

ANNEX I^{*}
UN Sanctions and Exemption Procedures: Iran

UN Sanctions on Iran:

Provisions of Security Council Resolutions 1737, 1747, 1803, and 1929, and exemption procedures from the 1737 Committee's "Guidelines of the Committee for the Conduct of its Work"¹

1. Sanctions measures

- Ban on the supply to Iran of all items, materials, equipment, goods, and technology which could contribute to Iran's enrichment-related, reprocessing or heavy water-related activities, or to the development of nuclear weapon delivery system;² as listed in INFCIRC/254/Rev.8/Part 2, INFCIRC/254/Rev.11/Part 1, and S/2012/947, which supersede previous lists,³ and as determined by the Security Council or the Committee,⁴ or by states⁵
- Ban on the export by Iran of all prohibited items and all Member States shall prohibit the procurement and transport of such items⁶
- Ban on the sale by Iran of any arms or related materiel and bans all States from procurement or transport of such arms⁷
- Ban on any activity by Iran related to ballistic missile, and States to prevent the transfer of technology or technical assistance⁸
- Ban on the supply to Iran of conventional arms and technical training, financial resources, services, or advice (Resolution 1929, para. 8) following discretionary ban (Resolution 1747, para. 6)⁹
- Asset freeze¹⁰
- Travel ban (Resolution 1803, para. 5, and Resolution 1929, para. 10) following discretionary travel restrictions, Resolution 1737, para. 10, and Resolution 1747, para. 2, and request to notify the Committee, Resolution 1803, para. 3)¹¹
- Ban on provision to Iran of technical assistance, training, financial assistance, investment, brokering, transfer of financial resources, etc.¹²
- Discretionary financial sanctions¹³
- Mandatory financial sanctions¹⁴
- Technical cooperation provided by IAEA¹⁵

2. Other (discretionary) provisions

- Cargo inspection¹⁶
- Seizure, disposal of prohibited items, and reporting¹⁷
- Bunkering services¹⁸
- Financial services¹⁹
- Specialized teaching or training²⁰
- Transportation²¹

3. Exemptions

- Arms embargo²²
- Asset freeze²³
- Travel ban²⁴
- Bunkering services, for humanitarian purposes²⁵

4. Exemption procedures

- Asset freeze²⁶
- Travel ban²⁷

* Annex I to Enrico Carisch and Loraine Rickard-Martin, “United Nations Sanctions on Iran and North Korea: An Implementation Manual,” New York: International Peace Institute. March 2014.

¹UN Security Council Resolution 1737 (December 27, 2006) UN Doc. S/RES/1737, available at [www.un.org/ga/search/view_doc.asp?symbol=S/RES/1737\(2006\)](http://www.un.org/ga/search/view_doc.asp?symbol=S/RES/1737(2006)); UN Security Council Resolution 1747 (March 24, 2007) UN Doc. S/RES/1747, available at [www.un.org/ga/search/view_doc.asp?symbol=S/RES/1747\(2007\)](http://www.un.org/ga/search/view_doc.asp?symbol=S/RES/1747(2007)); UN Security Council Resolution 1803 (March 3, 2008) UN Doc. S/RES/1803, available at [www.un.org/ga/search/view_doc.asp?symbol=S/RES/1803\(2008\)](http://www.un.org/ga/search/view_doc.asp?symbol=S/RES/1803(2008)); UN Security Council Resolution 1929 (June 9 2010) UN Doc. S/RES/1929, available at [www.un.org/ga/search/view_doc.asp?symbol=S/RES/1929\(2010\)](http://www.un.org/ga/search/view_doc.asp?symbol=S/RES/1929(2010)); and Security Council Committee Established Pursuant to Resolution 1737 (2006), “Guidelines of the Committee for the Conduct of its Work,” available at www.un.org/sc/committees/1737/pdf/revisedguidelinesfinal.pdf.

² Resolution 1737, para. 3, “Decides that all States shall take the necessary measures to prevent the supply, sale or transfer directly or indirectly from their territories, or by their nationals or using their flag vessels or aircraft to, or for the use in or benefit of, Iran, and whether or not originating in their territories, of all items, materials, equipment, goods and technology which could contribute to Iran’s enrichment-related, reprocessing or heavy water-related activities, or to the development of nuclear weapon delivery systems.”

³ Supersede previous lists in Resolution 1737, paras. 3, 4, 5, and 6; Resolution 1803, paras. 8 (a) and (b); Resolution 1929, paras. 7 and 13.

