

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12月26日

發文字號：中信顧字第1070053227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有關美國財政部107年12月10日公告新增3名北韓個人於制裁名單（SDN list）一案，如發現疑似洗錢或資恐交易，請向法務部調查局申報，並注意該等交易風險，請查照。

說明：依金融監督管理委員會107年12月22日金管證券字第10703474341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

檔 號：

保存年限：

金融監督管理委員會 函

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發文日期：中華民國107年12月22日

發文字號：金管證券字第10703474341號

速別：普通件

密等及解密條件或保密期限：

附件：如主旨(第一件 A45020000DORGUNIT107122203474341A2B7434.PDF)

主旨：有關美國財政部107年12月10日公告新增3名北韓個人於
制裁名單(SDN list)一案，請轉知所屬會員，如發現疑
似洗錢或資恐交易，請向法務部調查局申報，並注意該
等交易風險，請查照。

說明：

一、依據駐美國代表處經濟組107年12月10日經美字第
1070001471號函副本辦理。

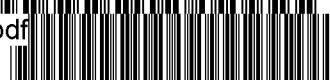
二、檢附駐美國代表處經濟組函文及美國財政部107年12月10
日公告影本各一份。

正本：中華民國證券商業同業公會、中華民國期貨業商業同業公會、中華民國證券投
資信託暨顧問商業同業公會、中華民國會計師公會全國聯合會(均含附件)副本：臺灣證券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、臺灣期
貨交易所股份有限公司、臺灣集中保管結算所股份有限公司、金融監督管理委
員會證券期貨局(證券發行組、投信投顧組、會計審計組、期貨管理組)107/12/22
11:20:01

授權單位主管決行並鈐印

中華民國證券投資信託暨顧問商業同業公會

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銀行局

檔 號：
保存年限：

駐美國代表處經濟組 函

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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12月10日

發文字號：經美字第1070001471號

速別：普通件

密等及解密條件或保密期限：

附件：如文(1070001471_Attach1.docx、1070001471_Attach2.pdf)

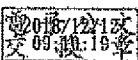
主旨：陳報美國財政部公告新增3名北韓個人於制裁名單(SDN list)事，敬請查照。

說明：

- 一、本組本(107)年11月19日經美字第1070001395號函諒達。
- 二、美財政部頃於本(12)月10日發布新聞稿略以，該部外國資產管制局(OFAC)以北韓持續嚴重侵害人權及監控人民為由，將Jong Kyong Thaek (國家安全部長)、Choe Ryong Ha e (勞動黨組織指導部長)與Pak Kwang Ho (勞動黨宣傳鼓動部長)等3名黨政官員列入制裁名單，凍結渠等於美國境內之資產與交易。
- 三、檢附上述財政部新聞稿如附件，併請卓參。

正本：經濟部國際貿易局

副本：金融監督管理委員會



金管會 總收文



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第1頁，共1頁

第2頁，共9頁



PRESS RELEASES

Treasury Sanctions North Korean Officials and Entities in Response to the Regime's Serious Human Rights Abuses and Censorship

December 10, 2018

WASHINGTON – The U.S. Department of the Treasury's Office of Foreign Assets Control (OFAC) today designated three individuals in response to the North Korean regime's ongoing and serious human rights abuses and censorship. Treasury is taking this action in conjunction with the State Department's "Report on Serious Human Rights Abuses and Censorship in North Korea," which is being submitted in accordance with the North Korea Sanctions and Policy Enhancement Act of 2016 (NKSPEA).

"Treasury is sanctioning senior North Korean officials who direct departments that perpetrate the regime's brutal state-sponsored censorship activities, human rights violations and abuses, and other abuses in order to suppress and control the population. These sanctions demonstrate the United States' ongoing support for freedom of expression, and opposition to endemic censorship and human rights abuses," said Treasury Secretary Steven T.

Mnuchin. "The United States has consistently condemned the North Korean regime for its flagrant and egregious abuses of human rights and fundamental freedoms, and this Administration will continue to take action against human rights abusers around the globe."

Today's actions shine a spotlight on North Korea's reprehensible treatment of those in North Korea, and serve as a reminder of North Korea's brutal treatment of U.S. citizen Otto Warmbier, who passed away 18 months ago. Otto would have turned 24 years old on December 12, and his parents Fred and Cindy Warmbier and the rest of his family continue to mourn for him. President Trump pledged in his 2018 State of the Union address that the United States

will “honor Otto’s memory with American resolve.” Today’s actions are part of this Administration’s continued efforts to highlight North Korea’s abysmal human rights record, and to speak out for those who cannot speak for themselves.

