

SCHEDULES

SCHEDULE 1

Regulation 7

Rules for interpretation of regulation 7(2)

Application of Schedule

1.—(1) The rules set out in the following paragraphs of this Schedule apply for the purpose of interpreting regulation 7(2).

(2) They also apply for the purpose of interpreting this Schedule.

Commencement Information

- I1** Sch. 1 para. 1 not in force at made date, see [reg. 1\(2\)](#)
- I2** Sch. 1 para. 1 in force at 25.3.2019 by [S.I. 2019/627](#), [reg. 7\(1\)\(j\)](#)

Joint interests

2. If two or more persons each hold a share or right jointly, each of them is treated as holding that share or right.

Commencement Information

- I3** Sch. 1 para. 2 not in force at made date, see [reg. 1\(2\)](#)
- I4** Sch. 1 para. 2 in force at 25.3.2019 by [S.I. 2019/627](#), [reg. 7\(1\)\(j\)](#)

Joint arrangements

3.—(1) If shares or rights held by a person and shares or rights held by another person are the subject of a joint arrangement between those persons, each of them is treated as holding the combined shares or rights of both of them.

(2) A “joint arrangement” is an arrangement between the holders of shares or rights that they will exercise all or substantially all the rights conferred by their respective shares or rights jointly in a way that is pre-determined by the arrangement.

(3) “Arrangement” has the meaning given by paragraph 12.

Commencement Information

- I5** Sch. 1 para. 3 not in force at made date, see [reg. 1\(2\)](#)
- I6** Sch. 1 para. 3 in force at 25.3.2019 by [S.I. 2019/627](#), [reg. 7\(1\)\(j\)](#)

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Calculating shareholdings

4.—(1) In relation to a person who has a share capital, a reference to holding “more than 50% of the shares” in that person is to holding shares comprised in the issued share capital of that person of a nominal value exceeding (in aggregate) 50% of that share capital.

(2) In relation to a person who does not have a share capital—

- (a) a reference to holding shares in that person is to holding a right or rights to share in the capital or, as the case may be, profits of that person;
- (b) a reference to holding “more than 50% of the shares” in that person is to holding a right or rights to share in more than 50% of the capital or, as the case may be, profits of that person.

Commencement Information

I7 Sch. 1 para. 4 not in force at made date, see [reg. 1\(2\)](#)

I8 Sch. 1 para. 4 in force at 25.3.2019 by [S.I. 2019/627](#), [reg. 7\(1\)\(j\)](#)

Voting rights

5.—(1) A reference to the voting rights in a person is to the rights conferred on shareholders in respect of their shares (or, in the case of a person not having a share capital, on members) to vote at general meetings of the person on all or substantially all matters.

(2) In relation to a person that does not have general meetings at which matters are decided by the exercise of voting rights—

- (a) a reference to holding voting rights in the person is to be read as a reference to holding rights in relation to the person that are equivalent to those of a person entitled to exercise voting rights in a company;
- (b) a reference to holding “more than 50% of the voting rights” in the person is to be read as a reference to holding the right under the constitution of the person to block changes to the overall policy of the person or to the terms of its constitution.

Commencement Information

I9 Sch. 1 para. 5 not in force at made date, see [reg. 1\(2\)](#)

I10 Sch. 1 para. 5 in force at 25.3.2019 by [S.I. 2019/627](#), [reg. 7\(1\)\(j\)](#)

6. In applying regulation 7(2) and this Schedule, the voting rights in a person are to be reduced by any rights held by the person itself.

Commencement Information

I11 Sch. 1 para. 6 not in force at made date, see [reg. 1\(2\)](#)

I12 Sch. 1 para. 6 in force at 25.3.2019 by [S.I. 2019/627](#), [reg. 7\(1\)\(j\)](#)

Rights to appoint or remove members of the board

7. A reference to the right to appoint or remove a majority of the board of directors of a person is to the right to appoint or remove directors holding a majority of the voting rights at meetings of the board on all or substantially all matters.

Commencement Information

- I13** Sch. 1 para. 7 not in force at made date, see [reg. 1\(2\)](#)
I14 Sch. 1 para. 7 in force at 25.3.2019 by S.I. 2019/627, [reg. 7\(1\)\(j\)](#)

8. A reference to a board of directors, in the case of a person who does not have such a board, is to be read as a reference to the equivalent management body of that person.

Commencement Information

- I15** Sch. 1 para. 8 not in force at made date, see [reg. 1\(2\)](#)
I16 Sch. 1 para. 8 in force at 25.3.2019 by S.I. 2019/627, [reg. 7\(1\)\(j\)](#)

Shares or rights held “indirectly”

9.—(1) A person holds a share “indirectly” if the person has a majority stake in another person and that other person—

- (a) holds the share in question, or
- (b) is part of a chain of persons—
 - (i) each of whom (other than the last) has a majority stake in the person immediately below it in the chain, and
 - (ii) the last of whom holds the share.

(2) A person holds a right “indirectly” if the person has a majority stake in another person and that other person—

- (a) holds that right, or
- (b) is part of a chain of persons—
 - (i) each of whom (other than the last) has a majority stake in the person immediately below it in the chain, and
 - (ii) the last of whom holds that right.

(3) For these purposes, a person (“A”) has a “majority stake” in another person (“B”) if—

- (a) A holds a majority of the voting rights in B,
- (b) A is a member of B and has the right to appoint or remove a majority of the board of directors of B,
- (c) A is a member of B and controls alone, pursuant to an agreement with other shareholders or members, a majority of the voting rights in B, or
- (d) A has the right to exercise, or actually exercises, dominant influence or control over B.

(4) In the application of this paragraph to the right to appoint or remove a majority of the board of directors, a person (“A”) is to be treated as having the right to appoint a director if—

- (a) any person's appointment as director follows necessarily from that person's appointment as director of A, or
- (b) the directorship is held by A itself.

Commencement Information

- I17** Sch. 1 para. 9 not in force at made date, see [reg. 1\(2\)](#)

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I18 Sch. 1 para. 9 in force at 25.3.2019 by S.I. 2019/627, reg. 7(1)(j)

Shares held by nominees

10. A share held by a person as nominee for another is to be treated as held by the other (and not by the nominee).

Commencement Information

I19 Sch. 1 para. 10 not in force at made date, see reg. 1(2)

I20 Sch. 1 para. 10 in force at 25.3.2019 by S.I. 2019/627, reg. 7(1)(j)

Rights treated as held by person who controls their exercise

11.—(1) Where a person controls a right, the right is to be treated as held by that person (and not by the person who in fact holds the right, unless that person also controls it).

(2) A person “controls” a right if, by virtue of any arrangement between that person and others, the right is exercisable only—

- (a) by that person,
- (b) in accordance with that person's directions or instructions, or
- (c) with that person's consent or concurrence.

Commencement Information

I21 Sch. 1 para. 11 not in force at made date, see reg. 1(2)

I22 Sch. 1 para. 11 in force at 25.3.2019 by S.I. 2019/627, reg. 7(1)(j)

12. “Arrangement” includes—

- (a) any scheme, agreement or understanding, whether or not it is legally enforceable, and
- (b) any convention, custom or practice of any kind.

Commencement Information

I23 Sch. 1 para. 12 not in force at made date, see reg. 1(2)

I24 Sch. 1 para. 12 in force at 25.3.2019 by S.I. 2019/627, reg. 7(1)(j)

Rights exercisable only in certain circumstances etc.

13.—(1) Rights that are exercisable only in certain circumstances are to be taken into account only—

- (a) when the circumstances have arisen, and for so long as they continue to obtain, or
- (b) when the circumstances are within the control of the person having the rights.

(2) But rights that are exercisable by an administrator or by creditors while a person is subject to relevant insolvency proceedings are not to be taken into account while the person is subject to those proceedings.

(3) “Relevant insolvency proceedings” means—

- (a) administration within the meaning of the Insolvency Act 1986^{M1},

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- (b) administration within the meaning of the Insolvency (Northern Ireland) Order 1989^{M2}, or
 - (c) proceedings under the insolvency law of another country during which a person's assets and affairs are subject to the control or supervision of a third party or creditor.
- (4) Rights that are normally exercisable but are temporarily incapable of exercise are to continue to be taken into account.

Commencement Information

I25 Sch. 1 para. 13 not in force at made date, see [reg. 1\(2\)](#)

I26 Sch. 1 para. 13 in force at 25.3.2019 by S.I. 2019/627, [reg. 7\(1\)\(j\)](#)

Marginal Citations

M1 1986 c.45

M2 S.I. 1989/2405 (N.I. 19).

Rights attached to shares held by way of security

14. Rights attached to shares held by way of security provided by a person are to be treated for the purposes of this Schedule as held by that person—

- (a) where apart from the right to exercise them for the purpose of preserving the value of the security, or of realising it, the rights are exercisable only in accordance with that person's instructions, and
- (b) where the shares are held in connection with the granting of loans as part of normal business activities and apart from the right to exercise them for the purpose of preserving the value of the security, or of realising it, the rights are exercisable only in that person's interests.

