of appointment, bill of sale, mortgage, receipt, agreement, contract, certificate, gift, sale, affidavit, or statement; the making of any payment; the setting off of any obligation or credit; the appointment of any agent, trustee, or fiduciary; the creation or transfer of any lien; the issuance, docketing, filing, or levy of or under any judgment, decree, attachment, injunction, execution, or other judicial or administrative process or order; the service of any garnishment; the acquisition of any interest of any nature whatsoever by reason of a judgment or decree of any foreign country; the fulfillment of any condition; the exercise of any power of appointment, power of attorney, or other power; or the acquisition, disposition, transportation, importation, exportation, or withdrawal of any security.

§ 598.317 United States.

The term United States means the United States, its territories and possessions, and all areas under the jurisdiction or authority thereof.

§ 598.318 United States person; U.S. person.

The term United States person or U.S. person means any United States citizen or national, permanent resident alien, an entity organized under the laws of the United States (including its foreign branches), or any person within the United States.

§ 598.319 U.S. financial institution.

The term U.S. financial institution means any U.S. entity (including a foreign branch) that is engaged in the business of accepting deposits, making, granting, transferring, holding, or brokering loans or credits, or purchasing or selling foreign exchange, securities, commodity futures or options, as principal or agent. This term includes but is not limited to depository institutions, banks, savings banks, trust companies, securities brokers and dealers, commodity futures and options brokers and dealers, forward contract and foreign exchange merchants, securities and commodities exchanges, clearing corporations, investment companies, employee benefit plans, and U.S. holding companies, U.S. affiliates, or U.S. subsidiaries of any of the foregoing. This term includes those branches, offices, and agencies of foreign financial institutions which are located in the United States, but not such institutions' foreign branches, offices, or agencies.

Subpart D—Interpretations

§ 598.401 Reference to amended sections.

Except as otherwise specified, reference to any provision in or appendix to this part or chapter or to any regulation, ruling, order, instruction, direction, or license issued pursuant to this part refers to the same as currently amended.
§ 598.402 Effect of amendment.

Unless otherwise specifically provided, any amendment, modification, or revocation of any provision in or appendix to this part or chapter or of any order, regulation, ruling, instruction, or license issued by or under the direction of the Director of the Office of Foreign Assets Control does not affect any act done or omitted, or any civil or criminal suit or proceeding commenced or pending prior to such amendment, modification, or revocation. All penalties, forfeitures, and liabilities under any such order, regulation, ruling, instruction, or license continue and may be enforced as if such amendment, modification, or revocation had not been made.

§ 598.403 Termination and acquisition of an interest in blocked property.

(a) Whenever a transaction licensed pursuant to this part results in the transfer of property (including any property interest) away from a specially designated narcotics trafficker, the transferred property will no longer be considered property in which that person has or has had an interest. Provided no other specially designated narcotics trafficker has any interest in the transferred property following the transfer, the transferred property will no longer be considered property blocked pursuant to §598.202.

(b) Unless otherwise specifically provided in a license issued pursuant to this part, provide legal, accounting, financial, brokering, freight forwarding, transportation, public relations, or other services to a specially designated narcotics trafficker. See §598.507 on licensing policy with regard to the provision of certain legal services.

§ 598.404 Setoffs prohibited.

A setoff against blocked property (including a blocked account), whether by a U.S. financial institution or other U.S. person, is a prohibited transfer under §598.203 if effected after the effective date.

§ 598.405 Transactions incidental to a licensed transaction.

Any transaction ordinarily incident to a licensed transaction and necessary to give effect to the licensed transaction is also authorized by the license. Except as specifically authorized by the terms of a license, prohibited transactions by specially designated narcotics traffickers and debits to accounts blocked pursuant to §598.202 are not considered incidental to a licensed transaction and therefore remain prohibited.

§ 598.406 Provision of services.

(a) The prohibitions contained in §598.203 apply to services performed by U.S. persons, wherever located:

(1) On behalf of or for the benefit of a specially designated narcotics trafficker; or

(2) With respect to property interests of a specially designated narcotics trafficker.

(b) Example: U.S. persons may not, except as authorized by or pursuant to this part, provide legal, accounting, financial, brokering, freight forwarding, transportation, public relations, or other services to a specially designated narcotics trafficker. See §598.507 on licensing policy with regard to the provision of certain legal services.

§ 598.407 Offshore transactions.

The prohibitions contained in §598.203 apply to transactions by any U.S. person in a location outside the United States with respect to property in which the U.S. person knows, or has reason to know, that a specially designated narcotics trafficker has or has had an interest since the effective date.

§ 598.408 Alleged change in ownership or control of an entity designated as a specially designated narcotics trafficker.

(a) A change or alleged change in ownership or control of an entity designated as a specially designated narcotics trafficker shall not be the basis for removal of that entity from the list of specially designated narcotics traffickers unless, upon investigation by the Office of Foreign Control and submission of evidence by the entity, it is demonstrated to the satisfaction of the Director of the Office of Foreign Assets Control that the transfer to a bona fide purchaser at arm’s length, or other
means of changing ownership or control, is legitimate and that the entity no longer meets the criteria for designation under § 598.314. Evidence submitted must conclusively demonstrate that all ties with other specially designated narcotics traffickers have been completely severed, and may include, but is not limited to, articles of incorporation; identification of new directors, officers, shareholders, and sources of capital; and contracts evidencing the sale of the entity to its new owners.

(b) Any continuing substantial financial obligations on the part of the new owners to any specially designated narcotics traffickers, including long-term payment plans, leases, or rents, will be considered as evidence of continuing control of the entity by the specially designated narcotics trafficker. Purchase of a designated entity without ongoing substantial financial obligations to a specially designated narcotics trafficker may nonetheless be a basis for subsequent designation of the purchaser, if the transaction is determined materially to assist in or provide financial support for the international narcotics trafficking activities of specially designated narcotics traffickers for purposes of § 598.314(b)(1). For example, any acquisition transaction resulting in a direct cash transfer to or other enrichment of a specially designated narcotics trafficker could lead to designation of the purchaser. Mere change in name of an entity will not be considered as constituting a change of the entity’s status.

§ 598.409 Credit extended and cards issued by U.S. financial institutions.

The prohibition in § 598.203 on dealing in property in which a specially designated narcotics trafficker has an interest prohibits U.S. financial institutions from performing under any existing credit agreements, including, but not limited to, charge cards, debit cards, or other credit facilities issued by a U.S. financial institution to a specially designated narcotics trafficker.

§ 598.410 Payments from blocked accounts to U.S. exporters and for other obligations prohibited.

No debits may be made to a blocked account to pay obligations to U.S. persons or other persons, including payment for goods or services exported prior to the effective date of the blocking, except as authorized pursuant to this part.

Subpart E—Licenses, Authorizations, and Statements of Licensing Policy

§ 598.501 General and specific licensing procedures.

For provisions relating to licensing procedures, see part 501, subpart E, of this chapter. Licensing actions taken pursuant to part 501 of this chapter with respect to the prohibitions contained in this part are considered actions taken pursuant to this part.

[65 FR 41336, July 5, 2000, as amended at 68 FR 53660, Sept. 11, 2003]

§ 598.502 Effect of license.

(a) No license contained in this part, or otherwise issued by or under the direction of the Director of the Office of Foreign Assets Control pursuant to this part, authorizes or validates any transaction effected prior to the issuance of the license, unless the prior transaction is specifically authorized in such license.

(b) No regulation, ruling, instruction, or license authorizes any transaction prohibited by this part unless the regulation, ruling, instruction, or license is issued by the Office of Foreign Assets Control and specifically refers to this part. No regulation, ruling, instruction, or license referring to this part authorizes any transaction prohibited by any provision of this chapter unless the regulation, ruling, instruction, or license specifically refers to such provision.

(c) Any regulation, ruling, instruction, or license authorizing any transaction otherwise prohibited by this part has the effect of removing from the transaction a prohibition or prohibitions contained in this part, but only to the extent specifically stated by its terms. Unless the regulation, ruling, instruction, or license otherwise specifies, such an authorization does not create any right, duty, obligation, claim, or interest that would not otherwise exist under ordinary principles.
§ 598.503 Exclusion from licenses.

The Director of the Office of Foreign Assets Control reserves the right to exclude any person, property, or transaction from the operation of any license or from the privileges conferred by any license. The Director of the Office of Foreign Assets Control also reserves the right to restrict the applicability of any license to particular persons, property, transactions, or classes thereof. Such actions are binding upon all persons receiving actual or constructive notice of the exclusions or restrictions.

§ 598.504 Payments and transfers to blocked accounts in U.S. financial institutions.

Any payment of funds or transfer of credit in which a specially designated narcotics trafficker has any interest that comes within the possession or control of a U.S. financial institution must be blocked in an account on the books of that financial institution. A transfer of funds or credit by a U.S. financial institution between blocked accounts in its branches or offices is authorized, provided that no transfer is made from an account within the United States to an account held outside the United States in a blocked account or subaccount under any name or designation that differs from the name or designation of the specific blocked account or subaccount in which such funds or securities were held; and

(c) No immediate financial or economic benefit accrues (e.g., through pledging or other use) to the specially designated narcotics trafficker.

§ 598.505 Investment and reinvestment of certain funds.

Subject to the requirements of § 598.206, U.S. financial institutions are authorized to invest and reinvest assets held in blocked accounts in the name of a specially designated narcotics trafficker, subject to the following conditions:

(a) The assets representing such investments and reinvestments are credited to a blocked account or sub-account that is held in the same name at the same U.S. financial institution, or within the possession or control of a U.S. person, but in no case may funds be transferred outside the United States for this purpose;

(b) The proceeds of such investments and reinvestments are not credited to a blocked account or subaccount under any name or designation that differs from the name or designation of the specific blocked account or subaccount in which such funds or securities were held; and

§ 598.506 Entries in certain accounts for normal service charges authorized.

(a) U.S. financial institutions are authorized to debit any blocked account with such U.S. financial institution in payment or reimbursement for normal service charges owed to such U.S. financial institution by the owner of such blocked account.

(b) As used in this section, the term normal service charges includes but is not limited to charges in payment or reimbursement for interest due; cable, telegraph, or telephone charges; postage costs; custody fees; small adjustment charges to correct bookkeeping errors; minimum balance charges; notary and protest fees; and charges for reference books, photocopies, credit reports, transcripts of statements, registered mail, insurance, stationery and supplies, and other similar items.

§ 598.507 Provision of certain legal services authorized.

(a) The provision to or on behalf of a specially designated narcotics trafficker of the legal services set forth in paragraph (b) of this section is authorized, provided that all receipt of payment for such services must be specifically licensed.

(b) Specific licenses may be issued on a case-by-case basis authorizing receipt from unblocked sources of payment of professional fees and reimbursement of incurred expenses for the following legal services by U.S. persons to a specially designated narcotics trafficker:
Office of Foreign Assets Control, Treasury

§ 598.701 Provision of legal advice and counseling on the requirements of and compliance with the laws of any jurisdiction within the United States, provided that such advice and counseling is not provided to facilitate transactions that would violate any prohibition contained in this chapter;

(2) Representation of a specially designated narcotics trafficker when named as a defendant in or otherwise made a party to domestic U.S. legal, arbitration, or administrative proceedings;

(3) Initiation and conduct of domestic U.S. legal, arbitration, or administrative proceedings in defense of property interests subject to U.S. jurisdiction of a specially designated narcotics trafficker;

(4) Representation of a specially designated narcotics trafficker before any federal or state agency with respect to the imposition, administration, or enforcement of U.S. sanctions against such person; and

(5) Provision of legal services in any other context in which prevailing U.S. law requires access to legal counsel at public expense.

(c) The provision of any other legal services to a specially designated narcotics trafficker, not otherwise authorized in this part, requires the issuance of a specific license.

Subpart G—Penalties

§ 598.701 Penalties.

(a) Attention is directed to section 807 of the Foreign Narcotics Kingpin Designation Act, which is applicable to violations of the provisions of any license, rule, or regulation issued by or pursuant to the direction or authorization of the Secretary of Treasury pursuant to this part or otherwise under that Act. Section 807 of the Foreign Narcotics Kingpin Designation Act, as adjusted pursuant to the Federal Civil Penalties Inflation Adjustment Act of 1990 (Public Law 101–410, as amended, 28 U.S.C. 2461 note), provides that:

(1) Whoever willfully violates the provisions of the Foreign Narcotics Kingpin Designation Act, or any license, rule, or regulation issued pursuant to that Act, or willfully neglects or refuses to comply with any order of the President issued under that Act, shall be imprisoned for not more than 10 years, fined in the amount provided in title 18, United States Code, or both, or, in the case of an entity, fined not more than $10,000,000;

(2) Any officer, director, or agent of any entity who knowingly participates in a violation of the provisions of the Foreign Narcotics Kingpin Designation Act, shall be imprisoned for not more than 30 years, fined not more than $5,000,000, or both;

(3) A civil penalty not to exceed $1,075,000 per violation may be imposed by the Secretary of the Treasury on any person who violates any license, order, rule, or regulation issued in compliance with the provisions of the Foreign Narcotics Kingpin Designation Act.

NOTE TO PARAGRAPH (a)(3). The current $1,075,000 civil penalty cap may be adjusted for inflation pursuant to the Federal Civil Penalties Inflation Adjustment Act of 1990.

(b) The criminal penalties provided in this part are subject to increase pursuant to 18 U.S.C. 3571.

(c) Attention is directed to 18 U.S.C. 1001, which provides that whoever, in any matter within the jurisdiction of any department or agency of the
§ 598.702 Prepenalty notice.

(a) When required. If the Director of the Office of Foreign Assets Control has reasonable cause to believe that there has occurred a violation of any provision of this part or a violation of the provisions of any license, ruling, regulation, order, direction, or instruction issued by or pursuant to the direction or authorization of the Secretary of the Treasury pursuant to this part or otherwise under the Foreign Narcotics Kingpin Designation Act, and the Director determines that further proceedings are warranted, the Director shall issue to the person concerned a notice of intent to impose a monetary penalty. This prepenalty notice shall be issued whether or not another agency has taken any action with respect to this matter.

(b) Contents—(1) Facts of violation. The prepenalty notice shall describe the violation, specify the laws and regulations allegedly violated, and state the amount of the proposed monetary penalty.

(2) Right to respond. The prepenalty notice also shall inform the respondent’s right to make a written presentation within 30 days of the date of mailing of the prepenalty notice to make a written response to the Director of the Office of Foreign Assets Control.

(b) Form and contents of response. The written response need not be in any particular form, but must contain information sufficient to indicate that it is in response to the prepenalty notice. It should contain responses to the allegations in the prepenalty notice and set forth the reasons why the respondent believes the penalty should not be imposed or why, if imposed, it should be in a lesser amount than proposed.

(c) Informal settlement. In addition or as an alternative to a written response to a prepenalty notice issued pursuant to this section, the respondent or respondent’s representative may contact the Office of Foreign Assets Control as advised in the prepenalty notice to propose the settlement of allegations contained in the prepenalty notice and related matters. In the event of settlement at the prepenalty stage, the claim proposed in the prepenalty notice will be withdrawn, the respondent will not be required to take a written position on allegations contained in the prepenalty notice, and the Office of Foreign Assets Control will make no final determination as to whether a violation occurred. The amount accepted in settlement of allegations in a prepenalty notice may vary from the civil penalty that might finally be imposed in the event of a formal determination of violation. In the event no settlement is reached, the 30-day period specified in paragraph (a) of this section for written response to the prepenalty notice remains in effect unless additional time is granted by the Office of Foreign Assets Control.

§ 598.704 Penalty imposition or withdrawal.

(a) No violation. If, after considering any response to a prepenalty notice and any relevant facts, the Director of the Office of Foreign Assets Control determines that there was no violation by the respondent named in the prepenalty notice, the Director promptly shall notify the respondent in writing of that determination and that no monetary penalty will be imposed.
Section 598.705 Administrative collection; referral to United States Department of Justice.

In the event that the respondent does not pay a penalty imposed pursuant to this part or make payment arrangements acceptable to the Director of the Office of Foreign Assets Control within 30 days of the date of mailing of a penalty notice, the matter may be referred for administrative collection measures by the Department of the Treasury or to the United States Department of Justice for appropriate action to recover the penalty in a civil suit in a Federal district court.

Section 598.706 Judicial review of civil penalty.

A civil penalty imposed pursuant to this subpart G is subject to judicial review only to the extent provided in 5 U.S.C. 702.

Subpart H—Procedures

Section 598.801 Procedures.

For license application procedures and procedures relating to amendments, modifications, or revocations of licenses; administrative decisions; rulemaking; and requests for documents pursuant to the Privacy Act (5 U.S.C. 552a), see part 501, subpart E of this chapter.

[65 FR 41336, July 5, 2000, as amended at 68 FR 53660, Sept. 11, 2003]

Section 598.804 Availability of information pursuant to the Freedom of Information Act.

Any record or information obtained or created in the implementation of this part is subject to disclosure under section 552(a)(3) of the Freedom of Information Act. Information required to be made available to the public under other provisions of the Freedom of Information Act (5 U.S.C. 552) will be made available in accordance with §501.805(a) of this chapter.

Section 598.803 Delegation by the Secretary of the Treasury.

Any action that the Secretary of the Treasury is authorized to take pursuant to the Foreign Narcotics Kingpin Designation Act may be taken by the Director of the Office of Foreign Assets Control or by any other person to whom the Secretary of the Treasury has delegated authority so to act.

Subpart I—Paperwork Reduction Act

Section 598.901 Paperwork Reduction Act notice.

For approval by the Office of Management and Budget ("OMB") under the Paperwork Reduction Act of 1995 (44 U.S.C. 3507) of information collections relating to recordkeeping and reporting requirements, licensing procedures (including those pursuant to statements of licensing policy), and other procedures, see §501.901 of this chapter. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid control number assigned by OMB.

Appendixes to Chapter V—Note

Notes: The alphabetical lists below provide the following information (to the extent known) concerning blocked persons, specially designated nationals, specially designated terrorists, foreign terrorist organizations, specially designated narcotics traffickers and blocked vessels:
1. For blocked individuals: name and title (known aliases), address, (other identifying information), (the notation "individual"), (sanctions program under which the individual is blocked).

2. For blocked entities: name (known former or alternate names), address, (sanctions program under which the entity is blocked).

3. For blocked vessels: name, sanctions program under which the vessel is blocked, registration of vessel, type, size in dead weight and/or gross tons, call sign, vessel owner, and alternate names.

4. Abbreviations. "a.k.a." means "also known as"; "f.k.a." means "formerly known as"; "n.k.a." means "now known as"; "DOB" means "date of birth"; "DWT" means "deadweight"; "GHT" means "Gross Registered Tonnage"; "POB" means "place of birth".

5. U.S. financial institutions are cautioned to review the details of a transaction prior to blocking in which the abbreviation of a foreign terrorist organization ("FTO") appears in appendix A to ensure that the transaction relates to the FTO.

6. Except in limited circumstances, financial institutions are instructed to reject any funds transfer referencing a blocked vessel and must notify OFAC, preferably via facsimile with a copy of the payment instructions, that funds have been returned to remitter due to the possible involvement of a blocked vessel in the underlying transaction. See §501.604(b)(1) of this chapter. Financial institutions should contact OFAC's Compliance Programs Division for further instructions.

7. References to regulatory parts in chapter V or other authorities:

[BALKANS]: Western Balkans Stabilization Regulations, part 588; Executive Order 13304, 68 FR 32315;

[BELARUS]: Belarus Sanctions Regulations, part 548;

[BURMA]: Burmese Sanctions Regulations, part 537; Executive Order 13448, 72 FR 60229; Executive Order 13464, 73 FR 24491;

[COTED]: Persons Contributing to the Conflict in Côte d'Ivoire Sanctions Regulations, part 543;

[CUBA]: Cuban Assets Control Regulations, part 515;

[DARFUR]: Darfur Sanctions Regulations, part 546;

[DRCONGO]: Democratic Republic of the Congo Sanctions Regulations, part 547;

[FTO]: Foreign Terrorist Organizations Sanctions Regulations, part 597;

[IRAN]: Iranian Transactions Regulations, part 560;

[IRAQ2]: Executive Order 13315, 68 FR 52315; Executive Order 13350, 69 FR 46905;

[IRAQ3]: Executive Order 13438, 72 FR 39719;


[LEBANON]: Executive Order 13441, 72 FR 43499;

[LIBERIA]: Former Liberian Regime of Charles Taylor Sanctions Regulations, part 593;

[NPWD]: Weapons of Mass Destruction Proliferators Sanctions Regulations, part 544;

[SDGT]: Global Terrorism Sanctions Regulations, part 594;

[SDNT]: Narcotics Trafficking Sanctions Regulations, part 536;

[SDNTK]: Foreign Narcotics Kingpin Sanctions Regulations, part 596;

[SDT]: Terrorism Sanctions Regulations, part 595;

[SOMALIA]: Somalia Sanctions Regulations, part 551;

[SUDAN]: Sudanese Sanctions Regulations, part 538;

[SYRIA]: Syrian Sanctions Regulations, part 542; Executive Order 13399, 71 FR 25059; Executive Order 13460, 73 FR 8991; and [ZIMBABWE]: Zimbabwe Sanctions Regulations, part 541; Executive Order 13391, 70 FR 71201; Executive Order 13469, 73 FR 43841.

8. Changes to these appendices are made through amendments published in the Federal Register. Frequently updated information on Office of Foreign Assets Control ("OFAC") designations is provided for examination or downloading on OFAC's Internet site (http://www.treas.gov/ofac). Among other data, the Internet site posts changes in designations and identifying information, and provides country-by-country lists of names. Information is also available by fax through OFAC's fax-on-demand system at 202-622-0077 and on various computer bulletin boards serviced by OFAC. Updated information on OFAC designations should be consulted before engaging in transactions subject to the economic sanctions programs in chapter V.

(Please call OFAC Compliance Programs Division for current electronic sources of OFAC information: 202-622-2490.)

APPENDIX A TO CHAPTER V—ALPHABETICAL LISTING OF BLOCKED PERSONS, BLOCKED VESSELS, SPECIALLY DESIGNATED NATIONALS, SPECIALLY DESIGNATED TERRORISTS, SPECIALLY DESIGNATED GLOBAL TERRORISTS, FOREIGN TERRORIST ORGANIZATIONS, AND SPECIALLY DESIGNATED NARCOTICS TRAFFICKERS (AS OF MAY 13, 2010)

7TH OF TIR (a.k.a. 7TH OF TIR COMPLEX; a.k.a. 7TH OF TIR INDUSTRIAL COMPLEX; a.k.a. 7TH OF TIR INDUSTRIES; a.k.a. 7TH OF TIR INDUSTRIES OF ISFAHAN/ESFAHAN; a.k.a. MOJTAMAE SANATE HAPTOME TIR; a.k.a. SANAYE HAPTOME TIR; a.k.a. SEVENTH OF TIR), P.O. Box 8146–478, Isfahan, Iran; Moharakeh Road Km 45, Isfahan, Iran [NPWMD]

2000 DOSE E.U. (a.k.a. DOMA E M), Calle 31 No. 1–34, Cali, Colombia; NIT #805015749–3 (Colombia) [SDNT]

2000–DODGE S.L., Calle Gran Via 80, Madrid, Madrid, Spain; C.I.F. B83149955 (Spain) [SDNT]

2904977 CANADA, INC. (a.k.a. CARIBE SOL; a.k.a. HAVANTUR CANADA INC.), 818 rue Sherbrooke East, Montreal, Quebec H2L 1K3, Canada [CUBA]

A A TRADING FZCO, P.O. Box 37089, Dubai, United Arab Emirates [SDNTK]

A K DIFUSION S.A. PUBLICIDAD Y MERCADEO, Calle 28 No. 6N-54, Cali, Colombia; NIT #900015699–8 (Colombia) [SDNT]

A K EDUCAL S.A. EDUCACION CON CALIDAD, Calle 28 No. 6N-54, Cali, Colombia; NIT #900015704–7 (Colombia) [SDNT]

A.T.E. INTERNATIONAL LTD. (a.k.a. RWR INTERNATIONAL COMMODITIES), 3 Mandeville Place, London, United Kingdom [IRAQ2]

A.W.A. ENGINEERING LIMITED, 3 Mandeville Place, London, United Kingdom [IRAQ2]

ABADIA BASTIDAS, Carmen Alicia (a.k.a. ABADIA DE RAMIREZ, Carmen Alicia), Calle 9 No. 39–65, Cali, Colombia; c/o DISDROGAS LTDA., Yumbo, Valle, Colombia; c/o RAMIREZ ABADIA Y CIA., S.C.S., Cali, Colombia; DOB 15 Jul 1964; POB Palmira, Valle, Colombia; Cedula No. 29021074 (Colombia) (individual) [SDNT]

ABAROA DIAZ, Victor Manuel, C. Antonio Navarro S/N, Col. Centro, La Paz, Baja California Sur 23000, Mexico; c/o TIENDA MARINA ABAROA, La Paz, Baja California Sur, Mexico; c/o ABAROA PRECIADO, Aristoteles, La Paz, Baja California Sur, Mexico; DOB 29 Sep 1961; POB La Paz, Baja California Sur, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. AAPB810929HBSBRR19 (Mexico) (individual) [SDNTK]

ABAROA PRECIADO, Aristoteles (a.k.a. ABAROA PRECIADO, Aristoteles Alejandro), La Paz, Baja California Sur, Mexico; DOB 29 Sep 1961; POB La Paz, Baja California Sur, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. AAPB810929HBSBRR19 (Mexico) (individual) [SDNTK]

ABAROA PRECIADO, Victor Hussein, C. Antonio Navarro S/N, La Paz, Baja California Sur 23000, Mexico; DOB 23 Jun 1978; POB La Paz, Baja California Sur, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. AAPV780625HBSBRC09 (Mexico) (individual) [SDNTK]

ABASTECEDORA NAVAL Y INDUSTRIAL, S.A. (a.k.a. ANAINSA), Panama [CUBA]

ABAUNZA MARTINEZ, Javier; DOB 1 Jan 1965; POB Guernica, Vizcaya Province, Spain; D.N.I. 78.865.882 (Spain); Member ETA (individual) [SDGT]

ABBAKAR MUHAMAD, Abdul Aziz; DOB 1961; POB Sudan; Passport 562665 (Sudan) issued 28 Oct 1998; IARA Peshwar, Pakistan Director (individual) [SDGT]

ABBAS, Abdul Hussein, Italy (individual) [IRAQ2]

ABBAS, Abu (a.k.a. ZAYDAN, Muhammad); DOB 10 Dec 1948; Director of PALESTINE LIBERATION FRONT-ABU ABBAS FACTION (individual) [SDT]

ABBAS, Kassim, Lerchesbergring 23A, D–60598, Frankfurt, Germany; DOB 7 Aug 1956; POB Baghdad, Iraq (individual) [IRAQ2]

ABBES, Youcef (a.k.a. "GIUSEPPE"), Via Padova 82, Milan, Italy; Via Manzoni, 33, Cinisello Balsamo, Milan, Italy; DOB 5 Jan 1965; POB Bab El Aoued, Algeria (individual) [SDGT]

ABBES, Youssef (a.k.a. “GIUSEPPE”), Via Padova 82, Milan, Italy; Via Manzoni, 33, Cinisello Balsamo, Milan, Italy; DOB 5 Jan 1965; POB Bab El Aoued, Algeria (individual) [SDGT]

ABD AL HAFIZ, Abd Al Wahab (a.k.a. FERDJANI, Mouloud; a.k.a. "MOUARAD"; a.k.a. "RABAH DI ROMA"), Via Lungotevere Dante, Rome, Italy; DOB 7 Sep 1967; POB Algiers, Algeria (individual) [SDGT]

ABD AL-GHAFAR, Sundus, Iraq; DOB circa 1967; POB Kirkuk, Iraq; nationality Iraq; wife of Izzat Ibrahim Al-Duri (individual) [IRAQ2]

ABD AL-KHALIQ, Al-Khalil, Adel (a.k.a. ABDUL KHALID, Adel Mohamed Mahmoud; a.k.a. ABDUL KHALIQ, Adel Mohamed Mahmoud; DOB 2 Mar 1984; POB Bahrain; Passport 1632207 (Bahrain) (individual) [SDGT]

ABD AL-KHALIQ, Adil Muhammad Mahmoud (a.k.a. ABDUL KHALED, Adel Mohamed Mahmoud; a.k.a. ABDUL KHALIQ, Adel Mohamed Mahmoud; DOB 2 Mar 1984; POB Bahrain; Passport 1632207 (Bahrain) (individual) [SDGT]
ABD AL-RAHMAN, Abdullah Muhammad Rajab (a.k.a. ABU AL-KHYAR, Ahmad Hasan); DOB 3 Nov 1967; POB Kafr al-Shaykh; nationality Egypt (individual) [SDGT]

ABD AL-RAZZI IQ, Abu Sufian al-Salamabi Muhammed Ahmed (a.k.a. ABD AL RAZIQ, Abu Sufian; a.k.a. ABDELRAZIK, Abousofian); a.k.a. ABD-AL-GHAFUR, Humam 'abd al-Khaliq; a.k.a. ABD AL-RAHMAN, Humam 'abd al-Khalil; a.k.a. 'ABD AL-RAZZIQ, Abu Sufian al-Salamabi Muhammad Ahmed (a.k.a. ABU ABDULLAH, Sheik Acheb; a.k.a. BOH), Egypt; DOB after 1937; POB after 1937; nationality Egypt [CUBA]

ABD ALLAH, Abdullah Ahmed (a.k.a. ABU AL-KHAYR, Ahmad Hasan); DOB 3 Nov 1967; POB Kafr al-Shaykh; nationality Egypt (individual) [SDGT]

ABD ALLAH, Abdullah Ahmed (a.k.a. ABU AL-KHAYR, Ahmad Hasan); DOB 3 Nov 1967; POB Kafr al-Shaykh; nationality Egypt (individual) [SDGT]

ABD ALLAH, Abdullah Muhammad Rajab (a.k.a. ABU AL-KHYAR, Ahmad Hasan); DOB 3 Nov 1967; POB Kafr al-Shaykh; nationality Egypt (individual) [SDGT]
Accounts & Electronics Equipment (a.k.a. Accounts and Electronics Equipment), P.O. Box 97, Khartoum, Sudan; c/o Engineering Equipment Corporation, undetermined [Sudan]

Ace IndiC Navigation Co. Ltd., c/o Anglo-Caribbean Shipping Co. Ltd., 4th Floor, South Phase 2, South Quay Plaza II, 183, March Wall, London, United Kingdom [CUBA]

Acechilly (vessel) [CUBA]

Acechilly Navigation Co. Ltd., c/o Anglo-Caribbean Shipping Co. Ltd., 4th Floor, South Phase 2, South Quay Plaza II, 183, March Wall, London, United Kingdom [CUBA]

Acefrosty (vessel) [CUBA]

Acefrosty Shipping Co., Ltd., 171 Old Bakery Street, Valetta, Malta [CUBA]

Acero Piedrahita, Cesar Augusto, c/o Agropecuaria La Robleda S.A., Cali, Colombia; Avenida 7N No. 17A–46, Cali, Colombia; DOB 20 May 1965; Cedula No. 7054947 (Colombia) (individual) [SDNT]

Acevedo Pampolina, Francisco Luis, Carrera 1 No. 18–52, Cali, Colombia; c/o inversiones InverValle S.A., Cali, Colombia; DOB 29 Apr 1965; Cedula No. 7166070 (Colombia) (individual) [SDT]

Achury Varilla, Hernan Augusto (a.k.a. Achury varilla, hernan augusto), c/o coopCrecar, Bogota, Colombia; c/o Cooperativa Multiactiva de Colombia (individual) [SDT] [SDGT]

Achury Varilla, Hernan Augusto, c/o coopCrecar, Bogota, Colombia; c/o cooperativa Multiactiva de Colombia Fomentamos, Bogota, Colombia; c/o cooperativa de trabajo asociado activar, Bogota, Colombia; c/o Cooperativa de Trabajo Asociado Activar, Bogota, Colombia; c/o Cooperativa Multiactiva de Colombia Fomentamos, Bogota, Colombia; c/o cooperativa de trabajo asociado activar, Bogota, Colombia; c/o Arca Distribuciones Ltda., Bogota, Colombia; c/o arca distribuciones Ltda., Bogota, Colombia; DOB 14 Feb 1969; Cedula No. 80228706 (Colombia); Passport 80228706 (Colombia) (individual) [SDNT]

ACosta Ibarra, Ruben, Calle Siete de Abril No. 5, Colonia Hidalgo, Hidalgo 42500, Mexico; DOB 20 Oct 1967; POB Acatlan, Hidalgo; citizen Mexico; nationality Mexico; C.U.R.P. AOIR671025HHGCBB02 (Mexico); C.U.R.P. AOIR671025HHGCBB02 (Mexico); Cartilla de Servicio Militar Nacional B4111940 (Mexico); Electoral Registry Number ACIBR671025HHGCBB02 (Mexico) (individual) [SDNT]

ACosta serNA, Oscar Alonso, Colombia; DOB 15 Aug 1971; POB Argelia, Colombia; citizen Colombia; nationality Colombia; Cedula No. 1014319 (Colombia); Passport AK250366 (Colombia) (individual) [SDNT]

ACosta serNA, Robinson Duvan, Mz 1 cs 12 B, Santiago Londono, Colombia; DOB 26 Apr 1977; POB Colombia; citizen Colombia; nationality Colombia; Cedula No. 10002661 (Colombia); Passport SJ418881 (Colombia) (individual) [SDNT]

ACosta urueta, yaneth (a.k.a. ACosta uRueta, yaneth); a.k.a. ACosta uRueta, yaneth Del Socorro, c/o marTin hodWalker M. & CIA. S. EN C., Barranquilla, Colombia; c/o hodWalker...
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ADVANCED TRADING AND CHEMICAL WORKS COMPANY LIMITED (a.k.a. ADVANCED CHEMICAL WORKS; a.k.a. ADVANCED COMMERCIAL AND CHEMICAL WORKS COMPANY LIMITED) (SDNT)

AERO CONTINENTE (USA) INC. (a.k.a. AERO CONTINENTE, INC.), 2838 NW 79 Avenue, Miami, FL 33122; Business Registration Document #P94000013372 (United States); US FEIN 65-0467983 [BPI–SDNTK]

AERO CONTINENTE E.I.R.L., Avenida Jose Figueroa Llort 601, Int. 16, Lima, Peru; RUC #20510752695 (Peru) [SDNTK]

AERO CONTINENTE S.A. (a.k.a. AERO CONTINENTE S.A.; a.k.a. AEROCONTINENTE S.A.; n.k.a. NUEVO CONTINENTE S.A.; n.k.a. NUEVOCONTINENTE S.A.; a.k.a. WWW.AEROCONTINENTE.COM; a.k.a. WWW.AEROCONTINENTE.COM.PE; n.k.a. WWW.NUEVOCONTINENTE.COM.PE), Av. Colon 169 Piso 3 Of. 6 (CP-X5000EPB), Coro, Colombia; Avenida Portugal No. 20, Of. 27-Comuna Santiago Centro, Santiago, Chile; Av. Rufino Torrico 601, Lima, Peru; Av. Peru 6421, San Martin de Porres, Lima, Peru; Rivadavia 209 (CP-5500), Mendoza, Argentina; Plaza Camacho TDA 3-C, La Molina, Lima, Peru; Av. Grau 624, Barranco, Lima, Peru; Jr. 9 de Diciembre 160, Ayacucho, Peru; Portal de Caracas 254, Casco, Peru; Alfonso de Alvarado 726, Rioja, Peru; Av. Tumbes 217, Tumbes, Peru; Av. 27 de Febrero No. 102, Edif Miguel Mejia Urr. El Vergel, Santo Domingo, Dominican Republic; Av. Larco 123-2 De Piso, Miraflores Il-Larco, Lima, Peru; Av. Peru 3421, San Martin, Lima, Peru; Bogota, Colombia; Leon Velarde 654, Puerto Maldonado, Peru; Jr. Moyobamba 101, Tarapoto, Peru; Jr. Pizarro 470, Trujillo, Peru; Sarmiento 854 Piso 8 Of. 3 y 4 (CP–52000CMN), Rosario, Santa Fe, Argentina; Jr. Francisco Bolognesi 125, Piso 16, Miraflores, Lima 18, Peru; Av. Camino Real 441, San Isidro, Lima, Peru; Av. Benavides 4581, Surco I, Lima, Peru; Sra Catalina 105 A-B, Arequipa, Peru; Boyaca 1012 Y P. Icaza, Guayaquil, Ecuador; Av. Saenz Pena 181, Callao, Lima, Peru; Calle San Roman 175, Juliaca, Peru; Jr. 7 de Junio 861, Pucallpa, Peru; Av. Thames 2406 (CP 1250) C.F., Buenos Aires, Argentina; Av. Amazonas No. 22–11B Y Veintimilla–Quito, Quito, Ecuador; Calle Rio Rhin No. 64, P.B. Col. Cuauhtemoc C.P., Mexico City D.F. 06500, Mexico; Av. Enrique Llosa 395-A, Magdalena, Lima, Peru; C.C. San Miguel Shopping Center, TDA, 58- Av. La Mar 2291, San Miguel, Lima, Peru; 8949 NW 21 Terrace, Miami, FL 33172; Av. Grau 602 D, Barranco, Lima, Peru; Av. La Marina 2095, San Miguel, Lima, Peru; Jr. Libertad 945–951, Piura, Peru; Ira Avenida de Los Palos
AFRICAN DRILLING COMPANY, Khartoum, Sudan (SUDAN)

AFRICAN OIL CORPORATION, P.O. Box 1, Khartoum North, Sudan (SUDAN)

AGBAS CONSULTORES, S.A. DE C.V. (a.k.a. AGBA CONSULTORES CASA DE CAMBIO), Blv Agua Caliente, Caracas 148, Col. Revolucion Rio Pano Rico Yauqui, Tijuana, Baja California, Mexico; Boulevard Arua Caliente, Tijuana, Baja California, Mexico; Boulevard Agua Caliente No. 148, Col. Revolucion, Tijuana, Baja California, Mexico; R.F.C. AGO96030893 (Mexico) [SDNTK]

AGENCIA DE VIAJES GUAMA (a.k.a. GUAMA TOUR; a.k.a. GUAMATUR, S.A.; a.k.a. VIAJES GUAMA TOURS), Bal Harbour Shopping Center, Via Italia, Panama City, Panama [CUBA]

AGHA, Haji Abdul Manan (a.k.a. SAIQIYAD, Abd Al-Man'am), Pakistan (individual) [SDGT]

AGHA-JANI, Davood (a.k.a. AGHAJANI, Davood; a.k.a. AGHAJANI, Davud; a.k.a. AGHAJANI, Kalkhoran Davood; a.k.a. AQAJANI KHAMENA, Da'ud); DOB 23 Apr 1957; POB Ardebil, Iran; nationality Iran; Passport I5825769 (Iran) [individual] [NPWMD]

AGRICOLA DOIMA DEL NORTE DE COLOMBIA LTDA., Avenida El Dorado Entrada 2 Int. 6, Bogota, Colombia; NIT #800049671-7 (Colombia) [SDNT]

AGRICOLA GAXIOLA S.A. DE C.V., Carrera 1 No. 12-20 of. 206, Cartago, Valle, Colombia; Km 12 Via Santa Ana Molina, Hacienda Doma, Cartago, Colombia; NIT #800144713-3 (Colombia) [SDNT]

AGRICOLA GAXIOLA S.A. DE C.V., Aereo 30352, Cali, Colombia [SDNT]

AGRICOLA GAXIOLA LTDA., Calle 74 No. 53–774426; Fax No. 263–4–774556 [ZIMBABWE]

AGRICOLA GAXIOLA LTDA., Carrera 4 No. 16–10 apt. 303, Cartago, Colombia; Carrera 1 No. 13-06, Cartago, Colombia; Km. 5 Via Aeropuerto; Cartago, Colombia; NIT #800321615-1 (Colombia) [SDNT]

AGRICOLA HUMAYMI LTDA., Apartado Aereo 30352, Cali, Colombia [SDNT]

AGRICOLA SONGO LTDA., Calle 74 No. 53–30, Barranquilla, Colombia; NIT #890117594–3 (Colombia) [SDNT]

AGRICULTURAL BANK OF SUDAN, P.O. Box 1393, Khartoum, Sudan [SUDAN]

AGRICULTURAL DEVELOPMENT BANK OF ZIMBABWE (a.k.a. AGRIBANK; a.k.a. AGRICOLA GAXIOLA LTDA., Carrera 4 No. 16–20 apt. 303, Cartago, Colombia; Carrera 1 No. 13-06, Cartago, Colombia; Km 5 Via Aeropuerto; Cartago, Colombia; NIT #800321615-1 (Colombia) [SDNT]

AGRICULTURAL DEVELOPMENT BANK OF ZIMBABWE), 5th Floor, Hurudza House, 14-16 Nelson Mandela Avenue, Harare, Zimbabwe; Box 369, Harare, Zimbabwe; Phone No. 263-4–774426; Fax No. 263-4–774556 [ZIMBABWE]

AGRO MASCOTAS S.A. (a.k.a. AGROPECUARIA 100%; a.k.a. AGROPECUARIA EL ARBOLITO; a.k.a. AGROPECUARIA EL GALLO; a.k.a. AGROPECUARIA LA COLMENA; a.k.a. AGROPECUARIA LA HORMIGA; a.k.a. AGROTO: a.k.a. AGROTO), Calle 1N No. 4-38, Popayan, Colombia; Carrera 2 No. 15-17, Puerto Boyaca, Colombia; Carrera 23
AHMAD, Tariq Anwar al-Sayyid (a.k.a. FARAG, Hamdi Ahmad; a.k.a. FATHI, Amr Al-Pathi); DOB 15 MAR 63; POB Alexandria, Egypt (individual) [SDGT]

AHMAD, Zaki Izzat Zaki; DOB 21 Apr 1960; POB Sharqiyyah, Egypt; nationality Egypt (individual) [IRAQ2]

AHMADIAN, Ali Akbar (a.k.a. AHMADIYAN, Ali Akbar); DOB circa 1961; POB Kerman, Iran; citizen Iran; nationality Iran (individual) [NPWMD]

AHMED, Adnan S. Hasan (a.k.a. ADNAN, AMIRI, Ali; a.k.a. ADNAN, AHMAD, Zaki Izzat Zaki; DOB 21 Apr 1960; POB Kerman, Iran; citizen Iran; nationality Iran (individual) [SDGT]

AHMED, Amman (Jordan individual) [IRAQ2]

AHMED, Farid (a.k.a. ACHOUR, Ali), Via Milano, 5, 20099 Sesto San Giovanni, Milan, Italy; DOB 12 Oct 1964; POB Algiers, Algeria; Italian Fiscal Code DRAFRD64R12Z301C (individual) [SDGT]

AIR BAGAN; a.k.a. AIRBAGAN), Room No. T1–112 & T–112A, Level 1, Main Terminal Building, Suvarnabhumi Airport, Bangpli, Samutprakarn 10540, Thailand; Pathelin Hotel, Kanthonesint, Peething-Monywa Road, Burma; Sandoway Inn, Thandwe, Burma; 179 (Nya) Bogyoke Road, San Sai (Kha) Quarter, Tachileik, Burma; Room (2), YMCA Building, Bogyoke Aung San Road, Forestry Quarter, Taunggyi, Burma; 134 Bogyoke Road, Kaw Thaung, Burma; 572 Ye Yeik That Street, Pear Ayekari Hotel, Myauk Ywa Quarter, Burma; 134 Bogyoke Street, Myoma Quarter, Taunggyi, Burma; No. 407, Zei Phyu Street, Quarter (3), Zay Than Gyi Quarter, Kyaing Tong, Burma; 244 Bet, Duwa Zaw Junn & Bayin Naung St., Thida Quarter, Myitkyina, Burma; Sandoway Inn, Thandwe, Burma; 9, 78th Street, Bet, Mandalay, Burma; Room No. T1–112 & T–112A, Level 1, Main Terminal Building, Suvarnabhumi Airport, Bangpli, Samutprakarn 10540, Thailand; Myeik Golf Club, Pearl Mon Hotel, Airport Junction, Myeik, Burma; 3, Aung Thate Di Quarter, Nyaung U, Burma; Room-17, Stadium Building, Theinni Main Road, 12 Quarter, Lashio, Burma; No. 4, Naypyidaw Airport Compound, Naypyidaw, Burma; 9, 78th Street, Bet, 3rd and 34th Street, Mandalay, Burma; 156 Bogyoke Aung San Road, Aung Chan Thar Building, San Sai Quarter, Tachileik, Burma; No. 4, 4th, Construction Housing, Sumbrabun Road, Ayar Quarter, Myitkyina, Burma; No. Mitharsu (Family Video), No. 131/B Zay Taung Bak Lane, Zayit Quarter, Dawei, Burma; 3, Aung Thate Di Quarter, Nyaung U, Burma; No. 445, Anawa Quarter, Myinttuza Thaka Road, Kawthaung, Burma; Kalaymyo, Red Cross Building, Bogyoke Street, Kalay Myo, Burma; 31 CFR Ch. V (7-1-10 Edition)
Office of Foreign Assets Control, Treasury

Ch. V, App. A

Abid ‘Ali; a.k.a. AL-ZARGAWI, Isma’il Hafuz; a.k.a. IZAJAWI, Ismail Hafet;
Sade City, Baghdad, Iraq; DOB circa 1957; P.OB Baghdad, Iraq; citizen Iraq
(individual) [IRAQ]

AL MANAR TV, PO Box 354/25, Beirut, Lebanon;
Al Manar TV, Abed al Nour Street, Haret Hriek, Beirut, Lebanon;
info@manartv.com; www.manarte.com;
www.almanar.com.lb [SDGT]

AL MAZIDIH, Akram Turki Hishan (a.k.a. AL-HISHAN, Akram Turk; a.k.a. AL-
MAZIDIH, Akram Turk; a.k.a. AL-AMIN WELFARE TRUST; a.k.a. AL-
ABDALLAH’’; a.k.a. “ABU ABDULLAH”;
a.k.a. “BU A’ZAM’’), Zabadani, Syria;
DOB 1974; alt. DOB 1977; alt. DOB 1978; alt. DOB 1979 (individual) [SDGT]

AL MAZIDIH, Badran Turk; a.k.a. AL-MAZIDIH, Badran Turk; a.k.a. AL-
MAZIDIH, Badr; a.k.a. HISHAM, Badran al-Turki; a.k.a. HISHAN, Badran al-Turki
HAYSHAN, Shalash, Badran Turk; a.k.a. HAYSHAN, Badran Turki;
 info@manartv.com; www.manarte.com;
www.almanar.com.lb [SDGT]

AL MAZIDIH, Ghazy Fezza Hishan (a.k.a. HISHAN, Ghazy Fezza; a.k.a. “ABU
FAYSAL’’; a.k.a. “ABU GHAZZY’’; a.k.a. “SHALASH, Mushari Abz Saleh’’; Zabadani,
Syria; DOB 1974; alt. DOB 1975 (individual) [SDGT]

AL NOUR RADIO (a.k.a. AL NOUR BROADCASTING STATION; a.k.a. AL-
NUR RADIO; a.k.a. RADIO ANNOUR), Abed Al Nour Street, PO Box 197/25, Alghobeiri,
Haret Hriek, Beirut, Lebanon; info@al-nour.net; www.al-nour.net [SDGT]

AL OBAIDI, Tarik Nasser S. (a.k.a. AL-
“UBAYDI, Tarik; a.k.a. AL-UBAYDI, Tariq), Baghdad, Iraq; DOB 1945; P.OB
Baghdad, Iraq; nationality Iraq; Passport 212331 (Iraq) (individual) [IRAQ2]

AL RAHMAN, Shaykh Umar Abd; DOB 03
May 1938; P.OB Egypt; Chief Ideological
Figure of ISLAMIC GAMA’AT (individual) [SDT]

AL RASHID TRUST (a.k.a. AL AMEEN
TRUST; a.k.a. AL AMIN WELFARE TRUST; a.k.a. AL-
ABDALLAH’, a.k.a. SHALASH, Badran Turki
al-HISHAN, Akram Turki; a.k.a. AL-
HISHAN, Akram Turk; a.k.a. AL-
MAZIDIH, Akram Turk; a.k.a. AL-
ABDALLAH’, a.k.a. SHALASH, Badran Turki
al-HISHAN, Akram Turk; a.k.a. AL-
MAZIDIH, Akram Turk; a.k.a. AL-
MAZIDIH, Badr; a.k.a. HISHAM, Badran al-Turki; a.k.a. HISHAN, Badran al-
TURKI, Badran; a.k.a. HISHAN, Badran Turk;
a.k.a. “ABU ABDULLAH”;
a.k.a. “ABU A’ZAM’’), Zabadani, Syria;
DOB 1974; alt. DOB 1977; alt. DOB 1978; alt. DOB 1979 (individual) [SDGT]

AL NOUR RADIO (a.k.a. AL NOUR BROADCASTING STATION; a.k.a. AL-
NUR RADIO; a.k.a. RADIO ANNOUR), Abed Al Nour Street, PO Box 197/25, Alghobeiri,
Haret Hriek, Beirut, Lebanon; info@al-nour.net; www.al-nour.net [SDGT]

AL OBAIDI, Tarik Nasser S. (a.k.a. AL-
“UBAYDI, Tarik; a.k.a. AL-UBAYDI, Tariq), Baghdad, Iraq; DOB 1945; P.OB
Baghdad, Iraq; nationality Iraq; Passport 212331 (Iraq) (individual) [IRAQ2]

AL RAHMAN, Shaykh Umar Abd; DOB 03
May 1938; P.OB Egypt; Chief Ideological
Figure of ISLAMIC GAMA’AT (individual) [SDT]

AL RASHID TRUST (a.k.a. AL AMEEN
TRUST; a.k.a. AL AMIN WELFARE TRUST; a.k.a. AL-
ABDALLAH’, a.k.a. SHALASH, Badran Turki
al-HISHAN, Akram Turk; a.k.a. AL-
MAZIDIH, Akram Turk; a.k.a. AL-
MAZIDIH, Badr; a.k.a. HISHAM, Badran al-Turki; a.k.a. HISHAN, Badran al-
TURKI, Badran; a.k.a. HISHAN, Badran Turk;
a.k.a. “ABU ABDULLAH”;
a.k.a. “ABU A’ZAM’’), Zabadani, Syria;
DOB 1974; alt. DOB 1977; alt. DOB 1978; alt. DOB 1979 (individual) [SDGT]

AL NOUR RADIO (a.k.a. AL NOUR BROADCASTING STATION; a.k.a. AL-
NUR RADIO; a.k.a. RADIO ANNOUR), Abed Al Nour Street, PO Box 197/25, Alghobeiri,
Haret Hriek, Beirut, Lebanon; info@al-nour.net; www.al-nour.net [SDGT]

AL OBAIDI, Tarik Nasser S. (a.k.a. AL-
“UBAYDI, Tarik; a.k.a. AL-UBAYDI, Tariq), Baghdad, Iraq; DOB 1945; P.OB
Baghdad, Iraq; nationality Iraq; Passport 212331 (Iraq) (individual) [IRAQ2]

AL RAHMAN, Shaykh Umar Abd; DOB 03
May 1938; P.OB Egypt; Chief Ideological
Figure of ISLAMIC GAMA’AT (individual) [SDT]
Katchehry Road, Chowk Yadgaar, Peshawar, Pakistan; Jamia Masjid, Sulaiman Park, Bequm Pura, Lahore, Pakistan; Office Dha‘rb-i-Mumin, opposite Khyber Bank, Quaid-e-Azam Road, Peshawar, Pakistan; Operations in Afghanistan: Herat, Jalalabad, Kabul, Kandahar, Mazar Sharif. Also operations in: Kosovo, Chechnya [SDGT]

AL SAADI, Faraj Farj Hassan (a.k.a. AL SA‘IDI, Faraj Faraj Hussein; a.k.a. IMAD MOHAMED ABDELLAH; a.k.a. MOHAMED ABDULLA IMAD; a.k.a. MUHAMMAD ABDULLAH IMAD; a.k.a. “HAMZA AL LIBI”); Viale Bligny 42, Milan, Italy; DOB 28 Nov 1960; POB Libya; alt. POB Jordan; alt. POB Palestine; alt. POB Gaza; nationality Libya; alt. nationality Palestinian; alt. nationality Jordan; arrested United Kingdom (individual) [SDGT]

AL SUNUT DEVELOPMENT COMPANY (a.k.a. ALSUNUT DEVELOPMENT COMPANY), No. 1 Block 5 East, Khartoum 2, P.O. Box 1840, Khartoum, Sudan; Web site www.alsunut.com (Sudan); E-mail Address info.AlsunutKhartoum@alsunut.com; E-mail Address info.AlsunutDubai@alsunut.com [SUDAN]

AL WASEL AND BABEL GENERAL TRADING LLC, Baghdad, Iraq; Ibrahim Saeed Lootab Building, Al Ramool Street, P.O. Box 10631 & 638, Rashidya, Dubai, United Arab Emirates [IRAQ2]

AL ZAWAHIRI, Dr. Ayman (a.k.a. AL ZAWAHIIRI, Alman Muhammad Rabi; a.k.a. AL-ZAWAHIIRI, Ayman; a.k.a. SALIM, Ahmad Fuad); DOB 19 Jun 1951; POB Giza, Egypt; Passport 1084010 (Egypt); alt. Passport 19820215; Operational and Military Leader of JIHAD GROUP (individual) [SDT] [SDGT]

AL-ADL, Sayf (a.k.a. AL-'ADIL, Saif); DOB 1963; POB Egypt (individual) [SDGT]

AL-AMIRI, Adnan Talib Hassim, 43 Palace Mansions, Hammersmith, London, United Kingdom (individual) [IRAQ2]

AL-AQILA (a.k.a. AL-AQSA CHARITABLE FOUNDATION; a.k.a. SWEDISH CHARITABLE FOUNDATION; a.k.a. STICHTING AL-AQSA; a.k.a. SANABIL AL-AQSA CHARITABLE ESTABLISHMENT; a.k.a. MU’ASSA FOR AL-AQSA; a.k.a. MU’ASA AL-AQSA ESTABLISHMENT; a.k.a. ISLAMIC CHARITABLE SOCIETY AL-AQSA; a.k.a. FORENINGEN AL-AQSA; a.k.a. CHARITABLE AL-AQSA ESTABLISHMENT; a.k.a. CHARITABLE AL-AQSA SOCIETY; a.k.a. AQSSA SPANM I STIFTELSE; a.k.a. AQSSA SPANMAL STIFTELSE; a.k.a. AQSSA SOCIETY; a.k.a. AQSSA SOCIETY YEMEN; a.k.a. CHARITABLE AL-AQSA ESTABLISHMENT; a.k.a. CHARITABLE SOCIETY TO HELP THE NOBLE AL-AQSA; a.k.a. AZMAT PAKISTAN TRUST; a.k.a. AZMAT-E-PAKISTAN TRUST; a.k.a. PAKISTANI RELIEF FOUNDATION), Islamabad, Pakistan; Spin Boldak, Afghanistan; Bahawalpur, Pakistan; Mirpur Khas, Pakistan; ST-1/A, Gulshan-e-Iqbal, Block 2, Karachi 75300, Pakistan; Gilgit, Pakistan; Tando-Jan-Muhammad, Pakistan; Bawalnagar, Pakistan; Gulistan-e-Jauhar, Block 12, Karachi, Pakistan; and all other offices worldwide [SDGT]

AL-AMIRI, Imam Khalil; DOB 1956; POB Gaza (individual) [SDGT]

AL-ALI, Hamid (a.k.a. AL-'ALI, Dr. Hamed Abdullah; a.k.a. AL-'ALI, Hamed; a.k.a. AL-'ALI, Hamed bin 'Abdallah; a.k.a. AL-'ALI, Hamid 'Abdallah; a.k.a. AL-'ALI, Hamid Abdullah Ahmad; a.k.a. AL-ALI, Hamid bin Abdallah Ahmad; a.k.a. “ABU SALIM”); DOB 20 Jan 1960; citizen Kuwait (individual) [SDGT]

AL-AMINOS (f.k.a. RUBY ISLANDS) (vessel) (CUBA)

AL-AMIRI, Adnan Talib Hassim, 43 Palace Mansions, Hammersmith, London, United Kingdom (individual) [IRAQ2]
AL-AQSA MARTYRS BRIGADE (a.k.a. AL-AQSA MARTYRS BATTALLION) (SDT) [FTO] [SDGT]
AL-AQSA TV (a.k.a. AL-AQSA SATELLITE TELEVISION; a.k.a. HAMAS TV; a.k.a. SIRAJ AL-AQSA TV; a.k.a. THE AQSA LAMP), Jabaliya, Gaza, Palestinian; E-mail Address info@aqsatv.ps; Web site www.aqsatv.ps; Telephone 0097282851500; Fax: 0097282853808 [SDGT]
AL-ARABI TRADING COMPANY LIMITED, Lane 11, Hai Babli, Baghdad District 929, Iraq [IRAQ2]
AL-ATRUSH, Abd al-Wahhab Umar Mirza (a.k.a. AL-ATRUSHI, Abdel Wahab); DOB 1936; a former minister of state, Iraq (individual) [IRAQ2]
AL-AYADI, Hussein Qaid; nationality Iraq; Former Ba'th party regional command chairman, Ninawa, (individual) [IRAQ2]
ALAWI, Abdel-Salam Abdel-Rahman (a.k.a. ALLAWI, Salam), Iraq; General Manager of INDUSTRIAL BANK OF IRAQ (individual) [IRAQ2]
AL-BADHALI, Mubarak Mushkhas Sanad; a.k.a. AL-BATHALI, Mubarak Mishkhas Sanad; a.k.a. AL-BATHALI, Mubarak Mushkhas Sanad; a.k.a. AL-BATHALI, Mishkhas Sanad; a.k.a. AL-BATHALI, Mubarak Mishkhas Sanad); DOB 1 Oct 1961; citizen Kuwait; Passport 101856740 (Kuwait) (individual) [SDNTK]
AL-BAKHTIYAR, Muhammad; nationality Iraq; Former deputy minister of health, Iraq (individual) [IRAQ2]
AL-BAKHTYRTTI, Muhammad Rabi’ al-Sayid (a.k.a. AL-BAHTITTI, Muhammad Mahmud; a.k.a. AL-BAHTITTI, Muhammad Mahmud Rabi’ al-Zaydi; a.k.a. AL-BAHTITTI, Muhammad Rabi’ al-Sayid; a.k.a. AL-BAHTITTI, Muhammad Rabi’ al-Sayid); DOB 1971; POB al-Sharqiyyah, Egypt; nationality Egypt (individual) [SDT]
AL-BAKOUN ALA AL-AHD ORGANIZATION (a.k.a. FAITHFUL TO THE OATH), Algeria (individual) [SDGT]
ALBAN BURBANO, Luis Alberto (a.k.a. ALBAN URBANO, Luis Alberto; a.k.a. CALARCA, Marco Leon; a.k.a. CALARCA, Marcos Leon); DOB 18 Aug 1957; POB Cali, Valle, Colombia; Cedula No. 1588328 (Colombia) (individual) [SDNTK]
ALBANESE, NATIONAL ARMY (a.k.a. AKSH; a.k.a. ANA) [BALKANS]
AL-BARAKAAT, Mogadishu, Somalia; Dubai, United Arab Emirates [SDGT]
AL-BARAKAAT BANK, Mogadishu, Somalia [SDGT]
AL-BARAKAAT BANK OF SOMALIA (a.k.a. BARAKAAT BANK OF SOMALIA; a.k.a. BBS), Mogadishu, Somalia; Bossaso, Somalia (individual) [SDGT]
AL-BARAKAAT GROUP OF COMPANIES SOMALIA LIMITED (a.k.a. AL-BARAKAT FINANCIAL COMPANY), Mogadishu, Somalia; P.O. Box 3313, Dubai, United Arab Emirates (SDGT)
AL-BARAKAAT WIRING SERVICE, 2940 Pillsbury Avenue, Suite 4, Minneapolis, MN 55408 [SDGT]
AL-BARAKAAT FINANCE GROUP, Mogadishu, Somalia; Dubai, United Arab Emirates (SDGT)
AL-BARAKAT FINANCIAL HOLDING COMPANY, Mogadishu, Somalia; Dubai, United Arab Emirates (SDGT)
AL-BARAKAT GLOBAL TELECOMMUNICATIONS (a.k.a. BARAKAAT GLOBETELCOMPANY), Mogadishu, Somalia; Hargeysa, Somalia; P.O. Box 3313, Dubai, United Arab Emirates [SDGT]
AL-BARAKAAT INTERNATIONAL (a.k.a. BARACO CO.), Box 2923, Dubai, United Arab Emirates (SDGT)
AL-BARAKAT INVESTMENTS, P.O. Box 3313, Deira, Dubai, United Arab Emirates (SDGT)
AL-BASHAIR TRADING COMPANY, LTD (a.k.a. AL-BASHAIR TRADING COMPANY, LTD; a.k.a. AL-BASHA’IR TRADING COMPANY, LTD; a.k.a. AL-BASHAIR TRADING COMPANY, LTD; a.k.a. AL-BASHIR TRADING COMPANY, LTD), Sadoon St, Al-Ani Building, First Floor, Baghdad, Iraq [IRAQ2]
AL-BASHALI, Mubarak Mushkhahsan Sand; a.k.a. AL BATHALI, Mubarak Mishkhahsan Sand; a.k.a. AL-BATHALI, Mubarak Mishkhas Sanad; a.k.a. AL-BATHALI, Mubarak Mishkhas Sanad; a.k.a. AL-BATHALI, Mubarak Mishkhas Sanad; a.k.a. AL-BATHALI, Mubarak Mishkhas Sanad; a.k.a. AL-BAZALI, Mubarak Mishkhas Sanad; a.k.a. AL-BAZIALI, Mubarak Mishkhas Sanad; a.k.a. AL-BATAYLI, Mubarak Mishkhas Sanad); DOB 1 Oct 1961; citizen Kuwait; Passport 101856740 (Kuwait) (individual) [SDGT]
AL-BAZAZ, Hikmat Abdallah; a.k.a. AL-BAZZAZ, Hikmat Mishkhas Sanad; a.k.a. AL-BAZZI, Hikmat Mishkhas Sanad; a.k.a. AL-BATEH, Hikmat Mishkhas Sanad; a.k.a. AL-BATAYLI, Hikmat Mishkhas Sanad); DOB 1 Oct 1961; citizen Kuwait; Passport 101856740 (Kuwait) (individual) [SDGT]
AL-BAYTI, Soliman (a.k.a. AL BAYZAZ, Hikmat Abdullab), Iraq; Former Minister of Education (individual) [IRAQ2]
ALBERDI URANGA, Itziar; DOB 7 Oct 1963; POB Durango, Vizcaya Province, Spain; D.N.I. 78.865.693 (Spain); Member ETA (individual) [SDGT]
ALBISU IRIARTE, Miguel; DOB 7 Jun 1961; POB San Sebastian, Guipuzcoa Province, Spain; D.N.I. 78.865.693 (Spain); Member ETA (individual) [SDGT]
AL-BUTH, Soliman (a.k.a. AL BUTHI, Soliman H.S.; a.k.a. AL-BATAHAI, Soliman; a.k.a. AL-BATHI, Soliman; a.k.a. AL-BUTHE, Soliman Hamd Suleiman);
ALCALDE LINARES, Angel; DOB 2 May 1943; POB Portugalale, Vizcaya Province, Spain; DOB: 11/5/1885; nationality Spain; Member ETA (individual) [SDT]

ALCANTAR PRECIADO, Simon, c/o GRUPO LATINFARMACOS S.A., Quito, Ecuador; c/o PROMOTORA FIN, S.A., Quito, Ecuador; c/o INMOBILIARIO PROFESIONAL BAJA S.A DE C.V., Tijuana, Baja California, Mexico; issued 5 May 2001 expires 11 Mar 2006 (individual) [IRAQ2]


AL-DAR, Ali (individual) [IRAQ3]

AL-DAR, Ali (individual) [IRAQ3]

AL-DAR, Ali (individual) [IRAQ3]

AL-DAR, Ali (individual) [IRAQ3]

AL-DAR, Ali (individual) [IRAQ3]

AL-DAR, Ali (individual) [IRAQ3]
ALFA TRADING COMPANY), P.O. Box 910860, Amman 11191, Jordan [IRAQ2]
ALFA PHARMA S.A., Diagonal 17 No. 28A–30, Bogota, Colombia [SDNT]
AL-FADIH, Mohattin (a.k.a. AL-MAJID SAMIYAH; a.k.a. ABU SAMIA; a.k.a. AL-
FADHLI, Muhsin Fadil Ayid Ashur), Block 54, Street 13, House #179, Kuwait City,
Al-Riqqa area, Kuwait; DOB 24 Apr 1981; Passport 106261543 (Kuwait) (individual)
[SDGT]
AL-FAQIH, Abd al-Rahman (a.k.a. ALBASHIR, Mohammed; a.k.a. AL-
BASHIR, Muhammad; a.k.a. AL-FAQI, Bashir; a.k.a. AL-KHATAB, Abd al-Rahman; a.k.a. ISMAIL,
Mohammed; a.k.a. MOHAMMED, Al-Basher; a.k.a. "ABU ABD AL-RAHMAN"; a.k.a. AL-
FAKIH, Saad; a.k.a. AL-FAQIH, Sa'ad; a.k.a. AL-FAQIH, Saad; a.k.a. AL-
FAQIH, Saad; a.k.a. AL-FAQIH, Saad), Birmingham, United King-
dom; DOB 15 Dec 1959; POB Libya (indi-
vidual) [SDGT]
AL-FAQIH, Saad Rashed Mohammad (a.k.a. ABU UTHMAN; a.k.a. AL FAQIH, Saad;
a.k.a. AL-FAGEAH, Sa'd Rashid Muhammed; a.k.a. ALFAGIH, Saad; a.k.a. AL-
FAKIH, Saad; a.k.a. AL-FAQI, Sa'd; a.k.a. AL-FAQIH, Saad; a.k.a. AL-
FAQIH, Sa'ad), London, United Kingdom; DOB 1 Feb 1957; alt. DOB 31 Jan 1957; POB
Zubair, Iraq; citizen Saudi Arabia; Passport 760620 issued 15 Sep 1991 expires 22 Jul
1996; Doctor (individual) [SDGT]
ALFARACHEM COMPANY LIMITED (a.k.a. AL PHARAKIM; a.k.a. ALFARACHEM
PHARMACEUTICALS INDUSTRIES LIMITED; a.k.a. ALFARAKIM), 27 Al Amarat
Street, Khartoum, Sudan [SUDAN]
AL-FAWAZ, Khalid Abd al-Rahman Hamd (a.k.a. AL FAWAZ, Khalid Abdalrahman
H.; a.k.a. AL FAWWAZ, Khaled; a.k.a. AL FAWWAZ, Khalid), 55 Hawarden Hill,
Brooke Road, London NW2 7BR, United Kingdom; DOB 25 Aug 1962; alt. DOB 24 Aug
1962; POB Kuwait; nationality Saudi Arabia; Passport 456682 issued 6 Nov 1990 ex-
pires 13 Sep 1995; Former Minister of Culture and Information (indi-
vidual) [IRAQ2]
ALGUAIDIS, Selim; DOB 27 May 1944; POB Turkey; nationality Turkey; Passport
585843 (Turkey) issued 11 Nov 1999 (indivi-
dual) [NPWMD]
HARAMEIN; a.k.a. ALHARAMEIN FOUNDATION; a.k.a. AL-HARAMEIN FOUNDATION; a.k.a. ALHARAMEIN HUMANITARIAN FOUNDATION; a.k.a. AL-HARAMEIN HUMANITARIAN FOUNDATION; a.k.a. ALHARAMEIN ISLAMIC FOUNDATION; a.k.a. AL-HARAMEIN ISLAMIC FOUNDATION; a.k.a. MU’ASSASAT AL-HARAMAIN AL-KHAYRIYYA; a.k.a. MU’ASSASAT AL-HARAMAYN AL-KHAYRIYYA; a.k.a. MU’ASSASAT AL-HARAMEIN AL-KHAYRIYYA; a.k.a. VAZIR; a.k.a. VEZIR), Daddb, Kenya; Garissa, Kenya; Nairobi, Kenya [SDGT]

AL-HARAMAIN: PAKISTAN BRANCH
(a.k.a. ALHARAMAIN; a.k.a. ALHARAMAIN FOUNDATION; a.k.a. AL-HARAMAIN FOUNDATION; a.k.a. ALHARAMAIN HUMANITARIAN FOUNDATION; a.k.a. AL-HARAMAIN HUMANITARIAN FOUNDATION; a.k.a. ALHARAMAIN ISLAMIC FOUNDATION; a.k.a. AL-HARAMAIN ISLAMIC FOUNDATION; a.k.a. ALHARAMAYN; a.k.a. AL-HARAMAYN; a.k.a. ALHARAMAYN FOUNDATION; a.k.a. AL-HARAMAYN FOUNDATION; a.k.a. ALHARAMAYN HUMANITARIAN FOUNDATION; a.k.a. AL-HARAMAYN HUMANITARIAN FOUNDATION; a.k.a. ALHARAMAYN ISLAMIC FOUNDATION; a.k.a. AL-HARAMAYN ISLAMIC FOUNDATION; a.k.a. ALHARAMEIN; a.k.a. AL-HARAMEIN; a.k.a. ALHARAMEIN FOUNDATION; a.k.a. AL-HARAMEIN FOUNDATION; a.k.a. ALHARAMEIN HUMANITARIAN FOUNDATION; a.k.a. AL-HARAMEIN HUMANITARIAN FOUNDATION; a.k.a. ALHARAMEIN ISLAMIC FOUNDATION; a.k.a. AL-HARAMEIN ISLAMIC FOUNDATION; a.k.a. MU’ASSASAT AL-HARAMAIN AL-KHAYRIYYA; a.k.a. MU’ASSASAT AL-HARAMAYN AL-KHAYRIYYA; a.k.a. MU’ASSASAT AL-HARAMEIN AL-KHAYRIYYA; a.k.a. VAZIR; a.k.a. VEZIR), House #279, Nazimuddin road, F–10/1, Islamabad, Pakistan [SDGT]

AL-HARAMAIN: TANZANIA BRANCH
(a.k.a. ALHARAMAIN; a.k.a. ALHARAMAIN FOUNDATION; a.k.a. AL-HARAMAIN FOUNDATION; a.k.a. ALHARAMAIN HUMANITARIAN FOUNDATION; a.k.a. AL-HARAMAIN HUMANITARIAN FOUNDATION; a.k.a. ALHARAMAIN ISLAMIC FOUNDATION; a.k.a. AL-HARAMAIN ISLAMIC FOUNDATION; a.k.a. ALHARAMAYN; a.k.a. AL-HARAMAYN; a.k.a. ALHARAMAYN FOUNDATION; a.k.a. AL-HARAMAYN FOUNDATION; a.k.a. ALHARAMAYN HUMANITARIAN FOUNDATION; a.k.a. AL-HARAMAYN HUMANITARIAN FOUNDATION; a.k.a. ALHARAMAYN ISLAMIC FOUNDATION; a.k.a. AL-HARAMAYN ISLAMIC FOUNDATION; a.k.a. ALHARAMEIN; a.k.a. AL-HARAMEIN; a.k.a. ALHARAMEIN FOUNDATION; a.k.a. AL-HARAMEIN FOUNDATION; a.k.a. ALHARAMEIN HUMANITARIAN FOUNDATION; a.k.a. AL-HARAMEIN HUMANITARIAN FOUNDATION; a.k.a. ALHARAMEIN ISLAMIC FOUNDATION; a.k.a. AL-HARAMEIN ISLAMIC FOUNDATION; a.k.a. MU’ASSASAT AL-HARAMAIN AL-KHAYRIYYA; a.k.a. MU’ASSASAT AL-HARAMAYN AL-KHAYRIYYA; a.k.a. MU’ASSASAT AL-HARAMEIN AL-KHAYRIYYA; a.k.a. VAZIR; a.k.a. VEZIR), Singida, Tanzania; PO Box 3616, Dar es Salaam, Tanzania; Tanga, Tanzania [SDGT]

AL-HARAMAIN: THE NETHERLANDS BRANCH (a.k.a. STICHTING AL HARAMAIN HUMANITARIAN AID), Jan Hanzenstraat 114, 1053SV, Amsterdam, Netherlands [SDGT]

AL-HARAMAIN: UNITED STATES BRANCH
(a.k.a. AL HARAMAIN FOUNDATION, INC.; a.k.a. ALHARAMAIN; a.k.a. ALHARAMAIN FOUNDATION; a.k.a. AL-HARAMAIN FOUNDATION; a.k.a. ALHARAMAIN HUMANITARIAN FOUNDATION; a.k.a. AL-HARAMAIN HUMANITARIAN FOUNDATION; a.k.a. ALHARAMAIN ISLAMIC FOUNDATION; a.k.a. AL-HARAMAIN ISLAMIC FOUNDATION; a.k.a. ALHARAMAYN; a.k.a. AL-HARAMAYN; a.k.a. ALHARAMAYN FOUNDATION; a.k.a. AL-HARAMAYN FOUNDATION; a.k.a. ALHARAMAYN HUMANITARIAN FOUNDATION; a.k.a. AL-HARAMAYN HUMANITARIAN FOUNDATION; a.k.a. ALHARAMAYN ISLAMIC FOUNDATION; a.k.a. AL-HARAMAYN ISLAMIC FOUNDATION; a.k.a. ALHARAMEIN; a.k.a. AL-HARAMEIN; a.k.a. ALHARAMEIN FOUNDATION; a.k.a. AL-HARAMEIN FOUNDATION; a.k.a. ALHARAMEIN HUMANITARIAN FOUNDATION; a.k.a. AL-HARAMEIN HUMANITARIAN FOUNDATION; a.k.a. ALHARAMEIN ISLAMIC FOUNDATION; a.k.a. AL-HARAMEIN ISLAMIC FOUNDATION; a.k.a. MU’ASSASAT AL-HARAMAIN AL-KHAYRIYYA; a.k.a. MU’ASSASAT AL-HARAMAYN AL-KHAYRIYYA; a.k.a. MU’ASSASAT AL-HARAMEIN AL-KHAYRIYYA; a.k.a. VAZIR; a.k.a. VEZIR), 3800 Highway 99 S., Ashland, OR 97520–8718; 2151 E. Division St., Springfield, MO 65803; 1257 Siskiyou BLVD, Ashland, OR 97520 [SDGT]

AL-HARAMAIN FOUNDATION: COMOROS ISLANDS, B/P: 1652, Moroni, Comoros [SDGT]

AL-HARAMAIN ISLAMIC FOUNDATION
(a.k.a. ALHARAMAIN; a.k.a. AL-HARAMAIN; a.k.a. ALHARAMAIN FOUNDATION; a.k.a. AL-HARAMAIN FOUNDATION; a.k.a. ALHARAMAIN HUMANITARIAN FOUNDATION; a.k.a. AL-HARAMAIN HUMANITARIAN FOUNDATION; a.k.a. ALHARAMAYN; a.k.a. AL-HARAMAYN; a.k.a. ALHARAMAYN FOUNDATION; a.k.a. AL-HARAMAYN FOUNDATION; a.k.a. ALHARAMAYN HUMANITARIAN FOUNDATION; a.k.a. AL-HARAMAYN HUMANITARIAN FOUNDATION; a.k.a. ALHARAMAYN ISLAMIC FOUNDATION; a.k.a. AL-HARAMAYN ISLAMIC FOUNDATION; a.k.a. ALHARAMEIN; a.k.a. AL-HARAMEIN; a.k.a. ALHARAMEIN FOUNDATION; a.k.a. AL-HARAMEIN FOUNDATION; a.k.a. ALHARAMEIN HUMANITARIAN FOUNDATION; a.k.a. AL-HARAMEIN HUMANITARIAN FOUNDATION; a.k.a. ALHARAMEIN ISLAMIC FOUNDATION; a.k.a. AL-HARAMEIN ISLAMIC FOUNDATION; a.k.a. MU’ASSASAT AL-HARAMAIN AL-KHAYRIYYA; a.k.a. MU’ASSASAT AL-HARAMAYN AL-KHAYRIYYA; a.k.a. MU’ASSASAT AL-HARAMEIN AL-KHAYRIYYA; a.k.a. VAZIR; a.k.a. VEZIR), 1652, Moroni, Comoros [SDGT]

AL-HARAMAIN ISLAMIC FOUNDATION
(a.k.a. ALHARAMAIN; a.k.a. AL-HARAMAIN; a.k.a. ALHARAMAIN FOUNDATION; a.k.a. AL-HARAMAIN FOUNDATION; a.k.a. ALHARAMAIN HUMANITARIAN FOUNDATION; a.k.a. AL-HARAMAIN HUMANITARIAN FOUNDATION; a.k.a. ALHARAMAYN; a.k.a. AL-HARAMAYN; a.k.a. ALHARAMAYN FOUNDATION; a.k.a. AL-HARAMAYN FOUNDATION; a.k.a. ALHARAMAYN HUMANITARIAN FOUNDATION; a.k.a. AL-HARAMAYN HUMANITARIAN FOUNDATION; a.k.a. ALHARAMAYN ISLAMIC FOUNDATION; a.k.a. AL-HARAMAYN ISLAMIC FOUNDATION; a.k.a. ALHARAMEIN; a.k.a. AL-HARAMEIN; a.k.a. ALHARAMEIN FOUNDATION; a.k.a. AL-HARAMEIN FOUNDATION; a.k.a. ALHARAMEIN HUMANITARIAN FOUNDATION; a.k.a. AL-HARAMEIN HUMANITARIAN FOUNDATION; a.k.a. ALHARAMEIN ISLAMIC FOUNDATION; a.k.a. AL-HARAMEIN ISLAMIC FOUNDATION; a.k.a. MU’ASSASAT AL-HARAMAIN AL-KHAYRIYYA; a.k.a. MU’ASSASAT AL-HARAMAYN AL-KHAYRIYYA; a.k.a. MU’ASSASAT AL-HARAMEIN AL-KHAYRIYYA; a.k.a. VAZIR; a.k.a. VEZIR), 1652, Moroni, Comoros [SDGT]

AL-HARAMAIN ISLAMIC FOUNDATION
(a.k.a. ALHARAMAIN; a.k.a. AL-HARAMAIN; a.k.a. ALHARAMAIN FOUNDATION; a.k.a. AL-HARAMAIN FOUNDATION; a.k.a. ALHARAMAIN HUMANITARIAN FOUNDATION; a.k.a. AL-HARAMAIN HUMANITARIAN FOUNDATION; a.k.a. ALHARAMAYN; a.k.a. AL-HARAMAYN; a.k.a. ALHARAMAYN FOUNDATION; a.k.a. AL-HARAMAYN FOUNDATION; a.k.a. ALHARAMAYN HUMANITARIAN FOUNDATION; a.k.a. AL-HARAMAYN HUMANITARIAN FOUNDATION; a.k.a. ALHARAMAYN ISLAMIC FOUNDATION; a.k.a. AL-HARAMAYN ISLAMIC FOUNDATION; a.k.a. ALHARAMEIN; a.k.a. AL-HARAMEIN; a.k.a. ALHARAMEIN FOUNDATION; a.k.a. AL-HARAMEIN FOUNDATION; a.k.a. ALHARAMEIN HUMANITARIAN FOUNDATION; a.k.a. AL-HARAMEIN HUMANITARIAN FOUNDATION; a.k.a. ALHARAMEIN ISLAMIC FOUNDATION; a.k.a. AL-HARAMEIN ISLAMIC FOUNDATION; a.k.a. MU’ASSASAT AL-HARAMAIN AL-KHAYRIYYA; a.k.a. MU’ASSASAT AL-HARAMAYN AL-KHAYRIYYA; a.k.a. MU’ASSASAT AL-HARAMEIN AL-KHAYRIYYA; a.k.a. VAZIR; a.k.a. VEZIR), 1652, Moroni, Comoros [SDGT]
HARAMAIN HUMANITARIAN FOUNDATION; a.k.a. ALHARAMAIN ISLAMIC FOUNDATION; a.k.a. ALHARAMAYN; a.k.a. AL-HARAMAYN; a.k.a. ALHARAMAYN FOUNDATION; a.k.a. ALHARAMAYN FOUNDATION; a.k.a. ALHARAMAYN HUMANITARIAN FOUNDATION; a.k.a. AL-HARAMAYN HUMANITARIAN FOUNDATION; a.k.a. ALHARAMAYN ISLAMIC FOUNDATION; a.k.a. AL-HARAMAYN ISLAMIC FOUNDATION; a.k.a. ALHARAMAYN FOUNDATION; a.k.a. AL-HARAMAYN FOUNDATION; a.k.a. ALHARAMAYN ISLAMIC FOUNDATION; a.k.a. AL-HARAMAYN ISLAMIC FOUNDATION; a.k.a. ALHARAMAYN HUMANITARIAN FOUNDATION; a.k.a. AL-HARAMAYN HUMANITARIAN FOUNDATION; a.k.a. ALHARAMAYN ISLAMIC FOUNDATION; a.k.a. AL-HARAMAYN ISLAMIC FOUNDATION; a.k.a. MU'ASSASAT AL-HARAMAIN AL-KHAYRIYYA; a.k.a. MU'ASSASAT AL-HARAMAYN AL-KHAYRIYYA; a.k.a. MU'ASSASAT AL-HARAMEIN AL-KHAYRIYYA; a.k.a. VAZIR; a.k.a. VEZIR), 64 Poturmahala, Travnik, Bosnia and Herzegovina; Somalia [SDGT]

AL-HARAMAIN ISLAMIC FOUNDATION, West Al-M’ather Street, Riyadh, Saudi Arabia; P.O. Box 69606, Riyadh 11557, Saudi Arabia; all offices worldwide [SDGT]

AL-HASSAN, Anas Malik Dohan (a.k.a. AL-HASSAN, Anas; a.k.a. DOHAN, Anas; a.k.a. DOHAN, Anas Malik; a.k.a. MALIK, Anas), Baghdad, Iraq (individual) [IRAQ2]

AL-HASSAN, Anas Malik Dohan (a.k.a. AL-HASSAN, Anas; a.k.a. DOHAN, Anas; a.k.a. DOHAN, Anas Malik; a.k.a. MALIK, Anas), Jordan (individual) [IRAQ2]

AL-HIYARI, Bilal Mansur (a.k.a. AL-KHAYARI, Bilal Mansur Mahmud), Suwaylah, Jordan; DOB circa 1969; POB al-Salt, Jordan; nationality Jordan (individual) [SDGT]

AL-HUDA STATE COMPANY FOR RELIGIOUS TOURISM (a.k.a. AL-HODA FOR RELIGIOUS TOURISM COMPANY; a.k.a. AL-HODA STATE COMPANY FOR RELIGIOUS TOURISM COMPANY; a.k.a. AL-HUDA FOR RELIGIOUS TOURISM COMPANY), Iraq [IRAQ]

AL-JABBURI, Sadi Tuma Abbas, Iraq; DOB 1939; Former Adviser to the President for Military Affairs (individual) [IRAQ2]

AL-JABURI, Mish’an Rakim Thamin (a.k.a. AL JABURI, Mashan Rakad Dhamin; a.k.a. AL JABOURI, Meshan Thamin; a.k.a. AL JABOURI, Mishan Thamin; a.k.a. AL JABOURI, Meshaan Rakad Damin; a.k.a. AL JABOURI, Mashan; a.k.a. AL-JABOURI, Mishan; a.k.a. AL-JABOURI, Mashan; a.k.a. AL-JUBURI, Mesh'an; a.k.a. AL-JUBURI, Mishan; a.k.a. AL-JUBURI, Mishan; a.k.a. AL-JUBURI, Meshan; a.k.a. AL-JUBURI, Meshan; a.k.a. AL-JUBURI, Meshan; a.k.a. AL-JUBURI, Meshan; a.k.a. EL-JBURI, Mash'an; a.k.a. JABURI, Mashan; a.k.a. JUBURI, Mashan; a.k.a. JUBURI, Mashan; a.k.a. Latakia, Syria; Damascus, Syria; DOB 1 Aug 1957; POB Ninwa, Iraq; citizen Syria; nationality Iraq; Passport 0174652 (individual) [IRAQ9]
AL-JALAMAH, Jaber (a.k.a. AL-JALAHMA, Jaber; a.k.a. AL-JALAHMAH, Jabar), Abu Muhammad, a.k.a. AL-JALAMAH, Jabar, a.k.a. AL-JALAHMAH, Jabir 'Abdallah Jabir Ahmad; a.k.a. AL-JALHAMI, Jabir; a.k.a. ABDEL GHANI; a.k.a. ABU MUHAMMAD); DOB 24 Sep 1936; nationality Kuwait; Passport 1012344 (individual) [SDGT]

AL-JANABI, Nabil Abdullah, Beirut, Lebanon; DOB 14 Aug 1942; POB Baghdad, Iraq; Passport HI0309101 (Iraq) (individual) [IRAQ2]

AL-JAZIRI, Abu Bakr, Peshawar, Pakistan; alt. DOB circa 1973; POB al 'Amarah, Iraq; alt. POB al Kalamity, Iraq; nationality Iraq (individual) [IRAQ3]

AL-KABISI, Abdul Qala; DOB 1944; POB El Menea, Al-Kurds, Syria; Former Ba'th party regional command chairman, Maysan (individual) [IRAQ2]

AL-KHARAAB, Ahmad Hussein (a.k.a. SAMARRAI, Ahmad Hussein); DOB 1941; Former Minister of Finance, Iraq (individual) [IRAQ2]

AL-KUBAYSII, Ugl Darab Saqar (a.k.a. SAQAR AL-KABISI ABD AQLA); DOB 1944; POB Kubaisi, al-Anbar Governorate, Iraq; nationality Iraq; Former Ba'th party regional command chairman, Maysan (individual) [IRAQ2]

AL-LIBI, Anas, Afghanistan; DOB 30 Mar 1964; alt. DOB circa 1969; POB Tripoli, Libya; citizen Libyan (individual) [SDGT]

AL-LIBY, Asis (a.k.a. AL-LIBY, Asis; a.k.a. AL-RAGHIE, Nazih; a.k.a. AL-RAGHIE, Nazih Abdul Hamed; a.k.a. AL-SABRI, Asis; a.k.a. AL-SABRI, Anas), Afghanistan; DOB 14 May 1964; alt. DOB 15 Jan 1964; POB El Menea, Algeria (individual) [SDGT]

AL-MACAES S.A., Avenida 15 No. 123-30, Local 1-13, Bogota, Colombia; Carrera 65 No. 71-74, Barranquilla, Colombia; DIAN Registration 127 No. 17-34 Piso 2, Bogota, Colombia; DOB 1941; alt. DOB circa 1940; Passport 203037 (Libya) (individual) [SDGT]
AL-MAJID, Hussein Kamel Hassan (a.k.a. AL-MAJID, Husayn Kamal Hassan), Baghdad, Iraq; DOB 1955; Former Minister of Industry and Minerals and Advisor to the Prime Minister (individual) [IRAQ2]

AL-MALIKI, Shabib Lazem (a.k.a. AL-MALEKI, Shabib Lazim), Iraq; DOB 1938; Former Minister of Justice (individual) [IRAQ2]

AL-MARSUMI, Sadiq Jaylut (a.k.a. AL-MARZUMI, Sadah Jaylut), Basrah, Iraq; DOB 1954; alt. DOB 1953; alt. DOB 1955; alt. DOB 1966; citizen Syria (individual) [SDG7] AL-MASHHADANI, Safi-al-Din; DOB 1966; POB Baghdad, Iraq; nationality Iraq; Ba'th party regional command chairman, Al-Muthanna (individual) [IRAQ2]

AL-MASRI, Abu Hafs (a.k.a. ABDULLAH, Sheikh Taysir; a.k.a. ABU HAFS;' a.k.a. ABU HAMMAM'; a.k.a. ABU-HAMMAM'; a.k.a. ABU-HEMEM'; a.k.a. AL-KHATANY, Nayef bin Mohamed; a.k.a. AL-KHATANI, Nayef Mohammad; a.k.a. AL-QAHTANI, Nayef Mohammad), Milan, Italy (individual) [CUBA]

AL-NASSER, Abdelkarim Hussein Mohamed; POB Al Ihsa, Saudi Arabia; citizen Saudi Arabia (individual) [SDGT]

AL-NAJIM, Samir abd al-Aziz; DOB 1937; alt. DOB 1938; POB Baghdad, Iraq; nationality Iraq; Ba'th party regional command chairman, East Baghdad (individual) [IRAQ2]

AL-NATRUD, Zuhair Talib al-Sattar; DOB circa 1948; nationality Iraq; Director, Military Intelligence (individual) [IRAQ2]

AL-NAEF, Abdulah Ahmed; Passport E 976177 issued 6 Mar 2001; alt. Passport B 751550; alt. Passport F 137998 issued 18 Apr 2004 expires 24 Feb 2009; Doctor (individual) [SDGT]

AL-NUMAN, Aziz Sallhi; DOB 1941; alt. DOB 1945; POB An Nasiriyah, Iraq; nationality Iraq; Ba'th party regional command chairman (individual) [IRAQ2]

AL-NUR HONEY CENTER, Sanaa, Yemen (individual) [IRAQ2]

AL-POARDI, Carlo Giovanni, Milan, Italy (individual) [CUBA]

ALPHA INTERNATIONAL (PRIVATE) LTD, Flat 1, Almeen Gardens, 51A Park Road, Camberley, Surrey GU15 2SP, United Kingdom (a.k.a. ALPHA INTERNATIONAL (PRIVATE) LIMITED), Flat 1, Almeen Gardens, 51A Park Road, Camberley, Surrey GU15 2SP, United Kingdom (ZIMBABWE)

AL-QADID, Yassin Abdullah Ezzedine (a.k.a. KADI, Shaykh Yassin Abdullah; a.k.a. KAHDI, Yassin), Jeddah, Saudi Arabia; DOB 23 Feb 1955; POB Cairo, Egypt; nationality Saudi Arabia; Passport B 751550; alt. Passport A 848526 (Saudi Arabia) expires 29 Mar 2001; alt. Passport E 976177 issued 6 Mar 2004 expires 11 Jan 2009 (individual) [SDGT]


AL-QAIDA IN THE ARABIAN PENINSULA, Basrah, Iraq; citizen Iran; alt. citizen Iraq; nationality Iraq (individual) [IRAQ3]


AL-NAJIM, Samir abd al-Aziz; DOB 1937; alt. DOB 1938; POB Baghdad, Iraq; nationality Iraq; Ba'th party regional command chairman, East Baghdad (individual) [IRAQ2]
AL-RA'Y SATELLITE TELEVISION CHANNEL; a.k.a. AL RA'Y TV; a.k.a. THE OPINION SATELLITE TELEVISION CHANNEL), Near Damascus in the Yaafur area, Syria; E-mail Address info@arrai.tv; Web site www.arrai.tv [IRAQ3]
AL-TIKRITI, Abd al-Hamid Mahfoud (a.k.a. AL-HAMMUD, Abd Mahmou; a.k.a. MAHMOUD, Col. Abd el Hamid; a.k.a. MAHMOUD, Abd Hamid bid Hamid); DOB circa 1957; POB al-Awja, near Tikrit, Iraq; nationality Iraq; Saddam Hussein al-Tikriti’s presidential secretary and key advisor (individual) [IRAQ2]

AL-TIKRITI, Ahmed Watban Ibrahim Hasan (a.k.a. AL-TIKRITI, Ahmad Watban Ibrahim Hassan; a.k.a. MUHAWDAR, ‘Imad 'Udi), Jirmanah Neighborhood, Damascus, Syria; Al-Ra‘is Building, Mina Street, Tartus, Tartus, Syria; Al-Hadda Hotel, Sana‘a, Yemen; DOB 1975; alt. DOB 1976; POB Baghdad, Iraq; nationality Iraq (individual) [IRAQ2]

AL-TIKRITI, Ali Barzan Ibrahim Hasan, Geneva, Switzerland; DOB 18 Apr 1961; nationality Iraq; son of Barzan Ibrahim Hasan al-Tikriti (individual) [IRAQ2]

AL-TIKRITI, Al-Hajj Bashir Sabawi Ibrahim Al-Hasan; a.k.a. AL-TIKRITI, Bashir Sabawi Ibrahim Al-Hasan); DOB circa 1953; alt. DOB 1962; alt. DOB 1965; DOB 1960; DOB Ba‘qubah or al-Sumayda‘; nationality Iraq; armed forces chief of staff (individual) [IRAQ2]

AL-TIKRITI, Al-Hajj Bashir Sabawi Ibrahim Al-Hasan; a.k.a. AL-TIKRITI, Bashir Sabawi Ibrahim Al-Hasan); DOB circa 1953; alt. DOB 1962; alt. DOB 1965; DOB 1960; DOB Ba‘qubah or al-Sumayda‘; nationality Iraq; armed forces chief of staff (individual) [IRAQ2]

AL-TIKRITI, Ahmad Watban Ibrahim Hasan (a.k.a. AL-TIKRITI, Ahmad Watban Ibrahim Hassan; a.k.a. MUHAWDAR, ‘Imad 'Udi), Jirmanah Neighborhood, Damascus, Syria; Al-Ra‘is Building, Mina Street, Tartus, Tartus, Syria; Al-Hadda Hotel, Sana‘a, Yemen; DOB 1975; alt. DOB 1976; POB Baghdad, Iraq; nationality Iraq (individual) [IRAQ2]

AL-TIKRITI, Ali Barzan Ibrahim Hasan, Geneva, Switzerland; DOB 18 Apr 1961; nationality Iraq; son of Barzan Ibrahim Hasan al-Tikriti (individual) [IRAQ2]

AL-TIKRITI, Al-Hajj Bashir Sabawi Ibrahim Al-Hasan; a.k.a. AL-TIKRITI, Bashir Sabawi Ibrahim Al-Hasan); DOB circa 1953; alt. DOB 1962; alt. DOB 1965; DOB 1960; DOB Ba‘qubah or al-Sumayda‘; nationality Iraq; armed forces chief of staff (individual) [IRAQ2]

AL-TIKRITI, Al-Hajj Bashir Sabawi Ibrahim Al-Hasan; a.k.a. AL-TIKRITI, Bashir Sabawi Ibrahim Al-Hasan); DOB circa 1953; alt. DOB 1962; alt. DOB 1965; DOB 1960; DOB Ba‘qubah or al-Sumayda‘; nationality Iraq; armed forces chief of staff (individual) [IRAQ2]

AL-TIKRITI, Al-Hajj Bashir Sabawi Ibrahim Al-Hasan; a.k.a. AL-TIKRITI, Bashir Sabawi Ibrahim Al-Hasan); DOB circa 1953; alt. DOB 1962; alt. DOB 1965; DOB 1960; DOB Ba‘qubah or al-Sumayda‘; nationality Iraq; armed forces chief of staff (individual) [IRAQ2]
AL-TIKRITI, Noor Barzan Ibrahim Hasan, Geneva, Switzerland; DOB 2 Nov 1983; nationality Iraq; daughter of Barzan Ibrahim Hasan al-Tikriti (individual) [IRAQ2]

AL-TIKRITI, Omar Sabawi Ibrahim Hasan (a.k.a. AL-ALUSI, Umar Ahmad Ali; a.k.a. AL-TIKRITI, Omar Sabawi Ibrahim Hasan; a.k.a. AL-TIKRITI, Umar Sabawi Ibrahim Hasan), Damascus, Syria; Yemen; Al-Shahid Street, Al-Mahata Neighborhood, Az Zabadani, Syria; DOB circa 1970; POB Baghdad, Iraq; nationality Iraq; Passport 28637965 (Iraq) expires 23 Aug 2005 (individual) [IRAQ2]

AL-TIKRITI, Qasay Saddam Hussein; DOB 1963; alt. DOB 1966; POB Baghdad, Iraq; nationality Iraq; Saddam Hussein al-Tikriti's second son; oversaw Special Republican Guard, Special Security Organization, and Republican Guard (individual) [IRAQ2]

AL-TIKRITI, Rafi abd-al-Latif Tlfah; DOB circa 1954; POB Tikrit, Iraq; nationality Iraq; Director, Directorate of General Security (individual) [IRAQ2]

AL-TIKRITI, Raghad Saddam Hussein, Amman, Jordan; DOB 1967; POB Iraq; nationality Iraq; daughter of Saddam Hussein al-Tikriti (individual) [IRAQ2]

AL-TIKRITI, Rana Saddam Hussein, Amman, Jordan; DOB 1969; POB Iraq; nationality Iraq; daughter of Saddam Hussein al-Tikriti (individual) [IRAQ2]

AL-TIKRITI, Rukan Razuqi abd-al-Ghaffur Sulayman (a.k.a. ABU WALLID; a.k.a. AL-MAJID, Rukan abd al-Gafur; a.k.a. AL-MAJID, Rukan Abdul-Ghaffur Sulayman; a.k.a. AL-MAJID, Rukan Razuqi abd al-Ghafur; a.k.a. AL-TIKRITI, Rukan 'abd al-Ghaffur al-Majid; a.k.a. AL-TIKRITI, Rukan abd al-Ghaffur al-Majid); DOB 1966; POB Tikrit, Iraq; nationality Iraq; head of Tribal Affairs Office in presidential office (individual) [IRAQ2]

AL-TIKRITI, Salahdi Saddam Hussein (a.k.a. AL-TIKRITI, Sabawi Ibrahim Hassan); DOB 1947; POB Tikrit, Iraq; nationality Iraq; presidential advisor; half-brother of Saddam Hussein al-Tikriti (individual) [IRAQ2]

AL-TIKRITI, Sa'd abd-al-Majid al-Faysal; DOB 1944; POB Tikrit, Iraq; nationality Iraq; Ba'th party regional command chair- man, Salah al-Din (individual) [IRAQ2]

AL-TIKRITI, Sa'd Sabawi Ibrahim Hasan (a.k.a. AL-TIKRITI, Sa’ad Sabawi Ibrahim Hassan; a.k.a. AL-TIKRITI, Sa’ad Sabawi Ibrahim Hasan), Al-Shahid Street, Al-Mahata Neighborhood, Az Zabadani, Syria; Yemen; DOB 19 Sep 1988; nationality Iraq (individual) [IRAQ2]

AL-TIKRITI, Saddam Hussein (a.k.a. ABU ALI; a.k.a. HUSAYN, Saddam; a.k.a. HUSAIN, Saddam; a.k.a. HUSSEIN, Saddam); DOB 25 Apr 1967; POB al-Awja, near Tikrit, Iraq; nationality Iraq; named in UNSCR 1483; President since 1979 (individual) [IRAQ2]

AL-TIKRITI, Saja Barzan Ibrahim Hasan, Geneva, Switzerland; DOB 1 Jan 1978; nationality Iraq; daughter of Barzan Ibrahim Hasan al-Tikriti (individual) [IRAQ2]

AL-TIKRITI, Tahir Jalil Habbush; DOB 1960; POB Tikrit, Iraq; nationality Iraq; director of Iraqi Intelligence Service (individual) [IRAQ2]

AL-TIKRITI, Thoraya Barzan Ibrahim Hasan, Iraq; DOB 19 Dec 1960; alt. DOB 19 Jan 1960; nationality Iraq; daughter of Barzan Ibrahim Hasan al-Tikriti (individual) [IRAQ2]

AL-TIKRITI, Uday Saddam Hussein (a.k.a. AL-HASSAN, Watab Ibrahim; a.k.a. AL-TAKRITI, Watban; a.k.a. AL-TIKRITI, Watban Ibrahim al-Hassan); DOB 1952; POB Tikrit, Iraq; nationality Iraq; presidential advisor; half-brother of Saddam Hussein al-Tikriti (individual) [IRAQ2]

AL-TIKRITI, Yasir Sabawi Ibrahim Hasan (a.k.a. ABDALLAH, Ali Thafir; a.k.a. AL-TIKRITI, Yasir Sabawi Ibrahim Hasan; a.k.a. AL-TIKRITI, Yasir Sabawi Ibrahim Hasan; a.k.a. AL-TIKRITI, Yasir Sabawi Ibrahim Hasan), Az Zabadani, Syria; Mosul, Iraq; DOB 15 May 1968; alt. DOB 1970; POB Al-Owja, Iraq; alt. POB Baghdad, Iraq; nationality Iraq; Passport 286158 (Iraq) expires 21 Aug 2005 (individual) [IRAQ2]

ALTUN, Ali Riza (a.k.a. ALTUG, Risa; a.k.a. ALTUN, Ali; a.k.a. RIZA, Ebubekir); DOB 1 Jan 1956; POB Kucuk Sobecimen, KIVIRCIK, Ali; a.k.a. RIZA, Ebubekir); DOB 1 Jan 1956; POB Kucuk Sobecimen, Turkey; nationality Turkey (individual) [SDNTK]

AL-TURKI, Hassan Abdullah Hersi (a.k.a. AL-TURKI, Hassan); DOB circa 1944; POB Ogaden Region, Ethiopia (individual) [SDGT]

AL-TURKI, Hassan Abdullah Hersi (a.k.a. AL-TURKI, Hassan); DOB circa 1944; POB Ogaden Region, Ethiopia (individual) [SDGT]

AL-TURKI, Amir Rashid Muhammad; DOB 1939; POB Baghdad, Iraq; nationality Iraq; Minister of Oil (individual) [IRAQ2]

AL-UBAIDI, Ghazi Hammud; DOB 1944; POB Baghdad, Iraq; nationality Iraq; Ba’th...
party regional command chairman, Wasit (individual) [IRAQ2]
AL-UBAIDI, Yahia Abdallah; nationality Iraq; Ba'th party regional command chairman, Al-Basrah (individual) [IRAQ2]

AL-UBAYDI, Ahmad Hassan Kaka (a.k.a. AL NOBANI, Ali; a.k.a. AL- OBEIDI, Ahmed Hassan Kaka; a.k.a. HAZIM KAKA), Kurdish Al Nasir village, Iraq; Turkmen; Taza sub district, Iraq; DOB 1949; POB Baghdad, Iraq; nationality Iraq; Passport F032556 (Iraq) issued 4 May 1976 (individual) [IRAQ]

AL-UBAYDI, Intissar, Iraq; DOB 1974; nationality Iraq; wife of Izzat Ibrahim Al-Douri (individual) [IRAQ2]
AL-UBSTA, Raw'a (a.k.a. AL-ASTAH, Raw'ah; a.k.a. AL- OUSTA, Raw'a; a.k.a. AL- USTAH, Raw'ah; a.k.a. AL-USTAH, Raw'ah), Damascus, Syria; DOB 1962; nationality Syria (individual) [IRAQ3]

ALVARADO BONILLA, Alejandro, c/o DROGAS LA REBAJA BOGOTA S.A., Bogota, Colombia; DOB 29 May 1974; Cedula No. 79641639 (Colombia) (individual) (SDNT)

ALVARADO DEL RIO, Freddy de Jesus, Colombia; c/o GS CONSULTORIA DE OCCIDENTE, S.A. DE C.V., Guadalajara, Jalisco, Mexico; c/o GS CONSULTORES, S.A DE C.V., Guadalajara, Jalisco, Mexico; POB Mexico; R.F.C. AAHT–600725–4L7 (Mexico) (individual) [SDNT]

ALVARADO AGUIRRE, Manuel, Panama (individual) [CUBA]

ALVAREZ DE LA TORRE, Mario Andres, c/o COSMEPOP, Bogota, Colombia; c/o AMERICANA DE COSMETICOS S.A., Bogota, Colombia; DOB 6 Mar 1972; Cedula No. 235294 (Colombia) (individual) (SDNT)

ALVAREZ DEL RIO, Freddy de Jesus, Colombia; c/o GS CONSULTORIA DE OCCIDENTE, S.A. DE C.V., Guadalajara, Jalisco, Mexico; c/o GS CONSULTORES, S.A DE C.V., Guadalajara, Jalisco, Mexico; POB Mexico; R.F.C. AAHT–600725–4L7 (Mexico) (individual) [SDNT]

ALVAREZ GAVIRIA, Jaime Antonio, c/o EXPORT CAFE LTDA., Cali, Colombia; DOB 17 Aug 1947; Cedula No. 1009083 (Colombia) (individual) (SDNT)

ALVAREZ HERNANDEZ, Maria Teresa, c/o CONSULTORIA DE OGODENTR, S.A. DE C.V., Guadalajara, Jalisco, Mexico; c/o GS PLUS CONSULTORES, S.A. DE C.V., Tijuana, Baja California, Mexico; DOB 25 Jul 1960; Cedula No. 8567918 (Colombia) (individual) [SDNT]

ALVAREZ RAMOS, Priscillano Enrique (a.k.a. ALVAREZ RAMOS, Priscillano), c/o PREFABRICADOS Y AGREGADOS DE COLOMBIA LTDA., Cartagena, Colombia; DOB 20 Jun 1969; Cedula No. 70524763 (Colombia) (individual) (SDNT)

ALVAREZ TOSTADO, Jose (a.k.a. CASTELLANOS ALVAREZ TOSTADO, Juan Jose; a.k.a. GONZALEZ, Jose), DOB 27 Aug 1955; POB Mexico (individual) [SDNT]

ALVAREZ VAZQUEZ, Jose Gerardo (a.k.a. ALVAREZ ALVAREZ, Gerardo; a.k.a. ALVAREZ VAZQUEZ, Joel; a.k.a. ALVAREZ VAZQUEZ, Jose Gerardo; a.k.a. ALVAREZ VAZQUEZ, Jose Gerardo; a.k.a. ALVAREZ VAZQUEZ, Jose Gerardo; a.k.a. ZALDIVAR VEGA, Javier; a.k.a. EL GUARDIAN, a.k.a. EL INDIO), c/o AMERICAN TUNE UP, S.A. DE C.V., Guadalajara, Jalisco, Mexico; Avenida Gonzalez Gallo #2357, Sector Reforma, Guadalajara, Jalisco, Mexico; DOB 24 Sep 1965; alt. DOB 10 May 1966; POB Las Avilas, Guerrer, Mexico; citizen Mexico; nationality Mexico (individual) (SDNTK)

ALVARO ENRIQUE BARRERA RIOS Y CIA. S. EN C.S., Calle 14 Oeste No. 2B1–45 apto. 302E, Cali, Colombia; NIT #900105562–3 (Colombia) (individual) [SDNT]

ALVIS PATINO, Gentil (a.k.a. LOPEZ, Angel Leopoldo; a.k.a. MARTINEZ VEGA, Juan Jose; a.k.a. PATINO ORTIZ, Alvis; a.k.a. ‘’CHIGUIRO’’; a.k.a. ‘’GONZALEZ, Ruben’’), DOB 4 Jun 1961; POB El Doncello, Caqueta, Colombia; Cedula No. 12059198 (Venezuela); alt. Cedula No. 1766939 (Colombia) (individual) (SDNT)

AL-WAHISHI, Nasir (a.k.a. AL-WAHISHI, Abu Basir Nasir; a.k.a. AL-WAHISHI, Naser Abdel Karim; a.k.a. AL-WAHSI, Abu Basir Nasir; a.k.a. WUHAISHI, Abu Basir Nasir; a.k.a. AL-WUHISHI, Abu Basir Nasir; a.k.a. AL-WUHISHI, Abu Basir Nasser; a.k.a. ‘’BASIR, Abu’’), DOB 1 Oct 1976; nationality Yemen (individual) [SDGT]

ALWAN, Allaidin Hussain, c/o ALWAN, Ali Idin Hussain, Baghdad, Iraq (individual) [IRAQ2]

AL-YACOUB, Ibrahim Salih Mohammed; DOB 16 Oct 1966; POB Tarut, Saudi Arabia; citizen Saudi Arabia (individual) [SDGT]

AL-YASSIN, Husam Muhammad Amin; DOB 1953; alt. DOB 1958; POB Tikrit, Iraq; nationality Iraq; head, National Monitoring Directorate (individual) [IRAQ2]

AL-ZARQAWI, Abu Mus'ab (a.k.a. 'ABD AL-HABIB; a.k.a. AL-KHALAYLAH, Ahmad Fadil Nazzal; a.k.a. AL-MUHAJIR; a.k.a. AL-HABIB; a.k.a. AL-KHALAYLAH, KARIM; a.k.a. ABU AL-MU'TAZ; a.k.a. AL-MUHAJIR; a.k.a. AL-WUHISHI, Abu Basir Nasser; a.k.a. AL-WUHISHI, Abu Basir Nasir; a.k.a. AL-WUHISHI, Abu Basir Nasser; a.k.a. ‘’BASIR, Abu’’), DOB 1 Oct 1976; nationality Yemen (individual) [SDGT]
FUNDACION PARA LA EDUCACION Y EL DESARROLLO SOCIAL, Cali, Colombia; DOB 13 Aug 1959; POB Colombia; Cedula No. 16556014 (Colombia); Passport A065616 (Colombia) (individual) [SDNT]

ALZATE JIMENEZ, Luis Holmes, c/o FUNDACION PARA LA EDUCACION Y EL DESARROLLO SOCIAL, Cali, Colombia; Calle 5E No. 47–46 apto. 302, Cali, Colombia; c/o TURISMO HANSA S.A., San Andres, Colombia; c/o CAMBIOS Y CAPITALES S.A., Bogota, Colombia; c/o ANDINAENVIOS AN EN S.A., Quito, Ecuador; DOB 04 Jun 1958; POB Colombia; Cedula No. 16597861 (Colombia); Passport AP770520 (Colombia) (individual) [SDNT]

ALZATE JIMENEZ, Tulio Hernandez, c/o TURISMO HANSA S.A., San Andres, Colombia; c/o FUNDACION PARA LA EDUCACION Y EL DESARROLLO SOCIAL, Cali, Colombia; c/o FINANCIACION Y EMPRESA S.A., Cali, Colombia; c/o CONSTRUCTORA E INMOBILIARIA ANDINIA S.A., Cali, Colombia; c/o T.H. ALZATE Y CIA. S.C.S., Cali, Colombia; c/o CAMBIOS Y CAPITALES S.A., Bogota, Colombia; c/o ANDINAENVIOS AN EN S.A., Quito, Ecuador; c/o INVERSIONES CORPORATIVAS LTDA., Cali, Colombia; DOB 28 Mar 1961; POB Colombia; Cedula No. 1659731 (Colombia); Passport AP770539 (Colombia) (individual) [SDNT]

ALZATE SALAZAR, Luis Alfredo, c/o DROGAS LA REBAJA BOGOTA S.A., Bogota, Colombia; c/o LABORATORIOS KRESSFOR DE COLOMBIA S.A., Bogota, Colombia; c/o CINTEROSCOS S.A., Bogota, Colombia; c/o DEPOSITO POPULAR DE DROGAS S.A., Bogota, Colombia; DOB 27 Nov 1957; Cedula No. 1659669 (Colombia) (individual) [SDNT]

AL-ZAWRA TELEVISION STATION (a.k.a. AL ZAWRAA TELEVISION; a.k.a. AL ZAWEIRA TV; a.k.a. AL-ZAWRAA TV; a.k.a. AL-ZAWRAA SATELLITE TELEVISION STATION; a.k.a. AL-ZAWEIRA TV; a.k.a. AL-ZAWRA SATELLITE STATION; a.k.a. ZAWRAH TV STATION; a.k.a. ZAWRAH TELEVISION; a.k.a. AL-ZAWEIRA TV; a.k.a. ZAWRAH CHANNEL), Syria [IRAQ3]

AL-ZIBARI, Arshad Mohammad Ahmad Muhammad, Iraq; DOB 1942; a former minister of state (individual) [IRAQ2]

AL-ZINDANI, Shaykh Abd-al-Majid (a.k.a. AL-ZINDANI, Abdulmajid; a.k.a. AL-ZINDANI, Shaykh 'Abd al-Majid); DOB circa 1956; POB Yemen; nationality Yemen; Passport A085487 (Yemen) issued 13 Aug 1995 (individual) [SDGT]

AL-ZUMAR, Abud (a.k.a. ZUMAR, Colonel Abd); Egypt; POB Egypt; Factional Leader of JIHAD GROUP (individual) [SDT]

AMADOR CEDIEL, Fernando, c/o WORLD LINE SYSTEM S.A., Palmira, Valle, Colombia; c/o COINTERCOS S.A., Bogota, Colombia; c/o COINTERCOS S.A., Quito, Ecuador; c/o INVERSIONES CORPORTIVAS LTDA., Cali, Colombia; c/o CECEP EDITORES S.A., Cali, Colombia; Avenida 9A No. 25N-30, Cali, Colombia; c/o APVA S.A., Cali, Colombia; c/o NEGOCIOS Y CAPITALES S.A., Pereira, Colombia; c/o CECEP S.A., Cali, Colombia; DOB 01 Dec 1962; POB Bogomaso, Boyaca, Colombia; Cedula No. 16983079 (Colombia); Passport AG830783 (Colombia) (individual) [SDNT]

AMAYA OROZCO, Luis Alberto, Calle 1B No. 9–46, Cali, Colombia; c/o COMERCIALIZADORA DE CARNES DEL PACIFICO LTDA., Cali, Colombia; DOB 15 Sep 1945; Cedula No. 4862167 (Colombia) (individual) [SDNT]

AMCO LTD AGENCY, Al Tahrir Car Park, uring Building, Tahrir Sq., Floor 3, Office 53, P.O. Box 8044, Baghdad, Iraq [IRAQ2]

AMDOUNI, Mehrez (a.k.a. AL-AMDOUNI, Mehrez Ben Mahmoud Ben Sassi; a.k.a. FUSCO, Fabio; a.k.a. HASSAN, Mohamed; a.k.a. “ABU THALE’’); DOB 18 Dec 1969; POB Tunis, Tunisia; nationality Tunisia; Passport 0801888 (Bosnia and Herzegovina); alt. Passport G73411 (Tunisia) issued 24 Oct 1990 expires 20 Sep 1997 (individual) [SDGT]


AMERICAN TUNE UP, S.A. DE C.V., Guadalajara, Jalisco, Mexico; Registration ID MAT 46–47 TOMO 460 L. (Mexico) [SDNTK]

AMERICANA DE COSMETICOS S.A., Carrera 70 No. 54–30, Bogota, Colombia; Calle 12B No. 27–40, Int. 4 of., Bogota, Colombia; Carrera 28 No. 11–65 of. 707, Bogota, Colombia; Carrera 12 No. 71–53 of. 502, Bogota, Colombia; Calle 12B No. 27–39, Bogota, Colombia; NIT 880022970–9 (Colombia) (individual) [SDNT]

AMEZCUA CONTRERAS ORGANIZATION, Mexico [SDNTK]

AMEZCUA CONTRERAS, Adan (a.k.a. MANZANO, Jose Luis), Francisco I. Madero 749, Colonia Morales, Colima, Colima, Mexico; Calle General Juan Alvarez 1010, Colonia Lomas Vista Hermosa, Colima, Colima, Mexico; Belizario Dominguez, No. 511, Colima, Colima, Mexico; Carlos Chavez 5, Colima, Colima, Mexico; Toreros No. 672, Colonia Jardines de Guadalupe, Guadalajara, Jalisco, Mexico; DOB 27 Jun 1969; citizen Mexico; nationality Mexico; R.F.C. AECA–690627 (Mexico) (individual) [SDNTK]
ARAMBULA GARCIA, Luz del Rocio (a.k.a. ARAB SUDANESE VEGETABLE OIL COMPANY, Khartoum, Sudan [SUDAN])

ARARAM SUDANESE SEED COMPANY, Khartoum, Sudan [SUDAN]

ARASH SUDANESE VEGETABLE OIL COMPANY, Khartoum, Sudan [SUDAN]

ARANGA MADRIGAL, Hernan Dario, c/o SERVICIOS INMOBILIARIOS LTDA., Cali, Colombia; c/o LABORATORIOS DE TRANSPORTES CHULUCANAS 2000 S.A., Lima, Peru; c/o EMPRESA CULTIVAR S.A., Fuente de Oro, Meta, Colombia; c/o LASA PERU S.A.C., Lima, Peru; c/o LASA PERU S.A.C., Lima, Peru; c/o LASA PERU S.A.C., Lima, Peru; c/o 1311, URB Elio, Lima, Peru; c/o DE TRANSPORTES CHULUCANAS 2000 S.A., Lima, Peru; c/o LASA PERU S.A.C., Lima, Peru; c/o LASA PERU S.A.C., Lima, Peru; c/o DOB 27 May 1971; LE Number 06778472 (Peru) (individual) [SDNTK]

ARAUJO LAVEAGA, Carmen Amelia, c/o INVERSIONES HOTELERAS DEL LITORAL LTDA., Barranquilla, Colombia; c/o GRAN COMPANIA DE HOTELES LTDA., Barranquilla, Colombia; c/o INMOBILIARIA DEL CARIBE LTDA., Barranquilla, Colombia; c/o HOTELES E INMUEBLES DE COLOMBIA LTDA., Barranquilla, Colombia; c/o INVERSIONES HOTELERAS DEL LITORAL LTDA., Barranquilla, Colombia; c/o DOB 8 Feb 1935; alt. DOB 21 May 1946; alt. DOB 2 May 1946; alt. Cedula No. 39136993 (Colombia) (individual) [SDNT]

ARAVALLI, Bhaskar, c/o KRESSFOR DE COLOMBIA S.A., Bogota, Colombia; c/o LABORATORIOS DE TRANSPORTES CHULUCANAS 2000 S.A., Lima, Peru; c/o EMPRESA CULTIVAR S.A., Fuente de Oro, Meta, Colombia; c/o LASA PERU S.A.C., Lima, Peru; c/o LASA PERU S.A.C., Lima, Peru; c/o LASA PERU S.A.C., Lima, Peru; c/o DOB 27 May 1971; LE Number 06778472 (Peru) (individual) [SDNTK]
ARBOLEDA ARROYAVE, Pedro Nicholas (a.k.a. ARBOLEDA ARROYAVE, Pedro Nicolas), c/o FUNDASER, Cali, Colombia; c/o DISTRIBUIDORA DE DROGAS CONDOR LTDA., Bogota, Colombia; c/o D’CACHE S.A., Cali, Colombia; c/o CREDITREBAJAS, S.A., Cali, Colombia; c/o DEPOSITO POPULAR DE DROGAS S.A., Cali, Colombia; DOB 23 Jun 1967; Cedula No. 16922372 (Colombia) (individual) [SDNT]

ARBOLEDA ROMERO, Julio Cesar, c/o INVERSIONES BETANIA LTDA., Cali, Colombia; c/o INVERSIONES EL PENON S.A., Cali, Colombia; DOB 1 Dec 1983; Cedula No. 16205508 (Colombia) (individual) [SDNT]

ARCA DISTRIBUCIONES LTDA., Carrera 23 No. 37-39 of. 202, Bogota, Colombia; NIT #830131785-6 (Colombia) (individual) [SDNT]

ARCE BORBOA, Ana Cristina, Calle Artesanos No. 255, Colonia Bucurotaca, Culiacan, Sinaloa, Mexico; c/o COMPANIA MINERA DEL RIO CIANURY S.A. DE C.V., Culiacan, Sinaloa, Mexico; c/o MINERA RIO PRESIDIO S.A. DE C.V., Culiacan, Sinaloa, Mexico; c/o COPA DE PLATA S.A. DE C.V., Culiacan, Sinaloa, Mexico; Prof. Raul Franco Barreda 97, Fracc. Arboles, Culiacan, Sinaloa, Mexico; c/o MINERA LA CASTELLANA Y ANEXAS S.A. DE C.V., Culiacan, Sinaloa, Mexico; DOB 22 May 1961; POB Navolato, Sinaloa, Mexico; alt. POB Culiacan, Sinaloa, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. AEPA741028MBCRXR07 (Mexico) (individual) [SDNT]

ARCE BORBOA, Ana Cristina, Calle Artesanos No. 255, Colonia Bucurotaca, Culiacan, Sinaloa, Mexico; c/o COMPANIA MINERA DEL RIO CIANURY S.A. DE C.V., Culiacan, Sinaloa, Mexico; c/o MINERA RIO PRESIDIO S.A. DE C.V., Culiacan, Sinaloa, Mexico; c/o COPA DE PLATA S.A. DE C.V., Culiacan, Sinaloa, Mexico; Prof. Raul Franco Barreda 97, Fracc. Arboles, Culiacan, Sinaloa, Mexico; c/o MINERA LA CASTELLANA Y ANEXAS S.A. DE C.V., Culiacan, Sinaloa, Mexico; DOB 22 May 1961; POB Navolato, Sinaloa, Mexico; alt. POB Culiacan, Sinaloa, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. AEPA741028MBCRXR07 (Mexico) (individual) [SDNT]

ARCE BORBOA, Ana Cristina, Calle Artesanos No. 255, Colonia Bucurotaca, Culiacan, Sinaloa, Mexico; c/o COMPANIA MINERA DEL RIO CIANURY S.A. DE C.V., Culiacan, Sinaloa, Mexico; c/o MINERA RIO PRESIDIO S.A. DE C.V., Culiacan, Sinaloa, Mexico; c/o COPA DE PLATA S.A. DE C.V., Culiacan, Sinaloa, Mexico; Prof. Raul Franco Barreda 97, Fracc. Arboles, Culiacan, Sinaloa, Mexico; c/o MINERA LA CASTELLANA Y ANEXAS S.A. DE C.V., Culiacan, Sinaloa, Mexico; DOB 22 May 1961; POB Navolato, Sinaloa, Mexico; alt. POB Culiacan, Sinaloa, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. AEPA741028MBCRXR07 (Mexico) (individual) [SDNT]

ARCE BORBOA, Ana Cristina, Calle Artesanos No. 255, Colonia Bucurotaca, Culiacan, Sinaloa, Mexico; c/o COMPANIA MINERA DEL RIO CIANURY S.A. DE C.V., Culiacan, Sinaloa, Mexico; c/o MINERA RIO PRESIDIO S.A. DE C.V., Culiacan, Sinaloa, Mexico; c/o COPA DE PLATA S.A. DE C.V., Culiacan, Sinaloa, Mexico; Prof. Raul Franco Barreda 97, Fracc. Arboles, Culiacan, Sinaloa, Mexico; c/o MINERA LA CASTELLANA Y ANEXAS S.A. DE C.V., Culiacan, Sinaloa, Mexico; DOB 22 May 1961; POB Navolato, Sinaloa, Mexico; alt. POB Culiacan, Sinaloa, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. AEPA741028MBCRXR07 (Mexico) (individual) [SDNT]

ARCE BORBOA, Ana Cristina, Calle Artesanos No. 255, Colonia Bucurotaca, Culiacan, Sinaloa, Mexico; c/o COMPANIA MINERA DEL RIO CIANURY S.A. DE C.V., Culiacan, Sinaloa, Mexico; c/o MINERA RIO PRESIDIO S.A. DE C.V., Culiacan, Sinaloa, Mexico; c/o COPA DE PLATA S.A. DE C.V., Culiacan, Sinaloa, Mexico; Prof. Raul Franco Barreda 97, Fracc. Arboles, Culiacan, Sinaloa, Mexico; c/o MINERA LA CASTELLANA Y ANEXAS S.A. DE C.V., Culiacan, Sinaloa, Mexico; DOB 22 May 1961; POB Navolato, Sinaloa, Mexico; alt. POB Culiacan, Sinaloa, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. AEPA741028MBCRXR07 (Mexico) (individual) [SDNT]

ARCE FLORES, Lorenzo, c/o QUINTA REAL JARDIN SOCIAL Y DE EVENTOS S.A. DE C.V., Tijuana, Baja California, Mexico; DOB 26 Oct 1974; POB Baja California, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. AEPA741028MBCRXR07 (Mexico) (individual) [SDNT]

ARCE FLORES, Lorenzo, c/o QUINTA REAL JARDIN SOCIAL Y DE EVENTOS S.A. DE C.V., Tijuana, Baja California, Mexico; c/o MODULO DE CAMBIOS, Tijuana, Baja California, Mexico; c/o PROMOTORA PIN, S.A., Tijuana, Baja California, Mexico; Avenida Madero No. 1010, Tijuana, Baja California, Mexico; 750 Brookstone Road #231, Chula Vista, CA 91913; c/o CAJA AMIGO EXPRESS S.A. DE C.V., Chula Vista, CA 91916; c/o OPERADORA DE CAJA Y SERVICIOS, S.A. DE C.V., Tijuana, Baja California, Mexico; 750 Brookstone Road #201, Chula Vista, CA 91916; c/o A.E.R. AMIGO EXPRESS S.A. DE C.V., Chula Vista, CA 91916; c/o FUNDASER, Cali, Colombia; c/o MULTICAJA DE TIJUANA S.A. DE C.V., Tijuana, Baja California, Mexico; c/o MADEROS DEL DESCANSO S.A. DE C.V., Chula Vista, CA 91916; c/o PATRICIA CASA DE CAMBIO, Tijuana, Baja California, Mexico; DOB 6 May 1931; alt. DOB 1 May 1941; alt. DOB 5 May 1941; alt. DOB 6 May 1941; POB Mexico, Baja California, Mexico; citizen Mexico; nationality Mexico; R.F.C. AEFL–100506–MS (Mexico) (individual) [SDNT]

ARCE GARCIA, Rodrigo Alberto, c/o AGRO MASCOTAS S.A., Bogota, Colombia; DOB 9 Jun 1963; Cedula No. 16699556 (Colombia); Passport 16699556 (Colombia) (individual) [SDNT]

ARCE JARAMILLO, Melba Rosa, Calle Cuitlacan 101 Int. 702 Col. La Condesa, Mexico City; Mexico; calle Ahehuetes No. 1320 Col. Lomas de Tecamachalco, Mexico City, Mexico; c/o AEROCOMERCIAL ALAS DE COLOMBIA, Bogota, Colombia; DOB 17 Nov 1964; POB Cali, Colombia; Cedula No. 31945032 (Colombia); Passport AJ389724 (Colombia); alt. Passport AE696914 (Colombia); alt. Passport PP31235 (Colombia) (individual) [SDNT]

ARCE PINA, Araceli, c/o QUINTA REAL JARDIN SOCIAL Y DE EVENTOS S.A. DE C.V., Tijuana, Baja California, Mexico; DOB 28 Oct 1974; POB Baja California, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. AEAP710607HSRRXB00 (Mexico); Doing business as GLOBAL FUNDING SERVICES, CORP., Chula Vista, CA 91910; DOB 7 Jun 1971; alt. DOB 28 Oct 1974; POB Sonora, Mexico; flag Mexico; nationality Mexico; C.U.R.P. AEAP710607HSRRXB00 (Mexico); Doing business as GLOBAL FUNDING SERVICES, CORP., at 660 Bay Boulevard, Suite 205, Chula Vista, CA 91910; c/o STRONG LINK DE MEXICO, S.A. DE C.V., Tijuana, Baja California, Mexico; c/o GRUPO INMOBILIARIO PROFESIONAL BAJA, S.A. DE C.V., Tijuana, Baja California, Mexico; c/o GLOBAL FUNDING SERVICES, CORP., Chula Vista, CA 91910; DOB 7 Jun 1971; POB Sonora, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. AEPR710607HSRRXB00 (Mexico); Doing business as GLOBAL FUNDING SERVICES, CORP., at 660 Bay Boulevard, Suite 205, Chula Vista, CA 91910. Incorporated in California on 4/24/2002 (No. C2288795) (individual) [SDNT]

ARCHI CENTRE I.C.E. LIMITED, 3 Mandeville Place, London, United Kingdom (IRAQ2)

ARCHICONSULT LIMITED, 128 Buckingham Place, London 5, United Kingdom (IRAQ2)

ARDELA PICO, Rosalba, c/o DEPOSITO POPULAR DE DROGAS S.A., Tijuana, Baja California, Mexico; c/o AEROCOMERCIAL ALAS DE COLOMBIA, Bogota, Colombia; DOB 9 Jun 1963; Cedula No. 16699556 (Colombia); Passport 16699556 (Colombia) (individual) [SDNT]
ARELLANO FELIX, Benjamin Alberto; DOB 12 Mar 1952; alt. DOB 11 Aug 1955; alt. DOB 8 Nov 1954; POB Mexico (individual) (SDNTK)

ARELLANO FELIX, Eduardo Ramon (a.k.a. ARELLANO FELIX, Javier Eduardo); DOB 10 Nov 1956; POB Mexico (individual) (SDNTK)

ARELLANO FELIX, Enedina (a.k.a. ARELLANO FELIX DE TOLEDO, Enedina), c/o Farmacia Vida Suprema, S.A. DE C.V., Tijuana, Baja California, Mexico; DOB 12 Apr 1961 (individual) (SDNTK)

ARELLANO FELIX, Francisco Javier (a.k.a. ARELLANO FELIX, Javier); a.k.a. BELTRAN MEZA, Ramon; a.k.a. DIAZ MEDINA, Javier; a.k.a. LARA ALVAREZ, Jose Luis); DOB 21 Nov 1969; alt. DOB 12 Dec 1969; POB Cúcuta, Sinaloa, Mexico (individual) (SDNTK)

ARELLANO FELIX, Ramon Eduardo (a.k.a. COMACHO RODRIGUEZ, Gilberto; a.k.a. TORRES MENDEZ, Ramon); DOB 31 Aug 1964; POB Mexico (individual) (SDNTK)

ARIAN BANK (a.k.a. ARYAN BANK), House of Radio Unidas FM S.A., Cali, Colombia; c/o Color 89.5 FM Stereo, Cali, Colombia; c/o Radio Unidas FM S.A., Cali, Colombia; c/o DERECHO INTEGRAL Y CIA. LTDA., Cali, Colombia; c/o REVISTA DEL AMERICA LTDA., Cali, Colombia; DOB 11 Oct 1968; Cedula No. 16756325 (Colombia) (individual) (SDNTK)

ARISTIZABAL GIRALDO, Tulio Adan, Calle 14 No. 9-53, Cali, Colombia; c/o DISTRIBUIDORA BABY PANALES, Cali, Colombia; DOB 06 Mar 1966; alt. DOB 03 Jun 1966; Cedula No. 79395721 (Colombia) (individual) (SDNTK)

ARIZA CHAVEZ, Elicer, c/o SUPERGEN LTDA., Bucaramanga, Colombia; DOB 22 Jul 1972; Cedula No. 79183205 (Colombia); Passport 79183205 (Colombia) (individual) (SDNT)

ARIZA OLIVERA, Joaquin, c/o LITOPHARMA, Barranquilla, Colombia; Cedula No. 8721438 (Colombia) (individual) (SDNT)

ARIZABALETA ARZAYUS, Phanor (a.k.a. ARIZABALETA ARZAYUS, Panor), Carrera 9 No. 98–35, Buga, Colombia; Carrera 4 No. 12–41 of. 719, Cali, Colombia; Avenida 39 No. 15–22, Bogota, Colombia; c/o INVERSIONES ARIO LTDA., Cali, Colombia; c/o CONSTRUCTORA ALTOS DEL RETIRO LTDA., Bogota, Colombia; DOB 12 May 1938; Cedula No. 2879390 (Colombia) (individual) (SDNT)

ARIZONA S.A., Carrera 8N No. 17A–12, Cartago, Colombia; NIT #836000098–9 (Colombia) (SDNT)

ARJONA ALVARADO, Rafael Guillermo, c/o ALPHA PHARMA S.A., Bogota, Colombia; c/o FARMATODO S.A., Bogota, Colombia; c/o LABORATORIOS BLAIMAR, Bogota, Colombia; c/o LABORATORIOS KRESSFOR DE COLOMBIA S.A., Bogota, Colombia; DOB 28 Jun 1961; Cedula No. 1942668 (Colombia) (individual) (SDNT)

ARLEONE FACCELLE, c/o DISTRIBUIDORA DE DROGAS CONDOR S.A., Bogota, Colombia; DOB 24 Oct 1959; Cedula No. 16632415 (Colombia) (individual) (SDNT)

ARMAGEDON S.A., Factoria La Rivera, La Union, Valle, Colombia; NIT #800112221–4 (Colombia) (SDNT)

ARMAMENT INDUSTRIES GROUP (a.k.a. “AIG-ARMAMENT INDUSTRIES GROUP”), Pasداران Ave., P.O. Box 19858–777, Tehran, Iran; Sepah Islam Road, Karaj Special Road Km 10, Iran (NPWMD)

ARMANDO JAAR Y CIA. S.C.S., Carrera 74 No. 9S–34, Buga, Colombia; c/o CAJA AMIGO EXPRESS, S.A. DE C.V., Tijuana, Baja California, Mexico; c/o Caja Amigo Express, S.A. DE C.V., Tijuana, Baja California, Mexico; c/o CAJA SOLIDARIA, Bogota, Colombia; c/o COOPERATIVA DE TRABAJO ASOCIADO ACTIVAR, Bogota, Colombia; DOB 13 Nov 1962; Cedula No. 52909667 (Colombia) (individual) (SDNT)

ARMENIA S.A., Carrera 22 No. 10–61, Cartago, Colombia; NIT #816000036–8 (Colombia) (SDNT)

ARMENIA S.A., Carrera 9 No. 98–35, Buga, Colombia; Carrera 4 No. 12–41 of. 719, Cali, Colombia; Avenida 39 No. 15–22, Bogota, Colombia; c/o INVERSIONES ARIO LTDA., Cali, Colombia; c/o CONSTRUCTORA ALTOS DEL RETIRO LTDA., Bogota, Colombia; DOB 12 May 1938; Cedula No. 2879390 (Colombia) (individual) (SDNT)

ARMEMENT INDUSTRIES GROUP (a.k.a. “AL-JAMA’AH AL-ISLAMIYAH AL-MUSALLAH: a.k.a. GIA: a.k.a. GROUPEMENT ISLAMIQUE ARME)”, Pasdaran Ave., P.O. Box 19858–777, Tehran, Iran; Sepah Islam Road, Karaj Special Road Km 10, Iran (NPWMD)

ARMEMENT INDUSTRIES GROUP (a.k.a. “AL-JAMA’AH AL-ISLAMIYAH AL-MUSALLAH: a.k.a. GIA: a.k.a. GROUPEMENT ISLAMIQUE ARME)”, Pasdaran Ave., P.O. Box 19858–777, Tehran, Iran; Sepah Islam Road, Karaj Special Road Km 10, Iran (NPWMD)

ARMEMENT INDUSTRIES GROUP (a.k.a. “AL-JAMA’AH AL-ISLAMIYAH AL-MUSALLAH: a.k.a. GIA: a.k.a. GROUPEMENT ISLAMIQUE ARME)”, Pasdaran Ave., P.O. Box 19858–777, Tehran, Iran; Sepah Islam Road, Karaj Special Road Km 10, Iran (NPWMD)

ARMEMENT INDUSTRIES GROUP (a.k.a. “AL-JAMA’AH AL-ISLAMIYAH AL-MUSALLAH: a.k.a. GIA: a.k.a. GROUPEMENT ISLAMIQUE ARME)”, Pasdaran Ave., P.O. Box 19858–777, Tehran, Iran; Sepah Islam Road, Karaj Special Road Km 10, Iran (NPWMD)
ARRIOLA MARQUEZ, Miguel Angel (a.k.a. ARREOLA MARQUEZ, Miguel Angel), c/o INMOBILIARIA EL ESCORPION DEL NORTE S.A. DE C.V., Mexico; Calle Mina No. 15, Saucillo, Chihuahua, Mexico; c/o CORRALES SAN IGNACIO L.L.C., Presidio, TX; c/o RIO GRANDE STOCKYARDS, INC., Presidio, TX; c/o AUTO EXPRESS DORADOS S.A. DE C.V., Saucillo, Chihuahua, Mexico; c/o DEL NORTES CARNES FINAS SAN IGNACIO S.A. DE C.V., Mexico; Carretera Camargo-Ojinaga Km. 2, La Aurora, Camargo, Chihuahua, Mexico; c/o CORRALES SAN IGNACIO S.P.R. DE R.L. DE C.V., Mexico; DOB 15 Dec 1967; POB Chihuahua, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. AIMM67125HCRHRG06 (Mexico) issued 1968; R.F.C. AIMM-671215-387 (Mexico) (individual) [SDNTK]

ARRIOLA MARQUEZ, Oscar Arturo (a.k.a. ARREOLA MARQUEZ, Oscar), c/o CORRALES SAN IGNACIO S.A. DE C.V., Mexico; c/o CORRALES SAN IGNACIO S.P.R. DE R.L. DE C.V., Saucillo, Chihuahua, Mexico; DOB 06 Apr 1994; POB Chihuahua, Chihuahua, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. AIMO940406HCHRRS01 (Mexico) issued 1994; R.F.C. AIMM–940406–9F7 (Mexico) (individual) [SDNTK]

ARRIOLA MARQUEZ, Oscar Arturo (a.k.a. ARREOLA MARQUEZ, Oscar), c/o DEL NORTES CARNES FINAS SAN IGNACIO S.A. DE C.V., Mexico; c/o CORRALES SAN IGNACIO S.P.R. DE R.L. DE C.V., Mexico; DOB 06 Nov 1968; POB Chihuahua, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. AIMM681106HCHRRG06 (Mexico) issued 1968; R.F.C. AIMM-681106-9F7 (Mexico) (individual) [SDNTK]

ARROYAVE RUIZ, Elkin Alberto (a.k.a. LÓPEZ, Cesar), Carrera 9 No. 71D–10, Cali, Colombia; DOB 3 Sep 1968; POB Caucasia, Antioquia, Colombia; Cedula No. 4652820 (Colombia) (individual) [SDNTK]

ARSENIOVIC, Djojo; DOB 6 Jan 1982; POB Donje Crnjelovo, Bosnia-Herzegovina (individual) [BALKANS]

ARTURO QUIÑONES LTDA. (a.k.a. RESTAURANTE SANTA COLOMBIA), Calle 10 No. 46–120, Cali, Colombia; NIT #800213156–7 (Colombia) (individual) [SDNT]

ASES DE COMPETENCIA Y CIA. S.A., Carrera 66A No. 3–50 Int. 69, Medellín, Colombia; Carrera 30 No. 74–45, Bogota, Colombia; Carrera 6A No. 22–46 Int. 110, Medellin, Colombia; NIT #800231356-7 (Colombia) [SDNT]

ASESORES CONSULTORES ASOCIADOS LTDA. (a.k.a. ACA LTDA.), Carrera 100 No. 62–98, Bogota, Colombia; NIT #800213156–7 (Colombia) [SDNT]

ASBAT AL-ANSAR [FTO] [SDGT]

ASAT TRUST REG., Altenbach 8, Vaduz 9490, Liechtenstein [SDGT]

ASSOCIATED COMPANIES LTD. (a.k.a. ACA LTDA.), Carrera 100 No. 62–98, Bogota, Colombia; NIT #800213156-7 (Colombia) [SDNT]

ASBAT AL-ANSAR [FTO] [SDGT]
ASESORIA Y SOLUCIONES GRUPO CONSULTOR S.A., Calle 15 Norte No. 6N–34 ofc. 404, Cali, Colombia; NIT #805019000–1 (Colombia) [SDNT]

