

Council Regulation (EC) No 428/2009 of 5 May 2009 setting up a Community regime for the control of exports, transfer, brokering and transit of dual-use items (Recast)

CHAPTER I

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Article 4 (1) An authorisation shall be required for the export of...
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Article 7 This Regulation does not apply to the supply of services...
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Changes to legislation: There are outstanding changes not yet made to Council Regulation (EC) No 428/2009. Any changes that have already been made to the legislation appear in the content and are referenced with annotations. (See end of Document for details) View outstanding changes

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Article 28 This Regulation shall enter into force 90 days after the...
Signature

ANNEX I

LIST OF DUAL-USE ITEMS (Article 3 of this Regulation)

GENERAL NOTES TO ANNEX I

1. For control of goods which are designed or modified for...
2. The object of the controls contained in this Annex should...
NB: In judging whether the controlled component or components are to...

3. Goods specified in this Annex include both new and used...

4. In some instances chemicals are listed by name and CAS...

NUCLEAR TECHNOLOGY NOTE (NTN)

GENERAL TECHNOLOGY NOTE (GTN)

Note: This does not release such "technology" specified in 1E002.e., 1E002.f.,...

NUCLEAR SOFTWARE NOTE (NSN)

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Note: The Nuclear Software Note does not release "software" specified in...

GENERAL SOFTWARE NOTE (GSN)

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EDITORIAL PRACTICES IN THIS REGULATION

ACRONYMS AND ABBREVIATIONS USED IN THIS ANNEX

DEFINITIONS OF TERMS USED IN THIS ANNEX

NB: Category references are given in brackets after the defined term....

NB: See Category 4, Technical Note.

NB: See also "civil aircraft".

NB: Additional and alternative allocations are not included.

NB: A common use of "asymmetric algorithms" is key management.

N.B.1. "Basic gate propagation delay time" is not to be confused...

N.B.2. 'Family' consists of all integrated circuits to which all of...

NB: See also "aircraft".

Technical Notes:

1. "Cryptographic activation" techniques and mechanisms may be implemented as hardware,...
2. Mechanisms for "cryptographic activation" can, for example, be serial number-based...

Notes:

1. "Cryptography" does not include 'fixed' data compression or coding techniques....
2. "Cryptography" includes decryption.

Technical Notes:

1. 'Secret parameter': a constant or key kept from the knowledge...
2. 'Fixed': the coding or compression algorithm cannot accept externally supplied...

NB: Modifications of a stored sequence of instructions include replacement of...

NB: See also "total digital transfer rate".

N.B.1. 'Circuit element': a single active or passive functional part of...

N.B.2. 'Discrete component': a separately packaged 'circuit element' with its own...

NB: 'Active tooling unit' means a device for applying motive power,...

NB: 'Circuit element' is a single active or passive functional part...

NB: This is not intended to include a stack of single...

N.B.1. 'Circuit element': a single active or passive functional part of...

N.B.2. 'Discrete component': a separately packaged 'circuit element' with its own...

Technical Note:

NB: See also "magnetic gradiometer".

Notes:

1. "Intrusion software" does not include any of the following:
2. Network-capable devices include mobile devices and smart meters.

Technical Notes:

1. 'Monitoring tools': "software" or hardware devices, that monitor system behaviours...
2. 'Protective countermeasures': techniques designed to ensure the safe execution of...

NB: See also "Chemical laser"; "CW laser"; "Pulsed laser"; "Super High...

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NB: 'Data device' means equipment capable of transmitting or receiving sequences...

NB: See also "intrinsic magnetic gradiometer".

NB: The internal storage may be augmented by an external storage....

N.B.1. The "microprocessor microcircuit" normally does not contain integral user-accessible storage,...

N.B.2. This includes chip sets which are designed to operate together...

NB: 'Circuit element' is a single active or passive functional part...

Note: "OAM" does not include any of the following tasks or...

Technical Notes:

1. 'Data device' means equipment capable of transmitting or receiving sequences...

2. The "local area network" extends beyond the geographical area of...

Technical Note:

Technical Note:

NB: The above definition does not include the following devices:

NB: 'Strand' is a bundle of "monofilaments" (typically over 200) arranged...

NB: 'Microprogram' means a sequence of elementary instructions, maintained in a...

NB: A determination that a specific item is "Space-qualified" by virtue...

N.B.1. 'Discrete component': a separately packaged 'circuit element' with its own...

N.B.2. 'Circuit element': a single active or passive functional part of...

NB: The "superconductive" state of a material is individually characterised by...

NB: A common use of "symmetric algorithms" is confidentiality of data....

NB: 'Strand' is a bundle of "monofilaments" (typically over 200) arranged...

N.B.1. 'Technical assistance' may take forms such as instructions, skills, training,...

N.B.2. 'Technical data' may take forms such as blueprints, plans, diagrams,...

NB: See also "digital transfer rate".

NB: 'Strand' is a bundle of "monofilaments" (typically over 200) arranged...

CATEGORY 0 – NUCLEAR MATERIALS, FACILITIES, AND EQUIPMENT

Systems, Equipment and Components

Test, Inspection and Production Equipment

Technical Note:

Note: 0B006 includes:

Materials

Note: 0C001 does not control the following:

Note: 0C002 does not control four "effective grammes" or less when...

NB: SEE ALSO 1C107.

Note 1: For the purpose of export control, the Secretary of State...

Note 2: In 0C004, 'boron equivalent' (BE) is defined as the sum...

