

# Overview of current sanctions measures concerning North Korea

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## 1. United Nations (UN) sanctions concerning North Korea

### ARMS AND RELATED MATERIEL EMBARGO

- All Member States are required to prevent the direct or indirect supply, sale, or transfer to the DPRK, through their territories or by their nationals, or using their flag vessels or aircraft, and whether or not originating in their territories, of all arms and related materiel, including small arms and light weapons and their related materiel, a ban on related financial transactions, technical training including hosting of trainers, advisors, or other officials for the purpose of military-, paramilitary-, or police related training, services or assistance related to manufacture, maintenance or use, and with respect to the shipment of items to or from the DPRK for repair, servicing, refurbishing, testing, reverse-engineering and marketing.
- All Member States are required to apply a “catch-all” clause on the supply, sale or transfer of any item if it determines that such an item could directly contribute to the development of the DPRK’s operational capabilities of its armed forces, or to exports that support/enhance the capabilities of armed forces of another Member State outside the DPRK.

### NON-PROLIFERATION

- All Member States are required to prevent the direct or indirect supply, sale or transfer to the DPRK, through their territories or by their nationals, or using their flag vessels or aircraft, and

whether or not originating in their territories, of items relevant to nuclear, ballistic missiles and other weapons of mass destruction-related programmes.

- All Member States are further required to implement a binding dual-use “catch-all” provision to apply the above measures on any item if the State determines that it could contribute to the DPRK’s nuclear or ballistic missile programmes, other weapons of mass destruction programmes or other activities prohibited by the resolutions.

## **PROLIFERATION NETWORKS**

- All Member States are required to expel DPRK diplomats, government representatives, other DPRK nationals acting in a governmental or representative office capacity, and foreign nationals that are working on behalf or at the direction of a designated person and/or entity or of a person and/or entity assisting in sanctions evasions or violating the resolutions.
- All Member States are required to close the representative offices of designated persons and entities, as well as on any persons or entities acting on behalf of such designated persons or entities, as well as prohibit them from participating in joint ventures and any other business arrangements.
- All Member States are required to reduce the number of staff at DPRK diplomatic missions and consular posts and to restrict the entry into or transit through their territory of DPRK government members and officials, members of the DPRK armed forces, or members/officials which are associated with prohibited programmes or activities, as determined by the Member State.
- All Member States are required to limit the number of bank accounts (in their territory) to one per DPRK diplomatic mission and consular post, and one per accredited DPRK diplomat and consular officer.
- All Member States are required to prohibit the DPRK from using real property (owned or leased) in their territory for non-diplomatic or consular activities’ purposes.

## **INTERDICTION AND TRANSPORTATION**

- All Member States are required to inspect cargo destined to or originating from the DPRK or brokered by the DPRK that is within or transiting their territories. This includes items that are being transported on DPRK flagged aircraft or vessels, transported by rail and by road, as well as the personal luggage and checked baggage of individuals entering into or departing from the DPRK that may be used to transport items the supply, sale or transfer of which is prohibited.
- All Member States are prohibited from leasing, chartering their flagged vessels, aircraft or providing crew services to the DPRK, designated persons and entities, or any persons or entities whom the Member State determines have assisted in sanctions evasions or in violation of the resolutions.
- All Member States are prohibited from procuring vessel and aircraft crewing services from the DPRK.

- All Member States are required to de-register any vessel that is owned or operated by the DPRK and not to register any such vessel that is de-registered by another Member State.
- All Member States are required to de-register any vessels they have reasonable grounds to believe were involved in activities or the transport of items prohibited by the relevant resolutions. Member States should not register any such vessel that has been de-registered by another Member State.
- All Member States are required to prohibit their nationals, entities and persons within their territory from registering vessels in the DPRK, to obtain authorization for a vessel to use the DPRK flag or to charter vessels flagged by the DPRK.
- All Member States are prohibited from owning, leasing, operating, chartering, or providing vessel classification, certification or associated service and insurance or re-insurance, to any DPRK-flagged, owned, controlled or operated vessel.
- All Member States are required to prohibit the provision of insurance or re-insurance services to vessels they have reasonable grounds to believe were involved in activities or the transport of items prohibited by the relevant resolutions.
- All Member States are required to deny permission to any aircraft to take off from, land in or overfly their territory if they have information that provides reasonable grounds to believe that the aircraft contained prohibited items.
- All Member States are required to deny port entry if they have information that provides reasonable grounds that the vessel is owned, controlled, directly or indirectly, by a designated individual and/or entity.
- The Committee, if it has information that provides reasonable grounds to believe that the vessel(s) are or have been related to prohibited programmes or activities, and pursuant to the vessels' designation, will require any or all of the following actions: de-flagging of the vessel(s) by the Flag State; directing the vessel(s) to a port identified by the Committee (in coordination with the port State) by the Flag State; the prohibition of the vessel(s) entering into ports by Member States; and for the vessel(s) to be subject to assets freeze.
- The Committee may designate vessels for which it has information indicating they are, or have been, related to activities prohibited by the relevant resolutions.
- All Member States are required to prohibit the entry into their ports of such designated vessels.
- Member States are called upon to inspect vessels with the consent of the flag State, on the high seas, if they have information that provides reasonable grounds to believe that the cargo of such vessels contains items the supply, sale, transfer or export of which is prohibited by the relevant resolutions.
- All States are called upon to cooperate with inspections and, if the flag State does not consent to inspection on the high seas, decides that the flag State shall direct the vessel to proceed to an appropriate and convenient port for the required inspection by the local authorities, and decides further that, if a flag State neither consents to inspection on the high seas nor directs the vessel to proceed to an appropriate and convenient port for the required inspection, or if the vessel refuses to comply with flag State direction to permit inspection on the high seas or to proceed to such a port, then the Committee shall consider designating the vessel for the

measures imposed in paragraph 8 (d) of resolution 1718 (2006) and paragraph 12 of resolution 2321 (2016) and the flag State shall immediately deregister that vessel provided that such designation has been made by the Committee.

