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# Russia Embargo Regulation - Consolidated version

Council Regulation (EU) No. 833/2014

Status: 16 March 2022

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►B **COUNCIL REGULATION (EU) No 833/2014**  
**of 31 July 2014**

[concerning restrictive measures in view of Russia's actions destabilising the situation in Ukraine](#)

(OJ L 229 31.7.2014, p. 1)

Amended by:

		Official Journal		
		No	page	date
►M1	<a href="#">COUNCIL REGULATION (EU) No 960/2014 of 8 September 2014</a>	L 271	3	12.9.2014
►M2	<a href="#">COUNCIL REGULATION (EU) No 1290/2014 of 4 December 2014</a>	L 349	20	5.12.2014
►M3	<a href="#">COUNCIL REGULATION (EU) 2015/1797 of 7 October 2015</a>	L 263	10	8.10.2015
►M4	<a href="#">COUNCIL REGULATION (EU) 2017/2212 of 30 November 2017</a>	L 316	15	1.12.2017
M5	<a href="#">COMMISSION IMPLEMENTING REGULATION (EU) 2019/1163 of 5 July 2019</a>	L 182	33	8.7.2019
►M6	<a href="#">COUNCIL REGULATION (EU) 2022/262 of 23 February 2022</a>	L 421	74	23.2.2022
►M7	<a href="#">COUNCIL REGULATION (EU) 2022/328 of 25 February 2022</a>	L 49	1	25.2.2022
►M8	<a href="#">COUNCIL REGULATION (EU) 2022/334 of 28 February 2022</a>	L 57	1	28.2.2022
►M9	<a href="#">COUNCIL REGULATION (EU) 2022/345 of 1 March 2022</a>	L 63	1	2.3.2022
►M10	<a href="#">COUNCIL REGULATION (EU) 2022/350 of 1 March 2022</a>	L 65	1	2.3.2022

- M11 [COUNCIL REGULATION \(EU\) 2022/394 of 9 March 2022](#) L 81 1 9.3.2022
- M12 [COUNCIL REGULATION \(EU\) 2022/334 of 15 March 2022](#) L 087I 13 15.3.2022

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- C1 [Corrigendum, OJ L 246, 21.8.2014, p. 59 \(833/2014\)](#)
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## COUNCIL REGULATION (EU) No 833/2014

of 31 July 2014

concerning restrictive measures in view of Russia's actions destabilising the situation in Ukraine

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### Article 1

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

- (a) 'dual-use goods and technology' means the items listed in Annex I to Regulation (EU) 2021/821 of the European Parliament and of the Council ( <sup>1</sup> );
- (b) 'competent authorities' means the competent authorities of the Member States as identified on the websites listed in Annex I;
- (c) 'technical assistance' means any technical support related to repairs, development, manufacture, assembly, testing, maintenance, or any other technical service, and may take forms such as instruction, advice, training, transmission of working knowledge or skills or consulting services, including verbal forms of assistance;
- (d) 'brokering services' means:
  - (i) the negotiation or arrangement of transactions for the purchase, sale or supply of goods and technology or of financial and technical services, including from a third country to any other third country, or
  - (ii) the selling or buying of goods and technology or of financial and technical services, including where they are located in third countries for their transfer to another third country;
- (e) 'investment services' means the following services and activities:
  - (i) reception and transmission of orders in relation to one or more financial instruments;

- (ii) execution of orders on behalf of clients;
- (iii) dealing on own account;
- (iv) portfolio management;
- (v) investment advice;
- (vi) underwriting of financial instruments and/or placing of financial instruments on a firm commitment basis;
- (vii) placing of financial instruments without a firm commitment basis;
- (viii) any service in relation to the admission to trading on a regulated market or trading on a multilateral trading facility;

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(f) 'transferable securities' means the following classes of securities, including in the form of crypto-assets, which are negotiable on the capital market, with the exception of instruments of payment:

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- (i) shares in companies and other securities equivalent to shares in companies, partnerships or other entities, and depositary receipts in respect of shares,
  - (ii) bonds or other forms of securitised debt, including depositary receipts in respect of such securities,
  - (iii) any other securities giving the right to acquire or sell any such transferable securities or giving rise to a cash settlement determined by reference to transferable securities;
- (g) 'money-market instruments' means those classes of instruments which are normally dealt in on the money market, such as treasury bills, certificates of deposit and commercial papers and excluding instruments of payment;
- (h) 'credit institution' means an undertaking, the business of which is to take deposits or other repayable funds from the public and to grant credit for its own account;
- (i) 'territory of the Union' means the territories of the Member States to which the Treaty is applicable, under the conditions laid down in the Treaty, including their airspace;
- (j) 'central securities depository' means a legal person as defined in point 1 of Article 2(1) of Regulation (EU) No 909/2014 of the European Parliament and of the Council ( <sup>2</sup> );
- (k) 'deposit' means a credit balance which results from funds left in an account or from temporary situations deriving from normal banking transactions and which a credit institution is required to repay under the legal and contractual conditions applicable, including a fixed-term deposit and a savings deposit, but excluding a credit balance where:
- (i) its existence can only be proven by a financial instrument as defined in Article 4(1)(15) of Directive 2014/65/EU of the European Parliament and of the Council ( <sup>3</sup> ), unless it is a savings product which is evidenced by a certificate of deposit made out to a named person and which exists in a Member State on 2 July 2014;

- (ii) its principal is not repayable at par;
- (iii) its principal is only repayable at par under a particular guarantee or agreement provided by the credit institution or a third party;
- (l) 'investor citizenship schemes' (or 'golden passports') means the procedures put in place by a Member State, which allow third-country nationals to acquire its nationality in exchange for pre-determined payments and investments;
- (m) 'investor residence schemes' (or 'golden visas') means the procedures put in place by a Member State, which allow third-country nationals to obtain a residence permit in a Member State in exchange for pre-determined payments and investments;
- (n) 'trading venue', as defined in Article 4(1)(24) of Directive 2014/65/EU, means a regulated market, a multilateral trading facility (MTF) or an organised trading facility (OTF);
- (o) 'financing or financial assistance' means any action, irrespective of the particular means chosen, whereby the person, entity or body concerned, conditionally or unconditionally, disburses or commits to disburse its own funds or economic resources, including but not limited to grants, loans, guarantees, suretyships, bonds, letters of credit, supplier credits, buyer credits, import or export advances and all types of insurance and reinsurance, including export credit insurance; payment as well as terms and conditions of payment of the agreed price for a good or a service, made in line with normal business practice, do not constitute financing or financial assistance;
- (p) 'partner country' means a country applying a set of export control measures substantially equivalent to those set out in this Regulation, as identified in Annex VIII;
- (q) 'consumer communication devices' means devices used by private individuals such as personal computers and peripherals (including hard drives and printers), mobile telephones, smart televisions, memory devices (USB drives), and consumer software for all of these items;

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- (r) 'Russian air carrier' means an air transport undertaking holding a valid operating licence or equivalent issued by the competent authorities of the Russian Federation.

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- (s) 'credit rating' means an opinion regarding the creditworthiness of an entity, a debt or financial obligation, debt security, preferred share or other financial instrument, or of an issuer of such a debt or financial obligation, debt security, preferred share or other financial instrument, issued using an established and defined ranking system of rating categories;
- (t) 'credit rating activities' means data and information analysis and the evaluation, approval, issuing and review of credit ratings.

- (u) 'energy sector' means a sector covering the following activities with the exception of civil nuclear related activities:
  - (i) the exploration, production, distribution within Russia or mining of crude oil, natural gas or solid fossil fuels, the refining of fuels, the liquefaction of natural gas or regasification;
  - (ii) the manufacture or distribution within Russia of solid fossil fuel products, refined petroleum products or gas; or
  - (iii) the construction of facilities or installation of equipment for, or the provision of services, equipment or technology for, activities related to power generation or electricity production.'

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### Article 2

1. It shall be prohibited to sell, supply, transfer or export, directly or indirectly, dual-use goods and technology, whether or not originating in the Union, to any natural or legal person, entity or body in Russia or for use in Russia.
2. It shall be prohibited to:
  - (a) provide technical assistance, brokering services or other services related to the goods and technology referred to in paragraph 1 and to the provision, manufacture, maintenance and use of those goods and technology, directly or indirectly to any natural or legal person, entity or body in Russia or for use in Russia;
  - (b) provide financing or financial assistance related to the goods and technology referred to in paragraph 1 for any sale, supply, transfer or export of those goods and technology, or for the provision of related technical assistance, brokering services or other services, directly or indirectly to any natural or legal person, entity or body in Russia, or for use in Russia.
3. Without prejudice to the authorisation requirements pursuant to Regulation (EU) 2021/821, the prohibitions in paragraphs 1 and 2 of this Article shall not apply to the sale, supply, transfer or export of dual-use goods and technology or to the related provision of technical and financial assistance, for non-military use and for a non-military end user, intended for:
  - (a) humanitarian purposes, health emergencies, the urgent prevention or mitigation of an event likely to have a serious and significant impact on human health and safety or the environment or as a response to natural disasters;
  - (b) medical or pharmaceutical purposes;
  - (c) temporary export of items for use by news media;
  - (d) software updates;
  - (e) use as consumer communication devices;
  - (f) ensuring cyber-security and information security for natural and legal persons, entities and bodies in Russia except for its government and undertakings directly or indirectly controlled by that government; or

- (g) personal use of natural persons travelling to Russia or members of their immediate families travelling with them, and limited to personal effects, household effects, vehicles or tools of trade owned by those individuals and not intended for sale.

With the exception of points (f) and (g) of this paragraph, the exporter shall declare in the customs declaration that the items are being exported under the relevant exception set out in this paragraph and shall notify the competent authority of the Member State where the exporter is resident or established of the first use of the relevant exception within 30 days from the date when the first export took place.

4. By way of derogation from paragraphs 1 and 2 of this Article, and without prejudice to the authorisation requirements pursuant to Regulation (EU) 2021/821, the competent authorities may authorise the sale, supply, transfer or export of dual-use goods and technology or the provision of related technical or financial assistance, for non-military use and for a non-military end user, after having determined that such goods or technology or the related technical or financial assistance are:

- (a) intended for cooperation between the Union, the governments of Member States and the government of Russia in purely civilian matters;
- (b) intended for intergovernmental cooperation in space programmes;
- (c) intended for the operation, maintenance, fuel retreatment and safety of civil nuclear capabilities, as well as civil nuclear cooperation, in particular in the field of research and development;
- (d) intended for maritime safety;
- (e) intended for civilian telecommunications networks, including the provision of internet services;
- (f) intended for the exclusive use of entities owned, or solely or jointly controlled by a legal person, entity or body which is incorporated or constituted under the law of a Member State or of a partner country;
- (g) intended for the diplomatic representations of the Union, Member States and partner countries, including delegations, embassies and missions.

5. By way of derogation from paragraphs 1 and 2 of this Article, and without prejudice to the authorisation requirements pursuant to Regulation (EU) 2021/821, the competent authorities may authorise the sale, supply, transfer or export of dual-use goods and technology or the provision of related technical or financial assistance, for non-military use and for a non-military end-user, after having determined that such goods or technology or the related technical or financial assistance are due under contracts concluded before 26 February 2022, or ancillary contracts necessary for the execution of such a contract, provided that the authorisation is requested before 1 May 2022.

6. All authorisations required under this Article shall be granted by the competent authorities in accordance with the rules and procedures laid down in Regulation (EU) 2021/821, which shall apply *mutatis mutandis*. The authorisation shall be valid throughout the Union.



7. When deciding on requests for authorisations referred to in paragraphs 4 and 5, the competent authorities shall not grant an authorisation if they have reasonable grounds to believe that:

- (i) the end-user might be a military end-user, a natural or legal person, entity or body in Annex IV or that the goods might have a military end-use; or
- (ii) the sale, supply, transfer or export of goods and technology referred to in paragraph 1 or the provision of related technical or financial assistance is intended for aviation or the space industry.

#### ▼M12

- (iii) the sale, supply, transfer or export of goods and technology referred to in paragraph 1 or the provision of related technical or financial assistance is intended for the energy sector, unless such a sale, supply, transfer or export or the related technical or financial assistance is allowed under the exceptions referred to in paragraphs 3 to 6 of Article 3.

#### ▼M7

8. The competent authorities may annul, suspend, modify or revoke an authorisation which they have granted pursuant to paragraphs 4 and 5 if they deem that such annulment, suspension, modification or revocation is necessary for the effective implementation of this Regulation.

#### Article 2a

1. It shall be prohibited to sell, supply, transfer or export, directly or indirectly, goods and technology which might contribute to Russia's military and technological enhancement, or the development of the defence and security sector, as listed in Annex VII, whether or not originating in the Union, to any natural or legal person, entity or body in Russia or for use in Russia.

2. It shall be prohibited to:

- (a) provide technical assistance, brokering services or other services related to the goods and technology referred to in paragraph 1 and to the provision, manufacture, maintenance and use of these goods and technology, directly or indirectly to any natural or legal person, entity or body in Russia, or for use in Russia;
- (b) provide financing or financial assistance related to the goods and technology referred to in paragraph 1 for any sale, supply, transfer or export of those goods and technology, or for the provision of related technical assistance, brokering services or other services, directly or indirectly to any natural or legal person, entity or body in Russia, or for use in Russia.

3. The prohibitions in paragraphs 1 and 2 shall not apply to the sale, supply, transfer or export of the goods and technology referred to in paragraph 1 or to the related provision of technical and financial assistance, for non-military use and for a non-military end-user, intended for:

- (a) humanitarian purposes, health emergencies, the urgent prevention or mitigation of an event likely to have a serious and significant impact on human health and safety or the environment, or as a response to natural disasters;
- (b) medical or pharmaceutical purposes;
- (c) temporary export of items for use by news media;
- (d) software updates;
- (e) use as consumer communication devices;
- (f) ensuring cyber-security and information security for natural and legal persons, entities and bodies in Russia except for its government and undertakings directly or indirectly controlled by that government; or
- (g) personal use of natural persons travelling to Russia or members of their immediate families travelling with them, and limited to personal effects, household effects, vehicles or tools of trade owned by those individuals and not intended for sale.

With the exception of points (f) and (g) of this paragraph, the exporter shall declare in the customs declaration that the items are being exported under the relevant exception set out in this paragraph and shall notify the competent authority of the Member State where the exporter is resident or established of the first use of the relevant exception within 30 days from the date when the first export took place.

4. By way of derogation from paragraphs 1 and 2, the competent authorities may authorise the sale, supply, transfer or export of the goods and technology referred to in paragraph 1 or the provision of related technical or financial assistance, for non-military use and for a non-military end-user, after having determined that such goods or technology or the related technical or financial assistance are:

- (a) intended for cooperation between the Union, the governments of Member States and the government of Russia in purely civilian matters;
- (b) intended for intergovernmental cooperation in space programmes;
- (c) intended for the operation, maintenance, fuel retreatment and safety of civil nuclear capabilities, as well as civil nuclear cooperation, in particular in the field of research and development;
- (d) intended for maritime safety;
- (e) intended for civilian telecommunications networks, including the provision of internet services;
- (f) intended for the exclusive use of entities owned, or solely or jointly controlled by a legal person, entity or body which is incorporated or constituted under the law of a Member State or of a partner country; or
- (g) intended for the diplomatic representations of the Union, Member States and partner countries, including delegations, embassies and missions.

5. By way of derogation from paragraphs 1 and 2, the competent authorities may authorise the sale, supply, transfer or export of the goods and technology referred to in paragraph 1 or the provision of related technical or financial assistance, for non-military use and for a non-military end-user, after having determined that such goods or technology or the related technical or financial assistance are due under contracts concluded before 26 February 2022, or ancillary contracts necessary for the execution of such a contract, provided that the authorisation is requested before 1 May 2022.

6. All authorisations required under this Article shall be granted by the competent authorities in accordance with the rules and procedures laid down in Regulation (EU) 2021/821, which shall apply *mutatis mutandis*. The authorisation shall be valid throughout the Union.

7. When deciding on requests for authorisations referred to in paragraphs 4 and 5, the competent authorities shall not grant an authorisation if they have reasonable grounds to believe that:

- (i) the end-user might be a military end-user, a natural or legal person, entity or body listed in Annex IV or that the goods might have a military end-use; or
- (ii) the sale, supply, transfer or export of goods and technology referred to in paragraph 1 or the provision of related technical or financial assistance is intended for aviation or the space industry.

#### ▼M12

- (iii) the sale, supply, transfer or export of goods and technology referred to in paragraph 1 or the provision of related technical or financial assistance is intended for the energy sector, unless such a sale, supply, transfer or export or the related technical or financial assistance is allowed under the exceptions referred to in paragraphs 3 to 6 of Article 3.

#### ▼M7

8. The competent authorities may annul, suspend, modify or revoke an authorisation which they have granted pursuant to paragraphs 4 and 5 if they deem that such annulment, suspension, modification or revocation is necessary for the effective implementation of this Regulation.

### Article 2b

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1. With regard to the natural or legal persons, entities or bodies listed in Annex IV, by way of derogation from Article 2(1) and (2) and Article 2a(1) and (2), and without prejudice to the authorisation requirements pursuant to Regulation (EU) 2021/821, the competent authorities may only authorise the sale, supply, transfer or export of dual use goods and technology, and goods and technology listed in Annex VII, or the provision of related technical or financial assistance after having determined that:

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- (a) such goods or technology or the related technical or financial assistance are necessary for the urgent prevention or mitigation of an event likely to have a serious and significant impact on human health and safety or the environment; or
- (b) such goods or technology or the related technical or financial assistance are due under contracts concluded before 26 February 2022, or ancillary contracts necessary for the execution of such a contract, provided that the authorisation is requested before 1 May 2022.

2. All authorisations required under this Article shall be granted by the competent authorities of the Member State in accordance with the rules and procedures laid down in Regulation (EU) 2021/821, which shall apply *mutatis mutandis*. The authorisation shall be valid throughout the Union.

3. The competent authorities may annul, suspend, modify or revoke an authorisation which they have granted pursuant to paragraph 1 if they deem that such annulment, suspension, modification or revocation is necessary for the effective implementation of this Regulation.

#### Article 2c

1. The notification to the competent authority referred to in Articles 2(3) and 2a(3) shall be submitted by electronic means, whenever possible, on forms containing at least all the elements of, and in the order provided for in, the models set out in Annex IX.

2. All authorisations referred to in Articles 2, 2a and 2b shall be issued by electronic means, whenever possible, on forms containing at least all the elements of, and in the order provided for in, the models set out in Annex IX.

#### Article 2d

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1. The competent authorities shall exchange information on authorisations granted and denials issued pursuant to Articles 2, 2a and 2b with the other Member States and the Commission. The exchange of information shall be carried out using the electronic system provided pursuant to Article 23(6) of Regulation (EU) 2021/821.

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2. Information received as a result of the application of this Article shall be used only for the purpose for which it was requested, including the exchanges mentioned in paragraph 4.

Member States and the Commission shall ensure the protection of confidential information acquired in application of this Article in accordance with Union law and the respective national law.

Member States and the Commission shall ensure that classified information provided or exchanged under this Article is not downgraded or declassified without the prior written consent of the originator.

3. Before a Member State grants an authorisation in accordance with Articles 2, 2a and 2b for a transaction which is essentially identical to a transaction which is the subject of a still valid denial issued by another Member State or by other Member States, it shall first consult the Member State or Member States which issued the denial. If, following such consultations, the Member State concerned decides to grant an authorisation, it shall inform the other Member States and the Commission thereof, providing all relevant information to explain the decision.

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3a. When a Member State grants an authorisation in accordance with Articles 2(4)(d), 2a(4)(d) and 3f(4) for the sale, supply, transfer or export of the goods and technology intended for maritime safety, it shall inform the other Member States and the Commission within two weeks of the authorisation.

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4. The Commission, in consultation with the Member States shall, where appropriate and on the basis of reciprocity, exchange information with partner countries, with a view to supporting the effectiveness of export control measures under this Regulation and the consistent application of export control measures applied by partner countries.

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### Article 2e

1. It shall be prohibited to provide public financing or financial assistance for trade with, or investment in, Russia.

2. The prohibition in paragraph 1 shall not apply to:

(a) binding financing or financial assistance commitments established prior to 26 February 2022;

#### ▼M11

(b) the provision of public financing or financial assistance up to the total value of 10 000 000 EUR per project benefiting small and medium-sized enterprises established in the Union; or

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(c) the provision of public financing or financial assistance for trade in food, and for agricultural, medical or humanitarian purposes.

#### ▼M9

3. It shall be prohibited to invest, participate or otherwise contribute to projects co-financed by the Russian Direct Investment Fund.

4. By way of derogation from paragraph 3, the competent authorities may authorise, under such conditions as they deem appropriate, an investment participation in, or contribution to, projects co-financed by the Russian Direct Investment Fund, after having determined that such an investment participation or contribution is due under contracts concluded before 2 March 2022 or ancillary contracts necessary for the execution of such contracts.

#### ▼M10

#### Article 2f

1. It shall be prohibited for operators to broadcast or to enable, facilitate or otherwise contribute to broadcast, any content by the legal persons, entities or bodies listed in Annex XV, including through transmission or distribution by any means such as cable, satellite, IP-TV, internet service providers, internet video-sharing platforms or applications, whether new or pre-installed.

2. Any broadcasting licence or authorisation, transmission and distribution arrangement with the legal persons, entities or bodies listed in Annex XV shall be suspended.

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#### Article 3

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1. It shall be prohibited to sell, supply, transfer or export, directly or indirectly, goods or technology, as listed in Annex II, whether or not originating in the Union, to any natural or legal person, entity or body in Russia, including its Exclusive Economic Zone and Continental Shelf, or for use in Russia, including its Exclusive Economic Zone and Continental Shelf.

2. It shall be prohibited to:

- (a) provide technical assistance, brokering services or other services related to the goods and technology referred to in paragraph 1 and to the provision, manufacture, maintenance and use of those goods and technology, directly or indirectly to any natural or legal person, entity or body in Russia, or for use in Russia;
- (b) provide financing or financial assistance related to the goods and technology referred to in paragraph 1 for any sale, supply, transfer or export of those goods and technology, or for the provision of related technical assistance, brokering services or other services, directly or indirectly to any natural or legal person, entity or body in Russia, or for use in Russia.

3. The prohibitions in paragraphs 1 and 2 shall not apply to the sale, supply, transfer or export of goods or technology, or to the provision of technical or financial assistance, necessary for:

- (a) the transport of fossil fuels, in particular coal, oil and natural gas, from or through Russia into the Union; or
  - (b) the urgent prevention or mitigation of an event likely to have a serious and significant impact on human health and safety or the environment.
4. The prohibitions in paragraphs 1 and 2 shall not apply to the execution until 17 September 2022 of an obligation arising from a contract concluded before 16 March 2022, or ancillary contracts necessary for the execution of such a contract, provided that the competent authority has been informed at least five working days in advance.
5. The prohibitions in paragraph 2 shall not apply to the provision of insurance or reinsurance to any legal person, entity or body that is incorporated or constituted under the law of a Member State with regard to its activities outside the energy sector in Russia.
6. By way of derogation from paragraphs 1 and 2, the competent authorities may authorise, under such conditions as they deem appropriate, the sale, supply, transfer or export and the provision of technical or financial assistance, after having determined that:
- (a) it is necessary for ensuring critical energy supply within the Union; or
  - (b) it is intended for the exclusive use of entities owned, or solely or jointly controlled by a legal person, entity or body which is incorporated or constituted under the law of a Member State.
7. The Member State or Member States concerned shall inform the other Member States and the Commission of any authorisation granted under paragraph 6 within two weeks of the authorisation.

