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From: Secretary-General of the European Commission,
signed by Mr Jordi AYET PUIGARNAU, Director

date of receipt: 12 October 2015

To: Mr Jeppe TRANHOLM-MIKKELSEN, Secretary-General of the Council of
the European Union

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Subject: ANNEX 1 Part 5/11 to the Commission Delegated Regulation 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

Delegations will find attached document C(2015) 6823 final - Annex 1 Part 5/11.

Encl.: C(2015) 6823 final - Annex 1 Part 5/11



Brussels, 12.10.2015
C(2015) 6823 final

ANNEX 1 – PART 5/11

ANNEX

to the

Commission Delegated Regulation

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

ANNEX (PART V – Category 3)

CATEGORY 3 - ELECTRONICS

3A Systems, Equipment and Components

Note 1: *The control status of equipment and components described in 3A001 or 3A002, other than those described in 3A001.a.3. to 3A001.a.10., 3A001.a.12. or 3A001.a.13, which are specially designed for or which have the same functional characteristics as other equipment is determined by the control status of the other equipment.*

Note 2: *The control status of integrated circuits described in 3A001.a.3. to 3A001.a.9., 3A001.a.12. or 3A001.a.13 which are unalterably programmed or designed for a specific function for another equipment is determined by the control status of the other equipment.*

N.B.: *When the manufacturer or applicant cannot determine the control status of the other equipment, the control status of the integrated circuits is determined in 3A001.a.3. to 3A001.a.9., 3A001.a.12 and 3A001.a.13.*

3A001 Electronic components and specially designed components therefor, as follows:

a. General purpose integrated circuits, as follows:

Note 1: *The control status of wafers (finished or unfinished), in which the function has been determined, is to be evaluated against the parameters of 3A001.a.*

Note 2: *Integrated circuits include the following types:*

- *"Monolithic integrated circuits";*
- *"Hybrid integrated circuits";*
- *"Multichip integrated circuits";*
- *"Film type integrated circuits", including silicon-on-sapphire integrated circuits;*
- *"Optical integrated circuits";*
- *"Three dimensional integrated circuits".*

3A001.a.

continued

1. Integrated circuits designed or rated as radiation hardened to withstand any of the following:

- a. A total dose of 5×10^3 Gy (silicon) or higher;
- b. A dose rate upset of 5×10^6 Gy (silicon)/s or higher; or
- c. A fluence (integrated flux) of neutrons (1 MeV equivalent) of 5×10^{13} n/cm² or higher on silicon, or its equivalent for other materials;

Note: 3A001.a.1.c. does not control Metal Insulator Semiconductors (MIS).

2. "Microprocessor microcircuits", "microcomputer microcircuits", microcontroller microcircuits, storage integrated circuits manufactured from a compound semiconductor, analogue-to-digital converters, digital-to-analogue converters, electro-optical or "optical integrated circuits" designed for "signal processing", field programmable logic devices, custom integrated circuits for which either the function is unknown or the control status of the equipment in which the integrated circuit will be used is unknown, Fast Fourier Transform (FFT) processors, electrical erasable programmable read-only memories (EEPROMs), flash memories or static random-access memories (SRAMs), having any of the following:

- a. Rated for operation at an ambient temperature above 398 K (125°C);
- b. Rated for operation at an ambient temperature below 218 K (-55°C); or
- c. Rated for operation over the entire ambient temperature range from 218 K (-55°C) to 398 K (125°C);

Note: 3A001.a.2. does not control integrated circuits for civil automobiles or railway train applications.

3A001.a. continued

3. "Microprocessor microcircuits", "microcomputer microcircuits" and microcontroller microcircuits, manufactured from a compound semiconductor and operating at a clock frequency exceeding 40 MHz;

Note: 3A001.a.3. includes digital signal processors, digital array processors and digital coprocessors.

4. Not used;
5. Analogue-to-Digital Converter (ADC) and Digital-to-Analogue Converter (DAC) integrated circuits, as follows:

- a. ADCs having any of the following:

N.B. SEE ALSO 3A101

1. A resolution of 8 bit or more, but less than 10 bit, with an output rate greater than 1,000 million words per second;
2. A resolution of 10 bit or more, but less than 12 bit, with an output rate greater than 300 million words per second;
3. A resolution of 12 bit with an output rate greater than 200 million words per second;
4. A resolution of more than 12 bit, but equal to or less than 14 bit, with an output rate greater than 125 million words per second; or
5. A resolution of more than 14 bit with an output rate greater than 20 million words per second;

Technical Notes:

1. *A resolution of n bit corresponds to a quantisation of 2ⁿ levels.*
2. *The number of bits in the output word is equal to the resolution of the ADC.*
3. *The output rate is the maximum output rate of the converter, regardless of the architecture or oversampling.*
4. *For 'multiple channel ADCs', the outputs are not aggregated and the output rate is the maximum output rate of any single channel.*
5. *For 'interleaved ADCs' or for 'multiple channel ADCs' that are specified to have an interleaved mode of operation, the outputs are aggregated and the output rate is the maximum combined total output rate of all of the outputs.*

Technical Notes

6. *Vendors may also refer to the output rate as sampling rate, conversion rate or throughput rate. It is often specified in megahertz (MHz) or mega samples per second (MSPS).*
 7. *For the purpose of measuring output rate, one output word per second is equivalent to one Hertz or one sample per second.*
 8. *'Multiple channel ADCs' are defined as devices which integrate more than one ADC, designed so that each ADC has a separate analogue input.*
 9. *'Interleaved ADCs' are defined as devices which have multiple ADC units that sample the same analogue input at different times such that when the outputs are aggregated, the analogue input has been effectively sampled and converted at a higher sampling rate.*
- b. Digital-to-Analogue Converters (DAC) having any of the following:
1. A resolution of 10 bit or more with an 'adjusted update rate' of greater than 3 500 MSPS; or
 2. A resolution of 12 bit or more with an 'adjusted update rate' of equal to or greater than 1 250 MSPS and having any of the following:
 - a. A settling time less than 9 ns to 0,024% of full scale from a full scale step; or
 - b. A 'Spurious Free Dynamic Range' (SFDR) greater than 68 dBc (carrier) when synthesising a full scale analogue signal of 100 MHz or the highest full scale analogue signal frequency specified below 100 MHz.

Technical Notes:

1. *'Spurious Free Dynamic Range' (SFDR) is defined as the ratio of the RMS value of the carrier frequency (maximum signal component) at the input of the DAC to the RMS value of the next largest noise or harmonic distortion component at its output.*
2. *SFDR is determined directly from the specification table or from the characterisation plots of SFDR versus frequency.*
3. *A signal is defined to be full scale when its amplitude is greater than -3 dBfs (full scale).*
4. *'Adjusted update rate' for DACs:*
 - a. *For conventional (non-interpolating) DACs, the 'adjusted update rate' is the rate at which the digital signal is converted to an analogue signal and the output analogue values are changed by the DAC. For DACs where the interpolation mode may be bypassed (interpolation factor of one), the DAC should be considered as a conventional (non-interpolating) DAC.*
 - b. *For interpolating DACs (oversampling DACs), the 'adjusted update rate' is defined as the DAC update rate divided by the smallest interpolating factor. For interpolating DACs, the 'adjusted update rate' may be referred to by different terms including:*
 - input data rate
 - input word rate
 - input sample rate
 - maximum total input bus rate
 - maximum DAC clock rate for DAC clock input.