Software

Technology

CATEGORY 1 – SPECIAL MATERIALS AND RELATED EQUIPMENT

Systems, Equipment and Components

NB: SEE ALSO 1A202, 9A010 and 9A110.

Note 1: 1A002 does not control "composite" structures or laminates made from...

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Note 2: 1A002 does not control semi-finished items, specially designed for purely...

Note 3: 1A002.b.1. does not control semi-finished items containing a maximum of...

Note 4: 1A002 does not control finished items specially designed for a...

Note 5: 1A002.b.1. does not control mechanically chopped, milled, or cut carbon...

Note: 1A003 does not control manufactures when coated or laminated with...

NB: For "fusible" aromatic polyimides in any form, see 1C008.a.3.

NB: SEE ALSO MILITARY GOODS CONTROLS, 2B351 AND 2B352.

Technical Notes:

1. 1A004 includes equipment and components that have been identified, successfully...

2. 'Simulant' is a substance or material that is used in...

3. For the purposes of 1A004, 'radioactive materials' are those selected...

NB: SEE ALSO MILITARY GOODS CONTROLS.

NB: For "fibrous or filamentary materials" used in the manufacture of...

Note 1: 1A005 does not control body armour when accompanying its user...

Note 2: 1A005 does not control body armour designed to provide frontal...

Note 3: 1A005 does not control body armour designed to provide protection...

NB: SEE ALSO MILITARY GOODS CONTROLS.

Technical Note:

Note: 1A006 does not control equipment when accompanying its operator.

NB: SEE ALSO MILITARY GOODS CONTROLS, 3A229 AND 3A232.

Technical Notes:

1. The word initiator or igniter is sometimes used in place...

2. For the purpose of 1A007.b. the detonators of concern all...

Technical Note:

NB: SEE ALSO 9A010 AND 9A110.

Technical Note:

Test, Inspection and Production Equipment

NB: SEE ALSO 1B101 AND 1B201.

Technical Notes:

1. For the purpose of 1B001, 'primary servo positioning' axes control,...

2. For the purposes of 1B001, a 'filament band' is a...

NB: SEE ALSO 1B102.

NB: SEE ALSO 1B201.

Note: Components and accessories specified in 1B101 include moulds, mandrels, dies,...

NB: SEE ALSO 1B115.b.

Note: 1B102 includes:

Note 1: For equipment specially designed for the production of military goods,...

Note 2: 1B115 does not control equipment for the "production", handling and...

Note: In 1B117.d. the term 'mixing/kneading shaft' does not refer to...

Note: 1B226 includes separators:

Technical Note:

NB: SEE ALSO MILITARY GOODS CONTROLS.

Technical Note :

Materials

Technical Note:

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NB: SEE ALSO 1C101.

NB: SEE ALSO 1C202.

Note: 1C002 does not control metal alloys, metal alloy powder and...

Technical Notes:

1. The metal alloys in 1C002 are those containing a higher...
2. 'Stress-rupture life' should be measured in accordance with ASTM standard...
3. 'Low cycle fatigue life' should be measured in accordance with...

Technical Note:

NB: SEE ALSO 1C107.

Technical Notes:

1. The 'glass transition temperature (T_g)' for 1C008.a.2. thermoplastic...
2. The 'glass transition temperature (T_g)' for 1C008.a.2. thermosetting...

NB: SEE ALSO 1C210 AND 9C110.

Technical Notes:

1. For the purpose of calculating "specific tensile strength", "specific modulus"...
2. Assessing the "specific tensile strength", "specific modulus" or specific weight...

NB: SEE ALSO MILITARY GOODS CONTROLS and 1C111.

NB: See also Military Goods Controls for metal powders mixed with...

Technical Note:

Note 1: 1C101 includes:

Note 2: 1C101 does not include coatings when specially used for the...

Technical Note:

Note: For propellants and constituent chemicals for propellants not specified in...

NB: SEE ALSO 1C216.

Technical Note 1 :

Technical Note 2:

Technical Note:

Technical Note:

Note: In 1C210, 'fibrous or filamentary materials' is restricted to continuous...

Note: 1C216 does not control forms in which all linear dimensions...

Technical Note:

Note: In 1C225 mixtures containing boron include boron loaded materials.

Technical Note:

Note: 1C226 does not control manufactures specially designed as weights or...

NB: SEE ALSO MILITARY GOODS CONTROLS.

Note: 1C230 does not control the following:

Note: 1C232 does not control a product or device containing less...

Note: 1C233 does not control thermoluminescent dosimeters.

Technical Note:

Note: 1C234 does not control zirconium in the form of foil...

Note: 1C235 does not control a product or device containing less...

Note: 1C236 does not control a product or device containing less...

Technical Note:

Note: 1C237 does not control the following:

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Note: 1C240 does not control the following:

Technical Note:

NB: SEE ALSO MILITARY GOODS CONTROLS AND 1C450.

Note 1: For exports to "States not Party to the Chemical Weapons..."

Note 2: For exports to "States Party to the Chemical Weapons Convention",...

Note 3: 1C350 does not control "chemical mixtures" containing one or more...

Note 4: 1C350 does not control products identified as consumer goods packaged...

Note: 1C351 does not control "vaccines" or "immunotoxins".

Technical Notes:

1. 'Genetically-modified organisms' include organisms in which the nucleic acid sequences...

2. 'Genetic elements' include, inter alia, chromosomes, genomes, plasmids, transposons, vectors...

3. 'Endow or enhance pathogenicity' is defined as when the insertion...

Note 1: 1C353 does not control nucleic acid sequences of shiga toxin...

