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► <b><u>M23</u></b>	Council Regulation (EU) 2016/1333 of 4 August 2016	L 212	1	5.8.2016

Corrected by:

- **C1** Corrigendum, OJ L 239, 6.9.2008, p. 56 (117/2008)
- **C2** Corrigendum, OJ L 151, 8.6.2016, p. 12 (2016/780)

**▼B**

**COUNCIL REGULATION (EC) No 329/2007**  
**of 27 March 2007**  
**concerning restrictive measures against the Democratic People's**  
**Republic of Korea**

*Article 1*

For the purposes of this Regulation, the following definitions shall apply:

1. 'Sanctions Committee' means: the Committee of the UN Security Council which was established pursuant to paragraph 12 of UN Security Council Resolution 1718 (2006);
2. 'North Korea' means the Democratic People's Republic of Korea;
3. 'technical assistance' means any technical support related to repairs, development, manufacture, assembly, testing, maintenance, or any other technical service, and may take forms such as instruction, advice, training, transmission of working knowledge or skills or consulting services; including verbal forms of assistance;
4. 'funds' means financial assets and benefits of every kind, including but not limited to:
  - (a) cash, cheques, claims on money, drafts, money orders and other payment instruments;
  - (b) deposits with financial institutions or other entities, balances on accounts, debts and debt obligations;
  - (c) publicly- and privately-traded securities and debt instruments, including stocks and shares, certificates representing securities, bonds, notes, warrants, debentures and derivatives contracts;
  - (d) interest, dividends or other income on or value accruing from or generated by assets;
  - (e) credit, right of set-off, guarantees, performance bonds or other financial commitments;
  - (f) letters of credit, bills of lading, bills of sale; and
  - (g) documents evidencing an interest in funds or financial resources;
5. 'freezing of funds' means preventing any moving, transfer, alteration, use of, access to, or dealing with funds in any way that would result in any change in their volume, amount, location, ownership, possession, character, destination or other change that would enable the use of the funds, including portfolio management;

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6. 'economic resources' means assets of every kind, whether tangible or intangible, movable or immovable, actual or potential, which are not funds but can be used to obtain funds, goods or services, including vessels, such as maritime vessels;

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7. 'freezing of economic resources' means preventing the use of economic resources to obtain funds, goods or services in any way, including, but not limited to, by selling, hiring or mortgaging them;

**▼ M4**

8. 'territory of the Union' means the territories of the Member States to which the Treaty is applicable, under the conditions laid down in the Treaty, including their airspace;

**▼ M12**

9. 'brokering services' means:
  - (i) the negotiation or arrangement of transactions for the purchase, sale or supply of goods and technology or of financial and technical services, including from a third country to any other third country; or
  - (ii) the selling or buying of goods and technology or of financial and technical services, including where they are located in third countries for their transfer to another third country;

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10. 'investment services' means the following services and activities:
  - (a) reception and transmission of orders in relation to one or more financial instruments;
  - (b) execution of orders on behalf of clients;
  - (c) dealing on own account;
  - (d) portfolio management;
  - (e) investment advice;
  - (f) underwriting of financial instruments and/or placing of financial instruments on a firm-commitment basis;
  - (g) placing of financial instruments without a firm-commitment basis;
  - (h) any service in relation to the admission to trading on a regulated market or trading on a multilateral trading facility;
11. 'transfer of funds' means:
  - (a) any transaction carried out on behalf of a payer through a payment service provider by electronic means, with a view to making funds available to a payee at a payment service provider, irrespective of whether the payer and the payee are the same person;
  - (b) any transaction by non-electronic means, such as in cash, cheques or accountancy orders, with a view to making funds available to a payee irrespective of whether the payer and the payee are the same person;
12. 'payee' means a natural or legal person that is the intended recipient of transferred funds;

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13. ‘payer’ means a person that holds a payment account and allows a transfer of funds from that payment account, or, where there is no payment account, that gives a transfer-of-funds order;
14. ‘payment service provider’ means the categories of payment service provider referred to in Article 1(1) of Directive 2007/64/EC of the European Parliament and of the Council <sup>(1)</sup>, natural or legal persons benefiting from a waiver pursuant to Article 26 of Directive 2007/64/EC and legal persons benefiting from a waiver pursuant to Article 9 of Directive 2009/110/EC of the European Parliament and of the Council <sup>(2)</sup>, providing transfer-of-funds services.

**▼ M20***Article 2*

1. It shall be prohibited:
  - (a) to sell, supply, transfer or export, directly or indirectly, the goods and technology, including software, listed in ► **M23** Annexes I, Ia, Ib and Ig ◀, whether or not originating in the Union, to any natural or legal person, entity or body in, or for use in North Korea;
  - (b) to sell, supply, export or transfer aviation fuel as listed in Annex Ie to North Korea or transport to North Korea aviation fuel on board the flag vessels or aircraft of Member States, whether or not originating in the territories of Member States;
  - (c) to participate, knowingly and intentionally, in activities the object or effect of which is to circumvent the prohibitions referred to in points (a) and (b).
2. Annex I shall include all items, materials, equipment, goods and technology, including software, which are dual-use items or technology as defined in Council Regulation (EC) No 428/2009 <sup>(3)</sup>.

Annex Ia shall include other items, materials, equipment, goods and technology which could contribute to North Korea's nuclear-related, other weapons of mass destruction-related or ballistic missile-related programmes.

Annex Ib shall include certain key components for the ballistic missile sector.

Annex Ie shall include the aviation fuel referred to in paragraph 1(b).

<sup>(1)</sup> Directive 2007/64/EC of the European Parliament and of the Council of 13 November 2007 on payment services in the internal market amending Directives 97/7/EC, 2002/65/EC, 2005/60/EC and 2006/48/EC and repealing Directive 97/5/EC (OJ L 319, 5.12.2007, p. 1).

<sup>(2)</sup> Directive 2009/110/EC of the European Parliament and of the Council of 16 September 2009 on the taking up, pursuit and prudential supervision of the business of electronic money institutions amending Directives 2005/60/EC and 2006/48/EC and repealing Directive 2000/46/EC (OJ L 267, 10.10.2009, p. 7).

<sup>(3)</sup> 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 (OJ L 134, 29.5.2009, p. 1).

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Annex Ig shall include weapons-of-mass-destruction-related items, materials, equipment, goods and technology identified and designated as sensitive goods, pursuant to paragraph 25 of UN Security Council Resolution 2270 (2016).

**▼ M20**

3. It shall be prohibited to purchase, import or transport the goods and technology listed in ► **M23** Annexes I, Ia, Ib and Ig ◀ from North Korea, whether or not the item concerned originates in North Korea.

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4. It shall be prohibited to:

- (a) import, purchase or transfer gold, titanium ore, vanadium ore and rare-earth minerals, as listed in Annex Ic, or coal, iron and iron ore, as listed in Annex Id, from North Korea, whether or not originating in North Korea;
- (b) import, purchase or transfer from North Korea petroleum products, as listed in Annex If, whether or not originating in North Korea;
- (c) participate, knowingly and intentionally, in activities the object or effect of which is to circumvent the prohibitions referred to in points (a) and (b).

Annex Ic shall include gold, titanium ore, vanadium ore and rare-earth minerals referred to in point (a) of paragraph 4.

Annex Id shall include coal, iron and iron ore referred to in point (a) of paragraph 4.

Annex If shall include the petroleum products referred to in point (b) of paragraph 4.

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5. By way of derogation from paragraph 4(a), the relevant competent authority of the Member State, as identified on the websites listed in Annex II, may authorise:

- (a) the purchase, import or transfer of coal provided that the competent authority of the Member State, as identified on the websites listed in Annex II, has determined on the basis of credible information that the shipment originated outside of North Korea and was transported through North Korea solely for export from the Port of Rajin (Rason), that the relevant Member State has notified the Sanctions Committee in advance of such transactions, and that the transactions are unrelated to generating revenue for North Korea's nuclear or ballistic missile programmes or other activities prohibited by UN Security Council Resolutions 1718 (2006), 1874 (2009), 2087 (2013), 2094 (2013) or 2270 (2016) or by this Regulation; or
- (b) transactions that are determined to be exclusively for livelihood purposes and unrelated to generating revenue for North Korea's nuclear or ballistic missile programmes or other activities prohibited by UN Security Council Resolutions 1718 (2006), 1874 (2009), 2087 (2013), 2094 (2013) or 2270 (2016) or by this Regulation.

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6. The prohibition referred to in paragraph 1(b) shall not apply with respect to the sale or supply of aviation fuel to civilian passenger aircraft outside North Korea exclusively for consumption during its flight to North Korea and its return to the airport of origin.

7. By way of derogation from paragraph 1(b), the relevant competent authority of the Member State, as identified on the websites listed in Annex II, may authorise the sale, supply or transfer of an item, provided that the Member State has obtained the advance approval of the Sanctions Committee on an exceptional case-by-case basis of the transfer to North Korea of such products for verified essential humanitarian needs and subject to specified arrangements for effective monitoring of delivery and use.

8. The Member State concerned shall inform the other Member States and the Commission of any authorisation granted under paragraph 5 or 7.

*Article 2a*

1. It shall be prohibited to sell, supply, transfer or export, directly or indirectly, to North Korea any item, except food or medicine, if the exporter knows or has reasonable grounds to believe that:

- (a) the item is destined directly or indirectly for North Korea's armed forces; or
- (b) the export of the item could support or enhance the operational capabilities of the armed forces of a State other than North Korea.

2. It shall be prohibited to purchase, import or transport from North Korea items referred to in paragraph 1 if the importer or transporter knows or has reasonable grounds to believe that the ground in point (a) or (b) of that paragraph exists.

3. By way of derogation from paragraph 1, the relevant competent authority of the Member State, as identified on the websites listed in Annex II, may authorise the sale, supply, transfer or export of an item to North Korea, or the purchase, import or transport of an item from North Korea, where:

- (a) the item does not relate to the production, development, maintenance or use of military goods, or development or the maintenance of military personnel, and the competent authority has determined that the item would not directly contribute to the development of the operational capabilities of North Korea's armed forces or to exports that support or enhance the operational capabilities of armed forces of a State other than North Korea;
- (b) the Sanctions Committee has determined on a case-by-case basis that a particular supply, sale or transfer would not be contrary to the objectives of UN Security Council Resolutions 1718 (2006), 1874 (2009), 2087 (2013), 2094 (2013) or 2270 (2016); or
- (c) the competent authority of the Member State is satisfied that the activity is exclusively for either humanitarian or livelihood purposes which will not be used by North Korean persons, entities or bodies to generate revenue, and is not related to any activity prohibited by

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UN Security Council Resolutions 1718 (2006), 1874 (2009), 2087 (2013), 2094 (2013) or 2270 (2016), provided that the Member State notifies the Sanctions Committee in advance of such a determination and informs the Sanctions Committee of measures taken to prevent the diversion of the item for any prohibited purpose.

4. The Member State concerned shall notify the other Member States and the Commission of its intention to grant an authorisation under this Article at least one week prior to granting the authorisation.

**▼ B***Article 3***▼ M4**

1. It shall be prohibited:

**▼ M12**

- (a) to provide, directly or indirectly, technical assistance and brokering services related to goods and technology listed in the EU Common List of Military Equipment or in ► **M23** Annexes I, Ia, Ib and Ig ◀ and to the provision, manufacture, maintenance and use of goods listed in the EU Common List of Military Equipment or in ► **M23** Annexes I, Ia, Ib and Ig ◀ to any natural or legal person, entity or body in, or for use in, North Korea;

**▼ M9**

- (b) to provide, directly or indirectly, financing or financial assistance related to goods and technology listed in the EU Common List of Military Equipment or in ► **M23** Annexes I, Ia, Ib and Ig ◀, including in particular grants, loans and export credit insurance, as well as insurance and reinsurance, for any sale, supply, transfer or export of such items, or for any provision of related technical assistance to any natural or legal person, entity or body in, or for use in, North Korea;

**▼ M4**

- (c) to obtain, directly or indirectly, technical assistance related to goods and technology listed in the EU Common List of Military Equipment or in ► **M23** Annexes I, Ia, Ib and Ig ◀, and to the provision, manufacture, maintenance and use of goods listed in the EU Common List of Military Equipment or in ► **M23** Annexes I, Ia, Ib and Ig ◀ from any natural or legal person, entity or body in, or for use in, North Korea;
- (d) to obtain, directly or indirectly, financing or financial assistance related to goods and technology listed in the EU Common List of Military Equipment or in ► **M23** Annexes I, Ia, Ib and Ig ◀, including in particular grants, loans and export credit insurance, for any sale, supply, transfer or export of such items, or for any provision of related technical assistance from any natural or legal person, entity or body in, or for use in, North Korea;
- (e) to participate, knowingly and intentionally, in activities, the object or effect of which is to circumvent the prohibitions referred to in points (a), (b), (c) and (d).

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2. The prohibitions set out in paragraph 1 shall not apply to non-combat vehicles which have been manufactured or fitted with materials to provide ballistic protection, intended solely for protective use of personnel of the EU and its Member States in North Korea.



▼ M22*Article 3a*

1. By way of derogation from Article 2(1) and Article 3(1), the relevant competent authority of a Member State, as indicated on the websites listed in Annex II, may authorise, under such terms and conditions as it deems appropriate, the direct or indirect supply, sale, transfer or export of the items and technology, including software, referred to in Article 2(1) or the assistance or brokering services referred to in Article 3(1), provided that the goods and technology, assistance or brokering services are for food, agricultural, medical or other humanitarian purposes.
2. The Member State concerned shall inform the other Member States and the Commission, within four weeks, of authorisations granted pursuant to this Article.
3. By way of derogation from point (a) of Article 2(1) and points (a) and (b) of Article 3(1), the relevant competent authority of the Member State, as indicated on the websites listed in Annex II, may authorise the transactions referred to therein under such conditions as it deems appropriate and provided that the UN Security Council has approved the request.
4. The Member State concerned shall inform the other Member States and the Commission of any request for approval which it has submitted to the UN Security Council pursuant to paragraph 3.

*Article 3b*

1. In addition to the obligation to provide the competent customs authorities with the pre-arrival and pre-departure information as determined in the relevant provisions concerning entry and exit summary declarations as well as customs declarations in Regulation (EU) No 952/2013 of the European Parliament and of the Council <sup>(1)</sup>, Commission Delegated Regulation (EU) 2015/2446 <sup>(2)</sup> and Commission Implementing Regulation (EU) 2015/2447 <sup>(3)</sup>, the person who provides the information referred to in paragraph 2 of this Article shall declare whether the goods are covered by the EU Common List of Military Equipment or by this Regulation and, where their export is subject to authorisation, specify the goods and technology covered by the export licence granted.
2. The required additional elements referred to in this Article shall be submitted using a customs declaration or, in the absence of such a declaration, in any other written form, as appropriate.

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<sup>(1)</sup> Regulation (EU) No 952/2013 of the European Parliament and of the Council of 9 October 2013 laying down the Union Customs Code (OJ L 269, 10.10.2013, p. 1).

<sup>(2)</sup> Commission Delegated Regulation (EU) 2015/2446 of 28 July 2015 supplementing Regulation (EU) No 952/2013 of the European Parliament and of the Council as regards detailed rules concerning certain provisions of the Union Customs Code (OJ L 343, 29.12.2015, p. 1).

<sup>(3)</sup> Commission Implementing Regulation (EU) 2015/2447 of 24 November 2015 laying down detailed rules for implementing certain provisions of Regulation (EU) No 952/2013 of the European Parliament and of the Council laying down the Union Customs Code (OJ L 343, 29.12.2015, p. 558).

▼ M22*Article 4*

1. It shall be prohibited to:
  - (a) sell, supply, transfer or export, directly or indirectly, luxury goods, as listed in Annex III, to North Korea;
  - (b) purchase, import or transfer from North Korea, directly or indirectly, luxury goods, as listed in Annex III, whether or not originating in North Korea;
  - (c) participate, knowingly and intentionally, in activities the object or effect of which is to circumvent the prohibitions referred to in points (a) and (b).
2. By way of derogation from point (b) of paragraph 1, the prohibition referred to therein shall not apply to travellers' personal effects or to goods of a non-commercial nature for travellers' personal use contained in their luggage.
3. The prohibitions referred to in points (a) and (b) of paragraph 1 shall not apply to goods which are necessary for the official purposes of diplomatic or consular missions of Member States in North Korea or of international organisations enjoying immunities in accordance with international law, or to the personal effects of their staff.
4. The relevant competent authority of a Member State, as indicated on the websites listed in Annex II, may authorise, under such conditions as it deems appropriate, a transaction with regard to goods referred to in point 17 of Annex III, provided that the goods are for humanitarian purposes.

▼ M9*Article 4a*

1. It shall be prohibited:
  - (a) to sell, supply, transfer or export, directly or indirectly, gold, precious metals and diamonds, as listed in Annex VII, whether or not originating in the Union, to or for the Government of North Korea, its public bodies, corporations and agencies, the Central Bank of North Korea and any person, entity or body acting on their behalf or at their direction, or any entity or body owned or controlled by them;
  - (b) to purchase, import or transport, directly or indirectly, gold, precious metals and diamonds, as listed in Annex VII, whether or not originating in North Korea, from the Government of North Korea, its public bodies, corporations and agencies, the Central Bank of North Korea and any person, entity or body acting on their behalf or at their direction, or any entity or body owned or controlled by them;
  - (c) to provide, directly or indirectly, technical assistance or brokering services, financing or financial assistance, related to the goods referred to in points (a) and (b), to the Government of North Korea, its public bodies, corporations and agencies, the Central Bank of North Korea and any person, entity or body acting on their behalf or at their direction, or any entity or body owned or controlled by them.
2. Annex VII shall include gold, precious metals and diamonds subject to the prohibitions referred to in paragraph 1.

**▼ M9***Article 4b*

It shall be prohibited to sell, supply, transfer or export, directly or indirectly, newly printed or unissued North Korean denominated banknotes and minted coinage, to or for the benefit of the Central Bank of North Korea.

**▼ M22***Article 5*

1. Cargo within or transiting through the Union, including airports, seaports and free zones, as referred to in Articles 243 to 249 of Regulation (EU) No 952/2013, shall be liable for inspection for the purposes of ensuring that it does not contain items prohibited by UN Security Council Resolutions 1718 (2006), 1874 (2009), 2087 (2013), 2094 (2013) or 2270 (2016) or by this Regulation where:

- (a) the cargo originates from North Korea;
- (b) the cargo is destined for North Korea;
- (c) the cargo has been brokered or facilitated by North Korea or its nationals or individuals or entities acting on their behalf or at their direction, or entities owned or controlled by them;
- (d) the cargo has been brokered or facilitated by persons, entities or bodies listed in Annex IV;
- (e) the cargo is being transported on a North Korean flagged vessel or aircraft registered to North Korea, or on a stateless vessel or aircraft.

2. Where the cargo falls outside of the scope of paragraph 1, cargo within or transiting through the Union, including airports, seaports and free zones, shall be liable for inspection where there are reasonable grounds to believe that it may contain items the sale, supply, transfer or export of which is prohibited by this Regulation in the following circumstances:

- (a) the cargo originates from North Korea;
- (b) the cargo is destined for North Korea; or
- (c) the cargo has been brokered or facilitated by North Korea or its nationals or individuals or entities acting on their behalf.

3. Paragraphs 1 and 2 shall be without prejudice to the inviolability and protection of diplomatic and consular bags provided for in the Vienna Convention on Diplomatic Relations 1961 and the Vienna Convention on Consular Relations 1963.

4. The provision of bunkering or ship-supply services, or any other servicing of vessels, to North Korean vessels is prohibited where the providers of the service have information, including from the competent customs authorities on the basis of the pre-arrival and pre-departure

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information referred to in Article 3a(1), that provides reasonable grounds to believe that the vessels carry items whose supply, sale, transfer or export is prohibited by this Regulation, unless the provision of such services is necessary for humanitarian purposes.

**▼ M9***Article 5a***▼ M20**

1a. It shall be prohibited for credit and financial institutions falling within the scope of Article 16:

- (a) to open a bank account with a credit or financial institution domiciled in North Korea or any credit or financial institution referred to in Article 11a(2);
- (b) to establish a correspondent banking relationship with a credit or financial institution domiciled in North Korea or with any credit or financial institution referred to in Article 11a(2);
- (c) to open representative offices in North Korea, or to establish a new branch or subsidiary, in North Korea;
- (d) to establish a joint venture with or to take an ownership interest in a credit or financial institution domiciled in North Korea or any credit or financial institution referred to in Article 11a(2).

1b. By way of derogation from the prohibitions in points (b) and (d) of paragraph 1a, the relevant competent authority of the Member State, as identified on the websites listed in Annex II, may authorise transactions if they have been approved by the Sanctions Committee in advance.

1c. The Member State concerned shall inform the other Member States and the Commission of any authorisation under paragraph 1b.

1d. Credit and financial institutions falling within the scope of Article 16 shall, at the latest on 31 May 2016:

- (a) close any bank account with a credit or financial institution domiciled in North Korea or any credit or financial institution referred to in Article 11a(2);
- (b) terminate any correspondent banking relationship with a credit or financial institution domiciled in North Korea or with any credit or financial institution referred to in Article 11a(2);
- (c) close representative offices, branches, and subsidiaries in North Korea;
- (d) terminate joint ventures with a credit or financial institution domiciled in North Korea or with any credit or financial institution referred to in Article 11a(2);
- (e) relinquish any ownership interest in a credit or financial institution domiciled in North Korea or with any credit or financial institution referred to in Article 11a(2).

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1e. The obligations in points (a) and (c) of paragraph 1d shall apply where the competent authority of the Member State, as identified on the websites listed in Annex II, has determined on the basis of credible information that the activities referred to in points (a) and (c) of paragraph 1d could contribute to North Korea's nuclear or ballistic missile programmes or other activities prohibited by UN Security Council Resolutions 1718 (2006), 1874 (2009), 2087 (2013), 2094 (2013), 2270 (2016) or by this Regulation, and this determination has been communicated to the credit and financial institution concerned.

Where a credit or financial institution falling within the scope of Article 16 suspects that any activity referred to in points (a) and (c) of paragraph 1d that they participate in could contribute to North Korea's nuclear or ballistic missile programmes or other activities prohibited by UN Security Council Resolutions 1718(2006), 1874(2009), 2087(2013), 2094(2013), 2270(2016) or by this Regulation, they shall promptly inform the competent authority of the Member State of the activity and the reasons they suspect it might contribute to such activities.

