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From:	Secretary-General of the European Commission, signed by Mr Jordi AYET PUIGARNAU, Director
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To:	Mr Jeppe TRANHOLM-MIKKELSEN, Secretary-General of the Council of the European Union

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Subject:	ANNEX 2 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 2.

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ANNEX 2

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

“ANNEX IIa

UNION GENERAL EXPORT AUTHORISATION NO EU001

(referred to in Article 9(1) of this Regulation)

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

Issuing authority: European Commission

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 throughout the Union for exports to the following destinations:

- Australia
- Canada
- Japan
- New Zealand
- Norway
- Switzerland, including Liechtenstein
- United States of America

Conditions and requirements for use of this authorisation

1. Exporters that use this authorisation shall notify the competent authorities of the Member State where they are established 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 EU 001 by indicating in box 44 the reference X002.

2. This authorisation may not be used if:
 - the exporter has been informed by the competent authorities of the Member State in which he is established that the items in question are or may be intended, in their entirety or in part, 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 competent authorities of the Member State in which he is established 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 a decision or a common position adopted by the Council 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.

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

A Member State may require the exporters established in that Member State to register prior to the first use of this authorisation. Registration shall be automatic and acknowledged by the competent authorities to the exporter without delay and in any case within ten working days of receipt.

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 Member States which provide for such authorisations.

ANNEX IIb

UNION GENERAL EXPORT AUTHORISATION No EU002

(referred to in Article 9(1) of this Regulation)

Exports of certain dual-use items to certain destinations

Issuing authority: European Union

Part 1 –Items

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

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

Part 2 –Destinations

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

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

Part 3 –Conditions and requirements for use

1. This authorisation does not authorise the export of items where:
 - (1) the exporter has been informed by the competent authorities of the Member State in which he is established as defined in Article 9(6) of this Regulation that the items in question are or may be intended, in their entirety or in part:
 - (a) for use in connection with the development, production, handling, operation, maintenance, storage, detection, identification or dissemination of chemical, biological or nuclear weapons or other nuclear explosive devices, or the development, production, maintenance or storage of missiles capable of delivering such weapons;
 - (b) for a military end-use as defined in Article 4(2) of this Regulation in a country subject to an arms embargo imposed by a decision or a common position adopted by the Council or a decision of the Organisation for Security and Cooperation in Europe or an arms embargo imposed by a binding resolution of the Security Council of the United Nations; or
 - (c) for use as parts or components of military items listed in national military lists that have been exported from the territory of the Member State concerned without authorisation or in breach of an authorisation prescribed by the national legislation of that Member State;
 - (2) the exporter, under his obligation to exercise due diligence, is aware that the items in question are intended, in their entirety or in part, for any of the uses referred to in subparagraph (1);
 - (3) the relevant items are exported to a customs-free zone or a free warehouse which is located in a destination covered by this authorisation.
2. Exporters must mention the EU reference number X002 and specify that the items are being exported under Union General Export Authorisation EU002 in box 44 of the Single Administrative Document.

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

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

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

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

ANNEX IIc

UNION GENERAL EXPORT AUTHORISATION No EU003

(referred to in Article 9(1) of this Regulation)

Export after repair/replacement

Issuing authority: European Union

Part 1 —Items

1. This general export authorisation covers all dual-use items specified in any entry in Annex I to this Regulation except those listed in paragraph 2 where:
 - (a) the items were reimported into the customs territory of the European Union for the purpose of maintenance, repair or replacement, and are exported or re-exported to the country of consignment without any changes to their original characteristics within a period of 5 years after the date when the original export authorisation has been granted; or
 - (b) the items are exported to the country of consignment in exchange for items of the same quality and number which were reimported into the customs territory of the European Union for maintenance, repair or replacement within a period of 5 years after the date when the original export authorisation has been granted.
2. Items excluded:
 - (a) all items listed in Annex IIg;
 - (b) all items in Sections D and E set out in Annex I to this Regulation;
 - (c) the following items specified in Annex I to this Regulation:
 - 1A002a,
 - 1C012a,
 - 1C227,
 - 1C228,
 - 1C229,
 - 1C230,
 - 1C231,
 - 1C236,

- 1C237,
- 1C240,
- 1C350,
- 1C450,
- 5A001b5,
- 5A002a2 to 5A002a9,
- 6A001a2a1,
- 6A001a2a5,
- 6A002a1c,
- 8A001b,
- 8A001d,
- 9A011.

Part 2 —Destinations

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

Albania

Argentina

Bosnia and Herzegovina

Brazil

Chile

China (including Hong Kong and Macao)

