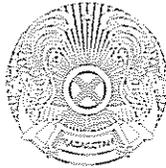


БІРІККЕН ҰЛТТАР ҰЙЫМЫ
ЖАНЫНДАҒЫ ҚАЗАҚСТАН
РЕСПУБЛИКАСЫНЫҢ
ТҰРАҚТЫ ӨКІЛІ



PERMANENT REPRESENTATIVE
OF THE REPUBLIC
OF KAZAKHSTAN
TO THE UNITED NATIONS

3 Dag Hammarskjold Plaza
305 East 47th Street, 3rd Floor, New York, NY 10017
Tel.: (212) 230-1900 • Fax (212) 230-1172 • E-mail: kazakhstan@un.int

New York, 18 January 2008

КЗР

Excellency,

With reference to the letter of the Chairman of the United Nations Security Council Committee established pursuant to Resolution 1540 (2004) dated 17 October 2007 I have the honour to transmit herewith additional information of the Government of the Republic of Kazakhstan corresponding to its national report on the implementation of the resolution 1540 (2004) (see annex).

The Government of Kazakhstan has no objection to the posting of the matrix on the Committee's website as a public document.

Please accept, Your Excellency, the assurances of my highest consideration.

A handwritten signature in black ink, appearing to read 'B. Aitimova'.

Byrganym Aitimova

**His Excellency
Mr. Jorge Urbina
Chairman
UN Security Council Committee
established pursuant to Resolution 1540 (2004)**

Enclosure

[Original: Russian]

OP 1 and related matters from OP 5, OP 6, OP 8 (a), (b), (c) and OP 10

State: **Kazakhstan**
Date of report: 3 November 2004
Date of addendum 1: 1 December 2005

<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>		<i>YES</i>	<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	X		
2	General statement on commitment to disarmament and non-proliferation	X	Policy on non-proliferation of WMD is determined in accordance with foreign policy, which is based on the commitment to strengthen international security	Page 2 of the report
3	General statement on non-provision of WMD and related materials to non-State actors	X	Kazakhstan takes systematic practical action to prevent and suppress the proliferation of WMD	Page 10 of the report
4	Biological Weapons Convention (BWC)	X	Ratified on 7 May 2007	Page 5 of addendum 1
5	Chemical Weapons Convention (CWC)	X	Ratified on 24 June 1999	Pages 7 and 9 of the report Page 5 of addendum 1
6	Nuclear Non-Proliferation Treaty (NPT)	X	Ratified on 13 December 1993	Pages 2 and 6 of the report Page 6 of addendum 1

The information in the matrices originates primarily from national reports and is complemented by official government information, including that made available to inter-governmental organizations. The matrices are prepared under the direction of the 1540 Committee.

The 1540 Committee intends to use the matrices as a reference tool for facilitating technical assistance and to enable the Committee to continue to enhance its dialogue with States on their implementation of Security Council resolution 1540.

The matrices are not a tool for measuring compliance of States with their non-proliferation obligations but for facilitating the implementation of Security Council resolutions 1540 and 1673. They do not reflect or prejudice any ongoing discussions outside of the Committee, in the Security Council or any of its organs, of a State's compliance with its non-proliferation or any other obligations.

7	Comprehensive Nuclear-Test-Ban Treaty (CTBT)	X	Ratified on 14 December 2001	Pages 2 and 7 of the report Page 6 of addendum 1
8	Convention on Physical Protection of Nuclear Material (CPPNM)	X	Act No. 17-III of the Republic of Kazakhstan of 22 December 2004 on accession entered into force on 2 October 2005	Page 6 of addendum 1
9	Hague Code of Conduct (HCOC)	X	Acceded by diplomatic note of 9 July 2005	Page 6 of addendum 1
10	Geneva Protocol of 1925	X		
11	International Atomic Energy Agency (IAEA)	X	Since 1994	Page 2 of the report Page 6 of addendum 1
12	Nuclear-Weapon-Free Zone/Protocol(s)	X	An agreement on a nuclear-weapon-free zone in Central Asia was signed on 8 September 2006 in Semipalatinsk	
13	Other conventions/treaties	X	<ol style="list-style-type: none"> 1. Convention on Nuclear Safety 2. Joint Convention on the Safety of Spent Fuel Management and on the Safety of Radioactive Waste Management 3. Treaty on the Reduction and Limitation of Strategic Offensive Arms 4. Treaty on the Elimination of Intermediate-Range and Shorter-Range Missiles 5. Treaty on Cooperation among the States Members of the Commonwealth of Independent States in Combating Terrorism 6. International Convention for the Suppression of Terrorist Bombings 7. Shanghai Convention on Combating Terrorism, Separatism and Extremism 	Pages 2, 7, 8 and 9 of the report Page 2 of addendum 1
14	Other arrangements	X	Nuclear Suppliers Group (NSG), 2002	Page 6 of the report
15	Other	X	<ol style="list-style-type: none"> 1. Euro-Atlantic Partnership Council (EAPC) 2. G-8 Global Partnership against the Spread of Weapons and Materials of Mass Destruction, June 2005 	Page 7 of addendum 1