⁴ Resolution 1737, para. 3(d), “any additional items, materials, equipment, goods and technology, determined as necessary by the Security Council or the Committee established by paragraph 18 below (herein “the Committee”), which could contribute to enrichment-related, or reprocessing, or heavy water-related activities, or to the development of nuclear weapon delivery systems.”

⁵ Resolution 1737, para. 4(c), “any further items if the State determines that they would contribute to the pursuit of activities related to other topics about which the IAEA has expressed concerns or identified as outstanding.”

Resolution 1929, para. 13, “and any further items if the State determines that they could contribute to enrichment-related, reprocessing or heavy water-related activities or to the development of nuclear weapon delivery systems.”

⁶ Resolution 1737, para. 7, “Decides that Iran shall not export any of the items in documents S/2006/814 and S/2006/815 and that all Member States shall prohibit the procurement of such items from Iran by their nationals, or using their flag vessels or aircraft, and whether or not originating in the territory of Iran.”

UN Docs. S/2006/814 and S/2006/815 are superseded by International Atomic Energy Agency (IAEA), “Communication Received from the Permanent Mission of the United States of America to the International Atomic Energy Agency regarding Certain Member States’ Guidelines for the Export of Nuclear Material, Equipment and Technology,” Information Circular, IAEA Doc. INFCIRC/254/Rev.11/Part 1, November 12, 2012; IAEA, “Communication Received from Certain Member States Regarding Guidelines for Transfers of Nuclear-related Dual-

use Equipment, Material, Software and Related Technology” Information Circular, IAEA Doc. INFCIRC/254/Rev.8/Part 2, June 30, 2010; and UN Security Council, “*Annex to the Letter Dated 13 December 2012 from the Permanent Representative of the United States of America to the United Nations Addressed to the President of the Security Council: Items, Materials, Equipment, Goods and Technology Related to Ballistic Missile Programmes* (December 20, 2012) UN Doc. S/2012/947.

⁷ Resolution 1747, para. 5, “Decides that Iran shall not supply, sell or transfer directly or indirectly from its territory or by its nationals or using its flag vessels or aircraft any arms or related materiel, and that all States shall prohibit the procurement of such items from Iran by their nationals, or using their flag vessels or aircraft, and whether or not originating in the territory of Iran.”

⁸ Resolution 1929, para. 9, “Decides that Iran shall not undertake any activity related to ballistic missiles capable of delivering nuclear weapons, including launches using ballistic missile technology, and that States shall take all necessary measures to prevent the transfer of technology or technical assistance to Iran related to such activities.”

⁹ Resolution 1929, para. 8, “Decides that all States shall prevent the direct or indirect supply, sale or transfer to Iran, from or through their territories or by their nationals or individuals subject to their jurisdiction, or using their flag vessels or aircraft, and whether or not originating in their territories, of any battle tanks, armoured combat vehicles, large calibre artillery systems, combat aircraft, attack helicopters, warships, missile systems as defined for the purpose of the United Nations Register of Conventional Arms, or related materiel, including spare parts, or items as determined by the Security Council or the Committee established pursuant to resolution 1737 (2006) (“the Committee”), decides further that all States shall prevent the provision to Iran by their nationals or from or through their territories of technical training, financial resources or services, advice, other services or assistance related to the supply, sale, transfer, provision, manufacture, maintenance or use of such arms and related materiel, and, in this context, calls upon all States to exercise vigilance and restraint over the supply, sale, transfer, provision, manufacture and use of all other arms and related materiel.”

¹⁰ Resolution 1737, para. 12, “Decides that all States shall freeze the funds, other financial assets and economic resources which are on their territories at the date of adoption of this resolution or at any time thereafter, that are owned or controlled by the persons or entities designated in the Annex, as well as those of additional persons or entities designated by the Security Council or by the Committee as being engaged in, directly associated with or providing support for Iran’s proliferation sensitive nuclear activities or the development of nuclear weapon delivery systems, or by persons or entities acting on their behalf or at their direction, or by entities owned or controlled by them, including through illicit means, and that the measures in this paragraph shall cease to apply in respect of such persons or entities if, and at such time as, the Security Council or the Committee removes them from the Annex, and decides further that all States shall ensure that any funds, financial assets or economic resources are prevented from being made available by their nationals or by any persons or entities within their territories, to or for the benefit of these persons and entities.”