Commencement Information

I27 Sch. 1 para. 14 not in force at made date, see [reg. 1\(2\)](#)

I28 Sch. 1 para. 14 in force at 25.3.2019 by S.I. 2019/627, [reg. 7\(1\)\(j\)](#)

SCHEDULE 2

Regulation 64

Other arms- and WMD-related goods and technology

Interpretation

1. For the purposes of this Schedule—

- (a) a reference to any item includes that item whether it is new or used;
- (b) a thing is specified in or by a Dual-Use code if it would be specified in or by that code in accordance with the Dual-Use Regulation;
- ^[F1](c) a reference to a “CAS No” followed by a numerical sequence is a reference to the CAS Registry Numbers (CAS numbers) assigned to chemicals by the Chemical Abstracts Service, a division of the American Chemical Society. In some instances chemicals are listed by name and CAS number. The list applies to chemicals of the same structural formula (including hydrates) regardless of name or CAS number. CAS numbers are shown

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to assist in identifying a particular chemical or mixture, irrespective of nomenclature. CAS numbers cannot be used as unique identifiers because some forms of the listed chemical have different CAS numbers, and mixtures containing a listed chemical may also have different CAS numbers;]

- (d) a “Dual-Use code” means an alphanumeric code as it is used in Annex I to the Dual-Use Regulation; and
- (e) “software” has the meaning given to it in the Dual-Use Regulation.

Textual Amendments

F1 Sch. 2 para. 1(c) substituted (31.12.2020 immediately after IP completion day) by The Sanctions (EU Exit) (Miscellaneous Amendments) Regulations 2020 (S.I. 2020/591), regs. 1(2), **2(12)(a)**; S.I. 2020/1514, reg. 5

Commencement Information

I29 Sch. 2 para. 1 not in force at made date, see reg. 1(2)
I30 Sch. 2 para. 1 in force at 31.12.2020 by S.I. 2019/627, **reg. 7(2)**; 2020 c. 1, Sch. 5 para. 1(1)

Principal element

- 2.—(1) Any item (“A”) not listed in any of paragraphs 3 to 79 is included in this Schedule if—
- (a) an item listed in any of paragraphs 3 to 79 is a principal element of A, and
 - (b) that principal element can be removed and used separately.
- (2) Whether an item is a principal element of any other item shall be determined having regard to quantity, value, technological know-how involved and any other relevant factors.

Commencement Information

I31 Sch. 2 para. 2 not in force at made date, see **reg. 1(2)**
I32 Sch. 2 para. 2 in force at 31.12.2020 by S.I. 2019/627, **reg. 7(2)**; 2020 c. 1, Sch. 5 para. 1(1)

Nuclear materials, facilities, and equipment

3. Hollow cathode lamps as follows—
- (a) iodine hollow cathode lamps with windows in pure silicon or quartz;
 - (b) uranium hollow cathode lamps.

Commencement Information

I33 Sch. 2 para. 3 not in force at made date, see **reg. 1(2)**
I34 Sch. 2 para. 3 in force at 31.12.2020 by S.I. 2019/627, **reg. 7(2)**; 2020 c. 1, Sch. 5 para. 1(1)

4. Faraday isolators in the wavelength range 500 nm-650 nm.

Commencement Information

I35 Sch. 2 para. 4 not in force at made date, see **reg. 1(2)**
I36 Sch. 2 para. 4 in force at 31.12.2020 by S.I. 2019/627, **reg. 7(2)**; 2020 c. 1, Sch. 5 para. 1(1)

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5. Optical gratings in the wavelength range 500 nm-650 nm.

Commencement Information

I37 Sch. 2 para. 5 not in force at made date, see [reg. 1\(2\)](#)

I38 Sch. 2 para. 5 in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

6. Optical fibres in the wavelength range 500 nm-650 nm coated with anti-reflecting layers in the wavelength range 500 nm-650 nm and having a core diameter greater than 0.4 mm but not exceeding 2 mm.

Commencement Information

I39 Sch. 2 para. 6 not in force at made date, see [reg. 1\(2\)](#)

I40 Sch. 2 para. 6 in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

7. Nuclear reactor vessel components and testing equipment, other than those specified in Dual-Use code 0A001, as follows—

- (a) seals;
- (b) internal components;
- (c) sealing, testing and measurement equipment.

Commencement Information

I41 Sch. 2 para. 7 not in force at made date, see [reg. 1\(2\)](#)

I42 Sch. 2 para. 7 in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

8.—(1) Nuclear detection systems, other than those specified in Dual-Use codes 0A001.j. or 1A004.c., for detection, identification or quantification of radioactive materials or radiation of nuclear origin and specially designed components thereof.

(2) Sub-paragraph (1) does not include personal equipment.

Commencement Information

I43 Sch. 2 para. 8 not in force at made date, see [reg. 1\(2\)](#)

I44 Sch. 2 para. 8 in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

9. Bellows-sealed valves other than those specified in Dual-Use codes 0B001.c.6., 2A226 or 2B350, made of aluminium alloy or stainless steel type 304, 304L or 316L.

Commencement Information

I45 Sch. 2 para. 9 not in force at made date, see [reg. 1\(2\)](#)

I46 Sch. 2 para. 9 in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

10.—(1) Laser mirrors, other than those specified in Dual-Use code 6A005.e., consisting of substrates having a thermal expansion coefficient of 10⁻⁶ K⁻¹ or less at 20 # (e.g. fused silica or sapphire).

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(2) Sub-paragraph (1) does not include optical systems specially designed for astronomical applications, except if the mirrors contain fused silica.

Commencement Information

I47 Sch. 2 para. 10 not in force at made date, see [reg. 1\(2\)](#)

I48 [Sch. 2 para. 10](#) in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

11. Laser lenses, other than those specified in Dual-Use code 6A005.e.2, consisting of substrates having a thermal expansion coefficient of 10– 6 K– 1 or less at 20 °C (e.g. fused silica).

Commencement Information

I49 Sch. 2 para. 11 not in force at made date, see [reg. 1\(2\)](#)

I50 [Sch. 2 para. 11](#) in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

12. Pipes, piping, flanges, fittings made of, or lined with nickel, or nickel alloy containing more than 40 % nickel by weight, other than those specified in Dual-Use code 2B350.h.1.

Commencement Information

I51 Sch. 2 para. 12 not in force at made date, see [reg. 1\(2\)](#)

I52 [Sch. 2 para. 12](#) in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

13. Vacuum pumps other than those specified in Dual-Use code 0B002.f.2. or 2B231, as follows—

- (a) turbo-molecular pumps having a flow-rate equal to or greater than 400 l/s;
- (b) roots type vacuum roughing pumps having a volumetric aspiration flow-rate greater than 200 m³/h;
- (c) bellows-sealed, scroll, dry compressor, and bellows-sealed, scroll, dry vacuum pumps.

Commencement Information

I53 Sch. 2 para. 13 not in force at made date, see [reg. 1\(2\)](#)

I54 [Sch. 2 para. 13](#) in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

14. Shielded enclosures for the manipulation, storage and handling of radioactive substances (also known as hot cells).

Commencement Information

I55 Sch. 2 para. 14 not in force at made date, see [reg. 1\(2\)](#)

I56 [Sch. 2 para. 14](#) in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

15.—(1) Natural uranium, depleted uranium or thorium in the form of metal, alloy, chemical compound or concentrate and any other material containing one or more of the foregoing, other than those specified in Dual-Use code 0C001.

(2) In this paragraph “natural uranium” and “depleted uranium” each have the meaning given to them in the Dual-Use Regulation.

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Commencement Information

I57 Sch. 2 para. 15 not in force at made date, see [reg. 1\(2\)](#)

I58 [Sch. 2 para. 15](#) in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

16. Detonation chambers having a capacity of explosion absorption of more than 2.5 kg TNT equivalent.

Commencement Information

I59 Sch. 2 para. 16 not in force at made date, see [reg. 1\(2\)](#)

I60 [Sch. 2 para. 16](#) in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

Special materials and related equipment

17. Bis(2-ethylhexyl) phosphoric acid (HDEHP or D2HPA) [^{F2}(CAS No 298-07-07)] solvent in any quantity, with a purity greater than 90 %.