### Article 3a

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1. It shall be prohibited to:
- (a) acquire any new or extend any existing participation in any legal person, entity or body incorporated or constituted under the law of Russia or any other third country and operating in the energy sector in Russia;
  - (b) grant or be part of any arrangement to grant any new loan or credit or otherwise provide financing, including equity capital, to any legal person, entity or body incorporated or constituted under the law of Russia or any other third country and operating in the energy sector in Russia, or for the documented purpose of financing such a legal person, entity or body;
  - (c) create any new joint venture with any legal person, entity or body incorporated or constituted under the law of Russia or any other third country and operating in the energy sector in Russia;

(d) provide investment services directly related to the activities referred to in points (a), (b) and (c).

2. By way of derogation from paragraph 1, the competent authorities may authorise, under such conditions as they deem appropriate, any activity referred to in paragraph 1 after having determined that:

(a) it is necessary for ensuring critical energy supply within the Union, as well as the transport of fossil fuels, in particular coal, oil and natural gas, from or through Russia into the Union; or

(b) it exclusively concerns a legal person, entity or body operating in the energy sector in Russia owned by a legal person, entity or body which is incorporated or constituted under the law of a Member State.

3. The Member State or Member States concerned shall inform the other Member States and the Commission of any authorisation granted under paragraph 2 within two weeks of the authorisation.

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#### Article 3b

1. It shall be prohibited to sell, supply, transfer or export, directly or indirectly, goods and technology suited for use in oil refining, as listed in Annex X, whether or not originating in the Union, to any natural or legal person, entity or body in Russia or for use in Russia.

2. It shall be prohibited to:

(a) provide technical assistance, brokering services or other services related to the goods and technology referred to in paragraph 1 and to the provision, manufacture, maintenance and use of those goods and technology, directly or indirectly to any natural or legal person, entity or body in Russia or for use in Russia.

(b) provide financing or financial assistance related to the goods and technology referred to in paragraph 1 for any sale, supply, transfer or export of those goods and technology, or for the provision of related technical assistance, brokering services or other services, directly or indirectly to any person, entity or body in Russia or for use in Russia.

3. The prohibitions in paragraphs 1 and 2 shall not apply to the execution until 27 May 2022 of contracts concluded before 26 February 2022, or ancillary contracts necessary for the execution of such contracts.

4. By way of derogation from paragraphs 1 and 2, the competent authorities may authorise, under such conditions as they deem appropriate, the sale, supply, transfer or export of the goods and technology listed in Annex X or the provision of related technical or financial assistance, after having determined that such goods or technology or the provision of related technical or financial assistance are necessary for the urgent prevention or mitigation of an event likely to have a serious and significant impact on human health and safety or the environment.



In duly justified cases of emergency, the sale, supply, transfer or export may proceed without prior authorisation, provided that the exporter notifies the competent authority within five working days after the sale, supply, transfer or export has taken place, providing detail about the relevant justification for the sale, supply, transfer or export without prior authorisation.

#### Article 3c

1. It shall be prohibited to sell, supply, transfer or export, directly or indirectly, goods and technology suited for use in aviation or the space industry, as listed in Annex XI, whether or not originating in the Union, to any natural or legal person, entity or body in Russia or for use in Russia.
2. It shall be prohibited to provide insurance and reinsurance, directly or indirectly, in relation to goods and technology listed in Annex XI to any person, entity or body in Russia or for use in Russia.
3. It shall be prohibited to provide any one or any combination of the following activities: overhaul, repair, inspection, replacement, modification or defect rectification of an aircraft or component, with the exception of pre-flight inspection, in relation to the goods and technology listed in Annex XI, directly or indirectly, to any natural or legal person, entity or body in Russia or for use in Russia.
4. It shall be prohibited to:
  - (a) provide technical assistance, brokering services or other services related to the goods and technology referred to in paragraph 1 and to the provision, manufacture, maintenance and use of those goods and technology, directly or indirectly to any natural or legal person, entity or body in Russia or for use in Russia.
  - (b) provide financing or financial assistance related to the goods and technology referred to in paragraph 1 for any sale, supply, transfer or export of those goods and technology, or for the provision of related technical assistance, brokering services or other services, directly or indirectly to any natural or legal person, entity or body in Russia or for use in Russia.
5. With regard to the goods listed in Annex XI, the prohibitions in paragraphs 1 and 4 shall not apply to the execution until 28 March 2022 of contracts concluded before 26 February 2022, or ancillary contracts necessary for the execution of such contracts.

#### ▼M8

#### Article 3d

1. It shall be prohibited for any aircraft operated by Russian air carriers, including as a marketing carrier in code-sharing or blocked-space arrangements, or for any Russian registered aircraft, or for any non-Russian-registered aircraft which is owned or chartered, or otherwise controlled by any Russian natural or legal person, entity or body, to land in, take off from or overfly the territory of the Union.
2. Paragraph 1 shall not apply in the case of an emergency landing or an emergency overflight.

3. By way of derogation from paragraph 1, the competent authorities may authorise an aircraft to land in, take off from, or overfly, the territory of the Union if the competent authorities have determined that such landing, take-off or overflight is required for humanitarian purposes or for any other purpose consistent with the objectives of this Regulation.

4. The Member State or Member States concerned shall inform the other Member States and the Commission of any authorisation granted under paragraph 3 within two weeks of the authorisation.

#### Article 3e

##### ▼M12

1. The Network Manager for air traffic management network functions of the single European sky shall support the Commission and the Member States in ensuring the implementation of, and compliance with, Article 3d. The Network Manager shall, in particular, reject all flight plans filed by aircraft operators indicating an intent to carry out activities over the territory of the Union that constitute a violation of this Regulation, such that the pilot is not permitted to fly.

##### ▼M8

2. The Network Manager shall regularly supply to the Commission and the Member States, based on the analysis of flight plans, reports on the implementation of Article 3d.

##### ▼M11

#### Article 3f

1. It shall be prohibited to sell, supply, transfer or export, directly or indirectly, maritime navigation goods and technology, as listed in Annex XVI, whether or not originating in the Union, to any natural or legal person, entity or body in Russia, for use in Russia, or for the placing on board of a Russian-flagged vessel.

2. It shall be prohibited to:

- (a) provide technical assistance, brokering services or other services related to the goods and technology referred to in paragraph 1 and to the provision, manufacture, maintenance and use of those goods and technology, directly or indirectly to any natural or legal person, entity or body in Russia or for use in Russia.
- (b) provide financing or financial assistance related to the goods and technology referred to in paragraph 1 for any sale, supply, transfer or export of those goods and technology, or for the provision of related technical assistance, brokering services or other services, directly or indirectly to any natural or legal person, entity or body in Russia or for use in Russia.

3. The prohibitions in paragraphs 1 and 2 shall not apply to the sale, supply, transfer or export of the goods and technology referred to in paragraph 1 or to the related provision of technical and

financial assistance, for non-military use and for a non-military end-user, intended for humanitarian purposes, health emergencies, the urgent prevention or mitigation of an event likely to have a serious and significant impact on human health and safety or the environment, or as a response to natural disasters.

4. By way of derogation from paragraphs 1 and 2, the competent authorities may authorise the sale, supply, transfer or export of the goods and technology referred to in paragraph 1 or the provision of related technical or financial assistance, for non-military use and for a non-military end-user, after having determined that such goods or technology or the related technical or financial assistance are intended for maritime safety.

#### ▼M12

### Article 3g

1. It shall be prohibited:

- (a) to import, directly or indirectly, iron and steel products as listed in Annex XVII into the Union if they:
  - (i) originate in Russia; or
  - (ii) have been exported from Russia;
- (b) to purchase, directly or indirectly, iron and steel products as listed in Annex XVII which are located or which originated in Russia;
- (c) to transport iron and steel products as listed in Annex XVII if they originated in Russia or are being exported from Russia to any other country;
- (d) to provide, directly or indirectly, technical assistance, brokering services, financing or financial assistance, including financial derivatives, as well as insurance and re-insurance, related to the prohibitions in points (a), (b) and (c).

2. The prohibitions in paragraph 1 shall not apply to the execution until 17 June 2022 of contracts concluded before 16 March 2022, or ancillary contracts necessary for the execution of such contracts.

### Article 3h

1. It shall be prohibited to sell, supply, transfer or export, directly or indirectly, luxury goods as listed in Annex XVIII, to any natural or legal person, entity or body in Russia or for use in Russia.

2. The prohibition referred to in paragraph 1 shall apply to luxury goods listed in Annex XVIII insofar as their value exceeds EUR 300 per item unless otherwise specified in the Annex.

3. The prohibition referred to in paragraph 1 shall not apply to goods which are necessary for the official purposes of diplomatic or consular missions of Member States or partner countries in Russia

or of international organisations enjoying immunities in accordance with international law, or to the personal effects of their staff.

## ▼B

### Article 4

1. It shall be prohibited:

- (a) to provide, directly or indirectly, technical assistance related to the goods and technology listed in the Common Military List (<sup>5</sup>), or related to the provision, manufacture, maintenance and use of goods included in that list, to any natural or legal person, entity or body in Russia or for use in Russia;

## ▼M1

- (b) to provide, directly or indirectly, financing or financial assistance related to the goods and technology listed in the Common Military List, including in particular grants, loans and export credit insurance or guarantee, as well as insurance and reinsurance for any sale, supply, transfer or export of such items, or for any provision of related technical assistance, to any natural or legal person, entity or body in Russia or for use in Russia;

## ▼B

- (c) to provide, directly or indirectly, technical assistance or brokering services related to dual-use goods and technology, or related to the provision, manufacture, maintenance and use of such goods or technology, to any natural or legal person, entity or body in Russia or for use in Russia, if the items are or may be intended, in their entirety or in part, for military use or for a military end-user;
- (d) to provide, directly or indirectly, financing or financial assistance related to the dual-use goods and technology, including in particular grants, loans and export credit insurance, for any sale, supply, transfer or export of such items, or for any provision of related technical assistance to any natural or legal person, entity or body in Russia or for use in Russia, if the items are or may be intended, in their entirety or in part, for military use or for a military end-user.

## ▼M2

2. The prohibitions in paragraph 1 shall be without prejudice to the execution of contracts concluded before 1 August 2014, or ancillary contracts necessary for the execution of such contracts, and to the provision of assistance necessary for the maintenance and safety of existing capabilities within the ►M7 Union ◀ .

## ▼M3

2a. The prohibitions in points (a) and (b) of paragraph 1 shall not apply to the provision, directly or indirectly, of technical assistance, financing or financial assistance, related to the following operations:

- (a) the sale, supply, transfer or export and to the import, purchase or transport of Hydrazine (CAS 302-01-2) in concentrations of 70 per cent or more, provided that that technical assistance, financing or financial assistance refers to an amount of Hydrazine calculated in accordance with the launch or launches or the satellites for which it is made, and which does not exceed a total quantity of 800 kg for each individual launch or satellite;
- (b) the import, purchase or transport of Unsymmetrical dimethyl hydrazine (CAS 57-14-7);
- (c) the sale, supply, transfer or export and to the import, purchase or transport of monomethyl hydrazine (CAS60-34-4), provided that that technical assistance, financing or financial assistance refers to an amount of Monomethyl Hydrazine calculated in accordance with the launch or launches or the satellites for which it is made,

insofar as the substances mentioned in points (a), (b) and (c) of this paragraph are destined for the use of launchers operated by European launch service providers, for the use of launches of European space programmes, or for the fuelling of satellites by European satellites manufacturers.

#### ▼M4

2aa. The prohibitions in points (a) and (b) of paragraph 1 shall not apply to the provision, directly or indirectly, of technical assistance, financing or financial assistance related to the sale, supply, transfer or export and the import, purchase or transport of hydrazine (CAS 302-01-2) in concentrations of 70 % or more, provided that that technical assistance, financing or financial assistance refers to hydrazine destined for:

- (a) the tests and flight of the ExoMars descent module in the framework of the ExoMars 2020 mission, in an amount calculated in accordance with the needs of each phase of that mission, which does not exceed a total of 5 000 kg for the entire duration of the mission;  
or
- (b) the flight of the ExoMars carrier module in the framework of the ExoMars 2020 mission, in an amount calculated in accordance with the needs of the flight, which does not exceed a total of 300 kg.

#### ▼M4

2b. The provision, directly or indirectly, of technical assistance, financing or financial assistance, related to the operations referred to in paragraphs 2a and 2aa shall be subject to prior authorisation by the competent authorities.

Applicants for authorisation shall supply the competent authorities with all relevant information required.

The competent authorities shall inform the Commission of all the authorisations granted.

#### ▼M2

3. The provision of the following shall be subject to an authorisation from the competent authority concerned:

- (a) technical assistance or brokering services related to items listed in Annex II and to the provision, manufacture, maintenance and use of those items, directly or indirectly, to any natural or legal person, entity or body in Russia, including its Exclusive Economic Zone and Continental Shelf or, if such assistance concerns items for use in Russia, including its Exclusive Economic Zone and Continental Shelf, to any person, entity or body in any other State;
- (b) financing or financial assistance related to items referred to in Annex II, including in particular grants, loans and export credit insurance, for any sale, supply, transfer or export of those items, or for any provision of related technical assistance, directly or indirectly, to any natural or legal person, entity or body in Russia, including its Exclusive Economic Zone and Continental Shelf or, if such assistance concerns items for use in Russia, including its Exclusive Economic Zone and Continental Shelf, to any person, entity or body in any other State.

In duly justified cases of emergency referred to in Article 3(5), the provision of services referred to in this paragraph may proceed without prior authorisation, on condition that the provider notifies the competent authority within five working days after the provision of services.

#### ▼C1

4. Where authorisations are requested pursuant to paragraph 3 of this Article, Article 3, and in particular paragraphs 2 and 5 thereof, shall apply *mutatis mutandis*.

#### ▼M7

### Article 5

1. It shall be prohibited to directly or indirectly purchase, sell, provide investment services for or assistance in the issuance of, or otherwise deal with transferable securities and money-market instruments with a maturity exceeding 90 days, issued after 1 August 2014 to 12 September 2014, or with a maturity exceeding 30 days, issued after 12 September 2014 to 12 April 2022 or any transferable securities and money market instruments issued after 12 April 2022 by:

- (a) a major credit institution, or other major institution having an explicit mandate to promote competitiveness of the Russian economy, its diversification and encouragement of investment, established in Russia with over 50 % public ownership or control as of 1 August 2014, as listed in Annex III; or
- (b) a legal person, entity or body established outside the Union whose proprietary rights are directly or indirectly owned for more than 50 % by an entity listed in Annex III; or
- (c) a legal person, entity or body acting on behalf or at the direction of an entity referred to in point (b) of this paragraph or listed in Annex III.

2. It shall be prohibited to directly or indirectly, purchase, sell, provide investment services for or assistance in the issuance of, or otherwise deal with transferable securities and money-market instruments issued after 12 April 2022 by:

- (a) any major credit institution, or other institution with over 50 % public ownership or control as of 26 February 2022 or any other credit institution having a significant role in supporting the activities of Russia, its government or the Central Bank and established in Russia, as listed in Annex XII; or
- (b) a legal person, entity or body established outside the Union whose proprietary rights are directly or indirectly owned for more than 50 % by an entity listed in Annex XII; or
- (c) a legal person, entity or body acting on behalf or at the direction of an entity referred to in point (a) or (b) of this paragraph.

3. It shall be prohibited to directly or indirectly purchase, sell, provide investment services for or assistance in the issuance of, or otherwise deal with transferable securities and money-market instruments with a maturity exceeding 30 days, issued after 12 September 2014 to 12 April 2022 or any transferable securities and money market instruments issued after 12 April 2022 by:

- (a) a legal person, entity or body established in Russia predominantly engaged, and with major activities, in the conception, production, sales or export of military equipment or services, as listed in Annex V, except legal persons, entities or bodies active in the space or the nuclear energy sectors;
- (b) a legal person, entity or body established in Russia, which is publicly controlled or with over 50 % public ownership and having estimated total assets of over RUB 1 trillion and whose estimated revenues originate for at least 50 % from the sale or transportation of crude oil or petroleum products, as listed in Annex VI;
- (c) a legal person, entity or body established outside the Union whose proprietary rights are directly or indirectly owned for more than 50 % by an entity listed in point (a) or (b) of this paragraph; or
- (d) a legal person, entity or body acting on behalf or at the direction of an entity referred to in point (a), (b) or (c) of this paragraph.

4. It shall be prohibited to directly or indirectly purchase, sell, provide investment services for or assistance in the issuance of, or otherwise deal with transferable securities and money-market instruments, issued after 12 April 2022 by:

- (a) a legal person, entity or body established in Russia, which is publicly controlled or with over 50 % public ownership and in which Russia, its Government or Central Bank has the right to participate in profits or with which Russia, its Government or Central Bank has other substantial economic relationships, as listed in Annex XIII; or
- (b) a legal person, entity or body established outside the Union whose proprietary rights are directly or indirectly owned for more than 50 % by an entity listed Annex XIII; or
- (c) a legal person, entity or body acting on behalf or at the direction of an entity referred to in point (a) or (b) of this paragraph.

5. It shall be prohibited to list and provide services as of 12 April 2022 on trading venues registered or recognised in the Union for the transferable securities of any legal person, entity or body established in Russia and with over 50 % public ownership.
6. It shall be prohibited to directly or indirectly make or be part of any arrangement to make
  - (i) new loans or credit with a maturity exceeding 30 days to any legal person, entity or body referred to in paragraph 1 or 3, after 12 September 2014 to 26 February 2022; or
  - (ii) any new loans or credit to any legal person, entity or body referred to in paragraph 1, 2, 3 or 4 after 26 February 2022.

The prohibition shall not apply to:

- (a) loans or credit that have a specific and documented objective to provide financing for non-prohibited imports or exports of goods and non-financial services between the Union and any third State, including the expenditure for goods and services from another third State that is necessary for executing the export or import contracts; or
  - (b) loans that have a specific and documented objective to provide emergency funding to meet solvency and liquidity criteria for legal persons established in the Union, whose proprietary rights are owned for more than 50 % by any entity referred to in Annex III.
7. The prohibition in paragraph 6 shall not apply to drawdown or disbursements made under a contract concluded before 26 February 2022 provided that the following conditions are met:
- (a) all the terms and conditions of such drawdown or disbursements:
    - (i) were agreed before 26 February 2022; and
    - (ii) have not been modified on or after that date; and
  - (b) before 26 February 2022 a contractual maturity date has been fixed for the repayment in full of all funds made available and for the cancellation of all the commitments, rights and obligations under the contract; and
  - (c) at the time of its conclusion the contract was not in breach of the prohibitions of this Regulation in force at that time.

The terms and conditions of drawdowns and disbursements referred to in point (a) include provisions concerning the length of the repayment period for each drawdown or disbursement, the interest rate applied or the interest rate calculation method, and the maximum amount.

## ▼M6

### Article 5a

1. It shall be prohibited to directly or indirectly purchase, sell, provide investment services for or assistance in the issuance of, or otherwise deal with transferable securities and money-market instruments issued after 9 March 2022 by:
  - (a) Russia and its government; or
  - (b) the Central Bank of Russia; or



(c) a legal person, entity or body acting on behalf or at the direction of the entity referred to in point (b).

2. It shall be prohibited to directly or indirectly make or be part of any arrangement to make any new loans or credit to any legal person, entity or body referred to in paragraph 1 after 23 February 2022.

The prohibition shall not apply to loans or credit that have a specific and documented objective to provide financing for non-prohibited imports or exports of goods and non-financial services between the Union and any third State, including the expenditure for goods and services from another third State that is necessary for executing the export or import contracts.

3. The prohibition in paragraph 2 shall not apply to drawdown or disbursements made under a contract concluded before 23 February 2022 provided that the following conditions are met:

(a) all the terms and conditions of such drawdown or disbursements:

(i) were agreed before 23 February 2022; and

(ii) have not been modified on or after that date; and

(b) before 23 February 2022 a contractual maturity date has been fixed for the repayment in full of all funds made available and for the cancellation of all the commitments, rights and obligations under the contract.

The terms and conditions of drawdowns and disbursements referred to in point (a) include provisions concerning the length of the repayment period for each drawdown or disbursement, the interest rate applied or the interest rate calculation method, and the maximum amount.

#### ▼M11

4. Transactions related to the management of reserves as well as of assets of the Central Bank of Russia, including transactions with any legal person, entity or body acting on behalf of, or at the direction of, the Central Bank of Russia, such as the Russian National Wealth Fund, are prohibited.

#### ▼M8

5. By way of derogation from paragraph 4, the competent authorities may authorise a transaction provided that it is strictly necessary to ensure the financial stability of the Union as a whole or of the Member State concerned.

6. The Member State concerned shall immediately inform the other Member States and the Commission of its intention to grant an authorisation under paragraph 5.

#### ▼M12

### Article 5aa

1. It shall be prohibited to directly or indirectly engage in any transaction with:

(a) a legal person, entity or body established in Russia, which is publically controlled or with over 50 % public ownership or in which Russia, its Government or Central Bank has the

right to participate in profits or with which Russia, its Government or Central Bank has other substantial economic relationship, as listed in Annex XIX;

- (b) a legal person, entity or body established outside the Union whose proprietary rights are directly or indirectly owned for more than 50 % by an entity listed in Annex XIX; or
- (c) a legal person, entity or body acting on behalf or at the direction of an entity referred to in point (a) or (b) of this paragraph.

2. The prohibition in paragraph 1 shall not apply to the execution until 15 May 2022 of contracts concluded before 16 March 2022 or ancillary contracts necessary for the execution of such contracts.

3. The prohibition in paragraph 1 shall not apply to:

- (a) transactions which are strictly necessary for the purchase, import or transport of fossil fuels, in particular coal, oil and natural gas, as well as titanium, aluminium, copper, nickel, palladium and iron ore from or through Russia into the Union;
- (b) transactions related to energy projects outside Russia in which a legal person, entity or body listed in Annex XIX is a minority shareholder.

#### ▼M7

#### Article 5b

1. It shall be prohibited to accept any deposits from Russian nationals or natural persons residing in Russia, or legal persons, entities or bodies established in Russia, if the total value of deposits of the natural or legal person, entity or body per credit institution exceeds 100 000 EUR.

#### ▼M11

2. Paragraph 1 shall not apply to nationals of a Member State, of a country member of the European Economic Area or of Switzerland, or to natural persons having a temporary or permanent residence permit in a Member State, in a country member of the European Economic Area or in Switzerland.

#### ▼M7

3. Paragraph 1 shall not apply to deposits which are necessary for non-prohibited cross-border trade in goods and services between the Union and Russia.

