

Regulation (EU) No 1232/2011 of the European Parliament and of the Council of 16 November 2011 amending Council Regulation (EC) No 428/2009 setting up a Community regime for the control of exports, transfer, brokering and transit of dual-use items

REGULATION (EU) No 1232/2011 OF THE  
EUROPEAN PARLIAMENT AND OF THE COUNCIL

of 16 November 2011

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

THE EUROPEAN PARLIAMENT AND THE COUNCIL OF THE EUROPEAN UNION,

Having regard to the Treaty on the Functioning of the European Union, and in particular Article 207(2) thereof,

Having regard to the proposal from the European Commission,

Acting in accordance with the ordinary legislative procedure<sup>(1)</sup>,

Whereas:

- (1) 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<sup>(2)</sup> requires dual-use items (including software and technology) to be subject to effective control when they are exported from or transit through the Union, or are delivered to a third country as a result of brokering services provided by a broker resident or established in the Union.
- (2) It is desirable to achieve uniform and consistent application of controls throughout the Union in order to avoid unfair competition among Union exporters, harmonise the scope of Union General Export Authorisations and conditions of their use among Union exporters and ensure efficiency and effectiveness of the security controls in the Union.
- (3) In its communication of 18 December 2006, the Commission put forward the idea of the creation of new Union General Export Authorisations in a bid to enhance the industry's competitiveness and establish a level playing field for all Union exporters when they export certain specific dual-use items to certain specific destinations while at the same time ensuring a high level of security and full compliance with international obligations.
- (4) Regulation (EC) No 428/2009 repealed Council Regulation (EC) No 1334/2000 of 22 June 2000 setting up a Community regime for the control of exports of dual-use items and technology<sup>(3)</sup> with effect from 27 August 2009. However, the relevant provisions of Regulation (EC) No 1334/2000 continue to apply for export authorisation applications made before that date.

---

*Status: Point in time view as at 16/11/2011.*

**Changes to legislation:** *There are currently no known outstanding effects for the Regulation (EU) No 1232/2011 of the European Parliament and of the Council. (See end of Document for details)*

---

- (5) In order to create new Union General Export Authorisations for the export of certain specific dual-use items to certain specific destinations, the relevant provisions of Regulation (EC) No 428/2009 need to be amended by adding new Annexes thereto.
- (6) The competent authorities of the Member State where the exporter is established should be provided with the possibility of prohibiting the use of the Union General Export Authorisations under the conditions set out in Regulation (EC) No 428/2009 as amended by this Regulation.
- (7) Since the entry into force of the Treaty of Lisbon, arms embargoes under the Union's common foreign and security policy are adopted by Council decisions. Pursuant to Article 9 of the Protocol (No 36) on transitional provisions, the legal effects of common positions adopted by the Council under Title V of the Treaty on European Union prior to the entry into force of the Treaty of Lisbon are to be preserved until they are repealed, annulled or amended in implementation of the Treaties.
- (8) Regulation (EC) No 428/2009 should therefore be amended accordingly,

HAVE ADOPTED THIS REGULATION:

*Article 1*

Regulation (EC) No 428/2009 is hereby amended as follows:

- (1) in Article 2, point 9 is replaced by the following:
  - 9. "Union General Export Authorisation" shall mean an export authorisation for exports to certain countries of destination available to all exporters who respect its conditions and requirements for use as listed in Annexes IIa to IIc;
- (2) in Article 4(2), the words 'decided by a common position or a joint action' are replaced by the words 'imposed by a decision or a common position';
- (3) Article 9 is amended as follows:
  - (a) paragraph 1 is replaced by the following:
    - 1. Union General Export Authorisations for certain exports as set out in Annexes IIa to IIc are established by this Regulation.

The competent authorities of the Member State where the exporter is established can prohibit the exporter from using these authorisations if there is reasonable suspicion about his ability to comply with such authorisation or with a provision of the export control legislation.

The competent authorities of the Member States shall exchange information on exporters deprived of the right to use a Union General Export Authorisation, unless they determine that the exporter will not attempt to export dual-use items through another Member State. The system referred to in Article 19(4) shall be used for this purpose.;
  - (b) in paragraph 4, point (a) is replaced by the following:
    - (a) exclude from their scope items listed in Annex IIc;

---

*Status: Point in time view as at 16/11/2011.*

**Changes to legislation:** *There are currently no known outstanding effects for the Regulation (EU) No 1232/2011 of the European Parliament and of the Council. (See end of Document for details)*

---

- (c) in paragraph 4(c), the words ‘decided by a common position or joint action’ are replaced by the words ‘imposed by a decision or a common position’;
- (4) in the first sentence of Article 11(1), the reference to ‘Annex II’ is replaced by a reference to ‘Annex IIa’;
- (5) in Article 12(1)(b), the words ‘a common position or joint action’ are replaced by the words ‘a decision or a common position’;
- (6) in Article 13, paragraph 6 is replaced by the following:
  - 6. All notifications required pursuant to this Article shall be made via secure electronic means including the system referred to in Article 19(4).;
- (7) Article 19 is amended as follows:
  - (a) in paragraph 2(a), the words ‘Community General Export Authorisations’ are replaced by the words ‘Union General Export Authorisations’;
  - (b) paragraph 4 is replaced by the following:
    - 4. A secure and encrypted system for the exchange of information between Member States and, whenever appropriate, the Commission shall be set up by the Commission, in consultation with the Dual-Use Coordination Group set up pursuant to Article 23. The European Parliament shall be informed about the system’s budget, development, provisional and final set-up and functioning, and network costs.;
- (8) in Article 23, the following paragraph is added:
  - 3. The Commission shall submit an annual report to the European Parliament on the activities, examinations and consultations of the Dual-Use Coordination Group, which shall be subject to Article 4 of Regulation (EC) No 1049/2001 of the European Parliament and of the Council of 30 May 2001 regarding public access to European Parliament, Council and Commission documents<sup>(4)</sup>.;
- (9) Article 25 is replaced by the following:

*Article 25*

  - 1 Each Member State shall inform the Commission of the laws, regulations and administrative provisions adopted in implementation of this Regulation, including the measures referred to in Article 24. The Commission shall forward the information to the other Member States.
  - 2 Every 3 years the Commission shall review the implementation of this Regulation and present a comprehensive implementation and impact assessment report to the European Parliament and the Council, which may include proposals for its amendment. Member States shall provide to the Commission all appropriate information for the preparation of the report.
  - 3 Special sections of the report shall deal with:
    - a the Dual-Use Coordination Group and its activities. Information that the Commission provides on the Dual-Use Coordination Group’s examinations and consultations shall be treated as confidential pursuant to Article 4 of Regulation (EC) No 1049/2001. Information shall in any case be considered to be confidential if its disclosure is likely to have a significantly adverse effect upon the supplier or the source of such information;

---

*Status: Point in time view as at 16/11/2011.*

**Changes to legislation:** *There are currently no known outstanding effects for the Regulation (EU) No 1232/2011 of the European Parliament and of the Council. (See end of Document for details)*

---

- b the implementation of Article 19(4), and shall report on the stage reached in the set-up of the secure and encrypted system for the exchange of information between Member States and the Commission;
- c the implementation of Article 15(1);
- d the implementation of Article 15(2);
- e comprehensive information provided on the measures taken by the Member States pursuant to Article 24 and notified to the Commission under paragraph 1 of this Article.

4 No later than 31 December 2013, the Commission shall submit to the European Parliament and to the Council a report evaluating the implementation of this Regulation with a specific focus on the implementation of Annex IIb, Union General Export Authorisation No EU002, accompanied by, if appropriate, a legislative proposal to amend this Regulation, in particular as regards the issue of low-value shipments.;

(10) the following Article is inserted:

*Article 25a*

Without prejudice to the provisions on mutual administrative assistance agreements or protocols in customs matters concluded between the Union and third countries, the Council may authorise the Commission to negotiate with third countries agreements providing for the mutual recognition of export controls of dual-use items covered by this Regulation and in particular to eliminate authorisation requirements for re-exports within the territory of the Union. These negotiations shall be conducted in accordance with the procedures established in Article 207(3) of the Treaty on the Functioning of the European Union and the Treaty establishing the European Atomic Energy Community, as appropriate.;

(11) Annex II is renumbered as Annex IIa and is amended as follows:

- (a) the title is replaced by the following:  
*UNION GENERAL EXPORT AUTHORISATION NO EU001*(referred to in Article 9(1) of this Regulation)Exports to Australia, Canada, Japan, New Zealand, Norway, Switzerland, including Liechtenstein, and United States of AmericaIssuing authority: European Union;
- (b) Part 1 is replaced by the following:  
**Part 1** This general export authorisation covers all dual-use items specified in any entry in Annex I to this Regulation, except those listed in Annex IIg.;
- (c) Part 2 is deleted;
- (d) Part 3 is renumbered as Part 2 and is amended as follows:
  - (i) in the first paragraph, the word ‘Community’ is replaced by the word ‘Union’;
  - (ii) the word ‘Switzerland’ is replaced by the words ‘Switzerland, including Liechtenstein’;
  - (iii) the words ‘the Community General Export Authorisation’ and ‘this Community General Export Authorisation’ are replaced by the words ‘this authorisation’;

---

**Status:** Point in time view as at 16/11/2011.

**Changes to legislation:** There are currently no known outstanding effects for the Regulation (EU) No 1232/2011 of the European Parliament and of the Council. (See end of Document for details)

---

- (iv) the words ‘decided by a common position or joint action’ are replaced by the words ‘imposed by a decision or a common position’;
- (12) Annexes IIb to IIg, as set out in the Annex to this Regulation, are inserted.

*Article 2*

This Regulation shall enter into force on the 30th day following its publication in the *Official Journal of the European Union*.

This Regulation shall be binding in its entirety and directly applicable in all Member States.

Done at Strasbourg, 16 November 2011.

*For the European Parliament*

*The President*

J. BUZEK

*For the Council*

*The President*

W. SZCZUKA

*Status: Point in time view as at 16/11/2011.**Changes to legislation: There are currently no known outstanding effects for the Regulation (EU) No 1232/2011 of the European Parliament and of the Council. (See end of Document for details)*

## ANNEX

ANNEX UNION GENERAL EXPORT AUTHORISATION No EU002(referred to in Article IIb 9(1) of this Regulation)Exports of certain dual-use items to certain destinationsIssuing authority: European UnionPart 1 –Items

This general export authorisation covers the following dual-use items specified in Annex I to this Regulation:

- 1A001,
- 1A003,
- 1A004,
- 1C003b-c,
- 1C004,
- 1C005,
- 1C006,
- 1C008,
- 1C009,
- 2B008,
- 3A001a3,
- 3A001a6-12,
- 3A002c-f,
- 3C001,
- 3C002,
- 3C003,
- 3C004,
- 3C005,
- 3C006.

