

БІРІККЕН ҰЛТТАР ҰЙЫМЫ  
ЖАНЫНДАҒЫ ҚАЗАҚСТАН  
РЕСПУБЛИКАСЫНЫҢ  
ТҰРАҚТЫ ӨКІЛІ



PERMANENT REPRESENTATIVE  
OF THE REPUBLIC  
OF KAZAKHSTAN  
TO THE UNITED NATIONS

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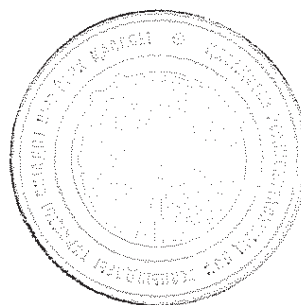
*N 075*

New York, 13 January 2012

Your Excellency,

I have the honour to transmit herewith updated report of the Government of the Republic of Kazakhstan on implementation Security Council resolution 1540 (2004) (see annex).

Please accept the assurances of my highest consideration,



**Byrganym Aitimova**  
Ambassador

**H.E. Mr. Baso Sangqu**  
Chairman SC Committee 1540  
Permanent Representative of South Africa  
To the United Nations

**OP 1 and related matters from OP 5, OP 6, OP 8 (a), (b), (c) and OP 10****State:****Date of report:**

| <i>Did you make one of the following statements or is your country a State Party to or Member State of one of the following Conventions, Treaties and Arrangements?</i> | YES | <i>If YES, indicate relevant information (i.e. signing, accession, ratification, entering into force, etc.)</i>  | <i>Remarks (information refers to the page of the English version of the report or an official website)</i> |
|---|-----|--|---|
| 1 General statement on non-possession of WMD  |     |  |   |
| 2 General statement on commitment to disarmament and non-proliferation  |     |  |   |
| 3 General statement on non-provision of WMD and related materials to non-State actors   |     |  |   |
| 4 Biological Weapons Convention (BWC)   | x   | Act No. 245 of the Republic of Kazakhstan of 7 May 2007 "On ratification of the Convention on the Prohibition of the Development, Production and Stockpiling of Bacteriological (Biological) and Toxin Weapons and on their Destruction" |   |
| 5 Chemical Weapons Convention (CWC)   | x   | Act No. 398 of the Republic of Kazakhstan of 24 June 1999 "On ratification of the Convention on the Prohibition of the Development, Production, Stockpiling and Use of Chemical Weapons and on Their Destruction"                        |   |
| 6 Nuclear Non-Proliferation Treaty (NPT)  | x   | Decision of the Supreme Council of the Republic of Kazakhstan No. 2593-XII of 13 December 1993 "On accession to the Treaty on the Non-Proliferation of Nuclear Weapons"  |   |
| 7 Comprehensive Nuclear-Test-Ban Treaty (CTBT)  |     | Act No. 270 of the Republic of Kazakhstan of 14 December 2001 "On ratification of the Comprehensive Nuclear-Test-Ban Treaty"   |   |

| Did you make one of the following statements or is your country a State Party to or Member State of one of the following Conventions, Treaties and Arrangements? | YES | If YES, indicate relevant information (i.e. signing, accession, ratification, entering into force, etc.)   | Remarks (information refers to the page of the English version of the report or an official website) |
|--|-----|--|--|
| 8 Convention on the Physical Protection of Nuclear Material (CPPNM)  | x   | 1. Act No. 17 of the Republic of Kazakhstan of 22 December 2004 "On accession of the Republic of Kazakhstan to the Convention on the Physical Protection of Nuclear Material"<br>2. Act No. 416-IV of the Republic of Kazakhstan "On ratification of Amendments to the Convention on the Physical Protection of Nuclear Material" of 19 March 2011 |  |
| 9 Hague Code of Conduct (HCOC)   |     |  |  |
| 10 Geneva Protocol of 1925   |     |  |  |
| 11 International Atomic Energy Agency (IAEA)   | x   | Act "On adoption of the Statutes of the International Atomic Energy Agency" of 8 February 1994   |  |
| 12 Nuclear-Weapons-Free Zone/Protocol(s)   | x   | Act No. 120-IV of the Republic of Kazakhstan of 5 January 2009 "On ratification of the Treaty on a Nuclear-Weapons-Free Zone in Central Asia"  |  |
| 13 Other conventions/treaties  | x   | 1. Convention on Nuclear Safety<br>2. Convention on the Safety of Spent Fuel Management and on the Safety of Radioactive Waste<br>3. International Convention for the Suppression of Acts of Nuclear Terrorism   |  |
| 14 Other arrangements  | x   | 1. Nuclear Supplies Group (NSG), 2002<br>2. Zangger Committee, 2008  |  |
| 15 Other   |     |  |  |

