

# OFAC

Office of Foreign Assets Control

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## YEMEN SANCTIONS PROGRAM

*This document is explanatory only and does not have the force of law. Executive order 13611, applicable laws, and the implementing regulations pertaining to Yemen (31 C.F.R. Part 552) contain the legally binding provisions governing the sanctions. This document does not supplement or modify the Executive order or the regulations.*



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# SANCTIONS AGAINST PERSONS THREATENING THE PEACE AND SECURITY OR STABILITY OF YEMEN

## I. INTRODUCTION

The Yemen sanctions program implemented by the Office of Foreign Assets Control (OFAC) began on May 16, 2012, when the President issued Executive Order (E.O.) 13611 declaring a national emergency to deal with the unusual and extraordinary threat to the national security and foreign policy of the United States posed by the actions of individuals and entities that directly or indirectly threaten the peace, security, or stability of Yemen, including obstructing the implementation of the November 23, 2011 Gulf Cooperation Council (GCC) initiative between the Government of Yemen and those in opposition to it.

The GCC initiative resulted in the subsequent National Dialogue Conference (NDC), which outlined outcomes for political transition. In September 2014, Houthi rebels took Yemen's capital city of Sana'a by force, derailing the NDC political transition initiative and triggering a civil war between the Government of Yemen and the Houthi militias, who are supported by former President Ali Abdullah Saleh. The United Nations Security Council has played an active role in relation to Yemen, and the principal parties in this latest conflict are engaged in direct peace negotiations – which began in April 2015 and continue as of the date of this publication – based on United Nations Security Council Resolution 2216. The United States seeks a stable and unified Yemen and urges all sides to take steps to facilitate a political solution based on the GCC initiative and the outcomes of the NDC.

## II. OVERVIEW OF AUTHORITIES

On May 16, 2012, the President issued [E.O. 13611](#), pursuant to, *inter alia*, the International Emergency Economic Powers Act (50 U.S.C. §§ 1701 *et seq.*) and the National Emergencies Act (50 U.S.C. §§ 1601 *et seq.*). In E.O. 13611, the President declared a national emergency to deal with the unusual and extraordinary threat to the national security and foreign policy of the United States posed by the actions and policies of certain members of the Government of Yemen and other individuals and entities that threaten Yemen's peace, security, or stability.

On November 9, 2012, OFAC issued a set of regulations to implement E.O. 13611. See [31 C.F.R. part 552](#), the Yemen Sanctions Regulations (Regulations) for details.

Current Yemen sanctions block the property and interests in property of persons determined by the Secretary of the Treasury, after consultation with the Secretary of State, to:

- 1) Have engaged in acts that directly or indirectly threaten the peace, security, or stability of Yemen, such as acts that obstruct the implementation of the GCC agreement of November 23, 2011, between the Government of Yemen and those in opposition to it, which provides for a peaceful transition of power in Yemen, or that obstruct the political process in Yemen;
- 2) Be a political or military leader of an entity that has engaged in the acts described in the preceding bullet;
- 3) Have materially assisted, sponsored, or provided financial, material, or technological support for, or goods or services to or in support of, the acts described in the first bullet or any person whose property and interests in property are blocked pursuant to E.O. 13611; or
- 4) Be owned or controlled by, or to have acted or purported to act for or on behalf of, directly or indirectly, any person whose property and interests in property are blocked pursuant to E.O. 13611.

The names of individuals and entities designated pursuant to E.O. 13611, whose property and interests in property are therefore blocked, are published in the Federal Register and incorporated into OFAC's Specially Designated Nationals and Blocked Persons List (SDN List) with the identifier “[YEMEN].” The SDN List is available on OFAC's website at: <http://www.treasury.gov/sdn>.

*This brochure is a broad summary of the sanctions as of the date of publication. For an updated list of authorities and sanctions, please refer to the Yemen sanctions page on OFAC's website at: [www.treasury.gov/resource-center/sanctions/programs/pages/yemen.aspx](http://www.treasury.gov/resource-center/sanctions/programs/pages/yemen.aspx).*

### III. PROHIBITED TRANSACTIONS

Unless otherwise authorized or exempt, transactions by U.S. persons, or in or involving the United States, are prohibited if they involve transferring, paying, exporting, withdrawing, or otherwise dealing in the property or interests in property of an entity or individual listed on . The property and interests in property of an entity that is 50 percent or more owned, whether individually or in the aggregate, directly or indirectly, by one or more blocked persons are also blocked, regardless of whether the entity itself is listed on the SDN list. For details, please see: [http://www.treasury.gov/resource-center/sanctions/Documents/licensing\\_guidance.pdf](http://www.treasury.gov/resource-center/sanctions/Documents/licensing_guidance.pdf).