## Part 2 –Destinations

This authorisation is valid throughout the Union for exports to the following destinations:

- Argentina,
- Croatia,
- Iceland,
- South Africa,
- South Korea,
- Turkey.

Part 3 –Conditions and requirements for use1.This authorisation does not authorise the export of items where:

- (1) the exporter has been informed by the competent authorities of the Member State in which he is established as defined in Article 9(6) of this Regulation that the items in question are or may be intended, in their entirety or in part:
  - (a) for use in connection with the development, production, handling, operation, maintenance, storage, detection, identification or dissemination of chemical, biological or nuclear weapons or other nuclear explosive devices, or the development, production, maintenance or storage of missiles capable of delivering such weapons;

*Status: Point in time view as at 16/11/2011.*

**Changes to legislation:** *There are currently no known outstanding effects for the Regulation (EU) No 1232/2011 of the European Parliament and of the Council. (See end of Document for details)*

- (b) for a military end-use as defined in Article 4(2) of this Regulation in a country subject to an arms embargo imposed by a decision or a common position adopted by the Council or a decision of the Organisation for Security and Cooperation in Europe or an arms embargo imposed by a binding resolution of the Security Council of the United Nations; or
  - (c) for use as parts or components of military items listed in national military lists that have been exported from the territory of the Member State concerned without authorisation or in breach of an authorisation prescribed by the national legislation of that Member State;
- (2) the exporter, under his obligation to exercise due diligence, is aware that the items in question are intended, in their entirety or in part, for any of the uses referred to in subparagraph (1);
  - (3) the relevant items are exported to a customs-free zone or a free warehouse which is located in a destination covered by this authorisation.
- 2.

Exporters must mention the EU reference number X002 and specify that the items are being exported under Union General Export Authorisation EU002 in box 44 of the Single Administrative Document.

3. Any exporter who uses this authorisation must notify the competent authorities of the Member State where he is established of the first use of this authorisation no later than 30 days after the date when the first export took place or, alternatively, and in accordance with a requirement by the competent authority of the Member State where the exporter is established, prior to the first use of this authorisation. Member States shall notify the Commission of the notification mechanism chosen for this authorisation. The Commission shall publish the information notified to it in the C series of the Official Journal of the European Union.

Reporting requirements attached to the use of this authorisation and additional information that the Member State from which the export is made might require on items exported under this authorisation are defined by Member States.

A Member State may require the exporters established in that Member State to register prior to the first use of this authorisation. Registration shall be automatic and acknowledged by the competent authorities to the exporter without delay and in any case within 10 working days of receipt, subject to Article 9(1) of this Regulation.

Where applicable the requirements set out in the second and third paragraphs shall be based on those defined for the use of national general export authorisations granted by those Member States which provide for such authorisations.

ANNEX UNION GENERAL EXPORT AUTHORISATION No EU003 (referred to in Article IIc 9(1) of this Regulation) Export after repair/replacement Issuing authority: European Union Part 1 — Items 1. This general export authorisation covers all dual-use items specified in any entry in Annex I to this Regulation except those listed in paragraph 2 where:

- (a) the items were reimported into the customs territory of the European Union for the purpose of maintenance, repair or replacement, and are exported or re-exported to the country of consignment without any changes to their original

*Status: Point in time view as at 16/11/2011.**Changes to legislation: There are currently no known outstanding effects for the Regulation (EU) No 1232/2011 of the European Parliament and of the Council. (See end of Document for details)*

characteristics within a period of 5 years after the date when the original export authorisation has been granted; or

- (b) the items are exported to the country of consignment in exchange for items of the same quality and number which were reimported into the customs territory of the European Union for maintenance, repair or replacement within a period of 5 years after the date when the original export authorisation has been granted.

2. Items excluded:

- (a) all items listed in Annex IIg;
- (b) all items in Sections D and E set out in Annex I to this Regulation;
- (c) the following items specified in Annex I to this Regulation:
- 1A002a,
  - 1C012a,
  - 1C227,
  - 1C228,
  - 1C229,
  - 1C230,
  - 1C231,
  - 1C236,
  - 1C237,
  - 1C240,
  - 1C350,
  - 1C450,
  - 5A001b5,
  - 5A002a2 to 5A002a9,
  - 5B002 Equipment as follows:
    - a. equipment specially designed for the “development” or “production” of equipment specified by 5A002a2 to 5A002a9;
    - b. measuring equipment specially designed to evaluate and validate the “information security” functions of equipment specified by 5A002a2 to 5A002a9,
  - 6A001a2a1,
  - 6A001a2a5,
  - 6A002a1c,
  - 6A008I3,
  - 8A001b,
  - 8A001d,
  - 9A011.

Part 2 —Destinations

This authorisation is valid throughout the Union for exports to the following destinations:

Albania  
Argentina



*Status: Point in time view as at 16/11/2011.*

**Changes to legislation:** *There are currently no known outstanding effects for the Regulation (EU) No 1232/2011 of the European Parliament and of the Council. (See end of Document for details)*

Bosnia and Herzegovina  
Brazil  
Chile  
China (including Hong Kong and Macao)  
Croatia  
former Yugoslav Republic of Macedonia, the  
French Overseas Territories  
Iceland  
India  
Kazakhstan  
Mexico  
Montenegro  
Morocco  
Russia  
Serbia  
Singapore  
South Africa  
South Korea  
Tunisia  
Turkey  
Ukraine  
United Arab Emirates

#### Part 3 —Conditions and requirements for use1.

This authorisation can only be used when the initial export has taken place under a Union General Export Authorisation or an initial export authorisation has been granted by the competent authorities of the Member State where the original exporter was established for the export of the items which have subsequently been reimported into the customs territory of the European Union for the purposes of maintenance, repair or replacement. This authorisation is valid only for exports to the original end-user.

