

NO	DESCRIPTION	SUPPORTIVE ARTICLE (IF APPLICABLE)	VIOLATION 1	VIOLATION 2	VIOLATION 3
1	Operating without getting necessary approvals or permits from federal or local authorities	NA	Official notice to comply and rectify within a specified period – maximum duration is 10 days from the notification date	Financial fines apply, which is equal to AED 2,500/per activity on monthly basis	Suspending all services and official licence block
2	Intentionally submitting forged, false, or misleading documents, details or information to obtain a licence	NA	AED 25,000	licence termination	NA
3	Delay in completing the registration or licensing procedure	NA	Hold on releasing the registration and licensing set/welcome pack until complied with the all relevant procedures	Right to decline the registration/licence submittal	NA
4	Delay in completing the de-registration procedure	NA	Absconding the sponsored visas on the 30th day from licence expiration date. Penalty value 1,500/per month for maximum of 6 months	Striking off the company (registration records and all issued licences) after completing 6 months from licence expiration date	NA
5	Failure to renew licence within maximum 6 months from licence expiration date.	NA	Absconding the company/owners/partners on the 30th day from licence expiration date. Penalty Value 1,500/per month for maximum of 6 months	Striking off the company (registration records and all issued licences) after completing 6 months from licence expiration date	NA
6	A company carrying out activities other than those appearing on its licence without official approval.	NA	AED 5,000	AED 10,000	Suspending all services
7	Change of shareholders without notifying the authority.	NA	AED 2,500	Suspending all services	Licence termination
8	Change of manager/board members without notifying the authority	NA	AED 2,500	Suspending all services	Licence termination
9	Change of business activity without notifying the authority	NA	AED 2,500	Suspending all services	Licence termination
10	Failure to submit audited financial statements	NA	AED 2500 with a deadline of 3 months	Suspending all services	NA
11	Deliver or cause to be delivered a statement that is misleading, false or deceptive in a material particularly relating to identification of Ultimate Beneficial Owner (UBO)	NA	AED 50,000	Licence termination	NA
12	Failure of PLC to list its shares on a stock exchange in accordance with the market's laws within 9 months from the date of incorporation, unless extended by the Registrar	NA	AED 10,000 with a deadline of 30 days	Conversion to FZ-LLC	NA
13	Not responding to official notifications by the Authority or failure to comply with any laws, rules, regulations or licensing requirement within 30 days from notice/request by the Authority	NA	AED 2,500 with a deadline of 30 days	Suspending all services for maximum of 30 days	Licence termination
14	Activities violating UAE Anti-Money Laundering Laws	NA	Immediate termination	NA	NA
15	Failure of legal person to create Register of BO (beneficial owner) and maintaining its data	NA	Written warning	AED 50,000 and warning the legal person to rectify its situation within 30 days from the violation issue	AED 100,000 and suspension of the trade licence for at least 12 months
16	Failure to maintain in BO register (full name, nationality, place of birth, residence address, passport or ID details, basis of being BO, date when BO ceased to be BO)	NA	Written warning	AED 20,000 and warning the legal person to rectify its situation within 15 days from the violation issue	AED 40,000 and suspension of the trade licence for at least 6 months
17	Failure of legal person to maintain adequate, accurate, specific, and updated data of BO or failure of legal person to correctly record down the BO)	NA	Written warning	AED 10,000 and warning the legal person to rectify its situation within 15 days as from the violation issue	AED 20,000 and suspension of the trade licence for at least 1 month
18	Failure to submit Director or Nominee Board Member details	NA	Written warning	AED 20,000 and warning the legal person to rectify its situation within 15 days from the violation issue	AED 40,000 and restriction of the powers of the board members or directors, who are proved liable for the violation