1f. By way of derogation from points (a) and (c) of paragraph 1d, the relevant competent authority of the Member State, as identified on the websites listed in Annex II, may authorise certain representative offices, subsidiaries or bank accounts to remain operational, provided that the Sanctions Committee has given advance approval on a case-by-case basis of the activities or transactions as being necessary for the delivery of humanitarian assistance or the activities of diplomatic missions in North Korea pursuant to the Vienna Convention on Diplomatic Relations or the activities of the United Nations or its specialised agencies or for any other purposes consistent with UN Security Council Resolutions 1718 (2006), 1874 (2009), 2087 (2013), 2094 (2013) or 2270 (2016).

1g. The Member State concerned shall inform the other Member States and the Commission of any authorisation under paragraph 1f.

**▼ M9**

2. It shall be prohibited:

- (a) to authorise the opening of a representative office or the establishment of a branch or subsidiary in the Union of a credit or financial institution domiciled in North Korea or of any credit or financial institution referred to in Article 11a(2);
- (b) to conclude agreements for, or on behalf of, a credit or financial institution domiciled in North Korea or for, or on behalf of, any credit or financial institution referred to in Article 11a(2) pertaining to the opening of a representative office or the establishment of a branch or subsidiary in the Union;
- (c) to grant an authorisation for the taking up and pursuing the business of a credit institution or for any other business requiring prior authorisation, by a representative office, branch or subsidiary of a credit

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or financial institution domiciled in North Korea or of any credit or financial institution referred to in Article 11a(2), if the representative office, branch or subsidiary was not operational before 19 February 2013;

- (d) to acquire or to extend a participation, or to acquire any other ownership interest, in a credit or financial institution falling within the scope of Article 16 by any credit or financial institution referred to in Article 11a(2);

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- (e) to operate or facilitate the operation of a representative office, branch or subsidiary of a credit or financial institution domiciled in North Korea or of any credit or financial institution referred to in Article 11a(2).

**▼ M22***Article 5b*

1. It shall be prohibited, in the territory of the Union, to accept or approve investment in any commercial activity where such investment is made by:

- (a) persons, entities or bodies of the Government of North Korea;
- (b) the Workers Party of Korea;
- (c) nationals of North Korea;
- (d) legal persons, entities or bodies incorporated or constituted under the law of North Korea;
- (e) persons, entities or bodies acting on their behalf or at their direction;
- (f) legal persons, entities or bodies owned or controlled by them.

2. It shall be prohibited to:

- (a) establish a joint venture with or take or extend an ownership interest, including by acquisition in full or the acquisition of shares and other securities of a participatory nature, in any legal person, entity or body referred to in points (a) to (f) of paragraph 1 engaged in North Korea's nuclear-related, ballistic-missile-related or other weapons-of-mass-destruction-related activities or programmes, or in activities in the sectors of mining, refining and chemical industries;
- (b) grant financing or financial assistance to any legal person, entity or body referred to in points (d) to (f) of paragraph 1 or for the documented purpose of financing such legal persons, entities or bodies;
- (c) provide investment services directly related to the activities referred to in points (a) and (b) of this paragraph.

*Article 5c*

1. Transfers of funds to and from North Korea shall be prohibited, unless they concern a transaction referred to in paragraph 3.

**▼ M22**

2. It shall be prohibited for credit and financial institutions falling within the scope of Article 16 to enter into, or continue to participate in, any transactions with:

- (a) credit and financial institutions domiciled in North Korea;
- (b) branches or subsidiaries falling within the scope of Article 16 of credit and financial institutions domiciled in North Korea, as listed in Annex VI;
- (c) branches or subsidiaries falling outside the scope of Article 16 of credit and financial institutions domiciled in North Korea, as listed in Annex VI;
- (d) credit and financial institutions that are neither domiciled in North Korea nor fall within the scope of Article 16, but are controlled by persons, entities or bodies domiciled in North Korea, as listed in Annex VI,

unless such transactions fall within the scope of paragraph 3 and have been authorised in accordance with point (a) of paragraph 4, or do not require authorisation in accordance with point (b) of paragraph 4.

3. The following transactions may be authorised in accordance with point (a) of paragraph 4:

- (a) transactions regarding foodstuffs, healthcare or medical equipment or for agricultural or humanitarian purposes;
- (b) transactions regarding personal remittances;
- (c) transactions regarding the execution of the exemptions provided for in this Regulation;
- (d) transactions in connection with a specific trade contract not prohibited by this Regulation;
- (e) transactions regarding a diplomatic or consular mission or an international organisation enjoying immunities in accordance with international law, insofar as such transactions are intended to be used for official purposes of the diplomatic or consular mission or international organisation;
- (f) transactions required exclusively for the implementation of projects funded by the Union or its Member States for development purposes directly addressing the needs of the civilian population or the promotion of denuclearisation;
- (g) transactions regarding payments to satisfy claims against North Korea, its nationals or legal persons, entities or bodies incorporated or constituted under the law of North Korea, and transactions of a similar nature that do not contribute to activities prohibited by this Regulation, on a case-by-case basis and if the Member State concerned has notified the other Member States and the Commission at least 10 days in advance of granting an authorisation.

**▼ M23**

4. Transactions referred to in paragraph 3 involving a transfer of funds for amounts:

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- (a) above EUR 15 000 or equivalent shall require prior authorisation by the relevant competent authority of the Member State, as indicated on the websites listed in Annex II to this Regulation;
- (b) equal to or below EUR 15 000 or equivalent shall not require prior authorisation.

5. No prior authorisation shall be required for any transaction or transfer of funds which is necessary for the official purposes of a diplomatic or consular mission of a Member State or international organisation enjoying immunities in North Korea in accordance with international law.

6. The Member States shall inform each other and the Commission of any authorisation granted pursuant to point (a) of paragraph 4.

7. For transactions falling within the scope of paragraph 3, credit and financial institutions referred to in Article 16 shall, in their activities with credit and financial institutions referred to in points (a) to (d) of paragraph 2:

- (a) apply customer due diligence measures established pursuant to Articles 8 and 9 of Directive 2005/60/EC of the European Parliament and of the Council <sup>(1)</sup>;
- (b) ensure compliance with anti-money-laundering and counter-terrorist-financing procedures established pursuant to Directive 2005/60/EC and Regulation (EC) No 1781/2006 of the European Parliament and of the Council <sup>(2)</sup>;
- (c) require that information on payers accompanying transfers of funds is provided as required under Regulation (EC) No 1781/2006, as well as information on payees, such as the name of the payee and the payee's payment account number, and, where applicable, a unique transaction identifier, and refuse to process the transaction if any of this information is missing or incomplete;
- (d) maintain records of the transactions in accordance with point (b) of Article 30 of Directive 2005/60/EC;
- (e) where there are reasonable grounds to suspect that funds could contribute to North Korea's nuclear-related, ballistic-missile-related or other weapons of mass destruction-related programmes or activities ('proliferation financing'), promptly inform the competent Financial Intelligence Unit (FIU), as defined by Directive 2005/60/EC, or any other competent authority designated by the Member State concerned, as indicated on the websites listed in Annex II, without prejudice to Article 3(1) or 6;
- (f) promptly report any suspicious transactions, including attempted transactions;

<sup>(1)</sup> Directive 2005/60/EC of the European Parliament and of the Council of 26 October 2005 on the prevention of the use of the financial system for the purpose of money laundering and terrorist financing (OJ L 309, 25.11.2005, p. 15).

<sup>(2)</sup> Regulation (EC) No 1781/2006 of the European Parliament and of the Council of 15 November 2006 on information on the payer accompanying transfer of funds (OJ L 345, 8.12.2006, p. 1).



**▼ M22**

- (g) refrain from carrying out transactions which they reasonably suspect could be related to proliferation financing until they have completed the necessary action in accordance with point (e) and have complied with any instructions from the relevant FIU or competent authority.

For the purposes of this paragraph, the FIU, or any other competent authority serving as a national centre for receiving and analysing suspicious transactions, shall receive reports regarding potential proliferation financing and shall have access, directly or indirectly, on a timely basis to the financial, administrative and law-enforcement information that it requires in order to perform that function properly, including the analysis of suspicious transaction reports.

8. The requirement for prior authorisation in paragraph 3 shall apply regardless of whether the transfer of funds is executed in a single operation or in several operations which appear to be linked. For the purpose of this Regulation, ‘operations which appear to be linked’ includes:

- (a) a series of consecutive transfers from or to the same credit or financial institution within the scope of paragraph 2, or from or to the same North Korean person, entity or body, which are made in connection with a single obligation to transfer funds, where each individual transfer falls below EUR 15 000 but which, in the aggregate, meet the criteria for authorisation;
- (b) a chain of transfers involving different payment service providers, or natural or legal persons, which is related to a single obligation to make a transfer of funds.

9. It shall be prohibited to participate, knowingly and intentionally, in activities the object or effect of which is to circumvent the prohibitions referred to in this Article.

**▼ M4***Article 6***▼ M12**

1. All funds and economic resources belonging to, owned, held or controlled by the persons, entities and bodies listed in Annex IV shall be frozen. Annex IV shall include the persons, entities and bodies designated by the Sanctions Committee or the UN Security Council in accordance with paragraph 8(d) of UN Security Council Resolution 1718 (2006), and paragraph 8 of UN Security Council Resolution 2094 (2013).

2. All funds and economic resources belonging to, owned, held or controlled by the persons, entities and bodies listed in Annex V shall be frozen. Annex V shall include persons, entities and bodies not listed in Annex IV, who, in accordance with point (b) of Article 15(1) of Decision 2013/183/CFSP, have been identified by the Council:

- (a) as responsible for, including through supporting or promoting, North Korea’s nuclear-related, other weapons of mass destruction-related or ballistic missile-related programmes, or persons, entities

▼ **M12**

or bodies acting on their behalf or at their direction, or persons, entities or bodies owned or controlled by them, including through illicit means;

- (b) as providing financial services or the transfer to, through or from the territory of the Union, or involving nationals of Member States or entities organised under their laws, or persons or financial institutions in the territory of the Union, of any financial or other assets or resources that could contribute to North Korea's nuclear-related, other weapons of mass destruction-related or ballistic missile-related programmes, or persons, entities or bodies acting on their behalf or at their direction, or persons, entities or bodies owned or controlled by them; or
- (c) as involved in, including through the provision of financial services, the supply to or from North Korea of arms and related material of all types, or of items, materials, equipment, goods and technology which could contribute to North Korea's nuclear-related, other weapons of mass destruction-related or ballistic missile-related programmes to North Korea.

Annex V shall be reviewed at regular intervals and at least every 12 months.

2a. All funds and economic resources belonging to, owned, held or controlled by persons, entities or bodies in Annex Va shall be frozen. Annex Va shall include the persons, entities or bodies not covered by Annex IV or V who are working on behalf of or at the direction of a person, entity or body listed in Annex IV or V or persons assisting in the evasion of sanctions or violating the provisions of this Regulation, or of Decision 2013/183/CSFP.

Annex Va shall be reviewed at regular intervals and at least every 12 months.

3. Annexes IV, V and Va shall include where available information on listed natural persons for the purpose of identifying sufficiently the persons concerned.

Such information may include:

- (a) surname and given names, including alias names and titles, if any;
- (b) date and place of birth;
- (c) nationality;
- (d) passport and identity card numbers;
- (e) fiscal and social security numbers;
- (f) gender;
- (g) address or other information on whereabouts;
- (h) function or profession;
- (i) date of designation.

Annexes IV, V and Va shall also include the grounds for listing, such as occupation.

**▼ M12**

Annexes IV, V and Va may also include information on identification purposes as set out in this paragraph on family members of the persons listed, provided that this information is necessary in a specific case for the sole purpose of verifying the identity of the listed natural person concerned.

4. No funds or economic resources shall be made available, directly or indirectly, to or for the benefit of the natural or legal persons, entities or bodies listed in Annexes IV, V and Va.

**▼ M4**

5. The participation, knowingly and intentionally, in activities the object or effect of which is, directly or indirectly, to circumvent the measures referred to in paragraphs 1 and 2 shall be prohibited.

**▼ M20**

6. It shall be prohibited to provide funds or economic resources to persons, entities or bodies of the Government of North Korea, the Worker's Party of Korea, persons or entities acting on their behalf or at their direction, or entities owned or controlled by them, where it has been determined that such persons, entities or bodies are associated with North Korea's nuclear or ballistic missile programs or other activities prohibited by UN Security Council Resolutions 1718 (2006), 1874 (2009), 2087 (2013), 2094 (2013) or 2270 (2016).

7. The prohibition in paragraph 6 shall not apply where the funds, other financial assets and economic resources are required to carry out the activities of North Korea's missions to the United Nations and its specialised agencies and related organisations or other diplomatic and consular missions of North Korea, or where the competent authority of the Member State as identified on the websites listed in Annex II has obtained advance approval of the Sanctions Committee on case-by-case basis that the funds, financial assets or economic resources are required for the delivery of humanitarian assistance, denuclearisation or any other purpose consistent with the objectives of UN Security Council Resolution 2270 (2016).

*Article 6a*

It shall be prohibited to participate directly or indirectly in joint ventures or any other business arrangements with entities listed in Annex IV, as well as individuals or entities acting for or on their behalf or direction.

**▼ M12***Article 7*

1. By way of derogation from Article 6, the competent authorities of the Member States, as indicated on the websites listed in Annex II, may authorise the release of certain frozen funds or economic resources, or the making available of certain funds or economic resources, under such conditions as they deem appropriate, after having determined that the funds or economic resources concerned are:

**▼ M12**

- (a) necessary to satisfy the basic needs of natural or legal persons, entities or bodies listed in Annex IV, V or Va and dependent family members of such natural persons, including payments for foodstuffs, rent or mortgage, medicines and medical treatment, taxes, insurance premiums and public utility charges;
- (b) intended exclusively for payment of reasonable professional fees and reimbursement of incurred expenses associated with the provision of legal services; or
- (c) intended exclusively for payment of fees or services charges for routine holding or maintenance of frozen funds or economic resources; and
- (d) where the authorisation concerns a person, entity and body listed in Annex IV, the Member State concerned has notified the Sanctions Committee of that determination and its intention to grant an authorisation, and the Sanctions Committee has not objected to that course of action within five working days of notification.

2. By way of derogation from Article 6, the competent authorities of the Member States, as indicated on the websites listed in Annex II, may authorise the release of certain frozen funds or economic resources or the making available of certain frozen funds or economic resources, after having determined that the funds or economic resources are necessary for extraordinary expenses, provided that:

- (a) where the authorisation concerns a person, entity or body listed in Annex IV, the Sanctions Committee has been notified of this determination by the member State concerned and that the determination has been approved by that Committee; and
- (b) where the authorisation concerns a person, entity or body listed in Annex V or Va, the Member State concerned has notified other Member States and the Commission of the grounds on which it considers that a specific authorisation should be granted, at least two weeks prior to the authorisation.

3. The Member State concerned shall inform other Member States and the Commission of any authorisation granted under paragraphs 1 and 2.

**▼ M22***Article 8*

1. By way of derogation from Article 6, the competent authorities of the Member States, as indicated on the websites listed in Annex II, may authorise the release of certain frozen funds or economic resources, if the following conditions are met:

- (a) the funds or economic resources are the subject of a judicial, administrative or arbitral decision established prior to the date on which the person, entity or body referred to in Article 6 was designated, or of a judicial, administrative or arbitral judgment rendered prior to that date;
- (b) the funds or economic resources are to be used exclusively to satisfy claims secured by such a decision or recognised as valid in such a judgment, within the limits set by applicable laws and regulations governing the rights of persons having such claims;

**▼ M22**

- (c) the decision or judgment is not for the benefit of a person, entity or body listed in Annex IV, V or Va;
- (d) recognising the decision or judgment is not contrary to public policy in the Member State concerned; and
- (e) the decision or judgment in respect of persons, entities and bodies listed in Annex IV has been notified by the Member State concerned to the Sanctions Committee.

2. By way of derogation from Article 6, and provided that a payment by a person, entity or body listed in Annex V is due under a contract or agreement that was concluded by, or under an obligation for the person, entity or body concerned that arose before, the date on which that person, entity or body had been designated, the competent authorities of the Member States, as indicated on the websites listed in Annex II, may authorise, under such conditions as they deem appropriate, the release of certain frozen funds or economic resources, provided that the competent authority concerned has determined that:

- (a) the contract is not related to any item, operation, service or transaction referred to in point (a) of Article 2(1), Article 2(3) or Article 3; and
- (b) the payment is not directly or indirectly received by a person, entity or body listed in Annex V.

3. The Member State concerned shall, at least 10 days prior to the granting of each authorisation pursuant to paragraph 2, notify the other Member States and the Commission of that determination and of its intention to grant an authorisation.

**▼ M17***Article 8a*

1. By way of derogation from Article 6(4), the competent authorities of the Member States as indicated on the websites listed in Annex II, may authorise making certain funds or economic resources available to the Korea National Insurance Corporation (KNIC) where that is necessary for the payment of premiums under an insurance contract with a national of a Member State or a legal person, entity or body incorporated or constituted under the law of a Member State, provided that the payment:

- (a) is exclusively for the purposes of activities which are not prohibited by this Regulation to be carried out in North Korea by a national of a Member State or a legal person, entity or body incorporated or constituted under the law of a Member State;
- (b) is not directly or indirectly for the benefit of a person, entity or body listed in Annex IV, V or Va except KNIC.

2. A national of a Member State and legal persons, entities or bodies incorporated or constituted under the law of a Member State may receive payments by KNIC subject to prior authorisation by the competent authorities of the Member States as indicated on the websites listed in Annex II. Such authorisation may be granted provided that the payment:

**▼ M17**

- (a) is due in accordance with a contract for insurance services mentioned in point (a) of paragraph 1, or in accordance with a contract for insurance services provided by KNIC in respect of damage caused within the territory of the Union by any party to such contract;
- (b) is not directly or indirectly for the benefit of a person, entity or body listed in Annex IV, V or Va;
- (c) will not contribute to an activity prohibited under this Regulation; and
- (d) does not result in the release of funds or economic resources of KNIC located outside North Korea.

3. The authorisations set out in paragraphs 1 and 2 of this Article shall not be required where the payment to or by KNIC is necessary for the official purposes of a diplomatic or consular mission of a Member State in North Korea.

4. By way of derogation from Article 6(2), the competent authorities of the Member States, as indicated on the websites listed in Annex II, may authorise the release of certain frozen funds or economic resources of KNIC, under such conditions as they deem appropriate, after having determined that:

- (a) the funds or economic resources shall be used exclusively for a payment by KNIC due under a contract concluded before 1 April 2016;
- (b) the contract is not related, directly or indirectly, to an activity prohibited under this Regulation;
- (c) the payment is not directly or indirectly for the benefit of a person, entity or body listed in Annex IV, V or Va.

The Member State concerned shall inform the other Member States and the Commission of any authorisation granted under this paragraph.

**▼ M4***Article 9*

1. Article 6(4) shall not prevent financial or credit institutions in the Union from crediting frozen accounts where they receive funds transferred by third parties to the account of a listed natural or legal person, entity or body, provided that any additions to such accounts will also be frozen. The financial or credit institution shall inform the competent authorities about such transactions without delay.

2. Article 6(4) shall not apply to the addition to frozen accounts of:

- (a) interest or other earnings on those accounts; or
- (b) payments due under contracts, agreements or obligations that were concluded or arose prior to the date on which the person, entity or body referred to in Article 6 was designated;

provided that any such interest, other earnings and payments are frozen in accordance with Article 6(1) or 6(2).

**▼ M9***Article 9a*

It shall be prohibited:

- (a) to sell or purchase public or public-guaranteed bonds issued after 19 February 2013, directly or indirectly, to or from any of the following:
  - (i) North Korea or its Government, and its public bodies, corporations and agencies;
  - (ii) the Central Bank of North Korea;
  - (iii) a credit or financial institution domiciled in North Korea or any credit or financial institution referred to in Article 11a(2);
  - (iv) a natural person or a legal person, entity or body acting on behalf or at the direction of a legal person, entity or body referred to in (i) or (ii);
  - (v) a legal person, entity or body owned or controlled by a person, entity or body referred to in (i), (ii) or (iii);
- (b) to provide brokering services with regard to public or public-guaranteed bonds issued after 19 February 2013 to a person, entity or body referred to in point (a);
- (c) to assist a person, entity or body referred to in point (a) in order to issue public or public-guaranteed bonds, by providing brokering services, advertising or any other service with regard to such bonds.

**▼ M22***Article 9b*

1. It shall be prohibited to provide financing or financial assistance for trade with North Korea, including the granting of export credits, guarantees or insurance to persons or entities involved in such trade, where such financial support could contribute to:

- (a) North Korea's nuclear or ballistic-missile programmes or other activities prohibited by this Regulation;
- (b) the circumvention of the prohibition in point (a).

2. The prohibitions in paragraph 1 shall not apply with respect to contracts and agreements for the provision of financial support concluded prior to 29 May 2016.

3. The prohibitions in paragraph 1 shall not apply with respect to the provision of financial support for trade in food, agricultural, medical or other humanitarian purposes.

*Article 9c*

1. No claims in connection with any contract or transaction the performance of which has been affected, directly or indirectly, in whole or in part, by the measures imposed by this Regulation, including

**▼ M22**

claims for indemnity or any other claim of that type, such as a claim for compensation or a claim under a guarantee, notably a claim for extension or payment of a bond, guarantee or indemnity, particularly a financial guarantee or financial indemnity, of whatever form, shall be satisfied, if they are made by:

- (a) designated persons, entities or bodies listed in Annex IV or V;
- (b) any other North Korean person, entity or body, including the Government of North Korea and its public bodies, corporations and agencies; or
- (c) any person, entity or body acting through or on behalf of one of the persons, entities or bodies referred to in points (a) and (b).

2. The performance of a contract or transaction shall be regarded as having been affected by the measures imposed by this Regulation where the existence or content of the claim results directly or indirectly from those measures.

3. In any proceedings for the enforcement of a claim, the onus of proving that satisfying the claim is not prohibited by paragraph 1 shall be on the person seeking the enforcement of that claim.

4. This Article is without prejudice to the right of the persons, entities and bodies referred to in paragraph 1 to judicial review of the legality of the non-performance of contractual obligations in accordance with this Regulation.