ASESORIAS DE INGENIERIA EMPRESA UNIPERSONAL (a.k.a. ASING E.U.), Calle 29 Norte No. 6N–43, Cali, Colombia; NIT #805005185–7 (Colombia) [SDNT]

ASESORIAS ECONOMICAS MUNOZ SANTACOLOMA E.U. (a.k.a. ASEM E.U.), Calle 18 No. 106–98 of. 207, Cali, Colombia; NIT #805013281–3 (Colombia) [SDNT]

ASESORIAS PROFESIONALES ESPECIALIZADAS EN NEGOCIOS E.U. (a.k.a. ASPEN E.U.), Calle 9 No. 46–69, Cali, Colombia; NIT #805020437–0 (Colombia) [SDNT]

ASESORIAS PROFESIONALES LTDA., Calle 21 No. 15–26, Ofc. 304, Armenia, Quindio, Colombia; NIT #801000611–6 (Colombia) [SDNT]

ASH TRADING, INC., 14420 NW 16TH St., Pembroke Pines, FL 33028; Business Registration Document #P01000078571 (United States); US FEIN 65–1128351 [SDNT]

ASHRAF, Haji Muhammad (a.k.a. ASHRAF, Haji M.); DOB 1 Mar 1965; Passport A–374184 (Pakistan) (individual) [SDGT]

ASIA LIGHT CO. LTD., 15/19 Kunjan Rd., S Aung San Std, Rangoon, Burma; Mingalar Taung Nyunt Tower, 6 Upper Pansoden Street, Aung San Stadium Eastern Wing, Rangoon, Burma [BURMA]

ASIA MARINE NETWORK PTE. LTD. (a.k.a. ASIAN PERFECT MARINE PTE. LTD.; a.k.a. IRISL ASIA PTE. LTD.), 200 Middle Road, #14–01 Prime Centre 188980, Singapore [NPWMD]

ASIA WORLD CO. LTD. (a.k.a. ASIA WORLD), 61–62 Bahosi Development Housing, Wadan St., Lannmadaw Township, Rangoon, Burma [BURMA]

ASIA WORLD INDUSTRIES LTD., No. 21/22 Upper Pansodan St., Aung San Stadium (East Wing), Mingalar Taung Nyunt, Rangoon, Burma [BURMA]

ASIA WORLD PORT MANAGEMENT CO. LTD (a.k.a. ASIA WORLD PORT MANAGEMENT; a.k.a. “PORT MANAGEMENT CO. LTD.”), 61–62 Wartan St. Bahosi Yeiktha, Rangoon, Burma [BURMA]

ASISTENCIA PROFESIONAL ESPECIALIZADA EN COLOMBIA LIMITADA (a.k.a. ASPECIAL COL) LIMITEDA), Avenida 11 Norte No. 7N–201 ofc. 502, Edificio Aleph, Cali, Colombia; NIT #805026175–7 (Colombia) [SDNT]

ASKATASUNA (f.k.a. GESTORAS PRO-AMNISTIA), Spain [SDGT]

ASOCIACION CIVIL LOS PROMOTORES AERONAUTICOS, Jr. Los Robles 152, Oficina 7, San Martin de Porres, Urb Valdiviezo, Lima, Peru; RUC #2030366773 (Peru) [SDNTK]

ASOCIACION DE SECOURS PALESTINIENS (a.k.a. ASP; a.k.a. ASSOCIATION FOR PALESTINIAN AID; a.k.a. LAJNA AL-IGHATHA AL-FILISTINI; a.k.a. PALESTINE RELIEF COMMITTEE, a.k.a. PALESTINIAN AID COUNCIL; a.k.a. PALESTINIAN AID ORGANIZATION; a.k.a. PALESTINIAN RELIEF SOCIETY; a.k.a. RELIEF ASSOCIATION FOR PALESTINE), Gartnerstrasse 55, Basel CH–4109, Switzerland; Postfach 406, Basel CH–4109, Switzerland; c/o Faical Yaakoubi, 7 rue de l’Ancien Port, Geneva CH–1201, Switzerland [SDGT]

ASOCIACION DE SECOURS PALESTINIENS (a.k.a. ASP; a.k.a. ASSOCIATION FOR PALESTINIAN AID; a.k.a. LAJNA AL-IGHATHA AL-FILISTINI; a.k.a. PALESTINE RELIEF COMMITTEE, a.k.a. PALESTINIAN AID COUNCIL; a.k.a. PALESTINIAN AID ORGANIZATION; a.k.a. PALESTINIAN RELIEF SOCIETY; a.k.a. RELIEF ASSOCIATION FOR PALESTINE), Gartnerstrasse 55, Basel CH–4109, Switzerland; Postfach 406, Basel CH–4109, Switzerland; c/o Faical Yaakoubi, 7 rue de l’Ancien Port, Geneva CH–1201, Switzerland [SDGT]

ASOCIACION DE SECOURS PALESTINIENS (a.k.a. ASP; a.k.a. ASSOCIATION FOR PALESTINIAN AID; a.k.a. LAJNA AL-IGHATHA AL-FILISTINI; a.k.a. PALESTINE RELIEF COMMITTEE, a.k.a. PALESTINIAN AID COUNCIL; a.k.a. PALESTINIAN AID ORGANIZATION; a.k.a. PALESTINIAN RELIEF SOCIETY; a.k.a. RELIEF ASSOCIATION FOR PALESTINE), Gartnerstrasse 55, Basel CH–4109, Switzerland; Postfach 406, Basel CH–4109, Switzerland; c/o Faical Yaakoubi, 7 rue de l’Ancien Port, Geneva CH–1201, Switzerland [SDGT]

ASOCIACION DE SECOURS PALESTINIENS (a.k.a. ASP; a.k.a. ASSOCIATION FOR PALESTINIAN AID; a.k.a. LAJNA AL-IGHATHA AL-FILISTINI; a.k.a. PALESTINE RELIEF COMMITTEE, a.k.a. PALESTINIAN AID COUNCIL; a.k.a. PALESTINIAN AID ORGANIZATION; a.k.a. PALESTINIAN RELIEF SOCIETY; a.k.a. RELIEF ASSOCIATION FOR PALESTINE), Gartnerstrasse 55, Basel CH–4109, Switzerland; Postfach 406, Basel CH–4109, Switzerland; c/o Faical Yaakoubi, 7 rue de l’Ancien Port, Geneva CH–1201, Switzerland [SDGT]

ATAMALLO SHIPPING CO. LTD. (a.k.a. ANTAMALLO SHIPPING CO. LTD.), c/o EMPRESA DE NAVEGACION MAMBISA, Apartado 54, San Ignacio 104, Switzerland; Postfach 406, Basel CH–4109, Switzerland; c/o Paical Yaakoubi, 7 rue de l’Ancien Port, Geneva CH–1201, Switzerland [SDGT]

ATTHALA (f.k.a. GESTORAS PRO-AMNISTIA), Spain [SDGT]
ATIA, Hachim K., 2 Stratford Place, London WIN 9AE, United Kingdom (individual) [IRAQ2]
ATIA, Hachim M., Hay Al-Adil Mahala-645, Zarka Street, No. 38, Baghdad, Iraq (individual) [IRAQ2]
ATIA, Hachim K., Lane 15, Area 902, Hai Al-Walda, Baghdad, Iraq (individual) [IRAQ2]

ATLAS AIR CONDITIONING COMPANY LIMITED, 55 Roebeck House, Palace Street, London, United Kingdom [IRAQ2]
ATLAS EQUIPMENT COMPANY LIMITED, 55 Roebeck House, Palace Street, London, United Kingdom [IRAQ2]

ATOMIC ENERGY ORGANIZATION OF IRAN (a.k.a. SAZEMAN-E ENERGY ATOMI), P.O. Box 14144–1339, End of North Karegar Avenue, Tehran, Iran [NPWMD]
ATTAR ; Vessel Registration Identification IMO 9074992 (vessels) [NPWMD]
ATWA, Ali (a.k.a. BOUSLIM, Ammar Mansour; a.k.a. SALIM, Hassan Rostom), Lebanon; DOB 1960; POB Lebanon; citizen Lebanon (individual) [SDNT]
ATWAH, Muhsin (a.k.a. ABDEL RAHMAN; a.k.a. ABDUL RAHMAN; a.k.a. ABDEL RAHMAN; a.k.a. AL-MUHAJIR, Abdul Rahman; a.k.a. AL-NAMER, Mohammed K.A.), Afghanistan; DOB 19 Jun 1964; POB Egypt; citizen Egypt (individual) [SDGT]

AUDITORES ESPECIALIZADOS LTDA., Calle 93 No. 14–20 Ofc. 611, Bogota, Colombia; NIT #833091980–1 (Colombia) [SDNT]
AUF, Awad Ibne (a.k.a. AUF, Awad Muhammad Ibne; a.k.a. AUF, Mohammed Ahmed Awad Ibne; a.k.a. AWF, Awad Ahmad Ibne; a.k.a. AWF, Awad Ahmed Ibne; a.k.a. NAUF, Awad Mohamed Ahmed Emni; a.k.a. OAF, Awad Mohamed Ahmed Ibne; a.k.a. OUF, Awad Mohamed Ahmed Ibne; DOB circa 1954; nationality Sudan; head of military intelligence and security (individual) [SDNT]

AUDITORES ESPECIALIZADOS LTDA., Calle 93 No. 14–20 Ofc. 611, Bogota, Colombia; NIT #833091980–1 (Colombia) [SDNT]


AUGE, Yusuf (a.k.a. AUGE, Yousif), c/o Dagon Timber Limited, Burma; DOB 1950; POB Burma; citizen Burma; No. 41 Shwe Taung Gyar Street, Bahan Township, Yangon, Burma [BURMA]

AUGHLIN INTERLEXUS S.L., Calle Marques Del Duero, 76 (PLT 3C), San Pedro De Alcantara, Marbella, Malaga 29670, Spain; C.I.F. B-6162703 (Spain) [SDNT]

AUTO EXPRESS DORADOS S.A. DE C.V., Avenida Cristobal Colon, Saucillo, Chihuahua, Mexico; Panamericana 110 Colonia Altavista, Saucillo, Chihuahua C.P. 39300, Mexico (SDNTK)

AUTOMOBILE CORPORATION, Khartoum, Sudan [SUDAN]

AVIADORES, Algernon, c/o Dagon Timber Limited, Burma; DOB 1950; POB Burma; citizen Burma; No. 41 Shwe Taung Gyar Street, Bahan Township, Yangon, Burma [BURMA]

AVILA GONZALEZ, Humberto, c/o ADMINISTRADORA DE SERVICIOS VARIOS CALIMA S.A., Cali, Colombia; c/o COMPAX LTDA., Cali, Colombia; c/o INVERSIONES Y CONSTRUCCIONES COSMOVALLE LTDA., Cali, Colombia; DOB 22 Dec 1911; Cedula No. 29183223 (Colombia) (individual) [SDNT]

AVILA MIRANDA, Jorge Adalberto, Calle 32N No. 2D–29, Cali, Colombia; DOB 3 Apr 1950; Cedula No. 12534286 (Colombia); Passport 14882052 (Colombia); Passport 14882052 (Colombia) (individual) [SDNT]

AVILA, Dario, Via Cipriano Facchinetti 84, Rome, Italy (individual) [SDT]

AVILES, Ramon, Via Cipriano Facchinetti 84, Rome, Italy (individual) [SDT]

AVITAVIA, Joseph, Avionics & Controls, 23500 E. Colona Rd., San Dimas, California 91773, United States; DOB 15 Jul 1950; nationality United States; Cedula No. 71398627 (Colombia) (individual) [SDNT]

AVIVA, Raoul, c/o Dagon Timber Limited, Burma; DOB 1950; POB Burma; citizen Burma; No. 41 Shwe Taung Gyar Street, Bahan Township, Yangon, Burma [BURMA]

AWDA, Abd Al Aziz; DOB 1946; Chief Ideologist of PALESTINIAN ISLAMIC JIHAD-SHIQAQI (individual) [SDT]

AWDA, Abd Al Aziz; DOB 1946; Chief Ideologist of PALESTINIAN ISLAMIC JIHAD-SHIQAQI (individual) [SDT]

AWDA, Abu Al Khaizir, Calle 93 No. 14–20 Ofc. 611, Bogota, Colombia; NIT #833091980–1 (Colombia) [SDNT]

AWDA, Abu Al Khaizir, Calle 93 No. 14–20 Ofc. 611, Bogota, Colombia; NIT #833091980–1 (Colombia) [SDNT]
AYERAS, Ahmed Dahir; a.k.a. AWEYS, Abdulkareem; a.k.a. AYERAS, Abdul; a.k.a. AWEYS, Abdul; a.k.a. PEREZ, Jay; a.k.a. PEREZ, Isaac Jay Galang; a.k.a. PEREZ, Fay; a.k.a. PEREZ, Fay Jay; a.k.a. PEREZ, JF, 24 Paraos Street, Barangay Poblacion, Mandaluyong City, Manila, Philippines; DOB 15 Sep 1973; POB 24 Paraos Street, Barangay Poblacion, Mandaluyong City, Manila, Philippines; nationality Philippines (individual) [SDGT]

AZAM, Amir (a.k.a. SHEIKH MOHAMMED, Amir Azam), Dubai, United Arab Emirates; c/o A A TRADING FZCO, Dubai, United Arab Emirates; DOB 02 Nov 1971; POB Chiswick, England; citizen United Arab Emirates; Passport 039565039 (United Kingdom) (individual) [SDNTK]

AZIZ, Tariq (a.k.a. AZIZ, Tariq Mikhail); DOB 1 Jul 1936; POB Mosul or Baghdad, Iraq; nationality Iraq; Passport NO34409/129 issued July 1997; Deputy Prime Minister (individual) [IRAQ2]


AZDAR, Zubayr (a.k.a. AZDAR, Zubayin); DOB 1 Jan 1961; POB Yanikses, Turkey; nationality Turkey (individual) [SDNTK]

AWEYS, Hassan Dahir (a.k.a. ALI, Sheikh Hassan Dahir Aweys; a.k.a. AWES, Shykh Hassan Dahir); DOB 1935; citizen Somalia; nationality Somalia (individual) [SOMALIA]

AYARI, Chiheb Ben Mohamed (a.k.a. AL-AYARI, Chiheb Ben Mohamed Ben Mohkhtare; a.k.a. "HOMICHEM AHMED""); Via di Saliceto n.51/9, Bologna, Italy; DOB 19 Dec 1965; POB Tunis, Tunisia; nationality Tunisia; Passport L246084 issued 10 Jun 1996 expires 9 Jun 2001 (individual) [SDGT]

AYEDAR, Zubairi (a.k.a. YAEDAR, Zubayin); DOB 1 Jan 1961; POB Yanikses, Turkey; nationality Turkey (individual) [SDNTK]

AYE, Maung; DOB 25 Dec 1937; citizen Burma; nationality Burma; Vice Senior General; Vice-Chairman of the State Peace and Development Council; Deputy Commander-in-Chief, Myanmar Defense Services (Tatmadaw); Commander-in-Chief, Myanmar Army (individual) [BURMA]

AYERAS, Ricardo Perez (a.k.a. AYERAS, Abdul Kareem; a.k.a. AYERAS, Abdul; a.k.a. AYERAS, Khalil; a.k.a. AYERAS, Ricardo Abdul Kareem; a.k.a. AYERAS, Ricardo Abdul karim; a.k.a. AYERAS, Ricky; a.k.a. AYERAS, Abdul; a.k.a. AYERAS, Khalil; a.k.a. MUJIB, Abdul; a.k.a. PEREZ, Isaac Jay Galang; a.k.a. PEREZ, JF; a.k.a. PEREZ, Fay Jay; a.k.a. PEREZ, Fay; a.k.a. PEREZ, JF; a.k.a. PEREZ, JF)


AZZA AIR TRANSPORT COMPANY LTD. (a.k.a. AZZA AVIATION COMPANY; a.k.a. AZZA TRANSPORT), German Culture Center, McNimeter Street, P. O. Box 11586, Khar-toum, Sudan [DARFUR]

AXAM, Amir (a.k.a. SHEIKH MOHAMMED, Amir Azam), Dubai, United Arab Emirates; c/o A A TRADING FZCO, Dubai, United Arab Emirates; DOB 02 Nov 1971; POB Chiswick, England; citizen United Arab Emirates; Passport 039565039 (United Kingdom) (individual) [SDNTK]

AZIZ, Tariq (a.k.a. AZIZ, Tariq Mikhail); DOB 1 Jul 1936; POB Mosul or Baghdad, Iraq; nationality Iraq; Passport NO34409/129 issued July 1997; Deputy Prime Minister (individual) [IRAQ2]


BA'AASYIR, Abu Bakar (a.k.a. BA'AASYIR, Abu Bakar; a.k.a. 'BASHIR, Abu Bakar; a.k.a. "ABDUS SOMAD"; a.k.a. "ABDUS SOMAD"), 24 Paraiso Street, Barangay Poblacion, Mandaluyong City, Manila, Philippines; nationality Indonesia (individual) [SDGT]

BAABAR KHALSA INTERNATIONAL [SDGT]

BABIL INTERNATIONAL, Aeroport D'Orly, Orly Aerogare 94900, France [IRAQ2]


BANABO SOUR MILK PRODUCTS FACTORY, P. O. Box 16, Balanouna, Sudan [DARFUR]

BA'R C S.A. (a.k.a. BARRERA RIOS CAMACHO ADMINISTRACION Y FINANZAS S.A.), Calle 28N No. 6BN–54, Cali, Colombia; NIT #900021843–7 (Colombia) [SDNTK]

BA'TWA FOR COMMERCE AND REAL ESTATE COMPANY LIMITED (a.k.a. HOCHBURG, AG), formerly c/o Asat Trust reg., Vaduz, Liechtenstein; Vaduz, Liechtenstein (individual) [SDGT]

BA'AASYIR, Abu Bakar (a.k.a. BA'AASYIR, Abu Bakar; a.k.a. 'BASHIR, Abu Bakar; a.k.a. "ABDUS SOMAD"; a.k.a. "ABDUS SOMAD"), 24 Paraiso Street, Barangay Poblacion, Mandaluyong City, Manila, Philippines; nationality Indonesia (individual) [SDGT]

BAZAAOUI, Mondher (a.k.a. AL-BAZAAOUI, Mondher Ben Mohsen Ben Ali; a.k.a. "HAMZA"), Via di Saliceto n.51/9, Bologna, Italy; DOB 18 Mar 1967; POB Kairouan, Tunisia; nationality Tunisia; Passport K62878 issued 5 Nov 1993 expires 9 Jun 2001 (individual) [SDGT]

BABA'AYIR, Abu Bakar (a.k.a. BA'AASYIR, Abu Bakar; a.k.a. 'BASHIR, Abu Bakar; a.k.a. "ABDUS SOMAD"; a.k.a. "ABDUS SOMAD"), 24 Paraiso Street, Barangay Poblacion, Mandaluyong City, Manila, Philippines; nationality Indonesia (individual) [SDGT]

BANABO SOUR MILK PRODUCTS FACTORY, P. O. Box 16, Balanouna, Sudan [DARFUR]

BABBAR KHALSA INTERNATIONAL [SDGT]

BA'BIL INTERNATIONAL, Aeroport D'Orly, Orly Aerogare 94900, France [IRAQ2]


BA'BIL INTERNATIONAL, Aeroport D'Orly, Orly Aerogare 94900, France [IRAQ2]
VerDate Mar<15>2010 11:47 Aug 09, 2010 Jkt 220123 PO 00000 Frm 00627 Fmt 8010 Sfmt 8002 Y:\SGML\220123.XXX 220123erowe on DSKG8SOYB1PROD with CFR

Baldenegro Bastidas, Manuel Dario, c/o

Bajagic, Zvonko (a.k.a. "Duga Puska");

Baham, Hikmat Jarjes (a.k.a. Gargees,

Bahmanyar, Bahmanyar Morteza; DOB 31

Bahaziq, Mahmoud Mohammad Ahmed

Bahaziq, Mahmoud; a.k.a. "SHAYKH SAHIB"); DOB 17 Aug 1943;

Balkans

Banana Arti-Flora Design Limited

Banco Agricola, RIF #J294640109 (Venezuela); SWIFT/BIC IDUNVECA; Banco Internacional de Desarrollo, C.A. is a separate and distinct entity from Banco Interamericano de Desarrollo, known in English as the Inter-American Development Bank (IADB), and from Banco Desarrollo Economico y Social De Venezuela (BANDES), an entity owned by the Government of Venezuela [NPWMD]

Bancomer, C.A., Urb. El Rosal, Avenida Francisco de Miranda, Edificio Dozza, Piso 8, Caracas C.P. 1066, Venezuela; RIF #J949640109 (Venezuela); SWIFT/BIC IDUNVECA; Banco Internacional de Desarrollo, C.A. is a separate and distinct entity from Banco Interamericano de Desarrollo, known in English as the Inter-American Development Bank (IADB), and from Banco Desarrollo Economico y Social De Venezuela (BANDES), an entity owned by the Government of Venezuela [NPWMD]

Bancon Nacional de Cuba (a.k.a. BNC, a.k.a. NATIONAL BANK OF CUBA), Dai-

Bando, Haradin; DO 10 Jun 1967; POB Gornja Korettica, Serbia and Montenegro; ICTY indictee (individual) [BALKANS]

Balasore, India; c/o Arthur D. Hanna & Company, 10 Deveaux Street, Nassau, Bahamas, The; c/o Arthur D. Hanna & Company, 10 Deveaux Street, Nassau, Bahamas, The [SDGT]

Bank Anglo-Flora Design Limited Company Ltd., 277–279 Soi Thiam Ruummit, Ratchada Phisek Road, Huai Khwang district, Bangkok, Thailand [SDNTK]

Bank Al Taqwa Limited (a.k.a. AL TAQWA BANK, a.k.a. BANK AL TAQWA), P.O. Box N–6877, Nassau, Bahamas, The; c/o Arthur D. Hanna & Company, 10 Deveaux Street, Nassau, Bahamas, The [SDGT]

Bank Josiaiyi Keshaahi (a.k.a. Ag-
Office of Foreign Assets Control, Treasury

Lebanon; PO Box 1269, Muscat, 112, Oman; PO Box 4182, Murshid Bazarg Branch, Dubai City, United Arab Emirates; 5 Lothbury, London EC2R 7HD, United Kingdom; P.O. Box 16015, Friedenstr 4, D-60311, Frankfurt am Main, Germany; 3rd Floor, Alkittasad Bldg, Ras El Ein Street Baalbak, Baalbak, Lebanon; Saida Branch, Sida Bldg, Sida Street, 2nd Floor, Martyrs Sq, Saida, Lebanon; Borj Albarajneh Branch-20 Alholom Bldg, Sahat Mrejeh, Kafat St, Beirut, Lebanon; PO Box 16, Liwara Street, Ajman, United Arab Emirates; Ground Floor Business Room, Building Banke Khoo Road, Harat, Afghanistan; No. 56, Opposite of Security Department, Torabbox Khan Str., Kabul, Afghanistan; 3rd Floor, Mteco Centre, Mar Elias, Facing Al Hellow Barrak, PO 5128, Beirut, Lebanon; 2nd Floor, No 181 Makktoomgholi Ave, Ashgabat, Turkmenistan; PO Box 4182, Almaktoum Rd, Dubai City, United Arab Emirates; PO Box 15745–631, Bank Saderat Tower, 43 Somayeh Avenue, Tehran, Iran; PO Box 2256, Doha, Qatar; all offices worldwide [SDGT]

BARAKAT, Assad Ahmad (a.k.a. BARAKAT, Jach Assad Ahmad; a.k.a. BARAKAT, Assad Hassan; a.k.a. BARAKAT, Assad Ahmed Mhamad; a.k.a. BARAKAT, Assaad Ahmed; a.k.a. BARAKAT, Assaad; a.k.a. BARAKAT, Ajjaj As'ad Ahmmad), Rua Rio Branco Lote 682, Quadra 13, Foz do Iguacu, Brazil; Apartment 111, Panorama

BARAKAT CONSTRUCTION COMPANY, P.O. Box 3313, Dubai, United Arab Emirates [SDGT]

BARAKAT GROUP OF COMPANIES, P.O. Box 3313, Dubai, United Arab Emirates; Mogadishu, Somalia [SDGT]

BARAKAT INTERNATIONAL COMPANIES (a.k.a. “BICO”), Dubai, United Arab Emirates; Mogadishu, Somalia [SDGT]

BARAKAAT INTERNATIONAL, INC., 1929 South 5th Street, Suite 205, Minneapolis, MN [SDGT]

BARAKAAT NORTH AMERICA, INC., 2019 Bank St., Ottawa, Ontario, Canada; 925 Washington St., Dorchester, MA [SDGT]

BARAKAAT TELECOMMUNICATIONS COMPANY LIMITED (a.k.a. BTELCO), Bakara Market, Dar Salaam Buildings, Mogadishu, Somalia; Netherlands [SDGT]

BARAKAAT TELECOMMUNICATIONS COMPANY SOMALIA, LIMITED, P.O. Box 3313, Dubai, United Arab Emirates [SDGT]

BARAKAT BANK AND REMITTANCES, Mogadishu, Somalia; Dubai, United Arab Emirates [SDGT]

BARAKAT COMPUTER CONSULTING (a.k.a. “BCC”), Mogadishu, Somalia [SDGT]

BARAKAT CONSULTING GROUP (a.k.a. “BCC”), Mogadishu, Somalia [SDGT]

BARAKAT GLOBAL TELEPHONE COMPANY, Mogadishu, Somalia; Dubai, United Arab Emirates [SDGT]

BARAKAT IMPORT EXPORT LTDA, Iquique, Chile; Tax ID No. AABA 670650 Y [SDGT]

BARAKAT POST EXPRESS (a.k.a. “BPE”), Mogadishu, Somalia [SDGT]

BARAKAT REFRESHMENT COMPANY, Mogadishu, Somalia; Dubai, United Arab Emirates [SDGT]

BARAKAT WIRE TRANSFER COMPANY, 4149 S. Brandon St., Seattle, WA [SDGT]

BARAKAT, Assad Ahmad (a.k.a. BARAKAT, Assaad Ahmed; a.k.a. BARAKAT, Assaad; a.k.a. BARAKAT, Ajjaj As'ad Ahmmad), Rua Rio Branco Lote 682, Quadra 13, Foz do Iguacu, Brazil; Rua Silva Jardim 290, Foz do Iguacu, Brazil; Rua Xavier Da Silva 535, Edificio Martin Terro, Apartment 301, Foz do Iguacu, Brazil; Piribebuy Y A. Jara, Ciudad del Este, Paraguay; Rue Taroba 1005, Beitriz Menes Building, Foz do Iguacu, Brazil; Apartment 111, Panorama

BARAKAAT TRADING COMPANY, P.O. Box 3313, Dubai, United Arab Emirates [SDGT]

BARAKAAT BOSTON, 366 Nuponset Ave., Apt 45, Dorchester, MA 02122–3224 [SDGT]

BARAKAAT CONSTRUCTION COMPANY, P.O. Box 3313, Dubai, United Arab Emirates [SDGT]

BARAKAAT GROUP OF COMPANIES, P.O. Box 3313, Dubai, United Arab Emirates; Mogadishu, Somalia [SDGT]

BARAKAAT INTERNATIONAL COMPANIES (a.k.a. “BICO”), Dubai, United Arab Emirates; Mogadishu, Somalia [SDGT]

BARAKAAT INTERNATIONAL, INC., 1929 South 5th Street, Suite 205, Minneapolis, MN [SDGT]

BARAKAAT NORTH AMERICA, INC., 2019 Bank St., Ottawa, Ontario, Canada; 925 Washington St., Dorchester, MA [SDGT]

BARAKAAT RED SEA TELECOMMUNICATIONS, Guureeye, Somalia; Kowthar, Somalia; Bubaaraq, Somalia; Xuuuxule, Somalia; Najax, Somalia; Carafaat, Somalia; Ala Aamin, Somalia; Nakhill, Somalia; Huruuse, Somalia; Ticis, Somalia; Guthre, Somalia; Bossaso, Somalia; Razmo, Somalia; Noobir, Somalia [SDGT]

BARAKAAT TELECOMMUNICATIONS COMPANY LIMITED (a.k.a. BTELCO), Bakara Market, Dar Salaam Buildings, Mogadishu, Somalia; Netherlands [SDGT]

BARAKAAT TELECOMMUNICATIONS COMPANY SOMALIA, LIMITED, P.O. Box 3313, Dubai, United Arab Emirates [SDGT]

BARAKAT BANK AND REMITTANCES, Mogadishu, Somalia; Dubai, United Arab Emirates [SDGT]

BARAKAT COMPUTER CONSULTING (a.k.a. “BCC”), Mogadishu, Somalia [SDGT]

BARAKAT CONSULTING GROUP (a.k.a. “BCC”), Mogadishu, Somalia [SDGT]

BARAKAT GLOBAL TELEPHONE COMPANY, Mogadishu, Somalia; Dubai, United Arab Emirates [SDGT]

BARAKAT IMPORT EXPORT LTDA, Iquique, Chile; Tax ID No. AABA 670650 Y [SDGT]

BARAKAT POST EXPRESS (a.k.a. “BPE”), Mogadishu, Somalia [SDGT]

BARAKAT REFRESHMENT COMPANY, Mogadishu, Somalia; Dubai, United Arab Emirates [SDGT]

BARAKAT WIRE TRANSFER COMPANY, 4149 S. Brandon St., Seattle, WA [SDGT]

BARAKAT, Assad Ahmad (a.k.a. BARAKAT, Assaad Ahmed; a.k.a. BARAKAT, Assaad; a.k.a. BARAKAT, Ajjaj As'ad Ahmmad), Rua Rio Branco Lote 682, Quadra 13, Foz do Iguacu, Brazil; Rua Silva Jardim 290, Foz do Iguacu, Brazil; Rua Xavier Da Silva 535, Edificio Martin Terro, Apartment 301, Foz do Iguacu, Brazil; Piribebuy Y A. Jara, Ciudad del Este, Paraguay; Rue Taroba 1005, Beitriz Menes Building, Foz do Iguacu, Brazil; Apartment 111, Panorama
Building, Iquique, Chile; Arrecife Apart-ment Building, Iquique, Chile; DOB 25 Mar 1967; POB Lebanon (individual) [SDGT] BARRA Kat, Hamz Ahmed (a.k.a. BARRA Kat, Hamz Ahmed; a.k.a. BARRA Kat, Hamz Ahmed; a.k.a. BARRA Kat, Hamz Ahmed); DOB 10 Jan 1963; POB Rutblatine, Lebanon; alt. POB Beirut, Lebanon; citizen Lebanon; [SDGT] BARRA Kat, Hatim Ahmed (a.k.a. BARRA Kat, Hamz Ahmed; a.k.a. BARRA Kat, Hamz Ahmed; a.k.a. BARRA Kat, Hamz Ahmed); DOB 25 Sep 1961; POB Mousaitte, Lebanon; citizen Lebanon; alt. citizen Paraguay; Identification Number 2.194.575 (Paraguay); alt. Identification Number 2.194.575 (Paraguay); Passport 183319 (Paraguay); alt. Passport 148842 (Paraguay); alt. Passport 206318 (Paraguay) (individual) [SDGT] BARRA Kat, Mohammad Fazez; DOB 11 Mar 1969; POB Rutblatine, Lebanon; citizen Lebanon; alt. citizen Paraguay; Identification Number 2.121.948 (Paraguay) (individual) [SDGT] BARRA KO TRADING COMPANY LLC (a.k.a. BARRAKA TRADING COMPANY), P.O. Box 313, Dubai, United Arab Emirates [SDGT] BARCO RUIZ, Eduardo, c/o FOGENSA S.A., Bogota, Colombia; DOB 26 May 1945; Cedula No. 5562182 (Colombia); Passport 5562182 (Colombia) (individual) [SDGT] BARNEY CELAYA, Juan Diego, c/o MULTICAJA DE TIJUANA, S.A. DE C.V., Tijuana, Baja California, Mexico; c/o OPERADORA DE CAJA Y SERVICIOS, S.A. DE C.V., Tijuana, Baja California, Mexico; DOB 16 Mar 1958; POB Sonora, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. BAMN641102HMNRDC02 (Mexico) (individual) [SDGT] BARONA DORADO, Fernando, c/o DISMEROOP, Cali, Colombia; DOB 6 Jun 1963; Cedula No. 1688872 (Colombia) (individual) [SDGT] BAROON SHIPPING COMPANY LIMITED, Haven Court, 5 Library Ramp, Gibraltar, Gibraltar, United Kingdom [IRAQ] BARRAGAN BALDERAS, Gilberto (a.k.a. “GILBERTO BARRAGAN”), Miguel Aleman, Tamaulipas, Mexico; DOB 19 May 1970; POB Miguel Aleman, Tamaulipas, Mexico; citizen Mexico; nationality Mexico (individual) [SDGT] BARRERA BARRERA, Daniel (a.k.a. “EL LOCO BARRERA”), Colombia; DOB 06 Nov 1968; alt. DOB 15 Sep 1967; Cedula No. 1025079 (Colombia) (individual) [SDGT] BARRERA MARIN, Alvaro, Calle 56D No. 28B–73, Barrio Las Mercedes, Palmira, Valle, Colombia; c/o WORLD LINE SYSTEM S.A., Palmira, Valle, Colombia; c/o NEGOCIOS Y CAPITALES S.A., Pereira, Colombia; c/o COMERCIALIZADORA DE BIENES Y SERVICIOS ADMINISTRATIVOS Y FINANCIEROS S.A., Cali, Colombia; c/o CECEP EDITORES S.A., Cali, Colombia; c/o BARRERA RIOS NEGOCIOS INMOBILIARIOS E.U., Cali, Colombia; c/o APYA S.A., Cali, Colombia; c/o CIDCA, Bogota, Colombia; c/o CECEP EDITORES S.A., Cali, Colombia; c/o BARRERA RIOS NEGOCIOS INMOBILIARIOS S.A., Cali, Colombia; c/o ENSAMBLADORA COLOMBIANA AUTOMOTRIZ S.A., Barranquilla, Colombia; DOB 21 Nov 1940; POB Sevilla, Valle, Colombia; Cedula No. 6451837 (Colombia); Passport AG003135 (Colombia) (individual) [SDNT] BARRERA MEDRANO, Nicandro (a.k.a. BARRERA MENDOZA, Nicandro; a.k.a. BARRERA, Nicandro; a.k.a. BARRERA, Robert; a.k.a. CHAPARRO; a.k.a. CHATO; a.k.a. EL NICA; a.k.a. EL NICE; a.k.a. NICANDRO; a.k.a. NICANDRO; a.k.a. BARRERA, Marcelo; a.k.a. BARRERA MENDOZA, Nicanor; a.k.a. BARRERA MENDOZA, Nicandro; a.k.a. BARRERA RIOS NEGOCIOS INMOBILIARIOS E.U., Carrera 22 No. 5A–21, Cali, Colombia; NIT #80500626–9 (Colombia) [SDNT] BARRERA RIOS, Alfonso, c/o A K EDUCAL S.A. EDUCACION CON CALIDAD, Cali, Colombia; c/o A K DIFUSION S.A. PUBLICIDAD Y MERCADO, Cali, Colombia; c/o NEGOCIOS Y CAPITALES S.A., Pereira, Colombia; c/o B R C S.A., Cali, Colombia; c/o CECEP EDITORES S.A., Cali, Colombia; Calle 14 Oeste No. 281–45 apto. 302E, Cali, Colombia; c/o ENSAMBLADORA COLOMBIANA AUTOMOTRIZ S.A., Barranquilla, Colombia; c/o ALFONSO BARRERA RIOS Y CIA S. EN C.S., Cali, Colombia; c/o CECEP EDITORES S.A., Cali, Colombia; c/o WORLD LINE SYSTEM S.A., Palmira, Valle, Colombia; c/o SERPROVIS S.A. SERVICIOS Y PROVISIONES, Cali, Colombia; c/o BARRERA RIOS NEGOCIOS INMOBILIARIOS E.U., Cali, Colombia; DOB 08 Dec 1973; POB Cali, Colombia; Cedula No. 7964943 (Colombia); Passport AJ963037 (Colombia) (individual) [SDNT] BARRERA RIOS, Alvaro Enrique, c/o WORLD LINE SYSTEM S.A., Palmira, Valle, Colombia; c/o BARRERA RIOS NEGOCIOS INMOBILIARIOS E.U., Cali, Colombia; c/o APYA S.A., Cali, Colombia; c/o R C S.A., Cali, Colombia; c/o ALFONSO BARRERA RIOS Y CIA S. EN C.S., Cali, Colombia; c/o CECEP EDITORES S.A., Cali, Colombia; c/o A K DIFUSION S.A. PUBLICIDAD Y MERCADO, Cali, Colombia; c/o A K EDUCAL S.A. EDUCACION CON CALIDAD, Cali, Colombia; c/o ENSAMBLADORA COLOMBIANA AUTOMOTRIZ S.A., Barranquilla, Colombia; c/o COMERCIALIZADORA DE BIENES Y SERVICIOS ADMINISTRATIVOS Y FINANCIEROS S.A., Cali, Colombia; c/o CECEP EDITORES S.A., Cali, Colombia; c/o
ALVARO ENRIQUE BARRERA RIOS Y CIA S. EN C.S., Cali, Colombia; c/o CECEP S.A., Cali, Colombia; c/o SERPROVIS S.A. SERVICIOS Y PROVISIONES, Cali, Colombia; c/o NEGOCIOS Y CAPITALES S.A., Pereira, Colombia; DOB 05 Dec 1968; POB Cali, Colombia; Cedula No. 16758185 (Colombia); Passport AJ140349 (Colombia) (individual) [SDNTK]

BARRERA RIOS, Victoria Eugenia, c/o SERPROVIS S.A. SERVICIOS Y PROVISIONES, Cali, Colombia; c/o RIOS JIMENEZ S. EN C.S., Bogota, Colombia; c/o B R C S.A., Cali, Colombia; Transversal 18 No. 127-43 Torre 4 apto. 1201, Bogota, Colombia; c/o CECEP S.A., Cali, Colombia; c/o ALFONSO BARRERA RIOS Y CIA. S. EN C.S., Cali, Colombia; c/o CECEP EDITORES S.A., Cali, Colombia; c/o KENSAMBLADORA COLOMBIANA AUTOMOTRIZ S.A., Barranquilla, Colombia; c/o A K EDUCAL S.A. EDUCACION CON CALIDAD, Cali, Colombia; c/o APVA S.A., Cali, Colombia; c/o A K DIFUSION S.A. PUBLICIDAD Y MERCADO, Cali, Colombia; c/o NEGOCIOS Y CAPITALES S.A., Pereira, Colombia; c/o WORLD LINE SYSTEM S.A., Palmira, Valle, Colombia; DOB 11 Dec 1970; POB Cali, Colombia; Cedula No. 66818996 (Colombia); Passport AJ199751 (Colombia) (individual) [SDNT]

BARRIGA FAYAD, Luis Santiago, c/o INVERSIONES LAMARC S.A., Cali, Colombia; c/o INVERSIONES EL PROGRESO S.A., Cartagena, Colombia; Cedula No. 73085554 (Colombia) (individual) [SDNT]

BARRIO REZA, Jorge Luis, Calle Septima No. 1491, Villa Juarez, Chihuahua, Chihuahua, Mexico; c/o SERVICIO AERO LELO LOPEZ, S.A. DE C.V., Chihuahua, Chihuahua, Mexico; DOB 31 Oct 1945; POB Chihuahua, Chihuahua, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. BARRJ451031HCHRZR06 (Mexico) (individual) [SDNTK]

BARRIOS SENIOR, Jario Ascanio, c/o PENTACOOP LTDA., Bogota, Colombia; DOB 18 Jun 1962; Cedula No. 8723999 (Colombia) (individual) [SDNT]

BARRIOS, Alba Lucia, c/o SONAR F.M. S.A., Cali, Colombia; Los Alcazares Bloq. 93 Ap. 402, Cali, Colombia; c/o CREDEIRBAJA S.A., Cali, Colombia; c/o SONAR F.M. E.U. DIETER MURRLE, Cali, Colombia; c/o POLIEMPAQUES S.A., Cali, Colombia; Cedula No. 38833130 (Colombia) (individual) [SDNT]

BARRON DEGOLLADO, Javier, c/o ILC EXPORTACIONES, S. DE R.L. DE C.V., Mexico, Distrito Federal, Mexico; DOB 26 Jul 1956; POB Mexico, D.F., Mexico; citizen Mexico; nationality Mexico (individual) [SDNTK]

BARTH, Frederik Heinz, Kientzheimer Strasse 1, Schwendi 88477, Germany; DOB 30 Aug 1965; POB Laupheim, Germany; citizen Germany; Occupation: Chemist (individual) [SDNTK]

BASAYEV, Shamil Salmanovich; DOB 14 Jan 1965; POB Dyshni-Venedo, Chechnya; Passport 623394 (Russia) (individual) [SDGT]

BASIEVIC, Dragan; DOB 2 Mar 1976; POB Belgrade, Serbia (individual) [BALKANS]

BASTIA, Miguel, Panama (individual) [CUBA]

BAY INDUSTRIES, INC., 10100 Santa Monica Boulevard, Santa Monica, CA [IRAQ2]

BAYNAH, Yasin Ali (a.k.a. ALI, Yassin Mohamed; a.k.a. ALI, Yassin Mohamed; a.k.a. BAYNAH, Yassin; a.k.a. BAYNAH, Yassin; a.k.a. BEENAH, Yassin; a.k.a. BEENAH, Yassin; a.k.a. BEYNAH, Yassin; a.k.a. BEYNAH, Yassin; a.k.a. BAYNAH, Yassin; a.k.a. BINAH, Yassin; a.k.a. CALI, Yassin Baynax), Rinkeby, Stockholm, Sweden; Mogadishu, Somalia; DOB circa 1966; nationality Somalia; alt. nationality Sweden (individual) [SOMALIA]

BAY AL-MAL (a.k.a. BAYT AL-MAL LIL MUSLIMEEN), Al-Nabatiyah, Lebanon; Tyre, Lebanon; Ba'albak, Lebanon; Hirmil, Lebanon; Burj al-Barajinah, Lebanon; Sidon, Lebanon; Harat Hurayk, Beirut, Lebanon; c/o BAY INDUSTRIES, INC., 10100 Santa Monica Boulevard, Santa Monica, CA [IRAQ2] [SDGT]

BEARA, Ljubisa, 2 Helmi Kutbi Street, Jeddah, Saudi Arabia; Passport F 572390 issued 22 Dec 2004 expires 28 Oct 2009; E-mail: adelb@shabakah.net. (individual) [SDGT]

BECERRA BERCERRA, Alvaro, c/o AGROPECUARIA LA ROBLED A S.A., Cali, Colombia; Cedula No. 279378 (Colombia) (individual) [SDNT]

BECERRA RODRIGUEZ, Mario Alberto, c/o MULTISERVICIOS DEL NOROESTE DE MEXICO, S.A. DE C.V., Tijuana, Baja California, Mexico; c/o CASA DE EMPENO RIO TIJUANA, S.A. DE C.V., Tijuana, Baja California, Mexico; Calle del Creston 384, Colonia Playas de Tijuana, Tijuana, Baja California CP 22300, Mexico; DOB 17 Sep 1954; POB Tijuana, Baja California, Mexico; R.F.C. BERM-540917-181 (Mexico) (individual) [SDNTK]

BECERRA ZEPEDA, Gabriel, c/o OPERADORA DE CAJA Y SERVICIOS, S.A. DE C.V., Tijuana, Baja California, Mexico; Benito Juarez, Calle 6290, Zona 621
Central, Tijuana, Baja California 22000, Mexico; DOB 16 Oct 1959; POB Michoacan, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. BEZG591016HMNCPB00 (Mexico); alt. R.F.C. BEZG-591016-FLI (Mexico) (individual) [SDNTK]

BECHARA SIMANGA, Salim, c/o SOCOVALLE, Cali, Colombia; DOB 26 Jul 1960; alt. DOB 29 Jul 1960; Cedula No. 19163957 (Colombia) (individual) [SDNT]

BEDOYA DE SANCLEMENTE, Maria Ninive, c/o BELTRAN LEYVA, Hector Alfredo, Mexico (a.k.a. ALCO; a.k.a. BEIJING HAILI LIANHE KEJI YOUTHAN GONGSI), 12A Beisanhuan Zhong Road, P.O. Box 3042, Beijing, China; and all other locations worldwide [NPWMD]

BEIT EL-MAL HOLDINGS (a.k.a. ARAB PALESTINIAN BEIT EL-MAL COMPANY; a.k.a. BEIT AL MAL HOLDINGS; a.k.a. BEIT EL MAL AL-PHALASTINI AL-ARABI AL-MUSHIMA AL-AAMA AL-MAHADUDA LTD.; a.k.a. PALESTINIAN ARAB BEIT EL MAL CORPORATION, LTD.), P.O. Box 962, Ramallah, West Bank [SDT] [SDGT]

BELARUSIAN OIL TRADE HOUSE (a.k.a. B.O.T.H.; a.k.a. BELARUSIAN OIL TRADING HOUSE; a.k.a. BELARUSIAN OIL TRADING HOUSE REPUBLICAN SUBSIDIARY UNITARY ENTERPRISE; a.k.a. BELARUSIAN OIL TRADING HOUSE REPUBLICAN UNITARY SUBSIDIARY; a.k.a. UE BELARUSIAN OIL TRADE HOUSE; a.k.a. UNITED TRADING SITE; a.k.a. WWW.BNTO.BY; a.k.a. WWW.BWTDTPORG.BY), Dzerzhinsky Avenue, 73, Minsk 220116, Belarus; 73 Derzhinsky Ave., Minsk 220116, Belarus; Prospect Dzerzhinskogo, 73, Minsk 220116, Belarus; Business Registration Document #UNP 101195688 (Belarus) [BELURS]

BELLOSOM ENTERPRISE, INC., Avenida Central y Calle 4ta, Edificio Plaza Central, Oficina 32, Panama City, Panama; RUC #299114019851 (Panama) [SDNTK]

BELMEX IMPORT EXPORT CO., LTD., 24 Corner Regent and Kings Streets, Belize City, Belize [CUBA]

BELMOKHTAR, Mokhtar; DOB 1 Jun 1972; POB Ghardaia, Algeria (individual) [SDGT]

BELNEFTEKHIM (a.k.a. BELARUSIAN STATE CONCERN FOR OIL AND CHEMISTRY; a.k.a. BELARUSIAN STATE PETROLEUM AND CHEMICALS CONCERN; a.k.a. BELNEFTEKHIM CONCERN; a.k.a. CONCERN BELNEFTEKHIM), GP 1 Apes Street, Riga LV–1039, Latvia; Oederweg 43, Frankfurt-am-Main D–60318, Germany; Tower B 19–B Oriental Kenzo, 48 Dongzhimenwai Street, Dongcheng District, Beijing 100027, China; and all other locations worldwide [NPWMD]

BELARUSIAN OIL TRADING HOUSE REPUBLICAN UNITARY SUBSIDIARY; a.k.a. UE BELARUSIAN OIL TRADE HOUSE; a.k.a. BELARUSIAN OIL TRADING HOUSE REPUBLICAN SUBSIDIARY UNITARY ENTERPRISE; a.k.a. BELARUSIAN OIL TRADING HOUSE REPUBLICAN UNITARY SUBSIDIARY; a.k.a. UE BELARUSIAN OIL TRADE HOUSE; a.k.a. UNITED TRADING SITE; a.k.a. WWW.BNTO.BY; a.k.a. WWW.BWTDTPORG.BY), Dzerzhinsky Avenue, 73, Minsk 220116, Belarus; 73 Derzhinsky Ave., Minsk 220116, Belarus; Prospect Dzerzhinskogo, 73, Minsk 220116, Belarus; Business Registration Document #UNP 101195688 (Belarus) [BELURS]

BELTI ORGANIZATION, Mexico [SDNTK]

BELTRÁN LEYVA, Alfredo (a.k.a. BELTRAN LEYVA, Hector Alfredo), Mexico; DOB 21 Jan 1971; alt. DOB 15 Feb 1951; POB La Palma, Baitiriquato, Sinaloa, Mexico; citizen Mexico; nationality Mexico;
BERMUDEZ LUQUE, Santiago, c/o ASES DE
BERMUDEZ DURAN, Felipe, Puerto de Palo
BERASATEGUI ESCUDERO, Ismael; DOB 15
BEQIRI, Idajet (a.k.a. BEQIRI, Hidajet); DOB
BENOIT VELEZ AGROPECUARIA LA
BENOIT SANTAMARIA, Alvaro Jose, c/o BE-
BENITEZ SANCHEZ, Jose Arturo, c/o MAPRI DE COLOMBIA LTDA., Bogota, Colombia; c/o COSMÉPOP, Bogota, Colombia; c/o AMERICANA DE COSMÉTICOS S.A., Bogota, Colombia; c/o DISTRÍTEXPORT S.A., Bogota, Colombia; Cedula No. 10276819 (Colombia) (individual) [SDNT]
BENENAL BERNAL, Liliana, c/o CHIAREDO EL TAMBO LTDA., Bogota, Colombia; c/o JESBEL Y CIA. S. EN C., Cota, Cundinamarca, Colombia; c/o COLPRETINAS LTDA., Bogota, Colombia; c/o CULTIVAR S.A., Fuentes de Oro, Meta, Colombia; c/o DISCO S.A., Cota, Cundinamarca, Colombia; DO 23 Feb 1973; Cedula No. 52056898 (Colombia) (individual) [SDNT]
BERNAL BERNAL, Luis Fernando, c/o COLPRETINAS LTDA., Bogota, Colombia; c/o JESBEL Y CIA. S. EN C., Cota, Cundinamarca, Colombia; c/o CULTIVAR S.A., Fuentes de Oro, Meta, Colombia; c/o TEXTILES MODA NOVA LTDA., Bogota, Colombia; c/o DISCO S.A., Cota, Cundinamarca, Colombia; DO 21 Jan 1971; Cedula No. 79187117 (Colombia) (individual) [SDNT]
BERNAL BERNAL, Beatriz Eugenia (a.k.a. BERNAL BATERO, Beatriz Eugenia), c/o CULTIVAR S.A., Fuentes de Oro, Meta, Colombia; c/o CHIAREDO EL TAMBO LTDA., Bogota, Colombia; c/o JESBEL Y CIA. S. EN C., Cota, Cundinamarca, Colombia; c/o DISCO S.A., Cota, Cundinamarca, Colombia; Calle 56 No. 38-33 Apto. 301, Bogota,
Colombia; DOB 10 Apr 1945; POB La Ceja, Antioquia, Colombia; Cedula No. 291166 (Colombia) (individual) [SDNTK]

BERNAL, Beatriz, c/o VILLARO LTDA., Bogota, Colombia; Cedula No. 5949783 (Colombia) (individual) [SDNT]

BETTINA SHIPPING CO. LTD., c/o EMPRESA DE NAVEGACION MAMBISA, Apartado 54, San Ignacio 394, Havana, Cuba [CUBA]

BEWELL CORPORATION, INC., Panama [CUBA]

BEXHETI, Nuri; DOB 1962; POB Tetovo, Macedonia (individual) [BALKANS]

BEWELL CORPORATION, INC., c/o VILLARO LTDA., Bogota, Colombia; Calle 4ta, Edificio Plaza Central, Oficina 14, Hamburg 22111, Germany; Schleemer Ring 2, Hamburg 22111, Germany; DOB 1 May 1972; alt. DOB 16 Sep 1973; POB Hadramawt, Yemen; alt. POB Khartoum Sudan; nationality Yemen; Passport A753550 (Saudi Arabia); alt. Passport R85243 (Yemen); alt. Passport 00085243 (Yemen) (individual) [SDGT]

BIBLOS TRAVEL AGENCY (a.k.a. BIBLOS TRAVEL; a.k.a. BIBLOS TRAVEL CA; a.k.a. BIBLOS TRAVEL, C.A.), Avenida Baralt, Esquina Maderero, Edificio Santa Isabel II, PB, Loc. 1, Caracas, Venezuela [SDGT]

BIBLOS TRAVEL S.A. (a.k.a. BIBLOS TRAVEL CA), Calle 100 No. 8A–49, Tr. B, Oficina 505, Bogota, Colombia; NIT #900038166–9 (Colombia) [SDNT]

BIN HUSIN, Azahari (a.k.a. BIN HUSAN, Azahari; a.k.a. HUSIN, Azahari); DOB 14 Sep 1957; POB Malaysia; nationality Malaysia (individual) [SDGT]

BIN LADEN, Sa'ad (a.k.a. ABDUD, Bin Muhammad Awad; a.k.a. ABUD, Sa'ad Muhammad Awad; a.k.a. ABDUD, Muhammad Awad; a.k.a. ABDUDD, Sa'ad Muhammad; a.k.a. BIN LADEN, Sad; a.k.a. “AL-KAHTANE, Abdul Rahman”); DOB 1962; POB Saudi Arabia; nationality Saudi Arabia; Passport 520951 (Sudan) (individual) [SDGT]

BIN LADEN, Usama bin Muhammad bin Awad (a.k.a. BIN LADEN, Usama; a.k.a. BIN LADIN, Usama; Osama; a.k.a. BIN LADIN, Osama; a.k.a. BIN LADIN, Osama bin Muhammad bin Awad; a.k.a. BIN LADIN, Usama; a.k.a. BIN LADIN, Usama); DOB 30 Jul 1957; alt. DOB 1958; POB Jeddah, Saudi Arabia; alt. POB Yemen (individual) [SDT] [SDGT]

BIN MANSOUR, Amran (a.k.a. BIN MANSOR, Amran; a.k.a. BIN MANSOR, Amran; a.k.a. BIN MANSOR, Amran); DOB 25 May 1965; POB Malaysia (individual) [SDGT]

BIN MARWAN, Bilal; DOB 1947 (individual) [SDGT]

BIN MUHAMMAD, Ayadi Chafiq (a.k.a. ALADI, Ben Muhammad; a.k.a. ALADIY, Ben Muhammad; a.k.a. AYADI CHAFIK, Ben Muhammad; a.k.a. AYADI SHAFIQ, Ben Muhammad), Darvingasse 1/2/38–60, Vienna, Austria; 28 Chaussée de Lille, Mouscron, Belgium; Helene Meyer Ring 10–1405–80009, Munich, Germany; Tunisia; 129 Park Road, NW8, London, United Kingdom; DOB 21 Jan 1963; POB Safafs (Sfax), Tunisia (individual) [SDGT]

BINALSHIBH, Ramzi Mohammed Abdullah (a.k.a. BIN AL SHIBH, Ramzi; a.k.a. BINALSHEIDAH, Ramzi Mohamed Abdullah; a.k.a. OMAR, Ramzi Mohammed Abdullah), Edmil Anderson Strasse 5, Hamburg 22073, Germany; DOB 1958; alt. Passport R85243 (Yemen); alt. Passport 00085243 (Yemen) (individual) [SDGT]

BINGO INTERNATIONAL, INC., Avenida 19 No. 9–49, Bogota, Colombia; NIT #900133490–3 (Colombia) [SDNTK]

BIO CORPORATION (a.k.a. BOSNIAN INVESTMENT ORGANIZATION), Sarajevo, Bosnia and Herzegovina [BALKANS]

BIOEPSORT S.A. DE C.V., Avenida Ave. 19 y Morelos S/N, Colonia Bachoco, Hermosillo, Sonora 83148, Mexico; R.F.C. BIO901025VE2 (Mexico) [SDNTK]

BJELICA, Milovan (a.k.a. “CICKO”), Starine Brestovsko, Bosnia-Herzegovina; ICTY indictee (individual) [BALKANS]

BLACKMORE INVESTMENTS A.V.V., L.G. Smith Blvd. 48, Oranjestad, Aruba; C.R. No. 12128.0 (Aruba) [SDNT]

BLAGOJEVIC, Vidoje, Box 1060, Oranjestad, Aruba; Cedula No. 29111663 (Colombia) [SDNTK]

BLANCO BAHOQUE, Gabino Leon, c/o SU SERVICIO SOCIEDAD LTDA., Barranquilla, Colombia; Cedula No. 72136360 (Colombia) (individual) [SDNT]

BLANCO PUERTA, Edgar Fernando; DOB 19 Aug 1943; POB La Ceja, Antioquia, Colombia; Cedula No. 1322423 (Colombia) (individual) [BALKANS]

BLANCO BAHOUQUE, Gabino Leon, c/o SU SERVICIO SOCIEDAD LTDA., Barranquilla, Colombia; Cedula No. 72136360 (Colombia) (individual) [SDNT]

BLANCO PUERTA, Edgar Fernando; DOB 19 Jun 1965; POB Bratunac, Bosnia-Herzegovina; ICTY indicted (individual) [SDNT]

BLANCO FAUTCHE, Edgar Fernando; DOB 19 Jun 1965; POB Bratunac, Bosnia-Herzegovina; ICTY indicted (individual) [BALKANS]

BLE GOUDE, Charles, 23 BP 383, Abidjan 23, Cote d'Ivoire; DOB 1 Jan 1972; POB Guibereoua, Cote d'Ivoire; Passport PDA0882DH12 (Cote d'Ivoire); Head of “Young Patriots” (Congres Panafrique des Jeunes Patriotes, COJEP) (individual) [COTED]

BLISSEY PANAMA INC., Avenida Central y Calle 4ta, Edificio Plaza Central, Oficina 32, Panama City, Panama; RUC #2989391409828 (Panama) [SDNTK]

BLOTTO INTERNATIONAL COMPANY (a.k.a. BLOTTO INTERNATIONAL LTD.; a.k.a. blooto international ltd.; a.k.a. blooto international company) [SDNTK]
BLUTO INTERNATIONAL; a.k.a. PLUTO-DUBAI TRADING COMPANY, LLC), Dubai, United Arab Emirates; Iraq; 13/13 Soi 7/1 Sukhumvit Road, Wattana, Bangkok, Thailand; 11/13 Sukhumvit Road, Klontoe Neua sub-district, Wattana District [IRAQ]

BLUE NILE BREWERY, P.O. Box 1408, Khartoum, Sudan [SUDAN]

BLUE NILE PACKING CORPORATION, P.O. Box 385, Khartoum, Sudan [SUDAN]

BLUE-STAR SECCION HOSTELERIA S.L., Calle Villaverde, 2, Parla, Madrid 28931, Spain; C.I.F. B8241477 (Spain) [SDNTK]

BMIIC INTERNATIONAL GENERAL TRADING LTD (a.k.a. BMIIC TRADING UAE; a.k.a. BMIIGT; a.k.a. “BMIICGT”), Deira, P.O. Box 181878, Dubai, United Arab Emirates; P.O. Box 11567, Dubai, United Arab Emirates [NPWMD]

BO, Maung; DOB 16 Feb 1945; citizen Burma; nationality Burma; Lieutenant-General; Chief of Bureau of Special Operation 4; Member, State Peace and Development Council (individual) [BURMA]

BOCOTA AGUABLANCA, Gustavo (a.k.a. BOGOTA, Gustavo; a.k.a. “ESTEVEN”); a.k.a. “TRIHUS”); DOB 28 Aug 1966; Cedula No. 9466199 (Colombia); alt. Cedula No. 9466833 (Colombia) (individual) [SDNTK]

BODDEN GALE, Elvert Dowie (a.k.a. “TIO BODDEN”), Roatan, Honduras; DOB 24 Apr 1966; Passport A046090 (Honduras) (individual) [SDNT]

BOHADA AVILA, Lubin, c/o ASSEORES CONSULTORES ASOCIADOS LTDA., Cali, Colombia; c/o OAD S.A., La Union, Valle, Colombia; Carrera 100 No. 11–90 of. 403, Cali, Colombia; c/o INDUSTRIAS DEL ESPRITU SANTO S.A., Malambo, Atlantico, Colombia; c/o CONSTRUCCIONES E INVERSIONES LTDA., La Union, Valle, Colombia; c/o TARRITOS S.A., Cali, Colombia; Calle 142A No. 106A–21 apt. 302, Bogota, Colombia; c/o AGRONILO S.A., Toro, Valle, Colombia; c/o ARMAGEDON S.A., La Union, Valle, Colombia; c/o FRUTAS DE LA COSTA S.A., Malambo, Atlantico, Colombia; c/o WORLD WORKING COMMERCIALIZADORA INTERNACIONAL S.A., Cali, Colombia; c/o FUNDACION CENTRO FRUTICOLA ANDINO, La Union, Valle, Colombia; Cedula No. 19093178 (Colombia) (individual) [SDNT]

BOILEAU, Pierre, 1078 Rue Champigny, Duvernay, Quebec, Canada (individual) [CUBA]

BOLANOS VITAL, Raul, c/o ILC EXPORTACIONES, S. DE R.L. DE C.V., Mexico, Distrito Federal, Mexico; DOB 26 Dec 1962; POB Mexico, D.F., Mexico; citizen Mexico; nationality Mexico (individual) [SDNTK]

BOLSAK E.U. (a.k.a. BOLSAK S.A.), Calle 15 No. 25–400 Urbanizacion Industrial Acopi, Yumbo, Colombia; NIT # Provisional (Colombia) [SDNT]

BONOMERCAD S.A. (f.k.a. DECAACOOP S.A.), Transversal 29 No. 39–92, Bogota, Colombia; NIT #830018919–3 (Colombia) [SDNT]

BONYONGWE, Happyton Mabhuya; DOB 6 Nov 1969; POB Chikomba District, Zimbabwe; nationality Zimbabwe; Minister General, Central Intelligence Organization (individual) [ZIMBABWE]

BOONCHUA, Chanchira (a.k.a. BOONCHUA, Chanjira; a.k.a. CHANCHIRA, Boochuea; a.k.a. LIANG, Ching-fang; a.k.a. “CHE FONG”; a.k.a. “CHEFONG”; a.k.a. “JEH FONG”), 261, Wichayanon Road, Tambon Chang Mui, Amphur Muang, Chiang Mai, Thailand; c/o SANGSIRI KANKASET COMPANY LIMITED, Chiang Mai, Thailand; c/o KHUM THAW COMPANY LIMITED, Chiang Mai, Thailand; DOB 15 May 1951; National Foreign ID Number 350991386890 (Thailand) issued 28 Oct 1982 expires 14 May 2009 (individual) [SDNTK]

BORAVCANIN, Ljubomir; DOB 27 Feb 1969; POB Han Pijesak, Bosnia-Herzegovina; ICTY indictee at large (individual) [BALKANS]

BORBA ZAMBIADA, Zynthia; a.k.a. BORBOA ZAMBIADA, Zynthia; a.k.a. BORBOA ZAMBIADA, Cinthia), Calle Miguel Hidalgo PTE 348, Centro Cullahcan, Sinaloa, Mexico; Lago Maracaibo 321, Lago Azul y Ave Lago Azul, Lomas de Boulevard, Culiacan, Sinaloa, Mexico; Manuel Bonilla 1166, Guadalupe, Cullahcan, Sinaloa, Mexico; c/o MULTISERVICIOS JEVIZ S.A. DE C.V., Cullahcan, Sinaloa, Mexico; DOB 30 Jan 1975; POB Sinaloa, Mexico; citizen Mexico; nationality Mexico; C.I.R.P. ROZC750130MSLJN09 (Mexico); Passport 0940046465 (Mexico); R.F.C. BOZZ–750130–LK4 (Mexico) (individual) [SDNTK]

BOBOVCANIN, Veliko; DOB 23 Sep 1967; POB Sarajevo, Bosnia-Herzegovina; ICTY indictee at large (individual) [BALKANS]

BOBOVNIKA, Goran; DOB 15 Aug 1965; ICTY indictee at large (individual) [BALKANS]

BORRERO QUINTERO, Hector Fabio, c/o INVERSIONES SANTA LTDA., Cali, Colombia; c/o SOCIEDAD CONSTRUCTORA LA CASCADA S.A., Cali, Colombia; Carrera 21 No. 9E–48, Cali, Colombia; c/o INMOBILIARIA SAMARIA LTDA., Cali, Colombia; DOB 10 Feb 1949; Cedula No. 14945412 (Colombia) (individual) [SDNT]

BOSANSKA IDEALNA FUTURA (a.k.a. BECF CHARITABLE EDUCATIONAL CENTER; a.k.a. BENEVOLENCE EDUCATIONAL CENTER; a.k.a. BIF-BOSNIA; a.k.a. BOSNIAN IDEAL FUTURE), Kanal, 1, Zenica 72000, Bosnia and Herzegovina; Sehska, Street, Breza, Bosnia and Herzegovina; Hamze, Celenke 35, Ilidza, Sarajevo, Bosnia and Herzegovina; Hadzije, Mazica Put 18F, Zenica 72000, Bosnia and Herzegovina; Salke Lagumdzie 12, Sarajevo 71000, Bosnia and Herzegovina [SDGT]
BOSKOVSKI, Ljubie; DOB 24 Oct 1960 (individual) [BALKANS]

BOSQUE DE SANTA TERESITA LTDA., Avenida 6N No. 17–92, Of. 411–412, Cali, Colombia; c/o PENTHOUSE 802A, Carrera 77 No. 13A–1–29, Cali, Colombia; c/o INVERSIONES EL PROGRESO S.A., Cartagena, Colombia; Calle 7 No. 6–45, Edificio Marlin, Apto. 4A, Cartagena, Colombia; Carrera 92 No. 16–40, Bogota, Colombia; No. 22 del Conjunto Residencial Ciudadela Paseoancho II Etapa Conjunto 2 Urbanizacion Villas III Carrera 81 No. 13B–179, Cali, Colombia; c/o EUROMAR CARINNE S.A., Cartagena, Colombia; c/o INVERSIONES LAMARC S.A., Cartagena, Colombia; DOB 24 Sep 1951; POB Somson, Antioquia, Colombia; Cedula No. 32518408 (Colombia) (individual) [SDNT]

BOUCHOUCHA, Mohktar (a.k.a. BOUCHOUCHA, Al-Mokhtar Ben Mohamed Ben Al-Mokhtar; a.k.a. BUSHUSHA, Mohktar), Via Milano n.38, Spinadesco, CR, Italy; DOB 13 Oct 1969; POB Tunisia; nationality Tunisia; Italian Fiscal Code BCHMHT69R13Z352T; Passport K754050 issued 26 May 1999 expires 25 May 2004 (individual) [SDGT]

BOUGHANEMI, Faycal (a.k.a. BOUGHANMI, Faycal), viale Cambonino, 5/B, Cremona, Italy; DOB 28 Oct 1966; POB Tunis, Tunisia; nationality Tunisia; Italian Fiscal Code BCHMHT66R28Z352G (individual) [SDGT]

BOUCHOUCHA, Mokhtar (a.k.a. BOUCHOUCHA, Mokhtar), Al-Mokhtar Ben Mohamed Ben Al-Mokhtar; a.k.a. BUSHUSHA, Mohktar), Via Milano n.38, Spinadesco, CR, Italy; DOB 13 Oct 1969; POB Tunisia; nationality Tunisia; Italian Fiscal Code BCHMHT69R13Z352T; Passport K754050 issued 26 May 1999 expires 25 May 2004 (individual) [SDGT]

BOUGANEMI, Faycal (a.k.a. BOUGHANMI, Faycal), viale Cambonino, 5/B, Cremona, Italy; DOB 28 Oct 1966; POB Tunis, Tunisia; nationality Tunisia; Italian Fiscal Code BCHMHT66R28Z352G (individual) [SDGT]

BOURRE FARM, Chegutu, Zimbabwe [ZIMBABWE]

BOUT, Sergei Anatolyevich (a.k.a. NIKOLAYEVICH BUT, Sergey; a.k.a. “BUT”; a.k.a. “BUTT”; a.k.a. “SERGIY”; a.k.a. “SERGIE”; a.k.a. “SERGO”; a.k.a. “SERGUEI”), c/o AIR ZORY, 54 G. M. Dimitrov Blvd, Sofia BG–1125, Bulgaria; Dimitrov, Russia; c/o AIR CESS, Islamabad, Pakistan; c/o AIR CESS, P.O. Box 7837, Sharjah, United Arab Emirates; DOB 27 Aug 1961; POB Tajikistan; citizen Russia; alt. citizen Ukraine; National ID No. CB039314 (Ukraine); alt. National ID No. 76704 (Russia) (individual) [LIBERIA]

BOUT, Viktor Anatolijevitch (a.k.a. BONT, a.k.a. BOUTOV; a.k.a. BUT; a.k.a. BUTTE; a.k.a. SERGITOV, Vitalii); DOB 13 Jan 1967; alt. DOB 13 Jan 1970; POB Dushanbe, Tajikistan; Dealer and transporter of weapons and minerals; Owner, Great Lakes Business Company, Compagnie Aerienne des Grands Lacs, Bukavu Aviation Transport, and Business Air Services (individual) [DRCongo] [LIBERIA]

BOUTIQUE LA MAISON, 42 Via Brasil, Panama City, Panama (CUBA)

BOUYAHIA, Hamadi Ben Abdul Aziz Ben Ali (a.k.a. GAMEL MOHAMED), Corso XXII Marzo 39, Milan, Italy; DOB 22 May 1966; alt. DOB 29 May 1966; POB Tunisia; nationality Tunisia; Passport L728315 issued 5 May 1998 expires 4 May 2003; arrested 30 Sep 2002 (individual) [SDGT]

BRADFORD MARITIME CORPORATION INC., c/o EMPRESAS DE NAVEGACION MAMBISA, Apartado 543, San Ignacio 104, Havana, Cuba [CUBA]

BRALÓ, Miroslav (a.k.a. CICKO); DOB 13 Oct 1967; POB Kratine, Vitez (individual) [BALKANS]

BRAMBILA MARTINEZ, Aurora, Avenida Obregon 180, Colonia Puente Grande, Jalisco, Mexico; c/o SALUD NATURAL MEXICANA, S.A. DE C.V., Zapopan, Jalisco, Mexico; c/o PRODUCTE FARMACEUTICOS COLLINS, S.A. DE C.V., Zapopan, Jalisco, Mexico; c/o INSUMOS ECOLOGICO DEL ORIENTE, S.A. DE C.V., Guadalajara, Jalisco, Mexico; DOB 15 Dec 1965; POB Mexico; citizen Mexico; nationality Mexico; C.U.R.P. BAMA651215MMCRRR04 (Mexico); alt. C.U.R.P. BAMA651215MJCRRR05 (Mexico); R.F.C. BAMA651215DI7 (Mexico); Contadora Publica (individual) [SDNTK]

BRDJANIN, Radoslav; DOB 9 Feb 1948; POB Popovac, Bosnia-Herzegovina; ICTY indicted (individual) [BALKANS]

BRECO (ASIA PACIFIC) LTD, First Floor, Falcon Cliff, Palace Road, Douglas IM2 4LB, Man, Isle of; Business Registration Document #M78647 (United Kingdom) [ZIMBABWE]

BRECO (EASTERN EUROPE) LTD (a.k.a. BRECO (EASTERN EUROPE) LIMITED), Falcon Cliff, Palace Road, Douglas IM9 1ZW, Man, Isle of; Hurst Grove, Stanfords Lane, Hurst, Reading, Berkshire RG10 08Q, United Kingdom; Business Registration Document #FC0021189 (United Kingdom) [ZIMBABWE]

BRECO (SOUTH AFRICA) LTD, 9 Columbus Centre, Pelican Drive, Road Town, Tortola, Virgin Islands, British; Cumbrae House, Market Street, Douglas IM1 2PQ, Man, Isle of; Business Registration Document #A48972 (United Kingdom) [ZIMBABWE]

BRECO (U.K.) LTD (a.k.a. BRECO (U.K.) LIMITED), New Boundary House, London Road, Sunningdale, Ascot, Berkshire SL5 6Dj, United Kingdom; Business Registration Document #2969104 (United Kingdom) [ZIMBABWE]

BRECO GROUP, Middleton House, Titlarks Hill Road, Sunningdale, Ascot, Berkshire SL5 6JB, United Kingdom; Thetford Farm, P.O. Box HP96, Mount Pleasant, Harare, Zimbabwe; Mapstone House, Mapstone Hill, Lustleigh, Newton Abbet, Devon TQ3 9SE, United Kingdom; New Boundary House, London road, Sunningdale, Ascot, Berkshire SL5 6Dj, United Kingdom; 19 Montpelier Square, London SW7 1JU, United Kingdom [ZIMBABWE]
United Kingdom; Hurst Grove, Sandford Lane, Hurst, Reading, Berkshire RG10 0SQ, United Kingdom; Dennerlei 30, Schoten, Belgium [ZIMBABW]
BRECO INTERNATIONAL, 25 Broad Street, St. Helier JE2 3RR, Jersey [ZIMBABW]
BRECO NOMINEES LTD, New Boundary House, London Road, Sunningdale, Ascot, Berkshire SL5 0DJ, United Kingdom; Business Registration Document #279349 (United Kingdom) [ZIMBABW]
BRECO SERVICES LTD (a.k.a. BRECO SERVICES LIMITED), New Boundary House, London Road, Sunningdale, Ascot, Berkshire SL5 0DJ, United Kingdom; Business Registration Document #2324046 (United Kingdom) [ZIMBABW]
BREDFRANK, John (a.k.a. BREDENKAMP, John A.); BREDENKAMP, John Arnold), Thetford Farm, P.O. Box HP96, Mount Pleasant, Harare, Zimbabwe; New Boundary House, London Road, Sunningdale, Ascot, Berkshire SL5 0DJ, United Kingdom; 62 Chester Square, London, United Kingdom; 10 Montpelier Square, London SW7 1JU, United Kingdom; Dennerlei 30, Schoten, Belgium; Hurst Grove, Sanford Lane, Hurst, Reading, Berkshire RG10 0SQ, United Kingdom; Middleton House, Titlarks Hill Road, Sunningdale, Ascot, Berkshire SL5 0JB, United Kingdom; Mapstone House, Mapstone Hill, Lustleigh, Newton Abbot, South Devon TQ13 9SE, United Kingdom; Mapstone House, London Road, Sunningdale, Ascot, Berkshire SL5 0DJ, United Kingdom; Busi-ness Registration Document #286128 (United Kingdom) [ZIMBABW]
BREININGER, Eric (a.k.a. "ABDUL-GAFFAR"; a.k.a. "ABDULGAFFAR EL ALMANT"); DOB 3 Aug 1967; nationality Germany; Identification Number 2338895815 (Germany); Passport 2393289670 expires 30 May 2010 (individual) [SDGT]
BRELYNAN; Vessel Registration Identification IMO 9138056 (vessel) [NPWMD]
BRICENO SUAREZ, German (a.k.a. SUAREZ ROJAS, Noe; a.k.a. "GRANOBLES"); DOB 15 Dec 1953; Cedula No. 347943 (Colombia) (individual) [SDNTK]
BRICENO SUAREZ, Jorge (a.k.a. BRICENO SUAREZ, Jorge Enrique; a.k.a. MONO JOJOY; a.k.a. OSCAR RIANO; a.k.a. SUAREZ ROJAS, Victor Julio; a.k.a. SUAREZ, Luis); DOB Jan 1953; alt. DOB 2 Jan 1951; alt. DOB 5 Feb 1953; alt. DOB 1 Feb 1949; POB Santa Marta, Magdalena, Colombia; alt. POB Cabrera, Cundinamarca, Colombia; Cedula No. 19268230 (Colombia); alt. Cedula No. 70753211 (Colombia); alt. Cedula No. 12536519 (Colombia); alt. Cedula No. 17066956 (Colombia) (individual) [SDNTK]
BRICKER, Charles R.; DOB 29 Aug 1948; Former Minister of Finance of Liberia (individual) [LIBERIA]
BRIGHTNESS (a.k.a. IRAN BRIGHTNESS); Vessel Registration Identification IMO 9051648 (vessel) [NPWMD]
BRILLIANCE (a.k.a. IRAN BRILLIANCE); Vessel Registration Identification IMO 9051636 (vessel) [NPWMD]
BRISENO MAR, Gloria Elisa (a.k.a. BRISENO, Lizzy; a.k.a. OCHOA, Gloria Elisa), c/o LIZZY MUNDO INTERIOR, Guadalajara, Jalisco, Mexico; c/o M C OVER-SEAS TRADING COMPANY S.A. DE C.V., Guadalajara, Jalisco, Mexico; c/o INVERSIONES Y REPRESENTACIONES S.A., Medellin, Colombia; DOB 16 Aug 1965; POB Durango, Mexico; C.U.R.P. BIMG650816MDGRRL06 (Mexico); Passport 9914001520 (Mexico) (individual) [SDNT]
BROTHE (f.k.a. TULIP ISLANDS) (vessel) [CUBA]
BRUNELLO LTD., Nine Island Avenue, Unit 1411, Miami Beach, FL; Grand Cayman, Cayman Islands; C.R. No. 68557 (Cayman Islands) [SDNT]
BUENDIA CUELLAR, Luis Alfonso, c/o GARA- LAPAGOS S.A., Cali, Colombia; Cedula No. 6044411 (Colombia) (individual) [SDNT]
BUENO GARCIA, Santos, c/o NUEVA INDUSTRIA DE GANADEROS DE CULIACAN S.A. DE C.V., Culiacan, Sinaloa, Mexico; Calle Grande 416, Culiacan, Sinaloa 80015, Mexico; Calle Rio Fuerte 581, Culiacan, Sinaloa 80229, Mexico; c/o ESTABLO PUERTO RICO S.A. DE C.V., Culiacan, Sinaloa, Mexico; DOB 27 Mar 1964; POB Sinaloa, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. CUP960327MSLNRN01 (Mexico); Passport 600335868 (Mexico) (individual) [SDNTK]
BUENO GUERRERO, Alfonso, c/o CLINICA SAN FRANCISCO S.A., Tulua, Valle, Co-lombia; Carrera 45 No. 4A-19, Cali, Colombia; c/o APOYOS DIAGNOSTICOS S.A., Tulua, Valle, Colombia; c/o SEAS TRADING COMPANY S.A., Medellin, Colombia; DOB 16 Aug 1965; POB Tulua, Valle, Colombia; citizen Colombia; nationality Colombia; Cedula No. 10765903 (Colombia) (individual) [SDNT]
BUENO RAMIREZ, Pompeyo, c/o CREDISOL, Bogota, Colombia; c/o DROCORD S.A., Bogota, Colombia; c/o FARMACOOP, Bogota, Colombia; c/o COMERCIALIZADORA DIGLO LTDA, Bo-gota, Colombia; c/o ADMACOOP, Bogota, Colombia; Cedula No. 13354747 (Colombia); Passport 13354747 (Colombia) (individual) [SDNT]
BUHLER, Bruno, 57 Rue du Rhone, Geneva CH-1204, Switzerland (individual) [IRAQ2]
BUILDING MATERIALS AND REFRAC-ORIES CORPORATION, P.O. Box 2241, Khartoum, Sudan (SUDAN)
BUISSIR, Ibrahim, Ireland; DOB circa 1962; POB Libya; IARA Representative in Ireland (individual) [SDGT]

BUITRAGO DE HERRERA, Luz Mery, c/o COMERCIALIZADORA E INVERSIONES BETANIA LTDA., Cali, Colombia; c/o AGROPECUARIA Y REFORESTADORA HERREBE LTDA., Cali, Colombia; c/o CONSTRUEXITO S.A., Cali, Colombia; c/o VALLADARES LTDA., Cali, Colombia; c/o AGROPECUARIA BETANIA LTDA., Cali, Colombia; c/o W. HERRERA Y CIA., Cali, Colombia; c/o INVERSIONES BETANIA LTDA., Cali, Colombia; c/o INVERSIONES INVERVALLE S.A., Cali, Colombia; c/o INVERSIONES GEMINIS S.A., Cali, Colombia; c/o INVERSIONES EL GRAN CRISOL LTDA., Cali, Colombia; c/o INVERSIONES INVER VALLE S.A., Cali, Colombia; c/o CONSTRUEXITO S.A., Cali, Colombia; c/o INVERSIONES BETANIA LTDA., Cali, Colombia; c/o ADIELA, c/o INDUSTRIA AVICOLA PALMASECA S.A., Cali, Colombia; c/o CONSTRUEXITO S.A., Cali, Colombia; c/o CONSTRUEXITO S.A., Cali, Colombia; c/o MODERNA EXPRESS TRANSPORTE DE CARGA LTDA., Bogota, Colombia; Avenida 26 Sur No. 72–95 Apto. 401 y 402, Bogota, Colombia; DOB 11 Sep 1963; Cedula No. 79283879 (Colombia) (individual) [SDNTK]

BUSTOS SUAREZ, Danilo, Calle 126 No. 11–63, Bogota, Colombia; Carrera 22 No. 122–31 Apto. 364, Bogota, Colombia; c/o COMERCIALIZADORA E INVERSIONES BUSTOS ARIZA Y CIA. S.C.S., Bogota, Colombia; c/o MODERNIA EXPRESS TRANSPORTE DE CARGA LTDA., Bogota, Colombia; 11 Oct 1983; alt. DOB 1983; POB Tashkent, Uzbekistan; nationality Uzbekistan (individual) [SDNT]

BUSTOS ARIZA Y CIA. S.C.S., Bogota, Colombia; c/o MODERNIA EXPRESS TRANSPORTE DE CARGA LTDA., Bogota, Colombia; 11 Oct 1983; alt. DOB 1983; POB Tashkent, Uzbekistan; nationality Uzbekistan (individual) [IRAQ]

BUSINESS AIR SERVICES, Congo, Democratic Republic of the (LIBERIA)

BURANOV, Suhail Fatilloevich (a.k.a. BURANOV, Mansur; a.k.a. BURANOV, Sukhail Fatilloevich; a.k.a. BURANOV, Sukhail Fatilloevich; a.k.a. BURANOV, Mansur; a.k.a. BURANOV, Suhail Fatilloevich; a.k.a. BURANOV, Sukhail Fatilloevich; a.k.a. BURANOV, Suhail Fatilloevich; a.k.a. BURANOV, Suhail Fatilloevich; a.k.a. BURANOV, Sukhail Fatilloevich); DOB 21 Jan 1968; POB Monterrey, Casanare, Colombia; Cedula No. 7943981 (Colombia) (individual) [SDNTK]

BUKAVU AVIATION TRANSPORT, Congo, Democratic Republic of the [LIBERIA]

BUTKA, Spiro; DOB 29 May 1949 (individual) [BALKANS]

CABRERA DIAZ, Hermilo (a.k.a. CABRERA DIAZ, Ermilo; a.k.a. “BERTULFO’’); DOB 25 Nov 1941; POB Huila, Colombia; citizen Colombia; Cedula No. 629111098 (Colombia) (individual) [IRAQ2]

CABANA GUILLEN, Sixto Antonio (a.k.a. “BIOHO, Domingo’’; a.k.a. “BIOJA, Domingo’’); DOB 15 Jun 1955; POB Orthuexua, Cienaga, Magdalena, Colombia; citizen Colombia; nationality Colombia; Cedula No. 19506314 (Colombia) (individual) [SDNTK]

CABULLA AH, Cilee Maxamed, Mosque in Urumqi, Xinjiang, China; alt. DOB 20 Dec 1974; POB China; nationality China (individual) [IRAQ2]

CABDULLAAH, Ciise Maxamed, Mosque in Huzaifaa, Massiv Kara-su-6, Building 12, Morgoone, Miami, FL 33131; US FEIN 65–0111089 (United States) (SDNT)

CABANA GUILLEN, Sixto Antonio (a.k.a. “BIOJO, Domingo’’; a.k.a. “BIOJA, Domingo’’); DOB 15 Jun 1955; POB Orthuexua, Cienaga, Magdalena, Colombia; citizen Colombia; nationality Colombia; Cedula No. 19506314 (Colombia) (individual) [SDNTK]

CABANA GUILLEN, Sixto Antonio (a.k.a. “BIOJO, Domingo’’; a.k.a. “BIOJA, Domingo’’); DOB 15 Jun 1955; POB Orthuexua, Cienaga, Magdalena, Colombia; citizen Colombia; nationality Colombia; Cedula No. 19506314 (Colombia) (individual) [SDNTK]

CABULLA AH, Cilee Maxamed, Mosque in Via Quaranta, Milan, Italy; DOB 8 Oct 1974; POB Somalia; nationality Somalia; arrested 31 Mar 2003 (individual) [SDGT]

CABANA GUILLEN, Sixto Antonio (a.k.a. “BIOJO, Domingo’’; a.k.a. “BIOJA, Domingo’’); DOB 15 Jun 1955; POB Orthuexua, Cienaga, Magdalena, Colombia; citizen Colombia; nationality Colombia; Cedula No. 19506314 (Colombia) (individual) [SDNTK]

CABANA GUILLEN, Sixto Antonio (a.k.a. “BIOJO, Domingo’’; a.k.a. “BIOJA, Domingo’’); DOB 15 Jun 1955; POB Orthuexua, Cienaga, Magdalena, Colombia; citizen Colombia; nationality Colombia; Cedula No. 19506314 (Colombia) (individual) [IRAQ2]

CABANA GUILLEN, Sixto Antonio (a.k.a. “BIOJO, Domingo’’; a.k.a. “BIOJA, Domingo’’); DOB 15 Jun 1955; POB Orthuexua, Cienaga, Magdalena, Colombia; citizen Colombia; nationality Colombia; Cedula No. 19506314 (Colombia) (individual) [IRAQ2]
CAICEDO COLLAZOS, Francisco Antonio (a.k.a. "CAMILO"; a.k.a. "EL CURA"); a.k.a. "HUESITO"; a.k.a. "OLIVO"; a.k.a. "PACHO"), Brazil; Colombia; DOB 01 Jan 1947; citizen Colombia; Cedula No. 4904771 (Colombia); International FARC Commission Member for Brazil (individual) [SDNTK]

CAICEDAS VIRAMONTES, Portorio Miguel, c/o OVERSEAS TRADING COMPANY S.A., Guatemala City, Guatemala; Calle Justo Sierra 1963, Colonia Ladron de Guevara, Guadalajara, Jalisco, Mexico; c/o MC OVERSEAS TRADING COMPANY S.A. DE C.V., Guadalajara, Mexico; Calle Mar del Norte No. 2073 Int. 1, Colonia Fraccionamiento Country Club, Guadalajara, Jalisco, Mexico; Calle Nelson 421-B, Guadalajara, Jalisco, Mexico; c/o INMOBILIUM INVESTMENT CORP., Panama City, Panama; DOB 12 Jun 1959; POB Guadalajara, Jalisco, Mexico; C.U.R.P. CAUF590612HJDER99 (Mexico); NIT #2905397-9 (Guatemala); Passport 9714009673 (Mexico); RFC CAVP–590612–AD1 (Mexico) (individual) [SDNT]

CAICEDO GALLEGO, Maria Nury (a.k.a. CAICEDO GALLEGO, Maria Nury), c/o HOTEL CAICEDO ROJAS, Jorge Ernesto, c/o HOTEL LA CASCADA S.A., Girardot, Colombia; Calle 82 No 11-37 Of: 504, Bogota, Colombia; c/o PROCURADORES E INVERSIONES LA8 PALMAS S.A., Bogota, Colombia; DOB 20 Oct 1955; POB Bogota, Colombia; Cedula No. 3227967 (Colombia) (individual) [SDNT]

CAICEDO VERGARA, Nohemy (a.k.a. CAICEDO VERGARA, Nohemy), c/o OVERSEAS TRADING COMPANY S.A. DE C.V., Buenaventura, Colombia; Km. 4 El Pinal, Buenaventura, Colombia; Cedula No. 31576188 (Colombia) (individual) [SDNT]

CAJA AMIGO EXPRESS, S.A. DE C.V., Boulevard Agua Caliente, Tijuan, Baja California, Mexico; 606 Bay Boulevard, Suite 205, Chula Vista, CA 91910; Calle 4, Entre Constitucion y Revolucion, Zona Centro, Tijuan, Baja California, Mexico; Diz Ordaz. 9B Del Prado, Entre Bugambilias y Azucenas, Tijuan, Baja California, Mexico; Calle 4, Entre Conot & Revo, Tijuan, Baja California, Mexico; R.P.C. GA-990223– BA3 (Mexico) [SDNTK]

CAJA SOLIDARIA (a.k.a. COOPERATIVA DE AHORRO Y CREDITO DE COLOMBIA, a.k.a. COOPERATIVA MULTACTIVA DE COMERCIALIZACION Y SERVICIOS), Avenida 22 No. 49–77 of. 202, Bogota, Colombia; Calle 12B No. 27–39, Bogota, Colombia; Carrera 13A No. 28–38 of. 216 Parque, Bogota, Colombia; Transversal 29 No. 35A–29, Bogota, Colombia; Avenida 22 No. 44–70 of. 202, Bogota, Colombia; Carrera 13A No 89–38 of. 713, Bogota, Colombia; NIT #830033942–6 (Colombia) [SDNT]

CAICEDO COLLAZOS, Gonzalo, c/o GEOPLASTICOS S.A., Cali, Colombia; c/o CONSTRUCCIONES PROGRESO DEL PUERTO S.A., Puerto Tejada, Colombia; c/o BANANERA AGRICOLA S.A., Santa Marta, Colombia; c/o COMPANIA DE FOMENTO MERCANTIL S.A., Cali, Colombia; DOB 29 Sep 1952; POB Cali, Valle, Colombia; Cedula No. 14989778 (Colombia); Passport 14989778 (Colombia) (individual) [SDNT]

CAICEDO DE TRUJILLO, Nubia (a.k.a. "ESPERANZA"), Colombia; DOB 25 Mar 1966; citizen Colombia; Cedula No. 36159128 (Colombia); International FARC Commission Member for Ecuador (individual) [SDNTK]

CAICEDO VELANDIA, Nilson (a.k.a. "VILLA"), Colombia; DOB 18 Jul 1974; POB Magotes, Santander, Colombia; citizen Colombia; nationality Colombia; Cedula No. 91348897 (Colombia); Passport AK096138 (Colombia) (individual) [SDNTK]

CALDERON COLLAZOS, Gonzalo, c/o GEOPACIFICOS S.A., Bogota, Colombia; c/o CONSTRUCCIONES PROGRESO DEL PUERTO S.A., Puerto Tejada, Colombia; c/o BANANERA AGRICOLA S.A., Santa Marta, Colombia; c/o COMPANIA DE FOMENTO MERCANTIL S.A., Cali, Colombia; DOB 29 Sep 1952; POB Cali, Valle, Colombia; Cedula No. 14989778 (Colombia); Passport 14989778 (Colombia) (individual) [SDNT]

CALDERON DE TRUJILLO, Nubia (a.k.a. "ESPERANZA"), Colombia; DOB 25 Mar 1966; citizen Colombia; Cedula No. 36159128 (Colombia); International FARC Commission Member for Ecuador (individual) [SDNTK]

CALDERON VELANDIA, Nilson (a.k.a. "VILLA"), Colombia; DOB 18 Jul 1974; POB Magotes, Santander, Colombia; citizen Colombia; nationality Colombia; Cedula No. 91348897 (Colombia); Passport AK096138 (Colombia) (individual) [SDNTK]

CALDERON VELANDIA, Nilson (a.k.a. "VILLA"), Colombia; DOB 18 Jul 1974; POB Magotes, Santander, Colombia; citizen Colombia; nationality Colombia; Cedula No. 91348897 (Colombia); Passport AK096138 (Colombia) (individual) [SDNTK]

CALDEY Serna, Luis Enrique (a.k.a. "COMBA"; a.k.a. "COMBATTENTE"), Carrera 14 No. 33B–100, Santa Monica, Casanare, Colombia; Calle 1 No. 56–109, Seminario B, Caro, 31.
Office of Foreign Assets Control, Treasury

Ch. V. App. A

Cal, Colombia; Avenida 8N No. 9N-57, Cali, Colombia; DOB 16 Aug 1976; POB Cali, Colombia; alt. POB Armenia, Quindio, Colombia; citizen Colombia; Cedula No. 9487319 (Colombia) issued 31 Oct 1994; Passport A1811078 (Colombia) issued 09 May 2003; alt. Passport 9487319 (Colombia) issued 09 May 2003 expires 09 May 2013; alt. Passport AH46894 (Colombia) (individual) (SDNT)

CALVO LOMBANA, Gabriel Andres, c/o FISHING ENTERPRISE HOLDING INC., Panama City, Panama; c/o AQUAMARINA ISLAND INTERNATIONAL CORPORATION, Panama City, Panama; c/o ORIMAR LTD., Bogota, Colombia; DOB 20 Aug 1935; POB Bogota, Colombia; Cedula No. 2977430 (Colombia) (individual) (SDNT)

CAMACHO BERNAL, Jose Edilberto, Cali, Colombia; citizen Colombia; nationality Colombia; Cedula No. 1374416 (Colombia); Passport AI222190 (Colombia) (individual) (SDNT)

CAMACHO VALLEJO ASESORES E.U., Cali, Colombia; c/o COMPANIA AGROPECUARIA LINDARAJA S.A., Cali, Colombia; c/o CANADUZ S.A., Calle 23BN No. 5N-37 ofc. 202, Cali, Colombia; NIT #805031109–7 (Colombia) (individual) (SDNT)

CAMACHO VALLEJO CONTADORES, Calle 23BN No. 5N-37, Ofc. 202, Cali, Colombia; NIT #805031109–7 (Colombia) (individual) (SDNT)

CAMACHO VALLEJO, Francisco Jose, c/o AGROPECUARIA LINDARAJA S.A., Cali, Colombia; c/o INVERSIONES BRASILAR S.A., Bogota, Colombia; c/o ILOVIN S.A., Bogota, Colombia; c/o CRESTA S.A., La Union, Valle, Colombia; c/o CANADUZ S.A., Cali, Colombia; c/o CAMACHO VALLEJO ASESORES E.U., Cali, Colombia; c/o AGRONILO S.A., Toro, Valle, Colombia; Calle 23 BN No. 5-37 ofc. 202, Cali, Colombia; Carrera 37 No. 6-36, Cali, Colombia; c/o JOSAFAT S.A., Tulua, Valle, Colombia; Cedula No. 1445981 (Colombia) (individual) (SDNT)

CAMACHO VALLEJO, Javier, c/o INVERSIONES AGROINDUSTRIALES DEL OCCIDENTE LTDA., Bogota, Colombia; Carrera 65 No. 14C-90, Faja 63, Cali, Colombia; c/o COMPANIA AGROPECUARIA DEL SUR LTDA., Bogota, Colombia; c/o CAMACHO VALLEJO ASESORES E.U., Cali, Colombia; citizen Colombia; nationality Colombia; Cedula No. 16614154 (Colombia) (individual) (SDNT)

CAMARA, Ibraima Papa (a.k.a. CAMARA, Ibrahima Papa); nationality Guinea-Bissau; Air Force Chief of Staff of Guinea-Bissau (individual) (SDNT)

CAMARGO, Norbei (a.k.a. CAMARGO, Norbe; a.k.a. TRIAULA, Hermer; a.k.a. “JAMES PATAMALA”; a.k.a. “JAMES PATAPALO”; a.k.a. “MUERTA PARADO”); DOB 5 Aug 1965; POB El Paujil, Caqueta, Colombia; citizen Colombia; nationality Colombia; Cedula No. 17762205 (Colombia) (individual) (SDNT)

CAMBIOS EL TREBOL, Avenida Calle 26 No 66C–03 Local 2H, Bogota, Colombia; Commercial Registry Number 1404667 (Colombia) (individual) (SDNT)

CAMBIOS EURO LTDA, Carrera 7 No. 115-60 Local P-109, Bogota, Colombia; NIT #83012482–6 (Colombia) (SDNT)

CAMBIOS NASDAQ LTDA, Avenida 15 No. 77-05 Local 2-106, Bogota, Colombia; NIT #8301248123 (Colombia) (individual) (SDNT)

CAMBIOS PALMILLA S.A. DE C.V., Carretera Santa Barbara KM 3, Colonia Almacencita, Hidalgo del Parral, Chihuahua 33800, Mexico; Calle Francisco Moreno S/N, Hidalgo del Parral, Chihuahua 33800, Mexico; Avenida Ortiz Mena 34A, Hidalgo del Parral, Chihuahua 33800, Mexico; Calle Maclovio Herrera 97A, Hidalgo del Parral, Chihuahua 33800, Mexico (SDNT)

CAMBIOS Y CAPITAL SALES (a.k.a. C & CAP S.A.; a.k.a. C AND CAP S.A.), Centro Comercial New Point, Avenida Providencia No. 1-35 Local 106, San Andres, Colombia; Calle 12N No. 3N-12, Cali, Colombia; Calle 19 No. 6-48 Local 314-315, Pereira, Colombia; Calle 29 No. 27-56 Local 102, Palmira, Valle, Colombia; Calle 99 No. 1A-41, Bogota, Colombia; Transversal 71 No. 26-94 Sur Local 4506, Bogota, Colombia; Carrera 4 No. 10–62 Local 15, Cartago, Valle, Colombia; Calle 27 No. 26-60 Local 105 D, Tulua, Valle, Colombia; Carrera 43A No. 34–95 Local 268, Medellin, Colombia; Carrera 44 No. 6A–43 piso 2, Cali, Colombia; Carrera 15 No. 93-60 Local 1-36, Bogota, Colombia; NIT #860501015-5 (Colombia) (SDNT)

CAMPO LIBRE A LA DIVERSION E.U. (a.k.a. PARQUE YAKU; a.k.a. YAKU E.U.), Calle 15 No. 27-33, Yumbo, Valle, Colombia; NIT #850296848–1 (Colombia) (individual) (SDNT)

CAMPO RAMIREZ, Guido, c/o VALORCORP S.A., Bogota, Colombia; Cedula No. 1621859 (Colombia) (individual) (SDNT)

CAMPO VERDE LTDA., Carrera 54 No. 75-97 piso 2, Barranquilla, Colombia; NIT #80029479-2 (Colombia) (SDNT)

CANADUZ S.A., Calle 23BN No. 5N-37, Ofc. 202, Cali, Colombia; NIT #805024653–1 (Colombia) (SDNT)

CAÑALES VENECIA LTDA. (a.k.a. CANALVE LTDA.), Carrera 42 No. 40CSur-18, Envigado, Antioquia, Colombia; NIT #8119469599 (Colombia) (SDNT)

CANAS PULIDO, Ramon Alberto, Cra 29 #9 B 64, Cali, Colombia; DOB 02 Aug 1961; citizen Colombia; nationality Colombia; Cedula No. 18939047 (Colombia); Passport AK139726 (Colombia) (individual) (SDNT)

CANALVA LANDAZURI, Enrique Antonio, c/o ASOCIACION CIVIL LOS PROMOTORES DE LA UNION, Valle, Colombia; Carrera 54 No. 75-97 piso 2, Barranquilla, Colombia; NIT #8119469599 (Colombia) (SDNT)
Apatado 543, San Ignacio 104, Havana, Cuba (CUBA)

CARIBBEAN QUEEN (vessel) (CUBA)

CARIBBEAN QUEEN SHIPPING LTD., c/o EMPRESA DE NAVEGACION MAMHISA, Apartado 543, San Ignacio 104, Havana, Cuba (CUBA)

CARIBBEAN SALVOR (vessel) (CUBA)

CARIBBEAN SHOWPLACE LTD (f.k.a. FLAMINGO CLUB), Rosehall Main Road, Rosehall, Jamaica; Tropicana Night Club, Ironshore, Montego Bay, Jamaica (SDNTK)

CARIBERIA, S.A., Spain (CUBA)

CARIBSUGAR INTERNATIONAL TRADES, S.A., Panama [CUBA]

CARIBSUGAR, S.A., Panama (CUBA)

CARILLANCA S.A., De la Iglesia Catolica de Carillanca Colombia y CIA S EN CS

CARILLANCA C.A., Arismendi, Nueva Espera, Venezuela; Registration ID 800180437–8 (Colombia) [SDNT]

CARILLANCA COLOMBIA Y CIA S EN CS (f.k.a. AGROPECUARIA SAN CAYETANO S EN CS), Calle 100 No. 60–04, Oiz. 504, Bogota, Colombia; NIT #800241983–3 (Colombia) [SDNTK]

CARILLANCA COLOMBIA Y CIA S EN CS, Calle 100 No. 60–04, Oiz. 504, Bogota, Colombia; c/o INVERSIONES RODRIGUEZ GANADERA S.A., Medellin, Colombia; DOB 25 May 1933; Cedula No. 3524135 (Colombia) (individual) [SDNTK]

CARILLANCA, Juan Manuel, c/o INVERSIONES RODRIGUEZ MORENO, Cali, Colombia; c/o INVERSIONES ARA LTDA., Cali, Colombia; c/o INVERSIONES RODRIGUEZ ARBELAEZ, Cali, Colombia; DOB 21 Nov 1962; alt. DOB 21 Nov 1962; cedula 523623453–0 (Colombia) (individual) [SDNTK]

CARILLO CUEVAS, Mario Alberto, c/o CASA DE EMPENO RIO TIJUANA, S.A. DE C.V., Tijuana, Baja California, Mexico; Calle Lago Chaira 323, Colonia Vista Dorada, Ensenada, Baja California CP 22800, Mexico; DOB 11 Sep 1966; POB Navojoa, Sonora, Mexico (individual) [SDNTK]

CARILLO FUENTES ORGANIZATION (a.k.a. CFO; a.k.a. JUAREZ CARTEL), Mexico (SDNTK)

CARILLO QUEEN, Vicente (a.k.a. CARILLO FUENTES, Andres); DOB 15 Oct 1962; POB Mexico (individual) [SDNTK]

CARILLO LUNA, Andres Felipe, 801 Brickell Key Blvd., unit 1107, Miami, FL 33131; c/o SOCIEDAD MINERA GRIFOS, S.A., El Bagre, Antioquia, Colombia; c/o INVERSIONES EL MOMENTO S.A., Medellin, Colombia; c/o CASA DEL GANADERO S.A., Medellin, Colombia; c/o GANADERIA LUNA HERMANOS LTDA., Medellin, Colombia; Calle 10C No. 25–41, Medellin, Colombia; Carrera 78A No. 33A–76, Medellin, Colombia; c/o ADMINISTRADORA GANADERA EL 45 LTDA., Medellin, Colombia; DOB 25 May 1986; alt. DOB 24 May 1986; POB Puerto Asis, Putumayo, Colombia; Cedula No. 1037752288 (Colombia); Passport RC10058210 (Colombia); alt. Passport AJ723916 (Colombia) (individual) [SDNTK]

CARILLO LUNA, Paula Andrea, 1313 SW 128 Passage, Miami, FL 33186; c/o SOCIEDAD MINERA GRIFOS S.A., El Bagre, Antioquia, Colombia; c/o GANADERIA LUNA HERMANOS LTDA., Medellin, Colombia; c/o CASA DEL GANADERO S.A., Medellin, Colombia; c/o ADMINISTRADORA GANADERA EL 45 LTDA., Medellin, Colombia; c/o
INVERSIONES EL MOMENTO S.A., Medellin, Colombia; Carrera 78A No. 33A-76, Medellin, Colombia; DOB 25 Dec 1983; POB Puerto Asis, Putumayo, Colombia; Cedula No. 22244809 (Colombia); Passport A775569 (Colombia) (individual) [SDNT]

CARVALHO QUINTES, Eugenio, c/o SHARPER S.A., Bogota, Colombia; c/o PATENTES MARCAS Y REGISTROS S.A., Bogota, Colombia; c/o BONOMERCAD S.A., Bogota, Colombia; c/o DECAFARMA S.A., Bogota, Colombia; c/o SHARVET S.A., Bogota, Colombia; c/o DISTRIBUIDORA AGROPECUARIA COLOMBIANA S.A., Cali, Colombia; c/o CODISA, Bogota, Colombia; DOB 30 Nov 1960; Cedula No. 73094601 (Colombia) (individual) [SDNT]

CARVALHO RODRIGUEZ, Luis Miguel, c/o VUELA PERU S.A.C., Lima, Peru; Orton 130, Ventanilla Naval, Callao, Peru; DOB 01 Dec 1961; L.E Number 2989574 (Peru) (individual) [SDNT]

CARVALHO SILVA, Armando, c/o DROGAS LA REBAJA, Cali, Colombia; c/o GRACADAL S.A., Cali, Colombia; c/o DISTRIBUIDORA DEL VALLE E.U., Cali, Colombia; c/o INVERSIONES CAMINO REAL S.A., Cali, Colombia; c/o DISTRIBUIDORA SANAR DE COLOMBIA S.A., Cali, Colombia; c/o INTERAMERICA DE CONSTRUCCIONES S.A., Cali, Colombia; c/o PROVIDA E.U., Cali, Colombia; c/o PROSPECTIVA EMPRESA UNIPERSONAL, Cali, Colombia; c/o ASESORIAS DE INGENIERIA EMPRESA UNIPERSONAL, Cali, Colombia; c/o TECNICAS CONTABLES Y ADMINISTRATIVAS, Cali, Colombia; DOB 11 Feb 1949; Cedula No. 16242828 (Colombia) (individual) [SDNT]

CARRION JIMENEZ, Jose Alonso, c/o BONOMERCAD S.A., Bogota, Colombia; c/o GLA仟AN S.A., Bogota, Colombia; c/o SHARPER S.A., Bogota, Colombia; c/o DROCARD S.A., Bogota, Colombia; c/o PARMA 3.00 LIMITADA, Barranquilla, Colombia; c/o FOGENSA S.A., Bogota, Colombia; DOB 2 Aug 1958; Cedula No. 79000519 (Colombia); Passport 16242828 (Colombia) (individual) [SDNT]

CARRION ROJIEZ, Luis Miguel, c/o VUELA PERU S.A.C., Lima, Peru; Orton 130, Ventanilla Naval, Callao, Peru; DOB 01 Dec 1961; L.E Number 2989574 (Peru) (individual) [SDNT]

CARRILLO QUINTES, Eugenio, c/o SHARPER S.A., Bogota, Colombia; c/o PATENTES MARCAS Y REGISTROS S.A., Bogota, Colombia; c/o BONOMERCAD S.A., Bogota, Colombia; c/o DECAFARMA S.A., Bogota, Colombia; c/o SHARVET S.A., Bogota, Colombia; c/o DISTRIBUIDORA AGROPECUARIA COLOMBIANA S.A., Cali, Colombia; c/o CODISA, Bogota, Colombia; DOB 30 Nov 1960; Cedula No. 73094601 (Colombia) (individual) [SDNT]

CARRILLO RODRIGUEZ, Luis Miguel, c/o VUELA PERU S.A.C., Lima, Peru; Orton 130, Ventanilla Naval, Callao, Peru; DOB 01 Dec 1961; L.E Number 2989574 (Peru) (individual) [SDNT]

CARRILLO SILVA, Armando, c/o DROGAS LA REBAJA, Cali, Colombia; c/o GRACADAL S.A., Cali, Colombia; c/o DISTRIBUIDORA DEL VALLE E.U., Cali, Colombia; c/o INVERSIONES CAMINO REAL S.A., Cali, Colombia; c/o DISTRIBUIDORA SANAR DE COLOMBIA S.A., Cali, Colombia; c/o INTERAMERICA DE CONSTRUCCIONES S.A., Cali, Colombia; c/o PROVIDA E.U., Cali, Colombia; c/o PROSPECTIVA EMPRESA UNIPERSONAL, Cali, Colombia; c/o ASESORIAS DE INGENIERIA EMPRESA UNIPERSONAL, Cali, Colombia; c/o TECNICAS CONTABLES Y ADMINISTRATIVAS, Cali, Colombia; DOB 11 Feb 1949; Cedula No. 16242828 (Colombia) (individual) [SDNT]

CARRION JIMENEZ, Jose Alonso, c/o BONOMERCAD S.A., Bogota, Colombia; c/o GLA仟AN S.A., Bogota, Colombia; c/o SHARPER S.A., Bogota, Colombia; c/o DROCARD S.A., Bogota, Colombia; c/o PARMA 3.00 LIMITADA, Barranquilla, Colombia; c/o FOGENSA S.A., Bogota, Colombia; DOB 2 Aug 1958; Cedula No. 79000519 (Colombia); Passport 16242828 (Colombia) (individual) [SDNT]

CARRON JIMENEZ, Jose Alonso, c/o BONOMERCAD S.A., Bogota, Colombia; c/o GLA仟AN S.A., Bogota, Colombia; c/o SHARPER S.A., Bogota, Colombia; c/o DROCARD S.A., Bogota, Colombia; c/o PARMA 3.00 LIMITADA, Barranquilla, Colombia; c/o FOGENSA S.A., Bogota, Colombia; DOB 2 Aug 1958; Cedula No. 79000519 (Colombia); Passport 16242828 (Colombia) (individual) [SDNT]

CARRON JIMENEZ, Jose Alonso, c/o BONOMERCAD S.A., Bogota, Colombia; c/o GLA仟AN S.A., Bogota, Colombia; c/o SHARPER S.A., Bogota, Colombia; c/o DROCARD S.A., Bogota, Colombia; c/o PARMA 3.00 LIMITADA, Barranquilla, Colombia; c/o FOGENSA S.A., Bogota, Colombia; DOB 2 Aug 1958; Cedula No. 79000519 (Colombia); Passport 16242828 (Colombia) (individual) [SDNT]

CARRON JIMENEZ, Jose Alonso, c/o BONOMERCAD S.A., Bogota, Colombia; c/o GLA仟AN S.A., Bogota, Colombia; c/o SHARPER S.A., Bogota, Colombia; c/o DROCARD S.A., Bogota, Colombia; c/o PARMA 3.00 LIMITADA, Barranquilla, Colombia; c/o FOGENSA S.A., Bogota, Colombia; DOB 2 Aug 1958; Cedula No. 79000519 (Colombia); Passport 16242828 (Colombia) (individual) [SDNT]

CARRON JIMENEZ, Jose Alonso, c/o BONOMERCAD S.A., Bogota, Colombia; c/o GLA仟AN S.A., Bogota, Colombia; c/o SHARPER S.A., Bogota, Colombia; c/o DROCARD S.A., Bogota, Colombia; c/o PARMA 3.00 LIMITADA, Barranquilla, Colombia; c/o FOGENSA S.A., Bogota, Colombia; DOB 2 Aug 1958; Cedula No. 79000519 (Colombia); Passport 16242828 (Colombia) (individual) [SDNT]

CARRON JIMENEZ, Jose Alonso, c/o BONOMERCAD S.A., Bogota, Colombia; c/o GLA仟AN S.A., Bogota, Colombia; c/o SHARPER S.A., Bogota, Colombia; c/o DROCARD S.A., Bogota, Colombia; c/o PARMA 3.00 LIMITADA, Barranquilla, Colombia; c/o FOGENSA S.A., Bogota, Colombia; DOB 2 Aug 1958; Cedula No. 79000519 (Colombia); Passport 16242828 (Colombia) (individual) [SDNT]
CASTANEDA RAMIREZ, Lorena Constanza, c/o DROCARD S.A., Bogota, Colombia; c/o PENTA PHARMA DE COLOMBIA S.A., Bogota, Colombia; c/o PENTACOOP LTDA., Bogota, Colombia; c/o DECAFARMA S.A., Bogota, Colombia; c/o DROMARCA Y CIA. S.C.S., Bogota, Colombia; c/o MATERIAS PRIMAS Y SUMINISTROS S.A., Bogota, Colombia; DOB 13 May 1971; Cedula No. 52071011 (Colombia); Passport 52071011 (Colombia) (individual) [SDNT]

CASTANEDA, Martha Helena, c/o SOLUCIONES COOPERATIVAS, Bogota, Colombia; Cedula No. 41538699 (Colombia) (individual) [SDNT]

CASTANO CASTANO, Consuelo, Carrera 20 No. 66–34, Bogota, Colombia; c/o TODOBOLSAS Y COLSOBRES, Bogota, Colombia; DOB 25 Feb 1961; POB Pereira, Risaralda, Colombia; Cedula No. 29494345 (Colombia); Passport 29494345 (Colombia) (individual) [SDNT]

CASTANO GIL, Carlos; DOB 15 May 1965; POB Amalfi, Antioquia, Colombia; Cedula No. 70596150 (Colombia) (individual) [SDNTK]

CASTANO GIL, Hector; DOB 24 Mar 1959; POB Amalfi, Antioquia, Colombia; Cedula No. 33731238 (Colombia) (individual) [SDNTK]

CASTANO GIL, Jose Vicente; DOB 2 Jul 1957; Cedula No. 3370637 (Colombia) (individual) [SDNTK]

CASTANO PATINO, Maria Janet, c/o CONSTRUVIDA S.A., Cali, Colombia; DOB 26 Oct 1958; Cedula No. 31446934 (Colombia) (individual) [SDNT]

CASTELL VALDEZ, Osvaldo Antonio, Panama (individual) (CUIBA)

CASTELLANOS GARZON, Henry, a.k.a. “COMANDANTE ROMANA”; a.k.a. “EDISON ROMANA”; a.k.a. “ROMANA”); DOB 20 Mar 1965; POB San Martin, Meta, Colombia; Cedula No. 17539699 (Colombia) (individual) [SDNTK]

CASTELLANOS SANCHEZ, Federico Ernesto, c/o MC OVERSEAS TRADING COMPANY S.A. DE C.V., Guadalajara, Mexico; Calle Tauro No. 4000, Colonia Juan Manuel Vallarta, Zapopan, Jalisco, Mexico; DOB 11 Jan 1947; POB Tototlan, Jalisco, Mexico (individual) [SDNTK]

CASTILLO RODRIGUEZ, Flor Nelay, Bogota, Colombia; citizen Colombia; Cedula No. 30250697 (Colombia) (individual) [SDNTK]

CASTRERO PEN, Victor Nazario, Mexico; DOB 05 May 1972; POB Iguala, Guerrero, Mexico; citizen Mexico; nationality Mexico (individual) [SDNTK]

CASTRILLON CRUZ, Maria Leonor, c/o AGROPECUARIA LA ROBLED A S.A., Cali, Colombia; DOB 25 Oct 1922; Cedula No. 31135834 (Colombia) (individual) [SDNT]

CASTRILLON VASCO, Jhon Jairo, c/o INVERSIONES Y REPRESENTACIONES S.A., Medellin, Colombia; c/o HOTEL LA CASCADA S.A., Girardot, Colombia; c/o FLORIDA SOCCER CLUB S.A., Medellin, Colombia; DOB 30 Mar 1960; POB Medellin, Colombia; Cedula No. 71603837 (Colombia) (individual) [SDNT]

CASTRO ARIAS, Libardo (a.k.a. ARIAS CASTRO, Libardo), c/o COMEDICAMENTOS S.A., Bogota, Colombia; c/o GLAJAN S.A., Bogota, Colombia; c/o BONOMERCAD S.A., Bogota, Colombia; c/o SHARP S.A., Bogota, Colombia; c/o FOGENA S.A., Bogota, Colombia; c/o DECAFARMA S.A., Bogota, Colombia; DOB 13 Oct 1933; Cedula No. 2312291 (Colombia) (individual) [SDNT]

CASTRO CURE Y CIA. S. EN C., Calle 111 No. 34–139, Barranquilla, Colombia; NIT #B02301885–5 (Colombia) [SDNT]

CASTRO DE SANTACRUZ, Amparo, c/o MIRALUNA LTDA., Cali, Colombia; c/o INMOBILIARIA SAMARIA LTDA., Cali, Colombia; c/o INVERSIONES INTEGRAL LTDA., Cali, Colombia; c/o URBANIZACIONES Y CONSTRUCCIONES LTDA., DE CALI, Cali, Colombia; c/o COMERCIALIZACION Y FINANCIACION DE AUTOMOTORES S.A., Cali, Colombia; c/o SAMARIA LTDA., Cali, Colombia; DOB 13 Jan 48; alt. DOB 13 Jan 46; alt. DOB 14 Apr 59; Cedula No. 38883361 (Colombia); Passport AA22676 (Colombia); alt. Passport PE027370 (Colombia) (individual) [SDNT]

CASTRO GARZON, Ricardo (a.k.a. LINEROS GARZON, Rodolfo; a.k.a. “CAYO”), c/o CASTRO CURE Y CIA. S.C.S., Barranquilla, Colombia; c/o CURE SABAGH Y CIA. S.C.S., Barranquilla, Colombia; c/o FUDIA LTDA., Barranquilla, Colombia; c/o CABLES NACIONALES S.A., Barranquilla, Colombia; c/o INVERSIONES AGROPECUARIA ARIZONA LTDA., Barranquilla, Colombia; DOB 13 Dec 1960; POB Barranquilla, Colombia; Cedula No. 8715520 (Colombia) (individual) [SDNT]

CASTRO GARZON, Victor Hugo (a.k.a. “CAZON”), Guadalajara, Jalisco, Mexico; DOB 10 May 1965; POB Barranquilla, Colombia; Cedula No. 7137237 (Colombia) (individual) [SDNT]

CASTRO PAEZ, Gerardo, c/o ORIMAR LTDA., Bogota, Colombia; c/o CABLES NACIONALES CANAL S.A., Barranquilla, Colombia; DOB 16 Mar 1974; POB Barranquilla, Colombia; Cedula No. 7296638 (Colombia) (individual) [SDNT]

CASTRO PAEZ, Jhon Paul, c/o CABLES NACIONALES CANAL S.A., Barranquilla, Colombia; POB Colombia; Cedula No. 72235601 (Colombia) (individual) [SDNT]

CASTRO SANCHEZ, Nelson, c/o ADMACOOP, Bogota, Colombia; c/o

635
FARMACOOP, Bogota, Colombia; c/o CODISA, Bogota, Colombia; DOB 18 May 1953; Cedula No. 19308824 (Colombia); Passport 19308824 (Colombia) (individual) [SDNT]

CASTRO VERGARA, Sandra, c/o INVERSIONES EL PENON S.A., Call, Colombia; DOB 24 Nov 1964; Cedula No. 31924082 (Colombia) (individual) [SDNT]

CAUCALITO LTDA. (f.k.a. GANADERA; f.k.a. GANADERIA LTDA.), Carrera 4 12–41 no. 1403, Edificio Seguros Bolivar, Call, Colombia; Apartado Aereo 10077, Call, Colombia; NIT #800029160–9 ( Colombia) (SDNT)

CAVIEDES CRUZ, Leonardo, c/o CAVIEDES DILEO Y CIA S.C.S., Call, Colombia; Calle 21 Norte No. 3N-84, Call, Colombia; c/o INVERSIONES SANTA LTDA., Call, Colombia; DOB 23 Nov 1962; Cedula No. 16590370 (Colombia); Passport AB151496 (Colombia); alt. Passport OC442490 (Colombia); alt. Passport AC44270 (Colombia) (individual) [SDNT]

CAVIEDES DILEO Y CIA S.C.S., Call, Colombia; Calle 21 Norte No. 3N-84, Call, Colombia; c/o INVERSIONES SANTA LTDA., Call, Colombia; DOB 23 Nov 1962; Cedula No. 16590370 (Colombia); Passport AB151496 (Colombia); alt. Passport OC442490 (Colombia); alt. Passport AC44270 (Colombia) (individual) [SDNT]

CAVIEDES LOPEZ, Gloria Ines, c/o DISTRIBUCIONES GLOMIL LTDA., Call, Colombia; DOB 20 Oct 1959; Cedula No. 42022286 (Colombia); Passport 42022286 (Colombia) (individual) [SDNT]

CAZARES SALAZAR, Blanca Margarita (a.k.a. CAZALES DE MEZA, Blanca Margarita; a.k.a. CAZARES GASTELUM, Blanca Margarita; a.k.a. CAZARES GASTELUM, Blanca; a.k.a. CAZARES MESA, Blanca; a.k.a. CAZARES, Blanca; a.k.a. CAZARES GASTELLUM, Blanca; a.k.a. CAZARES GASTELLUM, Blanca Margarita; a.k.a. CAZAREZ PEREZ, Maria Tiburcia), c/o CAZPER IMPORTACIONES, S.A. DE C.V., Culiacan, Sinaloa, Mexico; Calle Torre de Londres No. 7026, Fraccionamiento Las Torres, Culiacan, Sinaloa, Mexico; DOB 16 May 1965; POB Campo Loaiza, Sinaloa, Mexico; citizen Mexico; nationality Mexico; Electoral Registry No. CAP650114PF5 (Mexico) (individual) [SDNTK]

CAZARES PEREZ, Efrain (a.k.a. CAZARES PEREZ, Ejfrain), c/o CAZPER IMPORTACIONES, S.A. DE C.V., Culiacan, Sinaloa, Mexico; Calle Isla del Oeste No. 103, La Primavera, Culiacan, Sinaloa, Mexico; DOB 27 Sep 1966; POB Zapote de los Moya, Mocorito, Sinaloa, Mexico; citizen Mexico; nationality Mexico; Electoral Registry No. CAP66027TRAF4 (Mexico) (individual) [SDNTK]

CAZARES PEREZ, Irma (a.k.a. CAZARES PEREZ, Irma), c/o CAZPER IMPORTACIONES, S.A. DE C.V., Culiacan, Sinaloa, Mexico; Calle Isla del Oeste No. 103, La Primavera, Culiacan, Sinaloa, Mexico; DOB 14 Oct 1962; POB Campo Tribolet, Perteneciente a la sindicatura de Sataya, Navolato, Sinaloa; citizen Mexico; nationality Mexico; C.U.R.P. CAP6505164F5 (Mexico) (individual) [SDNTK]

CAZARES PEREZ, Maria Tiburcia (a.k.a. CAZPER PEREZ, Maria Tiburcia), c/o CAZPER IMPORTACIONES, S.A. DE C.V., Culiacan, Sinaloa, Mexico; Calle Isla del Oeste No. 103, La Primavera, Culiacan, Sinaloa, Mexico; DOB 14 Oct 1962; POB Campo Tribolet, Perteneciente a la sindicatura de Sataya, Navolato, Sinaloa; citizen Mexico; nationality Mexico; Electoral Registry No. CAP6505164F5 (Mexico) (individual) [SDNTK]

CAZARES PEREZ, Victor Emilio (a.k.a. CAZARES GASTELUM, Victor Emilio; a.k.a. CAZARES GASTELUM, Victor Emilio; a.k.a. CAZARES GASTELUM, Victor Emilio; a.k.a. CAZPER IMPORTACIONES, S.A. DE C.V., Culiacan, Sinaloa, Mexico; DOB 14 Oct 1962; POB Campo Tribolet, Perteneciente a la sindicatura de Sataya, Navolato, Sinaloa; citizen Mexico; nationality Mexico; Electoral Registry No. CAP6505164F5 (Mexico) (individual) [SDNTK]

CAZPER IMPORTACIONES, S.A. DE C.V., Ave. Manuel Vallarta No. 2136, Col. Centro, Culiacan, Sinaloa, Mexico; Ave. Manuel Vallarta No. 2136-1, Col. Centro Sinaloa, Culiacan, Sinaloa, Mexico; Ave. Manuel Vallarta No. 2144, Col. Centro, Culiacan, Sinaloa, Mexico; DOB 18 Sep 1954; alt. DOB 18 Sep 1955; POB Guayabito, Pericos, Mocorito, Sinaloa, Mexico; citizen Mexico; alt. citizen United States; nationality Mexico; C.U.R.P. CASB540918M3LZLL00 (Mexico); Electoral Registry No. CZSLBL54091852M200 (Mexico); R.F.C. CASB540918LVI (Mexico) (individual) [SDNTK]

CAZPER IMPORTACIONES, S.A. DE C.V., Culiacan, Sinaloa, Mexico; Calle Torre de Londres No. 7026, Fraccionamiento Las Torres, Culiacan, Sinaloa, Mexico; DOB 16 May 1965; POB Campo Loaiza, Sinaloa, Mexico; citizen Mexico; nationality Mexico; Electoral Registry No. CAP650114PF5 (Mexico) (individual) [SDNTK]
CECEP EDITORES S.A., Carrera 22 No. 5A–21, Cali, Colombia; Calle 5A No. 22-13, Cali, Colombia; NIT #805018858–1 (Colombia) [SDNT]

CECEP S.A. (f.k.a. CENTRO COLOMBIANO DE ESTUDIOS PROFESIONALES LTDA.), Calle 9B No. 29A–67, Cali, Colombia; Avenida 6 No. 28–102, Cali, Colombia; NIT #980315495–4 (Colombia) [SDNT]

CECOEX, S.A., Panama City, Panama [CUBA]

CEDENO HERRERA, Luis Mario, c/o AGROPECUARIA LINDARAJA S.A., Cali, Colombia; c/o INVERSIONES AGROINDUSTRIALES DEL OCCIDENTE LTDA., Bogota, Colombia; c/o INVERSIONES BRASILAR S.A., Bogota, Colombia; citizen Colombia; nationality Colombia; Cedula No. 16637213 (Colombia) (individual) [SDNT]

CELIS PEREZ, Alexander, c/o DROCARD S.A., Bogota, Colombia; DOB 16 Feb 1973; Cedula No. 79620931 (Colombia) (individual) [SDNT]

CELTIC (f.k.a. VIOLET ISLANDS) (vessel) [CUBA]

CEMENT INVESTMENT AND DEVELOPMENT COMPANY (a.k.a. CIDCO; a.k.a. CIDCO CEMENT HOLDING), No. 241, Mirdamad Street, Tehran, Iran [NPWMD]

CENGIC, Hasan; DOB 3 Aug 1957; POB Odzak, Bosnia-Herzegovina (individual) [BAL-KANS]

CENTRAFRICAN AIRLINES (a.k.a. CENTRAFRICAIN AIRLINES; a.k.a. CENTRAL AFRICAN AIR; a.k.a. CENTRAL AFRICAN AIR LINES; a.k.a. CENTRAL AFRICAN AIRWAYS), P.O. Box 2760, Bangui, Central African Republic; P.O. Box 2190, Ajman, United Arab Emirates; Kigali, Rwanda; Ras-al-Khaimah, United Arab Emirates; c/o Transavia Travel Agency, P.O. Box 3962, Sharjah, United Arab Emirates [LIBERIA]

CENTRAL AFRICA DEVELOPMENT FUND, 811 S. Central Expwy, Ste 210, Richardson, TX 75080; P.O. Box 850431, Richardson, TX 75085; US FEIN 75–2884986 [LIBERIA]

CENTRO CAMBIARIO KINO, S.A. DE C.V. (a.k.a. GAMAL-MULTISERVICIOS), Carretera Aeropuerto 1900, Local G–16, Tijuana, Baja California CP 22510, Mexico; Av. Independencia 1 Plaza Padre Kino, Local 11, Zona Rio, Tijuana, Baja California CP 22320, Mexico; R.F.C. CCK–010928–5C0 (Mexico) [SDNTK]

CENTRO COMERCIAL GUSS S.A., Carrera 105 No. 14–61, Cali, Colombia; NIT #900105460–1 (Colombia) [SDNT]

CENTRO DE BELLEZA SHARY VERGARA, Carrera 54 No. 72–80 Local 25, Barranquilla, Colombia [SDNT]

CENTRO DE DIAGNOSTICO AUTOMOTRIZ EJE BANANERO S.A., Carrera 104 No. 96–97, Apartado, Antioquia, Colombia; NIT #900228328 (Colombia) [SDNTK]

CEKEZ, Mario; DOB 27 Mar 1959; POB Rijeka, Bosnia-Herzegovina; ICTY indictee (individual) [BALKANS]

CESIC, Ranko; DOB 5 Sep 1964; POB Drvar, Bosnia-Herzegovina; ICTY indictee in custody (individual) [BALKANS]

CESIC-ROJS, Ljubo; DOB 20 Feb 1958; POB Posušje, Bosnia-Herzegovina (individual) [BALKANS]

CET AVIATION ENTERPRISE (a.k.a. “FZE”), Equatorial Guinea; P.O. Box 932–C20, Ajman, United Arab Emirates [LIBERIA]

CETNIK RAVNAGORSKI POKRET (a.k.a. CRP) [BALKANS]


CHAIJAMROONPHAN, Warin (a.k.a. CHAIJAMROONPHAN, Warin; a.k.a. CHAIJAMROONPHAN, Warin; a.k.a. CHAIWORASILP, Warin; a.k.a. CHAIWORASIN, Warin; a.k.a. PICHAYOS, Warin; a.k.a. WORAWATWICHAI, Hataiwan; a.k.a. WORAWATVICHAI, Hataiwan; a.k.a. WORAWATVICHAI, Suravee; a.k.a. WORAWATVICHAI, Surawee; a.k.a. WORAWATVICHAI, Varin; a.k.a. WORAWATVICHAI, Hataiwan; a.k.a. WORAWATVICHAI, Hataiwan; a.k.a. WORAWATVICHAI, Surawee; a.k.a. WORAWATVICHAI, Surawee; a.k.a. WORAWATVICHAI, Warin), c/o PLOYDAENG JEWELRY SHOP, Bangkok, Thailand; c/o RATTANA VICHAI COMPANY LTD., Bangkok, Thailand; c/o SIAM NICE COMPANY LTD., Bangkok, Thailand; c/o HATKAEW COMPANY LTD., Bangkok, Thailand; c/o NICE FANTASY GARMET COMPANY LTD., Bangkok, Thailand; c/o MAESAI K.D.P. COMPANY LTD., Chiang Rai, Thailand; c/o NICE FANTASY GARMENT COMPANY LTD., Bangkok, Thailand; c/o PROGRESS SURAWEE COMPANY LTD., Bangkok, Thailand; c/o NICE FANTASY GARMET COMPANY LTD., Bangkok, Thailand; c/o NICE FANTASY GARMENT COMPANY LTD., Bangkok, Thailand; c/o NICE FANTASY GARMENT COMPANY LTD., Bangkok, Thailand (individual) [SDNTK]

CHAIWORASIN, Vilai (a.k.a. CHAIWORASILP, Vilai; a.k.a. CHAIWORASIN, Vilai), c/o HATKAEW COMPANY LTD., Bangkok, Thailand; c/o NICE FANTASY GARMENT COMPANY LTD., Bangkok, Thailand; c/o NICE FANTASY GARMENT COMPANY LTD., Bangkok, Thailand; c/o SIAM NICE COMPANY LTD., Bangkok, Thailand; c/o
CHAIWORASIN, Vimonsri (a.k.a. CHAIWORASIN, Vimonsri), c/o NICE FASHION GARMENT COMPANY LTD., Bangkok, Thailand; c/o RUNGRIN COMPANY LTD., Bangkok, Thailand; c/o SIAM NICE COMPANY LTD., Bangkok, Thailand; c/o HAITAEN COMPANY LTD., Bangkok, Thailand; c/o V.R. FRUIT COMPANY, Chiang Mai, Thailand; c/o MAESAI K.D.P. COMPANY LTD., Chiang Rai, Thailand; c/o A-TEAM CHEMICALS COMPANY LTD., Bangkok, Thailand; c/o PLUS TECH AUTO SUPPLY COMPANY LTD., Bangkok, Thailand; c/o RATTANA VICHAI COMPANY LTD., Bangkok, Thailand; c/o NATIONAL ID No. 337090619762 (Thailand); Passport B723277 (Thailand) (individual) (SDNTK)

CHAMARTIN S.A., Calle 10 No. 4-47, piso 18, Cali, Colombia; NIT #805024137–4 (Colombia) (individual) (SDNTK)

CHEKKOURI, Yassine; DOB 6 Oct 1966; POB Safi, Morocco; nationality Tunisia; Italian Fiscal Code CHTRK70C31Z352U; Passport L 579603 issued 19 Nov 1997 expires 18 Nov 2002 (individual) (SDGT)

CHARILAPA, Yutaka; DOB 4 Apr 1963; Passport AD001255 (Zimbabwe); Permanent Secretary, Zimbabwean Ministry of Information and Publicity (individual) (ZIMBABWE)

CHARAMBA, Rudo Grace; DOB 20 Jun 1964; Spouse of George Charamba (individual) (ZIMBABWE)

CHARILAPA, Hiron; a.k.a. CHARIAPA, Hiron; a.k.a. CHARIAPAPORN, Hiran; a.k.a. CHARRIS MORALES, Geny Maria; a.k.a. CHARRYS MORALES, Geny Maria, c/o COOPIFARMA, Buaramanga, Colombia; c/o REPRESENTACIONES Y DISTRIBUCIONES HUERTAS Y ASOCIADOS S.A., Bogota, Colombia; c/o COOPERATIVA MULTIACTIVA DE COLOMBIA FOMETAMOS, Bogota, Colombia; c/o RATTANA VICHAI COMPANY LTD., Bangkok, Thailand; c/o PLUS TECH AUTO SUPPLY COMPANY LTD., Bangkok, Thailand; DOB 3 Jan 1950; National ID No. 31062394606 (Thailand) (individual) (SDNTK)

CHARILAPA, Hiran; a.k.a. CHARIAPA, Hiran; a.k.a. CHARRIS MORALES, Geny Maria; a.k.a. CHARRYS MORALES, Geny Maria, c/o AGROPECUARIA BETANIA LTDA., Cali, Colombia; c/o VALLADARES LTDA., Cali, Colombia; c/o INVERSIONES VILLA PAZ S.A., Cali, Colombia; c/o PLUS TECH AUTO SUPPLY COMPANY LTD., Bangkok, Thailand; c/o NATIONAL ID No. 31062394606 (Thailand) (individual) (SDNTK)

CHARILAPA, Hiran; a.k.a. CHARIAPA, Hiran; a.k.a. CHARRIS MORALES, Geny Maria; a.k.a. CHARRYS MORALES, Geny Maria, c/o AGROPECUARIA BETANIA LTDA., Cali, Colombia; c/o VALLADARES LTDA., Cali, Colombia; c/o INVERSIONES VILLA PAZ S.A., Cali, Colombia; c/o NATIONAL ID No. 31062394606 (Thailand) (individual) (SDNTK)

CHARILAPA, Hiran; a.k.a. CHARIAPA, Hiran; a.k.a. CHARRIS MORALES, Geny Maria; a.k.a. CHARRYS MORALES, Geny Maria, c/o AGROPECUARIA BETANIA LTDA., Cali, Colombia; c/o VALLADARES LTDA., Cali, Colombia; c/o INVERSIONES VILLA PAZ S.A., Cali, Colombia; c/o NATIONAL ID No. 31062394606 (Thailand) (individual) (SDNTK)

CHARRIS MORALES, Geny Maria (a.k.a. CHARRYS MORALES, Geny Maria), c/o COOPIFARMA, Buaramanga, Colombia; c/o REPRESENTACIONES Y DISTRIBUCIONES HUERTAS Y ASOCIADOS S.A., Bogota, Colombia; c/o COOPERATIVA MULTIACTIVA DE COLOMBIA FOMETAMOS, Bogota, Colombia; c/o RATTANA VICHAI COMPANY LTD., Bangkok, Thailand; c/o PLUS TECH AUTO SUPPLY COMPANY LTD., Bangkok, Thailand; c/o NATIONAL ID No. 31062394606 (Thailand) (individual) (SDNTK)

CHARRYS MORALES, Geny Maria; a.k.a. CHARRIS MORALES, Geny Maria, c/o COOPIFARMA, Buaramanga, Colombia; c/o REPRESENTACIONES Y DISTRIBUCIONES HUERTAS Y ASOCIADOS S.A., Bogota, Colombia; c/o COOPERATIVA MULTIACTIVA DE COLOMBIA FOMETAMOS, Bogota, Colombia; c/o RATTANA VICHAI COMPANY LTD., Bangkok, Thailand; c/o NATIONAL ID No. 31062394606 (Thailand) (individual) (SDNTK)

CHARRYS MORALES, Geny Maria; a.k.a. CHARRIS MORALES, Geny Maria, c/o AGROPECUARIA BETANIA LTDA., Cali, Colombia; c/o VALLADARES LTDA., Cali, Colombia; c/o INVERSIONES VILLA PAZ S.A., Cali, Colombia; c/o NATIONAL ID No. 31062394606 (Thailand) (individual) (SDNTK)

CHARRYS MORALES, Geny Maria; a.k.a. CHARRIS MORALES, Geny Maria, c/o AGROPECUARIA BETANIA LTDA., Cali, Colombia; c/o VALLADARES LTDA., Cali, Colombia; c/o INVERSIONES VILLA PAZ S.A., Cali, Colombia; c/o NATIONAL ID No. 31062394606 (Thailand) (individual) (SDNTK)

CHEKKOURI, Yassine; DOB 6 Oct 1966; POB Safi, Morocco; nationality Tunisia; Italian Fiscal Code CHTRK70C31Z352U; Passport L 579603 issued 19 Nov 1997 expires 18 Nov 2002 (individual) (SDGT)

CHICHAKLI, Richard Ammar (a.k.a. CHICHAKLI, Ammar M.), 225 Syracuse Expwy, Ste 210, Richardson, TX 75080 [LIBERIA]

CHICHAKLI & ASSOCIATES PLLC (a.k.a. CHICHAKLI AND ASSOCIATES PLLC; a.k.a. CHICHAKLI HICKMANNRIGGS & RIGGS; a.k.a. CHICHAKLI HICKMANNRIGGS AND RIGGS PLCC, 811 S. Central Expwy, Ste 210, Richardson, TX 75080 [LIBERIA]

CHICHAKLI, Richard Ammar (a.k.a. CHICHAKLI, Ammar M.), 225 Syracuse Expwy, Ste 210, Richardson, TX 75080; DOB 29 Mar 1959; POB Syria; citizen United States; SSN 405–41–5342; alt. SSN 467–79–1965 (individual) (LIBERIA)

CHIGUDU, Tinaye Elisha Nzirasha; DOB 13 Aug 1942; Passport AD000013 (Zimbabwe); Manticalan Provincial Governor (individual) (ZIMBABWE)
Office of Foreign Assets Control, Treasury

CHIWEDERE, Aeneas Sokolo; DOB 25 Nov 1939; Minister of Education, Sports and Culture (individual) [ZIMBABWE]

CHIHOTA, Phineas; DOB 23 Nov 1966; Deputy Minister of Local Government, Public Works and National Housing (individual) [ZIMBABWE]

CHIHUAHUA FOODS S.A. DE C.V., Cuauhtemoc, Chihuahua, Mexico (SDNTK)

CHIHURI, Augustine; DOB 10 Mar 1958; Passport AD000206 (Zimbabwe); Police Commissioner (individual) [ZIMBABWE]

CHIKAWE, Jocelyn Mauchaza; DOB 19 May 1955; Passport AN061550 (Zimbabwe); Child of Patrick Chinamasa (individual) [ZIMBABWE]

CHITEPO, Victoria; DOB 27 Mar 1928; Politburo (individual) [ZIMBABWE]

CHIWANGA, Constantine Gureya; DOB 25 Aug 1966; Passport AD000263 (Zimbabwe); Lt. General, Commander of Zimbabwe Defence Forces (individual) [ZIMBABWE]

CHIWANGA, Jocelyn Mauchaza; DOB 19 May 1955; Passport AN061550 (Zimbabwe); Spouse of Constantine Chiwenga (individual) [ZIMBABWE]

CHIWEHE, George; DOB 4 Jun 1953; Chairman of Zimbabwe Electoral Commission (individual) [ZIMBABWE]

CHIWEWE, Willard, Private Bag 7713, Causeway, Harare, Zimbabwe; DOB 19 Mar 1949; Maungo Provincial Governor (individual) [ZIMBABWE]

