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COUNCIL REGULATION (EU) No 36/2012

of 18 January 2012

concerning restrictive measures in view of the situation in Syria and repealing Regulation (EU) No 442/2011

(OJ L 16, 19.1.2012, p. 1)

Amended by:

		Official Journal		
		No	page	date
►M1	Council Implementing Regulation (EU) No 55/2012 of 23 January 2012	L 19	6	24.1.2012
►M2	Council Regulation (EU) No 168/2012 of 27 February 2012	L 54	1	28.2.2012
►M3	Council Implementing Regulation (EU) No 266/2012 of 23 March 2012	L 87	45	24.3.2012
►M4	Council Implementing Regulation (EU) No 410/2012 of 14 May 2012	L 126	3	15.5.2012
►M5	Council Regulation (EU) No 509/2012 of 15 June 2012	L 156	10	16.6.2012
►M6	Council Implementing Regulation 2012/544/CFSP of 25 June 2012	L 165	20	26.6.2012
►M7	Council Regulation (EU) No 545/2012 of 25 June 2012	L 165	23	26.6.2012
►M8	Council Implementing Regulation (EU) No 673/2012 of 23 July 2012	L 196	8	24.7.2012
►M9	Council Implementing Regulation (EU) No 742/2012 of 16 August 2012	L 219	1	17.8.2012
►M10	Council Regulation (EU) No 867/2012 of 24 September 2012	L 257	1	25.9.2012
►M11	Council Implementing Regulation (EU) No 944/2012 of 15 October 2012	L 282	9	16.10.2012
►M12	Council Implementing Regulation (EU) No 1117/2012 of 29 November 2012	L 330	9	30.11.2012
►M13	Council Regulation (EU) No 325/2013 of 10 April 2013	L 102	1	11.4.2013
►M14	Council Implementing Regulation (EU) No 363/2013 of 22 April 2013	L 111	1	23.4.2013
►M15	Council Regulation (EU) No 517/2013 of 13 May 2013	L 158	1	10.6.2013
►M16	Council Regulation (EU) No 697/2013 of 22 July 2013	L 198	28	23.7.2013
►M17	Council Regulation (EU) No 1332/2013 of 13 December 2013	L 335	3	14.12.2013
►M18	Council Regulation (EU) No 124/2014 of 10 February 2014	L 40	8	11.2.2014

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►C1 Corrigendum, OJ L 212, 9.8.2012, p. 20 (673/2012)
►C2 Corrigendum, OJ L 227, 23.8.2012, p. 15 (742/2012)
►C3 Corrigendum, OJ L 123, 4.5.2013, p. 28 (363/2013)
►C4 Corrigendum, OJ L 127, 9.5.2013, p. 27 (363/2013)

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COUNCIL REGULATION (EU) No 36/2012

of 18 January 2012

concerning restrictive measures in view of the situation in Syria and repealing Regulation (EU) No 442/2011

THE COUNCIL OF THE EUROPEAN UNION,

Having regard to the Treaty on the Functioning of the European Union, and in particular Article 215 thereof,

Having regard to Council Decision 2011/782/CFSP of 1 December 2011 concerning restrictive measures against Syria ([1]),

Having regard to the joint proposal from the High Representative of the Union for Foreign Affairs and Security Policy and the European Commission,

Whereas:

(1) On 9 May 2011, the Council adopted Regulation (EU) No 442/2011 concerning restrictive measures in view of the situation in Syria ([2]).

(2) The Council expanded the scope of its measures against Syria by way of Council Regulations on 2 September, 23 September, 13 October and 14 November 2011 ([3]), as well as making amendments and additions to the list of targeted persons and entities through successive Council Implementing Regulations ([4]). Further measures, which do not fall within the scope of Union law, are set out in the corresponding CFSP Decisions of the Council ([5]).

(3) In view of the continued brutal repression and violation of human rights by the Government of Syria, Council Decision 2011/782/CFSP provides for additional measures, namely a prohibition on the export of telecommunications monitoring equipment for use by the Syrian regime, a prohibition on the participation in certain infrastructure projects and investment in such projects, and additional restrictions on the transfers of funds and the provision of financial services.

([1]) OJ L 319, 2.12.2011, p. 56.
([2]) OJ L 121, 10.5.2011, p. 1.
([3]) Council Regulations (EU) No 878/2011 (OJ L 228, 3.9.2011, p. 1), (EU) No 950/2011 (OJ L 247, 24.9.2011, p. 3), (EU) No 1011/2011 (OJ L 269, 14.10.2011, p. 18), (EU) No 1150/2011 (OJ L 296, 15.11.2011, p. 1).
([4]) Council Implementing Regulations (EU) No 504/2011 (OJ L 136, 24.5.2011, p. 45), (EU) No 611/2011 (OJ L 164, 24.6.2011, p. 1), (EU) No 755/2011 (OJ L 199, 2.8.2011, p. 33), (EU) No 843/2011 (OJ L 218, 24.8.2011, p. 1), (EU) No 1151/2011 (OJ L 296, 15.11.2011, p. 3).
([5]) Council Implementing Decision 2011/302/CFSP (OJ L 136, 24.5.2011, p. 91), Council Implementing Decision 2011/367/CFSP (OJ L 164, 24.6.2011, p. 14), Council Implementing Decision 2011/488/CFSP (OJ L 199, 2.8.2011, p. 74), Council Implementing Decision 2011/515/CFSP (OJ L 218, 24.8.2011, p. 20), Council Decision 2011/522/CFSP (OJ L 228, 3.9.2011, p. 16), Council Decision 2011/628/CFSP (OJ L 247, 24.9.2011, p. 17), Council Decision 2011/684/CFSP (OJ L 269, 14.10.2011, p. 33), Council Decision 2011/735/CFSP (OJ L 296, 15.11.2011, p. 53), Council Implementing Decision 2011/736/CFSP (OJ L 296, 15.11.2011, p. 55).

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(4) It should be clarified that submitting and forwarding the necessary documents to a bank for the purpose of their final transfer to a person, entity or body that is not listed, to trigger payments allowed under Article 20, does not constitute making funds available within the meaning of Article 14.

(5) The power to amend the list in Annex II and IIa to this Regulation should be exercised by the Council, in view of the serious political situation in Syria, and to ensure consistency with the process for amending and reviewing the Annex to Decision 2011/782/CFSP.

(6) The procedure for amending the lists in Annex II and IIa to this Regulation should include providing designated natural or legal persons, entities or bodies with the grounds for listing, so as to give them an opportunity to submit observations. Where observations are submitted, or substantial new evidence is presented, the Council should review its decision in light of those observations and inform the person, entity or body concerned accordingly.

(7) For the implementation of this Regulation, and in order to create maximum legal certainty within the Union, the names and other relevant data concerning natural and legal persons, entities and bodies whose funds and economic resources must be frozen in accordance with this Regulation, must be made public.Any processing of personal data should comply with Regulation (EC) No 45/2001 of the European Parliament and of the Council of 18 December 2000 on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies and on the free movement of such data [1] and Directive 95/46/EC of the European Parliament and of the Council of 24 October 1995 on the protection of individuals with regard to the processing of personal data and on the free movement of such data [2].

(8) These measures fall within the scope of the Treaty on the Functioning of the European Union and, therefore, notably with a view to ensuring its uniform application by economic operators in all Member States, regulatory action at the level of the Union is necessary in order to implement them.

(9) In view of the extent of the amendments introduced, taken together with the various measures already adopted in relation to Syria, it is appropriate to consolidate all the measures into a new regulation which repeals and replaces Regulation (EU) No 442/2011.

(10) In order to ensure that the measures provided for in this Regulation are effective, this Regulation should enter into force immediately,

[1] OJ L 8, 12.1.2001, p. 1.
[2] OJ L 281, 23.11.1995, p. 31.

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HAS ADOPTED THIS REGULATION:

CHAPTER I

DEFINITIONS

Article 1

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

(a) 'branch' of a financial or credit institution means a place of business which forms a legally dependent part of a financial or credit institution and which carries out directly all or some of the transactions inherent in the business of financial or credit institutions;

(b) 'brokering services' means:

(i) the negotiation or arrangement of transactions for the purchase, sale or supply of goods and technology from a third country to any other third country, or

(ii) the selling or buying of goods and technology that are located in third countries for their transfer to another third country;

(c) 'contract or transaction' means any transaction of whatever form and whatever the applicable law, whether comprising one or more contracts or similar obligations made between the same or different parties; for this purpose 'contract' includes a bond, guarantee or indemnity, particularly a financial guarantee or financial indemnity, and credit, whether legally independent or not, as well as any related provision arising under, or in connection with, the transaction;

(d) 'credit institution' means a credit institution as defined in Article 4(1) of Directive 2006/48/EC of the European Parliament and of the Council of 14 June 2006 relating to the taking up and pursuit of the business of credit institutions [1], including its branches inside or outside the Union;

(e) 'crude oil and petroleum products' means the products listed in Annex IV;

(f) 'economic resources' means assets of every kind, whether tangible or intangible, movable or immovable, which are not funds, but which may be used to obtain funds, goods or services;

(g) 'financial institution' means:

(i) an undertaking, other than a credit institution, which carries out one or more of the operations included in points 2 to 12 and points 14 and 15 of Annex I to Directive 2006/48/EC, including the activities of currency exchange offices (bureaux de change);

(ii) an insurance company duly authorised in accordance with Directive 2002/83/EC of the European Parliament and of the Council of 5 November 2002 concerning life assurance [2], insofar as it carries out activities covered by that Directive;

[1] OJ L 177, 30.6.2006, p. 1.
[2] OJ L 345, 19.12.2002, p. 1.

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(iii) an investment firm as defined in point 1 of Article 4(1) of Directive 2004/39/EC of the European Parliament and of the Council of 21 April 2004 on markets in financial instruments ([1]);

(iv) a collective investment undertaking marketing its units or shares; or

(v) an insurance intermediary as defined in Article 2(5) of Directive 2002/92/EC of the European Parliament and of the Council of 9 December 2002 on insurance mediation ([2]), with the exception of intermediaries referred to in Article 2(7) of that Directive, when they act in respect of life insurance and other investment related services;

including its branches, whether inside or outside the Union;

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

(i) 'freezing of funds' means preventing any move, transfer, alteration, use of, access to, or dealing with funds in any way that would result in any change in their volume, amount, location, ownership, possession, character, destination or other change that would enable the funds to be used, including portfolio management;

(j) 'funds' means financial assets and benefits of every kind, including but not limited to:

(i) cash, cheques, claims on money, drafts, money orders and other payment instruments;

(ii) deposits with financial institutions or other entities, balances on accounts, debts and debt obligations;

(iii) publicly- and privately-traded securities and debt instruments, including stocks and shares, certificates representing securities, bonds, notes, warrants, debentures and derivatives contracts;

(iv) interest, dividends or other income on or value accruing from or generated by assets;

(v) credit, right of set-off, guarantees, performance bonds or other financial commitments;

(vi) letters of credit, bills of lading, bills of sale;

(vii) documents evidencing an interest in funds or financial resources;

(k) 'goods' includes items, materials and equipment;

([1]) OJ L 145, 30.4.2004, p. 1.
([2]) OJ L 9, 15.1.2003, p. 3.

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(l) ‘insurance’ means an undertaking or commitment whereby one or more natural or legal persons are obliged, in return for payment, to provide one or more other persons, in the event of materialisation of a risk, with an indemnity or a benefit as determined by the undertaking or commitment;

(m) ‘reinsurance’ means the activity consisting in accepting risks ceded by an insurance undertaking or by another reinsurance undertaking or, in the case of the association of underwriters known as Lloyd's, the activity consisting in accepting risks, ceded by any member of Lloyd's, by an insurance or reinsurance undertaking other than the association of underwriters known as Lloyd's;

(n) ‘Syrian credit or financial institution’ means:

(i) any credit or financial institution domiciled in Syria, including the Central Bank of Syria;

(ii) any branch or subsidiary, where it falls within the scope of Article 35, of a credit or financial institution domiciled in Syria;

(iii) any branch or subsidiary, where it does not fall within the scope of Article 35, of a credit or financial institution domiciled in Syria;

(iv) any credit or financial institution that is not domiciled in Syria but is controlled by one or more persons or entities domiciled in Syria;

(o) ‘Syrian person, entity or body’ means:

(i) the State of Syria or any public authority thereof;

(ii) any natural person in, or resident in, Syria;

(iii) any legal person, entity or body having its registered office in Syria;

(iv) any legal person, entity or body, inside or outside Syria, owned or controlled directly or indirectly by one or more of the above-mentioned persons or bodies;

(p) ‘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, the transmission of working knowledge or skills or consulting services; including verbal forms of assistance;

(q) ‘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;

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(r) ‘customs territory of the Union’ means the territory as defined in Article 3 of Council Regulation (EEC) No 2913/92 of 12 October 1992 establishing the Community Customs Code ([1]).

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CHAPTER II

EXPORT AND IMPORT RESTRICTIONS

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Article 2

1. A Member State may prohibit or impose an authorisation requirement on the export, sale, supply or transfer of equipment which might be used for internal repression other than those listed in Annex IA or Annex IX, whether or not originating in the Union, to any person, entity or body in Syria or for use in Syria.

2. A Member State may prohibit or impose an authorisation requirement on the provision of technical assistance, financing and financial assistance related to the equipment referred to in paragraph 1, to any person, entity or body in Syria or for use in Syria.

Article 2a

1. It shall be prohibited:

(a) to sell, supply, transfer or export, directly or indirectly, equipment, goods or technology which might be used for internal repression or for the manufacture and maintenance of products which might be used for internal repression, as listed in Annex IA, whether or not originating in the Union, to any person, entity or body in Syria or for use in Syria;

(b) to participate, knowingly and intentionally, in activities the object or effect of which is to circumvent the prohibitions referred to in point (a).

2. By way of derogation from paragraph 1, the competent authorities in the Member States, as identified on the websites listed in Annex III, may grant, under such terms and conditions as they deem appropriate, an authorisation for a transaction in relation to equipment, goods or technology as listed in Annex IA, provided that the equipment, goods or technology are intended for food, agricultural, medical or other humanitarian purposes, or for the benefit of United Nations personnel, personnel of the Union or its Member States.

▼M17

3. By way of derogation from paragraph 1(a), the competent authorities of the Member States, as identified on the websites listed in Annex III, may grant, under such conditions as they deem appropriate, an authorisation for sale, supply, transfer or export of equipment, goods or technology as listed in Annex IA undertaken in accordance with paragraph 10 of UN Security Council Resolution 2118(2013) and relevant decisions of the Executive Council of the Organisation for the Prohibition of Chemical Weapons (OPCW), consistent with the

([1]) OJ L 302, 19.10.1992, p. 1.

▼M17

objective of the Convention on the Prohibition of the Development, Production, Stockpiling and Use of Chemical Weapons and on their Destruction (Chemical Weapons Convention) and after consultation with the OPCW.

▼M5

Article 2b

1. A prior authorisation shall be required for the sale, supply, transfer or export, directly or indirectly, of equipment, goods or technology which might be used for internal repression or for the manufacture and maintenance of products which might be used for internal repression, as listed in Annex IX, whether or not originating in the Union, to any person, entity or body in Syria or for use in Syria.

2. The competent authorities in the Member States, as identified on the websites listed in Annex III, shall not grant any authorisation for any sale, supply, transfer or export of the equipment, goods or technology listed in Annex IX, if they have reasonable grounds to determine that the equipment, goods or technology the sale, supply, transfer or export of which is in question is or might be used for internal repression or for the manufacture and maintenance of products which might be used for internal repression.

3. The authorisation shall be granted by the competent authorities of the Member State where the exporter is established and shall be in accordance with the detailed rules laid down in Article 11 of Council Regulation (EC) No 428/2009 of 5 May 2009 setting up a Community regime for the control of exports, transfer, brokering and transit of dual-use items [1]. The authorisation shall be valid throughout the Union.

▼M10

Article 2c

1. The rules governing the obligation to provide advance information as determined in the relevant provisions concerning summary declarations as well as customs declarations in Regulation (EEC) No 2913/92 and in Commission Regulation (EEC) No 2454/93 of 2 July 1993 laying down provisions for the implementation of Council Regulation (EEC) No 2913/92 [2] apply to all goods leaving the customs territory of the Union to Syria.

The person or entity who provides that information shall also present any authorisations if required by this Regulation.

▼M16

2. The seizure and disposal of equipment, goods or technology, the supply, sale, transfer or export of which is prohibited by Article 2a of this Regulation may, in accordance with national legislation or the decision of a competent authority, be carried out at the expense of the person or entity referred to in paragraph 1 or, if it is not possible to recover these expenses from that person or entity, the expenses may, in accordance with national legislation, be recovered from any person or entity who assumes responsibility for the carriage of the goods or equipment in the attempted illicit supply, sale, transfer or export.

[1] OJ L 134, 29.5.2009, p. 1.
[2] OJ L 253, 11.10.1993, p. 1.

▼M16

Article 2d

A Member State may prohibit or impose an authorisation requirement on the export to Syria of dual-use items referred to in Article 4(2) of Regulation (EC) No 428/2009.

▼M5

Article 3

▼M16

1. It shall be prohibited:

(a) to provide, directly or indirectly, technical assistance or brokering services related to equipment, goods or technology which might be used for internal repression or for the manufacture and maintenance of products which could be used for internal repression as listed in Annex IA, to any person, entity or body in Syria or for use in Syria;

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

(c) to participate, knowingly and intentionally, in activities the object or effect of which is to circumvent the prohibitions referred to in points (a) and (b).

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3. By way of derogation from paragraph 1, the competent authorities of the Member States, as identified on the websites listed in Annex III, may grant, under such terms and conditions as they deem appropriate, an authorisation for technical assistance or brokering services, or financing or financial assistance related to equipment, goods or technology, as listed in Annex IA, provided that the equipment, goods or technology are intended for food, agricultural, medical or other humanitarian purposes, or for the benefit of United Nations personnel, personnel of the Union or its Member States.

The Member State concerned shall inform the other Member States and the Commission, within four weeks, of any authorisation granted under the first subparagraph.

▼M7

4. Prior authorisation from the competent authority of the relevant Member State, as identified on the websites referred to in Annex III shall be required for the provision of:

(a) technical assistance or brokering services related to equipment, goods or technology listed in Annex IX and to the provision, manufacture, maintenance and use of such equipment, goods and technology, directly or indirectly to any person, entity or body in Syria or for use in Syria;

▼M7

(b) financing or financial assistance related to goods and technology referred to in Annex IX, including in particular grants, loans and export credit insurance, as well as insurance and reinsurance, for any sale, supply, transfer or export of such goods and technology, or for any provision of related technical assistance to any person, entity or body in Syria or for use in Syria.

The competent authorities shall not grant any authorisation for the transactions referred to inthe first subparagraph, if they have reasonable grounds to determine that those transactions are or may be intended to contribute to internal repression or for the manufacture and maintenance of products which might be used for internal repression.

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5. By way of derogation from points (a) and (b) of paragraph 1, the competent authorities of the Member States, as identified on the websites listed in Annex III, may grant, under such conditions as they deem appropriate, an authorisation for the provision of technical assistance, brokering services, financing or financial assistance related to equipment, goods or technology as listed in Annex IA where such technical assistance, brokering services, financing or financial assistance is provided for the sale, supply, transfer or export of such equipment, goods or technology undertaken in accordance with paragraph 10 of UN Security Council Resolution 2118(2013) and relevant decisions of the Executive Council of the OPCW, consistent with the objective of Chemical Weapons Convention and after consultation with the OPCW.

▼M13

Article 3a

It shall be prohibited:

(a) to provide, directly or indirectly, financing or financial assistance relating to the goods and technology listed in the Common Military List, including financial derivatives, as well as insurance and reinsurance and brokering services relating to insurance and reinsurance for any purchase, import or transport of such items if they originate in Syria, or are being exported from Syria to any other country;

(b) to participate, knowingly or intentionally, in activities the object or effect of which is to circumvent the prohibitions referred to in point (a).

▼M17

Article 3b

Article 3a shall not apply to the provision of financing or financial assistance, including financial derivatives, as well as insurance and reinsurance and brokering services relating to insurance and reinsurance for any import or transport of goods and technology listed in the Common Military List if they originate in Syria, or are being exported from Syria to any other country, undertaken in accordance with paragraph 10 of UN Security Council Resolution 2118(2013) and relevant decisions of the Executive Council of the OPCW, consistent with the objective of the Chemical Weapons Convention.

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Article 4

1. It shall be prohibited to sell, supply, transfer or export, directly or indirectly, equipment, technology or software identified in Annex V, whether or not originating in the Union, to any person, entity or body in Syria or for use in Syria, unless the competent authority of the relevant Member State, as identified in the websites referred to in Annex III, has given prior authorisation.

2. The competent authorities of the Member States, as identified in the websites referred to in Annex III, shall not grant any authorisation under paragraph 1 if they have reasonable grounds to determine that the equipment, technology or software in question would be used for monitoring or interception, by the Syrian regime or on its behalf, of internet or telephone communications in Syria.

3. Annex V shall include equipment, technology or software which may be used for the monitoring or interception of internet or telephone communications.

4. The Member State concerned shall inform the other Member States and the Commission of any authorisation granted under this Article, within four weeks following the authorisation.

Article 5

1. It shall be prohibited:

(a) to provide, directly or indirectly, technical assistance or brokering services related to the equipment, technology and software identified in Annex V, or related to the provision, manufacture, maintenance and use of the equipment and technology identified in Annex V or to the provision, installation, operation or updating of any software identified in Annex V, to any person, entity or body in Syria or for use in Syria;

(b) to provide, directly or indirectly, financing or financial assistance related to the equipment, technology and software identified in Annex V, to any person, entity or body in Syria or for use in Syria;

(c) to provide any telecommunication or internet monitoring or interception services of any kind to, or for the direct or indirect benefit of, the State of Syria, its Government, its public bodies, corporations and agencies or any person or entity acting on their behalf or at their direction; and

(d) to participate, knowingly and intentionally, in any activity the object or effect of which is to circumvent the prohibitions referred to in point (a), (b) or (c) above;

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unless the competent authority of the relevant Member State, as identified in the websites referred to in Annex III, has given prior authorisation, on the basis set out in Article 4(2).

2. For the purposes of paragraph 1(c), 'telecommunication or internet monitoring or interception services' means those services that provide, in particular using equipment, technology or software as identified in Annex V, access to and delivery of a subject's incoming and outgoing telecommunications and call-associated data for the purpose of its extraction, decoding, recording, processing, analysis and storing or any other related activity.

Article 6

It shall be prohibited:

(a) to import crude oil or petroleum products into the Union if they:

(i) originate in Syria; or

(ii) have been exported from Syria;

(b) to purchase crude oil or petroleum products which are located in or which originated in Syria;

(c) to transport crude oil or petroleum products if they originate in Syria, or are being exported from Syria to any other country;

(d) to provide, directly or indirectly, financing or financial assistance, including financial derivatives, as well as insurance and re-insurance, related to the prohibitions set out in points (a), (b) and (c); and

(e) to participate, knowingly and intentionally, in activities whose object or effect is, directly or indirectly, to circumvent the prohibitions in point (a), (b), (c) or (d).

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Article 6a

1. By way of derogation from Article 6, the competent authorities of the Member States as identified on the websites listed in Annex III, may authorise, under such terms and conditions as they deem appropriate, the import, purchase or transport of crude oil or petroleum products, or the provision of related financing or financial assistance, including financial derivatives, as well as insurance and reinsurance, provided that the following conditions are met:

(a) on the basis of the information available to it, including information provided by the person, entity or body requesting the authorisation, the competent authority has determined that it is reasonable to conclude that:

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(i) the activities concerned are for the purpose of providing assistance to the Syrian civilian population, in particular in view of meeting humanitarian concerns, assisting in the provision of basic services, reconstruction or restoring economic activity, or other civilian purposes;

(ii) the activities concerned do not entail funds or economic resources being made available, directly or indirectly, to or for the benefit of a person, entity or body referred to in Article 14;

(iii) the activities concerned do not breach any of the prohibitions laid down in this Regulation;

(b) the Member State concerned has consulted in advance the person, entity or body designated by the Syrian National Coalition for Opposition and Revolutionary Forces as regards, *inter alia*:

(i) the competent authority's determination under points (a) (i) and (ii);

(ii) the availability of information indicating that the activities concerned might entail funds or economic resources being made available, directly or indirectly, to or for the benefit of a person, entity or body referred to in Article 2 of Regulation (EC) No 2580/2001 of 27 December 2001 on specific restrictive measures directed against certain persons and entities with a view to combating terrorism ([1]) or in Article 2 of Regulation (EC) No 881/2002 of 27 May 2002 imposing certain specific restrictive measures directed against certain persons and entities associated with the Al-Qaida network ([2]);

and the person, entity or body designated by the Syrian National Coalition for Opposition and Revolutionary Forces has given its views to the relevant Member State.

(c) In the absence of the receipt of views from the person, entity or body designated by the Syrian National Coalition for Opposition and Revolutionary Forces within 30 days after the request was made to them, the competent authority may proceed with its decision on whether or not to issue the authorisation.

2. When applying the conditions under points (a) and (b) of paragraph 1, the competent authority shall require adequate information as regards the use of the authorisation granted, including information concerning the counterparts to the transaction.

3. The Member State concerned shall inform, within two weeks, the other Member States and the Commission of any authorisation granted under this Article.

([1]) OJ L 344, 28.12.2001, p. 70.
([2]) OJ L 139, 29.5.2002, p. 9.

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Article 7

The prohibitions in Article 6 shall not apply to:

(a) the execution, on or prior to 15 November 2011, of an obligation arising from a contract concluded before 2 September 2011, provided that the natural or legal person, entity or body seeking to perform the obligation concerned has notified, at least seven working days in advance, the activity or transaction to the competent authority of the Member State in which it is established, as identified on the websites listed in Annex III; or

(b) the purchase of crude oil or petroleum products which had been exported from Syria prior to 2 September 2011, or, where the export was made pursuant to point (a), on or prior to 15 November 2011.

Article 8

1. It shall be prohibited to sell, supply, transfer or export the equipment or technology listed in Annex VI, directly or indirectly, to any Syrian person, entity or body, or for use in Syria.

2. Annex VI shall include key equipment and technology for the following sectors of the oil and gas industry in Syria:

(a) exploration of crude oil and natural gas;

(b) production of crude oil and natural gas;

(c) refining;

(d) liquefaction of natural gas.