OP 2 — Biological Weapons (BW)

State: **Kazakhstan**
Date of report: 3 November 2004
Date of addendum 1: 1 December 2005

	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	Articles 158 and 243 of the Criminal Code of 16 July 1997	Page 8 of addendum 1
2	Acquire			X	Articles 158 and 255 of the Criminal Code of 16 July 1997	Pages 4 and 8 of addendum 1
3	Possess			X	Article 7 of the Act “On combating terrorism” of 13 July 1999	Page 8 of addendum 1
4	Stockpile/store			X	Article 7 of the Act “On combating terrorism” of 13 July 1999	Page 8 of addendum 1
5	Develop			X	Articles 158 and 243 of the Criminal Code of 16 July 1997	Page 8 of addendum 1
6	Transport			X	1. Articles 158 and 250 of the Criminal Code of 16 July 1997 2. Article 7 of the Act “On combating terrorism” of 13 July 1999	Page 8 of addendum 1
7	Transfer			X	1. Articles 158 and 250 of the Criminal Code of 16 July 1997 2. Article 7 of the Act “On combating terrorism” of 13 July 1999	Page 8 of addendum 1
8	Use			X	Article 159 of the Criminal Code of 16 July 1997	Page 8 of addendum 1

<i>Does national legislation exist which prohibits persons or entities to engage in one of the following activities? 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 of national implementation law</i>	<i>YES</i>	<i>If YES, indicate source document</i>	
9	Participate as an accomplice in a.m. activities			X	1. Article 158 of the Criminal Code of 16 July 1997 2. Article 7 of the Act "On combating terrorism" of 13 July 1999	Page 9 of addendum 1
10	Assist in a.m. activities			X	1. Articles 158 and 159 of the Criminal Code of 16 July 1997 2. Article 7 of the Act "On combating terrorism" of 13 July 1999	Page 9 of addendum 1
11	Finance a.m. activities			X	Article 1 of the Act "On combating terrorism" of 13 July 1999	Page 9 of addendum 1
12	A.m. activities related to means of delivery			X	Article 243 of the Criminal Code of 16 July 1997	Page 9 of addendum 1
13	Involvement of non-State actors in a.m. activities			X	Act "On combating terrorism" of 13 July 1999, as amended	Page 3 of the report
14	Other					

OP 2 — Chemical Weapons (CW)

State: **Kazakhstan**
Date of report: 3 November 2004
Date of addendum 1: 1 December 2005

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	Articles 158 and 243 of the Criminal Code of 16 July 1997	Page 10 of addendum 1
2	Acquire			X	Articles 158 and 255 of the Criminal Code of 16 July 1997	Pages 4 and 10 of addendum 1
3	Possess			X	Article 7 of the Act “On combating terrorism” of 13 July 1999	Page 10 of addendum 1
4	Stockpile/store			X	Article 7 of the Act “On combating terrorism” of 13 July 1999	Page 10 of addendum 1
5	Develop			X	Articles 158 and 243 of the Criminal Code of 16 July 1997	Page 10 of addendum 1
6	Transport			X	1. Articles 158 and 250 of the Criminal Code of 16 July 1997 2. Article 7 of the Act “On combating terrorism” of 13 July 1999	Page 10 of addendum 1
7	Transfer			X	1. Articles 158 and 250 of the Criminal Code of 16 July 1997 2. Article 7 of the Act “On combating terrorism” of 13 July 1999	Page 10 of addendum 1

