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**COUNCIL REGULATION (EU) No 269/2014
of 17 March 2014**

concerning restrictive measures in respect of actions undermining or threatening the territorial integrity, sovereignty and independence of Ukraine

(OJ L 78, 17.3.2014, p. 6)

Amended by:

		Official Journal		
		No	page	date
► <u>M1</u>	Council Implementing Regulation (EU) No 284/2014 of 21 March 2014	L 86	27	21.3.2014
► <u>M2</u>	Council Implementing Regulation (EU) No 433/2014 of 28 April 2014	L 126	48	29.4.2014
► <u>M3</u>	Council Regulation (EU) No 476/2014 of 12 May 2014	L 137	1	12.5.2014
► <u>M4</u>	Council Implementing Regulation (EU) No 477/2014 of 12 May 2014	L 137	3	12.5.2014
► <u>M5</u>	Council Implementing Regulation (EU) No 577/2014 of 28 May 2014	L 160	7	29.5.2014
► <u>M6</u>	Council Implementing Regulation (EU) No 753/2014 of 11 July 2014	L 205	7	12.7.2014

**COUNCIL REGULATION (EU) No 269/2014****of 17 March 2014****concerning restrictive measures in respect of actions undermining or threatening the territorial integrity, sovereignty and independence of Ukraine**

THE COUNCIL OF THE EUROPEAN UNION,

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

Having regard to Council Decision 2014/145/CFSP of 17 March 2014 concerning restrictive measures in respect of actions undermining or threatening the territorial integrity, sovereignty and independence of Ukraine ⁽¹⁾,

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

Whereas:

- (1) On 6 March 2014, the Heads of State or Government of the Union's Member States strongly condemned the unprovoked violation of Ukrainian sovereignty and territorial integrity by the Russian Federation and called on the Russian Federation to immediately withdraw its armed forces to the areas of their permanent stationing, in accordance with the relevant agreements. They called on the Russian Federation to enable immediate access for international monitors. The Heads of State or Government considered that the decision by the Supreme Council of the Autonomous Republic of Crimea to hold a referendum on the future status of the territory is contrary to the Ukrainian Constitution and therefore illegal.
- (2) The Heads of State or Government decided to take actions, including those envisaged by the Council on 3 March 2014, notably to suspend bilateral talks with the Russian Federation on visa matters as well as talks with the Russian Federation on a comprehensive new Agreement which would replace the existing Partnership and Cooperation Agreement.
- (3) The Heads of State or Government underlined that the solution to the crisis should be found through negotiations between the Governments of Ukraine and of the Russian Federation, including through potential multilateral mechanisms, and that in the absence of results within a limited timeframe the Union will decide on additional measures, such as travel bans, asset freezes and the cancellation of the EU-Russia summit.
- (4) On 17 March 2014, the Council adopted Decision 2014/145/CFSP providing for travel restrictions and for the freezing of funds and economic resources of certain persons

⁽¹⁾ See page 16 of the Official Journal.

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responsible for actions which undermine or threaten the territorial integrity, sovereignty and independence of Ukraine, including actions on the future status of any part of the territory which are contrary to the Ukrainian Constitution, and natural or legal persons, entities or bodies associated with them. Those natural or legal persons, entities and bodies are listed in the Annex to that Decision.

- (5) Some of those measures fall within the scope of the Treaty and, therefore, in particular with a view to ensuring their uniform application in all Member States, regulatory action at the level of the Union is necessary in order to implement them.
- (6) This Regulation respects the fundamental rights and observes the principles recognised in particular by the Charter of Fundamental Rights of the European Union and in particular the right to an effective remedy and to a fair trial and the right to the protection of personal data. This Regulation should be applied in accordance with those rights and principles.
- (7) The power to amend the list in Annex I to this Regulation should be exercised by the Council, in view of the serious political situation in Ukraine, and to ensure consistency with the process for amending and reviewing the Annex to Decision 2014/145/CFSP.
- (8) The procedure for amending the list in Annex I to this Regulation should include providing designated natural or legal persons, entities or bodies with the grounds for listing, so as to give them an opportunity to submit observations. Where observations are submitted, or substantial new evidence is presented, the Council should review its decision in light of those observations and inform the person, entity or body concerned accordingly.
- (9) For the implementation of this Regulation, and in order to create maximum legal certainty within the Union, the names and other relevant data concerning natural and legal persons, entities and bodies whose funds and economic resources should be frozen in accordance with this Regulation, are to be made public. Any processing of personal data should comply with Regulation (EC) No 45/2001 of the European Parliament and of the Council ⁽¹⁾ and Directive 95/46/EC of the European Parliament and of the Council ⁽²⁾.
- (10) In order to ensure that the measures provided for in this Regulation are effective, it should enter into force immediately,

⁽¹⁾ Regulation (EC) No 45/2001 of the European Parliament and of the Council of 18 December 2000 on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies and on the free movement of such data (OJ L 8, 12.1.2001, p. 1).

