

[<sup>F1</sup>ANNEX IIa

[<sup>F2</sup>RETAINED] **GENERAL EXPORT AUTHORISATION No [<sup>F3</sup>001]**  
(referred to in Article 9(1) of this Regulation)

**Textual Amendments**

- F1** Substituted by [Commission Delegated Regulation \(EU\) 2020/1749 of 7 October 2020 amending Council Regulation \(EC\) No 428/2009 setting up a Community regime for the control of exports, transfer, brokering and transit of dual-use items.](#)
- F2** Word in Annex 2a heading substituted (31.12.2020) by [The Trade etc. in Dual-Use Items and Firearms etc. \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/771\), regs. 1, 3\(23\)\(a\)\(i\) \(with reg. 5\) \(as amended by S.I. 2020/1502, regs. 2\(3\), 10\); 2020 c. 1, Sch. 5 para. 1\(1\)](#)
- F3** Word in Annex 2a heading substituted (31.12.2020) by [The Trade etc. in Dual-Use Items and Firearms etc. \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/771\), regs. 1, 3\(23\)\(a\)\(ii\) \(with reg. 5\) \(as amended by S.I. 2020/1502, regs. 2\(3\), 10\); 2020 c. 1, Sch. 5 para. 1\(1\)](#)

**Exports to Australia, Canada, Japan, New Zealand, Norway, Switzerland, including Liechtenstein, and United States of America**

**Issuing authority: [<sup>F4</sup>the Secretary of State]**

**Part 1** This general export authorisation covers all dual-use items specified in any entry in Annex I to this Regulation, except those listed in Annex IIg.

**Part 2** This export authorisation is valid <sup>F5</sup>... for exports to the following destinations:

**Textual Amendments**

- F5** Words in Annex 2a Pt. 2 omitted (31.12.2020) by [The Trade etc. in Dual-Use Items and Firearms etc. \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/771\), regs. 1, 3\(23\)\(c\) \(with reg. 5\) \(as amended by S.I. 2020/1502, regs. 2\(3\), 10\); 2020 c. 1, Sch. 5 para. 1\(1\)](#)

- Canada,
- Commonwealth of Australia,
- Japan,
- Kingdom of Norway,
- New Zealand,
- Swiss Confederation, including Principality of Liechtenstein,
- United States of America.

**Conditions and requirements for use of this authorisation**

1. Exporters that use this authorisation shall notify the [<sup>F6</sup>Secretary of State] of their first use of this authorisation no later than 30 days after the date when the first export took place.

Exporters shall also report in the Single Administrative Document the fact that they are using this authorisation [<sup>F7</sup>001] by indicating in box 44 the reference X002.

*Changes to legislation: There are currently no known outstanding effects for the Council Regulation (EC) No 428/2009, ANNEX IIa . (See end of Document for details)*

#### Textual Amendments

- F7** Word in Annex 2a Pt. 2 para. 1 substituted (31.12.2020) by [The Trade etc. in Dual-Use Items and Firearms etc. \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/771\)](#), regs. 1, **3(23)(d)(i)(bb)** (with reg. 5) (as amended by [S.I. 2020/1502](#), regs. 2(3), 10); 2020 c. 1, Sch. 5 para. 1(1)

#### Textual Amendments

- F6** Words in Annex 2a Pt. 2 para. 1 substituted (31.12.2020) by virtue of [The Trade etc. in Dual-Use Items and Firearms etc. \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/771\)](#), regs. 1, **3(23)(d)(i)(aa)** (with reg. 5) (as amended by [S.I. 2020/1502](#), regs. 2(3), 10); 2020 c. 1, Sch. 5 para. 1(1)

2. This authorisation may not be used if:
- the exporter has been informed by the [<sup>F8</sup>Secretary of State] that the items in question are or may be intended, in their entirety or in part, for use in connection with the development, production, handling, operation, maintenance, storage, detection, identification or dissemination of chemical, biological or nuclear weapons or other nuclear explosive devices or the development, production, maintenance or storage of missiles capable of delivering such weapons, or if the exporter is aware that the items in question are intended for such use;
  - the exporter has been informed by the [<sup>F9</sup>Secretary of State] that the items in question are or may be intended for a military end use as defined in Article 4(2) of this Regulation in a country subject to an arms embargo imposed by [<sup>F9</sup>the United Kingdom] or a decision of the OSCE or an arms embargo imposed by a binding resolution of the Security Council of the United Nations, or if the exporter is aware that the items in question are intended for the above mentioned uses;
  - the relevant items are exported to a customs free zone or free warehouse which is located in a destination covered by this authorisation.