Resolution 1929, para. 11, “Decides that the measures specified in paragraphs 12, 13, 14 and 15 of resolution 1737 (2006) shall apply also to the individuals and entities listed in Annex I of this resolution and to any individuals or entities acting on their behalf or at their direction, and to entities owned or controlled by them, including through illicit means, and to any individuals and entities determined by the Council or the Committee to have assisted designated individuals or entities in evading sanctions of, or in violating the provisions of, resolutions 1737 (2006), 1747 (2007), 1803 (2008) or this resolution.”

Resolution 1929, para. 12, “Decides that the measures specified in paragraphs 12, 13, 14 and 15 of resolution 1737 (2006) shall apply also to the Islamic Revolutionary Guard Corps (IRGC, also known as “Army of the Guardians of the Islamic Revolution”) individuals and entities specified in Annex II, and to any individuals or entities acting on their behalf or at their direction, and to entities owned or controlled by them, including through illicit means, and calls upon all States to exercise vigilance over those transactions involving the IRGC that could contribute to Iran’s proliferation-sensitive nuclear activities or the development of nuclear weapon delivery systems.”

Resolution 1929, para. 19, “Decides that the measures specified in paragraphs 12, 13, 14 and 15 of resolution 1737 (2006) shall also apply to the entities of the Islamic Republic of Iran Shipping Lines (IRISL) as specified in Annex III and to any person or entity acting on their behalf or at their direction, and to entities owned or controlled by them, including through illicit means, or determined by the Council or the Committee to have assisted them in evading the sanctions of, or in violating the provisions of, resolutions 1737 (2006), 1747 (2007), 1803 (2008) or this resolution.”

¹¹ Resolution 1803, para. 5, “Decides that all States shall take the necessary measures to prevent the entry into or transit through their territories of individuals designated in Annex II to this resolution as well as of additional persons designated by the Security Council or the Committee as being engaged in, directly associated with or providing support for Iran’s proliferation sensitive nuclear activities or for the development of nuclear weapon delivery systems, including through the involvement in procurement of the prohibited items, goods, equipment, materials and technology specified by and under the measures in paragraphs 3 and 4 of resolution 1737 (2006), except where such entry or transit is for activities directly related to the items in subparagraphs 3 (b) (i) and (ii) of resolution 1737 (2006) and provided that nothing in this paragraph shall oblige a State to refuse its own nationals entry into its territory.”

Resolution 1929, para. 10, “Decides that all States shall take the necessary measures to prevent the entry into or transit through their territories of individuals designated in Annex C, D and E of resolution 1737 (2006), Annex I of resolution 1747 (2007), Annex I of resolution 1803 (2008) and Annexes I and II of this resolution, or by the Security Council or the Committee pursuant to paragraph 10 of resolution 1737 (2006), except where such entry or transit is for activities directly related to the provision to Iran of items in subparagraphs 3(b) (i) and (ii) of resolution 1737 (2006) in accordance with paragraph 3 of resolution 1737 (2006), underlines that nothing in this paragraph shall oblige a State to refuse its own nationals entry into its territory, and decides that the measures imposed in this paragraph shall not apply when the Committee determines on a case-by-case basis that such travel is justified on the grounds of humanitarian need, including religious obligations, or where the Committee concludes that an exemption would otherwise further the objectives of this resolution, including where Article XV of the IAEA Statute is engaged.”

¹² Resolution 1737, para. 6, “Decides that all States shall also take the necessary measures to prevent the provision to Iran of any technical assistance or training, financial assistance, investment, brokering or other services, and the transfer of financial resources or services, related to the supply, sale, transfer, manufacture or use of the prohibited items, materials, equipment, goods and technology specified in paragraphs 3 and 4.”

¹³ Resolution 1747, para. 7, “Calls upon all States and international financial institutions not to enter into new commitments for grants, financial assistance, and concessional loans, to the government of the Islamic Republic of Iran, except for humanitarian and developmental purposes.”

Resolution 1803, para. 9, “Calls upon all States to exercise vigilance in entering into new commitments for public provided financial support for trade with Iran, including the granting of export credits, guarantees or insurance, to their nationals or entities involved in such trade, in order to avoid such financial support contributing to the proliferation sensitive nuclear activities, or to the development of nuclear weapon delivery systems, as referred to in resolution 1737 (2006).”