⁽²⁾ Directive 95/46/EC of the European Parliament and of the Council of 24 October 1995 on the protection of individuals with regard to the processing of personal data and on the free movement of such data (OJ L 281, 23.11.1995, p. 31).

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HAS ADOPTED THIS REGULATION:

Article 1

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

- (a) ‘claim’ means any claim, whether asserted by legal proceedings or not, made before or after 17 March 2014, under or in connection with a contract or transaction, and includes in particular:
- (i) a claim for performance of any obligation arising under or in connection with a contract or transaction;
 - (ii) a claim for extension or payment of a bond, financial guarantee or indemnity of whatever form;
 - (iii) a claim for compensation in respect of a contract or transaction;
 - (iv) a counterclaim;
 - (v) a claim for the recognition or enforcement, including by the procedure of *exequatur*, of a judgment, an arbitration award or an equivalent decision, wherever made or given;
- (b) ‘contract or transaction’ means any transaction of whatever form, whatever the applicable law, and whether comprising one or more contracts or similar obligations made between the same or different parties; for this purpose ‘contract’ includes a bond, guarantee or indemnity, particularly a financial guarantee or financial indemnity, and credit, whether legally independent or not, as well as any related provision arising under, or in connection with, the transaction;
- (c) ‘competent authorities’ means the competent authorities of the Member States as identified on the websites listed in Annex II;
- (d) ‘economic resources’ means assets of every kind, whether tangible or intangible, movable or immovable, which are not funds but may be used to obtain funds, goods or services;
- (e) ‘reezing of economic resources’ means preventing the use of economic resources to obtain funds, goods or services in any way, including, but not limited to, by selling, hiring or mortgaging them;
- (f) ‘reezing 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 any other change that would enable the funds to be used, including portfolio management;
- (g) ‘funds’ means financial assets and benefits of every kind, including, but not limited to:

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- (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; and
 - (vii) documents showing evidence of an interest in funds or financial resources;
- (h) ‘territory of the Union’ means the territories of the Member States to which the Treaty is applicable, under the conditions laid down in the Treaty, including their airspace.

▼ M3*Article 2*

1. All funds and economic resources belonging to, owned, held or controlled by any natural or legal persons, entities or bodies, or natural or legal persons, entities or bodies associated with them, as listed in Annex I, 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, or natural or legal persons, entities or bodies associated with them, as listed in Annex I.

▼ B*Article 3***▼ M3**

1. Annex I shall include natural persons responsible for, actively supporting or implementing, actions or policies which undermine or threaten the territorial integrity, sovereignty and independence of Ukraine, or stability or security in Ukraine, or which obstruct the work of international organisations in Ukraine, and natural or legal persons, entities or bodies associated with them, or legal persons, entities or bodies in Crimea or Sevastopol whose ownership has been transferred contrary to Ukrainian law, or legal persons, entities or bodies which have benefited from such a transfer.

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

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3. Annex I 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.

Article 4

1. By way of derogation from Article 2, the competent authorities of the Member States may authorise the release of certain frozen funds or economic resources, or the making available of certain funds or economic resources, under such conditions as they deem appropriate, after having determined that the funds or economic resources concerned are:

- (a) necessary to satisfy the basic needs of natural or legal persons, entities or bodies listed in Annex I, and dependent family members of such natural persons, including payments for foodstuffs, rent or mortgage, medicines and medical treatment, taxes, insurance premiums, and public utility charges;
- (b) intended exclusively for payment of reasonable professional fees or 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; or
- (d) necessary for extraordinary expenses, provided that the relevant competent authority has notified the grounds on which it considers that a specific authorisation should be granted to the competent authorities of the other Member States and to the Commission at least two weeks prior to authorisation.

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

Article 5

1. By way of derogation from Article 2, the competent authorities of the Member States may authorise the release of certain frozen funds or economic resources, if the following conditions are met:

- (a) the funds or economic resources are subject to an arbitral decision rendered prior to the date on which the natural or legal person, entity or body referred to in Article 2 was included in Annex I, or of a judicial or administrative decision rendered in the Union, or a judicial decision enforceable in the Member State concerned, prior to or after that date;

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- (b) the funds or economic resources will be used exclusively to satisfy claims secured by such a decision or recognised as valid in such a decision, within the limits set by applicable laws and regulations governing the rights of persons having such claims;
 - (c) the decision is not for the benefit of a natural or legal person, entity or body listed in Annex I; and
 - (d) recognition of the decision is not contrary to public policy in the Member State concerned.
2. The Member State concerned shall inform the other Member States and the Commission of any authorisation granted under paragraph 1.

Article 6

1. By way of derogation from Article 2 and provided that a payment by a natural or legal person, entity or body listed in Annex I is due under a contract or agreement that was concluded by, or under an obligation that arose for the natural or legal person, entity or body concerned, before the date on which that natural or legal person, entity or body was included in Annex I, the competent authorities of the Member States may authorise, under such conditions as they deem appropriate, the release of certain frozen funds or economic resources, provided that the competent authority concerned has determined that:

- (a) the funds or economic resources shall be used for a payment by a natural or legal person, entity or body listed in Annex I; and
- (b) the payment is not in breach of Article 2(2).