Note 2: 1C353 does not control "vaccines".

NB: SEE ALSO ENTRY 1C350, 1C351.d. AND MILITARY GOODS CONTROLS.

Note 1: For exports to "States not Party to the Chemical Weapons..."

Note 2: For exports to "States Party to the Chemical Weapons Convention",...

Note 3: 1C450 does not control "chemical mixtures" containing one or more...

Note 4: 1C450 does not control products identified as consumer goods packaged...

Software

Technology

Note: 1E104 includes "technology" for the composition of precursor gases, flow-rates...

CATEGORY 2 – MATERIALS PROCESSING

Systems, Equipment and Components

NB: For quiet running bearings, see the Military Goods Controls.

NB: SEE ALSO 2A101.

Technical Note:

Test, Inspection and Production Equipment

Technical Notes:

1. Secondary parallel contouring axes, (e.g., the w-axis on horizontal boring...

2. For the purposes of 2B, the number of axes which...

3. Axis nomenclature shall be in accordance with International Standard ISO...

4. For the purposes of 2B001 to 2B009 a "tilting spindle"...

5. 'Stated "unidirectional positioning repeatability"' may be used for each machine...

6. For the purposes of 2B001.a. to 2B001.c., measurement uncertainty for...

7. For the purpose of 2B001.a. to 2B001.c., the measurement of...

NB: SEE ALSO 2B201.

Note 1: 2B001 does not control special purpose machine tools limited to...

Note 2: 2B001 does not control special purpose machine tools limited to...

Note 3: A machine tool having at least two of the three...

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- Note 4: A machine tool having an additive manufacturing capability in addition...
- NB: For optical finishing machines, see 2B002.
Technical Notes: For the purposes of 2B002: 1. 'MRF' is a material...
1. 'MRF' is a material removal process using an abrasive magnetic...
 2. 'ERF' is a removal process using an abrasive fluid whose...
 3. 'Energetic particle beam finishing' uses Reactive Atom Plasmas (RAP) or...
 4. 'Inflatable membrane tool finishing' is a process that uses a...
 5. 'Fluid jet finishing' makes use of a fluid stream for...
- NB: SEE ALSO 2B104 and 2B204.
Technical Note:
- NB: For specially designed dies, moulds and tooling see 1B003, 9B009...
- Note: 2B005 does not control chemical vapour deposition, cathodic arc, sputter...
- NB: SEE ALSO 2B207.
- NB: SEE ALSO 2B109 AND 2B209.
Technical Note:
- NB: SEE ALSO 2B204.
- NB: SEE ALSO 2B209.
Technical Note:
Technical Note:
- NB: SEE ALSO 2B219.
- Note 1: 2B120 does not control rotary tables designed or modified for...
- Note 2: Motion simulators or rate tables specified in 2B120 remain controlled...
- Note: 2B121 does not control rotary tables designed or modified for...
- Note: Centrifuges specified in 2B122 remain controlled whether or not slip...
Technical Note :
- Note 1: 2B201 does not control special purpose machine tools limited to...
- Note 2: A machine tool having at least two of the three...
- Note 3: 2B201.a.3. and 2B201.b.3. include machines based on a parallel linear...
Technical Note:
- Note 1: Machine tools that can be used as measuring machines are...
- Note 2: A machine specified in 2B206 is controlled if it exceeds...
Technical Notes:
- Note: 2B209.a. includes machines which have only a single roller designed...
Technical Note:
- NB: SEE ALSO 3B001 and 9B001.
Technical Notes:
1. In 2B230 'pressure transducer' means a device that converts a...
 2. For the purposes of 2B230, 'accuracy' includes non-linearity, hysteresis and...
- Technical Notes:
1. The pumping speed is determined at the measurement point with...
 2. The ultimate vacuum is determined at the input of the...
- NB: SEE ALSO MILITARY GOODS CONTROLS.
- NB: SEE ALSO 2B350.i.
- Note: For the purposes of 2B350, the materials used for gaskets,...
- Technical Notes:

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1. 'Carbon graphite' is a composition consisting of amorphous carbon and...
2. For the listed materials in the above entries, the term...

Materials

Software

Note: 2D001 does not control part programming "software" that generates "numerical..."

Note 1: 2D002 does not control "software" specially designed or modified for...

Note 2: 2D002 does not control "software" for items specified in 2B002....

Note 3: 2D002 does not control "software" that is exported with, and...

NB: SEE ALSO 9D004.

Note: 2D202 does not control part programming "software" that generates "numerical..."

Technology

Note: 2E001 includes "technology" for the integration of probe systems into...

TABLE - DEPOSITION TECHNIQUES - NOTES

TABLE - DEPOSITION TECHNIQUES - TECHNICAL NOTE

CATEGORY 3 – ELECTRONICS

Systems, Equipment and Components

Note 1: The control status of equipment and components described in 3A001...

Note 2: The control status of integrated circuits described in 3A001.a.3. to...

NB: When the manufacturer or applicant cannot determine the control status...

Note 3: The status of wafers (finished or unfinished), in which the...

Technical Notes:

1. In 3A102 'thermal batteries' are single use batteries that contain...
2. In 3A102 'missile' means complete rocket systems and unmanned aerial...

NB: 1. "Software" specially designed to enhance or release the performance of...

NB: 2. "Technology" in the form of codes or keys to enhance...

Note: 3A225 does not control frequency changers or generators if they...

Technical Notes:

1. Frequency changers in 3A225 are also known as converters or...
2. Frequency changers in 3A225 may be marketed as Generators, Electronic...