19	Failure to create Shareholder/Partners Register	NA	Written warning	AED 50,000 and warning the legal person to rectify its situation within 60 days from the violation issue	AED 100,000 and suspension of the trade licence for at 12 months
20	Failure to maintain information required in Shareholders/Partners Register	NA	Written warning	AED 30,000 and warning the legal person to rectify its situation within 15 days from the violation issue	AED 60,000 and suspension of the trade licence for at least 6 months
21	Failure of the legal person to provide the Registrar with the information of C15 and the Register of Partners or Shareholders and maintain such registers from damage, loss or destruction	NA	Written warning	AED 15,000 and warning the legal person to rectify its situation within 15 days from the violation issue	AED 30,000 and suspension of the trade licence for 3 months
22	Failure to provide the Registrar with any required information	NA	Written warning	AED 5,000 and warning the legal person to rectify its situation within 15 days from the violation issue	AED 10,000 and suspension of the trade licence for at least 1 month
23	Failure to provide the details of natural person resident in UAE who is mandated to disclose the basic or BO details or any details mentioned in the AML Federal Decree-Law and its executive regulations	NA	Written warning	AED 1,000 and warning the legal person to rectify its situation within 15 days from the violation issue	AED 2,000 and suspension of the trade licence for at least 1 month
24	Issuance of bearer shares	NA	Written warning	AED 5,000	AED 10,000
25	Failure to update the Registrar within 15 days of shares issuance	NA	Written warning	AED 5,000 and warning the legal person to rectify its situation within 15 days as of the violation issue	AED 10,000 and restriction of the powers of the board members, directors or owners, who are proved liable for the violation
26	Failure to provide the liquidator of shareholders and BO registers within 30 days from the date of appointing the liquidator	NA	Written warning	AED 5,000 and warning the legal person to rectify its situation within 15 days from the violation issue	AED 10,000 and suspension of the trade licence for at least 1 month
27	Failure to maintain the records and information in the Cabinet Resolution for 5 years (applies to legal person or liquidator)	NA	Written warning	AED 20,000	AED 40,000
28	Failure to undertake the actions and procedures necessary to identify the risks associated with the crime in the violator's field of work	NA		AED 100,000	
29	Failure to identify and assess the risks that may arise in the violator's field of work when developing the services that the violator offers or when conducting new professional practices through its facility	NA		AED 100,000	
30	Failure to undertake the actions and procedures necessary to mitigate the risks identified based on the results of the National Risk Assessment or the self-assessment process given the nature and scale of the violator's business	NA		AED 50,000	
31	Failure to implement internal policies, procedures and controls within the facility aimed at combating crime or preventing involvement in suspicious business relationships	NA		AED 50,000	
32	Failure to take the necessary enhanced due diligence measures to manage high risks	NA		AED 200,000	
33	Failure to take the necessary simplified due diligence measures to manage low risks.	NA		AED 50,000	
34	Failure to undertake the necessary customer due diligence measures before establishing the business relationship or resuming a business relationship or performing a transaction under the customer's name or in his/her favour	NA		AED 100,000	
35	Failure to undertake the necessary measures to understand the purpose of the business relationship and its nature, or the failure to acquire any information pertaining to this purpose when needed	NA		AED 50,000	
36	Failure to undertake the necessary measures to understand the nature of the customer's business, the ownership structure of his/her business, and the extent to which the customer has control over that business	NA		AED 50,000	

37	Failure to verify the identity of the customer and the real beneficiary or their representative using documents or data collected from reliable and independent sources before or while establishing a business relationship or opening an account or prior to performing a transaction for a customer with whom no business relationship has been established	NA	AED 100,000
38	Failure to undertake the due diligence measures pertaining to the ongoing supervision of customers while conducting the business relationship	NA	AED 50,000
39	Failure to notify the Financial Intelligence Unit of the suspicious transaction report when the customer due diligence measures were not taken before establishing or continuing a business relationship with the customer or performing a transaction for the customer or under his/her name	NA	AED 200,000
40	Delay in notifying the Financial Intelligence Unit of the suspicious transaction report in case there is suspicion or if there are reasonable grounds to suspect that the business relationship with the customer is in whole or in part linked to the crime, or that the customer's funds that are subject to the business relationship are in fact proceeds of a crime or were used in committing a crime	NA	AED 100,000
41	Failure to provide the Financial Intelligence Unit with the additional information it requires regarding the matter reported in the suspicious transaction report	NA	AED 200,000
42	Dealing with shell banks in any way	NA	AED 1,000,000
43	Opening or maintaining bank accounts using pseudonyms, fictitious names or numbered	NA	AED 1,000,000
44	Failure to conduct due diligence measures on politically exposed persons before establishing or continuing a business relationship with such customers	NA	AED 100,000
45	Disclosing, directly or indirectly, to the customer or any other person(s) that they have reported or are intending to report a suspicious transaction	NA	AED 200,000
46	Failure to appoint a compliance officer	NA	AED 50,000
47	Failure to implement the measures prescribed by the National Committee for Combating Money Laundering and the Financing of Terrorism and Illegal Organizations with respect to customers from high-risk countries	NA	AED 200,000
48	Failure to create records for keeping track of financial transactions with customers	NA	AED 100,000
49	Failure to create records that keep track of financial transactions with the customers in an organised manner, which prevents data analysis and tracking of financial transactions	NA	AED 50,000
50	Failure to keep records and documents related to the financial transactions for a period of five years from the date of concluding the transaction or terminating the business relationship with the customer, or from the date of completion of the inspection of the customer's facilities	NA	AED 50,000
51	Failure to make all the information pertaining to the customer due diligence, ongoing supervision, and the results of their analysis, records, files, documents, correspondence and forms available to the competent authorities upon request	NA	AED 50,000
52	Failure to provide training for the facility's employees on combating money laundering and the financing of terrorism	NA	AED 50,000