3. Annex VI shall not include items included in the Common Military List.

Article 9

It shall be prohibited:

(a) to provide, directly or indirectly, technical assistance or brokering services related to the equipment and technology listed in Annex VI, or related to the provision, manufacture, maintenance and use of goods listed in Annex VI, to any Syrian person, entity or body, or for use in Syria;

(b) to provide, directly or indirectly, financing or financial assistance related to the equipment and technology listed in Annex VI, to any Syrian person, entity or body; or for use in Syria, and

(c) to participate, knowingly and intentionally, in any activity the object or effect of which is to circumvent the prohibitions referred to in point (a) or (b).

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Article 9a

1. By way of derogation from Articles 8 and 9, the competent authorities of the Member States as identified on the websites listed in Annex III, may authorise, under such terms and conditions as they deem appropriate, the sale, supply, transfer or export of the key equipment or technology as listed in Annex VI, or the provision of related technical assistance or brokering services, or financing or financial assistance, provided that the following conditions are met:

(a) on the basis of the information available to it, including information provided by the person, entity or body requesting the authorisation, the competent authority has determined that it is reasonable to conclude that:

(i) the activities concerned are for the purpose of providing assistance to the Syrian civilian population, in particular in view of meeting humanitarian concerns, assisting in the provision of basic services, reconstruction or restoring economic activity, or other civilian purposes;

(ii) the activities concerned do not entail funds or economic resources being made available, directly or indirectly, to or for the benefit of a person, entity or body referred to in Article 14;

(iii) the activities concerned do not breach any of the prohibitions laid down in this Regulation;

(b) the Member State concerned has consulted in advance the person, entity or body designated by the Syrian National Coalition for Opposition and Revolutionary Forces as regards, *inter alia*:

(i) the competent authority's determination under points (a) (i) and (ii);

(ii) the availability of information indicating that the activities concerned might entail funds or economic resources being made available, directly or indirectly, to or for the benefit of a person, entity or body referred to in Article 2 of Regulation (EC) No 2580/2001 or Article 2 of Regulation (EC) No 881/2002;

and the person, entity or body designated by the Syrian National Coalition for Opposition and Revolutionary Forces has given its views to the relevant Member State.

(c) In the absence of the receipt of views from the person, entity or body designated by the Syrian National Coalition for Opposition and Revolutionary Forces within 30 days after the request was made to them, the competent authority may proceed with its decision on whether or not to issue the authorisation.

2. When applying the conditions under points (a) and (b) of paragraph 1, the competent authority shall require adequate information as regards the use of the authorisation granted, including information concerning the end-user and the final destination of the delivery.

3. The Member State concerned shall inform, within two weeks, the other Member States and the Commission of any authorisation granted under this Article.

▼B

Article 10

1. The prohibitions in Articles 8 and 9 shall not apply to the performance of an obligation required by a contract which was awarded or concluded prior to 19 January 2012, provided that the person or entity seeking to rely on this Article has notified, at least 21 calendar days in advance, the competent authority of the Member State in which they are established, as identified on the websites listed in Annex III.

2. For the purposes of this Article, a contract shall have been 'awarded' to a person or entity if express written confirmation of the award of the contract to that person or entity has been sent by the other contracting party, following the conclusion of a formal tender process.

Article 11

It shall be prohibited to sell, supply, transfer or export, directly or indirectly, new Syrian denominated banknotes and coinage, printed or minted in the Union, to the Central Bank of Syria.

▼M2

Article 11a

1. It shall be prohibited:

(a) to sell, supply, transfer or export, directly or indirectly, gold, precious metals and diamonds, as listed in Annex VIII, whether or not originating in the Union, to the Government of Syria, its public bodies, corporations and agencies, the Central Bank of Syria, any person, entity or body acting on their behalf or at their direction, or any entity or body owned or controlled by them;

(b) to purchase, import or transport, directly or indirectly, gold, precious metals and diamonds, as listed in Annex VIII, whether the item concerned originates in Syria or not, from the Government of Syria, its public bodies, corporations and agencies, the Central Bank of Syria and any person, entity or body acting on their behalf or at their direction, or any entity or body owned or controlled by them; and

(c) to provide, directly or indirectly, technical assistance or brokering services, financing or financial assistance, related to the goods referred to in points (a) and (b), to the Government of Syria, its public bodies, corporations and agencies, the Central Bank of Syria and any person, entity or body acting on their behalf or at their direction, or any entity or body owned or controlled by them.

2. Annex VIII shall include gold, precious metals and diamonds subject to the prohibitions referred to in paragraph 1.

▼M5

Article 11b

1. It shall be prohibited:

(a) to sell, supply, transfer or export, directly or indirectly, luxury goods as listed in Annex X, to Syria;

▼M5

(b) to participate, knowingly and intentionally, in activities whose object or effect is, directly or indirectly, to circumvent the prohibition referred to in point (a).

2. By way of derogation from point (a) of paragraph 1, the prohibition referred to therein shall not apply to goods of a non-commercial nature, for personal use, contained in travellers' luggage.

▼M17

Article 11c

1. It shall be prohibited to import, export, transfer, or provide brokering services related to the import, export or transfer of, Syrian cultural property goods and other goods of archaeological, historical, cultural, rare scientific or religious importance, including those listed in Annex XI, where there are reasonable grounds to suspect that the goods have been removed from Syria without the consent of their legitimate owner or have been removed in breach of Syrian law or international law, in particular if the goods form an integral part of either the public collections listed in the inventories of the conservation collections of Syrian museums, archives or libraries, or the inventories of Syrian religious institutions.

2. The prohibition in paragraph 1 shall not apply if it is demonstrated that:

(a) the goods were exported from Syria prior to 9 May 2011; or

(b) the goods are being safely returned to their legitimate owners in Syria.

▼B

CHAPTER III

RESTRICTIONS ON PARTICIPATION IN INFRASTRUCTURE PROJECTS

Article 12

▼M10

1. It shall be prohibited:

(a) to sell, supply, transfer or export equipment or technology as listed in Annex VII to be used in the construction or installation in Syria of new power plants for electricity production;

(b) to provide, directly or indirectly, technical assistance, financing or financial assistance, including financial derivatives, as well as insurance or reinsurance in relation to any project referred to in point (a).

▼B

2. This prohibition shall not apply to the performance of an obligation required by a contract or agreement which was concluded prior to 19 January 2012, provided that the person or entity seeking to rely on this Article has notified, at least 21 calendar days in advance, the competent authority of the Member State in which they are established, as identified on the websites listed in Annex III.

▼B

CHAPTER IV

RESTRICTIONS ON FINANCING CERTAIN ENTERPRISES

Article 13

1. The following shall be prohibited:

(a) the granting of any financial loan or credit to any Syrian person, entity or body referred to in paragraph 2;

(b) the acquisition or extension of a participation in any Syrian person, entity or body referred to in paragraph 2;

(c) the creation of any joint venture with any Syrian person, entity or body referred to in paragraph 2;

(d) the participation, knowingly and intentionally, in activities the object or effect of which is to circumvent the prohibitions referred to in point (a), (b) or (c).

2. The prohibitions in paragraph 1 shall apply to any Syrian person, entity or body engaged in:

(a) the exploration, production or refining of crude oil; or

(b) the construction or installation of new power plants for electricity production.

3. For the purposes of paragraph 2 only, the following definitions shall apply:

(a) 'exploration of crude oil' includes the exploration for, prospecting for and management of crude oil reserves, as well as the provision of geological services in relation to such reserves;

(b) 'refining of crude oil' means the processing, conditioning or preparation of oil for the ultimately final sale of fuels.

4. The prohibitions in paragraph 1:

(a) shall be without prejudice to the execution of an obligation arising from contracts or agreements relating to:

(i) the exploration, production or refining of crude oil, concluded before 23 September 2011;

(ii) the construction or installation of new power plants for electricity production concluded prior to 19 January 2012;

(b) shall not prevent the extension of a participation relating to:

(i) the exploration, production or refining of crude oil, if such extension is an obligation under an agreement concluded before 23 September 2011;

(ii) the construction or installation of new power plants for electricity production if such extension is an obligation under an agreement concluded prior to 19 January 2012.

▼**M16**

Article 13a

1. By way of derogation from Article 13(1), the competent authorities of the Member States as identified on the websites listed in Annex III, may authorise, under such terms and conditions as they deem appropriate, the granting of any financial loan or credit to or the acquisition or extension of a participation in, or the creation of any joint venture with any Syrian person, entity or body referred to in point (a) of Article 13(2), provided that the following conditions are met:

(a) on the basis of the information available to it, including information provided by the person, entity or body requesting the authorisation, the competent authority has determined that it is reasonable to conclude that:

(i) the activities concerned are for the purpose of providing assistance to the Syrian civilian population, in particular in view of meeting humanitarian concerns, assisting in the provision of basic services, reconstruction or restoring economic activity, or other civilian purposes;

(ii) the activities concerned do not entail funds or economic resources being made available, directly or indirectly, to or for the benefit of a person, entity or body referred to in Article 14;

(iii) the activities concerned do not breach any of the prohibitions laid down in this Regulation;

(b) the Member State concerned has consulted in advance the person, entity or body designated by the Syrian National Coalition for Opposition and Revolutionary Forces as regards, *inter alia*:

(i) the competent authority's determination under points (a) (i) and (ii);

(ii) the availability of information indicating that the activities concerned might entail funds or economic resources being made available, directly or indirectly, to or for the benefit of a person, entity or body referred to in Article 2 of Regulation (EC) No 2580/2001 or Article 2 of Regulation (EC) No 881/2002;

and the person, entity or body designated by the Syrian National Coalition for Opposition and Revolutionary Forces has given its views to the relevant Member State.

(c) In the absence of the receipt of views from the person, entity or body designated by the Syrian National Coalition for Opposition and Revolutionary Forces within 30 days after the request was made to them, the competent authority may proceed with its decision on whether or not to issue the authorisation.

2. When applying the conditions under points (a) and (b) of paragraph 1, the competent authority shall require adequate information as regards the use of the authorisation granted, including information concerning the purpose of, and the counterparts to the transaction.

▼M16

3. The Member State concerned shall inform, within two weeks, the other Member States and the Commission of any authorisation granted under this Article.

▼B

CHAPTER V

FREEZING OF FUNDS AND ECONOMIC RESOURCES

Article 14

1. All funds and economic resources belonging to, owned, held or controlled by the natural or legal persons, entities and bodies listed in Annex II and IIa shall be frozen.

2. No funds or economic resources shall be made available, directly or indirectly, to or for the benefit of the natural or legal persons, entities or bodies listed in Annex II and IIa.

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

Article 15

1. Annexes II and IIa shall consist of the following:

(a) Annex II shall consist of a list of natural or legal persons, entities and bodies who, in accordance with Article 19(1) of Decision 2011/782/CFSP, have been identified by the Council as being persons or entities responsible for the violent repression against the civilian population in Syria, persons and entities benefiting from or supporting the regime, and natural or legal persons and entities associated with them, and to whom Article 21 of this Regulation shall not apply;

(b) Annex IIa shall consist of a list of entities which, in accordance with Article 19(1) of Decision 2011/782/CFSP, have been identified by the Council as being entities associated with the persons or entities responsible for the violent repression against the civilian population in Syria, or with persons and entities benefiting from or supporting the regime, and to which Article 21 of this Regulation shall apply.

2. Annexes II and IIa shall include the grounds for the listing of listed persons, entities and bodies concerned.

3. Annexes II and IIa shall also include, where available, information necessary to identify the natural or legal persons, entities and bodies concerned. With regard to natural persons, such information may include names including aliases, date and place of birth, nationality, passport and ID card numbers, gender, address, if known, and function or profession. With regard to legal persons, entities and bodies, such information may include names, place and date of registration, registration number and place of business.

▼M13

Article 16

By way of derogation from Article 14, the competent authorities in the Member States, as identified on the websites listed in Annex III, may authorise the release of certain frozen funds or economic resources, or the making available of certain funds or economic resources, under such conditions as they deem appropriate, after having determined that the funds or economic resources are:

(a) necessary to satisfy the basic needs of natural or legal persons, entities or bodies listed in Annexes II and IIa, and dependent family members of such natural persons, including payments for foodstuffs, rent or mortgage, medicines and medical treatment, taxes, insurance premiums, and public utility charges;

(b) intended exclusively for payment of reasonable professional fees and reimbursement of incurred expenses associated with the provision of legal services;

(c) intended exclusively for payment of fees or service charges for routine holding or maintenance of frozen funds or economic resources;

(d) necessary for extraordinary expenses, provided that the relevant competent authority has notified the grounds on which it considers that a specific authorisation should be granted to the competent authorities of the other Member States and to the Commission at least two weeks before the authorisation;

(e) to be paid into or from an account of a diplomatic or consular mission or an international organisation enjoying immunities in accordance with international law, insofar as such payments are intended to be used for official purposes of the diplomatic or consular mission or international organisation;

▼M17

(f) necessary for humanitarian purposes, such as delivering or facilitating the delivery of assistance, including medical supplies, food, humanitarian workers and related assistance, and provided that, in the case of release of frozen funds or economic resources, the funds or economic resources are released to the UN for the purpose of delivering or facilitating the delivery of assistance in Syria in accordance with the Syria Humanitarian Assistance Response Plan (SHARP);

▼M13

(g) necessary to ensure human safety or environmental protection;

▼M17

(h) necessary for evacuations from Syria;

▼M18

(i) intended exclusively for payments by Syrian State-owned entities or the Central Bank of Syria, as listed in Annexes II and IIa, on behalf of the Syrian Arab Republic to the OPCW for activities related to the OPCW verification mission and the destruction of Syrian chemical weapons, including in particular payments to the OPCW Special Trust Fund for activities related to the complete destruction of Syrian chemical weapons outside the territory of the Syrian Arab Republic.

▼M13

The Member State concerned shall inform the other Member States and the Commission of any authorisation granted under this Article within four weeks following the authorisation.

▼**M17**

Article 16a

1. Authorisations granted under point (f) of the first paragraph of Article 16 before 15 December 2013 shall not be affected by the modifications to point (f) of the first paragraph of Article 16 provided for in Council Regulation (EU) No 1332/2013 ([1]).

2. Requests for authorisations under point (f) of the first paragraph of Article 16 submitted before 15 December 2013 shall be considered withdrawn unless the person, entity or body confirms its intention to maintain the request after that date.

▼**B**

Article 17

By way of derogation from Article 14, the competent authorities in the Member States as identified on the websites listed in Annex III may authorise the release of certain frozen funds or economic resources, or the making available of certain funds or economic resources, under such conditions as they deem appropriate, after having determined that the provision of such funds or economic resources are necessary for the essential energy needs of the civilian population in Syria, provided that the relevant competent authority has notified for each delivery contract the grounds on which it considers that a specific authorisation should be granted to the competent authorities of the other Member States and to the Commission at least four weeks before the authorisation.

▼**M13**

Article 18

1. By way of derogation from Article 14, the competent authorities in Member States, as indicated on the websites listed in Annex III, may authorise the release of certain frozen funds or economic resources, if the following conditions are met:

(a) the funds or economic resources are the subject of an arbitral decision rendered prior to the date on which the natural or legal person, entity or body referred to in Article 14 was listed in Annex II or IIa, or of a judicial or administrative decision rendered in the Union, or a judicial decision enforceable in the Member State concerned, prior to or after that date;

(b) the funds or economic resources will be used exclusively to satisfy claims secured by such a decision or recognised as valid in such a decision, within the limits set by applicable laws and regulations governing the rights of persons having such claims;

(c) the decision is not for the benefit of a natural or legal person, entity or body listed in Annex II or IIa;

([1]) Council Regulation (EU) No 1332/2013 of 13 December 2013 amending Regulation (EU) No 36/2012 concerning restrictive measures in view of the situation in Syria (OJ L 335, 14.12.2013, p. 3).

▼M13

(d) recognising the decision is not contrary to public policy in the Member State concerned.

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

▼B

Article 19

1. Article 14(2) shall not apply to the addition to frozen accounts of:

(a) interest or other earnings on those accounts,

(b) payments due under contracts, agreements or obligations that were concluded or arose before the date on which the account became subject to this Regulation; or

▼M13

(c) payments due under judicial, administrative or arbitral decisions rendered in a Member State or enforceable in the Member State concerned,

▼B

provided that any such interest, other earnings and payments are frozen in accordance with Article 14(1).

2. Article 14(2) shall not prevent financial or credit institutions in the Union from crediting frozen accounts where they receive funds transferred to the account of a listed natural or legal person, entity or body, provided that any additions to such accounts will also be frozen. The financial or credit institution shall inform the relevant competent authority about any such transaction without delay.

Article 20

By way of derogation from Article 14 and provided that a payment by a person, entity or body listed in Annex II or IIa is due under a contract or agreement that was concluded by, or an obligation that arose for the person, entity or body concerned before, the date on which that person, entity or body had been designated, the competent authorities of the Member States, as indicated on the websites listed in Annex III, may authorise, under such conditions as they deem appropriate, the release of certain frozen funds or economic resources, provided that the payment is not directly or indirectly received by a person or entity referred to in Article 14.

▼M10

Article 20a

By way of derogation from Article 14, the competent authorities of the Member States, as identified on the websites listed in Annex III, may authorise, under such conditions as they deem appropriate, the transfer by or through a financial entity listed in Annex II or IIa of funds or economic resources, where the transfer is related to a payment by a person or entity not listed in Annex II or IIa in connection with the provision of financial support to Syrian nationals pursuing an education, professional training or engaged in academic research in the Union, provided that the competent authority of the relevant Member State has determined, on a case-by-case basis, that the payment will not directly or indirectly be received by a person or entity listed in Annex II or IIa.

▼B

Article 21

By way of derogation from Article 14(1), an entity listed in Annex IIa may, for a period of two months from the date on which it was designated, make a payment from frozen funds or economic resources which were received by that entity after the date on which it was designated, provided that:

(a) such payment is due under a trade contract; and

(b) the competent authority of the relevant Member State has determined that the payment will not directly or indirectly be received by a person or entity listed in Annex II or Annex IIa.

▼M10

Article 21a

1. By way of derogation from Article 14, the competent authorities of the Member States, as identified on the websites listed in Annex III, may authorise, under such conditions as they deem appropriate:

(a) a transfer by or through the Central Bank of Syria of funds or economic resources received and frozen after the date of its designation where the transfer is related to a payment due in connection with a specific trade contract; or

(b) a transfer of funds or economic resources to or through the Central Bank of Syria where the transfer is related to a payment due in connection with a specific trade contract;

provided that the competent authority of the relevant Member State has determined, on a case-by-case basis, that the payment will not directly or indirectly be received by any person or entity listed in Annex II or IIa and provided that the transfer is not otherwise prohibited by this Regulation.

2. By way of derogation from Article 14, the competent authorities of the Member States, as identified on the websites listed in Annex III, may authorise, under such conditions as they deem appropriate, a transfer made by or through the Central Bank of Syria of frozen funds or economic resources in order to provide financial institutions within the jurisdiction of the Member States with liquidity for the financing of trade.

▼M13

Article 21b

Article 14(2) shall not prevent acts or transactions carried out with respect to Syrian Arab Airlines for the sole purpose of evacuating citizens of the Union and their family members from Syria.

▼M17

Article 21c

1. By way of derogation from Article 14, the competent authorities of the Member States, as identified on the websites listed in Annex III, may authorise, under such conditions as they deem appropriate:

(a) a transfer by or through the Commercial Bank of Syria of funds or economic resources received from outside of the territory of the Union and frozen after the date of its designation where the transfer is related to a payment due in connection with a specific trade contract for medical supplies, food, shelter, sanitation or hygiene for civilian use; or

(b) a transfer of funds or economic resources from outside of the territory of the Union to or through the Commercial Bank of Syria where the transfer is related to a payment due in connection with a specific trade contract for the purpose of meeting essential civilian needs, including medical supplies, food, shelter, sanitation or hygiene for civilian use;

provided that the competent authority of the relevant Member State has determined, on a case-by-case basis, that the payment will not directly or indirectly be received by any person or entity listed in Annex II or IIa and provided that the transfer is not otherwise prohibited by this Regulation.

2. The Member State concerned shall inform the other Member States and the Commission, within four weeks, of any authorisation granted under this Article.

▼B

Article 22

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

CHAPTER VI

RESTRICTIONS ON FINANCIAL SERVICES

Article 23

The European Investment Bank (EIB) shall:

(a) be prohibited from making any disbursement or payment under or in connection with any existing loan agreements entered into between the State of Syria or any public authority thereof and the EIB; and

(b) suspend all existing Technical Assistance Service Contracts relating to projects financed under the loan agreements referred to in point (a), and which are intended for the direct or indirect benefit of the State of Syria or any public authority thereof to be performed in Syria.

▼B

Article 24

It shall be prohibited:

(a) to sell or purchase Syrian public or public-guaranteed bonds issued after 19 January 2012, directly or indirectly, to or from any of the following:

(i) the State of Syria or its Government, and its public bodies, corporations and agencies;

(ii) any Syrian credit or financial institution;

(iii) a natural person or a legal person, entity or body acting on behalf or at the direction of a legal person, entity or body referred to in (i) or (ii);

(iv) a legal person, entity or body owned or controlled by a person, entity or body referred to in (i), (ii) or (iii);

(b) to provide brokering services with regard to Syrian public or public-guaranteed bonds issued after 19 January 2012, to a person, entity or body referred to in point (a);

(c) to assist a person, entity or body referred to in point (a) in order to issue Syrian public or public-guaranteed bonds, by providing brokering services, advertising or any other service with regard to such bonds.

Article 25

1. It shall be prohibited for credit and financial institutions falling within the scope of Article 35 to:

(a) open a new bank account with any Syrian credit or financial institution;

(b) to establish a new correspondent banking relationship with any Syrian credit or financial institution;

(c) to open a new representative office in Syria or to establish a new branch or subsidiary in Syria;

(d) to establish a new joint venture with any Syrian credit or financial institution.

2. It shall be prohibited:

(a) to authorise the opening of a representative office or the establishment of a branch or subsidiary in the Union of any Syrian credit or financial institution;

(b) to conclude agreements for, or on behalf of, any Syrian credit or financial institution, pertaining to the opening of a representative office or the establishment of a branch or subsidiary in the Union;

▼B

(c) to grant an authorisation for taking up and pursuing the business of a credit or financial institution or for any other business requiring prior authorisation, by a representative office, branch or subsidiary of any Syrian credit or financial institution, if the representative office, branch or subsidiary was not operational before 19 January 2012;

(d) to acquire or to extend a participation, or to acquire any other ownership interest in a credit or financial institution falling within the scope of Article 35 by any Syrian credit or financial institution.

▼M16

Article 25a

1. By way of derogation from points (a) and (c) of Article 25(1), the competent authorities of the Member States as identified on the websites listed in Annex III, may authorise, under such terms and conditions as they deem appropriate, the opening of a new bank account or a new representative office, or the establishment of a new branch or subsidiary, provided that the following conditions are met:

(a) on the basis of the information available to it, including information provided by the person, entity or body requesting the authorisation, the competent authority has determined that it is reasonable to conclude that:

(i) the activities concerned are for the purpose of providing assistance to the Syrian civilian population, in particular in view of meeting humanitarian concerns, assisting in the provision of basic services, reconstruction or restoring economic activity, or other civilian purposes;

(ii) the activities concerned do not entail funds or economic resources being made available, directly or indirectly, to or for the benefit of a person, entity or body referred to in Article 14;

(iii) the activities concerned do not breach any of the prohibitions laid down in this Regulation;

(b) the Member State concerned has consulted in advance the person, entity or body designated by the Syrian National Coalition for Opposition and Revolutionary Forces as regards, *inter alia*:

(i) the competent authority's determination under points (a) (i) and (ii);

(ii) the availability of information indicating that the activities concerned might entail funds or economic resources being made available, directly or indirectly, to or for the benefit of a person, entity or body referred to in Article 2 of Regulation (EC) No 2580/2001 or Article 2 of Regulation (EC) No 881/2002;

and the person, entity or body designated by the Syrian National Coalition for Opposition and Revolutionary Forces has given its views to the relevant Member State.

▼M16

(c) In the absence of the receipt of views from the person, entity or body designated by the Syrian National Coalition for Opposition and Revolutionary Forces within 30 days after the request was made to them, the competent authority may proceed with its decision on whether or not to issue the authorisation.

2. When applying the conditions under points (a) and (b) of paragraph 1, the competent authority shall require adequate information as regards the use of the authorisation granted, including information concerning the purpose of, and the counterparts to the activities concerned.

3. The Member State concerned shall inform, within two weeks, the other Member States and the Commission of any authorisation granted under this Article.

▼B

Article 26

1. It shall be prohibited:

(a) to provide insurance or re-insurance to:

(i) the State of Syria, its Government, its public bodies, corporations or agencies; or

(ii) any natural or legal person, entity or body when acting on behalf or at the direction of a legal person, entity or body referred to in (i);

(b) to participate, knowingly and intentionally, in activities, the object or effect of which is to circumvent the prohibitions in point (a).

2. Paragraph 1(a) shall not apply to the provision of compulsory or third party insurance to Syrian persons, entities or bodies based in the Union or to the provision of insurance for Syrian diplomatic or consular missions in the Union.

3. Point (ii) of paragraph 1(a) shall not apply to the provision of insurance, including health and travel insurance, to individuals acting in their private capacity, and re-insurance relating thereto.

Point (ii) of paragraph 1(a) shall not prevent the provision of insurance or re-insurance to the owner of a vessel, aircraft or vehicle chartered by a person, entity or body referred to in point (i) of paragraph 1(a) and which is not listed in Annex II or IIa.

For the purpose of point (ii) of paragraph 1(a), a person, entity or body shall not be considered to act at the direction of a person, entity or body referred to in point (i) of paragraph 1(a) where that direction is for the purposes of docking, loading, unloading or safe transit of a vessel or aircraft temporarily in Syrian waters or airspace.

▼B

4. This Article prohibits the extension or renewal of insurance and re-insurance agreements concluded before 19 January 2012 (save where there is a prior contractual obligation on the part of the insurer or re-insurer to accept an extension or renewal of a policy), but, without prejudice to Article 14(2), it does not prohibit compliance with agreements concluded before that date.