CHOMBO, Ever, No. 38, 39th Crescent, Warrenton Park, Harare, Zimbabwe; DOB 20 Sep 1966; Passport AN845280 (Zimbabwe); Spouse of Ignatius Chombo (individual) [ZIMBABWE]

CHOMBO, Ignatius Morgan; DOB 1 Aug 1962; Passport AD0006500 (Zimbabwe); Minister of Local Government, Public Works and National Housing (individual) [ZIMBABWE]

CHOMBO, Marian, 45 Bassett Crescent, Alexandra Park, Zimbabwe; DOB 11 Aug 1960; Passport AD000896 (Zimbabwe); Spouse of Ignatius Chombo (individual) [ZIMBABWE]

CHOU, Hsien Cheng (a.k.a. CHEW, Kheng Siang), c/o TET KHAM (S) PTE. LTD., Singapore; c/o VEST SPECTRUM (S) PTE. LTD., Singapore, Singapore; 9 Haig Avenue, Singapore 438864, Singapore; National ID No. S1190162J (Singapore) (individual) [SDNTK]

CHOW RIOS, Harding Elvis; DOB 2 Apr 1962; POB San Andres, Colombia; Cedula No. 15238552 (Colombia) (individual) [SDNT]

CIA COMERCIALIZADORA DE BIENES RAICES LTDA. (a.k.a. COBIENES LTDA.; a.k.a. WISMOTOS S.A.), Carrera 4 No. 11–45 Ofc. 863, Cali, Colombia; Carrera 17 G No. 25–72, Cali, Colombia; NIT #80018562-9 (Colombia) [SDNT]

CIA. ANDINA DE EMPAQUES LTDA. (a.k.a. COEMPAQUES LTDA.), Carrera 4 No. 11–45 Ofc. 863, Cali, Colombia; Carrera 17 G No. 25–72, Cali, Colombia; NIT #80018562-9 (Colombia) [SDNT]

CIA. COMERCIALIZADORA DE MOTOCICLETAS Y REPUESTOS S.A. (a.k.a. WISMOTOS S.A.), Carrera 6 No. 7–17, San Martin, Meta, Colombia; Calle 14 No. 15–29, Granada, Meta, Colombia; Calle 35 No. 27–63, Villavicencio, Colombia; NIT #900418550-0 (Colombia) [SDNTK]

CIA. CONSTRUCTORA Y COMERCIALIZADORA DEL SUR LTDA. (a.k.a. COSUR LTDA.; a.k.a. HOTEL PALACE), Avenida El Dorado Entrada 2 Int. 6, Bogota, Colombia; NIT #89023958-7 (Colombia) [SDNT]

CIA. MINERA DAPA S.A., Carrera 16 No. 93–38 Ofc. 104, Bogota, Colombia; NIT #80018373-9 (Colombia) [SDNT]

CICLON (vessel) (CUBA)

CIDCA (a.k.a. CENTRO INVERSIONES EN GANADERIA JESSICA, 9 Haig Ave, Singapore 438864, Singapore; National ID No. S1190162J (Singapore) (individual) [SDNTK]

CIFUENTES GALINDO, Luis Eduardo (a.k.a. "EL AGUILA"); DOB 16 Mar 1960; Cedula No. 3254362 (Colombia) (individual) [SDNT]

CIFUENTES VARGAS, Carmen Viviana, c/o INVERSIONES EN GANADERIA JESSICA, Cali, Colombia; DOB 19 Jun 1964; POB Buga, Valle, Colombia; Cedula No. 38865513 (Colombia); Passport PO67538 (Colombia) (individual) [SDNT]

CIFUENTES VARGAS, Orlando (a.k.a. "EL CHUTE"), c/o RESTAURANTE BAR PUNTA DEL ESTE, Cali, Colombia; c/o SERVIGRICOLA CIFUENTES E.U., Cali,
COMERCIAL DOMELY, S.A. DE C.V. Ignacio Ramirez No. 603, Col. Jorge Almada, Culiacan, Sinaloa, Mexico; R.F.C. CAM–940526–8H9 (Mexico) [SDNT]

COMERCIAL JINAN S.A., 20 Calle No. 17–55, Bogota, Colombia; NIT #800363149–6 (Colombia) [SDNT]

COMERCIAL COMEDICAMENTOS S.A., Transversal 29 No. 39–92, Bogota, Colombia; NIT #830038603–7 (Colombia) [SDNT]

COMERCIAL DOMELY, S.A. DE C.V. Ignacio Ramirez No. 603, Col. Jorge Almada, Culiacan, Sinaloa, Mexico; R.F.C. CAM–940526–8H9 (Mexico) [SDNT]

COMERCIAL JINAN S.A., 20 Calle No. 17–55, Bogota, Colombia; NIT #800363149–6 (Colombia) [SDNT]

COMERCIAL DOMELY, S.A. DE C.V. Ignacio Ramirez No. 603, Col. Jorge Almada, Culiacan, Sinaloa, Mexico; R.F.C. CAM–940526–8H9 (Mexico) [SDNT]

COMERCIAL JINAN S.A., 20 Calle No. 17–55, Bogota, Colombia; NIT #800363149–6 (Colombia) [SDNT]

COMERCIAL DOMELY, S.A. DE C.V. Ignacio Ramirez No. 603, Col. Jorge Almada, Culiacan, Sinaloa, Mexico; R.F.C. CAM–940526–8H9 (Mexico) [SDNT]

COMERCIAL JINAN S.A., 20 Calle No. 17–55, Bogota, Colombia; NIT #800363149–6 (Colombia) [SDNT]

COMERCIAL DOMELY, S.A. DE C.V. Ignacio Ramirez No. 603, Col. Jorge Almada, Culiacan, Sinaloa, Mexico; R.F.C. CAM–940526–8H9 (Mexico) [SDNT]

COMERCIAL JINAN S.A., 20 Calle No. 17–55, Bogota, Colombia; NIT #800363149–6 (Colombia) [SDNT]
COMERCIALIZADORA EXPERTA Y CIA. S. EN C., Avenida Caracas No. 59-90 of. 201A, 401B, 405B y 407B, Bogota, Colombia; NIT #8000735073-7 (Colombia) [SDNT]
COMERCIALIZADORA INTERNACIONAL ASFALTOS Y AGREGADOS LAS CASCAJERA S.A. (a.k.a. A Y Y A LA CASCAJERA S.A.), Calle 100 No. 8A-49, Torre B, Oficina 505, Barrio Bosa, Bogota, Colombia; NIT #900152922-1 (Colombia) [SDNT]
COMERCIALIZADORA INTERTEL S.A., Calle 18 No. 106-98 of. 207, 302, 303, Cali, Colombia; Carrera 42 No. 9D-49, Cali, Colombia; Calle 19 No. 9-50 of. 1561, Cali, Colombia; NIT #880501512-7 (Colombia) [SDNT]
COMERCIALIZADORA ITAKA, S.A. DE C.V., Calle Deza y Ulloa Numero 2302A, Colonia San Felipe, Chihuahua, Chihuahua 31420, Mexico; Avenida Paseo Triunfo de la Republica 6610 2, Colonia Alamos de San Lorenzo, Juarez, Chihuahua, Mexico; Fray No. 1116, Col Gracians, Chihuahua, Chihuahua 31000, Mexico; R.F.C. CIT030305FQ3 (Mexico) [SDNT]
COMERCIALIZADORA JALSIN, S.A. DE C.V. (a.k.a. CHIKA'S; a.k.a. CHIKA'S ACCESSORIOS Y COSMETICOS; a.k.a. COMERCIALIZADORA JALSIN, S.A. DE C.V.), Avenida Juarez 496, Col. Centro, Guadalajara, Jalisco, Mexico; Calle Juan Manuel 308, Col. Colonia Guadalajara Centro, Guadalajara, Jalisco, Mexico; Parra No. 1758, Col. Educación Alamos, Guadalajara, Jalisco, Mexico; Calle Vasco de Quiroga 32, Col. Colonia Moreilla Centro, Morelia, Michoacan, Mexico; Calle Javier Mina 26, Col. Colonia La Perla, Guadalajara, Jalisco, Mexico; Calle Pedro Loza 174, Col. Colonia Guadalajara Centro, Guadalajara, Jalisco, Mexico; Andador Pedro Loza 174, Col. Barrio Jesus, Guadalajara, Jalisco, Mexico; Calle Alvaro Obregón 614, Col. Colonia La Perla, Guadalajara, Jalisco, Mexico; Calle Javier Mina 28, Col. Barrio San Juan De Dios, Guadalajara, Jalisco, Mexico; Avenida Juarez 496, Col. Colonia Guadalajara Centro, Guadalajara, Jalisco, Mexico; Prvada Periferico Sur 1835, Col. Pueblo Santa Maria Tlaquepaque, Tlaquepaque, Jalisco, Mexico; Cll 614 s/n, Col. San Juan De Dios, Guadalajara, Jalisco 44360, Mexico; Calle Reforma, Esquina Comonfort Esquina Loc 11, Col. Colonia Leon de los Aldamas Centro, Leon, Guanajuato 37000, Mexico; Ave. Juarez No. 496, Col. Centro, Guadalajara, Jalisco 44190, Mexico; Calle Reforma 217 A, Col. Colonia Leon de los Aldamas Centro, Leon, Guanajuato 37000, Mexico; Vasco de Quiroga No. 32, Zona Centro, Morelia, Michoacan, Mexico; Cll 171 s/n, Col. Centro, Guadalajara, Jalisco 44290, Mexico; R.F.C. CJA980901J13 (Mexico) [SDNT]
COMERCIALIZADORA MOR GAVIRIA S.A. (a.k.a. ALFOMBRAS DURATEX DE COLOMBIA; a.k.a. DURATEX ECUADOR), Avenida Pedro Vicente Maldonado N229 y Rivas, Edificio Centro Comercial El Recreo, Local 24F, Pichincha, Quito, Ecuador; NIT #1791315820001 (Ecuador) [SDNT]
COMERCIALIZADORA MORDUR S.A., Avenida Pedro Vicente Maldonado 14-205, Edificio Centro Comercial El Recreo, Local 22F, Pichincha, Quito, Ecuador; RUC #1791315820001 (Ecuador) [SDNT]
COMERCIALIZADORA OROBANCA (a.k.a. SOCIR S.A.), Cll 36A No. 3GN-07 of. 302, Edificio El Parque, Cali, Colombia; Calle 22N No. 5A-75 of. 702, Edificio Via Veneto, Cali, Colombia [SDNT]
COMERCIALIZADORA PELISSIER OSPINA LTDA., Carrera 56B No. 63B-96 bq. 21 int. 15 apto. 201, Bogota, Colombia; NIT #830099065-2 (Colombia) [SDNT]
COMERCIALIZADORA TOQUIN, S.A. DE C.V. (a.k.a. CHIKA'S COSMETICS AND ACCESSORIES), Calzada Gonzalez Gallo, numero 3064, Col. Lomas de San Pedro, Guadalajara, Jalisco 44897, Mexico; Calle Paseo del Hospisio 22 1038, Col. Colonia La Perla, Guadalajara, Jalisco, Mexico; Poniente 149 #639, Col. Industrial Vallejo, Mexico, Distrito Federal, Mexico; Calle Parras, Numero 1750 Int. C, Col. Alamo Oriente, Tlaquepaque, Jalisco, Mexico; R.F.C. CT099380FGQ3 (Mexico) [SDNT]
COMITE DE BIENFAISANCE ET DE SECOURS AUX PALESTINIENS (a.k.a. AL AQA'S ASSISTANCE CHARITABLE COUNCIL; a.k.a. AL-LAJNA AL-KHAYRIYYA LIL MUNASARA AL-AQSA; a.k.a. BENEVOLENCE COMMITTEE FOR SOLIDARITY WITH PALESTINE; a.k.a. BENEVOLENCE COMMITTEE FOR SUPPORT OF PALESTINE; a.k.a. CBSP; a.k.a. CHARITABLE COMMITTEE FOR SOLIDARITY WITH PALESTINE; a.k.a. CHARITABLE COMMITTEE FOR SUPPORTING PALESTINE; a.k.a. CHARITABLE COMMITTEE IN SUPPORT OF PALESTINE; a.k.a. CHARITABLE COMMITTEE OF SOLIDARITY WITH PALESTINE; a.k.a. CHARITABLE COMMITTEE FOR ASSISTANCE AND SOLIDARITY WITH PALESTINE; a.k.a. CHARITABLE COMMITTEE FOR SOLIDARITY WITH PALESTINE; a.k.a. CBSP; a.k.a. CHARITABLE COMMITTEE FOR SOLIDARITY WITH PALESTINE; a.k.a. CBSP; a.k.a. CHICHESTER COMMITTEE FOR SOLIDARITY WITH PALESTINE; a.k.a. CHARITABLE COMMITTEE IN SUPPORT OF PALESTINE; f.k.a. COMITE DE BIENFAISANCE POUR LA SOLIDARITE AVEC LA PALESTINE; a.k.a. COMMITTEE FOR AID AND SOLIDARITY WITH PALESTINE; a.k.a. COMMITTEE FOR ASSISTANCE AND SOLIDARITY WITH PALESTINE; a.k.a. COMMITTEE FOR CHARITY AND SOLIDARITY WITH PALESTINE; a.k.a. COMPANY BENEFICENT DE SOLIDARITE AVEC LA PALESTINE; a.k.a. COMMITTEE FOR SOLIDARITY WITH PALESTINE; a.k.a. RELIEF COMMITTEE FOR SOLIDARITY WITH PALESTINE), 10 Rue Notre Dame, Lyon 69006, France; 68
CONSTRUCTORA GUADALEST S.A., Correg. San Cristóbal Vereda El Llano, Medellín, Colombia; NIT #800147541-4 (Colombia) [SDNT]

CONSTRUCTORA IRAKA S.A., Carrera 7 No. 132–82, Bogota, Colombia; NIT #830111113-1 (Colombia) [SDNT]

CONSTRUCTORA JUANAMBU S.A., Carrera 105 No. 14–01, Cali, Colombia; NIT #900100334-9 (Colombia) [SDNT]

CONSTRUCTORA LOMA LINDA S.A., Carrera 105 No. 14–01, Cali, Colombia [SDNT]

CONSTRUCTORA PYNZAR LTDA., Avenida 3 No. 21–50 Apt. 800, Cali, Colombia; Avenida 3 Norte No. 21–44, Cali, Colombia; Avenida 3 No. 21–50, Cali, Colombia; NIT #800240723-8 (Colombia) [SDNT]

CONSTRUCTORA SANTA TERESITA S.A., Avenida 6 Norte No. 17–32 Of. 411, Cali, Colombia; NIT #805022122-7 (Colombia) [SDNT]

CONSTRUCTORA TREMI LTDA., Carrera 1A Oeste No. 68–75, Cali, Colombia [SDNT]

CONSTRUCTORA UMBRIA S.A., Carrera 105 No. 14–01, Cali, Colombia; NIT #900100194-4 (Colombia) [SDNT]

CONSTRUCTORA UNIVERSAL LTDA., Carrera 50 No. 9B–20 of. 07, Cali, Colombia; Carrera 52 No. 2B–30, Cali, Colombia; NIT #800112051-9 (Colombia) [SDNT]

CONSTRUVIDA S.A., Calle 70N No. 14–31, Cali, Colombia; Avenida 2N No. 7N–55 of. 521, Cali, Colombia; Carrera 68 No. 13B–61 of. 10B, Cali, Colombia; NIT #800108122-8 (Colombia) [SDNT]

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CONSTRUCTORA IRAKA S.A., Carrera 7 No. 132–82, Bogota, Colombia; NIT #830111113-1 (Colombia) [SDNT]

CONSTRUCTORA JUANAMBU S.A., Carrera 105 No. 14–01, Cali, Colombia; NIT #900100334-9 (Colombia) [SDNT]

CONSTRUCTORA LOMA LINDA S.A., Carrera 105 No. 14–01, Cali, Colombia [SDNT]

CONSTRUCTORA PYNZAR LTDA., Avenida 3 No. 21–50 Apt. 800, Cali, Colombia; Avenida 3 Norte No. 21–44, Cali, Colombia; Avenida 3 No. 21–50, Cali, Colombia; NIT #800240723-8 (Colombia) [SDNT]

CONSTRUCTORA SANTA TERESITA S.A., Avenida 6 Norte No. 17–32 Of. 411, Cali, Colombia; NIT #805022122-7 (Colombia) [SDNT]

CONSTRUCTORA TREMI LTDA., Carrera 1A Oeste No. 68–75, Cali, Colombia [SDNT]

CONSTRUCTORA UMBRIA S.A., Carrera 105 No. 14–01, Cali, Colombia; NIT #900100194-4 (Colombia) [SDNT]

CONSTRUCTORA UNIVERSAL LTDA., Carrera 50 No. 9B–20 of. 07, Cali, Colombia; Carrera 52 No. 2B–30, Cali, Colombia; NIT #800112051-9 (Colombia) [SDNT]

CONSTRUVIDA S.A., Calle 70N No. 14–31, Cali, Colombia; Avenida 2N No. 7N–55 of. 521, Cali, Colombia; Carrera 68 No. 13B–61 of. 10B, Cali, Colombia; NIT #800108122-8 (Colombia) [SDNT]

CONSULTORIA DE INTERDIVISAS, S.A. DE C.V., Carretera Aeropuerto 1900, Centro Comercial Otay, Local G-16, Tijuana, Baja California CP 22500, Mexico; R.F.C. CIN–010322–MX9 (Mexico) [SDNTK]

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CONSULTORIA EN CAMBIOS FALCON S.A. DE C.V., Centro Comercial Interlomas Local U–16 P.A., Boulevard Interlomas 5, Colonia La Herradura, Huixquilucan, Estado de Mexico C.P. 52784, Mexico; Paseo de la Herradura No. 5 P.A. Loc. 16, Col. La Herradura, Huixquilucan, Estado de Mexico C.P. 52784, Mexico; R.F.C. CCF–020819–C80 (Mexico) [SDNT]

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COOPERATIVA MULTIACTIVA DE COLOMBIA FOMENTAMOS (a.k.a. FOMENTAMOS), Transversal 29 No. 35A-29, Bogota, Colombia; NIT #830060014-4 (Colombia) [SDNT]

COOPERATIVA MULTIACTIVA DE COMERC. DROGUISTA Y FARMACEUTICA DROFARCO (a.k.a. DROFARCO), Via Circunvalar, Bodega M-A-3, Barranquilla, Colombia; Metroparque Bodega Mz. 3, Barranquilla, Colombia; Calle 110 No. 6-336, Barranquilla, Colombia; NIT #802012877-3 (Colombia) [SDNT]

COOPERATIVA MULTIACTIVA DE DISTRIBUCION FARMAVISION LTDA. (a.k.a. FARMAVISION LTDA.), Carrera 24 No. 4-19, Bogota, Colombia; NIT #830037372-6 (Colombia) [SDNT]

COOPERATIVA MULTIACTIVA DISTRIBUIDORA DE SANTANDER COOPDISAN (a.k.a. COOPDISAN), Calle 52 No. 31-148 of. 201, Bucaramanga, Colombia; Calle 45 No. 9 Occ-04, Bucaramanga, Colombia; Calle 52 No. 31-148, Bucaramanga, Colombia; Carrera 27 No. 65-60 La Victoria, Bucaramanga, Colombia; Carrera 33 No. 186-49, Floridablanca, Colombia; NIT #804005884-2 (Colombia) [SDNT]

CO-OPERATIVE EXPORT-IMPORT ENTERPRISE (a.k.a. CEIE), 259/263 Bogoyoke Aung San Street, Yangon, Burma [BURMA]

COOPIFARMA (a.k.a. COOPERATIVA MULTIACTIVA DE COMERCIALIZACION Y SERVICIOS DE COLOMBIA), Carrera 27 No. 47A-06, Bogota, Colombia; Carrera 13A No. 28-38 of. 215, Bogota, Colombia; Calle 54 No. 22-50, Bucaramanga, Colombia; NIT #830071338-9 (Colombia) [SDNT]

CO-OPERATIVE MULTIACTIVA DISTRIBUIDORES DE DROGAS COPSERVIR LTDA. (a.k.a. COPSERVIR LTDA.), Carrera 4 No. 22-24, Bogota, Colombia; NIT #830015670-3 (Colombia) [SDNT]

COOPERATIVA MULTIACTIVA DE EMPLEADOS DE DISTRIBUIDORES DE DROGAS COPSERVIR LTDA.; a.k.a. COPSERVIR LTDA.; f.k.a. DISTRIBUIDORA DE DROGAS La REBAJA PRINCIPAL S.A.; f.k.a. DISTRIBUIDORA DE DROGAS La REBAJA S.A.; f.k.a. DROGAS LA REBAJA), Carrera 6A No. 53-47 piso 3, Bogota, Colombia; Calle 18 No. 121-130 Avenida Canasgordas Pance, Cali, Colombia; Calle 10 No. 4-47 piso 19, Cali, Colombia; Calle 7A No. 14-25 piso 2, Cali, Colombia; Carrera 7 No. 13-132 piso 4, Cali, Colombia; Carrera 10 No. 11-71, Cali, Colombia; Calle 14 No. 6-66, Cali, Colombia; Carrera 99 No. 46A-10 Bid 6 y 8, Bogota, Colombia; Calle 4 No. 22-24, Bogota, Colombia; NIT #830015670-3 (Colombia) [SDNT]

COOPERATIVA MULTIACTIVA COOPER, Randolph; DOB 28 Oct 1950; Former Managing Director, Roberts International Airport (individual) [LIBERIA]

COOPERATIVA DE SERVICIO DE TRANSPORTE DE CARGA DE COLOMBIA LTDA. (a.k.a. COOPERATIVA DE SERVICIO DE TRANSPORTE DE CARGA MULTIMODAL DE COLOMIBA LTDA.; a.k.a. COOTRANSMULTI H.H. LTDA.), Carrera 14 No. 46-35, Barranquilla, Colombia; Via 40 No. 71-19 Bodega 504, Barranquilla, Colombia; NIT #802006273-0 (Colombia) [SDNT]

COOPERATIVA MULTIACTIVA DE LA COSTA COOMULCOSTA LTDA.), Carrera 14 No. 35B Esquina, Barranquilla, Colombia; Carrera 48 No. 76-49, Barranquilla, Colombia; Via 40 No. 71-19 Bodega 504, Barranquilla, Colombia; NIT #802006273-0 (Colombia) [SDNT]

COOPERATIVA MULTIACTIVA DE COMERC. DROGUISTA Y FARMACEUTICA DROFARCO (a.k.a. DROFARCO), Via Circunvalar, Bodega M-A-3, Barranquilla, Colombia; Metroparque Bodega Mz. 3, Barranquilla, Colombia; Calle 110 No. 6-336, Barranquilla, Colombia; NIT #802012877-3 (Colombia) [SDNT]

COOPERATIVA MULTIACTIVA DE DISTRIBUCION FARMAVISION LTDA. (a.k.a. FARMAVISION LTDA.), Carrera 24 No. 4-19, Bogota, Colombia; NIT #830037372-6 (Colombia) [SDNT]

COOPERATIVA MULTIACTIVA DISTRIBUIDORA DE SANTANDER COOPDISAN (a.k.a. COOPDISAN), Calle 52 No. 31-148 of. 201, Bucaramanga, Colombia; Calle 45 No. 9 Occ-04, Bucaramanga, Colombia; Calle 52 No. 31-148, Bucaramanga, Colombia; Carrera 27 No. 65-60 La Victoria, Bucaramanga, Colombia; Carrera 33 No. 186-49, Floridablanca, Colombia; NIT #804005884-2 (Colombia) [SDNT]

CO-OPERATIVE EXPORT-IMPORT ENTERPRISE (a.k.a. CEIE), 259/263 Bogoyoke Aung San Street, Yangon, Burma [BURMA]

COOPIFARMA (a.k.a. COOPERATIVA MULTIACTIVA DE COMERCIALIZACION Y SERVICIOS DE COLOMBIA), Carrera 27 No. 47A-06, Bogota, Colombia; Carrera 13A No. 28-38 of. 215, Bogota, Colombia; Calle 54 No. 22-50, Bucaramanga, Colombia; NIT #830071338-9 (Colombia) [SDNT]

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COOPERATIVA MULTIACTIVA COOPER, Randolph; DOB 28 Oct 1950; Former Managing Director, Roberts International Airport (individual) [LIBERIA]
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CORONEL VILLAREAAL, Ignacio (a.k.a. “NACHO CORONEL”), Manzanillo, Colima, Mexico; DOB 01 Feb 1954; POB Veracruz, Mexico; alt. POB Canelas, Durango, Mexico; citizen Mexico; nationality Mexico (individual) [SDNTK]

CORPORACION ARGENTINA DE INGENIERIA Y ARQUITECTURA, S.A. (a.k.a. COPIA, S.A.), San Martin 323, 4th Floor, Buenos Aires, Argentina [CUBA]

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CORPORACION DE ALMACENES POR DEPARTAMENTOS S.A. (a.k.a. C.A.D. S.A.), Diagonal 127A No. 17–34, Bogota, Colombia; NIT #800173127–0 (Colombia) [SDNT]

CORPORACION DE CONSULTORIA, ASESORIA, PRESTACION DE SERVICIOS Y DOTACION DE ELEMENTOS Y SUMINISTROS CIA. LIMITADA (a.k.a. CORDES CIA. LIMITADA), Calle 71C No. 4N–19, Cali, Colombia; NIT #830502730–4 (Colombia) [SDNT]

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CORPORACION HOTELELA DEL CARIBE LIMITADA (a.k.a. TRES CASITAS; a.k.a. “TRES CASITAS”), Avenida Colombia No. 1–60, San Andres, Providencia, Colombia; NIT #800194679–1 (Colombia) [SDNT]

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CORREA Giraldo, Ricardo Leon, c/o COPCREDIT, Bogota, Colombia; c/o COOPERATIVA DE TRABAJO ASOCIADO ACTIVAR, Bogota, Colombia; Carrera 1 No. 2–45 Hueso A ap. 33, Cali, Colombia; DOB 27 Oct 1954; Cedula No. 70585655 (Colombia) (individual) [SDNT]

CORREA PULGARIN, Ernesto, c/o AGROPECUARIA LA ROBLEDA S.A., Cali, Colombia; Cedula No. 2510858 (Colombia) (individual) [SDNT]

CORREAL GUZMAN, Gloria Ines, c/o GIMAX LTDA., Bogota, Colombia; Cedula No. 5167272 (Colombia) (individual) [SDNT]

CORREDOR IBAGUE, Jose Maria (a.k.a. “ANGEL ORTIZ”; a.k.a. “BOYACO”; a.k.a. “CARLOS ALBERTO HENAO”; a.k.a. “CHEPE”; a.k.a. “HECTOR JAIME SANCHEZ”; a.k.a. “JOSE ADRIAN RODRIGUEZ BUITRAGO”; a.k.a. “JOSE GILBERTO RODRIGUEZ PEREZ”; a.k.a. “JOSE LEONEL”), Colombia; DOB 17 Dec 1966; POB Santana, Boyaca, Colombia; citizen Colombia; nationality Colombia; Cedula No. 4213003 (Colombia) (individual) [SDNTK]

CORREDOR RUEDA, Jaqueline, Calle 52A No. 31–67, Bogota, Colombia; c/o COPSERVIR LTDA., Bogota, Colombia; c/o CAJA SOLIDARIA, Bogota, Colombia; c/o FARMAVISION LTDA., Bogota, Colombia; c/o MEGAPHARMA LTDA., Bogota, Colombia; Cedula No. 5815783 (Colombia) (individual) [SDNT]

CORTES QUINTERO, Sandra, c/o CONSTRUCCIONES PROGRESO DEL PUERTO S.A., Puerto Guadalupe, Colombia; c/o UNIDAS S.A., Cali, Colombia; c/o CREDISA S.A., Cali, Colombia; c/o COMPANIA DE FOMENTO MERCANTIL S.A., Cali, Colombia; DOB 21 Jun 1971; POB Cali, Valle, Colombia; Cedula No. 66827003 (Colombia); Passport 66827003 (Colombia) (individual) [SDNT]

CORTES, Polanía Raquel, c/o MAPRI DE CO-
LOMIA LTDA., Bogota, Colombia; DOB 5 Nov 1963; Cedula No. 55150515 (Colombia); Passport 55150515 (Colombia) (individual) [SDNT]

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LABORATORIOS BLAIMAR DE COLOMBIA S.A.; f.k.a. LABORATORIOS BLANCO PHARMA S.A.), A.A. 55538, Bogota, Colombia; Carrera 99 y 100 No. 46A-10, Bodega 4, Bogota, Colombia; Carrera 12B No. 27-39, Bogota, Colombia; Calle 26 Sur No. 7-30 Este, Bogota, Colombia; Calle 12A No. 27-72, Bogota, Colombia; NIT #800251322-5 (Colombia) [SDNT]

COSTILLA SANCHEZ, Jorge Eduardo (a.k.a. COSTILLA SANCHEZ, Jorge), Andador 2 o 20, No. 15, Fraccionamiento Los Sauces, Matamoros, Tamaulipas, Mexico; Calle Siererra Nevada No. 633, Fraccionamiento Fuentes, Seccion Lomas, Reynosa, Tamaulipas, Mexico; Mexico; Playa Mocamba y Playa Encantada No. 14, Colonia Playa Sol, Matamoros, Tamaulipas, Mexico; DOB 01 Aug 1971; alt. DOB 06 Jan 1971; alt. DOB 06 Jun 1971; alt. DOB 01 Jun 1971; POB Mexico; citizen Mexico; nationality Mexico; Electoral Registry No. CSSNJR71010628H801 (Mexico) (individual) [SDNTK]

COTEL, Milan, Italy [CUBA]

COTTY (vessel) [CUBA]

CPMIEC SHANGHAI PUDONG COMPANY (a.k.a. CHINA JMM IMPORT & EXPORT SHANGHAI PUDONG CORPORATION; a.k.a. CHINA JMM IMPORT AND EXPORT SHANGHAI PUDONG CORPORATION), 13 F Yuhang Building No. 525, Sichuan Road (North), Shanghai, China [NPWMD]

CPV SISTEMAS GRAFICOS S.L., Rodriguez Apdo. 4599, 18080 Granada, Spain; C.I.F. B90442378 (Spain) [SDNT]

CRAJOSORIALAS E.U., Avenida 11 Norte No. 7N-201, Cali, Colombia; NIT #805016474-8 (Colombia) [SDNT]

CREACIONES DEPORTIVAS WILLINGTON LTDA., Carretera Central via Aeropuerto Palmaseca, Colombia; Carrera 61 No. 11-58, Cali, Colombia; NIT #800146749-7 (Colombia) [SDNT]

CRIADERO DE POLLOS EL ROSAL S.A. (f.k.a. INDUSTRIA AVICOLA PALMASECA S.A.), Carretera Central via Aeropuerto Palmaseca, Colombia; Carrera 61 No. 11-58, Cali, Colombia; NIT #800146749-7 (Colombia) [SDNT]

CRIADERO EL TAMBO LTDA., Carrera 13 No. 17-55, Bogota, Colombia; NIT #800016182-9 (Colombia) [SDNTK]

CRIADERO LA LUISA E.U. (f.k.a. INDUSTRIA AGROPECUARIA SANTA ELENA LTDA.), Avenida 7 Norte No. 23N-81, Cali, Colombia; Avenida 7 Norte No. 23-77, Cali, Colombia; Calle 15 No. 36-400, Cali, Colombia; Jamundi, Valle, Colombia; NIT #860503330-5 (Colombia) [SDNT]

CRIADERO LAS CARANAS LTDA., Calle 137 No. 86-76 Int. 2 Apto. 143, Bogota, Colombia; NIT #816005110-5 (Colombia) [SDNTK]

CRIADERO SANTA GERTRUDIS S.A., Callejon Zapatacra Km. 1 Via Jamundi, Jamundi, Valle, Colombia; NIT #805014721-3 (Colombia) [SDNT]

CRIOLLO (vessel) [CUBA]

CRUZ REYES, Antonio Pedro, Milan, Italy (individual) [CUBA]

CRUZ, Juan M. de la, Dai-Ichi Bldg. 6th Floor, 10-2 Nihombashi, 2-chome, Chuo-ku, Tokyo 103, Japan; Director, Banco Nacional de Cuba (individual) [CUBA]

CRYMESA-ARGENTINA, S.A., Buenos Aires, Argentina [CUBA]

CUARTES MORALES, Juan Carlos, c/o INVERSIONES Y CONSTRUCCIONES VALLE S.A., Cali, Colombia; DOB 9 Nov 1968; Cedula No. 1675375 (Colombia) (individual) [SDNT]

CUBACANCUN CIGARS AND GIFT SHOPS, Cancun, Mexico [CUBA]

CUBANCIGAR TRADE, Italy [CUBA]

CUBANACAN GROUP (a.k.a. CUBANACAN; a.k.a. EL GRUPO CUBANACAN), Calle 68 e/Sta. A. Apartado 1846; Ciudad de La Habana, Cuba [CUBA]

CUBANACAN INTERNATIONAL B.V., Visseringlaan 24, 2288 ER Rijswijk, Zevenhuizen, Netherlands; Registration ID 27134614 (Netherlands) [CUBA]

CUBANACAN U.K. LIMITED, Unit 49 Skyline Village, Limeharbour, Docklands, United Kingdom; Registration ID 2720485 (United Kingdom) [CUBA]

CUBANATUR, Baja California 255, Edificio Indep, Colonia Playa Sol, Matamoros, Tamaulipas, Mexico; Calle San Pedro 2, 28015 Madrid, Madrid, Spain; nationality Mexico; Electoral Registry No. CSSNJR71010628H801 (Mexico) (individual) [SDNTK]

CUBAFRUTAS, Spain [CUBA]

CUBAFRUTAS, Spain [CUBA]

CUBAFRUTAS, Spain [CUBA]

CUBAFRUTAS, Spain [CUBA]

CUBAFRUTAS, Spain [CUBA]
CUBILLOS, Bellanidia, c/o FARMEDIS LTDA., Bogota, Colombia; Cedula No. 3617943 (Colombia) (individual) [SDNT]

CUECA VILLARAGA, Hernan, c/o DROGAS INTERNACIONALES LTDA., Bogota, Colombia; DOB 24 Oct 1967; POB Barranquilla, Colombia; Cedula No. 22443685 (Colombia) (individual) [SDNT]

CUENC, RAMON CESAR, Panama [CUBA]

CUERO MARTINEZ, Otalvaro, c/o INVERSIONES CULZAT GUEVARA Y CIA. S.C.S., Barranquilla, Colombia; c/o CURE SABAGH Y CIA. S.C.S., Barranquilla, Colombia; c/o CURE SABAGH Y CIA. S.C.S., Barranquilla, Colombia; c/o FUDIA LTDA., Barranquilla, Colombia; c/o CABLES NACIONALES CANAL S.A., Barranquilla, Colombia; DOB 24 Oct 1967; POB Barranquilla, Colombia; Cedula No. 22443685 (Colombia) (individual) [SDNT]

CUREF METAL PROCESSING BV, Boezembolcht 21, Rotterdam, Netherlands [CUBA]

DARRAJI, Kamel (a.k.a. DARRAJI, Kamal)

DARRAH, Kaddieyatu (a.k.a. DARA, Kadiyatu; a.k.a. 'MINCHO'); a.k.a. 'LA LLAVEIRA'), Calle 24 No. 20-22, Tuluá, Valle, Colombia; citizen Colombia; nationality Colombia; Cedula No. 16379900 (Colombia) (individual) [SDNT]

DASSAULT, Abdel (a.k.a. IRAN DASSAULT); Vessel Registration Identification IMO 8309666 (vessel) [NPWMD]

DASHER, Jack (a.k.a. DASH, Jack; a.k.a. IRAN DASH); Vessel Registration Identification IMO 8309666 (vessel) [NPWMD]

DARKAZANLI, Mamoun, 1310636262 (Germany) (individual) [SDGT]

DARKAZANLI, Mamoun, Uhlenhorsterweg 34

DALLA, Sali (a.k.a. IRAN DALLA); Vessel Registration Identification IMO 8309666 (vessel) [NPWMD]

DAMASANE, Abigail; DOB 27 May 1962; Passport AD000005 (Zimbabwe); Politburo Committee Member (individual) [ZIMBABWE]

DANGWA, Dumiso; DOB 6 Dec 1969; Passport AN032426 (Zimbabwe); Child of Dumiso Dabengwa (individual) [ZIMBABWE]

DAHB, Kadiyatu); Special Assistant to former President of Liberia Charles Taylor (individual) [LIBERIA]

DAHUK, Saleem; DOB 1960; POB Karkamish, Turkey; nationality Iraq; Passport 177202 (Iraq) (individual) [IRAQ]

DAMASANE, Abigail; DOB 27 May 1962; Passport AD000005 (Zimbabwe); Politburo Committee Member (individual) [ZIMBABWE]

DANGWA, Ijomha; DOB 27 Oct 1971; Passport AN032426 (Zimbabwe); Child of Dumiso Dabengwa (individual) [ZIMBABWE]

DAI BAH, Ali (a.k.a. IRAN DAI BAH); Vessel Registration Identification IMO 8309666 (vessel) [NPWMD]

DANGUO, Hammady; DOB 1976; POB Conacry, Guinea; Passport AG 74073 (Guinea) (individual) [LIBERIA]

DANGO TIMBER LIMITED (a.k.a. DAGON TIMBER), Dagon Centre, 262–264 Pyay Road, Myaynigone, Sanchaung Township, Yangon, Burma [BURMA] [JADE]

DANO TIMBER), Dagon Centre, 262–264 Pyay Road, Myaynigone, Sanchaung Township, Yangon, Burma [BURMA] [JADE]

DANGO INTERNATIONAL; a.k.a. DAGON INTERNATIONAL CONSTRUCTION COMPANY), Dagon Centre, 6th Floor, 262-264 Pyay Road, Myaynigone, Sanchaung Township, Yangon, Burma [BURMA] [JADE]

DANGO INTERNATIONAL LIMITED (a.k.a. DAGON INTERNATIONAL; a.k.a. DAGON INTERNATIONAL CONSTRUCTION COMPANY), Dagon Centre, 6th Floor, 262-264 Pyay Road, Myaynigone, Sanchaung Township, Yangon, Burma [BURMA] [JADE]

DANJU, C. P.; DOB 1960; POB Katsina, Nigeria; Passport AN031026 (Nigeria) (individual) [NPWMD]

DANJU, C. P.; DOB 1960; POB Katsina, Nigeria; Passport AN031026 (Nigeria) (individual) [NPWMD]

DARAH, Kadiyatu); Special Assistant to former President of Liberia Charles Taylor (individual) [LIBERIA]

DARRAH, Kadiyatu); a.k.a. DARA, Kadiyatu; a.k.a. DARAH, Kadiyatu; a.k.a. DARAH, Kadiyatu); Special Assistant to former President of Liberia Charles Taylor (individual) [LIBERIA]

DARRAJI, Kamel (a.k.a. DARRAJI, Kamal)

DARRAH, Kaddieyatu (a.k.a. DARA, Kadiyatu; a.k.a. 'MINCHO'); a.k.a. 'LA LLAVEIRA'), Calle 24 No. 20-22, Tuluá, Valle, Colombia; citizen Colombia; nationality Colombia; Cedula No. 16379900 (Colombia) (individual) [SDNT]

DARAH, Kadiyatu); Special Assistant to former President of Liberia Charles Taylor (individual) [LIBERIA]
DEHONG THAILONG HOTEL CO., LTD. (a.k.a. DEHONG TAILONG INDUSTRY COMPANY LIMITED; a.k.a. TAI LONG HOTEL; a.k.a. THAILONG HOTEL), Mang Shih Economic Development Zone, De Hong District, Yunnan Province, China; No. 58, Mangshi Avenue, Dehong City, Yunnan, China [SDNTK]

DEHONG THAILONG HOTEL CO., LTD. (a.k.a. DEHONG TAILONG INDUSTRY COMPANY LIMITED; a.k.a. TAI LONG HOTEL; a.k.a. THAILONG HOTEL), Mang Shih Economic Development Zone, De Hong District, Yunnan Province, China; No. 58, Mangshi Avenue, Dehong City, Yunnan, China [SDNTK]

DEHONG THAILONG HOTEL CO., LTD. (a.k.a. DEHONG TAILONG INDUSTRY COMPANY LIMITED; a.k.a. TAI LONG HOTEL; a.k.a. THAILONG HOTEL), Mang Shih Economic Development Zone, De Hong District, Yunnan Province, China; No. 58, Mangshi Avenue, Dehong City, Yunnan, China [SDNTK]
DELORES CARNES FINSAN IGNACIO S.A. DE C.V., Chihuahua, Chihuahua, Mexico [SDNTK]

DELOST CASPER, Luis Mario, c/o ADMINISTRADORA DE SERVICIOS VARIOS CALIMA S.A., Cali, Colombia; DOB 26 Jul 1947; Cedula No. 17181655 (Colombia); Passport 17181656 (Colombia) (individual) [SDNT]

DELEGATE (a.k.a. IRAN DELEGATE); Vessel Registration Identification IMO 8320121 (vessel) [NPWMD]

DELGADO, Antonio, Panama (individual) [CUBA]

DELGADO GUTIERREZ, Elias, c/o CONSULTORIA DE INTERDIVISAS, S.A. DE C.V., Tijuana, Baja California, Mexico; c/o CENTRO CAMBIARIO KINO, S.A. DE C.V., Tijuana, Baja California, Mexico; c/o GS PLUS CONSULTORES, S.A. DE C.V., Tijuana, Baja California, Mexico; Calle Ramon Lopez Velarde 36, Colonia Reforma, Tijuana, Baja California CP 22280, Mexico; c/o M Q CONSULTORES, S.A. DE C.V., Tijuana, Baja California, Mexico; DOB 28 Feb 1964; R.F.C. DEGE–640226–3W9 (Mexico) (individual) [SDNT]

DELGADO GUTIERREZ, Elias, c/o CONSULTORIA DE INTERDIVISAS, S.A. DE C.V., Tijuana, Baja California, Mexico; c/o CENTRO CAMBIARIO KINO, S.A. DE C.V., Tijuana, Baja California, Mexico; c/o GS PLUS CONSULTORES, S.A. DE C.V., Tijuana, Baja California, Mexico; Calle Ramon Lopez Velarde 36, Colonia Reforma, Tijuana, Baja California CP 22280, Mexico; c/o M Q CONSULTORES, S.A. DE C.V., Tijuana, Baja California, Mexico; DOB 28 Feb 1964; R.F.C. DEGE–640226–3W9 (Mexico) (individual) [SDNT]

DELGADO PRIETO, Roberto, c/o COLPHAR S.A., Bogota, Colombia; Cedula No. 13921914 (Colombia) (individual) [SDNT]

DELGADO, Jorge Armando, c/o LABORATORIOS BLANCO PHARMA DE COLOMBIA S.A., Bogota, Colombia; c/o LABORATORIOS KRESSFOR DE COLOMBIA S.A., Bogota, Colombia; c/o FARMATODO S.A., Bogota, Colombia; c/o ALFA PHARMA S.A., Bogota, Colombia; c/o DISTRIBUADORA MYRAMIREZ S.A., Bogota, Colombia; c/o COPSERVIR LTDA., Bogota, Colombia; c/o COSMEPOP, Bogota, Colombia; c/o CONTERCOS S.A., Bogota, Colombia; DOB 4 Aug 1968; Cedula No. 19354318 (Colombia) (individual) [SDNT]

DELIC, Hazim; DOB 13 May 1964; ICTY indictee (individual) [BALKANS]

DELIGHT (a.k.a. IRAN DELIGHT); Vessel Registration Identification IMO 8320133 (vessel) [NPWMD]

DELLOSA, Redendo Cain (a.k.a. AKMAL, Halid; a.k.a. ALVARADO, Arnulfo; a.k.a. BERRUA, Brandon; a.k.a. DELLOS, Redendo Cain; a.k.a. DELLOSA Y CAIN, Redendo; a.k.a. DELLOSA, Ahmad; a.k.a. DELLOSA, Habib Ahmad; a.k.a. DELLOSA, Habib Ahmad; a.k.a. DELLOSA, Redendo Cain; a.k.a. HONOGGO, Abu; a.k.a. LLONGGO, Abu; a.k.a. MUADZ, Abu); 3111 Ma. Bautista Street, Punta, Santa Ana, Manila, Philippines; DOB 15 May 1972; P.O.B. Punta, Santa Ana, Manila, Philippines; nationality Philippines; SSN 33–320848–3 (Philippines) (individual) [SDGT]

DELOS REYES, Feliciano Semborio, Jr. (a.k.a. ABDILLAH, Abdul; a.k.a. ABDILLAH, Abubakar; a.k.a. ARDIL, PH, Ustadz Abubakar; a.k.a. CASTRO, Jorge; a.k.a. DE LOS REYES, Feliciano; a.k.a. DE LOS REYES, Feliciano Abubakar; a.k.a. DELOS REYES Y SEMBERIO, Felecciano; a.k.a. DELOS REYES, Felecciano Semborio; a.k.a. DELOS REYES, Ustadz Abubakar; a.k.a. REYES, Abubakar); DOB 4 Nov 1963; P.O.B. Arco, Lamitan, Basilan Province, Philippines; nationality Philippines (individual) [SDGT]

DELVEST HOLDING, S.A. (a.k.a. DELVEST HOLDING COMPANY), Case Postale 236, 10 Rue Du Vieux Collège 12–11, Geneva, Switzerland (CUBA)

DEMOCRATIC FRONT FOR THE LIBERATION OF PALESTINE-HAWATMEH FAC- TION (a.k.a. DEMOCRATIC FRONT FOR THE LIBERATION OF PALESTINE; a.k.a. DFLP; a.k.a. RED STAR BATTALIONS; a.k.a. RED STAR FORCES) [SDT]

DENISENKO, Serguei (a.k.a. DENISENKO, Sergei; a.k.a. DENISENKO, Sergei), c/o SAN AIR GENERAL TRADING FZE, P.O. Box 2190, Ajman, United Arab Emirates; c/o SAN AIR GENERAL TRADING FZE, P.O. Box 932–20C, Ajman, United Arab Emirates; c/o SAN AIR GENERAL TRADING LLC, B11 S. Central Expwy, Ste 210, Richardson, TX 75080; DOB 1961; Passport 500144635 (Russia) (individual) [LIBERIA]

DEPOSITO POPULAR DE DROGAS S.A., Carrera 6 No. 24–77, Cali, Colombia [SDNT]

DERAKHSHANDEH, AHMAD, c/o BANK DEPOSITO POPULAR DE DROGAS S.A., Bogota, Colombia; Cedula No. 17181655 (Colombia) (individual) [SDNT]

DERECHO INTEGRAL Y CIA. LTDA., Calle 52 Bella Vista, Chalet #17, Panama City, Panama (individual) [SDNT]

DERECHO INTEGRAL Y CIA. LTDA., Calle 52 Bella Vista, Chalet #17, Panama City, Panama (individual) [SDNT]

DEREST AND BRENDA BRAY, c/o SAN AIR GENERAL TRADING FZE, P.O. Box 2190, Ajman, United Arab Emirates; c/o SAN AIR GENERAL TRADING FZE, P.O. Box 932–20C, Ajman, United Arab Emirates; c/o SAN AIR GENERAL TRADING LLC, B11 S. Central Expwy, Ste 210, Richardson, TX 75080; DOB 1961; Passport 500144635 (Russia) (individual) [LIBERIA]

DERICA, Abdillah; a.k.a. ABDILLAH, Abdul; a.k.a. ABDILLAH, Abdul; a.k.a. ABDILLAH, Abdul; a.k.a. ABDILLAH, Abdul; a.k.a. ABDILLAH, Abu); Calle 52 Bella Vista, Chalet #17, Panama City, Panama (individual) [SDNT]

DESARROLLO GEMMA CORPORATION, Calle 52 Bella Vista, Chalet #17, Panama City, Panama (individual) [SDNT]

DESARROLLO INTEGRAL CUBANO ESPANOL, S.A. (a.k.a. DICESA), Paseo De La Castellana 157, Madrid, Spain; Jose Lazaro Caldeano, 6-6, Madrid 28016, Spain (CUBA)

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DESARROLLOS AGROINDUSTRIALES S.A., Transversal 13A No. 16-04 apt. 303, Bogota, Colombia; NIT #830000782-2 (Colombia) [SDNT]

DESARROLLOS COMERCIALES E INDUSTRIALES HENAO GONZALEZ Y CIA. S.C., Carrera 4A No. 16-04 apt. 303, Cartago, Colombia; NIT #800100475-2 (Colombia) [SDNT]

DESARROLLOS URBANOS, LTDA. (a.k.a. DESARROLLOS COMERCIALES E INDUSTRIALES HENAO GONZALEZ Y CIA. S.C.), Calle 74 No. 55-30, Barranquilla, Colombia; NIT #890108104-2 (Colombia) [SDNT]

DESME HURTADO, Maximo Zadi (a.k.a. DESME, Zadi), Cerro Alto De La Posada 58, Los Andes, Chile; c/o SISTEMA DE DISTRIBUCION MUNDIAL S.A.C., Lima, Peru; c/o AVIANDINA S.A.C., Lima, Peru; DOB 21 Aug 1958; LE Number 06367724 (Peru) (individual) [SDNTK]

DEVELOPER (a.k.a. IRAN DEVELOPER); Vessel Registration Identification IMO 8309660 (vessel) [NPWMD]

DEVIA SILVA, Luis Edgar (a.k.a. "RAUL REYES"); DOB 30 Sep 1948; POB La Plata, Huila, Colombia; Cedula No. 14871281 (Colombia) (individual) [SDNTK]

DEVOTEE (a.k.a. IRAN DEVOTEE); Vessel Registration Identification IMO 8309608 (vessel) [NPWMD]

DEVOTIONAL (a.k.a. IRAN DEVOTIONAL); Vessel Registration Identification IMO 8309684 (vessel) [NPWMD]

DHEWELLE CENTRE DE ESTETICA Y BELLEZA LTDA., Calle 8B No. 78-22, Bogota, Colombia; NIT #900049690-9 (Colombia) [SDNTK]


DHJ ENTERPRISES, INC., 811 S. Central Expwy, Ste 210, Richardson, TX 75080 [LIBERIA]

DIAMOND (a.k.a. IRAN DIAMOND); Vessel Registration Identification IMO 8309593 (vessel) [NPWMD]

DIA DE MENDONCA, Leonardo (a.k.a. DIA DE MENDONA, Leonardo; a.k.a. DIAZ MENDONCA, Leonardo); DOB 12 Jan 1963; alt. DOB 1 Dec 1963; alt. DOB 21 Nov 1963; POB Brazil (individual) [SDNTK]

DIAZ CASTRO, Maria Teresa (a.k.a. DIAZ DE TIRADO, Maria Teresa), c/o PRODUCTOS FARMACEUTICOS COLLINS, S.A. DE C.V., Zapopan, Jalisco, Mexico; c/o INSUMOS ECOLOGICOS DEL ORIENTE, S.A. DE C.V., Guadalajara, Jalisco, Mexico; DOB 23 Jan 1948; POB Sinaloa, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. DICT480123MSLZSR05 (Mexico); R.F.C. DICT48012337 (Mexico) (individual) [SDNTK]

DIAZ CHACON, Inmaculada, c/o EUROMAR CARIBE S.A., Cartagena, Colombia; c/o INVERSIONES EL PROGRESO S.A., Cartagena, Colombia; Cedula No. 40976673 (Colombia) (individual) [SDNTK]

DIAZ GONZALEZ, Rolando, Frankfurt, Germany (individual) [CUBA]

DIAZ HERRERA, Carlos Olimpo, c/o CAMBIOS NASDAQ LTDA, Bogota, Colombia; DOB 07 Feb 1954; POB Pandi, Cundinamarca, Colombia; citizen Colombia; nationality Colombia; Cedula No. 11256681 (Colombia); Passport 11256681 (Colombia) (individual) [SDNTK]

DIAZ HERRERA, Jose Ricardo, c/o PROMOTORA HOTELERA LTDA, Bogota, Colombia; DOB 16 Aug 1958; POB Venecia, Cundinamarca, Colombia; citizen Colombia; Cedula No. 7926354 (Colombia) (individual) [SDNTK]

DIAZ HERRERA, Jose Ricarte, c/o PROMOTORA HOTELERA LTDA, Bogota, Colombia; DOB 16 Aug 1958; POB Venecia, Cundinamarca, Colombia; citizen Colombia; Cedula No. 7926354 (Colombia) (individual) [SDNTK]

DIAZ LOPEZ, Mateo, Calle Mundial No. 55, Nuevo Laredo, Tamaulipas, Mexico; Sinaloa No. 10, Kilometer 10, Nuevo Laredo, Tamaulipas, Mexico; Calle Ramiro Pena No. 829, Colonias Electristas, Nuevo Laredo, Tamaulipas, Mexico; Veracruz No. 500 o 550, Colonia Electricistas, Nuevo Laredo, Tamaulipas, Mexico; Calle Habana No. 2204, Colonias Americano Villareal, Nuevo Laredo, Tamaulipas, Mexico; Calle Chihaushua No. 806 o 815, Cerca de la esquina de Calle Ruiz Cortines, Nuevo Laredo, Tamaulipas, Mexico; Calle Guatema No. 5610, Colonias Hipodromo, Nuevo Laredo, Tamaulipas, Mexico; Calle Tiera Del Soconusco No. 252, Colonia Electricistas, Nuevo Laredo, Tamaulipas, Mexico; Calle Guatema No. 5610, Colonias Hipodromo, Nuevo Laredo, Tamaulipas, Mexico; DOB 11 Sep 1973; alt. DOB 1974; POB Valle Hermoso, Tamaulipas; alt. POB San Rafael, Tabasco, Mexico; alt. POB La Libertad, Cunduacan, Tabasco, Mexico; citizen Mexico; nationality Mexico (individual) [SDNTK]

DIAZ MATIZ, Maria Cecilia, c/o LEMOFAR LTDA., Bogota, Colombia; DOB 16 May 1950; Cedula No. 41510046 (Colombia); Passport 41510046 (Colombia) (individual) [SDNTK]
DIAZ OREJUELA, Miguel Angel, c/o DIZRIVER Y CIA. S. EN C., Bogota, Colombia; c/o CAMBIOS EURO LTDA, Bogota, Colombia; DOB 15 May 1963; POB Bogota, Colombia; citizen Colombia; nationality Colombia; Cedula No. 17412428 (Colombia); Passport A1841119 (Colombia) (individual) [SDNTK]

DIAZ, Alberto, c/o INMOBILIARIA U.M.V. S.A., Cali, Colombia; Carrera 66 No. 5-23, Cali, Colombia; c/o CONSTRUCTORA DIMISA LTDA., Cali, Colombia; c/o CONCRETOS CALI S.A., Cali, Colombia; DOB 2 Jan 1956; Cedula No. 16250623 (Colombia) (individual) [SDNT]

DIAZ, Manuel, c/o INMOBILIARIA GALES LTDA., Bogota, Colombia; c/o COMERCIALIZADORA EXPERTA Y CIA. S. EN C., Bogota, Colombia; c/o COMERCIAL DE NEGOCIOS CLARIDAD Y CIA., Bogota, Colombia; DOB 10 Feb 1954; Cedula No. 396358 (Colombia) (individual) [SDNT]

DIAZ, Rosa Isabel, c/o INVHERESA S.A., Cali, Colombia (individual) [SDNT]

DIB EL MALT, Abdul Naser, Calle 85 No. 12–10, Oficina 213 y/o Local 3, Colombia; DOB 20 Aug 1967; citizen Colombia; nationality Lebanon; Cedula No. 278392 (Colombia); Passport 0218196 (Lebanon) (individual) [SDNT]

DIGNIFIED (a.k.a. IRAN DIGNIFIED); Vessel Registration Identification IMO 8309701 (vessel) [NPWMD]

DIMABE LTDA., Diagonal 127A No. 30-25, Bogota, Colombia; NIT #800107988–4 (Colombia) [SDNTK]

DIODATO DEL GALLO, Marco Marino (a.k.a. RENATO), Bolivia; DOB 28 Jan 1987; POB Italy; citizen Italy; alt. citizen Bolivia; nationality Italy; Passport 072130–A (Italy) (individual) [SDNTK]

DIPLOMAT (a.k.a. IRAN DIPLOMAT); Vessel Registration Identification IMO 8309701 (vessel) [NPWMD]

DIRECCION COMERCIAL Y MARKETING CONSULTORIA EMPRESA UNIPersonal (a.k.a. D.C.M. CONSULTORIA E.U.), Calle 12B No. 27-39, Bogota, Colombia; Transversal 4 No. 116A–08, Bogota, Colombia; NIT #800097881–4 (Colombia) [SDNT]

DISCO S.A., Km. 3.5 Autop. Medellin Via Sibaria Costado Sur Terminal Terrestre de Carrera Bloque 4 Bod. 32, Cota, Cundinamarca, Colombia; NIT #860517890–9 (Colombia) [SDNTK]

DROGAS LTDA. (a.k.a. RAMIREZ Y CIA. LTDA.), Calle 39 No. 17-42, Neiva, Huila, Colombia; Calle 15 No. 11–34, Pasto, Narino, Colombia; Apartado Aereo 30530, Cali, Colombia; Carrera 38 No. 13–138 Acopt, Yumbo, Valle, Colombia; Carrera 1D Bis. No. 15-55, Neiva, Huila, Colombia; NIT #800506578–2 (Colombia) [SDNT]

DURDOCOP (a.k.a. COOPERATIVA MULTIACTIVA DE EMPLEADOS DE

SUPERMERCADOS Y AFINES; f.k.a. DISTRIBUIDORA MIGIL BOGOTA LTDA.; f.k.a. DISTRIBUIDORA MIGIL CALI S.A.; f.k.a. DISTRIBUIDORA MIGIL BOGOTA LTDA.; f.k.a. GRACADAL S.A.; f.k.a. MIGIL), Carrera 26 No. 5B-65, Cali, Colombia; Carrera 30 No. 5-12, Cali, Colombia; Calle 5C No. 41–30, Cali, Colombia; NIT #805906307–5 (Colombia) [SDNT]

DISTRIBUCIONES GLOMIL LTDA. (a.k.a. AUTOSERVICIO CIUDAD JARDIN; a.k.a. AUTOSERVICIO PENON), Carrera 105 No. 15A–53, Cali, Colombia; Avenida Colombia No. 2–45, Cali, Colombia; Carrera 2 Oeste No. 2–54 ap. 201, Cali, Colombia; NIT #805006239–6 (Colombia) [SDNT]

DISTRIBUIDOR AUTORIZADO TEQUILA 4 REYES, S. DE R.L., Tijuana, Baja California, Mexico [SDNTK]

DISTRIBUIDORA AGROPECUARIA COLOMBIANA S.A. (a.k.a. DIAGRAN), Avenida 3 Bis Norte No. 23C-69, Cali, Colombia; NIT #805011649–7 (Colombia) [SDNT]

DISTRIBUIDORA BABY PANALES, Calle 14 No. 9–53, Cali, Colombia; Calle 14 No. 9–45, Cali, Colombia; Matricula Mercantil No 597392–9 (Colombia) [SDNTK]

DISTRIBUIDORA DE DROGAS CONDON LTDA. (a.k.a. CONDOR), Calle 68 52–65, Bogota, Colombia; Calle 10 No. 32A–64, Bogota, Colombia [SDNT]

DISTRIBUIDORA DE DROGAS LA REBAJA S.A. (a.k.a. DISTRIBUIDORA DE DROGAS LA REBAJA PRINCIPAL S.A.; a.k.a. DROGAS LA REBAJA), Carrera 7A 14–25 piso 2, Cali, Colombia; Carrera 99 No. 46 A-10 Big 6 y 8, Bogota, Colombia; Calle 18 121–130, Cali, Colombia; Calle 14 6–66, Cali, Colombia; Carrera 7 13–132 piso 4, Cali, Colombia; Calle 10 No. 4–47 Piso 19, Cali, Colombia; Carrera 10 11–71, Cali, Colombia [SDNT]

DISTRIBUIDORA DE ELEMENTOS PARA LA CONSTRUCCION S.A. (a.k.a. D'ELCON S.A.), Carrera 23D No. 13B–59, Cali, Colombia; NIT #800117508–2 (Colombia) [SDNT]

DISTRIBUIDORA DE HERMOSILLO GAXIOLA HERMANOS S.A. DE C.V. (a.k.a. MADYVA), Blvd. Luis Enclinas 561, Esquina Alberto Truqui, Colonia Pimentel, Hermosillo, Sonora, Mexico; Fco. Eusebio Chavez 177–7, Col. 5 de Mayo, Hermosillo, Sonora 83010, Mexico; Guadalajara, Jalisco, Mexico; R.F.C. DHG000177V3 (Mexico) [SDNTK]

DISTRIBUIDORA DE MEDICAMENTOS DISFOGEN LTDA. (a.k.a. DISFOGEN LTDA.), Carrera 42C No. 22C–36, Bogota, Colombia; Calle 13 No. 27–39 Int. 4, Bogota, Colombia; NIT #830116941–6 (Colombia) [SDNT]

DISTRIBUIDORA DEL VALLE E.U., Calle 18 No. 108–96 of. 303, Cali, Colombia; Diag., 23 Tr. 10–99, Cali, Colombia; NIT #805007212–7 (Colombia) [SDNT]
Office of Foreign Assets Control, Treasury

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DISTRIBUTORA GRAN AUTO S.A. DE C.V., Hermosillo, Sonora, Mexico; R.F.C. DGA960531INUA (Mexico) [SDNTK]

DISTRIBUTORA IMPERIAL DE BAJA CALIFORNIA, S.A. DE C.V. (a.k.a. DIBC; a.k.a. DISTRIBUTORA IMPERIAL), Avenida Rio Nazas 10202, Tijuana, Baja California, Mexico; Bvd. Agua Caliente 1381, Colonia Revolucion, Tijuana, Baja California, Mexico; Luz Savinon 718-C Colonia del Valle, Mexico City, Distrito Federal, Mexico; Heroes de Nacozari 3231 Colonia Maya, Culiacan, Sinaloa, Mexico; Lerdo de Tejada 1879 Sector Juarez, Guadalajara, Jalisco, Mexico; Rio Balsas 1579 Los Nogales, Ciudad Juarez, Chihuahua, Mexico; Ramon Morales No. 792 Colonia El Mirador, Guadalajara, Jalisco, Mexico; P.O. Box 424440, San Ysidro, CA 92173; R.F.C. DIBR-771116-BQI (Mexico) [SDNTK]

DISTRIBUTORA MIGIL LTDA. (f.k.a. DISTRIBUTORA MIGIL BOGOTA LTDA.; a.k.a. DISTRIBUTORA MIGIL CALI S.A.; a.k.a. MIGIL), Carrera 26 5B-65, Cali, Colombia; Calle 57 #41-30, Cali, Colombia; Carrera 30-5-12, Cali, Colombia [SDNT]

DISTRIBUTORA MYRAMEZ S.A., Calle 3BN No. 2BN-49 apt. 58A, Cali, Colombia; Carrera 48A No. 49A-49, Bogota, Colombia [SDNT]

DISTRIBUTORA SANAR DE COLOMBIA S.A., Carrera 3 No. 11-32 of. 939, Cali, Colombia; Carrera 13A No. 89-38, of. 713, Bogota, Colombia; Calle 18 No. 106-98 of. 206, 207, 302 and 303, Cali, Colombia; NIT #856017728-0 (Colombia) [SDNT]

DISTRIBEXPORT COMERCIALIZADORA INTERNACIONAL S.A. (a.k.a. DISTRIBEXPORT C.I. S.A.; a.k.a. DISTRIBEXPORT S.A.), Carrera 70 No. 54-38, Bogota, Colombia; Carrera 28 No. 11-45 of. 712, Bogota, Colombia; Calle 12B No. 27-39, Bogota, Colombia; NIT #830047057-3 (Colombia) [SDNT]

DIVANDARI, Ali, c/o Bank Mellat, Tehran, Iran; DOB 1 Jul 1967; Pob Ghochan, Khorasan, Iran; nationality Iran (individual) [NPWMD]

DIVINE HOMES (a.k.a. DIVINE HOMES (PVT) LTD.), 12 Meredith Drive, Eastlea, Harare, Zimbabwe; 31 Kensington, Highlands, Harare, Zimbabwe; Shop #6, Hillside Shopping Center, Harare, Zimbabwe [ZIMBABWE]

DIZIVER Y CIA. S. EN C., Carrera 68B No. 78-24 Unidad 23 Interior 5 Apartamento 402, Bogota, Colombia; NIT #90001362-1 (Colombia) [SDNTK]

DJERMANE, Kamel (a.k.a. “ADEL”); (a.k.a. “BILAL”); a.k.a. “FODHIL”); DOB 1965; POB Oum el Bouaghi, Algeria; nationality Algeria (individual) [SDGT]

DJIGO, Jovan; POB Kalinovik, Bosnia-Herzegovina (individual) [BALKANS]

DJORDJEVIC, Vlastimir (a.k.a. DORĐEVIĆ, Vlastimir); DOB 1948; POB Konica, Vladićin Han municipality (individual) [BALKANS]

DJOUADI, Yahia (a.k.a. ABU AMAR, Yahia; a.k.a. “ABOU ALAM”; a.k.a. “ABU ALA’’); DOB 1 Jan 1967; POB M’Hamid, Sidi Bel Abbas, Algeria (individual) [SDGT]

DOJUE, Eugene Ngoran Kouadio; DOB 28 Dec 1969; alt. DOB 1 Jan 1966; POB Akakro, Cote d’Ivoire; Leader of Union for the Total Liberation of Cote d’Ivoire (Union pour la Liberation Totale de la Cote d’Ivoire, UPLTCI) (individual) [COTED]

DOCKRAT, Farhad Ahmed (a.k.a. DOCKRAT, Ahmed; a.k.a. DOCKRAT, Farhad; a.k.a. DOCKRAT, Farhad Ahmed; a.k.a. DOCKRAT, Farhad Ahmad; a.k.a. DOCKRAT, Maulana Farhad; a.k.a. DOCRATE, Farhad; a.k.a. “DOCKRAT, F.”), 386 Swanepoel Street, Erasmia, Pretoria, South Africa; DOB 28 Feb 1959; P.O. Box Pretoria, South Africa; nationality South Africa; National ID No. 590226123889055 (South Africa); Passport 44633407 (South Africa) expires 26 May 2014 (individual) [SDGT]

DOCKRAT, Junaid Ismail (a.k.a. DOCKRAT, Junaid; a.k.a. DOCRATE, Junaid; a.k.a. “AHMED, DR.”; a.k.a. “DOCKRAT, J. I.”), Johannesburg, South Africa; P.O. Box 42928, Fordsburg 2033, South Africa; 71 Fifth Avenue, Mayfair 2188, South Africa; DOB 16 Mar 1971; National ID No. 7103165798083 (South Africa) (individual) [SDGT]

DOLL EXPORT LTDA., Carrera 69C No. 9D-85 Int. 3 apto. 308, Bogota, Colombia; Sartrouville 78500, France; Nit #800212502-8 (Colombia) [SDNTK]

DOMINGUEZ GABIHELLO, Freddy Orlando (a.k.a. DOMINGUEZ GARIHELLO, Freddy Orlando), c/o INDUSTRIA AVICOLA PALMASECA S.A., Cali, Colombia; DOB 25 Apr 1960; Cedula No. 16659634 (Colombia) (individual) [SDNT]

DOMINGUEZ HERNANDEZ, Fernando Antonio, c/o DISMEROOP, Cali, Colombia; DOB 7 Aug 1964; Cedula No. 16701778 (Colombia) (individual) [SDNT]

DOMINGUEZ VELEZ, Jorge Enrique (a.k.a. “EL ONL”), c/o ERA DE LUZ LTDA. LIBRERIA CAFE, Cali, Colombia; DOB 09 Aug 1968; Cedula No. 16767305 (Colombia) (individual) [SDNT]

DOMINGUEZ, Carlos, Vinales Tours, Oaxaca 80, Roma, Mexico, D.F., Mexico (individual) [CUBA]

DOMINION INTERNATIONAL, United Kingdom [IRAQ2]

DONO MORALES, Edman Manuel, c/o GS PLUS CONSULTORES, S.A. DE C.V., Tijuana, Baja California, Mexico; Privada
Niza 3617 Int. 2, Colonia Playas de Tijuana, Tijuana, Baja California, Mexico; c/o GRUPO GAMAL, S.A. DE C.V., Guadalajara, Jalisco, Mexico; DOB 20 Jul 1966; POB Guadalajara, Jalisco, Mexico (individual) [SDNT]

DOOLEY, Michael P., Panama (individual) [CUBA]

DOSEN, Damir; DOB 7 Apr 1967; POB Crikina Polje, Bosnia-Herzegovina; ICTY indictee (individual) [BALKANS]

DOUGHERTY MONROY, Jose Rodrigo, 5ta Quilichao, Cali, Colombia; DOB 20 Apr 1966; POB Maldonado, Panama (individual) [SDGT]

DOOLEY, Michael P., Panama (individual) [CUBA]

DOSEN, Damir; DOB 7 Apr 1967; POB Crikina Polje, Bosnia-Herzegovina; ICTY indictee (individual) [BALKANS]

DOUGHERTY MONROY, Jose Rodrigo, 5ta Quilichao, Cali, Colombia; DOB 20 Apr 1966; POB Maldonado, Panama (individual) [SDGT]
Office of Foreign Assets Control, Treasury

Hayatabad, Peshawar, Pakistan; 53 Royal Shopping Plaza, Industrial Estate, Hayatabad, Peshawar, Pakistan [SDNTK]

DUIKER, Flats Farm, Zimbabwe [ZIMBABWE]


DUNBAR, Belle Y.; DOB 27 Oct 1967; alt. DOB 27 OCT 1963; Former Managing Director, Liberian Petroleum Refining Company (individual) [LIBERIA]

DUNBAR, Jenkins; DOB 10 Jan 1947; Former Minister of Lands, Mines, Energy of Liberia (individual) [LIBERIA]

DUPA BOTERO, Jorge Alirio, Calle 5 No. 5A–49, Buenaventura, Colombia; c/o INDUSTRIA DE PESCA SOBRE EL PACIFICO S.A., Buenaventura, Colombia; DOB 04 Jun 1949; Cedula No. 6150843 (Colombia) (individual) [SDNT]

DUQUE CORREA, Francisco Javier, c/o CORPORACION DE ALMACENES POR DEPARTAMENTOS S.A., Bogota, Colombia; c/o ALMACENS S.A., Bogota, Colombia; c/o G.L.G. S.A., Bogota, Colombia; DOB 04 Apr 1948; POB Medellin, Colombia; Cedula No. 8292581 (Colombia); Passport P009253 (Colombia) (individual) [SDNT]

DUQUE GAVIRIA, Ivan Roberto (a.k.a. “ERNESTO BAEZ”); DOB 09 May 1955; POB Aguadas, Caldas, Colombia; Cedula No. 10241198 (Colombia) (individual) [SDNTK]

DUQUE MARTINEZ, Diego Fernando, c/o GENERICOS ESPECIALES S.A., Bogota, Colombia; DOB 31 Jan 1972; Cedula No. 8191760 (Colombia); Passport 8191760 (Colombia) (individual) [SDNT]

DUQUE MARTINEZ, Maria Consuelo (a.k.a. DUCHE DE GIRALDO, Maria Consuelo), c/o LABORATORIOS KRESSFOR DE COLOMBIA S.A., Bogota, Colombia; c/o FARMACOOP, Bogota, Colombia; DOB 19 May 1955; Cedula No. 4716206 (Colombia) (individual) [SDNT]

DUQUE, Carlos Jaen, Panama (individual) [CUBA]

DURAN DAZA, Diego, c/o Composer Ltda., Bogota, Colombia; c/o PROSALUD S.A., Y BIENESTAR S.A., Cali, Colombia; DOB 25 Oct 1958; Cedula No. 16260556 (Colombia); Passport 16260556 (Colombia) (individual) [SDNT]

DURAN PORRAS, Gloria Amparo, c/o Franzul S.A., Medellin, Colombia; c/o HIERNOS DE JERUSALEM S.A., Medellin, Colombia; DOB 11 Feb 1968; alt. DOB 02 Nov 1968; Cedula No. 4389110 (Colombia) (individual) [SDNT]

DURANT PROPERTIES LIMITED, Haven Court, 5 Library Ramp, Gibraltar, United Kingdom [IRAQ2]

DURATEX S.A. (f.k.a. INVERSIONES JEDA S.A.), Calle 116 No. 19–22, Bogota, Colombia; Carrera 61 No. 17–07, Bogota, Colombia; Avenida 19 No. 95–15 Local 1, Bogota, Colombia; NIT #800054658–3 (Colombia) (individual) [SDNT]

DURGACO, London, United Kingdom [CUBA]

DURGUTI, Safet (a.k.a. “ABU-SUMAYA”); DOB 10 May 1967; POB Orahovac, Kosovo; Bosnian Personal ID No. 10056763958; Passport 1144602 (Bosnia and Herzegovina) (individual) [SDGT]

DUTY FREE SHOPS CORPORATION, P.O. Box 1789, Khartoum, Sudan [SUDAN]

DUZCAN, Ceylan, United Arab Emirates; DOB 01 Mar 1975; POB Savsat, Turkey; citizen Turkey; Driver’s License No. 11550 (Turkey); Passport 315488 (Turkey) (individual) [SDNT]

DWIYARKA, Agus; DOB 11 Aug 1984; POB Makassar, South Sulawesi, Indonesia; nationality Indonesia; currently incarcerated in the Philippines (individual) [SDGT]

DYNAMIZE (a.k.a. IRAN DYNAMIZE); Vessel Registration Identification IMO 8396934 (vessel) [NPWMD]

EAGLE COMMUNICATION BROKERS INC., Panama City, Panama [SDNT]

EAST ISLAND SHIPPING CO. LTD., c/o EMPRESA DE NAVEGACION MAMHISA, Apartado 545, San Ignacio 104, Havana, Cuba [CUBA]

EAST ISLANDS, (vessel) [CUBA]

EASTERN TURKISTAN ISLAMIC MOVEMENT (a.k.a. EASTERN TURKISTAN ISLAMIC PARTY; a.k.a. ETIM; a.k.a. ETIP) [SDGT]

ECHEVERRIA SIMARRO, Leire; DOB 20 Dec 1977; POB Basauri (Vizcaya Province), Spain; D.N.I. 45.625.646; member ETA (individual) [SDGT]

ECHEGARAY ACIRICHA, Alfonso; DOB 10 Jan 1968; POB Piencia (Vizcaya Province), Spain; D.N.I. 16.027.051; member ETA (individual) [SDGT]

ECHEVERRI, German, Panama (individual) [CUBA]

ECHEVERRI CADAVID, Nebio De Jesus (a.k.a. ECHEVERRI, Nebio); c/o ECHEVERRI, Nebio, Carrera 38 No. 26B–11, Villavicencio, Colombia; Carrera 38 No. 50–01, Villavicencio, Colombia; c/o HACIENDA VENDAVAL, Paratebueno, Cundinamarca, Colombia; c/o PROVEDORES Y DISTRIBUIDORES NACIONALES S.A., Bogota, Colombia; Carrera 19 No. 46–43, Pereira, Colombia; DOB 28 Nov 1944; Cedula No. 10056431 (Colombia) (individual) [SDNTK]

ECHEVERRY HERRERA, Hernando (a.k.a. ECHEVERRI, Hernando), c/o INDUSTRIA DE PESCA SOBRE EL PACIFICO S.A., Buenaventura, Colombia;
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CEDULA No. 1625525 (COLOMBIA) (individual) [SDNT]
ECHEVERRY TRUJILLO, Oscar Alberto, c/o M.O.C. ECHEVERRY HERMANOS LTDA., Cali (Colombia); c/o COLOR 99.5 FM STÉREO, Cali, Colombia; Avenida 4N No. 17-23 piso 1, Cali, Colombia; Calle 4N No. 4-05, Cali, Colombia; DOB 21 Oct 1964; Cedula No. 16255265 (Colombia) (individual) [SDNT]
ECHON DELTA HOLDINGS LTD, Newboudary House, London Road, Sunningdale, Ascot, Berkshire SL5 0DJ, United Kingdom; Thetford Farm, P.O. Box HP66, Mount Pleasant, Harare, Zimbabwe; Hurst Grove, Sandford Lane, Hurst, Reading, Berkshire RG10 0SQ, United Kingdom [ZIMBABWE]
ECIM, Ljuban; DOB 6 Jan 1964; POB Sablanca, Morocco; nationality Germany; Alternate DOB 31 Mar 2003 (individual) [SDGT]
ECHELLOI, S.A., Panama [CUBA]
EDITORIA TRANSPARENCIA S.A., Jr. EIRIN FARM, Marondera, Zimbabwe [ZIMBABWE]
EDICIÓN CUBANA, Spain [CUBA]
EDIFICACIONES DEL CARIBE LTDA. [NPWMD]
EDIFICACIÓN DEL CARIBE LTDA. (individual) [SDGT]
EDOBI EXCHANGE COMPANY, Tehran, Iran [NPWMD]
EDOBI STOCK BROKERAGE COMPANY, Tehran, Iran [NPWMD]
EDICIONES CUBANAS, Spain [CUBA]
EDIFICACIONES DEL CARIBE LTDA (a.k.a. EDIFICAR), Calle 74 No. 53–30, Barranquilla, Colombia; NIT #890108103–5 (Colombia) [SDNT]
EDITORA TRANSPARENCIA S.A., Jr. Bolognesi 125, Dpto. 301, Lima, Peru; RUC #20308146885 (Peru) [SDNTK]
EDYJU, S.A., Panama [CUBA]
EGGGLETON, Wilfred, Baja California 255, Mexico; Director General, Edificio B., Oficina 103, Condesa, Mexico, D.F. 06500, Mexico; Director General, Cubanatur (individual) [CUBA]
EIRIN FARM, Marondera, Zimbabwe [ZIMBABWE]
EJERCITO REVOLUCIONARIO POPULAR (individual) [SDGT]
EL-HABHAN (a.k.a. EL GEZIRA AUTOMOBILE COMPANY), P.O. Box 466/1722, United Nations Square, Abu Dhabi City, United Arab Emirates; P.O. Box 466, Khartoum, Sudan; P.O. Box 6013, Abu Dhabi City, United Arab Emirates; P.O. Box 4661722, United Nations Square, Khartoum, Sudan [SUDAN]
EL TAKA AUTOMOBILE COMPANY (a.k.a. EL TAKA AUTOMOBILE COMPANY), P.O. Box 221, Khartoum, Sudan [SUDAN]
EL-ALICH, Dhou (a.k.a. “ABDEL HAK”); DOB 5 Aug 1964; POB Debila, Algeria (individual) [SDGT]
EL CORO AYASTUY, Paolo; DOB 22 Oct 1973; POB Vergara, Guipuzcoa Province, Spain; D.N.I. 15.394.062 (Spain); Member ETA (individual) [SDGT]
ELCOTAY ANTI-TERRORISTA ARMY OF COLOMBIA) (individual) [SDGT]
NASIR AREA, Gaza City, Gaza, Palestinian; Lebanon; Ramallah, West Bank, Palestinian; Tulkarm, West Bank, Palestinian; P.O. BOX 368, Hebron, West Bank, Palestinian; Jenin, West Bank, Palestinian [SDGT]

ELEVENTH OCEAN ; Vessel Registration Identification IMO 9299324 (vessel) [NPWMD]


ELOSTA, Abdelrazag Elsharif (a.k.a. ABU MUAWIYA; a.k.a. AL USTA, Abdelrazag Elsharif; a.k.a. AL-MULAY, 'Abd; a.k.a. AL-USTA, 'Abd Al-Razzaq Al-Sharif; a.k.a. SHARIF, 'Abd Al-Razzaq), undetermined; DOB 1 May 1950; P.O.B: Libya; nationality Libya (individual) [SDGT]

ELSHANI, Gafur; DOB 29 Mar 1958; P.O.B: Suva Reka, Serbia and Montenegro (individual) [BALKANS]

EMERALD ISLANDS (vessel) [CUBA]

EMIRATES AND SUDAN INVESTMENT

EMERALD ISLANDS (vessel) [CUBA]

EMIRATES AND SUDAN INVESTMENT

EMPRESA CUBANA DE PESCADOS Y

EMIRATES AND SUDAN INVESTMENT

ENTREGA DE CORRESPONDENCIA OPORTUNA, S.A. DE C.V., Madero 941 21 A, Entre Carrillo Puerto y Diaz Miron, Zona Central, Tijuana, Baja California, Mexico; R.F.C. ECO–990920–7H6 (Mexico) [SDNTK]

EPAMAC SHIPPING CO. LTD., c/o EMPRESA DE NAVEGACION MAMBISA, Apartado 545, San Ignacio 104, Havana, Cuba [CUBA]

ERA DE LUZ LTDA.; LIBRERIA CAFE, Calle 16 No. 100–38, Cali, Colombia; NIT #825015968–8 (Colombia) [SDNT]

ES SAYED, Abdulkader Mahmoud (a.k.a. ES SAYED, Kader), Via del Bosco di Centocelle n.66, Rome, Italy; DOB 26 Dec 1962; P.O.B: Egypt; Italian Fiscal Code E56906700–6 (Italy) [NPWMD]

ESCALONA, Victor Julio, c/o C A V J CORPORATION, Barquisimeto, Lara, Venezuela; C.I.N. 7353288 (Venezuela); Passport A0029910 (Venezuela) [SDNTK]

ESCORTA, BUTTRAGO, Walter, c/o SERVIAUTOS UNO A 1A LIMITADA, Cali, Colombia; c/o INMOBILIARIA BOLIVAR LTDA., Cali, Colombia; NIT #579553839 (Colombia); Passport AD254557 (Colombia) [SDNTK]

ESCOSO, Chazaro, Raul, P.O. Box 62247, San Diego, CA 92144; c/o ENTREGA DE CORRESPONDENCIA OPORTUNA,,

EMPRESA DE EMPLEOS TEMPORALES

EMPRESA DE EMPLEOS TEMPORALES

LEON DEL GRAN OCEAN, Callao, Lima, Peru; RUC #2045820989 (Peru) [SDNTK]

ENDSHIRE EXPORT MARKETING, United Kingdom [IRAQ2]

ENGINEERING EQUIPMENT COMPANY, P.O. Box 97, Khartoum, Sudan; c/o ENGINEERING EQUIPMENT CORPORATION, undetermined [SUDAN]

ENGINEERING EQUIPMENT CORPORATION, P.O. Box 97, Khartoum, Sudan [SUDAN]

ENSAMBBLADORA COLOMBIANA AUTOMOTRIZ S.A. (a.k.a. E.C.A. S.A.), Carrera 39 No. 43–75, Barranquilla, Colombia; P.O. BOX 970069–1 (Colombia) [SDNT]

ENTREGA DE CORRESPONDENCIA OPORTUNA, S.A. DE C.V., Madero 941 21 A, Entre Carrillo Puerto y Diaz Miron, Zona Central, Tijuana, Baja California, Mexico; R.F.C. ECO–990920–7H6 (Mexico) [SDNTK]

EPAMAC SHIPPING CO. LTD., c/o EMPRESA DE NAVEGACION MAMBISA, Apartado 545, San Ignacio 104, Havana, Cuba [CUBA]

ERA DE LUZ LTDA.; LIBRERIA CAFE, Calle 16 No. 100–38, Cali, Colombia; NIT #825015968–8 (Colombia) [SDNT]

ES SAYED, Abdulkader Mahmoud (a.k.a. ES SAYED, Kader), Via del Bosco di Centocelle n.66, Rome, Italy; DOB 26 Dec 1962; P.O.B: Egypt; Italian Fiscal Code E56906700–6 (Italy) [NPWMD]

ESCORTA, BUTTRAGO, Walter, c/o SERVIAUTOS UNO A 1A LIMITADA, Cali, Colombia; c/o INMOBILIARIA BOLIVAR LTDA., Cali, Colombia; NIT #579553839 (Colombia); Passport AD254557 (Colombia) [SDNTK]

ESCOSO, Chazaro, Raul, P.O. Box 62247, San Diego, CA 92144; c/o ENTREGA DE CORRESPONDENCIA OPORTUNA,
ESPIBENA COMERCIALIZADORA DE MEDICAMENTOS GENERICOS S.A. (a.k.a. ESPIBENA S.A.), Luis Cordero 1154 y Juan Leon Mera, Edificio Gabriela Mistral, Quito, Ecuador; RUC #179170642001 (Ecuador) (SDNT)

ESPINOSA DE LOS MONTEROS RICO, Felipe De Jesus (a.k.a. ESPINOSA DE LOS RICO, Felipe de Jesus; a.k.a. ESPINIZA DE LOS MONTEROS, Felipe), c/o PRODUCTOS FARMACEUTICOS COL- LINS, S.A. DE C.V., Zapopan, Jalisco, Mexico; Mexico; Mexico; Avenida Naciones Unidas 5989, Cond. Ibiza Casa 34, Zapopan, Jalisco 63110, Mexico; c/o INSUMOS ECOLOGICOS DEL ORIENTE, S.A. DE C.V., Guadalajara, Jalisco, Mexico; c/o SALUD NATURAL MEXICANA, S.A. DE C.V., Zapopan, Jalisco, Mexico; DOB 15 Jun 1962; alt. DOB 15 Jan 1962; POB Mexico City; citizen Mexico; nationality Mexico; Passport 00140338688 (Mexico) (individual) (SDNTK)

ESPITIA ORTIZ, Mauricio Arturo (a.k.a. SPTTIA, Mauricio), c/o SPTTIA VALENCIA LTDA., Cali, Colombia; c/o GRUPO INVERSOR PRINCIPE DE VARGARA S.L., Madrid, Spain; Spain; Carrera 25 F No. 7-15 Oeste, Cali, Colombia; c/o M S CONSTRUCTORES LTDA., Cali, Colombia; Calle Ayala 64 3 Iz., Madrid 28001, Spain; Carrera 42 No. 8-36, Cali, Colombia; c/o ARQUITECTOS UNIDOS LTDA., Cali, Colombia; c/o ASA S.C.S., Cali, Colombia; DOB 29 Dec 1969; POB Barranquilla, Colombia; Cedula No. 16034827 (Colombia); Passport AJ2J2421 (Colombia) (individual) (SDNT)

ESPITIA PINILLA, Ricardo, Bogota, Colombia; DOB 28 Apr 1962; POB Colombia; citizen Colombia; nationality Colombia; Cedula No. 19483017 (Colombia); Passport A1262450 (Colombia) (individual) (SDNT)

ESQUIVEL PENA, William, c/o BANANERA AGRICOLA S.A., Santa Marta, Colombia; c/o UNIPAPEL S.A., Cali, Colombia; c/o FREDDY MAFLA Y CIA. S.C.S., Cali, Colombia; c/o AGRICOLA S.A., Santa Marta, Colombia; c/o ARQUITECTOS UNIDOS LTDA., Cali, Colombia; c/o GRUPO CONSTRUCTORES LTDA., Cali, Colombia; c/o M S CONSTRUCTORES LTDA., Cali, Colombia; c/o GRUPO INVERSOR PRINCIPE DE VERGARA S.L., Madrid, Spain; Spain; Carrera 25 F No. 7-15 Oeste, Cali, Colombia; c/o M S CONSTRUCTORES LTDA., Cali, Colombia; Calle Ayala 64 3 Iz., Madrid 28001, Spain; Carrera 42 No. 8-36, Cali, Colombia; c/o ARQUITECTOS UNIDOS LTDA., Cali, Colombia; c/o ASA S.C.S., Cali, Colombia; DOB 29 Dec 1969; POB Barranquilla, Colombia; Cedula No. 16034827 (Colombia); Passport AJ2J2421 (Colombia) (individual) (SDNT)

ESSAADI, Moussa Ben Amor Ben Ali (a.k.a. "ABDELRAHMAN"; a.k.a. "BECHIR"); a.k.a. "DAH DAH"), Via Milano n.108, Brescia, Italy; DOB 4 Dec 1964; POB Tabarka, Tunisia; nationality Tunisia; Passport L335915 issued 8 Nov 1996 expires 7 Nov 2001 (individual) (SDGT)

ESSAIDI, Zakarya (a.k.a. ESSABAR, Zakarya), Dortmunder Strasse 38, Hamburg 22419, Germany; DOB 13 Apr 1977; alt. DOB 3 Apr 1977; POB Essaouria, Morocco (individual) (SDGT)

ESSID, Sami Ben Khemais (a.k.a. ELSEIEID, Sami Ben Khamis Ben Saleh), Via Dubini n.3, Gallarate, VA, Italy; DOB 10 Feb 1968; POB Tunisia; nationality Tunisia; Italian Fiscal Code SSDBHN88B1O2332F; Passport K929139 issued 14 Feb 1995 expires 13 Feb 2009 (individual) (SDNT)

ESTAFO PUERTO RICO S.A. DE C.V. (a.k.a. ESTABLO LECHERO PUERTO RICO), Calle Indio De Guetalao Interior 2020, Colonía Miguel Hidalgo, Cllascan, Sinaloa, Mexico; Avenida Manuel Vallarta
Office of Foreign Assets Control, Treasury

241, Colonia Centro, Culiacan, Sinaloa 80129, Mexico; Carretera El Salado, Quila KM 4, Culiacan, Sinaloa, Mexico; R.F.C. EPR–00032–UM9 (Mexico) [SDNT]

ESVA S.C.S. (a.k.a. FLEXX GYM), Carrera 42 No. 8–36, Cali, Colombia; NIT #805019777–4 (Colombia) [SDNT]

ETCO INTERNATIONAL COMMODITIES LTD., Devonshire House, 1 Devonshire Street, London, United Kingdom [CUBA]

ETCO INTERNATIONAL COMPANY, LIM-

ITED, Kawabe Building, 1–5 Kanda Nishiki-

Cho, Chiyoda-Ku, Tokyo, Japan [CUBA]

EUROMAC EUROPEAN MANUFACTURER CENTER SRL, Via Ampere 5, Monza 20062, Italy [IRAQ2]

EUROMAC TRANSPORTI INTERNATIONAL SRL, Via Ampere 5, Monza 20062, Italy [IRAQ2]

EUROMAC, LTD, 4 Bishops Avenue, North-

wood, Middlesex, United Kingdom [IRAQ2]

EUROMÁR CARIBE S.A., Calle 7 No. 6–95, Edificio Marlin, Apto. 4A, Cartagena, Co-

lombia; Carrera 3 No. 8–38, Cartagena, Co-

lombia; NIT #806008708–6 (Colombia) [SDNT]

EUROPAÉISCH-IRANISCHE HANDBANK AG (f.k.a. DEUTSCH-

IRANISCHE HANDBANK AG), Depenau 2, W–2000, Hamburg 1, Germany; all offices worldwide [IRAN]

EUZKADI TA ASKATASUNA (a.k.a. TO-

SEH SADERAT IRAN; a.k.a. K.A.S.; a.k.a. POPULAR REVOLU-

TIONARY STRUGGLE; a.k.a. XAKI) [FTO]

EXCHANGE CENTER LTDA, Calle 183 No 45–

03 Local 328, Bogota, Colombia; Avenida

Carrera 19 No. 122–49 Local 13, Bogota, Co-

lombia; NIT #830003688–2 (Colombia)

EXPLORATION AND PRODUCTION Au-

THORITY (SUDAN), Kuwait Building, Nile

Avenue, Khartoum, Sudan; P.O. Box 2886,

Khartoum, Sudan [SUDAN]

EXPLOTACIONES AGRICOLAS Y

GANADERAS LA LORENA S.C.S. (a.k.a. 

EXAGAN), Calle 5 No. 22–39 of. 205, Cali, 

Colombia; Carrera 32 No. 22E–30, Cali, Co-

lombia; NIT #800083192–3 (Colombia)

EXPORT CAFE LTD., Carrera 7 No. 11–22

of. 413, Cali, Colombia [SDNT]

EXPORT DEVELOPMENT BANK OF IRAN

(a.k.a. BANK TOSEH SADERAT IRAN;

a.k.a. BANK TOWSEEH SADERAT IRAN;

a.k.a. EDBIH), No. 129, 21’s Khaled 

Eslamboli, No. 1 Building, Tehran, Iran;

Export Development Building, Next to the 

15th Alley, Bokharest Street, Argentina

Square, Tehran, Iran; Tose’e Tower, Corner of 

15th St., Ahmad Qasir Ave., Argentine 

Square, Tehran, Iran; C.R. No. 86936 (Iran);

All offices worldwide [NPWMD]

EXPORTADORA DEL CARIBE, Medira, Mex-

ico [ZIMBABWE]
Office of Foreign Assets Control, Treasury  

Ch. V, App. A

Colonia Buenos Aires Norte, Tijuana, Baja California, Mexico; Avenida Constitucion No. 1300, Tijuana, Baja California, Mexico; Avenida 16 de Septiembre No. 1100, Tijuana, Baja California, Mexico; Avenida Constitucion 823, Tijuana, Baja California, Mexico; Calle 4ta. Y Ninos Heroes 1802, Tijuana, Baja California, Mexico; Blvd. Diaz Ordaz No. 3133 3133, Tijuana, Baja California, Mexico; Blvd. Ejido Matamoros No. 402-1 Lomas Granjas la Espanola, Tijuana, Baja California, Mexico; Blvd. Agua Caliente 1381, Colonia Revolucion, Tijuana, Baja California, Mexico; Avenida Revolucion 651, Zona Centro, Tijuana, Baja California, Mexico; Plaza del Norte, M. Matamoros No. 10402, Frac. M. Matamoros, Tijuana, Baja California, Mexico; Avenida Benito Juarez No. 16-2, Rosarito, Baja California, Mexico; Paseo Colosio, Playas de Tijuana, Tijuana, Baja California, Mexico; Avenida Jose Lopez Portillo 131-B, Zona Oeste, Tijuana, Baja California, Mexico; Blvd. Sanchez Taboada 4002, Zona Rio, Tijuana, Baja California, Mexico; Blvd. Fundadores 817, Fraccionamiento El Ruh, Tijuana, Baja California, Mexico; Avenida Negrete No. 1200, Tijuana, Baja California, Mexico; Avenida Tecnologico 15300-308, Centro Comercial Otay Universidad, Tijuana, Baja California, Mexico; Avenida Segunda No. 1702, Tijuana, Baja California, Mexico; Avenida Constitucion y 13ma., Tijuana, Baja California, Mexico; Calle Benito Juarez 1914, Tijuana, Baja California, Mexico; Paseo Estrella del Mar 1075-B, Plaza La Correr, Playas de Tijuana, Tijuana, Baja California, Mexico; Avenida Jose Lopez Portillo 131-B, Modulos Otay, Tijuana, Baja California, Mexico; Blvd. Diaz Ordaz No. 1100-101, Tijuana, Baja California, Mexico; Calle Carrillo Puerto (3ra.), No. 1434-131, Tijuana, Baja California, Mexico; R.F.C. FVS-870610-LX3 (Mexico) [SDNTK]

FARMACOOP (a.k.a. COOPERATIVA MULTIACTIVA DE COMERCIALIZACION Y SERVICIOS FARMACOOP; f.k.a. LABORATORIOS KRESSFOR DE COLOMBIA S.A.), Calle 16 No. 28A-57, Bogota, Colombia; Calle 17A No. 28A-43, Bogota, Colombia; Avenida 7 No. 118-46, Bogota, Colombia; NIT #830010678-3 (Colombia) [SDNT]

FARMACOGAR (a.k.a. DROGUERIA FARMACOGAR COPSERVIR 19), Carrera 7 No. 118-38, Bogota, Colombia; Avenida 7 No. 118-46, Bogota, Colombia; NIT #830011679-3 (Colombia) [SDNT]

FARMALIDER S.A., Calle 17 Norte No. 3N-16, Cali, Colombia; NIT #806026183-2 (Colombia) [SDNT]

FARMATEL E.U. (a.k.a. TELEFARMA E.U.), Calle 93 No. 16-75, Bogota, Colombia [SDNT]

FARMEDIS LTDA., Calle 12 No. 5-07 of 301, Neiva, Colombia; Calle 17A No. 28A-43, Bogota, Colombia; Carrera 42C No. 22C-36, Bogota, Colombia; NIT #813009188-6 (Colombia) [SDNT]

FARMERS COMMERCIAL BANK (f.k.a. FARMERS BANK FOR INVESTMENT & RURAL DEVELOPMENT; a.k.a. FARMERS BANK FOR INVESTMENT AND RURAL DEVELOPMENT; f.k.a. SUDAN COMMERCIAL BANK), P.O. Box 1174, Gamborria Avenue, Khartoum, Sudan; P.O. Box 570, Port Sudan, Sudan; El Fau, Sudan; P.O. Box 45131, El Suk Elarabi, Sudan; Wad Madani, Sudan; P.O. Box 1116, El Kaer Avenue, Khartoum, Sudan; P.O. Box 412, El Obeid, Sudan; P.O. Box 36, New Haila, Sudan; P.O. Box 1, El Hawata, Sudan; P.O. Box 22, El Damazin, Sudan; P.O. Box 8, El Nuhud, Sudan; P.O. Box 8127, Khartoum, Sudan; P.O. Box 182, El Gadaref, Sudan; P.O. Box 899, Omdurman, Sudan; P.O. Box 1694, El Suk Elarangi, Khartoum, Sudan; P.O. Box 86, Industrial Area, Khartoum, Sudan; P.O. Box 384, Khartoum, Sudan [SUDAN]

FAOOGH, Mohammad; DOB 12 Mar 1949; nationality Pakistan; Passport S12252 (Pakistan) (individual) [NPWMD]

FAHRAHL HOLDINGS S.A., Switzerland [IRAQ2]

FAHAD AL-ISLAM, Nahr al-Barid Palestinian refugee camp, Lebanon [SDGT]

FAKER ENGINEERING INSTITUTE (a.k.a. FAETER INSTITUTE; a.k.a. FATER ENGINEERING COMPANY; a.k.a. GHARARGAHA FAETER INSTITUTE), No. 25, Vallias Joneobi, Azizi Street, Azadi Sq., NE, Tehran, Iran [NPWMD]

FAKKH, Jun’a Abdul, P.O. Box 1318, Amman, Jordan (individual) [IRAQ2]

FAYAD, Saleh Mahmoud (a.k.a. FAYYAD, Saleh Mahmoud); DOB 20 Oct 1972; POB Al-Taybe, Lebanon (individual) [SDGT]

FAYAD, Sobhi Mahmoud (a.k.a. FAYAD, Sobhi Mamout; a.k.a. FAYYAD, Sobhi Mahmoud; a.k.a. FAYAD, Subhi Mahmoud), 315, Piso 3, Galeria Page, Ciudad del Este, Paraguay (individual) [IRAQ2]

FAYAD, Saleh Mahmoud (a.k.a. FAYYAD, Saleh Mahmoud); DOB 20 Oct 1972; POB Al-Taybe, Lebanon (individual) [SDGT]

FEGO CANA E.U., Calle 11A No. 116-40 Casa 3, Cali, Colombia; Matricula Mercantil No 680973-5 (Colombia); NIT #830906983-4 (Colombia) [SDNT]

FERNANDEZ CASTRO, Fernando Alberto (a.k.a. “FERCHO”), c/o GIMNASIO BODY AND HEALTH, Barranquilla, Colombia; DOB 12 May 1966; POB Colombia; Cedula No. 7213913 (Colombia) (individual) [SDNT]

FERNANDEZ GRANADOS, Claudia, c/o CAJA SOLIDARIA, Bogota, Colombia; c/o COOMULCOSTA, Barranquilla, Colombia;
FIGUEROA DE BRUSATIN, Dacier, c/o W. FIGAL ARRANZ, Antonio Agustin; DOB 25 Dec 1948; POB Barranquilla, Colombia; Cedula No. 14697359 (Colombia); Passport AC 018964 (Spain) (individual) [SDNT]

FIORDALISIO, Rosario (a.k.a. "FIDUSER LTDA.", Calle 12A No. 27–72, Bogota, Colombia; NIT #800674650–5 (Colombia) [SDNT]

FINANCIACION Y EMPRESA S.A. (a.k.a. FINEMPRESA S.A.), Calle 16 Norte No. 9N–41, Cali, Colombia; NIT #800153965–0 (Colombia) [SDNT]

FINANZAS DEL NORTE LUIS SAIJH Y CIA. S.C.A. (f.k.a. FINANZAS DEL NORTE LTDA.), Calle 77 B No. 57–141, Ofc. 917, Barranquilla, Colombia; NIT #89018715–2 (Colombia) [SDNT]

FINVE S.A. (f.k.a. FINANCIERA DE INVERSIONES LTDA.), Calle 93A No. 14–17 Ofc. 711, Bogota, Colombia; Calle 93N No. 14–20 Ofc. 601, Bogota, Colombia; NIT #860074650–5 (Colombia) [SDNT]

FIORILLO BAPTISTE, Lester Raul, c/o CONSTRUCCIONES PROGRESO DEL PUERTO S.A., Puerto Tejada, Colombia; Calle 27 Norte No. 6AN–43, Cali, Colombia; Cedula No. 14967352 (Colombia); Passport 0797033–E (Spain); Passport AC 018964 (Spain) (individual) [SDNT]

FIRST EAST EXPORT BANK, P.L.C., Unit Level 10 (B1) Main Office Tower, Financial Park Labuan, Jalan Merdeka 87000 WP, Labuan, Malaysia; Business Registration Document #LL06889 (Malaysia) [NPWMD]

FIRST OF OCTOBER ANTIFASCIST RESISTANCE GROUP (a.k.a. “GRAPO”), Spain [SDGT]

FIRST PERSIA EQUITY FUND (a.k.a. FIRST PERSIAN EQUITY FUND; a.k.a. FPEF), Rafi Alley, Vali Asr Avenue, Nader Alley, P.O. Box 15875-3898, Tehran 15116, Iran; Cayman Islands; Commercial Registry Number 188924 (Cayman Islands) [NPWMD]

FISHING ENTERPRISE HOLDING, INC., Avenida Samuel Lewis, Edificio Comosa, Piso 16, Panama City, Panama; RUC #2183741937076 (Panama) [SDNT]

FIT INVESTMENT COMPANY, Ltd., Atlanta, Georgia; c/o UNDER PAR REAL ESTATE S.L., Marbella, Malaga, Spain; c/o QUANTICA PROJECT S.L., Marbella, Malaga, Spain; c/o TRACKING INOVATIONS S.L., Marbella, Malaga, Spain; Calle Marques Del Duero 76–3C San Pedro De Alcantara, Marbella, Malaga, Spain; Calle Sierra De Cazorla, Residencial La Cascada, Bloque 1, Bajos 1B, Marbella, Malaga, Spain; c/o INVERSIONES EL PROGRESO S.A., Cartagena, Colombia; c/o INVERSIONES LAMARC S.A., Cartagena, Colombia; c/o AURIGA INTERLEXUS S.L., Marbella, Malaga, Spain; c/o GENERAL DE OBRAS Y ALQUILERES S.A. Marbella, Malaga, Spain; c/o HORMAC PLANNING S.L., Maspalomas, Gran Canaria, Spain; c/o HORMAC PLANNING S.L., Marbella, Malaga, Spain; c/o INVERSIONES EL PROGRESO LTDA., Calle 93A No. 14–17 Ofc. 711, Bogota, Colombia; Calle 93N No. 14–20 Ofc. 601, Bogota, Colombia; NIT #860074650–5 (Colombia) [SDNT]

FITCH PARENTE, Pablo Antonio, Boulevard Francisco I. Madero Numero 1889, Colonia Centro, Ciudad de Mexico, Mexico; c/o MINERA RIO PRESIDIO S.A. DE C.V., Cullacan, Sinaloa, Mexico; c/o MINERA RIO CIANURY S.A. DE C.V., Cullacan, Sinaloa, Mexico; c/o MINERA RIO CIANURY S.A. DE C.V., Cullacan, Sinaloa, Mexico; c/o FINEMPRESA S.A., Calle 16 Norte No. 9N–41, Cali, Colombia; NIT #800153965–0 (Colombia) [SDNT]

FINANCIAL PRIMARY SECURITY CORPORATION, 20th Floor, 100 E. 40th Street, New York, New York, New York, New York; c/o FIDUSER LTDA., Calle 12A No. 27–72, Bogota, Colombia; NIT #800303139–8 (Colombia) [SDNT]

FIFTY SEVEN HOLDING, Calle 27 Norte No. 6AN–43, Cali, Colombia; NIT #89018715–2 (Colombia) [SDNT]

FIRST PERSIAN EQUITY FUND; a.k.a. FIRST PERSIAN EQUITY FUND; a.k.a. FPEF), Rafi Alley, Vali Asr Avenue, Nader Alley, P.O. Box 15875-3898, Tehran 15116, Iran; Cayman Islands; Commercial Registry Number 188924 (Cayman Islands) [NPWMD]

FISHING ENTERPRISE HOLDING, INC., Avenida Samuel Lewis, Edificio Comosa, Piso 16, Panama City, Panama; RUC #2183741937076 (Panama) [SDNT]

FIT CH. V, APP. A

31 CFR Ch. V (7–1–10 Edition)
FITCH TOVAR, Jose Manuel, c/o COPA DE PLATA S.A. DE C.V., Culiacan, Sinaloa, Mexico; c/o COMPANIA MINERA DEL RIO CIANURY S.A. DE C.V., Culiacan, Sinaloa, Mexico; c/o MINERA RIO PRESIDIO S.A. DE C.V., Culiacan, Sinaloa, Mexico; c/o MINERA LA CASTELLANA Y ANEXAS S.A. DE C.V., Culiacan, Sinaloa, Mexico; R.F.C. FTTH360828 (Mexico) (individual) [SDNTK]

FLETES Y TRANSPORTES GAXGAR S.A. DE C.V., Alberto Truqui 361, Col. Pimentel, CP 83188, Hermosillo, Sonora, Mexico; Hermosillo, Sonora 83188, Mexico; Boulevard Luis Encinas No 361-B Esquina Anapra, Colonia Truqui, Colonias Pimentel, Hermosillo, Sonora, Mexico; Guadalajara, Jalisco, Mexico; R.F.C. FTTG950807F20 (Mexico) (individual) [SDNTK]

FLIGHT DRAGON SHIPPING LTD., c/o ANGLO-CARIBBEAN SHIPPING CO. LTD., 4th Floor, South Phase 2, South Quay Plaza II, 183, March Wall, London, United Kingdom [CUBA]

FLORES BORREGO, Samuel (a.k.a. "SAMUEL FLORES FLORES"), Miguel Alemán, Tamaulipas, Mexico; Michoacan, Mexico; Reynosa, Tamaulipas, Mexico; DOB 06 Aug 1972; alt. DOB 22 Aug 1977; POB Tamaulipas, Mexico; alt. POB Distrito Federal, Mexico; citizen Mexico; nationality Mexico; C.U.I.P. FOFS770822H09576414 (Mexico) (individual) [SDNTK]

FLORES MONROY, Julio Cesar (a.k.a. FLORES, Julio C.), Calle Granito No. 2025, Seccion El Dorado, Fraccionamiento Monraz, Guadalajara, Jalisco, Mexico; Mexico; c/o ACCESSOS ELECTRONICOS, S.A. DE C.V., calle David Alfaro Siqueiros 2788 #201, Col. Zona Rio, Tijuana, Baja California, Mexico; C. Azteca la Col. Azteca, Tijuana, Baja California CP 22000, Mexico; calle Granito No. 602, Seccion El Dorado, Fraccionamiento Playas del Tijuana, Tijuana, Baja California, Mexico; c/o KONTROL ELECTRONICOS DE BAJA CALIFORNIA, S.A. DE C.V., Ave. Azueta 11750, Col. Libertad, Tijuana, Baja California CP 22490, Mexico; DOB 13 Jul 1944; POB Guadalajara, Jalisco, Mexico; Immigration No. A07369659 (United States) (individual) [SDNTK]

FLORES SALINAS, Mario Antonio, Avenida Hidalgo 1890, Colonia Ladrón de Guevara, Guadalajara, Jalisco, Mexico; Tarascos No. 3109-114, Fraccionamiento Monraz, Guadalajara, Jalisco, Mexico; C. Las Palmas No. 2700 Int. 14, Colonia Atlas Colomos, Zapopan, Jalisco, Mexico; Paseo Lomas del Bosque No. 2700 Int. 14, Colonia Lomas del Bosque, Guadalajara, Jalisco, Mexico; DOB 16 Mar 1937; alt. DOB 16 Mar 1940; alt. DOB 06 Mar 1940; POB Zacatecas, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. FOSM370316HZSLRR06 (Mexico); Passport 981400065448 (Mexico); R.F.C. FOSM–400316–K27 (Mexico); alt. R.F.C. FOSM–370316–K12 (Mexico); alt. R.F.C. FOSM–400316 (Mexico); alt. R.F.C. FOSM–370316–K24 (Mexico) (individual) [SDNT]

FLORES SOTO, Mario (a.k.a. FLORES SOTO, Mario Alberto), Calle Tierra del Socosunco 252, Nuevo Laredo, Tamaulipas, Mexico; Privada A2 28, Colonia Infonavit, Nuevo Laredo, Tamaulipas, Mexico; DOB 31 Oct 1967, POB Durango; citizen Mexico; nationality Mexico; C.U.R.P. FOSM671031HDLGTV03 (Mexico) (individual) [SDNTK]

FLORES GRAJALES, Yudy Lorena (a.k.a. FLORES GRAJALES, Yudi Lorena), Carrera 78 No. 3–46, Cali, Colombia; Carrera 8N No. 17A–12, Cartago, Colombia; c/o ADMINISTRADORA DE SERVICIOS VARIOS CALIMA S.A., Cali, Colombia; c/o CHAMARTIN S.A., Cali, Colombia; c/o SERVICIOS DE LA SABANA E.U., Bogota, Colombia; Cedula No. 32180561 (Colombia); Passport 32180561 (Colombia) (individual) [SDNT]

FLORES HERMANOS LTDA., (a.k.a. HOSTERIA LAS DOS PALMAS), Carrera 65 No. 34-35, Medellin, Colombia; Cedula No. #800069268 (Colombia) [SDNT]

FLORES SOTO, Mario (a.k.a. FLORES GRAJALES, Yudi Lorena), Carrera 78 No. 3–46, Cali, Colombia; Carrera 8N No. 17A–12, Cartago, Colombia; c/o ADMINISTRADORA DE SERVICIOS VARIOS CALIMA S.A., Cali, Colombia; c/o CHAMARTIN S.A., Cali, Colombia; c/o SERVICIOS DE LA SABANA E.U., Bogota, Colombia; Cedula No. 32180561 (Colombia); Passport 32180561 (Colombia) (individual) [SDNT]

FLORES REY, Carlos Jairo, a/o FLORES HERMANOS LTDA., Medellin, Colombia; citizen Colombia; nationality Colombia; Cedula No. 706608084 (Colombia) (individual) [SDNT]

FLORES UPEGUI, Eilkin de Jesus, a/o FLORES HERMANOS LTDA., Medellin, Colombia; c/o INVERSIONES FLOREZ Y CIA S.C.A., Medellin, Colombia; citizen Colombia; nationality Colombia; Cedula No. 70660660 (Colombia) (individual) [SDNT]

FLORES UPEGUI, Francisco Antonio (a.k.a. "DON PACHO"), a/o FLORES HERMANOS LTDA., Medellin, Colombia; c/o CANALES VENECIA LTDA., Envigado, Antioquia, Colombia; Calle 4 Sur No. 43B-46, Medellin, Colombia; DOB 10 May 1950; citizen Colombia; nationality Colombia; Cedula No. 8388988 (Colombia); Passport AG0786213 (Colombia) (individual) [SDNT]
FRANZUL S.A., Calle 16 No. 41–210 of. 802, Medellin, Colombia; NIT #810149587–2 (Colombia) [SDNT]

FREE LIFE PARTY OF KURDISTAN (a.k.a. KURDISTANE; a.k.a. PARTY OF FREE LIFE PARTY; a.k.a. FRONTERA VIRTUAL S.A., Carrera 12 No. 69–43, Cali, Colombia; NIT #830054536–9 (Colombia) [SDNTK]

FRIENDSHIP SPINNING FACTORY, A The Hague; DOB 1 Jan 1965; POB Tripoli, Libya; R.F.C. B9–3642–44 (Mexico); Driver's License No. 21631879-07 (Mexico); Address Document #54514–1 (Bahrain) expires 9 Jun 2009; Trade License No. 13368 (Bahrain); All branches worldwide [NPWMD]

G A ARDMORE PTE. LTD., 3 Shenton Way, 10–01 Shenton House, Singapore 068805, Singapore; 101 Cecil Street, 08–08 Tong Eng Building, Singapore 069533, Singapore [BURMA] [JADE]

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G A CAPITOL PTE. LTD., 3 Shenton Way, #10–01 Shenton House, Singapore 068805, Singapore [BURMA] [JADE]

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G A WHITEHOUSE PTE. LTD., 3 Shenton Way, #10-01 Shenton House, Singapore 068805, Singapore [BURMA]

G A GALIANO CUBILLOS, Mario Nelson, c/o GALAX TRADING CO., LTD. (a.k.a. GALAX GALARZA CORONADO, Jose Antonio (a.k.a. GALAPAGOS S.A., Calle 24N No. 6AN–15, Bogota, Colombia; Calle 164 No. 40–40, Bogota, Colombia; Domingo 190, Cali, Colombia; Calle 53 No. 25–30, Bogota, Colombia; Centro Comercial Galerias, Bogota, Colombia; Calle 164 No. 17–34 Piso 5, Bogota, Colombia; NIT #60023697–8 (Colombia) [SDNT]
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G A WHITEHOUSE PTE. LTD., 3 Shenton Way, 10–01 Shenton House, Singapore 068805, Singapore [BURMA] [JADE]
G M C GRUPO MAQUILACION COLOMBIANO, Carrera 66A No. 48–91, Bogota, Colombia; Calle 68B No. 105P–80, Bogota, Colombia; NIT #41322501 (Colombia) [SDNT]
GALINDO, Gilmer Antonio (a.k.a. GUZMAN GALINDO LEYVA, Esperanza, 536 Huerto Carnizo S/N, Tijuana, Baja California, Mexico; c/o PLAYA MAR S.A. DE C.V., Tijuana, Baja California, Mexico; c/o INVERSIONES HERREBE LTDA., Cali, Colombia; c/o COMERCIAL DE NEGOCIOS CLARIDAD Y CIA., Bogota, Colombia; c/o CONSTRUEXITO S.A., Cali, Colombia; c/o AGROPECUARIA Y REFORESTADORA HERREBE LTDA., Cali, Colombia; c/o INDUSTRIA AVICOLA PALMASECA S.A., Cali, Colombia; c/o COMERCIALIZADORA EXPERTA Y CIA. S. EN C., Bogota, Colombia; DOB 4 Jul 1978; Cedula No. 3153790 (Colombia); Passport AF127300 (Colombia) (individual) [SDNT]
GALINDO HERRERA, Diana Paola, c/o INMOBILIARIA GALES LTDA., Bogota, Colombia; c/o COMERCIALIZADORA EXPERTA Y CIA. S. EN C., Bogota, Colombia; DOB 17 Mar 1976; Cedula No. 16836419 (Colombia); Passport AP22965 (Colombia) (individual) [BALKANS]
GALINDO HERRERA, Diego Alexander, c/o INMOBILIARIA GALES LTDA., Bogota, Colombia; c/o INVERSIONES EL MUNDO S.A., Cali, Colombia; c/o COMERCIAL DE NEGOCIOS CLARIDAD Y CIA., Bogota, Colombia; c/o INDUSTRIA AVICOLA PALMASECA S.A., Cali, Colombia; c/o AGROPECUARIA Y REFORESTADORA HERREBE LTDA., Cali, Colombia; c/o COMERCIALIZADORA EXPERTA Y CIA. S. EN C., Bogota, Colombia; DOB 9 Feb 1977; Cedula No. 16383649 (Colombia); Passport AP22965 (Colombia) (individual) [BALKANS]
GALINDO LEYVA, Esperanza, 536 Huerto Place, Chula Vista, CA 91910; 850 Norella Street, Chula Vista, CA 91910; c/o INMOBILIARIA LA PROVINCIA S.A. DE C.V., Tijuana, Baja California, Mexico; c/o COMPLEJO TURÍSTICO OASIS, S.A. DE C.V., Playas de Rosarito, Rosarito, Baja California, Mexico; c/o FABRICA MAR S.A. DE C.V., Tijuana, Baja California, Mexico; DOB 16 Aug 1920; POB San Ignacio, Sinaloa, Mexico; Passport 99020017901 (Mexico) [BALKANS]
GALINDO, Gilmer Antonio (a.k.a. GUZMAN GALINDO LEYVA, Esperanza, 536 Huerto Carnizo S/N, Tijuana, Baja California, Mexico; c/o PLAYA MAR S.A. DE C.V., Tijuana, Baja California, Mexico; c/o INVERSIONES HERREBE LTDA., Cali, Colombia; c/o AGROPECUARIA Y REFORESTADORA HERREBE LTDA., Cali, Colombia; c/o COMERCIALIZADORA EXPERTA Y CIA. S. EN C., Bogota, Colombia; DOB 4 Jul 1978; Cedula No. 3153790 (Colombia); Passport AF127300 (Colombia) (individual) [BALKANS]
GALEANO RENDRREPO, Diego Mauro, c/o INVERSIONES EL MUNDO S.A., Medellin, Colombia; c/o INVERSIONES LICOM LTDA., Medellin, Colombia; c/o CASA DELGANADERO S.A., Medellin, Colombia; c/o ADMINISTRADORA GANADERA EL 45 LTDA., Medellin, Colombia; c/o GANADERIA LUNA HERMANOS LTDA., Medellin, Colombia; DOB 17 Mar 1976; POB Medellin, Colombia; Cedula No. 9862113 (Colombia) (individual) [SDNT]
GALERIA PAGE (a.k.a. GALERIA PAGE I), 899 Calle Regimiento Pirebebuy, Ciudad del Este, Paraguay [SDGT]
GALIC, Stanislav; DOB 12 Mar 1943; POB Goes, Bosnia-Herzegovina; ICTY indictee (individual) [BALKANS]
Office of Foreign Assets Control, Treasury

S. EN C., Bogota, Colombia; c/o CONSTRUEXITO S.A., Cali, Colombia; Carrera 4C No. 53-40 apt. 307, Cali, Colombia; c/o INDUSTRIA AVICOLA FLOREM S.A., Medellin, Colombia; c/o INMOBILIARIA GALEES LTDA., Bogota, Colombia; DOB 28 Dec 1948; Cedula No. 16261588 (Colombia); Passport AC824679 (Colombia) (individual) [SDNT]

GALLASTEGUI SODUPE, Lexuri; DOB 18 Jun 1968; POB Bilbao Vizcaya Province, Spain; D.N.I. 16.077.119; Member ETA (individual) [SDGT]

GALLEGOS CAÑO, Juan de la Cruz, c/o GAVIOTAS LTDA., Cartago, Valle, Colombia; Carrera 3 No. 6–39, El Aguila, Valle, Colombia; DOB 26 Feb 1956; POB El Aguila, Valle, Colombia; citizen Colombia; nationality Colombia; Cedula No. 6272570 (Colombia); Passport AF200694 (Colombia) (individual) [SDNT]

GALLEGOS RAMOS, Luis Alfredo, Calle 83 No. 14–130, Cali, Colombia; c/o INTERCONTINENTAL DE AVIACION S.A., Bogota, Colombia; c/o AEROVIAS ATLANTICO LTDA., Bogota, Colombia; c/o GREEN ISLAND S.A., Bogota, Colombia; c/o AEROCOMERCIAL ALAS DE COLOMBIA LTDA., Bogota, Colombia; DOB 7 Aug 1954; POB Cali, Colombia; Cedula No. 15365721 (Colombia); Passport AF133512 (Colombia); alt. Passport AE137469 (Colombia) (individual) [SDNT]

GALLEGOS RUBIO, Maribel, c/o "MARITZA"; a.k.a. "MERY"), Colombia; DOB 09 Apr 1964; POB Acacias, Meta, Colombia; citizen Colombia; nationality Colombia; Cedula No. 30846062 (Colombia); Passport AJ834783 (Colombia) (individual) [SDNT] [SDTNK]

GALLEGOS SOSSA, Rosa Esperanza, c/o CONSTRUCTORA DIMISA LTDA., Cali, Colombia; Calle 2AN No. 42BN–61, Cali, Colombia; c/o CONCRETOS CALI S.A., Cali, Colombia; DOB 1 May 1963; Cedula No. 34594198 (Colombia) (individual) [SDNT]

GALLEGOS VALENCIA, John Jairo (a.k.a. "DON JOTA"; a.k.a. "FREDDY"), c/o TECNICAR DIAGNOSTICENTRO S.A., Envigado, Colombia; c/o COMERCIALIZADORA DE CAPITALÉS LIMITADA, Medellin, Colombia; c/o LAVADERO EL CASTILLO, Medellin, Colombia; DOB 30 Jul 1950; POB Medellin, Colombia; Cedula No. 70126377 (Colombia); Passport AE1365721 (Colombia) (individual) [SDNT]

GALLARDO, Carlos, c/o PALMASECA S.A., Cali, Colombia; DOB 1 May 1963; Cedula No. 31233463 (Colombia); Passport #800119808–9 (Colombia) [SDNT]

GAMBIA NEW MILLENIUM AIR COMPANY (a.k.a. GAMBIA MILLENIUM AIRLINE; a.k.a. GAMBIA NEW MILLENIUM AIR), State House, Banjul, Gambia, The [LIBERIA]

GAMBOA MORALES, Luis Carlos, Carrera 9 No. 70A–35 Piso 7, Bogota, Colombia; c/o GAMBOA Y GAMBOA LTDA., Bogota, Colombia; DOB 20 Dec 1957; Cedula No. 3226659 (Colombia) (individual) [SDNT]

GAMBOA Y GAMBOA LTDA., Carrera 9 No. 70A–35 P. 7, Bogota, Colombia; NIT #80013226–1 (Colombia) [SDNT]

GAMEZ CIFUENTES, Norma Lucero; c/o DROCAR S.A., Bogota, Colombia; DOB 22 Jan 1958; Cedula No. 4167484 (Colombia); Passport 4167484 (Colombia) (individual) [SDNT]

GAMEZ, Gilberto, c/o ARCA DISTRIBUCIONES LTDA., Bogota, Colombia; Cedula No. 70864794 (Colombia) (individual) [SDNT]

GAMADA ARIZONA, Hacienda Arizona, Cauca, Antioquia, Colombia; Carrera 6A No. 1 Sur–188 of. 903, Medellin, Colombia; NIT #10062601–7 (Colombia) [SDNT]

GAMAN LUNA HERMANOS LTDA., Carrera 49 No. 61Sur–549, Medellin, Colombia; Carrera 49A No. 485–60 Bod. 102, Medellin, Colombia; NIT #811045831–8 (Colombia) [SDNT]

GAMBERIAS BILBAO LTDA., Carrera 4 No. 12–20 of. 206, Cartago, Valle, Colombia; Km 7 Via Cartago-Obando, Hacienda El Vergel, Cartago, Valle, Colombia; NIT #800146295–5 (Colombia) [SDNT]

GAMAMA DEL VALLE S.A., Avenida 2FN No. 24N–92, Cali, Colombia; Carrera 83 No. 6–50, Cali, Colombia; Carrera 61 No. 11–58, Cali, Colombia; NIT #80019608–9 (Colombia) [SDNT]

GARAAD, Mohamed Abdi (a.k.a. GARAAD, Abdi; a.k.a. GARAD, Mohamed; a.k.a. GARAD, Abdi); c/o GAMA’AT AL-ISLAMIYYA; a.k.a. AL-GAMA’AT; a.k.a. EGYPTIAN AL-GAMA’AT; a.k.a. IG; a.k.a. ISLAMIC GAMA’AT; a.k.a. ISLAMIC GROUP) [SDT] [FTO] [SDGT]

GAMEBE, Theophilus Pharaoh; DOB 20 Jun 1959; Passport ZA567469 (Zimbabwe); Chairman, Electoral Supervisory Commission (individual) [ZIMBABWE]

GAMBIA NEW MILLENIUM AIR COMPANY (a.k.a. GAMBIA MILLENIUM AIRLINE; a.k.a. GAMBIA NEW MILLENIUM AIR), State House, Banjul, Gambia, The [LIBERIA]

GAMBOA Y GAMBOA LTDA., Carrera 9 No. 70A–35 P. 7, Bogota, Colombia; NIT #80013226–1 (Colombia) [SDNT]

GAMBOA Y GAMBOA LTDA., Carrera 9 No. 70A–35 P. 7, Bogota, Colombia; NIT #80013226–1 (Colombia) [SDNT]

GAMBE, Theophilus Pharaoh; DOB 20 Jun 1959; Passport ZA567469 (Zimbabwe); Chairman, Electoral Supervisory Commission (individual) [ZIMBABWE]

GAMBIAN AIRWAYS LTD., Aisstock, Development, Zimbabwe; c/o GAMBIA NEW MILLENIUM AIR COMPANY (a.k.a. GAMBIA MILLENIUM AIRLINE; a.k.a. GAMBIA NEW MILLENIUM AIR), State House, Banjul, Gambia, The [LIBERIA]
GARCES VARGAS, Elmo, c/o INVERSIONES EL PENON S.A., Cali, Colombia; c/o INVERSIONES BETANIA LTDA., Cali, Colombia; c/o SOCOVALLE, Cali, Colombia; DOB 20 Jul 1953; Cedula No. 16837893 (Colombia) (individual) [SDNT]
GARCIA ALBERT, Maria Remedios (a.k.a. "IRENE"); a.k.a. "SORAYA"); Spain; DOB 17 Feb 1961; POB Avila, Spain; D.N.I. 00263969-T (Spain); International FARC Commission Member for Spain (individual) [SDNTK]
GARCIA BUTRAGO, Mijer Alberto (a.k.a. "CHIQUI"); DOB 13 Jul 1970; POB Manzanares, Caldas, Colombia; Cedula No. 10297969 (Colombia); Passport AH132212 (Colombia) (individual) [SDNT]
GARCIA DURAN, Maria Del Rosario, c/o GARCES VARGAS, Elmo, c/o INVERSIONES BETANIA LTDA., Cali, Colombia; c/o SOCOVALLE, Cali, Colombia; DOB 20 Jul 1953; Cedula No. 16837893 (Colombia) (individual) [SDNT]
GARCIA MONTILLA, Edgar Alberto (a.k.a. GARCIA MANGILL, Edgar Alberto; a.k.a. GARCIA MOGAR, Edgar; a.k.a. GARCIA MONTILLA, Edgar Alberto, c/o COMERCIALIZACION Y FINANCIACION DE AUTOMOTORES S.A., Cali, Colombia; c/o REVISTA DEL AMERICA LTDA., Cali, Colombia; c/o LABORATORIOS KRESSFOR DE COLOMBIA S.A., Bogota, Colombia; DOB 28 Nov 1946; Cedula No. 14936775 (Colombia); Passport AC36547 (Colombia); alt. Passport PE009863 (Colombia); alt. Passport AA294885 (Colombia); alt. Passport PO364986 (Colombia) (individual) [SDNT]
GARCIA PIZARRO, Gentil Velez, c/o GALAPAGOS S.A., Cali, Colombia; Cedula No. 6616866 (Colombia) (individual) [SDNT]
GARCIA RODRIGUEZ, Martha, c/o TRANSPORTES MICHAEL LTD., Barranquilla, Colombia; c/o COOPERATIVA DE SERVICIO DE TRANSPORTE DE CARGA DE COLOMBIA LTDA., Barranquilla, Colombia; c/o CENTRO DE BELLUEA SHARY VERGARA, Barranquilla, Colombia; POB Colombia; Cedula No. 32761805 (Colombia) (individual) [SDNT]
GARCIA ROMERO, Audra Yamile, c/o INVHERESA S.A., Cali, Colombia; c/o ALKALA ASOCIADOS S.A., Cali, Colombia; DOB 23 Jul 1971; Cedula No. 66765096 (Colombia) (individual) [SDNT]
GARCIA VARELA, Luis Fernando, c/o TAURA S.A., Cali, Colombia; Cedula No. 16282223 (Colombia) (individual) [SDNT]
GARCIA VASQUEZ, Omaira, Avenida 2 Norte No. 2N–36, Edif. Campanari Ofc. 340, Cali, Colombia; c/o UNIDAS S.A., Cali, Colombia; c/o FINVE S.A., Bogota, Colombia; DOB 26 Jan 1961; POB Cali, Valle, Colombia; Cedula No. 81970497 (Colombia); Passport 31870497 (Colombia) (individual) [SDNT]
GARCIA, Daniel, Avenida Insurgentes Sur No. 421, Bloque B Despacho 404, Mexico, D.F. 06100, Mexico; Manager, Promociones Artisticas (PROARTE) (individual) [CUBA]
GARCIA, Freddy (a.k.a. GARCIA, Fredy), Calle 11 No. 1–07 of. 405, Cali, Colombia; c/o PROCESADORA DE POLLOS SUPERIOR S.A., Cali, Colombia; c/o LABORATORIOS GENERICOS VETERINARIOS DE COLOMBIA S.A., Bogota, Colombia; c/o ALFA PHARMA S.A., Bogota, Colombia; Carrera 7P No. 76–90, Cali, Colombia; c/o "JOHNNY 40"); DOB 23 Aug 1963; POB San Martin, Meta, Colombia; Cedula No. 17353242 (Colombia) (individual) [SDNTK]
GARCIA MONTILLA, Edgar Alberto (a.k.a. GARCIA MANGILL, Edgar Alberto; a.k.a. GARCIA MOGAR, Edgar; a.k.a. GARCIA MONTILLA, Edgar Alberto, c/o COMERCIALIZACION Y FINANCIACION DE AUTOMOTORES S.A., Cali, Colombia; c/o REVISTA DEL AMERICA LTDA., Cali, Colombia; c/o LABORATORIOS KRESSFOR DE COLOMBIA S.A., Bogota, Colombia; DOB 28 Nov 1946; Cedula No. 14936775 (Colombia); Passport AC36547 (Colombia); alt. Passport PE009863 (Colombia); alt. Passport AA294885 (Colombia); alt. Passport PO364986 (Colombia) (individual) [SDNT]
GARCIA PIZARRO, Gentil Velez, c/o GALAPAGOS S.A., Cali, Colombia; Cedula No. 6616866 (Colombia) (individual) [SDNT]
GARCIA RODRIGUEZ, Martha, c/o TRANSPORTES MICHAEL LTD., Barranquilla, Colombia; c/o COOPERATIVA DE SERVICIO DE TRANSPORTE DE CARGA DE COLOMBIA LTDA., Barranquilla, Colombia; c/o CENTRO DE BELLUEA SHARY VERGARA, Barranquilla, Colombia; POB Colombia; Cedula No. 32761805 (Colombia) (individual) [SDNT]
GARCIA ROMERO, Audra Yamile, c/o INVHERESA S.A., Cali, Colombia; c/o ALKALA ASOCIADOS S.A., Cali, Colombia; DOB 23 Jul 1971; Cedula No. 66765096 (Colombia) (individual) [SDNT]
GARCIA VARELA, Luis Fernando, c/o TAURA S.A., Cali, Colombia; Cedula No. 16282223 (Colombia) (individual) [SDNT]
GARCIA VASQUEZ, Omaira, Avenida 2 Norte No. 2N–36, Edif. Campanari Ofc. 340, Cali, Colombia; c/o UNIDAS S.A., Cali, Colombia; c/o FINVE S.A., Bogota, Colombia; DOB 26 Jan 1961; POB Cali, Valle, Colombia; Cedula No. 81970497 (Colombia); Passport 31870497 (Colombia) (individual) [SDNT]
GARCIA, Daniel, Avenida Insurgentes Sur No. 421, Bloque B Despacho 404, Mexico, D.F. 06100, Mexico; Manager, Promociones Artisticas (PROARTE) (individual) [CUBA]
GARCIA, Freddy (a.k.a. GARCIA, Fredy), Calle 11 No. 1–07 of. 405, Cali, Colombia; c/o PROCESADORA DE POLLOS SUPERIOR S.A., Cali, Colombia; c/o LABORATORIOS GENERICOS VETERINARIOS DE COLOMBIA S.A., Bogota, Colombia; c/o ALFA PHARMA S.A., Bogota, Colombia; Carrera 7P No. 76–90, Cali, Colombia; c/o "JOHNNY 40"); DOB 23 Aug 1963; POB San Martin, Meta, Colombia; Cedula No. 17353242 (Colombia) (individual) [SDNTK]
LABORATORIOS KRESSFOR DE COLOMBIA S.A., Bogotá, Colombia; c/o VALORES MOBILIARIOS DE OCCIDENTE S.A., Bogotá, Colombia; c/o FARMATODO S.A., Bogotá, Colombia; c/o PRODUCENTES DE ALCOHOL LTDA., Bogotá, Colombia; Diagonal 53 No. 38A-20 apt. 103, Bogotá, Colombia; c/o BLANCO PHARMA S.A., Bogotá, Colombia; c/o FARMACIA DE COLOMBIA S.A., Bogotá, Colombia; c/o DROGAS LA REBAJÁ, Cali, Colombia; c/o INVERSIONES ARA LTDA., Cali, Colombia; DOB 14 Jan 1962; Cedulal No. 16667399 (Colombia) (individual) [SDNT]

GASHI, Sabit; DOB 30 Dec 1967; POB Suva, Serbia and Montenegro (individual) [BALKANS]

GASMI, Salah (a.k.a. “BOUOUNADHER”); a.k.a. “SALAH ABU MOHAMED”; a.k.a. “SALAH ABU MUHAMAD”); DOB 13 Apr 1971; POB Zeribet El Oued, Biskra, Algeria (individual) [SDGT]

GASOLINERAS SAN FERNANDO S.A. DE C.V., Ciudad Camargo, Chihuahua, Mexico; Avenida 3A y Calle Mina, Colonia Centro, Saucillo, Chihuahua, Mexico [SDNTK]

GAVIOTAS LTDA. (a.k.a. HOTEL SIN PECADOS; a.k.a. HOTEL SIN PK2”), Calle 4A No. 21–24 Circunvalar, Cartago, Valle, Colombia; NIT #80022295-5 (Colombia) [SDNT]

GAVIRIA MOR Y CIA. LTDA., Calle 16 No. 11-82 Ofc. 302, Girardot, Colombia; NIT #800125771–2 (Colombia) [SDNT]

GAVIRIA PRICE, Juan Pablo, c/o CRIADERO LA LUISA E.U., Cali, Colombia; Carrera 4 No. 11-33 Ofc. 710, Cali, Colombia; DOB 09 Jul 1960; POB Cali, Valle, Colombia; Cedula No. 16839081 (Colombia); Passport 16639081 (Colombia) (individual) [SDNT]

GAVIRIA RUEDA, Gloria Ines (a.k.a. GAVIRIA DE INDABURU; Gloria Indaburu) c/o INTERNACIONAL DE PROYECTOS INMOBILIARIOS S.A., Quito, Ecuador; c/o COMERCIALIZADORA MOR GAVIRIA S.A., Quito, Ecuador; POB Colombia; Cedula No. 171901601 (Ecuador); alt. Cedula No. 41576358 (Colombia); RUC #1237779 (Ecuador) (individual) [SDNT]

GAXIOLA GARCIA, Rigoberto, Avenida de Anza #219, Colonia Pittic, Hermosillo, Sonora, Mexico; Uvalama No. 19 Col Los Sabinos, Hermosillo, Sonora, Mexico; c/o DISTRIBUTORA HERMANOS S.A. DE C.V., Hermosillo, Sonora, Mexico; c/o MINERA RIO PRESIDIO S.A. DE C.V., Culiacan, Sinaloa, Mexico; Alamos No. 42, Colonia Modelo, Hermosillo, Sonora, Mexico; c/o INMUEBLES SIERRA VISTA S.A. DE C.V., Hermosillo, Sonora, Mexico; c/o COPA DE PLATA S.A. DE C.V., Culiacan, Sinaloa, Mexico; DOB 26 Jan 1973; alt. DOB 26 Jan 1973; POB CULIACAN, SINALOA, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. GAGE790819C245L109 (Mexico); alt. R.F.C. GAGR790819 (Mexico); alt. R.F.C. GAGR790819 (Mexico); alt. R.F.C. GAGR790819 (Mexico) (individual) [SDNTK]

GAXIOLA MEDINA, Rigoberto (a.k.a. MEDINA SAENZ, Enrique; a.k.a. MORALES
Office of Foreign Assets Control, Treasury

Ch. V, App. A

Gharargae Saozandegi Ghaem (a.k.a. Gharargah Ghaem), No. 25, Valiasr St., Azadi Sq., Tehran, Iran [NPWMD]

Gharib, Fadil Mahmud (a.k.a. Al-Colombia) (individual) [SDNTK]

Gibson, Myrtle; DOB 03 Nov 1952; Former Liberian Senator; advisor to former President of Liberia Charles Taylor (individual) [LIBERIA]

Gildarcia, Jose Alejandro, Avenida Ejercito Trigarante 7865-5, Infonavit Cuchanilla 22880, Tijuana, Baja California, Mexico; Avenida Altabriza 1501, Fraccionamiento Altabravia, Otay Universidad, Tijuana, Baja California, Mexico; c/o Distribuidora Imperial De Baja California, S.A. De C.V., Tijuana, Baja California, Mexico; c/o Distribuidora Imperial De Baja California, S.A. De C.V., Tijuana, Baja California, Mexico; c/o Farmacia Vida Suprema, S.A. De C.V., Tijuana, Baja California, Mexico; DOB 22 Jan 1952; POB Culiacan, Sinaloa, Mexico; Credencial electoral 10826395099 (Mexico); R.F.C. GIGA–520122 (Mexico) (individual) [SDNTK]

Gil, Garzon, Marco Antonio, c/o Constructora America S.A., Bogota, Colombia; DOB 25 May 1947; POB Toca, Boyaca, Colombia; Cedula No. 17176949 (Colombia) (individual) [SDNT]

Gil Rodriguez, Ani Maria, c/o AMPARO R. DE GIL Y CIA. S.C.S., Cali, Colombia; c/o DROBLAM S.A., Cali, Colombia; DOB 24 Aug 1976; Cedula No. 67020296 (Colombia); Passport 67020296 (Colombia) (individual) [SDNT]

Gilboaqu, Joseph (a.k.a. GIL, Josef; a.k.a. Papzian; a.k.a. Gilboa, Yoel); DOB 8 Apr 1975; Cedula No. 94446642 (Colombia) (individual) [SDNT]

Gimnasio Body And Health, Calle 80 No. 75–210, Barranquilla, Colombia [SDNT]

Gimex Sugar Factory, P.O. Box 1, Gineid, Sudan (SUDAN)

Giraldo Arbelaez, Fernando, c/o INMobiLLARIA U.M.V., S.A., Cali, Colombia; DOB 27 Nov 1962; Cedula No. 16249351 (Colombia) (individual) [SDNT]