53	Failure to take the necessary measures regarding customers included in the international or domestic sanctions lists before establishing or continuing a business relationship with those customers	NA		AED 1,000,000	
54	Legal person fails to keep appropriate, accurate, specific and updated data of real beneficiary or fails to properly record details of ownership of the real beneficiary	Article (6) Transparency and the beneficial owner, and article (7) Notifications relating to the beneficial owner	Written Warning to the Legal person to correct its position within (15) days from the date of issuing the offence notice	AED 20,000 and Warning to the Legal person to correct its position within (15) days from the date of issuing the offence notice	AED 40,000 and notifying the Legal person to correct its position
55	Failure to include the data mentioned in Clause 2 of Article 8 of the aforementioned Cabinet Decision No. (109) of 2023 in the Register of Beneficial Owners	Article (8) Beneficial Owner's Register	Written Warning to the Legal person to correct its position within (15) days from the date of issuing the offence notice	AED 20,000 and Warning to the Legal person to correct its position within (15) days from the date of issuing the offence notice	AED 40,000 and notifying the Legal person to correct its position
56	Failure of the legal person to establish the Register of Beneficial Owners and maintain its data.	Article (8.1) Beneficial Owner's Register	Written Warning to the Legal person to correct its position within (30) days from the date of issuing the offence notice	AED 50,000 and Warning to the Legal person to correct its position within (30) days from the date of issuing the offence notice	AED 100,000 and notifying the Legal person to correct its position
57	Failure of the legal person to update the Register of Beneficial Owners	Article (8.1) Beneficial Owner's Register	Written Warning to the Legal person to correct its position within (15) days from the date of issuing the offence notice	AED 15,000 and Warning to the Legal person to correct its position within (15) days from the date of issuing the offence notice	AED 30,000 and notifying the Legal person to correct its position
58	Failure of the legal person to provide the Registrar with the data, referred to in Article (10) of Cabinet Decision No. (109) of 2023, related to the Nominee of the Board of Directors/Director	Article (10) Register of Partners or Shareholders	Written Warning to the Legal person to correct its position within (30) days from the date of issuing the offence notice	AED 40,000 and Warning to the Legal person to correct its position within (15) days from the date of issuing the offence notice	AED 80,000 and notifying the Legal person to correct its position
59	Failure of the legal person to establish the Register of Partners or Shareholders	Article (10) Register of Partners or Shareholders	—	AED 50,000 and Warning to the Legal person to correct its position within (30) days from the date of issuing the offence notice.	AED 100,000 and notifying the Legal person to correct its position
60	Failure of the legal person to update the Register of Partners or Shareholders within (15) days from the date of the amendments or the date he became aware about it	Article (10) Register of Partners or Shareholders	Written Warning to the Legal person to correct its position within (30) days from the date of issuing the offence notice	AED 15,000 and Warning to the Legal person to correct its position within (15) days from the date of issuing the offence notice	AED 30,000 and notifying the Legal person to correct its position
61	Failure of the legal person to keep the details of the data related to every partner or shareholder, or failure to include the data mentioned in Clause (1) of Article (10) of the aforementioned Cabinet Decision No. (109) of 2023 in the Register of Partners or Shareholders	Article (10) Register of Partners or Shareholders	Written Warning to the Legal person to correct its position within (30) days from the date of issuing the offence notice	AED 30,000 and Warning to the Legal person to correct its position within (15) days from the date of issuing the offence notice	AED 60,000 and notifying the Legal person to correct its position
62	Failure of the legal person to provide the Registrar with the data of the Register of Beneficial Owners and the Register of Partners or Shareholders, and failure to protect these Registers from damage, loss or destruction	Article (11.1) Provision of information to the Registrar	Written Warning to the Legal person to correct its position within (30) days from the date of issuing the offence notice	AED 15,000 and Warning to the Legal person to correct its position within (15) days from the date of issuing the offence notice	AED 30,000 and notifying the Legal person to correct its position
63	Failure of the legal person to provide any additional data requested by the Registrar within (14) days from the date of sending the request	Article (11.2) Provision of information to the Registrar	Written Warning to the Legal person to correct its position within (30) days from the date of issuing the offence notice.	AED 15,000 and Warning to the Legal person to correct its position within (15) days from the date of issuing the offence notice	AED 30,000 and notifying the Legal person to correct its position
64	Failure of the legal person to disclose the ownership layers of the Beneficial Owner in complex ownership structures	Article (5) Determining the Beneficial Owner	Written Warning to the Legal person to correct its position within (30) days from the date of issuing the offence notice.	AED 50,000 and Warning to the Legal person to correct its position within (30) days from the date of issuing the offence notice	AED 100,000 and notifying the Legal person to correct its position
65	Failure of the legal person to provide the Registrar with the name of a natural person residing in the country who is authorised to disclose the data or information required under the Decree Law and its Implementing Regulation.	Article (11.4) Provision of information to the Registrar	Written Warning to the Legal person to correct its position within (30) days from the date of issuing the offence notice	AED 10,000 and Warning to the Legal person to correct its position within (15) days from the date of issuing the offence notice	AED 20,000 and notifying the Legal person to correct its position
66	Failure of the legal person to disclose to the Registrar the issuance of shares or stocks in the names of persons or directors within (15) days from the date of issuance of the shares or stocks	Article (11.6) Provision of information to the Registrar	Written Warning to the Legal person to correct its position within (30) days from the date of issuing the offence notice	AED 15,000 and Warning to the Legal person to correct its position within (15) days from the date of issuing the offence notice	AED 30,000 and notifying the Legal person to correct its position
67	Failure of the legal person, at the stage of dissolution or liquidation, to deliver the Register of Beneficial Owners and the Register of Partners or Shareholders to the liquidator within (30) days from the date of appointment of the liquidator	Article (11.7) Provision of information to the Registrar	Written Warning to the Legal person to correct its position within (30) days from the date of issuing the offence notice	AED 5,000 and Warning to the Legal person to correct its position within (15) days from the date of issuing the offence notice	AED 10,000 and notifying the Legal person to correct its position
68	Failure of the liquidator to keep the Registers and all data mentioned in the aforementioned Cabinet Decision No. (109) of 2023 for a period of (5) years from the date of dissolution, liquidation or write off	Article (11.8) Provision of information to the Registrar	AED 100,000	—	—