**OP 2 — Biological Weapons (BW)**

**State:**

**Date of report:**

|    | Does national legislation exist which prohibits persons or entities to engage in one of the following activities? Can violators be penalized? | National legal framework |   | Enforcement: civil/criminal penalties and others |                                  | Remarks |
|----|---|--------------------------|---|--|----------------------------------|---------|
|    |   | YES                      | If YES, indicate source document of national implementation law | YES  | If YES, indicate source document |         |
| 1  | Manufacture/produce   |                          |   |  |                                  |         |
| 2  | Acquire   |                          |   |  |                                  |         |
| 3  | Possess   |                          |   |  |                                  |         |
| 4  | Stockpile/store   |                          |   |  |                                  |         |
| 5  | Develop   |                          |   |  |                                  |         |
| 6  | Transport   |                          |   |  |                                  |         |
| 7  | Transfer  |                          |   |  |                                  |         |
| 8  | Use   |                          |   |  |                                  |         |
| 9  | Participate as an accomplice in a.m. activities   |                          |   |  |                                  |         |
| 10 | Assist in a.m. activities   |                          |   |  |                                  |         |
| 11 | Finance a.m. activities   |                          |   |  |                                  |         |
| 12 | A.m. activities related to means of delivery  |                          |   |  |                                  |         |
| 13 | Involvement of non-State actors in a.m. activities  |                          |   |  |                                  |         |
| 14 | Other   |                          |   |  |                                  |         |

**OP 2 — Chemical Weapons (CW)**

**State:**

**Date of report:**

|    | Does national legislation exist which prohibits persons or entities to engage in one of the following activities? Can violators be penalized? | National legal framework |   | Enforcement: civil/criminal penalties and others |                                  | Remarks |
|----|---|--------------------------|---|--|----------------------------------|---------|
|    |   | YES                      | If YES, indicate source document of national implementation law | YES  | If YES, indicate source document |         |
| 1  | Manufacture/produce   |                          |   |  |                                  |         |
| 2  | Acquire   |                          |   |  |                                  |         |
| 3  | Possess   |                          |   |  |                                  |         |
| 4  | Stockpile/store   |                          |   |  |                                  |         |
| 5  | Develop   |                          |   |  |                                  |         |
| 6  | Transport   |                          |   |  |                                  |         |
| 7  | Transfer  |                          |   |  |                                  |         |
| 8  | Use   |                          |   |  |                                  |         |
| 9  | Participate as an accomplice in a.m. activities   |                          |   |  |                                  |         |
| 10 | Assist in a.m. activities   |                          |   |  |                                  |         |
| 11 | Finance a.m. activities   |                          |   |  |                                  |         |
| 12 | A.m. activities related to means of delivery  |                          |   |  |                                  |         |
| 13 | Involvement of non-State actors in a.m. activities  |                          |   |  |                                  |         |
| 14 | Other   |                          |   |  |                                  |         |

**OP 2 — Nuclear Weapons (NW)**

**State:**

**Date of report:**

|   | Does national legislation exist which prohibits persons or entities to engage in one of the following activities? Can violators be penalized? | National legal framework |   | Enforcement: civil/criminal penalties and others |  | Remarks |
|---|---|--------------------------|---|--|--|---------|
|   |   | YES                      | If YES, indicate source document of national implementation law | YES  | If YES, indicate source document   |         |
| 1 | Manufacture/produce   |                          |   | x  | 1. Code on Administrative Offences, article 220<br>2. Criminal Code of 16 July 1997, articles 158 and 243<br>3. Act "On nuclear energy use" of 14 April 1997                   |         |
| 2 | Acquire   |                          |   | x  | 1. Criminal Code of 16 July 1997 articles 158 and 255<br>2. Act "On nuclear energy use" of 14 April 1997<br>3. Code of Administrative Offences of 30 January 2001, article 316 |         |
| 3 | Possess   |                          |   | x  | Act "On nuclear energy use" of 14 April 1997   |         |
| 4 | Stockpile/store   |                          |   | x  | Act "On nuclear energy use" of 14 April 1997   |         |
| 5 | Develop   |                          |   | x  | 1. Criminal Code of 16 July 1997, articles 158 and 243<br>2. Act "On nuclear energy use" of 14 April 1997  |         |
| 6 | Transport   |                          |   | x  | 1. Criminal Code of 16 July 1997, articles 158, 243 and 250  |         |

