



安全理事会

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安全理事会主席的说明

安全理事会在第 [2345\(2017\)](#) 号决议第 2 段中请第 [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。

因此，主席谨此分发专家小组提交的报告(见附件)。



附件

2018 年 3 月 1 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 2345(2017)号决议第 2 段，随信转递关于小组工作的最后报告。

后附报告已于 2018 年 2 月 1 日提交安全理事会第 1718(2006)号决议所设委员会，委员会于 2018 年 2 月 21 日审议了该报告。

请将此函及其附文提请安全理事会成员注意并作为安理会文件发布为荷。

安全理事会第 1874(2009)号决议
所设专家小组

协调员

休·格里菲思(签名)

专家

伯努瓦·康吉扬(签名)

专家

德米特里·基库(签名)

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宗佳虎(签名)

附文

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第 1874(2009)号决议所设专家小组的报告

摘要

2017 年，朝鲜民主主义人民共和国通过迄今最大规模的核试验、新的洲际弹道导弹和远程弹道导弹飞行试验，加紧开展先进的核相关和弹道导弹相关活动，并威胁在太平洋上空进行大气层核试验。安全理事会通过了四项决议来加强现有制裁，并采取了新的制裁措施，包括石油禁运和设定原油上限。专家小组最新调查显示，除了继续违反制裁和日益复杂的逃避制裁做法外，朝鲜民主主义人民共和国通过利用全球石油供应链、外国国民同谋、离岸公司注册和国际银行系统，一再藐视最近的各项决议。

专家小组调查了非法船到船石油转运情况，包括数百万美元的交易，驱动着一个由经纪人、包船公司以及不知情的全球商品贸易公司和石油供应商组成的国际网络。与此同时，朝鲜民主主义人民共和国 2017 年 1 月至 9 月继续出口决议禁止的几乎所有商品，赚取将近 2 亿美元的收入。朝鲜继续非法出口煤炭，混合使用欺骗性航行模式、操纵信号和转运以及伪造证件等办法掩盖煤炭来源。安全理事会第 1718(2006)号决议所设委员会已指认 7 艘船转运煤炭和石油，但会员国协调一致的努力对于遏制此类猖獗的非法活动至关重要。同时，更严厉的制裁措施为朝鲜民主主义人民共和国支持的贸易商设法采购石油和出口国内自然资源开辟了一个有利可图的市场。由于利润幅度大，加之大量涉事石油、海事和金融行业所具有的离岸性质，私营部门有必要大力加强尽职，信息共享和自我督察。

专家小组调查了朝鲜民主主义人民共和国从非洲到亚太地区的广泛军事合作项目，包括当前与阿拉伯叙利亚共和国和缅甸的弹道导弹合作、广泛的常规武器交易和偷窃军事机密的网络行动。专家小组调查显示，朝鲜民主主义人民共和国外交官继续在朝鲜违禁计划中发挥关键作用，尤其是贸易代表和使团为武器转让、军方技术人员和情报行动提供后勤支持，充当幌子掩护被指认的实体和个人，还违反各项决议和《维也纳外交关系公约》从事商业活动。

朝鲜民主主义人民共和国通过欺骗性做法结合金融制裁执行工作的重大缺陷，不断进入全球金融体系。包括被指认银行在内的朝鲜民主主义人民共和国金融机构有 30 多名海外代表派驻中东和亚洲，在那里享有跨境自由，掌管银行账户并协助大笔现金交易和买卖。企业服务方在执行金融制裁方面表现得非常脆弱，使朝鲜民主主义人民共和国得以在亚洲多个金融中心轻易建立幌子公司，利用非朝鲜民主主义人民共和国国民提供的协助，用幌子公司开设和维持账户，向世界各地划转资金。与外国公司组成的合资企业也通过与被指认的朝鲜民主主义人民共和国实体或利益方没有任何明显联系的海外公司赚取硬通货。金融调查结果突出表明，情报人员以及代表被指认实体行事的其他人十分活跃，他们操纵在欧洲和亚太地区的银行账户，使用外交护照和挂外交牌照的汽车从检查不那么严格的陆地和空中边界过境。

国际社会 2017 年对朝鲜民主主义人民共和国前所未有的核活动和弹道导弹

活动作出回应，采取了一系列新的措施，设法改变朝鲜 2018 年的行为和方向。但制裁制度的扩大尚未得到与之相匹配的、推动有效执行工作所必要的政治意愿、国际协调、优先排序和资源分配。2018 年可能是一个至关重要的机会之窗，如果错失机会，任何误判都有可能对国际和平与安全产生灾难性影响。

本报告提出一系列关于指认和其他实际措施的建议，以协助会员国和安全理事会应对挑战，克服缺点。

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一. 引言

1. 朝鲜民主主义人民共和国依照金正恩新年致辞所述加快完成国家核武力建设的意图，无视安理会的各项决议，2017 年 9 月 3 日进行了第六次核试验，还进行了 20 次弹道导弹发射，包括 3 次洲际弹道导弹发射。¹ 2017 年 11 月 29 日，金正恩在新的“火星 15”型洲际弹道导弹发射后宣布“完成国家核武力建设”。² 他在 2018 新年致辞中还表示，朝鲜民主主义人民共和国完成了“完善国家核武力事业”，并将之归功于“经济建设与加强核武并进(*Byongjin*)及其科学先行的构想”。³

2. 在国内，金正恩通过加强党对军队和行政部门的控制，进一步巩固其权力基础。2017 年，朝鲜劳动党 20 年来第一次对朝鲜人民军总政治局进行了政治审计。⁴ 金正恩 2017 年 9 月 3 日通过朝鲜劳动党中央委员会政治局常务委员会作出进行第六次核试验的正式决定。在 2017 年 10 月 7 日朝鲜劳动党第七届中央委员会第二次全体会议上，金正恩选定了朝鲜劳动党政治局新成员，重申坚持“并进”政策，同时再次强调通过“独立和自力更生”抵制制裁。⁵

3. 朝鲜民主主义人民共和国继续违反各项决议，进一步加深其外交和经济孤立。2017 年，几个会员国驱逐了朝鲜民主主义人民共和国大使，减少了派驻外交官人数，一些会员国还断绝或降低了与朝鲜的商业联系，此举往往是为了抗议朝鲜继续谋求实施大规模毁灭性武器计划和从事其他非法活动。然而，即使在主管政治事务副秘书长 2017 年 12 月访问朝鲜以及朝韩恢复对话，讨论参与 2018 年冬季奥林匹克运动会事宜后，朝鲜民主主义人民共和国仍表示“朝鲜民主主义人民共和国核武力不是政治和商业目的的谈判筹码”，朝鲜“将继续加强核武力。”⁶

4. 朝鲜民主主义人民共和国通过 2017 年进行核试验和洲际弹道导弹试验，似乎已在大规模毁灭性武器能力方面取得一些重大技术成就。没有迹象表明这些活动将停止，实现无核化和以和平方式化解局势的既定目标似乎越来越渺茫。朝鲜还继续谴责联合国对其人权记录采取的行动，包括大会通过了 2017 年 12 月 19 日第 72/188 号决议，鼓励安全理事会继续审议和讨论朝鲜民主主义人民共和国的人权状况。

5. 专家小组继续遭受一个尖端黑客运动的定向攻击，2017 年中期报告首次注意到这个情况。⁷ 在撰写本报告之时，该运动一再变本加厉，专家小组正在调查另

¹ 金正恩回顾去年成就，朝鲜中央通讯社(朝中社)，2017 年 1 月 1 日。

² “朝鲜政府关于成功试射新型洲际弹道导弹的声明”，朝中社，2017 年 11 月 29 日。

³ “金正恩新年致辞”，《劳动新闻》，2018 年 1 月 1 日。

⁴ “北朝鲜 20 年来第一次对军队进行政治审计”，《韩民族报》，2017 年 11 月 21 日。

⁵ 朝鲜劳动党第七届中央委员会第二次全体会议，朝中社，2017 年 10 月 8 日。

⁶ “朝鲜的核威慑保障和平”，《劳动新闻》，2018 年 1 月 12 日。

⁷ 该运动已持续数年(S/2017/742，脚注 1)。

一次袭击。微软公司确认，这次袭击为一个“与民族国家有关的”威胁行为团体所为，⁸ (附件 1)，联合国断定 2017 年 10 月发现的各次袭击“可能与先前 2017 年 5 月的事件有联系，并显示对手攻击行为所具有的持续性和坚韧决心(见附件 2)。” 专家小组正在调查这些案件，并认为战略性“网络钓鱼”、被选定转发的电子邮件和这个运动所具有的破坏性，就是规避制裁。

建议

6. 根据最新决议提出的关于向专家小组提供更多资源的要求，专家小组建议安全理事会请秘书长采取具体措施，加强实体安全、信息安全、行政支助和其他相关资源。

二. 弹道导弹和大规模毁灭性武器计划

发射

7. 2017 年 8 月至 2018 年 1 月，朝鲜民主主义人民共和国发射了两次“火星-12”型远程弹道导弹(飞越日本)和一次“火星-15”型洲际弹道导弹(表 1)。发射洲际弹道导弹后，金正恩宣布朝鲜完成了“国家核武力建设”。⁹ 但更可能的是，朝鲜民主主义人民共和国未能验证其洲际弹道导弹核载荷再入大气层的生存能力。

表 1
2017 年 8 月至 2018 年 1 月弹道导弹发射

日期	类型	数目	据报发射地点	据报飞行距离(公里)	备注
8 月 26 日	飞毛腿导弹或变式 飞毛腿导弹	3	旗对岭	250	1 或 2 次故障报告
8 月 29 日	火星-12	1	顺安	2 700	飞越日本
9 月 15 日	火星-12	1	顺安	3 700	飞越日本
11 月 29 日	火星-15	1	平城	950	远地点 4 475 公里

8. 两次远程弹道导弹发射(图 1)指定由金正恩领导的朝鲜人民军战略部队负责，金正恩曾指出，这两次发射是为了证实“中远程战略弹道火箭的实际作战能力”。¹⁰ 他在第二次试验后断言，“火星-12 的作战效率和可靠性得到完全验证”。¹¹

⁸ 见附件 1(微软公司的报告，2017 年 11 月 20 日)。
⁹ “金正恩指导火星-15 试射”，朝鲜中央通讯社(朝中社)，2017 年 11 月 29 日。
¹⁰ “金正恩指导朝鲜人民军战略部队战略弹道火箭发射演习”，朝中社，2017 年 8 月 30 日。
¹¹ “金正恩指导火星-12 再次发射演习”，朝中社，2017 年 9 月 16 日。

图一

8月29日火星-12的发射(左)和9月15日的发射(右)



资料来源：朝鲜中央通讯社(朝中社)。

9. 2017年11月29日，朝鲜民主主义人民共和国成功发射一枚新的洲际弹道导弹“火星-15”，这是弹道导弹计划的一个重大里程碑。这次发射与7月的两次“火星-14”发射相似，采用了大仰角弹道。导弹飞行大约53分钟后落入日本专属经济区。¹²

10. 火星-15是使用液体燃料的两级弹道导弹，一级火箭装有双发动机。该导弹由一个以前从未发现的9轴卡车运载。火星-15似乎是朝鲜有史以来试验过的最远程弹道导弹(图2)。¹³ 尽管朝鲜民主主义人民共和国声称，火星-15“能够携带超重核弹头，攻击美国本土全境”，¹⁴ 但专家小组仍在收集其确切性能的资料。¹⁵

¹² 日本防卫省，朝鲜发射导弹(第二次)，新闻稿，2017年11月29日。

¹³ 业务卫星应用项目(卫星)项目使用朝中社的图像进行了分析，判定导弹直径大约2.5米，长度大约20.5米。

¹⁴ “金正恩指导火星-15试射”，朝鲜中央通讯社(朝中社)，2017年11月29日。

¹⁵ 大韩民国国防部2017年12月1日的声明指出，“如以正常角度发射，射程能够达到13000多公里”。就射程而言，尚不清楚2017年11月29日试射载荷是否与有效载荷量相类似。

图二

2017 年 11 月 29 日火星-15 发射



资料来源：朝中社。

11. 就洲际弹道导弹载荷再入大气层的能力而言，有一个会员国表示，尚不清楚第一次洲际弹道导弹试验(2017 年 7 月 4 日的火星-14 发射)是否成功，但可以认为第二次洲际弹道导弹试验的再入飞行器发生了解体(2017 年 7 月 28 日的火星-14 发射)。2017 年 11 月 29 日再入飞行器发射据说也失败了。关于再入技术，专家小组注意到，大韩民国国防部关于 2017 年 11 月 29 日试射的声明表示这次发射“不具备核弹头再入大气层、精确制导或用于作战的能力”。¹⁶

试验场的活动

12. 火星-12 和火星-14 一级火箭似乎仍由同样液体燃料发动机和四个辅助发动机提供动力，2017 年 3 月 18 日曾在西海发动机测试台对这种发动机进行过测试(图三)。金正恩再次督导测试活动，称之为新型“高推力发动机”测试。¹⁷

13. 考虑到火星-10 发动机不可靠，这种新发动机是一个重大改变，使朝鲜民主主义人民共和国得以迅速获得可靠的远程弹道导弹和洲际弹道导弹能力。

¹⁶ 同上。

¹⁷ “金正恩观看新研发的高推力发动机地面喷气测试”，朝鲜中央通讯社，2017 年 3 月 19 日。

图三

火星-14 发动机(左)、火星-12 发动机(右)和 2017 年 3 月 18 日测试的新型发动机(下)



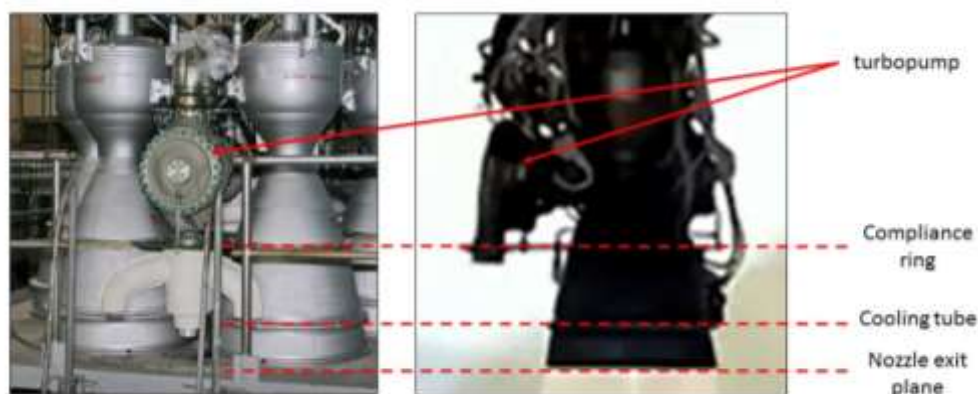
资料来源：朝中社。

14. 据一个会员国称，这种发动机可能源自苏联时代的 RD-250 双燃室发动机 (图 4)。RD-250 由“Energomash 科研生产联合体”(现在俄罗斯联邦)设计，1965 年将系列生产所需文件移交尤日诺耶国家设计局和尤兹马什制造联合体(目前在乌克兰)。乌克兰向专家小组证实，朝鲜民主主义人民共和国发动机很可能含有上述发动机的单独零部件，并使用了同样的推进剂化学成分(四氧化二氮(NTO)和偏二甲肼(UDMH))。根据美国向专家小组提供的信息，“美利坚合众国情报界公开表示，‘我们有情报表明北朝鲜并不依赖进口发动机。相反，我们判断他们有能力自己生产发动机’”。

15. 乌克兰告知专家小组，所有适于飞行用途的 RD-250 发动机都作为导弹或运载火箭的一部分交给了苏维埃社会主义共和国联盟俄罗斯苏维埃联邦社会主义共和国和后来的俄罗斯联邦。RD-250 发动机于 1991 年停产，生产线于 1994 年拆除。乌克兰表示，尤日诺耶国家设计局和尤兹马什制造联合体“从未尝试与苏维埃社会主义共和国联盟建立关系，也未签订合同或缔结关系”。乌克兰还告知专家小组，“生产导弹技术和零部件的设计、制造和其他文件都可靠地储存在配备专门设施的场所”。

图四

RD-250 发动机(左)与朝鲜民主主义人民共和国发动机(右)对比



资料来源：专家小组。

16. 尤日诺耶国家设计局和尤兹马什制造联合体的专家表示，“在没有设计图纸和技术支持的情况下，不可能两年内完成原有发动机现代化，也不可能在原有发动机基础上创造出新型发动机”。俄罗斯联邦联邦会议联邦委员会国防和安全委员会第一副主席 Franz Klintzevich 表示，“乌克兰专家多年来一直在与朝鲜民主主义人民共和国进行合作”。¹⁸ 专家小组与俄罗斯联邦取得联系，要求就这一说法提出佐证，以及涉事人姓名和护照信息，但没有收到答复。乌克兰告知专家小组，“乌克兰一直在跟踪航空航天工业公司雇员出国旅行情况”。

近期的核相关活动

2017 年 9 月 3 日核试验

17. 朝鲜民主主义人民共和国核武器研究所 2017 年 9 月 3 日指出，朝鲜“成功进行了可由洲际弹道导弹运载的氢弹测试”。¹⁹ 全面禁止核试验条约组织(禁核试组织)筹备委员会在上一次试验地点附近(丰溪里)发现了“异常地震活动”(图 5)。²⁰ 6.07 级地震表明这是迄今进行的最大试爆。²¹ 虽然装置类型尚待证实，但据两个会员国估计，当量超过了 100 千吨。²² 发生了几次余震，这一情况符合高当量爆炸规律，表明试验场受到更大损害。然而，挖掘工作在试验后继续进行，显然是为了保持场地待命状态。

¹⁸ 联邦通讯社 2017 年 8 月 16 日刊文。

¹⁹ “朝鲜核武器研究所谈成功进行可由洲际弹道导弹运载的氢弹试验”，朝中社，2017 年 9 月 3 日。

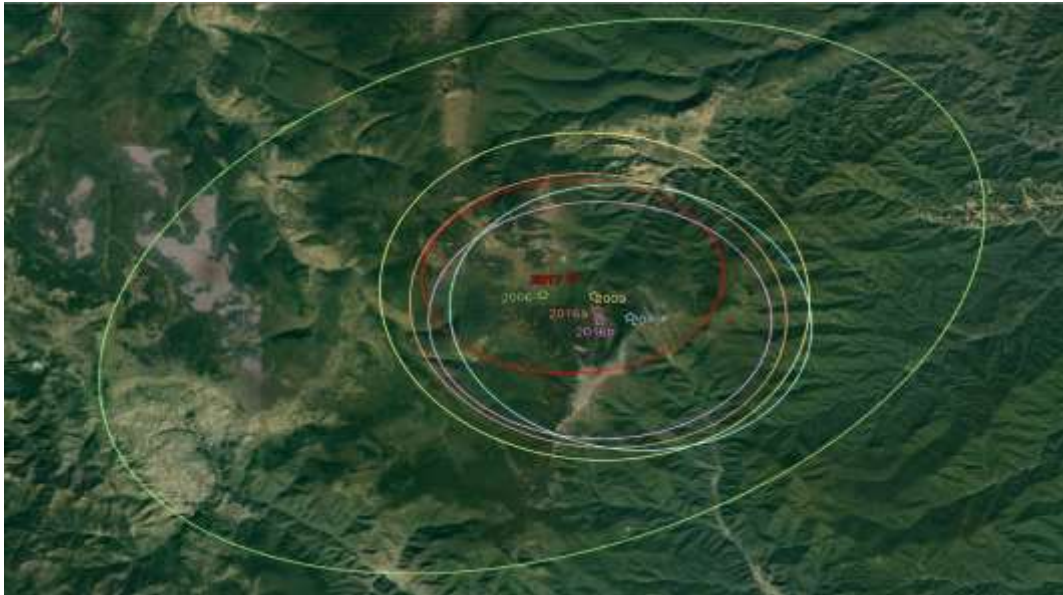
²⁰ 全面禁止核试验条约组织(禁核试组织)，“禁核试组织执行秘书 Lassina Zerbo 谈测到朝鲜民主主义人民共和国异常地震事件”，禁核试组织，2017 年 9 月 3 日。