NO	DESCRIPTION	SUPPORTIVE ARTICLE (IF APPLICABLE)	VIOLATION 1	VIOLATION 2	VIOLATION 3
69	Inspectors are being blocked from • Enter place of business; • Examine records; • Make copies of the records; • Inspect, document, and record the status of the facilities as required; • Take photograph or collect samples of materials or substances as required. or Misbehaviour with the inspector	NA	AED 2,500	AED 5,000	AED 20,000 (3rd instance and subsequent cases)
70	Consistent failure to take action on Health Safety & Environment (HS&E) observations highlighted during HS&E inspection for observation not listed in this violation code	NA	Warning letter (with a deadline of up to 5 calendar days)	AED 1,000 per observation (with a deadline of up to 5 calendar days)	AED 5,000 per observation (with a deadline of up to 5 calendar days. Applicable to every 5 subsequent calendar days for the same cases)
71	Failure to satisfactorily progress on an undertaking letter within the timeframe agreed by HS&E	NA	Warning letter (with a deadline of up to 5 calendar days)	AED 1,000 per observation (with a deadline of up to 5 calendar days)	AED 5,000 per observation (with a deadline of up to 5 calendar days. Applicable to every 5 subsequent calendar days for the same cases)
72	Unsafe storage/accumulation of waste within the company's premises	NA	Warning letter (with a deadline of up to 5 calendar days)	AED 10,000 (with a deadline of up to 5 calendar days)	AED 5,000 per observation (with a deadline of up to 5 calendar days. Applicable to every 5 subsequent calendar days for the same cases)
73	Failure to meet applicable emission/discharge standards due to visible emission, odor, vibration, or client complaint	NA	Report the case to EPDA		
74	Unauthorised discharge of waste or any act that causes or has the potential to cause environmental contamination of soil/air/water or disrupts RAKEZ's functions, properties, or neighbouring areas	NA	AED 25,000 and report the incident to EPDA		
75	Operating without valid Operation Fitness Certificate (OFC)	NA	Warning letter (with a deadline of up to 5 calendar days)	AED 5,000 (with a deadline of up to 10 calendar days)	AED 10,000 and suspension of facility
76	Operating lifting equipment without a valid RAKEZ HS&E NOC for lifting equipment	NA	Warning letter (with a deadline of up to 5 calendar days)	AED 2,000 (with a deadline of up to 5 calendar days. Applicable to every 5 subsequent calendar days for the same cases)	
77	Operating lifting equipment with unlicensed or uncertified operator	NA	Warning letter (with a deadline of up to 5 calendar days)	AED 2,000 (with a deadline of up to 5 calendar days. Applicable to every 5 subsequent calendar days for the same cases)	
78	Storing Chemicals without a valid RAKEZ HS&E NOC for Storage of Chemicals	NA	Warning letter (with a deadline of up to 5 calendar days)	AED 5,000 (with a deadline of up to 5 calendar days. Applicable to every 5 subsequent calendar days for the same cases)	
79	Importing restricted substances without a valid RAKEZ HS&E NOC for Importing Restricted Chemicals	NA	Warning letter (with a deadline of up to 5 calendar days)	AED 5,000 (with a deadline of up to 5 calendar days. Applicable to every 5 subsequent calendar days for the same cases)	
80	Operating without a valid RAKEZ HS&E NOC for use of LPG tank/cylinder	NA	Warning letter (with a deadline of up to 5 calendar days)	AED 5,000 (with a deadline of up to 5 calendar days. Applicable to every 5 subsequent calendar days for the same cases)	
81	Operating without a valid RAKEZ:HSE NOC for Radiography materials and its related activities.	NA	AED 10,000 and immediate suspension of activity		
82	Blocking roads without a valid RAKEZ HS&E NOC for Temporary Road Blockage	NA	Warning letter with a deadline of up to 24 hours	AED 5,000 (with a deadline of 5 calendar days. Applicable to every 5 subsequent calendar days for the same cases)	
83	Failure to immediately notify RAKEZ for a reportable incident as per RAKEZ's HS&E Regulations	NA	AED 10,000 per incident		
84	Fatal Accident as a consequence of management failures	NA	AED 100,000		
85	Serious injury as a consequence of management failures	NA	AED 10,000 - 50,000		