▼M13

CHAPTER VIA

RESTRICTIONS ON TRANSPORT

Article 26a

1. It shall be prohibited, consistent with international law, to accept, or provide access to airports in the Union by, exclusively cargo flights operated by Syrian carriers and all flights operated by Syrian Arab Airlines, except where:

(a) the aircraft is engaged in non-scheduled international air services and landing is for non-traffic or non-commercial traffic purposes; or

(b) the aircraft is engaged in scheduled international air services and landing is for non- traffic purposes;

as provided for under the Chicago Convention on International Civil Aviation or the International Air Services Transit Agreement.

2. Paragraph 1 shall not apply to flights for the sole purpose of evacuating citizens of the Union and their family members from Syria.

3. It shall be prohibited to participate, knowingly and intentionally, in activities the object or effect of which is to circumvent the prohibition referred to in paragraph 1.

▼B

CHAPTER VII

GENERAL AND FINAL PROVISIONS

Article 27

No claims, including for compensation or indemnification or any other claim of this kind, such as a claim of set-off, fines or claims under a guarantee, claims for extension or payment of a bond, financial guarantee, including claims arising from letters of credit and similar instruments in connection with any contract or transaction the performance of which was affected, directly or indirectly, in whole or in part, by the measures imposed by this Regulation, should be granted to the Government of Syria, its public bodies, corporations and agencies, or to any person or entity claiming through it or for its benefit.

▼B

Article 28

The prohibitions set out in this Regulation shall not give rise to any liability of any kind on the part of the natural or legal person, entity or body concerned if they did not know, and had no reasonable cause to suspect, that their actions would infringe the prohibition in question.

Article 29

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

(a) supply immediately any information which would facilitate compliance with this Regulation, such as accounts and amounts frozen in accordance with Article 14, to the competent authority in the Member State where they are resident or located, as indicated on the websites listed in Annex III, and shall transmit such information, either directly or through the Member States, to the Commission; and

(b) cooperate with that competent authority in any verification of this information.

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

Article 30

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

Article 31

The Commission shall be empowered to amend Annex III on the basis of information supplied by Member States.

Article 32

1. Where the Council decides to subject a natural or legal person, entity or body to the measures referred to in Article 14, it shall amend Annex II or Annex IIa accordingly.

2. The Council shall communicate its decision, including the grounds for listing, to the natural or legal person, entity or body referred to in paragraph 1, either directly, if the address is known, or through the publication of a notice, providing such natural or legal person, entity or body with an opportunity to present observations.

3. Where observations are submitted, or where substantial new evidence is presented, the Council shall review its decision and inform the natural or legal person, entity or body accordingly.

4. The lists in Annexes II and IIa shall be reviewed at regular intervals and at least every 12 months.

▼B

Article 33

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 Commission of those rules without delay after 19 January 2012 and shall notify it of any subsequent amendment.

Article 34

Where there is, in this Regulation, 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 III.

Article 35

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

Article 36

Regulation (EU) No 442/2011 is repealed.

Article 37

This Regulation shall enter into force on the day of its publication in the *Official Journal of the European Union*.
This Regulation shall be binding in its entirety and directly applicable in all Member States.

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ANNEX Ia

LIST OF EQUIPMENT, GOODS AND TECHNOLOGY REFERRED TO IN ARTICLE 2a

PART 1

Introductory Notes

1. This Part comprises goods, software and technology listed in Annex I to Regulation (EC) No 428/2009 ([1]).

2. Unless otherwise stated, the reference numbers used in the column below entitled 'No' refer to the control list number and the column below entitled 'Description' refers to the control descriptions of dual-use items set out in Annex I to Regulation (EC) No 428/2009.

3. Definitions of terms between 'single quotation marks' are given in a technical note to the relevant item.

4. Definitions of terms between 'double quotation marks' can be found in Annex I to Regulation (EC) No 428/2009.

General Notes

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

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

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

General Technology Note (GTN)

(To be read in conjunction with Section B of this Part)

1. The sale, supply, transfer or export of 'technology' which is 'required' for the 'development', 'production' or 'use' of goods the sale, supply, transfer or export of which is controlled in Sections A, B, C and D of this Part, is controlled in accordance with the provisions of Section E.

2. The 'technology''required' for the 'development', 'production' or 'use' of goods under control remains under control even when it is applicable to non-controlled goods.

3. Controls do not apply to that 'technology' which is the minimum necessary for the installation, operation, maintenance (checking) and repair of those goods which are not controlled or the export of which has been authorised in accordance with this Regulation.

([1]) Council Regulation (EC) No 428/2009 of 5 May 2009 setting up a Community regime for the control of exports, transfer, brokering and transit of dual-use items (OJ L 134, 29.5.2009, p. 1).

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4. Controls on 'technology' transfer do not apply to information 'in the public domain', to 'basic scientific research' or to the minimum necessary information for patent applications.

A. **EQUIPMENT**

No	Description
I.B.1A004	Protective and detection equipment and components, other than those specified in military goods controls, as follows: a. Gas masks, filter canisters and decontamination equipment therefore, designed or modified for defence against any of the following, and specially designed components therefor: 1. Biological agents 'adapted for use in war'; 2. Radioactive materials 'adapted for use in war'; 3. Chemical warfare (CW) agents; or 4. 'Riot control agents', including: a. α-Bromobenzeneacetonitrile, (Bromobenzyl cyanide) (CA) (CAS 5798-79-8); b. [(2-chlorophenyl) methylene] propanedinitrile, (o-Chlorobenzylidenemalononitrile) (CS) (CAS 2698-41-1); c. 2-Chloro-1-phenylethanone, Phenylacyl chloride (ω-chloroacetophenone) (CN) (CAS 532-27-4); d. Dibenz-(b,f)-1,4-oxazephine (CR) (CAS 257-07-8); e. 10-Chloro-5,10-dihydrophenarsazine, (Phenarsazine chloride), (Adamsite), (DM) (CAS 578-94-9); f. N-Nonanoylmorpholine, (MPA) (CAS 5299-64-9); b. Protective suits, gloves and shoes, specially designed or modified for defence against any of the following: 1. Biological agents 'adapted for use in war'; 2. Radioactive materials 'adapted for use in war'; or 3. Chemical warfare (CW) agents; c. Detection systems, specially designed or modified for detection or identification of any of the following, and specially designed components therefor: 1. Biological agents 'adapted for use in war'; 2. Radioactive materials 'adapted for use in war'; or 3. Chemical warfare (CW) agents; d. Electronic equipment designed for automatically detecting or identifying the presence of 'explosives' residues and utilising 'trace detection' techniques (e.g. surface acoustic wave, ion mobility spectrometry, differential mobility spectrometry, mass spectrometry). *Technical Note*: *'Trace detection' is defined as the capability to detect less than 1 ppm vapour, or 1 mg solid or liquid.* *Note 1: 1A004.d. does not control equipment specially designed for laboratory use.* *Note 2: 1A004.d. does not control non-contact walk-through security portals.* *Note: 1A004 does not control:* a. *Personal radiation monitoring dosimeters*;

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No	Description
	b. *Equipment limited by design or function to protect against hazards specific to residential safety or civil industries, including:* 1. *mining;* 2. *quarrying*; 3. *agriculture*; 4. *pharmaceutical*; 5. *medical*; 6. *veterinary*; 7. *environmental*; 8. *waste management*; 9. *food industry.* *Technical Notes:* *1A004 includes equipment and components that have been identified, successfully tested to national standards or otherwise proven effective, for the detection of or defence against radioactive materials 'adapted for use in war', biological agents 'adapted for use in war', chemical warfare agents, 'simulants' or 'riot control agents', even if such equipment or components are used in civil industries such as mining, quarrying, agriculture, pharmaceuticals, medical, veterinary, environmental, waste management, or the food industry.* *'Simulant' is a substance or material that is used in place of toxic agent (chemical or biological) in training, research, testing or evaluation.*
I.B.9A012	'Unmanned aerial vehicles' ('UAVs'), associated systems, equipment and components, as follows: a. 'UAVs' having any of the following: 1. An autonomous flight control and navigation capability (e.g. an autopilot with an Inertial Navigation System); or 2. Capability of controlled-flight out of the direct vision range involving a human operator (e.g. televisual remote control); b. Associated systems, equipment and components, as follows: 1. Equipment specially designed for remotely controlling the 'UAVs' specified in 9A012.a.; 2. Systems for navigation, attitude, guidance or control, other than those specified in 7A in Annex I to Regulation (EC) No 428/2009 and specially designed to provide autonomous flight control or navigation capability to 'UAVs' specified in 9A012.a.; 3. Equipment and components, specially designed to convert a manned 'aircraft' to a 'UAV' specified in 9A012.a.; 4. Air breathing reciprocating or rotary internal combustion type engines, specially designed or modified to propel 'UAVs' at altitudes above 50 000 feet (15 240 metres).

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No	Description
I.B.9A350	Spraying or fogging systems, specially designed or modified for fitting to aircraft, 'lighter-than-air vehicles' or unmanned aerial vehicles, and specially designed components therefor, as follows: Complete spraying or fogging systems capable of delivering, from a liquid suspension, an initial droplet 'VMD' of less than 50 μm at a flow rate of greater than two litres per minute; Spray booms or arrays of aerosol generating units capable of delivering, from a liquid suspension, an initial droplet 'VMD' of less than 50 μm at a flow rate of greater than two litres per minute; Aerosol generating units specially designed for fitting to systems specified in 9A350.a. and b. *Note: Aerosol generating units are devices specially designed or modified for fitting to aircraft such as nozzles, rotary drum atomisers and similar devices.* *Note: 9A350 does not control spraying or fogging systems and components that are demonstrated not to be capable of delivering biological agents in the form of infectious aerosols.* *Technical Notes:* 1. *Droplet size for spray equipment or nozzles specially designed for use on aircraft, 'lighter-than-air vehicles' or unmanned aerial vehicles should be measured using either of the following:* a. *Doppler laser method*; b. *Forward laser diffraction method*. 2. *In 9A350 'VMD' means Volume Median Diameter and for water-based systems this equates to Mass Median Diameter (MMD).*

B. **TEST AND PRODUCTION EQUIPMENT**

No	Description
I.B.2B350	Chemical manufacturing facilities, equipment and components, as follows: a. Reaction vessels or reactors, with or without agitators, with total internal (geometric) volume greater than 0,1 m^3 (100 litres) and less than 20 m^3 (20 000 litres), where all surfaces that come in direct contact with the chemical(s) being processed or contained are made from any of the following materials: 1. 'Alloys' with more than 25 % nickel and 20 % chromium by weight; 2. Fluoropolymers (polymeric or elastomeric materials with more than 35 % fluorine by weight); 3. Glass (including vitrified or enamelled coating or glass lining); 4. Nickel or 'alloys' with more than 40 % nickel by weight; 5. Tantalum or tantalum 'alloys'; 6. Titanium or titanium 'alloys'; 7. Zirconium or zirconium 'alloys'; or 8. Niobium (columbium) or niobium 'alloys';

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No	Description
	b. Agitators for use in reaction vessels or reactors specified in 2B350.a.; and impellers, blades or shafts designed for such agitators, where all surfaces of the agitator that come in direct contact with the chemical(s) being processed or contained are made from any of the following materials: 1. 'Alloys' with more than 25 % nickel and 20 % chromium by weight; 2. Fluoropolymers (polymeric or elastomeric materials with more than 35 % fluorine by weight); 3. Glass (including vitrified or enamelled coatings or glass lining); 4. Nickel or 'alloys' with more than 40 % nickel by weight; 5. Tantalum or tantalum 'alloys'; 6. Titanium or titanium 'alloys'; 7. Zirconium or zirconium 'alloys'; or 8. Niobium (columbium) or niobium 'alloys'; c. Storage tanks, containers or receivers with a total internal (geometric) volume greater than 0,1 m^3 (100 litres) where all surfaces that come in direct contact with the chemical(s) being processed or contained are made from any of the following materials: 1. 'Alloys' with more than 25 % nickel and 20 % chromium by weight; 2. Fluoropolymers (polymeric or elastomeric materials with more than 35 % fluorine by weight); 3. Glass (including vitrified or enamelled coatings or glass lining); 4. Nickel or 'alloys' with more than 40 % nickel by weight; 5. Tantalum or tantalum 'alloys'; 6. Titanium or titanium 'alloys'; 7. Zirconium or zirconium 'alloys'; or 8. Niobium (columbium) or niobium 'alloys'; d. Heat exchangers or condensers with a heat transfer surface area greater than 0,15 m^2, and less than 20 m^2; and tubes, plates, coils or blocks (cores) designed for such heat exchangers or condensers, where all surfaces that come in direct contact with the chemical(s) being processed are made from any of the following materials: 1. 'Alloys' with more than 25 % nickel and 20 % chromium by weight; 2. Fluoropolymers (polymeric or elastomeric materials with more than 35 % fluorine by weight); 3. Glass (including vitrified or enamelled coatings or glass lining); 4. Graphite or 'carbon graphite'; 5. Nickel or 'alloys' with more than 40 % nickel by weight; 6. Tantalum or tantalum 'alloys'; 7. Titanium or titanium 'alloys'; 8. Zirconium or zirconium 'alloys'; 9. Silicon carbide; 10. Titanium carbide; or 11. Niobium (columbium) or niobium 'alloys';

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No	Description
	e. Distillation or absorption columns of internal diameter greater than 0,1 m; and liquid distributors, vapour distributors or liquid collectors designed for such distillation or absorption columns, where all surfaces that come in direct contact with the chemical(s) being processed are made from any of the following materials: 1. 'Alloys' with more than 25 % nickel and 20 % chromium by weight; 2. Fluoropolymers (polymeric or elastomeric materials with more than 35 % fluorine by weight); 3. Glass (including vitrified or enamelled coatings or glass lining); 4. Graphite or 'carbon graphite'; 5. Nickel or 'alloys' with more than 40 % nickel by weight; 6. Tantalum or tantalum 'alloys'; 7. Titanium or titanium 'alloys'; 8. Zirconium or zirconium 'alloys'; or 9. Niobium (columbium) or niobium 'alloys'; f. Remotely operated filling equipment in which all surfaces that come in direct contact with the chemical(s) being processed are made from any of the following materials: 1. 'Alloys' with more than 25 % nickel and 20 % chromium by weight; or 2. Nickel or 'alloys' with more than 40 % nickel by weight; g. Valves with 'nominal sizes' greater than 10 mm and casings (valve bodies) or preformed casing liners designed for such valves, in which all surfaces that come in direct contact with the chemical(s) being processed or contained are made from any of the following materials: 1. 'Alloys' with more than 25 % nickel and 20 % chromium by weight; 2. Fluoropolymers (polymeric or elastomeric materials with more than 35 % fluorine by weight); 3. Glass (including vitrified or enamelled coatings or glass lining); 4. Nickel or 'alloys' with more than 40 % nickel by weight; 5. Tantalum or tantalum 'alloys'; 6. Titanium or titanium 'alloys'; 7. Zirconium or zirconium 'alloys'; 8. Niobium (columbium) or niobium 'alloys'; or 9. Ceramic materials as follows: a. Silicon carbide with purity of 80 % or more by weight; b. Aluminium oxide (alumina) with purity of 99,9 % or more by weight; c. Zirconium oxide (zirconia); *Technical Note*: *The 'nominal size' is defined as the smaller of the inlet and outlet diameters.*

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No	Description
	h. Multi-walled piping incorporating a leak detection port, in which all surfaces that come in direct contact with the chemical(s) being processed or contained are made from any of the following materials: 1. 'Alloys' with more than 25 % nickel and 20 % chromium by weight; 2. Fluoropolymers (polymeric or elastomeric materials with more than 35 % fluorine by weight); 3. Glass (including vitrified or enamelled coatings or glass lining); 4. Graphite or 'carbon graphite'; 5. Nickel or 'alloys' with more than 40 % nickel by weight; 6. Tantalum or tantalum 'alloys'; 7. Titanium or titanium 'alloys'; 8. Zirconium or zirconium 'alloys'; or 9. Niobium (columbium) or niobium 'alloys'; i. Multiple-seal and seal-less pumps, with manufacturer's specified maximum flow-rate greater than 0,6 m^3/hour, or vacuum pumps with manufacturer's specified maximum flow-rate greater than 5 m^3/hour (under standard temperature (273 K (0 °C)) and pressure (101,3 kPa) conditions); and casings (pump bodies), preformed casing liners, impellers, rotors or jet pump nozzles designed for such pumps, in which all surfaces that come in direct contact with the chemical(s) being processed are made from any of the following materials: 1. 'Alloys' with more than 25 % nickel and 20 % chromium by weight; 2. Ceramics; 3. Ferrosilicon (high silicon iron alloys); 4. Fluoropolymers (polymeric or elastomeric materials with more than 35 % fluorine by weight); 5. Glass (including vitrified or enamelled coatings or glass lining); 6. Graphite or 'carbon graphite'; 7. Nickel or 'alloys' with more than 40 % nickel by weight; 8. Tantalum or tantalum 'alloys'; 9. Titanium or titanium 'alloys'; 10. Zirconium or zirconium 'alloys'; or 11. Niobium (columbium) or niobium 'alloys'; j. Incinerators designed to destroy chemicals specified in entry 1C350, having specially designed waste supply systems, special handling facilities and an average combustion chamber temperature greater than 1 273 K (1 000 °C), in which all surfaces in the waste supply system that come into direct contact with the waste products are made from or lined with any of the following materials: 1. 'Alloys' with more than 25 % nickel and 20 % chromium by weight; 2. Ceramics; or 3. Nickel or 'alloys' with more than 40 % nickel by weight.

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No	Description
	Technical Notes: 1. *'Carbon graphite' is a composition consisting of amorphous carbon and graphite, in which the graphite content is eight percent or more by weight.* 2. *For the listed materials in the above entries, the term 'alloy' when not accompanied by a specific elemental concentration is understood as identifying those alloys where the identified metal is present in a higher percentage by weight than any other element.*
I.B.2B351	Toxic gas monitoring systems and their dedicated detecting components, other than those specified in 1A004, as follows; and detectors; sensor devices; and replaceable sensor cartridges therefor: a. Designed for continuous operation and usable for the detection of chemical warfare agents or chemicals specified in 1C350, at concentrations of less than 0,3 mg/m^3; or b. Designed for the detection of cholinesterase-inhibiting activity.
I.B.2B352	Equipment capable of use in handling biological materials, as follows: a. Complete biological containment facilities at P3, P4 containment level; *Technical Note:* *P3 or P4 (BL3, BL4, L3, L4) containment levels are as specified in the WHO Laboratory Biosafety manual (3rd edition Geneva 2004).* b. Fermenters capable of cultivation of pathogenic 'micro-organisms', viruses or capable of toxin production, without the propagation of aerosols, and having a total capacity of 20 litres or more; *Technical Note:* *Fermenters include bioreactors, chemostats and continuous-flow systems.* c. Centrifugal separators, capable of continuous separation without the propagation of aerosols, having all the following characteristics: 1. Flow rate exceeding 100 litres per hour; 2. Components of polished stainless steel or titanium; 3. One or more sealing joints within the steam containment area; and 4. Capable of in-situ steam sterilisation in a closed state; *Technical Note:* *Centrifugal separators include decanters.* d. Cross (tangential) flow filtration equipment and components as follows: 1. Cross (tangential) flow filtration equipment capable of separation of pathogenic 'micro-organisms', viruses, toxins or cell cultures, without the propagation of aerosols, having all of the following characteristics: a. A total filtration area equal to or greater than 1 m^2; and b. Having either of the following characteristics: 1. Capable of being sterilised or disinfected in-situ; or 2. Using disposable or single-use filtration components;

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No	Description
	Technical Note: *In 2B352.d.1.b. sterilised denotes the elimination of all viable microbes from the equipment through the use of either physical (e.g. steam) or chemical agents. Disinfected denotes the destruction of potential microbial infectivity in the equipment through the use of chemical agents with a germicidal effect. Disinfection and sterilisation are distinct from sanitisation, the latter referring to cleaning procedures designed to lower the microbial content of equipment without necessarily achieving elimination of all microbial infectivity or viability.* 2. Cross (tangential) flow filtration components (e.g. modules, elements, cassettes, cartridges, units or plates) with filtration area equal to or greater than 0,2 m^2 for each component and designed for use in cross (tangential) flow filtration equipment specified in 2B352.d.; *Note: 2B352.d. does not control reverse osmosis equipment, as specified by the manufacturer.* e. Steam sterilisable freeze drying equipment with a condenser capacity exceeding 10 kg of ice in 24 hours and less than 1 000 kg of ice in 24 hours; f. Protective and containment equipment, as follows: 1. Protective full or half suits, or hoods dependent upon a tethered external air supply and operating under positive pressure; *Note: 2B352.f.1. does not control suits designed to be worn with self-contained breathing apparatus.* 2. Class III biological safety cabinets or isolators with similar performance standards; *Note: In 2B352.f.2., isolators include flexible isolators, dry boxes, anaerobic chambers, glove boxes and laminar flow hoods (closed with vertical flow).* g. Chambers designed for aerosol challenge testing with 'micro-organisms', viruses or 'toxins' and having a capacity of 1 m^3 or greater.

C. **MATERIALS**

No	Description
I.B.1C350	Chemicals, which may be used as precursors for toxic chemical agents, as follows, and 'chemical mixtures' containing one or more thereof: *NB:* SEE ALSO MILITARY GOODS CONTROLS AND 1C450. 1. Thiodiglycol (111-48-8); 2. Phosphorus oxychloride (10025-87-3); 3. Dimethyl methylphosphonate (756-79-6); 4. SEE MILITARY GOODS CONTROLS FOR Methyl phosphonyl difluoride (676-99-3); 5. Methyl phosphonyl dichloride (676-97-1); 6. Dimethyl phosphite (DMP) (868-85-9); 7. Phosphorus trichloride (7719-12-2);

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No	Description
	8. Trimethyl phosphite (TMP) (121-45-9); 9. Thionyl chloride (7719-09-7); 10. 3-Hydroxy-1-methylpiperidine (3554-74-3); 11. N,N-Diisopropyl-(beta)-aminoethyl chloride (96-79-7); 12. N,N-Diisopropyl-(beta)-aminoethane thiol (5842-07-9); 13. 3-Quinuclidinol (1619-34-7); 14. Potassium fluoride (7789-23-3); 15. 2-Chloroethanol (107-07-3); 16. Dimethylamine (124-40-3); 17. Diethyl ethylphosphonate (78-38-6); 18. Diethyl-N,N-dimethylphosphoramidate (2404-03-7); 19. Diethyl phosphite (762-04-9); 20. Dimethylamine hydrochloride (506-59-2); 21. Ethyl phosphinyl dichloride (1498-40-4); 22. Ethyl phosphonyl dichloride (1066-50-8); 23. SEE MILITARY GOODS CONTROLS FOR Ethyl phosphonyl difluoride (753-98-0); 24. Hydrogen fluoride (7664-39-3); 25. Methyl benzilate (76-89-1); 26. Methyl phosphinyl dichloride (676-83-5); 27. N,N-Diisopropyl-(beta)-amino ethanol (96-80-0); 28. Pinacolyl alcohol (464-07-3); 29. SEE MILITARY GOODS CONTROLS FOR O-Ethyl-2-diisopropylaminoethyl methyl phosphonite (QL) (57856-11-8); 30. Triethyl phosphite (122-52-1); 31. Arsenic trichloride (7784-34-1); 32. Benzilic acid (76-93-7); 33. Diethyl methylphosphonite (15715-41-0); 34. Dimethyl ethylphosphonate (6163-75-3); 35. Ethyl phosphinyl difluoride (430-78-4); 36. Methyl phosphinyl difluoride (753-59-3); 37. 3-Quinuclidone (3731-38-2); 38. Phosphorus pentachloride (10026-13-8); 39. Pinacolone (75-97-8); 40. Potassium cyanide (151-50-8); 41. Potassium bifluoride (7789-29-9); 42. Ammonium hydrogen fluoride or ammonium bifluoride (1341-49-7); 43. Sodium fluoride (7681-49-4); 44. Sodium bifluoride (1333-83-1); 45. Sodium cyanide (143-33-9); 46. Triethanolamine (102-71-6); 47. Phosphorus pentasulphide (1314-80-3); 48. Di-isopropylamine (108-18-9); 49. Diethylaminoethanol (100-37-8); 50. Sodium sulphide (1313-82-2); 51. Sulphur monochloride (10025-67-9); 52. Sulphur dichloride (10545-99-0);

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No	Description
	53. Triethanolamine hydrochloride (637-39-8); 54. N,N-Diisopropyl-(Beta)-aminoethyl chloride hydrochloride (4261-68-1); 55. Methylphosphonic acid (993-13-5); 56. Diethyl methylphosphonate (683-08-9); 57. N,N-Dimethylaminophosphoryl dichloride (677-43-0); 58. Triisopropyl phosphite (116-17-6); 59. Ethyldiethanolamine (139-87-7); 60. O,O-Diethyl phosphorothioate (2465-65-8); 61. O,O-Diethyl phosphorodithioate (298-06-6); 62. Sodium hexafluorosilicate (16893-85-9); 63. Methylphosphonothioic dichloride (676-98-2). *Note 1: For exports to 'States not Party to the Chemical Weapons Convention', 1C350 does not control 'chemical mixtures' containing one or more of the chemicals specified in entries 1C350.1, .3, .5, .11, .12, .13, .17, .18, .21, .22, .26, .27, .28, .31, .32, .33, .34, .35, .36, .54, .55, .56, .57 and .63 in which no individually specified chemical constitutes more than 10 % by the weight of the mixture.* *Note 2: 1C350 does not control 'chemical mixtures' containing one or more of the chemicals specified in entries 1C350.2, .6, .7, .8, .9, .10, .14, .15, .16, .19, .20, .24, .25, .30, .37, .38, .39, .40, .41, .42, .43, .44, .45, .46, .47, .48, .49, .50, .51, .52, .53, .58, .59, .60, .61 and .62 in which no individually specified chemical constitutes more than 30 % by the weight of the mixture.* *Note 3: 1C350 does not control products identified as consumer goods packaged for retail sale for personal use or packaged for individual use.*
I.B.1C351	Human pathogens, zoonoses and 'toxins', as follows: a. Viruses, whether natural, enhanced or modified, either in the form of 'isolated live cultures' or as material including living material which has been deliberately inoculated or contaminated with such cultures, as follows: 1. Andes virus; 2. Chapare virus; 3. Chikungunya virus; 4. Choclo virus; 5. Congo-Crimean haemorrhagic fever virus; 6. Dengue fever virus; 7. Dobrava-Belgrade virus; 8. Eastern equine encephalitis virus; 9. Ebola virus; 10. Guanarito virus; 11. Hantaan virus; 12. Hendra virus (Equine morbillivirus); 13. Japanese encephalitis virus; 14. Junin virus; 15. Kyasanur Forest virus; 16. Laguna Negra virus; 17. Lassa fever virus; 18. Louping ill virus;