²¹ 以往试验的震级(禁核试组织)：5.10(2016 年 9 月)、4.82(2016 年 1 月)、4.92(2013 年)、4.51(2009 年)和 4.08(2006 年)。

²² 日本估计当量为 160 千吨(防卫大臣小野，2017 年 9 月 6 日)，法国则向专家小组报告称，估计当量超过 100 千吨。日本国也指出，氢弹的可能性“不能排除”。

图五

试验场估计范围：2006 年(绿)、2009 年(黄)、2013 年(蓝)、2016 年 1 月(橙)、2016 年 9 月(粉)和 2017(红)



资料来源：禁核试组织。

持续活动和基础设施扩建

18. 据朝中社报道，2017 年 9 月 3 日金正恩提出“核武器化指导”，展示了一个金属物体和装置(图六)。一个会员国评估指出，这个物体似乎是一个核装置模型，外部特征与热核装置有关联。

图六

金正恩视察的物体，背景有导弹弹头图像



资料来源：朝中社。

19. 在 2017 年 8 月的报告中,国际原子能机构(原子能机构)表示有迹象表明启用了 5MW(e)反应堆。²³ 此外,一个会员国告诉专家小组,除了 5 月和 9 月的两个短暂时段外,该反应堆 2017 年全年持续运行。原子能机构还在平山铀矿和浓缩厂观察到采矿、研磨和浓缩活动。²⁴

20. 包括轻水反应堆在内的宁边核设施也在继续进行进一步建造和翻新活动。²⁵ 一个会员国发现 2017 年 5 月和 9 月水排放区温度可能有所上升,并评估指出朝鲜民主主义人民共和国可能在这两个时段进行了试车。

核武器研究所

21. 核武器研究所在核研发中的主要作用通过由它宣布最后两次核试验得到证明。²⁶ 两个会员国指出,研究所隶属于被指认的军需工业部,²⁷ 研究所所长是已被指认的宁边核研究中心前主任李洪燮。

建议

22. 专家小组建议委员会更新现有被指认个人和实体清单如下:

(a) 李弘燮(KPi.004):

头衔: 核武器研究所所长

(b) 军需工业部(KPe.028)

其他信息: 军需工业部监督朝鲜民主主义人民共和国核计划。核武器研究所隶属军需工业部。

(c) 指认以下实体参与朝鲜民主主义人民共和国核相关计划

名称: 核武器研究所

别名: 不详

地址: 朝鲜民主主义人民共和国

其他信息: 核武器研究所由李弘燮领导参与朝鲜民主主义人民共和国核计划。该研究所隶属军需工业部。

²³ 国际原子能机构(原子能机构),“朝鲜民主主义人民共和国境内的保障监督, GOV/2017/36-GC(61)/21 号文件。

²⁴ 同上。

²⁵ 同上。

²⁶ 见 S/2017/150, 第 17 段。

²⁷ 见 S/2017/150, 第 50 段。

其他大规模毁灭性武器计划

23. 关于暗杀金永南²⁸ 的审判于 2017 年 10 月 1 日在马来西亚沙阿兰高等法院开庭，本报告编写之时仍在进行中。在公开庭审中，对金进行尸检的一名医生作证称，死因是“急性 VX 神经毒剂中毒”。²⁹ 法院听取了证词并检查了与 2 名在押女性嫌疑人有关的证据，根据马来西亚警察调查报告，她们在受害人脸上涂抹了 VX 毒剂前体，4 名朝鲜民主主义人民共和国男性嫌疑人依然在逃。³⁰

24. 马来西亚警署首席案件调查员作证说，朝鲜民主主义人民共和国大使馆官员 Hyon Kwang Song 和高丽航空公司代表 Kim Uk Il 于袭击发生后一小时内吉隆坡国际机场会见了 4 名朝鲜民主主义人民共和国嫌疑人中的 3 人。他还说，高丽航空公司的代表³¹ 在机场登机签到柜台为这 3 名嫌疑人提供协助并安排第 4 名嫌疑人乘坐不同航空公司航班离开马来西亚。³² 法院证词还显示，第 5 名朝鲜民主主义人民共和国嫌疑人“Ri Ji U” (别名“James”，见附件 3)也参与作案。

25. 大会 2017 年 12 月 4 日第 72/43 号决议重申禁止化学武器组织执行理事会在其 2017 年 3 月 9 日 EC-84/DEC.8 号决定中所表达的严重关切，即严重关切根据马来西亚政府的声明，有人在“2017 年 2 月 13 日吉隆坡国际机场 2 号航站楼的一次致命事件”中使用了化学武器(附表 1 所列神经毒剂 VX)。专家小组已要求马来西亚提供所有相关信息，但尚未收到答复。调查仍在进行之中。

氰化钠的专利申请

26. 媒体报道称，世界知识产权组织(知识产权组织)网站上有一个题为氰化钠生产工艺的朝鲜民主主义人民共和国专利申请(附件 3-1)，专家小组随后展开调查。氰化钠是安全理事会指认的化学武器前体(包括神经毒剂塔崩)(见 S/2006/853，第 4 页，第 143-33-9 号)。此外，安理会第 2270(2016)号决议指出，“朝鲜民主主义人民共和国须放弃所有化学和生物武器和武器相关计划”，并促请朝鲜民主主义人民共和国加入《关于禁止发展、生产、储存和使用化学武器及销毁此种武器的公约》。

27. 专家小组要求知识产权组织提供有关朝鲜民主主义人民共和国专利申请、列名发明人及其从属实体的详细信息。知识产权组织虽然提供了一份关于专利申请程序的说明，但无法提供发明人从属实体情况，因为专利申请表格不要求填写这

²⁸ 2017 年 10 月 8 日，富士电视台报道称，朝鲜民主主义人民共和国驻马来西亚大使馆官员 Yu Kim Song 承认暗杀被害人就是金永南(2017 年 2 月 13 日，布特拉加亚医院)。

²⁹ “医生：金永南内衣有污迹，瞳孔放大”，美联社，2017 年 11 月 27 日。

³⁰ Ri Jae Nam、Hong Ji Hac、Ri Song Hyon 和 O-Jong Gil(S/2017/742，附件 6)。

³¹ 马来西亚 2016 年 8 月国家执行情况报告指出，高丽航空公司飞往吉隆坡的最后一个航班是在 2014 年 6 月 8 日，此后所有航班都被禁止飞越。专家小组已要求马来西亚提供有关高丽航空公司的代表在吉隆坡活动情况的资料。

³² “机场视频显示朝鲜大使馆官员与金永南谋杀案嫌疑人在一起”，路透社，2017 年 11 月 6 日。

个信息。专家小组注意到，这就无法确定朝鲜民主主义人民共和国发明人是否从属于任何被指认的实体。

28. 专家小组获悉，虽然知识产权组织依据《专利合作条约》受理申请，但专家小组认为，根据安全理事会第 2087(2013)号决议第 11 段，知识产权组织本应与委员会联系，以确保在处理与安全理事会所禁止的物质生产有关的朝鲜民主主义人民共和国专利申请时遵循决议各项规定。专家小组建议知识产权组织向委员会通报今后与决议所禁止的任何物项、物质或技术有关的朝鲜民主主义人民共和国专利申请。

29. 除了知识产权组织的标准程序，即对照联合国制裁清单核对专利申请表格上的姓名外，专家小组还建议知识产权组织在申请表中纳入一个必填栏目，用于填写朝鲜民主主义人民共和国发明人从属实体，包括有关地址、电话和传真号码以及所隶属的政府部委或机构。

30. 知识产权组织告诉专家小组，一个 2017 年被指认的实体万寿台创作社 2008 年申请了一项专利(附件 3-2)。由于被安全理事会指认的实体可以直接向国家或区域专利局提出专利申请，专家小组建议会员国责成本国专利局检查名单中是否有任何申请人和发明人被指认，以确保收取专利申请办理费用不违反决议的相关财务规定。

三. 产业制裁

31. 为了根据第 2270(2106)号决议第 30 段、第 2321(2016)号决议第 26 和 28 段、第 2371(2017)号决议 8、9 和 10 段以及第 2375(2017)号决议第 13、14 和 15 段监测朝鲜民主主义人民共和国出口情况，专家小组按照附件 4 开列的协调制度编码，分析了会员国向联合国商品贸易统计数据库(商品贸易数据库)和国际贸易中心(国贸中心)贸易地图编制机构报告的、或通过商业全球贸易数据库获得的海关数据。³³ 根据这些统计数字，2017 年 1 月至 9 月，朝鲜民主主义人民共和国继续出口违禁商品，赚取了 1.77 亿美元收入。然而，这个数字不包括会员国未发现或未向联合国商品贸易数据库、全球数据库或委员会报告的、或有意无意错报为从朝鲜民主主义人民共和国以外第三国进口的违禁朝鲜商品进口。这些出口在朝鲜煤炭收入之外至少增加了 1 900 万美元。

32. 专家小组调查了朝鲜民主主义人民共和国向至少 4 个东南亚会员国出口煤炭的 30 多起案件，包括涉及通过俄罗斯远东港口转运煤炭的几个案件。在转运煤

³³ 虽然自 2016 年 9 月以来安全理事会就产业制裁通过了三项新的决议，但它没有具体说明所列矿物的相应协调制度编码。因此，专家小组使用与其最后两份报告相同的方法，咨询了世界海关组织(海关组织)，以更新其协调制度编码工作清单，纳入第 2371(2017)和 2375(2017)号决议所载新的制裁物项。由于专家小组年度报告的是 2017 年度 1 月至 9 月的数据，所以下表所列部分数据被列入中期报告。由于误将韩国进口标示为朝鲜进口等多项错报，专家小组对这些商品的监测工作变得十分复杂。

炭过程中，朝鲜民主主义人民共和国结合使用了多种规避制裁技巧、路线和欺诈性航运策略，包括操纵自动识别系统、无定向航行、偏离航线和伪造文件。

33. 专家小组还调查了船到船转运石油产品违反第 2375(2017)号决议第 11 和 14 段的案件，认定这些船只背后的网络主要位于中国台湾省，从属公司在马绍尔群岛和英属维尔京群岛注册，船籍属于多米尼克、香港、巴拿马和塞拉利昂。专家小组还在调查几家多国石油公司在向朝鲜民主主义人民共和国转移石油产品供应链中所起的作用。

来自全球贸易数据库的数据

铁和钢铁产品

表 2

2017 年 1 月至 9 月从朝鲜民主主义人民共和国进口钢铁(HS 72)的国家

(图内单位：美元)

进口国	1 月	2 月	3 月	4 月	5 月	6 月	7 月	8 月	9 月	共计
巴巴多斯		317 365								317 365
多民族玻利维亚国				40 277						40 277
智利					35 027					35 027
中国	4 808 558	5 304 064	5 195 531	6 432 072	8 116 003	6 645 224	6 700 016	6 947 599	2 300 199	52 449 266
哥斯达黎加	36 762	106 468	89 264							232 494
萨尔瓦多	249 493		30 453	21 975	2 560			11 411		315 892
印度 ^a	220 285		112 380	108 011	79 562	51 091	69 577	281 000	487 000	1 408 906
爱尔兰	17 280									17 280
墨西哥		11 792			24 573	6 965				43 330
巴基斯坦	1 414 610	1 697 461	1 739 059							4 851 130
菲律宾				1 062 947	994 948	248 000				2 305 895
俄罗斯联邦 ^b						167 953				167 953
共计	6 746 988	7 437 150	7 166 687	7 665 282	9 252 673	7 119 233	6 769 593	7 240 010	2 787 199	62 184 815

资料来源：联合国商品贸易数据库、国际贸易中心贸易地图和全球贸易图册。

说明：如果两个来源之间的同月数据有差异，专家小组通常使用两个数字中的较低数字。专家小组已致函所有相关会员国，要求提供补充资料。

^a 2017 年 7 月 14 日印度的信(S/2017/742，附件 36)。

^b 俄罗斯联邦告诉专家小组，该交易依照第 2321(2016)号决议第 26(c)段享有豁免。

34. 2017 年 1 月至 9 月，朝鲜民主主义人民共和国向以下国家出口价值总共 62 184 815 美元钢铁(协调制度编码 72)：巴巴多斯、玻利维亚多民族国、智利、中国、哥斯达黎加、萨尔瓦多、印度、爱尔兰、墨西哥、巴基斯坦、菲律宾和俄罗斯联邦。2017 年 9 月 4 日后所有出口均违反第 2371(2017)号决议第 8 段，而

2017 年 9 月 4 日前的出口则违反第 2321(2016)号决议第 26 段，除非依照同一决议第 26(c)段享有豁免。

表 3

2017 年 1 月至 9 月从朝鲜民主主义人民共和国进口钢铁产品(HS 73)的国家

(美元)

进口国	1 月	2 月	3 月	4 月	5 月	6 月	7 月	8 月	9 月	共计
中国		15 105	240		16	3 855		45 190	420	64 826
哥伦比亚		17 173		29 232	18 827					65 232
哥斯达黎加					6 677		118 502	64 216		189 395
加纳	363 654	966 318	5 810 890	189 159	59 868					7 389 889
印度 ^a	9 748	4 227	95 047	19 809	63 384	4 859	11 685	5 000	21 000	234 759
墨西哥	10 942	11 890	9 585	6 646	17 924	21 320	13 042			91 349
莫桑比克				2 000	17 000					19 000
尼加拉瓜							907 698	19 526	633 956	1 561 180
菲律宾				6 381			145 795			152 176
俄罗斯联邦 ^b				16 297	176 257					192 554
泰国				6 208	3 454	19 987		5 380	10 520	45 549
共计	384 344	1 014 713	5 915 762	275 732	363 407	50 021	1 196 722	139 312	665 896	10 005 909

资料来源：联合国商品贸易数据库、国际贸易中心贸易地图和全球贸易图册。

^a 2017 年 7 月 14 日印度的信(S/2017/742，附件 36)。

^b 俄罗斯联邦告诉专家小组，该交易依照第 2321(2016)号决议第 26(c)段享有豁免。

35. 2017 年 1 月至 9 月，朝鲜民主主义人民共和国向以下国家出口总共 10 005 909 美元钢铁产品(协调制度编码 73)：中国、哥伦比亚、哥斯达黎加、加纳、印度、墨西哥、莫桑比克、尼加拉瓜、菲律宾、俄罗斯联邦和泰国。2017 年 9 月 4 日前所有出口均违反第 2321(2016)号决议第 26 段，除非依照第 26(c)段享有豁免。此后所有出口则违反第 2371(2017)号决议第 8 段。

铁矿石

表 4

2017 年 1 月至 9 月从朝鲜民主主义人民共和国进口的铁矿石(HS 2601)

月份	进口国	价值 (美元)	数量(公斤)
1 月	中国	10 770 987	168 266 111
2 月	中国	10 865 501	165 743 540
3 月	中国	19 153 140	259 477 204
4 月	中国	20 260 043	285 490 000
5 月	中国	13 391 114	233 507 851
6 月	中国	11 512 741	
7 月	中国	9 194 639	
8 月	中国	8 195 365	
9 月	中国	54 638	
共计		103 398 168	1 112 484 706

资料来源：全球贸易图册。

36. 2017 年 1 月至 9 月,朝鲜民主主义人民共和国总共向中国出口价值 103 398 168 美元的 1 112 484 706 公斤铁矿石(协调制度编码 2601)。2017 年 9 月 4 日前的出口违反了第 2321(2016)号决议第 26 段, 除非依照同一决议第 26(c)段享有豁免。2017 年 9 月 4 日后任何出口则违反第 2371(2017)号决议第 8 段。

银

表 5

2017 年 1 月至 9 月从朝鲜民主主义人民共和国进口的银矿石和精矿(HS 261610)

月份	进口国	价值 (美元)	数量(公斤)
1 月	中国	43 560	109 627
2 月	中国	57 136	128 730
3 月	中国	24 488	61 149
4 月-9 月		0	0
共计		125 184	299 506

资料来源：全球贸易图册。

37. 2017 年 1 月至 3 月,朝鲜民主主义人民共和国违反第 2321(2016)号决议第 28 段, 总共向中国出口价值 125 184 美元的 299 506 公斤银矿石和精矿。2017 年 4 月至 9 月无进口报告。

铜及铜矿石和精矿

表 6

2017 年 1 月至 9 月从朝鲜民主主义人民共和国进口的铜(HS 74)

月份	进口国	价值 (美元)	数量(公斤)
4 月	墨西哥	6 592	
5 月	印度	6 021	
6 月	墨西哥	1 268	
	印度	37 976	
7 月	墨西哥	13 990	
8 月	印度	47 000	
	墨西哥	109 079	
9 月	印度	152 000	
共计		373 926	

资料来源：联合国商品贸易数据库、国际贸易中心贸易地图和全球贸易图册。

38. 2017 年 1 月至 9 月，朝鲜民主主义人民共和国违反第 [2321\(2016\)](#) 号决议第 28 段，总共向印度和墨西哥出口价值 373 926 美元的铜(协调制度编码 74)。

表 7

2017 年 1 月至 9 月从朝鲜民主主义人民共和国进口的铜矿石和精矿(HS 2603)

月份	进口国	价值 (美元)	数量(公斤)
1 月	中国	97 826	500 882
2 月	中国	2 371	44 860
3 月-9 月		0	0
共计		100 197	545 742

资料来源：全球贸易图册。

39. 2017 年 1 月和 2 月，朝鲜民主主义人民共和国违反第 [2321\(2016\)](#) 号决议第 28 段，总共向中国出口价值 100 197 美元的 545 742 公斤铜，包括铜矿石和精矿(2603)。2017 年 3 月至 9 月无进口报告。

表 8

2017 年 1 月至 9 月从朝鲜民主主义人民共和国进口的锌和锌制品(HS 79)

月份	进口国	价值 (美元)	数量(公吨)
1 月	印度 ^a	526 018	
2 月-9 月		0	
共计		526 018	—

资料来源：联合国商品贸易数据库和全球贸易图册。

^a 2017 年 7 月 14 日印度的信(S/2017/742，附件 36)。

40. 2017 年 1 月，朝鲜民主主义人民共和国违反第 2321(2016)号决议第 28 段，总共向印度出口价值 526 018 美元的锌(HS 79)。2017 年 2 月至 9 月无进口报告。

表 9

2017 年 1 月至 9 月从朝鲜民主主义人民共和国进口的锌矿石(HS 2608)

