



## 安全理事会

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### 安全理事会主席的说明

安全理事会第 2141(2014)号决议第 2 段请第 1874(2009)号决议所设专家小组向安理会提交附有结论和建议的最后报告。

主席特此分发从专家小组收到的报告(见附件)。

\* 由于技术原因于 2015 年 3 月 2 日重发。

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## 附件

### 2015 年 2 月 23 日第 1874(2009) 号决议所设专家小组给安全理事会主席的信

第 1874(2009)号决议所设专家小组谨依照第 2141(2014)号决议第 2 段，转递专家小组工作的最后报告。

报告已于 2015 年 1 月 19 日提交安全理事会第 1718(2006)号决议所设委员会，委员会于 2015 年 2 月 11 日审议了报告。

请提请安全理事会成员注意本函及其附文，并将其作为安理会文件分发为荷。

安全理事会第 1874(2009)号决议所设专家小组  
协调员

**Hugh Griffiths**（签名）

专家

**Benoît Camguilhem**（签名）

专家

**Katsuhisa Furukawa**（签名）

专家

**Chang Guo**（签名）

专家

**Dmitry Kiku**（签名）

专家

**Youngwan Kim**（签名）

专家

**Stephanie Kleine-Ahlbrandt**（签名）

专家

**Neil Watts**（签名）

## 附文

2015 年 2 月 19 日第 1874(2009) 号决议所设专家小组给第  
1718(2006) 号决议所设委员会主席的信

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专家

**Neil Watts** (签名)

## 第 1874 (2009) 号决议所设专家小组的报告

### 摘要

在本报告所述期间，朝鲜民主主义人民共和国继续无视安全理事会的决议，坚持推行其核计划和弹道导弹计划，发射的弹道导弹数量之多，史无前例，并继续在其核武器计划相关的设施内开展活动。虽然没有向安全理事会第 1718 (2006) 号决议所设委员会提交有关新的阻截的报告，但专家小组并没有看到任何证据表明该国有意停止被禁活动，而是发现了大量证据，表明朝鲜民主主义人民共和国一意孤行，采取变通方法，以规避各相关决议所采取的措施。

专家小组通过对委员会于 2014 年 7 月 28 日指认的朝鲜远洋海运管理有限公司网络开展调查，发现了逃避制裁的各种手段。该公司网络在亚洲、欧洲、南美及中东开展业务。这个网络采用了范围广泛的手段，包括空壳公司、外国中介以及间接付款等方法，以模糊其业务性质，切断金融交易与物流之间的联系。朝鲜远洋海运管理有限公司自被指认以来，将其大多数船只更名并重新登记，继续在该区域及国外营运，尽管其经济资源受资产冻结限制。

有不遵守行为的实体和个人表现出逃避制裁和开展被禁活动的能力，他们利用合法的商业网络，采用化名、代理人、办事处等手段，并利用以多重管辖区为基地的与之共谋的公司，而且遵循国际贸易模式。物品的来源是西欧、北美和亚太区域，与此同时却隐藏了产品和付款的供应商和终端使用者的真实性质和身份。为数不多的受信任者作为网络的中心枢纽发挥作用。

朝鲜民主主义人民共和国外交官、官员和贸易代表继续发挥重要作用，协助进行被禁物品的贸易，其中包括军火和有关物资和与弹道导弹相关的物品。除了开展中介活动，这些人还充当船运公司的代理人或现金携带者。

鉴于核计划和弹道导弹计划向前推进，专家小组对朝鲜民主主义人民共和国购置和转让与这些计划相关的物品的能力感到关切。经专家小组调查的案件表明了朝鲜民主主义人民共和国如何购置外国生产的商品用于发展其军事系统。

专家小组继续观察到会员国没有落实安全理事会各项决议，注意到没有采取行动和报告程度低，其原因可能是缺乏意愿、技术能力和(或)本国司法系统中存在问题。各项决议为会员国提供了各种工具，以遏制朝鲜民主主义人民共和国被禁止的各项计划，但这些工具只有付诸实施，才会发生效力。为了应对朝鲜民主主义人民共和国继续违反决议这一挑战，会员国有责任更加有力地落实各项决议规定的措施。

根据各项决议的规定，专家小组建议委员会指认更多的参与被禁活动和逃避制裁的个人和实体。专家小组还就改进执行制裁制度提出建议，并提议更新第 1718 (2006) 号决议制裁名单。

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## 缩写和词汇

|           |            |
|-----------|------------|
| 金融行动任务组   | 反洗钱金融行动任务组 |
| 原子能机构     | 国际原子能机构    |
| 海事组织      | 国际海事组织     |
| 朝中社(KCNA) | 朝鲜中央通讯社    |

本报告中使用的下列词语具体含义如下：

|             |                                                                                                        |
|-------------|--------------------------------------------------------------------------------------------------------|
| “委员会”       | 安全理事会第 1718(2006)号决议所设委员会                                                                              |
| “决议”        | 安全理事会第 1718(2006)号、第 1874(2009)号、第 2087(2013)号和第 2094(2013)号决议                                         |
| “专家小组”      | 安全理事会第 1874(2009)号决议所设专家小组                                                                             |
| “制裁”        | 决议中规定的措施                                                                                               |
| “1718 制裁名单” | 委员会根据第 1718(2006)号决议建立并维持的有关个人、实体、团体或企业的名单                                                             |
| “阻截”        | 第 1874(2009)号决议第 11 至第 14 段、第 2087(2013)号决议第 8 段和第 2094(2013)号决议第 16 段所定义的对货物的检查、扣押和处置                 |
| “指认”        | 安全理事会或委员会根据第 1718(2006)号决议第 8(d)和第 8(e)段(经包括第 2094(2013)号决议第 27 段在内的后来几项决议修订)对个人或实体采取的行动(资产冻结和(或)旅行禁令) |

## 一. 导言

1. 安全理事会第 2141(2014)号决议将专家小组的任务期限延至 2015 年 4 月 5 日。本报告为专家小组第六次报告，所述期间为 2014 年 2 月 8 日至 2015 年 2 月 5 日。
2. 本报告审查了关于朝鲜民主主义人民共和国继续试图发展核武器、其他大规模毁灭性武器和弹道导弹的证据。报告还进一步审查了会员国执行决议的情况以及在军火和有关物资及奢侈品方面违反制裁的情况。本报告参阅了会员国和私营部门提供的信息以及公开材料、卫星图像和船舶跟踪系统。
3. 本报告还跟踪了会员国执行委员会各项决定的情况，包括指认某些个人和实体对其实行财产冻结和旅行禁令。在这一背景下，本报告在相当大的程度上关注与委员会于 2014 年 7 月 28 日指认的朝鲜远洋海运管理有限公司相关的船只、公司和个人。
4. 最后，专家小组就改进决议执行情况提出建议。本报告附件中提供了报告主体部分的适当支持证据及进一步背景资料。

## 二. 背景和政治环境

5. 金正恩执政三年来继续在平壤巩固政权。朝鲜民主主义人民共和国无视安全理事会各项决议，在声称增长经济的同时继续加强其核能力。2014 年和 2015 年年初，“并进”（“Byungjin”）政策被数次重申，包括在该政策发表一周年时，朝鲜中央通讯社（朝中社）指出这是取得最后胜利的唯一道路，“以在强大核威慑的基础上实现人民的梦想和理想。”<sup>1</sup>
6. 在整个 2014 年，朝鲜民主主义人民共和国在该区域和全世界同新的伙伴接触，试图摆脱外交上的孤立并改善其经济困境。但该国并未停止挑衅行径，朝鲜半岛的安全局势依然飘忽不定。
7. 实际上没有任何迹象表明朝鲜民主主义人民共和国打算遵循决议并停止其核计划和弹道导弹计划。相反，2 月至 8 月期间，该国无视决议的规定，至少 90 次试验发射导弹、炮弹和火箭，<sup>2</sup> 其中至少有 12 枚是弹道导弹。这些活动，加上对西海卫星发射场的翻修，表明朝鲜民主主义人民共和国作为高度优先继续发展弹道导弹计划。
8. 在核设施发现不断开展活动，表明核计划和活动并未停止。六方会谈仍然停滞，尽管有些成员努力重启这一会谈。2014 年接近年底时，朝鲜民主主义人

<sup>1</sup> “劳动党新的战略路线是战无不胜的旗帜”，《劳动新闻》，2014 年 3 月 31 日；金正恩新年致词，2015 年 1 月 1 日。

<sup>2</sup> 朝鲜民主主义人民共和国声称其中包括高精度战术制导导弹。

民共和国在大会第三委员会通过了一项关于人权的决议后，威胁进行第四次核试验，在纽约联合国和平壤外务省发表声明，指出该国将“在进行新的核试验方面不再力行克制”。<sup>3</sup>

9. 决议未能得到执行，半岛局势不稳定，对此国际社会依然高度关切。此时此刻明确而重要的是，必须一如既往，坚定地执行制裁，国际社会必须作出努力，通过对话，包括六方会谈，实现该国非核化。

### 三. 专家小组及其方法

10. 专家小组的任务仍是收集、检查和分析由各国、联合国相关机构和其他利益方提供的有关决议所定措施执行情况的信息，特别是不执行的情况，并就安理会、委员会或会员国为更好执行决议规定措施而可能考虑采取的行动提出建议。

11. 专家小组依照安全理事会制裁的一般性问题非正式工作组的报告(S/2006/997)所载的方法标准开展工作。专家小组尽管没有司法机构的传票、取证能力和调查权力，但仍努力维持高证据标准。专家小组依赖于三类信息：(a) 专家的第一手和现场观察；(b) 会员国、国际组织、官员、经认证的媒体来源/记者和个人提供的信息；及(c) 公共信息。专家小组注重信息来源的身份和角色，始终寻求辅证，并确保以与专家小组职责相符的方式处理所提供的机密或有限制的信息。在可能的情况下，专家小组在调查期间向个人和实体提供答复机会。

12. 在本报告所述 2014 年 2 月 8 日至 2015 年 2 月 5 日期间，专家小组向委员会提交了 8 份事件报告，并在本报告中考虑到这些事件，同时提供关于仍在调查的案件的资料。专家小组与 38 个会员国、15 个联合国机构和其他有关各方举行了磋商。专家小组还继续与联合国其他制裁问题专家小组合作。

13. 专家小组就其开展的调查共向会员国、国际组织和私营实体及个人发出了 262 份信息请求(见附件 1)。共收到 116 份答复。专家小组向会员国发出 95 份信函，提醒它们根据决议规定有义务提交国家执行情况报告。到目前为止收到一份回复。

14. 根据第 2087(2013)号决议第 11 段，一些国际组织就其涉及朝鲜民主主义人民共和国的活动征求委员会的咨询意见。专家小组协助委员会确保这些活动不会有助于被禁计划或活动。

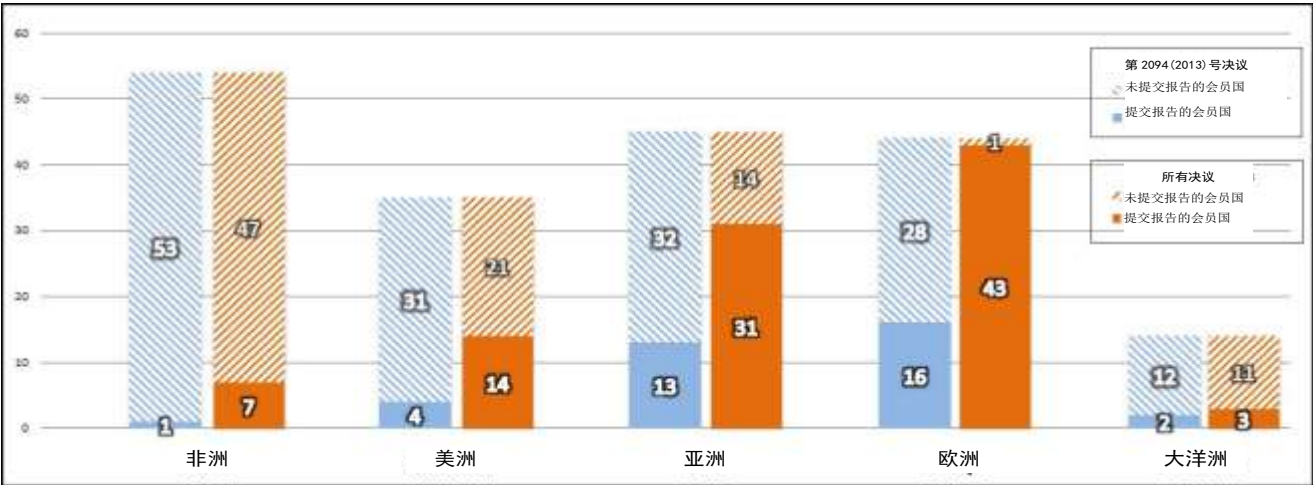
<sup>3</sup> 2014 年 11 月 24 日朝鲜民主主义人民共和国常驻联合国代表给秘书长的信(见 A/69/616-S/2014/849)；“朝鲜断然拒绝针对朝鲜的决议草案”，《劳动新闻》，2014 年 11 月 19 日；“外务省发言人驳斥联合国针对朝鲜的‘人权决议’”，《劳动新闻》，2014 年 11 月 20 日。

## 四. 会员国报告

### A. 国家执行情况报告

15. 在报告所述期间，五个会员国根据决议规定提交了国家执行情况报告，使根据第 2094(2013) 号决议提交报告的国家总数增加到 36 个。从未按照决议提交报告的会员国总数略有减少，降至 94 个(见图一和附件 2)。专家小组向这些会员国发出 95 份提醒函，强调提交国家执行情况报告的重要性，并指出专家小组愿意随时提供援助。

图一  
按区域开列的报告情况概览



16. 第 1718(2006) 号决议通过已有八年，专家小组继续观察到在一些区域，会员国未提交报告或晚提交报告的比例居高不下。在许多情况下，报告中缺乏详细的资料，影响了专家小组的能力，使之无法审查和分析有关国家执行情况及面临挑战的资料。报告不足的原因各异，但这种情况增加了朝鲜民主主义人民共和国继续进行被禁活动的机会。

### B. 违规行为报告及其他事项

17. 一个会员国向委员会报告说制止了一项试图违规行为。多个会员国报告了 2014 年 2 月和 8 月期间发射弹道导弹情况。一个国际组织就在朝鲜的一个项目提案同委员会进行了接触，并就制裁问题征求了委员会的意见和建议。

18. 除了报告国家执行情况和违规事件外，安全理事会还向会员国提出了依照决议提交其他报告的义务，如在没有发生违规事件或在发生违规事件之前进行检查的报告。在专家小组看来，此种报告在改善对该政权的严格监测、帮助专家小组审查违规行为方面，具有宝贵价值。不过到目前为止，向委员会或专家小组提交的有关这方面的报告数量极少。专家小组欢迎蒙古在其国家执行情况

报告中报告说该国防止了一次武器转让事件。专家小组建议会员国向委员会提供它们掌握的有关为执行决议而采取的所有措施的信息，包括冻结资产。

## 五. 朝鲜民主主义人民共和国持续违反其放弃核武器、其他大规模毁灭性武器和弹道导弹计划的义务

19. 朝鲜民主主义人民共和国不顾决议规定的义务，仍然积极开展被禁止的计划，一再宣称打算加强其核能力和弹道导弹能力，威胁再进行一次核试验，并多次发射弹道导弹。<sup>4</sup> 2014 年 3 月 27 日和 7 月 17 日，安全理事会谴责了这些违反决议发射弹道导弹事件，并重申其决定，即朝鲜民主主义人民共和国应以完全、可核查和不可逆的方式放弃所有核武器和现有计划。<sup>5</sup>

### A. 最近与核有关的活动

20. 专家小组继续监测宁边核设施和丰溪里核试验场的活动。这一活动与朝鲜民主主义人民共和国的各项声明相符，包括 2013 年 4 月 2 日通告，通告说该国将重新启动宁边的所有核设施。<sup>6</sup>

#### 宁边核设施和丰溪里核试验场

21. 商业卫星图像显示，自 2013 年 9 月至 2014 年年中，5 兆瓦反应堆一直在运作。原子能机构 2014 年 9 月 3 日的报告确认，在该期间有蒸汽排出和冷却水排放。<sup>7</sup>

22. 在据报设有离心浓缩设施的建筑物扩建之后，观察到宁边核燃料制造厂有进一步活动，包括进一步翻修，修建一座辅助建筑物，还有一些物件流动(见附件 3.3)，所有这些都得到原子能机构报告的证实。尽管有这一活动，但难以确定核燃料制造厂的运行状态。

23. 在后处理厂也观察到活动，包括可能是从冷却塔冒出的蒸气以及有车辆在场。<sup>8</sup> 一些分析人员指出该工厂可能有后处理活动存在，但仅凭卫星图像不能确定活动的目的。

<sup>4</sup> “NDC of DPRK Sends Special Proposal to S.Korean Authorities”, KCNA, 30 June 2014; and “DPRK Foreign Ministry Blasts UNSC’s Press Statement Critical of Its Launch of Short-range Missiles”, *Rodong Sinmun*, 22 July 2014; “US President’s Asian Tour Censured by FM Spokesman”, KCNA, 29 April 2014; “DPRK FM Blasts UN for Taking Issue with DPRK over Its Justifiable Rocket Launching Drills”, KCNA, 30 March 2014; “FM Spokesman Rejects UN “Human Rights Resolution” against DPRK”, KCNA, 20 November 2014.

<sup>5</sup> “潘基文、安全理事会谴责最近朝鲜发射导弹的事件”，2014 年 7 月 17 日，联合国新闻中心。

<sup>6</sup> “DPRK to Adjust Uses of Existing Nuclear Facilities”, KCNA, 2 April 2013.

<sup>7</sup> 国际原子能机构(原子能机构)，GOV/2014/42-GC(58)/21 号文件。

24. 自轻水反应堆建筑物外部工程于 2013 年完成后, 没有任何迹象表明该反应堆处于运行状态。只是在该建筑物周围观察到资料流动等低水平活动(见附件 3.2)。原子能机构报告还指出没有任何迹象表明运送和安装大型构件。2010 年 10 月以来的商业卫星图像显示该反应堆的供水系统一直存在问题, 该系统可能一再受到洪水和其他自然原因的影响。最近, 该反应堆的供水系统可能于 2013 年 12 月和 2014 年 4 月期间建造, 并于 2014 年 9 月被洪水损坏。

25. 在丰溪里核试验场, 报告在 2014 年 2 月和 5 月期间发生了各种活动, 包括在西门挖掘活动大量增加, 南门车辆和物资流动增加。<sup>9</sup> 2014 年 9 月 16 日商业卫星图像显示西门附近出现一座新的建筑物、土堆增大以及美化工程(见附件 4)。一些分析家认为这些活动可能与南门安装设备或西门挖掘新隧道有关。

#### 与核计划相关的实体和个人

##### 原子能总局

26. 委员会采纳专家小组的建议, 更新了一个被指认个人的信息, 李济善先生, 原子能总局(又名: 原子能总署)原主任。李济善先生于 2014 年 4 月 9 日被最高人民会议任命为原子能工业相。李先生和原子能总局因参与或支持与核相关的计划而被指认。

27. 原子能工业省使用与原子能总署同样的信笺, 上面标有相同的地址、电话和传真号码(见图二)。如前所述, 原子能工业省毫无疑问接管了原子能总署的职能(见 S/2013/337, 第 21 段)。此外, 李先生是两个实体的最高领导人。

<sup>8</sup> Nick Hansen, “North Korea’s Yongbyon nuclear facility: reactor shutdown continues-activity at reprocessing facility”, 19 November 2014, 可查阅 <http://38north.org/2014/11/yongbyon111914/>。

<sup>9</sup> David Albright, Serena Kelleher-Vergantini and Priscilla Kim, “North Korea’s Punggye-ri test site: activities continue on May Day 2014”, Institute for Science and International Security(ISIS) Reports(Washington, D.C., 1 May 2014), 可查阅 <http://isis-online.org/isis-reports/detail/north-koreas-punggye-ri-test-site-activities-continue-on-may-day-2014/10/>; 和 Nick Hansen and Jack Liu, “Update on Punggye-ri: stepped up activity at West Portal, drawdown at the South Portal”, 38th North, 2 May 2014, 可查阅 <http://38north.org/2014/05/punggye050214/>。

图二  
原子能工业省与原子能总局(又名：原子能总署)信笺的比较



资料来源：专家小组。

28. 根据进一步信息，专家小组再没有理由区分原子能工业省与原子能总局。因此，专家小组更新此前向委员会提出的指认原子能工业省的建议（见 S/2013/337，第 21-22 段），在 1718 制裁名单中加入关于原子能总局的信息如下：

更多化名(又称)：原子能工业省

地 址：Haeun 2-Dong, Phyongchon District, Pyongyang,  
Democratic People's Republic of Korea

电话：+850-2-181111

传真：+850-2-3814416, +850-2-3814410<sup>10</sup>

电子邮件：mhs-ip@star-co.net.kp

联合核研究所

29. 朝鲜民主主义人民共和国参加了联合核研究所的活动，这是一个政府间国际核科学研究组织，总部设在俄罗斯联邦。联合核研究所首席科学书记告诉专家小组说，朝鲜民主主义人民共和国是 1956 年联合核研究所筹建国之一，可派科学家到联合核研究所实验室工作，该国的代表可以(并必须)出席科学理事会的会议。首席科学书记还说政府代表应参加最高理事机构联合核研究所 18 个成员国政府全权委员会的活动。据此，联合核研究所网

<sup>10</sup> 这一传真号码也由其他实体共同使用。

站显示李济善先生自 1998 年起为该委员会成员；Kim Son Hyok 先生为联合核研究所科学理事会成员、朝鲜民主主义人民共和国原子能总局科学司司长；黄锡夏先生和 Pak Ben Seb 先生为科学理事会原成员(见附件 5)。委员会于 2009 年 7 月 16 日指认了原子能工业相李济善先生和黄锡夏先生。

30. 联合核研究所首席科学书记于 2015 年 1 月 2 日证实，朝鲜民主主义人民共和国四名国民与联合核研究所有联系，其任职于 2015 年 3 月 30 日结束，其个人资料载于下表 1。

表 1  
参加联合核研究所的朝鲜民主主义人民共和国国民

| 姓名                          | 性别 | 成员                         | 期间                            | 在朝鲜的地位/职衔           |
|-----------------------------|----|----------------------------|-------------------------------|---------------------|
| 李济善                         | 男  | 政府全权委员会                    | 自 1998 年起                     | 原子能工业相              |
| Kim Son Hyok                | 男  | 科学理事会                      | 2013                          | 原子能总局科学司司长          |
| 黄锡夏                         | 男  | 科学理事会原成员                   | 2008                          | 原子能总局，主任            |
| Pak Ben Seb                 | 男  | 科学理事会原成员                   | 2010                          | —                   |
| Ryu Pong Sik<br>(Pyong-sik) | 男  | 弗廖罗夫核反应实验室科学和实验物理部，高级研究科学家 | 自 2012 年 4 月至 2015 年 3 月 30 日 | —                   |
| Rim Yong Chol               | 男  | 信息技术实验室研究员                 | 自 2012 年 4 月至 2015 年 3 月 30 日 | —                   |
| Ri Yong Suk                 | 女  | 核问题实验室                     | 至 2015 年 3 月 30 日             | Ryu Pong Sik 先生的配偶  |
| Hong Mi Dok                 | 女  | 核问题实验室，实验室技术人员             | 至 2015 年 3 月 30 日             | Rim Yong Chol 先生的配偶 |
| Song Hye-rim                | 女  | 弗廖罗夫核反应实验室科学和实验物理部，高级实验室助理 |                               |                     |
| O Kum Chol                  | 男  | 弗廖罗夫核反应实验室科学和实验物理部，高级研究科学家 |                               |                     |

资料来源：联合核研究所和专家小组。

31. 联合核研究所告知专家小组，近年来，朝鲜民主主义人民共和国驻莫斯科大使馆代表以观察员身份参加了科学理事会或全权委员会的活动，不过被指认的实体和个人没有参加。该书记还指出，“朝鲜民主主义人民共和国拖欠联合核研究所预算的债务越来越多，全权理事会以这一问题为由作出决定，中断接待朝鲜民主主义人民共和国在联合核研究所的科学家。”

32. 俄罗斯联邦告知专家小组，没有任何被指认的实体和个人应邀来俄罗斯联邦，在联合核研究所举行的专门培训是以“国际组织”地位进行的，联合核研

究所和平活动不属于决议规定范围，因此没有违反制裁。俄罗斯联邦还指出，朝鲜民主主义人民共和国不应被排除在基础科学活动之外。

33. 专家小组回顾，根据决议，朝鲜民主主义人民共和国必须放弃所有核计划……并必须立即停止一切相关活动。专家小组将继续进行调查。

## B. 最近与弹道导弹计划相关的活动

### 弹道导弹发射

34. 2014 年朝鲜民主主义人民共和国明显违反决议，发射了许多枚弹道导弹。它称这些发射为“根据火力单位的定期培训计划，<sup>11</sup> ……朝鲜人民军战略部队进行的火箭发射演习”并重申其发射火箭的权利。这些发射未经事先通知，构成了该区域船舶和飞机的安全隐患。<sup>12</sup>

35. 由于缺乏飞行轨迹的资料，专家小组不得不依靠会员国向委员会提供的信息<sup>13</sup> 和公开来源的信息。朝鲜从不同地点至少发射了 13 枚弹道导弹(见表 2)：东海岸 Kittaeryong 导弹试验场被用于发射，黄海北道、黄海南道、开城和肃川地区也有发射导弹的报道(见图三)。3 月 26 日这种军事活动达到了顶峰，几个会员国已查明朝鲜发射了两枚称为“劳动”的中程弹道导弹，这是自 2009 年以来第一次。

36. 专家小组向委员会和安全理事会提交了一份谴责 3 月 26 日发射活动的事件报告。在 6 月和 7 月的导弹发射后，专家小组向委员会提交了该事件报告的更新情况，2014 年 7 月 17 日安全理事会谴责了这些发射导弹事件。<sup>5</sup>

<sup>11</sup> 2014 年 3 月 7 日和 31 日朝鲜民主主义人民共和国常驻联合国代表给安全理事会主席的信(S/2014/159, S/2014/237)。

<sup>12</sup> 发射前应通知负责空域和海上安全的国际组织。2012 年 4 月和 12 月“银河 3 号”火箭的发射都向和平利用外层空间委员会作了通报。

<sup>13</sup> 美利坚合众国、大韩民国、大不列颠及北爱尔兰联合王国、澳大利亚、日本和法国向委员会提供了相关信息。

图三  
报道的发射地点



肃川(发射日期: 3 月 26 日)、平壤、黄海北道(7 月 9 日)、黄海南道(7 月 26 日)、开城(7 月 13 日)和 Kittaeryong (2 月 27 日、3 月 3 日和 6 月 29 日)

资料来源: 专家小组根据会员国提供的信息和公开来源信息。

表 2  
2014 年发射的弹道导弹一览表

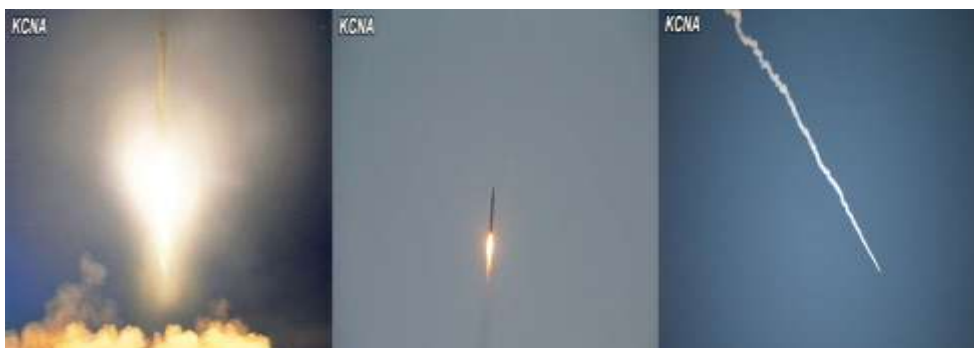
| 日期       | 估计发射时间(当地时间)<br>和发射导弹数量              | 报道的距离(公里) | 所涉导弹                                        |
|----------|--------------------------------------|-----------|---------------------------------------------|
| 2 月 27 日 | 下午 5 时 42 分, 2-4 枚                   | 220       | 飞毛腿 B 型或-C 型 <sup>14</sup><br>(火星 5 型或 6 型) |
| 3 月 3 日  | 上午 6 时 20 分, 1 枚<br>下午 6 时 30 分, 1 枚 | 500       | 飞毛腿 C 型                                     |
| 3 月 26 日 | 上午 2 时 35 分, 1 枚<br>上午 2 时 42 分, 1 枚 | 650       | 劳动 1 型                                      |
| 6 月 29 日 | 上午 4 时 50 分, 1 枚<br>上午 4 时 58 分, 1 枚 | 500       | 飞毛腿 C 型                                     |
| 7 月 9 日  | 上午 4 时, 1 枚<br>上午 4 时 20 分, 1 枚      | 500       | 飞毛腿 C 型                                     |
| 7 月 13 日 | 上午 1 时 20 分, 1 枚<br>上午 1 时 30 分, 1 枚 | 500       | 飞毛腿 C 型                                     |
| 7 月 26 日 | 下午 9 时 40 分, 1 枚                     | 500       | 飞毛腿 C 型                                     |

37. 尽管专家小组没有验证信息的技术手段, 但是朝中社发布的照片与上述几个事件是一致的。6 月 29 日导弹发射照片显示了一枚垂直发射的导弹, 紧接着是典型弹道导弹发射的俯仰运动(见图四)。同样, 7 月 9 日导弹发射照片显示了

<sup>14</sup> 飞毛腿 B 型和飞毛腿 C 型为北大西洋公约组织(北约)所指认。

弹道导弹运输竖起发射装置。对竖立臂长度的分析证实了飞毛腿导弹发射的假设(见图五)。

图四  
2014 年 6 月 29 日的导弹发射



图五  
2014 年 7 月 9 日导弹发射和运输竖起发射装置



(A) (前舱水平中心; (B) 竖立臂顶端

资料来源：专家小组。

38. 朝鲜民主主义人民共和国还声称至少在 2014 年 6 月 26 日和 8 月 14 日试射了“新研制的超精度战术导弹”。<sup>15</sup> 朝中社公布的 2014 年 8 月 14 日导弹发射的照片显示与 KN-02 型导弹相类似(见图六)。不过，报道的 220 公里射程大大超过此种导弹的已知能力。<sup>16</sup> 因此，专家小组将调查它是否可能是 KN-02 增强型导弹或扩展射程能力的火箭弹。

<sup>15</sup> “金正恩指导新研制的超精度战术导弹试射”，2014 年 6 月 27 日，朝中社；“金正恩指导战术火箭试射”，2014 年 8 月 15 日，朝中社。

<sup>16</sup> KN-02 型导弹的最大射程被认为是 120 公里或降低有效载荷时 160 公里。

图六  
2014 年 8 月 14 日的导弹发射



资料来源：朝中社。

39. 2014 年发射的弹道导弹数量是前所未有的。其动机可能包括肯定领导能力、战备试验、飞行试验和使用寿命结束的导弹或战略资产升级。如果得到证实，新的更精准的导弹试验可能表明该国弹道导弹计划研制水平已达到一个新起点。今后应认真监测这些类型的导弹发射；尤其是它们如果以同样频率发生。

#### 发射设施的活动

40. 虽然 2014 年朝鲜民主主义人民共和国没有在西海卫星发射场(铜厂里基地)发射任何火箭，但是西海卫星发射场承担了大幅度增强空间运载火箭专用主复合结构的任务，以便能发射更大的火箭(见附件 6.1)。东海发射场(舞水端里基地)没有发现特别的活动。但经过一年多的紧张工作后，西海发射场似乎再次运作并准备好发射新的火箭。

41. 观察到的西海发射场综合大楼的活动包括建造两个新的圆顶建筑(见附件 6.2)，较大的一个可能用作控制中心或大礼堂。在这些新建筑附近有一个新的混凝土基础结构，它可能是直升机停机坪。

42. 另据报道，KN-08 型发动机进行了第一阶段的几项测试。<sup>17</sup> 尽管专家小组无法核实这一信息，但是它能够证实 2014 年装配大楼和发动机测试台都在运作(见附件 6.1-6.2)。此外，火焰槽内观察到的颜色变化表明很可能在进行发动机试验。

43. 从西海发射场综合大楼观察到的主要改进都与发射台和火箭塔架相关。发射区现在有一条铁路相通，一座新的公路桥提供了另外一条通道(见附件 6.3)。火箭塔架改建工作于 2013 年年底开始并一直持续到 2014 年年中。专家小组能

<sup>17</sup> 尼克·汉森“朝鲜西海发射场：未来大型火箭发射筹备工作取得进展”，38 North，2014 年 7 月 29 日，可查阅 <http://38north.org/2014/07/sohae073014/>。

够评估出新增加的平台，其高度达到了 55 米(以前 47 米)。新改建的塔架能够发射比“银河 3 号”火箭更大的火箭，这与报道的该国建造这类空间运载火箭的项目相一致。<sup>18</sup>

#### 与弹道导弹计划有关的实体和个人

##### 国家宇宙开发局

44. 2013 年 1 月安全理事会指认朝鲜空间技术委员会通过卫星控制中心和西海发射中心指挥 2012 年 4 月和 12 月“银河 3 号”火箭的发射工作。三个月后，根据朝鲜民主主义人民共和国第十二届最高人民会议第七次会议的决定和 2013 年 4 月《航天发展法》(见附件 7.1)，国家宇宙开发局成立，作为“该国组织所有航天发展项目的中央指导机构”。<sup>19</sup> 2014 年朝鲜几个官方出版物都表明，国家宇宙开发局已接管了朝鲜空间技术委员会的职能和责任以及之前由朝鲜空间技术委员会控制的国家重点指挥中心。

45. 该国《航天发展法》规定国家宇宙开发局“组织对航天发展的统一指导、在航天发展领域代表国家、制定全国航天发展和活动的总体计划、监督和控制实施工作，同时与其他国家和国际组织合作和交流”。<sup>20</sup> 国家宇宙开发局还负有“通报发射物体进入空间”的任务并负责原朝鲜空间技术委员会承担的安全工作。<sup>21</sup>

46. 国家宇宙开发局接管了朝鲜空间技术委员会对主要设施：统合卫星控制和指挥中心的控制权<sup>22</sup> (见附件 7.2)。<sup>23</sup> 担任指挥中心副主任的尹张赫先生说，朝鲜将“发射越来越多的通信和应用卫星，从而使朝鲜民主主义人民共和国成为世界仰望的航天大国”。<sup>24</sup>

<sup>18</sup> 2012 年 12 月 21 日朝鲜民主主义人民共和国展示了“银河 9 号”火箭的模型，这是科学家和工程师聚会时透露的。(见“为科学家、技术人员、工人和官员举办的卫星成功升空的宴会”，2012 年 12 月 21 日，朝中社)。

<sup>19</sup> “朝鲜民主主义人民共和国国家宇宙开发局”，2014 年 3 月 31 日，朝中社；“朝鲜的航天探索”，《朝鲜画报》(2014)，第 6 卷，第 702 号。

<sup>20</sup> “为和平目的发展航天”，《今日朝鲜》，2014 年第 8 号。

<sup>21</sup> 2012 年 4 月 10 日航天控制中心副主任说：“我们选择安全的轨迹，这样运载火箭发射后的残骸不会影响周边国家和地区。我们还根据国际条例和惯例把落点通知国际组织和周围区域。见“朝鲜空间技术委员会官员和外国航天专家及记者圆桌会谈”，2012 年 4 月 10 日，朝中社。

<sup>22</sup> 朝鲜文：위성관제종합지휘소。

<sup>23</sup> “可能永远无法完成的采访(采访国家宇宙开发局统合卫星控制和指挥中心副主任尹张赫)”，2014 年 9 月 3 日，Ku'msu Kangsan。

<sup>24</sup> “航天技术的发展有力地保证了国家的财富和繁荣”，2014 年 4 月 5 日，朝鲜中央电视台。

图七  
国家宇宙开发局的标志



资料来源：《今日朝鲜》，2014 年第 8 号。

47. 2014 年 12 月 10 日在金日成大学举行的讨论会也强调了国家宇宙开发局的核心作用，讨论会的目的是加速航天科学和技术的进步。国家宇宙开发局副局长郑东吉先生说，讨论会的目的是发展航天科学和技术，包括“制造和发射卫星和运载火箭的技术”。<sup>25</sup> 国家宇宙开发局还纪念了 2012 年 12 月 12 日发射的“银河 3 号”火箭，对此，安全理事会认定朝鲜使用了弹道导弹技术和违反了有关决议。

48. 安全理事会要求朝鲜民主主义人民共和国遵守相关决议，暂停与其弹道导弹计划相关的所有活动，不再继续使用弹道导弹技术进行任何新的发射。国家宇宙开发局无视有关决议，接管了朝鲜空间技术委员会的职能和责任。它还接管了朝鲜统合卫星控制和指挥中心。最后，该机构公开宣布，它打算在将来进行火箭发射。鉴于这一情况，专家小组建议委员会更新 1718 制裁名单，在朝鲜空间技术委员会项下加入以下信息：

别名：国家宇宙开发局

其他信息：玄昆吉先生，国家宇宙开发局司长，功勋科学家；郑东吉先生，国家宇宙开发局副局长；金仁哲先生，国家宇宙开发局副局长；尹张赫先生，国家宇宙开发局通用卫星控制和指挥中心副主任(见附件 7.3-4)。

## 第二自然科学院

49. 2014 年 4 月 7 日，朝鲜民主主义人民共和国国防科学院发言人宣布，国防科学院将为弹道计划和核计划的进一步发展作出贡献。<sup>26</sup> 这个科学院在朝鲜文中

<sup>25</sup> “朝鲜努力发展航天科学和技术”，2014 年 12 月 11 日，朝中社。

<sup>26</sup> “谴责美国和大韩民国当局反朝鲜的举动”，2014 年 4 月 7 日，朝中社。

与第二自然科学院查明的别名(국방과학원)相同。这表明第二自然科学院这个被指认的实体很可能会在被禁计划方面继续发挥关键作用。

50. 第二自然科学学院院长崔春植先生在 2012 年 12 月发射“银河 3 号”火箭中发挥了突出的作用，过后他获得了“朝鲜民主主义人民共和国英雄”的称号。专家小组获得的信息表明，崔先生继续在弹道导弹及相关计划中发挥关键作用。在 2013 年 9 月 9 日新住宅区“银河科学家街”启用典礼上，看到他向金正恩介绍情况。<sup>27</sup>

#### 朝鲜人民军战略火箭部队

51. 2014 年弹道导弹是由“朝鲜人民军战略火箭部队的单位”<sup>28</sup> 发射的，2014 年 3 月 24 日和 4 月 4 日李东日大使在联合国总部举行的新闻发布会上证实了这一点。<sup>29</sup> 自从 2012 年 3 月战略火箭部队司令部公开以来，<sup>30</sup> 朝鲜民主主义人民共和国的官方声明中经常提及这个“战略部队”。这个新的实体似乎负责所有短程、中程和中远程导弹部队，因此是该国弹道导弹能力的重要组成部分。

52. 2012 年年初金洛谦先生被任命为战略火箭部队负责人。他是唯一当选为党中央军事委员会委员的中将。<sup>31</sup> 2013 年 3 月 29 日他作为仅有的四名高级军官之一参加了金正恩听取“朝鲜人民军战略手段的技术条件”汇报的业务会议并亲自批准了“战略火箭部队火力打击计划”。<sup>32</sup> 2014 年 2 月 16 日他被晋升为上将军衔突出地表明了他的军衔擢升和战略火箭部队在朝鲜人民军内部的重要性。<sup>33</sup> 从他在 2014 年 6 月 29 日弹道导弹发射现场迎接金正恩，可以看出他的重要地位。<sup>34</sup>

表 3  
在弹道导弹计划中发挥关键作用的实体和个人

|    | 实体或个人     | 朝鲜名称         |
|----|-----------|--------------|
| 实体 | 国家宇宙开发局   | 국가우주개발국      |
| 实体 | 国防科学院     | 국방과학원        |
| 实体 | 战略火箭部队司令部 | 조선인민군전략로켓사령부 |
| 个人 | 金洛谦       | 김락겸          |
| 个人 | 崔春植       | 최춘식          |

<sup>27</sup> “金正恩视察新建银河科学家街”，2013 年 9 月 9 日，《劳动新闻》。

<sup>28</sup> “揭露韩国推迟向公众开放导弹试射场的目的” 2014 年 4 月 5 日，朝中社。

<sup>29</sup> “李冬日(朝鲜民主主义人民共和国)谈论朝鲜半岛的事态发展”，2014 年 3 月 24 日和 4 月 4 日新闻发布会，联合国网络电视。

<sup>30</sup> “金正恩视察朝鲜人民军战略火箭部队司令部”，2012 年 3 月 2 日，朝中社。

<sup>31</sup> “朝鲜劳动党中央指导机构经选举填补空缺、经选举和任命的成员”，2012 年 4 月 11 日，朝中社。

<sup>32</sup> “金正恩召开业务会议”，2013 年 3 月 29 日，劳动新闻；“金正恩召开业务会议，最后审查和批准火力打击计划”，2013 年 3 月 29 日，朝中社。

<sup>33</sup> “金正恩向朝鲜人民军指挥官授军衔”，2014 年 2 月 16 日，朝中社。

<sup>34</sup> “金正恩指导朝鲜人民军战略力量火箭发射演习” 2014 年 6 月 30 日，朝中社。

## 六. 进出口相关措施

### A. 对核武器、其他大规模毁灭性武器和弹道导弹相关物品实施禁运

53. 尽管会员国没有报告关于扣押或检查与核计划或导弹计划相关违禁物品的新情况，但是专家小组的调查表明，朝鲜民主主义人民共和国继续企图采购或转让与核计划和导弹计划相关的物品。除了继续查询“银河 3 号”火箭残骸的案件外，专家小组开始调查 2014 年在大韩民国发现的无人机残骸。这些案例表明了如何采购用于发展朝鲜民主主义人民共和国军事系统的外国制造商用物品的情况。

#### 日本扣押的核物品

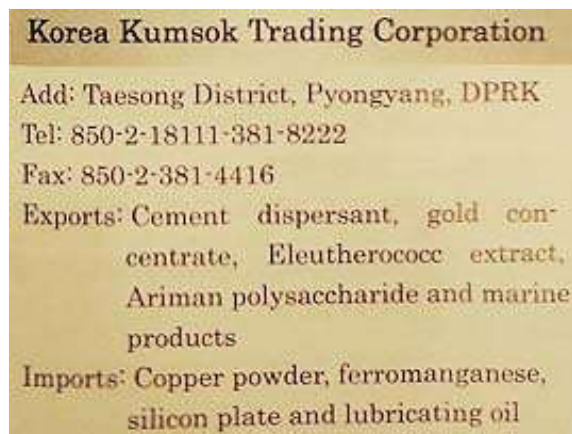
54. 专家小组继续调查日本报告的 2012 年 8 月日本在一艘集装箱船上扣押 5 支铝合金棒的事件，<sup>35</sup> 该专家小组发现，一个使用“KUMSOK”标识的朝鲜民主主义人民共和国实体有可能制造扣押的物品。专家小组已查明以下实体使用过“KUMSOK”标识：

- 朝鲜有色金属进出口公司，它从事各类钢材和板材交易，使用过“KUMSOK”的电报挂号。<sup>36</sup>
- 朝鲜 Kumsok 贸易公司，先前在官方出版物中列为锰铁、硅钢薄板、金精矿和其他商品的贸易公司(图八)。

<sup>35</sup> 见 S/2013/337，第 66 段和 S/2014/147，第 48-50 段。

<sup>36</sup> 地址：Pothonggang-dong No.2, Pothong-gang, District, Pyongyang；电话：850-2-18111，分机：381-8078；传真：850-2-381-4569，-4633。

图八  
朝鲜 Kumsok 贸易公司



朝鲜 Kumsok 贸易公司

地址: Taesong District, Pyongyang, DPRK

电话: 850-2-18111-381-8222

传真: 850-2-381-4416

出口产品: 水泥分散剂、金精矿、五加皮提取物、阿里曼多糖和船用产品

进口产品: 铜粉、锰铁、硅钢薄板和润滑油

资料来源:《朝鲜民主主义人民共和国对外贸易》, 2004 年第 2 卷。

55. 2012 年 2 月 25 日朝鲜园艺总局阿里郎贸易公司购置了两个二手集装箱装运与一家外国公司进行的温室建造项目的货物。

56. 这批货物的收货人是设在缅甸的实体, Soe Min Htike 有限股份公司(见附件 8), 2013 年 12 月 17 日美国财政部将其列为与朝鲜民主主义人民共和国进行军火贸易的设在缅甸的三个实体之一(见 S/2014/147, 第 91 段)。据美国的信息, 这个实体是缅甸国防工业局的采购代理, 三十多年来专门为缅甸国防工业局进口外国用品和设备。<sup>37</sup> 专家小组曾致函缅甸, 请求提供信息, 但没有得到答复。

57. 专家小组注意到会员国在检查核相关物品中遇到的技术复杂问题。有关决议禁止的核相关物品清单(见原子能机构情况通报 INFCIRC/254/Rev. 12/Part1 和 INFCIRC/254/Rev. 9/Part2)提供了禁止的某些物品参数, 但是没有提供检查或分析这些物品的方法或最佳做法。会员国之间似乎没有广泛地了解或共享这些信息。不具备必要的能力, 会员国将继续难以查明有关决议禁止的物品。专

<sup>37</sup> 美国国务院, “美国当局放宽对缅甸的金融和投资制裁”, 情况介绍, 2012 年 7 月 11 日。

家小组建议，会员国发现可疑物品时，在编写正式事故或检查报告前，可以向技术专家咨询。

#### “银河-3 号” 火箭外购零部件

58. 专家小组继续调查朝鲜民主主义人民共和国采购的“银河-3 号”火箭残骸中发现的外购零部件。<sup>38</sup>美国向专家小组解释了其出口管理条例中关于朝鲜民主主义人民共和国的许可证程序，指出没有被调查案件的补充信息。在瑞士方面，鉴于相关物品(直流/直流传感器)大规模生产并很容易在线获得，因此无法追踪其供应链。

59. 在中国台湾省注册的一家中介公司华悦国际企业股份有限公司(Royal Team Corporation)提供了压力变送器的信息(见图九)。<sup>39</sup> 2006 年和 2010 年它购买的压力变送器出售给朝鲜民主主义人民共和国一家公司，朝鲜 Chonbok 贸易公司。据称第二次销售给朝鲜的石油工业，当时华悦参加在平壤的一个贸易展。虽然朝鲜民主主义人民共和国有几个平台可用，但是这个供应链再次说明朝鲜如何利用设在中国台湾省的实体购买其国内不能生产的物品用于被禁计划。它还说明了如何利用贸易展达到这一目的。

60. 根据第 4 号执行援助通知，各会员国在向朝鲜民主主义人民共和国出口下列可用于弹道导弹计划的商业物品时应进一步尽职尽责：压力开关、压力变送器、温度变送器及星形滚珠轴承。

图九

“银河-3 号”火箭残骸中发现的压力变送器



资料来源：专家小组。

#### 无人驾驶飞行器残骸

61. 2013 年 10 月和 2014 年 3 月，在大韩民国的领土上发现了三个无人驾驶飞行器的残骸。国防部认为这些飞行器来自朝鲜民主主义人民共和国，

<sup>38</sup> 见 S/2013/337，第 33 段；S/2014/147，第 55-59 段。

<sup>39</sup> 专家小组了解这家公司（见 S/2013/337，第 60 段）。

在大韩民国领土上开展侦察活动。大韩民国告知专家小组，供应、销售或转让此类无人驾驶飞行器及其部件违反了第 1874(2009)号决议第 10 段的规定，即禁止供应、销售或转让任何与武器有关的物资。

62. 无人驾驶飞行器有两种类型：V 形尾直翼和三角翼。在黄海 Baengnyeongdo 岛发现了 V 形尾直翼飞行器(图十)；在非军事区南部的 Samcheok 市和 Paju 市发现了三角翼飞行器(图十一)。2014 年 9 月，在 Baengnyeongdo 岛以西 6 千米处的一个渔网内发现了第四架无人驾驶飞行器的残骸。这架飞行器与在 Samcheok 和 Paju 发现的相似。大韩民国国防部认为，三架无人驾驶飞行器都在同一时期内生产和运行。

63. 这是专家小组第一次调查涉及无人驾驶飞行器的案件，这说明此类飞行器在潜在的违反制裁行为中可能发挥着新作用，有必要作出相应的出口控制，控制此类飞行器及与之相关的技术。

图十  
在 Baengnyeongdo 岛发现的无人驾驶飞行器



资料来源：华盖创意图片库，韩国国防部。

图十一  
在 Paju 发现的无人驾驶飞行器



资料来源：AFP 图片/韩国国防部。

64. 这些无人驾驶飞行器上印有外国标志，包含至少来自 6 个国家的部件。专家小组与会员国接触，请他们识别部件及部件的产地，得到了有关部件及各自产国的清单(见表 4 和表 5)。

65. 专家小组与制造商取得联系，查明部件是如何采购的。该案与 Unha-3 残骸案相似，<sup>40</sup> 有助于了解朝鲜民主主义共和国的采购网络。专家小组尚不能确定无人驾驶飞行器本身是在外国采购还是在朝鲜本国定制的。如果是在本国定制，则说明朝鲜仍从外国采购成品部件，组装到本国的系统或子系统中，用作军事用途。

66. 加拿大出口管制当局告知专家小组，在 Baengnyeongdo 岛无人驾驶飞行器内部找到的自动驾驶仪(图十二)受其管制。自动驾驶仪的生产商为专家小组提供了似涉及某中国企业的终端使用说明，或样品。生产商还告知专家小组，该自动驾驶仪的航程不到 300 千米，没有达到被禁止的与弹道导弹相关的物资的标准。<sup>41</sup>

<sup>40</sup> 见 S/2013/337，第 33 段；S/2014/147，第 55 至 63 段；本报告第 58-60 段。

<sup>41</sup> 被禁止的与弹道导弹相关的物资清单(S/2014/253) 中包括为无人驾驶飞行器(包括巡航导弹系统、目标无人驾驶飞行器和侦察无人驾驶飞行器)设计或改装的自动驾驶仪，能够在至少 300 千米的航程内运送至少 500 公斤的有效载荷，最高能实现 3.33%的系统准确度。

图十二  
在 Baengnyeongdo 岛发现的无人驾驶飞行器的自动驾驶仪



资料来源：专家小组。

67. 专家小组将争取查明回转仪的特征，确定该仪器是否属于与弹道导弹相关的部件。所有其他部件似乎都来自商用渠道。

68. 对无人驾驶飞行器能力和来源的调查仍在进行。有关决议禁止向朝鲜民主主义人民共和国供应、出售或转让完整的、航程等于或大于 300 千米的无人驾驶飞行器，包括无人侦察机。虽然因自动驾驶仪的限制，Baengnyeongdo 岛无人驾驶飞行器的航程小于 300 千米，但 Paju/Samcheok 无人驾驶飞行器的航程还不能确定。

表 4  
在 Baengnyeongdo 岛无人驾驶飞行器内部发现的国外采购部件

| 编号   | 部件名称      |          | 功能              | 产国      |
|------|-----------|----------|-----------------|---------|
| 1.   | 发动机       |          | 飞行驱动            | 捷克共和国   |
| 2.1. | 飞行控制计算机   | 自动控制板    | 惯性预测，生成自动飞行控制命令 | 加拿大     |
| 2.2. |           | 输入/输出板   | 全球定位系统接收器       | 瑞士      |
| 2.3. |           | 无线电控制接收器 | 无线电控制接收器        | 日本      |
| 3.   | 伺服电动机和执行器 |          | 机翼架控制           | 大韩民国或中国 |
| 4.   | 全球定位系统天线  |          | 全球定位系统信号天线      | 美国      |
| 5.1. | 任务计算机     | 中央处理器板   | 发出相机和相机架之间的红外指令 | 中国      |

| 编号   | 部件名称   | 功能        | 产国 |
|------|--------|-----------|----|
| 5.2. | 输入/输出板 | 全球定位系统接收器 | 瑞士 |
| 6.   | 照相机    | 拍摄图片      | 日本 |
| 7.   | 电池     | 供电        | 中国 |

表 5  
在 Paju/Samcheok 无人驾驶飞行器内部发现的国外采购部件

| 编号 | 部件名称          | 功能             | 产国 |
|----|---------------|----------------|----|
| 1. | 发动机和消音器       | 飞行驱动           | 日本 |
| 2. | 燃油泵           | 发动机供油          | 美国 |
| 3. | 飞行控制计算机中央处理器板 | 自动飞行控制命令       | 中国 |
| 4. | 回转仪板          | 监测飞行角度的变化      | 日本 |
| 5. | 全球定位系统接收器     | 地理位置           | 瑞士 |
| 6. | 伺服电动机         | 机翼架控制          | 日本 |
| 7. | 收发器           | 飞行命令和遥测发报器/接收器 | 美国 |
| 8. | 照相机           | 静态摄影           | 日本 |
| 9. | 电池            | 供电             | 日本 |

#### 获得电脑数控机床和技术<sup>42</sup>

69. 2013 年 6 月 6 日, Hsien Tai Tsai(别名 Alex Tsai)及其子 Yueh-Hsun Tsai(别名 Gary Tsai)受到美国指控, 罪名是阴谋破坏美国禁止大规模毁灭性武器扩散的法律。2009 年, 美国财政部指认 Alex Tsai 为朝鲜民主主义人民共和国的主要武器经销商朝鲜矿业发展贸易公司(2009 年 4 月被安全理事会指认)<sup>43</sup>提供协助。调查发现, Alex 和 Gary Tsai 至少与中国台湾省的三家企业有关联, 这些企业从美国购买和出口机器, 加工金属和其他高精度的材料。<sup>44</sup>

70. 2014 年 10 月 10 日, Alex Tsai 认罪, 承认阴谋破坏美国执行针对大规模毁灭性武器扩散者的法规。<sup>45</sup> 他承认参与了涉及美国产品和机器出口的非法商业交易。根据他的认罪求情协议, 只要他继续充分合作, 判决可以减少到约 30 个月的监禁。

<sup>42</sup> 见 S/2014/147, 第 60 至 63 段。

<sup>43</sup> 见 [www.un.org/sc/committees/1718/sanctions\\_list.shtml](http://www.un.org/sc/committees/1718/sanctions_list.shtml)。

<sup>44</sup> 这三家公司是: Global Interface 公司、Trans Merits 公司和 Trans Multi Mechanics 公司。

<sup>45</sup> 美国司法部公共事务办公室, 《台湾商人认罪, 承认阴谋破坏美国禁止大规模毁灭性武器扩散法》, 2014 年 10 月 10 日。

## B. 武器禁运的执行情况

71. 由于会员国对有关决议缺乏认识和了解，朝鲜民主主义人民共和国利用过去长期以来与非洲国家建立的关系，获得与武器有关的服务和培训。专家小组还调查了另两起案件，涉及来自非国家行为体的弹药和可能在朝鲜民主主义人民共和国境内的生产商。

72. 决议并没有禁止与朝鲜民主主义人民共和国开展军方对军方合作。但这种合作应得到仔细审查，以避免任何可能违反决议的情况，尤其是违反禁止供应、出售或转让军火和有关物资的规定，以及与提供、制造、维修或使用这些物资有关的技术培训、咨询、服务或援助。

### 为刚果共和国提供的军火，有关物资及技术援助

73. 为调查 Westerhever 事件，专家小组于 2014 年前往南非检查缉获的军事装备，并提交了最后事件报告。<sup>46</sup>

74. 该案表明，因价格具有竞争力、缺乏服务竞争对手、会员国对有关决议缺乏理解和(或)执行，朝鲜民主主义人民共和国在翻新前苏联陈旧设备方面占有有利的市场地位。

75. 南非当局在德班港扣押的货物是待交付货物的第四批，也是最后一批。专家小组发现了第五批货物的一些证据，但无法与刚果当局或通过其他渠道确认(货物清单见表 6)。

图十三  
德班港 Westerhever 和被南非当局扣押的两个集装箱



资料来源：南非当局。

<sup>46</sup> 见 S/2013/337，第 96 至 100 段和附件十七，A 至 F 节；S/2012/422，第 71 段。

表 6  
参与四批发货的实体

| 航程 | 行为体     | 空运<br>(2008 年中) | 第一次海运<br>(2008 年中) | 第二次海运<br>(2008 年中)       | 第三次海运<br>(2009 年底) |
|----|---------|-----------------|--------------------|--------------------------|--------------------|
| 1  | 寄销人     |                 |                    | 未知                       |                    |
| 1  | 托运人(公开) | 未知              | —                  | 未知                       | 机器进出口公司            |
| 1  | 承运人     | 未知              | —                  | 未知                       | 朝鲜 Solsong 航运公司    |
| ½  | 货运代理    | 最有可能是 Seajet 公司 | —                  | 最有可能是 OTIM 和中成集团         | OTIM 和中成集团(大连)     |
| 2  | 托运人(公开) | Seajet 公司       | 广州浪驰船舶服务有限公司       | 中成集团(大连)                 | 机器进出口公司            |
| 2  | 承运人     | 埃塞俄比亚航空公司       | CMA-CGM            | CMA-CGM                  | CMA-CGM            |
| 2  | 收货人(公开) |                 |                    | 通用设备部(DGE) <sup>47</sup> |                    |

76. 专家小组在南非检查标签为“推土机备件”的缉获货物时，发现运往刚果共和国的大部分货物是军火和有关物资。<sup>48</sup> 大部分物资为翻新或二手，包括拆用零件。<sup>49</sup>

图十四

所检查物项的部分样品，包括二手备件(下左)和朝鲜民主主义人民共和国制造的劣质履带(下右)



资料来源：专家小组。

<sup>47</sup> 刚果当局指出，将 DGE 列为所有货物的收货方是为了简化在黑角港和布拉柴维尔机场的海关程序，以减少费用。

<sup>48</sup> 这批货物包括军用物资和可能用作军事用途的物资，如坦克履带、潜望镜、盖革计数器、坦克人员头盔、大量迷彩图版、外部石油和燃料罐等。大部分物资在朝鲜民主主义人民共和国制造。

<sup>49</sup> 一些里程表显示，卡车的驾驶里程为 10 000 公里。

77. 专家小组在分析中发现，该案存在违反决议行为，与以往阻截的货物有若干相似之处，特别是军方对军方合作、朝鲜民主主义人民共和国大使馆的参与、提供与武器有关的服务和技术援助以及确保境外活动保密的手段。

78. 调查还发现与清川江号案存在相似性。<sup>50</sup>朝鲜民主主义人民共和国与古巴和刚果共和国的协议都是军方对军方的性质，涉及技术援助，并得益于本国在当地的大使馆和外交官的支持。与刚果共和国的协议由朝鲜民主主义人民共和国国防委员会人民武装部队军事合作部的一名代表签署。此类接收付款和需清关的活动由在该国和亚洲(货物转运地)的外交官接应。

79. 朝鲜民主主义人民共和国要求刚果共和国为所有人员在军事设施或军营内提供住宿，以“确保保密和适当的工作条件”(见附件 9)。两个翻新工作队很少离开军营，所去最远处是附近一个市场。他们在食物和医疗方面能够自给自足，配有随行厨师、医生和口译员，几乎所有粮食和用品都来自朝鲜民主主义人民共和国。2008 年 6 月至 2010 年 4 月期间，一名成员的死亡造成了工作队人员组成的唯一变化。在长期内避免人员轮调减少了费用，加强了保密度。<sup>51</sup>

图十五

Mpila 军营的和布拉柴维尔翻新场所的布局



资料来源：专家小组。

[图中：(1) 居住区；(2) 1 号车棚；(3) 零件库；(4) 储藏用集装箱；(5) 机床车间；(6) 2 号车棚；(7) 主要车间；(8) 车辆残骸]

<sup>50</sup> 见 S/2014/147，第 69-89 段和第 124 段。

<sup>51</sup> 根据该协议，朝鲜民主主义人民共和国提供所有必备的粮食和其他日常用品。刚果当局确认，在工作队生活区内发现的所有设备和用品都来自国外。此外，Westerhever 货轮集装箱中的大米袋数和在布拉柴维尔发现的纸箱说明，工作队的大部分食物都来自国外。这进一步限制了人员的对外联络，以确保保密。

80. 运至布拉柴维尔翻新的商业设备包括机床和其他重型设备、手工工具、零配件及其他杂项物品。专家小组证实，在布拉柴维尔检修的机床和重型设备是在朝鲜民主主义人民共和国境外制造的。因此，这些设备可能是从中国黄浦港直接运至刚果共和国的。

#### 2011 年初扣押的潜艇零部件

81. 专家小组继续调查 2011 年检查由朝鲜民主主义人民共和国实体“朝鲜青松联合会社”充当中介的空运潜艇零部件事件。某欧洲会员国确认了为从美国市场采购的 Yugo 级潜艇运送零部件的事件，提供给设在东南亚的某军事公司。这批货物还涉及曾违反欧洲奢侈品禁令的一个欧洲人和欧洲公司。这批货物包括东南亚公司与青松公司合同中的未清物项，这些物项在 2010 年 12 月按照第 1874(2009)号决议予以清理。<sup>52</sup>

82. 该欧洲会员国还告知专家小组，2011 年 5 月，为非洲某军事公司运送了船舶部件，同样涉及青松公司、同一个欧洲人和欧洲实体。专家小组请一个非洲会员国提供信息，说明这批被报告货物的情况。

83. 这些事件是在朝鲜青松联合会社 2012 年 5 月被委员会指认之前发生的。但专家小组还是指出，安全理事会第 2094 号决议第 7 段指出，第 1718 和第 1874 号决议禁止朝鲜民主主义人民共和国开展武器交易中中介活动。会员国应当认识到这些规定，审查由朝鲜民主主义人民共和国做中介的所有武器和相关物资交易。

#### 蒙古终止试图对朝鲜出售米格-21 战斗机及部件<sup>53</sup>

84. 2014 年 5 月，蒙古在国家执行情况报告中说明，蒙古于 2009 年终止了试图对朝鲜民主主义人民共和国出售米格-21 战斗机、发动机和其他零件。专家小组前往蒙古进行协商并检查有关物资。

85. 2009 年初，蒙古某公司与朝鲜民主主义人民共和国某实体签订合同，以部件形式出售 32 架退役的米格-21 PFM 型喷气式战斗机。由于该销售违反了 1979 年蒙古与前苏联的协议以及第 1718 (2006)号决议，<sup>54</sup> 蒙古国防部决定制止将飞机转给该蒙古公司，供其随后出售。飞机随后被拆除。但所涉人员不顾国防部的决定，伪造文件，称某俄罗斯公司为接收方。蒙古当局查出并制止了这些行为。2012 年，蒙古独立反腐败机构调查了这一案件。三人被起诉，判处了 3.5 年到 7.1 年的监禁。蒙古称，这些人以个人身份行事。专家小组在现场检查中

<sup>52</sup> 见 S/2013/337 第 82 段和 S/2014/147，第 114 段。

<sup>53</sup> S/2014/147 第 115 段；S/2013/337 第 83 至 85 段；S/2012/422 第 74 段。

<sup>54</sup> 蒙古与俄罗斯联邦的 1979 年协议仍然有效。该协议规定，在没有得到俄罗斯联邦批准的情况下，蒙古不得向任何第三国转让军事装备或硬件。

确认，有以下物资存放在储存设施中：完整的米格-21 PFM 型喷气式战斗、31 个发动机和大量其他部件(见图十六)。<sup>55</sup>

图十六

专家小组观察到的被拆除的飞机发动机、其他部件和一架完整的米格-21 战斗机



资料来源：专家小组。

86. 如果蒙古政府没有阻拦向朝鲜民主主义人民共和国出售米格-21 战斗机及部件，那将会造成违反武器禁运。蒙古还根据有关决议采取了行动，防止将资金返还给朝鲜民主主义人民共和国(第 204 段)。

87. 由于朝鲜民主主义人民共和国无法在国内制造某些部件，需要从国外采购，会员国应在管制过时或退役武器及零部件的出口时保持警惕。

可能向埃塞俄比亚提供与军火有关的物资<sup>56</sup>

88. 专家小组继续调查埃塞俄比亚实体(Homicho 弹药工程工业)与朝鲜民主主义人民共和国实体(朝鲜矿业贸易总公司)之间可能存在的联系，这可能违反了武器禁运。埃塞俄比亚当局告知专家小组，“朝鲜矿业贸易总公司”已从 Homicho 弹药工程行业网站上的供应商名单中删除。专家小组正在等待埃塞俄比亚提供进一步信息。

与厄立特里亚可能存在的军火合作<sup>57</sup>

89. 根据索马里和厄立特里亚问题监测组在 2013 年公布的资料，专家小组重新启动了对朝鲜青松联合会社与厄立特里亚政府汽车修理部被控开展军火合作的调查。厄立特里亚当局告知专家小组，厄立特里亚没有直接或间接与任何国家、实体或个人合作，违反第 1907(2009)号决议规定的军火禁运。

<sup>55</sup> 一架完整的米格-21 PFM 型喷气式战斗机在储存设施前展出。

<sup>56</sup> 见 S/2014/147，第 100 至 101 段。

<sup>57</sup> 同上，第 94 至 97 段。

## 与乌干达的警察合作

90. 专家小组调查了朝鲜民主主义人民共和国和乌干达之间的警察合作。<sup>58</sup> 2014 年 12 月 19 日, 乌干达答复了专家小组有关合作详情的问询, 表示朝鲜民主主义人民共和国教官在 Kabalye、Masindi 和 Butiaba Wantembo 警官培训学校(均为前军事基地)进行的“实地部队培训”包括使用 AK47 步枪和手枪。海上警察培训包括准确射击(见附件 10)。

图十七

朝鲜民主主义人民共和国与乌干达的合作照片



资料来源: 乌干达 New Vision-(左), 乌干达警察部队脸书账户(中和右)。

91. 专家小组认为, 这种培训违反了第 1874(2009)号决议第 9 段, 其中禁止朝鲜民主主义人民共和国出口与提供、制造、维护或使用所有武器或材料有关的技术培训、咨询、服务或协助。Butiaba Wantembo 的培训仍在进行, 专家小组向乌干达表达了看法, 正等待答复。

### 3•23 运动丢弃的弹药

92. 应联合国组织刚果民主共和国稳定特派团(联刚稳定团)邀请, 联合国科特迪瓦行动(联科行动)综合禁运监察股对 3•23 运动在 2013 年 10 月和 11 月撤出自刚果民主共和国东部阵地后丢弃的武器弹药进行了技术评估。评估包括从朝鲜民主主义人民共和国转运给刚果民主共和国的一些军火, 可能是 2009 年初该国运往刚果民主共和国的货物中的一部分。综合禁运监察股和刚果民主共和国专家小组向专家小组提供了照片。

93. 专家小组确认了很可能是朝鲜民主主义人民共和国制造的 107 毫米和 122 毫米火箭及引信。所有军火都具有专家小组了解的该国制造的特征, 包括表面涂漆、标识、批号、型号名称、质量管理印章和引信上的星号印章。批号“XX-08-XX”用于 107 毫米火箭和引信, 表示 2008 年生产, 这也

<sup>58</sup> 同上, 第 102-103 段。

与火箭包装箱上的标签日期相符。批号“1-97”用于 122 毫米火箭，说明其或是 1997 年或是 2008 年制造。<sup>59</sup>

图十八

### 3·23 运动丢弃弹药与其他场合截获弹药的比较



资料来源：综合禁运监察股和专家小组。

### Jeehan 1 号船上截获的军火和有关物资

94. 也门当局截获了 Jeehan 1 号船上一批来自伊朗伊斯兰共和国的军火和有关物资。专家小组得到的信息表明，这批物资中一些弹药的标识与朝鲜民主主义人民共和国制造的相仿。专家小组致函也门政府，了解情况。

### 参加国际军火展销的情况

95. 专家小组调查了关于朝鲜民主主义人民共和国一个代表团参加了 2014 年 8 月的俄罗斯联邦军火展销会的媒体报道。按照惯例，俄罗斯当局向朝鲜民主主义人民共和国驻莫斯科大使馆 9 名人员发出了请柬，但他们没参加这次活动的展览、演示和交易活动。俄罗斯联邦表示，没有信息显示这些外交官达成了任何交易。专家小组没有发现违法决议的任何证据。

## C. 执行奢侈品禁令

96. 专家小组审议的奢侈品情况显示，朝鲜民主主义人民共和国从多国购买了奢侈品，包括利用其外交使团。朝鲜民主主义人民共和国还利用各会员国对“奢侈品”所下的不同定义(见附件 11)。情况还显示，朝鲜民主主

<sup>59</sup> 根据“主体”日历，该年为 2008 年。

义人民共和国获得的奢侈品一般先要途经多个国家，而制造商/公司并不知道最终目的地是哪里。

#### 2012 年和 2013-2014 年平壤阅兵时看到的高级轿车

97. 2012 年 4 月 15 日，平壤阅兵时展示了两辆改装奔驰豪华轿车，这可能违反了第 1718(2006)号决议第 8(a)(三)段。掌握的信息显示，这两部车是经改装的 S 级，由北美一家公司登记并改装加固，然后经一系列国际转手，最后落户朝鲜民主主义人民共和国。

98. 关于 2013 和 2014 年平壤阅兵时展示了另两部改装奔驰豪华轿车，车身的特征表明，其不属于 S 级中的 Pullman 型号，而是在第三方经过了改装。

图十九

专家小组对 2012 年和 2013-2014 年看到的改装豪华轿车的车身特征和奔驰 S 级 Pullman 型号特征的分析



资料来源：<http://www.wallpaperup.com> 和专家小组。

#### 马息岭滑雪场

99. 关于马息岭滑雪场滑雪用具转运一事，<sup>60</sup> 中国通知专家小组，中国一家公司提供了索道设备和设计服务。中国表示，“中国认为，滑雪是一项大众喜爱的运动，滑雪设备或有关服务不在安全理事会第 2094(2013)号决议规定的受禁奢侈品之列。”加拿大表示，向朝鲜民主主义人民共和国出口雪上摩托违反了其出口规定。欧洲联盟两个成员国告知专家小组，根据欧洲

<sup>60</sup> 见 S/2014/147，第 118-119 段。

联盟理事会 329/2007 号条例，其认为 PistenBully 100 型号和 Prinoth 型号雪面平整器械(带驾驶室)为“奢侈品”。

100. 专家小组得知，特别机动器械(即雪上摩托和雪面平整器械)的一些制造商与朝鲜民主主义人民共和国常驻日内瓦代表团多人保持联系，包括常驻代表。公司以为，这些交易是合法的，因为瑞士认证了这些外交官。

101. 一些会员国把滑雪器材和特殊机动器械列在“奢侈品”项下，另一些会员国尚未将其列入。这就造成了会员国执行程度不一的情况。

图二十  
马息岭滑雪场宣传品上显示有外国制造的滑雪用具



资料来源：朝鲜民主主义人民共和国外贸，2014 年，第 2 卷。

### 豪华游艇

102. 2013 年看到的该国领导人和官员身旁的豪华游艇，<sup>61</sup> 已经证实是大不列颠及北爱尔兰联合王国普利茅斯 Princess Yachts 公司生产的，为 Princess 95MY 型号，早在 2011 年便投入使用。这一型号是 2007 年至 2011 年期间生产的，在全世界共出售 21 艘，专家小组查到了 19 艘，估计价值为 400 万-600 万美元。因 Princess Yachts 公司没有回应专家小组的要求，提供信息，专家小组无法继续调查。<sup>62</sup>

<sup>61</sup> “独家：公主游艇：金正恩 700 万美元的游艇”，NK News，2013 年 6 月 18 日(见 S/2014/147，第 120 段)。

<sup>62</sup> 这些游艇不必在国际海事组织登记，也不配备自动识别系统，所以制造商的合作很重要

图二十一

照片背景显示豪华游艇，经辨认为 Princess 95MY 型号游艇



资料来源：NK News。

#### 丹尼斯·罗德曼及 Paddy Power 公司赠送礼物<sup>63</sup>

103. 尽管没有丹尼斯·罗德曼提供信息，专家小组还是能够证实他送的一些礼物。<sup>64</sup> 爱尔兰公司 Paddy Power 陪同罗德曼先生 2013 年 12 月的行程，认为礼物价值约 3 000 美元。<sup>65</sup> 美国通知专家小组，对此已经采取适当措施。此外，还据说，当时没有足够信息来确定是否违反了奢侈品禁令，但按照美国商业部《出口管制条例》746 编补充 1 号中的“奢侈品举例单”（15 C.F.R. part 746、Supplement No. 1(2013)），一些物品“很可能属于奢侈品”。爱尔兰通知专家小组，这些物品价值不高，仅是“一次性”安排，非商业交易。Paddy Power 公司解释，其未意识到公司的活动会违反制裁措施。爱尔兰决定不追究此事。

104. 安全理事会的奢侈品禁令没有区分商业和非商业转让。各当事方无意躲避或违反奢侈品禁令。这一案情说明游客若把礼品或其他物品带入朝鲜民主主义人民共和国，很可能无意中违反奢侈品禁令。

## 七. 阻截

105. 专家小组继续监测朝鲜民主主义人民共和国的飞机和船队。尽管一直在购买船只和飞机，但自 2008 年以来，飞机和船只总数在减少。

106. 专家小组还审查了朝鲜民主主义人民共和国拥有的船只的重新命名、重新登记、改换船旗，以及向其提供保险的情况。参照第 2094(2013) 号决议第 19 段，专家小组注意到 2014 年重新命名和重新登记的船只数大

<sup>63</sup> 见 S/2014/147, 第 121 段。

<sup>64</sup> 小组观察到丹尼斯·罗德曼先生赠送了葡萄酒、篮球和球衣。

<sup>65</sup> Paddy Power 公司的礼物包括一瓶 Jameson 威士忌、一个大酒瓶和酒具、婴儿服装和一款 Mulberry 手袋。

量增加，包括被指认的朝鲜远洋海运管理有限公司所经营的所有船只（仅一艘除外）。此外，专家小组还继续监测悬挂外国旗船只的业主和/或营业情况。

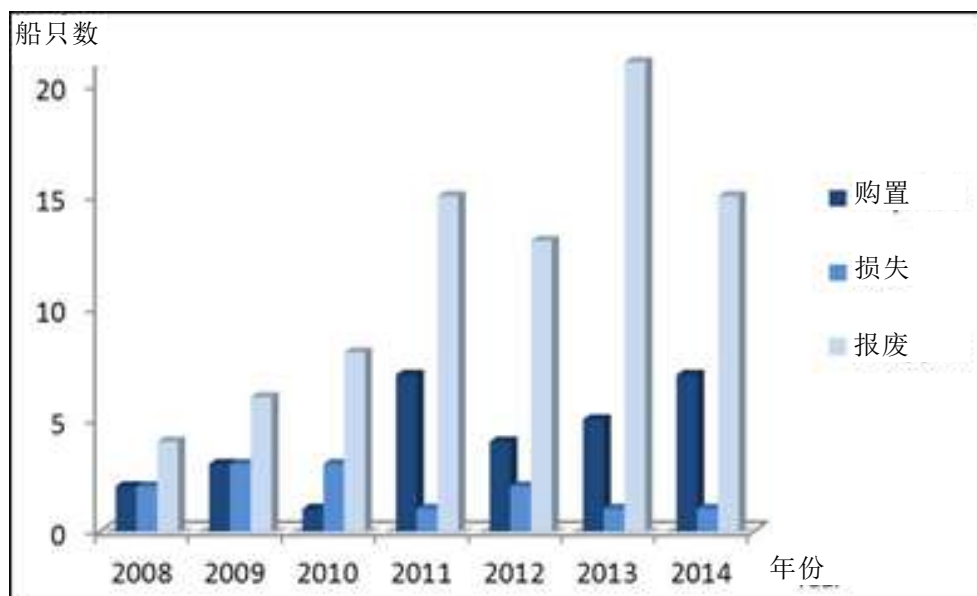
## A. 海上船队

### 船只更新

107. 悬挂朝鲜民主主义人民共和国旗的船只目前有 118 艘杂货船（23 艘具备集装箱能力），3 艘全蜂窝式集装箱船，1 艘冷藏船和 3 艘散货船。船队继续老化，总数在减少，但自 2008 年以来，一直得到二手船只补充。（图 22），其中大多数是较小的杂货船（总吨位 1500–3000 吨，报废船只为总吨位 5 400–17 000 吨）。

图二十二

2008 年以来悬挂朝鲜民主主义人民共和国旗的船队情况：购置、损失和报废的船只



资料来源：欧洲优质航运信息系统、国际海事组织、劳埃德情报信息。

108. 购置较小船只的趋势与其增加区域活动相符合。2009 年至 2014 年，仅区域内的航行就增加 79%。与此同时，前往区域外港口的情况显著减少，仅达 2008 年的 6%。鉴于这一期间区域经济增长，<sup>66</sup> 以及最近对朝鲜民主主义人民共和国港口和有关铁路基础设施的投资，可能作出了战略调整，悬

<sup>66</sup> 世界银行，《全球经济展望》，“东亚和太平洋”，2015 年 1 月：Having Fiscal Space and Using It(哥伦比亚特区华盛顿，世界银行，2015 年 1 月)，可查阅 [www.worldbank.org/en/publication/global-economic-prospects/regional-outlooks/eap](http://www.worldbank.org/en/publication/global-economic-prospects/regional-outlooks/eap)。

挂本国旗帜进行区域贸易，<sup>67</sup> 同时更加依赖悬挂外国旗的船只从事国际贸易（可能悬挂外国旗的船只情况，见表 7）。

109. 除 2014 年船只改名大幅度增加外，自从指认了朝鲜远洋海运管理有限公司，专家小组还注意到，悬挂外国旗的朝鲜民主主义人民共和国船只登记数也在增加。<sup>68</sup> 悬挂外国旗可以给朝鲜民主主义人民共和国船业人带来若干好处。悬挂外国旗的船只能够驶入悬挂朝鲜民主主义人民共和国旗的船只很难驶入的港口和水道。<sup>69</sup> 还能减少根据决议进行检查的风险，减少防范风险的盘查（以及相关的高风险归类），<sup>70</sup> 并与朝鲜民主主义人民共和国脱离联系，以此防范尽职调查。转为单一船主公司和重新命名，是要模糊实际业主和根据制裁体制要严格限制的财政交易。船只改名或换旗均未根据第 2094(2013) 号决议第 19 段转告委员会。此外，也没有报告任何一艘船在从事受禁活动。专家小组继续查询换旗情况，确定是否保留前业主和/或企图规避制裁。

表 7  
2014 年方便旗的使用情况

| 船旗国  | 船名                   | 海事组织编号  | 船型 | 起始日期            |
|------|----------------------|---------|----|-----------------|
| 柬埔寨  | Grand Union          | 8651221 | 杂货 | 2014 年 5 月 1 日  |
| 柬埔寨  | Grand Faith          | 8749262 | 杂货 | 2014 年 6 月 1 日  |
| 柬埔寨  | Dong Kun 6           | 8649993 | 杂货 | 2014 年 4 月 1 日  |
| 柬埔寨  | Chun Yang 7          | 8652756 | 杂货 | 2014 年 5 月 1 日  |
| 柬埔寨  | Grand Lady           | 8654479 | 杂货 | 2014 年 1 月 1 日  |
| 柬埔寨  | Dong Fang Qi Yun     | 9095412 | 杂货 | 2013 年 12 月 1 日 |
| 柬埔寨  | Fu Hong              | 8657536 | 杂货 | 2012 年 11 月 8 日 |
| 基里巴斯 | Petrel <sup>71</sup> | 9009085 | 杂货 | 2014 年 3 月 17 日 |

<sup>67</sup> 在区域集散港口卸载集装箱船上的大批货物，很难确定某一集装箱的来源。

<sup>68</sup> 见 S/2014/147，第 128-138 段。

<sup>69</sup> 大韩民国统一部，《朝鲜统一白皮书，2010 年》，第 100-101 页。悬挂朝鲜民主主义人民共和国旗帜的船只不得进入大韩民国水域，作为对 2010 年 3 月 26 日天安舰被击沉的回应。2006 年 4 月至 2010 年 6 月，其船只穿过大韩民国水域 2 165 次；1 477 次是往来于两个朝鲜之间，688 次是驶往其他国家。

<sup>70</sup> 根据“关于亚太区域港口国管制问题的东京备忘录”，按照前 3 年港口国管制检查情况，朝鲜远洋海运管理有限公司被视为高风险/低产出。

<sup>71</sup> Petrel Shipping 在海事组织的数据库中被列为设在英属维尔京群岛的实体，使用的是香港一家公司 Petrel Shipping Co. Ltd 的“转收”地址。其注册物主是两艘悬挂基里巴斯旗的船只，the Petrel 1 号和 Blue Nouvelle 号。Ri Phyoung Gu 先生是朝鲜远洋海运管理有限公司在曼谷代表，（见第 135-142 段；附件 20-21），其签证申请表上的登记职务是在朝鲜民主主义人民共和国注册的 Petrel Shipping Co. Ltd 公司代理经理。不过，海事组织数据库中没列该国有一公司。2014 年 6 月以来，Petrel 1 号驶入南浦至少 4 次，2014 年 7 月以来，Blue Nouvelle 号驶入至少 2 次。

| 船旗国  | 船名                         | 海事组织编号  | 船型  | 起始日期            |
|------|----------------------------|---------|-----|-----------------|
| 蒙古   | Chon Won 65                | 8410603 | 杂货  | 2012 年 1 月 9 日  |
| 蒙古   | Victory 2                  | 8312227 | 杂货  | 2011 年 9 月 24 日 |
| 蒙古   | Kunjari                    | 9045182 | 杂货  | 2003 年 7 月 9 日  |
| 巴拿马  | Woory Star 2 <sup>72</sup> | 8717910 | 杂货  | 2011 年 5 月 13 日 |
| 柬埔寨  | Karo Bright                | 8651219 | 杂货  | 2014 年 9 月 1 日  |
| 塞拉利昂 | Global Nampo               | 9000766 | 集装箱 | 2010 年 11 月 1 日 |
| 塞拉利昂 | New Hunchun                | 9536272 | 杂货  | 2010 年 6 月 3 日  |

资料来源：欧洲优质航运信息系统和国际海事组织。

### 规避制裁的模式：改名和换旗

110. 2014 年 7 月 28 日，指认朝鲜远洋海运管理有限公司之后，朝鲜民主主义人民共和国采取行动，规避制裁，改变了该公司所属的船只登记和船主。迄今为止，朝鲜远洋海运管理有限公司控制的 14 艘船只中，13 艘改名、船只改为其他单一船主公司（公司名称取自新船名），船只管理转为两家公司。<sup>73</sup> 为重新登记注册而成立的公司，毫无例外，都是 2014 年在海事组织数据库登记注册。这些变化很可能是为了规避会员国根据第 2094 (2013) 号决议实施的资产冻结而采取的一种策略。注册变更是朝鲜民主主义人民共和国驻伦敦大使馆向海事组织提交的。

111. 第 2094 (2013) 号决议要求所有会员国向委员会通报关于朝鲜民主主义人民共和国可能为了规避制裁或违反决议规定而将船只转给其他公司的任何信息（包括改名和换旗），但未收到关于这类转手的任何报告（附件 12.1）。

表 8

2014 年 7 月 28 日经指认后，朝鲜远洋海运管理有限公司所属船只改名和换旗情况

| 原名                 | 海事组织编号  | 改名                             | 注册船主                                                                                                     | 注册经管/经营者                                                                                                           |
|--------------------|---------|--------------------------------|----------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|
| Am Nok Gang<br>杂货船 | 8132835 | Tae Ryong<br>Gang<br>1/10/2014 | Taeryonggang Shipping Co. Ltd.<br>Care of Yongjin Ship Management Co<br>Ltd<br>IMO: 5814906<br>2/07/2014 | Yongjin Ship Management Co.<br>Ltd.<br>Tonghung-dong, Central District,<br>Pyongyang<br>IMO: 5814883<br>30/06/2014 |