Textual Amendments

F2 Words in [Sch. 2 para. 17](#) substituted (31.12.2020 immediately after IP completion day) by [The Sanctions \(EU Exit\) \(Miscellaneous Amendments\) Regulations 2020 \(S.I. 2020/591\)](#), [regs. 1\(2\)](#), [2\(12\)\(b\)](#); [S.I. 2020/1514](#), [reg. 5](#)

Commencement Information

I61 Sch. 2 para. 17 not in force at made date, see [reg. 1\(2\)](#)

I62 Sch. 2 para. 17 in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

18. Fluorine gas [^{F3}(CAS No 7782-41-4)], with a purity of at least 95 %.

Textual Amendments

F3 Words in [Sch. 2 para. 18](#) substituted (31.12.2020 immediately after IP completion day) by [The Sanctions \(EU Exit\) \(Miscellaneous Amendments\) Regulations 2020 \(S.I. 2020/591\)](#), [regs. 1\(2\)](#), [2\(12\)\(c\)](#); [S.I. 2020/1514](#), [reg. 5](#)

Commencement Information

I63 Sch. 2 para. 18 not in force at made date, see [reg. 1\(2\)](#)

I64 Sch. 2 para. 18 in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

19. Ring-shaped seals and gaskets, having an inner diameter of 400 mm or less, made of any of the following materials—

- (a) copolymers of vinylidene fluoride having 75 % or more beta crystalline structure without stretching;
- (b) fluorinated polyimides containing 10 % by weight or more of combined fluorine;
- (c) fluorinated phosphazene elastomers containing 30 % by weight or more of combined fluorine;
- (d) polychlorotrifluoroethylene (PCTFE, e.g. Kel-F ®);
- (e) fluoro-elastomers (e.g. Viton ®, Tecnoflon ®);

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(f) polytetrafluoroethylene (PTFE).

Commencement Information

I65 Sch. 2 para. 19 not in force at made date, see [reg. 1\(2\)](#)

I66 [Sch. 2 para. 19](#) in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

20. Personal equipment for detecting radiation of nuclear origin, other than that specified in Dual-Use code 1A004.c., including personal dosimeters.

Commencement Information

I67 Sch. 2 para. 20 not in force at made date, see [reg. 1\(2\)](#)

I68 [Sch. 2 para. 20](#) in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

21. Electrolytic cells for fluorine production, other than those specified in Dual-Use code 1B225, with an output capacity greater than 100 g of fluorine per hour.

Commencement Information

I69 Sch. 2 para. 21 not in force at made date, see [reg. 1\(2\)](#)

I70 [Sch. 2 para. 21](#) in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

22. Catalysts, other than those specified in Dual-Use codes 1A225 or 1B231, containing platinum, palladium or rhodium, usable for promoting the hydrogen isotope exchange reaction between hydrogen and water for the recovery of tritium from heavy water or for the production of heavy water.

Commencement Information

I71 Sch. 2 para. 22 not in force at made date, see [reg. 1\(2\)](#)

I72 [Sch. 2 para. 22](#) in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

23.—(1) Aluminium and its alloys, other than those specified in Dual-Use codes 1C002.b.4. or 1C202.a., in crude or semi-fabricated form having either of the following characteristics—

- (a) capable of an ultimate tensile strength of 460 MPa or more at 293 K (20 °C); or
- (b) having a tensile strength of 415 MPa or more at 298 K (25 °C).

(2) In this paragraph, a reference to an alloy “capable of” something encompasses alloys before or after heat treatment.

Commencement Information

I73 Sch. 2 para. 23 not in force at made date, see [reg. 1\(2\)](#)

I74 [Sch. 2 para. 23](#) in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

24.—(1) Magnetic metals, of all types and of whatever form, other than those specified in Dual-Use code 1C003.a. having an initial relative permeability of 120,000 or more and a thickness between 0.05 mm and 0.1 mm.

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(2) For the purposes of sub-paragraph (1), the measurement of initial relative permeability means that measurement performed on fully annealed materials.

Commencement Information

I75 Sch. 2 para. 24 not in force at made date, see [reg. 1\(2\)](#)

I76 [Sch. 2 para. 24](#) in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

25.—(1) Fibrous or filamentary materials or preregs, other than those specified in Dual-Use codes 1C010.a., 1C010.b., 1C210.a. or 1C210.b., as follows—

- (a) aramid fibrous or filamentary materials having either of the following characteristics—
 - (i) specific modulus exceeding 10×10^6 m; or
 - (ii) specific tensile strength exceeding 17×10^4 m;
- (b) glass fibrous or filamentary materials having either of the following characteristics:
 - (i) specific modulus exceeding $3,18 \times 10^6$ m; or
 - (ii) specific tensile strength exceeding 76.2×10^3 m;
- (c) thermoset resin-impregnated continuous yarns, rovings, tows or tapes with a width of 15 mm or less (once preregs), made from glass fibrous or filamentary materials other than those specified in 26(1)(a) below;
- (d) carbon fibrous or filamentary materials;
- (e) thermoset resin-impregnated continuous yarns, rovings, tows, or tapes, made from carbon fibrous or filamentary materials;
- (f) polyacrylonitrile (PAN) continuous yarns, rovings, tows or tapes;
- (g) para-aramid fibrous or filamentary materials (Kevlar® and other Kevlar®-like fibres).

(2) In this paragraph the following terms have the meaning given to them in the Dual-Use Regulation—

“fibrous or filamentary materials”

“specific modulus”

“specific tensile strength”

“yarns”

“rovings”

“tows”

“tapes”.

Commencement Information

I77 Sch. 2 para. 25 not in force at made date, see [reg. 1\(2\)](#)

I78 [Sch. 2 para. 25](#) in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

26.—(1) Resin-impregnated or pitch-impregnated fibres (preregs), metal or carbon-coated fibres (preforms) or carbon fibre preforms, as follows—

- (a) made from fibrous or filamentary materials specified in paragraph 25;
- (b) epoxy resin matrix impregnated carbon fibrous or filamentary materials (preregs), specified in Dual-Use codes 1C010.a., 1C010.b. or 1C010.c., for the repair of aircraft

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structures or laminates, of which the size of individual sheets does not exceed 50 cm × 90 cm;

- (c) prepregs specified in Dual-Use codes 1C010.a., 1C010.b. or 1C010.c., when impregnated with phenolic or epoxy resins having a glass transition temperature (T_g) less than 433 K (160 °C) and a cure temperature lower than the glass transition temperature.

(2) In this paragraph the following terms have the meaning given to them in the Dual-Use Regulation—

“carbon fibre preforms”;

“fibrous or filamentary materials”;

“matrix”.

Commencement Information

I79 Sch. 2 para. 26 not in force at made date, see [reg. 1\(2\)](#)

I80 Sch. 2 para. 26 in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

27.—(1) Reinforced silicon carbide ceramic composites usable for nose tips, re-entry vehicles, nozzle flaps, usable in missiles, other than those specified in Dual-Use code 1C107.

(2) In this paragraph, “missiles” has the meaning given to it in the Dual-Use Regulation.

Commencement Information

I81 Sch. 2 para. 27 not in force at made date, see [reg. 1\(2\)](#)

I82 Sch. 2 para. 27 in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

28. Tantalum, tantalum carbide, tungsten, tungsten carbide and alloys thereof, other than those specified in Dual-Use code 1C226, having both of the following characteristics—

- (a) in forms having a hollow cylindrical or spherical symmetry (including cylinder segments) with an inside diameter between 50 mm and 300 mm; and
- (b) a mass greater than 5 kg.

Commencement Information

I83 Sch. 2 para. 28 not in force at made date, see [reg. 1\(2\)](#)

I84 Sch. 2 para. 28 in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

29.—(1) Elemental powders of cobalt, neodymium or samarium or alloys or mixtures thereof containing at least 20 % by weight of cobalt, neodymium or samarium, with a particle size less than 200 µm.

(2) In this paragraph “elemental powder” means a high purity powder of one element.

Commencement Information

I85 Sch. 2 para. 29 not in force at made date, see [reg. 1\(2\)](#)

I86 Sch. 2 para. 29 in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

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30. Pure tributyl phosphate (TBP) [^{F4}(CAS No 126-73-8)] or any mixture having a TBP content of more than 5 % by weight.

Textual Amendments

F4 Words in [Sch. 2 para. 30](#) substituted (31.12.2020 immediately after IP completion day) by [The Sanctions \(EU Exit\) \(Miscellaneous Amendments\) Regulations 2020 \(S.I. 2020/591\)](#), regs. 1(2), **2(12)(d)**; [S.I. 2020/1514](#), reg. 5

Commencement Information

I87 [Sch. 2 para. 30](#) not in force at made date, see reg. 1(2)

I88 [Sch. 2 para. 30](#) in force at 31.12.2020 by [S.I. 2019/627](#), **reg. 7(2)**; 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

31.—(1) Maraging steel, other than those specified by Dual-Use codes 1C116 or 1C216.

(2) In this paragraph, “maraging steels” means iron alloys generally characterised by high nickel, very low carbon content and the use of substitutional elements or precipitates to produce strengthening and age-hardening of the alloy.

Commencement Information

I89 [Sch. 2 para. 31](#) not in force at made date, see **reg. 1(2)**

I90 [Sch. 2 para. 31](#) in force at 31.12.2020 by [S.I. 2019/627](#), **reg. 7(2)**; 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

32. Metals, metal powders and material as follows—

- (a) tungsten and tungsten alloys, other than those specified in Dual-Use code 1C117, in the form of uniform spherical or atomized particles of 500 µm (micrometre) diameter or less with a tungsten content of 97 % by weight or more;
- (b) molybdenum and molybdenum alloys, other than those specified in Dual-Use code 1C117, in the form of uniform spherical or atomized particles of 500 µm diameter or less with a molybdenum content of 97 % by weight or more;
- (c) tungsten materials in the solid form, other than those specified in Dual-Use code 1C226 having material compositions as follows—
 - (i) tungsten and alloys containing 97 % by weight or more of tungsten;
 - (ii) copper infiltrated tungsten containing 80 % by weight or more of tungsten; or
 - (iii) silver infiltrated tungsten containing 80 % by weight or more of tungsten.

