



Department for
International Trade

Open General Trade Control Licence

Category C Goods

November 2017

TRADE LICENCE

Open General Trade Control Licence (Category C Goods)

dated 17 November 2017, granted by the Secretary of State.

The Secretary of State, in exercise of powers conferred by Article 26 of the Export Control Order 2008 ¹ ("the Order"), hereby grants the following Open General Trade Control Licence:

Licence

1. Subject to the following provisions of this Licence, any person (referred to in this Licence as the "trader") may;
 - (1) agree to supply or deliver any goods specified in Schedule 1; or
 - (2) do any act, or agree to do any act calculated to promote the supply or delivery any goods specified in Schedule 1;

from any country, other than a country or individual specified in Schedule 2(1), to any country specified in Schedule 2(1) Part A; or from any country specified in Schedule 2(1) Part A to any other country, other than a country specified in Schedule 2(2) Part B hereto, providing the goods are not located in the UK or Isle of Man, unless they are goods in transit.

Exclusions

2. This licence does not apply:
 - (1) if the trader is aware or suspects that the goods are or may be intended, in their entirety or in part for use in connection with the development, production, handling, operation, maintenance, storage, detection, identification or dissemination of chemical, biological or nuclear weapons, or other nuclear explosive devices or the development, production, maintenance or storage of missiles capable of delivering such weapons,

¹ S.I.2008/3231

- (2) if the trader knows or has reason to believe that the action in paragraph 1 above will or may result in the removal of the controlled goods to a country not authorised in Schedule 2;
- (3) if the trader has been informed by a competent UK authority, or is aware that the transaction will be carried out contrary to the export or import law or regulations of the exporting or importing country;
- (4) if the goods are to be supplied from DPRK (North Korea), Iran, Zimbabwe or any individual to which the Al Qa'ida and Taliban Sanctions² apply; or
- (5) if the destination of the goods is within a Customs Free Zone;
- (6) where the trader has, at the time of act, been served with a notice which suspends or revokes his ability to use this Licence pursuant to article 32(1) of the Order, unless the period of suspension or revocation has expired.

Conditions and Requirements

3. The authorisation in paragraph 1 above is subject to the following conditions:
 - (1) The provisions of Article 28 (**registration**) of the Order shall apply to any act under the authority of this licence;
 - (2) The provisions of Article 29 (**record keeping**) of the Order shall apply to any act under the authority of this licence;
 - (3) Where the trader has received a warning letter sent on behalf of the Secretary of State which identifies failure to comply with this Licence or a provision of applicable export control legislation, the trader shall take such steps as are identified in that warning letter (within the timescale stated) in order to restore compliance with the

² Al Qa'ida and Taliban (United Nations Measures) Order 2002 (S.I.111/2002).

Licence. Without prejudice to article 34 of the Order, failure to comply with this condition may result in this Licence being revoked or suspended until the trader can show compliance to the satisfaction of the Export Control Organisation. The trader will be notified in writing of any such suspension or revocation and the initial period of such suspension or revocation. Where at the end of this initial period, the trader has not shown compliance to the satisfaction of the Export Control Organisation, the period of suspension or revocation may be extended. The trader will be notified of such an extension in writing.

(4) The Secretary of State has the power to vary or withdraw export licences at any time. If you do not use this licence within any 24-month period for an export allowed by this licence, your entitlement to use it will **automatically run out** at the end of that 24-month period and your registration details will be removed from SPIRE. However, you can register for this licence again if you want to use it after your registration has ended.

(5) You **must** update the 'Open licensing returns' within SPIRE, for **all** exports or trade carried out within each calendar year. You **must** update the returns by the last day of the following January at the latest (for example, you would need to update the January to December returns by the end of the following January) and include **all** the information required. You do **not** have to report on technology transfers.

Prohibitions not affected by this Licence

4. Nothing in this Licence shall affect any prohibition or restriction on the trade or the carrying out of any act with respect to the trade of any goods concerned under, or by virtue of, any enactment other than a prohibition or restriction in the legislation under which this licence was issued, as set out in the licence itself.

Interpretation

5. For the purpose of this Licence:

- (1) “any person” means any person operating from within the UK;
- (2) a “Customs Free Zone” is a part of the territory of a country where any goods introduced are generally regarded, insofar as import duties and taxes are concerned, as being outside the Customs territory of that country, and are not subject to the Customs controls that would otherwise apply;
- (3) "goods in transit" shall not be considered to be located in the UK or Isle of Man;
- (4) unless the context otherwise requires, any other expression used in this Licence shall have the meaning it bears in the Export Control Act 2002, or in the Order.

Entry into Force

6. This Licence shall come into force on 17 November 2017.
7. The Open General Trade Control Licence dated 14 August 2014 is hereby revoked.