<sup>72</sup> 还有一艘悬挂朝鲜民主主义人民共和国旗的船只，名为 Woory Star 号（海事组织 8408595），船主是平壤朝鲜 56 贸易公司。

<sup>73</sup> 这些船舶中有 12 艘被登记为“运行中”。

| 原名                                  | 海事组织编号  | 改名                            | 注册船主                                                                                                                  | 注册经营/经营者                                                                                                               |
|-------------------------------------|---------|-------------------------------|-----------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------|
| Chong Chon<br>Gang<br>杂货船           | 7937317 | Tong Hung<br>San<br>1/10/2014 | Tonghungsan Shipping Co. Ltd.<br>238,Ryugyong 2-dong,Potonggang-<br>guyok,<br>Pyongyang<br>IMO: 5826665<br>12/06/2014 | Tonghungsan Shipping Co. Ltd.<br>238,Ryugyong 2-<br>dong,Potonggang<br>-guyok,Pyongyang<br>IMO: 5826665<br>12/06/2014  |
| Hwang Gum San<br>2<br>杂货船           | 8405270 | Hui Chon<br>1/10/2014         | Huichon Shipping Co. Ltd.<br>35,Puksong 2-dong,Pyongchon-District,<br>Pyongyang<br>IMO: 5817812<br>5/08/2014          | Pyongjin Ship Management Co. Ltd.<br>102 Ryuggyo 1-dong,Pyongchon<br>-District,Pyongyang<br>IMO: 5817790<br>18/06/2014 |
| Hyok Sin 2<br>Bulk Carrier          | 8018900 | Ji Hye Can<br>1/10/2014       | Jihyesan Shipping Co. Ltd.<br>563,Pongji-dong,Pyongchon-<br>District,Pyongyang<br>IMO: 5821426<br>31/08/2014          | Haejin Ship Management Co Ltd.<br>Tonghung-dong,CentralDistrict,<br>Pyongyang<br>IMO: 5814866<br>30/04/2014            |
| Jang Ja San<br>Chong Nyon Ho<br>散货船 | 8133530 | Song Jin<br>1/10/2014         | Songjin Shipping Co. Ltd.<br>915,Ryugyong 2-dong,Potonggang-<br>guyok,Pyongyang<br>IMO: 5821430<br>1/09/2014          | Haejin Ship Management Co Ltd.<br>Tonghung-dong,Central District,<br>Pyongyang<br>IMO : 5814866<br>30/04/2014          |
| Jon Jin 2<br>散货船                    | 8018912 | Ryong Rim<br>1/09/2014        | Ryongrim Shipping Co. Ltd.<br>404,Ryugyong2-dong,Potonggang-<br>guyok, Pyongyang<br>IMO: 5817772<br>13/08/2014        | Haejin Ship Management Co Ltd.<br>Tonghung-dong, Central District,<br>Pyongyang<br>IMO: 5814866<br>30/04/2014          |
| Mu Du Bong<br>杂货船                   | 8328197 |                               | Mudubong Shipping Co. Ltd.<br>611 Haeun,Tonghung-dong,Central<br>District,<br>Pyongyang<br>IMO: 5435991<br>25/12/2008 | Taedonggang Sonbak Co. Ltd.<br>CPO Box 120,Changgwang-<br>dong,<br>Chung-guyok,Pyongyang<br>IMO: 1845139<br>25/10/1999 |
| O Un Chong<br>Nyon Ho<br>杂货船        | 8330815 | Hu Chang<br>1/09/2014         | Huchang Shipping Co. Ltd.<br>Care of Yongjin Ship Management Co<br>Ltd<br>IMO: 5820255<br>16/08/2014                  | Yongjin Ship Management Co.<br>Ltd.<br>Tonghung-dong,Central District,<br>Pyongyang<br>IMO: 5814883<br>30/06/2014      |

| 原名                              | 海事组织编号  | 改名                                                                         | 注册船主                                                                                                                     | 注册经管/经营者                                                                                                           |
|---------------------------------|---------|----------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|
| Pho Thae<br>具备集装箱能<br>力的杂货船     | 7632955 | Myong San 1<br>1/08/2014<br>(Registered<br>inactive on 22<br>August 2014.) | Myongsan Marine Co. Ltd.<br>Tonghung-dong, Central<br>District, Pyongyang<br>IMO: 5814897<br>30/07/2014                  | Yongjin Ship Management Co.<br>Ltd.<br>Tonghung-dong, Central District,<br>Pyongyang<br>IMO: 5814883<br>30/06/2014 |
| Bi Ryu Gang<br>杂货船              | 8829593 | Kang Gye<br>1/09/2014                                                      | Kanggye Shipping Co. Ltd.<br>Haeun 2-dong, Pyongchon-<br>District, Pyongyang<br>IMO: 5822804<br>06/09/2014               | Yongjin Ship Management Co.<br>Ltd.<br>Tonghung-dong, Central District,<br>Pyongyang<br>IMO: 5814883<br>30/06/2014 |
| Po Thong Gang<br>杂货船            | 8829555 | O Rang<br>1/9/2014                                                         | Orang Shipping Co. Ltd.<br>802, Ponghak-dong, Pyongchon-District,<br>Pyongyang<br>IMO: 5821443<br>10/09/2014             | Yongjin Ship Management Co.<br>Ltd.<br>Tonghung-dong, Central District,<br>Pyongyang<br>IMO: 5814883<br>30/06/2014 |
| Rak Won 2<br>具备集装箱能<br>力的杂货船    | 8819017 | Se Pho<br>01/10/2014                                                       | Sepho Shipping Co. Ltd.<br>905, Ponghak-dong, Pyongchon-District,<br>Pyongyang<br>IMO: 5821412<br>27/08/2014             | Haejin Ship Management Co Ltd.<br>Tonghung-dong, Central District,<br>Pyongyang<br>IMO: 5814866<br>30/04/2014      |
| Ryong Gang 2<br>具备集装箱能<br>力的杂货船 | 7640378 | Tan Chon<br>01/10/2014                                                     | Tanchon Shipping Co. Ltd.<br>Tonghung-dong, Central<br>District, Pyongyang<br>IMO: 5817809<br>11/08/2014                 | Yongjin Ship Management Co.<br>Ltd.<br>Tonghung-dong, Central District,<br>Pyongyang<br>IMO: 5814883<br>30/06/2014 |
| Ryong Gun<br>Bong<br>杂货船        | 8606173 | Chol Ryong<br>01/08/2014                                                   | Cholryong Shipping Co. Ltd.<br>607 Haeun, Tonghung-dong, Central<br>District,<br>Pyongyang<br>IMO: 5814870<br>18/06/2014 | Haejin Ship Management Co Ltd.<br>Tonghung-dong, Central District,<br>Pyongyang<br>IMO : 5814866<br>30/04/2014     |

注：公司日期是指注册日期。

资料来源：欧洲优质航运信息系统、国际海事组织和劳埃德情报信息。

### 关于船舶自动识别系统异常模式的研究

112. 专家小组委托对 2008 年至 2014 年间 100 艘船舶的动向进行研究，以查明未被自动识别系统网络发现的情况。<sup>74</sup> 在国际航行时不传输信号违反国际海事组织关于自动识别系统不间断传输的规定。尽管由于技术问题往往无法做到这一点，报告得出结论认为，多次中断以及在很长的距离(2 500 海里)内不传输，引人极为关切，担忧如“清川江”号事件所表明的那样，故意不传输可能与决议禁止的活动有关。另一例的情况是，2014 年 8 月停进南浦港的一艘悬挂外国国旗的船舶，2014 年航行了七次，航程超过 1 000 海里(在信号接收良好的海域)，也表明故意不进行自动识别系统的信号传输。在朝鲜民主主义人民共和国沿海水域，地面接收器范围有限，对港口的信号传输实行限制，意味着此类港口停靠往往在记录中没有显示。专家小组将继续监测自动识别系统异常情况，以确定规避制裁的可能性。

113. 专家小组调查了 2014 年 3 月 11 日在塞浦路斯附近对从利比亚非法运油的一艘名为“Morning Glory”号油轮的拦截，该油轮悬挂了朝鲜民主主义人民共和国船旗，以之作为临时方便旗。平壤的海事管理局与设在埃及的 Golden East Logistics 签订了在 6 个月时间里使用其船旗的合同，但平壤否认对该油轮负有任何责任(见附件 12.2)。这是专家小组掌握的朝鲜民主主义人民共和国撤消其船旗使用的第一个案例，也是其海事管理局签发临时注册证书的第一个已知案例。专家小组就官方共谋以及海事管理局可能为支持非法活动而进行的船旗中介活动向 Golden East Logistics 提出问询，但后者没有回复。

### 海事保险

114. 朝鲜船东保赔协会是朝鲜远洋海运管理有限公司控制的若干船舶、而且可能是所有悬挂朝鲜民主主义人民共和国船旗的船舶的保险提供者。<sup>75</sup> 就朝鲜远洋海运管理有限公司控制的船舶而言，保赔协会 2008 年为“Ryong Gang2”号承保，2011 年为“Ap Rok Gang”号承保，2011-2012 年为“Jang Ja Sang Chong Nyon Ho”号承保，2013-2015 年为“Chong Chon Gang”号承保，2014-2015 年为“Mu Du Bong”号承保(见附件 13.1-8)。专家小组获得的文件还表明，保赔协会是 Taedonggang Sonbak 有限公司的承保人，该航运公司曾是 13 艘与朝鲜远洋海运管理有限公司有关联船舶的注册船东。<sup>76</sup> 朝鲜远洋海运管理有限公司代表已宣布该实体负责为其公司自 2004 年以来营运的至少 17 艘船舶承保(见附件 16.2)。<sup>77</sup>

<sup>74</sup> Lawrence Dermody, “Maritime traffic to and from the Democratic People’s Republic of Korea 2006-2014”, 2014 年 12 月。

<sup>75</sup> 声誉良好的公司为规避风险，不愿为悬挂朝鲜民主主义人民共和国船旗的船舶承保。

<sup>76</sup> 海事组织数据库。

<sup>77</sup> 给航运代理人的授权活动证书表明，朝鲜远洋海运管理有限公司的代表负责“解决与我方

115. 专家小组得到的资料显示,在委员会于2014年7月28日指认朝鲜远洋海运管理有限公司之前和之后,朝鲜船东保赔协会为该实体控制的船舶“Mu Du Bong”号承保。在“Mu Du Bong”号于2014年7月14日在墨西哥近海触礁之后,该公司驻泰国代表 Ri Phyoung Gu 先生(又名 Steven Lee)取得了保赔协会的保险文件,但签发日期是假的。该文件扩大了保险范围,以包含“触礁险”(见附件 13.7-8)。2014年8月19日签发的另外一张保险单显示,保赔协会在7月28日之后继续为“Mu Du Bong”号承保。

116. 除了为被指认的实体的资产承保外,朝鲜船东保赔协会还是“清川江”号的承保人,承保期间这艘船舶于2013年涉入违反制裁行为。<sup>78</sup> 该船没有申报非法货物,而且根据《国际海运危险货物规则》,其中一部分属于危险货物。尽管“清川江”号违反了《国际海运危险货物规则》,该协会却继续为其承保。专家小组要求该协会提供信息,说明其保单的规则,以及是否因“清川江”号连贯地违反《国际海运危险货物规则》,而在2014年签发新的保单之前对有关该船舶保险规定进行了审查。专家小组还要求就涉及该协会的与朝鲜远洋海运管理有限公司有关联的文件作出澄清,这些文件含有违规之处,使人对签发规定的性质产生质疑。

## B. 机群

117. 在该国注册的所有民用飞机继续由国家控制的航空公司高丽航空公司拥有和运营。高丽航空公司即可投入运营的飞机总数自2012年以来有所减少。虽已购置一些新式飞机,<sup>79</sup> 但新购置的数目不像原先预期的那么多。高丽航空公司还获得了旧飞机——如2012年从古巴获得一架伊留申二—62型飞机——这些飞机随后被拆卸,供用作零部件。<sup>80</sup>

表 9  
高丽航空机群

| 飞机型号  | 编号 | 航程(公里)       | 最大有效负荷(吨) | 最大载客数   |
|-------|----|--------------|-----------|---------|
| 客机    |    |              |           |         |
| 安-24  | 3  | 750-2 400    | 5.5       | 44-50   |
| 伊尔-18 | 1  | 4 300-6 400  | 13.5      | 100     |
| 伊尔-62 | 4  | 7 550-10 000 | 23        | 168-186 |
| 图-134 | 2  | 1 900-3 300  | 8.6       | 84      |
| 安-148 | 1  | 3 500-6 000  | 9         | 80      |

公司[朝鲜远洋海运管理有限公司]所管理船舶有关的任何事故或争端”。

<sup>78</sup> 见 S/2014/147, 第 69--80 段和第 124-125 段。

<sup>79</sup> 从乌克兰获得安东诺夫“安—148”型飞机,从俄罗斯联邦获得图波列夫“图--204”型飞机。

<sup>80</sup> 关于该飞机在平壤机场占位的视频确认,见 [www.youtube.com/watch?v=\\_SjLx1RPbNo](http://www.youtube.com/watch?v=_SjLx1RPbNo)。

| 飞机型号     | 编号 | 航程(公里)      | 最大有效负荷(吨) | 最大载客数 |
|----------|----|-------------|-----------|-------|
| 图-154    | 2  | 2 800-3 900 | 18        | 180   |
| 图-204    | 2  | 4 400-9 250 | 21        | 214   |
| 货机       |    |             |           |       |
| 伊尔-76 TD | 3  | 3 700-9 400 | 50        |       |

118. 在其 2014 年最后报告中，专家小组强调了高丽航空公司飞机的军事作用，该飞机涂着军事伪装色，于 2013 年 7 月 27 日在“胜利日”阅兵仪式上在空中飞过。高丽航空公司与朝鲜人民军空军之间不分彼此在 2014 年得到进一步凸显，据拍摄的画面，当时朝鲜人民军伞兵在一次军事演习中从一架伊留申 76D 型飞机上跳下(见图二十三)。

图二十三

高丽航空公司伊留申 76 型飞机被用于军事用途



来源：[www.youtube.com/watch?v=A9L9EeCb8is&feature=youtu.be&t=27m22s](http://www.youtube.com/watch?v=A9L9EeCb8is&feature=youtu.be&t=27m22s)。

119. 对各种飞机的分析表明，视频中的这架伊留申型飞机不是空军新添加的，而是国家控制机队的现有资产，它具有高丽航空公司所注册伊留申 76TD 型飞机的标志。专家小组认为，这架飞机通过参与军事演习而用于军事用途，进一步表明高丽航空公司与朝鲜人民军共享其部分资产。

120. 鉴于军事用途的证据，专家小组认为，与提供、维护或使用高丽航空公司飞机有关的金融交易、技术培训、咨询、服务或协助的提供，可能违反第 1874(2009)号决议第 10 段规定的所有武器及相关材料的禁运。

## 八. 旅行禁令/资产冻结

121. 专家小组调查了若干主要被指认的实体和有关联个人的活动。尽管由于逐步通过各项决议加强了制裁，但专家小组无法证实资产冻结和旅行禁令措施已得到会员国的切实执行。相反，广泛的证据表明了被指认的实体和个人在蔑视制裁方面的复原力和适应能力。

122. 专家小组在 2014 年最后报告中注意到朝鲜民主主义人民共和国“相对成熟、复杂的国际企业生态系统”。<sup>81</sup> 合法的商业结构似乎被用于非法活

<sup>81</sup> 见 S/2014/147，第 168 段。

动。尽管这些网络看起来复杂，但其关键节点仅由数量有限的个人和中介人构成。它们通过其所信赖的外国伙伴、使馆和朝鲜民主主义人民共和国的贸易机构和空壳公司运作。尽管空壳公司可以迅速变换，但负责其设立和管理的个人往往多年留任。

123. 被指认的实体利用通过制裁措施与会员国实际执行之间的时间差。它们抢先采用新的别名来规避资产冻结。专家小组认为，所有会员国必须及时执行全部制裁措施，并为此加强国际合作。专家小组建议会员国审查本国法律框架，以确保遵守有关决议。

124. 下文载述了专家小组的结论和建议摘要。专家小组还提出若干建议，以协助委员会努力提高制裁名单的质量。

## **A. 海洋海事管理有限公司**

125. 2014 年 7 月 28 日，委员会根据专家小组和若干会员国的建议，指认朝鲜远洋海运管理有限公司，以供实施定向制裁。在于 2013 年 7 月安排将隐匿的武器和相关物资装上清川江号从古巴运到朝鲜民主主义人民共和国方面，该公司发挥了关键作用。

126. 在被指认之前，朝鲜远洋海运管理有限公司是陆海运省最大的航运企业（见本报告附件 14 和 S/2014/147 附件三十五）。该公司从事船舶的租赁、经纪、管理、技术控制和修理业务，并协同 Ryongnam 造船厂和朝鲜国际船员培训中心对船员进行安排，并安排为船舶上保险。这两个实体与朝鲜远洋海运管理有限公司一道构成了朝鲜远洋海事集团。

127. 截至 2014 年 7 月 28 日，专家小组查明朝鲜远洋海运管理有限公司控制的在役船舶有 14 艘。其中 13 艘在 2014 年 7 月 28 日和 12 月 10 日间正式改变其船东和管理人，从而将该公司从海事组织的数据库中有效抹掉（见上文表 8）。鉴于朝鲜远洋海运管理有限公司仅在名义上解散，专家小组因而继续监测拥有和管理这些船舶的新的实体。

128. 朝鲜远洋海运管理有限公司运营着一个覆盖亚洲、欧洲、中东和南美的全球网络。它利用设在至少 10 个会员国的各种人员和实体，这些会员国包括：巴西（圣保罗、巴西利亚），中国（大连、香港、深圳）、埃及（塞得港）、希腊（雅典）、日本、马来西亚（吉隆坡）、秘鲁（利马）、俄罗斯联邦（符拉迪沃斯托克）、新加坡和泰国（曼谷）。在大多数国家，该公司没有注册为合法实体。

129. 在朝鲜远洋海运管理有限公司的网络里，少数个人方面发挥了关键作用。一些人在国家间变换作业基地。该公司若干海外代表已嵌入当地公司，以掩盖他们的关系。一些拥有外交地位，以其在大使馆或贸易代表办事处中的正式职务开展活动。

130. 关于航运方面的规避手法，朝鲜远洋海运管理有限公司通常将任务分段切割，并将其交给各国的不同代理人或代表执行。财务交易被蓄意与其后勤和作业剥离(见第 188-194 段)。这些跨国活动使会员国更难以独自监测该公司的业务。该公司的一名主要官员经常使用假身份，而另一些人则避免使用全名，以图隐瞒其身份。

#### **朝鲜远洋海运管理有限公司的演变和适应性改变**

131. 过去十年来，朝鲜远洋海运管理有限公司拥有和(或)运营至少 35 艘船舶，其中大多数是朝鲜东海航运公司原先拥有和(或)控制的，并已被注册为闲置(见附件 15)。自报告了两起非法货物事件之后，在自 1999 年以来的不同时期，朝鲜远洋海运管理有限公司、Sohae Sonbak 有限公司、Taedonggang Sonbak 有限公司以及 Tonghae Sonbak 有限公司已逐渐接手，并在朝鲜东海所控制船舶的管理者、运营者和(或)船东角色之间转换(见附件 16)。自 2008 年以来，管理者、运营者和船东等各种角色被逐渐地从所有这些公司移交给朝鲜远洋海运管理有限公司。在这一过程中，该公司通过其他实体控制着这些船舶，而这些实体中的每一个都在一段时间里做过单一船舶的注册船东和(或)运营者。因此，该公司在实施制裁之前就抢先采用规避办法。2006 年 10 月，许多船舶的注册同时改变，这些改变恰逢包括第一次核试验在内的各种挑衅发生时。这些重新注册行为可能是预料或因应有关会员国加强制裁或监测而作出的。

132. 专家小组认为，朝鲜远洋海运管理有限公司所控制船舶在 2014 年 7 月 28 日之后的再命名和重新注册也是试图规避制裁之举。尽管安全理事会在第 2094(2013)号决议第 19 段中向会员国提出要求，但尚无会员国向委员会报告出现了船舶的转手(见图二十四)。专家小组认为，这些公司都代表该公司或按其指示行事，并协助规避制裁(见附件 17)。

133. 第 1718(2006)号和第 2094(2013)号决议规定会员国有义务立即冻结朝鲜远洋海运管理有限公司拥有或控制的、或为该公司服务或协助规避制裁的任何个人或实体拥有或控制的资产和经济资源。专家小组认为，“资产”和“资源”被理解为包含各种资产，其中包括船舶，因此，其拥有和(或)控制的船舶应由有关会员国予以冻结。<sup>82</sup>

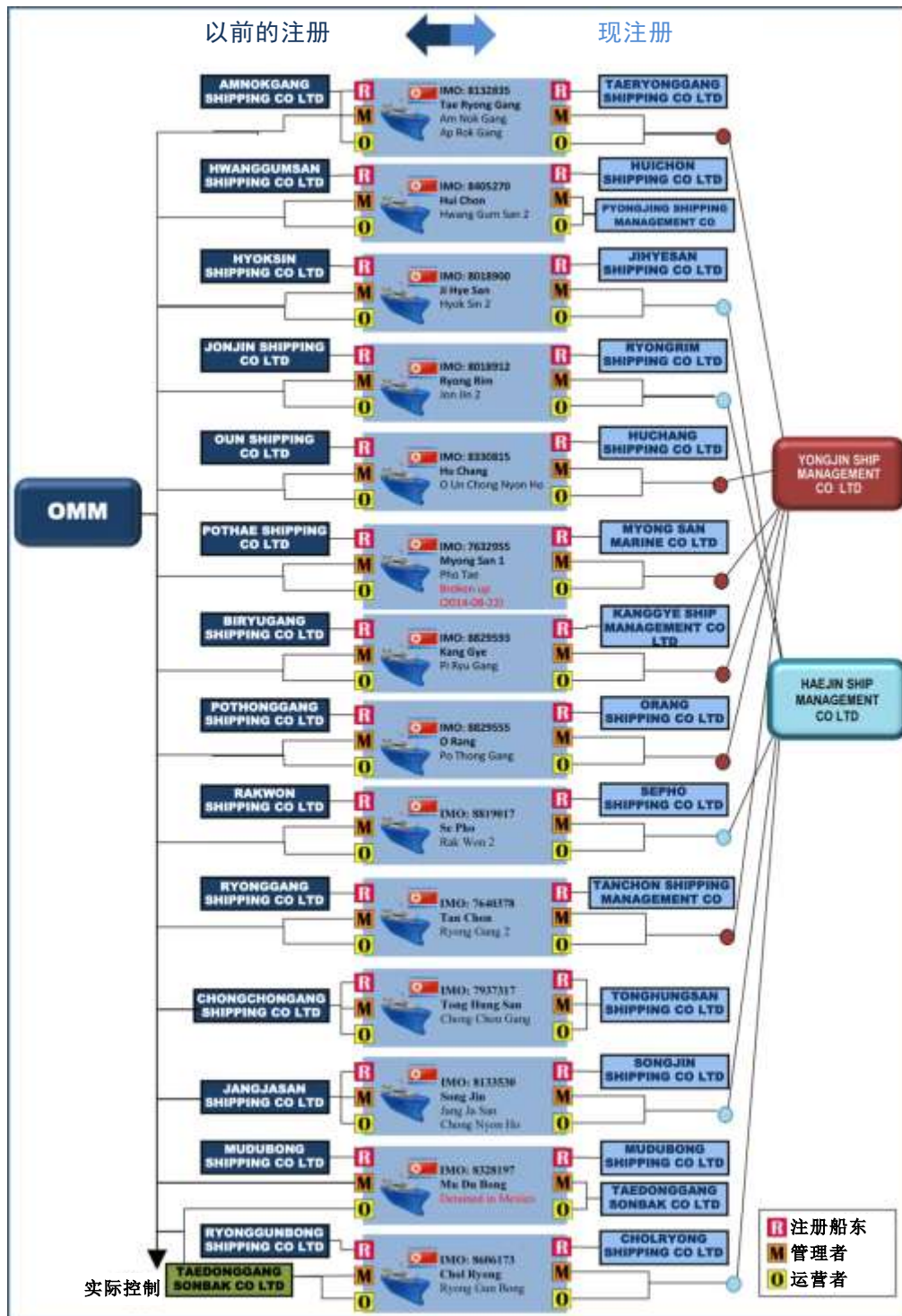
<sup>82</sup> 例如，安全理事会关于基地组织及关联个人和实体的第 1267(1999)号和第 1989(2011)号决议委员会于 2014 年 12 月 29 日发布了题为“资产冻结：用语解释”的文件，其中船舶被视为“经济资源”(见 [www.un.org/sc/committees/1267/pdf/EoT%20assets%20freeze%20-%20English.pdf](http://www.un.org/sc/committees/1267/pdf/EoT%20assets%20freeze%20-%20English.pdf))。另见金融行动工作组关于其建议 7 中所用“冻结”的定义(<http://www.fatf-gafi.org/pages/glossary/d-i/>)，安全理事会第 2094(2013)号决议提到了金融行动工作组的这一建议。

134. 自 2014 年 7 月 28 日到本报告编写期间，据报告与朝鲜远洋海运管理有限公司有关联的 14 艘船舶中的 12 艘船舶、包括“清川江”号在外国港口停靠过、访问过外国港口、或在外国港口附近被人见到过(见附件 19)。在另外两艘船舶中，一艘船、即 Ji Hye San (以前称作 Hyok Sin 2)被登记为闲置，另一艘船，也就是“Mu Du Bong”号，在墨西哥境内遭到扣押，作为环境损害付费。2014 年 7 月 28 日之后，六艘船舶受到外国当局根据港口国管制检查进行的检查。专家小组认为，这些船舶应由有关会员国根据决议立即加以冻结。专家小组不清楚是否有会员国冻结了朝鲜远洋海运管理有限公司控制的船舶。关于“Mu Du Bong”号，截至本报告提交时，该船仍被墨西哥当局扣押。2014 年 12 月 19 日有媒体报道指出，该船可能会很快被解除扣押。<sup>83</sup> 专家小组向墨西哥当局表明了意见，认为“Mu Du Bong”号是朝鲜远洋海运管理有限公司的资产。墨西哥当局向专家小组表示，它们打算等到报告发布后再作决定。

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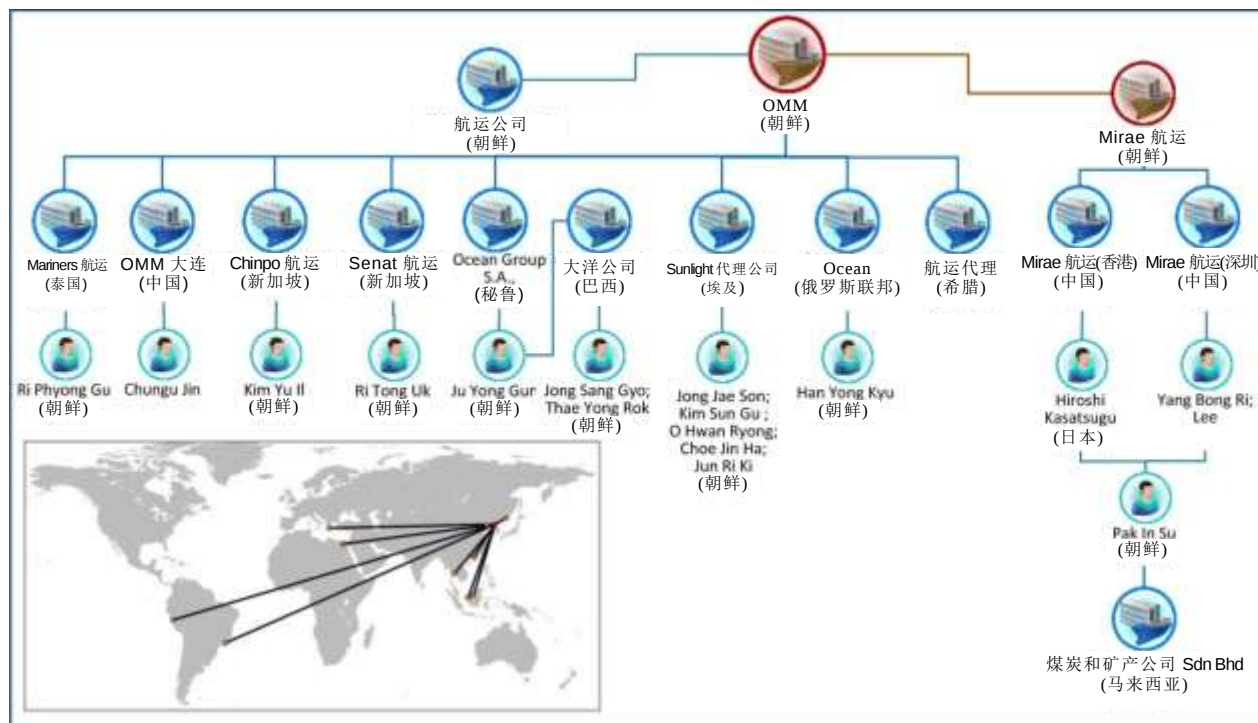
<sup>83</sup> “Profepa libera barco norcoreano encellado en Tuxpan, Veracruz”, Noticieros Televisa, 19 December 2014, 可查阅: <http://noticieros.televisa.com/mexico-estados/1412/profepa-libera-barco-norcoreano-encellado-tuxpan-veracruz/>。

图二十四  
朝鲜远洋海运管理有限公司控制的船舶和航运公司



简称: ISM 国际安全管理。

图二十五  
为朝鲜远洋海运管理有限公司服务的或曾为其服务的个人和实体<sup>84</sup>



#### 泰国

135. 朝鲜远洋海运管理有限公司利用设在泰国的个人和实体为该公司控制的船舶提供作业和运输代理服务，并进行相关的财务交易(见附件 20)。朝鲜民主主义人民共和国国民 Ri Phyoung Gu 先生(出生日期：1961 年 9 月 23 日；护照号码：563 420 640)至少自 2005 年以来一直担任该公司驻曼谷代表，并使用“曼谷分公司主管”的头衔或“Ocean BKK”的名号(附件 21.1-2)。Ri 先生以“Steven Lee”的别名开展业务，并一直参与运营和控制该公司所控制的“Mu Du Bong”号船舶，并在 2014 年 7 月 28 日指认之前和之后一直代表“Mu Du Bong”号的注册船东 Mudubong 航运公司行事。

136. Ri 先生受雇于位于曼谷的 Mariner's 航运贸易有限公司(见附件 21.3-5)。<sup>85</sup> 至少另外四名朝鲜民主主义人民共和国国民已嵌入 Mariner's 公司，包括朝鲜远洋海运管理有限公司曼谷分公司的三名代表，ChoiHo-young 先生、Ho Yong Jun 先生和 Won Song Guk 先生(见附件 21.6 和 47.7)。

<sup>84</sup> 正文中列出了这些个人和实体曾在、或现正在有关国家活动的时期。一个希腊航运代理为朝鲜远洋海运管理有限公司工作，直至 2012 年 11 月。专家小组没有理由认为该公司继续保持着其与朝鲜远洋海运管理有限公司的关系。

<sup>85</sup> Mariner's 航运公司联系地址：662/33-34 Rama 3 Road, Bangpongpang Yannawa, Bangkok, Thailand 10120; 电话：+662-2930290; 传真：662-2943847; 电子邮件：haeun@ksc.th.com, mst001@ksc.th.com。

137. 大量证据显示朝鲜远洋海运管理有限公司控制着“Mu Du Bong”号和Mudubong 航运有限公司(见附件 22)。2010 年至 2014 年 8 月,在外国港口国管制当局对该船检查时,他们报告说,朝鲜远洋海运管理有限公司是该船的船东和(或)运营者(或国际安全管理管理者),不过海事组织数据库中的该船的这一列名是 Mudubong 航运公司。<sup>86</sup> 专家小组获得的一份文件表明,“Mu Du Bong”号的船东是朝鲜远洋海运管理有限公司。该公司的名称也一直被列在该国海事管理局签发的“Mu Du Bong”号的正式文件中。朝鲜远洋海运管理有限公司与Mudubong 航运有限公司 2014 年 5 月 21 日订立的合同将朝鲜远洋海运管理有限公司列为该船的“管理者/运营者”。该船在与外国航运代理的交易中使用了朝鲜远洋海运管理有限公司的账户。Mudubong 航运公司的联系资料与朝鲜远洋海运管理有限公司的资料相同。专家小组获得的该船通讯录中列有专家小组已知与朝鲜远洋海运管理有限公司有关联的多个实体(见附件 23)。

138. Ri 先生(别名 StevenLee)代表 Mudubong 航运公司,在 2014 年 7 月 28 日之前和之后代表“Mu Du Bong”号行事,并对之加以控制(见附件 21.7--10)。他于 2014 年 7 月利用若干电子邮件账户,包括“OCEANBKK”和“Earn Shipping”,担任了“Mu Du Bong”号的中介和代理。2014 年 8 月 5 日,Ri 先生以其“Mu Du Bong 航运公司法定代表”的身份与墨西哥一家打捞公司签署了一项打捞协议。“Mu Du Bong”号船长从“Earn Shipping”接收关于该船作业的指令,而这一电子邮件地址与“Steven Lee”在 2014 年 7 月 28 日之前和之后使用的地址相同。鉴于上述情况,专家小组认为,Ri 先生代表朝鲜远洋海运管理有限公司控制着“Mu Du Bong”号。

139. 专家小组获得的资料进一步表明,Mariner's 航运公司与朝鲜远洋海运管理有限公司和 Ri 先生之间存在着范围广泛的关系(见附件 21.2-5)。Mariner's 航运公司使用了“Ocean Bangkok”的别名,并为与朝鲜远洋海运管理有限公司有关联的船舶进行了业务和财务交易(见第 191-194 段以及附件 21.11、47.1-5 和 47.7)。该公司还为至少四名其他朝鲜民主主义人民共和国国民提供了业务基地,他们包括 Ri 先生的配偶和上述朝鲜远洋海运管理有限公司曼谷分公司的三名前代表,即 Choi 先生、Ho 先生和 Won 先生(Ho 先生和 Won 先生持有外交护照)。在一个国际船舶协会的数据库中,Ri 先生也被列为 Mariner's 航运公司的联系人,而且他在“Mu Du Bong”号因环境损害而被扣押在墨西哥期间,一直使用该公司的银行账号和联系信息代表该船行事。该公司的电子邮件账户,haeun@ksc.th.com 和 mst001@ksc.th.com,已被至少八名朝鲜远洋海运管理有限公司雇员使用过(见附件 21.2)截至 2015 年 1 月 5 日,Ri 先生仍受雇于 Mariner's 航运公司,并使用该公司的电子邮件账户 mst001@ksc.th.com(见附件 21.3 和 21.12)有鉴于此,专家小组认为,

<sup>86</sup> 海事组织和关于亚洲—太平洋区域港口国管制的东京谅解备忘录数据库。

Mariner' s 航运公司至少在 2014 年 7 月 28 日以前一直为朝鲜远洋海运管理有限公司和 Ri 先生工作，而且在 2014 年 7 月 28 日之后协助 Ri 先生规避制裁。

140. 针对专家小组的问询，Ri 先生于 2015 年 1 月 5 日承认他以 Steven Lee 之名参与了“Mu Du Bong”号的运营，他说此举是应船东通过 Mariner' s 航运公司提出的请求作出的，以便于该船在 2014 年通过巴拿马运河（见附件 21.12）。然而，他否认自己是朝鲜远洋海运管理有限公司的海外代表。他声称向停靠泰国港口的朝鲜民主主义人民共和国商船和悬挂其他船旗的船舶“提供了协助”，并说“他不知道有对海洋海事管理有限公司的制裁”。Mariner' s 航运公司也于同一日回复了专家小组的问询。

141. 专家小组自 2014 年 8 月以来向 Mariner' s 航运公司发出了四封信，请其提供信息，说明其与朝鲜远洋海运管理有限公司和 Ri 先生的关系。该公司于 2015 年 1 月 5 日作出唯一的回复说，它完全由泰国国民拥有，泰国国民拥有 100% 的公司股票，因此，泰国的股东拥有全部决策权（见附件 21.13）。Mariner' s 航运公司指出，朝鲜远洋海运管理有限公司无权过问或控制其业务，Choi 先生、Ho 先生和 Won 先生是以前的雇员，其雇用合同已经终止。它进一步指出，“Mariner' s 航运贸易公司和我们全体雇员从未得知朝鲜远洋海运管理有限公司已于 2014 年 7 月 28 日被安全理事会指认，直到我们于 2014 年 8 月收到贵方的电子邮件。此外，请我们帮忙的是 Mudubong 航运有限公司，而不是朝鲜远洋海运管理有限公司”。尽管专家小组的一再明确要求，该信却没有提供任何信息，说明 Mariner' s 航运公司与 Ri 先生之间的关系。专家小组认为，Mariner' s 航运公司正共谋试图掩盖与 Ri 先生的关系。

142. 有鉴于此，专家小组认为，Ri 先生在 2014 年 7 月 28 日之前和之后一直为朝鲜远洋海运管理有限公司服务，而且 Mariner' s 航运公司在 2014 年 7 月 28 日之后协助 Ri 先生规避制裁。

图二十六  
“MuDuBong”号



来源：专家小组

中国、日本和马来西亚

143. 至少在过去七年里，设在中国并在马来西亚和日本有关系的两个实体，即朝鲜 Mirae 海运有限公司 (Korea Mirae Shipping Co. Ltd) 深圳代表处和 Mirae 海运公司 (香港) (Mirae Shipping (HK)) 一直在为朝鲜远洋海运管理有限公司服务，特别是与朝鲜远洋海运管理有限公司的海外代表、包括其大连办事处协调，为与朝鲜远洋海运管理有限公司有关联的船舶服务<sup>87</sup> (见附件 24)。Mirae 海运公司 (深圳) 是在中国注册为设在平壤的实体朝鲜 Mirae 海运有限公司的一个分支机构。Mirae 海运公司 (香港) 和 Mirae 海运公司 (深圳) 有一名设在马来西亚的代理，此人是朝鲜民主主义人民共和国国民，名为 Pak In Su 先生，受雇于一家马来西亚公司，即马来西亚煤炭和矿产公司 Sdn Bhd (见附件 25.78)，直到 2015 年 1 月 2 日被该公司解雇。

144. 专家小组获得的信息表明，平壤、香港和深圳的 Mirae 海运公司以及朝鲜远洋海运管理有限公司大连办事处均为朝鲜远洋海运管理有限公司服务 (见附件 25 和 26)。Mirae 海运公司 (平壤) 一直参与了朝鲜远洋海运管理有限公司所拥有或控制船舶的运营，其中包括 “MiRae” 号和 “RyongNam2” 号。平壤和深圳的 Mirae 海运公司与朝鲜远洋海运管理有限公司共享联系信息。

145. 针对专家小组的问询，Mirae 海运公司 (香港) 指出，它雇用朝鲜远洋海运管理有限公司提供的船员来操作该公司的 “Great Hope” 号船舶，但对朝鲜远洋海运管理有限公司的海外代表不知情 (见附件 25.9 和 25.10)。它还否认与 Mirae 海运公司 (深圳) 共享任何行政或业务职能。不过，专家小组掌握的情报显示，香港和深圳 Mirae 海运公司均与朝鲜远洋海运管理有限公司海外代表合作，并共享行政和 (或) 业务职能 (见附件 25.5-7)。

146. Mirae 海运公司 (香港) 还告知专家小组，它打算于 2014 年终止其与朝鲜远洋海运管理有限公司的关系，但以保密为由拒绝提供证明文件。专家小组无法查证 Mirae 海运公司 (香港) 的说法。

147. Mirae 海运公司 (香港) 指出，它除了为朝鲜远洋海运管理有限公司管理的船舶雇用后者提供的船员外，与这些船舶的船东没有任何联系或关系。不过，Mirae 海运公司 (香港) 董事，也就是一位名为 Hiroshi Kasatsugu 的日本国民，在第 1718 (2006) 号决议通过之前和之后，同与朝鲜远洋海运管理有限公司有关联的船舶之间保持着长期关系 (见附件 24、27 和 28)。

148. 专家小组认为，平壤、香港和深圳的 Mirae 海运公司已经、而且可能继续代表朝鲜远洋海运管理有限公司行事或按其指示行事。专家小组继续调查 2014 年 7 月 28 日之后它们与朝鲜远洋海运管理有限公司的关系。

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<sup>87</sup> 专家小组无法找到朝鲜远洋海运管理有限公司大连办事处的正式注册。

## 新加坡

149. 一家在新加坡注册的实体 Chinpo 海运有限公司 (Chinpo Shipping Company Pte Ltd) 在“清川江”号事件中参与了为朝鲜远洋海运管理有限公司进行的财务交易。根据专家小组提供的资料,新加坡当局对该实体提出了刑事指控。<sup>88</sup>由于新加坡的法律诉讼程序在继续进行之中,Chinpo 海运公司和朝鲜远洋海运管理有限公司的代表处于非活动状态。朝鲜远洋海运管理有限公司的最后一名代表 KimYuIl 先生(出生日期 1967 年 12 月 15 日,护照号码 381220516)已于 2014 年 2 月离开新加坡。

150. 然而,共用同一间办公室的另外三家在新加坡注册的公司,永昌洋行有限公司 (Senat Shipping & Trading Private Limited)、永昌船务有限公司 (SenatShipping Limited) 和永昌船务代理有限公司 (Senat Shipping Agency Pte. Ltd.) 也代表朝鲜远洋海运管理有限公司开展了广泛活动(见附件 29)。自 2003 年至 2013 年 7 月,这些公司广泛参与了朝鲜远洋海运管理有限公司关联船只的业务,尤其是为朝鲜远洋海运管理有限公司的财务交易(见第 191 至 193 段及附件 47.8-13 和 47.16)。专家小组要求永昌船运提供有关其与朝鲜远洋海运管理有限公司关系的资料,但尚未收到答复。<sup>89</sup>

## 巴西和秘鲁

151. 朝鲜远洋海运管理有限公司在巴西的海外代表经常被用于安排朝鲜远洋海运管理有限公司控制的船只通过巴拿马运河过境或访问该地区的港口(附件 30)。专家小组确定了两名朝鲜民主主义人民共和国国民,他们正式登记为外交官,但却担任朝鲜远洋海运管理有限公司代表直至 2012 年。专家小组继续调查朝鲜远洋海运管理有限公司是否在他们离开巴西后继续开展活动。

152. 一名朝鲜民主主义人民共和国国民 JuYongGun 先生(出生日期 1956 年 7 月 24 日;护照号码 563220083)至少于 1999 年至 2007 年期间担任朝鲜远洋海运管理有限公司在利马的代表,他与一家位于秘鲁的公司 OceanGroupS. A. 有关联,并在 2010 年之后担任朝鲜远洋海运管理有限公司驻巴西的代表(见附件 30.1-2)。JuYongGun 先生是一名登记的外交官,2010 年至 2012 年期间在朝鲜民主主义人民共和国驻巴西利亚使馆任一等秘书。在此期间,他广泛参与了朝鲜远洋海运管理有限公司控制的船只的业务。在担任朝鲜远洋海运管理有限公司驻巴西(朝鲜远洋海运管理有限公司巴西办事处)代表期间,Ju 先生使用的电话号码为+5511-2729-9571,属于当地一家航运公司。据秘鲁方面称,朝鲜远洋海运管理有限公司在该国没有登记。现有资料表明,直至 2007 年朝鲜远洋海运

<sup>88</sup> 新加坡外交部 2010 年 6 月 10 日发表的外交部-内政部回答媒体有关对在新加坡注册的公司 Chinpo Shipping Company (Private) Limited 提起的刑事诉讼的问题的联合书面声明见 [www.mfa.gov.sg/content/mfa/media\\_centre/press\\_room/pr/2014/201406/press20140610.html](http://www.mfa.gov.sg/content/mfa/media_centre/press_room/pr/2014/201406/press20140610.html)。另见 S/2014/147,附件二十二至二十四。

<sup>89</sup> 永昌的董事曾于 2011 年前往朝鲜民主主义人民共和国参加一个贸易博览会。

管理有限公司使用的名称为“OceanLima”，并与朝鲜民主人民共和国驻利马使馆合作(附件 30.3)。

153. 2013 年 10 月，Ju 先生作为朝鲜远洋海运管理有限公司销售和采购部经理出现在巴拿马，代表 ChongchongangShippingCo.Ltd. (清川江号船运有限公司) 处理有关解除“清川江”号货轮被扣押事宜(见附件 30.4-5)。专家小组三次致函 Ju 先生，要求他提供 2014 年 7 月 28 日以后与朝鲜远洋海运管理有限公司关系的资料，但尚未收到答复。他的电子邮件账户也已处于不活跃状态。

154. 为朝鲜远洋海运管理有限公司巴西办事处工作的另一名外交官，JongSangGyo 先生(出生日期 1966 年 2 月 18 日)驻在朝鲜民主主义人民共和国巴西大使馆，直至 2012 年 5 月(见附件 30.6-7)。第三名朝鲜民主主义人民共和国国民，ThaeYongRok 先生在圣保罗为朝鲜远洋海运管理有限公司巴西办事处工作。在他们于 2012 年正式离职后，没有迹象表明他们返回巴西，也没有任何迹象表明朝鲜远洋海运管理有限公司的代表之后在巴西出现。然而专家小组获得的文件将“海洋海事管理公司(巴西)”列为“清川江”号截至 2013 年 6 月-7 月的船东(见附件 30.8)。专家小组无法证实这一情报是否伪造。

#### 埃及

155. 专家小组获得的资料表明，朝鲜远洋海运管理有限公司的代表在 2011 年前曾被嵌入 Sunlight 代理公司(赛德港)，往来电函中使用“OceanEgypt”或“海洋海事管理公司(埃及)”等名称不过朝鲜远洋海运管理有限公司在埃及没有正式登记注册的分公司或办事处。<sup>90</sup> 这些人广泛参与朝鲜远洋海运管理有限公司控制船只的业务和后勤补给，包括便利它们通过苏伊士运河(见附件 31)。Sunlight 代理公司还曾经作为“东海(Tonghae)公司(赛德港)”的函件转发地址，后者是与朝鲜远洋海运管理有限公司有关的实体朝鲜东海(KoreaTonghae 或 TonghaeSonbak)的办事处。朝鲜东海曾经在朝鲜民主主义人民共和国驻开罗大使馆设有办公室(见附件 32)。

156. 朝鲜远洋海运管理有限公司埃及办事处的前代表包括朝鲜民主主义人民共和国国民 JongJaeSon 先生、KimSunGu 先生、OHwanRyong 先生、ChoeJinHa 先生和 JunRiKi 先生。专家小组没有发现任何信息表明朝鲜远洋海运管理有限公司埃及办事处在 2012 年以后继续活动。

157. 在回答专家小组的调查时，Sunlight 代理承认公司“在朝鲜远洋海运管理有限公司被安全理事会列名之前纯粹基于商业目的为朝鲜远洋海运管理有限公司运营的两艘货轮提供过海事服务”。该公司还表示“我公司与该客户(朝鲜远洋海运管理有限公司)之间的关系/联系已于 2011 年 7 月左右结束。”专家小组获得的补充资料显示，SunlightAgency 已于 2011 年 7 月左右结束了与朝鲜远

<sup>90</sup> 公司现任总裁为 Ragab el-Shennawy。

洋海运管理有限公司之间的业务往来。因欠债未还，Sunlight 的执照于 2014 年 6 月 10 日被吊销。

俄罗斯联邦联邦

158. 专家小组获得的情报表明，在海参崴代表朝鲜远洋海运管理有限公司的个人在 2013 年“清川江”号事件中发挥了关键作用。他们使用“朝鲜远洋海运管理有限公司俄罗斯联邦办事处”的名义开展业务，并使用至少两个电子邮件地址(oceanvld@gmail.com 和 oceanrep@fastmail.vladivostok.ru)向包括“清川江”号在内的朝鲜远洋海运管理有限公司控制的船只发布指示。“清川江”号船长于 2013 年 8 月 5 日告知巴拿马当局，该船的运营公司设在海参崴，其电话号码为 007-4232-748-369 和 007-4232-703-208(见 S/2014/147，附件二十六)。之前为“朝鲜远洋海运管理有限公司海参崴办事处”工作的朝鲜民主主义人民共和国国民包括 HanYongKyu(或 Gyu)。

159. 据俄罗斯联邦当局称，2010 年之前朝鲜远洋海运管理有限公司的官方登记地址为：43LugovayaStreet, Apartment39, Vladivostok，但 2010 年之后未在俄罗斯联邦运营(S/2014/147，附件三十五)。专家小组怀疑朝鲜远洋海运管理有限公司可能以化名或通过第三方运营。专家小组已要求俄罗斯联邦提供相关信息。

#### **其他为朝鲜远洋海运管理有限公司工作过的朝鲜民主主义人民共和国国民**

160. 截至 2014 年 1 月 8 日，ChoeCholHo 先生在一个国际海事法协会网站上被列为朝鲜远洋海运管理有限公司副总裁。<sup>91</sup> 专家小组认为，Choe 先生在 2014 年 7 月 28 日之前及以后一直代表朝鲜远洋海运管理有限公司工作。

161. 专家小组还拥有清川江号船运有限公司(ChongchongangShippingCo. Ltd.) 总裁和三位董事的资料(见附件 30.5 和 33.1)。2013 年 10 月，他们在巴拿马代表该公司进行谈判以释放该船。在 2014 年的最后报告中，专家小组指出该公司参与了决议所禁止的与该事件有关的活动(见 S/2014/147，附件六)。因此，专家小组认为该公司的总裁和董事也代表朝鲜远洋海运管理有限公司行事并违反了决议。他们的资料载于下文表 10：

<sup>91</sup> Comite Maritime International 的网站见 [www.comitemaritime.org/National-Maritime-Law-Associations/0,2713,11332,00.html#K](http://www.comitemaritime.org/National-Maritime-Law-Associations/0,2713,11332,00.html#K)，(2014 年 12 月 23 日检索)。

表 10

## 清川江号船运有限公司总裁和董事

| 姓名                | 隶属           | 护照号码      | 出生日期      | 联系方式                                                                     |
|-------------------|--------------|-----------|-----------|--------------------------------------------------------------------------|
| Kim Ryong Chol 先生 | 清川江号船运有限公司总裁 | 381420806 | 4/6/1963  | 电话: +850-2-18333<br>分机 98818<br>手机:+850-191-2796331<br>传真:+850-2-3812100 |
| Kim Yong Hak 先生   | 清川江号船运有限公司董事 | 563420271 | 23/1/1969 |                                                                          |
| Yun Chol 先生       | 清川江号船运有限公司董事 |           |           |                                                                          |
| Ri Yong Min 先生    | 清川江号船运有限公司董事 |           |           |                                                                          |

162. 专家小组还继续调查其他为朝鲜远洋海运管理有限公司工作的个人的身份(见附件 33)。

**朝鲜远洋海运管理有限公司**

163. 在海事组织的数据库中, 朝鲜远洋海运管理有限公司不再被列为朝鲜人民民主主义共和国主要的航运公司。另外两个朝鲜民主主义人民共和国注册的实体, HaejinShipManagementCo.Ltd. 和 YongjinShipManagementCo.Ltd. 已接管了朝鲜远洋海运管理有限公司关联船只的船舶登记船东、船舶管理者和经营者的角色。朝鲜民主主义人民共和国似乎不再将一个大型船队交给一家实体, 而且有迹象表明它正在越来越多地使用悬挂外国国旗的船只和外国控制的船只。

164. 专家小组继续调查朝鲜远洋海运管理有限公司与本节所列个人和实体之间的关系, 及其拥有和/或控制的船只。

**建议**

165. 根据获得的资料, 专家小组建议委员会更新列入 1718 制裁名单的朝鲜远洋海运管理有限公司的资料, 增加关于朝鲜远洋海运管理有限公司和朝鲜远洋海运管理有限公司控制的船只的资料(见第十一部分 A 节(专家小组向委员会提出的建议, 建议 2.1-3)中的增列信息摘要)。

166. 按照第 2087(2013)号决议第 12 段和第 2094(2013)号决议第 27 段, 专家小组建议委员会指认曾以朝鲜远洋海运管理有限公司名义或按其指示行事, 和/或协助其规避制裁或违反相关决议的实体和个人(见附件 34)。

167. 鉴于委员会已指认朝鲜远洋海运管理有限公司，专家小组建议委员会广泛公开下列信息(可作为题为“清川江号事件”的第5号协助实施通告的增编)。

(a) 委员会应澄清，船舶被列为第1718(2006)号决议第8(d)段和第2094(2013)号决议第8段和11段中提及的“资产”或“资源”。

(b) 表8(或图二十四)所列朝鲜远洋海运管理有限公司本身所拥有或控制，或以朝鲜远洋海运管理有限公司名义行事或按其指示行事协助规避制裁的实体所拥有或控制的全部14艘船舶均应受制于第1718(2006)号决议第8(d)段和第2094(2013)号决议第8段和11段施加的措施。

(c) 委员会将向会员国提供反洗钱金融行动任务组术语表(<http://www.fatf-gafi.org/pages/glossary/d-i/>)中关于“冻结”的解释以供参考，该术语在第2094(2013)号决议中提及的反洗钱金融行动任务组建议7中使用过。

(d) 为确保会员国遵守第2094(2013)号决议第19段，委员会将通过区域港口国管制机构、海事组织和其他有关各方通知所有会员国向委员会提供与委员会指认朝鲜远洋海运管理有限公司有关的、朝鲜民主主义人民共和国可能为规避制裁或违反决议规定目的向其他公司转让船只的信息。

(e) 委员会将提醒各会员国立即履行决议规定的义务。

## B. 朝鲜莲河机械合营公司

168. 专家小组继续调查朝鲜莲河机械合营公司(又名莲河机械公司、密林技术会社)<sup>92</sup>的活动，它是一家与军事有关的实体，于2013年1月被安全理事会指认。莲河也是朝鲜民主主义人民共和国主要的计算机数字控制(数控)机床制造商。<sup>93</sup>朝鲜民主主义人民共和国一直强调数控机床对其核计划和使用弹道导弹技术发射的重要意义。<sup>94</sup>

169. 莲河一直抵制联合国的制裁。朝鲜民主主义人民共和国多种在线出版物继续公开宣传莲河的产品。莲河还使用熙川莲河机械综合工厂(Huichon Ryonha General Machine Factory)(又名熙川莲河综合机械厂 Huichon Ryonha General Machinery Plant)的化名和新的联系方式(见附件36)。

170. 莲河还通过利用空壳公司和中介机构隐瞒其参与的交易继续保持在海外开展业务的能力。莲河一直依靠与朝鲜民主主义人民共和国有着长期的业务关

<sup>92</sup> 截至2012年，一名朝鲜民主主义人民共和国国民 So Min Chol 先生一直担任密林公司的高级管理职位(附件35)。

<sup>93</sup> 见 S/2013/337，第60至64、136至137段；S/2014/147，第147至151段。

<sup>94</sup> “Kim Jong Il and CNC (9)”，《今日朝鲜》，2014年1月8日。

系的个人。该实体的代理人熟练利用若干未被列入制裁名单的不同语言的化名。专家小组还对莲河通过规避制裁从外国公司获得高端数控机床以及相关技术和物品的能力感到关切。

#### **KORTEC 和高丽技术会社 (Koryo Technological Corporation)**

171. 之前，莲河曾化名高丽技术会社开展业务，向一家在俄罗斯联邦的公司 KORTEC 供应莲河生产的金属加工设备(见附件 37)。在 2013 年 12 月颁布俄罗斯总统令纳入第 2094(2013)号决议第 11 段内容之前，KORTEC 网站上在 2013 年 7 月 19 日的广告中至少有三种莲河生产的加工设备。(见附件 37.2)。截至 2014 年 10 月，类似机床还被列入一些商业网站，产品描述提及 KORTEC 和 Koryo 技术公司。

172. 在回答专家小组的询问时，俄罗斯联邦指出上述网上来源不可作为依据，KORTEC 与莲河的关系已在安全理事会指认该实体之后终止。专家小组查明且俄罗斯联邦确认，KORTEC 列在网站上的电话号码在 2014 年 12 月由一家销售屋门的公司使用(见附件 37.2)。<sup>95</sup> 专家小组迄今未能获得为莲河或 KORTEC 工作的个人或实体的资料。

173. KORTEC 还在其网站上广告了与至少六家数控机床制造商的业务关系，其中四家在中国台湾省，一家在西班牙，另一家在俄罗斯联邦(见附件 37.3-5)。这些外国公司的一些产品使用设在德国和日本的公司生产的数控机床计算机控制器。KORTEC 还广告了一款 MH-500 型数控机床，由中国台湾省的一家公司奕达精机股份有限公司(YIDAPrecisionMachineryCo.,Ltd.)提供(见附件 37.6)。2006 年，莲河违反地方出口管制条例从中国台湾省获得了 MH-500 型数控机床(见 S/2013/337 第 60 段和本报告附件 37.7)。专家小组正在调查莲河是否通过规避制裁获得了或能够获得类似的机床设备。

174. 专家小组已要求这些公司提供有关与莲河(又名 KORTEC)关系的资料。然而，只有一家中国台湾省的公司作出了回应。公司在其答复中指出，KORTEC 的一名雇员曾在中国台湾省 2012 年或 2013 年 3 月的一次机床设备展览中与其接触，但没有与 KORTEC 建立业务关系(见附件 37.8)。专家小组要求提供进一步信息，但尚未收到。

#### **密林的代理及相关公司**

175. 莲河使用一个中文名称“朝鲜密林技术会社”(chaoxianmilinjishu huishe)，从发音上与密林技术公司相符。它使用了至少两个代理和驻中国的三个办事处，其中两个登记在此化名下。它设在北京的代表处“朝鲜密林技术会

<sup>95</sup> KORTEC 的网站是 <http://kortec.s6-studio.ru/>，于 2015 年更新一项版权(© 2015 3AO «КОРТЭК»)，(2015 年 1 月 11 日检索)。

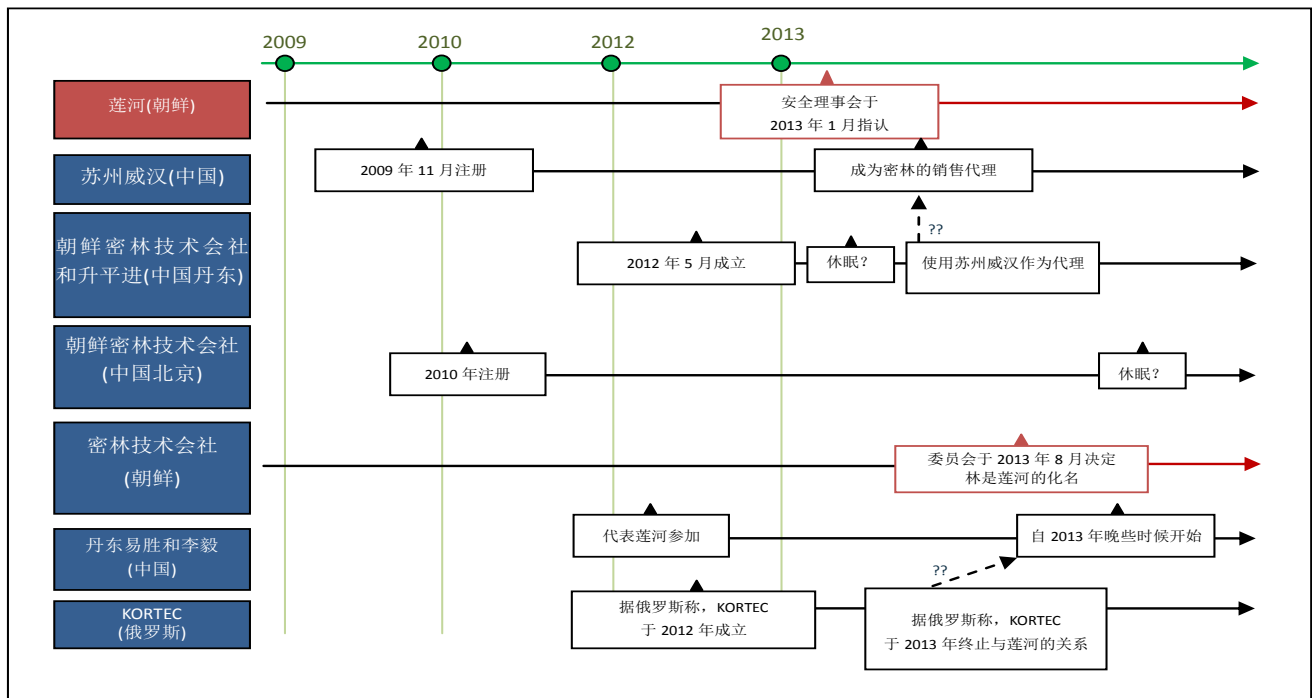
社北京代表处”于 2010 年 9 月注册，另一个设在丹东的办事处“朝鲜密林技术会社丹东代表处”于 2012 年 5 月注册(见附件 38)。密林北京办事处的法人代表被列为 YunIl 先生(或 YoonIl)(中文：尹日)，密林丹东办事处的代表被列为朝鲜民主主义人民共和国国民 SungPyongJin 先生(中文：升平进)。这两个办事处似乎都是空壳公司，注册地址都被其他与朝鲜民主主义人民共和国有关的实体使用。升先生担任莲河驻中国代表，并以新的化名参加了 2013 年丹东贸易博览会以规避制裁(见图二十九，S/2014/147 第 148 至 151 段和本报告附件 39)。他还使用了莲河在丹东办事处的地址，据报告该办事处基本没有工作人员。

176. 此外，莲河和升先生还使用了地方代理，Dandong Yisheng Trade Co.Ltd.(中文：丹东易胜商贸有限公司)，该公司与莲河丹东办事处位于同一街区(见附件 40)。丹东易胜及该公司的雇员 LiYi(李毅)先生担任了莲河的销售代理。

177. 在莲河参加 2013 年 10 月丹东贸易博览会被广泛报道之后，李先生采用“朝鲜机械贸易有限公司”(KoreaMachineryTradeCo.Ltd.)和“KORTEC”等公司别名以便促进销售 KORTEC 与莲河完全一样的机床设备(见附件 40.2-3)。KORTEC 的品牌似乎已从俄罗斯联邦转移给中国。

178. 莲河还使用了另一个当地代理，位于江苏省苏州的 SuzhouHanwei Shendiao CNCTechnologyCo.Ltd.(中文：苏州威汉数控科技有限公司)。在其网站上，该公司描述自己为“朝鲜民主主义人民共和国最大的军事技术公司密林技术公司的主要代理”并广告了莲河公司的机床设备(见附件 41)。该公司的 M12-300 和 M13-300 研磨机看起来与莲河的 RV-30 和 RF-30 机床非常类似。苏州威汉早在 2012 年 10 月就在其网站上发布了莲河的广告。该公司解释说，它们的合作并不涉及物品的交易。专家小组正在收集有关它们之间关系的进一步信息。

图二十七  
莲河相关实体组建时间表



## 建议

179. 为确保有效实施制裁，专家小组建议委员会更新 1718 制裁名单上有关莲河的信息，添加以下内容：

化名(又名):HuichonRyonhaGeneralMachineFactory(熙川莲河综合机械厂)

KORTEC KoryoTechnologicalCorporation(高丽技术会社)

KoreaMachineryTradeCo. Ltd.(朝鲜机械贸易有限公司)

朝鲜密林技术会社

电话： 850-2-18111-381-2100

电邮： ryonha@silibank.net.kp

180. 专家小组向委员会提出的指认建议载于本报告附件 34。

181. 莲河已知的机床设备列于本报告附件 42。专家小组建议所有会员国对任何涉及这些物品的交易保持警惕。

### C. 朝鲜青松联合会社

182. 2012 年 5 月 2 日，委员会指认朝鲜青松联合会社接受定向制裁(见 S/2012/287, 4(2)段)。制裁名单指出，该实体接手了委员会 2009 年 4 月指认的朝鲜矿业发展贸易公司的许多活动。

183. 专家小组注意到，中国官方企业注册列有一家朝鲜民主主义人民共和国实体“朝鲜青松联合会社北京代表处”(注册号 0012069)，该实体 2003 年 2 月在中国设立(见附件 43.1)。在委员会指认朝鲜青松联合会社后，该公司的经营执照于 2012 年 12 月 11 日被吊销。该实体前法定代表人包括朴元日先生和崔光赫先生。

184. 在数个网上商业来源中，也列有一个与“崔光赫”姓名相同的人，他至少是另外两家设在北京的公司的法定代表人(见附件 43.2-3)。专家小组继续调查朝鲜青松联合会社与这些实体的可能联系。

### D. 亿达(香港)国际

185. 安全理事会 2013 年 1 月指认一家设在香港的实体(亿达(香港)国际)，原因是该实体代表朝鲜矿业发展贸易公司协助货运。虽然亿达在香港公司注册处数据库中仍被列为“活跃”，但专家小组没有发现该公司 2013 年 1 月后活动的证据(见附件 44)。专家小组继续收集有关亿达及其董事蔡光先生(中国身份证号码：220104197201271530)的资料(见 S/2014/147, 第 159 段)。

186. 此外，专家小组注意到，在亿达的企业秘书公司中，有一家在中国香港注册的公司，即 Winning 国际咨询集团有限公司(见附件 45)。Winning 公司还担任其他公司的企业秘书，其中包括因违反奢侈品规定和“光明”轮事件受到专家小组调查的公司(S/2012/422, 第 51 段和 76-80 段；S/2013/337, 第 101-104 段和第 110-112 段；S/2014/147, 第 134-136 段)。在中国香港公司注册处列出的 Winning 公司董事是一名美国国民，但其所列地址不实。专家小组已请该公司提供资料，说明其与亿达(香港)国际的关系。

### E. 朝鲜矿业发展贸易公司和朝鲜檀君贸易公司

187. 美国财政部 2015 年 1 月 2 日指认了 10 名朝鲜民主主义人民共和国国民，其中 7 人被列为与朝鲜矿业发展贸易公司有关联，一人被列为与朝鲜 Ryungseng 贸易公司(据报告为另一被指认实体“朝鲜檀君贸易公司”的别名)有关联(见附件 46)。据报告其中大多数人曾被派驻海外，包括非洲、亚洲、东欧和中东。其中有一人金光春(Kim Kwang Chun)先生涉嫌参与不遵守弹道导弹相关物项规定的事件。专家小组对他们的活动正在进行调查。

## 九. 金融措施

188. 专家小组在本报告所述期间获得的金融信息揭示了朝鲜民主主义人民共和国的商业活动和银行做法。虽然没有收到会员国报告，说明朝鲜民主主义人民共和国企图规避对金融交易的限制，但专家小组开展的调查表明，该国继续使用多种规避手段，掩盖其参与合法与非法商业交易的情况。朝鲜民主主义人民共和国实体经常利用已有的国际金融渠道和外国中介，而且仍在可能情况下转移大笔现金。

189. 专家小组获得的信息显示，侦察总局官员在朝鲜民主主义人民共和国金融体系中发挥重要作用，包括在国外安排秘密金融活动并转移大笔现金。

190. 在专家小组调查的大部分案件中，交易来自外国银行，以美元进行，通过在美国的往来银行账户转账。在一些情况下，交易以欧元或当地货币进行。朝鲜民主主义人民共和国曾通过利用代其行事的其他实体启动交易，绕过银行组织的尽职调查程序。专家小组仍感关切的是，在银行监管或合规机构实效较低的国家，银行是否能够查出并预防涉及朝鲜民主主义人民共和国的非法转移。

### A. 专家小组的调查活动

191. 专家小组已获得朝鲜民主主义人民共和国在各国使用外国金融中介机构的证据，这些国家包括中国、马来西亚、新加坡和泰国。专家小组通过调查朝鲜远洋海运管理有限公司(第 125 至 164 段)，发现至少有三个中介机构(香港 Mirae 海运公司、泰国 Mariner' s 海运公司和新加坡永昌船务有限公司)长期代表朝鲜远洋海运管理有限公司总部或其在巴西、中国、俄罗斯联邦、新加坡和泰国的代表或有关联的个人进行财务交易(见附件 47)。有关莲河机械合营公司在制裁以前的财务事项的资料表明，该实体此前已使用“密林技术公司”的化名，并雇佣了一个同多家朝鲜民主主义人民共和国公司有长期关系的外国中介机构，这隐藏了该实体与这些财务交易的联系(见附件 48)。

192. 专家小组还获得证据，证明中介机构指示在朝鲜远洋海运管理有限公司相关财务交易中抹去船只名称，其中包括通过美国代理行的美元交易。Mariner' s 海运公司为代表朝鲜远洋海运管理有限公司相关船只(“鸭绿江”号和“木通风”号)做出的财务交易发出过这样的指示，永昌船务 2009 年 1 月在向“Ryong Gang 2”号船(当时的船东为一家朝鲜远洋海运管理有限公司关联实体“Taedonggang Sonbak 有限公司”)租船人开具发票时，也做出过这样的指示(见附件 47.1-14)。专家小组联系的金融机构确认，这样做是为了模糊财务交易的真实性质。

193. 朝鲜民主主义人民共和国把物流同船只管理的财务事项分开。这给尽职调查带来困难，并使该国能够保持外汇流通，而不是将外汇汇回国。就“清川

江”号而言，朝鲜远洋海运管理有限公司大连代表处安排从欧洲公司购买的备件在巴拿马交付，付款则通过新加坡 Chinpo 海运公司执行(见附件 47.15)。香港 Mirae 海运公司还支付了巴拿马运河通行费。新加坡永昌船务曾还被多次用来执行此类脱离关系的交易(见附件 47.1-14)。

194. 专家小组收到债权人提供的信息，他们试图追回朝鲜远洋海运管理有限公司的欠款。但船只所有权从整个船队逐渐变成单一公司，使债务同财务追索权被分割开。由于这样的分割，很难对可能不直接对欠款负责的船只执行留置权。一些债权人将重点放在巴拿马，因为它是船只往来的咽喉要道。

195. 朝鲜民主主义人民共和国还在购置用于被禁活动的外国商品时使用间接付款方法。例如，在“银河 3 号”火箭残块中，发现了 2006 年和 2010 年采购的两个压力变送器。这些变送器是朝鲜民主主义人民共和国一家公司朝鲜 Chonbok 贸易公司从华悦国际企业股份有限公司购置的，华悦则从一个欧洲国家采购。在 2006 年 12 月的交易中，买家姓名出现在发票上，但付款文件上没有买家姓名，而是列有一位在马来西亚的 Ryom Jong Chol 先生。在 2010 年付款中，另外两家公司(一家公司在台北，另一家在平壤)，而不是买方和卖方，参与了交易，它们在平壤举行的一次贸易展览会上完成了交易。华悦说，朝鲜 Chonbok 贸易公司告诉它，物品是为朝鲜民主主义人民共和国石油工业采购。华悦在 2014 年 12 月 18 日给专家小组的一封信中指出，它“没有预料到买方会这样使用变送器”。<sup>96</sup>

196. 专家小组建议会员国鼓励更加关注尽职调查，因为朝鲜民主主义人民共和国广泛利用幌子公司、中介和间接付款作为转移资金的手段。

## B. 情报机构在被禁活动相关资金流动中的作用

197. 专家小组对侦察总局官员在朝鲜民主主义人民共和国金融体系中的作用进行了调查。据会员国提供的信息，侦察总局是该国的主要情报机构，与军火交易和被指认实体朝鲜青松联合会有联系。<sup>97</sup>

198. 2014 年 2 月，三名朝鲜民主主义人民共和国国民在东南亚某机场被捕，原因是未申报携带的 450 000 美元现金，这些钱被怀疑是一次军火交易的收

<sup>96</sup> 华悦国际企业股份有限公司曾在 2008 年被中国台湾省的一家法院起诉，理由是向朝鲜民主主义人民共和国出口战略性高技术商品(见 S/2013/337，第 60 段)。

<sup>97</sup> 根据 1718 制裁名单，朝鲜青松联合会的“转交”地址是“平壤市兄弟山区侦察总局总部”。侦察总局是美国和欧盟指认的单方面制裁对象，并作为与扩散大规模毁灭性武器有关的实体被列入日本的“外国使用者名单”。另见美国财政部 2015 年 1 月 2 日新闻稿和 2010 年 8 月 30 日新闻稿、2011 年 12 月 20 日欧洲联盟委员会修订理事会关于对朝鲜民主主义人民共和国的限制性措施的 329/2007 号条例的第 1355/2011 号实施条例以及日本经济产业省“外国使用者名单”。专家小组一直在调查侦察总局可能与相关决议有关的活动，特别是其同朝鲜青松联合会以及军火和有关物资转让的关系。

益。专家小组证实这些人被拘留，并证实因根据会员国 A 的国内法律无法将其起诉，后来他们被释放。<sup>98</sup>

199. 这些人的旅行证件是朝鲜民主主义人民共和国公务护照，此类护照颁发给在大使馆或贸易代表办事处工作的外交官以外的政府官员。专家小组获悉，这些人是一个朝鲜民主主义人民共和国公司(X 公司)的代表，该公司设在与会员国 A 相邻的一个会员国，这些人称他们是按指示携带现金，并将交给平壤外交部。

200. 专家小组的信息显示，X 公司是侦察总局的一家幌子公司，其平壤分支机构从事军火贸易。与此同时，X 公司涉足多个商业领域，在多个国家有分支机构与合作伙伴，但公开来源信息没有明确显示其与朝鲜民主主义人民共和国有联系。

201. X 公司在会员国 A 的独立分支机构(Y 公司)向中东、东南亚和南亚出口军事通信设备。此外，Y 公司雇佣的一名朝鲜民主主义人民共和国国民可能与军事通信设备出口有联系。专家小组请相关会员国提供有关这一实体的信息。

### C. 利用国际组织

202. 2014 年 1 月 30 日，法国经济和财政部下令冻结两名与侦察总局有关联的朝鲜民主主义人民共和国国民(Kim Yong Nam 先生和 Kim Su Gwang 先生)的资产，以及一名与朝鲜联合发展银行(KUDB)有关联的人员(Kim Su Gyong 女士)的资产，理由是他们可能参与决议禁止的活动(表 11)。<sup>99</sup>

203. 在发布冻结令时，Kim Yong Nam 先生是一名侦察总局官员，以联合国教育、科学及文化组织(教科文组织)巴黎总部合同雇员身份为掩护开展活动。Kim Su Gwang 先生是一名侦察总局官员，以意大利罗马世界粮食计划署(粮食署)国际公务员职位为掩护开展活动。Kim Su Gyong 女士在平壤的朝鲜联合发展银行工作，并从事虚假金融活动以掩盖其国家的参与。这三人有亲属关系，都曾为侦察总局海外官员提供过支持。专家小组获得的有关这三人的补充资料汇总列于附件 49。

<sup>98</sup> 保密信息。

<sup>99</sup> 2014 年 2 月 4 日法兰西共和国第 0029 号政府公报“2014 年 1 月 30 日关于<货币金融法>第 L. 562-2 及随后各条适用的法令”，第 2016 页，可查询：

[www.legifrance.gouv.fr/affichTexte.do?](http://www.legifrance.gouv.fr/affichTexte.do?cidTexte=JORFTEXT000028556458&dateTexte=&categorieLien=id)

[cidTexte=JORFTEXT000028556458&dateTexte=&categorieLien=id](http://www.legifrance.gouv.fr/affichTexte.do?cidTexte=JORFTEXT000028556458&dateTexte=&categorieLien=id)。

表 11  
所涉个人

| 姓名                                                                            | 所属机构                                   | 出生地点 | 出生日期                                |
|-------------------------------------------------------------------------------|----------------------------------------|------|-------------------------------------|
| Kim Yong Nam 先生                                                               | 侦察总局                                   | 平壤   | 1947 年 12 月 2 日                     |
| Kim Su Gwang 先生<br>(又名 Kim Sou-gwang、Kim Su-kwang、Kim Su-kwang、Kim Son-kwang) | 侦察总局<br>(Kim Yong Nam 先生之子)            |      | 1976 年 8 月 18 日                     |
| Kim Su Gyong 女士<br>护照号码: 381120603                                            | 朝鲜联合发展银行国际关系司<br>司长(Kim Yong Nam 先生之女) | 平壤   | 1973 年 5 月 4 日<br>或 1973 年 1 月 16 日 |

#### D. 专家小组向会员国提供的援助

204. 在企图销售米格-21 飞机及部件一案中，蒙古独立反腐局发现，被指控人员仍欠朝鲜民主主义人民共和国 679 000 美元。朝鲜民主主义人民共和国要求归还这笔钱。专家小组 2014 年 3 月 3 日至 5 日访问蒙古时指出，会员国有义务依照第 2094 号决议执行金融措施。蒙古决定阻止向朝鲜民主主义人民共和国转移这笔资金。

#### E. 金融行动任务组

205. 金融行动任务组依然深感关切的是，朝鲜民主主义人民共和国未处理反洗钱和打击资助恐怖主义方面的重大缺陷，这对国际金融系统的完整性构成严重威胁。金融行动任务组 2014 年 2 月 14 日、6 月 27 日和 10 月 24 日再次将朝鲜民主主义人民共和国列入“公开名单”，并呼吁其成员采取有效对策，保护金融部门不受来自朝鲜民主主义人民共和国的洗钱和资助恐怖主义风险的影响。

206. 朝鲜民主主义人民共和国于 2014 年 7 月 22 日成为亚太反洗钱工作组观察员。该国从 2013 年 1 月开始与金融行动任务组直接接触，讨论其在反洗钱和打击资助恐怖主义方面的战略缺陷。通过交流信息和举办会议，以便制定一项行动计划来处理这些缺陷，互动协作在 2014 年得到加强。2014 年 10 月 24 日，金融行动任务组敦促朝鲜民主主义人民共和国对行动计划做出高级别政治承诺。1 月 16 日，该国反洗钱和打击资助恐怖主义问题国家协调委员会宣布了 1 月 15 日中央银行给金融行动任务组的信函，其中“朝鲜民主主义人民共和国承诺执行‘符合国际标准的’反洗钱和打击资助恐怖主义行动计划”。<sup>100</sup>迄今为止，朝鲜民主主义人民共和国没有做出

<sup>100</sup> “朝鲜民主主义人民共和国将履行其在反洗钱方面的承诺”，KCNA，2014 年 1 月 16 日。  
高级别政治承诺不足以撤销金融行动任务组就朝鲜民主主义人民共和国规定的对策。

高级别政治承诺。朝鲜民主主义人民共和国 2014 年 7 月 22 日成为亚太反洗钱工作组的观察员。

207. 专家小组继续与金融行动任务组密切合作，并与反洗钱金融行动任务组形式的区域组织开展外联，以促进并支持执行安全理事会根据《联合国宪章》第七章通过的定向金融制裁措施。

## 十. 制裁的意外影响

208. 鉴于难以调查制裁制度的这方面内容，专家小组通过在朝鲜民主主义人民共和国开展工作的人道主义组织、包括联合国各机构、基金和方案的报告监测局势。据估计，该国有 1 700 万人受到长期粮食安全无保障和缺乏营养多样性的影响。估计 700 万人需要获得清洁饮水和适当的卫生条件，600 万人需要获得基本保健服务。

209. 专家小组获知有关制裁加剧粮食短缺的指控，但小组评估没有发现任何决议禁令直接造成食品或其他人道主义援助短缺的事件。据报告，有会员国采取国家立法或私营部门采取程序步骤，禁止或延迟某些货物运到朝鲜民主主义人民共和国。有时很难把这些措施同联合国制裁区分开。专家小组将继续收集有关这一问题的信息。

210. 尽管各项决议强调，制裁措施无意对朝鲜民主主义人民共和国平民造成不利的人道主义后果，但决议没有为此目的制订禁运的豁免机制。因此，专家小组建议委员会向安全理事会提议制订禁运的豁免，条件是确认此类物项仅用于食品、农业、医疗或其他人道主义目的。<sup>101</sup>

211. 前些年，若干会员国向委员会报告，其在朝鲜民主主义人民共和国的外交使团在业务中遇到决议造成的困难。对此，委员会要求专家小组审查会员国及其外交使团提供的信息。依据专家小组 2013 年 5 月给委员会的评估文件，2014 年 6 月 26 日发布了题为“驻朝鲜民主主义人民共和国外交使团”的第 6 号执行援助通知。<sup>102</sup> 通知概述了各种类型和程度的业务困难，并提出建议，鼓励会员国在必要时报告。

<sup>101</sup> 见第 1737(2006)号决议第 9 段。

<sup>102</sup> 可查阅 [www.un.org/sc/committees/1718/pdf/implementation\\_assistance\\_notice\\_6\\_english.pdf](http://www.un.org/sc/committees/1718/pdf/implementation_assistance_notice_6_english.pdf)

## 十一. 建议

### A. 专家小组向委员会提出的建议

#### 建议 1

依照第 2087(2013)号决议第 12 段和第 2094(2013)号决议第 27 段，专家小组建议委员会指认为朝鲜远洋海运管理有限公司或莲河机械合营公司工作或代表或按其指示行事和(或)协助规避制裁或违反相关决议的个人和一个实体(见附件 34)。

#### 建议 2

专家小组建议委员会更新 1718(2006)制裁名单，增加下列与实体和个人有关的信息：

#### 1. 朝鲜远洋海运管理有限公司信息

别名(又称) East Sea Shipping Company  
 地址: Tonghung Dong, Central District, 朝鲜平壤  
 电话: 850-2-18111 ext. 381-8818-17;  
           +850-2-18111 Ext 8818  
 传真: 850-2-381-4567; +850-2-3814567  
 电子邮件: oceanmm@silibank.com;  
           oceanmm@silibank.net.kp;  
           wonyang@silibank.com;  
           eastseashipping@silibank.net.kp