|    | Does national legislation exist which prohibits persons or entities to engage in one of the following activities? Can violators be penalized? | National legal framework |   | Enforcement: civil/criminal penalties and others |   | Remarks |
|----|---|--------------------------|---|--|---|---------|
|    |   | YES                      | If YES, indicate source document of national implementation law | YES  | If YES, indicate source document  |         |
| 7  | Transfer  |                          |   | x  | 2. Act "On nuclear energy use" of 14 April 1997<br><br>1. Criminal Code of 16 July 1997, articles 158 and 250<br>2. Act "On nuclear energy" of 14 April 1997 use<br>3. Code of Administrative Offences of 30 January 2001, articles, 316, 424 |         |
| 8  | Use   |                          |   | x  | 1. Criminal Code of 16 July 1997, articles 159 and 233<br>2. Act "On nuclear energy use" of 14 April 1997   |         |
| 9  | Participate as an accomplice in a.m. activities   |                          |   | x  | 1. Criminal Code of 16 July 1997, Article 250<br>2. Act "On nuclear energy use" of 14 April 1997  |         |
| 10 | Assist in a.m. activities   |                          |   |  | Act "On nuclear energy use" of 14 April 1997  |         |
| 11 | Finance a.m. activities   |                          |   | x  | Act "On nuclear energy use" of 14 April 1997  |         |
| 12 | A.m. activities related to means of delivery  |                          |   |  | 1. Criminal Code of 16 July 1997, article 243<br>2. Act "On nuclear energy use" of 14 April 1997  |         |
| 13 | Involvement of non-State actors in a.m. activities  |                          |   |  |   |         |
| 14 | Other   |                          |   | x  | Criminal Code of 16 July 1997, article 254  |         |

**OP 3 (a) and (b) — Account for/Secure/Physically protect BW including Related Materials**

**State:**

**Date of report:**

| Are any of the following measures, procedures or legislation in place to account for, secure or otherwise protect BW and Related Materials? Can violators be penalized? | National legal framework |                                  | Enforcement: civil/criminal penalties, and others |                                  | Remarks |
|---|--------------------------|----------------------------------|---|----------------------------------|---------|
|   | YES                      | If YES, indicate source document | YES   | If YES, indicate source document |         |
| 1 Measures to account for production  |                          |                                  |   |                                  |         |
| 2 Measures to account for use   |                          |                                  |   |                                  |         |
| 3 Measures to account for storage   |                          |                                  |   |                                  |         |
| 4 Measures to account for transport   |                          |                                  |   |                                  |         |
| 5 Other measures for accounting   |                          |                                  |   |                                  |         |
| 6 Measures to secure production   |                          |                                  |   |                                  |         |
| 7 Measures to secure use  |                          |                                  |   |                                  |         |
| 8 Measures to secure storage  |                          |                                  |   |                                  |         |
| 9 Measures to secure transport  |                          |                                  |   |                                  |         |
| 10 Other measures for securing  |                          |                                  |   |                                  |         |
| 11 Regulations for physical protection of facilities/materials/transport  |                          |                                  |   |                                  |         |
| 12 Licensing/registration of facilities/ persons handling biological materials  |                          |                                  |   |                                  |         |
| 13 Reliability check of personnel   |                          |                                  |   |                                  |         |
| 14 Measures to account for/secure/physically protect means of delivery  |                          |                                  |   |                                  |         |
| 15 Regulations for genetic engineering work   |                          |                                  |   |                                  |         |
| 16 Other legislation/regulations related to safety and security of biological materials   |                          |                                  |   |                                  |         |



| <i>Are any of the following measures, procedures or legislation in place to account for, secure or otherwise protect BW and Related Materials? Can violators be penalized?</i> | <i>National legal framework</i> |   | <i>Enforcement: civil/criminal penalties, and others</i> |   | <i>Remarks</i> |
|--|---------------------------------|---|--|---|----------------|
|  | <i>YES</i>                      | <i>If YES, indicate source document</i> | <i>YES</i>   | <i>If YES, indicate source document</i> |                |
| 17 Other   |                                 |   |  |   |                |