3A001.a.

continued

6. Electro-optical and "optical integrated circuits", designed for "signal processing" and having all of the following:
 - a. One or more than one internal "laser" diode;
 - b. One or more than one internal light detecting element; and
 - c. Optical waveguides;

7. 'Field programmable logic devices' having any of the following:

- a. A maximum number of single-ended digital input/outputs of greater than 700; or
- b. An 'aggregate one-way peak serial transceiver data rate' of 500 Gb/s or greater;

Note: 3A001.a.7. includes:

- *Simple Programmable Logic Devices (SPLDs)*
- *Complex Programmable Logic Devices (CPLDs)*
- *Field Programmable Gate Arrays (FPGAs)*
- *Field Programmable Logic Arrays (FPLAs)*
- *Field Programmable Interconnects (FPICs)*

Technical Notes:

1. *Maximum number of digital input/outputs in 3A001.a.7.a. is also referred to as the maximum user input/outputs or maximum available input/outputs, whether the integrated circuit is packaged or bare die.*
2. *'Aggregate one-way peak serial transceiver data rate' is the product of the peak serial one-way transceiver data rate times the number of transceivers on the FPGA.*

3A001.a. continued

8. Not used;
9. Neural network integrated circuits;
10. Custom integrated circuits for which the function is unknown, or the control status of the equipment in which the integrated circuits will be used is unknown to the manufacturer, having any of the following:
 - a. More than 1 500 terminals;
 - b. A typical "basic gate propagation delay time" of less than 0,02 ns; or
 - c. An operating frequency exceeding 3 GHz;
11. Digital integrated circuits, other than those described in 3A001.a.3. to 3A001.a.10. and 3A001.a.12., based upon any compound semiconductor and having any of the following:
 - a. An equivalent gate count of more than 3 000 (2 input gates); or
 - b. A toggle frequency exceeding 1,2 GHz;
12. Fast Fourier Transform (FFT) processors having a rated execution time for an N-point complex FFT of less than $(N \log_2 N) / 20\ 480$ ms, where N is the number of points;

Technical Note:

When N is equal to 1,024 points, the formula in 3A001.a.12. gives an execution time of 500 μ s.

13. Direct Digital Synthesizer (DDS) integrated circuits having any of the following:
 - a. A Digital-to-Analogue Converter (DAC) clock frequency of 3,5 GHz or more and a DAC resolution of 10 bit or more, but less than 12 bit; or
 - b. A DAC clock frequency of 1,25 GHz or more and a DAC resolution of 12 bit or more;

Technical Note:

The DAC clock frequency may be specified as the master clock frequency or the input clock frequency

- b. Microwave or millimetre wave components, as follows:

Technical Note:

For purposes of 3A001.b., the parameter peak saturated power output may also be referred to on product data sheets as output power, saturated power output, maximum power output, peak power output, or peak envelope power output.

1. Electronic vacuum tubes and cathodes, as follows:

Note 1: 3A001.b.1. does not control tubes designed or rated for operation in any frequency band and having all of the following:

- a. Does not exceed 31,8 GHz; and
- b. Is "allocated by the ITU" for radio-communications services, but not for radio-determination.

Note 2: 3A001.b.1. does not control non-"space-qualified" tubes having all of the following:

- a. An average output power equal to or less than 50 W; and
- b. Designed or rated for operation in any frequency band and having all of the following:
 - 1. Exceeds 31,8 GHz but does not exceed 43,5 GHz; and
 - 2. Is "allocated by the ITU" for radio-communications services, but not for radio-determination.

- a. Travelling wave tubes, pulsed or continuous wave, as follows:

- 1. Tubes operating at frequencies exceeding 31,8 GHz;
- 2. Tubes having a cathode heater element with a turn on time to rated RF power of less than 3 seconds;

3A001.b. continued

3. Coupled cavity tubes, or derivatives thereof, with a "fractional bandwidth" of more than 7% or a peak power exceeding 2,5 kW;
 4. Helix tubes, or derivatives thereof, having any of the following:
 - a. An "instantaneous bandwidth" of more than one octave, and average power (expressed in kW) times frequency (expressed in GHz) of more than 0,5;
 - b. An "instantaneous bandwidth" of one octave or less, and average power (expressed in kW) times frequency (expressed in GHz) of more than 1; or
 - c. Being "space-qualified";
 - b. Crossed-field amplifier tubes with a gain of more than 17 dB;
 - c. Impregnated cathodes designed for electronic tubes producing a continuous emission current density at rated operating conditions exceeding 5 A/cm²;
2. Microwave "Monolithic Integrated Circuits" (MMIC) power amplifiers that are any of the following:
- a. Rated for operation at frequencies exceeding 2,7 GHz up to and including 6,8 GHz with a "fractional bandwidth" greater than 15%, and having any of the following:
 1. A peak saturated power output greater than 75 W (48,75 dBm) at any frequency exceeding 2,7 GHz up to and including 2,9 GHz;
 2. A peak saturated power output greater than 55 W (47,4 dBm) at any frequency exceeding 2,9 GHz up to and including 3,2 GHz;
 3. A peak saturated power output greater than 40 W (46 dBm) at any frequency exceeding 3,2 GHz up to and including 3,7 GHz; or
 4. A peak saturated power output greater than 20 W (43 dBm) at any frequency exceeding 3,7 GHz up to and including 6,8 GHz;

- b. Rated for operation at frequencies exceeding 6,8 GHz up to and including 16 GHz with a "fractional bandwidth" greater than 10%, and having any of the following:
 - 1. A peak saturated power output greater than 10W (40 dBm) at any frequency exceeding 6,8 GHz up to and including 8,5 GHz; or
 - 2. A peak saturated power output greater than 5W (37 dBm) at any frequency exceeding 8,5 GHz up to and including 16 GHz;
- c. Rated for operation with a peak saturated power output greater than 3 W (34,77 dBm) at any frequency exceeding 16 GHz up to and including 31,8 GHz, and with a "fractional bandwidth" of greater than 10%;
- d. Rated for operation with a peak saturated power output greater than 0,1 nW (-70 dBm) at any frequency exceeding 31,8 GHz up to and including 37 GHz;
- e. Rated for operation with a peak saturated power output greater than 1 W (30 dBm) at any frequency exceeding 37 GHz up to and including 43,5 GHz, and with a "fractional bandwidth" of greater than 10%;
- f. Rated for operation with a peak saturated power output greater than 31,62 mW (15 dBm) at any frequency exceeding 43,5 GHz up to and including 75 GHz, and with a "fractional bandwidth" of greater than 10%;
- g. Rated for operation with a peak saturated power output greater than 10 mW (10 dBm) at any frequency exceeding 75 GHz up to and including 90 GHz, and with a "fractional bandwidth" of greater than 5%; or
- h. Rated for operation with a peak saturated power output greater than 0,1 nW (-70 dBm) at any frequency exceeding 90 GHz;

3A001.b. continued

Note 1: Not used.

Note 2: The control status of the MMIC whose rated operating frequency includes frequencies listed in more than one frequency range, as defined by 3A001.b.2.a. to 3A001.b.2.h., is determined by the lowest peak saturated power output threshold.

Note 3: Notes 1 and 2 in 3A mean that 3A001.b.2. does not control MMICs if they are specially designed for other applications, e.g., telecommunications, radar, automobiles.

