

Summary

Check Type:

Enhanced AML + Document Check

Status:

Completed

Reference:

23 Cvl 055 Abe

Requested for:

Mahesh Kotecha

Requested by:

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Request Date:

December 14, 2023

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GBR

November 9, 2031



PEPs & Sanctions Completed

PEPs, Sanctions & Adverse Media History

Status	Risk Level	Completed Date
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No Match	Unknown	At 4:48 PM on December 14, 2023
Potential Match	Low	At 4:48 PM on December 14, 2023

PEPs, Sanctions & Adverse Media Sources

Africa 5 / 5

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- ✓

Economic and Financial Crimes Commission Warnings and Convictions
- ✓

Nigeria Securities Exchange Commission
- ✓

South Africa Police Service
- ✓

African Development Bank Debarment and Sanctions
- ✓

Mauritius Independent Commission Against Corruption

Asia-Pacific 41 / 41

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- ✓

DFAT Australia List
- ✓

Australian National Security Terrorism List
- ✓

Australia ARPA Disqualifications
- ✓

Australia ASIC Notices
- ✓

Australia Disqualified Officers
- ✓

ASIC Disqualified Organisations
- ✓

China Securities and Futures
- ✓

Commission Enforcements
- ✓

China Banking Regulatory
- ✓

Commission Administrative Penalties
- ✓

Warnings China Economic Fugitives
- ✓

China Hong Kong Securities and Futures Commission Alert List
- ✓

Hong Kong Most Wanted
- ✓

Hong Kong Monetary Authority
- ✓

Hong Kong Securities Futures Commission
- ✓

CBI Wanted List
- ✓

Security and Exchange Board Enforcement
- ✓

India NIA Most Wanted

✓ India CBI Reward List

✓ India CBI Red Yellow List

✓ India Competition
Commission

✓ Japan Financial Services
Agency

✓ Japan Financial Services
Agency list of Unregistered
Financial Trading
Companies