- All Member States are required, when it does not receive the cooperation of a flag State of a vessel, to submit promptly to the Committee a report containing relevant details.
- All Member States are required to seize, inspect, and freeze (impound) any vessel in their ports, and may do so with any vessel subject to their jurisdiction in their territorial waters if they have reasonable grounds to believe that the vessel was involved in activities, or the transport of items, prohibited by the relevant resolutions.
- All Member States are required to prohibit their nationals, persons subject to their jurisdiction, entities incorporated in their territory or subject to their jurisdiction, and vessels flying their flag, from facilitating or engaging in ship-to-ship transfers to or from DPRK-flagged vessels of any goods or items that are being supplied, sold, or transferred to or from the DPRK.
- All Member States should improve mutual information-sharing on suspected attempts by the DPRK to supply, sell, transfer or procure illicit cargo, with support and facilitation by the 1718 Committee and the Panel of Experts.
- All Member States are required to notify the Committee of relevant identifying information as well as measures taken to carry out appropriate actions as authorized by the relevant provisions regarding vessels in their territory or on the high seas designated as subject to the ASSETS FREEZE, the port entry ban or other relevant measures.

#### **PROVISION OF BUNKERING SERVICES**

All Member States are required to prohibit the provision of bunkering services, such as fuel, supplies, other servicing of vessels to DPRK vessels if reasonable grounds and information exist that they are carrying prohibited items.

#### **ASSETS FREEZE**

- All Member States are required to freeze the assets, funds, and economic resources of the entities of the Government of the DPRK and Korean Workers' Party, that the State determines are associated with the prohibited activities, including designated persons and entities, as well as any persons or entities acting on behalf of or at their direction, or those owned or controlled by them. These assets include tangible, intangible, movable, immovable, actual or potential, which may be used to obtain funds, goods or services, such as vessels, including maritime vessels.
- Designated vessels are subject to assets freeze by Member States.

#### **DISPOSAL OF SEIZED ITEMS**

All Member States are required to seize and dispose (such as through destruction, rendering inoperable or unusable, storage or transferring to a State other than originating or destination States for disposal)

of prohibited items by the relevant resolutions in a manner consistent with their international obligations.

## **TRAVEL BAN**

All Member States are required to prevent the entry into or transit through their territories of designated individuals; individuals acting on behalf of or at the direction of designated individuals; any individual whom a State determines is assisting in the evasion of sanctions, violating the provisions of the resolutions, working on behalf/at the direction of designated individuals; and individuals traveling for the purposes of carrying out activities related to the shipment of items for repair, servicing, refurbishing, testing, reverse-engineering, and marketing.

## **FINANCIAL MEASURES**

- All Member States are required to prevent the provision of financial services, including bulk cash and gold, the opening of banking subsidiaries, the provision of public financial support, new commitments for grants, and financial assistance or concessional loans that could contribute to the DPRK's prohibited programmes/activities, or to the evasion of sanctions.
- Companies performing financial services commensurate with those provided by banks are considered financial institutions for the purposes of implementing relevant provision of the resolutions.
- All Member States are prohibited from opening any new branches, subsidiaries and representative offices of DPRK banks; must close existing branches, subsidiaries and representative offices; and terminate any joint ventures, ownership interests or correspondent banking relationships with DPRK banks in their territory.
- All Member States are prohibited from opening any new representative offices, subsidiaries or bank accounts in the DPRK. All Member States must close existing offices, subsidiaries and banking accounts in the DPRK within 90 days.
- All Member States are required to prohibit public and private financial support from within their territories or by persons/entities within their jurisdiction for trade with the DPRK, including granting of export credits, guarantees or insurance to their nationals, or entities involved in such trade.
- If a Member State determines that an individual is working on behalf of or at the direction of a DPRK bank/financial institution, then the individual is to be expelled by the Member State from their territory for the purpose of repatriation.
- All Member States are required to prohibit, by their nationals or in their territories, the opening, maintenance and operation of all joint ventures or cooperative entities, new or existing, with DPRK entities or individuals, whether or not acting for or on behalf of the government of the DPRK.
- All Member States are required to close any such existing joint venture or cooperative entity within 120 days of 11 September 2017 unless approved by the Committee on a case-by-case basis, and to close any such existing joint venture or cooperative entity within 120 days after the Committee has denied a request for approval.

### **SPECIALIZED TEACHING AND TRAINING**

All Member States are required to exercise vigilance and prevent specialized teaching or training of DPRK nationals within their territories or by their nationals of disciplines which could contribute to the DPRK's proliferation sensitive nuclear activities and development of nuclear weapon delivery systems, which includes, but is not limited to advanced materials science, advanced chemical engineering, advanced mechanical engineering, advanced electrical engineering and advanced industrial engineering.

### **SCIENTIFIC AND TECHNICAL COOPERATION**

All Member States are required to suspend scientific and technical cooperation involving persons or groups officially sponsored by or representing the DPRK except for medical exchanges; determined on a case-by-case basis by the Committee (fields of nuclear science and technology, aerospace and aeronautical engineering and technology, advanced manufacturing production techniques and methods); and determined by the engaging State and notified to the Committee in advance of such determination (all other scientific or technical cooperation).

### **COAL, MINERALS AND SECTORAL BANS**

- The DPRK is prohibited from supplying, selling, transferring, of coal, iron and iron ore, gold, titanium ore, vanadium ore, copper, nickel, silver, zinc and rare earth minerals, lead and lead ore, food and agricultural products, machinery, electrical equipment, earth and stone including magnesite and magnesia, wood and vessels.
- All Member States are prohibited from procuring such material from the DPRK. by their nationals, or by using their flag vessels or aircraft, whether or not originating in the territory of the DPRK.
- All Member States are required to prohibit the supply, sale or transfer to the DPRK of all industrial machinery, transportation vehicles, iron, steel and other metals.

### **BAN ON EXPORTS OF CONDENSATES AND NATURAL GAS TO THE DPRK**

All Member States are required to prohibit the supply, sale or transfer to the DPRK, through their territories or by their nationals, or using their flag vessels or aircraft, and whether or not originating in their territories, of all condensates and natural gas liquids.