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No	Description
	19. Lujo virus; 20. Lymphocytic choriomeningitis virus; 21. Machupo virus; 22. Marburg virus; 23. Monkey pox virus; 24. Murray Valley encephalitis virus; 25. Nipah virus; 26. Omsk haemorrhagic fever virus; 27. Oropouche virus; 28. Powassan virus; 29. Rift Valley fever virus; 30. Rocio virus; 31. Sabia virus; 32. Seoul virus; 33. Sin nombre virus; 34. St Louis encephalitis virus; 35. Tick-borne encephalitis virus (Russian Spring-Summer encephalitis virus); 36. Variola virus; 37. Venezuelan equine encephalitis virus; 38. Western equine encephalitis virus; 39. Yellow fever virus; b. Rickettsiae, whether natural, enhanced or modified, either in the form of 'isolated live cultures' or as material including living material which has been deliberately inoculated or contaminated with such cultures, as follows: 1. Coxiella burnetii; 2. Bartonella quintana (Rochalimaea quintana, Rickettsia quintana); 3. Rickettsia prowasecki; 4. Rickettsia rickettsii; c. Bacteria, whether natural, enhanced or modified, either in the form of 'isolated live cultures' or as material including living material which has been deliberately inoculated or contaminated with such cultures, as follows: 1. Bacillus anthracis; 2. Brucella abortus; 3. Brucella melitensis; 4. Brucella suis; 5. Chlamydia psittaci; 6. Clostridium botulinum; 7. Francisella tularensis; 8. Burkholderia mallei (Pseudomonas mallei); 9. Burkholderia pseudomallei (Pseudomonas pseudomallei); 10. Salmonella typhi; 11. Shigella dysenteriae; 12. Vibrio cholerae; 13. Yersinia pestis; 14. Clostridium perfringens epsilon toxin producing types; 15. Enterohaemorrhagic Escherichia coli, serotype O157 and other verotoxin producing serotypes;

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No	Description
	d. 'Toxins', as follows, and 'sub-unit of toxins' thereof: 1. Botulinum toxins; 2. Clostridium perfringens toxins; 3. Conotoxin; 4. Ricin; 5. Saxitoxin; 6. Shiga toxin; 7. Staphylococcus aureus toxins; 8. Tetrodotoxin; 9. Verotoxin and shiga-like ribosome inactivating proteins; 10. Microcystin (Cyanginosin); 11. Aflatoxins; 12. Abrin; 13. Cholera toxin; 14. Diacetoxyscirpenol toxin; 15. T-2 toxin; 16. HT-2 toxin; 17. Modeccin; 18. Volkensin; 19. Viscum album Lectin 1 (Viscumin); *Note: 1C351.d. does not control botulinum toxins or conotoxins in product form meeting all of the following criteria:* 1. *Are pharmaceutical formulations designed for human administration in the treatment of medical conditions*; 2. *Are pre-packaged for distribution as medical products*; 3. *Are authorised by a state authority to be marketed as medical products.* e. Fungi, whether natural, enhanced or modified, either in the form of 'isolated live cultures' or as material including living material which has been deliberately inoculated or contaminated with such cultures, as follows: 1. Coccidioides immitis; 2. Coccidioides posadasii. *Note: 1C351 does not control 'vaccines' or 'immunotoxins'.*
I.B.1C352	Animal pathogens, as follows: a. Viruses, whether natural, enhanced or modified, either in the form of 'isolated live cultures' or as material including living material which has been deliberately inoculated or contaminated with such cultures, as follows: 1. African swine fever virus; 2. Avian influenza virus, which are: a. Uncharacterised; or b. Defined in Annex I(2) to Directive 2005/94/EC ([1]) as having high pathogenicity, as follows: 1. Type A viruses with an IVPI (intravenous pathogenicity index) in six-week-old chickens of greater than 1,2; or

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No	Description
	2. Type A viruses of the subtypes H5 or H7 with genome sequences codified for multiple basic amino acids at the cleavage site of the haemagglutinin molecule similar to that observed for other HPAI viruses, indicating that the haemagglutinin molecule can be cleaved by a host ubiquitous protease; 3. Bluetongue virus; 4. Foot and mouth disease virus; 5. Goat pox virus; 6. Porcine herpes virus (Aujeszky's disease); 7. Swine fever virus (Hog cholera virus); 8. Lyssa virus; 9. Newcastle disease virus; 10. Peste des petits ruminants virus; 11. Porcine enterovirus type 9 (swine vesicular disease virus); 12. Rinderpest virus; 13. Sheep pox virus; 14. Teschen disease virus; 15. Vesicular stomatitis virus; 16. Lumpy skin disease virus; 17. African horse sickness virus; b. Mycoplasmas, whether natural, enhanced or modified, either in the form of 'isolated live cultures' or as material including living material which has been deliberately inoculated or contaminated with such cultures, as follows: 1. Mycoplasma mycoides subspecies mycoides SC (small colony); 2. Mycoplasma capricolum subspecies capripneumoniae. *Note: 1C352 does not control 'vaccines'.*
I.B.1C353	Genetic elements and genetically modified organisms, as follows: a. Genetically modified organisms or genetic elements that contain nucleic acid sequences associated with pathogenicity of organisms specified in 1C351.a., 1C351.b., 1C351.c, 1C351.e., 1C352 or 1C354; b. Genetically modified organisms or genetic elements that contain nucleic acid sequences coding for any of the 'toxins' specified in 1C351.d. or 'sub-units of toxins' thereof. *Technical Notes*: 1. *Genetic elements include, inter alia, chromosomes, genomes, plasmids, transposons and vectors whether genetically modified or unmodified.* 2. *Nucleic acid sequences associated with the pathogenicity of any of the micro-organisms specified in 1C351.a., 1C351.b., 1C351.c., 1C351.e., 1C352 or 1C354 means any sequence specific to the specified micro-organism that:* a. *In itself or through its transcribed or translated products represents a significant hazard to human, animal or plant health; or*

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No	Description
	b. *Is known to enhance the ability of a specified micro-organism, or any other organism into which it may be inserted or otherwise integrated, to cause serious harm to humans, animals or plant health.* *Note: 1C353 does not apply to nucleic acid sequences associated with the pathogenicity of enterohaemorrhagic Escherichia coli, serotype O157 and other verotoxin producing strains, other than those coding for the verotoxin, or for its sub-units.*
I.B.1C354	Plant pathogens, as follows: a. Viruses, whether natural, enhanced or modified, either in the form of 'isolated live cultures' or as material including living material which has been deliberately inoculated or contaminated with such cultures, as follows: 1. Potato Andean latent tymovirus; 2. Potato spindle tuber viroid; b. Bacteria, whether natural, enhanced or modified, either in the form of 'isolated live cultures' or as material which has been deliberately inoculated or contaminated with such cultures, as follows: 1. Xanthomonas albilineans; 2. Xanthomonas campestris pv. citri including strains referred to as Xanthomonas campestris pv. citri types A,B,C,D,E or otherwise classified as Xanthomonas citri, Xanthomonas campestris pv. aurantifolia or Xanthomonas campestris pv. citrumelo; 3. Xanthomonas oryzae pv. Oryzae (Pseudomonas campestris pv. Oryzae); 4. Clavibacter michiganensis subsp. Sepedonicus (Corynebacterium michiganensis subsp. Sepedonicum or Corynebacterium Sepedonicum); 5. Ralstonia solanacearum Races 2 and 3 (Pseudomonas solanacearum Races 2 and 3 or Burkholderia solanacearum Races 2 and 3); c. Fungi, whether natural, enhanced or modified, either in the form of 'isolated live cultures' or as material which has been deliberately inoculated or contaminated with such cultures, as follows: 1. Colletotrichum coffeanum var. virulans (Colletotrichum kahawae); 2. Cochliobolus miyabeanus (Helminthosporium oryzae); 3. Microcyclus ulei (syn. Dothidella ulei); 4. Puccinia graminis (syn. Puccinia graminis f. sp. tritici); 5. Puccinia striiformis (syn. Puccinia glumarum); 6. Magnaporthe grisea (pyricularia grisea/pyricularia oryzae).
I.B.1C450	Toxic chemicals and toxic chemical precursors, as follows, and 'chemical mixtures' containing one or more thereof: *NB:* SEE ALSO ENTRY 1C350, 1C351.d. AND MILITARY GOODS CONTROLS. a. Toxic chemicals, as follows: 1. Amiton: O,O-Diethyl S-[2-(diethylamino)ethyl] phosphorothiolate (78-53-5) and corresponding alkylated or protonated salts;

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No	Description
	2. PFIB: 1,1,3,3,3-Pentafluoro-2-(trifluoromethyl)-1-propene (382-21-8); 3. SEE MILITARY GOODS CONTROLS FOR BZ: 3-Quinuclidinyl benzilate (6581-06-2); 4. Phosgene: Carbonyl dichloride (75-44-5); 5. Cyanogen chloride (506-77-4); 6. Hydrogen cyanide (74-90-8); 7. Chloropicrin: Trichloronitromethane (76-06-2); *Note 1: For exports to 'States not Party to the Chemical Weapons Convention', 1C450 does not control 'chemical mixtures' containing one or more of the chemicals specified in entries 1C450.a.1. and .a.2. in which no individually specified chemical constitutes more than 1 % by the weight of the mixture.* *Note 2: 1C450 does not control 'chemical mixtures' containing one or more of the chemicals specified in entries 1C450.a.4., .a.5., .a.6. and .a.7. in which no individually specified chemical constitutes more than 30 % by the weight of the mixture.* *Note 3: 1C450 does not control products identified as consumer goods packaged for retail sale for personal use or packaged for individual use.* b. Toxic chemical precursors, as follows: 1. Chemicals, other than those specified in the Military Goods Controls or in 1C350, containing a phosphorus atom to which is bonded one methyl, ethyl or propyl (normal or iso) group but not further carbon atoms; *Note: 1C450.b.1 does not control Fonofos: O-Ethyl S-phenyl ethylphosphonothiolothionate (944-22-9);* 2. N,N-Dialkyl [methyl, ethyl or propyl (normal or iso)] phosphoramidic dihalides, other than N,N-Dimethylaminophosphoryl dichloride; *NB: See 1C350.57. for N,N-Dimethylaminophosphoryl dichloride.* 3. Dialkyl [methyl, ethyl or propyl (normal or iso)] N,N-dialkyl [methyl, ethyl or propyl (normal or iso)]-phosphoramidates, other than Diethyl-N,N-dimethylphosphoramidate which is specified in 1C350; 4. N,N-Dialkyl [methyl, ethyl or propyl (normal or iso)] aminoethyl-2-chlorides and corresponding protonated salts, other than N,N-Diisopropyl-(beta)-aminoethyl chloride or N,N-Diisopropyl-(beta)-aminoethyl chloride hydrochloride which are specified in 1C350; 5. N,N-Dialkyl [methyl, ethyl or propyl (normal or iso)] aminoethane-2-ols and corresponding protonated salts, other than N,N-Diisopropyl-(beta)-aminoethanol (96-80-0) and N,N-Diethylaminoethanol (100-37-8) which are specified in 1C350; *Note: 1C450.b.5. does not control the following:* a. *N,N-Dimethylaminoethanol (108-01-0) and corresponding protonated salts*; b. *Protonated salts of N,N-Diethylaminoethanol (100-37-8).* 6. N,N-Dialkyl [methyl, ethyl or propyl (normal or iso)] aminoethane-2-thiols and corresponding protonated salts, other than N,N-Diisopropyl-(beta)-aminoethane thiol which is specified in 1C350;

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No	Description
	7. See 1C350 for ethyldiethanolamine (139-87-7); 8. Methyldiethanolamine (105-59-9). *Note 1:* *For exports to 'States not Party to the Chemical Weapons Convention', 1C450 does not control 'chemical mixtures' containing one or more of the chemicals specified in entries 1C450.b.1., .b.2., .b.3., .b.4., .b.5. and .b.6. in which no individually specified chemical constitutes more than 10 % by the weight of the mixture.* *Note 2:* *1C450 does not control 'chemical mixtures' containing one or more of the chemicals specified in entry 1C450.b.8. in which no individually specified chemical constitutes more than 30 % by the weight of the mixture.* *Note 3:* *1C450 does not control products identified as consumer goods packaged for retail sale for personal use or packaged for individual use.*

([1]) Council Directive 2005/94/EC of 20 December 2005 on Community measures for the control of avian influenza (OJ L 10, 14.1.2006, p. 16).

D. **SOFTWARE**

No	Description
I.B.1D003	'Software' specially designed or modified to enable equipment to perform the functions of equipment specified in 1A004.c. or 1A004.d.
I.B.2D351	'Software', other than that specified in 1D003, specially designed for 'use' of equipment specified in 2B351.
I.B.9D001	'Software' specially designed or modified for the 'development' of equipment or 'technology', specified in 9A012.
I.B.9D002	'Software' specially designed or modified for the 'production' of equipment specified in 9A012.

E. **TECHNOLOGY**

No	Description
I.B.1E001	'Technology' according to the General Technology Note for the 'development' or 'production' of equipment or materials specified in 1A004, 1C350 to 1C354 or 1C450.
I.B.2E001	'Technology' according to the General Technology Note for the 'development' of equipment or 'software' specified in 2B350, 2B351, 2B352 or 2D351.
I.B.2E002	'Technology' according to the General Technology Note for the 'production' of equipment specified in 2B350, 2B351 or 2B352.
I.B.2E301	'Technology' according to the General Technology Note for the 'use' of goods specified in 2B350 to 2B352.

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No	Description
I.B.9E001	‘Technology’ according to the General Technology Note for the ‘development’ of equipment or ‘software’, specified in 9A012 or 9A350.
I.B.9E002	‘Technology’ according to the General Technology Note for the ‘production’ of equipment specified in 9A350.
I.B.9E101	‘Technology’ according to the General Technology Note for the ‘production’ of ‘UAVs’ specified in 9A012. *Technical Note:* *In 9E101.b. ‘UAV’ means unmanned aerial vehicle systems capable of a range exceeding 300 km.*
I.B.9E102	‘Technology’ according to the General Technology Note for the ‘use’‘UAVs’ specified in 9A012. *Technical Note:* *In 9E101.b. ‘UAV’ means unmanned aerial vehicle systems capable of a range exceeding 300 km.*

PART 2

Introductory Notes

1. Unless otherwise stated, reference numbers used in the column below entitled ‘Description’ refer to the descriptions of dual-use items set out in Annex I to Regulation (EC) No 428/2009.

2. A reference number in the column below entitled ‘Related item from Annex I to Regulation (EC) No 428/2009’ means that the characteristics of the item described in the ‘Description’ column lie outside the parameters set out in the description of the dual-use entry referred to.

3. Definitions of terms between ‘single quotation marks’ are given in a technical note to the relevant item.

4. Definitions of terms between ‘double quotation marks’ can be found in Annex I to Regulation (EC) No 428/2009.

General Notes

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

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

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

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General Technology Note (GTN)

(To be read in conjunction with Section B of Part 1)

1. The sale, supply, transfer or export of 'technology' which is 'required' for the 'development', 'production' or 'use' of goods the sale, supply, transfer or export of which is controlled in Section I.C.A of this Part, is controlled in accordance with the provisions of Section I.C.B of this Part.

2. The 'technology''required' for the 'development', 'production' or 'use' of goods under control remains under control even when it is applicable to non-controlled goods.

3. Controls do not apply to that 'technology' which is the minimum necessary for the installation, operation, maintenance (checking) and repair of those goods which are not controlled or the export of which has been authorised in accordance with this Regulation.

4. Controls on 'technology' transfer do not apply to information 'in the public domain', to 'basic scientific research' or to the minimum necessary information for patent applications.

I.C.A. **GOODS**

(Materials and chemicals)

No	Description	Related item from Annex I to Regulation (EC) No 428/2009
I.C.A.001	Chemicals at 95 % concentration or greater, as follows: 1. Ethylene dichloride, (CAS 107-06-2)	
I.C.A.002	Chemicals at 95 % concentration or greater, as follows: 1. Nitromethane, (CAS 75-52-5) 2. Picric acid, (CAS 88-89-1)	
I.C.A.003	Chemicals at 95 % concentration or greater, as follows: 1. Aluminum chloride, (CAS 7446-70-0) 2. Arsenic, (CAS 7440-38-2) 3. Arsenic trioxide, (CAS 1327-53-3) 4. Bis(2-chloroethyl)ethylamine hydrochloride, (CAS 3590-07-6) 5. Bis(2-chloroethyl)methylamine hydrochloride, (CAS 55-86-7) 6. Tris(2-chloroethyl)amine hydrochloride, (CAS 817-09-4)	

TECHNOLOGY

B.001	'Technology' required for the 'development', 'production' or 'use' of the items in Section I.C.A. *Technical Note:* *The term 'technology' includes 'software'.*	

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ANNEX II

List of natural and legal persons, entities or bodies referred to in Articles 14 and 15(1)(a)

▼C4

A. **Persons**

	Name	Identifying information	Reasons	Date of listing
1.	Bashar (بشـــار) Al-Assad (الأســد)	Date of birth: 11 September 1965; Place of birth: Damascus; diplomatic passport No D1903	President of the Republic; person authorising and supervising the crackdown on demonstrators.	23.5.2011
2.	Maher (ماهر) (a.k.a. Mahir) Al-Assad (الأســد)	Date of birth: 8 December 1967; diplomatic passport No 4138	Commander of the Army's 4th Armoured Division, member of Ba'ath Party Central Command, strongman of the Republican Guard; brother of President Bashar Al-Assad; principal overseer of violence against demonstrators.	9.5.2011
3.	Ali (علـي) Mamluk (مملـوك) (a.k.a. Mamlouk)	Date of birth: 19 February 1946; Place of birth: Damascus; diplomatic passport No 983	Head of Syrian General Intelligence Directorate (GID); involved in violence against demonstrators.	9.5.2011
4.	Atej (عاطف) (a.k.a. Atef, Atif) Najib (نجيـــب) (a.k.a. Najeeb)		Former Head of the Political Security Directorate in Dara'a; cousin of President Bashar Al-Assad; involved in violence against demonstrators.	9.5.2011
5.	Hafiz (حـــافظ) Makhluf (مخلـوف) (a.k.a. Hafez Makhlouf)	Date of birth: 2 April 1971; Place of birth: Damascus; diplomatic passport No 2246	Colonel and Head of Unit in General Intelligence Directorate, Damascus Branch; cousin of President Bashar Al-Assad; close to Maher Al-Assad; involved in violence against demonstrators.	9.5.2011
6.	Muhammad (محمد) Dib (ديـب) Zaytun (زيتـــون) (a.k.a. Mohammed Dib Zeitoun)	Date of birth: 20 May 1951; Place of birth: Damascus; diplomatic passport No D000001300	Head of Political Security Directorate; involved in violence against demonstrators.	9.5.2011
7.	Amjad (أمجد) Al-Abbas (لعبـــاس)		Head of Political Security in Banyas, involved in violence against demonstrators in Baida.	9.5.2011
8.	Rami (رامي) Makhlouf (مخلـوف)	Date of birth: 10 July 1969; Place of birth: Damascus; passport No 454224	Syrian businessman; cousin of President Bashar Al-Assad, controls the investment funds Al Mahreq, Bena Properties, Cham Holding Syriatel, Souruh Company thereby furnishing financing and support to the regime.	9.5.2011

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	Name	Identifying information	Reasons	Date of listing
9.	Abd Al-Fatah (عبد الفتاح) Qudsiyah (قدسية)	Born: 1953; Place of birth: Hama; diplomatic passport No D0005788	Head of Syrian Military Intelligence (SMI); involved in violence against the civilian population.	9.5.2011
10.	Jamil (جميل) (a.k.a. Jameel) Hassan (حسن)		Head of Syrian Air Force Intelligence; involved in violence against the civilian population.	9.5.2011
11.	Rustum (رستم) Ghazali (غزالة)	Date of birth: 3 May 1953; Place of birth: Dara'a; diplomatic passport No D000000887	Head of Syrian Military Intelligence, Damascus Countryside Branch; involved in violence against the civilian population.	9.5.2011
12.	Fawwaz (فواز) Al-Assad (الأسد)	Date of birth: 18 June 1962; Place of birth: Kerdala; passport No 88238	Involved in violence against the civilian population as part of the Shabiha militia.	9.5.2011
13.	Munzir (منذر) Al-Assad (الأسد)	Date of birth: 1 March 1961; Place of birth: Latakia; passports No 86449 and No 842781	Involved in violence against the civilian population as part of the Shabiha militia.	9.5.2011
14.	Asif (آصف) Shawkat (شوكت)	Date of birth: 15 January 1950; Place of birth: Al-Madehleh, Tartous	Deputy Chief of Staff for Security and Reconnaissance; involved in violence against the civilian population.	23.5.2011
15.	Hisham (هشام) khtiyar (إختيار, الإختيار, بختيار) (a.k.a. Al Ikhtiyar, Bikhtiyar, Bikhtyar, Bekhtyar, Bikhtiar, Bekhtyar)	Born: 20 July 1941; place of birth Damascus	Head of Syrian National Security Bureau; involved in violence against the civilian population. He is reported to have died because of the bombing of 18 July 2012	23.5.2011
16.	Faruq (فاروق) (a.k.a. Farouq, Farouk) Al Shar' (الشرع) (a.k.a. Al Char', Al Shara', Al Shara)	Date of birth: 10 December 1938	Vice-President of Syria; involved in violence against the civilian population.	23.5.2011
17.	Muhammad (محمد) (a.k.a. Mohamad Nasif (ناصيف) (a.k.a. Naseef, Nassif, Nasseef, Nasief) Khayrbik (بكخير, بكخير) (a.k.a. Khier Bek)	Date of birth: 10 April 1937 (or 20 May 1937); Place of birth: Hama; diplomatic passport No 0002250 passport No 000129200	Deputy Vice-President of Syria for National Security Affairs; involved in violence against the civilian population.	23.5.2011

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	Name	Identifying information	Reasons	Date of listing
18.	Mohamed (محمد) Hamcho (حمشو)	Date of birth: 20 May 1966; passport No 002954347	Syrian businessman and local agent for several foreign companies; associate of Maher al-Assad, managing a part of his financial and economic interests and as such provides funding to the regime.	23.5.2011
19.	Iyad (إياد) (a.k.a. Eyad) Makhlouf (مخلوف)	Date of birth: 21 January 1973; Place of birth: Damascus; passport No N001820740	Brother of Rami Makhlouf and GID Officer involved in violence against the civilian population.	23.5.2011
20.	Bassam (بسام) Al Hassan (الحسن) (a.k.a. Al Hasan)		Presidential Advisor for Strategic Affairs; involved in violence against the civilian population.	23.5.2011
21.	Dawud Rajiha		Chief of Staff of the Armed Forces responsible for the military involvement in violence against peaceful protesters. Died in the 18 July 2012 bombing.	23.5.2011
22.	Ihab (إيهاب) (a.k.a. Ehab, Iehab) Makhlouf (مخلوف)	Date of birth: 21 January 1973; Place of birth: Damascus; passport No N002848852	President of Syriatel, which transfers 50 % of its profits to the Syrian government by way of its licencing contract.	23.5.2011
23.	Zoulhima (ذوالهمة) (a.k.a. Zu al-Himma) Chaliche (شاليش) (a.k.a., Shalish, Shaleesh) (a.k.a. Dhu al-Himma Shalish)	Born: 1951 or 1946 or 1956; Place of birth: Kerdaha	Head of presidential security; involved in violence against demonstrators; first cousin of President Bashar Al-Assad.	23.6.2011
24.	Riyad (رياض) Chaliche (شاليش) (a.k.a. Shalish, Shaleesh) (a.k.a. Riyad Shalish)		Director of Military Housing Establishment; provides funding to the regime; first cousin of President Bashar Al-Assad.	23.6.2011
25.	Brigadier Commander Mohammad (محمد) (a.k.a. Mohamed, Muhammad, Mohammed) Ali (علي) Jafari (جعفري) (a.k.a. Jaafari, Ja'fari, Aziz; a.k.a. Jafari, Ali; a.k.a. Jafari, Mohammad Ali; a.k.a. Ja'fari, Mohammad Ali; a.k.a. Jafari-Najafabadi, Mohammad Ali)	Date of birth: 1 September 1957; Place of birth: Yazd, Iran	General Commander of Iranian Revolutionary Guard Corps, involved in providing equipment and support to help the Syrian regime suppress protests in Syria.	23.6.2011