NB: SEE ALSO MILITARY GOODS CONTROLS.

NB: SEE ALSO MILITARY GOODS CONTROLS.

NB: See 1A007.b. for detonators.

Technical Notes:

1. Electron bombardment mass spectrometers in 3A233.d. are also known as...
2. In 3A233.d.2., a 'cold trap' is a device that traps...

Test, Inspection and Production Equipment

NB: SEE ALSO 2B226

Materials

Note: 3C001.d. does not control a "substrate" having one or more...

Note: 3C003 only controls compounds whose metallic, partly metallic or non-metallic...

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Note: 3C004 does not control hydrides containing 20 % molar or more...
Software

Technical Note:

Technology

Note 1: 3E001 does not control "technology" for equipment or components specified...

Note 2: 3E001 does not control "technology" for integrated circuits specified in...

Note 3: 3E001 does not control 'Process Design Kits' ('PDKs') unless they...

Technical Note:

Technical Notes:

1. For the purpose of 3E002.a. and 3E002.b., 'floating-point' is defined...
2. For the purpose of 3E002.c., 'fixed-point' refers to a fixed-width...

Note 1: 3E002 does not control "technology" for multimedia extensions.

Note 2: 3E002 does not control "technology" for micro-processor cores, having all...

Note 3: 3E002 includes "technology" for the "development" or "production" of digital...

Technical Note:

CATEGORY 4 — COMPUTERS

Note 1: Computers, related equipment and "software" performing telecommunications or "local area..."

Note 2: Control units which directly interconnect the buses or channels of...

NB: For the control status of "software" specially designed for packet...

Technical Note:

Systems, Equipment and Components

NB: SEE ALSO 4A101.

Note 1: 4A003 includes the following:

Note 2: The control status of the "digital computers" and related equipment...

Technical Notes:

1. 'Systolic array computers' are computers where the flow and modification...
2. 'Neural computers' are computational devices designed or modified to mimic...
3. 'Optical computers' are computers designed or modified to use light...

Note: This control only applies when the equipment is supplied with...

Test, Inspection and Production Equipment

Materials

Software

Note: The control status of "software" for equipment described in other...

Note: 4D004 does not control "software" specially designed and limited to...

Technology

TECHNICAL NOTE ON "ADJUSTED PEAK PERFORMANCE" ("APP")

Abbreviations used in this Technical Note

Outline of "APP" calculation method

1. For each processor i , determine the peak number of 64-bit...
Note: In determining FPO, include only 64-bit or larger floating point...
2. Calculate the floating point rate R for each processor R ...

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3. Calculate "APP" as $APP = W_1 \times R_1$...
4. For 'vector processors', $W_i = 0,9$. For non-'vector processors',...
 - Note 1: For processors that perform compound operations in a cycle, such...
 - Note 2: For a pipelined processor the effective calculating rate R is...
 - Note 3: The calculating rate R of each contributing processor is to...
 - Note 4: Do not include processors that are limited to input/output and...
 - Note 5: "APP" values are not to be calculated for processor combinations...
 - Note 6: "APP" values must be calculated for processor combinations containing processors...
 - Technical Notes:
 1. Aggregate all processors and accelerators operating simultaneously and located on...
 2. Processor combinations share memory when any processor is capable of...
 - Note 7: A 'vector processor' is defined as a processor with built-in...

CATEGORY 5 – TELECOMMUNICATIONS AND "INFORMATION SECURITY"

Part 1 – TELECOMMUNICATIONS

Note 1: The control status of components, test and "production"...

Note 1: The control status of components, test and "production" equipment and...

NB: For "lasers" specially designed for telecommunications equipment or systems, see...

Note 2: "Digital computers", related equipment or "software", when essential for the...
Systems, Equipment and Components

Technical Note:

Note: 5A101 does not control:
Test, Inspection and Production Equipment
Materials
Software
Technology

Part 2 – "INFORMATION SECURITY"

Note 1: Not used.

Note 1: Not used.

Note 2: Category 5 – Part 2 does not control products when...

Note 3: Cryptography Note

Note to the Cryptography Note:

1. To meet paragraph a. of Note 3, all of the...
2. In determining eligibility of paragraph a. of Note 3, Secretary...
Systems, Equipment and Components

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NB: For the control of "satellite navigation system" receiving equipment containing...

Test, Inspection and Production Equipment

Materials

Software

Technology

Note: 5E002 includes "information security" technical data resulting from procedures carried...

CATEGORY 6 – SENSORS AND LASERS

Systems, Equipment and Components

NB: SEE ALSO 6A102.

NB: SEE ALSO 6A203.

NB: SEE ALSO 6A205.

Note 1: Pulsed "lasers" include those that run in a continuous wave...

Note 2: Excimer, semiconductor, chemical, CO, CO₂, and 'non-repetitive pulsed'...

Technical Note:

Note 3: 6A005 includes fibre "lasers".

Note 4: The control status of "lasers" incorporating frequency conversion (i.e., wavelength...

Note 5: 6A005 does not control "lasers" as follows:

Note 6: For the purposes of 6A005.a. and 6A005.b., 'single transverse mode'...

Technical Note:

NB: SEE ALSO 7A103.d.

Note: 6A006 does not control instruments specially designed for fishery applications...

Technical Note:

NB: SEE ALSO 6A107.

NB: SEE ALSO 6A108.

Note: 6A008 does not control:

Technical Note:

N.B.1. "Software" specially designed to enhance or release the performance of...

N.B.2. "Technology" in the form of codes or keys to enhance...