2. This authorisation does not authorise the export of items where:

- (1) the exporter has been informed by the competent authorities of the Member State in which he is established as defined in Article 9(6) of this Regulation that the items in question are or may be intended, in their entirety or in part,
  - (a) for use in connection with the development, production, handling, operation, maintenance, storage, detection, identification or dissemination of chemical, biological or nuclear weapons or other nuclear explosive devices or the development, production, maintenance or storage of missiles capable of delivering such weapons;
  - (b) for a military end-use as defined in Article 4(2) of this Regulation where the purchasing country or country of destination is subject to an arms embargo imposed by a decision or a common position adopted by the Council or a decision of the Organisation for Security and Cooperation in Europe or an arms embargo imposed by a binding resolution of the Security Council of the United Nations; or

---

*Status: Point in time view as at 16/11/2011.*

**Changes to legislation:** *There are currently no known outstanding effects for the Regulation (EU) No 1232/2011 of the European Parliament and of the Council. (See end of Document for details)*

---

- (c) for use as parts or components of military items listed in the national military list that have been exported from the territory of the Member State concerned without authorisation or in breach of an authorisation prescribed by the national legislation of that Member State;
- (2) the exporter is aware that the items in question are intended, in their entirety or in part, for any of the uses referred to in subparagraph (1);
- (3) the relevant items are exported to a customs-free zone or a free warehouse which is located in a destination covered by this authorisation;
- (4) the initial authorisation has been annulled, suspended, modified or revoked;
- (5) the exporter, under his obligation to exercise due diligence, is aware that the end-use of the items in question is different from that specified in the original export authorisation.

3. On exportation of any of the items pursuant to this authorisation, exporters must:

- (1) mention the reference number of the initial export authorisation in the export declaration to customs together with the name of the Member State that granted the authorisation, the EU reference number X002 and specify that the items are being exported under Union General Export Authorisation EU003 in box 44 of the Single Administrative Document;
- (2) provide customs officers, if so requested, with documentary evidence of the date of importation of the items into the Union, of any maintenance, repair or replacement of the items carried out in the Union and of the fact that the items are being returned to the end-user and the country from which they were imported into the Union.

4. Any exporter who uses this authorisation must notify the competent authorities of the Member State where he is established of the first use of this authorisation no later than 30 days after the date when the first export took place or, alternatively, and in accordance with a requirement by the competent authority of the Member State where the exporter is established, prior to the first use of this authorisation. Member States shall notify the Commission of the notification mechanism chosen for this authorisation. The Commission shall publish the information notified to it in the C series of the Official Journal of the European Union.

Reporting requirements attached to the use of this authorisation and additional information that the Member State from which the export is made might require on items exported under this authorisation are defined by Member States.

A Member State may require the exporter established in that Member State to register prior to the first use of this authorisation. Registration shall be automatic and acknowledged by the competent authorities to the exporter without delay and in any case within 10 working days of receipt, subject to Article 9(1) of this Regulation.

Where applicable the requirements set out in the second and third subparagraphs shall be based on those defined for the use of national general export authorisations granted by those Member States which provide for such authorisations.

5.

This authorisation covers items for “repair”, “replacement” and “maintenance”. This may involve coincidental improvement on the original goods, e.g. resulting from

*Status: Point in time view as at 16/11/2011.*

**Changes to legislation:** *There are currently no known outstanding effects for the Regulation (EU) No 1232/2011 of the European Parliament and of the Council. (See end of Document for details)*

the use of modern spare parts or from use of a later built standard for reliability or safety reasons, provided that this does not result in any enhancement to the functional capability of the items or provide the items with new or additional functions.

ANNEX UNION GENERAL EXPORT AUTHORISATION No EU004(referred to in Article  
II d 9(1) of this Regulation)Temporary export for exhibition or fairIssuing authority:  
European UnionPart 1 –Items

This general export authorisation covers all dual-use items specified in any entry in Annex I to this Regulation except:

- (a) all items listed in Annex IIg;
- (b) all items in Section D set out in Annex I to this Regulation (this does not include software necessary to the proper functioning of the equipment for the purpose of the demonstration);
- (c) all items in Section E set out in Annex I to this Regulation;
- (d) the following items specified in Annex I to this Regulation:
  - 1A002a,
  - 1C002.b.4,
  - 1C010,
  - 1C012.a,
  - 1C227,
  - 1C228,
  - 1C229,
  - 1C230,
  - 1C231,
  - 1C236,
  - 1C237,
  - 1C240,
  - 1C350,
  - 1C450,
  - 5A001b5,
  - 5A002a2 to 5A002a9,
  - 5B002 Equipment as follows:
    - a. equipment specially designed for the “development” or “production” of equipment specified by 5A002a2 to 5A002a9;
    - b. measuring equipment specially designed to evaluate and validate the “information security” functions of equipment specified by 5A002a2 to 5A002a9,
  - 6A001,
  - 6A002a,
  - 6A008I3,
  - 8A001b,
  - 8A001d,
  - 9A011.