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	Name	Identifying information	Reasons	Date of listing
26.	Major General Qasem (قاسم) Soleimani (سليماني) (a.k.a. Qasim Soleimany)		Commander of Iranian Revolutionary Guard Corps, IRGC - Qods, involved in providing equipment and support to help the Syrian regime suppress protests in Syria.	23.6.2011
27.	Hossein Taeb (a.k.a. Taeb, Hassan; a.k.a. Taeb, Hosein; a.k.a. Taeb, Hossein; a.k.a. Taeb, Hussayn; a.k.a. Hojjatoleslam Hossein Ta'eb)	Born: 1963; Place of birth: Tehran, Iran	Deputy Commander for Intelligence of Iranian Revolutionary Guard Corps, involved in providing equipment and support to help the Syrian regime suppress protests in Syria.	23.6.2011
28.	Khalid (خالد) (a.k.a. Khaled) Qaddur (قدور) (a.k.a. Qadour, Qaddour)		Business associate of Maher Al-Assad; provides funding to the regime.	23.6.2011
29.	Ra'if (رئيف) Al-Quwatly (القوتلي) (a.k.a. Ri'af Al-Quwatli a.k.a. Raeef Al-Kouatly)		Business associate of Maher Al-Assad and responsible for managing some of his business interests; provides funding to the regime.	23.6.2011
30.	Mohammad (محمد) (a.k.a. Muhammad, Mohamed, Mohammed) Mufleh (مفلح) (a.k.a. Muflih)		Head of Syrian Military Intelligence in the town of Hama, involved in the crackdown on demonstrators.	1.8.2011
31.	Major General Tawfiq (توفيق) (a.k.a. Tawfik) Younes (يونس) (a.k.a. Yunes)		Head of the Department for Internal Security of the General Intelligence Directorate; involved in violence against the civilian population.	1.8.2011
32.	Mr Mohammed (محمد) Makhlouf (مخلوف) (a.k.a. Abu Rami)	Date of birth: 19.10.1932; Place of birth: Latakia, Syria	Close associate and maternal uncle of Bashar and Mahir al-Assad. Business associate and father of Rami, Ihab and Iyad Makhlouf.	1.8.2011
33.	Ayman (أيمن) Jabir (جابر) (a.k.a. Jaber)	Place of birth: Latakia	Associate of Mahir al-Assad for the Shabiha militia. Directly involved in repression and violence against the civilian population and coordination of Shabiha militia groups	1.8.2011
34.	Hayel (هايل) Al-Assad (الأسد)		Assistant to Maher Al-Assad, Head of the military police unit of the army's 4th Division, involved in repression.	23.8.2011
35.	Ali (علي) Al-Salim (السليم) (a.k.a. Al-Saleem)		Director of the supplies office of the Syrian Ministry of Defence, entry point for all arms acquisitions by the Syrian army.	23.8.2011

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	Name	Identifying information	Reasons	Date of listing
36.	Nizar Al-Assad (نزار الأسد)	Cousin of Bashar Al-Assad; previously head of the 'Nizar Oilfield Supplies' company	Very close to key government officials. Financing Shabiha in the region of Latakia.	23.8.2011
37.	Brigadier-General Rafiq (رفيـــق) (a.k.a. Rafeeq) Shahadah (شـحادة) (a.k.a. Shahada, Shahade, Shahadeh, Chahada, Chahade, Chahadeh, Chahada)		Head of Syrian Military Intelligence (SMI) Branch 293 (Internal Affairs) in Damascus. Directly involved in repression and violence against the civilian population in Damascus. Advisor to President Bashar Al-Assad for strategic questions and military intelligence.	23.8.2011
38.	Brigadier-General Jamea (جامع) Jamea (جامع) (a.k.a. Jami Jami, Jame', Jami')		Branch Chief for Syrian Military Intelligence (SMI) in Dayr az-Zor. Directly involved in repression and violence against the civilian population in Dayr az-Zor and Alboukamal.	23.8.2011
39.	Hassan Bin-Ali Al-Turkmani	Born: 1935; Place of birth: Aleppo	Deputy Vice Minister, former Minister for Defence, Special Envoy of President Bashar Al-Assad. He is reported to have died in the bombing of 18 July 2012.	23.8.2011
40.	Muhammad (محمد) (a.k.a. Mohammad, Muhammad, Mohammed) Said (ســـعيد) (a.k.a. Sa'id, Sa'eed, Saeed) Bukhaytan (بخيتـــــان)		Assistant Regional Secretary of Ba'ath Arab Socialist Party since 2005, 2000-2005 Director for the national security of the regional Ba'ath party. Former Governor of Hama (1998-2000). Close associate of President Bashar Al-Assad and Maher Al-Assad. Senior decision-maker in the regime on repression of civilian population.	23.8.2011
41.	Ali (علـى) Douba (دوبـا)		Responsible for killings in Hama in 1980, has been called back to Damascus as special advisor to President Bashar Al-Assad.	23.8.2011
42.	Brigadier-General Nawful (نوفـــل) (a.k.a. Nawfal, Nofal) Al-Husayn (الحســـين) (a.k.a. Al-Hussain, Al-Hussein)		Idlib Syrian Military Intelligence (SMI) Branch Chief. Directly involved in repression and violence against the civilian population in Idlib province.	23.8.2011
43.	Brigadier Husam (حسـام) Sukkar (ســكر)		Presidential Adviser on Security Affairs. Presidential Adviser for security agencies' repression and violence against the civilian population.	23.8.2011
44.	Brigadier-General Muhammed (محمد) Zamrini (زمريـــني)		Branch Chief for Syrian Military Intelligence (SMI) in Homs. Directly involved in repression and violence against the civilian population in Homs.	23.8.2011

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	Name	Identifying information	Reasons	Date of listing
45.	Lieutenant-General Munir (منـــير) (a.k.a. Mounir, Mouneer, Monir, Moneer, Muneer) Adanov (أدنـوف) (a.k.a. Adnuf, Adanof)	Born 1951	Deputy Chief of General Staff, Operations and Training for Syrian Army. Directly involved in repression and violence against the civilian population in Syria.	23.8.2011
46.	Brigadier-General Ghassan (غســان) Khalil (خليـــل) (a.k.a. Khaleel)		Head of General Intelligence Directorate's (GID) Information Branch. Directly involved in repression and violence against the civilian population in Syria.	23.8.2011
47.	Mohammed (محمد) (a.k.a. Mohammad, Muhammad, Mohamed) Jabir (جـــابر) (a.k.a. Jaber)	Place of birth: Latakia	Shabiha militia. Associate of Maher Al-Assad for the Shabiha militia. Directly involved in repression and violence against the civilian population and coordination of Shabiha militia groups.	23.8.2011
48.	Samir (ســـمير) Hassan (حسـن)		Close business associate of Maher Al-Assad. Known for supporting the Syrian regime financially.	23.8.2011
49.	Fares (فـــارس) Chehabi (شـــهابي) (a.k.a. Fares Shihabi; Fares Chihabi)	Son of Ahmad Chehabi; Date of birth: 7 May 1972	President of Aleppo Chamber of Industry. Vice-chairman of Cham Holding. Provides economic support to the Syrian regime.	2.9.2011
50.	Tarif (طـريف) Akhras (الأخرس،أخرس) (a.k.a. Al Akhras)	Date of birth: 2 June 1951; Place of birth: Homs, Syria; Syrian passport nr. 0000092405	Prominent businessman benefiting from and supporting the regime. Founder of the Akhras Group (commodities, trading, processing and logistics) and former Chairman of the Homs Chamber of Commerce. Close business relations with President Al-Assad's family. Member of the Board of the Federation of Syrian Chambers of Commerce. Provided industrial and residential premises for improvised detention camps, as well as logistical support for the regime (buses and tank loaders).	2.9.2011
51.	Issam (عصـام) Anbouba (أنبوبـــا)	President of Anbouba for Agricultural Industries Co.; Born: 1952; Place of birth: Homs, Syria	Providing financial support for the repressive apparatus and the paramilitary groups exerting violence against the civil population in Syria. Providing property (premises, warehouses) for improvised detention centers. Financial relations with high Syrian officials.	2.9.2011
52.	Mazen (مازن) al-Tabba (الطبـــاع)	Date of birth: 01.01.1958; Place of birth: Damascus; Passport nr. 004415063 expires 06.05.2015 (Syrian)	Business partner of Ihab Makhlour and Nizar al-Assad (became subject to sanctions on 23.08.2011); co-owner, with Rami Makhlour, of the al-diyar lil-Saraafa (a.k.a. Diar Electronic Services) currency exchange company, which supports the policy of the Central Bank of Syria.	23.3.2012

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	Name	Identifying information	Reasons	Date of listing
53.	Adib (أديب) Mayaleh (ميالة)	Born: 1955; Place of birth: Daraa	Adib Mayaleh is responsible for providing economic and financial support to the Syrian regime through his functions as the Governor of the Central Bank of Syria.	15.5.2012
54.	Major General Jumah (جمعة) Al-Ahmad (الأحمد) (a.k.a. Al-Ahmed)		Commander Special Forces. Responsible for the use of violence against protestors across Syria.	14.11.2011
55.	Colonel Lu'ai (لؤي) (a.k.a. Louay) al-Ali (العلي)		Head of Syrian Military Intelligence, Dara'a Branch. Responsible for the violence against protesters in Dara'a.	14.11.2011
56.	Lt. General Ali (علي) Abdullah (عبدالله) (a.k.a. Abdallah) Ayyub (أيوب)		Deputy Chief of General Staff (Personnel and Manpower). Responsible for the use of violence against protestors across Syria.	14.11.2011
57.	Lt. General Jasim (جاسم) (a.k.a. Jasem, Jassim, Jassem) al-Furayj (الفريج) (a.k.a. Al-Freij)		Chief of General staff. Responsible for the use of violence against protestors across Syria.	14.11.2011
58.	General Aous (أوس) (Aws) Aslan (أصلان)	Born: 1958	Head of Battalion in the Republican Guard. Close to Maher al-Assad and President al-Assad. Involved in the crackdown on the civilian population across Syria.	14.11.2011
59.	General Ghassan (غسان) Belal (بلال)		General in command of the 4th Division reserve bureau. Adviser to Maher al-Assad and coordinator of security operations. Responsible for the crackdown on the civilian population across Syria.	14.11.2011
60.	Abdullah (عبدالله) (a.k.a. Abdallah) Berri (بري)		Head of Berri family militia. In charge of pro-government militia involved in the crackdown on the civilian population in Aleppo.	14.11.2011
61.	George (جورج) Chaoui (شاوي)		Member of Syrian electronic army. Involved in the violent crackdown and call for violence against the civilian population across Syria.	14.11.2011
62.	Major General Zuhair (زهير) (a.k.a. Zouheir, Zuheir, Zouhair) Hamad (حمد)		Deputy Head of General Intelligence Directorate. Responsible for the use of violence across Syria and for intimidation and torture of protestors.	14.11.2011
63.	Amar (عمار) (a.k.a. Ammar) Ismael (إسماعيل) (a.k.a. Ismail)	Born on or around 3 April 1973; place of birth Damascus	Civilian - Head of Syrian electronic army (territorial army intelligence service). Involved in the violent crackdown and call for violence against the civilian population across Syria.	14.11.2011

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	Name	Identifying information	Reasons	Date of listing
64.	Mujahed (مجاهد) Ismail (إسماعيل) (a.k.a. Ismael)		Member of Syrian electronic army. Involved in the violent crackdown and call for violence against the civilian population across Syria.	14.11.2011
65.	Major General Nazih (نزيه)		Deputy Director of General Intelligence Directorate. Responsible for the use of violence across Syria and intimidation and torture of protestors.	14.11.2011
66.	Kifah (كفاح) Moulhem (ملحم) (a.k.a. Moulhim, Mulhem, Mulhim)		Batallion Commander in the 4th Division. Responsible for the crackdown on the civilian population in Deir el-Zor.	14.11.2011
67.	Major General Wajih (وجيه) (a.k.a. Wajeeh) Mahmud (محمود)		Commander 18th Armoured Division. Responsible for the violence against protestors in Homs.	14.11.2011
68.	Bassam (بسام) Sabbagh (صباغ, الصباغ) (a.k.a. Al Sabbagh)	Date of birth: 24 August 1959; Place of birth: Damascus. Address: Kasaa, Anwar al Attar Street, al Midani building, Damascus; Syrian passport no 004326765 issued 2 November 2008, valid until November 2014.	Legal and financial adviser and manages affairs of Rami Makhlouf and Khaldoun Makhlouf. Involved with Bashar al-Assad in funding a real estate project in Latakia. Provides financial support for the regime.	14.11.2011
69.	Lt. General Talal (طلال) Mustafa (مصطفى) Tlass (طلاس)		Deputy Chief of General Staff (Logistics and supplies). Responsible for the use of violence against protestors across Syria.	14.11.2011
70.	Major General Fu'ad (فؤاد) Tawil (طويل)		Deputy head Syrian Air Force Intelligence. Responsible for the use of violence across Syria and intimidation and torture of protestors.	14.11.2011
71.	Bushra (بشرى) Al-Assad (الأسد) (a.k.a. Bushra Shawkat)	Date of birth: 24.10.1960	Sister of Bashar Al-Assad and wife of Asif Shawkat, Deputy Chief of Staff for Security and Reconnaissance. Given the close personal relationship and intrinsic financial relationship to the Syrian President Bashar Al-Assad and other core Syrian regime figures, she benefits from and is associated with the Syrian regime.	23.3.2012
72.	Asma (أسماء) Al-Assad (الأسد) (a.k.a. Asma Fawaz Al Akhras)	Date of birth: 11.08.1975; Place of birth: London, UK; Passport nr. 707512830, expires 22.09.2020; Maiden name: Al Akhras	Wife of Bashar Al-Assad. Given the close personal relationship and intrinsic financial relationship to the Syrian President, Bashar Al-Assad, she benefits from and is associated with the Syrian regime.	23.3.2012

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	Name	Identifying information	Reasons	Date of listing
73.	Manal (منال) Al-Assad (الأسد) (a.k.a. Manal Al Ahmad)	Date of birth: 02.02.1970; Place of Birth: Damascus; Passport number (Syrian): 0000000914; Maiden name: Al Jadaan	Spouse of Maher Al-Assad, and as such benefiting from and closely associated with the regime.	23.3.2012
74.	Anisa (أنيسة) (a.k.a. Anissa, Aneesa, Aneessa) Al-Assad (الأسد) (a.k.a. Anisah Al-Assad)	Born: 1934; Maiden name: Makhlouf	Mother of President Al-Assad. Given the close personal relationship and intrinsic financial relationship to the Syrian President, Bashar Al-Assad, she benefits from and is associated with the Syrian regime.	23.3.2012
75.	Lt. General Fahid (فهد) (a.k.a. Fahd) Al-Jassim (الجاسم)		Chief of Staff. Military official involved in the violence in Homs.	1.12.2011
76.	Major General Ibrahim (إبراهيم) Al-Hassan (الحسن) (a.k.a. Al-Hasan)		Deputy Chief of Staff. Military official involved in the violence in Homs.	1.12.2011
77.	Brigadier Khalil (خليل) (a.k.a. Khaleel) Zghraybih (زغريبه, زغريبة) (a.k.a. Zghraybeh, Zghraybe, Zghrayba, Zghraybah, Zaghraybeh, Zaghraybe, Zaghrayba, Zaghraybah, Zeghraybeh, Zeghraybe, Zeghrayba, Zeghraybah, Zughraybeh, Zughraybe, Zughrayba, Zughraybah, Zighraybeh, Zighraybe, Zighrayba, Zighraybah)		14th Division. Military official involved in the violence in Homs.	1.12.2011
78.	Brigadier Ali (علي) Barakat (بركات)		103rd Brigade of the Republican Guard Division. Military official involved in the violence in Homs.	1.12.2011
79.	Brigadier Talal (طلال) Makhluf (مخلوف) (a.k.a. Makhlouf)		103rd Brigade of the Republican Guard Division. Military official involved in the violence in Homs.	1.12.2011
80.	Brigadier Nazih (نزيه) (a.k.a. Nazeeh) Hassun (حسون) (a.k.a. Hassoun)		Syrian Air Force Intelligence. Military official involved in the violence in Homs.	1.12.2011

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	Name	Identifying information	Reasons	Date of listing
81.	Captain Maan (معن) (a.k.a. Ma'an) Jdiid (جديد) (a.k.a. Jdid, Jedid, Jedeed, Jadeed, Jdeed)		Presidential Guard. Military official involved in the violence in Homs.	1.12.2011
82.	Mohammad (محمد) (a.k.a. Mohamed, Muhammad, Mohammed) Al-Shaar (الشعار) (a.k.a. Al-Chaar, Al-Sha'ar, Al-Cha'ar)		Political Security Division. Military official involved in the violence in Homs.	1.12.2011
83.	Khald (خالد) (a.k.a. Khaled) Al-Taweel (الطويل) (a.k.a. Al-Tawil)		Political Security Division. Military official involved in the violence in Homs.	1.12.2011
84.	Ghiath (غياث) Fayad (فياض) (a.k.a. Fayyad)		Political Security Division. Military official involved in the violence in Homs.	1.12.2011
85.	Brigadier General Jawdat (جودت) Ibrahim (إبراهيم) Safi (صافي)	Commander of 154th Regiment	Ordered troops to shoot at protestors in and around Damascus, including Mo'adamiyeh, Douma, Abasiyeh, Duma.	23.1.2012
86.	Major General Muhammad (محمد) (a.k.a. Mohammad, Muhammad, Mohammed) Ali (علي) Durgham	Commander in 4th Division	Ordered troops to shoot at protestors in and around Damascus, including Mo'adamiyeh, Douma, Abasiyeh, Duma.	23.1.2012
87.	Major General Ramadan (رمضان) Mahmoud (محمود) Ramadan (رمضان)	Commander of 35th Special Forces Regiment	Ordered troops to shoot protestors in Baniyas and Deraa.	23.1.2012
88.	Brigadier General Ahmed (أحمد) (a.k.a. Ahmad) Yousef (يوسف) (a.k.a. Youssef) Jarad (جراد) (a.k.a. Jarrad)	Commander of 132nd Brigade	Ordered troops to shoot at protestors in Deraa, including the use of machine guns and anti-aircraft guns.	23.1.2012
89.	Major General Naim (نعيم) (a.k.a. Naaeem, Naeem, Na'eem, Naaim, Na'im) Jasem (جاسم) Suleiman (سليمان)	Commander of the 3rd Division	Gave orders to troops to shoot protestors in Douma.	23.1.2012
90.	Brigadier General Jihad (جهاد) Mohamed (محمد) (a.k.a Mohammad, Muhammad, Mohammed) Sultan (سلطان)	Commander of 65th Brigade	Gave orders to troops to shoot protestors in Douma.	23.1.2012

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	Name	Identifying information	Reasons	Date of listing
91.	Major General Fo'ad (فـؤاد) (a.k.a. Fouad, Fu'ad) Hamoudeh (حمودة) (a.k.a. Hammoudeh, Hammoude, Hammouda, Hammoudah)	Commander of the military operations in Idlib	Gave orders to troops to shoot protestors in Idlib at the beginning of September 2011.	23.1.2012
92.	Major General Bader (بـدر) Aqel (عاقل)	Special Forces Commander	Gave the soldiers orders to pick up the bodies and hand them over to the mukhabarat and responsible for the violence in Bukamal.	23.1.2012
93.	Brigadier General Ghassan (غسـان) Afif (عفيـف) (a.k.a. Afeef)	Commander from the 45th Regiment	Commander of military operations in Homs, Baniyas and Idlib.	23.1.2012
94.	Brigadier General Mohamed (محمد) (a.k.a. Mohammad, Muhammad, Mohammed) Maaruf (معروف) (a.k.a. Maarouf, Ma'ruf)	Commander from the 45th Regiment	Commander of military operations in Homs. Gave orders to shoot protestors in Homs.	23.1.2012
95.	Brigadier General Yousef (يو سـف) Ismail (إسـماعيل) (a.k.a. Ismael)	Commander of the 134th Brigade	Gave orders to troops to shoot at houses and people on roofs during a funeral in Talbiseh for protesters killed the previous day.	23.1.2012
96.	Brigadier General Jamal (جمال) Yunes (يـونس) (a.k.a. Younes)	Commander of the 555th Regiment	Gave orders to troops to shoot at protestors in Mo'adamiyeh.	23.1.2012
97.	Brigadier General Mohsin (محسـن) Makhlouf (مخلـوف)		Gave orders to troops to shoot at protestors in Al-Herak.	23.1.2012
98.	Brigadier General Ali (علـي) Dawwa		Gave orders to troops to shoot protestors in Al-Herak.	23.1.2012
99.	Brigadier General Mohamed (محمد) (a.k.a. Mohammad, Muhammad, Mohammed) Khaddor (خضـور) (a.k.a. Khaddour, Khaddur, Khadour, Khudour)	Commander of the 106th Brigade, Presidential Guard	Gave orders to troops to beat the protesters with sticks and then arrest them. Responsible for repression of peaceful protestors in Douma.	23.1.2012
100.	Major General Suheil (سـهيل) (a.k.a. Suhail) Salman (سـلمان) Hassan (حسـن)	Commander of 5th Division	Gave orders to troops to shoot at the protesters in Deraa Governorate.	23.1.2012

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	Name	Identifying information	Reasons	Date of listing
101.	Wafiq (وفيـــق) (a.k.a. Wafeeq) Nasser (نـاصـــر)	Head of Suwayda Regional Branch (Department of Military Intelligence)	As Head of the Suwayda branch of the Department for Military Intelligence, responsible for arbitrary detention and torture of detainees in Suwayda.	23.1.2012
102.	Ahmed (أحمد) (a.k.a. Ahmad) Dibe (ديـب) (a.k.a. Dib, Deeb)	Head of Deraa Regional Branch (General Security Directorate)	As Head of the Deraa Regional Branch of the General Security Directorate, responsible for arbitrary detention and torture of detainees in Deraa.	23.1.2012
103.	Makhmoud (محمود) (a.k.a. Mahmoud) al-Khattib (الخطيـــب) (a.k.a. Al-Khatib, Al-Khateeb)	Head of Investigative Branch (Political Security Directorate)	As Head of the Investigative Branch of the Political Security Directorate, responsible for detention and torture of detainees.	23.1.2012
104.	Mohamed (محمد) (a.k.a. Mohammad, Muhammad, Mohammed) Heikmat (حكمت) (a.k.a. Hikmat, Hekmat) Ibrahim (إبـــراهيم)	Head of Operations Branch (Political Security Directorate)	As Head of the Operations Branch of the Political Security Directorate, responsible for detention and torture of detainees.	23.1.2012
105.	Nasser (نـاصـــر) (a.k.a. Naser) Al-Ali (العلـــي) (a.k.a. Brigadier General Nasr al-Ali)	Head of Deraa Regional Branch (Political Security Directorate)	As Head of the Deraa Regional Branch of the Political Security Directorate, responsible for detention and torture of detainees. Since April 2012 Head of the Deraa site of the Political Security Directorate (ex-head of the Homs branch).	23.1.2012
106.	Dr. Wael (وائـــل) Nader (نـــادر) Al –Halqi (الحلقـــي) (a.k.a. Al-Halki)	Born: 1964; Place of birth: Daraa Province	Prime Minister and former Minister of Health. As Prime Minister, shares responsibility for the regime's violent repression against the civilian population.	27.2.2012
107.	Mohammad (محمد) (Mohamed, Muhammad, Mohammed) Ibrahim (إبـــراهيم) Al-Sha'ar (الشـــعار) (a.k.a. Al-Chaar, Al-Shaar) (a.k.a. Mohammad Ibrahim Al-Chaar)	Born: 1956; Place of birth: Aleppo	Minister of the Interior. As Government Minister, shares responsibility for the regime's violent repression against the civilian population.	1.12.2011
108.	Dr. Mohammad (محمد) (a.k.a. Mohamed, Muhammad, Mohammed) Al-Jleilati (الجليلاتـــي, جليلاتـــي)	Born: 1945; Place of birth: Damascus	Minister of Finance. As Government Minister, shares responsibility for the regime's violent repression against the civilian population.	1.12.2011

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	Name	Identifying information	Reasons	Date of listing
109.	Imad (عماد) Mohammad (محمد) (a.k.a. Mohamed, Muhammad, Mohammed) Deeb Khamis (خميس) (a.k.a.: Imad Mohammad Dib Khamees)	Date of birth: 1 August 1961; Place of Birth: near Damascus	Minister of Electricity. As Government Minister, shares responsibility for the regime's violent repression against the civilian population.	23.3.2012
110.	Omar (عمر) Ibrahim (إبراهيم) Ghalawanji (ونجي غلا)	Born: 1954; Place of Birth: Tartous	Vice Prime Minister for Services Affairs, Minister of Local Administration. As Government Minister, shares responsibility for the regime's violent repression against the civilian population.	23.3.2012
111.	Joseph (جوزيف) (a.k.a. Josef) Suwaid (سويد) (a.k.a. Swaid) (a.k.a. Joseph Jergi Sweid, Joseph Jirgi Sweid)	Born: 1958; Place of Birth: Damascus	Minister of State. As Government Minister, shares responsibility for the regime's violent repression against the civilian population.	23.3.2012
112.	Eng Hussein (حسين) (a.k.a. Hussain) Mahmoud (محمود) Farzat (فرزات) (a.k.a.: Hussein Mahmud Farzat)	Born: 1957; Place of Birth: Hama	Minister of State. As Government Minister, shares responsibility for the regime's violent repression against the civilian population.	23.3.2012
113.	Mansour (منصور) Fadlallah (فضل الله) Azzam (عزام) (a.k.a.: Mansur Fadl Allah Azzam)	Born: 1960; Place of birth: Sweida Province	Minister for Presidency Affairs. As Government Minister, shares responsibility for the regime's violent repression against the civilian population.	27.2.2012
114.	Dr. Emad (عماد) Abdul-Ghani (عبد الغني) Sabouni (صابوني) (a.k.a.: Imad Abdul Ghani Al Sabuni)	Born: 1964; Place of birth: Damascus	Minister of Telecommunications and Technology. As Government Minister, shares responsibility for the regime's violent repression against the civilian population.	27.2.2012
115.	General Ali (علي) Habib (حبيب) (a.k.a. Habeeb) Mahmoud (محمود)	Born: 1939; Place of birth: Tartous	Former Minister of Defence. Associated with the Syrian regime and the Syrian military, and its violent repression against the civilian population.	1.8.2011
116.	Tayseer (تيسير) Qala (قلا) Awwad (عواد)	Born: 1943; Place of birth: Damascus	Former Minister of Justice. Associated with the Syrian regime and its violent repression against the civilian population.	23.9.2011
117.	Dr Adnan (عدنان) Hassan (حسن) Mahmoud (محمود)	Born: 1966; Place of birth: Tartous	Former Minister of Information. Associated with the Syrian regime and its violent repression against the civilian population.	23.9.2011