<i>Does national legislation exist which prohibits persons or entities to engage in one of the following activities? 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 of national implementation law</i>	<i>YES</i>	<i>If YES, indicate source document</i>	
8	Use			X	Article 159 of the Criminal Code of 16 July 1997	Page 10 of addendum 1
9	Participate as an accomplice in a.m. activities			X	1. Article 158 of the Criminal Code of 16 July 1997 2. Article 7 of the Act "On combating terrorism" of 13 July 1999	Page 11 of addendum 1
10	Assist in a.m. activities			X	1. Articles 158 and 159 of the Criminal Code of 16 July 1997 2. Article 7 of the Act "On combating terrorism" of 13 July 1999	Page 11 of addendum 1
11	Finance a.m. activities			X	Article 1 of the Act "On combating terrorism" of 13 July 1999	Page 11 of addendum 1
12	A.m. activities related to means of delivery			X	Article 243 of the Criminal Code of 16 July 1997	Page 11 of addendum 1
13	Involvement of non-State actors in a.m. activities			X	Act "On combating terrorism" of 13 July 1999, as amended	Page 3 of the report
14	Other					

OP 2 — Nuclear Weapons (NW)

State: **Kazakhstan**
Date of report: 3 November 2004
Date of addendum 1: 1 December 2005

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. Articles 158 and 243 of the Criminal Code of 16 July 1997 2. Act "On nuclear energy use" of 14 April 1997	Page 12 of addendum 1
2	Acquire			X	1. Articles 158 and 255 of the Criminal Code of 16 July 1997 2. Act "On nuclear energy use" of 14 April 1997 3. Article 316 of the Code of Administrative Offences of 30 January 2001	Pages 4 and 12 of addendum 1
3	Possess			X	1. Article 7 of the Act "On combating terrorism" of 13 July 1999 2. Act "On nuclear energy use" of 14 April 1997	Page 12 of addendum 1
4	Stockpile/store			X	1. Article 7 of the Act "On combating terrorism" of 13 July 1999 2. Act "On nuclear energy use" of 14 April 1997	Page 12 of addendum 1
5	Develop			X	1. Articles 158 and 243 of the Criminal Code of 16 July 1997 2. Act "On nuclear energy use" of 14 April 1997	Page 12 of addendum 1

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	
6	Transport			X	1. Articles 158 and 250 of the Criminal Code of 16 July 1997 2. Article 7 of the Act “On combating terrorism” of 13 July 1999 3. Act “On nuclear energy use” of 14 April 1997	Page 13 of addendum 1
7	Transfer			X	1. Articles 158 and 250 of the Criminal Code of 16 July 1997 2. Article 7 of the Act “On combating terrorism” of 13 July 1999 3. Act “On nuclear energy use” of 14 April 1997 4. Article 316 of the Code of Administrative Offences of 30 January 2001	Page 13 of addendum 1
8	Use			X	1. Article 159 of the Criminal Code of 16 July 1997 2. Act “On nuclear energy use” of 14 April 1997 3. Article 233 of the Criminal Code of 16 July 1997	Page 13 of addendum 1
9	Participate as an accomplice in a.m. activities			X	1. Article 158 of the Criminal Code of 16 July 1997 2. Article 7 of the Act “On combating terrorism” of 13 July 1999 3. Act “On nuclear energy use” of 14 April 1997	Page 13 of addendum 1

<i>Does national legislation exist which prohibits persons or entities to engage in one of the following activities? 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 of national implementation law</i>	<i>YES</i>	<i>If YES, indicate source document</i>	
10	Assist in a.m. activities			X	1. Articles 158 and 159 of the Criminal Code of 16 July 1997 2. Article 7 of the Act “On combating terrorism” of 13 July 1999 3. Act “On nuclear energy use” of 14 April 1997	Page 13 of addendum 1
11	Finance a.m. activities			X	1. Article 1 of the Act “On combating terrorism” of 13 July 1999 2. Act “On nuclear energy use” of 14 April 1997	Page 14 of addendum 1
12	A.m. activities related to means of delivery			X	1. Article 243 of the Criminal Code of 16 July 1997 2. Act “On nuclear energy use” of 14 April 1997	Page 14 of addendum 1
13	Involvement of non-State actors in a.m. activities			X	Act “On combating terrorism” of 13 July 1999, as amended	Page 3 of the report
14	Other	X	Decision No. 2593 of the Supreme Council of the Republic of Kazakhstan “On accession to the Treaty on the Non-Proliferation of Nuclear Weapons (NPT)”			Page 6 of addendum 1