Part 2 –Destinations

---

*Status: Point in time view as at 16/11/2011.*

**Changes to legislation:** *There are currently no known outstanding effects for the Regulation (EU) No 1232/2011 of the European Parliament and of the Council. (See end of Document for details)*

---

This authorisation is valid throughout the Union for exports to the following destinations:

Albania, Argentina, Bosnia and Herzegovina, Brazil, Chile, China (including Hong Kong and Macao), Croatia, the former Yugoslav Republic of Macedonia, French Overseas Territories, Iceland, India, Kazakhstan, Mexico, Montenegro, Morocco, Russia, Serbia, Singapore, South Africa, South Korea, Tunisia, Turkey, Ukraine, and United Arab Emirates.

Part 3 –Conditions and requirements for use1.

This authorisation authorises the export of items listed in Part 1 on condition that the export concerns temporary export for exhibition or fair as defined in point 6 and that the items are reimported within a period of 120 days after the initial export, complete and without modification, into the customs territory of the European Union.

2.

The competent authority of the Member State where the exporter is established as defined in Article 9(6) of this Regulation may, at the exporter's request, waive the requirement that the items are to be reimported as stated in paragraph 1. To waive the requirement, the procedure for individual authorisations laid down in Articles 9(2) and 14(1) of this Regulation shall apply accordingly.

3.This authorisation does not authorise the export of items where:

- (1) the exporter has been informed by the competent authorities of the Member State in which he is established that the items in question are or may be intended, in their entirety or in part:
  - (a) for use in connection with the development, production, handling, operation, maintenance, storage, detection, identification or dissemination of chemical, biological or nuclear weapons or other nuclear explosive devices, or the development, production, maintenance or storage of missiles capable of delivering such weapons;
  - (b) for a military end-use as defined in Article 4(2) of this Regulation where the purchasing country or country of destination is subject to an arms embargo imposed by a decision or a common position adopted by the Council or a decision of the Organisation for Security and Cooperation in Europe or an arms embargo imposed by a binding resolution of the Security Council of the United Nations; or
  - (c) for use as parts or components of military items listed in the national military list that have been exported from the territory of the Member State concerned without authorisation or in breach of an authorisation prescribed by the national legislation of that Member State;
- (2) the exporter is aware that the items in question are intended, in their entirety or in part, for any of the uses referred to in subparagraph (1);
- (3) the relevant items are exported to a customs-free zone or a free warehouse which is located in a destination covered by this authorisation;

---

*Status: Point in time view as at 16/11/2011.*

**Changes to legislation:** *There are currently no known outstanding effects for the Regulation (EU) No 1232/2011 of the European Parliament and of the Council. (See end of Document for details)*

---

- (4) the exporter has been informed by a competent authority of the Member State in which he is established, or is otherwise aware (e.g. from information received from the manufacturer), that the items in question have been classified by the competent authority as having a protective national security classification marking, equivalent to or above *CONFIDENTIEL UE/EU CONFIDENTIAL*;
- (5) their return, in their original state, without the removal, copying or dissemination of any component or software, cannot be guaranteed by the exporter, or where a transfer of technology is connected with a presentation;
- (6) the relevant items are to be exported for a private presentation or demonstration (e.g. in in-house showrooms);
- (7) the relevant items are to be merged into any production process;
- (8) the relevant items are to be used for their intended purpose, except to the minimum extent required for effective demonstration, but without making specific test outputs available to third parties;
- (9) the export is to take place as a result of a commercial transaction, in particular as regards the sale, rental or lease of the relevant items;
- (10) the relevant items are to be stored at an exhibition or fair only for the purpose of sale, rent or lease, without being presented or demonstrated;
- (11) the exporter makes any arrangement which would prevent him from keeping the relevant items under his control during the whole period of the temporary export.

4.

Exporters must mention the EU reference number X002 and specify that the items are being exported under Union General Export Authorisation EU004 in box 44 of the Single Administrative Document.

5. Any exporter who uses this authorisation must notify the competent authorities of the Member State where he is established of the first use of this authorisation no later than 30 days after the date when the first export took place or, alternatively, and in accordance with a requirement by the competent authority of the Member State where the exporter is established, prior to the first use of this authorisation. Member States shall notify the Commission of the notification mechanism chosen for this authorisation. The Commission shall publish the information notified to it in the C series of the Official Journal of the European Union.

Reporting requirements attached to the use of this authorisation and additional information that the Member State from which the export is made might require on items exported under this authorisation are defined by Member States.

A Member State may require exporters established in that Member State to register prior to the first use of this authorisation. Registration shall be automatic and acknowledged by the competent authorities to the exporter without delay and in any case within 10 working days of receipt, subject to Article 9(1) of this Regulation.

Where applicable the requirements set out in the second and third subparagraphs shall be based on those defined for the use of national general export authorisations granted by those Member States which provide for such authorisations.

6.

---

*Status: Point in time view as at 16/11/2011.*

**Changes to legislation:** *There are currently no known outstanding effects for the Regulation (EU) No 1232/2011 of the European Parliament and of the Council. (See end of Document for details)*

---

For the purpose of this authorisation, “exhibition or fair” means commercial events of a specific duration at which several exhibitors make demonstrations of their products to trade visitors or to the general public.

ANNEX UNION GENERAL EXPORT AUTHORISATION NO EU005 (referred to in Article 9(1) of this Regulation) Telecommunications Issuing authority: European Union Part 1 – Items

This general export authorisation covers the following dual-use items specified in Annex I to this Regulation:

- (a) the following items of Category 5, Part I:
  - (i) items, including specially designed or developed components and accessories therefore specified in 5A001b2 and 5A001c and d;
  - (ii) items specified in 5B001 and 5D001, where test, inspection and production equipment is concerned and software for items mentioned under (i);
- (b) technology controlled by 5E001a, where required for the installation, operation, maintenance or repair of items specified under (a) and intended for the same end-user.