### **BAN ON ALL REFINED PETROLEUM PRODUCTS**

All Member States are required to prohibit the supply, sale or transfer to the DPRK, through their territories or by their nationals, or using their flag vessels or aircraft, and whether or not originating in their territories, of all refined petroleum products in excess of the aggregate amount of 500,000 barrels during periods of 12 months beginning on 1 January 2018.

### **RESTRICTION ON THE SUPPLY, SALE, OR TRANSFER OF CRUDE OIL**

All Member States are prohibited from supplying, selling, or transferring crude oil that exceeds the aggregate amounts of 4 million barrels or 525,000 tons per 12-month periods from 22 December 2017.

Member States are required to report the amount of crude oil provided to the DPRK to the 1718 Committee every 90 days.

## **SEAFOOD BAN**

- The DPRK is prohibited from supplying, selling or transferring, seafood (including fish, crustaceans, mollusks, and other aquatic invertebrates in all forms).
- The DPRK is prohibited from selling or transferring fishing rights.
- All Member States are prohibited from procuring such items from the DPRK by their nationals, or using their flag vessels or aircraft, whether or not originating in the territory of the DPRK.
- **BAN ON EXPORT OF TEXTILES FROM THE DPRK**  
The DPRK shall not supply, sell or transfer, textiles (including but not limited to fabrics and partially or completed apparel products).
- All Member States are required to prohibit the procurement of such items from the DPRK by their nationals, or using their flag vessels or aircraft, whether or not originating in the territory of the DPRK.

## **BAN ON DPRK WORKERS ABROAD**

- All Member States are prohibited from providing work authorizations for DPRK nationals in their jurisdiction in connection with admission to their territories.
- All Member States are required to repatriate to the DPRK all DPRK nationals earning income in their jurisdiction and all DPRK government safety oversight attachés within 24 months from 22 December 2017. Member States are required to submit a midterm report after 15 months from 22 December 2017 and a final report after 27 months from 22 December 2017 to the Committee of all DPRK nationals that were repatriated based on this provision.

## **FUEL BAN**

- All Member States are prohibited from selling or supplying of aviation fuel, jet fuel and rocket fuel to the DPRK.
- All Member States should exercise vigilance to ensure that fuel provided to DPRK-flagged civil passenger aircraft is no more than necessary (for the relevant flight) and includes a standard margin for safety of flight.

## **OTHER BANS: STATUES, NEW HELICOPTERS AND VESSELS**

- The DPRK is prohibited from supplying, selling, transferring, of statues.
- All Member States are prohibited from procuring statues from the DPRK by their nationals, or by using their flag vessels or aircraft, whether or not originating in the territory of the DPRK.
- All Member States are required to prevent the supply, sale or transfer to the DPRK, of new helicopters, and new and used vessels.



## **LUXURY GOODS BAN**

All Member States are required to prevent the direct or indirect supply, sale or transfer to the DPRK, through their territories or by their nationals, or using their flag vessels or aircraft, and whether or not originating in their territories, of luxury goods (including those items listed in Annex IV of resolution 2094 (2013), Annex IV of resolution 2270 (2016) and Annex IV of resolution 2321 (2016).

Source: <https://main.un.org/securitycouncil/en/sanctions/1718>

## **2. United States (US) sanctions concerning North Korea**

### **ARMS EMBARGO**

Policy of denial for defense articles and defense services to North Korea.

### **ASSETS FREEZE**

- Certain property and interests in property of North Korea or its nationals that were blocked pursuant to TWEA as of June 16, 2000, and remained blocked immediately prior to June 26, 2008, continue to be blocked.
- The US blocks the property and interests in property of listed persons, as well as of persons determined by the Secretary of the Treasury, in consultation with the Secretary of State.
- The US blocks the property and interests in property of the Government of North Korea and the Workers' Party of Korea, as well as the property and interests in property of persons determined by the Secretary of the Treasury, in consultation with the Secretary of State.
- Relating to weapons of mass destruction proliferators, the US has blocks the property and interests in property of three listed North Korean persons.
- Unless otherwise authorized or exempt, transactions by US persons or in or involving the United States are prohibited if they involve transferring, paying, exporting, withdrawing, or otherwise dealing in the property or interests in property of an entity or individual listed on the SDN List. The property and interests in property of an entity that is 50 percent or more owned, whether individually or in the aggregate, directly or indirectly, by one or more blocked persons are also blocked, regardless of whether the entity itself is listed.

### **TRANSACTIONS INVOLVING NORTH KOREAN VESSELS**

US persons are prohibited from registering vessels in North Korea, obtaining authorization for a vessel to fly the North Korean flag, and owning, leasing, operating, or insuring any vessel flagged by North Korea.



### **IMPORTING FROM NORTH KOREA**

Goods, services, and technology from North Korea may not be imported into the United States, directly or indirectly, without a license from OFAC or applicable exemption. This broad prohibition applies to goods, services, and technology from North Korea that are used as components of finished products of, or substantially transformed in, a third country.

### **EXPORTING TO NORTH KOREA**

Goods, services, and technology may not be exported or reexported, directly or indirectly, to North Korea from the United States, or by a US person, wherever located, except to the extent provided by statutes, or in regulations, orders, directives, or licenses that may be

### **INVESTMENT IN NORTH KOREA**

New investment in North Korea by US persons without a license from OFAC or applicable exemption is prohibited.

### **TRANSACTIONS INVOLVING NORTH KOREA**

Any approval, financing, facilitation, or guarantee by a US person, wherever located, of a transaction by a foreign person, where the transaction by that foreign person would be prohibited, if performed by a US person or within the United States, is prohibited.

### **TRADE RESTRICTIONS**

BIS maintains a policy of denial for license applications for the export of reexport to North Korea or transfer within North Korea of any item controlled on the Commerce Control List for UN reasons.

