

中華民國證券投資信託暨顧問商業同業公會 函

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受文者：

發文日期：中華民國107年10月23日
發文字號：中信顧字第1070052679號
速別：普通件
密等及解密條件或保密期限：
附件：如文

主旨：函轉金融監督管理委員會檢送聯合國安全理事會第1718
(2006)號決議制裁委員會指認船隻清單更新訊息，請
查照。

說明：依金融監督管理委員會107年10月22日金管證券字第
1070339041號函辦理。

正本：本公會各投信會員公司、本公會各投顧會員公司

副本：

理事長 張錫

裝

訂

線

檔 號：

保存年限：

金融監督管理委員會 函

機關地址：新北市板橋區縣民大道二段7號
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受文者：中華民國證券投資信託暨顧問商業同業公會

發文日期：中華民國107年10月22日

發文字號：金管證券字第1070339041號

速別：普通件

密等及解密條件或保密期限：

附件：如文(第一件 A45020000DORGUNIT107102203390410A1B339041.PDF)

主旨：檢送聯合國安全理事會第1718（2006）號決議制裁委員會指認船隻清單更新訊息，請查照。

說明：

- 一、依據法務部調查局107年10月18日調錢貳字第10735567980號函辦理。
- 二、聯合國安全理事會第1718（2006）號決議制裁委員會於107年10月16日發布指認船隻清單更新訊息，新增指認Shang Yuan Bao（IMO編號：8126070）、New Regent（IMO編號：8312497）及Kum Un San 3（IMO編號：8705539）等3艘船隻。
- 三、本案請轉知所屬會員若因業務關係知悉涉及相關交易或訊息，請依洗錢防制法第10條向法務部調查局申報。
- 四、檢附法務部調查局107年10月18日調錢貳字第10735567980號函影本暨附件各一份。

正本：中華民國證券商業同業公會、中華民國證券投資信託暨顧問商業同業公會、中華民國期貨業商業同業公會、中華民國會計師公會全國聯合會

副本：臺灣證券交易所股份有限公司、臺灣期貨交易所股份有限公司、財團法人中華民國證券櫃檯買賣中心、臺灣集中保管結算所股份有限公司、元大證券金融股

中華民國證券投資信託暨顧問商業同業公會

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份有限公司、環華證券金融股份有限公司

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授權單位主管決行並鈐印



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檔 號：
保存年限：

法務部調查局 函

地址：23149新北市新店區中華路74號
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受文者：金融監督管理委員會

發文日期：中華民國107年10月18日
發文字號：調錢貳字第10735567980號
速別：普通件
密等及解密條件或保密期限：

附件：如說明(A11010000F_10735567980A0C_ATTCH1.pdf、A11010000F_10735567980A0C_ATTCH2.pdf、A11010000F_10735567980A0C_ATTCH3.pdf)

主旨：檢陳（送）聯合國安全理事會第1718（2006）號決議制裁委員會指認船隻清單更新訊息，請察照。

說明：

- 一、聯合國安全理事會（以下稱：安理會）第1718（2006）號決議制裁委員會頃於本（107）年10月16日指認SHANG YUAN BAO（IMO編號：8126070）、NEW REGENT（IMO編號：8312497）、KUM UN SAN 33（IMO編號：8705539）計3艘船隻，依安理會第2321(2016)號決議第12段（a）及安理會第2371(2017)號決議第6段，要求所有國家對各該船隻採取「禁止懸掛船旗」與「禁止入港」措施（如附件1），並即更新相關指認船隻清單（如附件2、3）。
- 二、查安理會第2321(2016)號決議第12段（a）要求指認船隻船旗國應不再允許該船隻懸掛其船旗，安理會第2371(2017)號決議第6段則要求所有會員國禁止指認船隻進入本國港口，除非發生緊急狀況，或返回始發港口，或經委員會事先認定係出於人道主義目的，或因符合第1718（2006）號

金管會 總收文



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銀行局
證期局
檢查局
保險局



the Committee, in coordination with the port State;

(c) all Member States shall prohibit a designated vessel from entering their ports, unless in case of emergency, in case of return to the vessel's port of origination, or in case of direction by the Committee;

(d) a vessel designated by the Committee shall be subject to the asset freeze imposed in paragraph 8 (d) of resolution 1718 (2006).

