

## 中華民國證券投資信託暨顧問商業同業公會 函

地址：10459 台北市中山區長春路145號3樓

承辦人：林采蓉

電話：(02)2581-7288#206

傳真：(02)2581-7388

電子信箱：Tsaijung.Lin@sitca.org.tw

(郵遞區號)

(地址)

受文者：

發文日期：中華民國108年1月3日

發文字號：中信顧字第1080050006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14日公告新增3名個人及6個實體於制裁名單（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108年1月2日金管證券字第10703484891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

機關地址：新北市板橋區縣民大道二段7號  
18樓

聯絡人：鄭先生

聯絡電話：(02) 27747266

傳 真：(02) 87734411

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108年1月2日

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密等及解密條件或保密期限：

附件：如主旨(第一件 A45020000DORGUNIT108010203484891A2B348489.PDF)

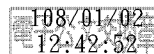
主旨：有關美國財政部107年12月14日公告新增3名個人及6個實體於制裁名單（SDN list）一案，請轉知所屬會員，如發現疑似洗錢或資恐交易，請向法務部調查局申報，並注意該等交易風險，請查照。

說明：

- 一、依據駐美國代表處經濟組107年12月14日經美字第1070001495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14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）



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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檔 號：

保存年限：

## 駐美國代表處經濟組 函

地址：4301 Connecticut Ave., N.W., Suite 420, Washington, DC 20008

承辦人：趙堅集

電話：(202)686-6400#112

傳真：(202)363-6294

Email：ccchao@moea.gov.tw

受文者：金融監督管理委員會

發文日期：中華民國107年12月14日

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速別：普通件

密等及解密條件或保密期限：

附件：如文(1070001495\_Attach1.docx、1070001495\_Attach2.pdf)

主旨：陳報美國財政部公告新增3名個人與6個實體於制裁名單(SDN list)事，敬請查照。

說明：

一、美財政部於本(2018)年12月14日發布新聞稿略以，該部外國資產管制局(OFAC)以藉由供應士兵與軍火等方式，而介入並惡化南蘇丹境內衝突為由，顯悖於美國協助降低該區域衝突與建立長久和平之目標，將包括曾涉及種族衝突之南蘇丹前Gogrial省長Gregory Vasili與提供軍火之南蘇丹富商Obac William Olawo、以色列退役少將Israel Ziv等3人，及O氏與Z氏分別掌控之各3個實體納入制裁清單，凍結渠等於美國境內之資產與交易。

二、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

2018/12/17  
交 11:45:16 章



## PRESS RELEASES

# Treasury Sanctions Three Individuals for Their Roles in the Conflict in South Sudan

December 14, 2018

*Actions Demonstrate U.S. Commitment to Stabilizing South Sudan*

Washington – Today, the U.S. Department of the Treasury’s Office of Foreign Assets Control (OFAC) imposed sanctions on three individuals pursuant to Executive Order (E.O.) 13664: Israel Ziv and Obac William Olawo, for being leaders of entities whose actions have the purpose or effect of expanding or extending the conflict in South Sudan, and Gregory Vasili, for actions that have undermined peace, stability, and security in South Sudan. Additionally, OFAC designated six entities for being owned or controlled by two of the aforementioned individuals. The behavior of each designated person stands in direct opposition to significant U.S. efforts to help those affected by the conflict in South Sudan and establish a lasting peaceful resolution to the current conflict.

“Treasury is targeting individuals who have provided soldiers, armored vehicles, and weapons used to fuel the conflict in South Sudan. We are intent on holding accountable those who profit off the misery and suffering of the South Sudanese people and facilitate violence against civilians,” said Sigal Mandelker, Under Secretary of the Treasury for Terrorism and Financial Intelligence. “As the United Nations Security Council recently highlighted, hundreds of women and girls within the last few weeks have been raped and attacked as part of a horrifying escalation in sexual violence in South Sudan. The United States will be relentless in its efforts to identify those who profit from these conflicts and isolate them from the U.S. and international financial system. We will not hesitate to target those who commit these atrocities, interfere with the delivery of humanitarian assistance, and undermine the peace and stability of South Sudan.”