SOURCE: <https://ofac.treasury.gov/sanctions-programs-and-country-information/north-korea-sanctions> & <https://www.ecfr.gov/current/title-22/chapter-I/subchapter-M/part-126/section-126.1>

## **3. European Union (EU) sanctions concerning North Korea**

### **TRAVEL BAN - RESTRICTIONS ON ADMISSION AND RESIDENCE**

- Member States shall take the necessary measures to prevent the entry into, or transit through, their territories.
- Member States shall expel DPRK nationals who they determine are working on behalf of or at the direction of a listed person or entity.
- Where a Member State determines that an individual is working on behalf of or at the direction of a DPRK bank or financial institution, the Member State shall expel the individual from its territory for the purpose of repatriation to the individual's State of nationality, consistent with applicable law.

- Member States shall expel DPRK diplomats, government representatives or other DPRK nationals acting in a governmental capacity who they determine are working on behalf of or at the direction of a listed person or entity, or of a person or entity assisting in the evasion of sanctions or violating the provisions of UNSCR 1718 (2006), 1874 (2009), 2087 (2013), 2094 (2013) or 2270 (2016), from their territories for the purpose of repatriation to the DPRK, consistent with applicable national and international law.
- Member States shall expel any national of a third country who they determine is working on behalf of or at the direction of a listed person or entity, assisting in the evasion of sanctions or violating the provisions of UNSCR 1718 (2006), 1874 (2009), 2087 (2013), 2094 (2013) or 2270 (2016), from their territories for the purpose of repatriation to that person's State of nationality, consistent with applicable national and international law.
- Member States shall not provide work authorisations for DPRK nationals in their jurisdictions in connection with admission to their territories.

## **ASSETS FREEZES**

- All funds and economic resources belonging to or owned, held or controlled, directly or indirectly, by listed persons, entities or bodies shall be frozen.
- No funds or economic resources shall be made available, directly or indirectly, to or for the benefit of listed persons, entities or bodies.

## **EXPORT AND IMPORT RESTRICTIONS**

- Prohibition on the direct or indirect supply, sale, transfer or export of the following items and technology, including software, to the DPRK by nationals of Member States or through or from the territories of Member States, or using the flag vessels or aircraft of Member States, shall be prohibited, whether or not originating in the territories of the Member States: (a) arms and related materiel of all types, including weapons and ammunition, military vehicles and equipment, paramilitary equipment and spare parts for the aforementioned, with the exception of non-combat vehicles which have been manufactured or fitted with materials to provide ballistic protection and are intended solely for protective use of personnel of the Union and its Member States in the DPRK; (b) all items, materials, equipment, goods and technology, as determined by the UN Security Council or the Committee established pursuant to paragraph 12 of UNSCR 1718 (2006) ('the Sanctions Committee') in accordance with paragraph 8(a)(ii) of UNSCR 1718 (2006), paragraph 5(b) of UNSCR 2087 (2013), paragraph 20 of UNSCR 2094 (2013), paragraph 25 of UNSCR 2270 (2016) and paragraph 4 of UNSCR 2375 (2017), which could contribute to the DPRK's nuclear-related, ballistic-missile-related or other weapons of mass destruction-related programmes; (c) certain other items, materials, equipment, goods and technology which could contribute to the DPRK's nuclear-related, ballistic-missile-related or other weapons of mass destruction-related programmes or which could contribute to its military activities, including all dual-use goods and technology listed in Annex I to Council

Regulation (EC) No 428/2009; (d) any further items, materials and equipment relating to dual-use goods and technology; the Union shall take the necessary measures in order to determine the relevant items to be covered by this point; (e) certain key components for the ballistic-missile sector, such as certain types of aluminium used in ballistic-missile-related systems; the Union shall take the necessary measures in order to determine the relevant items to be covered by this point; (f) any other item that could contribute to the DPRK's nuclear-related, ballistic-missile-related or other weapons of mass destruction-related programmes, to activities prohibited by UNSCR 1718 (2006), 1874 (2009), 2087 (2013), 2094 (2013) or 2270 (2016) or by this Decision, or to the evasion of measures imposed by those UNSCRs or by this Decision; the Union shall take the necessary measures in order to determine the relevant items to be covered by this point; (g) any other item, except food or medicine, if a Member State determines that it could contribute directly to the development of the operational capabilities of the DPRK's armed forces or to exports that support or enhance the operational capabilities of armed forces of another State outside the DPRK; (h) certain other items, materials, equipment, goods and technology listed pursuant to paragraph 4 of UNSCR 2321 (2016); (i) any other item listed in the conventional arms dual-use list adopted by the Sanctions Committee pursuant to paragraph 7 of UNSCR 2321 (2016) and paragraph 5 of UNSCR 2375 (2017), including technical training, advice, services, assistance or brokering services, financing or financial assistance, and other intermediary services.

- Prohibition on the procurement from the DPRK by nationals of Member States, or using the flag vessels or aircraft of Member States, of beforementioned items or technology, as well as the provision to nationals of Member States by the DPRK of technical training, advice, services, assistance, financing and financial assistance.
- Prohibition on the direct or indirect sale, purchase, transport or brokering of gold and precious metals, as well as of diamonds, to, from or for the Government of the DPRK, its public bodies, corporations and agencies or the Central Bank of the DPRK, as well as persons or entities acting on their behalf or at their direction, or entities owned or controlled by them.
- Prohibition on the procurement from the DPRK by nationals of Member States, or using the flag vessels or aircraft of Member States, of gold, titanium ore, vanadium ore, rare-earth minerals, copper, nickel, silver and zinc.
- Prohibition on the delivery of newly printed or minted or unissued DPRK-denominated banknotes and coinage to or for the benefit of the Central Bank of the DPRK.
- Prohibition on the direct or indirect supply, sale or transfer of luxury goods to the DPRK by nationals of Member States or through or from the territories of Member States, or using the flag vessels or aircraft of Member States.
- Prohibition on the import, purchase or transfer of luxury goods from the DPRK.
- Prohibition on the procurement of statues from the DPRK by nationals of Member States, or using the flag vessels or aircraft of Member States.
- Prohibition on the direct or indirect supply, sale or transfer to the DPRK by nationals of Member States, or using the flag vessels or aircraft of Member States, of helicopters and vessels.