NO	DESCRIPTION	SUPPORTIVE ARTICLE (IF APPLICABLE)	VIOLATION 1	VIOLATION 2	VIOLATION 3
86	Breach of Insurance of Buildings under Rule 15 of the Operating Rules	NA	Warning letter (with appropriate deadline. Max. 90 days)	AED 20,000 (If within 30 days of 1st violation deadline)	Suspension of services (If within 30 days of 2nd violation deadline)
87	Breach of Building Regulations	NA	Warning letter (with appropriate deadline. Max. 90 days)	AED 20,000 (If within 30 days of 1st violation deadline)	Suspension of services (If within 30 days of 2nd violation deadline)
88	Breach of Building & Operation Controls under Rule 12 of the Operating Rules	NA	Warning letter (with appropriate deadline. Max. 90 days)	AED 20,000 (If within 30 days of 1st violation deadline)	Suspension of services (If within 30 days of 2nd violation deadline)

89	Inspectors are being blocked from accessing the site / premises	NA	AED 2,000	AED 5,000	AED 10,000
90	Causing damages to the authority facility structure or infrastructures and systems or to the Zone area services	NA	AED 20,000 (with appropriate deadline. Max. 30 days)	AED 25,000 (with appropriate deadline, maximum 90 days)	AED 50,000 Suspension of Services (If within 30 days of 2nd violation deadline)
91	Failure to comply with the conditions of the NOCs/Permit or renewing or closing a permit	NA	Warning letter (with appropriate deadline. Max. 30 days)	AED 2,000	AED 5,000 Suspension of Services (If within 30 days of 2nd violation deadline)
92	Carrying out construction without a Building Permit	NA	Warning Letter (with a deadline of up to 5 calendar days. The construction shall be stopped immediately with proper safety controls at the site and action plans shall be submitted for regularisation or demolition as per the Authority's decision)	AED 20,000 (with a deadline of up to 45 calendar days)	AED 30,000 and suspension of activity
93	Occupying a building that does not have a Building Completion Certificate	NA	Warning letter (with a deadline of up to 30 calendar days)	AED 10,000 – AED 50,000	
94	Modification of a building by the client without a Modification Permit	NA	Warning Letter (with a deadline of up to 5 calendar days. The modification shall be stopped immediately with proper safety controls at the site and action plans shall be submitted for regularisation or demolition as per the Authority's decision)	AED 5,000 – AED 15,000	
95	Occupying a modified area that does not have a Modification Completion Certificate	NA	Warning letter (with a deadline of up to 15 calendar days)	AED 5,000 – AED 15,000	
96	Unauthorised outdoor installations without an Outdoor Installation NOC	NA	Warning Letter (with a deadline of up to 5 calendar days. The installation shall be stopped immediately with proper safety controls at the site and action plans shall be submitted for regularisation or demolition as per the Authority's decision)	AED 5,000 – AED 15,000	
97	Use of Temporary Structure	NA	Warning letter (with appropriate deadline. Max. 90 days)	AED 3,000 (with appropriate deadline, maximum 90 days)	AED 5,000 Suspension of Services (If within 30 days of 2nd violation deadline)
98	Working on zone areas without obtaining permits	NA	AED 5,000 (with appropriate deadline. Max. 30 days)	AED 10,000 (with appropriate deadline, maximum 90 days)	AED 15,000 Suspension of Services (If within 30 days of 2nd violation deadline)
99	No signage installed/Signage non-compliance	NA	Warning letter (with appropriate deadline. Max. 30 days)	AED 500 (with appropriate deadline, maximum 14 days)	AED 1,000 (every 7 days until compliance)
100	Not following the agreed development schedule in lease agreement	NA	3 Months Delay AED 10,000	6 Months Delay AED 20,000	1 Year delay AED 50,000 per Annum



