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STATUTORY INSTRUMENTS

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**2019 No. 855**

**The Russia (Sanctions) (EU Exit) Regulations 2019**

**PART 7 U.K.**

Exceptions and licences

**Asset-freeze etc.: exceptions from prohibitions U.K.**

**58.**—(1) The prohibition in regulation 11 (asset-freeze in relation to designated persons) is not contravened by an independent person (“P”) transferring to another person a legal or equitable interest in funds or economic resources where, immediately before the transfer, the interest—

- (a) is held by P, and
- (b) is not held jointly with the designated person.

(2) In paragraph (1) “independent person” means a person who—

- (a) is not the designated person, and
- (b) is not owned or controlled directly or indirectly (within the meaning of regulation 7) by the designated person.

(3) The prohibitions in regulations 11 to 13 (asset-freeze in relation to, and making funds available to or for the benefit of, designated persons) are not contravened by a relevant institution crediting a frozen account with interest or other earnings due on the account.

(4) The prohibitions in regulations 12 and 13 (making funds available to, or for the benefit of, designated persons) are not contravened by a relevant institution crediting a frozen account where it receives funds transferred to that institution for crediting to that account.

(5) The prohibitions in regulations 12 and 13 are not contravened by the transfer of funds to a relevant institution for crediting to an account held or controlled (directly or indirectly) by a designated person, where those funds are transferred in discharge (or partial discharge) of an obligation which arose before the date on which the person became a designated person.

(6) The prohibitions in regulations 11 to 13 are not contravened in relation to a designated person (“P”) by a transfer of funds from account A to account B, where—

- (a) account A is with a relevant institution which carries on an excluded activity within the meaning of section 142D of the Financial Services and Markets Act 2000 <sup>M1</sup>,
- (b) account B is with a ring-fenced body within the meaning of section 142A of the Financial Services and Markets Act 2000 <sup>M2</sup>, and
- (c) accounts A and B are held or controlled (directly or indirectly) by P.

(7) In this regulation—

“designated person” has the same meaning as it has in Chapter 1 Part 3 (Finance);

“frozen account” means an account with a relevant institution which is held or controlled (directly or indirectly) by a designated person;

“relevant institution” means a person that has permission under Part 4A of the Financial Services and Markets Act 2000<sup>M3</sup> (permission to carry on regulated activity).

(8) The definition of “relevant institution” in paragraph (7) is to be read with section 22 of the Financial Services and Markets Act 2000<sup>M4</sup>, any relevant order under that section<sup>M5</sup> and Schedule 2 to that Act<sup>M6</sup>.

#### Commencement Information

**I1** Reg. 58 in force at 31.12.2020 on IP completion day (in accordance with 2020 c. 1, **Sch. 5 para. 1(1)**), see reg. 1(2)

#### Marginal Citations

- M1** 2000 c.8. Section 142D was inserted by section 4(1) of the **Financial Services (Banking Reform) Act 2013 (c.33)**.
- M2** Section 142A was inserted by section 4(1) of the **Financial Services (Banking Reform) Act 2013 (c.33)**.
- M3** Part 4A was inserted by the **Financial Services Act 2012 (c.21)**, **section 11(2)** and amended by **S.I. 2018/135**.
- M4** Section 22 was amended by; the **Financial Guidance and Claims Act 2018 (c.10)**, **Part 2**, s.27(4); the **Financial Services Act 2012**, section 7(1); and **S.I. 2018/135**.
- M5** **S.I. 2001/544**, as amended by **S.I. 2017/500**.
- M6** Schedule 2 was amended by; the **Dormant Bank and Building Society Accounts Act 2008 (c.31)**, **section 15**, **Schedule 2**, para. 1; the **Regulation of Financial Services (Land Transactions) Act 2003 (c.24)**, **section 1**; the **Financial Services Act 2012**, section 7(2) to (5) and section 8; **S.I. 2013/1881**; and it is prospectively amended by **S.I. 2018/135**.

### Exceptions relating to loans and credit arrangements **U.K.**

**59.**—(1) The prohibitions in regulation 17 (loans and credit arrangements) are not contravened by the grant of—

<sup>F1</sup>(a) . . . . .

(b) a relevant loan that has a specific and documented objective of making emergency funds available to meet applicable solvency or liquidity criteria for a relevant subsidiary;

<sup>F2</sup>(c) a relevant loan consisting of a drawdown or disbursement made under an arrangement entered into before—

(i) in the case of a category 1 loan, 15th September 2014;

(ii) in the case of a category 2 loan, a category 3 loan or a category 4 loan, 1st March 2022;

<sup>F3</sup>(iii) in the case of a category 5 loan, [<sup>F4</sup>29th October 2022;]

<sup>F5</sup>(iv) in the case of a category 6 loan, 16th December 2022;]

where the conditions in paragraph (2) are met.]

(2) The conditions referred to in paragraph (1)(c) are that—

(a) all the terms and conditions of such drawdowns or disbursements—

<sup>F6</sup>(i) were agreed before—

(aa) in the case of a category 1 loan, 15th September 2014;

(bb) in the case of a category 2 loan, a category 3 loan or a category 4 loan, 1st March 2022;]

- [<sup>F7</sup>(cc) in the case of a category 5 loan, [<sup>F8</sup>29th October 2022];]  
[<sup>F9</sup>(dd) in the case of a category 6 loan, 16th December 2022;]
- (ii) have not been modified on or after that date; and
- (b) a contractual maturity date has been fixed for the repayment in full of all funds made available and for the cancellation of all the rights and obligations under the arrangement.
- (3) In this regulation—
- <sup>F10</sup> ...
- [<sup>F11</sup>“category 1 loan” has the meaning given to it in regulation 17;  
“category 2 loan” has the meaning given to it in regulation 17;  
“category 3 loan” has the meaning given to it in regulation 17;  
“category 4 loan” has the meaning given to it in regulation 17;]  
[<sup>F12</sup>“category 5 loan” has the meaning given to it in regulation 17;]  
[<sup>F13</sup>“category 6 loan” has the meaning given to it in regulation 17;]
- <sup>F14</sup> ...
- <sup>F15</sup> ...
- “relevant loan” has the meaning given to it in regulation 17;  
“relevant subsidiary” means a person, other than an individual, which is—
- (a) incorporated or constituted under the law of any part of the United Kingdom, and
- (b) [<sup>F16</sup>owned (within the meaning of regulation 16(7)) by a person, other than an individual, that is connected with Russia.]

#### Textual Amendments

- F1** Reg. 59(1)(a) omitted (1.3.2022) by virtue of The Russia (Sanctions) (EU Exit) (Amendment) (No. 2) Regulations 2022 (S.I. 2022/194), regs. 1(2), **9(a)(i)**
- F2** Reg. 59(1)(c) substituted (1.3.2022) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 2) Regulations 2022 (S.I. 2022/194), regs. 1(2), **9(a)(ii)**
- F3** Reg. 59(1)(c)(iii) inserted (29.10.2022) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 15) Regulations 2022 (S.I. 2022/1110), regs. 1(2)(b), **7(2)**
- F4** Words in reg. 59(1)(c)(iii) substituted (16.12.2022) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 17) Regulations 2022 (S.I. 2022/1331), regs. 1(2)(b), **11(a)**
- F5** Reg. 59(1)(c)(iv) inserted (16.12.2022) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 17) Regulations 2022 (S.I. 2022/1331), regs. 1(2)(b), **11(b)**
- F6** Reg. 59(2)(a)(i) substituted (1.3.2022) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 2) Regulations 2022 (S.I. 2022/194), regs. 1(2), **9(b)**
- F7** Reg. 59(2)(a)(i)(cc) inserted (29.10.2022) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 15) Regulations 2022 (S.I. 2022/1110), regs. 1(2)(b), **7(3)**
- F8** Words in reg. 59(2)(a)(i)(cc) substituted (16.12.2022) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 17) Regulations 2022 (S.I. 2022/1331), regs. 1(2)(b), **11(c)**
- F9** Reg. 59(2)(a)(i)(dd) inserted (16.12.2022) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 17) Regulations 2022 (S.I. 2022/1331), regs. 1(2)(b), **11(d)**
- F10** Words in reg. 59(3) omitted (16.12.2022) by virtue of The Russia (Sanctions) (EU Exit) (Amendment) (No. 17) Regulations 2022 (S.I. 2022/1331), regs. 1(2)(b), **11(e)(i)**
- F11** Words in reg. 59(3) inserted (1.3.2022) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 2) Regulations 2022 (S.I. 2022/194), regs. 1(2), **9(c)(i)**

- F12** Words in reg. 59(3) inserted (29.10.2022) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 15) Regulations 2022 (S.I. 2022/1110), regs. 1(2)(b), **7(4)(b)**
- F13** Words in reg. 59(3) inserted (16.12.2022) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 17) Regulations 2022 (S.I. 2022/1331), regs. 1(2)(b), **11(e)(ii)**
- F14** Words in reg. 59(3) omitted (1.3.2022) by virtue of The Russia (Sanctions) (EU Exit) (Amendment) (No. 2) Regulations 2022 (S.I. 2022/194), regs. 1(2), **9(c)(ii)**
- F15** Words in reg. 59(3) omitted (30.3.2022 at 5.00 p.m.) by virtue of The Russia (Sanctions) (EU Exit) (Amendment) (No. 7) Regulations 2022 (S.I. 2022/395), regs. 1(2), **22**
- F16** Words in reg. 59(3) substituted (1.3.2022) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 2) Regulations 2022 (S.I. 2022/194), regs. 1(2), **9(c)(iii)**

#### Commencement Information

- I2** Reg. 59 in force at 31.12.2020 on IP completion day (in accordance with 2020 c. 1, **Sch. 5 para. 1(1)**), see reg. 1(2)

#### [<sup>F17</sup>[<sup>F18</sup>Exceptions relating to processing payments] **U.K.**

##### 59A.—[

<sup>F19</sup>(1)] The prohibition in regulation 17A(2) (processing <sup>F20</sup>... payments) does not apply to the processing of a <sup>F20</sup>... payment for any fee or charge required to permit an aircraft to overfly, land in or take off from Russia.

[

<sup>F21</sup>(2) The prohibition in regulation 17A(2) is not contravened by a transfer (or, if necessary, more than one transfer) of funds by C from account A to account B where—

- (a) neither account A nor account B are held in the name of a customer of C; and
- (b) both account A and account B are held within the United Kingdom; and
- (c) the transfer (or transfers) from account A to account B is (or are) carried out for the purpose of compliance with regulation 17A(2).]]

#### Textual Amendments

- F17** Reg. 59A inserted (1.3.2022) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 2) Regulations 2022 (S.I. 2022/194), regs. 1(2), **10**
- F18** Reg. 59A heading substituted (15.12.2023) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 4) Regulations 2023 (S.I. 2023/1364), regs. 1(3), **8(2)**
- F19** Reg. 59A renumbered as reg. 59A(1) (15.12.2023) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 4) Regulations 2023 (S.I. 2023/1364), regs. 1(3), **8(3)**
- F20** Word in reg. 59A(1) omitted (15.12.2023) by virtue of The Russia (Sanctions) (EU Exit) (Amendment) (No. 4) Regulations 2023 (S.I. 2023/1364), regs. 1(3), **8(4)**
- F21** Reg. 59A(2) inserted (15.12.2023) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 4) Regulations 2023 (S.I. 2023/1364), regs. 1(3), **8(5)**

#### Exceptions relating to investments in relation to [<sup>F22</sup>non-government controlled Ukrainian territory] **U.K.**

**60.**—(1) The prohibitions in [<sup>F23</sup>regulation 18 (investments in relation to non-government controlled Ukrainian territory)] are not contravened by any act done by a person (“P”) in satisfaction of an obligation of P arising under a contract concluded before [<sup>F24</sup>the relevant date], or an ancillary

contract necessary for the satisfaction of such a contract, provided that P has notified the Treasury no later than the day five working days before the day on which the act is carried out.

(2) The prohibitions in regulation 18 are not contravened by activities carried on by a person with entities outside [<sup>F25</sup>non-government controlled Ukrainian territory] where the related investment is not destined for an entity in [<sup>F25</sup>non-government controlled Ukrainian territory].

[<sup>F26</sup>(3) In this regulation, “the relevant date” means—

- (a) in the case of investments in relation to Crimea, 20th December 2014;
- (b) in the case of investments in relation to non-government controlled areas of the Donetsk and Luhansk oblasts, 23rd February 2022.

[ in the case of investments in relation to non-government controlled areas of the Kherson<sup>F27</sup>(c) and Zaporizhzhia oblasts, 20th June 2023.]]