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

Article 7

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

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

- (a) interest or other earnings on those accounts;
- (b) payments due under contracts, agreements or obligations that were concluded or arose before the date on which the natural or legal person, entity or body referred to in Article 2 has been included in Annex I; or

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

provided that any such interest, other earnings and payments are frozen in accordance with Article 2(1).

Article 8

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

- (a) supply immediately any information which would facilitate compliance with this Regulation, such as information on accounts and amounts frozen in accordance with Article 2, to the competent authority of the Member State where they are resident or located, and shall transmit such information, directly or through the Member State, to the Commission; and
- (b) cooperate with the competent authority in any verification of such information.

2. Any additional information received directly by the Commission shall be made available to the Member States.

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

It shall be prohibited to participate, knowingly and intentionally, in activities the object or effect of which is to circumvent the measures referred to in Article 2.

Article 10

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

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

▼B*Article 11*

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

- (a) designated natural or legal persons, entities or bodies listed in Annex I;
- (b) any natural or legal person, entity or body acting through or on behalf of one of the persons, entities or bodies referred to in point (a).

2. In any proceedings for the enforcement of a claim, the onus of proving that satisfying the claim is not prohibited by paragraph 1 shall be on the natural or legal person, entity or body seeking the enforcement of that claim.

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

Article 12

1. The Commission and the Member States shall inform each other of the measures taken under this Regulation and share any other relevant information at their disposal in connection with this Regulation, in particular information:

- (a) in respect of funds frozen under Article 2 and authorisations granted under Articles 4, 5 and 6;
- (b) in respect of violation and enforcement problems and judgments handed down by national courts.

2. The Member States shall immediately inform each other and the Commission of any other relevant information at their disposal which might affect the effective implementation of this Regulation.

Article 13

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

Article 14

1. Where the Council decides to subject a natural or legal person, entity or body to the measures referred to in Article 2, it shall amend Annex I accordingly.

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

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

4. The list in Annex I shall be reviewed at regular intervals and at least every 12 months.

Article 15

1. Member States shall lay down the rules on penalties applicable to infringements of the provisions of this Regulation and shall take all measures necessary to ensure that they are implemented. The penalties provided for must be effective, proportionate and dissuasive.

2. Member States shall notify the rules referred to in paragraph 1 to the Commission without delay after the entry into force of this Regulation and shall notify it of any subsequent amendment.

Article 16

1. Member States shall designate the competent authorities referred to in this Regulation and identify them on the websites listed in Annex II. Member States shall notify the Commission of any changes in the addresses of their websites listed in Annex II.

2. Member States shall notify the Commission of their competent authorities, including the contact details of those competent authorities, without delay after the entry into force of this Regulation, and shall notify it of any subsequent amendment.

3. Where this Regulation sets out a requirement to notify, inform or otherwise communicate with the Commission, the address and other contact details to be used for such communication shall be those indicated in Annex II.

Article 17

This Regulation shall apply:

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

Article 18

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

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

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ANNEX I

List of natural and legal persons, entities and bodies referred to in Article 2

	Name	Identifying information	Reasons	Date of listing
	1. Sergey Valeryevich Aksyonov	d.o.b. 26.11.1972	Aksyonov was elected 'Prime Minister of Crimea' in the Crimean Verkhovna Rada on 27 February 2014 in the presence of pro-Russian gunmen. His 'election' was decreed unconstitutional by Oleksandr Turchynov on 1 March. He actively lobbied for the 'referendum' of 16 March 2014.	17.3.2014
▼ <u>M5</u>	2. Vladimir Andreevich Konstantinov (Владимир Андреевич Константинов)	d.o.b. 19.11.1956 Vladimirovca, Slobozia District, Republic of Moldova	As speaker of the Verkhovna Rada of Crimea, Konstantinov played a relevant role in the decisions taken by the Verkhovna Rada of Crimea concerning the 'referendum' against the territorial integrity of Ukraine and called on voters to cast votes in favour of Crimean Independence.	17.3.2014
▼ <u>B</u>	3. Rustam Ilmirovich Temirgaliev	d.o.b. 15.08.1976	As Deputy Chairman of the Council of Ministers of Crimea, Temirgaliev played a relevant role in the decisions taken by the Verkhovna Rada concerning the 'referendum' against territorial integrity of Ukraine. He lobbied actively for integration of Crimea into the Russian Federation.	17.3.2014
	4. Deniz Valentinovich Berezovskiy	d.o.b. 15.07.1974	Berezovskiy was appointed commander of the Ukrainian Navy on 1 March 2014 and swore an oath to the Crimean armed force, thereby breaking his oath. The Prosecutor-General's Office of Ukraine launched an investigation against him for high treason.	17.3.2014
	5. Aleksei Mikhailovich Chaliy	d.o.b. 13.06.1961	Chaliy became 'Mayor of Sevastopol' by popular acclamation on 23 February 2014 and accepted this 'vote'. He actively campaigned for Sevastopol to become a separate entity of the Russian Federation following a referendum on 16 March 2014.	17.3.2014
▼ <u>M5</u>	6. Pyotr Anatolyevich Zima (Пётр Анатольевич Зима)	d.o.b. 29.3.1965	Zima was appointed as the new head of the Crimean Security Service (SBU) on 3 March 2014 by 'Prime Minister' Aksyonov and accepted this appointment. He has given relevant information including a database to the Russian Intelligence Service (SVR). This included information on Euro-Maidan activists and human rights defenders of Crimea. He played a relevant role in preventing Ukraine's authorities from controlling the territory of Crimea. On 11 March 2014 the formation of an independent Security Service of Crimea was proclaimed by former SBU officers of Crimea.	17.3.2014