### RAKEZ VIOLATION CODES Park Operations



NO	DESCRIPTION	SUPPORTIVE ARTICLE (IF APPLICABLE)	VIOLATION 1	VIOLATION 2	VIOLATION 3
101	<b>Violating accommodation rules</b> 1. Cooking inside premises 2. Storing cooking items or food materials inside rooms 3. Extra tenants per rented room 4. Damaging assets 5. Keeping prohibited material inside premises: knives, hammers, Alcohol (storing, handling, drinking)	NA	1. Warning Letter (with deadline of 1 calendar day) 2. Warning Letter (with deadline of 1 calendar day) 3. Warning Letter (with deadline of 1 calendar day) 4. Actual fixing cost + Admin cost AED 250 5. Warning Letter (with deadline of 1 calendar day)	1. AED 1,000 (with deadline of 1 calendar day) 2. AED 500 (with deadline of 1 calendar day) 3. AED 2,000 per person (with deadline of 1 calendar day) 4. Actual fixing cost + Admin cost (AED 1,000) 5. AED 3,000 (with deadline of 1 calendar day)	1. AED 5,000 2. AED 1,500 3. AED 5,000 (per person) 4. Actual fixing cost + Admin cost (AED 5,000) 5. AED 5,000 Plus suspension of services until rectified and/or paid
102	<b>Violating Housekeeping rules</b> 1. Poor hygienic standard (indoor/outdoor) 2. Disposing wastes at inappropriate places (indoor/outdoor) 3. Misusing municipality waste bins 4. Sewage water overflowing and causing land contamination 5. Discharging unauthorized waste water to RAKEZ holding tank (oil, paint, food content etc.) 6. Failure to hire RAKWMA waste containers (Contractors& Clients) 7. Damaging Landscaping areas (Trees, green grass & plants) 8. Failure to comply with the sanitary conditions for cleaning and disinfecting the workplace. (Pest Control)	NA	1. Warning Letter (with deadline of 5 calendar days) 2. Warning Letter (with deadline of 5 calendar days) 3. Warning Letter (with deadline of 5 calendar days) 4. Warning Letter (with deadline of 1 calendar days) 5. Warning Letter (with deadline of 5 calendar days) 6. Warning Letter (with deadline of 5 calendar days) 7. Warning Letter (with deadline of 3 calendar days) 8. Warning Letter (with deadline of 3 calendar days) 9. Warning Letter (with deadline of 2 calendar days) 10. AED 1,000 (with cost of the items/task)	1. AED 1000 (with deadline of 5 calendar days) 2. AED 5,000 (with deadline of 5 calendar days) 3. AED 1,000 (with deadline of 5 calendar days) 4. AED 1,000 (with deadline of 1 calendar days) 5. AED 5,000 (with deadline of 5 calendar days) 6. AED 1,000 (with deadline of 3 calendar days) 7. AED 2,000 (with deadline of 2 calendar days) 8. AED 1,000 (with deadline of 2 calendar days) 9. AED 3,000 (with deadline of 1 calendar days) 10. AED 2,000 (with cost of the items/task)	1. AED 5000 2. AED 25,000 + any remedial measures 3. AED 2,000 Plus suspension of services until rectified or paid 4. AED 3,000 5. AED 10,000 6. AED 3,000 7. AED 5,000 8. AED 5,000 9. AED 5,000 10. AED 5,000