Commencement Information

I91 [Sch. 2 para. 32](#) not in force at made date, see **reg. 1(2)**

I92 [Sch. 2 para. 32](#) in force at 31.12.2020 by [S.I. 2019/627](#), **reg. 7(2)**; 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

33. Soft magnetic alloys, other than those specified in Dual-Use code 1C003, having a chemical composition as follows—

- (a) iron content between 30 % and 60 %; and
- (b) cobalt content between 40 % and 60 %.

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Commencement Information

I93 Sch. 2 para. 33 not in force at made date, see [reg. 1\(2\)](#)

I94 [Sch. 2 para. 33](#) in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

34. Graphite, other than that specified in Dual-Use code 0C004 or 1C107.a., designed or specified for use in Electrical Discharge Machining (EDM) machines.

Commencement Information

I95 Sch. 2 para. 34 not in force at made date, see [reg. 1\(2\)](#)

I96 [Sch. 2 para. 34](#) in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

- 35.**—(1) Steel alloys in sheet or plate form, having any of the following characteristics—
- (a) steel alloys capable of ultimate tensile strength of 1 200 MPa or more, at 293 K (20 °C); or
 - (b) nitrogen-stabilised duplex stainless steel.
- (2) In this paragraph—
- (a) “nitrogen-stabilised duplex stainless steel” means steel with a two-phase microstructure consisting of grains of ferritic and austenitic steel with the addition of nitrogen to stabilise the microstructure;
 - (b) a reference to an alloy “capable of” something encompasses alloys before or after heat treatment.

Commencement Information

I97 Sch. 2 para. 35 not in force at made date, see [reg. 1\(2\)](#)

I98 [Sch. 2 para. 35](#) in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

36. Carbon-Carbon Composite material.

Commencement Information

I99 Sch. 2 para. 36 not in force at made date, see [reg. 1\(2\)](#)

I100 [Sch. 2 para. 36](#) in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

37. Nickel alloys in crude or semi-fabricated form, containing 60 % by weight or more nickel.

Commencement Information

I101 Sch. 2 para. 37 not in force at made date, see [reg. 1\(2\)](#)

I102 [Sch. 2 para. 37](#) in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

38.—(1) Titanium alloys in sheet or plate form capable of an ultimate tensile strength of 900 MPa or more at 293 K (20 °C).

(2) In this regulation, a reference to an alloy “capable of” something encompasses alloys before or after heat treatment

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Commencement Information

I103 Sch. 2 para. 38 not in force at made date, see [reg. 1\(2\)](#)

I104 [Sch. 2 para. 38](#) in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

39. Titanium alloys, other than those specified in Dual-Use codes 1C002 and 1C202.

Commencement Information

I105 Sch. 2 para. 39 not in force at made date, see [reg. 1\(2\)](#)

I106 [Sch. 2 para. 39](#) in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

40. Zirconium and zirconium alloys, other than those specified in Dual-Use codes 1C011, 1C111 and 1C234.

Commencement Information

I107 Sch. 2 para. 40 not in force at made date, see [reg. 1\(2\)](#)

I108 [Sch. 2 para. 40](#) in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

41. Explosive materials other than those specified in Dual-Use code 1C239, or materials or mixtures containing more than 2 % by weight of such explosive materials, with a crystalline density higher than 1.5 g/cm³ and with a detonation speed higher than 5,000 m/s

Commencement Information

I109 Sch. 2 para. 41 not in force at made date, see [reg. 1\(2\)](#)

I110 [Sch. 2 para. 41](#) in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

Materials processing

42.—(1) Vibration test systems, equipment and components thereof, other than those specified in Dual-Use code 2B116—

- (a) vibration test systems employing feedback or closed loop techniques and incorporating a digital controller, capable of vibrating a system at an acceleration equal to or greater than 0,1 g rms between 0,1 Hz and 2 kHz and imparting forces equal to or greater than 50 kN, measured “bare table”;
- (b) digital controllers, combined with specially designed vibration test software, with a real-time control bandwidth greater than 5 kHz designed for use with vibration test systems specified in paragraph (a);
- (c) vibration thrusters (shaker units), with or without associated amplifiers, capable of imparting a force equal to or greater than 50 kN, measured “bare table”, and usable in vibration test systems specified in paragraph (a);
- (d) rest piece support structures and electronic units designed to combine multiple shaker units in a system capable of providing an effective combined force equal to or greater than 50 kN, measured “bare table”, and usable in vibration systems specified in paragraph (a).

(2) In this paragraph—

“bare table” means a flat table, or surface, with no fixture or fittings.

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“real-time control bandwidth” means the maximum rate at which a controller can execute complete cycles of sampling, processing data and transmitting control signals.

Commencement Information

I111 Sch. 2 para. 42 not in force at made date, see [reg. 1\(2\)](#)

I112 Sch. 2 para. 42 in force at 31.12.2020 by S.I. 2019/627, [reg. 7\(2\)](#); 2020 c. 1, Sch. 5 para. 1(1)

43. Machine tools, other than those specified in Dual-Use codes 2B001 or 2B201 and any combination thereof, for removing (or cutting) metals, ceramics, or composites that, according to the manufacturer's technical specification, can be equipped with electronic devices for numerical control, having positioning accuracies of equal to or less (better) than 30 30 µm according to ISO 230/2 (1988) (or national equivalents) along any linear axis.

Commencement Information

I113 Sch. 2 para. 43 not in force at made date, see [reg. 1\(2\)](#)

I114 Sch. 2 para. 43 in force at 31.12.2020 by S.I. 2019/627, [reg. 7\(2\)](#); 2020 c. 1, Sch. 5 para. 1(1)

44. Components and numerical controls, specially designed for machine tools specified in Dual-Use codes 2B001, 2B201 or paragraph 43.

Commencement Information

I115 Sch. 2 para. 44 not in force at made date, see [reg. 1\(2\)](#)

I116 Sch. 2 para. 44 in force at 31.12.2020 by S.I. 2019/627, [reg. 7\(2\)](#); 2020 c. 1, Sch. 5 para. 1(1)

45. Balancing machines and related equipment as follows—

- (a) balancing machines, designed or modified for dental or other medical equipment, having all the following characteristics—
 - (i) not capable of balancing rotors/assemblies having a mass greater than 3 kg;
 - (ii) capable of balancing rotors/assemblies at speeds greater than 12 500 rpm;
 - (iii) capable of correcting unbalance in two planes or more; and
 - (iv) capable of balancing to a residual specific unbalance of 0,2 g × mm per kg of rotor mass;
- (b) indicator heads (sometimes known as balancing instrumentation) designed or modified for use with machines specified in paragraph (a).

Commencement Information

I117 Sch. 2 para. 45 not in force at made date, see [reg. 1\(2\)](#)

I118 Sch. 2 para. 45 in force at 31.12.2020 by S.I. 2019/627, [reg. 7\(2\)](#); 2020 c. 1, Sch. 5 para. 1(1)

46.—(1) Remote manipulators that can be used to provide remote actions in radiochemical separation operations or hot cells, other than those specified in Dual-Use codes 2B225, having either of the following characteristics—

- (a) a capability of penetrating a hot cell wall of 0.3 m or more (through the wall operation); or

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(b) a capability of bridging over the top of a hot cell wall with a thickness of 0.3 m or more (over the wall operation).

(2) For the purposes of this paragraph, remote manipulators provide translation of human operator actions to a remote operating arm and terminal fixture. They may be of master/slave type or operated by joystick or keypad.

Commencement Information

I119 Sch. 2 para. 46 not in force at made date, see [reg. 1\(2\)](#)

I120 Sch. 2 para. 46 in force at 31.12.2020 by S.I. 2019/627, [reg. 7\(2\)](#); 2020 c. 1, Sch. 5 para. 1(1)

47. Controlled atmosphere heat treatment furnaces or oxidation furnaces capable of operation at temperatures above 400 °C, excluding tunnel kilns with roller or car conveyance, tunnel kilns with conveyor belt, pusher type kilns or shuttle kilns, specially designed for the production of glass, tableware ceramics or structural ceramics.

Commencement Information

I121 Sch. 2 para. 47 not in force at made date, see [reg. 1\(2\)](#)

I122 Sch. 2 para. 47 in force at 31.12.2020 by S.I. 2019/627, [reg. 7\(2\)](#); 2020 c. 1, Sch. 5 para. 1(1)

48.—(1) Pressure transducers, other than those defined in Dual-Use codes 2B230, capable of measuring absolute pressures at any point in the range 0 to 200 kPa and having both of the following characteristics—

- (a) pressure sensing elements made of or protected by materials resistant to corrosion by uranium hexafluoride (UF₆); and
- (b) having either of the following characteristics:
 - (i) a full scale of less than 200 kPa and an accuracy of better than ± 1 % of full scale; or
 - (ii) a full scale of 200 kPa or greater and an accuracy of better than 2 kPa.