Croatia

former Yugoslav Republic of Macedonia, the

French Overseas Territories

Iceland

India

Kazakhstan

Mexico

Montenegro

Morocco

Russia

Serbia

Singapore

South Africa

South Korea

Tunisia

Turkey

Ukraine

United Arab Emirates

Part 3 —Conditions and requirements for use

1. This authorisation can only be used when the initial export has taken place under a Union General Export Authorisation or an initial export authorisation has been granted by the competent authorities of the Member State where the original exporter was established for the export of the items which have subsequently been reimported into the customs territory of the European Union for the purposes of maintenance, repair or replacement. This authorisation is valid only for exports to the original end-user.
2. This authorisation does not authorise the export of items where:
 - (1) the exporter has been informed by the competent authorities of the Member State in which he is established as defined in Article 9(6) of this Regulation that the items in question are or may be intended, in their entirety or in part,
 - (a) for use in connection with the development, production, handling, operation, maintenance, storage, detection, identification or dissemination of chemical, biological or nuclear weapons or other nuclear explosive devices or the development, production, maintenance or storage of missiles capable of delivering such weapons;
 - (b) for a military end-use as defined in Article 4(2) of this Regulation where the purchasing country or country of destination is subject to an arms embargo imposed by a decision or a common position adopted by the Council or a decision of the Organisation for Security and Cooperation in Europe or an arms embargo imposed by a binding resolution of the Security Council of the United Nations; or
 - (c) for use as parts or components of military items listed in the national military list that have been exported from the territory of the Member

State concerned without authorisation or in breach of an authorisation prescribed by the national legislation of that Member State;

- (2) the exporter is aware that the items in question are intended, in their entirety or in part, for any of the uses referred to in subparagraph (1);
 - (3) the relevant items are exported to a customs-free zone or a free warehouse which is located in a destination covered by this authorisation;
 - (4) the initial authorisation has been annulled, suspended, modified or revoked;
 - (5) the exporter, under his obligation to exercise due diligence, is aware that the end-use of the items in question is different from that specified in the original export authorisation.
3. On exportation of any of the items pursuant to this authorisation, exporters must:
- (1) mention the reference number of the initial export authorisation in the export declaration to customs together with the name of the Member State that granted the authorisation, the EU reference number X002 and specify that the items are being exported under Union General Export Authorisation EU003 in box 44 of the Single Administrative Document;
 - (2) provide customs officers, if so requested, with documentary evidence of the date of importation of the items into the Union, of any maintenance, repair or replacement of the items carried out in the Union and of the fact that the items are being returned to the end-user and the country from which they were imported into the Union.
4. Any exporter who uses this authorisation must notify the competent authorities of the Member State where he is established of the first use of this authorisation no later than 30 days after the date when the first export took place or, alternatively, and in accordance with a requirement by the competent authority of the Member State where the exporter is established, prior to the first use of this authorisation. Member States shall notify the Commission of the notification mechanism chosen for this authorisation. The Commission shall publish the information notified to it in the C series of the *Official Journal of the European Union*.

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

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

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

5. This authorisation covers items for 'repair', 'replacement' and 'maintenance'. This may involve coincidental improvement on the original goods, e.g. resulting from the use of modern spare parts or from use of a later built standard for reliability or safety reasons, provided that this does not result in any enhancement to the functional capability of the items or provide the items with new or additional functions.

ANNEX II

UNION GENERAL EXPORT AUTHORISATION No EU004

(referred to in Article 9(1) of this Regulation)

Temporary export for exhibition or fair

Issuing authority: European Union

Part 1 –Items

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

- (a) all items listed in Annex IIg;
- (b) all items in Section D set out in Annex I to this Regulation (this does not include software necessary to the proper functioning of the equipment for the purpose of the demonstration);
- (c) all items in Section E set out in Annex I to this Regulation;
- (d) the following items specified in Annex I to this Regulation:
 - 1A002a,
 - 1C002.b.4,
 - 1C010,
 - 1C012.a,
 - 1C227,
 - 1C228,
 - 1C229,
 - 1C230,
 - 1C231,
 - 1C236,
 - 1C237,
 - 1C240,
 - 1C350,
 - 1C450,

- 5A001b5,
- 5A002a2 to 5A002a9,
- 6A001,
- 6A002a,
- 6A008I3,
- 8A001b,
- 8A001d,
- 9A011.

Part 2 –Destinations

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

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

Part 3 –Conditions and requirements for use

1. This authorisation authorises the export of items listed in Part 1 on condition that the export concerns temporary export for exhibition or fair as defined in point 6 and that the items are reimported within a period of 120 days after the initial export, complete and without modification, into the customs territory of the European Union.
2. The competent authority of the Member State where the exporter is established as defined in Article 9(6) of this Regulation may, at the exporter's request, waive the requirement that the items are to be reimported as stated in paragraph 1. To waive the requirement, the procedure for individual authorisations laid down in Articles 9(2) and 14(1) of this Regulation shall apply accordingly.
3. This authorisation does not authorise the export of items where:
 - (1) the exporter has been informed by the competent authorities of the Member State in which he is established that the items in question are or may be intended, in their entirety or in part:
 - (a) for use in connection with the development, production, handling, operation, maintenance, storage, detection, identification or dissemination of chemical, biological or nuclear weapons or other nuclear explosive devices, or the development, production, maintenance or storage of missiles capable of delivering such weapons;
 - (b) for a military end-use as defined in Article 4(2) of this Regulation where the purchasing country or country of destination is subject to an arms embargo imposed by a decision or a common position adopted by the

Council or a decision of the Organisation for Security and Cooperation in Europe or an arms embargo imposed by a binding resolution of the Security Council of the United Nations; or