Note: 6A203.a. to 6A203.c. does not control cameras or imaging devices...

NB: For copper vapour lasers, see 6A005.b.

Note: 6A225 includes velocity interferometers such as VISARs (Velocity Interferometer Systems...

Test, Inspection and Production Equipment

Note: 6B004 does not control microscopes.

NB: SEE ALSO 6B108.

Technical Note:

Materials

Software

Technical Note:

Technology

Note: 6E101 only controls "technology" for items specified in 6A002, 6A007...

Note 1: 6E201 only controls "technology" for cameras specified in 6A003 if...

Note 2: 6E201 only controls "technology" for lasers in 6A005.b.6. that are...

CATEGORY 7 – NAVIGATION AND AVIONICS

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Systems, Equipment and Components

NB: For automatic pilots for underwater vehicles, see Category 8.

NB: SEE ALSO 7A101.

NB: For angular or rotational accelerometers, see 7A001.b.

NB: SEE ALSO 7A102.

NB: For angular or rotational accelerometers, see 7A001.b.

NB: SEE ALSO 7A103.

Note 1: 'Inertial measurement equipment or systems' incorporate accelerometers or gyroscopes to...

Note 2: 7A003 does not control 'inertial measurement equipment or systems' which...

Technical Note:

NB: SEE ALSO 7A104.

Technical Note :

NB: SEE ALSO 7A105.

NB: For equipment specially designed for military use, SEE MILITARY GOODS...

NB: SEE ALSO 7A106.

Note: 7A008 does not control systems specially designed for installation on...

NB: See 6A001.a. for acoustic systems, and 6A001.b. for correlation-velocity and...

Note: 7A101 does not control accelerometers specially designed and developed as...

Technical Notes:

1. In 7A101 'missile' means complete rocket systems and unmanned aerial...

2. In 7A101 the measurement of "bias" and "scale factor" refers...

Technical Notes:

1. In 7A102 'missile' means complete rocket systems and unmanned aerial...

2. In 7A102 'stability' is defined as a measure of the...

Technical Note:

Technical Note:

Note: Equipment specified in 7A105, 7A106, and 7A115 includes the following:...

Note: For conversion of manned aircraft to operate as "missiles", 7A116...

Technical Note:

Test, Inspection and Production Equipment

Note: 7B001 does not control test, calibration or alignment equipment for...

Technical Notes:

1. ' Maintenance Level I '

2. ' Maintenance Level II '

NB: SEE ALSO 7B102.

Note: 7B003 includes:

Materials

Software

Note: 7D002 does not control "source code" for the "use" of...

Technical Note:

Note: 7D004. does not control "source code" associated with common computer...

Note: A common form of integration "software" employs Kalman filtering.

Note: "Software" specified in 7D103 remains controlled when combined with specially...

Changes to legislation: There are outstanding changes not yet made to Council Regulation (EC) No 428/2009. Any changes that have already been made to the legislation appear in the content and are referenced with annotations. (See end of Document for details) [View outstanding changes](#)

Note: 7D104 includes ‘software’, specially designed or modified to enhance the...

Technology

Note: 7E001 includes key management "technology" exclusively for equipment specified in...

Note: 7E003 does not control "technology" for maintenance, directly associated with...

NB: See Technical Notes to 7B001.

CATEGORY 8 – MARINE

Systems, Equipment and Components

NB: For the control status of equipment for submersible vehicles, see:...

Note: For underwater communications systems, see Category 5, Part 1 –...

Test, Inspection and Production Equipment

Materials

NB: See also 8A002.a.4.

Technical Note:

Software

Technology

CATEGORY 9 – AEROSPACE AND PROPULSION

Systems, Equipment and Components

NB: For propulsion systems designed or rated against neutron or transient...

NB: SEE ALSO 9A101.

Note: The term ‘marine gas turbine engines’ includes those industrial, or...

Technical Note:

NB: SEE ALSO 9A104.

NB: SEE ALSO 9A105 AND 9A119.

NB: SEE ALSO 9A106, 9A108 AND 9A120.

NB: SEE ALSO 9A107 AND 9A119.

NB: SEE ALSO 9A108.

NB: SEE ALSO 9A109 AND 9A119.

NB: SEE ALSO 1A002 AND 9A110.

NB: SEE ALSO 9A111 AND 9A118.

Technical Note:

NB: 1 SEE ALSO 9A112.

NB: 2 For "UAVs" that are "sub-orbital craft", see 9A004.h.

Note: 9A102 does not control civil certified engines.

Technical Notes:

1. For the purposes of 9A102, a ‘turboprop engine system’ incorporates...

2. For the purposes of 9A102, the ‘maximum power’ is achieved...

NB: SEE ALSO 9A004.

NB: SEE ALSO 9A119.

NB: SEE ALSO 9A119.

NB: SEE ALSO 9A009 AND 9A119.

NB: SEE ALSO 1A002.

Technical Note:

NB: SEE ALSO 9A011 AND 9A118.

Technical Note:

NB: SEE ALSO 9A121.

Note: In 9A120 ‘other liquid or gel propellants’ includes, but is...