#### Article 5c

1. By way of derogation from Article 5b(1), the competent authorities may authorise the acceptance of such a deposit, under such conditions as they deem appropriate, after having determined that the acceptance of such a deposit is:

- (a) necessary to satisfy the basic needs of natural or legal persons, entities or bodies referred to in Article 5b(1) and their dependent family members, including payments for food, rent or mortgage, medicines and medical treatment, taxes, insurance premiums, and public utility charges;
- (b) intended exclusively for the payment of reasonable professional fees or the reimbursement of incurred expenses associated with the provision of legal services;
- (c) necessary for extraordinary expenses, provided that the relevant competent authority has notified the competent authorities of the other Member States and the Commission of the grounds on which it considers that a specific authorisation should be granted, at least two weeks prior to the authorisation; or
- (d) necessary for official purposes of a diplomatic mission or consular post or international organisation.

2. The Member State concerned shall inform the other Member States and the Commission of any authorisation granted under paragraphs 1(a), (b) and (d) within two weeks of the authorisation.

#### Article 5d

1. By way of derogation from Article 5b(1), the competent authorities may authorise the acceptance of such a deposit, under such conditions as they deem appropriate, after having determined that the acceptance of such a deposit is:

- (a) necessary for humanitarian purposes, such as delivering or facilitating the delivery of assistance, including medical supplies, food, or the transfer of humanitarian workers and related assistance or for evacuations; or
- (b) necessary for civil society activities that directly promote democracy, human rights or the rule of law in Russia.

2. The Member State concerned shall inform the other Member States and the Commission of any authorisation granted under paragraph 1 within two weeks of the authorisation.

#### Article 5e

1. It shall be prohibited for Union central securities depositories to provide any services as defined in the Annex of Regulation (EU) No 909/2014 for transferable securities issued after 12 April 2022 to any Russian national or natural person residing in Russia or any legal person, entity or body established in Russia.

2. Paragraph 1 shall not apply to nationals of a Member State or natural persons having a temporary or permanent residence permit in a Member State.

#### Article 5f

1. It shall be prohibited to sell euro denominated transferable securities issued after 12 April 2022 or units in collective investment undertakings providing exposure to such securities, to any

Russian national or natural person residing in Russia or any legal person, entity or body established in Russia.

2. Paragraph 1 shall not apply to nationals of a Member State or natural persons having a temporary or permanent residence permit in a Member State.

#### Article 5g

1. Without prejudice to the applicable rules concerning reporting, confidentiality and professional secrecy, credit institutions shall:

- (a) supply to the national competent authority of the Member State where they are located or to the Commission by no later than 27 May 2022, a list of deposits exceeding 100 000 EUR held by Russian nationals or natural persons residing in Russia, or by legal persons, entities or bodies established in Russia. They shall provide updates regarding the amounts of such deposits every 12 months.
- (b) supply to the national competent authority of the Member State where they are located information on deposits exceeding EUR 100 000 held by Russian nationals or natural persons residing in Russia who have acquired the citizenship of a Member State or residence rights in a Member State through an investor citizenship scheme or an investor residence scheme.

#### ▼M9

#### Article 5h

It shall be prohibited as of 12 March 2022 to provide specialised financial messaging services, which are used to exchange financial data, to the legal persons, entities or bodies listed in Annex XIV or to any legal person, entity or body established in Russia whose proprietary rights are directly or indirectly owned for more than 50 % by an entity listed in Annex XIV.

#### Article 5i

1. It shall be prohibited to sell, supply, transfer or export euro denominated banknotes to Russia or to any natural or legal person, entity or body in Russia, including the government and the Central Bank of Russia, or for use in Russia.

2. The prohibition in paragraph 1 shall not apply to the sale, supply, transfer or export of euro denominated banknotes provided that such sale, supply, transfer or export is necessary for:

- (a) the personal use of natural persons travelling to Russia or members of their immediate families travelling with them; or
- (b) the official purposes of diplomatic missions, consular posts or international organisations in Russia enjoying immunities in accordance with international law.

#### ▼M12

## Article 5j

1. It shall be prohibited as of 15 April 2022 to provide credit rating services to any Russian national or natural person residing in Russia or any legal person, entity or body established in Russia.
2. It shall be prohibited as of 15 April 2022 to provide access to any subscription services in relation to credit rating activities to any Russian national or natural person residing in Russia or any legal person, entity or body established in Russia.
3. Paragraphs 1 and 2 shall not apply to nationals of a Member State or natural persons having a temporary or permanent residence permit in a Member State.';

## ▼M7

## Article 6

1. The Member States and the Commission shall inform each other of the measures taken under this Regulation and share any other relevant information at their disposal in connection with this Regulation, in particular information in respect of:
  - (a) authorisations granted under this Regulation;
  - (b) information received under Article 5g;
  - (c) violation and enforcement problems and judgments handed down by national courts.
2. The Member States shall immediately inform each other and the Commission of any other relevant information at their disposal which might affect the effective implementation of this Regulation.
3. Any information provided or received in accordance with this Article shall be used for the purposes for which it was provided or received, including ensuring the effectiveness of the measures set out in this Regulation.

## Article 7

The Commission shall be empowered to amend Annexes I and IX on the basis of information supplied by Member States.

## ▼B

## Article 8

1. Member States shall lay down the rules on penalties applicable to infringements of the provisions of this Regulation and shall take all measures necessary to ensure that they are implemented. The penalties provided for must be effective, proportionate and dissuasive.
2. Member States shall notify the rules referred to in paragraph 1 to the Commission without delay after the entry into force of this Regulation and shall notify it of any subsequent amendment.

## Article 9

1. Member States shall designate the competent authorities referred to in this Regulation and identify them on the websites listed in Annex I. Member States shall notify the Commission of any changes in the addresses of their websites listed in Annex I.
2. Member States shall notify the Commission of their competent authorities, including the contact details of those competent authorities, without delay after the entry into force of this Regulation, and shall notify it of any subsequent amendment.
3. Where this Regulation sets out a requirement to notify, inform or otherwise communicate with the Commission, the address and other contact details to be used for such communication shall be those indicated in Annex I.

## Article 10

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

### ▼M7

## Article 11

1. No claims in connection with any contract or transaction the performance of which has been affected, directly or indirectly, in whole or in part, by the measures imposed under this Regulation, including claims for indemnity or any other claim of this type, such as a claim for compensation or a claim under a guarantee, notably a claim for extension or payment of a bond, guarantee or indemnity, particularly a financial guarantee or financial indemnity, of whatever form, shall be satisfied, if they are made by:

### ▼M12

- (a) legal persons, entities or bodies listed in Annex III, IV, V, VI, XII, XIII, XIV, XV or XIX, or referred to in point (b) or (c) of Article 5(1), in point (b) or (c) of Article 5(2), in point (c) or (d) of Article 5(3), in point (b) or (c) of Article 5(4), in point (a), (b) or (c) of Article 5a, in point (b) or (c) of Article 5aa, Article 5h or in Article 5j;

### ▼M7

- (b) any other Russian person, entity or body;
  - (c) any person, entity or body acting through or on behalf of one of the persons, entities or bodies referred to in points (a) or (b) of this paragraph.
2. In any proceedings for the enforcement of a claim, the onus of proving that satisfying the claim is not prohibited by paragraph 1 shall be on the person seeking the enforcement of that claim.

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

## Article 12

### ▼M12

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

### ▼M7

## Article 12a

1. The Commission shall process personal data in order to carry out its tasks under this Regulation. These tasks include the handling of information on deposits and information on authorisations granted by the competent authorities.
2. For the purposes of this Regulation, the Commission service listed in Annex I is designated as 'controller' for the Commission within the meaning of Article 3(8) of Regulation (EU) 2018/1725 ( <sup>6</sup> ) in relation to the processing activities necessary to accomplish the tasks referred to in paragraph 1.

### ▼B

## Article 13

This Regulation shall apply:

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

## Article 14

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

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

### ▼M7

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## ANNEX I

### **Websites for information on the competent authorities and address for notification to the European Commission**

#### BELGIUM

[https://diplomatie.belgium.be/nl/Beleid/beleidsthemas/vrede\\_en\\_veiligheid/sancties](https://diplomatie.belgium.be/nl/Beleid/beleidsthemas/vrede_en_veiligheid/sancties)

[https://diplomatie.belgium.be/fr/politique/themes\\_politiques/paix\\_et\\_securite/sanctions](https://diplomatie.belgium.be/fr/politique/themes_politiques/paix_et_securite/sanctions)

[https://diplomatie.belgium.be/en/policy/policy\\_areas/peace\\_and\\_security/sanctions](https://diplomatie.belgium.be/en/policy/policy_areas/peace_and_security/sanctions)

#### BULGARIA

<https://www.mfa.bg/en/101>

#### CZECH REPUBLIC

[www.financnianalytickyrad.cz/mezinarodni-sankce.html](http://www.financnianalytickyrad.cz/mezinarodni-sankce.html)

#### DENMARK

<http://um.dk/da/Udenrigspolitik/folkeretten/sanktioner/>

#### GERMANY

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

#### ESTONIA

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

#### IRELAND

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

#### GREECE

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

#### SPAIN

<http://www.exteriores.gob.es/Portal/en/PoliticaExteriorCooperacion/GlobalizacionOportunidadesRiesgos/Paginas/SancionesInternacionales.aspx>

#### FRANCE

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

#### CROATIA



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

ITALY

[https://www.esteri.it/mae/it/politica\\_estera/politica\\_europea/misure\\_deroghe](https://www.esteri.it/mae/it/politica_estera/politica_europea/misure_deroghe)

CYPRUS

[http://www.mfa.gov.cy/mfa/mfa2016.nsf/mfa35\\_en/mfa35\\_en?OpenDocument](http://www.mfa.gov.cy/mfa/mfa2016.nsf/mfa35_en/mfa35_en?OpenDocument)

LATVIA

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

LITHUANIA

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

LUXEMBOURG

<https://maee.gouvernement.lu/fr/directions-du-ministere/affaires-europeennes/organisations-economiques-int/mesures-restrictives.html>

HUNGARY

<https://kormany.hu/kulgaszdasagi-es-kulugyminiszterium/ensz-eu-szankcios-tajekoztato>

MALTA

<https://foreignaffairs.gov.mt/en/Government/SMB/Pages/Sanctions-Monitoring-Board.aspx>

NETHERLANDS

<https://www.rijksoverheid.nl/onderwerpen/internationale-sancties>

AUSTRIA

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

POLAND

<https://www.gov.pl/web/dyplomacja>

PORTUGAL

<http://www.portugal.gov.pt/pt/ministerios/mne/quero-saber-mais/sobre-o-ministerio/medidas-restritivas/medidas-restritivas.aspx>

ROMANIA

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

SLOVENIA

[http://www.mzz.gov.si/si/omejevalni\\_ukrepi](http://www.mzz.gov.si/si/omejevalni_ukrepi)

SLOVAKIA

[https://www.mzv.sk/europske\\_zalezitosti/europske\\_politiky-sankcie\\_eu](https://www.mzv.sk/europske_zalezitosti/europske_politiky-sankcie_eu)

FINLAND

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

SWEDEN

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

Address for notifications to the European Commission:

European Commission

Directorate-General for Financial Stability, Financial Services and Capital Markets Union (DG FISMA)

Rue de Spa 2

B-1049 Brussels, Belgium

E-mail: [relex-sanctions@ec.europa.eu](mailto:relex-sanctions@ec.europa.eu)

▼B

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ANNEX II

▼M2

### List of items referred to in Article 3

▼B

CN code	Description
7304 11 00	Line pipe of a kind used for oil or gas pipelines, seamless, of stainless steel
7304 19 10	Line pipe of a kind used for oil or gas pipelines, seamless, of iron or steel, of an external diameter not exceeding 168,3 mm (excl. products of stainless steel or of cast iron)
7304 19 30	Line pipe of a kind used for oil or gas pipelines, seamless, of iron or steel, of an external diameter exceeding 168,3 mm but not exceeding 406,4 mm (excl. products of stainless steel or of cast iron)

7304 19 90	Line pipe of a kind used for oil or gas pipelines, seamless, of iron or steel, of an external diameter exceeding 406,4 mm (excl. products of stainless steel or of cast iron)
7304 22 00	Drill pipe, seamless, of stainless steel, of a kind used in drilling for oil or gas
7304 23 00	Drill pipe, seamless, of a kind used in drilling for oil or gas, of iron or steel (excl. products of stainless steel or of cast iron)
7304 29 10	Casing and tubing of a kind used for drilling for oil or gas, seamless, of iron or steel, of an external diameter not exceeding 168,3 mm (excl. products of cast iron)
7304 29 30	Casing and tubing of a kind used for drilling for oil or gas, seamless, of iron or steel, of an external diameter exceeding 168,3 mm, but not exceeding 406,4 mm (excl. products of cast iron)
7304 29 90	Casing and tubing of a kind used for drilling for oil or gas, seamless, of iron or steel, of an external diameter exceeding 406,4 mm (excl. products of cast iron)
7305 11 00	Line pipe of a kind used for oil or gas pipelines, having circular cross-sections and an external diameter of exceeding 406,4 mm, of iron or steel, longitudinally submerged arc welded
7305 12 00	Line pipe of a kind used for oil or gas pipelines, having circular cross-sections and an external diameter of exceeding 406,4 mm, of iron or steel, longitudinally arc welded (excl. products longitudinally submerged arc welded)
7305 19 00	Line pipe of a kind used for oil or gas pipelines, having circular cross-sections and an external diameter of exceeding 406,4 mm, of flat-rolled products of iron or steel (excl. products longitudinally arc welded)
7305 20 00	Casing of a kind used in drilling for oil or gas, having circular cross-sections and an external diameter of exceeding 406,4 mm, of flat-rolled products of iron or steel
7306 11	Line pipe of a kind used for oil or gas pipelines, welded, of flat-rolled products of stainless steel, of an external diameter of not exceeding 406,4 mm
7306 19	Line pipe of a kind used for oil or gas pipelines, welded, of flat-rolled products of iron or steel, of an external diameter of not exceeding 406,4 mm (excl. products of stainless steel or of cast iron)
7306 21 00	Casing and tubing of a kind used in drilling for oil or gas, welded, of flat-rolled products of stainless steel, of an external diameter of not exceeding 406,4 mm

7306 29 00	Casing and tubing of a kind used in drilling for oil or gas, welded, of flat-rolled products of iron or steel, of an external diameter of not exceeding 406,4 mm (excl. products of stainless steel or of cast iron)
8207 13 00	Rock-drilling or earth-boring tools, interchangeable, with working parts of sintered metal carbides or cermets
8207 19 10	Rock-drilling or earth-boring tools, interchangeable, with working parts of diamond or agglomerated diamond
▼M2	
ex 8413 50	Reciprocating positive displacement pumps for liquids, power-driven with a maximum flow-rate greater than 18 m <sup>3</sup> /hour and a maximum outlet pressure greater than 40 bar, specially designed to pump drilling muds and/or cement into oil wells
ex 8413 60	Rotary positive displacement pumps for liquids, power-driven with a maximum flow-rate greater than 18 m <sup>3</sup> /hour and a maximum outlet pressure greater than 40 bar, specially designed to pump drilling muds and/or cement into oil wells
▼B	
8413 82 00	Liquid elevators (excl. pumps)
8413 92 00	Parts of liquid elevators, n.e.s.
8430 49 00	Boring or sinking machinery for boring earth or extracting minerals or ores, not self-propelled and not hydraulic (excl. tunnelling machinery and hand-operated tools)
▼M2	
ex 8431 39 00	Parts suitable for use solely or principally with the oil field machinery of heading 8428
ex 8431 43 00	Parts suitable for use solely or principally with the oil field machinery of subheadings 8430 41 or 8430 49
ex 8431 49	Parts suitable for use solely or principally with the oil field machinery of heading 8426 , 8429 and 8430
▼B	
8705 20 00	Mobile drilling derricks

8905 20 00	Floating or submersible drilling or production platforms
8905 90 10	Sea-going light vessels, fire-floats, floating cranes and other vessels, the navigability of which is subsidiary to their main function (excl. dredgers, floating or submersible drilling or production platforms; fishing vessels and warships)

▼M7

### ANNEX III

#### List of legal persons, entities and bodies referred to in Article 5(1)(a)

▼B

1. SBERBANK
2. VTB BANK
3. GAZPROMBANK
4. VNESHECONOMBANK (VEB)
5. ROSSELKHOZBANK

▼M7

### ANNEX IV

#### List of natural or legal persons, entities or bodies, referred to in Article 2(7), 2a(7) and 2b(1)

JSC Sirius  
OJSC Stankoinstrument  
OAO JSC Chemcomposite  
JSC Kalashnikov  
JSC Tula Arms Plant  
NPK Technologii Maschinostrojenija  
OAO Wysokototschnye Kompleksi  
OAO Almaz Antey  
OAO NPO Bazalt

Admiralty Shipyard JSC  
Aleksandrov Scientific Research Technological Institute NITI  
Argut OOO  
Communication center of the Ministry of Defense  
Federal Research Center Boreskov Institute of Catalysis  
Federal State Budgetary Enterprise of the Administration of the President of Russia  
Federal State Budgetary Enterprise Special Flight Unit Rossiya of the Administration of the President of Russia  
Federal State Unitary Enterprise Dukhov Automatics Research Institute (VNIIA)  
Foreign Intelligence Service (SVR)  
Forensic Center of Nizhniy Novgorod Region Main Directorate of the Ministry of Interior Affairs  
International Center for Quantum Optics and Quantum Technologies (the Russian Quantum Center)  
Irkut Corporation  
Irkut Research and Production Corporation Public Joint Stock Company  
Joint Stock Company Scientific Research Institute of Computing Machinery  
JSC Central Research Institute of Machine Building (JSC TsNIIMash)  
JSC Kazan Helicopter Plant Repair Service  
JSC Shipyard Zaliv (Zaliv Shipbuilding yard)  
JSC Rocket and Space Centre – Progress  
Kamensk-Uralsky Metallurgical Works J.S. Co.  
Kazan Helicopter Plant PJSC  
Komsomolsk-na-Amur Aviation Production Organization (KNAAPO)  
Ministry of Defence RF  
Moscow Institute of Physics and Technology  
NPO High Precision Systems JSC  
NPO Splav JSC  
OPK Oboronprom  
PJSC Beriev Aircraft Company  
PJSC Irkut Corporation  
PJSC Kazan Helicopters  
POLYUS Research Institute of M.F. Stelmakh Joint Stock Company  
Promtech-Dubna, JSC  
Public Joint Stock Company United Aircraft Corporation  
Radiotechnical and Information Systems (RTI) Concern  
Rapart Services LLC; Rosoboronexport OJSC (ROE)  
Rostec (Russian Technologies State Corporation)  
Rostekh – Azimuth  
Russian Aircraft Corporation MiG

Russian Helicopters JSC  
SP KVANT (Sovmestnoe Predpriyatie Kvantovye Tekhnologii)  
Sukhoi Aviation JSC  
Sukhoi Civil Aircraft  
Tactical Missiles Corporation JSC  
Tupolev JSC  
UEC-Saturn  
United Aircraft Corporation  
JSC AeroKompozit  
United Engine Corporation  
UEC-Aviadvigatel JSC  
United Instrument Manufacturing Corporation  
United Shipbuilding Corporation  
JSC PO Sevmash  
Krasnoye Sormovo Shipyard  
Severnaya Shipyard  
Shipyard Yantar  
UralVagonZavod  
▼M12

Amur Shipbuilding Factory PJSC  
AO Center of Shipbuilding and Ship Repairing JSC  
AO Kronshtadt  
Avant Space LLC  
Baikal Electronics  
Center for Technological Competencies in Radiophotonics  
Central Research and Development Institute Tsiklon  
Crocus Nano Electronics  
Dalzavod Ship-Repair Center  
Elara  
Electronic Computing and Information Systems  
ELPROM  
Engineering Center Ltd.  
Forss Technology Ltd.

Integral SPB

JSC Element

JSC Pella-Mash

JSC Shipyard Vympel

Kranark LLC

Lev Anatolyevich Yershov (Ershov)

LLC Center

MCST Lebedev

Miass Machine-Building Factory

Microelectronic Research and Development Center Novosibirsk

MPI VOLNA

N.A. Dollezhal Order of Lenin Research and Design Institute of Power Engineering

Nerpa Shipyard

NM-Tekh

Novorossiysk Shipyard JSC

NPO Electronic Systems

NPP Istok

NTC Metrotek

OAOGosNIIkhimanalit

OAOSvetlovskoye Predpriyatiye Era

OJSC TSRY

OOOElkomtek (Elkomtex)

OOOPlanar

OOOSertal

Photon Pro LLC

PJSC Zvezda

Production Association Strela

Radioavtomatika

Research Center Module



Robin Trade Limited

R.Ye. Alekseyev Central Design Bureau for Hydrofoil Ships

Rubin Sever Design Bureau

Russian Space Systems

Rybinsk Shipyard Engineering

Scientific Research Institute of Applied Chemistry

Scientific-Research Institute of Electronics

Scientific Research Institute of Hypersonic Systems

Scientific Research Institute NII Submikron

Sergey IONOV

Serniya Engineering

Severnaya Verf Shipbuilding Factory

Ship Maintenance Center Zvezdochka

State Governmental Scientific Testing Area of Aircraft Systems (GKNIPAS)

State Machine Building Design Bureau Raduga Bereznaya

State Scientific Center AO GNTs RF—FEI A.I. Leypunskiy Physico-Energy Institute

State Scientific Research Institute of Machine Building Bakhirev (GosNII mash)

Tomsk Microwave and Photonic Integrated Circuits and Modules Collective Design Center

UAB Pella-Fjord

United Shipbuilding Corporation JSC “35th Shipyard”

United Shipbuilding Corporation JSC “Astrakhan Shipyard”

United Shipbuilding Corporation JSC “Aysberg Central Design Bureau”

United Shipbuilding Corporation JSC “Baltic Shipbuilding Factory”

United Shipbuilding Corporation JSC “Krasnoye Sormovo Plant OJSC”

United Shipbuilding Corporation JSC SC “Zvyozdochka”

United Shipbuilding Corporation “Pribaltic Shipbuilding Factory Yantar”

United Shipbuilding Corporation “Scientific Research Design Technological Bureau Onega”

United Shipbuilding Corporation “Sredne-Nevisky Shipyard”

Ural Scientific Research Institute for Composite Materials

Urals Project Design Bureau Detal

Vega Pilot Plant

Vertikal LLC

Vladislav Vladimirovich Fedorenko

VTK Ltd

Yaroslavl Shipbuilding Factory

ZAO Elmiks-VS

ZAO Sparta

ZAO Svyaz Inzhiniring

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## ANNEX V

### List of legal persons, entities and bodies referred to in Article 5(3)(a)

#### ▼M1

OPK OBORONPROM

UNITED AIRCRAFT CORPORATION

URALVAGONZAVOD

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#### ▼M7

## ANNEX VI

### List of legal persons, entities and bodies referred to in Article 5(3)(b)

#### ▼M1

ROSNEFT

TRANSNEFT

GAZPROM NEFT

#### ▼M7

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## ANNEX VII

### List of goods and technology referred to in Articles 2a(1) and 2b(1)

General Notes, Acronyms and Abbreviations, and Definitions in Annex I to Regulation (EU) 2021/821 apply to this Annex, with the exception of 'Part I - General Notes, Acronyms and Abbreviations, and Definitions, General Notes to Annex I, point 2.'.