Giraldo Franco, Juan Carlos, Calle 3 Oeste No. 26–12, El Aguila, Valle, Colombia; DOB 10 Jun 1971; Cedula No. 1679184 (Colombia) (individual) [SDNT]

Giraldo Hernandez, Adriana Maria, c/o V.I.P. PRODUCCIONES E.U., Cali, Colombia; c/o UNIVESA S.A., Cali, Colombia; DOB 08 Mar 1961; Cedula No. 31857952 (Colombia) (individual) [SDNT]

Giraldo Rubio, Marlen, c/o MAGEN LTDA., Bogota, Colombia; c/o DISFOGEN LTDA., Bogota, Colombia; Cedula No. 51760752 (Colombia); Passport 51760752 (Colombia) (individual) [SDNT]

Giraldo Sarria, Octavio, c/o INMobiLLARIA U.M.V., S.A., Cali, Colombia; DOB 15 Nov 1967; Cedula No. 16281770 (Colombia) (individual) [SDNT]

Giraldo Sarria, Rosa Amelia, c/o INMobiLLARIA U.M.V., S.A., Cali, Colombia; DOB 18 Aug 1974; Cedula No. 43621679 (Colombia) (individual) [SDNT]
GOMEZ BUSTAMANTE, Wilmer de Jesus, c/o GAVIOTAS LTDA., Cartago, Valle, Colombia; Calle 17A No. 8N-15, Cartago, Valle, Colombia; DOB 26 Jan 1960; POB Cartago, Valle, Colombia; cedula No. 1229569 (Colombia); Passport AF002565 (Colombia); alt. Passport AE345442 (Colombia) (individual) [SDNT]

GOMEZ GALINDO, Omaira, Apartado Aereo 38028, Cali, Colombia; c/o CONSTRUCTORA GOPEVA LTDA., Cali, Colombia; Avenida 6N No. 38-99, Cali, Colombia; DOB 12 Dec 1951; Cedula No. 31299825 (Colombia) (individual) [SDNT]

GOMEZ GOMEZ, Viviana, Carrera 4 No. 12-20 of. 206, Cartago, Valle, Colombia; c/o INMOBILIARIA PASADENA LTDA., Cartago, Valle, Colombia; c/o ORGANIZACION LUIS HERNANDO GOMEZ BUSTAMANTE Y CIA. S.C.S., Cartago, Valle, Colombia; c/o VISCAYA LTDA., Cartago, Valle, Colombia; c/o AGRICOLA DOIMA DEL NORTE DEL VALLE LTDA., Cartago, Valle, Colombia; DOB 17 Oct 1982; NIT #661946748-1 (Colombia) (individual) [SDNT]

GOMEZ JARAMILLO, Olga Cecilia, c/o ORGANIZACION LUIS HERNANDO GOMEZ BUSTAMANTE Y CIA. S.C.S., Cartago, Valle, Colombia; c/o AGRICOLA DOIMA DEL NORTE DEL VALLE LTDA., Cartago, Valle, Colombia; c/o INMOBILIARIA EL ESCORIAL LTDA., Cartago, Valle, Colombia; c/o INMOBILIARIA LINALES LTDA., Cartago, Valle, Colombia; c/o INMOBILIARIA PASADENA LTDA., Cartago, Valle, Colombia; c/o VISCAYA LTDA., Cartago, Valle, Colombia; c/o GANADERIA EL VERGEL LTDA., Cartago, Valle, Colombia; DOB 29 Feb 1966; Cedula No. 31398070 (Colombia); Passport 31398070 (Colombia) (individual) [SDNT]

GOMEZ LLANOS AISPURO, Jose Rolando, c/o COMERCIALIZADORA BRIMAR'S, S.A. DE C.V., Coacan, Sinaloa, Mexico; c/o COMERCIAL JOANA, S.A. DE C.V., Guadalajara, Jalisco, Mexico; Calle Bradley, No. 5, Col. Anzures, Deleg. Miguel Hidalgo, Mexico City, Distrito Federal, Mexico; Acoxpa Andador 9, Edificio 44, Colonia Villa, Coapa, Distrito Federal, Mexico; DOB 8 Feb 1971; alt. DOB 2 Feb 1971; POB Culiacan, Sinaloa, Mexico; citizen Mexico; nationality Mexico; Passport 340038412 (Mexico); alt. Passport 340035480 (Mexico); R.F.C. GOAR710208R50 (Mexico) (individual) [SDNT]

GOMEZ MARIN LTDA., Km. 2 Via al Amparo, Ansermanuevo, Valle, Colombia; Calle 16 No. 1N-74, Cartago, Valle, Colombia; Km. 2 Via al Amparo, Cartago, Valle, Colombia; NIT #800102465-1 (Colombia) (individual) [SDNT]

GOMEZ MARTINEZ, Servando (a.k.a. EL PROFEO; a.k.a. EL PROFESSOR; a.k.a. LA TUTA), 236 Ave. Lazaro Cardenas, Centro 60920, Mexico; 25 Calle Libertad, Vigencia, Mexico; DOB 6 Feb 1966; POB Arteaga, Michoacan, Mexico; U.R.F. GOMS660206NS4 (Mexico); alt. R.F.C. GOMS660206NS4 (Mexico); alt. R.F.C. GOMS790516 (Mexico) (individual) [SDNT]

GOMEZ OCAMPO, Darwinson (a.k.a. “GORDO”), c/o GOMEZ MARIN LTDA., Ansermanuevo, Valle, Colombia; Calle 16 No. 1-58, Cartago, Valle, Colombia; DOB 10 Jul 1969; Cedula No. 2470433 (Colombia) (individual) [SDNT]

GOMEZ QUINTERO, Carlos Alberto, c/o FRIXCO S.A., La Union, Valle, Colombia; c/o CONSTRUCCIONES E INVERSIONES LTDA., La Union, Valle, Colombia; c/o CASA GRAJALES S.A., La Union, Valle, Colombia; c/o FUNDACION CENTRO FRUTICOLA ANDINO, La Union, Valle, Colombia; c/o GRAJALES S.A., La Union, Valle, Colombia; c/o INVERSIONES SANTA CECILIA S.C.S., La Union, Valle, Colombia; c/o FACTORIA LA RIVERA, La Union, Valle, Colombia; Calle 14 No. 4-124, La Union, Valle, Colombia; c/o INVERSIONES SANTA MONICA LTDA., La Union, Valle, Colombia; DOB 23 Jan 1957; POB Palmira, Valle, Colombia; Cedula No. 6355791 (Colombia); Passport AH345442 (Colombia) (individual) [SDNT]

GOMEZ VIVAS, Manuel Antonio, c/o TRANSPARENCIA S.A., Lima, Peru; c/o EMPRESA EDITORA PERU GLOBAL TOURS S.A.C., Lima, Peru; c/o PERUVIAN PRECIOUS TRANSPORTES AEREOS UNIDOS SELVA AMAZONICA S.A., Lima, Peru; Calle Trinidad Moran 1316, Lima, Peru; c/o LUCERO IMPORT S.A.C., Lima, Peru; c/o EDITORA TRANSPARENCIA S.A., Lima, Peru; c/o PERU GLOBAL TOURS S.A.C., Lima, Peru; c/o EMPRESA EDITORA CONTINENTE PRESS S.A., Lima, Peru; DOB 02 Aug 1956; LE Number 07553590 (Peru) (individual) [SDNTK]

GONZALES GARRANCHO DE ZEVALLOS, Sara Maria, c/o SERVICIOS HLSA S.A.C., Lima, Peru; c/o ORIENTE TOURS S.R.L., Lima, Peru; c/o PERUVIAN PRECIOUS METALS S.A.C., Lima, Peru; c/o TRANSPORTES AEREOS UNIDOS SELVA AMAZONICA S.A., Lima, Peru; Calle Trinidad Moran 1316, Lima, Peru; c/o LUCERO IMPORT S.A.C., Lima, Peru; c/o EDITORA TRANSPARENCIA S.A., Lima, Peru; c/o PERU GLOBAL TOURS S.A.C., Lima, Peru; c/o EMPRESA EDITORA CONTINENTE PRESS S.A., Lima, Peru; DOB 02 Aug 1956; LE Number 07553590 (Peru) (individual) [SDNTK]

GONZALES OCAMPO, Darwinson (a.k.a. “GORDO”), c/o GOMEZ MARIN LTDA., Ansermanuevo, Valle, Colombia; Calle 16 No. 1-58, Cartago, Valle, Colombia; DOB 10 Jul 1969; Cedula No. 2470433 (Colombia) (individual) [SDNT]

GONZALEZ BENITEZ, Olga Patricia, Hacienda Coque, Cartago, Colombia; c/o CONSTRUCCIONES E INVERSIONES LTDA., Cartago, Colombia; c/o AGRICOLA GONZALEZ BENITEZ, Cartago, Colombia; c/o GOMEZ MARIN LTDA., Cartago, Colombia; c/o VISCAYA LTDA., Cartago, Colombia; c/o VISCAYA LTDA., Cartago, Colombia; c/o AGRICOLA DOIMA DEL NORTE DEL VALLE LTDA., Cartago, Colombia; c/o AGRICOLA DOIMA DEL NORTE DEL VALLE LTDA., Cartago, Colombia; Cedula No. 31299825 (Colombia) (individual) [SDNT]

GONZALEZ ESPINOSA, Gideon Gono (individual) [ZIMBABWE]

GONZALEZ GRANADOS, Adolfo, Calle 60 No. 38-90, Cali, Colombia; DOB 12 Dec 1956; Cedula No. 19298944 (Colombia) (individual) [SDNT]

GONZALEZ GUILLEN, Jozef, c/o SERVICIOS SILSA S.A.C., Lima, Peru; c/o ORIENTE TOURS S.R.L., Lima, Peru; c/o PERUVIAN PRECIOUS METALS S.A.C., Lima, Peru; c/o TRANSPORTES AEREOS UNIDOS SELVA AMAZONICA S.A., Lima, Peru; Calle Trinidad Moran 1316, Lima, Peru; c/o LUCERO IMPORT S.A.C., Lima, Peru; c/o EDITORA TRANSPARENCIA S.A., Lima, Peru; c/o PERU GLOBAL TOURS S.A.C., Lima, Peru; c/o EMPRESA EDITORA CONTINENTE PRESS S.A., Lima, Peru; DOB 02 Aug 1956; LE Number 07553590 (Peru) (individual) [SDNTK]

GONZALEZ BENITEZ, Olga Patricia, Hacienda Coque, Cartago, Colombia; c/o CONSTRUCCIONES E INVERSIONES LTDA., Cartago, Colombia; c/o AGRICOLA GONZALEZ BENITEZ, Cartago, Colombia; c/o GOMEZ MARIN LTDA., Cartago, Colombia; c/o VISCAYA LTDA., Cartago, Colombia; c/o AGRICOLA DOIMA DEL NORTE DEL VALLE LTDA., Cartago, Colombia; c/o AGRICOLA DOIMA DEL NORTE DEL VALLE LTDA., Cartago, Colombia; Cedula No. 31299825 (Colombia) (individual) [SDNT]
GRAJALES LONDONO, Lina Maria, c/o GRAJALES LONDONO, Juan Raul, c/o HEBRON S.A., Tulua, Valle, Colombia; c/o MCDONALD S.A., La Union, Valle, Colombia; c/o PANAMERICAN S.A., Cali, Colombia; c/o SOCIEDAD DE NEGOCIOS SAN AGUSTIN LTDA., La Union, Valle, Colombia; c/o FUNDACION CENTRO CAMTRY, La Unión, Valle, Colombia; c/o C.A.D. S.A., Bogota, Colombia; c/o CREATA S.A., La Union, Valle, Colombia; c/o GRAJALES S.A., La Union, Valle, Colombia; c/o INVERSIONES AGUILA LTDA., La Union, Valle, Colombia; c/o INVERSIONES SANTA MONICA LTDA., La Union, Valle, Colombia; c/o CASA GRAJALES S.A., La Union, Valle, Colombia; c/o FREXCO S.A., La Union, Valle, Colombia; c/o AGUSTIN GRAJALES Y CIA. LTDA., La Union, Valle, Colombia; c/o INDUSTRIAS DEL ESPiritu SANTO S.A., Malambo, Atlantico, Colombia; c/o INVERSIONS SANTA CECILIA S.C.S., La Union, Valle, Colombia; c/o JOSAFAT S.A., Tulua, Valle, Colombia; c/o RAMAL S.A., Bogota, Colombia; c/o CONFECCIONES LINA MARIA LTDA., La Union, Valle, Colombia; c/o G.A.D S.A., La Union, Valle, Colombia; c/o JOSAFAT S.A., Tulua, Valle, Colombia; c/o ILOVIN S.A., Bogota, Colombia; c/o INVERSIONES GRAME LTDA., La Union, Valle, Colombia; c/o INVERSIONES LOS POSSO LTDA., S.C.S., La Union, Valle, Colombia; c/o SALIM S.A., La Union, Valle, Colombia; c/o FRUTAS DE LA COSTA S.A., Malambo, Atlantico, Colombia; DOB 10 Oct 1986; POB Bogota, Colombia; c/o INDUSTRIAS DEL ESPiritu SANTO S.A., Malambo, Atlantico, Colombia; Cedula No. 42122370 (Colombia) (individual) [SDNT]

GRAJALES POSSO, Maria Nancy, c/o CASA GRAJALES S.A., La Union, Valle, Colombia; c/o L.G.R. S.A., Cali, Colombia; c/o HOTEL LOS VINEDOS, La Union, Valle, Colombia; c/o HEBRON S.A., Tulua, Valle, Colombia; c/o JOSAFAT S.A., Tulua, Valle, Colombia; c/o SALIM S.A., La Union, Valle, Colombia; c/o CONFECCIONES LINA MARIA LTDA., La Union, Valle, Colombia; c/o GBS TRADING S.A., Cali, Colombia; c/o AGRONILO S.A., Toro, Valle, Colombia; c/o DOXA S.A., La Union, Valle, Colombia; c/o CITICAR LTDA., La Union, Valle, Colombia; DOB 13 Mar 1978; POB Bogota, Colombia; Cedula No. 29667575 (Colombia) (individual) [SDNT]

GRAJALES MEJIA, Hugo Marino, c/o PANAMERICAN S.A., Cali, Colombia; c/o SOCIEDAD DE NEGOCIOS SAN AGUSTIN LTDA., La Union, Valle, Colombia; c/o FREXCO S.A., La Union, Valle, Colombia; c/o INVERSIONES GRAME LTDA., La Union, Valle, Colombia; c/o INVERSIONES LOS POSSO LTDA., S.C.S., La Union, Valle, Colombia; DOB 13 Dec 1957; POB La Union, Valle, Colombia; Cedula No. 63568339 (Colombia) (individual) [SDNT]

GRAJALES MEJIA, Jorge Julio, c/o GRAJALES S.A., La Union, Valle, Colombia; c/o FREXCO S.A., La Union, Valle, Colombia; c/o SALIM S.A., La Union, Valle, Colombia; c/o AGUSTIN GRAJALES Y CIA. LTDA., La Union, Valle, Colombia; c/o INVERSIONES GRAME LTDA., La Union, Valle, Colombia; c/o FUNDACION CENTRO DE INVESTIGACION HORTIFRUTICOLA DE COLOMBIA LTDA., La Union, Valle, Colombia; c/o FUNDACION CENTRO FRUTICOLA ANDINO, La Union, Valle, Colombia; Cedula No. 14961290 (Colombia) (individual) [SDNT]

GRAJALES MEJIA, Jose Agustin, c/o AGUSTIN GRAJALES Y CIA. LTDA., La Union, Valle, Colombia; c/o FREXCO S.A., La Union, Valle, Colombia; c/o SALIM S.A., La Union, Valle, Colombia; c/o INVERSIONES AGUILA LTDA., La Union, Valle, Colombia; Cedula No. 1499086 (Colombia) (individual) [SDNT]

GRAJALES POSSO, Gloria Amparo, c/o IRADAN LTDA., Cali, Valle, Colombia; c/o INVERSIONES AGUILA LTDA., La Union, Valle, Colombia; Cedula No. 29613755 (Colombia) (individual) [SDNT]

GRAJALES POSSO, Maria Nancy, c/o CASA GRAJALES S.A., La Union, Valle, Colombia; c/o HEBRON S.A., Tulua, Valle, Colombia; c/o INVERSIONES GRAME LTDA., La Union, Valle, Colombia; c/o FUNDACION CENTRO FRUTICOLA ANDINO, La Union, Valle, Colombia; Cedula No. 1499086 (Colombia) (individual) [SDNT]

GRAJALES MEJIA, Hugo Marino, c/o PANAMERICAN S.A., Cali, Colombia; c/o SOCIEDAD DE NEGOCIOS SAN AGUSTIN LTDA., La Union, Valle, Colombia; c/o FREXCO S.A., La Union, Valle, Colombia; c/o INVERSIONES GRAME LTDA., La Union, Valle, Colombia; c/o INVERSIONES LOS POSSO LTDA., S.C.S., La Union, Valle, Colombia; DOB 29 Dec 1952; POB La Union, Valle, Colombia; Cedula No. 1499096 (Colombia) (individual) [SDNT]
Atlantic, Colombia; c/o FRUTAS DE LA COSTA S.A., Malambo, Atlantic, Colombia; c/o JOSAFAT S.A., Tulua, Valle, Colombia; Transversal 13A No. 123-19 Int. 2 a/c, Bogota, Colombia; DOB 15 Mar 1979; POB La Victoria, Valle, Colombia; Cedula No. 5245790 (Colombia) (individual) [SDNT]
GRAYLES S.A., Carrera 25 No. 8–78, Bogota, Colombia; Factoria La Rivera, La Union, Valle, Colombia; Via Roldanillo Finca La Palmera, La Union, Valle, Colombia; NIT #891900090–8 (Colombia) [SDNT]
GRAN COMPANIA DE HOTELES LTDA. (a.k.a. GRANCO), Calle 74 No. 53–30, Barranquilla, Colombia; NIT #800017692–2 (Colombia) [SDNT]
GRAN MUELLE S.A., Calle 6 Km 5 Kennedy, Buenaventura, Colombia; Av. Simon Bolivar Km 4 El Pinal, Buenaventura, Colombia; Calle 7A No. 3-73 Piso 3, Buenaventura, Colombia; Carrera 3 No. 7–42, Buenaventura, Colombia; NIT #890173654–1 (Colombia) [SDNT]
GRANADA ASSOCIATES, INC., 9100 South Granda Escobar, Rodrigo (a.k.a. GRANADA ASSOCIATES, INC., 9100 South Gran Muelle S.A., Calle 6 Km 5 Kennedy, Buenaventura, Colombia; c/o INCOMMERCE S.A., Cali, Colombia; DOB 27 Jul 1961; nationality United Kingdom (individual) [BALKANS]
GRANCO, Calle 74 No. 53–30, Barranquilla, Colombia; NIT #800017692–2 (Colombia) [SDNT]
GREEN CAR RENT LIMITED PARTNERSHIP (a.k.a. HANG HUN SUAN CHAMKAT KHRIN KHA REN), 44511 Soi Ramkhamhaeng, 39 Lat Phrao Road, Wang Thong Lang, Bang Kapi district, Bangkok, Thailand [SDNTK]
GREEN ISLAND S.A., Avenida El Dorado Entrada 2 Int. 6, Bogota, Colombia; NIT #830067456–4 (Colombia) [SDNT]
GREYTE SHIPPING CO. S.A., c/o EMPRESA DE NAVIGACION CARIBE, Edificio Lonja del Comercio, Lamparilla 2, Caja Postal 1784, Havana 1, Cuba [CUBA] GREYTE STAR (i.k.a. AVIS FAITH) (vessel) [CUBA]
GRIFFIN, Paul Nicholas; DOB 16 Feb 1964; nationality United Kingdom (individual) [NPWMD]
GRIFFIN, Peter; DOB 9 Sep 1935; POB Oxford, United Kingdom; nationality United Kingdom; Passport B109455 (United Kingdom) issued 28 Sep 1989 expires 28 Sep 1999; alt. Passport B109455 (United Kingdom) issued 3 Oct 1979 (individual) [NPWMD]
GROUPED INDUSTRIES CORPORATION, P.O. Box 2241, Khartoum, Sudan [SUDAN]
GRUBAN, Momcilo; DOB 19 Jun 1961; Bosnian Serb; ICTY indictee in custody (individual) [BALKANS]
GRUESO HURTADO, Ximena, c/o INCOMMERCE S.A., Cali, Colombia; DOB 19 Nov 1960; Cedula No. 66968767 (Colombia); Passport 66968767 (Colombia) (individual) [SDNT]
GRUESO, Alexei, c/o INCOMMERCE S.A., Cali, Colombia; Cedula No. 1667332 (Colombia); Passport 1667332 (Colombia) (individual) [SDNT]
GRUPO ARIAS-ARCE AGENCIA DE LOCALIZACION DE VEHICULOS, S. DE R.L., Rio Tijuana, Tijuana, Baja California, Mexico; R.F.C. THON KHA REN), 445/11 Soi DURRO, Chiang Mai, Thailand [SDNTK]
GRUPO C.L.P. CONSTRUCTOR S.A. DE C.V., Calle San Urel 600, Interior 19, Piso 4, Colonia Chapalita, Guadalajara, Jalisco, Mexico [SDNT]
GRUPO CONSTRUCTOR INMOBILIARIO PACAR S.A. DE C.V., Guadalajara, Jalisco, Mexico [SDNT]
GRUPO FALCON DE PANAMA, S.A., PH Centro Comercial Los Pueblos Albrook, Local 47-D, Panama City, Panama; RUC #556350–1–444254–07 (Panama) [SDNT]
GRUPO FALCON S.A., Calle 16 No. 41-210 of. 801, Medellin, Colombia; NIT #800214711–1 (Colombia) [SDNT]
GRUPO GAMAL, S.A. DE C.V., Av. La Paz 1951, Guadalajara, Jalisco CP 44160, Mexico [SDNTK]

GRUPO GUADALEST S.A. DE C.V., No. 148, Col. Jardines, Quintana Roo, Mexico; Calle Enrique Wallon 424 Altas, Hab. 13, Rincon del Bosque y Presidente Mazarrón, Colonia Polanco, Mexico City, Distrito Federal 11560, Mexico; R.F.C. GGU040605BP (Mexico) [SDNTK]

GRUPO INDUSTRIAL GAXIOLA HERMANOS, S.A. DE C.V. (a.k.a. GRUPO INDUSTRIAL GAXIOLA; f.k.a. MADYVA), Calle del Oro, Esq. Vinedo, Colonia Parque Industrial, Hermosillo, Sonora 83299, Mexico; Guadalajara, Jalisco, Mexico; Luis Encinas y Alberto Truqui, Hermosillo, Sonora, Mexico; R.F.C. GIG910522RR4 (Mexico) [SDNTK]

GRUPO INMOBILIARIO PROFESIONAL BAJA, S.A DE C.V., Carrillo Puerto, Calle 8317 4, Zona Central, Tijuana, Baja California, Mexico; R.F.C. GIP–851219–BF9 (Mexico) [SDNTK]

GRUPO INVERSOR PRINCIPE DE V ERGARA S.L., Calle Jarilla, 5–Pis 4 B, Madrid 28043, Spain; C.I.F. B97393747 (Spain) [SDNT]

GRUPO SANTA LTDA., Carrera 4 12–41 piso 14 y 15, Edificio Seguros Bolivar, Cali, Colombia; Calle 18 106–08 of. 201-202, Cali, Colombia; Carrera 84 17–29, Cali, Colombia [SDNT]

GRUPO STA CHIHUAHUA, S.A. DE C.V. (a.k.a. MAILCO), Lateral Blvd Periférico Ortíz Mena No. 2409, Col. Quinta Sol, Chihuahua, Chihuahua 31214, Mexico; R.F.C. GSC0208264IF (Mexico) [SDNTK]

GUAMA, Bois Postal 1784, Havana 1, Cuba [CUBA]

GUAMATUR, Buenos Aires, Argentina [CUBA]

GUERRA RAMIREZ, Rogelio, Mexico; DOB 21 Aug 1978; POB Chiapas; citizen Mexico; nationality Mexico; C.U.R.P. GURR780821HCLRMG01 (Mexico); alt. C.U.R.P. GURR780821HCLRMG01 (Mexico); Cartilla de Servicio Militar Nacional B7384371i (Mexico); R.F.C. GURR780821 (Mexico) (individual) [SDNTK]

GUERRERO BRAND, Luis Hernando, c/o A G GUERRERO RAMIREZ, Rogelio, Mexico; DOB 21 Aug 1978; POB Chiapas; citizen Mexico; nationality Mexico; C.U.R.P. GURR780821HCLRMG01 (Mexico); alt. C.U.R.P. GURR780821HCLRMG01 (Mexico); Cartilla de Servicio Militar Nacional B7384371i (Mexico); R.F.C. GURR780821 (Mexico) (individual) [SDNTK]

GUERRERO CASTILLO, Pedro Oliveiro (a.k.a. “CUCILLO”), Colombia; DOB 28 Feb 1976; POB San Martin, Meta, Colombia; Cedula No. 17355451 (Colombia) (individual) [SDNTK]

GUERRERO CASTILLO, Pedro Oliveiro (a.k.a. “CUCILLO”), Colombia; DOB 28 Feb 1976; POB San Martin, Meta, Colombia; Cedula No. 17355451 (Colombia) (individual) [SDNTK]

GULF CARTEL (a.k.a. CARDENAS GUILLER ORGANIZATION), Mexico [SDNTK]

GUMBO, Aleck Rugare Ngidi, Montrose Farm, P.O Box 1175, Gweru, Zimbabwe; DOB 8 Mar 1940; Minister of Economic Development (individual) [ZIMBABWE]


GUNITZ SUGAR COMPANY LIMITED (a.k.a. GUNEID SUGAR FACTORY), P.O. Box 511, Khartoum, Sudan [SUDAN]

GUTIERREZ AGUURRE, Duffay (a.k.a. “EL GORDO DUFFAY”), Bogota, Colombia; DOB 16 Sep 1968; POB Bavie, Valle, Colombia; Cedula No. 14892384 (Colombia); Matricula Mercantil No 01302280 (Colombia) (individual) [SDNT]

GUTIERREZ ARLIDA, Eduardo, c/o EXPORT CAFE LTDA., Cali, Colombia; DOB 8 Aug 1958; Cedula No. 16642433 (Colombia) (individual) [SDNTK]

GUTIERREZ BARBOZA, Maureen Patricia, c/o ILC EXPORTACIONES, S. DE R.L. DE C.V., Mexico, Distrito Federal, Mexico; DOB 11 Jun 1972; POB Carmen Central San Jose, Costa Rica; citizen Costa Rica; nationality Costa Rica; Cedula No. 108390780 (Costa Rica) (individual) [SDNTK]

GUTIERREZ BARBOZA, Maureen Patricia, c/o ILC EXPORTACIONES, S. DE R.L. DE C.V., Mexico, Distrito Federal, Mexico; DOB 11 Jun 1972; POB Carmen Central San Jose, Costa Rica; citizen Costa Rica; nationality Costa Rica; Cedula No. 108390780 (Costa Rica) (individual) [SDNTK]

GUTIERREZ GARAVITO, Armando, Hacienda Oeste, Restrepo, Meta, Colombia; c/o BINGO INTERNACIONAL E.U., Bogota, Colombia; Cedula No. 11152981 (Colombia); N.I.E. X-8213-3627 (Colombia) (individual) [ZIMBABWE]

GUTIERREZ GARAVITO, Armando, Hacienda Oeste, Restrepo, Meta, Colombia; c/o BINGO INTERNACIONAL E.U., Bogota, Colombia; Cedula No. 11152981 (Colombia); N.I.E. X-8213-3627 (Colombia) (individual) [ZIMBABWE]

GUTIERREZ HERNANDEZ, Javier Mauricio, c/o HINO INTERACIONAL E.U., Bogota, Colombia; Carrera 7 Bis No. 123–51 apto. 201, Barrio Santa Barbara, Bogota, Colombia; Calle 18 No. 6–31 of. 704, Madrid, Spain; Calle 23F No. 73F–03, Bogota, Colombia; c/o BLUE-STAR SECCION HOSTELERIA S.L., Parla, Madrid, Spain; c/o EMPRESA DE EMPLEOS TEMPORALES LA UNICA LTDA., Villavicencio, Colombia; c/o INVERSIONES GANADERAS Y PALMERAS S.A., Bogota, Colombia; DOB 02 Dec 1899; POB Acacias, Meta, Colombia; Cedula No. 17410782 (Colombia); N.I.E. X-85212–B (Spain) (individual) [SDNTK]

GUTIERREZ HERNANDEZ, Javier Mauricio, c/o HINO INTERACIONAL E.U., Bogota, Colombia; Carrera 7 Bis No. 123–51 apto. 201, Barrio Santa Barbara, Bogota, Colombia; Calle 18 No. 6–31 of. 704, Madrid, Spain; Calle 23F No. 73F–03, Bogota, Colombia; c/o INVERSIONES GANADERAS Y PALMERAS S.A., Bogota, Colombia; DOB 02 Dec 1899; POB Acacias, Meta, Colombia; Cedula No. 17410782 (Colombia); N.I.E. X-85212–B (Spain) (individual) [SDNTK]

GUTIERREZ HERNANDEZ, Javier Mauricio, c/o HINO INTERACIONAL E.U., Bogota, Colombia; Carrera 7 Bis No. 123–51 apto. 201, Barrio Santa Barbara, Bogota, Colombia; Calle 18 No. 6–31 of. 704, Madrid, Spain; Calle 23F No. 73F–03, Bogota, Colombia; c/o INVERSIONES GANADERAS Y PALMERAS S.A., Bogota, Colombia; DOB 02 Dec 1899; POB Acacias, Meta, Colombia; Cedula No. 17410782 (Colombia); N.I.E. X-85212–B (Spain) (individual) [SDNTK]

GUTIERREZ LARA, Liliana Paola, Bogota, Colombia; DOB 16 May 1963; citizen Colombia; Cedula No. 65557064 (Colombia) (individual) [SDNTK]
HARKAT-UL-JEHAD-AL-ISLAMI; a.k.a. HUJI-B; a.k.a. IDEK; a.k.a. ISLAMI
DAWAT-E KAFELA) [FTO] [SDGT]

HARKAT UL-MUJAHIDEEN (a.k.a. AL-MUJAHIDEEN TRUST; a.k.a. HADITH; a.k.a. HARKAT UL-ANSAR; a.k.a. HARKAT UL-MUJAHIDIN; a.k.a. HUA; a.k.a. HUM; a.k.a. JAMIAT UL-AMMAR) [FTO] [SDGT]

HARB, Chekri Mahmoud (a.k.a. "SHEKRY HARB"), Carerra 50 A, No 76–s–169, Torre 3, Apto. 319, Medellin, Colombia; c/o VARIEDADES HARB SPORT, Medellin, Colombia; c/o COMERCIAL JINAN S.A., Guatemala, Guatemala; c/o ALMACEN FUTURO NO. 1, Medellin, Colombia; DOB 25 Aug 1961; POB Lebanon; citizen Colombia; nationality Lebanon; Cedula No. 256820 (Colombia) (individual) [SDNT]

HARDAN, Assaad Halim (a.k.a. HARDAN, As'ad; a.k.a. HARDAN, Assad); DOB 31 Jul 1951; POB Rashayya al-Fakhar, Lebanon; alt. POB Rashayya al-Fuqhar, Lebanon; alt. POB Rashia al Foukhar, Lebanon (individual) [LEBANON]

HARMONY FARM, Mazowe, Zimbabwe [ZIMBABWE]

HARNMAN H (f.k.a. PEONY ISLANDS) (vessel) [CUBA]

HARRACH, Bekkay (a.k.a. AL HAFIDH ABU TALHA DER DEUTSCHE); DOB 4 Sep 1977; POB Berkane, Morocco; nationality Germany; Driver's License No. J17001W6Z12; National ID No. 5209243072 (Germany) expires 7 Sep 2013; Passport 5208116575 (Germany) expires 7 Sep 2013; Believed to be in the Afghanistan/Pakistan border area (individual) [SDGT]

HARUN, Ahmad Muhammed (a.k.a. HAROUN, Ahmed Mohamed; a.k.a. HAROUN, Ahmad Mohammed; a.k.a. HARUN, Ahmad; a.k.a. HARRUN, Ahmad Mohammed; a.k.a. HARRUN, Mawlana Ahmad Muhammed); DOB 1964; POB Koridofan, Sudan; nationality Sudan; State Minister for the Interior; former Coordinator of the Popular Police Forces (individual) [DARFUR]

HASANI, Zhavit; DOB 5 May 1957; POB Tansuyevci, Macedonia (individual) [BALKANS]

HATKAEW COMPANY LTD. (a.k.a. BORISAT HAT KAO CHAMKAT; a.k.a. HAD KAEW COMPANY LTD.), 275 Soi Thiam Ruanmit, Ratchada Phisek Road, Huai Khwang district, Bangkok, Thailand [SDNTK]

HAVANA INTERNATIONAL BANK, LTD., 20 Ironmonger Lane, London EC2V 8EY, United Kingdom [CUBA]

HAVANATUR, 54 Rue Richelleau, Paris, France [CUBA]

HAVANATUR BAHAMAS LTD., East Bay Street, Nassau, Bahamas, The [CUBA]

HAVANATUR CHILE S.A. (f.k.a. GUAMATUR S.A.), Avenue 11 de Septiembre 2155, Edificio Panamericano, Torre C, Oficina 805, Providencia, Santiago, Chile [CUBA]

HAWATMA, Nayif (a.k.a. HAWATMAH, Nayif; a.k.a. HAWATMEH, Nayif; a.k.a. KHALID, Abu); DOB 1933; Secretary General of DEMOCRATIC FRONT FOR THE LIBERATION OF PALESTINE-HAWATMEH FACTION (individual) [SDT]

HAXHIREXHA, Kastriot; DOB 9 May 1961; POB Debar, Macedonia (individual) [BALKANS]

HAYA, Francisco, Panama (individual) [CUBA]

HAYDEE DE MUNOZ Y CIA. S. EN C., Avenida 6N No. 23DN–16, Cali, Colombia; Avenida 4N No. 20–20, Cali, Colombia [SDNT]

HEATH, Noel Timothy (a.k.a. ZAMBA, Noel Heath; a.k.a. ZAMBO, Noel Heath), Cardin Avenue, Saint Kitts and Nevis; DOB 16 Dec 1949; Passport 03574 (United Kingdom) (individual) [SDNTK]

HEBROON S.A., calle 28 No. 27–18, Tuluá, Valle, Colombia; NIT #80017304–7 (Colombia) [SDNT]

HEJAZI, Mohammad; DOB circa 1959; citizen Iran; nationality Iran (individual) [NPWMD]

HEKMATYAR, Gulbuddin (a.k.a. HEKMATIYAR, Gulbuddin; a.k.a. HEKMATIYAR, Gulbuddin; a.k.a. HEKMATIYAR, Gulbuddin; a.k.a. HEKMATIYAR, Gulbuddin; a.k.a. HEKMATIYAR, Gulbuddin; a.k.a. HEKMATIYAR, Gulbuddin; a.k.a. KHEKMATIYAR, Gulbuddin), Iran; DOB 1 Aug 1949; POB Konduz Province, Afghanistan (individual) [SDGT]

HELPFORD DIRECTORS LIMITED, Haven Court, 5 Library Ramp, Gibraltar, United Kingdom [IRAQ2]

HERNAN DE SANCHEZ, Hortensia, c/o ALFA PHARMA S.A., Bogota, Colombia; DOB 17 Oct 1917; Cedula No. 2901354 (Colombia) (individual) [SDNT]

HERNANDEZ GONZALEZ, Carlos Andres, c/o ARIZONA S.A., Cartago, Colombia; c/o
ORGANIZACION EMPRESARIAL A DE J HENAO M E HIJOS Y CIA. S.C.S., Cartago, Colombia; c/o COMPAÑIA AGROINVERSORA HENAGRO LTDA., Cartago, Colombia; c/o AGRICOLA GANADERA HENAO GONZALEZ Y CIA. S.C.S., Cartago, Colombia; c/o DESARROLLOS COMERCIALES E INDUSTRIALES HENAO GONZALEZ Y CIA. S.C.S., Cartago, Colombia; DOB 27 Nov 1980; Cedula No. 75096605 (Colombia); Passport APZ28009 (Colombia); alt. Passport TI-85051037834 (Colombia) (individual) [SDNT]
HENAO GONZALEZ, Lina Marcela, c/o COMPAÑIA AGROINVERSORA HENAGRO LTDA., Cartago, Colombia; c/o ORGANIZACION EMPRESARIAL A DE J HENAO M E HIJOS Y CIA. S.C.S., Cartago, Colombia; c/o DESARROLLOS COMERCIALES E INDUSTRIALES HENAO GONZALEZ Y CIA. S.C.S., Cartago, Colombia; c/o AGRICOLA GANADERA HENAO GONZALEZ Y CIA. S.C.S., Cartago, Colombia; Avenida 4 Oeste No. 5-97, Apt. 1001, Cali, Colombia; DOB 18 Jan 1988; POB Cali, Valle, Colombia; Cedula No. RN12524966 (Colombia); Passport AG762459 (Colombia); alt. Passport TI-85051037834 (Colombia) (individual) [SDNT]
HENAO HINESTROZA, Maria Nohelio, c/o INVHERESA S.A., Cali, Colombia; Carrera 42 No. 3B-81, Cali, Colombia; Cedula No. 75096605 (Colombia); Passport AF228090 (Colombia); alt. Passport RN12524966 (Colombia) (individual) [SDNT]
HENAO MONTOYA, Lorena, c/o INVERSIONES LOS POSSO LTDA., La Union, Valle, Colombia; c/o INVERSIONES AGUILA LTDA., La Union, Valle, Colombia; c/o INVERSIONES SANTA CECILIA S.C.S., La Union, Valle, Colombia; c/o AGROINVERSORA URDINOLO HENAO Y CIA. S.C.S., Cali, Colombia; c/o CASA GRAJALES S.A., La Union, Valle, Colombia; c/o FREXCO S.A., La Union, Valle, Colombia; c/o INVERSIONES DEL VALLE LTDA., Cali, Colombia; c/o INVERSIONES SANTA MONICA LTDA., La Union, Valle, Colombia; c/o HOTELOS Y VINEDOS, La Union, Valle, Colombia; c/o INVERSIONES LOS POSSO LTDA., La Union, Valle, Colombia; c/o EXPLOTACIONES AGRICOLAS Y GANADERAS LA LORENA S.C.S., Cali, Colombia; Carrera 8N No. 17A-12, Cartago, Colombia; Carrera 4 No. 16-04 apt. 303, Cartago, Colombia; Carrera 8 No. 39-79 of. 201, Cali, Colombia; c/o INVERSIONES SANTA MONICA LTDA., La Union, Valle, Colombia; Carrera 42 No. 3B-81, Cali, Colombia; Cedula No. 75096605 (Colombia); Passport AF228090 (Colombia); alt. Passport RN12524966 (Colombia) (individual) [SDNT]
HENAO VDA. DE BOTERO, Maria Yolanda, c/o ALFA PHARMA S.A., Bogota, Colombia; DOB 9 Oct 1968; Cedula No. 31981533 (Colombia) (individual) [SDNT]
HERJEZ LTDA. (a.k.a. CARNES CUERNAVACA), Avenida Ciudad de Cali No. 15A-91 Local-06, Bogota, Colombia; NIT #900038363-3 (Colombia) (individual) [SDNT]
HERMANN Shipping Corp., Inc., Panama (CUBA)
HERMANN VDA. DE BOTERO, Maria Yolanda, c/o ALFA PHARMA S.A., Bogota, Colombia; DOB 9 Oct 1968; Cedula No. 31981533 (Colombia) (individual) [SDNT]
Hernandez Arboleda, Sandra Milena, c/o COMERCIALIZADORA DE CAFE DEL OCCIDENTE CODECAFE LTDA., Pereira, Risaralda, Colombia; c/o INVERSIONES MACARNIC PATINO Y CIA S.C.S., Pereira, Colombia; c/o REMOLCAS-inv, Pereira, Colombia; c/o AGROINVERSORA HENAGRO LTDA., Cartago, Colombia; c/o MIRALINDO S.A., Cartago, Colombia; c/o COMPAÑIA AGROINVERSORA HENAGRO LTDA., Cartago, Colombia; c/o ARIZONA S.A., Cartago, Colombia; c/o MAQUINARIA TECNICA Y TIERRAS LTDA., Cartago, Colombia; Hacienda Coque, Cartago, Colombia; Carrera 42 No. 3B-81, Cali, Colombia; Carrera 4 No. 16-04 apt. 303, Cartago, Colombia; Carrera 8 No. 17A-12, Cartago, Colombia; DOB 7 Oct 1984; POB Cartago, Valle, Colombia; Cedula No. 16215230 (Colombia); NIT #16215230-1 (Colombia); Passport 16215230 (Colombia) (individual) [SDNT]
HENAO VDA. DE BOTERO, Maria Yolanda, c/o ALFA PHARMA S.A., Bogota, Colombia; DOB 9 Oct 1968; Cedula No. 31981533 (Colombia) (individual) [SDNT]
Risaralda, Colombia; Cedula No. 42189136 (Colombia) (individual) [SDNT]

HERNANDEZ BARRON, Raul, Calle Congregacion Troncones y Potrerrillos, Colonia Coatzintla, Veracruz C.P. 91160, Mexico; DOB 04 Feb 1977; alt. DOB 16 Oct 1980; POB Poza Rica de Hidalgo, Veracruz, alt. POB Veracruz, Mexico; alt. POB Coatzintla, Veracruz; citizen Mexico; nationality Mexico; C.U.R.P. HEBR770204H30271467 (Mexico); C.U.R.P. HEBR770204H02RRA02 (Mexico); Cartilla de Servicio Militar Nacional C–528381 (Mexico); Electoral Registry No. HEBR770204H30271467 (Mexico) (individual) [SDNT]

HERNANDEZ CANOBAS, Hector Fabio, c/o INVERSIONES BETANIA LTDA., Cali, Colombia; c/o INVERSIONES EL PENON S.A. S.A., Cali, Colombia; DOB 21 Jun 1958; Cedula No. 16615804 (Colombia) (individual) [SDNT]

HERNANDEZ CARRALLOSA, Alexis Enelio, Milan, Italy (individual) [CUBA]

HERNANDEZ LECHUGA, Lucio (a.k.a. HER-


ernez LECHUGA, Raul Lucio), Calle


Astros 7, Col. Praxedis Balboa, Matamoros,


Mexico; DOB 08 Feb 1976; POB Hidalgo, Mexico; alt. POB Piedras Negras, Coahulla, Mexico; citizen Mexico; nationality Mexico (individual) [SDNT]

HERNANDEZ MEJIA, Jorge Alberto, c/o TAXI AEREO ANTIOQUENO S.A., Medellin, Colombia; c/o ASES DE COMPETENCIA Y CIA. S.A., Medellin, Colombia; c/o PRANZUL S.A., Medellin, Colombia; c/o HIERREROS DE JERUSALEM S.A., Medellin, Colombia; DOB 15 Jun 1962; Cedula No. 71530775 (Colombia) (individual) [SDNT]

HERNANDEZ MORENO, Arturo, c/o INMOBILIARIA EL ESCORPION DEL NORTE S.A. DE C.V., Chihuahua, Mexico; c/o DEL NORTES CARNES FINAS SAN IGNACIO S.A. DE C.V., Chihuahua, Mexico; c/o INMOBILIARIA EL FRESON S.A. DE C.V., Chihuahua, Mexico; DOB 27 Nov 1962; POB Hidalgo Del Parral, Chihuahua, Mexico; citizen Mexico; nationality Mexico; K.F.C. HEMA–621127 (Mexico) (individual) [SDNT]

HERNANDEZ ORTEGA, Cesar Alejandro, c/o LIZZY MUNDO INTERIOR, Guadalajara, Mexico; c/o CUMBRES SOLUCIONES INMOBILIARIAS S.A. DE C.V., Zapopan, Jalisco, Mexico; DOB 28 Oct 1975; POB Guadalajara, Jalisco, Mexico; C.U.R.P. HECG751030HZICR890 (Mexico); Passport 140022979 (Mexico) (individual) [SDNT]

HERNANDEZ PULIDO, Maria Eida, Calle Juan de Dios Peza 1015, Colonía Mexico 22150, Tijuana, Baja California, Mexico; c/o Farmacia Vida Suprema, S.A. DE C.V., Tijuana, Baja California, Mexico; c/o Distribuidora Imperial De Baja California, S.A. de C.V., Tijuana, Baja California, Mexico; DOB 18 Aug 1971; POB Baja California Norte, Mexico (individual) [SDNT]

HERNANDEZ SAN MARTIN, Ricardo Arturo, Calle Huancavelica 270, URB Santa Patricia, Lima, Peru; c/o AVIANDINA S.A.C., Lima, Peru; Immigration No. #HERBRRL77020430H900 (Mexico) (individual) [SDNT]

HERNANDEZ SOMERO, Urbano, c/o INMOBILIARIA LA PROVINCIA S.A. DE C.V., Tijuana, Baja California, Mexico; c/o COMPLEJO TURISTICO OASIS S.A. DE C.V., Rosarito, Baja California, Mexico; c/o INMOBILIARIA TIJUANA COSTA S.A. DE C.V., Tijuana, Baja California, Mexico; Avenida Manuela Herrera 592, Colonia Rio Reforma CP 22000, Tijuana, Baja California, Mexico; c/o PLAYA MAR S.A. DE C.V., Tijuana, Baja California, Mexico; C. Mision de Mulege 2993, Colonia Zona Urbana Rio Tijuana, Tijuana, Baja California, Mexico; c/o BAJA CALIFORNIA S.A. DE C.V., Tijuana, Baja California, Mexico; c/o CUMBRES SOLUCIONES INMOBILIARIAS S.A., Medellin, Colombia; DOB 04 Jul 1955; LE Number 1032139 (Peru) (individual) [SDNT]

HERNANDEZ ZEA, Ana Elvia, Carrera 35 No. 53–53, Bogota, Colombia; c/o GREEN ISLAND S.A.LAND S.A., Bogota, Colombia; c/o INTERCONTINENTAL DE AVIACION S.A., Bogota, Colombia; c/o INTERCONTINENTAL DE FINANCIACION AEREA S.A., Bogota, Colombia; DOB 28 Dec 1949; POB Tibasosa, Boyaca, Colombia; Cedula No. 41503907 (Colombia); Passport AG686192 (Colombia); alt. Passport AE59104 (Colombia); alt. Passport AC59414 (Colombia) (individual) [SDNT]

HERNANDEZ ZEA, Luis Antonio (a.k.a. “EL CAPITAN”), c/o ASOCIACION TURISTICA INTERNACIONAL S.C.S., Bogota, Colombia; c/o GREEN ISLAND S.A.LAND S.A., Bogota, Colombia; c/o LARGO LEASING B.V., George Town, Cayman Islands; c/o INTERCONTINENTAL DE AVIACION S.A., Bogota, Colombia; c/o INTERCONTINENTAL DE FINANCIACION AEREA S.A., Bogota, Colombia; c/o AEROVIALES ATLANTICO
35th Street, Mandalay, Burma; 216, Corner of 49th St. and Maha Bandoola Rd., Pazundaung, Yangon, Burma [SDNTK]

HONG PANG GEMS & JEWELLERY (HK) LIMITED; a.k.a. HONG PANG GEMS & JEWELLERY CO., LTD.; a.k.a. HONG PANG GEMS AND JEWELLERY (HK) CO. LIMITED), 12th Floor C, Jade Exchange Center, 513–313, Canton Road, Kowloon, Hong Kong; Room 3605, 36/F, Wu Chung House, 213 Queen’s Road East, Wan Chai, Hong Kong; 6A, 6D North Section, 7th Building, Chilung Park, 68 Sin Chung St., East Chi Lin Drive, Beijing, China; 28th and 29th Floor, Overseas Friendship Building, 2, Yun Chun Road, Lo Hu, Sham Cheng, Kwang Tung, China; 11, Huang Ching (Gold) Road, Between 64/65 Street, Myo Thit, Mandalay, Burma; No. 19, Hung Hua Bridge, Kunming, Yunnan, China; Certificate of Incorporation Number 766610 (Hong Kong) [SDNTK]

HONG PANG GEMS & JEWELLERY COMPANY LIMITED (a.k.a. HONG PANG GEMS AND JEWELLERY COMPANY LIMITED), 11, Ngui Shwe Wah Road, Between 64th and 65th Street, Chan Maya Thar Si Township, Mandalay, Burma [SDNTK]

HONG PANG GENERAL TRADING COMPANY, LIMITED (f.k.a. HONG PANG IMPORT EXPORT GENERAL TRADING COMPANY LIMITED), 216–222, Room C/D, (G/F), Bo Myat Tun Housing, Mahabandoola Road, Pazundaung Township, Yangon, Burma; 18, Kyayang Ngan St., Qtr. 2, Kyaing, Burma; 162, Lammadaw St., Saruy Qtr., Mcway, Burma; 157, Pyihtaungsu Rd., Yuzana Qtr., Myitkyina, Burma; 9, West of Market, Haw Gone Qtr., Pyihtaungsu Rd., Yuzana Qtr., Magway, Burma; 157, Ff, Shwe Pyithar T/S, Tangon, Burma; No. 21 Thukha Waddy Road, Yankin T/S, Yangon, Burma; 3 Shenton Way, #24–02 Shenton House, Singapore, 068806, Singapore; 5 Pyay Road, Hlaing Township, Yangon, Burma [BURMA]

HONG PONG MINING COMPANY LIMITED, No. 216/222, Room No. C/D, Ground Floor, Bo Myat Tun Housing, Mahabandoola Road, Pazundaung Township, Yangon, Burma [SDNTK]

HONG PANG TEXTILE COMPANY LIMITED, No. 216/222, Room C/D, Ground Floor, Bo Myat Tun Housing, Mahabandoola Road, Pazundaung Township, Yangon, Burma [SDNTK]

HOOKER TAYLOR, Javier Arnulfo (a.k.a. HOOKER POMARE, Javier), c/o ROCK FISH IMPORT EXPORT E.U., San Andres, Colombia; c/o COOPERATIVA DEL SERVICIO DE TRANSPORTE DE CARGA DE COLOMBIA LTDA., Barranquilla, Colombia; DOB 19 Feb 1971; POB San Andres, Colombia; Cedula No. 18001893 (Colombia) [individual] [SDNTK]

HORMAC PLANNING S.L., Calle Marques Del Duero, 76–Pit 3C, San Pedro De Alcantara, Marbella, Malaga 29670, Spain; C.I.F. B-44727565 (Spain) [SDNTK]

HORMUZ 2 ; Vessel Registration Identification IMO 7904580 (vessel) [NPWMD]

HOTEL LA CASCADA S.A. (f.k.a. CENTRO RECREACIONAL LA CASCADA LTDA.), Carrera 12 Avenida 25 Ere, Girardot, Colombia; NIT #890601336–8 (Colombia) [SDNT]

HOTEL MAX (a.k.a. HOTEL CHAUNG THA BEACH RESORT), No. 1 Ywama Curve, Ba Yint Naung Road, Block-2, Hlaing Township, Yangon, Burma [BURMA]

HOTEL MAX (a.k.a. HOTEL CHAUNG THA BEACH RESORT), No. 1 Ywama Curve, Ba Yint Naung Road, Block-2, Hlaing Township, Yangon, Burma [BURMA]

HOTEL MAX (a.k.a. HOTEL CHAUNG THA BEACH RESORT), No. 1 Ywama Curve, Ba Yint Naung Road, Block-2, Hlaing Township, Yangon, Burma [BURMA]

HOTINCOL, Calle 74 No. 53–30, Barranquilla, Colombia; NIT #800013193–3 (Colombia) [SDNT]

HOYE, Richard Chemist; DOB 23 Sep 1938; Passport ZD002376 (Zimbabwe); Politburo Secretary for Economic Affairs (individual) [ZIMBABWE]

HTOO GROUP OF COMPANIES, 5 Pyay Road, Hlaing Township, Yangon, Burma [BURMA]

HTOO TRADING COMPANY LIMITED (a.k.a. HTOO TRADING GROUP COMPANY), 5 Pyay Road, Hlaing Township, Yangon, Burma [BURMA]

HTOO WOOD PRODUCTS FTE. LIMITED (a.k.a. HTOO FURNITURE; a.k.a. HTOO WOOD PRODUCTS; a.k.a. HTOO WOOD-BASED INDUSTRY), Shwe Pyithar T/S, Tangon, Burma; No. 21 Thukha Waddy Road, Yankin T/S, Yangon, Burma; 3 Shenton Way, #24–02 Shenton House, Singapore, 068806, Singapore; 5 Pyay Road, Hlaing Township, Yangon, Burma [BURMA]

HTWE, Aung; DOB 1 Feb 1943; citizen Burma; nationality Burma; Lieutenant-General; Chief of Armed Forces Training; Member, State Peace and Development Council (individual) [BURMA]

HUERTA RAMOS, Manuel (a.k.a. HUERTA RAMOS, Jesus Manuel), Sabino #804, Chihuahua, Chihuahua, Mexico; c/o SERVICIO AEROE LEO LOPEZ, S.A. DE C.V., Chihuahua, Chihuahua, Mexico; DOB 26 Jun 1969; POR Juarez, Chihaahua, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. HURJ600626HCHRMS03 (Mexico) (individual) [SDNTK]

HUEITAS RAMIREZ, Jorge Luis, c/o LABORATORIOS KRESSFOR DE COLOMBIA S.A., Bogota, Colombia; c/o REPRESENTACIONES Y DISTRIBUCIONES HUEITAS Y ASOCIADOS S.A., Bogota, Colombia; c/o PRODUCTOS GALO Y CIA. LTDA., Bogota, Colombia; c/o DECAFARMA S.A., Bogota, Colombia; DOB 2 Apr 1961; Cedula No. 19134241 (Colombia) (individual); Passport 19134241 (Colombia) (individual) [SDNT]

HUNTSLAND GROUP OF COMPANIES [CUBA]

HUNTSLAND NAVIGATION CO. LTD., c/o NIPPON CARIBBEAN SHIPPING CO. LTD., 8th Floor, Tsukiji Hosoda Building, 2–1, Tsukiji 2-chome, Chuo-ku, Tokyo, Japan [CUBA]
HUNTSVILLE (vessel) [CUBA]  
HUNTSVILLE NAVIGATION CO. LTD., c/o NIPPON CARIBBEAN SHIPPING CO. LTD., 6th Floor, Tsukiji Hosoda Building, 2–1, Tsukiji 2-chome, Chuo-ku, Tokyo, Japan [CUBA]  
HURACAN (vessel) [CUBA]  
HURTADO ROMERO, Jairo Jose, c/o AZ- 
ZONA S.A.A., Cartago, Colombia; Carrera 8N 
No. 17A–12, Cartago, Colombia; c/o MAQUINARIA TECNICA Y TIERRAS 
LTD.A., Cali, Colombia; Carrera 42 No. 58– 
81, Cali, Colombia; Cedula No. 13809079 (Co-
mbia); Passport 13809079 (Colombia) (indi-
idual) [SDNT]  
IBAIN, Ali Saleh (a.k.a. ‘AL’A’LAH, ‘Ali 
Salih Husayn; a.k.a. AL-TABUKI, Ali 
Saleh Husain; a.k.a. AL-TABUKI, ‘Ali 
Salih Husayn al-Dhahak; a.k.a. AL-YEM-
ENI, Abu Dhahak; a.k.a. DABHAK, Abu; 
a.k.a. ‘UL’A’LAH, ‘Ali Salih Husayn); DOB 
circa 1970; POB al-Hudaydah, Yemen; na-
tionality Yemen; Individual’s height is 5 
feet 9 inches. (individual) [SDGT]  
HUSAYN ALAYWAY, Al-Sayyid Ahmad 
Fathi; DOB 30 Jul 1964; POB Suez, Egypt; 
nationality Egypt (individual) [SDGT]  
HUSSAIN, Mazen Ali (a.k.a. SALAH 
MUHAMAD, Issa), Schwabsch Hall Prison, 
Germany; Braenderstrasse 28, Augsburg 
88154, Germany; DOB 1 Jan 1982; alt. DOB 
1 Jan 1980; POB Baghdad, Iraq; nationality 
Iraq; Travel Document Number A0144378 
(Germany) (individual) [SDGT]  
HUWAYS, Abd-al-Tawab Mulah; DOB 1957; 
alt. DOB 14 Mar 1942; POB Mosul or Bagh-
dad, Iraq; nationality Iraq; deputy prime 
minister; director, Organization of Mili-
tary Industrialization (individual) [IRAQ2]  
HYALITE (vessel) [CUBA]  
HYDE, Clive Norman (a.k.a. HYDE SR., 
Clive Norman; a.k.a. “MR. HYDE”); DOB 8 
Apr 1956; POB Belize (individual) [SDNT]  
HYSEN, Xhemal; DOB 15 Aug 1958; POB 
Lojane, Macedonia (individual) [BAL-
KANS]  
P.C. INTERNATIONAL LIMITED, United 
Kingdom [IRAQ2]  
P.C. MARKETING LIMITED, United King-
dom [IRAQ2]  
IAC INTERNATIONAL INC. (a.k.a. I A C 
INTERNATIONAL INC.; a.k.a. INTER-
ATIONAL AIRLINE CONSULTING), 8940 
NW 24 TERRACE, Miami, FL 33122; Busi-
ness Registration Document #P9800004558 
(United States); US FEIN 65-0842701 [BPI-- 
SDNTK]  
IB OF AMERICA HOLDINGS INC., 811 S. 
Central Expressway, Suite 210, Richardson, TX 
75080 [LIBERIA]  
IBADAN LTD.A., Calle 28 No. 27–18, Tulua, 
Valle, Colombia; NIT #800112215–1 (Colom-
bia) [SDNT]  
IBANEZ LOPEZ, Raul Alberto, c/o INCOES 
LTD.A., Cali, Colombia; c/o INMOBILIARIA 
U.M.V. S.A., Cali, Colombia; c/o GANADERIAS DEL VALLE S.A., Cali, Co- 
lombia; c/o DISTRIBUIDORA DE 
ELEMENTOS PARA LA CONSTRUCCION 
S.A., Cali, Colombia; c/o AGROPECUARIA 
LA ROBLEDA S.A., Cali, Colombia; DOB 11 
Apr 1966; Cedula No. 1560123 (Colombia) 
(individual) [SDNT]  
IBARRA YEPIZ, Prisciliano (a.k.a. IBARRA 
YEPIZ, Pricilliano; a.k.a. IBARRA YEPIS, 
Prisciliano; a.k.a. YBARRA YEPIS, 
Priciliano), Mexico; DOB 04 Jan 1977; POB 
Sonora, Mexico; citizen Mexico; national-
ity Mexico; C.U.R.P. IAYP770104HSRRPBR00 
(Mexico) (individual) [SDNT]  
IBRAHIM, Dawood (a.k.a. ANIS, Ibrahim 
Shahid Mohd; a.k.a. AZIZ, Abdul Hamid 
Abdul; a.k.a. DILIP, Aziz; a.k.a. EBRAIM, 
Dawood; a.k.a. HASAN, Shahid 
Daud; a.k.a. HASSAN, Dawood; a.k.a. IBRAHIM, Anis; a.k.a. IBRAHIM, Dawood 
Sheik; a.k.a. KASKAR, Dawood Ibrahim; 
a.k.a. REHMAN, Shahid Ismail Abdul; 
a.k.a. SAIIRI, Dawood; a.k.a. SAHEB, 
Amir; a.k.a. SETH, Iqbal), 33–36, 
Pakmodiya Street, Haji Musafirkhana, 
Dongri, Bombay, India; 617 CP Berar Soci-
ey, Block 7–8, Karachi, Pakistan; White 
House, Al-Wassal Road, Jumeira, Dubai; United Arab Emirates; House No. 10, Hill 
Top Arcade, Defence Housing Authority, 
Karachi, Pakistan; House No. 37, Street 30, 
Phase V, Defence Housing Authority, Kar-
achi, Pakistan; Moin Palace, 2nd Floor, 
Opp. Abdullah Shah Gazi Dargah, Clifton, 
Karachi, Pakistan; DOB 26 Dec 1955; alt. 
DOB 31 Dec 1955; POB Ratnagiri, 
Maharashtra, India; citizen India; alt. cit-
zation United Arab Emirates; alt. citizen 
Pakistan; nationality India; Passport F– 
823692 (Yemen) issued 02 Sep 1989; alt. Pass-
port G–869537 (Pakistan); alt. Passport A– 
333602 (India) issued 04 Jun 1983; alt. Pass-
port P–537049 (India) issued 30 Jul 1979; alt. 
Passport G–866537 (Pakistan) issued 12 Aug 
1991; alt. Passport A–501801 (India) issued 26 
Jul 1985; alt. Passport A–717288 (United 
Arab Emirates) issued 18 Aug 1985; alt. 
Passport K–560090 (India) issued 30 Jul 1975; 
alrt. Passport V–57665 (Pakistan) issued 03 Oct 
1983; alt. Passport R–841697 (India) issued 26 
Nov 1981; alt. Passport M–116222 (India) 
issued 13 Nov 1978 (individual) [SDGT] 
ICDB (a.k.a. ISLAMIC CO-OPERATIVE DE-
VELOPMENT BANK), P.O. Box 62, Khar-
toum, Sudan [SDNTK]  
IDARRAGA ESCANDON, Herned (a.k.a. 
IDARRAGA ESCANDON, Herne), c/o GRA-
CADAL S.A., Cali, Colombia; c/o DISMERE-
COOP, Cali, Colombia; Carrera 25A 
No. 49–73, Cali, Colombia; DOB 22 Dec 1954; 
Cedula No. 16596988 (Colombia) (individual) 
[SDNT]
IDARRAGA ORTIZ, Jaime, c/o INVERSIONES CAMINO REAL S.A., Cali, Colombia; c/o DEPOSITO POPULAR DE DROGAS S.A., Cali, Colombia; c/o IMPERATORI LTD., Cali, Colombia; c/o LABORATORIOS BLAIMAR DE COLOMBIA S.A., Bogota, Colombia; c/o INTERAMERICA DE CONSTRUCCIONES S.A., Cali, Colombia; c/o BLANCO PHARMA S.A., Bogota, Colombia; c/o DISTRIBUIDORA DE DROGAS CONDOR LTDA., Bogota, Colombia; c/o DISTRIBUIDORA DE DROGAS LA REBAJADA S.A., Bogota, Colombia; c/o FARMATODO S.A., Bogota, Colombia; c/o DROGAS LA REBAJADA BOGOTA S.A., Bogota, Colombia; c/o LABORATORIOS KRESSFOS DE COLOMBIA S.A., Bogota, Colombia; DOB 14 Dec 1941; Cedula No. 81524011 (Colombia) (individual) [SDNT]

IDARRAGA RIOS, Andres Felipe, c/o 2000–DODGE S.L., Madrid, Spain; c/o 2000 DOSE E.U., Cali, Colombia; C Y 5 MEDIOS E.U., Cali, Colombia; Cedula No. 16274109 (Colombia); Passport 16274109 (Colombia) (individual) [SDNT]

IDARRAGA RODRIGUEZ, Mauricio, c/o ASPOER DEL PACIFICO Y CIA. LTDA., Cali, Colombia; c/o FUNDASER, Cali, Colombia; DOB 16 Mar 1970; Cedula No. 94307887 (Colombia); Passport 94307887 (Colombia) (individual) [SDNT]

IKHTIYAR, Hisham (a.k.a. AL IKHTIYAR, Hisham; a.k.a. AL–IKHTIYAR, Hisham; a.k.a. AL–IKHTIYAR, Hisham Ahmad; a.k.a. BAKHTIAR, Hisham; a.k.a. BAKHTIYAR, Hisham; a.k.a. ICHTIJAR, Hisham; a.k.a. ICHTIJAR, Hisham Ahmad; a.k.a. ICHTIJAR, Hisham), Maliki, Damascus, Syria; DOB 1941; Major General; Director, General Security Bureau (individual) [SDNT]

INDUSTRIAL DEVELOPMENT CORPORATION OF ZIMBABWE LTD (a.k.a. INDUS–TION OF ZIMBABWE LTD (a.k.a. INDUSTRIAL BANK COMPANY FOR TRADE & DEVELOPMENT LIMITED), Khartoum, Sudan [SUDAN]

INDUSTRIAL BANK COMPANY FOR TRADE & DEVELOPMENT LIMITED (a.k.a. INDUSTRIAL BANK COMPANY FOR TRADE & DEVELOPMENT LIMITED), Khartoum, Sudan [SUDAN]

INDISTRIBUTORE DE DROGAS CONDOR LTDA., Bogota, Colombia; c/o DISTRIBUIDORA DE DROGAS LA REBAJADA S.A., Bogota, Colombia; c/o FARMATODO S.A., Bogota, Colombia; c/o DROGAS LA REBAJADA BOGOTA S.A., Bogota, Colombia; c/o LABORATORIOS KRESSFOS DE COLOMBIA S.A., Bogota, Colombia; DOB 14 Dec 1941; Cedula No. 81524011 (Colombia) (individual) [SDNT]

INDOCOMER, Avenida 6N y Avenida 4 No. 13N–50 of. 1201, Cali, Colombia; NIT #800152058–0 (Colombia) [SDNT]

IMPRISA, Spain [CUBA]

IMPRISA, S.A., Panama [CUBA]

INCOMMERCE S.A., Calle 13 No. 66–14, Cali, Colombia; NIT #80523354–4 (Colombia) [SDNT]

INDABURU LUENGAS, Pedro Enrique, c/o COMERCIALIZADORA MOR GAVIRIA S.A., Quito, Ecuador; c/o INTERNACIONAL DE PROYECTOS INMOBILIARIOS S.A., Quito, Ecuador; c/o COMERCIALIZADORA MORDUR S.A., Quito, Ecuador; DOB 29 Jun 1968; POB Bogota, Colombia; Cedula No. 19074171 (Colombia); alt. Cedula No. 171901161–9 (Ecuador) (individual) [SDNT]

INDIO VITORIO S. DE P.R. DE R.L. DE C.V., Saucillo, Chihuahua, Mexico; R.F.C. IVI–03831–1L6 (Mexico) [SDNT]

INDUSTRIA DE PESCA SOBRE EL PACIFICO S.A (a.k.a. INPESCA S.A.), Avenida Simon Bolivar Km. 5 El Pinal, Buenaventura, Colombia; Km. 5 El Pinal, Buenaventura, Colombia; NIT #890302172–4 (Colombia) [SDNT]

INDUSTRIA MADgjERICA ARCA LTDA., Calle 11 No. 32–47 Bodega 41 Arroyohondo, Cali, Colombia; Calle 32 No. 11–41 Bodega 4 Arroyohondo, Cali, Colombia; NIT #800122966–7 (Colombia) [SDNT]

INDUSTRIAL BANK COMPANY FOR TRADE & DEVELOPMENT LIMITED (a.k.a. INDUSTRIAL BANK COMPANY FOR TRADE & DEVELOPMENT LIMITED), Khartoum, Sudan [SUDAN]

INDUSTRIAL BANK OF SUDAN (n.k.a. EL INDUSTRIAL BANK COMPANY FOR TRADE & DEVELOPMENT LIMITED), Khartoum, Sudan [SUDAN]

INDUSTRIAL DEVELOPMENT BANK GROUP), United Nations Square, P.O. Box 1722, Khartoum, Sudan [SUDAN]

INDUSTRIAL BANK OF SUDAN (a.k.a. INDUSTRIAL DEVELOPMENT BANK GROUP), United Nations Square, P.O. Box 1722, Khartoum, Sudan [SUDAN]

INDUSTRIAL DE GESTION DE NEGOCIOS INDUSTRIAL, United Nations Square, P.O. Box 1722, Khartoum, Sudan [SUDAN]

INDUSTRIAL DEVELOPMENT CORPORATION OF ZIMBABWE LTD (a.k.a. INDUSTRIAL DEVELOPMENT CORPORATION OF ZIMBABWE), 93 Park Lane, Harare, Zimbabwe; P.O. Box CY1431, Causeway, Harare, Zimbabwe; Phone 263–4–794805, Fax No. 263–4–290385 [ZIMBABWE]

e-Vallias Street, Sepah Square, Tehran, Iran [NPWMD]

IMERCO LTD., Calle Ruta Buga-Tuluá 4 Kilometros despues de San Pedro, San Pedro, Valle, Colombia; NIT #810004152–2 (Colombia) [SDNT]

IMPERATORI, Julio A., 20 Ironmonger Lane, London EC2V 0EY, United Kingdom; Managing Director, Havana International Bank (individual) [CUBA]

IMPORT MAPIRI LTDA., Carrera 7 No. 17–01 of. 603, Bogota, Colombia; Carrera 16 Bis No. 148–37, Bogota, Colombia; NIT #83079014–4 (Colombia) [SDNT]

IMPORTADORA Y COMERCIALIZADORA LTDA. (a.k.a. IMCOMER), Avenida 6N y Avenida 4 No. 13N–50 of. 1201, Cali, Colombia; NIT #800152058–0 (Colombia) [SDNT]

IMPRESA, Panama [CUBA]

IMPRESA, Spain [CUBA]

IMPRISA, Spain [CUBA]
INMOBILIARIA ESPARTA S.A. DE C.V.,
INMOBILIARIA EL PRESON S.A. DE C.V.,
INMOBILIARIA EL ESCORPION DEL
INMOBILIARIA EL ESCORIAL LTDA.,
INMOBILIARIA DEL CARIBE LTDA., Calle
INMOBILIARIA BOLIVAR LTDA., Calle 24N
INMOBILIARIA AURORA LTDA., Carrera
INGENIERIA TECNICA EN
INGASSANA MINES HILLS CORPORATION
INFRASTRUCTURE DEVELOPMENT BANK
INDUSTRIAS DEL ESPIRITU SANTO S.A.
INDUSTRIAS AGROPECUARIAS EL EDEN
INDUSTRIAS AGROPECUARIAS DEL
INDUSTRIAL PRODUCTION CORPORATION,
INDUSTRIAL MINERA Y PECUARIA S.A.
(a.k.a. IMPECUA S.A.), Carrera 30 No. 90–
82B La Castellana, Bogota, Colombia; NIT
#830068655–1 (Colombia) [SDNT]
INDUSTRIAL PRODUCTION CORPORATION,
P.O. Box 1034, El Gamaa Street,
Khartoum, Sudan [SUDAN]
INDUSTRIAL RESEARCH AND
CONSULTANCY INSTITUTE, P.O. Box 268,
Khartoum, Sudan [SUDAN]
INDUSTRIAS AGROPECUARIAS DEL
VALLE LTDA., Calle 52 No. 23E–30, Cali,
Colombia; Carrera 50 No. 9D–26 of. 07, Cali,
Colombia; NIT #80006160–5 (Colombia)
[SDNT]
INDUSTRIAS AGROPECUARIAS EL EDEN
S.A., Higueyoral Torri, Darien, Panama
[SDNT]
INDUSTRIAS DEL ESPIRITU SANTO S.A.
(a.k.a. FEUCOSTA; n.k.a. FRUTAS DE LA
COSTA S.A.), Carretera Oriental Km. 2 Via
Barranquilla, Malambo, Atlantico, Colombia;
NIT #821002015–8 (Colombia) [SDNT]
INFRASTRUCTURE DEVELOPMENT BANK
OF ZIMBABWE (a.k.a. ZIMBABWE
DEVELOPMENT BANK), P.O. Box 1720,
Harare, Zimbabwe; ZDB House, 99 Rotten
Row, Harare, Mashonaland East,
Zimbabwe; Phone No. 263–4–7744223
[ZIMBABWE]
INGASSANA MINES HILLS CORPORATION
(a.k.a. INGESSANA HILLS MINES
CORPORATION), P.O. Box 224, Khartoum,
Sudan; P.O. Box 1108, Khartoum, Sudan
[SUDAN]
INGENIERIA INMOBILIA S.A., Hermosillo,
Sonora, Mexico [SDNTK]
INMOBILIARIA ESTADO 29 S.A. DE C.V.,
Ocampo 1860 4, Colonia Zona Central,
Tijuana, Baja California, Mexico; Entre Juan
Sarabia y Plutarco Elias C., Tijuana, Baja
California, Mexico; R.F.C. #IEV–950628
(Mexico) [SDNTK]
INMOBILIARIA GAXIOLA HERMANOS S.A.
DE C.V. (f.k.a. DISTRIBUIDORA DE
MUEBLES GAXIOLA HERMANOS; a.k.a.
INMOBILIARIA GAXIOLA), Guadalajara,
Jalisco, Mexico; Michoacan 604 Inter. 11,
Colonia Cerrada Paraiso, Hermosillo,
Sonora 83170, Mexico; Blvd. L Encinas
numero 581–A, Esquina Truqui, Colonia
Pimentel, Hermosillo, Sonora, Mexico;
Bldv. Francisco Eusebio km. 177–7, Col. 5
de Mayo, Hermosillo, Sonora 83010,
Mexico; Blvd. Jose Maria Morelos sn y Ave 13 Col
Colinas del Bachoco, Hermosillo, Sonora
83000, Mexico; R.F.C. IGH91052UM3 (Mex-
ico); alt. R.F.C. DMG910522 (Mexico)
[SDNTK]
INMOBILIARIA HOTELERA DEL CARIBE
LTDA. (a.k.a. INHOCAR), Calle 74 No. 58–
30, Barranquilla, Colombia; NIT #800012713–
7 (Colombia) [SDNT]
INMOBILIARIA IMTASA LTDA., Carrera 3
No. 11–32 of. 939, Cali, Colombia; Calle 10
No. 4–47 piso 18, Cali, Colombia; NIT
#865012623–0 (Colombia) [SDNT]
INMOBILIARIA LA PROVINCIA S.A. DE
C.V., Cuauhtemoc: 6046 3 Libertad, Tijuana,
Baja California, Mexico; R.F.C. #IPR–
931014 (Mexico) [SDNTK]
INMOBILIARIA LINAERAS LTDA., Carrera 4
No. 12–20 of. 206, Cartago, Valle, Colombia;
NIT #800146860–7 (Colombia) [SDNT]
INMOBILIARIA PASADENA LTDA., Carrera
4 No. 12-20 of. 206, Cartago, Valle, Colombia;
NIT #800146861–4 (Colombia) [SDNT]
INMOBILIARIA QUICHLAO S.A. (f.k.a.
AGROPECUARIA B GRAND LTDA.),
Avenida 4N No. 6N–61, Apt. 510, Cali,
Colombia; NIT #817002547–1 (Colombia)
[SDNT]
INMOBILIARIA TIJUANA COSTA S.A. DE
C.V., Entre Abelarle L. Rodriguez y
Avenida Del Rio, Tijuana, Baja California,
Mexico; Agua Caliente 10449 9, Colonia
Avicion, Tijuana, Baja California, Mexico;
R.F.C. #ITC–910505 (Mexico) [SDNTK]
INMOBILIARIA UMA S.V., Carrera 83 No.
6–50, Edificio Alqueria, Torre C, of. 302,
Cali, Colombia [SDNT]
INMOBILIUM INVESTMENT CORP.,
Avenida Federico Boyd y Calle 51, Edificio
Torre Universal, Piso 3, Panama City,
Panama; RUC #03532126726 (Panama) [SDNT]
INMUEBLES SIERRA VISTA S.A. DE C.V.,
Hermosillo, Sonora, Mexico [SDNTK]
INSTITUTO NACIONAL DE TURISMO DE CUBA. Spain [CUBA]

INSUMOS ECOLOGICOS DE ORIENTE, S.A. DE C.V., Jose 1 Solorzano 746, Colonia Juarez, Mexico; R.F.C. IE0806245A3 (Mexico) [SDNT]

INTERAMERICANA DE CONSTRUCCIONES S.A. (f.k.a. ANDINA DE CONSTRUCCIONES S.A.), Calle 12 Norte No. 56-56, Cali, Colombia; NIT #80009526-3 (Colombia) [SDNT]

INTERAMERICANA DE AVIACION S.A. (f.k.a. INTER; a.k.a. INTERCONTINENTAL), Avenida El Dorado Entrada 2 Int. 6, Bogota, Colombia; NIT #860009526-3 (Colombia) [SDNT]

INTERCONSULT, Panama [CUBA]

INTERCONTINENTAL DE AVIACION S.A. (f.k.a. ANDINA DE CONSTRUCCIONES S.A.), Calle 12 Norte No. 56-56, Cali, Colombia; NIT #80009526-3 (Colombia) [SDNT]

INTERNACIONAL DE PROYECTOS INMOBILIARIOSIPI S.A. (a.k.a. INTER; a.k.a. INTERCONTINENTAL), Avenida El Dorado Entrada 2 Int. 6, Bogota, Colombia; NIT #80003810-6 (Colombia) [SDNT]

INTERCHREDITOS S.A. (a.k.a. INTERCREDITOS BOGOTA; a.k.a. INTERCREDITOS CALI), Bogota, Colombia; Avenida Roosevelt No. 38–32, Cali, Colombia 

INTERNATIONAL PACIFIC TRADING, INC., 2858 NW 79 Avenue, Miami, FL 33122; Business Registration Document #V16155 (United States); US FEIN 65–0315268 [BPI-SDNT]

INTERNATIONAL PETROLEUM, S.A. (a.k.a. IPESCO), Colon Free Zone, Panama [CUBA]

INTERNATIONAL SIKH YOUTH FEDERATION (a.k.a. "ISYF") [SDGT]

INTERNATIONAL TRANSPORT CORPORATION, Colon Free Zone, Panama [CUBA]

INTERPAL (a.k.a. AL-SANDUQ AL-FILISTINI LIL-IGHATHA; a.k.a. AL-SANDUQ AL-FILISTINI LIL-IGHATHA WA AL-TANMIYA; a.k.a. PALESTINE AND LEBANON RELIEF FUND; a.k.a. PALESTINE DEVELOPMENT AND RELIEF FUND; a.k.a. PALESTINE RELIEF AND DEVELOPMENT FUND; a.k.a. PALESTINE RELIEF FUND; a.k.a. PALESTINIAN AID AND SUPPORT FUND; a.k.a. PALESTINIAN RELIEF AND DEVELOPMENT FUND; a.k.a. RELIEF FUND; a.k.a. PRDF; a.k.a. RELIEF AND DEVELOPMENT FUND FOR PALESTINE; a.k.a. WELFARE AND DEVELOPMENT FUND FOR PALESTINE; a.k.a. WELFARE AND DEVELOPMENT FUND OF PALESTINE), P.O. Box 3333, London NW8 1RW, United Kingdom; Registered Charity No. 1040094 [SDGT]

INTERVENTORIA, CONSULTORIA Y ESTUDIOS LIMITADA INGENIEROS ARQUITECTOS (a.k.a. INCOES), Avenida 6N No. 13N–50 of. 1209, Cali, Colombia; NIT #15013268–1 (Colombia) [SDNT]

INTERNATIONAL ISLAMIC RELIEF ORGANIZATION PHILIPPINES BRANCH OFFICE (a.k.a. AL IGATHA AL-ISLAMIYA; a.k.a. EGASSA; a.k.a. HAYAT AL-IGHATHA AL-ISLAMIYA AL-ALAMIYA; a.k.a. HAYAT AL-IGHATHA AL-ISLAMIYA AL-ALAMIYA WA AL-TANMIYA; a.k.a. HAYAT AL-IGHATHA AL-ISLAMIYA AL-ALAMIYA WA AL-TANMIYA; a.k.a. HAYAT AL-IGHATHA AL-ISLAMIYA AL-ALAMIYA WA AL-TANMIYA; a.k.a. HAYAT AL-IGHATHA AL-ISLAMIYA AL-ALAMIYA WA AL-TANMIYA; a.k.a. HAYAT AL-IGHATHA AL-ISLAMIYA AL-ALAMIYA WA AL-TANMIYA; a.k.a. INTERNATIONAL ISLAMIC RELIEF AGENCY; a.k.a. INTERNATIONAL RELIEF ORGANIZATION; a.k.a. ISLAMIC RELIEF ORGANIZATION; a.k.a. WORLD ISLAMIC RELIEF ORGANIZATION), P.O. Box 3333, London NW8 1RW, United Kingdom; Registered Charity No. 1040094 [SDGT]

INVERSIÓN, CONSULTORÍA Y ESTUDIOS LIMITADA INGENIEROS ARQUITECTOS (a.k.a. INCOES), Avenida 6N No. 13N–50 of. 1209, Cali, Colombia; NIT #15013268–1 (Colombia) [SDNT]

INVAH S.C.S., Carrera 9A No. 12-61 p. 4, Bogota, Colombia; NIT #800162357–0 (Colombia) [SDNTK]

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INVERSIONES S.A., Carrera 3 No. 11–32 of. 939, Cali, Colombia; NIT #800234909–6 (Colombia) [SDNT]

INVERSIONES ADAG LTDTA., Carrera 16 No. 99–84 of. 316, Bogota, Colombia; NIT #830007842–8 (Colombia) [SDNTK]

INVERSIONES AGRICOLAS AYACUCHANAS Y CANADENSES LTDA., Calle 6A No. 15–48 of. 401, Lima, Peru; NIT #800052589–1 (Colombia) [SDNT]

INVERSIONES AGROINDUSTRIALES DEL OCCIDENTE LTDA. (a.k.a. INAGRO LTDTA.; f.k.a. RENTERIA CAICEDO E HIJAS Y CIA S.C.S.), Carrera 14 No. 13–56, Granada, Meta, Colombia; NIT #800052898–6 (Colombia) [SDNT]

INVERSIONES AGROPECUARIAS DEL ORIENTE LTDA. (a.k.a. INAGRO LTDTA.), Carrera 14 No. 13–56, Granada, Meta, Colombia; NIT #822006899–6 (Colombia) [SDNT]

INVERSIONES AGROPECUARIA ARIZONA LTDA., Calle 82 No. 43–21 Ofo. 1C, Barranquilla, Colombia; NIT #800219694–1 (Colombia) [SDNT]

INVERSIONES AGUILA LTDTA., Factoria La Rivera, La Union, Valle, Colombia; Carrera 14 No. 14–56, La Union, Valle, Colombia; NIT #891038383–0 (Colombia) [SDNT]

INVERSIONES ARA LTDTA., Avenida 4N 6N–67 of. 601, Cali, Colombia; Club El Remanso, Jamundi, Colombia; Avenida 6AN 23DN–16 of. 402, Cali, Colombia; Avenida 6AN 18–69 1–128, Cali, Colombia [SDNT]

INVERSIONES ARIO LTDTA., Carrera 4 No. 12–41 of. 608 y 701, Cali, Colombia; NIT #890328888–1 (Colombia) [SDNT]

INVERSIONES BOMBAY S.A. (a.k.a. AGROVETERINARIA EL TORO; a.k.a. AGROVETERINARIA EL TORO I), Transversal 29 No. 39–92, Bogota, Colombia; Calle 7 No. 55–69, Cali, Colombia; Calle 12B No. 28–50, Bogota, Colombia; Avenida 3 Bis Norte 25CN–69, Cali, Colombia; NIT #830018226–2 (Colombia) [SDNT]

INVERSIONES BRASILAR S.A. (f.k.a. INVERSIONES RIVERA CAICEDO Y CIA S.C.S.; f.k.a. “INRICA”), Carrera 11 No. 73–44, Ofc. 803, Bogota, Colombia; NIT #891030296–2 (Colombia) [SDNT]

INVERSIONES CARFENI, S.L., Calle Gran Via 80, Madrid 28013, Spain [SDNT]

INVERSIONES CLAUPI S.L., Calle Consuegra 3, 28036 Madrid, Madrid, Spain; C.I.F. B61684421 (Spain) [SDNT]

INVERSIONES CORPORATIVAS LTDA., Calle 16 Norte No. 9N–41, Cali, Colombia; NIT #800203627–2 (Colombia) [SDNT]

INVERSIONES CULZAT GUEVARA Y CIA. S.C.S., Avenida 4A Oeste No. 5–107 apt. 401, Cali, Colombia; Avenida 7N No. 22N–29, Cali, Colombia; Avenida 4A Oeste No. 5–107 apt. 401, Cali, Colombia; NIT #860065323–1 (Colombia) [SDNT]

INVERSIONES DEL PRADO ABDALA SAIEH Y CIA. S.C.A., Calle 77 B No. 57–141, Ofc. 901, Barranquilla, Colombia; NIT #890108452–0 (Colombia) [SDNT]

INVERSIONES DOBLE CERO E.U., Transversal 29 No. 39–92, Bogota, Colombia; NIT #830021686–7 (Colombia) [SDNT]

INVERSIONES EL EDEN S.C.S., Calle 62 No. 28E–30, Cali, Colombia; Calle 5 No. 22–39 of. 205, Cali, Colombia; NIT #800083195–5 (Colombia) [SDNT]

INVERSIONES EL GRAN CRISOL LTDA. (f.k.a. W. HERRERA Y CIA. S. EN C.), Carrera 24D Oeste No. 6–237, Cali, Colombia; Avenida 2N 7N–55 of. 501, Cali, Colombia; NIT #800001390–2 (Colombia) [SDNT]

INVERSIONES EL MOMENTO S.A., Carrera 49A No. 68S–60 Bod. 102, Medellin, Colombia; Carrera 49 No. 6LSur–540, Medellin, Colombia; NIT #811069776–7 (Colombia) [SDNT]

INVERSIONES EL PENON S.A., Avenida 2N, Cali, Colombia [SDNT]

INVERSIONES EL PROGRESO S.A. (a.k.a. “I.P. S.A.”), Carrera 4 No. 8–41, Cartagena, Colombia; Carrera 3 No. 8–38 Ofc. 1, Cartagena, Colombia; Olaya Herrera Carrera 68 No. 32B–45, Cartagena, Colombia; NIT #80606517–7 (Colombia) [SDNT]

INVERSIONES EN CANADERIA JESSICA, Carrera 10 Este No. 7–11, Cali, Colombia; Matricula Mercantil No 281899–1 (Colombia) [SDNT]

INVERSIONES EPOCA S.A., Calle 15 Norte No. 6N–34 ofc. 404, Cali, Colombia; NIT #890512582–7 (Colombia) [SDNT]

INVERSIONES ETERNAS DEL LITORAL S.A., Transversal 29 No. 39–92, Bogota, Colombia; NIT #830002677–6 (Colombia) [SDNT]

INVERSIONES EL PROGRESO S.A. (a.k.a. “I.P. S.A.”), Carrera 4 No. 8–41, Cartagena, Colombia; Carrera 3 No. 8–38 Ofc. 1, Cartagena, Colombia; Olaya Herrera Carrera 68 No. 32B–45, Cartagena, Colombia; NIT #80606517–7 (Colombia) [SDNT]

INVERSIONES FLOREZ Y FLOREZ Y CIA S.C.A. (a.k.a. FLOREZ Y FLOREZ Y CIA S.C.A.), Carrera 65 No. 34–35, Medellin, Colombia; NIT #811069947–7 (Colombia) [SDNT]

INVERSIONES GANADERAS Y PALMERAS S.A. (a.k.a. GNAPALMAS S.A.), Calle 18 No. 6–31 of. 704, Bogota, Colombia; NIT #890016274–6 (Colombia) [SDNTK]

INVERSIONES GANALORIO LTDA., Edif. Parque Santander of. 906, Villavicencio, Colombia; NIT #890016362–8 (Colombia) [SDNTK]

INVERSIONES GEELE LTDTA., Calle 17A No. 28A–23, Bogota, Colombia [SDNT]

INVERSIONES GRALE LTDTA., Factoria La Rivera, La Union, Valle, Colombia; NIT #81903520–7 (Colombia) [SDNT]

INVERSIONES GRANDA RESTREPO Y CIA S.C.A. (a.k.a. INGRANRES), Carrera 4 No. 24–37 Tr. B Apto. 202, Bogota, Colombia; NIT #830002677–6 (Colombia) [SDNTK]

INVERSIONES GUERRERO LTDTA., Avenida 2N 7N–55 of. 501, Cali, Colombia; Carrera 25 No. 4–65, Cali, Colombia [SDNT]

INVERSIONES HOTELERAS DEL LITORAL LTDA. (a.k.a. INHOTEL), Calle 74 No. 53–30, Barranquilla, Colombia; NIT #80011604–8 (Colombia) [SDNT]
INVERSIONES INMOBILIARIA QUILICHAO S.A.Y CIA. S.C.A. (f.k.a. RENGIFO OSPINA Y CIA S.C.S.), Avenida 4N No. 6N–61, Ofc. 519, Cali, Colombia; NIT #8001329058 (Colombia) [SDNT]

INVERSIONES INMOBILIARIAS VALERIA S.L., Calle Consuegra 3, 28036 Madrid, Madrid, Spain; Calle Zurbaran 78, 7, Madrid, Madrid, Spain; C.I.F. B01614154 (Spain) [SDNT]

INVERSIONES INTEGRAL LTDA., Apartado Aereo 10077, Cali, Colombia; Carrera 4 No. 12–41 of. 1463, 1501 Edificio Seguros Bolivar, Cali, Colombia; NIT #800092770–9 (Colombia) [SDNT]

INVERSIONES INTEGRAL Y CIA., Calle 16B No. 114–40 Casa 2, Cali, Colombia; Carrera 2 Oeste 5–46 apt/of 503, Cali, Colombia [SDNT]

INVERSIONES JAER LTDA., Apartado Aereo 10454, Cali, Colombia; Carrera 1H No. 39–42, Cali, Colombia; Carrera 7 No. 34–341 Bodega 7, Cali, Colombia; Calle 6A Norte No. 2N–36 of. 436, Cali, Colombia; NIT #890035223–1 (Colombia) [SDNT]

INVERSIONES KANTON LTDA., Avenida 10A No. 5E–26 La Rivera, Cucuta, Norte de Santander, Colombia; NIT #807000572–9 (Colombia) [SDNT]

INVERSIONES LA QUINTA Y CIA. LTDA., Diagonal 27 No. 27–104, Cali, Colombia; Diagonal 29 No. 36–10 of. 601, Cali, Colombia; NIT #800160387–2 (Colombia) [SDNT]

INVERSIONES LA SEXTA LTDA., Calle 10 No. 4–47 piso 19, Cali, Colombia [SDNT]

INVERSIONES LAMARC S.A., Carrera 17 No. 8–38, Cartagena, Colombia; Carrera 4a No. 8–41, Cartagena, Colombia; NIT #900162108–6 (Colombia) [SDNT]

INVERSIONES LAS ACASIAS Y CIA. LTDA., Carrera 17 No. 14–41, Acacias, Meta, Colombia; NIT #822001081–3 (Colombia) [SDNTK]

INVERSIONES LICOM LTDA., (a.k.a. RESTAURANTE ANGUS BRANUS), Carrera 45 No. 54–56, Via las Palmas, Medellín, Colombia; Carrera 42 No. 34–15, Medellín, Colombia; NIT #811038211–4 (Colombia) [SDNT]

INVERSIONES LOS POSO LTDA. S.C.S., Factoria La Rivera, La Union, Valle, Colombia; NIT #891037650–8 (Colombia) [SDNT]

INVERSIONES LOS TUNJOS LTDA., Calle 62 No. 9A–82 of. 616, Bogota, Colombia; NIT #830147501–1 (Colombia) [SDNTK]

INVERSIONES LUPAMAR, S.A. (a.k.a. LUPAMAR INVESTMENT COMPANY), Panama (CUBA)

INVERSIONES MACARNIC PATINO Y CIA S.C.S., Carrera 8 No. 29–69, Ofc. 903, Pereira, Risaralda, Colombia; Calle 19 No. 9–50, Ofc. 505, Pereira, Risaralda, Colombia; NIT #816050114–4 (Colombia) [SDNT]

INVERSIONES MEDICAS Y QUIRURGICAS ESPECIALIZADAS LTDA., Calle 15 No. 31–42, Cali, Colombia; NIT #800171266–7 (Colombia) [SDNT]

INVERSIONES MONTAGRO Y CIA. S.C.S. (f.k.a. MARIELA DE RODRIGUEZ Y CIA. S. EN C.), Calle 12 Norte No. 9N–56–58, Cali, Colombia; NIT #890238152–1 (Colombia) [SDNT]

INVERSIONES MPS S.A. (f.k.a. EQUIPOS MPS S.A.), Avenida 13 No. 100–12 Ofc. 302, Bogota, Colombia; NIT #800223192–5 (Colombia) [SDNT]

INVERSIONES NAMOS Y CIA. LTDA., Carrera 54 No. 75–107, Barranquilla, Colombia; NIT #830028419–3 (Colombia) [SDNT]

INVERSIONES PRADO TRADE CENTER LTDA. (a.k.a. IPRACARIBE), Calle 74 No. 53–30, Barranquilla, Colombia; NIT #822036713–9 (Colombia) [SDNT]

INVERSIONES RODRIGUEZ RAMIREZ Y CIA. S.C.S., Calle 10 No. 4–47 piso 19, Cali, Colombia [SDNT]

INVERSIONES SAMPLA E.U., Calle 86 No. 103C–49, Bogota, Colombia; NIT #830020409–5 (Colombia) [SDNT]

INVERSIONES SANTA CECILIA S.C.S., Factoria La Rivera, La Union, Valle, Colombia; NIT #891037650–5 (Colombia) [SDNT]

INVERSIONES SANTA LTDA. (f.k.a. INVERSIONES Y CONSTRUCCIONES SANTA LIMITADA), Calle 5 66B–49 piso 3, Cali, Colombia; Carrera 4 12–41 piso 14, Edificio Seguros Bolivar, Cali, Colombia; Calle 9 No. 46–69 Of. 302, Cali, Colombia; Calle 5 Oeste 3A–26 apt/of 103, 301, 404, 502, 503, Cali, Colombia; Carrera 2 Oeste 5–46 of 502, Cali, Colombia; Calle 7 Oeste 25–48, Cali, Colombia; Carrera 12–41 piso 15, Edificio Seguros Bolivar, Cali, Colombia; Calle 13 3–32 piso 14, Cali, Colombia [SDNT]

INVERSIONES SANTA MONICA LTDA., Factoria La Rivera, La Union, Valle, Colombia; NIT #80042933–9 (Colombia) [SDNT]

INVERSIONES SARDI ALZATE S.C.S., Calle 16 Norte No. 9N–41, Cali, Colombia; NIT #80509125–0 (Colombia) [SDNT]

INVERSIONES TALADRO LTDA. (a.k.a. KUARZO DISCOTECA), Calle 1 K. 48 Anillo Aereo 10454, Cali, Colombia; NIT #830029451–4 (Colombia) [SDNT]

INVERSIONES VILLA PAZ S.A., Avenida 2DN No. 24N–76, Cali, Colombia; Carrera 61 No. 11–58, Cali, Colombia; Avenida 2CN No. 24N–92, Cali, Colombia; Calle 70N No. 14–31, Cali, Colombia; NIT #800910863–2 (Colombia) [SDNT]
INVERSIONES Y COMERCIALIZADORA INCOM LTDA. (f.k.a. CONSTRUCTORA HENA LTDA.), Calle 12 No. 4-63, Cali, Colombia; NIT #890328958-9 (Colombia) [SDNT]

INVERSIONES Y COMERCIALIZADORA RAMIREZ Y CIA. LTDA., Avenida 4 No. 8N-67, Cali, Colombia; Calle 12N No. 9N-56, Cali, Colombia; NIT #80007600-3 (Colombia) [SDNT]

INVERSIONES Y CONSTRUCCIONES ABC S.A. (f.k.a. INVERSIONES CAMINO REAL S.A.), Calle 10 No. 4-47 piso 19, Cali, Colombia; Calle 12 Norte No. 9N-56/58, Cali, Colombia; NIT #890325389-4 (Colombia) [SDNT]

INVERSIONES Y CONSTRUCCIONES VALLE S.A. (a.k.a. INCOVALLE), Avenida 2N No. 7N-55 of. 501, Cali, Colombia [SDNT]

INVERSIONES Y DISTRIBUCIONES A M M LTDA., Calle 5 No. 50–103, Cali, Colombia; NIT #800127291-2 (Colombia) [SDNT]

INVERSIONES Y REPRESENTACIONES S.A. (a.k.a. IBRS A S.A.), Carrera 4A No. 16A Sur–38, Barrio El Poblado, Medellin, Colombia; NIT #811042970-5 (Colombia) [SDNT]

INVESTCAST PRECISION CASTINGS, LTD., 112 City Road, London, United Kingdom [IRAQ2]

IPARRAGUIRRE GUENECHEA, Marta Soledad; DOB 25 Apr 1961; POB Escorlaza, Guipuzcoa Province, Spain; D.N.I. 16.255.819 (Spain); Member ETA (individual) [SDGT]

IRAN ARAK; Vessel Registration Identification IMO 9270646 (vessel) [NPWMD]

IRAN ARDEBIL; Vessel Registration Identification IMO 9284154 (vessel) [NPWMD]

IRAN AZADE; Vessel Registration Identification IMO 7632838 (vessel) [NPWMD]

IRAN AZARBAIJAN; Vessel Registration Identification IMO 9193185 (vessel) [NPWMD]

IRAN BAGHAEI; Vessel Registration Identification IMO 7562734 (vessel) [NPWMD]

IRAN BAGHERI; Vessel Registration Identification IMO 9152281 (vessel) [NPWMD]

IRAN BAMI; Vessel Registration Identification IMO 9238333 (vessel) [NPWMD]

IRAN BASEER; Vessel Registration Identification IMO 9010711 (vessel) [NPWMD]

IRAN BASHEER; Vessel Registration Identification IMO 9217542 (vessel) [NPWMD]

IRAN HIRJAND; Vessel Registration Identification IMO 9305229 (vessel) [NPWMD]

IRAN BOJNOORD; Vessel Registration Identification IMO 9305207 (vessel) [NPWMD]

IRAN BRAVE; Vessel Registration Identification IMO 9051650 (vessel) [NPWMD]

IRAN BROOJERDI; Vessel Registration Identification IMO 7562722 (vessel) [NPWMD]

IRAN BUSHEHR; Vessel Registration Identification IMO 9270658 (vessel) [NPWMD]

IRAN COMMUNICATION INDUSTRIES (a.k.a. ICI; a.k.a. IRAN COMMUNICATION INDUSTRIES GROUP; a.k.a. SANAYE MOKHABERAT IRAN), P.O. Box 19575–131, 34 Apadana Avenue, Tehran, Iran; Shahid Langary Street, Nabolond Square Ave., Pasdaran, Tehran, Iran; P.O. Box 19295–4731, Pasdaran Avenue, Tehran, Iran [NPWMD]

IRAN DALEER; Vessel Registration Identification IMO 9118551 (vessel) [NPWMD]

IRAN DEYANAT; Vessel Registration Identification IMO 8107579 (vessel) [NPWMD]

IRAN DOLPHIN; Vessel Registration Identification IMO 9320195 (vessel) [NPWMD]

IRAN ELECTRONICS INDUSTRIES (a.k.a. IEI; a.k.a. SANAYE ELECTRONIC IRAN; a.k.a. SASAD IRAN ELECTRONICS INDUSTRIES; a.k.a. SHERKAT SANAYEH ELECTRONICS IRAN), P.O. Box 19575–365, Shahid Langary Street, Noblandy 8q, Pasdaran Ave., Saltanad Abad, Tehran, Iran; P.O. Box 71365–1174, Hossain Abad-Ardakan Road, Shiraz, Iran; Business Registration Document #829 [NPWMD]

IRAN ENTEKHAB; Vessel Registration Identification IMO 7632814 (vessel) [NPWMD]

IRAN ESTEGHLAL; Vessel Registration Identification IMO 7620550 (vessel) [NPWMD]

IRAN FARS; Vessel Registration Identification IMO 9283921 (vessel) [NPWMD]

IRAN GHADEER; Vessel Registration Identification IMO 9010723 (vessel) [NPWMD]

IRAN GHADI; Vessel Registration Identification IMO 8306772 (vessel) [NPWMD]
IRAN GILAN; Vessel Registration Identification IMO 9193202 (vessel) [NPWMD]
IRAN GOLESTAN; Vessel Registration Identification IMO 9226944 (vessel) [NPWMD]
IRAN GAMADAN; Vessel Registration Identification IMO 9226956 (vessel) [NPWMD]
IRAN HAMZEH; Vessel Registration Identification IMO 8320171 (vessel) [NPWMD]
IRAN HORMUZ 12; Vessel Registration Identification IMO 9005596 (vessel) [NPWMD]
IRAN HORMUZ 14; Vessel Registration Identification IMO 9203778 (vessel) [NPWMD]
IRAN HORMUZ 1; Vessel Registration Identification IMO 8314263 (vessel) [NPWMD]
IRAN HORMUZ 22; Vessel Registration Identification IMO 8314725 (vessel) [NPWMD]
IRAN HORMUZ 23; Vessel Registration Identification IMO 8319782 (vessel) [NPWMD]
IRAN HORMUZ 25; Vessel Registration Identification IMO 8422072 (vessel) [NPWMD]
IRAN HORMUZ 26; Vessel Registration Identification IMO 8422084 (vessel) [NPWMD]
IRAN ILAM; Vessel Registration Identification IMO 9226903 (vessel) [NPWMD]
IRAN JOMHURI; Vessel Registration Identification IMO 7623826 (vessel) [NPWMD]
IRAN KABEE; Vessel Registration Identification IMO 9074748 (vessel) [NPWMD]
IRAN KASHAN; Vessel Registration Identification IMO 9270696 (vessel) [NPWMD]
IRAN KERMAN; Vessel Registration Identification IMO 9289530 (vessel) [NPWMD]
IRAN KERMANSHAH; Vessel Registration Identification IMO 9213399 (vessel) [NPWMD]
IRAN KHOI; Vessel Registration Identification IMO 9192120 (vessel) [NPWMD]
IRAN KOLAHDOOZ; Vessel Registration Identification IMO 7422809 (vessel) [NPWMD]
IRAN MADANI; Vessel Registration Identification IMO 8309622 (vessel) [NPWMD]
IRAN MAHALATI; Vessel Registration Identification IMO 7422823 (vessel) [NPWMD]
IRAN MATIN; Vessel Registration Identification IMO 8356224 (vessel) [NPWMD]
IRAN MAZANDARAN; Vessel Registration Identification IMO 9193197 (vessel) [NPWMD]
IRAN MODARES; Vessel Registration Identification IMO 7619885 (vessel) [NPWMD]
IRAN NABUVAAT; Vessel Registration Identification IMO 9761571 (vessel) [NPWMD]
IRAN NAVAB (a.k.a. IRAN HORIZON SHIPPING COMPANY); Vessel Registration Identification IMO 8320145 (vessel) [NPWMD]
IRAN NOWSHAIR; Vessel Registration Identification IMO 9367994 (vessel) [NPWMD]
IRAN O HIND SHIPPING COMPANY (a.k.a. IRAN & EGYPT SHIPPING LINES; a.k.a. IRAN AND EGYPT SHIPPING LINES; a.k.a. IRANMISR SHIPPING CO.); No. 41, 3rd Floor, Corner of 6th Alley, Sanaei St., Karim Khan Zand Ave., Tehran, Iran; El Nahda Building, Elmahda St., 4th Floor, Port Said, Egypt; 6 El Horreya Avenue, Alexandria, Egypt [NPWMD]
IRAN OVERSEAS INVESTMENT BANK LIMITED (f.k.a. IRAN OVERSEAS INVESTMENT CORPORATION LIMITED), 120 Moorgate, London EC2M 6YS, United Kingdom; all offices worldwide [IRAN]
IRAN PIROOZI; Vessel Registration Identification IMO 9283007 (vessel) [NPWMD]
IRAN SARBAZ; Vessel Registration Identification IMO 8113301 (vessel) [NPWMD]
IRAN SEPAH; Vessel Registration Identification IMO 7373936 (vessel) [NPWMD]
IRAN SHAHED; Vessel Registration Identification IMO 9184691 (vessel) [NPWMD]
IRAN SHALAMCHEH; Vessel Registration Identification IMO 8639225 (vessel) [NPWMD]
IRAN SHARIAT; Vessel Registration Identification IMO 8107581 (vessel) [NPWMD]
IRAN TABAS; Vessel Registration Identification IMO 9305192 (vessel) [NPWMD]
IRAN TAKHTI; Vessel Registration Identification IMO 7623194 (vessel) [NPWMD]
IRAN TEYPouri; Vessel Registration Identification IMO 7623111 (vessel) [NPWMD]
IRAN TOHRAMAN; Vessel Registration Identification IMO 938015 (vessel) [NPWMD]
IRAN TUCHAL; Vessel Registration Identification IMO 9184656 (vessel) [NPWMD]
IRAN YAZD; Vessel Registration Identification IMO 9284142 (vessel) [NPWMD]
IRAN ZANJAN; Vessel Registration Identification IMO 9283019 (vessel) [NPWMD]
IRAN ALIYI SERVICES LIMITED, United Kingdom [IRAQ2]
IRAI FREIGHT SERVICES LIMITED, United Kingdom [IRAQ2]
IRAQ TRADE CENTER, Dubai, United Arab Emirates [IRAQ2]
IRISH AIR COMPANY, UL Furmanova 65, office 317, Aimbay 4904, Kazakhstan [LIBERIA]
INVESTSHIP Ltd., Global House, 61 Petty France, London SW1H 9EU, United Kingdom; Business Registration Document #4110143 (United Kingdom) [NPWMD]
IRISL (MALTA) LIMITED, Flat 1, 181, Tower Road, Sienna SLM 1604, Malta; Business Registration Document #C137334 (Malta); Tax ID No. MT 17057313 (Malta) [NPWMD]
IRISL (UK) LTD., 2 Abbey Rd., Barking, Essex IG11 7AX, United Kingdom; Business Registration Document #4110140 (United Kingdom) [NPWMD]
Office of Foreign Assets Control, Treasury

Registration Document #4765305 (United Kingdom) [NPWMD]

IRISL CHINA SHIPPING CO., LTD. (a.k.a. YI HANG SHIPPING COMPANY, LTD.), Fl. 12, No. 1, Taizi Road, Shekou, Shenzhen 518067, China [NPWMD]

IRISL EUROPE GMBH, Schottweg 3, 22807, Hamburg, Germany; V.A.T. Number DE321729138 (Germany) [NPWMD]

IRISL MARINE SERVICES & ENGINEERING COMPANY; a.k.a. IMSENGCO; a.k.a. IRISL NAVIGATION SERVICES AND ENGINEERING COMPANY; a.k.a. SHERKATE KHADAMTE DARYA AND MOHAMDESII KESHTITRANI, No. 221, Northern Iran; No. 37, Corner of 7th Narenjestan, Pasdaran Ave., Tehran, Iran; Sarbandar, Gas Station, P.O. Box 199, Bandar Imam Khomeini, Iran; Karim Khan Zand Ave., Iran Sahr Shomai, No. 221, Tehran, Iran [NPWMD]

IRISL MULTIMODAL TRANSPORT CO. (a.k.a. RAIL IRAN SHIPPING COMPANY), No. 25, Shahid Arabi Line, Sanaei St., Karimkhani Zand St., Tehran, Iran [NPWMD]

IRITAL SHIPPING SRL COMPANY, Ponte Francesco Morosini 59, 16126 Genova (GE), Italy; Commercial Registry Number GE 426505 (Italy); Italian Fiscal Code 03329300101 (Italy); V.A.T. Number E2960140157 (Italy) [NPWMD]

ISAMUDDIN, Nurjaman Riduan (a.k.a. AL-WAKALA AL-ISLAMIYA AL-AFRIKIA L’IL-IGHATHA; a.k.a. AL-WAKALA AL-ISLAMIYA L’IL-IGHATHA; a.k.a. IARA; a.k.a. ISLAMIC RELIEF AGENCY; a.k.a. ISLAMIC RELIEF AGENCY; a.k.a. ISLAMIC SALVATION FOUNDATION; a.k.a. NEW JIHAD; a.k.a. THE BASE; a.k.a. THE JIHAD GROUP; a.k.a. THE WORLD ISLAMIC FRONT FOR JIHAD AGAINST JEWS AND CRUSADERS; a.k.a. USAMA BIN LADEN NETWORK; a.k.a. USAMA BIN LADEN ORGANIZATION) [SDT] [FTO] [SDGT]

ISLAMIC ARMY OF ADEN [SDGT]

ISLAMIC JIHAD GROUP (a.k.a. AL-DJIHAD AL-ISLAMI; a.k.a. DZHAMAAAT MADZHAKHEDOV; a.k.a. ISLAMIC JIHAD GROUP OF UZBEKISTAN; n.k.a. ISLAMIC JIHOD ITTIHODI; n.k.a. ITTIHAD AL-JIHAD AL-ISLAMI; a.k.a. JAMA’AT AL-JIHAD AL-ISLAMI; a.k.a. JAMA’AT AL-JIHAD AL-ISLAMI; a.k.a. JAMA’AT AL-JIHAD AL-ISLAMI; a.k.a. JAMA’AT AL-JIHAD AL-ISLAMI; a.k.a. JAMA’AT AL-JIHAD AL-ISLAMI; a.k.a. JAMA’AT AL-JIHAD AL-ISLAMI; a.k.a. JAMA’AT AL-JIHAD AL-ISLAMI; a.k.a. JAMAAT AL-JIHAD AL-ISLAMI; a.k.a. JAMIYAT; a.k.a. THE JAMAAT MOJAHEHIN; a.k.a. THE KAZAKH JAMA’AT; a.k.a. THE LIBYAN SOCIETY; a.k.a. “LIG” [SDT] [FTO]) [SDGT]

ISLAMIC MOVEMENT OF UZBEKISTAN (a.k.a. IMU) [FTO] [SDGT]

ISLAMIC NATIONAL BANK OF GAZA (a.k.a. ISLAMIC NATIONAL BANK COMPANY; a.k.a. PALESTINE ISLAMIC NATIONAL BANK; a.k.a. “ISLAMIC NATIONAL BANK”; a.k.a. “NATIONAL AND ISLAMIC BANK”; a.k.a. “NATIONAL ISLAMIC BANK”), Al-Rimal District, Al Wadhan Al Yarmuk Street junction, Gaza City, Gaza, Palestinian; Khan Yunis, Gaza, Palestinian; E-mail Address info@inb.ps; Registration ID 563201581 (Palestinian); Web site www.inb.ps; Telephone: 97028261183; Fax: 97028261184 [SDGT]

ISLAMIC REPUBLIC OF IRAN SHIPPING LINES (a.k.a. ARYA SHIPPING COMPANY; a.k.a. IRI SHIPPING LINES; a.k.a. IRISL; a.k.a. IRISL GROUP), No. 57, Aseman Tower, Sayyade Shiraze Square, Pasdaran Ave., P.O. Box 16936–1311, Tehran, Iran; No. 37, Corner of 7th Narenjestan, Sayad Shiraze Square, After Noboyand Square, Pasdaran Ave., Tehran, Iran [NPWMD]

ISLAMIC RESISTANCE SUPPORT ORGANIZATION (a.k.a. HAYAT AL-DAM LIL-MUQAWAMA AL-ISLAMIYA; a.k.a. ISLAMIC RESISTANCE SUPPORT ASSOCIATION), Beirut, Lebanon [SDGT]

ISLAMIC REVOLUTIONARY GUARD CORPS (a.k.a. AGIR; a.k.a. IRANIAN REVOLUTIONARY GUARD CORPS; a.k.a. IRG; a.k.a. IRGC; a.k.a. ISLAMIC REVOLUTIONARY CORPS; a.k.a. ISLAMIC REVOLUTIONARY GUARD; a.k.a. PASDARAN; a.k.a. ENGHELAB-E ISLAMI; a.k.a. PASDARAN-E INQILAB; a.k.a. REVOLUTIONARY GUARD; a.k.a. REVOLUTIONARY GUARDS; a.k.a. SEPAH; a.k.a. SEPeh PASDARAN; a.k.a. SEPeh-E PASDARAN-E INQILAB-E ESLAMI; a.k.a. THE ARMY OF THE GUARDIANS OF THE ISLAMIC REVOLUTION; a.k.a. THE IRANIAN REVOLUTIONARY GUARDS), Tehran, Iran [NPWMD]

ISLAMIC REVOLUTIONARY GUARD CORPS (IRGC)-QODS FORCE (a.k.a. SEPAH; a.k.a. SEPeh PASDARAN; a.k.a. SEPeh-E PASDARAN-E INQILAB-E ESLAMI; a.k.a. THE ARMY OF THE GUARDIANS OF THE ISLAMIC REVOLUTION; a.k.a. THE IRANIAN REVOLUTIONARY GUARDS), Tehran, Iran [NPWMD]
ISLAMI; a.k.a. MOHAMMED'S ARMY; a.k.a. TEHRIR UL-PURQAAN), Pakistan [FTO] [SDGT]

JAKSIC, Marko; DOB 1954; POB Mitrovica, Serbia and Montenegro (individual) [BALKANS]

JAKUPI, Avdyl; DOB 20 Apr 1974; POB Stimlje, Kosovo, Serbia (individual) [BALKANS]

JALOLOV, Najmiddin Kamolitdinovich (a.k.a. ABU YAHYA MUHAMMAD FATIH; a.k.a. JALOLOV, Najmiddin; a.k.a. YAKH'YO; a.k.a. NHAMIDIN; a.k.a. ZHALOLOV, Najhmiddin; a.k.a. ZHALOLOV, Najhmiddin Kamoldinovich; a.k.a. ZHALOLOV, Nazhmiddin Kamoldinovich; a.k.a. ZHALOLOV, Nazhmiddin; a.k.a. ZHALOLOV, Nazhmiddin Kamoldinovich; a.k.a. ZHALOLOV, Nazhmiddin Kamoldinovich; a.k.a. ZHALOLOV, Nazhmiddin Kamoldinovich; a.k.a. ZHALOLOV, Nazhmiddin Kamoldinovich; a.k.a. ZHALOLOV, Nazhmiddin Kamoldinovich; a.k.a. ZHALOLOV, Nazhmiddin Kamoldinovich; a.k.a. ZHALOLOV, Nazhmiddin Kamoldinovich; a.k.a. ZHALOLOV, Nazhmiddin Kamoldinovich; a.k.a. ZHALOLOV, Nazhmiddin Kamoldinovich; a.k.a. ZHALOLOV, Nazhmiddin Kamoldinovich; a.k.a. ZHALOLOV, Nazhmiddin Kamoldinovich; a.k.a. 'ABDURAKHMON'; a.k.a. ''YAHYO''), S. Jalilov Street 14, Khartu, Andijan region, Uzbekistan; DOB 1 Apr 1972; alt. DOB 1972; POB Andijan region, Uzbekistan; nationality Uzbekistan (individual) [SDGT]

JAMARO CONSTRUCTORES S.A. DE C.V., Culiacan, Sinaloa, Mexico [SDNTK]


JAMCE INVESTMENTS LTD., Georgetown, Grand Cayman, Cayman Islands [SDNT]

JAMI JAMI (a.k.a. JAMA' JAMA'; a.k.a. JAMEA, Jamea Kamil; a.k.a. JAM'I JAMI); DOB 16 Jun 1964; POB Jableh, Zama, Syria; Brigadier General (individual) [SYRIA]

JAMIL GEORGES, Fahd (a.k.a. JAMIL GEORGES, Fuad; a.k.a. YAMIL GEORGES, Fahd; a.k.a. "EL PADRINO"; a.k.a. "TURCO"), Pedro Juan Caballero, Amambay, Paraguay; Ponta Pora, Mato Grosso do Sul, Brazil; DOB 7 Jun 1941; citizen Brazil; nationality Lebanon; Cedula No. RG-013447 (Brazil) (individual) [SDNTK]

JAMMALI, Imed Ben Bechir Ben Hamda, via Dubini, n. 3, Gallarate, Varese, Italy; DOB 25 Jan 1968; POB Menzel Temine, Tunisia; nationality Tunisia; Italian Fiscal Code JMMMDH86A22Z352D; Passport K69312 issued 23 Apr 1999 expires 22 Apr 2004; Currently in jail in Tunisia (individual) [SDGT]

JAM'YAH TA'AWUN AL-ISLAMIA (a.k.a. JAM'IYAT AL TA'AWUN AL ISLAMIYYA; a.k.a. JTT; a.k.a. SOCIETY OF ISLAMIC COOPERATION), Qandahar City, Afghanistan [SDGT]

JANJALANI, Khadafi Abubakar (a.k.a. ABU MUKTAR; a.k.a. JANJALANI, Khadafy; a.k.a. JANJALANI, Khaddafy Abubakar); DOB 3 Mar 1975; POB Isabela, Basilan, Philippines; nationality Philippines (individual) [SDGT]

JANKOVIC, Gojko; DOB 31 Oct 1954; POB Foca, Bosnia-Herzegovina; ICTY indicted at large; sub-commander of the military police in Foca (individual) [BALKANS]

JANPRAPAPORN, Arin (a.k.a. CHANTARAPRAPAPORN, Arin; a.k.a. CHANTHRAPRAPHAPHON, Amarin; a.k.a. CHANTHRAPRAPHAPHON, Arin; a.k.a. CHANTPRAPAPORN, Arin), c/o BANGKOK SILK FLOWER COMPANY LTD., Bangkok, Thailand; c/o BANGKOK SILK FLOWER COMPANY LTD., Bangkok, Thailand; DOB 5 May 1954; Passport M93116 (Thailand) (individual) [SDNTK]

JAROMO INVERSIONES S.L., Calle Florencio Castillo 8, portal 7, piso 2-21, 28043 Madrid, Madrid, Spain; C.I.F. B61784548 (Spain) [SDNT]

JARRAYA, Mounir Ben Habib (a.k.a. JARRAYA, Mounir Ben Habib Ben Al-Taher; a.k.a. “YARRAYA”); Via Mirasole n.11, Bologna, Italy; Via Arioesto n.8, Casalecchio di Reno, Bologna, Italy; DOB 25 Oct 1963; POB Sfax, Tunisia; nationality Tunisia; Passport L 06947 issued 28 Oct 1995 expires 27 Oct 2000 (individual) [SDGT]

JASIM, Latif Nuseyf (a.k.a. JASSEM, Latif Nastif); Baghdad, Iraq; DOB 1941; Former Minister of Labor and Social Affairs (individual) [IRAQ2]

JAVAD, Nasir (a.k.a. AHU ISHMAEL; a.k.a. JAVED, Haji Nasir; a.k.a. JAVED, Nasar; a.k.a. JAVED, Nasir; a.k.a. JAVED, Qari Nasir; a.k.a. JAVID, Nasar); Mansehra District, Khyber Pakhtunkhwa, Pakistan; DOB circa 1958; alt. DOB 1956; alt. DOB circa 1965; POB Pakistan; nationality Pakistan; DOB 15 Aug 1963; POB Sfax, Tunisia; alt. nationality Tunisia; Passport K489686 issued 6 Mar 1999 expires 5 Mar 2004 (individual) [SDGT]

JEREZ GALEANO, Jaime, Calle 125 No. 21A–71 of. 322, Bogota, Colombia; Carrera 7 No. 145–38 Manzana 2 Int. 2 apto. 101, Bogota, Colombia; c/o INVERSIONES LOS TUNJOS LTDA., Bogota, Colombia; c/o JAIME JEREZ V. Y CIA. S.C.S. JERGAL S.C.S., Bogota, Colombia; Calle 125 No. 21A–71 of. 402, Bogota, Colombia; DOB 08 Apr 1959; POB Bogota, Colombia; Cedula No. 7948452 (Colombia) (individual) [SDNTK]

JEREZ PINEDA, Oscar Alberto, c/o HERJERZ LTDA., Bogota, Colombia; DOB 07 Aug 1968; POB Bogota, Colombia; Cedula No. 79133740 (Colombia) (individual) [SDNTK]

JESBEL Y CIA. S. EN C., Km. 3.5 Autop. Medellin Via Siberia Costado Sur Terminal Terrestre de Carga Bloque 4 Bod. 32, Cota, Cundinamarca, Colombia; NIT #880626269-9 (Colombia) (individual) [SDNTK]

JIHAD AL-BINA (a.k.a. CONSTRUCTION FOR THE SAKE OF THE HOLY STRUGGLE; a.k.a. CONSTRUCTION JIHAD; a.k.a. HOLY CONSTRUCTION FOUNDATION; a.k.a. JIHAD AL BINAA; a.k.a. JIHAD CONSTRUCTION; a.k.a. JIHAD CONSTRUCTION FOUNDATION; a.k.a. JIHAD INSTITUTION; a.k.a. JIHAD-AL-BINAA ASSOCIATION; a.k.a. JIHADU-I-BINAA; a.k.a. STRUGGLE FOR RECONSTRUCTION); Bekaa Valley, Lebanon; Southern Lebanon, Lebanon; Beirut, Lebanon [SDGT]

JIM’ALE, Ahmad Nur Ali (a.k.a. JIMALE, Ahmad Ali; a.k.a. JIM’ALE, Ahmad Nur Ali; a.k.a. JIMALE, Ahmed Nur; a.k.a. JUMALI, Ahmed Ali); P.O. Box 3312, Dubai, United Arab Emirates; Mogadishu, Somalia; Lebanon [SDGT]

JIM’ALE, Ahmad Nur Ali (a.k.a. JIMALE, Ahmad Ali; a.k.a. JIM’ALE, Ahmad Nur Ali; a.k.a. JUMALI, Ahmed Ali); P.O. Box 3312, Dubai, United Arab Emirates; Mogadishu, Somalia; Lebanon [SDGT]

JIMENEZ NARANJO, Roberto, c/o INMOBILIARIA ESTADO S.A. DE C.V., Tijuana, Baja California, Mexico; Avenida Independencia, Coloniza Zona Urbana Rio Tijuana, Tijuana, Baja California, Mexico; c/o INMOBILIARIA ESTADO 29

JEMAA ISLAMIYAH; a.k.a. “JI”); founded by Abdullah Sungkar [FTO] [SDGT]

JENDOUBI, Faouzi Ben Mohamed Ben Ahmed (a.k.a. “SAID”); a.k.a. “SAMIR”); Via di Saliceto n.519, Bologna, Italy; Via Agucchi n.250, Bologna, Italy; DOB 30 Jan 1966; POB Beja, Tunisia; nationality Tunisia; Passport K489686 issued 6 Mar 1999 expires 5 Mar 2004 (individual) [SDGT]

JEREZ GALEANO, Jaime, Calle 125 No. 21A–71 of. 322, Bogota, Colombia; Carrera 7 No. 145–38 Manzana 2 Int. 2 apto. 101, Bogota, Colombia; c/o INVERSIONES LOS TUNJOS LTDA., Bogota, Colombia; c/o JAIME JEREZ V. Y CIA. S.C.S. JERGAL S.C.S., Bogota, Colombia; Calle 125 No. 21A–71 of. 402, Bogota, Colombia; DOB 08 Apr 1959; POB Bogota, Colombia; Cedula No. 7948452 (Colombia) (individual) [SDNTK]

JEREZ PINEDA, Oscar Alberto, c/o HERJERZ LTDA., Bogota, Colombia; DOB 07 Aug 1968; POB Bogota, Colombia; Cedula No. 79133740 (Colombia) (individual) [SDNTK]

JESBEL Y CIA. S. EN C., Km. 3.5 Autop. Medellin Via Siberia Costado Sur Terminal Terrestre de Carga Bloque 4 Bod. 32, Cota, Cundinamarca, Colombia; NIT #880626269-9 (Colombia) (individual) [SDNTK]

JIHAD AL-BINA (a.k.a. CONSTRUCTION FOR THE SAKE OF THE HOLY STRUGGLE; a.k.a. CONSTRUCTION JIHAD; a.k.a. HOLY CONSTRUCTION FOUNDATION; a.k.a. JIHAD AL BINAA; a.k.a. JIHAD CONSTRUCTION; a.k.a. JIHAD CONSTRUCTION FOUNDATION; a.k.a. JIХAD INSTITUTION; a.k.a. JIHAD-AL-BINAA ASSOCIATION; a.k.a. JIХADU-I-BINAA; a.k.a. STRUGGLE FOR RECONSTRUCTION); Bekaa Valley, Lebanon; Southern Lebanon, Lebanon; Beirut, Lebanon [SDGT]

JIM’ALE, Ahmad Nur Ali (a.k.a. JIMALE, Ahmad Ali; a.k.a. JIM’ALE, Ahmad Nur Ali; a.k.a. JUMALI, Ahmed Ali); P.O. Box 3312, Dubai, United Arab Emirates; Mogadishu, Somalia; Lebanon [SDGT]

JIMENEZ NARANJO, Roberto, c/o CASA DEL GANADERO S.A., Medellin, Colombia; c/o TEJAR LA MOJOSA S.A., Cundinamarca, Colombia; 2002 26 Feb 1966; POB Envigado, Antioquia, Colombia; Cedula No. 71671990 (Colombia); Passport AH521672 (Colombia); alt. Passport AE915378 (Colombia) (individual) [SDNT]

JIMENEZ NARANJO, Carlos Mario (a.k.a. “MACACO”); Calle 10C No. 25–48, Medellin, Colombia; DOB 26 Feb 1966; POB Envigado, Antioquia, Colombia; Cedula No. 71671990 (Colombia); Passport AH521672 (Colombia); alt. Passport AE915378 (Colombia) (individual) [SDNT]

JIMENEZ PIZARRO, Jose Julian Bruno, c/o INMOBILIARIA LA PROVINCIA S.A. DE C.V., Tijuana, Baja California, Mexico; Avenida Independencia, Coloniza Zona Urbana Rio Tijuana, Tijuana, Baja California, Mexico; c/o INMOBILIARIA ESTADO 29

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JOKONYA, Tichaona Joseph Benjamin, Samaita Mutasa Farm, Beatrice, Zimbabwe; DOB 27 Dec 1938; Passport D001289 (Zimbabwe); alt. Passport AI000797 (Zimbabwe); Minister of Information and Publicity (individual) [ZIMBABWE]

JOMAGA DE COSTA RICA S.A. (a.k.a. INTERFARMA S.A.), 200 Norte y 25 Oeste del Restaurante Tierra Colombiana, San Francisco de Dos Rios, San Jose, Costa Rica; Numero Judicial #3–101–76327 (Costa Rica) [SDNT]

JON, Hana Paul, 19 Tudor House, Windsor Way, Brook Green, London, United Kingdom (individual) [IRAQ2]

JONGWE PRINTING AND PUBLISHING COMPANY (a.k.a. JONGWE PRINTING & PUBLISHING COMPANY (PVT) LTD; a.k.a. JONGWE PRINTING AND PUBLISHING COMPANY (PVT) LTD), 14 Austin Road, Coventry Road, Workington, Harare, Zimbabwe; PO Box 5988, Harare, Zimbabwe [ZIMBABWE]

JOSAFAT S.A., Calle 28 No. 27–18, Tuluá, Valle, Colombia; NIT #80012217–4 (Colombia) [SDNT]

JOSIPOVIC, Drago; DOB 14 Feb 1955; POB Santic, Bosnia-Hercegovina; ICTY indictee (individual) [BALKANS]

JOZA INDUSTRIAL COMPANY (a.k.a. JOZA INDUSTRIES COMPANY), P.O. Box 16595–159, Tehran, Iran [NPWMD]

JUBA DUTY FREE SHOP, Juba, Sudan [SUDAN]

JULAIKAN, Wa’il Hamza; a.k.a. JALADIN, Wa’il Hamza; a.k.a. JALADIN, Wa’il Hamza; a.k.a. JALAIDAN, Wa’il Hamza; a.k.a. JALAYDAN, Wa’il Hamza; a.k.a. JALAYDAN, Wa’il Hamza; a.k.a. JULAYDAN, Wa’il Hamza; a.k.a. JULAYDAN, Wa’il Hamza; DOB 22 Jan 1958; alt. DOB 20 Jan 1958; POB Al-Madinah, Saudi Arabia; nationality Saudi Arabia; Passport A–992535 (Saudi Arabia); alt. Passport B 524420 issued 15 Jul 1998 expires 22 May 2003 (individual) [SDGT]

JULIKIPLI SALIM Y SALAMUDDIN (a.k.a. JULIKIPLI, Salim; a.k.a. KIPLI, Sali); DOB 20 Jan 1976; POB Tuluay, Jolo Sulu, Philippines; Minister of Information and Publicity (individual) [SDGT]

JUNEAN, George, P.O. Box 1318, Amman, Jordan (individual) [IRAQ2]

JUNTARAPRAPORN, Apinya; a.k.a. CHANTARAPRAPAPORN, Apinya; a.k.a. CHANTARAPRAPAPORN, Apinya; a.k.a. CHANTARAPRAPAPORN, Apinya; a.k.a. BANGKOK ARTI-FLORA DESIGN LIMITED PARTNERSHIP, Bangkok, Thailand;
KARADZIC-JOVICEVIC, Sonja; DOB 22 May 1967; POB Sarajevo, Bosnia and Herzegovina (individual) [BALKANS]

KARADZIC, Aleksandar (a.k.a. “SASA”); DOB 14 May 1973; POB Sarajevo, Bosnia and Herzegovina (individual) [BALKANS]

KARADZIC, Luka; DOB 31 Apr 1961; POB Savnik, Serbija and Montenegro (individual) [BALKANS]

KARADZIC, Radovan; DOB 19 Jun 1945; POB Petnica, Serbia and Montenegro; ICTY indictee at large; former president of the Republika Srpska (individual) [BALKANS]

KARADZIC-JOVICEVIC, Sonja; DOB 22 May 1967; POB Sarajevo, Bosnia and Herzegovina (individual) [BALKANS]

KARAGHULLY, Labeed A., Iraq; General Manager of REAL ESTATE BANK (individual) [IRAQ]

KARAH, Nabil Victor, c/o TRADING AND TRANSPORT SERVICES, P.O. Box 91066, Amman 11191, Jordan; c/o ALFA COMPANY LIMITED FOR INTERNATIONAL TRADING AND MARKETING, P.O. Box 212953, Amman 11121, Jordan; c/o TRADING AND TRANSPORT SERVICES, Al-Razi Medical Complex, Jabal Al-Hussein, Amman, Jordan; c/o TRADING AND TRANSPORT SERVICES, P.O. Box 212953,
Office of Foreign Assets Control, Treasury

Ch. V, App. A

Amman 11211, Jordan; DOB 1964; nationality Lebanon (individual) [IRAQ2]
KARAYILAN, Murat; DOB 5 Jun 1954; alt. DOB 1956; POB Konak, Turkey; nationality Turkey (individual) [SDNT]
KAREN OVERSEAS FLORIDA, INC., 9100 South Dadeland Boulevard, Suite 912, Miami, FL 33156; 780 NW Le Jeune Road, Suite 516, Miami, FL 33126; 780 NW 2nd Avenue, Suite 516, Miami, FL 33132; US FEIN 593287565 (United States) [SDNT]
KAREN OVERSEAS, INC., Panama City, Panama; C.R. No. 1947900111 (Panama); RUC #217231149799 (Panama) [SDNT]
KARIM (a.k.a. IRAN KARIM) ; Vessel Registration Identification IMO 965758 (vessel) [NPWMD]
KARIM DATE FACTORY, Karima, Sudan [SUDAN]
KARIMA FRUIT AND VEGETABLE CANNING FACTORY, P.O. Box 24, Karima, Sudan [SUDAN]
KARIMA FRUIT PROCESSING COMPANY, Chisipite, Harare, Zimbabwe; DOB 23 Oct 1970; Deputy Minister for Youth Development and Employment Creation & Deputy Secretary for Youth Affairs for (individual) [ZIMBABWE]
KASBRIT, Fuad; a.k.a. SHONGALE, Fouad; a.k.a. SHONGALE, Fuad; a.k.a. SHONGOLE, Fuad; a.k.a. QALAF, Fuad Mohammed; a.k.a. QAZAN, Ali Mohamad), Avenue Taroba, 1005 Edificio Beatriz Mendes, Apt 1704, Foz do Iguaçu, Brazil; DOB 19 Dec 1967; POB Talbe, Lebanon; citizen Lebanon; alt. citizen Paraguay; Passport 0080044 (Lebanon) (individual) [SDGT]
KAZIM, Rashid Taan; nationality Iraq; Ba’th party regional command chairman, al-Anbar (individual) [IRAQ2]
KAVEH CUTTING TOOLS FACTORIES), Vanaq Square, Corner of Shiraz Across No. 71, Molla Sadra Ave., Tehran, Iran; No. 86, 20th St., North Karegar Ave., Tehran, Iran; P.O. Box 19395-1834, Tehran, Iran [NPWMD]
KAZAN, Ali Muhammad (a.k.a. KASSAN, Ali Mohammad; a.k.a. QAZAN, Ali Mohamad), Avenue Taroba, 1005 Edificio Beatriz Mendes, Apt 1704, Foz do Iguaçu, Brazil; DOB 19 Dec 1967; POB Talbe, Lebanon; citizen Lebanon; alt. citizen Paraguay; Passport 0080044 (Lebanon) (individual) [SDGT]
KAZIM, Rashid Taan; nationality Iraq; Ba’th party regional command chairman, al-Anbar (individual) [IRAQ2]
KAVISHAR COMPANY (a.k.a. KAIVOSH YAAH; a.k.a. KAVISHAR), Vanaq Square, Corner of Shiraz Across No. 71, Molla Sadra Ave., Tehran, Iran; No. 86, 20th St., North Karegar Ave., Tehran, Iran; P.O. Box 19395-1834, Tehran, Iran [NPWMD]
KAZAN, Ali Muhammad (a.k.a. KASSAN, Ali Mohammad; a.k.a. QAZAN, Ali Mohamad), Avenue Taroba, 1005 Edificio Beatriz Mendes, Apt 1704, Foz do Iguaçu, Brazil; DOB 19 Dec 1967; POB Talbe, Lebanon; citizen Lebanon; alt. citizen Paraguay; Passport 0080044 (Lebanon) (individual) [SDGT]
KAZIM, Rashid Taan; nationality Iraq; Ba’th party regional command chairman, al-Anbar (individual) [IRAQ2]
KAVISHAR COMPANY (a.k.a. KAIVOSH YAAH; a.k.a. KAVISHAR), Vanaq Square, Corner of Shiraz Across No. 71, Molla Sadra Ave., Tehran, Iran; No. 86, 20th St., North Karegar Ave., Tehran, Iran; P.O. Box 19395-1834, Tehran, Iran [NPWMD]
KAZAN, Ali Muhammad (a.k.a. KASSAN, Ali Mohammad; a.k.a. QAZAN, Ali Mohamad), Avenue Taroba, 1005 Edificio Beatriz Mendes, Apt 1704, Foz do Iguaçu, Brazil; DOB 19 Dec 1967; POB Talbe, Lebanon; citizen Lebanon; alt. citizen Paraguay; Passport 0080044 (Lebanon) (individual) [SDGT]
KAZIM, Rashid Taan; nationality Iraq; Ba’th party regional command chairman, al-Anbar (individual) [IRAQ2]
KAVISHAR COMPANY (a.k.a. KAIVOSH YAAH; a.k.a. KAVISHAR), Vanaq Square, Corner of Shiraz Across No. 71, Molla Sadra Ave., Tehran, Iran; No. 86, 20th St., North Karegar Ave., Tehran, Iran; P.O. Box 19395-1834, Tehran, Iran [NPWMD]
KAZAN, Ali Muhammad (a.k.a. KASSAN, Ali Mohammad; a.k.a. QAZAN, Ali Mohamad), Avenue Taroba, 1005 Edificio Beatriz Mendes, Apt 1704, Foz do Iguaçu, Brazil; DOB 19 Dec 1967; POB Talbe, Lebanon; citizen Lebanon; alt. citizen Paraguay; Passport 0080044 (Lebanon) (individual) [SDGT]
KAZIM, Rashid Taan; nationality Iraq; Ba’th party regional command chairman, al-Anbar (individual) [IRAQ2]
KAVISHAR COMPANY (a.k.a. KAIVOSH YAAH; a.k.a. KAVISHAR), Vanaq Square, Corner of Shiraz Across No. 71, Molla Sadra Ave., Tehran, Iran; No. 86, 20th St., North Karegar Ave., Tehran, Iran; P.O. Box 19395-1834, Tehran, Iran [NPWMD]
KAZAN, Ali Muhammad (a.k.a. KASSAN, Ali Mohammad; a.k.a. QAZAN, Ali Mohamad), Avenue Taroba, 1005 Edificio Beatriz Mendes, Apt 1704, Foz do Iguaçu, Brazil; DOB 19 Dec 1967; POB Talbe, Lebanon; citizen Lebanon; alt. citizen Paraguay; Passport 0080044 (Lebanon) (individual) [SDGT]
KAZIM, Rashid Taan; nationality Iraq; Ba’th party regional command chairman, al-Anbar (individual) [IRAQ2]
KHALED, Abdulqadir Mohammed (a.k.a. HAN, Sahbaz; a.k.a. KHAN, Abdul Qadeer (a.k.a. ZAMAN, Hayder)); DOB 27 Apr 1962; POB Bhopal, India; nationality Pakistan; Passport NO. HRB20555 (Germany) (individual) [SDGT]

KHALIL, Ibrahim Mohamed (a.k.a. AL ZAFIRI, Khalil Ibrahim; a.k.a. JASSEM, Khalil Ibrahim; a.k.a. MOHAMMAD, Khalil Ibrahim), Frankenthal Prison, Germany; Pankratiusstrasse 44, Mainz 55118, Germany; DOB 2 Jul 1975; alt. DOB 3 Jul 1975; alt. DOB 1973; alt. DOB 1972; alt. DOB 3 Aug 1972; alt. DOB 3 May 1972; POB Mosul, Iraq; alt. POB Baghdad, Iraq; nationality Iraq; Travel Document Number A0003900 (Germany) (individual) [SDGT]

KHALED, Abul Baki; a.k.a. KHALED, Abul Baki Mohammed; a.k.a. MOHAMMED, Abdu' al-Baki; a.k.a. “ABU KHWALA”), Birmingham, United Kingdom; DOB 18 Aug 1973; POB Tehran, Iran; citizen United Kingdom (individual) [SDGT]

KHARLAMOV, Mikhail Ivanovich (a.k.a. KHLAMOV, Mikhail Ivanovich; a.k.a. KHLAMOV, Mikhail Ivanovich), Former Minister of Transport and Communications (individual) [IRAQ2]

KHAYR-BAYK, Mohammad Nasif (a.k.a. KHEIRBEK, Mohammad Nasif; a.k.a. KHAYK-BAYK, Muhammad Nasif), Damascus, Syria; DOB 5 Apr 1937; POB Hama, Syria; Passport D000000483, Diplomatic (Syria); Syrian Deputy Vice President for Security Affairs; Major General (individual) [SYRIA]

KHAYREH, Hayder (a.k.a. UOOO KHAYREH), 15 Bongyi Street, Dary-Ye Khazar Shipping Company, Sari, Mazandaran, Iran; National ID No. 009016 (Burma); Passport A056782 (Burma) (individual) [NPWMD]

KHAYREH, Nisar Ali (a.k.a. KHAYREH, Nisar Ali; a.k.a. KHAYREH, Nisar Ali); DOB 1 Oct 1955; POB Peshawar, Pakistan (individual) [SDNTK]