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	Name	Identifying information	Reasons	Date of listing
118.	Dr. Mohammad (محمد) (a.k.a. Mohamed, Muhammad, Mohammed) Nidal (نضال) Al-Shaar (الشعار) (a.k.a. Al-Chaar, Al-Sha'ar, Al-Cha'ar)	Born: 1956; Place of birth: Aleppo	Former Minister of Economy and Trade. Associated with the Syrian regime and its violent repression against the civilian population.	1.12.2011
119.	Sufian (سفيان) Allaw (علاو)	Born: 1944; Place of birth: al-Bukamal, Deir Ezzor	Former Minister of Oil and Mineral Resources. Associated with the regime and its violent repression against the civilian population.	27.2.2012
120.	Dr Adnan (عدنان) Slakho (سلاخو)	Born: 1955; Place of birth: Damascus	Former Minister of Industry. Associated with the regime and its violent repression against the civilian population.	27.2.2012
121.	Dr. Saleh (صالح) Al-Rashed (الراشد)	Born: 1964; Place of birth: Aleppo Province	Former Minister of Education. Associated with the regime and its violent repression against the civilian population.	27.2.2012
122.	Dr. Fayssal (فيصل) (a.k.a. Faysal) Abbas (عباس)	Born: 1955; Place of birth: Hama Province	Former Minister of Transport. Associated with the regime and its violent repression against the civilian population.	27.2.2012
123.	Ghiath (غياث) Jeraatli (جرعتلي) (Jer-'atli, Jir'atli, Jiraatli)	Born: 1950; Place of Birth: Salamiya	Former Minister of State. Associated with the regime and its violent repression against the civilian population.	23.3.2012
124.	Yousef (يوسف) Suleiman (سليمان) Al-Ahmad (الأحمد) (a.k.a. Al-Ahmed)	Born: 1956; Place of Birth: Hasaka	Former Minister of State. Associated with the regime and its violent repression against the civilian population.	23.3.2012
125.	Hassan (حسان, حسن) al-Sari (السراي)	Born: 1953; Place of Birth: Hama	Former Minister of State. Associated with the regime and its violent repression against the civilian population.	23.3.2012
126.	Bouthaina (بثينة) Shaaban (شعبان) (a.k.a. Buthaina Shaaban)	Born: 1953; Place of birth: Homs, Syria	Political and Media Advisor to the President since July 2008 and as such associated with the violent crackdown on the population.	26.6.2012
127.	Brigadier General Sha'afiq (شفيق) (a.k.a. Shafiq, Shafik) Masa (ماسا) (a.k.a. Massa)		Head of Branch 215 (Damascus) of the army's intelligence service. Responsible for the torture of detained opponents. Involved in repressive actions against civilians.	24.7.2012
128.	Brigadier General Burhan (برهان) Qadour (قدور) (a.k.a. Qaddour, Qaddur)		Head of Branch 291 (Damascus) of the army's intelligence service. Responsible for the torture of opponents in custody.	24.7.2012
129.	Brigadier General Salah (صلاح) Hamad (حمد)		Deputy Head of Branch 291 of the army's intelligence service. Responsible for the torture of opponents in custody.	24.7.2012

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	Name	Identifying information	Reasons	Date of listing
130.	Brigadier General Muhammad (محمد) (or: Mohammed) Khallouf (خلوف) (a.k.a. Abou Ezzat)		Head of Branch 235, a.k.a. 'Palestine' (Damascus) of the army's intelligence service, which is at the centre of the army's apparatus of repression. Directly involved in repression of opponents. Responsible for the torture of opponents in custody.	24.7.2012
131.	Major General Riad (رياض) (a.k.a. Riyad) al-Ahmed (الأحمد) (a.k.a. Al-Ahmad)		Deputy Head of Latakia Branch of the army's intelligence service. Responsible for the torture and murder of opponents in custody.	24.7.2012
132.	Brigadier General Abdul- Salam (السلام عبد,عبدالسلام) Fajr Mahmoud (محمود)		Head of the Bab Tuma (Damascus) Branch of the air force's intelligence service. Responsible for the torture of opponents in custody.	24.7.2012
133.	Brigadier General Jawdat (جودت) al-Ahmed (الأحمد) (a.k.a. Al-Ahmad)		Head of the Homs Branch of the air force's intelligence service. Responsible for the torture of opponents in custody.	24.7.2012
134.	Colonel Qusay (قصي) Mihoub (ميهوب)		Head of the Deraa branch of the air force's intelligence service (sent from Damascus to Deraa at the start of demonstrations there). Responsible for the torture of opponents in custody.	24.7.2012
135.	Colonel Suhail (سهيل) (a.k.a. Suheil) Al-Abdullah (العبدالله) (a.k.a. Al-Abdallah)		Head of the Latakia Branch of the air force's intelligence service. Responsible for the torture of opponents in custody.	24.7.2012
136.	Brigadier General Khudr (خضر) Khudr (خضر)		Head of the Latakia branch of the General Intelligence Directorate. Responsible for the torture of opponents in custody.	24.7.2012
137.	Brigadier General Ibrahim (إبراهيم) Ma'ala (معلى) (a.k.a. Maala, Maale)		Head of branch 285 (Damascus) of the General Intelligence Directorate (replaced Brig. Gen. Hussam Fendi at end 2011). Responsible for the torture of opponents in custody.	24.7.2012
138.	Brigadier General Firas (فراس) Al-Hamed (الحامد) (a.k.a. Al-Hamid)		Head of branch 318 (Homs) of the General Intelligence Directorate. Responsible for the torture of opponents in custody.	24.7.2012
139.	Brigadier General Hussam (حسام) (a.k.a. Husam, Housam, Houssam) Luqa (لوقا) (a.k.a. Louqa, Louca, Louka, Luka)		Since April 2012, head of the Homs branch of the Political Security Directorate (succeeded Brig. Gen. Nasr al-Ali). Responsible for the torture of opponents in custody.	24.7.2012

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	Name	Identifying information	Reasons	Date of listing
140.	Brigadier General Taha (طه) Taha (طه)		Site manager of the Latakia branch of the Political Security Directorate. Responsible for the torture of opponents in custody	24.7.2012
141.	Bassel (باسل) (a.k.a. Basel) Bilal (بلال)		Police officer at Idlib central prison; has taken part directly in acts of torture of opponents held in Idlib central prison.	24.7.2012
142.	Ahmad (أحمد) (a.k.a. Ahmed) Kafan (كفان)		Police officer at Idlib central prison; has taken part directly in acts of torture of opponents held in Idlib central prison.	24.7.2012
143.	Bassam (بسام) al-Misri (المصري)		Police officer at Idlib central prison; has taken part directly in acts of torture of opponents held in Idlib central prison.	24.7.2012
144.	Ahmed (أحمد) (a.k.a. Ahmad) al-Jarroucheh (الجاروشة) (a.k.a. Al-Jarousha, Al-Jarousheh, Al-Jaroucha, Al-Jarouchah, Al-Jaroucheh)	Born: 1957	Head of the foreign branch of General Intelligence (branch 279). As such, responsible for General Intelligence arrangements in Syrian embassies. He participates directly in the repression implemented by the Syrian authorities against opponents and in particular has responsibility for repression of the Syrian opposition abroad.	24.7.2012
145.	Michel (ميشيل) Kassouha (كاسوحة) (a.k.a. Kasouha) (a.k.a. Ahmed Salem; a.k.a. Ahmed Salem Hassan)	Date of birth: 1 February 1948	Member of the Syrian security services since the early 1970s, he is involved in combating opposition in France and Germany. Since March 2006, has been responsible for public relations of branch 273 of the Syrian General Intelligence Directorate. A long-standing member of the managerial staff, he is close to General Intelligence Directorate head Ali Mamlouk, one of the top security officials of the regime who has been subject to EU restrictive measures since 9 May 2011. He directly supports the regime's repression of opponents and is responsible inter alia for repression of the Syrian opposition abroad.	24.7.2012
146.	General Ghassan (غسان) Jaoudat (جودت) Ismail (إسماعيل) (a.k.a. Ismael)	Born: 1960; Place of origin: Drekish, Tartous region	Responsible for the missions branch of the air force intelligence service, which, in cooperation with the special operations branch, manages the elite troops of the air force intelligence service, who play an important role in the repression conducted by the regime. As such, Ghassan Jaoudat Ismail is one of the military leaders directly implementing the repression of opponents conducted by the regime.	24.7.2012
147.	General Amer (عامر) al-Achi (العشي) (a.k.a. Amis al Ashi; a.k.a. Ammar Aachi; a.k.a. Amer Ashi)		Graduate of the military school of Aleppo, head of the intelligence branch of the air force intelligence service (since 2012), close to Daoud Rajah, Syrian Minister for Defence. Through his role in the air force intelligence service, Amer al-Achi is implicated in the repression of the Syrian opposition.	24.7.2012

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	Name	Identifying information	Reasons	Date of listing
148.	General Mohammed (محمد) (a.k.a. Muhammad, Mohamed, Mohammad) Ali (علـى) Nasr (نصـر) (or: Mohammed Ali Naser)	Born: around 1960.	Close to Maher Al-Assad, younger brother of the President. Most of his career has been spent in the Republican Guard. In 2010 he joined the internal branch (or branch 251) of the General Intelligence Directorate which is responsible for combating the political opposition. As one of its senior officers, General Mohammed Ali is directly involved in the repression of opponents.	24.7.2012
149.	General Issam (عصـام) Hallaq (حـلاق)		Air Force Chief of Staff since 2010. Commands air operations against opponents.	24.7.2012
150.	Ezzedine (عز الـدين) Ismael (إسـماعيل) (a.k.a. Ismail)	Born: middle of the 1940s (probably 1947); Place of birth: Bastir. Jableh region	Retired general, longstanding member of the managerial staff of the air force intelligence service, of which he became the head in the early 2000s. Was appointed political and security adviser to the President in 2006. As political and security adviser to the Syrian president, Ezzedine Ismael is implicated in the political repression conducted by the regime against the opposition.	24.7.2012
151.	Samir (سـمير) (a.k.a. Sameer) Joumaa (جمعة) (a.k.a. Jumaa, Jum'a, Joum'a) (a.k.a. Abou Sami)	Born: around 1962	For almost 20 years he has been head of the office of Muhammad Nasif Khayrbik, one of the main security advisers of Bashar al-Assad (and officially deputy to the Vice-President, Faruq Al Shar'). Samir Joumaa's closeness to Bashar al-Assad and Muhammad Nasif Khayrbik means that he is implicated in the policy of repression conducted by the regime against its opponents.	24.7.2012
152.	Dr. Qadri (قـدري) (a.k.a. Kadri) Jamil (جميـل) (a.k.a. Jameel)		Vice Prime Minister for Economic Affairs, Minister of Domestic Trade and Consumer's Protection. As Government Minister shares responsibility for the regime's violent repression against the civilian population.	16.10.2012
153.	Waleed (وليـد) (a.k.a. Walid) Al Mo'allem (معلـم) (a.k.a. Al Moallem, Muallem)		Vice Prime Minister, Minister of Foreign Affairs and Expatriates. As Government Minister shares responsibility for the regime's violent repression against the civilian population.	16.10.2012
154.	Major general Fahd (فهـد) Jassem (جاسـم) Al Freij (الفـريج) (a.k.a. Al-Furayj)		Minister of Defence and military commander. As Government Minister shares responsibility for the regime's violent repression against the civilian population.	16.10.2012

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	Name	Identifying information	Reasons	Date of listing
155.	Dr. Mohammad (محمد) (a.k.a. Mohamed, Muhammad, Mohammed) Abdul-Sattar (عبد الستار) (a.k.a. Abd al-Sattar) Al Sayed (السيد) (a.k.a. Al Sayyed)		Minister of Religious Endowments. As Government Minister, shares responsibility for the regime's violent repression against the civilian population.	16.10.2012
156.	Eng. Hala (هالة) Mohammad (محمد) (a.k.a. Mohamed, Muhammad, Mohammed) Al Nasser (الناصر)		Minister of Tourism. As Government Minister shares responsibility for the regime's violent repression against the civilian population.	16.10.2012
157.	Eng. Bassam (بسام) Hanna (حنا)		Minister of Water Resources. As Government Minister shares responsibility for the regime's violent repression against the civilian population.	16.10.2012
158.	Eng. Subhi (صبحي) Ahmad (أحمد) Al Abdallah (العبدالله) (a.k.a. Al-Abdullah)		Minister of Agriculture and Agrarian Reform. As Government Minister shares responsibility for the regime's violent repression against the civilian population.	16.10.2012
159.	Dr. Mohammad (محمد) (a.k.a. Muhammad, Mohamed, Mohammed) Yahiya (يحيى) (a.k.a. Yehya, Yahya, Yihya, Yihia, Yahia) Moalla (معلا) (a.k.a. Mu'la, Ma'la, Muala, Maala, Mala)		Minister of Higher Education. As Government Minister shares responsibility for the regime's violent repression against the civilian population.	16.10.2012
160.	Dr. Hazwan Al Wez (a.k.a. Al Wazz)		Minister of Education. As Government Minister shares responsibility for the regime's violent repression against the civilian population.	16.10.2012
161.	Dr. Mohamad (محمد) (a.k.a. Muhammad, Mohamed, Mohammed, Mohammad) Zafer (ظافر) (a.k.a. Dhafer) Mohabak (محبك) (a.k.a. Mohabbak, Muhabak, Muhabbak)		Minister of Economy and Foreign Trade. As Government Minister shares responsibility for the regime's violent repression against the civilian population.	16.10.2012

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	Name	Identifying information	Reasons	Date of listing
162.	Dr. Mahmoud (محمود) Ibraheem (إبـــراهيم) (a.k.a. Ibrahim) Sa'iid (ســـعيد) (a.k.a. Said, Sa'eed, Saeed)		Minister of Transport. As Government Minister shares responsibility for the regime's violent repression against the civilian population.	16.10.2012
163.	Dr. Safwan (صـــفوان) Al Assaf (العســـاف)		Minister of Housing and Urban Development. As Government Minister shares responsibility for the regime's violent repression against the civilian population.	16.10.2012
164.	Eng. Yasser (ياســر) (a.k.a. Yaser) Al Siba'ii (الســـباعي) (a.k.a. Al-Sibai, Al-Siba'i, Al Sibaei)		Minister of Public Works. As Government Minister shares responsibility for the regime's violent repression against the civilian population.	16.10.2012
165.	Eng Sa'iid (ســـعيد) (a.k.a. Sa'id, Sa'eed, Saeed) Ma'thi (معـــذى) (a.k.a. Mu'zi, Mu'dhi, Ma'dhi, Ma'zi, Maazi) Hneidi (هنيـــدي)		Minister of Oil and Mineral Resources. As Government Minister shares responsibility for the regime's violent repression against the civilian population.	16.10.2012
166.	Dr. Lubana (لبانـــة) (a.k.a. Lubanah) Mushaweh (مشـوح) (a.k.a. Mshaweh, Mshawweh, Mushawweh)	Born 1955; place of birth Damascus	Minister of Culture. As Government Minister shares responsibility for the regime's violent repression against the civilian population.	16.10.2012
167.	Dr. Jassem (جاسـم) (a.k.a. Jasem) Mohammad (محمد) (a.k.a. Mohamed, Muhammad, Mohammed) Zakaria (زكريـــا)	Born 1968	Minister of Labour and Social Affairs. As Government Minister shares responsibility for the regime's violent repression against the civilian population.	16.10.2012
168.	Omran (عمران) Ahed (عاهد) Al Zu'bi (الزعـــبي) (a.k.a. Al Zoubi, Al Zo'bi, Al Zou'bi)	Born 27 September 1959; place of birth Damascus	Minister of Information. As Government Minister shares responsibility for the regime's violent repression against the civilian population.	16.10.2012
169.	Dr. Adnan (عـدنان) Abdo (عبـــدو) (a.k.a. Abdou) Al Sikhny (الســـخني) (a.k.a. Al-Sikhni, Al-Sekhny, Al-Sekhni)		Minister of Industry. As Government Minister shares responsibility for the regime's violent repression against the civilian population.	16.10.2012

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	Name	Identifying information	Reasons	Date of listing
170.	Najm (نجم) (a.k.a. Nejm) Hamad (حمد) Al Ahmad (الأحمد) (a.k.a. Al-Ahmed)		Minister of Justice. As Government Minister shares responsibility for the regime's violent repression against the civilian population.	16.10.2012
171.	Dr. Abdul- Salam (السلام عبد,عبدالسلام) Al Nayef (النايف)		Minister of Health. As Government Minister shares responsibility for the regime's violent repression against the civilian population.	16.10.2012
172.	Dr. Ali (علي) Heidar (حيضر) (a.k.a. Haidar, Heydar, Haydar)		State Minister for National Reconciliation Affairs. As Government Minister shares responsibility for the regime's violent repression against the civilian population.	16.10.2012
173.	Dr. Nazeera (نظيرة) (a.k.a. Nazira, Nadheera, Nadhira) Farah (فرح) Sarkees (سركيس) (a.k.a. Sarkis)		State Minister for Environmental Affairs. As Government Minister shares responsibility for the regime's violent repression against the civilian population.	16.10.2012
174.	Mohammed (محمد) Turki (تركى) Al Sayed (السيد)		State Minister. As Government Minister shares responsibility for the regime's violent repression against the civilian population.	16.10.2012
175.	Najm-eddin (نجم الدين) (a.k.a. Nejm-eddin, Nejm-eddeen, Najm-eddeen, Nejm-addin, Nejm-addeen, Najm-addeen, Najm-addin) Khreit (خريط) (a.k.a. Khrait)		State Minister. As Government Minister shares responsibility for the regime's violent repression against the civilian population.	16.10.2012
176.	Abdullah (اللهعبد) (a.k.a. Abdallah) Khaleel (خليل) (a.k.a. Khalil) Hussein (حسين) (a.k.a. Hussain)		State Minister. As Government Minister shares responsibility for the regime's violent repression against the civilian population.	16.10.2012
177.	Jamal (جمال) Sha'ban (شعبان) (a.k.a. Shaaban) Shaheen (شاهين)		State Minister. As Government Minister shares responsibility for the regime's violent repression against the civilian population.	16.10.2012
178.	Sulieman (سليمان) Maarouf (معروف) (a.k.a. Suleiman Maarouf, Sulayman Ma'ruf, Sleiman Maarouf; Sulaiman Maarouf)	Passport: in possession of a UK passport	Businessman close to President Al-Assad's family. Owns shares in the listed TV station Addounia TV. Close to Muhammad Nasif Khayrbik, who has been designated. Supports the Syrian regime.	16.10.2012

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	Name	Identifying information	Reasons	Date of listing
179.	Razan (ر ز ان) Othman (عثمـــان)	Wife of Rami Makhlouf, daughter of Waleed (alias Walid) Othman.; Date of birth: 31 January 1977; Place of birth: governorate of Latakia; ID nr.: 06090034007	She has close personal and financial relations with Rami Makhlouf, cousin of president Bashar Al-Assad and principal financer of the regime, who has been designated. As such, associated with the Syrian regime, and benefiting from it.	16.10.2012

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B. **Entities**

	Name	Identifying information	Reasons	Date of listing
1.	Bena Properties		Controlled by Rami Makhlouf; provides funding to the regime.	23.6.2011
2.	Al Mashreq Investment Fund (AMIF) (alias Sunduq Al Mashrek Al Istithmari)	P.O. Box 108, Damascus; Tel.: 963 112110059 / 963 112110043 Fax: 963 933333149	Controlled by Rami Makhlouf; provides funding to the regime.	23.6.2011
3.	Hamcho International (Hamsho International Group)	Baghdad Street, P.O. Box 8254, Damascus; Tel.: 963 112316675 Fax: 963 112318875; Website: www.hamshointl.com Email: info@hamshointl.com and hamshogroup@yahoo.com	Controlled by Mohammad Hamcho or Hamsho; provides funding to the regime.	23.6.2011
4.	Military Housing Establishment (alias MILIHOUSE)		Public works company controlled by Riyad Shalish and Ministry of Defence; provides funding to the regime.	23.6.2011
5.	Political Security Directorate		Syrian government agency directly involved in repression.	23.8.2011
6.	General Intelligence Directorate		Syrian government agency directly involved in repression.	23.8.2011
7.	Military Intelligence Directorate		Syrian government agency directly involved in repression.	23.8.2011
8.	Air Force Intelligence Agency		Syrian government agency directly involved in repression.	23.8.2011

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	Name	Identifying information	Reasons	Date of listing
9.	IRGC Qods Force (Quds Force)	Teheran, Iran	The Qods (or Quds) Force is a specialist arm of the Iranian Islamic Revolutionary Guard Corps (IRGC). The Qods Force is involved in providing equipment and support to help the Syria regime suppress protests in Syria. IRGC Qods Force has provided technical assistance, equipment and support to the Syrian security services to repress civilian protest movements.	23.8.2011
10.	Mada Transport	Subsidiary of Cham Holding (Sehanya Dara'a Highway, PO Box 9525, Tel: 00 963 11 99 62)	Economic entity financing the regime.	2.9.2011
11.	Cham Investment Group	Subsidiary of Cham Holding (Sehanya Dara'a Highway, PO Box 9525, Tel: 00 963 11 99 62)	Economic entity financing the regime.	2.9.2011
12.	Real Estate Bank	Insurance Bldg- Yousef Al-Azmeh Square, Damascus P.O. Box: 2337 Damascus Syrian Arab Republic; Tel: (+963) 11 2456777 and 2218602; Fax: (+963) 11 2237938 and 2211186; Bank's email: Publicrelations@reb.sy Website: www.reb.sy	State-owned bank providing financial support for the regime.	2.9.2011
13.	Addounia TV (a.k.a. Dounia TV)	Tel: +963-11-5667274; +963-11-5667271; Fax: +963-11-5667272; Website: http://www.ad-dounia.tv	Addounia TV has incited violence against the civilian population in Syria.	23.9.2011
14.	Cham Holding	Cham Holding Building Daraa Highway - Ashrafiyat Sahnaya Rif Dimashq – Syria P.O. Box 9525; Tel +963 (11) 9962; +963 (11) 668 14000; +963 (11) 673 1044; Fax +963 (11) 673 1274; Email: info@chamholding.sy Website: www.chamholding.sy	Controlled by Rami Makhlouf; largest holding company in Syria, benefiting from and supporting the regime.	23.9.2011

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	Name	Identifying information	Reasons	Date of listing
15.	El-Tel. Co. (El-Tel. Middle East Company)	Address: Dair Ali Jordan Highway, P.O. Box 13052, Damascus, Syria; Tel. +963-11-2212345; Fax +963-11-44694450 Email: sales@eltelme.com Website: www.eltelme.com	Manufacturing and supplying communication and transmission towers and other equipment for the Syrian army.	23.9.2011
16.	Ramak Constructions Co.	Address: Dara'a Highway, Damascus, Syria; Tel: +963-11-6858111; Mobile: +963-933-240231	Construction of military barracks, border post barracks and other buildings for Army needs.	23.9.2011
17.	Souruh Company (a.k.a. SOROH Al Cham Company)	Address: Adra Free Zone Area Damascus – Syria; Tel: +963-11-5327266; Mobile: +963-933-526812; +963-932-878282; Fax:+963-11-5316396 Email: sorohco@gmail.com Website: http://sites.google.com/site/sorohco	Investment in local military industrial projects, manufacturing weapons parts and related items. 100 % of the company is owned by Rami Makhlouf.	23.9.2011
18.	Syriatel	Thawra Street, Ste Building 6th Floor, BP 2900; Tel: +963 11 61 26 270; Fax: +963 11 23 73 97 19; Email: info@syriatel.com.sy; Website: http://syriatel.sy/	Controlled by Rami Makhlouf; provides financial support to the regime: through its licensing contract it pays 50 % of its profits to the Government.	23.9.2011
19.	Cham Press TV	Al Qudsi building, 2nd Floor - Baramkeh - Damas; Tel: +963-11-2260805; Fax: +963-11-2260806 Email: mail@champress.com Website: www.champress.net	Television channel which participates in campaigns to spread disinformation and incite violence against demonstrators.	1.12.2011

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	Name	Identifying information	Reasons	Date of listing
20.	Al Watan	Al Watan Newspaper-Damascus – Duty Free Zone; Tel: 00963 11 2137400; Fax: 00963 11 2139928	Daily newspaper which participates in campaigns to spread disinformation and incite violence against demonstrators.	1.12.2011
21.	Centre d'études et de recherches syrien (CERS) (a.k.a.; Centre d'Etude et de Recherche Scientifique (CERS); Scientific Studies and Research Center (SSRC); Centre de Recherche de Kaboun)	Barzeh Street, PO Box 4470, Damas	Provides support to the Syrian army for the acquisition of equipment used directly for the surveillance and repression of demonstrators.	1.12.2011
22.	Business Lab	Maysat Square, Al Rasafi Street Bldg. 9, PO Box 7155, Damascus; Tel: 963112725499; Fax: 963112725399	Front company for the acquisition of sensitive equipment by the CERS.	1.12.2011
23.	Industrial Solutions	Baghdad Street 5, PO Box 6394, Damascus; Tel /fax: 63114471080	Front company for the acquisition of sensitive equipment by the CERS.	1.12.2011
24.	Mechanical Construction Factory (MCF)	P.O. Box 35202, Industrial Zone, Al-Qadam Road, Damas	Front company for the acquisition of sensitive equipment by the CERS.	1.12.2011
25.	Syronics – Syrian Arab Co. for Electronic Industries	Kaboon Street, P.O.Box 5966, Damascus; Tel.: +963-11-5111352; Fax: +963-11-5110117	Front company for the acquisition of sensitive equipment by the CERS.	1.12.2011
26.	Handasieh – Organization for Engineering Industries	P.O. Box 5966, Abou Bakr Al-Seddeq St., Damascus and PO BOX 2849 Al-Moutanabi Street, Damascus and PO BOX 21120 Baramkeh, Damascus; Tel: 963112121816; 963112121834; 963112214650; 963112212743; 963115110117	Front company for the acquisition of sensitive equipment by the CERS.	1.12.2011

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	Name	Identifying information	Reasons	Date of listing
27.	Syria Trading Oil Company (Sytrol)	Prime Minister Building, 17 Street Nissan, Damascus, Syria	State-owned company responsible for all oil exports from Syria. Provides financial support to the regime.	1.12.2011
28.	General Petroleum Corporation (GPC)	New Sham - Building of Syrian Oil Company, PO Box 60694, Damascus, Syria BOX: 60694; Tel: 963113141635; Fax: 963113141634; Email: info@gpc-sy.com	State-owned oil company. Provides financial support to the regime.	1.12.2011
29.	Al Furat Petroleum Company	Dummar - New Sham -Western Dummer 1st. Island -Property 2299-AFPC Building P.O. Box 7660 Damascus, Syria; Tel: 00963-11-(6183333); 00963-11-(31913333); Fax: 00963-11-(6184444); 00963-11- (31914444); afpc@afpc.net.sy	Joint venture 50 % owned by GPC. Provides financial support to the regime.	1.12.2011
30.	Industrial Bank	Dar Al Muhanisen Building, 7th Floor, Maysaloun Street, P.O. Box 7572 Damascus, Syria; Tel: +963 11-222-8200; +963 11-222-7910; Fax: +963 11-222-8412	State-owned bank. Provides financial support to the regime.	23.1.2012
31.	Popular Credit Bank	Dar Al Muhanisen Building, 6th Floor, Maysaloun Street, Damascus, Syria; Tel: +963 11-222-7604; +963 11-221-8376; Fax: +963 11-221-0124	State-owned bank. Provides financial support to the regime.	23.1.2012
32.	Saving Bank	Syria-Damascus – Merjah – Al-Furat St. P.O. Box: 5467; Fax: 224 4909; 245 3471; Tel: 222 8403; email: s.bank@scs-net.org, post-gm@net.sy	State-owned bank. Provides financial support to the regime.	23.1.2012