#### 2. 朝鲜远洋海运管理有限公司实体

| 公司名称                                              | 海事组织编号  |
|---------------------------------------------------|---------|
| 1 鸭绿江航运有限公司 (Amnokgang Shipping Co.Ltd)           | 5459864 |
| 2 毕荣港航运有限公司 (Biryugang Shipping Co.Ltd)           | 5434313 |
| 3 Cholryong 航运有限公司 (Cholryong Shipping Co.Ltd)    | 5814870 |
| 4 清川江航运有限公司 (Chongchongang Shipping Co.Ltd)       | 5342883 |
| 5 Haejin 船舶管理有限公司 (Haejin Ship Management Co.Ltd) | 5814866 |
| 6 厚昌航运有限公司 (Huchang Shipping Co.Ltd)              | 5820255 |
| 7 熙川航运有限公司 (Huichon Shipping Co.Ltd)              | 5817812 |
| 8 黄金山航运有限公司 (Hwanggumsan Shipping Co.Ltd)         | 5701481 |
| 9 革新航运有限公司 (Hyoksin Shipping Co.Ltd)              | 5459966 |
| 10 蒋子江航运公司 (Jangjasan Shipping Co.Ltd)            | 5465593 |
| 11 Jangsan 航运有限公司 (Jangsan Shipping Co.Ltd)       | 5614045 |
| 12 Jihyesan 航运有限公司 (Jihyesan Shipping Co.Ltd)     | 5821426 |

| 公司名称                                                  | 海事组织编号  |
|-------------------------------------------------------|---------|
| 13 Jonjin 航运有限公司 (Jonjin Shipping Co.Ltd)             | 5571089 |
| 14 江界航运有限公司 (Kanggye Shipping Co.Ltd)                 | 5822804 |
| 15 Mudubong 航运有限公司 (Mudubong Shipping Co.Ltd)         | 5435991 |
| 16 Myongsan 海运有限公司 (Myongsan Marine Co.Ltd)           | 5814897 |
| 17 渔郎航运有限公司 (Orang Shipping Co.Ltd)                   | 5821443 |
| 18 Oun 航运有限公司 (Oun Shipping Co.Ltd)                   | 5459949 |
| 19 Phothae 航运有限公司 (Phothae Shipping Co.Ltd)           | 5614076 |
| 20 普通江航运有限公司 (Pothonggang Shipping Co.Ltd)            | 5459952 |
| 21 Pyongjin 船舶管理公司 (Pyongjin Ship Management Co.Ltd)  | 5817790 |
| 22 乐园航运有限公司 (Rakwon Shipping Co.Ltd)                  | 5459918 |
| 23 龙岗航运有限公司 (Ryonggang Shipping Co.Ltd)               | 5522315 |
| 24 Ryonggunbong 航运有限公司 (Ryonggunbong Shipping Co.Ltd) | 5481559 |
| 25 Ryongnam 航运有限公司 (Ryongnam Shipping Co.Ltd)         | 5571075 |
| 26 龙林航运有限公司 (Ryongrim Shipping Co.Ltd)                | 5817772 |
| 27 Sepho 航运有限公司 (Sepho Shipping Co.Ltd)               | 5821412 |
| 28 金策航运有限公司 (Songjin Shipping Co.Ltd)                 | 5821430 |
| 29 大同江 Sonbak 有限公司 (Taedonggang Sonbak Co.Ltd)        | 1845139 |
| 30 Taeryonggang 航运有限公司 (Taeryonggang Shipping Co.Ltd) | 5814906 |
| 31 端川航运有限公司 (Tanchon Shipping Co.Ltd)                 | 5817809 |
| 32 Tonghungsan 航运有限公司 (Tonghungsan Shipping Co.Ltd)   | 5826665 |
| 33 Yongjin 船舶管理有限公司 (Yongjin Ship Management Co.Ltd)  | 5814883 |
| 34 Yonphungho 航运有限公司 (Yonphungho Shipping Co.Ltd)     | 5522350 |

### 3. 朝鲜远洋海运管理有限公司个人

| 姓名                  | 职位                                           |
|---------------------|----------------------------------------------|
| 1 Choe Chol Ho 先生   | 朝鲜远洋海运管理有限公司副总裁                              |
| 2 Kim Ryong Chol 先生 | 清川江航运有限公司 (Chongchongang Shipping Co.Ltd) 总裁 |
| 3 Kim Yong Hak 先生   | 清川江航运有限公司 (Chongchongang                     |

|   | 姓名             | 职位                                           |
|---|----------------|----------------------------------------------|
|   |                | Shipping Co.Ltd) 董事                          |
| 4 | Ri Yong Min 先生 | 清川江航运有限公司 (Chongchongang Shipping Co.Ltd) 董事 |
| 5 | Yun Chol 先生    | 清川江航运有限公司 (Chongchongang Shipping Co.Ltd) 董事 |

#### 4. 原子能总局 (General Bureau of Atomic Energy)

别名(又称) 原子能工业省 (Ministry of Atomic Energy Industry)  
 地址: Haeun 2-Dong, Phyongchon District, 朝鲜平壤  
 电话: +850-2-181111  
 传真: +850-2-3814416  
 电子邮件: mhs-ip@star-co.net.kp

#### 5. 朝鲜空间技术委员会 (Korean Committee for Space Technology)

别名(又称) 国家宇宙开发局 (National Aerospace Development Administration)  
 其他信息 玄昆吉先生  
 杰出科学家, 国家宇宙开发局局长  
 郑东吉先生  
 国家宇宙开发局部门副司长  
 金仁哲先生  
 国家宇宙开发局副局长  
 尹张赫先生  
 国家宇宙开发局统合卫星控制和指挥中心副主任

#### 6. 莲河机械合营公司 (Ryonha Machinery Joint Venture Corporation)

别名(又称) Huichon Ryonha General Machine Factory  
 KORTEC  
 Koryo Technological Corporation  
 Korea Machinery Trade Co.Ltd.  
 朝鲜密林技术会社  
 电话: +850-2-18111-381-2100  
 电子邮件: ryonha@silibank.net.kp

#### 7. 第二自然科学学院 (Second Academy of Natural Sciences)

别名(又称) 国防科学院 (Academy of National Defence Science)

**建议 3**

鉴于委员会已指认朝鲜远洋海运管理有限公司，专家小组建议委员会广泛提供下列信息(可列入题为““清川江”号机动船事件”的第 5 号执行援助通知的增编)：

(a) 委员会应澄清，第 1718(2006)号决议第 8(d)段和第 2094(2013)号决议第 8 和 11 段提到的“资产”或“资源”包括船只；

(b) 表 8 (或图二十四) 列出 14 艘由朝鲜远洋海运管理有限公司或代表或按其指示行事以协助规避制裁的实体拥有和(或)控制的船只，所有这些船只应受第 1718(2006)号决议第 8(d)段和第 2094(2013)号决议第 8 和 11 段规定的措施的限制；

(c) 委员会向会员国提供金融行动任务组在术语表(<http://www.fatf-gafi.org/pages/glossary/d-i/>)中对“冻结”的解释，以供参考，该术语在第 2094(2013)号决议提到的金融行动任务组建议 7 中使用；

(d) 关于委员会对朝鲜远洋海运管理有限公司的指认，为确保会员国遵守第 2094(2013)号决议第 19 段，委员会通过所有区域港口国管制机构、海事组织和其他有关各方通知会员国，向委员会提交为规避制裁或违反相关决议规定把朝鲜民主主义人民共和国船只转让给其他公司的信息；

(e) 委员会提醒会员国立即履行决议规定的义务。

**建议 4**

专家小组建议委员会向安全理事会提议禁运的豁免，条件是此类物项被证实仅用于食品、农业、医药或其他人道主义目的。

**B. 专家小组向会员国提出的建议****建议 1**

专家小组建议会员国向委员会报告其掌握的有关为执行决议而采取的所有措施(包括资产冻结)的信息。

**建议 2**

专家小组建议会员国根据第 2094(2013)号决议第 22 段，按照第 4 号执行援助通知，对向朝鲜民主主义人民共和国出口压力开关、压力变送器、温度变送器和星形滚珠轴承开展尽职调查。

**建议 3**

莲河的已知车床列于附件 42。专家小组建议所有会员国在涉及这些物项的交易中保持警惕。

**建议 4**

专家小组建议会员国审查本国法律框架，确保遵守决议规定的全部措施，特别是资产冻结措施。

**建议 5**

专家小组建议会员国对朝鲜民主主义人民共和国外交人员可能违反制裁的商业活动提高警惕。

**建议 6**

专家小组再次呼吁会员国提供其掌握的不遵守决议措施的信息，以及有关被指认的实体和个人的补充资料，用各种语言说明他们使用的所有化名。

**建议 7**

专家小组建议会员国向各自金融机构传达有关由专家小组确认的参与被禁活动的个人和实体的信息，并鼓励在面对广泛利用幌子公司、中介和间接付款作为转移资金手段的情况下，更加关注尽职调查。

## Annex 1 Correspondence with Member States

| Country              | Number of letters sent | Responses received | No responses |
|----------------------|------------------------|--------------------|--------------|
| Angola               | 2                      |                    | 2            |
| Austria              | 2                      | 2                  |              |
| Burundi              | 1                      |                    | 1            |
| Brazil               | 3                      | 3                  |              |
| China                | 6                      | 6                  |              |
| Czech Republic       | 1                      | 1                  |              |
| Cyprus               | 1                      | 1                  |              |
| Denmark              | 1                      | 1                  |              |
| Dominica             | 1                      |                    | 1            |
| Egypt                | 4                      | 4                  |              |
| Ethiopia             | 1                      | 1                  |              |
| Estonia              | 1                      |                    | 1            |
| France               | 1                      | 1                  |              |
| Georgia              | 1                      | 1                  |              |
| Greece               | 1                      | 1                  |              |
| India                | 1                      | 1                  |              |
| Japan                | 2                      | 2                  |              |
| Kazakhstan           | 1                      | 1                  |              |
| Malaysia             | 4                      | 4                  |              |
| Mexico               | 4                      | 4                  |              |
| Mongolia             | 1                      | 1                  |              |
| Montenegro           | 1                      | 1                  |              |
| Myanmar              | 1                      |                    | 1            |
| Panama               | 4                      | 1                  | 3            |
| Peru                 | 1                      | 1                  |              |
| Republic of Korea    | 4                      | 4                  |              |
| Russia               | 4                      | 4                  |              |
| Singapore            | 2                      | 2                  |              |
| Tanzania             | 1                      |                    | 1            |
| Thailand             | 5                      | 5                  |              |
| Uganda               | 1                      | 1                  |              |
| Ukraine              | 1                      | 1                  |              |
| United Arab Emirates | 3                      |                    | 3            |
| United Kingdom       | 1                      |                    | 1            |
| United States        | 2                      | 1                  | 1            |
| Viet Nam             | 2                      | 2                  |              |
| Yemen                | 1                      |                    | 1            |
| <b>TOTAL</b>         | <b>72</b>              | <b>56</b>          | <b>17</b>    |

Source: The Panel

## Annex 2 – Member States to submit national implementation report

### Africa

1. Angola
2. Benin
3. Botswana
4. Burundi
5. Cameroon
6. Cape Verde
7. Central African Republic
8. Chad
9. Comoros
10. Congo
11. Côte D'Ivoire
12. Democratic Republic of the Congo
13. Djibouti
14. Equatorial Guinea
15. Eritrea
16. Ethiopia
17. Gabon
18. Gambia
19. Ghana
20. Guinea
21. Guinea Bissau
22. Kenya
23. Lesotho
24. Liberia
25. Libya
26. Madagascar
27. Malawi
28. Mali
29. Mauritania
30. Mauritius
31. Mozambique
32. Namibia
33. Niger
34. Rwanda
35. Sao Tome and Principe
36. Senegal
37. Seychelles
38. Sierra Leone
39. Somalia
40. South Sudan
41. Sudan
42. Swaziland
43. Togo
44. Tunisia
45. Tanzania
46. Zambia
47. Zimbabwe

### Americas

48. Antigua and Barbuda
49. Bahamas
50. Barbados
51. Belize

52. Bolivia
53. Costa Rica
54. Dominica
55. El Salvador
56. Grenada
57. Haiti
58. Honduras
59. Jamaica
60. Nicaragua
61. Paraguay
62. Saint Kitts and Nevis
63. Saint Lucia
64. Saint Vincent and the Grenadines
65. Suriname
66. Trinidad and Tobago
67. Uruguay
68. Venezuela

### Asia

69. Afghanistan
70. Bangladesh
71. Bhutan
72. Cambodia
73. Iran
74. Iraq
75. Malaysia
76. Myanmar
77. Nepal
78. Oman
79. Syria
80. Tajikistan
81. Timor-Leste
82. Yemen

### Europe

83. Bosnia and Herzegovina

### Oceania

84. Fiji
85. Kiribati
86. Micronesia
87. Nauru
88. Palau
89. Papua New Guinea
90. Samoa
91. Solomon Islands
92. Tonga
93. Tuvalu
94. Vanuatu

## Annex 3 – Yongbyon Nuclear Complex

### 3.1 Overview



Map No. 4538.1  
November 2014

Department of Field Support  
Cartographic Section

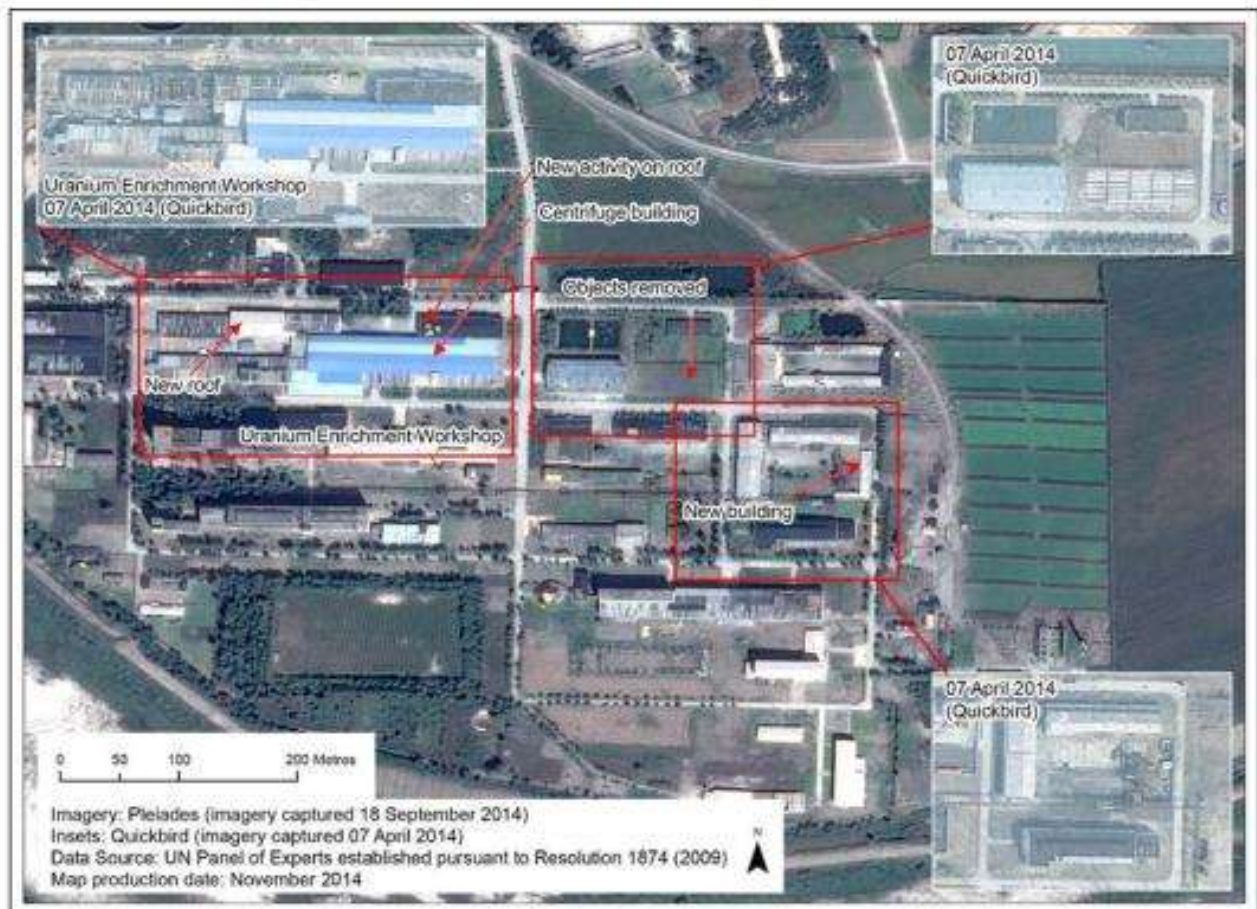
### 3.2 The light water reactor and the 5 MWe reactor



Map No. 4538.2  
December 2014

Department of Field Support  
Cartographic Section

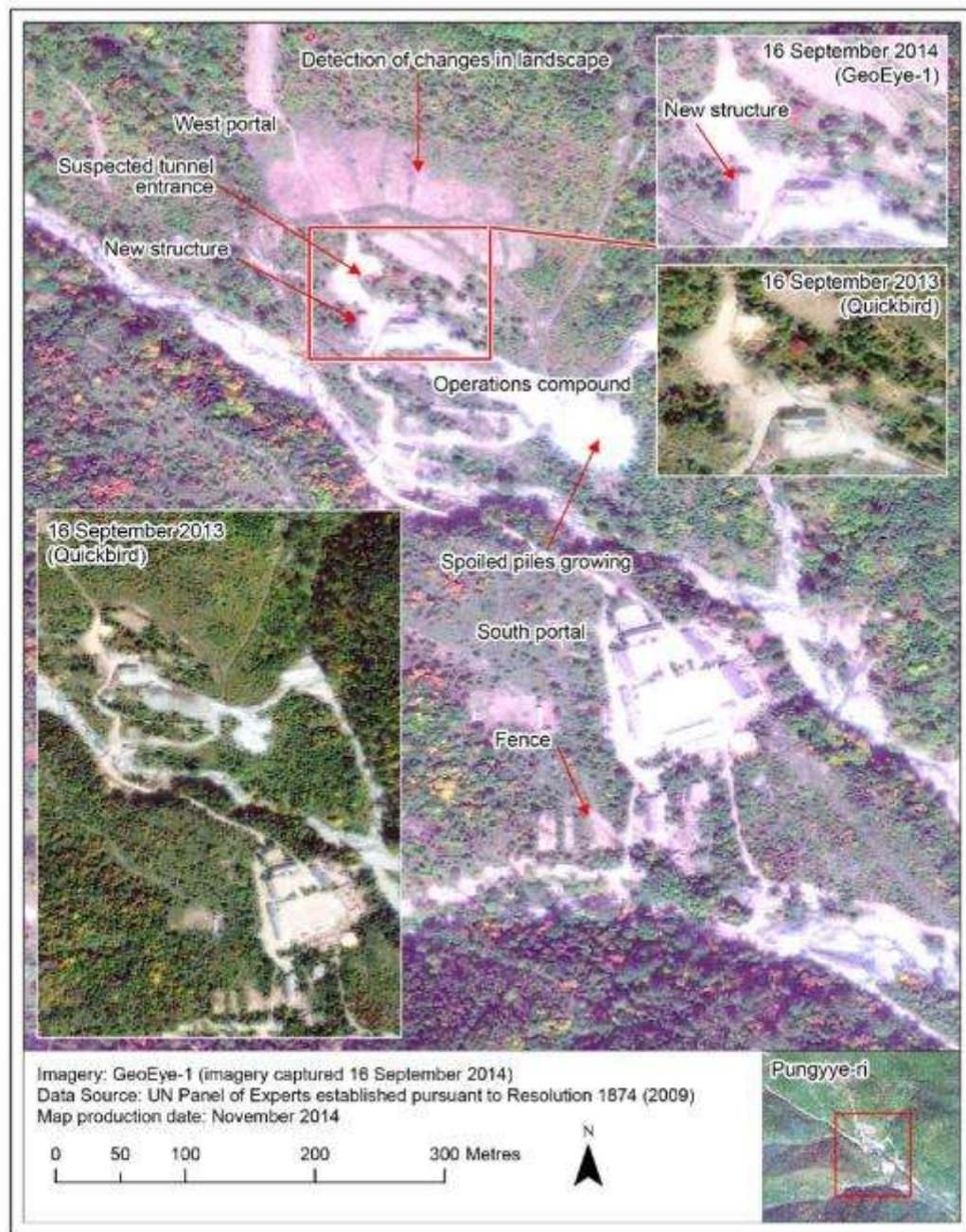
### 3.3. Fuel fabrication plant (uranium enrichment workshop)



Map No. 4538.3  
November 2014

Department of Field Support  
Cartographic Section

## Annex 4– Punggye-ri nuclear test site



Map No. 4538.7  
 November 2014

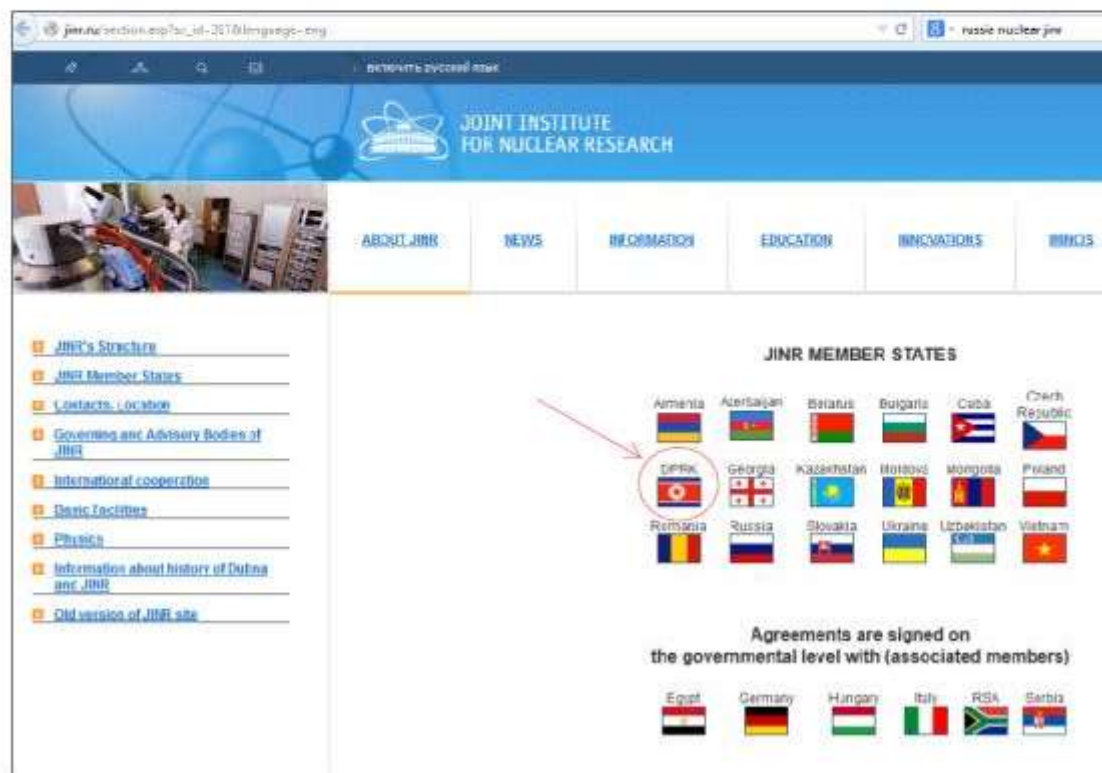
Department of Field Support  
 Cartographic Section

## Annex 5 – Joint Institute for Nuclear Research

### 5.1. Extracts from JINR's website

The **Joint Institute for Nuclear Research** is an international intergovernmental scientific research organisation established through the Convention signed on 26 March 1956 by eleven founding States and registered with the United Nations on 1 February 1957. It is situated in Dubna not far from Moscow in the Russian Federation.

The Institute was established with the aim of uniting the efforts, scientific and material potentials of its Member States for investigations of the fundamental properties of matter. At present, the Institute has 18 Member States: Armenia, Azerbaijan, Belarus, Bulgaria, Cuba, the Czech Republic, Georgia, Kazakhstan, **Democratic People's Republic of Korea**, Moldova, Mongolia, Poland, Romania, the Russian Federation, the Slovak Republic, Ukraine, Uzbekistan and Vietnam. Agreements are signed on the governmental level with Egypt, Germany, Hungary, Italy, Serbia and the Republic of South Africa.



Source: [http://jinr.ru/section.asp?sd\\_id=317&language=eng](http://jinr.ru/section.asp?sd_id=317&language=eng)

## 5.2. Democratic People's Republic of Korea key participants

### GOVERNING AND ADVISORY BODIES OF THE JOINT INSTITUTE FOR NUCLEAR RESEARCH

#### COMMITTEE OF PLENIPOTENTIARIES OF THE GOVERNMENTS OF THE JINR MEMBER STATES

|                                |                     |                               |                 |
|--------------------------------|---------------------|-------------------------------|-----------------|
| Republic of Armenia            | – S. Harutyunyan    | Republic of Moldova           | – I. Tighineanu |
| Republic of Azerbaijan         | – N. Mamedov        | Mongolia                      | – S. Davaa      |
| Republic of Belarus            | – I. Vojtov         | Republic of Poland            | – M. Waligórski |
| Republic of Bulgaria           | – L. Kostov         | Romania                       | – N.-V. Zamfir  |
| Republic of Cuba               | – F. C. Diaz-Balart | Russian Federation            | – D. Livanov    |
| Czech Republic                 | – R. Mach           | Slovak Republic               | – S. Dubnička   |
| Georgia                        | – A. Khvedelidze    | Ukraine                       | – B. Grynyov    |
| Republic of Kazakhstan         | – K. Kadyrzhanov    | Republic of Uzbekistan        | – Not appointed |
| <b>D. P. Republic of Korea</b> | <b>– U Je Sen</b>   | Socialist Republic of Vietnam | – Le Hong Khiem |

#### SCIENTIFIC COUNCIL

Chairman: V. Matveev

Co-Chairman: M. Waligórski (Republic of Poland)

Scientific Secretary: N. Russakovich

|                     |                                                |                  |                  |
|---------------------|------------------------------------------------|------------------|------------------|
| O. Abidinov         | – Azerbaijan                                   | D. Nagy          | – Hungary        |
| T. Baatar           | – Mongolia                                     | Nguyen Manh Shat | – Vietnam        |
| C. Borcea           | – Romania                                      | I. Padrón Diaz   | – Cuba           |
| M. Budzyński        | – Poland                                       | G. Piragino      | – Italy          |
| L. Cifarelli        | – Italy                                        | G. Poghosyan     | – Armenia        |
| A. Dubničková       | – Slovakia                                     | S. Pospíšil      | – Czech Republic |
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| P. Fré              | – Italy                                        | E. Rabinovici    | – Israel         |
| S. Galès            | – France                                       | V. Rubakov       | – Russia         |
| N. Giokaris         | – Greece                                       | K. Rusek         | – Poland         |
| B. Grynyov          | – Ukraine                                      | B. Sharkov       | – Russia         |
| A. Harrison         | – UK                                           | N. Shumeiko      | – Belarus        |
| M. Hnatič           | – Slovakia                                     | A. Skrinsky      | – Russia         |
| P. Jenni            | – Switzerland                                  | P. Spillantini   | – Italy          |
| M. Ježabek          | – Poland                                       | M. Spiro         | – France         |
| V. Kadyshevsky      | – Russia                                       | H. Stöcker       | – Germany        |
| E. Kenzhin          | – Russia                                       | Ch. Stoyanov     | – Bulgaria       |
| G. Khuukhenkhuu     | – Mongolia                                     | Gh. Stratan      | – Romania        |
| S. Kilin            | – Belarus                                      | V. Strazhev      | – Belarus        |
| <b>Kim Son Hyok</b> | <b>– Democratic People's Republic of Korea</b> | N. Tonchev       | – Bulgaria       |
| M. Kovalchuk        | – Russia                                       | Tran Duc Thiep   | – Vietnam        |
| G. Kulipanov        | – Russia                                       | M. Waligórski    | – Poland         |
| V. Matveev          | – Russia                                       | I. Wilhelm       | – Czech Republic |
| J. Mnich            | – Germany                                      | A. Zagorodny     | – Ukraine        |
|                     |                                                | G. Zinovjev      | – Ukraine        |

Source: The Institute's 2013 annual report, page 14, available from [www1.jinr.ru/Reports/Otchet\\_2013/Otchet\\_2013\\_e\\_site.pdf](http://www1.jinr.ru/Reports/Otchet_2013/Otchet_2013_e_site.pdf).

Mr. Li Je Sen's name in Russian is listed on the Institute's website as "Ли Че Сон".

| In Russian                                                                |                                  | In English                                                                     |                             |
|---------------------------------------------------------------------------|----------------------------------|--------------------------------------------------------------------------------|-----------------------------|
| JOINT INSTITUTE FOR NUCLEAR RESEARCH                                      |                                  | JOINT INSTITUTE FOR NUCLEAR RESEARCH                                           |                             |
| НОВОСТИ                                                                   | ИНФОРМАЦИЯ                       | NEWS                                                                           | INFORMATION                 |
| ОБРАЗОВАНИЕ                                                               |                                  | EDUCATION                                                                      |                             |
| КОМИТЕТ ПОЛНОМОЧНЫХ ПРЕДСТАВИТЕЛЕЙ<br>правительств государств-членов ОИЯИ |                                  | COMMITTEE OF PLENIPOTENTIARIES<br>of the Governments of the JINR Member States |                             |
| Азербайджанская Республика                                                | Назим Тимур-оглы<br>Мамедов      | Republic of Armenia                                                            | Samvel Harutyunyan          |
| Республика Армения                                                        | Самвел Гарникович<br>Арутюнян    | Republic of Azerbaijan                                                         | Nazim Mamedov               |
| Республика Беларусь                                                       | Александр Геннадьевич<br>Шумилин | Republic of Belarus                                                            | Alexander Shumilin          |
| Республика Болгария                                                       | Лачезар Костов                   | Republic of Bulgaria                                                           | Latchesar Kostov            |
| Социалистическая Республика Вьетнам                                       | Ле Хонг Кхьем                    | Republic of Cuba                                                               | Fidel Castro<br>Diaz-Balart |
| Грузия                                                                    | Арсен Хведелидзе                 | Czech Republic                                                                 | Jan Dobeš                   |
| Республика Казахстан                                                      | Кайрат Камалович<br>Кадыржанов   | Georgia                                                                        | Arsen Khvedelidze           |
| Корейская Народно-Демократическая<br>Республика                           | Ли Че Сон                        | Republic of Kazakhstan                                                         | Kairat Kadyrzhanov          |
|                                                                           |                                  | Democratic People's Republic of<br>Korea                                       | Li Je Sen                   |

Source: The Institute's website available from [http://wwwnew.jinr.ru/section.asp?sd\\_id=135&language=rus](http://wwwnew.jinr.ru/section.asp?sd_id=135&language=rus)

According to the Institute's Annual Reports, Mr. Li Je Sen has been listed in this position since 1998 ([http://www1.jinr.ru/Reports/Reports\\_eng\\_arh.html](http://www1.jinr.ru/Reports/Reports_eng_arh.html)).

The Institute's 2009 Annual Report provided the Democratic People's Republic of Korea representative's English name as "Ri Je Son".

| GOVERNING AND ADVISORY BODIES OF THE JOINT INSTITUTE FOR NUCLEAR RESEARCH |                         |                 |                 |
|---------------------------------------------------------------------------|-------------------------|-----------------|-----------------|
| COMMITTEE OF PLENIPOTENTIARIES OF THE JINR MEMBER STATES                  |                         |                 |                 |
| Armenia                                                                   | S. Arutyunyan           | Moldova         | I. Tigheanu     |
| Azerbaijan                                                                | M. Kerimov              | Mongolia        | S. Enkhbat      |
| Belarus                                                                   | V. I. Noshkin           | Poland          | Z. Popowicz     |
| Bulgaria                                                                  | S. Tsochev              | Romania         | N. V. Zamfir    |
| Cuba                                                                      | J. L. Fernandez Chameri | Russia          | A. A. Fursov    |
| Czech Republic                                                            | B. Mach                 | Slovak Republic | S. Dubnicka     |
| Georgia                                                                   | A. N. Tavkelidze        | Ukraine         | V. S. Stogin    |
| Kazakhstan                                                                | E. K. Kadyrhanov        | Uzbekistan      | U. S. Solihbaev |
| D. P. Republic of Korea                                                   | Ri Je Son               | Vietnam         | Nguyen Van Hieu |

Source: Joint Institute for Nuclear Research's 2009 Annual Report, p. 14 available from [http://www1.jinr.ru/Reports/2009/english/01b\\_activ\\_e.pdf](http://www1.jinr.ru/Reports/2009/english/01b_activ_e.pdf)

Mr. Ri Je-son, the DPRK's Minister of Atomic Energy Industry, was designated by the 1718 Committee on 16 July 2009. According to the List established and maintained by the 1718 Committee (Russian language version), his name is spelled in Russian as "ЛИ ЧЭ СОН". This name is identical to Mr. Li Je Sen's name in Russian.



- O Kum Chol is listed as one of the staff members affiliated with the ion-implementation nanotechnology and radiation materials science sector of Flerov Laboratory's Scientific and Experimental Physical Department. This individual's nationality is listed as the Democratic People's Republic of Korea.

**FLEROV LABORATORY of NUCLEAR REACTIONS**  
Founded on May 20, 1957

**People at the FLNR**

**O Kum Chol**  
Phone: 83545  
Position: Senior Research Scientist  
Degree: PhD  
Sector or Group: Sector NI  
Ion-implementation nanotechnology and radiation materials science

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**FLEROV LABORATORY of NUCLEAR REACTIONS**  
Founded on May 20, 1957

Ion-implementation nanotechnology and radiation materials science

Staff members

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| <b>O Kum Chol</b>            | 6 35 45 | okum@flnr.jinr.ru  |
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Source: Flerov Laboratory's website available from [http://flerovlab.jinr.ru/flnr/staff\\_list.php](http://flerovlab.jinr.ru/flnr/staff_list.php), [http://flerovlab.jinr.ru/flnr/ion\\_staff.html](http://flerovlab.jinr.ru/flnr/ion_staff.html)

- Ryu Pyong-sik is listed as one of the staff members affiliated with the Chemistry of Transactinides sector of Flerov Laboratory's Scientific and Experimental Physical Department. This individual's nationality is listed as the Democratic People's Republic of Korea.

**FLEROV LABORATORY of NUCLEAR REACTIONS**  
Founded on May 20, 1957

**People at the FLNR**

**Pyong-Sik Ryu**  
Phone: 83453  
Position: Senior Research Scientist  
Degree: Candidate of Sciences  
Sector or Group: Sector NC  
Chemistry of transactinides

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**FLEROV LABORATORY of NUCLEAR REACTIONS**  
Founded on May 20, 1957

Chemistry of transactinides

Staff members

| Name                            | Sex     | email                          |
|---------------------------------|---------|--------------------------------|
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| <b>RYU Pyong-Sik</b>            | 6 34 53 | ryu@flnr.jinr.ru               |
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| SONG Ilseon                     | 6 42 05 | song@flnr.jinr.ru              |
| TERESHATOV Evgeniy Evgenievich  | 6 09 70 | evgeny.tereshatov@flnr.jinr.ru |
| YORONIN Marina Gennadiyevna     | 6 27 14 | yoron@flnr.jinr.ru             |

**ПИН** Персональная информация о сотрудниках ОЯЯИ

Войти в систему

Фамилия:

**Структура Института**

- Дирекция
- Руководство
- Лаборатории
  - ЛФВЗ
  - ЛФП
  - ЛТФ
  - ЛНФ
  - ЛФР
  - Физ-отд. ОЯЯИ

**Pyong Sik**

Общие данные

Образование: Высшее образование  
Ученая степень: Кандидат наук

Должности: - Лаборатория ядерных реакций, сектор № 3 - химия трансактиноидов, старший научный сотрудник

Source: Flerov Laboratory's website available from [http://flerovlab.jinr.ru/flnr/staff\\_list.php](http://flerovlab.jinr.ru/flnr/staff_list.php), <https://pin.jinr.ru/pin/pin>, [http://flerovlab.jinr.ru/flnr/rchl\\_staff.html](http://flerovlab.jinr.ru/flnr/rchl_staff.html)

## Annex 6 – Sohae launch center

### 6.1. Sohae launch site



Map No. 4538.4  
 November 2014

Department of Field Support  
 Cartographic Section

## 6.2. Sohae new domed and assembly buildings



Map No. 4538.8  
 December 2014

Department of Field Support  
 Cartographic Section

### 6.3. Sohae gantry tower



## Annex 7 – National Aerospace Development Administration

### 7.1. The Democratic People's Republic of Korea publications on National Aerospace Development Administration (NADA)



Mark of the DPRK National Aerospace Development Administration

# Aerospace Exploration in the DPRK

The DPRK, a manufacturer and launcher of artificial earth satellites, is fully exercising its legitimate and peaceful rights to explore space and making headway towards applying the cutting-edge technology in this field.

It succeeded in launching its first earth satellite Kwangmyongsong-1 on August 31, Juche 87 (1998), and Kwangmyongsong-2 in April Juche 98 (2008).

After successful launches of the two trial satellites, the scientists and technicians of the DPRK pushed forward with the development of applications satellite. The project was not all plain sailing, as the field of space exploration was a synthesis of advances in cutting-edge science and technology and, moreover, the imperialists and reactionaries of the world resorted more viciously to obstructive manoeuvres against the DPRK.

However, the scientists and technicians of the DPRK were fully determined to translate the wish of President Kim Il Sung and Chairman Kim Jong Il to conquer outer space: the great leaders had already provided a firm springboard for radically developing the country's space science and technology by advancing far-reaching plans for space exploration, unfolded a bright blueprint for building the country into a space power and consolidated inexhaustible potential of the Juche-based industry by dint of Soangun. With such a determination, space scientists and technicians banded themselves for the project and thus laid out material foundations for launching and controlling satellites.

When they were suffering the agony of the failure in launching an earth satellite, supreme leader Kim Jong Un encouraged them, saying they must not lose courage, and as men grows up having food, science develops further after failures. So they redoubled their efforts for another try, finally resolved to carry out their leader's plan without fail.

On December 12, Juche 101 (2012), the launch vehicle Unha-3 loaded with the artificial satellite Kwangmyongsong 3-2, a solar synchronous, polar-orbiting satellite, blasted off at the Sohae Launching Site in Cholsan County, North Phyeongan Province. Though it was a cold and snowy winter day unfavourable for satellite launch, the launch vehicle carried the satellite on a deliberately curved trajectory in regard of the sovereignty of neighbouring countries and the international laws and thus placed the satellite into its planned orbit at 9 minutes 27 seconds after take-off.

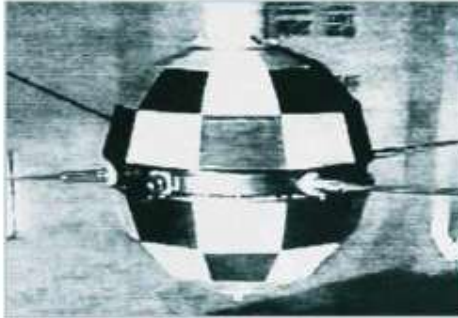
Artificial earth satellites of the DPRK are domestic product in its entirety ranging from the design, manufacture, assembly and launch to the monitoring after take-off. By doing so, the DPRK has fully demonstrated its cutting-edge level in space exploration technology for peaceful purpose.

As its space science and technology make rapid progress, the DPRK government has established the National Aerospace Development Administration to guide and administrate all aerospace activities in a unified way and passed the Law on Space Exploration, giving spur to space development.

Article: Choe Kwang Hyok  
Photo: By courtesy of the KCNA



Launch vehicle Unha-3 loaded with Kwangmyongsong 3-2, a solar-synchronous, polar-orbiting satellite, blasted off on December 12, Juche 101 (2012)



Kwangmyongsong 1, first artificial satellite of the DPRK, was launched on August 31, Juche 87 (1998)



Source: Democratic People's Republic of KOREA, No. 702, Vol. 6, 2014.



**T**HE HISTORY OF SPACE development is not so long in the Democratic People's Republic of Korea.

After the successful launching of Kwangmyongsong 1, the first artificial earth satellite of the country, in August 1998, Kwangmyongsong 3-2 went into orbit, 9 minutes 27 seconds after the blast-off, in December 2012. The satellite project is based on the DPRK's home resources, ranging from their design to manufacture, assembly, launch and post-launch observation. Now the Korean people are the master of an independent country working for space development.

In April last year the Seventh Session of the 12<sup>th</sup> Supreme People's Assembly of the DPRK passed the DPRK Law on Space Development and adopted an ordinance and a resolution on organizing the National Aero-space Development Administration of the DPRK. The law stipulates the aim and principle of space development, and the position and duty of the NADA. The DPRK's aim of space development is to protect the interest of the state and solve necessary sci-tech problems arising in the economic construction and the life of the people by using space science

## Space Development for Peaceful Purposes

and technology. The principle is to develop space for out-and-out peaceful purposes while thoroughly maintaining the Juche-oriented and independent stand. The law specifies that the NADA organizes a unified guidance on space development, represents the state in the field of space development, draws up the country's general space development and activity programme, supervises and controls the implementation while cooperating and exchanging with international organizations and space institutions of other countries. It also clarifies that the success gained from space development technology and space activity should be used for no other purposes than the country's interest and economic development and the improvement of the people's living standards, and legally guarantees all the principled matters in space activity ranging from notification of objects to be launched into space and responsibility for its safety to the investigation of accident and rescue and compensation for damages. Along with this, it legally affirms the DPRK's external standpoint that it cooperates with international organizations and other countries in the field of space development on the principle of equality, mutual benefit and mutual security, respects relevant international laws and regulations on development and use of space and opposes the selection and

application of double standards in space activity and military activity in space. With the proclamation of the legal measures on organizing the NADA and adopting space development as a state programme, the DPRK can exercise the legitimate right of space power.

On the initiative of and detailed instructions of the supreme leader Kim Jong Un the emblem of the DPRK NADA was instituted. It reflects the character, mission, position and the prospect of the organization. The "DPRK" and "NADA" in the centre of the emblem symbolize the position of the NADA which administers the country's space development in a unified way. The dark blue background mirrors the DPRK's peaceful character of space development. The light blue belts of satellite trajectories representing polar and equatorial orbits show the country's ambition to put satellites into all orbits. As a whole, the emblem reflects the Korean people's aspiration and the DPRK's standpoint to vigorously push ahead with the building of an economic power and the improvement of the people's living standards by rapidly developing the country's space science and technology as required by the time when space development is one of the global trends with its competitive power growing ever higher.

*An Nam Hui*

Source: KOREA TODAY, No. 8, 2014.

## 7.2. General Satellite Command and Control Centre

April 2012



2014



Source: Ku'msu Kangsan, 3 September 2014.

**7.3. National Aerospace Development Administration's key individuals  
(STRICTLY CONFIDENTIAL)\***

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\* The annex has not been reproduced in the present document because it is strictly confidential

#### 7.4. Report mentioning National Aerospace Development Administration's Deputy Director



“National Aerospace Development Administration, Deputy Director, Kim In Cheol”

Source: Rodong Sinmun, 1 April 2014.

**Annex 8 – *Wan Hai 313***  
(STRICTLY CONFIDENTIAL)\*

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\* The annex has not been reproduced in the present document because it is strictly confidential

## Annex 9– Westerhever

## Initial contract proposal of 2007 by the Democratic People's Republic of Korea

**조선민주주의 인민공화국**  
**국방위원회 인민부 해무 군시협조총국**  
 General Department of Military Cooperation, Ministry of People's Armed Forces,  
 NATIONAL DEFENCE COMMISSION, D.P.R. OF KOREA

**Projet de l'offre pour la réparation des armements**  
**Nº. KC-07-1218**  
 Le 18 décembre 2007

**1. les objets de réparation et la quantité**

Le contenu concretisé est ci-joint en annexe 1,2,3,4,

- formation des congolais sur la réparation (la théorie, la pratique) en gratis
- la formation des congolais sur la gestion et l'entretien en gratis (pédagogie, les règles)
- les documents techniques (toutes sortes livres du bord et documents des indications de réparation) en gratis

**2. prix : prix total** 2,293,780 (euro)

- prix de tous les artilleries 298,090 (euro) (annexe 1)
- prix de tous les chars et blindés 1,312,650 (euro) (annexe 2)
- prix des machines 550,240 (euro) (annexe 3)
- salaires des experts 532,800 (euro) (annexe 4)

**3. condition de paiement :**

- paiement d'avance de 40% de prix total en cours d'un mois après la signature du contrat
- paiement du cout de 40% de prix total en cours 15 jours après arrivée des machines et des experts coreens
- paiement le reste 20% du prix total en cours 15 jours après la signature de certificat de livraison et de reception sur la quantité totale des armements réparés inscrit au contrat

**4. livraison :** commencement de livraison en cours 3 mois après le paiement d'avance

**5. l'envoi les experts coreens au Congo**

- la cote coreenne envoie les experts coreens (annexe 4) au Congo à son propre cout conformément à temps d'arrive des machines
- la cote congolaise n'assure que les batiments en faveur des experts coreens au sein de casernes militaires pour garder le secret et les conditions des travaux convenants.
- La cote coreenne prend en charge l'aménagement interieur de logement et toutes les articles de la vie.

**6. durée de réparation :** 6 mois

**7. garantie :** 6 mois pour les machines.

**8. le contrat à signer sera concretisé encore divers contenus**

**General Department of Military Cooperation, Ministry of People's Armed Forces,**  
**NATIONAL DEFENCE COMMISSION, D.P.R. KOREA**  
**Project offer for refurbishment of armaments**

Source: Republic of Congo authorities

## Annex 10 – Uganda

## Letter from Uganda of 19 December 2014 to the Panel



REPUBLIC OF UGANDA

PERMANENT MISSION OF THE REPUBLIC OF UGANDA TO THE UNITED NATIONS

UGANDA HOUSE  
336 EAST 45<sup>th</sup> STREET  
NEWYORK, N.Y 10017-3489  
Tel: (212) 949-0110  
Fax: (212) 687-4515  
E-mail: ugandaunny@un.int

OUR REFERENCE **UN/SC/1**

19 December 2014

The Coordinator Panel of Experts  
On the DPRK established pursuant to  
Security Council Resolution 1874 (2009)  
**New York**

Dear Sir

In your communication dated 29<sup>th</sup> January, referenced S/AC.49/2014/PE/OC 24, the Panel of Experts specifically inquired about “...*the frequency of training; locations and participants, equipment or materials utilized; and any follow up measures from these trainings...*”. This in relation to the Agreement of Mutual Cooperation signed between the Republic of Uganda and the Democratic People’s Republic of Korea. Below is our response to this question. Detailing out training that has been offered by the DPRK to members of the Uganda Police Force in three key areas:

- a. The Field Force Unit
- b. Marine Policing and
- c. Martial Arts

And the details are:

**1. FIED FORCE UNIT(FFU)**

North Korean instructors have conducted two courses with officers from FFU

- a) First Training
  - Training Centre - Police Training School, Kabalye (Masindi District).
  - Number of Participants - 724 Trainees
  - Duration/Frequency - 07/12/2013 to 16/04/2014
- b) Second Training
  - Training Centre - Butiaba Wantembo Training School (Bulisa District)
  - Number of Participants - 1029 Trainees
  - Duration/Frequency - The course is still ongoing

**Training Materials used both courses** - AK 47, Pistols, Dagas- fighting Knives, shields, batons, target boards and paper

## 2. POLICE MARINE

Two trainings have been conducted by North Korean instructors under Police Marine Unit.

### a) First Training

- Training Centre - Kigo Marine Base Wakiso District on shores of Lake Victoria
- Number of Participants - 41 Trainees
- Duration/Frequency - conducted in 2010 for 6 months
- Training content**
  - Diving
  - Navigation

### b) Second Training

- Training Centre - Kigo Marine Base Wakiso District on shores of Lake Victoria
- Number of Participants - 68 Trainees
- Duration/Frequency - Conducted in 2013 for 6 months
- Training content**
  - Diving
  - Navigation
  - Shape shooting

**Training Materials used in both courses** - Boats and Diving Gear

## 3. POLICE TRAINING SCHOOL KABALYE MASINDI

Notwithstanding the above, courses conducted at PTS Masindi are as follows

### a) Martial Arts course

- Number of Participants - 32 Trainees
- Duration/Frequency - Jan 2009 to Nov 2009
- Participants were trainees from PTS Kabalye, Masindi

### b) Martial Arts course

- Number of Participants - 65 Trainees
- Duration/Frequency - 12 months(2011/2012)
- Participants were trainees from PTS Kabalye, Masindi

### c) Crime Analysis Course

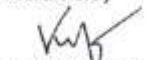
- Number of Participants - 81 Trainees
- Duration/Frequency - 4 months (conducted in 2014)
- Participants were detectives from different parts of Uganda
- Materials used for training - crime scene management kit, chemicals for analysis, finger print kit and animal specimen

### d) CIID Course

- Number of Participants - 127 Trainees
- Duration/Frequency - 3 months (course started in October 2014 and its still ongoing)
- Trainees are detectives from different parts of Uganda
- Materials used for training - crime scene management kit, chemicals for analysis, finger print kit and animal specimen

Our Mission is available to provide further clarification, in case of need.

Most Sincerely

  
Amb Kintu Nyaga  
Charge d' Affaires a.i

Source: Uganda authorities

## Annex 11– Luxury goods

An updated to the list published in the Panel's 2012 final report (S/2012/422, Annex VII).

| Items                                 | Member States                                                                                                                                |                                        |                                                                                 |                                                      |                                                                                                                                                                                                                |                                                                                            |                                                            |                        |                                                                                                                                      |                                                                     |
|---------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------|---------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|--------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------|
|                                       | Australia                                                                                                                                    | Canada                                 | European Union <sup>1</sup>                                                     | Japan                                                | New Zealand                                                                                                                                                                                                    | Republic of Korea                                                                          | Russian Federation                                         | Singapore              | Switzerland                                                                                                                          | United States                                                       |
| <b>Live animals</b>                   |                                                                                                                                              |                                        | Pure-bred horses                                                                |                                                      |                                                                                                                                                                                                                |                                                                                            |                                                            |                        | Pure-bred horses                                                                                                                     |                                                                     |
| <b>Food items</b>                     | Caviar, Crustaceans (all), and ingredients, e.g. rock lobsters, lobster abalone, molluscs and aquatic invertebrates, e.g. oyster in any form | Gourmet foods and ingredients, lobster | Caviar and caviar substitutes; truffles and preparations thereof                | Beef, fillets of tuna, caviar and caviar substitutes | Caviar and its substitutes, chocolate, crustaceans, molluscs, aquatic invertebrates and goods containing these species, honey and its derivatives, tuna, tooth fish, salmon and goods containing these species |                                                                                            |                                                            |                        | Caviar and caviar substitutes prepared from fish eggs; truffles; baked gourmet items (i.e. brioches), confectionary and pastry items |                                                                     |
| <b>Alcoholic beverages</b>            | Wine, spirits (all kinds)                                                                                                                    | Alcoholic beverages                    | High-quality wines (including sparkling wines), spirits and alcoholic beverages | Alcoholic beverages                                  | Alcoholic beverages                                                                                                                                                                                            | Alcoholic beverages (wines, ethyl alcohol, spirits, liquors and other alcoholic beverages) | Cognac, wines and other liquors for more than 5,000 rubles | Wines and spirits      | Wines and spirits                                                                                                                    | Wine and other alcoholic beverages                                  |
| <b>Tobacco and tobacco products</b>   | Tobacco products                                                                                                                             | Cigarettes                             | High-quality cigars and cigarillos                                              | Tobacco                                              | Tobacco                                                                                                                                                                                                        |                                                                                            |                                                            | Cigars                 | Cigars                                                                                                                               | Tobacco and tobacco products                                        |
| <b>Cosmetics, fashion accessories</b> | Cosmetics (all), perfumes and toilet waters                                                                                                  | Perfume                                | Luxury perfumes, toilet waters and cosmetics, including beauty and make-up      | Make-up, perfumes                                    | Cosmetics, perfumes                                                                                                                                                                                            | Cosmetics (perfumes, cosmetics, including foundations and manicure-                        | Perfumes for more than 5,000 rubles                        | Perfumes and cosmetics | High-quality perfumes, high-quality personal care and beauty products                                                                | Cosmetics, including beauty and make-up, perfumes and toilet waters |

<sup>1</sup> See EU Council Decision 2013/183/CFSP of 22 April 2013.

| Items                                 | Member States                                                |                                         |                                                                                                                                                                                        |                                                                             |                                                                                                    |                                                                                                                                                                                                                                                                                 |                                             |                                        |                                                                                         |                                                                                                                                                                                                                                                                               |
|---------------------------------------|--------------------------------------------------------------|-----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------|----------------------------------------|-----------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                       | Australia                                                    | Canada                                  | European Union <sup>1</sup>                                                                                                                                                            | Japan                                                                       | New Zealand                                                                                        | Republic of Korea                                                                                                                                                                                                                                                               | Russian Federation                          | Singapore                              | Switzerland                                                                             | United States                                                                                                                                                                                                                                                                 |
|                                       |                                                              |                                         | products                                                                                                                                                                               |                                                                             |                                                                                                    | related, and pedicure- related products)                                                                                                                                                                                                                                        |                                             |                                        |                                                                                         |                                                                                                                                                                                                                                                                               |
| <b>Apparel, leather and fur items</b> | Apparel and clothing accessories, furs, leather travel goods | Designer clothing and accessories, furs | High-quality garments, clothing accessories and shoes (regardless of their material); High-quality leather, saddlery and travel goods, handbags and similar articles                   | Leather bags, clothes and others, fur skins and artificial fur manufactures | Designer clothing, deer velvet, fur products and artificial fur products, leather bags and clothes | Leather goods (trunks, suit-cases, cosmetic cases, executive cases, briefcases, satchels, and other similar bags, handbags, pockets or other products that may be carried in handbags, clothing and accessories), fur items (fur clothing, accessories, and other fur products) | Fur production for more than 250,000 rubles | Fur products; leather bags and clothes | High-quality apparel and clothing accessories, high-quality shoes, high-quality leather | Apparel and fashion items (leather articles, silk articles, fur skins and artificial furs, fashion accessories: leather travel goods, vanity cases, binocular and camera cases, handbags, wallets, silk scarves, designer clothing; leather apparel and clothing accessories) |
| <b>Ceramic and glass/ tableware</b>   | Drinking glasses (lead crystal)                              |                                         | Cutlery or precious metal or plated or clad with precious metal; high-quality tableware of porcelain, china, stone or earthenware or fine pottery; high-quality lead crystal glassware | Drinking glasses of lead crystal                                            | Bone china, crystal glassware                                                                      |                                                                                                                                                                                                                                                                                 |                                             |                                        | Cutlery, gold, silver or platinum plated                                                | Tableware of porcelain or bone china, items of lead crystal                                                                                                                                                                                                                   |
| <b>Jewellery:<sup>2</sup></b>         | Silver, gold,                                                | Jewellery, gems,                        | Pearls, precious                                                                                                                                                                       | Jewellery,                                                                  | Jewellery,                                                                                         | Pearls and                                                                                                                                                                                                                                                                      | Jewellery with                              | Precious                               | Pearls, precious                                                                        | Jewellery                                                                                                                                                                                                                                                                     |

<sup>2</sup> See Annex IV of Security Council resolution 2094 (2013).

| <i>Dens</i>                                                                                                                                                                                                                      | <i>Member States</i>                                                                          |                 |                                                                                       |                                     |                                                                                 |                                                                                                                                                                                                      |                                                                                                                                                              |                  |                                                    |                                                                                                                                                                                                                                                                                                                                   |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------|-----------------|---------------------------------------------------------------------------------------|-------------------------------------|---------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------|----------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                                                                                                                                                                                                                  | <i>Australia</i>                                                                              | <i>Canada</i>   | <i>European Union<sup>1</sup></i>                                                     | <i>Japan</i>                        | <i>New Zealand</i>                                                              | <i>Republic of Korea</i>                                                                                                                                                                             | <i>Russian Federation</i>                                                                                                                                    | <i>Singapore</i> | <i>Switzerland</i>                                 | <i>United States</i>                                                                                                                                                                                                                                                                                                              |
| <b>(a) Jewellery with pearls;</b><br><b>(b) Gems;</b><br><b>(c) Precious and semi-precious stones (i.e. diamonds, sapphires, rubies, and emeralds);</b><br><b>(d) Jewellery of precious metal or of clad with precious metal</b> | jewellery, precious and semi-precious stones (including diamonds and pearls), precious metals | precious metals | and semi-precious stones, articles of pearls, jewellery, gold or silversmith articles | precious metals, precious metalwork | precious metals, precious and semi-precious stones, and articles made from them | jewellery (natural or hatchery pearls, diamonds, jewellery, silver, gold, gilded products, white gold, white gold-plated products, ornaments and their accessories, products that contain jewellery) | pearls; Gems; Precious and semi-precious stones (i.e. diamonds, sapphires, rubies, and emeralds); Jewellery of precious metal or of clad with precious metal | jewellery        | and semi-precious stones, jewellery and silverware | (Jewellery with pearls, gems, precious and semi-precious stones (including diamonds, sapphires, rubies and emeralds), jewellery of precious metal or of metal clad with precious metal) gems and precious metals (gold, silver, platinum, diamonds, precious and semi-precious stones (including sapphires, rubies and emeralds)) |

| Items                                | Member States                                                                                                                                            |                                                     |                                                                                                                                                 |                                                                     |                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                                                                                                                                                                          |                    |                                                      |                                                                               |                                                                                                                                                                                                                                                                                                     |
|--------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|------------------------------------------------------|-------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                      | Australia                                                                                                                                                | Canada                                              | European Union <sup>a</sup>                                                                                                                     | Japan                                                               | New Zealand                                                                                                                                                                                                                                                                                                                                                                                          | Republic of Korea                                                                                                                                                                                                        | Russian Federation | Singapore                                            | Switzerland                                                                   | United States                                                                                                                                                                                                                                                                                       |
| <b>Electronic items</b>              | Consumer electronics (televisions, videos, DVD players, PDAs, laptops, MP3 players — and any other relevant exports), electronic entertainment/ software | Computers, televisions and other electronic devices | High-end electronic items for domestic use; high-end electrical/ electronic or optical apparatus for recording and reproducing sound and images | Portable information devices, audio-visual instruments and software | Computers, audio-visual equipment (for example CD players and DVD players), data or software (for example film, music, or both, recorded or stored on CDs or DVDs), and things on which data or software is or may be recorded or stored, mobile telephones, portable information and media devices (for example, personal digital assistants (PDAs) and MP3 players or other digital audio players) | Electronic goods (transmitter products for radio or televisions, television cameras, digital cameras, and videocassette recorders, monitors, projectors, and related products excluding television transmitter products) |                    | Plasma televisions; personal digital musical players | High-quality consumer electronic devices                                      | Electronic items (flat-screen, plasma or LCD panel televisions or other video monitors or receivers (including high-definition televisions), and any television larger than 29 inches, DVD players, PDAs, personal digital music players, <sup>a</sup> computer <sup>b</sup> laptops <sup>b</sup> ) |
| <b>Photographic/ cinematic items</b> | Photographic equipment                                                                                                                                   |                                                     | See electronic items                                                                                                                            | Camera and cinematographic instruments                              | Cameras and movie equipment                                                                                                                                                                                                                                                                                                                                                                          | Optical instruments (cameras, movie cameras and projectors for movies)                                                                                                                                                   |                    |                                                      | High-quality electronic and optical image recording and reproducing equipment |                                                                                                                                                                                                                                                                                                     |

| Items                                                                                                                                                                                                  | Member States                                                                 |                  |                                                                                                             |                                                        |                                                                                               |                                                                                                                                                                              |                                                                                                                                                                        |                                             |                                                                                       |                                                                                                                                                                                                         |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------|------------------|-------------------------------------------------------------------------------------------------------------|--------------------------------------------------------|-----------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------|---------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                                                                                                                                                                                        | Australia                                                                     | Canada           | European Union <sup>3</sup>                                                                                 | Japan                                                  | New Zealand                                                                                   | Republic of Korea                                                                                                                                                            | Russian Federation                                                                                                                                                     | Singapore                                   | Switzerland                                                                           | United States                                                                                                                                                                                           |
| <b>Clocks and watches</b>                                                                                                                                                                              | Watches and clocks                                                            | Watches          | Luxury clocks and watches and their parts                                                                   | Wristwatches and other watches                         | Wristwatches                                                                                  | Timepieces (wristwatches, pocket watches, and other wearable timepieces)                                                                                                     | Wristwatch for more than 50,000 rubles                                                                                                                                 | Watches of metal clad with a precious metal | High-quality watches and clocks                                                       | Luxury watches (wrist, pocket, and other with a case of precious metal or of metal clad with precious metal)                                                                                            |
| <b>Musical instruments</b>                                                                                                                                                                             |                                                                               |                  | High-quality musical instruments                                                                            | Musical instruments                                    | Musical instruments                                                                           | Musical instruments (pianos, harpsichords, and other stringed keyboard instruments, string instruments, wind instruments, electronic musical instruments)                    |                                                                                                                                                                        | Musical instruments                         | High-quality musical instruments                                                      | Musical instruments                                                                                                                                                                                     |
| <b>Transportation items, as follows<sup>3</sup>:</b><br><b>(a) Yachts;</b><br><b>(b) Luxury automobiles (and motor vehicles): automobiles and other motor vehicles to transport people (other than</b> | Automobiles and other vehicles to transport people, yachts and pleasure craft | Private aircraft | Luxury vehicles for transport of persons on earth, air or sea, as well as their accessories and spare parts | Motor cars, motorcycles, motorboats, yachts and others | Cars, motorcycles, snowmobiles, motorboats, yachts, aircraft, and their parts and accessories | Automobiles (passenger cars and other vehicles, motorcycles and bicycles or sidecars with assistant motors), vessels (yachts, other vessels for excursion or exercise, boats | Yachts; Automobiles and other luxury motor vehicles; automobiles and other motor vehicles to transport people (other than public transport), including station wagons; | Luxury cars; luxury motorboats and yachts   | Luxury vehicles for air, road and water transport as well as parts and accessories to | Transportation items (yachts and other aquatic recreational vehicles (such as jet skis), <sup>4</sup> luxury automobiles (and motor vehicles); automobiles and other motor vehicles to transport people |

<sup>3</sup> See Annex IV of Security Council resolution 2094 (2013).

| <i>Items</i>                                                 | <i>Member States</i> |                |                                                                  |               |                              |                           |                           |                  |                                                                                                                                                                                                                                                                                                                                                  |                                                                                                                                               |
|--------------------------------------------------------------|----------------------|----------------|------------------------------------------------------------------|---------------|------------------------------|---------------------------|---------------------------|------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------|
|                                                              | <i>Australia</i>     | <i>Canada</i>  | <i>European Union<sup>1</sup></i>                                | <i>Japan</i>  | <i>New Zealand</i>           | <i>Republic of Korea</i>  | <i>Russian Federation</i> | <i>Singapore</i> | <i>Switzerland</i>                                                                                                                                                                                                                                                                                                                               | <i>United States</i>                                                                                                                          |
| public transport), including station wagons; (c) Racing cars |                      |                |                                                                  |               |                              | with paddles, and canoes) | Racing cars               |                  |                                                                                                                                                                                                                                                                                                                                                  | [other than public transport] including station wagons, racing cars, snowmobiles, and motorcycles; personal transportation devices [segways]) |
| Sports and recreational items                                | Sports equipment     | Sporting goods | Articles and equipment for skiing, golf, diving and water sports |               | Sporting goods and equipment |                           |                           |                  | High-quality sporting goods and equipment (i.e. for skiing, golf, water and equestrian sports); Goods and equipment for billiards, bowling (bowling lanes), gambling and any game played with coins or banknotes; Infrastructure installations and equipment for sports facilities with a luxury character (i.e. ski resorts and swimming pools) | Recreational sports equipment                                                                                                                 |
| Works of art,                                                | Works of art         |                | Coins and                                                        | Works of art, | Works of art,                | Artwork and               |                           | Works of art,    | Coin (other than                                                                                                                                                                                                                                                                                                                                 | Works of art                                                                                                                                  |

| Items                         | Member States          |        |                                                                                                                                                                     |                                 |                                                           |                                                                |                    |                                 |                                                                  |                                                                                                                                                    |
|-------------------------------|------------------------|--------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------|-----------------------------------------------------------|----------------------------------------------------------------|--------------------|---------------------------------|------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------|
|                               | Australia              | Canada | European Union <sup>1</sup>                                                                                                                                         | Japan                           | New Zealand                                               | Republic of Korea                                              | Russian Federation | Singapore                       | Switzerland                                                      | United States                                                                                                                                      |
| collector pieces and antiques | (all)                  |        | banknotes, not being legal tender; works of art, collectors' pieces and antiques                                                                                    | collectors' pieces and antiques | collectors' pieces and antiques                           | curios (collections and specimens, curios)                     |                    | collectors' pieces and antiques | the legal tender), works of art, collectors' pieces and antiques | (including painting, original sculptures and statuary), antiques (more than 100 years old), and collectible items, including rare coins and stamps |
| Other                         | Fountain pens, carpets |        | Hand-knotted carpets, hand-woven rugs and tapestries; articles and equipment for billiard, automatic bowling, casino games and games operated by coins or banknotes | Carpets, fountain pens          | Carpets and tapestries, designer furniture, fountain pens | Carpeting goods (carpeting products and other textile carpets) |                    | Carpets                         | Handmade carpets, hand-woven tapestries                          | Designer fountain pens, rugs and tapestries                                                                                                        |

## Annex 12– Maritime fleet

### 12.1. Vessels renaming or flag changes

Below is a list of the Democratic People's Republic of Korea-flagged vessels that have changed their names and/or flags in 2014.

| <i>Name</i>     | <i>IMO No.</i> | <i>Previous name</i>      | <i>Previous flag</i> | <i>New flag</i> | <i>Date</i> |
|-----------------|----------------|---------------------------|----------------------|-----------------|-------------|
| Mi Rim 2        | 9361407        | Aoyang 18                 | Cambodia             | DPRK            | 1/01/2014   |
| Grand Lady      | 8654479        | Un Pha San 1              | China                | Cambodia        | 1/02/2014   |
| Ryu Gyong       | 9036533        | Cheng Hai                 | NA                   | NA              | 4/03/2014   |
| Dong Kun 6      | 8649993        | Paek Song 5               | DPRK                 | Cambodia        | 1/04/2014   |
| Ka Rim Chon     | 8314811        | Victory Hope              | DPRK                 | Cambodia        | 1/05/2014   |
| Chun Yang 7     | 8652756        | Chun Yang 9               | DPRK                 | Cambodia        | 1/05/2014   |
| Ho Chon Gang    | 8415287        | Golden Ocean              | Panama               | DPRK            | 1/05/2014   |
| Son Am Chon     | 8403258        | Guang Hai                 | Panama               | DPRK            | 1/05/2014   |
| Un Sung         | 8669591        | Myong Jin                 | NA                   | NA              | 1/05/2014   |
| Grand Faith     | 8749262        | Sai Nai                   | DPRK                 | Cambodia        | 1/06/2014   |
| Hae Bang San    | 8518962        | Kum Song                  | Sierra Leone         | DPRK            | 1/06/2014   |
| Min Hung        | 9089372        | Peng He                   | Mongolia             | DPRK            | 1/06/2014   |
| Oriental Lady   | 8652823        | Xin Zhou 2                | DPRK                 | Sierra Leone    | 25/6/2014   |
| Il Myong        | 8832136        | Ming Chuan 2              | Cambodia             | DPRK            | 1/07/2014   |
| Pu Hung 1       | 8703933        | Bo Da                     | Cambodia             | DPRK            | 1/07/2014   |
| Shakil No. 2    | 8844464        | Kosei                     | DPRK                 | Niger           | 1/07/2014   |
| Chol Ryong*     | 8606173        | Ryong Gun Bong            | NA                   | NA              | 1/08/2014   |
| Myong San 1*    | 7632955        | Pho Thae                  | NA                   | NA              | 1/08/2014   |
| Hu Chang *      | 8330815        | O Un Chong Nyon Ho        | NA                   | NA              | 1/09/2014   |
| Kang Gye*       | 8829593        | Bi Ryu Gang               | NA                   | NA              | 1/09/2014   |
| Min Hae         | 8672897        | Lao Yuan 3                | China                | DPRK            | 1/09/2014   |
| Ryong Rim*      | 8018912        | Jon Jin 2                 | NA                   | NA              | 1/09/2014   |
| Sin Pho 2       | 8672691        | Peng Xiang 13             | PRC                  | DPRK            | 1/09/2014   |
| Hui Chon*       | 8405270        | Hwang Gum San 2           | NA                   | NA              | 1/10/2014   |
| Ji Hye Can*     | 8018900        | Hyok Sin 2                | NA                   | NA              | 1/10/2014   |
| Se Pho*         | 8819017        | Rak Won 2                 | NA                   | NA              | 1/10/2014   |
| Song Jin*       | 8133530        | Jang Ja San Chong Nyon Ho | NA                   | NA              | 1/10/2014   |
| Tan Chon*       | 7640378        | Ryong Gang 2              | NA                   | NA              | 1/10/2014   |
| Tong Hung San*  | 7937317        | Chong Chon Gang           | NA                   | NA              | 1/10/2014   |
| Tae Ryong Gang* | 8132835        | Ap Rok Gang               | NA                   | NA              | 1/10/2014   |
| Jang Saeng      | 8630382        | Tenyu                     | Sierra Leone         | DPRK            | 31/10/2014  |
| Wang Jae San 2  | 9041552        | Hoe Ryong                 | NA                   | NA              | 1/11/2014   |
| O Rang*         | 8829555        | Po Thong Gang             | NA                   | NA              | 9/12/2014   |
| Tong San        | 8882052        | Ka Chi Bong               | NA                   | NA              | 2014        |

\* Vessels associated with OMM

**Source:** Equasis, IMO, and Lloyd's List Intelligence

## 12.2. The Morning Glory

Interim Certificate issued by the Democratic People's Republic of Korea to the *Morning Glory* for the period 17 February to 16 August 2014



조선민주주의인민공화국  
THE DEMOCRATIC PEOPLE'S REPUBLIC OF KOREA

배림시등록증서  
INTERIM CERTIFICATE OF REGISTRY

No. 140200001

|                        |                                           |                         |                           |                   |
|------------------------|-------------------------------------------|-------------------------|---------------------------|-------------------|
| 배 이름<br>Name of Ship   | 국적<br>Flag of Registry                    | 선적항<br>Port of Registry | 등록번호<br>Registered No.    | 조종번호<br>Call Sign |
| MORNING GLORY          | DPR KOREA                                 | WONSAN                  | 14020001                  | HMVET             |
| 국제해사기구번호<br>IMO Number | 총톤수<br>Gross Tonnage                      | 순톤수<br>Net Tonnage      | 배길이<br>Length             | 배너비<br>Breadth    |
| 9944504                | 21804                                     | 9208                    | 172.63 m                  | 28.00 m           |
| 배종류<br>Type of Vessel  | 주기관종류 및 출력<br>Type & Power of Main Engine |                         | 진수날짜<br>Date of Launching |                   |
| OIL TANKER             | DIESEL ENGINE, 7964 KW                    |                         | 1993                      |                   |
| 건조공장<br>Ship Builder   | KANASASHI TOYOHASHI WORKS CO., LTD        |                         |                           |                   |
| 소유기관<br>Ship Owner     | MORNING GLORY INTERNATIONAL INC           |                         |                           |                   |
| 발급장소<br>Place of Issue | 발급일자<br>Date of Issue                     | 유효기간<br>Valid until     |                           |                   |
| PYONGYANG, DPR KOREA   | 17 February 2014                          | 16 August 2014          |                           |                   |

이 배는 조선민주주의인민공화국 국가해사감독국에  
임시등록되었음을 증명함  
THIS IS TO CERTIFY THAT THE SHIP HAS TEMPORARILY BEEN  
REGISTERED IN THE MARITIME ADMINISTRATION OF DPR KOREA



조선민주주의인민공화국  
국가해사감독국  
MARITIME ADMINISTRATION DPR KOREA

고령두  
KO NUNG DU

Source: UN Panel of Experts on Libya pursuant to resolution 1973 (2011)

### Annex 13: Korea Shipowners' Protection & Indemnity Association

#### 13. 1. Shipping document of 2008

The following document shows a registered owner of the OMM-controlled vessel, Taedonggang Sonbak Company Ltd., has used Korea Shipowners' Protection & Indemnity Association as insurance provider for the *Ryong Gang 2* as early as 2008.

|                                                                                                       |  |                                                                                               |         |
|-------------------------------------------------------------------------------------------------------|--|-----------------------------------------------------------------------------------------------|---------|
| 23. DEC. 2008 9:56                                                                                    |  | DRY CARGO                                                                                     | NR. 671 |
| SCHEDULE A                                                                                            |  |                                                                                               |         |
| Vessel's name<br>RYONG GANG 2 - SEE ALSO CLAUSE 51                                                    |  |                                                                                               |         |
| Owner's Details                                                                                       |  |                                                                                               |         |
| A. Owner's name<br>TAEDONGGANG SONBAK COMPANY LTD<br>c/o SGM SHIPPING SINGAPORE as Managers to Owners |  | The name of the registered Owner if the party identified in box A is not the registered Owner |         |
| Address<br>NO. 9 THARSEK OOL ROAD,<br>SEC. 22, NORTH KOREA TOWER TWO,<br>SINGAPORE 038869             |  | Address                                                                                       |         |
| XXXX FAX +65 62752292                                                                                 |  | Telex                                                                                         |         |
| Phone +65 62753003                                                                                    |  | Phone                                                                                         |         |
| Contact                                                                                               |  | Contact                                                                                       |         |
| Owner's P&I Club                                                                                      |  | Registered Owner's P&I Club<br>KOREA SHIPOWNERS' PROTECTION & INDEMNITY ASSOCIATION           |         |
| Owner's Hull & Machinery Insurers/Hull & Machinery value<br>KOREA CLASSIFICATION SOCIETY              |  | Registered Owner's Hull & Machinery Insurers/Hull & Machinery value                           |         |
| Certificates attached YES/NO                                                                          |  | Certificates attached YES/NO                                                                  |         |
| Vessel's Description                                                                                  |  |                                                                                               |         |
| FLAG: D.P.R. OF KOREA                                                                                 |  | Year built 1990                                                                               |         |
| Call sign<br>Fachtelau: H M Z M                                                                       |  | Class<br>KOREA CLASSIFICATION SOCIETY                                                         |         |
| NET 6180                                                                                              |  | GT 9027                                                                                       |         |
| DWT 15,000 MT                                                                                         |  | Draft 10.37 M SSM                                                                             |         |
| TPC ABOUT 24 MT                                                                                       |  | Speed ABOUT 11 KNOTS                                                                          |         |
| Gear DECKCRANES X 5 TONS                                                                              |  | LOA 144 M                                                                                     |         |
| Beam 20.65 M                                                                                          |  | Twin hatch NO                                                                                 |         |
| Number of hatches 5                                                                                   |  | Hatch dimensions                                                                              |         |
| Number of holds 5                                                                                     |  | SEE CLAUSE 56                                                                                 |         |
| Grain cubic 21,324                                                                                    |  | Bale cubic 19,536 CBM                                                                         |         |
| Supplementary Information                                                                             |  |                                                                                               |         |
| Last special survey MAY 2007                                                                          |  | Last dry dock FEBRUARY 2004                                                                   |         |
| Last 2 cargoes BAGGED SUGAR                                                                           |  |                                                                                               |         |
| Details of General Average in last 2 years<br>NIL                                                     |  | Previous names in last 12 months<br>DPP/PA                                                    |         |

Source: The Panel.

### 13.2. Korea Shipowners' Protection & Indemnity Association as insurance provider for *Zang Za San Chong Nyon Ho*

Document from the *Zang Za San Chong Nyon Ho* (also known as (aka) *Jang Ja Chong Nyon Ho*) refers to Korea Shipowners' Protection & Indemnity Association as insurance provider for the vessel's registered owner, Taedonggang Sonbak Co Ltd.

| SHIP'S PARTICULAR                                                                  |                  |                                                                                  |                       |
|------------------------------------------------------------------------------------|------------------|----------------------------------------------------------------------------------|-----------------------|
| SHIP'S NAME; ZANG ZA SAN CHONG NYON HO                                             |                  | CALL SIGN; H M B M                                                               |                       |
| FLAG; DEMOCRATIC PEOPLE'S REPUBLIC OF KOREA.                                       |                  |                                                                                  |                       |
| SHIP'S OWNER; TAEDONGGANG SONBAK CO.LTD                                            |                  | PORT OF REGISTRY; NAM PO                                                         |                       |
| LAUNCHING DATE; 14 <sup>TH</sup> JULY, 1980.                                       |                  | COMPLETED BUILT; 10 <sup>TH</sup> OCT, 1980                                      |                       |
| REGISTERED NO. 3000168                                                             | IMO NO. 8133530  | OFFICIAL NO. 7056                                                                |                       |
| GRT; 9,003 MT                                                                      | NRT; 5,615 MT    | LIGHT SHIP; 5,385 MT                                                             | DEADWEIGHT; 13,815 MT |
| DISPLACEMENT; 19,200 MT                                                            |                  | DEADWEIGHT CARGO CAPACITY; 12,025 MT                                             |                       |
| LOA; 154.23 M                                                                      | BREADTH; 20.50 M | MOULD DEPTH; 12.30 M                                                             | LBP; 143.30 M         |
| SUMMER DRAFT; 9.42 M                                                               |                  | ALLOWANCE IN FRESH WATER; 207 MM                                                 |                       |
| HEIGHT OF HIGHEST POINT ABOVE KEEL; 37.442 M (IN LIGHT; 33.40 M, IN FULL; 28.20 M) |                  | TPC IN FULL; 24.05 MT                                                            |                       |
| HOLD CAPACITY; 17,880 CU.M (IN BALE)                                               |                  | 19,434 CU.M (IN BULK)                                                            |                       |
| CAPACITY OF FRESH WATER; 450 MT                                                    |                  | CAPACITY OF BALLAST WATER; 1,000 MT                                              |                       |
| CAPACITY OF BUNKER; IFO 700 MT                                                     |                  | MDO 150 MT                                                                       |                       |
| WINCHES WITH DERRICKS; 8 PAIRS (S.W.L. 5.0 TONS)                                   |                  |                                                                                  |                       |
| TYPE OF HATCH COVER; MCGREGOR WITH OIL PRESSURE SYSTEM                             |                  |                                                                                  |                       |
| HOLD; 5H / 5H. LOW HOLD / TWEEN DECKS (PONTON COVER), STEEL PLATE FLOOR            |                  |                                                                                  |                       |
| MAIN ENGINE; "SEMTE PIELSTIC - 12PC2-3V-400"                                       |                  | 6,420 HP 4,721 KW ----- 1 UNIT                                                   |                       |
| AUXILIARY ENGINE; "HEDEMORA - V6A/12G"                                             |                  | 525 HP 420 KW ----- 2 UNITS                                                      |                       |
| TIME OF MAIN ENGINE READY; 2 HOURS                                                 |                  | SPEED LADEN IN FAIR; 11.0 KNT (IN 420 RPM)                                       |                       |
| SHIP'S CLASS; A 1 REGISTER D.P.R OF KOREA                                          |                  |                                                                                  |                       |
| NAME OF CLASSIFICATION SOCIETY; KOREA CLASSIFICATION SOCIETY D.P.R OF KOREA        |                  |                                                                                  |                       |
| REGISTERED OWNER'S P AND I CLUB;                                                   |                  | KOREA SHIPOWNER'S PROTECTION & INDEMNITY ASSOCIATION PYONGYANG IN D.P.R OF KOREA |                       |

Master of MV. ZANG ZA SAN CHONG NYON HO

Source: South African Maritime Safety Authority (SAMSA)

### 13.3. Insurance certificate for the *Chong Chon Gang*

Insurance certificate of 2014 below shows inconsistencies between date of issue, duration of security and validity period.