Today's action aligns with the designations of three South Sudanese individuals in September 2017 for actions or policies that threaten the peace, security, or stability of South Sudan. In addition, these actions recall the Financial Crimes Enforcement Network's (FinCEN) September 2017 Advisory to U.S. financial institutions about the possibility that certain South Sudanese political figures may try to use the U.S. financial system to move or hide proceeds of public corruption. FinCEN's Advisory describes South Sudanese corruption and reminds financial institutions of their due diligence and suspicious activity report (SAR) filing obligations related to senior foreign political figures. FinCEN has also published advisories to U.S. financial institutions on human rights abuses enabled by corrupt senior foreign political figures and their financial facilitators.

As a result of today's action, any property or interests in property of those designated by OFAC that is within or transiting U.S. jurisdiction or the possession or control of a U.S. person must be blocked and reported to OFAC. OFAC's regulations generally prohibit all transactions by U.S. persons or within or transiting the United States that involve any property or interests in property of a designated person. Such property includes all property of entities 50 percent or more owned by one or more designated persons. Further details on these designations are included below.

## THE CONFLICT IN SOUTH SUDAN

According to credible public reports, an estimated 382,000 individuals have died, and more than 4 million have been displaced, as a result of the conflict that has plagued South Sudan since December 2013. The December 2017 cessation of hostilities and September 2018 peace agreement have been only partially implemented, and reports describing the use of child soldiers and indiscriminate violence—including horrific instances of the use of sexual violence against hundreds of women and girls in government-controlled parts of the country—continue to this day. Famine looms once again in multiple areas of South Sudan, and more than five million people will face life-threatening hunger in the coming year. Concurrently, endemic corruption has resulted in the unchecked exploitation of South Sudan's natural resources, with public reporting demonstrating that the issue expands beyond the borders of South Sudan and involves external actors who have enabled and supported conflict in South Sudan in order to make a profit. These and other human rights abuses and endemic corruption continue to undermine the ability to form the essential foundation of a stable, secure, and functioning society; have devastating impacts on individuals; weaken democratic institutions; degrade the

rule of law; perpetuate violent conflict; facilitate the activities of dangerous persons; and undermine economic markets.

Nevertheless, the United States applauds the efforts of our regional and international allies to work towards an end to this horrible conflict, and we remain committed to working in support of the citizens of South Sudan as they continue down the path toward justice, liberty, prosperity, and peace. In support of our partners' efforts and the United States' commitment to seeing a peaceful and prosperous South Sudan, as well as to protect the financial system of the United States from abuse, the Treasury Department will continue to impose tangible and significant consequences on those who commit serious human rights abuse or engage in corruption. The United States calls on leaders of this peace process to take swift action against the perpetrators of any and all violence, including the recent disturbing reports of sexual violence, or other activities that undermine the peace, security, or stability of South Sudan. The United States' decision to sanction these individuals should serve as a warning to all to stop such behavior immediately and respect the peace process and the UN arms embargo. We will continue to focus on those interrupting or preventing the peace process, engaging in corruption, and preventing distribution of humanitarian aid.

## GREGORY VASILI

Gregory Vasili (Vasili) is a South Sudanese individual who has facilitated the transportation of South Sudanese soldiers and tanks to and from locations in South Sudan, and has been involved in brokering deals for the sale of military equipment to the Government of South Sudan. In addition, while governor of Gogrial State in South Sudan in 2017, Vasili oversaw an explosion of intra-clan ethnic violence that resulted in scores of civilians being killed and thousands displaced from their homes. According to public reports, following his early 2017 appointment as governor, Vasili provided arms to and commanded a militia to assist individuals from his own clan who were engaged in conflict with a competing clan. The Government of South Sudan removed Vasili from his position as governor in late 2017, with some attributing his removal to that intra-clan conflict, but since that time he has taken multiple trips to the region to mobilize tribal militiamen, including to pay authorities to secure the release of another individual who had been mobilizing local militias. Separate from his aggravation of local conflict, Vasili has been involved in various illicit activities, including involvement in a major food procurement scandal and winning gas contracts from the South Sudanese military while he was still serving in it.

## ISRAEL ZIV

Israel Ziv (Ziv) is a retired Israeli Defense Forces Major General, who has supplied both the Government of South Sudan and the opposition with weapons and ammunition. Ziv used an agricultural company that was nominally present in South Sudan to carry out agricultural and housing projects for the Government of South Sudan as a cover for the sale of approximately \$150 million worth of weapons to the government, including rifles, grenade launchers, and shoulder-fired rockets. Ziv has been paid through the oil industry and has had close collaboration with a major multi-national oil firm. While Ziv maintained the loyalty of senior Government of South Sudan officials through bribery and promises of security support, he has also reportedly planned to organize attacks by mercenaries on South Sudanese oil fields and infrastructure, in an effort to create a problem that only his company and affiliates could solve.