**▼ B***Article 10*

1. Without prejudice to the applicable rules concerning reporting, confidentiality and professional secrecy, natural and legal persons, entities and bodies shall:

- (a) supply immediately any information which would facilitate compliance with this Regulation, such as accounts and amounts frozen in accordance with Article 6, to the competent authorities of the Member States, as indicated in the websites listed in Annex II, where they are resident or located, and shall transmit such information, directly or through the relevant Member States, to the Commission;
- (b) cooperate with the competent authorities, as indicated in the websites listed in Annex II, in any verification of this information.

2. Any additional information directly received by the Commission shall be made available to the Member State concerned.

3. Any information provided or received in accordance with this Article shall be used only for the purposes for which it was provided or received.

**▼ M22***Article 11*

1. The freezing of funds and economic resources or the refusal to make funds or economic resources available, carried out in good faith on the basis that such action is in accordance with this Regulation, shall not give rise to liability of any kind on the part of the natural or legal person, entity or body implementing it, or its directors or employees, unless it is proved that the funds and economic resources were frozen or withheld as a result of negligence.



**▼ M22**

2. Actions by natural or legal persons, entities or bodies shall not give rise to liability of any kind on their part if they did not know, and had no reasonable cause to suspect, that their actions would infringe the measures set out in this Regulation.

*Article 11a*

1. It shall be prohibited to provide access to ports in the territory of the Union to any vessel:

- (a) that is owned, operated or crewed by North Korea;
- (b) where there are reasonable grounds to believe that it is owned or controlled, directly or indirectly, by a person or entity listed in Annex IV;
- (c) where there are reasonable grounds to believe that it contains items the supply, sale, transfer or export of which is prohibited by this Regulation;
- (d) which has refused to be inspected after such an inspection has been authorised by the vessel's flag State or State of registration; or
- (e) which is without nationality and has refused to be inspected in accordance with Article 5(1).

2. Paragraph 1 shall not apply:

- (a) in the case of an emergency;
- (b) in the case of a maritime vessel coming into port for inspection, or
- (c) where the vessel is returning to its port of origin.

3. By way of derogation from the prohibition in paragraph 1, the relevant competent authority of the Member State, as indicated on the websites listed in Annex II, may authorise a maritime vessel to come into port if:

- (a) the Sanctions Committee has determined in advance that this is required for humanitarian purposes or any other purpose consistent with the objectives of UN Security Council Resolution 2270 (2016); or
- (b) the Member State has determined in advance that this is required for humanitarian purposes or any other purpose consistent with the objectives of this Regulation.

4. It shall be prohibited for any aircraft operated by North Korean carriers or originating from North Korea to take off from, land in or overfly the territory of the Union.

5. Paragraph 4 shall not apply:

- (a) where the aircraft is landing for inspection;
- (b) in the case of an emergency landing.

6. By way of derogation from paragraph 4, the relevant competent authority of the Member State, as indicated on the websites listed in Annex II, may authorise an aircraft to take off from, land in or overfly

**▼ M22**

the territory of the Union if that competent authority has determined in advance that this is required for humanitarian purposes or any other purpose consistent with the objectives of this Regulation.

**▼ M20***Article 11b*

1. It shall be prohibited to:

- (a) lease or charter vessels or aircraft or provide crew services to North Korea, persons or entities listed in Annex IV, any other North Korean entities, any other persons or entities which have assisted in violating the provisions of UN Security Council Resolutions 1718 (2006), 1874 (2009), 2087 (2013), 2094 (2013) or 2270 (2016), or any person or entity acting on behalf of, or at the direction of, any such person or entity, and entities owned or controlled by them;
- (b) own, lease, operate, insure or provide vessel classification services or associated services, to any vessel flagged to North Korea;
- (c) register or maintain on the register, any vessel that is owned, operated or crewed by North Korea or North Korean nationals, or has been de-registered by another State pursuant to paragraph 19 of UN Security Council Resolution 2270 (2016).

2. By way of derogation from the prohibition in paragraph 1(a), the leasing, chartering or provision of crew services may be authorised by the competent authority of a Member State, as identified on the websites listed in Annex II, where the Member State has notified the Sanctions Committee in advance on a case-by-case basis and has provided to the Sanctions Committee information demonstrating that the activities are exclusively for livelihood purposes which will not be used by North Korean individuals or entities to generate revenue, and information on measures taken to prevent such activities from contributing to violations of UN Security Council Resolutions 1718 (2006), 1874 (2009), 2087 (2013), 2094 (2013) or 2270 (2016).

3. By way of derogation from the prohibition in paragraph 1(b) and (c), the owning, leasing, operating, or providing vessel classification services or associated services to any vessel flagged to North Korea, or the registration, or maintenance on the register, of any vessel that is owned, operated or crewed by North Korea or North Korean nationals, may be authorised where the competent authority of the Member State as identified on the websites listed in Annex II has provided to the Sanctions Committee in advance on a case-by-case basis detailed information on the activities, including the names of such individuals and entities involved in them, information demonstrating that such

**▼ M20**

activities are exclusively for livelihood purposes which will not be used by North Korean individuals or entities to generate revenue and information on measures taken to prevent such activities from contributing to violations of UN Security Council Resolutions 1718 (2006), 1874 (2009), 2087 (2013), 2094 (2013) or 2270 (2016).

4. The Member State concerned shall inform the other Member States and the Commission of any authorisation granted under paragraphs 2 and 3.

**▼ M22****▼ B***Article 12*

The Commission and Member States shall immediately inform each other of the measures taken under this Regulation and shall supply each other with any other relevant information at their disposal in connection with this Regulation, in particular information in respect of violations and enforcement problems and judgments handed down by national courts.

**▼ M4***Article 13*

1. The Commission shall be empowered to:
  - (a) amend Annex Ia on the basis of determinations made by either the Sanctions Committee or the UN Security Council and, where appropriate, add the reference numbers taken from the Combined Nomenclature as set out in Annex I to Regulation (EEC) No 2658/87;
  - (b) amend Annex II on the basis of information supplied by Member States;
  - (c) amend Annex III in order to refine or adapt the list of goods included therein, according to any definition or guidelines that may be promulgated by the Sanctions Committee or to add the reference numbers taken from the Combined Nomenclature as set out in Annex I to Regulation (EEC) No 2658/87, if necessary or appropriate;
  - (d) amend Annex IV on the basis of determinations made by either the Sanctions Committee or the UN Security Council;
  - (e) amend Annexes V and VI in accordance with decisions taken concerning Annexes II, III, IV and V to Common Position 2006/795/CFSP;

**▼ M20**

- (f) amend Annexes Ic, Id and Ie on the basis of determinations made by either the Sanctions Committee or the UN Security Council, or decisions taken concerning these Annexes in Council Decision 2013/183/CFSP; and

**▼ M23**

- (g) amend Annex Ig on the basis of determinations made by the UN Security Council or the Sanctions Committee and add the reference numbers taken from the Combined Nomenclature as set out in Annex I to Regulation (EEC) No 2658/87.

**▼ M4**

2. The Commission shall process personal data in order to carry out the tasks incumbent on it under this Regulation and in accordance with the provisions of Regulation (EC) No 45/2001 of the European Parliament and of the Council of 18 December 2000 on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies and on the free movement of such data <sup>(1)</sup>.

**▼ M20***Article 13a*

It shall be prohibited to participate knowingly and intentionally in activities the object or effect of which is to circumvent the prohibitions contained in this Regulation.

**▼ B***Article 14*

1. Member States shall lay down the rules on penalties applicable to infringements of this Regulation and shall take all measures necessary to ensure that they are implemented. The penalties provided for shall be effective, proportionate and dissuasive.

2. Member States shall notify the Commission of those rules without delay after the entry into force of this Regulation and shall notify it of any subsequent amendment.

*Article 15*

1. Member States shall designate the competent authorities referred to in this Regulation and identify them in, or through, the websites as listed in Annex II.

2. Member States shall notify the Commission of their competent authorities without delay after the entry into force of this Regulation and shall notify it of any subsequent amendment.

**▼ M4***Article 16*

This Regulation shall apply:

- (a) within the territory of the Union;
- (b) on board any aircraft or any vessel under the jurisdiction of a Member State;
- (c) to any person inside or outside the territory of the Union who is a national of a Member State;
- (d) to any legal person, entity or body which is incorporated or constituted under the law of a Member State;
- (e) to any legal person, entity or body in respect of any business done in whole or in part within the Union.

**▼ B***Article 17*

This Regulation shall enter into force on the day of 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.

<sup>(1)</sup> OJ L 8, 12.1.2001, p. 1.

▼ M4

*ANNEX I*

**GOODS AND TECHNOLOGY REFERRED TO IN ARTICLES 2 AND 3**

All goods and technology listed in Annex I to Regulation (EC) No 428/2009.

▼ **M5***ANNEX Ia***Goods and technology referred to in articles 2 and 3**

Other items, materials, equipment, goods and technology which could contribute to North Korea's nuclear-related, other weapons of mass destruction-related or ballistic missile-related programmes

1. Unless otherwise stated, reference numbers used in the column entitled 'Description' refer to the descriptions of dual use items and technology set out in Annex I to Regulation (EC) No 428/2009 <sup>(1)</sup>.
2. A reference number in the column entitled 'Related item from Annex I to Regulation (EC) No 428/2009' means that the characteristics of the item described in the column 'Description' lie outside the parameters set out in the description of the dual use entry referred to.
3. Definitions of terms between 'single quotation marks' are given in a technical note to the relevant item.
4. Definitions of terms between 'double quotation marks' can be found in Annex I to Regulation (EC) No 428/2009.

## GENERAL NOTES

1. The object of the prohibitions contained in this Annex should not be defeated by the export of any non-prohibited goods (including plant) containing one or more prohibited components when the prohibited component or components are the principal element of the goods and can feasibly be removed or used for other purposes.

*N.B.: In judging whether the prohibited component or components are to be considered the principal element, it is necessary to weigh the factors of quantity, value and technological know-how involved and other special circumstances which might establish the prohibited component or components as the principal element of the goods being procured.*

2. Goods specified in this Annex include both new and used goods.

## GENERAL TECHNOLOGY NOTE (GTN)

(To be read in conjunction with Part C.)

1. The sale, supply, transfer or export of 'technology' which is 'required' for the 'development', 'production' or 'use' of goods the sale, supply, transfer or export of which is prohibited in Part A (Goods) below, is prohibited in accordance with the provisions of Part B.
2. The 'technology' 'required' for the 'development', 'production' or 'use' of prohibited goods remains under prohibition even when applicable to non-prohibited goods.
3. Prohibitions do not apply to that 'technology' which is the minimum necessary for the installation, operation, maintenance (checking) and repair of those goods which are not prohibited.
4. Prohibitions on 'technology' transfer do not apply to information 'in the public domain', to 'basic scientific research' or to the minimum necessary information for patent applications.

<sup>(1)</sup> 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 (OJ L 134, 29.5.2009, p. 1).

## ▼M5

## A. GOODS

## NUCLEAR MATERIALS, FACILITIES, AND EQUIPMENT

## I.A0. Goods

No	Description	Related item from Annex I to Regulation (EC) No 428/2009
I.A0.001	Hollow cathode lamps as follows: a. Iodine hollow cathode lamps with windows in pure silicon or quartz; b. Uranium hollow cathode lamps.	
I.A0.002	Faraday isolators in the wavelength range 500 nm – 650 nm.	
I.A0.003	Optical gratings in the wavelength range 500 nm – 650 nm.	
I.A0.004	Optical fibres in the wavelength range 500 nm – 650 nm coated with anti-reflecting layers in the wavelength range 500 nm – 650 nm and having a core diameter greater than 0,4 mm but not exceeding 2 mm.	
I.A0.005	Nuclear reactor vessel components and testing equipment, other than those specified in 0A001, as follows: a. Seals; b. Internal components; c. Sealing, testing and measurement equipment.	0A001
I.A0.006	Nuclear detection systems, other than those specified in 0A001.j. or 1A004.c., for detection, identification or quantification of radioactive materials or radiation of nuclear origin and specially designed components thereof. <i>N.B: For personal equipment refer to I.A1.004 below.</i>	0A001.j. 1A004.c.
I.A0.007	Bellows-sealed valves other than those specified in 0B001.c.6., 2A226 or 2B350, made of aluminium alloy or stainless steel type 304, 304L or 316L.	0B001.c.6. 2A226 2B350
I.A0.008	Laser mirrors, other than those specified in 6A005.e., consisting of substrates having a thermal expansion coefficient of $10^{-6} \text{ K}^{-1}$ or less at 20 °C (e.g. fused silica or sapphire). <i>Note: This item does not cover optical systems specially designed for astronomical applications, except if the mirrors contain fused silica.</i>	0B001.g.5. 6A005.e.
I.A0.009	Laser lenses, other than those specified in 6A005.e.2, consisting of substrates having a thermal expansion coefficient of $10^{-6} \text{ K}^{-1}$ or less at 20 °C (e.g. fused silica).	0B001.g. 6A005.e.2.

## ▼ M5

No	Description	Related item from Annex I to Regulation (EC) No 428/2009
IA0.010	Pipes, piping, flanges, fittings made of, or lined with nickel, or nickel alloy containing more than 40 % nickel by weight, other than those specified in 2B350.h.1.	2B350
IA0.011	Vacuum pumps other than those specified in 0B002.f.2. or 2B231, as follows: a. Turbo-molecular pumps having a flow-rate equal to or greater than 400 l/s; b. Roots type vacuum roughing pumps having a volumetric aspiration flow-rate greater than 200 m <sup>3</sup> /h; c. Bellows-sealed, scroll, dry compressor, and bellows-sealed, scroll, dry vacuum pumps.	0B002.f.2. 2B231
IA0.012	Shielded enclosures for the manipulation, storage and handling of radioactive substances (hot cells).	0B006
IA0.013	'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, other than those specified in 0C001.	0C001
IA0.014	Detonation chambers having a capacity of explosion absorption of more than 2,5 kg TNT equivalent.	

**SPECIAL MATERIALS AND RELATED EQUIPMENT****IA1. Goods**

No	Description	Related item from Annex I to Regulation (EC) No 428/2009
IA1.001	Bis(2-ethylhexyl) phosphoric acid (HDEHP or D2HPA) Chemical Abstract Number (CAS): [CAS 298-07-7] solvent in any quantity, with a purity greater than 90 %.	
IA1.002	Fluorine gas CAS: [7782-41-4], with a purity of at least 95 %.	
IA1.003	Ring-shaped seals and gaskets, having an inner diameter of 400 mm or less, made of any of the following materials: a. Copolymers of vinylidene fluoride having 75 % or more beta crystalline structure without stretching; b. Fluorinated polyimides containing 10 % by weight or more of combined fluorine; c. Fluorinated phosphazene elastomers containing 30 % by weight or more of combined fluorine; d. Polychlorotrifluoroethylene (PCTFE, e.g. Kel-F ®); e. Fluoro-elastomers (e.g. Viton ®, Tecnoflon ®); f. Polytetrafluoroethylene (PTFE).	1A001
IA1.004	Personal equipment for detecting radiation of nuclear origin, other than that specified in 1A004.c., including personal dosimeters.	1A004.c.



## ▼ M5

No	Description	Related item from Annex I to Regulation (EC) No 428/2009
I.A1.005	Electrolytic cells for fluorine production, other than those specified in 1B225, with an output capacity greater than 100 g of fluorine per hour.	1B225
I.A1.006	Catalysts, other than those specified in 1A225 or 1B231, containing platinum, palladium or rhodium, usable for promoting the hydrogen isotope exchange reaction between hydrogen and water for the recovery of tritium from heavy water or for the production of heavy water.	1A225 1B231
I.A1.007	Aluminium and its alloys, other than those specified in 1C002.b.4. or 1C202.a., in crude or semi-fabricated form having either of the following characteristics: a. 'Capable of' an ultimate tensile strength of 460 MPa or more at 293 K (20 °C); or b. Having a tensile strength of 415 MPa or more at 298 K (25 °C). <i>Technical note:</i> <i>The phrase alloys 'capable of' encompasses alloys before or after heat treatment.</i>	1C002.b.4. 1C202.a.
I.A1.008	Magnetic metals, of all types and of whatever form, other than those specified in 1C003.a. having an 'initial relative permeability' of 120 000 or more and a thickness between 0,05 mm and 0,1 mm. <i>Technical note:</i> <i>Measurement of 'initial relative permeability' must be performed on fully annealed materials.</i>	1C003.a.
I.A1.009	'Fibrous or filamentary materials' or prepregs, other than those specified in 1C010.a., 1C010.b., 1C210.a. or 1C210.b., as follows: a. Aramid 'fibrous or filamentary materials' having either of the following characteristics: 1.A 'specific modulus' exceeding $10 \times 10^6$ m; or 2.A 'specific tensile strength' exceeding $17 \times 10^4$ m; b. Glass 'fibrous or filamentary materials' having either of the following characteristics: 1.A 'specific modulus' exceeding $3,18 \times 10^6$ m; or 2.A 'specific tensile strength' exceeding $76,2 \times 10^3$ m; c. Thermoset resin-impregnated continuous 'yarns', 'rovings', 'tows' or 'tapes' with a width of 15 mm or less (once prepregs), made from glass 'fibrous or filamentary materials' other than those specified in I.A1.010.a. below;	1C010.a. 1C010.b. 1C210.a. 1C210.b.

## ▼ M5

No	Description	Related item from Annex I to Regulation (EC) No 428/2009
	d. Carbon 'fibrous or filamentary materials'; e. Thermoset resin-impregnated continuous 'yarns', 'rovings', 'tows', or 'tapes', made from carbon 'fibrous or filamentary materials'; f. Polyacrylonitrile (PAN) continuous 'yarns', 'rovings', 'tows' or 'tapes'; g. Para-aramid 'fibrous or filamentary materials' (Kevlar® and other Kevlar®-like fibres).	
I.A1.010	Resin-impregnated or pitch-impregnated fibres (prepregs), metal or carbon-coated fibres (preforms) or 'carbon fibre preforms', as follows: a. Made from 'fibrous or filamentary materials' specified in I.A1.009 above; b. Epoxy resin 'matrix' impregnated carbon 'fibrous or filamentary materials' (prepregs), specified in 1C010.a., 1C010.b. or 1C010.c., for the repair of aircraft structures or laminates, of which the size of individual sheets does not exceed 50 cm × 90 cm; c. Prepregs specified in 1C010.a., 1C010.b. or 1C010.c., when impregnated with phenolic or epoxy resins having a glass transition temperature (T <sub>g</sub> ) less than 433 K (160 °C) and a cure temperature lower than the glass transition temperature.	1C010 1C210
I.A1.011	Reinforced silicon carbide ceramic composites usable for nose tips, re-entry vehicles, nozzle flaps, usable in 'missiles', other than those specified in 1C107.	1C107
I.A1.012	Not used.	
I.A1.013	Tantalum, tantalum carbide, tungsten, tungsten carbide and alloys thereof, other than those specified in 1C226, having both of the following characteristics: a. In forms having a hollow cylindrical or spherical symmetry (including cylinder segments) with an inside diameter between 50 mm and 300 mm; and b. A mass greater than 5 kg.	1C226
I.A1.014	'Elemental powders' of cobalt, neodymium or samarium or alloys or mixtures thereof containing at least 20 % by weight of cobalt, neodymium or samarium, with a particle size less than 200 µm.	

## ▼ M5

No	Description	Related item from Annex I to Regulation (EC) No 428/2009
	<i>Technical note:</i> <i>'Elemental powder' means a high purity powder of one element.</i>	
I.A1.015	Pure tributyl phosphate (TBP) [CAS No 126-73-8] or any mixture having a TBP content of more than 5 % by weight.	
I.A1.016	Maraging steel, other than those specified by 1C116 or 1C216. <i>Technical notes:</i> 1. <i>The phrase maraging steel 'capable of' encompasses maraging steel before or after heat treatment.</i> 2. <i>Maraging steels are iron alloys generally characterised by high nickel, very low carbon content and the use of substitutional elements or precipitates to produce strengthening and age-hardening of the alloy.</i>	1C116 1C216
I.A1.017	Metals, metal powders and material as follows: a. Tungsten and tungsten alloys, other than those specified in 1C117, in the form of uniform spherical or atomized particles of 500 µm (micrometre) diameter or less with a tungsten content of 97 % by weight or more; b. Molybdenum and molybdenum alloys, other than those specified in 1C117, in the form of uniform spherical or atomized particles of 500 µm diameter or less with a molybdenum content of 97 % by weight or more; c. Tungsten materials in the solid form, other than those specified in 1C226 having material compositions as follows: 1. Tungsten and alloys containing 97 % by weight or more of tungsten; 2. Copper infiltrated tungsten containing 80 % by weight or more of tungsten; or 3. Silver infiltrated tungsten containing 80 % by weight or more of tungsten.	1C117 1C226
I.A1.018	Soft magnetic alloys, other than those specified in 1C003, having a chemical composition as follows: a. Iron content between 30 % and 60 %; and b. Cobalt content between 40 % and 60 %.	1C003
I.A1.019	Not used.	
I.A1.020	Graphite, other than that specified in 0C004 or 1C107.a., designed or specified for use in Electrical Discharge Machining (EDM) machines.	0C004 1C107.a.