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	Name	Identifying information	Reasons	Date of listing
7.	Yuriy Gennadyevich Zherebtsov (Юрий Геннадьевич Жеребцов)	d.o.b. 19.11.1965	Counsellor of the Speaker of the Verkhovna Rada of Crimea, one of the leading organizers of the 16 March 2014 'referendum' against Ukraine's territorial integrity.	17.3.2014
8.	Sergey Pavlovych Tsekov	d.o.b. 28.03.1953	Vice Speaker of the Verkhovna Rada; Tsekov initiated together with Sergey Aksyonov the unlawful dismissal of the government of the Autonomous Republic of Crimea (ARC). He drew into this endeavour Vladimir Konstantinov, threatening him with his dismissal. He publicly recognized that the MPs from Crimea were the initiators of inviting Russian soldiers to take over Verkhovna Rada of Crimea. He was one of the first Crimean Leaders to ask in public for annexation of Crimea to Russia.	17.3.2014
9.	Ozerov, Viktor Alekseevich	d.o.b. 5.1.1958 in Abakan, Khakassia	Chairman of the Security and Defense Committee of the Federation Council of the Russian Federation. On 1 March 2014 Ozerov, on behalf of the Security and Defense Committee of the Federation Council, publicly supported in the Federation Council the deployment of Russian forces in Ukraine.	17.3.2014
10.	Dzhabarov, Vladimir Michailovich	d.o.b. 29.9.1952	First Deputy-Chairman of the International Affairs Committee of the Federation Council of the Russian Federation. On 1 March 2014 Dzhabarov, on behalf of the International Affairs Committee of the Federation Council, publicly supported in the Federation Council the deployment of Russian forces in Ukraine.	17.3.2014
11.	Klishas, Andrei Aleksandrovich	d.o.b. 9.11.1972 in Sverdlovsk	Chairman of the Committee on Constitutional Law of the Federation Council of the Russian Federation. On 1 March 2014 Klishas publicly supported in the Federation Council the deployment of Russian forces in Ukraine. In public statements Klishas sought to justify a Russian military intervention in Ukraine by claiming that 'the Ukrainian President supports the appeal of the Crimean authorities to the President of the Russian Federation on landing an all-encompassing assistance in defense of the citizens of Crimea'.	17.3.2014
12.	Ryzhkov, Nikolai Ivanovich	d.o.b. 28.9.1929 in Duleevka, Donetsk region, Ukrainian SSR	Member of the Committee for federal issues, regional politics and the North of the Federation Council of the Russian Federation. On 1 March 2014 Ryzhkov publicly supported in the Federation Council the deployment of Russian forces in Ukraine.	17.3.2014

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	Name	Identifying information	Reasons	Date of listing
13.	Bushmin, Evgeni Viktorovich	d.o.b. 4.10.1958 in Lopatino, Sergachiisky region, RSFSR	Deputy Speaker of the Federation Council of the Russian Federation. On 1 March 2014 Bushmin publicly supported in the Federation Council the deployment of Russian forces in Ukraine.	17.3.2014
14.	Totoonov, Aleksandr Borisovich	d.o.b. 3.3.1957 in Ordzhonikidze, North Ossetia	Member of the Committee on culture, science, and information of the Federation Council of the Russian Federation. On 1 March 2014 Totoonov publicly supported in the Federation Council the deployment of Russian forces in Ukraine.	17.3.2014
15.	Pantelev, Oleg Evgenevich	d.o.b. 21.7.1952 in Zhitnikovskoe, Kurgan region	First Deputy Chairman of the Committee on Parliamentary Issues. On 1 March 2014 Pantelev publicly supported in the Federation Council the deployment of Russian forces in Ukraine.	17.3.2014
16.	Mironov, Sergei Mikhailovich	d.o.b. 14.2.1953 in Pushkin, Leningrad region	Member of the Council of the State Duma; Leader of Fair Russia faction in the Duma of the Russian Federation. Initiator of the bill allowing Russian Federation to admit in its composition, under the pretext of protection of Russian citizens, territories of a foreign country without a consent of that country or of an international treaty.	17.3.2014
17.	Zheleznyak, Sergei Vladimirovich	d.o.b. 30.7.1970 in St Petersburg (former Leningrad)	Deputy Speaker of the State Duma of the Russian Federation. Actively supporting use of Russian Armed Forces in Ukraine and annexation of Crimea. He led personally the demonstration in support of the use of Russian Armed Forces in Ukraine.	17.3.2014
18.	Slutski, Leonid Eduardovich	d.o.b. 4.01.1968 in Moscow	Chairman of the Commonwealth of Independent States (CIS) Committee of the State Duma of the Russian Federation (member of the LDPR). Actively supporting use of Russian Armed Forces in Ukraine and annexation of Crimea.	17.3.2014
19.	Vitko, Aleksandr Viktorovich	d.o.b. 13.9.1961 in Vitebsk (Belarusian SSR)	Commander of the Black Sea Fleet, Vice-Admiral. Responsible for commanding Russian forces that have occupied Ukrainian sovereign territory.	17.3.2014
▼ M5	Anatoliy Alekseevich Sidorov (Анатолий Алексеевич Сидоров)	d.o.b. 2.7.1958	Commander of Russia's Western Military District, units of which are deployed in Crimea. He is responsible for part of the Russian military presence in Crimea which is undermining the sovereignty of Ukraine and assisted the Crimean authorities in preventing public demonstrations against moves towards a 'referendum' and incorporation into Russia.	17.3.2014