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	Name	Identifying information	Reasons	Date of listing
33.	Agricultural Cooperative Bank	Agricultural Cooperative Bank Building, Damascus Tajhez, P.O. Box 4325, Damascus, Syria; Tel: +963 11-221-3462; +963 11-222-1393; Fax: +963 11-224-1261; Website: www.agrobank.org	State-owned bank. Provides financial support to the regime.	23.1.2012
34.	Syrian Lebanese Commercial Bank	Syrian Lebanese Commercial Bank Building, 6th Floor, Makdessi Street, Hamra, P.O. Box 11-8701, Beirut, Lebanon; Tel: +961 1-741666; Fax: +961 1-738228; +961 1-753215; +961 1-736629; Website: www.slcb.com.lb	Subsidiary of the Commercial Bank of Syria already listed. Provides financial support to the regime.	23.1.2012
35.	Deir ez-Zur Petroleum Company	Dar Al Saadi Building 1st, 5th, and 6th Floor Zillat Street Mazza Area P.O. Box 9120 Damascus, Syria; Tel: +963 11-662-1175; +963 11-662-1400; Fax: +963 11-662-1848	Joint venture of GPC. Provides financial support to the regime.	23.1.2012
36.	Ebla Petroleum Company	Head Office Mazzeh Villat Ghabia Dar Es Saada 16, P.O. Box 9120, Damascus, Syria; Tel: +963 116691100	Joint venture of GPC. Provides financial support to the regime.	23.1.2012
37.	Dijla Petroleum Company	Building No. 653 – 1st Floor, Daraa Highway, P.O. Box 81, Damascus, Syria	Joint venture of GPC. Provides financial support to the regime.	23.1.2012
38.	Central Bank of Syria	Syria, Damascus, Sabah Bahrat Square Postal address: Altjreda al Maghrebeh square, Damascus, Syrian Arab Republic, P.O. Box: 2254	Providing financial support to the regime.	27.2.2012

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	Name	Identifying information	Reasons	Date of listing
39.	Syrian Petroleum company	Address: Dummar Province, Expansion Square, Island 19-Building 32 P.O. BOX: 2849 or 3378; Phone: 00963-11-3137935 or 3137913; Fax: 00963-11-3137979 or 3137977; Email: spccom2@scs-net.org or spccom1@scs-net.org; Websites: www.spc.com.sy www.spc-sy.com	State-owned oil company. Provides financial support to the Syrian regime.	23.3.2012
40.	Mahrukat Company (The Syrian Company for the Storage and Distribution of Petroleum Products)	Headquarters: Damascus – Al Adawi st., Petroleum building; Fax: 00963-11/4445796; Phone: 00963-11/44451348 – 4451349; Email: mahrukat@net.sy; Website: http://www.mahrukat.gov.sy/indexeng.php	State-owned oil company. Provides financial support to the Syrian regime.	23.3.2012
41.	General Organisation of Tobacco	Salhieh Street 616, Damascus, Syria	Provides financial support to the Syrian regime. The General Organisation of Tobacco is wholly owned by the Syrian state. The profits that the organisation makes, including through the sale of licenses to market foreign brands of tobacco and taxes levied on imports of foreign brands of tobacco are transferred to the Syrian state.	15.5.2012
42.	Ministry of Defence	Address: Umayyad Square, Damascus; Telephone: +963-11-7770700	Syrian government branch directly involved in repression.	26.6.2012
43.	Ministry of Interior	Address: Merjeh Square, Damascus; Telephone: +963-11-2219400; +963-11-2219401; +963-11-2220220; +963-11-2210404	Syrian government branch directly involved in repression.	26.6.2012
44.	Syrian National Security Bureau		Syrian government branch and element of the Syrian Ba'ath Party. Directly involved in repression. It directed Syrian security forces to use extreme force against demonstrators.	26.6.2012

▼M14

	Name	Identifying information	Reasons	Date of listing
45.	Syria International Islamic Bank (SIIB) (a.k.a.: Syrian International Islamic Bank; a.k.a. SIIB)	Location: Syria International Islamic Bank Building, Main Highway Road, Al Mazzeh Area, P.O. Box 35494, Damascus, Syria; Alt. Location: P.O. Box 35494, Mezza'h Vellat Sharqia'h, beside the Consulate of Saudi Arabia, Damascus, Syria	SIIB has acted as a front for the Commercial Bank of Syria, which has allowed that bank to circumvent sanctions imposed on it by the EU. From 2011 to 2012, SIIB surreptitiously facilitated financing worth almost $150 million on behalf of the Commercial Bank of Syria. Financial arrangements that were purportedly made by SIIB were actually made by the Commercial Bank of Syria. In addition to working with the Commercial Bank of Syria to circumvent sanctions, in 2012, SIIB facilitated several substantial payments for the Syrian Lebanese Commercial Bank, another bank already designated by the EU. In these ways, SIIB has contributed to providing financial support to the Syrian regime.	26.6.2012
46.	General Organisation of Radio and TV (a.k.a. Syrian Directorate General of Radio & Television Est; a.k.a. General Radio and Television Corporation; a.k.a. Radio and Television Corporation; a.k.a. GORT)	Address: Al Oumaween Square, P.O. Box 250, Damascus, Syria; Telephone (963 11) 223 4930	State-run agency subordinate to Syria's Ministry of Information and as such supports and promotes its information policy. It is responsible for operating Syria's state-owned television channels, two terrestrial and one satellite, as well as government radio stations. The GORT has incited violence against the civilian population in Syria, serving as a propaganda instrument for the Assad regime and spreading disinformation.	26.6.2012
47.	Syrian Company for Oil Transport (a.k.a. Syrian Crude Oil Transportation Company; a.k.a. 'SCOT'; a.k.a. 'SCOTRACO')	Banias Industrial Area, Latakia Entrance Way, P.O. Box 13, Banias, Syria; Website www.scot-syria.com; Email: scot50@scn-net.org	Syrian state owned oil company. Provides financial support to the regime.	26.6.2012
48.	Drex Technologies S.A.	Incorporation date: 4 July 2000; Incorporation number: 394678; Director: Rami Makhlouf; Registered agent: Mossack Fonseca & Co (BVI) Ltd	Drex Technologies is wholly owned by Rami Makhlouf, who is listed under EU sanctions for providing financial support to the Syrian regime. Rami Makhlouf uses Drex Technologies to facilitate and manage his international financial holdings, including a majority share in SyriaTel, which the EU has previously listed on the grounds that it also provides financial support to the Syrian regime.	24.7.2012
49.	Cotton Marketing Organisation	Address: Bab Al-Faraj P.O. Box 729, Aleppo; Tel.: +96321 2239495/6/7/8; Cmo-aleppo@mail.sy, www.cmo.gov.sy	State-owned company. Provides financial support to the Syrian regime.	24.7.2012

▼**M14**

	Name	Identifying information	Reasons	Date of listing
50.	Syrian Arab Airlines (a.k.a. SAA, a.k.a. Syrian Air)	Al-Mohafazeh Square, P.O. Box 417, Damascus, Syria; Tel: +963112240774	Public company controlled by the regime. Provides financial support for the regime.	24.7.2012
51.	Drex Technologies Holding S.A.	Registered in Luxembourg under number B77616, formerly established at the following address: 17, rue Beaumont L-1219 Luxembourg	The beneficial owner of Drex Technologies Holding S.A. is Rami Makhlouf, who is listed under EU sanctions for providing financial support to the Syrian regime.	17.8.2012
52.	Megatrade	Address: Aleppo Street, P.O. Box 5966, Damascus, Syria; Fax: 963114471081	Acts as a proxy for the Scientific Studies and Research Centre (SSRC), which is listed. Involved in trade in dual use goods prohibited by EU sanctions for the Syrian government.	16.10.2012
53.	Expert Partners	Address: Rukn Addin, Saladin Street, Building 5, PO Box: 7006, Damascus, Syria	Acts as a proxy for the Scientific Studies and Research Centre (SSRC), which is listed. Involved in trade in dual use goods prohibited by EU sanctions for the Syrian government.	16.10.2012

▼B

ANNEX IIa

LIST OF ENTITIES OR BODIES REFERRED TO IN ARTICLES 14 AND 15(1)(b)

Entities

	Name	Identifying information	Reasons	Date of listing
1.	Commercial Bank of Syria	— Damascus Branch, P.O. Box 2231, Moawiya St., Damascus, Syria;- P.O. Box 933, Yousef Azmeh Square, Damascus, Syria; — Aleppo Branch, P.O. Box 2, Kastel Hajjarin St., Aleppo, Syria; SWIFT/BIC CMSY SY DA; all offices worldwide [NPWMD] Website: http://cbs-bank.sy/En-index.php Tel.: +963 11 2218890 Fax: +963 11 2216975 general managment: dir.cbs@mail.sy	State-owned bank providing financial support to the regime.	13.10.2011

▼M13

ANNEX III

Websites for information on the competent authorities and address for notifications to the European Commission

A. Competent authorities in each Member State:

BELGIUM

http://www.diplomatie.be/eusanctions

BULGARIA

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

CZECH REPUBLIC

http://www.mfcr.cz/mezinarodnisankce

DENMARK

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

GERMANY

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

ESTONIA

http://www.vm.ee/est/kat_622/

IRELAND

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

GREECE

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

SPAIN

http://www.maec.es/es/MenuPpal/Asuntos/Sanciones%20Internacionales/Paginas/Sanciones_%20Internacionales.aspx

FRANCE

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

▼M15

CROATIA

http://www.mvep.hr/sankcije

▼M13

ITALY

http://www.esteri.it/MAE/IT/Politica_Europea/Deroghe.htm

CYPRUS

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

LATVIA

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

LITHUANIA

http://www.urm.lt/sanctions

LUXEMBOURG

http://www.mae.lu/sanctions

▼**M13**

HUNGARY

http://www.kulugyminiszterium.hu/kum/hu/bal/Kulpolitikank/nemzetkozi_szankciok/

MALTA

http://www.doi.gov.mt/EN/bodies/boards/sanctions_monitoring.asp

NETHERLANDS

www.rijksoverheid.nl/onderwerpen/internationale-vrede-en-veiligheid/sancties

AUSTRIA

http://www.bmeia.gv.at/view.php3?f_id=12750&LNG=en&version=

POLAND

http://www.msz.gov.pl

PORTUGAL

http://www.min-nestrangeiros.pt

ROMANIA

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

SLOVENIA

http://www.mzz.gov.si/si/zunanja_politika_in_mednarodno_pravo/zunanja_politika/mednarodna_varnost/omejevalni_ukrepi/

SLOVAKIA

http://www.mzv.sk/sk/europske_zalezitosti/sankcie_eu-sankcie_eu

FINLAND

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

SWEDEN

http://www.ud.se/sanktioner

UNITED KINGDOM

www.fco.gov.uk/competentauthorities

B. Address for notifications to, or other communication with, the European Commission:

European Commission
Service for Foreign Policy Instruments (FPI)
EEAS 02/309
1049 Bruxelles/Brussel

BELGIQUE/BELGIË

▼B

ANNEX IV

LIST OF 'CRUDE OIL AND PETROLEUM PRODUCTS' REFERRED TO IN ARTICLE 6

HS Code	Description
2709 00	Petroleum oils and oils obtained from bituminous minerals, crude.
2710	Petroleum oils and oils obtained from bituminous minerals, other than crude; preparations not elsewhere specified or included, containing by weight 70 % or more of petroleum oils or of oils obtained from bituminous minerals, these oils being the basic constituents of the preparations; waste oils (save that the purchase, in Syria, of kerosene jet fuel of CN code 2710 19 21 is not prohibited provided that it is intended and used solely for the purpose of the continuation of the flight operation of the aircraft into which it is loaded).
2712	Petroleum jelly; paraffin wax, microcrystalline petroleum wax, slack wax, ozokerite, lignite wax, peat wax, other mineral waxes, and similar products obtained by synthesis or by other processes, whether or not coloured.
2713	Petroleum coke, petroleum bitumen and other residues of petroleum oils or of oils obtained from bituminous minerals.
2714	Bitumen and asphalt, natural; bituminous or oil-shale and tar sands; asphaltites and asphaltic rocks.
2715 00 00	Bituminous mixtures based on natural asphalt, on natural bitumen, on petroleum bitumen, on mineral tar or on mineral tar pitch (for example, bituminous mastics, cut-backs).

▼B

ANNEX V

EQUIPMENT, TECHNOLOGY AND SOFTWARE REFERRED TO IN ARTICLE 4

General Note

Notwithstanding the contents of this Annex, it shall not apply to:

(a) equipment, technology or software which are specified in Annex I to Council Regulation (EC) 428/2009 ([1]) or the Common Military List; or

(b) software which is designed for installation by the user without further substantial support by the supplier and which is generally available to the public by being sold from stock at retail selling points, without restriction, by means of:

(i) over the counter transactions;

(ii) mail order transactions;

(iii) electronic transactions; or

(iv) telephone order transactions; or

(c) software which is in the public domain.

The categories A, B, C, D and E refer to the categories referred to in Regulation (EC) No 428/2009.

The 'equipment, technology and software' referred to in Article 4 is:

A. **List of equipment**

— Deep Packet Inspection equipment

— Network Interception equipment including Interception Management Equipment (IMS) and Data Retention Link Intelligence equipment

— Radio Frequency monitoring equipment

— Network and Satellite jamming equipment

— Remote Infection equipment

— Speaker recognition/processing equipment

— IMSI ([2]), MSISDN ([3]), IMEI ([4]), TMSI ([5]) interception and monitoring equipment

([1]) Council Regulation (EC) No 428/2009 of 5 May 2009 setting up a Community regime for the control of exports, transfer, brokering and transit of dual-use items (OJ L 134, 29.5.2009, p. 1).

([2]) **IMSI** stands for International Mobile Subscriber Identity. It is a unique identification code for each mobile telephony device, integrated in the SIM card and which allows identification of such SIM via GSM and UMTS networks.

([3]) **MSISDN** stands for Mobile Subscriber Integrated Services Digital Network Number. It is a number uniquely identifying a subscription in a GSM or a UMTS mobile network. Simply put, it is the telephone number to the SIM card in a mobile phone and therefore it identifies a mobile subscriber as well as IMSI, but to route calls through him.

([4]) **IMEI** stands for International Mobile Equipment Identity. It is a number, usually unique to identify GSM, WCDMA and IDEN mobile phones as well as some satellite phones. It is usually found printed inside the battery compartment of the phone. interception (wiretapping) can be specified by its IMEI number as well as IMSI and MSISDN.

([5]) **TMSI** stands for Temporary Mobile Subscriber Identity. It is the identity that is most commonly sent between the mobile and the network.

▼B

— Tactical SMS ([1])/GSM ([2])/GPS ([3])/GPRS ([4])/UMTS ([5])/CDMA ([6])/PSTN ([7]) interception and monitoring equipment

— DHCP ([8])/SMTP ([9]),GTP ([10]) information interception and monitoring equipment

— Pattern Recognition and Pattern Profiling equipment

— Remote Forensics equipment

— Semantic Processing Engine equipment

— WEP and WPA code breaking equipment

— Interception equipment for VoIP proprietary and standard protocol

B. **Not used**

C. **Not used**

D. **'Software' for the 'development', 'production' or 'use' of the equipment specified in A above.**

E. **'Technology' for the 'development', 'production' or 'use' of the equipment specified in A above.**

Equipment, technology and software falling within these categories is within the scope of this Annex only to the extent that it falls within the general description 'internet, telephone and satellite communications interception and monitoring systems'.

For the purpose of this Annex 'monitoring' means acquisition, extraction, decoding, recording, processing, analysis and archiving call content or network data.

([1]) **SMS** stands for Short Message System.
([2]) **GSM** stands for Global System for Mobile Communications.
([3]) **GPS** stands for Global Positioning System.
([4]) **GPRS** stands for General Package Radio Service.
([5]) **UMTS** stands for Universal Mobile Telecommunication System.
([6]) **CDMA** stands for Code Division Multiple Access.
([7]) **PSTN** stands for Public Switch Telephone Networks.
([8]) **DHCP** stands for Dynamic Host Configuration Protocol.
([9]) **SMTP** stands for Simple Mail Transfer Protocol.
([10]) **GTP** stands for GPRS Tunnelling Protocol.

▼B

ANNEX VI

LIST OF KEY EQUIPMENT AND TECHNOLOGY REFERRED TO IN ARTICLE 8

General notes

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

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

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

3. Definitions of terms between ‘single quotation marks’ are given in a technical note to the relevant item.

4. Definitions of terms between ‘double quotation marks’ can be found in Annex I to Regulation (EC) No 428/2009.

General Technology Note (GTN)

1. The ‘technology’‘required’ for the ‘development’, ‘production’ or ‘use’ of prohibited goods remains under prohibition even when applicable to non-prohibited goods.

2. Prohibitions do not apply to that ‘technology’ which is the minimum necessary for the installation, operation, maintenance (checking) and repair of those goods which are not prohibited or the export of which has been authorised in accordance with this Regulation.

3. Prohibitions on ‘technology’ transfer do not apply to information ‘in the public domain’, to ‘basic scientific research’ or to the minimum necessary information for patent applications.

Exploration and production of crude oil and natural gas

1.A **Equipment**

1. Geophysical survey equipment, vehicles, vessels and aircraft specially designed or adapted to acquire data for oil and gas exploration and specially designed components therefor.

2. Sensors specially designed for downhole well operations in oil and gas wells, including sensors used for measurement whilst drilling and the associated equipment specially designed to acquire and store data from such sensors.

3. Drilling equipment designed to drill rock formations, specifically for the purpose of exploring for, or producing oil, gas and other naturally occurring, hydrocarbon materials.

4. Drill bits, drill pipes, drill collars, centralisers and other equipment, specially designed for use in and with oil and gas well drilling equipment.

▼B

5. Drilling wellheads, 'blowout preventers' and 'Christmas or production trees' and the specially designed components thereof, meeting the 'API and ISO specifications' for use with oil and gas wells.

Technical Notes:

a. A 'blowout preventer' is a device typically used at ground level (or if drilling underwater, at the seabed) during drilling to prevent the uncontrolled escape of oil and/or gas from the well.

b. A 'Christmas tree or production tree' is a device typically used to control flow of fluids from the well when it is complete and oil and/or gas production has started.

c. For the purpose of this item, 'API and ISO specifications' refers to the American Petroleum Institute specifications 6A, 16A, 17D and 11IW and/or the International Standards Organisation specifications 10423 and 13533 for blowout preventers, wellhead and Christmas trees for use on oil and/or gas wells.

6. Drilling and production platforms for crude oil and natural gas.

7. Vessels and barges incorporating drilling and/or petroleum processing equipment used for producing oil, gas and other naturally occurring flammable materials.

8. Liquid/gas separators meeting API specification 12J, specially designed to process the production from an oil or gas well, to separate the petroleum liquids from any water and any gas from the liquids.

9. Gas compressor with a design pressure of 40 bar (PN 40 and/or ANSI 300) or more and having a suction volume capacity of 300 000 Nm^3/h or more, for the initial processing and transmission of natural gas, excluded gas compressors for CNG (Compressed Natural Gas) filling stations, and specially designed components therefor.

10. Subsea production control equipment and the components thereof meeting 'API and ISO specifications' for use with oil and gas wells.

Technical Note:

For the purposes of this entry, 'API and ISO specifications' refers to the American Petroleum Institute specification 17 F and/or the International Standards Organisation specification 13268 for subsea production control systems.

11. Pumps, typically high capacity and/or high pressure (in excess of 0,3 m^3 per minute and/or 40 bar), specially designed to pump drilling muds and/or cement into oil and gas wells.

1.B **Test and inspection equipment**

1. Equipment specially designed for sampling, testing and analysing the properties of drilling mud, oil well cements and other materials specially designed and/or formulated for use in oil and gas wells.

▼B

2. Equipment specially designed for sampling, testing and analysing the properties of rock samples, liquid and gaseous samples and other materials taken from an oil and/or gas well either during or after drilling, or from the initial processing facilities attached thereto.

3. Equipment specially designed for collecting and interpreting information about the physical and mechanical condition of an oil and/or gas well, and for determining the in situ properties of the rock and reservoir formation.

1.C **Materials**

1. Drilling mud, drilling mud additives and the components thereof, specially formulated to stabilise oil and gas wells during drilling, to recover drill cuttings to the surface and to lubricate and cool the drilling equipment in the well.

2. Cements and other materials meeting the 'API and ISO specifications' for use in oil and gas wells.

Technical Note:

'API and ISO specification' refers to the American Petroleum Institute specification 10A or the International Standards Organisation specification 10426 for oil well cements and other materials specially formulated for use in the cementing of oil and gas wells.

3. Corrosion inhibiting, emulsion treatment, defoaming agents and other chemicals specially formulated to be used in the drilling for, and the initial processing of, petroleum produced from an oil and/or gas well.

1.D **Software**

1. 'Software' specially designed to collect and interpret data acquired from seismic, electromagnetic, magnetic or gravity surveys for the purpose of establishing oil or gas prospectivity.

2. 'Software' specially designed for storing, analysing and interpreting information acquired during drilling and production to assess the physical characteristics and behaviour of oil or gas reservoirs.

3. 'Software' specially designed for the 'use' of petroleum production and processing facilities or specific sub-units of such facilities.

1.E **Technology**

1. 'Technology''required' for the 'development', 'production' and 'use' of equipment specified in 1.A.01 – 1.A.11.

Refining of crude oil and liquefaction of natural gas

2.A **Equipment**

1. Heat exchangers as follows and specially designed components therefor:

a. Plate-fin heat exchangers with a surface/volume ratio greater than 500 m^2/m^3, specially designed for pre-cooling of natural gas;

b. Coil-wound heat exchangers specially designed for liquefaction or sub-cooling of natural gas.

▼B

2. Cryogenic pumps for the transport of media at a temperature below – 120 °C having a transport capacity of more than 500 m^3/h and specially designed components therefor.

3. 'Coldbox' and 'coldbox' equipment not specified by 2.A.1.

Technical Note:

'Coldbox' equipment' refers to a specially designed construction, which is specific for LNG plants and incorporates the process stage of liquefaction. The 'coldbox' comprises heat exchangers, piping, other instrumentation and thermal insulators. The temperature inside the 'coldbox' is below – 120 °C (conditions for condensation of natural gas). The function of the 'coldbox' is the thermal insulation of the above described equipment.

4. Equipment for shipping terminals of liquefied gases having a temperature below – 120 °C and specially designed components therefor.

5. Flexible and non-flexible transfer line having a diameter greater than 50 mm for the transport of media below – 120 °C.

6. Maritime vessels specially designed for the transport of LNG.

7. Electrostatic desalters specially designed to remove contaminants such as salts, solids and water from crude oil and specially designed components therefor.

8. All crackers, including hydrocrackers, and cokers, specially designed for conversion of vacuum gas oils or vacuum residuum, and specially designed components therefor.

9. Hydrotreaters specially designed for desulphurisation of gasoline, diesel cuts and kerosene and specially designed components therefor.

10. Catalytic reformers specially designed for conversion of desulphurised gasoline into high-octane gasoline, and specially designed components therefor.

11. Refinery units for C5-C6 cuts isomerisation, and refinery units for alkylation of light olefins, to improve the octane index of the hydrocarbon cuts.

12. Pumps specially designed for the transport of crude oil and fuels, having a capacity of 50 m^3/h or more and specially designed components therefor.

13. Tubes with an outer diameter of 0,2 m or more and made from any of the following materials:

a. Stainless steels with 23 % chromium or more by weight;

b. Stainless steels and nickel bases alloys with a 'Pitting resistance equivalent' number higher than 33.

▼B

Technical Note:

'Pitting resistance equivalent' (PRE) number characterises the corrosion resistance of stainless steels and nickel alloys to pitting or crevice corrosion. The pitting resistance of stainless steels and nickel alloys is primarily determined by their compositions, primarily: chromium, molybdenum, and nitrogen. The formula to calculate the PRE number is:

$$PRE = Cr + 3{,}3\ \% Mo + 30\ \% N$$

14. 'Pigs' (Pipeline Inspection Gauge(s)) and specially designed components therefor.

Technical Note:

'Pig' is a device typically used for cleaning or inspection of a pipeline from inside (corrosion state or crack formation) and is propelled by the pressure of the product in the pipeline.

15. Pig launchers and pig catchers for the integration or removing of pigs.

16. Tanks for the storage of crude oil and fuels with a volume greater than 1 000 m^3 (1 000 000 litres) as follows, and specially designed components therefor:

    a. fixed roof tanks;

    b. floating roof tanks.

17. Subsea flexible pipes specially designed for the transportation of hydrocarbons and injection fluids, water or gas, having a diameter greater than 50 mm.

18. Flexible pipes used for high pressure for topside and subsea application.

19. Isomeration equipment specially designed for production of high-octane gasoline based on light hydrocarbons as feed, and specially designed components therefor.

2.B **Test and inspection equipment**

1. Equipment specially designed for testing and analysing of quality (properties) of crude oil and fuels.

2. Interface control systems specially designed for controlling and optimising of the desalting process.

2.C **Materials**

1. Diethyleneglycol (CAS 111-46-6), Triethylene glycol (CAS 112-27-6).

2. N-Methylpyrrolidon (CAS 872-50-4), Sulfolane (CAS 126-33-0).

3. Zeolites, of natural or synthetic origin, specially designed for fluid catalytic cracking or for the purification and/or dehydration of gases, including natural gases.