(2) In this paragraph, the following terms have the meaning given to them in the Dual-Use Regulation—

“accuracy”;

“pressure transducer”;

“materials resistant to corrosion by uranium hexafluoride (UF₆)”.

Commencement Information

I123 Sch. 2 para. 48 not in force at made date, see [reg. 1\(2\)](#)

I124 Sch. 2 para. 48 in force at 31.12.2020 by S.I. 2019/627, [reg. 7\(2\)](#); 2020 c. 1, Sch. 5 para. 1(1)

49.—(1) Liquid-liquid contacting equipment (mixer-settlers, pulsed columns, plate columns, centrifugal contactors); and liquid distributors, vapour distributors or liquid collectors designed for such equipment, where all surfaces that come in direct contact with the chemical(s) being processed are made from any of the following materials—

- (a) alloys with more than 25 % nickel and 20 % chromium by weight;
- (b) fluoropolymers;
- (c) glass (including vitrified or enamelled coating or glass lining);

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- (d) graphite or carbon graphite;
- (e) nickel or alloys with more than 40 % nickel by weight;
- (f) tantalum or tantalum alloys;
- (g) titanium or titanium alloys;
- (h) zirconium or zirconium alloys; or
- (i) stainless steel.

(2) In this paragraph, “carbon graphite” is a composition consisting of amorphous carbon and graphite, in which the graphite content is 8 % or more by weight.

Commencement Information

I125 Sch. 2 para. 49 not in force at made date, see [reg. 1\(2\)](#)

I126 Sch. 2 para. 49 in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

50.—(1) Industrial equipment and components, other than those specified in Dual-Use code 2B350.d., consisting of heat exchangers or condensers with a heat transfer surface area greater than 0.05 m², and less than 30 m²; and tubes, plates, coils or blocks (cores) designed for such heat exchangers or condensers, where all surfaces that come in direct contact with the fluid(s) are made from any of the following materials—

- (a) alloys with more than 25 % nickel and 20 % chromium by weight;
- (b) fluoropolymers;
- (c) glass (including vitrified or enamelled coating or glass lining);
- (d) graphite or carbon graphite;
- (e) nickel or alloys with more than 40 % nickel by weight;
- (f) tantalum or tantalum alloys;
- (g) titanium or titanium alloys;
- (h) zirconium or zirconium alloys;
- (i) silicon carbide;
- (j) titanium carbide; or
- (k) stainless steel.

(2) Sub-paragraph (1) does not include vehicle radiators.

(3) For the purposes of this paragraph—

- (a) the materials used for gaskets and seals and other implementation of sealing functions do not determine the status of control of the heat exchanger;
- (b) “carbon graphite” has the meaning given to it in the Dual-Use Regulation.

Commencement Information

I127 Sch. 2 para. 50 not in force at made date, see [reg. 1\(2\)](#)

I128 Sch. 2 para. 50 in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

51.—(1) Multiple-seal, and seal-less pumps, other than those specified in Dual-Use code 2B350.i, suitable for corrosive fluids, or vacuum pumps and casings (pump bodies), preformed casing liners,

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impellers, rotors or jet pump nozzles designed for such pumps, in which all surfaces that come in direct contact with the chemical(s) being processed are made from any of the following materials—

- (a) alloys with more than 25 % nickel and 20 % chromium by weight;
 - (b) ceramics;
 - (c) ferrosilicon;
 - (d) fluoropolymers;
 - (e) glass (including vitrified or enamelled coatings or glass lining);
 - (f) graphite or carbon graphite;
 - (g) nickel or alloys with more than 40 % nickel by weight;
 - (h) tantalum or tantalum alloys;
 - (i) titanium or titanium alloys;
 - (j) zirconium or zirconium alloys;
 - (k) niobium (columbium) or niobium alloys;
 - (l) stainless steel;
 - (m) aluminium alloys; or
 - (n) rubber, including all kinds of natural and synthetic rubbers.
- (2) For the purposes of this paragraph—
- (a) the materials used for gaskets and seals and other implementations of sealing functions do not determine the status of control of the pump;
 - (b) “carbon graphite” has the meaning given to it in the Dual-Use Regulation.

Commencement Information

I129 Sch. 2 para. 51 not in force at made date, see [reg. 1\(2\)](#)

I130 Sch. 2 para. 51 in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, Sch. 5 para. 1(1)

52.—(1) Centrifugal separators, other than those specified in Dual-Use code 2B352.c., capable of continuous separation without the propagation of aerosols and manufactured from—

- (a) alloys with more than 25 % nickel and 20 % chromium by weight;
- (b) fluoropolymers;
- (c) glass (including vitrified or enamelled coating or glass lining);
- (d) nickel or alloys with more than 40 % nickel by weight;
- (e) tantalum or tantalum alloys;
- (f) titanium or titanium alloys; or
- (g) zirconium or zirconium alloys.

(2) In this paragraph, centrifugal separators include decanters.

Commencement Information

I131 Sch. 2 para. 52 not in force at made date, see [reg. 1\(2\)](#)

I132 Sch. 2 para. 52 in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, Sch. 5 para. 1(1)

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53. Sintered metal filters, other than those specified in Dual-Use code 2B352.d., made of nickel or nickel alloy with more than 40 % nickel by weight.

Commencement Information

I133 Sch. 2 para. 53 not in force at made date, see [reg. 1\(2\)](#)

I134 Sch. 2 para. 53 in force at 31.12.2020 by S.I. 2019/627, [reg. 7\(2\)](#); 2020 c. 1, Sch. 5 para. 1(1)

54.—(1) Spin-forming machines and flow-forming machines, other than those specified by Dual-Use code 2B009, 2B109 or 2B209 and specially designed components therefor.

(2) For the purpose of sub-paragraph (1), machines combining the functions of spin-forming and flow-forming are regarded as flow-forming machines.

Commencement Information

I135 Sch. 2 para. 54 not in force at made date, see [reg. 1\(2\)](#)

I136 Sch. 2 para. 54 in force at 31.12.2020 by S.I. 2019/627, [reg. 7\(2\)](#); 2020 c. 1, Sch. 5 para. 1(1)

55.—(1) Equipment and reagents, other than those specified in Dual-Use codes 2B350 or 2B352, as follows—

- (a) fermenters capable of cultivation of pathogenic microorganisms or viruses, or capable of toxin production, without the propagation of aerosols, and having a total capacity of 10 l or more;
- (b) agitators for fermenters as mentioned in (a);
- (c) laboratory equipment as follows—
 - (i) polymerase chain reaction (PCR)-equipment;
 - (ii) genetic sequencing equipment;
 - (iii) genetic synthesizers;
 - (iv) electroporation equipment;
 - (v) specific reagents associated with the equipment in (c)(i) to (iv);
- (d) filters, micro-filters, nano-filters or ultra-filters usable in industrial or laboratory biology for continuous filtering, except filters specially designed or modified for medical or clear water production purposes and to be used in the framework of EU or UN officially supported projects;
- (e) ultracentrifuges, rotors and adaptors for ultracentrifuges;
- (f) freeze drying equipment.

(2) In this paragraph—

“fermenters” include bioreactors, chemostats and continuous-flow systems;

“Microorganisms” has the meaning given to it in the Dual-Use Regulation

Commencement Information

I137 Sch. 2 para. 55 not in force at made date, see [reg. 1\(2\)](#)

I138 Sch. 2 para. 55 in force at 31.12.2020 by S.I. 2019/627, [reg. 7\(2\)](#); 2020 c. 1, Sch. 5 para. 1(1)

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56. Equipment, other than that specified in Dual-Use code 2B005, 2B105 or 3B001.d., for the deposition of metallic overlays as follows, and specially designed components and accessories therefor—

- (a) chemical vapour deposition (CVD) production equipment;
- (b) physical vapour deposition (PVD) production equipment;
- (c) production equipment for deposition by means of inductive or resistance heating.

Commencement Information

I139 Sch. 2 para. 56 not in force at made date, see [reg. 1\(2\)](#)

I140 [Sch. 2 para. 56](#) in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

57. Open tanks or containers, with or without agitators, with a total internal (geometric) volume greater than 0.5 m³ (500 litres), where all surfaces that come in direct contact with the chemical being processed or contained are made from any of the following materials—

- (a) alloys with more than 25 % nickel and 20 % chromium by weight;
- (b) fluoropolymers;
- (c) glass (including vitrified or enamelled coatings or glass lining);
- (d) nickel or alloys with more than 40 % nickel by weight;
- (e) tantalum or tantalum alloys;
- (f) titanium or titanium alloys;
- (g) zirconium or zirconium alloys;
- (h) niobium (columbium) or niobium alloys;
- (i) stainless steel;
- (j) wood; or
- (k) rubber, including all kinds of natural and synthetic rubbers.