▼ **M5**

No	Description	Related item from Annex I to Regulation (EC) No 428/2009
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▼ **M9**

I.A1.021	Steel alloys in sheet or plate form, having any of the following characteristics: (a) Steel alloys 'capable of' ultimate tensile strength of 1 200 MPa or more, at 293 K (20 °C); or (b) Nitrogen-stabilised duplex stainless steel. <i>Note: the phrase alloys 'capable of' encompasses alloys before or after heat treatment.</i> <i>Technical note: 'nitrogen-stabilised duplex stainless steel' has a two-phase microstructure consisting of grains of ferritic and austenitic steel with the addition of nitrogen to stabilise the microstructure.</i>	1C116 1C216
I.A1.022	Carbon-Carbon Composite material.	1A002.b.1
I.A1.023	Nickel alloys in crude or semi-fabricated form, containing 60 % by weight or more nickel.	1C002.c.1.a
I.A1.024	Titanium alloys in sheet or plate form 'capable of' an ultimate tensile strength of 900 MPa or more at 293 K (20 °C).  <i>Note: the phrase alloys 'capable of' encompasses alloys before or after heat treatment.</i>	1C002.b.3
I.A1.025	Titanium alloys, other than those specified in 1C002 and 1C202.	1C002  1C202
I.A1.026	Zirconium and zirconium alloys, other than those specified in 1C011, 1C111 and 1C234.	1C011  1C111  1C234
I.A1.027	Explosive materials other than those specified in 1C239, or materials or mixtures containing more than 2 % by weight of such explosive materials, with a crystalline density higher than 1,5 g/cm <sup>3</sup> and with a detonation speed higher than 5 000 m/s.	1C239

▼ **M5****MATERIALS PROCESSING****I.A2. Goods**

No	Description	Related item from Annex I to Regulation (EC) No 428/2009
I.A2.001	Vibration test systems, equipment and components thereof, other than those specified in 2B116:	2B116



## ▼ M5

No	Description	Related item from Annex I to Regulation (EC) No 428/2009
I.A2.003	<p>Balancing machines and related equipment as follows:</p> <p>a. Balancing machines, designed or modified for dental or other medical equipment, having all the following characteristics:</p> <ol style="list-style-type: none"> <li>1. Not capable of balancing rotors/assemblies having a mass greater than 3 kg;</li> <li>2. Capable of balancing rotors/assemblies at speeds greater than 12 500 rpm;</li> <li>3. Capable of correcting unbalance in two planes or more; and</li> <li>4. Capable of balancing to a residual specific unbalance of <math>0,2 \text{ g} \times \text{mm}</math> per kg of rotor mass;</li> </ol> <p>b. 'Indicator heads' designed or modified for use with machines specified in a. above.</p> <p><i>Technical note:</i></p> <p><i>'Indicator heads' are sometimes known as balancing instrumentation.</i></p>	2B119
I.A2.004	<p>Remote manipulators that can be used to provide remote actions in radiochemical separation operations or hot cells, other than those specified in 2B225, having either of the following characteristics:</p> <p>a. A capability of penetrating a hot cell wall of 0,3 m or more (through the wall operation); or</p> <p>b. A capability of bridging over the top of a hot cell wall with a thickness of 0,3 m or more (over the wall operation).</p> <p><i>Technical note:</i></p> <p><i>Remote manipulators provide translation of human operator actions to a remote operating arm and terminal fixture. They may be of master/slave type or operated by joystick or keypad.</i></p>	2B225
I.A2.005	<p>Controlled atmosphere heat treatment furnaces or oxidation furnaces capable of operation at temperatures above 400 °C.</p> <p><i>Note:</i></p> <p><i>This item does not cover tunnel kilns with roller or car conveyance, tunnel kilns with conveyor belt, pusher type kilns or shuttle kilns, specially designed for the production of glass, tableware ceramics or structural ceramics.</i></p>	2B226 2B227

## ▼ M5

No	Description	Related item from Annex I to Regulation (EC) No 428/2009
IA2.006	Not used.	
IA2.007	<p>‘Pressure transducers’, other than those defined in 2B230, capable of measuring absolute pressures at any point in the range 0 to 200 kPa and having both of the following characteristics:</p> <p>a. Pressure sensing elements made of or protected by ‘Materials resistant to corrosion by uranium hexafluoride (UF<sub>6</sub>)’; and</p> <p>b. Having either of the following characteristics:</p> <p>1. A full scale of less than 200 kPa and an ‘accuracy’ of better than <math>\pm 1\%</math> of full scale; or</p> <p>2. A full scale of 200 kPa or greater and an ‘accuracy’ of better than 2 kPa.</p> <p><i>Technical note:</i></p> <p><i>For the purposes of 2B230 ‘accuracy’ includes non-linearity, hysteresis and repeatability at ambient temperature.</i></p>	2B230
IA2.008	<p>Liquid-liquid contacting equipment (mixer-settlers, pulsed columns, plate columns, centrifugal contactors); and liquid distributors, vapour distributors or liquid collectors designed for such equipment, where all surfaces that come in direct contact with the chemical(s) being processed are made from any of the following materials:</p> <p>a. Alloys with more than 25 % nickel and 20 % chromium by weight;</p> <p>b. Fluoropolymers;</p> <p>c. Glass (including vitrified or enamelled coating or glass lining);</p> <p>d. Graphite or ‘carbon graphite’;</p> <p>e. Nickel or alloys with more than 40 % nickel by weight;</p> <p>f. Tantalum or tantalum alloys;</p> <p>g. Titanium or titanium alloys;</p> <p>h. Zirconium or zirconium alloys; or</p> <p>i. Stainless steel.</p> <p><i>Technical note:</i></p> <p><i>‘Carbon graphite’ is a composition consisting of amorphous carbon and graphite, in which the graphite content is 8 % or more by weight.</i></p>	2B350.e.
IA2.009	Industrial equipment and components, other than those specified in 2B350.d., as follows:	2B350.d.

## ▼ M5

No	Description	Related item from Annex I to Regulation (EC) No 428/2009
	<p>Heat exchangers or condensers with a heat transfer surface area greater than 0,05 m<sup>2</sup>, and less than 30 m<sup>2</sup>; and tubes, plates, coils or blocks (cores) designed for such heat exchangers or condensers, where all surfaces that come in direct contact with the fluid(s) are made from any of the following materials:</p> <ul style="list-style-type: none"> <li>a. Alloys with more than 25 % nickel and 20 % chromium by weight;</li> <li>b. Fluoropolymers;</li> <li>c. Glass (including vitrified or enamelled coating or glass lining);</li> <li>d. Graphite or 'carbon graphite';</li> <li>e. Nickel or alloys with more than 40 % nickel by weight;</li> <li>f. Tantalum or tantalum alloys;</li> <li>g. Titanium or titanium alloys;</li> <li>h. Zirconium or zirconium alloys;</li> <li>i. Silicon carbide;</li> <li>j. Titanium carbide; or</li> <li>k. Stainless steel.</li> </ul> <p><i>Note:</i> <i>This item does not cover vehicle radiators.</i></p> <p><i>Technical note:</i> <i>The materials used for gaskets and seals and other implementation of sealing functions do not determine the status of control of the heat exchanger.</i></p>	
IA2.010	<p>Multiple-seal, and seal-less pumps, other than those specified in 2B350.i, suitable for corrosive fluids, or vacuum pumps and casings (pump bodies), preformed casing liners, impellers, rotors or jet pump nozzles designed for such pumps, in which all surfaces that come in direct contact with the chemical(s) being processed are made from any of the following materials:</p> <ul style="list-style-type: none"> <li>a. Alloys with more than 25 % nickel and 20 % chromium by weight;</li> <li>b. Ceramics;</li> <li>c. Ferrosilicon;</li> <li>d. Fluoropolymers;</li> <li>e. Glass (including vitrified or enamelled coatings or glass lining);</li> <li>f. Graphite or 'carbon graphite';</li> <li>g. Nickel or alloys with more than 40 % nickel by weight;</li> <li>h. Tantalum or tantalum alloys;</li> <li>i. Titanium or titanium alloys;</li> <li>j. Zirconium or zirconium alloys;</li> <li>k. Niobium (columbium) or niobium alloys;</li> <li>l. Stainless steel;</li> </ul>	2B350.i.



## ▼ M5

No	Description	Related item from Annex I to Regulation (EC) No 428/2009
	m. Aluminium alloys; or n. Rubber. <i>Technical notes:</i> <i>The materials used for gaskets and seals and other implementations of sealing functions do not determine the status of control of the pump.</i> <i>The term 'rubber' encompasses all kinds of natural and synthetic rubbers.</i>	
I.A2.011	'Centrifugal separators', other than those specified in 2B352.c., capable of continuous separation without the propagation of aerosols and manufactured from: a. Alloys with more than 25 % nickel and 20 % chromium by weight; b. Fluoropolymers; c. Glass (including vitrified or enamelled coating or glass lining); d. Nickel or alloys with more than 40 % nickel by weight; e. Tantalum or tantalum alloys; f. Titanium or titanium alloys; or g. Zirconium or zirconium alloys. <i>Technical note:</i> <i>'Centrifugal separators' include decanters.</i>	2B352.c.
I.A2.012	Sintered metal filters, other than those specified in 2B352.d., made of nickel or nickel alloy with more than 40 % nickel by weight.	2B352.d.
I.A2.013	Spin-forming machines and flow-forming machines, other than those specified by 2B009, 2B109 or 2B209 and specially designed components therefor. <i>Technical note:</i> <i>For the purpose of this item, machines combining the functions of spin-forming and flow-forming are regarded as flow-forming machines.</i>	2B009 2B109 2B209
I.A2.014	Equipment and reagents, other than those specified in 2B350 or 2B352, as follows: a. Fermenters capable of cultivation of pathogenic 'micro-organisms' or viruses, or capable of toxin production, without the propagation of aerosols, and having a total capacity of 10 l or more; b. Agitators for fermenters as mentioned in a.above; <i>Technical Note:</i> <i>Fermenters include bioreactors, chemostats and continuous-flow systems.</i> c. Laboratory equipment as follows: 1. Polymerase chain reaction (PCR)-equipment	2B350 2B352

## ▼ M5

No	Description	Related item from Annex I to Regulation (EC) No 428/2009
	2. Genetic sequencing equipment; 3. Genetic synthesizers; 4. Electroporation equipment; 5. Specific reagents associated with the equipment in I.A2.014.c. numbers 1. to 4. above; d. Filters, micro-filters, nano-filters or ultra-filters usable in industrial or laboratory biology for continuous filtering, except filters specially designed or modified for medical or clear water production purposes and to be used in the framework of EU or UN officially supported projects; e. Ultracentrifuges, rotors and adaptors for ultracentrifuges; f. Freeze drying equipment.	
I.A2.015	Equipment, other than that specified in 2B005, 2B105 or 3B001.d., for the deposition of metallic overlays as follows, and specially designed components and accessories therefor: a. Chemical vapour deposition (CVD) production equipment; b. Physical vapour deposition (PVD) production equipment; c. Production equipment for deposition by means of inductive or resistance heating.	2B005 2B105 3B001.d.
I.A2.016	Open tanks or containers, with or without agitators, with a total internal (geometric) volume greater than 0.5 m <sup>3</sup> (500 litres), where all surfaces that come in direct contact with the chemical(s) being processed or contained are made from any of the following materials: a. Alloys with more than 25 % nickel and 20 % chromium by weight; b. Fluoropolymers; c. Glass (including vitrified or enamelled coatings or glass lining); d. Nickel or alloys with more than 40 % nickel by weight; e. Tantalum or tantalum alloys; f. Titanium or titanium alloys; g. Zirconium or zirconium alloys; h. Niobium (columbium) or niobium alloys; i. Stainless steel; j. Wood; or k. Rubber.  <i>Technical note:</i>  <i>The term 'rubber' encompasses all kinds of natural and synthetic rubbers.</i>	2B350

(<sup>1</sup>) Manufacturers calculating positioning accuracy in accordance with ISO 230/2 (1997) should consult the competent authorities of the Member State in which they are established.

## ▼ M5

## ELECTRONICS

## I.A3. Goods

No	Description	Related item from Annex I to Regulation (EC) No 428/2009
I.A3.001	<p>High voltage direct current power supplies, other than those specified in 0B001.j.5. or 3A227, having both of the following characteristics:</p> <p>a. Capable of continuously producing, over a time period of eight hours, 10 kV or more, with output power of 5 kW or more with or without sweeping; and</p> <p>b. Current or voltage stability better than 0,1 % over a time period of four hours.</p>	<p>0B001.j.5. 3A227</p>
I.A3.002	<p>Mass spectrometers, other than those specified in 0B002.g. or 3A233, capable of measuring ions of 200 atomic mass units or more and having a resolution of better than 2 parts in 200, as follows, and ion sources therefor:</p> <p>a. Inductively coupled plasma mass spectrometers (ICP/MS);</p> <p>b. Glow discharge mass spectrometers (GDMS);</p> <p>c. Thermal ionisation mass spectrometers (TIMS);</p> <p>d. Electron bombardment mass spectrometers which have a source chamber constructed from, lined with or plated with 'materials resistant to corrosion by uranium hexafluoride UF<sub>6</sub>';</p> <p>e. Molecular beam mass spectrometers having either of the following characteristics:</p> <ol style="list-style-type: none"> <li>1. A source chamber constructed from, lined with or plated with stainless steel or molybdenum and equipped with a cold trap capable of cooling to 193 K (– 80 °C) or less; or</li> <li>2. A source chamber constructed from, lined with or plated with materials resistant to UF<sub>6</sub>;</li> </ol> <p>f. Mass spectrometers equipped with a micro-fluorination ion source designed for actinides or actinide fluorides.</p>	<p>0B002.g. 3A233</p>
I.A3.003	<p>Frequency changers or generators, other than those specified by 0B001.b.13. or 3A225, having all of the following characteristics, and specially designed components and software therefor:</p> <p>a. Multiphase output capable of providing a power of 40 W or greater;</p> <p>b. Capable of operating in the frequency range between 600 and 2 000 Hz; and</p>	<p>0B001.b.13. 3A225</p>

▼ **M5**

No	Description	Related item from Annex I to Regulation (EC) No 428/2009
	<p>c. Frequency control better (less) than 0,1 %.</p> <p><i>Technical notes:</i></p> <p>1. <i>Frequency changers are also known as converters, inverters, generators, electronic test equipment, AC power supplies, variable speed motor drives or variable frequency drives.</i></p> <p>2. <i>The functionality specified in this item may be met by certain equipment marketed as: electronic test equipment, AC power supplies, variable speed motor drives or variable frequency drives.</i></p>	
I.A3.004	Spectrometers and diffractometers, designed for the indicative test or quantitative analysis of the elemental composition of metals or alloys without chemical decomposition of the material.	

**SENSORS AND LASERS****I.A6. Goods**

No	Description	Related item from Annex I to Regulation (EC) No 428/2009
I.A6.001	Yttrium aluminium garnet (YAG) rods.	
I.A6.002	<p>Optical equipment and components, other than those specified in 6A002 or 6A004.b. as follows:</p> <p>Infrared optics in the wavelength range 9 <math>\mu\text{m}</math>–17 <math>\mu\text{m}</math> and components thereof, including cadmium telluride (CdTe) components.</p>	<p>6A002</p> <p>6A004.b.</p>
I.A6.003	Wave front corrector systems, other than mirrors specified in 6A004.a., 6A005.e. or 6A005.f., for use with a laser beam having a diameter exceeding 4 mm, and specially designed components thereof, including control systems, phase front sensors and 'deformable mirrors' including bimorph mirrors.	<p>6A004.a.</p> <p>6A005.e.</p> <p>6A005.f.</p>
I.A6.004	Argon ion 'lasers', other than those specified in 0B001.g.5., 6A005.a.6. and/or 6A205.a., having an average output power equal to or greater than 5 W.	<p>0B001.g.5.</p> <p>6A005.a.6.</p> <p>6A205.a.</p>

## ▼ M5

No	Description	Related item from Annex I to Regulation (EC) No 428/2009
I.A6.005	<p>Semiconductor ‘lasers’, other than those specified in 0B001.g.5., 0B001.h.6. or 6A005.b., and components thereof, as follows:</p> <p>a. Individual semiconductor ‘lasers’ with an output power greater than 200 mW each, in quantities larger than 100;</p> <p>b. Semiconductor ‘laser’ arrays having an output power greater than 20 W.</p> <p><i>Notes:</i></p> <p>1. <i>Semiconductor ‘lasers’ are commonly called ‘laser’ diodes.</i></p> <p>2. <i>This item does not cover ‘laser’ diodes with a wavelength in the range 1,2 <math>\mu\text{m}</math> – 2,0 <math>\mu\text{m}</math>.</i></p>	0B001.g.5. 0B001.h.6. 6A005.b.
I.A6.006	<p>Tunable semiconductor ‘lasers’ and tunable semiconductor ‘laser’ arrays, other than those specified in 0B001.h.6. or 6A005.b., of a wavelength between 9 <math>\mu\text{m}</math> and 17 <math>\mu\text{m}</math>, as well as array stacks of semiconductor ‘lasers’ containing at least one tunable semiconductor ‘laser’ array of such wavelength.</p> <p><i>Note:</i></p> <p><i>Semiconductor ‘lasers’ are commonly called ‘laser’ diodes.</i></p>	0B001.h.6. 6A005.b.
I.A6.007	<p>Solid state ‘tunable’ ‘lasers’, other than those specified in 0B001.g.5., 0B001.h.6. or 6A005.c.1., and specially designed components thereof, as follows:</p> <p>a. Titanium-sapphire lasers,</p> <p>b. Alexandrite lasers.</p>	0B001.g.5. 0B001.h.6. 6A005.c.1.
I.A6.008	<p>Neodymium-doped (other than glass) ‘lasers’, other than those specified in 6A005.c.2.b., having an output wavelength greater than 1,0 <math>\mu\text{m}</math> but not exceeding 1,1 <math>\mu\text{m}</math> and output energy exceeding 10 J per pulse.</p>	6A005.c.2.b.
I.A6.009	<p>Components of acousto-optics, as follows:</p> <p>a. Framing tubes and solid-state imaging devices having a recurrence frequency equal to or exceeding 1 kHz;</p> <p>b. Recurrence frequency supplies;</p> <p>c. Pockels cells.</p>	6A203.b.4.
I.A6.010	<p>Radiation-hardened cameras, or lenses thereof, other than those specified in 6A203.c., specially designed, or rated as radiation-hardened, to withstand a total radiation dose greater than <math>50 \times 10^3</math> Gy (silicon) (<math>5 \times 10^6</math> rad (silicon)) without operational degradation.</p>	6A203.c.

▼ **M5**

No	Description	Related item from Annex I to Regulation (EC) No 428/2009
	<p><i>Technical note:</i></p> <p><i>The term Gy (silicon) refers to the energy in Joules per kilogram absorbed by an unshielded silicon sample when exposed to ionising radiation.</i></p>	
I.A6.011	<p>Tunable pulsed dye laser amplifiers and oscillators, other than those specified in 0B001.g.5., 6A005 and or 6A205.c., having all of the following characteristics:</p> <p>a. Operating at wavelengths between 300 nm and 800 nm;</p> <p>b. An average output power greater than 10 W but not exceeding 30 W;</p> <p>c. A repetition rate greater than 1 kHz; and</p> <p>d. Pulse width less than 100 ns.</p> <p><i>Note:</i></p> <p><i>This item does not cover single mode oscillators.</i></p>	<p>0B001.g.5.</p> <p>6A005</p> <p>6A205.c.</p>
I.A6.012	<p>Pulsed carbon dioxide ‘lasers’, other than those specified in, 0B001.h.6., 6A005.d. or 6A205.d., having all of the following characteristics:</p> <p>a. Operating at wavelengths between 9 <math>\mu\text{m}</math> and 11 <math>\mu\text{m}</math>;</p> <p>b. A repetition rate greater than 250 Hz;</p> <p>c. An average output power greater than 100 W but not exceeding 500 W; and</p> <p>d. Pulse width less than 200 ns.</p>	<p>0B001.h.6.</p> <p>6A005.d.</p> <p>6A205.d.</p>
▼ <b>M12</b>		
I.A6.013	Lasers, other than those specified in 6A005 or 6A205.	<p>6A005</p> <p>6A205</p>

▼ **M5****NAVIGATION AND AVIONICS****I.A7. Goods**

No	Description	Related item from Annex I to Regulation (EC) No 428/2009
I.A7.001	<p>Inertial navigation systems and specially designed components thereof, as follows:</p> <p>a. Inertial navigation systems which are certified for use on ‘civil aircraft’ by civil authorities of a State participating in the Wassenaar Arrangement, and specially designed components thereof, as follows:</p>	<p>7A001</p> <p>7A003</p> <p>7A101</p> <p>7A103</p>

## ▼ M5

No	Description	Related item from Annex I to Regulation (EC) No 428/2009
	<p>1. Inertial navigation systems (INS) (gimballed or strapdown) and inertial equipment designed for ‘aircraft’, land vehicle, vessels (surface or underwater) or ‘spacecraft’ for attitude, guidance or control, having any of the following characteristics, and specially designed components thereof:</p> <p>a. Navigation error (free inertial) subsequent to normal alignment of 0,8 nautical mile per hour (nm/hr) ‘Circular Error Probable’ (CEP) or less (better); or</p> <p>b. Specified to function at linear acceleration levels exceeding 10 g;</p> <p>2. Hybrid Inertial Navigation Systems embedded with Global Navigation Satellite Systems(s) (GNSS) or with ‘Data-Based Referenced Navigation’ (‘DBRN’) System(s) for attitude, guidance or control, subsequent to normal alignment, having an INS navigation position accuracy, after loss of GNSS or ‘DBRN’ for a period of up to four minutes, of less (better) than 10 metres ‘Circular Error Probable’ (CEP);</p> <p>3. Inertial Equipment for Azimuth, Heading, or North Pointing having any of the following characteristics, and specially designed components thereof:</p> <p>a. Designed to have an Azimuth, Heading, or North Pointing accuracy equal to, or less (better) than 6 arc minutes RMS at 45 degrees latitude; or</p> <p>b. Designed to have a non-operating shock level of at least 900 g at a duration of at least 1 msec.</p> <p>b. Theodolite systems incorporating inertial equipment specially designed for civil surveying purposes and designed to have an Azimuth, Heading, or North Pointing accuracy equal to, or less (better) than 6 arc minutes RMS at 45 degrees latitude, and specially designed components thereof.</p> <p>c. Inertial or other equipment using accelerometers specified in 7A001 or 7A101, where such accelerometers are specially designed and developed as MWD (Measurement While Drilling) sensors for use in down-hole well services operations.v</p>	

## ▼ M5

No	Description	Related item from Annex I to Regulation (EC) No 428/2009
	<p><i>Note:</i></p> <p><i>The parameters of a.1. and a.2. are applicable with any of the following environmental conditions:</i></p> <ol style="list-style-type: none"> <li>1. <i>Input random vibration with an overall magnitude of 7,7 g rms in the first half hour and a total test duration of one and a half hours per axis in each of the three perpendicular axes, when the random vibration meets the following:</i> <ol style="list-style-type: none"> <li>a. <i>A constant power spectral density (PSD) value of 0,04 g<sup>2</sup>/Hz over a frequency interval of 15 to 1 000 Hz; and</i></li> <li>b. <i>The PSD attenuates with a frequency from 0,04 g<sup>2</sup>/Hz to 0,01 g<sup>2</sup>/Hz over a frequency interval from 1 000 to 2 000 Hz;</i></li> </ol> </li> <li>2. <i>A roll and yaw rate equal to or greater than + 2,62 radian/s (150 deg/s); or</i></li> <li>3. <i>According to national standards equivalent to 1. or 2. above.</i></li> </ol> <p><i>Technical notes:</i></p> <ol style="list-style-type: none"> <li>1. <i>a.2. refers to systems in which an INS and other independent navigation aids are built into a single unit (embedded) in order to achieve improved performance.</i></li> <li>2. <i>'Circular Error Probable' (CEP) – In a circular normal distribution, the radius of the circle containing 50 percent of the individual measurements being made, or the radius of the circle within which there is a 50 percent probability of being located.</i></li> </ol>	

## AEROSPACE AND PROPULSION

## I.A9. Goods

No	Description	Related item from Annex I to Regulation (EC) No 428/2009
I.A9.001	Explosive bolts.	
I.A9.002	Internal combustion engines (i.e. axial piston or rotary piston type), designed or modified for propelling 'aircrafts' or 'lighter-than-air-vehicles' and specially designed components therefor.	
I.A9.003	<p>Trucks, other than those specified in 9A115, having more than one motorised axle and a payload exceeding 5 tonnes.</p> <p><i>Note:</i></p> <p><i>This item includes flatbed trailers, semi trailers and other trailers.</i></p>	9A115



▼ **M5****B. SOFTWARE**

No	Description	Related item from Annex I to Regulation (EC) No 428/2009
I.B.001	Software required for the development, production or use of the items in Part A. (Goods).	

