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► **B** ► **M30** ► **C3** **COUNCIL REGULATION (EC) No 314/2004**
of 19 February 2004
concerning restrictive measures in view of the situation in Zimbabwe ◀ ◀
(OJ L 55, 24.2.2004, p. 1)

Amended by:

		Official Journal		
		No	page	date
► M1	Commission Regulation (EC) No 1488/2004 of 20 August 2004	L 273	12	21.8.2004
► M2	Commission Regulation (EC) No 898/2005 of 15 June 2005	L 153	9	16.6.2005
► M3	Commission Regulation (EC) No 1272/2005 of 1 August 2005	L 201	40	2.8.2005
► M4	Commission Regulation (EC) No 1367/2005 of 19 August 2005	L 216	6	20.8.2005
► M5	Council Regulation (EC) No 1791/2006 of 20 November 2006	L 363	1	20.12.2006
► M6	Commission Regulation (EC) No 236/2007 of 2 March 2007	L 66	14	6.3.2007
► M7	Commission Regulation (EC) No 412/2007 of 16 April 2007	L 101	6	18.4.2007
► M8	Commission Regulation (EC) No 777/2007 of 2 July 2007	L 173	3	3.7.2007
► M9	Commission Regulation (EC) No 702/2008 of 23 July 2008	L 195	19	24.7.2008
► M10	Commission Regulation (EC) No 1226/2008 of 8 December 2008	L 331	11	10.12.2008
► M11	Commission Regulation (EC) No 77/2009 of 26 January 2009	L 23	5	27.1.2009
► M12	Commission Regulation (EU) No 173/2010 of 25 February 2010	L 51	13	2.3.2010
► M13	Commission Regulation (EU) No 174/2011 of 23 February 2011	L 49	23	24.2.2011
► M14	Commission Implementing Regulation (EU) No 151/2012 of 21 February 2012	L 49	2	22.2.2012
► M15	Commission Implementing Regulation (EU) No 145/2013 of 19 February 2013	L 47	63	20.2.2013
► M16	Council Regulation (EU) No 517/2013 of 13 May 2013	L 158	1	10.6.2013
► M17	Commission Implementing Regulation (EU) No 915/2013 of 23 September 2013	L 252	23	24.9.2013
► M18	Council Regulation (EU) No 153/2014 of 17 February 2014	L 50	1	20.2.2014

► <u>M19</u>	Commission Implementing Regulation (EU) 2015/275 of 19 February 2015	L 47	15	20.2.2015
► <u>M20</u>	Council Regulation (EU) 2015/612 of 20 April 2015	L 102	1	21.4.2015
► <u>M21</u>	Council Regulation (EU) 2015/1919 of 26 October 2015	L 281	1	27.10.2015
► <u>M22</u>	Commission Implementing Regulation (EU) 2015/1921 of 26 October 2015	L 281	5	27.10.2015
► <u>M23</u>	Council Regulation (EU) 2016/214 of 15 February 2016	L 40	1	17.2.2016
► <u>M24</u>	Commission Implementing Regulation (EU) 2016/218 of 16 February 2016	L 40	7	17.2.2016
► <u>M25</u>	Council Regulation (EU) 2017/284 of 17 February 2017	L 42	1	18.2.2017
► <u>M26</u>	Commission Implementing Regulation (EU) 2018/223 of 15 February 2018	L 43	10	16.2.2018
► <u>M27</u>	Council Regulation (EU) 2019/278 of 18 February 2019	L 47	1	19.2.2019
► <u>M28</u>	Commission Implementing Regulation (EU) 2019/283 of 18 February 2019	L 47	36	19.2.2019
► <u>M29</u>	Commission Implementing Regulation (EU) 2019/1163 of 5 July 2019	L 182	33	8.7.2019
► <u>M30</u>	Council Regulation (EU) 2020/213 of 17 February 2020	L 45	1	18.2.2020
► <u>M31</u>	Commission Implementing Regulation (EU) 2020/219 of 17 February 2020	L 44	17	18.2.2020

Corrected by:

- **C1** Corrigendum, OJ L 46, 17.2.2009, p. 79 (77/2009)
- **C2** Corrigendum, OJ L 75, 21.3.2009, p. 28 (77/2009)
- **C3** Corrigendum, OJ L 89, 24.3.2020, p. 5 (2020/213)

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COUNCIL REGULATION (EC) No 314/2004

of 19 February 2004

**concerning restrictive measures in view of the situation in
Zimbabwe**

▼ B

Article 1

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

- (a) ‘technical assistance’ means any technical support related to repairs, development, manufacture, assembly, testing, maintenance, or any other technical service, and may take forms such as instruction, advice, training, transmission of working knowledge or skills or consulting services; technical assistance includes verbal forms of assistance;
- (b) ‘funds’ means financial assets and benefits of every kind, including but not limited to:
 - (i) cash, cheques, claims on money, drafts, money orders and other payment instruments;
 - (ii) deposits with financial institutions or other entities, balances on accounts, debts and debt obligations;
 - (iii) publicly and privately traded securities and debt instruments, including stocks and shares, certificates representing securities, bonds, notes, warrants, debentures and derivatives contracts;
 - (iv) interest, dividends or other income on or value accruing from or generated by assets;
 - (v) credit, right of set-off, guarantees, performance bonds or other financial commitments;
 - (vi) letters of credit, bills of lading, bills of sale;
 - (vii) documents evidencing an interest in funds or financial resources;
 - (viii) any other instrument of export-financing;
- (c) ‘freezing of funds’ means preventing any move, transfer, alteration, use of, access to, or dealing with funds in any way that would result in any change in their volume, amount, location, ownership, possession, character, destination or other change that would enable the funds to be used, including portfolio management;
- (d) ‘economic resources’ means assets of every kind, whether tangible or intangible, movable or immovable, which are not funds but can be used to obtain funds, goods or services;

▼B

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

Article 2

It shall be prohibited:

- (a) to grant, sell, supply or transfer technical assistance related to military activities and to the provision, manufacture, maintenance and use of arms and related materiel of all types, including weapons and ammunition, military vehicles and equipment, paramilitary equipment, and spare parts for the aforementioned, directly or indirectly to any person, entity or body in, or for use in Zimbabwe;
- (b) to provide financing or financial assistance related to military activities, including in particular grants, loans and export credit insurance, for any sale, supply, transfer or export of arms and related materiel, directly or indirectly to any person, entity or body in, or for use in Zimbabwe;
- (c) to participate, knowingly and intentionally, in activities the object or effect of which is, directly or indirectly, to promote the transactions referred to at points (a) or (b).

Article 3

It shall be prohibited:

- (a) knowingly and intentionally, to sell, supply, transfer or export, directly or indirectly, equipment which might be used for internal repression as listed in Annex I, whether or not originating in the Community, to any natural or legal person, entity or body in, or for use in Zimbabwe;
- (b) to grant, sell, supply or transfer, directly or indirectly, technical assistance related to the equipment referred to at point (a), to any natural or legal person, entity or body in, or for use in Zimbabwe;
- (c) to provide, directly or indirectly, financing or financial assistance related to the equipment referred to at point (a), to any natural or legal person, entity or body in, or for use in Zimbabwe;
- (d) to participate, knowingly and intentionally, in activities the object or effect of which is, directly or indirectly, to promote the transactions referred to at points (a), (b) or (c).

▼B*Article 4*

1. By way of derogation from Articles 2 and 3 the competent authorities of Member States as listed in Annex II may authorise:
 - (a) the provision of financing and financial assistance and technical assistance related to:
 - (i) non-lethal military equipment intended solely for humanitarian or protective use, or for institution-building programmes of the United Nations, the European Union and the Community;
 - (ii) materiel intended for European Union and United Nations crisis-management operations;
 - (b) the sale, supply, transfer or export of equipment listed in Annex I intended solely for humanitarian or protective use, and the provision of financial assistance, financing and technical assistance related to these transactions.
2. No authorisations shall be granted for activities that have already taken place.