Commencement Information

I141 Sch. 2 para. 57 not in force at made date, see [reg. 1\(2\)](#)

I142 [Sch. 2 para. 57](#) in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

Electronics

58. High voltage direct current power supplies, other than those specified in Dual-Use code 0B001.j.5. or 3A227, having both of the following characteristics—

- (a) capable of continuously producing, over a time period of eight hours, 10 kV or more, with output power of 5 kW or more with or without sweeping; and
- (b) Current or voltage stability better than 0,1 % over a time period of four hours.

Commencement Information

I143 Sch. 2 para. 58 not in force at made date, see [reg. 1\(2\)](#)

I144 [Sch. 2 para. 58](#) in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

Status: Point in time view as at 31/12/2020.

Changes to legislation: There are outstanding changes not yet made by the legislation.gov.uk editorial team to The Democratic People's Republic of Korea (Sanctions) (EU Exit) Regulations 2019. Any changes that have already been made by the team appear in the content and are referenced with annotations. (See end of Document for details)

59.—(1) Mass spectrometers, other than those specified in Dual-Use code 0B002.g. or 3A233, capable of measuring ions of 200 atomic mass units or more and having a resolution of better than 2 parts in 200, as follows, and ion sources therefor—

- (a) inductively coupled plasma mass spectrometers (ICP/MS);
- (b) glow discharge mass spectrometers (GDMS);
- (c) thermal ionisation mass spectrometers (TIMS);
- (d) electron bombardment mass spectrometers which have a source chamber constructed from, lined with or plated with materials resistant to corrosion by uranium hexafluoride (UF₆);
- (e) molecular beam mass spectrometers having either of the following characteristics:
 - (i) a source chamber constructed from, lined with or plated with stainless steel or molybdenum and equipped with a cold trap capable of cooling to 193 K (– 80 °C) or less; or
 - (ii) a source chamber constructed from, lined with or plated with materials resistant to uranium hexafluoride (UF₆);
- (f) mass spectrometers equipped with a micro-fluorination ion source designed for actinides or actinide fluorides.

(2) In this paragraph “materials resistant to corrosion by UF₆” has the meaning given to it in the Dual-Use Regulation.

Commencement Information

I145 Sch. 2 para. 59 not in force at made date, see [reg. 1\(2\)](#)

I146 Sch. 2 para. 59 in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

60.—(1) Frequency changers or generators, other than those specified by Dual-Use code 0B001.b.13. or 3A225, having all of the following characteristics, and specially designed components and software therefor—

- (a) multiphase output capable of providing a power of 40 W or greater;
- (b) capable of operating in the frequency range between 600 and 2 000 Hz; and
- (c) frequency control better (less) than 0.1 %.

(2) In this paragraph, “frequency changers” includes converters, inverters, generators, electronic test equipment, AC power supplies, variable speed motor drives or variable frequency drives.

(3) The functionality specified in this paragraph may be met by certain equipment marketed as electronic test equipment, AC power supplies, variable speed motor drives or variable frequency drives.

Commencement Information

I147 Sch. 2 para. 60 not in force at made date, see [reg. 1\(2\)](#)

I148 Sch. 2 para. 60 in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

61. Spectrometers and diffractometers, designed for the indicative test or quantitative analysis of the elemental composition of metals or alloys without chemical decomposition of the material.

Status: Point in time view as at 31/12/2020.

Changes to legislation: There are outstanding changes not yet made by the [legislation.gov.uk](https://www.legislation.gov.uk) editorial team to The Democratic People's Republic of Korea (Sanctions) (EU Exit) Regulations 2019. Any changes that have already been made by the team appear in the content and are referenced with annotations. (See end of Document for details)

Commencement Information

I149 Sch. 2 para. 61 not in force at made date, see [reg. 1\(2\)](#)

I150 [Sch. 2 para. 61](#) in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

Sensors and lasers

62. For the purposes of paragraphs 66 to 70 and 74, “lasers” has the meaning given to it in the Dual-Use Regulation.

Commencement Information

I151 Sch. 2 para. 62 not in force at made date, see [reg. 1\(2\)](#)

I152 [Sch. 2 para. 62](#) in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

63. Yttrium aluminium garnet (YAG) rods.

Commencement Information

I153 Sch. 2 para. 63 not in force at made date, see [reg. 1\(2\)](#)

I154 [Sch. 2 para. 63](#) in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

64. Optical equipment and components, other than those specified in Dual-Use code 6A002 or 6A004.b consisting of infrared optics in the wavelength range 9µm-17µm and components thereof, including cadmium telluride (CdTe) components.

Commencement Information

I155 Sch. 2 para. 64 not in force at made date, see [reg. 1\(2\)](#)

I156 [Sch. 2 para. 64](#) in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

65.—(1) Wave front corrector systems, other than mirrors specified in Dual-Use code 6A004.a., 6A005.e. or 6A005.f., for use with a laser beam having a diameter exceeding 4 mm, and specially designed components thereof, including control systems, phase front sensors and deformable mirrors including bimorph mirrors.

(2) In this paragraph, “deformable mirrors” has the meaning given to it in the Dual-Use Regulation.

Commencement Information

I157 Sch. 2 para. 65 not in force at made date, see [reg. 1\(2\)](#)

I158 [Sch. 2 para. 65](#) in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

66. Argon ion lasers, other than those specified in Dual-Use codes 0B001.g.5., 6A005.a.6. and/ or 6A205.a., having an average output power equal to or greater than 5 W.

Commencement Information

I159 Sch. 2 para. 66 not in force at made date, see [reg. 1\(2\)](#)

Status: Point in time view as at 31/12/2020.

Changes to legislation: There are outstanding changes not yet made by the legislation.gov.uk editorial team to The Democratic People's Republic of Korea (Sanctions) (EU Exit) Regulations 2019. Any changes that have already been made by the team appear in the content and are referenced with annotations. (See end of Document for details)

I160 Sch. 2 para. 66 in force at 31.12.2020 by S.I. 2019/627, [reg. 7\(2\)](#); 2020 c. 1, Sch. 5 para. 1(1)

67.—(1) Subject to sub-paragraph (2), semiconductor lasers, other than those specified in Dual-Use code 0B001.g.5., 0B001.h.6. or 6A005.b., and components thereof, as follows—

- (a) Individual semiconductor lasers with an output power greater than 200 mW each, in quantities larger than 100;
 - (b) Semiconductor laser arrays having an output power greater than 20 W
- (2) Sub-paragraph (1) does not include laser diodes with a wavelength in the range 1,2 µm-2,0 µm.
 (3) In this paragraph “semiconductor lasers” includes items commonly called laser diodes.

Commencement Information

I161 Sch. 2 para. 67 not in force at made date, see [reg. 1\(2\)](#)

I162 Sch. 2 para. 67 in force at 31.12.2020 by S.I. 2019/627, [reg. 7\(2\)](#); 2020 c. 1, Sch. 5 para. 1(1)

68. Tunable semiconductor lasers and tunable semiconductor laser arrays, other than those specified in Dual-Use codes 0B001.h.6. or 6A005.b., of a wavelength between 9 µm and 17 µm, as well as array stacks of semiconductor lasers containing at least one tunable semiconductor laser array of such wavelength.

Commencement Information

I163 Sch. 2 para. 68 not in force at made date, see [reg. 1\(2\)](#)

I164 Sch. 2 para. 68 in force at 31.12.2020 by S.I. 2019/627, [reg. 7\(2\)](#); 2020 c. 1, Sch. 5 para. 1(1)

69.—(1) Solid state tunable lasers, other than those specified in Dual-Use code 0B001.g.5., 0B001.h.6. or 6A005.c.1., and specially designed components thereof, as follows:

- (a) titanium-sapphire lasers;
 - (b) alexandrite lasers.
- (2) In this paragraph, “tunable” has the meaning given to it in the Dual-Use Regulation.

Commencement Information

I165 Sch. 2 para. 69 not in force at made date, see [reg. 1\(2\)](#)

I166 Sch. 2 para. 69 in force at 31.12.2020 by S.I. 2019/627, [reg. 7\(2\)](#); 2020 c. 1, Sch. 5 para. 1(1)

70. Neodymium-doped (other than glass) lasers, other than those specified in Dual-Use code 6A005.c.2.b., having an output wavelength greater than 1,0 µm but not exceeding 1,1 µm and output energy exceeding 10 J per pulse.

Commencement Information

I167 Sch. 2 para. 70 not in force at made date, see [reg. 1\(2\)](#)

I168 Sch. 2 para. 70 in force at 31.12.2020 by S.I. 2019/627, [reg. 7\(2\)](#); 2020 c. 1, Sch. 5 para. 1(1)

71. Components of acousto-optics, as follows—

- (a) framing tubes and solid-state imaging devices having a recurrence frequency equal to or exceeding 1 kHz;

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- (b) recurrence frequency supplies;
- (c) pockels cells.

Commencement Information

- I169** Sch. 2 para. 71 not in force at made date, see [reg. 1\(2\)](#)
- I170** Sch. 2 para. 71 in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

72.—(1) Radiation-hardened cameras, or lenses thereof, other than those specified in Dual-Use code 6A203.c., specially designed, or rated as radiation-hardened, to withstand a total radiation dose greater than 50 × 103 Gy (silicon) (5 × 106 rad (silicon)) without operational degradation.