**OP 3 (a) and (b) — Account for/Secure/Physically protect CW including Related Materials**

**State:**

**Date of report:**

| Are any of the following measures, procedures or legislation in place to account for, secure or otherwise protect CW and Related Materials? Can violators be penalized? | National legal framework |                                  | Enforcement: civil/criminal penalties, and others |                                  | Remarks |
|---|--------------------------|----------------------------------|---|----------------------------------|---------|
|   | YES                      | If YES, indicate source document | YES   | If YES, indicate source document |         |
| 1 Measures to account for production  |                          |                                  |   |                                  |         |
| 2 Measures to account for use   |                          |                                  |   |                                  |         |
| 3 Measures to account for storage   |                          |                                  |   |                                  |         |
| 4 Measures to account for transport   |                          |                                  |   |                                  |         |
| 5 Other measures for accounting   |                          |                                  |   |                                  |         |
| 6 Measures to secure production   |                          |                                  |   |                                  |         |
| 7 Measures to secure use  |                          |                                  |   |                                  |         |
| 8 Measures to secure storage  |                          |                                  |   |                                  |         |
| 9 Measures to secure transport  |                          |                                  |   |                                  |         |
| 10 Other measures for securing  |                          |                                  |   |                                  |         |
| 11 Regulations for physical protection of facilities/materials/transport  |                          |                                  |   |                                  |         |
| 12 Licensing of chemical installations/entities/use of materials  |                          |                                  |   |                                  |         |
| 13 Reliability check of personnel   |                          |                                  |   |                                  |         |
| 14 Measures to account for/secure/physically protect means of delivery  |                          |                                  |   |                                  |         |
| 15 National CWC authority   |                          |                                  |   |                                  |         |
| 16 Reporting Schedule I, II and III chemicals to OPCW   |                          |                                  |   |                                  |         |
| 17 Account for, secure or physically protect old chemical   |                          |                                  |   |                                  |         |

|    | Are any of the following measures, procedures or legislation in place to account for, secure or otherwise protect CW and Related Materials? Can violators be penalized? | National legal framework |                                  | Enforcement: civil/criminal penalties, and others |                                  | Remarks |
|----|---|--------------------------|----------------------------------|---|----------------------------------|---------|
|    |   | YES                      | If YES, indicate source document | YES   | If YES, indicate source document |         |
|    | weapons   |                          |                                  |   |                                  |         |
| 18 | Other legislation/regulations controlling chemical materials  |                          |                                  |   |                                  |         |
| 19 | Other   |                          |                                  |   |                                  |         |

**OP 3 (a) and (b) — Account for/Secure/Physically protect NW including Related Materials**

**State:**

**Date of report:**

| Are any of the following measures, procedures or legislation in place to account for, secure or otherwise protect NW and Related Materials? Can violators be penalized? | National legal framework |  | Enforcement: civil/criminal penalties, and others |  | Remarks |
|---|--------------------------|--|---|--|---------|
|   | YES                      | If YES, indicate source document   | YES   | If YES, indicate source document   |         |
| 1 Measures to account for production  | <b>x</b>                 | 1. Act "On nuclear energy use" of 14 April 1997, article 15<br>2. Government decision No. 769 on the organization of State accounting and control systems for nuclear material and sources of ionizing radiation of 22 July 2005 | <b>x</b>  | 1. Code of Administrative Offences, articles 315, 316<br>2. Criminal Code, article 249 |         |
| 2 Measures to account for use   | <b>x</b>                 | 1. Act On nuclear energy use of 14 April 1997<br>2. Government decision No. 769 on the organization of State accounting and control systems for nuclear material and sources of ionizing radiation of 22 July 2005               | <b>x</b>  | 1. Code of Administrative Offences, articles 315, 316<br>2. Criminal Code, article 249 |         |
| 3 Measures to account for storage   | <b>x</b>                 | 1. Act "On nuclear energy use" of 14 April 1997, article 15<br>2. Government decision No. 769 on the organization of State accounting and control systems for nuclear material and sources of ionizing radiation of 22 July 2005 | <b>x</b>  | 1. Code of Administrative Offences, articles 315, 316<br>2. Criminal Code, article 249 |         |
| 4 Measures to account for transport   |                          | 1. Act "On nuclear energy use" of 14 April 1997, article 15<br>2. Government decision No. 769 on the organization of State accounting and control systems for nuclear material and sources of ionizing radiation of 22 July 2005 |   |  |         |
| 5 Other measures for accounting   |                          |  |   |  |         |