Definitions of Terms used in the Common Military List (CML) of the European Union (2020/C 85/01) apply to this Annex.

#### ▼M11

Without prejudice to Article 12 of this Regulation, non-controlled items containing one or more components listed in this Annex are not subject to the controls under Articles 2a and 2b of this Regulation.

#### ▼M7

### Category I - Electronics

#### X.A.I.001

Electronic devices and components.

a. 'Microprocessor microcircuits', 'microcomputer microcircuits', and microcontroller microcircuits having any of the following:

1. A performance speed of 5 GFLOPS or more and an arithmetic logic unit with an access width of 32 bit or more;
2. A clock frequency rate exceeding 25 MHz; or
3. More than one data or instruction bus or serial communication port that provides a direct external interconnection between parallel 'microprocessor microcircuits' with a transfer rate of 2,5 Mbyte/s;

b. Storage integrated circuits, as follows:

1. Electrically erasable programmable read-only memories (EEPROMs) with a storage capacity;
  - a. Exceeding 16 Mbits per package for flash memory types; or
  - b. Exceeding either of the following limits for all other EEPROM types:
    1. Exceeding 1 Mbit per package; or
    2. Exceeding 256 kbit per package and a maximum access time of less than 80 ns;
2. Static random access memories (SRAMs) with a storage capacity:
  - a. Exceeding 1 Mbit per package; or

- b. Exceeding 256 kbit per package and a maximum access time of less than 25 ns;
- c. Analog-to-digital converters having any of the following:

- 1. A resolution of 8 bit or more, but less than 12 bit, with an output rate greater than 200 Mega Samples Per Second (MSPS);

▼M11

- 2. A resolution of 12 bit with an output rate greater than 105 Mega Samples per Second (MSPS);

▼M7

- 3. A resolution of more than 12 bit but equal to or less than 14 bit with an output rate greater than 10 Mega Samples per Second (MSPS); or

- 4. A resolution of more than 14 bit with an output rate greater than 2,5 Mega Samples Per Second (MSPS);

- d. Field programmable logic devices having a maximum number of single-ended digital input/outputs between 200 and 700;

- e. Fast Fourier Transform (FFT) processors having a rated execution time for a 1 024 point complex FFT of less than 1 ms;

- f. 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:

- 1. More than 144 terminals; or

- 2. A typical 'basic propagation delay time' of less than 0,4 ns;

- g. Traveling-wave 'vacuum electronic devices', pulsed or continuous wave, as follows:

- 1. Coupled cavity devices, or derivatives thereof;

- 2. Devices based on helix, folded waveguide, or serpentine waveguide circuits, or derivatives thereof, having any of the following:

- a. An 'instantaneous bandwidth' of half an octave or more and average power (expressed in kW) times frequency (expressed in GHz) of more than 0,2; or

- b. An 'instantaneous bandwidth' of less than half an octave; and average power (expressed in kW) times frequency (expressed in GHz) of more than 0,4;

- h. Flexible waveguides designed for use at frequencies exceeding 40 GHz;

- i. Surface acoustic wave and surface skimming (shallow bulk) acoustic wave devices, having either of the following:

- 1. A carrier frequency exceeding 1 GHz; or

- 2. A carrier frequency of 1 GHz or less; and

- a. A 'frequency side-lobe rejection' exceeding 55 dB;

- b. A product of the maximum delay time and bandwidth (time in microseconds and bandwidth in MHz) of more than 100; or

- c. A dispersive delay of more than 10 microseconds;

*Technical Note: For the purpose of X.A.I.001.i 'Frequency side-lobe rejection' is the maximum rejection value specified in data sheet.*

j. 'Cells' as follows:

1. 'Primary cells' having an 'energy density' of 550 Wh/kg or less at 293 K (20°C);
2. 'Secondary cells' having an 'energy density' of 350 Wh/kg or less at 293 K (20°C);

*Note: X.A.I.001.j does not control batteries, including single cell batteries.*

*Technical Notes:*

*1. For the purpose of X.A.I.001.j 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 X.A.I.001.j, a 'cell' is defined as an electrochemical device, which has positive and negative electrodes, and electrolyte, and is a source of electrical energy. It is the basic building block of a battery.*

*3. For the purpose of X.A.I.001.j.1, a 'primary cell' is a 'cell' that is not designed to be charged by any other source.*

*4. For the purpose of X.A.I.001.j.2, a 'secondary cell' is a 'cell' that is designed to be charged by an external electrical source.*

k. 'Superconductive' electromagnets or solenoids specially designed to be fully charged or discharged in less than one minute, having all of the following:

*Note: X.A.I.001.k does not control 'superconductive' electromagnets or solenoids designed for Magnetic Resonance Imaging (MRI) medical equipment.*

1. Maximum energy delivered during the discharge divided by the duration of the discharge of more than 500 kJ per minute;
2. Inner diameter of the current carrying windings of more than 250 mm; and
3. Rated for a magnetic induction of more than 8T or 'overall current density' in the winding of more than 300 A/mm<sup>2</sup>;

l. Circuits or systems for electromagnetic energy storage, containing components manufactured from 'superconductive' materials specially designed for operation at temperatures below the 'critical temperature' of at least one of their 'superconductive' constituents, having all of the following:

1. Resonant operating frequencies exceeding 1 MHz;
2. A stored energy density of 1 MJ/m<sup>3</sup> or more; and
3. A discharge time of less than 1 ms;

m. Hydrogen/hydrogen-isotope thyratrons of ceramic-metal construction and rate for a peak current of 500 A or more;

n. Not used;

o. Solar cells, cell-interconnect-coverglass (CIC) assemblies, solar panels, and solar arrays, which are 'space qualified' and not controlled by 3A001.e.4 ( 7 ).

#### X.A.I.002

General purpose "electronic assemblies", modules and equipment.

- a. Electronic test equipment, other than those specified in the CML or in Regulation (EU) 2021/821;
- b. Digital instrumentation magnetic tape data recorders having any of the following characteristics;
  - 1. A maximum digital interface transfer rate exceeding 60 Mbit/s and employing helical scan techniques;
  - 2. A maximum digital interface transfer rate exceeding 120 Mbit/s and employing fixed head techniques; or
  - 3. 'Space qualified';
- c. Equipment, with a maximum digital interface transfer rate exceeding 60 Mbit/s, designed to convert digital video magnetic tape recorders for use as digital instrumentation data recorders;
- d. Non-modular analog oscilloscopes having a bandwidth of 1 GHz or greater;
- e. Modular analog oscilloscope systems having either of the following characteristics:
  - 1. A mainframe with a bandwidth of 1 GHz or greater; or
  - 2. Plug-in modules with an individual bandwidth of 4 GHz or greater;
- f. Analog sampling oscilloscopes for the analysis of recurring phenomena with an effective bandwidth greater than 4 GHz;
- g. Digital oscilloscopes and transient recorders, using analog-to-digital conversion techniques, capable of storing transients by sequentially sampling single-shot inputs at successive intervals of less than 1 ns (greater than 1 Giga Samples per Second (GSPS)), digitizing to 8 bits or greater resolution and storing 256 or more samples.

*Note: X.A.I.002 controls the following specially designed components for analog oscilloscopes:*

- 1. Plug-in units;*
- 2. External amplifiers;*
- 3. Pre-amplifiers;*
- 4. Sampling devices;*
- 5. Cathode ray tubes.*

#### X.A.I.003

Specific processing equipment, other than those specified in the CML or in Regulation (EU) 2021/821, as follows:

- a. Frequency changers capable of operating in the frequency range from 300 up to 600 Hz, other than those specified in the CML or in Regulation (EU) 2021/821;
- b. Mass spectrometers, other than those specified in the CML or in Regulation (EU) 2021/821;

- c. All flash x-ray machines, or components of pulsed power systems designed thereof, including Marx generators, high power pulse shaping networks, high voltage capacitors, and triggers;
- d. Pulse amplifiers, other than those specified in the CML or in Regulation (EU) 2021/821;
- e. Electronic equipment for time delay generation or time interval measurement, as follows:
  - 1. Digital time delay generators with a resolution of 50 nanoseconds or less over time intervals of 1 microsecond or greater; or
  - 2. Multi-channel (three or more) or modular time interval meter and chronometry equipment with resolution of 50 nanoseconds or less over time intervals of 1 microsecond or greater;
- f. Chromatography and spectrometry analytical instruments.

#### X.B.I.001

Equipment for the manufacture of electronic components or materials, as follows and specially designed components and accessories therefor.

- a. Equipment specially designed for the manufacture of electron tubes, optical elements and specially designed components therefor controlled by 3A001 ( <sup>8</sup> ) or X.A.I.001;
- b. Equipment specially designed for the manufacture of semiconductor devices, integrated circuits and 'electronic assemblies', as follows, and systems incorporating or having the characteristics of such equipment:

*Note: X.B.I.001.b. also controls equipment used or modified for use in the manufacture of other devices, such as imaging devices, electro-optical devices, acoustic-wave devices.*

- 1. Equipment for the processing of materials for the manufacture of devices and components as specified in the heading of X.B.I.001.b, as follows:

*Note: X.B.I.001 does not control quartz furnace tubes, furnace liners, paddles, boats (except specially designed caged boats), bubblers, cassettes or crucibles specially designed for the processing equipment controlled by X.B.I.001.b.1.*

- a. Equipment for producing polycrystalline silicon and materials controlled by 3C001 ( <sup>9</sup> );
- b. Equipment specially designed for purifying or processing III/V and II/VI semiconductor materials controlled by 3C001, 3C002, 3C003, 3C004, or 3C005 ( <sup>10</sup> ) except crystal pullers, for which see X.B.I.001.b.1.c below;
- c. Crystal pullers and furnaces, as follows:

*Note: X.B.I.001.b.1.c does not control diffusion and oxidation furnaces.*

- 1. Annealing or recrystallizing equipment other than constant temperature furnaces employing high rates of energy transfer capable of processing wafers at a rate exceeding 0,005 m<sup>2</sup> per minute;

#### ▼M11

- 2. Stored program controlled" crystal pullers having any of the following characteristics:

- a. Rechargeable without replacing the crucible container;
- b. Capable of operation at pressures above  $2,5 \times 10^5$  Pa; or
- c. Capable of pulling crystals of a diameter exceeding 100 mm;

▼M7

d. 'Stored program controlled' equipment for epitaxial growth having any of the following characteristics:

- 1. Capable of producing silicon layer with a thickness uniform to less than  $\pm 2,5$  % across a distance of 200 mm or more;
- 2. Capable of producing a layer of any material other than silicon with a thickness uniformity across the wafer of equal to or better than  $\pm 3,5$  %; or
- 3. Rotation of individual wafers during processing;

e. Molecular beam epitaxial growth equipment;

f. Magnetically enhanced 'sputtering' equipment with specially designed integral load locks capable of transferring wafers in an isolated vacuum environment;

g. Equipment specially designed for ion implantation, ion-enhanced or photo-enhanced diffusion, having any of the following characteristics:

- 1. Patterning capability;
- 2. Beam energy (accelerating voltage) exceeding 200 keV;
- 3. Optimised to operate at a beam energy (accelerating voltage) of less than 10 keV; or
- 4. Capable of high energy oxygen implant into a heated 'substrate';

h. 'Stored program controlled' equipment for the selective removal (etching) by means of anisotropic dry methods (e.g., plasma), as follows:

- 1. 'Batch types' having either of the following:
  - a. End-point detection, other than optical emission spectroscopy types; or
  - b. Reactor operational (etching) pressure of 26,66 Pa or less;
- 2. 'Single wafer types' having any of the following:
  - a. End-point detection, other than optical emission spectroscopy types;
  - b. Reactor operational (etching) pressure of 26,66 Pa or less; or
  - c. Cassette-to-cassette and load locks wafer handling;

*Notes:*

*1. 'Batch types' refers to machines not specially designed for production processing of single wafers. Such machines can process two or more wafers simultaneously with common process parameters, e.g., RF power, temperature, etch gas species, flow rates.*



2. 'Single wafer types' refers to machines specially designed for production processing of single wafers. These machines may use automatic wafer handling techniques to load a single wafer into the equipment for processing. The definition includes equipment that can load and process several wafers but where the etching parameters, e.g., RF power or end point, can be independently determined for each individual wafer.

i. 'Chemical vapor deposition' (CVD) equipment, e.g., plasma-enhanced CVD (PECVD) or photo-enhanced CVD, for semiconductor device manufacturing, having either of the following capabilities, for deposition of oxides, nitrides, metals or polysilicon:

▼M11

1. Chemical vapor deposition" equipment operating below  $10^5$  Pa; or

▼M7

2. PECVD equipment operating either below 60 Pa or having automatic cassette-to-cassette and load lock wafer handling;

*Note: X.B.I.001.b.1.i does not control low pressure 'chemical vapor deposition' (LPCVD) systems or reactive 'sputtering' equipment.*

j. Electron beam systems specially designed or modified for mask making or semiconductor device processing having any of the following characteristics:

1. Electrostatic beam deflection;
2. Shaped, non-Gaussian beam profile;
3. Digital-to-analog conversion rate exceeding 3 MHz;
4. Digital-to-analog conversion accuracy exceeding 12 bit; or
5. Target-to-beam position feedback control precision of 1 micrometer or finer;

*Note: X.B.I.001.b.1.j does not control electron beam deposition systems or general purpose scanning electron microscopes.*

k. Surface finishing equipment for the processing of semiconductor wafers as follows:

1. Specially designed equipment for backside processing of wafers thinner than 100 micrometer and the subsequent separation thereof; or
2. Specially designed equipment for achieving a surface roughness of the active surface of a processed wafer with a two-sigma value of 2 micrometer or less, total indicator reading (TIR);

*Note: X.B.I.001.b.1.k does not control single-side lapping and polishing equipment for wafer surface finishing.*

l. Interconnection equipment which includes common single or multiple vacuum chambers specially designed to permit the integration of any equipment controlled by X.B.I.001 into a complete system;

m. 'Stored program controlled' equipment using 'lasers' for the repair or trimming of 'monolithic integrated circuits' with either of the following characteristics:

1. Positioning accuracy less than  $\pm 1$  micrometer; or
2. Spot size (kerf width) less than 3 micrometer.

*Technical Note: For the purpose of X.B.I.001.b.1, 'sputtering' is an overlay coating process wherein positively charged ions are accelerated by an electric field towards the surface of a target (coating material). The kinetic energy of the impacting ions is sufficient to cause target surface atoms to be released and deposited on the substrate. (Note: Triode, magnetron or radio frequency sputtering to increase adhesion of coating and rate of deposition are ordinary modifications of the process.).*

2. Masks, mask substrates, mask-making equipment and image transfer equipment for the manufacture of devices and components as specified in the heading of X.B.I.001, as follows:

*Note: The term masks refers to those used in electron beam lithography, X-ray lithography, and ultraviolet lithography, as well as the usual ultraviolet and visible photo-lithography.*

a. Finished masks, reticles and designs therefor, except:

1. Finished masks or reticles for the production of integrated circuits not controlled by 3A001 ( <sup>11</sup> ); or

2. Masks or reticles, having both of the following characteristics:

a. Their design is based on geometries of 2,5 micrometer or more;  
and

b. The design does not include special features to alter the intended use by means of production equipment or 'software';

b. Mask substrates as follows:

1. Hard surface (e.g., chromium, silicon, molybdenum) coated 'substrates' (e.g., glass, quartz, sapphire) for the preparation of masks having dimensions exceeding 125 mm x 125 mm; or

2. Substrates specially designed for X-ray masks;

c. Equipment, other than general purpose computers, specially designed for computer aided design (CAD) of semiconductor devices or integrated circuits;

d. Equipment or machines, as follows, for mask or reticle fabrication:

1. Photo-optical step and repeat cameras capable of producing arrays larger than 100 mm x 100 mm, or capable of producing a single exposure larger than 6 mm x 6 mm in the image (i.e., focal) plane, or capable of producing line widths of less than 2,5 micrometer in the photoresist on the 'substrate';

2. Mask or reticle fabrication equipment using ion or 'laser' beam lithography capable of producing line widths of less than 2,5 micrometer; or
3. Equipment or holders for altering masks or reticles or adding pellicles to remove defects;

*Note: X.B.I.001.b.2.d.1 and b.2.d.2 do not control mask fabrication equipment using photo-optical methods which was either commercially available before the 1<sup>st</sup> January 1980, or has a performance no better than such equipment.*

e. 'Stored program controlled' equipment for the inspection of masks, reticles or pellicles with:

1. A resolution of 0,25 micrometer or finer; and
2. A precision of 0,75 micrometer or finer over a distance in one or two coordinates of 63,5 mm or more;

*Note: X.B.I.001.b.2.e does not control general purpose scanning electron microscopes except when specially designed and instrumented for automatic pattern inspection.*

f. Align and expose equipment for wafer production using photo-optical or X-ray methods, e.g., lithography equipment, including both projection image transfer equipment and step and repeat (direct step on wafer) or step and scan (scanner) equipment, capable of performing any of the following functions:

*Note: X.B.I.001.b.2.f does not control photo-optical contact and proximity mask align and expose equipment or contact image transfer equipment.*

1. Production of a pattern size of less than 2,5 micrometer;
2. Alignment with a precision finer than  $\pm 0,25$  micrometer (3 sigma);
3. Machine-to-machine overlay no better than  $\pm 0,3$  micrometer; or
4. A light source wavelength shorter than 400 nm;

g. Electron beam, ion beam or X-ray equipment for projection image transfer capable of producing patterns less than 2,5 micrometer;

*Note: For focused, deflected-beam systems (direct write systems), see X.B.I.001.b.1.j.*

h. Equipment using 'lasers' for direct write on wafers capable of producing patterns less than 2,5 micrometer.

3. Equipment for the assembly of integrated circuits, as follows:

a. 'Stored program controlled' die bonders having all of the following characteristics:

1. Specially designed for 'hybrid integrated circuits';
2. X-Y stage positioning travel exceeding 37,5 x 37,5 mm; and
3. Placement accuracy in the X-Y plane of finer than  $\pm 10$  micrometer;

b. 'Stored program controlled' equipment for producing multiple bonds in a single operation (e.g., beam lead bonders, chip carrier bonders, tape bonders);

- c. Semi-automatic or automatic hot cap sealers, in which the cap is heated locally to a higher temperature than the body of the package, specially designed for ceramic microcircuit packages controlled by 3A001 ( <sup>12</sup> ) and that have a throughput equal to or more than one package per minute.

*Note: X.B.I.001.b.3 does not control general purpose resistance type spot welders.*

4. Filters for clean rooms capable of providing an air environment of 10 or less particles of 0,3 micrometer or smaller per 0,02832 m<sup>3</sup> and filter materials therefor.

*Technical Note: For the purpose of X.B.I.001, 'stored program controlled' is a control using instructions stored in an electronic storage that a processor can execute in order to direct the performance of predetermined functions. Equipment may be 'stored program controlled' whether the electronic storage is internal or external to the equipment.*

#### X.B.I.002

Equipment for the inspection or testing of electronic components and materials, and specially designed components and accessories therefor.

- a. Equipment specially designed for the inspection or testing of electron tubes, optical elements and specially designed components therefor controlled by 3A001 ( <sup>13</sup> ) or X.A.I.001;
- b. Equipment specially designed for the inspection or testing of semiconductor devices, integrated circuits and 'electronic assemblies', as follows, and systems incorporating or having the characteristics of such equipment:

*Note: X.B.I.002.b also controls equipment used or modified for use in the inspection or testing of other devices, such as imaging devices, electro-optical devices, acoustic-wave devices.*

1. 'Stored program controlled' inspection equipment for the automatic detection of defects, errors or contaminants of 0,6 micrometer or less in or on processed wafers, substrates, other than printed circuit boards or chips, using optical image acquisition techniques for pattern comparison;

*Note: X.B.I.002.b.1 does not control general purpose scanning electron microscopes, except when specially designed and instrumented for automatic pattern inspection.*

2. Specially designed 'stored program controlled' measuring and analysis equipment, as follows:
  - a. Specially designed for the measurement of oxygen or carbon content in semiconductor materials;
  - b. Equipment for line width measurement with a resolution of 1 micrometer or finer;
  - c. Specially designed flatness measurement instruments capable of measuring deviations from flatness of 10 micrometer or less with a resolution of 1 micrometer or finer.

3. 'Stored program controlled' wafer probing equipment having any of the following characteristics:

- a. Positioning accuracy finer than 3,5 micrometer;
- b. Capable of testing devices having more than 68 terminals; or
- c. Capable of testing at a frequency exceeding 1 GHz;

4. Test equipment as follows:

- a. 'Stored program controlled' equipment specially designed for testing discrete semiconductor devices and unencapsulated dice, capable of testing at frequencies exceeding 18 GHz;

*Technical Note: Discrete semiconductor devices include photocells and solar cells.*

b. 'Stored program controlled' equipment specially designed for testing integrated circuits and 'electronic assemblies' thereof, capable of functional testing:

1. At a 'pattern rate' exceeding 20 MHz; or
2. At a 'pattern rate' exceeding 10 MHz but not exceeding 20 MHz and capable of testing packages of more than 68 terminals.

*Notes: X.B.I.002.b.4.b does not control test equipment specially designed for testing:*

*1. Memories;*

*2. 'Assemblies' or a class of 'electronic assemblies' for home and entertainment applications; and*

*3. Electronic components, 'electronic assemblies' and integrated circuits not controlled by 3A001 ( <sup>14</sup> ) or X.A.I.001 provided such test equipment does not incorporate computing facilities with 'user accessible programmability'.*

*Technical Note: For purposes of X.B.I.002.b.4.b, 'pattern rate' is defined as the maximum frequency of digital operation of a tester. It is therefore equivalent to the highest data rate that a tester can provide in non-multiplexed mode. It is also referred to as test speed, maximum digital frequency or maximum digital speed.*

c. Equipment specially designed for determining the performance of focal-plane arrays at wavelengths of more than 1 200 nm, using 'stored program controlled' measurements or computer aided evaluation and having any of the following characteristics:

1. Using scanning light spot diameters of less than 0,12 mm;
2. Designed for measuring photosensitive performance parameters and for evaluating frequency response, modulation transfer function, uniformity of responsivity or noise; or
3. Designed for evaluating arrays capable of creating images with more than 32 x 32 line elements;

5. Electron beam test systems designed for operation at 3 keV or below, or 'laser' beam systems, for non-contactive probing of powered-up semiconductor devices having any of the following:

- a. Stroboscopic capability with either beam blanking or detector strobing;
- b. An electron spectrometer for voltage measurements with a resolution of less than 0,5 V; or
- c. Electrical tests fixtures for performance analysis of integrated circuits;

*Note: X.B.I.002.b.5 does not control scanning electron microscopes, except when specially designed and instrumented for non-contactive probing of a powered-up semiconductor device.*

6. 'Stored program controlled' multifunctional focused ion beam systems specially designed for manufacturing, repairing, physical layout analysis and testing of masks or semiconductor devices and having either of the following characteristics:

- a. Target-to-beam position feedback control precision of 1 micrometer or finer; or
- b. Digital-to-analog conversion accuracy exceeding 12 bit;

7. Particle measuring systems employing 'lasers' designed for measuring particle size and concentration in air having both of the following characteristics:

- a. Capable of measuring particle sizes of 0,2 micrometer or less at a flow rate of 0,02832 m<sup>3</sup> per minute or more; and
- b. Capable of characterizing Class 10 clean air or better.