### IV. AUTHORIZED OR EXEMPT TRANSACTIONS

#### EXEMPT TRANSACTIONS

Certain types of activities and transactions may be exempt from the prohibitions of the Regulations and E.O. 13611. For example, nothing in Section 1 of E.O. 13611 prohibits transactions for the conduct of the official business of the Federal Government by employees, grantees, or contractors thereof.

#### GENERAL LICENSES

OFAC may authorize certain types or categories of activities and transactions, which would otherwise be prohibited by E.O. 13611, by issuing a general license. General licenses may be published in the Regulations or on OFAC's website. For example, the provision of certain legal services to or on behalf of persons whose property and interests in property are blocked pursuant to 31 C.F.R. § 552.201 is authorized, provided that all receipts of payment of professional fees and reimbursement of incurred expenses are specifically licensed. See 31 C.F.R. § 552.506. For an updated list of all general licenses relating to the Yemen sanctions program, please see 31 C.F.R. § 552 subpart E and visit: <http://www.treasury.gov/resource-center/sanctions/Programs/pages/yemen.aspx>.

#### SPECIFIC LICENSES

On a case-by-case basis OFAC considers applications for specific licenses to authorize transactions that are neither exempt nor covered by a general license. Requests for a specific license must be submitted to OFAC's Licensing Division. License requests may be submitted using any of these three methods:

- Online: <http://www.treasury.gov/resource-center/sanctions/Pages/licensing.aspx>
- Fax: (202) 622-1657
- Mail: Assistant Director for Licensing, Office of Foreign Assets Control, U.S. Department of the Treasury, 1500 Pennsylvania Avenue, NW, Freedman's Bank Building, Washington, DC 20220

### V. PENALTIES

Civil monetary penalties of up to the greater of \$250,000 (\$284,582 as of August 1, 2016 for violations occurring after November 2, 2015) or twice the amount of the underlying transaction may be imposed administratively against any person who violates, attempts to violate, conspires to violate, or causes a violation of any license, order, regulation or prohibition issued under IEEPA. Upon conviction, criminal penalties of up to \$1,000,000, imprisonment for up to 20 years, or both, may be imposed on any person who willfully commits or attempts to

commit, or willfully conspires to commit, or aids or abets in the commission of a violation of the any license, order, regulation or prohibition issued under IEEPA.

This document is explanatory only and does not have the force of law. Please see particularly E.O. 13611 and the implementing regulations pertaining to Yemen (31 C.F.R. part 552) for legally binding provisions governing the sanctions. This document does not supplement or modify E.O. 13611 or the Regulations.

OFAC administers a number of U.S. economic sanctions programs. OFAC sanctions programs can range from being comprehensive in nature, such as a program that blocks the entire government of a country and includes broad geographically-based trade restrictions, to being fairly limited, such as a program that targets only specific individuals and entities. Some programs both target particular individuals and entities and prohibit types of transactions. It is therefore important to review the details of any given sanctions program to understand its scope. It is also important to note that although a program may be targeted, the prohibitions in such programs on dealings with individuals and entities whose property and interests in property are blocked are very broad, and they apply regardless of where the targeted person is located. The names of individuals and entities that are designated or identified as blocked by OFAC are incorporated into the SDN List, which includes over 5,000 names of persons whose property and interests in property are blocked. Note, however, that the SDN List is not a comprehensive list of all such entities and individuals. The property and interests in property of an entity that is 50 percent or more owned, whether individually or in the aggregate, directly or indirectly, by one or more blocked persons are also blocked, regardless of whether the entity itself is listed on the SDN List.

*Please note that* OFAC maintains other sanctions lists that may have different prohibitions associated with them. Please see the “[Sanctions Programs and Country Information](#)” page for information on specific programs and other Treasury sanctions lists. Because OFAC’s programs are constantly changing, it is very important to check OFAC’s website on a regular basis. You may also wish to sign up for updates via OFAC’s email notification system, to receive notifications regarding changes to OFAC’s sanctions programs. For additional information about these programs or about sanctions involving Yemen please contact:

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