**조선민주주의인민공화국 국가해사감독국**  
**MARITIME ADMINISTRATION, DPR KOREA**

**배연유오염피해민사책임증서**  
**CERTIFICATE OF INSURANCE OR OTHER FINANCIAL SECURITY IN**  
**RESPECT OF CIVIL LIABILITY FOR BUNKER OIL POLLUTION DAMAGE**

No. MEPO22-37A-3M-BHC002/2014-03

배연유오염피해민사책임에 관한 국제협약, 2001의 제 7 조에 준하여 이 증서를 발급함  
 Issued in accordance with the provisions of Article 7 of the International Convention on Civil Liability for Bunker Oil Pollution Damage, 2001.

| 배이름<br>Name of Ship | 호출부호<br>Distinctive Number or Letters | 국제해사기구번호<br>IMO Number | 선적항<br>Port of Registry |
|---------------------|---------------------------------------|------------------------|-------------------------|
| CHONG CHON GANG     | HMZF                                  | 7937317                | NAMPHO                  |

등록인 배소유자이름과 완전주소  
 Name and full address of the principal place of business of the registered owner:

**CHONGCHONGANG SHIPPING CO.**  
**Tonghung Dong, Central District, Pyongyang, DPR Korea**

상기 배에 관하여 배연유오염피해민사책임에 관한 국제협약, 2001 제 7 조의 요구를 만족시키는 보험증권 또는 기타 재정담보서가 유효함을 증명함  
 This is to certify that there is in force in respect of the above-named ship a policy of insurance or other financial security satisfying the requirements of Article 7 of the International Convention on Civil Liability for Bunker Oil Pollution Damage, 2001.

| 담보종류<br>Type of Security                                                    | Civil Liability for Bunker Oil Pollution Damage, 2001                                                                                   |
|-----------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------|
| 담보기간<br>Duration of Security                                                | 20 <sup>th</sup> Feb, 2014 – 20 <sup>th</sup> Feb. 2015                                                                                 |
| 보험사 또는 담보자 이름과 주소<br>Name and address of the insurer(s) and/or guarantor(s) | <b>Korea Shipowners' Protection &amp; Indemnity Association</b><br><b>No.65 Ryugyeo Dong, Phyongchon District, Pyongyang, DPR Korea</b> |
| 이 증서의 효력이<br>This certificate is valid until:                               | 19 <sup>th</sup> Aug. 2014                                                                                                              |

조선민주주의인민공화국 정부의 위원에 따라 국가해사감독국이 이 증서를 발급함  
 The present certificate is issued under the authority of the Government of the Democratic People's Republic of Korea by Maritime Administration, DPR Korea

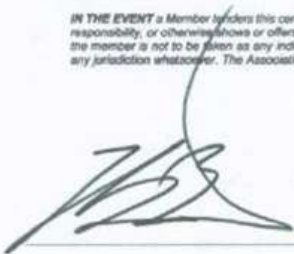
**조선민주주의인민공화국**  
**국가해사감독국**  
**MARITIME ADMINISTRATION, DPR KOREA**

발급장소  
 Issued at: **PYONGYANG**  
 발급일자  
 Issued on: **13<sup>th</sup> Mar. 2014**  
 수표  
 Signature: *[Handwritten Signature]*

Source: The Panel

### 13.4. Korea Shipowners' Protection & Indemnity Association as insurance provider for the *Chong Chon Gang*

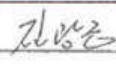
Certificate of Entry issued by Korea Shipowners' Protection & Indemnity Association for the *Chong Chon Gang* on March 2014

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                                                                                                                                                         |                                                                                             |                                 |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------|---------------------------------|
| 조선선주보호 및 보상협회<br>KOREA SHIPOWNERS' PROTECTION & INDEMNITY ASSOCIATION                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                                                                                                                                         | <br>KPIA |                                 |
| <b>Certificate of Entry</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                                                                                                                                         |                                                                                             |                                 |
| Certificate Number: 022-37A-3M/2014                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                                                                                                                         |                                                                                             |                                 |
| <b>MEMBER:</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | <b>CHONGCHONGANG SHIPPING CO.</b>                                                                                                                                                       |                                                                                             |                                 |
| <b>SHIP:</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | <b>Name</b>                                                                                                                                                                             | <b>IMO No.</b>                                                                              | <b>Class Type GT Built Flag</b> |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | "CHONG CHON GANG"                                                                                                                                                                       | 7937317                                                                                     | KIC General Cargo 9147 1977 PRK |
| <b>PERIOD:</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | From 20 <sup>th</sup> February 2014 inclusive, 12.00 Pyongyang Local Time,<br>Until 20 <sup>th</sup> February 2015 inclusive, 12.00 Pyongyang Local Time.                               |                                                                                             |                                 |
| <b>CONDITIONS :</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | To cover Protection and Indemnity risks as per Korea Shipowners' Protection and Indemnity Association Rules as follows:<br>Oil Pollution only                                           |                                                                                             |                                 |
| <b>SPECIAL AGREEMENTS:</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | Subject to Ship having a full condition survey at Assured expense by KPIA approved surveyor within 15 days attachment.<br>Subject to payment Premium to KPIA within 10 days attachment. |                                                                                             |                                 |
| <b>DEDUCTIBLES:</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | USD 112,000 all claims each accident or occurrence                                                                                                                                      |                                                                                             |                                 |
| <b>LIMIT OF LIABILITY:</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | USD 5,760,000 any one accident or occurrence                                                                                                                                            |                                                                                             |                                 |
| <b>OPERATING AREA:</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | Worldwide excluding U.S.A, Japan and South Korea                                                                                                                                        |                                                                                             |                                 |
| <p><small>THIS CERTIFICATE OF ENTRY is evidence only of the contract of indemnity insurance between the named Member and the Association and shall not be construed as evidence of any undertaking of financial or otherwise, on the part of the Association to any other party.</small></p> <p><small>IN THE EVENT a Member renders this certificate or Entry as evidence of insurance under any applicable law relating to financial responsibility, or otherwise shows or offers it to any other party as evidence of insurance, such use of this Certificate of Entry by the member is not to be taken as any indication that Association thereby consents to act as guarantor or to be sued directly in any jurisdiction whatsoever. The Association does not so consent.</small></p> |                                                                                                                                                                                         |                                                                                             |                                 |
| <br><b>Date: 3<sup>rd</sup> March 2014</b><br><b>Authorized Signatory for</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                                                                                                                                                         |         |                                 |
| <small>KOREA SHIPOWNERS' PROTECTION &amp; INDEMNITY ASSOCIATION<br/>No. 95 Bongsu-ro, Dong Pyongyang - District Pyongyang, DPR Korea, P.O. Box 433<br/>Tel: 850-2-1811199 ext. 900 Fax: 850-2-361111 E-Mail: kpiap@kpiak.net.kp</small>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                                                                                                                                         |                                                                                             |                                 |

Source: The Panel

### 13.5. Korea Shipowners' Protection & Indemnity Association as insurance provider for the *Mu Du Bong*

Insurance certificate for the *Mu Du Bong* issued in March 2014

| 조선민주주의인민공화국 국가해사감독국<br>MARITIME ADMINISTRATION, DPR KOREA                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                                                                                                                                                                |                                                       |                              |                                                         |                                                                            |                                                                                                                       |                                                |                            |  |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------|------------------------------|---------------------------------------------------------|----------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------|------------------------------------------------|----------------------------|--|
| <br><b>배원유오염피해민사책임증서</b><br>CERTIFICATE OF INSURANCE OR OTHER FINANCIAL SECURITY IN<br>RESPECT OF CIVIL LIABILITY FOR BUNKER OIL POLLUTION DAMAGE                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                                                                                                                                |                                                       |                              |                                                         |                                                                            |                                                                                                                       |                                                |                            |  |
| No. MEPD022-43A-20T-BB0911/2014-03                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                                                                                                                                |                                                       |                              |                                                         |                                                                            |                                                                                                                       |                                                |                            |  |
| 배원유오염피해민사책임에 관한 국제협약, 2001의 제 7 조에 준하여 이 증서를 발급함<br>Issued in accordance with the provisions of Article 7 of the International Convention on Civil Liability for Bunker Oil Pollution Damage, 2001.                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                |                                                       |                              |                                                         |                                                                            |                                                                                                                       |                                                |                            |  |
| <table border="1"> <tr> <th>배이름<br/>Name of Ship</th> <th>호출부호<br/>Call Sign or Letters</th> <th>국제해사기구번호<br/>IMO Number</th> <th>선적항<br/>Port of Registry</th> </tr> <tr> <td>MUDU BONG</td> <td>HMAO</td> <td>8328197</td> <td>CHONGJIN</td> </tr> </table>                                                                                                                                                                                                                                                                                                                                                                       | 배이름<br>Name of Ship                                                                                                                                                                            | 호출부호<br>Call Sign or Letters                          | 국제해사기구번호<br>IMO Number       | 선적항<br>Port of Registry                                 | MUDU BONG                                                                  | HMAO                                                                                                                  | 8328197                                        | CHONGJIN                   |  |
| 배이름<br>Name of Ship                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | 호출부호<br>Call Sign or Letters                                                                                                                                                                   | 국제해사기구번호<br>IMO Number                                | 선적항<br>Port of Registry      |                                                         |                                                                            |                                                                                                                       |                                                |                            |  |
| MUDU BONG                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | HMAO                                                                                                                                                                                           | 8328197                                               | CHONGJIN                     |                                                         |                                                                            |                                                                                                                       |                                                |                            |  |
| 등록명 및 소재지 이름과 완전주소<br>Name and full address of the principal place of business of the registered owner<br><br>MUDUBONG SHIPPING CO., LTD.<br>Tonghung Dong, Central District, Pyongyang, DPR Korea                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                                                                                                                                |                                                       |                              |                                                         |                                                                            |                                                                                                                       |                                                |                            |  |
| 상기 배에 한하여 배원유오염피해민사책임에 관한 국제협약, 2001 제 7 조의 요구를 만족시키는 보<br>험증권 또는 기타 재정담보서가 유효함을 증명함<br>This is to certify that there is in force in respect of the above-named ship a policy of insurance or other financial security<br>satisfying the requirements of Article 7 of the International Convention on Civil Liability for Bunker Oil Pollution Damage,<br>2001.                                                                                                                                                                                                                                                                     |                                                                                                                                                                                                |                                                       |                              |                                                         |                                                                            |                                                                                                                       |                                                |                            |  |
| <table border="1"> <tr> <th>담보종류<br/>Type of Security</th> <td>Civil Liability for Bunker Oil Pollution Damage, 2001</td> </tr> <tr> <th>담보기간<br/>Duration of Security</th> <td>20<sup>th</sup> Mar. 2014 – 20<sup>th</sup> Feb. 2015</td> </tr> <tr> <th>보험자 또는 담보자 이름과 주소<br/>Name and address of the insurer(s) and/or insured(s):</th> <td>           Korea Shipowners' Protection &amp; Indemnity Association<br/>           No.65 Ryukgyo Dong, Phyongchon District, Pyongyang, DPR Korea         </td> </tr> <tr> <th>이 증서의 유효기간<br/>This certificate is valid until:</th> <td>20<sup>th</sup> Sep. 2014</td> </tr> </table> | 담보종류<br>Type of Security                                                                                                                                                                       | Civil Liability for Bunker Oil Pollution Damage, 2001 | 담보기간<br>Duration of Security | 20 <sup>th</sup> Mar. 2014 – 20 <sup>th</sup> Feb. 2015 | 보험자 또는 담보자 이름과 주소<br>Name and address of the insurer(s) and/or insured(s): | Korea Shipowners' Protection & Indemnity Association<br>No.65 Ryukgyo Dong, Phyongchon District, Pyongyang, DPR Korea | 이 증서의 유효기간<br>This certificate is valid until: | 20 <sup>th</sup> Sep. 2014 |  |
| 담보종류<br>Type of Security                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | Civil Liability for Bunker Oil Pollution Damage, 2001                                                                                                                                          |                                                       |                              |                                                         |                                                                            |                                                                                                                       |                                                |                            |  |
| 담보기간<br>Duration of Security                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | 20 <sup>th</sup> Mar. 2014 – 20 <sup>th</sup> Feb. 2015                                                                                                                                        |                                                       |                              |                                                         |                                                                            |                                                                                                                       |                                                |                            |  |
| 보험자 또는 담보자 이름과 주소<br>Name and address of the insurer(s) and/or insured(s):                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | Korea Shipowners' Protection & Indemnity Association<br>No.65 Ryukgyo Dong, Phyongchon District, Pyongyang, DPR Korea                                                                          |                                                       |                              |                                                         |                                                                            |                                                                                                                       |                                                |                            |  |
| 이 증서의 유효기간<br>This certificate is valid until:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | 20 <sup>th</sup> Sep. 2014                                                                                                                                                                     |                                                       |                              |                                                         |                                                                            |                                                                                                                       |                                                |                            |  |
| 조선민주주의인민공화국 정부의 위임에 따라 국가해사감독국이 이 증서를 발급함<br>The present certificate is issued under the authority of the Government of the Democratic People's Republic of Korea by<br>Maritime Administration, DPR Korea                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                                                                                                                                                |                                                       |                              |                                                         |                                                                            |                                                                                                                       |                                                |                            |  |
| 조선민주주의인민공화국<br>국가해사감독국<br>MARITIME ADMINISTRATION, DPR KOREA                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | 발급장소<br>Issued at: PYONGYANG<br><br>발급일자<br>Issued on: 22 <sup>nd</sup> Mar. 2014<br><br>수표<br>Signature:  |                                                       |                              |                                                         |                                                                            |                                                                                                                       |                                                |                            |  |

Source: Mexican authorities

**13.6. Korea Shipowners' Protection & Indemnity Association's letter of undertaking following grounding of the *Mu Du Bong* on 21 July 2014**

0001  
106  
0106

조선선주보호 및 보상협회  
KOREA SHIPOWNERS' PROTECTION & INDEMNITY ASSOCIATION

To: PROCURADORIA FEDERAL DE PROTECCION AL AMBIENTE (PROFEPA)

**LETTER OF UNDERTAKING**

Vessel: MV "MU DU BONG"  
Voyage: No. 244  
Claims: Impairment to Environment and Coral Reef Restoration

PROCURADURIA DE RECURSOS NATURALES  
Secretaría Central de Inspección y Vigilancia de Vida

In consideration of your refraining from taking action resulting in the arrest or detaining of the above named vessel or any other vessel, asset or property in the same or associated Ownership or Management for the purpose of founding jurisdiction and/or obtaining security in respect of the above claim which you have concerning the impairment to the environment and coral reef restoration, we acting on behalf of the owners, hereby undertake to pay you on your written demand such sum as may be agreed between the parties hereto by way of amicable settlement, to be recoverable from the Owners of the above named ship in respect of the said sum claims, interest and costs, provided that the liability of the Owners shall not exceed the sum of USD 800,000.00 (Eight Hundred Thousand US Dollars), inclusive of interest and costs.

This undertaking is issued without prejudice to the question of Owners or Legal position.

This letter of undertaking shall be governed by and construed in accordance with Mexican Law and any dispute arising out of or in connection with this letter including, any question regarding its existence, validity or termination, shall be subject to the exclusive jurisdiction of Mexican Courts.

Kim Ho  
President

KOREA SHIPOWNERS' P&I ASSOCIATION  
Pyongyang, 21<sup>st</sup> July, 2014

COPIAS  
CERTIFICADAS

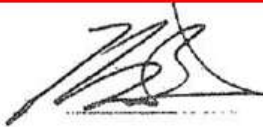
PROFEPA  
DGI/VS/RM/EF

KOREA SHIPOWNERS' PROTECTION & INDEMNITY ASSOCIATION  
Ships Registry: Daejeon Pyongsong 11, Daejeon Pyongsong, DPR Korea, P.O. Box 117,  
Tel: 850-2-18111999 ext. 3010 Fax: 850-2-301-1210 E-Mail: kpi@kpi.or.kr

Source: Mexican authorities

### 13.7. Korea Shipowners' Protection & Indemnity Association Certificate of Entry with false date of issue

This document was not carried aboard the vessel and was produced following the grounding of the *Mu Du Bong* in July 2014 as part of efforts to persuade the Mexican authorities to release the *Mu Du Bong*. Identical Certificate Number 022-43A-20T/2014 (annex 13.8) now provides cover for "Wreck Removal and Restoration Costs" instead of "oil pollution only".

| Korea Shipowners' Protection & Indemnity Association                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                                                                                                                                        | KPIA                                                                                 |               |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------|---------------|
| <b>Certificate of Entry</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                                                                                                                                                        |                                                                                      |               |
| Certificate Number: 022-43A-20T/2014                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                                                                                                                                        |                                                                                      |               |
| <b>MEMBER:</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | MUDUBONG SHIPPING CO., LTD                                                                                                                                                             |                                                                                      |               |
| <b>SHIP:</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | Name                                                                                                                                                                                   | IMO No.                                                                              | Class         |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | "MU DU BONG"                                                                                                                                                                           | 8328197                                                                              | KC            |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                                                                                                                                                        |                                                                                      | General Cargo |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                                                                                                                                                        |                                                                                      | GT 5 683      |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                                                                                                                                                        |                                                                                      | Built 1983    |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                                                                                                                                                        |                                                                                      | Flag PRK      |
| <b>PERIOD:</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | From 20 <sup>th</sup> March 2014 inclusive 12 00 Pyongyang Local Time<br>Until 20 <sup>th</sup> February 2015 inclusive 12 00 Pyongyang Local Time                                     |                                                                                      |               |
| <b>CONDITIONS :</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | To cover Protection and Indemnity risks as per Korea Shipowners' Protection and Indemnity Association Rules as follows:<br>Wreck Removal and Restoration costs included                |                                                                                      |               |
| <b>SPECIAL AGREEMENTS:</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | Subject to Ship having a full condition survey at Assured expense by KPIA approved surveyor within 15 days attachment<br>Subject to payment: Premium to KPIA within 10 days attachment |                                                                                      |               |
| <b>DEDUCTIBLES:</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | USD 84 000 all claims each accident or occurrence                                                                                                                                      |                                                                                      |               |
| <b>LIMIT OF LIABILITY:</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | USD 4 200 000 any one accident or occurrence                                                                                                                                           |                                                                                      |               |
| <b>OPERATING AREA:</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Worldwide excluding U.S.A., Japan and South Korea                                                                                                                                      |                                                                                      |               |
| <p>THIS CERTIFICATE OF ENTRY is evidence only of the contract of indemnity insurance between the named Member and the Association and shall not be construed as evidence of any undertaking of financial or otherwise on the part of the Association to any other party.</p> <p>IN THE EVENT a Member lends this certificate or Entry as evidence of insurance under any applicable law relating to financial responsibility, or otherwise shows or offers it to any other party as evidence of insurance, such use of this Certificate of Entry by the member is not to be taken as any indication that Association thereby consents to act as guarantor or to be sued directly in any jurisdiction whatsoever. The Association does not so consent.</p> |                                                                                                                                                                                        |                                                                                      |               |
| <br>Date: 20 <sup>th</sup> March 2014<br>Authorized Signatory for                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                                                                                                                                        |  |               |

Source: Mexican authorities

### 13.8. Korea Shipowners' Protection & Indemnity Association as insurance provider for the *Mu Du Bong*

Certificate of Entry for *Mu Du Bong* issued by Korea Shipowners' Protection & Indemnity Association in March 2014. Certificate Number 022-43A-20T/2014 provides coverage limited to "oil pollution only".

조선선주보호 및 보상협회  
KOREA SHIPOWNERS' PROTECTION & INDEMNITY ASSOCIATION

KPIA

## Certificate of Entry

Certificate Number: 022-43A-20T/2014

**MEMBER:** MUDUBONG SHIPPING CO., LTD

**SHIP:**

| Name         | IMO No. | Class | Type          | GT    | Built | Flag |
|--------------|---------|-------|---------------|-------|-------|------|
| "MU DU BONG" | 8328197 | KC    | General Cargo | 6 583 | 1983  | PRK  |

**PERIOD:** From 20<sup>th</sup> March 2014 inclusive, 12:00 Pyongyang Local Time,  
Until 20<sup>th</sup> February 2015 inclusive, 12:00 Pyongyang Local Time

**CONDITIONS:** To cover Protection and Indemnity risks as per Korea Shipowners' Protection and Indemnity Association Rules as follows;  
**Oil Pollution only**

**SPECIAL AGREEMENTS:** Subject to Ship having a full condition survey at Assured expense by KPIA approved surveyor within 15 days attachment.  
Subject to payment Premium to KPIA within 10 days attachment.

**DEDUCTIBLES:** USD 84,000 all claims each accident or occurrence

**LIMIT OF LIABILITY:** USD 4,200,000 any one accident or occurrence

**OPERATING AREA:** Worldwide excluding U.S.A, Japan and South Korea

THIS CERTIFICATE OF ENTRY is evidence only of the contract of indemnity insurance between the named Member and the Association. It shall not be construed as evidence of any undertaking of financial or otherwise, on the part of the Association to any other party.

IN THE event a Member tenders this certificate or Entry as evidence of insurance under any applicable law relating to financial responsibility or otherwise shows or offers it to any other party as evidence of insurance, such use of this Certificate of Entry by the member shall not be taken as any indication that Association thereby consents to act as guarantor and be sued directly in any jurisdiction whatsoever. The Association does not so consent.

Date: 20<sup>th</sup> March 2014

Authorized Signatory for

KOREA SHIPOWNERS' PROTECTION & INDEMNITY ASSOCIATION  
10-41 Ryugyeon-dong, Pyongyang - North Pyongyang, DPR Korea 950000, DPR  
Tel: 850-2-6811144 Fax: 850-2-6811145 E-mail: kpi@kpi.dpr.kp

Source: The Panel

Extract from a Democratic People's Republic of Korea publication relating to Ocean Maritime Management Company (OMM)

# Annex 15 – Ocean Maritime Management Company-associated vessels

## a. Registered as active (as of 28 July 2014):

1. *Chol Ryong* (formerly known as [fka] *Ryong Gum Bong*) (IMO 8606173)
2. *Hu Chang* (fka *O Un Chong Nyon Ho*) (IMO 8330815)
3. *Hui Chon* (fka *Hwang Gum San 2*) (IMO 8405270)
4. *Ji Hye Can* (fka *Hyok Sin 2*) (IMO 8018900)
5. *Kang Gye* (fka *Pi Ryu Gang*) (IMO 8829593)
6. *Mu Du Bong* (IMO 8328197)
7. *Myong San 1* (fka *Po Thae*) (IMO 7632955)
  - registered as broken up on 22 August 2014
8. *O Rang* (fka. *Po Thong Gang, Bo Thong Gang*) (IMO 8829555)
9. *Ryong Rim* (fka *Jon Jin 2*) (IMO 8018912)
10. *Se Pho* (fka *Rak Won 2*) (IMO 8819017)
11. *Song Jin* (fka *Jang Ja San Chong Nyon Ho*) (IMO 8133530)
12. *Tae Ryong Gang* (fka *Ap Rok Gang*) (IMO 8132835)
13. *Tan Chon* (fka *Ryong Gang 2*) (IMO 7640378)
14. *Tong Hung San* (fka *Chong Chon Gang*) (IMO 7937317)

## b. Registered as inactive (as of 28 July 2014):

15. *Chong Jin 2* (IMO 7628241)
  - registered as broken up on 24 April 2013
16. *Dai Hong Dan* (IMO 7944695)
  - registered as broken up on 25 July 2013
17. *Dok Chon* (IMO 7411260)
  - registered as broken up on 12 October 2010
18. *Ja Gang* (IMO 7405998)
  - registered as broken up on 3 March 2006
19. *Jang San* (also known as [aka] *Zang San*) (IMO 8358599)
  - registered as broken up on 29 April 2013
20. *Jip Sam* (IMO 8330827)
  - registered as broken up on 17 April 2014
21. *Jon Jin* (aka *Grand Jade*) (IMO 7385734)
  - registered as broken up on 12 October 2010
22. *Kwan Mo Bong* (IMO 8126862)
  - registered as broken up on 13 March 2012
23. *Mi Rae* (IMO 7700063)
  - registered as broken up on 14 December 2011
24. *Mu San* (IMO 7920596)
  - registered as broken up on 24 November 2012
25. *Paek Ma Gang* (fka *Baek Ma Gang*) (IMO 7944683)
  - registered as broken up on 16 April 2013
26. *Pe Gae Bong* (IMO 8328616)
  - registered as broken up on 8 March 2014
27. *Sam Il Po* (IMO 8829567)
  - registered as broken up on 25 April 2013

28. *Sin Chon* (IMO 7720881)
  - registered as broken up on 17 November 2012
29. *Tae Dong Gang* (IMO 7738656)
  - registered as broken up on 16 May 2014
30. *Tae Gak Bong* (fka *Dae Gak Bong*) (IMO 8729884)
  - registered as total loss on 9 December 2012
31. *Ta Mak Gol* (IMO 8829581)
  - registered as total loss on 5 April 2005
32. *Tu Man Gang* (fka *Du Man Gang*) (IMO 7937305)
  - registered as broken up on 3 May 2013
33. *Wang Jae San* (IMO 7738670)
  - registered as broken up on 8 November 2011
34. *Yon Phung Ho* (IMO 8101032)
  - registered as broken up on 14 June 2012

c. Ocean Maritime Management Company formerly registered

35. *Ryong Nam 2* (aka *South Hill 2*) (IMO 8412467)
  - OMM was registered as the ship's manager and operator from 1 August 2006 to July 2012, and beneficial owner from 16 November 2006 to July 2012. This vessel is still registered active.

Source: IMO and Tokyo MOU databases, and information obtained by the Panel

## **Annex 16 – Ocean Maritime Management Company and Korea Tonghae-associated entities**

### **16.1 Summary information**

The Panel has identified that Ocean Maritime Management Company (OMM) has owned and/or operated at least 35 vessels over the past decade, most of which were originally owned and/or controlled by Korea Tonghae Shipping Co. By 28 July 2014, 21 out of 35 vessels were already registered inactive.

Korea Tonghae was involved in the 1996 illicit exports of two chemical precursors listed as agents for military use under the Japanese Export Trade Control Order. The *Pong Su* (IMO 8005836) was also intercepted by the Australian navy in April 2003 when the vessel was used in an attempt to smuggle heroin into Australia.

Sohae Sonbak Co Ltd, Taedonggang Sonbak Co Ltd, Tonghae Sonbak Co Ltd, and Korea Tonghae have been registered in the IMO database with the same address (CPO Box 120, Changgwang-dong, Chung-guyok, Pyongyang, Democratic People's Republic of Korea) which appears similar to OMM's address (CPO Box 120, Tonghung-dong, Chung-guyok, Pyongyang, Democratic People's Republic of Korea). Further, OMM, Sohae Sonbak, Taedonggang Sonbak, and Tonghae Sonbak have shared the same fax number (+850-2-381-4567) and phone number (+850-2-18111 ext. 381-8818).

OMM developed business relationships with these four entities as early as June 2004 (annex 16.2). As of 28 July 2014, Taedonggang Sonbak still served as a registered ship manager and/or operator for two OMM-controlled vessels, according to the IMO and Tokyo MOU databases.

OMM adopted evasion techniques to evade the monitoring or regulations of certain countries, partnering with these entities, which predates the imposition of United Nations sanctions on the Democratic People's Republic of Korea in October 2006. At various times over the past decade, multiple vessels' registrations were changed simultaneously, which coincided with missile/rocket launches, nuclear tests or military actions on the part of the Democratic People's Republic of Korea. These re-registrations may have been made in anticipation of, or in response to, strengthened sanctions or monitoring by the relevant Member States.

Since 2008, the various roles of manager, operator, and owner were incrementally transferred from all these companies to OMM. In the process, OMM controlled these vessels through other entities, each of which serve as registered owner and/or operator of a single vessel for some period of time. Therefore, OMM evasion techniques predated the imposition of sanctions.

In particular, registrations for multiple OMM-controlled vessels were changed almost simultaneously in 1999, July-September 2006, June-September 2010, May-June 2011, and April-June 2012. While the motives behind these simultaneous registration changes have yet to be confirmed, most timings appear to coincide with missile launches, nuclear tests or military action undertaken by the Democratic People's Republic of Korea. These include the first failed attempt to launch the Taepo-dong missile in 1998; the naval war with the Republic of Korea in 1999; the Taepo-dong rocket launch in July 2006; a nuclear test in October 2006; the sinking of the Republic of Korea's Cheonan warship in March 2010; the Democratic People's Republic of Korea artillery attacks on the Republic of Korea's Yeonpyeong island in November 2010; and a failed launch of the Taepodong 2 rocket in April 2012.

16.2 Ocean Maritime Management Company's 2004 letter showing its relationships with Sohae Sonbak, Taedonggang Sonbak, and Tonghae Sonbak

**원양해운관리유한책임회사**  
**OCEAN MARITIME MANAGEMENT CO., LTD.**

DONGHEUNGDO, CHUNG-DISTRICT, PYONGYANG, DEMOCRATIC PEOPLE'S REPUBLIC OF KOREA  
TEL: 381-8818, TEL 37005 OCEAN KP, FAX: 381-4567, CHL OCEAN PYONGYANG

Ref No: OMM04 [REDACTED] Date: [REDACTED] 2004

To: [REDACTED]  
Attn: [REDACTED]

DEAR SIR

**CERTIFICATE of AUTHORIZED ACTIVITY**  
in [REDACTED]

We, Ocean Maritime Management Co., Ltd notify that Mr. CHOE IL SON (Passport No. S554221066), Senior Executive Manager, Mr. RI SONG HWAN (Passport No. S554221068), Senior Marketing Coordinator and Mr. RI JONG IN (Passport No. S554221067), Chief Financial Auditor have been appointed to call on your companies for discussing further agency business dealings and develop further mutual cooperation in the shipping domain in [REDACTED] such as chartering, supply of stores, bunkering, repairing, sale and purchase, solution of any accident or disputes in connection with the vessels managed by our company.

It is our pleasure to inform that they have been authorized to take all necessary activities to settle port charges in [REDACTED] for and on behalf of shipowners of the following vessels:

|                        |                                            |
|------------------------|--------------------------------------------|
| Vessel : DAEGAKBONG    | under ownership of Tonghae Sonbak Co.,     |
| : ZANGSAN              | under ownership of Tonghae Sonbak Co.,     |
| : BOTONGGANG ✓         | under ownership of Tonghae Sonbak Co.,     |
| : CHIPSAM ✓            | under ownership of Tonghae Sonbak Co.,     |
| : WANGJAESAN           | under ownership of Taedonggang Sonbak Co., |
| : PHOTAE               | under ownership of Taedonggang Sonbak Co., |
| : ZAGANG               | under ownership of Taedonggang Sonbak Co., |
| : LYONGGUNBONG         | under ownership of Taedonggang Sonbak Co., |
| : ZANGZASANCHONGNYONHO | under ownership of Taedonggang Sonbak Co., |
| : TAEDONGGANG ✓        | under ownership of Taedonggang Sonbak Co., |
| : ZAGANG               | under ownership of Taedonggang Sonbak Co., |
| : DOKCHON              | under ownership of Sohae Sonbak Co.,       |
| : TAMAKGOL             | under ownership of Sohae Sonbak Co.,       |
| : JONJIN               | under ownership of Sohae Sonbak Co.,       |
| : KWANMOBONG ✓         | under ownership of Sohae Sonbak Co.,       |
| : DUMANGANG ✓          | under ownership of Sohae Sonbak Co.,       |
| : DAIHONGDAN           | under ownership of Sohae Sonbak Co.,       |

We shall be much obliged to you if you will give our delegation in [REDACTED] the careful attention to get a good result and we are confident that our good relations will be continued.

Sincerely yours,

On behalf of Ocean Maritime Management Co., Ltd.

President  
CHA SON MO



Source: The Panel

**Annex 17 – Entities assisting Ocean Maritime Management Company in the evasion of sanctions**

| <i>Ocean Maritime Management Company entities</i> |                                 |                   |
|---------------------------------------------------|---------------------------------|-------------------|
|                                                   | <i>Company Name</i>             | <i>IMO Number</i> |
| 1                                                 | Annokgang Shipping Co Ltd       | 5459864           |
| 2                                                 | Biryugang Shipping Co Ltd       | 5434313           |
| 3                                                 | Cholryong Shipping Co Ltd       | 5814870           |
| 4                                                 | Chongchongang Shipping Co Ltd   | 5342883           |
| 5                                                 | Haejin Ship Management Co Ltd   | 5814866           |
| 6                                                 | Huchang Shipping Co Ltd         | 5820255           |
| 7                                                 | Huichon Shipping Co Ltd         | 5817812           |
| 8                                                 | Hwanggumsan Shipping Co Ltd     | 5701481           |
| 9                                                 | Hyoksin Shipping Co Ltd         | 5459966           |
| 10                                                | Jangjasan Shipping Co Ltd       | 5465593           |
| 11                                                | Jangsan Shipping Co Ltd         | 5614045           |
| 12                                                | Jihyesan Shipping Co Ltd        | 5821426           |
| 13                                                | Jonjin Shipping Co Ltd          | 5571089           |
| 14                                                | Kanggye Shipping Co Ltd         | 5822804           |
| 15                                                | Mudubong Shipping Co Ltd        | 5435991           |
| 16                                                | Myongsan Marine Co Ltd          | 5814897           |
| 17                                                | Orang Shipping Co Ltd           | 5821443           |
| 18                                                | Oun Shipping Co Ltd             | 5459949           |
| 19                                                | Phothae Shipping Co Ltd         | 5614076           |
| 20                                                | Pothonggang Shipping Co Ltd     | 5459952           |
| 21                                                | Pyongjin Ship Management Co Ltd | 5817790           |
| 22                                                | Rakwon Shipping Co Ltd          | 5459918           |
| 23                                                | Ryonggang Shipping Co Ltd       | 5522315           |
| 24                                                | Ryonggunbong Shipping Co Ltd    | 5481559           |
| 25                                                | Ryongnam Shipping Co Ltd        | 5571075           |
| 26                                                | Ryongrim Shipping Co Ltd        | 5817772           |
| 27                                                | Sepho Shipping Co Ltd           | 5821412           |
| 28                                                | Songjin Shipping Co Ltd         | 5821430           |
| 29                                                | Taedonggang Sonbak Co Ltd       | 1845139           |
| 30                                                | Taeryonggang Shipping Co Ltd    | 5814906           |
| 31                                                | Tanchon Shipping Co Ltd         | 5817809           |
| 32                                                | Tonghungsan Shipping Co Ltd     | 5826665           |
| 33                                                | Yongjin Ship Management Co Ltd  | 5814883           |
| 34                                                | Yonphungho Shipping Co Ltd      | 5522350           |

See annex 18 for company details.

## Annex 18 – Entities that have worked for Ocean Maritime Management Company

### Ocean Maritime Management Company, Limited (OMM)

- New alias: East Sea Shipping Company
- IMO registration date: 25 December 2007
- Address: Tonghung Dong, Central District, Pyongyang, DPRK
- Address 2: Donghung Dong, Central District, PO Box 120, Pyongyang, DPRK
- Tel: 850-2-18111 ext 381-8818-17; +850-2-18111 Ext 8818
- Fax: 850-2-381-4567; +850-2-3814567
- Email: [oceanmm@silibank.com](mailto:oceanmm@silibank.com), [oceanmm@silibank.net.kp](mailto:oceanmm@silibank.net.kp), [wonyang@silibank.com](mailto:wonyang@silibank.com), [eastseashipping@silibank.net.kp](mailto:eastseashipping@silibank.net.kp)

### Amnokgang Shipping Co Ltd (IMO 5459864)

- A registered owner and operator of the *Ap Rok Gang* (IMO 8132835) from 25 December 2007 to 26 September 2014. The ship manager was registered in the IMO database as OMM for the same period. The Tokyo MOU database listed OMM as the vessel's ISM Manager.
- Address: c/o OMM, CPO Box 120, Tonghung-dong, Chung-gu, Pyongyang, DPRK.
- Tel: 850-2-18111 ext 381-8818-15; Fax: 850-2-381-4567; [abrokgang@silibank.com](mailto:abrokgang@silibank.com)

### Biryugang Shipping Co Ltd (IMO 5434313)

- A registered owner of the *Pi Ryu Gang* (IMO 8829593) whose ship manager and operator was registered in the IMO database as OMM from 2011 to 10 September 2014. This company is registered in the IMO database with a c/o address provided by OMM.

### Cholryong Shipping Co Ltd (IMO 5814870)

- A registered owner of the *Chol Ryong* (IMO 8606173) since August 2014, which was renamed from *Ryong Gun Bong* on 1 August 2014. The Tokyo MOU database listed OMM as the vessel's ISM Manager.
- Date of incorporation: 18 June 2014
- Address: 607, Haeun, Tonghung-dong, Chung-gutok, Pyongyang, DPRK.
- Tel: 850-2-18111 ext 381-8145; Email: [Haejinism@silibank.net.kp](mailto:Haejinism@silibank.net.kp)

### Chongchongang Shipping Company Limited (IMO 5814870)

- Registered owner, ship manager and operator of the *Chong Chon Gang* (IMO 7937317) from April 2009 to 30 September 2014. The Panel has identified it as an OMM-controlled vessel.
- Address: 817, Haeun, Tonghung-dong, Chung-gu, Pyongyang, DPRK.
- Tel: 850-2-18111 ext 381-8818-18; Fax: 850-2-381-4567; Email: [chongchongang@silibank.com](mailto:chongchongang@silibank.com)

### Haejin Ship Management Co Ltd (IMO 5814866)

- A newly registered ship manager and operator of the *Chol Ryong* (IMO 8606173) which was renamed from *Ryong Gun Bong* on 1 August 2014. The *Ryong Gun Bong*'s ship manager and operator were registered in the IMO database as OMM until August 2014.
- A newly registered ship manager and ISM manager of the following OMM-controlled vessels:
  - the *Song Jin* (IMO 8133530) which was renamed on 1 October 2014 from *Jang Ja San Chong Nyon Ho*;
  - the *Ryong Rim* (IMO 8018912) which was renamed on 1 September 2014 from *Jon Jin 2*;
  - the *Se Pho* (IMO 8819017) which was renamed on 1 October 2014 from *Rak Won 2*.
- Date of incorporation: 30 April 2014
- Address: Tonghung-dong, Chung-guyok, Pyongyang, DPRK.
- Tel: 850-2-18111 ext 381-8145; Email: [Haejinism@silibank.net.kp](mailto:Haejinism@silibank.net.kp)

**Huchang Shipping Co Ltd (IMO 5820255)**

- A newly registered owner of the *Hu Chang* (IMO 8330815) which was renamed on 1 September 2014 from *O Un Chong Nyon Ho* operated by OMM.
- Address: c/o Yongjin Ship Management Co Ltd, Tonghung-dong, Chung-guyok, Pyongyang, DPRK.

**Huichon Shipping Co Ltd (IMO 5817812)**

- A newly registered owner of the *Hui Chon* (IMO 8405270) which was renamed on 1 October 2014 from *Pi Ryu Gang* operated by OMM.
- Date of incorporation: 5 August 2014
- Address: c/o Pyongjin Ship Management Co Ltd, Ryukkyo 1-dong, Pyongchon-guyok, Pyongyang, DPRK; and 35, Puksong 2 Dong, Pyongchon District, Pyongyang, DPRK.
- Tel: 850-2-18111 ext 381-8071; Email: [Pyongjinsm@silibank.net.kp](mailto:Pyongjinsm@silibank.net.kp)

**Hwanggumsan Shipping Co Ltd (IMO 5701481)**

- A registered owner of the *Hwang Gum San 2* (aka *Hui Chon*) (IMO 8405270) which was renamed to the *Hui Chon* on 1 October 2014. The ship manager and operator were registered in the IMO database as OMM from 4 October 2012 to September 2014. It is registered in the IMO database with a c/o address provided by OMM.
- Address: c/o OMM, CPO Box 120, Tonghung-dong, Chung-gu, Pyongyang, DPRK.

**Hyoksin Shipping Co Ltd (IMO 5459966)**

- A registered owner of the *Hyok Sin 2* (IMO 8018900) which was renamed to the *Ji Hye Can* on 1 October 2014. The ship manager and operator were registered in the IMO database as OMM from September 2010 to September 2014.
- Address: c/o OMM, CPO Box 120, Tonghung-dong, Chung-gu, Pyongyang, DPRK; and 615, Haeun, Tonghung-dong, Central District, Pyongyang, DPRK.
- Tel: 850-2-18111 ext 381-8818-23; Fax: 850-2-381-4567; [hyoksin@silibank.com](mailto:hyoksin@silibank.com)

**Jangjasan Shipping Co Ltd (IMO 5465593)**

- A registered owner, ship manager and operator of the *Jang Ja San Chong Nyon Ho* (IMO 8133530) from 14 April 2009 to 10 October 2014 which was renamed to the *Song Jin* on 1 October 2014. However, the Tokyo MOU database listed OMM as the vessel's ISM manager.
- Address: 602, Tonghung-dong, Chung-gu, Pyongyang, DPRK.
- Tel: 850-2-18111 ext 381-8818-25; Fax: 850-2-381-4567; [jangjasan@silibank.com](mailto:jangjasan@silibank.com)

**Jangsan Shipping Co Ltd (IMO 5614045)**

- A former registered owner of the *Jang San* (IMO 8328599) whose ship manager and operator was registered in the IMO database as OMM until this vessel was registered as "Broken up" on 29 April 2013. Information obtained by the Panel demonstrates that OMM expressed its intent to pay outstanding bunker cost on behalf of this company on 11 January 2013.
- Address: 703, Haeun, Tonghung-dong, Chung-guyok, Pyongyang, DPRK

**Jihyesan Shipping Co Ltd (IMO 5821426)**

- A newly registered owner of the *Ji Hye Can* (IMO 8018900) which was renamed on 1 October 2014 from *Hyok Sin 2* controlled by OMM.
- Date of incorporation: 31 August 2014
- Address: c/o Haejin Ship Management Co Ltd, Tonghung-dong, Chung-guyok, Pyongyang, DPRK.
- Address 2: 563, Pongji-dong, Phyongchon District, Pyongyang, DPRK
- Tel: 850-2-18111 ext 381-8145; Email: [haejinsm@silibank.net.kp](mailto:haejinsm@silibank.net.kp)

**Jonjin Shipping Co Ltd (IMO 5571089)**

- A registered owner of the *Jon Jin 2* (IMO 8018912) which was renamed to the *Ryong Rim* on 1 September 2014. The ship manager and operator were registered in the IMO database as OMM from September 2010 to 4 September 2014.
- Address: c/o OMM, CPO Box 120, Tonghung-dong, Chung-gu, Pyongyang, DPRK.

**Kanggye Shipping Co Ltd (IMO 5822804)**

- A newly registered owner of the *Kang Gye* (IMO 8829593) which was renamed on 1 September 2014 from *Pi Ryu Gang* operated by OMM.
- Date of incorporation: 6 September 2014
- Address: Pyongyang, DPRK.
- Address 2: Haeun 2 Dong, Phyongchon District, Pyongyang, DPRK
- Tel: 850-2-18111 ext 381-8025; Email: [yongjinsm@silibank.net.kp](mailto:yongjinsm@silibank.net.kp)

**Mirae Shipping Co Ltd (aka Korea Mirae Shipping Co., Ltd.) (IMO 5268829)**

- According to Mirae Shipping HK, this company has worked as broker for hiring OMM crews. It was associated with ownership and operation of OMM-associated vessels.
- Date of IMO registration: 24 February 2003
- Address: 105 Haewun Building, Tonghung-dong, Chung-guyok, PO Box 2034, Pyongyang, DPRK.
- Address: Tonghung Dong, Central District, Pyongyang, DPRK
- Tel: 850-2-18111 ext 381-8818-09; Fax: 850-2-381-4567
- Email: [mirae@silibank.com](mailto:mirae@silibank.com)

**Mudubong Shipping Co Ltd (IMO 5435991)**

- A registered owner of the *Mu Du Bong* (IMO 8328197) since 6 January 2009 whose operator has been identified by the Panel as OMM.
- Address: CPO Box 120, Changkwang-dong, Chungu-gu, Pyongyang, DPRK; and 611, Haeun Tonghung-dong, Central District, Pyongyang, DPRK.

**Myongsan Marine Co Ltd (IMO 5814897)**

- A registered owner of the *Myong San 1* (IMO 8330815) which was renamed from the *Pho Thae* on 1 August 2014. OMM was the registered ship manager and operator for the vessel from June 2011 to July 2014.
- Date of incorporation: 30 July 2014
- Address: Pyongyang, DPRK.
- Tel: 850-2-18111 ext 381-8025; Email: [Yongjinsm@silibank.net.kp](mailto:Yongjinsm@silibank.net.kp)

**Orang Shipping Co Ltd (IMO 5821443)**

- A registered owner of the *O Rang* (IMO 8829555) since 10 September 2014 which was renamed from *Po Thong Gang* ON 1 September 2014. The vessel's ship manager and operator were registered in the IMO database as OMM from 24 October 2008 to 31 July 2014.
- Address: 802, Ponghak Dong, Phyongchon District, Pyongyang, DPRK; and c/o Yongjin Ship Management Co Ltd, Tonghung-dong, Chung-guyok, Pyongyang, DPRK.

**Oun Shipping Co Ltd (IMO 5459949)**

- A registered owner of the *O Un Chong Nyon Ho* (IMO 8330815) which was renamed to the *Hu Chang* on 1 September 2014. The ship manager and operator were registered in the IMO database as OMM from 2 July 2008 to 10 September 2014.
- Address: c/o OMM, CPO Box 120, Tonghung-dong, Chung-gu, Pyongyang, DPRK; and 713, Tonghung Dong, Central District, Pyongyang, DPRK.
- Tel: 850-2-18111 ext 381-8818-16; Fax: 850-2-381-4567
- Email: [oun@silibank.com](mailto:oun@silibank.com)

**Phothae Shipping Co Ltd (IMO 5614076)**

- A former registered owner of the *Pho Thae* (IMO 8330815) whose ship manager and operator was registered in the IMO database as OMM from June 2011 to 31 July 2014. The *Pho Thae* was renamed to *Myong San 1* on 1 August 2014.
- Address: c/o OMM, CPO Box 120, Tonghung-dong, Chung-gu, Pyongyang, DPRK.

**Pothonggang Shipping Co Ltd (IMO 5459952)**

- A registered owner of the *Po Thong Gang* (IMO 8829555) from 24 October 2008 to 1 September 2014. The vessel was renamed to the *O Rang* on 1 September 2014. The Tokyo MOU database lists OMM as the vessel's ISM Manager.
- Address: 709, Tonghung Dong, Central District, Pyongyang, DPRK
- Tel: 850-2-18111 ext 381-8818-10; Fax: 850-2-381-4567
- Email: [pothonggang@silibank.com](mailto:pothonggang@silibank.com)

**Pyongjin Ship Management Co Ltd (IMO 5817790)**

- A newly registered ship manager and ISM Manager of the *Hui Chon* (IMO 8405270) since October 2014 which was renamed on 1 October 2014 from *Hwang Gum San 2*.
- Date of incorporation: 18 June 2014
- Address: 102, Ryuggyo 1 Dong, Pyongchon District, Pyongyang, DPRK
- Tel: 850-2-18111 ext 381-8071; Email: [Pyongjinsm@silibank.net.kp](mailto:Pyongjinsm@silibank.net.kp)

**Rakwon Shipping Co Ltd (IMO 5459918)**

- A registered owner of the *Rak Won 2* (IMO 8819017) whose ship manager and operator is registered in the IMO database as OMM from August 2011 to September 2014. The Tokyo MOU database also listed OMM as the vessel's ISM manager.
- Address: 712, Tonghung-dong, Chung-gu, Pyongyang, DPRK.
- Tel: 850-2-18111 ext 381-8818-07; Fax: 850-2-381-456; [rakwon@silibank.com](mailto:rakwon@silibank.com)

**Ryonggang Shipping Co Ltd (IMO 5522315)**

- A registered owner of the *Ryong Gang 2* (IMO 7640378) which was renamed to the *Tan Chon* on 1 October 2014. The ship manager and operator were registered in the IMO database as OMM from September 2010 to September 2014.
- Address: c/o OMM, CPO Box 120, Tonghung-dong, Chung-gu, Pyongyang, DPRK.

**Ryonggunbong Shipping Co Ltd**

- A former registered owner of the *Ryong Gun Bong* (IMO 8606173) from 15 October 2006 to August 2014. The vessel was renamed to *Chol Ryong* on 1 August 2014. The Tokyo MOU database listed OMM as the vessel's ISM Manager.
- Address: CPO Box 120, Changkwang-dong, Chungu-gu, Pyongyang, DPRK.

**Ryongnam Shipping Co Ltd (IMO 5817772)**

- A former registered owner of the *Tu Man Gang* (IMO 7937305) whose ship manager and operator was registered in the Equasis database as OMM until this vessel was listed "Broken up" on 3 May 2013. Information obtained by the Panel demonstrates that OMM expressed its intent to pay outstanding bunker cost on behalf of this company on 11 January 2013.
- Date of incorporation: 13 August 2014
- Address: 404, Ryugyong 2 Dong, Pothonggang District, Pyongyang, DPRK
- Tel: 850-2-18111 ext 381-8145
- Email: [Haegiinsm@silibank.net.kp](mailto:Haegiinsm@silibank.net.kp)

**Ryongrim Shipping Co Ltd (IMO 5817772)**

- A newly registered owner of the *Ryong Rim* (IMO 8018912) since 5 September 2014 which was renamed on 1 September 2014 from *Jon Jin 2*.
- Address: c/o Haejin Ship Management Co Ltd, Tonghung-dong, Chung-guyok, Pyongyang, DPRK.

**Sepho Shipping Co Ltd (IMO 5821412)**

- A newly registered owner of the *Se Pho* (IMO 8819017) since September or October 2014 which was renamed on 1 October 2014 from *Rak Won 2*.
- Date of incorporation: 27 August 2014
- Address: c/o Haejin Ship Management Co Ltd, Tonghung-dong, Chung-guyok, Pyongyang, DPRK; and 905, Ponghak Dong, Phyongchon District, Pyongyang, DPRK.
- TEL: 850-2-18111 ext 381-8145
- Email: [haejinism@silibank.net.kp](mailto:haejinism@silibank.net.kp)

**Sohae Sonbak Co Ltd (IMO 1697711)**

- Information obtained by the Panel demonstrates that OMM managed vessels owned by this company no later than since 2004.
- Address: CPO Box 125, Changgwang Street, Dongheung-dong, Chung-ku, Pyongyang, DPRK; and Tonghung Dong, Central District, Pyongyang, DPRK
- Tel: 850-2-18111 ext 381-8818-13 Fax: 850-2-381-4567
- Email: [sohaesonbak@silibank.com](mailto:sohaesonbak@silibank.com)

**Songjin Shipping Co Ltd (IMO 5821430)**

- A newly registered owner of the *Song Jin* (IMO 8133530) since 10 October 2014 which was renamed on 1 October 2014 from *Jang Ja San Chong Nyon Ho*.
- Date of incorporation: 1 September 2014
- Address: c/o Haejin Ship Management Co Ltd, Tonghung-dong, Chung-guyok, Pyongyang, DPRK; and 915, Ryugyong 2 Dong, Pothonggang District, Pyongyang, DPRK
- Tel: 850-2-18111 ext 381-8145
- Email: [haejinism@silibank.net.kp](mailto:haejinism@silibank.net.kp)

**Taedonggang Shipping Co Ltd (IMO 5435974)**

- A registered owner of the *Tae Dong Gang* (IMO 7738656) which was registered "Broken up" in the IMO database on 16 May 2014. The Tokyo MOU database listed OMM as the vessel's ISM Manager.
- Address: Tonghung-dong, Chung-gu, Pyongyang, DPRK; and Tonghung Dong, Central District, Pyongyang, DPRK.
- Tel: 850-2-18111 ext 381-8818-04; Fax: 850-2-381-4567
- Email: [taedonggang@silibank.com](mailto:taedonggang@silibank.com)

**Taedonggang Sonbak Co Ltd (IMO 1845139)**

- A registered ship manager and operator of the *Tae Dong Gang* (IMO 7738656). The Tokyo MOU database listed OMM as the vessel's ISM Manager.
- Address: CPO Box 120, Changkwang-dong, Chung-gu, Pyongyang, DPRK; and Tonghung Dong, Central District, Pyongyang, DPRK.
- Tel: 850-2-18111 ext 381-8818-03; Fax: 850-2-381-4567
- Email: [taedonggangsonbak@silibank.com](mailto:taedonggangsonbak@silibank.com)

**Taeryonggang Shipping Co Ltd (IMO 5814906)**

- Registered ship manager and operator of the *Tae Ryong Gang* (IMO 8132835) since 26 September 2014, which was renamed on 1 October 2014 from *Am Nok Gang*.
- Address: c/o Yongjin Ship Management Co Ltd, Tonghung-dong, Chung-guyok, Pyongyang, DPRK.
- Date of incorporation: 2 July 2014
- Tel: 850-2-18111 ext 381-8025

- Email: [Yongjinsm@silibank.net.kp](mailto:Yongjinsm@silibank.net.kp)

**Tanchon Shipping Co Ltd (IMO 5817809)**

- A newly registered owner of the *Tan Chon* (IMO 7640378) since October 2014, which was renamed on 1 October 2014 from *Ryong Gang 2*.
- Address: c/o Yongjin Ship Management Co Ltd, Tonghung-dong, Chung-guyok, Pyongyang, DPRK.
- Date of incorporation: 11 August 2014
- Tel: 850-2-18111 ext 381-8025; Email: [Yongjinsm@silibank.net.kp](mailto:Yongjinsm@silibank.net.kp)

**Tonghae Sonbak Co Ltd (IMO 1845023)**

- Information obtained by the Panel demonstrates that OMM managed vessels owned by this company no later than since 2004.
- Address: P O Box 120 Changkwang-dong, Chung-gu, Pyongyang, DPRK; and Tonghung Dong, Central District, Pyongyang, DPRK.
- Tel: 850-2-18111 ext 381-8818-06; Fax: 850-2-381-4567
- Email: [tonghaesonbak@silibank.com](mailto:tonghaesonbak@silibank.com)

**Tonghungsan Shipping Co Ltd (IMO 5826665)**

- Newly registered owner and ship and ISM manager for the *Tong Hung San* (IMO 7937317) since October 2014, which was renamed from *Chong Chong Gang* in October 2014.
- Address: 283, Ryugyong 2-dong, Potonggang-guyok, Pyongyang, DPRK.

**Yongjin Ship Management Co Ltd (IMO 5814883)**

- A newly registered ship manager and operator of the *Myong San 1* (IMO 8330815) since August 2014, which was renamed on 1 August 2014 from *Pho Thae*.
- A newly registered ship manager of the following vessels:
  - The *Kang Gye* (IMO 8829593) since 11 September 2014, which was renamed on 1 September 2014 from *Pi Ryu Gang*; and
  - The *Hu Chang* (IMO 8330815) since 10 September 2014, which was renamed on 1 September 2014 from *O Un Chong Nyon Ho*.
- A newly registered ship manager and ISM manager of the following vessels:
  - The *Tae Ryong Gang* (IMO 8132835) since 26 September 2014, which was renamed on 1 October 2014 from *Am Nok Gang*; and
  - The *Tan Chon* (IMO 7640378) since October 2014, which was renamed on 1 October 2014 from *Ryong Gang 2*.
- Address: Tonghung-dong, Chung-guyok, Pyongyang, DPRK (source: IMO database).
- Date of incorporation: 30 June 2014
- Tel: 850-2-18111 ext 381-8025; Email: [Yongjinsm@silibank.net.kp](mailto:Yongjinsm@silibank.net.kp)

**Yonphungho Shipping Co Ltd (IMO 5522350)**

- A former registered owner of the *Yon Phung Ho* (IMO 8101032) whose ship manager and operator was registered as OMM until this vessel was registered as "Broken up" on 14 June 2012. Information obtained by the Panel demonstrates that OMM expressed its intent to pay outstanding bunker cost on behalf of this company on 11 January 2013.

Source: Equasis, IMO and Tokyo MOU databases and information obtained by the Panel

### Annex 19 – Ocean Maritime Management Company-associated vessels' movements after 28 July 2014

The following OMM-associated vessels' movements are reported in Lloyds' Intelligence Database and other AIS tracking databases.

#### *Chol Ryong (fka Ryong Gun Bong) (IMO 8606173)*

The *Ryong Gun Bong* was renamed to *Chol Ryong* in the Democratic People's Republic of Korea's Maritime Administration's database in August 2014. The newly registered companies for this vessel are Haejin Ship Management Co., Ltd. and Cholryong Shipping Co., Ltd. In specialized maritime databases, this vessel was recorded with the following movements:

| <u>Date</u>                | <u>Location</u>              |
|----------------------------|------------------------------|
| 25-28 November 2014        | Nakhodka, Russia             |
| 20 October 2014            | Dalian, China                |
| 31 August-2 September 2013 | Caofeidian, China            |
| 29-31 August 2013          | Caofeidian, China (anchored) |
| 4-6 August 2014            | Jingjiang, China             |

#### *Hu Chang (fka O Un Chong Nyon Ho) (IMO 8330815)*

The *O Un Chong Nyon Ho* was renamed to *Hu Chang*. The newly registered companies for this vessel are Yongjin Ship Management Co., Ltd. and Huchang Shipping Co., Ltd. In specialized maritime databases, this vessel was recorded with the following movements:

| <u>Date</u>        | <u>Location</u>               |
|--------------------|-------------------------------|
| 12-14 October 2014 | Jingjiang, China              |
| 5-8 August 2014    | Qinhuangdao, China            |
| 2-4 August 2014    | Qinhuangdao, China (anchored) |

#### *Hui Chon (fka Hwang Gum San 2) (IMO 8405270)*

The *Hwang Gum San 2* was renamed to *Hui Chon* in the Democratic People's Republic of Korea's Maritime Administration's database sometime by 9 September 2014. The newly registered companies for this vessel are Pyongjin Ship Management Co. and Huichon Shipping Co., Ltd. In specialized maritime databases, this vessel was recorded with the following movements:

| <u>Date</u>                 | <u>Location</u>           |
|-----------------------------|---------------------------|
| 29-30 October 2014          | Lanshan, China            |
| 29 October 2014             | Lanshan, China (anchored) |
| 16-17 October 2014          | Jinzhou, China            |
| 27 September-2 October 2014 | Lanshan, China (anchored) |

#### *Kang Gye (fka Pi Ryu Gang) (IMO 8829593)*

The *Pi Ryu Gang* was renamed to *Kang Gye*. The newly registered companies for this vessel are Yongjin Ship Management Co., Ltd. and Kanggye Shipping Co., Ltd. In specialized maritime databases, this vessel was recorded with the following movements:

| <u>Date</u>       | <u>Location</u>  |
|-------------------|------------------|
| 1-2 November 2014 | Jingjiang, China |

#### *Myong San 1 (fka Pho Thae) (IMO 7632955)*

The *Pho Thae* was renamed to *Myong San 1* in Democratic People's Republic of Korea's Maritime Administration's database in August 2014. The newly registered companies for this

vessel are Yongjin Ship Management Co., Ltd. and Myongsan Marine Co., Ltd. Shortly after this registration change, however, this vessel was recorded to have become inactive. In specialized maritime databases, this vessel was recorded with the following movements:

| <u>Date</u>       | <u>Location</u>            |
|-------------------|----------------------------|
| 22 August 2014    | Jiangyin, China (inactive) |
| 20 August 2014    | Qingdao, China             |
| 18-20 August 2014 | Huangdao, China            |

***O Rang (fka Po Thong Gang) (IMO 8829555)***

In specialized maritime databases, the *Po Thong Gang* was renamed to *O Rang* by 6 January 2015 and recorded with the following movements:

| <u>Date</u>                  | <u>Location</u>  |
|------------------------------|------------------|
| 8 December 2014              | Nakhodka, Russia |
| 24 September-13 October 2014 | Nakhodka, Russia |
| 7-9 September 2014           | Jingjiang, China |

***Ryong Rim (fka Jon Jin 2) (IMO 8018912)***

The *Jon Jin 2* was renamed to *Ryong Rim* database as of 1 September 2014. The newly registered companies for this vessel are Haejin Ship Management and Ryongrim Shipping Co., Ltd. In specialized maritime databases, this vessel was recorded with the following movements:

| <u>Date</u>                                  | <u>Location</u>               |
|----------------------------------------------|-------------------------------|
| 4 January 2015                               | Zhuhai, China                 |
| 10-12 October 2014                           | Lanshan, China                |
| 9-10 October 2014                            | Lanshan, China (anchored)     |
| 23-24 September 2014                         | Lanshan, China                |
| 21 August- sometime before 23 September 2014 | Lianyungang, China (anchored) |
| 19-21 August 2014                            | Lanshan, China                |
| 5-7 August 2014                              | Tianjin, China                |

***Se Pho (fka. Rak Won 2) (IMO 8819017)***

The *Rak Won 2* was renamed to *Se Pho*. The newly registered companies for this vessel are Haejin Ship Management and Sepho Shipping Co., Ltd. In specialized maritime databases, this vessel was recorded with the following movements:

| <u>Date</u>                   | <u>Location</u>     |
|-------------------------------|---------------------|
| 29 November - 1 December 2014 | Zhangjiagang, China |

***Song Jin (fka Jang Ja San Chong Nyon Ho) (IMO 8133530)***

The *Jang Ja San Chong Nyon Ho* was renamed to *Song Jin*. The newly registered companies for this vessel are Haejin Ship Management and Songjin Shipping. In specialized maritime databases, this vessel was recorded with the following movements:

| <u>Date</u>          | <u>Location</u>            |
|----------------------|----------------------------|
| 6 November 2014      | Lanshan, China (anchored)  |
| 2-5 November 2014    | Lanshan, China             |
| 23 October 2014      | Dalian, China              |
| 14-22 October 2014   | Tangshan, China            |
| 10-14 October 2014   | Tangshan, China (anchored) |
| 10-11 September 2014 | Jingjiang, China           |

***Tae Ryong Gang (fka Am Nok Gang) (IMO 8132835)***

The *Ap Rok Gang* (aka *Am Nok Gang*) was renamed to *Tae Ryong Gang* in the Democratic People's Republic of Korea's Maritime Administration's database in August 2014. Yongjin Ship Management was newly registered for this ship manager, replacing OMM. In specialized maritime databases, this vessel was recorded with the following movements:

| <u>Date</u>        | <u>Location</u>  |
|--------------------|------------------|
| 26 December 2014   | Humen, China     |
| 4 November 2014    | Huangpu, China   |
| 3 November 2014    | Hong Kong, China |
| 10-12 October 2014 | Bayuquan, China  |

***Tan Chon (fka Ryong Gang 2) (IMO 7640378)***

The *Ryong Gang 2* was renamed to *Tan Chon*. The newly registered companies for this vessel are Yongjin Ship Management and Tanchon Shipping Co., Ltd. In specialized maritime databases, this vessel was recorded with the following movements:

| <u>Date</u>       | <u>Location</u>            |
|-------------------|----------------------------|
| 3-5 October 2014  | Huangpu, China             |
| 2 October 2013    | Hong Kong, China           |
| 20-21 August 2014 | Dalian, China              |
| 17-19 August 2014 | Tangshan, China            |
| 16-17 August 2014 | Tangshan, China (anchored) |

***Tong Hung San (fka Chong Chon Gang) (IMO 7937317)***

The *Chong Chon Gang* was renamed to *Tong Hung San*. The newly registered company for this vessel is Tonghungsan Shipping Co., Ltd. (IMO 5826665). In specialized maritime databases, this vessel was recorded with the following movements:

| <u>Date</u>    | <u>Location</u>            |
|----------------|----------------------------|
| 12 August 2014 | Tangshan, China            |
| 9 August 2014  | Tangshan, China (anchored) |

**Summary of PSC inspection records of OMM-associated vessels after 28 July 2014**

| <b>Vessel</b>                                   | <b>IMO Number</b> | <b>Port</b>        | <b>Date</b>       | <b>Reported ISM Manager</b>       |
|-------------------------------------------------|-------------------|--------------------|-------------------|-----------------------------------|
| <i>Hu Chang (fka O Un Chong Nyon Ho)</i>        | 8330815           | Qinhuangdao, China | 5 August 2014     | OMM                               |
| <i>Mu Du Bong</i>                               | 8328197           | Tuxpan, Mexico     | 6 August 2014     | OMM                               |
| <i>O Rang (fka Po Thong Gang)</i>               | 8829555           | Nakhodka, Russia   | 13 October 2014   | OMM                               |
| <i>Ryong Rim (fka Jon Jin 2)</i>                | 8018912           | Rizhao, China      | 12 October 2014   | Haejin Ship Management Co., Ltd.  |
| <i>Song Jin (fka Jang Ja San Chong Nyon Ho)</i> | 8133530           | Rizhao, China      | 4-5 November 2014 | Haejin Ship Management Co., Ltd.  |
| <i>Tae Ryong Gang (fka Am Nok Gang)</i>         | 8132835           | Yingkou, China     | 12 October 2014   | Yongjin Ship Management Co., Ltd. |

Source: Tokyo MOU database and information obtained by the Panel

## **Annex 20 – Summary of Ocean Maritime Management Company’s activities in Thailand**

The Democratic People’s Republic of Korea’s Chamber of Commerce’s 2007 publication, *Foreign Trade of DPRK*, includes an entry on OMM, specifically referring to the entity’s “overseas representative offices” in several cities, including Bangkok, Thailand (annex 14). According to an international maritime industry association’s records, a DPRK national, Mr. Ri Phyoung Gu, was listed as Director of OMM Bangkok as early as 2005 (annex 21). Mr. Ri was also registered as an OMM employee and a contact person for Mariner’s Shipping and Trading Co., Ltd. (annex 21.2-5). Mr. Ri was listed as a member of the Board of Directors of Marine’s Shipping until 15 July 2014. The Panel has obtained information that demonstrates the involvement of Mariner’s Shipping in the operation of OMM-associated vessels including the *Am Nok Gang* and the *Mu Du Bong* (annexes 21.7-11; 47.1-5).

An individual operating under the name of “Mr. Steven Lee” represented the *Mu Du Bong* as broker and agent when the vessel passed through the Panama Canal in June 2014 (annex 21.7-8). He also presented himself in Mexico as legal representative of the vessel’s owner company (annex 21.9). Based on additional information obtained, the Panel identifies Mr. Steven Lee as an alias used by Mr. Ri Phyoung Gu. The identification information of Mr. Ri matches that provided by the international shipping industry association on Mr. Ri Phyoung Gu who was registered as OMM’s employee and a contact person for Mariner’s Shipping.

Through its investigation, the Panel has obtained multiple documents demonstrating OMM’s control of the *Mu Du Bong* (annexes 21.10; 22). The vessel’s captain received email instructions on a daily basis from “Eam Shipping <haeun@ksc.th.com>”, the same email address used by Mr. Ri (aka Steven Lee).

A document obtained by the Panel from the *Chong Chong Gang*, lists two individuals as “Thailand representatives” (see annex 21.6). The telephone numbers are listed as 0066 892026221 for a “Representative” named “Won, Sun-kuk” and 0066 898944753 for a “Deputy Representative” named “Choi Ho-young”. Below is the summary of the information about the Democratic People’s Republic of Korea nationals who have worked for Mariner’s Shipping:

### **Mr. Ho Yong Jun**

- Nationality: Democratic People’s Republic of Korea
- DOB: 23 September 1967
- Passport number: 199120109 (diplomatic) and 563220337

### **Mr. Choi Ho-young**

- Nationality: Democratic People’s Republic of Korea
- This name was listed as “Deputy representative” on a document obtained by the Panel from the Chong Chon Gang

### **Mr. Won Song Guk (aka Won Sung-kuk)**

- Nationality: Democratic People’s Republic of Korea
- DOB: 7 December 1966
- Passport number: 563120138 and 918220452 (diplomat)
- Known titles: OMM’s former representative in Thailand (a document obtained by the Panel from the Chong Chon Gang); contact person for OMM.

### **Ms. Ri Sun Yong**

- Nationality: Democratic People’s Republic of Korea
- DOB: 19 May 1961
- Passport number: 563420641
- Ms. Ri is Mr. Ri Phyoung Gu’s spouse and has worked as a translator for Mr. Ri both prior to and after 28 July 2014.

## Annex 21 – Mr. Ri, Mariner's Shipping, Mudubong Shipping and Ocean Maritime Management Company

### 21.1 Mr. Ri, Director of OMM Bangkok

It gives us great pleasure to invite Mr. Ri Phyong Gu, from Ocean Maritime Management Co. Ltd., Pyongyang, D.P.R. of Korea and accompanying person, Mr. Choe Ho Yong to attend our upcoming General Meeting to be held in Copenhagen, Denmark from Monday, 23 May 2005 to Wednesday, 25 May 2005.

This invitation applies to both:

Name: Ri Phyong Gu  
Date of birth: 23 September 1961  
Place of birth: D.P.R. of Korea  
Passport number: 645120639  
Date of issue: 29 January 2005  
Expiry date: 29 January 2010

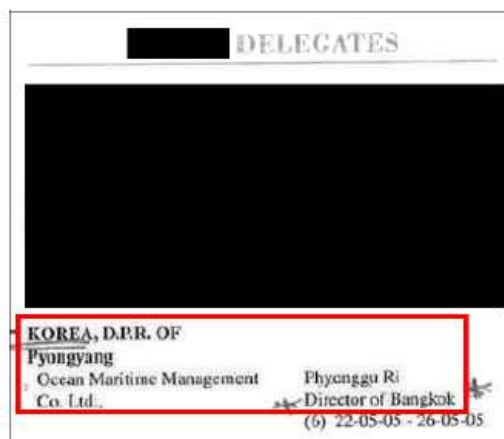
and

Name: Choe Ho Yong  
Date of birth: 22 April 1963  
Place of birth: D.P.R. of Korea  
Passport number: 564421310  
Date of issue: 02 November 2004  
Expiry date: 02 November 2009

If you require further information, please do not hesitate to contact us. We look forward to seeing Mr. Gu and Mr. Yong in Copenhagen.

Yours faithfully,

Source: The Panel



Source: The Panel

## 133/310

Source: The Panel

haeun@ksc.th.com

Source: The Panel

Thai mobile phone number  
-6622929440

### 21.3 International shipping association registration of Mariner's Shipping

Mariner's Shipping & Trading Co., Ltd. - Registration Card

Membership: 135950

Company Name: Mariner's Shipping & Trading Co., Ltd.

Address: 14/63 Sathupradit 57 Road, Bang Pong Pang Yannawa, 10120 Bangkok, Thailand

Contact Information: Ri Phiyong Gu, mst001@ksc.th.com

Source: The Panel

Mariner's Shipping & Trading Co., Ltd.  
14/63 Sathupradit 57 Road  
Bang Pong Pang Yannawa  
10120 Bangkok, Thailand  
mst001@ksc.th.com  
+66-2-2940970  
+66-2-2943847

Ri Phiyong Gu  
mst001@ksc.th.com

Close-up

Mariner's Shipping & Trading Co., Ltd. - Registration Card

Membership: 135950

Company Name: Mariner's Shipping & Trading Co., Ltd.

Address: 14/63 Sathupradit 57 Road, Bang Pong Pang Yannawa, 10120 Bangkok, Thailand

Contact Information: Ri Phiyong Gu, mst001@ksc.th.com

Source: The Panel

## 21.4 Mariner's Shipping request for Thailand to issue visa for Mr. Ri Phjong Gu



**บริษัท มารีนเนอร์ส ชิปปิ้ง แอนด์เทรดดิ้ง จำกัด**  
**MARINER'S SHIPPING & TRADING CO., LTD.**

Ref: MST008/2312 24 December 2013

Ambassador Extraordinary and Plenipotentiary  
 The Royal Thai Embassy,  
 Beijing, China

Dear Excellency,

We would like to request your Excellency to kindly issue visa to The Kingdom of Thailand to the following persons:

| Name                      | Date of Birth | Passport No. |
|---------------------------|---------------|--------------|
| Mr. RI PHYONG GU          | 23 SEPT 1961  | 563420640    |
| Mrs. RI SUN YONG (Spouse) | 19 MAY 1961   | 563420641    |

Mr. RI PHYONG GU, the Chartering Manager of the PETREL SHIPPING COMPANY LIMITED, Pyongyang, D.P.R. of Korea and his spouse will visit our office for the purpose of Practicing in the field of Shipping and Chartering Operations of Thai's system for duration of about 90 days.

We, as their exclusive representative in Thailand will be fully responsible for the said persons during their stay in the Kingdom of Thailand.

Your kind attention would be greatly appreciated.

Faithfully yours,




Managing Director

Source: The Panel

21.5 Mariner's Shipping's permanent employment contract with Mr. Ri Phyoung Gu of  
1 August 2014

**หนังสือสัญญาจ้างพนักงานประจำ**

หนังสือสัญญาจ้างฉบับนี้ทำขึ้นที่ บริษัท มีสเตอร์ แอนด์ พาร์ตเนอร์ส จำกัด  
เลขที่ ๖๖/๖๖-๖๖ ถนนพหลโยธิน ๖ แขวงบางโพธิ์เขตบางโพธิ์ กรุงเทพมหานคร  
เมื่อวันที่ ๑ เดือน สิงหาคม พ.ศ. ๒๕๕๗

ระหว่างบริษัท มีสเตอร์ แอนด์ พาร์ตเนอร์ส จำกัด ซึ่งต่อไปในสัญญาจะเรียกว่า "บริษัท" ฝ่ายหนึ่ง  
กับ มีสเตอร์ ริ ฟยง กู (MR. RI PHYONG GU) อายุ ๕๖ ปี อยู่บ้านเลขที่ ๖๖/๖๖ หมู่ที่ ๖  
ซอย มีสเตอร์ ถนน พหลโยธิน ตำบล บางโพธิ์ อำเภอ บางโพธิ์ จังหวัด นนทบุรี  
ซึ่งต่อไปในสัญญาจะเรียกว่า "พนักงาน" อีกฝ่ายหนึ่ง ทั้งสองฝ่ายตกลงทำสัญญานี้ขึ้นเป็นหนังสือ มีข้อความดังต่อไปนี้

ข้อ 1. บริษัทฯ ตกลงจ้าง และ พนักงานตกลงรับจ้างปฏิบัติงาน ในฐานะพนักงานประจำในตำแหน่ง  
ผู้ช่วยช่าง ฝ่าย ช่างเทคนิคช่างเทคนิค

ข้อ 2. บริษัทฯ ตกลงจ้างให้พนักงานในอัตราเดือนละ 45,000 บาท (สี่หมื่นห้าพันบาทถ้วน)  
โดยบริษัทฯ จะจ่ายค่าจ้างให้ทุกวันวันที่ 30 ของเดือน ณ ที่ทำการบริษัท

ข้อ 3. ระยะเวลาทำงานปกติ เวลาพัก และวันหยุดประจำตัวประจำปีของบริษัท มีดังนี้

3.1 ระยะเวลาปกติ คือ วันจันทร์ ถึง วันเสาร์

3.2 วันหยุดประจำตัวประจำปี คือ วันอาทิตย์

3.3 เวลาพัก บริษัทฯ จะพิจารณาพักให้กับพนักงานทุกคนเป็นเวลาพัก วันละ ๑ ชั่วโมง

ข้อ 4. พนักงานต้องเชื่อฟังและปฏิบัติตามประกาศ คำสั่งของ บริษัทฯ ผู้บังคับบัญชาและปฏิบัติตามระเบียบหรือข้อบังคับในการทำงานของบริษัทฯ ที่ออกแล้วหรือที่จะมีออกในภายหลัง หากพนักงานฝ่าฝืนหรือไม่ปฏิบัติตาม บริษัทฯ จะพิจารณาปรับลดเงินเดือนของพนักงานตามข้อบังคับของบริษัทฯ

ข้อ 5. พนักงาน สัญญาว่าหากพนักงานกระทำการทุจริตหรือการประพฤติมิชอบอื่นใดที่ขัดต่อผลประโยชน์ของบริษัทฯ หรือการกระทำที่ผิดกฎหมาย หรือการกระทำที่ผิดศีลธรรมอันดีของประชาชน บริษัทฯ จะพิจารณาปรับลดเงินเดือนของพนักงานตามข้อบังคับของบริษัทฯ

ข้อ 6. พนักงานจะไม่รับจ้างทำงานให้บุคคลอื่น หรือทำกิจการอื่นที่ขัดแย้งหรือแข่งขันกับงานของบริษัทฯ

ข้อ 7. ในกรณีที่พนักงานมีความประพฤติดีและขยันขันแข็ง บริษัทฯ มีสิทธิที่จะเลื่อนเงินเดือนของพนักงานได้ตามที่ฝ่ายนายจ้างและคณะกรรมการพิจารณาพนักงานและพนักงานควรปฏิบัติตามระเบียบปฏิบัติงาน โดยไม่มีเงื่อนไขใดๆทั้งสิ้น

ข้อ 8. หากพนักงานมีความประสงค์จะลาออกจากตำแหน่งงานของบริษัทฯ ให้ทำเป็นหนังสือแจ้งไว้  
บริษัทฯ ภายในอย่างน้อย 30 วัน  
ทั้งนี้พนักงานได้อ่านและเข้าใจข้อความในสัญญาฉบับนี้โดยตลอดแล้ว เห็นว่าถูกต้องและสมควรประสงค์ จึงลง  
ลายมือชื่อไว้เป็นสำคัญต่อหน้าพยาน

ลงชื่อ MR. RI PHYONG GU พนักงาน



Source: The Panel

In English**PERMANENT EMPLOYMENT CONTRACT**

This employment contract is made at Mariner's Shipping & Trading Co., Ltd., No. 662/33-34, Rama 3 Road, Bangpongpan Sub-District, Yannawa District, Bangkok Metropolis, on 1<sup>st</sup> August 2014

Between Mariner's Shipping & Trading Co., Ltd., hereafter referred to the "Company" as one party and Mr. Ri Phyoung Gu, aged 53 years, residing at House No. 1817/156, Pariyanont Alley, Sathupradit Road, Bangpongpan Sub-District, Yannawa District, Bangkok Metropolis, hereafter referred to the "employee" as the other party. Both parties agree to enter into the contract in writing as follows:

**Clause 1.** The Company agrees to employ and the employee agrees to be employed as the permanent employee in the position of Manager, Division/Section: International Coordination, and/or as being required by the company since 1<sup>st</sup> August 2014.

**Clause 2.** The Company agrees to pay the wage to the employee in the monthly rate of 45,000 Baht (Forty-five thousand Baht only). The Company shall pay wage every 30<sup>th</sup> day of each month at the company office.

**Clause 3.** The normal working date and time, break and weekly holidays of the Company are as follows:

3.1 Normal working days: Monday to Saturday

3.2 Weekly holiday: Sunday

3.3 Break: The Company shall provide all employees the break, 1 hour/day each.

**Clause 4.** The employee must be obedient and comply with the notices and instructions of the Company or the superior and observe the available or prospective work rules or regulations strictly. In case of violation or in compliance by the employee, the Company shall consider the disciplinary penalty for the employee according to the rules immediately.

**Clause 5.** The employee promises that if the employee does or omits any act or allows other person to do any act intentionally or negligently, and it causes damage against the Company either directly or indirectly, the employee agrees to compensate for the damage to the Company completely.

**Clause 6.** The employee shall not be hired to work for other person or operate the business by himself or representative or be involved with any business as the competition or damage against the company's business.

**Clause 8.** If the employee wishes to resign from being the company's staff, he should give prior notice to the Company at least 30 days.

Both parties have read and understood this contract thoroughly. They consider correct based on the intentions. Therefore, they sign names in presence of the witnesses.

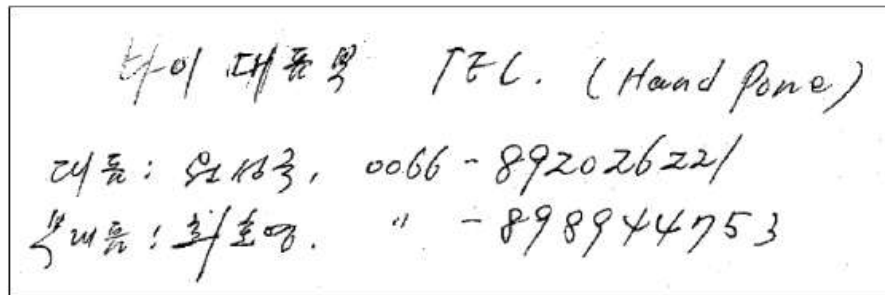
Signed:

-Signature-  
(Mr. Ri Phyoung Gu)

Employee

Source: The Panel

**21.6 Document from Chong Chong Gang captain's cabin on referring to "Thailand Representatives"**



The image shows a handwritten document in Korean. The text is written in black ink on a white background. The first line reads '타이 대표들 TEL. (Hand phone)'. The second line reads '대표: 원성국, 0066-892026221'. The third line reads '부대표: 최호영, " - 898944753'.

Source: The Panel

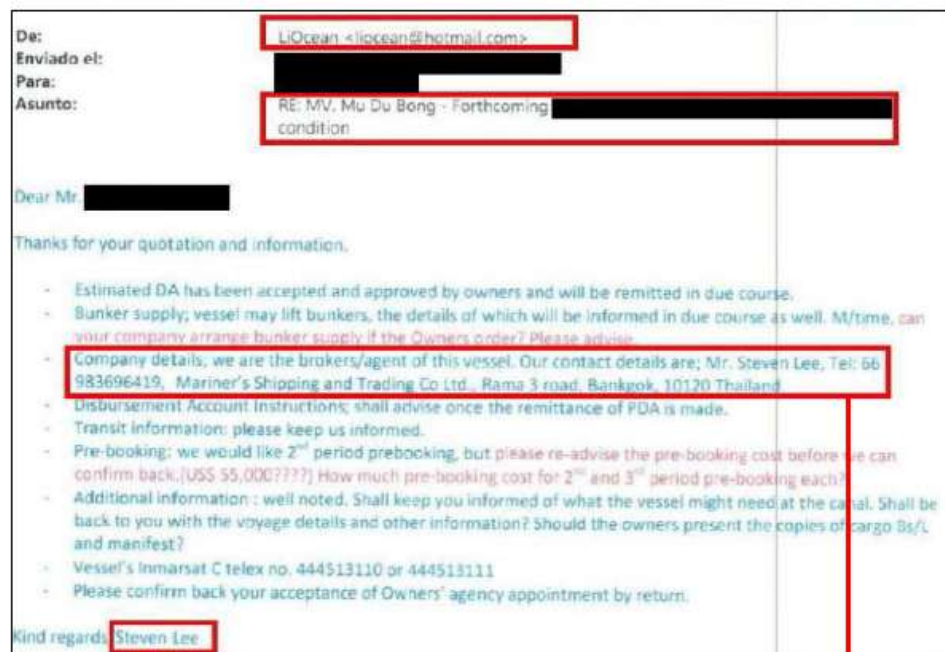
Informal English translation

Thai Representative (handphone)

Representative: Won, Sung-kuk (0066-892026221)

Deputy Representative: Choi, Ho-young (0066-898944753)

**21.7 Communication between “Steven Lee” and foreign agent where he represents himself as broker/agent for *Mu Du Bong* as well as employee of Mariner’s Shipping**



Source: The Panel

“Company details; we are the brokers/agent of this vessel. Our contact details are; Mr. Steven Lee, Tel: 66 983696419, Mariner’s Shipping and Trading Co Ltd., Rama 3 road, Bangkok, 10120 Thailand.”

“Steven Lee”

## 21.8 Email accounts used by “Steven Lee”

“OCEAN BKK [haeun@ksc.th.com](mailto:haeun@ksc.th.com)”



“Eam Shipping [haeun@ksc.th.com](mailto:haeun@ksc.th.com)”



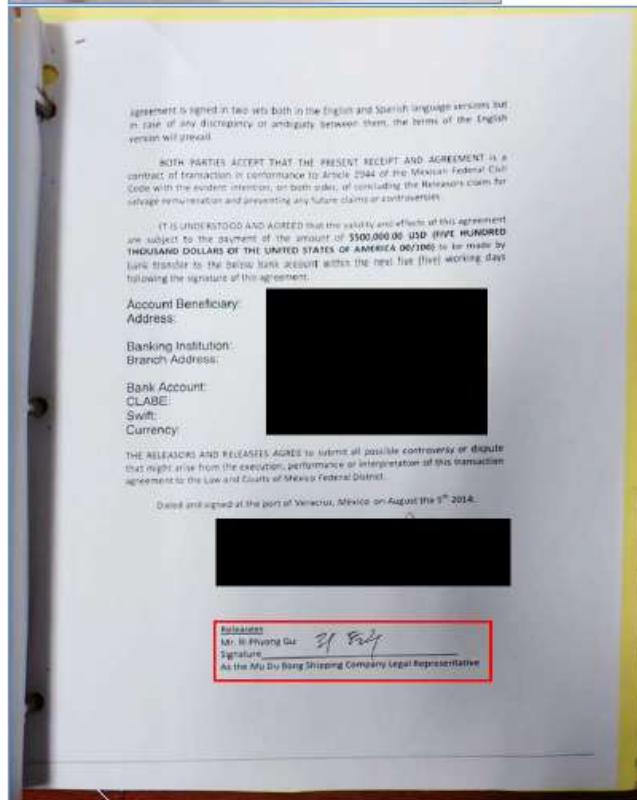
“Li Ping [liocan@hotmail.com](mailto:liocan@hotmail.com)”



Source: The Panel

**21.9 Mr. Steven Lee identified as an alias used by a Democratic People's Republic of Korea national named Mr. Ri Phyoung Gu**

Mr. "Steven Lee" has been identified by the Panel as an alias used by a Democratic People's Republic of Korea national, Mr. Ri Phyoung Gu, who had obtained a visa and travelled to Mexico in August 2014. Using his real name, Mr. Ri signed a salvage agreement with a Mexican salvage company, in his capacity "as the Mu Du Bong Shipping Company Legal Representative", on 5 August 2014.



Source: The Panel

**21.10 (STRICTLY CONFIDENTIAL)\***

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\* The annex has not been reproduced in the present document because it is strictly confidential

21.11 Mariner's Shipping's authorization letter of 2010 listing "Ocean Bangkok" in relation to financial transaction for the Ocean Maritime Management Company-controlled vessel *Chung Jin 2*



บริษัท มารีนเนอร์ส ชิปปิ้ง แอนด์เทรดดิ้ง จำกัด  
MARINER'S SHIPPING & TRADING CO., LTD.

AUTHORISATION LETTER

We, As Mariner's Shipping and Trading Co Ltd(Ocean Bangkok) hereby authorize  
[REDACTED] mv Chung Jin 2 pda from [REDACTED] on our behalf  
strictly and you are requested to remit the same to below our bank a/c only.

( SIGNATURE/STAMP )



[REDACTED SIGNATURE]

- Our bank A/C asf:

Name of Bank: [REDACTED]

[REDACTED]

Account No.: 101-322266-4  
Freight Beneficiary: MARINER'S SHIPPING AND TRADING CO., LTD.  
Address: 662/33-34 Rama3 Road, Yannawa, Bangkok 10120 Thailand.  
Correspondence Bank Details: [REDACTED]

662/33-34 Rama 3 Road, Bangpongpan, Yannawa Bangkok 10120 Thailand.  
Tel : 662-2930290-99, 2940970, 2940979 Fax : 662-2943847, 2930285  
E-mail : mst001@ksc.th.com

Source: The Panel

## 21.12 Mr. Ri Phyoung Gu's correspondence to the Panel of 5 January 2015

**From:** "Mariner's Shipping & Trading Co., Ltd. \(\C\)" <mst001@ksc.th.com>

**Date:** January 5, 2015 at 4:31:52 AM EST

[REDACTED] "Mariner's Shipping & Trading Co., Ltd. \(\C\)" <mst001@ksc.th.com>. [REDACTED]

**Subject:** UNSC-S/AC.49/2014/PE/OC.449-Mr Ri

**Reply-To:** "Mariner's Shipping & Trading Co., Ltd. \(\C\)" <mst001@ksc.th.com>

Dear Mr. Hugh Griffiths,

A Happy New Year!

I am writing this letter in response to your letter dated December 19, 2014 that I received by fax on December 30, 2014.

My answers to your queries are as below;

1. I am not the Ocean Maritime Management Co., Ltd's overseas representative but usually assist the DPR Korea commercial vessels and vessels of other flags calling at Thai ports at their request.
2. Yes, I was involved, as requested by the owners through Mariner's Shipping & Trading Co., Ltd, in the operation of M/V Mu Du Bong in the arranging of her transit through Panama Canal using the name of Steven Lee, which is my nick name.
3. I had not any knowledge of the sanction on Ocean Maritime Management Co., Ltd until I received your email in early August when I was in Mexico, looking after, at the Owners' request, M/V Mu Du Bong which went aground off Tuxpan port, Mexico in early July 2014.

I hope the above answers suffice your questions.