Resolution 1803, para. 10, “Calls upon all States to exercise vigilance over the activities of financial institutions in their territories with all banks domiciled in Iran, in particular with Bank Melli and Bank Saderat, and their branches and subsidiaries abroad, in order to avoid such activities contributing to the proliferation sensitive nuclear activities, or to the development of nuclear weapon delivery systems, as referred to in resolution 1737 (2006).”

¹⁴ Resolution 1929, para. 7, “Decides that Iran shall not acquire an interest in any commercial activity in another State involving uranium mining, production or use of nuclear materials and technology as listed in INFCIRC/254/Rev.9/Part I, in particular uranium-enrichment and reprocessing activities, all heavy-water activities or technology- related to ballistic missiles capable of delivering nuclear weapons, and further decides that all States shall prohibit such investment in territories under their jurisdiction by Iran, its nationals, and entities incorporated in Iran 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.”

¹⁵ Resolution 1737, para. 16, “Decides that technical cooperation provided to Iran by the IAEA or under its auspices shall only be for food, agricultural, medical, safety or other humanitarian purposes, or where it is necessary for projects directly related to the items specified in subparagraphs 3 (b) (i) and (ii) above, but that no such technical cooperation shall be provided that relates to the proliferation sensitive nuclear activities set out in paragraph 2 above.”

¹⁶ Resolution 1803, para. 11, “Calls upon all States, in accordance with their national legal authorities and legislation and consistent with international law, in particular the law of the sea and relevant international civil aviation agreements, to inspect the cargoes to and from Iran, of aircraft and vessels, at their airports and seaports, owned or operated by Iran Air Cargo and Islamic Republic of Iran Shipping Line, provided there are reasonable grounds to believe that the aircraft or vessel is transporting goods prohibited under this resolution or resolution 1737 (2006) or resolution 1747 (2007).”

Resolution 1803, para. 12, “Requires all States, in cases when inspection mentioned in the paragraph above is undertaken, to submit to the Security Council within five working days a written report on the inspection containing, in particular, explanation of the grounds for the inspection, as well as information on its time, place, circumstances, results and other relevant details.”

Resolution 1929, para. 14, “Calls upon all States to inspect, in accordance with their national authorities and legislation and consistent with international law, in particular the law of the sea and relevant international civil aviation agreements, all cargo to and from Iran, in their territory, including seaports and airports, if the State concerned has information that provides reasonable grounds to believe the cargo contains items the supply, sale, transfer, or export of which is prohibited by paragraphs 3, 4 or 7 of resolution 1737 (2006), paragraph 5 of resolution 1747 (2007), paragraph 8 of resolution 1803 (2008) or paragraphs 8 or 9 of this resolution, for the purpose of ensuring strict implementation of those provisions.”

Resolution 1929, para. 15, “Notes that States, consistent with international law, in particular the law of the sea, may request inspections of vessels on the high seas with the consent of the flag State, and calls upon all States to cooperate in such inspections if there is information that provides reasonable grounds to believe the vessel is carrying items the supply, sale, transfer, or export of which is prohibited by paragraphs 3, 4 or 7 of resolution 1737 (2006), paragraph 5 of resolution 1747 (2007), paragraph 8 of resolution 1803 (2008) or paragraphs 8 or 9 of this resolution, for the purpose of ensuring strict implementation of those provisions.”

¹⁷ Resolution 1929, para. 16, “Decides to authorize all States to, and that all States shall, seize and dispose of (such as through destruction, rendering inoperable, storage or transferring to a State other than the originating or destination States for disposal) items the supply, sale, transfer, or export of which is prohibited by paragraphs 3, 4 or 7 of resolution 1737 (2006), paragraph 5 of resolution 1747 (2007), paragraph 8 of resolution 1803 (2008) or paragraphs 8 or 9 of this resolution that are identified in inspections pursuant to paragraphs 14 or 15 of this resolution, in a manner that is not inconsistent with their obligations under applicable Security Council resolutions, including resolution 1540 (2004), as well as any obligations of parties to the NPT, and decides further that all States shall cooperate in such efforts.”

Resolution 1929, para. 17, “Requires any State, when it undertakes an inspection pursuant to paragraphs 14 or 15 above to submit to the Committee within five working days an initial written report containing, in particular, explanation of the grounds for the inspections, the results of such inspections and whether or not cooperation was provided, and, if items prohibited for transfer are found, further requires such States to submit to the Committee, at a later stage, a subsequent written report containing relevant details on the inspection, seizure and disposal, and relevant details of the transfer, including a description of the items, their origin and intended destination, if this information is not in the initial report.”