*Technical Note: For the purpose of X.B.I.002, 'stored program controlled' is a control using instructions stored in an electronic storage that a processor can execute in order to direct the performance of predetermined functions. Equipment may be 'stored program controlled' whether the electronic storage is internal or external to the equipment.*

#### X.C.I.001

Positive resists designed for semiconductor lithography specially adjusted (optimised) for use at wavelengths between 370 and 193 nm.

#### X.D.I.001

'Software' specially designed for the 'development', 'production', or 'use' of electronic devices or components controlled by X.A.I.001, general purpose electronic equipment controlled by X.A.I.002, or manufacturing and test equipment controlled by X.B.I.001 and X.B.I.002; or 'software' specially designed for the 'use' of equipment controlled by 3B001.g and 3B001.h ( <sup>15</sup> ).

#### X.E.I.001

'Technology' for the 'development', 'production' or 'use' of electronic devices or components controlled by X.A.I.001, general purpose electronic equipment controlled by X.A.I.002, or manufacturing and test equipment controlled by X.B.I.001 or X.B.I.002, or materials controlled by X.C.I.001.

## Category II – Computers

*Note: Category II does not control goods for the personal use of the natural persons.*

X.A.II.001

Computers, 'electronic assemblies' and related equipment, not controlled by 4A001 or 4A003 ( <sup>16</sup> ), and specially designed components therefor.

*Note: The control status of the 'digital computers' and related equipment described in X.A.II.001 is determined by the control status of other equipment or systems provided:*

*a. The 'digital computers' or related equipment are essential for the operation of the other equipment or systems;*

*b. The 'digital computers' or related equipment are not a 'principal element' of the other equipment or systems; and*

*N.B.1: The control status of 'signal processing' or 'image enhancement' equipment specially designed for other equipment with functions limited to those required for the other equipment is determined by the control status of the other equipment even if it exceeds the 'principal element' criterion.*

*N.B.2: For the control status of 'digital computers' or related equipment for telecommunications equipment, see Category 5, Part 1 (Telecommunications) ( <sup>17</sup> ).*

*c. The 'technology' for the 'digital computers' and related equipment is determined by 4E ( <sup>18</sup> ).*

a. Electronic computers and related equipment, and 'electronic assemblies' and specially designed components therefor, rated for operation at an ambient temperature above 343 K (70°C);

b. 'Digital computers', including equipment of 'signal processing' or 'image enhancement', having an 'Adjusted Peak Performance' ('APP') equal to or greater than 0,0128 Weighted TeraFLOPS (WT);

c. 'Electronic assemblies' that are specially designed or modified to enhance performance by aggregation of processors, as follows:

1. Designed to be capable of aggregation in configurations of 16 or more processors;

2. Not used;

*Note 1: X.A.II.001.c applies only to 'electronic assemblies' and programmable interconnections with a 'APP' not exceeding the limits in X.A.II.001.b, when shipped as unintegrated 'electronic assemblies'. It does not apply to 'electronic assemblies' inherently limited by nature of their design for use as related equipment controlled by X.A.II.001.k.*

*Note 2: X.A.II.001.c does not control any 'electronic assembly' specially designed for a product or family of products whose maximum configuration does not exceed the limits of X.A.II.001.b.*

d. Not used;

e. Not used;

f. Equipment for 'signal processing' or 'image enhancement' having an 'Adjusted Peak Performance' ('APP') equal to or greater than 0,0128 Weighted TeraFLOPS WT;

g. Not used;

h. Not used;

i. Equipment containing 'terminal interface equipment' exceeding the limits in X.A.III.101;

*Technical Note: For the purpose of X.A.II.001.i, 'terminal interface equipment' means equipment at which information enters or leaves the telecommunication system, e.g. telephone, data device, computer, etc.*

j. Equipment specially designed to provide external interconnection of 'digital computers' or associated equipment that allows communications at data rates exceeding 80 Mbyte/s.

*Note: X.A.II.001.j does not control internal interconnection equipment (e.g., backplanes, buses) passive interconnection equipment, 'network access controllers' or 'communication channel controllers'.*

*Technical Note: For the purpose of X.A.II.001.j, 'communication channel controllers' is the physical interface which controls the flow of synchronous or asynchronous digital information. It is an assembly that can be integrated into computer or telecommunications equipment to provide communications access.*

k. 'Hybrid computers' and 'electronic assemblies' and specially designed components therefor containing analog-to-digital converters having all of the following characteristics:

1. 32 channels or more; and
2. A resolution of 14 bit (plus sign bit) or more with a conversion rate of 200 000 Hz or more.

#### X.D.II.001

'Program' proof and validation 'software', 'software' allowing the automatic generation of 'source codes', and operating system 'software' that are specially designed for 'real-time processing' equipment.

a. 'Program' proof and validation 'software' using mathematical and analytical techniques and designed or modified for 'programs' having more than 500 000 'source code' instructions;

b. 'Software' allowing the automatic generation of 'source codes' from data acquired on line from external sensors described in the Regulation (EU) 2021/821; or

c. Operating system 'software' specially designed for 'real-time processing' equipment that guarantees a 'global interrupt latency time' of less than 20 microseconds.

*Technical Note: For the purpose of X.D.II.001, 'global interrupt latency time' is the time taken by the computer system to recognise an interrupt due to the event, service the interrupt and perform a context switch to an alternate memory-resident task waiting on the interrupt.*



X.D.II.002

'Software' other than that controlled in 4D001 ( <sup>19</sup> ) specially designed or modified for the 'development', 'production' or 'use' of equipment controlled by 4A101 ( <sup>20</sup> ), X.A.II.001.

X.E.II.001

'Technology' for the 'development', 'production' or 'use' of equipment controlled by X.A.II.001, or 'software' controlled by X.D.II.001 or X.D.II.002.

X.E.II.001

'Technology' for the 'development' or 'production' of equipment designed for 'multi-data-stream processing'.

*Technical Note: For the purpose of X.E.II.001, 'multi-data-stream processing' is a microprogram or equipment architecture technique that permits simultaneous processing of two or more data sequences under the control of one or more instruction sequences by means such as:*

- 1. Single Instruction Multiple Data (SIMD) architectures such as vector or array processors;*
- 2. Multiple Single Instruction Multiple Data (MSIMD) architectures;*
- 3. Multiple Instruction Multiple Data (MIMD) architectures, including those that are tightly coupled, closely coupled or loosely coupled; or*
- 4. Structured arrays of processing elements, including systolic arrays.*

### Category III. Part 1 – Telecommunications

*Note: Category III.Part 1 does not control goods for the personal use of the natural persons.*

X.A.III.101

Telecommunication equipment.

- a. Any type of telecommunications equipment, not controlled by 5A001.a ( <sup>21</sup> ), specially designed to operate outside the temperature range from 219 K (-54°C) to 397 K (124°C).
- b. Telecommunication transmission equipment and systems, and specially designed components and accessories therefor, having any of the following characteristics, functions or features:

*Note: Telecommunication transmission equipment:*

*a. Categorized as follows, or combinations thereof:*

- 1. Radio equipment (e.g., transmitters, receivers and transceivers);*
- 2. Line terminating equipment;*
- 3. Intermediate amplifier equipment;*
- 4. Repeater equipment;*
- 5. Regenerator equipment;*

6. Translation encoders (transcoders);
7. Multiplex equipment (statistical multiplex included);
8. Modulators/demodulators (modems);
9. Transmultiplex equipment (see CCITT Rec. G701);
10. 'Stored program controlled' digital cross-connection equipment;
11. 'Gateways' and bridges;
12. 'Media access units'; and

b. Designed for use in single or multi-channel communication via any of the following:

1. Wire (line);
2. Coaxial cable;
3. Optical fibre cable;
4. Electromagnetic radiation; or
5. Underwater acoustic wave propagation.

1. Employing digital techniques, including digital processing of analog signals, and designed to operate at a 'digital transfer rate' at the highest multiplex level exceeding 45 Mbit/s or a 'total digital transfer rate' exceeding 90 Mbit/s;

*Note: X.A.III.101.b.1 does not control equipment specially designed to be integrated and operated in any satellite system for civil use.*

2. Modems using the 'bandwidth of one voice channel' with a 'data signalling rate' exceeding 9 600 bits per second;
3. Being 'stored program controlled' digital cross connect equipment with 'digital transfer rate' exceeding 8,5 Mbit/s per port.
4. Being equipment containing any of the following:
  - a. "Network access controllers" and their related common medium having a 'digital transfer rate' exceeding 33 Mbit/s; or
  - b. 'Communication channel controllers' with a digital output having a 'data signalling rate' exceeding 64 000 bit/s per channel;

*Note: If any uncontrolled equipment contains a 'network access controller', it cannot have any type of telecommunications interface, except those described in, but not controlled by X.A.III.101.b.4.*

5. Employing a 'laser' and having any of the following characteristics:
  - a. A transmission wavelength exceeding 1 000 nm; or
  - b. Employing analog techniques and having a bandwidth exceeding 45 MHz;
  - c. Employing coherent optical transmission or coherent optical detection techniques (also called optical heterodyne or homodyne techniques);
  - d. Employing wavelength division multiplexing techniques; or
  - e. Performing 'optical amplification';
6. Radio equipment operating at input or output frequencies exceeding:
  - a. 31 GHz for satellite-earth station applications; or

- b. 26,5 GHz for other applications;

*Note: X.A.III.101.b.6 does not control equipment for civil use when conforming with an International Telecommunications Union (ITU) allocated band between 26,5 GHz and 31 GHz.*

7. Being radio equipment employing any of the following:

- a. Quadrature-amplitude-modulation (QAM) techniques above level 4 if the 'total digital transfer rate' exceeds 8,5 Mbit/s;
- b. QAM techniques above level 16 if the 'total digital transfer rate' is equal to or less than 8,5 Mbit/s;
- c. Other digital modulation techniques and having a 'spectral efficiency' exceeding 3 bit/s/Hz; or
- d. Operating in the 1,5 MHz to 87,5 MHz band and incorporating adaptive techniques providing more than 15 dB suppression of an interfering signal.

*Notes:*

*1. X.A.III.101.b.7 does not control equipment specially designed to be integrated and operated in any satellite system for civil use.*

*2. X.A.III.101.b.7 does not control radio relay equipment for operation in an International Telecommunications Union (ITU) allocated band:*

*a. Having any of the following:*

- 1. Not exceeding 960 MHz; or*
- 2. With a 'total digital transfer rate' not exceeding 8,5 Mbit/s; and*

*b. Having a 'spectral efficiency' not exceeding 4 bit/s/Hz.*

c. 'Stored program controlled' switching equipment and related signalling systems, having any of the following characteristics, functions or features, and specially designed components and accessories therefor:

*Note: Statistical multiplexers with digital input and digital output which provide switching are treated as 'stored program controlled' switches.*

- 1. 'Data (message) switching' equipment or systems designed for 'packet-mode operation', electronic assemblies and components therefor, other than those specified in the CML or in Regulation (EU) 2021/821.
- 2. Not used;
- 3. Routing or switching of 'datagram' packets;

*Note: X.A.III.101.c.3 does not control networks restricted to using only 'network access controllers' or to 'network access controllers' themselves.*

- 4. Not used;
- 5. Multi-level priority and pre-emption for circuit switching;

*Note: X.A.III.101.c.5 does not control single-level call preemption.*

6. Designed for automatic hand-off of cellular radio calls to other cellular switches or automatic connection to a centralised subscriber data base common to more than one switch;
7. Containing 'stored program controlled' digital cross connect equipment with 'digital transfer rate' exceeding 8,5 Mbit/s per port.
8. 'Common channel signalling' operating in either non-associated or quasi-associated mode of operation;
9. 'Dynamic adaptive routing';
10. Being packet switches, circuit switches and routers with ports or lines exceeding any of the following:
  - a. A 'data signalling rate' of 64 000 bit/s per channel for a 'communications channel controller'; or

*Note: X.A.III.101.c.10.a does not control multiplex composite links composed only of communication channels not individually controlled by X.A.III.101.b.1.*

- b. A 'digital transfer rate' of 33 Mbit/s for a 'network access controller' and related common media;

*Note: X.A.III.101.c.10 does not control packet switches or routers with ports or lines not exceeding the limits in X.A.III.101.c.10.*

11. 'Optical switching';
  12. Employing 'Asynchronous Transfer Mode' ('ATM') techniques.
- d. Optical fibres and optical fibre cables of more than 50 m in length designed for single mode operation;
- e. Centralised network control having all of the following characteristics:
  1. Receives data from the nodes; and
  2. Process these data in order to provide control of traffic not requiring operator decisions, and thereby performing 'dynamic adaptive routing';

*Note 1: X.A.III.101.e does not include cases of routing decisions taken on predefined information.*

*Note 2: X.A.III.101.e does not preclude control of traffic as a function of predictable statistical traffic conditions.*

- f. Phased array antennas, operating above 10,5 GHz, containing active elements and distributed components, and designed to permit electronic control of beam shaping and pointing, except for landing systems with instruments meeting International Civil Aviation Organization (ICAO) standards (microwave landing systems (MLS)).
  - g. Mobile communications equipment other than those specified in the CML or in Regulation (EU) 2021/821, electronic assemblies and components therefor; or

h. Radio relay communications equipment designed for use at frequencies equal to or exceeding 19,7 GHz and components therefor, other than those specified in the CML or in Regulation (EU) 2021/821.

*Technical Note: For the purpose of X.A.III.101:*

- 1) 'Asynchronous transfer mode' ('ATM') is a transfer mode in which the information is organised into cells; it is asynchronous in the sense that the recurrence of cells depends on the required or instantaneous bit rate.*
- 2) 'Bandwidth of one voice channel' is data communication equipment designed to operate in one voice channel of 3 100 Hz, as defined in CCITT Recommendation G.151.*
- 3) 'Communications channel controller' is the physical interface that controls the flow of synchronous or asynchronous digital information. It is an assembly that can be integrated into computer or telecommunications equipment to provide communications access.*
- 4) 'Datagram' is a self-contained, independent entity of data carrying sufficient information to be routed from the source to the destination data terminal equipment without reliance on earlier exchanges between this source and destination data terminal equipment and the transporting network.*
- 5) 'Fast select' is a facility applicable to virtual calls that allows data terminal equipment to expand the possibility to transmit data in call set-up and clearing 'packets' beyond the basic capabilities of a virtual call.*
- 6) 'Gateway' is the function, realised by any combination of equipment and 'software', to carry out the conversion of conventions for representing, processing or communicating information used on one system into the corresponding, but different conventions used in another system.*
- 7) 'Integrated Services Digital Network' (ISDN) is a unified end-to-end digital network, in which data originating from all types of communication (e.g., voice, text, data, still and moving pictures) are transmitted from one port (terminal) in the exchange (switch) over one access line to and from the subscriber.*
- 8) 'Packet' is a group of binary digits including data and call control signals that is switched as a composite whole. The data, call control signals, and possible error control information are arranged in a specified format.*
- 9) 'Common channel signalling' means the transmission of control information (signalling) via a separate channel than that used for the messages. The signalling channel usually controls multiple message channels.*
- 10) 'Data signalling rate' means the rate, as defined in ITU Recommendation 53-36, taking into account that, for non-binary modulation, baud and bit per second are not equal. Bits for coding, checking and synchronization functions are to be included.*
- 11) 'Dynamic adaptive routing' means Automatic rerouting of traffic based on sensing and analysis of current actual network conditions*

12) 'Media access unit' means equipment that contains one or more communication interfaces ('network access controller', 'communications channel controller', modem or computer bus) to connect terminal equipment to a network.

13) 'Spectral efficiency' is the 'digital transfer rate' [bits/s] / 6 dB spectrum bandwidth in Hz.

14) 'Stored program controlled' is a control using instructions stored in an electronic storage that a processor can execute in order to direct the performance of predetermined functions. Note: Equipment may be 'stored program controlled' whether the electronic storage is internal or external to the equipment.

#### X.B.III.101

Telecommunications test equipment, other than those specified in the CML or in Regulation (EU) 2021/821.

#### X.C.III.101

Preforms of glass or of any other material optimised for the manufacture of optical fibres controlled by X.A.III.101.

#### X.D.III.101

'Software' specially designed or modified for the 'development', 'production' or 'use' of equipment controlled by X.A.III.101 and X.B.III.101, and dynamic adaptive routing software as described as follows:

- a. 'Software', other than in machine-executable form, specially designed for 'dynamic adaptive routing'.
- b. Not used;

#### X.E.III.101

'Technology' for the 'development', 'production' or 'use' of equipment controlled by X.A.III.101 or X.B.III.101, or 'software' controlled by X.D.III.101, and other 'technologies' as follows:

- a. Specific 'technologies' as follows:
  1. 'Technology' for the processing and application of coatings to optical fibre specially designed to make it suitable for underwater use;
  2. 'Technology' for the 'development' of equipment employing 'Synchronous Digital Hierarchy' ('SDH') or 'Synchronous Optical Network' ('SONET') techniques.

*Technical Note: For the purpose of X.E.III.101:*

1) 'Synchronous digital hierarchy' (SDH) is a digital hierarchy providing a means to manage, multiplex, and access various forms of digital traffic using a synchronous transmission format on

*different types of media. The format is based on the Synchronous Transport Module (STM) that is defined by CCITT Recommendation G.703, G.707, G.708, G.709 and others yet to be published. The first level rate of 'SDH' is 155,52 Mbits/s.*

*2) 'Synchronous optical network' (SONET) is a network providing a means to manage, multiplex and access various forms of digital traffic using a synchronous transmission format on fibre optics. The format is the North America version of 'SDH' and also uses the Synchronous Transport Module (STM). However, it uses the Synchronous Transport Signal (STS) as the basic transport module with a first level rate of 51,81 Mbits/s. The SONET standards are being integrated into those of 'SDH'.*

### Category III. Part 2 - Information Security

*Note: Category III. Part 2 does not control goods for the personal use of the natural persons.*

#### X.A.III.201

Equipment as follows:

- a. Not used;
- b. Not used;
- c. Goods classified as mass market encryption in accordance with Cryptography Note – Note 3 to Category 5, Part 2 ( [22](#) ).

#### X.D.III.201

'Information Security' 'software' as follows:

*Note: This entry does not control 'software' designed or modified to protect against malicious computer damage, e.g., viruses, where the use of 'cryptography' is limited to authentication, digital signature and/or the decryption of data or files.*

- a. Not used;
- b. Not used;
- c. 'Software' classified as mass market encryption software in accordance with Cryptography Note – Note 3 to Category 5, Part 2 ( [23](#) ).

#### X.E.III.201

'Information Security' 'technology' according to the General Technology Note, as follows:

- a. Not used;
- b. 'Technology', other than specified in the CML or in Regulation (EU) 2021/821, for the 'use' of mass market goods controlled by X.A.III.201.c or mass market 'software' controlled by X.D.III.201.c.

## Category IV – Sensors and Lasers

### X.A.IV.001

Marine or terrestrial acoustic equipment, capable of detecting or locating underwater objects or features or positioning surface vessels or underwater vehicles; and specially designed components, other than those specified in the CML or in Regulation (EU) 2021/821.

### X.A.IV.002

Optical Sensors as follows:

a. Image intensifier tubes and specially designed components therefor, as follows:

1. Image intensifier tubes having all the following:

- a. A peak response in wavelength range exceeding 400 nm, but not exceeding 1 050 nm;
- b. A microchannel plate for electron image amplification with a hole pitch (center-to-center spacing) of less than 25 micrometers; and
- c. Having any of the following:
  1. An S-20, S-25 or multialkali photocathode; or
  2. A GaAs or GaInAs photocathode;

2. Specially designed microchannel plates having both of the following characteristics:

- a. 15 000 or more hollow tubes per plate; and
- b. Hole pitch (center-to-center spacing) of less than 25 micrometers.

b. Direct view imaging equipment operating in the visible or infrared spectrum, incorporating image intensifier tubes having the characteristics listed in X.A.IV.002.a.1.

### X.A.IV.003

Cameras as follows:

a. Cameras that meet the criteria of Note 3 to 6A003.b.4. ( 24 )

b. Not used;

### X.A.IV.004

Optics as follows:

a. Optical filters:

1. For wavelengths longer than 250 nm, comprised of multi-layer optical coatings and having either of the following:

- a. Bandwidths equal to or less than 1 nm Full Width Half Intensity (FWHI) and peak transmission of 90 % or more; or



- b. Bandwidths equal to or less than 0,1 nm FWHI and peak transmission of 50 % or more;

*Note: X.A.IV.004 does not control optical filters with fixed air gaps or Lyot-type filters.*

- 2. For wavelengths longer than 250 nm, and having all of the following:
  - a. Tunable over a spectral range of 500 nm or more;
  - b. Instantaneous optical bandpass of 1,25 nm or less;
  - c. Wavelength resettable within 0,1 ms to an accuracy of 1 nm or better within the tunable spectral range; and
  - d. A single peak transmission of 91 % or more;
- 3. Optical opacity switches (filters) with a field of view of 30° or wider and a response time equal to or less than 1 ns;

b. 'Fluoride fibre' cable, or optical fibres therefor, having an attenuation of less than 4 dB/km in the wavelength range exceeding 1 000 nm but not exceeding 3 000 nm.