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

State: **Kazakhstan**
Date of report: 3 November 2004
Date of addendum 1: 1 December 2005

<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>	
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		Articles 22 and 23 of Act No. 339-11 of the Republic of Kazakhstan “On veterinary science” of 10 July 2002 Article 8 of Act No. 301-111 of the Republic of Kazakhstan “On the safety of food production” of 21 July 2007		Articles 310 and 559 of the Code of Administrative Offences of the Republic of Kazakhstan No. 155-11 of 30 January 2007	
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/transports					
12	Licensing/registration of facilities/persons handling 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>	
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					
17	Other					

OP 3 (a) and (b) — Account for/Secure/Physically protect CW including Related Materials**State:** **Kazakhstan****Date of report:** 3 November 2004**Date of addendum 1:** 1 December 2005

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/transports					
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	X	Ministry of Energy and Mineral Resources			Page 17 of addendum 1

<i>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?</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>	
16	Reporting Schedule I, II and III chemicals to OPCW	X	Only Schedule III chemicals manufacture and sale declared. No Schedule I and II chemicals in the territory of Kazakhstan			Page 18 of addendum 1
17	Account for, secure or physically protect old chemical weapons					
18	Other legislation/regulations controlling chemical materials	X	Act "On narcotic drugs, psychotropic substances and their precursors and measures to prevent illegal trafficking and abuse" of 10 July 1998			Page 18 of addendum 1
19	Other					

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

State: **Kazakhstan**

Date of report: 3 November 2004

Date of addendum 1: 1 December 2005

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	X	1. Article 15 of the Act “On nuclear energy use” of 14 April 1997 2. Government Decision No. 769 “On the organization of State accounting and control systems for nuclear materials and sources of ionizing radiation” of 22 July 2005	X	Article 249 of the Criminal Code	Page 4 of the report Page 19 of addendum 1
2	Measures to account for use	X		X		
3	Measures to account for storage	X		X		
4	Measures to account for transport	X	1. Act “On nuclear energy use” of 14 April 1997 2. Government Decision No. 769 “On the organization of State accounting and control systems for nuclear materials and sources of ionizing radiation” of 22 July 2005			Page 19 of addendum 1
5	Other measures for accounting	X				
6	Measures to secure production	X	Government Decision No. 769 “On the organization of State accounting and control systems for nuclear materials and sources of ionizing radiation” of 22 July 2005			Page 19 of addendum 1
7	Measures to secure use	X		X	Articles 247, 248 and 249 of the Criminal Code	Pages 3 and 4 of the report Page 20 of addendum 1
8	Measures to secure storage	X		X		
9	Measures to secure transport	X		X		
10	Other measures for securing	X				

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	
11	Regulations for physical protection of facilities/ materials/transports					
12	Licensing of nuclear installations/entities/use of materials	X	1. Article 15 of the Act “On nuclear energy use” of 14 April 1997 2. Article 13 of Act No. 214 “On licensing” of 11 January 2007 3. Government Decision No. 769 “On the organization of State accounting and control systems for nuclear materials and sources of ionizing radiation” of 22 July 2005			Page 20 of addendum 1
13	Reliability check of personnel					
14	Measures to account for/secure/ physically protect means of delivery	X	Government Decision No. 769 “On the organization of State accounting and control systems for nuclear materials and sources of ionizing radiation” of 22 July 2005			Page 21 of addendum 1
15	National regulatory authority	X	Government Decision No. 1108 “Questions relating to the Nuclear Energy Committee of the Ministry of Energy and Mineral Resources of the Republic of Kazakhstan” of 28 October 2004			Page 21 of addendum 1
16	IAEA Safeguards Agreements	X	1. Safeguards Agreement in force since 11 August 1995 2. Additional Protocol ratified on 19 February 2007			Page 8 of the report http://www.iaea.org/OurWork/SV/Safeguards/sir_table.pdf
17	IAEA Code of Conduct on Safety and Security of Radioactive Sources					

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	
18	IAEA Database on Illicit Trafficking of Nuclear Materials and other Radioactive Sources			X	Government Decision No. 525-23 "On the establishment of special agencies of the Ministry of the Interior of the Republic of Kazakhstan and special units of Ministry of the Interior forces of the Republic of Kazakhstan" of 22 June 1993	Page 21 of addendum 1
19	Other agreements related to IAEA					
20	Additional national legislation/ regulations related to nuclear materials including CPPNM					
21	Other			X	<ol style="list-style-type: none"> 1. All nuclear warheads have been removed from the territory of Kazakhstan 2. Semipalatinsk nuclear test site closed 3. Conversion of former test-site infrastructure 	Page 2 of the report