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	Name	Identifying information	Reasons	Date of listing
21.	Aleksandr Viktorovich Galkin (Александр Викторович Галкин)	d.o.b. 22.3.1958	Commander of Russia's Southern Military District ('SMD'). SMD forces are deployed in Crimea. He is responsible for part of the Russian military presence in Crimea which is undermining the sovereignty of Ukraine and assisted the Crimean authorities in preventing public demonstrations against moves towards a 'referendum' and incorporation into Russia. The Black Sea Fleet comes under Galkin's command; much of the force movement into Crimea has come through the Southern Military District	17.3.2014

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22.	Rogozin, Dmitry Olegovich	d.o.b. 21.12.1963; in Moscow	Deputy Prime Minister of the Russian Federation. Publicly called for the annexation of Crimea.	21.3.2014
23.	Glazyeu, Sergey	d.o.b. 1.1.1961, Zaporozhye, (Ukrainian SSR)	Adviser to the President of the Russian Federation. Publicly called for the annexation of Crimea.	21.3.2014
24.	Matviyenko, Valentina Ivanova	d.o.b. 7.4.1949, Shepetovka, Khmel-nitskyi oblast (Ukrainian SSR)	Speaker of the Federation Council. On 1 March 2014, publicly supported in the Federation Council the deployment of Russian forces in Ukraine.	21.3.2014
25.	Naryshkin, Sergei Evgenevich	d.o.b. 27.10.1954, St Petersburg (former Leningrad)	Speaker of the State Duma. Publicly supported the deployment of Russian forces in Ukraine. Publicly supported the Russia-Crimea reunification treaty and the related federal constitutional law.	21.3.2014
26.	Kiselyov, Dmitry Konstantinovich	d.o.b. 26.4.1954	Appointed by Presidential Decree on 9 December 2013 Head of the Russian Federal State news agency "Rossiya Segodnya". Central figure of the government propaganda supporting the deployment of Russian forces in Ukraine.	21.3.2014
27.	Nosatov, Alexander Mihailovich	d.o.b. 27.3.1963 Sevastopol, (Ukrainian SSR)	Deputy-Commander of the Black Sea Fleet, Rear-Admiral Responsible for commanding Russian forces that have occupied Ukrainian sovereign territory.	21.3.2014
28.	Kulikov, Valery Vladimirovich	d.o.b. 1.9.1956, Zaporozhye, (Ukrainian SSR)	Deputy-Commander of the Black Sea Fleet, Rear Admiral Responsible for commanding Russian forces that have occupied Ukrainian sovereign territory.	21.3.2014

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	Name	Identifying information	Reasons	Date of listing
29.	Surkov, Vladislav Yurievich	d.o.b. 21.9.1964, Solntsevo, Lipetsk	Aide to the President of the Russian Federation. He was an organiser of the process in Crimea by which local Crimean communities were mobilised to stage actions undermining the Ukrainian authorities in Crimea.	21.3.2014

▼ M5

30.	Mikhail Grigoryevich Malyshev (Михаил Григорьевич Мальшев)	d.o.b. 10.10.1955	Chair of the Crimean Electoral Commission. Responsible for administering the Crimean 'referendum'. Responsible under the Russian system for signing 'referendum' results.	21.3.2014
31.	Valery Kirillovich Medvedev (Валерий Кириллович Медведев)	d.o.b. 21.8.1946 Russia	Responsible for administering the Crimean 'referendum'. Responsible under the Russian system for signing 'referendum' results.	21.3.2014
32.	LTL. Gen. Igor Nikolaevich Turchenyuk (Игорь Николаевич Турченко)	d.o.b. 5.12.1959 Kirghizia/Osh	The de-facto Commander of Russian troops deployed on the ground in Crimea (whom Russia continues to refer to officially as 'local self-defence militias').	21.3.2014
33.	Elena Borisovna Mizulina (Елена Борисовна Мизулина)	d.o.b. 9.12.1954 Buly, Kostroma Oblast	Originator and co-sponsor of recent legislative proposals in Russia that would have allowed regions of other countries to join Russia without their central authorities' prior agreement.	21.3.2014