3. Discrete microwave transistors that are any of the following:
 - a. Rated for operation at frequencies exceeding 2,7 GHz up to and including 6,8 GHz and having any of the following:
 1. A peak saturated power output greater than 400 W (56 dBm) at any frequency exceeding 2,7 GHz up to and including 2,9 GHz;
 2. A peak saturated power output greater than 205 W (53,12 dBm) at any frequency exceeding 2,9 GHz up to and including 3,2 GHz;
 3. A peak saturated power output greater than 115 W (50,61 dBm) at any frequency exceeding 3,2 GHz up to and including 3,7 GHz; or
 4. A peak saturated power output greater than 60 W (47,78 dBm) at any frequency exceeding 3,7 GHz up to and including 6,8 GHz;

3A001.b. continued

- b. Rated for operation at frequencies exceeding 6,8 GHz up to and including 31,8 GHz and having any of the following:
 - 1. A peak saturated power output greater than 50 W (47 dBm) at any frequency exceeding 6,8 GHz up to and including 8,5 GHz;
 - 2. A peak saturated power output greater than 15 W (41,76 dBm) at any frequency exceeding 8,5 GHz up to and including 12 GHz;
 - 3. A peak saturated power output greater than 40 W (46 dBm) at any frequency exceeding 12 GHz up to and including 16 GHz; or
 - 4. A peak saturated power output greater than 7 W (38,45 dBm) at any frequency exceeding 16 GHz up to and including 31,8 GHz;
- c. Rated for operation with a peak saturated power output greater than 0,5 W (27 dBm) at any frequency exceeding 31,8 GHz up to and including 37 GHz;
- d. Rated for operation with a peak saturated power output greater than 1 W (30 dBm) at any frequency exceeding 37 GHz up to and including 43,5 GHz;
- e. Rated for operation with a peak saturated power output greater than 0,1 nW (-70 dBm) at any frequency exceeding 43,5 GHz;

Note 1: *The control status of a transistor whose rated operating frequency includes frequencies listed in more than one frequency range, as defined by 3A001.b.3.a. to 3A001.b.3.e., is determined by the lowest peak saturated power output threshold.*

Note 2: *3A001.b.3. includes bare dice, dice mounted on carriers, or dice mounted in packages. Some discrete transistors may also be referred to as power amplifiers, but the status of these discrete transistors is determined by 3A001.b.3.*

4. Microwave solid state amplifiers and microwave assemblies/modules containing microwave solid state amplifiers, that are any of the following:
 - a. Rated for operation at frequencies exceeding 2,7 GHz up to and including 6,8 GHz with a "fractional bandwidth" greater than 15%, and having any of the following:
 1. A peak saturated power output greater than 500 W (57 dBm) at any frequency exceeding 2,7 GHz up to and including 2,9 GHz;
 2. A peak saturated power output greater than 270 W (54,3 dBm) at any frequency exceeding 2,9 GHz up to and including 3,2 GHz;
 3. A peak saturated power output greater than 200 W (53 dBm) at any frequency exceeding 3,2 GHz up to and including 3,7 GHz; or
 4. A peak saturated power output greater than 90 W (49,54 dBm) at any frequency exceeding 3,7 GHz up to and including 6,8 GHz;
 - b. Rated for operation at frequencies exceeding 6,8 GHz up to and including 31,8 GHz with a "fractional bandwidth" greater than 10%, and having any of the following:
 1. A peak saturated power output greater than 70 W (48,54 dBm) at any frequency exceeding 6,8 GHz up to and including 8,5 GHz;
 2. A peak saturated power output greater than 50 W (47 dBm) at any frequency exceeding 8,5 GHz up to and including 12 GHz;
 3. A peak saturated power output greater than 30 W (44,77 dBm) at any frequency exceeding 12 GHz up to and including 16 GHz; or
 4. A peak saturated power output greater than 20 W (43 dBm) at any frequency exceeding 16 GHz up to and including 31,8 GHz;

3A001.b. continued

- c. Rated for operation with a peak saturated power output greater than 0,5 W (27 dBm) at any frequency exceeding 31,8 GHz up to and including 37 GHz;
- d. Rated for operation with a peak saturated power output greater than 2 W (33 dBm) at any frequency exceeding 37 GHz up to and including 43.5 GHz, and with a "fractional bandwidth" of greater than 10%;
- e. Rated for operation at frequencies exceeding 43.5 GHz and having any of the following:
 1. A peak saturated power output greater than 0,2 W (23 dBm) at any frequency exceeding 43,5 GHz up to and including 75 GHz, and with a "fractional bandwidth" of greater than 10%;
 2. A peak saturated power output greater than 20 mW (13 dBm) at any frequency exceeding 75 GHz up to and including 90 GHz, and with a "fractional bandwidth" of greater than 5%; or
 3. A peak saturated power output greater than 0,1 nW (-70 dBm) at any frequency exceeding 90 GHz; or
- f. Rated for operation at frequencies above 2,7 GHz and having all of the following:
 1. A peak saturation power (in watts), P_{sat} , greater than 400 divided by the maximum operating frequency (in GHz) squared [$P_{\text{sat}} > 400 \text{ W} \cdot \text{GHz}^2 / f_{\text{GHz}}^2$];
 2. A "fractional bandwidth" of 5% or greater; and
 3. Any two sides perpendicular to one another with either length d (in cm) equal to or less than 15 divided by the lowest operating frequency in GHz [$d \leq 15 \text{ cm} \cdot \text{GHz} / f_{\text{GHz}}$];

Technical Note:

2.7 GHz should be used as the lowest operating frequency (f_{GHz}) in the formula in 3A001.b.4.f.3., for amplifiers that have a rated operating range extending downward to 2.7 GHz and below [$d \leq 15 \text{ cm} \cdot \text{GHz} / 2,7 \text{ GHz}$].

N.B.: MMIC power amplifiers should be evaluated against the criteria in 3A001.b.2.

Note 1: Not used.

Note 2: The control status of an item whose rated operating frequency includes frequencies listed in more than one frequency range, as defined by 3A001.b.4.a. to 3A001.b.4.e., is determined by the lowest peak saturation output threshold.

Note 3: 3A001.b.4. includes transmit/receive modules and transmit modules.

5. Electronically or magnetically tunable band-pass or band-stop filters, having more than 5 tunable resonators capable of tuning across a 1,5:1 frequency band (f_{\max}/f_{\min}) in less than 10 μ s and having any of the following:
 - a. A band-pass bandwidth of more than 0,5% of centre frequency; or
 - b. A band-stop bandwidth of less than 0,5% of centre frequency;
6. Not used;
7. Converters and harmonic mixers that are any of the following:
 - a. Designed to extend the frequency range of "signal analysers" beyond 90 GHz;
 - b. Designed to extend the operating range of signal generators as follows:
 1. Beyond 90 GHz;
 2. To an output power greater than 100 mW (20 dBm) anywhere within the frequency range exceeding 43.5 GHz but not exceeding 90 GHz;
 - c. Designed to extend the operating range of network analysers as follows:
 1. Beyond 110 GHz;
 2. To an output power greater than 31.62 mW (15 dBm) anywhere within the frequency range exceeding 43.5 GHz but not exceeding 90 GHz;
 3. To an output power greater than 1 mW (0 dBm) anywhere within the frequency range exceeding 90 GHz but not exceeding 110 GHz; or
 - d. Designed to extend the frequency range of microwave test receivers beyond 110 GHz;

3A001.b.

continued

8. Microwave power amplifiers containing tubes specified in 3A001.b.1. and having all of the following:

- a. Operating frequencies above 3 GHz;
- b. An average output power to mass ratio exceeding 80 W/kg; and
- c. A volume of less than 400 cm³;

Note: 3A001.b.8. does not control equipment designed or rated for operation in any frequency band which is "allocated by the ITU" for radio-communications services, but not for radio-determination.