4. Catalysts for the cracking and conversion of hydrocarbons as follows:

    a. Single metal (platinum group) on alumina type or on zeolite, specially designed for catalytic reforming process;

    b. Mixed metal species (platinum in combination with other noble metals) on alumina type or on zeolite, specially designed for catalytic reforming process;

▼B

c. Cobalt and nickel catalysts doped with molybdenum on alumina type or on zeolite, specially designed for catalytic desulphurisation process;

d. Palladium, nickel, chromium and tungsten catalysts on alumina type or on zeolite, specially designed for catalytic hydrocracking process.

5. Gasoline additives specially formulated for increasing the octane number of gasoline.

Note:

This entry includes Ethyl tertiary butyl ether(ETBE) (CAS 637-92-3) and Methyl tertiary butyl ether (MTBE) CAS 1634-04-4).

2.D **Software**

1. 'Software' specially designed for the 'use' of LNG plants or specific sub-units of such plants.

2. 'Software' specially designed for the 'development', 'production' or 'use' of plants (including their sub-units) for oil refining.

2.E **Technology**

1. 'Technology' for the conditioning and purification of raw natural gas (dehydration, sweetening, removal of impurities).

2. 'Technology' for the liquefaction of natural gas, including 'technology' required for the 'development', 'production' or 'use' of LNG plants.

3. 'Technology' for the shipment of liquefied natural gas.

4. 'Technology''required' for the 'development', 'production' or 'use' of maritime vessels specially designed for the transport of liquefied natural gas.

5. 'Technology' for storage of crude oil and fuels.

6. 'Technology''required' for the 'development', 'production' or 'use' of a refinery plant, such as:

6.1. 'Technology' for conversion of light olefin to gasoline;

6.2. Catalytic reforming and isomerisation technology;

6.3. Catalytic and thermal cracking technology.

▼B

ANNEX VII

Equipment and technology referred to in Article 12

8406 81	Steam turbines of an output exceeding 40 MW.
8411 82	Gas turbines of an output exceeding 5 000 kW.
ex 8501	All electric motors and generators of an output exceeding 3 MW or 5 000 kVA.

▼M2

ANNEX VIII

List of gold, precious metals and diamonds referred to in Article 11a

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

▼M5

ANNEX IX

LIST OF EQUIPMENT, GOODS AND TECHNOLOGY REFERRED TO IN ARTICLE 2b

▼M16

The list set out in this Annex shall not include products identified as consumer goods packaged for retail sale for personal use or packaged for individual use, with the exception of isopropanol.

▼M5

Introductory Notes

1. Unless otherwise stated, reference numbers used in the column below entitled 'Description' refer to the descriptions of dual-use items set out in Annex I to Regulation (EC) No 428/2009.

2. A reference number in the column below entitled 'Related item from Annex I to Regulation (EC) No 428/2009' means that the characteristics of the item described in the 'Description' column lie outside the parameters set out in the description of the dual-use entry referred to.

3. Definitions of terms between 'single quotation marks' are given in a technical note to the relevant item.

4. Definitions of terms between 'double quotation marks' can be found in Annex I to Regulation (EC) No 428/2009.

General Notes

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

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

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

General Technology Note (GTN)

(To be read in conjunction with Section B of this Annex)

1. The sale, supply, transfer or export of 'technology' which is 'required' for the 'development', 'production' or 'use' of goods the sale, supply, transfer or export of which is controlled in Section IX.A of this Annex, is controlled in accordance with the provisions of Section B.

2. The 'technology''required' for the 'development', 'production' or 'use' of goods under control remains under control even when it is applicable to non-controlled goods.

▼M5

3. Controls do not apply to that 'technology' which is the minimum necessary for the installation, operation, maintenance (checking) and repair of those goods which are not controlled or the export of which has been authorised in accordance with this Regulation.

4. Controls on 'technology' transfer do not apply to information 'in the public domain', to 'basic scientific research' or to the minimum necessary information for patent applications.

IX.A. **GOODS**

IX.A1. **Materials, chemicals, 'micro-organisms' and 'toxins'**

No	Description	Related item from Annex I to Regulation (EC) No 428/2009
IX.A1.001	Chemicals at 95 % concentration or greater, as follows: Tributylphosphite, (CAS 102-85-2) Isocyanatomethane, (CAS 624-83-9) Quinaldine, (CAS 91-63-4) 2-bromochloroethane, (CAS 107-04-0)	
IX.A1.002	Chemicals at 95 % concentration or greater, as follows: Benzil, (CAS 134-81-6) Diethylamine, (CAS 109-89-7) Diethyl ether, (CAS 60-29-7) Dimethyl ether, (CAS 115-10-6) Dimethylaminoethanol, (CAS 108-01-0)	
IX.A1.003	Chemicals at 95 % concentration or greater, as follows: 2-methoxyethanol, (CAS 109-86-4) Butyrylcholinesterase (BCHE) Diethylenetriamine, (CAS 111-40-0) Dichloromethane, (CAS 75-09-3) Dimethylanaline, (CAS 121-69-7) Ethyl bromide, (CAS 74-96-4) Ethyl chloride, (CAS 75-00-3) Ethylamine, (CAS 75-04-7) Hexamine, (CAS 100-97-0) Isopropyl bromide, (CAS 75-26-3) Isopropyl ether, (CAS 108-20-3) Methylamine, (CAS 74-89-5) Methyl bromide, (CAS 74-83-9) Monoisopropylamine, (CAS 75-31-0) Obidoxime chloride, (CAS 114-90-9)	

▼M5

No	Description	Related item from Annex I to Regulation (EC) No 428/2009
	Potassium bromide, (CAS 7758-02-3) Pyridine, (CAS 110-86-1) Pyridostigmine bromide, (CAS 101-26-8) Sodium bromide, (CAS 7647-15-6) Sodium metal, (CAS 7440-23-5) Tributylamine, (CAS 102-82-9) Triethylamine, (CAS 121-44-8) Trimethylamine, (CAS 75-50-3)	

▼M16

IX.A1.004	Separate chemically defined compounds according to Note 1 to Chapters 28 and 29 of the Combined Nomenclature ([1]), at 90 % concentration or greater, unless otherwise indicated, as follows: Acetone, (CAS RN 67-64-1) (CN code 2914 11 00) Acetylene, (CAS RN 74-86-2) (CN code 2901 29 00) Ammonia, (CAS RN 7664-41-7) (CN code 2814 10 00) Antimony, (CAS RN 7440-36-0) (heading 8110) Benzaldehyde, (CAS RN 100-52-7) (CN code 2912 21 00) Benzoin, (CAS RN 119-53-9) (CN code 2914 40 90) 1-Butanol, (CAS RN 71-36-3) (CN code 2905 13 00) 2-Butanol, (CAS RN 78-92-2) (CN code 2905 14 90) Iso-Butanol, (CAS RN 78-83-1) (CN code 2905 14 90) Tert-Butanol, (CAS RN 75-65-0) (CN code 2905 14 10) Calcium carbide, (CAS RN 75-20-7) (CN code 2849 10 00) Carbon monoxide, (CAS RN 630-08-0) (CN code 2811 29 90) Chlorine, (CAS RN 7782-50-5) (CN code 2801 10 00) Cyclohexanol, (CAS RN 108-93-0) (CN code 2906 12 00) Dicyclohexylamine (DCA), (CAS RN 101-83-7) (CN code 2921 30 99) Ethanol, (CAS RN 64-17-5) (CN code 2207 10 00) Ethylene, (CAS RN 74-85-1) (CN code 2901 21 00) Ethylene oxide, (CAS RN 75-21-8) (CN code 2910 10 00) Fluoroapatite, (CAS RN 1306-05-4) (CN code 2835 39 00) Hydrogen chloride, (CAS RN 7647-01-0) (CN code 2806 10 00) Hydrogen sulfide, (CAS RN 7783-06-4) (CN code 2811 19 80) Isopropanol, 95 % concentration or greater, (CAS RN 67-63-0) (CN code 2905 12 00) Mandelic acid, (CAS RN 90-64-2) (CN code 2918 19 98)	

▼M16

No	Description	Related item from Annex I to Regulation (EC) No 428/2009
	Methanol, (CAS RN 67-56-1) (CN code 2905 11 00) Methyl chloride, (CAS RN 74-87-3) (CN code 2903 11 00) Methyl iodide, (CAS RN 74-88-4) (CN code 2903 39 90) Methyl mercaptan, (CAS RN 74-93-1) (CN code 2930 90 99) Monoethyleneglycol, (CAS RN 107-21-1) (CN code 2905 31 00) Oxalyl chloride, (CAS RN 79-37-8) (CN code 2917 19 90) Potassium sulphide, (CAS RN 1312-73-8) (CN code 2830 90 85) Potassium thiocyanate (KSCN), (CAS RN 333-20-0) (CN code 2842 90 80) Sodium hypochlorite, (CAS RN 7681-52-9) (CN code 2828 90 00) Sulphur, (CAS RN 7704-34-9) (CN code 2802 00 00) Sulphur dioxide, (CAS RN 7446-09-5) (CN code 2811 29 05) Sulphur trioxide, (CAS RN 7446-11-9) (CN code 2811 29 10) Thiophosphoryl chloride, (CAS RN 3982-91-0) (CN code 2853 00 90) Tri-isobutyl phosphite, (CAS RN 1606-96-8) (CN code 2920 90 85) White/yellow phosphorus, (CAS RN 12185-10-3, 7723-14-0) (CN code 2804 70 00)	

(1) As set out in the Commission Implementing Regulation (EU) No 927/2012 of 9 October 2012 amending Annex I to Council Regulation (EEC) No 2658/87 on the tariff and statistical nomenclature and on the Common Customs Tariff (OJ L 304, 31.10.2012, p. 1).

▼M5

IX.A2. **Materials Processing**

No	Description	Related item from Annex I to Regulation (EC) No 428/2009
IX.A2.001	Floor-mounted fume hoods (walk-in-style) with a minimum nominal width of 2,5 meters.	
IX.A2.002	Full face-mask air-purifying and air-supplying respirators other than those specified in 1A004 or 2B352f1.	1A004.a

▼**M5**

No	Description	Related item from Annex I to Regulation (EC) No 428/2009
IX.A2.003	Class II biological safety cabinets or isolators with similar performance standards.	2B352.f.2
IX.A2.004	Batch centrifuges with a rotor capacity of 4 litres or greater, usable with biological materials.	
IX.A2.005	Fermenters capable of cultivation of pathogenic 'micro-organisms', viruses or for toxin production, without the propagation of aerosols, having a capacity of 5 litres or more but less than 20 litres. *Technical Note:* *Fermenters include bioreactors, chemostats and continuous-flow systems.*	2B352.b
IX.A2.007	Conventional or turbulent air-flow clean-air rooms and self contained fan-HEPA or ULPA filter units that may be used for P3 or P4 (BSL 3, BSL 4, L3, L4) containments facilities.	2B352.a
IX.A2.008	Chemical manufacturing facilities, equipment and components, other than those specified in 2B350 or A2.009 as follows: a. Reaction vessels or reactors, with or without agitators, with total internal (geometric) volume greater than 0,1 m^3 (100 litres) and less than 20 m^3 (20 000 litres), where all surfaces that come in direct contact with the fluid(s) being processed or contained are made from the following materials: 1. Stainless steels with more than or equal to 10,5 % chromium and less than or equal to 1,2 % carbon; b. Agitators for use in reaction vessels or reactors specified in 2B350.a.; where all surfaces that come in direct contact with the fluid(s) being processed or contained are made from the following materials: 1. Stainless steels with more than or equal to 10,5 % chromium and less than or equal to 1,2 % carbon; c. Storage tanks, containers or receivers with a total internal (geometric) volume greater than 0,1 m^3 (100 litres) where all surfaces that come in direct contact with the fluid(s) being processed or contained are made from the following materials: 1. Stainless steels with more than or equal to 10,5 % chromium and less than or equal to 1,2 % carbon;	2B350.a-e 2B350.g 2B350.i

▼**M5**

No	Description	Related item from Annex I to Regulation (EC) No 428/2009
	d. Heat exchangers or condensers with a heat transfer surface area greater than 0,05 m^2, and less than 30 m^2; and tubes, plates, coils or blocks (cores) designed for such heat exchangers or condensers, where all surfaces that come in direct contact with the fluid(s) being processed are made from the following materials: 1. Stainless steels with more than or equal to 10,5 % chromium and less than or equal to 1,2 % carbon; *Technical Note:* *The materials used for gaskets and seals and other implementation of sealing functions do not determine the control status of the heat exchanger.*	
	e. Distillation or absorption columns of internal diameter greater than 0,1 m; where all surfaces that come in direct contact with the fluid(s) being processed are made from the following materials: 1. Stainless steels with more than or equal to 10,5 % chromium and less than or equal to 1,2 % carbon;	
	f. Valves with 'nominal sizes' greater than 10 mm and casings (valve bodies) designed for such valves where all surfaces that come in direct contact with the fluid(s) being processed or contained are made from the following materials: 1. Stainless steels with more than or equal to 10,5 % chromium and less than or equal to 1,2 % carbon; *Technical Note:* 1. *The materials used for gaskets and seals and other implementation of sealing functions do not determine the control status of the valve.* 2. *The 'nominal size' is defined as the smaller of the inlet and outlet diameters.*	
	g. Multiple-seal and seal-less pumps, with manufacturer's specified maximum flow-rate greater than 0,6 m^3/hour, in which all surfaces that come in direct contact with the chemical(s) being processed are made from the following materials: 1. Stainless steels with more than or equal to 10,5 % chromium and less than or equal to 1,2 % carbon.	
	h. Vacuum pumps with a manufacturer's specified maximum flow-rate greater than 1 m^3/h (under standard temperature (273 K (0 °C)) and pressure (101,3 kPa) conditions), and casings (pump bodies) and preformed casing-liners, impellers, rotors and jet pump nozzles designed for such pumps, in which all surfaces that come into direct contact with the chemicals being processed are made from any of the following materials: 1. 'Alloys' with more than 25 % nickel and 20 % chromium by weight;	

▼**M5**

No	Description	Related item from Annex I to Regulation (EC) No 428/2009
	2. Ceramics; 3. 'Ferrosilicon'; 4. Fluoropolymers (polymeric or elastomeric materials with more than 35 % fluorine by weight); 5. Glass (including vitrified or enamelled coatings or glass lining); 6. Graphite or 'carbon graphite'; 7. Nickel or 'alloys' with more than 40 % nickel by weight; 8. Stainless steel with 20 % nickel and 19 % chromium or more by weight; 9. Tantalum or tantalum 'alloys'; 10. Titanium or titanium 'alloys'; 11. Zirconium or zirconium 'alloys'; or 12. Niobium (columbium) or niobium 'alloys'. *Technical Notes:* 1. *The materials used for diaphragms or gaskets and seals and other implementation of sealing functions do not determine the status of control of the pump.* 2. *'Carbon graphite' is a composition consisting of amorphous carbon and graphite, in which the graphite content is 8 % or more by weight.* 3. *'Ferrosilicons' are silicon iron alloys with more than 8 % silicon by weight or more.* *For the listed materials in the above entries, the term 'alloy' when not accompanied by a specific elemental concentration is understood as identifying those alloys where the identified metal is present in a higher percentage by weight than any other element.*	
IX.A2.009	Chemical manufacturing facilities, equipment and components, other than specified in 2B350 or A2.008 as follows: Reaction vessels or reactors, with or without agitators, with a total internal (geometric) volume greater than 0,1 m^3 (100 litres) and less than 20 m^3 (20 000 litres) where all surfaces that come in direct contact with the fluid(s) being processed or contained are made from the following materials: Stainless steel with 20 % nickel and 19 % chromium or more by weight; Agitators for use in reaction vessels or reactors specified in a. where all surfaces that come in direct contact with the fluid(s) being processed or contained are made from the following materials: Stainless steel with 20 % nickel and 19 % chromium or more by weight;	

▼M5

No	Description	Related item from Annex I to Regulation (EC) No 428/2009
	Storage tanks, containers or receivers with a total internal (geometric) volume greater than 0,1 m^3 (100 litres) where all surfaces that come in direct contact with the fluid(s) being processed or contained are made from the following materials: Stainless steel with 20 % nickel and 19 % chromium or more by weight; Heat exchangers or condensers with a heat transfer surface area greater than 0,05 m^2, and less than 30 m^2; and tubes, plates, coils or blocks (cores) designed for such heat exchangers or condensers, where all surfaces that come in direct contact with the fluid(s) being processed are made from the following materials: Stainless steel with 20 % nickel and 19 % chromium or more by weight; *Technical Note:* *The materials used for gaskets and seals and other implementation of sealing functions do not determine the control status of the heat exchanger.* Distillation or absorption columns of internal diameter greater than 0,1 m; and liquid distributors, vapour distributors or liquid collectors, in which all surfaces that come in direct contact with the chemical(s) being processed are made from the following materials: Stainless steel with 20 % nickel and 19 % chromium or more by weight; Valves having a nominal diameter of 10 mm or more, and casings (valve bodies), balls or plugs designed for such valves, in which all surfaces that come in direct contact with the chemical(s) being processed or contained are made from the following materials: Stainless steel with 20 % nickel and 19 % chromium or more by weight; *Technical note:* *The 'nominal size' is defined as the smaller of the inlet and outlet port diameters*. Multiple-seal and seal-less pumps with manufacturer's specified maximum flow-rate greater than 0,6 m^3/hour (measured under standard temperature (273 K or 0 °C) and pressure (101,3 kPa) conditions); and casings (pump bodies), preformed casing liners, impellers, rotors or jet pump nozzles designed for such pumps, in which all surfaces that come in direct contact with the chemical(s) being processed are made from any of the following materials: Ceramics; Ferrosilicon (silicon iron alloys with more than 8 % silicon by weight or more); Stainless steel with 20 % nickel and 19 % chromium or more by weight;	

▼**M5**

No	Description	Related item from Annex I to Regulation (EC) No 428/2009
	Technical Notes: *The materials used for diaphragms or gaskets and seals and other implementation of sealing functions do not determine the control status of the pump.* *For the listed materials in the above entries, the term 'alloy' when not accompanied by a specific elemental concentration is understood as identifying those alloys where the identified metal is present in a higher percentage by weight than any other element.*	

▼**M16**

IX.A2.010	Equipment Laboratory equipment, including parts and accessories for such equipment, for the (destructive or non-destructive) analysis or detection of chemical substances, with the exception of equipment, including parts or accessories, specifically designed for medical use.	

▼**M5**

B. **TECHNOLOGY**

No	Description	Related item from Annex I to Regulation (EC) No 428/2009
IX.B.001	'Technology' required for the 'development', 'production' or 'use' of the items in Section IX.A. *Technical Note:* *The term 'technology' includes 'software'.*	

▼M5

ANNEX X

LIST OF LUXURY GOODS REFERRED TO IN ARTICLE 11B

1. Pure-bred horses

   CN Codes: 0101 21 00

2. Caviar and caviar substitutes; in the case of caviar substitutes, if the sales prices exceed EUR 20 per 100 grams

   CN Codes: ex 1604 31 00, ex 1604 32 00

3. Truffles

   CN Codes: 2003 90 10

4. Wines (including sparkling wines) exceeding a sales price of EUR 50 per litre, spirits exceeding and spirituous beverages exceeding a sales price of EUR 50 per litre

   CN Codes: ex 2204 21 to ex 2204 29, ex 2208, ex 2205

5. Cigars and cigarillos exceeding a sales price of EUR 10 each cigar or cigarillo

   CN Codes: ex 2402 10 00

6. Perfumes and toilet waters exceeding a sales price of EUR 70 per 50 ml and cosmetics, including beauty and make-up products exceeding a sales price of EUR 70 each

   CN Codes: ex 3303 00 10, ex 3303 00 90, ex 3304, ex 3307, ex 3401

7. Leather, saddlery and travel goods, handbags and similar articles exceeding a sales price of EUR 200 each

   CN Codes: ex 4201 00 00, ex 4202, ex 4205 00 90

8. Garments, clothing accessories and shoes (regardless of their material) articles exceeding a sales price of EUR 600 per item

   CN Codes: ex 4203, ex 4303, ex 61, ex 62, ex 6401, ex 6402, ex 6403, ex 6404, ex 6405, ex 6504, ex 6605 00, ex 6506 99, ex 6601 91 00, ex 6601 99, ex 6602 00 00

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

   CN Codes: 7101, 7102, 7103, 7104 20, 7104 90, 7105, 7106, 7107, 7108, 7109, 7110, 7111, 7113, 7114, 7115, 7116

10. Coins and banknotes, not being legal tender

    CN Codes: ex 4907 00, 7118 10, ex 7118 90

11. Cutlery of precious metal or plated or clad with precious metal

    CN Codes: ex 7114, ex 7115, ex 8214, ex 8215, ex 9307

12. Tableware of porcelain, china, stone- or earthenware or fine pottery exceeding a sales price of EUR 500 each

    CN Codes: ex 6911 10 00, ex 6912 00 30, ex 6912 00 50

▼**M5**

13. Lead crystal glassware exceeding a sales price of EUR 200 each

    CN Codes: ex 7009 91 00, ex 7009 92 00, ex 7010, ex 7013 22, ex 7013 33, ex 7013 41, ex 7013 91, ex 7018 10, ex 7018 90, ex 7020 00 80, ex 9405 10 50, ex 9405 20 50, ex 9405 50, ex 9405 91

14. Luxury vehicles for the transport of persons on earth, air or sea, as well as their accessories; in the case of new vehicles, if the sales prices exceeds EUR 25 000; in the case of used vehicles, if the sales price exceeds EUR 15 000

    CN Codes: ex 8603, ex 8605 00 00, ex 8702, ex 8703, ex 8711, ex 8712 00, ex 8716 10, ex 8716 40 00, ex 8716 80 00, ex 8716 90, ex 8801 00, ex 8802 11 00, ex 8802 12 00, ex 8802 20 00, ex 8802 30 00, ex 8802 40 00, ex 8805 10, ex 8901 10, ex 8903

15. Clocks and watches and their parts if the individual item exceeds a sales price of EUR 500

    CN Codes: ex 9101, ex 9102, ex 9103, ex 9104, ex 9105, ex 9108, ex 9109, ex 9110, ex 9111, ex 9112, ex 9113, ex 9114

16. Works of art, collectors' pieces and antiques

    CN Codes: 97

17. Articles and equipment for skiing, golf and water sports, if the individual item exceeds a sales price of EUR 500

    CN Codes: ex 4015 19 00, ex 4015 90 00, ex 6112 20 00, ex 6112 31, ex 6112 39, ex 6112 41, ex 6112 49, ex 6113 00, ex 6114, ex 6210 20 00, ex 6210 30 00, ex 6210 40 00, ex 6210 50 00, ex 6211 11 00, ex 6211 12 00, ex 6211 20, ex 6211 32 90, ex 6211 33 90, ex 6211 39 00, ex 6211 42 90, ex 6211 43 90, ex 6211 49 00, ex 6402 12, ex 6403 12 00, ex 6404 11 00, ex 6404 19 90, ex 9004 90, ex 9020, ex 9506 11, ex 9506 12, ex 9506 19 00, ex 9506 21 00, ex 9506 29 00, ex 9506 31 00, ex 9506 32 00, ex 9506 39, ex 9507

18. Articles and equipment for billiard, automatic bowling, casino games and games operated by coins or banknotes, if the individual item exceeds a sales price of EUR 500

    CN Codes: ex 9504 20, ex 9504 30, ex 9504 40 00, ex 9504 90 80

▼**M17**

ANNEX XI

List of categories of goods referred to in Article 11c

ex CN code	Product description
9705 00 00	1. Archaeological objects more than 100 years old which are the products of:
9706 00 00	— excavations and finds on land or under water
	— archaeological sites
	— archaeological collections
9705 00 00 9706 00 00	2. Elements forming an integral part of artistic, historical or religious monuments which have been dismembered, of an age exceeding 100 years
9701	3. Pictures and paintings, other than those included in category 4 or 5, executed entirely by hand in any medium and on any material (1)
9701	4. Water-colours, gouaches and pastels executed entirely by hand on any material (1)
6914 9701	5. Mosaics in any material executed entirely by hand, other than those falling in category 1 or 2, and drawings in any medium executed entirely by hand on any material (1)
Chapter 49 9702 00 00 8442 50 80	6. Original engravings, prints, serigraphs and lithographs with their respective plates and original posters (1)
9703 00 00	7. Original sculptures or statuary and copies produced by the same process as the original (1) other than those in category 1
3704 3705 3706 4911 91 00	8. Photographs, films and negatives thereof (1)
9702 00 00 9706 00 00 4901 10 00 4901 99 00 4904 00 00 4905 91 00 4905 99 00 4906 00 00	9. Incunabula and manuscripts, including maps and musical scores, singly or in collections (1)
9705 00 00 9706 00 00	10. Books more than 100 years old, singly or in collections

▼**M17**

ex CN code	Product description
9706 00 00	11. Printed maps more than 200 years old
3704 3705 3706 4901 4906 9705 00 00 9706 00 00	12. Archives, and any elements thereof, of any kind or any medium which are more than 50 years old
9705 00 00	13. (a) Collections [2] and specimens from zoological, botanical, mineralogical or anatomical collections;
9705 00 00	(b) Collections [2] of historical, palaeontological, ethnographic or numismatic interest
9705 00 00 Chapters 86-89	14. Means of transport more than 75 years old
	15. Any other antique items not included in categories 1 to 14
	(a) between 50 and 100 years old:
Chapter 95	— toys, games
7013	— glassware
7114	— articles of goldsmiths' or silversmiths' wares
Chapter 94	— furniture
Chapter 90	— optical, photographic or cinematographic apparatus
Chapter 92	— musical instruments
Chapter 91	— clocks and watches and parts thereof
Chapter 44	— articles of wood
Chapter 69	— pottery
5805 00 00	— tapestries
Chapter 57	— carpets
4814	— wallpaper
Chapter 93	— arms
9706 00 00	(b) more than 100 years old.

(1) Which are more than 50 years old and do not belong to their originators.

(2) As defined by the Court of Justice in its judgment in Case 252/84 as follows: 'Collectors' pieces within the meaning of heading No 97.05 of the Common Customs Tariff are articles which possess the requisite characteristics for inclusion in a collection, that is to say, articles which are relatively rare, are not normally used for their original purpose, are the subject of special transactions outside the normal trade in similar utility articles and are of high value.