<b>Violating building/premises rules</b> 1. Wrong storage or over stocking of material 2. Sticking/distributing ads posters with no permission <b>103</b> 3. Premises Signage Discrepancy 4. Misusing the premises or damaging assets 5. No signboard for the industrial zones Leased Premises	NA	1. Warning Letter (with deadline of 5 calendar days) 2. Warning Letter (with deadline of 3 calendar days) 3. Warning Letter (with deadline of 15 calendar days) 4. Actual fixing cost + Admin cost (AED 250). 5. Warning letter (with appropriate deadline, maximum 30 days)	1. AED 2,000 (with deadline of 5 calendar days) 2. AED 1,000 (with deadline of 3 calendar days) 3. AED 1000 (with deadline of 15 calendar days) 4. Actual fixing cost + Admin cost (AED 2,000) 5. AED 500 (with appropriate deadline, maximum 14 days)	1. AED 5,000 2. AED 2,000 3. AED 3,000 4. Actual fixing cost + Admin cost (5,000 AED) Plus suspension of services until rectified and/or paid 5. AED 1,000 (every 7 days until compliance)
<b>Violating Security Rules</b> 1. Entry pass violations 2. Cutting fence, damaging security assets 3. Installing Cameras, gate, hiring security guard without pre-approval 4. Causing troubles, fights, misbehavior and strike <b>104</b> 5. Disrespect/unfollow security rules as instructed by security guards 6. Drinking, handling, selling, storing alcohol or any prohibited materials. 7. High speed driving 8. Wrong parking/long parking 9. Wrong driving direction 10. Changing keys with no permission	NA	1. Warning Letter 2. Actual fixing cost + Admin cost (AED 250) 3. Warning Letter (with deadline of 5 calendar days) 4. Warning letter 5. Warning letter 6. Warning letter 7. Warning letter 8. Warning letter 9. Warning letter 10. Actual fixing cost + Admin cost (AED 250)	1. AED 500 2. Actual fixing cost + Admin cost (AED 5000) 3. AED 1,000 (with deadline of 5 calendar days) 4. AED 2,000 5. AED 500 6. AED 2,000 7. AED 200 8. AED 200 9. AED 200 10. Actual fixing cost + Admin cost (AED 2,000)	1. AED 1,000 2. Actual fixing cost + Admin cost (AED 10,000) 3. AED 3,000 4. AED 5,000 5. AED 1,000 6. AED 5,000 7. AED 400 8. AED 400 9. AED 400 10. Actual fixing cost + Admin cost (5,000 AED) + suspension of services until rectified and/or paid

### RAKEZ VIOLATION CODES Leasing

NO	DESCRIPTION	SUPPORTIVE ARTICLE (IF APPLICABLE)	VIOLATION 1	VIOLATION 2	VIOLATION 3
105	Sub leasing the premises without authorisation	NA	Warning Notification to be rectified within 5 working days	AED 10,000 & Suspending all Services	Termination of lease and licence
106	Usage of facility without valid licence, valid lease or sublease agreement, or failure to make payment of lease rent or any other dues	NA	Warning legal notification to renew within 5 working days block company account	2nd warning legal notification to renew within 3 working days and suspension/partial block of facility	AED 10,000 and immediate renewal
107	Illegal use of office space	NA	Warning notification to be rectified in 5 working days	AED 10,000	Termination of lease and licence
108	Unauthorised use of land/facility	NA	AED 10,000 (with appropriate deadline of max. 90 days)	AED 20,000 (if within 30 days of 1st violation deadline)	Suspension of services (if within 30 days of 2nd violation deadline)
109	Late in lease payments	NA	AED 50/day for maximum of 6 months	Strike off the company	NA



### RAKEZ VIOLATION CODES Employment



NO	DESCRIPTION	SUPPORTIVE ARTICLE (IF APPLICABLE)	VIOLATION 1	VIOLATION 2	VIOLATION 3
110	Illegal employment of persons who are employees of another licensee without approval from RAKEZ Authority	NA	AED 5,000 per employee	Suspension for all services for 1 month + AED 10,000 per employee	NA
111	Illegal employment of persons not sponsored by the Authority under Rule 14.1 of the Operating Rules	NA	AED 5,000 per employee	Suspension for all services for 1 month + AED 10,000 per employee	NA
112	Illegal employment of persons not approved by the Authority under Rule 14.4 of the Operating Rules	NA	AED 7,500 per employee	Suspension for all services for 1 month + AED 10,000 per employee	NA
113	Allowing sponsored employee to work for another company without approval from RAKEZ Authority	NA	AED 7,500 per employee	Suspension for all services for 1 month + AED 10,000 per employee	NA
114	Licensee who fails to notify RAKEZ Authority about absconding (missing) employees within 14 days	NA	Warning	AED 10,000 per employee	NA
115	Cancellation of absconding application	NA	AED 500 per application	N/A	NA
116	Labour working continuously without break or prohibited hours during summer or Ramadan	NA	Activity block for 5 days	AED 1,500/day per employee	NA
117	Any misuse of employment visa other than the actual purpose of the visa	NA	AED 10,000 per employee	Visa cancellation	NA
118	Failure to submit visa stamping request after 60 days but less than 90 days from the date of utilised entry permit or status change	NA	AED 250 per employee + any penalties imposed by immigration	Visa cancellation	NA
119	Failure to submit visa stamping request after 90 days from the date of utilised entry permit or status change	NA	AED 1,500 per employee + any penalties imposed by immigration	Visa cancellation	NA