月份	进口国	价值 (美元)	数量(公吨)
1 月	中国	65 653	173
2 月	中国	590 469	2 193
3 月	中国	24 575	49
4 月-9 月		0	0
共计		680 697	2 415

资料来源：全球贸易图册。

41. 2017 年 1 月至 3 月，朝鲜违反第 2321(2016)号决议第 28 段，总共向中国出口价值 680 697 美元的 2 415 公吨锌矿石。2017 年 4 月至 9 月无进口报告。

表 10

2017 年 1 月至 9 月从朝鲜民主主义人民共和国进口的镍(HS 75)

月份	进口国	价值 (美元)	数量(公吨)
1 月	中国	42 000	4
2 月-9 月		0	
共计		42 000	4

资料来源：全球贸易图册。

42. 2017 年 1 月，朝鲜民主主义人民共和国违反第 2321(2016)号决议第 28 段，总共向中国出口价值 42 000 美元的镍。2017 年 2 月至 9 月无进口报告。

向委员会报告的从朝鲜民主主义人民共和国进口的煤

煤

表 11

2017 年 1 月至 9 月, 会员国向委员会报告从朝鲜民主主义人民共和国进口的煤(HS 2701)

月份	价值 (美元)	数量(公斤)
1 月	126 390 037.84	1 441 985.60
2 月	104 590 640	1 232 000
3 月	575 219.40	6 342
8 月	138 000 000 ^a	1 637 000
9 月	44 000 000 ^b	511 000
共计	413 555 897.24^c	4 828 327.60

资料来源：会员国向委员会提出的报告。

^a 委员会决定使用中国提供的价格计算 2017 年 8 月所列价值。专家小组计算的 2017 年 8 月平均价格(均值)为 97.95 美元, 总价值为 160 344 150 美元。

^b 委员会使用中国提供的价格计算 2017 年 9 月所列价值。专家小组计算的 2017 年 9 月的平均价格(均值)为 102.04 美元, 总价值为 52 142 440 美元。

^c 1 月和 2 月总交易值是专家小组按平均价格计算, 而 8 月和 9 月总交易值则按中国向委员会提供的价格计算。

43. 根据会员国提交给委员会的报告, 2017 年 1 月至 9 月朝鲜民主主义人民共和国出口煤炭(协调制度编码 2701)共计 413 555 897.24 美元, 超过第 2321(2016)号决议第 26(b)段规定的 400 870 018 美元上限 12 685 879.24 美元。但下一节包括至少 15 起朝鲜民主主义人民共和国在 2017 年 8 月 5 日之前交付煤炭但没有根据决议规定向委员会报告的案件。

朝鲜民主主义人民共和国在 2017 年 8 月 5 日之前进行的未向委员会报告的煤炭出口

44. 除上述情况外, 专家小组还调查了 2017 年 1 月至 11 月朝鲜民主主义人民共和国运往包括中国、马来西亚、大韩民国、俄罗斯联邦和越南等国港口的 30 多批煤炭。关于所有这些货物的详细资料载于两个表格(见附件 5-1)。这些表格细分为 2017 年 1 月至 8 月 4 日交付的煤炭, 以及在 2017 年 8 月 5 日后推出全面煤炭禁令的第 2371(2017)号决议通过之后交付的煤炭(附件 5-2)。

45. 关于 2017 年 8 月 5 日前向中国、马来西亚、俄罗斯联邦和越南装运煤炭的表格, 只有马来西亚向委员会报告了一批货物的内容。³⁴ 所有其他货物均违反

³⁴ 在 2017 年 5 月 1 日的普通照会(ref. HA59/17)中, 马来西亚向委员会报告 2017 年 3 月进口了 6 342 公吨朝鲜民主主义人民共和国煤炭。这一数额与媒体报道的 2017 年 3 月 24 日“Kum Ya”号船在槟榔屿卸载的煤炭量吻合(更多详情, 见以上表 11)。

了第 2321(2016)号决议第 26 段要求会员国进行报告的规定。在大多数情况下，这是因为运煤伪造文件显示原产地是朝鲜以外其他国家。出于这一原因，上文计算的超过上限的朝鲜煤炭出口并没有全面反映情况。

在第 2371(2017)号决议推出全面禁令之后的朝鲜民主主义人民共和国煤炭出口

46. 如果得到确认，那么表中所列在第 2371(2017)号决议通过后交付给中国、马来西亚、大韩民国、俄罗斯联邦和越南的所有货物均构成对决议的违反。3 月，朝鲜民主主义人民共和国还试图在向泰国运送货物，但合同被取消，“Tai An”号船随后改航到越南的头顿港。³⁵ 在许多情况下，所附文件表明，原产地是朝鲜民主主义人民共和国以外的其他国家，包括俄罗斯联邦和中国(附件 5-1 和 5-2)。接下来的两节探讨违禁转运交易背后的网络以及用于规避制裁的规避模式。

网络

47. 应对违反煤炭禁令行为负责的外商网络通过在多个法域注册的大量幌子公司开展活动，专家小组先前调查过其中一些公司。幌子公司在澳大利亚、英属维尔京群岛、中国大陆和香港、马绍尔群岛、萨摩亚、塞舌尔和联合王国注册，但实际上设在不同国家和地区，包括澳大利亚、中国大陆、香港、中国台湾省和新加坡。

48. 美信贸易有限公司(Maison Trading Ltd.)使用附件 5 所列船只运送了至少四批货物，它是丹东诚泰贸易公司(别名丹东至诚金属材料有限公司)的一家幌子公司，曾因洗钱遭到某会员国的起诉(见附件 6-1)。³⁶ 澳洲博澳集团公司(Bright Australia)是一家在澳大利亚注册的房地产开发商，该公司承包将朝鲜民主主义人民共和国煤炭运往越南的业务。货运单据声称俄罗斯联邦纳霍德卡港是原产地，但船只从未在那里停靠(经俄罗斯联邦证实)(见附件 6-2)。根据澳大利亚提供的资料，澳大利亚正在调查该公司及其董事 Livia Wang。另一家将朝鲜民主主义人民共和国的煤炭运往越南的一家瑞典船运公司谎报俄罗斯联邦为原产地，而位于中国台湾省的一家公司则为该原产地提供了假证明(见附件 6-3)。

运煤船只的规避制裁模式

49. 在调查上述煤炭货运时，专家小组发现普遍混合使用了多种规避伎俩，包括间接路线、绕道、无定向航行、伪造文件、通过第三国转运、操纵自动识别系统信号和目的地/预计抵达时间以及修改船只的船级、长度和吃水。使用这些伎俩是为了模糊实际路线、掩盖港口停靠和造成煤炭在朝鲜民主主义人民共和国以外港

³⁵ 该船的文件声称，煤炭的原产地是天津，而实际上该船是在 2017 年 3 月 5 日至 7 日在南浦装货。一家泰国公司与另一家泰国进口公司订立了进口 8 000 公吨无烟煤的合同，但另一家由一名朝鲜国民担任代表的进口企业 Star Bravo 公司打算在 2017 年 3 月 20 日至 30 日进口 26 265 公吨，发送到西昌岛。

³⁶ 美利坚合众国诉 2017 年 8 月 22 日与丹东诚泰贸易有限公司等有关的 4 083 935.00 美元。马绍尔群岛告知专家小组，美信贸易有限公司的注册已于 2017 年 10 月 30 日被撤销（注册时间为 2016 年 9 月 20 日），该公司使用一个中国的银行账户。中国告知小组，美信贸易有限公司没有在中国注册。

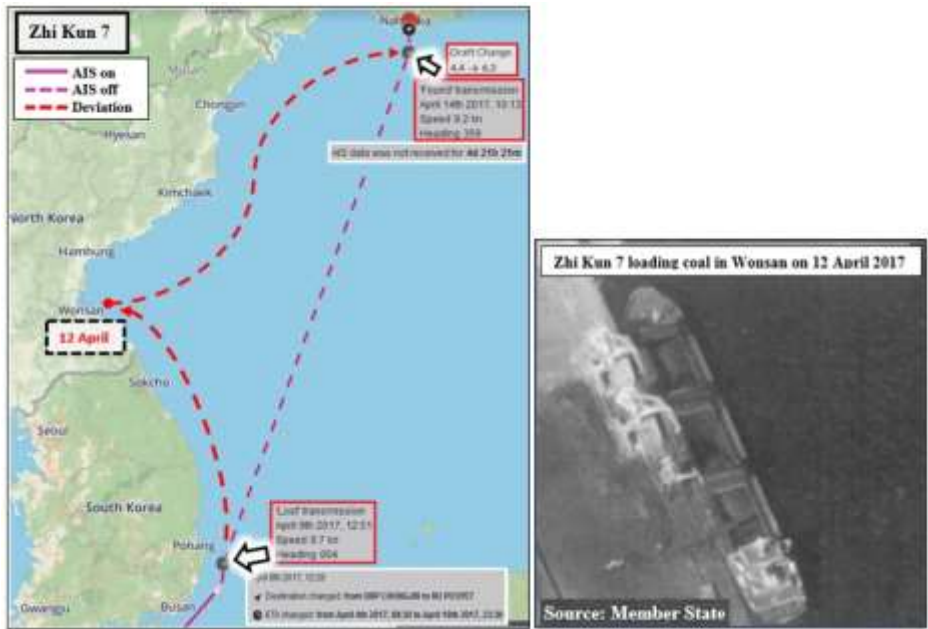
口装货的印象。这些伎俩具有一致性和相似性，尤其是它们曾被用于被指认的“Jie Shun”号案件中，表明这是朝鲜民主主义人民共和国规避商品禁令中央战略的一部分。³⁷

航行违规行为

50. 绕道航行几乎总是涉及在朝鲜民主主义人民共和国港口装载煤炭时操纵自动识别系统的信号传输，³⁸之后再重返原航线并及时重启自动识别系统以进行交货。³⁹例如，2017年4月9日，悬挂斐济国旗的“Zhi Kun 7”号船偏离其所称目的地俄罗斯联邦的波西耶特，关闭自动识别系统后在元山港装煤，然后重返原航程，并在4月14日重启自动识别系统后进入纳霍德卡港(图七)。该船在纳霍德卡港口一直停留到2017年5月17日，在5月11日变更身份，此后在5月19日卸煤。⁴⁰在返航途中，该船2017年5月28日在清津重新装货，使用的是相同的偏离航线伎俩，并于6月7日向南京交付煤炭。

图七

“Zhi Kun 7”号船：偏离航线并在元山港装煤



资料来源：Windward(左)和会员国(右)。

³⁷ 2016年8月11日，“Jie Shun”号船将非法铁矿石和武器运往埃及，使用了类似手段，如假装停靠港口、操纵自动识别系统以及利用吃水和船级的变化。“Jie Shun”号船于2017年10月3日被指认。见 <https://www.un.org/sc/suborg/en/sanctions/1718/materials/list-of-designated-vessels>。

³⁸ 违反经修正的《1974年国际海上人命安全公约》(《海上人命安全公约》)：总吨数在300吨以上的船只必须安装自动识别系统并随时维护其运行。

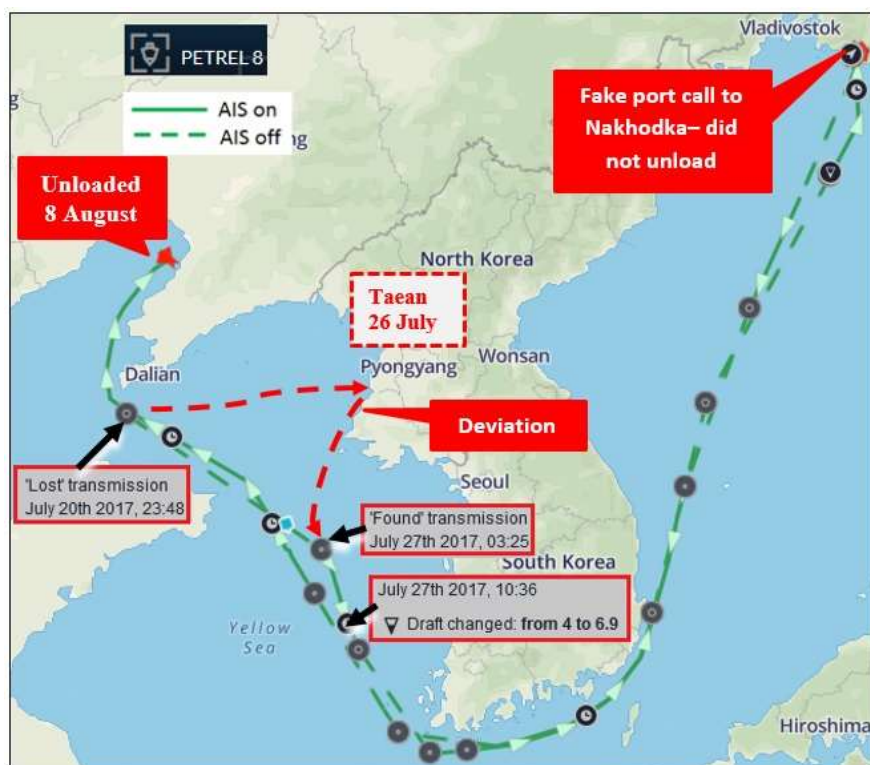
³⁹ 这些事件都用了很长时间来掩盖不同运输任务之间的距离，但往往第一次运输就会带来吃水变化，表明有货物装船，这一事实必须在进港前报告。

⁴⁰ “Zhi Kun 7”号船于2017年5月11日更名为“Orient Lidu”并注册为蒙古船只，于2017年7月17日前往巴拿马。

51. 一个例子是“Petrel 8”号船偏离航线近两周，向鲑鱼圈港运送煤炭，但假装在纳霍德卡港停靠。⁴¹ 2017年7月19日，该船离开鲑鱼圈港向东航行，当时显示的目的地是纳霍德卡港。途中该船关闭自动识别系统，并于7月26日偏离航线，在天安港(靠近南浦)装煤。⁴² 然后，该船于7月27日重返原航程，打开自动识别系统，驶往纳霍德卡港，在那里停留了一天，但没有卸煤，显然是为了造成一种煤炭原产地是俄罗斯的印象。接着，该船驶回鲑鱼圈港卸载煤炭(图八)。

图八

“Petrel 8”号船航程，表明其偏离原航线并假装访问纳霍德卡港



资料来源：Windward。

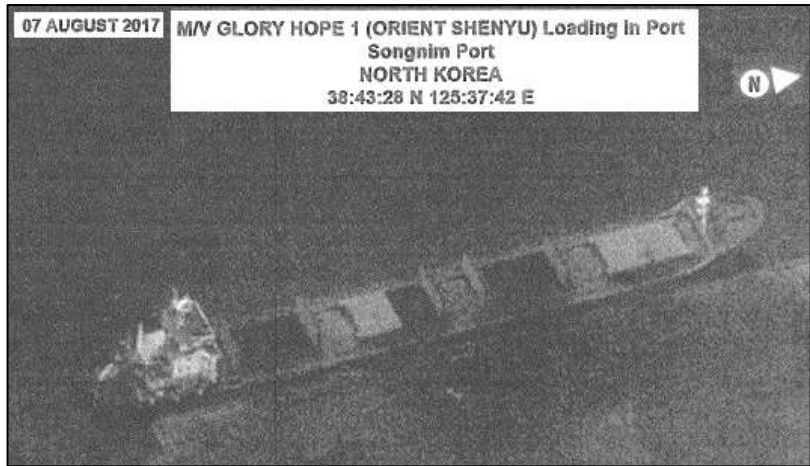
52. 在2017年8月7日偏离航线前往松林港(靠近南浦)装煤时，“Orient Shenyu”号船关闭自动识别系统8天，然后前往连云港，在该港口附近徘徊，以声称原产地是中国(见图九和附件7)，接下来驶往越南锦普港，8月26日卸载煤炭。

⁴¹ “Petrel 8”号船于2017年10月3日被指认。见 www.un.org/sc/suborg/en/sanctions/1718/materials/list-of-designated-vessels。

⁴² 改变其吃水以示已装载货物(离开鲑鱼圈港时是空船)。

图九

“Orient Shenyu”号船：偏离航线在松林港装煤图像



资料来源：会员国。

无定向航行

53. “Cheng Hong”号船谎称在蓬莱港停靠、煤炭源自蓬莱港，而实际情况是2017年6月16日在南浦装货(图十)。该船随后在蓬莱附近徘徊，用虚假吃水变化伪装在锦普港卸载之前已经装载了煤炭。

54. “Hua Fu”号船9月14日向锦普港交付煤炭，此前在蓬莱港和石岛港附近徘徊，此后在9月23日在朝鲜民主主义人民共和国罗津港再次装载煤炭并试图交付给锦普港，声称其原产地是纳霍德卡港，尽管其在一年多时间里从没有在任何俄罗斯港口停靠(见附件8)。在越南拒绝这批煤炭后，“Hua Fu”号船试图把煤炭发往中国防城港。

图十

“Cheng Hong”号船在南浦港装载煤炭，然后在蓬莱港附近徘徊，伪装停靠蓬莱港



资料来源：会员国(左)和 Windward(中，右)。

55. 有些船只还在中途变更身份，采用新的船名、国旗和呼号。2017 年 8 月 31 日，“Xin Guang Hai”号船从松林港运煤出发以在 2017 年 9 月 19 日在越南海防港交货，途中发送了虚假的国际海事组织(IMO)编号并更改了船名。该船还发送了虚假的吃水变化信息，以伪装在香港装货，并在中途改变了 IMO 编号和船名。⁴³“Hua Fu”号船将煤炭从南浦运到锦普，也经常改变呼号，而“Xin Sheng Hai”号船和“Glory Hope 6”号船则频繁变更长度和船级。“East Glory 7”号船 2017 年 8 月 16 日在广州卸载来自南浦的煤炭前，将其船级从“货船”改为“渔船”。

伪造文件

56. 专家小组的调查表明，存在伪造货物单据的广泛证据。虽然许多合同、提单、原产地证书和保证书附有真实的核查文件和印章，但许多船只从未到访过所涉港口。例如，虽然“Kai Xiang”号船的文件表明 7 月 28 日在符拉迪沃斯托克装货、2017 年 8 月 31 日在纳霍德卡港装货，但该船从未停靠这两个港口。此外，卫星图像显示该船于 2017 年 8 月 31 日在南浦装货。⁴⁴

57. 同样，“Hua Fu”号船的文件声称原产地是中国连云港；但该船只 2017 年 9 月 6 日根本没有在该港口停靠，实际上该船是在 9 月 2 日至 7 日关闭自动识别系统期间在朝鲜民主主义人民共和国装载了煤炭。“Bai Mei 8”号船的船员名单表明，船员是在装煤的南浦港而不是所称的纳霍德卡港上船的(见附件 9)。

58. 专家小组对 2017 年 1 月和 8 月 4 日之间交付煤炭的调查细节载于两个表格(见附件 5-1)，其中包括已记录的重量和价值、规避伎俩和供应商/出口商。