▼M25*Article 4a*

1. By way of derogation from Article 3, the competent authority, as listed in Annex II, of the Member State where the exporter is established or the Member State where the explosive substances or related equipment is supplied from, may authorise, under such conditions as it deems appropriate, the sale, supply, transfer or export of explosive substances and related equipment as listed in point 4 of Annex I and financial and technical assistance, where the explosive substances and related equipment are intended and will be used solely for civilian use in mining and infrastructure projects.
2. The authorisation referred to in this Article shall be granted in accordance with the detailed rules laid down in Article 11 of Regulation (EC) No 428/2009. The authorisation shall be valid throughout the Union.
3. Exporters shall supply the competent authority with all relevant information required for the assessment of their application for an authorisation.
4. The relevant Member State shall inform the other Members States and the Commission at least two weeks in advance of its intention to grant an authorisation referred to in paragraph 1 of this Article.

▼B*Article 5*

Articles 2 and 3 shall not apply to protective clothing, including flak jackets and military helmets, temporarily exported to Zimbabwe by United Nations personnel, personnel of the European Union, the Community or its Member States, representatives of the media and humanitarian and development workers and associated personnel for their personal use only.

▼B*Article 6*

1. All funds and economic resources belonging to individual members of the Government of Zimbabwe and to any natural or legal persons, entities or bodies associated with them as listed in Annex III shall be frozen.
2. No funds or economic resources shall be made available, directly or indirectly, to or for the benefit of natural or legal persons, entities or bodies listed in Annex III.
3. The participation, knowingly and intentionally, in activities the object or effect of which is, directly or indirectly, to promote the transactions referred to in paragraphs 1 and 2 shall be prohibited.

▼M18

4. The measures in paragraphs 1 and 2 shall be suspended in so far as they concern persons and entities listed in Annex IV.

▼B*Article 7*

1. By way of derogation from Article 6, the competent authorities of the Member States as listed in Annex II may authorise the release of certain frozen funds or economic resources or the making available of certain frozen funds or economic resources, under such conditions as they deem appropriate, after having determined that the funds or economic resources concerned are:
 - (a) necessary for basic expenses, including payments for foodstuffs, rent or mortgage, medicines and medical treatment, taxes, insurance premiums and public utility charges;
 - (b) intended exclusively for payment of reasonable professional fees and reimbursement of incurred expenses associated with the provision of legal services;
 - (c) intended exclusively for payment of fees or service charges for routine holding or maintenance of frozen funds or economic resources;
 - (d) necessary for extraordinary expenses, provided that the relevant competent authority has notified the grounds on which it considers that a specific authorisation should be granted to all other competent authorities and the Commission at least two weeks prior to the authorisation.

The relevant competent authority shall inform the competent authorities of the other Member States and the Commission of any authorisation granted under this paragraph.

2. Article 6(2) shall not apply to the addition to frozen accounts of:
 - (a) interest or other earnings on those accounts; or
 - (b) payments due under contracts, agreements or obligations that were concluded or arose prior to the date on which those accounts became subject to Regulation (EC) No 310/2002 or this Regulation,

provided that any such interest, other earnings and payments continue to be subject to Article 6(1).

▼B*Article 8*

1. Without prejudice to the applicable rules concerning reporting, confidentiality and professional secrecy and to the provisions of Article 284 of the Treaty, natural and legal persons, entities and bodies shall:
 - (a) supply immediately any information which would facilitate compliance with this Regulation, such as accounts and amounts frozen in accordance with Article 6, to the competent authorities of the Member States listed in Annex II where they are resident or located, and shall transmit such information, directly or through these competent authorities, to the Commission;
 - (b) cooperate with the competent authorities listed in Annex II in any verification of this information.
2. Any additional information directly received by the Commission shall be made available to the competent authorities of the Member State concerned.
3. Any information provided or received in accordance with this Article shall be used only for the purposes for which it was provided or received.