120	If employment visa holders exceed their stay without renewing the resident visa over 60 days	NA	AED 1,500 per employee + any penalties imposed by immigration	Visa cancellation	NA	
121	If canceled employment visa holders exceed their stay for a period over 15 days from the expiry of grace period	NA	AED 1,500 per employee + any penalties imposed by immigration	Absconding	NA	
122	If visit visa holders exceed their stay in the UAE for a period over 15 days of visa expiry date	NA	AED 1,500 per employee + any penalties imposed by immigration	Absconding	NA	
123	Non-payment of salaries	NA	<b>DEADLINE</b>		<b>COVERAGE</b>	<b>ACTIONS</b>
			1. On the due date	All licencees	Establishment employing 25 workers and above	The licencee will be monitored electronically to ensure its compliance with the payment of salaries of its employees
			2. On the 15th and 21st day after the due date			Sending reminders and notifications to the non-compliant licencee to pay the salaries of its employees
		3. On the 30th day after the due date	Suspension of RAKEZ's services to the non-compliant licencee. A notification will be sent to the non-compliant licencee stating the reason for the suspension of services			
		NA	<b>DEADLINE</b>		<b>COVERAGE</b>	<b>ACTIONS</b>
			4. 45 days from the due date	All licencees	<ul style="list-style-type: none"> <li>Relevant Public Prosecution will be notified, and information about the non-compliant licencee will be communicated to the competent authorities</li> <li>Suspension of RAKEZ's services to the non-compliant licencee. A notification will be sent to the non-compliant licencee stating the reason for the suspension of services</li> <li>Suspension of RAKEZ's services to all other exclusively owned companies by the non-compliant licencee, on the condition that partners in all the companies are the same.</li> </ul>	
NA	<b>DEADLINE</b>		<b>COVERAGE</b>	<b>ACTIONS</b>		
	5. 60 days from the due date	All licencees	<ul style="list-style-type: none"> <li>Relevant Public Prosecution will be notified, and information about the non-compliant licencee will be communicated to the competent authorities</li> <li>Suspension of RAKEZ's services to the non-compliant licencee. A notification will be sent to the non-compliant licencee stating the reason for the suspension of services</li> <li>Suspension of RAKEZ's services to all other exclusively owned companies by the non-compliant licencee, on the condition that partners in all the companies are the same</li> <li>The non-compliant licencee will be liable to pay a penalty of AED 1,000 per employee, subject to a maximum of AED 20,000</li> </ul>			
NA	<b>DEADLINE</b>		<b>COVERAGE</b>	<b>ACTIONS</b>		
	6. In the event that the licencee repeats the violation or accumulates more than 3 violations		<ul style="list-style-type: none"> <li>Relevant Public Prosecution will be notified, and information about the non-compliant licencee will be communicated to the competent authorities</li> <li>Suspension of RAKEZ's services to the non-compliant licencee. A notification will be sent to the non-compliant licencee stating the reason for the suspension of services</li> <li>Suspension of RAKEZ's services to all other exclusively-owned companies by the non-compliant licencee, on the condition that partners in all the companies are the same</li> <li>The non-compliant licencee will be liable to pay a penalty of twice the amount mentioned in item 5 above</li> </ul>			



			7. Failure to pay a worker's salary for more than 6 consecutive months	All licencees	<ul style="list-style-type: none"> <li>• RAKEZ will strike off the licence of the non-complaint licencee</li> <li>• The owners of the licencee will be black listed/prohibited to transact any business within RAKEZ</li> <li>• The non-compliant licencee will be liable to pay a penalty of thrice the amount mentioned in item 5 above</li> <li>• Electronic notification will be sent to non-compliant licencee</li> <li>• If the failure to pay salaries continues, an inspection visit to the facility will be conducted after 6 months from the date of non-payment, in order to ensure the existence of the employment relationship. In case there is no active employment relationship, the violating licencee will be referred to the Public Prosecution</li> </ul>
124	Labour Strike	NA	Suspension for all services till issue is resolved	AED 10,000	NA

	<b>RAKEZ VIOLATION CODES</b>	
<b>Accounts</b>		

NO	DESCRIPTION	SUPPORTIVE ARTICLE (IF APPLICABLE)	VIOLATION 1	VIOLATION 2	VIOLATION 3
125	Licencee issues a bounced cheque to Authority	NA	<ul style="list-style-type: none"> <li>• AED 500/cheque + notifying client of the bounced cheque</li> <li>• Block of customer ID in system</li> <li>• Suspension of all services</li> <li>• Right to revoke licence and lease</li> </ul>	Forward case to legal department for actions if no settlement agreement reached	NA
126	Non-payment of outstanding balance	NA	Block of Customer ID in system	Suspension of all services	NA

The imposition on any licencee of any penalty under these Violation Codes shall be without prejudice to any other liability which such licencee may incur, or may have incurred, under UAE laws for the time being in force.