*Technical Note: For the purpose of X.A.IV.004.b 'Fluoride fibres' are fibres manufactured from bulk fluoride compounds.*

#### X.A.IV.005

'Lasers' as follows:

- a. Carbon dioxide (CO<sub>2</sub>) 'lasers' having any of the following:
  - 1. A CW output power exceeding 10 kW;
  - 2. A pulsed output with a 'pulse duration' exceeding 10 µs; and
    - a. An average output power exceeding 10 kW; or
    - b. A pulsed 'peak power' exceeding 100 kW; or
  - 3. A pulsed output with a 'pulse duration' equal to or less than 10 µs; and
    - a. A pulse energy exceeding 5 J per pulse and 'peak power' exceeding 2,5 kW; or
    - b. An average output power exceeding 2,5 kW;
- b. Semiconductor lasers, as follows:
  - 1. Individual, single-transverse mode semiconductor 'lasers' having:
    - a. An average output power exceeding 100 mW; or
    - b. A wavelength exceeding 1 050 nm;
  - 2. Individual, multiple-transverse mode semiconductor 'lasers', or arrays of individual semiconductor 'lasers', having a wavelength exceeding 1 050 nm;
- c. Ruby 'lasers' having an output energy exceeding 20 J per pulse;
- d. Non-'tunable' pulsed lasers' having an output wavelength exceeding 975 nm but not exceeding 1 150 nm and having any of the following:
  - 1. A 'pulse duration' equal to or exceeding 1 ns but not exceeding 1 µs, and having any of the following:

- a. A single transverse mode output and having any of the following:
  - 1. A 'wall-plug efficiency' exceeding 12 % and an 'average output power' exceeding 10 W and capable of operating at a pulse repetition frequency greater than 1 kHz; or
  - 2. An 'average output power' exceeding 20 W; or
- b. A multiple transverse mode output and having any of the following:
  - 1. A 'wall-plug efficiency' exceeding 18 % and an 'average output power' exceeding 30W;
  - 2. A 'peak power' exceeding 200 MW; or
  - 3. An 'average output power' exceeding 50 W; or
- 2. A 'pulse duration' exceeding 1  $\mu$ s and having any of the following:
  - a. A single transverse mode output and having any of the following:
    - 1. A 'wall-plug efficiency' exceeding 12 % and an 'average output power' exceeding 10 W and capable of operating at a pulse repetition frequency greater than 1 kHz; or
    - 2. An 'average output power' exceeding 20 W; or
  - b. A multiple transverse mode output and having any of the following:
    - 1. A 'wall-plug efficiency' exceeding 18 % and an 'average output power' exceeding 30 W; or
    - 2. An 'average output power' exceeding 500 W;
- e. Non-'tunable' continuous wave (CW) lasers', having an output wavelength exceeding 975 nm but not exceeding 1 150 nm and having any of the following:
  - 1. A single transverse mode output and having any of the following:
    - a. A 'wall-plug efficiency' exceeding 12 % and an 'average output power' exceeding 10 W and capable of operating at a pulse repetition frequency greater than 1 kHz; or
    - b. An 'average output power' exceeding 50 W; or
  - 2. A multiple transverse mode output and having any of the following:
    - a. A 'wall-plug efficiency' exceeding 18 % and an 'average output power' exceeding 30 W; or
    - b. An 'average output power' exceeding 500 W;

*Note: X.A.IV.005.e.2.b does not control multiple transverse mode, industrial 'lasers' with output power less than or equal to 2 kW with a total mass greater than 1 200 kg. For the purpose of this note, total mass includes all components required to operate the 'laser', e.g., 'laser', power supply, heat exchanger, but excludes external optics for beam conditioning and/or delivery.*

- f. Non-'tunable' lasers', having a wavelength exceeding 1 400 nm, but not exceeding 1 555 nm and having any of the following:

1. An output energy exceeding 100 mJ per pulse and a pulsed 'peak power' exceeding 1 W; or
2. An average or CW output power exceeding 1 W;

g. Free electron 'lasers'.

*Technical Note: For the purpose of X.A.IV.005 'Wall-plug efficiency' is defined as the ratio of "laser" output power (or "average output power") to total electrical input power required to operate the "laser", including the power supply/conditioning and thermal conditioning/heat exchanger.*

#### X.A.IV.006

'Magnetometers', 'Superconductive' electromagnetic sensors, and specially designed components therefor, as follows:

a. 'Magnetometers', other than those specified in the CML or in Regulation (EU) 2021/821, having a 'sensitivity' lower (better) than 1,0 nT (rms) per square root Hz.

*Technical Note: For the purposes of X.A.IV.006.a, 'sensitivity' (noise level) is the root mean square of the device-limited noise floor which is the lowest signal that can be measured.*

b. 'Superconductive' electromagnetic sensors, components manufactured from 'superconductive' materials:

1. Designed for operation at temperatures below the 'critical temperature' of at least one of their 'superconductive' constituents (including Josephson effect devices or 'superconductive' quantum interference devices (SQUIDS));
2. Designed for sensing electromagnetic field variations at frequencies of 1 KHz or less; and
3. Having any of the following characteristics:
  - a. Incorporating thin-film SQUIDS with a minimum feature size of less than 2  $\mu\text{m}$  and with associated input and output coupling circuits;
  - b. Designed to operate with a magnetic field slew rate exceeding  $1 \times 10^6$  magnetic flux quanta per second;
  - c. Designed to function without magnetic shielding in the earth's ambient magnetic field; or
  - d. Having a temperature coefficient less (smaller) than 0,1 magnetic flux quantum/K.

#### X.A.IV.007

Gravity meters (gravimeters) for ground use, other than those specified in the CML or in Regulation (EU) 2021/821, as follows:

- a. Having a static accuracy of less (better) than 100  $\mu\text{Gal}$ ; or
- b. Being of the quartz element (Worden) type.

#### X.A.IV.008

Radar systems, equipment and major components, other than those specified in the CML or in Regulation (EU) 2021/821, and specially designed components therefor, as follows:

- a. Airborne radar equipment, other than those specified in the CML or in Regulation (EU) 2021/821, and specially designed components therefor.
- b. 'Space-qualified' 'laser' radar or Light Detection and Ranging (LIDAR) equipment specially designed for surveying or for meteorological observation.
- c. Millimeter wave enhanced vision radar imaging systems specially designed for rotary wing aircraft and having all of the following:
  1. Operates at a frequency of 94 GHz;
  2. An average output power of less than 20 mW;
  3. Radar beam width of 1 degree; and
  4. Operating range equal to or greater than 1 500 m.

#### X.A.IV.009

Specific processing equipment, as follows:

- a. Seismic detection equipment not controlled by X.A.IV.009.c.
- b. Radiation hardened TV cameras, other than those specified in the CML or in Regulation (EU) 2021/821.
- c. Seismic intrusion detection systems that detect, classify and determine the bearing on the source of a detected signal.

#### X.B.IV.001

Equipment, including tools, dies, fixtures or gauges, and other specially designed components and accessories therefor, specially designed or modified for any of the following:

- a. For the manufacture or inspection of:
  1. Free electron 'laser' magnet wigglers;
  2. Free electron 'laser' photo injectors;
- b. For the adjustment, to required tolerances, of the longitudinal magnetic field of free electron 'lasers'.

#### X.C.IV.001

Optical sensing fibres that are modified structurally to have a 'beat length' of less than 500 mm (high birefringence) or optical sensor materials not described in 6C002.b ( <sup>25</sup> ) and having a zinc content of equal to or more than 6 % by 'mole fraction.'

*Technical Note: For the purpose of X.C.IV.001:*

1) 'Mole fraction' is defined as the ratio of moles of ZnTe to the sum of the moles of CdTe and ZnTe present in the crystal.

2) 'Beat length' is the distance over which two orthogonally polarised signals, initially in phase, must pass in order to achieve a  $2\pi$  radian(s) phase difference.

#### X.C.IV.002

Optical materials, as follows:

a. Low optical absorption materials, as follows:

1. Bulk fluoride compounds containing ingredients with a purity of 99,999 % or better; or

*Note: X.C.IV.002.a.1 controls fluorides of zirconium or aluminum and variants.*

2. Bulk fluoride glass made from compounds controlled by 6C004.e.1 ( <sup>26</sup> );

b. 'Optical fibre preforms' made from bulk fluoride compounds containing ingredients with a purity of 99,999 % or better, 'specially designed' for the manufacture of 'fluoride fibres' controlled by X.A.IV.004.b.

*Technical Note: For the purpose of X.C.IV.002:*

1) 'Fluoride fibres' are fibres manufactured from bulk fluoride compounds.

2) 'Optical fibre preforms' are bars, ingots, or rods of glass, plastic or other materials that have been specially processed for use in fabricating optical fibres. The characteristics of the preform determine the basic parameters of the resultant drawn optical fibres.

#### X.D.IV.001

'Software', other than those specified in the CML or in Regulation (EU) 2021/821, specially designed for the 'development', 'production', or 'use' of goods controlled by 6A002, 6A003 ( <sup>27</sup> ), X.A.IV.001, X.A.IV.006, X.A.IV.007, or X.A.IV.008.

#### X.D.IV.002

'Software' specially designed for the 'development' or 'production' of equipment controlled by X.A.IV.002, X.A.IV.004, or X.A.IV.005.

#### X.D.IV.003

Other 'software', as follows:

a. Air Traffic Control (ATC) 'software' application 'programs' hosted on general purpose computers located at Air Traffic Control centers, and capable of automatically handing over primary radar target data (if not correlated with secondary surveillance radar (SSR) data) from the host ATC center to another ATC center.

b. 'Software' specially designed for seismic intrusion detection systems in X.A.IV.009.c.

c. 'Source Code' specially designed for seismic intrusion detection systems in X.A.IV.009.c.

X.E.IV.001

'Technology' for the 'development', 'production' or 'use' of equipment controlled by X.A.IV.001, X.A.IV.006, X.A.IV.007, X.A.IV.008 or X.A.IV.009.c.

X.E.IV.002

'Technology' for the 'development' or 'production' of equipment, materials or 'software' controlled by X.A.IV.002, X.A.IV.004, or X.A.IV.005, X.B.IV.001, X.C.IV.001, X.C.IV.002, or X.D.IV.003.

X.E.IV.003

Other 'technology' as follows:

a. Optical fabrication technologies for serially producing optical components at a rate exceeding 10 m<sup>2</sup> of surface area per year on any single spindle and having all of the following:

1. Area exceeding 1 m<sup>2</sup>; and
2. Surface figure exceeding  $\lambda/10$  (rms) at the designed wavelength;

b. 'Technology' for optical filters with a bandwidth equal to or less than 10 nm, a field of view (FOV) exceeding 40° and a resolution exceeding 0,75 line pairs per milliradian;

c. 'Technology' for the 'development' or 'production' of cameras controlled by X.A.IV.003;

d. 'Technology' required for the 'development' or 'production' of non-triaxial fluxgate 'magnetometers' or non-triaxial fluxgate 'magnetometer' systems, having any of the following:

1. 'Sensitivity' lower (better) than 0,05 nT (rms) per square root Hz at frequencies of less than 1 Hz; or
2. 'Sensitivity' lower (better) than  $1 \times 10^{-3}$  nT (rms) per square root Hz at frequencies of 1 Hz or more.

e. 'Technology' required for the 'development' or 'production' of infrared up-conversion devices having all of the following:

1. A response in the wavelength range exceeding 700 nm but not exceeding 1 500 nm; and
2. A combination of an infrared photodetector, light emitting diode (OLED), and nanocrystal to convert infrared light into visible light.

*Technical Note: For the purposes of X.E.IV.003, 'sensitivity' (or noise level) is the root mean square of the device-limited noise floor which is the lowest signal that can be measured.*

Category V – Navigation and Avionics

X.A.V.001

Airborne communication equipment, all "aircraft" inertial navigation systems, and other avionic equipment, including components, other than those specified in the CML or in Regulation (EU) 2021/821.

*Note 1: X.A.V.001. does not control headsets or microphones.*

*Note 2: X.A.V.001. does not control goods for the personal use of the natural persons.*

#### *X.B.V.001*

Other equipment specially designed for the test, inspection, or 'production' of navigation and avionics equipment.

#### *X.D.V.001*

'Software', other than specified in the CML or in Regulation (EU) 2021/821, for the 'development', 'production', or 'use' of navigation, airborne communication and other avionics.

#### *X.E.V.001*

'Technology', other than specified in the CML or in Regulation (EU) 2021/821, for the 'development', 'production' or 'use' of navigation, airborne communication, and other avionics equipment.

### Category VI – Marine

#### *X.A.VI.001*

Vessels, marine systems or equipment, and specially designed components therefor, components and accessories as follows:

a. Underwater vision systems, as follows:

1. Television systems (comprising camera, lights, monitoring and signal transmission equipment) having a limiting resolution when measured in air of more than 500 lines and specially designed or modified for remote operation with a submersible vehicle; or
2. Underwater television cameras having a limiting resolution when measured in air of more than 700 lines;

*Technical Note: Limiting resolution in television is a measure of horizontal resolution usually expressed in terms of the maximum number of lines per picture height discriminated on a test chart, using IEEE Standard 208/1960 or any equivalent standard.*

b. Photographic still cameras specially designed or modified for underwater use, having a film format of 35 mm or larger, and having autofocus or remote focusing 'specially designed' for underwater use;

c. Stroboscopic light systems, specially designed or modified for underwater use, capable of a light output energy of more than 300 J per flash;

d. Other underwater camera equipment, other than those specified in the CML or in Regulation (EU) 2021/821;

e. Not used;

f. Vessels (surface or underwater), including inflatable boats, and specially designed components therefor, other than those specified in the CML or in Regulation (EU) 2021/821;

*Note: X.A.VI.001.f does not control vessels on temporary sojourn, used for private transport or for the transport of passengers or goods from or through the customs territory of the Union.*

g. Marine engines (both inboard and outboard) and submarine engines and specially designed components therefor, other than those specified in the CML or in Regulation (EU) 2021/821;

h. Self-contained underwater breathing apparatus (scuba gear) and accessories therefor, other than those specified in the CML or in Regulation (EU) 2021/821;

i. Life jackets, inflation cartridges, dive compasses and dive computers;

*Note: X.A.VI.001.i does not control goods for the personal use of the natural persons.*

j. Underwater lights and propulsion equipment;

*Note: X.A.VI.001.j does not control goods for the personal use of the natural persons.*

k. Air compressors and filtration system specially designed for filling air cylinders;

X.D.VI.001

'Software' specially designed or modified for the 'development', 'production' or 'use' of equipment controlled by X.A.VI.001.

X.D.VI.002

'Software' specially designed for the operation of unmanned submersible vehicles used in the oil and gas industry.

X.E.VI.001

'Technology' for the 'development', 'production' or 'use' of equipment controlled by X.A.VI.001.

## Category VII – Aerospace and Propulsion

X.A.VII.001

### ▼M11

Diesel engines, and tractors and specially designed components therefor, other than those specified in the CML or in Regulation (EU) 2021/821:



#### ▼M7

- a. Diesel engines, other than those specified in the CML or in Regulation (EU) 2021/821, for trucks, tractors, and automotive applications, having an overall power output of 298kW or more.
- b. Off highway wheel tractors of carriage capacity 9 t or more; and major components and accessories, other than those specified in the CML or in Regulation (EU) 2021/821.
- c. Road tractors for semi-trailers, with single or tandem rear axles rated for 9 t per axel or more and specially designed major components.

*Note: X.A.VII.001.b and X.A.VII.001.c do not control vehicles on temporary sojourn, used for private transport or for the transport of passengers or goods from or through the customs territory of the Union.*

#### X.A.VII.002

Gas turbine engines and components, other than those specified in the CML or in Regulation (EU) 2021/821.

- a. Not used.
- b. Not used.

#### ▼M11

- c. Aero gas turbine engines and components specially designed therefor.

#### ▼M7

*Note: X.A.VII.002.c does not control aero gas turbine engines that are destined for use in civil 'aircraft' and that have been in use in bona fide civil 'aircraft' for more than eight years. If they have been in use in bona fide civil 'aircraft' for more than eight years, see ANNEX XI.*

- d. Not used.
- e. Pressurised aircraft breathing equipment components specially designed therefor, other than those specified in the CML or in Regulation (EU) 2021/821.

#### X.B.VII.001

Vibration test equipment and specially designed components, other than those specified in the CML or in Regulation (EU) 2021/821.

*Note: X.B.VII.001. controls only equipment for the 'development' or 'production'. It does not control condition monitoring systems.*

#### X.B.VII.002

Specially designed 'equipment', tooling or fixtures for manufacturing or measuring gas turbine blades, vanes or tip shroud castings, as follows:

- a. Automated equipment using non-mechanical methods for measuring airfoil wall thickness;

- b. Tooling, fixtures or measuring equipment for the 'laser', water jet or ECM/EDM hole drilling processes controlled by 9E003.c ( [28](#) );
- c. Ceramic core leaching equipment;
- d. Ceramic core manufacturing equipment or tools;
- e. Ceramic shell wax pattern preparation equipment;
- f. Ceramic shell burn out or firing equipment.

#### X.D.VII.001

'Software', other than those specified in the CML or in Regulation (EU) 2021/821, for the 'development' or 'production' of equipment controlled by X.A.VII.001 or X.B.VII.001.

#### X.D.VII.002

'Software', for the 'development' or 'production' of equipment controlled by X.A.VII.002 or X.B.VII.002.

#### X.E.VII.001

'Technology', other than those specified in the CML or in Regulation (EU) 2021/821, for the 'development' or 'production' or 'use' of equipment controlled by X.A.VII.001 or X.B.VII.001.

#### X.E.VII.002

'Technology', for the 'development', 'production' or 'use' of equipment controlled by X.A.VII.002 or X.B.VII.002.

#### X.E.VII.003

Other 'technology', not described by 9E003 ( [29](#) ), as follows:

- a. Rotor blade tip clearance control systems employing active compensating casing 'technology' limited to a design and development data base; or
- b. Gas bearing for turbine engine rotor assemblies.

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## ANNEX VIII

### List of partner countries referred to in Articles 2(4), 2a(4) and 2d(4)

THE UNITED STATES OF AMERICA

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## ANNEX IX

*Concerning the models referred to in this Annex, the author of this compilation would refer you to the official journal.*

### A. Model for supply, transfer or export notification, application and authorisation forms (referred to in Article 2c of this Regulation)

The export authorisation is valid in all Member States of the European Union until its expiry date.

### B. Model for brokering services/ technical assistance notification, application and authorisation forms (referred to in Article 2C of this Regulation)

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(1) In Model A, all references to 'Regulation XXX/XXX' are replaced by 'Regulation (EU) No 833/2014'.

(2) In Model B, all references to 'Regulation XXX/XXX' are replaced by 'Regulation (EU) No 833/2014'.

#### ▼M7

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## ANNEX X

### List of goods and technologies referred to in Article 3b(1)

CN	Product
8479 89 97 or 8543 70 90	Alkylation and isomerization units
8479 89 97 or 8543 70 90	Aromatic hydrocarbon production units

8419 40 00	Atmospheric-vacuum crude distillation units (CDU)
8479 89 97 or 8543 70 90	Catalytic reforming / cracker units
8419 89 98 , 8419 89 30 or 8419 89 10	Delayed cokers
8419 89 98 , 8419 89 30 or 8419 89 10	Flexicoking units
8479 89 97	Hydrocracking reactors
8419 89 98 , 8419 89 30 , 8419 89 10 , or 8479 89 97	Hydrocracking reactor vessels
8479 89 97 or 8543 70 90	Hydrogen generation technology
8421 39 15 , 8421 39 25 , 8421 39 35 , 8421 39 85 , 8479 89 97 or 8543 70 90	Hydrogen recovery and purification technology
8479 89 97 or 8543 70 90	Hydrotreatment technology/units
8479 89 97 or 8543 70 90	Naphtha isomerisation units
8479 89 97 or 8543 70 90	Polymerisation units
8419 89 10 , 8419 89 30 , or 8419 89 98 , 8479 89 97 or 8543 70 90	Refinery fuel gas treatment and sulphur recovery technology (including amine scrubbing units, sulphur recovery units, tail gas treatment units)
8456 90 00 , 8479 89 97 or 8543 70 90	Solvent de-asphalting units
8479 89 97 or 8543 70 90	Sulphur production units
8479 89 97 or 8543 70 90	Sulphuric acid alkylation and sulphuric acid regeneration units
8419 89 10 , 8419 89 30 , or 8419 89 98 , 8479 89 97 or 8543 70 90	Thermal cracking units
8479 89 97 or 8543 70 90	[Toluene and heavy aromatics] Transalkylation units
8479 89 97 or 8543 70 90	Visbreakers

8479 89 97 or 8543 70 90	Vacuum gas oil hydrocracking units
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#### ANNEX XI

##### List of goods and technologies referred to in Article 3c(1)

CN Code	Description
88	Aircraft, spacecraft, and parts thereof

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#### ANNEX XII

##### List of legal persons, entities and bodies referred to in Article 5(2)(c)

Alfa Bank;  
Bank Otkritie;  
Bank Rossiya; and  
Promsvyazbank

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#### ANNEX XIII

##### List of legal persons, entities and bodies referred to in Article 5(4)(a)

Almaz-Antey;  
Kamaz;  
Novorossiysk Commercial Sea Port;  
Rostec (Russian Technologies State Corporation);  
Russian Railways;  
JSC PO Sevmash;

Sovcomflot; and  
United Shipbuilding Corporation

▼M11

Russian Maritime Register of Shipping

▼M7

#### ANNEX XIV

##### List of legal persons, entities and bodies referred to in Article 5h

Bank Otkritie

Novikombank

Promsvyazbank

Bank Rossiya

Sovcombank

VNESHECONOMBANK (VEB)

VTB BANK

▼M10

#### ANNEX XV

##### LIST OF LEGAL PERSONS, ENTITIES OR BODIES REFERRED TO IN ARTICLE 2F

RT- Russia Today English

RT- Russia Today UK

RT - Russia Today Germany

RT - Russia Today France

RT- Russia Today Spanish

Sputnik

▼M11

#### ANNEX XVI

##### LIST OF GOODS AND TECHNOLOGY REFERRED TO IN ARTICLE 3F

## Category VI – Marine

X.A.VI.001

Vessels, marine systems or equipment, and specially designed components therefor, components and accessories:

(a) Equipment contained in chapter 4 (navigation equipment) of the applicable Commission Implementing Regulation on design, construction and performance requirements and testing standards for marine equipment adopted in accordance with Article 35(2) of Directive 2014/90/EU of the European Parliament and of the Council of 23 July 2014 on marine equipment;

(b) Equipment contained in chapter 5 (radio-communication equipment) of the applicable Commission Implementing Regulation on design, construction and performance requirements and testing standards for marine equipment adopted in accordance with Article 35(2) of Directive 2014/90/EU of the European Parliament and of the Council of 23 July 2014 on marine equipment;

▼M12

ANNEX XVII

### LIST OF IRON AND STEEL PRODUCTS REFERRED TO IN ARTICLE 3g

CN/TARIC Codes	Name of the good
7208 10 00	Non Alloy and Other Alloy Hot Rolled Sheets and Strips
7208 25 00	Non Alloy and Other Alloy Hot Rolled Sheets and Strips
7208 26 00	Non Alloy and Other Alloy Hot Rolled Sheets and Strips
7208 27 00	Non Alloy and Other Alloy Hot Rolled Sheets and Strips
7208 36 00	Non Alloy and Other Alloy Hot Rolled Sheets and Strips
7208 37 00	Non Alloy and Other Alloy Hot Rolled Sheets and Strips
7208 38 00	Non Alloy and Other Alloy Hot Rolled Sheets and Strips
7208 39 00	Non Alloy and Other Alloy Hot Rolled Sheets and Strips
7208 40 00	Non Alloy and Other Alloy Hot Rolled Sheets and Strips
7208 52 99	Non Alloy and Other Alloy Hot Rolled Sheets and Strips
7208 53 90	Non Alloy and Other Alloy Hot Rolled Sheets and Strips
7208 54 00	Non Alloy and Other Alloy Hot Rolled Sheets and Strips