- (c) for use as parts or components of military items listed in the national military list that have been exported from the territory of the Member State concerned without authorisation or in breach of an authorisation prescribed by the national legislation of that Member State;
- (2) the exporter is aware that the items in question are intended, in their entirety or in part, for any of the uses referred to in subparagraph (1);
 - (3) the relevant items are exported to a customs-free zone or a free warehouse which is located in a destination covered by this authorisation;
 - (4) the exporter has been informed by a competent authority of the Member State in which he is established, or is otherwise aware (e.g. from information received from the manufacturer), that the items in question have been classified by the competent authority as having a protective national security classification marking, equivalent to or above CONFIDENTIEL UE/EU CONFIDENTIAL;
 - (5) their return, in their original state, without the removal, copying or dissemination of any component or software, cannot be guaranteed by the exporter, or where a transfer of technology is connected with a presentation;
 - (6) the relevant items are to be exported for a private presentation or demonstration (e.g. in in-house showrooms);
 - (7) the relevant items are to be merged into any production process;
 - (8) the relevant items are to be used for their intended purpose, except to the minimum extent required for effective demonstration, but without making specific test outputs available to third parties;
 - (9) the export is to take place as a result of a commercial transaction, in particular as regards the sale, rental or lease of the relevant items;
 - (10) the relevant items are to be stored at an exhibition or fair only for the purpose of sale, rent or lease, without being presented or demonstrated;
 - (11) the exporter makes any arrangement which would prevent him from keeping the relevant items under his control during the whole period of the temporary export.
4. Exporters must mention the EU reference number X002 and specify that the items are being exported under Union General Export Authorisation EU004 in box 44 of the Single Administrative Document.
 5. Any exporter who uses this authorisation must notify the competent authorities of the Member State where he is established of the first use of this authorisation no later than 30 days after the date when the first export took place or, alternatively, and in

accordance with a requirement by the competent authority of the Member State where the exporter is established, prior to the first use of this authorisation. Member States shall notify the Commission of the notification mechanism chosen for this authorisation. The Commission shall publish the information notified to it in the C series of the *Official Journal of the European Union*.

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

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

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

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

ANNEX IIe

UNION GENERAL EXPORT AUTHORISATION NO EU005

(referred to in Article 9(1) of this Regulation)

Telecommunications

Issuing authority: European Union

Part 1 –Items

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

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

Part 2 –Destinations

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

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

Part 3 –Conditions and requirements for use

1. This authorisation does not authorise the export of items where:
 - (1) the exporter has been informed by the competent authorities of the Member State in which he is established as defined in Article 9(6) of this Regulation that the items in question are or may be intended, in their entirety or in part:
 - (a) for use in connection with the development, production, handling, operation, maintenance, storage, detection, identification or dissemination of chemical, biological or nuclear weapons or other nuclear explosive devices, or the development, production, maintenance or storage of missiles capable of delivering such weapons;
 - (b) for a military end-use as defined in Article 4(2) of this Regulation where the purchasing country or country of destination is subject to an arms embargo imposed by a decision or a common position adopted by the Council or a decision of the Organisation for Security and Cooperation in

Europe or an arms embargo imposed by a binding resolution of the Security Council of the United Nations;

- (c) for use as parts or components of military items listed in the national military list that have been exported from the territory of the Member State concerned without authorisation or in breach of an authorisation prescribed by the national legislation of that Member State; or
 - (d) for use in connection with a violation of human rights, democratic principles or freedom of speech as defined by the Charter of Fundamental Rights of the European Union, by using interception technologies and digital data transfer devices for monitoring mobile phones and text messages and targeted surveillance of Internet use (e.g. via Monitoring Centres and Lawful Interception Gateways);
- (2) the exporter, under his obligation to exercise due diligence, is aware that the items in question are intended, in their entirety or in part, for any of the uses referred to in subparagraph 1;
 - (3) the exporter, under his obligation to exercise due diligence, is aware that the items in question will be re-exported to any destination other than those listed in Part 2 of this Annex or in Part 2 of Annex IIa or to Member States;
 - (4) the relevant items are exported to a customs-free zone or a free warehouse which is located in a destination covered by this authorisation.
2. Exporters must mention the EU reference number X002 and specify that the items are being exported under Union General Export Authorisation EU005 in box 44 of the Single Administrative Document.
3. Any exporter who uses this authorisation must notify the competent authorities of the Member State where he is established of the first use of this authorisation no later than 30 days after the date when the first export took place or, alternatively, and in accordance with a requirement by the competent authority of the Member State where the exporter is established, prior to the first use of this authorisation. Member States shall notify the Commission of the notification mechanism chosen for this authorisation. The Commission shall publish the information notified to it in the C series of the *Official Journal of the European Union*.

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

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

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

ANNEX II

UNION GENERAL EXPORT AUTHORISATION No EU006

(referred to in Article 9(1) of this Regulation)

Chemicals

Part 1 –Items

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

1C350:

1. Thiodiglycol (111-48-8);
2. Phosphorus oxychloride (10025-87-3);
3. Dimethyl methylphosphonate (756-79-6);
5. Methylphosphonyl dichloride (676-97-1);
6. Dimethyl phosphite (DMP) (868-85-9);
7. Phosphorus trichloride (7719-12-2);
8. Trimethyl phosphite (TMP) (121-45-9);
9. Thionyl chloride (7719-09-7);
10. 3-Hydroxy-1-methylpiperidine (3554-74-3);
11. N,N-Diisopropyl-(beta)-aminoethyl chloride (96-79-7);
12. N,N-Diisopropyl-(beta)-aminoethane thiol (5842-07-9);
13. Quinuclidin-3-ol (1619-34-7);
14. Potassium fluoride (7789-23-3);
15. 2-Chloroethanol (107-07-3);
16. Dimethylamine (124-40-3);
17. Diethyl ethylphosphonate (78-38-6);
18. Diethyl-N,N-dimethylphosphoramidate (2404-03-7);
19. Diethyl phosphite (762-04-9);
20. Dimethylamine hydrochloride (506-59-2);