转运

59. “Great Spring”号船转运了 2017 年 6 月 28 日“Sun Union”号船在纳霍德卡港卸载的朝鲜民主主义人民共和国煤炭，除此之外，专家小组注意到，在第 2371(2017)号决议通过后，朝鲜民主主义人民共和国采用了新航线，前往以前很少停靠的俄罗斯联邦霍尔姆斯克港。跟踪数据显示，至少有 4 艘船只，包括悬挂朝鲜民主主义人民共和国国旗的“Ul Ji Bong 6”号、“Rung Ra 2”号和“Un Bong 2”号船以及悬挂多哥国旗的“Yu Yuan”号船停靠霍尔姆斯克港(表 12)。据某会员国称，它们都在运输朝鲜民主主义人民共和国煤炭。专家小组注意到，海洋数据库现有数据表明，若干船只在几天内抵达煤炭码头的同一个泊位，往往显示在离港时吃水有增加。⁴⁵

⁴³ 2017 年 7 月 28 日至 8 月 2 日以及 8 月 8 日，该船使用 IMO10053276(而不是 9004700)和“Xin Guang Hah”号的船名(而不是“Xin Guang Hai”号)。当该船在 9 月 5 日重新激活自动识别系统时，其吃水为 0.0，表明它没有装载货物。2017 年 9 月 18 日，该船在香港附近徘徊，此后它发送了吃水增加的虚假信息，以假装在香港装煤，然后于 9 月 19 日在越南海防港卸货。

⁴⁴ “Kai Xiang”号船的提单显示，一家瑞典公司声称，这些煤炭的原产地是俄罗斯(附件 6-3)，同时附有一家担保公司，即在香港注册的一家中国台湾省的公司。

⁴⁵ 另外两艘船在码头装载废铁。

60. 朝鲜民主主义人民共和国煤炭卸载后不久，有些船只停泊在同一个码头，表明如“Great Spring”号船和“Hua Fu”号船所为，它们可能使用伪造的原产地文件转运煤炭。据公开消息来源称，出于对朝鲜民主主义人民共和国煤炭与俄罗斯货物混装的担心，中国日照港和青岛港当局 2017 年 8 月初宣布禁止所有俄罗斯煤炭进口。⁴⁶ 专家小组正在等待对有关询问的答复(表 13)。

表 12

2017 年在俄罗斯联邦霍尔姆斯克港卸载朝鲜民主主义人民共和国煤炭的船只

船名	IMO 编号	船旗	朝鲜民主主义人民共和国 装煤港	霍尔姆斯克港卸货日期
Rung Ra 2	9020534	朝鲜民主主义 人民共和国	南浦，7 月 24 日	8 月 3 日至 7 日
			元山，8 月 22 日	8 月 29 日至 9 月 2 日
			元山，9 月 7 日	9 月 12 日至 14 日(附件 10)
Ul Ji Bong 6	9114555	朝鲜民主主义 人民共和国	元山，8 月 26 日	8 月 9 日(附件 10 至 12)
Un Bong 2	8913186	朝鲜民主主义 人民共和国	清津	8 月 22 日至 25 日/10 月 16 日 (附件 10)
Yu Yuan	9358694	多哥	元山，8 月 12 日	9 月 5 日(附件 11 和 12)

资料来源：会员国和 Windward。

表 13

在俄罗斯联邦霍尔姆斯克港同一个泊位的船只

船名	IMO 编号	船旗	朝鲜民主主义人民共和国 装煤港	霍尔姆斯克港卸货日期
Sky Lady ^a	9168441	巴拿马	8 月 9 日至 10 日(3 小时) ^b	提单原产地： 俄罗斯联邦沙赫乔尔斯克港
			8 月 10 日	3 280 公吨 出口商：索尔恩采夫斯基煤矿有限公司(Solntsevsky Coal Mine LLC.)(附件 13)
Sky Angel ^a	9168441	巴拿马	2017 年 9 月 21 日 ^b	提单原产地：霍尔姆斯克港
				出口商：英国艾美特创投有限公司 (Amet Venture Ltd) 4 156 公吨(附件 14)
Rich Glory	8649905	塞拉利昂	2017 年 10 月 5 日至 6 日 ^b	提单原产地：霍尔姆斯克港 托运人：香港煤炭能源有限公司

⁴⁶ Argus, China bans Russian anthracite on N Korea concerns, 7 August 2017, 见 argusmedia.com, 以及煤炭网,《山东港口限制俄罗斯煤船靠港事件解析》(中文), 2017 年 8 月 3 日, 见 www.meitanwang.com。

船名	IMO 编号	船旗	朝鲜民主主义人民共和国 装煤港	霍尔姆斯克港卸货日期
				(Hong Kong Coal Energy Ltd.)
				5 000 公吨(附件 15)

资料来源：会员国。

^a 由同一家公司经营。

^b 未回复专家小组询问。

船对船转运石油产品

61. 专家小组调查了 4 艘涉及违反第 2375(2017) 号决议第 11 和 14 段规定的船只。这些船只的网络主要位于中国台湾省，但它们的公司却在包括英属维尔京群岛、香港、马绍尔群岛、塞舌尔和萨摩亚在内的多个法域注册，船籍分别为多米尼克、香港、巴拿马和塞拉利昂。

62. 据某会员国称，朝鲜民主主义人民共和国一直在利用至少 3 个海域进行船到船转运：元山港附近水域、南浦以及黄海和东海之间的国际水域。

63. 专家小组首先调查的头 2 艘油轮，即悬挂香港旗帜的“Lighthouse Winmore”号船和悬挂巴拿马国旗的“Billions No. 18”号船，于 2017 年 10 月 19 日分别向悬挂朝鲜民主主义人民共和国国旗的“Sam Jong 2”号船和“Rye Song Gang 1”号船转运海洋柴油⁴⁷。⁴⁸ 两艘油轮从大韩民国丽水港起航，在转运前后几天按上文所述装运朝鲜民主主义人民共和国煤炭船只的方式关闭了自动识别系统。两艘油轮均向南行驶进行转运，但没有到达所声称的目的地台中港，而是返回丽水。大韩民国于 2017 年 11 月 24 日扣押“Lighthouse Winmore”号船进行调查。

图十一

“Lighthouse Winmore”号船与“Sam Jong 2”号船之间的船到船转运



资料来源：会员国。

64. 第三起案件涉及悬挂塞拉利昂国旗的油轮“Jin Hye”号(IMO 编号：8518572)于 2017 年 12 月 5 日左右在东海与悬挂朝鲜民主主义人民共和国国旗的油轮

⁴⁷ 含硫量 500ppm 的船用轻柴(Gasoil)。

⁴⁸ 2017 年 12 月 28 日与“Rye Song Gang 1”号船一起被指认的“Billions No.18”号船于 2017 年 12 月更名为“Kingsway”，悬挂帕劳旗帜。

“Chon Ma San”号(IMO 编号: 8660313)进行船到船转运。为了掩盖其身份,“Chon Ma San”号在原船名和注册港上面喷涂了“鲸鱼”和“弗里敦(塞拉利昂)”名称,并把上层结构上 IMO 编号中的所有“3”改为“8”(8660313 被改为 8660818)。烟囱上的朝鲜民主主义人民共和国国旗也喷涂了白漆。

图十二

“Jin Hye”号船与“Chon Ma San”号船之间的船到船转运



资料来源：会员国。

65. 涉及与一艘朝鲜民主主义人民共和国油轮进行船到船转运的第四艘船是悬挂巴拿马国旗的油轮“Koti”号(IMO 编号: 9417115), 目前也被大韩民国扣押调查。“Koti”号船采用的方式与 2017 年 10 月 19 日“Lighthouse Winmore”号和“Billions No. 18”号船进行的转运非常相似: 离开丽水港, 然后从 2017 年 11 月 30 日起有选择性地使用自动识别系统, 先使用了 4 天, 后来又使用了 5 天。

66. 2018 年 1 月 20 日, 被指认的朝鲜民主主义人民共和国油轮“Rye Song Gang 1”号和悬挂多米尼克国旗的“Yuk Tung”号(IMO 编号 9030591)在东海的公海上进行了另一次船到船转运。从 1 月 2 日离开中国台湾省的基隆港开始, 该油轮一直关闭自动识别系统。油轮的所有者是在库克群岛注册的 Yuk Tung 能源公司(Yuk Tung Energy Inc.), 运营者是设在新加坡的 Yuk Tung 能源有限公司(Yuk Tung Energy Pte. Ltd.), 主要业务是原油批发。⁴⁹

⁴⁹ 地址: 80 Raffles place, #17-22, UOB Plaza, Singapore 048624(UEN No. 201710754R)。

图十三
夜间转运

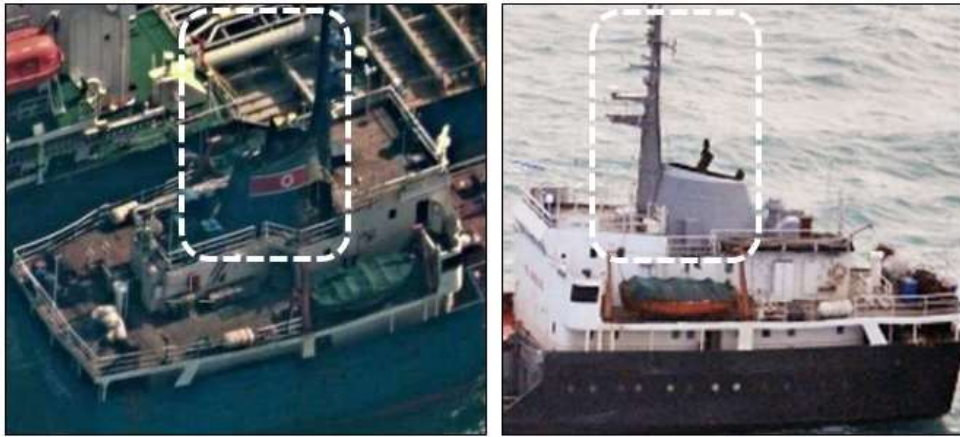


资料来源：会员国。

67. 转运在黑暗中进行，这一事实表明朝鲜民主主义人民共和国正在调整其规避策略(图十三)。在被指认后，该油轮重新喷涂烟囱和桅杆，将船名改为“Song Hae”号(图十四)，从而掩饰其身份。

图十四

“Rye Song Gang 1”号船被指认前后的比较(均在船对船转运过程中)



资料来源：会员国。

网络

68. “Lighthouse Winmore”号船在船到船转运前那个通过一家设在新加坡的经纪公司包租给一家马绍尔群岛的公司“大洋企业有限公司”(Oceanic Enterprise Limited)。⁵⁰ 其唯一的董事和股东是中国台湾省人陈世宪(Shih-Hsien Chen)(又名“Sunny Chen”)(附件 16)。⁵¹ 盈仁渔业公司(Yingjen Fishery Company)⁵² 通过经纪公司向业主通报了行政和物流安排, 比利恩油品集团(Billions Bunker Group Corporation)则向船长发出行动指示(见附件 17)。⁵³ 租船方采购了三块大型碰垫供租船期间使用, 证明了把该船用于船到船转运的意图。陈还将一名公司代表纳入该船的船员队伍。⁵⁴

69. 陈世宪是两艘船及其业主公司的唯一股东、所有者和经营者, 即“Billions No. 18”号油轮和 Bunker's 台湾集团公司(Bunker's Taiwan Group Corporation)(英属维尔京群岛), 以及“Billions No. 88”号油轮和比利恩油品集团(马绍尔群岛), 后者也参与了与一艘尚未确定身份的油轮进行的船到船转运。⁵⁵ 专家小组注意到, “Lighthouse Winmore”号船的所有者/运营者“方向海运管理有限公司”

⁵⁰ 注册所有人: Win More Shipping Ltd(永嘉船务有限公司), 香港; 注册运营人: Lighthouse Ship Management Ltd(方向海运管理有限公司), 香港, 但设在广州。这两家公司的业主在广州居住。

⁵¹ 中国台湾省身份证号 308222135, 出生日期: 1965 年 12 月 11 日。

⁵² Chin Tse Chien, 别名“Money Chien”, cchien.yjfishery@gmail.com, cchien.yjfishery@hotmail.com。陈世宪用的电子邮箱是: yingjen.fishery@gmail.com。

⁵³ Miguel Shiao(萧锡理), 用 billions.miguel@gmail.com 联系。

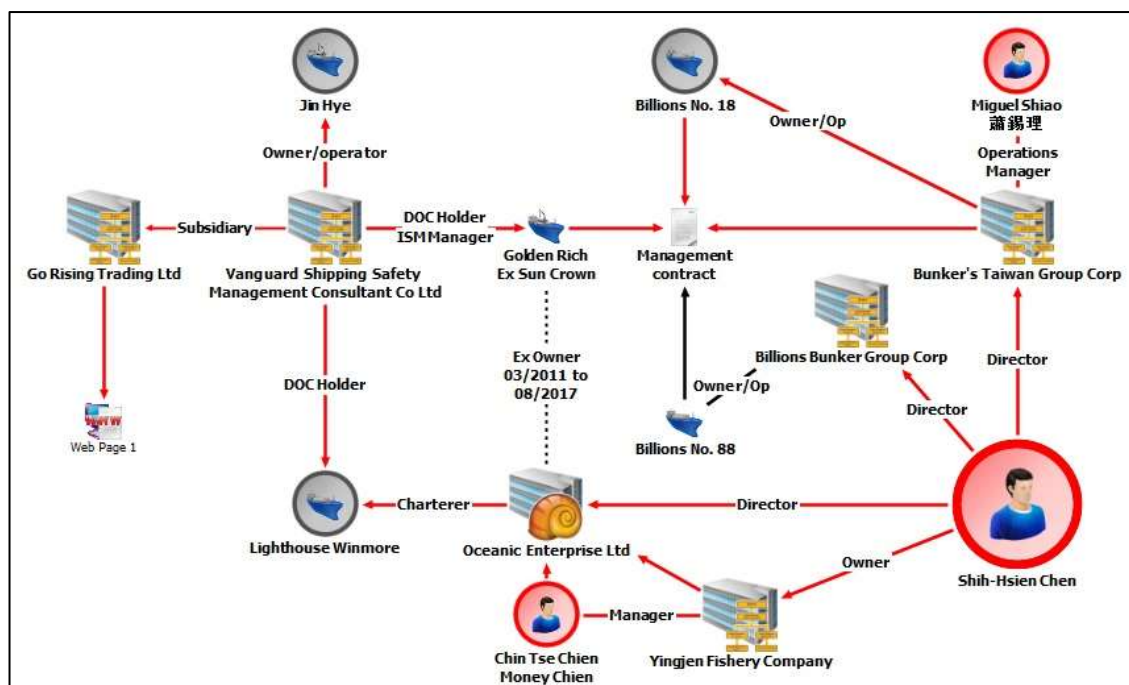
⁵⁴ Jiang Bing。

⁵⁵ “Billions No. 88”号更名为“Twins Bull”号, 船旗从巴拿马改为帕劳, 所有权于 12 月转让给陈的另一家公司“太平洋 Bunker 有限公司”(Pacific Bunker Co. Ltd.)。马绍尔群岛告知专家小组, 它已于 2018 年 1 月 23 日将陈的各家公司从其登记册删除。

(Lighthouse Ship Management)(也涉及船到船转运)以前的名称是发音类似的“兆伟国际集团有限公司”(Billion Great International Group Ltd.)(见附件 18), 表明其与陈的公司有关系。此外, 陈的两艘油轮“Lighthouse Winmore”号和“Golden Rich”号用的是同一家合规文件持有人和国际安全管理人——先锋航运安全管理顾问有限公司(Vanguard Shipping Safety Management Consultant Co. Ltd.), 后者是另一艘参与船对船转运的油轮——“Jin Hye”号——的所有者和运营者(图十五)。专家小组继续调查陈世宪在向朝鲜民主主义人民共和国转运石油产品中的核心作用, 这表明朝鲜在其非法活动中继续依靠其信赖的外国国民。

图十五

参与同陈世宪相关的非法转运的油轮



70. 第四艘油轮“Koti”号的所有权和租赁遵循上述模式, 即所有者和公司在台湾省, 但注册地是其他地方:⁵⁶

(a) 油轮所有者 M.T.Koti 公司(M.T.Koti Corporation)(在巴拿马注册)将油轮租给 Auria 资源有限公司(Auria Resource Co. Ltd)⁵⁷ (在萨摩亚注册)。

(b) Auria 资源有限公司声称, 它已在发生船到船转运之前根据定期租船合同将船租给中国台湾省的 Sailing 石化公司(Sailing Petrochemical Incorp)⁵⁸

⁵⁶ 桃园市桃园区呈贡路二段 85 号 7 楼。该公司的三位董事是: Chien-Ting Chang、Chien-Huan Chang (又名“Norris Chang”)和 Shih-Chuan Kao。

⁵⁷ 台北衡阳路 51 号 6F-2。

⁵⁸ Sailing 化工公司的款项从首天客海运有限公司(Firstec Maritime Ltd)和鑫淼有限公司(Xin Miao Co. Ltd.)的账户支付。

(c) 在香港注册但位于大连的统一资源海运管理有限公司(Harmonized Resources Shipping Management Co. Ltd.)是船只的经营者。虽然 M.T. Koti 公司声称,把统一资源海运管理有限公司注册为经营者是失误(随后的“纠正”办法是把它自己注册为经营者),但来往函件表明,统一资源公司已为“Koti”号船所有者和国际安全管理人注册了 IMO 公司编号。该公司联系人 Lu Tiehe(吕铁和)以前曾卷入“Light”号事件,是 Fan Mintian(范民田)的协理,后者与拦截“Light”号和“Jie Shun”号均有关联。⁵⁹

向朝鲜民主主义人民共和国转运石油产品

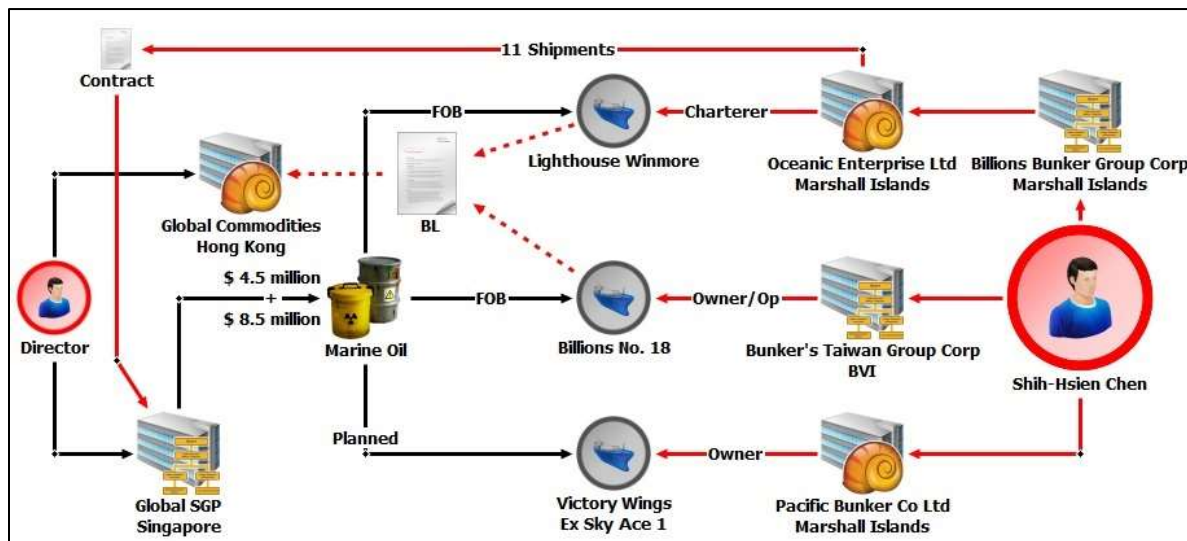
71. “Lighthouse Winmore”号船和“Billions No. 18”号船在进行 2017 年 10 月 19 日转运之前装载的石油产品(分别为 14 094 公吨船用轻柴油(Gasoil)和 7 954 公吨轻柴油(柴油))的提单表明,多国公司托克有限公司(Trafigura Pte. Ltd.)⁶⁰是托运人(见附件 19)、全球商品咨询有限公司(Global Commodities Consultants Ltd.)是收货人、台中港是目的地(系伪造,附件 20)。全球商品咨询有限公司在香港注册,但注册地址(12B Wilkinson Road, 新加坡, 436759)与新加坡公司全球 SGP 有限公司(Global SGP Pte. Ltd.)(独特实体号码 201222231W)吻合,两家公司的董事和唯一股东相同。此外,关于陈世宪的船只所运货物的所有电子邮件通信均来自全球 SGP 公司而不是全球商品咨询有限公司(见附件 21 和 22)。专家小组继续调查其他多国石油公司可能在向朝鲜民主主义人民共和国转移石油产品的供应链中发挥的作用。