|    | Are any of the following measures, procedures or legislation in place to account for, secure or otherwise protect NW and Related Materials? Can violators be penalized? | National legal framework |  | Enforcement: civil/criminal penalties, and others |   | Remarks |
|----|---|--------------------------|--|---|---|---------|
|    |   | YES                      | If YES, indicate source document   | YES   | If YES, indicate source document  |         |
| 6  | Measures to secure production   | x                        | Government decision No. 769 on the organization of State accounting and control systems for nuclear material and sources of ionizing radiation of 22 July 2005   | x   | 1. Code of Administrative Offences, articles 316, 357-1, 357-2<br>2. Criminal Code, article 249 |         |
| 7  | Measures to secure use  | x                        | Government decision No. 769 on the organization of State accounting and control systems for nuclear material and sources of ionizing radiation of 22 July 2005   |   |   |         |
| 8  | Measures to secure storage  | x                        | Government decision No. 769 on the organization of State accounting and control systems for nuclear material and sources of ionizing radiation of 22 July 2005   |   |   |         |
| 9  | Measures to secure transport  |                          |  |   |   |         |
| 10 | Other measures for securing   |                          |  |   |   |         |
| 11 | Regulations for physical protection of facilities/materials/transports  |                          |  |   |   |         |
| 12 | Licensing of nuclear installations/entities/use of materials  | x                        | 1. "On nuclear energy use" of 14 April 1997, article 11<br>2. Act No. 214 "On Licensing" of 11 January 2007, article 13<br>3. Government decision No. 769 on the organization of State accounting and control systems for nuclear material and sources of ionizing radiation of 22 July 2005 | x   | 1. Code of Administrative Offences, article 357-2<br>2. Criminal Code, article 190              |         |
| 13 | Reliability check of personnel  |                          |  |   |   |         |
| 14 | Measures to account for/secure/physically protect means of delivery   |                          |  |   |   |         |

|    | <i>Are any of the following measures, procedures or legislation in place to account for, secure or otherwise protect NW and Related Materials? Can violators be penalized?</i> | <i>National legal framework</i> |  | <i>Enforcement: civil/criminal penalties, and others</i> |   | <i>Remarks</i> |
|----|--|---------------------------------|--|--|---|----------------|
|    |  | <i>YES</i>                      | <i>If YES, indicate source document</i>  | <i>YES</i>   | <i>If YES, indicate source document</i>   |                |
| 15 | National regulatory authority  | x                               | Government decision No. 416 on questions relating to the Ministry of Industry and New Technologies of the Republic of Kazakhstan" of 14 May 2010 |  |   |                |
| 16 | IAEA Safeguards Agreements   |                                 | 1. Safeguards Agreement in force 11 August 1995<br>2. Additional protocol ratified on 19 February 2007   |  |   |                |
| 17 | IAEA Code of Conduct on Safety and Security of Radioactive Sources   | x                               | The Republic of Kazakhstan approved the provisions of the IAEA Code of Conduct on Safety and Security of Radioactive Sources                     |  |   |                |
| 18 | IAEA Database on Illicit Trafficking of Nuclear Materials and other Radioactive Sources  |                                 |  |  |   |                |
| 19 | Other agreements related to IAEA   |                                 |  |  |   |                |
| 20 | Additional national legislation/regulations related to nuclear materials including CPPNM   |                                 |  |  |   |                |
| 21 | Other  |                                 |  | x  | 1. All nuclear warheads removed from the territory of Kazakhstan<br>2. Semipalatinsk nuclear test site closed<br>3. Conversion of former test site infrastructure |                |