#### Textual Amendments

- F22** Words in reg. 60 heading substituted (30.3.2022 at 5.00 p.m.) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 7) Regulations 2022 (S.I. 2022/395), regs. 1(2), **23(a)**
- F23** Words in reg. 60(1) substituted (30.3.2022 at 5.00 p.m.) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 7) Regulations 2022 (S.I. 2022/395), regs. 1(2), **23(b)(i)**
- F24** Words in reg. 60(1) substituted (30.3.2022 at 5.00 p.m.) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 7) Regulations 2022 (S.I. 2022/395), regs. 1(2), **23(b)(ii)**
- F25** Words in reg. 60(2) substituted (30.3.2022 at 5.00 p.m.) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 7) Regulations 2022 (S.I. 2022/395), regs. 1(2), **23(c)**
- F26** Reg. 60(3) inserted (30.3.2022 at 5.00 p.m.) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 7) Regulations 2022 (S.I. 2022/395), regs. 1(2), **23(d)**
- F27** Reg. 60(3)(c) inserted (20.6.2023) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 2) Regulations 2023 (S.I. 2023/665), regs. 1(2), **9**

#### Commencement Information

- I3** Reg. 60 in force at 31.12.2020 on IP completion day (in accordance with 2020 c. 1, **Sch. 5 para. 1(1)**), see reg. 1(2)

#### [<sup>F28</sup>Exceptions relating to investments in relation to Russia **U.K.**

**60ZZA.**—(1) The prohibitions in regulation 18B (investments in relation to Russia) are not contravened by any act done by a person (“P”) in satisfaction of an obligation of P arising under a [<sup>F29</sup>contract—

- (a) concluded before 16th December 2022, in the case of a relevant activity, or
- (b) concluded before 19th July 2022, in any other case,]

or an ancillary contract necessary for the satisfaction of such a contract, provided that P has notified the Treasury no later than the day five working days before the day on which the act is carried out.

(2) The prohibitions in regulation 18B are not contravened by a person dealing, directly or indirectly, with—

- (a) a transferable security where such dealing is prohibited by regulation 16;
- (b) a relevant security issued by a person connected with Russia; or
- (c) a relevant security issued by a relevant entity.

(3) In this regulation—

“dealing with” a relevant security issued by a person connected with Russia or by a relevant entity includes a reference to purchasing or selling the security, providing investment services relating to the security or assisting in the issuance of the security;

[<sup>F30</sup>“person connected with Russia” is to be construed in accordance with regulation 19A(2);

“relevant activity” means directly or indirectly acquiring any ownership interest in or control over a person, other than an individual, which is not a person connected with Russia, for the purpose of making funds or economic resources available—

- (a) directly or indirectly to a person connected with Russia, or
- (b) for the benefit of a person connected with Russia;]

“relevant entity” shall have the same meaning as it has in regulation 18B (investments in relation to Russia);

“relevant security issued by a person connected with Russia” means a security issued by—

- (a) a person connected with Russia;
- (b) a person, other than an individual, which is owned by a person falling within sub-paragraph (a); or
- (c) a person, other than an individual, acting on behalf or at the direction of a person within sub-paragraph (a) or sub-paragraph (b);

which—

- (d) is negotiable on the capital market;
- (e) is of any of the following kinds, but excluding instruments of payment—
  - (i) shares in companies and other securities equivalent to shares in companies, partnerships or other entities, and depositary receipts in respect of shares;
  - (ii) bonds or other forms of securitised debt, including depositary receipts in respect of such securities;
  - (iii) any other securities giving the right to purchase or sell any security of a kind mentioned in paragraph (i) or (ii); and
- (f) was admitted to trading on a regulated market or multilateral trading facility prior to [<sup>F31</sup>19th July 2022];

[<sup>F32</sup>“relevant security issued by a relevant entity” means a security issued by a relevant entity for the purpose of an activity not prohibited by regulation 18B which—

- (a) is negotiable on the capital market, and
- (b) is of any of the following kinds but excluding instruments of payment—
  - (i) shares in companies and other securities equivalent to shares in companies, partnerships or other entities, and depositary receipts in respect of shares;
  - (ii) bonds or other forms of securitised debt, including depositary receipts in respect of such securities;
  - (iii) any other securities giving the right to purchase or sell any security of a kind mentioned in sub-paragraph (i) or (ii);]

<sup>F33</sup> ...

“transferable security” has the same meaning as it has in regulation 16 (dealing with transferable securities or money-market instruments).]

### Textual Amendments

- F28** Reg. 60ZZA inserted (19.7.2022) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 12) Regulations 2022 (S.I. 2022/801), regs. 1(2), **6**
- F29** Reg. 60ZZA(1)(a)(b) substituted for words in reg. 60ZZA(1) (16.12.2022) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 17) Regulations 2022 (S.I. 2022/1331), regs. 1(2)(b), **12(a)**
- F30** Words in reg. 60ZZA(3) inserted (16.12.2022) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 17) Regulations 2022 (S.I. 2022/1331), regs. 1(2)(b), **12(b)(i)**
- F31** Words in reg. 60ZZA(3) substituted (16.12.2022) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 17) Regulations 2022 (S.I. 2022/1331), regs. 1(2)(b), **12(b)(ii)**
- F32** Words in reg. 60ZZA(3) substituted (16.12.2022) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 17) Regulations 2022 (S.I. 2022/1331), regs. 1(2)(b), **12(b)(iii)**
- F33** Words in reg. 60ZZA(3) omitted (16.12.2022) by virtue of The Russia (Sanctions) (EU Exit) (Amendment) (No. 17) Regulations 2022 (S.I. 2022/1331), regs. 1(2)(b), **12(b)(iv)**

### [<sup>F34</sup>Exceptions relating to trust services **U.K.**

**60ZZB.**—(1) The prohibitions in regulation 18C (trust services) are not contravened by any act done by a person (“P”)—

- (a) in satisfaction of an obligation in respect of the provision of trust services by P to or for the benefit of—
  - (i) a designated person, or
  - (ii) a person connected with Russia,where those services are provided in relation to the discharge of or compliance with UK statutory or regulatory obligations;
- (b) for the purposes of complying with the prohibitions and obligations in Chapter 1 of Part 3 (asset freeze etc.);
- (c) in connection with transferable securities or money-market instruments where dealing with such securities or instruments is not prohibited by regulation 16 or 18B.

(2) The prohibitions in regulation 18C are not contravened by the provision of the following trust services where the condition in paragraph (3) is met—

- (a) trust services provided to a community amateur sports club registered as such with His Majesty’s Revenue and Customs;
- (b) trust services provided to a trust for charitable services which—
  - (i) in Scotland or Northern Ireland, is registered as a charity, or
  - (ii) in England and Wales, is registered as a charity or is not required to register by virtue of section 30(2) of the Charities Act 2011 (charities required to be registered: general);
- (c) trust services provided to a pension scheme that is a registered pension scheme under Chapter 2 of Part 4 of the Finance Act 2004 (registration of pension schemes);
- (d) trust services for the purposes of a trust—
  - (i) created under, or for the purpose of, the default arrangements of a designated system or the default rules of a recognised body, or for the purpose of any action or proceedings taken by, or for, such a system or body under such arrangements or rules;
  - (ii) relating to the creation of a beneficial interest in securities belonging to a person whose name and address are maintained on a register of securities;

- (iii) created by, or for, a segregating entity for the purpose of—
    - (aa) protecting funds or economic resources belonging to the segregating entity’s clients, or
    - (bb) complying with a legal obligation to safeguard and segregate funds or economic resources belonging to the segregating entity’s clients or to keep separate client records and accounts;
  - (e) trust services provided by the operator or trustee of an authorised unit trust scheme in relation to that scheme;
  - (f) trust services provided in the course of, or in connection with, carrying on by way of business the activity specified in the following articles of the Financial Services and Markets Act 2000 (Regulated Activities) Order 2001—
    - (i) article 40 (safeguarding and administering investments),
    - (ii) article 51ZB (acting as trustee or depositary of a UK UCITS), or
    - (iii) article 51ZD (acting as trustee or depositary of an AIF),
 except in so far as the activity relates to an unauthorised unit trust scheme;
  - (g) trust services provided in the course of, or in connection with, the acting by way of business as an agent holding funds, economic resources or documents in escrow until the performance of a contractual condition agreed between two or more other persons, including the person for whom the funds, economic resources or documents are being held.
- (3) The condition in this paragraph is that the trust services are not provided primarily to, or for the benefit of, a designated person or a person connected with Russia.
- (4) Where the condition in paragraph (5) is met, the prohibitions in regulation 18C are not contravened by the provision of trust services for making funds and economic resources available to or for the benefit of—
- (a) a person under the age of 18,
  - (b) a person who lacks capacity within the meaning of section 2 of the Mental Capacity Act 2005 (people who lack capacity),
  - (c) a person who is incapable within the meaning of section 1 of the Adults with Incapacity (Scotland) Act 2000 (general principles and fundamental definitions), or
  - (d) a person who is incapable of managing and administering their property and affairs, by reason of mental disorder within the meaning of article 3(1) of the Mental Health (Northern Ireland) Order 1986 (definition of “mental disorder” and related expressions).
- (5) The condition in this paragraph is that the trust services are not provided primarily to, or for the benefit of, a designated person.
- (6) In this regulation, whether trust services are provided for the benefit of a person is to be construed in accordance with regulation 18C.
- (7) In this regulation—
- “FSMA” means the Financial Services and Markets Act 2000;
  - “the 1999 Regulations” means the Financial Markets and Insolvency (Settlement Finality) Regulations 1999;
  - “authorised unit trust scheme” has the meaning given in section 237 of FSMA (other definitions);
  - “clearing member” has the meaning given in section 190(1) of the Companies Act 1989 (minor definitions);



“community amateur sports club” has the meaning given in section 658 of the Corporation Tax Act 2010 (meaning of “community amateur sports club” and “registered club”);

“default arrangements” has the meaning given in regulation 2(1) of the 1999 Regulations (interpretation);

“default rules” has the meaning given in section 188 of the Companies Act 1989 (meaning of “default rules” and related expressions);

“designated person” has the meaning given in regulation 18C(7);

“designated system” has the meaning given in regulation 2(1) of the 1999 Regulations;

“the operator” has the meaning given in section 237 of FSMA;

“participant” has the meaning given in regulation 2(1) of the 1999 Regulations;

“person connected with Russia” is to be construed in accordance with regulation 19A(2);

“recognised body” has the meaning given in section 313 of FSMA (interpretation of Part XVIII);

“recognised central counterparty” has the meaning given in section 313 of FSMA;

“register of securities” has the meaning given in regulation 3(1) of the Uncertificated Securities Regulations 2001 (interpretation);

“segregating entity” means—

- a clearing member of a recognised central counterparty,
- a participant in a designated system,
- a designated system, or
- a recognised body;

“trustee” has the meaning given in section 237 of FSMA;

“trust services” has the meaning given in regulation 18C(7);

“unauthorised unit trust scheme” means a “unit trust scheme” within section 237(1) of FSMA that is not an authorised unit trust scheme.]

#### Textual Amendments

**F34** Reg. 60ZZB inserted (16.12.2022) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 17\) Regulations 2022 \(S.I. 2022/1331\)](#), regs. 1(2)(b), **13**

#### [<sup>F35</sup>Trade: exceptions relating to non-government controlled areas of the Donetsk and Luhansk oblasts **U.K.**

**60ZA.**—(1) Paragraphs (2) to (5) only apply in the case of trade relating to non-government controlled areas of the Donetsk and Luhansk oblasts.

(2) A prohibition in regulation 47 (imports from non-government controlled Ukrainian territory) or regulation 52(3)(a) (financial services and funds in relation to imports from non-government controlled Ukrainian territory) is not contravened by any act done by a person (“P”) in satisfaction of an obligation of P arising under a contract concluded before 23rd February 2022, or an ancillary contract necessary for the satisfaction of such a contract, provided that—

- the act is carried out before 24th May 2022, and
- P has notified the Secretary of State no later than the day 10 working days before the day on which the act is carried out.

(3) A prohibition in [<sup>F36</sup>Chapter 2 of Part 5 in so far as it is applied to non-government controlled Ukrainian territory by regulation 53A or Chapter 2A of Part 5 (goods and technology relating to non-government controlled Ukrainian territory),] regulation 48 to 51, 52(1), (2) or (3)(b) to (e), or 53 (trade in relation to non-government controlled Ukrainian territory) is not contravened by any act done by a person (“P”) in satisfaction of an obligation of P arising under a contract concluded before 23rd February 2022, or an ancillary contract necessary for the satisfaction of such a contract, provided that—

- (a) the act is carried out before 24th August 2022, and
- (b) P has notified the Secretary of State no later than the day five working days before the day on which the act is carried out.

(4) A prohibition in [<sup>F36</sup>Chapter 2 of Part 5 in so far as it is applied to non-government controlled Ukrainian territory by regulation 53A or Chapter 2A of Part 5 (goods and technology relating to non-government controlled Ukrainian territory),] regulation 54(1)(a) (prohibition on infrastructure-related services relating to non-government controlled Ukrainian territory) is not contravened by any act done by a person in satisfaction of an obligation of that person arising under a contract concluded before 23rd February 2022, or an ancillary contract necessary for the satisfaction of such a contract, provided that the act is carried out before 24th August 2022.

(5) A prohibition in [<sup>F36</sup>Chapter 2 of Part 5 in so far as it is applied to non-government controlled Ukrainian territory by regulation 53A or Chapter 2A of Part 5 (goods and technology relating to non-government controlled Ukrainian territory),] regulation 54(1)(b) (prohibition on tourism services relating to non-government controlled Ukrainian territory) is not contravened by any act done by a person (“P”) in satisfaction of an obligation of P arising under a contract concluded before 23rd February 2022, or an ancillary contract necessary for the satisfaction of such a contract, provided that—

- (a) the act is carried out before 24th August 2022, and
- (b) P has notified the Secretary of State no later than the day five working days before the day on which the act is carried out.]