72. 大洋企业有限公司通过向与其订有合同的供应商进行银行转账,为按离岸价交付到其船上的两批货物分别向全球 SGP 公司预付了款项(4 564 942.80 美元和 8 510 097.75 美元)。除了“Billions No. 18”号和“Lighthouse Winmore”号进行的这两次转运,大洋企业有限公司还计划用这两艘船加上陈世宪的另一艘船“Sky Ace 1”号转运另外九批货物(作为合同的一部分)(图十六)。根据该装运计划(见附件 22 至 25),货物共计 95 000 公吨(按照向朝鲜民主主义人民共和国转运的前面两批货物的费率,价值估计约为 6 500 万美元)。此外,陈还要求在燃料中添加绿色染料助剂,这是渔船用品领域的常见做法。新加坡当局告知专家小组,其主管部门正在核查与这些交易有关的公司。

⁵⁹ 运升船务代理股份有限公司(Sea Star Ship Co Ltd.)的董事,见 S/2017/150 第 66 段和 S/2014/147 第 135 至 137 段。吕铁和(他仍在使使用运升船务的电邮地址)否认与 Fan Mintian 有任何接触。

⁶⁰ 托克公司在荷兰合法注册,总部设在瑞士日内瓦,其石油业务设在新加坡。

图十六
使用陈世宪的油轮的油品转运



73. 据某会员国称，朝鲜民主主义人民共和国迄今一直依靠两家石油公司进口石油：第一石油中心(First Oil Center)(别名：第一石油合资有限公司(First Oil JV Co. Ltd.))和朝鲜金刚石油公司(Korea Kumgang Petroleum(KKP))。第一石油中心从属于朝鲜民主主义人民共和国第一信贷银行(Cheil Credit Bank, 제일신용은행)，专家小组正在调查该银行违反金融制裁的情况。朝鲜金刚石油公司于 2015 年 1 月成立，从属于朝鲜金刚集团(Korea Kumgang Group)，后者从属于已被指认的人民武装力量部。⁶¹ 朝鲜民主主义人民共和国油轮清单载于附件 26。

建议

74. 专家小组建议安全理事会在草拟未来的部门制裁措施时采用其第 2397(2017)号决议中的做法，纳入有关协调制度编号。

75. 专家小组建议会员国对本国公司提高警惕，确保禁止转运第 2321(2016)、2371(2017)、2375(2017)和 2397(2017)号决议所列物项，包括所有工业机械和运输工具。

76. 鉴于日益增多的各类违规的主要行为人一再被列入专家小组的报告，专家小组吁请会员国采取适当行动确保这些个人停止违禁活动。

77. 专家小组建议，任何接收交付或转运煤炭货物的会员国必须采取强化措施，验证这些货物所附单据。为协助会员国开展工作，专家小组建议建立区域合作机制，分享关于有关船只是否在原产地文件所称港口实际停靠并装载煤炭的信息。会员国至少应为这一目的确定一个联络人。专家小组将继续作为一种资源为寻求信息的会员国提供服务。

⁶¹ 韩文：조선금강그룹或금강경제개발총회사。

78. 会员国必须对通常在船到船转运海区的船只流动保持警惕，并向委员会报告这种转运情况。

79. 专家小组建议委员会指认(拒绝入港)所有参与对朝鲜民主主义人民共和国违禁船到船转运的船只及其船长。

80. 专家小组建议委员会指认下列个人违反第 2375(2017)号决议第 11 和 14 段：陈世宪、Boby Julian Akbari⁶² 和 Wang Songchang。⁶³

81. 专家小组建议会员国严格执行与禁止船到船转运有关的决议，包括颁布授权立法，规定针对所有被发现从事转运的船只及其船长采取适当行动，并对船只采取拒绝入港等行动(至少六个月有效，所有费用由船东或承租人承担)。此外，船籍国应取消所有据报参与违禁船到船转运的船只的注册。会员国应确保在其管辖范围内注册或设立的石油工业公司签署的所有合同纳入一项条款，规定所有涉及违反决议的转运行为，特别是包括违禁船到船转运和向朝鲜民主主义人民共和国转运石油产品均属无效。

82. 经营石油和石油产品的石油供应商、代理商、进口商和油轮公司的东道会员国必须对相关实体提高警惕，以确保这些实体不会违反决议将石油和石油产品转运到朝鲜民主主义人民共和国。作为石油产品转运枢纽的国家必须开展类似的强化尽职调查，核实原产地和计划目的地。

83. 专家小组还建议海事保险和赔偿保险公司在所有合同中列入一项条款，规定所有涉及违反决议的转运，特别是违禁船到船转运和对朝鲜民主主义人民共和国的石油产品转运均属无效。

四. 禁运、被指认的实体和个人

安哥拉

84. 专家小组继续调查万寿台海外开发会社(MOP)在安哥拉的活动。⁶⁴ 安哥拉报告说，根据第 2371(2017)号决议和 11 月 13 日的一项总统令，已终止万寿台海外开发会社的所有活动、合同和工作签证，并指示其管理人员、工作人员和雇员离开安哥拉。该项总统令是对 2017 年 8 月 10 日专家小组信函的回应，随后 152 名朝鲜民主主义人民共和国国民在 2017 年 10 月 18 日离开了安哥拉，其中包括万寿台海外开发会社安哥拉分社总裁 Yon Jong Gi。安哥拉的协助工作包括提供关于万寿台海外开发会社开展活动的详细说明以及将朝鲜民主主义人民共和国国民驱逐出安哥拉的佐证文件。⁶⁵

⁶² “Billions No.18”号船船长：海员证号 B2380031，出生日期：1985 年 7 月 30 日。

⁶³ “Lighthouse Winmore”号船船长：海员证号 G50001538，出生日期：1973 年 8 月 7 日。

⁶⁴ 见 S/2017/150，第 116 段。

⁶⁵ 包括关于驱逐 152 名朝鲜民主主义人民共和国国民及其姓名、护照号码和签证的详细信息。

85. 专家小组还调查了派驻安哥拉、代表被指认的朝鲜青松联合会社开展工作的朝鲜民主主义人民共和国外交官，包括 Kim Hyok Chan 和 Jon Chol Young，他们曾从事与违禁武器有关的活动。⁶⁶ 安哥拉向专家小组报告说，已于 2017 年 11 月 29 日按照若昂·洛伦索总统的指示，将 Kim Hyok Chan 及其家人驱逐出安哥拉，并提供了出入境文件。Jon Chol Young 的签证将于 2018 年 3 月 17 日到期，他仍然在罗安达的朝鲜民主主义人民共和国大使馆。安哥拉还认为，“考虑到与朝鲜民主主义人民共和国的合作状况”，朝鲜民主主义人民共和国驻罗安达的人员“数量过多，并将与该国合作，逐步减少其人数。”

86. 专家小组还调查了负责培训安哥拉总统卫队和其他单位的朝鲜民主主义人民共和国顾问。⁶⁷ 据某会员国称，一个由 80 名成员组成的朝鲜民主主义人民共和国军事顾问团曾驻扎在安哥拉，直至 2017 年 1 月顾问们离境。专家小组要求提供军事顾问团成员的姓名、军衔和朝鲜人民军部队所属单位，并提供详细资料，说明这些顾问在安哥拉和第三国开展的活动，但尚未收到答复。

澳大利亚

87. 2017 年 12 月 16 日，澳大利亚联邦警察逮捕并指控其公民 Chan Han Choi。⁶⁸ 据信，Choi 是一名已被证实的朝鲜民主主义人民共和国经济间谍。他的作用是开展中介活动，推动往返朝鲜民主主义人民共和国的各种商品贸易，包括煤炭、石墨、铜矿石、黄金和原油以及导弹和导弹相关技术。

88. Choi 曾使用别名“Solomon Choi”，并从自己的住所开展活动，同时把他的澳大利亚公司用作中介，这些公司包括：奥斯科尔工程控股有限公司(Auskor Engineering Pty Ltd)、阿巴夫工程控股有限公司(Above Engineering Pty Ltd)、阿巴夫能源控股有限公司(Above Energy Pty Ltd)、LWM 工程控股有限公司(LWM Engineering Pty Ltd)和晨世控股有限公司(Morning World Pty Ltd)。Choi 还使用了海外银行账户。

中国

万寿台创作社(Mansudae Art Studio)在北京的海外展厅

89. 万寿台创作社利用位于北京著名艺术展览区 798 艺术区的一个画廊。2017 年，在万寿台海外开发会社被指认后，该画廊还在出售万寿台艺术品。专家小组注意到，该画廊的名称含有万寿台创作社韩文名称的相同中文音译，大楼告示牌宣传的是由“朝鲜万寿台创作社美术馆”和“北京元万寿台文化有限公司”共同主办的题为“朝鲜万寿台创作社名人作品展”的展览(图十七)。此外，专家小组认为，这一与朝鲜协作开展的活动是第 2375(2017)号决议第 18 段所禁止的。然而，北京元万寿台负责人吉正太(Ji Zhengtai)已公开表示，制裁不适用，并不影响其业务。中国告知专家小组，无法确认这是被指认实体的一个分支机构。然而，

⁶⁶ 见 S/2017/150，第 103、207 和 208 段。

⁶⁷ 见 S/2017/742，第 23 段和 S/2017/150，第 120 段。

⁶⁸ Choi 于 2001 年获得澳大利亚公民身份。

鉴于北京元万寿台是一家涉朝合资企业，已根据商业部第 55 号公告在 2018 年 1 月 9 日将其关闭。

图十七

万寿台创作社在北京使用的画廊



埃及

90. 专家小组继续调查 2016 年 8 月埃及当局从“Jie Shun”号船缉获的包括 30 000 个火箭榴弹和部件的朝鲜民主主义人民共和国货物。⁶⁹ 专家小组对船只和港口的现场检查发现，装有火箭榴弹的大箱子上醒目地标识着“Al-Sakr Cairo”，然后是与船运单据完全相同的地址，其中列示收货人为 Al-Sakr Factory for Developed Industries (AOI)，该厂生产火箭榴弹。⁷⁰ 专家小组还注意到，Al-Sakr 工厂及其母公司据报与朝鲜民主主义人民共和国有长期联系，包括在弹道导弹领域。该公司和埃及对专家小组的回复均没有答复专家小组要求回答的问题，即朝鲜民主主义人民共和国出口商的身份、违反武器禁运规定实体的任何财务信息或与它们进行的任何通信。

⁶⁹ 见 S/2017/150，第 61 至 71 段。

⁷⁰ 在检查期间专家小组不得自行拍照，埃及拒绝为专家小组复制提交的图像和文件提供许可。

厄立特里亚

91. 专家小组继续调查“Eritech”公司，该公司是被拦截的、来自朝鲜民主主义人民共和国“Glocom”公司的军火及相关物资的厄立特里亚收货方。⁷¹ 专家小组注意到，索马里和厄立特里亚问题监测组(索厄问题监测组)已确定“Eritech”公司设在“阿莎-戈尔戈尔军事技术中心(Asha Golgol Military Technical Centre)”，该设施由“厄立特里亚国防军运行，充当生产、修改和修理民用和军事和准军事装备的中央车间”。⁷² 专家小组要求厄立特里亚提供资料，说明“Eritech”公司(又称“E-tech”公司)的现状，以及它是否是一个经厄立特里亚国防军授权或按其指示行事的实体。厄立特里亚仍未对专家小组就此案提出的询问提供实质性资料，此案是朝鲜民主主义人民共和国与厄立特里亚之间既定武器相关合作的一部分。

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意大利

万寿台创作社驻西方代表

92. 在万寿台创作社于2017年8月5日被指认后，专家小组调查了一名自称为“万寿台创作社驻西方代表”⁷⁴的人皮耶尔·路易吉·切乔尼(Pier Luigi Cecioni)。9月26日，专家小组访问了意大利佛罗伦萨名为“万寿台创作社”的办公室地址(图十八)。专家小组与切乔尼进行了访谈，他承认过去与平壤万寿台创作社人员合作，包括在该实体被指认后试图组织万寿台创作社展览。切乔尼在11月27日的答复中说，他的网站将自己的职务描述为“万寿台创作社驻西方代表”是一种“误导”。专家小组将皮耶尔·路易吉·切乔尼的实体和平壤万寿台创作社实体视为安全理事会第2375(2017)号决议第18段所禁止的合作实体。2017年12月，万寿台创作社网站更名为“朝鲜美术馆”(North Korea Art Gallery)，并删除了关于切乔尼担任“万寿台创作社驻西方代表”的内容。截至2018年1月28日，网站地址仍为www.mansudaeartstudio.com。经过调查，专家小组获得了关于平壤万寿台创作社的更多信息，包括副主任Kim Song Min的姓名。意大利当局告知专家小组，“2016年7月之后，没有发现切乔尼先生从朝鲜进口的任何证据”，“目前看来没有任何依据来确定切乔尼先生违反了制裁制度，也没有证据表明切乔尼先生代表被列名实体万寿台创作社行事。相反，切乔尼先生似乎是为了自身利益而在其网站上自行使用该实体名称……当局正试图确定这个网站是否违反了制裁制度，特别是第2375(2017)号决议第18段和第2270(2016)号决议第15段关于禁止合资企业与合作实体的规定。”

⁷¹ S/2017/150，第72至87段。

⁷² S/2017/925，第21段。

⁷³ S/2017/150 第72至87段，以及 S/2016/157，第94至95段；S/2015/131，第89段和 S/2014/2014/147，第94至97段。

⁷⁴ 专家小组在2017年8月和9月访问了名为“万寿台创作社”的网站(www.mansudaeartstudio.com)，当时该网站及相关互联网登记和广告将切乔尼描述为万寿台创作社驻西方代表(见附件27)。

图十八

万寿台创作社地址和内部情况，2017 年 9 月 26 日，意大利佛罗伦萨



资料来源：专家小组。

日本

装载火星-12 导弹的起重机

93. 专家小组调查了 2017 年 5 月 14 日朝鲜中央电视台节目画面中一台正在装载火星-12 导弹的外国制造起重机，这一画面突出显示了商用起重机在弹道导弹相关活动中的使用情况(图十九)。这台起重机很可能由一家日本公司生产，该公司向专家小组承认，1992 年有两台出口到朝鲜民主主义人民共和国，而所述起重机也有可能采购于二手市场。⁷⁵ 根据第 2397(2017)号决议第 7 段关于禁止销售协调制度编码 84 项下物品的规定以及第 2270(2016)号决议第 27 段的规定，该起重机现已被禁止。

图十九

装载火星-12 的起重机



资料来源：朝鲜中央电视台。

⁷⁵ 这一型号于 1990 年至 2002 年生产。

莫桑比克

军事合作

94. 专家小组调查了朝鲜海金刚(Haegumgang)贸易公司与莫桑比克“宾加山”公司(Monte Binga)之间的军事合作,一份价值 600 万美元的合同包括地对空导弹、P12 防空雷达、坦克翻新和单兵携带防空系统。专家小组获得的文件中包括雷达技术人员 2015 年 10 月访问莫桑比克的邀请函,这次访问由朝鲜民主主义人民共和国驻莫桑比克经济和贸易代表团组织(见附件 28)。据一个会员国介绍,这个贸易代表团的人员由海金刚(Haegumgang)公司代表组成,该公司隶属于被指认的人民武装力量部的军事合作总局。至少自 2017 年起,朝鲜民主主义人民共和国驻南非大使馆经济与贸易事务三等秘书 Ri Chang Su(护照编号: 927310139,出生日期: 1967 年 4 月 29 日)(见附件 28)一直负责朝鲜民主主义人民共和国与莫桑比克的军事合作项目。

95. 专家小组要求提供所有资料,包括宾加山公司与朝鲜民主主义人民共和国之间的合同、提单和资金转移情况,而其中一份未注明日期的发票所列货物清单(见附件 28)与一个会员国所提供的资料不符。这个会员国报告说,朝鲜民主主义人民共和国 2015 年向莫桑比克运送至少 13 批货物,包括 6 吨空运货物,第 2270(2016)号决议通过后又运送了 7 批货物。针对专家小组关于提供 600 万美元合同相关财务信息的要求,首席执行官表示,“宾加山公司(Monte Binga SA)不保留任何军事合作资金。”然而,专家小组指出,宾加山公司为武器相关合作项目动用资金并支付款项,包括至少有一例涉及 2015 年为一家关联公司普罗因迪克斯公司(ProIndicus)⁷⁶ 提供 2 490 多万美元贷款用于采购海上巡逻艇。专家小组指出,自 2017 年 10 月以来,新政府与专家小组进行了合作。

被指认实体驻莫桑比克代表

96. 新政府向专家小组提供信息,说明了朝鲜矿业发展贸易公司和朝鲜青松联合会社以及包括据报参与其他非洲国家常规武器贸易的实体在内的其他被指认实体工作的 5 名朝鲜民主主义人民共和国国民 2012 年至 2017 年前往莫桑比克和在莫桑比克境内旅行的情况。其中包括 Kim Hyok Chan、Kim Song Chol、Ri Won Ho、Kim Sok Chol 和 Kim Jung Jong。调查仍在进行之中。

违禁捕捞活动

97. 2017 年底,一个会员国告知专家小组,朝鲜民主主义人民共和国正通过一家商业捕捞合资企业 EMKIP 违反第 2371(2017)号决议第 9 段,这家企业雇用了大约 40 名朝鲜民主主义人民共和国国民作为渔民,并使用了包括 Susan 1 号和 Susan 2 号船(海事组织编号 8672299)在内的 3 艘船只。在莫桑比克的一个港口拍摄到这些船只悬挂朝鲜民主主义人民共和国国旗并展示政治口号(见附件 28)。

⁷⁶ 针对 ProIndicus S.A.、EMATUM S.A 和莫桑比克资产管理公司签约贷款的独立审计。为莫桑比克检察官公署编写的报告, Kroll Associates, 第 20 页。

98. 这些由朝鲜民主主义人民共和国提供船员的船只从事捕虾作业，然后出售给南非的苏帕帕克斯渔业加工控股有限公司(Supa Packers Fish Processors Pty Ltd)进行加工，再转运到中国沈阳的一家公司。Supa Packers 没有答复专家小组的询问。莫桑比克告知专家小组，“迄今采取的实际步骤包括解散 EMKIP 公司并准备采取后续步骤”，莫桑比克还提供了证明文件。专家小组继续监测这些船只及其企图在其他国家重新建立业务的情况。