¹⁸ Resolution 1929, para. 18, “Decides that all States shall prohibit the provision by their nationals or from their territory of bunkering services, such as provision of fuel or supplies, or other servicing of vessels, to Iranian-owned or -contracted vessels, including chartered vessels, if they have information that provides reasonable grounds to believe

they are carrying items the supply, sale, transfer, or export of which is prohibited by paragraphs 3, 4 or 7 of resolution 1737 (2006), paragraph 5 of resolution 1747 (2007), paragraph 8 of resolution 1803 (2008) or paragraphs 8 or 9 of this resolution, unless provision of such services is necessary for humanitarian purposes or until such time as the cargo has been inspected, and seized and disposed of if necessary, and underlines that this paragraph is not intended to affect legal economic activities.”

¹⁹ Resolution 1747, para. 7, “Calls upon all States and international financial institutions not to enter into new commitments for grants, financial assistance, and concessional loans, to the government of the Islamic Republic of Iran, except for humanitarian and developmental purposes.”

Resolution 1803, para. 9, “Calls upon all States to exercise vigilance in entering into new commitments for public provided financial support for trade with Iran, including the granting of export credits, guarantees or insurance, to their nationals or entities involved in such trade, in order to avoid such financial support contributing to the proliferation sensitive nuclear activities, or to the development of nuclear weapon delivery systems, as referred to in resolution 1737 (2006).”

Resolution 1803, para. 10, “Calls upon all States to exercise vigilance over the activities of financial institutions in their territories with all banks domiciled in Iran, in particular with Bank Melli and Bank Saderat, and their branches and subsidiaries abroad, in order to avoid such activities contributing to the proliferation sensitive nuclear activities, or to the development of nuclear weapon delivery systems, as referred to in resolution 1737 (2006).”

Resolution 1929, para. 21, “Calls upon all States, in addition to implementing their obligations pursuant to resolutions 1737 (2006), 1747 (2007), 1803 (2008) and this resolution, to prevent the provision of financial services, including insurance or re-insurance, or the transfer to, through, or from their territory, or to or by their nationals or entities organized under their laws (including branches abroad), or persons or financial institutions in their territory, of any financial or other assets or resources if they have information that provides reasonable grounds to believe that such services, assets or resources could contribute to Iran’s proliferation-sensitive nuclear activities, or the development of nuclear weapon delivery systems, including by freezing any financial or other assets or resources on their territories or that hereafter come within their territories, or that are subject to their jurisdiction or that hereafter become subject to their jurisdiction, that are related to such programmes or activities and applying enhanced monitoring to prevent all such transactions in accordance with their national authorities and legislation.”

Resolution 1929, para. 22, “Decides that all States shall require their nationals, persons subject to their jurisdiction and firms incorporated in their territory or subject to their jurisdiction to exercise vigilance when doing business with entities incorporated in Iran or subject to Iran’s jurisdiction, including those of the IRGC and IRISL, and any individuals or entities acting on their behalf or at their direction, and entities owned or controlled by them, including through illicit means, if they have information that provides reasonable grounds to believe that such business could contribute to Iran’s proliferation-sensitive nuclear activities or the development of nuclear weapon delivery systems or to violations of resolutions 1737 (2006), 1747 (2007), 1803 (2008) or this resolution.”

Resolution 1929, para. 23, “Calls upon States to take appropriate measures that prohibit in their territories the opening of new branches, subsidiaries, or representative offices of Iranian banks, and also that prohibit Iranian banks from establishing new joint ventures, taking an ownership interest in or establishing or maintaining correspondent relationships with banks in their jurisdiction to prevent the provision of financial services if they have information that provides reasonable grounds to believe that these activities could contribute to Iran’s proliferation-sensitive nuclear activities or the development of nuclear weapon delivery systems.”

Resolution 1929, para. 24, “Calls upon States to take appropriate measures that prohibit financial institutions within their territories or under their jurisdiction from opening representative offices or subsidiaries or banking accounts in Iran if they have information that provides reasonable grounds to believe that such financial services could contribute to Iran’s proliferation-sensitive nuclear activities or the development of nuclear weapon delivery systems.”

²⁰ Resolution 1737, para. 17, “Calls upon all States to exercise vigilance and prevent specialized teaching or training of Iranian nationals, within their territories or by their nationals, of disciplines which would contribute to Iran’s proliferation sensitive nuclear activities and development of nuclear weapon delivery systems.”