- Prohibition on the procurement of textiles (including but not limited to fabrics and partially or fully completed apparel products) from the DPRK by nationals of Member States, or using the flag vessels or aircraft of Member States.
- Prohibition on the procurement from the DPRK by nationals of Member States, or using the flag vessels or aircraft of Member States, of coal, iron, and iron ore.
- Prohibition on the sale or supply of aviation fuel, including aviation gasoline, naphtha-type jet fuel, kerosene-type jet fuel and kerosene-type rocket fuel, to the DPRK by nationals of Member States or from the territories of Member States, or using the flag vessels or aircraft of Member States.
- Prohibition on the import, purchase or transfer of petroleum products from the DPRK
- Prohibition on the direct or indirect supply, sale or transfer of all refined petroleum products to the DPRK by nationals of Member States, through or from the territories of Member States, or using the flag vessels, aircraft, pipelines, rail lines or vehicles of Member States.
- Prohibition on the procurement from the DPRK by nationals of Member States, or using the flag vessels or aircraft of Member States, of seafood, whether or not originating in the territory of the DPRK, as well as the acquisition of DPRK fishing rights.
- Prohibition on the direct or indirect supply, sale or transfer of all crude oil to the DPRK by nationals of Member States or through or from the territories of Member States or using the flag vessels, aircraft, pipelines, rail lines or vehicles of Member States.
- Prohibition on the direct or indirect supply, sale or transfer to the DPRK, by nationals of Member States or through or from the territories of Member States, or using the flag vessels or aircraft of Member States, of all condensates and natural gas liquids.
- Prohibition on the direct or indirect procurement from the DPRK by nationals of Member States, or using the flag vessels or aircraft of Member States of food and agricultural products, machinery, electrical equipment, earth and stone, including magnesite and magnesia, wood, and vessels.
- Prohibition on the direct or indirect supply, sale or transfer to the DPRK by nationals of Member States or through the territory of Member States or using their flag vessels, aircraft, pipelines, rail lines or vehicles of all industrial machinery, transportation vehicles, iron, steel, and other metals.

#### **RESTRICTIONS ON FINANCIAL SUPPORT FOR TRADE**

Prohibition on the provision of public or private financial support for trade with the DPRK, including the granting of export credits, guarantees or insurance, to DPRK nationals or entities involved in such trade.

#### **RESTRICTIONS ON INVESTMENT**

- Prohibition on investment in the territories under the jurisdiction of Member States by the DPRK, its nationals, or entities incorporated in the DPRK or subject to its jurisdiction, or by persons or entities acting on their behalf or at their direction, or by entities owned or controlled by them, shall be prohibited.

- Prohibition on the acquisition, maintenance or extension of a participation in any entities in the DPRK, or in DPRK entities or DPRK-owned entities outside the DPRK, including the acquisition in full of such entities and the acquisition of shares or other securities of a participatory nature, or in activities or assets in the DPRK.
- Prohibition on the granting of any financing or financial assistance to entities in the DPRK, or to DPRK entities or DPRK-owned entities outside the DPRK, or for the documented purpose of financing such entities in the DPRK.
- Prohibition on the opening, maintenance and operation of all joint ventures or cooperative entities, new and existing, by Member States' nationals or in their territories with DPRK entities or individuals whether or not acting for or on behalf of the government of the DPRK.
- Prohibition on the provision of investment services directly related to the beforementioned activities.

## FINANCIAL RESTRICTIONS

- Member States shall not enter into new commitments for grants, financial assistance or concessional loans to the DPRK, including through their participation in international financial institutions, except for humanitarian and developmental purposes directly addressing the need of the civilian population or the promotion of denuclearisation. Member States shall also exercise vigilance with a view to reducing current commitments and, if possible, putting an end to them.
- No transfer or clearing of funds to or from the DPRK shall take place, except for specific transactions that have been authorised by the competent authority of a Member State.
- Financial institutions under the jurisdiction of Member States shall not enter into, or continue to participate in, any transactions with: (a) banks domiciled in the DPRK, including the Central Bank of the DPRK; (b) branches or subsidiaries within the jurisdiction of the Member States of banks domiciled in the DPRK; (c) branches or subsidiaries outside the jurisdiction of the Member States of banks domiciled in the DPRK; (d) financial entities that are not domiciled in the DPRK, that are within the jurisdiction of the Member States and that are controlled by persons or entities domiciled in the DPRK; or (e) financial entities that are not domiciled in the DPRK or are not within the jurisdiction of the Member States but are controlled by persons or entities domiciled in the DPRK, unless specific transactions have been authorised by the competent authority of a Member State.
- Financial institutions shall be required, in their activities with beforementioned banks and financial institutions, to: (a) exercise continuous vigilance over account activity, including through their programmes on customer due diligence and in accordance with their obligations relating to money-laundering and the financing of terrorism; (b) require that all information fields of payment instructions which relate to the originator and the beneficiary of the transaction in question be completed and, if that information is not supplied, refuse the transaction; (c) maintain all records of transactions for a period of five years and make them available to national authorities on request; (d) promptly report their suspicions to the Financial

Intelligence Unit (FIU) or another competent authority designated by the Member State concerned if they suspect, or have reasonable grounds to suspect, that funds contribute to the DPRK's nuclear-related,

ballistic-missile related or other weapons of mass destruction-related programmes or activities; the FIU or other competent authority shall have access, directly or indirectly, on a timely basis to the financial, administrative and law-enforcement information that it requires to perform that function properly, including the analysis of suspicious transaction reports.