9. Microwave power modules (MPM) consisting of, at least, a travelling wave tube, a microwave "monolithic integrated circuit" and an integrated electronic power conditioner and having all of the following:

- a. A 'turn-on time' from off to fully operational in less than 10 seconds;
- b. A volume less than the maximum rated power in Watts multiplied by 10 cm³/W; and
- c. An "instantaneous bandwidth" greater than 1 octave ($f_{\max} > 2f_{\min}$) and having any of the following:
 1. For frequencies equal to or less than 18 GHz, an RF output power greater than 100 W; or
 2. A frequency greater than 18 GHz;

Technical Notes:

1. *To calculate the volume in 3A001.b.9.b., the following example is provided: for a maximum rated power of 20 W, the volume would be: $20\text{ W} \times 10\text{ cm}^3/\text{W} = 200\text{ cm}^3$.*
2. *The 'turn-on time' in 3A001.b.9.a. refers to the time from fully-off to fully operational, i.e., it includes the warm-up time of the MPM.*

10. Oscillators or oscillator assemblies, specified to operate with a single sideband (SSB) phase noise, in dBc/Hz, less (better) than $-(126 + 20\log_{10}F - 20\log_{10}f)$ anywhere within the range of $10 \text{ Hz} \leq F \leq 10 \text{ kHz}$;

Technical Note:

In 3A001.b.10., F is the offset from the operating frequency in Hz and f is the operating frequency in MHz.

11. "Frequency synthesiser" "electronic assemblies" having a "frequency switching time" as specified by any of the following:
- a. Less than 156 ps;
 - b. Less than 100 μs for any frequency change exceeding 1,6 GHz within the synthesised frequency range exceeding 4,8 GHz but not exceeding 10,6 GHz;
 - c. Less than 250 μs for any frequency change exceeding 550 MHz within the synthesised frequency range exceeding 10,6 GHz but not exceeding 31,8 GHz;
 - d. Less than 500 μs for any frequency change exceeding 550 MHz within the synthesised frequency range exceeding 31,8 GHz but not exceeding 43,5 GHz;
 - e. Less than 1 ms for any frequency change exceeding 550 MHz within the synthesised frequency range exceeding 43,5 GHz but not exceeding 56 GHz;
 - f. Less than 1 ms for any frequency change exceeding 2,2 GHz within the synthesized frequency range exceeding 56 GHz but not exceeding 90 GHz; or
 - g. Less than 1 ms within the synthesized frequency range exceeding 90 GHz;

N.B.: For general purpose "signal analysers", signal generators, network analysers and microwave test receivers, see 3A002.c., 3A002.d., 3A002.e. and 3A002.f., respectively.

- c. Acoustic wave devices as follows and specially designed components therefor:
 - 1. Surface acoustic wave and surface skimming (shallow bulk) acoustic wave devices, having any of the following:
 - a. A carrier frequency exceeding 6 GHz;
 - b. A carrier frequency exceeding 1 GHz, but not exceeding 6 GHz and having any of the following:
 - 1. A 'frequency side-lobe rejection' exceeding 65 dB;
 - 2. A product of the maximum delay time and the bandwidth (time in μs and bandwidth in MHz) of more than 100;
 - 3. A bandwidth greater than 250 MHz; or
 - 4. A dispersive delay of more than 10 μs ; or
 - c. A carrier frequency of 1 GHz or less and having any of the following:
 - 1. A product of the maximum delay time and the bandwidth (time in μs and bandwidth in MHz) of more than 100;
 - 2. A dispersive delay of more than 10 μs ; or
 - 3. A 'frequency side-lobe rejection' exceeding 65 dB and a bandwidth greater than 100 MHz;

Technical Note:

'Frequency side-lobe rejection' is the maximum rejection value specified in data sheet.

3A001.c.

continued

2. Bulk (volume) acoustic wave devices which permit the direct processing of signals at frequencies exceeding 6 GHz;
3. Acoustic-optic "signal processing" devices employing interaction between acoustic waves (bulk wave or surface wave) and light waves which permit the direct processing of signals or images, including spectral analysis, correlation or convolution;

Note: 3A001.c. does not control acoustic wave devices that are limited to a single band pass, low pass, high pass or notch filtering, or resonating function.

- d. Electronic devices and circuits containing components, manufactured from "superconductive" materials, specially designed for operation at temperatures below the "critical temperature" of at least one of the "superconductive" constituents and having any of the following:
 1. Current switching for digital circuits using "superconductive" gates with a product of delay time per gate (in seconds) and power dissipation per gate (in watts) of less than 10^{-14} J; or
 2. Frequency selection at all frequencies using resonant circuits with Q-values exceeding 10 000;
- e. High energy devices as follows:
 1. 'Cells' as follows:
 - a. 'Primary cells' having an 'energy density' exceeding 550 Wh/kg at 20°C;
 - b. 'Secondary cells' having an 'energy density' exceeding 300 Wh/kg at 20°C;

Technical Notes:

1. For the purpose of 3A001.e.1., 'energy density' (Wh/kg) is calculated from the nominal voltage multiplied by the nominal capacity in ampere-hours (Ah) divided by the mass in kilograms. If the nominal capacity is not stated, energy density is calculated from the nominal voltage squared then multiplied by the discharge duration in hours divided by the discharge load in ohms and the mass in kilograms.
2. For the purpose of 3A001.e.1., a 'cell' is defined as an electrochemical device, which has positive and negative electrodes, an electrolyte, and is a source of electrical energy. It is the basic building block of a battery.
3. For the purpose of 3A001.e.1.a., a 'primary cell' is a 'cell' that is not designed to be charged by any other source.
4. For the purpose of 3A001.e.1.b., a 'secondary cell' is a 'cell' that is designed to be charged by an external electrical source.

Note: 3A001.e.1. does not control batteries, including single-cell batteries.

3A001.e.

continued

2. High energy storage capacitors as follows:
N.B. SEE ALSO 3A201.a. and the Military Goods Controls.
 - a. Capacitors with a repetition rate of less than 10 Hz (single shot capacitors) and having all of the following:
 1. A voltage rating equal to or more than 5 kV;
 2. An energy density equal to or more than 250 J/kg; and
 3. A total energy equal to or more than 25 kJ;
 - b. Capacitors with a repetition rate of 10 Hz or more (repetition rated capacitors) and having all of the following:
 1. A voltage rating equal to or more than 5 kV;
 2. An energy density equal to or more than 50 J/kg;
 3. A total energy equal to or more than 100 J; and
 4. A charge/discharge cycle life equal to or more than 10 000;
3. "Superconductive" electromagnets and solenoids, specially designed to be fully charged or discharged in less than one second and having all of the following:
N.B. SEE ALSO 3A201.b.
Note: 3A001.e.3. does not control "superconductive" electromagnets or solenoids specially designed for Magnetic Resonance Imaging (MRI) medical equipment.
 - a. Energy delivered during the discharge exceeding 10 kJ in the first second;
 - b. Inner diameter of the current carrying windings of more than 250 mm; and
 - c. Rated for a magnetic induction of more than 8 T or "overall current density" in the winding of more than 300 A/mm²;

3A001.e.

continued

4. Solar cells, cell-interconnect-coverglass (CIC) assemblies, solar panels, and solar arrays, which are "space-qualified", having a minimum average efficiency exceeding 20% at an operating temperature of 301 K (28°C) under simulated 'AM0' illumination with an irradiance of 1 367 watts per square metre (W/m²);

Technical Note:

'AM0', or 'Air Mass Zero', refers to the spectral irradiance of sun light in the earth's outer atmosphere when the distance between the earth and sun is one astronomical unit (AU).

- f. Rotary input type absolute position encoders having an accuracy equal to or less (better) than $\pm 1,0$ second of arc;
- g. Solid-state pulsed power switching thyristor devices and 'thyristor modules', using either electrically, optically, or electron radiation controlled switch methods and having any of the following:
 1. A maximum turn-on current rate of rise (di/dt) greater than 30 000 A/ μ s and off-state voltage greater than 1 100 V; or
 2. A maximum turn-on current rate of rise (di/dt) greater than 2 000 A/ μ s and having all of the following:
 - a. An off-state peak voltage equal to or greater than 3 000 V; and
 - b. A peak (surge) current equal to or greater than 3 000 A.