#### Textual Amendments

- F35** Reg. 60ZA inserted (30.3.2022 at 5.00 p.m.) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 7\) Regulations 2022 \(S.I. 2022/395\)](#), regs. 1(2), **24**
- F36** Words in [reg. 60ZA\(3\)-\(5\)](#) inserted (15.7.2022) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 11\) Regulations 2022 \(S.I. 2022/792\)](#), regs. 1(2), **10(2)** (with reg. 13)

#### [<sup>F37</sup>Trade: exceptions in relation to personal effects etc. **U.K.**

**60A.**—(1) The prohibitions in regulations 22 (export of restricted goods), 24(1)(a) (supply and delivery of restricted goods), 25(1)(a) and (b) (making restricted goods and restricted technology available), 26(1)(a) and (b) (transfer of restricted technology), and 27 to 29 (technical assistance, financial services etc. and brokering services) are not contravened by a relevant activity in relation to any critical-industry goods [<sup>F38</sup>, critical-industry technology, quantum computing and advanced materials goods or quantum computing and advanced materials technology] which are—

- (a) the personal effects of a person travelling to Russia,
- (b) of a non-commercial nature for the personal use of a person travelling to Russia and contained in that person’s luggage, or
- (c) necessary for the official purposes of a diplomatic mission or consular post in Russia, or of an international organisation enjoying immunities in accordance with international law.

[  
F<sup>39</sup>(1A) The prohibitions in regulation 46B (luxury goods) are not contravened by a relevant activity in relation to—

- (a) any luxury goods which are necessary for the official purposes of a diplomatic mission or consular post in Russia, or of an international organisation enjoying immunities in accordance with international law, or
- (b) the personal effects of their staff.]

[  
F<sup>40</sup>(1AA) The prohibitions in regulation 46B are not contravened where—

- (a) the luxury goods are [F<sup>41</sup>jewellery coming within commodity codes 7113 00 00 and 7114 00 00];
- (b) the relevant activity is the export of those goods to Russia by a person who is travelling to Russia (“P”);
- (c) the jewellery is—
  - (i) of a non-commercial nature;
  - (ii) for the personal use of P or of any immediate family member of P who is travelling with P (“P”); and
  - (iii) contained in P or I’s luggage;
- (d) the F<sup>42</sup>... jewellery is owned by any of the persons referred to in sub-paragraph (c)(ii); and
- (e) the jewellery is not intended for sale.]

[  
F<sup>43</sup>(1AAA) Paragraph 1 of Schedule 3 applies for the purpose of interpreting the commodity codes specified in paragraph (1AA)(a).]

[  
F<sup>44</sup>(1AB) The prohibitions in regulation 46XC (acquisition of Schedule 3DA revenue generating goods) are not contravened by a relevant activity in relation to any such goods necessary for the functions of a diplomatic mission or consular post of the United Kingdom in Russia.]

[  
F<sup>45</sup>(1B) The prohibitions in Chapter 4H ([F<sup>46</sup>G7 dependency and further goods]) are not contravened by a relevant activity in relation to—

- (a) any [F<sup>46</sup>G7 dependency and further goods] which are necessary for the official purposes of a diplomatic mission or consular post in Russia, or an international organisation enjoying immunities in accordance with international law, or
- (b) the personal effects of their staff.]

[F<sup>47</sup>(1C) The prohibitions in Chapters 4J (gold) and 4JA (gold jewellery and relevant processed gold) are not contravened by a relevant activity in relation to any gold, gold jewellery or relevant processed gold which is necessary for the official purposes of a diplomatic mission or consular post in Russia, or an international organisation enjoying immunities in accordance with international law.]

[  
F<sup>48</sup>(1D) The prohibitions in [F<sup>49</sup>Chapters 4JA and 4JB] are not contravened where—

- (a) the relevant activity is the import or acquisition of gold jewellery [F<sup>50</sup>or diamond jewellery] by a person who is travelling to the United Kingdom (“P”);
- (b) the gold jewellery [F<sup>50</sup>or diamond jewellery] is—
  - (i) of a non-commercial nature;

- (ii) for the personal use of P or of any immediate family member of P who is travelling with P (“P”); and
  - (iii) contained in P or I’s luggage;
  - (c) the gold jewellery [<sup>F50</sup>or diamond jewellery] is owned by any of the persons referred to in sub-paragraph (b)(ii); and
  - (d) the gold jewellery [<sup>F50</sup>or diamond jewellery] is not intended for sale.
- (1E) The prohibitions in Chapter 4M (Russia’s vulnerable goods) are not contravened by a relevant activity in relation to—
- (a) any Russia’s vulnerable goods which are necessary for the official purposes of a diplomatic mission or consular post in Russia, or an international organisation enjoying immunities in accordance with international law, or
  - (b) the personal effects of their staff.]
- (2) For the purposes of [<sup>F51</sup>this regulation]—
- “consular post” has the same meaning as in the Vienna Convention on Consular Relations done at Vienna on 24 April 1963, and any reference to the functions of a consular post is to be read in accordance with that Convention;
- “critical-industry goods” has the meaning given in regulation 21 (interpretation of Part 5);
- “critical-industry technology” has the meaning given in regulation 21 (interpretation of Part 5);
- [<sup>F52</sup>“diamond jewellery” has the meaning given in regulation 46Z16J (interpretation of Chapter 4JB);]
- “diplomatic mission”, and any reference to the functions of a diplomatic mission, is to be read in accordance with the Vienna Convention on Diplomatic Relations done at Vienna on 18 April 1961;
- [<sup>F53</sup>“<sup>F54</sup>G7 dependency and further goods” has the meaning given in regulation 21 (interpretation of Part 5);]
- [<sup>F55</sup>“Gold” and “gold jewellery” have the meanings] in regulation 21 (interpretation of Part 5);]
- [<sup>F56</sup>“immediate family member” has the meaning given in regulation 6(7);]
- [<sup>F57</sup>“luxury goods” has the meaning given in regulation 21 (interpretation of Part 5);]
- [<sup>F57</sup>“quantum computing and advanced materials goods” has the meaning given in regulation 21 (interpretation of Part 5);]
- [<sup>F57</sup>“quantum computing and advanced materials technology” has the meaning given in regulation 21 (interpretation of Part 5);]
- “relevant activity” means any activity which would, in the absence of this regulation, contravene [<sup>F58</sup>the prohibition specified in the paragraph of this regulation to which the exception applies].
- [<sup>F56</sup>“relevant processed gold” has the meaning given in regulation 46Z16A;]

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### Textual Amendments

- F37** Regs. 60A-60C inserted (1.3.2022) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 3\) Regulations 2022 \(S.I. 2022/195\)](#), regs. 1(2), **6** (with reg. 11)
- F38** Words in reg. 60A(1) substituted (14.4.2022 at 5.00 p.m.) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 8\) Regulations 2022 \(S.I. 2022/452\)](#), regs. 1(2), **5(a)**

- F39** Reg. 60A(1A) inserted (14.4.2022 at 5.00 p.m.) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 8) Regulations 2022 (S.I. 2022/452), regs. 1(2), **5(b)**
- F40** Reg. 60A(1AA) inserted (29.10.2022) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 15) Regulations 2022 (S.I. 2022/1110), regs. 1(2)(b), **8(2)**
- F41** Words in reg. 60A(1AA)(a) substituted (15.12.2023) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 4) Regulations 2023 (S.I. 2023/1364), regs. 1(3), **9(2)(a)**
- F42** Word in reg. 60A(1AA)(d) omitted (15.12.2023) by virtue of The Russia (Sanctions) (EU Exit) (Amendment) (No. 4) Regulations 2023 (S.I. 2023/1364), regs. 1(3), **9(2)(b)**
- F43** Reg. 60A(1AAA) inserted (15.12.2023) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 4) Regulations 2023 (S.I. 2023/1364), regs. 1(3), **9(3)**
- F44** Reg. 60A(1AB) inserted (21.4.2023) by The Russia (Sanctions) (EU Exit) (Amendment) Regulations 2023 (S.I. 2023/440), regs. 1(2), **9**
- F45** Reg. 60A(1B)(1C) inserted (21.7.2022) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 14) Regulations 2022 (S.I. 2022/850), regs. 1(2), **16(a)**
- F46** Words in reg. 60A(1B) substituted (29.10.2022) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 15) Regulations 2022 (S.I. 2022/1110), reg. 1(2)(b), **Sch. 3 para. 10(1)(2)(f)**
- F47** Reg. 60A(1C) substituted (29.10.2022) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 15) Regulations 2022 (S.I. 2022/1110), regs. 1(2)(b), **8(3)**
- F48** Reg. 60A(1D)(1E) inserted (29.10.2022) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 15) Regulations 2022 (S.I. 2022/1110), regs. 1(2)(b), **8(4)**
- F49** Words in reg. 60A(1D) substituted (1.1.2024) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 5) Regulations 2023 (S.I. 2023/1367), regs. 1(2), **4(2)(a)**
- F50** Words in reg. 60A(1D) inserted (1.1.2024) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 5) Regulations 2023 (S.I. 2023/1367), regs. 1(2), **4(2)(b)**
- F51** Words in reg. 60A(2) substituted (29.10.2022) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 15) Regulations 2022 (S.I. 2022/1110), regs. 1(2)(b), **8(5)(a)**
- F52** Words in reg. 60A(2) inserted (1.1.2024) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 5) Regulations 2023 (S.I. 2023/1367), regs. 1(2), **4(3)**
- F53** Words in reg. 60A(2) inserted (21.7.2022) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 14) Regulations 2022 (S.I. 2022/850), regs. 1(2), **16(b)(ii)**
- F54** Words in reg. 60A(2) substituted (29.10.2022) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 15) Regulations 2022 (S.I. 2022/1110), reg. 1(2)(b), **Sch. 3 para. 10(1)(2)(f)**
- F55** Words in reg. 60A(2) substituted (29.10.2022) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 15) Regulations 2022 (S.I. 2022/1110), regs. 1(2)(b), **8(5)(b)**
- F56** Words in reg. 60A(2) inserted (29.10.2022) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 15) Regulations 2022 (S.I. 2022/1110), regs. 1(2)(b), **8(5)(c)**
- F57** Words in reg. 60A(2) inserted (14.4.2022 at 5.00 p.m.) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 8) Regulations 2022 (S.I. 2022/452), regs. 1(2), **5(c)(ii)**
- F58** Words in reg. 60A(2) substituted (29.10.2022) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 15) Regulations 2022 (S.I. 2022/1110), regs. 1(2)(b), **8(5)(d)**

### Trade: exceptions in relation to consumer communication devices and software updates **U.K.**

**60B.**—(1) The prohibitions in regulations 22 (export of restricted goods), 24(1)(a) (supply and delivery of restricted goods), 25(1)(a) and (b) (making restricted goods and restricted technology available), 26(1)(a) and (b) (transfer of restricted technology), <sup>F59</sup>... 27 to 29 (technical assistance, financial services etc. and brokering services) [<sup>F60</sup>, Chapter 4B (export of luxury goods etc.) and Chapter 4H (export of G7 dependency and further goods etc.)] are not contravened by a relevant activity in relation to critical-industry goods [<sup>F61</sup>, critical industry technology [<sup>F62</sup>, luxury goods or G7 dependency and further goods]] which are—

- (a) consumer communication devices for civilian use, or

- (b) software updates for civilian use.
- (2) For the purposes of paragraph (1)—
  - (a) “consumer communication devices” has the meaning given in Schedule 2B;
    - “critical-industry goods” has the meaning given in regulation 21 (interpretation of Part 5);
    - “critical-industry technology” has the meaning given in regulation 21 (interpretation of Part 5);
    - [<sup>F63</sup>G7 dependency and further goods has the meaning given in regulation 21 (interpretation of Part 5);]
    - [<sup>F64</sup>“luxury goods” has the meaning given in regulation 21 (interpretation of Part 5);]
    - “relevant activity” means any activity which would, in the absence of this regulation, contravene the prohibitions specified in that paragraph;
  - (b) goods are “for civilian use” if they are not—
    - (i) for use by the Russian military or any other military end-user, or
    - (ii) for any military use;
  - (c) technology is “for civilian use” if it—
    - (i) does not relate to activities carried on or proposed to be carried on by the Russian military or any other military end user, and
    - (ii) is not for any military use.

#### Textual Amendments

- F37** Regs. 60A-60C inserted (1.3.2022) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 3\) Regulations 2022 \(S.I. 2022/195\)](#), regs. 1(2), **6** (with reg. 11)
- F59** Word in reg. 60B(1) omitted (14.4.2022 at 5.00 p.m.) by virtue of [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 8\) Regulations 2022 \(S.I. 2022/452\)](#), regs. 1(2), **6(a)(i)**
- F60** Words in reg. 60B(1) substituted (15.12.2023) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 4\) Regulations 2023 \(S.I. 2023/1364\)](#), regs. 1(3), **10(2)(a)**
- F61** Words in reg. 60B(1) substituted (14.4.2022 at 5.00 p.m.) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 8\) Regulations 2022 \(S.I. 2022/452\)](#), regs. 1(2), **6(a)(iii)**
- F62** Words in reg. 60B(1) substituted (15.12.2023) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 4\) Regulations 2023 \(S.I. 2023/1364\)](#), regs. 1(3), **10(2)(b)**
- F63** Words in reg. 60B(2)(a) inserted (15.12.2023) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 4\) Regulations 2023 \(S.I. 2023/1364\)](#), regs. 1(3), **10(3)**
- F64** Words in reg. 60B(2)(a) inserted (14.4.2022 at 5.00 p.m.) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 8\) Regulations 2022 \(S.I. 2022/452\)](#), regs. 1(2), **6(b)**

#### Trade: exceptions in relation to aircraft and vessels **U.K.**

**60C.**—(1) For the purposes of regulations 22 (export of restricted goods) and 28 (financial services and funds), the removal of an aircraft or vessel from the United Kingdom to Russia is not an export of critical-industry goods [<sup>F65</sup>or aviation and space goods], provided that the following conditions are met—

- (a) the aircraft or vessel is removed under its own power,
- (b) in the case of an aircraft, it—
  - (i) is carrying goods or passengers when removed, or

- (ii) is removed in order to undertake a journey carrying goods or passengers, and
- (c) the removal of the aircraft or vessel is not for the purpose of—
  - (i) a transfer of ownership of the aircraft or vessel or any of its component parts, or
  - (ii) a change of the operator of the aircraft or vessel.

