



The Government of the Republic of Trinidad and Tobago  
Ministry of the Attorney General and Legal Affairs

THE ANTI-TERRORISM UNIT

# GUIDANCE ON ASSESSING NAME MATCHES FOR TARGETED FINANCIAL SANCTIONS

## 1. Introduction

This document is intended to assist Financial Institutions, Listed Businesses, Non-Profit Organizations and members of the public in understanding how to determine whether an individual or entity is a “listed entity”.

## 2. What is a listed entity?

As a Member of the United Nations, Trinidad and Tobago is bound by the decisions of the United Nations Security Council. These decisions are set out in United Nations Security Council Resolutions (UNSCRs) and include measures to protect global peace and security. Several UNSCRs are aimed at protecting against the threats of terrorism and the proliferation of weapons of mass destruction and require countries to take specified measures against individuals and entities:

- Identified by the United Nations Security Council or a specified subsidiary body; or
- Identified by the country based on criteria determined by the United Nations Security Council.

Such individuals and entities are referred to as “listed entities.”

## 3. What are the laws that set out listed entities?

The specified measures referred to above must be taken in accordance with the laws of the country. In Trinidad and Tobago listed entities are identified in accordance with:

- The Anti-Terrorism Act, Chap. 12:07 (“the ATA”);
- The Economic Sanctions (Implementation of United Nations Resolutions on the Democratic People’s Republic of Korea) Order, 2018<sup>1</sup>, (“the DPRK Order”); and
- The Economic Sanctions (Implementation of United Nations Resolutions on the Islamic Republic of Iran) Order, 2018<sup>2</sup> (“the Iran Order”).

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<sup>1</sup> Legal Notice No.184 of 2018

<sup>2</sup> Legal Notice No. 185 of 2018

Specific guidance on each of the regimes created by the ATA, DPRK Order and Iran Order respectively can be found at the following links:

- [GUIDANCE TO THE PUBLIC ON OBLIGATIONS AND RIGHTS IN RESPECT OF THE PROLIFERATION OF WEAPONS OF MASS DESTRUCTION](#)
- [GUIDANCE TO THE PUBLIC ON OBLIGATIONS AND RIGHTS IN RESPECT OF ANTI-TERRORISM](#)

#### **4. Where can I find information on listed entities?**

The ATA, DPRK Order and Iran Order require the Financial Intelligence Unit and the Office of the Attorney General to maintain and publish the respective lists of listed entities (“sanctions list”) containing as much identifier information as is available. These lists can be found at the following links:

- [LIST OF ENTITIES AND NOTICES UNDER THE DPRK & IRAN ORDERS](#)
- [FIU's LIST OF ENTITIES AND NOTICES UNDER THE IRAN & DPRK ORDERS](#)
- [LIST OF ENTITIES UNDER THE ATA](#)

#### **5. How do I determine whether I have a name match?**

##### **5.1 If you are dealing with a transaction:**

**Step 1.** Compare the name in your transaction<sup>3</sup> with the name on the sanctions list. Is the name in your transaction an individual while the name on the sanctions list is a vessel, organization or company (or vice-versa)?

- If yes, you do not have a valid match.\*
- If no, please continue to step 2 below.

**Step 2.** How much of the listed entity’s name is matching against the name in your transaction? Is just one of two or more names matching (e.g., just the last name)?

- If yes, you do not have a valid match.\*
- If no, please continue to step 3 below.

**Step 3.** Compare the complete sanctions list entry with all of the information you have on the matching name in your transaction. An entry often will have, for example, a full name, address, nationality, passport, ID or driver’s permit number, place of birth, date of birth, former names and aliases. Are you missing a lot of this information for the name in your transaction?

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<sup>3</sup> For NPOs, transactions include both receiving donations from donors and the NPO disbursing funds or other resources to grantees.

- If yes, go back and get more information and then compare your complete information against the entry.
- If no, please continue to step 4 below.

**Step 4.** Are there a number of similarities or exact matches?

- If yes:
  - you should inform the FIU. Do so by
    - completing an economic sanctions report which is available at the following link <http://www.fiu.gov.tt/content/Trinidad%20and%20Tobago%20Suspicious%20Activity%20Report%20Form%20May%2018%202016.pdf> if your suspicion is based on a match under the Economic Sanctions Regime;
    - completing a terrorism financing report which is available at the following link <http://www.fiu.gov.tt/content/Terrorist%20Funds%20Report%20May%2018%202016.pdf> if your suspicion is based on a match under the ATA;
    - completing a suspicious activity report<sup>4</sup> which is available at the following link <http://www.fiu.gov.tt/content/Trinidad%20and%20Tobago%20Suspicious%20Activity%20Report%20Form%20May%2018%202016.pdf> if your suspicion is based on terrorist property; or
    - calling the FIU hotline at 1-868-625-8351 or 1-868-627-0656
  - you should not proceed with the transaction<sup>5</sup>.