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

State: **Kazakhstan**

Date of report: 3 November 2004

Date of addendum 1: 1 December 2005

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	X	1. Customs Code 2. Act "On combating terrorism" of 13 July 1999	X	Article 250 of the Criminal Code	Page 3 of the report Page 23 of addendum 1
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 2. Border Service of the National Security Committee	Page 23 of addendum 1
5	Export control legislation in place	X	<p>1. Act of the Republic of Kazakhstan "On export controls", adopted on 21 July 2007, enters into force on 9 February 2008</p> <p>2. Government Decision No. 674 "On approval of the Regulations for the transit of products subject to export controls" of 14 July 2006</p> <p>3. Government Decision No. 1917 "On improvement of the export control system" of December 1999</p>	X	Article 243 of the Criminal Code	Pages 3, 4 and 5 of the report Pages 23 and 24 of addendum 1

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	
			<p>4. Government Decision No. 1037 “On the licensing of the export and import of goods (works, services) in the Republic of Kazakhstan” of 30 June 1997</p> <p>5. Government Decision No. 1282 “On approval of the Schedule of products subject to export control in the Republic of Kazakhstan” of 18 August 2000</p> <p>6. Government Decision No. 1919 “On approval of the Regulations on implementing export controls in the Republic of Kazakhstan” of December 1999</p>			
6	Licensing provisions	X	<p>1. Act “On licensing” of 11 January 2007</p> <p>2. Government Decision No. 1037 “On the licensing of the export and import of goods (works, services) in the Republic of Kazakhstan” of 30 June 1997</p>			
7	Individual licensing	X	Act “On licensing” of 11 January 2007			
8	General licensing	X	Act “On licensing” of 11 January 2007			
9	Exceptions from licensing	X	Act “On licensing” of 11 January 2007			
10	Licensing of deemed export/visa	X	Act “On licensing” of 11 January 2007			

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	
11	National licensing authority	X	Industry and Scientific and Technical Development Committee of the Ministry of Industry and Trade			Page 25 of addendum 1
12	Interagency review for licences	X	Act “On licensing” of 11 January 2007			
13	Control lists	X	1. Act “On export controls” of 21 July 2007 2. Government Decision No. 1282 “On approval of the Schedule of products subject to export control in the Republic of Kazakhstan” of August 2000			Page 25 of addendum 1
14	Updating of lists					
15	Inclusion of technologies	X	1. Act “On export controls” of 21 July 2007	X	Article 243 of the Criminal Code	Pages 3, 5 and 6 of the report
16	Inclusion of means of delivery	X				
17	End-user controls	X	1. Act “On export controls” of 21 July 2007			Page 5 of the report Page 25 of addendum 1
18	Catch all clause	X	1. Act “On export controls” of 21 July 2007			Page 25 of addendum 1
19	Intangible transfers	X	1. Act “On export controls” of 21 July 2007	X	Article 243 of the Criminal Code	Page 3 of the report Page 25 of addendum 1
20	Transit control	X	1. Act “On export controls” of 21 July 2007 2. Act “On combating terrorism” of 19 February 2002 3. Government Decision No. 674 “On approval of the Regulations for the transit of products subject to export controls” of 14 July 2006			Pages 3 and 6 of the report Page 25 of addendum 1

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	
21	Trans-shipment control	X	Government Decision No. 674 “On approval of the Regulations for the transit of products subject to export controls” of 14 July 2006			Page 26 of addendum 1
22	Re-export control	X	1. Act “On export controls” of 21 July 2007 2. Government Decision No. 1919 “On approval of the Regulations on implementing export controls in the Republic of Kazakhstan” of December 1999			Page 6 of the report Page 26 of addendum 1
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 2. Government Decision No. 674 “On approval of the Regulations for the transit of products subject to export controls” of 14 July 2006 3. Government Decision No. 1037 “On the licensing of the export and import of goods (works, services) in the Republic of Kazakhstan” of 30 June 1997			Page 6 of the report Page 26 of addendum 1
26	Extraterritorial applicability					
27	Other	X	The Government adopts an annual plan of action for the further improvement of the export control system			Page 4 of the report Page 27 of addendum 1