**C. TECHNOLOGY**

No	Description	Related item from Annex I to Regulation (EC) No 428/2009
I.C.001	Technology required for the development, production or use of the items in Part A. (Goods).	

▼ **M9***ANNEX Ib***Goods referred to in the third subparagraph of Article 2(2)**

7601	Unwrought aluminium
7602	Aluminium waste and scrap
7603	Aluminium powders and flakes
7604	Aluminium bars, rods and profiles
7605	Aluminium wire
7606	Aluminium plates, sheets and strip, of a thickness exceeding 0,2 mm
7608	Aluminium tubes and pipes
7609	Aluminium tube or pipe fittings (for example, couplings, elbows, sleeves)
7614	Stranded wire, cables, plaited bands and the like, of aluminium, not electrically insulated

**▼ M20***ANNEX Ic***Gold, titanium ore, vanadium ore and rare earth minerals referred to in Article 2(4)**

Code	Description
ex 2530 90 00	Ores of the rare earth metals
ex 2612	Monazites and other ores used solely or principally for the extraction of uranium or thorium
ex 2614 00 00	Titanium ore
ex 2615 90 00	Vanadium ore
ex 2616 90 00	Gold

▼ **M20***ANNEX Id***Coal, iron and iron ore referred to in Article 2(4)**

Code	Description
ex 2601	Iron ore
2701	Coal, briquettes, ovoids and similar solid fuels manufactured from coal
2702	Lignite, whether or not agglomerated, excluding jet
2703	Peat (including peat litter), whether or not agglomerated
2704	Coke and semi-coke of coal, of lignite or of peat, whether or not agglomerated; retort carbon
7201	Pig iron and spiegeleisen in pigs, blocks or other primary forms
7202	Ferro-alloy
7203	Ferrous products obtained by direct reduction of iron ore and other spongy ferrous products, in lumps, pellets or similar forms; iron having a minimum purity by weight of 99,94 %, in lumps, pellets or similar forms
7204 10 00	Waste and scrap of cast iron
ex 7204 30 00	Waste and scrap of tinned iron or steel
ex 7204 41	Other waste and scrap: Turnings, shavings, chips, milling waste, sawdust, filings, trimmings and stampings, whether or not in bundles
ex 7204 49	Other waste and scrap: Other
ex 7204 50 00	Other waste and scrap: Remelting scrap ingot
ex 7205 10 00	Granules
ex 7205 29 00	Powders, other than of alloy steel
ex 7206 10 00	Ingots
ex 7206 90 00	Other
ex 7207	Semi-finished products of iron or non-alloy steel:
ex 7208	Flat-rolled products of iron or non-alloy steel, of a width of 600 mm or more, hot-rolled, not clad, plated or coated:
ex 7209	Flat-rolled products of iron or non-alloy steel, of a width of 600 mm or more, cold-rolled (cold-reduced), not clad, plated or coated:
ex 7210	Flat-rolled products of iron or non-alloy steel, of a width of 600 mm or more, clad, plated or coated:

**▼ M20**

Code	Description
ex 7211	Flat-rolled products of iron or non-alloy steel, of a width of less than 600 mm, not clad, plated or coated:
ex 7212	Flat-rolled products of iron or non-alloy steel, of a width of less than 600 mm, clad, plated or coated:
ex 7214	Other bars and rods of iron or non-alloy steel, not further worked than forged, hot-rolled, hot-drawn or hot-extruded, but including those twisted after rolling:
ex 7215	Other bars and rods of iron or non-alloy steel:
ex 7216	Angles, shapes and sections of iron or non-alloy steel:
ex 7217	Wire of iron or non-alloy steel:

**▼ M20***ANNEX Ia***Aviation fuel referred to in Article 2(1)(b)**

Code	Description
from 2710 12 31 till 2710 12 59	Gasoline
2710 12 70	Naptha-type jet fuel
2710 19 21 00	Kerosene-type jet fuel
2710 19 25 00	Kerosene-type rocket fuel

▼ **M22***ANNEX If***Petroleum products referred to in Article 2(4)**

	2707	Oils and other products of the distillation of high temperature coal tar; similar products in which the weight of the aromatic constituents exceeds that of the non-aromatic constituents
	2709	Petroleum oils and oils obtained from bituminous minerals, crude
	2710	Petroleum oils and oils obtained from bituminous minerals, other than crude; preparations not elsewhere specified or included, containing by weight 70 % or more of petroleum oils or of oils obtained from bituminous minerals, these oils being the basic constituents of the preparations; waste oils
	2711	Petroleum gases and other gaseous hydrocarbons
	2712 10	– Petroleum jelly
	2712 20	– Paraffin wax containing by weight less than 0,75 % of oil
Ex	2712 90	– Other
	2713	Petroleum coke, petroleum bitumen and other residues of petroleum oils or of oils obtained from bituminous minerals
Ex	2714	Bitumen and asphalt, natural; bituminous or oil-shale and tar sands; asphaltites and asphaltic rocks
Ex	2715	Bituminous mixtures based on natural asphalt, on natural bitumen, on petroleum bitumen, on mineral tar or on mineral tar pitch (for example, bituminous mastics, cut-backs)
		– Containing petroleum oils or oils obtained from bituminous minerals
	3403 11	– – Preparations for the treatment of textile materials, leather, furskins or other materials
	3403 19	– – Other
		– Other
Ex	3403 91	– – Preparations for the treatment of textile materials, leather, furskins or other materials
Ex	3403 99	– – Other
		– – – – Chemical products or preparations, predominantly composed of organic compounds, not elsewhere specified or included
Ex	3824 90 92	– – – – – In the form of a liquid at 20 °C
Ex	3824 90 93	– – – – – Other
Ex	3824 90 96	– – – – Other
	3826 00 10	– Fatty-acid mono-alkyl esters, containing by volume 96,5 % or more of esters (FAMAE)
	3826 00 90	– Other

▼ M23

*ANNEX Ig*

Goods and technology referred to in Articles 2, 3 and 6 <sup>(1)</sup>

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<sup>(1)</sup> The nomenclature codes are the ones applicable to the relevant products in the Combined Nomenclature as defined in Article 1(2) of Regulation (EEC) No 2658/87 and as set out in Annex I thereto.



**▼ M8***ANNEX II***Websites for information on the competent authorities referred to in Articles 5, 7, 8, 10 and 15, and address for notifications to the European Commission**

## BELGIUM

<http://www.diplomatie.be/eusanctions>

## BULGARIA

<http://www.mfa.bg/en/pages/135/index.html>

## CZECH REPUBLIC

<http://www.mfcr.cz/mezinarodnisankce>

## DENMARK

<http://um.dk/da/politik-og-diplomati/retsorden/sanktioner/>

## GERMANY

<http://www.bmwi.de/DE/Themen/Aussenwirtschaft/aussenwirtschaftsrecht,did=404888.html>

## ESTONIA

[http://www.vm.ee/est/kat\\_622/](http://www.vm.ee/est/kat_622/)

## IRELAND

<http://www.dfa.ie/home/index.aspx?id=28519>

## GREECE

<http://www.mfa.gr/en/foreign-policy/global-issues/international-sanctions.html>

## SPAIN

[http://www.maec.es/es/MenuPpal/Asuntos/Sanciones%20Internacionales/Paginas/Sanciones\\_%20Internacionales.aspx](http://www.maec.es/es/MenuPpal/Asuntos/Sanciones%20Internacionales/Paginas/Sanciones_%20Internacionales.aspx)

## FRANCE

<http://www.diplomatie.gouv.fr/autorites-sanctions/>

**▼ M11**

## CROATIA

<http://www.mvep.hr/sankcije>

**▼ M8**

## ITALY

[http://www.esteri.it/MAE/IT/Politica\\_Europea/Deroghe.htm](http://www.esteri.it/MAE/IT/Politica_Europea/Deroghe.htm)

## CYPRUS

<http://www.mfa.gov.cy/sanctions>

## LATVIA

<http://www.mfa.gov.lv/en/security/4539>

## LITHUANIA

<http://www.urm.lt/sanctions>

**▼ M8**

## LUXEMBOURG

<http://www.mae.lu/sanctions>

## HUNGARY

[http://www.kulugyminiszterium.hu/kum/hu/bal/Kulpolitikank/nemzetkozi\\_szankciok/](http://www.kulugyminiszterium.hu/kum/hu/bal/Kulpolitikank/nemzetkozi_szankciok/)

## MALTA

[http://www.doi.gov.mt/EN/bodies/boards/sanctions\\_monitoring.asp](http://www.doi.gov.mt/EN/bodies/boards/sanctions_monitoring.asp)

## NETHERLANDS

[www.rijksoverheid.nl/onderwerpen/internationale-vrede-en-veiligheid/sancties](http://www.rijksoverheid.nl/onderwerpen/internationale-vrede-en-veiligheid/sancties)

## AUSTRIA

[http://www.bmeia.gv.at/view.php3?f\\_id=12750&LNG=en&version=](http://www.bmeia.gv.at/view.php3?f_id=12750&LNG=en&version=)

## POLAND

<http://www.msz.gov.pl>

## PORTUGAL

<http://www.min-nestrangeiros.pt>

## ROMANIA

<http://www.mae.ro/node/1548>

## SLOVENIA

[http://www.mzz.gov.si/si/zunanja\\_politika\\_in\\_mednarodno\\_pravo/zunanja\\_politika/mednarodna\\_varnost/omejevalni\\_ukrepi/](http://www.mzz.gov.si/si/zunanja_politika_in_mednarodno_pravo/zunanja_politika/mednarodna_varnost/omejevalni_ukrepi/)

## SLOVAKIA

<http://www.foreign.gov.sk>

## FINLAND

<http://formin.finland.fi/kvyhteisty/pakotteet>

## SWEDEN

<http://www.ud.se/sanktioner>

## UNITED KINGDOM

[www.fco.gov.uk/competentauthorities](http://www.fco.gov.uk/competentauthorities)

**Address for notifications to the European Commission**

European Commission  
Service for Foreign Policy Instruments (FPI)  
EEAS 02/309  
B-1049 Brussels  
Belgium  
E-mail: [relex-sanctions@ec.europa.eu](mailto:relex-sanctions@ec.europa.eu)

▼ **M20***ANNEX III***Luxury goods referred to in Article 4**

## 1. Pure-Bred Horses

	0101 21 00	Pure-bred breeding animals
ex	0101 29 90	Other

## 2. Caviar and caviar substitutes

	1604 31 00	Caviar
	1604 32 00	Caviar substitutes

## 3. Truffles and preparations thereof

	0709 59 50	Truffles
ex	0710 80 69	Other
ex	0711 59 00	Other
ex	0712 39 00	Other
ex	2001 90 97	Other
	2003 90 10	Truffles
ex	2103 90 90	Other
ex	2104 10 00	Soups and broths and preparations therefor
ex	2104 20 00	Homogenised composite food preparations
ex	2106 00 00	Food preparations not elsewhere specified or included

## 4. High quality wines (including sparkling wines), spirits and spirituous beverages

	2204 10 11	Champagne
	2204 10 91	Asti spumante
ex	2204 10 93	Other
ex	2204 10 94	With a protected geographical indication (PGI)
ex	2204 10 96	Other varietal wines
ex	2204 10 98	Other
ex	2204 21 00	In containers holding 2 litres or less
ex	2204 29 00	Other
ex	2205 00 00	Vermouth and other wine of fresh grapes flavoured with plants or aromatic substances
ex	2206 00 00	Other fermented beverages (for example, cider, perry, mead); mixtures of fermented beverages and mixtures of fermented beverages and non-alcoholic beverages, not elsewhere specified or included

## ▼ M20

ex	2207 10 00	Undenatured ethyl alcohol of an alcoholic strength by volume of 80 % vol or higher
ex	2208 00 00	Undenatured ethyl alcohol of an alcoholic strength by volume of less than 80 % vol; spirits, liqueurs and other spirituous beverages

## 5. High quality cigars and cigarillos

ex	2402 10 00	Cigars, cheroots and cigarillos, containing tobacco
ex	2402 90 00	Other

## 6. Luxury perfumes, toilet waters and cosmetics, including beauty and make-up products

ex	3303 00 00	Perfumes and toilet waters
ex	3304 00 00	Beauty or make-up preparations and preparations for the care of the skin (other than medicaments), including sunscreen or suntan preparations; manicure or pedicure preparations
ex	3305 00 00	Preparations for use on the hair
ex	3307 00 00	Pre-shave, shaving or aftershave preparations, personal deodorants, bath preparations, depilatories and other perfumery, cosmetic or toilet preparations, not elsewhere specified or included; prepared room deodorisers, whether or not perfumed or having disinfectant properties
ex	6704 00 00	Wigs, false beards, eyebrows and eyelashes, switches and the like, of human or animal hair or of textile materials; articles of human hair not elsewhere specified or included

## 7. High quality leather, saddlery and travel goods, handbags and similar articles

ex	4201 00 00	Saddlery and harness for any animal (including traces, leads, knee pads, muzzles, saddle-cloths, saddlebags, dog coats and the like), of any material
ex	4202 00 00	Trunks, suitcases, vanity cases, executive-cases, briefcases, school satchels, spectacle cases, binocular cases, camera cases, musical instrument cases, gun cases, holsters and similar containers; travelling-bags, insulated food or beverages bags, toilet bags, rucksacks, handbags, shopping-bags, wallets, purses, map-cases, cigarette-cases, tobacco-pouches, tool bags, sports bags, bottle-cases, jewellery boxes, powder boxes, cutlery cases and similar containers, of leather or of composition leather, of sheeting of plastics, of textile materials, of vulcanised fibre or of paperboard, or wholly or mainly covered with such materials or with paper
ex	4205 00 90	Other
ex	9605 00 00	Travel sets for personal toilet, sewing or shoe or clothes cleaning

▼ **M20**

## 8. High quality garments, clothing accessories and shoes (regardless of their material)

ex	4203 00 00	Articles of apparel and clothing accessories, of leather or of composition leather
ex	4303 00 00	Articles of apparel, clothing accessories and other articles of furskin
ex	6101 00 00	Men's or boys' overcoats, car coats, capes, cloaks, anoraks (including ski jackets), windcheaters, wind-jackets and similar articles, knitted or crocheted, other than those of heading 6103
ex	6102 00 00	Women's or girls' overcoats, car coats, capes, cloaks, anoraks (including ski jackets), windcheaters, wind-jackets and similar articles, knitted or crocheted, other than those of heading 6104
ex	6103 00 00	Men's or boys' suits, ensembles, jackets, blazers, trousers, bib and brace overalls, breeches and shorts (other than swimwear), knitted or crocheted
ex	6104 00 00	Women's or girls' suits, ensembles, jackets, blazers, dresses, skirts, divided skirts, trousers, bib and brace overalls, breeches and shorts (other than swimwear), knitted or crocheted
ex	6105 00 00	Men's or boys' shirts, knitted or crocheted
ex	6106 00 00	Women's or girls' blouses, shirts and shirt-blouses, knitted or crocheted
ex	6107 00 00	Men's or boys' underpants, briefs, nightshirts, pyjamas, bathrobes, dressing gowns and similar articles, knitted or crocheted
ex	6108 00 00	Women's or girls' slips, petticoats, briefs, panties, nightdresses, pyjamas, négligés, bathrobes, dressing gowns and similar articles, knitted or crocheted
ex	6109 00 00	T-shirts, singlets and other vests, knitted or crocheted
ex	6110 00 00	Jerseys, pullovers, cardigans, waistcoats and similar articles, knitted or crocheted
ex	6111 00 00	Babies' garments and clothing accessories, knitted or crocheted
ex	6112 11 00	Of cotton
ex	6112 12 00	Of synthetic fibres
ex	6112 19 00	Of other textile materials
	6112 20 00	Ski suits
	6112 31 00	Of synthetic fibres
	6112 39 00	Of other textile materials
	6112 41 00	Of synthetic fibres
	6112 49 00	Of other textile materials

▼ **M20**

ex	6113 00 10	Of knitted or crocheted fabrics of heading 5906
ex	6113 00 90	Other
ex	6114 00 00	Other garments, knitted or crocheted
ex	6115 00 00	Pantyhose, tights, stockings, socks and other hosiery, including graduated compression hosiery (for example, stockings for varicose veins) and footwear without applied soles, knitted or crocheted
ex	6116 00 00	Gloves, mittens and mitts, knitted or crocheted
ex	6117 00 00	Other made-up clothing accessories, knitted or crocheted; knitted or crocheted parts of garments or of clothing accessories
ex	6201 00 00	Men's or boys' overcoats, car coats, capes, cloaks, anoraks (including ski jackets), windcheaters, wind-jackets and similar articles, other than those of heading 6203
ex	6202 00 00	Women's or girls' overcoats, car coats, capes, cloaks, anoraks (including ski jackets), windcheaters, wind-jackets and similar articles, other than those of heading 6204
ex	6203 00 00	Men's or boys' suits, ensembles, jackets, blazers, trousers, bib and brace overalls, breeches and shorts (other than swimwear)
ex	6204 00 00	Women's or girls' suits, ensembles, jackets, blazers, dresses, skirts, divided skirts, trousers, bib and brace overalls, breeches and shorts (other than swimwear)
ex	6205 00 00	Men's or boys' shirts
ex	6206 00 00	Women's or girls' blouses, shirts and shirt-blouses
ex	6207 00 00	Men's or boys' singlets and other vests, underpants, briefs, night-shirts, pyjamas, bathrobes, dressing gowns and similar articles
ex	6208 00 00	Women's or girls' singlets and other vests, slips, petticoats, briefs, panties, nightdresses, pyjamas, négligés, bathrobes, dressing gowns and similar articles
ex	6209 00 00	Babies' garments and clothing accessories
ex	6210 10 00	Of fabrics of heading 5602 or 5603
	6210 20 00	Other garments, of the type described in subheadings 6201 11 to 6201 19
	6210 30 00	Other garments, of the type described in subheadings 6202 11 to 6202 19
ex	6210 40 00	Other men's or boys' garments
ex	6210 50 00	Other women's or girls' garments
	6211 11 00	Men's or boys'
	6211 12 00	Women's or girls'
	6211 20 00	Ski suits

▼ **M20**

ex	6211 32 00	Of cotton
ex	6211 33 00	Of man-made fibres
ex	6211 39 00	Of other textile materials
ex	6211 42 00	Of cotton
ex	6211 43 00	Of man-made fibres
ex	6211 49 00	Of other textile materials
ex	6212 00 00	Brassières, girdles, corsets, braces, suspenders, garters and similar articles and parts thereof, whether or not knitted or crocheted
ex	6213 00 00	Handkerchiefs
ex	6214 00 00	Shawls, scarves, mufflers, mantillas, veils and the like
ex	6215 00 00	Ties, bow ties and cravats
ex	6216 00 00	Gloves, mittens and mitts
ex	6217 00 00	Other made-up clothing accessories; parts of garments or of clothing accessories, other than those of heading 6212
ex	6401 00 00	Waterproof footwear with outer soles and uppers of rubber or of plastics, the uppers of which are neither fixed to the sole nor assembled by stitching, riveting, nailing, screwing, plugging or similar processes
ex	6402 20 00	Footwear with upper straps or thongs assembled to the sole by means of plugs
ex	6402 91 00	Covering the ankle
ex	6402 99 00	Other
ex	6403 19 00	Other
ex	6403 20 00	Footwear with outer soles of leather, and uppers which consist of leather straps across the instep and around the big toe
ex	6403 40 00	Other footwear, incorporating a protective metal toecap
ex	6403 51 00	Covering the ankle
ex	6403 59 00	Other
ex	6403 91 00	Covering the ankle
ex	6403 99 00	Other
ex	6404 19 10	Slippers and other indoor footwear
ex	6404 20 00	Footwear with outer soles of leather or composition leather

▼ **M20**

ex	6405 00 00	Other footwear
ex	6504 00 00	Hats and other headgear, plaited or made by assembling strips of any material, whether or not lined or trimmed
ex	6505 00 10	Of fur felt or of felt of wool and fur, made from the hat bodies, hoods or plateaux of heading 6501 00 00
ex	6505 00 30	Peaked caps
ex	6505 00 90	Other
ex	6506 99 00	Of other materials
ex	6601 91 00	Having a telescopic shaft
ex	6601 99 00	Other
ex	6602 00 00	Walking sticks, seat-sticks, whips, riding-crops and the like
ex	9619 00 81	Napkins and napkin liners for babies

## 9. Hand-knotted carpets, handwoven rugs and tapestries

ex	5701 00 00	Carpets and other textile floor coverings, knotted, whether or not made up
ex	5702 10 00	'Kelem', 'Schumacks', 'Karamanie' and similar hand-woven rugs
ex	5702 20 00	Floor coverings of coconut fibres (coir)
ex	5702 31 80	Other
ex	5702 32 90	Other
ex	5702 39 00	Of other textile materials
ex	5702 41 90	Other
ex	5702 42 90	Other
ex	5702 50 00	Other, not of pile construction, not made up
ex	5702 91 00	Of wool or fine animal hair
ex	5702 92 00	Of man-made textile materials
ex	5702 99 00	Of other textile materials
ex	5703 00 00	Carpets and other textile floor coverings, tufted, whether or not made up
ex	5704 00 00	Carpets and other textile floor coverings, of felt, not tufted or flocked, whether or not made up
ex	5705 00 00	Other carpets and other textile floor coverings, whether or not made up
ex	5805 00 00	Hand-woven tapestries of the type Gobelins, Flanders, Aubusson, Beauvais and the like, and needle-worked tapestries (for example, petit point, cross stitch), whether or not made up