(2) In this paragraph, the term Gy (silicon) refers to the energy in Joules per kilogram absorbed by an unshielded silicon sample when exposed to ionising radiation.

Commencement Information

- I171** Sch. 2 para. 72 not in force at made date, see [reg. 1\(2\)](#)
- I172** Sch. 2 para. 72 in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

73. Tunable pulsed dye laser amplifiers and oscillators, other than those specified in Dual-Use codes 0B001.g.5., 6A005 and or 6A205.c., having all of the following characteristics—

- (a) operating at wavelengths between 300 nm and 800 nm;
- (b) an average output power greater than 10 W but not exceeding 30 W;
- (c) a repetition rate greater than 1 kHz; and
- (d) pulse width less than 100 ns^[F5];
- ^{F6}(e)

^{F7}but excluding single mode oscillators.]

Textual Amendments

- F5** Sch. 2 para. 73(d): comma substituted for full stop (31.12.2020 immediately after IP completion day) by [The Sanctions \(EU Exit\) \(Miscellaneous Amendments\) Regulations 2020 \(S.I. 2020/591\)](#), [regs. 1\(2\)](#), [2\(12\)\(e\)\(i\)](#); [S.I. 2020/1514](#), [reg. 5](#)
- F6** Sch. 2 para. 73(e) omitted (31.12.2020 immediately after IP completion day) by virtue of [The Sanctions \(EU Exit\) \(Miscellaneous Amendments\) Regulations 2020 \(S.I. 2020/591\)](#), [regs. 1\(2\)](#), [2\(12\)\(e\)\(ii\)](#); [S.I. 2020/1514](#), [reg. 5](#)
- F7** Words in Sch. 2 para. 73 inserted (31.12.2020 immediately after IP completion day) by [The Sanctions \(EU Exit\) \(Miscellaneous Amendments\) Regulations 2020 \(S.I. 2020/591\)](#), [regs. 1\(2\)](#), [2\(12\)\(e\)\(iii\)](#); [S.I. 2020/1514](#), [reg. 5](#)

Commencement Information

- I173** Sch. 2 para. 73 not in force at made date, see [reg. 1\(2\)](#)
- I174** Sch. 2 para. 73 in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

74. Pulsed carbon dioxide lasers, other than those specified in, Dual-Use code 0B001.h.6., 6A005.d. or 6A205.d., having all of the following characteristics—

- (a) operating at wavelengths between 9 µm and 11 µm;

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- (b) a repetition rate greater than 250 Hz;
- (c) an average output power greater than 100 W but not exceeding 500 W; and
- (d) pulse width less than 200 ns.

Commencement Information

I175 Sch. 2 para. 74 not in force at made date, see [reg. 1\(2\)](#)

I176 Sch. 2 para. 74 in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

75. Lasers, other than those specified in Dual-Use code 6A005 or 6A205.

Commencement Information

I177 Sch. 2 para. 75 not in force at made date, see [reg. 1\(2\)](#)

I178 Sch. 2 para. 75 in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

Navigation and avionics

- 76.**—(1) Inertial navigation systems and specially designed components thereof, as follows—
- (a) inertial navigation systems which are certified for use on civil aircraft by civil authorities of a State participating in the Wassenaar Arrangement, and specially designed components thereof, as follows—
 - (i) inertial navigation systems (INS) (gimballed or strapdown) and inertial equipment designed for aircraft, land vehicle, vessels (surface or underwater) or spacecraft for attitude, guidance or control, having any of the following characteristics, and specially designed components thereof—
 - (aa) navigation error (free inertial) subsequent to normal alignment of 0.8 nautical mile per hour (nm/hr) Circular Error Probable (CEP) or less (better); or
 - (bb) specified to function at linear acceleration levels exceeding 10 g;
 - (ii) hybrid Inertial Navigation Systems embedded with Global Navigation Satellite Systems(s) (GNSS) or with Data-Based Referenced Navigation (DBRN) System(s) for attitude, guidance or control, subsequent to normal alignment, having an INS navigation position accuracy, after loss of GNSS or DBRN for a period of up to four minutes, of less (better) than 10 metres Circular Error Probable (CEP);
 - (iii) inertial Equipment for Azimuth, Heading, or North Pointing having any of the following characteristics, and specially designed components thereof:
 - (aa) designed to have an Azimuth, Heading, or North Pointing accuracy equal to, or less (better) than 6 arc minutes RMS at 45 degrees latitude; or
 - (bb) designed to have a non-operating shock level of at least 900 g at a duration of at least 1 msec.
 - (b) theodolite systems incorporating inertial equipment specially designed for civil surveying purposes and designed to have an Azimuth, Heading, or North Pointing accuracy equal to, or less (better) than 6 arc minutes RMS at 45 degrees latitude, and specially designed components thereof;
 - (c) inertial or other equipment using accelerometers specified in Dual-Use code 7A001 or 7A101, where such accelerometers are specially designed and developed as MWD (Measurement While Drilling) sensors for use in down-hole well services operations.

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(2) The parameters set out in sub-paragraph (1)(a)(i) and (ii) are applicable with any of the following environmental conditions—

- (a) input random vibration with an overall magnitude of 7.7 g rms in the first half hour and a total test duration of one and a half hours per axis in each of the three perpendicular axes, when the random vibration meets the following—
 - (i) a constant power spectral density (PSD) value of 0,04 g²/Hz over a frequency interval of 15 to 1 000 Hz; and
 - (ii) the PSD attenuates with a frequency from 0,04 g²/Hz to 0,01 g²/Hz over a frequency interval from 1 000 to 2 000 Hz;
- (b) a roll and yaw rate equal to or greater than + 2,62 radian/s (150 deg/s); or
- (c) according to national standards equivalent to (i) or (ii) above.

(3) Sub-paragraph (1)(a)(ii) refers to systems in which an Inertial Navigation System and other independent navigation aids are built into a single unit (embedded) in order to achieve improved performance.

(4) In this paragraph—

- (a) the following terms have the meaning given to them in the Dual-Use Regulation—
 - “aircraft”;
 - “circular error probable”;
 - “civil aircraft”;
 - “Data-Based Referenced Navigation” ;
 - “spacecraft”.

Commencement Information

I179 Sch. 2 para. 76 not in force at made date, see [reg. 1\(2\)](#)

I180 Sch. 2 para. 76 in force at 31.12.2020 by S.I. 2019/627, [reg. 7\(2\)](#); 2020 c. 1, Sch. 5 para. 1(1)

Aerospace and propulsion

77. Explosive bolts.

Commencement Information

I181 Sch. 2 para. 77 not in force at made date, see [reg. 1\(2\)](#)

I182 Sch. 2 para. 77 in force at 31.12.2020 by S.I. 2019/627, [reg. 7\(2\)](#); 2020 c. 1, Sch. 5 para. 1(1)

78.—(1) Internal combustion engines ^{F8}... designed or modified for propelling aircraft or lighter-than-air-vehicles [^{F9}.]

[^{F10}(2) Specially designed components for the engines specified in sub-paragraph (1).]

(3) For the purposes of this paragraph—

- (a) “internal combustion engines” includes engines of axial piston and rotary piston type;
- (b) The following terms have the meaning given to them in the Dual-Use Regulation—
 - “aircraft”;
 - “airship”;

Status: Point in time view as at 31/12/2020.

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“lighter-than-air vehicle”.

Textual Amendments

- F8** Sch. 2 para. 78(1) punctuation omitted (31.12.2020 immediately after IP completion day) by virtue of The Sanctions (EU Exit) (Miscellaneous Amendments) Regulations 2020 (S.I. 2020/591), regs. 1(2), **2(12)(f)(i)(aa)**; S.I. 2020/1514, reg. 5
- F9** Sch. 2 para. 78(1): full stop substituted for word (31.12.2020 immediately after IP completion day) by The Sanctions (EU Exit) (Miscellaneous Amendments) Regulations 2020 (S.I. 2020/591), regs. 1(2), **2(12)(f)(i)(bb)**; S.I. 2020/1514, reg. 5
- F10** Sch. 2 para. 78(2) substituted (31.12.2020 immediately after IP completion day) by The Sanctions (EU Exit) (Miscellaneous Amendments) Regulations 2020 (S.I. 2020/591), regs. 1(2), **2(12)(f)(ii)**; S.I. 2020/1514, reg. 5

Commencement Information

- I183** Sch. 2 para. 78 not in force at made date, see reg. 1(2)
- I184** Sch. 2 para. 78 in force at 31.12.2020 by S.I. 2019/627, **reg. 7(2)**; 2020 c. 1, Sch. 5 para. 1(1)

79. Trucks, other than those specified in Dual-Use code 9A115, having more than one motorised axle and a payload exceeding 5 tonnes, including flatbed trailers, semi trailers and other trailers.