▼ M2

34.	Dmitry Nikolayevich Kozak	Born 7.11.1958 in Kirovohrad, Ukrainian SSR	Deputy Prime Minister. Responsible for overseeing the integration of the annexed Autonomous Republic of Crimea into the Russian Federation.	29.4.2014
35.	Oleg Yevgenyevich Belaventsev	Born 15.9.1949 in Moscow	Plenipotentiary Representative of the President of the Russian Federation into the so called 'Crimean Federal District', Non-permanent member of the Russian Security Council. Responsible for the implementation of the constitutional prerogatives of the Russian Head of State on the territory of the annexed Autonomous Republic of Crimea.	29.4.2014
36.	Oleg Genrikhovich Savelyev	Born 27.10.1965 in Leningrad	Minister for Crimean Affairs. Responsible for the integration of the annexed Autonomous Republic of Crimea into the Russian Federation.	29.4.2014
37.	Sergei Ivanovich Menyailo	Born 22.8.1960 in Alagir, North-Ossetian Autonomous SSR, RSFSR	Acting governor of the Ukrainian annexed city of Sevastopol.	29.4.2014
38.	Olga Fedorovna Kovatidi	Born 7.5.1962 in Simferopol, Ukrainian SSR	Member of the Russian Federation Council from the annexed Autonomous Republic of Crimea.	29.4.2014
39.	Ludmila Ivanovna Shvetsova	Born 24.9.1949 in Alma-Ata, USSR	Deputy Chairman of State Duma, United Russia — Responsible for initiating legislation to integrate the annexed Autonomous Republic of Crimea into the Russian Federation.	29.4.2014

▼ M2

	Name	Identifying information	Reasons	Date of listing
40.	Sergei Ivanovich Neverov	Born 21.12.1961 in Tashtagol, USSR	Deputy Chairman of State Duma, United Russia. Responsible for initiating legislation to integrate the annexed Autonomous Republic of Crimea into the Russian Federation.	29.4.2014
41.	Igor Dmitrievich Sergun	Born 28.3.1957	Director of GRU (Main Intelligence Directorate), Deputy Chief of the General Staff of the Armed Forces of the Russian Federation, Lieutenant-General. Responsible for the activity of GRU officers in Eastern Ukraine.	29.4.2014
42.	Valery Vasilevich Gerasimov	Born 8.9.1955 in Kazan	Chief of the General Staff of the Armed Forces of the Russian Federation, First Deputy Minister of Defence of the Russian Federation, General of the Army. Responsible for the massive deployment of Russian troops along the border with Ukraine and lack of de-escalation of the situation.	29.4.2014
43.	German Prokopiv		Active leader of the 'Lugansk Guard'. Took part in the seizure of the building of the Lugansk regional office of the Security Service, recorded a video address to President Putin and Russia from the occupied building. Close links with the 'Army of the South-East'.	29.4.2014

▼ M5

44.	Valeriy Dmitrievich Bolotov (Валерий Дмитриевич Болотов)	d.o.b. 13.2.1970 Stachanov, Lugansk Oblast, Ukrainian SSR	One of the leaders of the separatist group 'Army of the South-East' which occupied the building of the Security Service in the Lugansk region. Before seizing the building he and other accomplices possessed arms apparently supplied illegally from Russia and from local criminal groups.	29.4.2014
45.	Andriy Yevgenevich Purgin (Андрей Евгеньевич Пургин)	d.o.b. 26.1.1972	Head of the 'Donetsk Republic', active participant and organiser of separatist actions, coordinator of actions of the 'Russian tourists' in Donetsk. Co-founder of a 'Civic initiative of Donbas for the Eurasian Union.'	29.4.2014

▼ M2

46.	Denys Pushylin	Born in Makiivka	One of the leaders of the Donetsk People's Republic. Participated in the seizure and occupation of the regional administration. Active spokesperson for the separatists.	29.4.2014
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▼ M5

47.	Sergey Gennadevich Tsyplakov (Сергей Геннадьевич Цыплаков)	d.o.b. 1.5.1983 Donetsk, Ukrainian SSR	One of the leaders of the ideologically radical organization People's Militia of Donbas. He took active part in the seizure of a number of state buildings in the Donetsk region.	29.4.2014
48.	Igor Vsevolodovich Girkin a.k.a. Igor Strelkov (Игорь Всеволодович Гиркин)	d.o.b. 17.12.1970 passport no. 4506460961	Identified as staff of main Intelligence Directorate of the General Staff of the Armed Forces of the Russian Federation (GRU). He was involved in incidents in Sloviansk. He is the assistant on security issues to Sergey Aksionov, self-proclaimed prime-minister of Crimea.	29.4.2014