The Committee further wishes to recall the decision of the Security Council that all Member States shall prohibit the entry into their ports of the vessels designated pursuant to paragraph 6 of resolution 2371 (2017), unless the Committee determines in advance that such entry is required for humanitarian purposes or any other purposes consistent with the objectives of relevant resolutions.

The lists of designated vessels can be found at
www.un.org/sc/suborg/en/sanctions/1718/materials/list-of-designated-vessels.



Press Release

SC/13542

16 October 2018

- Security Council

Security Council 1718 Sanctions Committee Designates Three Vessels

On 16 October 2018, the Committee designated the following three vessels pursuant to paragraph 12 of resolution 2321 (2016) and 6 of resolution 2371 (2017):

Vessels subject to de-flagging pursuant to paragraph 12 of resolution 2321 (2016) and prohibited from port entry pursuant to paragraph 6 of resolution 2371 (2017):

Shang Yuan Bao IMO: 8126070

The merchant vessel *M/V SHANG YUAN BAO* engaged in a ship-to-ship transfer, likely for oil, with UN-designated DPRK vessel *M/V PAEK MA* on May 18, 2018. The *SHANG YUAN BAO* also engaged in a ship-to-ship transfer, likely for oil, with the DPRK vessel *MYONG RYU 1* on June 2, 2018.

New Regent IMO: 8312497

The *M/V NEW REGENT* engaged in a ship-to-ship transfer, likely for oil, with DPRK oil tanker *KUM UN SAN 3* on June 7, 2018.

Kum Un San 3 IMO: 8705539

The DPRK oil tanker *KUM UN SAN 3* engaged in a ship-to-ship transfer, likely for oil, with the *M/V NEW REGENT* on June 7, 2018.

The Committee wishes to recall the decision of the Security Council in paragraph 12 of resolution 2321 (2016), that the Committee, if it has information that provides reasonable grounds to believe the vessels are or have been related to nuclear- or ballistic missile-related programmes or activities prohibited by relevant resolutions, may require any or all of the following measures with respect to vessels it designates pursuant to this paragraph:

- (a) the Flag State of a designated vessel shall de-flag the vessel;
- (b) the Flag State of a designated vessel shall direct the vessel to a port identified by

- the Committee, in coordination with the port State;
- (c) all Member States shall prohibit a designated vessel from entering their ports, unless in case of emergency, in case of return to the vessel's port of origination, or in case of direction by the Committee;
- (d) a vessel designated by the Committee shall be subject to the asset freeze imposed in paragraph 8 (d) of resolution 1718 (2006).

The Committee further wishes to recall the decision of the Security Council that all Member States shall prohibit the entry into their ports of the vessels designated pursuant to paragraph 6 of resolution 2371 (2017), unless the Committee determines in advance that such entry is required for humanitarian purposes or any other purposes consistent with the objectives of relevant resolutions.

The lists of designated vessels can be found at
www.un.org/sc/suborg/en/sanctions/1718/materials/list-of-designated-vessels.

List of designated vessels subject to de-flagging pursuant to paragraph 12 of Security Council resolution 2321 (2016)

The 1718 Sanctions Committee, if it has information that provides reasonable grounds to believe the vessels are or have been related to nuclear- or ballistic missile-related programmes or activities prohibited by relevant resolutions, may require any or all of the following measures with respect to vessels it designates pursuant to paragraph 12 of resolution 2321 (2016):

(a) the Flag State of a designated vessel shall de-flag the vessel;

(b) the Flag State of a designated vessel shall direct the vessel to a port identified by the Committee, in coordination with the port State;

(c) all Member States shall prohibit a designated vessel from entering their ports, unless in case of emergency, in case of return to the vessel's port of origination, or in case of direction by the Committee;

(d) a vessel designated by the Committee shall be subject to the asset freeze imposed in paragraph 8 (d) of resolution 1718 (2006).