(2) The prohibitions in regulations 24(1)(a) (supply and delivery of restricted goods), 25(1)(a) and (b) (making restricted goods and restricted technology available), 26(1)(a) and (b) (transfer of restricted technology), and 27 to 29 (technical assistance, financial services etc. and brokering services) are not contravened by any of the following activities, to the extent that the activity is done in connection with a qualifying removal—

- (a) the supply or delivery of critical-industry goods [<sup>F66</sup>or aviation and space goods];
- (b) making [<sup>F67</sup>critical-industry goods, aviation and space goods, critical-industry technology or aviation and space technology] available;
- (c) the transfer of critical-industry technology [<sup>F68</sup>or aviation and space technology];
- (d) the provision of technical assistance or financial services;
- (e) the making available of funds;
- (f) the provision of any brokering service.

[<sup>F69</sup>(2AA) The prohibition in regulation 27(1)(a) is not contravened by the provision of technical assistance in relation to an aircraft owned, chartered or operated by a person connected with Russia, at a UK airport provided the assistance is not for the purposes of facilitating—

- (a) a transfer of ownership of the aircraft or any of its component parts; or
- (b) a change in the operator of the aircraft.]

[<sup>F70</sup>(2A) The prohibitions in regulation 29A (insurance and reinsurance services relating to aviation and space goods and aviation and space technology) are not contravened by the provision of insurance or reinsurance services, to the extent that such services are provided in connection with a qualifying removal.]

(3) In this regulation—

- [<sup>F71</sup>“aviation and space goods” has the meaning given in regulation 21 (interpretation of Part 5);
- “aviation and space technology” has the meaning given in regulation 21 (interpretation of Part 5);]
- “critical-industry goods” has the meaning given in regulation 21 (interpretation of Part 5);
- “critical-industry technology” has the meaning given in regulation 21 (interpretation of Part 5);
- “operator”, in relation to an aircraft or vessel, means the person having the management of the aircraft;
- “qualifying removal” means a removal of an aircraft or vessel from the United Kingdom to Russia in relation to which the conditions set out in paragraph (1) are met.]

#### Textual Amendments

- F37** Regs. 60A-60C inserted (1.3.2022) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 3) Regulations 2022 (S.I. 2022/195), regs. 1(2), 6 (with reg. 11)
- F65** Words in reg. 60C(1) inserted (8.3.2022 at 5.00 p.m.) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 6) Regulations 2022 (S.I. 2022/241), regs. 1(2), 10(a)

- F66** Words in reg. 60C(2)(a) inserted (8.3.2022 at 5.00 p.m.) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 6) Regulations 2022 (S.I. 2022/241), regs. 1(2), **10(b)(i)**
- F67** Words in reg. 60C(2)(b) substituted (8.3.2022 at 5.00 p.m.) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 6) Regulations 2022 (S.I. 2022/241), regs. 1(2), **10(b)(ii)**
- F68** Words in reg. 60C(2)(c) inserted (8.3.2022 at 5.00 p.m.) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 6) Regulations 2022 (S.I. 2022/241), regs. 1(2), **10(b)(iii)**
- F69** Reg. 60C(2AA) inserted (21.7.2022) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 14) Regulations 2022 (S.I. 2022/850), regs. 1(2), **17**
- F70** Reg. 60C(2A) inserted (8.3.2022 at 5.00 p.m.) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 6) Regulations 2022 (S.I. 2022/241), regs. 1(2), **10(c)**
- F71** Words in reg. 60C(3) inserted (8.3.2022 at 5.00 p.m.) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 6) Regulations 2022 (S.I. 2022/241), regs. 1(2), **10(d)**

**[<sup>F72</sup>Trade: exception relating to the safety of aircraft and ships U.K.]**

**60D.**—(1) The prohibitions in regulation 46A (technical assistance relating to aircraft and ships) are not contravened by the provision of any technical assistance where a failure to provide that assistance would endanger—

- (a) the lives of persons on board—
  - (i) an aircraft, or
  - (ii) a ship;
- (b) the safety of—
  - (i) an aircraft in flight, or
  - (ii) a ship at sea.

(2) In this regulation, the following terms have the same meaning as they have in regulation 46A—

- “aircraft”;
- “ship”;
- “technical assistance”.]

**Textual Amendments**

- F72** Reg. 60D inserted (30.3.2022 at 5.00 p.m.) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 7) Regulations 2022 (S.I. 2022/395), regs. 1(2), **25**

**[<sup>F73</sup>Trade: exceptions relating to professional and business services U.K.]**

**60DA.**—(1) The prohibitions in regulation 54C (professional and business services), in so far as they relate to accounting services, business and management consulting services, engineering services or public relations services, are not contravened by any act done by a person (“P”) in satisfaction of an obligation in respect of the provision of those services by P to a person connected with Russia where the services are provided in relation to the discharge of or compliance with UK statutory or regulatory obligations, such obligations not arising under contract.

(2) The prohibitions in regulation 54C, in so far as they relate to advertising services, architectural services, engineering services or IT consultancy and design services, are not contravened by any act done by a person (“P”) in satisfaction of an obligation arising under a contract concluded before 16th December 2022, or an ancillary contract necessary for the satisfaction of such a contract, provided that—



- (a) the act is carried out before the end of 15th March 2023, and
  - (b) P notifies the Secretary of State of the provision of the services, before or after the act is carried out, by the end of 15th March 2023.
- (3) The prohibitions in regulation 54C, in so far as they relate to auditing services, are not contravened by any act done by a person (“P”) in satisfaction of an obligation arising from the appointment of P as the auditor of a parent undertaking (“C”) provided that—
- (a) where C is a credit institution, the auditing services of P are for one or both of the purposes mentioned in paragraph (4);
  - (b) where C is not a credit institution, or is a credit institution that does not meet the condition in sub-paragraph (a)—
    - (i) P is appointed as auditor of C before 16th December 2022,
    - (ii) the act is carried out before the end of 31st May 2023, and
    - (iii) P notifies the Secretary of State of the provision of the services, before or after the act is carried out, by the end of 15th March 2023.
- (4) The purposes are—
- (a) C, in its capacity as a parent undertaking, deciding whether accounts of a subsidiary undertaking of C which is a person connected with Russia (“S”) should be included in consolidated group accounts of C, and
  - (b) the inclusion in consolidated group accounts of C of the accounts of S.
- (5) The prohibitions in regulation 54C, in so far as they relate to auditing services, are not contravened by any act done by a person (“P”)—
- (a) in satisfaction of an obligation arising from the appointment of P as the auditor of a [<sup>F74</sup>UK subsidiary undertaking] (“S”) in respect of the provision of those services to S in relation to the discharge of or compliance with UK statutory or regulatory obligations, and
  - (b) which results in the provision of those services indirectly to a person connected with Russia in that person’s capacity as a parent undertaking of S.
- [<sup>F75</sup>(5A) The prohibitions in regulation 54C, in so far as they relate to auditing services, are not contravened by any act done by a person (“P”)—
- (a) in satisfaction of an obligation arising from the appointment of P as the auditor of a UK undertaking (“U”) in respect of the provision of those services to U in relation to the discharge of or compliance with UK statutory or regulatory obligations, and
  - (b) which results in the provision of those services directly or indirectly to a person connected with Russia in that person’s capacity as a member of U.]
- (6) The prohibitions in regulation 54C, in so far as they relate to IT consultancy and design services, are not contravened by the provision of—
- (a) an “electronic communications network” or an “electronic communications service” (within the meanings given by section 32 of the Communications Act 2003) that is used for civilian purposes, or
  - (b) services that are incidental to the exchange of communications over the internet, including—
    - (i) instant messaging,
    - (ii) videoconferencing,
    - (iii) chat and email,
    - (iv) social networking,
    - (v) sharing of photos, audio, videos, films or documents,

- (vi) web browsing,
- (vii) blogging,
- (viii) web hosting, and
- (ix) domain name registration services.

(7) The prohibitions in regulation 54C are not contravened by any act done by a person that is necessary for the official purposes of a diplomatic mission or consular post in Russia, or of an international organisation enjoying immunities in accordance with international law.

[<sup>F76</sup>(7A) The prohibitions in regulation 54C are not contravened by any act done by a person as part of the provision of expert evidence provided in, or in anticipation of—

- (a) any proceedings before administrative agencies, courts or other duly constituted official tribunals, or
- (b) in any arbitral or mediation proceedings.]

(8) For the purposes of this regulation, the following terms have the meanings given in regulation 54B—

“accounting services”, “advertising services”, “architectural services”, “auditing services”, “business and management consulting services”, “engineering services”, “IT consultancy and design services” and “public relations services”.

(9) For the purposes of this regulation—

“auditor” means a statutory auditor within the meaning of section 1210 of the Companies Act 2006 (meaning of “statutory auditor” etc);

“consular post” is to be construed in accordance with paragraph A1 of Schedule 5;

“credit institution” means a body incorporated under the law of any part of the United Kingdom, the business of which is to take deposits or other repayable funds from the public and to grant credits for its own account;

“diplomatic mission” is to be construed in accordance with paragraph A1 of Schedule 5;

“financial year” is to be construed in accordance with section 390 of the Companies Act 2006 (a company’s financial year);

“included in consolidated group accounts” has the meaning given in section 474 of the Companies Act 2006 (minor definitions) and “inclusion in consolidated group accounts” is to be construed accordingly;

“parent undertaking” has the meaning given in section 1162 of the Companies Act 2006 (parent and subsidiary undertakings);

“subsidiary undertaking” has the meaning given in section 1162 of the Companies Act 2006.

[<sup>F77</sup>“UK subsidiary undertaking” means a subsidiary undertaking that is incorporated or formed under the law of the United Kingdom;

“UK undertaking” means an undertaking within the meaning given in section 1161 of the Companies Act 2006 that is incorporated or formed under the law of the United Kingdom.]]

#### Textual Amendments

**F73** Reg. 60DA substituted (16.12.2022) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 17\) Regulations 2022 \(S.I. 2022/1331\)](#), regs. 1(2)(b), **14**

**F74** Words in [reg. 60DA\(5\)\(a\)](#) substituted (30.6.2023) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 3\) Regulations 2023 \(S.I. 2023/713\)](#), regs. 1(2), **4(a)**

- F75** Reg. 60DA(5A) inserted (30.6.2023) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 3) Regulations 2023 (S.I. 2023/713), regs. 1(2), **4(b)**
- F76** Reg. 60DA(7A) inserted (30.6.2023) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 3) Regulations 2023 (S.I. 2023/713), regs. 1(2), **4(c)**
- F77** Words in reg. 60DA(9) inserted (30.6.2023) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 3) Regulations 2023 (S.I. 2023/713), regs. 1(2), **4(d)**

[<sup>F78</sup>Trade: exception relating to legal advisory services **U.K.**

**60DB.**—(1) The prohibitions in regulation 54D (legal advisory services) are not contravened by any act done by a person that is necessary for the official purposes of a diplomatic mission or consular post in Russia, or of an international organisation enjoying immunities in accordance with international law.

(2) The prohibitions in regulation 54D are not contravened by any act done by a person in satisfaction of an obligation in respect of the provision of legal advisory services to any person where the services are provided in relation to the discharge of or compliance with UK statutory or regulatory obligations.

(3) The prohibitions in regulation 54D are not contravened by any act done by a person for the purpose of providing legal advice to any person as to whether an act or a proposed act complies with these Regulations.

(4) The prohibitions in regulation 54D are not contravened by any act done by a person (“P”) in satisfaction of an obligation arising under a contract concluded before 30th June 2023, or an ancillary contract necessary for the satisfaction of such a contract, provided that—

- (a) the act is carried out before the end of 29th September 2023, and
- (b) P notifies the Secretary of State of the provision of the services, before or after the act is carried out, by the end of 29th September 2023.

(5) In this regulation—

“consular post” has the same meaning as in the Vienna Convention on Consular Relations done at Vienna on 24th April 1963;

“diplomatic mission” is to be read in accordance with the Vienna Convention on Diplomatic Relations done at Vienna on 18th April 1961;

“legal advisory services” has the meaning given in regulation 54B.]

**Textual Amendments**

- F78** Reg. 60DB inserted (30.6.2023) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 3) Regulations 2023 (S.I. 2023/713), regs. 1(2), **5**

[<sup>F79</sup>Trade: exceptions in relation to maritime goods and maritime technology **U.K.**

**60E.**—(1) The prohibitions in Chapter 2 of Part 5—

- (a) in so far as they relate to maritime goods, do not apply to the sale, supply, making available or export of such goods, or to the related provision of technical and financial services, funds and brokering necessary for a purpose specified in paragraph (2);
- (b) in so far as they relate to maritime technology, do not apply to the sale, supply, making available, transfer or export of such technology, or to the related provision of technical and financial assistance, necessary for a purpose specified in paragraph (2).