▼ B▼ M4

	Name	Identifying information	Reasons	Date of listing
49.	Vyacheslav Viktorovich Volodin	Born 4 February 1964 in Alekseevka, Saratov region.	First Deputy Chief of Staff of the Presidential Administration of Russia. Responsible for overseeing the political integration of the annexed Ukrainian region of Crimea into the Russian Federation.	12.5.2014
50.	Vladimir Shamanov	Born 15.02.1954 in Barnaul.	Commander of the Russian Airborne Troops, Colonel-General. In his senior position holds responsibility for the deployment of Russian airborne forces in Crimea.	12.5.2014
51.	Vladimir Nikolaevich Pligin	Born 19.05.1960 in Ignatovo, Vologodsk Oblast, USSR.	Chair of the Duma Constitutional Law Committee. Responsible for facilitating the adoption of legislation on the annexation of Crimea and Sevastopol into the Russian Federation.	12.5.2014
52.	Petr Grigorievich Jarosh		Acting Head of the Federal Migration Service office for Crimea. Responsible for the systematic and expedited issuance of Russian passports for the residents of Crimea.	12.5.2014
53.	Oleg Grigorievich Kozyura	Born 19.12.1962 in Zaporozhye	Acting Head of the Federal Migration Service office for Sevastopol. Responsible for the systematic and expedited issuance of Russian passports for the residents of Crimea.	12.5.2014
54.	Viacheslav Ponomariov Vyacheslav Vladimirovich Ponomariov (Вячеслав Владимирович Пономарёв)	d.o.b. 2.5.1965 Slovinsk	Self-declared mayor of Sloviansk. Ponomarev called on Vladimir Putin to send Russian troops to protect the city and later asked him to supply weapons. Ponomarev's men are involved in kidnappings (they captured Ukrainian reporters Irma Krat and Simon Ostrovsky, a reporter for Vice News. Both were later released. They detained military observers deployed under OSCE Vienna Document).	12.5.2014
55.	Igor Mykolaiovych Bezler Igor Nikolaevich Bezler, (Игорь Николаевич Безлер)	d.o.b. 30.12.1965 Simferopol	One of the leaders of the self-proclaimed militia of Horlivka. He took control of the Security Service of Ukraine's office in the Donetsk region building and afterwards seized the Ministry of Internal Affairs' district station in the town of Horlivka. He has links to Igor Girkin under whose command he was involved in the murder of People's Deputy of the Horlivka's Municipal Council Volodymyr Rybak according to the SBU.	12.5.2014
56.	Igor Kakidzyanov		One of the leaders of armed forces of the self-proclaimed 'Donetsk People's Republic'. The aim of the forces is to 'protect the people of Donetsk People's Republic and territorial integrity of the republic' according to Pushylin, one of the leaders of the 'Donetsk People's Republic'.	12.5.2014

▼ M4

▼ B

	Name	Identifying information	Reasons	Date of listing
▼ <u>M5</u>				
57.	Oleg Tsariov Oleg Anatolevich Tsariov (Олег Анатолійович Царьов) (Олег Анатольевич Царёв)	d.o.b. 2.6.1970 Dnipropetrovsk	Member of the Rada. Publicly called for the creation of the Federal Republic of Novorossia, composed of South Eastern Ukrainian regions.	12.5.2014
58.	Roman Lyagin (Роман Лягин)	d.o.b. 30.5.1980 Donetsk	Head of the 'Donetsk People's Republic' Central Electoral Commission. Actively organised the referendum on 11 May on the self-determination of the 'Donetsk People's Republic'.	12.5.2014
▼ <u>M4</u>				
59.	Aleksandr Malykhin		Head of the 'Lugansk People's Republic' Central Electoral Commission. Actively organised the referendum on 11 May on the self-determination of the 'Lugansk People's Republic'.	12.5.2014
60.	Natalia Vladimirovna Poklonskaya	Born 18.03.1980 in Eupatoria.	Prosecutor of Crimea. Actively implementing Russia's annexation of Crimea.	12.5.2014
61.	Igor Sergeievich Shevchenko		Acting Prosecutor of Sevastopol. Actively implementing Russia's annexation of Sevastopol.	12.5.2014
▼ <u>M5</u>				
62.	PJSC Chernomor- neftegaz a.k.a Chornomorn- aftogaz	Prospekt Kirova/per. Sovarkomovskji 52/1 Simferopol, Crimea	On 17 March 2014 the 'Parliament of Crimea' adopted a resolution declaring the appropriation of assets belonging to Chernomor-neftegaz enterprise on behalf of the 'Republic of Crimea'. The enterprise is thus effectively confiscated by the Crimean 'authorities'.	12.5.2014
63.	Feodosia a.k.a Feodosyskoje Predpriyatije po obespetscheniju nefte- produktami	98107, Crimea, Feodosiya, Geologi- cheskaya str.2 Company providing transshipment services for crude oil and oil products.	On 17 March 2014 the 'Parliament of Crimea' adopted a resolution declaring the appropriation of assets belonging to Feodosia enterprise on behalf of the 'Republic of Crimea'. The enterprise is thus effectively confiscated by the Crimean 'authorities'.	12.5.2014
▼ <u>M6</u>				
64.	Aleksandr Yurevich BORODAI (Александр Юрьевич Бородай)	DOB: 25.7.1972 in Moscow	So called 'Prime Minister of People's Republic of Donetsk'. Responsible for the separatist 'governmental' activities of the so called 'government of the Donetsk People's Republic' (e.g. on 8 July stated 'our military is conducting a special operation against the Ukrainian "fascists"'), Signatory of the Memorandum of Understanding on 'Novorossiya union'	12.7.2014
65.	Alexander KHODA- KOVSKY (Александр Сергеевич Ходаковский)		So called 'Minister of Security of People's Republic of Donetsk'. Responsible for the separatist security activities of the so called 'government of the Donetsk People's Republic'	12.7.2014