	Vessel name	IMO number	Date of designation
1.	ASIA BRIDGE 1 Other information: M/V ASIA BRIDGE 1 loaded DPRK coal at Nampo, DPRK, on 22 October 2017 and transferred it to Cam Pha, Vietnam.	8916580	30 March 2018
2.	XIN GUANG HAI Other information: Merchant vessel M/V XIN GUANG HAI loaded DPRK coal at Taean, DPRK, on 27 October 2017 and transferred it to Port Klang, Malaysia, on 18 December 2017.	9004700	
3.	HUA FU Other information: M/V HUA FU loaded DPRK coal at Najin, DPRK, on 24 September 2017.	9020003	
4.	YUK TUNG Other information: M/V YUK TUNG engaged in a ship-to-ship transfer, likely for oil, with M/V RYE SONG GANG in January 2018.	9030591	
5.	KOTI Other information: M/V KOTI engaged in a ship-to-ship transfer, likely for oil, with M/V KUM UN SAN 3 on 9 December 2017.	9417115	
6.	DONG FENG 6 Other information: M/V DONG FENG 6 loaded DPRK coal at Hamhung, DPRK, on 11 July 2017, for export in violation of UN sanctions.	9008201	

7.	HAO FAN 2 Other information: M/V HAO FAN 2 loaded DPRK coal at Nampo, DPRK, on 3 June 2017, for export in violation of UN sanctions.	8747604	
8.	HAO FAN 6 Other information: M/V HAO FAN 6 loaded DPRK coal at Nampo, DPRK, on 27 August 2017.	8628597	
9.	JIN HYE Other information: M/V JIN HYE engaged in a ship-to-ship transfer with M/V CHON MA SAN on 16 December 2017.	8518572	
10.	FAN KE Other information: M/V FAN KE loaded DPRK coal at Nampo, DPRK, in September/October 2017.	8914934	
11.	WAN HENG 11 Other information: M/V WAN HENG 11 engaged in a ship-to-ship transfer, likely for oil, with M/V RYE SONG GANG 1 on 13 February 2018. Wan Heng 11, formerly a Belize-flagged vessel, is now operating as a DPRK-flagged vessel named the KUMJINGANG3 or Kum Jin Gang 3.	8791667	
12.	MIN NING DE YOU 078 Other information: M/V MIN NING DE YOU engaged in a ship-to-ship transfer, likely for oil, with M/V YU JONG 2 on 16 February 2018.	Does not exist	
13.	SHANG YUAN BAO The merchant vessel M/V SHANG YUAN BAO engaged in a ship-to-ship transfer, likely for oil, with UN-designated DPRK vessel M/V PAEK MA on May 18, 2018. The SHANG YUAN BAO also engaged in a ship-to-ship transfer, likely for oil, with the DPRK vessel MYONG RYU 1 on June 2, 2018.	8126070	<u>16 October 2018</u>
14.	NEW REGENT The M/V NEW REGENT engaged in a ship-to-ship transfer, likely for oil, with DPRK oil tanker KUM UN SAN 3 on June 7, 2018.	8312497	
15.	KUM UN SAN 3 The DPRK oil tanker KUM UN SAN 3 engaged in a ship-to-ship transfer, likely for oil, with the M/V NEW REGENT on June 7, 2018.	8705539	

List of designated vessels prohibited from port entry pursuant to paragraph 6 of Security Council resolution 2371 (2017) and paragraph 6 of Security Council resolution 2375 (2017)

The 1718 Sanctions Committee may designate vessels to be banned from port entry for activities prohibited by relevant resolutions, including transporting prohibited items from the DPRK, pursuant to paragraph 6 of Security Council resolution 2371 (2017) and paragraph 6 of Security Council resolution 2375 (2017), unless:

- entry is required in the case of emergency
- in the case of return to its port of origination
- the Committee determines in advance that such entry is required for humanitarian purposes or any other purposes consistent with the objectives of relevant resolutions