✓ Bank Negara Malaysia
Enforcement Actions

✓ Malaysia Securities
Commission Compounded
Cases

✓ Malaysia Securities
Commission Administrative
Actions

✓ Malaysia Securities
Commission Criminal
Prosecutions

✓ Securities Commission
Malaysia - Sanctions

✓ Bank Negara Malaysia -
Invalid Licenses

✓ Bank Negara Malaysia -
Companies receiving
Warning Letters

✓ New Zealand FMA

✓ New Zealand Police

✓ New Zealand Putea Matua
Reserve Bank

✓ New Zealand Serious
Fraud Office

✓ Philippines Police Most
Wanted

✓ Philippines Securities and
Exchange Commission

✓ Singapore Police Force

✓ Singapore Monetary
Authority Investor Alerts

✓ Thailand Securities and
Exchange Commission

✓ Belgium Federal Police
Wanted

✓ Court of Bosnia and
Herzegovina Cases



Federal Public Service
National Financial
Sanctions



France Liste Unique de
Gels



Cyprus Securities and
Exchange Commission
Warnings



Office for the Protection of
Competition



Denmark Finanstilsynet
Warnings



Danish Financial Services
Authority Warnings



EU Most Wanted



European Commission
Banned Airlines



European Bank ineligible
entities



FIN-FSA Finanssivalvonta
Finansinspektionen



Hellenic Capital Market
Commission



Guernsey Registry -
Disqualified Directors and
Involuntary Strike-Offs



Gazdasagi Versenyhivatal
Decisions



Hungarian Competition
Authority



Central Bank Warnings



Companies Registration
Office



Ireland Revenue Defaulters
List



Isle of Man Employment
Decisions Tribunals



Isle of Man Courts Ordinary
Procedure



FSC Disqualified
Commission



Israel Antitrust Authority
Enforcement Activity



Banca D'Italia Disciplinary
Measures



National Bank of
Kazakhstan



Malta Financial Intelligence
Unit Administrative
Penalties



Individual Voluntary
Arrangement Register



Pakistan National
Accountability Bureau



Polish Financial
Supervision Authority



Comissão Do Mercado De
Valores Mobiliários



Romania Most Wanted List



Saudi Arabia Washington
Embassy



Finansinspektionen



Switzerland FINMA
Unauthorized Services



Tajikistan Ministry of
Internal Affairs Wanted



Dubai Financial Services
Authority Alerts



FCA Warnings



UK Crimestoppers Most
Wanted

✓ Financial Services
Commission Public
Statements

✓ Court of Appeal Criminal
Division

✓ United Kingdom Serious
Fraud Office

✓ National Crime Agency
Most Wanted

✓ FCA Final Notices -
enforcement

✓ Disqualified Directors
Register

✓ FCA Unauthorised Firms
and Individuals

✓ Solicitors' Disciplinary
Tribunal

✓ The Gazette - Insolvency
Notices

✓ HM Treasury List

United States and Canada 110 / 110

✓ Canada OSFI Entity List

✓ Canada OSFI Person List

✓ Canada's Freezing Assets
of Corrupt Foreign Officials

✓ Public Safety Canada
Listed Entities

✓ Special Economic
Measures Act - Sanctions

✓ Canadian Sanctions Justice
for Victims of Corrupt
Foreign Officials Act

✓ Alberta Securities
Commission Decisions and
Orders

✓ British Columbia Securities
Commission Cease Trade
Orders

✓ British Columbia Securities
Commission Disciplined
Persons List

✓ British Columbia Securities
Commission Denied
Persons List

✓ British Columbia Insurance
Council Disciplinary
Decisions

✓ Calgary Police Service

✓ Canada Border Services
Agency Wanted

✓ Canadian Securities
Administrators Disciplined
Persons

✓ Canada Chartered
Professional Accountant of
Ontario

✓ Canada Competition
Bureau

✓ Canada Investment
Industry Regulatory
Organisation

✓ Canada Law Society
Tribunal



Canada Mutual Fund Dealers



Public Notice Of Administrative Monetary Penalties



Canada Public Notices Financial Transactions and Reports Analysis Center



Royal Canadian Mounted Police Wanted List



Canadian Securities Commission



Canadian Securities Commission Investor Alerts



Canada OSFI Warnings Notices



Edmonton Police Service



Manitoba Insurance Council Disciplinary Decisions



Manitoba Securities Commission



Montreal Exchange Disciplinary Decisions



New Brunswick Financial and Consumer Services Tribunal



Newfoundland and Labrador Cease Trade Orders



Nova Scotia Securities Commission Enforcement Proceedings



Ontario Financial Services Commission



Ontario Financial Services



Ontario Provincial Police



Ontario Securities Commission



Peel Regional Police



Québec Chambre De La Sécurité Financière



Québec Bureau de Décision et de Révision



Québec Secretariat of the Council of the Treasury



Saskatchewan Financial Services



Saskatchewan Insurance Councils Disciplinary Decisions



Toronto Most Wanted



Alabama Baldwin and Etowah County Inmates



Alabama Calhoun County Inmates



Alabama Cherokee and Franklin County Inmates



Alabama Department of Corrections



Alabama Fayette County Inmates



Alabama Medicaid Suspended Providers



Arkansas Department of Health Excluded Providers List



Arkansas Real Estate Commission Warnings



Chicago Board Options Exchange Disciplinary



Connecticut Department of Social Services



District of Columbia Excluded Parties List

Administrative Actions List

✓ FBI Most Wanted

✓ Federal Deposit Insurance Corporation Failed Bank List

✓ FINCEN Money Laundering Concern List

✓ Florida Agency for Healthcare Admin Medicaid Sanctioned Providers

✓ Florida Department of Corrections

✓ Foreign Agents Registrations

✓ Georgia OIG Exclusions List

✓ Guantanamo Bay Detainees

✓ Hawaii Medicaid Excluded Providers

✓ Inter-American Development Bank

✓ Kentucky Medicaid Termination and Exclusion List

✓ Louisiana Department of Health Hospitals Exclusion List

✓ Maine Medicaid Exclusion List

✓ Maryland Department of Health Mental Hygiene Exclusions List

✓ Massachusetts Health and Human Services List of Suspended or Excluded Masshealth Providers

✓ Michigan Department of Community Health List of Sanctioned Providers

✓ Minnesota Department of Human Services Excluded Provider Lists

✓ Mississippi Gaming Commission Exclusion List

✓ Missouri Department of Social Services Medicaid List of Terminated Providers

✓ Montana Excluded or Terminated Medicaid Providers

✓ Nevada Gaming Control Board Excluded

✓ Nevada GCB Most Wanted

✓ New Jersey Office of the State Comptroller Consolidated Debarment Report

✓ New York Office of the Medicaid Inspector General List of Exclusions

✓ NYSE Non Compliant Issuers

✓ NYSE Regulation: Disciplinary Actions

✓ Ohio Department of Corrections Wanted

✓ SEC Trading Suspensions

✓ US Air Force Fugitives

✓ US Arizona Department of Insurance

✓ US Army Most Wanted

✓ US Bureau of Alcohol Tobacco Firearms and Explosives Commission Most Wanted

✓ US Consumer Financial Protection Bureau

✓ US DEA Fugitives

✓ US Department of Commerce Denied Persons

✓ US Department of Housing and Urban Development Limited Denials of Participation

✓ US Department of State Consent Agreements

✓ US FDA Clinical Investigators Disqualification Proceedings

✓ US FDA Debarment List

✓ US FFIEC Failed Bank List

✓ US Financial Industry Regulatory Authority

✓ US Georgia Bureau of Investigation

✓ US Immigration and Customs Wanted

✓ US Indiana Most Wanted List

✓ US Marshals Wanted

✓ US Medicaid Exclusions Lists OIG LEIE

✓ US OCC Enforcement Actions List Archive

✓ US Office of the Comptroller of the Currency

✓ US Pennsylvania General Services Department Debarment List

✓ US Postal Inspection Service Most Wanted

✓ US Redding Most Wanted

✓ US Rewards for Justice

✓ US Securities and Exchange Commission Unregistered Soliciting Entities

✓ US State Department AECA Debarments

✓ US System for Award Management Exclusions

✓ US Nasdaq Trader PHLX Disciplinary Actions



Bahamas Central Bank



Belize Warning Notices



Bermuda Monetary
Authority



Brazil Civil Police Wanted



Brazil National Register of
Punished Companies
CNEP



Brazil National Registry Of
Ineligible And Suspended
Companies



Brazil Policia Federal Most
Wanted List



Brazil Register of Non-Profit
Entities CEPIM



Brazil Registration of
Federal Administration
Expulsions (CEAF)



Brazil Warnings Polícia Civil
Rio Grande do Sul Wanted



British Virgin Islands
Financial Services
Commission



Chile Unidad de Análisis
Financiero



Colombian Financial
Superintendence Costa
Rica Superintendencia
General De Segu



México Comisión Nacional
Bancaria y De Valores

International 9 / 9



Debarred Entities



Sanctioned Entities



Wanted Listed



Debarred List



Investor Alerts



UN Security Council List of
Designated Vessel



European Union Sanctions
List



European Council List of
Designated Vessels



European Council
Restrictive Measures on
Russian Entities