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

State: **Kazakhstan**
Date of report: 3 November 2004
Date of addendum 1: 1 December 2005

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	X	1. Act “On export controls” of 21 July 2007 2. Article 19, paragraph 12, of the Customs Code of 5 April 2003	X	Article 250 of the Criminal Code	Page 28 of addendum 1
2	Technical support of border control measures			X	An automated export control system has been introduced	Page 28 of addendum 1
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 2. Border Service of the National Security Committee	Page 28 of addendum 1
5	Export control legislation in place	X	1. Act “On export controls” of 21 July 2007 2. Government Decision No. 1917 “On improvement of the export control system” of December 1999 3. Government Decision No. 674 “On approval of the Regulations for the transit of products subject to export controls” of 14 July 2006 4. Government Decision No. 1037 “On the licensing of the export	X	Article 243 of the Criminal Code	Pages 28 and 29 of addendum 1

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	
			and import of goods (works, services) in the Republic of Kazakhstan” of 30 June 1997 5. Government Decision No. 1282 “On approval of the Schedule of products subject to export control in the Republic of Kazakhstan” of 18 August 2000 6. Government Decision No. 1919 “On approval of the Regulations on implementing export controls in the Republic of Kazakhstan ...” of December 1999			
6	Licensing provisions	X	1. Act “On licensing” of 11 January 2007 2. Government Decision No. 1037 “On the licensing of the export and import of goods (works, services) in the Republic of Kazakhstan” of 30 June 1997			Page 29 of addendum 1
7	Individual licensing	X	Act “On licensing” of 11 January 2007			
8	General licensing	X	Act “On licensing” of 11 January 2007			
9	Exceptions from licensing	X	Act “On licensing” of 11 January 2007			
10	Licensing of deemed export/visa	X	Act “On licensing” of 11 January 2007			
11	National licensing authority	X	Industry and Scientific and Technical Development Committee of the Ministry of Industry and Trade			Page 30 of addendum 1

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	
12	Interagency review for licences	X	Act “On licensing” of 11 January 2007			
13	Control lists	X	1. Act “On export controls” of 21 July 2007 2. Government Decision No. 1282 “On approval of the Schedule of products subject to export control in the Republic of Kazakhstan” of August 2000			Pages 4, 5 and 6 of the report Page 30 of addendum 1
14	Updating of lists		Lists are regularly updated			Page 30 of addendum 1
15	Inclusion of technologies	X	Act “On export controls” of 21 July 2007	X	Article 243 of the Criminal Code	
16	Inclusion of means of delivery	X				
17	End-user controls	X	Act “On export controls” of 21 July 2007			
18	Catch all clause		Act “On export controls” of 21 July 2007			
19	Intangible transfers		Act “On export controls” of 21 July 2007	X	Article 243 of the Criminal Code	
20	Transit control	X	1. Act “On export controls” of 21 July 2007 2. Act “On combating terrorism” of 19 February 2002 3. Government Decision No. 674 “On approval of the Regulations for the transit of products subject to export controls” of 14 July 2006			Page 31 of addendum 1
21	Trans-shipment control	X	Government Decision No. 674 “On approval of the Regulations for the transit of products subject to export controls” of 14 July 2006			Page 31 of addendum 1

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	
22	Re-export control	X	Act “On export controls” of 21 July 2007			Page 6 of the report Page 31 of addendum 1
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 2. Government Decision No. 674 “On approval of the Regulations for the transit of products subject to export controls” of 14 July 2006 3. Government Decision No. 1037 “On the licensing of the export and import of goods (works, services) in the Republic of Kazakhstan” of 30 June 1997			Page 6 of the report Pages 31 and 32 of addendum 1
26	Extraterritorial applicability					
27	Other	X	The Government adopts an annual plan of action for the further improvement of the export control system			Page 4 of the report Page 32 of addendum 1

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

State: **Kazakhstan**
Date of report: 3 November 2004
Date of addendum 1: 1 December 2005