- (2) The purposes are—
- (a) non-military use by a non-military end-user;
  - (b) humanitarian assistance activity;
  - (c) addressing a health emergency;
  - (d) the urgent prevention or mitigation of an event likely to have a serious and significant impact on human health and safety or on the environment; or
  - (e) providing a response to a natural disaster.
- (3) For the purposes of this regulation—
- “humanitarian assistance activity” is to be construed in accordance with paragraph A1 of Schedule 5;
- “maritime goods” and “maritime technology” respectively have the meanings given in regulation 21 (interpretation of Part 5).

#### Textual Amendments

**F79** Regs. 60E-60G inserted (15.7.2022) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 11\) Regulations 2022 \(S.I. 2022/792\)](#), regs. 1(2), **10(3)** (with reg. 13)

#### Trade: exceptions in relation to banknotes **U.K.**

**60F.**—(1) Subject to paragraph (2), the prohibitions in Chapter 4E of Part 5 do not apply to the making available, supply, export or delivery of banknotes where the making available, supply, export or delivery is necessary for the personal use of natural persons travelling to Russia or members of their immediate families travelling with them.

(2) The exception in paragraph (1) applies only to banknotes up to the value of £10,000 or its equivalent in any official currency of the European Union.

(3) The prohibitions in Chapter 4E of Part 5 do not apply to the making available, supply, export or delivery of banknotes where the making available, supply, export or delivery is necessary for the official purposes of diplomatic missions, consular posts or international organisations in Russia enjoying immunities in accordance with international law.

(4) The prohibitions in Chapter 4E of Part 5 do not apply to anything done by a person who did not know and had no reasonable cause to suspect that the banknotes were ultimately—

- (a) to be exported, supplied, delivered or made available to a person connected with Russia; or
- (b) for use in Russia.

(5) For the purposes of this regulation, “diplomatic mission” and “consular post” are to be construed in accordance with paragraph A1 of Schedule 5.

#### Textual Amendments

**F79** Regs. 60E-60G inserted (15.7.2022) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 11\) Regulations 2022 \(S.I. 2022/792\)](#), regs. 1(2), **10(3)** (with reg. 13)

#### Trade: exception in relation to certain <sup>F80</sup>... goods consigned from Russia **U.K.**

**60G.**—<sup>F81</sup>(1) .....

[

<sup>F82</sup>(1A) The prohibitions specified in paragraphs (1B), (1C) and (1D) do not apply to, or in relation to, any goods mentioned in any of those paragraphs which are—

- (a) consigned from Russia before 21st April 2023; and
- (b) imported into the United Kingdom before 21st May 2023.

(1B) The prohibitions specified in this paragraph are those set out in—

- (a) regulation 46D (import of iron and steel products);
- (b) regulation 46G(1)(a) (technical assistance relating to iron and steel products);
- (c) regulation 46H(1)(a) (financial services and funds relating to iron and steel products);
- (d) regulation 46I(1) (brokering services relating to iron and steel products), to the extent that prohibition applies to an arrangement described in regulation 46H(1)(a),

as they apply in relation to goods specified in Part 3 of Schedule 3B (iron and steel products).

(1C) The prohibitions specified in this paragraph are those set out in—

- (a) regulation 46S (import of Schedule 3D revenue generating goods);
- (b) regulation 46V(1)(a) (technical assistance relating to Schedule 3D revenue generating goods);
- (c) regulation 46W(1)(a) (financial services and funds relating to Schedule 3D revenue generating goods);
- (d) regulation 46X(1) (brokering services relating to Schedule 3D revenue generating goods), to the extent that prohibition applies to an arrangement described in regulation 46W(1)(a),

as they apply in relation to goods specified in Part 3 of Schedule 3D (Schedule 3D revenue generating goods).

(1D) The prohibitions specified in this paragraph are those set out in—

- (a) regulation 46XB (import of Schedule 3DA revenue generating goods);
- (b) regulation 46XE(1)(a) (technical assistance relating to Schedule 3DA revenue generating goods);
- (c) regulation 46XF(1)(a) (financial services and funds relating to Schedule 3DA revenue generating goods);
- (d) regulation 46XG(1) (brokering services relating to Schedule 3DA revenue generating goods), to the extent that prohibition applies to an arrangement described in regulation 46XF(1)(a),

as they apply in relation to goods specified in Part 3 of Schedule 3DA (Schedule 3DA revenue generating goods).]

[  
<sup>F83</sup>(1E) The prohibitions specified in paragraphs (1F) and (1G) do not apply to, or in relation to, any products mentioned in any of those paragraphs which are—

- (a) consigned from Russia before 15th December 2023; and
- (b) imported into the United Kingdom before 14th January 2024.

(1F) The prohibitions specified in this paragraph are those set out in—

- (a) regulation 46D (import of iron and steel products);
- (b) regulation 46G(1)(a) (technical assistance relating to iron and steel products);
- (c) regulation 46H(1)(a) (financial services and funds relating to iron and steel products);
- (d) regulation 46I(1) (brokering services relating to iron and steel products) to the extent that prohibition applies to an arrangement described in regulation 46H(1)(a),

as they apply in relation to products specified in Part 4 of Schedule 3B (iron and steel products).

(1G) The prohibitions specified in this paragraph are those set out in regulation 46IG (import of metals) except in so far as those prohibitions relate to products coming within commodity codes 7606, 7801, 8207, 8212, 8302 and 8309.

(1H) Paragraph 1 of Schedule 3 applies for the purposes of interpreting the commodity codes specified in paragraph (1G).]

(2) For the purposes of [<sup>F84</sup>paragraphs (1A)(a) and (1E)(a)], goods are deemed to have been consigned from Russia at the time when—

- (a) they have completed the applicable export formalities, and
- (b) where the goods were transported by—
  - (i) land, they have left Russia;
  - (ii) sea, the ship on which they were transported has departed a port in Russia for a destination outside Russia;
  - (iii) air, the aircraft on which they were transported has departed an airport in Russia for a destination outside Russia.]

#### Textual Amendments

- F79** Regs. 60E-60G inserted (15.7.2022) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 11\) Regulations 2022 \(S.I. 2022/792\)](#), regs. 1(2), **10(3)** (with reg. 13)
- F80** Words in reg. 60G heading omitted (21.4.2023) by virtue of [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) Regulations 2023 \(S.I. 2023/440\)](#), regs. 1(2), **10(a)**
- F81** Reg. 60G(1) omitted (21.4.2023) by virtue of [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) Regulations 2023 \(S.I. 2023/440\)](#), regs. 1(2), **10(b)**
- F82** Reg. 60G(1A)-(1D) inserted (21.4.2023) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) Regulations 2023 \(S.I. 2023/440\)](#), regs. 1(2), **10(c)**
- F83** Reg. 60G(1E)-(1H) inserted (15.12.2023) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 4\) Regulations 2023 \(S.I. 2023/1364\)](#), regs. 1(3), **11(2)**
- F84** Words in reg. 60G(2) substituted (15.12.2023) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 4\) Regulations 2023 \(S.I. 2023/1364\)](#), regs. 1(3), **11(3)**

[<sup>F85</sup>Trade: exception in respect of the acquisition of iron and steel products [<sup>F86</sup>and metals] **U.K.**

**60GA.**—[<sup>F87</sup>(1) Without prejudice to regulation 60GAA, the prohibitions specified in paragraphs (2) and (2A) do not apply in relation to relevant products located in the United Kingdom or the Isle of Man having been lawfully imported there.]

- (2) The prohibitions specified in this paragraph are those in—
- (a) regulation 46E (acquisition of iron and steel products);
  - (b) regulation [<sup>F88</sup>46G(1)(b)(i)] (technical assistance relating to iron and steel products);
  - (c) regulation [<sup>F89</sup>46H(1)(b)(i)] (financial services and funds relating to iron and steel products);
  - (d) regulation 46I (brokering services relating to iron and steel products) [<sup>F90</sup>in relation to any arrangements described in regulation 46H(1)(b)(i)].

[

<sup>F91</sup>(2A) The prohibition specified in this paragraph is that in regulation 46IH(1)(a) (acquisition of metals).]

[<sup>F92</sup>(3) In this regulation “relevant products” means the products to which the respective prohibitions specified in paragraphs (2) and (2A) apply.]

#### Textual Amendments

- F85** Regs. 60GA, 60GB inserted (21.4.2023) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) Regulations 2023 \(S.I. 2023/440\)](#), regs. 1(2), **11**
- F86** Words in reg. 60GA heading inserted (15.12.2023) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 4\) Regulations 2023 \(S.I. 2023/1364\)](#), regs. 1(3), **12(2)**
- F87** Reg. 60GA(1) substituted (15.12.2023) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 4\) Regulations 2023 \(S.I. 2023/1364\)](#), regs. 1(3), **12(3)**
- F88** Word in reg. 60GA(2)(b) substituted (15.12.2023) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 4\) Regulations 2023 \(S.I. 2023/1364\)](#), regs. 1(3), **12(4)(a)**
- F89** Word in reg. 60GA(2)(c) substituted (15.12.2023) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 4\) Regulations 2023 \(S.I. 2023/1364\)](#), regs. 1(3), **12(4)(b)**
- F90** Words in reg. 60GA(2)(d) inserted (15.12.2023) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 4\) Regulations 2023 \(S.I. 2023/1364\)](#), regs. 1(3), **12(4)(c)**
- F91** Reg. 60GA(2A) inserted (15.12.2023) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 4\) Regulations 2023 \(S.I. 2023/1364\)](#), regs. 1(3), **12(5)**
- F92** Reg. 60GA(3) substituted (15.12.2023) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 4\) Regulations 2023 \(S.I. 2023/1364\)](#), regs. 1(3), **12(6)**

<sup>F93</sup>**Trade: exception in respect of iron and steel products, relevant processed iron or steel products and metals exported from Russia before the relevant day** **U.K.**

**60GAA.**—(1) The prohibitions specified in paragraphs (2), (3) and (4) do not apply in relation to anything done in relation to relevant products originating in or consigned from Russia where those goods—

- (a) were exported from Russia before the relevant day; and
  - (b) are not to be released for free circulation in the United Kingdom or the Isle of Man.
- (2) The prohibitions specified in this paragraph are those in—
- (a) regulation 46D (import of iron and steel products);
  - (b) regulation 46G(1)(a) (technical assistance relating to iron and steel products);
  - (c) regulation 46H(1)(a) (financial services and funds relating to iron and steel products);
  - (d) regulation 46I in relation to any arrangements described in regulation 46H(1)(a) (brokering services relating to iron and steel products).
- (3) The prohibitions specified in this paragraph are those in—
- (a) regulation 46IB(1) (import of relevant processed iron or steel products);
  - (b) regulation 46IC(1) (technical assistance relating to relevant processed iron or steel products);
  - (c) regulation 46ID(1) (financial services and funds relating to relevant processed iron or steel products);
  - (d) regulation 46IE(1) (brokering services relating to relevant processed iron or steel products).
- (4) The prohibitions specified in this paragraph are those in regulation 46IG (import of metals).

- (5) For the purposes of paragraph (1)—
- (a) “relevant day” means, in relation to the application of that paragraph to a prohibition specified in paragraph (2), (3) or (4), the date on which that prohibition came into force;
  - (b) “relevant products” means the products to which the prohibitions specified in paragraph (2), (3) or (4) apply.
- (6) For the purposes of paragraph (1)(a) and regulation 60GAB(1), a thing has been exported from Russia when—
- (a) it has completed the applicable export formalities; and
  - (b) where it was transported by—
    - (i) land, it has left Russian territory;
    - (ii) sea, the ship on which it was transported has departed a port in Russia for a destination outside of Russia;
    - (iii) air, the aircraft on which it was transported has departed an airport in Russia for a destination outside of Russia.
- (7) Section 3 of the Taxation (Cross-border Trade) Act 2018 (obligation to declare goods for a Customs procedure on import) applies for determining whether paragraph (1)(b) applies.

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**Textual Amendments**

- F85** Regs. 60GA, 60GB inserted (21.4.2023) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) Regulations 2023 \(S.I. 2023/440\)](#), regs. 1(2), **11**
- F93** Regs. 60GAA, 60GAB inserted (15.12.2023) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 4\) Regulations 2023 \(S.I. 2023/1364\)](#), regs. 1(3), **13**

**Trade: exception relating to ancillary services relating to acquisition when iron and steel products are in third countries** **U.K.**

**60GAB.**—(1) The prohibitions specified in paragraph (2) do not apply in relation to anything done in relation to iron and steel products originating in Russia where those products were exported from Russia before the relevant day.

- (2) The prohibitions specified in this paragraph are those relating to—
- (a) regulation 46G(1)(b)(i) (technical assistance relating to iron and steel products);
  - (b) regulation 46H(1)(b)(i) (financial services and funds relating to iron and steel products);
  - (c) regulation 46I (brokering services relating to iron and steel products) in relation to any arrangements described in regulation 46H(1)(b)(i).
- (3) For the purposes of paragraph (1)—
- (a) “iron and steel products” has the meaning given in regulation 46C;
  - (b) “relevant day” means, in relation to the application of that paragraph to a prohibition specified in paragraph (2), the date on which that prohibition came into force.]