- Note 1: 3A001.g. includes:
- Silicon Controlled Rectifiers (SCRs)
 - Electrical Triggering Thyristors (ETTs)
 - Light Triggering Thyristors (LTTs)
 - Integrated Gate Commutated Thyristors (IGCTs)
 - Gate Turn-off Thyristors (GTOs)
 - MOS Controlled Thyristors (MCTs)
 - Solidtrons

Note 2: 3A001.g. does not control thyristor devices and 'thyristor modules' incorporated into equipment designed for civil railway or "civil aircraft" applications.

Technical Note:

For the purposes of 3A001.g., a 'thyristor module' contains one or more thyristor devices.

- h. Solid-state power semiconductor switches, diodes, or 'modules', having all of the following:
1. Rated for a maximum operating junction temperature greater than 488 K (215°C);
 2. Repetitive peak off-state voltage (blocking voltage) exceeding 300 V; and
 3. Continuous current greater than 1 A.

Note 1: Repetitive peak off-state voltage in 3A001.h. includes drain to source voltage, collector to emitter voltage, repetitive peak **reverse** voltage and peak repetitive off-state blocking voltage.

- Note 2: 3A001.h. includes:
- Junction Field Effect Transistors (JFETs)
 - Vertical Junction Field Effect Transistors (VJFETs)
 - Metal Oxide Semiconductor Field effect Transistors (MOSFETs)
 - Double Diffused Metal Oxide Semiconductor Field Effect Transistor (DMOSFET)
 - Insulated Gate Bipolar Transistor (IGBT)
 - High Electron Mobility Transistors (HEMTs)
 - Bipolar Junction Transistors (BJTs)
 - Thyristors and Silicon Controlled Rectifiers (SCRs)
 - Gate Turn-Off Thyristors (GTOs)
 - Emitter Turn-Off Thyristors (ETOs)
 - PiN Diodes
 - Schottky Diodes

3A001.h. continued

Note 3: *3A001.h. does not control switches, diodes, or 'modules', incorporated into equipment designed for civil automobile, civil railway or "civil aircraft" applications.*

Technical Note:

For the purposes of 3A001.h., 'modules' contain one or more solid-state power semiconductor switches or diodes.

3A002 General purpose electronic equipment as follows:

a. Recording equipment and oscilloscopes as follows:

1. Not used;
2. Not used;
3. Not used;
4. Not used;
5. Waveform digitisers and transient recorders, having all of the following:
 - a. Digitising rate equal to or more than 200 million samples per second and a resolution of 10 bit or more;
 - b. A 'continuous throughput' of 2 Gbit/s or more; and
 - c. Triggered acquisition of transients or aperiodic signals

Technical Notes:

1. *For those instruments with a parallel bus architecture, the 'continuous throughput' rate is the highest word rate multiplied by the number of bits in a word.*
2. *'Continuous throughput' is the fastest data rate the instrument can output to mass storage without the loss of any information whilst sustaining the sampling rate and analogue-to-digital conversion.*
3. *For the purposes of 3A002.a.5.c., acquisition can be triggered internally or externally.*
6. Digital instrumentation data recorder systems using magnetic disk storage technique and having all of the following, and specially designed digital recorders therefor:
 - a. Digitised instrumentation data rate equal to or more than 100 million samples per second at a resolution of 8 bit or more; and
 - b. A 'continuous throughput' of 1 Gbit/s or more;

Technical Note:

Digital instrumentation data recorder systems can be configured either with a digitiser integrated within or outside the digital recorder.

7. Real-time oscilloscopes having a vertical root-mean-square (rms) noise voltage of less than 2% of full-scale at the vertical scale setting that provides the lowest noise value for any input 3dB bandwidth of 60 GHz or greater per channel;

Note: 3A002.a.7. does not control equivalent-time sampling oscilloscopes

b. Not used;

c. "Signal analysers" as follows:

1. "Signal analysers" having a 3 dB resolution bandwidth (RBW) exceeding 10 MHz anywhere within the frequency range exceeding 31,8 GHz but not exceeding 37 GHz;
2. "Signal analysers" having Displayed Average Noise Level (DANL) less (better) than -150 dBm/Hz anywhere within the frequency range exceeding 43,5 GHz but not exceeding 90 GHz;
3. "Signal analysers" having a frequency exceeding 90 GHz;
4. "Signal analysers" having all of the following:
 - a. "Real-time bandwidth" exceeding 170 MHz; and
 - b. 100% probability of discovery with less than a 3 dB reduction from full amplitude due to gaps or windowing effects of signals having a duration of 15 μ s or less;

Technical Notes:

1. *Probability of discovery in 3A002.c.4.b. is also referred to as probability of intercept or probability of capture.*
2. *For the purposes of 3A002.c.4.b., the duration for 100% probability of discovery is equivalent to the minimum signal duration necessary for the specified level measurement uncertainty.*

Note: 3A002.c.4. does not control those "signal analysers" using only constant percentage bandwidth filters (also known as octave or fractional octave filters).

3A002.c.

continued

5. "Signal analysers" having a "frequency mask trigger" function with 100% probability of trigger (capture) for signals having a duration of 15µs or less;
- d. Signal generators having any of the following:
1. Specified to generate pulse-modulated signals having all of the following, anywhere within the frequency range exceeding 31,8 GHz but not exceeding 37 GHz:
 - a. 'Pulse duration' of less than 25 ns; and
 - b. On/off ratio equal to or exceeding 65 dB;
 2. An output power exceeding 100 mW (20 dBm) anywhere within the frequency range exceeding 43,5 GHz but not exceeding 90 GHz;
 3. A "frequency switching time" as specified by any of the following:
 - a. Not used;
 - b. Less than 100 µs for any frequency change exceeding 2,2GHz within the frequency range exceeding 4,8 GHz but not exceeding 31,8 GHz;
 - c. Not used.
 - d. Less than 500 µs for any frequency change exceeding 550 MHz within the frequency range exceeding 31,8 GHz but not exceeding 37 GHz;
 - e. Less than 100 µs for any frequency change exceeding 2,2 GHz within the frequency range exceeding 37 GHz but not exceeding 90 GHz; or
 - f. Not used

3A002.d.

continued

4. Single sideband (SSB) phase noise, in dBc/Hz, specified as being any of the following:
 - a. Less (better) than $-(126 + 20\log_{10}F - 20\log_{10}f)$ anywhere within the range of $10 \text{ Hz} < F < 10 \text{ kHz}$ anywhere within the frequency range exceeding 3,2 GHz but not exceeding 90 GHz; or
 - b. Less (better) than $-(206 - 20\log_{10}f)$ anywhere within the range of $10 \text{ kHz} < F \leq 100 \text{ kHz}$ anywhere within the frequency range exceeding 3,2 GHz but not exceeding 90 GHz; or

Technical Note:

In 3A002.d.4., F is the offset from the operating frequency in Hz and f is the operating frequency in MHz;

5. A maximum frequency exceeding 90 GHz;

Note 1.: *For the purpose of 3A002.d., signal generators include arbitrary waveform and function generators.*

Note 2.: *3A002.d. does not control equipment in which the output frequency is either produced by the addition or subtraction of two or more crystal oscillator frequencies, or by an addition or subtraction followed by a multiplication of the result.*

Technical Notes:

1. *The maximum frequency of an arbitrary waveform or function generator is calculated by dividing the sample rate, in samples/second, by a factor of 2,5.*
2. *For the purposes of 3A002.d.1.a, 'pulse duration' is defined as the time interval from the point on the leading edge that is 50% of the pulse amplitude to the point on the trailing edge that is 50% of the pulse amplitude.*

3A002 continued

- e. Network analysers having any of the following:
1. An output power exceeding 31,62 mW (15 dBm) anywhere within the operating frequency range exceeding 43,5 GHz but not exceeding 90 GHz;
 2. An output power exceeding 1 mW (0 dBm) anywhere within the operating frequency range exceeding 90 GHz but not exceeding 110 GHz;
 3. 'Nonlinear vector measurement functionality' at frequencies exceeding 50 GHz but not exceeding 110 GHz; or

Technical Note

'Nonlinear vector measurement functionality' is an instrument's ability to analyse the test results of devices driven into the large-signal domain or the non-linear distortion range.