OFAC also designated three entities organized in Israel that are owned or controlled by Ziv: Global N.T.M Ltd, Global Law Enforcement and Security Ltd, and Global IZ Group Ltd.

## OBAC WILLIAM OLAWO

Obac William Olawo (Olawo) is a wealthy South Sudanese businessman who has routinely imported standard and armored vehicles for the Government of South Sudan, and as of mid-2018 was engaged in the trade and shipment of arms and armaments to South Sudan. According to public reports, in 2014 alone, an entity owned by Olawo received millions of dollars from the Government of South Sudan for its work importing armored cars and transporting weapons and troops, and in April and May of 2015, one of Olawo's entities was identified transporting soldiers, arms, and supplies in support of a government offensive.

OFAC also designated three entities in South Sudan that are owned or controlled by Olawo: Golden Wings Aviation, Crown Auto Trade, and Africana General Trading Ltd.

Identifying information on the individuals designated today.



2018/12/14

South Sudan-related Designations

## U.S. DEPARTMENT OF THE TREASURY

## Resource Center

## South Sudan-related Designations

12/14/2018

## OFFICE OF FOREIGN ASSETS CONTROL

## Specially Designated Nationals List Update:

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

DIMITRY, Gregory Vasili (a.k.a. ADUOL, Gregory Deng Kuac; a.k.a. KUAC, Gregory Deng; a.k.a. KUACH, Gregory Deng; a.k.a. YALOURIS, Gregory Vasilis Dimitry), Juba, South Sudan; DOB 01 Jan 1961; POB Ajogo, South Sudan; nationality South Sudan; Gender Male (individual) [SOUTH SUDAN].

OLAWO, Obac William (a.k.a. OLAH, Ubac William; a.k.a. OLAU, Obaj William), South Sudan; DOB 01 Jan 1962; POB Malakal, South Sudan; Gender Male; Passport M6200000021304 (South Sudan) (individual) [SOUTH SUDAN].

ZIV, Israel (a.k.a. ZILBERSTEIN, Israel Baruch; a.k.a. ZIV, Israel Baruch; a.k.a. ZIV, Yisrael), Haela 16, Har Hadar, Israel; Haela 40, Har Adar, Israel; DOB 06 Jul 1957; nationality Israel; Gender Male; Passport 29037166 (Israel); National ID No. 5490537 (individual) [SOUTH SUDAN].

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

AFRICANA GENERAL TRADING LTD, Plot No. 297, Block BYVI, 3rd Floor Office No. 33, Juba, South Sudan [SOUTH SUDAN] (Linked To: OLAWO, Obac William).

CROWN AUTO TRADE (a.k.a. CROWN AUTO TRADING; a.k.a. CROWN AUTOMOBILES), Havana Street, Juba, South Sudan [SOUTH SUDAN] (Linked To: OLAWO, Obac William).

GLOBAL IZ GROUP LTD (a.k.a. ZIV HG LTD), 7 Metzada, Bnei Brak 5126112, Israel; Business Registration Number 514033703 (Israel) [SOUTH SUDAN] (Linked To: ZIV, Israel).

GLOBAL LAW ENFORCEMENT AND SECURITY LTD (a.k.a. "GLS"), 2 Granit, Petah Tikva 4951446, Israel; Business Registration Number 514151331 (Israel) [SOUTH SUDAN] (Linked To: GLOBAL N.T.M LTD).

GLOBAL N.T.M LTD (a.k.a. CST GLOBAL; a.k.a. GLOBAL CST; a.k.a. "GLOBAL GROUP"; a.k.a. "GREEN HORIZON"), 11 Granit Street, P.O. Box 49514, Petach-Tikva 49514, Israel; 2 Granit, Petah Tikva 4951446, Israel; Business Registration Number 513884569 (Israel) [SOUTH SUDAN] (Linked To: ZIV, Israel).

GOLDEN WINGS AVIATION, Juba, South Sudan; Wau, South Sudan; Regency Hotel, Ground Floor, Khartoum, Sudan; Rumbek, South Sudan; Awel Grand Market, Awel, South Sudan; Yida Grand Market, Yida, South Sudan; Asmara, Eritrea [SOUTH SUDAN] (Linked To: OLAWO, Obac William).