Article 9

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

Article 10

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

Article 11

The Commission shall be empowered to:

- (a) amend Annex II on the basis of information supplied by Member States;
- (b) amend Annex III on the basis of decisions taken in respect of the Annex to Common Position 2004/161/CFSP.

▼M21*Article 11a*

1. Annex III shall include the grounds for the listing of natural or legal persons, entities or bodies concerned.

▼ M21

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

▼ B*Article 12*

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

Article 13

This Regulation shall apply:

- (a) within the territory of the Community, including its airspace;
- (b) on board any aircraft or any vessel under the jurisdiction of a Member State;
- (c) to any person inside or outside the territory of the Community who is a national of a Member State;
- (d) to any legal person, group or entity which is incorporated or constituted under the law of a Member State;
- (e) to any legal person, group or entity doing business within the Community.

Article 14

This Regulation shall enter into force on 21 February 2004.

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

▼ **M25***ANNEX I***List of equipment which might be used for internal repression referred to in Article 3**

1. Fire-arms, ammunition and related accessories therefor, as follows:
 - 1.1. Firearms not controlled by ML 1 and ML 2 of the EU Common Military List;
 - 1.2. Ammunition specially designed for the firearms listed in 1.1 and specially designed components therefor;
 - 1.3. Weapon-sights not controlled by the EU Common Military List.
2. Bombs and grenades not controlled by the EU Common Military List.
3. Vehicles as follows:
 - 3.1. Vehicles equipped with a water cannon, specially designed or modified for the purpose of riot control;
 - 3.2. Vehicles specially designed or modified to be electrified to repel borders;
 - 3.3. Vehicles specially designed or modified to remove barricades, including construction equipment with ballistic protection;
 - 3.4. Vehicles specially designed for the transport or transfer of prisoners and/or detainees;
 - 3.5. Vehicles specially designed to deploy mobile barriers;
 - 3.6. Components for the vehicles specified in 3.1 to 3.5 specially designed for the purposes of riot control.

Note 1: This item does not control vehicles specially designed for the purposes of fire-fighting.

Note 2: For the purposes of item 3.5 the term 'vehicles' includes trailers.
4. Explosive substances and related equipment as follows:
 - 4.1. Equipment and devices specially designed to initiate explosions by electrical or nonelectrical means, including firing sets, detonators, igniters, boosters and detonating cord, and specially designed components therefor; except those specially designed for a specific commercial use consisting of the actuation or operation by explosive means of other equipment or devices the function of which is not the creation of explosions (e.g., car air-bag inflaters, electric-surge arresters of fire sprinkler actuators);
 - 4.2. Linear cutting explosive charges not controlled by the EU Common Military List;
 - 4.3. Other explosives not controlled by the EU Common Military List and related substances as follows:
 - (a) amatol;
 - (b) nitrocellulose (containing more than 12,5 % nitrogen);
 - (c) nitroglycol;
 - (d) pentaerythritol tetranitrate (PETN);
 - (e) picryl chloride;
 - (f) 2,4,6-trinitrotoluene (TNT).

▼ M25

5. Protective equipment not controlled by ML 13 of the EU Common Military List as follows:
 - 5.1. Body armour providing ballistic and/or stabbing protection;
 - 5.2. Helmets providing ballistic and/or fragmentation protection, anti-riot helmets, anti-riot shields and ballistic shields.

Note: This item does not control:

 - equipment specially designed for sports activities;
 - equipment specially designed for safety of work requirements.
6. Simulators, other than those controlled by ML 14 of the EU Common Military List, for training in the use of firearms, and specially designed software therefor.
7. Night vision, thermal imaging equipment and image intensifier tubes, other than those controlled by the EU Common Military List.
8. Razor barbed wire.
9. Military knives, combat knives and bayonets with blade lengths in excess of 10 cm.
10. Production equipment specially designed for the items specified in this list.
11. Specific technology for the development, production or use of the items specified in this list.