▼ **M20**

## 10. Pearls, precious and semi-precious stones, articles of pearls, jewellery, gold- or silversmith articles

7101 00 00	Pearls, natural or cultured, whether or not worked or graded but not strung, mounted or set; pearls, natural or cultured, temporarily strung for convenience of transport
7102 00 00	Diamonds, whether or not worked, but not mounted or set
7103 00 00	Precious stones (other than diamonds) and semi-precious stones, whether or not worked or graded but not strung, mounted or set; ungraded precious stones (other than diamonds) and semi-precious stones, temporarily strung for convenience of transport
7104 20 00	Other, unworked or simply sawn or roughly shaped
7104 90 00	Other
7105 00 00	Dust and powder of natural or synthetic precious or semi-precious stones
7106 00 00	Silver (including silver plated with gold or platinum), unwrought or in semi-manufactured forms, or in powder form
7107 00 00	Base metals clad with silver, not further worked than semi-manufactured
7108 00 00	Gold (including gold plated with platinum), unwrought or in semi-manufactured forms, or in powder form
7109 00 00	Base metals or silver, clad with gold, not further worked than semi-manufactured
7110 11 00	Unwrought or in powder form
7110 19 00	Other
7110 21 00	Unwrought or in powder form
7110 29 00	Other
7110 31 00	Unwrought or in powder form
7110 39 00	Other
7110 41 00	Unwrought or in powder form
7110 49 00	Other
7111 00 00	Base metals, silver or gold, clad with platinum, not further worked than semi-manufactured
7113 00 00	Articles of jewellery and parts thereof, of precious metal or of metal clad with precious metal
7114 00 00	Articles of goldsmiths' or silversmiths' wares and parts thereof, of precious metal or of metal clad with precious metal
7115 00 00	Other articles of precious metal or of metal clad with precious metal
7116 00 00	Articles of natural or cultured pearls, precious or semi-precious stones (natural, synthetic or reconstructed)

▼ **M20**

## 11. Coins and banknotes, not being legal tender

ex	4907 00 30	Banknotes
	7118 10 00	Coin (other than gold coin), not being legal tender
ex	7118 90 00	Other

## 12. Cutlery of precious metal or plated or clad with precious metal

	7114 00 00	Articles of goldsmiths' or silversmiths' wares and parts thereof, of precious metal or of metal clad with precious metal
	7115 00 00	Other articles of precious metal or of metal clad with precious metal
ex	8214 00 00	Other articles of cutlery (for example, hair clippers, butchers' or kitchen cleavers, choppers and mincing knives, paperknives); manicure or pedicure sets and instruments (including nail files)
ex	8215 00 00	Spoons, forks, ladles, skimmers, cake-servers, fish-knives, butter-knives, sugar tongs and similar kitchen or tableware
ex	9307 00 00	Swords, cutlasses, bayonets, lances and similar arms and parts thereof and scabbards and sheaths therefor

## 13. High quality tableware of porcelain, china, stone- or earthenware or fine pottery

ex	6911 00 00	Tableware, kitchenware, other household articles and toilet articles, of porcelain or china
ex	6912 00 23	Stoneware
ex	6912 00 25	Earthenware or fine pottery
ex	6912 00 83	Stoneware
ex	6912 00 85	Earthenware or fine pottery
ex	6914 10 00	Of porcelain or china
ex	6914 90 00	Other

## 14. Items of lead crystal

ex	7009 91 00	Unframed
ex	7009 92 00	Framed
ex	7010 00 00	Carboys, bottles, flasks, jars, pots, phials, ampoules and other containers, of glass, of a kind used for the conveyance or packing of goods; preserving jars of glass; stoppers, lids and other closures, of glass
ex	7013 22 00	Of lead crystal
ex	7013 33 00	Of lead crystal

▼ **M20**

ex	7013 41 00	Of lead crystal
ex	7013 91 00	Of lead crystal
ex	7018 10 00	Glass beads, imitation pearls, imitation precious or semi-precious stones and similar glass smallwares
ex	7018 90 00	Other
ex	7020 00 80	Other
ex	9405 10 50	Of glass
ex	9405 20 50	Of glass
ex	9405 50 00	Non-electrical lamps and lighting fittings
ex	9405 91 00	Of glass

## 15. High end electronic items for domestic use

ex	8414 51 00	Table, floor, wall, window, ceiling or roof fans, with a self-contained electric motor of an output not exceeding 125 W
ex	8414 59 00	Other
ex	8414 60 00	Hoods having a maximum horizontal side not exceeding 120 cm
ex	8415 10 00	Window or wall types, self-contained or 'split-system'
ex	8418 10 00	Combined refrigerator-freezers, fitted with separate external doors
ex	8418 21 00	Compression-type
ex	8418 29 00	Other
ex	8418 30 00	Freezers of the chest type, not exceeding 800 litres capacity
ex	8418 40 00	Freezers of the upright type, not exceeding 900 litres capacity
ex	8419 81 00	For making hot drinks or for cooking or heating food
ex	8422 11 00	Of the household type
ex	8423 10 00	Personal weighing machines, including baby scales; household scales
ex	8443 12 00	Offset printing machinery, sheet fed, office type (using sheets with one side not exceeding 22 cm and the other side not exceeding 36 cm in the unfolded state)
ex	8443 31 00	Machines which perform two or more of the functions of printing, copying or facsimile transmission, capable of connecting to an automatic data-processing machine or to a network
ex	8443 32 00	Other, capable of connecting to an automatic data-processing machine or to a network

▼ **M20**

ex	8443 39 00	Other
ex	8450 11 00	Fully-automatic machines
ex	8450 12 00	Other machines, with built-in centrifugal drier
ex	8450 19 00	Other
ex	8451 21 00	Each of a dry linen capacity not exceeding 10 kg
ex	8452 10 00	Sewing machines of the household type
ex	8469 00 00	Typewriters other than printers of heading 8443; word-processing machines
ex	8470 10 00	Electronic calculators capable of operation without an external source of electric power and pocket-size data-recording, reproducing and displaying machines with calculating functions
ex	8470 21 00	Incorporating a printing device
ex	8470 29 00	Other
ex	8470 30 00	Other calculating machines
ex	8471 00 00	Automatic data-processing machines and units thereof; magnetic or optical readers, machines for transcribing data onto data media in coded form and machines for processing such data, not elsewhere specified or included
ex	8479 60 00	Evaporative air coolers
ex	8508 11 00	Of a power not exceeding 1 500 W and having a dust bag or other receptacle capacity not exceeding 20 l
ex	8508 19 00	Other
ex	8508 60 00	Other vacuum cleaners
ex	8509 40 00	Food grinders and mixers; fruit or vegetable juice extractors
ex	8509 80 00	Other appliances
ex	8516 31 00	Hairdryers
ex	8516 50 00	Microwave ovens
ex	8516 60 10	Cookers (incorporating at least an oven and a hob)
ex	8516 71 00	Coffee or tea makers
ex	8516 72 00	Toasters
ex	8516 79 00	Other
ex	8517 11 00	Line telephone sets with cordless handsets
ex	8517 12 00	Telephones for cellular networks or for other wireless networks
ex	8517 18 00	Other
ex	8517 61 00	Base stations

▼ **M20**

ex	8517 62 00	Machines for the reception, conversion and transmission or regeneration of voice, images or other data, including switching and routing apparatus
ex	8517 69 00	Other
ex	8526 91 00	Radio navigational aid apparatus
ex	8529 10 31	For reception via satellite
ex	8529 10 39	Other
ex	8529 10 65	Inside aerials for radio or television broadcast receivers, including built-in types
ex	8529 10 69	Other
ex	8531 10 00	Burglar or fire alarms and similar apparatus
ex	8543 70 10	Electrical machines with translation or dictionary functions
ex	8543 70 30	Aerial amplifiers
ex	8543 70 50	Sunbeds, sunlamps and similar suntanning equipment
ex	8543 70 90	Other
	9504 50 00	Video game consoles and machines, other than those of subheading 9504 30
	9504 90 80	Other

## 16. High end electrical/electronic or optical apparatus for recording and reproducing sound and images

ex	8519 00 00	Sound recording or sound reproducing apparatus
ex	8521 00 00	Video recording or reproducing apparatus, whether or not incorporating a video tuner
ex	8525 80 30	Digital cameras
ex	8525 80 91	Only able to record sound and images taken by the television camera
ex	8525 80 99	Other
ex	8527 00 00	Reception apparatus for radio-broadcasting, whether or not combined, in the same housing, with sound recording or reproducing apparatus or a clock
ex	8528 71 00	Not designed to incorporate a video display or screen
ex	8528 72 00	Other, colour
ex	9006 00 00	Photographic (other than cinematographic) cameras; photographic flashlight apparatus and flashbulbs other than discharge lamps of heading 8539
ex	9007 00 00	Cinematographic cameras and projectors, whether or not incorporating sound recording or reproducing apparatus

▼ **M20**

17. Luxury vehicles for the transport of persons on earth, air or sea including teleferics, chairlifts, ski-draglines, traction mechanisms for funiculars, as well as their accessories and spare parts

ex	4011 10 00	Of a kind used on motor cars (including station wagons and racing cars)
ex	4011 20 00	Of a kind used on buses or lorries
ex	4011 30 00	Of a kind used on aircraft
ex	4011 40 00	Of a kind used on motorcycles
ex	4011 69 00	Other
ex	4011 99 00	Other
ex	7009 10 00	Rear-view mirrors for vehicles
ex	8407 00 00	Spark-ignition reciprocating or rotary internal combustion piston engines
ex	8408 00 00	Compression-ignition internal combustion piston engines (diesel or semi-diesel engines)
ex	8409 00 00	Parts suitable for use solely or principally with the engines of heading 8407 or 8408
ex	8411 00 00	Turbojets, turbopropellers and other gas turbines
	8428 60 00	Teleferics, chairlifts, ski-draglines, traction mechanisms for funiculars
ex	8431 39 00	Parts and accessories of teleferics, chairlifts, ski-draglines, traction mechanisms for funiculars
ex	8483 00 00	Transmission shafts (including cam shafts and crank shafts) and cranks; bearing housings and plain shaft bearings; gears and gearing; ball or roller screws; gear boxes and other speed changers, including torque converters; flywheels and pulleys, including pulley blocks; clutches and shaft couplings (including universal joints)
ex	8511 00 00	Electrical ignition or starting equipment of a kind used for spark-ignition or compression-ignition internal combustion engines (for example, ignition magnetos, magneto-dynamos, ignition coils, sparking plugs and glow plugs, starter motors); generators (for example, dynamos, alternators) and cut-outs of a kind used in conjunction with such engines
ex	8512 20 00	Other lighting or visual signalling equipment
ex	8512 30 10	Burglar alarms of a kind used for motor vehicles

▼ **M20**

ex	8512 30 90	Other
ex	8512 40 00	Windscreen wipers, defrosters and demisters
ex	8544 30 00	Ignition wiring sets and other wiring sets of a kind used in vehicles, aircraft or ships
ex	8603 00 00	Self-propelled railway or tramway coaches, vans and trucks, other than those of heading 8604
ex	8605 00 00	Railway or tramway passenger coaches, not self-propelled; luggage vans, post office coaches and other special purpose railway or tramway coaches, not self-propelled (excluding those of heading 8604)
ex	8607 00 00	Parts of railway or tramway locomotives or rolling stock
ex	8702 00 00	Motor vehicles for the transport of ten or more persons, including the driver
ex	8703 00 00	Motor cars and other motor vehicles principally designed for the transport of persons (other than those of heading 8702), including station wagons and racing cars, including snowmobiles valued over 2 000 USD
ex	8706 00 00	Chassis fitted with engines, for the motor vehicles of headings 8701 to 8705
ex	8707 00 00	Bodies (including cabs), for the motor vehicles of headings 8701 to 8705
ex	8708 00 00	Parts and accessories of the motor vehicles of headings 8701 to 8705
ex	8711 00 00	Motorcycles (including mopeds) and cycles fitted with an auxiliary motor, with or without side-cars; side-cars
ex	8712 00 00	Bicycles and other cycles (including delivery tricycles), not motorised
ex	8714 00 00	Parts and accessories of vehicles of headings 8711 to 8713
ex	8716 10 00	Trailers and semi-trailers of the caravan type, for housing or camping
ex	8716 40 00	Other trailers and semi-trailers
ex	8716 90 00	Parts
ex	8801 00 00	Balloons and dirigibles; gliders, hang gliders and other non-powered aircraft
ex	8802 11 00	Of an unladen weight not exceeding 2 000 kg
ex	8802 12 00	Of an unladen weight exceeding 2 000 kg
ex	8802 20 00	Aeroplanes and other aircraft, of an unladen weight not exceeding 2 000 kg
ex	8802 30 00	Aeroplanes and other aircraft, of an unladen weight exceeding 2 000 kg but not exceeding 15 000 kg

▼ **M20**

ex	8802 40 00	Aeroplanes and other aircraft, of an unladen weight exceeding 15 000 kg
ex	8803 10 00	Propellers and rotors and parts thereof
ex	8803 20 00	Undercarriages and parts thereof
ex	8803 30 00	Other parts of aeroplanes or helicopters
ex	8803 90 10	Of kites
ex	8803 90 90	Other
ex	8805 10 00	Aircraft launching gear and parts thereof; deck-arrestor or similar gear and parts thereof
ex	8901 10 00	Cruise ships, excursion boats and similar vessels principally designed for the transport of persons; ferry-boats of all kinds
ex	8901 90 00	Other vessels for the transport of goods and other vessels for the transport of both persons and goods
ex	8903 00 00	Yachts and other vessels for pleasure or sports; rowing boats and canoes

## 18. Luxury clocks and watches and their parts

	9101 00 00	Wristwatches, pocket-watches and other watches, including stop-watches, with case of precious metal or of metal clad with precious metal
ex	9102 00 00	Wristwatches, pocket-watches and other watches, including stop-watches, other than those of heading 9101
ex	9103 00 00	Clocks with watch movements, excluding clocks of heading 9104
ex	9104 00 00	Instrument panel clocks and clocks of a similar type for vehicles, aircraft, spacecraft or vessels
ex	9105 00 00	Other clocks
ex	9108 00 00	Watch movements, complete and assembled
ex	9109 00 00	Clock movements, complete and assembled
ex	9110 00 00	Complete watch or clock movements, unassembled or partly assembled (movement sets); incomplete watch or clock movements, assembled; rough watch or clock movements
ex	9111 00 00	Watch cases and parts thereof
ex	9112 00 00	Clock cases and cases of a similar type for other goods of this chapter, and parts thereof
ex	9113 00 00	Watch straps, watch bands and watch bracelets, and parts thereof
ex	9114 00 00	Other clock or watch parts



▼ **M20**

## 19. High quality musical instruments

ex	9201 00 00	Pianos, including automatic pianos; harpsichords and other keyboard stringed instruments
ex	9202 00 00	Other string musical instruments (for example, guitars, violins, harps)
ex	9205 00 00	Wind musical instruments (for example, keyboard pipe organs, accordions, clarinets, trumpets, bagpipes), other than fairground organs and mechanical street organs
ex	9206 00 00	Percussion musical instruments (for example, drums, xylophones, cymbals, castanets, maracas)
ex	9207 00 00	Musical instruments, the sound of which is produced, or must be amplified, electrically (for example, organs, guitars, accordions)

## 20. Works of art, collectors' pieces and antiques

	9700 00 00	Works of art, collectors' pieces and antiques
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## 21. Articles and equipment for sports, including skiing, golf, diving and water sports

ex	4015 19 00	Other
ex	4015 90 00	Other
ex	6210 40 00	Other men's or boys' garments
ex	6210 50 00	Other women's or girls' garments
	6211 11 00	Men's or boys'
	6211 12 00	Women's or girls'
	6211 20 00	Ski suits
ex	6216 00 00	Gloves, mittens and mitts
	6402 12 00	Ski-boots, cross-country ski footwear and snowboard boots
ex	6402 19 00	Other
	6403 12 00	Ski-boots, cross-country ski footwear and snowboard boots
	6403 19 00	Other
	6404 11 00	Sports footwear; tennis shoes, basketball shoes, gym shoes, training shoes and the like
	6404 19 90	Other
ex	9004 90 00	Other
	9020 00 00	Other breathing appliances and gas masks, excluding protective masks having neither mechanical parts nor replaceable filters
	9506 11 00	Skis
	9506 12 00	Ski-fastenings (ski-bindings)

▼ **M20**

	9506 19 00	Other
	9506 21 00	Sailboards
	9506 29 00	Other
	9506 31 00	Clubs, complete
	9506 32 00	Balls
	9506 39 00	Other
	9506 40 00	Articles and equipment for table tennis
	9506 51 00	Lawn-tennis rackets, whether or not strung
	9506 59 00	Other
	9506 61 00	Lawn-tennis balls
	9506 69 10	Cricket and polo balls
	9506 69 90	Other
	9506 70	Ice skates and roller skates, including skating boots with skates attached
	9506 91	Articles and equipment for general physical exercise, gymnastics or athletics
	9506 99 10	Cricket and polo equipment, other than balls
	9506 99 90	Other
	9507 00 00	Fishing rods, fish-hooks and other line fishing tackle; fish landing nets, butterfly nets and similar nets; decoy 'birds' (other than those of heading 9208 or 9705) and similar hunting or shooting requisites

## 22. Articles and equipment for billiard, automatic bowling, casino games and games operated by coins or banknotes

	9504 20 00	Articles and accessories for billiards of all kinds
	9504 30 00	Other games, operated by coins, banknotes, bank cards, tokens or by any other means of payment, other than automatic bowling alley equipment
	9504 40 00	Playing cards
	9504 50 00	Video game consoles and machines, other than those of subheading 9504 30
	9504 90 80	Other

▼ **M4**

## ANNEX IV

List of persons, entities and bodies referred to in Article 6(1)

A. Natural persons:

- (1) **Han** Yu-ro. Post: Director of Korea Ryongaksan General Trading Corporation. Other information: involved in North Korea's ballistic missile programme. Date of designation: 16.7.2009.
- (2) **Hwang** Sok-hwa. Post: Director of the General Bureau of Atomic Energy (GBAE). Other information: involved in North Korea's nuclear programme as Chief of the Scientific Guidance Bureau in the GBAE, served on the Science Committee in the Joint Institute for Nuclear Research. Date of designation: 16.7.2009.
- (3) **Ri** Hong-sop. Year of birth: 1940. Post: Former director, Yongbyon Nuclear Research Centre. Other information: oversaw three core facilities that assist in the production of weapons-grade plutonium: the Fuel Fabrication Facility, the Nuclear Reactor, and the Reprocessing Plant. Date of designation: 16.7.2009.
- (4) ► **M14 Ri** Je-son (alias Ri Che-son). Year of birth: 1938. Post: Minister of Atomic Energy Industry since April 2014. Former Director of the General Bureau of Atomic Energy (GBAE), chief agency directing North Korea's nuclear programme. Other information: facilitates several nuclear endeavours including GBAE's management of Yongbyon Nuclear Research Centre and Namchongang Trading Corporation. Date of designation: 16.7.2009. ◀
- (5) **Yun** Ho-jin (alias **Yun** Ho-chin). Date of birth: 13.10.1944. Post: Director of Namchongang Trading Corporation. Other information: oversees the import of items needed for the uranium enrichment programme. Date of designation: 16.7.2009.

▼ **M8**

- (6) **Paek** Chang-Ho (*alias* (a) Pak Chang-Ho; (b) Paek Ch'ang-Ho). Post: Senior official and head of the satellite control center of Korean Committee for Space Technology. Passport: 381420754 (issued on 7.12.2011, expiring on 7.12.2016). Date of birth: 18.6.1964. Place of birth: Kaesong, DPRK. Date of designation: 22.1.2013.
- (7) ► **M14 Chang** Myong-Chin (alias Jang Myong-Jin). Post: General Manager of the Sohae Satellite Launching Station and head of launch centre at which the 13 April and 12 December 2012 launches took place. Date of birth: (a) 19.2.1968; (b) 1965; (c) 1966. Other information: Gender: Male. Date of designation: 22.1.2013. ◀
- (8) ► **M16 Ra** Ky'ong-Su (alias (a) Ra Kyung-Su, (b) Chang, Myong Ho). Date of birth: 4.6.1954. Passport no.: 645120196. Other information: (a) Gender: Male, (b) Ra Ky'ong-Su is a Tanchon Commercial Bank (TCB) official. In this capacity he has facilitated transactions for TCB. Tanchon was designated by the Committee in April 2009 as the main DPRK financial entity responsible for sales of conventional arms, ballistic missiles, and goods related to the assembly and manufacture of such weapons. Date of designation: 22.1.2013. ◀
- (9) ► **M14 Kim** Kwang-il. Post: Tanchon Commercial Bank (TCB) official. Date of birth: 1.9.1969. Passport no.: PS381420397. Other information: Gender: Male. Date of designation: 22.1.2013. ◀

▼ **M10**

- (10) **Yo'n** Cho'ng Nam. Post: Chief Representative for the Korea Mining Development Trading Corporation (KOMID). Date of designation: 7.3.2013.

▼ **M10**

- (11) **Ko** Ch'o'l-Chae. Post: Deputy Chief Representative for the Korea Mining Development Trading Corporation (KOMID). Date of designation: 7.3.2013.
- (12) **Mun** Cho'ng-Ch'o'l. Post: TCB official. Date of designation: 7.3.2013.