- Prohibition on the opening of branches, subsidiaries or representative offices of DPRK banks, including the Central Bank of the DPRK, its branches and subsidiaries, and of other financial, in the territories of Member States.
- Prohibition on the direct or indirect sale or purchase of, or brokering or assistance in the issuance of, DPRK public or public-guaranteed bonds issued after 18 February 2013 to or from the Government of the DPRK, its public bodies, corporations and agencies, the Central Bank of the DPRK, or banks domiciled in the DPRK, or branches and subsidiaries, within and outside the jurisdiction of Member States, of banks domiciled in the DPRK, or financial entities that are neither domiciled in the DPRK nor within the jurisdiction of the Member States, but are controlled by persons or entities domiciled in the DPRK, as well as any persons or entities acting on their behalf or at their direction, or entities owned or controlled by them.

## TRANSPORT SECTOR

- Member States shall inspect, in accordance with their national authorities and legislation and consistent with international law, including the Vienna Conventions on Diplomatic and Consular Relations, all cargo to and from the DPRK in their territory, or transiting through their territory, including at their airports, seaports and free-trade zones, or cargo brokered or facilitated by the DPRK or DPRK nationals, or persons or entities acting on their behalf or at their direction, or entities owned or controlled by them, or by listed persons or entities, or cargo that is being transported on DPRK-flagged aircraft or maritime vessels, for the purposes of ensuring that no items are transferred in violation of UNSCRs 1718 (2006), 1874 (2009), 2087 (2013), 2094 (2013) or 2270 (2016), as well as if they have information that provides reasonable grounds to believe that the cargo contains items whose supply, sale, transfer or export is prohibited under this Decision.
- Member States shall inspect vessels, with the consent of the flag State, on the high seas if they have information that provides reasonable grounds to believe that the cargo of such vessels contains items whose supply, sale, transfer or export is prohibited.
- Aircrafts and vessels transporting cargo to and from the DPRK shall be subject to the requirement of additional pre-arrival or pre-departure information for all goods brought into or out of a Member State.
- Member States shall take the necessary measures to seize and dispose of, such as through destruction, rendering inoperable or unusable, storage, or transferring to a State other than the originating or destination State for disposal, items the supply, sale, transfer or export of which is prohibited by UNSCR 1718 (2006), 1874 (2009), 2087 (2013), 2094 (2013), 2270 (2016), 2321



(2016), 2371 (2017), 2375 (2017) or 2397 (2017) that are identified in inspections, in a manner that is consistent with their obligations under applicable international law.

- Member States shall deny entry into their ports of any vessel that has refused to allow an inspection after such an inspection has been authorised by the vessel's flag State, or if any DPRK-flagged vessel has refused to be inspected pursuant to paragraph 12 of UNSCR 1874 (2009).
- Member States shall prohibit their nationals, persons subject to their jurisdiction, entities incorporated in their territory or subject to their jurisdiction, and vessels flying their flag, from facilitating or engaging in ship-to-ship transfers to or from DPRK-flagged vessels of any goods or items that are being supplied, sold, or transferred to or from the DPRK.
- Member States shall deny permission to land in, take off from or overfly their territory to any aircraft, operated by DPRK carriers or originating from the DPRK in accordance with their national authorities and legislation and consistent with international law, in particular relevant international civil-aviation agreements.
- Member States shall prohibit the entry into their ports of any vessel that is owned, operated, crewed or flagged by the DPRK.
- Member States shall prohibit the entry into their ports of any vessel if they have information that provides reasonable grounds to believe that the vessel is owned or controlled, directly or indirectly, by a listed person or entity, or contains cargo whose supply, sale, transfer or export is prohibited by UNSCR 1718 (2006), 1874 (2009), 2087 (2013), 2094 (2013) or 2270 (2016).
- A Member State that is a flag State of a vessel designated by the Sanctions Committee shall, if the Sanctions Committee has so specified, de-flag the vessel, direct the vessel to a port identified by the Sanctions Committee, in coordination with the port State, and/or immediately deregister the vessel.
- Member States shall, if the designation by the Sanctions Committee has so specified, prohibit entry into their ports of a vessel, except in case of emergency or in case of return to its port of origination, or unless the Sanctions Committee determines in advance that such entry is required for humanitarian purposes or any other purposes consistent with the objectives of UNSCRs 1718 (2006), 1874 (2009), 2087 (2013), 2094 (2013), 2270 (2016), 2321 (2016), 2356 (2017) or 2371 (2017), and or make a vessel subject to an asset freeze.
- Member States shall seize, inspect and impound any vessel in their ports, and may seize, inspect and impound any vessel subject to their jurisdiction in their territorial waters where there are reasonable grounds to believe that the vessel has been involved in activities, or the transport of items, prohibited by UNSCR 1718 (2006), 1874 (2009), 2087 (2013), 2094 (2013), 2270 (2016), 2321 (2016), 2356 (2017), 2371 (2017), 2375 (2017) or 2397 (2017).
- Member States shall deregister any vessel where there are reasonable grounds to believe that the vessel has been involved in activities, or the transport of items, prohibited by UNSCR 1718 (2006), 1874 (2009), 2087 (2013), 2094 (2013), 2270 (2016), 2321 (2016), 2356 (2017), 2371 (2017), 2375 (2017) or 2397 (2017).
- Prohibition on the provision by nationals of Member States or from the territories of Member States of bunkering or ship-supply services, or other servicing of vessels, to DPRK vessels if they



have information that provides reasonable grounds to believe that the vessels carry items whose supply, sale, transfer or export is prohibited, unless provision of such services is necessary for humanitarian purposes or until the cargo has been inspected, and seized and disposed of if necessary.

- Prohibition to lease or charter Member States' flagged vessels or aircraft or to provide crew services to the DPRK, any listed persons or entities, any other DPRK entities, any other persons or entities whom the Member State determines to have assisted in the evasion of sanctions or in the violation of the provisions of UNSCR 1718 (2006), 1874 (2009), 2087 (2013), 2094 (2013) or 2270 (2016), any persons or entities acting on behalf or at the direction of any of the aforementioned, or any entities owned or controlled by any of the aforementioned.
- Prohibition on the procurement of vessel or aircraft services from the DPRK.
- Member States shall deregister any vessel that is owned, controlled or operated by the DPRK, and shall not register any vessel that has been deregistered by another State pursuant to paragraph 24 of UNSCR 2321 (2016), paragraph 8 of UNSCR 2375 (2017) or paragraph 12 of UNSCR 2397 (2017).
- Prohibition to register vessels in the DPRK, to obtain authorisation for a vessel to use the DPRK flag, to own, lease, operate, or provide any vessel classification, certification or associated service, or to insure any vessel flagged by the DPRK, including chartering such vessels.