KHAYREH, Shahbaz (a.k.a. HAN, Cellat; a.k.a. HAN, Shahbaz; a.k.a. KHAN GALAT KHAN, Shahbaz; a.k.a. KHORASAN AMMUNITION AND METALLURGY INDUSTRIES; a.k.a. SANAYE METEOLOGIE IRAN; a.k.a. THE METALLURGY INDUSTRIES OF KHORASAN), No. 4, North Falamak-Zarafshan Intersection, Shahrak-E-Ghods, Tehran 14678, Iran (NPWMD)

KHAYREH, Shahbaz; a.k.a. “HAJI SHAHBAZ”; a.k.a. “HAJI SHAHBAZ KOOCHI”), c/o SHAHNAWAZ TRADERS, Peshawar, Pakistan; Hanover, Germany; c/o SHIR MATCH INDUSTRIES (PVT.) LIMITED, Peshawar, Pakistan; c/o SHAHBAZ KAN General Trading LLC, Dubai, United Arab Emirates; c/o SAF TECH S.L., Barcelona, Spain; Dubai, United Arab Emirates; c/o DUBAI TRADING COMPANY, Peshawar, Pakistan; DOB 01 Jan 1948; POB Landi Kotal, Pakistan; citizen Pakistan; Passport AB306691 (Pakistan) (individual) [SDNTK] KHAN, Sherbaz, P.O. Box 33651, Dubai, United Arab Emirates; c/o SHIR MATCH INDUSTRIES (PVT.) LIMITED, Peshawar, Pakistan; Peshawar, Pakistan; c/o SHAHBAZ KHAN GENERAL TRADING LLC, Dubai, United Arab Emirates; DOB 03 Apr 1979; POB Khyber Agency, Pakistan; citizen Pakistan; Passport 137987 (Pakistan) (individual) [SDNTK]

KHARTOUM CENTRAL FOUNDRY, Khartoum, Sudan [SUDAN]

KHARTOUM COMMERCIAL AND SHIPPING COMPANY LIMITED, Kasr Avenue, P.O. Box 221, Khartoum, Sudan [SUDAN]

KHARTOUM TANNERY, P.O. Box 134, Khartoum South, Sudan [SUDAN]

KHATAM OL AMRIA GHARARGAH SAZANDEGI NOO (a.k.a. GHORB KHATAM; a.k.a. KHAMAT AL-ANBYA; a.k.a. KHATAM OL AMBA), No. 221, Phase 4, North Falamak-Zarafshan Intersection, Shahrak-E-Ghods, Tehran 14678, Iran [NPWMD]

KHAYREH, Muhammad Nasif (a.k.a. KHAIRBEK, Mohammed Nasif; a.k.a. KHAIRBEK, Mohammed Nasif), Damascus, Syria; DOB 5 Apr 1937; POB Hama, Syria; Passport D000000483, Diplomatic (Syria); Syrian Deputy Vice President for Security Affairs; Major General (individual) [SYRIA]

KHAZAR SEA SHIPPING LINES (a.k.a. DARYA-YE KHAZAR SHIPPING COMPANY; a.k.a. KHAZAR SHIPPING CO), No. 1, End of Shahid Mostafa Khomeini St., Tohid Square, P.O. Box 43415, Bandar Anzali 171–324, Iran; M. Khomeini St., Ghazian, Bandar Anzali, Gilan, Iran [NPWMD]

KHINE, Ou Oo (a.k.a. “OO OO KHINE”); a.k.a. “U OO OO KHINE”), 15 Bongyi Street, Lammadaw Township, Rangoon, Burma; c/o TET KHAM GEMS CO., LTD., Yangon, Burma; c/o TET KHAM CONSTRUCTION COMPANY LIMITED, Mandalay, Burma; c/o YANGON AIRWAYS COMPANY LIMITED, Rangoon, Burma; National ID No. 009016 (Burma); Passport A656782 (Burma) (individual) [SDNTK]

KHOIR OMAR ENGINEERING COMPANY, P.O. Box 305, Khartoum, Sudan [SUDAN]

KHORASAN METALLURY INDUSTRIES (a.k.a. KHORASAN AMMUNITION AND METALLURGY INDUSTRIES; a.k.a. KHORASAN METALOGY INDUSTRIES; a.k.a. SANAYE METEOLOGIE IRAN; a.k.a. THE METALLURGY INDUSTRIES OF KHORASAN), Khalaj Road, End of Seyedi Street, Mashad, Iran; P.O. Box 91735-549, Mashad, Iran [NPWMD]

KHM THAW COMPANY LIMITED, 261 Wichayanont Road, Chang Mai, Muang, Chiang Mai 5000, Thailand; Registration ID 065535000894 (Thailand) issued 28 Feb 1992 [SDNTK]

KIFANE, Abderrahmane, Via S. Biagio, 35, Sant’Anastasia, Naples, Italy; Via S. Biagio, 32, Sant’Anastasia, Naples, Italy;
DOB 7 Mar 1963; POB Casablanca, Morocco (individual) [SDGT]

KIAI TAI, Joseph Wong; Executive, Oriental Timber Company (individual) [LIBERIA]

KIM, TONG-MYONG (a.k.a. KIM, TONG-MYONG; a.k.a. KIM, CHIN-SOK'; a.k.a. "KIM, JIN SOK'"); c/o Tanchon Commercial Bank, Saemul 1-Dong Pyongyang District, Pyongyang, Korea, North; DOB 1961; nationality Korea, North (individual) [NPWMD]

KINDHEARTS FOR CHARITABLE HUMANITARIAN DEVELOPMENT, INC., Mar Elias Street, Hiba Center, 1st Floor, Beirut, Lebanon; Jenin, West Bank, Palestinian; P.O. Box 23210, Toledo, OH 43623; Ramallah, West Bank, Palestinian; Pakistan; P.O. Box 1248, Gaza, Palestinian; 3450 West Central Avenue, #366, Toledo, OH 43606 [BPFA]

KISHK, Samir; DOB 14 May 1955; POB Gharbia, Egypt (individual) [SDGT]

KISONI, Kambale (a.k.a. KAMBALE, Kisoni; a.k.a. KISONI, Dr.); DOB 24 May 1961; citizen Congo, Democratic Republic of the; Passport C0323172 (Congo, Democratic Republic of the) (individual) [DRCONGO]

KLEILAT, Ali; DOB 10 Jul 1970; POB Beirut, Lebanon; nationality Lebanon; Businessman (individual) [LIBERIA]

KNEZEVIC, Dusan; DOB 23 Nov 1950; POB Bijela Voda, Sokolac Canton, Bosnia-Herzegovina; Passport 3943074 (Bosnia and Herzegovina) issued 27 Sep 2002 in Sarajevo; Bosnia-Herzegovina (individual) [BALKANS]

KOL INVESTMENTS, INC., Miami, FL [CUBA]

KONY, Joseph; DOB 1961; alt. DOB 1963; alt. DOB 1965; POB Odek, Omoro, Gulu, Uganda; nationality Uganda (individual) [SDGT]

KORDIC, Dario; DOB 14 Dec 1960; POB Sarajevo, Bosnia-Herzegovina; ICTY indigent (individual) [BALKANS]

KORDOFAN COMPANY, Khartoum, Sudan [SUDAN]

KOREA COMPLEX EQUIPMENT IMPORT CORPORATION, Rakwon-dong, Pothongray District, Pyongyang, Korea, North [NPWMD]

KOREA HYOKSIN TRADING CORPORATION (a.k.a. KOREA HYOKSIN EXPORT AND IMPORT CORPORATION), Rakwon-dong, Pothongray District, Pyongyang, Korea, North [NPWMD]

KOREA INTERNATIONAL CHEMICAL JOINT VENTURE COMPANY (a.k.a. CHOSUN INTERNATIONAL CHEMICALS JOINT OPERATION COMPANY; a.k.a. CHOSON INTERNATIONAL CHEMICALS JOINT OPERATION COMPANY; a.k.a. INTERNATIONAL CHEMICAL JOINT VENTURE CORPORATION), Hamhung, South Hamgyong Province, Korea, North; Man gyongdae-kuyok, Pyongyang, Korea, North; Mangyongdae-gu, Pyongyang, Korea, North [NPWMD]

KOREA KWANGSON BANKING CORP (a.k.a. KKBC), Jungson-dong, Sungri Street, Central District, Pyongyang, Korea, North [NPWMD]

KOREA KWANGSON TRADING CORPORATION, Rakwon-dong, Pothongray District, Pyongyang, Korea, North [NPWMD]

KOREA MINING DEVELOPMENT TRADING CORPORATION (a.k.a. CHANGGGWANG SINYONG CORPORATION; a.k.a. EXTERAL TECHNOLOGY GENERAL CORPORATION; a.k.a. NORTH KOREAN MINING DEVELOPMENT TRADING CORPORATION; a.k.a. "KOMID"), Central District, Pyongyang, Korea, North [NPWMD]

KOREA PUGANG TRADING CORPORATION, Rakwon-dong, Pothongray District, Pyongyang, Korea, North [NPWMD]

KOREA RYOBONG GENERAL CORPORATION (a.k.a. CHOSUN YUNHA MACHINERY CORPORATION; f.k.a. LYONGAKSAN GENERAL TRADING CORPORATION), Rakwon-dong, Pothongray District, Pyongyang, Korea, North; Pot'onggang District, Pyongyang, Korea, North [NPWMD]

KOREA RYOUNG WANG TRADING CORPORATION (a.k.a. KOREA RYENGWANG TRADING CORPORATION), Rakwon-dong, Pothongray District, Pyongyang, Korea, North [NPWMD]

KOREA RYONGWANG TRADING CORPORATION (a.k.a. KOREA RYENHA MACHINERY JOINT VENTURE CORPORATION), Mangyongdae-gu, Pyongyang, Korea, North; Mangyongdae District, Pyongyang, Korea, North; Pot'onggang District, Pyongyang, Korea, North [NPWMD]

KOREA RYONGWANG TRADING CORPORATION (a.k.a. KOREA RYENGWANG TRADING CORPORATION), Rakwon-dong, Pothongray District, Pyongyang, Korea, North [NPWMD]

KOREA RYOUNG WANG TRADING CORPORATION (a.k.a. KOREA RYENHA MACHINERY JOINT VENTURE CORPORATION), Mangyongdae-gu, Pyongyang, Korea, North; Mangyongdae District, Pyongyang, Korea, North; Pot'onggang District, Pyongyang, Korea, North [NPWMD]

KOREA TANGUN TRADING CORPORATION, Pyongyang, Korea, North [NPWMD]
KOS, Milojica; DOB 1 Apr 1963; POB Lamovita, Bosnia-Herzegovina; ICTY indictee (individual) [BALKANS]

KOUEHNENHOVEN, Gus (a.k.a. KOUEHNENHOVEN, Varea; a.k.a. KOUEHNENHOVEN, Gus); Villa #1, Hotel Africa Virginia, Monrovia, Liberia; P.O. Box 1554, Monrovia, Liberia; DOB 15 Sep 1942; nationality Netherlands; President, Oriental Timber Company; Owner, Hotel Africa (individual) [LIBERIA]

KOVAČ, Tomislav (a.k.a. ''TOMO''); DOB 4 Dec 1959; POB Sarajevo, Bosnia-Herzegovina; Passport 412959171315 (Bosnia and Herzegovina) (individual) [BALKANS]

KOVAČEVIĆ, Vladimir; DOB 15 Jan 1961; ICTY indictee (individual) [BALKANS]

KRADUMPORN IMPORT EXPORT COMPANY LTD., 4 Mu 1, Tambon Wiang Phang Kham, Mae Sai district, Chiang Rai, Thailand [SDNTK]

KRADUMPORN, Somboon (a.k.a. KRADUMPORN, Chinawong; a.k.a. KRADUMPHON, Sombun; a.k.a. KRADUMPORN, Chinawong; a.k.a. KRADUMPORN, Chinwong; a.k.a. KRAPUMPORN, Somboon; a.k.a. KRATUMPORN, Somboon), c/o HATKAEW COMPANY LTD., Bangkok, Thailand; c/o PROGRESS SURAWEE COMPANY LTD., Bangkok, Thailand; c/o SCORE COMMERCIAL COMPANY LTD., Bangkok, Thailand; c/o MAESAI K.D.P. COMPANY LTD., Chiang Rai, Thailand; c/o RURG G COMPANY LTD., Bangkok, Thailand; c/o SIAM NICE COMPANY LTD., Bangkok, Thailand; c/o PLUS TECH AUTO SUPPLY COMPANY LTD., Bangkok, Thailand; c/o SMART G COMPANY LTD., Bangkok, Thailand; c/o MAESAI K.D.P. COMPANY LTD., Chiang Rai, Thailand; c/o MAESAI K.D.P. COMPANY LTD., Chiang Rai, Thailand; c/o NICE FANTASY GARMENT COMPANY LTD., Bangkok, Thailand; c/o PROGRESS SURAWEE COMPANY LTD., Bangkok, Thailand; c/o RURG G COMPANY LTD., Bangkok, Thailand; DOB 6 May 1959; National ID No. 3570900151471 (Thailand) (individual) [SDNTK]

KRADUMPORN, Varee (a.k.a. KRADUMPORN, Chanikan; a.k.a. KRADUMPORN, Varea); c/o SMART G COMPANY LTD., Bangkok, Thailand; c/o RURG G COMPANY LTD., Bangkok, Thailand; c/o MAESAI K.D.P. COMPANY LTD., Chiang Rai, Thailand; c/o MAESAI K.D.P. COMPANY LTD., Chiang Rai, Thailand; c/o NICE FANTASY GARMENT COMPANY LTD., Bangkok, Thailand; c/o PROGRESS SURAWEE COMPANY LTD., Bangkok, Thailand; c/o RURG G COMPANY LTD., Bangkok, Thailand; DOB 6 May 1960; National ID No. 3570900151480 (Thailand) (individual) [SDNTK]

KRAJISNIK, Momcilo; DOB 20 Jan 1945; POB Zabrdje, Bosnia-Herzegovina; ICTY indictee (individual) [BALKANS]

KRATUMPORN, Somboon (a.k.a. SRATUMPORN, Somboon; a.k.a. KRATUMPORN, Varee; a.k.a. KRATUMPORN, Waree; a.k.a. KRATUMPORN, Taree), c/o SIAM NICE COMPANY LTD., Bangkok, Thailand; c/o PLUS TECH AUTO SUPPLY COMPANY LTD., Bangkok, Thailand; c/o SMART G COMPANY LTD., Bangkok, Thailand; c/o RURG G COMPANY LTD., Bangkok, Thailand; DOB 20 Jan 1945; National ID No. 3570900151499 (Thailand) (individual) [SDNTK]

KUBURA, Amir; DOB 25 Jul 1940; POB Birotici, Bosnia-Herzegovina; ICTY indictee (individual) [BALKANS]

KUNARAC, Dragoljub; DOB 18 Mar 1960; POB Butmir, Bosnia-Herzegovina; ICTY indictee (individual) [BALKANS]

KURDISTAN WORKERS’ PARTY (a.k.a. FREEDOM AND DEMOCRACY CONGRESS OF KURDISTAN; a.k.a. HALU MESRU SAVUNMA KUVVETI; a.k.a. KADEK; a.k.a. KONGRA-GEL; a.k.a. KURDISTAN FREEDOM AND DEMOCRACY CONGRESS; a.k.a. THE PEOPLE’S DEFENSE FORCE; a.k.a. ''HSK''; a.k.a. ''KHK'') [SDNTK] [FTO] [SDGT]

KUTRY MANAGEMENT INC., Torre Universal Building, 3rd Floor, Federico Boyd Avenue and 51st Street, Panama City, Panama; RUC #9407212255985 (Panama) [SDNT]

KVOCKA, Miroslav; DOB 1 Jan 1957; POB Marica, Croatia; ICTY indictee (individual) [BALKANS]

KYA, La Bo (a.k.a. "CHA LA BO"; a.k.a. "JA LA BO"; a.k.a. "KYA LA BO"), Nakawngmu, Shan, Burma; Wan Hong, Shan, Burma; DOB 1940; alt. DOB 1942 (individual) [SDNTK]
LEAL, Reuben; a.k.a. LA VILLA, Reuben Omar; a.k.a. LA VILLA, Reynaldo; a.k.a.LOBILLA, Shaykh Omar; a.k.a. MUDDARIS, Abdullah; a.k.a. SHARIEF, Ahmad Omar; a.k.a. ZON, a.k.a. ZHANG, a.k.a. LO, Steven; a.k.a. LOI; a.k.a. LENG, a.k.a. VORA, a.k.a. LEBANESE MEDIA GROUP, c/o LEATHER INDUSTRIES CORPORATION, S.A. (a.k.a. LEATHER INDUSTRIES TANNERIES), P.O. Box 1689, Khartoum, Sudan [SUDAN]
LITTLE CONNEMARA 1 FARM, Nyanga, Zimbabwe [ZIMBABWE]

LIZZY MONDO INTERIOR, Justo Sierra 1963, Guadalajara, Jalisco, Mexico [SDNT]

LJUBICIC, Pako; DOB 15 Nov 1965; POB
Zagreb, Croatia; C.U.R.P. LJNI661115HGTMNW01 (Mexico) [individual] [BALKANS]

LLADROVICI, Julio (a.k.a. PRADO, Julio), Panamá (individual) [CUBA]

LLISON, Laura; DOB 27 Dec 1968; POB
Guadalajara, Jalisco, Mexico [SDNT]

LLMENDOBER, Luisa, Valledupar, Colombia; Passport GG0100225 (Colombia) [IRAQ2]

LLANOTOUR LTDA. (a.k.a. HOSTERIA BRIEGO SPORT) (Balkans) (individual) [BALKANS]

LLADROVICI, Ramiz; DOB 3 Jan 1966 (individual) [BALKANS]

LLANODE, Hsing Han; a.k.a. LAW, Hsit-han; a.k.a. LO, Hsin Han), 126A Loma Rd, Rangoon, Burma; 20 Wingabar Rd, Rangoon, Burma; 20–23 Masoeyein Kyang St., Mayangone, Rangoon, Burma; 20B Masoeyein St., 9 Mile, Rangoon, Burma; 23 19th St., Tangyang, Rangoon, Burma; 330 Strand Rd, Latha Township, Rangoon, Burma; 60–61 Strand Rd., Latha Township, Rangoon, Burma; 152 Sule Pagoda Rd, Rangoon, Burma; 20–23 Masoeyein Kyang St., Mayangone, Rangoon, Burma; 20 Wingabar Rd, Rangoon, Burma; DOB 1938; alt. DOB 1935 (individual) [BURMA]

LOAN, Waseem Rauf (a.k.a. BUTT, Abdul Majid; a.k.a. LOAN, Waseem Rauf; a.k.a. RASHID, Abdul Majid), c/o AL AMLOOD TRADING LLC, Dubai, United Arab Emirates; c/o FMF GENERAL TRADING LLC, Dubai, United Arab Emirates; Pakistan; DOB 03 Mar 1966; POB Lahore, Pakistan; citizen Pakistan; Identification Number 35200–5407888–5 (Pakistan); Passport AA998881 (Pakistan) (individual) [SDNTK]

LOBATO, Julio (a.k.a. PRADO, Julio), Panama (individual) [CUBA]

LOCHINVAR FARM, Mashvingo, Zimbabwe [ZIMBABWE]

LOGAN MOREY, Elvis Angus (a.k.a. “BURTON BURGESS”); DOB 26 Jul 1965; POB Toledo District, Belize; Passport P0017933 (Belize); SSN 561–77–901 (United States) (individual) [SDNT]

LOGARCHEO S.A. (f.k.a. LOGARCHEO AG), Chemin du Carmel, 1641 Le Paquier-Montbarry, Switzerland; US FEIN CH–217–0–431–423–3 (United States) [IRAQ2]

LOGISTICA Y TRANSPORTE NORVAL LTDA., Avenida Boyaca No. 66-24, Bogota, Colombia; C.U.R.P. LOAM900512HTMRLG02 (Mexico) (individual) [SDNTK]

LOMEDIC, S.A. DE C.V. (a.k.a. GRUPO LOMEDIC; a.k.a. MEDIC EXPRESS, S.A. DE C.V.), Av. del Parque #489, Col. San Andres, Guadalajara, Jalisco 44810, Mexico; Calle Chicle 23H, Colonia El Colli Industrial, Zapopan, Jalisco 45606, Mexico; E.F.C. LOM–900211–KQ2 (Mexico) [SDNTK]

LOMEDIC, S.A. DE C.V., Guadalajara, Jalisco, Mexico; DOB 05 Aug 1959; POB Guadalajara, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. LOMA900512HTMRLG02 (Mexico) (individual) [SDNTK]

LOMELIN MARTINEZ, Arturo, c/o ILC EXPORTACIONES, S. DE R.L. DE C.V., Mexico, Distrito Federal, Mexico; DOB 30 Jun 1947; POB Mexico, Distrito Federal, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. LOMA470603HTGMRR08 (Mexico) (individual) [SDNTK]

LONDONO ALVAREZ, Gloria Elena (a.k.a. LONDONO DE GRAJALES, Gloria Elena), c/o CITICAR LTDA., La Union, Valle, Colombia; c/o MELON LTDA., Cali, Colombia; c/o GBS TRADING S.A., Cali, Colombia; c/o HOTEL LOS VINEDOS, La Union, Valle, Colombia; c/o INTERNATIONAL FREEZE DRIED S.A., Bogota, Colombia; c/o JOSAFAT S.A., Tulua, Valle, Colombia; c/o WORKING COMERCIALIZADORA INTERNACIONAL S.A., Cali, Colombia; c/o CRETA S.A., La Union, Valle, Colombia; c/o SALIM S.A., La Union, Valle, Colombia; c/o FRUTAS DE LA COSTA S.A., Malambo, Atlantico, Colombia; c/o HEBRON S.A., Tulua, Valle, Colombia; c/o ARMAGEDON S.A., La Union, Valle, Colombia; c/o TRANSPORTES DEL ESPIRITU SANTO S.A., La Union, Valle, Colombia; c/o CONFECCIONES LINA MARIA LTDA., La Union, Valle, Colombia; c/o INDUSTRIAS DEL ESPIRITU SANTO S.A., Malambo, Atlantico, Colombia; DOB 22 Apr 1962; POB Medellin, Colombia; Cedula No. 51633146 (Colombia) (individual) [SDNT]

LONDONO DE UPEGUI, Maria del Carmen, c/o INVERSIONES VILLA PAZ S.A., Cali, Colombia; DOB 16 Oct 1927; Cedula No. 29652262 (Colombia) (individual) [SDNTK]

LONDONO ECHEVERRY, Rodrigo (a.k.a. “TIMOCHENKO”); DOB 22 Jan 1956; alt. DOB 1 Jan 1949; POB Calarca, Quindío, Colombia; Cedula No. 79149126 (Colombia) (individual) [SDNTK]

LONDONO VASQUEZ, Marco Julio, Carrera 63B No. 42–50, Medellin, Colombia; c/o INVERSIONES EL MOMENTO S.A., Medellin, Colombia; c/o CASA DEL GANADERO S.A., Medellin, Colombia; c/o ADMINISTRADORA GANADERA EL 45 LTDA., Medellin, Colombia; c/o SOCIEDAD MINERA GRIFOS S.A., El Bagre, Antioquia, Colombia; DOB 04 Dec 1965; POB Frondeza, Antioquia, Colombia; Cedula No. 15345634 (Colombia); Passport AG062408 (Colombia) (individual) [SDNTK]

LONDONO VELEZ, Roberto, Calle 19 No. 12–49, Apt. 504, Armenia, Quindío, Colombia; Calle 13 No. 101–50, Armenia, Quindío, Colombia; c/o ASESORIAS PROFESIONALES LTDA., Armenia, Colombia; DOB 17 Dec
LOPEZ ARANGO, Gloria Ines (a.k.a. LOPEZ
LOPERA BARBOSA, Juan Carlos, c/o
LOPERA BARBOSA, Jairo Humberto,
LOPERA BARBOSA, Adriana, c/o J.A.J.
BARBOSA Y CIA. S.C.S., Cali, Colombia;
LOPERA BARBOSA, Jesus, c/o FRIEDLANDER
INMOBILIARIA LTDA., Bogota, Colombia;
LOPERA BARBOSA, Lesly, c/o FRIEDLANDER
INMOBILIARIA LTDA., Bogota, Colombia;
LOPERA BARBOSA, Lina, c/o FRIEDLANDER
INMOBILIARIA LTDA., Bogota, Colombia;
LOPERA BARBOSA, Lucia, c/o FRIEDLANDER
INMOBILIARIA LTDA., Bogota, Colombia;
LOPERA BARBOSA, Patricia, c/o FRIEDLANDER
INMOBILIARIA LTDA., Bogota, Colombia;
LOPERA BARBOSA, Pilar, c/o FRIEDLANDER
INMOBILIARIA LTDA., Bogota, Colombia;
LOPERA BARBOSA, Ramiro, c/o FRIEDLANDER
INMOBILIARIA LTDA., Bogota, Colombia;
LOPERA BARBOSA, Yolanda, c/o FRIEDLANDER
INMOBILIARIA LTDA., Bogota, Colombia;
LOPERA BARBOSA, Yosmay, c/o FRIEDLANDER
INMOBILIARIA LTDA., Bogota, Colombia;
LOPERA BARBOSA, Yulian, c/o FRIEDLANDER
INMOBILIARIA LTDA., Bogota, Colombia;
LOPERA BARBOSA, Yuliana, c/o FRIEDLANDER
INMOBILIARIA LTDA., Bogota, Colombia;
LOPERA BARBOSA, Yuris, c/o FRIEDLANDER
INMOBILIARIA LTDA., Bogota, Colombia;
LOPERA BARBOSA, Yury, c/o FRIEDLANDER
INMOBILIARIA LTDA., Bogota, Colombia;
LOPERA BARBOSA, Yury J, c/o FRIEDLANDER
INMOBILIARIA LTDA., Bogota, Colombia;
LOPERA BARBOSA, Yury J., c/o FRIEDLANDER
INMOBILIARIA LTDA., Bogota, Colombia;
LOPERA BARBOSA, Yury J.J., c/o FRIEDLANDER
INMOBILIARIA LTDA., Bogota, Colombia;
LOPERA BARBOSA, Yury J.JJ, c/o FRIEDLANDER
INMOBILIARIA LTDA., Bogota, Colombia;
LOPERA BARBOSA, Yury J.JJ. c/o FRIEDLANDER
INMOBILIARIA LTDA., Bogota, Colombia;
LOPERA BARBOSA, Yury J.JJ., c/o FRIEDLANDER
INMOBILIARIA LTDA., Bogota, Colombia;
LOPERA BARBOSA, Yury J.J.J, c/o FRIEDLANDER
INMOBILIARIA LTDA., Bogota, Colombia;
LOPERA BARBOSA, Yury J.J.J, c/o FRIEDLANDER
INMOBILIARIA LTDA., Bogota, Colombia;
LOPERA BARBOSA, Yury J.J.J., c/o FRIEDLANDER
INMOBILIARIA LTDA., Bogota, Colombia;
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LOPERA BARBOSA, Yury J.J.JJ., c/o FRIEDLANDER
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LOPERA BARBOSA, Yury J.J.JJJ, c/o FRIEDLANDER
INMOBILIARIA LTDA., Bogota, Colombia;
LOPERA BARBOSA, Yury J.J.JJJ, c/o FRIEDLANDER
INMOBILIARIA LTDA., Bogota, Colombia;
LOPERA BARBOSA, Yury J.J.JJJ., c/o FRIEDLANDER
INMOBILIARIA LTDA., Bogota, Colombia;
LOPERA BARBOSA, Yury J.J.JJJ, c/o FRIEDLANDER
INMOBILIARIA LTDA., Bogota, Colombia;
LOPERA BARBOSA, Yury J.J.JJJ., c/o FRIEDLANDER
INMOBILIARIA LTDA., Bogota, Colombia;
LOPERA BARBOSA, Yury J.J.JJJJ, c/o FRIEDLANDER
INMOBILIARIA LTDA., Bogota, Colombia;
LOPERA BARBOSA, Yury J.J.JJJJ, c/o FRIEDLANDER
INMOBILIARIA LTDA., Bogota, Colombia;
LOPERA BARBOSA, Yury J.J.JJJJJ, c/o FRIEDLANDER
INMOBILIARIA LTDA., Bogota, Colombia;
LOPERA BARBOSA, Yury J.J.JJJJJ, c/o FRIEDLANDER
INMOBILIARIA LTDA., Bogota, Colombia;
LOPERA BARBOSA, Yury J.J.JJJJJ, c/o FRIEDLANDER
INMOBILIARIA LTDA., Bogota, Colombia;
LOPERA BARBOSA, Yury J.J.JJJJJ, c/o FRIEDLANDER
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LOPERA BARBOSA, Yury J.J.JJJJJ, c/o FRIEDLANDER
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LOPERA BARBOSA, Yury J.J.JJJJJ, c/o FRIEDLANDER
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LOPERA BARBOSA, Yury J.J.JJJJJ, c/o FRIEDLANDER
INMOBILIARIA LTDA., Bogota, Colombia;
LOPERA BARBOSA, Yury J.J.JJJJJ, c/o FRIEDLANDER
INMOBILIARIA LTDA., Bogota, Colombia;
LOPERA BARBOSA, Yury J.J.JJJJJ, c/o FRIEDLANDER
INMOBILIARIA LTDA., Bogota, Colombia;
LOPERA BARBOSA, Yury J.J.JJJJJ, c/o FRIEDLANDER
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LOPERA BARBOSA, Yury J.J.JJJJJ, c/o FRIEDLANDER
INMOBILIARIA LTDA., Bogota, Colombia;
LOPERA BARBOSA, Yury J.J.JJJJJ, c/o FRIEDLANDER
INMOBILIARIA LTDA., Bogota, Colombia;
LOPERA BARBOSA, Yury J.J.JJJJJ, c/o FRIEDLANDER
INMOBILIARIA LTDA., Bogota, Colombia;
LOPERA BARBOSA, Yury J.J.JJJJJ, c/o FRIEDLANDER
INMOBILIARIA LTDA., Bogota, Colombia;
LOPERA BARBOSA, Yury J.J.JJJJJ, c/o FRIEDLANDER
INMOBILIARIA LTDA., Bogota, Colombia;
LOPERA BARBOSA, Yury J.J.JJJJJ, c/o FRIEDLANDER
INMOBILIARIA LTDA., Bogota, Colombia;
LOPERA BARBOSA, Yury J.J.JJJJJ, c/o FRIEDLANDER
INMOBILIARIA LTDA., Bogota, Colombia;
LOPERA BARBOSA, Yury J.J.JJJJJ, c/o FRIEDLANDER
INMOBILIARIA LTDA., Bogota, Colombia;
California #4123, Fraccionamiento Quintas Del Sol, Chihuahua, Chihuahua, Mexico; Ohio No. 4123, Col Quintas Del Sol, Chihuahua, Chihuahua 31214, Mexico; c/o SERVICIO AEREO LEO LOPEZ, S.A. DE C.V., Chihuahua, Chihuahua, Mexico; DOB 13 Sep 1937; POB Xalapa, Veracruz, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. LOGL37091322A (Mexico); SSN 636–24–0589 (United States) (individual) [SDNTK]

LOPEZ, Mendez, Luis Eduardo (a.k.a. LOPEZ MENDEZ, Alfonso; a.k.a. “EFREN ARBOLEDA”); citizen Colombia; nationality Colombia; Cedula No. 96326669 (Colombia) (individual) [SDNTK]

LOPEZ, Miguel, A., 20 Ironmonger Lane, Ibex House, the Minories, London EC3N 1DY, United Kingdom (individual) [CUBA]

LOPEZ, Octavio, Calle Aurora y Andres, Benito Juarez, Quintana Roo, Mexico; Calle Boyero No. 3500, Torre 4, Dpto. 2, Fraccionamiento La Calma, Zapopan, Jalisco, Mexico; c/o CIMENTOS LA TORRE S.A. DE C.V., Guadalajara, Jalisco, Mexico; c/o CUMBRES SOLUCIONES INMOBILIARIAS S.A. DE C.V., Zapopan, Jalisco, Mexico; DOB 01 Apr 1976; alt. DOB 01 Jan 1976; POB Guadalajara, Jalisco, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. LORJ760101HJCPDR08 (Mexico); Passport 01149405557 (Mexico); alt. Passport 9814014654 (Mexico) (individual) [SDNT]

LOPEZ, RODRIGUEZ, Walter, c/o INVERSIONES MEDICAS Y QUIRURGICAS ESPECIALIZADAS LTDA., Cali, Colombia; c/o UNIVISA S.A., Cali, Colombia; c/o CARMILE INVERSIONES LOPEZ Y CIA. S.C.A., Cali, Colombia; c/o CONSTRUCTORA SANTA TERESITA S.A., Cali, Colombia; c/o PRODUCTOS ALIMENTICIOS GLACIARES LTDA., Cali, Colombia; DOB 12 Jul 1954; POB Buga, Valle, Colombia; Cedula No. 19239566 (Cali, Colombia); Passport PO66566 (Colombia) (individual) [SDNT]

LOPEZ, SANDOVAL, Fernando Alberto, c/o FARMACoop, Bogota, Colombia; c/o DISTRIBUIDORA SANAR DE COLOMBIA S.A., Cali, Colombia; c/o DISTRIPHARMACIA LTDA., Cali, Colombia; c/o INDUSTRIA MADERERA AGROPECUARIA LA ROBLEDA S.A., Cali, Colombia; c/o FLEXOEMPAQUES LTDA., Cali, Colombia; c/o UNIVISA S.A., Cali, Colombia; c/o ESPECIALIZADAS LTDA., Cali, Colombia; c/o INVERSIONES MEDICAS Y QUIRURGICAS ESPECIALIZADAS LTDA., Cali, Colombia; DOB 12 Oct 1975; Cedula No. 94560287 (Colombia); Passport 94450287 (Colombia) (individual) [SDNT]

LOPEZ, Trejo, Fernando, Calle Abasolo No. 4478 (Guatemala) (individual) [SDNTK]

LOPEZ, Garcia, Jose, 63–42 of. 209, Medellin, Colombia; c/o INCOMMERCE DISTRIBUIDORA SANAR DE COLOMBIA S.A., Cali, Colombia; c/o INCOMMERCE DISTRIBUIDORA SANAR DE COLOMBIA S.A., Cali, Colombia; c/o INCOMMERCE DISTRIBUIDORA SANAR DE COLOMBIA S.A., Cali, Colombia; c/o DISTRIEXPORT S.A., Bogota, Colombia; c/o INCOMMERCE DISTRIBUIDORA SANAR DE COLOMBIA S.A., Cali, Colombia; DOB 12 Oct 1975; Cedula No. 94560287 (Colombia); Passport 94450287 (Colombia) (individual) [SDNT]

LOPEZ, Urrea, Adriana Patricia, c/o COLPHAR S.A., Bogota, Colombia; DOB 29 Feb 1968; Cedula No. 36378461 (Colombia); Passport 36378461 (Colombia) (individual) [SDNT]

LOPEZ, Valencia, Oscar Alberto, c/o MEGAPLAST S.A., Palmira, Valle, Colombia; Carrera 6A No. 11–43 501–2, Cali, Colombia; c/o PLASTICOS CONDOR LTDA., Cali, Colombia; c/o FLEXOEMPAQUES LTDA., Cali, Colombia; c/o MEGAPLAST S.A., Bogota, Colombia; DOB 30 Aug 1960; Cedula No. 19241548 (Colombia) (individual) [SDNTK]

LOPEZ, ZAPATA, Hernan de Jesus, c/o AGROPECUARIA LA ROBLEDA S.A., Cali, Colombia; c/o INDUSTRIA MADERERA ARCA LTDA., Cali, Colombia; Cedula No. 16344568 (Colombia) (individual) [SDNT]

LOPEZ, Miguel, A., 20 Ironmonger Lane, London EC2V 8EY, United Kingdom (individual) [CUBA]

LOPEZ, Quirino Gutierrez, c/o ANGLO CARIBBEAN SHIPPING CO., LTD., 7th Floor, Ibex House, the Minories, London EC3N 1DY, United Kingdom (individual) [CUBA]

LORENZANA CORDON, Eliu Elixander, La Reforma, Zacapa, Guatemala; DOB 29 Nov 1971; POB Guatemala; citizen Guatemala; nationality Guatemala; Cedula No. R–194478 (Guatemala) (individual) [SDNTK]
LORENZANA CORDON, Haroldo Geremias (a.k.a. LORENZANA CORDON, Haroldo Jeremias; a.k.a. “CHUCHI”; a.k.a. “CHUCHY”’), La Reforma, Zaca, Guatemala; DOB 04 Jun 1966; POB Guatemala; citizen Guatemala; nationality Guatemala; Cedula No. R-19 3649 (Guatemala) (individual) [SDNTK]

LORENZANA CORDON, Waldemar (a.k.a. LORENZANA CORDON, Valdemar), Zaca, Guatemala; DOB 25 Apr 1965; POB Guatemala; citizen Guatemala; nationality Guatemala; Cedula No. R-190000256 (Guatemala) (individual) [SDNTK]

LORENZANA LIMA, Waldemar (a.k.a. LORENZANA LIMA, Valdemar), La Reforma, Zaca, Guatemala; DOB 19 Feb 1949; POB Guatemala; citizen Guatemala; nationality Guatemala; Cedula No. R-190001817 (Guatemala) (individual) [SDNTK]

LORMENDEZ PITALUA, Omar (a.k.a. LORMENDEZ PITALUA, Omar; a.k.a. LORMENDES PITALUA, Omar; a.k.a. LORMENDEZ PITALUA, Omar), Mexico; DOB 18 Jan 1972; POB Lecheria Tultitlan, Mexico; alt. POB Tlalnepantla De Baz, Mexico, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. LOP070118HMCRTM01 (Mexico) (individual) [SDNTK]

LOS GNOMOS LTDA., Calle 5 No. 61-82, Apt. 412B, Cali, Valle, Colombia; NIT #890166614-2 (Colombia) [SDNTK]

LOS VINEDOS DE GETSEMANI S.A. (a.k.a. HOTEL LOS VINEDOS; a.k.a. VALLE LINDO HOSTAL RESTAURANTE), Troncal Del Pacifico Km. 1, La Union, Valle, Colombia; Km. 1 Via a Roldanillo, La Union, Colombia; NIT #890108902-6 (Colombia) [SDNTK]

LOS ZETAS, Mexico [SDNTK]

LOSAJA DUSSAN, Jacqueline (a.k.a. LOSADA DUSSAN, Jacqueline), c/o INVERSIONES LAMARC S.A., Cartagena, Colombia; Cedula No. 16657902 (Colombia); R.F.C. VAZS691029HSRLZN04 (Mexico); alt. R.F.C. VAZS691029HSRLZN04 (Mexico) [individual] [DRCONGO]

LOTSA OF DUTE VALLEY FARM, Lupane, Zimbabwe [ZIMBABWE]

LOTHAIN FARM, Gutu, Zimbabwe [ZIMBABWE]

LOTUS ISLANDS (vessel) [CUBA]


LOUNICI, Djamel; DOB 1 Feb 1962; POB Algiers, Algeria (individual) [SDGT]

LOUTH HOLDINGS, S.A., Panama [CUBA]

LOYA PLANCARTE, Dionicio (a.k.a. EL TIO; a.k.a. LOYA PLANCARTE, Dionisio), La Calle Prolongacion Finlandia, Fracc Arboledas, Morelia, Michoacan, Mexico; Joan Sebastian Bach 87, 2-B, Col Bosque de la Loma, Morelia, Michoacan, Mexico; Calle Sin Nombre 100, Cenobio Moreno, Apatzintang, Michoacan 60710, Mexico; DOB 21 Oct 1955; POB Michoacan, Mexico; R.F.C. LOPD5510214S1 (Mexico) (individual) [SDNTK]

LOYALIST VOLUNTEER FORCE (a.k.a. “LVF”), United Kingdom [SDGT]

LOZADA PABON, Julio Cesar, c/o AGROGANADERA LA FORTALEZA, Montery, Meta, Colombia; Carrera S1 No. 122-08 Apto. 102, Bogota, Colombia; Cedula No. 1722988 (Colombia) (individual) [SDNTK]

LOZANO ESCOBAR, Enrique Alejandro, c/o GRANJA LA SIERRA LTDA., Cali, Colombia; DOB 5 Aug 1961; POB Cali, Valle, Colombia; Cedula No. 16657902 (Colombia); Passport 16657902 (Colombia) (individual) [SDNT]

LUBANGA, Thomas (a.k.a. DYIO, Thomas Lubanga); DOB 29 Dec 1960; POB Djiba, Utcha Sector, Dioua Territory, Ituri District, Orientale Province, DRC; nationality Congo, Democratic Republic of the (individual) [DRC]

LUCERO DE MARTINEZ, Sandra (a.k.a. LUCERO VALENZUELA, Sandra; a.k.a. VALENZUELA ZAZUETA, Sandra; a.k.a. VALENZUELA SERRA, Sandra), Mexico; DOB 29 Oct 1969; POB Nogales, Sonora, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. VAZS691029HSRLZN04 (Mexico); alt. C.U.R.P. VAZS691029HSRLZN04 (Mexico) (individual) [DRCONGO]

LUCERO VALENZUELA, Sandra; a.k.a. VALENZUELA SERRA, Sandra; a.k.a. VALENZUELA ZAZUETA, Sandra), Mexico; DOB 29 Oct 1969; POB Nogales, Sonora, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. VAZS691029HSRLZN04 (Mexico) (individual) [DRCONGO]

LUCERO VALENZUELA, Sandra; a.k.a. VALENZUELA SERRA, Sandra; a.k.a. VALENZUELA ZAZUETA, Sandra), Mexico; DOB 29 Oct 1969; POB Nogales, Sonora, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. VAZS691029HSRLZN04 (Mexico) (individual) [DRCONGO]

LUCERO VALENZUELA, Sandra; a.k.a. VALENZUELA SERRA, Sandra; a.k.a. VALENZUELA ZAZUETA, Sandra), Mexico; DOB 29 Oct 1969; POB Nogales, Sonora, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. VAZS691029HSRLZN04 (Mexico) (individual) [DRCONGO]

LUCERO VALENZUELA, Sandra; a.k.a. VALENZUELA SERRA, Sandra; a.k.a. VALENZUELA ZAZUETA, Sandra), Mexico; DOB 29 Oct 1969; POB Nogales, Sonora, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. VAZS691029HSRLZN04 (Mexico) (individual) [DRCONGO]

LUCERO VALENZUELA, Sandra; a.k.a. VALENZUELA SERRA, Sandra; a.k.a. VALENZUELA ZAZUETA, Sandra), Mexico; DOB 29 Oct 1969; POB Nogales, Sonora, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. VAZS691029HSRLZN04 (Mexico) (individual) [DRCONGO]

LUCERO VALENZUELA, Sandra; a.k.a. VALENZUELA SERRA, Sandra; a.k.a. VALENZUELA ZAZUETA, Sandra), Mexico; DOB 29 Oct 1969; POB Nogales, Sonora, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. VAZS691029HSRLZN04 (Mexico) (individual) [DRCONGO]

LUCERO VALENZUELA, Sandra; a.k.a. VALENZUELA SERRA, Sandra; a.k.a. VALENZUELA ZAZUETA, Sandra), Mexico; DOB 29 Oct 1969; POB Nogales, Sonora, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. VAZS691029HSRLZN04 (Mexico) (individual) [DRCONGO]

LUCERO VALENZUELA, Sandra; a.k.a. VALENZUELA SERRA, Sandra; a.k.a. VALENZUELA ZAZUETA, Sandra), Mexico; DOB 29 Oct 1969; POB Nogales, Sonora, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. VAZS691029HSRLZN04 (Mexico) (individual) [DRCONGO]

LUCERO VALENZUELA, Sandra; a.k.a. VALENZUELA SERRA, Sandra; a.k.a. VALENZUELA ZAZUETA, Sandra), Mexico; DOB 29 Oct 1969; POB Nogales, Sonora, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. VAZS691029HSRLZN04 (Mexico) (individual) [DRCONGO]

LUCERO VALENZUELA, Sandra; a.k.a. VALENZUELA SERRA, Sandra; a.k.a. VALENZUELA ZAZUETA, Sandra), Mexico; DOB 29 Oct 1969; POB Nogales, Sonora, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. VAZS691029HSRLZN04 (Mexico) (individual) [DRCONGO]
Office of Foreign Assets Control, Treasury

VARGAS, Jorge; DOB 10 Jan 64; POB Mexico (individual) [SDNTK]

MALIK, Assim Mohammed Rafiq Abdul (a.k.a. ABDULMALIK, Abdul Hameed; a.k.a. RAFIQ, Assem), 14 Almotaz Sad Al Deen Street, Al Nozha, Cairo, Egypt (individual) [IRAQ2]

MALINGA, Joshua; DOB 28 Apr 1944; Deputy Secretary for Disabled and Disadvantaged (individual) [ZIMBABWE]

MALUT SUGAR FACTORY, Malut, Sudan [SUDAN]

MANDO, Khawa Panga (a.k.a. KAHWA, Chief; a.k.a. KAHWA, Mando Panga; a.k.a. KARIM, Yves Andoul; a.k.a. MANDRO, Kawa; a.k.a. MANDRO, Kawa; a.k.a. MANDRO, Yves Khawa Panga; a.k.a. MANDRO, Yves Khawa Panga; a.k.a. MANDRO, Yves Khawa Panga; a.k.a. MANDRO, Yves Khawa Panga; a.k.a. BUNIA, Democratic Republic of the Congo; former President, Party for Unity and Safeguarding of the Integrity of Congo (PUSIC) (individual) [DRCONGO]

MANGALA SUGAR FACTORY, Mangala, Sudan [SUDAN]

MANGWANA, Munyaradzi Paul, Box 360, Kadoma, Zimbabwe; No. 1, 5th Avenue, Westview, Kadoma, Zimbabwe; DOB 10 Apr 1961; Passport AD000459 (Zimbabwe); Minister of State for Anti-Corruption and Anti-Monopolies (individual) [ZIMBABWE]

MANGWENDE, Witness; DOB 15 Aug 1946; Former Minister of Transport and Communications; Deceased (individual) [ZIMBABWE]

MANJARRES FORERO, Baudelino, c/o CAJA SOLIDARIA, Bogota, Colombia; c/o FOMENTAMOS, Bogota, Colombia; c/o CREDISOL, Bogota, Colombia; DOB 24 May 1949; Cedula No. 19073383 (Colombia); Passport 19073383 (Colombia) (individual) [SDNT]

MANJIRREZ GRANDE, Jorge (a.k.a. MANJIRREZ GRANDE, Jorge), ASESORIAS DE INGENIERIA EMPRESA UNIPERSONAL, Cali, Colombia; c/o SONAR F.M. S.A., Cali, Colombia; c/o RADIO UNIDAS F.M. S.A., Cali, Colombia; INVERSIETE S.A., Cali, Colombia; c/o SERVIFAR S.A., Cali, Colombia; c/o INTERAMERICANA DE CONSTRUCCIONES S.A., Cali, Colombia; c/o GRACADAL S.A., Cali, Colombia; c/o ADMINISTRADORA DE SERVICIOS VARIOS CALIMA S.A., Cali, Colombia; GENERAL DE NEGOCIOS Y ADMINISTRACION LTDA., Cali, Colombia; INVERSIONES Y CONSTRUCCIONES COSMOVALLE LTDA., Cali, Colombia; DOB 5 Jul 1959; Cedula No. 1632969 (Colombia); Passport 1632969 (Colombia) (individual) [SDNT]

MANN, Aung Thet (a.k.a. KO, Shwe Mann Ko); DOB 19 Jun 1977; c/o Ayer Shwe Wah Company Limited; c/o Htoo Group of Companies; c/o Htoo Trading Company Limited (individual) [BURMA]

MANN, Shwe (a.k.a. MANN, Thura Shwe); Passport 16632969 (Colombia) (individual) [SDNT]

MANN, Aung Thet (a.k.a. KO, Shwe Mann Ko); DOB 19 Jun 1977; c/o Ayer Shwe Wah Company Limited; c/o Htoo Group of Companies; c/o Htoo Trading Company Limited (individual) [BURMA]

MANN, Shwe (a.k.a. MANN, Thura Shwe); DOB 11 Jul 1947; citizen Burma; nationality Burma; Joint Chief of Staff; Member, State Peace and Development Council (individual) [BURMA]

MANUFACTURAS REAL, S.A. (f.k.a. MANUFACTURAS REAL LTDA.), Avenida 13 Sur No. 24C-73 Barrio Balvanera, Bogota, Colombia; NIT #800158181-6 (Colombia) (individual) [SDNT]

MANYIKA, Elliot, PO Box 300, Bindura, Zimbabwe; DOB 30 Jul 1955; Passport AD000642 (Zimbabwe); Minister Without Portfolio (individual) [ZIMBABWE]

MANYONDA, Kenneth, 6 Speke Avenue, Murambi, Mutare, Zimbabwe; DOB 10 Aug 1934; Central Committee Member (individual) [ZIMBABWE]

MAPRI DE COLOMBIA LTDA., Calle 12B No. 27–40 Int. 4, Bogota, Colombia; Carrera 129 No. 29–67 Int. 17, Bogota, Colombia; NIT #890103959-1 (Colombia) [SDNT]

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MARIN, Pedro Antonio (a.k.a. MARIN MARULANDA’); a.k.a. “MANUEL MARULANDA VELEZ”; a.k.a. “TIROFLO’’; DOB 13 May 1930; POB Genova, Quindio, Colombia; Cedula No. 4970142 (Colombia) (individual) [SDNTK]
MARINE REGISTRATION COMPANY, Panama [CUBA]
MARINIC, Zoran; DOB 6 Jun 1963; POB Busovaca, Bosnia-Herzegovina; ICTY indicted at large (individual) [BALKANS]
MARISCOS DE FARALLON, S.A. (a.k.a. MARISCOS DE FARALLON, S.A.), Panama [CUBA]
MARKETING ASSOCIATES CORPORATION, Calle 52 E, Campo Alegre, Panama City, Panama [CUBA]
MARKOVIC, Mirjana; wife of Slobodan Milosevic (individual) [BALKANS]
MARKOVIC, Radovac; DOB 1946; alt. DOB 1947; Ex-FRY Deputy Minister of Interior (individual) [BALKANS]
MARKS, Martin Gregory (a.k.a. ”GORDON, Howard A.’’); DOB 30 Oct 1958; POB Jamaica; Passport 217720 (Jamaica) (individual) [SDNT]
MARKU, Ton; DOB 13 Jun 1964 (individual) [BALKANS]
MARMOLEJO LOAIZA, Carlos Julio, c/o INVERSIONES AGRICOLAS AVICOLAS Y GANADERAS LA CARMELITA LTDA., Cali, Colombia; c/o COMERCIALIZADORA INTERNACIONAL VALLE DE ORO S.A., Cali, Colombia; c/o INVERSIONES BETANIA LTDA., Cali, Colombia; c/o INDUSTRIA AVICOLA PALMASECA S.A., Cali, Colombia; c/o INVERSIONES INVERVALLE S.A., Cali, Colombia; c/o COMERCIALIZADORA INVERSIONES INVERVALLE S.A., Cali, Colombia; DOB 2 Jul 1948; Cedula No. 14972601 (Colombia) (individual) [SDNT]
MARONDERA MAPLE LEAF FARM, Zimbabwe [ZIMBABWE]
MARQUEZ CANOVAS, Alberto, c/o INMOBILIARIA U.M.V. S.A., Cali, Colombia; c/o SERVICIOS INMOBILIARIOS LTDA., Cali, Colombia; DOB 27 Oct 1951; Cedula No. 14993019 (Colombia) (individual) [SDNT]
MARQUES’’; a.k.a. ”IVAN MARQUES’’; a.k.a. M.T.T. LTDA., Carrera 4A No. 16–26, Cali, Colombia; NIT #800083114–9 (Colombia) (individual) [BALKANS]
MARTAN RODRIGUEZ, Oscar Ignacio, c/o M.T.T. LTDA., Carrera 4A No. 16–26, Cali, Colombia; NIT #800083114–9 (Colombia) (individual) [BALKANS]
MARKU, Ton; DOB 13 Jun 1964 (individual) [BALKANS]
MARMOLEJO LOAIZA, Carlos Julio, c/o INVERSIONES AGRICOLAS AVICOLAS Y GANADERAS LA CARMELITA LTDA., Cali, Colombia; c/o COMERCIALIZADORA INTERNACIONAL VALLE DE ORO S.A., Cali, Colombia; c/o INVERSIONES BETANIA LTDA., Cali, Colombia; c/o INDUSTRIA AVICOLA PALMASECA S.A., Cali, Colombia; c/o INVERSIONES INVERVALLE S.A., Cali, Colombia; c/o COMERCIALIZADORA INVERSIONES INVERVALLE S.A., Cali, Colombia; DOB 2 Jul 1948; Cedula No. 14972601 (Colombia) (individual) [SDNT]
MARONDERA MAPLE LEAF FARM, Zimbabwe [ZIMBABWE]
MARQUEZ CANOVAS, Alberto, c/o INMOBILIARIA U.M.V. S.A., Cali, Colombia; c/o SERVICIOS INMOBILIARIOS LTDA., Cali, Colombia; DOB 27 Oct 1951; Cedula No. 14993019 (Colombia) (individual) [SDNT]
MARQUES’’; a.k.a. ”IVAN MARQUES’’; a.k.a. M.T.T. LTDA., Carrera 4A No. 16–26, Cali, Colombia; NIT #800083114–9 (Colombia) (individual) [BALKANS]
MARTAN RODRIGUEZ, Oscar Ignacio, c/o M.T.T. LTDA., Carrera 4A No. 16–26, Cali, Colombia; NIT #800083114–9 (Colombia) (individual) [BALKANS]
MARKU, Ton; DOB 13 Jun 1964 (individual) [BALKANS]
MARMOLEJO LOAIZA, Carlos Julio, c/o INVERSIONES AGRICOLAS AVICOLAS Y GANADERAS LA CARMELITA LTDA., Cali, Colombia; c/o COMERCIALIZADORA INTERNACIONAL VALLE DE ORO S.A., Cali, Colombia; c/o INVERSIONES BETANIA LTDA., Cali, Colombia; c/o INDUSTRIA AVICOLA PALMASECA S.A., Cali, Colombia; c/o INVERSIONES INVERVALLE S.A., Cali, Colombia; c/o COMERCIALIZADORA INVERSIONES INVERVALLE S.A., Cali, Colombia; DOB 2 Jul 1948; Cedula No. 14972601 (Colombia) (individual) [SDNT]
MARONDERA MAPLE LEAF FARM, Zimbabwe [ZIMBABWE]
MARQUEZ CANOVAS, Alberto, c/o INMOBILIARIA U.M.V. S.A., Cali, Colombia; c/o SERVICIOS INMOBILIARIOS LTDA., Cali, Colombia; DOB 27 Oct 1951; Cedula No. 14993019 (Colombia) (individual) [SDNT]
MARQUES’’; a.k.a. ”IVAN MARQUES’’; a.k.a. M.T.T. LTDA., Carrera 4A No. 16–26, Cali, Colombia; NIT #800083114–9 (Colombia) (individual) [BALKANS]
MARTAN RODRIGUEZ, Oscar Ignacio, c/o M.T.T. LTDA., Carrera 4A No. 16–26, Cali, Colombia; NIT #800083114–9 (Colombia) (individual) [BALKANS]
MARKU, Ton; DOB 13 Jun 1964 (individual) [BALKANS]
MARMOLEJO LOAIZA, Carlos Julio, c/o INVERSIONES AGRICOLAS AVICOLAS Y GANADERAS LA CARMELITA LTDA., Cali, Colombia; c/o COMERCIALIZADORA INTERNACIONAL VALLE DE ORO S.A., Cali, Colombia; c/o INVERSIONES BETANIA LTDA., Cali, Colombia; c/o INDUSTRIA AVICOLA PALMASECA S.A., Cali, Colombia; c/o INVERSIONES INVERVALLE S.A., Cali, Colombia; c/o COMERCIALIZADORA INVERSIONES INVERVALLE S.A., Cali, Colombia; DOB 2 Jul 1948; Cedula No. 14972601 (Colombia) (individual) [SDNT]
MARONDERA MAPLE LEAF FARM, Zimbabwe [ZIMBABWE]
MARQUEZ CANOVAS, Alberto, c/o INMOBILIARIA U.M.V. S.A., Cali, Colombia; c/o SERVICIOS INMOBILIARIOS LTDA., Cali, Colombia; DOB 27 Oct 1951; Cedula No. 14993019 (Colombia) (individual) [SDNT]
MARQUES’’; a.k.a. ”IVAN MARQUES’’; a.k.a. M.T.T. LTDA., Carrera 4A No. 16–26, Cali, Colombia; NIT #800083114–9 (Colombia) (individual) [BALKANS]
MARTAN RODRIGUEZ, Oscar Ignacio, c/o M.T.T. LTDA., Carrera 4A No. 16–26, Cali, Colombia; NIT #800083114–9 (Colombia) (individual) [BALKANS]
MARKU, Ton; DOB 13 Jun 1964 (individual) [BALKANS]
MARMOLEJO LOAIZA, Carlos Julio, c/o INVERSIONES AGRICOLAS AVICOLAS Y GANADERAS LA CARMELITA LTDA., Cali, Colombia; c/o COMERCIALIZADORA INTERNACIONAL VALLE DE ORO S.A., Cali, Colombia; c/o INVERSIONES BETANIA LTDA., Cali, Colombia; c/o INDUSTRIA AVICOLA PALMASECA S.A., Cali, Colombia; c/o INVERSIONES INVERVALLE S.A., Cali, Colombia; c/o COMERCIALIZADORA INVERSIONES INVERVALLE S.A., Cali, Colombia; DOB 2 Jul 1948; Cedula No. 14972601 (Colombia) (individual) [SDNT]
MARONDERA MAPLE LEAF FARM, Zimbabwe [ZIMBABWE]
MARQUEZ CANOVAS, Alberto, c/o INMOBILIARIA U.M.V. S.A., Cali, Colombia; c/o SERVICIOS INMOBILIARIOS LTDA., Cali, Colombia; DOB 27 Oct 1951; Cedula No. 14993019 (Colombia) (individual) [SDNT]
MARQUES’’; a.k.a. ”IVAN MARQUES’’; a.k.a. M.T.T. LTDA., Carrera 4A No. 16–26, Cali, Colombia; NIT #800083114–9 (Colombia) (individual) [BALKANS]

MARTYC, Milan; DOB 18 Nov 1954; POB Zarinabad, Iran; nationality Iran; vice president; member of Revolutionary Command Council (individual) [IRAQ2]

MARUF, Taher Muhiy-al-Din (a.k.a. MARUF, Taha); DOB 1924; Passport Sulaymaniyah, Iraq; nationality Iraq; Vice President; member of Revolutionary Command Council (individual) [IRAQ2]

MARUMAHOKO, Rueben, 11 Douglas Clark Avenue, The Groenge, Harare, Zimbabwe; DOB 4 Apr 1948; Deputy Minister for Home Affairs (individual) [ZIMBABWE]

MARYOL ENTERPRISES INC., c/o EMPRESA DE NAVIACION MAMIBA, Apartado 563, San Ignacio 104, Havana, Cuba [CUBA]

MARZUKI, Zulifil (a.k.a. BIN MARZUKI, Zulkepli; a.k.a. MARZUKI, Zulkifli; a.k.a. BIN ZUKIPLI, Marzuki; a.k.a. ZULKIFLI); DOB 3 Jul 1954; nationality Malaysia; C.U.R.P. MACC690423HDFRNS03 (Mexico) (individual) [SDNTK]

MARZUKI, Zulkifli (a.k.a. BIN MARZUKI, Zulkepli; a.k.a. MARZUKI, Zulkopi; a.k.a. ZUKIPLI; a.k.a. ZULKIFLI); DOB 3 Jul 1954; nationality Malaysia; C.U.R.P. MACC690423HDFRNS03 (Mexico) (individual) [SDNTK]

MARTINEZ, Cesar (a.k.a. MARTINEZ CANTABRANA, Cesar Alejandro), c/o ILC EXPORTACIONES, S. DE R.L. DE C.V., Mexico; DIR; Distrito Federal, Mexico; DOB 27 Oct 1968; POB Xochimilco, Distrito Federal, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. MACC681027HDFRNS03 (Mexico) (individual) [SDNTK]

MARTINEZ HODWALKER M. & CIA. S. EN C.; n.k.a. VERANILLO S.A.; pasport 79668278 (Colombia) (individual) [SDNTK]

MARTINEZ HODWALKER M. & CIA. S. EN C. (a.k.a. MARTIN HODWALKER M. AND CIA. S. EN C.; n.k.a. VERANILLO S.A.; c.f.k. VERANILLO Y CIA. S. EN C.), Via 40 No. 67-20-42, Barranquilla, Colombia; NIT #802007314-9 (Colombia) (individual) [SDNTK]

MARTINEZ ARANGO, Oscar Richard; c/o COMERCIIALIZADORA DE CARNES CONTINENTAL MOCI LTDA., Bogota, Colombia; DOB 31 Jul 1972; Cedula No. 79694529 (Colombia) (individual) [SDNTK]

MARTINEZ ANTONIO, Carlos; c/o MASUKU, Angeline; DOB 14 Oct 1936; POB Chaparral, Tolima, Colombia; nationality Colombia; Cedula No. 4870352 (Colombia) (individual) [SDNTK]

MARTINEZ ARANGU, Omar Axel, c/o MULTISERVICIOS SIGLO, S.A. DE C.V., Tijuana, Baja California, Mexico; DOB 4 Aug 1972; POB Irapuato, Guanajuato, Mexico; nationality Mexico; C.U.R.P. MACC681027HDFRNS03 (Mexico) (individual) [SDNTK]

MARTINEZ CASAS, Carlos Mario, c/o GASOLINERAS SAN FERNANDO S.A. DE C.V., Saucillo, Mexico; c/o INDIO MULTISERVICIOS SIGLO, S.A. DE C.V., Saucillo, Mexico; DOB 23 Apr 1969; citizen Mexico; nationality Mexico; C.U.R.P. MACC690423HDFRNS03 (Mexico) (individual) [SDNTK]

MARTINEZ DUARTE, Armando; DOB 12 Aug 1954; nationality Mexico (individual) [SDNTK]

MARTINEZ PLAZA, Omar Axel, c/o MULTISERVICIOS SIGLO, S.A. DE C.V., Tijuana, Baja California, Mexico; DOB 4 Aug 1972; POB Irapuato, Guanajuato, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. MACC681027HDFRNS03 (Mexico) (individual) [SDNTK]

MARTINEZ PIVELAR, John Edward, c/o AGRO MULTISERVICIOS SIGLO, S.A. DE C.V., Mexico, Distrito Federal, Mexico; DOB 18 Nov 1954; nationality Mexico (individual) [SDNTK]

MARTINEZ REYES, Carlos; a.k.a. REYES MARTINEZ, Carlos, c/o MASTERS INTERNATIONAL LTD., 1905 S. Florida Avenue, Lakeland, FL 33803; US FEIN 133798020 (United States)

MARTINEZ RUIZ, Roberto, c/o MASTERS INTERNATIONAL LTD., New Boundary House, London Road, Sunningdale, Ascot, Berkshire SL5 0DJ, United Kingdom

MATAMOROS NO. 23, Tamaulipas, Mexico; Calle Mariano 'EL CHUCHO'; DOB 31 Jan 1935; alt. DOB 31 Jan 1935; POB Chaparral, Toluca, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. MACC600927HDFRNS03 (Mexico) (individual) [SDNTK]

MARTINEZ TURRÓN, Carlos; a.k.a. TURRON MARTINEZ, Carlos (Colombia) (individual) [SDNTK]

MARTIN HODWALKER M. & CIA. S. EN C.; n.k.a. VERANILLO Y CIA. S. EN C.; Via 40 No. 67-20-42, Barranquilla, Colombia; NIT #802007314-9 (Colombia) (individual) [SDNTK]

MARTIN HODWALKER M. AND CIA. S. EN C. (a.k.a. MARTIN HODWALKER M. AND CIA. S. EN C.; n.k.a. VERANILLO S.A.; c.f.k. VERANILLO Y CIA. S. EN C.), Via 40 No. 67-20-42, Barranquilla, Colombia; NIT #802007314-9 (Colombia) (individual) [SDNTK]

MARTIN HOUSTON, Thomas; c/o MASTERS INTERNATIONAL LTD., 1905 S. Florida Avenue, Lakeland, FL 33803; US FEIN 133798020 (United States)
1977; POB Guerrero; alt. POB Tepecan de Galeana, Guerrero; citizen Mexico; nationality Mexico; C.U.R.P. MALI770731HGRTRG07 (Mexico); Cartilla de Servicio Militar Nacional C02696947 (Mexico) (individual) [SDNTK]

MATERIAS PRIMAS Y SUMINISTROS S.A. (a.k.a. MATERIAS PRIMAS Y SUMINISTROS LTDA.; a.k.a. MATSUM S.A.), Calle 12B No. 28–58, Bogota, Colombia; Calle 39 Bis A No. 27–16, Bogota, Colombia; Calle 39 Bis A No. 27–20, Bogota, Colombia; NIT #800083863–3 (Colombia) [SDNTK]

MATHEMA, Cain; DOB 28 Jan 1948; Bulawayo Provincial Governor (individual) [ZIMBABWE]

MATHUTHU, Sithokozile; Matabeleland North Provincial Governor & Deputy Secretary for Transport and Social Welfare (individual) [ZIMBABWE]

MATIBIRI, Innocent Tonderai; DOB 9 Oct 1968; Deputy Police Commissioner (individual) [ZIMBABWE]

MATIZA, Biggie Joel; DOB 17 Aug 1960; Passport ZA557399 (Zimbabwe); Deputy Minister of Rural Housing and Social Amenities (individual) [ZIMBABWE]

MATONGA, Bright; DOB circa 1969; Deputy Minister of Information and Publicity (individual) [ZIMBABWE]

MATRIX CHURCHILL CORPORATION, 5803 Harper Road, Cleveland, OH 44139, OH 44139 [IRAQ]

MAX MYANMAR CONSTRUCTION CO., LTD, 1 Ywama Curve, Bayint Naung Road, Ward (2), Hlaing Township, Yangon, Burma [BURMA] [JADE]

MAX MYANMAR SERVICES CO., LTD., 1 Ywama Curve, Bayint Naung Road, Ward (2), Hlaing Township, Yangon, Burma [BURMA] [JADE]

MAX MYANMAR TRADING CO., LTD., 1 Ywama Curve, Bayint Naung Road, Ward (2), Hlaing Township, Yangon, Burma [BURMA] [JADE]

MAX SINGAPORE INTERNATIONAL PTE. LTD., 3 Shenton Way, #24–02, Shenton House 068995, Singapore [BURMA] [JADE]

MAXTIENDAS TODO EN UNO, Avenida Guadalupe con Avenida Simon Bolivar, Cali, Colombia [SDNT]

MAY ENGINEERING COMPANY, c/o ENGINEERING EQUIPMENT CORPORATION, undetermined; P.O. Box 97, Khartoum, Sudan [SUDAN]

MAYOR COMERCIALIZADORA LTDA., Carrera 40 No. 169–30 Barrio Toberin, Bogota, Colombia; NIT #800083286–4 (Colombia) [SDNT]

MAZANDARAN CEMENT COMPANY, 40 Satari Ave., Afrigha Highway, P.O. Box 19688, Tehran, Iran; Africa Street, Sattari Street No. 40, P.O. Box 121, Tehran 19688, Iran [NPWMD]

MAZANDARAN TEXTILE COMPANY (a.k.a. SHERKATE NASAJI MAZANDARAN), Kendovan Alley 5, Vila Street, Enghelab Ave., P.O. Box 11365-9513, Tehran 11318, Iran; Sari Ave., Ghaemshahr, Iran; 28 Candovan Cooy Enghelab Ave., P.O. Box 11318, Tehran, Iran [NPWMD]

MAZHAR, Mohammed (a.k.a. AZHAR, Mohammad; a.k.a. MAHAZAR, Maulawi Mohammad; a.k.a. MAZAR, Hakim Muhammad; a.k.a. MAZAR, Hakim; a.k.a. MAZHAR, Mohammad; a.k.a. MAZHAR, Molavi Muhammad; a.k.a. MAZHAR, Molavi; a.k.a. MAZHAR, Molami Muhammad), ST 1/A, Block 2, Gulshan-e-Iqbal, Karachi, Pakistan; DOB 5 Oct 1951; POB Azamgarh, Uttar Pradesh, India; nationality Pakistan; Passport KZ 550207 (Pakistan); alt. Passport EC550207 (Pakistan); alt. Passport G154297 (Pakistan) (individual) [SDGT]

MBARUSHIMANA, Callixte, Paris, France; Thiais, France; DOB 24 Jul 1968; POB Nduzu/Ruhengeri, Northern Province, Rwanda; alt. POB Ruhengeri Province, Rwanda; citizen Rwanda; FDLR Executive Secretary (individual) [DRCONGO]

MC OVERSEAS TRADING COMPANY SA DE CV. Justo Sierra 1963, Guadalajara, Jalisco, Mexico (SDNT)

MEADOWSBOOK INVESTMENTS LIMITED, 44 Upper Belgrave Road, Clifton, Bristol BS8 2XN, United Kingdom; Registered Charity No. 0509699 (United Kingdom) [SDGT]
MEDIA MARKETING E.U., Avenida 4N No. 6-67 of. 610, Cali, Colombia; NIT #805019234-0 (Colombia) [SDNT]

MEJIA PAJARDO, Yovany (a.k.a. MEJIA PAJARDO, Yovani), c/o CODISA, Bogota, Colombia; c/o FARMACOOP, Bogota, Colombia; DOB 21 Nov 1969; Cedula No. 11317493 (Colombia); Passport AC744430 (Colombia) (individual) [SDNT]

MEJIA ROJAS, Eleazar (a.k.a. GONZALEZ MARTINEZ, Erick), a.k.a. MEDINA RIOJAS, Eleazar), Cauhtemoc 805, Nuevo Laredo, Tamaulipas, Mexico; Diaz Miron 604, Colonia Victoria, Nuevo Laredo, Tamaulipas, Mexico; DOB 26 Jan 1972; POB Nuevo Laredo, Tamaulipas, Mexico; POB Monterey, Nuevo Leon; citizen Mexico; nationality Mexico; C.U.R.P. MERE720123HTSDJL07 (Mexico) (individual) [SDNT]

MEJIA PAJARDO, Yovany (a.k.a. MEJIA PAJARDO, Yovani), c/o CODISA, Bogota, Colombia; c/o FARMACOOP, Bogota, Colombia; DOB 21 Nov 1969; Cedula No. 11317493 (Colombia); Passport AC744430 (Colombia) (individual) [SDNT]

MEJIA REGALADO, Jose Manuel, Agrp. "DON SEBASTIAN"; a.k.a. "LOS MELLIZOS"; a.k.a. "PABLO ARAUC", c/o INVERSIONES EL PROGRESO, Finca La Ladera MZ. J LT. 14, Las Vinas, Lima, Peru; c/o AERO CONTINENTE S.A., Lima, Peru; c/o CONTINENTE MOVIL Y SERVICIOS S.R.L., Callao, Peru; c/o SISTEMA DE DISTRIBUCION MUNDIAL S.A., Lima, Peru; DOB 20 Apr 1966; LE Number 07441863 (Peru) (individual) [SDNT]

MEJIA MUNERA, Miguel Angel Melchor (a.k.a. MEJIA MUNERA, Miguel Angel; a.k.a. "COMANDANTE PABLO"; a.k.a. "LOS MELLIZOS"; a.k.a. "PABLO MEJA"), Calle 9F No. 24-98, Cali, Colombia; c/o CIA COMERCIALIZADORA DE BIENES RAICES LTDA., Cali, Colombia; DOB 11 Jul 1959; POB Cali, Colombia; citizen Colombia; nationality Colombia; Cedula No. 16627389 (Colombia); Passport AE313327 (Colombia) (individual) [SDNT]

MEJIA MUNERA, Victor Manuel (a.k.a. MEJIA MUNERA, Miguel Angel; a.k.a. "DON SEBASTIAN"; a.k.a. "LOS MELLIZOS"; a.k.a. "PABLO ARAUC"), c/o INVERSIONES EL PROGRESO, Finca La Ladera MZ. J LT. 14, Las Vinas, Lima, Peru; c/o AERO CONTINENTE S.A., Lima, Peru; c/o SISTEMA DE DISTRIBUCION MUNDIAL S.A.C., Lima, Peru; DOB 11 Jul 1959; POB Cali, Colombia; citizen Colombia; nationality Colombia; Cedula No. 16627389 (Colombia); Passport AE313327 (Colombia) (individual) [SDNT]

MEJIA REGALADO, Jose Manuel, Agrp. Block K Dpto 200, Lima, Peru; DOB 18 May 1948; LE Number 07609623 (Peru) (individual) [SDNT]

MEJIA URIBE, Hernando (a.k.a. URIBE PATINO, Juan Carlos), c/o INVERSIONES LAMARC S.A., Cartagena, Colombia; c/o PREFABRICADOS Y AGREGADOS DE COLOMBIA LTDA., Cartagena, Colombia; c/o COMERCIALIZADORA INTERNACIONAL ASFALTOS Y TERREROS LTDA., Cartagena, Colombia; c/o LAS CASCADERA S.A., Bogota, Colombia; Carrera 11 No. 21–59/53 y 10–64, Cali, Colombia; Carrera 127 No. 10A–10, Cali, Colombia; Calle 11 No. 21–42, Cali, Colombia; c/o EUROMAR CARIBE S.A., Cartagena, Colombia; c/o INVERSIONES EL PROGRESO S.A., Cartagena, Colombia; Calle 7 No. 6-65, Edificio Marin, Apto. 4A, Cartagena, Colombia; DOB 22 del Conjunto Residencial Ciudadela Paseocho 11 Etapa Conjunto 2 Urbanizacion Villas III Carrera 81 No. 13B–137, Cali, Colombia; Calle 22 No. 10–44, Cali, Colombia; Los Pompones, Corregimiento de Rejoya, Popayan, Cauca, Colombia; c/o SERVICIOS DE CONTROL INTEGRAL DE OBRAS S.L., SIF SUCURSAL CARTAGENA, Cartagena, Colombia; Calle 21 No. 10–55, Cali, Colombia; Calle 22 No. 10–46, Cali, Colombia; c/o INGENIERIA TECNICA EN COMUNICACIONES LTDA., Ch. V, App. A
Kapellen, Belgium; citizen Belgium; Identification Number 101 002019 56 (Belgium); Passport FF615720 (Belgium) (individual) [SDNTK]

MIDCO FINANCE S.A. (a.k.a. MIDCO FINANCIAL S.A.; a.k.a. MONTANA MANAGEMENT INC.), Panama; 57 Rue du Rhone, Geneva CH-1204, Switzerland; US FEIN CH-660-0-489-002-0 (United States); Switzerland [IRAQ]

MIĐI, Amos Bernard Muvenga; DOB 4 July 1952; Minister of Mines and Mining Development (individual) [ZIMBABWE]

MIJARES TRANCOSO, Gilberto, P.O. Box 43440, San Ysidro, CA 92173; c/o ADP, S.C., Tijuan, Baja California, Mexico; c/o Distribuidora Imperial De Baja California, S.A. de C.V., Tijuan, Baja California, Mexico; Calle Luis Echeverria 6329-B, Infonavit Presidentes, Tijuan, Baja California, Mexico; DOB 4 Feb 1951; POB Vicente Guerrero, Durango; Driver's License No. 210082884 (Mexico); Passport ASD11418 (Mexico) (individual) [SDNTK]

MIKLASHEVICH, Petr Petrovich (a.k.a. MIJARES TRANCOSO, Gilberto, P.O. Box 221, Khartoum, Sudan [SUDAN]

MILAN BONILLA, German, c/o MILITARY COMMERCIAL CORPORATION, 43440, San Ysidro, CA 92173; c/o ADP, S.C., Avenida 8 Norte No. 10–91 Ofc. 301, Cali, Colombia; NIT #890328836–9 (Colombia) [SIG] [SDNTK]

MIRA E.U., Avenida 8 Norte No. 10–91 Ofc. 301, Cali, Colombia; NIT #805009267–0 (Colombia) [SIG] [SDNTK]

MIRACANA INMOBILIARIA QUILICHAO S.A. & CIA S.C.A., Avenida 4N No. 6N–61, Ofc. 510, Cali, Colombia; NIT #805009267–0 (Colombia) [SIG] [SDNTK]

MIRA LA CASTELLANA Y ANEXAR S.A. DE C.V., Culiacan, Sinaloa, Mexico; R.F.C. MCA901192R3 (Mexico) [SDNTK]

MINERALS MARKETING CORPORATION OF ZIMBABWE (a.k.a. MMCZ), P.O. Box 2628, Harare, Zimbabwe; 90 Mutare Road, Harare, Zimbabwe; Phone No. 263-4-486946; Fax No. 263-4-487261 [ZIMBABWE]

MINIMERCADO EL MANANTIAL DEL NEUFA, Calle 4A No. 2–61 Mz. 39 Ca. 32, Soacha, Cundinamarca, Colombia; Matricula Mercantil No 1776209 (Colombia) [SDNTK]

MININ, Leonid (a.k.a. BLAVSTEIN; a.k.a. BLUYSHTEN; a.k.a. BLYAFSHTEN; a.k.a. BLYUFSTKEN; a.k.a. BLYVFSTKEN; a.k.a. BLYWFSHTEN; a.k.a. BLYYWFSHTEN; a.k.a. BRESLAN, Wolf; a.k.a. BRESLAN, Wulf; a.k.a. BRESLAN, Vladimir Abramovich; a.k.a. 40 Rue du Rhone, Geneva CH-1204, Switzerland; Minister of Mines and Mining Development (individual) [ISRAEL]

MINISTRY OF DEFENSE FOR ARMED FORCES LOGISTICS (a.k.a. MINISTRY OF DEFENSE AND SUPPORT FOR ARMED FORCES LOGISTICS; a.k.a. MODSAF), located on the west side of Dabestan Street, Abbas Abad District, Tehran, Iran [NPWMD]

MIR DAMAD ; Vessel Registration Identification IMO 9148518 (vessel) [NPWMD]

MIR EMAD ; Vessel Registration Identification IMO 9148518 (vessel) [NPWMD]

MIR UN, Avenida 8 Norte No. 10–91 Ofc. 301, Cali, Colombia; Phone No. 263–4–486946; Fax No. 263–4–487261 [ZIMBABWE]

MIRACANA INMOBILIARIA QUILICHAO S.A. & CIA S.C.A., Avenida 4N No. 6N–61, Ofc. 510, Cali, Colombia; Fax No. 263–4–487261 [ZIMBABWE]

MIRASOL INTERNATIONAL LIMITED, Road Town, Tortola, Virgin Islands, British [SDNT]

MIRCHI, Iqbal (a.k.a. MAMEN, Mohamed Iqbal; a.k.a. MOMEN, Iqbal Mohammed; a.k.a. ABDULLAH, Muhammad Iqbal; a.k.a. MOHAMMED, Iqbal) [SDNT]
MOHAMED, Daki, Via Melila 11, Reggio Emilia, Italy; DOB 29 Mar 1965; POB Casablanca, Morocco; nationality Morocco; arrested 4 Apr 2003 (individual) [SDGT]

MOHAMMAD, Haji Baz (a.k.a. MOHAMMAD, Baz); DOB 1958; POB Kandahar, Afghanistan; nationality Afghanistan (individual) [SDNTK]

MOHAMMADHASNI, Haji Asad Khan Zarkari (a.k.a. ASAD, Haji; a.k.a. KHAN, Asad; a.k.a. KHAN, Haji Asad; a.k.a. KHOZAI, Mohammed; a.k.a. MOHAMMADHASNI, Asad Khan; a.k.a. MOHAMMADHASNI, Haji Asad Khan; a.k.a. MOHAMMADHASNI, Asad Khan; a.k.a. ZARKARI, Asad Khan; a.k.a. “HAJI ABDULLAH”), Kabul, Afghanistan; Nimroz, Afghanistan; Karachi, Pakistan; Balochistan, Pakistan; Dubai, United Arab Emirates; Basalani, Afghanistan; DOB 01 Jan 1955; POB Nimroz, Afghanistan; citizen Afghanistan; Passport OR1226892 (Afghanistan) (individual) [SDNTK]


MOISES SAIYH Y CIA., Carrera 74 No. 76–150, Barranquilla, Atlantico, Colombia; alt. DOB 1 Mar 1964; POB Kuwait; citizen Kuwait (individual) [SDGT]

MOISER, Juan, Blvd. Francisco Eusebio Kino 177–7, Col. 5 de Mayo, Hermosillo, Sonora 83010, Mexico; R.F.C. MNGO690408H (Mexico) [SDNTK]

MOLDTRANSAVIA SRL, Aeropuerto, Chisinau MD–2025, Moldova [LIBERIA]

MOLINARO, Mario, Via Saliceto n.51/9, Bologna, Italy; Via di Saliceto n.51/9, Bologna, Italy; Via Toscana n.46, Bologna, Italy; “AMOR”); DOB 15 Aug 1946; citizen Comoros; alt. citizen Kenya (individual) [SDGT]

MOLINA CARACAS, Tomas (a.k.a. CASTILLO CORTEZ, Miguel Angel); a.k.a. MEDINA CARACAS, Tomas; a.k.a. “ARTURO GUEVARA”; a.k.a. “EL PATRON”; a.k.a. “JORGE MEDINA”; a.k.a. “NEGRE ACACIO”); DOB 15 Mar 1955; POB Lopez De Micay, Cauca, Colombia (individual) [SDNTK]

MOLINA CUEILLAS, Alba Judith, c/o DEWISSELL CENTRO DE ESTETICA Y
BELLEZA LTDA., Bogota, Colombia; Calle 43A No. 60D–5 Trr. 5 Apto. 817, Bogota, Colombia; Calle 42 No. 72–A35 Casa 16, Bogota, Colombia; c/o INVERSIONES GANADERAS Y PALMERAS S.A., Bogota, Colombia; c/o VITAL SILUET CENTRO DE ESTETICA, Bogota, Colombia; DOB 01 Mar 1963; POB Guatapé, Antioquia, Colombia; Cedula No. 4691581 (Colombia) (individual) [SDNT]

MOLINA GONZALEZ, Jose Epimeno (a.k.a. MOLINA GONZÁLEZ, José Epimenio; a.k.a. "DANILO GARCÍA"); DOB 18 Nov 1957; POB Icononzo, Tolima, Colombia; citizen Colombia; nationality Colombia; Cedula No. T.I. 57111–01681 (Colombia) (individual) [SDNT]

MOLINA MOLINA, Jesus Dagoberto, c/o TRANSPORTES MICHAEL LTDA., Barranquilla, Colombia; c/o COOPERATIVA DE SERVICIO DE TRANSPORTE DE CARGA MULTIMODAL, Barranquilla, Colombia; POB Colombia; Cedula No. 8233532 (Colombia) (individual) [SDNT]

MolinA QUINTAN, Leticia, c/o DISFUGEN LTDA., Bogota, Colombia; Cedula No. 24718126 (Colombia) (individual) [SDNT]

MONBELLEZA, Swithun; DOB 20 Aug 1945; Former Minister of Higher Education; Deceased (individual) [ZIMBABWE]

MONDRAGON AVILA, Alicia, c/o INVERSIONES Y DISTRIBUCIONES A M M LTDA., Cali, Colombia; c/o INVERSIONES Y CONSTRUCCIONES COSMOVALLE LTDA., Cali, Colombia; c/o ALERO S.A., Cali, Colombia; DOB 12 Apr 1935; Cedula No. 29072613 (Colombia); Passport 4436059 (Colombia) (individual) [SDNT]

MONTEZA, Michael, Panama (individual) [CUBA]

MONTANO ALVAREZ, Luis Hernando, Carrera 16A No. 31D–20, Cali, Colombia; c/o GRANJA LA SIERRA LTDA., Cali, Colombia; Cedula No. 18671224 (Colombia); Passport 18671224 (Colombia) (individual) [SDNT]

MONTANO BERMUEDEZ, Libardo, c/o LABORATORIOS GENERICOS VETERINARIOS, Bogota, Colombia; DOB 4 Jul 1942; Cedula No. 17083296 (Colombia) (individual) [SDNT]

MONTANO PACHON, Marlen, c/o COOPERATIVA DE TRABAJO ASOCIADO ACTIVAR, Bogota, Colombia; c/o COOPCREAR, Bogota, Colombia; c/o COOPERATIVA MULTIACTIVA DE COLOMBIA FOMENTAMOS, Bogota, Colombia; Cedula No. 52492558 (Colombia) (individual) [SDNT]

MONTES ZERMENO, Juan Gabriel (a.k.a. MONTES SERMENO, Gabriel; a.k.a. MONTES, Juan Gabriel), Calle Libertad No. 5, Col. San Fernando, Matamoros, Tamaulipas, Mexico; Calle Libertad No. 84, Col. San Fernando, Matamoros, Tamaulipas, Mexico; DOB 27 Oct 1973; POB Tamaulipas; citizen Mexico; nationality Mexico; C.U.P.R. MOSJ731027HTSNRN02 (Mexico) (individual) [SDNT]

MONTOYA LUNA E HIJOS Y CIA. S.C.S., Carrera 85B No. 13A–136, Cali, Colombia; NIT #800077316–5 (Colombia) [SDNT]

MONTOYA MARTINEZ, Juan Carlos, c/o AGROPECUARIA BETANIA LTDA., Cali, Colombia; c/o INDUSTRIA AVICOLA PALMASECA S.A., Cali, Colombia; c/o INVERSIONES MONDRAGON Y CIA. S.C.S., Cali, Colombia; DOB 11 Jan 1958; POB Trujillo, Valle, Colombia; Cedula No. 16801475 (Colombia) (individual) [SDNT]

MONTOYA SANCHEZ, Diego Leon, c/o MONTOYA LUNA E HIJOS Y CIA. S.C.S., Cali, Colombia; c/o INVERSIONES LA QUINTA Y CIA. LTDA., Cali, Colombia; DOB 11 Jan 1954; POB Trujillo, Valle, Colombia; Cedula No. 16801515 (Colombia) (individual) [SDNT]

MONZON TRADING COMPANY, Panama [CUBA]

MONROE ARICIA, Francisco Jose, c/o COMPANIA ADMINISTRADORA DE VEHICULA S.A., Cali, Colombia; c/o INVERSIONES EL PENON S.A., Cali, Colombia; c/o CONSTRUCTORA DIMISA LTDA., Cali, Colombia; c/o INVERSIONES GEMINIS S.A., Cali, Colombia; DOB 2 Aug 1942; Cedula No. 79153691 (Colombia) (individual) [SDNT]

MONSALVE HERNANDEZ, Laris, c/o COMERCIALIZADORA DE PRODUCTOS FARMACEUTICOS LTDA., Dagua, Colombia; c/o MATERIAS PRIMAS Y SUMINISTROS S.A., Bogota, Colombia; DOB 10 Apr 1963; Cedula No. 41590169 (Colombia) (individual) [SDNT]

MONTALVO GUZMAN, Luis Federico, c/o COPSERVIR LTDA., Bogota, Colombia; DOB 18 Nov 1942; Cedula No. 8233532 (Colombia) (individual) [SDNT]

MONZON ALVAREZ, Luis Hernando, Carrera 16A No. 31D–20, Cali, Colombia; c/o GRANJA LA SIERRA LTDA., Cali, Colombia; Cedula No. 18671224 (Colombia); Passport 18671224 (Colombia) (individual) [SDNT]

MONTANEZ, Michael, Panama (individual) [CUBA]

MONTANO FACHON, Marlen, c/o COOPERATIVA DE TRABAJO ASOCIADO ACTIVAR, Bogota, Colombia; c/o COOPCREAR, Bogota, Colombia; c/o COOPERATIVA MULTIACTIVA DE COLOMBIA FOMENTAMOS, Bogota, Colombia; Cedula No. 52492258 (Colombia) (individual) [SDNT]

MONTES SERMENO, Juan Gabriel (a.k.a. MONTES ZERMENO, Gabriel; a.k.a. MONTES, Juan Gabriel), Calle Libertad No. 5, Col. San Fernando, Matamoros, Tamaulipas, Mexico; Calle Libertad No. 84, Col. San Fernando, Matamoros, Tamaulipas, Mexico; DOB 27 Oct 1973; POB Tamaulipas; citizen Mexico; nationality Mexico; C.U.R.P. MOSJ731027HTSNRN02 (Mexico) (individual) [SDNT]

MONTES ZERMENO, Garbel; a.k.a. MONTES, Juan Gabriel), Calle Libertad No. 5, Col. San Fernando, Matamoros, Tamaulipas, Mexico; Calle Libertad No. 84, Col. San Fernando, Matamoros, Tamaulipas, Mexico; DOB 27 Oct 1973; POB Tamaulipas; citizen Mexico; nationality Mexico; C.U.R.P. MOSJ731027HTSNRN02 (Mexico) (individual) [SDNT]

MONTOYA LUNA E HIJOS Y CIA. S.C.S., Carrera 85B No. 13A–136, Cali, Colombia; NIT #800077316–5 (Colombia) [SDNT]
MOR SAAB, Jaime Dib (a.k.a. "MOR, Jaime"), Carrera 72 No. 17–45, Cali, Colombia; c/o MOR ALFOMBRA ALFOFIQUE S.A. (f.k.a. MOONEX INTERNATIONAL, S.A., Panama; c/o PROYECTOS Y SOLUCIONES S.A., Bogota, Colombia; c/o DURATEX S.A., Bogota, Colombia; c/o MOR GAVIRIA Y CIA. S.C.S., Bogota, Colombia; c/o PROMOCIONES E INVERSIONES LAS PALMAS S.A., Bogota, Colombia; DOB 10 May 1959; P.O.B. Girardot, Cundinamarca, Colombia; Cedula No. 19223580 (Colombia); SSN 591–98–9689 (United States) (individual) [SDNT]

MOR SAAB, Soraya, c/o CONSTRUCTORA IRAKA S.A., Bogota, Colombia; c/o ACUICOLA SANTA CATALINA S.A., Bogota, Colombia; c/o PROYECTOS Y SOLUCIONES S.A., Bogota, Colombia; Passport 94307307 (Colombia); alt. Passport 16357049 (Colombia) (individual) [SDNT]

MOR RICARDO, Daniel Alberto, c/o SOCIEDAD SUPERDEPORTES LTDA., Bogota, Colombia; c/o ABS HEALTH CLUB SA, Bogota, Colombia; Miami, FL; DOB 08 Jan 1965; citizen Colombia; nationality Colombia; Cedula No. 810068233 (Colombia); Driver’s License No. M60016150080 (United States) issued 07 Apr 2006 expires 08 Jan 2011; SSN 827–68–7433 (United States) (individual) [SDNT]

MORA RODRIGUEZ, Gloria Isabel, c/o FARFALLA INVESTMENT S.A., Panama; Passport AC814028 (Colombia) (individual) [SDGT]

MORALES CASTRILLON, Victor Hugo, c/o TAURA S.A., Cali, Colombia; Cedula No. 16620349 (Colombia) (individual) [SDNT]

MORALES ESPINAR, Carmen Rosa, c/o COLFARMA PERU S.A., Lima, Peru; DOB 9 Aug 1976; D.N.I. 10006822 (Peru) (individual) [SDNT]

MORALES LOAIZA, Edilma (a.k.a. "CAROLINA"; a.k.a. "GLADYS GOMEZ SOBERANA"; a.k.a. "MARIA OFELIA"; a.k.a. "GLADYS GOMEZ SOBERANA"), Colombia; DOB 29 Dec 1974; P.O.B. Lejanias, Meta, Colombia; citizen Colombia; nationality Colombia; Cedula No. 40356505 (Colombia) (individual) [SDNTK]

MORALES LUJO, Luis Jaime, c/o COLFARMA PERU S.A., Lima, Peru; L.E. Number 08135408 (Peru) (individual) [SDNT]

MORALES ROBLEDO, Nicolas Abdul, c/o ACUICOLA SANTA CATALINA S.A., Bogota, Colombia; Cedula No. 16686544 (Colombia) (individual) [SDNT]

MORAN GUERRERO, Mario Fernando, c/o GAVIRIA Y CIA. S.C.S., Bogota, Colombia; DOB 30 Apr 1967; citizen Colombia; nationality Colombia; Cedula No. 4–194–157 (Panama); alt. Cedula No. 4–194–157 (Panama) (individual) [SDNT]

MORON HERNANDEZ, Juan, c/o LEON S.A., Cali, Colombia; Cedula No. 16928868 (Colombia); DOB 10 May 1959; P.O.B. Girardot, Cundinamarca, Colombia; Cedula No. 19223580 (Colombia); SSN 591–98–9689 (United States) (individual) [SDNT]

MORON LUNA, Jesus, c/o INVERSIONES LAS PALMAS S.A., Bogota, Colombia; Cedula No. 4–194–157 (Panama); alt. Cedula No. 4–194–157 (Panama) (individual) [SDNT]

MORON HERNANDEZ, Juan, c/o LEON S.A., Cali, Colombia; Cedula No. 16928868 (Colombia); DOB 10 May 1959; P.O.B. Girardot, Cundinamarca, Colombia; Cedula No. 19223580 (Colombia); SSN 591–98–9689 (United States) (individual) [SDNT]

MORCILLO TORRES, Gracia; DOB 15 Mar 1967; P.O.B. San Sebastian, Guipuzcoa Province, Spain; D.N.I. 72 894 362 (Spain); Member ETA (individual) [SDGT]
MORENO BERNAL, Luz Marina, c/o PROMOTORA HOTELEIRA LTDA, Bogota, Colombia; DOB 02 Jul 1955; POB Bogota, Colombia; citizen Colombia; Cedula No. 31509788 (Colombia) (individual) [SDNTK]

MORENO DAZA, Ricardo Alfredo, c/o GALAPAGOS S.A., Cali, Colombia; Carrera 38D No. 4B–57, Cali, Colombia; c/o TAURA S.A., Cali, Colombia; c/o LUMBERJACK S.A., Cali, Colombia; DOB 20 Apr 1963; citizen Colombia; nationality Colombia; Cedula No. 31903668 (Colombia); National Foreign ID Number X3881333Z (Spain); Passport AE613367 (Colombia); alt. Passport A543967 (Colombia) (individual) [SDNT]

MORENO FERNANDEZ, Monica, Spain; c/o RUIZ DE ALARCON 12 S.L., Madrid, Spain; DOB 20 Apr 1963; citizen Colombia; nationality Colombia; Cedula No. 31903668 (Colombia); National Foreign ID Number X3881333Z (Spain); Passport AE613367 (Colombia); alt. Passport AG744728 (Colombia) (individual) [SDNT]

MORENO GOMEZ, Ingrid Del Carmen, c/o C. J. SOLIDARIA, Bogota, Colombia; c/o COPSERVIR LTDA., Bogota, Colombia; DOB 20 Apr 1963; citizen Colombia; nationality Colombia; Cedula No. 31903668 (Colombia); National Foreign ID Number X3881333Z (Spain); Passport AE613367 (Colombia); alt. Passport AG744728 (Colombia) (individual) [SDNT]

MORENO GONZALEZ, Nazario (a.k.a. CASTREJON PENA, Victor Nazario; a.k.a. CHAYO; a.k.a. DULCE; a.k.a. EL MAS LOCO; a.k.a. LA CHAYO; a.k.a. EL CASTREJON PENA, Victor Nazario; a.k.a. MORENO, Jose; a.k.a. MORENO MADRIGAL, COMADRE; a.k.a. LOCO; a.k.a. MORENO, DULCE; a.k.a. EL MAS LOCO; a.k.a. LA CHAYO; a.k.a. EL CASTREJON PENA, Victor Nazario), Apatzingan, Michoacan, Mexico; Calle Guadalupe Victoria 8, Culiacan, Sinaloa, Mexico; 36 Calle Nayarit, Cabocora, Sonora 88103, Mexico; 625 Virgilio Garza Chepevera, Avenida de las Americas 3048, Fraccionamiento El Paraiso, Tijuana, Baja California, Mexico; c/o Distribuidora Imperial De Baja California, S.A. DE C.V., Tijuana, Baja California, Mexico; c/o Valpark, S.A. DE C.V., Tijuana, Baja California, Mexico; Calle Guadalupe Victoria 9, Colonia Lomas Hipodromo, Tijuana, Baja California, Mexico; c/o Acceso Electronicos, S.A. DE C.V., Tijuana, Baja California, Mexico; c/o Gex Explore, S. DE C.V., Tijuana, Baja California, Mexico; DOB 26 May 1953; POB Distrito Federal, Mexico; Passport 69920052125 (Mexico); alt. Passport ATL321754 (Mexico); R.F.C. MOGN700308TN2 (Mexico); alt. R.F.C. MOGN790612TN8 (Mexico); alt. Identification Number 092520304 (Mexico); C.U.R.P. MOGN700308HMNRNZ07 (Mexico); DoB 20 Apr 1963; citizen Colombia; nationality Colombia; Cedula No. 51740771 (Colombia); alt. Passport 51740771 (Colombia) (individual) [SDNTK]

MORENO PEREZ, Felipe, c/o MOREXRESS, S.A. DE C.V., Tapachula, Chiapas, Mexico; DOB 05 Dec 1964; POB Tapachula, Chiapas, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. MOPF641205HCSRRL04 (Mexico); alt. C.U.R.P. MOPF641205HCSRRL12 (Mexico) (individual) [SDNTK]

MORENO, Carlos Arturo, c/o INVERSIONES EL PENON S.A., Cali, Colombia; Cedula No. 14364233 (Colombia) (individual) [SDNT]

MOREXRESS, S.A. DE C.V., Miramar No. 665–1, Zona Centro, Ensenada, Baja California 22800, Mexico; Octava Sur No. 122, Col. San Sebastian, Tapachula, Chiapas 30700, Mexico; Hermosillo, Sonora, Mexico; Prot. Central ote, S/N, Tapachula, Chiapas 30700, Mexico; Culiacan, Sinaloa, Mexico; Guadalajara, Jalisco, Mexico; R.F.C. MEX902093456 (Mexico) [SDNTK]

MORINA, Xhavit; DOB 13 Sep 1963; POB Drenovc (individual) [BALKANS]

MOROCCAN ISLAMIC COMBATANT GROUP (a.k.a. GICM; a.k.a. GROUPE ISLAMIQUE COMBATTANT MAROCAIN) [SDGT]

MUKOSI MONTEZ, Nelly Fabiulina, c/o CODISA, Bogota, Colombia; DOB 1975; POB Karkuk, Iraq; nationality Iraq; Kurdish; arrested 31 Mar 2003 (individual) [BALKANS]
Office of Foreign Assets Control, Treasury

Trodheimsgatan 6, 164 32 Kista, Sweden; Dobelingsgatan 97, TTR C/O Lamrabet, 113 52 Stockholm, Sweden; London, United Kingdom; Storvetetsgaten 92, 7 TR, C/O Drious, 122 89 Stenersgata, Briskeby, Oslo, Norway; 16, Villa Flavio, Milan, Italy; 179, North Avenue, P.O. Box 413; Postal Address Box: 3027, 13603 Haninge, Sweden; DOB 30 Jul 1965; alt. DOB 30 Sep 1965; POB Fez, Morocco; citizen Morocco; arrested 22 Jan 1997 in Sweden; Passport 9817519 (Sweden) expires 14 Dec 2009 (individual) [SDGT]

MOUSTAPA, Djamel (a.k.a. KALED, Djamel; a.k.a. “AL BARKANT”; a.k.a. “MOUSTAPA”), c/o Birgit Melani Schroeber, Kuehlungsborner Strasse 30, Hamburg 22457, Germany (individual) [SDGT]

MUGABE, Robert Gabriel; DOB 21 Feb 1924; Passport ZZ0015100 (Zimbabwe); Midlands Provincial Governor (individual) [ZIMBABWE]

MUGABE, Leo (a.k.a. CDE MUGABE), 72 Green Groove Drive, Greendale, Harare, Zimbabwe; DOB 28 Feb 1927; alt. DOB 28 Aug 1962; MP for Makonde; Son of Sabina Mugabe (individual) [ZIMBABWE]; Nephew of Robert Mugabe (individual) [ZIMBABWE]; President of the Republic of Zimbabwe (individual) [ZIMBABWE]

MUGABE, Grace; DOB 23 Jul 1965; Passport AD001159 (Zimbabwe); Deputy Secretary for National Security (individual) [ZIMBABWE]; Spouse of Robert Mugabe (individual) [ZIMBABWE]

MUGABE, Robert Gabriel; DOB 21 Feb 1924; Passport AD002119 (Zimbabwe); President of the Republic of Zimbabwe (individual) [ZIMBABWE]

MUGABE, Sabina; DOB 14 Oct 1934; Politburo Senior Committee Member (individual) [ZIMBABWE]

MUGHNYAH, Imad Fa’iz (a.k.a. MUGHNYAH, Imad Payiz); DOB 07 Dec 1976; POB Mombasa, Kenya; citizen Kenya (individual) [SDGT]

MSIKA, Joseph; DOB 6 Dec 1923; Passport ZZ0006160 (Zimbabwe); First Vice President (individual) [ZIMBABWE]

MSIFA, Cephas George; DOB 7 Jul 1931; Passport ZZ001500 (Zimbabwe); Midlands Provincial Governor (individual) [ZIMBABWE]

MSIFA, Sharriottie; DOB 6 May 1936; Passport ZL008056 (Zimbabwe); Spouse of Cephas Msipa (individual) [ZIMBABWE]

MUBARAK, Umid Medhat (a.k.a. MUBARAK, Umid Medhat), Iraq; DOB circa 1940; Former Minister of Health (individual) [IRAQ2]

MUCHENA, Olivia Nysembi, 59 The Chase, Mount Pleasant, Harare, Zimbabwe; DOB 18 Aug 1946; Passport AD00088 (Zimbabwe); Minister of State for Science and Technology Development (individual) [ZIMBABWE]

MUCHINGURI, Natasha, 2 Tender Road, Highlands, Harare, Zimbabwe; DOB circa 1994; Child of Oppah Muchinguri (individual) [ZIMBABWE]

MUCHINGURI, Tanya, 2 Tender Road, Highlands, Harare, Zimbabwe; DOB circa 1989; Child of Oppah Muchinguri (individual) [ZIMBABWE]

MUDACUMURA, Sylvestre (a.k.a. MUPENZI, Bernard; a.k.a. MUPENZI, General Pierre Bernard; a.k.a. RADJA), Kibua, North Kivu, Congo, Democratic Republic of the; DOB 1955; POB Karago, Western Province, Rwanda; citizen Rwanda; Major General; Commander FDLR/FOCA (individual) [DRCONGO]

MUDENGE, Isack Stan Gorerazvo, 31 St. Brelades Road, Borrowdale, Harare, Zimbabwe; DOB 17 Dec 1948; Passport AD000964 (Zimbabwe); Minister of Higher and Tertiary Education (individual) [ZIMBABWE]

MUGABE, Grace; DOB 23 Jul 1965; Passport AD001159 (Zimbabwe); Spouse of Robert Mugabe (individual) [ZIMBABWE]

MUDENGWE, Isack Stan Gorerazvo, 31 St. Brelades Road, Borrowdale, Harare, Zimbabwe; DOB 17 Dec 1948; Passport AD000964 (Zimbabwe); Minister of Higher and Tertiary Education (individual) [ZIMBABWE]
MUJAHEDIN-E KHALQ ORGANIZATION (a.k.a. MEK; a.k.a. MKO; a.k.a. MUSLIM IRANIAN STUDENT’S SOCIETY; a.k.a. NATIONAL COUNCIL OF RESISTANCE; a.k.a. NATIONAL COUNCIL OF RESISTANCE OF IRAN; a.k.a. NCRI; a.k.a. NLA; a.k.a. ORGANIZATION OF THE PEOPLE’S HOLY WARRIORS OF IRAN; a.k.a. PEOPLE’S MUJAHEDIN ORGANIZATION OF IRAN; a.k.a. PMOI; a.k.a. SAZEMAN-E MUJAHEDIN-E KHALQ-E IRAN; a.k.a. THE NATIONAL LIBERATION ARMY OF IRAN) [PTO] [SDGT]

MUJAHID, Mohammed Yahya (a.k.a. AZIZ, Mohammad Yahya; a.k.a. MUJAHID, Yahya); DOB 12 Mar 1961; POB Lahore, Punjab Province, Pakistan; National ID No. 35404-1577309-9 (Pakistan) (individual) [SDGT] [SDT]

MUJURU, Joyce Tourai Ropa; DOB 15 Apr 1955; Second Vice President (individual) [ZIMBABWE]

MUJUMBA, Leopold (a.k.a. ACHILLE; a.k.a. IBRAHIM, Frere Petrus; a.k.a. MUSENYEH); Mwenga, South Kivu Province, Congo, Democratic Republic of the; DOB 17 Mar 1962; alt. DOB 1966; POB Kigali, Rwanda; citizen Rwanda; Colonel; Commander, FDLR CO 2nd Division (individual) [DRCONGO]

MULTICAJA DE TIJUANA, S.A. DE C.V. (f.k.a. CASA DE CAMBIO DEL OESTE); Calle 3 y Madero, Zona Centro, Tijuana, Baja California, Mexico; Blvd. Insurgentes 2229, Purvenir, Tijuana, Baja California, Mexico; Avenue Lazaro Cardenas 1702 19, Otay Constituyentes, Tijuana, Baja California, Mexico; Carrillo Puerto, Calle 291, Zona Central, Tijuana, Baja California, Mexico; Insury Campos S/N BCO., Insurgentes, Tijuana, Baja California, Mexico; Centro Comercial Otay, Tijuana, Baja California, Mexico; 3A y Madero, 291, Zona Centro, Tijuana, Baja California, Mexico; R.F.C. MTI-920115-RH6 (Mexico) [SDNTK]

MULTISERVICIOS AGSA, S.A. DE C.V., Boulevard Agua Caliente No. 148, Revolution, Tijuana, Baja California, Mexico; R.F.C. MAG941123BYA (Mexico) [SDNTK]

MULTISERVICIOS ALPHALPHA, S.A. DE C.V., Paseo Playas 24-2, Colonia Playas de Tijuana, Tijuana, Baja California, Mexico; Av. Allende 1197, Colonía Independencia, Tijuana, Baja California, Mexico; R.F.C. MBR-961115-4M6 (Mexico) [SDNTK]

MULTISERVICIOS DEL NOROESTE DE MEXICANGAMAL, S.A. DE C.V. (a.k.a. CASA DE CAMBIO RUBI), Paseo Playas 24-2, Colonia Playas de Tijuana, Tijuana, Baja California, Mexico; Av. Allende 1197, Colonía Independencia, Tijuana, Baja California, Mexico; Blvd. Fundadores 5343-22, Colonía El Rubi, Tijuana, Baja California CP 22180, Mexico; Av. Federico Benitez 6490-52, Colonia Yamille, Tijuana, Baja California, Mexico; R.F.C. #2501, Colonia Campo El Diez, Culiacan, Sinaloa 80155, Mexico [SDNTK]

MULTISERVICIOS EJIZVID'L NOROESTE DE MEXICANGAMAL, S.A. DE C.V. (a.k.a. CASA DE CAMBIO RUBI), Paseo Playas 24-2, Colonia Playas de Tijuana, Tijuana, Baja California, Mexico; Blvd. Fundadores 5343-22, Colonía El Rubi, Tijuana, Baja California CP 22180, Mexico; Av. Federico Benitez 6490-52, Colonia Yamille, Tijuana, Baja California, Mexico; R.F.C. MG-946015-SC3 (Mexico) [SDNTK]

MULTISERVICIOS SIGLO, S.A. DE C.V., Carretera a El Dorado #2501, Colonia Campo El Diez, Culiacan, Sinaloa 80155, Mexico [SDNTK]

MULTISERVICIOS SIGLO, S.A. DE C.V., Carretera Aeropuerto 1900-16G, Colonía Otay, Tijuana, Baja California, Mexico; Paseo Tijuana 10126-A, Colonía Zona Rio, Tijuana, Baja California, Mexico; R.F.C. M51-960229-Q84 (Mexico) [SDNTK]

MUMBENGEGWI, Samuel Simbarashe, Siimbanendu, 22 Stour Road, Vainona, Borrowdale, Harare, Zimbabwe; DOB 20 July 1945; Non-Constituency Member of Parliament (individual) [ZIMBABWE]
OFFICE OF FOREIGN ASSETS CONTROL, TREASURY
Ch. V, App. A

MUNANDAR, Aria; DOB 1 Jan 1971; alt. DOB 1962; alt. DOB 1967; alt. DOB 1966; alt. DOB 1965; alt. DOB 1968; alt. DOB 1963; POB Sambi, Boyolali, Java, Indonesia (individual) [SDNT]

MUNERA VELASQUEZ, Martha Marina, c/o GRUPO FALCON S.A., Medellin, Colombia; c/o LLANOTOUR LTDA., Rionegro, Antioquia, Colombia; DOB 09 Jun 1962; Cedula No. 3280630 (Colombia) (individual) [SDNT]

MUNOA ORDOZGOITI, Alona; DOB 6 Jul 1976; POB Segura, Guipuzcoa Province, Spain; Cedula No. 35771259 (Spain); Member ETA (individual) [SDGT]

MUNOZ CORTES, Julio Cesar (a.k.a. MUNOZ CORTEZ, Julio Cesar), c/o DISTRIBUTORA DE DROGAS CONDOR LTDA., Bogota, Colombia; c/o COPSERVIR LTDA., Bogota, Colombia; c/o DROGAS LA REBAJA CALI S.A., Cali, Colombia; c/o DROGAS LA REBAJA S.A., Bogota, Colombia; DOB 26 Feb 1947; Cedula No. 14936709 (Colombia) (individual) [SDNT]

MUNOZ NARVAEZ, Yamileth, c/o COOPERATIVA MULTIACTIVA DE COLOMBIA FOMENTAMOS, Bogota, Colombia; c/o COMERCIALIZADORA INTERTEL S.A., Cali, Colombia; c/o DISTRIBUTORA DE DROGAS LA REBAJA BARRANQUILLA S.A., Barranquilla, Colombia; c/o DISTRIBUTORA DE DROGAS LA REBAJA PRINCIPAL S.A., Bogota, Colombia; DOB 26 Jun 1967; Cedula No. 31976822 (Colombia) (individual) [SDNT]

MUNOZ PAZ, Adriana del Socorro, c/o INVERSIONES Y CONSTRUCCIONES VALLE S.A., Cali, Colombia; DOB 1 Oct 1966; Cedula No. 31950689 (Colombia) (individual) [SDNT]

MUNOZ PAZ, Joaquin Emilio, c/o CONSTRUCTORA DIMISA LTDA., Cali, Colombia; c/o INVERSIONES Y CONSTRUCCIONES VALLE S.A., Cali, Colombia; c/o INMOBILIARIA U.M.V. S.A., Cali, Colombia; Avenida 4AN No. 47-89, Cali, Colombia; DOB 18 Jan 1971; Cedula No. 16789012 (Colombia) (individual) [SDNT]

MUNOZ RODRIGUEZ, Juan Carlos, c/o CREDIREBAJA S.A., Cali, Colombia; c/o DISTRIBUTORA DE DROGAS CONDOR LTDA., Bogota, Colombia; c/o REPRESENTACIONES Y DISTRIBUCIONES HUERTAS Y ASOCIADOS S.A., Bogota, Colombia; c/o GRACADAL S.A., Cali, Colombia; c/o DISTRIBUTORA DE DROGAS LA REBAJA S.A., Bogota, Colombia; c/o DISTRIBUTORA DE DROGAS LA REBAJA BARRANQUILLA S.A., Barranquilla, Colombia; c/o ASESORIAS ECONOMICAS MUNOZ SANTACOLOMA E.U., Cali, Colombia; c/o DISTRIBUTORA SANAR DE COLOMBIA S.A., Cali, Colombia; c/o COMERCIALIZADORA INTERTEL S.A., Cali, Colombia; c/o BLANCO PHARMA S.A., Bogota, Colombia; c/o ASPOIR DEL PACIFICO Y CIA. LTDA., Cali, Colombia; c/o LABORATORIOS BLAIMAR DE COLOMBIA S.A., Bogota, Colombia; c/o DEPOSITO POPULAR DE DROGAS S.A., Cali, Colombia; c/o FUNDASER, Cali, Colombia; c/o CONTACTTEL COMUNICACIONES S.A., Cali, Colombia; c/o INVERSIONES Y CONSTRUCCIONES ABC S.A., Cali, Colombia; c/o LABORATORIOS KRESSSFOR DE COLOMBIA S.A., Bogota, Colombia; DOB 25 Sep 1964; Cedula No. 16703148 (Colombia) (individual) [SDNT]

MUNOZ Y RODRIGUEZ Y CIA. LTDA., Avenida 6N No. 23DN–26, Cali, Colombia (individual) [SDNT]

MURAD, Abdul Hakim (a.k.a. AHMED, Saeed; a.k.a. AKMAN, Saeed; a.k.a. MURAD, Abdul Hakim Al Hashim; a.k.a. MURAD, Abdul Hakim Hasim; a.k.a. MURAD, Abdul Hakim Ali Hashim); DOB 4 Jan 1968; POB Kuwait; nationality Pakistan; currently incarcerated in the U.S. (individual) [SDGT]

MURERWA, Herbert Muchemwa; DOB 31 July 1941; Passport AD001167 (Zimbabwe); Minister of Finance (individual) [ZIMBABWE]

MURERWA, Ruth Chipo, 321 Ard-Na-Lea Close, Glen Lorne, Chisipite, Zimbabwe; DOB 27 Jul 1947; Passport AD001244 (Zimbabwe) expires 19 Aug 2009; Spouse of Herbert Murerwa (individual) [ZIMBABWE]

MURILLO BEJARANO, Diego Fernando (a.k.a. “ADOLFO PAZ”; a.k.a. “DON BERNAR”); DOB 23 Feb 1961; Cedula No. 16337144 (Colombia) (individual) [SDNTK]

MURILLO MURILLO, Jose Totentino, c/o AGROPECUARIA LA ROBLEDA S.A., Cali,
Colombia; Cedula No. 2240779 (Colombia) (individual) [SDNT]

MURO GONZALEZ, Proceso Arturo, Calle Gustavo Garmentia No. 1850, Colonia Hidalgo, Culiacan, Sinaloa, Mexico; DOB 16 May 1973; POB Cuiilacan, Sinaloa; citizen Mexico; nationality Mexico; C.U.R.P. MUGP730516HSLN04 (Mexico); Cartilla de Servicio y Militar Nacional 67992 (Mexico); Electoral Registry No. MRGNFR7305162SH400 (Mexico) (individual) [SDNT]

MURUHANASHYAKA, Ignace; DOB 14 May 1963; POB Nogoma-Butera, Rwanda; President, Forces Democratiques pour la Liberation du Rwanda (FDLR) (individual) [DRCONGO]

MUSA, Rifa'i Ahmad Taha (a.k.a. 'ABD ALLAH, 'Isam Ali Muhammad; a.k.a. 'ABD-AL-'IZ; a.k.a. 'ABD-AL-WAHAB, Abd-al-Hai Ahmad; a.k.a. ABU YASIR; a.k.a. TAHA MUSA, Rifa'i Ahmad; a.k.a. THABIT 'IZ); DOB 24 Jun 1954; POB Egypt; Passport 1046403 (Egypt); alt. Passport 83860 (Sudan); alt. Passport 30455 (Egypt) (individual) [SDT]

MUSHOHWE, Christopher Chindoti; DOB 6 Feb 1954; Minister of Transport and Communications (individual) [ZIMBABWE]

MUSLIU, Isak; DOB 31 Oct 1970; POB Racak, Serbia and Montenegro (individual) [BALKANS]

MUSLIU, Jonuz; DOB 5 Jan 1959; POB Konculj, Serbia and Montenegro (individual) [BALKANS]

MUSLIU, Shefqet; DOB 12 Feb 1963; POB Konculj, Serbia and Montenegro (individual) [BALKANS]

MUSONI, Straton; DOB 6 Apr 1961; alt. DOB 4 Jun 1961; POB Mugambazi, Kigali; citizen Rwanda; nationality Rwanda (individual) [DRCONGO]

MUSTAFABAKRI, Ali Sa'd Muhammad (a.k.a. AL-MASRI, Abd Al-Aziz); DOB 18 Apr 1966; nationality Egypt (individual) [SDCT]

MUSTAFABAKRI, Ali Sa'd Muhammad (a.k.a. AL-MASRI, Abd Al-Aziz); DOB 18 Apr 1966; nationality Egypt (individual) [SDCT]

MUTASA, Didymus Noel Edwin; DOB 27 Feb 1971; POB Podujevo, Serbia and Montenegro (individual) [BALKANS]

MUTASA, Didymus Noel Edwin; DOB 27 July 1935; Minister of State for National Security (individual) [ZIMBABWE]

MUTEBO, Jules (a.k.a. COLONEL MUTEBUTSI; a.k.a. MUTEBUSI, Jules; a.k.a. MUTEBUSI, Jules), Rwanda; DOB 6 Jul 1960; POB South Kivu, DRC; nationality Congo, Democratic Republic of the (individual) [DRCONGO]

MUTEZO, Manacho Thomas Alvar, 950 Sugarloaf Hill, Glen Lorne, Zimbabwe; DOB 14 Feb 1964; Passport AN187189 (Zimbabwe) expires 3 Dec 2010; Minister of Water Resources and Infrastructure Development (individual) [ZIMBABWE]

MYANMAR ECONOMIC BANK (a.k.a. MYANMAR ECONOMIC BANK), 1–19 Sule Pagoda Road, Pabedan T/S, Yangon, Burma [Birma]

MYANMAR FOREIGN TRADE BANK (a.k.a. MYANMAR FOREIGN TRADE BANK), P.O. Box 203, 80–86 Maha Bandoora Garden Street, Kyauktada T/S, Yangon, Burma; SWIFT/BIC FOTMMM1 [BURMA]

MYANMAR INVESTMENT AND COMMERCIAL BANK (a.k.a. MICB; a.k.a. MYANMAR INVESTMENT AND COMMERCIAL BANK), 170/176 Bo Aung Kyaw Street, Botataung Township, Yangon, Burma; SWIFT/BIC MYANMM1; alt. SWIFT/BIC MICB MM MY (Burma); alt. SWIFT/BIC MICB MM MY MAN (Burma) [Birma]

MYANMAR AVIA EXPORT COMPANY LIMITED (a.k.a. MYANMAR AVIA EXPORT) [BIRMA]

MYANMAR ECONOMIC CORPORATION (a.k.a. MEC), 74–76 Shwedagon Pagoda Road, Dagon Township, Yangon, Burma [BIRMA]

MYANMAR GEM ENTERPRISE (a.k.a. MGE; a.k.a. MYANMAR GEM ENTERPRISE), 68 Kaba Aye Pagoda Road, Yangon, Mayangone Township (MYGN), Burma [BIRMA]

MYANMAR IMPERIAL JADE CO., LTD. 22 Sule Pagoda Road, Mayangone Township, Yangon, Burma [BIRMA]

MYANMAR IVANHOE COPPER COMPANY LIMITED (a.k.a. MICCL; a.k.a. MONYWA JVCO; a.k.a. MYANMAR IVANHOE COPPER CO. LTD.), 70 (1) Bo Chein Street, Pyay Road, Hlaing Township, Yangon, Burma; Monywa, Sagaing Division, Burma; 70 (1) Bo Chein Street, 6.5 miles Pyay Road, Yangon, Burma [BIRMA]
MYANMAR PEARL ENTERPRISE (a.k.a. MPE; a.k.a. MYANMA PEARL ENTERPRISE), No. 4345, Bu Khwe, Naypyitaw, Burma [BURMA]

MYANMAR RUBY ENTERPRISE Co., Ltd. (a.k.a. MYANMAR RUBY ENTERPRISE), 24/26 Sule Pagoda Road, Kyaukta Tawng, Yangon, Burma [BURMA]

MYANMAR TIMBER ENTERPRISE (a.k.a. MTE; a.k.a. MYANMA TIMBER ENTERPRISE), P.O. Box 206, Mission Road/Ahlonke Street, Rangoon, Burma [BURMA]

MYANMAR TREASURE RESORTS (a.k.a. MYANMAR TREASURE BEACH RESORT; a.k.a. MYANMAR TREASURE BEACH RESORTS; a.k.a. MYANMAR TREASURE RESORT [BAGAN]; a.k.a. MYANMAR TREASURE RESORT [PATTAYA]; a.k.a. "MYANMAR TREASURE RESORT II"), No 56 Shwe Taung Gyar Road, Golden Valley, Bahan Township, Yangon, Burma; No. 41 Shwe Taung Gyar Street, Bahan Township, Yangon, Burma [BURMA]

MYAWADDY BANK LTD. (a.k.a. MYAWADDY BANK), 24/26 Sule Pagoda Road, Yangon, Burma [BURMA]

MYAWADDY TRADING LTD. (a.k.a. MYAWADDY TRADING CO.), 189–191 Maha Bandoola Street, Botataung P.O, Yangon, Burma [BURMA]

MYINT, Htay (a.k.a. MYINT, U Htay), Burma; DOB 6 Feb 1955; citizen Burma; nationality Burma; Chairman, Yuzana Company Limited (individual) [BURMA]

MYINT, Kyaw (a.k.a. MYINT, Kyaw, Dr.), Burma; DOB 1940; citizen Burma; nationality Burma; Minister of Health (individual) [BURMA]

MYINT, Li (a.k.a. HSING, Su; a.k.a. "SU HSING"); a.k.a. "U LI MYINT"), c/o HONG PANG GENERAL TRADING COMPANY LIMITED, Kyaing Tong, Burma; 525 Merchant Street, Rangoon, Burma; c/o HONG PANG MINING COMPANY LIMITED, Yangon, Burma; c/o HONG PANG TEXTILE COMPANY LIMITED, Yangon, Burma; c/o HONG PANG LIVESTOCK DEVELOPMENT COMPANY LIMITED, Burma; c/o HONG PANG GEMS & JEWELLERY COMPANY LIMITED, Burma; c/o HONG PANG ELECTRONIC INDUSTRY CO., LTD., Yangon, Burma; Tangyan, Burma; National ID No. 13/Ta Ta Na (Naziing)019077 (Burma) (individual) [SDNTK]

MYINT, Tin Lin (a.k.a. MYINT, Daw Tin Lin); DOB 25 Jan 1947; wife of Ye Myint (individual) [BURMA]

MYINT, Tin Lin (a.k.a. MYINT, Daw Tin Lin); DOB 21 Oct 1943; citizen Burma; nationality Burma; Lieutenant-General; Chief, Military Affairs; Chief, Bureau of Special Operation I; Member, State Peace and Development Council (individual) [BURMA]

MZOUDI, Abdelghani (a.k.a. MAZUTI, Abdelghani; a.k.a. MAZWATI, Abdelghani); Martinistrasse 54, Hamburg, Germany; Op de Wisch 15, Hamburg 21149, Germany; DOB 6 Dec 1972; POB Marrakech, Morocco; citizen Morocco; Moroccan Personal ID No. E 427688 (Morocco) issued 20 Mar 2001; Passport M27192 (Morocco) issued 01 Dec 2000; alt. Passport F 879567 (Morocco) issued 29 Apr 1992 (individual) [SDGT]

NA TCHUTO, Jose America Bubo (a.k.a. NA TCHUTE, Jose America Bubo); DOB 12 Jun 1952; POB N’cala, Guinea-Bissau; nationality Guinea-Bissau; Former Navy Chief of Staff of Guinea-Bissau (individual) [SDNTK]

NADA INTERNATIONAL ANSTALT, Vaduz, Liechtenstein; formerly c/o Asat Trust reg., Vaduz, Liechtenstein [SDGT]

NADA MANAGEMENT ORGANIZATION SA (f.k.a. AL TAQWA MANAGEMENT ORGANIZATION SA), Viale Stefano Franscini 22, Lugano CH-6900 TI, Switzerland [SDGT]

NADA, Yousef (a.k.a. NADA, Yousef Mustafa), Via Riasc 4, Compione d’Italia CH-6911, Switzerland; Via Per Aragon 32, Compione d’Italia CH-6911, Switzerland; Via Aragon 32, Compione d’Italia CH-6911, Italy; DOB 17 May 1931; alt. DOB 17 May 1937; POB Alexandria, Egypt; citizen Tunisia (individual) [SDGT]

NAFTIRAN INTERTRADE CO. (NICO) SARL (a.k.a. NICO), 6, Avenue de la Tour-Haustd, Pully, VD, Switzerland 1999, Switzerland [IRAN]

NAFTIRAN INTERTRADE COMPANY LTD (a.k.a. NAFT IRAN INTERTRADE COMPANY LTD; a.k.a. NICO), 6 Britannia Place, Bath Street, St Heiler JE2 4SU, Jersey; Petro Para Building, Saadat Abad Ave, No 35, Farhang Blvd Tehran, Iran [IRAN]

NAIZAQUE PUENTES, Jose de Jesus, c/o COINTERCOS S.A., Bogota, Colombia; c/o LABORATORIOS BLAIMAR DE COLOMBIA S.A., Bogota, Colombia; c/o COINTERCOS S.A., Bogota, Colombia; DOB 12 Mar 1956; Cedula No. 19348370 (Colombia) (individual) [SDNT]

NAJERA TALAMANTES, Sigifredo, Coahuila, Mexico; Monterrey, Nuevo Leon, Mexico; Dionicio Carreon 228, Colonia Alianza, Nuevo Laredo, Tamaulipas, Mexico; DOB 31 Aug 1968; POB Delicias, Coahuila, Mexico; citizen Mexico; nationality Mexico (individual) [SDNTK]

NAJJAL, Talal Muhammad Rashid; DOB 1930; POB Al Nasiria, Palestine; Principal Deputy of POPULAR FRONT FOR THE LIBERATION OF PALESTINE-GENERAL COMMAND (individual) [SDT]

NALETILIC, Mladen; DOB 1 Dec 1946; POB Listica, Bosnia-Herzegovina; ICTY indictee (individual) [BALKANS]

NAMAN, Saalim (a.k.a. NAMAN, Sam), P.O. Box 39, Fletchamstead Highway, Coventry, United Kingdom; Amman, Jordan; 3343 Woodview Lake Road, West Bloomfield, MI 48323, MI 48323; Iraq; 5903 Harper Road, Solon, OH (individual) [IRAQ]
NAMCHONGANG TRADING CORPORATION (a.k.a. NAM CHON GANG CORPORATION; a.k.a. NAMCHONGANG TRADING; a.k.a. NCC; a.k.a. NAMCHONGANG TRADING COMPANY, a.k.a. NCC), 79, Barranquilla, Colombia; c/o CONSTRUCCIONES LA RESERVA S.A., Cali, Colombia; c/o CONSTRUCTORA UMIRA S.A., Cali, Colombia; c/o VENECIA INMOBILIARIA QUILICHAO S.A. & CIA S.C.A., Cali, Colombia; c/o AGROGANADERA LA ISABELA S.A., Cali, Colombia; Carrera 121 No. 13-76, Cali, Colombia; c/o HOTELES E INMUEBLES DEL CARIBE LTDA., Barranquilla, Colombia; c/o PROPIEDADES DEL CARIBE LTDA., Y CIA S.C.A., Barranquilla, Colombia; c/o INVERSIONES Y CONSTRUCCIONES DEL CARIBE LTDA., Barranquilla, Colombia; c/o K. P. TO JEANS WEAR S. DE H., Barranquilla, Colombia; Calle 74 No. 55-30, Barranquilla, Colombia; c/o NEGOCIOS Y PROPIEDADES DEL CARIBE LTDA., Barranquilla, Colombia; c/o INVERSIONES HOTELERAS DEL LITORAL LTDA., Barranquilla, Colombia; c/o AGRICOLA SONGO LTDA., Barranquilla, Colombia; c/o PROMOCIONES Y CONSTRUCCIONES DEL CARIBE LTDA., Barranquilla, Colombia; DOB 21 Nov 1964; Cedula No. 5363559 (Colombia); Passport AC751227 (Colombia) (individual) [SDNT]

NASSER ARANA, Jorge, c/o VILLA DE ARTE S. DE H., Barranquilla, Colombia; Carrera 54 No. 74-97 piso 2, Barranquilla, Colombia; c/o HOТЕLEС Е INMUEБLΕS Е COLOMBΙΑ S.UL., Barranquilla, Colombia; c/o DESARROLLOS URBANOS "DESARROLLAR" LTDA., Barranquilla, Colombia; c/o VILLA DE ARTE S. DE H., Barranquilla, Colombia; Calle 74 No. 55-30, Barranquilla, Colombia; c/o PROYECTORES Y CONSTRUCCIONES DEL CARIBE LTDA., Barranquilla, Colombia; c/o NEGOCIOS Y PROPIEDADES DEL CARIBE LTDA., Barranquilla, Colombia; c/o INVERSIONES HOTELERAS DEL LITORAL LTDA., Barranquilla, Colombia; c/o AGRICOLA SONGO LTDA., Barranquilla, Colombia; c/o PROMOCIONES Y CONSTRUCCIONES DEL CARIBE LTDA., Barranquilla, Colombia; c/o INVERSIONES HOTELERAS DEL LITORAL LTDA., Barranquilla, Colombia; c/o AGRICOLA SONGO LTDA., Barranquilla, Colombia; Calle 74 No. 55-30, Barranquilla, Colombia; c/o SURAMERICANA DE HOTELES LTDA., Barranquilla, Colombia; c/o INVERSIONES Y CONSTRUCCIONES DEL CARIBE LTDA., Y CIA S.C.A., Barranquilla, Colombia; c/o DESARROLLOS URBANOS "DESARROLLAR" LTDA., Barranquilla, Colombia; c/o VILLA DE ARTE S. DE H., Barranquilla, Colombia; Calle 74 No. 55-30, Barranquilla, Colombia; c/o PROYECTORES Y CONSTRUCCIONES DEL CARIBE LTDA., Barranquilla, Colombia; c/o NEGOCIOS Y PROPIEDADES DEL CARIBE LTDA., Barranquilla, Colombia; c/o INVERSIONES HOTELERAS DEL LITORAL LTDA., Barranquilla, Colombia; c/o AGRICOLA SONGO LTDA., Barranquilla, Colombia; c/o PROMOCIONES Y CONSTRUCCIONES DEL CARIBE LTDA., Barranquilla, Colombia; c/o INVERSIONES HOTELERAS DEL LITORAL LTDA., Barranquilla, Colombia; c/o AGRICOLA SONGO LTDA., Barranquilla, Colombia; Calle 74 No. 55-30, Barranquilla, Colombia; c/o SURAMERICANA DE HOTELES LTDA., Barranquilla, Colombia; c/o INVERSIONES HOTELERAS DEL LITORAL LTDA., Barranquilla, Colombia; c/o AGRICOLA SONGO LTDA., Barranquilla, Colombia; Calle 74 No. 55-30, Barranquilla, Colombia; c/o SURAMERICANA DE HOTELES LTDA., Barranquilla, Colombia; c/o
PROMOCIONES Y CONSTRUCCIONES DEL CARIBE LTDA., Barranquilla, Colombia; c/o PROMOTORA HOTEL BARRANQUILLA LTDA., Barranquilla, Colombia; c/o PROMOCIONES Y CONSTRUCCIONES DEL CARIBE LTDA., Y CIA. S.C.A., Barranquilla, Colombia; c/o HOTELES E INMUEBLES DE COLOMBIA LTDA., Barranquilla, Colombia; c/o VESTIMENTA J Y J S. de H., Barranquilla, Colombia; c/o HAPPY DAYS S. de H., Barranquilla, Colombia; c/o INMOBILIARIA HOTELELA DEL CARIBE LTDA., Barranquilla, Colombia; c/o EDIFICACIONES DEL CARIBE LTDA., Barranquilla, Colombia; c/o INMOBILIARIA DEL CARIBE LTDA., Barranquilla, Colombia; c/o GRAN COMPANIA DE HOTELES LTDA., Barranquilla, Colombia; c/o EDIFICACIONES DEL CARIBE LTDA., Barranquilla, Colombia; c/o INMOBILIARIA HOTELERA DEL CARIBE LTDA., Barranquilla, Colombia; c/o HOTELES E INMUEBLES DE COLOMBIA LTDA., Barranquilla, Colombia; c/o EDIFICACIONES DEL CARIBE LTDA., Barranquilla, Colombia; c/o INMOBILIARIA HOTELERA DEL CARIBE LTDA., Barranquilla, Colombia; c/o HOTELES E INMUEBLES DE COLOMBIA LTDA., Barranquilla, Colombia; c/o EDIFICACIONES DEL CARIBE LTDA., Barranquilla, Colombia; c/o INMOBILIARIA HOTELERA DEL CARIBE LTDA., Barranquilla, Colombia; c/o GRAN COMPANIA DE HOTELES LTDA., Barranquilla, Colombia; DOB 6 Nov 1966; Cedula No. 72139939 (Colombia); Passport T705915 (Colombia); alt. Passport AC143719 (Colombia) [SDNT]

NASSER DAVID, Julio Cesar (a.k.a. PEREZ PENA, Jaime), c/o DESARROLLOS URBANOS “DESARROLLAR” LTDA., Barranquilla, Colombia; c/o PROMOTORA HOTEL BARRANQUILLA LTDA., Barranquilla, Colombia; c/o INVERSIONES PRADO TRADE CENTER LTDA., Barranquilla, Colombia; c/o GRAN COMPANIA DE HOTELES LTDA., Barranquilla, Colombia; Carrera 38B No. 76–40, Barranquilla, Colombia; alt. Passport AC143719 (Colombia) (individual) [SDNT]

NASUF, Tahir (a.k.a. NASOOF, Tahar; a.k.a. NASUF, Taher; a.k.a. NASUF, Tahir Mustafa; a.k.a. “ABU RIDA”; a.k.a. “ABU SALIMA EL LIBI”; a.k.a. “AL-QA’QA”), Manchester, United Kingdom; DOB 1 Oct 1940; alt. DOB 11 Apr 1961; Dob Triqoli, Libya (individual) [SDGT]

NAVARRO MARTINEZ, Samuel, Frankfurt, Germany (individual) [CUBA]

NAVARRO MARITIME DE AROSA, S.A., Paseo de Pereda 36, Apartado 141, Santander 39004, Spain [CUBA]

NAVIABLE WATER CORPORATION, c/o EMPRESA DE NAVEGACION CARIBE, Edificio Longa del Comercio, Lamparilla 2, Caja Postal 1784, Havana 1, Cuba [CUBA]

NAWAI, Ali; a.k.a. NAWAI, Ali; Iran; Karachi, Pakistan; United Arab Emirates; DOB circa 1945; alt. DOB circa 1950; POB Sistan Va Baluchestan, Iran; nationality Iran (individual) [SDNTK]

NAYDO, Valentir (a.k.a. NAIDO, Valerii), c/o CET AVIATION, P.O. Box 932-20C, Ajman, United Arab Emirates; Equatorial Guinea; DOB 16 Aug 1957; citizen Ukraine; Passport KCO24178 (Ukraine); alt. Passport AC251295 (Ukraine) (individual) [LIBERIA]

NCUBE, Abedinico; DOB 13 Mar 1954; Deputy Minister of Public Service, Labor and Social Welfare (individual) [ZIMBABWE]

NDLOVU, Matthieu Cui (a.k.a. CUI NGUDJOLO, Mathieu); DOB 8 Oct 1976; citizen Congo, Democratic Republic of the (individual) [DRC]

NDLOVU, Mathieu; a.k.a. NGUDJOLO, Matthieu Cui; a.k.a. CUI; a.k.a. NGUDJOLO CHUI, Mathieu; a.k.a. NGUDJOLO, Cui Cui; a.k.a. NGUDJOLO, Mathieu; a.k.a. NGUDJOLO, Cui Cui; a.k.a. NGUDJOLO, Mathieu; a.k.a. NGUDJOLO); DOB 8 Oct 1976; POB Bunia, Ituri District, DRC; nationality Congo, Democratic Republic of the (individual) [DRC]
Office of Foreign Assets Control, Treasury

NGUNI, Sylvester Robert; DOB 4 May 1956; Passport ZE215371 (Zimbabwe); Deputy Minister of Agriculture (individual) (ZIMBABWE)

NHEMA, Chenayaimoyo Dunstan Francis, 3 Farthinghill Road, Borrowdale, Harare, Zimbabwe; DOB 17 Apr 1959; Passport AD000966 (Zimbabwe); Minister of Environment and Tourism (individual) (ZIMBABWE)

NICE FANTASY GARMENT COMPANY LIMITED, P.O. Box 1502, Khartoum, Sudan; Factories at 90 Kanbe Road, Yankin, Rangoon, Burma (individual) (BURMA)

NILE CEMENT FACTORY, P.O. Box 1502, Khartoum, Sudan; Rabak, Sudan (SUDAN)

NINO CARDENAS, Julio Cesar, c/o MI CARRO E.U., Medellin, Colombia; P.OB Colombia; citizen Colombia; nationality Colombia; Cedula No. 70513214 (Colombia) (individual) (SDNTK)

NINO VALBUENA, Luis German, c/o COLPHAR S.A., Bogota, Colombia; Cedula No. 19243011 (Colombia); Passport 19423011 (Colombia) (individual) (SDNT)

NINTH OCEAN; Vessel Registration Identification IMO 9165798 (vessel) (NPWMD)

NIPPON-CARIBBEAN CO., LTD., Chuo-Ku, Tokyo, Japan; Next to Babee Exp. Way, Nobonyad Square, P.O. Box 19575-361, Tehran 16489, Iran; Next to Babee Exp. Way, Nobonyad Sq., P.O. Box 19575-361, Tehran, Iran (NPWMD)

NKOMO, Stephen; DOB 3 Oct 1926; Former Politburo Senior Committee Member; Deceased (individual) (ZIMBABWE)

NKUNDA, General; a.k.a. MAHORO BATWARE, Laurent; a.k.a. NKUNDABATWARE, Laurent; DOB 6 Feb 1962; alt. DOB 20 Feb 1965; POB Sovjak, Serbia and Montenegro (individual) (BALKANS)

NILE CEMENT COMPANY LIMITED, P.O. Box 1502, Khartoum, Sudan; Factories at Rabak, St. 45-47, Khartoum Extension, Sudan (SUDAN)
Office of Foreign Assets Control, Treasury

Spain; c/o JAROMO INVERSIONES S.L., Madrid, Spain; c/o RODRIGUEZ Y TOLBANOS S.A., Alcala de Henares, Madrid, Spain; N.I.E. 906698V–1 (Spain) (individual) [SDNTK]

NYAMBUYA, Michael Andre; DOB 23 Jul 1955; Passport AN965019 (Zimbabwe); Minister of Energy and Power Development (individual) [ZIMBABWE]

NYEIN, Chan (a.k.a. NYEIN, Chan, Dr.); a.k.a. NYEIN, Chang, Dr.), Burma; DOB 1944; citizen Burma; nationality Burma; Minister of Education (individual) [BURMA]