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**Textual Amendments**

- F85** Regs. 60GA, 60GB inserted (21.4.2023) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) Regulations 2023 \(S.I. 2023/440\)](#), regs. 1(2), **11**
- F93** Regs. 60GAA, 60GAB inserted (15.12.2023) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 4\) Regulations 2023 \(S.I. 2023/1364\)](#), regs. 1(3), **13**



**Trade: exception in respect of the acquisition of Schedule 3DA revenue generating goods U.K.**

- 60GB.**—(1) The prohibitions specified in paragraph (2)—
- (a) do not apply in relation to relevant goods located in the United Kingdom or the Isle of Man having been lawfully imported there;
  - (b) do not apply to a United Kingdom national in Russia engaging in any activity subject to any of those prohibitions where—
    - (i) the relevant goods are located in Russia;
    - (ii) those relevant goods are for the purposes of personal use, in Russia, by that United Kingdom national, or their immediate family members.
- (2) The prohibitions specified in this paragraph are those in—
- (a) regulation 46XC(1) (acquisition of Schedule 3DA revenue generating goods);
  - (b) regulation 46XE(1) (technical assistance relating to Schedule 3DA revenue generating goods);
  - (c) regulation 46XF(1) (financial services and funds relating to Schedule 3DA revenue generating goods);
  - (d) regulation 46XG(1) (brokering services relating to Schedule 3DA revenue generating goods).
- (3) In this regulation—
- “immediate family member” has the meaning given in regulation 6(7);
- “relevant goods” means any thing specified in Schedule 3DA (Schedule 3DA revenue generating goods).]

**Textual Amendments**

- F85** Regs. 60GA, 60GB inserted (21.4.2023) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) Regulations 2023 \(S.I. 2023/440\)](#), regs. 1(2), **11**

**[<sup>F94</sup>Trade: exception in respect of the acquisition of diamonds and diamond jewellery U.K.**

- 60GC.**—(1) The prohibitions specified in paragraph (2) do not apply in relation to diamonds and diamond jewellery located in the United Kingdom or the Isle of Man having been lawfully imported there.
- (2) The prohibitions specified in this paragraph are those in—
- (a) regulation 46Z16L(1) (acquisition of diamonds and diamond jewellery);
  - (b) regulation 46Z16N(1)(b) (technical assistance relating to diamonds and diamond jewellery);
  - (c) regulation 46Z16O(1)(b) (financial services and funds relating to diamonds and diamond jewellery);
  - (d) regulation 46Z16P(1) (brokering services relating to diamonds and diamond jewellery) insofar as it relates to the [<sup>F95</sup>an arrangement falling within] regulation 46Z16O(1)(b).
- (3) In this regulation, “diamonds” and “diamond jewellery” have the meanings given in regulation 46Z16J (interpretation of Chapter 4JB).]

#### Textual Amendments

- F94** Reg. 60GC inserted (1.1.2024) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 5\) Regulations 2023 \(S.I. 2023/1367\)](#), regs. 1(2), **5**
- F95** Words in [reg. 60GC\(2\)\(d\)](#) substituted (16.5.2024) by [The Sanctions \(EU Exit\) \(Miscellaneous Amendments and Revocations\) Regulations 2024 \(S.I. 2024/643\)](#), regs. 1(2), **8(5)**

#### [<sup>F96</sup>Trade: exception in relation to oil and oil products **U.K.**

**60H.**—(1) The prohibitions in Chapter 4I (Oil and Oil Products) are not contravened by a relevant activity in relation to any oil and oil products which—

- (a) originate in a country that is not Russia,
- (b) are not owned by a person connected with Russia, and
- (c) are only being loaded in, departing from or transiting through Russia.

(2) For the purposes of paragraph (1)—

“oil and oil products” has the meaning given in regulation 21(1) (interpretation of Part 5);

“relevant activity” means any activity which would, in the absence of this regulation, contravene the prohibitions specified in paragraph (1).

#### Textual Amendments

- F96** Regs. 60H, 60I inserted (21.7.2022) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 14\) Regulations 2022 \(S.I. 2022/850\)](#), regs. 1(2), **19**

#### [<sup>F97</sup>Trade: exception in relation to maritime transportation of certain oil and oil products **U.K.**

**60HA.**—(1) The prohibitions in regulations 46Z9B(1), 46Z9C(1) and 46Z9D(1) (maritime transportation of certain oil and oil products) are not contravened by a relevant activity in relation to any 2709 oil and oil products which—

- (a) originate in a country that is not Russia,
- (b) are not owned by a person connected with Russia, and
- (c) are only being loaded in, departing from or transiting through Russia.

(2) The prohibitions in regulations 46Z9B(2), 46Z9C(2) and 46Z9D(2) are not contravened by a relevant activity in relation to any 2710 oil and oil products which—

- (a) originate in a country that is not Russia,
- (b) are not owned by a person connected with Russia, and
- (c) are only being loaded in, departing from or transiting through Russia.

(3) For the purposes of paragraphs (1) and (2)—

“2709 oil and oil products” and “2710 oil and oil products” have the meanings given in regulation 46Z9A;

“relevant activity” means any activity which would, in the absence of this regulation, contravene the prohibitions specified in paragraph (1) or, as the case may be (2).]

#### Textual Amendments

- F96** Regs. 60H, 60I inserted (21.7.2022) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 14\) Regulations 2022 \(S.I. 2022/850\)](#), regs. 1(2), **19**
- F97** Reg. 60HA inserted (5.12.2022) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 16\) Regulations 2022 \(S.I. 2022/1122\)](#), regs. 1(2), **5**

#### Trade: exceptions in relation to Energy-related Goods **U.K.**

**60I.**—(1) The prohibitions in regulations 44 (financial services relating to energy-related goods) and 45 (brokering services: non-UK activity relating to energy-related goods) are not contravened in relation to the provision of insurance or reinsurance to a relevant person with regard to that person’s activities outside the energy sector in Russia.

(2) The prohibitions in Chapter 4 (energy-related goods and related activities) are not contravened by a relevant activity that is necessary for the purposes of a UK petroleum project.

(3) In this regulation—

“energy related goods” has the meaning given in regulation 21(1) (interpretation of Part 5);

“relevant activity” means any activity which would, in the absence of this regulation, contravene the prohibitions specified in paragraphs (1) and (2);

“relevant person” means a person who is not a person connected with Russia;

“UK petroleum project” means an oil or gas exploration or production project that is wholly or partially located within—

- (a) the United Kingdom;
- (b) waters adjacent to the United Kingdom up to the seaward limits of the territorial sea, or the seabed and subsoil below them;
- (c) areas from time to time designated under section 1(7) of the Continental Shelf Act 1964 (designation of areas of continental shelf), and any waters within the limits of such areas.]

#### Textual Amendments

- F96** Regs. 60H, 60I inserted (21.7.2022) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 14\) Regulations 2022 \(S.I. 2022/850\)](#), regs. 1(2), **19**

#### Trade: exception for emergencies in certain cases **U.K.**

**61.**—<sup>F98</sup>(1) The prohibitions specified in paragraph (1A) are not contravened by any act done by a person (“P”), where P provides justification to the Secretary of State within the relevant period that the act is an act dealing with an emergency.

(1A) Paragraph (1) applies to the prohibitions—

- (a) in regulations 40 to 46 (prohibitions relating to energy-related goods etc.) and <sup>F99</sup>regulations 48 to 54 (prohibitions relating to infrastructure in non-government controlled Ukrainian territory etc.);
- (b) in regulations 22 (export of restricted goods), 24(1)(a), (supply and delivery of restricted goods), 25(1)(a) and (b) (making available of restricted goods and restricted technology), 26(1)(a) and (b) (transfer of restricted technology), and 27 to 29 (technical assistance, financial services etc. and brokering services) so far as they apply to <sup>F100</sup>critical-industry

goods, aviation and space goods, [<sup>F101</sup>oil refining goods,] critical-industry technology [<sup>F102</sup>, aviation and space technology or oil refining technology];]

[<sup>F103</sup>(c) in regulation 29A (insurance and reinsurance services relating to aviation and space goods and aviation and space technology).]

[<sup>F104</sup>(d) in [<sup>F105</sup>Chapter 4H] ([<sup>F106</sup>G7 dependency and further goods]);

(e) [<sup>F107</sup>in] regulation 54C (Professional and business services)]

[<sup>F108</sup>(f) in regulation 54D (legal advisory services).]]

[<sup>F108</sup>

<sup>F109</sup>(1B) The prohibitions specified in regulations 46Z9B to 46Z9D (maritime transportation of certain oil and oil products) are not contravened by any act done by a person (“P”), where P provides justification to the Treasury within the relevant period that the act is an act dealing with an emergency.]

(2) In this regulation—

“an act dealing with an emergency” means an act assisting with the urgent prevention or mitigation of an event likely to have a serious and significant impact on human health or safety, infrastructure or the environment;

[<sup>F110</sup>“aviation and space goods” has the meaning given in regulation 21 (interpretation of Part 5);

“aviation and space technology” has the meaning given in regulation 21 (interpretation of Part 5);]

[<sup>F111</sup>“critical-industry goods” has the meaning given in regulation 21 (interpretation of Part 5);

“critical-industry technology” has the meaning given in regulation 21 (interpretation of Part 5);]

[<sup>F112</sup>“oil refining goods” has the meaning given in regulation 21 (interpretation of Part 5);]

[<sup>F112</sup>“oil refining technology” has the meaning given in regulation 21 (interpretation of Part 5);]

“relevant period”, in relation to an act, means the period of 5 working days beginning with the day on which the act is done.]

### Textual Amendments

- F98** Reg. 61(1)(1A) substituted for reg. 61(1) (1.3.2022) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 3\) Regulations 2022 \(S.I. 2022/195\)](#), regs. 1(2), **7(1)** (with reg. 11)
- F99** Words in reg. 61(1A)(a) substituted (30.3.2022 at 5.00 p.m.) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 7\) Regulations 2022 \(S.I. 2022/395\)](#), regs. 1(2), **26**
- F100** Words in reg. 61(1A)(b) substituted (8.3.2022 at 5.00 p.m.) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 6\) Regulations 2022 \(S.I. 2022/241\)](#), regs. 1(2), **11(a)**
- F101** Words in reg. 61(1A)(b) inserted (14.4.2022 at 5.00 p.m.) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 8\) Regulations 2022 \(S.I. 2022/452\)](#), regs. 1(2), **7(a)(i)**
- F102** Words in reg. 61(1A)(b) substituted (14.4.2022 at 5.00 p.m.) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 8\) Regulations 2022 \(S.I. 2022/452\)](#), regs. 1(2), **7(a)(ii)**
- F103** Reg. 61(1A)(c) inserted (8.3.2022 at 5.00 p.m.) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 6\) Regulations 2022 \(S.I. 2022/241\)](#), regs. 1(2), **11(b)**
- F104** Reg. 61(1A)(d)(e) inserted (21.7.2022) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 14\) Regulations 2022 \(S.I. 2022/850\)](#), regs. 1(2), **20**
- F105** Words in reg. 61(1A)(d) substituted (15.12.2023) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 4\) Regulations 2023 \(S.I. 2023/1364\)](#), regs. 1(3), **14**

- F106** Words in reg. 61(1A)(d) substituted (29.10.2022) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 15) Regulations 2022 (S.I. 2022/1110), reg. 1(2)(b), **Sch. 3 para. 10(1)(2)(g)**
- F107** Word in reg. 61(1A)(e) inserted (30.6.2023) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 3) Regulations 2023 (S.I. 2023/713), regs. 1(2), **6(a)**
- F108** Reg. 61(1A)(f) inserted (30.6.2023) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 3) Regulations 2023 (S.I. 2023/713), regs. 1(2), **6(b)**
- F109** Reg. 61(1B) inserted (5.12.2022) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 16) Regulations 2022 (S.I. 2022/1122), regs. 1(2), **6**
- F110** Words in reg. 61(2) inserted (8.3.2022 at 5.00 p.m.) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 6) Regulations 2022 (S.I. 2022/241), regs. 1(2), **11(c)**
- F111** Words in reg. 61(2) inserted (1.3.2022) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 3) Regulations 2022 (S.I. 2022/195), regs. 1(2), **7(2)** (with reg. 11)
- F112** Words in reg. 61(2) inserted (14.4.2022 at 5.00 p.m.) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 8) Regulations 2022 (S.I. 2022/452), regs. 1(2), **7(b)**

#### Commencement Information

- I4** Reg. 61 in force at 31.12.2020 on IP completion day (in accordance with 2020 c. 1, **Sch. 5 para. 1(1)**), see reg. 1(2)

#### <sup>F113</sup>Trade: exception for humanitarian assistance activity in non-government controlled areas of the <sup>F114</sup>Donetsk, Kherson, Luhansk and Zaporizhzhia oblasts] **U.K.**

**61ZA.**—(1) A relevant prohibition is not contravened by a person (“P”) carrying out a relevant activity which is necessary to ensure the timely delivery of humanitarian assistance activity in non-government controlled areas of the <sup>F115</sup>Donetsk, Kherson, Luhansk and Zaporizhzhia oblasts] provided that P believes that carrying out the relevant activity is so necessary and there is no reasonable cause for P to suspect otherwise.

(2) For the purposes of this regulation—

“humanitarian assistance activity” includes the work of international and non-governmental organisations carrying out relief activities for the benefit of the civilian population of the non-government controlled areas of the <sup>F116</sup>Donetsk, Kherson, Luhansk and Zaporizhzhia oblasts];

“relevant activity” means any activity which would, in the absence of this regulation, contravene a relevant prohibition;

“relevant prohibition” means—

- (a) any prohibition in regulations 48 to 51, 52(1), (2) or (3)(b) to (e) (trade in relation to non-government controlled Ukrainian territory), or 54(1)(a) (prohibition on infrastructure-related services relating to non-government controlled Ukrainian territory), or
- (b) any prohibition in regulation 53(1)(b) to (g) (brokering services: non-UK activity relating to infrastructure-related goods and goods from non-government controlled Ukrainian territory), except for any such prohibition which relates to an arrangement whose object or effect is the import of goods which originate in non-government controlled Ukrainian territory.]