Commencement Information

- I185** Sch. 2 para. 79 not in force at made date, see **reg. 1(2)**
- I186** Sch. 2 para. 79 in force at 31.12.2020 by S.I. 2019/627, **reg. 7(2)**; 2020 c. 1, Sch. 5 para. 1(1)

Software and Technology

80.—(1) Software required for the development, production or use of goods listed in paragraphs 3 to 79 of this Schedule.

(2) Subject to sub-paragraph (2) technology required for the development, production or use of goods listed in paragraphs 3 to 79 of this Schedule.

(3) In this paragraph, the following terms have the meaning given to them in the Dual-Use Regulation—

“development”

“required”;

“production”

“technology”

“use”.

Commencement Information

- I187** Sch. 2 para. 80 not in force at made date, see **reg. 1(2)**
- I188** Sch. 2 para. 80 in force at 31.12.2020 by S.I. 2019/627, **reg. 7(2)**; 2020 c. 1, Sch. 5 para. 1(1)

Certain key components for the ballistic-missile sector.

81. Any goods listed in Part III of Annex II of Council Regulation (EU) No 2017/1509 of 30 August 2017 concerning restrictive measures against the Democratic People's Republic of Korea and repealing Regulation (EC) No 329/2007, as it has effect immediately before ^{F11}IP completion day].

Textual Amendments

F11 Words in Sch. 2 para. 81 substituted (31.12.2020 immediately after IP completion day) by The Sanctions (EU Exit) (Miscellaneous Amendments) Regulations 2020 (S.I. 2020/591), regs. 1(2), **2(12)(g)**; S.I. 2020/1514, reg. 5

Commencement Information

I189 Sch. 2 para. 81 not in force at made date, see reg. 1(2)

I190 Sch. 2 para. 81 in force at 31.12.2020 by S.I. 2019/627, **reg. 7(2)**; 2020 c. 1, Sch. 5 para. 1(1)

SCHEDULE 3

Regulation 88

Treasury licences: purposes

PART 1

Designated Persons

Basic needs

1.—(1) To enable the basic needs of a designated person, or (in the case of an individual) any dependent family member of such a person, to be met.

(2) In the case of an individual, in sub-paragraph (1) “basic needs” includes—

- (a) medical needs;
- (b) needs for—
 - (i) food;
 - (ii) ^{F12}payment of insurance premiums;
 - (iii) ^{F13}payment of tax;
 - (iv) rent or mortgage payments;
 - (v) utility payments.

(3) In the case of a person other than an individual, in sub-paragraph (1) “basic needs” includes needs for—

- (a) payment of insurance premiums;
- (b) payment of reasonable fees for the provision of property management services;
- (c) payment of remuneration, allowances or pensions of employees;
- (d) payment of tax;
- (e) rent or mortgage payments;
- (f) utility payments.

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(4) In sub-paragraph (1)—

“dependent” means financially dependent;

“family member” includes—

- (a) the wife or husband of the designated person;
- (b) the civil partner of the designated person;
- (c) any parent or other ascendant of the designated person;
- (d) any child or other descendant of the designated person;
- (e) any person who is a brother or sister of the designated person, or a child or other descendant of such a person.

Textual Amendments

F12 Word in Sch. 3 para. 1(2)(b)(ii) substituted (31.12.2020 immediately after IP completion day) by The Sanctions (EU Exit) (Miscellaneous Amendments) Regulations 2020 (S.I. 2020/591), regs. 1(2), **2(13)**; S.I. 2020/1514, reg. 5

F13 Word in Sch. 3 para. 1(2)(b)(iii) substituted (31.12.2020 immediately after IP completion day) by The Sanctions (EU Exit) (Miscellaneous Amendments) Regulations 2020 (S.I. 2020/591), regs. 1(2), **2(13)**; S.I. 2020/1514, reg. 5

Commencement Information

I191 Sch. 3 para. 1 not in force at made date, see reg. 1(2)

I192 Sch. 3 para. 1 in force at 31.12.2020 by S.I. 2019/627, **reg. 7(2)**; 2020 c. 1, Sch. 5 para. 1(1)

Legal services

2. To enable the payment of—

- (a) reasonable professional fees for the provision of legal services, or
- (b) reasonable expenses associated with the provision of legal services.

Commencement Information

I193 Sch. 3 para. 2 not in force at made date, see **reg. 1(2)**

I194 Sch. 3 para. 2 in force at 31.12.2020 by S.I. 2019/627, **reg. 7(2)**; 2020 c. 1, Sch. 5 para. 1(1)

Maintenance of frozen funds and economic resources

3. To enable the payment of—

- (a) reasonable fees, or
- (b) reasonable service charges,

arising from the routine holding or maintenance of frozen funds or economic resources.

Commencement Information

I195 Sch. 3 para. 3 not in force at made date, see **reg. 1(2)**

I196 Sch. 3 para. 3 in force at 31.12.2020 by S.I. 2019/627, **reg. 7(2)**; 2020 c. 1, Sch. 5 para. 1(1)

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Extraordinary expenses

4. To enable an extraordinary expense of a designated person to be met.

Commencement Information

- I197** Sch. 3 para. 4 not in force at made date, see [reg. 1\(2\)](#)
I198 Sch. 3 para. 4 in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, Sch. 5 para. 1(1)

Pre-existing judicial decisions etc.

5. To enable, by the use of a designated person's frozen funds or economic resources, the implementation or satisfaction (in whole or in part) of a judicial, administrative or arbitral decision or lien, provided that—

- (a) the funds or economic resources so used are the subject of the decision or lien,
- (b) the decision or lien—
 - (i) was made or established before the date on which the person became a designated person, and
 - (ii) is enforceable in the United Kingdom, and
- (c) the use of the frozen funds or economic resources does not directly or indirectly benefit any other designated person.

Commencement Information

- I199** Sch. 3 para. 5 not in force at made date, see [reg. 1\(2\)](#)
I200 Sch. 3 para. 5 in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, Sch. 5 para. 1(1)

Humanitarian assistance activities etc.

6. To enable anything to be done in connection with the performance of—
- (a) any humanitarian assistance activity, or
 - (b) any activity whose purpose is consistent with the objectives of resolution 1718, 1874, 2087, 2094, 2270, 2321, 2356, 2371, 2375 or 2397.

Commencement Information

- I201** Sch. 3 para. 6 not in force at made date, see [reg. 1\(2\)](#)
I202 Sch. 3 para. 6 in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, Sch. 5 para. 1(1)

Diplomatic missions etc.

7. To enable anything to be done in order that the functions of a diplomatic mission or consular post in the DPRK, or of an international organisation enjoying immunities in accordance with international law, may be carried out.

Commencement Information

- I203** Sch. 3 para. 7 not in force at made date, see [reg. 1\(2\)](#)

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I204 Sch. 3 para. 7 in force at 31.12.2020 by S.I. 2019/627, reg. 7(2); 2020 c. 1, Sch. 5 para. 1(1)

PART 2

Non-UN designated persons

Prior obligations

8. To enable, by the use of a non-UN designated person's frozen funds or economic resources, the satisfaction of an obligation of that person (whether arising under a contract, other agreement or otherwise), provided that—

- (a) the obligation—
 - (i) arose before the date on which the person became a non-UN designated person, and
 - (ii) does not relate to—
 - (aa) restricted goods or restricted technology,
 - (bb) armed forces goods or armed forces technology,
 - (cc) goods or technology for use by the armed forces of the DPRK, or
 - (dd) technical assistance, financial services, funds or brokering services related to restricted goods or restricted technology;
- (b) no payments are made to another designated person, whether directly or indirectly.

Commencement Information

I205 Sch. 3 para. 8 not in force at made date, see reg. 1(2)

I206 Sch. 3 para. 8 in force at 31.12.2020 by S.I. 2019/627, reg. 7(2); 2020 c. 1, Sch. 5 para. 1(1)

Extraordinary situation

9. To enable anything to be done to deal with an extraordinary situation.

Commencement Information

I207 Sch. 3 para. 9 not in force at made date, see reg. 1(2)

I208 Sch. 3 para. 9 in force at 31.12.2020 by S.I. 2019/627, reg. 7(2); 2020 c. 1, Sch. 5 para. 1(1)

PART 3

Interpretation

10. In this Schedule—

- (a) “armed forces goods” and “armed forces technology” have the same meaning as they have in Part 6;
- (b) “designated person” has the same meaning as it has in Part 4 (Finance);
- (c) “frozen funds or economic resources” means funds or economic resources frozen by virtue of regulation 13, and any reference to a person's frozen funds or economic resources is to

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funds or economic resources frozen as a consequence of the designation of that person for the purposes of that regulation;

- (d) “restricted goods”, “restricted technology and “technical assistance” have the same meaning as they have in Part 6.

Commencement Information

I209 Sch. 3 para. 10 not in force at made date, see [reg. 1\(2\)](#)

I210 [Sch. 3 para. 10](#) in force at 31.12.2020 by [S.I. 2019/627](#), [reg. 7\(2\)](#); 2020 c. 1, [Sch. 5 para. 1\(1\)](#)

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