NYONI, Peter Baka; DOB 10 Jan 1956; Passport AD000222 (Zimbabwe); Spouse of Sithembiso Nyoni (individual) [ZIMBABWE]

OCAMPO ROMAN, Carlos Jose; c/o CONSTRUCCIONES ARTIST S.A., Cali, Colombia; DOB 2 Feb 1959; Cedula No. 4601478 (Colombia) (individual) [SDNTK]

OCAMPO SOTO, Jose Angel; c/o OCTUBRE HOLDING COMPANY), Caracas 1004, Venezuela; Passport AE063894 (Colombia); DOB 20 Nov 1963; alt. DOB 20 Nov 1960; alt. DOB 1967; POB Medellin, Colombia; citizen Colombia; nationality Colombia; Cedula No. 15599223 (Colombia); Passport AE063894 (Colombia) (individual) [SDNTK]

OCEJO MIRAMONTES, Alfredo Eugenio; c/o QUINTA REAL JARDIN SOCIAL Y DE EVENTOS, S.A. DE C.V., Tijuana, Baja California, Mexico; Via Rápida Oriente 10966; Almorado Americas, Mexico; Pasaporte AE063894 (Colombia); DOB 26 May 1964; POB Baja California, Mexico; C.U.R.P. OEMA640526HBCCRL05 (Mexico); R.F.C. OEMA–640526–AJ3 (Mexico) (individual) [SDNTK]

OCHOA GUIASO, Walter, Colombia; POB Colombia; citizen Colombia; nationality Colombia; Cedula No. 10179625 (Colombia) (individual) [SDNTK]

OCHOA VASCO, Fabio Enrique (a.k.a. GONZALEZ ZAPATA, Antonio); a.k.a. MARTINEZ PEREZ, Juan Carlos; a.k.a. OCHOA VASCO, Carlos Mario; a.k.a. VEGA TOBON, Carlos Mario; a.k.a. “CARLOS MARIO”; a.k.a. “KIKO”; a.k.a. “KIKO EL CHIQUITO”), Av Mexico 2867–17, Col Vallarta, Norte, Guadalajara, Jalisco 44690, Mexico; Medellin, Antioquia, Colombia; Av Miguel Angel 18, Real Vallarta, Zapopan, Jalisco 44920, Mexico; DOB 20 Nov 1960; alt. DOB 20 Nov 1963; POB Medellin, Colombia; Cedula No. 79280193 (Colombia); alt. Cedula No. 15599223 (Colombia); Passport AE063894 (Colombia) (individual) [SDNTK]

OCTUBRE HOLDING SOCIETE ANONIME (a.k.a. OCTOBER HOLDING COMPANY), Vaduz, Liechtenstein (CIV) (individual) [SDNTK]

ODESSA AIR (f.k.a. OKAPI AIR), Entebbe, Uganda (LIBERIA)

OFFENBACH HAUSHALTWAREN B.V., Rietlanden 5–A, Beverwijk 1948, Netherlands; Rietlanden 5–7, Beverwijk 1948 NE, Netherlands; C.R. No. 2809436 (Netherlands) [SDNTK]

OLATUNDE IREWOLE; DOB 4 Mar 1963; P.O.B. Nigeria (individual) [SDNTK]

OLICATA MORALES, Gelber Mauricio, c/o AGROVET EL REMANSO, Bogota, Colombia; DOB 29 Sep 1967; Cedula No. 7422994 (Colombia) (individual) [SDNTK]

OIL CORPORATION, P.O. Box 64, Khartoum, Sudan [SUDAN]

OLIANIC, Dragoljub; DOB 1 Jun 1941; P.O.B. Ravnici-Cajetina, Serbia and Montenegro; Ex-Fry Minister of Defense; ICTY indictee in custody (individual) [BALKANS]

OLARRA GURIDI, Juan Antonio; DOB 11 Apr 1957; P.O.B. Bogota, Colombia; alt. P.O.B. Natagaima, Tolima, Colombia; citizen Colombia; nationality Colombia; Cedula No. 16506076 (Colombia) (individual) [SDNTK]

OLARRA GURIDI, Jesus Joaquin, Av. Sierra Madre del Sur No. 1525–A, Infonavit Ojo de Agua Caliente 9231, Cacho, Tijuana, Baja California, Mexico; Blvd. Agua Caliente 9231, Cacho, Tijuana, Baja California, Mexico; R.F.C. OIOJMR60061425H900 (Mexico) (individual) [SDNTK]

OLIVEROS GUZMAN, Henry, c/o GERENCIA DE PROYECTOS Y SOLUCIONES LTDA., Bogota, Colombia; c/o MOR ALFOMBRA ALFOFIQUE S.A., Bogota, Colombia; c/o INVERSIONES MPS S.A., Bogota, Colombia; c/o MAYOR COMERCIALIZADORA LTDA., Bogota, Colombia; c/o PARQUE ECOLOGICO RECREACIONAL DE LAS AGUAS DE GIRARDOT LIMITADA, Girardot, Colombia; c/o HOTEL LA CASCADA S.A., Girardot, Colombia; P.O.B. Colombia; Cedula No. 79484651 (Colombia) (individual) [SDGT]

OMAIRI, Farouk (a.k.a. AL-OMAIRI, Faruk; a.k.a. AL-UMAYRI, Furuz; a.k.a. OMAIRI, Farouk Abdul Ha); a.k.a. UMAIRI, Faruq), Omdurman, Sudan [SUDAN]

OMAR, Mohammed, Afghanistan; DOB 1950; P.O.B. Hotak, Kundahar Province, Afghanistan; Commander of the Faithful (“Amir al-Munineen”) (individual) [SDGT]

OMDURMAN SHOE FACTORY, Omdurman, Sudan [SUDAN]

OMAR, Mohammed, Afghanistan; DOB 1950; P.O.B. Hotak, Kundahar Province, Afghanistan; Commander of the Faithful (“Amir al-Munineen”) (individual) [SDGT]

OMARA TASSA, spokeswoman, Afghanistan; DOB 1956; P.O.B. Kabul, Afghanistan; citizen Afghanistan; nationality Afghanistan (individual) [SDGT]

OMAR, Mohammed, Afghanistan; DOB 1950; P.O.B. Hotak, Kundahar Province, Afghanistan; Commander of the Faithful (“Amir al-Munineen”) (individual) [SDGT]

OMAR, Mohammed, Afghanistan; DOB 1950; P.O.B. Hotak, Kundahar Province, Afghanistan; Commander of the Faithful (“Amir al-Munineen”) (individual) [SDGT]

OMAR, Mohammed, Afghanistan; DOB 1950; P.O.B. Hotak, Kundahar Province, Afghanistan; Commander of the Faithful (“Amir al-Munineen”) (individual) [SDGT]

OMAR, Mohammed, Afghanistan; DOB 1950; P.O.B. Hotak, Kundahar Province, Afghanistan; Commander of the Faithful (“Amir al-Munineen”) (individual) [SDGT]

OMAR, Mohammed, Afghanistan; DOB 1950; P.O.B. Hotak, Kundahar Province, Afghanistan; Commander of the Faithful (“Amir al-Munineen”) (individual) [SDGT]

OMAR, Mohammed, Afghanistan; DOB 1950; P.O.B. Hotak, Kundahar Province, Afghanistan; Commander of the Faithful (“Amir al-Munineen”) (individual) [SDGT]

OMAR, Mohammed, Afghanistan; DOB 1950; P.O.B. Hotak, Kundahar Province, Afghanistan; Commander of the Faithful (“Amir al-Munineen”) (individual) [SDGT]

OMAR, Mohammed, Afghanistan; DOB 1950; P.O.B. Hotak, Kundahar Province, Afghanistan; Commander of the Faithful (“Amir al-Munineen”) (individual) [SDGT]
Office of Foreign Assets Control, Treasury

Ch. V, App. A

4A No. 16-04 apt. 303, Cartago, Colombia; Km. 5 Via Aeropuerto, Hacienda Coque, Cartago, Colombia; NIT #800157331–1 (Colombia) [SDNT]

ORFEGI740531121H100 (Mexico); R.F.C. OEGI740531HPLRLS07 (Mexico); Electoral Registry No. ORGLIS740531 (Mexico) (individual) [SDNTK]

ORIZCO NOGO NO, Carlos Alberto, c/o RENTAR INMOBILIARIA S.A., Cali, Colombia; c/o PROSALUD S.A. Y BIENESTAR S.A., Cali, Colombia; c/o COMERCIALIZADORA INTERTEL S.A., Cali, Colombia; Passport 16745992 (Colombia); DOB 15 Oct 1967; Cedula No. 16745992 (Colombia); (individual) [SDNT]

ORGEZA PERA, Pino, Director, Edificio Saldívar, Panama City, Panama (individual) [CUBA]

ORTIZ CARDONA, Gloria, c/o MACROFARMA S.A., Pereira, Colombia; Cedula No. 34056678 (Colombia); Passport AP562577 (Colombia) (individual) [SDNT]

ORTIZ PALACIOS, Willington Alfonso, Avenida San No. 23D-68 piso 2 L-113, Cali, Colombia; Calle 5 No. 25-65, Cali, Colombia; Cedula No. 20167975616 (Peru) (individual) [SDNTK]

ORTIZ PALACIO, Willington Alfonso, Avenida San No. 23D-68 piso 2 L-113, Cali, Colombia; Calle 5 No. 25-65, Cali, Colombia; c/o CREACIONES DEPORTIVAS Legitimacy; a.k.a. OSLEG VENTURES (PTY) LTD.; a.k.a. ORYX DIAMONDS; a.k.a. ORYX DIAMONDS (PTY) LTD; a.k.a. ORYX DIAMONDS (PTY) LTD.; a.k.a. ORYX ZIMCON (PVT) LIMITED; a.k.a. ORYX MINING AND EXPLORATION; a.k.a. OSLEG MINING AND EXPLORATION; a.k.a. OSLEG VENTURES; Lonhoro House, Union Avenue, Harare, Zimbabwe (individual) [ZIMBABWE]

ORTIZ PATACIOS, Willington Alfonso, Avenida San No. 23D-68 piso 2 L-113, Cali, Colombia; Calle 5 No. 25-65, Cali, Colombia; c/o CREACIONES DEPORTIVAS LEGITIMACY; a.k.a. OSLEG VENTURES (PTY) LTD.; a.k.a. ORYX DIAMONDS; a.k.a. ORYX DIAMONDS (PTY) LTD; a.k.a. ORYX DIAMONDS (PTY) LTD.; a.k.a. ORYX ZIMCON (PVT) LIMITED; a.k.a. ORYX MINING AND EXPLORATION; a.k.a. OSLEG MINING AND EXPLORATION; a.k.a. OSLEG VENTURES; Lonhoro House, Union Avenue, Harare, Zimbabwe (individual) [ZIMBABWE]

OSORIO AVILA, Orlando, c/o CASA GRAJALES S.A., La Union, Valle, Colombia; c/o INVERSIONES SANTA CECILIA S.C.S., La Union, Valle, Colombia; c/o EAGLE COMMUNICATION BROKERS

OSORIO LOPEZ, Orlando, c/o ASESORIAS ECONOMICAS MUNOZ SANTACOLOMA E.U., Cali, Colombia; c/o CHAMARTIN S.A., Cali, Colombia; Cedula No. 16736006 (Colombia); Passport 16736006 (Colombia) (individual) [SDNT]
PACHECO MEJIA, Luis, c/o GRANOPRODUCTOS AGRICOLAS S.A. DE C.V., Guadalajara, Jalisco, Mexico; c/o GRUPO CONSTRUCTOR INMOBILIARIO PACAR S.A. DE C.V., Guadalajara, Jalisco, Mexico; c/o CIMENTOS LA TORRE S.A. DE C.V., Guadalajara, Jalisco, Mexico; c/o FLORIDA SOCCER CLUB S.A., Guadalajara, Jalisco, Mexico; DOB 18 Jun 1951; POB Guadalajara, Jalisco, Mexico; Passport 03140120376 (Mexico); RFC PAML–510618–ED7 (Mexico) (individual) [SDNT]

PACHECO, Rosa Elena, c/o LEMOFAR LTDA., Bogota, Colombia; DOB 2 Jan 1958; Cedula No. 36162233 (Colombia); Passport 36162233 (Colombia) (individual) [SDNT]

PADRON TRUJILLO, Amado, Panama (individual) [CUBA]

PALACIO ADARVE, John Ricardo; DOB 11 Mar 1969; POB Itagui, Antioquia, Colombia; Cedula No. 70697538 (Colombia) (individual) [SDNT]

PALACIOS ALDAY, Gorka; DOB 17 Oct 1974; POB Baracaldo Vizcaya Province, Spain; D.N.I. 30.654.356; Member ETA (individual) [SDGT]

PALESTINE ISLAMIC JIHAD-SHAQAQI FACTION (a.k.a. ABU GHUNAYM SQUAD OF THE HIZBALLAH BAYT AL-MAQDIS; a.k.a. AL-AWDAH BRIGADES; a.k.a. AL-QUDS BRIGADES; a.k.a. AL-QUDS QUADS; a.k.a. ALQUDS BRIGADES; a.k.a. AL-QUDS SQUADS; a.k.a. ISLAMIC JIHAD IN PALESTINE; a.k.a. ISLAMIC JIHAD OF PALESTINE; a.k.a. PALESTINIAN ISLAMIC JIHAD; a.k.a. PIJ; a.k.a. PIJ-SHALLAH FACTION; a.k.a. PIJ-SHAQAQI FACTION; a.k.a. PIJ-SHAQAQI FACTION OF THE HIZBALLAH BAYT AL-MAQDIS; a.k.a. PIJ-SHALLAH FACTION; a.k.a. PIJ-SHAQAQI FACTION; a.k.a. SAYARA AL-QUDS) [SDT] [FTO] [SDGT]

PALESTINE LIBERATION FRONT-ABU ABBAS FACTION (a.k.a. PALESTINE LIBERATION FRONT; a.k.a. PLF; a.k.a. PLF-ABU ABBAS) [SDT] [FTO] [SDGT]

PALESTINIAN ASSOCIATION IN AUSTRIA (a.k.a. PALESTINAENSER VEREIN OESTERRICHT; a.k.a. PALESTINAENSERVEREIN OESTERRICHT; a.k.a. PALESTINENSISCHER VEREIN OESTERRICHT; a.k.a. PALESTINENSISCH VEREINigung; a.k.a. PALESTINENSISCHEN VEREINigung; a.k.a. PALESTINENISCHES VEREINigung; a.k.a. PALESTINENISCHES VEREINigung; a.k.a. PALESTINENSCHES VEREINigung; a.k.a. PALESTINENSCHES VEREINigung; a.k.a. PALESTINENSCHES VEREINigung; a.k.a. PALESTINENSCHES VEREINigung; a.k.a. PAVO, Hua Chiang (a.k.a. "PAO HUA CHIANG"; a.k.a. "TA KAT")), Panghsang, Shan, Burma (individual) [SDNTK]

PANDUREVIC, Vinko; DOB 1959; POB Sokolac, Bosnia-Herzegovina; ICTY indictee (individual) [BALKANS]

PANOAMERICANA, Panama [CUBA]

PANOS Y SEDAS LTDA. (a.k.a. TELARAMA A Y S), Carrera 9 No. 12–61, Bogota, Colombia; NIT #830070893–0 (Colombia) [SDNTK]

PAO, Yu Liang (a.k.a. "PAO YU LLANG"), Mong Mao, Shan, Burma (individual) [SDNTK]

PAO, Yu Yi (a.k.a. "PAO YU YI"; a.k.a. "TA RANG"), Panghsang, Shan, Burma (individual) [SDNTK]

PARCHIN CHEMICAL INDUSTRIES (a.k.a. PARA CHEMICAL INDUSTRIES; a.k.a. PARCHIN CHEMICAL FACTORIES; a.k.a. PARCHIN CHEMICAL INDUSTRIES GROUP; a.k.a. PCF; a.k.a. PCI), Khavaran Road Km 35, Tehran, Iran; 2nd Floor, Sanam Blvd, 3rd Floor, Sanam Blvd, P.O. Box 16765–358, Nobonyad Square, Tehran, Iran [NPWMD]

PARDO OJEDA, Mauricio, c/o G.L.G., Bogota, Colombia; c/o ILOVIN S.A., Bogota, Colombia; c/o CANADUZ S.A., Cali, Colombia; c/o KUTRY MANAGEMENT INC., Panama City, Panama; Carrera 16C No. 149–33, Apt. 306, Bogota, Colombia; c/o
Patrícia de Camarillo, Calle Puerto 291, Zona Centro, Tijuana, Baja California, Mexico [SDNTK]

Patrimonio de Gestión y Administración Sip S.L., Avenida Jesús Santos Reín Edificio Ofisol 4 1 A, Fuengirola, Malaga 29640, Spain; C.I.F. B-92255389 (Spain) [SDNT]

Patterson Farm, Mazowe, Zimbabwe [ZIMBABWE]

PEDRAZA GARZON, Fernando, c/o COOPERATIVA MULTIACTIVA DE COLOMBIA FOMENTAMOS, Bogota, Colombia; DOB 9 Nov 1962; Cedula No. 78283141 (Colombia); Passport 79283141 (Colombia) (individual) [SDNT]

PELAEZ DE HENAO, Teresa, c/o ALFA PHARMA S.A., Bogota, Colombia; DOB 11 Jan 1956; Cedula No. 29013556 (Colombia) (individual) [SDNT]

PELAYO MENDOZA, Franco Arturo, Paseo Playas de Tijuana, Secc. Costa Hermosa, Tijuana, Baja California, Mexico; Calle 16 de Septiembre 3-F, Colombia; Calle Las Torres, Tijuana, Baja California, Mexico; Calle Farallon 1206, Colombia; Paseo Playas de Tijuana, Secc. Costa Hermosa, Tijuana, Baja California, Mexico; c/o INMOBILIARIA TIJUANA COSTA S.A. DE C.V., Tijuana, Baja California, Mexico; Calle Juan Covarrubias, Colonia Los Altos, Tijuana, Baja California, Mexico; Calle De La Luz 218, Colombia; Paseo Playas de Tijuana, Secc. Costa Hermosa, Tijuana, Baja California, Mexico; Stadium 317, Tijuana, Baja California, Mexico; Blvd. Insurgentes 1614–18–B, Colonia Los Altos, Tijuana, Baja California, Mexico; DOB 2 Feb 1953; POB Casimiro Castille, Jalisco, Mexico (individual) [SDNTK]

PELISSIER OSPINA, Maria Sahir, c/o HERBRON S.A., Tuluá, Valle, Colombia; Carrera 58B No. 613–96 B-21 E-8 Int. 15 apt. 201, Bogota, Colombia; c/o COMERCIALIZADORA PELISSIER OSPINA LTDA., Bogota, Colombia; c/o ALMACAES S.A., Bogota, Colombia; Carrera 68D No. 64F–96 B-21 Int. 15, Bogota, Colombia; c/o CORPORACION DE ALMACENES POR DEPARTAMENTOS S.A., Bogota, Colombia; c/o G.L.G. S.A., Bogota, Colombia; c/o ILOVIN S.A., Bogota, Colombia; c/o RAMAL S.A., Bogota, Colombia; DOB 29 Jun 1958; POB Ibagué, Tolima, Colombia; Cedula No. 51561790 (Colombia); DOB 28 Sep 1957; Cedula No. 16590653 (Colombia) (individual) [SDNT]

PEÑA AREVALO, Ana Isabel (a.k.a. “DONA CHAYA”); a.k.a. “DONA ELISA”; a.k.a. “DONA ISA”; a.k.a. “ISABELA”), Colombia; DOB 24 Aug 1962; POB Pacho, Cundinamarca, Colombia; citizen Colombia; nationality Colombia; Cedula No. 20794356 (Colombia) (individual) [SDNTK]

PEÑA MENDOZA, Sergio (a.k.a. LÓPEZ, Antonio Santiago; a.k.a. MENDOZA PEÑA, Sergio; a.k.a. PEÑA MENDOZA, Sergio Arturo Sanchez; a.k.a. PEÑA SOLIS, Sergio; a.k.a. SOLIS, Rene Carlos), Miguel Hidalgo 418, Concordia, Nuevo Laredo, Tamaulipas, Mexico; Calle Decima, Colonia Las Fuentes, Reynosa, Tamaulipas, Mexico; DOB 25 Jan 1976; alt. DOB 1970; citizen Mexico; nationality Mexico (individual) [SDNTK]

PEÑA TORRES, Jose, Panama (individual) [CUBA]

PEÑA, Victor, Panama (individual) [CUBA]

PENALOSA CAMARGO, Diego Hernando, c/o FUNDACION VIVIR MEJOR, Cali, Colombia; Cedula No. 118391 (Colombia); Passport 118391 (Colombia) (individual) [SDNT]

PENATA COOP LTDA. (f.k.a. PENTA PHARMA DE COLOMBIA S.A.), Calle 17A No. 28A–23, Bogota, Colombia; Calle 17A No. 28A–43, Bogota, Colombia; NIT #830016586–1 (Colombia) (individual) [SDNT]

PEONY SHIPPING CO. LTD., c/o NORDSTRAND MARITIME & TRADING CO. LTD., 26 Skoue Street, Piraeus, Greece (Cuba)

PEOPLE’S CO-OPERATIVE BANK, P.O. Box 922, Khartoum, Sudan [SUDAN]

PEOPLE’S MUSJAHEDIN ORGANIZATION OF IRAN (a.k.a. MEK; a.k.a. MKO; a.k.a. MUSJAHEDIN-E KHALQ ORGANIZATION; a.k.a. MUSLIM IRANIAN STUDENT’S SOCIETY; a.k.a. NATIONAL COUNCIL OF RESISTANCE; a.k.a. NATIONAL COUNCIL OF RESISTANCE (NCR); a.k.a. NLA; a.k.a. ORGANIZATION OF THE PEOPLE’S HOLY WARRIORS OF IRAN; a.k.a. PMOI; a.k.a. MAJLESA; a.k.a. MEJAHID-E KHALQ; a.k.a. THE NATIONAL LIBERATION ARMY OF IRAN); including its U.S. press office and all other offices worldwide [FTO] [SDGT]

PERDOMO ZUNIGA, Hugo Ivan, c/o CONSTRUVIDA S.A., Cali, Colombia; DOB 16 Jun 1960; Cedula No. 16699843 (Colombia) (individual) [SDNT]

PEREGRINA TOBOADA, Jose Antonio (a.k.a. PEREGRINA TOBOADO, Jose Antonio), c/o JAMARO CONSTRUCTORES S.A. DE C.V., Culiacan, Sinaloa, Mexico; c/o NUEVA INDUSTRIA DE GANADEROS DE CULIACAN S.A. DE C.V., Culiacan, Sinaloa, Mexico; Calle Firul #439, Privada Balcones de San Miguel, Culiacan, Sinaloa, Mexico; DOB 05 Aug 1958; POB Culiacan, Sinaloa, Mexico; citizen Mexico; nationality Mexico (individual) [SDNTK]

PETERA, Luis Miguel, c/o MULTISERVICIOS GAMAL, S.A. DE C.V., Tijuana, Baja California, Mexico; Calle Relampago 1136 Secc. Dorado, Tijuana, Baja California, Mexico; DOB 10 Sep 1953 (individual) [SDNTK]

PEREZ ALZATE, Guillermo (a.k.a. “PABLO SEVILLANO”), Calle 24 No. 1-32, B. Cta de Oro, Colombia; Diagonal 50 No. 49–14 of. 601, Medellin, Colombia; Calle 26A No. 70–
Office of Foreign Assets Control, Treasury

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35, Medellin, Colombia; Calle 37 No. 2–40, Almacen Dulcino, Tamaco, Narino, Colombia; Calle 30 No. 9–51, Monteria, Cordoba, Colombia; Cedula No. 7166627 (Colombia); Passport AP891652 (Colombia) (individual) [SDNTK]

PEREZ ARAMBURU, Jon Inaki; DOB 18 Sep 1964; POB San Sebastian, Guipuzcoa Provincia, Spain; D.N.I. 15.976.521 (Spain); Member ETA (individual) (SDGT)

PEREZ CASTANO, Mario Alberto, Calle Decima No. 14, Hidalgo del Parral, Chihuahua, Mexico; c/o CAMBIO PALMILLA S.A. DE C.V., Hidalgo del Parral, Mexico; DOB 25 Jun 1966; POB Hidalgo del Parral, Chihuahua, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. PECHM660625HCHRSLR07 (Mexico); R.F.C. PECM–660625–F’N5 (Mexico) (individual) [SDNTK]

PEREZ CORDOBA, Jose Maria, Panama (individual) [CUBA]

PEREZ ELIAS, Sofia, c/o MULTISERVICIOS ALPHA, S.A. DE C.V., Tijuana, Baja California, Mexico; Calle Oseo 3692, Colonia Playas Costa Azul, Tijuana, Baja California CP 22250, Mexico; c/o HACIENDA DE DON JOSE RESTAURANT BAR, S.A. DE C.V., Tijuana, Baja California, Mexico; DOB 10 Oct 1973; POB Tijuana, Baja California, Mexico (individual) [SDNTK]

PEREZ GARCIA, Carlos, c/o ASESORIAS COSMOS LTDA., Cali, Colombia; Cedula No. 139520419 (Colombia) (individual) [SDNTK]

PEREZ GOMEZ, Stella, c/o CONTACTEL COMUNICACIONES S.A., Cali, Colombia; c/o PROVIDA, Cali, Colombia; c/o DISTRIBUIDORA SANAR DE COLOMBIA S.A., Cali, Colombia; c/o COPSERVIR LTDA., Bogota, Colombia; c/o ASESORIAS ECONOMICAS MUNOZ SANTACOLUMA LTDA., Bogota, Colombia; c/o ASESORIAS ECONOMICAS MUNOZ SANTACOLUMA LTDA., Bogota, Colombia; c/o AGROGANADERA LOS SANTOS S.A., Medellin, Colombia; c/o GRUPO FALCON S.A., Medellin, Colombia; c/o AGROESPINAL S.A., Medellin, Colombia; c/o AERONAUTICA CONDOR DE PANAMA, S.A., Panama; DOB 29 May 1966; POB Bogota, Colombia; Cedula No. 41750752 (Colombia) (individual) [SDNTK]

PEREZ NARVAEZ, Oliverio, c/o INTERCONTINENTAL DE AVIACION S.A., Bogota, Colombia; Avenida 4 No. 7–75, Cali, Colombia; DOB 9 Mar 1938; POB Riofrío, Valle, Colombia; Cedula No. 6488451 (Colombia); Passport AG669729 (Colombia); alt. Passport AG490146 (Colombia) (individual) [SDNTK]

PEREZ ORTEGA, Pablo Eliecer, c/o INVERSIONES VILLA PAZ S.A., Cali, Colombia; DOB 23 Jul 1954; Cedula No. 16597479 (Colombia) (individual) [SDNTK]

PEREZ PASUENGO, Efraid; DOB 1954; nationality Mexico (individual) [SDNTK]

PEREZ ROJAS, Daniel (a.k.a. GONZALEZ DIAZ, Juan), Matamoros, Tamaulipas, Mexico; Aldea San Cristobal, Comapa, Jutiapa, Guatemala; Fraccionamiento Santa Isabel, Tijuanico De Zuniga, Jalisco, Mexico; Valle Hermoso, Tamaulipas, Mexico; DOB 10 Feb 1977; alt. DOB 11 Feb 1977; alt. DOB 28 Sep 1976; POB Moyuta, Guazanjuato, Mexico; citizen Mexico; nationality Mexico; Cedula No. U22–30905 (Guatemala); Driver’s License No. 1–22–97–0030905–3 (Guatemala) expires 2010 (individual) [SDNTK]

PEREZ SERRA, Wilmor Armando, c/o INVHERESA S.A., Cali, Colombia (individual) [SDNTK]

PEREZ VARELA, Jaime Diego, c/o CONSTRUCTORA GOPEVA LTDA., Cali, Colombia; Avenida Ciudad Jardin No. 27, Cali, Colombia; DOB 28 Feb 1933; Cedula No. 2656666 (Colombia) (individual) [SDNTK]

PEREZ VERDUZCO, Roberto (a.k.a. PEREZ VERDUO, Roberto), c/o SEPRIV, S.A. DE C.V., Culiacan, Sinaloa, Mexico; Calle Cerro Aguado No. 391, Colonia Loma Linda, Culiacan, Sinaloa, Mexico; DOB 29 Oct 1963; POB Culiacan, Sinaloa, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. PEVR6310292D8 (Mexico); Passport 04094618 (Mexico); R.F.C. PEVR631029D8 (Mexico) (individual) [SDNTK]

PEREZ, Alfonso, Panama (individual) [CUBA]

PEREZ, Manuel Martin, Panama (individual) [CUBA]

PEREZ, Alfonso, Panama (individual) [CUBA]

PEREZ, Manuel Martin, Panama (individual) [CUBA]

PERIC, Jozo (a.k.a. “TUKESA”); DOB 31 Jan 1969; POB Pjesevac Kula, Bosnia-Herzegovina (individual) [BALKANS]

PERSIA INTERNATIONAL BANK PLC, 6 Lothbury, London EC2R 7HH, United Kingdom; Dubai International Financial Centre, Level 4, The Gate Building, P.O. Box 119871, Dubai, United Arab Emirates; all offices worldwide [NPWMD]

PERSIAN GULF (a.k.a. IRAN PERSIAN GULF) ; Vessel Registration Identification IMO 9305221 (vessel) [NPWMD]

PERU GLOBAL TOURS S.A.C., Calle Soledad 113, Oficina 301, Lima, Peru; RUC #2659697148 (Peru) [SDNTK]
Office of Foreign Assets Control, Treasury

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PIONEER SHIPPING LTD., 171 Old Bakery Street, Valletta, Malta; c/o Anglo Caribbean Shipping Co., Ltd., 4th Floor, South Phase 2, South Quay Plaza 2, 183 Marsh Wall, London E14 9SH, United Kingdom [CUBA]

PIRAMIDE INTERNATIONAL, Panama [CUBA]

PIRANHA NAVIGATION CO. LTD., c/o NORDSTRAITH MARITIME & TRADING CO. LTD., 26 Skouze Street, Piraeus, Greece [CUBA]

PITONO, Joko (a.k.a. ABDUL MARTIN; a.k.a. ABDULL MATIN; a.k.a. AMAR UMAR; a.k.a. AMAR USMAN; a.k.a. DUL MATIN; a.k.a. DULMATIN; a.k.a. JAK IMRON; a.k.a. MUKTAMAR; a.k.a. NOVARIANTO; a.k.a. PINTONO, Joko; a.k.a. PITTOYO, Joko; a.k.a. TOPRL); DOB 16 Jun 1970; alt. DOB 6 Jun 1970; POB Petarukan village, Pemalang, Central Java, Indonesia; nationality Indonesia (individual) [SDGT]

PLANCARTE SOLIS, Enrique (a.k.a. KIKE; a.k.a. LA CHIVA), c/o Colonia Centro, Ave Lazaro Cardenas Sur 194, Nueva Italia, Michoacan, Mexico; nationality Mexico (individual) [SDNTK]

PLASTICS CONDOR LTDA., Carrera 13 No. 16-62, Cali, Colombia [SDNT]

PLAVSIC, Biljana; DOB 7 Jul 1980; POB Tuzla, Bosnia-Herzegovina; ICTY indictee (individual) [BALKANS]

PLAYA MAR S.A. DE C.V., Entre Via Rapida y Jose Clemente Orozco, Tijuana, Baja California, Mexico; R.F.C. #PXJ–910805D (Mexico) (individual) [SDNTK]

PLAYA MAR LTDA., Km. 1 Via Jardines, Armenia, Quindio, Colombia; NIT #801000358–7 (Colombia) [SDNT]

PLASTICOS CONDOR LTDA., Carrera 13 No. 16-62, Cali, Colombia [SDNT]

PLAVSIC, Biljana; DOB 7 Jul 1980; POB Tuzla, Bosnia-Herzegovina; ICTY indictee (individual) [BALKANS]

POPOV, Dimitri Igorevich; DOB 13 Feb 1961; alt. DOB 13 Feb 1965; POB Irkutsk, Russia; General Manager, Great Lakes Business Company and Compagnie Aerienne des Grandes Lacs (individual) [DRC]
Office of Foreign Assets Control, Treasury

Ch. V, App. A

Union, Valle, Colombia; c/o CRETA S.A., La Union, Valle, Colombia; DOB 21 Jan 1970; POB Roldanillo, Valle, Colombia; Cedula No. 66702678 (Colombia); Passport Ch. 9440483 (Colombia)

PRIMA EXPORT/IMPORT, Jamaica (CUBA)

PROGRESS SURAWEE COMPANY LTD. (a.k.a. "BORSAT PROKRET SURAWI CHAMKAT"), 273 Soi Thian Ruammit, Ratchada Phisek Road, Huai Khwang district, Bangkok, Thailand (SDNTK)

PROHUEVO DE COLOMBIA LTDA., Carrera 34 No. 5A–25, Cali, Colombia; Granja Pio Pio Carretera Cali-Candelaria Km 12, Cali, Colombia; 1 Km Antes de Cavasa Palmira-Cali, Colombia; NIT #800089683-5 (Colombia) (SDNT)

PROMOCIONES ARTISTICAS (a.k.a. "PROARTE"), Avenida Insurgentes Sur No. 421, Bloque B Despacho 404, C.P. 06100, Mexico, D.F., Mexico (CUBA)

PROMOCIONES E INVERSIONES LAS PALMAS S.A. (a.k.a. "PROPALMAS S.A."); Carrera 9 No. 106–90 Ofc. 412, Bogota, Colombia; NIT #800290623-5 (Colombia) (SDNT)

PROMOCIONES Y CONSTRUCCIONES DEL CARIBE LTD., Carrera 54 No. 72–147, Barranquilla, Colombia; Carrera 54 No. 72–80 Ejecutivo I, Barranquilla, Colombia; Calle 74 No. 53–30, Barranquilla, Colombia; Carrera 56 No. 70–60, Barranquilla, Colombia; Carrera 55 No. 72–109 Piso 1, Barranquilla, Colombia; Calle 78 No. 53–70 Centro Comercial Villa Country, Barranquilla, Colombia; Carrera 57 No. 79–149, Barranquilla, Colombia; NIT #900108155-3 (Colombia) (SDNT)

PROMOCIONES Y CONSTRUCCIONES DEL CARIBE LTDA. Y CIA. S.C.A. (a.k.a. "PROMOCON"), Carrera 54 No. 72–147 L–115, Barranquilla, Colombia; Carrera 55 No. 80–192 Ap. 6, Barranquilla, Colombia; Apartado Aereo 51100, Barranquilla, Colombia; Apartado Aereo 50183, Barranquilla, Colombia; Carrera 55 No. 80–192, Barranquilla, Colombia; Carrera 54 No. 72–80 L–21 Ejecutivo I, Barranquilla, Colombia; Calle 74 No. 53–30, Barranquilla, Colombia; Calle 78 No. 53–70 Centro Comercial Villa Country, Barranquilla, Colombia; NIT #900108155-3 (Colombia) (SDNT)

PROMOTORA ANDINA, S.A., Quito, Ecuador (CUBA)

PROMOTORA DE MATERIAS PRIMAS ORGANICAS DEL POLIMIL LTDA. (a.k.a. "PRORMATOL LTDA."), Calle 24 D Bis No. 73C–03, Bogota, Colombia; NIT #900081489-9 (Colombia) (SDNT)

PROMOTORA FIN. S.A. (a.k.a. "PROFINS", a.k.a. "PRORMATORA FIN. S.A. DE C.V."); Agua Caliente Blvd. 122 A, Cacho, Tijuana, Baja California, Mexico; Calle Sra. Carrillo Puerto 216, 4to Piso, Zona Centro, Tijuana, Baja California, Mexico; Sra. Carrillo Puer to 216 1, Zona Central, Avenida Madero y Avenida Negrete, Tijuana, Baja California, Mexico; R.F.C. PFI–800123–3 (Mexico) (SDNT)

PROMOTORA HOTELERA LTDA. (a.k.a. "COMERCIAL PROMOTELES"), Calle 114 No.
PROYECTOS Y SOLUCIONES NACIONALES S.A. (a.k.a. NACIONALES S.A.) (individual) [SDNT]

PROYECTOS Y SOLUCIONES LTDA. (f.k.a. PROMOTORA DE PROYECTOS Y SOLUCIONES LTDA.), Avenida 13 No. 100–12 Ofc. 302, Bogota, Colombia; NIT #800014349–8 (Colombia) [SDNT]

PROYECTOS Y SOLUCIONES S.A., Carrera 63 No. 17–07, Bogota, Colombia; NIT #800231601–1 (Colombia) [SDNT]

PUBLIC CORPORATION FOR BUILDING AND CONSTRUCTION, P.O. Box 2110, Khartoum, Sudan [SUDAN]

PUBLIC CORPORATION FOR IRRIGATION AND EXCAVATION, P.O. Box 619, Khartoum, Sudan; P.O. Box 123, Wad Medani, Sudan [SUDAN]

PUBLIC CORPORATION FOR OIL PRODUCTS AND PIPELINES, Khartoum, Sudan [SUDAN]

PUBLIC ELECTRICITY AND WATER CORPORATION (a.k.a. CENTRAL ELECTRICITY AND WATER CORPORATION), P.O. Box 1390, Khartoum, Sudan [SUDAN]

PUENTE GONZALEZ, Carlos Alberto, c/o CORPORACION DEPORTIVA AMERICA, Cali, Colombia; DOB 28 Nov 1937; Cedula No. 2490885 (Colombia); Passport 2490885 (Colombia) (individual) [SDNT]

PUERTA PARRA, Gabriel (a.k.a. “DOCTOR PUERTA”), c/o LA FRONTERA UNION GALVEZ Y CIA S EN C, Bogota, Colombia; c/o INTERCONTINENTAL DE AVIACION, S.A.; c/o COMERCIALIZADORA ANDINA INDUSTRIAL MINERA Y PECUARIA S.A., Bogota, Colombia; DOB 1 Oct 1942; POB San Carlos, Antioquia, Colombia; Cedula No. 8238830 (Colombia); Passport P020046 (Colombia) (individual) [SDNT]

PUERTO, Luis Alfredo, c/o CODISA, Bogota, Colombia; c/o ADMACOOP, Bogota, Colombia; c/o INTERCONTINENTAL DE AVIACION, S.A.; c/o COMERCIALIZADORA ANDINA INDUSTRIAL MINERA Y PECUARIA S.A., Bogota, Colombia; DOB 1 Dec 1955; Cedula No. 249063 (Colombia); Passport 249063 (Colombia) (individual) [SDNT]

PULIDO VALDIVIA, Javier (a.k.a. PULIDO VALDIVIA, Francisco), Mexico; Calle Fray Junipero Serra #1932, Guadalajara, Jalisco, Mexico; c/o LABORATORIOS WILLMAR, S.A. DE C.V., Calle Fray Junipero Serra #1932, Guadalajara, Jalisco, Mexico; c/o ADMACOOP, Bogota, Colombia; DOB 17 Dec 1965; Cedula No. 7913154 (Colombia) (individual) [SDNT]

PULIDO VALDIVIA, Francisco, Mexico; Calle Fray Junipero Serra #1932, Guadalajara, Jalisco, Mexico; c/o LABORATORIOS WILLMAR, S.A. DE C.V., Guadalajara, Jalisco, Mexico; DOB 14 Jan 1953; citizen Mexico; nationality Mexico; C.U.R.P. PUVJ530114HJCLLV06 (Mexico) (individual) [SDNTK]

PUERTA PARRA, Gabriel (a.k.a. “DOCTOR PUERTA”), c/o LA FRONTERA UNION GALVEZ Y CIA S EN C, Bogota, Colombia; c/o INTERCONTINENTAL DE AVIACION, S.A.; c/o COMERCIALIZADORA ANDINA INDUSTRIAL MINERA Y PECUARIA S.A., Bogota, Colombia; DOB 1 Dec 1955; Cedula No. 249063 (Colombia); Passport 249063 (Colombia) (individual) [SDNT]

PULIDO VALDIVIA, Javier (a.k.a. PULIDO VALDIVIA, Francisco), Mexico; Calle Fray Junipero Serra #1932, Guadalajara, Jalisco, Mexico; c/o LABORATORIOS WILLMAR, S.A. DE C.V., Guadalajara, Jalisco, Mexico; DOB 17 Dec 1965; Cedula No. 7913154 (Colombia) (individual) [SDNT]

PULIDO VALDIVIA, Francisco, Mexico; Calle Fray Junipero Serra #1932, Guadalajara, Jalisco, Mexico; c/o LABORATORIOS WILLMAR, S.A. DE C.V., Guadalajara, Jalisco, Mexico; DOB 14 Jan 1953; citizen Mexico; nationality Mexico; C.U.R.P. PUVJ530114HJCLLV06 (Mexico) (individual) [SDNTK]
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31 CFR Ch. V (7–1–10 Edition)

QUINTERO
SANCLEMENTE,
Ramon
Alberto (a.k.a. ‘‘DON TOMAS’’; a.k.a. ‘‘EL
INGENIERO’’; a.k.a. ‘‘LUCAS’’), Carrera 16
No. 3–15, Buga, Valle, Colombia; Calle 115
No. 9–50, Bogota, Colombia; DOB 30 Nov
1960; alt. DOB 30 Nov 1961; alt. DOB 28 Nov
1958; POB Cali, Colombia; alt. POB Buga,
Valle, Colombia; citizen Colombia; Cedula
No. 14881147 (Colombia); Passport AE048871
(Colombia) (individual) [SDNT]
R/E
OF
AUDREY
FARM,
Zimbabwe
[ZIMBABWE]
R/E OF MLEMBWE FARM, Mlembwe,
Zimbabwe [ZIMBABWE]
RABAK OIL MILL, P.O. Box 2105, Khartoum,
Sudan [SUDAN]
RABITA TRUST, Room 9A, 2nd Floor,
Wahdat Road, Education Town, Lahore,
Pakistan; Wares Colony, Lahore, Pakistan
[SDGT]
RACEVIEW
ENTERPRISES,
Zimbabwe
[ZIMBABWE]
RADIC, Miroslav; DOB 1 Jan 1961; ICTY indictee in custody (individual) [BALKANS]
RADIC, Mlado; DOB 15 May 1952; POB
Lamovita, Bosnia-Herzegovina; ICTY indictee (individual) [BALKANS]
RADIO SERVICE, S.A., Panama [CUBA]
RADIO UNIDAS FM S.A., Calle 15N No. 6N–
34 piso 15, Edificio Alcazar, Cali, Colombia;
Calle 19N No. 2N–29 piso 10 Sur, Cali, Colombia [SDNT]
RADKOV, Aleksandr Mikhailovich (a.k.a.
RADZKOU, Aleksandr Mikhailavich); DOB
1 Jul 1951; POB Votnya, Belarus; citizen
Belarus; nationality Belarus; Minister of
Education (individual) [BELARUS]
RA-EES ALI ; Vessel Registration Identification IMO 8203608 (vessel) [NPWMD]
RAHAB INSTITUTE (f.k.a. RAHSAZ INSTITUTE), Ghorb-e Ghaem Building, Valiasr
St., Azizi Blvd., Azadi Sq., Tehran, Iran;
Eastern 14th St., Beihaghi Blvd., Arjantin
Sq., Tehran, Iran [NPWMD]
RAHIM (a.k.a. IRAN RAHIM) ; Vessel Registration Identification IMO 9465746 (vessel)
[NPWMD]
RAHIM 3 (vessel) [CUBA]
RAHIM, Mufti Abdul (a.k.a. HALIM, Mufti
Muabdul; a.k.a. RAHEEM, Mufti Abdul;
a.k.a.
RAHIM,
Mufti
Abdur;
a.k.a.
‘‘USTAAD SHEHEB’’), Karachi, Pakistan;
DOB circa 1955; alt. DOB circa 1964; POB
Sarghoda region, Punjab Province, Pakistan; nationality Pakistan (individual)
[SDGT]
RAINBOW FACTORIES, P.O. Box 1768, Khartoum, Sudan [SUDAN]
RAJAH SOLAIMAN MOVEMENT (RSM)
(a.k.a. RAJA SOLEIMAN MOVEMENT;
a.k.a. RAJAH SOLAIMAN GROUP; a.k.a.
RAJAH SOLAIMAN ISLAMIC MOVEMENT (RSIM); a.k.a. RAJAH SOLAIMAN
REVOLUTIONARY MOVEMENT (RSRM);
a.k.a. RAJAH SULAIMAN MOVEMENT;
a.k.a. RAJAH SULAYMAN MOVEMENT)
[SDGT]

RAJBROOK LIMITED, United Kingdom
[IRAQ2]
RAJIC, Ivica; DOB 5 May 1958; POB Johovac,
Bosnia-Herzegovina; ICTY indictee at large
(individual) [BALKANS]
RAM
ENERGY
COMPANY
LIMITED,
Altiyadh Street 131/Almashtal Street,
Block 12, House No. 87, P.O. Box 802, Khartoum, Sudan [SUDAN]
RAMAK (a.k.a. RAMAK DUTY FREE; a.k.a.
RAMAK DUTY FREE SHOP LTD; a.k.a.
RAMAK DUTY FREE SHOPS-SYRIA;
a.k.a. RAMAK DUTY FREE SHOPS LTD.;
a.k.a. RAMAK FIRM FOR FREE TRADE
ZONES), Al Rawda Street, PO Box 932, Damascus, Syria; Aleppo Duty Free, Aleppo
International Airport, Aleppo, Syria; Damascus Duty Free, Damascus International
Airport,
Damascus,
Syria;
Tartous Port, Tartous, Syria; Abu Ramana
Street, Rawda, Damascus, Syria; Bab el
Hawa Border Center, Aleppo, Syria; Free
Zone Area, Jamarek, PO Box 932, Damascus, Syria; Jdaideh Duty Free Complex,
Jdaideh Yaboos, Damascus, Syria; Dara’a
Duty Free, Naseeb Border Center, Dara’a,
Syria; Lattakia Port, Lattakia, Syria; Email Address dam.d.free@net.sy (Syria);
Web site www.ramakdutyfree.net (Syria)
[SYRIA]
RAMAL S.A., Diagonal 127A No. 17–34 Piso 5,
Bogota, Colombia; NIT #800142109–5 (Colombia) [SDNT]
RAMCHARAN BROTHERS LTD, Rosehall
Main Road, Rosehall, Jamaica [SDNTK]
RAMCHARAN LTD, Rosehall Main Road,
Rosehall, Jamaica [SDNTK]
RAMCHARAN, Leebert (a.k.a. MARSHALL,
Donovan; a.k.a. RAMCHARAM, Leebert;
a.k.a. RAMCHARAN, Liebert); DOB 28 Dec
1959; POB Jamaica (individual) [SDNTK]
RAMIREZ ABADIA Y CIA. S.C.S., Avenida
Estacion No. 5BN–73 of. 207, Cali, Colombia;
NIT #800117676–4 (Colombia) [SDNT]
RAMIREZ ABADIA, Juan Carlos, c/o
DISDROGAS LTDA., Yumbo, Valle, Colombia; c/o RAMIREZ ABADIA Y CIA.
S.C.S., Cali, Colombia; Calle 6A No. 34–65,
Cali, Colombia; DOB 16 Feb 1963; Cedula
No. 16684736 (Colombia); Passport AD127327
(Colombia) (individual) [SDNT]
RAMIREZ AGUIRRE, Sergio Humberto, c/o
Farmacia Vida Suprema, S.A. DE C.V., Tijuana,
Baja
California,
Mexico;
c/o
Administradora De Inmuebles Vida, S.A.
de C.V., Tijuana, Baja California, Mexico;
c/o Distribuidora Imperial De Baja California, S.A. de C.V., Tijuana, Baja California, Mexico; DOB 22 Nov 1951 (individual) [SDNTK]
RAMIREZ AZA, Hernan, c/o IMPORT MAPRI
LTDA., Bogota, Colombia; Cedula No.
17083264 (Colombia); Passport 17083264 (Colombia) (individual) [SDNT]
RAMIREZ AZA, Jose Manuel, c/o IMPORT
MAPRI LTDA., Bogota, Colombia; c/o
WORLD TRADE LTDA., Ibague, Colombia;

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RAMIREZ BONILLA, Gloria Ines, c/o C.I. PRIMAS ORGANICAS LTDA., Bogota, Colombia; c/o C.I. STONES AND BYPRODUCTS TRADING S.A., Bogota, Colombia; c/o JUAN SEBASTIAN Y CAMILA ANDREA JIMENEZ RAMIREZ Y CIA S.C.S., Bogota, Colombia; DOB 28 Jan 1969; citizen Colombia; Cedula No. 65520011 (Colombia) (individual) [SDNT]

RAMIREZ BUTRAGO, Luis Eduardo, c/o INCOES LTDA., Cali, Colombia (individual) [SDNT]

RAMIREZ BUTRAGO, Placido, c/o COMERCIALIZADORA INTERNACIONAL VALLE DE ORO S.A., Cali, Colombia; DOB 16 Nov 1950; citizen Colombia; Cedula No. 10219387 (Colombia) (individual) [SDNT]

RAMIREZ CORTES, Delia Nora, c/o INMOBILIARIA BOLIVAR LTDA., Cali, Colombia; c/o SOCIOVALLE LTDA., Cali, Colombia; c/o COMPANIA ADMINISTRADORA DE VIVIENDA S.A., Cali, Colombia; c/o AGROPECUARIA Y REFORESTADORA HERREBE LTDA., Cali, Colombia; c/o INVERSIONES HIMERE LTDA., Cali, Colombia; c/o VIAJES MERCURIO LTDA., Cali, Colombia; c/o INVERSIONES GEMINIS S.A., Cali, Colombia; c/o CONSTRUEXITO S.A., Cali, Colombia; c/o INDUSTRIA AVICOLA PALMASECA S.A., Cali, Colombia; c/o ADMINISTRACION INMOBILIARIA BOLIVAR S.A., Cali, Colombia; c/o INVERSIONES INVERVALLE S.A., Cali, Colombia; c/o CONSTRUCTORA ALTOS DEL RETIRO LTDA., Bogota, Colombia; DOB 30 Sep 1952; citizen Colombia; Cedula No. 19164938 (Colombia) (individual) [SDNT]

RAMIREZ LENIS, Jhon Jairo, Carrera 4C No. 34-27, Cali, Colombia; DOB 19 Jul 1966; Cedula No. 79395056 (Colombia) (individual) [SDNT]

RAMIREZ M., Oscar, c/o INVERSIONES ARA LTDA., Cali, Colombia; c/o RIONAP COMERCIO Y REPRESENTACIONES S.A., Quito, Ecuador; c/o VALORES MOBILIARIOS DE OCCIDENTE S.A., Bogota, Colombia (individual) [SDNT]

RAMIREZ NUNEZ, James Alberto, Carrera 5 No. 24-63, Cali, Colombia; c/o INVERSIONES Y CONSTRUCCIONES COSMOVALLE LTDA., Cali, Colombia; c/o ANDINA DE CONSTRUCCIONES S.A., Cali, Colombia; c/o GRACADAL S.A., Cali, Colombia; c/o DISMERCOP, Cali, Colombia; c/o SERVICIOS FARMACEUTICOS SERVIFAR S.A., Cali, Colombia; c/o INVERSIONES MONDRAGON Y CIA. S.C.S., Cali, Colombia; c/o INTERAMERICA DE CONSTRUCCIONES S.A., Cali, Colombia; DOB 21 Apr 1962; Cedula No. 16691796 (Colombia) (individual) [SDNT]

RAMIREZ PONCE, Omar, c/o RAMIREZ ABADIA Y CIA. S.C.S., Cali, Colombia; c/o DESBROGAS LTDA., Yumbo, Valle, Colombia; Carrera 38 No. 13-138, Cali, Colombia; DOB 01 Jan 1940; POB Cali, Colombia; Cedula No. 6064636 (Colombia); Passport 6064636 (Colombia) (individual) [SDNT]

RAMIREZ RIVERA, Sergio Alberto, Cali, Colombia; DOB 14 Jan 1964; POB Cali, Colombia; Cedula No. 16992209 (Colombia); Passport AF771317 (Colombia) (individual) [SDNT]

RAMIREZ SANCHEZ, Alben, c/o INCOES LTDA., Cali, Colombia (individual) [SDNT]

RAMIREZ SUAREZ, Luis Carlos (a.k.a. RAMIREZ SUARES, Luis Carlos), c/o DROGAAS LA REBAJA BUCARAMANGA S.A., Bucaramanga, Colombia; c/o COPSERVIR LTDA., Bogota, Colombia; DOB 15 May 1952; Cedula No. 19164938 (Colombia) (individual) [SDNT]

RAMIREZ TREVINIO, Mario (a.k.a. RAMIREZ TREVINIO, Mario Armando), Tamaulipas, Mexico; Reynosa, Tamaulipas, Mexico; DOB 06 Mar 1962; POB Mexico; citizen Mexico; nationality Mexico (individual) [SDNTK]

RAMIREZ VALENCIANO, William, c/o CONCRETOS CALI S.A., Cali, Colombia; c/o ADMINISTRACION INMOBILIARIA BRT LIVAR S.A., Cali, Colombia; c/o INVERSIONES GEMINIS S.A., Cali, Colombia; c/o INCOMER LTDA., Cali, Colombia; c/o INVERSIONES EL PENON S.A., Cali, Colombia; c/o CONSTRUCTORA DIMISA LTDA., Cali, Colombia; c/o INVERSIONES BETANIA LTDA., Cali, Colombia; c/o CONCRETOS CALI S.A., Cali, Colombia; DOB 7 Feb 1964; Cedula No. 16894719 (Colombia) (individual) [SDNT]

RAMON MAGANA, Alcides (a.k.a. ALCIDES MAGANA, Ramon); a.k.a. ALCIDES MAGANA, Ramon
RE RED SRA STEVEDORING, P.O. Box 215, Khartoum, Sudan; P.O. Box 17, Port Sudan, Sudan [SUDAN]
REDESTOS (vessel) [CUBA]
REDESTOS CO. LTD., c/o EMPRESA DE NAVEGACION MAMBISA, Apartado 543, San Ignacio 104, Havana, Cuba [CUBA]
REEVES-TAYLOR, Agnes (a.k.a. REEVES-TAYLOR; a.k.a. TAYLOR, Agnes Reeves); DOB 27 Sep 1965; nationality Liberia; Ex-wife of former President of Liberia Charles Taylor; ex-Permanent Representative of Liberia to the International Maritime Organization (individual) [LIBERIA]
REFRIGERATION AND ENGINEERING IMPORT COMPANY, P.O. Box 1092, Khartoum, Sudan [SUDAN]
REINA DE TORRES, Rosalba, c/o TRIMARK LTDA., Bogota, Colombia; Cedula No. 4179184 (Colombia) (individual) [SDNT]
REINA MOLINA, Miguel Sigifredo, c/o DISTRIBUIDORA DEL VALLE E.U., Bogota, Colombia; Cedula No. 9418782 (Colombia); Passport #80012385 (Colombia); alt. Passport #80013883-3 (Colombia) [SDNT]
REION AGUILAR, Jesus Enrique (a.k.a. REJON AGUILAR, Jose (Jesus Enrique)), Calle Hidalgo No. 6, Col. Sabancuy, Carmen, Campeche C.P. 23700, Mexico; DOB 09 Jun 1976; alt. DOB 01 Jan 1976; DOB: 01 Dec 1976; POB Campeche; citizen Mexico; nationality Mexico; C.U.I.P. RAEJ760609HCCJS02 (Mexico); Cartilla de Servicio Militar Nacional CT20007 (Mexico) (individual) [SDNTK]
REMADNA, Abdelhalim; DOB 2 Apr 1966; P.O.B. Bistra, Algeria (individual) [SDGT]
RENDON HERRERA, Daniel (a.k.a. “DON MARIO”), Antiota, Colombia; DOB 12 Nov 1964; alt. DOB 01 Dec 1964; POB Antioquia, Colombia; nationality Colombia; Cedula No. 80012385 (Colombia) (individual) [SDNTK]
RENDON HERRERA, Freddy Enrique (a.k.a. “EL ALEMAN”), Carrera 12 No. 79–32, Ofc. 703, Bogota, Colombia; DOB 20 Jun 1973; POB Colombia; citizen Colombia; nationality Colombia; Cedula No. 80012385 (Colombia) (individual) [SDNTK]
RENDON POBLETE, Rosalinda (a.k.a. RENDON DE PULIDO, Rosalinda), c/o LABORATORIOS WILLMAR, S.A. DE C.V., Guadalajara, Jalisco, Mexico; DOB 23 Nov 1963; POB Cuautla, Morelos, Mexico; citizen Mexico; nationality Mexico (individual) [SDNT]
RENDON RAMIREZ, Jose Aldemar (a.k.a. “MECHAS”), Carrera 9 No. 18-07, Cartago, Valle, Colombia; Carrera 26 No. 80–40, MZ 1, Casa 13, Pereira, Risaralda, Colombia; Carrera 15 No. 18-50, Cartago, Valle, Colombia; DOB 24 Jul 1960; POB Pereira, Risaralda, Colombia; Cedula No. 16202349 (Colombia); Passport AE182792 (Colombia); alt. Passport AP566905 (Colombia) (individual) [SDNT]
RENDON RODRIGUEZ, Maria Fernanda, c/o DISMERCOOP, Cali, Colombia; Cedula No. 38864917 (Colombia) (individual) [SDNT]
RENGIFO AMAYA, Harry Ramiro, c/o INMOBILIARIA QUILCHAO S.A., Cali, Colombia; c/o CENTRO COMERCIAL GUSS S.A., Cali, Colombia; c/o MIRACANA INMOBILIARIA QUILCHAO S.A. & CIA S.C.A., Cali, Colombia; c/o CONSTRUCTORA UMBRIA S.A., Cali, Colombia; c/o RED DE SERVICIOS INMOBILIARIO PROFESIONALES S.A., Bogota, Colombia; c/o FRONTERA VIRTUAL S.A., Bogota, Colombia; c/o VENECIA INMOBILIARIA QUILCHAO S.A. & CIA S.C.A., Cali, Colombia; DOB 02 Jan 1982; POB Colombia; citizen Colombia; nationality Colombia; Cedula No. 80201385 (Colombia); Passport AH406973 (Colombia); alt. Passport AE294099 (Colombia) (individual) [SDNT]
RENGIFO MANCERA & CIA S.C.A. (a.k.a. RENEGIFO MANCERA AND CIA S.C.A.), Carrera 12 No. 79–32, Ofc. 703, Bogota, Colombia; NIT #80013883-3 (Colombia) [SDNT]
RENGIFO O.A.M. Y CIA S.C.A., Carrera 12 No. 79–32, Bogota, Colombia; NIT #80011077–9 (Colombia) [SDNT]
RENGIFO OSPINA, Edwin Amir, c/o FRONTERA VIRTUAL S.A., Bogota, Colombia; c/o MIRACANA INMOBILIARIA QUILCHAO S.A. & CIA S.C.A., Cali, Colombia; c/o CENTRO COMERCIAL GUSS S.A., Cali, Colombia; c/o AGROGANADERA LA ISABELA S.A., Cali, Colombia; c/o CONSTRUCTORA LOMA LINDA S.A., Cali, Colombia; c/o CONSTRUCCIONES LA RESERVA S.A., Cali, Colombia; c/o CONSTRUCTORA UMBRIA S.A., Cali, Colombia; c/o CONSTRUCTORA JUANAMBU S.A., Cali, Colombia; Calle 82 No. 8–43, Apt. 202, Bogota, Colombia; c/o RED DE SERVICIOS INMOBILIARIO PROFESIONALES S.A., Bogota, Colombia; DOB 20 Jun 1973; POB Bogota, Colombia; citizen Colombia; nationality Colombia; Cedula No. 79690302 (Colombia); Passport AP294763 (Colombia); alt. Passport AD04522 (Colombia) issued 16 May 2001 expires 16 May 2011 (individual) [SDNT]
RENGIFO OSPINA, Jefferson, Calle 98 No. 9–41, Apt. 1202, Bogota, Colombia; c/o FRONTERA VIRTUAL S.A., Bogota, Colombia; c/o RED DE SERVICIOS INMOBILIARIO PROFESIONALES S.A., Bogota, Colombia; c/o CENTRO COMERCIAL GUSS S.A., Cali, Colombia; c/o MIRACANA INMOBILIARIA QUILCHAO S.A. & CIA S.C.A., Cali, Colombia; DOB 19 Dec 1977; POB Cali, Colombia; citizen Colombia; nationality Colombia; Cedula No. 94518607 (Colombia); Passport P04555 (Colombia); alt. Passport AP237735 (Colombia) (individual) [SDNT]
RENGIFO OSPINA, Lina Milayi, c/o RED DE SERVICIOS INMOBILIARIO PROFESIONALES S.A., Bogota, Colombia; c/o MIRACANA INMOBILIARIA QUILCHAO S.A. & CIA S.C.A., Cali, Colombia; DOB 02 Jan 1982; POB Colombia; citizen Colombia; nationality Colombia; Cedula No. 80201385 (Colombia); Passport AH406973 (Colombia); alt. Passport AE294099 (Colombia) (individual) [SDNT]
RENGIFO MANCERA & CIA S.C.A. (a.k.a. RENEGIFO MANCERA AND CIA S.C.A.), Carrera 12 No. 79–32, Ofc. 703, Bogota, Colombia; NIT #80013883-3 (Colombia) [SDNT]
RENGIFO O.A.M. Y CIA S.C.A., Carrera 12 No. 79–32, Bogota, Colombia; NIT #80011077–9 (Colombia) [SDNT]
RENGIFO OSPINA, Edwin Amir, c/o FRONTERA VIRTUAL S.A., Bogota, Colombia; c/o MIRACANA INMOBILIARIA QUILCHAO S.A. & CIA S.C.A., Cali, Colombia; c/o CENTRO COMERCIAL GUSS S.A., Cali, Colombia; c/o AGROGANADERA LA ISABELA S.A., Cali, Colombia; c/o CONSTRUCTORA LOMA LINDA S.A., Cali, Colombia; c/o CONSTRUCCIONES LA RESERVA S.A., Cali, Colombia; c/o CONSTRUCTORA UMBRIA S.A., Cali, Colombia; c/o CONSTRUCTORA JUANAMBU S.A., Cali, Colombia; Calle 82 No. 8–43, Apt. 202, Bogota, Colombia; c/o RED DE SERVICIOS INMOBILIARIO PROFESIONALES S.A., Bogota, Colombia; DOB 20 Jun 1973; POB Bogota, Colombia; citizen Colombia; nationality Colombia; Cedula No. 79690302 (Colombia); Passport AP294763 (Colombia); alt. Passport AD04522 (Colombia) issued 16 May 2001 expires 16 May 2011 (individual) [SDNT]
RENGIFO OSPINA, Jefferson, Calle 98 No. 9–41, Apt. 1202, Bogota, Colombia; c/o FRONTERA VIRTUAL S.A., Bogota, Colombia; c/o RED DE SERVICIOS INMOBILIARIO PROFESIONALES S.A., Bogota, Colombia; c/o CENTRO COMERCIAL GUSS S.A., Cali, Colombia; c/o MIRACANA INMOBILIARIA QUILCHAO S.A. & CIA S.C.A., Cali, Colombia; DOB 19 Dec 1977; POB Cali, Colombia; citizen Colombia; nationality Colombia; Cedula No. 94518607 (Colombia); Passport P04555 (Colombia); alt. Passport AP237735 (Colombia) (individual) [SDNT]
RENGIFO OSPINA, Lina Milayi, c/o RED DE SERVICIOS INMOBILIARIO PROFESIONALES S.A., Bogota, Colombia; c/o MIRACANA INMOBILIARIA QUILCHAO S.A. & CIA S.C.A., Cali, Colombia; DOB 02 Jan 1982; POB Colombia; citizen Colombia; nationality Colombia; Cedula No. 80201385 (Colombia); Passport AH406973 (Colombia); alt. Passport AE294099 (Colombia) (individual) [SDNT]
RE ...
PROFESIONALES S.A., Bogota, Colombia; c/o CONSTRUCTORA UMBRIA S.A., Cali, Colombia; c/o FRONTERA VIRTUAL S.A., Bogota, Colombia; c/o MIRACANA SARL, 16 Rue Lilcha S.A. & CIA S.C.A., Cali, Colombia; c/o CENTRO COMERCIAL GUSS S.A., Cali, Colombia; DOB 22 Oct 1983; POB Bogota, Colombia; c/o representante legal en Colombia: Cedula No. 52965678 (Colombia); Passport A1087694 (Colombia); alt. Passport A0252127 (Colombia) (individual) [SDNT]

RENGIFO PUENTES, Ramiro (a.k.a. TORRIJOS, William; a.k.a. “LA LLÁVERIA”), c/o RUIZ DE ALARCON 12 S.L., Madrid, Spain; c/o RENEGIFO MANCERA & CIA S.C.A., Bogota, Colombia; Carrera 12 No. 90–19, Piso2, Bogota, Colombia; Calle 98 No. 9–41, Apt. 1102, Torre C, Bogota, Colombia; c/o RED DE SERVICIOS INMOBILIARIO PROFESIONALES S.A., Bogota, Colombia; Calle 99 No. 10–72, Bogota, Colombia; Madrid, Spain; DOB 18 Nov 1900; POB Cali; citizen Colombia; nationality Colombia; Ce-
dula No. 19187359 (Colombia); National Foreign ID Number X3093421J (Spain); Passport AG589478 (Colombia); alt. Passport A1912220 (Colombia) issued 30 Jul 2003 expires 30 Jul 2013; alt. Passport AI097654 (Colombia) (individual) [SDNT]

RENGIFO VALVERDE, Fabian Francisco, c/o WORLD LINE SYSTEM S.A., Palmira, Valle, Colombia; c/o NEGOCIOS Y CAPITALES S.A., Pereira, Colombia; c/o CECEP EDITORES S.A., Cali, Colombia; c/o CECEP S.A., Cali, Colombia; c/o APVA S.A., Cali, Colombia; c/o RFA CONSULTORES Y AUDITORES LTDA., Bogota, Colombia; Cali, Colombia; DOB 18 Oct 1963; Cedula No. 16999994 (Colombia) (individual) [SDNT]

RENTA CAMPEROS URABA LTDA., Cra. 101 No.94–33, Apartado, Antioquia, Colombia; Necocli, Antioquia, Colombia; Turbo, Antioquia, Colombia; Chigorodo, Antioquia, Colombia; NAT #890417652 (Colombia) [SDNTK]

RENT-A-CAR, S.A., Panama [CUBA]

RENTAR INMOBILIARIA S.A., Calle 10 No. 4–47 piso 18, Cali, Colombia; NAT #8905015–2 (Colombia) [SDNT]

RENTERIA CAICEDO, Beatriz Eugenia, c/o CANADUZ S.A., Cali, Colombia; c/o INVERSIONES AGROINDUSTRIALES DEL OCCIDENTE LTDA., Bogota, Colombia; Calle 100 Collins Avenue, Apt. 322–3, Sunny Isles Beach, FL 33160; Avenida 130 No. 7–20, Apt 806, Bogota, Colombia; Cali, Colombia; Avenida 11 No. 112–46, Cali, Colombia; c/o COMPANIA AGROPECUARIA DEL SUR LTDA., Bogota, Colombia; DOB 30 Nov 1977; citizen Colombia; nationality Colombia; Cedula No. 52924737 (Colombia); Passport AE290730 (Colombia); alt. Passport AG004885 (Colombia); SSN 584–33–3351 (United States) (individual) [SDNT]

RENTERIA CAICEDO, Maria Cecilia, Diag-
nal 130 No. 7–20, Apt. 806, Bogota, Colombia; 85 Brainerd Road, Townhouse 9, Allston, MA 02134; Avenida 11 No. 7N–166, Cali, Colombia; c/o CANADUZ S.A., Cali, Colombia; 18901 Collins Avenue, Apt. 322–3, Sunny Isles Beach, FL 33160; Calle 90 No. 10–05, Bogota, Colombia; c/o INVERSIONES AGROINDUSTRIALES DEL OCCIDENTE LTDA., Bogota, Colombia; c/o COMPANIA AGROPECUARIA DEL SUR LTDA., Bogota, Colombia; DOB 27 May 1981; POB Cali, Colombia; citizen Colombia; nationality Colombia; Cedula No. 52910645 (Colombia); Passport AD54180 (Colombia); alt. Passport A062588 (Colombia) (individual) [SDNT]

RENTERIA MANTILLA, Carlos Alberto (a.k.a. “BETO RENTERIA”), c/o COMPANIA AGROPECUARIA DEL SUR LTDA., Bogota, Colombia; c/o COLOMBO ANDINA COMERCIAL COALSA LTDA., Bogota, Colombia; c/o INVERSIONES AGROINDUSTRIALES DEL OCCIDENTE LTDA., Bogota, Colombia; Carrera 26 No. 29–75, Tulua, Colombia; c/o DIMABE LTDA., Bogota, Colombia; DOB 11 Mar 1945; POB Colombia; citizen Colombia; Ce-
dula No. 6914238 (individual) [SDNT]

REPARACIONES Y CONSTRUCCIONES LTDA. (a.k.a. RECONSTRUYE LTDA.), Avenida 6N No. 23DN–16 of. 402, Cali, Colombia; NAT #800033938–4 (Colombia) [SDNT]

REPRESENTACIONES INTUR, S.A. DE C.V., Antonio Ortiz 2409, Colonia Quintas Del Sol, Chihuahua, Chihuahua 31250, Mexico; R.R.F.C. RIN–010219 (Mexico) [SDNTK]

REPRESENTACIONES ORIENTE S.R.L., Urb. La Arboleda, Mz. F Int. 10, Trujillo, Peru; RUC #30275146675 (Peru) [SDNTK]

REPRESENTACIONES Y DISTRIBUCIONES HUERTAS Y ASOCIADOS S.A. (a.k.a. REPRESENTACIONES Y DISTRIBUCIONES HUERTAS Y ASOCIADOS LTDA.; a.k.a. TELEFARMA), Calle 124 No. 6–60, Bogota, Colombia; Avenida 42 No. 29–47, Bogota, Colombia; NAT #890527387–8 (Colombia) [SDNT]

REPUETOS EL NACO Y CIA LTDA., Calle 55 No. 50–111, Medellin, Colombia; NAT #811003763 (Colombia) [SDNTK]

RESTAURANTE BAR PUNTA DEL ESTE, Calle 17N No. 9N–67, Cali, Colombia; Matricula Mercantil No 387183–1 (Colombia) [SDNT]

RESTREPO CANO, Maria Del Pilar, c/o COPSERVIR LTDA., Bogota, Colombia; c/o DISTRIBUIDORA SANAR DE COLOMBIA LTDA., Bogota, Colombia; c/o MIRACANA SARL, 16 Rue Lilcha S.A. & CIA S.C.A., Cali, Colombia; c/o CHAMARTIN S.C.A., Bogota, Colombia; Carrera 12 No. 90–19, Piso2, Bogota, Colombia; 85 Brainerd Road, Townhouse 9, Allston, MA 02134; Avenida 11 No. 112–46, Cali, Colombia; c/o COMPANIA AGROPECUARIA DEL SUR LTDA., Bogota, Colombia; DOB 30 Nov 1977; citizen Colombia; nationality Colombia; Cedula No. 52924737 (Colombia); Passport AE290730 (Colombia); alt. Passport AG004885 (Colombia); SSN 584–33–3351 (United States) (individual) [SDNT]

REVOLUTIONARY ARMED FORCES OF COLOMBIA (a.k.a. FARC; a.k.a. FUERZAS ARMADAS REVOLUCIONARIAS DE COLOMBIA) (FTO) (SDGT) (SDNTK)

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REVOLUTIONARY ARMED FORCES OF COLOMBIA (a.k.a. FARC; a.k.a. FUERZAS ARMADAS REVOLUCIONARIAS DE COLOMBIA) (FTO) (SDGT) (SDNTK) (SDGT)

REVOLUTIONARY ARMED FORCES OF COLOMBIA (a.k.a. FARC; a.k.a. FUERZAS ARMADAS REVOLUCIONARIAS DE COLOMBIA) (FTO) (SDGT) (SDNTK) (SDGT)
RODRIGUEZ ARADAIA, William, c/o INVERSIONES MIGUEL RODRIGUEZ E HIJO, Cali, Colombia; c/o ANDINA DE CONSTRUCCIONES S.A., Cali, Colombia; c/o BLANCO PHARMA S.A., Bogota, Colombia; c/o VALORES MOBILIARIOS DE OCCIDENTE S.A., Bogota, Colombia; c/o REVISTA DEL AMERICA LTDA., Cali, Colombia; c/o SEGURIDAD DEL VALLE E.U., Cali, Colombia; c/o ALERO S.A., Cali, Colombia; c/o INTERAMERICA DE CONSTRUCCIONES S.A., Cali, Colombia; c/o DISTRIBUIDORA DE DROGAS CONDOR LTDA., Bogota, Colombia; c/o INVERSIONES ARA LTDA., Cali, Colombia; c/o DCAFRAMA S.A., Bogota, Colombia; c/o DISTRIBUIDORA MIGIL LTDA., Cali, Colombia; c/o MUNOZ Y RODRIGUEZ Y CIA. LTDA., Cali, Colombia; c/o DERECHO INTEGRAL Y CIA. LTDA., Cali, Colombia; c/o RADIO UNIDAS FM S.A., Cali, Colombia; c/o ASPOIR DEL PACIFICO Y CIA. LTDA., Cali, Colombia; c/o RONAP COMERCIO Y REPRESENTACIONES S.A., Quito, Ecuador; c/o ASISTENCIA PROFESIONAL ESPECIALIZADA EN COLOMBIA LIMITADA, Cali, Colombia; c/o BONOMERCADO S.A., Bogota, Colombia; c/o LABORATORIOS KRESSFOR DE COLOMBIA S.A., Bogota, Colombia; c/o PRODUCCIONES CARNAVAL DEL NORTE Y COMPANIA LIMITADA, Cali, Colombia; c/o CREDIREBAJA S.A., Cali, Colombia; c/o DEPOSITO POPULAR DE DROGAS S.A., Cali, Colombia; c/o DISTRIBUIDORA DE DROGAS LA REBAJA S.A., Bogota, Colombia; c/o LABORATORIOS BLAIMAR DE COLOMBIA S.A., Bogota, Colombia; c/o CLAUDIA PILAR RODRIGUEZ Y CIA. S.C.S., Bogota, Colombia; c/o M. RODRIGUEZ O. Y CIA. S. EN C., Cali, Colombia; c/o DROCARD S.A., Bogota, Colombia; c/o DROCARD, Cali, Colombia; DOB 31 Jul 1965; Cedula No. 16716259 (Colombia) (individual) (SDNT)

RODRIGUEZ ARBELAEZ, Juan Miguel, c/o INVERSIONES ARA LTDA., Cali, Colombia; c/o INVERSIONES RODRIGUEZ ABELAEZ Y CIA. S.C.S., Cali, Colombia; c/o INCOMERCA S.A., Cali, Colombia; c/o CREDIREBAJA S.A., Cali, Colombia; c/o ASISTENCIA PROFESIONAL ESPECIALIZADA EN COLOMBIA LIMITADA, Cali, Colombia; c/o VALORES MOBILIARIOS DE OCCIDENTE S.A., Cali, Colombia; Avenida del Lago Calle Cocli Casa 19 Ciudad Jardin, Cali, Colombia; c/o BONOMERCADO S.A., Bogota, Colombia; c/o FUNDASER, Cali, Colombia; c/o DECAFRAMA S.A., Bogota, Colombia; c/o DROCARD S.A., Bogota, Colombia; c/o M. RODRIGUEZ O. Y CIA. S.C.S., Cali, Colombia; DOB 19 Nov 1976; Cedula No. 94941335 (Colombia) (individual) (SDNT)

RODRIGUEZ ARBELAEZ, Maria Fernanda, c/o RONAP COMERCIO Y...
R O D R I G U E Z M O N D R A G O N, Jaime, c/o LABORATORIOS BLAIMAR DE COLOMBIA S.A., Bogota, Colombia; c/o DISTRIBUIDORA DE DROGAS CONDOR LTDA., Bogota, Colombia; c/o DEPOSITO POPULAR DE DROGAS S.A., Cali, Colombia; DOB 21 Jun 63; Cedula No. 16588683 (Colombia); alt. Passport AD387757 (Colombia); alt. DOB 28 Nov 1973; alt. DOB 28 Aug 1973; Cedula No. 66860965 (Colombia); alt. Passport AC568974 (Colombia) (individual) [SDNT]

R O D R I G U E Z M E N D I D A T A, Jorge Enrique (a.k.a. "IVAN VARGAS"); DOB 15 Jan 1963; POB Giron, Santander, Colombia; citizen Colombia; nationality Colombia; Cedula No. 5784696 (Colombia) (individual) [SDNTK]

R O D R I G U E Z M O N D R A G O N, Humberto, c/o COMERCIALIZADORA INTERTEL S.A., Cali, Colombia; c/o DECAFARMA S.A., Bogota, Colombia; c/o FUNDASER, Cali, Colombia; c/o MEGAPLAST S.A., Palmira, Valle, Colombia; c/o GRACADAL S.A., Cali, Colombia; c/o ASESORIAS PROFESIONALES ESPECIALIZADAS EN NEGOCIOS E.U., Cali, Colombia; c/o LABORATORIOS KRESSFOR DE COLOMBIA S.A., Bogota, Colombia; c/o ASPIRE EMPRESA UNIPERSONAL, Cali, Colombia; c/o FUNDASER, Cali, Colombia; c/o MEGAPLAST S.A., Palmira, Valle, Colombia; c/o JAROMO INVERSIONES S.L., Madrid, Spain; c/o LABORATORIOS KRESSFOR DE COLOMBIA S.A., Bogota, Colombia; c/o BONOMERCAD S.A., Bogota, Colombia; c/o DROCARD S.A., Bogota, Colombia; c/o DROFARCO, Barranquilla, Colombia; DOB 28 Nov 1973; alt. DOB 28 Aug 1973; Cedula No. 66860965 (Colombia); alt. Passport AC568974 (Colombia) (individual) [SDNT]

R O D R I G U E Z M O N D R A G O N, Jaime, c/o LABORATORIOS BLAIMAR DE COLOMBIA S.A., Bogota, Colombia; c/o DISTRIBUIDORA DE DROGAS CONDOR LTDA., Bogota, Colombia; c/o DEPOSITO POPULAR DE DROGAS S.A., Cali, Colombia; DOB 21 Jun 63; Cedula No. 16588683 (Colombia); alt. Passport AD387757 (Colombia); alt. DOB 28 Nov 1973; alt. DOB 28 Aug 1973; Cedula No. 66860965 (Colombia); alt. Passport AC568974 (Colombia) (individual) [SDNT]

R O D R I G U E Z M O N D R A G O N, Jaime, c/o LABORATORIOS BLAIMAR DE COLOMBIA S.A., Bogota, Colombia; c/o DISTRIBUIDORA DE DROGAS CONDOR LTDA., Bogota, Colombia; c/o DEPOSITO POPULAR DE DROGAS S.A., Cali, Colombia; DOB 21 Jun 63; Cedula No. 16588683 (Colombia); alt. Passport AD387757 (Colombia); alt. DOB 28 Nov 1973; alt. DOB 28 Aug 1973; Cedula No. 66860965 (Colombia); alt. Passport AC568974 (Colombia) (individual) [SDNT]

R O D R I G U E Z M O N D R A G O N, Jaime, c/o LABORATORIOS BLAIMAR DE COLOMBIA S.A., Bogota, Colombia; c/o DISTRIBUIDORA DE DROGAS CONDOR LTDA., Bogota, Colombia; c/o DEPOSITO POPULAR DE DROGAS S.A., Cali, Colombia; DOB 21 Jun 63; Cedula No. 16588683 (Colombia); alt. Passport AD387757 (Colombia); alt. DOB 28 Nov 1973; alt. DOB 28 Aug 1973; Cedula No. 66860965 (Colombia); alt. Passport AC568974 (Colombia) (individual) [SDNT]

R O D R I G U E Z M O N D R A G O N, Jaime, c/o LABORATORIOS BLAIMAR DE COLOMBIA S.A., Bogota, Colombia; c/o DISTRIBUIDORA DE DROGAS CONDOR LTDA., Bogota, Colombia; c/o DEPOSITO POPULAR DE DROGAS S.A., Cali, Colombia; DOB 21 Jun 63; Cedula No. 16588683 (Colombia); alt. Passport AD387757 (Colombia); alt. DOB 28 Nov 1973; alt. DOB 28 Aug 1973; Cedula No. 66860965 (Colombia); alt. Passport AC568974 (Colombia) (individual) [SDNT]

R O D R I G U E Z M O N D R A G O N, Jaime, c/o LABORATORIOS BLAIMAR DE COLOMBIA S.A., Bogota, Colombia; c/o DISTRIBUIDORA DE DROGAS CONDOR LTDA., Bogota, Colombia; c/o DEPOSITO POPULAR DE DROGAS S.A., Cali, Colombia; DOB 21 Jun 63; Cedula No. 16588683 (Colombia); alt. Passport AD387757 (Colombia); alt. DOB 28 Nov 1973; alt. DOB 28 Aug 1973; Cedula No. 66860965 (Colombia); alt. Passport AC568974 (Colombia) (individual) [SDNT]

R O D R I G U E Z M O N D R A G O N, Jaime, c/o LABORATORIOS BLAIMAR DE COLOMBIA S.A., Bogota, Colombia; c/o DISTRIBUIDORA DE DROGAS CONDOR LTDA., Bogota, Colombia; c/o DEPOSITO POPULAR DE DROGAS S.A., Cali, Colombia; DOB 21 Jun 63; Cedula No. 16588683 (Colombia); alt. Passport AD387757 (Colombia); alt. DOB 28 Nov 1973; alt. DOB 28 Aug 1973; Cedula No. 66860965 (Colombia); alt. Passport AC568974 (Colombia) (individual) [SDNT]

R O D R I G U E Z M O N D R A G O N, Jaime, c/o LABORATORIOS BLAIMAR DE COLOMBIA S.A., Bogota, Colombia; c/o DISTRIBUIDORA DE DROGAS CONDOR LTDA., Bogota, Colombia; c/o DEPOSITO POPULAR DE DROGAS S.A., Cali, Colombia; DOB 21 Jun 63; Cedula No. 16588683 (Colombia); alt. Passport AD387757 (Colombia); alt. DOB 28 Nov 1973; alt. DOB 28 Aug 1973; Cedula No. 66860965 (Colombia); alt. Passport AC568974 (Colombia) (individual) [SDNT]
RODRIGUEZ RAMIREZ, Claudia Pilar, c/o DEPOSITO POPULAR DE DROGAS S.A., Cali, Colombia; c/o CREDIREBAJA S.A., Cali, Colombia; c/o INTERAMERICANA DE CONSTRUCCIONES S.A., Cali, Colombia; c/o DROCARD S.A., Bogota, Colombia; c/o INVERSIONES CLAUP S.L., Madrid, Colombia; c/o BONOMERCAD S.A., Bogota, Colombia; c/o ALERO S.A., Cali, Colombia; c/o FARMATODO S.A., Bogota, Colombia; c/o LABORATORIOS KRESSFOR DE COLOMBIA S.A., Bogota, Colombia; c/o LABORATORIOS BLAIMAR DE COLOMBIA S.A., Bogota, Colombia; c/o DISTRIBUIDORA DE DROGAS LA REBAJADA S.A., Bogota, Colombia; c/o DISTRIBUIDORA MIGIL LTDA., Cali, Colombia; c/o DIRECCION COMERCIAL Y MARKETING CONSULTORIA EMPRESA UNIPERSONAL, Bogota, Colombia; c/o DISTRIBUIDORA DE DROGAS CONDOR LTDA., Bogota, Colombia; c/o GRACADAL S.A., Cali, Colombia; c/o CLAUDIA PILAR RODRIGUEZ Y CIA. S.C.S., Bogota, Colombia; c/o DEFAFA S.A., Bogota, Colombia; DOB 30 Jun 1963; alt. DOB 1966; alt. DOB 30 Aug 1966; Cedula No. 51741013 (Colombia); Passport 51741013 (Colombia); alt. Passport 007281 (Colombia); alt. Passport 007281 (Colombia); alt. Passport 007281 (Colombia); alt. Passport P0555266 (Colombia) (individual) [SDNT]

RODRIGUEZ TELLEZ, Luz Yazmin (a.k.a. RODRIGUEZ TELLEZ, Luz Jazmin), c/o MATERIAS PRIMAS Y SUMINISTROS S.A., Bogota, Colombia; c/o LABORATORIOS PROFARMA LTDA., Bogota, Colombia; DOB 30 Apr 1972; Cedula No. 52030300 (Colombia); Passport 52030300 (Colombia) (individual) [SDNT]

RODRIGUEZ Y TOLBANOS S.A., Plaza de España 2, 1-6, Alcala de Henares, Madrid, Spain; Perno. Ind. Camproresco, C Buenos Aires, 1 nave 15, 38006 Alcala de Henares, Madrid, Spain; C.I.F. A82467887 (Spain) [SDNT]

RODRIGUEZ BORGES, Jesus (a.k.a. RODRIGUEZ BORGES, Jesus), Panama (individual) [CUBA]

RODRIGUEZ, Jose Julio, 20 Ironmonger Lane, London EC2V 8EY, United Kingdom; Chairman, Havana International Bank (individual) [CUBA]

ROGULIC, Slavko; DOB 1962 (individual) [BALKANS]

ROJAS BECERRA, Andres Felipe, c/o COMERCIALIZADORA INTERTEL S.A., Cali, Colombia; c/o CONTACTEL COMUNICACIONES S.A., Cali, Colombia; DOB 18 Feb 1978; Cedula No. 94520044 (Colombia); Passport 94520044 (Colombia) (individual) [SDNT]

ROJAS DE MENDOZA, Marleny, c/o COOPIFARMA, Bucaramanga, Colombia; Carrera 17 No. 17–45, Bucaramanga, Colombia; DOB 26 Jan 1956; Cedula No. 63266997 (Colombia) (individual) [SDNT]

ROJAS FRANCO, Jaime, Colombia; DOB 24 Dec 1957; POB Cartago, Valle, Colombia; citizen Colombia; nationality Colombia; Cedula No. 16210083 (Colombia) (individual) [SDNT]

ROJAS GALARZA, Carmen Amparo, Carrera 35 No. 10–130, Cali, Colombia; c/o CREDIREBAJA S.A., Cali, Colombia; Cedula No. 3451289 (Colombia) (individual) [SDNT]

ROJAS GOMEZ, Myriam Yaneth, c/o VALORCORP S.A., Bogota, Colombia; Cedula No. 25223212 (Colombia) (individual) [SDNT]

ROJAS MEJIA, Hernan, c/o OCCIDENTAL COMUNICACIONES LTDA., Cali, Colombia; c/o INVERSIONES Y CONSTRUCCIONES ABC S.A., Cali, Colombia; Calle 2A Oeste No. 218–45 apt. 500A, Cali, Colombia; c/o COLOR 99.5 FM STEREO, Cali, Colombia; Calle 6A No. 9N–34, Cali, Colombia; c/o CONSTRUCCIONES COLOMBO-ANDINAS LTDA., Bogota, Colombia; DOB 26 Aug 1948; Cedula No. 2342851 (Colombia) (individual) [SDNT]

ROJAS MONTOYA, Maritza, c/o GRAJALES S.A., La Union, Valle, Colombia; c/o CASA GRAJALES S.A., La Union, Valle, Colombia; c/o INVERSIONES AGUILA LTDA., La Union, Valle, Colombia; c/o IBADAN LTDA., Tulua, Valle, Colombia; c/o FREXCO S.A., La Union, Valle, Colombia; Cedula No. 3183109 (Colombia) (individual) [SDNT]

ROJAS ORTIS, Rosa, c/o ALFA PHARMA S.A., Cali, Colombia; DOB 9 Nov 1941; Cedula No. 2677444 (Colombia) (individual) [SDNT]

ROJAS SALAMANCA, Myrtam, c/o LEMOFAR LTDA., Bogota, Colombia; c/o LABORATORIOS KRESSFOR DE COLOMBIA S.A., Bogota, Colombia; c/o GENERICOS ESPECIALES S.A., Bogota, Colombia; DOB 3 Apr 1959; Cedula No. 3524270 (Colombia); Passport 3524270 (Colombia) (individual) [SDNT]

ROJAS VARGAS, Alberto, c/o ESPIBENA S.A., Quito, Ecuador; c/o COLFARMA PERU S.A., Lima, Peru; c/o FARFALLA INVESTMENT S.A., Panama City, Panama; Cedula No. 13922413 (Colombia) (individual) [SDNT]

ROJAS VILLARRREAL, Andres Mauricio, c/o GIAMX LTDA., Bogota, Colombia; c/o WORLD TRADE LTDA., Bogota, Colombia; Cedula No. 80415760 (Colombia) (individual) [SDNT]

ROLDAN SALCEDO, Fabio, c/o CONSTRUCTORA SANTA TERESITA S.A., Cali, Colombia; DOB 08 Aug 1954; DOB Buga, Valle, Colombia; Cedula No. 14675949 (Colombia) (individual) [SDNT]

ROLDAN SALCEDO, Milena, c/o CARMILE INVERSIONES LOPEZ Y CIA. S.C.A., Cali, Colombia; c/o INVERSIONES MEDICAS Y QUIRURGICAS ESPECIALIZADAS LTDA.,...
Cal, Colombia; c/o UNIVISA S.A., Cali, Colombia; DOB 09 Feb 1960; Cedula No. 38858386 (Colombia); Passport PO66565 (Colombia) (individual) [SDNT]

ROMAN DOMINGUEZ, Erika, c/o TAURA S.A., Cali, Colombia; Cedula No. 66955540 (Colombia) (individual) [SDNT]

ROMO, Charles (a.k.a. ROMEO, Charles) (individual) [CUBA]

ROMERO VARELA, Carlos Ali (a.k.a. MARTINEZ Richa); c/o LOS GNOMOS LTDA., Cali, Colombia; c/o SOCIEDAD DE COMERCIALIZACION INTERNACIONAL POSEIDON S.A., Sabaneta, Antioquia, Colombia; DOB 19 Mar 1958; alt. DOB 19 Feb 1958; Cedula No. 13447909 (Colombia); Passport B0088212 (Venezuela) (individual) [SDNT]

ROMO LOPEZ, Martin (a.k.a. ROMO LOPEZ, Martin de Jesus), Piedras Negras, Coahuila, Mexico; DOB 02 Jun 1964; POB Tabasco, Zacatecas; citizen Mexico; nationality Mexico; C.U.R.P. ROLM640602HZSMPR05 (Mexico) (individual) [SDNT]

ROPERO SUAREZ, Emiro del Carmen (a.k.a. "RUBEN ZAMORA"); DOB 2 Sep 1962; POB Municipio de Nueva Granada, Norte de Santander, Colombia; citizen Colombia; nationality Colombia; Cedula No. 13461523 (Colombia) (individual) [SDNT]

RÓBERT, Miria Contreras (a.k.a. CONTRERAS, Miria), Paris, France (individual) [CUBA]

ROQUE PEREZ, Roberto, Panama (individual) [CUBA]

ROSALES DIAZ, Hector Emilio, c/o CONCEPTOS CALI S.A., Cali, Colombia; c/o INVERSIONES GEMINIS S.A., Cali, Colombia; c/o INDUSTRIA AVICOLA PALMASECA S.A., Cali, Colombia; c/o CONSTRUCTORA DIMISA LTDA., Cali, Colombia; c/o COMPANIA ADMINISTRADORA DE VIVIENDA S.A., Cali, Colombia; c/o INVERSIONES EL PORTON S.A., Cali, Colombia; c/o MERCACVOLA LTDA., Cali, Colombia; c/o INVERSIONES VILLA PAZ S.A., Cali, Colombia; c/o ADMINISTRACION RIOS MILLARIANA ROLIVAR S.A., Cali, Colombia; DOB 1 Apr 1955; Cedula No. 16588924 (Colombia) (individual) [SDNT]

ROSALÉS MENDEZ, Carlos Alberto (a.k.a. ROSALÉS MENDOZA, Carlos), Petacalco, Guerrero, Mexico; Michoacan, Mexico; DOB 12 Feb 1963; POB Guerrero, Michoacan; alt. POB El Naranjito, La Union, Guerrero, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. ROMC630212HGRSNR09 (Mexico) (individual) [SDNT]

ROSARIO NIEBLA CARDIZA, E. P. (a.k.a. GASOLINERA ROSARIO), Avenida Manuel Vallarta 2141, Colonia Centro, Culiacan, Sinaloa 80129, Mexico; R.F.C. NICR-461006-T96 (Mexico) [SDNT]

ROSE ISLANDS (vessel) [CUBA]

ROSSERO ANGULO, German, c/o LA HOLONDA S.A., Cali, Colombia; Calle 40 No. 27-39, Cali, Colombia; Mexico; DOB 07 Oct 1964; POB Iquiles, Narino, Colombia; Cedula No. 16708846 (Colombia); Passport AF832289 (Colombia) (individual) [SDNT]

ROUINE, Lazher Ben Khalifa Ben Ahmed (a.k.a. ROUINE, Al-Azhar Ben Khalifa Ben Ahmed; a.k.a. "LAZHAR"); a.k.a. "SALMANE"); Vicolo San Giovanni, Rimini, Italy; DOB 20 Nov 1975; POB Shax, Tunisia; nationality Tunisia; Passport P 1825683 issued 13 Sep 2005 expires 12 Sep 2007; arrested 30 Sep 2002 (individual) [SDGT]

ROYAL KUMUDRA HOTEL, No. 9 Hotel Zone, Nay Pyi Taw, Burma; No. 1 Ywama Curve, Ba Yint Naung Road, Block (2), Hlaing Township, Rangoon, Burma (JADE) [BURMA]

ROZO CLAVILLO, Miguel Antonio, c/o CONSTRUCTORA ALTOS DEL RÉTIDO LTDA., Bogota, Colombia; DOB 18 Aug 1943; Cedula No. 17093270 (Colombia) (individual) [SDNT]

RR TOUR, S.A. DE C.V., Lopez Cotilla 1994, C.P. 44146, Guadalajara, Mexico [SDNT]

RUBENACH ROIG, Juan Luis; DOB 18 Sep 1964; POB Bilbao Vizcaya Province, Spain; D.N.I. 18.197.545; Member ETA (individual) [SDGT]

RUBIO ZAGA, Jesus Roman, c/o ILC EXPORTACIONES, S. DE R.L. DE C.V., Mexico, Distrito Federal, Mexico; DOB 28 Aug 1973; POB Coyoacan, Distrito Federal, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. RUGZ730828HDFBGS08 (Mexico) (individual) [SDNT]

RUEDA FAJARDO, Herberth Gonzalez, c/o LABORATORIOS GENERICOS VETERINARIOS, Bogota, Colombia; c/o FARMACOOP, Bogota, Colombia; c/o LABORATORIOS KRESSFOR DE COLOMBIA S.A., Bogota, Colombia; DOB 06 Oct 1964; Cedula No. 12126395 (Colombia) (individual) [SDNT]

RUEDA GIL, Camilo (a.k.a. "EL PAISA"); a.k.a. "EL PRIMO"; a.k.a. "MUNECA"), Colombia; DOB 03 Aug 1969; POB Bogota, Colombia; citizen Colombia; nationality Colombia; Cedula No. 79499884 (Colombia); Passport AJ520060 (Colombia) (individual) [SDNT]

RUEDA MEDINA, Jose Arnoldo (a.k.a. FLACO; a.k.a. LA MINSA; a.k.a. LOPEZ HUERTA, Arnoldo; a.k.a. LOPEZ RUEDA, Jose Arnoldo; a.k.a. MODELO); DOB 15 Dec 1968; alt. DOB 27 Dec 1969; POB Michoacan, Mexico; alt. POB Paracuaro, Mexico; nationality Mexico; C.U.R.P. RUMA691215HMNDDR08 (Mexico) (individual) [SDNT]

RUELAS MARTINEZ, Felipe, Calle Ventisca 2359 Secc. Dorado, Colonia Playas de Tijuana, Tijuana, Baja California, Mexico; Calle Saino 5, Colonia Hacienda del Ruina, Tijuana, Baja California, Mexico; POB Tijuana, Baja California, Mexico; nationality Mexico; C.U.R.P. RUEJ731212HFBGSR08 (Mexico) (individual) [SDNT]
Tepeyac, Zapopan, Jalisco CP 45053, Mexico; DOB 6 Jun 1962 (individual) [SDNTK]
RUELAS MARTINEZ, Jose de la Cruz, Calle de la Ventisca 640, Colonia Playas Secction Dorado, Tijuana, Baja California CP 22200, Mexico; c/o CONSULTORIA DE INTERDIVISAS, S.A. DE C.V., Tijuana, Baja California, Mexico; c/o MULTISERVICIOS GAMAL, S.A. DE C.V., Tijuana, Baja California, Mexico; Calle Ventisca 2359 Sec. Dorado, Colonia Playas de Tijuana, Tijuana, Baja California, Mexico; DOB 30 Mar 1965; P.O.B Guadalajara, Jalisco, Mexico; Passport 01620025629 (Mexico) (individual) [SDNTK]
RUELAS MARTINEZ, Jose Manuel, c/o MULTISERVICIOS SIGLO, S.A. DE C.V., Tijuana, Baja California, Mexico; Esmeralda 3091, Colonia Residencial Victor, Car CR 45651, Zapopan, Jalisco CP 44559, Mexico; 602 Milagrosa Circle, Chula Vista, CA 91916; c/o GLOBAL FILMS, S.A. DE C.V., Tijuana, Baja California, Mexico; c/o HACIENDA DE DON JOSE RESTAURANT BAR, S.A. DE C.V., Tijuana, Baja California, Mexico; Av. Pqye. Mexico Nte. 824, Colonia Playas de Tijuana, Tijuana, Baja California CP 22200, Mexico; c/o MULTISERVICIOS ALPHA, S.A. DE C.V., Tijuana, Baja California, Mexico; c/o CONSULTORIA DE OCCIDENTE, S.A. DE C.V., Guadalajara, Jalisco, Mexico; DOB 16 Jun 1969; POB Tijuana, Baja California, Mexico; alt. POB Guadalajara, Jalisco, Mexico; Passport 036182292 (United States); R.F.C. RUMM-600616-G99 (Mexico); SSN 622-22-1486 (United States) (individual) [SDNTK]
RUELAS TOPETE, Carlos Antonio, Calle de la Bahia 3178, Colonia Playas Costa Hermosa, Tijuana, Baja California CP 22240, Mexico; Calle Ventiscas 2359 Sec. Dorado, Colonia Playas de Tijuana, Tijuana, Baja California, Mexico; c/o HACIENDA DE DON JOSE RESTAURANT BAR, S.A. DE C.V., Tijuana, Baja California, Mexico; DOB 12 Aug 1965; P.O.B Guadalajara, Jalisco, Mexico; R.F.C. RUTC-670220-DYO (Mexico) (individual) [SDNTK]
RUELAS TOPETE, Eduardo, Calle del Volcan 682, Colonia Playas de Tijuana, Tijuana, Baja California CP 22240, Mexico; Calle Ventisca 2359 Sec. Dorado, Colonia Playas de Tijuana, Tijuana, Baja California, Mexico; c/o HACIENDA DE DON JOSE RESTAURANT BAR, S.A. DE C.V., Tijuana, Baja California, Mexico; DOB 20 Feb 1967; P.O.B Guadalajara, Jalisco, Mexico; R.F.C. RUTC–670220–DVO (Mexico) (individual) [SDNTK]
RUELAS TOPETE, Jose Luis, c/o CONSULTORIA DE OCCIDENTE, S.A. DE C.V., Guadalajara, Jalisco, Mexico; DOB 13 Aug 1970; P.O.B Guadalajara, Jalisco, Mexico; R.F.C. RUTL–700813–L31 (Mexico) (individual) [SDNTK]
RUIZ CASTANO, Maria Helena, c/o LADRIERIA LA CANDELARIA LTDA., Cali, Colombia; DOB 17 Oct 1970; Passport D.N. 696013635 (Colombia); Passport 69601363 (Colombia) (individual) [SDNT]
RUIZ DE ALARCON 12 S.L. Calle Ruiz de Alarcon 12, Madrid 28014, Spain; V.A.T. Number ES B83031682 (Spain) (SDNT)
RUIZ HERNANDEZ, Gregorio Rafael, c/o COMERCIALIZADORA OROBANCA, Cali, Colombia; DOB 20 May 1963; Cedula No. 16232501 (Colombia) (individual) [SDNT]
RUIZ POO, Ramon Miguel, Panama (individual) [CUBA]
RUIZ TLAPANCO, Sergio Enrique, Mexico; DOB 08 Oct 1972; citizen Mexico; national-ality Mexico; R.F.C. RUTS721008 (Mexico) (individual) [SDNTK]
RUIZ ZAVALA, Aleyda (a.k.a. RUIZ ZAVALA, Aleida), Calle Cerro de la Memoria No. 1976, Fraccionamiento Colinas de San Miguel, Culiacan, Sinaloa, Mexico; c/o TOYS FACTORY, S.A. DE C.V., Tijuana, Baja California, Mexico; c/o COMERCIALIZADORA BRIMAR’S, S.A. DE C.V., Culiacan, Sinaloa, Mexico; c/o SIN-MEX IMPORTADORA, S.A. DE C.V., Mexico, Distrito Federal, Mexico; DOB 10 May 1962; POB Tamazula, Durango, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. RUZA620510MDGZVL04 (Mexico); Electoral Registry No. RZZVAL6205108L5 (Mexico) (individual) [SDNTK]
RUNGRIN COMPANY LTD. (a.k.a. BORISAT RUNGRIN CHAMKAT), 275 Soi Thiam Ruammit, Ratchada Phisek Road, Huai Khwang district, Bangkok, Thailand (INDIA)
RUPRAH, Sanjivan Singh (a.k.a. "NASR, Samir M."); DOB 9 Aug 1966; POB Kisumu, Kenya; nationality Kenya; Passport 790015037 (United Kingdom) issued 19 Jul 1998 expires 10 Jul 2008; alt. Passport D-001829-00 (Liberia); Businessman; Former Deputy Commissioner, Bureau of Maritime Affairs of Liberia (individual) [DRCONGO] (LIBERIA)
RUSAKEVICH, Vladimir Vasilyevich (a.k.a. RUSAKEVICH, Uladzimir Vasilievich); DOB 13 Sep 1947; POB Vygonoschi, Belarus; citizen Belarus; nationality Belarus; Minister of Information (individual) [BELARUS]
RUSDAN, Abu (a.k.a. ABU THORIQ; a.k.a. RUSJAN; a.k.a. RUSDIJAN; a.k.a. RUSJAN; a.k.a. TORIQUDDIN; a.k.a. THORIQUDDIN; a.k.a. THORIQUDODIN); DOB 16 Aug 1969; POB Kusua, Central Java, Indonesia (individual) [SDGT]
RUSERE, Tinos, 12 Cooke Avenue, Southerton, Harare, Zimbabwe; DOB 10 May 1949; Deputy Minister of Mines and
Mining Development (individual) [ZIMBABWE]

RUSHITI, Sait (a.k.a. RUXHETI, Sait); DOB 7 Nov 1966 (individual) [BALKANS]

RZOOKI, Hanna, Iraq; Chairman of REAL ESTATE BANK (individual) [IRAQ]

S H NG TRADING, 3 Shenton Way, #10–01 Shenton House, Singapore 068805, Singapore [BURMA]

S.M.I. SEWING MACHINES ITALY S.P.A., Italy [IRAQ]

SAAVEDRA ARCE, Rodrigo Eugenio, c/o BOSQUE DE SANTA TERESITA LTDA., Cali, Colombia; c/o CONSTRUCTORA SANTA TERESITA S.A., Cali, Colombia; c/o SAAVEDRA Y CIA. S. EN C., Cali, Colombia; DOB 30 Oct 1942; Cedula No. 16236683 (Colombia); Passport APS9666 (Colombia) (individual) [SDNT]

SAAVEDRA RESTREPO, Jesus Maria, Calle 5 No. 46–83 Local 119, Cali, Colombia; c/o CONSTRUCTORA DIMISA LTDA., Cali, Colombia; c/o INMOBILIARIA U.M.V. S.A., Cali, Colombia; c/o CONCRETOS CALI S.A., Cali, Colombia; DOB 10 Jul 1956; Cedula No. 1969462 (Colombia) (individual) [SDNT]

SAAVEDRA Y CIA. S. EN C., Avenida 6N No. 12773520 (Venezuela); alt. Cedula No. 18505378 (Colombia); alt. Cedula No. 21171060 (Venezuela); alt. Cedula No. 12725620 (Venezuela); alt. Cedula No. 12727360 (Venezuela); alt. Cedula No. 12773520 (Venezuela); alt. Cedula No. 15133197 (Colombia); Passport 18505378 (Colombia) (individual) [SDNT]

SABBAGH DE CURE, Maria Dunia, c/o FUDIA LTDA., Barranquilla, Colombia; DOB 02 Jan 1947; POB Barranquilla, Colombia; Cedula No. 33278803 (Colombia); Passport AES30188 (Colombia) (individual) [SDNT]

SABAGH Y CIA. S.C.S., Barranquilla, Colombia; DOB 18 May 1958; Cedula No. 16236683 (Colombia) (individual) [SDNT]

SABOGAL ZULUAGA, Orlando (a.k.a. COADER, VIVAS, Juan Pablo; a.k.a. GUILLEN JIMENEZ, Carlos Alberto; a.k.a. SABOGAL, Alberto; a.k.a. SALAZAR QUINTERO, Carlos Alberto; a.k.a. “CAREQUESO” a.k.a. “EL MONO SABOGAL”), Calle 14 No. 30–153, Medellin, Antioquia, Colombia; Paseo 5 de Julio, Barrio Libertad; Municipio Bolivar, Tachira, Venezuela; Paseo 5 de Julio, Barrio Libertad, San Antonio, Tachira, Venezuela; Calle 18 No. 5N–21, Apt. 302, Cartago, Colombia; c/o ORLANDO SABOGAL ZULUAGA E HIJOS & CIA S EN C, Colombia; Calle 30 No. 3B–45, La Campina, Pereira, Risaralda, Colombia; Caracas, Venezuela; DOB 22 Feb 1966; alt. DOB 16 Sep 1965; POB Toro, Valle, Colombia; Cedula No. 21171060 (Venezuela); alt. Cedula No. 18505378 (Colombia); alt. Cedula No. 12773520 (Venezuela); alt. Cedula No. 12725620 (Venezuela); alt. Cedula No. 12727360 (Venezuela); alt. Passport AC385727 (Colombia); alt. Passport AG496255 (Colombia); alt. Passport AE539268 (Colombia) (individual) [SDNT]

SACKS FACTORY (a.k.a. PLASTIC SACKS FACTORY), P.O. Box 2328, Khartoum, Sudan [SUDAN]

SAEED, Muhammad (a.k.a. HAFIZ SAHIP; a.k.a. SAEED, Hafiz; a.k.a. SAEED, Hafiz Mohammad; a.k.a. SAEED, Hafiz Muhammad; a.k.a. SAEED, Hafiz Mohammad; a.k.a. SAYED, Hafiz Mohammad; a.k.a. SAYID, Hafiz Mohammad; a.k.a. “TATA JI”), House No. 116 E, Mohalla Johar, Town: Lahore, Tehsil: Lahore City, Lahore District, Pakistan; DOB 5 Jan 1956; POB Sargodha, Punjab, Pakistan; nationality Pakistan; National ID No. 3520025509842–7 (Pakistan) (individual) [SDGT]

SAENZ VARGAS, Guillermo Leon (a.k.a. “ALFONSO CANO”); DOB 22 Jul 1948; POB Bogota, Cundinamarca, Colombia; Cedula No. 17122751 (Colombia) (individual) [SDNTK]

SAEZ DE EGUIALAZ MURGUNDO, Carlos; DOB 9 Dec 1963; POB San Sebastian, Guipuzcoa Province, Spain; D.N.I. 13.962.867 (Spain); Member ETA (individual) [SDGT]

SAF TECH S.L., Calle Serrano 52, Barcelona 08021, Spain; C.R. No. B62398060 (Spain) [SDNTK]

SAFAVI, Yahya Rahim (a.k.a. AL-SIFAWI, Yahya Rahim; a.k.a. RAHIM-SAFAVI, Yahya; a.k.a. SAFAVI, Rahim; a.k.a. YAHYA RAHIM-SAFAVI, Seyyed; a.k.a. YAHYA SAFAVI, Sayed); DOB circa 1952; POB Esfahan, Iran (individual) [NPWMD]

SAFETY EQUIPMENT PROCUREMENT COMPANY (a.k.a. “SEP CO.”), P.O. Box 16785–195, Tehran, Iran [NPWMD]

SAHAND (a.k.a. IRAN SAHAND); Vessel Registration Identification IMO 9365924 (vessel) [NPWMD]

SAFEGE, Shoukry (a.k.a. SHAHAB, Shoukry Hafez); DOB circa 1975; POB Egypt (individual) [SDNTK]

SAFEGE, Shoukry (a.k.a. SHAHAB, Shoukry Hafez); DOB circa 1975; POB Egypt (individual) [SDNTK]

SAFETI, Mohamed (a.k.a. HAFIZ SAHIP; a.k.a. SAEED, Hafiz; a.k.a. SAEED, Hafiz Mohammad; a.k.a. SAEED, Hafiz Muhammad; a.k.a. SAEED, Hafiz Mohammad; a.k.a. SAYED, Hafiz Mohammad; a.k.a. SAYID, Hafiz Mohammad; a.k.a. “TATA JI”), House No. 116 E, Mohalla Johar, Town: Lahore, Tehsil: Lahore City, Lahore District, Pakistan; DOB 5 Jan 1956; POB Sargodha, Punjab, Pakistan; nationality Pakistan; National ID No. 3520025509842–7 (Pakistan) (individual) [SDGT]

SAEED, Muhammad (a.k.a. HAFIZ SAHIP; a.k.a. SAEED, Hafiz; a.k.a. SAEED, Hafiz Mohammad; a.k.a. SAEED, Hafiz Muhammad; a.k.a. SAEED, Hafiz Mohammad; a.k.a. SAYED, Hafiz Mohammad; a.k.a. SAYID, Hafiz Mohammad; a.k.a. “TATA JI”), House No. 116 E, Mohalla Johar, Town: Lahore, Tehsil: Lahore City, Lahore District, Pakistan; DOB 5 Jan 1956; POB Sargodha, Punjab, Pakistan; nationality Pakistan; National ID No. 3520025509842–7 (Pakistan) (individual) [SDGT]

SAEED, Muhammad (a.k.a. HAFIZ SAHIP; a.k.a. SAEED, Hafiz; a.k.a. SAEED, Hafiz Mohammad; a.k.a. SAEED, Hafiz Muhammad; a.k.a. SAEED, Hafiz Mohammad; a.k.a. SAYED, Hafiz Mohammad; a.k.a. SAYID, Hafiz Mohammad; a.k.a. “TATA JI”), House No. 116 E, Mohalla Johar, Town: Lahore, Tehsil: Lahore City, Lahore District, Pakistan; DOB 5 Jan 1956; POB Sargodha, Punjab, Pakistan; nationality Pakistan; National ID No. 3520025509842–7 (Pakistan) (individual) [SDGT]

SAI, Mohamad (a.k.a. AOM, Mohamed Sa'id; a.k.a. AOM, Mohamed Slad; a.k.a. “ATOM”), Badhan, Somalia; Galgala, Puntland, Somalia; DOB circa 1966; POB Galgala, Puntland, Somalia (individual) [SOMALIA]

SAIIEH JAMIS, Carlos Ernesto, 780 NW 42nd Avenue, Suite 516, Miami, FL 33126; c/o URBANIZADORA ALTAVISTA INTERNACIONAL S.A., Barranquilla, Colombia; c/o RIXFORD INVESTMENT CORPORATION, Panama City, Panama; c/o
FINANZAS DEL NORTE LUIS SAIEH Y CIA. S.C.A., Barranquilla, Colombia; 9100 South Dadeland Boulevard, Suite 912, Miami, FL 33156; c/o VILLAROSA INVESTMENTS FLORIDA, INC., Miami, FL; c/o RAMAL S.A., Bogota, Colombia; c/o KAREN OVERSEAS, INC., Panama City, Panama; c/o ALMACAES S.A., Bogota, Colombia; c/o MLA INVESTMENTS, INC., North Miami Beach, FL; c/o VILLAROSA INVESTMENTS CORP., Miami, FL; c/o VILLAROSA INVESTMENTS CORP., Panama City, Panama; c/o URRANIZADORA ALTAVISTA INTERNACIONAL S.A., Barranquilla, Colombia; c/o KAREN OVERSEAS, INC., Panama City, Panama; c/o ELIZABETH OVERSEAS INC., Panama City, Panama; DOB 19 Dec 1919; citizen Colombia; Cedula No. 812202 (Colombia); Passport AF547128 (Colombia) (individual) [SDNT]

SAIEH MUVDI, Moises Abdala; c/o KATTUS II CORPORATION, Panama City, Panama; c/o ILOVIN S.A., Bogota, Colombia; c/o C.W. SALMAN PARTNERS, Miami, FL; c/o CORPORATION DE ALMACENES POR DEPARTAMENTOS S.A., Bogota, Colombia; c/o CARLOS SAIEH Y CIA. S.C.A., Barranquilla, Atlantico, Colombia; c/o KAREN OVERSEAS FLORIDA, INC., Miami, FL; c/o CONSTRUCTORA ALTAVISTA INTERNACIONAL S.A., Barranquilla, Colombia; c/o CONFECCIONES LORD S.A., Barranquilla, Atlantico, Colombia; c/o MLA INVESTMENTS, INC., Virgin Islands, British; c/o RIXFORD INVESTMENTS A.V.V., Oranjestad, Aruba; c/o C.W. SALMAN PARTNERS, Miami, FL; c/o BRUNELLO LTD, Grand Cayman, Cayman Islands; DOB 24 Feb 1966; POB Barranquilla, Colombia; citizen Colombia; nationality Colombia; Cedula No. 8739066 (Colombia); Passport AF547128 (Colombia) (individual) [SDNT]

SAIEH JASSIR, Abdala, Carrera 56 No.19-40 Apt. 11, Barranquilla, Colombia; c/o VILLAROSA INVESTMENTS FLORIDA, INC., Miami, FL; c/o CONFECCIONES LORD S.A., Barranquilla, Atlantico, Colombia; 780 NW Le Jeune Rd, Suite 516, Miami, FL 33126; c/o VILLAROSA INVESTMENTS CORP., Miami, FL; c/o KATTUS CORPORATION, Barbados; c/o KAREN OVERSEAS FLORIDA, INC., Miami, FL; c/o VILLAROSA INVESTMENTS CORP., Miami, FL; c/o CONSTRUCTORA ALTAVISTA INTERNACIONAL S.A., Barranquilla, Colombia; c/o MLA INVESTMENTS, INC., Virgin Islands, British; c/o RIXFORD INVESTMENTS A.V.V., Oranjestad, Aruba; c/o C.W. SALMAN PARTNERS, Miami, FL; c/o BRUNELLO LTD, Grand Cayman, Cayman Islands; DOB 24 Feb 1966; POB Barranquilla, Colombia; citizen Colombia; nationality Colombia; Cedula No. 8739066 (Colombia); Passport AF547128 (Colombia) (individual) [SDNT]

SAID, Shaykh (a.k.a. AHMAD, Mustafa Mohammad); POB Egypt (individual) [SDGT]

SAINOVIC, Nikola; DOB 7 Dec 1948; POB Jajce, Bosnia and Herzegovina; Ex-FRY Deputy Prime Minister; ICTY indictee in custody (individual) [HALKAN]
SAKABUYA, Morris; Deputy Minister of Local Government, Public Works, and Urban Development (individual) [ZIMBABWE]

SAKIPWANYA, Stanley; DOB circa 1946; Deputy Secretary for Disabled and Disadvantaged (individual) [ZIMBABWE]

SALAFIST GROUP FOR CALL AND COMBAT (a.k.a. AL-QA’IDA IN THE ISLAMIC MAGHREB; a.k.a. AQIM; a.k.a. GSFC; a.k.a. LE GROUPE SALAFISTE POUR LA PRÉDICATION ET LE COMBAT; a.k.a. SALAFIST GROUP FOR PREACHING AND COMBAT; a.k.a. TANZIM AL-QA’IDA PI BILAD AL-MAGHRIB AL-ISLAMIYA) (PTO) [SDT]

SALAH, Mohammad Abd El-Hamid Khalil (a.k.a. AHMAD, Abu; a.k.a. AHMED, Abu; a.k.a. SALAH, Mohammad Abdel Hamid Hall; a.k.a. SALAH, Mohamed A.), P.O. Box 2616, Bridgeview, IL 60455–661; P.O. Box 2578, Bridgeview, IL 60455; Israel; 9229 South Thomas, Bridgeview, IL 60455; DOB 30 May 1953; Passport D08531177 (Iran) (individual) [SDT]

SALAH, Muhammad (a.k.a. HASANAYN, Nasr Fahmi Na’ir) (individual) [SDTG]

SALAMANCA BUTTRAGO, Mestas, c/o GESTION ALFA LTDA., Bogota, Colombia; Calle 62 No. 9A–82 of. 616, Bogota, Colombia; DOB 05 Jan 1951; alt. DOB 01 May 1951; Cedula No. 19136446 (Colombia) (individual) [SDNTK]

SALAMI, Mohamed Ahmad (a.k.a. SALAME, Mohamed Ahmad); DOB 22 Sep 1961; nationality Lebanon; Owner, Mohamed Group of Companies; former President of Liberia Charles Taylor’s informal diplomatic representative (individual) [LIBERIA]

SALAZAR ARICLA, Yolanda, Carrera 6 No. 15–30, Quimbaya, Quindio, Colombia; c/o PLASTEC LTDA., Colombia; Cedula No. 26402274 (Colombia) (individual) [SDNT]

SALAZAR CARDENAS, Carlos Mario, c/o MI CARRO E.U., Medellin, Colombia; POB Colombia; citizen Colombia; nationality Colombia; Cedula No. 19489021 (Colombia) (individual) [SDNTK]

SALAZAR LUGO, Nelson, c/o TURISMO HANSA S.A., San Andres, Colombia; DOB 14 Jul 1965; POB Colombia; Cedula No. 16957419 (Colombia); Passport AHS22171 (Colombia) (individual) [SDNT]

SALAZAR, Jose Leonel, c/o INMOBILIARIA U.M.V. S.A., Cali, Colombia; c/o COMERCIALIZADORA INTERNACIONAL VALLE DE ORO S.A., Cali, Colombia; DOB 14 Mar 1956; Cedula No. 16529253 (Colombia) (individual) [SDT]

SALCEDO RAMIREZ, Jamie, c/o INMOBILIARIA U.M.V. S.A., Cali, Colombia; DOB 25 Dec 1964; Cedula No. 16566222 (Colombia) (individual) [SDNT]

SALCEDO RAMIREZ, Nhora Clemencia, c/o ADMINISTRACION INMOBILIARIA BOLIVAR S.A., Cali, Colombia; INMOBILIARIA BOLIVAR LTDA., Cali, Colombia; DOB 20 Nov 1956; Cedula No. 31278613 (Colombia) (individual) [SDNT]

SALDARRIAGA ACEVEDO, Carlos Omar, c/o RADIO UNIDAS FM S.A., Cali, Colombia; Calle 9B No. 50–100 apt. 102, Cali, Colombia; DOB 16 Jan 1954; alt. DOB 6 Jan 1954; Cedula No. 14998632 (Colombia) (individual) [SDT]

SALEH AL-SAAADI, Nassim Ben Mohamed Al-Cherif ben Mohamed (a.k.a. ABOU ANIS), Via Monte Grappa 15, Arluno, Milan, Italy; DOB 30 Nov 1974; Passport Haidar Al-Qasreen, Tunisia; nationality Tunisia; Passport M 788331 issued 28 Sep 2001 expires 27 Sep 2006; arrested 30 Sep 2002 (individual) [SDT]

SALEH, Dr. Abdul Latif (a.k.a. ABU AMIR; a.k.a. SALEH ABU HUSSEIN, Abdul Latif A.A.; a.k.a. SALEH, Abdel Latif; a.k.a. SALEH, Abdul Latif; a.k.a. SALEH, Dr. Abd al-Latif; a.k.a. SALIH, Abd al Latif), United Arab Emirates; DOB 5 Mar 1957; POB Baghdad, Iraq; citizen Jordan; alt. citizen Albania; Passport D066 671 (Jordan) (individual) [SDTG]

SALEH, Nedal (a.k.a. “HITEM”), Via di Saliceto n.51/3, Bologna, Italy; Via Milano n.165, Casal di Principe, Caserta, Italy; DOB 1 Mar 1970; POB Taiz, Yemen (individual) [SDGT]

SALGADO MOSQUERA, Ricardo Ignacio, c/o MACROFARMA S.A., Pereira, Colombia; c/o FARMALIDER S.A., Cali, Colombia; Cedula No. 10216576 (Colombia); Passport 10216576 (Colombia) (individual) [SDNT]

SALI JR., Jalal Antel (a.k.a. “ABU SOLAIMAN”); a.k.a. “ABU SOLAYMAN”; a.k.a. “APONG SOLAIMAN”; a.k.a. “APONG”; DOB 1 Jun 1965; POB Barangay Lanote, Blis, Isabele, Basilan, the Philippines; nationality Philippines (individual) [SDTG]

SALIK, Abd al-Munim Ahmad (a.k.a. SALEH, Abdel Moneim Ahmad), Iraq; DOB 1943; Former Minister of Awqaf and Religious Affairs (individual) [IRAQ2]

SAлим S.A., Calle 15 No. 10–32, La Union, Valle, Colombia; Nit #221001412–4 (Colombia) [SDNT]

SALIMI, Hosein (a.k.a. SALAMI, Hoseyn; a.k.a. SALAMI, Hossein; a.k.a. SALAMI, Hussayn); citizen Iran; nationality Iran; Passport D0831177 (Iran) (individual) [NPWMD]

SALINAS CUEVAS, Jorge Rodrigo, Calle 13B No. 37–86 apt. 201–5, Cali, Colombia; c/o DISDROGAS LTDA., Yumbo, Valle, Colombia; DOB 10 Dec 1945; POB Neiva, Huila, Colombia; alt. POB Cali, Colombia; Cedula No. 1499332 (Colombia); Passport AG688421 (Colombia) (individual) [SDNT]

SALINAS PEREZ, Ovidio (a.k.a. ROJAS, Juan Antonio; a.k.a. “EL EMBAJADOR”); a.k.a. “JOSE LUIS”), Colombia; DOB 03 Jul 1945; citizen Colombia; Cedula No. 17125659 (Colombia); International FARC
SANABEL RELIEF AGENCY LIMITED
SAN VICENTE S.A. (f.k.a. INVERSIONES SAN MATEO S.A. (f.k.a. INVERSIONES SAN AIR GENERAL TRADING FZE (a.k.a. SAMSAENG, Suthep (a.k.a. SUTHEP, SAMARIA TIERRAS, Cali, Colombia [SDNT])
SAMARIA INTERESES, Cali, Colombia [SDNT])
SAMARIA CANAS, Cali, Colombia [SDNT])
SAMARIA ARRENDAMIENT, Cali, Colombia [SDNT])
SAMAN INDUSTRIES GROUP (a.k.a. SAMAN INDUSTRIES GROUP), Pasadaran Road 15, Tehran, Iran [NPWMD]
SANCHEZ ACEVES, Raul, c/o STRONG LINK DE MEXICO, S.A. DE C.V., Tijuana, Baja California, Mexico; Flores Magón 8013, Zona Centro, Tijuana, Baja California, Mexico; DOB 21 Apr 1949; POB Distrito Federal, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. SAAR–490421–MI9 (Mexico) (individual) [SDNT]
SANCHEZ CANDELO, Piedad Rocio, c/o M Q Consulting, S.A. DE C.V., Tijuana, Baja California, Mexico; Flores Magon 2013, Zona Centro, Tijuana, Baja California, Mexico; DOB 20 Nov 1952; POB Colombia; Cedula No. 2276524 (United States) [SDNT]
SANCHEZ CANDELO, Piedad Rocio, c/o M Q Consulting, S.A. DE C.V., Tijuana, Baja California, Mexico; Flores Magon 2013, Zona Centro, Tijuana, Baja California, Mexico; DOB 20 Nov 1952; POB Colombia; Cedula No. 2276524 (United States) [SDNT]
SANCHEZ CANDELO, Piedad Rocio, c/o M Q Consulting, S.A. DE C.V., Tijuana, Baja California, Mexico; Flores Magon 2013, Zona Centro, Tijuana, Baja California, Mexico; DOB 20 Nov 1952; POB Colombia; Cedula No. 2276524 (United States) [SDNT]
SANCHEZ CANDELO, Piedad Rocio, c/o M Q Consulting, S.A. DE C.V., Tijuana, Baja California, Mexico; Flores Magon 2013, Zona Centro, Tijuana, Baja California, Mexico; DOB 20 Nov 1952; POB Colombia; Cedula No. 2276524 (United States) [SDNT]
SANCHEZ CANDELO, Piedad Rocio, c/o M Q Consulting, S.A. DE C.V., Tijuana, Baja California, Mexico; Flores Magon 2013, Zona Centro, Tijuana, Baja California, Mexico; DOB 20 Nov 1952; POB Colombia; Cedula No. 2276524 (United States) [SDNT]
SANCHEZ CANDELO, Piedad Rocio, c/o M Q Consulting, S.A. DE C.V., Tijuana, Baja California, Mexico; Flores Magon 2013, Zona Centro, Tijuana, Baja California, Mexico; DOB 20 Nov 1952; POB Colombia; Cedula No. 2276524 (United States) [SDNT]
SANCHEZ CANDELO, Piedad Rocio, c/o M Q Consulting, S.A. DE C.V., Tijuana, Baja California, Mexico; Flores Magon 2013, Zona Centro, Tijuana, Baja California, Mexico; DOB 20 Nov 1952; POB Colombia; Cedula No. 2276524 (United States) [SDNT]
SANCHEZ CANDELO, Piedad Rocio, c/o M Q Consulting, S.A. DE C.V., Tijuana, Baja California, Mexico; Flores Magon 2013, Zona Centro, Tijuana, Baja California, Mexico; DOB 20 Nov 1952; POB Colombia; Cedula No. 2276524 (United States) [SDNT]
SANCHEZ CANDELO, Piedad Rocio, c/o M Q Consulting, S.A. DE C.V., Tijuana, Baja California, Mexico; Flores Magon 2013, Zona Centro, Tijuana, Baja California, Mexico; DOB 20 Nov 1952; POB Colombia; Cedula No. 2276524 (United States) [SDNT]
Antioquia, Colombia; Calle 11 No. 23-40, Pereira, Colombia; DOB 06 Nov 1975; POB Pereira, Colombia; Cedula No. 10029001 (Colombia); Passport AF400855 (Colombia) (individual) [SDNTK]

SANCHEZ MARTELL, Julio Cesar Jassan Estuardo (a.k.a. SANCHEZ MARTELL, Julio Cesar), C. Las Palmas L ESC D 1102 1000, C. Costaventura Y X. Fracc, Playa Diamante, Acapulco, Guerrero, Mexico; c/o GRUPO GUADALEST S.A. DE C.V., Mexico City, Distrito Federal, Mexico; C. Enrique Wallon 424 S. Col. Polanco, Miguel Hidalgo, Mexico City, Distrito Federal 11560, Mexico; c/o AERONAUTICA CONDOR DE PANAMA, S.A., Panama; c/o GRUPO FALCON DE PANAMA, S.A., Panama; DOB 16 Sep 1966; C.U.R.P. SAMJ660916(IDFNRL)1 (Mexico); Credencial electoral SANCHEZ RUA, Rafael Angel, Finca La Perlita, Anserma, Colombia; c/o GRANJA Anserma, Colombia; Finca La Fortaleza, Anserma, Colombia; Bis. No. 2N–74, Cartago, Valle, Colombia; c/o LABORATORIOS PROFARMA LTDA., Bogota, Colombia; DOB 20 May 1963; Cedula No. 66992063 (Colombia); Passport 66992063 (Colombia) (individual) [SDNTK]

SANCHEZ OSUNA, Carlos Alberto, Blvd. Industrial 1700, Colonia Otay Tecnologico, Tijuana, Baja California, Mexico; c/o FRANZUL S.A., Medellin, Colombia; DOB 10 Oct 1966; Cedula No. 16219873 (Colombia); Passport AF866705 (Colombia) (individual) [SDNT]

BELGICA SANTANILLA BOTACHE, Miguel (a.k.a. 'GENTIL DUARTE'), DOB 04 Jan 1965; Cedula No. 79368275 (Colombia); Passport 0505538000783 (Thailand) issued 08 Feb 1995 (Thailand) [SDNTK]

SANKOH, Foday; Deceased (individual) [LI-BERIA]

SANTACRUZ CASTRO, Ana Milena, c/o AUREAL INMOBILIARIA LTDA., Bogota, Colombia; DOB 26 Jul 1962; Cedula No. 31886388 (Colombia); Passport 31886388 (Colombia) (individual) [SDNT]

SANTACRUZ JARAMILLO, Jose (a.k.a. SANTACRUZ CASTRO, Ana Milena), c/o MIRALUNA CONSTRUCCIONES LTDA., DE CALI, Colombia; c/o INVERSIONES SANTA LTDA., Cali, Colombia; c/o MIRALUNA LTDA., Cali, Colombia; c/o SOCIEDAD CONSTRUCTORA LA CASCADA S.A., Cali, Colombia; c/o INMOBILIARIA SAMARIA LTDA., Cali, Colombia; c/o INVERSIONES INTEGRAL LTD., Cali, Colombia; DOB 31 Mar 65; Cedula No. 31929808 (Colombia); Passport 31929808 (Colombia); alt. Passport AB151188 (Colombia) (individual) [SDNT]

SANTACRUZ CASTRO, Ana Milena, c/o AUREAL INMOBILIARIA LTDA., Bogota, Colombia; DOB 26 Jul 1962; Cedula No. 31886388 (Colombia); Passport 31886388 (Colombia) (individual) [SDNT]

SANTACRUZ JARAMILLO, Jose (a.k.a. SANTACRUZ CASTRO, Ana Milena), c/o MIRALUNA CONSTRUCCIONES LTDA., DE CALI, Colombia; c/o INVERSIONES SANTA LTDA., Cali, Colombia; c/o MIRALUNA LTDA., Cali, Colombia; c/o SOCIEDAD CONSTRUCTORA LA CASCADA S.A., Cali, Colombia; c/o INMOBILIARIA SAMARIA LTDA., Cali, Colombia; c/o INVERSIONES INTEGRAL LTD., Cali, Colombia; DOB 31 Mar 65; Cedula No. 31929808 (Colombia); Passport 31929808 (Colombia); alt. Passport AB151188 (Colombia) (individual) [SDNT]

SANTAMARINA DE LA TORRE, Alfredo Rafael, c/o AGROPECUARIA LINDARAJA S.A., Cali, Colombia; Cedula No. 16683550 (Colombia) (individual) [SDNT]

SANDRANA CANAS, Cali, Colombia [SDNT]

SANGSHI KANKASEPT COMPANY LIMITED, 168 Moo 9, Khi Lek, Mae Taeng, Chiang Mai 50150, Thailand; Registration ID 055538000793 (Thailand) issued 08 Feb 1995 [SDNTK]

SANKOH, Foday; Deceased (individual) [LIBERIA]
Office of Foreign Assets Control, Treasury

Ch. V, App. A

a.k.a. DEL ROSARIO SANTOS, Hilarion; a.k.a. “LAKAY, Abu”), No. 50 Purdue Street, Cubao Quezon City, Philippines; DOB 1971; POB Manila, Philippines; RSM migration No. 98.805 (individual) [SDGT]

SARA PROPERTIES LIMITED (a.k.a. SARA PROPERTIES), 104 Smithdown Road, Liverpool, Merseyside L14 4JQ, United Kingdom; 14892890 (individual) [SDNT]

SARRIA HOLGUIN, Ramiro (a.k.a. DEL ROSARIO SANTOS, Hilarion; a.k.a. “LAKAY, Abu”), No. 50 Purdue Street, Cubao Quezon City, Philippines; DOB 1971; POB Manila, Philippines; RSM migration No. 98.805 (individual) [SDGT]

SARRIA HOLGUIN, Robert), c/o COMERCIAL REPARACIONES Y CONSTRUCCIONES LTDA., Cali, Colombia; Carrera 20 No. 7-57, Bogota, Colombia; DOB 17 Nov 1954; Cedula No. 41649539 (Colombia) (individual) [SDNTK]

SARRIA HOLGUIN, Ignacio), c/o INVERSIONES DER, Martin Daniel), Petrusstrasse 32, Herrensohr Dudweiler, Saarbruecken 66125, Germany; zum Gruehlingsstollen 1A, Friedrichstahl 66299, Germany; Rosenstrasse 2, Friedrichstahl 66299, Germany; DOB 9 Sep 1985; POB Neunkirchen, Germany; citizen Germany; Federal ID Document No. 98.805 (individual) [SDGT]

SARRIA HOLGUIN, Francisco), c/o INVERSIONES DEL ROSARIO SANTOS, Hilarion; a.k.a. “LAKAY, Abu”), No. 50 Purdue Street, Cubao Quezon City, Philippines; DOB 1971; POB Manila, Philippines; RSM migration No. 98.805 (individual) [SDGT]

SARRIA HOLGUIN, Gregorio, Claveles No. 320, entre Retama y Palma, Colonia Jardin, Reynosa, Tamaulipas, Mexico; Octava No. 435, entre Fuente de Diana y Boulevard Oriente Dos, Colonia Las Fuentes, Reynosa, Tamaulipas, Mexico; Leonides Guerra No. 97 y Eugenio Lopez No. 97, Colonia San Rafael, Matamoros, Tamaulipas, Mexico; Calle Ciudad PEMEX, Enseguida del Numero 512, Colonia Jose de Escandon-Petrolera, Reynosa, Tamaulipas, Mexico; Avenida Manuel M. Ponce 2404, Colonia Zaragoza, Nuevo Laredo, Tamaulipas, Mexico; DOB 05 Nov 1965; alt. DOB 05 May 1965; POB Tamaulipas, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. SAXG651105HTSCXR07 (Mexico); Electoral Registry No. SCGMR65110532H300 (Mexico) (individual) [SDNTK]

SAYAVHU, Tendai; DOB 21 Mar 1968; Poliburo Deputy Secretary of Transport and Social Welfare (individual) [ZIMBABWE]

SAYADI, Nabil Abdul Salam (a.k.a. ABOU ZEINAB), 69 Rue des Baraves, 104 Etterbeek, Brussels, Belgium; Vyatjesstraat, 29, Putte 2580, Belgium; DOB 01 Jan 1966; POB Tripoli, Lebanon; National ID No. 660000 73767 (Belgium); Passport 1091875; Public Security and Immigration No. 98.805 (individual) [SDGT]

SCHNEIDER, Daniel Martin (a.k.a. SCHNEIDER, Martin Daniel), Petrusstrasse 32, Herrensohr Dudweiler, Saarbruecken 66125, Germany; zum Gruehlingsstollen 1A, Friedrichstahl 66299, Germany; Rosenstrasse 2, Friedrichstahl 66299, Germany; DOB 9 Sep 1985; POB Neunkirchen, Germany; citizen Germany; Federal ID Card 2318228333; Passport 2318047793 (Germany); currently incarcerated at Schwalmstadt, Germany (individual) [SDGT]

SCHNEIDER, Simon, c/o OFFENBACH HAUSHALTWAREN B.V., Beverwijk, Netherlands; c/o BELS DER, Martin Daniel), Petrusstrasse 32, Herrensohr Dudweiler, Saarbruecken 66125, Germany; zum Gruehlingsstollen 1A, Friedrichstahl 66299, Germany; Rosenstrasse 2, Friedrichstahl 66299, Germany; DOB 9 Sep 1985; POB Neunkirchen, Germany; citizen Germany; Federal ID Card 2318228333; Passport 2318047793 (Germany); currently incarcerated at Schwalmstadt, Germany (individual) [SDGT]

SCHNEIDER, Simon, c/o OFFENBACH HAUSHALTWAREN B.V., Beverwijk, Netherlands; c/o BELS FLOWERS IMPORT EXPORT BVBA, Antwerpen, Belgium; DOB 14 Jul 1967; POB Hoorn, Netherlands; citizen Netherlands; Passport BA0199589 (Netherlands) (individual) [SDNTK]

SCIENTIFIC STUDIES AND RESEARCH CENTER (a.k.a. CENTRE D’ETUDES ET RECHERCHES; a.k.a. “SSRC”), P.O. Box 24470, Damascus, Syria [NPWMD]

SCORE COMMERCIAL COMPANY LTD. (a.k.a. BORISAT SAKO KHOMMOESIAN CHAMKAT), 235 Soi Thiam Ruammit, Ratchada Phisek Road, Huai Khwang district, Bangkok, Thailand [SDNTK]

SCOTFIN LIMITED, 10th Floor ZB House, 46 Speke Avenue, P.O. Box 3198, Harare, Zimbabwe; Phone No. 263-4-751168; Fax No. 263-4-251029 [ZIMBABWE]

SCOTTIE HOLDINGS (PVT) LTD, New Boundary House, London Road, Sunningdale, Berkshire SL5 0DJ, United Kingdom; 124 Josiah Chinamano Avenue, P.O. Box CY371, Causeway, Harare, Zimbabwe [ZIMBABWE]
SCOTTLEE RESORTS (a.k.a. SCOTTLEE RESORTS LIMITED), Newboundary House, London Road, Sunningdale, Berkshire SL5 0DJ, United Kingdom; 129 Josiah Chimamano Avenue, P.O. Box CY 3711, Causeway, Harare, Zimbabwe [ZIMBABWE]

SEA BLOOM (a.k.a. IRAN SEA BLOOM); Vessel Registration Identification IMO 9167291 (vessel) [NPWMD]

SEA FLOWER; Vessel Registration Identification IMO 9167289 (vessel) [NPWMD]

SEA STATE (a.k.a. IRAN SEA STATE); Vessel Registration Identification IMO 9167265 (vessel) [NPWMD]

SEGGCOL LTDA., Carrera 33 No. 48–89 of. 205, Bucaramanga, Colombia; NIT #804015635–8 (Colombia) [SDNT]

SEGUWRA DEL VALLE E.U., Avenida 11N No. 35A–20 Of. 402, Cali, Colombia; NIT #805025920–1 (Colombia) [SDNT]

SEGECOL LTDA., Carrera 33 No. 48–89 of. 205, Bucaramanga, Colombia; NIT #804015635–8 (Colombia) [SDNT]

SEA BLOOM (a.k.a. IRAN SEA BLOOM); Vessel Registration Identification IMO 9167291 (vessel) [NPWMD]