Thanks and kind regards/Ri Phyoung Gu

Source: The Panel

## 21.13 Mariner's Shipping's correspondence to the Panel of 5 January 2015

|          |                                                                    |
|----------|--------------------------------------------------------------------|
| From:    | "Mariner's Shipping & Trading Co., Ltd. \CV\ [REDACTED]"           |
| To:      | [REDACTED]                                                         |
| Cc:      | "Mariner's Shipping & Trading Co., Ltd. \CV\ [REDACTED]"           |
| Date:    | 05/01/2015 05:51 AM                                                |
| Subject: | UNSC-S/AC.49/2014/PE/OC.448-Mariner's Shipping & Trading Co., Ltd. |

To: Mr. Hugh Griffiths  
cc: Whom it may concern  
Date: 5 Jan 2015

Dear Mr. Griffiths,

This letter is in regard to your message dated 19 December 2014. Please find here below our answers:

- 1) Mariner's Shipping & Trading Co., Ltd is wholly owned by Thai nationals who hold 100% of the company common stock. Therefore, all decision-making power belongs to these Thai shareholders. Ocean Maritime Management Co., Ltd does not have any authority or control over its operations.
- 2) Mr. Choi Ho-young, Mr. Ho Yong Jun and Mr. Won Song Guk were just our former employees whose employment contracts have already ended.
- 3) Mariner's Shipping & Trading Co., Ltd and all our employees were never informed that Ocean Maritime Management Co., Ltd was designated by the Security Council on 28 July 2014 until we received your email in August 2014. In addition, we were asked for help by Mudubong Shipping Co., Ltd and not by Ocean Maritime Management Co., Ltd.

Please kindly note that we have been operating our business with honesty and integrity. We work extremely hard and abide by Thai laws and regulations. We believe that everything that we do is legal and rightful and contributes to international peace and harmony. Therefore, once and for all, we have provided the information which you requested. The information provided is the truth and it is all we have.

Best regards,

Mariner's Shipping & Trading Co., Ltd.

Source: The Panel

## Annex 22 – Ocean Maritime Management Company’s control of *Mu Du Bong*

### 22.1 Mexico Port State Control inspection of 6 August 2014 listing “Ocean Maritime Management Co Ltd”

COORDINACIÓN GENERAL DE PUERTOS Y MARINA MERCANTE  
DIRECCIÓN GENERAL DE MARINA MERCANTE  
DIRECCIÓN GENERAL ADJUNTA DE PROTECCIÓN Y SEGURIDAD MARÍTIMA  
DIRECCIÓN DE SEGURIDAD MARÍTIMA

Formulario A/1  
Form A/1

Copie a / Copy to:  
Capitán / Master  
Central de Supervisión / Head office  
Funcionario supervisor / PSGO

Si el buque es detenido copie a / If ship is detained, copy to:  
Estado de abanderamiento / Flag State  
OMI / IMO  
Organización reconocida / Recognized organization, if applicable

INFORME DE INSPECCIÓN  
INSPECTION REPORT  
Conforme al Acuerdo Latinoamericano sobre Control de Buques por el Estado Rector del Puerto  
Acuerdo de Vía del Mar y resolución OMI A.787(19), enmendada  
According to the Latin American Agreement on Port State Control - Vía del Mar Agreement & IMO resolution A.787(19) as amended

DETALLE DEL BUQUE / SHIP PARTICULARS

|                                                                                                                                                                                                        |                                                                                                                |                                                                 |                          |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------|--------------------------|
| 1 Nombre del buque<br>Name of ship                                                                                                                                                                     | <u>MU DU BONG</u>                                                                                              | 2 Pabellón del buque<br>Flag of ship                            | <u>KOREA NORTH (3RF)</u> |
| 3 Tipo del Buque<br>Type of ship                                                                                                                                                                       | <u>DRY CARGO (CA)</u>                                                                                          | 4 Delineativo de llamada<br>Call sign                           | <u>HMAO</u>              |
| 5 Número OMI<br>IMO number                                                                                                                                                                             | <u>8228197</u>                                                                                                 | 6 Arqueo bruto<br>Gross tonnage                                 | <u>6583</u>              |
| 7 Año de construcción<br>Year of build                                                                                                                                                                 | <u>1983</u>                                                                                                    | 8 Peso muerto (cuando proceda)<br>Deadweight (where applicable) | <u>9851</u>              |
| 9 Organización reconocida responsable expedición certificados de clase<br>Recognized organization responsible for issuance of class certificates                                                       | <u>KOREA CLASSIFICATION SOCIETY (KCS)</u>                                                                      |                                                                 |                          |
| 10 Organización reconocida responsable expedición certificados en nombre del Estado de abanderamiento:<br>Recognized organization responsible for issuance of certificates on behalf of the flag State | <u>KCS (3RF)</u>                                                                                               |                                                                 |                          |
| 11 Particulars y número de identificación de la Compañía (*)<br>Particulars of company (identical to particular as in the ISM DoC)                                                                     | <u>OCEAN MARITIME MANAGEMENT CO. LTD</u><br><u>THUONG HIG BONG, CENTRAL DISTRICT, PHNOM PENH, REP. KOREA</u>   |                                                                 |                          |
| 12 Particulars y número de identificación del Propietario registrado (datos tomados del registro sinóptico continuo) (*)<br>Registered owner (from CSR)                                                | <u>MU DU BONG SA VINH SA LTD</u><br><u>CUU HANG, THUONG HIG BONG, CENTRAL DISTRICT, PHNOM PENH, REP. KOREA</u> |                                                                 |                          |
| 13 Nombre y dirección de fletadores (datos tomados del registro sinóptico continuo):<br>Name and address of charterer (from CSR)                                                                       |                                                                                                                |                                                                 |                          |
| Casco desnudo / Bareboat charter                                                                                                                                                                       | <input type="checkbox"/>                                                                                       | Por fomento / Time charter                                      | <input type="checkbox"/> |
| Primer fletador / First charterer                                                                                                                                                                      | <input type="checkbox"/>                                                                                       | Último fletador / Last charterer                                | <input type="checkbox"/> |
|                                                                                                                                                                                                        |                                                                                                                | Por viaje / Voyage charter                                      | <input type="checkbox"/> |
|                                                                                                                                                                                                        |                                                                                                                | No aplicable / Not applicable                                   | <input type="checkbox"/> |

DETALLE DE LA INSPECCIÓN / INSPECTION PARTICULARS (\*)

14 Fecha de la inspección  
06 AUG 2014

15 Lugar de la inspección  
TUXPAN, MEXICO

Source: Mexican authorities

**22.2 Document from the *Mu Du Bong* noting ship owner as “Ocean Maritime Management”  
(STRICTLY CONFIDENTIAL)\***

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\* The annex has not been reproduced in the present document because it is strictly confidential

### 22.3 *Mu Du Bong* official documents referring to Ocean Maritime Management Company

*Mu Du Bong* Safety Management Certificate  
issued by Democratic People's Republic of Korea's Maritime Administration lists  
Ocean Maritime Management Co., Ltd

| SAFETY MANAGEMENT CERTIFICATE                                                                                                                                                                                                    |                                                       |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------|
| № 014-Q3-186                                                                                                                                                                                                                     |                                                       |
| 조선민주주의인민공화국 정부의 위임에 의하여 국가해사감독국은 개정된 1974년 국제해상안전협약의 조항들에 따라 이 공서를 발급함.                                                                                                                                                          |                                                       |
| Issued under the provisions of the INTERNATIONAL CONVENTION FOR THE SAFETY OF LIFE AT SEA, 1974, as amended under the authority of the Government of DPR Korea by the Maritime Administration.                                   |                                                       |
| Name of ship                                                                                                                                                                                                                     | MU DU BONG                                            |
| Distinctive number or letters                                                                                                                                                                                                    | H M A O                                               |
| Port of registry                                                                                                                                                                                                                 | CHONGJIN                                              |
| Type of ship                                                                                                                                                                                                                     | GENERAL CARGO SHIP                                    |
| Gross tonnage                                                                                                                                                                                                                    | 6683                                                  |
| IMO number                                                                                                                                                                                                                       | 8328197                                               |
| Name of Company                                                                                                                                                                                                                  | OCEAN MARITIME MANAGEMENT CO., LTD                    |
| Address of Company                                                                                                                                                                                                               | TONGHUNG DONG, CENTRAL DISTRICT, PYONGYANG, DPR KOREA |
| IMO Company ID Number                                                                                                                                                                                                            | 1790183                                               |
| 회사의 피행증서가 이 배에 해당됨을 확인한 후 진행된 검열결과 배의 안전관리계획이 배의 안전운영 및 오염방지를 위한 국제관리규칙(국제안전관리규칙)의 요구에 부합됨을 증명                                                                                                                                   |                                                       |
| THIS IS TO CERTIFY THAT the Safety Management System of the Ship has been verified to comply with the requirements of the International Management Code for the Safe Operation of Ships and for Pollution Prevention (ISM Code). |                                                       |
| Following verification that the Document of Compliance for the Company is applicable to this type of ship.                                                                                                                       |                                                       |

Source: The Panel





22.4 Contract of 21 May 2014 lists “Ocean Maritime Management Co., Ltd.” as “Managers/Operators” of the *Mu Du Bong*

| Part A. THE SHIP                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | Part B. THE COMPANY<br>(Managers/Operators)                                                                                                                            | Part C. THE OWNERS |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| 1. Name:<br><b>MU DU BONG</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | 1. Name:<br><b>OCEAN MARITIME MANAGEMENT CO., LTD</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | 1. Name:<br><b>MUDUBONG SHIPPING CO., LTD</b>                                                                                                                          |                    |
| 2. Port of register:<br><b>CHONGJIN, D.P.R.KOREA</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | 2. Address:<br><b>TONGHUNG DONG, CENTRAL DISTRICT, PYONGYANG, D.P.R.KOREA</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | 2. Address:<br><b>811, HAEUN, TONGHUNG DONG, CENTRAL DISTRICT, PYONGYANG, D.P.R.KOREA</b>                                                                              |                    |
| 3. IMO Number:<br><b>7937317</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | 3. Mailing Address:<br><b>TONGHUNG DONG, CENTRAL DISTRICT, PYONGYANG, D.P.R.KOREA</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | 3. Mailing Address:<br><b>811, HAEUN, TONGHUNG DONG, CENTRAL DISTRICT, PYONGYANG, D.P.R.KOREA POB 2022</b>                                                             |                    |
| 4. Call Sign:<br><b>HMAO</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | 4. Contact Person (DPA):<br><b>HO YONG BOM</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | 4. Contact Person (DPA):<br><b>KIM YONG CHOL</b>                                                                                                                       |                    |
| 5. Type of ship (in terms and purpose):<br><b>GENERAL CARGO SHIP</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | 5. Mobile phone:<br><b>880 191 2546136</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | 5. Mobile phone:<br><b>850 191 2556735</b>                                                                                                                             |                    |
| 6. Gross Tonnage (1):<br><b>6683</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | 6. E-mail:<br><b>EASTSEA SHIPPING@silbank.net.kp</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | 6. E-mail:                                                                                                                                                             |                    |
| 7. Oil and fuel Carrying Capacity (MT):<br><b>1085.2 (1025MT)</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | 7. Fax:<br><b>850-2-3814410</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | 7. Fax:<br><b>850-2-3812101</b>                                                                                                                                        |                    |
| 8. E-mail:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | 8. Phone:<br><b>850-2-18111 EXT 9818</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | 8. Phone:<br><b>850-2-18335 ext 98819</b>                                                                                                                              |                    |
| 9. Fax/telex:<br><b>Telex 444511410/ 444511411</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | <p>In addition to the information requested below, a notarized statement or certificate is required to be submitted by each insurer or organization providing financial security. The statement or certificate should specify details of the insurance or security by reference to policy numbers, or other identifying particulars. IME personnel may request further information in order to establish the adequacy of the insurance cover, verification of its existence and the capacity of the insurer/insurer to provide adequate cover.</p>                                                                                                                                    |                                                                                                                                                                        |                    |
| 10. Mobile phone:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | <p>(1) Insert the name(s) and address (es) of each insurer or organization providing financial security. The address is to be the address of the principal place of business, and if different, the postal address for correspondence must also be shown.</p> <p>(2) If the liability for the ship listed is wholly covered by a P&amp;I Club, the particulars required in section 7 and 8 may be omitted and in their place inserted, "As per the attached 'blue card' certificate".</p> <p>(3) Indicate whether insurance contract, P&amp;I cover, Bank guarantee etc.</p> <p>(4) The duration of the security must be stated in terms of the time and date of commencement and</p> |                                                                                                                                                                        |                    |
| <p><b>Part D. PARTICULARS OF INSURANCE</b></p> <p>1. Name of insurer or organization providing financial security (1):<br/><b>KOREA SHIPOWNERS' PROTECTION AND INDEMNITY ASSOCIATION</b></p> <p>2. Address of insurer or organization providing financial security (1):<br/><b>NO.65, RYUKGYO DONG, PHYONGCHON DISTRICT, PYONGYANG, D.P.R.KOREA</b></p> <p>3. Contact person:<br/><b>KIM HO</b></p> <p>4. Phone:<br/><b>850-2-18999 ext 8818</b></p> <p>5. E-mail:<br/><b>kol@mailbank.net.kp</b></p> <p>6. Fax:<br/><b>850-2-3814531</b></p> <p>7. Type and amount of security (2) (3):<br/><b>OIL POLLUTION ONLY<br/>USD 4,200,000.00</b></p> <p>8. Duration of the security (4):<br/>From (MM/DD/YY) <b>02/20/2014</b> To (MM/DD/YY) <b>02/20/2015</b></p> |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | <p>Signature of the Owners<br/>(As part C of this agreement)</p> <p>Signature of the Managers/Operators<br/>(As part B of this agreement)</p> <p>PCSOPEP 02/Rev-01</p> |                    |

1.4.2.5 The Owners/Managers/Operators of the said ship shall advise International Marine Experts, at least 96 hours prior to the arrival of the ship to Panamanian Waters about such arrival.

1.4.2.6 This agreement shall be valid from the date of signature. Either party may terminate this agreement by simply giving a three (3) months notice in writing. All accounts must be settled within a thirty (30) day period after the notice is given.

1.4.2.7 If neither party presents a writing notice to terminate this agreement, the agreement will be renewed automatically.

This agreement is valid from:  
(DD/MM/YY)      MAY 21<sup>ST</sup>, 2014  
Until  
(DD/MM/YY)      MAY 21<sup>ST</sup>, 2018

Subject to compliance with the requirements of this agreement, and the Panama Canal Oil pollution Emergency Plan (PCSOPEP) requirements



Signature and stamp of the Owners  
(As part C of this agreement)



Signature and stamp of the Managers/Operators  
(As part C of this agreement)

Source: The Panel

22.5 Invoice of *Mu Du Bong*'s transactions with a foreign company referring to "Ocean Maritime Management Ltd. DPR. Korea"

AD ENGINEERING & CREWING AGENT, GENERAL SHIP'S STORE & BUNKER SUPPLIERS

**VOICE** PAGE NO.2 DATE: [REDACTED] 2010

MASTER & OWNERS: M/V. MU DU BONG A [REDACTED]  
ACCOUNT : OCEAN MARITIME MANAGEMENT LTD. DPR KOREA

| DESCRIPTION                                                 | QUANTITY | RATE       | PER  | AMOUNT        |
|-------------------------------------------------------------|----------|------------|------|---------------|
| VIOUS BALANCE FORWARD                                       |          |            |      | USD 15,599.00 |
| MARINE PAINT TINNER                                         | 180 LTR  | USD 3.00   | LTR  | USD 540.00    |
| IRE HOSE COUPLING                                           | 10 PCS   | USD 45.00  | PC   | USD 450.00    |
| OIL LIN SEED OIL FOR PAINT                                  | 180 LTR  | USD 3.00   | LTR  | USD 540.00    |
| IQ2 BOTOL FOR LIFE BOAT                                     | 2 UNITS  | USD 145.00 | UNIT | USD 290.00    |
| IVERY AND TRANS PROTATION PORT FORMALITIES LUMP SUM         |          |            |      | USD 250.00    |
| WORDS USD SEVENTEEN THOUSAND SEVEN HUNDRED SIXTY NINE ONLY. |          |            |      |               |
| GRAND TOTAL                                                 |          |            |      | USD 17,769.00 |

MASTER [REDACTED]

무두봉  
M/V MU DU BONG  
무두봉해운회사

Source: The Panel

**22.6 Documents listing Mudubong Shipping Co., Ltd.'s contact information as the same used by Ocean Maritime Management Company**

Mu Du Bong Shipping Co. Ltd. letterhead lists email address and a telephone number that have also been used by Ocean Maritime Management Company

**MDB** **무두봉해운회사**  
**MUDUBONG SHIPPING CO., LTD.**  
 609, HAEUN, TONGHUNG-DONG  
 CENTRAL-DIST., PYONGYANG, DPRK  
 POB: 2029

TEL : +85-02-18111 EXT. 8818  
 FAX : +85-02-381-4410/4416  
 E-mail: oceanmm@silibank.net.kp

주최 10.3.2017년 11월 27일

**용선계약서**

선주기관: 무두봉해운회사  
 용선주기관: 중국원링크기술합작사유한공사  
 선주기관과 용선주기관은 다음과 같이 용선계약 합의한다

1. 배이름: 《무두봉》
2. 화물및수량: 무연탄 8,500mt +/- 5% 선주선택
3. 상선항: 송림항의 안전한 한개부두
4. 하선항: 중국의 징장(Jingjiang)항의 안전한 한개부두

|                                                                            |                                                                                                                                                                                               |
|----------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Ocean Maritime Management Company Limited (Headquarters)<br>(원양해운관리유한책임회사) | Donghung Dong, Central District, PO Box 120,<br>Pyongyang, DPRK<br><b>Tel: +850-2-18111 Ext 8818</b><br>Fax: +850-2-3814567<br>Email: oceanmm@silibank.com,<br><b>oceanmm@silibank.net.kp</b> |
|----------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

Source: The Panel

**Annex 23 – Directory of OMM-associated entities  
(STRICTLY CONFIDENTIAL)\***

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\* The annex has not been reproduced in the present document because it is strictly confidential

#### Annex 24 – Entities and individuals based in China, Japan and Malaysia

Korea Mirae Shipping Co., Ltd. (Mirae Shipping Pyongyang) operated a China-based branch office named Shenzhen Representative Office of Korea Mirae Shipping Co., Ltd. (hereafter “Mirae Shipping Shenzhen”) which has shared administrative and/or operational functions with Mirae Shipping (H.K.) Co., Ltd. (hereafter “Mirae Shipping Hong Kong”). Mirae Shipping Pyongyang and these two entities have been involved in arranging shipping services for OMM-associated vessels, in coordination with OMM’s overseas representatives, including OMM’s office in Dalian (see annexes 25-26).

Key facts relating to these entities:

- Individuals named Mr. Yang Bong Rim and Mr. Lee have worked for Mirae Shipping Shenzhen, and an individual named Mr. Hiroshi Kasatsugu has been listed as director of Mirae Shipping HK. All three have been extensively involved in arranging shipping services for OMM-associated vessels, acting on behalf of or at the direction of OMM’s headquarters and overseas representatives based in Brazil, China, Singapore, and Thailand.
- The legal representative of OMM Dalian is “Chungu Jin”. However the Panel could not find OMM Dalian’s official registration.
- Mirae Shipping Shenzhen and/or Mirae Shipping Hong Kong have/has used as contact person a Malaysia-based individual and Democratic People’s Republic of Korea national named Mr. Pak In Su who was affiliated with a Malaysia-based entity named Malaysian Coal and Minerals Corporation Sdn Bhd until 2 January 2015 (annex 25.7-8)
- Mirae Shipping Pyongyang and OMM have shared the same fax number (+850-2-381-4567) and phone number (+850-2-18111 ext. 381-8818) (annex 25.2). Mirae Shipping Shenzhen has also used OMM’s email address ([oceanmm@silibank.net.kp](mailto:oceanmm@silibank.net.kp)) (annex 47.15)
- Mirae Shipping Pyongyang was a registered owner, ship manager and operator of the vessel *Mi Rae* (IMO 7700063) whose beneficial owner was registered in the IMO database as OMM until the ship was registered as “inactive” on 14 December 2011. A Japan-based company, OMM Incorporated, was also involved in this vessel’s operation (annex 28.3).
- Mirae Shipping Pyongyang also owned and/or controlled the *Ryong Nam 2* (IMO 8412467) at least in June 2007 and from 21 September 2009 to 27 July 2011. The vessel’s owner, operator and manager were officially registered as OMM during this period.
- According to Mirae Shipping Hong Kong, Mirae Shipping Pyongyang has reportedly worked as broker for hiring crews for OMM, and Mirae Shipping Hong Kong employed crew members assigned by OMM.
- Mirae Shipping Hong Kong is the registered owner, operator and manager of the *Great Hope* (IMO 8307492). The vessels crew was assigned by OMM, according to Mirae Shipping Hong Kong.

Mr. Kasatsugu, Mirae Shipping Hong Kong's director, is also chief executive officer (CEO) of a Japan-based company, Kinyo Shipping Co., Ltd.<sup>1</sup> which has been officially listed by Chongryon (aka General Association of Korean Residents) as one of its associated entities.<sup>2</sup> For years, this company was reportedly in charge of "general agency functions" for the Democratic People's Republic of Korea's vessels and involved in shipping agent services for OMM-controlled vessels before the adoption of resolution 1718 (2006) (annex 28). Information obtained by the Panel indicates Kinyo Shipping's business relationship with Mirae Shipping Hong Kong in recent years.

Kinyo Shipping has also shared administrative and/or operational functions with another Japan-based company, OMM Incorporated (hereafter "OMM Inc.").<sup>3</sup> The two companies are registered with almost identical lines of business. Mr. Kasatsugu was formerly listed as OMM Inc.'s director until March 2003. According to information obtained by the Panel, OMM Inc. was involved in the *Mi Rae*'s operation.

Mirae Shipping Hong Kong and Mirae Shipping Shenzhen were established in May 2007 and December 2007 respectively. Kinyo Shipping's functions may have been transferred to these entities after Japan strengthened sanction against the Democratic People's Republic of Korea in 2006.

The Panel investigates OMM's relationships with the aforementioned companies based in Japan and Malaysia.

Summary of information regarding Mirae Shipping Pyongyang, Mirae Shipping Shenzhen, Mirae Shipping Hong Kong, OMM Dalian and Mr. Pak In Su

**Mirae Shipping Co., Ltd.**

- Aka. Korea Mirae Shipping Co., Ltd.
- Address: 105 Haewun Building, Tonghung-dong, Chung-guyok, PO Box 2034, Pyongyang, DPRK.
- Address: Tonghung Dong, Central District, Pyongyang, DPRK
- Tel: 850-2-18111 ext 381-8818-09
- Fax: 850-2-381-4567
- Email: mirae@silibank.com
- Date of IMO registration: 24 February 2003

**Korea Mirae Shipping Co., Ltd.'s Shenzhen Representative Office**

- Aka. Mirae Shipping Co., Ltd., Shenzhen Office
- Chief Representative : **Mr. Yang Bong Rim**
  - Mr. Yang has presented himself as Ocean Maritime Management Company using the email address of [oceanmm@silibank.net.kp](mailto:oceanmm@silibank.net.kp).
- Deputy Representative : **Mr. Lee** (phone +86 15813730174)
- Address: 16G, New times Plaza, Taizhi road, Shekou, Shenzhen, China 518067
- Tel: +86-755-26859661
- Fax: +86-755-26859665

<sup>1</sup> In Japanese: 株式会社近洋海運.

<sup>2</sup> See [www.chongryon.com/j/cr/link1.html](http://www.chongryon.com/j/cr/link1.html)

<sup>3</sup> In Japanese: 株式会社オーエムエム. The Panel has not confirmed whether OMM Inc. is a subsidiary of the designated entity, OMM.

- E mail: [miraeshpgsz@mrshipping.com.cn](mailto:miraeshpgsz@mrshipping.com.cn); [miraeshpg@cmagency.com.cn](mailto:miraeshpg@cmagency.com.cn)
- Mobil: 0086-18665335190; 0086 15817469031

**Mirae Shipping (H.K.) Co., Ltd.**

- Address: 18th Floor, Thungsun Commercial Centre, 194-200, Lockhart Road, Wan Chai, Hong Kong, China.
- Director: **Mr. Hiroshi Kasatsugu** (nationality: Japan; passport number: TK0666126)

**OMM Dalian**

- No. 10, 10th Floor Unit 1, No. 32-1 Wuwu Road, Zhongshan District, Dalian, China
- Tel: +86 411-82778898
- Representative: **Chungu Jin**

**Mr. Pak In Su**

- Nationality: Democratic People's Republic of Korea
- Passport number: 290221242
- Date of birth: 23 May 1957
- Employed by Malaysian Coal and Minerals Corporation Sdn Bhd (business registration number 521100-K) until 2 January 2015
- Office address: No. 26, Jalan Wangsa Delima 2A, Kuala Lumpur Suburban Centre III, Seksyen 5, Wangsa Maju 53300, Kuala Lumpur

## Annex 25 – Mirae Shipping, OMM Dalian, and Malaysian agent

## 25.1 Mirae Shipping Shenzhen registration record

| 朝鲜未来海运公司深圳代表处的企业信用信息资料      |                           |
|-----------------------------|---------------------------|
| 温馨提示: 打印 删除 保存信用信息 删除 修改 删除 |                           |
| 标识码: 20145YCN0688           |                           |
| 基础身份信息                      |                           |
| 登记备案信息                      |                           |
| 注册号                         | 440301508087214           |
| 隶属企业名称                      | 朝鲜未来海运公司                  |
| 机构名称                        | 朝鲜未来海运公司深圳代表处             |
| 营业场所                        | 深圳市南山区(蛇口太子路)号新时代广场1006单元 |
| 成立日期                        | 2007年12月5日                |
| 经营期限                        | 自2007年12月5日至2010年12月5日    |
| 核准日期                        | 2013-11-09                |
| 经营范围                        | 代表本公司开展业务联络, 不直接从事经营活动。   |
| 首席代表                        | RI SONG IL (李慈日)          |
| 企业登记状态                      | 登记成立                      |
| 年检情况                        | 2012年度已年检                 |

Source: Website of the Shenzhen Enterprise Credit Information Centre. Available from [www.szcredit.com.cn](http://www.szcredit.com.cn).

## 25.2 Mirae Shipping Pyongyang and Ocean Maritime Management Company's IMO registration records

|                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                                                                                        |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------|
| Company Name:                                                                                                                                                                                                                                                                                                                                                                                                                                                | Mirae Shipping Co Ltd                                                                  |
| IMO Company Number:                                                                                                                                                                                                                                                                                                                                                                                                                                          | 5268829                                                                                |
| Company Address:                                                                                                                                                                                                                                                                                                                                                                                                                                             | 105, Haewun Building, Tonghung-dong, Chung-guyok, PO Box 2034, Pyongyang, North Korea. |
| Country of Registration:                                                                                                                                                                                                                                                                                                                                                                                                                                     | Korea, North                                                                           |
| <small>The IMO Group assumes no responsibility and shall not be held liable for any loss, damage or expense caused by reliance on the information or advice in this website or otherwise provided, unless that person has signed a contract with the relevant IMO Group entity for the provision of this information or advice and in that case any responsibility or liability is exclusively on the terms and conditions set out in that contract.</small> |                                                                                        |
| <small>This record may be printed for reference purposes however it is NOT an official Certificate of the IMO.</small>                                                                                                                                                                                                                                                                                                                                       |                                                                                        |

|                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                                                                  |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| Company Name:                                                                                                                                                                                                                                                                                                                                                                                                                                                | Ocean Maritime Management Co Ltd                                 |
| IMO Company Number:                                                                                                                                                                                                                                                                                                                                                                                                                                          | 1790183                                                          |
| Company Address:                                                                                                                                                                                                                                                                                                                                                                                                                                             | CPO Box 120, Tonghung-dong, Chung-guyok, Pyongyang, North Korea. |
| Country of Registration:                                                                                                                                                                                                                                                                                                                                                                                                                                     | Korea, North                                                     |
| <small>The IMO Group assumes no responsibility and shall not be held liable for any loss, damage or expense caused by reliance on the information or advice in this website or otherwise provided, unless that person has signed a contract with the relevant IMO Group entity for the provision of this information or advice and in that case any responsibility or liability is exclusively on the terms and conditions set out in that contract.</small> |                                                                  |
| <small>This record may be printed for reference purposes however it is NOT an official Certificate of the IMO.</small>                                                                                                                                                                                                                                                                                                                                       |                                                                  |

Source: IMO

### Mirae Shipping Pyongyang

Address: 105 Haewun Building, Tonghung-dong, Chung-guyok, PO Box 2034, Pyongyang, North Korea

### OMM

Address: CPO Box 120, Tonghung-dong, Chung-guyok, Pyongyang, North Korea

## 25.3 Mirae Shipping Hong Kong's business registration record, dated 29 May 2014

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |  |                                                                                                                                                                     |  |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|---------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
|  <b>周年申報表</b><br><b>Annual Return</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |  | <b>表格</b><br><b>Form</b> <b>NAR1</b>                                                                                                                                |  |
| 公司註冊處<br>Companies Registry                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |  | 公司編號 Company Number<br>1136375                                                                                                                                      |  |
| <b>1 公司名稱 Company Name</b><br>MIRAE SHIPPING (H.K.) CO. LIMITED                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |  |                                                                                                                                                                     |  |
| <b>2 商業名稱(如有的話) Business Name (if any)</b><br>--                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |  |                                                                                                                                                                     |  |
| <b>3 公司類別 Type of Company</b><br>請在適用的空格內加上✓號。 Please tick the relevant box.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |  |                                                                                                                                                                     |  |
| <input checked="" type="checkbox"/> 私人公司 Private company <input type="checkbox"/> 公眾公司 Public company <input type="checkbox"/> 擔保有限公司 Company limited by guarantee                                                                                                                                                                                                                                                                                                                                                                                                                                                |  |                                                                                                                                                                     |  |
| <b>4 本申報表的結算日期</b><br><b>Date to which this Return is Made Up</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |  |                                                                                                                                                                     |  |
| 29 05 2014<br>日 DD 月 MM 年 YYYY                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |  |                                                                                                                                                                     |  |
| <small>(如屬私人公司，本申報表應列載截至公司成立為法團的周年日期的資料。<br/>         For a private company, the information in this return should be made up to the anniversary of the date of its incorporation.<br/>         如屬公眾公司，申報表的結算日期應為該公司的會計參照期結束後的6個月屆滿之日。<br/>         For a public company, the return should be made up to the date that is 6 months after the end of its accounting reference period.<br/>         如屬擔保有限公司，申報表的結算日期應為該公司的會計參照期結束後的9個月屆滿之日。<br/>         For a company limited by guarantee, the return should be made up to the date that is 9 months after the end of its accounting reference period.)</small> |  |                                                                                                                                                                     |  |
| <b>5 隨本表格交付的財務報表所涵蓋的會計期</b><br><b>Period Covered by Financial Statements Delivered with this Form</b><br><small>(私人公司可免填此項。 A private company need not complete this section.)</small>                                                                                                                                                                                                                                                                                                                                                                                                                            |  |                                                                                                                                                                     |  |
| -- -- -- 至 -- -- --<br>日 DD 月 MM 年 YYYY 日 DD 月 MM 年 YYYY                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |  |                                                                                                                                                                     |  |
| <b>6 註冊辦事處地址 Address of Registered Office</b><br>18/F., Tung Sun Commercial Centre, 194-200 Lockhart Road, Wanchai, Hong Kong                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |  |                                                                                                                                                                     |  |
| <b>提交人資料 Presenter's Reference</b><br>姓名 Name: P & T Corporate Consultants Limited<br>地址 Address: 18/F., Tung Sun Commercial Centre,<br>194-200 Lockhart Road,<br>Wanchai,<br>Hong Kong<br>電話 Tel: 2598 8283<br>傳真 Reference: CK, 11363750014, 10/07/2014                                                                                                                                                                                                                                                                                                                                                         |  | <b>請勿填寫本欄 For Official Use</b><br><br>22901130375<br>NAR1<br>18/06/2014 1136375 |  |

Source: Hong Kong's Integrated Companies Registry Information System (ICRIS) database available from [www.icris.cr.gov.hk/csci/](http://www.icris.cr.gov.hk/csci/).

**25.4 Evidence showing the involvement of Mirae Shipping Hong Kong and/or Mirae Shipping Shenzhen in arranging shipping services for OMM-associated vessels**

Communication records obtained by the Panel from the Chong Chon Gang referring to "Mirae"

Figure 1.

To: OCKP 459 261 11/11 02:11  
 CC: MIRAE  
 CC: C.C. CHAN  
 FM: CHONG CHON GANG  
 - DISCHARGE COMPLETED 2200 CT/18/11/11  
 - TTE CCG QTY DISCHD 11253 MT only  
 - DOCUMENTS FINALISED N VSL UNBERTHED AT 1240 LT 11/11  
 - SAILING DRAFT F/A 1.77/5.54  
 - ROB 1FO 105 + MGR 26  
 - NEXT PORT ARRVL DRAFT F/A 1.77/5.54  
 - 783 NM To JIANGTANG  
 - ETA JIANGTANG 22/11/11 1400W WP  
 ROPS.

Figure 2.

To: JY Forecast @ 162.00m 11/11 04:30  
 CC: OCKP  
 CC: MIRAE  
 FM: CHONG CHON GANG  
 GDAY  
 RESUMED PROCEEDING TO JY 1210LT 17TH.  
 ETA ABT 1700LT 17TH.  
 ROPS.

Source: The Panel

Figure 3.

To: OCKP      463    321    11/9    04:27  
From: CHENG CHAN GONG

A733

주제회 앞.

MKAB REP 이명희 씨에게 오로출발승려해. 주석장속 호수등이러  
전하 이제부터는.

오로출발승려해 하면 승차한뒤에 omn psc room 중의 의문함,  
IFO 장(이상)에서 LPS 추가 등도 매우 정교하게 진행됨.  
  
R&AS.

*Informal English translation*

"I contacted MIRAE REP (representative) and was told that it did not arrange (yet) (certain of) the part and material."

Figure 4.

193 114 5/25 0609  
To: ops dept (a) pendal, com, cm  
CC: OCEAN DALIAN  
CC: MIDE  
CC: cc KP  
To: CHONG CHON GANG  
G DAY  
ETA DALIAN NO1 QUARANTINE ANCHORAGE 0500LT  
26TH MAY 2011.  
Rhos.

Source: The Panel

**25.5 Communication records between Mirae Shipping Shenzhen and Panama Canal authorities regarding the *O Un Chong Nyon Ho*'s passage through the Canal in 2012**

----- Message from [redacted] <miraeshpgsz@mshipping.com.cn> on [redacted] 2012  
+0000 -----  
To: [redacted]  
cc: [redacted]  
Subject: MV O UN CHONG NYON HO / SIN NO.6002784 / IMO NO.8 3 3 0 8 1 5  
TO PANAMA CANAL AUTHORITY  
FM MIRAE SHIPPING  
Re: MV OUNCHONGNYONHO / IMO NO.8 3 3 0 8 1 5 / SIN NO.6002784  
Good day,  
We send PCSOPEP of mv ouchongnyonho as attached.  
The vsl will arrive at Cristobal on/around 09th,May.  
B.rgds  
Mirae Shipping Co Shenzhen office  
16G,Times Plaza,Taizi road,Shekou,Shenzhen,PR China  
PC 518067  
Tel - 0086-755-26859661  
Fax - 0086-755-26859661  
Mobil - 18665335190

Source: The Panel

**25.6 Communication records between Mirae Shipping Shenzhen, Ocean Maritime Management Company Brazil, and a Panamanian shipping agent regarding the *Po Thong Gang*'s passage through the Panama Canal in 2011**

Figure 1

From: miraeshpgsz  
Sent: [REDACTED] 2011 20:30  
To: [REDACTED] Yonggun Ju  
Cc: 'OceanBrazil' ; 'BRAZIL OCEANREP'  
Subject: Re: PO THONG GANG

TO OCEAN BRAZIL  
FM MIRAE SHPG

RE OUTSTANDING OF MV PO TRONG GANG  
==

ATTACHED BANK SLIP USD2,393.51 FOR YOUR REF.

THANKS & BEST REGARDS

MIRAE SHIPPING(HK) CO LTD, SHENZHEN OFFICE  
ROOM G,16/F,TIMES PLAZA,NO.1,TAIZI ROAD,  
SHEKOU,SHENZHEN,P.R.CHINA(518067)  
TEL + 86 755 2685 9661 / 9662 FAX + 86 755 2685 9665  
CHIEF REP(MR.YANG) + 86 15817469031, DEPUTY REP(MR.LEE) + 86 15813730174

Source: The Panel

Figure 2

From: Yonggun Ju [mailto:[oceanrep-brazil@uol.com.br](mailto:oceanrep-brazil@uol.com.br)]  
Sent: [REDACTED] 2011 10:44 a.m.  
Cc: [miraeshipgk@mrshipping.com.cn](mailto:miraeshipgk@mrshipping.com.cn); 'BRAZIL OCEANREP'; 'OceanBrazil'  
Subject: RE: PO THONG GANG

TO [REDACTED]  
FM OCEAN BRAZIL

**MV PO THONG GANG FINAL D/A**  
== =

THANK YOU FOR THIS.

PLEASE DESPATCH FINAL D/A TO

**Mirae Shipping Co Ltd, Shenzhen Office**  
**Room G,16/F,Times Plaza,No.1,Taizi Road,**  
**Shekou,Shenzhen,P.R.China (518067)**  
**Tel + 86 755 2685 9661 / 9662**

THEY REMITTED PRO FORMA D/A TO YOU AND WILL SETTLE ANY BALANCE  
PLEASE ADVISE COURIER AIRWAY BILL NUMBER WITH COPY TO US

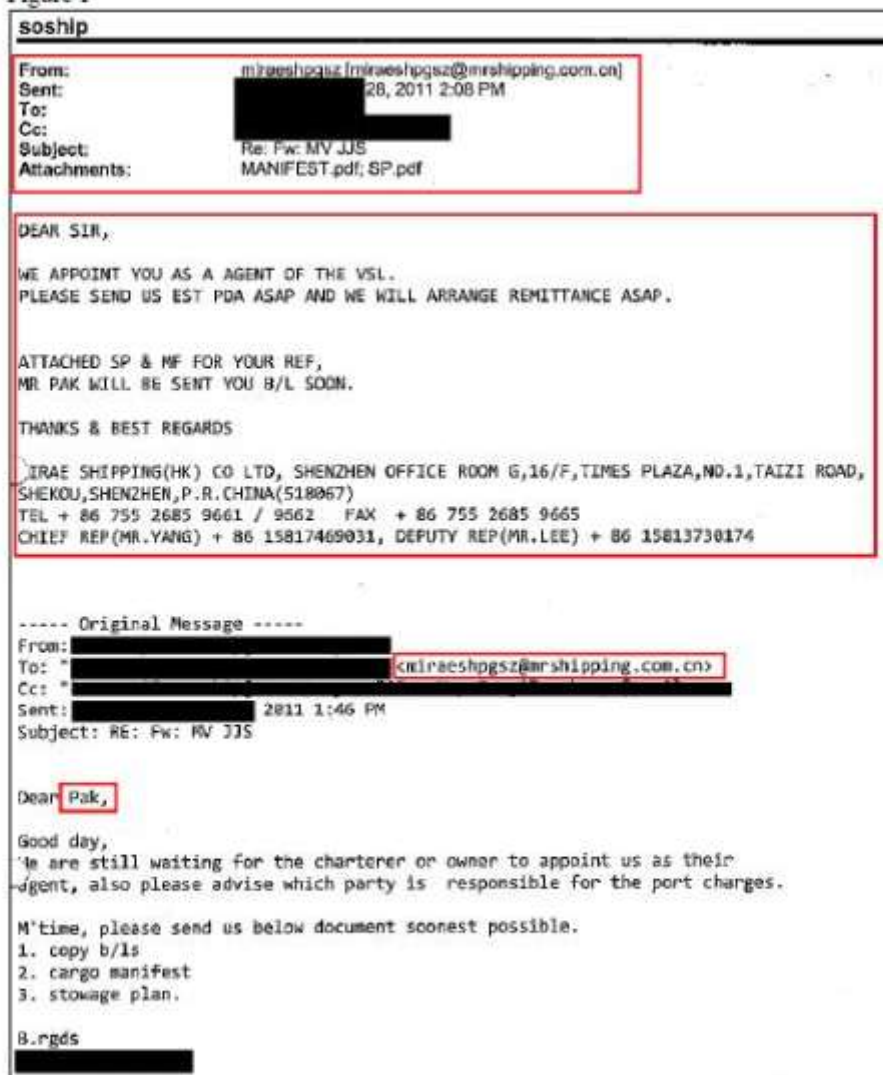
BEST REGARDS

**Yonggun Ju**  
**Overseas Representative in Brazil**  
**Ocean Maritime Management Co.,Ltd**  
**IMO no. 1790183 Bimco Ref no 100242**  
**Tel 55 11 2729 9571**  
**Cel 55 11 8739 0163**

Source: The Panel

**25.7 Email of March 2011 from Mirae Shipping (Shenzhen) to a Malaysian shipping agent notifying Mr. Pak In Su as a contact person**

Figure 1



Source: The Panel

Figure 2

-----Original Message-----  
 From: [REDACTED]  
 Sent: [REDACTED]  
 To: [REDACTED]  
 Subject: Fwd: Fw: MV JJS

Dear [REDACTED]

Pls chk mail from SO and there is any problem, let me know.

Tks n B Regards,  
 Pak

----- Original message -----  
 Subject: Fw: MV JJS  
 From: miraeshpgsz <miraeshpgsz@mrshipping.com.cn>  
 To: Malaysia Pakinsu <ksitcdb@hotmail.com>  
 CC:

인수동무

장자산청년호 제남

==

상기배 입항수속, 하선보장을 위한 다음의 자료를 보냅니다.

-SSO name KIM U YONG, IMO NBR 8133530, MMSI NBR nil -Issuance authority of  
 ISSC : Maritime administration, DPR KOREA  
 Date of issue : 12th MAY 2009  
 Expiry : 11th MAY 2014

-Port of issue of ship's sanitation cert : FANGCHENG, CHINA  
 Date of issue of ship's sanitation cert : 12th JUNE 2010 -Ship's  
 particulars : attached -Crewlist : attached -Last 10-ports of call

|                  |               |                          |
|------------------|---------------|--------------------------|
| 1. 3rd MAR 2011  | 22ND MAR 2011 | SONGRIM, D, P, R, KOREA  |
| 2. 23RD FEB 2011 | 26TH FEB 2011 | ZANGJIAGANG, CHINA       |
| 3. 14TH FEB 2011 | 16TH FEB 2011 | POSYET, RUSSIA           |
| 4. 1ST JAN 2011  | 13TH FEB 2011 | CHONGJIN, D, P, R, KOREA |
| 5. 13TH DEC 2010 | 31ST DEC 2010 | WONSAN, D, P, R, KOREA   |
| 6. 29TH NOV 2010 | 4TH DEC 2010  | HAEMU, D, P, R, KOREA    |
| 7. 8TH NOV 2010  | 13TH NOV 2010 | JIANGIN, CHINA           |
| 8. 1ST OCT 2010  | 3RD OCT 2010  | CHONGJIN, D, P, R, KOREA |
| 9. 15TH SEP 2010 | 30TH SEP 2010 | KIMCHAEK, D, P, R, KOREA |
| 10. 3RD SEP 2010 | 8TH SEP 2010  | NAMPHO, D, P, R, KOREA   |

-Ship security level : 1

경의

Source: The Panel

25.8 Email exchanges between "Mr. Yang" of Mirae Shipping (Shenzhen) and Mr. Pak In Su (Malaysia)

From: [REDACTED]  
To: <miraeshpgsz@mirashipping.com.cn>; [REDACTED]  
Sent: [REDACTED] 2011 5:37 PM  
Subject: RE: Fw: MV JJS

> Dear Mr Yang,  
>  
> Pls send documents asked by Mr SH Ng, agent of MV JJS by fax.  
> And also send proper doc asked by him asap.  
>  
> Tks n B Regards,  
> Pak

Source: The Panel

**25.9 Mirae Shipping Hong Kong's correspondence to the Panel of 29 September 2014, (First round)**

From: <miraeshposz@mrshipping.com.cn>  
 To: [REDACTED]  
 Date: 29/09/2014 11:06 AM  
 Subject: RE: Outgoing Communication # 188 from the Panel of Experts on the Democratic People's Republic of Korea (DPRK)

---

Dear Sirs:

Reference is made to your letter dated 12th September 2014 with reference no.: S/AC.49/PE/DC.188

We wish to clarify our relationship with as follows:

- **OMM:**  
 We have hired the crew provided by OMM to operate and maintain the vessel of our ownership. But being aware of the present sanction against OMM, we plan to close the crew service contract with OMM within this year and work with new crewing source.
- **Mirae Shipping (Shenzhen):**  
 It is the branch office of Mirae Shipping Co., Ltd (DPRK) being in charge of ship operation and ship technical maintenance of our vessels under the management contract between us. To our knowledge, they were the cargo brokers time to time for some of the vessels under OMM management but always before the sanction. M/V "Chong Chon Gang" was one of them and it was normal for Master to report to the broker under "CC" of his vessel's movement under the voyage.
- **Mirae Shipping (DPRK):**  
 They work as our brokers in hiring the OMM crew. They strictly examine, check and select the crew provided by OMM on the spot to support our ship crewing. To our knowledge, they are also broking the cargo and vessels between ship owners and charterers for the commission.

Reference is made to your letter dated 18th July 2014 with reference no.:  
S/AC.49/2014/PE/OC.122

1) Mirae Shipping (HK)'s relationship with O Un Chong Nyon Ho and Bo Tong Gang ;

- Mirae Shipping (HK) has no relation with both owners of mv . O Un Chon Nyon Ho and mv . Bo Tong Gang

2) Mirae Shipping(HK)'s relationship with OMM;

- We have hired the crew provided by OMM to operate and maintain the vessel of our ownership

- We have paid the accrued crew salary by way of remittance to the bank account nominated by OMM.

As long as there is no rejection from our HSBC bank, international banking system and beneficiary bank, we executed the remittance orders as per their request .

3) Identification and contact details of the individuals and /or the entities that requested Mirae Shipping make the payments to the Panama agent

To our knowledge, Mr. Choe Nam Chol was the accounting manager in charge of crew salary in OMM when he requested us the remittance to the Panama agent for canal transit of mv . Bo Tong Gang. (Tel: 00850-2-18222/ext. 8818)

To our knowledge, Ms. Sonu Ok Hi was also the accounting manager in charge of crew salary in OMM when she requested us the remittance to the Panama agent for canal transit of mv . O Un Chon Nyon Ho. (Tel: 00850-2-18222/ext. 8818)

4) Copies of documents relating to the aforementioned passages by O Un Chong Nyon Ho and Bo Tong Gang for the passages through the Panama Canal in 2011 and 2012, showing the names and contact details of the individuals or entities that worked for OMM .

Please see attached for the corresponding mails

Rgds

Source: The Panel's correspondence record of 29 September 2014

Attachment to Mirae Shipping Hong Kong's email to the Panel

**From:** "oceanmm" <@silibank.net.kp>  
**To:** "miraeshpgsz" < miraeshpgsz@mrshipping.com.cn>  
**Sent:** Thursday, Feb 10, 2011 5:56 PM  
**Subject:** PO TONG GANG REMITTANCE

To Mirae Shipping  
Fm Ocean MM

Re remittance

Pls remit USD 115,220.5 to below bank acct for canal passing  
for sub vsf's smooth transition of panama canal.

Pls note Bank detail as below

Beneficiary name : [REDACTED]  
Beneficiary bank : [REDACTED]

Beneficiary acc No [REDACTED]

Pls inform safe receipt of this msg

B.rgds/

**From:** "oceanmm" <@silibank.net.kp>  
**To:** "miraeshpgsz" < miraeshpgsz@mrshipping.com.cn>  
**Sent:** Monday, May 7, 2012 8:50 AM  
**Subject:** O Uti CHONG NYON HO at Panama Canal

To Mirae Shipping  
Fm Ocean MM

Re mtinc

Pls urgently remit USD 31,400 to below bank acc for Panama of the vsf  
and inform us the result.

Pls find Beneficiary Bank detail as below

Beneficiary name : [REDACTED]  
Beneficiary bank : [REDACTED]

Beneficiary acc : [REDACTED]

B.rgds

Source: Correspondence records provided by Mirae Shipping HK

**25.10 Second round of correspondence between Mirae Shipping Hong Kong and the Panel, 1 December 2014**

From: <miraeshqsz@mrshipping.com.cn>  
 To: [REDACTED]  
 Date: 01/12/2014 09:36 AM  
 Subject: RE: Letter from the United Nations Panel of Experts 1874 (2009)

Dear sir

Please find here below our reply *in red* on your enquiry:

Enquiry

- Information related to the relationships between your company, OMM, Mirae Shipping Shenzhen, Hua Heng Shipping Limited, and Liaoning Foreign Trade Foodstuffs Shipping Co Ltd. in connection to the Great Hope (including a summary of the specific roles and responsibilities of each company);

*Hua Heng Shipping Limited is contractual counterpart for ISM and PSC, while Mirae Shenzhen is for crew management and technical maintenance.*

- Copies of documents regarding your business dealings with Hua Heng Shipping Limited, Liaoning Foreign Trade Foodstuffs Shipping Co. Ltd., and Mirae Shipping Shenzhen in connection to the Great Hope, including copies of contracts, business documents and relevant correspondence records; and

*We would appreciate your understanding that we are contractually bound not to disclose the relevant documents as per the clause of confidentiality and privacy.*

- Identities and contact details of the individuals and entities who have worked for Hua Heng Shipping Limited, Liaoning Foreign Trade Foodstuffs Shipping Co. Ltd., and Mirae Shipping Shenzhen with respect to their dealings with OMM in connection to the Great Hope.

*We are not allowed to disclose their personal data*

Documents showing your company's plan to cancel its contract with OMM

Your correspondence of 29 September 2014 noted plans to discontinue your contract with OMM by the end of 2014. The Panel understands that the contract requires a written notice of cancellation to be provided by your company. In this regard, the Panel would be grateful for the following information:

- ☐ Copies of your company's cancellation notice and any other legally binding documents related to the contract termination;

*We contacted them by phone and explained to them of the sanction circumstances and noticed them of our intention to terminate our mutual contract asking their understanding.*

- ☐ Copies of correspondence with OMM related to the contract termination; and

*And we sent them a letter in this connection.  
You can ask them a copy*

- ☐ Information related to your company's most recent business dealings with OMM (up to the point of contract termination) and copies of supporting documents.

*No any business dealing with OMM nowadays*

In addition, the Panel understands that in the event of early cancellation, OMM is contractually obliged to return a share of your company's advanced payment. In relation to this, the Panel requests:

- ☐ Copies of financial transaction records showing OMM's remittance; and

*There is no balance to collect from OMM*

- ☐ Confirmation of the OMM bank account information used for this transaction.

*Not available as no such balance transaction*

#### Your previous business dealings with OMM

In your correspondence of 20 October 2014, you provided a copy of payment advice related to your business dealings with OMM, which included a remittance dated 9 June 2012 to Chinpo Shipping Co. Pte. Ltd. (hereafter "Chinpo Shipping"), for US\$ 100,014.21. However, this document does not list any transactions with OMM (see annex 2) but the Panel understands that under your contract for the *Great Hope*, your company makes \$350,000 (USD) payments to OMM annually for crew wages.

In this regard, the Panel would like to request the following information:

- ☐ Copies of correspondence with OMM and Chinpo Shipping to confirm that the remittance dated 9 June 2012 was for payment to OMM;

*We are unable to find them after long time. You can ask on same to Chinpo Shipping or OMM*

- ☐ Identities of all individuals at Chimpo Shipping known to have worked for OMM:

*We are not allowed to disclose their personal data.*

- ☐ Copies of documents showing financial transactions between your company and OMM related to the annual lump-sum payments of \$350,000 (USD); and

*Please refer to the payment instructions regarding Panama canal transit of Pho Thong Gang, O Un Chon Nyon Ho and remittance details for US\$ 100k to Chimpopo which we sent you last*

- ☐ Information related to all bank accounts known to be used by OMM.

In addition, your correspondence of 20 October 2014 states that your company acted as cargo brokers for OMM-associated vessels. In this regard, the Panel requests:

- ☐ Copies of documents related to your business dealings with OMM for all vessels since 12 June 2009; and

*As per the clause of confidentiality and privacy with OMM, afraid we are unable to provide with the documents. Please obtain permission from OMM*

- ☐ Copies of relevant contracts, business documents, correspondence records and shipping documents.

*As per the clause of confidentiality and privacy with OMM, afraid we are unable to provide with the documents. Please obtain permission from OMM*

Further, your correspondence of 29 September 2014 provided copies of OMM requests for three remittances to be paid to a Panamanian shipping agent for passage through the Panama Canal for the O Un Chong Nyon Ho and the Bo Tong Gang in 2011 and 2012 (see annex 3 for ease of reference).

In this regard, the Panel would like to request the following information:

- ☐ Copies of documents that show corresponding remittances from OMM to your company to cover the remittances paid to the Panamanian shipping agent; and

*We remitted from the accrued crew salary as per their request, thus no find to collect from OMM*

- ☐ A list of the specific services your company has provided for these vessels (as requested in our letter of 2 October 2014).

*There was no specific service after normal service including the assistance for the Panama Canal transit*

Information about individuals who have worked for OMM

The Panel would be grateful for the information relating to the identities of:

- ☐ All crew members who were provided by OMM to your company; and

*Impossible to release any personal data without their permission*

- ☐ All individuals known to have who have worked as OMM's overseas representatives.

*Not available and no relationship*

Your company's relationships with Korea Mirae Shipping Co., Ltd. (hereafter "Mirae Shipping DPRK") and Mirae Shipping Shenzhen

Your correspondence of 20 October 2014 states that your company is not Mirae Shipping DPRK's branch office and that Mirae Shipping DPRK is "a counterpart of management contract and ship owner". In this regard, however, your correspondence of 29 September 2014 noted Mirae Shipping DPRK as being "our brokers in hiring the OMM crew". As such, the relationship between these two statements is not clear.

In order to clarify this point, the Panel requests the following:

- ☐ Copies of documents related to your business dealings with Mirae Shipping DPRK, including contracts (as requested in our letter of 2 October 2014);

*Please understand we need permission from Korea Mirae Shipping*

- ☐ Identities and contact details of the individuals who have worked for Mirae Shipping DPRK in connection to its dealings with OMM for your company (as requested in our letter of 2 October 2014); and,

*Please understand we need permission from Korea Mirae Shipping*

- ☐ Information related to the unnamed vessel owned by Mirae Shipping DPRK referred to in your correspondence of 20 October 2014 and your company's relationship with this vessel.

*There was m/v "MIRAE" under ownership of Korea Mirae Shipping Co and was sold in December 2013 according to our understanding*

Your correspondence of 20 October 2014 also stated that your company has not shared any management personnel and/or employees with Mirae Shipping Shenzhen. In this regard, the Panel would be grateful for:

- ☐ Clarification as to whether your company has shared administrative or operational functions with Mirae Shipping Shenzhen (for example, office space or contact information).

*No sharing*

*Mirae HK is based in HK and Shenzhen office is based in Shenzhen, China*

Rgds

**Annex 26 – Mirae Shipping Hong Kong's contract with OMM**

CONTRACT OF SEAMEN'S SERVICE  
BETWEEN MIRAE SHIPPING (HK) CO., LTD  
AND  
OCEAN MARITIME MANAGEMENT CO., LTD

Date: 28<sup>th</sup> November 2008

This contract is made this day of 28<sup>th</sup> November 2008 and mutually agreed between MIRAE SHIPPING (HK) CO., LTD (hereinafter called the Party A) and OCEAN MARITIME MANAGEMENT CO., LTD (hereinafter called the Party B) through friendly consultation with regard to the seamen's recruit from the Party B to work on the cargo vessels of the Party A on the following terms and conditions:

1. "Party A" to employ about 30 crew from Party B for their manning of m/v Great Hope (hereinafter called "the Vessel"). The particulars of the Vessel are given to Party B who hereby confirms its receipt in order.

The ranks and/or ratings of the crew of each ship are specified hereunder:

- 1) Master
- 2) Chief Officer
- 3) 2<sup>nd</sup> Officer
- 4) 3<sup>rd</sup> Officer
- 5) Ch Engineer
- 6) 2nd Engineer
- 7) 3rd Engineer
- 8) 4<sup>th</sup>(Assist) Engineer
- 9) Electrical Officer
- 10) Bosun
- 11) AB \*3
- 12) Motorman \* 3
- 13) Cook
- 14) Doctor

The Party A. has the right to board and remain on board the Vessel at any time at their option to supervise the performance of the crew and the voyages.

2. Certificate and qualification

The Party B confirms that it is a duly licensed manning or crewing agency under the laws, and is competent to lawfully supply the Seamen required by the Party A.

The Party B to provide competent seamen who must possess the following documents in original and which are valid for a further period of at least 12 months from the date of embarking:

- All kinds of valid STCW qualification certificates, including seaman's book, competence certificate, record book, professional training certificate (such as Fire Fighting; Medical First Aid; Survival at Sea; Proficiency In Survival Craft; ARPA etc.) and vaccination health certificate in accordance with the World Health Organization/ Flag-State's requirements.
- The master and other deck-officers must also hold the certificates of GMDSS.
- The Master and/or the Chief Officer should be duly certified as SSO.

Party B shall provide Party A with the records of the seamen filled in the forms presented by Party A. The qualifications and records of the seamen supplied by the Party B should be true and valid. Otherwise, the Party A has the right to cancel the employment contract and the Party B will bear all losses and consequences arising there from.

Party B is obliged to arrange all Seamen visas, passports and other travel permits and documents as required by the Party A to enable the hired Seamen to be properly employed upon the Vessel and their issuing cost to be borne by Party B. The minimum validity of all documents, so far as practical, to be at least 125% of the contract duration of the seafarer from his expected date of embarking the vessel.

Party A has obligation to provide all crew with COEs of the flag country.

Party B has obligation to provide Party A with related documents required by Flag-State for application.

3. Period of service: The seamen employed by the Party A shall serve on board the Vessel of the Party A in a period of twelve months with one month more or less in requirement of the Party A. In principle, the seamen will go on board the Vessel from a port of China and/or to go on board at a port outside China where the crew of the Party B can be on board with no problems as regards to entry to the concerned country and boarding on the ships under special circumstances.

The period of service will commence upon the seamen embarking the vessel at the port as stated above.

4. Party B is responsible and liable for ensuring that officers and ratings can prove a satisfactory command of the English language, both in oral and written communication for employment.
5. Party B shall arrange for pre-employment physical and medical examinations of the seamen in accordance with the World Health Organization/Flag-State's requirements. All seamen to possess the international certificate of health examination and international certificate for vaccination or prophylaxis including Yellow Fever and Cholera immunizations valid for the term of their contract.
6. Party B shall arrange necessary joining documents (Seaman's book, I.D., Certificates of Training etc.), immigration documents (obtained Visa), domestic transportation etc. and make any other necessary arrangements for the Seamen to be ready for joining the designated Vessel, and shall inform the Party A of their readiness. The seamen must possess the following certificates and documents in original, which are valid for a further period of at least 12 months:
  - Passport, Seafarer's Identity Certificate
  - STCW Certificate
  - Pre-joining Medical Examination Report
  - Vaccination Health certificates
7. Party B warrants that it has checked with due diligence and is satisfied with the authenticity of the Seamen's training and documentation under STCW 78/95 and STCW 2010.
8. Party A shall inform the Party B of the joining schedule of the Seamen, such as date of departure, name of port, name of agent with full address, at least 30 days prior to the joining date. In the case of urgent situations, the Party B shall endeavor to dispatch the seamen in less than 15 days.
9. Wages, meals expenses and others
  - 1) Party A shall pay to "Party B" USD 350,000.00 (say, three hundred and fifty thousand U.S. Dollars only) per year as crew wages in lump-sum excluding crew provisions to the Party B's nominated bank account provided that same payment is accepted by the international banks.
  - 2) In case of earlier cancellation of the Contract by mutual agreement, the money advance to Party B should be returned to Party A's nominated bank account based on the calculation of actually incurred costs.

- 3) Opening/closing hatch covers, securing and lashing deck cargo job are as crew's routine work and crew are not be entitled to request any additional allowances.
  - 4) Party A shall provide the crew on board with seasonal working suits, helmets, gloves and shoes on their account.
  - 5) The crews on board have the right to use free of charge the general labor protective articles provided by the "Party A".
  - 6) Party A to monthly advance to Master USD 500.00 (say, five hundred US Dollars) in cash to spend as a normal entertainment for port in/out clearance.
  - 7) Party A shall arrange timely supply of stores and parts requested by the master for technical maintenance or provisional repair of the Vessel.
  - 8) Party B has right to request Party A, Cash-to-Master in advance against the deduction from the crew wage.
  - 9) In case of late payment of crew wages more than one month from the due date, the interest of 1 (one) percent per month shall be charged to Party A for the delayed period from the due date.
10. The Trading Area of Ship: worldwide trading excluding USA, South Korea, Japan and Australia.
11. Party A confirms that the Vessel where the seamen will work has been properly surveyed and proved to be suitable for ocean-going by an internationally recognized or the Vessel flag administration's recognized organization that have issued the Ships' certificates.
12. The seamen provided by the Party B and their duties:
- 1) To obey the order and arrangement of the Party A and strictly comply with their discipline, rules and regulations and ship operation procedure.
  - 2) To comply strictly with the disciplines, rules and regulations concerning the customs for foreigners and to protect the interest and reputation of the Party A.
  - 3) To perform their duties and try their utmost to fulfill their work every day, maintaining the deck-equipment and engine in a good condition.
  - 4) To cooperate between departments, and to help one another on board.
  - 5) To secure safety of ship and cargo on board, to provide an excellent service for the "Party A".

- 6) To accept self-consciously the training under the ISM /ISPS rules and to execute the procedures and regulations of SMS/SSP/SEEMP.
- 7) When encountering PSC inspection, If no deficiencies are found, Party A shall pay USD 500 to the crew. On the contrary, crew will be penalized up to maximum USD 300 in all if deficiencies are more than 5 items and USD 500 if vessel is detained in PSC inspection but as far as such deficiencies are proved caused due to negligence in their normal maintenance works. The same can be deducted by Party A from the crew wages.

#### 13. The expenses for dispatch and repatriation

- 1) Party A to bear all the traveling expenses for dispatch and repatriation of seamen based on the actual bills incurred out of the DPR Korea.
- 2) Party B to bear all the traveling expenses incurred in the DPR Korea.
- 3) However, if the Party B recalls a seaman or he signs off due to personal reasons during the period of a contract and which is approved by Party A, or the seaman's incompetence of his job or his own disease, such expenses and all the related consequential charges incurred to be on the account of Party B or the seaman himself.

#### 14. Working and living condition

Party A shall provide crew with following working and living conditions:

- 1) Maximum working hours and minimum hours of rest;  
 "Working Hours" means the time during which crew are required to do work on account of the Vessel.  
 Maximum working hours: 14 hours per 24hours but 48hours for 7 days period except emergency situation.  
 Minimum rest hours: 10hours per 24hours but 77hours for 7 days period standard normal working hours shall be based on one eight-hour working day including the day of rest per week and rest on public holidays.
- 2) Conditions of accommodation  
 Party A shall provide for accommodations which meet the minimum requirements of rules of the ILO. Otherwise, Party B may refuse to place the crew aboard the Vessel and all losses and expenses incurred there from shall be borne by the Party A.

## (3) Holds cleaning

The crew may carry out holds cleaning and/or washing at the request of the Party A, who shall pay min. USD 2,500.00 in lump-sum. Time spent in cleaning and/or washing holds shall not be counted as hours of overtime work.

## 15. Termination of contract for individual crew

When the Party A approves a seaman to sign off, the seaman must make clear exchange of his job with the one who will take over his position by signing on a listing bill. All the articles which he has taken care of should be handed over to the new on-signer according to the regulations of the Party A. The seaman to settle his wages against the bill of hand-over and take-over, failing to do this and leaving without approval, the Party A shall lodge a claim of economic compensation against the Party B and the seaman concerned.

## 16. Insurance and medical service:

- 1) Upon being on board the Ships till signing off the ship, the Party A shall carry personal accident insurance for the seamen and bear the insurance premium for any injury, disablement or death by accident.

Party A to compensate the seaman (seamen) according to the following criteria (all in US Dollars);

i. Loss of life: 50,000.00

ii. Disabled seaman's loss of working ability (degree of disability);

28,500- 49,500 50-99%

28,000 Upto 49%

20,000 Upto 40%

15,000 Upto 30%

10,000 Upto 20%

6,200 Upto 10%

3,100 Upto 5%

\* Party A shall appoint a doctor to determine degree of disability.

- 2) Party B, at the request of the Party A, submits the necessary documents.

- 3) In case of being ill or injured by an accident while working on board, the Party A shall provide medical treatment and medicine. If the crew can not work and hospitalization is required due to being heavily ill and/or injured, such situation should be certified by a

doctor and the Party A to follow the doctor's final recommendation on whether to return to work or home after recovery.

Party A shall provide the Vessel with necessary medicine and medical kits as listed in International Medical Guide for Ships and permit a ship's doctor to purchase the medicine which is unavailable on board but needed in treatment of crew who falls ill during his stay on board. Such permission shall be given upon request from the master, otherwise the master can purchase the medicine as prescribed by the ship's doctor and regulation of relate laws for the accounts of Party A. In any case, the master must present supporting documents for any expenditure he makes without formal permission from the Owners.

- 4) Above item 1) and item 3) are not applicable in case of intentional doing by the seaman or being ill or injured by his own misconduct.
- 5) The crew on board must not keep the history of illness in their medical examination record. Otherwise, any expenses and consequences arising of their historical chronic illness are to be for the Party B or the crew's account and responsibilities.

#### 7. Termination of contract

In case when the Party B or the crew require signing off before the expiration of his term of service, they must notify the Party A in writing 30 days in advance and Party B shall dispatch a substitute crew at their own expense and free of any risk, responsibility and loss to Party A. Notwithstanding the above, the crew could only leave the ship upon the consent of the Party A. On the contrary, if the crew offend against the law or statute of local government or the rules and regulations of the port, or break the rules and regulations of the Party A or disobey the reasonable order of the Party A, endangering the safety of the ship or refuse to serve on the vessel for whatsoever reason or not competent in Party A's discretion, the Party A has the right to dismiss the person concerned at once and make a punishment. In such case, the "Party B" or relatives of the seaman could not appeal to the Party A for anything and the Party A has the right to make a punishment on the seaman by deducting all wages, welfare and the administration fee of the Party B to cover the losses caused by the Party A. Meanwhile, Party B shall dispatch a substitute crew at their own expense and free of any risk, responsibility and loss to Party A.

18. All the others that are not mentioned herewith will be negotiated by both parties.

19. Any dispute arising out of this contract shall be settled amicably through negotiations, and if failed, to be referred to arbitration in Hong Kong and English law to apply.

20. The contract shall be effective upon being signed by both parties and valid for one year, which shall be extended annually unless any of the contracting parties shall present a notice of cancellation in writing 2 (two) months in advance or 1 (one) month in case that Party A sell the Ship. The contract is made in duplicate in English and each side holds one.

For and On behalf of Party A

For and On behalf of Party B

For and on behalf of  
MIRAE SHIPPING (H.K.) CO. LIMITED  
  
Authorized Signature(s)


Source: Mirae Shipping HK

"Ocean Maritime Management Co., Ltd."

According to Mirae Shipping HK, Mr. Hiroshi Kasatsugu signed this contract.

## Annex 27 – Mirae Shipping Hong Kong

27.1 Mirae Shipping Hong Kong's business registration record showing the company incorporation date of 29 May 2007

|                                                                                                                                                                                                                                                                                                                        |  |                                                                                                              |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|--------------------------------------------------------------------------------------------------------------|
|  <b>首任秘書及董事通知書</b><br><b>Notification of First Secretary and Director</b><br><small>公司註冊處 Companies Registry (公司條例第136(4)及(4A)條 Companies Ordinance s. 136(4) &amp; (4A))</small>                                                     |  | 存案 File<br>表格 Form <b>D1</b>                                                                                 |
| <b>重要事項 - Important Notes</b><br>• 填表前請參閱《填表須知》。<br>• 請用黑色墨水列印。<br>• Please read the accompanying notes before completing this form.<br>• Please print in black ink.                                                                                                                                                   |  |                                                                                                              |
| 1 公司名稱 Company Name<br><div style="border: 1px solid black; padding: 2px; text-align: center;">MIRAE SHIPPING (H.K.) CO. LIMITED</div>                                                                                                                                                                                 |  | 公司編號 Company Number<br><div style="border: 1px solid black; padding: 2px; text-align: center;">1136375</div> |
| <b>A. 個人董事 Individual Director</b><br><small>(如超過兩名個人董事，請填續頁A續表) Use Continuation Sheet B if more than 2 individual directors</small>                                                                                                                                                                                  |  |                                                                                                              |
| 請在正確位填位 / 請 Please tick the relevant box(es):<br>身份 Capacity: <input checked="" type="checkbox"/> 董事 Director <input type="checkbox"/> 候補董事 Alternate Director                                                                                                                                                         |  |                                                                                                              |
| 代晉 Alternate to: <div style="border: 1px solid black; width: 150px; height: 20px;"></div>                                                                                                                                                                                                                              |  |                                                                                                              |
| 中文姓名 Name in Chinese: <div style="border: 1px solid black; width: 300px; height: 20px;"></div>                                                                                                                                                                                                                         |  |                                                                                                              |
| 英文姓名 Name in English: <div style="display: flex; justify-content: space-between;"> <div style="border: 1px solid black; padding: 2px;">KASATSUGU</div> <div style="border: 1px solid black; padding: 2px;">Hiroshi</div> </div> <small>姓氏 Surname 名字 Other Name</small>                                                |  |                                                                                                              |
| 曾用名 Previous Name: <div style="border: 1px solid black; width: 300px; height: 20px;"></div>                                                                                                                                                                                                                            |  |                                                                                                              |
| 別名 Alias: <div style="border: 1px solid black; width: 300px; height: 20px;"></div>                                                                                                                                                                                                                                     |  |                                                                                                              |
| 住址 Residential Address: <div style="display: flex; justify-content: space-between;"> <div style="border: 1px solid black; padding: 2px;">Shinbashi, Minato-ku, Tokyo.</div> <div style="border: 1px solid black; padding: 2px;">Japan</div> </div> <small>國家 Country</small>                                           |  |                                                                                                              |
| 電郵地址 E-mail Address: <div style="border: 1px solid black; width: 300px; height: 20px;"></div>                                                                                                                                                                                                                          |  |                                                                                                              |
| 身份證明 Identification:<br>a 香港身份證號碼 Hong Kong Identity Card Number: <div style="border: 1px solid black; width: 200px; height: 20px;"></div>                                                                                                                                                                             |  |                                                                                                              |
| b 海外護照 Overseas Passport: <div style="display: flex; justify-content: space-between;"> <div style="border: 1px solid black; padding: 2px;">JAPAN</div> <div style="border: 1px solid black; padding: 2px;">TG0956548</div> </div> <small>護照號碼 Issuing Country 號碼 Number</small>                                        |  |                                                                                                              |
| 委任日期 Date of Appointment: <div style="display: flex; justify-content: space-between;"> <div style="border: 1px solid black; padding: 2px;">29</div> <div style="border: 1px solid black; padding: 2px;">05</div> <div style="border: 1px solid black; padding: 2px;">2007</div> </div> <small>日 DD 月 MM 年 YYYY</small> |  |                                                                                                              |

27.2 Mirae Shipping Hong Kong's business registration record showing Mr. Hiroshi Kasatsugu as company's Director (29 May 2014)

|  <b>周年申報表</b><br><b>Annual Return</b>                                                                                                                                                                                                                      |                                    | <b>表格</b><br><b>Form</b> <b>NAR</b> |                      |               |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------|-------------------------------------|----------------------|---------------|
| 公司註冊處<br>Companies Registry                                                                                                                                                                                                                                                                                                                 |                                    | 公司編號 Company Number<br>1136375      |                      |               |
| <b>1 公司名稱 Company Name</b><br>MIRAE SHIPPING (H.K.) CO. LIMITED                                                                                                                                                                                                                                                                             |                                    |                                     |                      |               |
| <b>2 商業名稱(如有的話) Business Name (if any)</b><br>                                                                                                                                                                                                                                                                                              |                                    |                                     |                      |               |
| <b>3 公司類別 Type of Company</b><br><small>請在適當的表格內加上✓號 (Please tick the relevant box)</small><br><input checked="" type="checkbox"/> 私人公司 Private company <input type="checkbox"/> 公眾公司 Public company <input type="checkbox"/> 擔保有限公司 Company limited by guarantee                                                                           |                                    |                                     |                      |               |
| <b>4 本申報表的結算日期 Date to which this Return is Made Up</b><br>29 05 2014<br><small>DD MM YYYY</small>                                                                                                                                                                                                                                          |                                    |                                     |                      |               |
| <b>Particulars of Member(s) of a Non-listed Company (Section 13)</b><br><small>(有股本的非上市公司必須填寫此頁。如空間不足，或超過一欄股份，可另加附註。)</small><br><small>(Non-listed company having a share capital must complete this page. If the space provided is insufficient, or if there is more than one class of shares, please use additional Schedule 1.)</small> |                                    |                                     |                      |               |
| 截至本申報表的結算日期的成員詳情 <b>Particulars of Member(s) as at the Date to which this Return is Made Up</b>                                                                                                                                                                                                                                             |                                    |                                     |                      |               |
| <b>股份類別 Class of Shares</b><br>Ordinary                                                                                                                                                                                                                                                                                                     |                                    |                                     |                      |               |
| <b>此類別股份的已發行總數 Total Number of Issued Shares in this Class</b><br>100,000                                                                                                                                                                                                                                                                   |                                    |                                     |                      |               |
| 姓名／名稱<br>Name                                                                                                                                                                                                                                                                                                                               | 地址<br>Address                      | 股份 Shares                           |                      | 備註<br>Remarks |
|                                                                                                                                                                                                                                                                                                                                             |                                    | 現時持有量<br>Current Holding            | 轉讓*<br>Transferred * |               |
|                                                                                                                                                                                                                                                                                                                                             |                                    | 數目<br>Number                        | 日期<br>Date           |               |
| KASATSUGU Hiroshi                                                                                                                                                                                                                                                                                                                           | Shimbashi, Minato-ku, Tokyo, Japan | 100,000                             |                      |               |

| 董事 Directors                                                                                 |                                                                                                     |
|----------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------|
| <b>董事 (自然人) Director (Natural Person)</b>                                                    |                                                                                                     |
| (如超過一名董事屬自然人，請用續頁 B 填報 Use Continuation Sheet B if more than 1 director is a natural person) |                                                                                                     |
| 請在空格內加上 ✓ 號 Please tick the relevant box(es)                                                 |                                                                                                     |
| city                                                                                         | <input checked="" type="checkbox"/> 董事 Director<br><input type="checkbox"/> 候補董事 Alternate Director |
|                                                                                              | 代辦 Alternate to                                                                                     |
| 姓名 in Chinese                                                                                | ---                                                                                                 |
| 姓名 in English                                                                                | 姓氏 Surname                                                                                          |
|                                                                                              | KASATSUGU                                                                                           |
|                                                                                              | 名字 Other Names                                                                                      |
|                                                                                              | Hiroshi                                                                                             |
| 姓名 in Chinese                                                                                | 中文 Chinese                                                                                          |
|                                                                                              | ---                                                                                                 |
| 姓名 in English                                                                                | 英文 English                                                                                          |
|                                                                                              | ---                                                                                                 |
| 姓名 in Chinese                                                                                | 中文 Chinese                                                                                          |
|                                                                                              | ---                                                                                                 |
| 姓名 in English                                                                                | 英文 English                                                                                          |
|                                                                                              | ---                                                                                                 |
| 出生地點                                                                                         | ---                                                                                                 |
| 國家/地區 Country/Region                                                                         | Tokyo, Japan                                                                                        |
| 地址 Address                                                                                   | ---                                                                                                 |
| 證明 Identification                                                                            | ---                                                                                                 |
| 香港身分證號碼 Hong Kong Identity Card Number                                                       | ---                                                                                                 |
| 護照 Issuing Country                                                                           | Japan                                                                                               |
| 號碼 Number                                                                                    | TK0666126                                                                                           |

Source: Hong Kong's ICRIS database available from at [www.icris.cr.gov.hk](http://www.icris.cr.gov.hk).

### 28.1 Kinyo Shipping company registration records

### 28.1 Kinyo Shipping company registration records

15-00593 (C)

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|                                                                                                     |                                                                                                                                                                                                                                                                                                                                                                               |               |     |               |  |  |               |  |  |               |       |     |               |  |  |               |  |  |               |
|-----------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|-----|---------------|--|--|---------------|--|--|---------------|-------|-----|---------------|--|--|---------------|--|--|---------------|
| 株式会社近洋和通<br>会社法人等番号 0104-01-007854                                                                  |                                                                                                                                                                                                                                                                                                                                                                               |               |     |               |  |  |               |  |  |               |       |     |               |  |  |               |  |  |               |
|                                                                                                     | 6 倉庫業及び陸上運送取扱業<br>7 前各号の代理業、仲立業及び問屋業<br>8 前各号に附随する一切の事業<br>平成12年 3月20日変更 平成12年 3月21日登記                                                                                                                                                                                                                                                                                        |               |     |               |  |  |               |  |  |               |       |     |               |  |  |               |  |  |               |
| 発行可能株式総数                                                                                            | 12万株                                                                                                                                                                                                                                                                                                                                                                          |               |     |               |  |  |               |  |  |               |       |     |               |  |  |               |  |  |               |
| 発行済株式の総数<br>並びに種類及び数                                                                                | 発行済株式の総数<br>3万株                                                                                                                                                                                                                                                                                                                                                               |               |     |               |  |  |               |  |  |               |       |     |               |  |  |               |  |  |               |
| 株券を発行する旨の定め                                                                                         | 当会社の株式については、株券を発行する<br>平成17年法律第87号第136条の規定により平成18年 5月 1日登記                                                                                                                                                                                                                                                                                                                    |               |     |               |  |  |               |  |  |               |       |     |               |  |  |               |  |  |               |
| 資本金の額                                                                                               | 金3000万円                                                                                                                                                                                                                                                                                                                                                                       |               |     |               |  |  |               |  |  |               |       |     |               |  |  |               |  |  |               |
| 株式の譲渡制限に関する規定                                                                                       | 当会社の株式を譲渡するには、当会社の承認を受けなければならない。<br>平成21年 3月30日変更 平成21年 4月 9日登記                                                                                                                                                                                                                                                                                                               |               |     |               |  |  |               |  |  |               |       |     |               |  |  |               |  |  |               |
| 役員に関する事項                                                                                            | <table border="1"> <tr> <td>取締役</td> <td>監 事</td> <td>平成17年 4月 1日就任</td> </tr> <tr> <td></td> <td></td> <td>平成17年 4月20日登記</td> </tr> <tr> <td></td> <td></td> <td>平成17年 4月 1日就任</td> </tr> <tr> <td>代表取締役</td> <td>監 事</td> <td>平成17年 4月20日登記</td> </tr> <tr> <td></td> <td></td> <td>平成17年 4月 1日就任</td> </tr> <tr> <td></td> <td></td> <td>平成17年 4月20日登記</td> </tr> </table> | 取締役           | 監 事 | 平成17年 4月 1日就任 |  |  | 平成17年 4月20日登記 |  |  | 平成17年 4月 1日就任 | 代表取締役 | 監 事 | 平成17年 4月20日登記 |  |  | 平成17年 4月 1日就任 |  |  | 平成17年 4月20日登記 |
| 取締役                                                                                                 | 監 事                                                                                                                                                                                                                                                                                                                                                                           | 平成17年 4月 1日就任 |     |               |  |  |               |  |  |               |       |     |               |  |  |               |  |  |               |
|                                                                                                     |                                                                                                                                                                                                                                                                                                                                                                               | 平成17年 4月20日登記 |     |               |  |  |               |  |  |               |       |     |               |  |  |               |  |  |               |
|                                                                                                     |                                                                                                                                                                                                                                                                                                                                                                               | 平成17年 4月 1日就任 |     |               |  |  |               |  |  |               |       |     |               |  |  |               |  |  |               |
| 代表取締役                                                                                               | 監 事                                                                                                                                                                                                                                                                                                                                                                           | 平成17年 4月20日登記 |     |               |  |  |               |  |  |               |       |     |               |  |  |               |  |  |               |
|                                                                                                     |                                                                                                                                                                                                                                                                                                                                                                               | 平成17年 4月 1日就任 |     |               |  |  |               |  |  |               |       |     |               |  |  |               |  |  |               |
|                                                                                                     |                                                                                                                                                                                                                                                                                                                                                                               | 平成17年 4月20日登記 |     |               |  |  |               |  |  |               |       |     |               |  |  |               |  |  |               |
| 監査役設置会社に関する事項                                                                                       | 監査役設置会社<br>平成17年法律第87号第136条の規定により平成18年 5月 1日登記                                                                                                                                                                                                                                                                                                                                |               |     |               |  |  |               |  |  |               |       |     |               |  |  |               |  |  |               |
| 登記記録に関する事項                                                                                          | 平成元年法律第15号附則第3項の規定により<br>平成 9年 9月 4日移記                                                                                                                                                                                                                                                                                                                                        |               |     |               |  |  |               |  |  |               |       |     |               |  |  |               |  |  |               |
| これは登記簿に記載されている開示されていない事項の全部であることを証明した書面である。<br>(東京法務局の取寄情報)<br>平成26年 4月30日<br>東京法務局                 |                                                                                                                                                                                                                                                                                                                                                                               |               |     |               |  |  |               |  |  |               |       |     |               |  |  |               |  |  |               |
| CEO and Director, Hiroshi Kasatsugu (笠継博)<br>Appointed on 1 April 2005, registered on 20 April 2005 |                                                                                                                                                                                                                                                                                                                                                                               |               |     |               |  |  |               |  |  |               |       |     |               |  |  |               |  |  |               |

Source: Japanese registration information provision services available at <http://www.touki.or.jp/gateway.html>

28.2 5 December 2004 screen shot of Chongryon's website with reference to Kinyo Shipping



Source: Chongryon's website of 5 December 2004 retrieved through waybackmachine.com

Japanese description

株式会社近洋海運

1982年9月1日設立。共和国船舶の総代理業務を担当する。

Informal English translation

Kinyo Shipping Co., Ltd.

Established on 1 September 1982. This company is in charge of general agency function for the vessels of the Republic [Democratic People's Republic of Korea].