21. Ethyl phosphinyl dichloride (1498-40-4);
22. Ethyl phosphonyl dichloride (1066-50-8);
24. Hydrogen fluoride (7664-39-3);
25. Methyl benzilate (76-89-1);
26. Methyl phosphinyl dichloride (676-83-5);
27. N,N-Diisopropyl-(beta)-amino ethanol (96-80-0);
28. Pinacolyl alcohol (464-07-3);
30. Triethyl phosphite (122-52-1);
31. Arsenic trichloride (7784-34-1);
32. Benzilic acid (76-93-7);
33. Diethyl methylphosphonite (15715-41-0);
34. Dimethyl ethylphosphonate (6163-75-3);
35. Ethyl phosphinyl difluoride (430-78-4);
36. Methyl phosphinyl difluoride (753-59-3);
37. 3-Quinuclidone (3731-38-2);
38. Phosphorus pentachloride (10026-13-8);
39. Pinacolone (75-97-8);
40. Potassium cyanide (151-50-8);
41. Potassium bifluoride (7789-29-9);
42. Ammonium hydrogen fluoride or ammonium bifluoride (1341-49-7);
43. Sodium fluoride (7681-49-4);
44. Sodium bifluoride (1333-83-1);
45. Sodium cyanide (143-33-9);
46. Triethanolamine (102-71-6);
47. Phosphorus pentasulphide (1314-80-3);
48. Di-isopropylamine (108-18-9);
49. Diethylaminoethanol (100-37-8);

50. Sodium sulphide (1313-82-2);
51. Sulphur monochloride (10025-67-9);
52. Sulphur dichloride (10545-99-0);
53. Triethanolamine hydrochloride (637-39-8);
54. N,N-Diisopropyl-(Beta)-aminoethyl chloride hydrochloride (4261-68-1);
55. Methylphosphonic acid (993-13-5);
56. Diethyl methylphosphonate (683-08-9);
57. N,N-Dimethylaminophosphoryl dichloride (677-43-0);
58. Triisopropyl phosphite (116-17-6);
59. Ethyldiethanolamine (139-87-7);
60. O,O-Diethyl phosphorothioate (2465-65-8);
61. O,O-Diethyl phosphorodithioate (298-06-6);
62. Sodium hexafluorosilicate (16893-85-9);
63. Methylphosphonothioic dichloride (676-98-2).

1C450 a:

4. Phosgene: Carbonyl dichloride (75-44-5);
5. Cyanogen chloride (506-77-4);
6. Hydrogen cyanide (74-90-8);
7. Chloropicrin: Trichloronitromethane (76-06-2);

1C450 b:

1. Chemicals, other than those specified in the Military Goods Controls or in 1C350, containing a phosphorus atom to which is bonded one methyl, ethyl or propyl (normal or iso) group but not further carbon atoms;
2. N,N-Dialkyl [methyl, ethyl or propyl (normal or iso)] phosphoramidic dihalides, other than N,N-Dimethylaminophosphoryl dichloride which is specified in 1C350.57;
3. Dialkyl [methyl, ethyl or propyl (normal or iso)] N,N-dialkyl [methyl, ethyl or propyl (normal or iso)]-phosphoramidates, other than Diethyl-N,N-dimethylphosphoramidate which is specified in 1C350;
4. N,N-Dialkyl [methyl, ethyl or propyl (normal or iso)] aminoethyl-2-chlorides and corresponding protonated salts, other than N,N-Diisopropyl-(beta)-

aminoethyl chloride or N,N-Diisopropyl-(beta)-aminoethyl chloride hydrochloride which are specified in 1C350;

5. N,N-Dialkyl [methyl, ethyl or propyl (normal or iso)] aminoethane-2-ols and corresponding protonated salts; other than N,N-Diisopropyl-(beta)-aminoethanol (96-80-0) and N,N-Diethylaminoethanol (100-37-8) which are specified in 1C350;
6. N,N-Dialkyl [methyl, ethyl or propyl (normal or iso)] aminoethane-2-thiols and corresponding protonated salts, other than N,N-Diisopropyl-(beta)-aminoethane thiol which is specified in 1C350;
8. Methyl-diethanolamine (105-59-9).