万寿台

99. 根据莫桑比克向专家小组提供的详细资料，万寿台“没有在莫桑比克注册，因此在该国没有任何分支机构或子公司，也没有与该公司有关联的任何实体或个人”。莫桑比克还进一步指出，莫桑比克前总统的雕像是由万寿台在纳米比亚的公司制作的。2011 年 6 月在平壤与万寿台海外开发会社副总裁 Sin Kyu Sop 签署雕像合同，报价为 170 000 美元，不包括计划中估价为 1 360 000 美元的另外 7 个雕像。

与专家小组的合作

100. 莫桑比克于 2017 年 10 月开始与专家小组密切合作，之后“设立了部级特别工作组，负责监督联合国安全理事会所有与朝鲜民主主义人民共和国有关决议的执行情况。”关于宾加山(Monte Binga)公司一案，莫桑比克指出，2015 年抵达的 3 名朝鲜民主主义人民共和国技术人员“为莫桑比克技术人员提供了支持，修理和翻新 1 台 P-18 预警雷达和 15 辆 T55 坦克”。专家小组还指出，国防部 2016 年 9 月给朝鲜民主主义人民共和国的信中表示，由于专家小组即将访问莫桑比克，国防部决定“暂停两部门缔结的双边合作协定下的所有活动，立即生效”(见附件 28)。2018 年 1 月 4 日，莫桑比克外交事务与合作部进一步表示愿意继续与专家小组合作。

缅甸

101. 有会员国告知专家小组，缅甸与朝鲜矿业发展贸易公司持续存在武器关系，这种关系主要通过缅甸国防工业局开展，预计今后将有朝鲜民主主义人民共和国货物运往该国。专家小组在收到通报后要求缅甸提供资料。该会员国还向专家小组通报了证据，表明除了多管火箭炮和地对空导弹等一系列常规武器外，缅甸还从朝鲜民主主义人民共和国收到了弹道导弹系统；朝鲜矿业发展贸易公司在朝鲜民主主义人民共和国接待了缅甸军事技术人员，并派遣朝鲜民主主义人民共和国人员在缅甸国防工业局管理的设施开展业务。

102. 该会员国告知专家小组，缅甸国防工业局拥有复杂的全球采购网，其主任 Tun Hlaing 据报曾参与海外采购，并与至少两家新加坡公司，即卓越金属铸造公司(Excellence Metal Casting)和 STE 全球贸易控股有限公司(STE Global Trading Pte Ltd.)有关联。该会员国进一步表示，Tun Hlaing 先前可能与缅甸卓越矿产制造公司(Excellence Mineral Manufacturing Co. Ltd.)有关联，该公司先前被一个会员国指认与朝鲜民主主义人民共和国官员合作进口用于军事武器计划的材料。该会员国补充说，国防工业局正为其与朝鲜民主主义人民共和国有关的导弹计划向海外

供应商寻求设备，而国防工业局与朝鲜订约的采购活动包括寻求受核供应国集团、导弹技术控制制度和瓦森纳安排控制的物项。该会员国还告知专家小组，缅甸的 Ye Min Hein 有限公司很可能参与了敏感设备的采购，还很可能是国防工业局的幌子。国防工业局先前曾以 Soe Min Htike 有限公司的名义经营，这家公司也被一个会员国指认在 2013 年至 2016 年期间与朝鲜民主主义人民共和国官员合作进口用于军事武器计划的材料。

103. 专家小组先前得出结论认为，Soe Min Htike 有限公司是 2012 年转运违禁核相关物项企图中的收货人。2015 年 6 月 15 日，缅甸就其参与朝鲜民主主义人民共和国违禁弹道导弹和常规武器计划的情况及其与朝鲜矿业发展贸易公司的关系答复专家小组说，“除了正常的外交关系以外，缅甸政府与朝鲜民主主义人民共和国没有实质性的双边关系”。然而，2017 年 7 月 26 日，缅甸通知专家小组已于 2017 年 6 月 9 日驱逐朝鲜民主主义人民共和国外交官 Kim Chol Nam，原因是此人代表朝鲜矿业发展贸易公司或按其指示行事。2018 年 1 月 24 日，缅甸补充说，正在调查专家小组最近的提供信息要求。

纳米比亚

104. 2017 年 11 月 17 日，纳米比亚与专家小组合作，就专家小组 2016 年以来的多项询问提供了一份 350 页的答复。关于对万寿台的指认，纳米比亚针对专家小组 2017 年 8 月 10 日的信函，提供了一份部际委员会关于从纳米比亚遣返 242 名朝鲜民主主义人民共和国国民的技术评价。纳米比亚表示“所有朝鲜民主主义人民共和国工人都已离开我国”，⁷⁷ 并提供了证明文件。

105. 纳米比亚还提供了 2017 年在纳米比亚开展活动的实体“万寿台海外开发会社建筑和技术服务控股有限公司”(Mansudae Overseas Project Architectural and Technical Services (Proprietary) Ltd)的公司登记详情。纳米比亚还提供了项目取消令，其中包括 2017 年 8 月 9 日国防部控制的八二六控股有限公司(August 26th Holding Company (PTY) Ltd)给万寿台的信，撤销了豹谷军事基地扩建分包合同。⁷⁸ 万寿台的第二个项目“基特曼斯胡普农场项目”涉及八二六公司，于 2017 年 8 月 9 日被取消。

106. 纳米比亚还提供了关于万寿台的第三个项目，即纳米比亚共和国总统办公室的“办公空间创意项目”的文件。该项目似乎已于 2016 年 12 月 9 日终止。据纳米比亚称，青岛建设集团纳米比亚有限公司(Qingdao Construction (Namibia))于 2017 年 2 月 6 日取代万寿台成为主要承包商，合同价值约为 440 万美元。⁷⁹ 2017 年 9 月 1 日，纳米比亚第一国家银行致信纳米比亚银行金融情报中心，表示它终止了与青岛建设集团(Qingdao Construction)和 Kim Tong Chol 及相关方的业务关系，

⁷⁷ 2017 年 11 月 17 日纳米比亚给专家小组的信。

⁷⁸ 见 S/2017/150，第 113 段。

⁷⁹ 纳米比亚共和国总统办公室与青岛建设集团 2017 年 3 月 31 日签订的合同表示，该项目总价值为 62 506 125 纳米比亚元。根据签署的附录，“万寿台海外开发会社建筑和技术服务公司市场成交价的保证金额为 25 501 626.97 纳米比亚元”。“青岛建设集团的保证金额将达 37 004 498.08 纳米比亚元”。

原因是“集团内部政策”和涉及万寿台的“违反国际制裁可能性风险评估”。⁸⁰ 2017 年 11 月 6 日，纳米比亚商业和知识产权局指出，万寿台海外开发会社建筑和技术服务公司以新名称“TRITONIA HOLDINGSG NAMIBIA (PROPRIETARY LIMITED)” (原文如此)在其公司综合登记系统中出现。⁸¹

107. 尽管纳米比亚与被指认的朝鲜矿业发展贸易公司有关系，但纳米比亚没有提供任何因取消上述项目而向万寿台支付款项的相关资料。⁸² 纳米比亚也没有提供任何有关万寿台被指认后冻结特定银行账户的资料。

108. 纳米比亚还提供了一份日期为 2017 年 10 月 27 日的清单，列出了为万寿台登记并颁发牌照的 24 部车辆，称“对这家公司设置了高级别行政标志”，并指出行政标志“防止该公司在系统上进行任何业务。”专家小组在给纳米比亚的一封信中表示，这些车辆应与有关资产和银行账户一起冻结。调查仍在进行之中。

波兰

109. 专家小组调查了关于朝鲜民主主义人民共和国海外工人参与在波兰造船厂建造丹麦军舰的报道，这一情况违反第 1874(2009)号决议第 9 段规定的武器禁运。

110. 丹麦告知专家小组，丹麦国防采购和后勤组织于 2014 年 3 月与一家丹麦造船厂签订“Lauge Koch”号北极巡逻艇建造合同。这家造船厂又与波兰造船厂克里斯特有限公司(Crist S.A.)签订了生产船壳的合同，船壳随后于 2014 年 5 月至 2015 年 4 月期间在波兰建造，项目编号为“NB 428”(图二十)。

图二十

波兰造船厂(Crist)中的丹麦军舰船壳



资料来源：专家委员会。

111. 根据专家小组获得的一份文件，克里斯特(Crist)公司与另一家波兰公司阿麦科斯有限公司(Armex Sp. z o. o.)订约，雇用“一组朝鲜人”于 2014 年 7 月 1 日至

⁸⁰ 美利坚合众国于 10 天前指认了青岛建设集团)和 Kim Tong Chol。财政部新闻中心，“外国资产管制处指认 16 个实体参与支持朝鲜核计划和弹道导弹计划、能源贸易、劳工出口和规避制裁相关活动”，2017 年 8 月 22 日。<https://www.treasury.gov/press-center/press-releases/Pages/sm0148.aspx>。

⁸¹ 资料来源：2017 年 11 月 6 日商业和知识产权局给国家银行的电子邮件。

⁸² S/2017/150，第 110 至 112 段。

2014 年 12 月 31 日从事包括 NB 428 在内的若干项目(见附件 29)。专家小组已经确定,至少自 2012 年以来,阿麦科斯(Armex)公司雇用了朝鲜民主主义人民共和国工人,而与这些工人签订协议的是一家朝鲜实体,朝鲜绐罗岛贸易总公司(Korea Rungrado General Trading Corporation)(见附件 30)。专家小组记录了绐罗岛公司 2013 年参与一项高度引人注目的违反制裁行为向一个埃及实体出售飞毛腿弹道导弹备件。

112. 克里斯特(Crist)公司提供了一份声明,否认朝鲜民主主义人民共和国工人参与了 NB 428 项目。声明还断言,NB 428 是“基于标准造船解决方案建造的通用多用途船舶,与提供、制造、维修或使用违禁武器或相关材料的服务或援助没有任何联系”。该公司没有提供任何证明文件,但专家小组得到的证据显示,克里斯特(Crist)公司完全知晓船壳(NB 428 项目)是作为军舰的一部分建造的。根据合同附带的说明,底座必须“安排用于武器系统”,包括“弹药库”、“鱼雷”、“礼炮”、“轻机枪”和“重机枪”等,附图清晰展示了一个舰炮。⁸³

113. 此外,据波兰国家劳动监察局表示,19 名朝鲜民主主义人民共和国工人受雇在诺塔有限公司(Nauta S.A.)的造船厂工作,这家造船厂除其他外,“为波兰和外国海军提供军舰维修、改造和建造领域的服务”(见附件 33)。这些朝鲜民主主义人民共和国工人是通过阿尔森有限公司(Alson Sp. Zo.o)雇用的,这家公司的经营者似乎与阿麦科斯(Armex)公司相同。波兰告知专家小组,阿麦科斯(Armex)公司目前正在清算中。

114. 安全理事会第 2397(2017)号决议第 8 段责成会员国立即,但不迟于自 2017 年 12 月 22 日起 24 个月遣返所有在其管辖范围赚取收入的朝鲜民主主义人民共和国国民。同时,这一案件还表明,仍收留朝鲜海外劳工的会员国必须对工人的从属关系和活动进行审查,以避免违反制裁。

平壤国际贸易博览会

被指认实体的参与

115. 2017 年 5 月和 9 月,隶属于朝鲜民主主义人民共和国对外经济省的朝鲜国际展览社继续举办平壤国际贸易博览会。⁸⁴ 专家小组曾建议对朝鲜国际展览社进行指认,原因是它为转让、出售或供应违禁物品进出朝鲜民主主义人民共和国提供平台,从而在协助被指认实体方面发挥作用。

116. 专家小组注意到,2017 年的两次平壤国际贸易博览会涉及被指认实体及其别名,其中包括自然资源开发投资公司(Natural Resources Development & Investment Co.)(朝鲜青松联合会社的别名)和康邦贸易公司(Kangbong Trading Corporation)。此外,九龙江贸易公司(Kuryonggang Trading Co.)似乎是朝鲜九龙

⁸³ 克里斯特(Crist)公司答复了专家小组的提供答复机会信(见附件 32)。

⁸⁴ 2017 年 5 月 22 日至 25 日第 20 届平壤国际贸易博览会(春季)和 2017 年 9 月 25 日至 28 日第 13 届平壤国际贸易博览会(秋季)。

江贸易公司(Korea Kuryonggang Trading Co.)的别名, 后者本身是朝鲜檀君贸易公司的别名。

117. 此外, 参展者名单(见附件 34)中包括被会员国指认进行煤炭等违禁商品贸易的实体, 即 Songi Trading Corporation. 和 Wonbong Trading Corporation.。以前曾被专家小组调查的来自中国台湾省的华悦国际企业股份有限公司⁸⁵ 也在参与。

六轴车辆小册子

118. 一家中国公司展示的小册子中包括禁止向朝鲜民主主义人民共和国转让的六轴和七轴车辆(附件 35)。中国进行了调查并告知专家小组, 这家公司没有与任何朝鲜民主主义人民共和国实体或个人签署任何协议或合同。

大韩民国

2017 年发现的无人驾驶飞行器(无人机)残骸

119. 根据一个会员国提供的资料, 2017 年无人机残骸的飞行数据分析显示, 无人机 2017 年 5 月 2 日从朝鲜民主主义人民共和国金刚郡起飞, 前往大韩民国星州的军事设施。在返回朝鲜民主主义人民共和国时, 由于发动机故障坠毁于大韩民国麟蹄郡。无人机的相机拍摄了 555 张照片, 其中包括星州设施的 19 张照片, 表明无人机当时在进行侦查。这架无人机与 2014 年在大韩民国白翎岛坠毁的无人机类似, 但有所改进, 能够更加深入大韩民国领土执行侦查任务。

120. 与 2014 年坠毁于白翎岛的无人机类似, 这架无人机也包含外国制造物项。特别是, 发动机和自动驾驶仪是由同一家公司制造的。然而这一次, 朝鲜民主主义人民共和国抹掉了序列号, 企图遮掩来源, 从而隐藏采购路线。专家小组利用新的无人机残骸提供的机会, 向中国发出续查信函, 要求提供关于在 2014 年白翎岛无人机采购中充当中介的个人的资料, 但尚未收到答复。

网络窃取军事技术

121. 根据大韩民国的公共档案, 朝鲜民主主义人民共和国于 2016 年 4 月入侵了其一家主要造船公司。⁸⁶ 这起事件涉及窃取关于军舰和潜艇的机密资料, 其中包括可用于朝鲜民主主义人民共和国潜射弹道导弹计划的“冷发射”技术。专家小组认为, 由于这些技术信息可以直接促进朝鲜民主主义人民共和国武装部队实战能力的发展, 这种活动构成了规避武器禁运的行为。

苏丹

122. 专家小组调查了朝鲜民主主义人民共和国与苏丹的军事合作项目以及朝鲜矿业发展贸易公司代表在苏丹的存在和活动。在 2016 年至 2018 年发出的多封信

⁸⁵ 见 S/2016/157, 第 182 至 186 段。

⁸⁶ 在 2017 年 10 月向国会提交的报告中, 韩国国防部承认, 黑客入侵涉及偷窃 40 000 份文件, 其中包括来自大宇造船和海洋工程公司(Daewoo Shipbuilding & Marine Engineering Co. Ltd)的 60 份保密军事档案。

函中，专家小组要求作出澄清和提供文件以证实苏丹外交部长 2016 年 11 月据报发表的声明：“苏丹完全切断了与朝鲜的军事合作”，“苏丹正在全面执行联合国安全理事会关于朝鲜的制裁决议”。⁸⁷ 苏丹尚未答复专家小组，但一个会员国表示，与朝鲜民主主义人民共和国的合作自 2017 年 2 月以来继续进行，并指出“NPN 电子公司”(NPN Electronics Company)(미래전자회사)于 2016 年 9 月派技术人员前往苏丹，2016 年 4 月被逐离开埃及的 2 名朝鲜矿业发展贸易公司行动人员 Kim Song Chol 和 Son Jong Hyok 是苏丹与朝鲜民主主义人民共和国之间新的核心联系人。另一个会员国于 2017 年 11 月告知专家小组，“朝鲜矿业发展贸易公司继续与苏丹的国家控制企业‘军事工业公司’(Military Industrial Corporation)合作”。专家小组还在调查与朝鲜矿业发展贸易公司有关的一些从朝鲜民主主义人民共和国运往苏丹的空运和海运货物。

阿拉伯叙利亚共和国

123. 专家小组继续对朝鲜违禁弹道导弹、常规武器相关及两用货物转让以及进入阿拉伯叙利亚共和国和叙利亚境内的项目进行多次调查，包括：

- 多组朝鲜民主主义人民共和国弹道导弹技术人员以及在叙利亚被指认实体的活动。
- 2012 年至 2017 年，被会员国指认为阿拉伯叙利亚共和国科学研究中心幌子公司的实体向阿拉伯叙利亚共和国运送了超过 40 批先前未报告的朝鲜民主主义人民共和国货物。⁸⁸

124. 据信，会员国扣押的货物是朝鲜矿业发展贸易公司在阿拉伯叙利亚共和国境内合同的一部分⁸⁹，原计划运往叙利亚科学研究中心的幌子公司。这些调查揭示了有关长期和正在进行的朝鲜民主主义人民共和国违禁计划和被指认实体活动以及创新规避方法的大量新证据，包括使用平行系统发送海运文件，并通过空运发送包含实际收货人信息的真实文件。⁹⁰

弹道导弹合作与技术人员交流

125. 一个会员国告知专家小组，朝鲜民主主义人民共和国 Ryonhap-2 公司 2008 年参与了叙利亚的可操纵重返火箭飞毛腿 D(MD)型导弹项目，一个朝鲜民主主义

⁸⁷ 大韩国外交部新闻稿，2016 年 11 月 1 日。

⁸⁸ 美国指认欧洲理事会第(EU)36/2012 号条例提出的、并被日本作为扩散关切实体列入“外国最终用户名单”的叙利亚科学研究中心(第 13382 号行政命令)涉嫌参与叙利亚的大规模毁灭性武器计划。见美国财政部。“被财政部作为目标的支持叙利亚大规模毁灭性武器扩散的三个实体”，HP-216 号新闻稿，2007 年 1 月 4 日。

⁸⁹ 没有提供证明文件。

⁹⁰ 专家小组关于向阿拉伯叙利亚共和国，包括科学研究中心幌子公司运送违禁货物情况的报告：S/2010/571，第 50 和 62 段、建议 9；S/2012/422，第 57、60 和 61 和 65 至 67 段；S/2013/337，第 44 至 46 和 86 至 89 段；S/2014/147，第 51 至 54 段；S/2016/157，第 62 至 70、169 至 170 和 174 段；S/2017/150，第 99 段、表 8；S/2017/742，第 28 段。