4. A maximum operating frequency exceeding 110 GHz;
- f. Microwave test receivers having all of the following:
1. A maximum operating frequency exceeding 110 GHz; and
 2. Being capable of measuring amplitude and phase simultaneously;
- g. Atomic frequency standards being any of the following:
1. "Space-qualified";
 2. Non-rubidium and having a long-term stability less (better) than 1×10^{-11} /month; or
 3. Non-"space-qualified" and having all of the following:
 - a. Being a rubidium standard;
 - b. Long-term stability less (better) than 1×10^{-11} /month; and
 - c. Total power consumption of less than 1 W.

3A003 Spray cooling thermal management systems employing closed loop fluid handling and reconditioning equipment in a sealed enclosure where a dielectric fluid is sprayed onto electronic components using specially designed spray nozzles that are designed to maintain electronic components within their operating temperature range, and specially designed components therefor.

- 3A101 Electronic equipment, devices and components, other than those specified in 3A001, as follows:
- a. Analogue-to-digital converters, usable in "missiles", designed to meet military specifications for ruggedized equipment;
 - b. Accelerators capable of delivering electromagnetic radiation produced by bremsstrahlung from accelerated electrons of 2 MeV or greater, and systems containing those accelerators.

Note: 3A101.b. above does not specify equipment specially designed for medical purposes.

- 3A102 'Thermal batteries' designed or modified for 'missiles'.

Technical Notes:

1. In 3A102 'thermal batteries' are single use batteries that contain a solid non-conducting inorganic salt as the electrolyte. These batteries incorporate a pyrolytic material that, when ignited, melts the electrolyte and activates the battery.
2. In 3A102 'missile' means complete rocket systems and unmanned aerial vehicle systems capable of a range exceeding 300 km.

- 3A201 Electronic components, other than those specified in 3A001, as follows;

- a. Capacitors having either of the following sets of characteristics:
 1.
 - a. Voltage rating greater than 1,4 kV;
 - b. Energy storage greater than 10 J;
 - c. Capacitance greater than 0,5 μ F; and
 - d. Series inductance less than 50 nH; or
 2.
 - a. Voltage rating greater than 750 V;
 - b. Capacitance greater than 0,25 μ F; and
 - c. Series inductance less than 10 nH;

b. Superconducting solenoidal electromagnets having all of the following characteristics:

1. Capable of creating magnetic fields greater than 2 T;
2. A ratio of length to inner diameter greater than 2;
3. Inner diameter greater than 300 mm; and
4. Magnetic field uniform to better than 1% over the central 50% of the inner volume;

Note: 3A201.b. does not control magnets specially designed for and exported 'as parts of' medical nuclear magnetic resonance (NMR) imaging systems. The phrase 'as part of' does not necessarily mean physical part in the same shipment; separate shipments from different sources are allowed, provided the related export documents clearly specify that the shipments are dispatched 'as part of' the imaging systems.

c. Flash X-ray generators or pulsed electron accelerators having either of the following sets of characteristics:

1. a. An accelerator peak electron energy of 500 keV or greater but less than 25 MeV; and
b. With a 'figure of merit' (K) of 0,25 or greater; or
2. a. An accelerator peak electron energy of 25 MeV or greater; and
b. A 'peak power' greater than 50 MW.

Note: 3A201.c. does not control accelerators that are component parts of devices designed for purposes other than electron beam or X-ray radiation (electron microscopy, for example) nor those designed for medical purposes:

3A201.c. continued

Technical Notes:

1. The 'figure of merit' K is defined as:

$$K = 1,7 \times 10^3 V^{2.65} Q$$

V is the peak electron energy in million electron volts.

If the accelerator beam pulse duration is less than or equal to $1 \mu\text{s}$, then Q is the total accelerated charge in Coulombs. If the accelerator beam pulse duration is greater than $1 \mu\text{s}$, then Q is the maximum accelerated charge in $1 \mu\text{s}$.

Q equals the integral of i with respect to t , over the lesser of $1 \mu\text{s}$ or the time duration of the beam pulse ($Q = \int i dt$), where i is beam current in amperes and t is time in seconds.

2. 'Peak power' = (peak potential in volts) \times (peak beam current in amperes).

3. In machines based on microwave accelerating cavities, the time duration of the beam pulse is the lesser of $1 \mu\text{s}$ or the duration of the bunched beam packet resulting from one microwave modulator pulse.

4. In machines based on microwave accelerating cavities, the peak beam current is the average current in the time duration of a bunched beam packet.

3A225 Frequency changers or generators, other than those specified in 0B001.b.13., usable as a variable or fixed frequency motor drive, having all of the following characteristics:

N.B. 1: "Software" specially designed to enhance or release the performance of a frequency changer or generator to meet the characteristics of 3A225 is specified in 3D225.

N.B. 2: "Technology" in the form of codes or keys to enhance or release the performance of a frequency changer or generator to meet the characteristics of 3A225 is specified in 3E225.

3A225 continued

- a. Multiphase output providing a power of 40 VA or greater;
- b. Operating at a frequency of 600 Hz or more; and
- c. Frequency control better (less) than 0,2%.

Note: 3A225 does not control frequency changers or generators if they have hardware, "software" or "technology" constraints that limit the performance to less than that specified above, provided they meet any of the following:

1. They need to be returned to the original manufacturer to make the enhancements or release the constraints;
2. They require "software" as specified in 3D225 to enhance or release the performance to meet the characteristics of 3A225; or
3. They require "technology" in the form of keys or codes as specified in 3E225 to enhance or release the performance to meet the characteristics of 3A225.

Technical Notes:

1. Frequency changers in 3A225 are also known as converters or inverters.
2. Frequency changers in 3A225 may be marketed as Generators, Electronic Test Equipment, AC Power Supplies, Variable Speed Motors Drives, Variable Speed Drives (VSDs), Variable Frequency Drives (VFDs), Adjustable Frequency Drives (AFDs), or Adjustable Speed Drives (ASDs).

3A226 High-power direct current power supplies, other than those specified in 0B001.j.6., having both of the following characteristics:

- a. Capable of continuously producing, over a time period of 8 hours, 100 V or greater with current output of 500 A or greater; and
- b. Current or voltage stability better than 0,1% over a time period of 8 hours.

- 3A227 High-voltage direct current power supplies, other than those specified in 0B001.j.5., having both of the following characteristics:
- a. Capable of continuously producing, over a time period of 8 hours, 20 kV or greater with current output of 1 A or greater; and
 - b. Current or voltage stability better than 0,1% over a time period of 8 hours.
- 3A228 Switching devices, as follows:
- a. Cold-cathode tubes, whether gas filled or not, operating similarly to a spark gap, having all of the following characteristics:
 1. Containing three or more electrodes;
 2. Anode peak voltage rating of 2,5 kV or more;
 3. Anode peak current rating of 100 A or more; and
 4. Anode delay time of 10 μ s or less;

Note: 3A228 includes gas krytron tubes and vacuum sprytron tubes.
 - b. Triggered spark-gaps having both of the following characteristics:
 1. An anode delay time of 15 μ s or less; and
 2. Rated for a peak current of 500 A or more;
 - c. Modules or assemblies with a fast switching function, other than those specified in 3A001.g. or 3A001.h., having all of the following characteristics:
 1. Anode peak voltage rating greater than 2 kV;
 2. Anode peak current rating of 500 A or more; and
 3. Turn-on time of 1 μ s or less.