**An Official of the Department for International Trade authorised
to act on behalf of the Secretary of State**

SCHEDULE 1 GOODS CONCERNED

Goods specified in Schedule 2 to the Export Control Order 2008 **other than:**

- (a) goods also specified in Schedule 1 to that Order (certain security and para-military police equipment, cluster munitions and related items, small arms and light weapons, MANPADS and long range missiles);
- (b) anti-personnel landmines and specially designed components therefor (within entry M4 of Schedule 2);

SCHEDULE 2

COUNTRIES CONCERNED

This authorisation is valid for the following:

(1). *From any country, other than DPRK (North Korea), Iran, Libya, Russia, Syria, Zimbabwe or any individual to which the Al'Qa'ida and Taliban Sanctions apply, to any country specified in Part A of this Schedule.*

PART A:

Australia, Austria, Belgium, Canada, Channel Islands, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Iceland, Ireland (Republic of), Italy, Japan, Latvia, Lithuania, Luxembourg, Malta, Netherlands, New Zealand, Norway, Poland, Portugal, Slovenia, Spain, Sweden, Switzerland, USA; and

(2). *From any country in Part A of this Schedule to any country other than a country specified in Part B of this Schedule.*

PART B

Angola, Argentina, Armenia, Azerbaijan, Belarus, Benin, Bosnia & Herzegovina, Burkina Faso, Burma, Burundi, Cape Verde, Central African Republic, China (excluding SARs), Democratic Republic of Congo (DRC), Eritrea, Gambia, Ghana, Guinea, Guinea Bissau, Iran, Iraq, Ivory Coast, Lebanon, Liberia, Libya, Macau SAR, Mali, Namibia, Niger, Nigeria, (DPRK) North Korea, Occupied Palestinian Territories, Russia, Rwanda, Senegal, Sierra Leone, Somalia, Sri Lanka, South Sudan, Sudan, Syria, Taiwan, Tanzania, Togo, Uganda, Uzbekistan, Venezuela, Yemen and Zimbabwe.

EXPLANATORY NOTE

(This Note is not part of the Licence)

1. This Open General Trade Control Licence revokes the previous version dated 14 August 2014. This version has been updated to add Venezuela to the excluded destinations in Schedule 2 (Part B), following the introduction of EU sanctions measures.

2. This Open General Trade Control Licence permits, without further authority but subject to certain conditions, involvement in the transfer of goods in Schedule 1 to the licence from any country, other than DPRK (North Korea), Iran, Zimbabwe or individuals to which Al Qa'ida and Taliban Sanctions apply, to any country specified in Schedule 2 Part A and from any country in Part A to any country other than a country specified in Part B of that Schedule and any act or arrangement associated with that transfer.

3. Subject to its conditions, the licence is available for use by any person operating from the UK.

4. The transfers may only be made under this Licence if they satisfy certain restrictions. These include;
 - not for use in connection with weapons of Mass Destruction (WMD);
 - not for use in connection with exports of goods located in the UK or Isle of Man;
 - not for use if the trader has been informed by a competent UK authority, is aware that the transaction was contrary to the law of the exporting or importing country;
 - not for use if the goods are to be supplied from DPRK (North Korea), Iran, Zimbabwe or any individual to which the Al Qa'ida and Taliban Sanctions apply.

5. The provisions of this Licence only apply for the purposes of the Order. They do not affect the need to obtain other consents that may be required for the export of particular military goods, whether under other statutory provisions (such as the Official Secrets Act 1989) or otherwise (such as under contractual obligations). In addition, this Licence does not extend to prohibitions in other legislation implementing United Nations Sanctions.

6. The issue of this licence doesn't remove the requirement to obtain permission of the authorities of the appropriate country to remove or receive goods from or to that territory as necessary.

7. The provisions of this licence does not apply to any person whose sole involvement, in respect of paragraph 1(1) and (2) of the licence, is to provide or agree to provide:

- (a) transportation services;
- (b) financial or financial services;
- (c) insurance or re-insurance services; or
- (d) general advertising or promotional services.

these activities are not subject to control.

8. if the trader has been informed by a competent authority or is otherwise aware (e.g. from information received from the manufacturer) that trade in controlled goods includes goods subject to a protective marking, appropriate security transportation arrangements (in accordance with national practices of the exporting country) must be made.

9. The Order contains certain registration and record keeping requirements which apply to persons using this licence, as follows,

- (a) Under Article 28 of the Order, any person who does any act under the authority of this licence must, before or within 30 days after the first occasion he makes use of the licence, provide details to the Secretary of State of his name and address where copies of the records referred to below may be inspected.

This notification must be made via the Export Control Organisation's

electronic licensing system, SPIRE:
<https://www.spire.trade.gov.uk/spire/fox/espire/LOGIN/login>

(b) Under Article 29 of the Order, any person who does any act under the authority of this licence must maintain and retain certain records relating to each such acts for at least 4 years from the end of the calendar year in which the authorised act takes place, and must permit such records to be inspected and copied by any person authorised by the Secretary of State.

10 The Secretary of State has the power to suspend or revoke licences at any time and in such circumstances and on such terms as he thinks fit. If a trader receives written notice to this effect, he will be prevented from relying on this Licence. The power to suspend may be used in addition to criminal prosecution or as an alternative. Suspension may occur for example where a trader is being investigated or prosecuted in relation to a possible criminal offence, or has been found guilty of a criminal offence under the export control legislation. It may also be used in situations where a trader has breached the conditions of the Licence and failed to take corrective action within a reasonable period (see condition 3(3)).

11. Where the ECO identifies failures in compliance with licence conditions or the legislation during a compliance visit, the ECO may send a warning letter to the trader listing the improvements that need to be made to ensure compliance. The letter will set out the timeframe within which these improvements must be completed. Failure to complete these improvements may lead to the trader's ability to use the licence being suspended for a period of time.

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