SEIN, Thein; DOB 20 Apr 1945; POB Pathein, Myanmar; R.F.C. SEP980319668 (Mexico) [SDNT]

SEMPERIVA, S.A. DE C.V., Calle Donato Guerra No. 468, 1. Col. Centro, Cullacan, Sinaloa, Mexico; R.F.C. SEP980319668 (Mexico) [SDNT]

SEPULVEDA SEPULVEDA, Manuel Salvador, c/o INVHERESA S.A., Cali, Colombia; c/o INMOBILIARIA U.M.V. S.A., Cali, Colombia; c/o ALKALA ASOCIADOS S.A., Cali, Colombia; DOB 2 Feb 1956; Cedula No. 16855038 (Colombia) (individual) [SDNT]

SEPPRIV, S.A. DE C.V., Calle Donato Guerra No. 468, 1. Col. Centro, Cullacan, Sinaloa, Mexico; R.F.C. SEP980319668 (Mexico) [SDNT]

SEPPRIV, S.A. DE C.V., Calle Donato Guerra No. 468, 1. Col. Centro, Cullacan, Sinaloa, Mexico; R.F.C. SEP980319668 (Mexico) [SDNT]

SEPPRIV, S.A. DE C.V., Calle Donato Guerra No. 468, 1. Col. Centro, Cullacan, Sinaloa, Mexico; R.F.C. SEP980319668 (Mexico) [SDNT]

SERB DEMOCRATIC PARTY (a.k.a. SDS; a.k.a. SRPSKA DEMOKRATSKA STRANKA); Kralja Alonsa XIII, Number 1, Banja Luka 78000, Bosnia and Herzegovina [BALKANS]

SERCUBA (a.k.a. WWW.SERCUBA.COM), Vicente Garcia #105 e/Maceo e Independencia, Cambodia, Cuba; c/o INMOBILIARIA U.M.V. S.A., Cali, Colombia; DOB 2 Feb 1956; Cedula No. 16855038 (Colombia) (individual) [SDNT]

SERB DEMOCRATIC PARTY (a.k.a. SDS; a.k.a. SRPSKA DEMOKRATSKA STRANKA); Kralja Alonsa XIII, Number 1, Banja Luka 78000, Bosnia and Herzegovina [BALKANS]

SERCUBA (a.k.a. WWW.SERCUBA.COM), Vicente Garcia #105 e/Maceo e Independencia, Cambodia, Cuba; c/o INMOBILIARIA U.M.V. S.A., Cali, Colombia; DOB 2 Feb 1956; Cedula No. 16855038 (Colombia) (individual) [SDNT]

SERB DEMOCRATIC PARTY (a.k.a. SDS; a.k.a. SRPSKA DEMOKRATSKA STRANKA); Kralja Alonsa XIII, Number 1, Banja Luka 78000, Bosnia and Herzegovina [BALKANS]

SERCUBA (a.k.a. WWW.SERCUBA.COM), Vicente Garcia #105 e/Maceo e Independencia, Cambodia, Cuba; c/o INMOBILIARIA U.M.V. S.A., Cali, Colombia; DOB 2 Feb 1956; Cedula No. 16855038 (Colombia) (individual) [SDNT]

SERB DEMOCRATIC PARTY (a.k.a. SDS; a.k.a. SRPSKA DEMOKRATSKA STRANKA); Kralja Alonsa XIII, Number 1, Banja Luka 78000, Bosnia and Herzegovina [BALKANS]

SERCUBA (a.k.a. WWW.SERCUBA.COM), Vicente Garcia #105 e/Maceo e Independencia, Cambodia, Cuba; c/o INMOBILIARIA U.M.V. S.A., Cali, Colombia; DOB 2 Feb 1956; Cedula No. 16855038 (Colombia) (individual) [SDNT]

SERB DEMOCRATIC PARTY (a.k.a. SDS; a.k.a. SRPSKA DEMOKRATSKA STRANKA); Kralja Alonsa XIII, Number 1, Banja Luka 78000, Bosnia and Herzegovina [BALKANS]

SERCUBA (a.k.a. WWW.SERCUBA.COM), Vicente Garcia #105 e/Maceo e Independencia, Cambodia, Cuba; c/o INMOBILIARIA U.M.V. S.A., Cali, Colombia; DOB 2 Feb 1956; Cedula No. 16855038 (Colombia) (individual) [SDNT]

SERB DEMOCRATIC PARTY (a.k.a. SDS; a.k.a. SRPSKA DEMOKRATSKA STRANKA); Kralja Alonsa XIII, Number 1, Banja Luka 78000, Bosnia and Herzegovina [BALKANS]

SERCUBA (a.k.a. WWW.SERCUBA.COM), Vicente Garcia #105 e/Maceo e Independencia, Cambodia, Cuba; c/o INMOBILIARIA U.M.V. S.A., Cali, Colombia; DOB 2 Feb 1956; Cedula No. 16855038 (Colombia) (individual) [SDNT]

SERB DEMOCRATIC PARTY (a.k.a. SDS; a.k.a. SRPSKA DEMOKRATSKA STRANKA); Kralja Alonsa XIII, Number 1, Banja Luka 78000, Bosnia and Herzegovina [BALKANS]

SERCUBA (a.k.a. WWW.SERCUBA.COM), Vicente Garcia #105 e/Maceo e Independencia, Cambodia, Cuba; c/o INMOBILIARIA U.M.V. S.A., Cali, Colombia; DOB 2 Feb 1956; Cedula No. 16855038 (Colombia) (individual) [SDNT]

SERB DEMOCRATIC PARTY (a.k.a. SDS; a.k.a. SRPSKA DEMOKRATSKA STRANKA); Kralja Alonsa XIII, Number 1, Banja Luka 78000, Bosnia and Herzegovina [BALKANS]

SERCUBA (a.k.a. WWW.SERCUBA.COM), Vicente Garcia #105 e/Maceo e Independencia, Cambodia, Cuba; c/o INMOBILIARIA U.M.V. S.A., Cali, Colombia; DOB 2 Feb 1956; Cedula No. 16855038 (Colombia) (individual) [SDNT]

SERB DEMOCRATIC PARTY (a.k.a. SDS; a.k.a. SRPSKA DEMOKRATSKA STRANKA); Kralja Alonsa XIII, Number 1, Banja Luka 78000, Bosnia and Herzegovina [BALKANS]

SERCUBA (a.k.a. WWW.SERCUBA.COM), Vicente Garcia #105 e/Maceo e Independencia, Cambodia, Cuba; c/o INMOBILIARIA U.M.V. S.A., Cali, Colombia; DOB 2 Feb 1956; Cedula No. 16855038 (Colombia) (individual) [SDNT]

SERB DEMOCRATIC PARTY (a.k.a. SDS; a.k.a. SRPSKA DEMOKRATSKA STRANKA); Kralja Alonsa XIII, Number 1, Banja Luka 78000, Bosnia and Herzegovina [BALKANS]

SERCUBA (a.k.a. WWW.SERCUBA.COM), Vicente Garcia #105 e/Maceo e Independencia, Cambodia, Cuba; c/o INMOBILIARIA U.M.V. S.A., Cali, Colombia; DOB 2 Feb 1956; Cedula No. 16855038 (Colombia) (individual) [SDNT]

SERB DEMOCRATIC PARTY (a.k.a. SDS; a.k.a. SRPSKA DEMOKRATSKA STRANKA); Kralja Alonsa XIII, Number 1, Banja Luka 78000, Bosnia and Herzegovina [BALKANS]

SERCUBA (a.k.a. WWW.SERCUBA.COM), Vicente Garcia #105 e/Maceo e Independencia, Cambodia, Cuba; c/o INMOBILIARIA U.M.V. S.A., Cali, Colombia; DOB 2 Feb 1956; Cedula No. 16855038 (Colombia) (individual) [SDNT]
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Ch. V, App. A

31 CFR Ch. V (7–1–10 Edition)

Hajji’’), Kermanshah, Iran; Mehran Military Base, Ilam Province, Iran; DOB circa
1957 (individual) [IRAQ3]
SHAHNAWAZ TRADERS, Shop No. 1–2,
Block A, Jamrud Road, Royal Market, Peshawar, Pakistan [SDNTK]
SHALABI, Ismail Abdallah Sbaitan, Wilhelm-Strasse 45, 59269, Beckum, Germany;
DOB 30 Apr 1973; POB Beckum, Germany;
nationality Jordan; nationality possibly
Palestinian;arrested 23 Apr 2002 (individual) [SDGT]
SHALISH, Asif (a.k.a. AL-SHALISH, Dr.
Asef;
a.k.a.
ISSA,
Assef;
a.k.a.
SHALEESH, Asef Isa; a.k.a. SHALEESH,
Dr. Assef Essa), Damascus, Syria; DOB 1
Jan 1959; nationality Syria; Passport
4713277 (Syria) (individual) [IRAQ2]
SHALISH, Zuhayr (a.k.a. AL-HEMMEH,
Thu; a.k.a. AL-SHALISH, Dhu Al-Himma;
a.k.a. SHALEESH, Dhu Himma; a.k.a.
SHALEESH,
Thu
Al
Hima;
a.k.a.
SHALISH,
Dhu
Al
Himma;
a.k.a.
SHALISH, Dhuil Himma; a.k.a. SHALISH,
Zuhilma), Damascus, Syria; DOB circa
1956; POB Al-Ladhiqiyah, Syria; nationality Syria; General; Has a military position-is known also as Major General or
Brigadier General. (individual) [IRAQ2]
SHAMU, Webster Kotiwani, 1 Uplands Close,
Highlands, Zimbabwe; DOB 6 Jun 1945;
Passport AN203141 (Zimbabwe) expires 15
Jan 2011; Minister of Policy Implementation (individual) [ZIMBABWE]
SHAMUYARIRA,
Nathan
Marwirakuwa;
DOB 29 Sept 1928; Passport AD000468
(Zimbabwe); Politburo Secretary for Information
and
Publicity
(individual)
[ZIMBABWE]
SHANT, Adam Yacub (a.k.a. ‘‘SHARIF,
Adam Yacub’’; a.k.a. ‘‘YACOUB, Adam’’);
DOB circa 1976; Commander for the Sudan
Liberation
Army
(SLA)
(individual)
[DARFUR]
SHAQAQI, Fathi; Secretary General of PALESTINIAN ISLAMIC JIHAD-SHIQAQI (individual) [SDT]
SHAQIRI, Shaqir; DOB 1 Sep 1964; POB Serbia and Montenegro (individual) [BALKANS]
SHAQIRI, Xhezair; DOB 15 May 1965; POB
Tanusevci, Macedonia (individual) [BALKANS]
SHARDAE VENTURES INC., Road Town,
Tortola, Virgin Islands, British; Carrera 63
No. 17–07, Bogota, Colombia [SDNT]
SHARPER S.A., Calle 12B No. 28–58, Bogota,
Colombia; Calle 16 No. 28A–57, Bogota, Colombia; Calle 12B No. 28–70, Bogota, Colombia; Calle 16 No. 28A–42, Bogota, Colombia;
Calle 17A No. 28A–43, Bogota, Colombia;
NIT #830026833–2 (Colombia) [SDNT]
SHARVET S.A., Calle 12B No. 28–70, Bogota,
Colombia; NIT #830050743–9 (Colombia)
[SDNT]
SHAW, Emmanuel (II); DOB 26 JUL 1946; alt.
DOB 26 JUL 1956; alt. DOB 29 JUL 1956; Ad-

visor to former President of Liberia
Charles Taylor (individual) [LIBERIA]
SHAWEESH, Yasser Abu (a.k.a. ABOU
SHAWEESH, Yasser Mohamed; a.k.a. ABU
SHAWEESH, Yasser Mohamed Ismail),
Meckennheimer Str. 74a, Bonn 53179, Germany; Wuppertal Prison, Germany; DOB 20
Nov 1973; POB Benghazi, Libya; Passport
981358 (Egypt); alt. Passport 0003213
(Egypt);
Travel
Document
Number
C00071659 (Germany); alt. Travel Document
Number 939254 (Egypt) (individual) [SDGT]
SHAWKAT, Assef, Al-Akkad Street, Damascus, Syria; DOB 1950; POB Tartus, Syria;
nationality Syria; Director of Syrian Military Intelligence (individual) [SYRIA]
SHEIKAN INSURANCE AND REINSURANCE
COMPANY
LIMITED
(a.k.a.
SHEIKAN INSURANCE COMPANY), Al
Souq Al Arabi, Sheikan Building, Khartoum SU001, P.O. Box 10037, Khartoum,
Sudan;
E-mail
Address
sheikan@sudanmail.net (Sudan) [SUDAN]
SHEIMAN, Viktar Uladzimiravich (a.k.a.
SHEIMAN, Victor Uladzimiravich; a.k.a.
SHEIMAN, Victor Vladimirovich; a.k.a.
SHEIMAN, Viktar Vladimirovich; a.k.a.
SHEIMAN, Viktor Uladzimiravich; a.k.a.
SHEIMAN, Viktor Vladimirovich; a.k.a.
SHEYMAN, Victor Uladzimiravich; a.k.a.
SHEYMAN, Victor Vladimirovich; a.k.a.
SHEYMAN, Viktar Uladzimiravich; a.k.a.
SHEYMAN, Viktar Vladimirovich; a.k.a.
SHEYMAN, Viktor Uladzimiravich; a.k.a.
SHEYMAN, Viktor Vladimirovich); DOB 26
May 1958; POB Soltanishka, Voronovskovo,
Belarus; alt. POB Grodno, Belarus; State
Secretary of the Security Council; former
Prosecutor
General
(individual)
[BELARUS]
SHER MATCH INDUSTRIES (PVT.) LIMITED, Plot Numbers 119–121, Industrial Estate, Jamrud Road, Hayatabad, Peshawar,
Pakistan; Shahnawaz Traders Royal Industrial Area, Jamrud Road, Peshawar, Pakistan; C.R. No. P–01876/19981106 (Pakistan)
[SDNTK]
SHEREIK MICA MINES COMPANY (a.k.a.
SHERIEK MICA PROJECT), c/o SUDANESE MINING CORPORATION, undetermined; P.O. Box 1034, Khartoum, Sudan
[SUDAN]
SHIH, Kuo Neng (a.k.a. KUAI NUENG, Sae
Chang; a.k.a. ‘‘AH SAN’’; a.k.a. ‘‘SHI
KWAN NEINK’’; a.k.a. ‘‘SHIH KUO
NENG’’), Tachilek, Shan, Burma; DOB 1964
(individual) [SDNTK]
SHIHATA,
Thirwat
Salah
(a.k.a.
ABDALLAH,
Tarwat
Salah;
a.k.a.
THIRWAT,
Salah
Shihata;
a.k.a.
THIRWAT, Shahata); DOB 29 Jun 1960;
POB Egypt (individual) [SDGT]
SHINING
PATH
(a.k.a.
COMMUNIST
PARTY OF PERU; a.k.a. COMMUNIST
PARTY OF PERU ON THE SHINING
PATH OF JOSE CARLOS MARIATEGUI;
a.k.a.
EGP;
a.k.a.
EJERCITO

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GUERRILLERO POPULAR; a.k.a. EJERCITO POPULAR DE LIBERACION; a.k.a. EPL; a.k.a. PARTIDO COMUNISTA DEL PERU (COMMUNIST PARTY OF PERU); a.k.a. PARTIDO COMUNISTA DEL PERU EN EL SENDERO LUMINOSO DE JOSE CARLOS MARIATEGUI (COMMUNIST PARTY OF PERU ON THE SHINING PATH OF JOSE CARLOS MARIATEGUI); a.k.a. PCE; a.k.a. PEOPLE'S OF PERU; a.k.a. PEOPLE'S GUERILLA ARMY; a.k.a. PEOPLE'S LIBERATION ARMY; a.k.a. SENDERO LUMINOSO; a.k.a. SL; a.k.a. SOCORRO POPULAR DEL PERU; a.k.a. SPP [FTO] [SDGT]

SHIPLEY SHIPPING CORP., Panama [CUBA]

SHIPPING COMPUTER SERVICES COMPANY (a.k.a. SCSCO), No. 31, Asseman, Shahid Saeyad Shirazeeq, Pasdaran Ave., P.O. Box 158553–1351, Tehran, Iran; No. 13, 1st Floor, Abgan Alley, Aban Ave., Karimkhani Zand Blvd., Tehran 15976, Iran [NPWMD]

SHIRAZ ELECTRONICS INDUSTRIES (a.k.a. SEI; a.k.a. SHIRAZ ELECTRONIC INDUSTRIES), Hossain Abad Road, Shiraz, Iran; P.O. Box 7965–1399, Shiraz, Iran [NPWMD]

SHIRI, Perence; DOB 11 Jan 1955; Zimbabwean Air Marshal (Air Force) (individual) [ZIMBABWE]

SHOMAL CEMENT COMPANY, Dr Beheesht Avene., No 289, Tehran 15144, Iran; 289 Shahid Beheesht Ave., P.O. Box 15146, Tehran, Iran [NPWMD]

SHURN WAI HOLDING LIMITED, Room 36/5 36/F Wu Chang House, 213 Queen’s Road E, Kowloon, Hong Kong; Certificate of Incorporation Number 330330 (Hong Kong) [SDNTK]

SHUMBA, Isaiah Masvayamwanda; DOB 3 Jan 1949; Deputy Minister of Education, Sports and Culture (individual) [ZIMBABWE]

SIEIRO DE NORIEGA, Felicidad, Panama (individual) [CUBA]

SIERRA FERNANDEZ, Juan Felipe, Colombia; c/o CANINOS PROFESIONALES LTDA, Medellin, Colombia; c/o CONTROL TOTAL LTDA, Colombia; DOB 13 Mar 1971; POB Medellin, Colombia; citizen Colombia; nationality Colombia; Cedula No. 96545666 (Colombia) (individual) [SDNTK]

SIERRA RAMIREZ, Juan Carlos; DOB 15 Apr 1966; Cedula No. 71680143 (Colombia) (individual) [SDNTK]

SIKIRICA, Dusko; DOB 23 Mar 1964; POB Cirkin Pobje, Bosnia-Herzegovina; ICTY indictee (individual) [BALKANS]

SIKOSANA, Absolom; Politburo Secretary for Youth Affairs (individual) [ZIMBABWE]

SILOS AND STORAGE CORPORATION, P.O. Box 1183, Khartoum, Sudan [SUDAN]

SIMAN DE JAAR, Carmen Elena (a.k.a. JAAR, Carmen E.; a.k.a. S DE JAAR, Carmen Elena; a.k.a. SIMAN DADA DE JAAR, Carmen Elena), 329 Poinciana Island Drive, Sunny Island Beach, FL 33160; c/o ARMANDO JAAR Y CIA. S.C.S., Barranquilla, Colombia; c/o CIPE INVESTMENTS CORPORATION, Panama City, Panama; DOB 01 Nov 1963; Cedula No. 1629842 (El Salvador); Passport B296684 (El Salvador) (individual) [SDNTK]

SIMATOVIC, Franko (a.k.a. “FRENTK”); DOB 1 Apr 1956; POB Belgrade, Serbia and Montenegro; ICTY indictee in Serb custody (individual) [BALKANS]

SIMIC, Milan; DOB 9 Aug 1960; POB Sarajevo, Bosnia-Herzegovina; ICTY indictee in custody (individual) [BALKANS]

SIMIC, Milivoje; Doj 1 Jul 1960; POB Krusekovo Polje; ICTY indictee in custody (individual) [BALKANS]

SIMÓN, Miguel; DOB 9 Aug 1969; POB San Miguel del Tuy, Miranda, Venezuela; c/o CIPE INVESTMENTS CORPORATION, Panama City, Panama; DOB 25 Apr 1971; Cedula No. 264048 (Venezuela) (individual) [SDNTK]

SIN-MEX IMPORTADORA, S.A. DE C.V. (a.k.a. CHIKA’S; a.k.a. CHIKA’S ACCESORIOS Y COSMETICOS; a.k.a. IMPORTCLUB), Plaza Fantasia, Calle del Carmen No. 82 Local 28, Distrito Federal, Mexico; Rubi No. 366-A, Col. Centro, Culiacan, Sinaloa, Mexico; Plaza Coliseo Local 11, Col. Centro, Leon, Guanajuato, Mexico; Magno Centro Joyero Sn. Juan de Dios Local 1038, Guadalajara, Jalisco, Mexico; Poniente 140 No. 639, Col. Industrial Vallejo, Mexico, Distrito Federal, Mexico; Parras 1750 Int. C, Col. Alamo Oriente, Tlaquepaque, Jalisco, Mexico; Ignacio Lopez Rayon No. 9104, Col. 1 de Mayo, Teluca, Mexico; Centro Joyero Local 21 y 25, Andador Allende No. 116 Oriente, Aguascalientes, Ags., Mexico; Galerias San Miguel Local 40 K, Culiacan, Sinaloa, Mexico; Plaza Centro Sur Local 1–9, Guadalajara, Jalisco, Mexico; Plaza Centro Sur Local D–11, Guadalajara, Jalisco, Mexico;
Centro Joyero Local 31, Culiacan, Sinaloa, Mexico; Avenida Rayon 140 D, Col. Colonia Toluca de Lerdo Centro, Toluca, Estado de Mexico 50000, Mexico; Plaza de la Mujer Local No. 133 Poniente, Monterrey, Nuevo Leon, Mexico; Av. Javier Mina No. 26, Col. San Juan de Dios, Guadalajara, Jalisco, Mexico; Alvaro Obregon No. 61, Col. San Jose de Dios, Guadalajara, Jalisco, Mexico; Centro Joyero de Toluca Local 8, Benito Juarez No. 109, Toluca, Estado Mexico, Mexico; Pedro Loza No. 174, Col. Centro, Guadalajara, Jalisco, Mexico; Av. Juarez No. 496, Col. Centro, Guadalajara, Jalisco, Mexico; Avenida Rayon 104, Col. Colonia Toluca de Lerdo Centro, Toluca, Estado de Mexico 50000, Mexico; Ignacio Lopez Rayon, Col. 5 de Mayo, Toluca, Mexico; Poniente 140 No. 65, Col. Industrial, Valley, Delegacion Azcapotzalco, Distrito Federal, Mexico; Plaza Galerias Local 22, Col. Colinas de San Miguel, Culiacan, Sinaloa, Mexico; Riva Palacina No. 675 Sur, Col. Alameda, Culiacan, Sinaloa, Mexico; Reforma 217–A, Col. Centro, Leon, Guanajuato, Mexico; R.F.C. SM100730DDH (Mexico) [SDNT]

SIP CONSULTANCY SERVICES S.L., Calle Marie Curie Edificio 1–D 11 No. 4 Planta la Oficina D–9 Parque Tecnologico De Andalucia, Campanillas, Malaga 29500, Spain; C.I.F. B–92725514 (Spain) [SDNT]

SIREGAR, Parilingungan (a.k.a. SIREGAR, Parlin; a.k.a. SIREGAR, Saleh Parilingungan); DOB 25 Apr 1967; alt. DOB 25 Apr 1967; POB Indonesia; nationality Indonesia (individual) [SDGT]

SISON, Jose Maria (a.k.a. LIWINAG, Armando), Netherlands; DOB 8 Feb 1953; POB Llocos Sur Northern Luzon, Philippines (individual) [SDGT]

SISTEMA DE DISTRIBUCION MUNDIAL, S.A.C. (a.k.a. WORLD DISTRIBUTION SYSTEM), Avenida Jose Pardo No. 601, Piso 11, Lima, Peru; RUC #20458382779 (Peru) [SDNTK]

SISTEMA DE RADIO DE SINALOA, S.A. DE C.V., Cll Cristobal Colon No. 275, Col. Centro, Culiacan, Sinaloa, Mexico; Centro Culiacan, Ramon Corona Jesus Andrade, Culiacan Rosales, Culiacan, Mexico; Cll Cristobal Colon 275, Culiacan Rosales, Culiacan, Mexico; (Clave Catastral CU–37–740–003 Lote 3, Manzana #18, Zona 1, “El Vallado III”); Culiacan, Sinaloa, Mexico; R.F.C. SSR590613SCS (Mexico) [SDNTK]

SISTEMAS INTEGRALES DEL VALLE LTDA., (a.k.a. SISVA LTDA.), Avenida 4 Norte No. 6N–67 of. 610, Cali, Colombia; NIT #8009712552–3 (Colombia) [SDNT]

SISTEMAS Y SERVICIOS TECNICOS EMPRESA UNIPersonal (a.k.a. SISTEC), Cll Norte No. 6N–43, Cali, Colombia; NIT #800919420–7 (Colombia) [SDNT]

SIVAKOV, Yury; DOB 5 Aug 1946; POB Onory, Kirov district, Belarus; citizen Belarus; nationality Belarus; former Minister of Sport and Tourism; former Minister of the Interior (individual) [BELARUS]

SIXTH OCEAN ; Vessel Registration Identification IMO 9394679 (vessel) [NPWMD]

SLEWA, Roodi (a.k.a. SALIWA, Rudi; a.k.a. SAIWAH, Rudi; a.k.a. SLAY WAH, Rudi Untaywan); nationality Iraq (individual) [IRAQ]

SLIZHEVSKY, Oleg Leonidovich (a.k.a. SLIZHEUSKI, Aleh Leanidavich; a.k.a. SLIZHEVS, Oleg Leonidavich); citizen Belarus; nationality Belarus; Head of the Public Associations Department, Ministry of Justice (individual) [BELARUS]

SLJIVANCANIN, Veselin; DOB 13 Jun 1953; POB Zahjak, Serbia and Montenegro; ICTY indictee at large (individual) [BALKANS]

SMITH CORTES, Jorge Emilio, c/o MAPRI DE COLOMBIA LTDA., Bogota, Colombia; Cedula No. 19232175 (Colombia); Passport 19232175 (Colombia) (individual) [SDNT]

SNIPER AFRICA (a.k.a. SNIPER OUTDOOR CC; a.k.a. SNIPER OUTDOORS CC; a.k.a. TRUE MOTIVES 1236 CC), 40 Mint Road, Amoka Gardens, Fordsburg, Johannesburg, South Africa; P.O. Box 42228, Fordsburg 2003, South Africa; 16 Gold Street, Carletonville 2500, South Africa; P.O. Box 28215, Kensington 2101, South Africa; Registration ID 2003/029471/23; Tax ID No. 9113562152; Web site www.sniperafrica.com [SDGT]

SOCIEDAD COMERCIAL Y DEPORTIVA LTD.A., Carrera 34 Diag. 29–66 Estadio Pascaul Guerrero, Cali, Colombia; Carrera 34 Diagonal 29 Estadio Cali, Cali, Colombia; Carrera 34 Diag. 29–66, Cali, Colombia; NIT #800141329–2 (Colombia) [SDNT]

SOCIEDAD CONSTRUCTORA Y ADMINISTRADORA DEL VALLE LTDA. (a.k.a. SOCOCALLE LTDA.), Avenida 2N No. 7N–55 of. 601–602, Cali, Colombia [SDNT]

SOCIEDAD DE COMERCIALIZACION INTERNACIONAL POSEIDON S.A. (f.k.a. C.I. COMERCIALIZADORA INTERNACIONAL POSEIDON S.A.; a.k.a. C.I. POSEIDON S.A.), Calle 79 Sur No. 46B–56, Sabaneta, Antioquia, Colombia; NIT #800173990–7 (Colombia) [SDNTK]

SOCIEDAD DE NEGOCIOS SAN AGUSTIN LTD.A., Factoria La Rivera, La Union, Valle, Colombia; NIT #800042932–1 (Colombia) [SDNT]

SOCIEDAD MINERA GRIPOS S.A., Carrera 43 No. 1A Sur–29, Medellin, Colombia; Avenida Rodrigo Mira Calle 53 Cra. 45 y 45, El Bage, Antioquia, Colombia; NIT #811033869–7 (Colombia) [SDNT]

SOCIEDAD SUPERDEPORTES LTD.A., Carrera 10 No. 93A–29, Bogota, Colombia; NIT #8009712537 (Colombia) [SDNT]
SOCIETA COMMERCIA MINERALI E METALLLI, SRL (a.k.a. SOCOMET, SPA), Milan, Italy [CUBA]

SOE, Myint Myint (a.k.a. SOE, Daw Myint Myint); DOB 15 Jan 1953; wife of Nyan Win (individual) [BURMA]

SOLAQUE SANCHEZ, Alfredo Alfonso, c/o ALFA PHARMA S.A., Bogota, Colombia; c/o PENTA PHARMA DE COLOMBIA S.A., Bogota, Colombia; c/o LABORATORIOS KRESSFOR DE COLOMBIA S.A., Bogota, Colombia; c/o PENTACOOP LTDA., Bogota, Colombia; c/o LABORATORIOS BLAIMAR DE COLOMBIA S.A., Bogota, Colombia; c/o DISTRIBUIDORA DE IXAYA CONDOM LTDA., Bogota, Colombia; DOB 18 Dec 1962; Cedula No. 79261845 (Colombia) (individual) [SDNT]

SOLEIMANI, Qasem (a.k.a. SALIMANI, Qasem; a.k.a. SOLEIMANI, Qasem; a.k.a. SOLEIMANI, Qasem; a.k.a. SOLEIMANI, Qasem; a.k.a. SOLEYMANI, Qasem; a.k.a. SOLEYMANI, Qasem; a.k.a. SOLEYMANI, Qasem; a.k.a. SOLEYMANI, Qasem; a.k.a. SOLAIMANI, Qasem; a.k.a. SOLAYMANI, Qasem; a.k.a. SOLEIMANI, Qasem); DOB 11 Mar 1957; POB Qom, Iran; citizen Iran; nationality Iran; Diplomatic Passport 008827 (Iran) issued 1999 (individual) [NPWMD]

SOLUCIONES COOPERATIVAS, Calle 70 Sur No. 83-88, Bogota, Colombia; Carrera 32 No. 25-71, Bogota, Colombia; Calle 15 No. 4-43 of. 250, Cali, Colombia; NIT #30118975-5 (Colombia) [SDNT]

SOMALI INTERNATIONAL RELIEF ORGANIZATION, 1806 Riverside Ave., 2nd Floor, Minneapolis, MN [SDGT]

SOMALI INTERNET COMPANY, Mogadishu, Somalia [SDGT]

SOMALI NETWORK AB (a.k.a. SOM NET AB), Hagbybacken 15, Spanga 76, Sweden [SDGT]

SONAR F.M. E.U. DIETER MURLE (a.k.a. FIESTA STEREO 95.5 F.M.; a.k.a. PRISMA STEREO 89.5 F.M.), Calle 46A No. 1-29 Urb. Sta. Maria del Palmar, Palmira, Colombia; Calle 15 Norte No. 6N-34 of. 1003, Cali, Colombia; NIT #805006737-1 (Colombia) [SDNT]

SONAR F.M. S.A. [f.k.a. COLOR ESTEREO S.A.; f.k.a. COLOR’S S.A.; f.k.a. RADIO UNIDAS FM S.A.], Calle 15 Norte No. 6N-34 piso 15 Edificio Alcazar, Cali, Colombia; Calle 15N No. 2N-29 piso 10 Sur, Cali, Colombia; NIT #800163602-5 (Colombia) [SDNT]

SOOTA, Stanko; DOB 4 Feb 1968; POB Duzice, Bosnia-Herzegovina (individual) [BALKANS]

SORAYA Y HAYDEE LTDA., Calle 15 Norte No. 6N-34, Piso 15, Cali, Colombia; NIT #805006463-6 (Colombia) [SDNT]

SOTO GIL, Yolanda Esthela, c/o FORPRES, S.C., Tijuana, Baja California, Mexico; Padre Mayorga No. 106, Fraccionamiento Las Californias, Tijuana, Baja California, Mexico; c/o DISTRIBUIDORA IMPERIAL DE BAJA CALIFORNIA, S.A. DE C.V., Av. Rio Naza 1522, Col. Revolucion, Tijuana, Baja California CP 22400, Mexico; DOB 5 Aug 1950; POB Tijuana, Baja California, Mexico; C.U.R.P. SOGY500805MBCTLL15 (Mexico) (individual) [SDNTK]

SOTO GUTIERREZ, Hernan, c/o INVERSIONES ARIO LTDA, Cali, Colombia; Carrera 24E No. 4-116 Oeste, Cali, Colombia; Cedula No. 6079597 (Colombia) (individual) [SDNT]

SOTO GUTIERREZ, Ivonne (a.k.a. SOTO DE GOMEZ, Ivonne; a.k.a. SOTO VEGA DE GOMEZ, Ivonne; a.k.a. SOTO VEGA DE LA PANTERA’’), Ave. Las Conchas 643, Colonia Playas de Tijuana Secc. Coronado, Tijuana, Baja California CP 22200, Mexico; Peo. Centenario 9971, Colonia Zona Urbana Rio Tijuana, Tijuana, Baja California CP 22220, Mexico; c/o MULTISERVICIOS SIGLO, S.A. DE C.V., Tijuana, Baja California, Mexico; DOB 22 Oct 1953; alt. DOB 25 Oct 1953; POB Tijuana, Baja California, Mexico; R.F.C. SOVI-531022-QIA (Mexico) (individual) [SDNTK]

SOUTH ISLAND SHIPPING CO. LTD., c/o EMPRESA DE NAVEGACION MAMBISA, Apartado 545, San Ignacio 104, Havana, Cuba [CUBA]

SOUTH ISLANDS (vessel) [CUBA]

SOUTH SHIPPING LINE IRAN (a.k.a. SOUTH SHIPPING LINES IRAN COMPANY), Apt. No. 7, 3rd Floor, No. 2, 4th Alley, Gandi Ave., Tehran, Iran; Qasem Magham Farahani St., Tehran, Iran [NPWMD]

SOUTHBOUND LTD., P.O. Box 398, Suite 52 and 53 Moneviva House, 26 Main Street, Gibraltar, United Kingdom [LIBERIA]

SPASOJEVIC, Dragon, Bosnia and Herzegovina; DOB 5 Jul 1965; National ID No. 050 796 318 3954 (individual) [BALKANS]

SPECKMAN, Jeanine, United Kingdom (individual) [IRAQ2]

SPINNING AND WEAVING CORPORATION, P.O. Box 795, Khartoum, Sudan [SUDAN]

SPITIA VALENCIA LTDA., Calle 9 No. 44-59, Cali, Colombia; NIT #805006598-1 (Colombia) [SDNTK]

SPRING SP FARM, Mashvingo, Zimbabwe [ZIMBABWE]

SRC (a.k.a. SUDAN RAILWAYS CORPORATION), Port Sudan, Sudan; Kosti, Sudan; Khartoum, Sudan; P.O. Box 49, Bara, Sudan; Babanousa, Sudan [SUDAN]

SRDC (a.k.a. SUDAN RURAL DEVELOPMENT COMPANY LIMITED), P.O. Box 2180, Khartoum, Sudan [SUDAN]
STAKIC, Milomir; DOB 19 Jun 1962; POB Maricka, Bosnia-Herzegovina; ICTY indictee (individual) [BALKANS]

STANDWEAR (vessel) [CUBA]

STANDWEAR SHIPPING CO. LTD., c/o EMPRESA DE NAVEGACION MAMBISA, Apartado 543, San Ignacio 104, Havana, Cuba [CUBA]

STANTIC, Jovica; DOB 30 Jul 1950; POB Ratkovo, Serbia and Montenegro; ICTY indictee in Serb custody (individual) [BALKANS]

STANKOVIC, Radovan; DOB 10 Mar 1953; POB Trebeca, Bosnia-Herzegovina; ICTY indictee in custody (individual) [BALKANS]

STATE CORPORATION FOR CINEMA, P.O. Box 211, Khartoum, Sudan [SUDAN]

STATE PEACE AND DEVELOPMENT COUNCIL OF BURMA [BIRMA]

STATE TRADING COMPANY (a.k.a. STATE TRADING CORPORATION), P.O. Box 211, Khartoum, Sudan [SUDAN]

STEIGER, Jakob, c/o AGHAS AFG, Fribourg, FR, Switzerland; DOB 27 Apr 1941; POB Altstatten, SG, Switzerland (individual) [NPWMD]

STEPANOVIC, Novak; DOB 25 Apr 1966; POB Srebrenica, Bosnia-Herzegovina (individual) [BALKANS]

STERN, Alfred Kaufman, Prague, Czech Republic (individual) [CUBA]


STICHITING BENEVOLENCE INTERNATIONAL NEDERLAND (a.k.a. BENEVOLENCE INTERNATIONAL NEDERLAND; a.k.a. STG.BENEVOLENCE INTERNATIONAL NEDERLAND), Postbus 1149, Maastricht 6201BC, Netherlands; Radeborg 14 B, Maastricht 6228CV, Netherlands; Registration ID 14065277 [SDGT]

STRONG LINK DE MEXICO, S.A. DE C.V., Flores Magos 8013, Esquina Ninos Heroes, Zona Central, Tijuana, Baja California, Mexico; Avenida C. Flores Magos 8013, Aguiles Serdán y Reforma, Tijuana Centro, Tijuana, Baja California, Mexico; R.F.C. SLM–020812–2P4 (Mexico) [SDNTK]

STRUGAR, Pavle; DOB 13 Jul 1958; POB Pec, Serbia and Montenegro; ICTY indictee (individual) [BALKANS]

SU SERVICIO SOCIEDAD LTDA., Calle 67 No. 47–03, Cartagena, Colombia; Calle 76 No. 45–19 Local 1B, Barranquilla, Colombia; Calle 50 No. 41–84, Barranquilla, Colombia; NIT #902021941–1 (Colombia) [SDNT]

SU, Lu-Chi (a.k.a. TSAI SU, Lu-Chi), C/O GLOBAL INTERFACE COMPANY INC., Taipei, Taiwan; C/O TRANS MERITS CO. LTD., Taipei, Taiwan; DOB 7 Feb 1950; alt. DOB Nov 1950; POB Yun Lin Hsien, Taiwan; Passport 210215065 (Taiwan); Corporate Officer (individual) [NPWMD]

SUAREZ BERNAL, Myriam, c/o FARMA XXI LTDA., Neiva, Huila, Colombia; DOB 2 Nov 1970; Cedula No. 35414723 (Colombia); Passport 35414723 (Colombia) (individual) [SDNT]

SUAREZ RIANO, Adela, c/o VILLARO LTD., Bogota, Colombia; Cedula No. 39646144 (Colombia) [SDNT]

SUÁIZA BARCO, María del Carmen (a.k.a. SUÁIZA BARCO, Carmen), c/o HIERROS DE JERUSALEN, Medellin, Colombia; c/o CONSTRUCTORA GUADALEST, Medellin, Colombia; c/o AGROESPIINAL S.A., Medellin, Colombia; c/o ASES DE COMPETENCIA Y CIA. S.A., Medellin, Colombia; c/o AGROGANADERA LOS SANTOS S.A., Medellin, Colombia; c/o FRANZUL S.A., Medellin, Colombia; DOB 06 May 1921; POB Andes, Antioquia, Colombia; Cedula No. 32463609 (Colombia); VisaNumberID 2024702 (Mexico) (individual) [SDNT]

SUBDIVISION 3 OF CALEDON FARM, Caledon, Zimbabwe [ZIMBABWE]

SUBOTIC, Bogdan; DOB 25 Apr 1941; POB Bosanska Gradiska, Bosnia-Herzegovina (individual) [BALKANS]

SUDAN ADVANCED RAILWAYS, Khartoum, Sudan [SUDAN]

SUDAN AIR (a.k.a. SUDAN AIRWAYS), Kuwait; Nigeria; Saudi Arabia; Uganda; United Arab Emirates; Egypt; Ethiopia; Kenya; Greece; P.O. Box 253, Khartoum, Sudan; Italy; Germany; United Kingdom; 199 Atlantic Avenue, Brooklyn, NY 11201–5606; Chad; 211 East 43rd Street, New York, NY 19017; Bahrain [SUDAN]

SUDAN COTTON COMPANY, Khartoum, Sudan [SUDAN]
SUDANESE PETROLEUM CORPORATION, 7th Floor, Al Kuwairia Building, El Nile Street, Khartoum, Sudan [SUDAN]

SUDANESE REAL ESTATE SERVICES COMPANY, Khartoum, Sudan [SUDAN]

SUDANESE SAVINGS BANK, P.O. Box 159, Wad Medani, Sudan [SUDAN]

SUDANESE SUGAR PRODUCTION COMPANY LIMITED (a.k.a. SUDANESE SUGAR COMPANY), P.O. Box 511, Building No. 3–Block No. 7, Al-Shatee Gharb-Gamama Avenue, Khartoum, Sudan; El Gamaa Street (Aljama Street), Opposite the Authority of Electricity Building, P.O. Box 511, Khartoum, Sudan; E-mail Address sukar@sudanmail.net (Sudan) [SUDAN]

SUDAPET LTD. (a.k.a. SUDAN PETROLEUM COMPANY LIMITED; a.k.a. SUDAPET), El Nil Street, Khartoum, Sudan [SUDAN]

SUFAYAT, Yazid (a.k.a. BIN SUFAAT, Yazud); DOB 20 Jan 1964; POB Johor, Malaysia; nationality Malaysia; Passport A1072203 (Malaysia) (individual) [SDGT]

SUGAR AND DISTILLING INDUSTRY CORPORATION (a.k.a. SUGAR AND DISTILLING CORPORATION), New Mustafa El Amin Building, Barlaman Avenue, P.O. Box 511, Khartoum, Sudan [SUDAN]

SUGHAIER, Muhammad `Abdallah Salih (a.k.a. AL-SAGHIR, Mohd; a.k.a. AL-SUGAIR, Muhammad `Abdallah Salih; a.k.a. AL-SUGAYER, Muhammad; a.k.a. AL-SUGHAYIR, Muhammad `Abdallah Salih; a.k.a. AL-SUGHAIER, Muhammad `Abdallah Salih; a.k.a. AL-SUGHAIER, Muhammad `Abdallah Salih; a.k.a. AL-SUGHAYR, Muhammad `Abdallah Salih; a.k.a. AL-SUGHAYR, Muhammad `Abdallah Salih; a.k.a. AL-SUGAYR, Muhammad `Abdallah Salih; a.k.a. "ABBULAH, Abu"; a.k.a. "BAKIR, Abu"); DOB 20 Aug 1972; alt. DOB 10 Aug 1972; POB Al-Karawiya, Saudi Arabia; nationality Saudi Arabia (individual) [SDGT]

SYALMAIN, Mohammed Ibrahim, P.O. Box 3722, Number 29, Manishia District, Khartoum, Sudan; Secretary General, IARA Headquarters (individual) [SDGT]

SUMA, Emrano, DOB 27 May 1974; POB Dimec, Serbia and Montenegro (individual) [BALKANS]

SUNSET & 97TH HOLDINGS, LLC, (a.k.a. SUNSET AND 97TH HOLDINGS, LLC.), 9100 South Dadelanel Boulevard, Suite 912, Miami, FL 33156; P.O. Box 5314, Calle 72 No. 656, Barranquilla, Colombia; 19667 Turnberry Way, Unit 12 G, Miami, FL 33180; 780 NW Le Jeune Road, Suite 516, Miami, FL 33126; 780 NW 42nd Avenue, Suite 516, Miami, FL 33126; US FEIN 260096717 (United States) [SDNT]

SUPER BOYS GAMES LTD.A., Carrera 40 No. 186-67, Bogota, Colombia; NIT #83000476-5 (Colombia) [SDNT]

SUPERGEN LTDA., Calle 39 BIS A No. 27-16 and 27-20, Bogota, Colombia; Calle 53 No. 35A-13 of. 302, Bucaramanga, Colombia; NIT #80009924-8 (Colombia) [SDNT]

SUPERTIENDAS LA REBAJA, Avenida Colombia No. 2-45, Cali, Colombia; Calle 9, No. 26-56, Cali, Colombia (SDNT)

SUPLIDORA LATINO AMERICANA, S.A. (a.k.a. SUPLIALAT, S.A.), Panama City, Panama [CUBA]

SURAMERICANA DE HOTELLES LTDA. (a.k.a. SURATEL), Calle 74 No. 53-30, Barranquilla, Colombia; NIT #800011603-0 (Colombia) [SDNT]

SURAQIYA, P.O. BOX AND MEDIA BROADCASTING (a.k.a. SBC TELEVISION; a.k.a. SBC TV; a.k.a. SURAQIYA FOR MEDIA AND BROADCASTING; a.k.a. SORAQIYA FOR MEDIA AND BROADCASTING), Al Safara’ Street in the Ya’fur district, Damascus, Syria [SYRIA]

SWE, Myint; DOB 24 Jun 1961; citizen Burma; Lieutenant-General; Chief of Military Affairs Security (individual) [BURMA]

SWEDAN, Sheikh Ahmed Salim (a.k.a. AHMED THE TALL; a.k.a. ALLY, Ahmed; a.k.a. BAHAMAD; a.k.a. BAHAMAD, SHEIK; a.k.a. BAHAMADI, SHEIKH; a.k.a. SWEDAN, SHEIKH; a.k.a. SWEDAN, Sheikh Ahmed Salem); DOB 9 Apr 1969; alt. DOB 9 Apr 1960; POB Mombasa, Kenya; citizen Kenya (individual) [SDGT]

SWIFT INVESTMENTS (PVT) LTD., P.O. Box 3928, Harare, Zimbabwe; 730 Cowie Road, Tynwald, Harare, Zimbabwe (individual) [SDNT]

SYAWAL, Yassin (a.k.a. ABU MUAMAR; a.k.a. MOCHTAR, Yasin Mahmud; a.k.a. MUBAROK, Muhamad; a.k.a. SYAWAL, Muhammad; a.k.a. YASIN, Abdul Hadi; a.k.a. YASIN, Salim; a.k.a. “ABU SETA’; a.k.a. “MAHMUD’’); DOB circa 1972; nationality Indonesia (individual) [SDGT]

SYLA, Azem; DOB 5 Apr 1951; POB Serbia and Montenegro (individual) [BALKANS]

SYRIATEL, (a.k.a. SYRIATEL MOBILE LTD; a.k.a. SYRIATEL MOBILE TELECOM; a.k.a. SYRIATEL MOBILE TELECOM SA), Doctors Syndicate Building, Al Jalaa Street, Abu Roumcheh Area, PO Box 2900, Damascus, Syria [SYRIA]

T.N.K. FABRICS LIMITED, United Kingdom [IRAQ2]

T.E.G. LIMITED, 3 Mandeville Place, London, United Kingdom [IRAQ2]

T.H. ALZATE Y CIA. S.C.S., Calle 16 Norte No. 9N-41, Cali, Colombia; NIT #805008972-0 (Colombia) [SDNT]

T.M.G. ENGINEERING LIMITED, Castle Row, Horticultural Place, Chiswick, London, United Kingdom [IRAQ2]

TABA RES BEDOY, Carlos Eduardo, c/o CHAMARTIN S.A., Cali, Colombia; c/o ADMINISTRADORA DE SERVICIOS VARIOS CALIMA S.A., Cali, Colombia; c/o ADMINISTRADORA DE SERVICIOS VARIOS CALIMA S.A., Cali, Colombia; c/o ASISTENCIA PROFESIONAL ESPECIALIZADA EN COLOMBIA LIMITADA, Cali, Colombia; DOB 10 Sep 1976; Cedula No. 16791397 (Colombia); Passport 16791397 (Colombia) (individual) [SDNT]

TABAHE, Asil Sami Mohamad Madhi (a.k.a. TABRA, Asil); DOB 19 Jun 1964; nationality Iraq (individual) [IRAQ2]

TADIC, Dusan (a.k.a. DULE, a.k.a. “DUSKO”); DOB 1956; POB Cajnice, Bosnia-Herzegovina; ICTY indictee (individual) [BALKANS]

TAHA, Khalil Ibrahim Mohamed Achar Foudail (a.k.a. IIBAHIEM, Khalil; a.k.a. MOHAMED, Khalil Ibrahim); DOB 19 Jun 1958; POB El Fasher, Sudan; alt. POB Al Fashir, Sudan; nationality Sudan; National Foreign ID Number 420301671 (France) issued 20 Feb 2004; Registration ID 0179427 (France); Chairman, Justice and Equality Movement; Co-founder, National Redemption Front (individual) [DARFUR]

TAHER, PERFUMERY CORPORATION, P.O. Box 224, Khartoum, Sudan [SUDAN]

TAHIR, Buhyar Seyed Abu; DOB 17 Apr 1959; POB Chennai, India; nationality Sri Lanka; Passport M1754102 (Sri Lanka) issued 16 Mar 1999 expires 16 Mar 2004; alt. Passport M2068357 (Sri Lanka) issued 4 Sep 2001 expires 30 Sep 2006 (individual) [NFWMD]

TAHREER PERFUMERY CORPORATION, EL, Omdurman, Sudan [SUDAN]

TAIBAH INTERNATIONAL: BOSNIA BRANCH (a.k.a. AL TAIBAH, INTL.; a.k.a. TAIBAH INTERNATIONAL AID AGENCY; a.k.a. TAIBAH INTERNATIONAL AID ASSOCIATION; a.k.a. TAIBAH INTERNATIONAL AID ASSOCIATION), No. 26 Tihanksa Ullica, Sarajevo, Bosnia and
Talib, Aktham, P.O. Box 1318, Amman, Jordan (individual) [IRAQ2]

TALLER DE REPARACIONES DE AERODINOS S.A. DE C.V., Saucillo, Mexico; Avenida Novena No. 62, Saucillo, Chihuahua, Mexico; DOB 23 Sep 1974; POB Mexico City, Mexico; citizen Mexico, nationality Mexico (individual) [SDNTK]

TAMMANY H (f.k.a. PRIMROSE ISLANDS) (vessel) [CUBA]

TANCON COMMERCIAL BANK (f.k.a. CHANGGWANG CREDIT BANK; f.k.a. KOREA CHANGGWANG CREDIT BANK), Saemul 1-Dong Pyongchon District, Pyongyang, Korea, North [NPWMD]

TAPIA ORTEGA, Abigail (a.k.a. TAPIA ORTEGA, Abigail, c/o TARABAIN CHAMS), Avenida Jose Maria De Brito 608, Apartment 51, Old Foz de Iguaçu, Brazil; Cecilia Meirelles 849, Bloco B, Apartment 606, Foz do Iguacu, Brazil; DOB 11 Jan 1967; POB 319, Lucerne 6005, Switzerland; Ragama Road, Akkarapattu-07, Amparai, Sri Lanka; Warburgstr. 15, Wuppertal 42285, Germany; M.G.R. Lemmens, str-09, BM M1K 2P5, Canada; Registration ID D4025482 (Australia); alt. Registration ID 107434 (United Kingdom); alt. Registration ID 50706 (Sri Lanka); alt. Registration ID 802401-0696 (Sweden); alt. Registration ID 6205 (Australia); Tax ID No. 52-1943883 (United States) [SDGT]

TAMMANY H (vessel) [CUBA]
TAYLOR, Jewell Howard; DOB 17 JAN 1963; Wife of former President of Liberia Charles Taylor (individual) [LIBERIA]

TAYLOR, Tupee Enid; DOB 17 DEC 1962; Ex-wife of former President of Liberia Charles Taylor (individual) [LIBERIA]

TEA PACKETING AND TRADING COMPANY, P.O. Box 369, Khartoum, Sudan [SUDAN]

TECHNIC DIGEMEX CORP., Calle 34 No. 4–50, Office 301, Panama City, Panama [CUBA]

TECHNIC HOLDING INC., Calle 34 No. 4–50, Office 301, Panama City, Panama [CUBA]

TECHNOLOGY AND DEVELOPMENT GROUP LTD (a.k.a. T.D.G.), Centric House 390/391, Strand, London, United Kingdom [IRAQ]

TECNICAR DIAGNOSTICENTRO S.A. (f.k.a. TECNICAR DIAGNOSTICENTRO E.U.), Carrera 48 No. 25AA Sur-13 Barrio Las Vegas, Envigado, Colombia; NIT 831104676–7 (Colombia) [SDNT]

TECNICAS CONTABLES Y ADMINISTRATIVAS (a.k.a. TECONTA), Carrera 3 No. 11–32 of. 939, Cali, Colombia; Cedula No. 16242868 (Colombia) [SDNT]

TECNOVET LTDA., Temuco, Chile; Address PO Box 1120, Temuco, Chile; Passport CH930716 (Chile); Managing Director (individual) [CUBA]

TECNOVET LTDA. TECNICAS VETERINARIAS TECNOVET LTDA. (a.k.a. TECNOVET LTDA.), Carrera 13 No. 15–41, Bogota, Colombia; NIT 838020217–8 (Colombia) [SDNT]

TEEN ; Vessel Registration Identification IMO 9101649 (vessel) [NPWMD]

TEJAR LA MOJOSA S.A., Transversal 13 No. 20C–35, Caucas, Hermosillo, Sonora, Mexico; Blvd. Francisco Eusebio Kino 177-7, Col. 5 de Mayo, Hermosillo, Sonora 83010, Mexico; Blvd Rodriguez 108, Col Centro, Hermosillo, Sonora, Mexico; R.F.C. TDS920131UD6 (Mexico) [SDNT]

TECNICAR DIAGNOSTICENTRO S.A. (f.k.a. TECNICAR DIAGNOSTICENTRO E.U.), Carrera 48 No. 25AA Sur-13 Barrio Las Vegas, Envigado, Colombia; NIT 831104676–7 (Colombia) [SDNT]
The Islamic International Brigade
The Aid Organization of the Ulema
Thaung (a.k.a. Thaung, U), Burma; DOB 6
Thaer, Mansour; DOB 21 Mar 1974; POB
Thaci, Menduh; DOB 3 Mar 1965; POB
Tha, Soe, Burma; DOB 1945; citizen Burma; nationality Burma; Minister of National Planning and Economic Development (individual) (Burma)

The Special Purpose Islamic Regiment (a.k.a. Islamic Regiment of Special Meaning; a.k.a. The Al-Jihad-Pisi-Sabililah Special Islamic Regiment; a.k.a. The Islamic Special Purpose Regiment) (Burma)

Thaer, Mansour; DOB 21 Mar 1974; POB Baghdad, Iraq (individual) (Iraq)

Thaung (a.k.a. Thaung, U), Burma; DOB 6 Jul 1937; citizen Burma; nationality Burma; Minister of Labor; Minister of Science & Technology (individual) (Burma)

The Aid Organization of the Ulema (a.k.a. Al Rasheed Trust; a.k.a. AL-RASHEED TRUST; a.k.a. AL-RASHID TRUST), a.k.a. AL RASHEED Trust; a.k.a. AL RASHEED TRUST, Office Dha’r-b-i-M’unin, Room no. 3, Third Floor, Moti Plaza, near Liaquat Bagh, Marree Road, Rawalpindi, Pakistan; Office Dha’r-b-i-M’unin, Top Floor, Dr. Dawa Khan Dental Clinic Surgeon, Main Baxar, Mingora, Swat, Pakistan; Office Dha’r-b-i-M’unin, Z.K. Brothers, Katchery Road, Chowk Yadgaar, Peshawar, Pakistan; 617 Clifton Center, Block 5, 6th Floor, Clifton, Karachi, Pakistan; 3626–46, Good Earth Court, Ciposetter, Pia Plantarium, Block 12a, Gulshan –I Iqbal, Karachi, Pakistan; Kitab Ghar, Darul Ifta Wali Irfad, Nazimabad No. 4, Karachi, Pakistan; Office Dha’r-b-i-M’unin, opposite Khiter Bank, Abbottabad Road, Mansehra, Pakistan; 605 Landmark Plaza, 11 Chundigar Road, Opposite Jang Building, Karachi, Pakistan; Jamia Maedjid, Sulaiman Park, Begum Fura, Lahore, Pakistan; Operations in Afghanistan: Herat, Jalalabad, Kabul, Kandahar, Mazar Sharif; Also operations in: Kosovo, Chechnya (SDGT)
The Islamic International Brigade (a.k.a. INTERNATIONAL BATTALION; a.k.a. ISLAMIC PEACEKEEPING INTERNATIONAL BRIGADE; a.k.a. PEACE-KEEPING BATTALION; a.k.a. THE INTERNATIONAL BRIGADE; a.k.a. The Islamic Peacekeeping Army; a.k.a. The Islamic Peacekeeping Brigade) (SDGT)

The Riyadus-Salikhin Reconnaissance and Sabotage Battalion of Chechen Martyrs (a.k.a. RIYADH-A-SALIHEREEN; a.k.a. RIYADUS-SALIKHIN RECONNAISSANCE AND SABOTAGE BATTALION; a.k.a. RIYADUS-SALIKHIN RECONNAISSANCE AND SABOTAGE BATTALION OF SHAHIDS (MARTYRS); a.k.a. The Sabotage and Military Surveillance Group of the Riyad Al-Salihin Martyrs) (SDGT)

The Special Purpose Islamic Regiment (a.k.a. Islamic Regiment of Special Meaning; a.k.a. The Al-Jihad-Pisi-Sabililah Special Islamic Regiment; a.k.a. The Islamic Special Purpose Regiment) (Burma)

Thein, Tin Naing, Burma; DOB 1955; citizen Burma; nationality Burma; Brigadier General, Minister of Commerce (individual) (Burma)

Thein, U Kyaw, 503 Sembawang Road, #02–29 757707, Singapore; DOB 25 Oct 1947; citizen Burma; nationality Burma; National ID No. S2733696J (Singapore) issued 7 Jul 2005; permanent resident Singapore; c/o Air Bagan Holdings Pte. Ltd.; c/o Htoo Wood Products Pte. Ltd.; c/o Pavo Aircraft Leasing Pte. Ltd.; c/o Pavo Trading Pte. Ltd.; permanent resident Singapore (individual) (Burma)

Thet, Khin Lay (a.k.a. Thet, Daw Khin Lay); DOB 19 Jan 1947, wife of Thura Shwe Mann (individual) (Burma)

Thet, Naing Win (a.k.a. “THET NAING WIN”), c/o TET KHAM CONSTRUCTION COMPANY LIMITED, Mandalay, Burma; Passport 94188 (Burma) (individual) (SDNTK)

Thi, Lan; DOB 18 Jul 1946; citizen Burma; nationality Burma; Brigadier-General; Minister of Energy (individual) (Burma)

Thihla (a.k.a. Thi HA); DOB 24 Jun 1960; c/o Htoo Group of Companies; c/o Htoo Trading Company Limited (individual) (Burma)

Tienda Marina Abaroa (a.k.a. Abaroa Fox Marine; a.k.a. Materiales y Refacciones Abaroa), Abasolo S/N, Col. El Manglito, La Paz, Baja California Sur 23600, Mexico; Leona Vicario 1000 E/Alvaro Obregon, Benito Juarez, Cabo San Lucas, Baja California Sur 23469, Mexico; R.F.C. AADV55053OUQO (Mexico) (SDNTK)

Tifton (vessel) (Cuba)

Tigris Trading, Inc., 5903 Harper Road, Solon; 2 Stratford Place, London WIN SA6, United Kingdom (IRAQ)

Tilfaah, Safiyya Khayryallah; DOB 1957; POB Al-Awja, near Tikrit, Iraq; nationality Iraq; wife of Saddam Hussein al-Tikriti (individual) (IRAQ)
TIRADO MARTINEZ, (a.k.a. TIRADO ESCAMILLA, Telesforo
[SDNTK]
TIDR710328HJCRZL02 (Mexico) (individual)
[SDNTK]
Mexico; nationality Mexico; C.U.R.P. Mar 1971; POB Jalisco, Mexico; citizen Mexico; nationality Mexico; Electoral Registry No. TRDZ171623045N00 (Mexico) issued 1997 (individual) [SDNTK]
TIRADO DIAZ, Rolando, c/o PRODUCTOS FARMACEUTICOS COLLINS, S.A. DE C.V., Zapopan, Jalisco, Mexico; DOB 28 Mar 1971; POB Jalisco, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. TIRD19730326HCRZL62 (Mexico) (individual) [SDNTK]
TIRADO ESCAMILLA, Telesforo Baltazar (a.k.a. TIRADO ESCAMILLA, Telesforo Balta
[139]
CENTRO DE DIAGNOSTICO AUTOMOTRIZ EJE BANANERO S.A., Apartado, Antioquia, Colombia; POB Colombia; citizen Colombia; nationality Colombia; Cedula No. 15367370 (Colombia) (individual) [SDNTK]

TORRES CORTES, Joselin, c/o AUREAL INMOBILIARIA LTDA., Bogota, Colombia; DOB 26 Nov 1965; POB Turbaco, Bolivar, Colombia; citizen Colombia; nationality Colombia; Cedula No. 892858 (Colombia) (individual) [SDNTK]

TORRES CUETER, Guillermo Enrique (a.k.a. "JULIAN CONRADO"); DOB 17 Aug 1954; POB Colombia; citizen Colombia; nationality Colombia; Cedula No. 15367370 (Colombia) (individual) [SDNTK]

TORRES FELIX, Javier (a.k.a. FELIX TORRES, Javier; a.k.a. TAMAYO TORRES, Horacio; a.k.a. "COMPADRE"; a.k.a. "EL JT"); Calle Paseo La Cuesta #1550, Apt 6, Colonia Lomas De Guadalupe, Culiacan Rosales, Sinaloa, Mexico; DOB 19 Oct 1960; POB Mexico; citizen Mexico; nationality Mexico (individual) [SDNTK]

TORRES LOZANO, Isolina, c/o LABORATORIOS BLAIMAR DE COLOMBIA S.A., Bogota, Colombia; c/o COSMEPOP, Bogota, Colombia; DOB 11 Mar 1963; Cedula No. 28796392 (Colombia) (individual) [SDNTK]

TORRES MARTINEZ, Camilo, c/o MI CARRO E.U., Medellin, Colombia; c/o REPUESTOS EL NATO Y CIA LTDA., Medellin, Colombia; DOB 26 Nov 1965; POB Cuba; citizen Cuba; nationality Cuba; Cedula No. 28796392 (Colombia) (individual) [SDNTK]

TORRES MORENO, Marisol, c/o PROVIDA E.U., Cali, Colombia; DOB 10 May 1969; Cedula No. 31992583 (Colombia) (individual) [SDNTK]

TORRES REINA, Oscar Javier, c/o COOPERATIVA DE TRABAJO ASOCIADO ACTIVAR, Bogota, Colombia; c/o COOPERATIVA MULTIACTIVA DE COLOMBIA FOMENTAMOS, Bogota, Colombia; DOB 2 Jan 1978; Cedula No. 79866944 (Colombia); Passport 79866944 (Colombia) (individual) [SDNTK]

TORRES SOSA, Benjamin, Avenida Insurgentes Centro No. 60, No. Int. 1, Colonia Tabacalera, Delegacion Cuauhtemoc, Mexico, Distrito Federal C.P. 06630, Mexico; DOB 31 Mar 1969; POB Guadalupe, Zacatecas; citizen Mexico; nationality Mexico; C.U.R.P. TORSB690331HZSRSN06 (Mexico); Cartilla de Servicio Militar Nacional B4494097 (Mexico); Electoral Registry No. TRSSBN0963312H900 (Mexico); R.F.C. TORSB690331 (Mexico) (individual) [SDNTK]

TORRES VICTORIA, Jorge (a.k.a. "PAO CATATUMBO"); DOB 19 Mar 1953; POB Cali, Valle, Colombia; Cedula No. 14990220 (Colombia) (individual) [SDNTK]

TORRES, Ana Leonor (a.k.a. "CATA"; a.k.a. "CATALINA"; a.k.a. "MARIA"); DOB 05 Sep 1961; POB Puerto Lopez, Meta, Colombia; citizen Colombia; nationality Colombia; Cedula No. 21243624 (Colombia) (individual) [SDNTK]

TORRES, Manuel, Federico Boyd Avenue & 51 Street, Panama City, Panama; Representative, Banco Nacional de Cuba (individual) [CUBA]

TOSCO GARCIA, Arnaldo, Panama (individual) [CUBA]
TRABELSI, Chabaane Ben Mohamed, via TOYS FACTORY, S.A. DE C.V., Blv. Gustavo Diaz Ordaz No. 16-5, Col. Pque Ind. Bajamar Aguila, Tijuana, Baja California, Mexico; Blv. Gustavo Diaz Ordaz No. 1, Col. Las Brisas, Tijuana, Baja California, Mexico; Ave. Presidente Carlos Salinas de Gortari No. 5, Col. Infonavit Presidente, Tijuana, Baja California, Mexico; Ave Poniente Carlos Salinas S/N, Col. Infonavit, Tijuana, Baja California, Mexico; Cedula No. 17640605 (Colombia) (individual) [SDNTK]

TRABELSI, Mourad (a.k.a. ABOU DJARRAH; a.k.a. AL-TRABELSI, Mourad Ben Ali Ben Al-Basheer), Via Geromini 15, Cremona, Italy; DOB 20 May 1969; POB Menzel Temime, Tunisia; nationality Tunisia; Italian Fiscal Code TRBCBN66E0123S20; Passport L 945660 issued 4 Dec 1998 expires 3 Dec 2001 (individual) [SDGT]

TRABELSI, Mouad (a.k.a. ABOU DJARRAH; a.k.a. AL-TRABELSI, Mourad Ben Ali Ben Al-Basheer), Via Geromini 15, Cremona, Italy; DOB 20 May 1969; POB Menzel Temime, Tunisia; nationality Tunisia; Italian Fiscal Code TRBCBN66E0123S20; Passport L 945660 issued 4 Dec 1998 expires 3 Dec 2001; arrested 1 Apr 2003 (individual) [SDGT]

TRACKING INOVATIONS S.L., Calle Marques Del Duero 76-3C San Pedro De Alcantara, Marbella, Malaga 29670, Spain; C.I.F. B-69719969 (Spain) [SDNT]

TRADING & MARITIME INVESTMENTS (a.k.a. TRADING AND MARITIME INVESTMENTS), San Lorenzo, Honduras [IRAQ2]

TRANSPORT AND TRANSPORT SERVICES COMPANY, LTD., P.O. Box 212993, Amman 11121, Jordan; Al-Razi Medical Complex, Jabal Al-Hussein, Amman, Jordan; P.O. Box 91066, Amman 11191, Jordan [IRAQ2]

TRAMP PIONEER SHIPPING CO., Panama, c/o Anglo Caribbean Shipping Co., Ltd., 4th Floor, South Phase 2, South Quay Plaza, 183 Mars, London E14 9SH, United Kingdom [CUBA]

TRANS AVIATION GLOBAL GROUP INC., 611 S. Central Expwy, Ste 210, Richardson, TX 75080 [LIBERIA]

TRANS MATIS CO. LTD., P.O. Box 212993, Amman 11121, Jordan; Al-Razi Medical Complex, Jabal Al-Hussein, Amman, Jordan; P.O. Box 91066, Amman 11191, Jordan; Al-Razi Medical Complex, Jabal Al-Hussein, Amman, Jordan; P.O. Box 91066, Amman 11191, Jordan [IRAQ2]

TRANS PACIFIC WORLD LEASING LIMITED, First Floor International Building, Kumul Highway, Port Vila, Vanuatu; P.O. Box 2129, Port Vila, Vanuatu [SDNT]

TRANSAVIA NETWORK (a.k.a. NV TRANS AVIATION NETWORK GROUP; a.k.a. TRANSAVIA TRAVEL AGENCY; a.k.a. TRANSAVIA TRAVEL CARGO), P.O. Box 3962, Sharjah, United Arab Emirates; P.O. Box 2190, Ajman, United Arab Emirates; 1904 Boorj Building, Bank Street, Sharjah, United Arab Emirates; Ostende Airport, Belgium [LIBERIA]

TRANSIT, S.A., Panama [CUBA]

TRANSPORTADORA PUREPECHA S.A. DE C.V. (a.k.a. PUREPECHA TRUCKING CO.), Zaragoza 1050, Reynosa, Tabasco, Mexico; Zaragoza 1050, Reynosa, Tabasco, Mexico; Km. 7 Carretera Antigua, Nuevo Laredo, Tamaulipas, Mexico; Avenida de la Revolucion 7, Zumpimto, Carr. Apatzingan y Articulo 27, Uruapan, Michoacan 58000, Mexico; R.F.C. TPU991105FB4 (Mexico) [SDNTK]

TRANSPORTES AEREOS UNIDOS SELVA AMAZONICA S.A. (a.k.a. TAUSA S.A.; f.k.a. TRANSPORTES AEREAS UCHIZA
S.A.), Calle Soledad 111, Int. 302, Lima, Peru; RUC #2010373230 (Peru) [SDNTK]
TRANSFERTES DEL ESPIRITU SANTO S.A., Calle 14 No. 4-123, La Union, Valle, Colombia; San Juan Victor, La Union, Valle, Colombia; NIT #821902346-5 (Colombia) [SDNT]
TRANSFERTES MICHAEL LTDA. (a.k.a. TRANSMIKE LTDA.). Sitio Nuevo, Magdalena, Colombia; Calle 30 No. 10-50, Barranquilla, Colombia; NIT #80224118-3 (Colombia) [SDNT]
TRASLAVINA BENAVIDES, Erasmo (a.k.a. "ISMARDO MURCIA LOZADA"; a.k.a. "ISMARDO MURCIA LOZADA"; a.k.a. "JIMMY GUERRERO"); DOB 19 Jun 1966; POB Guacamayo, Santander, Colombia; citizen Colombia; nationality Colombia; Cedula No. 13624039 (Colombia) [SDNTK]
TRAVEL SERVICES, INC., Hialeah, FL [CUBA]
TRELIO FREIRE, Efraín Pablo (a.k.a. TRELLOS FREYRE, Pablo), Colombia; DOB 07 Jun 1951; citizen Colombia; Cedula No. 13004986 (Colombia); International FARC Commission Member for Fera (individual) [SDNT]
TRELLOS AGUILAR, Melba, Calle 25 No. 35–66, Tulua, Valle, Colombia; Cedula No. 29025609 (Colombia) [individual] [SDNT]
TRELLOS AGUILAR, Sonia, c/o INVERSIONES EL EDEN S.C.S., Cali, Colombia; Carrera 8 No. 6-37, Zarzal, Valle del Cauca, Colombia; Cali, Colombia; c/o AGROINVERSORA URINDOLA HENAO Y CIA. S.C. S., Cali, Colombia; c/o INDUSTRIAS AGROPECUARIAS DEL VALLE LTDA., Cali, Colombia; c/o EXPLOTACIONES AGRICOLAS Y CULTIVAS DE LA LORENA S.C.S., Cali, Colombia; Cedula No. 66675927 (Colombia) [individual] [SDNT]
TRELLOS MARQUEZ, Arnulf, Carrera 4 No. 9–17 of. 308, AA 3820, Cali, Colombia; c/o CONSTRUCTORA TREMI LTDA., Cali, Colombia; DOB 5 Sep 1977; Cedula No. 6900556 (Colombia) [individual] [SDNT]
TREMALT LTD (a.k.a. TREMALIT LIMITED), Hurst Grove, Sandford Lane, Hurst, Reading, Berkshire RG10 6SQ, United Kingdom; Thetford Farm, P.O. Box HP86, Mount Pleasant, Harare, Zimbabwe; Virgin Islands, British; New Boundary House, London Road, Sunningdale, Ascot, Berkshire SL5 0DJ, United Kingdom [ZIMBABWE]
TREINO MORALES, Miguel (a.k.a. TREVIN MORALES, Miguel Angel), Calle Nayarit 3404, en la esquina de Nayarit y Ocampo, Nuevo Laredo, Tamaulipas, Mexico; Rancho Soledad, Anahuac, Nuevo Leon, Mexico; Calle Mina No. 611, Nuevo Laredo, Tamaulipas, Mexico; Avenida Tecnologico 17, entre Calle Pedro Perez Ibarra y Fraccionamiento Tecnologico, Nuevo Laredo, Tamaulipas, Mexico; Calle 15 de Septiembre y Leandro Valle, Nuevo Laredo, Tamaulipas, Mexico; Amapola 3003, Col. Primavera, Nuevo Laredo, Tamaulipas, Mexico; Rancho Rancherias, Anahcua, Nuevo Leon, Mexico; Reynosa, Tamaulipas, Mexico; Calle Veracruz 825, Nuevo Laredo, Tamaulipas, Mexico; DOB 28 Jun 1973; alt. DOB 15 Jul 1973; alt. DOB 18 Nov 1973; alt. DOB 25 Jan 1973; POB Nuevo Laredo, Tamaulipas, Mexico; alt. POB Tamaulipas, Mexico; citizen Mexico; nationality Mexico; R.F.C. TRM730628 (Mexico) [individual] [SDNTK]
TREINO MORALES, Omar (a.k.a. TREVIN MORALES, Alejandro; a.k.a. TREVIN MORALES, Omar Alejandro; a.k.a. TREVIN MORALES, Oscar Omar), Coahuila, Mexico; Colonia Militar, Nuevo Laredo, Tamaulipas, Mexico; Reynosa, Tamaulipas, Mexico; DOB 26 Jan 1974; POB Nuevo Laredo, Tamaulipas, Mexico; citizen Mexico; nationality Mexico [individual] [SDNTK]
TREVISO TRADING CORPORATION, Edificio Banco de Boston, Panama City, Panama [CUBA]
TRIANA TEJADA, LUIS HUMERTO, c/o COMERCIALIZADORA DE CARNES DEL PACIFICO LTDA., Cali, Colombia; DOB 27 Jul 1943; Cedula No. 4916206 (Colombia) [individual] [SDNT]
TRIMARK LTDA., Calle 69 No. 10–33 of. 505, Bogota, Colombia; Carrera 31 No. 23A–68, Bogota, Colombia; NIT #83017977–5 (Colombia) [SDNT]
TRINIDAD LTDA. Y CIA. S.C.S., Carrera 43 No. 4–47, Buenaventura, Colombia; NIT #800009737–2 (Colombia) [SDNTK]
TRINIDAD, Angel Ramirez (a.k.a. TOMAS, Adrian; a.k.a. TRINIDAD Y RAMIREZ, Angel; a.k.a. TRINIDAD, Abu Khalil; a.k.a. TRINIDAD, Khalil; a.k.a. TRINIDAD, Khalil), Cali, Colombia; NIT No. 66738927 (Colombia) [individual] [SDNT]
TRINIDAD, Angel Ramirez (a.k.a. TRINIDAD Y RAMIREZ, Angel; a.k.a. TRINIDAD, Abu Khalil; a.k.a. TRINIDAD, Khalil; a.k.a. TRINIDAD, Khalil), Cali, Colombia; Carrera 433 No. 37–125, Cali, Colombia; NIT #800009737–2 (Colombia) [individual] [SDNT]
TRISTAN GIL, Luz Maria (a.k.a. TRISTAN GIL, Luz Mery), c/o LUZ MERY TRISTAN E.U., Cali, Colombia; Carrera 19 No. 15–39, Cali, Colombia; c/o CREDISA S.A., Cali, Colombia; Carrera 122 No. 20–02, Cali, Colombia; Calle 5B 4 No. 37–125, Cali, Colombia; DOB 01 Apr 1963; POB Cali, Valle, Colombia; Cedula No. 31895852 (Colombia); Passport 103161977–5 (Colombia) [individual] [SDNTK]
TRISTAN GIL, Luz Maria (a.k.a. TRISTAN GIL, Luz Mery), c/o LUZ MERY TRISTAN E.U., Cali, Colombia; Carrera 19 No. 15–39, Cali, Colombia; c/o CREDISA S.A., Cali, Colombia; Carrera 122 No. 20–02, Cali, Colombia; Calle 5B 4 No. 37–125, Cali, Colombia; DOB 01 Apr 1963; POB Cali, Valle, Colombia; Cedula No. 31895852 (Colombia); Passport 103161977–5 (Colombia) [individual] [SDNTK]
TRAVEL SERVICES, INC., Hialeah, FL [CUBA]
TRAVEL SERVICES, INC., Hialeah, FL [CUBA]
TURISTICA INTERNACIONAL S.C.S., Bogota, Colombia; c/o INTERCONTINENTAL DE AVIACION S.A., Bogota, Colombia; Cedula No. 20484693 (Colombia) (individual) [SDNT]

TROBER, S.A. (a.k.a. TROVER, S.A.), Edificio Baldivar, Panama City, Panama (CUBA)

TRONCOSO POSSE, Jose Manuel, c/o AGROPECUARIA LINDARAJA S.A., Cali, Colombia; c/o INVERSIONES BRASILAR S.A., Bogota, Colombia; DOB 26 Nov 1953; POB Bogota, Colombia; citizen Colombia; nationality Colombia; Cedula No. 19233258 (Colombia); Passport AE297484 (Colombia) (individual) [SDNT]

TROPIC TOURS GMBH (a.k.a. TROPICANA TOURS GMBH), Lietzenburger Strasse 51, Berlin, Germany [CUBA]

TRUJILLO CAICEDO, Francisco Javier (a.k.a. "PACHO"), Carrera 76A No. 6–34 apt. 107, Cali, Colombia; calle 13c No. 75–95 piso 2, Cali, Colombia; c/o COLOR 89.5 FM STEREO, Cali, Colombia; calle 8 oeste No. 24c–75 apt. 1501, Cali, Colombia; DOB 23 Nov 1960; Cedula No. 16264395 (Colombia) (individual) [SDNT]

TRUJILLO MOLINA, Maria Helena (a.k.a. TRUJILLO MOLINA, Maria Elena), c/o HOTEL LA CASCADA S.A., Girardot, Colombia; c/o INVERSIONES Y REPRESENTACIONES S.A., Medellin, Colombia; POB Colombia; Cedula No. 42875026 (Colombia) (individual) [SDNT]

TRUST IMPORT-EXPORT, S.A., Panama (CUBA)

TUAN, Hla, Burma; DOB 11 Jul 1951; citizen Burma; nationality Burma; Major General, Minister of Finance and Revenue (individual) [BURMA]

TUN, Saw, Burma; DOB 8 May 1935; citizen Burma; nationality Burma; Major General, Minister of Construction (individual) [BURMA]

TUNGAMIRAI, Josiah; DOB 8 Oct 1948; Former Minister of State for Indigenization and Empowerment; Deceased (individual) [ZIMBABWE]

TUNISIAN COMBAT GROUP (a.k.a. GCT; a.k.a. GROUPE COMBATTANT TUNISIEN; a.k.a. JAMA'A COMBATTANTE TUNISIEN; a.k.a. a.k.a. TUNISIAN COMBATANT GROUP) (SDGT)

TURISMO HANSA S.A., Centro Comercial New Point Local 204, San Andres, Colombia; Avenida 4 Norte No. 19N–34 ofc. 302, Cali, Colombia, NIT 800027798–4 (Colombia) (individual) [SDNT]

TROIS OCEAN; Vessel Registration Identification IMO 9209348 (vessel) [NPWMD]

TUI INTERNATIONAL, United Kingdom (IRAQ2)

UDOMDET, Ronnayut (a.k.a. UDOMDECH, Ronnayuth), c/o SIAM NICE COMPANY LTD., Bangkok, Thailand; DOB 17 Jun 1967 (individual) [SDNTK]

UGANDA COMMERCIAL IMPEX, Kamaoga Area, Kanjokuu Street, Plot 22, Kampala, Uganda; P. O. Box 22709, Kampala, Uganda [DRCONGO]

UKSINI, Sami (a.k.a. UKSHINI, Sami); DOB 5 Mar 1963; POB Gjakova, Serbia and Montenegro (individual) [BALKANS]

ULLOA ESPITIA, Hubel, c/o MINIMERCADO EL MANANTIAL DEL NEUTA, Soacha, Cundinamarca, Colombia; Carrera 33 E No. 91–28 Sur, Bogota, Colombia; DOB 22 Jun 1965; Cedula No. 571267 (Colombia) (individual) [SDNTK]

ULSTER DEFENCE ASSOCIATION (a.k.a. ULSTER FREEDOM FIGHTERS), United Kingdom (SDGT)

ULVA FARM, Marondera, Zimbabwe (ZIMBABWE)

UMAR, Madhat Mursi Al-Sayyid; DOB 19 Oct 1953; POB Alexandria, Egypt; nationality Egypt (individual) [SDGT]

UMGUZA BLOCK FARM, Umguza, Zimbabwe (ZIMBABWE)

UMMAH TAMEER E-NAU (a.k.a. FOUNDATION FOR CONSTRUCTION; a.k.a. NATIONAL BUILDING; a.k.a. RECONSTRUCTION FOUNDATION; a.k.a. RECONSTRUCTION OF THE ISLAMIC COMMUNITY; a.k.a. RECONSTRUCTION OF THE MUSLIM UMMAH; a.k.a. UMMAT TAMIR E-NAU; a.k.a. UMMAT TAMIR-I-NAU; a.k.a. UMMAT TAMIR-I-PAU; a.k.a. UMMAT TAMIR-I-RU; a.k.a. "UTN"), Street 13, Wazir Akbar Khan, Kabul, Afghanistan; 89-
C, Nazim Ud Din Road, F 8/4, Islamabad, Pakistan [SDGT]

UNDER PAR REAL ESTATE S.L., Calle Marques Del Duero 76-3C San Pedro De Alcantara, Marbella, Malaga 29670, Spain; C.I.F. B-92678473 (Spain) [SDNT]

UNIDAD CARDIOVASCULAR LTDA. (a.k.a. UNICA LTDA.), Calle 25 No. 5N-08, Cali, Colombia; NIT #89021579-6 (Colombia) [SDNT]

UNIDAS S.A., Avenida 7 Norte No. 23N-81, Cali, Colombia; Avenida 7 Norte No. 23-74, Cali, Colombia; NIT #000000686-0 (Colombia) [SDNT]

UNION OF GOOD (a.k.a. 101 DAYS CAMPAIGN; a.k.a. CHARITY COALITION; a.k.a. COALITION OF GOOD; a.k.a. ETILAF AL-KHAIIR; a.k.a. ETILAFU EL-KHAIIR; a.k.a. ITILAF AL-KHAIIR; a.k.a. ITILAF AL-KHYIR), P.O. Box 136301, Jedidah 2135, Saudi Arabia [SDGT]

UNION OF MYANMAR ECONOMIC HOLDINGS LIMITED (a.k.a. MYANMAR ECONOMIC HOLDINGS LIMITED; a.k.a. UNION OF MYANMAR ECONOMIC HOLDINGS COMPANY LIMITED), 189-191 Maha Bandoola Road, Botahtaung Township, Yangon, Burma [BURMA]

UNIPAPEL S.A. (f.k.a. UNIPAPEL S.A. BOLSAS DE PAPEL PAPELES SOBRES), Carrera 52 No. 35-42, Medellin, Colombia; Calle 15 No. 26-400 Urbanizacion Industrial Acopi, Yumbo, Colombia; Carrera 49B No. 75-109 Ofc. 302, Barranquilla, Colombia; Autopista Cali-Yumbo, No. 26-400, Cali, Colombia; Carrera 122 no. 20-02, Cali, Colombia; Carrera 66 No. 7-31, Bogota, Colombia; NIT #809030703-6 (Colombia) [SDNT]

UNITED FAIR AGENCIES, 1202 Carrión Center, 151 Gloucester Road, Wanchai, Hong Kong [CUBA]

UNITED SELF-DEFENSE FORCES OF COLOMBIA (a.k.a. AUC; a.k.a. AUTODEFENSA UNIDAS DE COLOMBIA) [PATO] [SDNTK]

UNITED WA STATE ARMY (a.k.a. UNITED WA STATE PARTY; a.k.a. UWSA; a.k.a. UWSPT) [SDNTK]

UNITY BANK, Bariman Avenue, P.O. Box 408, Khartoum, Sudan; Now part of BANK OF KHARTOUM GROUP [SUDAN]

UNIVISA S.A., Calle 9 No. 4-30 Of. 301, Cali, Colombia; NIT #806011494-2 (Colombia) [SDNT]

URANGA ARTOLA, Kemen; DOB 25 May 1969; POB Ondarroa, Vizcaya Province, Spain; D.N.I. 1067290 (Spain); Member ETA (individual) [SDNT]

URANTIA SERVICES S.A., Avenida Jose Pardo 601, Lima, Peru; RUC #2050575882 (Peru) [SDNTK]

URBANIZACIONES Y CONSTRUCCIONES LTDA. DE CALI (f.k.a. URBANIZACIONES Y CONSTRUCCIONES LTDA.), Carrera 4 No. 12-41 of. 1403, Cali, Colombia; NIT #890093669-2 (Colombia) [SDNT]

URDINOLA GRAJALES, Ivan (a.k.a. URDINOLA GRAJALES, Jairo Ivan), c/o CONSTRUCTORA UNIVERSAL LTDA., Cali, Colombia; c/o INDUSTRIAS AGROPECUARIAS DEL VALLE LTDA., Cali, Colombia; c/o AGROINVERSORA URDINOLA HENAO Y CIA. S.C.S., Cali, Colombia; Hacienda La Lorena, Zarzal, Valle del Cauca, Colombia; Calle 52 No. 28E-30, Cali, Colombia; c/o INVERSIONES EL EDEN S.C.S., Cali, Colombia; c/o EXPLOTACIONES AGRICOLAS Y GANADERAS LA LORENA S.C.S., Cali, Colombia; DOB 1 Dec 1968; Cedula No. 94180533 (Colombia); Passport AD129003 (Colombia) (individual) [SDNT]

URDINOLA GRAJALES, Julio Pablo, Carrera 40 No. 5A-40, Cali, Colombia; c/o CONSTRUCTORA E INMOBILIARIA URVALLE CIA. LTDA., Cali, Colombia; Cedula No. 16801454 (Colombia) (individual) [SDNT]

UREY, Benoni; DOB 22 Jun 1957; Passport D-00145399 (Liberia); Former Commissioner of Maritime Affairs Of Liberia; Diplomatic (individual) [LIBERIA]

URIBE GONZALEZ, Jose Angel, c/o COMERCIALIZADORA INTERNACIONAL DE LA LORENA S.A., Cali, Colombia; c/o SERVICIOS INMOBILIARIOS LTDA., Cali, Colombia; c/o INMOBILIARIA U.M.V. S.A., Cali, Colombia; c/o CONSULTORIA EMPRESARIAL ESPECIALIZADA LTDA., Cali, Colombia; Cedula No. 16647906 (Colombia) (individual) [SDNT]

URIBE URIBE, Miguel Angel, Calle Nevado de Toluca 845, Tijuana, Baja California, Mexico; c/o INMOBILIARIA LA LORENA S.C.S., Cali, Colombia; Carrera 49B No. 7-31, Bogota, Colombia; Hacienda La Lorena, Zarzal, Valle del Cauca, Colombia; Calle 52 No. 28E-30, Cali, Colombia; c/o INVERSIONES EL EDEN S.C.S., Cali, Colombia; c/o EXPLOTACIONES AGRICOLAS Y GANADERAS LA LORENA S.C.S., Cali, Colombia; DOB 1 Dec 1968; Cedula No. 94180533 (Colombia); Passport AD129003 (Colombia) (individual) [SDNT]

URREGO ESCUDERO, Carlos Agustin, Calle Nevado de Toluca 845, Tijuana, Baja California, Mexico; c/o INMOBILIARIA LA LORENA S.C.S., Cali, Colombia; Carrera 49B No. 7-31, Bogota, Colombia; Hacienda La Lorena, Zarzal, Valle del Cauca, Colombia; Calle 52 No. 28E-30, Cali, Colombia; c/o INVERSIONES EL EDEN S.C.S., Cali, Colombia; c/o EXPLOTACIONES AGRICOLAS Y GANADERAS LA LORENA S.C.S., Cali, Colombia; DOB 1 Dec 1968; Cedula No. 94180533 (Colombia); Passport AD129003 (Colombia) (individual) [SDNT]

URVALLE CIA. LTDA., Cali, Colombia; Cedula No. 16801454 (Colombia) (individual) [SDNT]

UTEGO ESCUDERO, Carlos Agustin, Cali, Colombia; c/o CONSTRUCTORA UNIVERSAL LTDA., Cali, Colombia; c/o INDUSTRIAS AGROPECUARIAS DEL VALLE LTDA., Cali, Colombia; c/o AGROINVERSORA URDINOLA HENAO Y CIA. S.C.S., Cali, Colombia; Hacienda La Lorena, Zarzal, Valle del Cauca, Colombia; Calle 52 No. 28E-30, Cali, Colombia; c/o INVERSIONES EL EDEN S.C.S., Cali, Colombia; c/o EXPLOTACIONES AGRICOLAS Y GANADERAS LA LORENA S.C.S., Cali, Colombia; DOB 1 Dec 1968; Cedula No. 94180533 (Colombia); Passport AD129003 (Colombia) (individual) [SDNT]

UTETE, Charles Manhamu; DOB 30 Oct 1938; Passport ZD022097 (Zimbabwe); Former Cabinet Secretary (individual) [ZIMBABWE]
UTHMAN, Omar Mahmoud (a.k.a. ABU ISMAIL; a.k.a. ABU UMAR, Abu Omar; a.k.a. AL-FILISTINI, Abu Qatada; a.k.a. TAKFIRI, Abu Umar; a.k.a. UTHMAN, Abu Umar; a.k.a. UTHMAN, Al-Samman; a.k.a. UTHMAN, Umar), London, United Kingdom; DOB 30 Dec 1960; alt. DOB 13 Dec 1960 (individual) [SDT]

V.I.P. PRODUCCIONES E.U., Calle 1A No. 55B–115, Cali, Colombia; NIT #805631267-1 (Colombia) [SDNT]

V.R. FRUIT COMPANY (a.k.a. BORISAT WI.; a.k.a. VALENCIA JAIME, Rafael Angel, c/o VALENCIA GALLEGO, Jesus Antonio, c/o VALENCIA FRANCO, Manuel, c/o VALENCIA DE JARAMILLO, Maria Diocelina, c/o VALENCIA CORNELIO, Ferras Angel, c/o VALENCIA JAIME, Rafael Angel, c/o VALENCIA ARIAS, Luis Fernando, c/o VALENCIA MARIN, Libardo Elias), DOB 23 Mar 1946; POB Colombia; Cedula No. 8225623 (Colombia) (individual) [SDNT]

VALENCIA MARTINEZ, Alberto Alfredo, Avenida Hipodromo 19, Colonkia Hipodromo, Tijuana, Baja California, Mexico; Blvd. Fundadores 0, Colonkia El Rubi, Tijuana, Baja California, Mexico; Calle Lomas Altas 1460, Colonkia Lomas de Agua Caliente, Tijuana, Baja California, Mexico; c/o INMOBILIARIA TIJUANA COSTA S.A. DE C.V., Tijuana, Baja California, Mexico; Calle Geiser 101, Colonkia Colinas de Agua Caliente, Tijuana, Baja California, Mexico; Avenida I.T.R. 2207, Colonkia Tecnololgo, Tijuana, Baja California, Mexico; Calle Coronado 2170, Colonkia Mesetas del Guaycura, Tijuana, Baja California, Mexico; DOB 6 Apr 1949; POB Tijuana, Baja California, Mexico; C.U.R.P. #VAMA690408HBCLRL08 (Mexico); R.F.C. #VAMA-690408-C6A (Mexico) (individual) [SDNTK]

VALENCIA OBANDO, William, c/o GRAN MUELLE S.A., Buenaventura, Colombia; DOB 28 Oct 1954; POB Cali, Valle, Colombia; Cedula No. 73245681 (Colombia); Passport 1480, Cali, Colombia; Carrera 4 No. 11–45 Ofc. 503, Cali, Colombia; DOB 20 Oct 1954; POB Cali, Valle, Colombia; Cedula No. 3177251 (Colombia); Passport 79245681 (Colombia) (individual) [SDNT]

VALENCIA TRUJILLO, Adela (a.k.a. VALENCIA DE MEDINA, Yeled), c/o CREDISA S.A., Cali, Colombia; c/o COMPANIA DE FOMENTO MERCANTIL S.A., Cali, Colombia; c/o UNIDAS S.A., Cali, Colombia; Carrera 4 No. 11–45 Ofc. 503, Cali, Colombia; DOB 28 Oct 1954; POB Cali, Valle, Colombia; Cedula No. 3177251 (Colombia); Passport 79245681 (Colombia) (individual) [SDNT]

VALENCIA TRUJILLO, Carmen Emilia (a.k.a. VALENCIA DE VICTORIA, Carmen Emilia), c/o UNIDAS S.A., Cali, Colombia; Carrera 37 No. 9–26, Cali, Colombia; c/o CREDISA S.A., Cali, Colombia; DOB 08 Apr 1952; POB Cali, Valle, Colombia; Cedula No. 1324470 (Colombia); Passport 3124470 (Colombia) (individual) [SDNT]

VALENCIA TRUJILLO, Guillermo, Carrera 66 No. 7–31, Bogota, Colombia; Calle 67 Norte No. 8–55, Cali, Colombia; Cedula No. 96A No. 14–17 Ofc. 711, Bogota, Colombia; Calle 93N No. 14–20 Ofc. 901, Bogota, Colombia; C.U.R.P. #VCAM930614HSLMIP96 (Mexico); R.F.C. #VCAM-930614-SE (Mexico) (individual) [SDNTK]
Office of Foreign Assets Control, Treasury

DOB 19 Oct 1947; POB Cali, Valle, Colombia; Cedula No. 14942909 (Colombia); Passport 14942909 (Colombia) (individual) [SDNT]

VALENCIA TRUJILLO, Joaquin Mario, Carrera 122 No. 20-02, Cali, Colombia; Avenida 7 Norte No. 23N-81, Cali, Colombia; DOB 21 Aug 1957; POB Cali, Valle, Colombia; Cedula No. 16626888 (Colombia); Driver’s License No. 7600100050900 (Colombia); Passport 16626888 (Colombia); alt. Passport A039971 (Colombia) (individual) [SDNT]

VALENCIA, Reynel (a.k.a. VALENCIA, Reinel), c/o INMOBILIARIA U.M.Y. S.A., Cali, Colombia; c/o GANADERIAS DEL VALLE S.A., Cali, Colombia; c/o COMERCIALIZADORA INTERNACIONAL VALLE DE ORO S.A., Cali, Colombia; DOB 19 Nov 1964; Cedula No. 16258619 (Colombia) (individual) [SDNT]

VALENZUELA ZUNIGA, Ruben Alejandro, Privada Garcia Conde No. 107, Int. 06, Col. San Felipe, Chihuahua, Chihuahua, Mexico; DOB 16 Dec 1972; POB Torreon, Coahuila; citizen Mexico; nationality Mexico; Cartilla de Servicio Militar Nacional B-8193135 (Mexico); Electoral Registry No. VLG297221221658900 (Mexico); R.F.C. VAZR721216 (Mexico) (individual) [SDNTK]

VALETTA SHIPPING CORPORATION, c/o EMPRESA DE NAVEGACION MAMBSA, Apartado 543, San Ignacio 104, Havana, Cuba [CUBA]

VALFAJR 8TH SHIPPING LINE CO SSK (a.k.a. SHERKAT SAHAMI KHASS RESHTEH II VALFAJR 8TH; a.k.a. VALFAJR HASHT SHIPPING CO; a.k.a. VALFAJR-E-8 SHIPPING COMPANY; a.k.a. VALFAJRE EIGHT SHIPPING CO; a.k.a. VAJRE 8TH SHIPPING CO; a.k.a. VESCO), Abyar Alley, Corner of Shahid Azodi St. & Karim Khan Zand Ave., Tehran, Iran; Shahid Azodi St., Karimkhan Zand Ave., Abyar Alley, P.O. Box 4155, Tehran, Iran [NPWMD]

VALA DARES LTDA. (f.k.a. AGROPECUARIA BETANIA LTDA.), Carrera 61 No. 11–58, Cali, Colombia; Calle 70N No. 14–31, Cali, Colombia; Cedula No. 79578481 (Colombia); Passport 14942909 (Colombia) (individual) [SDNT]

VALLE COMUNICACIONES LTDA. (a.k.a. VALLECOM), Carrera 60 No. 2A-107, Cali, Colombia [SDNT]

VALLE DE ORO S.A., Pollo Tanrico Km 17 Recta Cali-Palmira, Palmira, Colombia; Cali, Colombia; Cedula No. 16632290 (Colombia) (individual) [SDNT]

VALLEJO FRANCO, Inigo; DOB 21 May 1976; POB Bilbao (Vizcaya Province), Spain; D.N.I. 20.036.694; member ETA (individual) [SDGT]

VALOR LTDA, S.C.S., Carrera 4 No. 17-20, Popayan, Colombia; Cedula No. 17642230 (Colombia) [SDNT]

VALORES CORPORATIVOS ESPAÑOLES S.L., Calle Zurbano 76, 7, Madrid, Madrid, Spain; Cedula Consuegra 3, 28036 Madrid, Madrid, Spain; C.I.F. B81681447 (Spain) [SDNT]

VALORES MOBILIARIOS DE OCCIDENTE S.A., Avenida Colombia No. 2–45, Cali, Colombia; Carrera 1 No. 2–45, Cali, Colombia; Cedula No. 620574688 (Colombia); Passport 620574688 (Colombia); alt. Passport A085123 (Colombia) (individual) [SDNT]

VALVENEZUELA S.A., Cali, Colombia; c/o TRANSPORTES MICHAEL LTDA., Barranquilla, Colombia; c/o TRANSPORTES MICHAEL LTDA., Barranquilla, Colombia; c/o CENTRO DE BELLEZA SHARY VERGARA, Barranquilla, Colombia; DOB 11 Jan 1956; POB Cali, Colombia; Cedula No. 16632290 (Colombia) (individual) [SDNT]

VARELA, Wilber (a.k.a. GARCIA GARCIA, Jairo; a.k.a. GARCIA VARELA, Wilber Alirio; a.k.a. VARELA FAJARDO, Wilber Alirio; a.k.a. VARELA, Fredy; a.k.a. VARELA, Wilber Alirio; a.k.a. VARELA, Wilmer; a.k.a. “DON JAIRO”; a.k.a. “JABON”), Carrera 85 No. 14A–57, Cali, Colombia; Calle 11 No. 4–42, Ost. 722, Cali, Colombia; Carrera 22 No. 15–33, Armenia, Quindio, Colombia; Calle 30 No. 23B–22, Cali, Colombia; DOB 06 Nov 1954; POB Roldanillo, Valle, Colombia; alt. POB Armenia, Quindio, Colombia; citizen Colombia; Cedula No. 16543384 (Colombia); alt. Cedula No. 16891223 (Colombia); Passport A277737 (Colombia) (individual) [SDNT]

VARGAS ALBA, Cesar Augusto, c/o COMERCIALIZADORA COLOMBIANA MONEY EXCHANGE LTDA., Bogota, Colombia; DOB 27 Aug 1963; POB Colombia; citizen Colombia; nationality Colombia; Cedula No. 7865841 (Colombia); Passport A180101 (Colombia) (individual) [SDNTK]

VARGAS ALBA, Jorge Leandro (a.k.a. "EL CANOSO"), c/o COMERCIALIZADORA COLOMBIANA MONEY EXCHANGE LTDA., Bogota, Colombia; DOB 17 Jan 1968; POB Colombia; citizen Colombia; nationality Colombia; Cedula No. 17642230 (Colombia);
Passport AM65725 (Colombia) (individual) [SDNTK]

VARGAS ARIAS, Jorge Eliecer, Calle 165 No. 25–65 Apartamento 503, Bogota, Colombia; c/o VARIACIONES DE COMPETENCIA Y CIA. S.A.M., Bogota, Colombia; DOB 22 Nov 1962; POB Colombia; citizen Colombia; nationality Colombia; Cedula No. 4894596 (Colombia) (individual) [SDNTK]

VARGAS DUGUE, Adriana, c/o PROSALUD Y BIENESTAR S.A., Cali, Colombia; c/o PROSPECTIVA E.U., Cali, Colombia; c/o DISTRIBUTORA SANAR DE COLOMBIA S.A., Cali, Colombia; c/o COMERCIALIZADORA INTERTEL S.A., Cali, Colombia; DOB 20 May 1974; Cedula No. 66902221 (Colombia); Passport 66902221 (Colombia) (individual) [SDNT]

VARGAS GARCIA, Nabor, Mexico; DOB 12 Jul 1976; POB Pachuca, Hidalgo, Mexico; alt. POB Pachuca De Soto, Hidalgo, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. VAGN760712HGHRGR36 (Mexico) (individual) [SDNTK]

VARGAS GUTIERREZ, Roberto, Colombia; POB Colombia; citizen Colombia; nationality Colombia; Cedula No. 71981878 (Colombia) (individual) [SDNTK]

VARGAS LOPEZ, Gustavo Adolfo, c/o INDUSTRIA MADEIRENA ARCA LTDA., Cali, Colombia; c/o AGROPECUARIA LA ROBLEDA S.A., Cali, Colombia; c/o COLOMBIANA DE CERDOS LTDA., Pereira, Colombia; c/o MATADERO METROPOLITANO LTDA., Pereira, Colombia; c/o INVERSIONES VILLA PAZ S.A., Cali, Colombia; DOB 3 Nov 1955; Cedula No. 457925 (Colombia) (individual) [SDNTK]

VARGAS PERDOMO, Eugenio (a.k.a. DORNELES DE MENEZES, Francisco; a.k.a. “CARLOS BOLAS”); DOB 19 Nov 1969; POB Puerto Lopez, Meta, Colombia; Cedula No. 1734616 (Colombia) (individual) [SDNTK]

VARGAS RUEDA, Nelson (a.k.a. “ALFREDO”; a.k.a. “HUGO”); DOB 27 Apr 1970; Cedula No. 71337683 (Colombia) (individual) [SDNTK]

VARGAS SOLER, Sandra Milena, c/o COMERCIALIZADORA COLOMBIAN MONEY EXCHANGE LTDA., Bogota, Colombia; DOB 05 Jan 1960; POB Colombia; citizen Colombia; nationality Colombia; Cedula No. 40075766 (Colombia) (individual) [SDNTK]

VARGAS VARGAS, Flor Yadira, c/o ADMACOOP, Bogota, Colombia; c/o CODISA, Bogota, Colombia; DOB 11 Jul 1971; Cedula No. 52584618 (Colombia); Passport 52584618 (Colombia) (individual) [SDNT]

VARGAS VASQUEZ, Jorge Alberto, c/o DISTRIBEXPORT S.A., Bogota, Colombia; c/o AMERICANA DE COSMETICOS S.A., Bogota, Colombia; DOB 30 Jun 1969; Cedula No. 19401630 (Colombia); Passport 19401630 (Colombia) (individual) [SDNTK]

VARGAS MIRELES, Victor Manuel (a.k.a. VAZQUEZ MIRELES, Victor Manuel), San Nicholas, Nuevo Leon, Mexico; Tampico, Tamaulipas, Mexico; Calle Abelardo Rodriguez, Matamoros, Tamaulipas, Mexico; Guadalupe, Nuevo Leon, Mexico; DOB 03 Jun 1967; alt. DOB 03 Jun 1977; POB Tamaulipas, Mexico; alt. POB Mexico; citizen Mexico; nationality Mexico; C.U.R.P. VAMN670603HTSRZC06 (Mexico) (individual) [SDNTK]

VARGAS VALENCIA, Natalia Andrea, c/o TAXI AEREO ANTIQUENO S.A., Medellin, Colombia; c/o AGROGANADERA LOS SANTOS S.A., Medellin, Colombia; c/o FRANZUL S.A., Medellin, Colombia; c/o ASEAS DE COMPETENCIA Y CIA. S.A., Medellin, Colombia; c/o HIERROS DE JERUSALEM S.A., Medellin, Colombia; DOB 01 Oct 1974; POB Medellin, Colombia; Cedula No. 43587931 (Colombia) (individual) [SDNT]

VAZ, Jose, 20 Ironmonger Lane, London EC2V 8EY, United Kingdom; Managing Director, Havana International Bank (individual) [CUBA]

VEGA SANCHEZ, Jose Raúl, c/o TEMPLE DEL PITIC S.A. DE C.V., Hermosillo, Sonora, Mexico; c/o AGRICOLA GAXIOLA S.A. DE C.V., Hermosillo, Sonora, Mexico; c/o INMUEBLES SIERRA VISTA S.A. DE C.V., Hermosillo, Sonora, Mexico; DOB 19 Oct 1956; POB Cananea, Sonora, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. VEXR561019HSRGXL05 (Mexico) (individual) [SDNTK]

VEGA, Rosalba, c/o GLAJAN S.A., Bogota, Colombia; c/o GENERICOS ESPECIALES S.A., Bogota, Colombia; c/o BONOMERCADO S.A., Bogota, Colombia; c/o DECADARMA S.A., Bogota, Colombia; c/o PATENTES MARCAS Y REGISTROS S.A., Bogota, Colombia; c/o SHARPER S.A., Bogota, Colombia; DOB 22 Sep 1855; Cedula No. 2112576 (Colombia); Passport 2112576 (Colombia) (individual) [SDNT]

VELARDE SARABIA, Antonio, c/o COMERCIALIZADORA TOQUIN, S.A. DE C.V., Guadalajara, Jalisco, Mexico; c/o CABINETE DE SERVICIOS DE CONOCIMIENTOS S.A., Guadalajara, Jalisco, Mexico; c/o...
VELAZQUEZ CABALLERO, Ivan (a.k.a. VELASQUEZ CABALLERO, Ivan; a.k.a. VELASQUEZ CABALLERO, Ivan), Calle Mundial 55, Nuevo Laredo, Tamaulipas, Mexico; Paseo Colon St., Nuevo Laredo, Tamaulipas, Mexico; 1418 Yucatan, Nuevo Laredo, Tamaulipas, Mexico; Calle Belden St., Colonia Militar, Nuevo Laredo, Tamaulipas, Mexico; Villa Hidalgo, Coahuila, Mexico; Calle Lucio Blanco 1324, Colonia Militar, Nuevo Laredo, Tamaulipas, Mexico; Avenida Abasolo No. 620, Colonia Hidalgo, Seccion 770, Nuevo Laredo, Tamaulipas, Mexico; Lago St. and La Chapalla, Nuevo Laredo, Tamaulipas, Mexico; Calle Nuevo Leon, Colonia Riveras La Chapalla, Nuevo Laredo, Tamaulipas, Mexico; Avenida El Logo Calle Chiminangos Casas 3900, Catl, Mexico; 12–39 Ap. 606, Mexico; DOB 27 Oct 1975; citizen Mexico; nationality Mexico; R.F.C. VESA771027B50 (Mexico) (individual) [SDNTK]

VELAZQUEZ CABALLERO, Juan Daniel (a.k.a. VELASQUEZ CABALLERO, Daniel; a.k.a. VELAZQUEZ CABALLERO, Juan Daniel), Calle Coahuila No. 5958, Colonia Leandro Valle, Nuevo Laredo, Tamaulipas, Mexico; Calle Calle Nuevo Leon, Colonia Riveras La Chapalla, Nuevo Laredo, Tamaulipas, Mexico; Villa Hidalgo, Coahuila; Mexico; Calle Lucio Blanco 1324, Colonia Ciudad, Nuevo Laredo, Tamaulipas, Mexico; Avenida Abasolo No. 620, Colonia Hidalgo, Seccion 770, Nuevo Laredo, Tamaulipas, Mexico; Lago St. and La Chapalla, Nuevo Laredo, Tamaulipas, Mexico; Calle Nuevo Leon, Colonia Riveras La Chapalla, Nuevo Laredo, Tamaulipas, Mexico; Avenida El Logo Calle Chiminangos Casas 3900, Catl, Mexico; 12–39 Ap. 606, Mexico; DOB 27 Oct 1975; citizen Mexico; nationality Mexico; C.U.R.P. VECT070621HTSBLV09 (Mexico) (individual) [SDNTK]

VELASQUEZ RODRIGUEZ, Ruth Cecilia, c/o VELASQUEZ HERNANDEZ, Juan Gabriel, Callejon Revolucion 1060, Colonia Zona Centro, Tijuana, Baja California, Mexico; c/o GS PLUS CONSULTORES, S.A. DE C.V., Tijuana, Baja California, Mexico; DOB 20 Mar 1975; POB Tijuana, Baja California, Mexico (individual) [SDNTK]

VELEZ MONTES, William, c/o INVERSIONES Y COMERCIALIZADORA INCOM LTDA., Cali, Colombia; c/o INTERCONTINENTAL DE AVIACION S.A., Bogota, Colombia; Calle 92 No. 19–70 Apt. 304, Bogota, Colombia; DOB 24 May 1943; POB Tuluá, Valle, Colombia; Cedula No. 17086144 (Colombia); Passport PE020274 (Colombia); alt. Passport PE020274 (Colombia); alt. Passport AP870847 (Colombia) (individual) [SDNT]

VELEZ MURILLO, Uberney, Carrera 39B No. 24–21 Casa 9, Villavicencio, Colombia; c/o CULTIVAR S.A., Fuente de Oro, Meta, Colombia; c/o INVERSIONES AGROINDUSTRIALES DEL ORIENTE LTDA., Granada, Meta, Colombia; DOB 05 Sep 1962; POB Fuentesdeoro, Meta, Colombia; Cedula No. 06080065 (Colombia) (individual) [SDNTK]

VELEZ RENGIFO, Piedad, c/o INTERCONTINENTAL DE AVIACION S.A., Bogota, Colombia; Carrera 15 No. 12A–33 Apt. 606, Bogota, Colombia; c/o DESARROLLOS AGROINDUSTRIALES S.A., Bogota, Colombia; Avenida El Logo Calle Chiminangos No. 3, Catl, Colombia; c/o ACCIRENT S.A., Bogota, Colombia; DOB 22 Oct 1959; POB Cali, Colombia; Cedula No. 31838778 (Colombia); Passport AD217712 (Colombia); alt. Passport AF314387 (Colombia) (individual) [SDNTK]

VELEZ TRUJILLO, Jairo de Jesus, c/o CANALES VENECIA LTDA., Envigado, Antioquia, Colombia; c/o VENECIA INMOBILIARIA QUILICHAO S.A. & CIA S.C.A. (f.k.a. INVERSIONES RENGIFO E HIJOS LTDA.; a.k.a. VENECIA INMOBILIARIA QUILICHAO S.A. AND CIA S.C.A.), Avenida 4N No. 6N–61, Ofc. 510, Cali, Colombia; NIT #80026554–3 (Colombia) [SDNT]

VERA CALVA, Carlos, Calle E. Zapata No. 2, Col. Plan de Ayala, Tihuatlan, Veracruz, Mexico; DOB 10 Jul 1970; POB Poza Rica de Hidalgo, Veracruz, alt. POB Tuxtla, Veracruz; citizen Mexico; nationality Mexico; C.U.R.P. VECT070621HTSBLV09 (Mexico) (individual) [SDNTK]

VERA CALVA, Gonzalo, c/o FARMA 3.000 LTDA. (a.k.a. FARMA 3.000 LTDA.), Via 40 No. 21–70, Medellin, Colombia; DOB 11 Dec 1977; citizen Colombia; nationality Colombia; C.U.R.P. VHOC771221CRLR13 (Mexico) (individual) [SDNTK]

VECA700210HTSLBV09 (Mexico) (individual) [SDNTK]

VILLAHERMOSA MUNIZ, Miguel Angel, c/o ADMINISTRATIVA DE SERVICIOS VARIOS CALMA, S.A., Cali, Colombia; c/o ASESORIAS ECONOMICAS MUNIZ SANTACOLOMA E.U., Cali, Colombia; c/o CHAMARTIN S.A., Cali, Colombia; Cedula No. 10366512 (Colombia); Passport 10366512 (Colombia) (individual) [SDNT]

VILAHERMOSA MUNIZ, Miguel Angel, c/o ADMINISTRATORA DE SERVICIOS VARIOS CALMA, S.A., Cali, Colombia; c/o ASESORIAS ECONOMICAS MUNIZ SANTACOLOMA E.U., Cali, Colombia; c/o CHAMARTIN S.A., Cali, Colombia; Cedula No. 10366512 (Colombia); Passport 10366512 (Colombia) (individual) [SDNT]

VENALILLO DIVE CENTER LTDA. (a.k.a. CLUB DE PESCA VENALILLO), Via 40 No. 67–42, Barranquilla, Colombia; NIT #80208396–3 (Colombia) [SDNT]
VERTEL ANAYA, Clara Julia, c/o PREFABRICADOS Y AGREGADOS DE COLOMBIA LTDA., Cartagena, Colombia; DOB 21 Mar 1969; Cedula No. 42652411 (Colombia) (individual) [SDNTK]

VEST SPECTRUM (S) PTE. LTD., 9 Haig Avenue 438884, Singapore; 701 Bedok Reservoir Road 407604, Singapore; Registration ID 199306257C (Singapore) issued 23 Sep 1993 [SDNT]

VESTIMENTA J Y J S. DE H., Calle 78 No. 53-70, Local 112, Barranquilla, Colombia; c/o VILLA VILA MICHELENA, Fermin; DOB 12 Mar 1970; POB Miranda, Miranda, Venezuela; nationality Venezuela; citizen Venezuela; R.F.C. VIAJ600314HCHLN00 (Mexico) (individual) [SDNTK]

VILLA ZUNIGA, Elmer, Calle 15 No. 20–10, Cali, Colombia; c/o TAURA S.A., Cali, Colombia; Cedula No. 14988902 (Colombia) (individual) [SDNT]

VILLALOBOS ALVARADO, Juan Pablo, Calle Cedro No. 804, Chihuhua, Chihuahua, Mexico; c/o PV STAR, S.A. DE C.V., Chihuahua, Chihuahua, Mexico; DOB 14 Mar 1960; POB Chihuahua, Chihuahua, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. VIAJ600314HCHLN00 (Mexico) (individual) [SDNTK]

VILLANUEVA MADRID, Mario Ernesto; DOB 2 Jul 1949; POB Quintana Roo, Mexico (individual) [SDNTK]

VILLARRO LTDA., Calle 15 No. 20–10, Local 113, Cali, Colombia (individual) [SDNT]

VILÁLVARO INVESTMENTS FLORIDA, INC., 780 NW Le Jeune Road, Suite 515, Miami, FL 33126; 780 NW 42nd Avenue, Suite 516, Miami, FL 33126; 9100 South Dadeland Boulevard, Suite 912, Miami, FL 33156; US FEIN 650493600 (United States) (individual) [SDNTK]

VILLAGELOS BOLANOS, Silver Amido, c/o GANADERIAS DEL VALLE S.A., Cali, Colombia; c/o CONSTRUCCIONES DEL VALLE LTDA., Cartago, Valle, Colombia; c/o MIGUEL, Av. de las Rocas 1548, Praca Playas de Tijuana, Tijuana, Baja California, Mexico; c/o MULTISERVICIOS BRAVIO, S.A. DE C.V., Tijuana, Baja California, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. VIAJ600314HCHLN00 (Mexico) (individual) [SDNTK]

VILLASENOR VILLAS, Jorge Miguel, Av. de las Rocas 1548, Praca Playas de Tijuana, Tijuana, Baja California, Mexico; c/o CONSTRUCCIONES DEL VALLE LTDA., Cartago, Valle, Colombia; c/o MIGUEL, Av. de las Rocas 1548, Praca Playas de Tijuana, Tijuana, Baja California, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. VIAJ600314HCHLN00 (Mexico) (individual) [SDNTK]

VILLASEÑOR COVARUBIAS, Jorge Miguel, Av. de las Rocas 1548, Praca Playas de Tijuana, Tijuana, Baja California, Mexico; c/o MULTISERVICIOS BRAVIO, S.A. DE C.V., Tijuana, Baja California, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. VIAJ600314HCHLN00 (Mexico) (individual) [SDNTK]

VILLASANOR COVARUBIAS, Jorge Miguel, Av. de las Rocas 1548, Praca Playas de Tijuana, Tijuana, Baja California, Mexico; c/o MULTISERVICIOS BRAVIO, S.A. DE C.V., Tijuana, Baja California, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. VIAJ600314HCHLN00 (Mexico) (individual) [SDNTK]

VILLASEÑOR COVARUBIAS, Jorge Miguel, Av. de las Rocas 1548, Praca Playas de Tijuana, Tijuana, Baja California, Mexico; c/o MULTISERVICIOS BRAVIO, S.A. DE C.V., Tijuana, Baja California, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. VIAJ600314HCHLN00 (Mexico) (individual) [SDNTK]

VILLASEÑOR COVARUBIAS, Jorge Miguel, Av. de las Rocas 1548, Praca Playas de Tijuana, Tijuana, Baja California, Mexico; c/o MULTISERVICIOS BRAVIO, S.A. DE C.V., Tijuana, Baja California, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. VIAJ600314HCHLN00 (Mexico) (individual) [SDNTK]
Office of Foreign Assets Control, Treasury

Ch. V, App. A

VILLAÑES TOURS, Monterey, Mexico; Roma, Mexico; Cancun, Mexico; Guadalajara, Mexico; Mexico City, Mexico [CUBA]

WAHD MADANI DUTY FREE SHOP, Wad Madani, Sudan [SUDAN]

WAFFA PHARMA LABORATORIES (a.k.a. WAFFA PHARMACEUTICALS; a.k.a. WAFFAPHARMA LABORATORIES), Main Street, P.O. Box 2022, Omdurman, Sudan; E-mail Address waframed@sudanmail.net [SUDAN]

WAHHAB, Wiam (a.k.a. WAHAB, Wiam; a.k.a. WIBAH, Wiam); DOB 1964; alt. DOB 29 May 1952; alt. Passport E091929 (Thailand) (individual) [LEBANON]

WALDENBERG, AG (f.k.a. AL TAQWA TRADE, PROPERTY AND INDUSTRY; f.k.a. AL TAQWA TRADE, PROPERTY AND INDUSTRY COMPANY LIMITED; f.k.a. AL TAQWA TRADE, PROPERTY AND INDUSTRY ESTABLISHMENT; f.k.a. HIMMAT ESTABLISHMENT), c/o Asat Trust Reg., Altenbach 8, Vaduz 9900, Liechtenstein; Via Posero, 2, Compione d’Italia 22060, Italy [SDGT]

WAN MIN, Wan Mat (a.k.a. WAN MIN, bin Wan Mat); DOB 23 Sep 1960; POB Malaysia; nationality Malaysia (individual) [SDGT]

WAU FRUIT AND VEGETABLE CANNING FACTORY, P.O. Box 110, Wau, Sudan [SUDAN]

WEI, Heueh Lung (a.k.a. APICHART, Cheewinprapasi; f.k.a. HAI HSING, Sae Wei; a.k.a. SOONTHORN, Cheewinprapasi; a.k.a. SUNTHORN, Chiewinpraphat; f.k.a. “CHAIRMAN KEUN”; a.k.a. “KEUN DONG”; a.k.a. “KEUN SEU CHANG”; a.k.a. “TI JUNG”; a.k.a. “WEI HUEH LUNG”); 494/4, Soi Wachiratham Sathit 34, Khwaeng Bang Chak, Khet Phra Khanong, Bangkrok, Thailand; Na Lot, Shan, Burma; c/o DEHONG THAILAND HOTEL CO., LTD., Yunnan Province, China; Pang Pei, Shan, Burma; DOB 1936; POB Chiang Rai, Thailand; National Foreign ID Number 5579750010951 (Thailand); Passport B065235 (Thailand) (individual) [SDNTK]

VILAÑES TOURS, Monterey, Mexico; Roma, Mexico; Cancun, Mexico; Guadalajara, Mexico; Mexico City, Mexico [CUBA]

VIDAYA LTDA. (a.k.a. VIZAYA LTDA.), Carrera 3 No. 11-99, Cartago, Valley, Colombia; Km 7 Via Cartago-Obando, Hacienda El Vergeil, Cartago, Colombia; Carrera 4 No. 12-20 of 206, Cartago, Valley, Colombia; NIT #800056357-8 (Colombia) [SDNTK]

VITAL SIJONET CENTRO DE ESTETICA, Calle 66 No. 78-22, Bogota, Colombia; Matricula Mercantil No 118796 (Colombia) [SDNTK]

VOL PHARMACYA LTDA. (a.k.a. VOL PHARMACIA LTDA.), Calle 12 No. 8-34/36, Cucuta, Colombia; NIT #807005617-4 (Colombia) [SDNTK]

VRACAR, Milenko, Bosnia and Herzegovina; DOB 15 May 1956; POB Nisavici, Prijedor, Bosnia and Herzegovina (individual) [BALKANS]

VUELA PERU S.A.C., Avenida Bolognesi 125, Dpto. 1602, Lima, Peru; RUC #20508991879 (Peru) [SDNTK]

VUKOVIC, Zoran; DOB 6 Sep 1955; POB Brusna, Bosnia and Herzegovina; ICTY indictee (individual) [BALKANS]

WAAD PROJECT; a.k.a. WA‘ED ORGANIZATION; a.k.a. WAAD COMPANY; a.k.a. AL WAAD; a.k.a. AL AAMAR; a.k.a. ‘MASHURA WAAD LAADAT (individual) [BALKANS]

WEI, Hsueh Kang (a.k.a. APHICHART, Cheewinprapasi; f.k.a. HAI HSING, Sae Wei; a.k.a. SOONTHORN, Cheewinprapasi; a.k.a. SUNTHORN, Chiewinpraphat; f.k.a. “CHAIRMAN KEUN”; a.k.a. “KEUN DONG”; a.k.a. “KEUN SEU CHANG”; a.k.a. “TI JUNG”; a.k.a. “WEI HUEH LUNG”); 494/4, Soi Wachiratham Sathit 34, Khwaeng Bang Chak, Khet Phra Khanong, Bangkrok, Thailand; Na Lot, Shan, Burma; c/o DEHONG THAILAND HOTEL CO., LTD., Yunnan Province, China; Pang Pei, Shan, Burma; DOB 1936; POB Chiang Rai, Thailand; National Foreign ID Number 5579750010951 (Thailand); Passport B065235 (Thailand) (individual) [SDNTK]
WONG, Moon Chi (a.k.a. CHAN, Shu Sang; a.k.a. PHAIROT, Mopokoc; a.k.a. PHITAK, Sameochainuek; a.k.a. WEI, Hsueh Ying; a.k.a. WEI, Hsueh Yung; a.k.a. "WEI HSUEH YUNG"; a.k.a. "WEI HSUEH YUAN"), Huay Aw, Shan, Burma; DOB 1952; alt. DOB 1956; National ID No. 357060328725 (Thailand); individual (SDNTK)

WEST ISLAND SHIPPING CO. LTD., c/o UNION MARITTIMA PORTUARIA, 9-Piso, Apartado B, Esquina Cuarteles y Pena Pobre 60, Havana Vieja, Havana, Cuba [CUBA]

WEST ISLANDS (vessel) [CUBA]

WESTBOUND LTD, P.O. Box 399, 26 Main Street, Gibraltar, United Kingdom [LIBERIA]

WHALE SHIPPING LTD., c/o Government of Iraq, State Organization of Ports, Maqal, Basrah, Iraq [IRAQ]

WHITE NILE BATTERY COMPANY, Khartoum, Sudan [SUDAN]

WHITE NILE BREWERY, P.O. Box 1378, Khartoum, Sudan [SUDAN]

WHITE NILE TANNERY, P.O. Box 4078, Khartoum, Sudan [SUDAN]

WHITE SWAN SHIPPING CO. LTD., c/o WHITE NILE TANNERY, P.O. Box 4078, WHITE NILE BREWERY, P.O. Box 1378, WHITE NILE BATTERY COMPANY, Khartoum, Sudan [SUDAN]

WHITE SWAN SHIPPING LTD., c/o EMPRESA DE NAVEGACION CARIBE, Edificio Lonja del Comercio, Lamparilla 2, Caja Postal 1784, Havana 1, Cuba [CUBA]

WIN, Kyaw; DOB 3 Jan 1944; citizen Burma; nationality Burma; Lieutenant-General; Chief of Bureau of Special Operation 2; Member, State Peace and Development Council (individual) (BURMA)

WIN, Nyan; DOB 22 Jan 1953; citizen Burma; nationality Burma; Major General; Minister of Foreign Affairs (individual) (BURMA)

WIN, Soe; DOB 10 May 1947; citizen Burma; nationality Burma; Lieutenant-General; Prime Minister; Member, State Peace and Development Council (individual) (BURMA)

WISIMOTOS FUENTE DE ORO, Carrera 14 No. 9-16, Fuente de Oro, Meta, Colombia; Matricula Mercantil No 00118075 (Colombia) [SDNTK]

WISSER, Gerhard; DOB 2 Jul 1939; POB Lohne, Germany; nationality Germany; Passport 3139001443 (Germany) (individual) (NPWMD)

WONG, Moon Chi (a.k.a. CHAN, Shu Sang; a.k.a. CHAN, Shusang; a.k.a. CHEN, Bing Shen; a.k.a. CHEN, Bingshen; a.k.a. CHEN, Chu Sheng; a.k.a. CHEN, Shusheng; a.k.a. DU, Yu Rong; a.k.a. DU, Yurong; a.k.a. HU, Chi Shu; a.k.a. HU, Chihshu; a.k.a. HUANG, Man Chi; a.k.a. HUANG, Man Chi; a.k.a. HUANG, Man Chi; a.k.a. WONG, Kam Kong; a.k.a. WONG, Kamkong; a.k.a. WONG, Moon Chi; a.k.a. WONG, Mun Chi; a.k.a. WONG, Mun Chi; a.k.a. WONG, Mun Chi; a.k.a. WONG, Wenhua; a.k.a. WU, Chai Su; a.k.a. WU, Chaisu; a.k.a. WU, Chai Su; a.k.a. ZHANG, Jiang Ping; a.k.a. ZHANG, Jiangping; a.k.a. ZHANG, Jiangping; a.k.a. YAMAMOTO, KAZUO) (United Kingdom); National ID No. D489339 (Hong Kong); Passport 61657479 (China); alt. Passport 2555006C (China) (individual) (SDNTK)

WORLD LINE SYSTEM S.A., Calle 46 No. 45A–38, Palmira, Valle, Colombia; Avenida 6 Norte No. ZN–85, Cali, Colombia; NIT #81503764–9 (Colombia) [SDNT]

WORLD TRADE LTDA., Carrera 8 No. 16–77, Ibague, Colombia; NIT #800608109–5 (Colombia) [SDNT]

WORLD WORKING COMERCIALIZADORA INTERNACIONAL S.A. (f.k.a. C.I. GLOS’S INTERNATIONAL S.A.; a.k.a. WORLD WORKING C.I.), Carrera 10 No. 31–01 Zona Industrial Los Mangos, Cali, Colombia; NIT #880023286–9 (Colombia) [SDNT]

WORRELL, Gareth Bruce (a.k.a. WORRELL MURRAY, Gareth Bruce; a.k.a. WORRELL MURRAY, Garrett; a.k.a. WORRELL MURRAY, Garrett; a.k.a. "GARETH MOREY"); DOB 19 Jun 1971; alt. DOB 19 Jan 1971; POB Belize; Passport 0156817 (Belize) (individual) (SDNT)

XHAFAEI, Sheftit; DOB 1960 (individual) [BALKANS]

XHEMAJLI, Emrush; DOB 5 May 1959; POB Urosevac, Serbia and Montenegro (individual) [BALKANS]

XHEMAJLI, Muhame; DOB 8 Feb 1958; POB Muhavec, Serbia and Montenegro (individual) [BALKANS]

 YA MAHDI INDUSTRIES GROUP (a.k.a. YA MAHDI INDI (a.k.a. YA MAHDI INDUSTRIAL COMPLEX; a.k.a. YA MAHDI INDUSTRIAL RESEARCH COMPLEX; a.k.a. "YMA"), PO Box 19395–4731, Tehran, Iran [NPWMD]

YAKUT, CUMHUR (a.k.a. TANN, Ahmet), Bartin, Turkey; Dubai, United Arab Emirates; DOB 18 Mar 1955; POB Turkey; citizen Turkey; nationality Turkey (individual) [SDNTK]

YAM, Melvia Isabel Gallegos, Merida, Mexico (individual) (CUBA)

YAMA MUNDIAL LIMITADA, Carrera 4 No. 5A–63, Santa Marta, Colombia; NIT #800015751–2 (Colombia) (SDNT)

YAMAMOTO, KAZUO, Carrera 10 No. 31–01 Zona Industrial Los Mangos, Cali, Colombia; NIT #81503764–9 (Colombia) [SDNT]

YAMARU TRADING CO., LTD., Tokyo, Japan [CUBA]

YANGON AIRWAYS COMPANY LIMITED, MMB Tower, #900016791–2 (Colombia) [SDNT]

YAMAHA VERANILLO DISTRIBUIDORES, Via 40 No. 67–42, Barranquilla, Colombia [SDNT]

YAMARU TRADING CO., LTD., Tokyo, Japan [CUBA]

YANDARBIEV, Zelimkhan Ahmedovich, Abdul Muslimovich, Derzhavina Street 28–59, Grozny, Chechen Republic, Russia; DOB 12 Sep 1952; POB Vydrba Eastern Kazakhstan; citizen Russia; Passport 43 No. 1500453 (Russia) (individual) (SDGT)

YANEZ GUERRERO, Rigoberto; DOB 17 Jun 1958; POB Mexico (individual) (SDNTK)

YAMAMOTO, KAZUO, Carrera 10 No. 31–01 Zona Industrial Los Mangos, Cali, Colombia; NIT #81503764–9 (Colombia) [SDNT]

YANGON AIRWAYS COMPANY LIMITED, MMB Tower, #900016791–2 (Colombia) [SDNT]

YAMAHA VERANILLO DISTRIBUIDORES, Via 40 No. 67–42, Barranquilla, Colombia [SDNT]

YAMARU TRADING CO., LTD., Tokyo, Japan [CUBA]

YANDARBIEV, Zelimkhan Ahmedovich, Abdul Muslimovich, Derzhavina Street 28–59, Grozny, Chechen Republic, Russia; DOB 12 Sep 1952; POB Vydrba Eastern Kazakhstan; citizen Russia; Passport 43 No. 1500453 (Russia) (individual) (SDGT)

YANEZ GUERRERO, Rigoberto; DOB 17 Jun 1958; POB Mexico (individual) (SDNTK)

YAMAMOTO, KAZUO, Carrera 10 No. 31–01 Zona Industrial Los Mangos, Cali, Colombia; NIT #81503764–9 (Colombia) [SDNT]

YAMARU TRADING CO., LTD., Tokyo, Japan [CUBA]

YANDARBIEV, Zelimkhan Ahmedovich, Abdul Muslimovich, Derzhavina Street 28–59, Grozny, Chechen Republic, Russia; DOB 12 Sep 1952; POB Vydrba Eastern Kazakhstan; citizen Russia; Passport 43 No. 1500453 (Russia) (individual) (SDGT)

YANEZ GUERRERO, Rigoberto; DOB 17 Jun 1958; POB Mexico (individual) (SDNTK)

YAMAMOTO, KAZUO, Carrera 10 No. 31–01 Zona Industrial Los Mangos, Cali, Colombia; NIT #81503764–9 (Colombia) [SDNT]
Office of Foreign Assets Control, Treasury

YARMOSHINA, Lidziya Mikhailovna (a.k.a. YARMOSHINA, Lidia Mikhailauna; a.k.a. YARMOSHYNA, Lidziya Mikhailauna; a.k.a. YARMOSHINA, Lidziya Mikhailova; a.k.a. YARMOSHYNA, Lidziya Mikhailova; a.k.a. YARMOSHYNA, Lidziya Mikhailauna; a.k.a. YARMOSHYNA, Lidziya Mikhailova; a.k.a. YARMOSHYNA, Lidziya Mikhailauna; a.k.a. YARMOSHYNA, Lidziya Mikhailova); DOB 29 Jan 1953; POB Slutek, Belarus; Head of the Central Commission for Elections and National Referendums (CEC) (individual) [BELARUS]

YASIN, Abdul Rahman (a.k.a. Taha, Abdul Rahman S.; a.k.a. THAH, Abdul Rahman S.; a.k.a. YASIN, Abdul Rahman Said; a.k.a. YASIN, Ahoud); DOB 10 Apr 1960; POB Bloomington, Indiana USA; citizen United States; DOB 29 Jan 1960; POB Baghdad, Iraq; nationality Iraq; Travel Document Number A0092301 (Germany) (individual) [SDGT]

YOUSSEF M. NADA, Via Riasc 4, Campione d`Italia I CH-6911, Switzerland [SDGT]

YUN, Cheng (a.k.a. “YIN CHEIN”; a.k.a. “YIN CHIN”; a.k.a. “YUN CHENG”), 11, Ng Shwe Wah Road, Between 66th and 54th Street, Chan mya Si Township, Mandalay, Burma; National ID No. (HWI)040182 (United States); DOB 29 Jan 1987; citizen Burma; nationality Burma; Managing Director, Pavo Trading Pte. Ltd. (individual) [BURMA]

ZA, Te; a.k.a. ZA, U Te), 6 Cairnhill Circle, Number 18–07, Cairnhill Crest 229813, Singapore; Burma; DOB 18 Jul 1984; alt. DOB 11 Apr 1976; citizen Burma; currently incarcerated at Weiterstadt, Germany (individual) [SDGT]

ZA, Yaib Phyo Tay, Burma; 6 Cairnhill Circle, Number 18–07, Cairnhill Crest 229813, Singapore; Burma; DOB 29 Jan 1967; citizen Burma; nationality Burma; Son of Tay Za. (individual) [BURMA]
ZAMBRANO, Yousuf, P.O. Box 1318, Amman, Jordan (individual) [IRAQ2]

ZAINAL, Akram, Iraq; Chairman and General Manager of AGRICULTURAL CO-OPERATIVE BANK (individual) [IRAQ2]

ZAKARIA, Zaini, A–1–8 Pangsapuri Sri ZAINAL, Akram, Iraq; Chairman and General Manager of AGRICULTURAL CO-OPERATIVE BANK (individual) [IRAQ2]

ZAHRAN, Yousuf, P.O. Box 1318, Amman, Jordan (individual) [IRAQ2]

ZAMBADA NIEBLA, Maria Teresa, Calle Rio ZAMBADA GARCIA, Ismael (a.k.a. GARCIA HERNANDEZ, Javier; a.k.a. HIGUERA RENTERIA, Ismael; a.k.a. LOAIZA AVENDANO, Jesus; a.k.a. LOPEZ LANDEROS, Jeronimo; a.k.a. ZAMBADA GARCIA, Ismael Mario; a.k.a. ZAMBADA, El Mayo), Calle Juan Jose Rios, Culiacan, Mexico; Bahia de San Ignacio #1921, Colonia Nuevo Culiacan, Culiacan, Sinaloa, Mexico; Calle Presa, Humaya #104, Fraccionamiento Las Quintas, Culiacan, Sinaloa, Mexico; calle Puerto Rico S.A. DE C.V., Culiacan, Sinaloa, Mexico; c/o ESTABLO PUERTO RICO S.A. DE C.V., Culiacan, Sinaloa, Mexico; Calle Gabino Vazquez #226, Colonias Los Pinos, Culiacan, Sinaloa, Mexico; DOB 04 Mar 1971; POB Culiacan, Sinaloa, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. ZANM710304MSLMBD01 (Mexico); alt. C.U.R.P. ZANM710304MSLMBD06 (Mexico); Passport 7904002206 (Mexico); R.F.C. ZANM–710304–RN2 (Mexico) (individual) [SDNTK]

ZAMBADA NIEBLA, Modesta, c/o JAMARO CONSTRUCTORES S.A. DE C.V., Culiacan, Sinaloa, Mexico; c/o NUEVA INDUSTRIA DE GANADEROS DE CULIACAN S.A. DE C.V., Culiacan, Sinaloa, Mexico; c/o ESTABLO PUERTO RICO S.A. DE C.V., Culiacan, Sinaloa, Mexico; Calle Ciudad de Hermosillo #1168, Fraccionamiento Las Quintas, Culiacan, Sinaloa, Mexico; c/o JAMARO CONSTRUCTORES S.A. DE C.V., Culiacan, Sinaloa, Mexico; c/o NUEVA INDUSTRIA DE GANADEROS DE CULIACAN S.A. DE C.V., Culiacan, Sinaloa, Mexico; c/o ESTABLO PUERTO RICO S.A. DE C.V., Culiacan, Sinaloa, Mexico; Calle Ciudad de Hermosillo #1168, Fraccionamiento Las Quintas, Culiacan, Sinaloa, Mexico; DOB 22 Nov 1982; POB Culiacan, Sinaloa, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. ZANM821122MSLMBD07 (Mexico); alt. R.F.C. ZANM–821122–H87 (Mexico) (individual) [SDNTK]

ZAMBADA NIEBLA, Monica del Rosario (a.k.a. ZAMBADA NIEBLA, Monica del Rosario), c/o NUEVA INDUSTRIA DE GANADEROS DE CULIACAN S.A. DE C.V., Culiacan, Sinaloa, Mexico; c/o JAMARO CONSTRUCTORES S.A. DE C.V., Culiacan, Sinaloa, Mexico; c/o ESTABLO PUERTO RICO S.A. DE C.V., Culiacan, Sinaloa, Mexico; Calle Ciudad de Hermosillo #1168, Fraccionamiento Las Quintas, Culiacan, Sinaloa, Mexico; Calle Ciudad de Puebla 1254, Colonia Los Pinos, Culiacan, Sinaloa, Mexico; DOB 02 Mar 1980; alt. DOB 02 Apr 1980; POB Culiacan, Sinaloa, Mexico; citizen Mexico; nationality Mexico; C.U.R.P. ZANM800402MSLMBD02 (Mexico); Passport 95040018273 (Mexico); R.F.C. ZANM–800402–H87 (Mexico) (individual) [SDNTK]

ZAMBADA NIEBLA, Vicente (a.k.a. SOTELO GUZMAN, Vicente; a.k.a. ZAMBADA NIEBLA, Jesus Vicente; a.k.a. ZAMBADA NIEBLA, Vicente; a.k.a. EL MAYITO”), 4892 Palma Cocotera, Colonia Las Palmas, Culiacan, Sinaloa, Mexico; Calle Ciudad de Hermosillo #1168, Fraccionamiento Las Quintas, Culiacan, Sinaloa, Mexico; c/o ESTABLO PUERTO RICO S.A. DE C.V., Culiacan, Sinaloa, Mexico; c/o NUEVA INDUSTRIA DE GANADEROS DE CULIACAN S.A. DE C.V., Culiacan, Sinaloa, Mexico; DOB 24
Mar 1975; POB Sinaloa, Mexico; citizen Mexico; nationality Mexico; Passport 97040/21871 (Mexico); R.F.C. ZANV-755324-959 (Mexico) (individual) [SDNTK]

ZAMBRANO MADRONERO, Carmen Alicia, c/o AGROPECUARIA LA ROBLEDA S.A., Cali, Colombia; DOB 4 Aug 1928; Cedula No. 29486292 (Colombia) (individual) [SDNT]

ZAMORA, Jose Hernan, c/o GANADERIAS DEL VALLE S.A., Cali, Colombia (individual) [SDNT]

ZAR : Vessel Registration Identification IMO 9260160 (vessel) [NPWM]

ZARIC, Simo; DOB 25 Jul 1948; POB Tmjak, Bosnia-Herzegovina; ICTY indictee (individual) [BALKANS]

ZARKAOUI, Imed Ben Mekki Ben Al-Akhdar (a.k.a. "NADRA"); (a.k.a. "ZARGA"), Via Col. Aprosio 588, Vallorcine, IM, Italy; DOB 15 Jan 1973; Passport E174595 (Tunisia); nationality Tunisia; Passport M174595 issued 27 Apr 1999 expires 26 Apr 2004; arrested 30 Sep 2002 (individual) [SDGT]

ZAW, Thein, Burma; DOB 20 Oct 1951; citizen Burma; nationality Burma; Brigadier General, Minister of Telecommunications, Post & Telegraph (individual) [BALKANS]

ZAW, Thidar (a.k.a. ZAW, Daw Thidar; a.k.a. ZAW, Thida), Burma; 6 Cairnhill Circle, No. 263–4–751168; Fax No. 263–4–251029 [ZIMBABWE]

ZB BANK LIMITED (a.k.a. ZB BANK; a.k.a. ZBCL; a.k.a. ZIMBABWE FINANCIAL HOLDINGS LIMITED; a.k.a. ZIMBANK), Zimbank House, Cnr. 1st Street/Speke Avenue, Harare, Zimbabwe; P.O. Box 3198, Harare, Zimbabwe; Phone No. 263–4–751168; Fax No. 263–4–251029 [ZIMBABWE]

ZB HOLDINGS LIMITED, 10th Floor ZB House, 46 Speke Avenue, P.O. Box 3198, Harare, Zimbabwe; Phone No. 263–4–751168; Fax No. 263–4–251029 [ZIMBABWE]

ZBRAVO, 12 Pop Lukina, Belgrade, Serbia; Registration ID 17317595 (Serbia); Tax ID No. 100036396 (Serbia); juice manufacturer [BALKANS]

ZELEN-KARADZIC, Ljiljana; DOB 27 Nov 1945; POB Sarajevo Bosnia-Herzegovina (individual) [BALKANS]

ZELENKOVIC, Dragana; DOB 12 Feb 1961; ICTY indictee at large (individual) [BALKANS]


ZERMENO BELTRAN, Guillermo, c/o FABRIDESEL, Los Mochis, Sinaloa, Mexico; DOB 20 Dec 1977; POB Mexico; citizen Mexico; nationality Mexico; R.F.C. ZEBG771220–PE6 (Mexico) (individual) [SDNTK]

ZERMENO BELTRAN, Patricia, c/o FABRIDESEL, S.A. DE C.V., Los Mochis, Sinaloa, Mexico; DOB 25 May 1975; POB Los Mochis, Sinaloa, Mexico; citizen Mexico; nationality Mexico (individual) [SDNTK]

ZEVALLOS GONZALES DE ARREDONDO, Maria del Rosario, c/o AVIANDINA S.A., Lima, Peru; c/o PERUVIAN PRECIOUS METALS S.A.C., Lima, Peru; aldabas MZ. 33, LT. 25, Las Gardenias, Lima, Peru; DOB 26 Jun 1956; LE Number 09138969 (Peru) (individual) [SDNTK]

ZEVALLOS GONZALEZ, Fernando, Melchides (a.k.a. GONZALES, Hernan; a.k.a. ZEVALLOS GONZALEZ, Fernandez); DO 8 Jul 1957; POB Juanjui, San Martin, Peru; LE Number 07552116 (Peru) (individual) [SDNTK]

ZEVALLOS GONZALEZ, Lupe Maritza, c/o CORPORACION DE INVERSIONES EMPRESARIALES S.A., Lima, Peru; c/o BLISSEY PANAMA INC., Panama City, Panama; c/o LA CROSSE GROUP INC, 799
Tortola, Virgin Islands, British; c/o URANTIA SERVICES S.A., Lima, Peru; c/o REPRESENTACIONES ORIENTE S.R.L., Trujillo, Peru; c/o ORIENTE CONTRATISTAS GENERALES S.A., Trujillo, Peru; c/o AERO CONTINENTE S.A., Lima, Peru; c/o EMPRESA EDITORA CONTINENTE PRESS S.A., Lima, Peru; c/o BELLOSOM ENTERPRISE, INC., Panama City, Panama; c/o TRANSPORTES AEROS UNIDOS SELVA AMAZONICA S.A., Lima, Peru; c/o AERO COU RIER CARGO S.A., Lima, Peru; Calle Nicolas de Riveria 610, Dpto. 702, Lima, Peru; DOB 17 Sep 1961; LE Number 07533229 (Peru) (individual) (SDNTK)

ZEBALLOS GONZALEZ, Milagros Angelina, c/o AVIANDINA S.A.C., Lima, Peru; c/o AERO CONTINENTE S.A., Lima, Peru; Calle Jose Maria Sert 201, Lima, Peru; DOB 12 Aug 1968; LE Number 07617157 (Peru) (individual) (SDNTK)

ZEBALLOS GONZALEZ, Sara Marilyn, c/o EMPRESA EDITORA CONTINENTE PRESS S.A., Lima, Peru; c/o REPRESENTACIONES ORIENTE S.R.L., Trujillo, Peru; c/o ORIENTE TOURS S.R.L., Lima, Peru; c/o LA CROSSE GROUP INC, Tortola, Virgin Islands, British; Calle Trinidad Moran 1316, Lima, Peru; c/o PERU TOTAL MARKET E.I.R.L., Lima, Peru; c/o TRANSPORTES AEROS UNIDOS SELVA AMAZONICA S.A., Lima, Peru; c/o SERVICIOS SILSA S.A.C., Lima, Peru; c/o AERO COU RIER CARGO S.A., Lima, Peru; DOB 01 Jan 1963; LE Number 07533224 (Peru) (individual) (SDNTK)

ZEBALLOS GONZALEZ, Winston Ricardo (a.k.a. ZEVALLOS GONZALEZ, Ricardo), c/o AVIANDINA S.A.C., Lima, Peru; Avenida Rio Grande 367, Lima, Peru; c/o AERO CONTINENTE S.A., Lima, Peru; c/o TALLER DE REPARACIONES DE AERODINOS SUS PARTES Y SERVICIOS AEREO GENERALES S.A., Lima, Peru; c/o TRANSPORTES AEROS UNIDOS SELVA AMAZONICA S.A., Lima, Peru; DOB 11 May 1969; LE Number 07942932 (Peru); SSN 592-29-5509 (individual) (SDNTK)

ZHOUWO, Patrick; DOB 23 May 1967; Deputy Minister of Science and Technology (individual) (ZIMBABWE)

ZIDCO HOLDINGS (a.k.a. ZIDCO HOLDINGS (PVT) LTD), Po Box 1275, Harare, Zimbabwe; 88 Robert Mugabe Road, Harare, Zimbabwe (ZIMBABWE)

ZIGIC, Zoran; DOB 20 Sep 1968; POB Balte, Bosnia-Herzegovina; ICTY indictee (individual) (BALEANS)

ZIMBABWE DEFENCE INDUSTRIES (PVT) LTD., 10th Floor, Trustee House, 55 Samora Machel Avenue, Harare, Zimbabwe; P.O. Box 6597, Harare, Zimbabwe (ZIMBABWE)

ZIMBABWE IRON AND STEEL COMPANY (a.k.a. ZISCO; a.k.a. ZISCOSTEEL), Private Bag 2, Redcliff Zimbabwe, Zimbabwe; Phone No. 263–55–62401; Fax No. 263–55–68666 (ZIMBABWE)

ZIMBABWE MINING DEVELOPMENT CORPORATION (a.k.a. ZIMBABWE MINING DEVELOPMENT CORP.; a.k.a. ZMDC), MMCZ Building, 90 Mutare Rd., Harare, Zimbabwe; P.O. Box 4101, Harare, Zimbabwe; Phone No. 263–4–470507; Fax No. 263–4–487022 (ZIMBABWE)

ZIMONDI, Paradzai; DOB 4 Mar 1947; Zimbabwe Prisons Chief (individual) (ZIMBABWE)

ZIMOUSKY, Aliaksandr Leanidavich (a.k.a. ZIMOWSKI, Aliaksandr Leanidavich; a.k.a. ZIMOUSKI, Akiaksandr Leanidavich); DOB 10 Jan 1961; POB Germany; Head of the Belarusian State Television and Radio Company (BSTRC); Member of the Upper House of Parliament (individual) (BELARUS)

ZIMRE HOLDINGS LIMITED (a.k.a. WWW.ZHL.CO.ZW; a.k.a. ZIPME), 9th Floor, Zimre Centre, Cnr. Leopold Takawira/Kwame Nkrumah Avenue, P.O. Box 4839, Harare, Zimbabwe; Phone No. 263–4–772972 (ZIMBABWE)

ZIVA; Vessel Registration Identification IMO 9269172 (vessel) (NPWMD)

ZOMORoud; Vessel Registration Identification IMO 9139444 (vessel) (NPWMD)

ZUBAIDI, Muhammad Hamza; a.k.a. AL-ZUBAIDI, Mohammed Hamza; a.k.a. AL-ZUBAYDI, Muhammad Hamza); DOB 1938; POB Babylon, Babil Governorate, Iraq; nationality Iraq; former prime minister (individual) (IRAQ)

ZUBAYDA BRAVO, Manex; DOB 14 August 1979; POB Getxo Vizcaya Province, Spain; D.N.I. 18.061.664; Member ETA (individual) (SDGT)
ZULEKHA GENERAL TRADING LLC (a.k.a. ZULEIKHA GENERAL TRADING), P.O. Box 5456, Ajman, United Arab Emirates; C.R. No. 23035 (United Arab Emirates) [SDNTK] 

ZULKARNAEN (a.k.a. ARIF SUNARSO; a.k.a. ARIS SUMARSONO; a.k.a. ARIS SUNARSO; a.k.a. MURSHID; a.k.a. USTAD DAUD ZULKARNAEN; a.k.a. ZULKARNAIN; a.k.a. ZULKARNAN; a.k.a. ZULKARNIN); DOB 1963; POB Gebang village, Masaran, Sragen, Central Java, Indonesia; nationality Indonesia (individual) [SDGT] 

ZULUAGA LINDO, Francisco Javier (a.k.a. GALINDO, Gabriel; a.k.a. “GORDO LINDO”), c/o SOCIEDAD SUPERDEPORTES LTDA., Bogota, Colombia; Calle 10 No. 46-45, Cali, Colombia; Calle 9 No. 28-50, Piso 3, Cali, Colombia; DOB 15 Jan 1970; POB Cali, Colombia; citizen Colombia; nationality Colombia; Cedula No. 16774828 (Colombia); Passport AE047754 (Colombia); alt. Passport AF869394 (Colombia) (individual) [SDNT] 

ZUPLJANIN, Stojan; DOB 1951; POB Maslovare, Bosnia-Herzegovina; ICTY indictee (individual) [BALKANS] 

ZVINAVASHE INVESTMENTS LTD. (a.k.a. LAMFONTINE FARM; a.k.a. ZVINAVASHE TRANSPORT), 730 Cowie Road, Tynwald, Harare, Zimbabwe; P.O. Box 3928, Harare, Zimbabwe [ZIMBABWE] 

ZVINAVASHE, Vitalis; DOB 27 Sep 1943; Politburo Member & Retired Commander of Zimbabwe Defense Forces (individual) [ZIMBABWE] 

[75 FR 38213, July 1, 2010]
### Appendix B to Chapter V—Alphabetical Listing of Vessels That Are the Property of Blocked Persons or Specially Designated Nationals

**Blocked Vessels**

<table>
<thead>
<tr>
<th>Vessel Name</th>
<th>Program</th>
<th>Flag</th>
<th>Vessel Type</th>
<th>DWT</th>
<th>GRT</th>
<th>Call Sign</th>
<th>Vessel Owner</th>
<th>Alternate Names</th>
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<tbody>
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<td>IRAQ</td>
<td>Iraq</td>
<td>Tanker</td>
<td>1,502</td>
<td></td>
<td>HNAR</td>
<td>Iraqi Oil Tankers Company</td>
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<td>7 NISSAN</td>
<td>IRAQ</td>
<td>Iraq</td>
<td>Tanker</td>
<td>1,502</td>
<td></td>
<td>HNNN</td>
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<td>ACHICLITY</td>
<td>CUBA</td>
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<td>Tanker</td>
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<td>Tanker</td>
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<td>YIHA</td>
<td>Acechility Navigation Co., Malta</td>
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<td>Iraq</td>
<td>Tug</td>
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<td>AL AMIN</td>
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<td>Tug</td>
<td>368</td>
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<td>Iraqi flag</td>
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<td>375</td>
<td>YIAV</td>
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# CHAPTER VI—BUREAU OF ENGRAVING AND PRINTING, DEPARTMENT OF THE TREASURY

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601.2 Description of paper.
601.3 Use of paper.
601.4 Use of paper; interest-bearing securities of the United States.
601.5 Penalty for unauthorized control or possession.