### 28.3 OMM Incorporated's business registration record

|                                                                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                                                                     |
|----------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p align="center"><b>履歴事項全</b></p> <p><b>株式会社オーエムエム</b><br/>会社法人登録号 0104-01-048906</p> |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | <p align="center"><b>OMM Incorporated (株式会社オーエムエム)</b><br/><b>Company registration number 0104-01-048906</b></p>                                                                                    |
| 商号                                                                                     | 株式会社オーエムエム                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | <p>Moved to another office on 30 April 2009, which is also registered by Kinyo Shipping (registered on 14 May 2009).</p> <p>平成20年 1月10日移転<br/>平成20年 1月11日登記<br/>平成21年 4月30日移転<br/>平成21年 5月14日登記</p> |
| 本店                                                                                     | [Redacted]                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                                                                                                                                     |
| 支店                                                                                     | [Redacted]                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                                                                                                                                     |
| 代表をする方法                                                                                | 官報に掲載してする                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                                                                                                                                                                                                     |
| 会社成立の年月日                                                                               | 平成14年11月8日                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | <p>Moved on 10 January 2008 to the address also listed as Kinyo Shipping's address (registered on 11 January 2008).</p>                                                                             |
| 目録                                                                                     | <ol style="list-style-type: none"> <li>1. 海運代理店業務</li> <li>2. 下記物品の輸出入業及び国内売買             <ol style="list-style-type: none"> <li>(1) 石炭、コークス、焦炭、蒸気、白炭、特許、炭素材、硬化石油ガス、その他の燃料類及び製品</li> <li>(2) 鉄系鉱石、銅、鉛、亜鉛、錫、ニッケル、マグネサイト、その他の非鉄金属及びこれらの製品</li> <li>(3) 製鉄機械、電気機械、印刷機、化学工業機械、繊維機械、型紙パルプ機械、工作機械、農業機械、土木建築機械、皮革用機械、一般機械、化学装置計量器具、医療用具、工作器具、船舶材料、自動車、自転車、船舶、舟艇、航空機、光学製品、写真製作機器、及びこれらの部品</li> <li>(4) タフ子、錠剤、マス、イカ、タニ、その他すべての水産物及び陸産物、水産飼料、肉味食品</li> <li>(5) 米、麦、飼料、農産品、畜産品、食品類、砂糖、酒類その他飲料、肥料、肥料、有機肥料、養分肥料、油質肥料、複合肥料その他の肥料、除虫剤、殺菌剤、動物性脂肪、その他油脂製品、農業機械具、バッテリー、タイヤその他の乳製品、天産物これらの製品</li> <li>(6) 豆類、落葉、綿糸、綿織物、絹二次製品、絹、スフ、人絹、合成繊維、羊毛類、半製品、軍服料、布製品、皮革及びこれらの製品</li> <li>(7) 木材、木製品及びセメント、硝子、陶磁器、その他の産業製品</li> <li>(8) 医薬品、医薬部外品、即、薬物、大衆、若手物、化学製品、工業製品、化学機具、化粧品、ナフタリン、織物及びこれらの製品</li> <li>(9) 宝石、貴族、天然樹脂、人工樹脂、皮革、パルプ、洋紙、紙類、その他の紙類及びこれらの製品</li> <li>(10) 家具、家庭用品、テレビ・ラジオなどの一般家庭用電気製品、事務機器及び情報通信機器、時計、試験測定機器、精密類、観測・スポーツ器具、興業又は映画用具及びこれらの製品</li> <li>(11) 豪華類、花の束、祭典、流儀、南北ビニール、一般日用品雑貨類</li> <li>(12) 土木建築資材</li> <li>3. 前記物品の製造加工業、林業及びこれらの附属業</li> <li>4. 第2号3の運輸船の操縦及び船付工事調査ならびに貸借漁獲り事業</li> </ol> </li></ol> |                                                                                                                                                                                                     |

Source: Japanese registration information provision services available at <http://www1.touki.or.jp/gateway.html>

28.4 Photograph of Tokyo building where Kinyo Shipping and OMM Incorporated shared office space



Source: Photos of 28 February 2014 obtained by the Panel

## Annex 29 – Senat Shipping Singapore

### 29.1 Summary information

Singapore-based companies named Senat Shipping & Trading Private Limited, Senat Shipping Limited, and Senat Shipping Agency Pte. Ltd. have undertaken extensive activities on behalf of OMM. The Panel's findings about their activities are summarized below (see annexes 29.2-3; 47.8-13; 47.16).

- At least between 2003 and July 2013, these companies have acted on behalf of or at the direction of OMM's headquarters in the Democratic People's Republic of Korea and OMM's overseas representatives, including those based in Brazil, China, Russia, Singapore, and Thailand.
- These companies have been extensively involved in the operation of Democratic People's Republic of Korea-flagged vessels controlled by OMM and the arrangements for related financial transactions on behalf of OMM.
- The companies have been operating from the same office address (No. 9, Temasek Boulevard, #36-02A Suntec Tower Two, Singapore 038989).
- Those OMM-controlled vessels include the *Jang San* (aka *Zang San*) (IMO 8358599), the *Kwan Mo Bong* (IMO 8126862), the *Ryong Gang 2* (aka the *Tan Chon*) (IMO 7640378), the *Sam Il Po* (IMO 8829567), the *Jang Ja San Chong Nyon Ho* (aka the *Song Jin*) (IMO 8133530), and the *Chong Chon Gang* (aka the *Tong Hung San*) (IMO 7937317).
- Between 2008 and 2009, these companies used the *Dawnlight* (IMO 9110236) (owned by Senat Shipping Limited and operated by Senat Shipping & Trading Pte. Ltd.) to arrange for a joint chartering with the *Ryong Gang 2* (owned by OMM-associated entity, Taedonggang Sonbak Co Ltd at that time). When issuing an invoice to the *Ryong Gang 2*'s charterer in January 2009, Senat Shipping Agency Pte. Ltd. requested the charterer to avoid mentioning the vessel's name in financial transactions, indicating the company's intent to conceal the company's link with the vessel in documents related to the financial transaction. The *Dawnlight* appears to have been carrying cargo to and from the Democratic People's Republic of Korea before and after the Security Council's designation of OMM on 28 July 2014.

These companies' extensive links to OMM-associated vessels suggest that these entities have acted, and still could act, on OMM's behalf or at its direction.

**29.2 Documents found on board the *Chong Chon Gang* which refer to an entity named "Singapore Senat"**

1779 201 7/ 824

(16)

TO: [REDACTED]  
 \* CC: [REDACTED]  
 CC: [REDACTED] Date: 3<sup>rd</sup> Jun. 2010

CC: Senat  
 CC: Shipper  
 \* CC: Ocean sp  
 \* CC: Ocean kp  
 CC: Concerned Parties  
 PRC CHONG CHON GANG

**LETTER OF PROTEST**

Dear Sirs,

According to joint tally one by one sling and each other signed on tally sheets of crew and stevedore's tally, quantity of bagged rice on board are 11453.05 mt/229061 bags only.

But stevedore's final loaded report's quantity is 11500.00 NMT/11528.00 OMT/230000 bags and also same QTTY M/R.

So 46.95 MT/939 bags difference than actual loaded quantity and AGT/SHIPPER/STEVEDOR require signing on that paper.

So we are refusing to sign on stevedore's final load report and resulting M/R and SOP can not be issued and vessel's sailing will be delayed.

Owner/Master is not responsible if may arise delay or losses for this dispute.

2015 항사

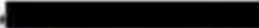
기간 : 7월 99(2010)년 8월 5일 - 9월 26일 까지 52일간  
 수량 : 114,530.05톤 - 115,280.00톤  
 수량차 : 749.95톤  
 품명 : Singapore Senat  
 운송자 : 싱가포르 해운회사로 부터 제공됨.

9월 28일 발령문 발송함.

Source: The Panel

## 195/310



To: JAT SA HU AT JINT Y HO IP, C/A, 

Owners of M/V: KORSA MYTANG SHIPPING COMPANY, FYONG TANG, SPS KORSA.A/C. SHANT SHIPPING-SIPONG.

A/C of: KORSA MYTANG SHIPPING COMPANY, FYONG TANG, SPS KORSA.A/C. SHANT SHIPPING-SIPONG.

Bill No: /01/0005 DATE: 02/05/2003

| Sl. No.     | Particulars                                                                                                                                                               | Unit       | Rate      | Per | Amount          |
|-------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------|-----------|-----|-----------------|
|             | <p>BILL FOR SUPPLY OF FURNISHING AS FOR SHANT SHIPPING-SINGAPORE INSTANTED TIME FAX NO-SAGE DATED: 14/05/2003 DURING OUR STAY AT THE DOCK OF CHITTHAGONG, BANGLADESH.</p> |            |           |     |                 |
| A)          | IPG-180 CMT ... ..                                                                                                                                                        | 460 M/TONS | USD187.50 | M/T | USD 75,000.00   |
| B)          | NGO ... ..                                                                                                                                                                | 130 M/TONS | USD187.50 | M/T | USD 29,425.00   |
| GRAND TOTAL |                                                                                                                                                                           |            |           |     | USD 1,34,425.00 |

(TOTAL IN DOLLARS ONE HUNDRED THIRTY FOUR THOUSANDS AND FORTY FIVE ONLY).



Chief Officer: \_\_\_\_\_

Chief Engineer: \_\_\_\_\_

Purser: \_\_\_\_\_





**Annex 30 – Ocean Maritime Management Company Brazil, Peru, Mr. Ju Yong Gun,  
and Mr. Jong Sang Gyo**

**30.1 Email communications – Mr. Ju Yong Gun**

Below are email communications between a foreign shipping agent and Mr. Ju Yong Gun to arrange passage through the Panama Canal in 2010 and 2011 for the *Po Thong Gang* and *Kwan Mo Bong* (partially edited by the Panel in order to protect the confidentiality of the source). In these communications, Mr. Ju provided the following contact details:

Mr. Ju Yong Gun  
Overseas Representative in Brazil  
Ocean Maritime Management Co., Ltd  
IMO no. 1790183 Bimco Ref no 100242  
Tel: 55 11 2729 9571  
Cell: 55 11 8739 0163  
Email: 홍진 <[jong-oceanbrazil@uol.com.br](mailto:jong-oceanbrazil@uol.com.br)>,  
BRAZIL OCEANREP <[jygommm@gmail.com](mailto:jygommm@gmail.com)>  
Yonggun Ju <[oceanrep-brazil@uol.com.br](mailto:oceanrep-brazil@uol.com.br)>

----- Message from Yonggun Ju <[oceanrep-brazil@uol.com.br](mailto:oceanrep-brazil@uol.com.br)> on [REDACTED] 2011 05:36:38  
+0000 -----

|          |                                                                                                                                                                     |
|----------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| To:      | [REDACTED] – Operations Department <[REDACTED]>                                                                                                                     |
| cc:      | 홍진 < <a href="mailto:jong-oceanbrazil@uol.com.br">jong-oceanbrazil@uol.com.br</a> >, 'BRAZIL OCEANREP' < <a href="mailto:jygommm@gmail.com">jygommm@gmail.com</a> > |
| Subject: | mv po thong gang                                                                                                                                                    |

To  
Fm Ocean Brazil

A HAPPY NEW YEAR!

Mv po thong gang

ETA Balboa 20<sup>th</sup> Feb 2011  
Last port of call Qingdao (bunkering)  
Next port of call Havana  
Cargo on board steels, talc powder, etc reverting with cargo docs

It is a maiden transit for her and vsI has no SIN number – pls advise how to prepare EDCS  
She must be issued PC tonnage cert

VsI's particulars

MV Po Thong Gang  
Flag DPR Korea Reg.no 3702421 IMO. No 8829555  
9,430 dwt on 7.85m SSW/ TPC 18mts

Flush tween, bit 87, DPR Korea flag  
 LOA/ Beam/ moulded draft 130.95/ 18.4/ 10.8m  
 4 ho/ ha MacGregor covers weather deck/ pontoons tween

[.....] abbreviated by the Panel

please give us pro forma d/a for transit toll etc, charges on CTM and f.water cost

attached PCSOPEP  
 reverting with other e.docs for transit

Best regards

Yonggun Ju  
 Overseas Representative in Brazil  
 Ocean Maritime Management Co.,Ltd  
 IMO no. 1790183 Bimco Ref no 100242  
 Tel 55 11 2729 9571  
 Cel 55 11 8739 0163

----- Message from Yonggun Ju <oceanrep-brazil@uol.com.br> on [REDACTED] 2010  
 21:23:09 +0000 -----

|          |                                                             |
|----------|-------------------------------------------------------------|
| To:      | [REDACTED] - Operations Department <[REDACTED]>             |
| cc:      | "jong-oceanbrazil@uol.com.br" <jong-oceanbrazil@uol.com.br> |
| Subject: | MV Kwan Mo Bong                                             |

To [REDACTED]  
 Fm Oceqan Brazil

MV Kwan Mo Bong- Enquiry

The above vessel ETA Balboa 26<sup>th</sup> July for eastbound transit in laden condition, and  
 We invite you for quotation for pro forma d/a incld toll

Last port of call Lienyungang, China. Next port call Havana, Cuba  
 Last Transit of Panama Canal 30<sup>th</sup> July 2007 under agency of Barwil  
 Vessel's Panama ID No. SIN 3007071

#### Particulars

|   |                          |                                     |                      |                      |
|---|--------------------------|-------------------------------------|----------------------|----------------------|
| - | Name of vessel           | Kwan Mo Bong                        | previous name        | Nil                  |
| - | Type of vessel           | General cargo ship                  |                      |                      |
| - | Official number          | 300692                              |                      |                      |
| - | IMO number               | 8126862                             |                      |                      |
| - | Flag                     | DPR of Korea                        |                      |                      |
| - | Call sign                | HMBN                                | Satcom/telex/fax no. | Inmarsat-C 444511110 |
| - | Year/month of build/yard | Jan., 1980, Korea Chungjin Shipyard |                      |                      |
| - | Gt/nt/dwt                | ; 6448 / 3905/10046MT               |                      |                      |

- Suez canal tonnage GT 6700.9 NT 5084.7
- Panama canal tonnage GT 6448 NT 5473 ID No. SIN 3007071
- Loa/beam/moulded depth 130.95/ 18.40/ 10.4m
- Ho/ha 4/4
- Grain/bale 13810CUM/488303CFT, BALE-12989CUM/458974CFT
- Type of gear and SWL crane 3t x 4
- Ssw draft 7.87m
- Class Korea Classification Society
- Name of owners Kwannobong Shipping Company Ltd
- Name of managers Ocean Maritime Management Co.,Ltd

Please also quote for fresh water supply and any surcharge on cash to master

Regards

YongGun Ju  
*Overseas Representative, Brazil*  
 Ocean Maritime Management Co.,Ltd  
 Tel 0055 11 2729 9571  
 cel 0055 11 8739 0163

----- Message from Yonggun Ju <oceanrep-brazil@uol.com.br> on [REDACTED] 2010 21:23:09 +0000 -----

To: [REDACTED] - Operations Department  
 <[REDACTED]>  
 cc: "jong-oceanbrazil@uol.com.br" <jong-oceanbrazil@uol.com.br>

Subject: MV Kwan Mo Bong  
 To [REDACTED]  
 Fm Ocean Brazil

MV Kwan Mo Bong- Enquiry

The above vessel ETA Balboa 26<sup>th</sup> July for eastbound transit in laden condition, and  
 We invite you for quotation for pro forma d/a incld toll

Last port of call Lienyungang, China. Next port call Havana, Cuba  
 Last Transit of Panama Canal 30<sup>th</sup> July 2007 under agency of Barwil  
 Vessel's Panama ID No. SIN 3007071

#### Particulars

- Name of vessel Kwan Mo Bong previous name Nil
- Type of vessel General cargo ship
- Official number 300692
- IMO number 8126862
- Flag DPR of Korea
- Callsign HMBN Satcom/telex/fax no. Inmarsat-C 444511110

- Year/month of build/yard Jan.,1980, Korea Chungjin Shipyard
- Gt/nt/dwt : 6448 / 3905/10046MT
- Suez canal tonnage GT 6700.9 NT 5084.7
- Panama canal tonnage GT 6448 NT 5473 ID No. SIN 3007071
- Loa/beam/moulded depth 130.95/ 18.40/ 10.4m
- Ho/ha 4/4
- Grain/bale 13810CUM/488303CFT, BALE-12989CUM/458974CFT
- Type of gear and SWL crane 3t x 4
- Ssw draft 7.87m
- Class Korea Classification Society
- Name of owners Kwanmobong Shipping Company Ltd
- Name of managers Ocean Maritime Management Co.,Ltd

Please also quote for fresh water supply and any surcharge on cash to master

Regards

YongGun Ju  
Overseas Representative, Brazil  
Ocean Maritime Management Co.,Ltd  
Tel 0055 11 2729 9571  
cel 0055 11 8739 0163

----- Message from Yonggun Ju <oceanrep-brazil@uol.com.br> on [REDACTED] 2011 05:36:38  
+0000 -----

To: [REDACTED] - Operations Department <[REDACTED]>

cc: '홍진' <jong-oceanbrazil@uol.com.br>, 'BRAZIL OCEANREP'  
<jygonim@gmail.com>

Subject: mv po thong gang

To [REDACTED]  
Fm Ocean Brazil

A HAPPY NEW YEAR!

[.....] abbreviated by the Panel

please give us pro forma d/a for transit toll etc, charges on CTM and f.water cost

attached PCSOPEP  
reverting with other e.docs for transit

Best regards

Yonggun Ju  
Overseas Representative in Brazil  
Ocean Maritime Management Co.,Ltd  
IMO no. 1790183 Bimco Ref no 100242  
Tel 55 11 2729 9571

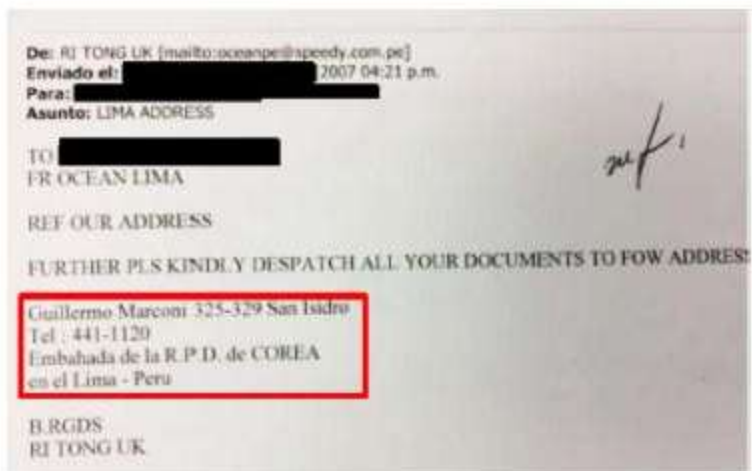
Cel 55 11 8739 0163

30.2 Email correspondence from Mr. Ju Yong Gun to shipping agent to arrange shipping services for Ocean Maritime Management Company-associated vessels in cooperation with Mirae Shipping Shenzhen

From: Yonggun Ju [mailto:[oceanrep-brazil@uol.com.br](mailto:oceanrep-brazil@uol.com.br)]  
[REDACTED]  
Cc: [miraeshpgk@mrshipping.com.cn](mailto:miraeshpgk@mrshipping.com.cn); 'BRAZIL OCEANREP'; 'OceanBrazil'  
Subject: RE: PO THONG GANG  
[REDACTED]  
**FM OCEAN BRAZIL**  
  
MV PO THONG GANG FINAL D/A  
===  
  
THANK YOU FOR THIS.  
  
PLEASE DESPATCH FINAL D/A TO  
  
**Mirae Shipping Co Ltd, Shenzhen Office**  
  
Room G,16/F,Times Plaza,No.1,Taizi Road,  
Shekou,Shenzhen,P.R.China (518067)  
Tel + 86 755 2685 9661 / 9662  
  
THEY REMITTED PRO FORMA D/A TO YOU AND WILL SETTLE ANY BALANCE  
  
PLEASE ADVISE COURIER AIRWAY BILL NUMBER WITH COPY TO US  
  
BEST REGARDS  
  
Yonggun Ju  
  
Overseas Representative in Brazil  
  
Ocean Maritime Management Co.,Ltd  
  
IMO no. 1790183 Bimco Ref no 100242  
  
Tel 55 11 2729 9571  
  
Cel 55 11 8739 0163

Source: The Panel

30.3 Record of email communication between a Panamanian shipping agent and Mr. Ri Tong Uk, Ocean Lima, of 20 June 2007



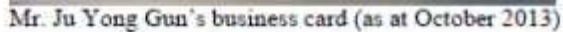
|                                    |            |
|------------------------------------|------------|
| Referencia del Banco               | [REDACTED] |
| Referencia del Cliente             | [REDACTED] |
| Fecha de Valor                     | [REDACTED] |
| Fecha de Ingreso                   | [REDACTED] |
| Hora de Inscripción                | [REDACTED] |
| Monto de la Transacción            | [REDACTED] |
| Tipo de Producto                   | [REDACTED] |
| Descripción de la Transacción      | [REDACTED] |
| Detalles de Pago                   | [REDACTED] |
| Número de Lote/Rastreo             | [REDACTED] |
| Referencia del Remitente           | [REDACTED] |
| N° de Cuenta del Banco Solicitante | [REDACTED] |
| Nombre/Dirección                   | [REDACTED] |
| Por Orden de Ident./Cuenta         | [REDACTED] |
| Nombre/Dirección                   | [REDACTED] |
| Cuenta/Ident. del Beneficiario     | [REDACTED] |
| Nombre/Dirección                   | [REDACTED] |

MV BRG - FINAL PANAMA CANAL FEE(CC)

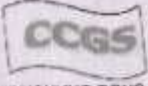
OCEAN LIMA

Source: The Panel

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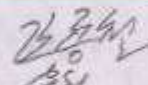
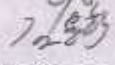
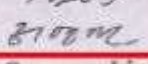


**30.5 Power of Attorney showing names of individuals who represented Ocean Maritime Management Company and Chongchongang Shipping in Panama negotiations**

|                                                                                   |                                                                                        |
|-----------------------------------------------------------------------------------|----------------------------------------------------------------------------------------|
|  | <b>성 천 강 해 운 회 사</b><br><b>CHONGCHONGANG SHIPPING CO., LTD</b>                         |
| TONGHUNG-DONG, CENTRAL DISTRICT,<br>PYONGYANG, D.P.R.KOREA<br>No. 13-1028-07      | TEL : 850-2-18333 EXT 8818<br>FAX : 850-2-381-4567<br>PO.BOX : 136<br>October 26, 2013 |

**Power of Attorney**

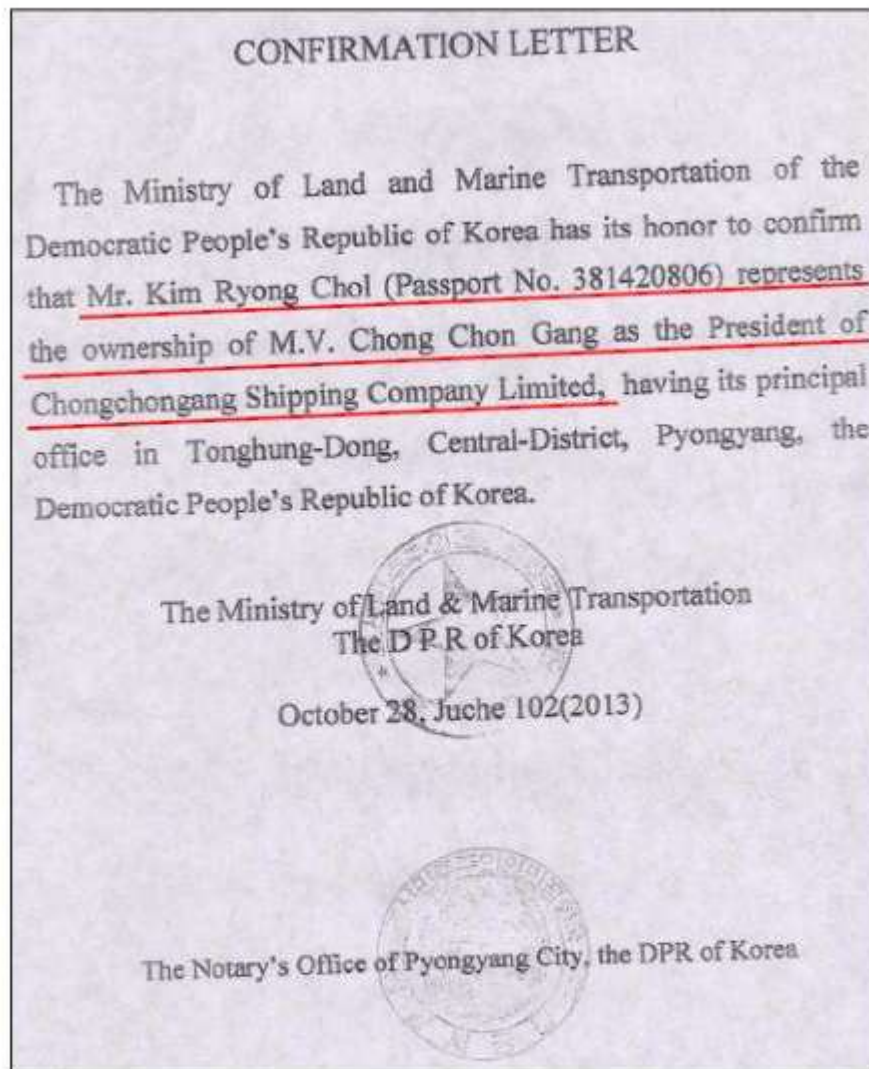
Chongchongang Shipping Company Limited, the owners of M.V. Chong Chon Gang, hereby fully authorizes Mr. Kim Ryong Chol (Male, Birthday June 4, 1963, Passport No. 381420806), the President of Chongchongang Shipping Company Limited), Mr. Kim Yong Hak ( Male, Birthday January 23, 1969, Passport No. 563420271), a director of Chongchongang Shipping Company Limited and Mr. Ju Yong Gun (Male, Birthday July 24, 1956, Passport No. 563220083), the manager of Sales and Purchase Department of Ocean Maritime Management Co., Ltd) to act as its true and lawful attorney and in the name of and on behalf of the Company, to act and either in his own name or in the name of the company to do all in connection with the release of M.V. Chong Chon Gang, the cargo and the crew presently arrested at the port of Christobal, Panama

|                               |                                                                                      |
|-------------------------------|--------------------------------------------------------------------------------------|
| President: Mr. Kim Ryong Chol |  |
| Director: Mr. Yun Chol        |  |
| Director: Mr. Kim Yong Hak    |  |
| Director: Mr. Ri Yong Min     |  |

For and On Behalf of Chongchongang Shipping Company Limited

The Notary's Office of Pyongyang City, the DPR of Korea

Source: The Panel



Source: The Panel

30.6 Communication record between Mr. Yong Gun Ju and a foreign shipping agent referring to Mr. Jong Sang Gyo

From: jong-oceanbrazil@uol.com.br  
To: [REDACTED]  
Subject: mv Ryong Gun Bong - [REDACTED]  
Date: [REDACTED]

To: [REDACTED]  
Fm Ocean Brazil

Re: mv Ryong Gun Bong - [REDACTED]

Top urgent

Pls dispatch us original invoice and bunker delivery note.

**Ocean Brazil / JONG SANG GYO**  
**A STAFF OF THE EMBASSY OF**  
**D.P.R of KOREA IN BRAZIL.**

EDIFICIO RIO NEGRO E MAFRA  
RUA JOAO CACHOEIRA,  
250-230. ANDAR-CONJUNTO 154  
CEP : 04535-000-ITAIM  
SAO PAULO SP, BRAZIL

Tel: 55 11 2309 2284 / 2729 9571  
Mobile: 55 11 8765 2477 / 8739 0163  
e-mail: [Jong-oceanbrazil@uol.com.br](mailto:Jong-oceanbrazil@uol.com.br)  
[oceanrep-brazil@uol.com.br](mailto:oceanrep-brazil@uol.com.br)

after dispatching, pls advise AWB number for our tracing

Rgds  
Ocean Brazil / Jong

Source: The Panel

30.7 Communication record between Mr. Yong Gun Ju and a Panamanian shipping agent referring to Mr. Jong Sang Gyo

...for pre-arrival docs which shall be sent in due course

As for final d/a, pls desptach them to

Mr Jong Sang Gyo,  
Staff of the DPR of Korea Embassy in Brazil.

EDIFICIO RIO NEGRO E MAFRA  
RUA JOAO CACHOEIRA,  
250-230. ANDAR-CONJUNTO 154  
CEP : 04535-000-ITAIM  
SAO PAULO SP, BRASIL  
Tel no. 0055 11 2309 2284

Let's keep in touch

regards

YongGun Ju  
Overseas Representative, Brazil

1

Mr. Jong Sang Gyo's contact information

Nos dijo que enviaramos las cuentas de la siguiente manera:  
Ocean Brazil / Jong Sang Gyo  
A Staff of the Embassy of D.P.R. of Korea in Brazil  
Edificio Rio Negro e Mafra  
Rua Joao Cachoeira,  
250 -230 Andar -Conjunto 154  
CEP: 04535-000-ITAIM  
Sao Paulo SP, Brazil  
Tel 55 11 2309 2284 / 2729 9571  
Mobile 55 11 8765 2477 / 8739 0163  
Email : [Jong-oceanbrazil@uol.com.br](mailto:Jong-oceanbrazil@uol.com.br)  
[Oceanrep-brazil@uol.com.br](mailto:Oceanrep-brazil@uol.com.br)

Source: The Panel

**30.8 Receipt issued by the Cuban authorities showing Ocean Maritime Management Brazil as the owner of the Chong Chon Gang, dated 24 June 2013**

SERVICIO DE SEÑALIZACIÓN MARÍTIMA  
(Derecho de Luces)  
Aids to Navigation Service  
(Light Due)

Registro No. 892/2013

PUERTO DE ARRIBO: PUERTO PADRE, CUBA PROCEDENTE DE: MARIEL, CUBA  
Port of Arrival From to

BUQUE: "CHONG CHON GANG" GRT. 9147  
Ship

NACIONALIDAD: D.P.R. KOREA ARMADOR: OCEAN MARITIME MANAGEMENT-BRASIL  
Nationality Owner

ENTRADA: 24/06/2013 SALIDA: \_\_\_\_\_  
Entrance Departure

| No. | Concepto<br>Concept                                                                    | UAB<br>GRT | Tarifa<br>Tax | Importe<br>Amount |
|-----|----------------------------------------------------------------------------------------|------------|---------------|-------------------|
| 1.- | AID'S TO NAVIGATION SERVICES.<br>and PORT OF CALL<br>LESS 50% FROM THE OFFICIAL TARIFF | 9147.00    | 0.08          | <u>\$365.88</u>   |

*[Signature]*



Oficina Nacional de Hidrografía y Geodesia  
(Firma y Cúpo)

AS SHIP'S MASTER  
Recibido  
(Firma y Cúpo)

*[Signature]*

Nota: El presente CERTIFICADO deberá ser presentado a las autoridades aduaneras o agentes de Consignatarios cuando se sea requerido.  
Note: This certificate shall be presented to Maritime Agents of Consignataries when it is required.

Source: The Panel

## **Annex 31 – Ocean Maritime Management's activities in Egypt**

### **31.1 Summary information**

#### **Sunlight Agency**

- Address: Sunlight Marine Services Co, 38 Mahmoud Sidky Street, Port Said, Egypt
- Email: [mahmoudsedky@bec.com.eg](mailto:mahmoudsedky@bec.com.eg)

#### **Tonghae Psaid**

- This company was identified by a shipping agent as having been involved in shipping services arrangement for OMM-associated vessel(s) in 2001.
- Address: c/o Sunlight Agency, 38 Mahmoud Sedky Street, Port said, P.O.Box 267
- Email [ocean-ltd@bec.com.eg](mailto:ocean-ltd@bec.com.eg)
- Contact person: "Choe"

#### **Information provided by a foreign shipping agent**

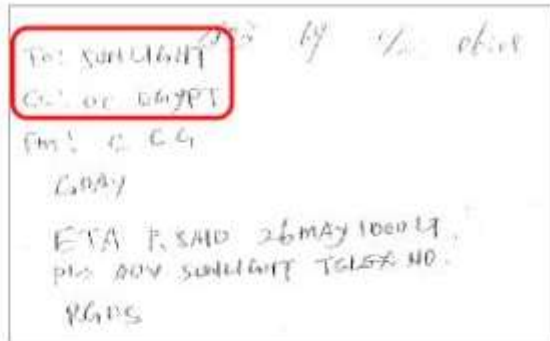
This is the address we have on file for OMM's office in Port Said, Egypt

Ocean Maritime Management Co. Ltd.  
38, Mahmoud Sidky Street,  
Port Said,  
Egypt

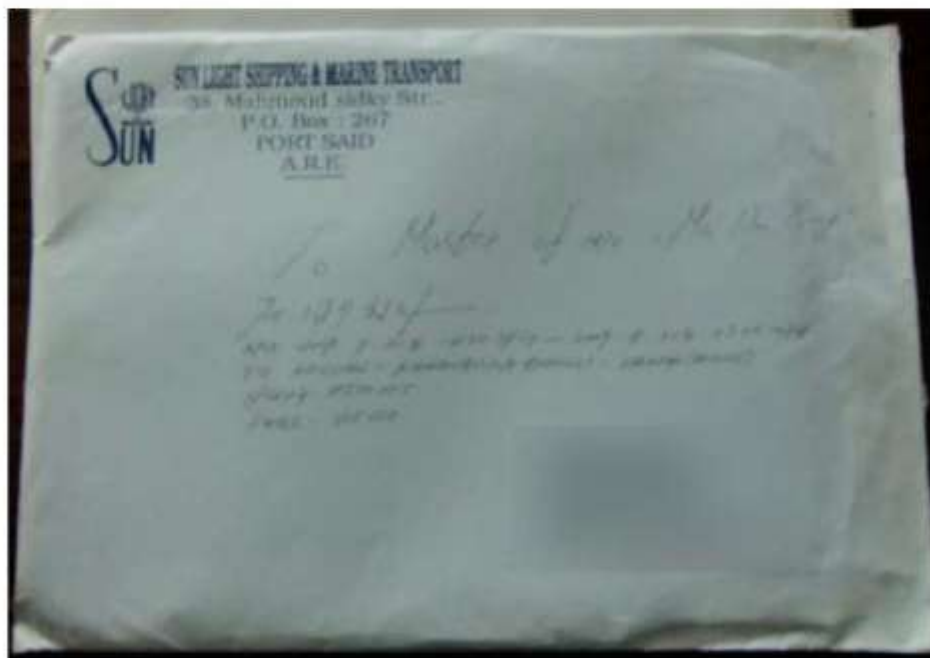
Tel: 0020 66 3229426  
Fax: 0020 66 3237752  
Tlx:0091 63027 (ZOHY UN)  
email:mahmoudsedky@bec.com.eg

**31.2 Document showing Sunlight Agency's business relationships with Ocean Maritime Management Company-associated vessels**

Document obtained from the Chong Chon Gang



Sunlight Agency envelope addressed to the captain of the Mu Du Bong



Source: The Panel

31.3 Record of transit through the Suez Canal of the *Kwan Mo Bong* dated 6 June 2011

PORT SAID PORT AUTHORITY / الهيئة العامة لموانئ بورسعيد  
SHIP TRAFFIC ADMINISTRATION / الإدارة العامة لحركة السفن

PORT CLEARANCE / تصريح مغادرة ميناء

|                 |                     |                 |
|-----------------|---------------------|-----------------|
| TIME            | 1350                | وقت الرحلة      |
| SHIP'S NAME     | <u>KWAN MO BONG</u> | اسم السفينة     |
| DATE            | 6/6/2011            | تاريخ الرحلة    |
| TYPE OF VESSEL  | General             | النوع           |
| NATIONALITY     | Korea               | الجنسية         |
| AGENT           | Shin-Sun-Gil        | التوكيل للأجانب |
| GROSS TONNAGE   | 6448                | الحمولة الكلية  |
| L.O.A           | 128.90 m            | الطول           |
| DRAFT           | 18.40 m             | الغاطس          |
| ARRIVAL DATE    | 6/6/2011            | تاريخ الوصول    |
| LAST PORT       | Mitsui B.C.D        | ميناء القدوم    |
| BOUND TO        | A.E.D. S.E.P        | ميناء الوجهة    |
| EXPORT & IMPORT |                     |                 |
| GENERAL MANAGER |                     | رئيس القسم      |

مدير عام حركة السفن

الختم

STAFF OFFICE

Source: The Panel

#### 31.4 OMM Egypt's correspondence records related to OMM-controlled vessel's port call in September 2010

From: mahmoudsedky@bec.com.eg  
 To: [REDACTED]  
 Subject: mv Sam II Po [REDACTED]  
 Date: [REDACTED]  
 [REDACTED] Jong  
 mv Sam II Po / [REDACTED]  
 ==  
 Pls be informed that the vsl is scheduled to call CTG [REDACTED] to disch 0,500mt bgd rice. The vsl might require the flwg items there, which pls quote best by rtm.

From: mahmoudsedky@bec.com.eg  
 To: [REDACTED]  
 Subject: Fw: mv Sam II Po / [REDACTED]  
 Date: [REDACTED]  
 [REDACTED] Jong  
 mv Sam II Po / [REDACTED]  
 ==  
 Pls quote best the flwg spares at CTG.  
 - M/E SULZER 5RD68  
 1. nozzle E27240 \*5pcs  
 2. stack of spring washers, complete for fixing bolt E27126, E27171 \*10pcs  
 3. rubber expansion joint ISSA 735104 \*4pcs  
 - T/C NAPIER R510A  
 4. bearing 55260/55262 \*2sets  
 - A/E YANMAR 6MAL-HTS  
 5. adjust screw for valve lever 137600-11860 \*24pcs  
 6. fuel injection pump assy 739626-51101 \*2sets

Source: The Panel

31.5 The *Mu Du Bong*'s Letter of Protest referring to Ocean Egypt as "OWNER"

**DS**

**대동강선박유한책임회사**  
**TAEDONGGANG SONBAK COMPANY LIMITED**  
 PUSONG, D.P. OF SOUL  
 FAX: 89230401, 708.122

DATE: \_\_\_\_\_

TO: **MASTER OF M/V "MU DU BONG"** [REDACTED]

CC: CHARTERERS [REDACTED]  
 CC: CONSIGNEE [REDACTED]  
 CC: **OCEAN EGYPT AS OWNER** [REDACTED]  
 CC: [REDACTED]

DEAR SIR: RE/ LETTER OF PROTEST. 1

I have to draw your attention to the fact that owing to water damage, Decay, change in quality, mixing filth cargo bring and loaded in holds Of the my vessel.

I request to your not send and bring water damage, decay, changes in Quality, mixing filth cargo and your prevention of pollution for other Cargos.

In the circumstances I hold the shipper Responsible for all the damages cargo caused and all the consequences which may arise therefrom, of which I kindly request you to advise the said all parties concerned.

Ships is not responsible for water damage, decay, change in quality, mixing Filth cargo in this port and discharging port.

YOURS FAITHFULLY,

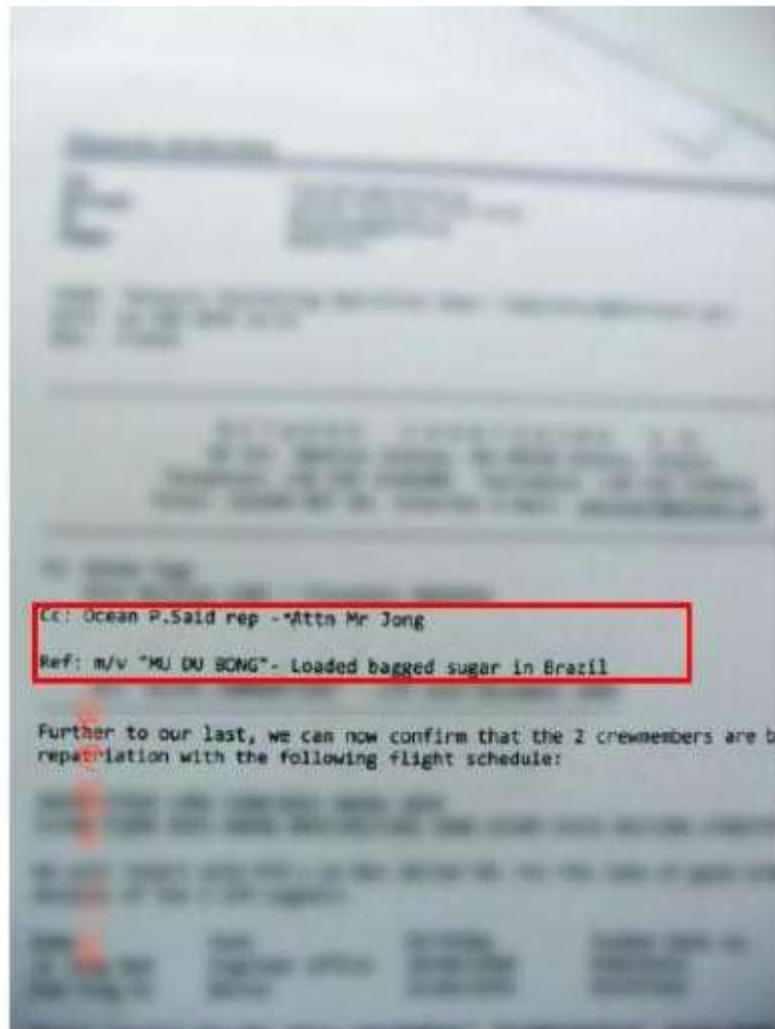
**MASTER OF M/V "MU DU BONG"**

*Received and  
 passed to all  
 concerned parties.*

AGENT *[Signature]* SHIPPER \_\_\_\_\_

Source: The Panel

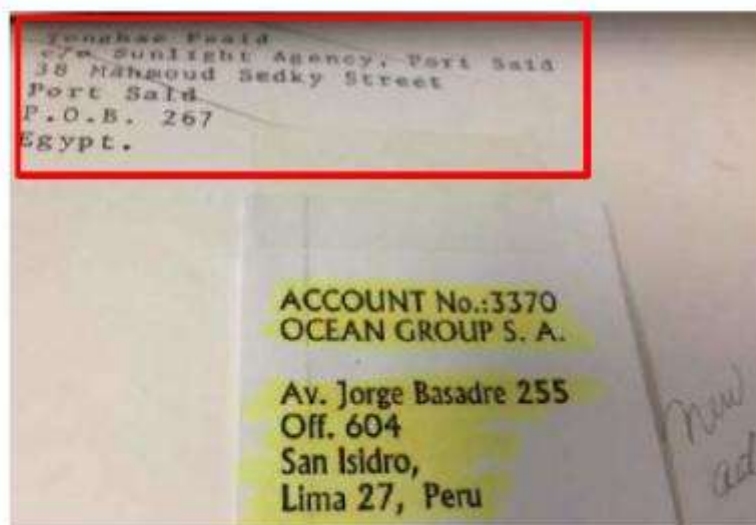
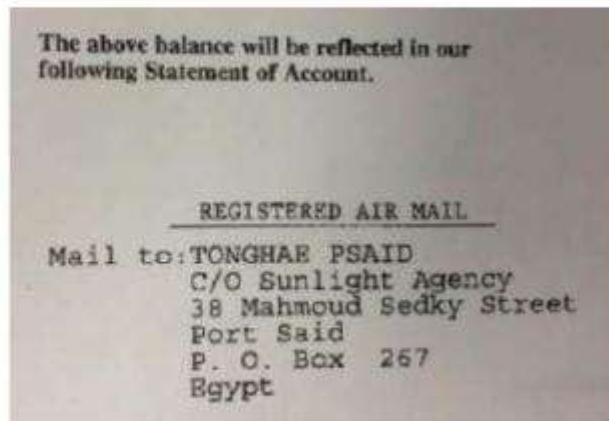
**31.6 An European shipping agent's correspondence of 2010 referring to "Ocean P. Said" and the *Mu Du Bong***



Source: The Panel

Annex 32 – Korea Tonghae in Egypt

32.1 Envelopes showing Tonghae Psaid's address



Source: The Panel

**32.2 Korea Tonghae Shipping Co. envelope addressed to the Democratic People's Republic of Korea' Embassy in Cairo, Egypt**



Source: The Panel

## Annex 33 – Ocean Maritime Management Company's employees

33.1 The *Chong Chon Gang*'s insurance certificate, referring to Mr. Kim Ryong Chol as OMM's contact person

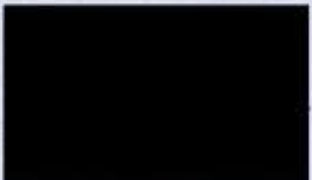
| Part A. THE SHIP                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | Part B. THE COMPANY<br>(Managers/Operators)                                  | Part C. THE OWNERS                                                                                                                                                                                                                                     |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1 Name<br>CHONG CHON GANG                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | 1 Name<br>OCEAN MARITIME MANAGEMENT CO., LTD                                 | 1 Name<br>CHONGCHONGANG SHIPPING CO., LTD                                                                                                                                                                                                              |
| 2 Port of register<br>NAMPHO, D.P.R.KOREA                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | 2 Address<br>TONGHUNGDOONG, CENTRAL DISTRICT, PYONGYANG, D.P.R.KOREA         | 2 Address<br>817, HAEUL, TONGHUNGDOONG, CENTRAL DISTRICT, PYONGYANG, D.P.R.KOREA                                                                                                                                                                       |
| 3 IMO Number<br>7937317                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | 3 Mailing Address<br>TONGHUNGDOONG, CENTRAL DISTRICT, PYONGYANG, D.P.R.KOREA | 3 Mailing Address<br>817, HAEUL, TONGHUNGDOONG, CENTRAL DISTRICT, PYONGYANG, D.P.R.KOREA POB 2011                                                                                                                                                      |
| 4 Call Sign<br>HMZP                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | 4 Contact Person (CPA)<br>YUN CHOL                                           | 4 Contact Person (CPA)<br>KIM RYONG CHOL                                                                                                                                                                                                               |
| 5 Type of ship (in terms and purposes)<br>GENERAL CARGO SHIP                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | 5 Mobile phone<br>850 191 3060135                                            | 5 Mobile phone<br>850 191 2795331                                                                                                                                                                                                                      |
| 6 Gross Tonnage (T)<br>8147                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | 6 E-mail<br>oceanmm@airbank.net.kp                                           | 6 E-mail                                                                                                                                                                                                                                               |
| 7 Oil and fuel Carrying Capacity (MT)<br>1098.2MT                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | 7 Fax<br>850-2-3814410                                                       | 7 Fax<br>850-2-3812100                                                                                                                                                                                                                                 |
| 8 E-mail                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | 8 Phone<br>850-2-18111 EXT 8818                                              | 8 Phone<br>850-2-18333 EXT 98818                                                                                                                                                                                                                       |
| 9 Facsimile<br>Telex 444511810/ 444511411                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                                              |                                                                                                                                                                                                                                                        |
| 10 Mobile phone                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                                              |                                                                                                                                                                                                                                                        |
| <p><b>Part D. PARTICULARS OF INSURANCE</b></p> <p>In addition to the information required herein, a signed statement or certificate is required to be submitted by each insurer or organization providing financial security. The statement or certificate should specify details of the insurance or security by reference to policy numbers, or other identifying particulars. BME personnel may request further information in order to establish the adequacy of the insurance cover, verification of its existence and the capacity of the insurer(s) to provide adequate cover.</p> |                                                                              |                                                                                                                                                                                                                                                        |
| 1 Name of insurer or organization providing financial security (1)<br>KOREA SHIPOWNERS' PROTECTION AND INDEMNITY ASSOCIATION                                                                                                                                                                                                                                                                                                                                                                                                                                                              | 4 Phone<br>850-2-18998 ext 8818                                              | (1) (Name, the name(s) and address (es) of each insurer or organization providing financial security. The address is to be the address of the principal place of business, and if different, the postal address for correspondence must also be shown. |
| 2 Address of insurer or organization providing financial security (1)<br>NO.66, RYUKGYO DONG, RYONGCHOK DISTRICT, PYONGYANG, D.P.R.KOREA                                                                                                                                                                                                                                                                                                                                                                                                                                                  | 5 Fax<br>850-2-3814531                                                       | (2) If the liability for the ship is wholly covered by a P&I Club, the particulars required in section 7 and 8 may be omitted and in their place inserted "As per the attached 'Blue card' certificate".                                               |
| 3 Contact person<br>KIM HAO                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                                              | (3) Indicate whether insurance contract: P&I cover, Bark guarantee etc.                                                                                                                                                                                |
| 5 E-mail<br>hpa@airbank.net.kp                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                                              | (4) The duration of the security must be stated in terms of the time and date of commencement and expiration and must coincide with dates given in the insurer's or guarantor's certificate.                                                           |
| 7 Type and amount of security (2) (3)<br>OIL POLLUTION ONLY<br>USD 6,760,000.00                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                                              |                                                                                                                                                                                                                                                        |
| 8 Duration of the security (4)<br>From: (MM/DD/YY) 02/29/2014                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | To: (MM/DD/YY) 03/29/2015                                                    |                                                                                                                                                                                                                                                        |
| Signature of the Owners<br>(As per Part C of this agreement)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | Signature of the Managers/Operators<br>(As per Part B of this agreement)     |                                                                                                                                                                                                                                                        |

PCSOPEP 02 Rev - 01

1 / 4

|                                             |  |            |
|---------------------------------------------|--|------------|
| This agreement is valid from:<br>(DD/MM/YY) |  | 03/04/2014 |
| Until<br>(DD/MM/YY)                         |  | 03/04/2018 |

Subject to compliance with the requirements of the agreement, and the Panama Canal Oil pollution Emergency Plan (PCSOPEP) requirements

|                                                                                                                                                         |                                                                                                                                                                     |                                                                                    |
|---------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------|
| <br>Signature and stamp of the Owners<br>(As part C of this agreement) | <br>Signature and stamp of the Managers/Operators<br>(As part C of this agreement) |  |
|---------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------|

Source: The Panel

| <p align="center"><b>PANAMA CANAL</b></p> <p align="center"><b>SHIPBOARD OIL POLLUTION EMERGENCY PLAN</b></p> <hr/> <p align="center"><b>APPENDIX A</b></p> <p align="center"><b>VESSEL-SPECIFIC INFORMATION</b></p> <p align="center"><b>«CHONG CHON GANG»</b></p> |                        |                      |         |              |                     |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------|----------------------|---------|--------------|---------------------|
| FLAG:                                                                                                                                                                                                                                                               | KOREA                  | IMO NUMBER:          | 7937317 | CALL SIGN:   | HMZF                |
| VESSEL TYPE:                                                                                                                                                                                                                                                        | GENERAL CARGO          | GROSS TONNAGE:       | 9147    | NET TONNAGE: | 5657                |
| LENGTH:                                                                                                                                                                                                                                                             | ≈ 155.00»              | CARGO OIL:           | --      | DIESEL OIL:  | 208.5m <sup>3</sup> |
| FUEL OIL:                                                                                                                                                                                                                                                           | 836.7m <sup>3</sup>    | OTHER:               | --      | LUBE OIL:    | 51M <sup>3</sup>    |
| TOTAL OIL CAPACITY:                                                                                                                                                                                                                                                 | 1096.20 M <sup>3</sup> | TIER CLASSIFICATION: | TIER I  |              |                     |

• Conversion: 1096.20 x .9442 = 1035.03 **Metric Tons** Total Oil Carrying Capacity.  
 Tier 1 for vessels with an oil carrying capacity of more than 1,000 MT up to 7,000 MT.

Owner CHONGCHONGANG SHIPPING CO., LTD

«Owner»

Operator CHONGCHONGANG SHIPPING CO., LTD

«Operator»

« 817, Haeun, Tonghung-dong, Chung-gu, Pyongyang, North Korea. »

Telephone: «850 -2 -18333 »

Facsimile: «850-2-3812100 »

Primary Contact: «Kim Ryong Chol (DPA)»

Telephone: «850 191 2796331 »

Source: The Panel

**33.2 Other individuals who have worked for Ocean Maritime Management Company identified by the Panel**

**Mr. An Chun Sok**

Description: OMM's Managing Director

Email: [oceanmm@silibank.net.kp](mailto:oceanmm@silibank.net.kp)

**Mr. Cha Son Mo**

Description: OMM's contact person

**Mr. Choe Jin Ha**

Description: OMM overseas representative (location unconfirmed)

**Ms. Choe Myong Suk**

Description: OMM's contact person

**Mr. Choe Tong Hak**

Description: OMM's contact person

**Mr. Chun Gil Kim**

Description: OMM's contact person

Email: [haem@ksc.th.com](mailto:haem@ksc.th.com)

**Mr. Han Jae Sik**

Description: OMM's Deputy Managing Director

Email: [oceanmm@silibank.net.kp](mailto:oceanmm@silibank.net.kp)

**Mr. Han Ki Ung**

Description: OMM's former overseas representative in Vladivostok

**Mr. Han Su Chol**

Description: OMM's former overseas representative in Singapore

**Mr. Ho Yong Bom**

Description: OMM's contact person

Cell: -6622929440

Email: [haem@ksc.th.com](mailto:haem@ksc.th.com)

**Mr. Ho Yong Choe**

Description: OMM's contact person

Cell: -6622929440

Email: [haem@ksc.th.com](mailto:haem@ksc.th.com)

**Mr. Jang Hwa Ryong**

Description: OMM's contact person

**Mr. Jong Kyong Chol**

Description: OMM's contact person

Cell: -6622929440

Email: [haeun@ksc.th.com](mailto:haeun@ksc.th.com)

**Mr. Jong Jae Son**

Description: OMM's former representative in Egypt  
Egypt Mobile: +20 – 182587517

**Mr. Kim Gwang Ho**

Description: OMM's employee affiliated with its finance department  
Email: [oceanmm@silibank.net.kp](mailto:oceanmm@silibank.net.kp)

**Mr. Kim Hak Chol**

Description: OMM's contact person  
Email: [haeun@ksc.th.com](mailto:haeun@ksc.th.com)

**Mr. Kim Jong Ryol**

Description: OMM's contact person

**Mr. Kim Jong Su**

Description: OMM's employee affiliated with its finance department  
Email: [oceanmm@silibank.net.kp](mailto:oceanmm@silibank.net.kp)

**Mr. Kim Kwang Jin**

Description: OMM's person in charge for crewing  
Email: [oceanmm@silibank.net.kp](mailto:oceanmm@silibank.net.kp)

**Mr. Kim Sun Gu**

Description: OMM's former representative in Egypt

**Mr. O Hwan Ryong**

Description: OMM's overseas representative (location unconfirmed)

**Mr. Ri Kwang Myong**

Description: OMM's contact person

**Mr. Ri Sung Il**

Description: OMM's contact person  
Email: [haeun@ksc.th.com](mailto:haeun@ksc.th.com)

**Mr. Thae Yong Rok**

Description: OMM's former overseas representative in Brazil

**Mr. Yun Sok Bom**

Description: OMM's contact person

*Source:* The Panel

**Annex 34 - The Panel's recommendations to the Committee on designations  
(STRICTLY CONFIDENTIAL)\***

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\* The annex has not been reproduced in the present document because it is strictly confidential

**Annex 35 – Millim Technology Company**

A Millim document lists Mr. So Min Chol as top manager.



Source: The Panel

## Annex 36 – Ryonha Machinery Corporation

### 36.1. Examples of Democratic People's Republic of Korea publications showing Huichon Ryonha's premises and machine tools<sup>1</sup>

Figure 1. Ryonha's premises



Source: Rodong Sinmun, 8 May 2012

Figure 2. Huichon Ryonha General Machine Plant's premises

Workers of Huichon Ryonha General Machine Plant Striving to Push Back Frontiers of Science and Technology



Source: Rodong Sinmun, 21 February 2012

Figure 3. Huichon Ryonha's premises and machine tools



Source: Foreign Trade of DPRK, 2011, Vol. 3

<sup>1</sup> Multiple Democratic People's Republic of Korea publications show that Huichon Ryonha's premises are identical to Ryonha's premises, and that Huichon Ryonha's machine tools are identical to Ryonha's products.

Figure 4. Huichon Ryonha's machine tools identical with Ryonha's products



Source: Naenara

Figure 5. Huichon Ryonha machine tool labelled with Ryonha's name in Korean script "런하기계"



Source: Naenara

Figure 6. Huichon Ryonha using Ryonha's name as participant in international exhibition



Source: Naenara

## 36.2. Ryonha's contact information from the Naenara website, as of 4 April 2014

**나에나라 NAENARA**  
Democratic People's Republic of Korea

조선말 - English - Français - Español - Deutsch - Português - 汉语 - 日本語 - العربية

Home  
News | Politics | Economy / Trade | Society / Culture | History / Folk Customs | Korea Is One | Tourism

**Economy & Foreign Trade**

**Join Many-sided Economic Cooperation & Exchanges**

**New Products**

### Vertical Machining Centre "RV-25"

**Specifications**

|                              |                              |
|------------------------------|------------------------------|
| Traverse:                    | X axis 520(20.5) mm(inch)    |
| Y axis:                      | 380(15.0) mm(inch)           |
| Z axis:                      | 480(18.8) mm(inch)           |
| Working surface (LAW):       | 600(23.6)x320(12.6) mm(inch) |
| Max weight of workpiece:     | 300 kg                       |
| Spindle speed:               | 3 000 rpm                    |
| Feed: rapid feed (X/Y/Z):    | 20-20-15 m/min               |
| cutting feed (X/Y/Z):        | 0-5 m/min                    |
| Motor output: spindle motor: | 5.5 kW                       |
| feed motor (X/Y/Z):          | 1/1/1.5 kW                   |
| Floor space:                 | 2 030x1 820(80x72) mm(inch)  |
| Height:                      | 2 477(97.5) mm(inch)         |
| Weight:                      | 4 200 kg                     |



**Ryonha Machinery Corporation**  
Add: Central District, Pyongyang, DPR Korea  
Tel: 850-3-38111-381-2100  
Fax: 850-3-381-4410  
E-mail: ryonha@sbibank.net.kp

조선말

Source: Naenara

## Annex 37 – KORTEC and Koryo Technological Corporation

## 37.1. 2010 online publication regarding Koryo Technological Corporation and KORTEC

**Открытие  
Северной  
Кореи**

**эффективная уникальность  
Koryo Technological Corporation**

После распада Советского Союза в начале 90-х годов в период по ликвидации на ССР в Кореюской Народно-Демократической Республике оставались 80% промышленных предприятий. Переход тяжелого, впрочем, Северная Корея восстановила за счет собственных ресурсов деятельность многих предприятий, оставшихся в результате потери сырья и комплектующих из СССР, и в итоге была создана продукция.

За последние десятилетия корейский народ одержал большой научно-технический рывок вперед, в первую очередь в собственном производстве современных технологий обработки металлов и сплавов, включая промышленную робототехнику, освоив использование атомной энергии, начал самостоятельно осваивать космос, запустил на собственные разработки спутники собственной структуры.

В настоящий момент КНДР, несмотря на свою вынужденную изоляцию, является ярким, передовым примером развития страны с четким капиталистическим курсом на развитие на территории и в первую очередь на российском рынке, до недавнего дня, Северная Корея представляла в основном драгоценные металлы, электронные детали, производимые продукции, аккумуляторы, батареи, электронные компоненты и т.д.

После вступления в КНДР в августе 2011 года в рамках межправительственной комиссии по развитию экономического сотрудничества между двумя странами, было принято решение о создании производственной линии по производству металлов, а также по производству и монтажу роботизированного металлообрабатывающего оборудования и ремонту инструмента из стали Р16, Р6M5KS и твердого сплава в России. С этой целью на территории посольства КНДР в РФ создано предприятие ООО «KORTEC».

ООО «KORTEC» представляет в России интересы крупнейшего государственного корпоративного предприятия Koryo Technological Corporation, в состав которой входят ряд специализированных инструментальных заводов. С момента своего основания и по настоящее время является единственным исполнителем государственных заказов и полностью обеспечивает современными станками и инструментом предприятия агропромышленного, авиационного, оборонного, транспортного, автомобильного, судостроительного и других отраслей страны.

Технологический уровень корпорации поддерживает следующие факты:

- Высокая культура производства




- Собственная высокоскоростная система ЧПУ для металлообработки, фрезерных и токарных обрабатывающих центров;
- Собственная разработка и производство 5-осевых станочных центров с роботизированным процессом загрузки, выгрузки и монтажа заготовок;
- Собственная разработка и производство 13-осевых токарных портальных фрезерных обрабатывающих центров с роботизированной системой загрузки;
- Современная линия по производству высокопрочных легированных сталей и сплавов, а также изделий из них, в том числе с высокой прочностью и равномерной твердостью металла, а также гальванический активный процесс обработки металлов и других элементов металлов;
- Высокое качество выпускаемой продукции позволило предприятию предоставить 2-х летнюю гарантию на все выпускаемое оборудование;

ООО «KORTEC» не только корейский представитель корпорации Koryo Technological Corporation, но специализированный инженерный центр, занимающийся техническими проектами, производственными консультациями, проектированием, конструированием, производством, монтажом, наладкой, обслуживанием, ремонтом, модернизацией, поставкой оборудования и инструмента, а также организацией и осуществлением полного цикла от разработки изделия от чертежа до готового изделия.

Комплексы ООО «KORTEC» сформированы из профессиональных корейских и российских специалистов. В числе компетенций: проектирование, конструирование, программирование, наладка, производство, подготовка, обслуживание, ремонт, модернизация, поставка оборудования и инструмента.

Склад ООО «KORTEC» представлен широким ассортиментом инструментов.





Шероховато-фрезерный обрабатывающий центр  
RV20, RV25, RV30, RV40, RV45 –  
3 координаты с максимальной скоростью 40 м/мин  
RV40 – 30, RV45 – 3 координаты  
Система KORTEC-500M

Токарно-фрезерный обрабатывающий центр: модели FT-135, FT-170, FT-210, FT-330  
Изображены: 10 – с программой инструментальной и геометрической компенсации  
10 – с программой компенсации и автоматической регулировкой скорости  
Система KORTEC-500T

Надписные и непереносные токарные и фрезерные станки

Резиновое ленточное шлифовальное станок FH 650  
и ленточные станки на станках для обработки

**연하기계 (Ryonha Machinery)**

**KORTEC**

**ЗАО «Кортэк»**

142155, Московская область,  
Полотский район,  
поселок Львовский,  
проезд Металлургов, д. 7  
тел./факс: +7 (495) 343-39-03  
info@kortec-spb.ru  
www.kortec-spb.ru

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Source: Металлообработка 2012, published by ITO News in 2012. Available from [www.ito-news.ru/archive/2012/1205kortec.pdf](http://www.ito-news.ru/archive/2012/1205kortec.pdf) accessed on 17 January 2014

United Nations translation

**The opening-up of North Korea: effective uniqueness  
The Koryo Technological Corporation**

After the fall of the Soviet Union at the beginning of the 1990s, and the change to settlement payments in freely convertible currencies, 80% of the Democratic People's Republic of Korea's industries came to a halt. North Korea emerged from a period of great hardship, using its own means to return to operation many industries halted by the loss of raw materials and parts from the Soviet Union, and to find markets for its goods.

In recent decades, Koreans have made a substantial leap forward in science and technology; industries have adopted up-to-date manufacturing methods involving wide use of industrial robotics; nuclear power generation has been introduced; and independent exploitation of outer space has begun with the launch of satellites using locally-made launch vehicles.

The Democratic People's Republic of Korea, despite being visibly closed-off, is a peaceful, technologically developed nation following a clear political path directed towards integration with the world economy. The North Korean export goods so far offered on the Russian market are precious metals, steel alloys, bearings and related items, batteries, electronic components and textiles.

As a result of a meeting in August 2011 between Dmitry A. Medvedev, President of the Russian Federation, and Kim Jong-il, leader of the Democratic People's Republic of Korea, in the context of the intergovernmental commission for the development of economic links between our countries, the decision was taken to supply to Russia goods for industrial use, and, specifically, advanced robotic metalworking equipment and cutting instruments of R18, R6M5K5 and hardened steel. With that aim in mind, the limited liability company Kortec was established under the patronage of the Embassy of the Democratic People's Republic of Korea in the Russian Federation.

Kortec represents in Russia the interests of the DPRK's largest State company, the Koryo Technological Corporation, which includes a number of lathe and instrument manufacturers. It remains the only source of supply for State orders, fulfilling all the needs for modern lathes and instruments emanating from the aerospace industry, defence, vehicle and ship manufacturers and other national industries.

The technical standards achieved by the Koryo Technological Corporation are evident from: its high degree of industrial professionalism; its own high-speed numeric controllers for polishing, milling and turning centres; in-house development and production of five-axis polishing centres with robot-automated loading and unloading and verification of pieces; in-house development and production of twelve-axis heavy-duty portal milling centres, with robot-automated pallet loading; up-to-date casting techniques allowing the production of superior iron and steel castings with stable structures and uniform metal hardness, and carrying a guaranteed one-year natural relaxation cycle for frames and other components of castings; high product quality has enabled the company to provide a two-year guarantee on all of its equipment.

Kortec is not simply a representative of the Koryo Technological Corporation; it is a specialist technical centre performing technical design, industrial consulting, installation and commissioning work and studies, maintenance and guarantee servicing, and providing a full range of customer support, from the design stage to the final-product stage.

Kortec is staffed by professional Korean and Russian engineers. Among its employees are technicians, mechanics, programmers, electronics engineers, designers, fitters, translators, sales consultants and marketing staff. The Kortec warehouse exhibits a wide range of lathes.

### 37.2. The Panel's correspondence with Russia

#### Information provided by Russia to the Panel on 24 July 2014

В Российском едином государственном реестре юридических лиц содержится сведения о 20 компаниях, имеющих название «КОРТЕК» (как продолжающих деятельность, так и к настоящему моменту ликвидированных). Но ни одна из них не зарегистрирована в подольском районе московской области.

С большой долей вероятности можно предположить, что речь идет о ЗАО (а не ООО) «КОРТЕК», которое имеет юридический адрес в г. Москве (ул. Б.Семеновская, д.55, стр.5) и занимается оптовой торговлей машинами и оборудованием (подольский адрес - это адрес учредителя ЗАО «КОРТЕК» - ЗАО Торгово-промышленная компания «Инструментимпекс»).

ЗАО «КОРТЕК» было создано в 2012 г. для реализации на российском рынке металлообрабатывающих станков производства северокорейской компании «Korea Ryonha Machinery Joint Venture Corporation».

Однако в связи с введением СБ ООН в 2013 г. санкций в отношении вышеуказанной северокорейской компании сотрудничество с ней было прекращено.

С учетом вышеизложенного следует целесообразным считать закрыть вопрос потерпавшим, возвратиться к нему ни в дальнейшем не планируя. Подчеркнем, что пример с ЗАО «КОРТЕК» иллюстрирует ответственный подход российской стороны к соблюдению международных санкционных режимов.

Окрышем внимание экспертов на необходимость более тщательного подхода к сбору информации, которую они в дальнейшем используют в своей деятельности.

#### Unofficial translation

According to information received from the Russian Unified State Register of Legal Entities there are 20 companies which are named "KORTEC" (either operating or currently dissolved). None of them were registered in the Podolsk district of the Moscow region.

It is very likely that this refers to the private joint-stock company (but not a limited liability company) "KORTEC" which has a registered office address in Moscow (Bolshaya Semenovskaya Str., 55/5). This company deals with wholesale distribution of machinery and equipment (the address indicated in a booklet provided by the Panel belongs to the "KORTEC's" parent company - private joint-stock company "Instrumentimpex").

"KORTEC" was founded in 2012 to supply metal-working equipment produced by the Democratic People's Republic of Korea company "Korea Ryonha Machinery Joint Venture Corporation" on the Russian market.

As a result of imposition of United Nations Security Council sanctions on the "Korea Ryonha Machinery Joint Venture Corporation" the relationship with this company was terminated in 2013.

Taking into consideration the above the Russian authorities consider the matter closed and do not intend to return to the subject in the future. The "KORTEC" case confirms the commitment of the Russian Federation to compliance with the United Nations Security Council sanctions regimes.

The Russian side brings to the attention of the Panel of Experts the need for meticulous gathering of information which is used in Panel's work.

The Panel's letter of 25 November 2014 to Russia

**United Nations**  **Nations Unies**

HEADQUARTERS - SIEGE NEW YORK, NY 10019  
TEL.: 41 312 981 1001 • FAX: 41 312 986 2013

UNITED NATIONS SECURITY COUNCIL PANEL OF EXPERTS ESTABLISHED  
PURSUANT TO RESOLUTION 1874 (2009)

REFERENCE: S/AC.49/2014/PE/OC.379

YOUR REFERENCE: 25 November 2014

Excellency,

I am writing to you with regard to efforts of the Panel of Experts established by United Nations Security Council resolution 1874 (2009) to gather, examine and analyse information regarding the implementation of the measures imposed on the Democratic People's Republic of Korea (DPRK) by Security Council resolutions [1718 \(2006\)](#), [1874 \(2009\)](#), [2087 \(2013\)](#) and [2094 \(2013\)](#).

The Panel is grateful for the information provided by Russian authorities on 23 July 2014 related to a DPRK entity named Korea Ryonha Machinery Joint Venture Corporation (hereinafter "Ryonha"). Ryonha had previously had a business relationship with a Russia-based company named Korteс (registered office address: Bolshaya Semenovskaya Str. 55/5, Moscow, Russia). The Panel understands that Russian authorities regard the matter as closed.

However, pursuant to its mandate under the relevant Security Council resolutions and its Programme of Work, the Panel continues to investigate Ryonha's relevant assets and the entities and individuals that may have acted on its behalf or at its direction. In this regard, we have obtained the information outlined below and request further assistance from the competent authorities of the Government of the Russian Federation.

His Excellency  
Mr. Vitaly I. Churkin  
Permanent Representative of the Russian Federation  
to the United Nations  
New York

*Kortec*

The information provided by Russian authorities noted that Kortec was founded in 2012 to supply Ryonha-produced metal-working equipment in Russia, but that this relationship was terminated in 2013 as a result of the Security Council's designation of Ryonha on 22 January 2013. The Panel understands that during this period of cooperation, Ryonha used the alias of "Koryo Technological Corporation" (hereafter "Koryo").

However, Kortec appears to have posted advertisements dated 19 July 2013 on their website (<http://kortec.s6-studio.ru/>) for machine tools, at least three of which are very similar to Ryonha's products (see annex 1). The Panel also learned that similar machine tools are still listed on several online commercial websites, with descriptions that refer to Kortec and Koryo (see annex 2).

As such, the Panel is investigating Kortec's continued business dealings with Ryonha in the period after 23 January 2013 until the time the relationship was terminated later in 2013. In this regard, the Panel would be grateful for information relating to:

- The date Kortec terminated its relationship with Ryonha and its affiliates in 2013;
- Any business dealings Kortec had with Ryonha and/or its affiliates after 23 January 2013; and
- Any individuals who worked for Kortec in connection with the company's business dealings with Ryonha and/or its affiliates after 23 January 2013.

*Ryonha*

Further, the Panel would be grateful for information related to:

- The DPRK national(s) and/or entities that have worked for Ryonha related to the entity's dealings with KORTEC; and
- Contact details of and bank accounts used by Ryonha related to the entity's dealings with KORTEC.

The Panel would welcome any other information that your authorities might consider relevant to its work as mandated by the Security Council. The Panel would also like to assure you that any information considered to be confidential would be handled accordingly and used solely for the information of the Security Council and the 1718 Committee.

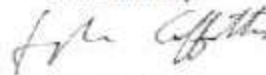
Paragraph 5 of Security Council resolution [2141 \(2014\)](#) urges all States, relevant United Nations bodies and other interested parties to cooperate fully with the Panel of Experts, in particular by supplying any information at their disposal.

As the Panel intends to provide its findings related to OMM in its next final report to the United Nations Security Council, we would be most grateful for any information supplied by [29 December 2014](#) in order to ensure that your reply can be taken into consideration.

Any questions regarding this enquiry should be addressed to Mr. Katsuhisa Furukawa (email: [REDACTED] telephone: [REDACTED]).

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

Yours faithfully,



Hugh Griffiths  
Coordinator of the Panel of Experts established  
pursuant to Security Council Resolution 1874 (2009)

Annexes:

1. Comparison of Kortec's machine tools with Ryonha's products
2. Examples of online advertisements of machine tools referring to Kortec and Koryo

# Annex 1 of the letter

## Annex 1. Comparison of Korte's machine tools with Ryosha's products

### 1. Information on Korte's machine tool labelled RU-50

**KORTEC** +7 495 363-39-03 [Сайт Korte](#) [Почта Korte](#)

Фрезерное оборудование Токарно-фрезерное Станки Импортеры

**Специальное предложение на универсальные токарные станки**  
(в наличии)



Обширный ассортимент универсальных токарных станков Korte RU-50 включает 28% высокопроизводительных универсальных токарных станков, специально разработанных для обработки металлов, алюминия и латуни. Высокая точность, простота настройки и обслуживания делают их идеальным выбором для предприятий, занимающихся производством высококачественных деталей.

Кортец станок токарный RU-50 (1500 мм) вес: 450 кг/шт.  
длина станка: 2700 - 3200 мм.

Кортец станок токарный RU-50 (1500 мм) вес: 700 кг/шт.  
длина станка: 2700 - 3200 мм.

Кортец станок токарный RU-50 (1500 мм) вес: 1500 кг/шт.  
длина станка: 2700 - 3200 мм.

Напишите нам письмо по адресу: [info@korte.ru](mailto:info@korte.ru)

**RU-50**

Source: Korte's website dated 19 July 2013 available at:  
<http://korte.ru/machine/>  
accessed on 25 October 2014.



Photo from Ryosha's pamphlet of machine tool labelled RU-50



### 2. Information on Korte's machine tools labelled RF-30H and RF-30V

**KORTEC** +7 495 363-39-03 [Сайт Korte](#) [Почта Korte](#)

Фрезерное оборудование Токарно-фрезерное Станки Импортеры

**Специальное предложение на универсальные фрезерные станки**  
(в наличии)



Эти станки являются универсальными, способны обрабатывать металлы и сплавы, алюминий и латунь. Высокая точность, простота настройки и обслуживания делают их идеальным выбором для предприятий, занимающихся производством высококачественных деталей.

Кортец станок фрезерный RF-30H вес: 1500 кг/шт.  
длина станка: 2700 - 3200 мм.

Кортец станок фрезерный RF-30V вес: 1500 кг/шт.  
длина станка: 2700 - 3200 мм.

Напишите нам письмо по адресу: [info@korte.ru](mailto:info@korte.ru)

**RF-30H**



#### A. Information on Korte's machine tool labelled RT-210

**KORTE** +7 495 363-39-02 [О компании](#) [Продукция](#)

Богородская обработка Токарная обработка Станки Машин

**Специальное предложение на токарные обрабатывающие центры**  
**серии RT.**

Дается специальное предложение на токарные обрабатывающие центры серии RT со скидкой 25%.

Расчетная цена на станок RT-210 - 2 949 800 руб.  
Цена со скидкой 25% - 2 212 350 руб.

Получить информацию по тел: +7 (495) 363-39-02 или по e-mail: [info@korte.ru](mailto:info@korte.ru)

**RT-210**

Source: Korte website dated 19 July 2013 available at <http://korte.rf-mashin.ru>, accessed on 23 October 2014.





Russia's correspondence of 29 December 2014 to the Panel

Постоянное представительство  
Российской Федерации  
при Организации  
Объединенных Наций

Phone: (212) 861 4900  
Fax: (212) 628 0252



Permanent Mission  
of the Russian Federation  
to the United Nations

136 East 67<sup>th</sup> Street  
New York, NY 10065

№ 5476 /n

New York, 29 December 2014

Dear Mr.Griffiths,

With reference to your letter S/AC.49/2014/PE.OC.379 dated 25 November 2014 I have the honour to inform you of the following.

All necessary information related to interaction between the Russian company "Kortec" and a DPRK entity named "Ryonha" has already been submitted to the Panel. All relevant cooperation was stopped after the inclusion of the above-mentioned North Korean legal person to the UNSC sanctions list. For the Russian side this issue is closed.

One cannot consider as reliable the information found on a certain Internet site. Contact details provided by this web page belong to a company named "The ABC of doors" which is a contact and information center specializing in door sales. We proceed from the understanding that the Panel of experts was in a position to check this data by its own means.

In this regard we emphasize the need for a more accurate and adjusted approach to the preparation of requests to the Member States.

Mr. Hugh Griffiths  
Coordinator  
Panel of Experts established pursuant  
to Security Council resolution 1874 (2009)  
United Nations  
New York

Moreover, we recall that in the first request of the Panel concerning “Kortec” the authors of the letter weren’t able to determine what entity to refer to, among a lot of those with the same name. Besides, it is absolutely unclear why the Panel considers the issue of “Kortec” in the context of the North Korean company “OMM” (second para on the third page of the letter) which has been recently added to the UNSC sanctions list.

Let us remind in this regard that the Russian Federation has given its consent to create a position of the Panel’s Coordinator bearing in mind that this person is responsible for guiding the Panel’s work, including exclusion of unnecessary, unripe and excess requests to Member States.

Sincerely yours,



Petr Iliichev  
Deputy Permanent  
Representative

Source: The Panel

### 37.3. Information regarding KORTEC's business relationships with CNC machine tool manufacturers based in Russia, Spain, and Taiwan Province of China

KORTEC

+7 495 363-39-03

[О компании](#) | [Прайс-листы](#)

Фрезерное оборудование

Токарное оборудование

Сервис

Инжиниринг

**О компании**

Компания KORTEC предлагает токарные и фрезерные обрабатывающие центры под собственной торговой маркой производства крупных высокотехнологичных заводов Тайваня – YIDA Precision Machinery, Lilian и Gentiger, токарных станков Pinacho Испанского производства, а также осуществляет модернизацию оборудования (установку дополнительных поворотных столов (осей) Exact для фрезерных центров), выполняет расчет, подбор и поставку режущего инструмента и оснастки в соответствии с техническим заданием заказчика.

Мы обладаем эксклюзивными правами на продукцию Exact Machinery производства Тайвань на территории России.

Пусконаладочные работы, сервисное обслуживание и консультации операторов по оборудованию осуществляет наш авторизованный центр - ООО «Сервисный Центр «КС» ([www.znaemstanki.ru](http://www.znaemstanki.ru)). Сервисный Центр обладает обширным опытом по работе с китайскими, корейскими и тайваньскими станками.

Поставка станков осуществляется с нашего склада в Москве (г. Зеленоград). Здесь же имеется демонстрационный зал, где наши специалисты могут продемонстрировать работу станков.

Надеемся на долгосрочное и взаимовыгодное сотрудничество.

Source: KORTEC website <http://kortec.s6-studio.ru/about/>

#### United Nations official translation

##### About the company

KORTEC supplies own-brand lathes and turning centres from major Taiwanese precision manufacturers **YIDA Precision Machinery**, **Lilian** and **Gentiger**, as well as Spanish-made **Pinacho** lathes. It also provides equipment upgrades (installing additional **Exact** rotary tables (spindles) for turning centres) and costs, selects and supplies machining instruments and equipment in accordance with customers' specifications.

We have exclusive rights for Taiwanese **Exact Machinery** products in Russia.

Installation and commissioning, servicing and equipment advice for operators are in the hands of our authorized supplier **KS Service Centre** ([www.znaemstanki.ru](http://www.znaemstanki.ru)). The Service Centre has extensive experience of Chinese, Korean and Taiwanese lathes.

Lathes are dispatched from our Zelenograd, Moscow, warehouse. At the same location is a showroom where our specialists can provide demonstrations of the lathes in operation,

We hope to establish a long and mutually beneficial relationship with you.

#### 37.4. Information related to the CNC machine tool manufacturers referred to on KORTEC's website

- **YIDA Precision Machinery Co., Ltd.**  
 Chinese name: 奕达精机股份有限公司  
 Address: No. 41, Alley 68, Lane 357, Sec. 1, Sinan Rd., Wuri Dist., Taichung City, 41465, Taiwan Province of China  
 Phone number: 886-4-23358368  
 Fax number: 886-4-23356681  
 Email address: yida.cnc@msa.hinet.net  
 Website UHL: <http://www.yidacnc.com>
- **LILIAN Machine Industrial Co., Ltd.**  
 Chinese name: 利联机械工业股份有限公司  
 Address: 8 Ta-Tung St., Tu-Cheng Industrial District, Taipei Hsien, Taiwan Province of China  
 Phone number: 886-2-22680303  
 Fax number: 886-2-22681247  
 Email address: sales@lilian.com.tw  
 Website UHL: <http://www.lilian.com.tw>
- **Gentiger Machinery Industrial Co., Ltd.**  
 Chinese name: 新虎将机械工业股份有限公司  
 Address: 台中市外埔区甲后路水头巷 2 - 2 号, Taiwan Province of China  
 Phone number: 886-4-2683-6919  
 Fax number: 886-4-26839900  
 Email address: gentiger@ms38.hinet.net  
 Website UHL: <http://www.gentiger.com.tw/>
- **Exact Machinery Co., Ltd.**  
 Chinese name: 世圣精机股份有限公司  
 Address: No. 418, Shueiyuan Road, Fengyuan District, Taichung City 420, Taiwan Province of China (420 台中市丰原区水源路 418 号)  
 Phone number: 886-4-25158290  
 Fax number: 886-4-25158291  
 Email address: info@exactmachinery.com  
 Website UHL: <http://www.exactmachinery.com/>
- **Pinacho**  
 Address: Metalúrgica Torrent, S.A. Partida la Sierra s/n, 22310 Castejón Del Puente, Spain  
 Phone number: +34 974 401 650 / +34 974 416 930  
 Fax number: +34 974 401 654 / +34 974 417 733  
 Email address: info@metosa-pinacho.com  
 Website UHL: [www.metosa-pinacho.com](http://www.metosa-pinacho.com)

### 37.5. Examples from the KORTEC website of CNC machine tools manufactured by companies based in Taiwan Province of China and Spain

#### YIDA Precision Machinery Co., Ltd.



Source: <http://kortec.s6-studio.ru/catalog/gorizontalnye-obrabatvayushchie-tsentry-s-chpu-skoizheme/bml-6001.html>

#### LILIAN Machine Industrial Co., Ltd.



Source: <http://kortec.s6-studio.ru/catalog/vertikalnye-frezernye-obrabatvayushchie-tsentry-s-chpu/rv-30i.html>

## Gentiger Machinery Industrial Co., Ltd.



Source: <http://kortec.s6-studio.ru/catalog/5-osevye-frezernye-obrabatnyavushchie-tsentry/gt-h2500.html>

## Pinacho



Source: <http://kortec.s6-studio.ru/catalog/universalnye-stanki-s-pryamov-stanimov-povyshennoy-tochnosti-seriya-sc/sc-325.html>

### 37.6. YIDA Precision Machinery Co., Ltd.'s MH-500 CNC machine tool, featured on the KORTEC website

Screen shot from the KORTEC website



Source: <http://kortec-sb-studio.ru/catalog/gorizontalnye-frezernye-obrabatvayushchie-tsentry-s-chpu/mh-500.html>

Screen shot from the YIDA Precision Machinery Co., Ltd. website



Source: [www.yidacnc.com/english/achievements.htm](http://www.yidacnc.com/english/achievements.htm)

### 37.7. Excerpts from a Taiwan Province of China court verdict, dated 15 August 2007

#### United Nations official translation

Judgement No.: 96 (Commercial) 3655

Date of judgement: 15 August 2007

Substance of judgement: breach of trade law

Proceedings were instituted against the above defendants by the public prosecutor on the grounds of their alleged breach of trade law (96 (Investigation)12681) and an application was filed for plea bargain. Following a plea bargaining procedure conducted by the judge assigned by the court, judgement was handed down by Criminal Chamber No. 15 of the court at 5 p.m. on 15 August 2007, in the presence of officials, as set out below. The judge rose to read the disposition, the facts of the offence, the legal provisions establishing the penalty and the record of the proceedings; he announced the limitations and the time for appeal and the court competent to hear appeals and directed the following matters to be set down in the record.

#### I. Disposition

B and A had jointly committed the offence of exporting strategic high-technology items, without authorization, to a controlled area, and were both sentenced to a penalty of six months' fixed term imprisonment, with the option of commutation to a fine equivalent to 100 silver dollars, (or, by conversion into New Taiwanese dollars, NT\$900) per day. Thus, both their sentences were reduced by three months, suspended for two years.

#### II. Facts of the offence

B, resident is effectively in charge of the firm Ching Hwee International Trading Co., Ltd. (hereinafter referred to as "Ching Hwee") located at Building No. 11, 697 ... Rd., Fongyuan City, Taichung County, although the company is registered under the management of his wife, Li Luohong. A is a former employee of Ching Hwee Co., and on 8 November 2004, together with B, he founded the joint venture Sinatek Equipment Corporation, Ltd. (hereinafter referred to as "Sinatek"), with its premises at No. 75, ... St., ... District, Taichung City, with A registered as person-in-charge, but with B and A in fact jointly responsible for the operation of the company.