²¹ Resolution 1929, para. 20, “Requests all Member States to communicate to the Committee any information available on transfers or activity by Iran Air’s cargo division or vessels owned or operated by the Islamic Republic of Iran Shipping Lines (IRISL) to other companies that may have been undertaken in order to evade the sanctions of, or in violation of the provisions of, resolutions 1737 (2006), 1747 (2007), 1803 (2008) or this resolution, including renaming or re-registering of aircraft, vessels or ships, and requests the Committee to make that information widely available.”

²² Resolution 1737, para. 5, “Decides that, for the supply, sale or transfer of all items, materials, equipment, goods and technology covered by documents S/2006/814 and S/2006/815 [superseded by INFCIRC/254/Rev.8/Part 2, INFCIRC/254/Rev.11/Part 1, and S/2012/947] the export of which to Iran is not prohibited by subparagraphs 3 (b), 3 (c) or 4 (a) above, States shall ensure that:

- (a) the requirements, as appropriate, of the Guidelines as set out in documents S/2006/814 and S/2006/985 have been met; and
- (b) they have obtained and are in a position to exercise effectively a right to verify the end-use and end-use location of any supplied item; and
- (c) they notify the Committee within ten days of the supply, sale or transfer; and
- (d) in the case of items, materials, equipment, goods and technology contained in document S/2006/814, they also notify the IAEA within ten days of the supply, sale or transfer.”

Resolution 1737, para. 9, “Decides that the measures imposed by paragraphs 3, 4 and 6 above shall not apply where the Committee determines in advance and on a case-by-case basis that such supply, sale, transfer or provision of such items or assistance would clearly not contribute to the development of Iran’s technologies in support of its proliferation sensitive nuclear activities and of development of nuclear weapon delivery systems, including where such items or assistance are for food, agricultural, medical or other humanitarian purposes, provided that:

- (a) contracts for delivery of such items or assistance include appropriate end-user guarantees; and
- (b) Iran has committed not to use such items in proliferation sensitive nuclear activities or for development of nuclear weapon delivery systems.”

Resolution 1803, para. 8, “Decides that all States shall take the necessary measures to prevent the supply, sale or transfer directly or indirectly from their territories or by their nationals or using their flag vessels or aircraft to, or for use in or benefit of, Iran, and whether or not originating in their territories, of:

- (a) all items, materials, equipment, goods and technology set out in INFCIRC/254/Rev.7/Part 2 of document S/2006/814, (superseded by INFCIRC/254/Rev.8/Part 2, INFCIRC/254/Rev.11/Part 1) except the supply, sale or transfer, in accordance with the requirements of paragraph 5 of resolution 1737 (2006), of items, materials, equipment, goods and technology set out in sections 1 and 2 of the Annex to that document, and sections 3 to 6 as notified in advance to the Committee, only when for exclusive use in light water reactors, and where such supply, sale or transfer is necessary for technical cooperation provided to Iran by the IAEA or under its auspices as provided for in paragraph 16 of resolution 1737 (2006);
- (b) all items, materials, equipment, goods and technology set out in 19.A.3 of Category II of document S/2006/815 (superseded by S/2012/947.”

²³ Resolution 1737, para. 13, “Decides that the measures imposed by paragraph 12 above do not apply to funds, other financial assets or economic resources that have been determined by relevant States:

- (a) to be necessary for basic expenses, including payment for foodstuffs, rent or mortgage, medicines and medical treatment, taxes, insurance premiums, and public utility charges or exclusively for payment of reasonable

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- professional fees and reimbursement of incurred expenses associated with the provision of legal services, or fees or service charges, in accordance with national laws, for routine holding or maintenance of frozen funds, other financial assets and economic resources, after notification by the relevant States to the Committee of the intention to authorize, where appropriate, access to such funds, other financial assets or economic resources and in the absence of a negative decision by the Committee within five working days of such notification;
- (b) to be necessary for extraordinary expenses, provided that such determination has been notified by the relevant States to the Committee and has been approved by the Committee;
 - (c) to be the subject of a judicial, administrative or arbitral lien or judgement, in which case the funds, other financial assets and economic resources may be used to satisfy that lien or judgement provided that the lien or judgement was entered into prior to the date of the present resolution, is not for the benefit of a person or entity designated pursuant to paragraphs 10 and 12 above, and has been notified by the relevant States to the Committee;
 - (d) to be necessary for activities directly related to the items specified in subparagraphs 3 (b) (i) and (ii) and have been notified by the relevant States to the Committee.”