## **RESTRICTIONS ON THE PROVISION OF SERVICES**

- Prohibition on the provision of services incidental to mining and the provision of services incidental to manufacturing in the chemical, mining and refining industry, to the DPRK by nationals of Members States or from the territories of Member States.
- Prohibition on the provision of computer and related services to the DPRK by nationals of Member States or from the territories of Member States.

## **OTHER RESTRICTIVE MEASURES**

- Member States shall take the necessary measures to exercise vigilance and prevent specialised teaching or training of DPRK nationals, within their territories or by their nationals, in disciplines which would contribute to the DPRK's proliferation-sensitive nuclear activities and the development of nuclear-weapon delivery systems, including teaching or training in advanced physics, advanced computer simulation and related computer sciences, geospatial navigation, nuclear engineering, aerospace engineering, aeronautical engineering and related disciplines, advanced materials science, advanced chemical engineering, advanced mechanical engineering, advanced electrical engineering and advanced industrial engineering.
- Member States shall suspend scientific and technical cooperation involving persons or groups officially sponsored by or representing the DPRK except for specific medical exchanges.
- Member States shall, in accordance with international law, exercise enhanced vigilance over DPRK diplomatic personnel so as to prevent such persons from contributing to the DPRK's nuclear or ballistic-missile programmes, or other activities prohibited by UNSCR 1718 (2006),

1874 (2009), 2087 (2013), 2094 (2013) or 2270 (2016) or by this Decision, or to the evasion of measures imposed by those UNSCRs or by this Decision.

- Prohibition for a DPRK diplomatic mission or consular post, and their DPRK members, to own or control banking accounts in the Union, except for one account in the Member State or Member States in which the mission or post is hosted or to which their members are accredited.
- Prohibition for real property to be leased or otherwise be made available to the DPRK, or for it to be used by or for the benefit of the DPRK, for any purpose other than diplomatic or consular activities.
- Prohibition to lease from the DPRK real property which is situated outside the territory of the DPRK.

### **CIRCUMVENTION & FACILITATION**

Prohibition to participate, knowingly or intentionally, in activities the object or effect of which is to circumvent the prohibitions.

### **CLAIMS**

Prohibition to satisfy certain claims made by certain persons, entities or bodies.

SOURCE:

<https://www.sanctionsmap.eu/#/main/details/20/?search=%7B%22value%22:%22%22,%22searchType%22:%7B%7D%7D>

## **4. United Kingdom (UK) sanctions concerning North Korea**

The Democratic People's Republic of Korea (Sanctions) (EU Exit) Regulations 2019 are intended to ensure that certain sanctions measures relating to the Democratic People's Republic of Korea continue to operate effectively.

### **PROHIBITIONS ON FINANCE**

- Asset freeze in relation to designated persons
- Prohibition to make funds available to, or for the benefit of, designated persons
- Prohibition to make economic resources available to, or for the benefit of, designated persons
- Prohibition for UK credit or financial institutions to have accounts, correspondent banking relationships, joint ventures or take ownership interest in DPRK credit or financial institutions, or open a representative office or establish a branch or subsidiary in DPRK
- Prohibition for designated persons to have a representative office in the UK
- Prohibition to have business arrangements with, or anyone acting on behalf of, a designated person
- Prohibition to open a bank account for diplomatic missions, consular posts or diplomats of the DPRK

- Prohibition on Investment and commercial activities
- Prohibition to lease, or otherwise make available, land to or from the Government of the DPRK
- Prohibition to transfer funds to or from the DPRK
- Prohibition on insurance and reinsurance services in relation to DPRK ships
- Prohibition on the sale or purchase of DPRK related bonds
- Prohibition on circumventing

## **DIRECTOR DISQUALIFICATION SANCTIONS**

### **PROHIBITIONS ON IMMIGRATION**

- Refusal of leave to enter and/or remain in the United Kingdom
- Cancelling a persons leave to enter or remain in the United Kingdom

### **PROHIBITIONS ON TRADE**

Military, dual-use and other arms- and WMD-related goods and military, dual-use and other arms- and WMD-related technology

- Prohibition on goods and technology for armed forces of the DPRK
- Prohibition on the export of armed forces goods and technology to DPRK
- Prohibition on export (or for use in), supply, delivery, sale of certain goods - aviation fuel, condensates and natural gas liquids, crude oil, helicopters and vessels, industrial machinery, vehicles, iron, steel and other metals, luxury goods, refined petroleum products
- Prohibition on import, supply, delivery, purchase of certain goods - coal, iron and iron ore, copper, nickel, silver and zinc, earth and stone, food and agricultural products, gold ores and concentrates, titanium ore, vanadium ore and rare-earth minerals, lead and lead ore, luxury goods, machinery and electrical equipment, petroleum products, seafood, statues, textiles, vessels, wood
- Prohibition on export of bank notes and coinage
- Prohibition on export, technical assistance, financial services, brokering services (non-UK activity) of gold, precious metals or diamonds
- Prohibition on the provision of mining, manufacturing and computer services
- Prohibition on the provision of financial services for the purpose of trade with DPRK

Services relating to ships and aircraft

- Prohibition on leasing or chartering of ships and aircraft
- Prohibition on crew services for ships and aircraft
- Prohibition on ship classification services
- Prohibition on bunkering or ship supply services
- Prohibition on circumventing

## **PROHIBITIONS IN RELATION TO AIRCRAFT**

Prohibition on overflying or landing in the United Kingdom

## **PROHIBITIONS IN RELATION TO SHIPS**

- Prohibition to own, control, charter or operate DPRK ships or deal with UN-designated ships subject to asset-freeze
- Prohibition on port entry
- Prohibition to transfer goods to or from a DPRK ship
- Prohibition on registration a ship in DPRK
- Prohibition on registration in the United Kingdom
- Prohibition on circumventing