	Vessel name	IMO number	Date of designation
1.	PETREL 8 Other information: na	9562233 (MMSI: 620233000)	<u>3 October 2017</u>
2.	HAO FAN 6 Other information: na	8628597 (MMSI: 341985000)	
3.	TONG SAN 2 Other information: na	8937675 (MMSI: 445539000)	
4.	JIE SHUN Other information: na	8518780 (MMSI: 514569000)	
5.	BILLIONS NO. 18 Other information: na	9191773	
6.	UL JI BONG 6 Other information: na	9114555	<u>28 December 2017</u>
7.	RUNG RA 2 Other information: na	9020534	
8.	RYE SONG GANG 1 Other information: na	7389704	
9.	CHON MYONG 1 Other information: DPRK oil tanker M/V CHON MYONG 1 conducted a ship-to-ship transfer, likely for oil, in late December 2017.	8712362	
10.	AN SAN 1 Other information: DPRK tanker M/V AN SAN 1 was involved in ship-to-ship transfer operations, likely for oil, in late January 2018.	7303803	<u>30 March 2018</u>
11.	YU PHYONG 5 Other information: DPRK merchant vessel M/V YU PHONG 5 imported refined petroleum products to Nampo, DPRK, on 29 November	8605026	

	2017 through a ship-to-ship transfer conducted on 26 November 2017.	
12.	SAM JONG 1 Other information: DPRK merchant vessel M/V SAM JONG 1 was involved in ship-to-ship transfer operations of oil in late January 2018.	8405311
13.	SAM JONG 2 Other information: DPRK merchant vessel M/V SAM JONG 2 was involved in ship-to-ship transfer operations of oil in late January 2018.	7408873
14.	SAM MA 2 Other information: DPRK oil tanker M/V SAM MA 2 imported refined petroleum products in October, early November and mid-November 2017 through multiple ship-to-ship transfers.	8106496
15.	YU JONG 2 Other information: DPRK oil tanker M/V YU JONG 2 was involved in ship-to-ship transfer operations for oil in November 2017. M/V YU JONG 2 was also involved in a ship-to-ship transfer operation, likely for oil, with M/V MIN NING DE YOU 078 on 16 February 2018.	8604917
16.	PAEK MA Other information: DPRK vessel M/V PAEK MA was involved in ship-to-ship transfer operations for oil in mid-January 2018.	9066978
17.	JI SONG 6 Other information: DPRK tanker M/V JI SONG 6 was involved in ship-to-ship transfer operations of oil in late January 2018.	8898740
18.	CHON MA SAN Other information: DPRK vessel M/V CHON MA SAN was involved in ship-to-ship transfer operations for oil in mid-November 2017.	8660313
19.	NAM SAN 8 Other information: DPRK crude oil tanker M/V NAM SAN 8 is believed to have been involved in ship-to-ship transfer operations for oil.	8122347
20.	YU SON Other information: DPRK tanker M/V YU SON is believed to have been involved in ship-to-ship transfer operations for oil.	8691702
21.	WOORY STAR Other information: DPRK cargo vessel M/V WOORY STAR is believed to have been involved in illicit transfers of prohibited DPRK goods.	8408595
22.	ASIA BRIDGE 1 Other information: M/V ASIA BRIDGE 1 loaded DPRK coal at Nampo, DPRK, on 22 October 2017 and transferred it to Cam Pha, Vietnam.	8916580

23.	XIN GUANG HAI Other information: Merchant vessel M/V XIN GUANG HAI loaded DPRK coal at Taaan, DPRK, on 27 October 2017 and transferred it to Port Klang, Malaysia, on 18 December 2017.	9004700	
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28.	HAO FAN 2 Other information: M/V HAO FAN 2 loaded DPRK coal at Nampo, DPRK, on 3 June 2017, for export in violation of UN sanctions.	8747604	
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	MA on May 18, 2018. The SHANG YUAN BAO also engaged in a ship-to-ship transfer, likely for oil, with the DPRK vessel MYONG RYU 1 on June 2, 2018.		
35.	NEW REGENT The M/V NEW REGENT engaged in a ship-to-ship transfer, likely for oil, with DPRK oil tanker KUM UN SAN 3 on June 7, 2018.	8312497	
36.	KUM UN SAN 3 The DPRK oil tanker KUM UN SAN 3 engaged in a ship-to-ship transfer, likely for oil, with the M/V NEW REGENT on June 7, 2018.	8705539	