人民共和国代表团 2011 年 2 月过境北京前往阿拉伯叙利亚共和国并于 2017 年 3 月 14 日返回。

126. 另一个会员国向专家小组通报了隶属于被指认的国防科学院(Academy of National Defence Science)的一组弹道导弹技术人员 2016 年 11 月访问阿拉伯叙利亚共和国的情况。该小组搭乘叙利亚阿拉伯航空公司客机，途经北京和迪拜机场前往大马士革。在此之前，一个朝鲜民主主义人民共和国技术代表团于 2016 年 8 月访问阿拉伯叙利亚共和国，这次访问涉及向阿拉伯叙利亚共和国转让用于化学武器计划的特种电阻阀和温度计(此外，据报还就采购 60 种物项进行了讨论)。第三组朝鲜民主主义人民共和国导弹技术人员 2016 年 4 月前往大马士革，据报居住在叙利亚军事设施内。⁹¹ 该会员国报告说，朝鲜民主主义人民共和国技术人员继续在巴泽赫、阿德拉和哈马的化学武器和导弹设施开展工作。阿拉伯叙利亚共和国答复专家小组说，“叙利亚境内没有朝鲜民主主义人民共和国技术公司，仅在体育领域有一些朝鲜民主主义人民共和国人员持私人个体合同进行竞技和体操训练”(见附件 36)。专家小组要求就这些说法提供有关文件并提供所有曾前往阿拉伯叙利亚共和国的朝鲜民主主义人民共和国国民名单，但尚未收到答复，正在继续进行调查。

被指认朝鲜民主主义人民共和国实体驻叙利亚代表的活动

127. 专家小组继续调查被指认的朝鲜矿业发展贸易公司驻阿拉伯叙利亚共和国高级官员 Ryu Jin 和该公司驻叙利亚其他官员及其继任者的活动。在一份给阿拉伯叙利亚共和国武装部队陆军供应局少将阿里·萨利姆的关于防空指挥和控制系统的正式提议中，Ryu Jin 将自己的职衔列为少将，并使用土星技术贸易公司的信头，该公司在 2013 年 1 月 22 日被指认为朝鲜矿业发展贸易公司的附属公司。⁹² 据该会员国介绍，朝鲜矿业发展贸易公司驻阿拉伯叙利亚共和国代表还通过商用航空货运进口军用货物，在这方面试图于 2016 年 7 月从全球通信公司(Glocom)进口朝鲜民主主义人民共和国军用通信天线。⁹³ 除了这些活动外，在 2015 年 7 月至 2016 年 6 月期间，Ryu Jin 向阿拉伯叙利亚共和国运送了滚珠轴承和光纤电缆，并邀请 3 名朝鲜民主主义人民共和国技术人员前往叙利亚。Ryu Jin 赚取了至少 56 000 欧元和 48 000 欧元，这些资金都是通过端川商业银行转账。

128. 据多个会员国和航空公司称，Ryu Jin 在 2014 年至 2016 年间广泛进行国际旅行。⁹⁴ 其中包括搭乘叙利亚阿拉伯航空公司航班来往于大马士革和港口城市

⁹¹ 2016 年 4 月代表团的行李被送往梅泽赫空军基地(临近大马士革)。该基地是一个重要的后勤和情报中心，叙利亚媒体报道称其反复遭到外国空袭。会员国认为代表团居住在该基地。

⁹² 土星公司因“参与或包括用其他非法手段支持朝鲜民主主义人民共和国核相关、其它大规模杀伤性武器相关和弹道导弹相关计划”，于 2013 年 1 月 22 日被列入名单。根据土星公司在 1718 制裁名单上的列名条目，[朝鲜矿业发展贸易公司]是土星技术贸易公司的母公司。见 <https://www.un.org/sc/suborg/en/sanctions/1718/materials>。

⁹³ S/2017/150，截获全球通信公司(Glocom)运往厄立特里亚的货物和全球通信公司(Glocom)的其他活动。

⁹⁴ 包括前往或经由中国、黎巴嫩、俄罗斯联邦、乌干达、阿拉伯联合酋长国的旅行。

拉塔基亚，而先前朝鲜矿业发展贸易公司的有关货物均运往该港。据信，Ryu Jin 现在使用化名在阿拉伯叙利亚共和国境外旅行，朝鲜矿业发展贸易公司驻阿拉伯叙利亚共和国第二代表 Kang Ryong 也是如此。⁹⁵ Pak Gwang Il⁹⁶ 此后取代了 Kang Ryong 成为朝鲜矿业发展贸易公司驻阿拉伯叙利亚共和国第二代表。2015 年 8 月至 2017 年 1 月，Pak Gwang Il 通过阿拉伯叙利亚共和国与黎巴嫩之间的马斯纳边境 15 次进入阿拉伯叙利亚共和国。⁹⁷ 专家小组于 2017 年 7 月向叙利亚当局发出了第 5 封信，要求提供上述个人和端川商业银行两名驻叙利亚代表的活动情况。⁹⁸ 阿拉伯叙利亚共和国答复说，叙利亚“与信中提到的两个实体或个人没有任何互动关系”。叙利亚没有答复另一项关于提供端川商业银行代表 Pak Gwang Il 和 Ryu Jin 相关信息的要求，特别是关于他们是否被驱逐的信息。调查仍在进行之中。

叙利亚与被指认实体幌子公司之间的武器运输和合作(2010 年至 2017 年)

129. 专家小组调查了 2010 年至 2017 年间迄今尚未报告的与被指认实体幌子公司进行武器运输和合作的情况，调查发现了违反武器禁运和其他违反行为的进一步证据，包括通过转让可用于弹道导弹和化学武器计划的物项。据一个会员国称，多年来，朝鲜民主主义人民共和国科斯特公司(Corst)代表被指认的第二经济委员会行事，⁹⁹ 向代表科学研究中心行事的实体运送与违禁计划有关的物项。专家小组获得的文件显示，科斯特公司(Corst)2010 年 6 月试图向大马士革运送 16 箱武器生产设备(共计 359 公斤)(图 21)。

⁹⁵ 2016 年 10 月 12 日，Kang Ryong 及其家人企图从大马士革搭乘叙利亚国际航空公司航班前往迪拜，然后转乘俄罗斯航空航班前往莫斯科(使用化名 Ri Chun Sik)，但在迪拜转机时被拒绝入境。他后来使用化名 Ri Chun Sik 途经莫斯科前往平壤，所使用的紧急护照编号为 7640001。

⁹⁶ 박광일，出生日期：1973 年 2 月 26 日，护照编号 PD836310028。

⁹⁷ Pak Gwang Il 的行踪与 Kang Ryong 类似，后者在 2015 年 2 月至 12 月间 25 次进出阿拉伯叙利亚共和国。黎会员国给专家小组的信所载资料。

⁹⁸ 他们是 Jang Bom Su(出生日期：1957 年 4 月 15 日)，别名 Jang Hyon U(出生日期：1958 年 2 月 22 日；护照编号：654210151)，和 Jon Myung Guk，别名 Jon Yong Sang(出生日期：1976 年 1 月 1 日；护照编号：654210108)。

⁹⁹ 根据制裁名单，该委员会参与了朝鲜导弹计划的关键方面，监督该国的弹道导弹生产，并指导朝鲜矿业发展贸易公司开展活动。

图二十一
朝鲜民主主义人民共和国科斯特公司 (Corst) 2010 年试图向大马士革运送武器生产设备

The image shows a scanned Air Waybill form. The top section contains the sender's information: CORST COMPANY LTD, 123, CENTRAL DISTRICT PYONGYANG, D.P.R. OF KOREA, TEL/FAX 00650 2 381 5770. The destination is MECHANICAL CONSTRUCTIONS FACTORY DAMASCUS, AL-QADAM INDUSTRIAL ZONE, P.O. BOX 35202, DAMASCUS, SYRIA, TEL/FAX +963 11 5142565. The form also includes fields for weight, volume, and carrier information. The date '12 JUN 2010' is printed at the bottom.

资料来源：专家小组。

130. 科斯特公司(Corst)于 2017 年 7 月向阿拉伯叙利亚共和国发出货物，用于违禁计划，货物由科学研究中心的一名研究人员接收。专家小组还收到文件，显示科斯特公司(Corst)为发货人。发票上的叙利亚收货人联系号码¹⁰⁰ 与会员国和欧盟列名的科学研究中心幌子公司美佳贸易(Megatrade)¹⁰¹ 相匹配。此外，科学研究中心还将相同的电话/传真号码和地址用于其另一家幌子公司电子配件有限公司(Electric Parts Ltd)，以接收朝鲜民主主义人民共和国的导弹相关货物，这批货物 2012 年被大韩民国缴获。¹⁰²

131. 一个会员国称，朝鲜民主主义人民共和国还通过普松贸易公司(Pusong Trading)(부성무역)(又称朝鲜普松公司(Korea Pusong Corporation))的 Choe Ki Yong (최기용)向叙利亚提供违禁材料，该公司也隶属于第二经济委员会。这些材料通过代表科学研究中心行事的公司(精英测绘仪器公司(Elite Surveying Instruments Co.)和美佳贸易(Megatrade))交付给科学研究中心。¹⁰³ 根据专家小组提供的空运货单号码，运输公司证实了会员国提供的信息，包括朝鲜民主主义人

¹⁰⁰ 电话号码是 00963 114471081。

¹⁰¹ “52. Megatrade, Address: Aleppo Street, P.O. Box 5966, Damascus, Syria; Fax: 963114471081. ‘Acts as a proxy for the [SSRC], which is listed. Involved in trade in dual use goods prohibited by EU sanctions for the Syrian government’; 16.10.2012.” (见欧洲联盟 L330/9 号正式公报，2012 年 11 月 30 日)。

¹⁰² 见 S/2013/337，第 46 段附件九所列地址为“大马士革阿勒颇街”，电话为 00963114471081。

¹⁰³ 专家小组 2017 年最后报告指出，“精英测绘仪器公司(Elite Surveying Instruments)是朝鲜普松公司(Korea Pusong Corporation)的别名”，后者“被一个会员国指认，制造与汽车有关的机械部件，如研磨机和轴承”，还指出“精英测绘仪器公司(Elite Surveying Instruments)参与了向阿拉伯叙利亚共和国实体‘美佳贸易(Megatrade)’非法运送两用物品”。见 S/2017/150，第 99 段。

民共和国发货人是“Elite Surveying Instruments Co.”，收货人是“Mr. Adeeb Kabekli, Aleppo Street, Building 54, Damascus, Syria, Tel: 00963-11-447-1081”，其姓名、地址和电话号码均与 2017 年 7 月科斯特公司(Corst)运往美佳贸易(Megatrade)货物的收件人信息相匹配(见附件 36)。

132. 朝鲜矿业发展贸易公司在阿拉伯叙利亚共和国使用了创新规避方法。通常的做法是将收货人、发货人和寄销人信息放入集装箱装运相关文件中，但在这些案件中，提供实际收货人信息的文件是通过空运单独发送的。例如，朝鲜民主主义人民共和国通过空运把给科学研究中心幌子公司机械系统公司(Mechanical Systems)的实际提单和货物清单发送给朝鲜矿业发展贸易公司驻叙利亚代表 Kim Kwang Chol，其中所列发货人是一家在平壤经营的外国公司“中国德力西集团平壤办事处”(China Delixi Group Pyongyang office)，但联系人则是朝鲜民主主义人民共和国国民 Pak Song Il。所列收货人是朝鲜民主主义人民共和国驻阿拉伯叙利亚共和国大使馆(见附件 36)。专家小组指出，虽然一些国际物流公司已经加强了对所有与朝鲜民主主义人民共和国有关货物的检查，但“密封外交货物”则是例外，朝鲜民主主义人民共和国经常利用这些货物进行涉及被指认实体的违禁活动。再加上使用所谓的外国公司，这些做法证明企图进一步掩盖违禁货运的时间、路线和内容。专家小组已查明，从 2012 年 12 月到 2017 年 12 月，有 39 批从朝鲜民主主义人民共和国运往阿拉伯叙利亚共和国的货物涉及上述公司。调查仍在进行之中。

133. 该会员国还告知专家小组，朝鲜民主主义人民共和国国民 Choe Jin Myong¹⁰⁴ 长期担任军事通信设备公司七星贸易公司(Chilsong Trading Company)的代表，他一直与被指认的大玲江贸易公司(Daeryonggang Trading Corporation)¹⁰⁵ 驻北京代表 Han Il 合作，充当中间人，向叙利亚军火公司约纳星国际(Yona Star International)运送武器相关设备。¹⁰⁶ 这项交易包括宽带通信设备和超长距离探测雷达，以及一部爆炸物处理车辆。另一个会员国告知专家小组，它怀疑“[叙利亚]通过朝鲜实体翔龙技术公司(Chonryong Technology Corp)获得数吨常规武器”。双方于 2016 年 9 月举行谈判，涉及采购 30 毫米榴弹发射器、7.62 毫米六管机枪和 30 毫米六管自动炮。

被拦截的货运

134. 两个会员国拦截了载有相同物项的运往阿拉伯叙利亚共和国的货物，而另一会员国告诉专家小组，该国有理由相信这些货物涉及朝鲜矿业发展贸易公司与叙利亚一些实体的合同，¹⁰⁷ 据了解这些实体涉及朝鲜民主主义人民共和国进行的化学、弹道导弹或常规武器开发领域违禁活动。

¹⁰⁴ 최진명，出生日期：1962 年 10 月 14 日，护照编号：472220689。

¹⁰⁵ 据该会员国称，使用这一别名的是被指认的南川江贸易公司。

¹⁰⁶ 约纳星国际(Yona Star International)已被另一会员国指认，见美国财政部，“财政部制裁向叙利亚政府提供支持的网络”，新闻稿，2016 年 7 月 21 日。

¹⁰⁷ 专家小组没有这项合同的副本。

1. 发货人

135. 货物提单显示一家中国公司诚通贸易有限公司为发货方，日期是 2017 年 1 月(见附件 37)。这些货物属于同一公司一批共五次发货的一部分，另三次发货日期在 2016 年 11 月 3 日至 2016 年 12 月 12 日之间。

136. 诚通贸易有限公司提交的合同显示，所有五次发货所涉货物均由叙利亚公司取得，总价值大约为 32 0000 美元(见附件 38)。合同规定发货前须预付 30% 的款项，但诚通公司没有提供任何汇款单据。专家小组已要求中国提供这些证据。中国对专家小组关于诚通贸易有限公司的询问作出答复，指出“中国不掌握任何线索或证据显示诚通贸易有限公司与朝鲜矿业发展贸易公司或其他被指认的朝鲜民主主义人民共和国实体或个人有过交易，或该公司参与过违反安全理事会涉及朝鲜民主主义人民共和国的决议的活动。如果专家小组掌握关于诚通贸易公司与朝鲜矿业发展贸易公司关系的任何具体证据，请向中国提供此类证据，以协助中国开展进一步调查。”

2. 收货人

137. 被拦截的货物原定送往设在大马士革的一家公司金属制造厂(Metallic Manufacturing Factory)(见附件 37)，而据一个会员国称，该公司系机械建造厂(Mechanical Construction Factory)的代理商，¹⁰⁸而后者是科学研究中心¹⁰⁹的幌子公司。机械建造厂曾因充当一批被拦截军事专用物项和可能用于军事用途的其他物项的收货人而受到专家小组的调查。¹¹⁰

138. 诚通贸易公司发出的货物中包括另一批发送到设在大马士革的名为通用电缆公司(General Co. For Cables)的货物，而据报告后者是科学研究中心另一家幌子公司工程行业总组织(General Organization for Engineering Industries)(见附件 39)的下属机构。¹¹¹

3. 货运物品

139. 专家小组在应会员国邀请对拦截的货物进行调查的过程中发现物品与提单相一致。第一批货运物品包含 6 个集装箱，内含耐酸砖片。第二批货运是 7 个集装箱，内有相同的耐酸砖片，加上胶合剂及零配件(见图二十二)。这些砖片的数量可以覆盖 5 000 平方米，面积符合大规模工业项目的需要。一个会员国对砖片进行技术分析后认为，这些砖片可用于高温环境下从事的活动。尽管专家小组确

¹⁰⁸ 美国财政部，“Treasury sanctions senior Al-Nusrah Front leaders concurrently with UN designations”，新闻稿，2017 年 2 月 23 日。可查看 www.treasury.gov/press-center/press-releases/Pages/sm0011.aspx。

¹⁰⁹ 美国财政部，“Treasury increases sanctions against Syria”，新闻稿，2012 年 7 月 18 日。可查看 www.treasury.gov/press-center/press-releases/Pages/tg1642.aspx。一会员国称，科学研究理事会对于研发和制造非常规武器及其运载导弹负有责任(美国财政部，“Fact sheet: increasing sanctions against Syria”，2012 年 7 月 18 日)。

¹¹⁰ 见 S/2013/337，第 86 至 89 段。

¹¹¹ 美国财政部，“Treasury increases sanctions against Syria”。

定所扣押的物项并未列入任何管制清单，但另一个会员国告诉专家小组，这批货物中包含“可用来制造作为化学工厂内墙的砖片”。

图二十二

专家小组检查的耐酸砖片



资料来源：专家小组。

140. 2016 年 11 月和 12 月的货运所包含的物项与另一个大规模工业项目相一致，包括阀门、焊接管(23 吨)、不锈钢无缝管(27 吨)和电缆。调查仍在进行之中。

瑞士

军用机械厂所用机器人臂

141. 专家小组调查了 2015 年 12 月 20 日朝鲜中央电视台上播放的“1 月 18 日通用机械厂”节目中看到的由一家瑞士制造商生产的机器人臂，据悉这个工厂负责生产军用品(图二十三)。¹¹² 专家小组发现，机器人臂系朝鲜民主主义人民共和国 2006 年至 2015 年期间在制造商不知情的情况下间接采购的。专家小组注意到，根据安全理事会第 2397(2017)号决议中禁止出售协调制度编码 84 下物项的第 7 段和第 2270(2016)号决议第 8 和 27 段的规定，机器人臂现在已被禁止。

¹¹² 见 S/2017/150，第 194 段。

图二十三

1月18日通用机械厂使用的机器人臂



资料来源：朝鲜中央电视台。

乌干达

142. 专家小组继续调查乌干达境内违禁军事活动和为被指认实体效力的人前往该国的情况。2017年9月6日，乌干达通知专家小组说，第1874(2009)号决议所禁止的所有与朝鲜民主主义人民共和国的剩余军事合作项目均已过期或终止。¹¹³ 与朝鲜民主主义人民共和国军事训练小组签订的第一项合同已于2017年4月27日到期，并未延续。专家小组注意到，涉及朝鲜民主主义人民共和国空军飞行员和技术人员的另一个合同定于2018年3月20日到期，但已于2017年某日(日期不详)终止。¹¹⁴ 乌干达与专家小组合作，提供了所要求的合同以及空军合同中从旅长到少校等不同军衔的19名军官和军事训练小组中3名上校和1名少校的名单，这些人都已离开乌干达。¹¹⁵ 专家小组询问有关同样在利比亚、苏丹和阿拉伯叙利亚共和国开展活动且记录显示曾前往乌干达的朝鲜矿业发展贸易公司的4名高级官员的情况，然而乌干达尚未对此作出答复。¹¹⁶ 乌干达于2017年12月报告说，两名朝鲜民主主义人民共和国外交官“据称受雇于受联合国制裁的实体朝鲜矿业发展贸易公司的Yu Kyong Jin先生和Jong Kuk Chol先生已于2017年10月被要求离开该国。”¹¹⁷ 专家小组询问有关朝鲜民主主义人民共和国驻坎