For the purposes of import and export operations, B was engaged in business cooperation with the Chinese mainland enterprise Shenyang Machinery Import & Export Corp. Ltd. (hereinafter referred to as "Shenyang Machinery") and the North Korean joint venture Ryonha Machinery Corporation and, in December 2005, he and A travelled together to Shenyang city, in Liaoning Province, in mainland China, to discuss the subject of transactions in machinery with Mr. Wang Quan, general manager of Shenyang Machinery. The two parties agreed on the sale to Ching Hwee by Shenyang Machinery of one horizontal machining centre with standard and optional accessories, model No.MH-500.

Following the return of A and B to Taiwan, B, acting in the name of Ching Hwee, contacted a company operating in Taiwan, Leadwell CNC Machining Centre Manufacturers (hereinafter referred to as "Leadwell"), placing an order for one open horizontal machining centre, and after that, in March and April 2006, A was directly contacted by Wang Quan by phone, who informed him that the horizontal machining centre was in fact being purchased by the North Korean joint venture Ryonha Machinery Corporation, and that the equipment should be transported directly to the port of Nampo in the Democratic People's Republic of Korea, which B agreed to do. Upon the delivery of the ordered item by Leadwell, at the end of May 2006, A and B, taking into account Sinatek's track record as an exporter, first had the machining centre resold by Ching Hwee to Sinatek, with the intention of then exporting it under the name of Sinatek. At the same time, B and A were both fully aware that the aforementioned horizontal machining centre fell in the category of equipment whose export was not permitted, pursuant to official trade notice No. 09504602910 of the Ministry of Economic Affairs, of 22 May 2006, barring the export to controlled areas such as North Korea and Iran of controlled strategic high-technology articles. That law came into effect on 1 June 2006. In spite of that, the two persons in question decided to

take their chance, and jointly conspired with the criminal intent of exporting strategic high-technology articles without authorization to a controlled area, and, to ensure the smooth processing of the export operation, on 14 June 2006 B engaged employee(s) of JSC CUSTOMS BROKER CO.,LTD, which was unaware of the true nature of the transaction, to prepare the customs clearance documents stating that Sinatek was exporting the aforementioned horizontal machining centre to Dalian port in mainland China, with Shenyang Machinery as the buyer, which was not true. The documents were submitted to the Taichung customs clearance authorities, who granted export approval, and B then engaged Ever Strong Shipping Limited. (hereinafter referred to as "Ever Strong Shipping"), which was unaware of the nature of the case either, to transport the horizontal machining centre to the port of Nampo in North Korea. On 15 June 2006, the horizontal machining centre was loaded for delivery by the shippers, Ever Strong Shipping, on the North Korean flagged vessel Pong Yue, for which Ever Strong Shipping is the agent, and it was carried on board the Pong Yue from Taichung port directly to the port of Nampo in North Korea and then offloaded. The consignee Ryonha Machinery Corporation was notified to take delivery of the machinery. Subsequently, information picked up by the Taichung office, the Seafarers Investigation Office at the Investigation Bureau of the Ministry of Justice was examined, leading to the uncovering of the offence and the tracking down and apprehension of the perpetrators.

### III. Legal provisions establishing the penalty

Article 1, first paragraph, subparagraph 1, of the Foreign Trade Act.

### IV. Record of the proceedings

Defendant B is required, prior to 10 August 2007, to contribute NT\$ 150,000 to United Way of Taiwan. Defendant A is required, 96 days prior to 10 August 2007, to contribute NT\$ 150,000 to the Boyo Social Welfare Foundation of Nantou County (both obligations have been fulfilled, as evidenced, respectively, by the remittance receipt issued by the Shanghai Commercial and Savings Bank and the receipt of a wire transfer by the E. Sun Commercial Bank, duly verified at the bottom of the attached copy).

### V.

In accordance with the judgement reached following plea bargain, the judgement shall be without appeal except as allowed by the provisions of subparagraph 1 of the first paragraph of article 455-4 of the Code of Criminal Procedure, which establish that, prior to the conclusion of questioning, the defendant may withdraw or the prosecution revoke a plea bargain agreement; or, pursuant to the second paragraph of that article, when the plea bargain has not been made out of the defendant's free will; or pursuant to the fourth paragraph, when the defendant's offence may not be subject to a plea bargain judgement pursuant to the first paragraph of article 455-2; or pursuant to subparagraph 6 of that paragraph, when the defendant faces other counts incurring more severe penalties in consequence of the same offence; or pursuant to subparagraph 7, where the court deems it appropriate to grant exemption from punishment or immunity from prosecution; under any of those circumstances the application will not be accepted and be deemed in breach of the provisions of the second paragraph of article 455-4: "The court shall adjudicate the case within the scope of the plea bargain agreement ... ; the sentence handed down by the court under a plea bargain agreement shall be limited to probation or fixed term imprisonment of up to two years, detention or a fine".

### VI.

In the event that the present judgment is not accepted, and an appeal has been lodged as set out above, a transcript must be provided of the decision within 10 days of the date of service, and a record of the appeal submitted to this court, and the appeal lodged with the court of second instance.

Criminal Chamber No. 15, Taichung Court

## 37.8. Reply from Lilian Machinery Industrial Co., Ltd.



Re: Inquiry from the United Nations  
sales to: furukawa

14/11/2014 05:03

Thank you for your information.

In beginning, last year in TIMTOS 2012.03.05 in Taiwan machine tool exhibition, the man works in KORTEC visited our booth and express that they would like to import our machine for their Russian market. It is no suspected that they sell machine to the company which do business with Democratic People's Republic of Korea ! We do not know why they publish our machines and link our website to their official website. Fanuc Taiwan found and advised us this fact. And so we stop to contact with KORTEC immediately from the time we got the news. And as we know well, the company is bankruptcy now.

By the way, we would like to suggest that you can contact us thru government [REDACTED] for example) or association (TAMI for example) and which will helpful and assist to us in processing.

BEST REGARDS,  
SALES DEPT. OF LILIAN

利聯機械工業股份有限公司  
LILIAN MACHINERY IND. CO., LTD.

Source: The Panel

## Annex 38 – Millim’s activities

### 38.1. Information related to Millim’s Dandong Office (朝鲜密林技术会社丹东代表处)

#### Business registration records



Source: Liaoning Administration of Industry and Commerce's website, <http://lncgs.gov.cn>

#### Chinese script

外商企业设立登记公告 (2012-5-28至2012-6-1)  
 文章发表于: 2012-06-03  
 注册号 210000500009675  
 企业名称 朝鲜密林技术会社丹东代表处  
 法定代表人 升平进  
 地址 丹东市振兴区沿江开发区H区53#  
 成立日期 2012-5-29

#### Informal English translation

Announcement of establishment of foreign enterprises (from 28 May 2012 through 1 June 2012)  
 Article publication date: 3 June 2012  
 Registration number: 210000500009675  
 Company's name: Dandong Representative Office of Korea Millim Technology Corporation  
 Legal representative: Sung Pyong Jin  
 Address: No. 53, Zone H, Yanjiang Development Zone, Dandong City  
 Date of establishment: 29 May 2012



Source: The Panel

### 38.2. Information related to Millim's Beijing Office (朝鲜密林技术会社北京代表处)

#### Business registration records

##### 朝鲜密林技术会社北京代表处

成立日期：2010/9/20  
 法人代表：尹日  
 企业注册号：110000450151180  
 注册地址：北京市朝阳区朝来绿色家园来春园27号底商3-4号  
 企业类型：外国(地区)企业常驻代表机构  
 经营期限：2010-09-20至永久  
 企业状态：开业  
 类型：代表机构  
 经营范围：从事总公司国际贸易方面业务的联络。不得开展经营活动收取费用。  
 登记机关：北京市工商行政管理局  
 年检信息：2012通过



Source: <http://www.qiye265.com/company-detail.php?cid=ADV52FYhKqzLk>, the Panel

| CHINA INDUSTRY & COMMERCE NEWS                                                                                                                                      |           |       |      |             |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|-------|------|-------------|
| 中国工商                                                                                                                                                                |           |       |      |             |
| 国家工商行政管理总局主管                                                                                                                                                        |           |       |      |             |
| Informal English translation<br>Company name: Beijing<br>Representative Office of Korea<br>Millim Technology Corporation<br>Registration number:<br>110000450151180 |           |       |      |             |
| 企业名称                                                                                                                                                                | 编号        | 法定代表人 | 公告类型 | 刊登时间        |
| 阿尔巴尼亚斯帕路库有限公司北京代表处                                                                                                                                                  | B00252636 |       | 变更公告 | 2013年11月19日 |
| 埃及蓝天-尼罗克鲁斯股份公司北京代表处                                                                                                                                                 | B00252637 |       | 变更公告 | 2013年11月19日 |
| 安得拉航空公司北京代表处                                                                                                                                                        | B00252638 |       | 变更公告 | 2013年11月19日 |
| 澳大利亚澳洲航空公司北京办事处                                                                                                                                                     | B00252639 |       | 变更公告 | 2013年11月19日 |
| 波黑博立泰特股份公司北京代表处                                                                                                                                                     | B00252640 |       | 变更公告 | 2013年11月19日 |
| 布鲁克香港有限公司北京代表处                                                                                                                                                      | B00252641 |       | 变更公告 | 2013年11月19日 |
| 朝鲜密林技术会社北京代表处                                                                                                                                                       | B00252642 |       | 变更公告 | 2013年11月19日 |

Source: <ftp://210.51.177.159/2013/11/%B1%B1%BE%A9%CA%D0%B9%A4%C9>

|                  |           |  |      |             |
|------------------|-----------|--|------|-------------|
| 保加利亚美赞得有限公司北京代表处 | B00250671 |  | 变更公告 | 2013年10月17日 |
| 朝鲜密林技术会社北京代表处    | B00250672 |  | 变更公告 | 2013年10月17日 |
| 德国比科特通讯有限公司北京代表处 | B00250673 |  | 变更公告 | 2013年10月17日 |

Source: <ftp://210.51.177.159/2013/10/%B1%B1%BE%A9%CA%D0%B9%A4%C9>

## Annex 39 – Mr. Sung Pyong Jin

Mr. Sung Pyong Jin distributed his business card (below left) at the 2013 Expo.



Source: The Panel



Mr. Sung Pyong Jin

Photo from figure XXIX of S/2014/147

*Informal English translation*

Korea Ryonha Machinery Corporation  
Representative: Sung Pyong Jin  
Address: Room 2301, Unit 1, Building B, Binjiang Middle Road,  
Yanjiang Development Zone, Dandong City  
Cell phone: 13394259622 / 13358785891  
Email: POMA250@HOTMAIL.COM

Mr. Sung Pyong Jin's business card distributed at the 2012 Expo.



Source: The Panel

*English script*

Korea Ryonha Machinery Corp  
Name: Sung Pyong Jin  
Title: Ryonha Machinery Corporation [DPR of] Korea Sales  
Representative  
Address: Room 301, Unit 1, Bldg A, Binjiang Middle Road, Yanjiang Development Zone,  
Dandong City  
Tel: 0415-3141038 /Mobile: 159-415-50345  
Email: sjc-1117@hotmail.com

## Annex 40 – Dandong Yisheng

## 40.1. Information related to Dandong Yisheng and Mr. Li Yi acting as Ryonha sales agents

**丹东易胜商贸有限公司**  
DANDONG YISHENG TRADE CO., LTD.

**李 毅**  
LY YI  
Ryonha Machinery China Sales Agent

地址: 辽宁省丹东市沿江开发带滨江华府A座1单元301室(滨江中路97号)  
Add: Room 301, Unit 1, Bldg A, Binjiang Middle Road, Yanjiang  
Development Zone, Dandong City  
电话(Tel): 0415-3141298 / 3142038 手机(Mobile): 13304157209

**UNSAN SOLID TOOLS**

**蓮河機械公司**  
RYONHA MACHINERY CORP.

**연하기계회사**  
RYONHA MACHINERY CORP.  
蓮河機械公司

조선민주주의인민공화국평양시중구역동안동  
Tongan-dong, Central District, Pyongyang, DPR Korea  
Tel: +850-2-18111  
E-mail: sjc-117@hotmail.com

**연하기계회사**  
RYONHA MACHINERY CORP.  
蓮河機械公司

조선민주주의인민공화국평양시중구역동안동  
Tongan-dong, Central District, Pyongyang, DPR Korea  
Tel: +850-2-18111  
E-mail: sjc-117@hotmail.com

## English translation

Dandong Yisheng Trade Co., Ltd.  
Ryonha Machinery China Sales Agent  
Name: Li Yi  
Address: Room 301, Unit 1, Bldg A, Binjiang  
Middle Road, Yanjiang  
Development Zone, Dandong City  
Tel: 0415- 3141298/ 3142038  
Mobile: 13304157209

Source: The Panel

**40.2. A record of Mr. Li Yi emailing information related to CNC machine tools featuring the KORTEC logo**



The above product appears to be very similar to Ryonha's RV-25.

Source: The Panel

40.3. A sales document provided to a third party by Mr. Li in December 2013 referring to Korea Machinery Trade Co., Ltd. and KORTEC

|  <b>KOREA MACHINERY TRADE CO.,LTD</b><br>inhung-dong, Moranbong district, Pyongyang, D.P.R. of Korea<br>Tel : 850-2-18666-EX : 8399 Fax : 850-2-3814411<br>E-mail: hkk130@hotmail.com Htp://www.korea-machinery.com |                                                                                                                                                                                                                                 |       |            |                             |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|------------|-----------------------------|
| <h1><u>OFFER</u></h1>                                                                                                                                                                                                                                                                                |                                                                                                                                                                                                                                 |       |            |                             |
| Messrs:  2013                                                                                                                                                                                                      |                                                                                                                                                                                                                                 |       |            |                             |
| Dear Sirs,                                                                                                                                                                                                          |                                                                                                                                                                                                                                 |       |            |                             |
| We thank you for your cooperation and would like to confirm herewith the offer in the terms and conditions set as follow :                                                                                                                                                                           |                                                                                                                                                                                                                                 |       |            |                             |
| ITEM                                                                                                                                                                                                                                                                                                 | Product Name                                                                                                                                                                                                                    | Q'TY  | Unit Price | Total Amount                |
| 1                                                                                                                                                                                                                                                                                                    | <b>UNIVERSAL LATHE</b><br><br><b>Model No.: <u>HUICHON-5A/1000</u></b><br><br><b>capacity</b><br>swing Over bed 500 mm<br>swing Over gapped bed 710 mm<br>swing Over carriage 280 mm<br><b>Distance between center</b> 1,000 mm | 1 Set | EUR 5,400  | FOB/KOREA<br>NAMPO<br>5,400 |

| ITEM | PRODUCT NAME                                                                                                                                                                                                                                                                                                                                                                                                       | Q'ty  | Unit Price | Total Amount                     |
|------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|------------|----------------------------------|
| 17   | <b>CNC Ram-Type 5 Axes Machining Center</b><br><br><b>Model No.: RM-50E</b><br><b>with <u>KORTEC</u> 500M CNC control</b><br><br><b>Specifications:</b><br><br><b>Capacity</b><br>-X travel : 600 mm<br>-Y travel : 400 mm<br>-Z travel : 400 mm<br>-B travel : -100 ~ +100°<br>-C travel : 360°<br>-Distance from table top to spindle end: 150~550mm<br>-Distance from column front to spindle center: 250~650mm | 1 SET | EUR 95,000 | FOB/KOREA<br>NAMPO<br>EUR 95,000 |

Source: The Panel

## Annex 41 – Suzhou Hanwei

## 41.1. Screen shot from the Suzhou Hanwei Shendiao CNC Technology Co., Ltd. website

**苏州威汉数控科技有限公司**  
Suzhou Hanwei Shendiao CNC Technology Co., Ltd

全国免费咨询热线: **400-0512-131**  
朝鲜密林技术会社(中国)销售处

**Korea Millim Technology Corporation (China) Sales Office**

产品

|                                                                                                                                                                       |                                                                                                                                                                    |                                                                                                                                       |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------|
| <br>DK7760E线切割<br>DK7763E线切割<br>DK7760E线切割<br>DK7740E线切割<br>DK7732E线切割<br>DK7725E线切割 | <br>32付程中走丝<br>DK7763E中走丝<br>DK7750E中走丝<br>DK7740E中走丝<br>DK7732E中走丝<br>DK7725E中走丝 | <br>D703穿孔机<br>DD703穿孔机<br>DB703穿孔机                |
| <br>火花机<br>EDM550火花机<br>EDM450火花机<br>EDM350火花机<br>EDM300火花机                          | <br>大力铣床<br>52K立式铣床M13-30<br>52K立式铣床M12-30                                        | <br>塔铣床<br>4#塔铣床<br>3#塔铣床                          |
| <br>车床<br>野孔加工机<br>32付程中走丝<br>线切割机配件<br>线切割机度生<br>线切割机度电机<br>中走丝孔化育                  | <br>磨床<br>615普通平面磨床<br>WM1015精密平面磨床<br>WM614S精密平面磨床                               | <br>特种电加工设备<br>电火花加工机<br>电火花式取断丝机<br>电火花去毛刺机       |
| <br>穿孔机配件<br>穿孔机高转速<br>穿孔机伺服<br>穿孔机伺服                                              | <br>线切割机配件<br>线切割机度生<br>线切割机度电机<br>线切割机度电机                                      | <br>加工中心<br>1060立式加工中心<br>850立式加工中心<br>650立式加工中心 |

**Contact details**

全国(长途)免费订购热线  
**400-0512-131**  
苏州威汉数控科技有限公司  
机床销售  
销售经理: 禹凯 先生  
商务电话1: 13338653863  
商务电话2: 18012702222  
公司电话: 0512-69623990  
公司传真: 0512-69209585  
E-mail: szwhsk@126.com  
中国苏州市高新区中峰街188号  
<http://www.whsk-sz.com>  
有事您找我! 664330071  
有事您找我! 664330071

**诚招全国经销商**

Source: <http://www.whsk-sz.com/>

**MILLING MACHINE RF-30**

**RYONHA**

These milling machines are identical to Ryonha's products.

版权所有: 苏州威汉数控科技有限公司版权所有 © 2012-2014 销售经理: 禹凯 先生 电话: 0512-69623990 传真: 0512-69209585 E-mail: szwhsk@126.com  
全国免费咨询热线: 400-0512-131

Source: [www.whsk-sz.com/](http://www.whsk-sz.com/) and Ryonha's pamphlet

41.2. A photograph of milling machines (M12-300 and M13-300) in the Suzhou Hanwei factory that are identical to Ryonha's products (RF-30).



Source: [http://szweihan.1688.com/page/albumdetail\\_146013901\\_1402487787.htm?imageNum=5](http://szweihan.1688.com/page/albumdetail_146013901_1402487787.htm?imageNum=5)



Suzhou Hanwei's website in alibaba.com:  
[http://szweihan.1688.com/page/albumdetail\\_31551952\\_817344398.htm?imageNum=106](http://szweihan.1688.com/page/albumdetail_31551952_817344398.htm?imageNum=106);  
[http://szweihan.1688.com/page/albumdetail\\_31551952\\_817344418.htm?imageNum=104](http://szweihan.1688.com/page/albumdetail_31551952_817344418.htm?imageNum=104)

### 41.3. Additional online information about Suzhou Hanwei



Source: [www.whsk-sz.com/](http://www.whsk-sz.com/)

The description and Millim's advertisement has been removed from Hanwei's website.

#### Description

穿孔机-苏州威汉数控是国内较早研发生产;中走丝,穿孔机,线切割机床,火花机,公司位于电加工基地-苏州,苏州威汉携手朝鲜第一大军工企业朝鲜密林技术会社合作主要代理经销;大力铣床,车床,加工中心

#### Translation

Small Hole Electrical Discharge Machining (EDM)

Suzhou Hanwei Shendiao CNC Technology Co., Ltd. was one of the first enterprises in the country to develop and produce medium-speed wire-cut EDM, small hole EDM, wire-cut EDM and EDM. The company is located in the electrical discharge machining district of Suzhou. In collaboration with Millim Technology Company, the largest military enterprise in the Democratic People's Republic of Korea, Suzhou Hanwei Shendiao CNC Technology Co., Ltd. is mainly engaged in the distribution of powerful milling machines, lathes and machining centres.

#### 41.4. Ryongha and Millim related entities

- Korea Ryonha Machinery Corporation (represented by Sung Pyong Jin)
 

Address: Room 2301, Unit 1, Building B, Binjiang Middle Road,  
Yanjiang Development Zone, Dandong City  
辽宁省丹东市沿江开发区绿江华府B座1单元2301室
- 朝鲜密林技术会社 (English: Korea Millim Technology Corporation)<sup>2</sup>

|                        |                                                                                                  |
|------------------------|--------------------------------------------------------------------------------------------------|
| Company's name:        | 朝鲜密林技术会社丹东代表处 (the Dandong Office of Korea Millim Technology Corporation)                        |
| Registration number:   | 210000500009675                                                                                  |
| Legal representative:  | Sung Pyong Jin                                                                                   |
| Address:               | No. 53, Zone H, Yanjiang Development Zone, Dandong City                                          |
| Date of establishment: | 29 May 2012                                                                                      |
|                        |                                                                                                  |
| Company's name:        | 朝鲜密林技术会社北京代表处 (Beijing Representative Office of Korea Millim Technology Corporation)             |
| Registration number:   | 110000450151180                                                                                  |
| Legal representative:  | 尹日 (Yun Il)                                                                                      |
| Registered address:    | Dishang 3-4, No. 27, Chaolai Green Garden, Chaoyang District, Beijing (北京市朝阳区朝来绿色家园来春园27号底商3-4号) |
| Date of establishment: | 20 September 2010                                                                                |
- Korea Machinery Trade Co., Ltd
  - Information obtained by the Panel indicates that this company's name was used by Li Yi in a document to promote the sale of Ryonha's CNC machine tools, in late 2013.
  - Identifying information:
 

Address: inhung-dong, moranbong district, Pyongyang, DPRK  
Tel : 850-2-18666-EX : 8399  
Fax : 850-2-3814411  
E-mail: hkk150@hotmail.com
- Dandong Yisheng Trade Co., Ltd. (丹东易胜商贸有限公司)
  - Dandong Yisheng Trade Co., Ltd. was listed as a Ryonha's sales agent in China the China-DPRK Trade Expos which were held in Dandong in 2012 and 2013.

Dandong Yisheng Trade Co., Ltd. (丹东易胜商贸有限公司)  
Ryonha Machinery China Sales Agent (莲河机械中方 销售代理 )  
Address: Room 301, Unit 1, Bldg A, Binjiang Middle Road, Yanjiang

<sup>2</sup> This company's official English name is not known as yet. "Korea Millim Technology Corporation" is the supposed English translation of "朝密林技会社".

Development Zone, Dandong City (辽宁省丹东市振兴区沿江开发  
区绿江华府 A 座 1 单元 301 室)

Tel: 0415-3141298 / 3142038      Mobile: 13304157209

Name: Li Yi (李毅)

- Suzhou Hanwei Shendiao CNC Technology Co., Ltd. (苏州威汉数控科技有限公司)

Company registration number: 320512000108973

Date of establishment: 16 November 2009

Legal representative: Mr. Yu Kai [TBC] (销售经理: 禹凯 先生)

Address: No. 158, XX Street [TBC], Gaoxin District, Suzhou City,

China (中国苏州市高新区中峰街 158 号)

Mobile: 13338653863 / 18012702222

Tel: 0512-66623990

Fax: 0512-69209585

E-mail: szwhsk@126.com

15-00593 (C)

Source: The Panel

Source: The Panel

The same product is also labelled as Huichon-5A.

UNIVERSAL LATHE

HUICHON - 5A



Machine Specification

| Item                           | Unit   | HUICHON - 5A           |
|--------------------------------|--------|------------------------|
| <b>CAPACITY</b>                |        |                        |
| Swing over bed                 | mm     | 500                    |
| Swing over tapered bed         | mm     | 710                    |
| Swing over carriage            | mm     | 280                    |
| Distance between centres       | mm     | 1000/1000/2000         |
| Width of guideway              | mm     | 450                    |
| <b>SPINDLE</b>                 |        |                        |
| Spindle nose                   |        | A2-B                   |
| Spindle bore                   | mm     | 71                     |
| Taper of spindle hole          | mm     | Metric 60              |
| Range of speed                 | rpm    | 14-1800                |
| Number                         | stage  | 22                     |
| <b>FEEDRATE</b>                |        |                        |
| Number                         | stage  | 48                     |
| Cranks                         | mm/min | 0.015/2.8              |
| Range - longitudinal           | mm/min | 0.03/5.2               |
| <b>RAPID SPEED</b>             |        |                        |
| Longitudinal                   | mm/min | 3.2                    |
| Cross                          | mm/min | 1.6                    |
| <b>THREADS</b>                 |        |                        |
| Range of metric pitches        | mm     | 0.5 - 36               |
| Range of whips pitches         | in"    | 72 - 78                |
| Range of module pitches        | mm     | 0.5 - 18               |
| Range of diameter pitches      | DIP    | 72 - 134               |
| <b>TOOL POST</b>               |        |                        |
| Size of tool post              | mm     | 160x160                |
| Spindle height for square tool | mm     | 26x25                  |
| <b>TAILSTOCK</b>               |        |                        |
| Diameter of tailstock quill    | mm     | 85                     |
| Travel of tailstock quill      | mm     | 225                    |
| Taper of tailstock quill       |        | Metric No. 8           |
| <b>MAIN MOTOR</b>              |        |                        |
| Power                          | Kw     | 7.5                    |
| Max speed(50/60Hz)             | rpm    | 1500/1800              |
| <b>COOLANT MOTOR</b>           |        |                        |
| Power                          | Kw     | 0.12                   |
| Max speed(50/60Hz)             | rpm    | 3000/2000              |
| <b>FEED MOTOR</b>              |        |                        |
| Power                          | Kw     | 0.55                   |
| Max speed(50/60Hz)             | rpm    | 1500/1800              |
| <b>MISCELLANEOUS</b>           |        |                        |
| Overall dimensions (L x W x H) | mm     | 2885x385x448(511)x1425 |
| Gross weight                   | kg     | 2750/2940(3370)        |

STANDARD ACCESSORIES

1. 3-jaw chuck (10")

2. Soft jaw(3-jaw chuck)

3. Hard jaw(3-jaw chuck)

4. Center

5. Centering sleeve

6. Chasing gear

7. Toolkits

8. Work lamp

OPTIONAL ACCESSORIES

1. 4-jaw chuck

2. Soft jaw(4-jaw chuck)

3. Hard jaw(4-jaw chuck)

4. Slotted rest

5. Live center

AGENT:

Source: The Panel

15-00593 (C)

259/310

Source: The Panel

15-00593 (C)

The same product is also labelled as M12-300 and M13-300.

### Machine Specification

| Item                                                     | Unit   | F11-250           | M12-300           | M13-300           |
|----------------------------------------------------------|--------|-------------------|-------------------|-------------------|
| <b>TABLE</b>                                             |        |                   |                   |                   |
| Working surface                                          |        |                   |                   |                   |
| Table (Number x Width x pitch)                           | (mm)   | 205x120<br>3°x4°5 | 300x120<br>3°x4°5 | 300x120<br>3°x4°5 |
| <b>CAPACITY</b>                                          |        |                   |                   |                   |
| Table longitudinal travel (Manual/Auto)                  | mm     | 380/275           | 380/275           | 380/275           |
| Table cross travel (Manual/Auto)                         | mm     | 81/600            | 81/600            | 81/600            |
| Table vertical travel (Manual/Auto)                      | mm     | 350/340           | 416/400           | 416/400           |
| Max. swing angle of headstock                            | °      | 48°               | 48°               | 48°               |
| Distance from spindle center to table surface            | mm     | 230               | -                 | 119               |
| Distance from spindle nose to table surface              | mm     | -                 | 40-450            | -                 |
| Distance from spindle nose to error bracket              | mm     | -                 | 300               | -                 |
| <b>SPINDLE</b>                                           |        |                   |                   |                   |
| The number of speed                                      |        | 12                | 12                | 12                |
| Range of speed                                           | rpm    | 45-2000           | 45-2000           | 45-2000           |
| <b>FEEDRATE</b>                                          |        |                   |                   |                   |
| The number of speed                                      |        | 13                | 13                | 13                |
| Cross longitudinal                                       | mm/min | 14-900            | 14-900            | 14-900            |
| Vertical                                                 | mm/min | 4-200             | 4-200             | 4-200             |
| <b>RAPID SPEED</b>                                       |        |                   |                   |                   |
| Cross longitudinal                                       | mm/min | 2800              | 2800              | 2800              |
| Vertical                                                 | mm/min | 800               | 800               | 800               |
| <b>MAIN MOTOR</b>                                        |        |                   |                   |                   |
| Power of motor (kW)                                      | kW     | 4                 | 4                 | 4                 |
| Motor speed (rpm)                                        | rpm    | 1440/1740         | 1440/1740         | 1440/1740         |
| <b>FEED MOTOR</b>                                        |        |                   |                   |                   |
| Power (kW)                                               | kW     | 1.1               | 1.1               | 1.1               |
| Motor speed (rpm)                                        | rpm    | 1410/1650         | 1410/1650         | 1410/1650         |
| <b>COOLANT MOTOR</b>                                     |        |                   |                   |                   |
| Power (kW)                                               | kW     | 0.12              | 0.12              | 0.12              |
| Motor speed (rpm)                                        | rpm    | 3000/3000         | 3000/3000         | 3000/3000         |
| <b>MISCELLANEOUS</b>                                     |        |                   |                   |                   |
| Overall dimensions (L x W x H)                           | mm     | 1120x1140x1310    | 1120x1180x1280    | 1180x1180x1215    |
| Gross weight                                             | kg     | 1945              | 1925              | 1804              |
| Weight of packing with standard and optional accessories | kg     | 2000              | 2035              | 2013              |

**STANDARD ACCESSORIES FOR F11-250, M12-300, M13-300**

1. Arfors (2 types)
2. Work lamp
3. Coolant pump
4. Tool kit

**OPTIONAL ACCESSORIES FOR F11-250, M12-300, M13-300**

1. Vertical head
2. Universal dividing unit
3. Manual rotary table
4. Vise
5. Arbor
6. Collar chuck

AGENT:

Source: The Panel

High precision CNC lathes labelled TC-170, 210 and 350

# Machine Specification

| Item                                | Unit   | TC-170         | TC-210         | TC-350         |
|-------------------------------------|--------|----------------|----------------|----------------|
| <b>CAPACITY</b>                     |        |                |                |                |
| Max. swing                          | mm     | 450            | 400            | 520            |
| Max. turning diameter               | mm     | 170            | 210            | 350            |
| Max. turning length                 | mm     | 400            | 400            | 600            |
| Bar capacity                        | mm     | 41             | 45             | 51             |
| <b>SPINDLE</b>                      |        |                |                |                |
| Max. spindle speed                  | rpm    | 5500           | 4,500          | 3500           |
| Chuck size                          | mm     | 6              | 6              | 8              |
| Spindle nose                        | mm     | A2-5           | A2-5           | A2-6           |
| Spindle motor                       | kw     | 7.5            | 11             | 15             |
| <b>TURRET</b>                       |        |                |                |                |
| Number of tool stations             |        | 8              | 12             | 12             |
| Stroke height for square tool       | mm     | 20x20          | 20x30          | 25x25          |
| <b>TRAVEL</b>                       |        |                |                |                |
| X axis                              | mm     | 100            | 105            | 210            |
| Z axis                              | mm     | 405            | 460            | 650            |
| <b>FEDRATE</b>                      |        |                |                |                |
| Feed rate (mm/min)                  | mm/min | 30, 24         | 20, 24         | 20, 24         |
| <b>TAILSTOCK</b>                    |        |                |                |                |
| Clamp force (kg)                    | mm     | 25             | 25             | 25             |
| Travel of tailstock quill           | mm     | 25             | 25             | 300            |
| Tool of tailstock quill             | mm     | MT4            | MT4            | MT4            |
| <b>ACTOR</b>                        |        |                |                |                |
| 1 axis motor                        | kw     | 1              | 1              | 2              |
| 2 axis motor                        | kw     | 1              | 1              | 3              |
| Coil and pump                       | mm     | 65/0.36        | 65/0.36        | 65/0.36        |
| Lubrication system (power/capacity) | VA     | 200/2          | 100/2          | 100/2          |
| <b>MISCELLANEOUS</b>                |        |                |                |                |
| Gross weight                        | kg     | 3,093          | 3,190          | 4,794          |
| Overall dimensions (L x W x H)      | mm     | 2800x1620x1940 | 2800x1620x1940 | 2900x1810x2112 |
| Power requirement                   | kVA    | 15             | 25             | 25             |
| Controller                          |        |                |                |                |

## STANDARD ACCESSORIES

1. Jaw chuck
2. Soft jaw test
3. Hard jaw test
4. Hydraulic unit
5. Cooling unit
6. Tailstock

## OPTIONAL ACCESSORIES

1. Collet chuck
2. Bar feeder
3. Chip conveyor
4. Automatic door
5. 10" chuck
6. Controller
7. Alarm

AGENT:

KORTEC

HIGH PRECISION  
CNC LATHE

TC series

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <h3>High RIGIDITY, HIGH EFFICIENCY, HIGH ACCURACY, AND GOOD STABILITY</h3>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | <h3>HIGH PRECISION CNC LATHE</h3>  <p>The heavy duty tailstock with large diameter quill and precision #4 Morse taper provides outstanding rigidity. Quill adjustment is hydraulic. Heavy duty thermally symmetrical headstock design has best dissipation fine to minimize thermal distortion during long machining cycles. Longitudinal and transversal guideway adopts high precision ball guideway couples so as to improve the responding speed and life of the machine. The precision ball screw is pretension treated to minimize thermal strain.</p>                                                                                                                                                                                                                                                                                                |
| <h3>Product Introduction</h3> <p>TC series CNC lathe is designed to meet requirement for turning shafts and cylindrical workpieces. The machine controlled by advanced CNC system has the function of turning straight line, curve line, arc, straight and taper multi-tooth screws. Adopting anti-bed makes easily operation and adjusting arc it is easy to convey chips. Servo motor and spindle motor ensure wide range of power regulation. Automatic lubrication system and chip conveyor are equipped with the machine. In addition manual tools setter, bar feeder, workpiece catcher and other equipment being available as you like.</p>  | <h3>CNC SYSTEM</h3>  <ul style="list-style-type: none"> <li>- Digital AC servo system</li> <li>- Linear interpolation</li> <li>- Arc interpolation</li> <li>- Manual room and rotate function</li> <li>- Auto-acceleration/deceleration function</li> <li>- Main program call from subroutine</li> <li>- Single block running</li> <li>- Metric/inch switchover</li> <li>- Absolute/incremental programming</li> <li>- User macro program and variable programming</li> <li>- Tool length/Radius compensation</li> <li>- Workpiece coordinates</li> <li>- Polar coordinates programming</li> <li>- Graphic display function</li> <li>- History alarm and operation display</li> <li>- Rapid tapping function</li> <li>- Jog/Auto return reference point</li> <li>- USB interface</li> <li>- RS-232 communication</li> <li>- Ethernet interface</li> </ul> |

Source: The Panel

CNC lathes labelled TC-560 series



**CNC LATHE**

**TC560 series**





**Machine Specification**

| Item                           | Unit  | TC560                     |
|--------------------------------|-------|---------------------------|
| <b>CAPACITY</b>                |       |                           |
| Max. swing                     | mm    | 560                       |
| Max. turning diameter          | mm    | 300                       |
| Max. turning length            | mm    | 1,000 1,500 2,000         |
| <b>SPINDLE</b>                 |       |                           |
| Speed range                    | rpm   | 25-270; 11.7-70; 215-2700 |
| Chuck size                     | inch  | 10                        |
| Spindle nose                   |       | A2-8                      |
| Taper of spindle hole          |       | Metric 60                 |
| <b>TURRET</b>                  |       |                           |
| Number of tool stations        |       | 8                         |
| Stroke height for square tool  | mm    | 25 ± 25                   |
| Tool change time               | sec   | 3.5                       |
| <b>TRAVEL</b>                  |       |                           |
| X axis                         | mm    | 310                       |
| Z axis                         | mm    | 1,040 1,540 2,040         |
| <b>FEEDRATE</b>                |       |                           |
| X/Z axis traverse              | m/min | 4.5                       |
| <b>TAILSTOCK</b>               |       |                           |
| Diameter of tailstock quill    | mm    | 80                        |
| Travel of tailstock quill      | mm    | 100                       |
| Taper of tailstock quill       |       | MT 5                      |
| <b>MOTOR</b>                   |       |                           |
| Main motor                     | Kw    | 7.5                       |
| X axis motor                   | Kw    | 1.5                       |
| Z axis motor                   | Kw    | 1.5 1.5 2.0               |
| Coilvent pump                  | Kw    | 0.12                      |
| Lubrication                    | Kw    | 0.12                      |
| <b>MISCELLANEOUS</b>           |       |                           |
| Gross weight                   | Kg    | 2600                      |
| Overall dimensions (L x W x H) | mm    | 3200x1600x2050            |
| Controller                     |       |                           |

| STANDARD ACCESSORIES | OPTIONAL ACCESSORIES     |
|----------------------|--------------------------|
| 1. 3 jaw chuck       | 1. Colllet chuck         |
| 2. Soft jaw 1set     | 2. Bar feeder            |
| 3. Hard jaw 1set     | 3. Automatic door        |
| 4. Cooling system    | 4. Hydraulic chuck       |
| 5. Tailstock         | 5. Hydraulic tailstock   |
| 6. Tool kits         | 6. Steady rest           |
|                      | 7. 4 jaw chuck           |
|                      | 8. Soft jaw(4-jaw chuck) |
|                      | 9. Hard jaw(4-jaw chuck) |
|                      | 10. Alarm                |
|                      | 11. Foot switch          |

AGENT:

Source: The Panel

264/310

15-00593 (C)

Source: The Panel

35

## HIGH RIGIDITY, HIGH EFFICIENCY, HIGH ACCURACY, AND GOOD STABILITY

### Products Introduction

RV series vertical machining center is integral of mechanism, electronics and hydraulic and pneumatic. Compact machine layout can get smaller floor space and convenient installation and maintenance. The worktable is cross movement. The single column construction is equipped with high speed spindle and chip cleaning functions. Totally enclosure protections increase working safety and decrease environment pollution. The main imported outsourcing parts make the machine high reliability and high endurance. RV series vertical machining center is mainly used in automobile, mould and instrument fields. The machines are widely used for high precision, multiprocess parts.






Source: The Panel

The same vertical machining centers are also labelled VMC-25, 30, and 40.



VMC series



Machine Specification

| Item                                          | Unit   | VMC-25             | VMC-30             | VMC-40             |
|-----------------------------------------------|--------|--------------------|--------------------|--------------------|
| <b>CAPACITY:</b>                              |        |                    |                    |                    |
| X axis travel                                 | mm     | 600                | 600                | 1000               |
| Y axis travel                                 | mm     | 400                | 500                | 600                |
| Z axis travel                                 | mm     | 400                | 500                | 600                |
| Clearance from spindle nose to table top      | mm     | 150-500            | 130-740            | 130-740            |
| Clearance from spindle center to column front | mm     | 300                | 600                | 640                |
| <b>TABLE</b>                                  |        |                    |                    |                    |
| Table area(L x W)                             | mm     | 600 x 400          | 900 x 400          | 1,200 x 960        |
| Max. load capacity                            | Kg     | 300                | 400                | 600                |
| T-slot pitch at T table (width x pitch)       |        | 16 x 3 x 0.5       | 16 x 3 x 1.0       | 16 x 3 x 1.0       |
| <b>SPINDLE</b>                                |        |                    |                    |                    |
| Max. spindle speed                            | rpm    | 6,000              | 8,000              | 8,000              |
| Spindle rpm                                   | rpm    | 40                 | 40                 | 40                 |
| <b>FEEDRATE</b>                               |        |                    |                    |                    |
| X/Y/Z Rapid traverse                          | mm/min | 19/19/15           | 20/20/20           | 20/20/20           |
| X/Y/Z cutting traverse                        | mm/min | 565                | 565                | 565                |
| <b>ATC</b>                                    |        |                    |                    |                    |
| Tool storage capacity                         | pcs    | 12                 | 16                 | 26                 |
| Tool change time                              | sec    | 7                  | 7                  | 7                  |
| Max. tool diameter                            | mm     | 50                 | 50                 | 50                 |
| Max. tool length                              | mm     | 200                | 200                | 200                |
| <b>MOTOR</b>                                  |        |                    |                    |                    |
| Spindle motor                                 | Kw     | 1.5                | 7.5                | 11                 |
| Feed motor (X/Y/Z)                            | Kw     | 1/102              | 1/91.52            | 202/3              |
| Coolant pump                                  | Kw     | 0.75               | 0.75               | 0.75               |
| Lubrication system (power capacity)           | WAL    | 0.002              | 0.002              | 0.002              |
| <b>MISCELLANEOUS</b>                          |        |                    |                    |                    |
| Overall dimensions (L x W x H)                | mm     | 2000 x 2160 x 2360 | 2250 x 2300 x 2440 | 2710 x 2590 x 2370 |
| Mass weight                                   | Kg     | 3800               | 4500               | 6000               |
| Power requirement                             | kVA    | 15                 | 20                 | 25                 |
| Color/size                                    |        |                    |                    |                    |

STANDARD ACCESSORIES

OPTIONAL ACCESSORIES

1. Coolant system

2. Automatic lubricator

3. Transformer

4. Umbrella type ATC

5. Heat exchanger

6. Tool kills

7. RS-232 communication

8. Work lamp

1. 2024 mm type ATC

2. Automatic door

3. Alarm

4. 10000rpm spindle

AGENT:

Source: The Panel

15-00593 (C)

267/310

### HIGH RIGIDITY, HIGH EFFICIENCY, HIGH ACCURACY, AND GOOD STABILITY




### MAIN FEATURES OF VERTICAL MACHINING CENTER VMC 25, 30, 40

- The spindle adopts precision angular contact ball bearings to guarantee high accuracy, high rigidity.
- The broach with 4 jaws has characters of large, contacted faces, great tool clamping force, low wear of tool shank head and long life.
- Umbrella type tool magazine makes tool exchange easy and reliable. The worktable adopts cast iron with high strength.
- Through relieving interior stress, the worktable can get enough rigidity and stability.
- The worktable also has great load capacity by optimal design reasonable ribs layout.
- The guideways are protected by telescopic covers to reduce slide surfaces wear, guarantee persistent stable accuracy, avoid guideway injury by hot chips.

### Product Introduction

VMC series vertical machining center is integral with mechanism, electronics and hydraulic and pneumatic. Compact machine layout can get smaller floor space and convenient installation and maintenance.

The worktable is cross movement. The single column construction is equipped with high speed spindle and chip cleaning functions. Totally enclosure protection increase working safety and decrease environment pollution. The main imported outsourcing parts make the machine high reliability and high endurance. VMC series vertical machining center is mainly used in automobile, mould and instrument fields. The machines are widely used for high precision, multiprocess parts.



### CNC SYSTEM



- Digital AC servo system
- Linear interpolation 3 axes
- Arc interpolation
- Mirror, scale zoom and rotate function
- Auto-acceleration/deceleration function
- Main program call from subprogram
- Single block running
- Metric/inch switchover
- Absolute/incremental programming
- User macro program and variable programming

- Tool length/radius compensation
- Workpiece coordinates
- Polar coordinates programming
- Graphic display function
- History alarm and operation display
- Rapid tapping function
- Jog/Auto return reference point
- USB interface
- RS-232 communication
- Ethernet interface

Source: Panel of Experts

## Annex 43 – Green Pine Associated Corporation's Beijing Office

### 43.1. Official registration and online information

**全国企业信用信息公示系统（北京）**

朝鲜青松联合会社北京代表处

统一社会信用代码: 911101060012069

名称: 朝鲜青松联合会社北京代表处

类型: 分公司

成立日期: 2003年02月13日

经营范围: 有关进出口、投资咨询服务及商务联络。不得开展经营活动收取费用。

登记机关: 北京市工商行政管理局

经营状态: 吊销企业

投资人信息:

| 投资人类型 | 投资人  | 证件类型 | 证件号码 |
|-------|------|------|------|
| 变更新增  | 变更新增 | 变更新增 | 变更新增 |

Status: Revoked company.

版权所有: 北京市工商行政管理局 技术支持电话: 010-82591768  
地址: 北京市通州区苏州街30号 邮编: 100000

Source: Beijing Enterprise Credit Information Centre. Available from <http://qyxy.baic.gov.cn/>

### An example of online commercial registry records for Green Pine's Beijing Representative Office

The representatives of "Beijing Representative Office of Korea Green Pine Associated Corporation (朝鲜青松联合会社北京代表处)" (registration number 0012069) included an individual named Mr. Park (or Pak) Won Il (or Won Ill) (in Chinese: 朴元日) and Mr. Choe Kwang Hyok (in Chinese: 崔光赫).

|          |                                  |
|----------|----------------------------------|
| 公司名称:    | 朝鲜青松联合会社北京代表处                    |
| 公司经营模式:  |                                  |
| 主营行业:    | 其他类未包括的行业                        |
| 主营产品/服务: | 有关进出口、投资市场调查及业务联络 (不得开展经营活动收取费用) |
| 公司地址:    | 北京市朝阳区工体西路甲7号天和大厦701室            |
| 联系电话:    | 85612229                         |
| 公司传真:    |                                  |
| 手机:      |                                  |
| 联系人:     | 崔光赫                              |

Source:  
[http://qiye.youboy.com/beijing/i/qiye606945\\_30119.html](http://qiye.youboy.com/beijing/i/qiye606945_30119.html)

### Informal English translation

朝鲜青松联合会社北京代表处  
(Beijing Representative Office of Korea Green Pine Associated Corporation)  
联系人 (Representative): 崔光赫 经理 \*  
手机 (Telephone): 85612229  
地址 (Address): 北京市朝阳区工体西路甲7号天和大厦701室 \*

*\*This entity's representative and address are different from those provided in the Chinese official registration record. This address and telephone number are no longer used by Green Pine's Beijing Office.*

### 43.2. Online commercial listing for the Beijing Representative Offices of Korea Unha Water Trading Co., Ltd. and H.K. King Helong Int'l Trading Limited

#### Beijing Representative Office of Korea Unha Water Trading Co., Ltd. (in Chinese: 朝鲜银河水贸易会社北京代表处)

##### 朝鲜银河水贸易会社北京代表处注册信息详细介绍

公司名称: 朝鲜银河水贸易会社北京代表处; 公司注册号: 110000400192280; 公司法人代表: 崔光赫; 公司注册资质: ; 公司营业期限: 2008-09-04 00:00:00 至 2018-04-08 00:00:00; 公司类型: 代表机构; 经营范围: 从事计算机、计算机零部件、电子产品、通讯设备及通讯器材进出口业务联络。(不得开展经营活动收取费用); 成立日期: 2008-04-09 00:00:00; 公司类别: 外国(地区)企业常驻代表机构; 公司地址: 北京市朝阳区朝阳路十里堡甲3号A座25C室; 年检结果: 需下载。

#### Beijing Representative Office of H.K. King Helong Int'l Trading Limited (in Chinese: 香港金海龙国际贸易有限公司北京代表处)

##### 香港金海龙国际贸易有限公司北京代表处注册信息详细介绍

公司名称: 香港金海龙国际贸易有限公司北京代表处; 公司注册号: 0015217; 公司法人代表: 崔光赫; 公司注册资质: ; 公司营业期限: 2006-09-13 00:00:00 至 2016-01-10 00:00:00; 公司类型: 代表机构; 经营范围: 有关投资、贸易、商品、进出口业务的联络工作。(不得开展经营活动收取费用); 成立日期: 2006-01-11 00:00:00; 公司类别: 外国(地区)企业常驻代表机构; 公司地址: 北京市朝阳区日子路29号327室; 年检结果: 需下载。

Source: Online commercial website [www.gs80.com/show2/2/12/128535.shtml](http://www.gs80.com/show2/2/12/128535.shtml); accessed on 20 February 2014

## 43.3. H.K. King Helong Int'l Trading Limited company registry extracts

|                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                                                                                          |                                                                                                                                                                                                                                                                                             |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>CR</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                  | <b>周年申報表</b><br><b>Annual Return</b><br><small>(公司條例第 107(1)條)</small><br><small>(Companies Ordinance s. 107(1))</small> | 存案 F11<br>表格<br>Form <b>AR1</b>                                                                                                                                                                                                                                                             |
| 公司註冊處<br>Companies Registry                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                                                                          |                                                                                                                                                                                                                                                                                             |
| <b>重要事項 Important Notes</b><br>• 填表前請參閱《填表須知》。<br>• Please read the accompanying notes before completing this form.<br>• 請用黑色墨水列印。<br>• Please print in black ink.                                                                                                                                                                                                                                                                                         |                                                                                                                          |                                                                                                                                                                                                                                                                                             |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                                                                                          | 公司編號 Company Number<br><div style="border: 1px solid black; padding: 2px; display: inline-block;">1015437</div>                                                                                                                                                                             |
| <b>1 公司名稱 Company Name</b><br><div style="border: 1px solid black; padding: 5px; text-align: center;">           香港金海龍國際貿易有限公司<br/>           H.K. KING HELONG INT'L TRADING LIMITED         </div>                                                                                                                                                                                                                                                        |                                                                                                                          |                                                                                                                                                                                                                                                                                             |
| <b>2 商業名稱 Business Name</b><br><div style="border: 1px solid black; height: 20px;"></div>                                                                                                                                                                                                                                                                                                                                                                  |                                                                                                                          |                                                                                                                                                                                                                                                                                             |
| <b>3 公司類別 Type of Company</b><br><small>請在有關空格內加✓號。 Please tick the relevant box.</small><br><div style="display: flex; justify-content: space-between;"> <div> <input checked="" type="checkbox"/> 有股本的私人公司<br/> <small>Private Company having a share capital</small> </div> <div> <input type="checkbox"/> 其他<br/> <small>Others</small> </div> </div>                                                                                                  |                                                                                                                          |                                                                                                                                                                                                                                                                                             |
| <b>4 本申報表日期 Date of this Return</b><br>本申報表列載公司截至右列日期為止的資料<br>The information in this Return is made up to                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                          |                                                                                                                                                                                                                                                                                             |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                                                                                          | <div style="display: flex; justify-content: space-around;"> <div style="border: 1px solid black; padding: 2px;">22</div> <div style="border: 1px solid black; padding: 2px;">12</div> <div style="border: 1px solid black; padding: 2px;">2007</div> </div> <small>日 DD 月 MM 年 YYYY</small> |
| <b>A. 個人董事 Individual Director</b><br><small>(如附表格內有個人董事，請繼續填 C 項。 Use Continuation Sheet C if more than 2 individual directors)</small>                                                                                                                                                                                                                                                                                                                   |                                                                                                                          |                                                                                                                                                                                                                                                                                             |
| <b>1 身份 Capacity</b><br><div style="display: flex; align-items: center;"> <input checked="" type="checkbox"/> 董事<br/> <small>Director</small> <input type="checkbox"/> 候補董事<br/> <small>Alternate Director</small> <div style="margin-left: 20px;">           代替 Alternate to<br/> <div style="border: 1px solid black; padding: 5px; text-align: center;">N/A</div> </div> </div>                                                                         |                                                                                                                          |                                                                                                                                                                                                                                                                                             |
| <b>中文姓名 Name in Chinese</b><br><div style="border: 1px solid black; padding: 5px; text-align: center;">(Nil)</div>                                                                                                                                                                                                                                                                                                                                         |                                                                                                                          |                                                                                                                                                                                                                                                                                             |
| <b>英文姓名 Name in English</b><br><div style="display: flex; justify-content: space-between;"> <div style="border: 1px solid black; padding: 5px; text-align: center;">Choe</div> <div style="border: 1px solid black; padding: 5px; text-align: center;">Kwang Hyok</div> </div> <small>姓氏 Surname 名字 Other Names</small>                                                                                                                                    |                                                                                                                          |                                                                                                                                                                                                                                                                                             |
| <b>前用姓名 Previous Names</b><br><div style="border: 1px solid black; padding: 5px; text-align: center;">(Nil)</div>                                                                                                                                                                                                                                                                                                                                          |                                                                                                                          |                                                                                                                                                                                                                                                                                             |
| <b>別名 Alias</b><br><div style="border: 1px solid black; padding: 5px; text-align: center;">(Nil)</div>                                                                                                                                                                                                                                                                                                                                                     |                                                                                                                          |                                                                                                                                                                                                                                                                                             |
| <b>住址 Residential Address</b><br><div style="display: flex; justify-content: space-between;"> <div style="border: 1px solid black; padding: 5px; flex-grow: 1;">           Room 2308, No. 4 East District Int'l Mansion, Jia 19<br/>           Ciyunsi, Chaoyang District, Beijing, China         </div> <div style="border: 1px solid black; padding: 5px; text-align: center; width: 15%;">           China<br/> <small>國家 Country</small> </div> </div> |                                                                                                                          |                                                                                                                                                                                                                                                                                             |
| <b>電郵地址 E-mail Address</b><br><div style="border: 1px solid black; padding: 5px; text-align: center;">(Nil)</div>                                                                                                                                                                                                                                                                                                                                          |                                                                                                                          |                                                                                                                                                                                                                                                                                             |
| <b>身份證明 Identification</b>                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                          |                                                                                                                                                                                                                                                                                             |
| <b>a 香港身份證號碼 Hong Kong Identity Card Number</b><br><div style="border: 1px solid black; padding: 5px; text-align: center;">(Nil)</div>                                                                                                                                                                                                                                                                                                                     |                                                                                                                          |                                                                                                                                                                                                                                                                                             |
| <b>b 海外護照 Overseas Passport</b><br><div style="display: flex; justify-content: space-between;"> <div style="border: 1px solid black; padding: 5px; text-align: center;">Korea</div> <div style="border: 1px solid black; padding: 5px; text-align: center;">645420473</div> </div> <small>簽發國家 Issuing Country 號碼 Number</small>                                                                                                                           |                                                                                                                          |                                                                                                                                                                                                                                                                                             |

Source: ICRIS website. Available from [www.icris.cr.gov.hk/csci/](http://www.icris.cr.gov.hk/csci/)

H.K. King Helong Intl Trading Limited registered inactive in Hong Kong on 30 December 2011

|                                                                                                                                                                                                                                                                                             |           |            |                  |        |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|------------|------------------|--------|
|  <div style="float: right; text-align: right;"> <b>網上查冊中心</b> <br/> <b>ICRIS</b><br/> <b>Cyber Search Centre</b> </div> |           |            |                  |        |
| Search ▼                                                                                                                                                                                                                                                                                    | Product ▼ | Shopping ▼ | About e-Search ▼ | Logout |

Welcome! **System Clock:** 01-JAN-2015 05:12:42 GMT +0800





**Company Particulars Search**

Your Search: CR No.: = 1015437

|                        |                                                        |
|------------------------|--------------------------------------------------------|
| CR No.:                | 1015437                                                |
| Company Name:          | H.K. KING HELONG INTL TRADING LIMITED<br>香港金海龍國際貿易有限公司 |
| Company Type:          | Private company limited by shares                      |
| Date of Incorporation: | 22-DEC-2005                                            |
| Active Status:         | Dissolved                                              |
| Remarks:               | Dissolved by Striking Off                              |
| Winding Up Mode:       | -                                                      |
| Date of Dissolution:   | 30-DEC-2011                                            |
| Register of Charges:   | Unavailable                                            |

Source: ICRIS website. Available from [www.icris.cr.gov.hk/csci/](http://www.icris.cr.gov.hk/csci/)

## Annex 44 – Leader (Hong Kong) International

### 44.1. A screen shot of the ICRIS website showing the active status of Leader (Hong Kong) International, as at 25 December 2014



The screenshot shows the ICRIS Cyber Search Centre website. At the top, there is a banner with the text '網上查冊中心 ICRIS Cyber Search Centre' and a logo. Below the banner is a navigation bar with links: Search, Product, Shopping, About e-Search, and Logout. A welcome message and system clock are displayed. The main content area shows the results of a company name search for 'leader (hong kong) international', with CR No. 1177053. The search results are displayed in a table format, showing details such as Company Name, Company Type, Date of Incorporation, Active Status, Remarks, Winding Up Mode, Date of Dissolution, Register of Charges, and Important Note. Below the search results is a section titled 'Name History' which shows the effective date and name used for the company.

**Company Name Search**

Your Search: LEFT PARTIAL match with 'leader (hong kong) international' , CR No.: = 1177053

|                        |                                                                    |
|------------------------|--------------------------------------------------------------------|
| CR No.:                | 1177053                                                            |
| Company Name:          | LEADER (HONG KONG) INTERNATIONAL TRADING LIMITED<br>億達(香港)國際貿易有限公司 |
| Company Type:          | Private company limited by shares                                  |
| Date of Incorporation: | 18-OCT-2007                                                        |
| Active Status:         | Live                                                               |
| Remarks:               | -                                                                  |
| Winding Up Mode:       | -                                                                  |
| Date of Dissolution:   | -                                                                  |
| Register of Charges:   | Unavailable                                                        |
| Important Note:        | -                                                                  |

**Name History**

| Effective Date | Name Used                                                          |
|----------------|--------------------------------------------------------------------|
| 18-OCT-2007    | LEADER (HONG KONG) INTERNATIONAL TRADING LIMITED<br>億達(香港)國際貿易有限公司 |

Source: ICRIS website. Available from [www.icris.cr.gov.hk/csci/](http://www.icris.cr.gov.hk/csci/)

**44.2. Extracts from Leader (Hong Kong) International's annual return dated 18 October 2012, which lists Mr. Cai Guang as this company's director and share capital member**

|                                                                                                                                                                                                                                                                                                                                                                                                       |                                                                                              |                                                                                                                                                                                                                                                       |                       |    |    |      |      |      |        |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|----|----|------|------|------|--------|
| <br><b>公司註冊處</b><br><b>Companies Registry</b>                                                                                                                                                                                                                                                                        | <b>周年申報表</b><br><b>Annual Return</b><br>(《公司條例》第 107(1)條)<br>(Companies Ordinance s. 107(1)) | <div style="border: 1px solid black; padding: 2px; display: inline-block;">存案 Filed</div>                                                                                                                                                             | 表格<br><b>Form AR1</b> |    |    |      |      |      |        |
| <b>重要事項 Important Notes</b>                                                                                                                                                                                                                                                                                                                                                                           |                                                                                              |                                                                                                                                                                                                                                                       |                       |    |    |      |      |      |        |
| ● 填表前請參閱《填表須知》。<br>請用黑色墨水列印。<br>● Please read the accompanying notes before completing this form.<br>Please print in black ink.                                                                                                                                                                                                                                                                       |                                                                                              | 公司編號 <b>Company Number</b><br><div style="border: 1px solid black; padding: 2px; display: inline-block;">1177053</div>                                                                                                                                |                       |    |    |      |      |      |        |
| <b>1 公司名稱 Company Name</b><br><div style="border: 1px solid black; padding: 5px; text-align: center;"> <b>LEADER (HONG KONG) INTERNATIONAL TRADING LIMITED</b><br/>         億達(香港)國際貿易有限公司       </div>                                                                                                                                                                                               |                                                                                              |                                                                                                                                                                                                                                                       |                       |    |    |      |      |      |        |
| <b>2 商業名稱 Business Name</b><br><div style="border: 1px solid black; padding: 5px; text-align: center;">NIL</div>                                                                                                                                                                                                                                                                                      |                                                                                              |                                                                                                                                                                                                                                                       |                       |    |    |      |      |      |        |
| <b>3 公司類別 Type of Company</b><br>請在適用的空格內加上 ✓ 號 Please tick the relevant box                                                                                                                                                                                                                                                                                                                          |                                                                                              |                                                                                                                                                                                                                                                       |                       |    |    |      |      |      |        |
| <input checked="" type="checkbox"/> 有股本的私人公司 Private company having a share capital <span style="margin-left: 100px;"><input type="checkbox"/> 其他 Others</span>                                                                                                                                                                                                                                       |                                                                                              |                                                                                                                                                                                                                                                       |                       |    |    |      |      |      |        |
| <b>4 本申報表日期 Date of this Return</b><br>本申報表列載公司截至右列日期為止的資料<br>The information in this return is made up to                                                                                                                                                                                                                                                                                            |                                                                                              |                                                                                                                                                                                                                                                       |                       |    |    |      |      |      |        |
| <table border="1" style="display: inline-table; border-collapse: collapse;"> <tr> <td style="padding: 2px 10px;">18</td> <td style="padding: 2px 10px;">10</td> <td style="padding: 2px 10px;">2012</td> </tr> <tr> <td style="font-size: 8px;">日 DD</td> <td style="font-size: 8px;">月 MM</td> <td style="font-size: 8px;">年 YYYY</td> </tr> </table>                                                |                                                                                              |                                                                                                                                                                                                                                                       |                       | 18 | 10 | 2012 | 日 DD | 月 MM | 年 YYYY |
| 18                                                                                                                                                                                                                                                                                                                                                                                                    | 10                                                                                           | 2012                                                                                                                                                                                                                                                  |                       |    |    |      |      |      |        |
| 日 DD                                                                                                                                                                                                                                                                                                                                                                                                  | 月 MM                                                                                         | 年 YYYY                                                                                                                                                                                                                                                |                       |    |    |      |      |      |        |
| (如屬有股本的私人公司，本申報表應列載截至公司成立為法團的周年日期的資料。如屬其他公司，所列載的資料則應截至公司周年大會日期或以代替周年大會的書面決議的日期為止。<br>For a private company having a share capital, the information in this return should be made up to the anniversary of the date of incorporation. For other companies, the information should be made up to the date of the annual general meeting (AGM) or the date of written resolution passed in lieu of AGM.) |                                                                                              |                                                                                                                                                                                                                                                       |                       |    |    |      |      |      |        |
| <b>5 註冊辦事處地址 Address of Registered Office</b><br><div style="border: 1px solid black; padding: 5px;">         LM873, Room B, 14/F., Wah Hen Commercial Centre, 383 Hennessy Road, Wanchai, Hong Kong       </div>                                                                                                                                                                                     |                                                                                              |                                                                                                                                                                                                                                                       |                       |    |    |      |      |      |        |
| <b>6 電郵地址 E-mail Address</b><br><div style="border: 1px solid black; padding: 5px; text-align: center;">NIL</div>                                                                                                                                                                                                                                                                                     |                                                                                              |                                                                                                                                                                                                                                                       |                       |    |    |      |      |      |        |
| <b>提交人的資料 Presenter's Reference</b><br>姓名 Name: GLOBAL-FORTUNE IRAP LIMITED<br>地址 Address: Room B, 14/F., Wah Hen Commercial Centre, 383 Hennessy Road, Wanchai, Hong Kong<br>電話 Tel: 2552 6328      傳真 Fax: 3747 3632<br>電郵地址 E-mail Address:<br>檔號 Reference:<br>附刊編號 2/2008 (修訂) (2008 年 7 月)<br>Specification No. 2/2008 (Revision) (July 2008)                                                   |                                                                                              | <b>請勿填寫本欄 For Official Use</b><br><div style="text-align: center;"> <br/>         22200815030<br/>         AR1L<br/>         09/01/2013      1177053       </div> |                       |    |    |      |      |      |        |

Source: ICRIS website. Available from [www.icris.cr.gov.hk/csci/](http://www.icris.cr.gov.hk/csci/)

|                                                                                                                                                                                                                                                           |          |                                                                                                                 |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|-----------------------------------------------------------------------------------------------------------------|
| 表格<br>Form                                                                                                                                                                                                                                                | AR1      | 公司編號 Company Number<br><div style="border: 1px solid black; padding: 5px; display: inline-block;">1177053</div> |
| <b>10 有股本公司的成員詳情 Details of Member(s) of a Company Having a Share Capital</b><br><small>(有股本的公司必須填報此項。如未能盡錄於下列表格內，請用續頁 A 填報。 Company having a share capital must complete this section. Use Continuation Sheet A if there is insufficient space.)</small> |          |                                                                                                                 |
| 截至本申報表日期的成員詳情 Details of Member(s) as at the Date of this Return                                                                                                                                                                                          |          |                                                                                                                 |
| 股份類別 Class of Shares                                                                                                                                                                                                                                      | Ordinary |                                                                                                                 |

| 姓名／名稱<br>Name | 地址<br>Address                                                                          | 股份 Shares                |                      |            | 備註<br>Remarks |
|---------------|----------------------------------------------------------------------------------------|--------------------------|----------------------|------------|---------------|
|               |                                                                                        | 現時持有量<br>Current Holding | 轉讓*<br>Transferred * |            |               |
|               |                                                                                        |                          | 數目<br>Number         | 日期<br>Date |               |
| 蔡光 Cai Guang  | LM873, Room B, 14/F., Wah Hen Commercial Centre, 383 Hennessy Road, Wanchai, Hong Kong | 10,000                   |                      |            |               |
| 總數<br>Total   |                                                                                        | 10,000                   |                      |            |               |

\* 如公司的股份自上一份周年申報表日期以來(如屬首份周年申報表，則自公司成立為法團以來)有任何轉讓，有關詳情亦請一併申報；股份受讓人的姓名／名稱請在「備註」一欄註明。  
 \* If there have been any transfers of the company's shares since the date of the last annual return (or since incorporation if this is the first annual return), please also provide details of the transfers; the name of the transferee should be stated in the 'Remarks' column.

指明編號 2/2008 (修訂) (2008年7月)  
 Specification No. 2/2008 (Revision) (July 2008)

第三頁 Page 3

Source: ICRIS website. Available from [www.icris.cr.gov.hk/csci/](http://www.icris.cr.gov.hk/csci/)

|                                                                                                                                        |                                                                                                                                                                  |                                                                                                                   |
|----------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------|
| 表格<br>Form                                                                                                                             | AR1                                                                                                                                                              | 公司編號 Company Number<br><div style="border: 1px solid black; padding: 5px; display: inline-block;">1177053</div>   |
| <b>12 董事 Directors</b>                                                                                                                 |                                                                                                                                                                  |                                                                                                                   |
| <b>A. 個人董事 Individual Director</b><br><small>(如超過一名個人董事，請用續頁 C 填報 Use Continuation Sheet C if more than 1 individual director)</small> |                                                                                                                                                                  |                                                                                                                   |
| <small>請在適用的空格內加上 ✓ 號 Please tick the relevant box(es)</small>                                                                         |                                                                                                                                                                  |                                                                                                                   |
| 身份<br>Capacity                                                                                                                         | <input checked="" type="checkbox"/> 董事<br>Director                                                                                                               | <input type="checkbox"/> 候補董事<br>Alternate Director                                                               |
|                                                                                                                                        |                                                                                                                                                                  | 代替 Alternate to<br><div style="border: 1px solid black; height: 40px; width: 100%;"></div>                        |
| 中文姓名<br>Name in Chinese                                                                                                                | <div style="border: 1px solid black; padding: 5px;">蔡光</div>                                                                                                     |                                                                                                                   |
| 英文姓名<br>Name in English                                                                                                                | <div style="border: 1px solid black; padding: 5px; text-align: center;">Cai</div> <small>姓氏 Surname</small>                                                      | <div style="border: 1px solid black; padding: 5px; text-align: center;">Guang</div> <small>名字 Other Names</small> |
| 前用姓名<br>Previous Names                                                                                                                 | <div style="border: 1px solid black; padding: 5px; text-align: center;">NIL</div>                                                                                |                                                                                                                   |
| 別名<br>Alias                                                                                                                            | <div style="border: 1px solid black; padding: 5px; text-align: center;">NIL</div>                                                                                |                                                                                                                   |
| 住址<br>Residential Address                                                                                                              | <div style="border: 1px solid black; padding: 5px;">         LM873, Room B, 14/F., Wah Hen Commercial Centre, 383 Hennessy Road, Wanchai, Hong Kong       </div> |                                                                                                                   |
|                                                                                                                                        | <div style="border: 1px solid black; padding: 5px; text-align: center;">Hong Kong</div> <small>國家 Country</small>                                                |                                                                                                                   |
| 電郵地址<br>E-mail Address                                                                                                                 | <div style="border: 1px solid black; padding: 5px; text-align: center;">NIL</div>                                                                                |                                                                                                                   |
| <b>身份證明 Identification</b>                                                                                                             |                                                                                                                                                                  |                                                                                                                   |
| a 香港身份證號碼<br>Hong Kong Identity Card Number                                                                                            | China ID no.: 220104197201271530<br><div style="border: 1px solid black; padding: 5px; text-align: center;">NIL</div>                                            |                                                                                                                   |
| b 護照<br>Passport                                                                                                                       | <div style="border: 1px solid black; padding: 5px; text-align: center;">NIL</div> <small>簽發國家 Issuing Country</small>                                            | <div style="border: 1px solid black; padding: 5px; text-align: center;">NIL</div> <small>號碼 Number</small>        |
| <small>指明編號 2/2008 (修訂) (2008 年 7 月)<br/>Specification No. 2/2008 (Revision) (July 2008)</small>                                       |                                                                                                                                                                  | 第五頁 Page 5<br>                                                                                                    |

Source: ICRIS website. Available from [www.icris.cr.gov.hk/csci/](http://www.icris.cr.gov.hk/csci/)

## Annex 45 – Winning International Consulting Group Co., Limited

## 45.1. Extracts from Leader (Hong Kong) International's company registration documents notifying of Winning International Consulting Group Co., Limited's resignation as Corporate Secretary/Director, dated 14 January 2013

Winning International's director is listed as a United States national, Mr. Moses Wang (passport number 1303515), with a residential address of 4322 E Valley Blvd D, Los Angeles, CA 90032, USA (annex 35). However, the Los Angeles County Office of the Assessor reports that no such address exists.

|                                                                                                                                                                                                                                                   |  |                                                                                                                                                     |                                                                                                                                                                                                                            |                                         |  |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|-----------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|--|
|                                                                                                                                                                  |  | <b>秘書及董事辭職通知書</b><br><b>Notification of Resignation of Secretary and Director</b><br>(公司條例第 157D(2)條訂書)<br>(Companies Ordinance s. 157D(2) Proviso) |                                                                                                                                                                                                                            | 表格<br><b>Form D4</b>                    |  |
| 公司註冊處<br>Companies Registry                                                                                                                                                                                                                       |  |                                                                                                                                                     |                                                                                                                                                                                                                            |                                         |  |
| <b>重要事項 / Important Notes</b>                                                                                                                                                                                                                     |  |                                                                                                                                                     |                                                                                                                                                                                                                            |                                         |  |
| • 填表前請參閱《填表須知》。<br>• Please read the accompanying notes before completing this form.                                                                                                                                                              |  |                                                                                                                                                     |                                                                                                                                                                                                                            |                                         |  |
|                                                                                                                                                                                                                                                   |  |                                                                                                                                                     |                                                                                                                                                                                                                            | 公司編號 Company Number<br>1177053          |  |
| <b>1 公司名稱 Company Name</b><br>LEADER (HONG KONG) INTERNATIONAL TRADING LIMITED<br>億達(香港)國際貿易有限公司                                                                                                                                                  |  |                                                                                                                                                     |                                                                                                                                                                                                                            |                                         |  |
| <b>2 辭職秘書／董事的資料 Particulars of the Resigning Secretary/Director</b><br>請在有關表格內加✓號。 Please tick the relevant box(es).                                                                                                                              |  |                                                                                                                                                     |                                                                                                                                                                                                                            |                                         |  |
| 身份<br>Capacity                                                                                                                                                                                                                                    |  | <input checked="" type="checkbox"/> 秘書<br>Secretary                                                                                                 |                                                                                                                                                                                                                            | <input type="checkbox"/> 董事<br>Director |  |
|                                                                                                                                                                                                                                                   |  | <input type="checkbox"/> 候補董事<br>Alternate Director                                                                                                 |                                                                                                                                                                                                                            | 代替 Alternate to<br>N/A                  |  |
| <b>個人秘書／董事的姓名 Name of Individual Secretary/Director</b>                                                                                                                                                                                           |  |                                                                                                                                                     |                                                                                                                                                                                                                            |                                         |  |
| N/A                                                                                                                                                                                                                                               |  | N/A                                                                                                                                                 |                                                                                                                                                                                                                            | N/A                                     |  |
| 中文姓名 Name in Chinese                                                                                                                                                                                                                              |  | 英文姓氏 Surname in English                                                                                                                             |                                                                                                                                                                                                                            | 英文名字 Other Names in English             |  |
| 身份證明<br>Identification                                                                                                                                                                                                                            |  | N/A                                                                                                                                                 |                                                                                                                                                                                                                            | N/A                                     |  |
|                                                                                                                                                                                                                                                   |  | 香港身份證號碼 HK Identity Card Number                                                                                                                     |                                                                                                                                                                                                                            | 海外護照號碼 Overseas Passport Number         |  |
| 或 OR<br>法人團體秘書／董事的中文及英文名稱<br>Chinese and English Names of Corporate Secretary/Director                                                                                                                                                            |  |                                                                                                                                                     |                                                                                                                                                                                                                            |                                         |  |
| Winning International Consulting Group Co., Limited                                                                                                                                                                                               |  |                                                                                                                                                     |                                                                                                                                                                                                                            |                                         |  |
| 辭職日期<br>Date of Resignation                                                                                                                                                                                                                       |  | 14 01 2013<br>日 DD 月 MM 年 YYYY                                                                                                                      |                                                                                                                                                                                                                            |                                         |  |
| 請說明上述離任董事／候補董事在離任日期後，是否繼續擔任公司的<br>候補董事／董事職位<br>Please indicate whether the Director/Alternate Director ceasing to act will<br>continue to hold office as Alternate Director/Director in the Company after<br>the date of cessation                |  |                                                                                                                                                     |                                                                                                                                                                                                                            |                                         |  |
| <input type="checkbox"/> 是 Yes<br><input type="checkbox"/> 否 No                                                                                                                                                                                   |  |                                                                                                                                                     |                                                                                                                                                                                                                            |                                         |  |
| <b>提交人的資料 Presenter's Reference</b>                                                                                                                                                                                                               |  |                                                                                                                                                     | <b>請勿填寫本欄 For Official Use</b>                                                                                                                                                                                             |                                         |  |
| 姓名 Name: Winning International Consulting Group Co., Limited<br>地址 Address: Room 1701, 17/F., Henan Building,<br>No. 90 Jaffe Road, Wanchai, Hong Kong<br>電話 Tel: 3115-8800 Ext. 28827 傳真 Fax: 3115-8801<br>電郵地址 E-mail Address:<br>檔號 Reference: |  |                                                                                                                                                     | <br><br>23100777489<br>D4<br>14/01/2013 1177053 0031 |                                         |  |
| 附帶編號 2/2004 (修訂) (2004 年 2 月)<br>Specification No. 2/2004 (Revision) (Feb. 2004)                                                                                                                                                                  |  |                                                                                                                                                     |                                                                                                                                                                                                                            |                                         |  |

Source: ICRIS website. Available from [www.icris.cr.gov.hk/csci/](http://www.icris.cr.gov.hk/csci/)

## 45.2. Extracts from Winning International Consulting Group Co., Limited's annual return dated 13 August 2012

|                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                              |                                                                                                                                                                                                                                                                                                           |    |    |      |      |      |        |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----|----|------|------|------|--------|
| <br><b>公司註冊處</b><br>Companies Registry                                                                                                                                                                                                                                                                                                          | <b>周年申報表</b><br><b>Annual Return</b><br>(《公司條例》第 107(1)條)<br>(Companies Ordinance s. 107(1)) | 表格<br><b>Form AR1</b>                                                                                                                                                                                                                                                                                     |    |    |      |      |      |        |
| <b>重要事項 Important Notes</b>                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                                              |                                                                                                                                                                                                                                                                                                           |    |    |      |      |      |        |
| <ul style="list-style-type: none"> <li>● 填表前請參閱《填表須知》。</li> <li>● Please read the accompanying notes before completing this form.</li> </ul>                                                                                                                                                                                                                                                                                     |                                                                                              | <b>公司編號 Company Number</b><br><div style="border: 1px solid black; padding: 2px; text-align: center;">1362335</div>                                                                                                                                                                                       |    |    |      |      |      |        |
| <b>1 公司名稱 Company Name</b><br><div style="border: 1px solid black; padding: 5px; text-align: center;">Winning International Consulting Group Co., Limited</div>                                                                                                                                                                                                                                                                  |                                                                                              |                                                                                                                                                                                                                                                                                                           |    |    |      |      |      |        |
| <b>2 商業名稱 Business Name</b><br><div style="border: 1px solid black; padding: 5px; text-align: center;">N/A</div>                                                                                                                                                                                                                                                                                                                 |                                                                                              |                                                                                                                                                                                                                                                                                                           |    |    |      |      |      |        |
| <b>3 公司類別 Type of Company</b><br><small>請在適用的空格內加上 ✓ 號 Please tick the relevant box</small>                                                                                                                                                                                                                                                                                                                                      |                                                                                              |                                                                                                                                                                                                                                                                                                           |    |    |      |      |      |        |
| <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <input checked="" type="checkbox"/> 有股本的私人公司<br/>           Private company having a share capital         </div> <div style="width: 45%;"> <input type="checkbox"/> 其他<br/>           Others         </div> </div>                                                                                                                       |                                                                                              |                                                                                                                                                                                                                                                                                                           |    |    |      |      |      |        |
| <b>4 本申報表日期 Date of this Return</b><br>本申報表列載公司截至右列日期為止的資料<br>The information in this return is made up to                                                                                                                                                                                                                                                                                                                       |                                                                                              | <table border="1" style="margin: auto;"> <tr> <td style="padding: 5px;">13</td> <td style="padding: 5px;">08</td> <td style="padding: 5px;">2012</td> </tr> <tr> <td style="font-size: small;">日 DD</td> <td style="font-size: small;">月 MM</td> <td style="font-size: small;">年 YYYY</td> </tr> </table> | 13 | 08 | 2012 | 日 DD | 月 MM | 年 YYYY |
| 13                                                                                                                                                                                                                                                                                                                                                                                                                               | 08                                                                                           | 2012                                                                                                                                                                                                                                                                                                      |    |    |      |      |      |        |
| 日 DD                                                                                                                                                                                                                                                                                                                                                                                                                             | 月 MM                                                                                         | 年 YYYY                                                                                                                                                                                                                                                                                                    |    |    |      |      |      |        |
| <small>(如屬有股本的私人公司，本申報表應列載截至公司成立為法團的周年日期的資料。如屬其他公司，所列載的資料則應截至公司周年大會日期或以代替周年大會的書面決議的日期為止。<br/>           For a private company having a share capital, the information in this return should be made up to the anniversary of the date of incorporation. For other companies, the information should be made up to the date of the annual general meeting (AGM) or the date of written resolution passed in lieu of AGM.)</small> |                                                                                              |                                                                                                                                                                                                                                                                                                           |    |    |      |      |      |        |
| <b>5 註冊辦事處地址 Address of Registered Office</b><br><div style="border: 1px solid black; padding: 5px; text-align: center;">Room 1701(071), 17/F., Henan Building, No.90, Jaffe Road, Wanchai, Hong Kong</div>                                                                                                                                                                                                                      |                                                                                              |                                                                                                                                                                                                                                                                                                           |    |    |      |      |      |        |

Source: ICRIS website. Available from [www.icris.cr.gov.hk/csci/](http://www.icris.cr.gov.hk/csci/)

| 表格<br>Form                                                                                                                                                                                                                                          | AR1                                                                                                                                                                                        | 公司編號 Company Number<br><div style="border: 1px solid black; padding: 2px; text-align: center;">1362335</div>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |            |  |               |                          |                       |  |                                                                                                                                                                                            |              |            |  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------|--|---------------|--------------------------|-----------------------|--|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------|------------|--|
| <b>10 有股本公司的成員詳情 Details of Member(s) of a Company Having a Share Capital</b><br><small>(有股本的公司必須填報此項，如表格填不下的，請用續頁A填報。 Company having a share capital must complete this section. Use Continuation Sheet A if there is insufficient space.)</small> |                                                                                                                                                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |            |  |               |                          |                       |  |                                                                                                                                                                                            |              |            |  |
| 截至本申報表日期內成員詳情 Details of Member(s) as at the Date of this Return                                                                                                                                                                                    |                                                                                                                                                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |            |  |               |                          |                       |  |                                                                                                                                                                                            |              |            |  |
| 股份類別 Class of Shares <div style="border: 1px solid black; padding: 2px; display: inline-block;">Ordinary</div>                                                                                                                                      |                                                                                                                                                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |            |  |               |                          |                       |  |                                                                                                                                                                                            |              |            |  |
| 姓名／名稱<br>Name                                                                                                                                                                                                                                       | 地址<br>Address                                                                                                                                                                              | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th colspan="2" style="text-align: left;">股份 Shares</th> <th rowspan="2" style="text-align: center; vertical-align: middle;">備註<br/>Remarks</th> </tr> <tr> <th style="text-align: center;">現時持有量<br/>Current Holding</th> <th style="text-align: center;">轉讓 *<br/>Transferred *</th> </tr> <tr> <td></td> <td style="text-align: center;"> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="text-align: center;">數目<br/>Number</th> <th style="text-align: center;">日期<br/>Date</th> </tr> </table> </td> <td></td> </tr> </table> | 股份 Shares  |  | 備註<br>Remarks | 現時持有量<br>Current Holding | 轉讓 *<br>Transferred * |  | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="text-align: center;">數目<br/>Number</th> <th style="text-align: center;">日期<br/>Date</th> </tr> </table> | 數目<br>Number | 日期<br>Date |  |
| 股份 Shares                                                                                                                                                                                                                                           |                                                                                                                                                                                            | 備註<br>Remarks                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |            |  |               |                          |                       |  |                                                                                                                                                                                            |              |            |  |
| 現時持有量<br>Current Holding                                                                                                                                                                                                                            | 轉讓 *<br>Transferred *                                                                                                                                                                      |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |            |  |               |                          |                       |  |                                                                                                                                                                                            |              |            |  |
|                                                                                                                                                                                                                                                     | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="text-align: center;">數目<br/>Number</th> <th style="text-align: center;">日期<br/>Date</th> </tr> </table> | 數目<br>Number                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | 日期<br>Date |  |               |                          |                       |  |                                                                                                                                                                                            |              |            |  |
| 數目<br>Number                                                                                                                                                                                                                                        | 日期<br>Date                                                                                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |            |  |               |                          |                       |  |                                                                                                                                                                                            |              |            |  |
| MOSES WANG                                                                                                                                                                                                                                          | 4322 E VALLEY BLVD D, LOS ANGELES CA 90032, USA                                                                                                                                            | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; text-align: center;">10,000</td> <td style="width: 50%;"></td> <td></td> </tr> </table>                                                                                                                                                                                                                                                                                                                                                                                                                                                         | 10,000     |  |               |                          |                       |  |                                                                                                                                                                                            |              |            |  |
| 10,000                                                                                                                                                                                                                                              |                                                                                                                                                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |            |  |               |                          |                       |  |                                                                                                                                                                                            |              |            |  |

|                                                                                                                                                                                                                                                                                                                                                                                                       |                                                                                                        |                                                                                                              |                                            |           |                                     |                               |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------|--------------------------------------------|-----------|-------------------------------------|-------------------------------|
| 表格<br>Form                                                                                                                                                                                                                                                                                                                                                                                            | AR1                                                                                                    | 公司編號 Company Number<br><div style="border: 1px solid black; padding: 2px; text-align: center;">1362335</div> |                                            |           |                                     |                               |
| <b>董事 Directors</b>                                                                                                                                                                                                                                                                                                                                                                                   |                                                                                                        |                                                                                                              |                                            |           |                                     |                               |
| <b>個人董事 Individual Director</b><br><small>(如超過一名個人董事，請用續頁C填報。 Use Continuation Sheet C if more than 1 individual director)</small>                                                                                                                                                                                                                                                                    |                                                                                                        |                                                                                                              |                                            |           |                                     |                               |
| 請在適用的空格內加上 ✓ 號。 Please tick the relevant box(es).                                                                                                                                                                                                                                                                                                                                                     |                                                                                                        |                                                                                                              |                                            |           |                                     |                               |
| 身份<br>Capacity                                                                                                                                                                                                                                                                                                                                                                                        | <input checked="" type="checkbox"/> 董事<br>Director <input type="checkbox"/> 候補董事<br>Alternate Director | 代替 Alternate to<br><div style="border: 1px solid black; padding: 2px; text-align: center;">N/A</div>         |                                            |           |                                     |                               |
| 中文姓名<br>Name in Chinese <div style="border: 1px solid black; padding: 2px; display: inline-block; width: 100%;">N/A</div>                                                                                                                                                                                                                                                                             |                                                                                                        |                                                                                                              |                                            |           |                                     |                               |
| 英文姓名<br>Name in English <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; text-align: center;">WANG</td> <td style="width: 50%; text-align: center;">MOSES</td> </tr> <tr> <td style="text-align: center;"><small>姓氏 Surname</small></td> <td style="text-align: center;"><small>名字 Other Names</small></td> </tr> </table>                              |                                                                                                        |                                                                                                              | WANG                                       | MOSES     | <small>姓氏 Surname</small>           | <small>名字 Other Names</small> |
| WANG                                                                                                                                                                                                                                                                                                                                                                                                  | MOSES                                                                                                  |                                                                                                              |                                            |           |                                     |                               |
| <small>姓氏 Surname</small>                                                                                                                                                                                                                                                                                                                                                                             | <small>名字 Other Names</small>                                                                          |                                                                                                              |                                            |           |                                     |                               |
| 前用姓名<br>Previous Names <div style="border: 1px solid black; padding: 2px; display: inline-block; width: 100%;">N/A</div>                                                                                                                                                                                                                                                                              |                                                                                                        |                                                                                                              |                                            |           |                                     |                               |
| 別名<br>Alias <div style="border: 1px solid black; padding: 2px; display: inline-block; width: 100%;">N/A</div>                                                                                                                                                                                                                                                                                         |                                                                                                        |                                                                                                              |                                            |           |                                     |                               |
| 住址<br>Residential Address <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%; text-align: center; vertical-align: middle;">4322 E VALLEY BLVD D, LOS ANGELES CA 90032</td> <td style="width: 40%; text-align: center; vertical-align: middle;">USA</td> </tr> <tr> <td></td> <td style="text-align: center;"><small>國家 Country</small></td> </tr> </table> |                                                                                                        |                                                                                                              | 4322 E VALLEY BLVD D, LOS ANGELES CA 90032 | USA       |                                     | <small>國家 Country</small>     |
| 4322 E VALLEY BLVD D, LOS ANGELES CA 90032                                                                                                                                                                                                                                                                                                                                                            | USA                                                                                                    |                                                                                                              |                                            |           |                                     |                               |
|                                                                                                                                                                                                                                                                                                                                                                                                       | <small>國家 Country</small>                                                                              |                                                                                                              |                                            |           |                                     |                               |
| 電郵地址<br>E-mail Address <div style="border: 1px solid black; padding: 2px; display: inline-block; width: 100%;">N/A</div>                                                                                                                                                                                                                                                                              |                                                                                                        |                                                                                                              |                                            |           |                                     |                               |
| 身份證明 Identification                                                                                                                                                                                                                                                                                                                                                                                   |                                                                                                        |                                                                                                              |                                            |           |                                     |                               |
| a 香港身份證號碼<br>Hong Kong Identity Card Number <div style="border: 1px solid black; padding: 2px; display: inline-block; width: 100%;">N/A</div>                                                                                                                                                                                                                                                         |                                                                                                        |                                                                                                              |                                            |           |                                     |                               |
| b 護照<br>Passport <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; text-align: center;">USA</td> <td style="width: 50%; text-align: center;">710403805</td> </tr> <tr> <td style="text-align: center;"><small>簽發國家 Issuing Country</small></td> <td style="text-align: center;"><small>號碼 Number</small></td> </tr> </table>                             |                                                                                                        |                                                                                                              | USA                                        | 710403805 | <small>簽發國家 Issuing Country</small> | <small>號碼 Number</small>      |
| USA                                                                                                                                                                                                                                                                                                                                                                                                   | 710403805                                                                                              |                                                                                                              |                                            |           |                                     |                               |
| <small>簽發國家 Issuing Country</small>                                                                                                                                                                                                                                                                                                                                                                   | <small>號碼 Number</small>                                                                               |                                                                                                              |                                            |           |                                     |                               |

Source: ICRIS website. Available from [www.icris.cr.gov.hk/csci/](http://www.icris.cr.gov.hk/csci/)

## Annex 46 – Korea Mining Development Trading Corporation

United States Department of the Treasury press release, dated 2 January 2015

### U.S. DEPARTMENT OF THE TREASURY

#### Resource Center

#### Issuance of a new North Korea-related Executive Order; North Korea Designations

1/2/2015

Today, the President signed an [Executive Order](#) Imposing Additional Sanctions with Respect to North Korea. The following names have been designated concurrently with this executive order.