Resolution 1737, para. 14, “Decides that States may permit the addition to the accounts frozen pursuant to the provisions of paragraph 12 above of interests or other earnings due on those accounts or payments due under contracts, agreements or obligations that arose prior to the date on which those accounts became subject to the provisions of this resolution, provided that any such interest, other earnings and payments continue to be subject to these provisions and are frozen.”

Resolution 1737, para. 15, “Decides that the measures in paragraph 12 above shall not prevent a designated person or entity from making payment due under a contract entered into prior to the listing of such a person or entity, provided that the relevant States have determined that:

- (a) the contract is not related to any of the prohibited items, materials, equipment, goods, technologies, assistance, training, financial assistance, investment, brokering or services referred to in paragraphs 3, 4 and 6 above;
- (b) the payment is not directly or indirectly received by a person or entity designated pursuant to paragraph 12 above; and after notification by the relevant States to the Committee of the intention to make or receive such payments or to authorize, where appropriate, the unfreezing of funds, other financial assets or economic resources for this purpose, ten working days prior to such authorization.”

²⁴ Resolution 1803, para. 6, “Decides that the measures imposed by paragraph 5 above shall not apply where the Committee determines on a case-by-case basis that such travel is justified on the grounds of humanitarian need, including religious obligations, or where the Committee concludes that an exemption would otherwise further the objectives of the present resolution.”

Resolution 1929, para. 10. “Decides that all States shall take the necessary measures to prevent the entry into or transit through their territories of individuals designated in Annex C, D and E of resolution 1737 (2006), Annex I of resolution 1747 (2007), Annex I of resolution 1803 (2008) and Annexes I and II of this resolution, or by the Security Council or the Committee pursuant to paragraph 10 of resolution 1737 (2006), except where such entry or transit is for activities directly related to the provision to Iran of items in subparagraphs 3(b)(i) and (ii) of resolution 1737 (2006) in accordance with paragraph 3 of resolution 1737 (2006), underlines that nothing in this paragraph shall oblige a State to refuse its own nationals entry into its territory, and decides that the measures imposed in this paragraph shall not apply when the Committee determines on a case-by-case basis that such travel is justified on the grounds of humanitarian need, including religious obligations, or where the Committee concludes that an exemption would otherwise further the objectives of this resolution, including where Article XV of the IAEA Statute is engaged.”

²⁵ Resolution 1929, para. 18, “Decides that all States shall prohibit the provision by their nationals or from their territory of bunkering services, such as provision of fuel or supplies, or other servicing of vessels, to Iranian-owned or -contracted vessels, including chartered vessels, if they have information that provides reasonable grounds to believe

they are carrying items the supply, sale, transfer, or export of which is prohibited by paragraphs 3, 4 or 7 of resolution 1737 (2006), paragraph 5 of resolution 1747 (2007), paragraph 8 of resolution 1803 (2008) or paragraphs 8 or 9 of this resolution, unless provision of such services is necessary for humanitarian purposes or until such time as the cargo has been inspected, and seized and disposed of if necessary, and underlines that this paragraph is not intended to affect legal economic activities.”

²⁶ 1737 Committee, “Guidelines of the Committee for the Conduct of its Work,” para. 38, “The Committee shall receive notifications or requests for exemptions set out in paragraphs 9, 13, and 15 of Security Council resolution 1737 (2006), which apply also to individuals and entities listed pursuant to paragraph 4 of resolution 1747 (2007), paragraph 7 of resolution 1803 (2008), and paragraph 11 of resolution 1929 (2010), in writing from Member States. Notifications or requests shall be received no less than:

- i. five working days prior to the authorization to make payments pursuant to subparagraph 13 (a) of Security Council resolution 1737 (2006); or
- ii. ten working days prior to the authorization to unfreeze funds pursuant to paragraph 15 of Security Council resolution 1737 (2006).

1737 Committee, “Guidelines of the Committee for the Conduct of its Work,” para. 39, “The information transmitted to the Committee should include, as appropriate:

- i. Items or assistance as provided in paragraph 9 of Security Council resolution 1737 (2006): a copy of the contract for delivery including appropriate end-user guarantees and a formal commitment from the Government of Iran not to use such items or assistance in proliferation sensitive nuclear activities or for development of nuclear weapon delivery systems;
- ii. Expenses as provided in subparagraphs 13 (a) and (b) of Security Council resolution 1737 (2006): recipient (name and address), recipient’s bank information (name and address of bank, account number), purpose of payment, amount of installment, number of installments, payment starting date, bank transfer or direct debit, interests, specific funds being iii. Use of funds as provided in subparagraphs 13 (c) and (d) and paragraph 15 of Security Council resolution 1737 (2006): the information listed under ii. above, a copy of the judicial, administrative or arbitral lien, the judgment or the contract, and a description of the information allowing to determine the relevant relation or absence of relation.”