**5.2 If you are dealing with an account:**

**Step 1.** Compare the name of your customer<sup>6</sup> with the name on the sanctions list. Is the name of your customer an individual while the name on the sanctions list is a vessel, organization or company (or vice-versa)?

- If yes, you do not have a valid match.\*
- If no, please continue to step 2 below.

**Step 2.** How much of the listed entry's name is matching against the name of your account holder? Is just one of two or more names matching (i.e., just the last name)?

- If yes, you do not have a valid match.\*

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<sup>4</sup> Section 22AB(d) of the ATA; Clauses 9(1)(b) and 9(2) of the Iran Order; and Clause 9(1)(b) and 9(2) of the DPRK Order respectively require Financial Institutions and Listed Businesses to take this step.

<sup>5</sup> Section 22AB(d) of the ATA; Clause 9(2) of the Iran Order; and Clause 9(2) of the DPRK Order respectively prohibit Financial Institutions and Listed Businesses from proceeding with these transactions.

<sup>6</sup> For NPOs, "customer" here refers to its own key employee, grantee, donor or any key employee, member of the governing body, or other senior management of its grantee or donor as appropriate.

- If no, please continue to step 3 below.

**Step 3.** Compare the complete sanctions list entry with all of the information you have on the matching name in your transaction. An entry often will have, for example, a full name, address, nationality, passport, ID or driver's permit number, place of birth, date of birth, former names and aliases. Are you missing a lot of this information for the name of your account holder?

- If yes, go back and get more information and then compare your complete information against the entry.
- If no, please continue to step 4 below.

**Step 4.** Are there a number of similarities or exact matches?

- If yes:
  - you should inform the FIU. Do so by
    - completing an economic sanctions report which is available at the following link <http://www.fiu.gov.tt/content/Trinidad%20and%20Tobago%20Suspicious%20Activity%20Report%20Form%20May%2018%202016.pdf> if your suspicion is based on a match under the Economic Sanctions Regime;
    - completing a terrorism financing report which is available at the following link <http://www.fiu.gov.tt/content/Terrorist%20Funds%20Report%20May%2018%202016.pdf> if your suspicion is based on a match under the ATA;
    - completing a suspicious activity report<sup>7</sup> which is available at the following link <http://www.fiu.gov.tt/content/Trinidad%20and%20Tobago%20Suspicious%20Activity%20Report%20Form%20May%2018%202016.pdf> if your suspicion is based on terrorist property; or
    - calling the FIU hotline at 1-868-625-8351 or 1-868-627-0656
- If no, you do not have a valid match.\*

## 6. "Low quality" aliases (AKAs)?

Financial institutions, Listed Businesses, Non-Profit Organizations and members of the public must make screening decisions based on their particular circumstances and compliance approach.

Sanctions lists will include as much identifier information as is available at the time of designation and entries are updated as further information becomes available. This may include multiple aliases or "AKAs." A "low-quality AKA" is a term for a relatively broad or generic alias that may potentially generate a large volume of false hits if relied on in isolation

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<sup>7</sup> Section 22AB(d) of the ATA; Clauses 9(1)(b) and 9(2) of the Iran Order; and Clause 9(1)(b) and 9(2) of the DPRK Order respectively require Financial Institutions and Listed Businesses to take this step.

from other information. These AKAs are included in designations based on available information and may include, for example, names by which the listed entities refer to themselves or are referred to by third parties. As a result, these AKAs may be useful for identification purposes in confirming a possible "hit" or "match" triggered by other identifier information.

## **7. Where can I get more information?**

For further information, please contact the Anti-Terrorism Unit, Ministry of the Attorney General via the following contact information:

The Anti-Terrorism Unit,  
Ministry of the Attorney General and Legal Affairs,  
Level 21 AGLA Tower,  
Cor. London & Richmond Streets,  
Port of Spain  
Tel: (868) 223-AGLA (2452) ext. 3772 or 3800  
Fax: (868) 226-5145  
E-mail: [antiterrorismunit@ag.gov.tt](mailto:antiterrorismunit@ag.gov.tt)

### **NOTICE**

This document has been prepared for information purposes only and does not relieve you of any obligation under the laws of Trinidad and Tobago. Members of the public should familiarize themselves with the Anti-Terrorism act, the Economic Sanctions Act, the Iran Order and DPRK Order and all other relevant laws. This document is not intended as and does not constitute legal advice. Each case is unique and members of the public should seek the advice of a qualified attorney-at-law with respect to their particular case.

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\* If you still have reason to know or believe that processing this transaction or operating this account would violate any provision of the ATA, Iran Order or DPRK Order, you should call the FIU hotline and explain this knowledge or belief.