The following individuals have been added to OFAC's SDN List:

JANG, Song Chol; DOB 12 Mar 1967; nationality Korea, North; KOMID representative in Russia (individual) [DPRK2].

JANG, Yong Son; DOB 20 Feb 1957; nationality Korea, North; KOMID Representative in Iran (individual) [DPRK2].

KANG, Ryong; DOB 21 Aug 1968; nationality Korea, North; KOMID official in Syria (individual) [DPRK2].

KIL, Jong Hun; DOB 20 Feb 1972; nationality Korea, North; Passport 472410022; KOMID Representative in Namibia (individual) [DPRK2].

KIM, Kwang Chun; DOB 20 Apr 1967; Korea Ryungseng Trading Corporation Representative in Shenyang, China (individual) [DPRK2].

KIM, Kwang Yon; DOB 30 Jul 1966; nationality Korea, North; Passport 563210059 (individual) [DPRK2].

KIM, Kyu; DOB 30 Jul 1968; nationality Korea, North; KOMID External Affairs Officer (individual) [DPRK2].

KIM, Yong Chol; DOB 18 Feb 1962; nationality Korea, North; KOMID Representative in Iran (individual) [DPRK2].

RYU, Jin; DOB 07 Aug 1965; nationality Korea, North; Passport 563410081; KOMID official in Syria (individual) [DPRK2].

YU, Kwang Ho; DOB 18 Oct 1956; nationality Korea, North (individual) [DPRK2].

The following changes have been made to OFAC's SDN List:

RECONNAISSANCE GENERAL BUREAU (a.k.a. CHONGCHAL CHONGGUK; a.k.a. KPA UNIT 586; a.k.a. "RGB"), Hyongjesan-Guyok, Pyongyang, Korea, North; Nungrado, Pyongyang, Korea, North [DPRK]. -to- RECONNAISSANCE GENERAL BUREAU (a.k.a. CHONGCHAL CHONGGUK; a.k.a. KPA UNIT 586; a.k.a. "RGB"), Hyongjesan-Guyok, Pyongyang, Korea, North; Nungrado, Pyongyang, Korea, North [DPRK] [DPRK2].

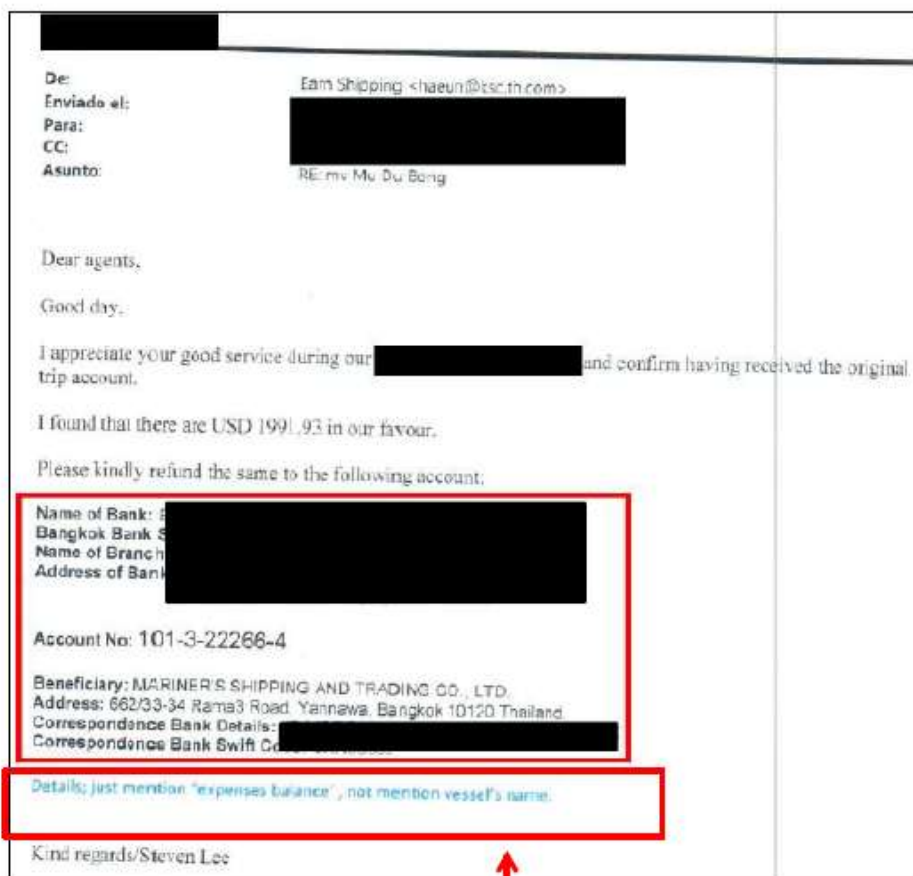
KOREA MINING DEVELOPMENT TRADING CORPORATION (a.k.a. CHANGGWANG SINYONG CORPORATION; a.k.a. EXTERNAL TECHNOLOGY GENERAL CORPORATION; a.k.a. KOREA KUMRYONG TRADING COMPANY; a.k.a. NORTH KOREAN MINING DEVELOPMENT TRADING CORPORATION; a.k.a. "KOMID"), Central District, Pyongyang, Korea, North [NPWMD]. -to- KOREA MINING DEVELOPMENT TRADING CORPORATION (a.k.a. CHANGGWANG SINYONG CORPORATION; a.k.a. DPRKN MINING DEVELOPMENT TRADING COOPERATION; a.k.a. EXTERNAL TECHNOLOGY GENERAL CORPORATION; a.k.a. KOREA KUMRYONG TRADING COMPANY; a.k.a. KOREAN MINING AND INDUSTRIAL DEVELOPMENT CORPORATION; a.k.a. NORTH KOREAN MINING DEVELOPMENT TRADING CORPORATION; a.k.a. "KOMID"), Central District, Pyongyang, Korea, North; Beijing, China; Moscow, Russia; Tehran, Iran; Damascus, Syria [NPWMD] [DPRK2].

KOREA TANGUN TRADING CORPORATION, Pyongyang, Korea, North [NPWMD]. -to- KOREA TANGUN TRADING CORPORATION (a.k.a. RYUNG SENG TRADING CORPORATION; a.k.a. RYUNGSENG TRADING CORPORATION; a.k.a. RYUNGSONG TRADING CORPORATION), Pyongyang, Korea, North [NPWMD] [DPRK2].

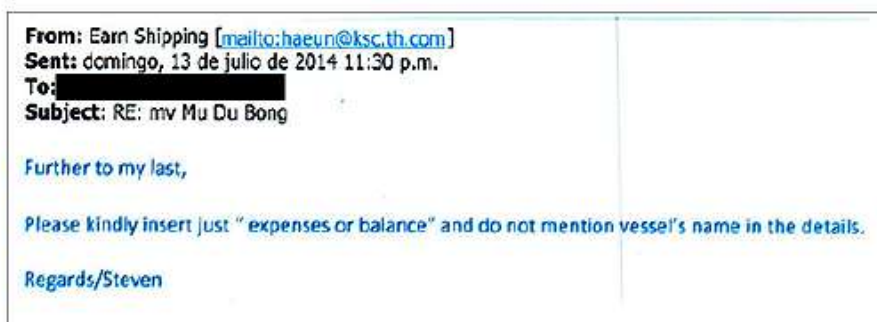
*Source: U.S. Department of the Treasury, "Issuance of a new North Korea-related Executive Order; North Korea Designations", Press Release, 2 January 2015.*

## Annex 47 Ocean Maritime Management Company-related financial transactions

### 47.1. Mariner's Shipping correspondence of 13 July 2014 referring to banking details for remittance from shipping agent for reimbursement for costs of the *Mu Du Bong*.



**"Details; just mention "expenses balance", not mention vessel's name."**



Source: The Panel

**47.2. Shipping company's 15 July 2014 transaction of \$1951.93 to Mariner's Shipping requesting reimbursement for costs of the *Mu Du Bong* (mentioned in 13 July correspondence)**

| Conexión Empresarial Internet Panamá<br>Reporte de Transferencias internacionales<br>Pagos realizados |                                  | Página: 1<br>Fecha: 15/07/14 |
|-------------------------------------------------------------------------------------------------------|----------------------------------|------------------------------|
| <b>Datos Ordenante</b>                                                                                |                                  |                              |
| Cuenta Ordenante:                                                                                     | 0109556093                       |                              |
| Referencia:                                                                                           | MV MU DU BONG                    |                              |
| Titular:                                                                                              | [REDACTED]                       |                              |
| Fecha Aplicación:                                                                                     | 15/07/2014                       |                              |
| Importe de la Cuenta Ordenante:                                                                       | 1951.93                          |                              |
| Moneda de la Cuenta Ordenante:                                                                        | USD                              |                              |
| Estatus:                                                                                              | Procesado                        |                              |
| <b>Datos Beneficiario</b>                                                                             |                                  |                              |
| Cuenta Beneficiaria:                                                                                  | 101-3-22266-4                    |                              |
| Titular:                                                                                              | MARINERS SHIPPING AND TRADING CO |                              |
| Domicilio1:                                                                                           | 662/33-34 RAMA 3 ROAD            |                              |
| Domicilio2:                                                                                           | YANNAWA BANGKOK 10120 THAILAND   |                              |
| Domicilio3:                                                                                           |                                  |                              |
| Tipo de Banco:                                                                                        | [REDACTED]                       |                              |
| Código de Banco:                                                                                      | [REDACTED]                       |                              |
| Nombre del Banco:                                                                                     | [REDACTED]                       |                              |
| Domicilio Banco:                                                                                      |                                  |                              |
| Importe del Beneficiario:                                                                             | 1951.93                          |                              |
| Moneda del Beneficiario:                                                                              | USD                              |                              |
| Comisión:                                                                                             | \$45.00                          |                              |
| <b>Banco Intermediario</b>                                                                            |                                  |                              |
| Tipo de Banco:                                                                                        | [REDACTED]                       |                              |
| Código Banco:                                                                                         | [REDACTED]                       |                              |
| Nombre del Banco:                                                                                     | [REDACTED]                       |                              |
| Domicilio Banco:                                                                                      | [REDACTED]                       |                              |
| <b>Tipo de Gasto</b>                                                                                  |                                  |                              |
| Tipo de Gasto:                                                                                        | SHA                              |                              |

Source: The Panel

**47.3. Mariner's Shipping's correspondence of July 2014 regarding remittance from a shipping agent for the *Mu Du Bong* costs**

De: Earn Shipping <haeun@ksc.th.com>  
Enviado el: [REDACTED] de 2014 03:30 a. m.  
Para: [REDACTED]  
CC: [REDACTED]  
Asunto: RE: mv Mu Du Bong WIRE TRANSFER

[REDACTED]

We confirm the receipt of your remittance.

Kind regards

From: [REDACTED]  
Sent: [REDACTED] 2014 10:08 PM  
To: 'Earn Shipping'  
Cc: [REDACTED]  
Subject: RE: mv Mu Du Bong WIRE TRANSFER  
Importance: High

Dear Mr. Steven Lee;

Good day, attach please find copy of the wire transfer request MV MU DU BONG DA15061467.

Please confirm when you received.

Best regards;  
[REDACTED]  
Administration / D&As

Source: The Panel

**47.4. Correspondence from shipping agent to Mariner's Shipping regarding remittance for Panama Canal transit by the *Am Nok Gang* on 23-25 March 2010**

Mariner Shipping & Trading Co Ltd  
14/63 801 Prariyanon  
Sathupredit 67 Road  
Yannawa  
Bangkok  
10120  
THAILAND

12/04/2010

Dear Sirs,

Subject: Am Nok Gang/192/Panama Canal Transit - Disbursement Account

|         |                      |
|---------|----------------------|
| Vessel  | Am Nok Gang          |
| Port    | Panama Canal Transit |
| Arrived | 23/03/2010           |
| Sailed  | 25/03/2010           |
| Purpose | Transit Loaded       |
| Details | Grain                |

We herewith enclose our Disbursement Account with Supporting Vouchers for the aforementioned vessel's call at Panama Canal Transit

We are glad to have been of assistance and hope the service met your requirements

Trusting you will find all in order, we would appreciate your remitting the balance in our favor and look forward to working with you again.

Yours faithfully,

Source: The Panel

**47.5. Mariner's Shipping's remittance to shipping agent for payment of Suez Canal passage by the *Am Nok Gang* dated 24 March 2010 for US\$ 47,659.00**

(24)

OUR REF: ICJ1003250650044  
 FTS1003243535800  
 REGARDING YOUR CASH-REGISTER INQUIRY  
 YOUR REFERENCE FTS1003243535800  
 THE FOLLOWING DETAILS ARE AVAILABLE:

|               |                                                                                       |
|---------------|---------------------------------------------------------------------------------------|
| PYMT TRM      | FTS1003243535800                                                                      |
| STATUS        | COMPLETED                                                                             |
| INSTR METH    | SWIFT                                                                                 |
| INSTR DT      | 2010/03/24                                                                            |
| AMOUNT        | USD47,659 00                                                                          |
| VALUE DT      | 2010/03/24                                                                            |
| FUNDS TYPE    | SAME DAY                                                                              |
| POST DT       | 2010/03/24                                                                            |
| ORDERING CUST | A1013222<br>MARINER'S SHIPPING AND TRADING<br>CO., LTD<br>YANNAWA, BKK 10120 THAILAND |
| ORIG REF      | 7762100000070200                                                                      |
| DR PARTY      |                                                                                       |
| CR PARTY      |                                                                                       |
| CR ACCT       | 8900542098                                                                            |
| PYMT MADE VIA | CREDIT                                                                                |
| PYMT DETAILS  | PANAMA CANAL TRANSIT PDA                                                              |

ORIGINAL PAYMENT INSTRUCTIONS FOLLOW:  
 FROM [REDACTED]  
 BANGKOK

MESSAGE TYPE 103  
 20 SENDER REF 7762100000070200  
 23B BKK OP CODECRED  
 32A VALUE DT 100324  
 CURRENCY USD  
 IBK STL AMT47,659 00  
 50K ORDER CUST /A1013222

|              |                                                                                                                                 |
|--------------|---------------------------------------------------------------------------------------------------------------------------------|
| 59 BENE CUST | MARINER'S SHIPPING AND TRADING<br>CO., LTD<br>662/33-34 RAMA 3 RD, BANGPOONGPANG,<br>YANNAWA, BKK 10120 THAILAND<br>/8900542098 |
|--------------|---------------------------------------------------------------------------------------------------------------------------------|

70 REMITR INFO PANAMA CANAL TRANSIT PDA  
 71A CHG DTLB OUR

(PACAN12078D) AM NOK GANG 23/3  
APF 9195

Source: The Panel

#### 47.6. Remittance by Mirae Shipping Hong Kong

Mirae Shipping Hong Kong made five payments to a Panama-based shipping agent for passages through the Panama Canal in 2011 and 2012 by two OMM-controlled vessels, the *O Un Chong Nyon Ho* and the *Bo Tong Gang*. Specialized maritime databases list Ocean Maritime Management Company as the manager of these vessels.

|                                                                                                                                                     |                                                                                               |
|-----------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------|
| Advice sending date: 17 Feb 2011<br>Advice reference no: [REDACTED]<br>Page: 1/1                                                                    |                                                                                               |
| Payment Advice                                                                                                                                      |                                                                                               |
| <div style="border: 1px solid red; padding: 2px;">           MR SHPG SZ<br/>           MIRAESHPGSZ@MRSHIPPING.COM.CN         </div>                 |                                                                                               |
| Transaction type:                                                                                                                                   | Remittance                                                                                    |
| Beneficiary's name:                                                                                                                                 | [REDACTED]                                                                                    |
| Beneficiary's bank:                                                                                                                                 | [REDACTED]                                                                                    |
| Beneficiary's account:                                                                                                                              | [REDACTED]                                                                                    |
| TT reference number:                                                                                                                                | [REDACTED]                                                                                    |
| Debit amount:                                                                                                                                       | USD60,014.14                                                                                  |
| Remittance amount:                                                                                                                                  | USD60,000.00                                                                                  |
| Local and overseas charges:                                                                                                                         | Remitting bank charges are collected from Remitter. Beneficiary pays Beneficiary bank charges |
| Value date:                                                                                                                                         | 17 Feb 2011                                                                                   |
| Remitter's name:                                                                                                                                    | MIRAE SHIPPING (H.K.) CO LIMITED                                                              |
| Remitting bank:                                                                                                                                     | [REDACTED]                                                                                    |
| Instruction reference: N21700016081                                                                                                                 |                                                                                               |
| <div style="border: 1px solid red; padding: 2px;">           Message from remitter:<br/>           MV PTG-TRANSIT EXPENSES AT PANAMA         </div> |                                                                                               |

Source: The Panel

Source: The Panel

287/310

Communication between Mr. Yang Bong Rim of Mirae Shipping Shenzhen and foreign shipping agent for the *Chong Chon Gang* referring to Mariner's Shipping as "Ocean Bangkok"

**eMail**

**Betreff:** MV CHONG CHON GANG/PARTS 2013 09:34:29  
**An:** [REDACTED]  
**cc:** [REDACTED]  
**Von:** oceanmm@silibank.net.kp  
**Priorität:** Normal  
**Anhänge:** 0

To: [REDACTED]  
 Fm Ocean Maritime Management Co

Re mv Chong Chon Gang/parts

Dear [REDACTED]  
 How are you?  
 Nice to contact you again and hope everything is going well on your end.  
 I am now working in Ocean Maritime Management Co.

Wud be very pleased to have your quotation on below parts.

-M/E 14PC 2-5V 400

1 set of injection pump complete (02.430.9013.01)

Awaiting yours, Yang Bong Rim

HNG  
Balj  
L'Orange

From: haeun@ksc.th.com  
 To: [REDACTED]  
 CC: [REDACTED]  
 Subject: Re: MV. PHO THAE  
 Date: [REDACTED] 2010 [REDACTED]

Dear [REDACTED]

Our full style as follows:

Mariner's Shipping and Trading Co Ltd(Ocean Bangkok)  
 662/33-34 Rama 3 Road  
 Bangpongpang Yannawa  
 Bangkok 10120 Thailand  
 Tel: 662-2930290  
 Fax: 662-2943847  
 E-mail: [haeun@ksc.th.com](mailto:haeun@ksc.th.com), [mst001@ksc.th.com](mailto:mst001@ksc.th.com)  
 Mr. Won Song Guk ( Ocean Rep Mobile 66 892026221)  
 Mr. Ho Yong Jun ( Ocean Deputy Rep 66 818992823)  
 Mr. Chanvit (66 818272053)

M'time pls contact to [oceanchina@cmchartering.com](mailto:oceanchina@cmchartering.com) for m/v Pho Thae

B/rgds

Source: The Panel

**47.8. Remittances from Ocean Russia to shipping agent through Senat Shipping Limited's bank account dated 8 August and 6 June 2011**

Correspondence from Ocean Russia of 9 August 2011

From: [oceanvld@gmail.com](mailto:oceanvld@gmail.com)  
To: [REDACTED]  
Subject: RE: REMITTANCE OF USD 30,000.00  
Date: Tue, 9 Aug 2011 16:03:51 +1100  
  
Mr [REDACTED] / Han  
  
Pls find attached bank slip of USD 20k which had been effected yday by Senat.  
  
Appreciate yr kind confirmation of safe receipt of this fund.  
  
Brgds

Source: The Panel

Remittance from Ocean Russia to shipping agent through Senat Shipping Limited's bank account dated 8 August 2011.

| To: [REDACTED]                                                                                                                                                                                                                                                                                                                                                                                                               |                       | Date: 08.08.11      | APPLICATION FOR TELEGRAPHIC TRANSFER                                                                                                                                                                                                                                                         |  |         |               |        |  |  |  |  |  |  |  |  |  |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|---------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|---------|---------------|--------|--|--|--|--|--|--|--|--|--|
| Please complete form clearly in ENGLISH & BLOCK LETTERS. Care should be taken as illegibility will result in processing delays.                                                                                                                                                                                                                                                                                              |                       |                     |                                                                                                                                                                                                                                                                                              |  |         |               |        |  |  |  |  |  |  |  |  |  |
| <b>APPLICANT'S PARTICULARS</b><br>Account's Name: <b>SENAT SHIPPING LTD</b><br>Address: <b>9 TEMASEK BOULEVARD</b><br><b>SUNTEC TOWER 2 #06-02A</b><br><b>SINGAPORE 038989</b>                                                                                                                                                                                                                                               |                       |                     | Telephone: <b>87253003</b><br>Contact Person:                                                                                                                                                                                                                                                |  |         |               |        |  |  |  |  |  |  |  |  |  |
| <b>REMITTANCE CURRENCY &amp; AMOUNT</b><br>USD20,000/-                                                                                                                                                                                                                                                                                                                                                                       |                       |                     | <b>FX CONTRACT, IF ANY</b><br><table border="1"> <thead> <tr> <th>Deal No</th> <th>Exchange Rate</th> <th>Amount</th> </tr> </thead> <tbody> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> </tbody> </table>       |  | Deal No | Exchange Rate | Amount |  |  |  |  |  |  |  |  |  |
| Deal No                                                                                                                                                                                                                                                                                                                                                                                                                      | Exchange Rate         | Amount              |                                                                                                                                                                                                                                                                                              |  |         |               |        |  |  |  |  |  |  |  |  |  |
|                                                                                                                                                                                                                                                                                                                                                                                                                              |                       |                     |                                                                                                                                                                                                                                                                                              |  |         |               |        |  |  |  |  |  |  |  |  |  |
|                                                                                                                                                                                                                                                                                                                                                                                                                              |                       |                     |                                                                                                                                                                                                                                                                                              |  |         |               |        |  |  |  |  |  |  |  |  |  |
|                                                                                                                                                                                                                                                                                                                                                                                                                              |                       |                     |                                                                                                                                                                                                                                                                                              |  |         |               |        |  |  |  |  |  |  |  |  |  |
| <b>BENEFICIARY BANK'S DETAILS</b>                                                                                                                                                                                                                                                                                                                                                                                            |                       |                     |                                                                                                                                                                                                                                                                                              |  |         |               |        |  |  |  |  |  |  |  |  |  |
| Beneficiary Bank Name: [REDACTED]                                                                                                                                                                                                                                                                                                                                                                                            |                       |                     | City/Country: [REDACTED]                                                                                                                                                                                                                                                                     |  |         |               |        |  |  |  |  |  |  |  |  |  |
| Beneficiary Bank Address: [REDACTED]                                                                                                                                                                                                                                                                                                                                                                                         |                       |                     | National Clearing Code: [REDACTED]                                                                                                                                                                                                                                                           |  |         |               |        |  |  |  |  |  |  |  |  |  |
| Bank SWIFT BIC: [REDACTED]                                                                                                                                                                                                                                                                                                                                                                                                   |                       |                     | Intermediary Bank (if any): [REDACTED]                                                                                                                                                                                                                                                       |  |         |               |        |  |  |  |  |  |  |  |  |  |
| <b>BENEFICIARY'S DETAILS</b>                                                                                                                                                                                                                                                                                                                                                                                                 |                       |                     |                                                                                                                                                                                                                                                                                              |  |         |               |        |  |  |  |  |  |  |  |  |  |
| Beneficiary's Name: [REDACTED]                                                                                                                                                                                                                                                                                                                                                                                               |                       |                     | Beneficiary's Account Number: 0004-111-000488888                                                                                                                                                                                                                                             |  |         |               |        |  |  |  |  |  |  |  |  |  |
| Beneficiary's Address: [REDACTED]                                                                                                                                                                                                                                                                                                                                                                                            |                       |                     |                                                                                                                                                                                                                                                                                              |  |         |               |        |  |  |  |  |  |  |  |  |  |
| <b>PAYMENT DETAILS / PURPOSE OF PAYMENT</b><br>(Max 140 characters including punctuation and spaces)<br><b>PARTIAL PAYMENT OF BUNKER CHARGE</b>                                                                                                                                                                                                                                                                              |                       |                     | I / We agree that you may at your discretion confirm this application with me/us before acting on it. I / We have read and agree to the conditions shown overleaf.<br>Settlement<br><input type="checkbox"/> Debiting UOB/FEB Account<br>Account No: <b>USD 391-500-231-4</b> Currency Type: |  |         |               |        |  |  |  |  |  |  |  |  |  |
| <b>CHARGES</b> (Please select 1 option. If no selection is made, applicant will bear UOB/FEB Singapore charges only)<br>1. Only UOB/FEB Singapore charges to be paid by applicant. <input type="checkbox"/> SWA<br>2. All local and overseas bank charges to be paid by applicant. <input checked="" type="checkbox"/> OUR<br>3. All local and overseas bank charges to be paid by beneficiary. <input type="checkbox"/> BEN |                       |                     | <input type="checkbox"/> Others:                                                                                                                                                                                                                                                             |  |         |               |        |  |  |  |  |  |  |  |  |  |
| SPECIAL INSTRUCTIONS FOR UOB (if any)                                                                                                                                                                                                                                                                                                                                                                                        |                       |                     | Applicant's Signature: [Signature]                                                                                                                                                                                                                                                           |  |         |               |        |  |  |  |  |  |  |  |  |  |
| <b>FOR BANK USE ONLY</b>                                                                                                                                                                                                                                                                                                                                                                                                     |                       |                     |                                                                                                                                                                                                                                                                                              |  |         |               |        |  |  |  |  |  |  |  |  |  |
| Exchange Rate                                                                                                                                                                                                                                                                                                                                                                                                                | Signature Verified By | Confirmed With / By |                                                                                                                                                                                                                                                                                              |  |         |               |        |  |  |  |  |  |  |  |  |  |
| LCY Equivalent                                                                                                                                                                                                                                                                                                                                                                                                               |                       |                     |                                                                                                                                                                                                                                                                                              |  |         |               |        |  |  |  |  |  |  |  |  |  |
| Commission                                                                                                                                                                                                                                                                                                                                                                                                                   |                       |                     |                                                                                                                                                                                                                                                                                              |  |         |               |        |  |  |  |  |  |  |  |  |  |
| Teller Charges                                                                                                                                                                                                                                                                                                                                                                                                               | Branch Ref:           |                     |                                                                                                                                                                                                                                                                                              |  |         |               |        |  |  |  |  |  |  |  |  |  |
| Agent Charges                                                                                                                                                                                                                                                                                                                                                                                                                | Remittance Ref:       |                     |                                                                                                                                                                                                                                                                                              |  |         |               |        |  |  |  |  |  |  |  |  |  |
| Total                                                                                                                                                                                                                                                                                                                                                                                                                        | Input By:             | Checked By:         | Approved By:                                                                                                                                                                                                                                                                                 |  |         |               |        |  |  |  |  |  |  |  |  |  |
| Notes / Remarks                                                                                                                                                                                                                                                                                                                                                                                                              |                       |                     |                                                                                                                                                                                                                                                                                              |  |         |               |        |  |  |  |  |  |  |  |  |  |

Source: The Panel

Remittance from Ocean Russia to shipping agent through Senat Shipping Limited's bank account dated 10 June 2011.

|                                                                                                                                     |  |                                                                                                                                                                    |                                      |                     |
|-------------------------------------------------------------------------------------------------------------------------------------|--|--------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------|---------------------|
| To: [REDACTED]                                                                                                                      |  | Date: 10.06.11                                                                                                                                                     | APPLICATION FOR TELEGRAPHIC TRANSFER |                     |
| Please complete form clearly in ENGLISH & BLOCK LETTERS. Care should be taken as illegibility will result in processing delays.     |  |                                                                                                                                                                    |                                      |                     |
| <b>APPLICANT'S PARTICULARS</b>                                                                                                      |  |                                                                                                                                                                    |                                      |                     |
| Account's Name:                                                                                                                     |  | SENAT SHIPPING LTD                                                                                                                                                 |                                      | Telephone: 62253003 |
| Address:<br><small>(For correspondence)</small>                                                                                     |  | 9 TEMASEK BOULEVARD<br>SUNTEC TOWER 2 #36-03A<br>SINGAPORE 038889                                                                                                  |                                      | Contact Person:     |
| <b>REMITTANCE CURRENCY &amp; AMOUNT</b>                                                                                             |  | <b>FX CONTRACT, IF ANY</b>                                                                                                                                         |                                      |                     |
| USD10,000                                                                                                                           |  | Deal No                                                                                                                                                            | Exchange Rate                        | Amount              |
|                                                                                                                                     |  |                                                                                                                                                                    |                                      |                     |
|                                                                                                                                     |  |                                                                                                                                                                    |                                      |                     |
| <b>BENEFICIARY BANK'S DETAILS</b>                                                                                                   |  |                                                                                                                                                                    |                                      |                     |
| Beneficiary Bank Name:                                                                                                              |  | [REDACTED]                                                                                                                                                         |                                      |                     |
| Beneficiary Bank Address:                                                                                                           |  | [REDACTED]                                                                                                                                                         |                                      |                     |
| City/Country:                                                                                                                       |  | [REDACTED]                                                                                                                                                         |                                      |                     |
| Bank SWIFT BIC:                                                                                                                     |  | [REDACTED]                                                                                                                                                         |                                      |                     |
| National Clearing Code:                                                                                                             |  | [REDACTED]                                                                                                                                                         |                                      |                     |
| Intermediary Bank (if any):                                                                                                         |  | [REDACTED]                                                                                                                                                         |                                      |                     |
| <b>BENEFICIARY'S DETAILS</b>                                                                                                        |  |                                                                                                                                                                    |                                      |                     |
| Beneficiary's Name:                                                                                                                 |  | [REDACTED]                                                                                                                                                         |                                      |                     |
| Beneficiary's Account Number:                                                                                                       |  | 0004-111-00048829                                                                                                                                                  |                                      |                     |
| Beneficiary's Address:                                                                                                              |  | [REDACTED]                                                                                                                                                         |                                      |                     |
| <b>PAYMENT DETAILS / PURPOSE OF PAYMENT</b><br><small>(Max 140 characters including punctuation and spaces)</small>                 |  | I / We agree that you may at your discretion confirm this application with me/us before acting on it. I / We have read and agree to the conditions shown overleaf. |                                      |                     |
| PARTIAL PAYMENT OF BUNKER CHARGE                                                                                                    |  | Settlement:<br><input type="checkbox"/> Drafting UOB/FEB Account:<br><input checked="" type="checkbox"/> Others                                                    |                                      |                     |
| <b>CHARGES</b> <small>(Please select 1 option, if no selection is made, applicant will bear UOB/FEB Singapore charges only)</small> |  | Account No: USD 391-900-281-4 Currency Type                                                                                                                        |                                      |                     |
| 1. Only UOB/FEB Singapore charges to be paid by applicant. <input type="checkbox"/> SHA                                             |  | <input type="checkbox"/> Others                                                                                                                                    |                                      |                     |
| 2. All local and overseas bank charges to be paid by applicant. <input checked="" type="checkbox"/> OUR                             |  |                                                                                                                                                                    |                                      |                     |
| 3. All local and overseas bank charges to be paid by beneficiary. <input type="checkbox"/> BEN                                      |  |                                                                                                                                                                    |                                      |                     |
| [REDACTED]                                                                                                                          |  | Applicant's Signature(s): [REDACTED]                                                                                                                               |                                      |                     |
| <b>FOR BANK USE ONLY</b>                                                                                                            |  |                                                                                                                                                                    |                                      |                     |
| Exchange Rate                                                                                                                       |  | Signature Verified By                                                                                                                                              | Confirmed With / By                  |                     |
| LCY Equivalent                                                                                                                      |  |                                                                                                                                                                    |                                      |                     |
| Commission                                                                                                                          |  |                                                                                                                                                                    |                                      |                     |
| Teller Charges                                                                                                                      |  | Branch Ref:                                                                                                                                                        |                                      |                     |
| Agent Charges                                                                                                                       |  | Remittance Ref:                                                                                                                                                    |                                      |                     |
| Total                                                                                                                               |  | Input By                                                                                                                                                           | Checked By                           | Approved By         |
| Notes / Remarks                                                                                                                     |  |                                                                                                                                                                    |                                      |                     |

Source: The Panel

**47.9. Remittance from Ocean Singapore to shipping agent through Senat Shipping Limited's bank account dated 20 December 2011**

Correspondence from Ocean Singapore of 20 December 2011

From: ommsingapore@starhub.net.sg  
To: [REDACTED]  
Subject: FW: remittance  
Date: Tue, 20 Dec 2011 22:26:46 +0800  
  
Mr [REDACTED] Choe  
  
Remittance  
--  
Attached pls find tt slip of usd 16,037.5 as balance for jang ja san supply.  
  
Pls confirm safe receipt by return.  
  
Rgds

Source: The Panel

Source: The Panel

**47.10. Remittance from Ocean Brazil to shipping agent through Senat Shipping's bank account dated 13 June 2011**

Email correspondence from Ocean Brazil of 13 June 2011

From: jong-oceanbrazil@uol.com.br  
To: [REDACTED]  
CC: oceanrep-brazil@uol.com.br  
Subject: mv JANG SAN - remittance [REDACTED]  
Date: Mon, 13 Jun 2011 12:01:50 -0300

Dear Mr [REDACTED]

Attached bank slip. Pls check with your bank tomorrow and confirm your receipt.

Rgds

Ocean Brazil / Mr Jong

Source: The Panel

Remittance from Ocean Brazil to shipping agent through Senat Shipping's bank account dated 13 June 2011

|                                                                                                                                     |  |                                                                                                                                                                    |                                      |                     |
|-------------------------------------------------------------------------------------------------------------------------------------|--|--------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------|---------------------|
| To: [REDACTED]                                                                                                                      |  | Date: 13.06.11                                                                                                                                                     | APPLICATION FOR TELEGRAPHIC TRANSFER |                     |
| Please complete form clearly in ENGLISH & BLOCK LETTERS. Care should be taken as illegibility will result in processing delays.     |  |                                                                                                                                                                    |                                      |                     |
| <b>APPLICANT'S PARTICULARS</b>                                                                                                      |  |                                                                                                                                                                    |                                      |                     |
| Account's Name:                                                                                                                     |  | SENAT SHIPPING & TRADING PTE LTD                                                                                                                                   |                                      | Telephone: 62253003 |
| Address:<br><small>(For bank payment only)</small>                                                                                  |  | 9 TEMASEK BOULEVARD<br>SUNTEC TOWER 2 #36-02A<br>SINGAPORE 038986                                                                                                  |                                      | Contact Person:     |
| <b>REMITTANCE CURRENCY &amp; AMOUNT</b>                                                                                             |  | <b>FX CONTRACT, IF ANY</b>                                                                                                                                         |                                      |                     |
| USD154,812.50                                                                                                                       |  | Deal No.                                                                                                                                                           | Exchange Rate                        | Amount              |
|                                                                                                                                     |  |                                                                                                                                                                    |                                      |                     |
| <b>BENEFICIARY BANK'S DETAILS</b>                                                                                                   |  |                                                                                                                                                                    |                                      |                     |
| Beneficiary Bank Name:                                                                                                              |  | [REDACTED]                                                                                                                                                         |                                      |                     |
| Beneficiary Bank Address:                                                                                                           |  | [REDACTED]                                                                                                                                                         |                                      |                     |
| Bank SWIFT BIC:                                                                                                                     |  | [REDACTED]                                                                                                                                                         |                                      |                     |
| Intermediary Bank (if any):                                                                                                         |  | [REDACTED]                                                                                                                                                         |                                      |                     |
|                                                                                                                                     |  | City/Country: [REDACTED]                                                                                                                                           |                                      |                     |
|                                                                                                                                     |  | National Clearing Code:<br><small>(SWIFT BIC / National Clearing Code / Bank Code / City Code / BIC / SWIFT / Branch Code)</small>                                 |                                      |                     |
| <b>BENEFICIARY'S DETAILS</b>                                                                                                        |  |                                                                                                                                                                    |                                      |                     |
| Beneficiary's Name:                                                                                                                 |  | [REDACTED]                                                                                                                                                         |                                      |                     |
| Beneficiary's Account Number:                                                                                                       |  | 0004-111-00048859                                                                                                                                                  |                                      |                     |
| Beneficiary's Address:                                                                                                              |  | [REDACTED]                                                                                                                                                         |                                      |                     |
| <b>PAYMENT DETAILS / PURPOSE OF PAYMENT</b><br><small>(Max 140 characters including punctuation and spaces)</small>                 |  | I / We agree that you may at your discretion confirm this application with me/us before acting on it. I / We have read and agree to the conditions shown overleaf. |                                      |                     |
| FINAL PAYMENT OF BLANKET INV NO: 27/02/2011                                                                                         |  | Settlement<br><input checked="" type="checkbox"/> Debiting UOB/FEB Account<br>Amount: USD 391,900.102-8<br>Currency Type                                           |                                      |                     |
| <b>CHARGES</b> <small>(Please select 1 option. If no selection is made, applicant will bear UOB/FEB Singapore charges only)</small> |  | <input type="checkbox"/> Others                                                                                                                                    |                                      |                     |
| 1. Only UOB/FEB Singapore charges to be paid by applicant. <input type="checkbox"/> S-HA                                            |  |                                                                                                                                                                    |                                      |                     |
| 2. All local and overseas bank charges to be paid by applicant. <input checked="" type="checkbox"/> D-DUR                           |  |                                                                                                                                                                    |                                      |                     |
| 3. All local and overseas bank charges to be paid by beneficiary. <input type="checkbox"/> B-DN                                     |  |                                                                                                                                                                    |                                      |                     |
| <b>SPECIAL INSTRUCTIONS FOR UOB (if any)</b>                                                                                        |  | Applicant's Signature: [Signature]                                                                                                                                 |                                      |                     |
| <b>FOR BANK USE ONLY</b>                                                                                                            |  |                                                                                                                                                                    |                                      |                     |
| Exchange Rate                                                                                                                       |  | Signature Verified By                                                                                                                                              | Confirmed With / By                  |                     |
| LCY Equivalent                                                                                                                      |  |                                                                                                                                                                    |                                      |                     |
| Commission                                                                                                                          |  | Branch Ref                                                                                                                                                         |                                      |                     |
| Bank Charges                                                                                                                        |  | Beneficiary Ref                                                                                                                                                    |                                      |                     |
| Agent Charges                                                                                                                       |  | Input By                                                                                                                                                           | Checked By                           | Approved By         |
| Total                                                                                                                               |  |                                                                                                                                                                    |                                      |                     |

Source: The Panel

**47.11. Remittance for payment of bunker costs from Ocean Brazil to shipping agent through Senat Shipping's bank account dated 27 July 2011**

Email correspondence of 27 July 2011

From: jong-oceanbrazil@uol.com.br  
To: [REDACTED]  
CC: oceanrep-brazil@uol.com.br; jygomm@gmail.com  
Subject: mv JANG SAN - remittance of 2nd bunker costs  
Date: Wed, 27 Jul 2011 16:16:50 -0300

To [REDACTED] - CTG  
Fm Ocean Brazil

Re: mv JANG SAN – remittance of 2<sup>nd</sup> bunker costs

Usd 100K was remitted yesterday.

Pls check with your bank and confirm your receipt.

Rgds

Ocean Brazil / Mr Jong

Source: The Panel

Remittance for payment of bunker costs from Ocean Brazil to shipping agent through Senat Shipping Limited's bank account dated 27 July 2011

| TELEGRAPHIC TRANSFER APPLICATION<br>电汇申请                                                                                                                                                                                                                                                                                   |                                                                                            |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------|
| Please type or write in block letters. 请用大写字母填写。                                                                                                                                                                                                                                                                           |                                                                                            |
| <b>Applicant's Particulars</b> 申请人资料                                                                                                                                                                                                                                                                                       | <b>Payment Mode</b> 付款方式                                                                   |
| Name: <b>SENAT SHIPPING LIMITED</b>                                                                                                                                                                                                                                                                                        | <input checked="" type="checkbox"/> Debit DBS/POSB Account No. <b>1803-001716-01-0-071</b> |
| NRIC/PP No.:                                                                                                                                                                                                                                                                                                               | <input type="checkbox"/> Cash <input type="checkbox"/> Others                              |
| Contact No. (Tel/PG/HF): <b>67753003</b>                                                                                                                                                                                                                                                                                   | <b>Instructions for DBS Bank (if any)</b><br>数字星银行指示 (如有):                                 |
| Address: <b>9 TEMASEK BOULEVARD, SUITE 1<br/>TOWER 2, #36-01A SINGAPORE 038909</b>                                                                                                                                                                                                                                         |                                                                                            |
| <b>Telegraphic Transfer (TT) Details</b> 电汇资料                                                                                                                                                                                                                                                                              | <b>Charge Details (For Bank Use)</b> 收费资料 (银行专用)                                           |
| Currency & Amount: <b>USD100,000</b>                                                                                                                                                                                                                                                                                       | Principal 本金                                                                               |
| FX Contract No. (if any):                                                                                                                                                                                                                                                                                                  | Handling Commission 手续费                                                                    |
| FX rate: Time (if appl):                                                                                                                                                                                                                                                                                                   | Commission in Lieu 用此抵偿佣金                                                                  |
| Processing Date:                                                                                                                                                                                                                                                                                                           | Telex 电报                                                                                   |
| 1) Charges of DBS Bank Singapore: 本国内通商银行即期电汇人费:<br><input checked="" type="checkbox"/> Applicant 申请人 <input type="checkbox"/> Beneficiary 收款人                                                                                                                                                                             | Agent Bank Charge 代理银行收费                                                                   |
| 2) Charges of Agent Banks: 代理银行的即期电汇人费:<br><input checked="" type="checkbox"/> Applicant 申请人 <input type="checkbox"/> Beneficiary 收款人                                                                                                                                                                                      | Country Related Charge 国家相关收费                                                              |
|                                                                                                                                                                                                                                                                                                                            | Total Principal and Charges 合计                                                             |
| <b>Beneficiary Bank's Details</b> 收款人银行资料                                                                                                                                                                                                                                                                                  |                                                                                            |
| Name:                                                                                                                                                                                                                                                                                                                      |                                                                                            |
| Address in Full:                                                                                                                                                                                                                                                                                                           |                                                                                            |
| SWIFT Address (if available):                                                                                                                                                                                                                                                                                              | SWIFT 地址 (如有):                                                                             |
| SWIFT Code (if available):                                                                                                                                                                                                                                                                                                 | 清算代码 (如有):                                                                                 |
| Machine Print                                                                                                                                                                                                                                                                                                              |                                                                                            |
| <b>Beneficiary's Details</b> 收款人资料                                                                                                                                                                                                                                                                                         |                                                                                            |
| Name:                                                                                                                                                                                                                                                                                                                      | Account No.:                                                                               |
| Address:                                                                                                                                                                                                                                                                                                                   |                                                                                            |
| Payment Details (if applicable): <b>PARTIAL PAYMENT OF BUNKER INV. NO. 7603/2011</b>                                                                                                                                                                                                                                       |                                                                                            |
| Machine Print                                                                                                                                                                                                                                                                                                              |                                                                                            |
| For my/our account and risk without any responsibility or liability to yourselves and subject to the conditions overleaf which we have read and understood. Please effect this transaction as detailed above.<br>此电汇申请系对本人/我们的帐户, 风险将由本人/我们承担, 我行不承担最低任何责任或赔偿。本人/我们已阅读过 (并充分了解) 背页所列出的条件, 并愿意接受这些条件的约束。请按照上述详情, 即行处理该电汇交易。 |                                                                                            |
| Authorized Signature(s) With Company Stamp (if applicable):                                                                                                                                                                                                                                                                | Date: <b>27 JUL 2011</b>                                                                   |
| Machine Print                                                                                                                                                                                                                                                                                                              |                                                                                            |
| <b>For Bank Use</b> 银行专用                                                                                                                                                                                                                                                                                                   |                                                                                            |
| Attended By                                                                                                                                                                                                                                                                                                                | Signature Verified By                                                                      |
| Approved By                                                                                                                                                                                                                                                                                                                | Processed By                                                                               |
| Checked By                                                                                                                                                                                                                                                                                                                 | Authorized By                                                                              |

Source: The Panel

**47.12. Payment of 14 December 2010 by Senat Shipping & Trading Pte. Ltd. on behalf of OMM Egypt for costs associated with OMM-associated vessel *Sam Il Po***

Email correspondence from OMM Egypt of 14 December 2010

From: mahmoudsedky@bec.com.eg  
To: [REDACTED]  
Subject: mv Sam Il Pho - PAYMENT USD100,000/-  
Date: Tue, 14 Dec 2010 10:12:09 +0200

Mr [REDACTED]/Jong

mv Sam Il Pho / Sply at Mongla  
==  
Plsd to cnfm having effected payment in the NET amount of US\$ 100,000.00 in your favour as the attached evidence. Pls check with your bank and cnfm safe rcpt of the funds.

Rgds

Source: The Panel

Payment of 14 December 2010 by Senat Shipping & Trading Pte. Ltd. on behalf of OMM  
Egypt for costs associated with OMM-associated vessel *Sam Il Po*

14 Dec. 2010 14:57

### TELEGRAPHIC TRANSFER APPLICATION 电汇申请

Please type or write in block letters. 请用大写字母填写

|                                                                                                                                                                                                                                                                                                                                |                               |                                                                                                                |  |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------|----------------------------------------------------------------------------------------------------------------|--|
| Name<br>名称: <b>SENAT SHIPPING &amp; TRADING PTE LTD</b>                                                                                                                                                                                                                                                                        |                               | <input checked="" type="checkbox"/> Debit DBS/POSB Account No.<br>支票银行/储蓄银行/支票帐户编号: <b>0010-000191-01-4022</b> |  |
| NRI/CPF No.<br>非居民/非公民编号                                                                                                                                                                                                                                                                                                       |                               | <input type="checkbox"/> Cash<br>支票                                                                            |  |
| Contact No. (Tel/Fax/HP)<br>联络号码 (电话/传呼机/手提电话): <b>62253003</b>                                                                                                                                                                                                                                                                |                               | <input type="checkbox"/> Others<br>其他                                                                          |  |
| Address<br>地址: <b>9 TEMASEK BOULEVARD, SUNTEC<br/>TOWER 2, #36-02A SINGAPORE 038989</b>                                                                                                                                                                                                                                        |                               | <b>MT103 IS URGENTLY REQUIRED<br/>PLEASE FAX TO 62252282</b>                                                   |  |
| Currency & Amount<br>货币与金额: <b>USD100,000/-</b>                                                                                                                                                                                                                                                                                | Principal<br>本金               |                                                                                                                |  |
| FX Contract No. (if any)<br>外汇合约号码 (如有)                                                                                                                                                                                                                                                                                        | Handling Commission<br>佣金     |                                                                                                                |  |
| FX rate<br>外汇汇率                                                                                                                                                                                                                                                                                                                | Commission in Lieu<br>代理费/手续费 |                                                                                                                |  |
| Processing Date<br>处理日期                                                                                                                                                                                                                                                                                                        | Tel/Fax<br>电话/传呼              |                                                                                                                |  |
| 1) Charges of DBS Bank Singapore 本国内各银行的费用支付人:<br><input type="checkbox"/> Applicant 申请人 <input type="checkbox"/> Beneficiary 收款人                                                                                                                                                                                              |                               | Agent Bank Charge<br>代理银行收费                                                                                    |  |
| 2) Charges of Agent Banks 代理银行的收费支付人:<br><input type="checkbox"/> Applicant 申请人 <input type="checkbox"/> Beneficiary 收款人                                                                                                                                                                                                       |                               | Country Related Charge<br>国家相关收费                                                                               |  |
|                                                                                                                                                                                                                                                                                                                                |                               | Total Principal and Charges<br>本金及总收费                                                                          |  |
| Name<br>银行名称: [REDACTED]                                                                                                                                                                                                                                                                                                       |                               |                                                                                                                |  |
| Address in P.<br>分行地址: [REDACTED]                                                                                                                                                                                                                                                                                              |                               |                                                                                                                |  |
| Country<br>国家: [REDACTED]                                                                                                                                                                                                                                                                                                      |                               |                                                                                                                |  |
| SWIFT Address (if available)<br>SWIFT 地址 (如有): [REDACTED]                                                                                                                                                                                                                                                                      |                               |                                                                                                                |  |
| Clearing Code (if available)<br>清算代码 (如有): [REDACTED]                                                                                                                                                                                                                                                                          |                               |                                                                                                                |  |
| Machine Print                                                                                                                                                                                                                                                                                                                  |                               |                                                                                                                |  |
| Name<br>姓名: [REDACTED]                                                                                                                                                                                                                                                                                                         |                               | Account No.<br>户头号码: [REDACTED]                                                                                |  |
| Address<br>地址: [REDACTED]                                                                                                                                                                                                                                                                                                      |                               |                                                                                                                |  |
| Payment Details (if applicable)<br>付款细节 (如有): <b>MV SIP SPLY</b>                                                                                                                                                                                                                                                               |                               |                                                                                                                |  |
| <b>Sam Il Pho</b>                                                                                                                                                                                                                                                                                                              |                               |                                                                                                                |  |
| Machine Print                                                                                                                                                                                                                                                                                                                  |                               |                                                                                                                |  |
| For my/our account and risk without any responsibility or liability to yourselves and subject to the conditions overleaf which I/we have read and understood.<br>Please effect this transaction as detailed above.<br>我为/我们为本人/我们的帐户, 风险由本人/我们承担, 我行不必承担任何保证责任。本人/我们已阅读过 (同时已了解) 附页所列出的条件, 并愿意<br>按照上述条件的要求, 请你们上述条件, 即行处理此款项。 |                               |                                                                                                                |  |
| Authorized Signature(s) With Company Stamp (if applicable)<br>授权签名/公司印章 (如有): <i>[Signature]</i>                                                                                                                                                                                                                               |                               | Date<br>日期: <b>14.12.10</b>                                                                                    |  |
| Machine Print                                                                                                                                                                                                                                                                                                                  |                               |                                                                                                                |  |
| CUSTOMER'S COPY 客户存根<br>NOT BANK USE                                                                                                                                                                                                                                                                                           |                               |                                                                                                                |  |

Co. Reg. No. 1986003061  
RC 004021 (INC 0008)

Source: The Panel

47.13. Invoice by Senat Shipping dated 23 January 2009 on behalf of owner of the OMM-associated vessel *Ryong Gang 2* for payment from vessel's charterer (instructions given not to mention vessel name)



**SENAT SHIPPING AGENCY PTE LTD**  
 永昌船务代理（私人）有限公司

DATE : 23RD JAN 2009

TO : [REDACTED]

FROM : SENAT SPORE / AMANDA

RE: MV RYONG GANG 2 CPD 10/12/08

WE APPREYD BELOW OWNERS STATEMENT OF ACCOUNT WHICH SHOW A BALANCE OF USD8,847.28 IN OWNERS FAVOUR.

|                                                | USD        | USD       |
|------------------------------------------------|------------|-----------|
| ADD: 100% FREIGHT (4436.834.00MT X USD18 PMT)  | 79,863.01  |           |
| LESS: 90% FREIGHT USD71,876.71 LESS BC USD6.98 |            | 71,869.73 |
| ADD: DEMURRAGE AT DURBAN                       | 1,140.00   |           |
| LESS: DESPATCH AT BEIRA                        |            | 286.00    |
|                                                | 81,003.01  | 72,155.73 |
| BALANCE DUE TO OWNERS                          | (8,847.28) | 72,155.73 |
|                                                | 72,155.73  | 72,155.73 |

KINDLY ENSURE THAT CHRS DO NOT MENTION VSL NAME IN THE REMITTANCE SLIP, PAYMENT DTLS TO SHOW AS "RG2 CPD 10.12.08", PLS TT/REMIT USD8,847.28 TO OWNERS BANK ACCOUNT AS:-

FAVOURING: SENAT SHIPPING AGENCY PTE LTD  
 USD A/C NO: 391-900-090-0

ROUTING NMB [ARA NMB] 021000318

PLS FAX US THE BANK SLIP FOR TRACKING OF FUNDS.



Source: The Panel

"Kindly ensure that charter do not mention vessel name in the remittance slip, payment dtls [details] to show as RG2 CPD 10.12.08..."

**47.14. Remittance from Ocean Singapore (Chinpo Shipping Co. Pte. Ltd.) to shipping agent dated 8 July 2013**

| <p>汇款申请书<br/>Remittance Application Form</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                                                                                                                                                                                                                                                                       | <p>Date: 08-07-2013<br/>08 JUL 2013</p> |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|
| <p><input checked="" type="checkbox"/> 电汇 Telegraphic Transfer <input type="checkbox"/> 汇票 Demand Draft</p> <p>本行办理此项交易，一切风险概由本人/本公司自留，贵行无须承担任何责任。或/或行派员已阅读或了解贵行的汇款章程并受其约束。办理个人/公司汇款时，我/我们应已阅读或了解《个人/公司汇款章程》。</p> <p>I/We effect this transaction entirely at my/our own risk without responsibility on your part and subject to the Terms and Conditions on Remittance which I/we have read and understood. Where relevant, I/we confirm having read and understood the listed condition pertaining to Personal/Exchange Pre-Settlement Remittance Service.</p> |                                                                                                                                                                                                                                                                                                                                       | <p>Ref: [REDACTED]</p>                  |
| <p>货币与金额<br/>Currency and Amount</p> <p>汇率及成交编号<br/>Ex. Rate and Deal No.</p> <p>收款人姓名与详细地址<br/>Name &amp; Full Address of Payee</p> <p>收款人身份证号 (附后)<br/>Payee's ID No. (for CNY)</p> <p>收款人电话<br/>Payee's Tel (if any)</p> <p>代理行、收款人开户行名称及地址<br/>Payee's Bank &amp; Address (如汇款适用于电汇 For TT only)</p> <p>收款人账号<br/>Payee's A/c No.</p>                                                                                                                                                                                                                        | <p>银行专用 FOR BANK USE</p> <p>CCY and Amount USD72,016.76</p> <p>PAY CCY USD72,016.76</p> <p>Comm. In-Lien</p> <p>Rem. Fee USD90.02</p> <p>Telex USD22.38</p> <p>Selling Rate 1.000000</p> <p>Buying Rate 1.000000</p> <p>Total USD72,130.16</p> <p>A/C: 0029657310014</p> <p>CHINPO SHIPPING COMPANY PTE LTD</p> <p>BNF [REDACTED]</p> |                                         |
| <p>申请人 Applicant</p> <p>Chinpo Shipping Co Pte Ltd - <i>to shipping agent</i></p> <p>地址 Address 7500A, Beach Road #09-321 The Plaza Singapore 199591</p> <p>电话 Tel No. 6297 2311/3 Fax: 6296 2952</p> <p>本行提供此服务，如上述地址与贵行记录不符，请贵行通知本行。 The Applicant's address will be correct in the remittance system address, unless otherwise specified in writing.</p> <p>行收款人姓名 (不超过15个字母)<br/>Message to Payee (Not more than 15 words)</p>                                                                                                                               |                                                                                                                                                                                                                                                                                                                                       | <p>证件号码 Identity Card/Passport No.</p>  |
| <p>此部分仅适用于电汇。如果仅有支票，代理行将负责由收款人支付。<br/>This portion is applicable to telegraphic transfer only. If not indicated, payee will bear charges of agent bank.</p> <p>无银行收费 Agent Bank's Charges <input type="checkbox"/> 由本人/本公司支付 change to my/our account <input type="checkbox"/> 由收款人支付 change to payee <input type="checkbox"/></p>                                                                                                                                                                                                                               |                                                                                                                                                                                                                                                                                                                                       |                                         |
| <p>下列申请交付方式<br/>Settlement Instruction for Application</p> <p>PLS FAX BANK SLIP TO: 62962952</p> <p><input type="checkbox"/> 现金 Cash</p> <p><input checked="" type="checkbox"/> 借记账号 Debit A/C No. 002965-7510-014 USD</p> <p><input type="checkbox"/> 其他 Others</p> <p>CHINPO SHIPPING CO., (PTE) LTD.</p> <p>申请人签名及公司印章 (如适用)<br/>Applicant's Signature and Company's Stamp (If applicable)</p>                                                                                                                                                                |                                                                                                                                                                                                                                                                                                                                       |                                         |

Source: The Panel

**47.15. Correspondence from Chinpo Shipping to arrange transmission by air of spare parts from European supplier to the *Chong Chon Gang* in Panama dated 28 May 2013 (OMM Dalian copied)**

-----Mensaje original-----  
De: [REDACTED] Enviado el:  
mar [REDACTED]  
Para: [REDACTED]  
CC: oceanmm@silibank.net.kp  
Asunto: m/v "CHONG CHON GANG" - PO for Pielstick Spares - shipping advice  
To: [REDACTED]  
Cc: Ocean Maritime Management Co., Ltd., Dalian

Dear Sirs,

Good day.

Please be advised that we have sent to you on behalf of Ocean Maritime Management, Dalian 1 parcel of ship spares by airfreight. Corresponding documents please find attached.

Subject all going well the consignment will arrive at Panama on May 30th, 2013 at 16:50 hrs.

Trust you will find all in good order and condition.

[REDACTED]

To: [REDACTED]  
Cc: oceanmm@silibank.net.kp

Source: The Panel

Remittance from Chinpo Shipping to European supplier of spare parts dated 23 May 2013  
(transaction arranged by OMM Dalian but paid for by Chinpo Shipping)

|                                                                                                                                                                                                                                                                                                                                                                                                                                                |  |                                                                                   |  |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|-----------------------------------------------------------------------------------|--|
| 23 MAY 2013                                                                                                                                                                                                                                                                                                                                                                                                                                    |  | 22-05-2013                                                                        |  |
| <b>汇款申请书</b><br><b>Remittance Application Form</b>                                                                                                                                                                                                                                                                                                                                                                                             |  |                                                                                   |  |
| 电汇<br>Telegraphic Transfer                                                                                                                                                                                                                                                                                                                                                                                                                     |  | 支票<br>Demand Draft                                                                |  |
| Ref:                                                                                                                                                                                                                                                                                                                                                                                                                                           |  |                                                                                   |  |
| <p>*请行办理此交易，一经成功则由本人/本公司负责，要时先须向银行申请。凡/我行以票已押付或于押付的汇单者并免利息。办妥个人/公司押付后，凡/我行以票已押付或于押付的《个人/公司押付书》。</p> <p>Please effect this transaction entirely at your own risk without responsibility on your part and subject to the Terms and Conditions on Remittance which I have read and understood. When relevant, I/we confirm having read and understood the latest condition pertaining to Bank and Exchange Fee Settlement Remittance Service.</p> |  |                                                                                   |  |
| 货币与金额<br>Currency and Amount<br>EUR05,955.00                                                                                                                                                                                                                                                                                                                                                                                                   |  | 货币与金额 FOR BANK USE<br>CCY and Amount EUR5,955.00                                  |  |
| 付款人姓名及地址<br>Payer's Name & Address<br>Name & Full Address of Payee                                                                                                                                                                                                                                                                                                                                                                             |  | PAY CCY USD7,758.80<br>Comm. In-lieu<br>Ren. Fee USD12.00<br>Telco USD27.79       |  |
| 付款人ID No. (for CNY)<br>Payee's ID No. (if any)                                                                                                                                                                                                                                                                                                                                                                                                 |  | Selling Rate 1.642964<br>Buying Rate 1.251900                                     |  |
| 付款人电话<br>Payer's Tel (if any)                                                                                                                                                                                                                                                                                                                                                                                                                  |  | Total USD7,794.59<br>A/C: 0029657510014<br>CHINPO SHIPPING COMPANY PTE LTD<br>BNF |  |
| 收款人名称<br>Payee's A/c No.<br>Chinpo Shipping Co Pte Ltd<br>7500A Beach Road<br>#09-321 The Plaza<br>Singapore 199591                                                                                                                                                                                                                                                                                                                            |  | 付款人行业卡/护照号<br>Industry Card/Passport No.<br>23052013 14:09:28<br>YSGC35 PSQNE:7   |  |
| 地址 Address<br>Tel: 6297 2311/3 Fax: 6296 2952                                                                                                                                                                                                                                                                                                                                                                                                  |  | 电话 Tel No.                                                                        |  |
| 附：本人/公司(不得少于10个词)<br>Message to Payee (Not more than 10 words)                                                                                                                                                                                                                                                                                                                                                                                 |  |                                                                                   |  |
| 此部分仅适用于电汇。如果没有指明，代付行收费将由收款人支付。<br>This portion is applicable to telegraphic transfer only. If not indicated, payee will bear charges of agent bank.                                                                                                                                                                                                                                                                                            |  |                                                                                   |  |
| 代付行费用 Agent Bank's Charges <input type="checkbox"/> 由本人/本公司支付 charge to my/our account <input type="checkbox"/> 由收款人支付 charge to payee                                                                                                                                                                                                                                                                                                         |  |                                                                                   |  |
| 上列中德文为便<br>Settlement Instruction for Application<br>PLS FAX BANK SLIP TO: 62962952                                                                                                                                                                                                                                                                                                                                                            |  |                                                                                   |  |
| <input checked="" type="checkbox"/> 支票 Cash<br><input checked="" type="checkbox"/> 支票号码 Debit A/C No. 002965-7510-036-0386<br><input type="checkbox"/> 其他 Others                                                                                                                                                                                                                                                                               |  | CHINPO SHIPPING CO., (PTY) LTD.<br>Janice                                         |  |
| 申请人签名和盖章 (如适用)<br>Applicant's Signature and Company's Stamp (If applicable)                                                                                                                                                                                                                                                                                                                                                                    |  |                                                                                   |  |

Source: The Panel

## Invoice from European supplier to OMM Dalian for spare parts dated June 2013

|                                           |                                                                                                                                                    |                |            |            |
|-------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------|----------------|------------|------------|
|                                           |                                                                                                                                                    |                |            |            |
| Ocean Maritime Management Co.<br>Mr. Yang |                                                                                                                                                    |                |            |            |
| Dalian<br>China                           |                                                                                                                                                    |                |            |            |
|                                           |                                                                                                                                                    |                |            | 06.2013    |
| As per order we charge you:               |                                                                                                                                                    |                |            |            |
| Invoice No.                               |                                                                                                                                                    | Page 1 of 2    |            |            |
| Ship's Name :                             |                                                                                                                                                    | Contact Person |            |            |
| Reference :                               |                                                                                                                                                    | Customer No.   |            |            |
| Your Ref. :                               |                                                                                                                                                    | Delivery Note  |            |            |
| Pos                                       | Code / Description                                                                                                                                 | Qty Unit       | Price/Unit | Amount/EUR |
| 001                                       | M/E 14PC 2-5V 400<br>Manufacturer: Pielstick<br>02.430.9013.01<br>Set of injection pump complete<br>P/N: 02.430.9013.01                            | 1,000 pce      | 3.730,00   | 3.730,00   |
| 002                                       | HS-Code: 84133020<br>Country of Origin: Germany<br>02.015.0105.03<br>Ventilsitz<br>Exhaust valve seat                                              | 5,000 pce      | 300,00     | 1.500,00   |
| 003                                       | HS-Code: 84819000<br>Country of Origin: USA<br>Additional charges<br>Precarriage, packing, handling & documents<br>From Suppliers to our Warehouse | 1,000 pce      | 100,00     | 100,00     |
| 004                                       | Additional charges<br>Air Freight to Panama<br>We deliver to you: 1 case, 81x44x56 cm, 104 kg                                                      | 1,000 pce      | 625,00     | 625,00     |
| To be continued:                          |                                                                                                                                                    |                |            | 5.955,00   |
|                                           |                                                                                                                                                    |                |            |            |

Source: The Panel

Email correspondence between OMM and European supplier for delivery of spare parts in 2013

Betreff: MV CHONG CHON GANG/PARTS 2013 09:34:29  
 An: [REDACTED]  
 cc: [REDACTED]  
 Von: oceanmm@silibank.net.kp  
 Priorität: Normal  
 Anhänge: 0

To: [REDACTED]  
 Fm Ocean Maritime Management Co  
 Re: mv Chong Chon Gang/parts

Dear Miss [REDACTED]  
 How are you?  
 Nice to contact you again and hope everything is going well on your end.  
 I am now working in Ocean Maritime Management Co.

Wud be very pleased to have your quotation on below parts.

-M/E 14PC 2-5V 400  
 1 set of injection pump complete (02.430.9013.01)

Awaiting yours Yang Bong Rim

----- Original Message -----  
 From: oceanmm  
 To: [REDACTED]  
 Sent: 2013 12:27 PM  
 Subject: MV CHONG CHON GANG / PARTS

To: [REDACTED]  
 Fm Ocean Maritime Management Co.,Ltd  
 Kind attention [REDACTED]

Re mv Chong Chon Gang / parts

Good day,  
 Pls urgently quote the best price for following parts.  
 - M/E 14pc 2-5V 400 Pielstick Valve Seat (02, 015, 0105, 03) - 10pcs

Brgds

Source: The Panel

#### 47.16. Database entry for Senat Shipping Limited held by a chartering organization

Lists Senat's bank account details and refers to Democratic People's Republic of Korea entity Taedonggang Sonbak Company Ltd (registered commercial operator for OMM-associated vessels including the *Mu Du Bong*):

|                     |                                                                                                                                                                                 |
|---------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| H+N INSURERS        | KOREA CLASSIFICATION SOCIETY                                                                                                                                                    |
| OWNERS              | TAEDONGGANG SONBAK COMPANY LTD                                                                                                                                                  |
| MANAGERS TO OWNERS  | SENAT SHIPPING LTD<br>NO. 9 TEMASEK BOULEVARD, #36-02A SUNTEC TOWER<br>TWO, SINGAPORE 018969<br>TEL: 65-62263083/FAX: 65-62252282/TELEX: RS20016<br>EMAIL: senat@singnet.com.sg |
| FREIGHT BENEFICIARY | SINGAPORE                                                                                                                                                                       |
| VENDOR CODE         | TBA                                                                                                                                                                             |
| WFP ENG OWNER       | SENAT SHIPPING LTD                                                                                                                                                              |

3)

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|                  |             |                                                             |        |            |
|------------------|-------------|-------------------------------------------------------------|--------|------------|
| VOYAGE<br>TERMS: | C/P DATE    | 10.10.2008                                                  | BROKER | [REDACTED] |
|                  | TOTAL CARGO | 4,426 net mts minmax                                        |        |            |
|                  |             | vel to perform transit durban/beira basis<br>direct sailing |        |            |
|                  | LOADING     | 1-2 SSS DURBAN                                              |        |            |
|                  | POSITION    | LAYCAN 15/18 DEC 08 FOR MV RYONGI GANG 2                    |        |            |
|                  | DISCHARGE   | 1/2 SSS BEIRA                                               |        |            |
|                  | LOAD RATE   | 300 MTS PER HATCH PMWD                                      |        |            |
|                  | DISCH RATE  | 300 MTS PRT HATCH PMWD                                      |        |            |
|                  | DRM/DMS     | USD 4,000/HDLTBB                                            |        |            |

4)

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|                                  |                         |
|----------------------------------|-------------------------|
| FREIGHT AND<br>PAYMENT<br>TERMS: | FREIGHT/DUE DATE        |
|                                  | PRT USD 18.00 PMGT FIOB |

ONE BANKERS:

[REDACTED]

favouring: senat shipping agency pte ltd  
usd a/c no: 391-900-090-0

[REDACTED]

5)

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TRANSPORTATION COSTS

Source: The Panel

## Annex 48 Ryonha-related financial transactions

Hong Kong-based company, Hong Kong Real Friend Co., Limited, served as financial intermediary for Millim as of 2012. It was managed by an individual with long-standing relationships with Democratic People's Republic of Korea companies. He is also a legal representative of Dalian Liaosin Group which was linked to a shipment of ballistic missile-related items that were seized by the Republic of Korea in May 2012 (S/2014/147, para. 51).

### 48.1. Sales contract showing Hong Kong Real Friend Co., Limited as financial intermediary for Millim as of 2012

|                                                                                                                                                             |                                                        |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------|
| <b>MILLIM TECHNOLOGY COMPANY</b><br>Central district, Pyongyang, D.P.R. of Korea<br>Tel : 850-2-18111, Fax : 850-2-3814410<br>E-mail: millim@silbank.net.kp |                                                        |
| Messrs <span style="background-color: black; color: black;">[REDACTED]</span>                                                                               | Date: Mar. 01, 2012<br>No.: RE12-0301CT-1<br>Page: 2/3 |
| <b><u>SALES CONTRACT</u></b>                                                                                                                                |                                                        |

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>TERM &amp; CONDITION:</b><br><br><b>1. PAYMENT :</b><br>100% BALANCE PAYMENT BY T/T WITHIN 180 DAYS AFTER RECEIPT OF B/L<br><br><div style="border: 2px solid red; padding: 10px; margin: 10px 0;"> <b><u>INFORMATION OF BENEFICIARY'S BANK:</u></b><br/>         Beneficiary's Name: <b>HONG KONG REAL FRIEND CO., LIMITED</b><br/>         Beneficiary's Address: <b>RM. 1105 TOWER 1 LIPPO CTR 89 QUEENSWAY ADMIRALTY, HK</b><br/> <div style="background-color: black; color: black; height: 40px; width: 100%;"></div> </div><br><b>2. SHIPMENT:</b><br>FROM NAMPO PORT IN DPR OF KOREA<br><br><b>3. DELIVERY:</b><br>WITHIN 45 DAYS, AFTER ORDER CONFIRMING<br><br><b>4. INSPECTION OF QUALITY:</b><br>FINAL CONFIRMATION OF KOREA FOREIGN COMMODITY INSPECTION COMMITTEE<br><br><b>MILLIM TECHNOLOGY COMPANY</b> |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

Source: The Panel

## 48.2. Hong Kong business registry for Hong Kong Real Friend Co., Limited as of 17 March 2012

| <b>CR</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | <b>周年申報表</b><br><b>Annual Return</b><br>(《公司條例》第 107(1)條)<br>(Companies Ordinance s. 107(1))          | 表格<br><b>Form AR1</b>                                                                    |                       |               |               |  |               |                          |                       |  |  |              |            |  |                   |                                                                                                       |        |  |  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------|-----------------------|---------------|---------------|--|---------------|--------------------------|-----------------------|--|--|--------------|------------|--|-------------------|-------------------------------------------------------------------------------------------------------|--------|--|--|
| 公司註冊處<br>Companies Registry                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                                                                                                       |                                                                                          |                       |               |               |  |               |                          |                       |  |  |              |            |  |                   |                                                                                                       |        |  |  |
| <b>重要事項 Important Notes</b><br>• 填表前請參閱《填表須知》。<br>• Please read the accompanying notes before completing this form.<br>• 請用黑色墨水列印。<br>• Please print in black ink.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                                                       |                                                                                          |                       |               |               |  |               |                          |                       |  |  |              |            |  |                   |                                                                                                       |        |  |  |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                                                                       | 公司編號 Company Number<br><div style="border: 1px solid black; padding: 2px;">1574497</div> |                       |               |               |  |               |                          |                       |  |  |              |            |  |                   |                                                                                                       |        |  |  |
| <b>1 公司名稱 Company Name</b><br><div style="border: 1px solid black; padding: 5px; text-align: center;">             HONG KONG REAL FRIEND CO., LIMITED<br/>             香港睿峰有限公司           </div>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                                       |                                                                                          |                       |               |               |  |               |                          |                       |  |  |              |            |  |                   |                                                                                                       |        |  |  |
| <b>2 商業名稱 Business Name</b><br><div style="border: 1px solid black; padding: 5px; text-align: center;">NIL</div>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                                       |                                                                                          |                       |               |               |  |               |                          |                       |  |  |              |            |  |                   |                                                                                                       |        |  |  |
| <b>3 公司類別 Type of Company</b><br>請在適用的空格內加上 ✓ 號。 Please tick the relevant box.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                                                       |                                                                                          |                       |               |               |  |               |                          |                       |  |  |              |            |  |                   |                                                                                                       |        |  |  |
| <b>Individual Director</b><br>個人董事。請用續頁 C 填寫。 Use Continuation Sheet C if more than 1 individual director.<br>請在適用的空格內加上 ✓ 號。 Please tick the relevant box(es).<br><div style="display: flex; justify-content: space-between; align-items: flex-start;"> <div style="width: 45%;"> <input checked="" type="checkbox"/> 董事<br/>Director           </div> <div style="width: 45%;"> <input type="checkbox"/> 候補董事<br/>Alternate Director           </div> </div> <div style="margin-top: 10px;"> <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;">             Chinese 富振海           </div> <div style="width: 45%;">             English FU ZHENHAI           </div> </div> <div style="display: flex; justify-content: space-between; font-size: small; margin-top: 5px;"> <span>姓氏 Surname</span> <span>名字 Other Names</span> </div> </div> |                                                                                                       |                                                                                          |                       |               |               |  |               |                          |                       |  |  |              |            |  |                   |                                                                                                       |        |  |  |
| <div style="display: flex; justify-content: space-between; align-items: center;"> <div style="width: 20%;">             日期 Date           </div> <div style="width: 20%;">             17           </div> <div style="width: 20%;">             3           </div> <div style="width: 20%;">             2012           </div> <div style="width: 20%;">             月 MM<br/>年 YYYY           </div> </div>                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                                       |                                                                                          |                       |               |               |  |               |                          |                       |  |  |              |            |  |                   |                                                                                                       |        |  |  |
| 公司編號 Company Number<br><div style="border: 1px solid black; padding: 2px;">1574497</div>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                                                       |                                                                                          |                       |               |               |  |               |                          |                       |  |  |              |            |  |                   |                                                                                                       |        |  |  |
| 實收資本 Share Capital<br>實收資本必須填明。 Share capital must complete this.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                       |                                                                                          |                       |               |               |  |               |                          |                       |  |  |              |            |  |                   |                                                                                                       |        |  |  |
| 申報表 Return                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                                       |                                                                                          |                       |               |               |  |               |                          |                       |  |  |              |            |  |                   |                                                                                                       |        |  |  |
| <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th rowspan="2">姓名 / 名稱<br/>Name</th> <th rowspan="2">地址<br/>Address</th> <th colspan="2">股份 Shares</th> <th rowspan="2">備註<br/>Remarks</th> </tr> <tr> <th>現時持有量<br/>Current Holding</th> <th>轉讓 *<br/>Transferred *</th> </tr> <tr> <th colspan="2"></th> <th>數目<br/>Number</th> <th>日期<br/>Date</th> <th></th> </tr> </thead> <tbody> <tr> <td>FU ZHENHAI<br/>富振海</td> <td><div style="background-color: black; width: 150px; height: 20px;"></div><br/>Liaoning Province, China.</td> <td>10,000</td> <td></td> <td></td> </tr> </tbody> </table>                                                                                                                                                                                                                                             |                                                                                                       |                                                                                          | 姓名 / 名稱<br>Name       | 地址<br>Address | 股份 Shares     |  | 備註<br>Remarks | 現時持有量<br>Current Holding | 轉讓 *<br>Transferred * |  |  | 數目<br>Number | 日期<br>Date |  | FU ZHENHAI<br>富振海 | <div style="background-color: black; width: 150px; height: 20px;"></div><br>Liaoning Province, China. | 10,000 |  |  |
| 姓名 / 名稱<br>Name                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | 地址<br>Address                                                                                         | 股份 Shares                                                                                |                       |               | 備註<br>Remarks |  |               |                          |                       |  |  |              |            |  |                   |                                                                                                       |        |  |  |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                                                                       | 現時持有量<br>Current Holding                                                                 | 轉讓 *<br>Transferred * |               |               |  |               |                          |                       |  |  |              |            |  |                   |                                                                                                       |        |  |  |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                                                                       | 數目<br>Number                                                                             | 日期<br>Date            |               |               |  |               |                          |                       |  |  |              |            |  |                   |                                                                                                       |        |  |  |
| FU ZHENHAI<br>富振海                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | <div style="background-color: black; width: 150px; height: 20px;"></div><br>Liaoning Province, China. | 10,000                                                                                   |                       |               |               |  |               |                          |                       |  |  |              |            |  |                   |                                                                                                       |        |  |  |

Source: ICRIS website. Available from [www.icris.cr.gov.hk/csci/](http://www.icris.cr.gov.hk/csci/)

### 48.3. Liaosin Group

According to web archive records, Liaosin Group (辽新集团)'s home page (<http://www.liaosin.com>) included references to Dalian Super Science and Trade Co., Ltd. (大连斯贝尔科贸有限公司), Shenyang Regal Trading Co., Ltd. (沈阳富豪商贸有限公司) and Shenyang Plastic Product Co., Ltd. (沈阳富豪塑料制品有限公司). Liaosin Group had long-standing business relationships with various Democratic People's Republic of Korea companies. Dalian Super S&T principally advertised the manufacturing and sales of various valve products, remains active and advertises its business relationship with the Democratic People's Republic of Korea.

#### Archive record of the Liaosin Group website of 6 February 2011



辽新集团始建于1991年，总部位于大连中山路222-14-1。固定资产为360万美元。集国际、国内贸易、生产、销售于一体，下设大连辽新商贸有限公司、沈阳富豪商贸有限公司和沈阳富豪塑料制品有限公司三家子公司，并于2004年在朝鲜设立办事处。

集团拥有456名员工，其中18名为高级工程师，59名为工程师及技术人员，大专以上学历者为70%以上，是一支名副其实的高素质、高素质的队伍。

集团秉承“勤奋、合作、廉洁和进取”的精神，愿与各方贸易伙伴携手，共创新的辉煌。

欢迎广大客户光临网站。

随着网络科技的不断发展，信息给我们带来了全新的空间。这里是辽新集团的一个窗口，一道桥梁，让我们可以与大洋彼岸、五湖四海的客户无缝时空的沟通，彼此交流沟通，传情达意。

辽新集团始建于一九九一年，是大连新兴的具有高标准、高起点、高素质的现代化新型企业。在短时期内先后开发了大连辽新商贸有限公司、沈阳富豪商贸有限公司和沈阳富豪塑料制品公司等子公司，具有通晓国际、国内贸易能力，具备现代化发展态势。

作为一个年轻的企业，辽新集团任道而道远，展望未来，只有拼搏才能让理想发出火花，只有希望才能让未来发出光芒。因为拥有永不消逝的信念，未来我们将充满信心，我们将坚定信心，在这个瞬息万变的竞争社会中，在决定企业及个人生存发展的各种因素中，诚信最重要，对客户和合作伙伴，我们坚持以诚信的态度，将每一笔业务，宁可损失金钱，决不辜负信誉。

“乘风破浪会有时，直挂云帆济沧海”。所有辽新同仁将以这个百舸争流，千帆竞发的时代为舞台，以开拓进取的精神，怀着希望前行，为了理想奋斗。

我们衷心希望通过网络，进一步加深各位朋友对辽新集团的了解，并衷心期待辽新集团将成为大家更加信赖的窗口。

—— 成立沈阳富豪商贸有限公司，注册资金500万元，生产、销售各种家居装饰材料。

—— 成立沈阳富豪塑料制品有限公司（中外合资），注册资金1000万元，生产、销售各种塑料制品。

—— 成立大连辽新商贸有限公司，注册资金150万元，经营各种化工、金属、设备仪器、轻工纺织、塑料制品等产品的进出口。

—— 成立大连辽新商贸有限公司朝鲜平壤代表处。

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**Annex 49 – Reconnaissance General Bureau  
(STRICTLY CONFIDENTIAL)\***

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