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- Technical Note:
Note: 9A350 does not control spraying or fogging systems and components...
Technical Notes:
1. Droplet size for spray equipment or nozzles specially designed for...
2. In 9A350 'VMD' means Volume Median Diameter and for water-based...
- Test, Inspection and Production Equipment
NB: SEE ALSO 2B226
NB: SEE ALSO 9B105.
NB: SEE ALSO 9B106.
Note: 9B009 does not control tooling for the production of powder...
NB: SEE ALSO 9B005.
Note: 9B105 does not control wind-tunnels for speeds of Mach 3...
Technical Notes:
1. In 9B105 'aerodynamic test facilities' includes wind tunnels and shock...
2. In Note to 9B105, 'test cross section size' means the...
3. In 9B105 'missile' means complete rocket systems and unmanned aerial...
Technical Notes:
1. 'Aerothermodynamic test facilities' include plasma arc jet facilities and plasma...
2. In 9B107 'missile' means complete rocket systems and unmanned aerial...
Technical Note:
- Materials
NB: SEE ALSO 1C010 AND 1C210.
Note: The only resin impregnated fibre prepreps specified in entry 9C110...
Software
NB: For "software" for items listed in 9A004.d. that are incorporated...
Note: "Software" specified in 9D103 remains controlled when combined with specially...
Note: 9D105 includes "software" specially designed for a manned "aircraft" converted...
Technical Note:
- Technology
Note: "Development" or "production" "technology" specified in 9E001 to 9E003 for gas...
NB: For "technology" for the repair of controlled structures, laminates or...
Technical Note:

ANNEX IIa

RETAINED GENERAL EXPORT AUTHORISATION No 001

Exports to Australia, Canada, Japan, New Zealand, Norway, Switzerland, including...
Issuing authority: the Secretary of State

Part 1

This general export authorisation covers all dual-use items specified in...

Changes to legislation: There are outstanding changes not yet made to Council Regulation (EC) No 428/2009. Any changes that have already been made to the legislation appear in the content and are referenced with annotations. (See end of Document for details) [View outstanding changes](#)

Part 2

This export authorisation is valid ... for exports to the...

Conditions and requirements for use of this authorisation

1. Exporters that use this authorisation shall notify the Secretary of...
2. This authorisation may not be used if:
3. Reporting requirements attached to the use of this authorisation and...

ANNEX IIb

RETAINED GENERAL EXPORT AUTHORISATION No 002

Exports of certain dual-use items to certain destinations

Issuing authority: the Secretary of State

Part 1 –Items

This general export authorisation covers the following dual-use items specified...

Part 2 –Destinations

This authorisation is valid throughout the Union for exports to...

Part 3 –Conditions and requirements for use

1. This authorisation does not authorise the export of items...
 1. This authorisation does not authorise the export of items where:...
 2. Exporters must mention the ... reference number X002 and specify...
 3. Any exporter who uses this authorisation must notify the Secretary...

ANNEX IIc

RETAINED GENERAL EXPORT AUTHORISATION No 003

Export after repair/replacement

Issuing authority: the Secretary of State

Part 1 —Items

1. This general export authorisation covers all dual-use items specified...
 1. This general export authorisation covers all dual-use items specified in...
 2. Items excluded:

Part 2 —Destinations

This authorisation is valid ... for exports to the following...

Changes to legislation: There are outstanding changes not yet made to Council Regulation (EC) No 428/2009. Any changes that have already been made to the legislation appear in the content and are referenced with annotations. (See end of Document for details) [View outstanding changes](#)

Part 3 —Conditions and requirements for use

1. This authorisation can only be used when the initial...

1. This authorisation can only be used when the initial export...
2. This authorisation does not authorise the export of items where:...
3. On exportation of any of the items pursuant to this...
4. Any exporter who uses this authorisation must notify the Secretary...
5. This authorisation covers items for ‘repair’, ‘replacement’ and ‘maintenance’. This...

ANNEX IId

RETAINED GENERAL EXPORT AUTHORISATION No 004

Temporary export for exhibition or fair

Issuing authority: the Secretary of State

Part 1 –Items

This general export authorisation covers all dual-use items specified in...

Part 2 –Destinations

This authorisation is valid ... for exports to the following...

Part 3 –Conditions and requirements for use

1. This authorisation authorises the export of items listed in...

1. This authorisation authorises the export of items listed in Part...
2. The Secretary of State may , at the exporter’s request,...
3. This authorisation does not authorise the export of items where:...
4. Exporters must mention the ... reference number X002 and specify...
5. Any exporter who uses this authorisation must notify the Secretary...
6. For the purpose of this authorisation, ‘exhibition or fair’ means...

ANNEX IIe

RETAINED GENERAL EXPORT AUTHORISATION No 005

Telecommunications

Issuing authority: the Secretary of State

Part 1 –Items

This general export authorisation covers the following dual-use items specified...

Part 2 –Destinations

This authorisation is valid ... for exports to the following...

Changes to legislation: There are outstanding changes not yet made to Council Regulation (EC) No 428/2009. Any changes that have already been made to the legislation appear in the content and are referenced with annotations. (See end of Document for details) [View outstanding changes](#)

Part 3 –Conditions and requirements for use

1. This authorisation does not authorise the export of items...
 1. This authorisation does not authorise the export of items where:...
 2. Exporters must mention the ... reference number X002 and specify...
 3. Any exporter who uses this authorisation must notify the Secretary...

ANNEX II f

RETAINED GENERAL EXPORT AUTHORISATION No 006

Chemicals

Part 1 –Items

This general export authorisation covers the following dual-use items specified...

Part 2 –Destinations

This authorisation is valid throughout the Union for exports to...

Part 3 –Conditions and requirements for use

1. This authorisation does not authorise the export of items...
 1. This authorisation does not authorise the export of items where:...
 2. Exporters must mention the ... reference number X002 and specify...
 3. Any exporter who uses this authorisation must notify the Secretary...