Part 2 –Destinations

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

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

Part 3 –Conditions and requirements for use

1. This authorisation does not authorise the export of items where:
 - (1) the exporter has been informed by the competent authorities of the Member State in which he is established as defined in Article 9(6) of this Regulation that the items in question are or may be intended, in their entirety or in part:
 - (a) for use in connection with the development, production, handling, operation, maintenance, storage, detection, identification or dissemination of chemical, biological or nuclear weapons or other nuclear explosive devices, or the development, production, maintenance or storage of missiles capable of delivering such weapons;
 - (b) for a military end-use as defined in Article 4(2) of this Regulation where the purchasing country or country of destination is subject to an arms embargo imposed by a decision or a common position adopted by the Council or a decision of the Organisation for Security and Cooperation in Europe or an arms embargo imposed by a binding resolution of the Security Council of the United Nations; or
 - (c) for use as parts or components of military items listed in the national military list that have been exported from the territory of the Member State concerned without authorisation or in breach of an authorisation prescribed by the national legislation of that Member State;
 - (2) the exporter, under his obligation to exercise due diligence, is aware that the items in question are intended, in their entirety or in part, for any of the uses referred to in subparagraph 1;

- (3) the exporter, under his obligation to exercise due diligence, is aware that the items in question will be re-exported to any destination other than those listed in Part 2 of this Annex or in Part 2 of Annex IIa or to Member States; or
 - (4) the relevant items are exported to a customs-free zone or a free warehouse which is located in a destination covered by this authorisation.
2. Exporters must mention the EU reference number X002 and specify that the items are being exported under Union General Export Authorisation EU006 in box 44 of the Single Administrative Document.
3. Any exporter who uses this authorisation must notify the competent authorities of the Member State where he is established of the first use of this authorisation no later than 30 days after the date when the first export took place or, alternatively, and in accordance with a requirement by the competent authority of the Member State where the exporter is established, prior to the first use of this authorisation. Member States shall notify the Commission of the notification mechanism chosen for this authorisation. The Commission shall publish the information notified to it in the C series of the *Official Journal of the European Union*.

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

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

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

ANNEX IIg

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

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

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

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

ANNEX IV

(List referred to in Article 22(1) of this Regulation)

The entries do not always cover the complete description of the item and the related notes in Annex I¹. Only Annex I provides for the complete description of the items.

The mention of an item in this Annex does not affect the application of the provisions concerning mass-market products in Annex I.

PART I

(possibility of National General Authorisation for intra-Community trade)

Items of stealth technology

1C001	Materials specially designed for use as absorbers of electromagnetic waves, or intrinsically conductive polymers. <i>N.B.:SEE ALSO 1C101</i>
1C101	Materials or devices for reduced observables such as radar reflectivity, ultraviolet/infrared signatures and acoustic signatures; other than those specified in 1C001, usable in 'missiles', 'missile' subsystems or unmanned aerial vehicles specified in 9A012. <i>Note:1C101 does not control materials if such goods are formulated solely for civil applications.</i> Technical Note: <i>In 1C101 'missile' means complete rocket systems and unmanned aerial vehicle systems capable of a range exceeding 300 km.</i>
1D103	'Software' specially designed for analysis of reduced observables such as radar reflectivity, ultraviolet/infrared signatures and acoustic signatures.
1E101	'Technology' according to the GTN for the 'use' of goods specified in 1C101 or 1D103.
1E102	'Technology' according to the GTN for the 'development' of 'software' specified in 1D103.
6B008	Pulse radar cross-section measurement systems having transmit pulse widths of 100 ns or less and specially designed components therefor.

¹ The differences in the wordings/scopes between Annex I and Annex IV are indicated with bold italic text.

		<i>N.B.:SEE ALSO 6B108</i>
6B108		Systems specially designed for radar cross section measurement usable for 'missiles' and their subsystems.

Items of the Community strategic control

1A007		<p>Equipment and devices, specially designed to initiate charges and devices containing energetic materials, by electrical means, as follows:</p> <p><i>N.B.:SEE ALSO MILITARY GOODS CONTROLS, 3A229 AND 3A232.</i></p> <p>a. Explosive detonator firing sets designed to drive multiple controlled detonators specified in 1A007.b. below;</p> <p>b. Electrically driven explosive detonators as follows:</p> <ul style="list-style-type: none"> • 1. Exploding bridge (EB); • 2. Exploding bridge wire (EBW); • 3. Slapper; • 4. Exploding foil initiators (EFI). <p><i>Note: 1A007.b. does not control detonators using only primary explosives, such as lead azide.</i></p>
1C239		High explosives, other than those specified in the Military Goods Controls, or substances or mixtures containing more than 2 % by weight thereof, with a crystal density greater than 1,8 g/cm ³ and having a detonation velocity greater than 8000 m/s.
1E201		'Technology' according to the General Technology Note for the 'use' of goods specified in 1C239.
3A229		High-current pulse generators, as follows ... <i>N.B.:SEE ALSO MILITARY GOODS CONTROLS</i>
3A232		Multipoint initiation systems, other than those specified in 1A007 above , as follows... <i>N.B.:SEE ALSO MILITARY GOODS CONTROLS</i>