3A229 High-current pulse generators as follows:

N.B.: SEE ALSO MILITARY GOODS CONTROLS.

- a. Detonator firing sets (initiator systems, firesets), including electronically-charged, explosively-driven and optically-driven firing sets, other than those specified in 1A007.a., designed to drive multiple controlled detonators specified in 1A007.b.;
- b. Modular electrical pulse generators (pulsers) having all of the following characteristics:
 1. Designed for portable, mobile, or ruggedized-use;
 2. Capable of delivering their energy in less than 15 μ s into loads of less than 40 ohms;
 3. Having an output greater than 100 A;
 4. No dimension greater than 30 cm;
 5. Weight less than 30 kg; and
 6. Specified for use over an extended temperature range 223 K (-50°C) to 373 K (100°C) or specified as suitable for aerospace applications.

Note: 3A229.b. includes xenon flash-lamp drivers.

- c. Micro-firing units having all of the following characteristics:
 1. No dimension greater than 35 mm;
 2. Voltage rating of equal to or greater than 1 kV; and
 3. Capacitance of equal to or greater than 100 nF.

- 3A230 High-speed pulse generators, and 'pulse heads' therefor, having both of the following characteristics:
- a. Output voltage greater than 6 V into a resistive load of less than 55 ohms, and
 - b. 'Pulse transition time' less than 500 ps.

Technical Notes:

1. In 3A230, 'pulse transition time' is defined as the time interval between 10% and 90% voltage amplitude.
2. 'Pulse heads' are impulse forming networks designed to accept a voltage step function and shape it into a variety of pulse forms that can include rectangular, triangular, step, impulse, exponential, or monocycle types. 'Pulse heads' can be an integral part of the pulse generator, they can be a plug-in module to the device or they can be an externally connected device.

- 3A231 Neutron generator systems, including tubes, having both of the following characteristics:

- a. Designed for operation without an external vacuum system; and
- b. Utilizing any of the following:
 1. Electrostatic acceleration to induce a tritium-deuterium nuclear reaction; or
 2. Electrostatic acceleration to induce a deuterium-deuterium nuclear reaction and capable of an output of 3×10^9 neutrons/s or greater.

- 3A232 Multipoint initiation systems, other than those specified in 1A007, as follows:

N.B.: SEE ALSO MILITARY GOODS CONTROLS.

N.B.: See 1A007.b. for detonators.

- a. Not used;
- b. Arrangements using single or multiple detonators designed to nearly simultaneously initiate an explosive surface over greater than 5,000 mm² from a single firing signal with an initiation timing spread over the surface of less than 2,5 μs.

Note: 3A232 does not control detonators using only primary explosives, such as lead azide.

3A233 Mass spectrometers, other than those specified in 0B002.g., capable of measuring ions of 230 atomic mass units or greater and having a resolution of better than 2 parts in 230, as follows, and ion sources therefor:

- a. Inductively coupled plasma mass spectrometers (ICP/MS);
- b. Glow discharge mass spectrometers (GDMS);
- c. Thermal ionization mass spectrometers (TIMS);
- d. Electron bombardment mass spectrometers having both of the following features:
 1. A molecular beam inlet system that injects a collimated beam of analyte molecules into a region of the ion source where the molecules are ionized by an electron beam; and
 2. One or more 'cold traps' that can be cooled to a temperature of 193 K (-80 °C);
- e. Not used;
- f. Mass spectrometers equipped with a microfluorination ion source designed for actinides or actinide fluorides.

Technical Notes:

1. *Electron bombardment mass spectrometers in 3A233.d. are also known as electron impact mass spectrometers or electron ionization mass spectrometers.*
2. *In 3A233.d.2., a 'cold trap' is a device that traps gas molecules by condensing or freezing them on cold surfaces. For the purposes of 3A233.d.2., a closed-loop gaseous helium cryogenic vacuum pump is not a 'cold trap'.*

3A234 Striplines to provide low inductance path to detonators with the following characteristics:

- a. Voltage rating greater than 2 kV; and
- b. Inductance of less than 20 nH.

3B Test, Inspection and Production Equipment

3B001 Equipment for the manufacturing of semiconductor devices or materials, as follows and specially designed components and accessories therefor:

- a. Equipment designed for epitaxial growth as follows:
 1. Equipment capable of producing a layer of any material other than silicon with a thickness uniform to less than $\pm 2,5\%$ across a distance of 75 mm or more;

Note: 3B001.a.1. includes Atomic Layer Epitaxy (ALE) equipment.
 2. Metal Organic Chemical Vapour Deposition (MOCVD) reactors designed for compound semiconductor epitaxial growth of material having two or more of the following elements: aluminium, gallium, indium, arsenic, phosphorus, antimony, or nitrogen;
 3. Molecular beam epitaxial growth equipment using gas or solid sources;
- b. Equipment designed for ion implantation and having any of the following:
 1. Not used;
 2. Being designed and optimized to operate at a beam energy of 20 keV or more and a beam current of 10 mA or more for hydrogen, deuterium or helium implant;
 3. Direct write capability;
 4. A beam energy of 65 keV or more and a beam current of 45 mA or more for high energy oxygen implant into a heated semiconductor material "substrate"; or
 5. Being designed and optimized to operate at a beam energy of 20 keV or more and a beam current of 10 mA or more for silicon implant into a semiconductor material "substrate" heated to 600°C or greater;

3B001 continued

- c. Anisotropic plasma dry etching equipment having all of the following:
 - 1. Designed or optimised to produce critical dimensions of 65 nm or less; and
 - 2. Within-wafer non-uniformity equal to or less than 10% 3σ measured with an edge exclusion of 2 mm or less;
- d. Not used;
- e. Automatic loading multi-chamber central wafer handling systems having all of the following:
 - 1. Interfaces for wafer input and output, to which more than two functionally different 'semiconductor process tools' specified in 3B001.a., 3B001.b. or 3B001.c. are designed to be connected; and
 - 2. Designed to form an integrated system in a vacuum environment for 'sequential multiple wafer processing';

Note: 3B001.e. does not control automatic robotic wafer handling systems specially designed for parallel wafer processing.

Technical Notes:

- 1. *For the purpose of 3B001.e., 'semiconductor process tools' refers to modular tools that provide physical processes for semiconductor production that are functionally different, such as deposition, etch, implant or thermal processing.*
- 2. *For the purpose of 3B001.e., 'sequential multiple wafer processing' means the capability to process each wafer in different 'semiconductor process tools', such as by transferring each wafer from one tool to a second tool and on to a third tool with the automatic loading multi-chamber central wafer handling systems.*

f. Lithography equipment as follows:

1. Align and expose step and repeat (direct step on wafer) or step and scan (scanner) equipment for wafer processing using photo-optical or X-ray methods and having any of the following:
 - a. A light source wavelength shorter than 193 nm; or
 - b. Capable of producing a pattern with a 'Minimum Resolvable Feature size' (MRF) of 45 nm or less;

Technical Note:

The 'Minimum Resolvable Feature size' (MRF) is calculated by the following formula:

$$MRF = \frac{(an\ exposure\ light\ source\ wavelength\ in\ nm) \times (K\ factor)}{numerical\ aperture}$$

where the K factor = 0,35

2. Imprint lithography equipment capable of producing features of 45 nm or less;
Note: 3B001.f.2. includes:
 - *Micro contact printing tools*
 - *Hot embossing tools*
 - *Nano-imprint lithography tools*
 - *Step and flash imprint lithography (S-FIL) tools*
3. Equipment specially designed for mask making or semiconductor device processing using direct writing methods, having all of the following:
 - a. Using deflected focussed electron beam, ion beam or "laser" beam; and
 - b. Having any of the following:
 1. A spot size smaller than 0,2 µm;
 2. Being capable of producing a pattern with a feature size of less than 1 µm; or
 3. An overlay accuracy of better than ± 0,20 µm (3 sigma);

3B001 continued

- g. Masks and reticles, designed for integrated circuits specified in 3A001;
- h. Multi-layer masks with a phase shift layer not specified by 3B001.g. and having any of the following:
 - 1. Made on a mask "substrate blank" from glass specified as having less than 7 nm/cm birefringence; or
 - 2. Designed to be used by lithography equipment having a light source wavelength less than 245 nm;

Note: 3B001.h. does not control multi-layer masks with a phase shift layer designed for the fabrication of memory devices not controlled by 3A001.
- i. Imprint lithography templates designed for integrated circuits specified in 3A001.