ANNEX II g

(List referred to in Article 9(4)(a) of this Regulation
and Annexes IIa, IIc and II d to this Regulation)

The entries do not always provide a complete description of...
The mention of an item in this Annex does not...
all items specified in Annex IV, 0C001 ‘ Natural uranium...

ANNEX IIIa

(model for individual or global export authorisation forms)

When granting the export authorisations, Secretary of State will
strive...
This is an export authorisation valid in all Member States...

Changes to legislation: There are outstanding changes not yet made to Council Regulation (EC) No 428/2009. Any changes that have already been made to the legislation appear in the content and are referenced with annotations. (See end of Document for details) [View outstanding changes](#)

ANNEX IIIb

(model for brokering services authorisation forms)

ANNEX IIIc

COMMON ELEMENTS FOR PUBLICATION OF NATIONAL ... EXPORT AUTHORISATIONS ...

Title of general export authorisation Authority issuing the
authorisation

ANNEX IV

...

The entries do not always cover the complete description of...
The mention of an item in this Annex does not...
The terms appearing in straight double quotes are defined terms...

PART I

...

Items of stealth technology

Items of ... strategic control

Items of ... strategic control — Cryptanalysis — Category 5...

Items of the MTCR technology

Exemptions:

PART II

...

Items of the CWC (Chemical Weapons Convention)

Items of the NSG technology

ANNEX V

Repealed Regulation with its successive amendments

ANNEX VI

Correlation Table

Changes to legislation: There are outstanding changes not yet made to Council Regulation (EC) No 428/2009. Any changes that have already been made to the legislation appear in the content and are referenced with annotations. (See end of Document for details) [View outstanding changes](#)

- (1) [OJ L 159, 30.6.2000, p. 1.](#)
- (2) [OJ L 324, 27.12.1969, p. 25.](#)
- (3) [OJ L 302, 19.10.1992, p. 1.](#)
- (4) [OJ L 253, 11.10.1993, p. 1.](#)

Changes to legislation:

There are outstanding changes not yet made to Council Regulation (EC) No 428/2009. Any changes that have already been made to the legislation appear in the content and are referenced with annotations.

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Changes and effects yet to be applied to :

- Annex 1 colon omitted by S.I. 2023/695 reg. 3(2)(e)(xiii)(bb)
- Annex 1 colon omitted by S.I. 2023/695 reg. 3(2)(e)(xiii)(cc)
- Annex 1 colon omitted by S.I. 2023/695 reg. 3(2)(e)(xiii)(dd)
- Annex 1 colon omitted by S.I. 2023/695 reg. 3(2)(e)(xiii)(ff)
- Annex 1 comma inserted by S.I. 2023/695 reg. 3(2)(g)(iii)
- Annex 1 comma omitted by S.I. 2023/695 reg. 3(2)(l)(xiii)
- Annex 1 full stop inserted by S.I. 2023/695 reg. 3(2)(i)reg. 3(2)(xix)(bb)
- Annex 1 word inserted by S.I. 2023/302 reg. 5(2)(d)(v)
- Annex 1 word inserted by S.I. 2023/302 reg. 5(2)(i)(vii)
- Annex 1 word omitted by S.I. 2023/302 reg. 5(2)(d)(vi)
- Annex 1 word omitted by S.I. 2023/302 reg. 5(2)(d)(xii)
- Annex 1 word omitted by S.I. 2023/302 reg. 5(2)(g)(iii)
- Annex 1 word omitted by S.I. 2023/302 reg. 5(2)(i)(vi)
- Annex 1 word omitted by S.I. 2023/695 reg. 3(2)(l)(i)
- Annex 1 word substituted by S.I. 2023/302 reg. 5(2)(c)(iv)
- Annex 1 word substituted by S.I. 2023/302 reg. 5(2)(d)(ii)
- Annex 1 word substituted by S.I. 2023/302 reg. 5(2)(d)(xix)
- Annex 1 word substituted by S.I. 2023/302 reg. 5(2)(e)
- Annex 1 word substituted by S.I. 2023/302 reg. 5(2)(g)(i)
- Annex 1 word substituted by S.I. 2023/302 reg. 5(2)(g)(ii)(bb)
- Annex 1 word substituted by S.I. 2023/302 reg. 5(2)(h)(ii)
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- Annex 1 word substituted by S.I. 2023/302 reg. 5(2)(i)(ix)
- Annex 1 word substituted by S.I. 2023/695 reg. 3(2)(b)(i)
- Annex 1 word substituted by S.I. 2023/695 reg. 3(2)(b)(ii)
- Annex 1 word substituted by S.I. 2023/695 reg. 3(2)(c)(ii)
- Annex 1 word substituted by S.I. 2023/695 reg. 3(2)(c)(iii)(aa)
- Annex 1 word substituted by S.I. 2023/695 reg. 3(2)(c)(iii)(bb)
- Annex 1 word substituted by S.I. 2023/695 reg. 3(2)(c)(v)(aa)
- Annex 1 word substituted by S.I. 2023/695 reg. 3(2)(c)(v)(bb)
- Annex 1 word substituted by S.I. 2023/695 reg. 3(2)(c)(xvi)
- Annex 1 word substituted by S.I. 2023/695 reg. 3(2)(c)(xviii)(aa)
- Annex 1 word substituted by S.I. 2023/695 reg. 3(2)(d)(iv)(dd)
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- Annex 1 word substituted by S.I. 2023/695 reg. 3(2)(f)(v)
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- Annex 1 word substituted by S.I. 2023/695 reg. 3(2)(i)(xx)
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- Annex 1 word substituted by S.I. 2023/695 reg. 3(2)(i)(xxv)
- Annex 1 word substituted by S.I. 2023/695 reg. 3(2)(i)(xxxi)
- Annex 1 word substituted by S.I. 2023/695 reg. 3(2)(i)(xlii)
- Annex 1 word substituted by S.I. 2023/695 reg. 3(2)(j)(ii)
- Annex 1 word substituted by S.I. 2023/695 reg. 3(2)(j)(vii)(aa)
- Annex 1 word substituted by S.I. 2023/695 reg. 3(2)(j)(xi)
- Annex 1 word substituted by S.I. 2023/695 reg. 3(2)(j)(xvi)
- Annex 1 word substituted by S.I. 2023/695 reg. 3(2)(k)(iv)
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- Annex 1 word substituted by S.I. 2023/695 reg. 3(2)(l)(ii)
- Annex 1 word substituted by S.I. 2023/695 reg. 3(2)(l)(iii)
- Annex 1 words inserted by S.I. 2023/302 reg. 5(2)(a)
- Annex 1 words inserted by S.I. 2023/302 reg. 5(2)(c)(ii)
- Annex 1 words inserted by S.I. 2023/302 reg. 5(2)(d)(viii)
- Annex 1 words inserted by S.I. 2023/302 reg. 5(2)(d)(xi)
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- Annex 1 words inserted by S.I. 2023/695 reg. 3(2)(j)(ix)
- Annex 1 words inserted by S.I. 2023/695 reg. 3(2)(j)(x)
- Annex 1 words inserted by S.I. 2023/695 reg. 3(2)(k)(vii)
- Annex 1 words inserted by S.I. 2023/695 reg. 3(2)(l)(xvii)
- Annex 1 words omitted by S.I. 2019/771 reg. 3(22)(h)(ii) (This amendment not applied to legislation.gov.uk. Reg. 3(22)(h)(ii) substituted before it comes into force by S.I. 2019/806, reg. 2(5))
- Annex 1 words omitted by S.I. 2023/302 reg. 5(2)(g)(ii)(aa)
- Annex 1 words omitted by S.I. 2023/695 reg. 3(2)(d)(xiii)
- Annex 1 words omitted by S.I. 2023/695 reg. 3(2)(i)reg. 3(2)(iii)(bb)