SOURCE:

<https://www.gov.uk/government/collections/uk-sanctions-on-the-democratic-peoples-republic-of-korea>  
[a](#)

## **5. Canada (CA) sanctions concerning North Korea**

Sanctions related to the Democratic People's Republic of Korea (DPRK) have been enacted under the United Nations Act and the Special Economic Measures Act in order to pressure the DPRK to abandon all existing weapons of mass destruction programs, in response to the DPRK's nuclear tests and ballistic missile launches. Subject to certain exceptions, the measures imposed against the DPRK include:

### **CASH**

Prohibit the supply or transfer of bulk cash to or from the DPRK;

### **REAL PROPERTY**

Prohibit the sale or lease of real property to the DPRK, except for those used for diplomatic or consular purposes;

### **FINANCIAL RESTRICTIONS**

- Prohibit the provision or acceptance of financial services in relation to any act or thing prohibited by these Regulations;
- Prohibit financial support for trade with the DPRK

### **JOINT VENTURES**

Prohibit the opening, maintaining, or operating of joint ventures with DPRK entities or individuals;

## **BANK BRANCHES**

Prohibit Canadian financial institutions from opening branches in the DPRK;

## **ARMS EMBARGO AND EXPORT BANS**

- Prohibit the export to the DPRK of:
  - arms and related material;
- the vehicles, aircraft, vessels and associated transport equipment referred to in Harmonised System codes (HS codes) 86 to 89 of the Harmonized Commodity Description and Coding System developed and maintained by the World Customs Organization;
- luxury goods, including, but not limited to, jewelry, watches, sporting goods, computers, televisions and other electronic devices, and certain motor vehicles;
- aviation fuel, including rocket fuel;
- crude oil and refined petroleum products;
- condensates and natural gas liquids;
- the base metals and articles of base metal referred to in HS codes 72 to 83;
- the machinery, mechanical appliance and electrical equipment referred to in HS codes 84 and 85; and
- products contributing to the DPRK's weapons program;
- Prohibit the provision to the DPRK of technical assistance related to the sale, supply, transfer, manufacture, use or maintenance of arms and related material or products contributing to the DPRK's weapons program;
- Prohibit teaching or training DPRK nationals in fields such as advanced physics, aerospace engineering, and advanced computer simulation that could contribute to the DPRK's proliferation-sensitive nuclear activities or the development of nuclear weapons delivery systems;

## **ARMS EMBARGO AND IMPORT BANS**

Prohibit importing from the DPRK:

- arms and related material;
- vessels;
- products contributing to the DPRK's weapons program;
- any salt, sulphur, earths and stone, plastering materials, lime, cement and other materials referred to in HS code 25;
- coal, iron, iron ore, gold, titanium ore, vanadium ore, rare earth minerals, copper, nickel, silver, zinc, lead, lead ore;
- any wood, articles of wood and wood charcoal referred to in HS code 44;

- statues;
- seafood;
- the edible vegetables, roots and tubers referred to in HS code 7, the edible fruit, nuts and peel of citrus fruit or of melons referred to in HS code 8 and the oil seeds, oleaginous fruits, miscellaneous grains, seeds and fruit, industrial or medicinal plants, straw and fodder referred to in HS code 12;
- textiles; and
- the machinery, mechanical appliances and electrical equipment referred to in HS codes 84 and 85.

## OTHER RESTRICTIONS

- Prohibit the acquisition of fishing rights from the DPRK;
- Prohibit provision of any products that could be used to support military activities;
- Prohibit the acceptance from the DPRK of technical assistance related to the purchase, acquisition, manufacture, use or maintenance of arms and related material or products contributing to the DPRK's weapons program;
- Prohibit vessels and aircraft from carrying prohibited products and bulk cash to or from the DPRK;
- Prohibit Canadians from transshipping, causing to be transshipped, or permitting to be transshipped, to or from DPRK-flagged vessels, any product destined to or from the DPRK;
- Prohibit the provision of products or services for the operation or maintenance of vessels believed to be carrying prohibited items to or from the DPRK;
- Prohibit providing Canadian-flagged vessels or aircraft to the DPRK and the provision of crew services to the DPRK;
- Prohibit Canadians from procuring vessel and aircraft crew services from the DPRK;
- Prohibit Canadians from registering a vessel in the DPRK;
- Prohibit Canadians from obtaining authorization for a vessel to fly the DPRK flag;
- Prohibit Canadians from owning, leasing or operating, directly or indirectly, any DPRK-flagged vessel;
- Prohibit Canadians from insuring or re-insuring any DPRK-flagged vessel, any vessel owned, held, controlled or operated, directly or indirectly, by the DPRK or any vessel engaged in the transport or prohibited items; and
- Prohibit Canadians from providing any vessel classification, certification or related service for any DPRK-flagged vessel.

## TRAVEL BAN

In Canada, travel restrictions imposed on designated individuals are implemented pursuant to the application of the Immigration and Refugee Protection Act.

Sanctions under the Special Economic Measures (DPRK) Regulations provide for the following:

## **EXPORTS BAN**

a ban on all exports to the DPRK;

## **IMPORT BAN**

a ban on all imports to Canada from the DPRK;

## **INVESTMENT BAN**

a ban on all new investment in the DPRK;

## **OTHER RESTRICTIONS**

- a ban on the provision of financial services to the DPRK and to persons in the DPRK;
- a ban on the provision of technical data to DPRK; and
- a ban on the docking and landing in, and transiting of, Canada by DPRK ships and aircraft.

SOURCE:

[https://www.international.gc.ca/world-monde/international\\_relations-relations\\_internationales/sanctions/korea-coreee.aspx?lang=eng](https://www.international.gc.ca/world-monde/international_relations-relations_internationales/sanctions/korea-coreee.aspx?lang=eng)