3E201		‘Technology’ according to the General Technology Note for the ‘use’ of equipment specified in 3A228.a., 3A228.b. or 3A231.
6A001		Acoustics, limited to the following:
6A001.a.1.b.		Object detection or location systems having any of the following: 1. A transmitting frequency <i>below 5 kHz</i> ; 6. Designed to withstand ...;
6A001.a.2.a.2		Hydrophones ... Incorporating ...
6A001.a.2.a.3		Hydrophones ... Having any ...
6A001.a.2.a.6		Hydrophones ... Designed for ...
6A001.a.2.b.		Towed acoustic hydrophone arrays ...
6A001.a.2.c.		Processing equipment, specially designed for <i>real time application with</i> towed acoustic hydrophone arrays, having ‘user-accessible programmability’ and time or frequency domain processing and correlation, including spectral analysis, digital filtering and beamforming using Fast Fourier or other transforms or processes;
6A001.a.2.e.		Bottom or bay cable systems having any of the following: 1. Incorporating hydrophones ..., <i>or</i> 2. Incorporating multiplexed hydrophone group signal modules ...;
6A001.a.2.f.		Processing equipment, specially designed for <i>real time application with</i> bottom or bay cable systems, having ‘user-accessible programmability’ and time or frequency domain processing and correlation, including spectral analysis, digital filtering and beamforming using Fast Fourier or other transforms or processes;
6D003.a.		‘Software’ for the ‘real time processing’ of acoustic data;
8A002.o.3.		Noise reduction systems designed for use on vessels of 1000 tonnes displacement or more, as follows: b. Active noise reduction or cancellation systems, or magnetic bearings, specially designed for power transmission systems, and incorporating electronic control systems capable of actively reducing equipment vibration by the generation of anti-noise or anti-vibration signals directly to the source;
8E002.a.		‘Technology’ for the ‘development’, ‘production’, repair, overhaul or

		refurbishing (re-machining) of propellers specially designed for underwater noise reduction.
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Items of the Community strategic control — Cryptography — Category 5 Part 2

5A002.a.2.		Equipment designed or modified to perform 'cryptanalytic functions'. Note: 5A002.a.2. includes systems or equipment, designed or modified to perform 'cryptanalytic functions' by means of reverse engineering. Technical Note: 'Cryptanalytic functions' are functions designed to defeat cryptographic mechanisms in order to derive confidential variables or sensitive data, including clear text, passwords or cryptographic keys.
5D002.c.1		Only software having the characteristics, or performing or simulating the functions, of equipment specified in 5A002.a.2.
5E002.a.		Only 'technology' for the 'development', 'production' or 'use' of the goods specified in 5A002.a.2. or 5D002.c.1. above.

Items of the MTCR technology

7A117		'Guidance sets', usable in 'missiles' capable of achieving system accuracy of 3,33 % or less of the range (e.g., a 'CEP' of 10 km or less at a range of 300 km), <i>except</i> 'guidance sets' designed for missiles with a range under 300 km or manned aircraft.
7B001		Test, calibration or alignment equipment specially designed for equipment specified in 7A117 above. <i>Note: 7B001 does not control test, calibration or alignment equipment for Maintenance Level I or Maintenance Level II.</i>
7B003		Equipment specially designed for the 'production' of equipment specified in 7A117 above.
7B103		'Production facilities' specially designed for equipment specified in 7A117 above.
7D101		'Software' specially designed for the 'use' of equipment specified in 7B003 or 7B103 above.
7E001		'Technology' according to the General Technology Note for the 'development' of equipment or 'software' specified in 7A117, 7B003, 7B103 or 7D101 above.

7E002		‘Technology’ according to the General Technology Note for the ‘production’ of equipment specified in 7A117, 7B003 and 7B103 above .
7E101		‘Technology’ according to the General Technology Note for the ‘use’ of equipment specified in 7A117, 7B003, 7B103 and 7D101 above .
9A004		Space launch vehicles capable of delivering at least a 500 kg payload to a range of at least 300 km . <i>N.B.:SEE ALSO 9A104.</i> <i>Note 1:9A004 does not control payloads.</i>
9A005		Liquid rocket propulsion systems containing any of the systems or components specified in 9A006 usable for space launch vehicles specified in 9A004 above or sounding rockets specified in 9A104 below . <i>N.B.:SEE ALSO 9A105 and 9A119.</i>
9A007.a.		Solid rocket propulsion systems, usable for space launch vehicles specified in 9A004 above or sounding rockets specified in 9A104 below , with any of the following: <i>N.B.:SEE ALSO 9A119.</i> a. Total impulse capacity exceeding 1,1 MNs;
9A008.d.		Components, as follows, specially designed for solid rocket propulsion systems: <i>N.B.:SEE ALSO 9A108.c.</i> d. Movable nozzle or secondary fluid injection thrust vector control systems, usable for space launch vehicles specified in 9A004 above or sounding rockets specified in 9A104 below , capable of any of the following: 1. Omni-axial movement exceeding $\pm 5^\circ$; 2. Angular vector rotations of $20^\circ/\text{s}$ or more; <i>or</i> 3. Angular vector accelerations of $40^\circ/\text{s}^2$ or more.
9A104		Sounding rockets, capable of delivering at least a 500 kg payload to a range of at least 300 km . <i>N.B.:SEE ALSO 9A004.</i>
9A105.a.		Liquid propellant rocket engines, as follows:

	<p><i>N.B.:SEE ALSO 9A119.</i></p> <p>a. Liquid propellant rocket engines usable in ‘missiles’, other than those specified in 9A005, integrated, or designed or modified to be integrated, into a liquid propellant propulsion system which has a total impulse capacity equal to or greater than 1,1 MNs having a total impulse capacity equal to or greater than 1,1 MNs; <i>except liquid propellant apogee engines designed or modified for satellite applications and having all of the following:</i></p> <ol style="list-style-type: none"> <i>1. nozzle throat diameter of 20 mm or less; and</i> <i>2. combustion chamber pressure of 15 bar or less.</i>
9A106.c.	<p>Systems or components, other than those specified in 9A006, usable in ‘missiles’, as follows, specially designed for liquid rocket propulsion systems:</p> <p>c. Thrust vector control sub-systems, <i>except those designed for rocket systems that are not capable of delivering at least a 500 kg payload to a range of at least 300 km.</i></p> <p style="text-align: center;">Technical Note:</p> <p><i>Examples of methods of achieving thrust vector control specified in 9A106.c. are:</i></p> <ol style="list-style-type: none"> <i>1. Flexible nozzle;</i> <i>2. Fluid or secondary gas injection;</i> <i>3. Movable engine or nozzle;</i> <i>4. Deflection of exhaust gas stream (jet vanes or probes); or</i> <i>5. Thrust tabs.</i>
9A108.c.	<p>Components, other than those specified in 9A008, usable in ‘missiles’ as follows, specially designed for solid rocket propulsion systems:</p> <p>c. Thrust vector control sub-systems, <i>except those designed for rocket systems that are not capable of delivering at least a 500 kg payload to a range of at least 300 km.</i></p> <p style="text-align: center;">Technical Note:</p> <p><i>Examples of methods of achieving thrust vector control specified in 9A108.c. are:</i></p>

	<p>1. <i>Flexible nozzle;</i></p> <p>2. <i>Fluid or secondary gas injection;</i></p> <p>3. <i>Movable engine or nozzle;</i></p> <p>4. <i>Deflection of exhaust gas stream (jet vanes or probes); or</i></p> <p>5. <i>Thrust tabs.</i></p>
9A116	<p>Reentry vehicles, usable in ‘missiles’, and equipment designed or modified therefor, as follows, <i>except for reentry vehicles designed for non-weapon payloads:</i></p> <p>a. Reentry vehicles;</p> <p>b. Heat shields and components therefor fabricated of ceramic or ablative materials;</p> <p>c. Heat sinks and components therefor fabricated of light-weight, high heat capacity materials;</p> <p>d. Electronic equipment specially designed for reentry vehicles.</p>
9A119	<p>Individual rocket stages, usable in complete rocket systems or unmanned aerial vehicles, capable of <i>delivering at least a 500 kg payload to</i> a range of 300 km, other than those specified in 9A005 or 9A007.a. <i>above</i></p>
9B115	<p>Specially designed ‘production equipment’ for the systems, sub-systems and components specified in 9A005, 9A007.a., 9A008.d., 9A105.a., 9A106.c., 9A108.c., 9A116 or 9A119 <i>above</i>.</p>
9B116	<p>Specially designed ‘production facilities’ for the space launch vehicles specified in 9A004, or systems, sub-systems, and components specified in 9A005, 9A007.a., 9A008.d., 9A104, 9A105.a., 9A106.c., 9A108.c., 9A116 or 9A119 <i>above</i>.</p>
9D101	<p>‘Software’ specially designed for the ‘use’ of goods specified in 9B116 <i>above</i>.</p>
9E001	<p>‘Technology’ according to the General Technology Note for the ‘development’ of equipment or ‘software’ specified in 9A004, 9A005, 9A007.a., 9A008.d., 9B115, 9B116 or 9D101 <i>above</i>.</p>
9E002	<p>‘Technology’ according to the General Technology Note for the ‘production’ of equipment specified in 9A004, 9A005, 9A007.a., 9A008.d., 9B115 or 9B116 <i>above</i>.</p> <p><i>Note: For ‘technology’ for the repair of controlled structures, laminates or materials, see 1E002.f.</i></p>
9E101	<p>‘Technology’ according to the General Technology Note for the</p>

		'development' or 'production' of goods specified in 9A104, 9A105.a., 9A106.c., 9A108.c., 9A116 or 9A119 <i>above</i> .
9E102		'Technology' according to the General Technology Note for the 'use' of space launch vehicles specified in 9A004, 9A005, 9A007.a., 9A008.d., 9A104, 9A105.a., 9A106.c., 9A108.c., 9A116, 9A119, 9B115, 9B116 or 9D101 <i>above</i> .

Exemptions:

Annex IV does not control the following items of the MTCR technology:

1. that are transferred on the basis of orders pursuant to a contractual relationship placed by the European Space Agency (ESA) or that are transferred by ESA to accomplish its official tasks;
2. that are transferred on the basis of orders pursuant to a contractual relationship placed by a Member State's national space organisation or that are transferred by it to accomplish its official tasks;
3. that are transferred on the basis of orders pursuant to a contractual relationship placed in connection with a Community space launch development and production programme signed by two or more European governments;
4. that are transferred to a State-controlled space launching site in the territory of a Member State, unless that Member State controls such transfers within the terms of this Regulation.

PART II

(no National General Authorisation for intra-Community trade)

Items of the CWC (Chemical Weapons Convention)

1C351.d.4 .		Ricin
1C351.d.5 .		Saxitoxin

Items of the NSG technology

All Category 0 of Annex I is included in Annex IV, subject to the following:

- 0C001: this item is not included in Annex IV.
- 0C002: this item is not included in Annex IV, with the exception of special fissile materials as follows:
 - (a) separated plutonium;

(b) 'uranium enriched in the isotopes 235 or 233' to more than 20 %.