- Annex 1 words omitted by S.I. 2023/695 reg. 3(2)(i)(xxxix)
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- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(e)(xxvi)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(e)(xxix)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(e)(xxx)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(e)(xxxi)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(e)(xxxiii)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(e)(xxxiv)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(f)(i)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(f)(ii)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(f)(iii)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(f)(iv)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(g)(i)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(g)(ii)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(g)(iv)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(h)(ii)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(h)(iii)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(h)(iv)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(h)(v)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(h)(vi)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(h)(vii)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(h)(viii)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(h)(ix)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(h)(x)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(i)(i)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(i)(ii)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(i)reg. 3(2)(iii)(aa)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(i)(iv)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(i)(vi)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(i)reg. 3(2)(viii)(aa)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(i)reg. 3(2)(viii)(bb)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(i)reg. 3(2)(viii)(cc)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(i)(x)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(i)reg. 3(2)(xi)(aa)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(i)reg. 3(2)(xi)(bb)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(i)(xii)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(i)(xiii)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(i)(xiv)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(i)(xv)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(i)(xvi)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(i)reg. 3(2)(xix)(cc)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(i)reg. 3(2)(xxii)(aa)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(i)reg. 3(2)(xxii)(bb)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(i)(xxiii)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(i)(xxiv)

- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(i)(xxvi)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(i)(xxvii)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(i)(xxviii)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(i)(xxx)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(i)(xxxii)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(i)(xxxiii)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(i)(xxxiv)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(i)(xxxv)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(i)(xxxvi)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(i)(xxxvii)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(i)(xl)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(i)(xli)(aa)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(i)(xli)(bb)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(i)(xliii)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(i)(xliv)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(j)(iii)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(j)(iv)(aa)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(j)(iv)(bb)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(j)(v)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(j)(vi)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(j)(vii)(bb)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(j)(viii)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(j)(xii)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(j)(xiii)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(j)(xiv)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(j)(xv)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(j)(xvii)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(k)(i)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(k)(ii)(aa)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(k)(ii)(bb)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(k)(ii)(cc)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(k)(iii)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(k)(vi)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(k)(viii)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(k)(ix)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(l)(iv)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(l)(v)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(l)(vi)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(l)(vii)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(l)(viii)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(l)(ix)(aa)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(l)(ix)(bb)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(l)(ix)(cc)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(l)(x)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(l)(xi)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(l)(xii)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(l)(xiv)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(l)(xv)
- Annex 1 words substituted by S.I. 2023/695 reg. 3(2)(l)(xvi)
- Annex 4 omitted by S.I. 2019/771 reg. 3(32) (This amendment not applied to legislation.gov.uk. Reg. 3(32) substituted before it comes into force by S.I. 2019/806, reg. 2(6))
- Art. 4(8) words substituted by S.I. 2019/771 reg. 3(5)(f) (This amendment not applied to legislation.gov.uk. Reg. 3(5)(f) substituted before it comes into force by S.I. 2019/806, reg. 2(2))

- Art. 15 substituted by [S.I. 2019/771 reg. 3\(15\)](#) (This amendment not applied to legislation.gov.uk. Reg. 3(15) substituted before it comes into force by S.I. 2019/806, reg. 2(3))