▼ **M16**

- (13) **Choe** Chun-Sik (alias (a) Choe Chun Sik; (b) Ch'oe Ch'un Sik. Date of birth: 12.10.1954. Nationality: North Korean. Other information: Chun-sik was the director of the Second Academy of Natural Sciences (SANS) and was the head of the DPRK's long-range missile program. Date of designation: 2.3.2016.
- (14) **Choe** Song Il. Passport No: (a) 472320665 (Date of Expiration: 26.9.2017), (b) 563120356. Nationality: North Korean. Other information: Tanchon Commercial Bank Representative in Vietnam. Date of designation: 2.3.2016.
- (15) **Hyon** Kwang Il (alias Hyon Gwang Il). Date of birth: 27.5.1961. Nationality: North Korean. Other information: Hyon Kwang Il is the Department Director for Scientific Development at the National Aerospace Development Administration. Date of designation: 2.3.2016.
- (16) **Jang** Bom Su (alias Jang Pom Su). Date of birth: 15.4.1957. Nationality: North Korean. Other information: Tanchon Commercial Bank Representative in Syria. Date of designation: 2.3.2016.
- (17) **Jang** Yong Son. Date of birth: 20.2.1957. Nationality: North Korean. Other information: Korea Mining Development Trading Corporation (KOMID) Representative in Iran. Date of designation: 2.3.2016.
- (18) **Jon** Myong Guk (alias Cho'n Myo'ng-kuk). Date of birth: 18.10.1976. Nationality: North Korean. Passport No: 4721202031 (Date of Expiration: 21.2.2017). Other information: Tanchon Commercial Bank Representative in Syria. Date of designation: 2.3.2016.
- (19) **Kang** Mun Kil (alias Jiang Wen-ji). Nationality: North Korean. Passport No: PS 472330208 (Date of Expiration: 4.7.2017). Other information: Kang Mun Kil has conducted nuclear procurement activities as a representative of Namchongang, also known as Namhung. Date of designation: 2.3.2016.
- (20) **Kang** Ryong. Date of birth: 21.8.1969. Nationality: North Korean. Other information: Korea Mining Development Trading Corporation (KOMID) Representative in Syria. Date of designation: 2.3.2016.
- (21) **Kim** Jung Jong (alias Kim Chung Chong). Date of birth: 7.11.1966. Nationality: North Korean. Passport No: (a) 199421147 (Date of Expiration: 29.12.2014), (b) 381110042 (Date of Expiration: 25.1.2016), (c) 563210184 (Date of Expiration: 18.6.2018). Other information: Tanchon Commercial Bank Representative in Vietnam. Date of designation: 2.3.2016.
- (22) **Kim** Kyu. Date of birth: 30.7.1968. Nationality: North Korean. Other information: Korea Mining Development Trading Corporation (KOMID) External Affairs Officer. Date of designation: 2.3.2016.
- (23) **Kim** Tong My'ong (alias (a) Kim Chin-So'k, (b) Kim Tong-Myong, (c) Kim Jin-Sok; (d) Kim, (e) Hyok-Chol). Year of birth: 1964. Nationality: North Korean. Other information: Kim Tong My'ong is the President of Tanchon Commercial Bank and has held various positions within Tanchon Commercial bank since at least 2002. He has also played a role in managing Amrogang's affairs. Date of designation: 2.3.2016.
- (24) **Kim** Yong Chol. Date of birth: 18.2.1962. Nationality: North Korean. Other information: Korea Mining Development Trading Corporation (KOMID) Representative in Iran. Date of designation: 2.3.2016.

▼ **M16**

- (25) **Ko Tae Hun** (alias Kim Myong Gi). Date of birth: 25.5.1972. Nationality: North Korean. Passport No: 563120630 (Date of Expiration: 20.3.2018). Other information: Tanchon Commercial Bank Representative. Date of designation: 2.3.2016.
- (26) **Ri Man Gon**. Date of birth: 29.10.1945. Nationality: North Korean. Passport No: PO381230469 (Date of Expiration: 6.4.2016). Other Information: Ri Man Gon is the Minister of the Munitions Industry Department. Date of designation: 2.3.2016.
- (27) **Ryu Jin**. Date of birth: 7.8.1965. Nationality: North Korean. Passport No: 563410081. Other information: Korea Mining Development Trading Corporation (KOMID) Representative in Syria. Date of designation: 2.3.2016.
- (28) **Yu Chol U**. Nationality: North Korean. Other information: Yu Choi U is the Director of the National Aerospace Development Administration. Date of designation: 2.3.2016.

▼ **M4**

- B. Legal persons, entities and bodies

▼ **M14**

- (1) **Korea Mining Development Trading Corporation** (aka (a) CHANGGWANG SINYONG CORPORATION; (b) EXTERNAL TECHNOLOGY GENERAL CORPORATION; (c) DPRKN MINING DEVELOPMENT TRADING COOPERATION; (d) 'KOMID'). Address: Central District, Pyongyang, DPRK. Other information: Primary arms dealer and main exporter of goods and equipment related to ballistic missiles and conventional weapons. Date of designation: 24.4.2009.

▼ **M4**

- (2) **Korea Ryonbong General Corporation** (aka (a) KOREA YONBONG GENERAL CORPORATION; (b) LYONGAKSAN GENERAL TRADING CORPORATION). Address: Pot'onggang District, Pyongyang, DPRK; Rakwon-dong, Pothonggang District, Pyongyang, DPRK. Other information: Defence conglomerate specialising in acquisition for DPRK defence industries and support to that country's military-related sales. Date of designation: 24.4.2009.
- (3) **Tanchon Commercial Bank** (aka (a) CHANGGWANG CREDIT BANK; (b) KOREA CHANGGWANG CREDIT BANK). Address: Saemul 1-Dong Pyongchon District, Pyongyang, DPRK. Other information: Main DPRK financial entity for sales of conventional arms, ballistic missiles, and goods related to the assembly and manufacture of such weapons. Date of designation: 24.4.2009.
- (4) **General Bureau of Atomic Energy** (GBAE) (aka General Department of Atomic Energy (GDAE)). Address: Haeudong, Pyongchen District, Pyongyang, DPRK. Other information: The GBAE is responsible for North Korea's nuclear programme, which includes the Yongbyon Nuclear Research Centre and its 5-MWe (25-MWt) plutonium production research reactor, as well as its fuel fabrication and reprocessing facilities. The GBAE has held nuclear-related meetings and discussions with the International Atomic Energy Agency. GBAE is the primary North Korean Government agency for overseeing nuclear programmes, including the operation of the Yongbyon Nuclear Research Centre. Date of designation: 16.7.2009.
- (5) **Hong Kong Electronics** (aka Hong Kong Electronics Kish Co.). Address: Sanaee St., Kish Island, Iran. Other information: (a) owned or controlled by, or acts or purports to act for or on behalf of Tanchon Commercial Bank and KOMID; (b) Hong Kong Electronics has transferred millions of dollars of proliferation-related funds on behalf of Tanchon Commercial Bank and KOMID (both designated by the UN Sanctions Committee in April 2009) since 2007. Hong Kong Electronics has facilitated the movement of money from Iran to North Korea on behalf of KOMID. Date of designation: 16.7.2009.

▼ **M4**

- (6) **Korea Hyoksin Trading Corporation** (aka Korea Hyoksin Export And Import Corporation). Address: Rakwon-dong, Pothonggang District, Pyongyang, DPRK. Other information: (a) located in Pyongyang, DPRK; (b) subordinate to Korea Ryonbong General Corporation (designated by the UN Sanctions Committee in April 2009) and is involved in the development of weapons of mass destruction. Date of designation: 16.7.2009.
- (7) **Korean Tangun Trading Corporation**. Other information: (a) located in Pyongyang, DPRK; (b) Korea Tangun Trading Corporation is subordinate to the DPRK's Second Academy of Natural Sciences and is primarily responsible for the procurement of commodities and technologies to support North Korea's defence research and development programmes, including, but not limited to, weapons of mass destruction and delivery system programmes and procurement, including materials that are controlled or prohibited under relevant multilateral control regimes. Date of designation: 16.7.2009.
- (8) ► **M16 Namchongang Trading Corporation** (aka (a) NCG, (b) Namchongang Trading, (c) Nam Chon Gang Corporation, (d) Nomchongang Trading Co., (e) Nam Chong Gan Trading Corporation (f) Namhung Trading Corporation). Other information: (a) located in Pyongyang, DPRK; (b) Namchongang is a North Korean trading company subordinate to the GBAE. Namchongang has been involved in the procurement of Japanese-origin vacuum pumps that were identified at a North Korean nuclear facility, as well as nuclear-related procurement associated with a German individual. It has further been involved in the purchase of aluminium tubes and other equipment specifically suitable for a uranium enrichment programme from the late 1990s. Its representative is a former diplomat who served as North Korea's representative for the IAEA inspection of the Yongbyon nuclear facilities in 2007. Namchongang's proliferation activities are of grave concern given North Korea's past proliferation activities. Date of designation: 16.7.2009. ◀

▼ **M14**

- (9) **Amroggang Development Banking Corporation** (aka (a) AMROGGANG Development Bank; (b) Amnokkang Development Bank). Address: Tongan-dong, Pyongyang, DPRK. Other information: Amroggang, which was established in 2006, is a Tanchon Commercial Bank-related company managed by Tanchon officials. Tanchon plays a role in financing KOMID's sales of ballistic missiles and has also been involved in ballistic missile transactions from KOMID to Iran's Shahid Hemmat Industrial Group (SHIG). Tanchon Commercial Bank was designated by the Committee in April 2009 and is the main DPRK financial entity for sales of conventional arms, ballistic missiles, and goods related to the assembly and manufacture of such weapons. KOMID was designated by the Committee in April 2009 and is the DPRK's primary arms dealer and main exporter of goods and equipment related to ballistic missiles and conventional weapons. The Security Council designated SHIG in resolution 1737 (2006) as an entity involved in Iran's ballistic missile programme. Date of designation: 2.5.2012.
- (10) **Green Pine Associated Corporation** (aka (a) CHO'NGSONG UNITED TRADING COMPANY; (b) CHONGSONG YONHAP; (c) CH'O'NGSONG YO'NHAP; (d) CHOSUN CHAWO'N KAEBAL TUJA HOESA; (e) JINDALLAE; (f) KU'MHAERYONG COMPANY LTD; (g) NATURAL RESOURCES DEVELOPMENT AND INVESTMENT CORPORATION; (h) SAEINGP'IL COMPANY). Address: (a) c/o Reconnaissance General Bureau Headquarters, Hyongjesan-Guyok, Pyongyang, North Korea, (b) Nungrado, Pyongyang, DPRK. Other information: Green Pine Associated Corporation ('Green Pine') has taken over many of the activities of the Korea Mining Development Trading Corporation (KOMID). KOMID was designated by the Committee in April 2009 and is the DPRK's primary arms dealer and main exporter of goods and equipment related to ballistic missiles and conventional weapons. Green

▼ **M14**

Pine is also responsible for approximately half of the arms and related materiel exported by the DPRK. Green Pine has been identified for sanctions for exporting arms or related material from North Korea. Green Pine specializes in the production of maritime military craft and armaments, such as submarines, military boats and missile systems, and has exported torpedoes and technical assistance to Iranian defence-related firms. Date of designation: 2.5.2012.

- (11) **Korea Heungjin Trading Company** (aka (a) HUNJIN TRADING CO.; (b) KOREA HENJIN TRADING CO.; (c) KOREA HENGJIN TRADING COMPANY). Address: Pyongyang, DPRK. Other information: The Korea Heungjin Trading Company is used by KOMID for trading purposes. Suspected to have been involved in supplying missile-related goods to Iran's Shahid Hemmat Industrial Group (SHIG). Heungjin has been associated with KOMID, and, more specifically, KOMID's procurement office. Heungjin has been used to procure an advanced digital controller with applications in missile design. KOMID was designated by the Committee in April 2009 and is the DPRK's primary arms dealer and main exporter of goods and equipment related to ballistic missiles and conventional weapons. The Security Council designated SHIG in resolution 1737 (2006) as an entity involved in Iran's ballistic missile programme. Date of designation: 2.5.2012.
- (12) **Korean Committee for Space Technology** (aka (a) DPRK Committee for Space Technology; (b) Department of Space Technology of the DPRK; (c) Committee for Space Technology; (d) KCST). Address: Pyongyang, DPRK. Other information: The Korean Committee for Space Technology (KCST) orchestrated the DPRK's launches on 13 April 2012 and 12 December 2012 via the satellite control centre and Sohae launch area. Date of designation: 22.1.2013.
- (13) **Bank of East Land** (aka (a) Dongbang BANK; (b) TONGBANG U'NHAENG; (c) TONGBANG BANK). Address: P.O. Box 32, BEL Building, Jonseung-Dung, Moranbong District, Pyongyang, DPRK. Other information: DPRK financial institution Bank of East Land facilitates weapons-related transactions for, and other support to, arms manufacturer and exporter Green Pine Associated Corporation (Green Pine). Bank of East Land has actively worked with Green Pine to transfer funds in a manner that circumvents sanctions. In 2007 and 2008, Bank of East Land facilitated transactions involving Green Pine and Iranian financial institutions, including Bank Melli and Bank Sepah. The Security Council designated Bank Sepah in resolution 1747 (2007) for providing support to Iran's ballistic missile program. Green Pine was designated by the Committee in April 2012. Date of designation: 22.1.2013.
- (14) **Korea Kumryong Trading Corporation**. Other information: Used as an alias by the Korea Mining Development Trading Corporation (KOMID) to carry out procurement activities. KOMID was designated by the Committee in April 2009 and is the DPRK's primary arms dealer and main exporter of goods and equipment related to ballistic missiles and conventional weapons. Date of designation: 22.1.2013.
- (15) **Tosong Technology Trading Corporation**. Address: Pyongyang, DPRK. Other information: The Korea Mining Development Corporation (KOMID) is the parent company of Tosong Technology Trading Corporation. KOMID was designated by the Committee in April 2009 and is the DPRK's primary arms dealer and main exporter of goods and equipment related to ballistic missiles and conventional weapons. Date of designation: 22.1.2013.



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- (16) **Korea Ryonha Machinery Joint Venture Corporation** (aka (a) Chosun Yunha Machinery Joint Operation Company; (b) Korea Ryonha Machinery J/V Corporation; (c) Ryonha Machinery Joint Venture Corporation; (d) Ryonha Machinery Corporation; (e) Ryonha Machinery; (f) Ryonha Machine Tool; (g) Ryonha Machine Tool Corporation; (h) Ryonha Machinery Corp; (i) Ryonhwa Machinery Joint Venture Corporation; (j) Ryonhwa Machinery JV; (k) Huichon Ryonha Machinery General Plant; (l) Unsan; (m) Unsan Solid Tools; and (n) Millim Technology Company). Address: (a) Tongan-dong, Central District, Pyongyang, DPRK; (b) Mangungdae-gu, Pyongyang, DPRK; (c) Mangyongdae District, Pyongyang, DPRK. Other information: Email addresses: (a) ryonha@silibank.com; (b) sjc-117@hotmail.com; (c) millim@silibank.com. Telephone numbers: (a) 850-2-18111; (b) 850-2-18111-8642; (c) 850-2-18111-381-8642. Facsimile number: 850-2-381-4410. Korea Ryonbong General Corporation is the parent company of Korea Ryonha Machinery Joint Venture Corporation. Korea Ryonbong General Corporation was designated by the Committee in April 2009 and is a defense conglomerate specializing in acquisition for DPRK defense industries and support to that country's military-related sales. Date of designation: 22.1.2013.
- (17) **Leader (Hong Kong) International** (aka (a) Leader International Trading Limited; (b) Leader (Hong Kong) International Trading Limited). Address: LM-873, RM B, 14/F, Wah Hen Commercial Centre, 383 Hennessy Road, Wanchai, Hong Kong, China. Other information: (a) Hong Kong company registration number 1177053; (b) Facilitates shipments on behalf of the Korea Mining Development Trading Corporation (KOMID). KOMID was designated by the Committee in April 2009 and is the DPRK's primary arms dealer and main exporter of goods and equipment related to ballistic missiles and conventional weapons. Date of designation: 22.1.2013.
- (18) **Second Academy of Natural Sciences** (aka (a) 2nd Academy of Natural Sciences; (b) Che 2 Chayon Kwahakwon; (c) Academy of Natural Sciences; (d) Chayon Kwahak-Won; (e) National Defense Academy; (f) Kukpang Kwahak-Won; (g) Second Academy of Natural Sciences Research Institute; (h) Sansri). Address: Pyongyang, DPRK. Other information: The Second Academy of Natural Sciences is a national-level organization responsible for research and development of the DPRK's advanced weapons systems, including missiles and probably nuclear weapons. The Second Academy of Natural Sciences uses a number of subordinate organizations to obtain technology, equipment, and information from overseas, including Tangun Trading Corporation, for use in the DPRK's missile and probably nuclear weapons programs. Tangun Trading Corporation was designated by the Committee in July 2009 and is primarily responsible for the procurement of commodities and technologies to support DPRK's defense research and development programs, including, but not limited to, weapons of mass destruction and delivery system programs and procurement, including materials that are controlled or prohibited under relevant multilateral control regimes. Date of designation: 7.3.2013.
- (19) **Korea Complex Equipment Import Corporation**. Address: Rakwondong, Pothonggang District, Pyongyang, DPRK. Other information: Korea Ryonbong General Corporation is the parent company of Korea Complex Equipment Import Corporation and is a defense conglomerate specializing in acquisition for DPRK defense industries and support to that country's military-related sales. Date of designation: 7.3.2013.
- (20) ► **M18 Ocean Maritime Management Company, Limited (OMM)** (aka OMM). Address: (a) Donghung Dong, Central District, PO Box 120, Pyongyang, DPRK; (b) Dongheung-dong Changgwang Street, Chung-Ku, PO Box 125, Pyongyang, DPRK. Other Information: (a) International Maritime Organization (IMO) Number: 1790183; (b) Ocean Maritime Management Company, Limited played a key role in arranging the shipment of concealed cargo of arms and related material from Cuba to



▼ **M14**

the DPRK in July 2013. As such, Ocean Maritime Management Company, Limited contributed to activities prohibited by the resolutions, namely the arms embargo imposed by resolution 1718 (2006), as modified by resolution 1874 (2009), and contributed to the evasion of the measures imposed by these resolutions, (c) Ocean Maritime Management Company, Limited is the operator/manager of the following vessels with IMO Number: (a) Chol Ryong (Ryong Gun Bong) 8606173, (b) Chong Bong (Greenlight) (Blue Nouvelle) 8909575, (c) Chong Rim 2 8916293, (d) Dawnlight 9110236, (e) Ever Bright 88 (J Star) 8914934, (f) Gold Star 3 (benevolence 2) 8405402, (g) Hoe Ryong 9041552, (h) Hu Chang (O Un Chong Nyon) 8330815, (i) Hui Chon (Hwang Gum San 2) 8405270, (j) Ji Hye San (Hyok Sin 2) 8018900, (k) Kang Gye (Pi Ryu Gang) 8829593, (l) Mi Rim 8713471, (m) Mi Rim 2 9361407, (n) Rang (Po Thong Gang) 8829555, (o) Orion Star (Richocean) 9333589, (p) Ra Nam 2 8625545, (q) Ra Nam 3 9314650, (r) Ryo Myong 8987333, (s) Ryong Rim (Jon Jin 2) 8018912, (t) Se Pho (Rak Won 2) 8819017, (u) Songjin (Jang Ja San Chong Nyon Ho) 8133530, (v) South Hill 2 8412467, (w) South Hill 5 9138680, (x) Tan Chon (Ryon Gang 2) 7640378, (y) Thae Pyong San (Petrel 1) 9009085, (z) Tong Hung San (Chong Chon Gang) 7937317, (aa) Tong Hung 8661575. Date of designation: 28.7.2014. ◀

▼ **M16**

- (21) **Academy of National Defence Science**. Location: Pyongyang, Democratic People's Republic of Korea. Other information: The Academy of National Defence Science is involved in the DPRK's efforts to advance the development of its ballistic missile and nuclear weapons programs. Date of designation: 2.3.2016.
- (22) **Chongchongang Shipping Company**. (alias Chong Chon Gang Shipping Co. Ltd.). Address: (a) 817 Haeun, Donghung-dong, Central District, Pyongyang, DPRK, (b) 817, Haeum, Tonghun-dong, Chung-gu, Pyongyang, DPRK. Other information: (a) IMO Number: 5342883, (b) The Chongchongang Shipping Company, through its vessel, the Chong Chon Gang, attempted to directly import the illicit shipment of conventional weapons and arms to the DPRK in July 2013. Date of designation: 2.3.2016.
- (23) **Daedong Credit Bank (DCB)** (alias (a) DCB, (b) Taedong Credit Bank). Address: (a) Suite 401, Potonggang Hotel, Ansan-Dong, Pyongchon District, Pyongyang, DPRK, (b) Ansan-dong, Botonggang Hotel, Pongchon, Pyongyang, DPRK. Other information: (a) SWIFT: DCBK KKPY, (b) Daedong Credit Bank has provided financial services to the Korea Mining Development Trading Corporation (KOMID) and Tanchon Commercial Bank. Since at least 2007, DCB has facilitated hundreds of financial transactions worth millions of dollars on behalf of KOMID and Tanchon Commercial Bank. In some cases, DCB has knowingly facilitated transactions by using deceptive financial practices. Date of designation: 2.3.2016.
- (24) **Hesong Trading Company** (alias Hesong Trading Corporation). Address: Pyongyang, DPRK. Other information: The Korea Mining Development Corporation (KOMID) is the parent company of Hesong Trading Corporation. Date of designation: 2.3.2016.
- (25) **Korea Kwangson Banking Corporation (KKBC)** (alias KKBC). Address: Jungson-dong, Sungri Street, Central District, Pyongyang, DPRK. Other information: KKBC provides financial services in support to Tanchon Commercial Bank and Korea Hyoksin Trading Corporation, a subordinate of the Korea Ryonbong General Corporation. Tanchon Commercial Bank has used KKBC to facilitate funds transfers likely amounting to millions of dollars, including transfers involving Korea Mining Development Corporation related funds. Date of designation: 2.3.2016.