- 0C003 only if for use in a "nuclear reactor" (within 0A001.a)
- 0D001 (software) is included in Annex IV except insofar as it relates to 0C001 or to those items of 0C002 that are excluded from Annex IV.
- 0E001 (technology) is included in Annex IV except insofar as these related to 0C001 or to those items of 0C002 that are excluded from Annex IV.

1B226	<p>Electromagnetic isotope separators designed for, or equipped with, single or multiple ion sources capable of providing a total ion beam current of 50 mA or greater.</p> <p><i>Note: 1B226 includes separators:</i></p> <p><i>a. Capable of enriching stable isotopes;</i></p> <p><i>b. With the ion sources and collectors both in the magnetic field and those configurations in which they are external to the field.</i></p>
1C012	<p>Materials as follows:</p> <p style="text-align: center;">Technical Note:</p> <p><i>These materials are typically used for nuclear heat sources.</i></p> <p>b. 'Previously separated' neptunium-237 in any form.</p> <p><i>Note: 1C012.b. does not control shipments with a neptunium-237 content of 1 g or less.</i></p>
1B231	<p>Tritium facilities or plants, and equipment therefor, as follows:</p> <p>a. Facilities or plants for the production, recovery, extraction, concentration, or handling of tritium;</p> <p>b. Equipment for tritium facilities or plants, as follows:</p> <ol style="list-style-type: none"> 1. Hydrogen or helium refrigeration units capable of cooling to 23 K (– 250 °C) or less, with heat removal capacity greater than 150 W; 2. Hydrogen isotope storage or purification systems using metal hydrides as the storage or purification medium.
1B233	<p>Lithium isotope separation facilities or plants, and equipment therefor, as follows:</p> <p>a. Facilities or plants for the separation of lithium isotopes;</p>

	<p>b. Equipment for the separation of lithium isotopes, as follows:</p> <ol style="list-style-type: none"> 1. Packed liquid-liquid exchange columns specially designed for lithium amalgams; 2. Mercury or lithium amalgam pumps; 3. Lithium amalgam electrolysis cells; 4. Evaporators for concentrated lithium hydroxide solution.
1C233	<p>Lithium enriched in the lithium-6 (${}^6\text{Li}$) isotope to greater than its natural isotopic abundance, and products or devices containing enriched lithium, as follows: elemental lithium, alloys, compounds, mixtures containing lithium, manufactures thereof, waste or scrap of any of the foregoing.</p> <p><i>Note: 1C233 does not control thermoluminescent dosimeters.</i></p> <p style="text-align: center;">Technical Note:</p> <p><i>The natural isotopic abundance of lithium-6 is approximately 6,5 weight % (7,5 atom %).</i></p>
1C235	<p>Tritium, tritium compounds, mixtures containing tritium in which the ratio of tritium to hydrogen atoms exceeds 1 part in 1000, and products or devices containing any of the foregoing.</p> <p><i>Note: 1C235 does not control a product or device containing less than $1,48 \times 10^3 \text{ GBq}$ (40 Ci) of tritium.</i></p>
1E001	<p>‘Technology’ according to the General Technology Note for the ‘development’ or ‘production’ of equipment or materials specified in 1C012.b.</p>
1E201	<p>‘Technology’ according to the General Technology Note for the ‘use’ of goods specified in 1B226, 1B231, 1B233, 1C233 or 1C235.</p>
3A228	<p>Switching devices, as follows:</p> <p>a. Cold-cathode tubes, whether gas filled or not, operating similarly to a spark gap, having all of the following characteristics:</p> <ol style="list-style-type: none"> 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; <i>and</i> 4. Anode delay time of 10 μs or less; <p><i>Note: 3A228 includes gas krytron tubes and vacuum sprytron tubes.</i></p> <p>b. Triggered spark-gaps having both of the following characteristics:</p>

		<p>1. An anode delay time of 15 μs or less; <i>and</i></p> <p>2. Rated for a peak current of 500 A or more;</p>
3A231		<p>Neutron generator systems, including tubes, having both of the following characteristics:</p> <p>a. Designed for operation without an external vacuum system; <i>and</i></p> <p>b. Utilizing electrostatic acceleration to induce a tritium-deuterium nuclear reaction</p>
3E201		<p>‘Technology’ according to the General Technology Note for the ‘use’ of equipment specified in 3A229 or 3A232.</p>
6A203		<p>Cameras and components, other than those specified in 6A003, as follows:</p> <p>a. Mechanical rotating mirror cameras, as follows, and specially designed components therefor:</p> <ol style="list-style-type: none"> 1. Framing cameras with recording rates greater than 225000 frames per second; 2. Streak cameras with writing speeds greater than 0,5 mm per microsecond; <p><i>Note: In 6A203.a. components of such cameras include their synchronizing electronics units and rotor assemblies consisting of turbines, mirrors and bearings.</i></p>
6A225		<p>Velocity interferometers for measuring velocities exceeding 1 km/s during time intervals of less than 10 microseconds.</p> <p><i>Note: 6A225 includes velocity interferometers such as VISARs (Velocity interferometer systems for any reflector) and DLIs (Doppler laser interferometers).</i></p>
6A226		<p>Pressure sensors, as follows:</p> <p>a. Manganin gauges for pressures greater than 10 GPa;</p> <p>b. Quartz pressure transducers for pressures greater than 10 GPa.</p>

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