▼ M15*ANNEX II*

Web sites for information on the competent authorities referred to in Articles 4, 7 and 8 and address for notifications to the European Commission

▼ M29

BELGIUM

https://diplomatie.belgium.be/nl/Beleid/beleidsthemas/vrede_en_veiligheid/sancties

https://diplomatie.belgium.be/fr/politique/themes_politiques/paix_et_securite/sanctions

https://diplomatie.belgium.be/en/policy/policy_areas/peace_and_security/sanctions

BULGARIA

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

CZECH REPUBLIC

www.financnianalytickyrad.cz/mezinarodni-sankce.html

DENMARK

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

GERMANY

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

ESTONIA

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

IRELAND

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

GREECE

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

SPAIN

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

FRANCE

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

CROATIA

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

ITALY

https://www.esteri.it/mae/it/politica_estera/politica_europea/misure_deroghe

CYPRUS

http://www.mfa.gov.cy/mfa/mfa2016.nsf/mfa35_en/mfa35_en?OpenDocument

LATVIA

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

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LITHUANIA

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

LUXEMBOURG

<https://maec.gouvernement.lu/fr/directions-du-ministere/affaires-europeennes/mesures-restrictives.html>

HUNGARY

http://www.kormany.hu/download/9/2a/f0000/EU%20szankci%C3%B3s%20t%C3%A1j%C3%A9koztat%C3%B3_20170214_final.pdf

MALTA

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

NETHERLANDS

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

AUSTRIA

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

POLAND

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

PORTUGAL

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

ROMANIA

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

SLOVENIA

http://www.mzz.gov.si/si/omejevalni_ukrepi

SLOVAKIA

https://www.mzv.sk/europske_zalezitosti/europske_politiky-sankcie_eu

FINLAND

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

SWEDEN

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

UNITED KINGDOM

<https://www.gov.uk/sanctions-embargoes-and-restrictions>

Address for notifications to the European Commission:

European Commission
Service for Foreign Policy Instruments (FPI)
EEAS 07/99
B-1049 Brussels, Belgium
E-mail: relex-sanctions@ec.europa.eu

▼ **M31***ANNEX III***List of persons and entities referred to in Article 6**

I. Persons

Name (and any aliases)	Identifying information	Grounds for designation
(2) Mugabe, Grace	Born 23.7.1965 Passport AD001159 ID 63-646650Q70	Former Secretary of the ZANU-PF (Zimbabwe African National Union – Patriotic Front) Women’s league, involved in activities that seriously undermine democracy, respect for human rights and the rule of law. Took over the Iron Mask Estate in 2002; alleged to illicitly derive large profits from diamond mining.
(5) Chiwenga, Constantine	Commander Zimbabwe Defence Forces, General (former Army Commander, Lieutenant General) Born 25.8.1956 Passport AD000263 ID 63-327568M80	Member of Joint Operational Command and complicit in forming or directing repressive state policy. Used army for farm takeovers. During 2008 elections was a prime architect of the violence associated with the process of the Presidential run-off.
(6) Shiri, Perence (a.k.a. Bigboy) Samson Chikerema	Air Marshal (Air Force) Born 1.11.1955 ID 29-098876M18	Senior military officer and member of ZANU-PF Joint Operational Command and complicit in forming or directing oppressive state policy. Involved in political violence, including during the 2008 election in Mashonaland West in Chiadzwa.
(7) Sibanda, Phillip Valerio (a.k.a. Valentine)	Commander Zimbabwe National Army, Lieutenant General Born 25.8.1956 or 24.12.1954 ID 63-357671H26	Senior army figure with ties to the Government and complicit in forming or directing oppressive state policy.

II. Entities

Name	Identifying information	Grounds for designation
Zimbabwe Defence Industries	10th floor, Trustee House, 55 Samora Machel Avenue, PO Box 6597, Harare, Zimbabwe	Associated with the Ministry of Defence and the ZANU-PF faction of Government.

▼ M30*ANNEX IV***List of persons referred to in Article 6(4)**

Persons

	Name (and any aliases)
3.	Chiwenga, Constantine
4.	Shiri, Perence (a.k.a. Bigboy) Samson Chikerema
5.	Sibanda, Phillip Valerio (a.k.a. Valentine)
6.	Mugabe, Grace