**OP 3 (c) and (d) and related matters from OP 6 and OP 10 — Controls of BW including Related Materials**

**State:**

**Date of report:**

|    | Which of the following legislation, procedures, measures, agencies exist to control border crossings, export/import and other transfers of BW and Related Materials? Can violators be penalized? | National legal framework |                                  | Enforcement: civil/criminal penalties, and measures of implementation, etc. |                                  | Remarks |
|----|--|--------------------------|----------------------------------|---|----------------------------------|---------|
|    |  | YES                      | If YES, indicate source document | YES   | If YES, indicate source document |         |
| 1  | Border control   |                          |                                  |   |                                  |         |
| 2  | Technical support of border control measures   |                          |                                  |   |                                  |         |
| 3  | Control of brokering, trading in, negotiating, otherwise assisting in sale of goods and technology   |                          |                                  |   |                                  |         |
| 4  | Enforcement agencies/authorities   |                          |                                  |   |                                  |         |
| 5  | Export control legislation in place  |                          |                                  |   |                                  |         |
| 6  | Licensing provisions   |                          |                                  |   |                                  |         |
| 7  | Individual licensing   |                          |                                  |   |                                  |         |
| 8  | General licensing  |                          |                                  |   |                                  |         |
| 9  | Exceptions from licensing  |                          |                                  |   |                                  |         |
| 10 | Licensing of deemed export/visa  |                          |                                  |   |                                  |         |
| 11 | National licensing authority   |                          |                                  |   |                                  |         |
| 12 | Interagency review for licences  |                          |                                  |   |                                  |         |
| 13 | Control lists  |                          |                                  |   |                                  |         |
| 14 | Updating of lists  |                          |                                  |   |                                  |         |
| 15 | Inclusion of technologies  |                          |                                  |   |                                  |         |
| 16 | Inclusion of means of delivery   |                          |                                  |   |                                  |         |
| 17 | End-user controls  |                          |                                  |   |                                  |         |
| 18 | Catch all clause   |                          |                                  |   |                                  |         |
| 19 | Intangible transfers   |                          |                                  |   |                                  |         |
| 20 | Transit control  |                          |                                  |   |                                  |         |
| 21 | Trans-shipment control   |                          |                                  |   |                                  |         |

|    | <i>Which of the following legislation, procedures, measures, agencies exist to control border crossings, export/import and other transfers of BW and Related Materials? Can violators be penalized?</i> | <i>National legal framework</i> |   | <i>Enforcement: civil/criminal penalties, and measures of implementation, etc.</i> |   | <i>Remarks</i> |
|----|---|---------------------------------|---|--|---|----------------|
|    |   | <i>YES</i>                      | <i>If YES, indicate source document</i> | <i>YES</i>   | <i>If YES, indicate source document</i> |                |
| 22 | Re-export control   |                                 |   |  |   |                |
| 23 | Control of providing funds  |                                 |   |  |   |                |
| 24 | Control of providing transport services   |                                 |   |  |   |                |
| 25 | Control of importation  |                                 |   |  |   |                |
| 26 | Extraterritorial applicability  |                                 |   |  |   |                |
| 27 | Other   |                                 |   |  |   |                |