Part 2 – Destinations

This authorisation is valid throughout the Union for exports to the following destinations:

Argentina, China (including Hong Kong and Macao), Croatia, India, Russia, South Africa, South Korea, Turkey, and Ukraine.

Part 3 – Conditions and requirements for use 1. This authorisation does not authorise the export of items where:

- (1) the exporter has been informed by the competent authorities of the Member State in which he is established as defined in Article 9(6) of this Regulation that the items in question are or may be intended, in their entirety or in part:
  - (a) for use in connection with the development, production, handling, operation, maintenance, storage, detection, identification or dissemination of chemical, biological or nuclear weapons or other nuclear explosive devices, or the development, production, maintenance or storage of missiles capable of delivering such weapons;
  - (b) for a military end-use as defined in Article 4(2) of this Regulation where the purchasing country or country of destination is subject to an arms embargo imposed by a decision or a common position adopted by the Council or a decision of the Organisation for Security and Cooperation in Europe or an arms embargo imposed by a binding resolution of the Security Council of the United Nations;
  - (c) for use as parts or components of military items listed in the national military list that have been exported from the territory of the Member State concerned without authorisation or in breach

*Status: Point in time view as at 16/11/2011.*

**Changes to legislation:** *There are currently no known outstanding effects for the Regulation (EU) No 1232/2011 of the European Parliament and of the Council. (See end of Document for details)*

- of an authorisation prescribed by the national legislation of that Member State; or
- (d) for use in connection with a violation of human rights, democratic principles or freedom of speech as defined by the Charter of Fundamental Rights of the European Union, by using interception technologies and digital data transfer devices for monitoring mobile phones and text messages and targeted surveillance of Internet use (e.g. via Monitoring Centres and Lawful Interception Gateways);
- (2) the exporter, under his obligation to exercise due diligence, is aware that the items in question are intended, in their entirety or in part, for any of the uses referred to in subparagraph 1;
- (3) the exporter, under his obligation to exercise due diligence, is aware that the items in question will be re-exported to any destination other than those listed in Part 2 of this Annex or in Part 2 of Annex IIa or to Member States;
- (4) the relevant items are exported to a customs-free zone or a free warehouse which is located in a destination covered by this authorisation.
- 2.

Exporters must mention the EU reference number X002 and specify that the items are being exported under Union General Export Authorisation EU005 in box 44 of the Single Administrative Document.

3. Any exporter who uses this authorisation must notify the competent authorities of the Member State where he is established of the first use of this authorisation no later than 30 days after the date when the first export took place or, alternatively, and in accordance with a requirement by the competent authority of the Member State where the exporter is established, prior to the first use of this authorisation. Member States shall notify the Commission of the notification mechanism chosen for this authorisation. The Commission shall publish the information notified to it in the C series of the Official Journal of the European Union.

Reporting requirements attached to the use of this authorisation and additional information that the Member State from which the export is made might require on items exported under this authorisation are defined by Member States.

A Member State may require exporters established in that Member State to register prior to the first use of this authorisation. Registration shall be automatic and acknowledged by the competent authorities to the exporter without delay and in any case within 10 working days of receipt, subject to Article 9(1) of this Regulation.

Where applicable the requirements set out in the second and third subparagraphs shall be based on those defined for the use of national general export authorisations granted by those Member States which provide for such authorisations.

#### ANNEX UNION GENERAL EXPORT AUTHORISATION No EU006 (referred to in Article II f 9(1) of this Regulation) Chemicals Part 1 – Items

This general export authorisation covers the following dual-use items specified in Annex I to this Regulation:

1C350:

1. Thiodiglycol (111-48-8);

---

*Status: Point in time view as at 16/11/2011.*

**Changes to legislation:** *There are currently no known outstanding effects for the Regulation (EU) No 1232/2011 of the European Parliament and of the Council. (See end of Document for details)*

---

2. Phosphorus oxychloride (10025-87-3);
3. Dimethyl methylphosphonate (756-79-6);
5. Methylphosphonyl dichloride (676-97-1);
6. Dimethyl phosphite (DMP) (868-85-9);
7. Phosphorus trichloride (7719-12-2);
8. Trimethyl phosphite (TMP) (121-45-9);
9. Thionyl chloride (7719-09-7);
10. 3-Hydroxy-1-methylpiperidine (3554-74-3);
11. N,N-Diisopropyl-(beta)-aminoethyl chloride (96-79-7);
12. N,N-Diisopropyl-(beta)-aminoethane thiol (5842-07-9);
13. Quinuclidin-3-ol (1619-34-7);
14. Potassium fluoride (7789-23-3);
15. 2-Chloroethanol (107-07-3);
16. Dimethylamine (124-40-3);
17. Diethyl ethylphosphonate (78-38-6);
18. Diethyl-N,N-dimethylphosphoramidate (2404-03-7);
19. Diethyl phosphite (762-04-9);
20. Dimethylamine hydrochloride (506-59-2);
21. Ethyl phosphinyl dichloride (1498-40-4);
22. Ethyl phosphonyl dichloride (1066-50-8);
24. Hydrogen fluoride (7664-39-3);
25. Methyl benzilate (76-89-1);
26. Methyl phosphinyl dichloride (676-83-5);
27. N,N-Diisopropyl-(beta)-amino ethanol (96-80-0);
28. Pinacolyl alcohol (464-07-3);
30. Triethyl phosphite (122-52-1);
31. Arsenic trichloride (7784-34-1);
32. Benzilic acid (76-93-7);
33. Diethyl methylphosphonite (15715-41-0);
34. Dimethyl ethylphosphonate (6163-75-3);
35. Ethyl phosphinyl difluoride (430-78-4);