#### Textual Amendments

- F8** Words in Annex 2a Pt. 2 para. 2 substituted (31.12.2020) by virtue of [The Trade etc. in Dual-Use Items and Firearms etc. \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/771\)](#), regs. 1, **3(23)(d)(ii)(aa)** (with reg. 5) (as amended by [S.I. 2020/1502](#), regs. 2(3), 10); 2020 c. 1, Sch. 5 para. 1(1)
- F9** Words in Annex 2a Pt. 2 para. 2 substituted (31.12.2020) by virtue of [The Trade etc. in Dual-Use Items and Firearms etc. \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/771\)](#), regs. 1, **3(23)(d)(ii)(bb)** (with reg. 5) (as amended by [S.I. 2020/1502](#), regs. 2(3), 10); 2020 c. 1, Sch. 5 para. 1(1)

3. Reporting requirements attached to the use of this authorisation and the additional information that the [<sup>F10</sup>Secretary of State] might require on items exported under this authorisation are defined by [<sup>F11</sup>the Secretary of State].

[<sup>F12</sup>The Secretary of State] may require [<sup>F13</sup>exporters] established in [<sup>F14</sup>the United Kingdom] to register prior to the first use of this authorisation. Registration shall be automatic and acknowledged by the [<sup>F15</sup>Secretary of State] to the exporter without delay and in any case within ten working days of receipt.

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**Changes to legislation:** There are currently no known outstanding effects for the Council Regulation (EC) No 428/2009, ANNEX IIa . (See end of Document for details)

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#### Textual Amendments

- F12** Words in Annex 2a Pt. 2 para. 3 substituted (31.12.2020) by [The Trade etc. in Dual-Use Items and Firearms etc. \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/771\)](#), regs. 1, **3(23)(d)(iii)(cc)** (with reg. 5) (as amended by [S.I. 2020/1502](#), regs. 2(3), 10); 2020 c. 1, Sch. 5 para. 1(1)
- F13** Word in Annex 2a Pt. 2 para. 3 substituted (31.12.2020) by [The Trade etc. in Dual-Use Items and Firearms etc. \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/771\)](#), regs. 1, **3(23)(d)(iii)(dd)** (with reg. 5) (as amended by [S.I. 2020/1502](#), regs. 2(3), 10); 2020 c. 1, Sch. 5 para. 1(1)
- F14** Words in Annex 2a Pt. 2 para. 3 substituted (31.12.2020) by [The Trade etc. in Dual-Use Items and Firearms etc. \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/771\)](#), regs. 1, **3(23)(d)(iii)(ee)** (with reg. 5) (as amended by [S.I. 2020/1502](#), regs. 2(3), 10); 2020 c. 1, Sch. 5 para. 1(1)
- F15** Words in Annex 2a Pt. 2 para. 3 substituted (31.12.2020) by [The Trade etc. in Dual-Use Items and Firearms etc. \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/771\)](#), regs. 1, **3(23)(d)(iii)(ff)** (with reg. 5) (as amended by [S.I. 2020/1502](#), regs. 2(3), 10); 2020 c. 1, Sch. 5 para. 1(1)

Where applicable the requirements set out in the first two paragraphs of this point shall be based on those defined for the use of national general export authorisations granted by those [F16Secretary of State] which provide for such authorisations.]

#### Textual Amendments

- F16** Words in Annex 2a Pt. 2 para. 3 substituted (31.12.2020) by [The Trade etc. in Dual-Use Items and Firearms etc. \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/771\)](#), regs. 1, **3(23)(d)(iii)(gg)** (with reg. 5) (as amended by [S.I. 2020/1502](#), regs. 2(3), 10); 2020 c. 1, Sch. 5 para. 1(1)

#### Textual Amendments

- F10** Words in Annex 2a Pt. 2 para. 3 substituted (31.12.2020) by [The Trade etc. in Dual-Use Items and Firearms etc. \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/771\)](#), regs. 1, **3(23)(d)(iii)(aa)** (with reg. 5) (as amended by [S.I. 2020/1502](#), regs. 2(3), 10); 2020 c. 1, Sch. 5 para. 1(1)
- F11** Words in Annex 2a Pt. 2 para. 3 substituted (31.12.2020) by [The Trade etc. in Dual-Use Items and Firearms etc. \(Amendment\) \(EU Exit\) Regulations 2019 \(S.I. 2019/771\)](#), regs. 1, **3(23)(d)(iii)(bb)** (with reg. 5) (as amended by [S.I. 2020/1502](#), regs. 2(3), 10); 2020 c. 1, Sch. 5 para. 1(1)

**Changes to legislation:**

There are currently no known outstanding effects for the Council Regulation (EC) No 428/2009, ANNEX IIa .