7211 14 00	Non Alloy and Other Alloy Hot Rolled Sheets and Strips
7211 19 00	Non Alloy and Other Alloy Hot Rolled Sheets and Strips
7212 60 00	Non Alloy and Other Alloy Hot Rolled Sheets and Strips
7225 19 10	Non Alloy and Other Alloy Hot Rolled Sheets and Strips
7225 30 10	Non Alloy and Other Alloy Hot Rolled Sheets and Strips
7225 30 30	Non Alloy and Other Alloy Hot Rolled Sheets and Strips
7225 30 90	Non Alloy and Other Alloy Hot Rolled Sheets and Strips
7225 40 15	Non Alloy and Other Alloy Hot Rolled Sheets and Strips
7225 40 90	Non Alloy and Other Alloy Hot Rolled Sheets and Strips
7226 19 10	Non Alloy and Other Alloy Hot Rolled Sheets and Strips
7226 91 20	Non Alloy and Other Alloy Hot Rolled Sheets and Strips
7226 91 91	Non Alloy and Other Alloy Hot Rolled Sheets and Strips
7226 91 99	Non Alloy and Other Alloy Hot Rolled Sheets and Strips
7209 15 00	Non Alloy and Other Alloy Cold Rolled Sheets
7209 16 90	Non Alloy and Other Alloy Cold Rolled Sheets
7209 17 90	Non Alloy and Other Alloy Cold Rolled Sheets
7209 18 91	Non Alloy and Other Alloy Cold Rolled Sheets
7209 25 00	Non Alloy and Other Alloy Cold Rolled Sheets
7209 26 90	Non Alloy and Other Alloy Cold Rolled Sheets
7209 27 90	Non Alloy and Other Alloy Cold Rolled Sheets
7209 28 90	Non Alloy and Other Alloy Cold Rolled Sheets
7209 90 20	Non Alloy and Other Alloy Cold Rolled Sheets
7209 90 80	Non Alloy and Other Alloy Cold Rolled Sheets
7211 23 20	Non Alloy and Other Alloy Cold Rolled Sheets
7211 23 30	Non Alloy and Other Alloy Cold Rolled Sheets
7211 23 80	Non Alloy and Other Alloy Cold Rolled Sheets
7211 29 00	Non Alloy and Other Alloy Cold Rolled Sheets
7211 90 20	Non Alloy and Other Alloy Cold Rolled Sheets



7211 90 80	Non Alloy and Other Alloy Cold Rolled Sheets
7225 50 20	Non Alloy and Other Alloy Cold Rolled Sheets
7225 50 80	Non Alloy and Other Alloy Cold Rolled Sheets
7226 20 00	Non Alloy and Other Alloy Cold Rolled Sheets
7226 92 00	Non Alloy and Other Alloy Cold Rolled Sheets
7209 16 10	Electrical Sheets (other than GOES)
7209 17 10	Electrical Sheets (other than GOES)
7209 18 10	Electrical Sheets (other than GOES)
7209 26 10	Electrical Sheets (other than GOES)
7209 27 10	Electrical Sheets (other than GOES)
7209 28 10	Electrical Sheets (other than GOES)
7225 19 90	Electrical Sheets (other than GOES)
7226 19 80	Electrical Sheets (other than GOES)
7210410020	Metallic Coated Sheets
7210410030	Metallic Coated Sheets
7210490020	Metallic Coated Sheets
7210490030	Metallic Coated Sheets
7210610020	Metallic Coated Sheets
7210610030	Metallic Coated Sheets
7210690020	Metallic Coated Sheets
7210690030	Metallic Coated Sheets
7212300020	Metallic Coated Sheets
7212300030	Metallic Coated Sheets
7212506120	Metallic Coated Sheets
7212506130	Metallic Coated Sheets
7212506920	Metallic Coated Sheets
7212506930	Metallic Coated Sheets
7225920020	Metallic Coated Sheets

7225920030	Metallic Coated Sheets
7225990011	Metallic Coated Sheets
7225990022	Metallic Coated Sheets
7225990023	Metallic Coated Sheets
7225990041	Metallic Coated Sheets
7225990045	Metallic Coated Sheets
7225990091	Metallic Coated Sheets
7225990092	Metallic Coated Sheets
7225990093	Metallic Coated Sheets
7226993010	Metallic Coated Sheets
7226993030	Metallic Coated Sheets
7226997011	Metallic Coated Sheets
7226997013	Metallic Coated Sheets
7226997091	Metallic Coated Sheets
7226997093	Metallic Coated Sheets
7226997094	Metallic Coated Sheets
7210 20 00	Metallic Coated Sheets
7210 30 00	Metallic Coated Sheets
7210 90 80	Metallic Coated Sheets
7212 20 00	Metallic Coated Sheets
7212 50 20	Metallic Coated Sheets
7212 50 30	Metallic Coated Sheets
7212 50 40	Metallic Coated Sheets
7212 50 90	Metallic Coated Sheets
7225 91 00	Metallic Coated Sheets
7226 99 10	Metallic Coated Sheets
7210410080	Metallic Coated Sheets
7210490080	Metallic Coated Sheets

7210610080	Metallic Coated Sheets
7210690080	Metallic Coated Sheets
7212300080	Metallic Coated Sheets
7212506180	Metallic Coated Sheets
7212506980	Metallic Coated Sheets
7225920080	Metallic Coated Sheets
7225990025	Metallic Coated Sheets
7225990095	Metallic Coated Sheets
7226993090	Metallic Coated Sheets
7226997019	Metallic Coated Sheets
7226997096	Metallic Coated Sheets
7210 70 80	Organic Coated Sheets
7212 40 80	Organic Coated Sheets
7209 18 99	Tin Mill products
7210 11 00	Tin Mill products
7210 12 20	Tin Mill products
7210 12 80	Tin Mill products
7210 50 00	Tin Mill products
7210 70 10	Tin Mill products
7210 90 40	Tin Mill products
7212 10 10	Tin Mill products
7212 10 90	Tin Mill products
7212 40 20	Tin Mill products
7208 51 20	Non Alloy and Other Alloy Quarto Plates
7208 51 91	Non Alloy and Other Alloy Quarto Plates
7208 51 98	Non Alloy and Other Alloy Quarto Plates
7208 52 91	Non Alloy and Other Alloy Quarto Plates
7208 90 20	Non Alloy and Other Alloy Quarto Plates

7208 90 80	Non Alloy and Other Alloy Quarto Plates
7210 90 30	Non Alloy and Other Alloy Quarto Plates
7225 40 12	Non Alloy and Other Alloy Quarto Plates
7225 40 40	Non Alloy and Other Alloy Quarto Plates
7225 40 60	Non Alloy and Other Alloy Quarto Plates
7219 11 00	Stainless Hot Rolled Sheets and Strips
7219 12 10	Stainless Hot Rolled Sheets and Strips
7219 12 90	Stainless Hot Rolled Sheets and Strips
7219 13 10	Stainless Hot Rolled Sheets and Strips
7219 13 90	Stainless Hot Rolled Sheets and Strips
7219 14 10	Stainless Hot Rolled Sheets and Strips
7219 14 90	Stainless Hot Rolled Sheets and Strips
7219 22 10	Stainless Hot Rolled Sheets and Strips
7219 22 90	Stainless Hot Rolled Sheets and Strips
7219 23 00	Stainless Hot Rolled Sheets and Strips
7219 24 00	Stainless Hot Rolled Sheets and Strips
7220 11 00	Stainless Hot Rolled Sheets and Strips
7220 12 00	Stainless Hot Rolled Sheets and Strips
7219 31 00	Stainless Cold Rolled Sheets and Strips
7219 32 10	Stainless Cold Rolled Sheets and Strips
7219 32 90	Stainless Cold Rolled Sheets and Strips
7219 33 10	Stainless Cold Rolled Sheets and Strips
7219 33 90	Stainless Cold Rolled Sheets and Strips
7219 34 10	Stainless Cold Rolled Sheets and Strips
7219 34 90	Stainless Cold Rolled Sheets and Strips
7219 35 10	Stainless Cold Rolled Sheets and Strips
7219 35 90	Stainless Cold Rolled Sheets and Strips
7219 90 20	Stainless Cold Rolled Sheets and Strips

7219 90 80	Stainless Cold Rolled Sheets and Strips
7220 20 21	Stainless Cold Rolled Sheets and Strips
7220 20 29	Stainless Cold Rolled Sheets and Strips
7220 20 41	Stainless Cold Rolled Sheets and Strips
7220 20 49	Stainless Cold Rolled Sheets and Strips
7220 20 81	Stainless Cold Rolled Sheets and Strips
7220 20 89	Stainless Cold Rolled Sheets and Strips
7220 90 20	Stainless Cold Rolled Sheets and Strips
7220 90 80	Stainless Cold Rolled Sheets and Strips
7219 21 10	Stainless Hot Rolled Quarto Plates
7219 21 90	Stainless Hot Rolled Quarto Plates
7214 30 00	Non Alloy and Other Alloy Merchant Bars and Light Sections
7214 91 10	Non Alloy and Other Alloy Merchant Bars and Light Sections
7214 91 90	Non Alloy and Other Alloy Merchant Bars and Light Sections
7214 99 31	Non Alloy and Other Alloy Merchant Bars and Light Sections
7214 99 39	Non Alloy and Other Alloy Merchant Bars and Light Sections
7214 99 50	Non Alloy and Other Alloy Merchant Bars and Light Sections
7214 99 71	Non Alloy and Other Alloy Merchant Bars and Light Sections
7214 99 79	Non Alloy and Other Alloy Merchant Bars and Light Sections
7214 99 95	Non Alloy and Other Alloy Merchant Bars and Light Sections
7215 90 00	Non Alloy and Other Alloy Merchant Bars and Light Sections
7216 10 00	Non Alloy and Other Alloy Merchant Bars and Light Sections
7216 21 00	Non Alloy and Other Alloy Merchant Bars and Light Sections
7216 22 00	Non Alloy and Other Alloy Merchant Bars and Light Sections
7216 40 10	Non Alloy and Other Alloy Merchant Bars and Light Sections
7216 40 90	Non Alloy and Other Alloy Merchant Bars and Light Sections
7216 50 10	Non Alloy and Other Alloy Merchant Bars and Light Sections
7216 50 91	Non Alloy and Other Alloy Merchant Bars and Light Sections

7216 50 99	Non Alloy and Other Alloy Merchant Bars and Light Sections
7216 99 00	Non Alloy and Other Alloy Merchant Bars and Light Sections
7228 10 20	Non Alloy and Other Alloy Merchant Bars and Light Sections
7228 20 10	Non Alloy and Other Alloy Merchant Bars and Light Sections
7228 20 91	Non Alloy and Other Alloy Merchant Bars and Light Sections
7228 30 20	Non Alloy and Other Alloy Merchant Bars and Light Sections
7228 30 41	Non Alloy and Other Alloy Merchant Bars and Light Sections
7228 30 49	Non Alloy and Other Alloy Merchant Bars and Light Sections
7228 30 61	Non Alloy and Other Alloy Merchant Bars and Light Sections
7228 30 69	Non Alloy and Other Alloy Merchant Bars and Light Sections
7228 30 70	Non Alloy and Other Alloy Merchant Bars and Light Sections
7228 30 89	Non Alloy and Other Alloy Merchant Bars and Light Sections
7228 60 20	Non Alloy and Other Alloy Merchant Bars and Light Sections
7228 60 80	Non Alloy and Other Alloy Merchant Bars and Light Sections
7228 70 10	Non Alloy and Other Alloy Merchant Bars and Light Sections
7228 70 90	Non Alloy and Other Alloy Merchant Bars and Light Sections
7228 80 00	Non Alloy and Other Alloy Merchant Bars and Light Sections
7214 20 00	Rebars
7214 99 10	Rebars
7222 11 11	Stainless Bars and Light Sections
7222 11 19	Stainless Bars and Light Sections
7222 11 81	Stainless Bars and Light Sections
7222 11 89	Stainless Bars and Light Sections
7222 19 10	Stainless Bars and Light Sections
7222 19 90	Stainless Bars and Light Sections
7222 20 11	Stainless Bars and Light Sections
7222 20 19	Stainless Bars and Light Sections
7222 20 21	Stainless Bars and Light Sections

7222 20 29	Stainless Bars and Light Sections
7222 20 31	Stainless Bars and Light Sections
7222 20 39	Stainless Bars and Light Sections
7222 20 81	Stainless Bars and Light Sections
7222 20 89	Stainless Bars and Light Sections
7222 30 51	Stainless Bars and Light Sections
7222 30 91	Stainless Bars and Light Sections
7222 30 97	Stainless Bars and Light Sections
7222 40 10	Stainless Bars and Light Sections
7222 40 50	Stainless Bars and Light Sections
7222 40 90	Stainless Bars and Light Sections
7221 00 10	Stainless Wire Rod
7221 00 90	Stainless Wire Rod
7213 10 00	Non Alloy and Other Alloy Wire Rod
7213 20 00	Non Alloy and Other Alloy Wire Rod
7213 91 10	Non Alloy and Other Alloy Wire Rod
7213 91 20	Non Alloy and Other Alloy Wire Rod
7213 91 41	Non Alloy and Other Alloy Wire Rod
7213 91 49	Non Alloy and Other Alloy Wire Rod
7213 91 70	Non Alloy and Other Alloy Wire Rod
7213 91 90	Non Alloy and Other Alloy Wire Rod
7213 99 10	Non Alloy and Other Alloy Wire Rod
7213 99 90	Non Alloy and Other Alloy Wire Rod
7227 10 00	Non Alloy and Other Alloy Wire Rod
7227 20 00	Non Alloy and Other Alloy Wire Rod
7227 90 10	Non Alloy and Other Alloy Wire Rod
7227 90 50	Non Alloy and Other Alloy Wire Rod
7227 90 95	Non Alloy and Other Alloy Wire Rod

7216 31 10	Angles, Shapes and Sections of Iron or Non Alloy Steel
7216 31 90	Angles, Shapes and Sections of Iron or Non Alloy Steel
7216 32 11	Angles, Shapes and Sections of Iron or Non Alloy Steel
7216 32 19	Angles, Shapes and Sections of Iron or Non Alloy Steel
7216 32 91	Angles, Shapes and Sections of Iron or Non Alloy Steel
7216 32 99	Angles, Shapes and Sections of Iron or Non Alloy Steel
7216 33 10	Angles, Shapes and Sections of Iron or Non Alloy Steel
7216 33 90	Angles, Shapes and Sections of Iron or Non Alloy Steel
7301 10 00	Sheet Piling
7302 10 22	Railway Material
7302 10 28	Railway Material
7302 10 40	Railway Material
7302 10 50	Railway Material
7302 40 00	Railway Material
7306 30 41	Other tubes, pipes
7306 30 49	Other tubes, pipes
7306 30 72	Other tubes, pipes
7306 30 77	Other tubes, pipes
7306 61 10	Hollow sections
7306 61 92	Hollow sections
7306 61 99	Hollow sections
7304 11 00	Seamless Stainless Tubes and Pipes
7304 22 00	Seamless Stainless Tubes and Pipes
7304 24 00	Seamless Stainless Tubes and Pipes
7304 41 00	Seamless Stainless Tubes and Pipes
7304 49 10	Seamless Stainless Tubes and Pipes
7304 49 93	Seamless Stainless Tubes and Pipes
7304 49 95	Seamless Stainless Tubes and Pipes



7304 49 99	Seamless Stainless Tubes and Pipes
7304 19 10	Other Seamless Tubes
7304 19 30	Other Seamless Tubes
7304 19 90	Other Seamless Tubes
7304 23 00	Other Seamless Tubes
7304 29 10	Other Seamless Tubes
7304 29 30	Other Seamless Tubes
7304 29 90	Other Seamless Tubes
7304 31 20	Other Seamless Tubes
7304 31 80	Other Seamless Tubes
7304 39 10	Other Seamless Tubes
7304 39 52	Other Seamless Tubes
7304 39 58	Other Seamless Tubes
7304 39 92	Other Seamless Tubes
7304 39 93	Other Seamless Tubes
7304 39 98	Other Seamless Tubes
7304 51 81	Other Seamless Tubes
7304 51 89	Other Seamless Tubes
7304 59 10	Other Seamless Tubes
7304 59 92	Other Seamless Tubes
7304 59 93	Other Seamless Tubes
7304 59 99	Other Seamless Tubes
7304 90 00	Other Seamless Tubes
7305 11 00	Large welded tubes
7305 12 00	Large welded tubes
7305 19 00	Large welded tubes
7305 20 00	Large welded tubes
7305 31 00	Large welded tubes

7305 39 00	Large welded tubes
7305 90 00	Large welded tubes
7306 11 10	Other Welded Pipes
7306 11 90	Other Welded Pipes
7306 19 10	Other Welded Pipes
7306 19 90	Other Welded Pipes
7306 21 00	Other Welded Pipes
7306 29 00	Other Welded Pipes
7306 30 11	Other Welded Pipes
7306 30 19	Other Welded Pipes
7306 30 80	Other Welded Pipes
7306 40 20	Other Welded Pipes
7306 40 80	Other Welded Pipes
7306 50 20	Other Welded Pipes
7306 50 80	Other Welded Pipes
7306 69 10	Other Welded Pipes
7306 69 90	Other Welded Pipes
7306 90 00	Other Welded Pipes
7215 10 00	Non-alloy and other alloy cold finished bars
7215 50 11	Non-alloy and other alloy cold finished bars
7215 50 19	Non-alloy and other alloy cold finished bars
7215 50 80	Non-alloy and other alloy cold finished bars
7228 10 90	Non-alloy and other alloy cold finished bars
7228 20 99	Non-alloy and other alloy cold finished bars
7228 50 20	Non-alloy and other alloy cold finished bars
7228 50 40	Non-alloy and other alloy cold finished bars
7228 50 61	Non-alloy and other alloy cold finished bars
7228 50 69	Non-alloy and other alloy cold finished bars

7228 50 80	Non-alloy and other alloy cold finished bars
7217 10 10	Non Alloy Wire
7217 10 31	Non Alloy Wire
7217 10 39	Non Alloy Wire
7217 10 50	Non Alloy Wire
7217 10 90	Non Alloy Wire
7217 20 10	Non Alloy Wire
7217 20 30	Non Alloy Wire
7217 20 50	Non Alloy Wire
7217 20 90	Non Alloy Wire
7217 30 41	Non Alloy Wire
7217 30 49	Non Alloy Wire
7217 30 50	Non Alloy Wire
7217 30 90	Non Alloy Wire
7217 90 20	Non Alloy Wire
7217 90 50	Non Alloy Wire
7217 90 90	Non Alloy Wire

## ANNEX XVIII

### LIST OF LUXURY GOODS REFERRED TO IN ARTICLE 3h

#### EXPLANATORY NOTE

The nomenclature codes are taken from the Combined Nomenclature as defined in Article 1(2) of Council Regulation (EEC) No 2658/87 <sup>(1)</sup> and as set out in Annex I thereto, which are valid at the time of publication of this Regulation and *mutatis mutandis* as amended by subsequent legislation.

#### (1) Horses

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

#### (2) Caviar and caviar substitutes

ex	1604 31 00	Caviar
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ex	1604 32 00	Caviar substitutes
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(3) Truffles and preparations thereof

ex	0709 56 00	Truffles
ex	0710 80 69	Other
ex	0711 59 00	Other
ex	0712 39 00	Other
ex	2001 90 97	Other
ex	2003 90 10	Truffles
ex	2103 90 90	Other
ex	2104 10 00	Soups and broths and preparations therefor
ex	2104 20 00	Homogenised composite food preparations
ex	2106 00 00	Food preparations not elsewhere specified or included

(4) Wines (including sparkling wines), beers, spirits and spirituous beverages

ex	2203 00 00	Beer made from malt
ex	2204 10 11	Champagne
ex	2204 10 91	Asti spumante
ex	2204 10 93	Other
ex	2204 10 94	With a protected geographical indication (PGI)
ex	2204 10 96	Other varietal wines
ex	2204 10 98	Other
ex	2204 21 00	In containers holding 2 litres or less
ex	2204 29 00	Other
ex	2205 00 00	Vermouth and other wine of fresh grapes flavoured with plants or aromatic substances
ex	2206 00 00	Other fermented beverages (for example, cider, perry, mead, saké); mixtures of fermented beverages and mixtures of fermented beverages with non-alcoholic beverages, not elsewhere specified or included
ex	2207 10 00	Undenatured ethyl alcohol of an alcoholic strength by volume of 80 % vol or higher

ex	2208 00 00	Undenatured ethyl alcohol of an alcoholic strength by volume of less than 80 % vol; spirits, liqueurs and other spirituous beverages
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(5) Cigars and cigarillos