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?		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	X	1. Act "On combating terrorism" of 13 July 1999 2. Article 19, paragraph 12, of the Customs Code of 5 April 2003	X	Articles 247, 248 and 250 of the Criminal Code	Page 3 of the report Page 33 of addendum 1
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 2. Border Service of the National Security Committee	Page 33 of addendum 1
5	Export control legislation in place	X	1. Act "On export controls" of 2007 2. Government Decision No. 1917 "On improvement of the export control system" of December 1999 3. Government Decision No. 674 "On approval of the Regulations for the transit of products subject to export controls" of July 2006 4. Government Decision No. 1037 "On the licensing of the export	X	Article 243 of the Criminal Code	Pages 33 and 34 of addendum 1

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?		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	
			and import of goods (works, services) in the Republic of Kazakhstan” of 30 June 1997 5. Government Decision No. 674 “On approval of the Regulations for the transit of products subject to export controls” of 14 July 2006 6. Government Decision No. 1919 “On approval of the Regulations on implementing export controls in the Republic of Kazakhstan ...” of December 1999			
6	Licensing provisions	X	Government Decision No. 1037 “On the licensing of the export and import of goods (works, services) in the Republic of Kazakhstan” of 30 June 1997			Page 34 of addendum 1
7	Individual licensing	X	Article 38 of the Act “On licensing” of 11 January 2007			
8	General licensing	X	Article 38 of the Act “On licensing” of 11 January 2007			
9	Exceptions from licensing	X	Article 9 of the Act “On export controls” of 21 July 2007			
10	Licensing of deemed export/visa					
11	National licensing authority	X	Industry and Scientific and Technical Development Committee of the Ministry of Industry and Trade			Page 35 of addendum 1
12	Interagency review for licences		Article 7 of the Act “On export controls” of 21 July 2007			

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?		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	
13	Control lists	X	1. Articles 1 and 8 of the Act “On export controls” of 21 July 2007 2. Government Decision No. 1282 “On approval of the Schedule of products subject to export control in the Republic of Kazakhstan” of August 2000			Page 35 of addendum 1
14	Updating of lists					Page 35 of addendum 1
15	Inclusion of technologies	X	Article 8 of the Act “On export controls” of 21 July 2007	X	Article 243 of the Criminal Code	
16	Inclusion of means of delivery	X				
17	End-user controls	X	Article 5 of the Act “On export controls” of 21 July 2007			
18	Catch all clause	X	Article 10 of the Act “On export controls” of 21 July 2007			
19	Intangible transfers	X	Act “On export controls” of 21 July 2007	X	Article 243 of the Criminal Code	
20	Transit control	X	1. Article 3 of the Act “On export controls” of 21 July 2007 2. Act “On combating terrorism” of 19 February 2002 3. Government Decision No. 674 “On approval of the Regulations for the transit of products subject to export controls” of July 2006	X	Article 249 of the Criminal Code	Pages 3, 4 and 6 of the report Pages 35 and 36 of addendum 1
21	Trans-shipment control	X	Government Decision No. 674 “On approval of the Regulations for the transit of products subject to export controls” of July 2006			

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?		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	
22	Re-export control	X	<p>1. Article 9 of the Act “On export controls” of 21 July 2007</p> <p>2. Government Decision No. 674 “On approval of the Regulations for the transit of products subject to export controls” of July 2006</p> <p>3. Government Decision No. 1037 “On the licensing of the export and import of goods (works, services) in the Republic of Kazakhstan” of 30 June 1997</p>			Page 6 of the report Page 36 of addendum 1
23	Control of providing funds					
24	Control of providing transport services					
25	Control of importation	X	<p>1. Article 9 of the Act “On export controls” of 21 July 2007</p> <p>2. Government Decision No. 674 “On approval of the Regulations for the transit of products subject to export controls” of July 2006</p> <p>3. Government Decision No. 1037 “On the licensing of the export and import of goods (works, services) in the Republic of Kazakhstan” of 30 June 1997</p>			Page 6 of the report Pages 36 and 37 of addendum 1
26	Extraterritorial applicability					
27	Other	X	The Government adopts an annual plan of action for the further improvement of the export control system			Page 4 of the report Page 37 of addendum 1

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

State: **Kazakhstan**
Date of report: 3 November 2004
Date of addendum 1: 1 December 2005

<i>Can information be provided on the following issues?</i>		<i>YES</i>		<i>Remarks</i>
1	Control lists — items (goods/equipment/materials/technologies)	X	Government Decision No. 1282 “On approval of the Schedule of products subject to export control in the Republic of Kazakhstan” of August 2000	Page 38 of addendum 1
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			