Today’s designations were issued pursuant to Executive Order 13687, which targets, among others, officials of the Government of North Korea and the Workers’ Party of Korea (WPK), and are consistent with the provisions of NKSPEA. Individuals designated today are senior officials of previously sanctioned government bodies, including the Ministry of State Security (MSS), the Ministry of Public Security, WPK Organization and Guidance Department (OGD), and the WPK Propaganda and Agitation Department (PAD).

OFAC designated Jong Kyong Thaek, the Minister of State Security, pursuant to E.O. 13687 for being an official of the Government of North Korea and of the WPK. According to the Department of State report, Jong Kyong Thaek plays a role in directing the censorship activities and abuses perpetrated by the MSS. The MSS was designated previously pursuant to E.O. 13722 for having engaged in, facilitated, or been responsible for an abuse or violation of human rights by the Government of North Korea or the WPK.

OFAC designated Choe Ryong Hae, the Director of the OGD, pursuant to E.O. 13687 for being an official of the WPK. Choe Ryong Hae is reportedly seen as the “Number Two” official with control over the party, government, and military. The OGD is a powerful body of the North Korean regime, is instrumental in implementing censorship policies, and purports to control the political affairs of all North Koreans. The OGD also assumes oversight responsibilities over organizations undergoing party audits to inspect for ideological discipline. When a party official deviates from the official message in public remarks, the OGD reportedly will dispatch an official to monitor a self-criticism session. Choe Ryong Hae is also a member of several powerful WPK committees, including Vice Chairman of the Executive Policy Bureau of the WPK Central Committee.

OFAC also designated Pak Kwang Ho, the Director of the PAD, pursuant to E.O. 13687 for being an official of the WPK. According to the Department of State report, in his capacity as the Director of the PAD, Pak Kwang Ho is responsible for maintaining ideological purity and managing the general censorship functions of the PAD, furthering the suppression of freedom of speech, expression, and censorship. The PAD is said to maintain oppressive information control and is responsible for indoctrinating the people.

Today’s Department of State report highlights the role of three groups responsible for implementing strict censorship and restricting access to foreign media. These groups are composed of personnel from the Government of North Korea and the WPK, whose property and

interests in property were blocked in 2016. These groups — which go by various numbered identifications such as Group 109, Group 118, and Group 114 — reportedly conduct warrantless searches for unapproved foreign media or content, inspect and confiscate computer content, including external storage devices, and even kidnap defectors or foreign citizens who support human rights in North Korea.

Human rights abuses undermine the values that form an essential foundation of stable, secure, and functioning societies; have devastating impacts on individuals; weaken democratic institutions; degrade the rule of law; perpetuate violent conflicts; facilitate the activities of dangerous persons; and undermine economic markets. The United States seeks to impose tangible and significant consequences on those who commit serious human rights abuse, as well as to protect the financial system of the United States from abuse by these same persons.

In total, since January of 2017, Treasury has taken action against over 500 individuals and entities engaged in activities related to, or directly involving, human rights abuse, including actions like today under the North Korea program and other programs such as Global Magnitsky, Syria, South Sudan; the Democratic Republic of the Congo, Venezuela, Russia, Iran, and other sanctions programs. Treasury has also published advisories to U.S. financial institutions on human rights abuses enabled by corrupt senior foreign political figures and their financial facilitators that can be found [here](#), as well as advisories related to some of the programs listed above, which can be found [here](#).

As a result of today's actions, any property or interests in property within (or transiting) U.S. jurisdiction of those designated by OFAC are frozen. Additionally, transactions by U.S. persons involving the designated persons are generally prohibited. For identifying information on the individuals designated today, click [here](#).



2018/12/10

North Korea Designations

U.S. DEPARTMENT OF THE TREASURY

Resource Center

North Korea Designations

12/10/2018

OFFICE OF FOREIGN ASSETS CONTROL
Specially Designated Nationals List Update

The following individuals have been added to OFAC's SDN List:

CHOE, Ryong Hae (a.k.a. CH'OE, Ryong-hae); DOB 15 Jan 1950; Gender Male; Secondary sanctions risk: North Korea Sanctions Regulations, sections 510.201 and 510.210; Director of the Workers' Party of Korea Organization and Guidance Department (Individual) [DPRK2].

JONG, Kyong Thae (a.k.a. CH'ONG, Kyo'ng-taek), Pyongyang, Korea, North; DOB 01 Jan 1961 to 31 Dec 1963; Gender Male; Secondary sanctions risk: North Korea Sanctions Regulations, sections 510.201 and 510.210; Minister of State Security (Individual) [DPRK2].

PAK, Kwang Ho (a.k.a. PAK, Kwang-ho); DOB 01 Jan 1946 to 31 Dec 1948; Gender Male; Secondary sanctions risk: North Korea Sanctions Regulations, sections 510.201 and 510.210; Director of the Propaganda and Agitation Department (Individual) [DPRK2].

In addition, users of OFAC's sanctions list data should review this important announcement that OFAC released in late October of 2018.