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

(6) Perfumes, toilet waters and cosmetics, including beauty and make-up products

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

(7) Leather, saddlery and travel goods, handbags and similar articles

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

(8) Coats, or other garments, clothing accessories and shoes (regardless of their material)

ex4203 00 00	Articles of apparel and clothing accessories, of leather or of composition leather
ex4303 00 00	Articles of apparel, clothing accessories and other articles of furskin
ex6101 00 00	Men's or boys' overcoats, car coats, capes, cloaks, anoraks (including ski jackets), windcheaters, wind-jackets and similar articles, knitted or crocheted, other than those of heading 6103
ex6102 00 00	Women's or girls' overcoats, car coats, capes, cloaks, anoraks (including ski jackets), windcheaters, wind-jackets and similar articles, knitted or crocheted, other than those of heading 6104
ex6103 00 00	Men's or boys' suits, ensembles, jackets, blazers, trousers, bib and brace overalls, breeches and shorts (other than swimwear), knitted or crocheted
ex6104 00 00	Women's or girls' suits, ensembles, jackets, blazers, dresses, skirts, divided skirts, trousers, bib and brace overalls, breeches and shorts (other than swimwear), knitted or crocheted
ex6105 00 00	Men's or boys' shirts, knitted or crocheted
ex6106 00 00	Women's or girls' blouses, shirts and shirt-blouses, knitted or crocheted
ex6107 00 00	Men's or boys' underpants, briefs, nightshirts, pyjamas, bathrobes, dressing gowns and similar articles, knitted or crocheted
ex6108 00 00	Women's or girls' slips, petticoats, briefs, panties, nightdresses, pyjamas, négligés, bathrobes, dressing gowns and similar articles, knitted or crocheted
ex6109 00 00	T-shirts, singlets and other vests, knitted or crocheted
ex6110 00 00	Jerseys, pullovers, cardigans, waistcoats and similar articles, knitted or crocheted
ex6111 00 00	Babies' garments and clothing accessories, knitted or crocheted
ex6112 11 00	Of cotton
ex6112 12 00	Of synthetic fibres
ex6112 19 00	Of other textile materials
ex6112 20 00	Ski suits
ex6112 31 00	Of synthetic fibres
ex6112 39 00	Of other textile materials
ex6112 41 00	Of synthetic fibres

ex6112 49 00	Of other textile materials
ex6113 00 10	Of knitted or crocheted fabrics of heading 5906
ex6113 00 90	Other
ex6114 00 00	Other garments, knitted or crocheted
ex6115 00 00	Pantyhose, tights, stockings, socks and other hosiery, including graduated compression hosiery (for example, stockings for varicose veins) and footwear without applied soles, knitted or crocheted
ex6116 00 00	Gloves, mittens and mitts, knitted or crocheted
ex6117 00 00	Other made-up clothing accessories, knitted or crocheted; knitted or crocheted parts of garments or of clothing accessories
ex6201 00 00	Men's or boys' overcoats, car coats, capes, cloaks, anoraks (including ski jackets), windcheaters, wind-jackets and similar articles, other than those of heading 6203
ex6202 00 00	Women's or girls' overcoats, car coats, capes, cloaks, anoraks (including ski jackets), windcheaters, wind-jackets and similar articles, other than those of heading 6204
ex6203 00 00	Men's or boys' suits, ensembles, jackets, blazers, trousers, bib and brace overalls, breeches and shorts (other than swimwear)
ex6204 00 00	Women's or girls. suits, ensembles, jackets, blazers, dresses, skirts, divided skirts, trousers, bib and brace overalls, breeches and shorts (other than swimwear)
ex6205 00 00	Men's or boys' shirts
ex6206 00 00	Women's or girls' blouses, shirts and shirt-blouses
ex6207 00 00	Men's or boys' singlets and other vests, underpants, briefs, nightshirts, pyjamas, bathrobes, dressing gowns and similar articles
ex6208 00 00	Women's or girls' singlets and other vests, slips, petticoats, briefs, panties, nightdresses, pyjamas, négligés, bathrobes, dressing gowns and similar articles
ex6209 00 00	Babies' garments and clothing accessories
ex6210 10 00	Of fabrics of heading 5602 or 5603
ex6210 20 00	Other garments, of the type described in subheadings 6201 11 to 6201 19
ex6210 30 00	Other garments, of the type described in subheadings 6202 11 to 6202 19

ex6210 40 00	Other men's or boys' garments
ex6210 50 00	Other women's or girls' garments
ex6211 11 00	Men's or boys'
ex6211 12 00	Women's or girls'
ex6211 20 00	Ski suits
ex6211 32 00	Of cotton
ex6211 33 00	Of man-made fibres
ex6211 39 00	Of other textile materials
ex6211 42 00	Of cotton
ex6211 43 00	Of man-made fibres
ex6211 49 00	Of other textile materials
ex6212 00 00	Brassières, girdles, corsets, braces, suspenders, garters and similar articles and parts thereof, whether or not knitted or crocheted
ex6213 00 00	Handkerchiefs
ex6214 00 00	Shawls, scarves, mufflers, mantillas, veils and the like
ex6215 00 00	Ties, bow ties and cravats
ex6216 00 00	Gloves, mittens and mitts
ex6217 00 00	Other made-up clothing accessories; parts of garments or of clothing accessories, other than those of heading 6212
ex6401 00 00	Waterproof footwear with outer soles and uppers of rubber or of plastics, the uppers of which are neither fixed to the sole nor assembled by stitching, riveting, nailing, screwing, plugging or similar processes
ex6402 20 00	Footwear with upper straps or thongs assembled to the sole by means of plugs
ex6402 91 00	Covering the ankle
ex6402 99 00	Other
ex6403 19 00	Other
ex6403 20 00	Footwear with outer soles of leather, and uppers which consist of leather straps across the instep and around the big toe
ex6403 40 00	Other footwear, incorporating a protective metal toecap



ex6403 51 00	Covering the ankle
ex6403 59 00	Other
ex6403 91 00	Covering the ankle
ex6403 99 00	Other
ex6404 19 10	Slippers and other indoor footwear
ex6404 20 00	Footwear with outer soles of leather or composition leather
ex6405 00 00	Other footwear
ex6504 00 00	Hats and other headgear, plaited or made by assembling strips of any material, whether or not lined or trimmed
ex6505 00 10	Of fur felt or of felt of wool and fur, made from the hat bodies, hoods or plateaux of heading 6501 00 00
ex6505 00 30	Peaked caps
ex6505 00 90	Other
ex6506 99 00	Of other materials
ex6601 91 00	Having a telescopic shaft
ex6601 99 00	Other
ex6602 00 00	Walking sticks, seat-sticks, whips, riding-crops and the like
ex9619 00 81	Napkins and napkin liners for babies

(9) Carpets, rugs and tapestries, hand-made or not

ex5701 00 00	Carpets and other textile floor coverings, knotted, whether or not made up
ex5702 10 00	'Kelem', 'Schumacks', 'Karamanie' and similar hand-woven rugs
ex5702 20 00	Floor coverings of coconut fibres (coir)
ex5702 31 80	Other
ex5702 32 00	Of man-made textile materials
ex5702 39 00	Of other textile materials
ex5702 41 90	Other
ex5702 42 00	Of man-made textile materials
ex5702 50 00	Other, not of pile construction, not made up
ex5702 91 00	Of wool or fine animal hair

ex5702 92 00	Of man-made textile materials
ex5702 99 00	Of other textile materials
ex5703 00 00	Carpets and other textile floor coverings, tufted, whether or not made up
ex5704 00 00	Carpets and other textile floor coverings, of felt, not tufted or flocked, whether or not made up
ex5705 00 00	Other carpets and other textile floor coverings, whether or not made up
ex5805 00 00	Hand-woven tapestries of the type Gobelins, Flanders, Aubusson, Beauvais and the like, and needle-worked tapestries (for example, petit point, cross stitch), whether or not made up

(10) Pearls, precious and semi-precious stones, articles of pearls, jewellery, gold- or silversmith articles

ex7101 00 00	Pearls, natural or cultured, whether or not worked or graded but not strung, mounted or set; pearls, natural or cultured, temporarily strung for convenience of transport
ex7102 00 00	Diamonds, whether or not worked, but not mounted or set, excluding for industrial use
ex7103 00 00	Precious stones (other than diamonds) and semi-precious stones, whether or not worked or graded but not strung, mounted or set; ungraded precious stones (other than diamonds) and semi-precious stones, temporarily strung for convenience of transport
ex7104 91 00	Diamonds, excluding for industrial use
ex7105 00 00	Dust and powder of natural or synthetic precious or semi-precious stones
ex7106 00 00	Silver (including silver plated with gold or platinum), unwrought or in semi-manufactured forms, or in powder form
ex7107 00 00	Base metals clad with silver, not further worked than semi-manufactured
ex7108 00 00	Gold (including gold plated with platinum), unwrought or in semi-manufactured forms, or in powder form
ex7109 00 00	Base metals or silver, clad with gold, not further worked than semi-manufactured
ex7110 11 00	Unwrought or in powder form
ex7110 19 00	Other
ex7110 21 00	Unwrought or in powder form

ex	7110 29 00	Other
ex	7110 31 00	Unwrought or in powder form
ex	7110 39 00	Other
ex	7110 41 00	Unwrought or in powder form
ex	7110 49 00	Other
ex	7111 00 00	Base metals, silver or gold, clad with platinum, not further worked than semi-manufactured
ex	7113 00 00	Articles of jewellery and parts thereof, of precious metal or of metal clad with precious metal
ex	7114 00 00	Articles of goldsmiths' or silversmiths' wares and parts thereof, of precious metal or of metal clad with precious metal
ex	7115 00 00	Other articles of precious metal or of metal clad with precious metal
ex	7116 00 00	Articles of natural or cultured pearls, precious or semi-precious stones (natural, synthetic or reconstructed)

(11) Coins and banknotes, not being legal tender

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

(12) Cutlery of precious metal or plated or clad with precious metal

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

(13) Tableware of porcelain, china, stone- or earthenware or fine pottery

ex6911 00 00	Tableware, kitchenware, other household articles and toilet articles, of porcelain or china
ex6912 00 23	Stoneware
ex6912 00 25	Earthenware or fine pottery
ex6912 00 83	Stoneware
ex6912 00 85	Earthenware or fine pottery
ex6914 10 00	Of porcelain or china
ex6914 90 00	Other

(14) Items of lead crystal

ex7009 91 00	Unframed
ex7009 92 00	Framed
ex7010 00 00	Carboys, bottles, flasks, jars, pots, phials, ampoules and other containers, of glass, of a kind used for the conveyance or packing of goods; preserving jars of glass; stoppers, lids and other closures, of glass
ex7013 22 00	Of lead crystal
ex7013 33 00	Of lead crystal
ex7013 41 00	Of lead crystal
ex7013 91 00	Of lead crystal
ex7018 10 00	Glass beads, imitation pearls, imitation precious or semi-precious stones and similar glass smallwares
ex7018 90 00	Other
ex7020 00 80	Other
ex9405 50 00	Non-electrical lamps and lighting fittings
ex9405 91 00	Of glass

(15) Electronic items for domestic use of a value exceeding EUR 750

ex8414 51	Table, floor, wall, window, ceiling or roof fans, with a self-contained electric motor of an output not exceeding 125 W
ex8414 59 00	Other
ex8414 60 00	Hoods having a maximum horizontal side not exceeding 120 cm

ex8415 10 00	Window or wall types, self-contained or 'split-system'
ex8418 10 00	Combined refrigerator-freezers, fitted with separate external doors
ex8418 21 00	Compression-type
ex8418 29 00	Other
ex8418 30 00	Freezers of the chest type, not exceeding 800 litres capacity
ex8418 40 00	Freezers of the upright type, not exceeding 900 litres capacity
ex8419 81 00	For making hot drinks or for cooking or heating food
ex8422 11 00	Of the household type
ex8423 10 00	Personal weighing machines, including baby scales; household scales
ex8443 12 00	Offset printing machinery, sheet fed, office type (using sheets with one side not exceeding 22 cm and the other side not exceeding 36 cm in the unfolded state)
ex8443 31 00	Machines which perform two or more of the functions of printing, copying or facsimile transmission, capable of connecting to an automatic data-processing machine or to a network
ex8443 32 00	Other, capable of connecting to an automatic data-processing machine or to a network
ex8443 39 00	Other
ex8450 11 00	Fully-automatic machines
ex8450 12 00	Other machines, with built-in centrifugal drier
ex8450 19 00	Other
ex8451 21 00	Each of a dry linen capacity not exceeding 10 kg
ex8452 10 00	Sewing machines of the household type
ex8470 10 00	Electronic calculators capable of operation without an external source of electric power and pocket-size data-recording, reproducing and displaying machines with calculating functions
ex8470 21 00	Incorporating a printing device
ex8470 29 00	Other
ex8470 30 00	Other calculating machines

ex8471 00 00	Automatic data-processing machines and units thereof; magnetic or optical readers, machines for transcribing data onto data media in coded form and machines for processing such data, not elsewhere specified or included
ex8472 90 80	Other
ex8479 60 00	Evaporative air coolers
ex8508 11 00	Of a power not exceeding 1 500 W and having a dust bag or other receptacle capacity not exceeding 20 l
ex8508 19 00	Other
ex8508 60 00	Other vacuum cleaners
ex8509 80 00	Other appliances
ex8516 31 00	Hairdryers
ex8516 50 00	Microwave ovens
ex8516 60 10	Cookers (incorporating at least an oven and a hob)
ex8516 71 00	Coffee or tea makers
ex8516 72 00	Toasters
ex8516 79 00	Other
ex8517 11 00	Line telephone sets with cordless handsets
ex8517 13 00	Smartphones
ex8517 18 00	Other
ex8517 61 00	Base stations
ex8517 62 00	Machines for the reception, conversion and transmission or regeneration of voice, images or other data, including switching and routing apparatus
ex8517 69 00	Other
ex8526 91 00	Radio navigational aid apparatus
ex8529 10 65	Inside aerials for radio or television broadcast receivers, including built-in types
ex8529 10 69	Other
ex8531 10 00	Burglar or fire alarms and similar apparatus
ex8543 70 10	Electrical machines with translation or dictionary functions
ex8543 70 30	Aerial amplifiers

ex8543 70 50	Sunbeds, sunlamps and similar suntanning equipment
ex8543 70 90	Other
ex9504 50 00	Video game consoles and machines, other than those of subheading 9504 30
ex9504 90 80	Other

(16) Electrical/electronic or optical apparatus for recording and reproducing sound and images of a value exceeding EUR 1 000

ex8519 00 00	Sound recording or sound reproducing apparatus
ex8521 00 00	Video recording or reproducing apparatus, whether or not incorporating a video tuner
ex8527 00 00	Reception apparatus for radio-broadcasting, whether or not combined, in the same housing, with sound recording or reproducing apparatus or a clock
ex8528 71 00	Not designed to incorporate a video display or screen
ex8528 72 00	Other, colour
ex9006 00 00	Photographic (other than cinematographic) cameras; photographic flashlight apparatus and flashbulbs other than discharge lamps of heading 8539
ex9007 00 00	Cinematographic cameras and projectors, whether or not incorporating sound recording or reproducing apparatus

(17) Vehicles, except ambulances, for the transport of persons on earth, air or sea of a value exceeding EUR 50 000 each, teleferics, chairlifts, ski-draglines, traction mechanisms for funiculars, motorbikes of a value exceeding EUR 5 000 each, as well as their accessories and spare parts

ex4011 10 00	Of a kind used on motor cars (including station wagons and racing cars)
ex4011 20 00	Of a kind used on buses or lorries
ex4011 30 00	Of a kind used on aircraft
ex4011 40 00	Of a kind used on motorcycles
ex4011 90 00	Other
ex7009 10 00	Rear-view mirrors for vehicles
ex8407 00 00	Spark-ignition reciprocating or rotary internal combustion piston engines
ex8408 00 00	Compression-ignition internal combustion piston engines (diesel or semi-diesel engines)

ex8409 00 00	Parts suitable for use solely or principally with the engines of heading 8407 or 8408
ex8411 00 00	Turbojets, turbopropellers and other gas turbines
8428 60 00	Teleferics, chairlifts, ski-draglines, traction mechanisms for funiculars
ex8431 39 00	Parts and accessories of teleferics, chairlifts, ski-draglines, traction mechanisms for funiculars
ex8483 00 00	Transmission shafts (including cam shafts and crank shafts) and cranks; bearing housings and plain shaft bearings; gears and gearing; ball or roller screws; gear boxes and other speed changers, including torque converters; flywheels and pulleys, including pulley blocks; clutches and shaft couplings (including universal joints)
ex8511 00 00	Electrical ignition or starting equipment of a kind used for spark-ignition or compression-ignition internal combustion engines (for example, ignition magnetos, magneto-dynamos, ignition coils, sparking plugs and glow plugs, starter motors); generators (for example, dynamos, alternators) and cut-outs of a kind used in conjunction with such engines
ex8512 20 00	Other lighting or visual signalling equipment
ex8512 30 10	Burglar alarms of a kind used for motor vehicles
ex8512 30 90	Other
ex8512 40 00	Windscreen wipers, defrosters and demisters
ex8544 30 00	Ignition wiring sets and other wiring sets of a kind used in vehicles, aircraft or ships
ex8603 00 00	Self-propelled railway or tramway coaches, vans and trucks, other than those of heading 8604
ex8605 00 00	Railway or tramway passenger coaches, not self-propelled; luggage vans, post office coaches and other special purpose railway or tramway coaches, not self-propelled (excluding those of heading 8604 )
ex8607 00 00	Parts of railway or tramway locomotives or rolling stock
ex8702 00 00	Motor vehicles for the transport of ten or more persons, including the driver
ex8703 00 00	Motor cars and other motor vehicles principally designed for the transport of persons (other than those of heading 8702 ), including station wagons and racing cars, including snowmobiles



ex8706 00 00	Chassis fitted with engines, for the motor vehicles of headings 8701 to 8705
ex8707 00 00	Bodies (including cabs), for the motor vehicles of headings 8701 to 8705
ex8708 00 00	Parts and accessories of the motor vehicles of headings 8701 to 8705
ex8711 00 00	Motorcycles (including mopeds) and cycles fitted with an auxiliary motor, with or without side-cars; side-cars
ex8712 00 00	Bicycles and other cycles (including delivery tricycles), not motorised
ex8714 00 00	Parts and accessories of vehicles of headings 8711 to 8713
ex8716 10 00	Trailers and semi-trailers of the caravan type, for housing or camping
ex8716 40 00	Other trailers and semi-trailers
ex8716 90 00	Parts
ex8901 10 00	Cruise ships, excursion boats and similar vessels principally designed for the transport of persons; ferry-boats of all kinds
ex8901 90 00	Other vessels for the transport of goods and other vessels for the transport of both persons and goods
ex8903 00 00	Yachts and other vessels for pleasure or sports; rowing boats and canoes

(18) [Clocks and watches and their parts](#)

ex9101 00 00	Wristwatches, pocket-watches and other watches, including stopwatches, with case of precious metal or of metal clad with precious metal
ex9102 00 00	Wristwatches, pocket-watches and other watches, including stopwatches, other than those of heading 9101
ex9103 00 00	Clocks with watch movements, excluding clocks of heading 9104
ex9104 00 00	Instrument panel clocks and clocks of a similar type for vehicles, aircraft, spacecraft or vessels
ex9105 00 00	Other clocks
ex9108 00 00	Watch movements, complete and assembled
ex9109 00 00	Clock movements, complete and assembled
ex9110 00 00	Complete watch or clock movements, unassembled or partly assembled (movement sets); incomplete watch or clock movements, assembled; rough watch or clock movements
ex9111 00 00	Watch cases and parts thereof

ex	9112 00 00	Clock cases and cases of a similar type for other goods of this chapter, and parts thereof
ex	9113 00 00	Watch straps, watch bands and watch bracelets, and parts thereof
ex	9114 00 00	Other clock or watch parts

(19) Musical instruments of a value exceeding EUR 1 500

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

(20) Works of art, collectors' pieces and antiques

ex	9700	Works of art, collectors' pieces and antiques
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(21) Articles and equipment for sports, including skiing, golf, diving and water sports

ex	4015 19 00	Other
ex	4015 90 00	Other
ex	6210 40 00	Other men's or boys' garments
ex	6210 50 00	Other women's or girls' garments
ex	6211 11 00	Men's or boys'
ex	6211 12 00	Women's or girls'
ex	6211 20 00	Ski suits
ex	6216 00 00	Gloves, mittens and mitts
ex	6402 12 00	Ski-boots, cross-country ski footwear and snowboard boots
ex	6402 19 00	Other
ex	6403 12 00	Ski-boots, cross-country ski footwear and snowboard boots
ex	6403 19 00	Other

ex6404 11 00	Sports footwear; tennis shoes, basketball shoes, gym shoes, training shoes and the like
ex6404 19 90	Other
ex9004 90 00	Other
ex9020 00 00	Other breathing appliances and gas masks, excluding protective masks having neither mechanical parts nor replaceable filters
ex9506 11 00	Skis
ex9506 12 00	Ski-fastenings (ski-bindings)
ex9506 19 00	Other
ex9506 21 00	Sailboards
ex9506 29 00	Other
ex9506 31 00	Clubs, complete
ex9506 32 00	Golf balls
ex9506 39 00	Other
ex9506 40 00	Articles and equipment for table tennis
ex9506 51 00	Lawn-tennis rackets, whether or not strung
ex9506 59 00	Other
ex9506 61 00	Lawn-tennis balls
ex9506 69 10	Cricket and polo balls
ex9506 69 90	Other
ex9506 70	Ice skates and roller skates, including skating boots with skates attached
ex9506 91	Articles and equipment for general physical exercise, gymnastics or athletics
ex9506 99 10	Cricket and polo equipment, other than balls
ex9506 99 90	Other
ex9507 00 00	Fishing rods, fish-hooks and other line fishing tackle; fish landing nets, butterfly nets and similar nets; decoy 'birds' (other than those of heading 9208 or 9705 ) and similar hunting or shooting requisites

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

ex9504 20 00	Articles and accessories for billiards of all kinds
ex9504 30 00	Other games, operated by coins, banknotes, bank cards, tokens or by any other means of payment, other than automatic bowling alley equipment
ex9504 40 00	Playing cards
ex9504 50 00	Video game consoles and machines, other than those of subheading 9504 30
ex9504 90 80	Other

ANNEX XIX

**LIST OF STATE OWNED COMPANIES REFERRED TO IN ARTICLE 5aa**

OPK OBORONPROM

UNITED AIRCRAFT CORPORATION

URALVAGONZAVOD

ROSNEFT

TRANSNEFT

GAZPROM NEFT

ALMAZ-ANTEY

KAMAZ

ROSTEC (RUSSIAN TECHNOLOGIES STATE CORPORATION)

JSC PO SEVMASH

SOVCOMFLOT

UNITED SHIPBUILDING CORPORATION

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( 1 ) Regulation (EU) 2021/821 of the European Parliament and of the Council of 20 May 2021 setting up a Union regime for the control of exports, brokering, technical assistance, transit and transfer of dual-use items (recast) (OJ L 206, 11.6.2021, p. 1).

( 2 ) Regulation (EU) No 909/2014 of the European Parliament and of the Council of 23 July 2014 on improving securities settlement in the European Union and on central securities depositories

and amending Directives 98/26/EC and 2014/65/EU and Regulation (EU) No 236/2012 (OJ L 257, 28.8.2014, p. 1).

( 3 ) Directive 2014/65/EU of the European Parliament and of the Council of 15 May 2014 on markets in financial instruments and amending Directive 2002/92/EC and Directive 2011/61/EU (OJ L 173, 12.6.2014, p. 349).

( 4 ) Council Regulation (EC) No 515/97 of 13 March 1997 on mutual assistance between the administrative authorities of the Member States and cooperation between the latter and the Commission to ensure the correct application of the law on customs and agricultural matters (OJ L 82, 22.3.1997, p. 1).

( 5 ) Latest version published in OJ C 107, 9.4.2014, p. 1.

( 6 ) Regulation (EU) 2018/1725 of the European Parliament and of the Council of 23 October 2018 on the protection of natural persons with regard to the processing of personal data by the Union institutions, bodies, offices and agencies and on the free movement of such data, and repealing Regulation (EC) No 45/2001 and Decision No 1247/2002/EC (OJ L 295, 21.11.2018, p. 39).

( 7 ) Ref. Annex I to Regulation (EU) 2021/821

( 8 ) Ref. Annex I to Regulation (EU) 2021/821

( 9 ) Ref. Annex I to Regulation (EU) 2021/821

( 10 ) Ref. Annex I to Regulation (EU) 2021/821

( 11 ) Ref. Annex I to Regulation (EU) 2021/821

( 12 ) Ref. Annex I to Regulation (EU) 2021/821

( 13 ) Ref. Annex I to Regulation (EU) 2021/821

( 14 ) Ref. Annex I to Regulation (EU) 2021/821

( 15 ) Ref. Annex I to Regulation (EU)2021/821

( 16 ) Ref. Annex I to Regulation (EU) 2021/821

( 17 ) Ref. Annex I to Regulation (EU) 2021/821

( 18 ) Ref. Annex I to Regulation (EU) 2021/821

( 19 ) Ref. Annex I to Regulation (EU) 2021/821

( 20 ) Ref. Annex I to Regulation (EU) 2021/821

( 21 ) Ref. Annex I to Regulation (EU) 2021/821

( 22 ) Ref. Annex I to Regulation (EU) 2021/821

( 23 ) Ref. Annex I to Regulation (EU) 2021/821

( 24 ) Ref. Annex I to Regulation (EU) 2021/821

( 25 ) Ref. Annex I to Regulation (EU) 2021/821

( 26 ) Ref. Annex I to Regulation (EU) 2021/821

( 27 ) Ref. Annex I to Regulation (EU) 2021/821

( 28 ) Ref. Annex I to Regulation (EU) 2021/821

( 29 ) Ref. Annex I to Regulation (EU) 2021/821

**GW** Graf von Westphalen