**OP 3 (c) and (d) and related matters from OP 6 and OP 10 — Controls of CW including Related Materials**

**State:**

**Date of report:**

|    | Which of the following legislation, procedures, measures, agencies exist to control border crossings, export/import and other transfers of CW and Related Materials? Can violators be penalized? | National legal framework |                                  | Enforcement: civil/criminal penalties, and measures of implementation, etc. |                                  | Remarks |
|----|--|--------------------------|----------------------------------|---|----------------------------------|---------|
|    |  | YES                      | If YES, indicate source document | YES   | If YES, indicate source document |         |
| 1  | Border control   |                          |                                  |   |                                  |         |
| 2  | Technical support of border control measures   |                          |                                  |   |                                  |         |
| 3  | Control of brokering, trading in, negotiating, otherwise assisting in sale of goods and technology   |                          |                                  |   |                                  |         |
| 4  | Enforcement agencies/authorities   |                          |                                  |   |                                  |         |
| 5  | Export control legislation in place  |                          |                                  |   |                                  |         |
| 6  | Licensing provisions   |                          |                                  |   |                                  |         |
| 7  | Individual licensing   |                          |                                  |   |                                  |         |
| 8  | General licensing  |                          |                                  |   |                                  |         |
| 9  | Exceptions from licensing  |                          |                                  |   |                                  |         |
| 10 | Licensing of deemed export/visa  |                          |                                  |   |                                  |         |
| 11 | National licensing authority   |                          |                                  |   |                                  |         |
| 12 | Interagency review for licences  |                          |                                  |   |                                  |         |
| 13 | Control lists  |                          |                                  |   |                                  |         |
| 14 | Updating of lists  |                          |                                  |   |                                  |         |
| 15 | Inclusion of technologies  |                          |                                  |   |                                  |         |
| 16 | Inclusion of means of delivery   |                          |                                  |   |                                  |         |
| 17 | End-user controls  |                          |                                  |   |                                  |         |
| 18 | Catch all clause   |                          |                                  |   |                                  |         |
| 19 | Intangible transfers   |                          |                                  |   |                                  |         |
| 20 | Transit control  |                          |                                  |   |                                  |         |
| 21 | Trans-shipment control   |                          |                                  |   |                                  |         |

|    | <i>Which of the following legislation, procedures, measures, agencies exist to control border crossings, export/import and other transfers of CW and Related Materials? Can violators be penalized?</i> | <i>National legal framework</i> |   | <i>Enforcement: civil/criminal penalties, and measures of implementation, etc.</i> |   | <i>Remarks</i> |
|----|---|---------------------------------|---|--|---|----------------|
|    |   | <i>YES</i>                      | <i>If YES, indicate source document</i> | <i>YES</i>   | <i>If YES, indicate source document</i> |                |
| 22 | Re-export control   |                                 |   |  |   |                |
| 23 | Control of providing funds  |                                 |   |  |   |                |
| 24 | Control of providing transport services   |                                 |   |  |   |                |
| 25 | Control of importation  |                                 |   |  |   |                |
| 26 | Extraterritorial applicability  |                                 |   |  |   |                |
| 27 | Other   |                                 |   |  |   |                |

**OP 3 (c) and (d) and related matters from OP 6 and OP 10 — Controls of NW including Related Materials**

**State:**

**Date of report:**

|   | <i>Which of the following legislation, procedures, measures, agencies exist to control border crossings, export/import and other transfers of NW and Related Materials? Can violators be penalized?</i> | <i>National legal framework</i> |   | <i>Enforcement: civil/criminal penalties, and measures of implementation, etc.</i> |   | <i>Remarks</i> |
|---|---|---------------------------------|---|--|---|----------------|
|   |   | <i>YES</i>                      | <i>If YES, indicate source document</i>   | <i>YES</i>   | <i>If YES, indicate source document</i>   |                |
| 1 | Border control  | x                               | Act No. 298-IV of the Republic of Kazakhstan of 30 June 2010 "On bringing into effect the Customs Code of the Republic of Kazakhstan"   | x  | Criminal Code, article 250  |                |
| 2 | Technical support of border control measures  |                                 |   |  |   |                |
| 3 | Control of brokering, trading in, negotiating, otherwise assisting in sale of goods and technology  |                                 |   |  |   |                |
| 4 | Enforcement agencies/authorities  |                                 |   | x  | 1. Customs Control Committee of the Ministry of Finance<br>2. Border Service of the National Security Committee |                |
| 5 | Export control legislation in place   | x                               | 1. Act "On export controls" of 2007<br>2. Government decision No. 104 ratifying the schedule of products subject to export control of 5 February 2008<br>3. Government decision No. 130 ratifying the rules for authorization of transit of February 2008<br>4. Government decision No. 578 ratifying the rules for licensing the export and import of goods, |  |   |                |