*Status: Point in time view as at 16/11/2011.*

**Changes to legislation:** *There are currently no known outstanding effects for the Regulation (EU) No 1232/2011 of the European Parliament and of the Council. (See end of Document for details)*

36. Methyl phosphinyl difluoride (753-59-3);
  37. 3-Quinuclidone (3731-38-2);
  38. Phosphorus pentachloride (10026-13-8);
  39. Pinacolone (75-97-8);
  40. Potassium cyanide (151-50-8);
  41. Potassium bifluoride (7789-29-9);
  42. Ammonium hydrogen fluoride or ammonium bifluoride (1341-49-7);
  43. Sodium fluoride (7681-49-4);
  44. Sodium bifluoride (1333-83-1);
  45. Sodium cyanide (143-33-9);
  46. Triethanolamine (102-71-6);
  47. Phosphorus pentasulphide (1314-80-3);
  48. Di-isopropylamine (108-18-9);
  49. Diethylaminoethanol (100-37-8);
  50. Sodium sulphide (1313-82-2);
  51. Sulphur monochloride (10025-67-9);
  52. Sulphur dichloride (10545-99-0);
  53. Triethanolamine hydrochloride (637-39-8);
  54. N,N-Diisopropyl-(Beta)-aminoethyl chloride hydrochloride (4261-68-1);
  55. Methylphosphonic acid (993-13-5);
  56. Diethyl methylphosphonate (683-08-9);
  57. N,N-Dimethylaminophosphoryl dichloride (677-43-0);
  58. Triisopropyl phosphite (116-17-6);
  59. Ethyldiethanolamine (139-87-7);
  60. O,O-Diethyl phosphorothioate (2465-65-8);
  61. O,O-Diethyl phosphorodithioate (298-06-6);
  62. Sodium hexafluorosilicate (16893-85-9);
  63. Methylphosphonothioic dichloride (676-98-2).
- 1C450 a:
4. Phosgene: Carbonyl dichloride (75-44-5);
  5. Cyanogen chloride (506-77-4);

---

*Status: Point in time view as at 16/11/2011.*

**Changes to legislation:** *There are currently no known outstanding effects for the Regulation (EU) No 1232/2011 of the European Parliament and of the Council. (See end of Document for details)*

---

6. Hydrogen cyanide (74-90-8);
  7. Chloropicrin: Trichloronitromethane (76-06-2);
- 1C450 b:
1. Chemicals, other than those specified in the Military Goods Controls or in 1C350, containing a phosphorus atom to which is bonded one methyl, ethyl or propyl (normal or iso) group but not further carbon atoms;
  2. N,N-Dialkyl [methyl, ethyl or propyl (normal or iso)] phosphoramidic dihalides, other than N,N-Dimethylaminophosphoryl dichloride which is specified in 1C350.57;
  3. Dialkyl [methyl, ethyl or propyl (normal or iso)] N,N-dialkyl [methyl, ethyl or propyl (normal or iso)]-phosphoramidates, other than Diethyl-N,N-dimethylphosphoramidate which is specified in 1C350;
  4. N,N-Dialkyl [methyl, ethyl or propyl (normal or iso)] aminoethyl-2-chlorides and corresponding protonated salts, other than N,N-Diisopropyl-(beta)-aminoethyl chloride or N,N-Diisopropyl-(beta)-aminoethyl chloride hydrochloride which are specified in 1C350;
  5. N,N-Dialkyl [methyl, ethyl or propyl (normal or iso)] aminoethane-2-ols and corresponding protonated salts; other than N,N-Diisopropyl-(beta)-aminoethanol (96-80-0) and N,N-Diethylaminoethanol (100-37-8) which are specified in 1C350;
  6. N,N-Dialkyl [methyl, ethyl or propyl (normal or iso)] aminoethane-2-thiols and corresponding protonated salts, other than N,N-Diisopropyl-(beta)-aminoethane thiol which is specified in 1C350;
  8. Methyl-diethanolamine (105-59-9).

#### Part 2 –Destinations

This authorisation is valid throughout the Union for exports to the following destinations:

Argentina, Croatia, Iceland, South Korea, Turkey, and Ukraine.

Part 3 –Conditions and requirements for use 1. This authorisation does not authorise the export of items where:

- (1) the exporter has been informed by the competent authorities of the Member State in which he is established as defined in Article 9(6) of this Regulation that the items in question are or may be intended, in their entirety or in part:
  - (a) for use in connection with the development, production, handling, operation, maintenance, storage, detection, identification or dissemination of chemical, biological or nuclear weapons or other nuclear explosive devices, or the development, production, maintenance or storage of missiles capable of delivering such weapons;

---

*Status: Point in time view as at 16/11/2011.*

**Changes to legislation:** *There are currently no known outstanding effects for the Regulation (EU) No 1232/2011 of the European Parliament and of the Council. (See end of Document for details)*

---

- (b) for a military end-use as defined in Article 4(2) of this Regulation where the purchasing country or country of destination is subject to an arms embargo imposed by a decision or a common position adopted by the Council or a decision of the Organisation for Security and Cooperation in Europe or an arms embargo imposed by a binding resolution of the Security Council of the United Nations; or
  - (c) for use as parts or components of military items listed in the national military list that have been exported from the territory of the Member State concerned without authorisation or in breach of an authorisation prescribed by the national legislation of that Member State;
- (2) the exporter, under his obligation to exercise due diligence, is aware that the items in question are intended, in their entirety or in part, for any of the uses referred to in subparagraph 1;
  - (3) the exporter, under his obligation to exercise due diligence, is aware that the items in question will be re-exported to any destination other than those listed in Part 2 of this Annex or in Part 2 of Annex IIa or to Member States; or
  - (4) the relevant items are exported to a customs-free zone or a free warehouse which is located in a destination covered by this authorisation.
- 2.