SOURCE: 61 FR 10895, Mar. 18, 1996, unless otherwise noted.

§ 601.1 Notice to the public.
The Secretary of the Treasury, by authority of law, has adopted a new distinctive paper for use in printing United States currency in addition to the existing distinctive papers for use in printing United States currency and other securities.

§ 601.2 Description of paper.
The paper utilized in the printing of United States currency and public debt issues is cream-white bank note paper which must contain security features prescribed by the Secretary of the Treasury. All currency paper shall contain distinctive fibers, colored red and blue, incorporated in the body of the paper while in the process of manufacture and evenly distributed throughout. In addition to distinctive red and blue fibers, currency paper shall contain, for denominations prescribed by the Secretary of the Treasury, security threads embedded beneath the surface of the paper during the manufacturing process. Security threads shall contain graphics consisting of the designation “USA” and the denomination of the currency, expressed in alphabetic or numeric characters. In addition to the security thread, for the denominations prescribed by the Secretary of the Treasury, the paper will bear a watermark identical to the portrait to be printed on the paper.

§ 601.3 Use of paper.
The new distinctive paper shall be used for printing Federal Reserve Notes of the denominations prescribed by the Secretary of the Treasury. The use of the existing distinctive papers, the distinctive features of which consist of distinctive fibers, colored red and blue, incorporated in the body of the paper while in the process of manufacture and evenly distributed throughout, and the security thread containing graphics consisting of the designation “USA” and the denomination of the currency, will be continued for printing of any currency denomination prescribed by the Secretary of the Treasury.

§ 601.4 Use of paper; interest-bearing securities of the United States.
The existing distinctive papers shall be used for the printing of interest-bearing securities of the United States, and for any other printing where the use of distinctive paper is indicated.

§ 601.5 Penalty for unauthorized control or possession.
The Secretary of the Treasury hereby gives notice that the new distinctive paper, together with any other distinctive papers heretofore adopted for the printing of paper currency or other obligations or securities of the United States, is and will be subject to the provisions of 18 U.S.C. 474A which provides, in part, that it is against the law to possess any paper, or facsimile thereof, designated by the Secretary of the Treasury for the printing of U.S. currency or any other security of the United States, except with the permission of the Secretary or the authorized official. This crime is punishable by a fine not to exceed five thousand dollars or imprisonment for not more than fifteen years, or both.

PART 605—REGULATIONS GOVERNING CONDUCT IN BUREAU OF ENGRAVING AND PRINTING BUILDINGS AND ON THE GROUNDS OF WASHINGTON, DC AND FORT WORTH, TEXAS

§ 605.1 Conduct on Bureau of Engraving and Printing property.

(a) Applicability. These regulations apply to the Buildings and grounds of the Bureau of Engraving and Printing located in Washington, DC at 14th and C Streets SW., and in Fort Worth, Texas, at 9000 Blue Mound Road, and to all persons entering in or on such property. Unless otherwise stated herein, the Bureau of Engraving and Printing Buildings and grounds shall be referred to in these regulations as the “property.” It is the responsibility of the occupant agencies to require observance of the regulations in this part by their employees.

(b) Limited access. (1) The property shall, in general, be closed to the public. Except as specified in this subsection, access is limited to Bureau of Engraving and Printing (BEP) employees and those individuals having official business with the BEP.

(2) Public tours of the facilities are available during authorized hours, or during such other times as the Director may prescribe.

(3) Limited areas of the premises may be open to individuals, authorized by the Director, by prior arrangement on infrequent occasions that are announced in advance.

(4) All persons entering the property, except for the public areas specified in paragraph (b)(2) of this section, may be required to present suitable identification and may be required to sign entry logs or registers.

(5) All persons entering the property may be subjected to screening by weapons detection devices and shall submit to such screening upon request as a condition of entrance.

(6) All persons entering the property may be subjected to inspections of their personal handbags, briefcases, and other handheld articles.

(7) In the event of emergency situations, access to the property may be more tightly controlled and restricted.

(8) Any entrance onto the property without official permission is prohibited.

(c) Recording presence. All persons entering the property may be monitored by means of closed circuit television. Most internal areas of the property, especially production areas, are continuously monitored by closed circuit television. Any video image from the closed circuit television systems may be recorded for later use as needed.

(d) Preservation of property. It shall be unlawful for any person without proper authority to willfully destroy, damage, deface, or remove property or any part thereof or any furnishings therein.

(e) Compliance with signs and directions. Persons in and on the property shall comply with the instructions of BEP Special Police, other authorized officials, and posted signs or notices.

(f) Nuisances. The use of loud, abusive, or profane language, unwarranted loitering, unauthorized assembly, the creation of any hazard to persons or property, improper disposal of rubbish, spitting, prurient prying, the commission of any obscene or indecent act, or any other disorderly conduct on the property is prohibited. The throwing of any articles of any kind in, upon, or from the property and climbing upon any part thereof is prohibited.

(g) Gambling. (1) Participating in games for money or other property, the operation of gambling devices, the conduct of a lottery or pool, the selling or purchasing of numbers, tickets, or any other gambling in or on the property is prohibited.

(2) Possession in or on the property of any numbers slip or ticket, record, notation, receipt or other writing of a type ordinarily used in any illegal form of gambling such as a tip sheet or dream book, unless explained to the satisfaction of the Director or his delegate, shall be prima facie evidence that there is participation in an illegal form of gambling in or on such property.

(h) Intoxicating beverages, narcotics, and drugs. Entering or being on the property, or operating a motor vehicle thereon, by a person under the influence of intoxicating beverages, narcotics, hallucinogenic or dangerous drugs, or marijuana, or the consumption of such beverages or the use of such drugs or marijuana in or on the property is prohibited. Intoxicants, nonprescription narcotics, and other controlled substances (21 CFR part 1308) are prohibited on the property.
(i) Soliciting, vending, debt collection, and distribution of handbills. The unauthorized soliciting of alms and contributions, the commercial soliciting and vending of all kinds, the display or distribution of commercial advertising, or the collecting of private debts other than as provided by law, in or on the property is prohibited. This rule does not apply to BEP concessions or notices posted by authorized employees on the bulletin boards. Distribution of material such as pamphlets, handbills, and flyers is prohibited without prior approval from the Director or his delegate.

(j) Photographs. The taking of photographs on the property is prohibited, without the written permission of the Director. Title 18 United States Code, Section 474 provides, in part, that whoever photographs any obligation or other security of the United States, or any part thereof, shall be fined not more than $5,000 or imprisoned not more than 15 years, or both.

(k) Dogs and other animals. Dogs and other animals, except seeing-eye dogs, shall not be brought upon the property for other than official purposes.

(l) Vehicular and pedestrian traffic. (1) Drivers of all vehicles in or on the property shall drive in a careful and safe manner at all times and shall comply with the signals and directions of BEP Special Police and all posted traffic signs.

(2) The blocking of entrances, driveways, walks, loading platforms, fire hydrants, or standpipes in or on the property is prohibited.

(3) Parking in or on the property is not allowed without a permit or specific authority. Parking without authority, parking in unauthorized locations or in locations reserved for other persons or continuously in excess of 8 hours without permission, or contrary to the direction of BEP Special Police or of posted signs is prohibited.

(4) This subsection may be supplemented from time to time, with the approval of the Director or his delegate, by the issuance and posting of such specific traffic directives as may be required and when so issued and posted such directives shall have the same force and effect as if made a part hereof.

(m) Weapons and explosives. No person while on the property shall carry firearms, other dangerous or deadly weapons, or explosives, either openly or concealed, except for official purposes. According to 18 United States Code, Section 930, “dangerous weapon” means “a weapon, device, instrument, material, or substance, animate or inanimate, that is used for, or readily capable of, causing death or serious bodily injury . . . .”

(n) Penalties and other law. (1) Violations of this part shall be punishable by a fine of not more than $50 or imprisonment of not more than 30 days, or both in accordance with 40 United States Code, Section 318c.

(2) Violations of 18 United States Code, Section 930 (dangerous weapon clause) shall be punishable by a fine of $100,000 or imprisonment for not more than a year, or both, unless there is intent to commit a crime with the weapon, in which case the punishment shall be a fine of $250,000 or imprisonment for not more than five years, or both.

(3) Nothing contained in this part shall be construed to abrogate any other Federal, District of Columbia, or Texas law or regulations, or any Tarrant County ordinance applicable to the property.

[59 FR 41978, Aug. 16, 1994]
CHAPTER VII—FEDERAL LAW ENFORCEMENT 
TRAINING CENTER, DEPARTMENT OF THE 
TREASURY

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700.6 Nuisances.
700.7 Alcoholic beverages, narcotics, and drugs.
700.8 Soliciting, vending, debt collection, and distribution of handbills.
700.9 Photographs for news, advertising, or commercial purposes.
700.10 Vehicular and pedestrian traffic.
700.11 Weapons and explosives.
700.12 Authority to search persons and vehicles.
700.13 Nondiscrimination.
700.14 Smoking.


SOURCE: 63 FR 39730, July 24, 1998, unless otherwise noted.

§ 700.2 Applicability.

The regulations in this part apply to the buildings and surrounding property of the FLETC, Glynco, Georgia; Artesia, New Mexico; FLETC’s Washington Office; any other temporary site FLETC may occupy; and to all persons entering such buildings or property.

§ 700.3 Recording presence.

Except as otherwise ordered, the property shall be closed to the general public. Admission to the property will be limited to authorized individuals who will be required to obtain a visitor’s pass and/or display identification documents, in accordance with FLETC policy.

§ 700.4 Preservation of property.

It shall be unlawful for any person without proper authority to willfully destroy, damage, deface, or remove property (including Federal records) or any part thereof or any furnishing therein.

§ 700.5 Compliance with signs and directions.

Persons in and on the property shall comply with the instructions of uniformed FLETC security officers, other authorized officials, official signs of a prohibitory or directory nature, and all applicable statutes and regulations.

§ 700.6 Nuisances.

The use of loud, abusive, or profane language, except as part of an authorized practical training exercise, unwarranted loitering, unauthorized assembly, the creation of any hazard to persons or things, improper disposal of rubbish, or the commission of any disorderly conduct on the property is prohibited. Prohibited actions in the preceding sentence are limited to those actions which impede, obstruct, or otherwise interfere with the Government’s business which includes, among other things, the maintenance of the facility, protection of persons and property, and the smooth administration of academic activities and supporting services. The entry, without specific permission, upon any part of the property to which authorized visitors do not customarily have access, is prohibited.

§ 700.7 Alcoholic beverages, narcotics, and drugs.

Entering or being on the property, or operating a motor vehicle thereon, by a person under the influence of alcoholic beverages, narcotics, hallucinogenic or dangerous drugs, or marijuana is prohibited. The possession or use of any unlawful drug or substance contrary to the provisions of Federal, State, or local law in or on the property is prohibited.

§ 700.8 Soliciting, vending, debt collection and distribution of handbills.

The unauthorized soliciting for charity and contributions, commercial soliciting and vending of all kinds, the display or distribution of commercial advertising, or the collecting of private debts, other than legal service of process, in or on the property, is prohibited. This prohibition does not apply to Federal Law Enforcement Training Center concessions or notices posted by authorized employees on the bulletin boards. Distribution of material such
as pamphlets, handbills, and flyers is prohibited without prior approval of the Director.

§ 700.9 Photographs for news, advertising, or commercial purposes.

Photographs for news, advertising, or commercial purposes may be taken on the property only with the prior permission of the Director. Taking photographs of a student is prohibited without the consent of the student.

§ 700.10 Vehicular and pedestrian traffic.

(a) Drivers of all vehicles on the property shall drive in a careful and safe manner at all times and shall comply with the signals and directions of security officers and all posted traffic signs. All persons on the property must comply with all applicable Federal, State, and local laws. All drivers operating a vehicle on property roadways must possess a valid driver’s license.

(b) The blocking of entrances, driveways, walks, loading platforms, or fire-hydrants in or on the property is prohibited.

(c) Parking is permitted only in authorized locations.

(d) This section may be supplemented from time to time by the Director by the issuance and posting of traffic directives. When so issued and posted, such directives shall have the same force and effect as if made a part hereof.

§ 700.11 Weapons and explosives.

No person, while on the property, shall carry firearms, other dangerous or deadly weapons, or explosives, either openly or concealed, except for authorized training or official purposes, in accordance with FLETC regulations.

§ 700.12 Authority to search persons and vehicles.

Persons and vehicles entering upon FLETC facilities are subject to search by authorized security officers.

§ 700.13 Nondiscrimination.

(a) No one entering upon FLETC property shall discriminate against or harass any other person on such property, on the basis of race, color, religion, national origin, sex, sexual orientation, age, or disability. Sexual harassment is a form of sex discrimination and is expressly prohibited.

(b) Appropriate action will be taken against any person who violates any discrimination prohibition contained in paragraph (a) of this section. However, this section does not create any legal rights enforceable against the Department of the Treasury, its officers, or employees, or any other person. Although this section does not create any enforceable rights, actions in violation of the section may still result in civil or criminal action in accordance with applicable laws.

§ 700.14 Smoking.

Smoking of cigarettes, cigars and pipes is prohibited in all FLETC buildings and vehicles.
CHAPTER VIII—OFFICE OF INVESTMENT SECURITY, DEPARTMENT OF THE TREASURY

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PART 800—REGULATIONS PERTAINING TO Mergers, Acquisitions, and Takeovers by Foreign Persons

Subpart A—General

§ 800.101 Scope.

The regulations in this part implement section 721 of title VII of the Defense Production Act of 1950 (50 U.S.C. App. 2170), as amended, hereinafter referred to as “section 721.” The definitions in this part are applicable to section 721 and these regulations. The principal purpose of section 721 is to authorize the President to suspend or prohibit any covered transaction when, in the President’s judgment, there is credible evidence to believe that the foreign person exercising control over a U.S. business might take action that threatens to impair the national security, and when provisions of law other than section 721 and the International Emergency Economic Powers Act (50 U.S.C. 1701–1706), do not, in the judgment of the President, provide adequate and appropriate authority for the President to protect the national security in the matter before the President. It is also a purpose of section 721

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§ 800.202 Certification.

§ 800.203 Committee; Chairperson of the Committee; Staff Chairperson.

§ 800.204 Control.

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§ 800.207 Covered transaction.

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§ 800.225 United States.

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§ 800.303 Lending transactions.

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§ 800.505 Commencement of investigation.

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§ 800.509 Materiality.

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§ 800.601 Finality of actions under section 721.

Subpart G— Provision and Handling of Information

§ 800.701 Obligation of parties to provide information.

§ 800.702 Confidentiality.

Subpart H—Penalties

§ 800.801 Penalties.


Source: 73 FR 70716, Nov. 21, 2008, unless otherwise noted.

Subpart A—General

§ 800.101 Scope.

The regulations in this part implement section 721 of title VII of the Defense Production Act of 1950 (50 U.S.C. App. 2170), as amended, hereinafter referred to as “section 721.” The definitions in this part are applicable to section 721 and these regulations. The principal purpose of section 721 is to authorize the President to suspend or prohibit any covered transaction when, in the President’s judgment, there is credible evidence to believe that the foreign person exercising control over a U.S. business might take action that threatens to impair the national security, and when provisions of law other than section 721 and the International Emergency Economic Powers Act (50 U.S.C. 1701–1706), do not, in the judgment of the President, provide adequate and appropriate authority for the President to protect the national security in the matter before the President. It is also a purpose of section 721
§ 800.102 Effect on other law.

Nothing in this part shall be construed as altering or affecting any other authority, process, regulation, investigation, enforcement measure, or review provided by or established under any other provision of federal law, including the International Emergency Economic Powers Act, or any other authority of the President or the Congress under the Constitution of the United States.

§ 800.103 Applicability rule; prospective application of certain provisions.

(a) Except as provided in paragraph (b) of this section and otherwise in this part, the regulations in this part apply from the effective date (as defined in Section 800.210).

(b) Sections 800.204 (Control), 800.205 (Conversion), 800.206 (Convertible voting instrument), 800.211 (Entity), 800.212 (Foreign entity), 800.216 (Foreign person), 800.220 (Party or parties to a transaction), 800.223 (Soley for the purpose of passive investment), 800.224 (Transaction), 800.226 (U.S. business), and 800.228 (Voting interest), and the regulations in subpart C (Coverage) do not apply to any transaction for which the following has occurred before the effective date, in which case corresponding provisions of the regulations in this part that were in effect the day before the effective date will apply:

1. The parties to the transaction have executed a written agreement or other document establishing the material terms of the transaction;
2. A party has made a public offer to shareholders to buy shares of a U.S. business;
3. A shareholder has solicited proxies in connection with an election of the board of directors of a U.S. business or has requested the conversion of convertible voting securities; or
4. The parties have, in the Committee’s view, otherwise made a commitment to engage in a transaction.

Note to §800.103: See subpart H of this part for specific applicability rules pertaining to that subpart.

§ 800.104 Transactions or devices for avoidance.

Any transaction or other device entered into or employed for the purpose of avoiding section 721 shall be disregarded, and section 721 and the regulations in this part shall be applied to the substance of the transaction.

Example. Corporation A is organized under the laws of a foreign state and is wholly owned and controlled by a foreign national. With a view towards avoiding possible application of section 721, Corporation A transfers money to a U.S. citizen, who, pursuant to informal arrangements with Corporation A and on its behalf, purchases all the shares in Corporation X, a U.S. business. That transaction is subject to section 721.

Subpart B—Definitions

§ 800.201 Business day.

The term business day means Monday through Friday, except the legal public holidays specified in 5 U.S.C. 6103 or any other day declared to be a holiday by federal statute or executive order.

§ 800.202 Certification.

(a) The term certification means a written statement signed by the chief executive officer or other duly authorized designee of a party to a transaction filing a notice or information, certifying that the notice or information filed:

(1) Fully complies with the requirements of section 721, the regulations in this part, and any agreement or condition entered into with the Committee or any member of the Committee, and

(2) Is accurate and complete in all material respects, as it relates to:

(i) The transaction, and

(ii) The party providing the certification, including its parents, subsidiaries, and any other related entities described in the notice or information.

(b) For purposes of this section, a duly authorized designee is:

(1) In the case of a partnership, any general partner thereof;

(2) In the case of a corporation, any officer or director thereof;
§ 800.204 Control.

(a) The term control means the power, direct or indirect, whether or not exercised, through the ownership of a majority or a dominant minority of the total outstanding voting interest in an entity, board representation, proxy voting, a special share, contractual arrangements, formal or informal arrangements to act in concert, or other means, to determine, direct, or decide important matters affecting an entity; in particular, but without limitation, to determine, direct, take, reach, or cause decisions regarding the following matters, or any other similarly important matters affecting an entity:

(1) The sale, lease, mortgage, pledge, or other transfer of any of the tangible or intangible principal assets of the entity, whether or not in the ordinary course of business;

(2) The reorganization, merger, or dissolution of the entity;

(3) The closing, relocation, or substantial alteration of the production, operational, or research and development facilities of the entity;

(4) Major expenditures or investments, issuances of equity or debt, or dividend payments by the entity, or approval of the operating budget of the entity;

(5) The selection of new business lines or ventures that the entity will pursue;

(6) The entry into, termination, or non-fulfillment by the entity of significant contracts;

(7) The policies or procedures of the entity governing the treatment of non-public technical, financial, or other proprietary information of the entity;

(8) The appointment or dismissal of officers or senior managers;

(9) The appointment or dismissal of employees with access to sensitive technology or classified U.S. Government information; or

(10) The amendment of the Articles of Incorporation, constituent agreement, or other organizational documents of the entity with respect to the matters described in paragraphs (a)(1) through (9) of this section.

(b) In examining questions of control in situations where more than one foreign person has an ownership interest in an entity, consideration will be given to factors such as whether the foreign persons are related or have formal or informal arrangements to act in concert, whether they are agencies or instrumentalities of the national or subnational governments of a single foreign state, and whether a given foreign person and another person that has an ownership interest in the entity are both controlled by any of the national or subnational governments of a single foreign state.

(c) The following minority shareholder protections shall not in themselves be deemed to confer control over an entity:

(1) The power to prevent the sale or pledge of all or substantially all of the assets of an entity or a voluntary filing for bankruptcy or liquidation;

(2) The power to prevent an entity from entering into contracts with majority investors or their affiliates;
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(3) The power to prevent an entity from guaranteeing the obligations of majority investors or their affiliates;

(4) The power to purchase an additional interest in an entity to prevent the dilution of an investor’s pro rata interest in that entity in the event that the entity issues additional instruments conveying interests in the entity;

(5) The power to prevent the change of existing legal rights or preferences of the particular class of stock held by minority investors, as provided in the relevant corporate documents governing such shares; and

(6) The power to prevent the amendment of the Articles of Incorporation, constituent agreement, or other organizational documents of an entity with respect to the matters described in paragraphs (c)(1) through (5) of this section.

d) The Committee will consider, on a case-by-case basis, whether minority shareholder protections other than those listed in paragraph (c) of this section do not confer control over an entity.

e) Any transaction in which a foreign person acquires an additional interest in a U.S. business that was previously the subject of a covered transaction for which the Committee concluded all action under section 721 shall not be deemed to be a transaction that could result in foreign control over that U.S. business (i.e., it is not a covered transaction). However, if a foreign person that did not acquire control of the U.S. business in the prior transaction is a party to the later transaction, the later transaction may be a covered transaction.

Example 1. Corporation A is a U.S. business. A U.S. investor owns 50 percent of the voting interest in Corporation A, and the remaining voting interest is owned in equal shares by five unrelated foreign investors. The foreign investors jointly financed their investment in Corporation A and vote as a single block on matters affecting Corporation A. The foreign investors have an informal arrangement to act in concert with regard to Corporation A, and, as a result, the foreign investors control Corporation A.

Example 2. Same facts as in Example 1 with regard to the composition of Corporation A’s shareholders. The foreign investors in Corporation A have no contractual or other commitments to act in concert, and have no informal arrangements to do so. Assuming no other relevant facts, the foreign investors do not control Corporation A.

Example 3. Corporation A, a foreign person, is a private equity fund that routinely acquires substantial interests in companies and manages them for a period of time. Corporation B is a U.S. business. In addition to its acquisition of seven percent of Corporation B’s voting shares, Corporation A acquires the right to terminate significant contracts of Corporation B. Corporation A controls Corporation B.

Example 4. Corporation A, a foreign person, acquires a nine percent interest in the shares of Corporation B, a U.S. business. As part of the transaction, Corporation A also acquires certain veto rights that determine important matters affecting Corporation B, including the right to veto the dismissal of senior executives of Corporation B. Corporation A controls Corporation B.

Example 5. Corporation A, a foreign person, acquires a thirteen percent interest in the shares of Corporation B, a U.S. business, and the right to appoint one member of Corporation B’s seven-member Board of Directors. Corporation A receives minority shareholder protections listed in §800.204(c), but receives no other positive or negative rights with respect to Corporation B. Assuming no other relevant facts, Corporation A does not control Corporation B.

Example 6. Corporation A, a foreign person, acquires a twenty percent interest in the shares of Corporation B, a U.S. business. Corporation A has negotiated an irrevocable passivity agreement that completely precludes it from controlling Corporation B. Corporation A does, however, receive the right to prevent Corporation B from entering into contracts with majority investors or their affiliates and to prevent Corporation B from guaranteeing the obligations of majority investors or their affiliates. Assuming no other relevant facts, Corporation A does not control Corporation B.

Example 7. Corporation A, a foreign person, acquires a 40 percent interest and important rights in Corporation B, a U.S. business. The documentation pertaining to the transaction gives no indication that Corporation A’s interest in Corporation B may increase at a later date. Following its review of the transaction, the Committee informs the parties that the notified transaction is a covered transaction, and concludes action under section 721. Three years later, Corporation A acquires the remainder of the voting interest in Corporation B. Assuming no other relevant facts, because the Committee concluded all action with respect to Corporation A’s earlier investment in the same U.S. business, and because no other foreign person is a party to this subsequent transaction, this subsequent transaction is not a covered transaction.
Example 8. Limited Partnership A comprises two limited partners, each of which holds 49 percent of the interest in the partnership, and a general partner, which holds two percent of the interest. The general partner has sole authority to determine, direct, and decide important matters affecting the partnership and a fund operated by the partnership. The general partner alone controls Limited Partnership A and the fund.

Example 9. Same facts as in Example 8, except that each of the limited partners has the authority to veto major investments proposed by the general partner and to choose the fund’s representatives on the boards of the fund’s portfolio companies. The general partner and the limited partners each have control over Limited Partnership A and the fund.

Note to § 800.204: See § 800.302(b) regarding the Committee’s treatment of transactions in which a foreign person holds or acquires ten percent or less of the outstanding voting interest in a U.S. business solely for the purpose of passive investment.

§ 800.205 Conversion.

The term conversion means the exercise of a right inherent in the ownership or holding of particular financial instruments to exchange any such instruments for voting instruments.

§ 800.206 Convertible voting instrument.

The term convertible voting instrument means a financial instrument that currently does not entitle its owner or holder to voting rights but is convertible into a voting instrument.

§ 800.207 Covered transaction.

The term covered transaction means any transaction that is proposed or pending after August 23, 1988, by or with any foreign person, which could result in control of a U.S. business by a foreign person.

§ 800.208 Critical infrastructure.

The term critical infrastructure means, in the context of a particular covered transaction, a system or asset, whether physical or virtual, so vital to the United States that the incapacity or destruction of the particular system or asset of the entity over which control is acquired pursuant to that covered transaction would have a debilitating impact on national security.

§ 800.209 Critical technologies.

The term critical technologies means:

(a) Defense articles or defense services covered by the United States Munitions List (USML), which is set forth in the International Traffic in Arms Regulations (ITAR) (22 CFR parts 120-130);

(b) Those items specified on the Commerce Control List (CCL) set forth in Supplement No. 1 to part 774 of the Export Administration Regulations (EAR) (15 CFR parts 730-774) that are controlled pursuant to multilateral regimes (i.e., for reasons of national security, chemical and biological weapons proliferation, nuclear nonproliferation, or missile technology), as well as those that are controlled for reasons of regional stability or surreptitious listening;

(c) Specially designed and prepared nuclear equipment, parts and components, materials, software, and technology specified in the Assistance to Foreign Atomic Energy Activities regulations (10 CFR part 810), and nuclear facilities, equipment, and material specified in the Export and Import of Nuclear Equipment and Material regulations (10 CFR part 110); and

(d) Select agents and toxins specified in the Select Agents and Toxins regulations (7 CFR part 331, 9 CFR part 121, and 42 CFR part 73).

§ 800.210 Effective date.

The term effective date means December 22, 2008.

§ 800.211 Entity.

The term entity means any branch, partnership, group or sub-group, association, estate, trust, corporation or division of a corporation, or organization (whether or not organized under the laws of any State or foreign state); assets (whether or not organized as a separate legal entity) operated by any one of the foregoing as a business undertaking in a particular location or for particular products or services; and any government (including a foreign national or subnational government, the United States Government, a subnational government within the United
§ 800.212 Foreign entity.

(a) The term foreign entity means any branch, partnership, group or sub-group, association, estate, trust, corporation or division of a corporation, or organization organized under the laws of a foreign state if either its principal place of business is outside the United States or its equity securities are primarily traded on one or more foreign exchanges.

(b) Notwithstanding paragraph (a) of this section, any branch, partnership, group or sub-group, association, estate, trust, corporation or division of a corporation, or organization that demonstrates that a majority of the equity interest in such entity is ultimately owned by U.S. nationals is not a foreign entity.

§ 800.213 Foreign government.

The term foreign government means any government or body exercising governmental functions, other than the United States Government or a sub-national government of the United States. The term includes, but is not limited to, national and subnational governments, including their respective departments, agencies, and instrumentalities.

§ 800.214 Foreign government-controlled transaction.

The term foreign government-controlled transaction means any covered transaction that could result in control of a U.S. business by a foreign government or a person controlled by or acting on behalf of a foreign government.

§ 800.215 Foreign national.

The term foreign national means any individual other than a U.S. national.

§ 800.216 Foreign person.

The term foreign person means:

(a) Any foreign national, foreign government, or foreign entity; or

(b) Any entity over which control is exercised or exercisable by a foreign national, foreign government, or foreign entity.

Example 1. Corporation A is organized under the laws of a foreign state and is only engaged in business outside the United States. All of its shares are held by Corporation X, which controls Corporation A. Corporation X is organized in the United States and is wholly owned and controlled by U.S. nationals. Assuming no other relevant facts, Corporation A, although organized and only operating outside the United States, is not a foreign person.

Example 2. Same facts as in the first sentence of Example 1. The government of the foreign state under whose laws Corporation A is organized exercises control over Corporation A through government interveners. Corporation A is a foreign person.

Example 3. Corporation A is organized in the United States, is engaged in interstate commerce in the United States, and is controlled by Corporation X. Corporation X is organized under the laws of a foreign state, its principal place of business is located outside the United States, and 50 percent of its shares are held by foreign nationals and 50 percent of its shares are held by U.S. nationals. Both Corporation A and Corporation X are foreign persons. Corporation A is also a U.S. business.

Example 4. Corporation A is organized under the laws of a foreign state and is owned and controlled by a foreign national. A branch of Corporation A engages in interstate commerce in the United States. Corporation A (including its branch) is a foreign person. The branch is also a U.S. business.

Example 5. Corporation A is a corporation organized under the laws of a foreign state and its principal place of business is located outside the United States. Forty-five percent of the voting interest in Corporation A is owned in equal shares by numerous unrelated foreign investors, none of whom has control. The foreign investors have no formal or informal arrangement to act in concert with regard to Corporation A with any other holder of voting interest in Corporation A. Corporation A demonstrates that the remainder of the voting interest in Corporation A is held by U.S. nationals. Assuming no other relevant facts, Corporation A is not a foreign person.

Example 6. Same facts as Example 5, except that one of the foreign investors controls Corporation A. Assuming no other relevant facts, Corporation A is not a foreign entity pursuant to §800.212(b), but it is a foreign person because it is controlled by a foreign person.

§ 800.217 Hold.

The terms hold(s) and holding mean legal or beneficial ownership, whether direct or indirect, whether through fiduciaries, agents, or other means.
§ 800.218 Lead agency.

The term lead agency means an agency designated by the Chairperson of the Committee to have primary responsibility, on behalf of the Committee, for the specific activity for which the Chairperson designates it as a lead agency, including all or a portion of a review, an investigation, or the negotiation or monitoring of a mitigation agreement or condition.

§ 800.219 Parent.

(a) The term parent means a person who or which directly or indirectly:

(1) Holds or will hold at least 50 percent of the outstanding voting interest in an entity; or

(2) Holds or will hold the right to at least 50 percent of the profits of an entity, or has or will have the right in the event of the dissolution to at least 50 percent of the assets of that entity.

(b) Any entity that meets the conditions of paragraphs (a)(1) or (2) of this section with respect to another entity (i.e., the intermediate parent) is also a parent of any other entity of which the intermediate parent is a parent.

Example 1. Corporation P holds 50 percent of the voting interest in Corporations R and S. Corporation R holds 40 percent of the voting interest in Corporation X; Corporation S holds 50 percent of the voting interest in Corporation Y, which in turn holds 50 percent of the voting interest in Corporation Z. Corporation P is a parent of Corporations R, S, Y, and Z, but not of Corporation X. Corporation S is a parent of Corporations Y and Z, and Corporation Y is a parent of Corporation Z.

Example 2. Corporation A holds warrants which when exercised will entitle it to vote 50 percent of the outstanding shares of Corporation B. Corporation A is a parent of Corporation B.

§ 800.220 Party or parties to a transaction.

The terms party to a transaction and parties to a transaction mean:

(a) In the case of an acquisition of an ownership interest in an entity, the person acquiring the ownership interest, and the person from which such ownership interest is acquired, without regard to any person providing brokerage or underwriting services for the transaction;

(b) In the case of a merger, the surviving entity, and the entity or entities that are merged into that entity as a result of the transaction;

(c) In the case of a consolidation, the entities being consolidated, and the new consolidated entity;

(d) In the case of a proxy solicitation, the person soliciting proxies, and the person who issued the voting interest;

(e) In the case of the acquisition or conversion of convertible voting instruments, the issuer and the person holding the convertible voting instruments; and

(f) In the case of any other type of transaction, any person who is in a role comparable to that of a person described in paragraphs (a) through (e) of this section.

§ 800.221 Person.

The term person means any individual or entity.

§ 800.222 Section 721.


§ 800.223 Solely for the purpose of passive investment.

Ownership interests are held or acquired solely for the purpose of passive investment if the person holding or acquiring such interests does not plan or intend to exercise control, does not possess or develop any purpose other than passive investment, and does not take any action inconsistent with holding or acquiring such interests solely for the purpose of passive investment. (See §800.302(b).)

Example. Corporation A, a foreign person, acquires a voting interest in Corporation B, a U.S. business. In addition to the voting interest, Corporation A negotiates the right to appoint a member of Corporation B’s Board of Directors. The acquisition by Corporation A of a voting interest in Corporation B is not solely for the purpose of passive investment.

§ 800.224 Transaction.

The term transaction means a proposed or completed merger, acquisition, or takeover. It includes:

(a) The acquisition of an ownership interest in an entity.
§ 800.225 United States.

The term United States or U.S. means the United States of America, the States of the United States, the District of Columbia, and any commonwealth, territory, dependency, or possession of the United States, or any subdivision of the foregoing, and includes the Outer Continental Shelf, as defined in 43 U.S.C. 1331(a). For purposes of these regulations and their examples, an entity organized under the laws of the United States of America, one of the States, the District of Columbia, or a commonwealth, territory, dependency, or possession of the United States is an entity organized “in the United States.”

§ 800.226 U.S. business.

The term U.S. business means any entity, irrespective of the nationality of the persons that control it, engaged in interstate commerce in the United States, but only to the extent of its activities in interstate commerce.

Example 1. Corporation A is organized under the laws of a foreign state and is wholly owned and controlled by a foreign national. It engages in interstate commerce in the United States through a branch or subsidiary. Its branch or subsidiary is a U.S. business. Corporation A and its branch or subsidiary is each also a foreign person should any of them engage in a transaction involving a U.S. business.

Example 2. Same facts as in the first sentence of Example 1. Corporation A, however, does not have a branch office, subsidiary, or fixed place of business in the United States. It exports and licenses technology to an unrelated company in the United States. Assuming no other relevant facts, Corporation A is not a U.S. business.

Example 3. Corporation A, a company organized under the laws of a foreign state, is wholly owned and controlled by Corporation X. Corporation X is organized in the United States and is wholly owned and controlled by U.S. nationals. Corporation A does not have a branch office, subsidiary, or fixed place of business in the United States. It exports goods to Corporation X and to unrelated companies in the United States. Assuming no other relevant facts, Corporation A is not a U.S. business.

§ 800.227 U.S. national.

The term U.S. national means a citizen of the United States or an individual who, although not a citizen of the United States, owes permanent allegiance to the United States.

§ 800.228 Voting interest.

The term voting interest means any interest in an entity that entitles the owner or holder of that interest to vote for the election of directors of the entity (or, with respect to unincorporated entities, individuals exercising similar functions) or to vote on other matters affecting the entity.

Subpart C—Coverage

§ 800.301 Transactions that are covered transactions.

Transactions that are covered transactions include, without limitation:

(a) A transaction which, irrespective of the actual arrangements for control provided for in the terms of the transaction, results or could result in control of a U.S. business by a foreign person.
Example 1. Corporation A, a foreign person, proposes to purchase all of the shares of Corporation X, which is a U.S. business. As the sole owner, Corporation A will have the right to elect directors and appoint other primary officers of Corporation X, and those directors will have the right to make decisions about the closing and relocation of particular production facilities and the termination of significant contracts. The directors also will have the right to propose to Corporation A, the sole shareholder, the dissolution of Corporation X and the sale of its principal assets. The proposed transaction is a covered transaction.

Example 2. Same facts as in Example 1, except that Corporation A plans to retain the existing directors of Corporation X, all of whom are U.S. nationals. Although Corporation A may choose not to exercise its power to elect new directors for Corporation X, Corporation A nevertheless will have that exercisable power. The proposed transaction is a covered transaction.

Example 3. Corporation A, a foreign person, proposes to purchase 50 percent of the shares in Corporation X, a U.S. business, from Corporation B, also a U.S. business. Corporation B would retain the other 50 percent of the shares in Corporation X, and Corporation A and Corporation B would contractually agree that Corporation A would not exercise its voting and other rights for ten years. The proposed transaction is a covered transaction.

(b) A transaction in which a foreign person conveys its control of a U.S. business to another foreign person.

Example. Corporation X is a U.S. business, but is wholly owned and controlled by Corporation Y, a foreign person. Corporation Z, also a foreign person, but not related to Corporation Y, seeks to acquire Corporation X from Corporation Y. The proposed transaction is a covered transaction because it could result in control of Corporation X, a U.S. business, by another foreign person, Corporation Z.

(c) A transaction that results or could result in control by a foreign person of any part of an entity or of assets, if such part of an entity or assets constitutes a U.S. business. (See § 800.302(c).)

Example 1. Corporation X, a foreign person, has a branch office located in the United States. Corporation A, a foreign person, proposes to buy that branch office. The proposed transaction is a covered transaction.

Example 2. Corporation A, a foreign person, buys a branch office located entirely outside the United States of Corporation Y, which is incorporated in the United States. Assuming no other relevant facts, the branch office of Corporation Y is not a U.S. business, and the transaction is not a covered transaction.

Example 3. Corporation A, a foreign person, makes a start-up, or “greenfield,” investment in the United States. That investment involves such activities as separately arranging for the financing of and the construction of a plant to make a new product, buying supplies and inputs, hiring personnel, and purchasing the necessary technology. The investment may involve the acquisition of shares in a newly incorporated subsidiary. Assuming no other relevant facts, Corporation A will not have acquired a U.S. business, and its greenfield investment is not a covered transaction.

Example 4. Corporation A, a foreign person, purchases substantially all of the assets of Corporation B. Corporation B, which is incorporated in the United States, was in the business of producing industrial equipment, but stopped producing and selling such equipment one week before Corporation A purchased substantially all of its assets. At the time of the transaction, Corporation B continued to have employees on its payroll, maintained know-how in producing the industrial equipment it previously produced, and maintained relationships with its prior customers, all of which were transferred to Corporation A. The acquisition of substantially all of the assets of Corporation B by Corporation A is a covered transaction.

Example 5. Corporation A, a foreign person, owns businesses both outside the United States and in the United States. Corporation B, a foreign person, acquires Corporation A. The acquisition of Corporation A by Corporation B is a covered transaction with respect to Corporation A’s businesses in the United States.

Example 6. Corporation X, a foreign person, seeks to acquire from Corporation A, a U.S. business, an empty warehouse facility located in the United States. The acquisition would be limited to the physical facility, and would not include customer lists, intangible property, or other proprietary information, or other intangible assets or the transfer of personnel. Assuming no other relevant facts, the facility is not an entity and therefore not a U.S. business, and the proposed acquisition of the facility is not a covered transaction.

Example 7. Same facts as Example 6, except that, in addition to the proposed acquisition of Corporation A’s warehouse facility, Corporation X would acquire the personnel, customer list, equipment, and inventory management software used to operate the facility. Under these facts, Corporation X is acquiring a U.S. business, and the proposed acquisition is a covered transaction.

(d) A joint venture in which the parties enter into a contractual or other
similar arrangement, including an agreement on the establishment of a new entity, but only if one or more of the parties contributes a U.S. business and a foreign person could control that U.S. business by means of the joint venture.

Example 1. Corporation A, a foreign person, and Corporation X, a U.S. business, form a separate corporation, JV Corporation, to which Corporation A contributes only cash and Corporation X contributes a U.S. business. Each owns 50 percent of the shares of JV Corporation and, under the Articles of Incorporation of JV Corporation, both Corporation A and Corporation X have veto power over all of the matters affecting JV Corporation. Therefore, Corporation A and Corporation X contribute a U.S. business or of assets, if such part of an entity or assets do not constitute a U.S. business. (See § 800.301(c).)

Example 2. Corporation A, a foreign person, and Corporation X, a U.S. business, form a separate corporation, JV Corporation, to which Corporation A contributes funding and managerial and technical personnel, while Corporation X contributes certain land and equipment that do not in this example constitute a U.S. business. Corporations A and B each have a 50 percent interest in the joint venture. Assuming no other relevant facts, the formation of JV Corporation is not a covered transaction.

Example 3. Corporation A, a foreign person, and Corporation X, a U.S. business, form a separate corporation, JV Corporation, to which Corporation A contributes certain land and equipment that do not in this example constitute a U.S. business. Corporations A and B each have a 50 percent interest in the joint venture. Assuming no other relevant facts, the formation of JV Corporation is not a covered transaction.

Example 4. Same facts as Example 2, except Corporation A, a foreign person, acquires seven percent of the voting securities of Corporation X, which is a U.S. business. Assuming no other relevant facts, the acquisition of the securities is not a covered transaction.

Example 5. Same facts as Example 2, except Corporation A, a foreign person, acquires nine percent of the voting shares of Corporation X, a U.S. business. Corporation A also negotiates contractual rights that give it the power to control important matters of Corporation X. The acquisition by Corporation A of the voting shares of Corporation X is not solely for the purpose of passive investment and is a covered transaction.

Example 6. Same facts as Example 2, except Corporation A, a foreign person, acquires five percent of the voting shares in Corporation B, a U.S. business. In addition to the securities, Corporation A obtains the right to appoint one out of eleven seats on Corporation B’s Board of Directors. The acquisition by Corporation A of Corporation B’s securities is not solely for the purpose of passive investment. Whether the transaction is a covered transaction would depend on whether Corporation A obtains control of Corporation B as a result of the transaction.

Example 7. Same facts as Example 2, except Corporation A, a foreign person, acquires one percent of the voting shares of Corporation B, a U.S. business. Corporation A also negotiates contractual rights that give it the power to control important matters of Corporation X. The acquisition by Corporation A of the voting shares of Corporation B is not solely for the purpose of passive investment and is a covered transaction.

Example 8. Same facts as Example 2, except Corporation A, a foreign person, acquires one percent of the voting shares of Corporation B, a U.S. business. Corporation A also negotiates contractual rights that give it the power to control important matters of Corporation X. The acquisition by Corporation A of the voting shares of Corporation B is not solely for the purpose of passive investment and is a covered transaction.
§ 800.303 Lending transactions.

(a) The extension of a loan or a similar financing arrangement by a foreign person to a U.S. business, regardless of whether accompanied by the creation in the foreign person of a secured interest in securities or other assets of the U.S. business, shall not, by itself, constitute a covered transaction.

(1) The Committee will accept no notice concerning a loan or a similar financing arrangement that does not, by itself, constitute a covered transaction.

(2) The Committee will accept no notice concerning a loan or a similar financing arrangement pursuant to paragraph (a)(1) of this section, and a party to the transaction is a foreign person that makes loans in the ordinary course of business, the Committee will take into account whether the foreign person has made any arrangements to transfer management decisions and day-to-day control over the U.S. business to U.S. nationals for purposes of determining whether such loan or financing arrangement constitutes a covered transaction.

(b) Notwithstanding paragraph (a) of this section, a loan or a similar financing arrangement through which a foreign person acquires an interest in profits of a U.S. business, the right to appoint members of the board of directors of the U.S. business, or other comparable financial or governance rights characteristic of an equity investment but not of a typical loan may constitute a covered transaction.

(c) An acquisition of voting interest or assets of a U.S. business by a foreign person upon default or other condition involving a loan or a similar financing arrangement does not constitute a covered transaction, provided that the loan was made by a syndicate of banks in a loan participation where the foreign lender (or lenders) in the syndicate:

(1) Needs the majority consent of the U.S. participants in the syndicate to take action, and cannot on its own initiate any action vis-a-vis the debtor; or

(2) Does not have a lead role in the syndicate, and is subject to a provision in the loan or financing documents limiting its ability to control the debtor or such that control for purposes of §800.204 could not be acquired.

Example 1. Corporation A, which is a U.S. business, borrows funds from Corporation B, a bank organized under the laws of a foreign state and controlled by foreign persons. As a condition of the loan, Corporation A agrees not to sell or pledge its principal assets to any person. Assuming no other relevant facts, this lending arrangement does not alone constitute a covered transaction.

Example 2. Same facts as in Example 1, except that Corporation A defaults on its loan from Corporation B and seeks bankruptcy protection. Corporation A has no funds with which to satisfy Corporation B’s claim, which is greater than the value of Corporation A’s principal assets. Corporation B’s secured claim constitutes the only secured claim against Corporation A’s principal assets, creating a high probability that Corporation B will receive title to Corporation A’s principal assets, which constitute a U.S. business. Assuming no other relevant facts, the Committee would accept a notice of the impending bankruptcy court adjudication transferring control of Corporation A’s principal assets to Corporation B, which would constitute a covered transaction.
Example 3. Corporation A, a foreign bank, makes a loan to Corporation B, a U.S. business. The loan documentation extends to Corporation A rights in Corporation B that are characteristic of an equity investment but not of a typical loan, including dominant minority representation on the board of directors of Corporation B and the right to be paid dividends by Corporation B. This loan is a covered transaction.

§ 800.304 Timing rule for convertible voting instruments.

(a) For purposes of determining whether to include the rights that a holder of convertible voting instruments will acquire upon conversion of those instruments in the Committee’s assessment of whether a notified transaction is a covered transaction, the Committee will consider factors that include:

(1) The imminence of conversion;
(2) Whether conversion depends on factors within the control of the acquiring party; and
(3) Whether the amount of voting interest and the rights that would be acquired upon conversion can be reasonably determined at the time of acquisition.

(b) When the Committee, applying paragraph (a) of this section, determines that the rights that the holder will acquire upon conversion will not be included in the Committee’s assessment of whether a notified transaction is a covered transaction, the Committee will disregard the convertible voting instruments for purposes of that transaction except to the extent that they convey immediate rights to the holder with respect to the governance of the entity that issued the instruments.

Example 1. Corporation A, a foreign person, notifies the Committee that it intends to buy common stock and debentures of Corporation X, a U.S. business. By their terms, the debentures are convertible into common stock only upon the occurrence of an event the timing of which is not in the control of Corporation A, and the number of common shares that would be acquired upon conversion cannot now be determined. Assuming no other relevant facts, the Committee will disregard the debentures in the course of its covered transaction analysis at the time that Corporation A acquires the debentures. In the event that it determines that the acquisition of the common stock is not a covered transaction, the Committee will so inform the parties. Once the conversion of the instruments becomes imminent, it may be appropriate for the Committee to consider the rights that would result from the conversion and whether the conversion is a covered transaction. The conversion of those debentures into common stock could be a covered transaction, depending on what percentage of Corporation X’s voting securities Corporation A would receive and what powers those securities would confer on Corporation A.

Example 2. Same facts as Example 1, except that the debentures at issue are convertible at the sole discretion of Corporation A after six months, and if converted, would represent a 50 percent interest in Corporation X. The Committee may consider the rights that would result from the conversion as part of its assessment.

Subpart D—Notice

§ 800.401 Procedures for notice.

(a) A party or parties to a proposed or completed transaction may file a voluntary notice of the transaction with the Committee. Voluntary notice to the Committee is filed by sending:

(1) One paper copy of the notice to the Staff Chairperson, Office of Investment Security, Department of the Treasury, 1500 Pennsylvania Avenue, NW., Washington, DC 20220, that includes, in English only, the information set out in § 800.402, including the certification required under paragraph (l) of that section; and

(2) One electronic copy of the same information required in paragraph (a)(1) of this section. See the Committee’s section of the Department of the Treasury Web site, at http://www.treas.gov/offices/international-affairs/cfius/ for electronic submission instructions.

(b) If the Committee determines that a transaction for which no voluntary notice has been filed under paragraph (a) of this section may be a covered transaction and may raise national security considerations, the Staff Chairperson, acting on the recommendation of the Committee, may request the parties to the transaction to provide to the Committee the information necessary to determine whether the transaction is a covered transaction, and if the Committee determines that the transaction is a covered transaction, to file a notice under paragraph (a) of such covered transaction.
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(c) Any member of the Committee, or his designee at or above the Under Secretary or equivalent level, may file an agency notice to the Committee through the Staff Chairperson regarding a transaction for which no voluntary notice has been filed under paragraph (a) of this section if that member has reason to believe that the transaction is a covered transaction and may raise national security considerations. Notices filed under this paragraph are deemed accepted upon their receipt by the Staff Chairperson. No agency notice under this paragraph shall be made with respect to a transaction more than three years after the date of the completion of the transaction, unless the Chairperson of the Committee, in consultation with other members of the Committee, files such an agency notice.

(d) No communications other than those described in paragraphs (a) and (c) of this section shall constitute the filing or submitting of a notice for purposes of section 721.

(e) Upon receipt of the certification required by § 800.402(l) and an electronic copy of a notice filed under paragraph (a) of this section, the Staff Chairperson shall promptly inspect such notice for completeness.

(f) Parties to a transaction are encouraged to consult with the Committee in advance of filing a notice and, in appropriate cases, to file with the Committee a draft notice or other appropriate documents to aid the Committee's understanding of the transaction and to provide an opportunity for the Committee to request additional information to be included in the notice. Any such pre-notice consultation should take place, or any draft notice should be provided, at least five business days before the filing of a voluntary notice. All information and documentary material made available to the Committee pursuant to this paragraph shall be considered to have been filed with the President or the President's designee for purposes of section 721(c) and § 800.702.

(g) Information and other documentary material provided by the parties to the Committee after the filing of a voluntary notice under § 800.401 shall be part of the notice, and shall be subject to the certification requirements of § 800.402(l).

§ 800.402 Contents of voluntary notice.

(a) If the parties to a transaction file a voluntary notice, they shall provide in detail the information set out in this section, which must be accurate and complete with respect to all parties and to the transaction. (See also paragraph (l) of this section and § 800.701(d) regarding certification requirements.)

(b) In the case of a hostile takeover, if fewer than all the parties to a transaction file a voluntary notice, each notifying party shall provide the information set out in this section with respect to itself and, to the extent known or reasonably available to it, with respect to each non-notifying party.

(c) A voluntary notice filed pursuant to § 800.401(a) shall describe or provide, as applicable:

(i) The transaction in question, including:

(A) A summary setting forth the essentials of the transaction, including a statement of the purpose of the transaction, and its scope, both within and outside of the United States;

(B) The nature of the transaction, for example, whether the acquisition is by merger, consolidation, the purchase of voting interest, or otherwise;

(ii) The name, United States address (if any), Web site address (if any), nationality (for individuals) or place of incorporation or other legal organization (for entities), and address of the principal place of business of each foreign person that is a party to the transaction;

(iv) The name, address, website address (if any), principal place of business, and place of incorporation or other legal organization of the U.S. business that is the subject of the transaction;

(v) The name, address, and nationality (for individuals) or place of incorporation or other legal organization (for entities) of:

(A) The immediate parent, the ultimate parent, and each intermediate parent, if any, of the foreign person that is a party to the transaction;
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(B) Where the ultimate parent is a private company, the ultimate owner(s) of such parent; and

(C) Where the ultimate parent is a public company, any shareholder with an interest of greater than five percent in such parent;

(vi) The name, address, website address (if any), and nationality (for individuals) or place of incorporation or other legal organization (for entities) of the person that will ultimately control the U.S. business being acquired;

(vii) The expected date for completion of the transaction, or the date it was completed;

(viii) A good faith approximation of the net value of the interest acquired in the U.S. business in U.S. dollars, as of the date of the notice; and

(ix) The name of any and all financial institutions involved in the transaction, including as advisors, underwriters, or a source of financing for the transaction;

(2) With respect to a transaction structured as an acquisition of assets of a U.S. business, a detailed description of the assets of the U.S. business being acquired, including the approximate value of those assets in U.S. dollars;

(3) With respect to the U.S. business that is the subject of the transaction and any entity of which that U.S. business is a parent (unless that entity is excluded from the scope of the transaction):

(i) Their respective business activities, as, for example, set forth in annual reports, and the product or service categories of each, including an estimate of U.S. market share for such product or service categories and the methodology used to determine market share, and a list of direct competitors for those primary product or service categories;

(ii) The street address (and mailing address, if different) within the United States and website address (if any) of each facility that is manufacturing classified or unclassified products or producing services described in paragraph (c)(3)(v) of this section, their respective Commercial and Government Entity Code (CAGE Code) assigned by the Department of Defense, their Dun and Bradstreet identification (DUNS) number, and their North American Industry Classification System (NAICS) Code, if any;

(iii) Each contract (identified by agency and number) that is currently in effect or was in effect within the past five years with any agency of the United States Government involving any information, technology, or data that is classified under Executive Order 12958, as amended, its estimated final completion date, and the name, office, and telephone number of the contracting official;

(iv) Any other contract (identified by agency and number) that is currently in effect or was in effect within the past three years with any United States Government agency or component with national defense, homeland security, or other national security responsibilities, including law enforcement responsibility as it relates to defense, homeland security, or national security, its estimated final completion date, and the name, office, and telephone number of the contracting official;

(v) Any products or services (including research and development):

(A) That it supplies, directly or indirectly, to any agency of the United States Government, including as a prime contractor or first tier subcontractor, a supplier to any such prime contractor or subcontractor, or, if known by the parties filing the notice, a subcontractor at any tier; and

(B) If known by the parties filing the notice, for which it is a single qualified source (i.e., other acceptable suppliers are readily available to be so qualified) or a sole source (i.e., no other supplier has needed technology, equipment, and manufacturing process capabilities) for any such agencies and whether there are other suppliers in the market that are available to be so qualified;

(vi) Any products or services (including research and development) that:

(A) It supplies to third parties and it knows are rebranded by the purchaser or incorporated into the products of another entity, and the names or brands under which such rebranded products or services are sold; and
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(B) In the case of services, it provides on behalf of, or under the name of, another entity, and the name of any such entities;

(vii) For the prior three years—

(A) The number of priority rated contracts or orders under the Defense Priorities and Allocations System (DPAS) regulations (15 CFR part 700) that the U.S. business that is the subject of the transaction has received and the level of priority of such contracts or orders (“DX” or “DO”); and

(B) The number of such priority rated contracts or orders that the U.S. business has placed with other entities and the level of priority of such contracts or orders, and the acquiring party’s plan to ensure that any new entity formed at the completion of the notified transaction (or the U.S. business, if no new entity is formed) complies with the DPAS regulations; and

(viii) A description and copy of the cyber security plan, if any, that will be used to protect against cyber attacks on the operation, design, and development of the U.S. business’s services, networks, systems, data storage, and facilities;

(4) Whether the U.S. business that is being acquired produces or trades in:

(i) Items that are subject to the EAR and, if so, a description (which may group similar items into general product categories) of the items and a list of the relevant commodity classifications set forth on the CCL (i.e., Export Control Classification Numbers (ECCNs) or EAR99 designation);

(ii) Defense articles and defense services, and related technical data covered by the USML in the ITAR, and, if so, the category of the USML; articles and services for which commodity jurisdiction requests (22 CFR 120.4) are pending; and articles and services (including those under development) that may be designated or determined in the future to be defense articles or defense services pursuant to 22 CFR 120.3;

(iii) Products and technology that are subject to export authorization administered by the Department of Energy (10 CFR part 810), or export licensing requirements administered by the Nuclear Regulatory Commission (10 CFR part 110); or

(iv) Select Agents and Toxins (7 CFR part 331, 9 CFR part 121, and 42 CFR part 73);

(5) Whether the U.S. business that is the subject of the transaction:

(i) Possesses any licenses, permits, or other authorizations other than those under the regulatory authorities listed in paragraph (c)(4) of this section that have been granted by an agency of the United States Government (if applicable, identification of the relevant licenses shall be provided); or

(ii) Has technology that has military applications (if so, an identification of such technology and a description of such military applications shall be included); and

(6) With respect to the foreign person engaged in the transaction and its parents:

(i) The business or businesses of the foreign person and its ultimate parent, as such businesses are described, for example, in annual reports, and the CAGE codes, NAICS codes, and DUNS numbers, if any, for such businesses;

(ii) The plans of the foreign person for the U.S. business with respect to:

(A) Reducing, eliminating, or selling research and development facilities;

(B) Changing product quality;

(C) Shutting down or moving outside of the United States facilities that are within the United States;

(D) Consolidating or selling product lines or technology;

(E) Modifying or terminating contracts referred to in paragraphs (c)(3)(i) and (iv) of this section; or

(F) Eliminating domestic supply by selling products solely to non-domestic markets;

(iii) Whether the foreign person is controlled by or acting on behalf of a foreign government, including as an agent or representative, or in some similar capacity, and if so, the identity of the foreign government;

(iv) Whether a foreign government or a person controlled by or acting on behalf of a foreign government:

(A) Has or controls ownership interests, including convertible voting instruments, of the acquiring foreign person or any parent of the acquiring foreign person, and if so, the nature and amount of any such instruments, and
with regard to convertible voting instruments, the terms and timing of their conversion;

(B) Has the right or power to appoint any of the principal officers or the members of the board of directors of the foreign person that is a party to the transaction or any parent of that foreign person;

(C) Holds any contingent interest (for example, such as might arise from a lending transaction) in the foreign acquiring party and, if so, the rights that are covered by this contingent interest, and the manner in which they would be enforced; or

(D) Has any other affirmative or negative rights or powers that could be relevant to the Committee’s determination of whether the notified transaction is a foreign government-controlled transaction, and if there are any such rights or powers, their source (for example, a “golden share,” shareholders agreement, contract, statute, or regulation) and the mechanics of their operation;

(v) Any formal or informal arrangements among foreign persons that hold an ownership interest in the foreign person that is a party to the transaction or between such foreign person and other foreign persons to act in concert on particular matters affecting the U.S. business that is the subject of the transaction, and provide a copy of any documents that establish those rights or describe those arrangements;

(vi) For each member of the board of directors or similar body (including external directors) and officers (including president, senior vice president, executive vice president, and other persons who perform duties normally associated with such titles) of the acquiring foreign person engaged in the transaction and in the foreign person’s ultimate parent, the following information:

(A) A curriculum vitae or similar professional synopsis, provided as part of the main notice, and

(B) The following “personal identifier information,” which, for privacy reasons, and to ensure limited distribution, shall be set forth in a separate document, not in the main notice:

(1) Full name (last, first, middle name);

(2) All other names and aliases used;

(3) Business address;

(4) Country and city of residence;

(5) Date of birth;

(6) Place of birth;

(7) U.S. Social Security number (where applicable);

(8) National identity number, including nationality, date and place of issuance, and expiration date (where applicable);

(9) U.S. or foreign passport number (if more than one, all must be fully disclosed), nationality, date and place of issuance, and expiration date and, if a U.S. visa holder, the visa type and number, date and place of issuance, and expiration date; and

(10) Dates and nature of foreign government and foreign military service (where applicable), other than military service at a rank below the top two non-commissioned ranks of the relevant foreign country; and

(vii) The following “business identifier information” for the immediate, intermediate, and ultimate parents of the foreign person engaged in the transaction, including their main offices and branches:

(A) Business name, including all names under which the business is known to be or has been doing business;

(B) Business address;

(C) Business phone number, fax number, and e-mail address; and

(D) Employer identification number or other domestic tax or corporate identification number.

(d) The voluntary notice shall list any filings with, or reports to, agencies of the United States Government that have been or will be made with respect to the transaction prior to its closing, indicating the agencies concerned, the nature of the filing or report, the date on which it was filed or the estimated date by which it will be filed, and a relevant contact point and/or telephone number within the agency, if known.

Example. Corporation A, a foreign person, intends to acquire Corporation X, which is
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wholly owned and controlled by a U.S. national and which has a Facility Security Clearance under the Department of Defense Industrial Security Program. See Department of Defense, "Industrial Security Regulation," DOD 5220.22-R, and "Industrial Security Manual for Safeguarding Classified Information," DOD 5220.22-M. Corporation X accordingly files a revised Form DD SF–328, and enters into discussions with the Defense Security Service about effectively insulating its facilities from the foreign person. Corporation X may also have made filings with the Securities and Exchange Commission, the Department of Commerce, the Department of State, or other federal departments and agencies. Paragraph (d) of this section requires that certain specific information about these filings be reported to the Committee in a voluntary notice.

(e) In the case of the establishment of a joint venture in which one or more of the parties is contributing a U.S. business, information for the voluntary notice shall be prepared on the assumption that the foreign person that is party to the joint venture has made an acquisition of the existing U.S. business that the other party to the joint venture is contributing or transferring to the joint venture. The voluntary notice shall describe the name and address of the joint venture and the entities that established, or are establishing, the joint venture.

(f) In the case of the acquisition of some but not all of the assets of an entity, § 800.402(c) requires submission of the specified information only with respect to the assets of the entity that have been or are proposed to be acquired.

(g) Persons filing a voluntary notice shall, with respect to the foreign person that is a party to the transaction, its immediate parent, the U.S. business that is the subject of the transaction, and each entity of which the foreign person is a parent, append to the voluntary notice the most recent annual report of each such entity, in English. Separate reports are not required for any entity whose financial results are included within the consolidated financial results stated in the annual report of any parent of any such entity, unless the transaction involves the acquisition of a U.S. business whose parent is not being acquired, in which case the notice shall include the most recent audited financial statement of the U.S. business that is the subject of the transaction. If a U.S. business does not prepare an annual report and its financial results are not included within the consolidated financial results stated in the annual report of a parent, the filing shall include, if available, the entity's most recent audited financial statement (or, if an audited financial statement is not available, the unaudited financial statement).

(h) Persons filing a voluntary notice shall, during the time that the matter is pending before the Committee or the President, promptly advise the Staff Chairperson of any material changes in plans, facts and circumstances addressed in the notice, and information provided or required to be provided to the Committee under § 800.402, and shall file amendments to the notice to reflect such material changes. Such amendments shall become part of the notice filed by such persons under § 800.401, and the certification required under § 800.402(l) shall apply to such amendments. (See also § 800.701(d).)

(i) Persons filing a voluntary notice shall include a copy of the most recent asset or stock purchase agreement or other document establishing the agreed terms of the transaction.

(j) Persons filing a voluntary notice shall include:

1. An organizational chart illustrating all of the entities or individuals above the foreign person that is a party to the transaction up to the person or persons having ultimate control of that person, including the percentage of shares held by each; and
2. The opinion of the person regarding whether:

   (i) It is a foreign person;
   (ii) It is controlled by a foreign government; and
   (iii) The transaction has resulted or could result in control of a U.S. business by a foreign person, and the reasons for its view, focusing in particular on any powers (for example, by virtue of a shareholders agreement, contract, statute, or regulation) that the foreign person will have with regard to the U.S. business, and how those powers can or will be exercised.

(k) Persons filing a voluntary notice shall include information as to whether:
(1) Any party to the transaction is, or has been, a party to a mitigation agreement entered into or condition imposed under section 721, and if so, shall specify the date and purpose of such agreement or condition and the United States Government signatories; and

(2) Any party to the transaction has been a party to a transaction previously notified to the Committee.


(m) Persons filing a voluntary notice shall include with the notice a list identifying each document provided as part of the notice, including all documents provided as attachments or exhibits to the narrative response.

§ 800.403 Deferral, rejection, or disposition of certain voluntary notices.

(a) The Committee, acting through the Staff Chairperson, may:

(1) Reject any voluntary notice that does not comply with § 800.402 and so inform the parties promptly in writing;

(2) Reject any voluntary notice at any time, and so inform the parties promptly in writing, if, after the notice has been submitted and before action by the Committee or the President has been concluded:

(i) There is a material change in the transaction as to which notification has been made; or

(ii) Information comes to light that contradicts material information provided in the notice by the parties;

(3) Reject any voluntary notice at any time after the notice has been accepted, and so inform the parties promptly in writing, if the party or parties that have submitted the voluntary notice do not provide follow-up information requested by the Staff Chairperson within three business days of the request, or within a longer time frame if the parties so request in writing and the Staff Chairperson grants that request in writing; or

(4) Reject any voluntary notice before the conclusion of a review or investigation, and so inform the parties promptly in writing, if one of the parties submitting the voluntary notice has not submitted the final certification required by § 800.701(d).

(b) Notwithstanding the authority of the Staff Chairperson under paragraph (a) of this section to reject an incomplete notice, the Staff Chairperson may defer acceptance of the notice, and the beginning of the thirty-day review period, to obtain any information required under this section that has not been submitted by the notifying party or parties or other parties to the transaction. Where necessary to obtain such information, the Staff Chairperson may inform any non-notifying party or parties that notice has been filed with respect to a proposed transaction involving the party, and request that certain information required under this section, as specified by the Staff Chairperson, be provided to the Committee within seven days after receipt of the Staff Chairperson's request.

(c) The Staff Chairperson shall notify the parties when the Committee has found that the transaction that is the subject of a voluntary notice is not a covered transaction.

Example 1. The Staff Chairperson receives a joint notice from Corporation A, a foreign person, and Corporation X, a company that is owned and controlled by U.S. nationals, with respect to Corporation A's intent to purchase all of the shares of Corporation X. The joint notice does not contain any information described under § 800.402(c)(3)(iii) and (iv) concerning classified materials and products or services supplied to the U.S. military services. The Staff Chairperson may reject the notice or defer the start of the thirty-day review period until the parties have supplied the omitted information.

Example 2. Same facts as in the first sentence of Example 1, except that the joint notice indicates that Corporation A does not intend to purchase Corporation X's Division Y, which is engaged in classified work for a U.S. Government agency. Corporations A and X notify the Committee on the 25th day of the 30-day notice period that Division Y will also be acquired by Corporation A. This fact constitutes a material change with respect to the transaction as originally notified, and the Staff Chairperson may reject the notice.
Example 3. The Staff Chairperson receives a joint notice by Corporation A, a foreign person, and Corporation X, a U.S. business, indicating that Corporation A intends to purchase five percent of the voting securities of Corporation X. Under the particular facts and circumstances presented, the Committee concludes that Corporation A’s purchase of this interest in Corporation X could not result in foreign control of Corporation X. The Staff Chairperson shall advise the parties in writing that the transaction as presented is not subject to section 721.

Example 4. The Staff Chairperson receives a voluntary notice involving the acquisition by Company A, a foreign person, of the entire interest in Company X, a U.S. business. The notice mentions the involvement of a second foreign person in the transaction, Company B, but states that Company B is merely a passive investor in the transaction. During the course of the review, the parties provide information that clarifies that Company B has the right to appoint two members of Company X’s board of directors. This information contradicts the material assertion in the notice that Company B is a passive investor. The Committee may reject this notice without concluding review under section 721.

Subpart E—Committee Procedures: Review and Investigation

§ 800.501 General.

(a) The Committee’s review or investigation (if necessary) shall examine, as appropriate, whether:

(1) The transaction is by or with any foreign person and could result in foreign control of a U.S. business;

(2) There is credible evidence to support a belief that any foreign person exercising control of that U.S. business might take action that threatens to impair the national security of the United States; and

(3) Provisions of law, other than section 721 and the International Emergency Economic Powers Act, provide adequate and appropriate authority to protect the national security of the United States.

(b) During the thirty-day review period or during an investigation, the Staff Chairperson may invite the parties to a notified transaction to attend a meeting with the Committee staff to discuss and clarify issues pertaining to the transaction. During an investigation, a party to the transaction under investigation may request a meeting with the Committee staff; such a request ordinarily will be granted.

(c) The Staff Chairperson shall be the point of contact for receiving material filed with the Committee, including notices.

(d) Where more than one lead agency is designated, communications on material matters between a party to the transaction and a lead agency shall include all lead agencies designated with regard to those matters.

§ 800.502 Beginning of thirty-day review period.

(a) The Staff Chairperson of the Committee shall accept a voluntary notice the next business day after the Staff Chairperson has:

(1) Determined that the notice complies with §800.402; and

(2) Disseminated the notice to all members of the Committee.

(b) A thirty-day period for review of a transaction shall commence on the date on which the voluntary notice has been accepted, agency notice has been received by the Staff Chairperson of the Committee, or the Chairperson of the Committee has requested a review pursuant to §800.401(b). Such review shall end no later than the thirtieth day after it has commenced, or if the thirtieth day is not a business day, no later than the next business day after the thirtieth day.

(c) The Staff Chairperson shall promptly and in writing advise all parties to a transaction that have filed a voluntary notice of:

(1) The acceptance of the notice;

(2) The date on which the review begins; and

(3) The designation of any lead agency or agencies.

(d) Within two business days after receipt of an agency notice by the Staff Chairperson, the Staff Chairperson shall send written advice of such notice to the parties to a covered transaction. Such written advice shall identify the date on which the review began.

(e) The Staff Chairperson shall promptly circulate to all Committee members any draft pre-filing notice, any agency notice, any complete notice, and any subsequent information filed by the parties.
§ 800.503 Determination of whether to undertake an investigation.

(a) After a review of a notified transaction under § 800.502, the Committee shall undertake an investigation of any transaction that it has determined to be a covered transaction if:

1. A member of the Committee (other than a member designated as ex officio under section 721(k)) advises the Staff Chairperson that the member believes that the transaction threatens to impair the national security of the United States and that the threat has not been mitigated; or

2. The lead agency recommends, and the Committee concurs, that an investigation be undertaken.

(b) The Committee shall also undertake, after a review of a covered transaction under § 800.502, an investigation to determine the effects on national security of any covered transaction that:

1. Is a foreign government-controlled transaction; or

2. Would result in control by a foreign person of critical infrastructure of or within the United States, if the Committee determines that the transaction could impair the national security and such impairment has not been mitigated.

(c) The Committee shall undertake an investigation as described in paragraph (b) of this section unless the Chairperson of the Committee (or the Deputy Secretary of the Treasury) and the head of any lead agency (or his or her delegatee at the deputy level or equivalent) designated by the Chairperson determine on the basis of the review that the covered transaction will not impair the national security of the United States.

§ 800.504 Determination not to undertake an investigation.

If the Committee determines, during the review period described in § 800.502, not to undertake an investigation of a notified covered transaction, action under section 721 shall be concluded.

An official at the Department of the Treasury shall promptly send written advice to the parties to a covered transaction of a determination of the Committee not to undertake an investigation and to conclude action under section 721.

§ 800.505 Commencement of investigation.

(a) If it is determined that an investigation should be undertaken, such investigation shall commence no later than the end of the thirty-day review period described in § 800.502.

(b) An official of the Department of the Treasury shall promptly send written advice to the parties to a covered transaction of the commencement of an investigation.

§ 800.506 Completion or termination of investigation and report to the President.

(a) The Committee shall complete an investigation no later than the 45th day after the date the investigation commences, or, if the 45th day is not a business day, no later than the next business day after the 45th day.

(b) Upon completion or termination of any investigation, the Committee shall send a report to the President requesting the President’s decision if:

1. The Committee recommends that the President suspend or prohibit the transaction;

2. The members of the Committee (other than a member designated as ex officio under section 721(k)) are unable to reach a decision on whether to recommend that the President suspend or prohibit the transaction; or

3. The Committee requests that the President make a determination with regard to the transaction.

(c) In circumstances when the Committee sends a report to the President requesting the President’s decision with respect to a covered transaction, such report shall include information relevant to sections 721(d)(4)(A) and (B), and shall present the Committee’s recommendation. If the Committee is unable to reach a decision to present a single recommendation to the President, the Chairperson of the Committee shall submit a report of the Committee to the President setting forth the differing views and presenting the issues for decision.

(d) Upon completion or termination of an investigation, if the Committee determines to conclude all deliberative action under section 721 with regard to a notified covered transaction without
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§ 800.507 Withdrawal of notice.

(a) A party (or parties) to a transaction that has filed notice under § 800.401(a) may request in writing, at any time prior to conclusion of all action under section 721, that such notice be withdrawn. Such request shall be directed to the Staff Chairperson and shall state the reasons why the request is being made. Such requests will ordinarily be granted, unless otherwise determined by the Committee. An official of the Department of the Treasury will promptly advise the parties to the transaction in writing of the Committee’s decision.

(b) Any request to withdraw an agency notice by the agency that filed it shall be in writing and shall be effective only upon approval by the Committee. An official of the Department of the Treasury shall advise the parties to the transaction in writing of the Committee’s decision to approve the withdrawal request within two business days of the Committee’s decision.

(c) In any case where a request to withdraw a notice is granted under paragraph (a) of this section:

(1) The Staff Chairperson, in consultation with the Committee, shall establish, as appropriate:

(i) A process for tracking actions that may be taken by any party to the covered transaction before notice is resubmitted under § 800.401; and

(ii) Interim protections to address specific national security concerns with the transaction identified during the review or investigation of the transaction.

(2) The Staff Chairperson shall specify a time frame, as appropriate, for the parties to resubmit a notice and shall advise the parties of that time frame in writing.

(d) A notice of a transaction that is submitted pursuant to paragraph (c)(2) of this section shall be deemed a new notice for purposes of the regulations in this part, including § 800.601.

§ 800.508 Role of the Secretary of Labor.

In response to a request from the Chairperson of the Committee, the Secretary of Labor shall identify for the Committee any risk mitigation provisions proposed to or by the Committee that would violate U.S. employment laws or require a party to violate U.S. employment laws. The Secretary of Labor shall serve no policy role on the Committee.

§ 800.509 Materiality.

The Committee generally will not consider as material minor inaccuracies, omissions, or changes relating to financial or commercial factors not having a bearing on national security.

Subpart F—Finality of Action

§ 800.601 Finality of actions under section 721.

(a) All authority available to the President or the Committee under section 721(d), including divestment authority, shall remain available at the discretion of the President with respect to covered transactions proposed or pending on or after August 23, 1988. Such authority shall not be exercised if:

(1) The Committee, through its Staff Chairperson, has advised a party (or the parties) in writing that a particular transaction with respect to which voluntary notice has been filed is not a covered transaction;

(2) The parties to the transaction have been advised in writing pursuant to § 800.504 or § 800.506(d) that the Committee has concluded all action under section 721 with respect to the covered transaction; or

(3) The President has previously announced, pursuant to section 721(d), his decision not to exercise his authority under section 721 with respect to the covered transaction.

(b) Divestment or other relief under section 721 shall not be available with respect to transactions that were completed prior to August 23, 1988.
Subpart G—Provision and Handling of Information

§ 800.701 Obligation of parties to provide information.

(a) Parties to a transaction that is notified under subpart D shall provide information to the Staff Chairperson that will enable the Committee to conduct a full review and/or investigation of the proposed transaction, and shall promptly advise the Staff Chairperson of any material changes in plans or information pursuant to §800.402(h). If deemed necessary by the Committee, information may be obtained from parties to a transaction or other persons through subpoena or otherwise, pursuant to 50 U.S.C. App. 2155(a).

(b) Documentary materials or information required or requested to be filed with the Committee under this part shall be submitted in English. Supplementary materials, such as annual reports, written in a foreign language, shall be submitted in certified English translation.

(c) Any information filed with the Committee by a party to a covered transaction in connection with any action for which a report is required pursuant to section 721(l)(3)(B) with respect to the implementation of a mitigation agreement or condition described in section 721(l)(1)(A) shall be accompanied by a certification that complies with the requirements of section 721(n) and §800.202. A sample certification may be found at the Committee’s section of the Department of the Treasury Web site at http://www.treas.gov/offices/international-affairs/cfius/index.shtml.

(d) At the conclusion of a review or investigation, each party that has filed additional information subsequent to the original notice shall file a final certification. (See §800.202.) A sample certification may be found at the Committee’s section of the Department of the Treasury Web site at http://www.treas.gov/offices/international-affairs/cfius/index.shtml.

§ 800.702 Confidentiality.

(a) Any information or documentary material filed with the Committee pursuant to §800.401(f), shall be exempt from disclosure under 5 U.S.C. 552 and no such information or documentary material may be made public, except as may be relevant to any administrative or judicial action or proceeding. Nothing in this part shall be construed to prevent disclosure to either House of Congress or to any duly authorized committee or subcommittee of the Congress, in accordance with subsections (b)(3) and (g)(2)(A) of section 721.

(b) This section shall continue to apply with respect to information and documentary material filed with the Committee in any case where:

1. Action has concluded under section 721 concerning a notified transaction;
2. A request to withdraw notice is granted under §800.507, or where notice has been rejected under §800.403;
3. The Committee determines that a notified transaction is not a covered transaction; or
4. Such information or documentary material was filed pursuant to §800.401(f) and the parties do not subsequently file a notice pursuant to §800.401(a).

(c) Nothing in paragraph (a) of this section shall be interpreted to prohibit the public disclosure by a party of documentary material or information that it has filed with the Committee. Any such documentary material or information so disclosed may subsequently be reflected in the public statements of the Chairperson, who is authorized to communicate with the public and the Congress on behalf of the Committee, or of the Chairperson’s designee.

(d) The provisions of 50 U.S.C. App. 2155(d) relating to fines and imprisonment shall apply with respect to the disclosure of information or documentary material filed with the Committee under these regulations.

Subpart H—Penalties

§ 800.801 Penalties.

(a) Any person who, after the effective date, intentionally or through gross negligence, submits a material misstatement or omission in a notice or makes a false certification under §§800.402(1) or 800.701(c) may be liable to
the United States for a civil penalty not to exceed $250,000 per violation. The amount of the penalty assessed for a violation shall be based on the nature of the violation.

(b) Any person who, after the effective date, intentionally or through gross negligence, violates a material provision of a mitigation agreement entered into with, or a material condition imposed by, the United States under section 721(l) may be liable to the United States for a civil penalty not to exceed $250,000 per violation or the value of the transaction, whichever is greater. Any penalty assessed under this paragraph shall be based on the nature of the violation and shall be separate and apart from any damages sought pursuant to a mitigation agreement under section 721(l), or any action taken under section 721(b)(1)(D).

(c) A mitigation agreement entered into or amended under section 721(l) after the effective date may include a provision providing for liquidated or actual damages for breaches of the agreement by parties to the transaction. The Committee shall set the amount of any liquidated damages as a reasonable assessment of the harm to the national security that could result from a breach of the agreement. Any mitigation agreement containing a liquidated damages provision shall include a provision specifying that the Committee will consider the severity of the breach in deciding whether to seek a lesser amount than that stipulated in the contract.

(d) A determination to impose penalties under paragraph (a) or (b) of this section must be made by the named members of the Committee, except to the extent delegated by such official. Notice of the penalty, including a written explanation of the penalized conduct and the amount of the penalty, shall be sent to the penalized party by U.S. mail.

(e) Upon receiving notice of the imposition of a penalty under paragraph (a) or (b) of this section, the penalized party may, within 15 days of receipt of the notice of the penalty, submit a petition for reconsideration to the Staff Chairperson, including a defense, justification, or explanation for the penalized conduct. The Committee will review the petition and issue a final decision within 15 days of receipt of the petition.

(f) The penalties authorized in paragraphs (a) and (b) of this section may be recovered in a civil action brought by the United States in federal district court.

(g) The penalties available under this section are without prejudice to other penalties, civil or criminal, available under law.
CHAPTER IX—FEDERAL CLAIMS COLLECTION
STANDARDS (DEPARTMENT OF THE
TREASURY—DEPARTMENT OF JUSTICE)

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PART 900—SCOPE OF STANDARDS

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SOURCE: 65 FR 70395, Nov. 22, 2000, unless otherwise noted.

§ 900.1 Prescription of standards.
(a) The Secretary of the Treasury and the Attorney General of the United States are issuing the regulations in parts 900–904 of this chapter under the authority contained in 31 U.S.C. 3711(d)(2). The regulations in this chapter prescribe standards for Federal agency use in the administrative collection, offset, compromise, and the suspension or termination of collection activity for civil claims for money, funds, or property, as defined by 31 U.S.C. 3701(b), unless specific Federal agency statutes or regulations apply to such activities or, as provided for by Title 11 of the United States Code, when the claims involve bankruptcy. Federal agencies include agencies of the executive, legislative, and judicial branches of the Government, including Government corporations. The regulations in this chapter also prescribe standards for referring debts to the Department of Justice for litigation. Additional guidance is contained in the Office of Management and Budget’s Circular A–129 (Revised), “Policies for Federal Credit Programs and Non-Tax Receivables,” and other publications concerning debt collection and debt management. These publications are available from the Debt Management Services, Financial Management Service, Department of the Treasury, 401 14th Street SW., Room 151, Washington, DC 20227.

(b) Additional rules governing centralized administrative offset and the transfer of delinquent debt to the Department of the Treasury (Treasury) or Treasury-designated debt collection centers for collection (cross-servicing) under the Debt Collection Improvement Act of 1996, Public Law 104–134, 110 Stat. 1321, 1358 (April 26, 1996), are issued in separate regulations by Treasury. Rules governing the use of certain debt collection tools created under the Debt Collection Improvement Act of 1996, such as administrative wage garnishment, also are issued in separate regulations by Treasury. See generally 31 CFR part 285.

(c) Agencies are not limited to the remedies contained in parts 900–904 of this chapter and are encouraged to use all authorized remedies, including alternative dispute resolution and arbitration, to collect civil claims, to the extent that such remedies are not inconsistent with the Federal Claims Collection Act, as amended, Public Law 89–508, 80 Stat. 308 (July 19, 1966), the Debt Collection Act of 1982, Public Law 97–365, 96 Stat. 1749 (October 25, 1982), the Debt Collection Improvement Act of 1996, or other relevant statutes. The regulations in this chapter are not intended to impair agencies’ common law rights to collect debts.

(d) Standards and policies regarding the classification of debt for accounting purposes (for example, write off of uncollectible debt) are contained in the Office of Management and Budget’s Circular A–129 (Revised), “Policies for Federal Credit Programs and Non-Tax Receivables.”

§ 900.2 Definitions and construction.
(a) For the purposes of the standards in this chapter, the terms “claim” and “debt” are synonymous and interchangeable. They refer to an amount of money, funds, or property that has been determined by an agency official to be due the United States from any person, organization, or entity, except another Federal agency. For the purposes of administrative offset under 31 U.S.C. 3716, the terms “claim” and “debt” include an amount of money, funds, or property owed by a person to a State (including past-due support being enforced by a State), the District of Columbia, American Samoa, Guam, the United States Virgin Islands, the
§ 900.3 Antitrust, fraud, and tax and interagency claims excluded.

(a) The standards in parts 900–904 of this chapter relating to compromise, suspension, and termination of collection activity do not apply to any debt based in whole or in part on conduct in violation of the antitrust laws or to any debt involving fraud, the presentation of a false claim, or misrepresentation on the part of the debtor or any party having an interest in the claim. Only the Department of Justice has the authority to compromise, suspend, or terminate collection activity on such claims. The standards in parts 900–904 of this chapter relating to the administrative collection of claims apply, but only to the extent authorized by the Department of Justice in a particular case. Upon identification of a claim based in whole or in part on conduct in violation of the antitrust laws or any claim involving fraud, the presentation of a false claim, or misrepresentation on the part of the debtor or any party having an interest in the claim, agencies shall promptly refer the case to the Department of Justice for action. At its discretion, the Department of Justice may return the claim to the forwarding agency for further handling in accordance with the standards in parts 900–904 of this chapter.

(b) Parts 900–904 of this chapter do not apply to tax debts.

(c) Parts 900–904 of this chapter do not apply to claims between Federal agencies. Federal agencies should attempt to resolve interagency claims by negotiation in accordance with Executive Order 12146 (3 CFR, 1980 Comp., pp. 409–412).

§ 900.4 Compromise, waiver, or disposition under other statutes not precluded.

Nothing in parts 900–904 of this chapter precludes agency disposition of any claim under statutes and implementing regulations other than subchapter II of chapter 37 of Title 31 of the United States Code (Claims of the United States Government) and the standards in this chapter. See, e.g., the Federal Medical Care Recovery Act, Public Law 87–693, 76 Stat. 593 (September 25, 1962) (codified at 42 U.S.C. 2651 et seq.), and applicable regulations, 28 CFR part 43. In such cases, the laws and regulations that are specifically applicable to claims collection activities of a particular agency generally take precedence over parts 900–904 of this chapter.

§ 900.5 Form of payment.

Claims may be paid in the form of money or, when a contractual basis exists, the Government may demand the return of specific property or the performance of specific services.

§ 900.6 Subdivision of claims not authorized.

Debts may not be subdivided to avoid the monetary ceiling established by 31 U.S.C. 3711(a)(2). A debtor’s liability arising from a particular transaction or contract shall be considered a single debt in determining whether the debt is one of less than $100,000 (excluding interest, penalties, and administrative costs) or such higher amount as the Attorney General shall from time to time prescribe for purposes of compromise.
or suspension or termination of collection activity.

§ 900.7 Required administrative proceedings.

Agencies are not required to omit, foreclose, or duplicate administrative proceedings required by contract or other laws or regulations.

§ 900.8 No private rights created.

The standards in this chapter do not create any right or benefit, substantive or procedural, enforceable at law or in equity by a party against the United States, its agencies, its officers, or any other person, nor shall the failure of an agency to comply with any of the provisions of parts 900–904 of this chapter be available to any debtor as a defense.

PART 901—STANDARDS FOR THE ADMINISTRATIVE COLLECTION OF CLAIMS

Sec.
901.1 Aggressive agency collection activity.  
901.2 Demand for payment.  
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901.4 Reporting debts.  
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AUTHORITY: 31 U.S.C. 3701, 3711, 3716, 3717, 3718, and 3720B.

SOURCE: 65 FR 70396, Nov. 22, 2000, unless otherwise noted.

§ 901.1 Aggressive agency collection activity.

(a) Federal agencies shall aggressively collect all debts arising out of activities of, or referred or transferred for collection services to, that agency. Collection activities shall be undertaken promptly with follow-up action taken as necessary. Nothing contained in parts 900–904 of this chapter requires the Department of Justice, Treasury, or other Treasury-designated debt collection centers, to duplicate collection activities previously undertaken by other agencies or to perform collection activities that other agencies should have undertaken.

(b) Debts referred or transferred to Treasury, or Treasury-designated debt collection centers under the authority of 31 U.S.C. 3711(g), shall be serviced, collected, or compromised, or the collection action will be suspended or terminated, in accordance with the statutory requirements and authorities applicable to the collection of such debts.

(c) Agencies shall cooperate with one another in their debt collection activities.

(d) Agencies should consider referring debts that are less than 180 days delinquent to Treasury or to Treasury-designated “debt collection centers” to accomplish efficient, cost effective debt collection. Treasury is a debt collection center, is authorized to designate other Federal agencies as debt collection centers based on their performance in collecting delinquent debts, and may withdraw such designations. Referrals to debt collection centers shall be at the discretion of, and for a time period acceptable to, the Secretary. Referrals may be for servicing, collection, compromise, suspension, or termination of collection action.

(e) Agencies shall transfer to the Secretary any debt that has been delinquent for a period of 180 days or more so that the Secretary may take appropriate action to collect the debt or terminate collection action. See 31 CFR 285.12 (Transfer of Debts to Treasury for Collection). This requirement does not apply to any debt that:

1. Is in litigation or foreclosure;

2. Will be disposed of under an approved asset sale program;

3. Has been referred to a private collection contractor for a period of time acceptable to the Secretary;

4. Is at a debt collection center for a period of time acceptable to the Secretary (see paragraph (d) of this section);

5. Will be collected under internal offset procedures within three years after the debt first became delinquent; or
§ 901.2 Demand for payment.

(a) Written demand as described in paragraph (b) of this section shall be made promptly upon a debtor of the United States in terms that inform the debtor of the consequences of failing to cooperate with the agency to resolve the debt. The specific content, timing, and number of demand letters shall depend upon the type and amount of the debt and the debtor’s response, if any, to the agency’s letters or telephone calls. Generally, one demand letter should suffice. In determining the timing of the demand letter(s), agencies should give due regard to the need to refer debts promptly to the Department of Justice for litigation, in accordance with §901.1 of this chapter or otherwise. When necessary to protect the Government's interest (for example, to prevent the running of a statute of limitations), written demand may be preceded by other appropriate actions under parts 900-904 of this chapter, including immediate referral for litigation.

(b) Demand letters shall inform the debtor of:

1. The basis for the indebtedness and the rights, if any, the debtor may have to seek review within the agency;
2. The applicable standards for imposing any interest, penalties, or administrative costs;
3. The date by which payment should be made to avoid late charges (i.e., interest, penalties, and administrative costs) and enforced collection, which generally should not be more than 30 days from the date that the demand letter is mailed or hand-delivered; and
4. The name, address, and phone number of a contact person or office within the agency.

(c) Agencies should exercise care to ensure that demand letters are mailed or hand-delivered on the same day that they are dated. There is no prescribed format for demand letters. Agencies should utilize demand letters and procedures that will lead to the earliest practicable determination of whether the debt can be resolved administratively or must be referred for litigation.

(d) Agencies should include in demand letters such items as the agency’s willingness to discuss alternative methods of payment; its policies with respect to the use of credit bureaus, debt collection centers, and collection agencies; the agency’s remedies to enforce payment of the debt (including assessment of interest, administrative costs and penalties, administrative garnishment, the use of collection agencies, Federal salary offset, tax refund offset, administrative offset, and litigation); the requirement that any debt delinquent for more than 180 days be transferred to the Department of the Treasury for collection; and, depending on applicable statutory authority, the debtor’s entitlement to consideration of a waiver.

(e) Agencies should respond promptly to communications from debtors, within 30 days whenever feasible, and should advise debtors who dispute debts to furnish available evidence to support their contentions.

(f) Prior to the initiation of the demand process or at any time during or after completion of the demand process, if an agency determines to pursue, or is required to pursue, offset, the procedures applicable to offset should be followed (see §901.3). The availability of funds or money for debt satisfaction by offset and the agency’s determination to pursue collection by offset shall release the agency from the necessity of further compliance with paragraphs (a), (b), (c), and (d) of this section.

(g) Prior to referring a debt for litigation, agencies should advise each person determined to be liable for the debt that, unless the debt can be collected administratively, litigation may be initiated. This notification should
comply with Executive Order 12988 (3 CFR, 1996 Comp., pp. 157–163) and may be given as part of a demand letter under paragraph (b) of this section or in a separate document. Litigation counsel for the Government should be advised that this notice has been given.

(b) When an agency learns that a bankruptcy petition has been filed with respect to a debtor, before proceeding with further collection action, the agency should immediately seek legal advice from its agency counsel concerning the impact of the Bankruptcy Code on any pending or contemplated collection activities. Unless the agency determines that the automatic stay imposed at the time of filing pursuant to 11 U.S.C. 362 has been lifted or is no longer in effect, in most cases collection activity against the debtor should stop immediately.

(1) After seeking legal advice, a proof of claim should be filed in most cases with the bankruptcy court or the Trustee. Agencies should refer to the provisions of 11 U.S.C. 106 relating to the consequences on sovereign immunity of filing a proof of claim.

(2) If the agency is a secured creditor, it may seek relief from the automatic stay regarding its security, subject to the provisions and requirements of 11 U.S.C. 362.

(3) Offset is stayed in most cases by the automatic stay. However, agencies should seek legal advice from their agency counsel to determine whether their payments to the debtor and payments of other agencies available for offset may be frozen by the agency until relief from the automatic stay can be obtained from the bankruptcy court. Agencies also should seek legal advice from their agency counsel to determine whether recoupment is available.

§ 901.3 Collection by administrative offset.

(a) Scope. (1) The term "administrative offset" has the meaning provided in 31 U.S.C. 3701(a)(1).

(2) This section does not apply to:

(i) Debts arising under the Social Security Act, except as provided in 42 U.S.C. 407;

(ii) Payments made under the Social Security Act, except as provided for in 31 U.S.C. 3716(c) (see 31 CFR 285.4, Federal Benefit Offset);

(iii) Debts arising under, or payments made under, the Internal Revenue Code (see 31 CFR 285.2, Tax Refund Offset) or the tariff laws of the United States;

(iv) Offsets against Federal salaries to the extent these standards are inconsistent with regulations published to implement such offsets under 5 U.S.C. 5514 and 31 U.S.C. 3716 (see 5 CFR part 550, subpart K, and 31 CFR 285.7, Federal Salary Offset);

(v) Offsets under 31 U.S.C. 3728 against a judgment obtained by a debtor or against the United States;

(vi) Offsets or recoupments under common law, State law, or Federal statutes specifically prohibiting offsets or recoupments of particular types of debts; or

(vii) Offsets in the course of judicial proceedings, including bankruptcy.

(3) Unless otherwise provided for by contract or law, debts or payments that are not subject to administrative offset under 31 U.S.C. 3716 may be collected by administrative offset under the common law or other applicable statutory authority.

(4) Unless otherwise provided by law, administrative offset of payments under the authority of 31 U.S.C. 3716 to collect a debt may not be conducted more than 10 years after the Government’s right to collect the debt first accrued, unless facts material to the Government’s right to collect the debt were not known and could not reasonably have been known by the official or officials of the Government who were charged with the responsibility to discover and collect such debts. This limitation does not apply to debts reduced to a judgment.

(5) In bankruptcy cases, agencies should seek legal advice from their agency counsel concerning the impact of the Bankruptcy Code, particularly 11 U.S.C. 106, 362, and 553, on pending or contemplated collections by offset.

§ 901.3 Mandatory centralized administrative offset. (1) Creditor agencies are required to refer past due, legally enforceable nontax debts which are over 180 days delinquent to the Secretary for collection by centralized administrative offset. Debts which are less than 180 days delinquent also may be
§ 901.3 31 CFR Ch. IX (7–1–10 Edition)

referred to the Secretary for this purpose. See §901.3(b)(5) for debt certification requirements.

(2) The names and taxpayer identifying numbers (TINs) of debtors who owe debts referred to the Secretary as described in paragraph (b)(1) of this section shall be compared to the names and TINs on payments to be made by Federal disbursing officials. Federal disbursing officials include disbursing officials of Treasury, the Department of Defense, the United States Postal Service, other Government corporations, and disbursing officials of the United States designated by the Secretary. When the name and TIN of a debtor match the name and TIN of a payee and all other requirements for offset have been met, the payment will be offset to satisfy the debt.

(3) Federal disbursing officials will notify the debtor/payee in writing that an offset has occurred to satisfy, in part or in full, a past due, legally enforceable delinquent debt. The notice shall include a description of the type and amount of the payment from which the offset was taken, the amount of offset that was taken, the identity of the creditor agency requesting the offset, and a contact point within the creditor agency who will respond to questions regarding the offset.

(4)(i) Before referring a delinquent debt to the Secretary for administrative offset, agencies must have prescribed administrative offset regulations consistent with this section or have adopted this section without change by cross-reference.

(ii) Such regulations shall provide that offsets may be initiated only after the debtor:

(A) Has been sent written notice of the type and amount of the debt, the intention of the agency to use administrative offset to collect the debt, and an explanation of the debtor’s rights under 31 U.S.C. 3716; and

(B) The debtor has been given:

(1) The opportunity to inspect and copy agency records related to the debt;

(2) The opportunity for a review within the agency of the determination of indebtedness; and

(3) The opportunity to make a written agreement to repay the debt.

(iii) Agency regulations may provide for the omission of the procedures set forth in paragraph (a)(4)(i) of this section when:

(A) The offset is in the nature of a recoupment;

(B) The debt arises under a contract as set forth in Cecil Industries, Inc. v. Cheney, 995 F.2d 1052 (Fed. Cir. 1993) (notice and other procedural protections set forth in 31 U.S.C. 3716(a) do not supplant or restrict established procedures for contractual offsets accommodated by the Contracts Disputes Act); or

(C) In the case of non-centralized administrative offsets conducted under paragraph (c) of this section, the agency first learns of the existence of the amount owed by the debtor when there is insufficient time before payment would be made to the debtor/payee to allow for prior notice and an opportunity for review. When prior notice and an opportunity for review are omitted, the agency shall give the debtor such notice and an opportunity for review as soon as practicable and shall promptly refund any money ultimately found not to have been owed to the Government.

(iv) When an agency previously has given a debtor any of the required notice and review opportunities with respect to a particular debt (see, e.g., §901.2), the agency need not duplicate such notice and review opportunities before administrative offset may be initiated.

(5) Agencies referring delinquent debts to the Secretary must certify, in a form acceptable to the Secretary, that:

(i) The debt(s) is (are) past due and legally enforceable; and

(ii) The agency has complied with all due process requirements under 31 U.S.C. 3716(a) and the agency’s regulations.

(6) Payments that are prohibited by law from being offset are exempt from centralized administrative offset. The Secretary shall exempt payments under means-tested programs from centralized administrative offset when requested in writing by the head of the payment certifying or authorizing agency. Also, the Secretary may exempt other classes of payments from
Federal Claims Collection Standards, Treas.–DOJ § 901.3

centralized offset upon the written request of the head of the payment certifying or authorizing agency.

(7) Benefit payments made under the Social Security Act (42 U.S.C. 301 et seq.), part B of the Black Lung Benefits Act (30 U.S.C. 921 et seq.), and any law administered by the Railroad Retirement Board (other than tier 2 benefits), may be offset only in accordance with Treasury regulations, issued in consultation with the Social Security Administration, the Railroad Retirement Board, and the Office of Management and Budget. See 31 CFR 285.4.

(8) In accordance with 31 U.S.C. 3716(f), the Secretary may waive the provisions of the Computer Matching and Privacy Protection Act of 1988 concerning matching agreements and post-match notification and verification (5 U.S.C. 552a(o) and (p)) for centralized administrative offset upon receipt of a certification from a creditor agency that the due process requirements enumerated in 31 U.S.C. 3716(a) have been met. The certification of a debt in accordance with paragraph (b)(5) of this section will satisfy this requirement. If such a waiver is granted, only the Data Integrity Board of the Department of the Treasury is required to oversee any matching activities, in accordance with 31 U.S.C. 3716(g). This waiver authority does not apply to offsets conducted under paragraphs (c) and (d) of this section.

(c) Non-centralized administrative offset. (1) Generally, non-centralized administrative offsets are ad hoc case-by-case offsets that an agency conducts, at the agency’s discretion, internally or in cooperation with the agency certifying or authorizing payments to the debtor. Unless otherwise prohibited by law, when centralized administrative offset is not available or appropriate, past due, legally enforceable nontax delinquent debts may be collected through non-centralized administrative offset. In these cases, a creditor agency may make a request directly to a payment authorizing agency to offset a payment due a debtor to collect a delinquent debt. For example, it may be appropriate for a creditor agency to request that the Office of Personnel Management (OPM) offset a Federal employee’s lump sum payment upon leaving Government service to satisfy an unpaid advance.

(2) Before requesting a payment authorizing agency to conduct a non-centralized administrative offset, agencies must adopt regulations providing that such offsets may occur only after:

(i) The debtor has been provided due process as set forth in paragraph (b)(4) of this section; and

(ii) The payment authorizing agency has received written certification from the creditor agency that the debtor owes the past due, legally enforceable delinquent debt in the amount stated, and that the creditor agency has fully complied with its regulations concerning administrative offset.

(3) Payment authorizing agencies shall comply with offset requests by creditor agencies to collect debts owed to the United States, unless the offset would not be in the best interests of the United States with respect to the program of the payment authorizing agency, or would otherwise be contrary to law. Appropriate use should be made of the cooperative efforts of other agencies in effecting collection by administrative offset.

(4) When collecting multiple debts by non-centralized administrative offset, agencies should apply the recovered amounts to those debts in accordance with the best interests of the United States, as determined by the facts and circumstances of the particular case, particularly the applicable statute of limitations.

(d) Requests to OPM to offset a debtor’s anticipated or future benefit payments under the Civil Service Retirement and Disability Fund. Upon providing OPM written certification that a debtor has been afforded the procedures provided in paragraph (b)(4) of this section, creditor agencies may request OPM to offset a debtor’s anticipated or future benefit payments under the Civil Service Retirement and Disability Fund (Fund) in accordance with regulations codified at 5 CFR 831.1801–831.1808. Upon receipt of such a request, OPM will identify and “flag” a debtor’s account in anticipation of the time when the debtor requests, or becomes eligible to receive, payments from the Fund. This will satisfy any requirement that offset be initiated prior to the expiration of
§ 901.4 Reporting debts.

(a) Agencies shall develop and implement procedures for reporting delinquent debts to credit bureaus and other automated databases. Agencies also may develop procedures to report nondelinquent debts to credit bureaus. See 31 U.S.C. 3711(b).

(1) In developing procedures for reporting debts to credit bureaus, agencies shall comply with the Bankruptcy Code and the Privacy Act of 1974, 5 U.S.C. 552a, as amended. The provisions of the Privacy Act do not apply to credit bureaus.

(2) Agency procedures for reporting delinquent consumer debts to credit bureaus shall be consistent with the due process and other requirements contained in 31 U.S.C. 3711(e). When an agency has given a debtor any of the required notice and review opportunities with respect to a particular debt, the agency need not duplicate such notice and review opportunities before reporting that delinquent consumer debt to credit bureaus.

(b) Agencies should report delinquent debts to the Department of Housing and Urban Development's Credit Alert Interactive Voice Response System (CAIVRS). For information about the CAIVRS program, agencies should contact the Director of Information Resources Management Policy and Management Division, Office of Information Technology, Department of Housing and Urban Development, 451 7th Street, SW., Washington, DC 20410.

§ 901.5 Contracting with private collection contractors and with entities that locate and recover unclaimed assets.

(a) Subject to the provisions of paragraph (b) of this section, Federal agencies may contract with private collection contractors, as defined in 31 U.S.C. 3701(f), to recover delinquent debts provided that:

(1) Agencies retain the authority to resolve disputes, compromise debts, suspend or terminate collection activity, and refer debts for litigation;

(2) The private collection contractor is not allowed to offer the debtor, as an incentive for payment, the opportunity to pay the debt less the private collection contractor's fee unless the agency has granted such authority prior to the offer;

(3) The contract provides that the private collection contractor is subject to the Privacy Act of 1974 to the extent specified in 5 U.S.C. 552a(m), and to applicable Federal and state laws and regulations pertaining to debt collection practices, including but not limited to the Fair Debt Collection Practices Act, 15 U.S.C. 1692; and

(4) The private collection contractor is required to account for all amounts collected.

(b) Agencies shall use government-wide debt collection contracts to obtain debt collection services provided by private collection contractors. However, agencies may refer debts to private collection contractors pursuant to a contract between the agency and the private collection contractor only if
such debts are not subject to the requirement to transfer debts to Treasury for debt collection. See 31 U.S.C. 3711(g); 31 CFR 285.12(e).

(c) Agencies may fund private collection contractor contracts in accordance with 31 U.S.C. 3718(d), or as otherwise permitted by law.

(d) Agencies may enter into contracts for locating and recovering assets of the United States, such as unclaimed assets. Agencies must establish procedures that are acceptable to the Secretary before entering into contracts to recover assets of the United States held by a state government or a financial institution.

(e) Agencies may enter into contracts for debtor asset and income search reports. In accordance with 31 U.S.C. 3718(d), such contracts may provide that the fee a contractor charges the agency for such services may be payable from the amounts recovered, unless otherwise prohibited by statute.

§ 901.6 Suspension or revocation of eligibility for loans and loan guarantees, licenses, permits, or privileges.

(a) Unless waived by the head of the agency, agencies are not permitted to extend financial assistance in the form of a loan, loan guarantee, or loan insurance to any person delinquent on a nontax debt owed to a Federal agency. This prohibition does not apply to disaster loans. The authority to waive the application of this section may be delegated to the Chief Financial Officer and redelegated only to the Deputy Chief Financial Officer of the agency. Agencies may extend credit after the delinquency has been resolved. The Secretary may exempt classes of debts from this prohibition and has prescribed standards defining when a “delinquency” is “resolved” for purposes of this prohibition. See 31 CFR 285.13 (Barring Delinquent Debtors From Obtaining Federal Loans or Loan Insurance or Guarantees).

(b) In non-bankruptcy cases, agencies seeking the collection of statutory penalties, forfeitures, or other types of claims should consider the suspension or revocation of licenses, permits, or other privileges for any inexcusable or willful failure of a debtor to pay such a debt in accordance with the agency’s regulations or governing procedures. The debtor should be advised in the agency’s written demand for payment of the agency’s ability to suspend or revoke licenses, permits, or privileges. Any agency making, guaranteeing, insuring, acquiring, or participating in, loans should consider suspending or disqualifying any lender, contractor, or broker from doing further business with the agency or engaging in programs sponsored by the agency if such lender, contractor, or broker fails to pay its debts to the Government within a reasonable time or if such lender, contractor, or broker has been suspended, debarred, or disqualified from participation in a program or activity by another Federal agency. The failure of any surety to honor its obligations in accordance with 31 U.S.C. 9305 should be reported to the Treasury. The Treasury will forward to all interested agencies notification that a surety’s certificate of authority to do business with the Government has been revoked by the Treasury.

(c) The suspension or revocation of licenses, permits, or privileges also should extend to Federal programs or activities that are administered by the states on behalf of the Federal Government, to the extent that they affect the Federal Government’s ability to collect money or funds owed by debtors. Therefore, states that manage Federal activities, pursuant to approval from the agencies, should ensure that appropriate steps are taken to safeguard against issuing licenses, permits, or privileges to debtors who fail to pay their debts to the Federal Government.

(d) In bankruptcy cases, before advising the debtor of an agency’s intention to suspend or revoke licenses, permits, or privileges, agencies should seek legal advice from their agency counsel concerning the impact of the Bankruptcy Code, particularly 11 U.S.C. 362 and 525, which may restrict such action.

§ 901.7 Liquidation of collateral.

(a) Agencies should liquidate security or collateral through the exercise of a power of sale in the security instrument or a nonjudicial foreclosure, and apply the proceeds to the applicable debt(s), if the debtor fails to pay
§ 901.8 Collection in installments.
(a) Whenever feasible, agencies shall collect the total amount of a debt in one lump sum. If a debtor is financially unable to pay a debt in one lump sum, agencies may accept payment in regular installments. Agencies should obtain financial statements from debtors who represent that they are unable to pay in one lump sum and independently verify such representations whenever possible (see § 902.2(g) of this chapter). Agencies that agree to accept payments in regular installments should obtain a legally enforceable written agreement from the debtor that specifies all of the terms of the arrangement and that contains a provision accelerating the debt in the event of default.

(b) The size and frequency of installment payments should bear a reasonable relation to the size of the debt and the debtor’s ability to pay. If possible, the installment payments should be sufficient in size and frequency to liquidate the debt in three years or less.

(c) Security for deferred payments should be obtained in appropriate cases. Agencies may accept installment payments notwithstanding the refusal of the debtor to execute a written agreement or to give security, at the agency’s option.

§ 901.9 Interest, penalties, and administrative costs.
(a) Except as provided in paragraphs (g), (h), and (i) of this section, agencies shall charge interest, penalties, and administrative costs on debts owed to the United States pursuant to 31 U.S.C. 3717. An agency shall mail or hand-deliver a written notice to the debtor, at the debtor’s most recent address available to the agency, explaining the agency’s requirements concerning these charges except where these requirements are included in a contractual or repayment agreement. These charges shall continue to accrue until the debt is paid in full or otherwise resolved through compromise, termination, or waiver of the charges.

(b) Agencies shall charge interest on debts owed the United States as follows:

(1) Interest shall accrue from the date of delinquency, or as otherwise provided by law.

(2) Unless otherwise established in a contract, repayment agreement, or by statute, the rate of interest charged shall be the rate established annually by the Secretary in accordance with 31 U.S.C. 3717. Pursuant to 31 U.S.C. 3717, an agency may charge a higher rate of interest if it reasonably determines that a higher rate is necessary to protect the rights of the United States. The agency should document the reason(s) for its determination that the higher rate is necessary.

(3) The rate of interest, as initially charged, shall remain fixed for the duration of the indebtedness. When a debtor defaults on a repayment agreement and seeks to enter into a new agreement, the agency may require payment of interest at a new rate that reflects the current value of funds to the Treasury at the time the new agreement is executed. Interest shall not be compounded, that is, interest shall not be charged on interest, penalties, or administrative costs required by this section. If, however, a debtor defaults on a previous repayment agreement, charges that accrued but were not collected under the defaulted agreement shall be added to the principal under the new repayment agreement.
Federal Claims Collection Standards, Treas.–DOJ § 901.11

(c) Agencies shall assess administrative costs incurred for processing and handling delinquent debts. The calculation of administrative costs should be based on actual costs incurred or upon estimated costs as determined by the assessing agency.

(d) Unless otherwise established in a contract, repayment agreement, or by statute, agencies shall charge a penalty, pursuant to 31 U.S.C. 3717(e)(2), not to exceed six percent a year on the amount due on a debt that is delinquent for more than 90 days. This charge shall accrue from the date of delinquency.

(e) Agencies may increase an “administrative debt” by the cost of living adjustment in lieu of charging interest and penalties under this section. “Administrative debt” includes, but is not limited to, a debt based on fines, penalties, and overpayments, but does not include a debt based on the extension of Government credit, such as those arising from loans and loan guaranties. The cost of living adjustment is the percentage by which the Consumer Price Index for the month of June of the calendar year preceding the adjustment exceeds the Consumer Price Index for the month of June of the calendar year in which the debt was determined or last adjusted. Increases to administrative debts shall be computed annually. Agencies should use this alternative only when there is a legitimate reason to do so, such as when calculating interest and penalties on a debt would be extremely difficult because of the age of the debt.

(f) When a debt is paid in partial or installment payments, amounts received by the Government shall be applied first to any contingency fees added to the debt, second to outstanding penalties, third to administrative costs other than contingency fees, fourth to interest, and last to principal. For purposes of this paragraph (f), “contingency fees” are administrative costs resulting from fees paid by a Federal agency to other Federal agencies or private collection contractors for collection services rendered when the fees are paid from the amounts collected from a debtor.

(g) Agencies shall waive the collection of interest and administrative costs imposed pursuant to this section on the portion of the debt that is paid within 30 days after the date on which interest began to accrue. Agencies may extend this 30-day period on a case-by-case basis. In addition, agencies may waive interest, penalties, and administrative costs charged under this section, in whole or in part, without regard to the amount of the debt, either under the criteria set forth in these standards for the compromise of debts, or if the agency determines that collection of these charges is against equity and good conscience or is not in the best interest of the United States.

(h) Agencies shall set forth in their regulations the circumstances under which interest and related charges will not be imposed for periods during which collection activity has been suspended pending agency review.

(i) Agencies are authorized to impose interest and related charges on debts not subject to 31 U.S.C. 3717, in accordance with the common law.

[65 FR 70396, Nov. 22, 2000, as amended at 73 FR 12274, Mar. 7, 2008]

§ 901.10 Analysis of costs.

Agency collection procedures should provide for periodic comparison of costs incurred and amounts collected. Data on costs and corresponding recovery rates for debts of different types and in various dollar ranges should be used to compare the cost effectiveness of alternative collection techniques, establish guidelines with respect to points at which costs of further collection efforts are likely to exceed recoveries, assist in evaluating offers in compromise, and establish minimum debt amounts below which collection efforts need not be taken.

§ 901.11 Use and disclosure of mailing addresses.

(a) When attempting to locate a debtor or in order to collect or compromise a debt under parts 900–904 of this chapter or other authority, agencies may send a request to the Secretary (or designee) to obtain a debtor’s mailing address from the records of the Internal Revenue Service.
(b) Agencies are authorized to use mailing addresses obtained under paragraph (a) of this section to enforce collection of a delinquent debt and may disclose such mailing addresses to other agencies and to collection agencies for collection purposes.

§ 901.12 Exemptions.

(a) The preceding sections of this part, to the extent they reflect remedies or procedures prescribed by the Debt Collection Act of 1982 and the Debt Collection Improvement Act of 1996, such as administrative offset, use of credit bureaus, contracting for collection agencies, and interest and related charges, do not apply to debts arising under, or payments made under, the Internal Revenue Code of 1986, as amended (26 U.S.C. 1 et seq.); the Social Security Act (42 U.S.C. 301 et seq.), except to the extent provided under 42 U.S.C. 404 and 31 U.S.C. 3716(c); or the tariff laws of the United States. These remedies and procedures, however, may be authorized with respect to debts that are exempt from the Debt Collection Act of 1982 and the Debt Collection Improvement Act of 1996, to the extent that they are authorized under some other statute or the common law.

(b) This section should not be construed as prohibiting the use of these authorities or requirements when collecting debts owed by persons employed by agencies administering the laws cited in paragraph (a) of this section unless the debt arose under those laws.

PART 902—STANDARDS FOR THE COMPROMISE OF CLAIMS

Sec.
902.1 Scope and application.
902.2 Bases for compromise.
902.3 Enforcement policy.
902.4 Joint and several liability.
902.5 Further review of compromise offers.
902.6 Consideration of tax consequences to the Government.
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Source: 65 FR 70402, Nov. 22, 2000, unless otherwise noted.
(4) There is significant doubt concerning the Government’s ability to prove its case in court.

(b) In determining the debtor’s inability to pay, agencies should consider relevant factors such as the following:
   (1) Age and health of the debtor;
   (2) Present and potential income;
   (3) Inheritance prospects;
   (4) The possibility that assets have been concealed or improperly transferred by the debtor; and
   (5) The availability of assets or income that may be realized by enforced collection proceedings.

(c) Agencies should verify the debtor’s claim of inability to pay by using a credit report and other financial information as provided in paragraph (g) of this section. Agencies should consider the applicable exemptions available to the debtor under state and Federal law in determining the Government’s ability to enforce collection. Agencies also may consider uncertainty as to the price that collateral or other property will bring at a forced sale in determining the Government’s ability to enforce collection. A compromise effected under this section should be for an amount that bears a reasonable relation to the amount that can be recovered by enforced collection procedures, with regard to the exemptions available to the debtor and the time that collection will take.

(d) If there is significant doubt concerning the Government’s ability to prove its case in court for the full amount claimed, either because of the legal issues involved or because of a bona fide dispute as to the facts, then the amount accepted in compromise of such cases should fairly reflect the probabilities of successful prosecution to judgment, with due regard given to the availability of witnesses and other evidentiary support for the Government’s claim. In determining the litigative risks involved, agencies should consider the probable amount of court costs and attorney fees pursuant to the Equal Access to Justice Act, 28 U.S.C. 2412, that may be imposed against the Government if it is unsuccessful in litigation.

(e) Agencies may compromise a debt if the cost of collecting the debt does not justify the enforced collection of the full amount. The amount accepted in compromise in such cases may reflect an appropriate discount for the administrative and litigative costs of collection, with consideration given to the time it will take to effect collection. Collection costs may be a substantial factor in the settlement of small debts. In determining whether the cost of collecting justifies enforced collection of the full amount, agencies should consider whether continued collection of the debt, regardless of cost, is necessary to further an enforcement principle, such as the Government’s willingness to pursue aggressively defaulting and uncooperative debtors.

(f) Agencies generally should not accept compromises payable in installments. This is not an advantageous form of compromise in terms of time and administrative expense. If, however, payment of a compromise in installments is necessary, agencies should obtain a legally enforceable written agreement providing that, in the event of default, the full original principal balance of the debt prior to compromise, less sums paid thereon, is reinstated. Whenever possible, agencies also should obtain security for repayment in the manner set forth in part 901 of this chapter.

(g) To assess the merits of a compromise offer based in whole or in part on the debtor’s inability to pay the full amount of a debt within a reasonable time, agencies should obtain a current financial statement from the debtor, executed under penalty of perjury, showing the debtor’s assets, liabilities, income and expenses. Agencies also may obtain credit reports or other financial information to assess compromise offers. Agencies may use their own financial information form or may request suitable forms from the Department of Justice or the local United States Attorney’s Office.

§ 902.3 Enforcement policy.

Pursuant to this part, agencies may compromise statutory penalties, forfeitures, or claims established as an aid to enforcement and to compel compliance, if the agency’s enforcement policy in terms of deterrence and securing compliance, present and future, will be
§ 902.4 Joint and several liability.

(a) When two or more debtors are jointly and severally liable, agencies should pursue collection activity against all debtors, as appropriate. Agencies should not attempt to allocate the burden of payment between the debtors but should proceed to liquidate the indebtedness as quickly as possible.

(b) Agencies should ensure that a compromise agreement with one debtor does not release the agency's claim against the remaining debtors. The amount of a compromise with one debtor shall not be considered a precedent or binding in determining the amount that will be required from other debtors jointly and severally liable on the claim.

§ 902.5 Further review of compromise offers.

If an agency is uncertain whether to accept a firm, written, substantive compromise offer on a debt that is within the agency's delegated compromise authority, it may refer the offer to the Civil Division or other appropriate litigating division in the Department of Justice, using a CCLR accompanied by supporting data and particulars concerning the debt. The Department of Justice may act upon such an offer or return it to the agency with instructions or advice.

§ 902.6 Consideration of tax consequences to the Government.

In negotiating a compromise, agencies should consider the tax consequences to the Government. In particular, agencies should consider requiring a waiver of tax-loss-carry-forward and tax-loss-carry-back rights of the debtor. For information on discharge of indebtedness reporting requirements see § 903.5 of this chapter.

§ 902.7 Mutual releases of the debtor and the Government.

In all appropriate instances, a compromise that is accepted by an agency should be implemented by means of a mutual release, in which the debtor is released from further non-tax liability on the compromised debt in consideration of payment in full of the compromise amount and the Government and its officials, past and present, are released and discharged from any and all claims and causes of action arising from the same transaction that the debtor may have. In the event a mutual release is not executed when a debt is compromised, unless prohibited by law, the debtor is still deemed to have waived any and all claims and causes of action against the Government and its officials related to the transaction giving rise to the compromised debt.
debt in excess of $100,000 may be appropriate, the agency shall refer the debt to the Civil Division or other appropriate litigating division in the Department of Justice, using the CCLR. The referral should specify the reasons for the agency’s recommendation. If, prior to referral to the Department of Justice, an agency determines that a debt is plainly erroneous or clearly without legal merit, the agency may terminate collection activity regardless of the amount involved without obtaining Department of Justice concurrence.

§ 903.2 Suspension of collection activity.

(a) Agencies may suspend collection activity on a debt when:
(1) The agency cannot locate the debtor;
(2) The debtor’s financial condition is expected to improve; or
(3) The debtor has requested a waiver or review of the debt.

(b) Based on the current financial condition of the debtor, agencies may suspend collection activity on a debt when the debtor’s future prospects justify retention of the debt for periodic review and collection activity and:
(1) The applicable statute of limitations has not expired; or
(2) Future collection can be effected by administrative offset, notwithstanding the expiration of the applicable statute of limitations for litigation of claims, with due regard to the 10-year limitation for administrative offset prescribed by 31 U.S.C. 3716(e)(1); or
(3) The debtor agrees to pay interest on the amount of the debt on which collection will be suspended, and such suspension is likely to enhance the debtor’s ability to pay the full amount of the principal of the debt with interest at a later date.

(c)(1) Agencies shall suspend collection activity during the time required for consideration of the debtor’s request for waiver or administrative review of the debt if the statute under which the request is sought prohibits the agency from collecting the debt during that time.
(2) If the statute under which the request is sought does not prohibit collection activity pending consideration of the request, agencies may use discretion, on a case-by-case basis, to suspend collection. Further, an agency ordinarily should suspend collection action upon a request for waiver or review if the agency is prohibited by statute or regulation from issuing a refund of amounts collected prior to agency consideration of the debtor’s request. However, an agency should not suspend collection when the agency determines that the request for waiver or review is frivolous or was made primarily to delay collection.

(d) When an agency learns that a bankruptcy petition has been filed with respect to a debtor, in most cases the collection activity on a debt must be suspended, pursuant to the provisions of 11 U.S.C. 362, 1201, and 1301, unless the agency can clearly establish that the automatic stay has been lifted or is no longer in effect. Agencies should seek legal advice immediately from their agency counsel and, if legally permitted, take the necessary legal steps to ensure that no funds or money are paid by the agency to the debtor until relief from the automatic stay is obtained.

§ 903.3 Termination of collection activity.

(a) Agencies may terminate collection activity when:
(1) The agency is unable to collect any substantial amount through its own efforts or through the efforts of others;
(2) The agency is unable to locate the debtor;
(3) Costs of collection are anticipated to exceed the amount recoverable;
(4) The debt is legally without merit or enforcement of the debt is barred by any applicable statute of limitations;
(5) The debt cannot be substantiated; or
(6) The debt against the debtor has been discharged in bankruptcy.

(b) Before terminating collection activity, the agency should have pursued all appropriate means of collection and determined, based upon the results of the collection activity, that the debt is uncollectible. Termination of collection activity ceases active collection of the debt. The termination of collection activity does not preclude the agency...
§ 903.4 Exception to termination.

When a significant enforcement policy is involved or recovery of a judgment is a prerequisite to the imposition of administrative sanctions, agencies may refer debts for litigation even though termination of collection activity may otherwise be appropriate.

§ 903.5 Discharge of indebtedness; reporting requirements.

(a) Before discharging a delinquent debt (also referred to as a close out of the debt), agencies shall take all appropriate steps to collect the debt in accordance with 31 U.S.C. 3711(g), including, as applicable, administrative offset, tax refund offset, Federal salary offset, referral to Treasury, Treasury-designated debt collection centers or private collection contractors, credit bureau reporting, wage garnishment, litigation, and foreclosure. Discharge of indebtedness is distinct from termination or suspension of collection activity under part 903 of this title and is governed by the Internal Revenue Code. When collection action on a debt is suspended or terminated, the debt remains delinquent and further collection action may be pursued at a later date in accordance with the standards set forth in this chapter. When an agency discharges a debt in full or in part, further collection action is prohibited. Therefore, agencies should make the determination that collection action is no longer warranted before discharging a debt. Before discharging a debt, agencies must terminate debt collection action.

(b) Section 3711(i), title 31, United States Code, requires agencies to sell a delinquent nontax debt upon termination of collection action if the Secretary determines such a sale is in the best interests of the United States. Since the discharge of a debt precludes any further collection action (including the sale of a delinquent debt), agencies may not discharge a debt until the requirements of 31 U.S.C. 3711(i) have been met.

(c) Upon discharge of an indebtedness, agencies must report the discharge to the IRS in accordance with the requirements of 26 U.S.C. 6050P and 26 CFR 1.6050P–1. An agency may request Treasury or Treasury-designated debt collection centers to file such a discharge report to the IRS on the agency’s behalf.

(d) When discharging a debt, agencies must request that litigation counsel release any liens of record securing the debt.
§ 904.1 Prompt referral.

(a) Agencies shall promptly refer to the Department of Justice for litigation debts on which aggressive collection activity has been taken in accordance with part 901 of this chapter and that cannot be compromised, or on which collection activity cannot be suspended or terminated, in accordance with parts 902 and 903 of this chapter. Agencies may refer those debts arising out of activities of, or referred or transferred for collection services to, that agency. Debts for which the principal amount is over $1,000,000, or such other amount as the Attorney General may direct, exclusive of interest and penalties, shall be referred to the Civil Division or other division responsible for litigating such debts at the Department of Justice, Washington, D.C. Debts for which the principal amount is $1,000,000, or less, or such other amount as the Attorney General may direct, exclusive of interest or penalties, shall be referred to the Department of Justice's Nationwide Central Intake Facility as required by the CCLR instructions. Debts should be referred as early as possible, consistent with aggressive agency collection activity and the observance of the standards contained in parts 900–904 of this chapter, and, in any event, well within the period for initiating timely lawsuits against the debtors. Agencies shall make every effort to refer delinquent debts to the Department of Justice for litigation within one year from the date such debts last became delinquent. In the case of guaranteed or insured loans, agencies should make every effort to refer these delinquent debts to the Department of Justice for litigation within one year from the date the loan was presented to the agency for payment or re-insurance.

(b) The Department of Justice has exclusive jurisdiction over the debts referred to it pursuant to this section. The referring agency shall immediately terminate the use of any administrative collection activities to collect a debt at the time of the referral of that debt to the Department of Justice. The agency should advise the Department of Justice of the collection activities which have been utilized to date, and their result. The referring agency shall refrain from having any contact with the debtor and shall direct all debtor inquiries concerning the debt to the Department of Justice. The referring agency shall immediately notify the Department of Justice of any payments credited by the agency to the debtor's account after referral of a debt under this section. The Department of Justice shall notify the referring agency, in a timely manner, of any payments it receives from the debtor.

§ 904.2 Claims Collection Litigation Report.

(a) Unless excepted by the Department of Justice, agencies shall complete the CCLR (see §902.1(b) of this chapter), accompanied by a signed Certificate of Indebtedness, to refer all administratively uncollectible claims to the Department of Justice for litigation. Referring agencies shall complete all of the sections of the CCLR appropriate to each claim as required by the CCLR instructions and furnish such other information as may be required in specific cases.

(b) Agencies shall indicate clearly on the CCLR the actions they wish the Department of Justice to take with respect to the referred claim. The CCLR permits the agency to indicate specifically any of a number of litigative activities which the Department of Justice may pursue, including enforced collection, judgment lien only, renew judgment lien only, renew judgment lien and enforce collection, program enforcement, foreclosure only, and foreclosure and deficiency judgment.

(c) Agencies also shall use the CCLR to refer claims to the Department of Justice to obtain approval of any proposals to compromise the claims or to suspend or terminate agency collection activity.

§ 904.3 Preservation of evidence.

Referring agencies must take care to preserve all files and records that may be needed by the Department of Justice to prove their claims in court. Agencies ordinarily should include certified copies of the documents that form the basis for the claim in the packages referring their claims to the Department of Justice for litigation. Agencies shall provide originals of such documents...
§ 904.4 Minimum amount of referrals to the Department of Justice.

(a) Agencies shall not refer for litigation claims of less than $2,500, exclusive of interest, penalties, and administrative costs, or such other amount as the Attorney General shall from time to time prescribe. The Department of Justice shall promptly notify referring agencies if the Attorney General changes this minimum amount.

(b) Agencies shall not refer claims of less than the minimum amount unless:

1. Litigation to collect such smaller claims is important to ensure compliance with the agency’s policies or programs;

2. The claim is being referred solely for the purpose of securing a judgment against the debtor, which will be filed as a lien against the debtor’s property pursuant to 28 U.S.C. 3201 and returned to the referring agency for enforcement; or

3. The debtor has the clear ability to pay the claim and the Government effectively can enforce payment, with due regard for the exemptions available to the debtor under state and Federal law and the judicial remedies available to the Government.

(c) Agencies should consult with the Financial Litigation Staff of the Executive Office for United States Attorneys in the Department of Justice prior to referring claims valued at less than the minimum amount.
Finding Aids

A list of CFR titles, subtitles, chapters, subchapters and parts and an alphabetical list of agencies publishing in the CFR are included in the CFR Index and Finding Aids volume to the Code of Federal Regulations which is published separately and revised annually.

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All changes in this volume of the Code of Federal Regulations that were made by documents published in the Federal Register since January 1, 2001, are enumerated in the following list. Entries indicate the nature of the changes effected. Page numbers refer to Federal Register pages. The user should consult the entries for chapters and parts as well as sections for revisions.


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