#### Textual Amendments

- F113** Reg. 61ZA inserted (18.7.2022 at 5.00 p.m.) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 13) Regulations 2022 (S.I. 2022/814), regs. 1(2), **4**
- F114** Words in reg. 61ZA heading substituted (20.6.2023) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 2) Regulations 2023 (S.I. 2023/665), regs. 1(2), **10(a)**

- F115** Words in reg. 61ZA(1) substituted (20.6.2023) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 2\) Regulations 2023 \(S.I. 2023/665\)](#), regs. 1(2), **10(b)**
- F116** Words in reg. 61ZA(2) substituted (20.6.2023) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 2\) Regulations 2023 \(S.I. 2023/665\)](#), regs. 1(2), **10(c)**

**[<sup>F117</sup>Ships: exceptions from prohibition on port entry U.K.]**

**61A.**—(1) The prohibition in regulation 57A(1) (prohibition on port entry) is not contravened by providing a ship with access to a port if—

- (a) a port entry direction has been given in relation to the ship under regulation 57C (movement of ships), or
- (b) the access is needed by the ship in a case of emergency.

(2) The prohibition in regulation 57A(2) is not contravened by the entry into port of a ship if—

- (a) a port entry direction has been given in relation to the ship under regulation 57C, or
- (b) the entry is needed by the ship in a case of emergency.]

**Textual Amendments**

- F117** [Reg. 61A](#) inserted (1.3.2022 at 3.00 p.m.) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 4\) Regulations 2022 \(S.I. 2022/203\)](#), regs. 1(2), 7

**[<sup>F118</sup>Aircraft: exceptions from prohibitions U.K.]**

**61B.**—(1) The prohibition in regulation 57J(1)(b) (movement of aircraft) is not contravened by the landing of a Russian aircraft in the United Kingdom if failing to land would endanger the lives of persons on board or the safety of the aircraft.

(2) The prohibition in regulation 57J(1)(a) is not contravened by the flight of a Russian aircraft in the airspace over the United Kingdom preparatory to a landing as mentioned in paragraph (1).

(3) The directions in regulation 57J(3) to (9) are not contravened by conduct necessary to—

- (a) avoid endangering the lives of persons on board or the safety of the aircraft,
- (b) protect the safety of another aircraft, or
- (c) protect the safety of persons on the ground.

<sup>F119</sup>(4) .....

**[<sup>F120</sup>(4A)** The prohibition in regulation 57J(1) is not contravened by the movement of a Russian aircraft if—

- (a) a direction has been given in relation to that aircraft under regulation 57J(3)(b), (5)(b) or (6)(c), and
- (b) the movement of the aircraft is in accordance with that direction.]

(5) In this regulation, “Russian aircraft” has the same meaning as in regulation 57J.]

**Textual Amendments**

- F118** [Reg. 61B](#) inserted (8.3.2022 at 5.00 p.m.) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 6\) Regulations 2022 \(S.I. 2022/241\)](#), regs. 1(2), **12**

- F119** Reg. 61B(4) omitted (30.3.2022 at 5.00 p.m.) by virtue of The Russia (Sanctions) (EU Exit) (Amendment) (No. 7) Regulations 2022 (S.I. 2022/395), regs. 1(2), **27(a)**
- F120** Reg. 61B(4A) inserted (30.3.2022 at 5.00 p.m.) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 7) Regulations 2022 (S.I. 2022/395), regs. 1(2), **27(b)**

**Exception relating to trade restrictions in relation to <sup>F121</sup>non-government controlled Ukrainian territory] U.K.**

**62.**—(1) A prohibition in <sup>F122</sup>Chapter 2 of Part 5 in so far as it is applied to non-government controlled Ukrainian territory by regulation 53A or Chapter 2A of Part 5 (goods and technology relating to non-government controlled Ukrainian territory), <sup>F123</sup>regulation 47 (imports from non-government controlled Ukrainian territory) or regulation 52(3)(a) (financial services and funds in relation to imports from non-government controlled Ukrainian territory)] is not contravened by any action in relation to goods which—

- (a) originate in <sup>F124</sup>non-government controlled Ukrainian territory], and
- (b) are the subject of a certificate of origin.

(2) In this regulation a “certificate of origin” means a document issued by the Government of Ukraine or a person acting on behalf of the Government of Ukraine confirming that the goods originate in Ukraine.

**Textual Amendments**

- F121** Words in reg. 62 heading substituted (30.3.2022 at 5.00 p.m.) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 7) Regulations 2022 (S.I. 2022/395), regs. 1(2), **28(a)**
- F122** Words in reg. 62(1) inserted (15.7.2022) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 11) Regulations 2022 (S.I. 2022/792), regs. 1(2), **10(4)** (with reg. 13)
- F123** Words in reg. 62(1) substituted (30.3.2022 at 5.00 p.m.) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 7) Regulations 2022 (S.I. 2022/395), regs. 1(2), **28(b)(i)**
- F124** Words in reg. 62(1)(a) substituted (30.3.2022 at 5.00 p.m.) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 7) Regulations 2022 (S.I. 2022/395), regs. 1(2), **28(b)(ii)**

**Commencement Information**

- I5** Reg. 62 in force at 31.12.2020 on IP completion day (in accordance with 2020 c. 1, **Sch. 5 para. 1(1)**), see reg. 1(2)

**<sup>F125</sup>Exception for authorised conduct in a relevant country U.K.**

**62A.**—(1) Where a person's conduct in a relevant country would, in the absence of this regulation, contravene a prohibition in any of regulations 11 to 15 (asset-freeze etc.) <sup>F126</sup>, 16 (securities and money market instruments), 17 (loans and credit arrangements), 17A <sup>F127</sup>(corresponding banking relationships and processing payments)] <sup>F128</sup>, 18 (investments in relation to non-government controlled Ukrainian territory)] <sup>F129</sup>, 18A (provision of foreign reserve and asset management services) <sup>F130</sup>, 18B (investments in relation to Russia) and 18C (trust services)] or <sup>F131</sup>Chapters 2 to 6 and Chapter 6B] of Part 5 (Trade) (“the relevant prohibition”), the relevant prohibition is not contravened if the conduct is authorised by a licence or other authorisation which is issued—

- (a) under the law of the relevant country, and
- (b) for the purpose of disapplying a prohibition in that jurisdiction which corresponds to the relevant prohibition.

(2) In this regulation—  
“relevant country” means—

- (a) any of the Channel Islands,
- (b) the Isle of Man, or
- (c) any British overseas territory.]

#### Textual Amendments

- F125** Reg. 62A inserted (31.12.2020 immediately after IP completion day) by [The Sanctions \(EU Exit\) \(Miscellaneous Amendments\) \(No. 4\) Regulations 2020 \(S.I. 2020/951\)](#), regs. 1(2), **10(2)**; S.I. 2020/1514, reg. 18
- F126** Words in reg. 62A(1) inserted (1.3.2022) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 2\) Regulations 2022 \(S.I. 2022/194\)](#), regs. 1(2), **11**
- F127** Words in reg. 62A(1) substituted (15.12.2023) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 4\) Regulations 2023 \(S.I. 2023/1364\)](#), regs. 1(3), **23(1)(2)(c)**
- F128** Words in reg. 62A(1) substituted (30.3.2022 at 5.00 p.m.) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 7\) Regulations 2022 \(S.I. 2022/395\)](#), regs. 1(2), **29**
- F129** Words in reg. 62A(1) substituted (19.7.2022) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 12\) Regulations 2022 \(S.I. 2022/801\)](#), regs. 1(2), **7**
- F130** Words in reg. 62A(1) substituted (16.12.2022) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 17\) Regulations 2022 \(S.I. 2022/1331\)](#), regs. 1(2)(b), **15**
- F131** Words in reg. 62A(1) substituted (21.7.2022) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 14\) Regulations 2022 \(S.I. 2022/850\)](#), regs. 1(2), **21**

#### Exception for acts done for purposes of national security or prevention of serious crime **U.K.**

**63.**—(1) Where an act would, in the absence of this paragraph, be prohibited by regulation 9(2) [<sup>F132</sup>or 9B(2)] (confidentiality) or any prohibition in Part 3 (Finance) or 5 (Trade), or under or by virtue of Part 6 (Ships) [<sup>F133</sup>or Part 6A (Aircraft)] that prohibition does not apply to the act if the act is one which a responsible officer has determined would be in the interests of—

- (a) national security, or
- (b) the prevention or detection of serious crime in the United Kingdom or elsewhere.

(2) Where, in the absence of this paragraph, a thing would be required to be done under or by virtue of a provision of Part 8 (Information and records) or Part 10 (Maritime enforcement), that requirement does not apply if a responsible officer has determined that not doing the thing in question would be in the interests of—

- (a) national security, or
- (b) the prevention or detection of serious crime in the United Kingdom or elsewhere.

(3) In this regulation “responsible officer” means a person in the service of the Crown or holding office under the Crown, acting in the course of that person's duty.

#### Textual Amendments

- F132** Words in [reg. 63\(1\)](#) inserted (30.3.2022 at 5.00 p.m.) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 7\) Regulations 2022 \(S.I. 2022/395\)](#), regs. 1(2), **30(a)**
- F133** Words in [reg. 63\(1\)](#) inserted (30.3.2022 at 5.00 p.m.) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 7\) Regulations 2022 \(S.I. 2022/395\)](#), regs. 1(2), **30(b)**



### Commencement Information

- 16** Reg. 63 in force at 31.12.2020 on IP completion day (in accordance with 2020 c. 1, Sch. 5 para. 1(1)), see reg. 1(2)

### Treasury licences **U.K.**

**64.**—(1) The prohibitions in regulations 11 to 15 (asset-freeze etc.) <sup>F134</sup>, 16 (securities and money market instruments), 17 (loans and credit arrangements), 17A <sup>F135</sup>(corresponding banking relationships and processing payments)] <sup>F136</sup>, <sup>F137</sup>18 (investments in relation to non-government controlled Ukrainian territory)] <sup>F138</sup>, 18A (provision of foreign reserve and asset management services) <sup>F139</sup>, 18B] (investments in relation to Russia)] <sup>F140</sup>, 18C (trust services)] <sup>F141</sup>and 46Z9B to 46Z9D (maritime transportation of certain oil and oil products)] do not apply to anything done under the authority of a licence issued by the Treasury under this paragraph.

<sup>F142</sup>(1A) Without prejudice to the generality of the powers conferred by paragraph (1), a licence issued by the Treasury under paragraph (1) may, in particular, authorise acts which would otherwise be prohibited by any of <sup>F143</sup>regulations 11 to <sup>F144</sup>18C]] <sup>F145</sup>or regulations 46Z9B to 46Z9D] for a particular period beginning with—

- (a) the coming into force of the prohibition, or
- (b) where the prohibition relates to a person designated for the purposes of regulations 11 to 15, <sup>F146</sup>regulation 17A or regulation 18C], the date on which the person was designated.]

(2) The Treasury may issue a licence which authorises acts by a particular person only—

- (a) in the case of acts which would otherwise be prohibited by regulations 11 to 15, where the Treasury consider that it is appropriate to issue the licence for a purpose set out in Part 1 of Schedule 5, <sup>F147</sup> ...

<sup>F148</sup>(aza) in the case of acts which would otherwise be prohibited by regulations 11 to 15, 16, 17, 17A, 18A and 18C, where the Treasury consider that it is appropriate to issue the licence for a purpose set out in Part 1ZA of Schedule 5;]

<sup>F149</sup>(aa) in the case of acts which would otherwise be prohibited by regulation 17, where the Treasury consider that it is appropriate to issue the licence for a purpose set out in Part 1A of Schedule 5,

- (ab) in the case of acts which would otherwise be prohibited by regulation 17A, where the Treasury consider that it is appropriate to issue the licence for a purpose set out in Part 1B of Schedule 5,

- (ac) in the case of acts which would otherwise be prohibited by regulation 17A(2) (processing <sup>F150</sup> ... payments), where the Treasury consider that it is appropriate to issue the licence for a purpose set out in Part 1C of Schedule 5, <sup>F151</sup> ...]

- (b) in the case of acts which would otherwise be prohibited by regulation 18, where the Treasury consider that it is appropriate to issue the licence for a purpose set out in Part 2 of Schedule 5 <sup>F152</sup>, <sup>F153</sup> ...]

<sup>F154</sup>(c) in the case of acts which would otherwise be prohibited by regulation 18A (provision of foreign exchange reserve and asset management services), where the Treasury consider that it is appropriate to issue the licence for a purpose set out in Part 1D of <sup>F155</sup>Schedule 5, <sup>F156</sup> ...]]

<sup>F157</sup>(d) in the case of acts which would otherwise be prohibited by regulation 18B (investments in relation to Russia), where the Treasury consider that it is appropriate to issue the licence for a purpose set out in Part 3 of Schedule 5, <sup>F158</sup> ...]

- [<sup>F159</sup>(da) in the case of acts which would otherwise be prohibited by regulation 18C (trust services), where the Treasury consider that it is appropriate to issue the licence for a purpose set out in Part 3A of Schedule 5, and]
- [<sup>F160</sup>(e) in the case of acts which would otherwise be prohibited by regulations 46Z9B to 46Z9D, where the Treasury consider that it is appropriate to issue the licence for the purpose set out in Part 4 of Schedule 5.]
- [<sup>F161</sup>(3) Part A1 of Schedule 5 has effect for the interpretation of terms in that Schedule.]