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- (26) **Korea Kwangsong Trading Corporation**. Address: Rakwon-dong, Pothonggang District, Pyongyang, DPRK. Other information: The Korea Ryongbong General Corporation is the parent company of Korea Kwangsong Trading Corporation. Date of designation: 2.3.2016.
- (27) **Ministry Of Atomic Energy Industry** (alias MAEI). Address: Haeun-2-dong, Pyongchon District, Pyongyang, DPRK. Other information: The Ministry of Atomic Energy Industry was created in 2013 for the purpose of modernizing the DPRK's atomic energy industry to increase the production of nuclear materials, improve their quality, and further develop an independent DPRK nuclear industry. As such, the MAEI is known to be a critical player in the DPRK's development of nuclear weapons and is in charge of day-to-day operation of the country's nuclear weapons program, and under it are other nuclear-related organizations. Under this ministry are a number of nuclear-related organizations and research centres, as well as two committees: an Isotope Application Committee and a Nuclear Energy Committee. The MAEI also directs a nuclear research centre at Yongbyun, the site of the DPRK's known plutonium facilities. Furthermore, in the 2015 Panel of Experts (POE) report, the POE stated that Ri Je-son, a former director of the GBAE who was designated by the Committee established pursuant to resolution 1718 (2006) in 2009 for engagement in or support for nuclear related programs, was appointed as head of the MAEI on April 9, 2014. Date of designation: 2.3.2016.
- (28) **Munitions Industry Department** (alias: Military Supplies Industry Department). Address: Pyongyang, DPRK. Other information: The Munitions Industry Department is involved in key aspects of the DPRK's missile program. MID is responsible for overseeing the development of the DPRK's ballistic missiles, including the Taepo Dong-2. The MID oversees the DPRK's weapons production and R&D programs, including the DPRK's ballistic missile program. The Second Economic Committee and the Second Academy of Natural Sciences — also designated in August 2010 — are subordinate to the MID. The MID in recent years has worked to develop the KN08 road-mobile ICBM. Date of designation: 2.3.2016.
- (29) **National Aerospace Development Administration** (alias NADA). Address: DPRK. Other information: NADA is involved in the DPRK's development of space science and technology, including satellite launches and carrier rockets. Date of designation: 2.3.2016.
- (30) **Office 39** (alias (a) Office #39, (b) Office No. 39, (c) Bureau 39, (d) Central Committee Bureau 39, (e) Third Floor, (f) Division 39). Address: DPRK. Other information: DPRK government entity. Date of designation: 2.3.2016.
- (31) **Reconnaissance General Bureau** (alias (a) Chongch'al Ch'ongguk, (b) KPA Unit 586, (c) RGB). Address: (a) Hyongjesan- Guyok, Pyongyang, DPRK, (b) Nungrado, Pyongyang, DPRK. Other information: The Reconnaissance General Bureau is the DPRK's premiere intelligence organization, created in early 2009 by the merger of existing intelligence organizations from the Korean Workers' Party, the Operations Department and Office 35, and the Reconnaissance Bureau of the Korean People's Army. The Reconnaissance General Bureau trades in conventional arms and controls the DPRK conventional arms firm Green Pine Associated Corporation. Date of designation: 2.3.2016.
- (32) **Second Economic Committee**. Address: Kangdong, DPRK. Other information: The Second Economic Committee is involved in key aspects of the DPRK's missile program. The Second Economic Committee is responsible for overseeing the production of the DPRK's ballistic missiles, and directs the activities of KOMID. Date of designation: 2.3.2016.

▼ M7

## ANNEX V

## List of persons, entities and bodies referred to in Article 6(2)

## A. Natural persons referred to in Article 6(2)(a):

#	Name (and possible aliases)	Identifying information	Reasons
▼ <u>M13</u> —			
▼ <u>M7</u> 2.	CHON Chi Bu		Member of the General Bureau of Atomic Energy, former technical director of Yongbyon.
▼ <u>M21</u> ▼ <u>C2</u> 3	CHU Kyu-Chang (alias JU Kyu-Chang)	DOB: 25.11.1928 POB: South Hamgyo'ng Province	Member of the National Defense Commission, which is a key body for national defence matters in DPRK. Former director of the department of munitions of the Central Committee of the Korean Workers' Party. As such, responsible for supporting or promoting the DPRK's nuclear-related, ballistic-missile-related or other weapons of mass destruction-related programmes.
▼ <u>M7</u> 4.	HYON Chol-hae	Year of birth: 1934 (Manchuria, China)	Deputy Director of the General Political Department of the People's Armed Forces (military adviser to Kim Jong-II).
▼ <u>M14</u> —			
▼ <u>M7</u> 6.	Lieutenant General KIM Yong Chol  (alias: Kim Yong-Chol; Kim Young-Chol; Kim Young-Cheol; Kim Young-Chul)	Year of birth: 1946  (Pyongan-Pukto, North Korea)	Commander of Reconnaissance General Bureau (RGB).
7.	KIM Yong-chun (alias Young-chun)	Date of birth: 4.3.1935  Passport number: 554410660	Deputy Chairman of the National Defence Commission, Minister for the People's Armed Forces, special adviser to Kim Jong-II on nuclear strategy.
8.	O Kuk-Ryol	Year of birth: 1931  (Jilin Province, China)	Deputy Chairman of the National Defence Commission, supervising the acquisition abroad of advanced technology for nuclear and ballistic programmes.
▼ <u>M21</u> ▼ <u>C2</u> 9.	PAEK Se-bong	Year of birth: 1946	Former Chairman of the Second Economic Committee (responsible for the ballistics programme) of the Central Committee of the Korean Workers' Party. Member of the National Defence Commission.
▼ <u>M7</u> 10.	PAK Jae-gyong (alias Chae-Kyong)	Year of birth: 1933  Passport number: 554410661	Deputy Director of the General Political Department of the People's Armed Forces and Deputy Director of the Logistics Bureau of the People's Armed Forces (military adviser to Kim Jong-II).

▼ M7

#	Name (and possible aliases)	Identifying information	Reasons
11.	PAK To-Chun	Date of birth: 9.3.1944  (Jagang, Rangrim)	Member of the National Security Council. He is in charge of the arms industry and it is reported that he commands the office for nuclear energy. This institution is decisive for DPRK's nuclear and carrier program.
12.	PYON Yong Rip (alias Yong-Nip)	Date of birth: 20.9.1929  Passport number: 645310121 (issued on 13.09.2005)	President of the Academy of Science, involved in WMD-related biological research.
13.	RYOM Yong		Director of the General Bureau of Atomic Energy (entity designated by the United Nations), in charge of international relations.
14.	SO Sang-kuk	Date of birth: between 1932 and 1938	Head of the Department of Nuclear Physics, Kim Il Sung University.

▼ M21▼ C2

15.	CHOE Kyong-song		Colonel General in the army of the DPRK. Former member of the Central Military Commission of the Workers Party of Korea, which is a key body for national defence matters in DPRK. As such, responsible for supporting or promoting the DPRK's nuclear-related, ballistic-missile-related or other weapons of mass destruction-related programmes.
16.	CHOE Yong-ho		Colonel General in the army of the DPRK. Former member of the Central Military Commission of the Workers Party of Korea, which is a key body for national defence matters in DPRK. Commander of the air forces. As such, responsible for supporting or promoting the DPRK's nuclear-related, ballistic-missile-related or other weapons of mass destruction-related programmes.
17.	HONG Sung-Mu (alias HUNG Sung Mu)	DOB: 1.1.1942	Deputy-director of the Munitions Industry Department (MID). In charge of the development of programmes concerning conventional arms and missiles, including ballistic missiles. One of the main persons responsible for the industrial development programmes for nuclear arms. As such, responsible for DPRK nuclear-related, ballistic-missile-related, or other weapons of mass destruction-related programmes.
18.	JO Chun Ryong (aliases CHO Chun Ryo'ng, JO Chun-Ryong, JO Cho Ryong)	DOB: 4.4.1960	Chairman of the Second Economic Committee (SEC) since 2014 and responsible for managing the DPRK's munitions factories and production sites. The SEC was designated under UNSCR 2270 (2016) for its involvement in key aspects of the DPRK's missile programme, its responsibility

## ▼ C2

#	Name (and possible aliases)	Identifying information	Reasons
			for overseeing the production of the DPRK's ballistic missiles, and for directing the activities of KOMID — DPRK's primary arms trading entity. Member of the National Defence Commission. Has participated in several ballistic-missile-related programmes. One of the key principals in the arms industry of the DPRK. As such, responsible for supporting or promoting the DPRK's nuclear-related, ballistic-missile-related or other weapons of mass destruction-related programmes.
19.	JO Kyongchol		General in the army of the DPRK. Former member of the Central Military Commission of the Workers Party of Korea, which is a key body for national defence matters in DPRK. Director of the Military Security Command. As such, responsible for supporting or promoting the DPRK's nuclear-related, ballistic-missile-related or other weapons of mass destruction-related programmes.
20.	KIM Chun-sam		Lieutenant General, former member of the Central Military Commission of the Workers Party of Korea, which is a key body for national defence matters in DPRK. Director of the Operations Department of the Military Headquarters of the Army of the DPRK and first vice chief of the Military Headquarters. As such, responsible for supporting or promoting the DPRK's nuclear-related, ballistic-missile-related or other weapons of mass destruction related programmes.
21.	KIM Chun-sop		Member of the National Defense Commission, which is a key body for national defence matters in DPRK. As such, responsible for supporting or promoting the DPRK's nuclear-related, ballistic-missile-related or other weapons of mass destruction-related programmes.
22.	KIM Jong-gak	DOB: 20.7.1941 POB: Pyongyang	Vice Marshal in the army of the DPRK, former member of the Central Military Commission of the Workers Party of Korea, which is a key body for national defence matters in DPRK. As such, responsible for supporting or promoting the DPRK's nuclear-related, ballistic-missile-related or other weapons of mass destruction related programmes.

## ▼ C2

#	Name (and possible aliases)	Identifying information	Reasons
23.	KIM Rak Kyom (alias KIM Rak-gyom)		Four Star General, Commander of the Strategic Forces (aka Strategic Rocket Forces) which now reportedly command 4 strategic and tactical missile units, including the KN08 (ICBM) brigade. The United States has designated the Strategic Forces for engaging in activities that have materially contributed to the proliferation of weapons of mass destruction or their means of delivery. Former member of the Central Military Commission of the Workers Party of Korea, which is a key body for national defence matters in DPRK. Media reports identified KIM as attending the April 2016 ICBM engine test with KIM Jung Un. As such, responsible for supporting or promoting the DPRK's nuclear-related, ballistic-missile-related or other weapons of mass destruction-related programmes.
24.	KIM Won-hong	DOB: 7.1.1945 POB: Pyongyang Passport no.: 745310010	General, Director of the State Security Department. Minister of State Security. Member of the Central Military Commission of the Workers Party of Korea and National Defense Commission, which are the key bodies for national defence matters in DPRK. As such, responsible for supporting or promoting the DPRK's nuclear-related, ballistic-missile-related or other weapons of mass destruction-related-programmes.
25.	PAK Jong-chon		Colonel General in the army of the DPRK, Chief of the Korean People's Armed Forces, Deputy Chief of Staff and Director of the Firepower Command Department. Chief of the Military Headquarters and Director of the Artillery Command Department. Former member of the Central Military Commission of the Workers Party of Korea, which is a key body for national defence matters in DPRK. As such, responsible for supporting or promoting the DPRK's nuclear-related, ballistic-missile-related or other weapons of mass destruction-related programmes.
26.	RI Jong-su		Vice Admiral. Former member of the Central Military Commission of the Workers Party of Korea, which is a key body for national defence matters in DPRK. Commander in chief of the Korean Navy, which is involved in the development of ballistic missile programmes and in the development

## ▼ C2

#	Name (and possible aliases)	Identifying information	Reasons
			of the nuclear capacities of the DPRK naval forces. As such, responsible for supporting or promoting the DPRK's nuclear-related, ballistic-missile-related or other weapons of mass destruction-related programmes.
27.	SON Chol-ju		Colonel General of the Korean People's Armed Forces and Political director of the Air and Anti Air Forces, which oversees the development of modernised anti-aircraft rockets. As such, responsible for supporting or promoting the DPRK's nuclear-related, ballistic-missile-related or other weapons of mass destruction-related programmes.
28.	YUN Jong-rin		General, former member of the Central Military Commission of the Workers Party of Korea and member of the National Defense Commission, which are the key bodies for national defence matters in DPRK. As such, responsible for supporting or promoting the DPRK's nuclear-related, ballistic-missile-related or other weapons of mass destruction-related programmes.
29.	PAK Yong-sik		Four Star General, member of the State Security Department, Minister of defence. Member of the Central Military Commission of the Workers Party of Korea and of the National Defense Commission, which are the key bodies for national defence matters in DPRK. Was present at the testing of ballistic missiles in March 2016. As such, responsible for supporting or promoting the DPRK's nuclear-related, ballistic-missile-related or other weapons of mass destruction-related programmes.
30.	HONG Yong Chil		Deputy Director of the Munitions Industry Department (MID). The Munitions Industry Department — designated by the UNSC on 2 March 2016 — is involved in key aspects of the DPRK's missile program. MID is responsible for overseeing the development of the DPRK's ballistic missiles, including the Taepo Dong-2, weapons production and R&D programmes. The Second Economic Committee and the Second Academy of Natural Sciences — also designated in August 2010 — are subordinate to the MID. The MID in recent years has worked to develop the KN08 road mobile ICBM. HONG has accompanied KIM Jong Un to a

▼ C2

#	Name (and possible aliases)	Identifying information	Reasons
			<p>number of events related to the development of the DPRK's nuclear and ballistic missile programmes and is thought to have played a significant role in the DPRK's nuclear test on 6 January 2016. Vice –Director of the Workers Party of Korea Central Committee. As such, responsible for supporting or promoting the DPRK's nuclear-related, ballistic-missile-related or other weapons of mass destruction-related programmes.</p>
31.	<p>RI Hak Chol (aliases RI Hak Chul, RI Hak Cheol)</p>	<p>DOB: 19.1.1963 or 8.5.1966 Passport nos: 3813206-34, PS 563410163</p>	<p>President of Green Pine Associated Corporation ('Green Pine'). According to the UN Sanctions Committee, Green Pine has taken over many of the activities of the Korea Mining Development Trading Corporation (KOMID). KOMID was designated by the Committee in April 2009 and is the DPRK's primary arms dealer and main exporter of goods and equipment related to ballistic missiles and conventional weapons. Green Pine is also responsible for approximately half of the arms and related materiel exported by the DPRK. Green Pine has been identified for sanctions for exporting arms or related material from North Korea. Green Pine specializes in the production of maritime military craft and armaments, such as submarines, military boats and missile systems, and has exported torpedoes and technical assistance to Iranian defence-related firms. Green Pine has been designated by the United Nations Security Council.</p>
32.	YUN Chang Hyok	DOB: 9.8.1965	<p>Deputy Director of the Satellite Control Centre, National Aerospace Development Administration (NADA). NADA is subject to sanctions under UNSCR 2270 (2016) for involvement in the DPRK's development of space science and technology, including satellite launches and carrier rockets. UNSCR 2270 (2016) condemned the DPRK's satellite launch of 7 February 2016 for using ballistic missile technology and being in serious violation of resolutions 1718 (2006), 1874 (2009), 2087 (2013), and 2094 (2013). As such, responsible for supporting or promoting the DPRK's nuclear-related, ballistic-missile-related or other weapons of mass destruction-related programmes.</p>



▼ M7

B. Legal persons, entities and bodies referred to in Article 6(2)(a):

	Name (and possible aliases)	Identifying information	Reasons
▼ <u>M8</u> —			
▼ <u>M16</u> —			
▼ <u>M10</u> —			
▼ <u>M8</u> —			
▼ <u>M7</u>	5. Korea International Chemical Joint Venture Company  (alias Chosun International Chemicals Joint Operation Company; Chosun International Chemicals Joint Operation Company; International Chemical Joint Venture Corporation)	Location: Hamhung, South Hamgyong Province; Mangyongdae-kuyok, Pyongyang; Mangyungdae-gu, Pyongyang	Controlled by Korea Ryonbong General Corporation (entity designated by the United Nations, 24.4.2009); defence conglomerate specialising in acquisition for DPRK defence industries and support to that country's military-related sales.
▼ <u>M16</u> —			
▼ <u>M7</u>	7. Korea Pugang mining and Machinery Corporation ltd		Subsidiary of Korea Ryongbong General Corporation (entity designated by the United Nations, 24.4.2009); operates facilities for the production of aluminium powder, which can be used in missiles.
▼ <u>M8</u> —			
▼ <u>M7</u>	9. Korea Taesong Trading Company	Location: Pyongyang	Pyongyang-based entity used by the Korea Mining Development Trading Corporation (KOMID) for trading purposes (KOMID was designated by the United Nations, 24.4.2009). Korea Taesong Trading Company has acted on behalf of KOMID in dealings with Syria.
▼ <u>M16</u> —			
▼ <u>M7</u>	11. Korean Ryengwang Trading Corporation	Rakwon-dong, Pothonggang District, Pyongyang, North Korea	Subsidiary of Korea Ryongbong General Corporation (entity designated by the United Nations, 24.4.2009).

▼ M7

	Name (and possible aliases)	Identifying information	Reasons
▼ <u>M16</u>	—		
▼ <u>M7</u>	14. Sobaeku United Corp. (alias Sobaeksu United Corp.)		State-owned company, involved in research into, and the acquisition, of sensitive products and equipment. It possesses several deposits of natural graphite, which provide raw material for two processing facilities, which, inter alia, produce graphite blocks that can be used in missiles.
▼ <u>M8</u>	—		
▼ <u>M7</u>	16. Yongbyon Nuclear Research Centre		Research centre which has taken part in the production of military-grade plutonium. Centre maintained by the General Bureau of Atomic Energy (entity designated by the United Nations, 16.7.2009).
▼ <u>M21</u>			
▼ <u>C2</u>	17. Strategic Rocket Forces		Within the DPRK national armed forces, this entity is involved in the development and operational implementation of ballistic-missile-related or other weapons of mass destruction-related programmes.

▼ M7

## C. Natural persons referred to in Article 6(2)(b):

#	Name (and possible aliases)	Identifying information	Reasons
1.	JON Il-chun	Date of birth: 24.8.1941	In February of 2010 KIM Tong-un was discharged from his office as director of Office 39, which is, among other things, in charge of purchasing goods out of the DPRK diplomatic representations bypassing sanctions. He was replaced by JON Il-chun. JON Il-chun is also said to be one of the leading figures in the State Development Bank.
2.	KIM Tong-un		Former director of 'Office 39' of the Central Committee of the Workers' Party, which is involved in proliferation financing.
▼ <u>M16</u>	—		

▼ M7▼ M19

#	Name (and possible aliases)	Identifying information	Reasons
4.	KIM Il-Su	Date of birth: 2.9.1965 Place of birth: Pyonyang, DPRK	Manager in the reinsurance department of Korea National Insurance Corporation (KNIC) based in the headquarters in Pyongyang and former authorised chief representative of KNIC in Hamburg, acting on behalf of KNIC or at its direction.
5.	KANG Song-Sam	Date of birth: 5.7.1972 Place of birth: Pyonyang, DPRK	Former authorised representative of Korea National Insurance Corporation (KNIC) in Hamburg, continues to act for or on behalf of KNIC or at its direction.
6.	CHOE Chun-Sik	Date of birth: 23.12.1963 Place of birth: Pyonyang, DPRK Passport No 745132109 Valid until 12.2.2020	Director in the reinsurance department of Korea National Insurance Corporation (KNIC) based in the headquarters in Pyongyang acting on behalf of KNIC or at its direction.
7.	SIN Kyu-Nam	Date of birth: 12.9.1972 Place of birth: Pyonyang, DPRK Passport No.PO472132950	Director in the reinsurance department of Korea National Insurance Corporation (KNIC) based in the headquarters in Pyongyang and former authorised representative of KNIC in Hamburg, acting on behalf of KNIC or at its direction.
8.	PAK Chun-San	Date of birth: 18.12.1953 Place of birth: Pyonyang, DPRK Passport No.PS472220097	Director in the reinsurance department of Korea National Insurance Corporation (KNIC) based in the headquarters in Pyongyang at least until December 2015 and former authorised chief representative of KNIC in Hamburg, continues to act for or on behalf of KNIC or at its direction.
9.	SO Tong Myong	Date of birth: 10.9.1956	President of Korea National Insurance Corporation (KNIC), acting on behalf of KNIC or at its direction.

▼ M7

D. Legal persons, entities or bodies referred to in Article 6(2)(b):

▼ M8▼ M7

#	Name (and possible aliases)	Identifying information	Reasons
—			
3.	Korea Daesong Bank  (alias: Choson Taesong Unhaeng; Taesong Bank)	Address: Segori-dong, Gyongheung St., Potonggang District, Pyongyang  Phone: 850 2 381 8221  Phone: 850 2 18111 ext. 8221  Fax: 850 2 381 4576	North Korean financial institution that is directly subordinated to Office 39 and is involved in facilitating North Korea's proliferation financing projects.

▼ M7

#	Name (and possible aliases)	Identifying information	Reasons
4.	Korea Daesong General Trading Corporation  (alias: Daesong Trading; Daesong Trading Company; Korea Daesong Trading Company; Korea Daesong Trading Corporation)	Address: Pulgan Gori Dong 1, Potonggang District, Pyongyang  Phone: 850 2 18111 ext. 8204/8208  Phone: 850 2 381 8208/4188  Fax: 850 2 381 4431/4432	Company that is subordinated to Office 39 and is used to facilitate foreign transactions on behalf of Office 39.  Office 39's Director of Office, Kim Tong-un is listed in Annex V of Council Regulation (EU) No 329/2007.
—			
—			
7.	Korea National Insurance Corporation (KNIC) and its branch offices (a.k.a. Korea Foreign Insurance Company)	Haebangsan-dong, Central District, Pyongyang, DPRK  Rahlstedter Strasse 83 a, 22149 Hamburg.  Korea National Insurance Corporation of Alloway, Kidbrooke Park Road, Blackheath, London SE3 0LW	Korea National Insurance Corporation (KNIC), a State-owned and controlled company, is generating substantial foreign exchange revenue which could contribute to the DPRK's nuclear-related, ballistic-missile-related or other weapons-of-mass-destruction-related programmes.  Furthermore, the KNIC headquarters Pyongyang is linked to Office 39 of the Korean Worker's Party, a designated entity.

▼ M16▼ M19

▼ M12

*ANNEX Va*

**LIST OF PERSONS, ENTITIES OR BODIES REFERRED TO IN  
ARTICLE 6(2a)**

▼ M4

*ANNEX VI*

**LIST OF CREDIT AND FINANCIAL INSTITUTIONS, BRANCHES AND  
SUBSIDIARIES REFERRED TO IN ARTICLE 11A**

▼ **M9***ANNEX VII***List of gold, precious metals and diamonds referred to in Article 4a**

HS Code	Description
7102	Diamonds, whether or not worked, but not mounted or set
7106	Silver (including silver plated with gold or platinum), unwrought or in semi-manufactured forms, or in powder form
7108	Gold (including gold plated with platinum), unwrought or in semi-manufactured forms, or in powder form
7109	Base metals or silver, clad with gold, not further worked than semi-manufactured
7110	Platinum, unwrought or in semi-manufactured forms, or in powder form
7111	Base metals, silver or gold, clad with platinum, not further worked than semi-manufactured
7112	Waste and scrap of precious metal or of metal clad with precious metal; other waste and scrap containing precious metal or precious-metal compounds, of a kind used principally for the recovery of precious metal