Exporters must mention the EU reference number X002 and specify that the items are being exported under Union General Export Authorisation EU006 in box 44 of the Single Administrative Document.

3. Any exporter who uses this authorisation must notify the competent authorities of the Member State where he is established of the first use of this authorisation no later than 30 days after the date when the first export took place or, alternatively, and in accordance with a requirement by the competent authority of the Member State where the exporter is established, prior to the first use of this authorisation. Member States shall notify the Commission of the notification mechanism chosen for this authorisation. The Commission shall publish the information notified to it in the C series of the Official Journal of the European Union.

Reporting requirements attached to the use of this authorisation and additional information that the Member State from which the export is made might require on items exported under this authorisation are defined by Member States.

A Member State may require exporters established in that Member State to register prior to the first use of this authorisation. Registration shall be automatic and acknowledged by the competent authorities to the exporter without delay and in any case within 10 working days of receipt, subject to Article 9(1) of this Regulation.

Where applicable the requirements set out in the second and third subparagraphs shall be based on those defined for the use of national general export authorisations granted by those Member States which provide for such authorisations.

---

*Status: Point in time view as at 16/11/2011.*

**Changes to legislation:** *There are currently no known outstanding effects for the Regulation (EU) No 1232/2011 of the European Parliament and of the Council. (See end of Document for details)*

---

## ANNEX IIg

### **(List referred to in Article 9(4)(a) of this Regulation and Annexes IIa, IIc and IId to this Regulation)**

The entries do not always provide a complete description of the items and the related notes in Annex I. Only Annex I provides a complete description of the items.

The mention of an item in this Annex does not affect the application of the General Software Note (GSN) in Annex I.

- all items specified in Annex IV,
- 0C001 “Natural uranium” or “depleted uranium” or thorium in the form of metal, alloy, chemical compound or concentrate and any other material containing one or more of the foregoing,
- 0C002 “Special fissile materials” other than those specified in Annex IV,
- 0D001 “Software” specially designed or modified for the “development”, “production” or “...” of goods specified in Category 0, in so far as it relates to 0C001 or to those items of 0C002 that are excluded from Annex IV,
- 0E001 “Technology” in accordance with the Nuclear Technology Note for the “development”, “production” or “...” of goods specified in Category 0, in so far as it relates to 0C001 or to those items of 0C002 that are excluded from Annex IV,
- 1A102 Resaturated pyrolysed carbon-carbon components designed for space launch vehicles specified in 9A004 or sounding rockets specified in 9A104,
- 1C351 Human pathogens, zoonoses and “toxins”,
- 1C352 Animal pathogens,
- 1C353 Genetic elements and genetically modified organisms,
- 1C354 Plant pathogens,
- 1C450a.1. amiton: O,O-Diethyl S-[2-(diethylamino)ethyl] phosphorothiolate (78-53-5) and corresponding alkylated or protonated salts,
- 1C450a.2. PFIB: 1,1,3,3,3-Pentafluoro-2-(trifluoromethyl)-1-propene (382-21-8),
- 7E104 “Technology” for the integration of flight control, guidance and propulsion data into a flight management system for optimisation of rocket system trajectory,
- 9A009.a. Hybrid rocket propulsion systems with total impulse capacity exceeding 1.1 MNs,
- 9A117 Staging mechanisms, separation mechanisms and interstages usable in “missiles”.

### STATEMENT BY THE COMMISSION

The Commission intends to review this Regulation no later than 31 December 2013, in particular as regards assessing the possibility of introducing a General Export Authorisation on low-value shipments.

### STATEMENT BY THE EUROPEAN PARLIAMENT, THE COUNCIL AND THE COMMISSION ON LOW-VALUE SHIPMENTS

This Regulation does not affect the National General Export Authorisations on low-value shipments issued by Member States in accordance with Article 9(4) of Regulation (EC) No 428/2009.

---

**Status:** Point in time view as at 16/11/2011.

**Changes to legislation:** There are currently no known outstanding effects for the Regulation (EU) No 1232/2011 of the European Parliament and of the Council. (See end of Document for details)

---

---

**Status:** Point in time view as at 16/11/2011.

**Changes to legislation:** There are currently no known outstanding effects for the Regulation (EU) No 1232/2011 of the European Parliament and of the Council. (See end of Document for details)

---

- (1) Position of the European Parliament of 27 September 2011 (not yet published in the Official Journal) and Council decision of 27 October 2011.
- (2) [OJ L 134, 29.5.2009, p. 1.](#)
- (3) [OJ L 159, 30.6.2000, p. 1.](#)
- (4) [OJ L 145, 31.5.2001, p. 43.](#);

**Status:**

Point in time view as at 16/11/2011.

**Changes to legislation:**

There are currently no known outstanding effects for the Regulation (EU) No 1232/2011 of the European Parliament and of the Council.