### Textual Amendments

- F134** Words in reg. 64(1) inserted (1.3.2022) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 2) Regulations 2022 (S.I. 2022/194), regs. 1(2), **12(a)**
- F135** Words in reg. 64(1) substituted (15.12.2023) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 4) Regulations 2023 (S.I. 2023/1364), regs. 1(3), **23(1)(2)(d)**
- F136** Words in reg. 64(1) substituted (1.3.2022 at 5.00 p.m.) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 5) Regulations 2022 (S.I. 2022/205), regs. 1(2), **5(a)**
- F137** Words in reg. 64(1) substituted (30.3.2022 at 5.00 p.m.) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 7) Regulations 2022 (S.I. 2022/395), regs. 1(2), **31(a)**
- F138** Words in reg. 64(1) substituted (19.7.2022) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 12) Regulations 2022 (S.I. 2022/801), regs. 1(2), **8(a)**
- F139** Word in reg. 64(1) substituted (5.12.2022) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 16) Regulations 2022 (S.I. 2022/1122), regs. 1(2), **7(2)(a)**
- F140** Words in reg. 64(1) inserted (16.12.2022) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 17) Regulations 2022 (S.I. 2022/1331), regs. 1(2)(b), **16(a)**
- F141** Words in reg. 64(1) inserted (5.12.2022) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 16) Regulations 2022 (S.I. 2022/1122), regs. 1(2), **7(2)(b)**
- F142** Reg. 64(1A) inserted (1.3.2022) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 2) Regulations 2022 (S.I. 2022/194), regs. 1(2), **12(b)**
- F143** Words in reg. 64(1A) substituted (19.7.2022) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 12) Regulations 2022 (S.I. 2022/801), regs. 1(2), **8(b)**
- F144** Word in reg. 64(1A) substituted (16.12.2022) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 17) Regulations 2022 (S.I. 2022/1331), regs. 1(2)(b), **16(b)(i)**
- F145** Words in reg. 64(1A) inserted (5.12.2022) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 16) Regulations 2022 (S.I. 2022/1122), regs. 1(2), **7(3)**
- F146** Words in reg. 64(1A)(b) substituted (16.12.2022) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 17) Regulations 2022 (S.I. 2022/1331), regs. 1(2)(b), **16(b)(ii)**
- F147** Word in reg. 64(2) omitted (1.3.2022) by virtue of The Russia (Sanctions) (EU Exit) (Amendment) (No. 2) Regulations 2022 (S.I. 2022/194), regs. 1(2), **12(c)(i)**
- F148** Reg. 64(2)(aza) inserted (15.12.2023) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 4) Regulations 2023 (S.I. 2023/1364), regs. 1(3), **15(2)**
- F149** Reg. 64(2)(aa)-(ac) inserted (1.3.2022) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 2) Regulations 2022 (S.I. 2022/194), regs. 1(2), **12(c)(ii)**
- F150** Word in reg. 64(2)(ac) omitted (15.12.2023) by virtue of The Russia (Sanctions) (EU Exit) (Amendment) (No. 4) Regulations 2023 (S.I. 2023/1364), regs. 1(3), **15(3)**
- F151** Word in reg. 64(2) omitted (1.3.2022 at 5.00 p.m.) by virtue of The Russia (Sanctions) (EU Exit) (Amendment) (No. 5) Regulations 2022 (S.I. 2022/205), regs. 1(2), **5(b)**
- F152** Word in reg. 64(2)(b) substituted (1.3.2022 at 5.00 p.m.) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 5) Regulations 2022 (S.I. 2022/205), regs. 1(2), **5(c)**
- F153** Word in reg. 64(2) omitted (19.7.2022) by virtue of The Russia (Sanctions) (EU Exit) (Amendment) (No. 12) Regulations 2022 (S.I. 2022/801), regs. 1(2), **8(c)**
- F154** Reg. 64(2)(c) inserted (1.3.2022 at 5.00 p.m.) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 5) Regulations 2022 (S.I. 2022/205), regs. 1(2), **5(d)**

- F155** Words in reg. 64(2)(c) substituted (19.7.2022) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 12) Regulations 2022 (S.I. 2022/801), regs. 1(2), **8(d)**
- F156** Word in reg. 64(2)(c) omitted (5.12.2022) by virtue of The Russia (Sanctions) (EU Exit) (Amendment) (No. 16) Regulations 2022 (S.I. 2022/1122), regs. 1(2), **7(4)(a)**
- F157** Reg. 64(2)(d) inserted (19.7.2022) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 12) Regulations 2022 (S.I. 2022/801), regs. 1(2), **8(e)**
- F158** Word in reg. 64(2) omitted (16.12.2022) by virtue of The Russia (Sanctions) (EU Exit) (Amendment) (No. 17) Regulations 2022 (S.I. 2022/1331), regs. 1(2)(b), **16(c)(i)**
- F159** Reg. 64(2)(da) inserted (16.12.2022) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 17) Regulations 2022 (S.I. 2022/1331), regs. 1(2)(b), **16(c)(ii)**
- F160** Reg. 64(2)(e) inserted (5.12.2022) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 16) Regulations 2022 (S.I. 2022/1122), regs. 1(2), **7(4)(c)**
- F161** Reg. 64(3) inserted (30.3.2022 at 5.00 p.m.) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 7) Regulations 2022 (S.I. 2022/395), regs. 1(2), **31(b)**

#### Commencement Information

- I7** Reg. 64 in force at 31.12.2020 on IP completion day (in accordance with 2020 c. 1, **Sch. 5 para. 1(1)**), see reg. 1(2)

#### <sup>F162</sup>Director disqualification licences **U.K.**

**64A.** The Secretary of State may issue a licence in relation to any person who is designated under regulation 5 for the purposes of regulation 19B (director disqualification sanctions) providing that the prohibitions in—

- (a) section 11A(1) of the Company Directors Disqualification Act 1986, and
- (b) Article 15A(1) of the Company Directors Disqualification (Northern Ireland) Order 2002,

do not apply to anything done under the authority of that licence.]

#### Textual Amendments

- F162** Reg. 64A inserted (16.5.2024) by The Sanctions (EU Exit) (Miscellaneous Amendments and Revocations) Regulations 2024 (S.I. 2024/643), regs. 1(2), **8(6)**

#### Trade licences **U.K.**

**65.** The prohibitions in [<sup>F163</sup>Chapters 2 to 6 and Chapter 6B] of Part 5 (Trade) [<sup>F164</sup>(other than the prohibitions in Chapter 41A of that Part)] do not apply to anything done under the authority of a licence issued by the Secretary of State under this regulation.

#### Textual Amendments

- F163** Words in reg. 65 substituted (21.7.2022) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 14) Regulations 2022 (S.I. 2022/850), regs. 1(2), **22**
- F164** Words in reg. 65 inserted (5.12.2022) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 16) Regulations 2022 (S.I. 2022/1122), regs. 1(2), **8**

#### Commencement Information

- I8** Reg. 65 in force at 31.12.2020 on IP completion day (in accordance with 2020 c. 1, **Sch. 5 para. 1(1)**), see reg. 1(2)

## <sup>F165</sup> Aircraft licences **U.K.**

**65A.** The prohibition in regulation 57J(1) (prohibition on overflight or landing) does not apply to anything done under the authority of a licence issued by the Secretary of State under this regulation.]

### Textual Amendments

**F165** Reg. 65A inserted (30.3.2022 at 5.00 p.m.) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 7\) Regulations 2022 \(S.I. 2022/395\)](#), regs. 1(2), **32**

## Licences: general provisions **U.K.**

**66.**—(1) This regulation applies in relation to Treasury licences [<sup>F166</sup>, [<sup>F167</sup>director disqualification licences,] trade licences and aircraft licences].

(2) A licence must specify the acts authorised by it.

(3) A licence may be general or may authorise acts by a particular person or persons of a particular description.

(4) A licence may —

- (a) contain conditions;
- (b) be of indefinite duration or a defined duration.

(5) A person who issues a licence may vary, revoke or suspend it at any time.

(6) A person who issues, varies, revokes or suspends a licence which authorises acts by a particular person must give written notice to that person of the issue, variation, revocation or suspension of the licence.

(7) A person who issues, varies, revokes or suspends a general licence or a licence which authorises acts by persons of a particular description must take such steps as that person considers appropriate to publicise the issue, variation, revocation or suspension of the licence.

### Textual Amendments

**F166** Words in reg. 66(1) substituted (30.3.2022 at 5.00 p.m.) by [The Russia \(Sanctions\) \(EU Exit\) \(Amendment\) \(No. 7\) Regulations 2022 \(S.I. 2022/395\)](#), regs. 1(2), **33**

**F167** Words in reg. 66(1) inserted (16.5.2024) by [The Sanctions \(EU Exit\) \(Miscellaneous Amendments and Revocations\) Regulations 2024 \(S.I. 2024/643\)](#), regs. 1(2), **8(7)**

### Commencement Information

**I9** Reg. 66 in force at 31.12.2020 on IP completion day (in accordance with [2020 c. 1, Sch. 5 para. 1\(1\)](#)), see reg. 1(2)

## Finance: licensing offences **U.K.**

**67.**—(1) A person (“P”) commits an offence if P knowingly or recklessly—

- (a) provides information that is false in a material respect, or
- (b) provides or produces a document that is not what it purports to be,

for the purpose of obtaining a Treasury licence (whether for P or anyone else).

(2) A person who purports to act under the authority of a Treasury licence but who fails to comply with any condition of the licence commits an offence.

#### Commencement Information

**I10** Reg. 67 in force at 31.12.2020 on IP completion day (in accordance with [2020 c. 1, Sch. 5 para. 1\(1\)](#)), see reg. 1(2)

#### [<sup>F168</sup> Director disqualification: licensing offences **U.K.**

**67A.**—(1) A person (“P”) commits an offence if P knowingly or recklessly—

- (a) provides information that is false in a material respect, or
- (b) provides or produces a document that is not what it purports to be,

for the purpose of obtaining a director disqualification licence (whether for P or anyone else).

(2) A person who purports to act under the authority of a director disqualification licence but who fails to comply with any condition of the licence commits an offence.

(3) A licence in respect of which an offence under paragraph (1) has been committed is to be treated as void from the time at which it was issued.]

#### Textual Amendments

**F168** Reg. 67A inserted (16.5.2024) by [The Sanctions \(EU Exit\) \(Miscellaneous Amendments and Revocations\) Regulations 2024 \(S.I. 2024/643\)](#), regs. 1(2), **8(8)**

#### Trade: licensing offences **U.K.**

**68.**—(1) A person (“P”) commits an offence if P knowingly or recklessly—

- (a) provides information that is false in a material respect, or
- (b) provides or produces a document that is not what it purports to be,

for the purpose of obtaining a trade licence (whether for P or anyone else).

(2) A person who purports to act under the authority of a trade licence but who fails to comply with any condition of the licence commits an offence.

(3) A licence in respect of which an offence under paragraph (1) has been committed is to be treated as void from the time at which it was issued.

#### Commencement Information

**I11** Reg. 68 in force at 31.12.2020 on IP completion day (in accordance with [2020 c. 1, Sch. 5 para. 1\(1\)](#)), see reg. 1(2)

#### [<sup>F169</sup> Aircraft: licensing offences **U.K.**

**68A.**—(1) A person (“P”) commits an offence if P knowingly or recklessly—

- (a) provides information that is false in a material respect, or
- (b) provides or produces a document that is not what it purports to be,

for the purpose of obtaining an aircraft licence (whether for P or anyone else).

(2) A person who purports to act under the authority of an aircraft licence but who fails to comply with any condition of the licence commits an offence.

(3) A licence in respect of which an offence under paragraph (1) has been committed is to be treated as void from the time at which it was issued.]

#### Textual Amendments

**F169** Reg. 68A inserted (30.3.2022 at 5.00 p.m.) by The Russia (Sanctions) (EU Exit) (Amendment) (No. 7) Regulations 2022 (S.I. 2022/395), regs. 1(2), 34

#### Section 8B(1) to (3) of Immigration Act 1971: directions **U.K.**

**69.**—(1) The Secretary of State may direct that, in relation to any person within regulation 20 whose name is specified, or who is of a specified description, section 8B(1) and (2) of the Immigration Act 1971, or section 8B(3) of that Act, have effect subject to specified exceptions.

(2) A direction under this regulation—

(a) may contain conditions.

(b) must be of a defined duration (and that duration may be expressed in any way, including, for example, being expressed in a way such that the direction ceases to have effect on, or within a specified period after, the occurrence of a specified event).

(3) The Secretary of State may vary, revoke or suspend a direction under this regulation at any time.

(4) On the issue, variation, revocation or suspension of a direction under this regulation, the Secretary of State may take such steps as the Secretary of State considers appropriate to publicise the issue, variation, revocation or suspension of the direction.

(5) In this regulation “specified” means specified in a direction under this regulation.

#### Commencement Information

**I12** Reg. 69 in force at 31.12.2020 on IP completion day (in accordance with 2020 c. 1, Sch. 5 para. 1(1)), see reg. 1(2)

**Changes to legislation:**

There are currently no known outstanding effects for the The Russia (Sanctions) (EU Exit) Regulations 2019, PART 7.