▼ M6

	Name	Identifying information	Reasons	Date of listing
66.	Alexandr Aleksandrovich KALYUSSKY, (Александр Александрович Калусский)		So called 'de facto Deputy Prime Minister for Social Affairs of DPR'. Responsible for the separatist 'governmental' activities of the so called 'government of the Donetsk People' s Republic'	12.7.2014
67.	Alexander KHRYAKOV		So called 'Information and Mass Communications Minister of DPR'. Responsible for the pro-separatist propaganda activities of the so called 'government of the Donetsk People' s Republic'	12.7.2014
68.	Marat BASHIROV		So called 'Prime Minister of the Council of Ministers of the People' s Republic of Luhansk, confirmed on 8 Jul'. Responsible for the separatist 'governmental' activities of the so called 'government of the People' s Republic of Luhansk'	12.7.2014
69.	Vasyl NIKITIN		So called 'Vice Prime Minister of the Council of Ministers of the People's Republic of Luhansk', (used to be the so called 'Prime Minister of the People's Republic of Luhansk', and former spokesman of the 'Army of the Southeast'). Responsible for the separatist 'governmental' activities of the so called 'government of the People' s Republic of Luhansk' Responsible for the statement of the Army of the Southeast that the Ukrainian presidential elections in the 'People's Republic of Luhansk' cannot take place due to the 'new' status of the region.	12.7.2014
70.	Aleksey KARYAKIN (Алексей Карякин)	1979	So called 'Supreme Council Chair of the People' s Republic of Luhansk'. Responsible for the separatist 'governmental' activities of the 'Supreme Council', responsible for asking the Russian Federation to recognize the independence of 'People' s Republic of Luhansk' Signatory of the Memorandum of Understanding on the 'Novorossiya union'	12.7.2014
71.	Yurij IVAKIN (Юрий Ивакин)		So called 'Minister of Internal Affairs of the People' s Republic of Luhansk'. Responsible for the separatist 'governmental' activities of the so called 'government of the People' s Republic of Luhansk'	12.7.2014
72.	Igor PLOTNITSKY		So called 'Defence Minister of the People' s Republic of Luhansk'. Responsible for the separatist 'governmental' activities of the so called 'government of the People' s Republic of Luhansk'	12.7.2014

▼ **M6**

	Name	Identifying information	Reasons	Date of listing
73.	Nikolay KOZITSYN	June 20, 1956 in Donetsk region	Commander of Cossack forces. Responsible for commanding separatists in Eastern Ukraine fighting against the Ukrainian government forces	12.7.2014
74.	Oleksiy MOZGOVY (Олексій Мозговий)		One of the leaders of armed groups in Eastern Ukraine. Responsible for training separatists to fight against the Ukrainian government forces	12.7.2014

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

BELGIUM

<http://www.diplomatie.be/eusanctions>

BULGARIA

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

CZECH REPUBLIC

<http://www.mfcr.cz/mezinarodnisankce>

DENMARK

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

GERMANY

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

ESTONIA

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

IRELAND

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

GREECE

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

SPAIN

<http://www.exteriores.gob.es/Portal/es/PoliticaExteriorCooperacion/GlobalizacionOportunidadesRiesgos/Documents/ORGANISMOS%20COMPETENTES%20SANCIONES%20INTERNACIONALES.pdf>

FRANCE

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

CROATIA

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

ITALY

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

CYPRUS

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

LATVIA

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

LITHUANIA

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

LUXEMBOURG

<http://www.mae.lu/sanctions>

HUNGARY

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

▼ B

MALTA

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

NETHERLANDS

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

AUSTRIA

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

POLAND

<http://www.msz.gov.pl>

PORTUGAL

<http://www.portugal.gov.pt/pt/os-ministerios/ministerio-dos-negocios-estrangeiros/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/zunanja_politika_in_mednarodno_pravo/zunanja_politika/mednarodna_varnost/omejevalni_ukrepi/

SLOVAKIA

http://www.mzv.sk/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 02/309
B-1049 Brussels
Belgium
E-mail: relex-sanctions@ec.europa.eu