- 3B002 Test equipment specially designed for testing finished or unfinished semiconductor devices as follows and specially designed components and accessories therefor:
- a. For testing S-parameters of transistor devices at frequencies exceeding 31,8 GHz;
 - b. Not used;
 - c. For testing microwave integrated circuits specified in 3A001.b.2.

3C Materials

3C001 Hetero-epitaxial materials consisting of a "substrate" having stacked epitaxially grown multiple layers of any of the following:

- a. Silicon (Si);
- b. Germanium (Ge);
- c. Silicon carbide (SiC); or
- d. "III/V compounds" of gallium or indium.

Note: 3C001.d. does not control a "substrate" having one or more P-type epitaxial layers of GaN, InGaN, AlGaN, InAlN, InAlGaN, GaP, InGaP, AlInP or InGaAlP, independent of the sequence of the elements, except if the P-type epitaxial layer is between N-type layers.

3C002 Resist materials as follows and "substrates" coated with the following resists:

- a. Resists designed for semiconductor lithography as follows:
 1. Positive resists adjusted (optimised) for use at wavelengths less than 245 nm but equal to or greater than 15 nm;
 2. Resists adjusted (optimised) for use at wavelengths less than 15 nm but greater than 1 nm;
- b. All resists designed for use with electron beams or ion beams, with a sensitivity of 0,01 $\mu\text{coulomb}/\text{mm}^2$ or better;
- c. Not used;
- d. All resists optimised for surface imaging technologies;
- e. All resists designed or optimised for use with imprint lithography equipment specified in 3B001.f.2. that use either a thermal or photo-curable process.

- 3C003 Organo-inorganic compounds as follows:
- a. Organo-metallic compounds of aluminium, gallium or indium, having a purity (metal basis) better than 99,999%;
 - b. Organo-arsenic, organo-antimony and organo-phosphorus compounds, having a purity (inorganic element basis) better than 99,999%.
- Note: 3C003 only controls compounds whose metallic, partly metallic or non-metallic element is directly linked to carbon in the organic part of the molecule.*
- 3C004 Hydrides of phosphorus, arsenic or antimony, having a purity better than 99,999%, even diluted in inert gases or hydrogen.
- Note: 3C004 does not control hydrides containing 20% molar or more of inert gases or hydrogen.*
- 3C005 Silicon carbide (SiC), gallium nitride (GaN), aluminium nitride (AlN) or aluminium gallium nitride (AlGaN) semiconductor "substrates", or ingots, boules, or other preforms of those materials, having resistivities greater than 10 000 ohm-cm at 20°C.
- 3C006 "Substrates" specified in 3C005 with at least one epitaxial layer of silicon carbide, gallium nitride, aluminium nitride or aluminium gallium nitride.

3D Software

3D001 "Software" specially designed for the "development" or "production" of equipment specified in 3A001.b. to 3A002.g. or 3B.

3D002 "Software" specially designed for the "use" of equipment specified in 3B001.a. to f., 3B002 or 3A225

3D003 'Physics-based' simulation "software" specially designed for the "development" of lithographic, etching or deposition processes for translating masking patterns into specific topographical patterns in conductors, dielectrics or semiconductor materials.

Technical Note:

'Physics-based' in 3D003 means using computations to determine a sequence of physical cause and effect events based on physical properties (e.g., temperature, pressure, diffusion constants and semiconductor materials properties).

Note: *Libraries, design attributes or associated data for the design of semiconductor devices or integrated circuits are considered as "technology".*

3D004 "Software" specially designed for the "development" of the equipment specified in 3A003.

3D101 "Software" specially designed or modified for the "use" of equipment specified in 3A101.b.

3D225 "Software" specially designed to enhance or release the performance of frequency changers or generators to meet the characteristics of 3A225.

3E Technology

3E001 "Technology" according to the General Technology Note for the "development" or "production" of equipment or materials specified in 3A, 3B or 3C;

Note 1: 3E001 does not control "technology" for the "production" of equipment or components controlled by 3A003.

Note 2: 3E001 does not control "technology" for the "development" or "production" of integrated circuits specified in 3A001.a.3. to 3A001.a.12., having all of the following:
a. Using "technology" at or above 0.130 μm ; and
b. Incorporating multi-layer structures with three or fewer metal layers.

3E002 "Technology" according to the General Technology Note, other than that specified in 3E001, for the "development" or "production" of a "microprocessor microcircuit", "microcomputer microcircuit" or microcontroller microcircuit core, having an arithmetic logic unit with an access width of 32 bits or more and any of the following features or characteristics:

a. A 'vector processor unit' designed to perform more than two calculations on floating-point vectors (one-dimensional arrays of 32-bit or larger numbers) simultaneously;

Technical Note:

A 'vector processor unit' is a processor element with built-in instructions that perform multiple calculations on floating-point vectors (one-dimensional arrays of 32-bit or larger numbers) simultaneously, having at least one vector arithmetic logic unit.

b. Designed to perform more than four 64-bit or larger floating-point operation results per cycle;
or

c. Designed to perform more than four 16-bit fixed-point multiply-accumulate results per cycle (e.g., digital manipulation of analogue information that has been previously converted into digital form, also known as digital "signal processing").

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

Note 1: 3E002 does not control "technology" for the "development" or "production" of micro-processor cores, having all of the following:

a. Using "technology" at or above 0.130 μm ; and

b. Incorporating multi-layer structures with five or fewer metal layers.

Note 2: 3E002 includes "technology" for digital signal processors and digital array processors.

- 3E003 Other "technology" for the "development" or "production" of the following:
- a. Vacuum microelectronic devices;
 - b. Hetero-structure semiconductor electronic devices such as high electron mobility transistors (HEMT), hetero-bipolar transistors (HBT), quantum well and super lattice devices;
Note: 3E003.b. does not control "technology" for high electron mobility transistors (HEMT) operating at frequencies lower than 31,8 GHz and hetero-junction bipolar transistors (HBT) operating at frequencies lower than 31,8 GHz.
 - c. "Superconductive" electronic devices;
 - d. Substrates of films of diamond for electronic components.
 - e. Substrates of silicon-on-insulator (SOI) for integrated circuits in which the insulator is silicon dioxide;
 - f. Substrates of silicon carbide for electronic components;
 - g. Electronic vacuum tubes operating at frequencies of 31,8 GHz or higher.
- 3E101 "Technology" according to the General Technology Note for the "use" of equipment or "software" specified in 3A001.a.1. or 2., 3A101, 3A102 or 3D101.
- 3E102 "Technology" according to the General Technology Note for the "development" of "software" specified in 3D101.
- 3E201 "Technology" according to the General Technology Note for the "use" of equipment specified in 3A001.e.2., 3A001.e.3., 3A001.g., 3A201, 3A225 to 3A234.
- 3E225 "Technology", in the form of codes or keys, to enhance or release the performance of frequency changers or generators to meet the characteristics of 3A225.