1737 Committee, “Guidelines of the Committee for the Conduct of its Work,” para. 40, “The Committee, through the Secretariat, will inform the submitting State of receipt of the notification or request and, after consideration and when appropriate, of the Committee’s position.”

²⁷ 1737 Committee, “Guidelines of the Committee for the Conduct of its Work,” para. 41, “The Committee shall receive from Member States, in writing, requests for exemptions to the travel ban pursuant to paragraph 6 of resolution 1803 (2008) and paragraph 10 of resolution 1929 (2010), except where travel is for activities directly related to the provision to Iran of items in subparagraphs 3 (b) (i) and (ii) of resolution 1737 (2006) in accordance with paragraph 3 of resolution 1737 (2006), no less than five working days before the date of the proposed travel. The Committee, through the Secretariat, will inform the submitting State of receipt of the notification, and, after consideration, of the Committee’s position.”

1737 Committee, “Guidelines of the Committee for the Conduct of its Work,” para. 42, “The requests for exemptions to the travel ban should include information about the purpose of and justification for the proposed travel, with copies of supporting documents, including specific details of meetings or appointments, as well as the following information:

- i. Name, nationality and passport number(s) of the person(s) undertaking the travel;
- ii. The proposed dates and times of departure from and return to the country from which the travel is to commence;
- iii. The complete trip itinerary, including the ports of departure and return and all transit stops

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- iv. Details of the mode of transport to be used, including, as applicable, record locator, flight number(s), and name(s) of vessel(s);
 - v. Information about the purpose(s) of the proposed travel, with copies of supporting documents furnishing details supporting the request in accordance with paragraph 6 of resolution 1803 (2008) and paragraph 10 of resolution 1929 (2010), except where travel is for activities directly related to the provision to Iran of items in subparagraphs 3 (b) (i) and (ii) of resolution 1737 (2006) in accordance with paragraph 3 of resolution 1737 (2006), such as dates and times of meetings or appointments.”

1737 Committee, “Guidelines of the Committee for the Conduct of its Work,” para. 43, “In cases of emergency medical evacuations, the Chairperson shall also be promptly provided with a doctor’s note containing details of the nature of the medical emergency and the facility where treatment was received by the patient, as well as information regarding the date, time, and mode of travel by which the patient returned or will return to his/her country of residence.”

1737 Committee, “Guidelines of the Committee for the Conduct of its Work,” para. 44, “In cases where the Committee approves requests for exemptions to the travel restrictions, the Chairperson will write to the Permanent Mission to the United Nations of the State of which the listed individual is a national or resident or to the relevant UN office, informing them of the approval. Copies of the approval letter will also be sent to the Permanent Missions to the United Nations of all State(s) to which the listed individual will be traveling and transiting in the course of the approved exemption.”

1737 Committee, “Guidelines of the Committee for the Conduct of its Work,” para. 45, “The Committee shall receive written confirmation from the State in whose territory the listed individual resides or from the relevant UN office, with supporting documents, confirming the itinerary and date on which the listed individuals traveling under an exemption granted by the Committee returned to the country of residence.”

1737 Committee, “Guidelines of the Committee for the Conduct of its Work,” para. 46, “Any changes to the required travel information previously submitted to the Committee, particularly the points of transit, shall require the prior approval of the Committee and shall be received by the Chairperson and circulated to the Committee members no less than five working days prior to the commencement of the travel, except in cases of emergency, as determined by the Chairperson.”

1737 Committee, “Guidelines of the Committee for the Conduct of its Work,” para. 47, “The Chairperson shall be informed in writing immediately in the event of advancement or postponement of travel for which the Committee has already issued an exemption. Submission to the Chairperson of written notification will be sufficient in cases where the time of departure is advanced or postponed no more than 48 hours and the previously submitted itinerary remains otherwise unchanged. If travel is to be advanced or postponed more than 48 hours before or after the date previously approved by the Committee, then a new exemption request must be submitted, and should be received by the Chairperson and circulated to Committee members.”