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|----|---|---------------------------------|---|--|--|----------------|
|    |   | <i>YES</i>                      | <i>If YES, indicate source document</i>   | <i>YES</i>   | <i>If YES, indicate source document</i>                          |                |
|    |   |                                 | including products subject to export control, and also for activities associated with the automatic licensing of certain imported goods, the qualification criteria for licensing, and the schedule of exported and imported goods subject to licensing of 12 June 2008   |  |  |                |
| 6  | Licensing provisions  | x                               | Government decision No. 578 ratifying the rules for licensing the export and import of goods, including products subject to export control, and also for activities associated with the automatic licensing of certain imported goods, the qualification criteria for licensing, and the schedule of exported and imported goods subject to licensing of 12 June 2008 |  |  |                |
| 7  | Individual licensing  |                                 |   |  |  |                |
| 8  | General licensing   | x                               | Act "On licensing" of 11 January 2007, article 38   | x  | Code of Administrative Offences, articles 316, 357-1, 357-2, 424 |                |
| 9  | Exceptions from licensing   |                                 |   |  |  |                |
| 10 | Licensing of deemed export/visa   |                                 |   |  |  |                |
| 11 | National licensing authority  | x                               | Industry Committee of the Ministry of Industry and New Technologies   |  |  |                |
| 12 | Interagency review for licences   | x                               | Act "On export controls" of 21 July 2007, article 7   |  |  |                |
| 13 | Control lists   |                                 | 1. Act "On export controls" of 21 July 2007, article 1 and 8  |  |  |                |

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|----|---|---------------------------------|--|--|---|----------------|
|    |   | <i>YES</i>                      | <i>If YES, indicate source document</i>  | <i>YES</i>   | <i>If YES, indicate source document</i> |                |
|    |   |                                 | 2. Government decision No. 104 ratifying the schedule of products subject to export control of 5 February 2008   |  |   |                |
| 14 | Updating of lists   |                                 |  |  |   |                |
| 15 | Inclusion of technologies   | x                               | Act "On export controls" of 21 July 2007, article 8  | x  | Criminal Code, article 243              |                |
| 16 | Inclusion of means of delivery  | x                               | Act "On export control" of 21 July 2007, article 8   |  |   |                |
| 17 | End-user controls   | x                               | Act "On export controls" of 21 July 2007, article 5  |  |   |                |
| 18 | Catch all clause  | x                               | Act "On export controls" of 21 July 2007, article 10   |  |   |                |
| 19 | Intangible transfers  | x                               | Act "On export controls" of 21 July 2007   | x  | Criminal Code, article 243              |                |
| 20 | Transit control   | x                               | Government decision No. 130 ratifying the rules for authorisation of transit of 11 February 2008   |  |   |                |
| 21 | Trans-shipment control  | x                               | 1. Act "On export controls" of 21 July 2007, article 3<br>2. Government Decision No. 130 on the regulations for issuing product transit permits of February 2008 | x  | Criminal Code, article 249              |                |

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|----|---|---------------------------------|--|--|---|----------------|
|    |   | <i>YES</i>                      | <i>If YES, indicate source document</i>  | <i>YES</i>   | <i>If YES, indicate source document</i> |                |
| 22 | Re-export control   | x                               | 1. Act "On export controls" of 21 July 2007<br>2. Government Decision No. 578 ratifying the rules for licensing the export and import of goods, including products subject to export control, and also for activities associated with the automatic licensing of certain imported goods, the qualification criteria for licensing and the schedule of exported and imported goods subject to licensing of 12 June 2008 |  |   |                |
| 23 | Control of providing funds  |                                 |  |  |   |                |
| 24 | Control of providing transport services   |                                 |  |  |   |                |
| 25 | Control of importation  | x                               | 1. Act "On export controls" of 21 July 2007<br>2. Government Decision No. 578 ratifying the rules for licensing the export and import of goods, including products subject to export control, and also for activities associated with the automatic licensing of certain imported goods, the qualification criteria for licensing and the schedule of exported and imported goods subject to licensing of 12 June 2008 |  |   |                |
| 26 | Extraterritorial applicability  |                                 |  |  |   |                |
| 27 | Other   |                                 |  |  |   |                |

**OP 6, 7 and 8 (d) — Control lists, Assistance, Information**

**State:**

**Date of report:**

|   | <i>Can information be provided on the following issues?</i>     | <i>YES</i> | <i>Remarks</i> |
|---|---|------------|----------------|
| 1 | Control lists — items (goods/equipment/materials/ technologies) |            |                |
| 2 | Control lists — other   |            |                |
| 3 | Assistance offered  |            |                |
| 4 | Assistance requested  |            |                |
| 5 | Assistance in place (bilateral/ plurilateral/multilateral)      |            |                |
| 6 | Information for industry  |            |                |
| 7 | Information for the public                                      |            |                |