¹¹³ 虽然专家小组于2015年6月建议乌干达停止与朝鲜民主主义人民共和国的所有军事合作，但合同到期后过了两年多，而且未予延续。

¹¹⁴ 专家小组2015年7月24日给乌干达的信中第一次指出乌干达空军基地有朝鲜民主主义人民共和国空军训练人员。见S/2016/157，第114段和图二十五。

¹¹⁵ 专家小组注意到，朝鲜民主主义人民共和国军事训练小组的薪金是以美元向朝鲜民主主义人民共和国驻坎帕拉大使馆支付的。

¹¹⁶ 见S/2017/150，表8。

¹¹⁷ 见S/AC.49/2018/11，附件。乌干达关于安全理事会第2321(2016)和第2371(2017)号决议执行情况的报告，2018年1月18日。

帕拉大使馆武官试图向第三国提供决议禁止的军事服务情况，对此乌干达尚未回复。¹¹⁸

坦桑尼亚联合共和国

143. 专家小组继续调查海金刚贸易公司(Haegumgang Trading Corporation)(别名 Haegumgang) 价值 1 049 万欧元的坦桑尼亚联合共和国 Pechora (S 125)型地对空导弹系统和 P-12 防空雷达修理和升级合同。坦桑尼亚告诉专家小组，“2014 年坦桑尼亚决定立即终止专家小组的报告所提及的坦桑尼亚政府和朝鲜民主主义人民共和国海金刚贸易公司的工作业务关系”。¹¹⁹ 不过，据一个会员国称，军事合同仅于 2014 年 4 月“暂停”，而“鉴于朝鲜民主主义人民共和国收取了 40% 的合同首付款，与朝鲜的军事合作已于 2016 年 7 月恢复”。驻刚果民主共和国的海金刚贸易公司负责人 Kim Kwang Nam¹²⁰ 于 2016 年 12 月率领朝鲜民主主义人民共和国电子作战装备技术员进入坦桑尼亚。一个会员国说，这些军事技术人员目前居住在 Kibaha 镇邻近的 Nyumbu 地区坦桑尼亚军事设施内，自 2017 年 2 月至今一直从事 P-12 雷达升级工作。专家小组致函坦桑尼亚联合共和国，要求获得取消合同和所有技术员和海金刚公司人员在该国逗留时间的证据。专家小组仍在等待回复。专家小组注意到，海金刚公司一直在邻国莫桑比克从事更新同一类型防空系统的活动。¹²¹

津巴布韦

144. 专家小组正在调查有关万寿台海外开发会社¹²² 及代表朝鲜青松联合会社和侦察总局的工作人员驻津巴布韦的报告。津巴布韦提供了关于两家万寿台公司“万寿台弹药供应公司(Mansudae Ordinance Supplies)”和“万寿台 Boka 设计公司(Mansudae Boka Design Company)”的资料，指出后者“并非万寿台海外开发会社或万寿台创作社的子公司”。此外还说万寿台弹药供应公司“没有业务活动”，万寿台 Boka 设计公司“侧重于黄金和贵金属”生意，最初是一家“珠宝设计公司”，目前是“珠宝制造商”。¹²³ 然而，专家小组注意到万寿台 Boka 设计公司的 3 名董事中有 2 人 Yun Kyong Chol 和 Kim Kyong Ryop 是朝鲜民主主义人民共和国国民。津巴布韦通知专家小组，该公司正在解散。专家小组致函索取资料以了解 83 名朝鲜民主主义人民共和国国民的出入境资料及其代表被指认的实体所进行的活动，¹²⁴ 对此津巴布韦通知专家小组，Ri Hak Chol 于 2017 年 8 月 18 日乘飞机前往津巴布韦，于 2017 年 8 月 23 日离境。2017 年，Kim Yong Nam 至

¹¹⁸ 见 S/2017/150，第 122 段。

¹¹⁹ 见 S/2017/742，第 30 段。

¹²⁰ 出生日期 1958 年 11 月 27 日，护照号码 836420376。

¹²¹ 见 S/2017/742，第 26 段。

¹²² 安全理事会第 2371(2017)号决议，附件二，指出万寿台海外开发会社据报告在津巴布韦“从事商业活动”。

¹²³ 专家小组 2017 年 10 月 26 日收到的信。

¹²⁴ 专家小组给津巴布韦的信，2017 年 10 月 12 日。

少两次前往津巴布韦(2月15日至23日和6月21日至8月23日)。¹²⁵ Ri Hak Chol 是 Saeing P'il 公司总裁,曾前往安哥拉、埃及和伊朗伊斯兰共和国,据报在这些地方从事朝鲜民主主义人民共和国武器相关活动。¹²⁶ 据报 Kim Yong Nam 是侦察总局的工作人员,该机构是监督青松联合会社活动的被指认实体。专家小组继续调查这些人在津巴布韦的活动。¹²⁷

奢侈品禁令执行情况

元山航空展

145. 专家小组调查了以前报告的2016年9月元山航空展上看到的两架飞机的运行情况。¹²⁸ 关于太平洋航空航天有限公司制造的 P-750 XSTOL 型飞机,新西兰政府告诉专家小组,国家海关局进一步调查了该案件,起诉太平洋航空航天有限公司公司向朝鲜民主主义人民共和国间接出口了飞机零部件。此外,太平洋航空航天有限公司告诉专家小组说,公司实施了新的政策和程序,以加强对出口的内部管制制度。

Bugsae Shop(亦拼作 Buksae)

146. 专家小组调查了与新加坡 OCN(Singapore)Pte Ltd.公司有牵连的 Bugsae Shop 在平壤的运营情况。(图二十四), (见第 178 至 188 段)。媒体报道显示,欧洲联盟和日本制造的奢侈品经另一家设在新加坡的公司 T Specialist International (Singapore) Pte Ltd 进口分销。专家小组注意到,根据新加坡进出口条例,包括葡萄酒和烈酒在内的多种奢侈品都禁止向朝鲜民主主义人民共和国出口。¹²⁹

¹²⁵ 据津巴布韦移民局指出,Ri Hak Chol 使用了朝鲜民主主义人民共和国护照,号码是 836220494。Kim Yong Nam 使用了朝鲜民主主义人民共和国护照,号码是 836120079。

¹²⁶ 见 S/2017/150, 表 9。

¹²⁷ 见 S/2017/150, 第 103、207 至 209 段(安哥拉);第 181 和 182 段(埃及);新闻稿 SC/10633, 2012 年 5 月 2 日(伊朗伊斯兰共和国)。

¹²⁸ 见 S/2017/150, 第 126 至 128 段。

¹²⁹ 见 S/2013/131, 附件 11。

图二十四

图像显示 2017 年 7 月在平壤开设的 OCN 集团旗下 Bugsae Shop



资料来源：NK Pro。

与据说设在日本的名创优品(MINISO)零售连锁店有牵连的平壤分店

147. 专家小组调查了 2017 年 4 月在平壤开张的一家新的名创优品分店,其广告自称是“总部在日本的设计师品牌”(见附件 40)。名创优品的网站显示其商店物品,如化妆品和耳机等,根据第 1718 (2006)号决议可视为奢侈品,因为这些物品属于日本禁销奢侈品之列。2017 年 1 月 18 日,在平壤分店开张之前,名创优品与朝鲜民主主义人民共和国签署了一份战略合作协定,出席签字仪式的有朝鲜经济合作理事会中国丹东办事处的首席代表 Nan Chengyi、名创优品的全球联合创始人 Miyake Junya(首席设计师)和 Ye Guofu(首席执行官)(见附件 41)。名创优品称其在平壤零售的物品并非在日本生产,而由名创优品的中国办事处经管该品牌海外特许经营,包括平壤分店。专家小组与该公司联系后,该品牌在其网站上删除了在日本总部的地址(见附件 42)。此外,平壤店也在其包装上改变了零售品牌(见图二十五)。专家小组还致函该公司表达对可能违反有关合资公司方面禁令的担忧,迄今尚未收到回复。

图二十五

改变包装上零售品牌名称实例



资料来源：朝鲜新闻网。

奢侈品禁令所涉其他案件

148. 专家小组调查了至少 5 个会员国向朝鲜民主主义人民共和国出口奢侈品的情况,发送了调查询问单并汇编了证据资料。

首饰、珠宝、宝石及次等宝石(协调制度编码 71)

149. 据联合国商品贸易统计数据库统计, 2017 年 1 月至 6 月, 印度向朝鲜民主主义人民共和国出口了价值为 578 994 美元的贵金属和宝石。2017 年 1 月至 6 月最大宗商品出口是钻石(协调制度编码 710239), 价值 514 823 美元。

150. 专家小组重申第 2094(2013)号决议附件四第 1 段所列首饰物项与协调制度编码 71 起的各条目相同, 并呼吁会员国在出口该编码分类物品时多加小心。¹³⁰

151. 欧盟理事会 2016 年 4 月 29 日(EU)2016/682 号条例修正了执行安理会第 2270(2016)号决议的(EC)329/2007 号条例, 其中附件四所载协调制度编码表与禁止向朝鲜民主主义人民共和国转移的奢侈品清单相一致。

葡萄酒(包括汽酒)、烈酒和含酒精饮料(协调制度编码 220410, 220421、220429、2205 和 2208)

152. 欧盟理事会条例通过之后, 德国(2016 年 6 月至 2017 年 6 月期间)向朝鲜民主主义人民共和国出口了葡萄酒(包括汽酒)和烈酒, 总值达 151 840 美元。意大利 2016 年 7 月至 2017 年 2 月期间出口了葡萄酒和苦艾酒, 价值为 46 992 美元, 而保加利亚 2017 年 4 月出口了价值为 11 959 美元的葡萄酒。在给专家小组的答复中, 所有三个国家都表示按照欧盟理事会 2016 年条例这些交易应享有豁免。虽然“葡萄酒、苦艾酒和其他新鲜葡萄酿酒”及乙醇酒精确实享有豁免, 但德国出口商品如果属于协调制度编码 22041011(香槟酒)和协调制度编码 22041091(阿斯蒂汽酒)就不能豁免。

153. 此外, 智利 2016 年 6 月至 2017 年 8 月期间出口了价值 290 880 美元的葡萄酒。专家小组没有从智利收到说明葡萄酒是否适用国内奢侈品禁令的回复。

香水和化妆品(协调制度编码 3303、3304、3305 和 3307)

154. 2016 年 9 月至 2017 年 6 月期间, 保加利亚向朝鲜民主主义人民共和国出口了价值 198 074 美元的香水和化妆品。德国在 2016 年 9 月至 2017 年 4 月出口的同类物品价值为 62 179 美元。这两个国家告知专家小组, 根据上述欧盟理事会条例这些交易享有豁免。

155. 专家小组指出, 2017 年 11 月 13 日新的欧洲联盟条例附件八(欧盟理事会(EU)2017/2062 号条例)修改了(EU)2017/1509 号条例, 取消上述豁免, 全面禁止这些物品。

五. 金融

156. 由于未能充分发现和预防朝鲜民主主义人民共和国的隐蔽活动, 执行工作存在严重缺陷, 朝鲜继续得以利用国际金融体系。朝鲜民主主义人民共和国的欺骗性做法加之许多会员国缺乏适当行动, 使金融制裁的成效不断有系统地受到破坏。

¹³⁰ 见 S/2016/157, 第 129 段。

157. 很多会员国确实没有对朝鲜民主主义人民共和国驻本国境内或经由本国过境的银行代表所开展的活动进行充分调查。包括被指认银行在内的许多朝鲜民主主义人民共和国金融机构都有海外代表网络，这些代表继续自由越境在许多国家进行交易，并设立国外住所。他们之所以能够这样做恰恰是因为这些代表的活动未受到充分的监督，而且未能履行义务驱逐代表朝鲜民主主义人民共和国银行或按朝鲜银行指示办事的人，未能关闭这些银行的分行、下属机构和代表办事处，未能冻结被指认从事违背或逃避决议条款的朝鲜民主主义人民共和国实体或政府官员所控制的资产。

158. 专家小组还调查了朝鲜民主主义人民共和国银行及其代表开户和交易的惯常方式，发现一些外国金融机构的警戒措施和认真尽职审查程序不充分。虽然在某些情况下，账户的开设是在进行指认或采取相关制裁措施之前，但专家小组发现，这些金融机构没有对业务初始阶段开展充分的认真尽职调查，对交易程序的监督不充分，且在很大程度上没有对这些高风险账户进行审查。开设账户时采用的隐蔽做法包括将账户列在外国人、幌子公司和家人名下，并规定授权朝鲜民主主义人民共和国的一个国民拥有对账户的签名权和控制权。被专家小组调查的账户都频繁出现现金提款，表明大额现金在朝鲜民主主义人民共和国商业交易中的重要作用。

159. 专家小组的金融调查还突出表明公司服务商是一个重要的软肋。这些服务商未能成为防范逃避制裁的第一道防线，反而往往为逃避制裁提供便利，尽管是在不知情的情况下。一旦朝鲜民主主义人民共和国在外国人帮助下完成对一个与朝鲜没有明显联系的幌子公司的注册，朝鲜公司通过金融机构初步审查并开设和维持账户就容易得多。专家小组对一家其所有权牵涉到朝鲜民主主义人民共和国金融机构的新加坡公司进行了调查，发现它利用海外代表和幌子公司，尤其是在香港设立的公司确保其交易不会暴露它与被指认的朝鲜民主主义人民共和国实体或利益存在明显联系。

160. 专家小组对 Glocom 公司的调查凸显类似的规避特征，调查显示多个海外账户、尤其是在受信赖的地方合作伙伴帮助下以幌子公司名义开设的账户使朝鲜得以在不同银行和司法管辖地域内和相互之间转移资金。该网络的交易，无论是为了在其本身网络内由其控制的账户之间转移资金，还是为支付供应商，往往使用一系列规避手法，包括大规模使用大笔现金、香港和其他地方的幌子公司、中间商和分类账目系统。

161. 专家小组还调查了马来西亚高丽伙伴公司集团(Malaysia-Korea Partners Group of Companies (MKP))，这是一个朝鲜民主主义人民共和国大型合资企业的海外分支机构网络，与侦察总局和万寿台海外集团有牵连，并与朝鲜民主主义人民共和国金融机构有关联。这一网络从管理结构分散的经营模式中获益不浅，这种模式帮助在纸面上使该集团的活动与其朝鲜民主主义人民共和国获益者、与非朝鲜民主主义人民共和国国民的合作、包括与集团业务所在国知名政治和商业人物保持距离。此外，专家小组发现有数家公司、一些情况下还有一些外国政府在帮助该网络为其活动筹资，违反了禁止这类活动的决议的规定。

朝鲜民主主义人民共和国在海外的银行代表和银行账户

162. 专家小组调查了在海外开展义务活动的朝鲜民主主义人民共和国金融机构的 30 多名代表, 包括端川商业银行、朝鲜金刚集团银行、外贸银行、第一信贷银行、大成银行、Ilsim 国际银行、东方银行、大同信贷银行和柳京商业银行, 这些机构的代表 2017 年在中国、利比亚、俄罗斯联邦、阿拉伯叙利亚共和国和阿拉伯联合酋长国开展业务(见附件 43 和 44)。专家小组以前曾报告了在所列的一些案件中利用朝鲜民主主义人民共和国大使馆为该国银行业务服务的情况。¹³¹ 专家小组还注意到, 许多这样的代表继续进行国际旅行。第 2321(2016)号决议通过以来驻利比亚的外贸银行代表 Ku Ja Hyong 就作了多次旅行, 包括前往阿拉伯联合酋长国迪拜、沙特阿拉伯吉达。专家小组回顾, 会员国必须驱逐任何被认定违反第 2270(2016)号决议第 33 段和第 2321(2016)号决议第 33 段的规定代表朝鲜民主主义人民共和国银行或按其指示办事的人。

为朝鲜民主主义人民共和国金融机构办事的个人和实体的海外账户

163. 专家小组致函有朝鲜民主主义人民共和国金融机构和被指认实体在其管辖区域内开设银行账户的 10 多个会员国, 索要账户资料和交易信息。一个会员国答复说, 专家小组的信中提到的 125 个账户中有 99 个已经查明并关闭, 唯一的例外是一个以未被指认的名字开设的账户。

164. 其他会员国的回复使专家小组可以分析朝鲜民主主义人民共和国金融机构及其代表是如何开设海外银行账户的。¹³² 这一信息显示, 在国外开展业务活动的朝鲜民主主义人民共和国银行的代表使用了各种规避手法, 包括利用外国国民、幌子公司和当地朝鲜民主主义人民共和国大使馆, 设立和使用朝鲜民主主义人民共和国国民有权签名的银行账户。例如, 有一名中国护照持有者金辉星于 2013 年 11 月 23 日在突尼斯国际阿拉伯银行开设了一个欧元账户(见附件 45), 但管理该账户的是朝鲜民主主义人民共和国公民 Nam Sok Cha。该账户 2016 年 8 月 7 日被突尼斯国际阿拉伯银行关闭, 余额为 181 730.00 美元。2013 年 11 月 27 日, 另一名中国护照持有者吉红花在突尼斯国际阿拉伯银行开设账户, 但授权签名人是上述同一朝鲜民主主义人民共和国国民。突尼斯国际阿拉伯银行于 2015 年 7 月 24 日冻结了这一账户, 余额为 25 869.70 美元。开户材料显示, 金辉星和吉红花两人为上述账户填写的住址均为 “Embassy of Democratic Korea Tripoli Libya” (见附件 45)。2012 年 7 月 18 日, Ri Chun Song 以 “朝鲜民主主义人民共和国驻的黎波里使团秘书代表” 的身份在突尼斯国际阿拉伯银行开设了欧元账户, 此后该账户于 2013 年 8 月 22 日被关闭。Ri Chun Song 是外贸银行驻北京代表。¹³³ 此人也与 Nam Sok Chan 一起被列为 2012 年 7 月 2 日以朝鲜民主主义人民共和国外贸银行名义在突尼斯阿拉伯银行开设的一个美元账户的授权签名人, 该账户于

¹³¹ 见 S/2017/150 号决议, 第 236、241、185 段和附件 14 至 27。

¹³² 专家小组收到奥地利、白俄罗斯、比利时、法国、意大利、拉脱维亚、大韩民国、新加坡、瑞士和突尼斯的回复。

¹³³ 中国答复专家小组说, 此人作为被指认的个人, 已被拒绝入境, 并已要求中国银行冻结其资产。

2012 年 11 月 11 日关闭。最后，外贸银行以一家幌子公司“Kartos”名义于 1999 年 5 月 12 日在突尼斯阿拉伯银行开设了另一账户，定期指定多名朝鲜民主主义人民共和国国民为新的签名人。此账户于 2012 年 3 月 3 日关闭。这些案例显示，金融机构在把握客户风险评估时有必要考虑到是否有朝鲜民主主义人民共和国人员涉足的因素。将多人列为受权签名人的做法使得外贸银行能够继续从同一账户进行交易，而银行代表则穿梭往来于外贸银行的全球各个办事处。专家小组获得一份 2011 年外贸银行利比亚代表给朝鲜民主主义人民共和国驻维也纳大使馆的传真指令，要求外贸银行奥地利代表向设在突尼斯的突尼斯阿拉伯银行的欧元和美元账户转账，这表明外贸银行在开展全球合作。

165. 关于在奥地利的账户，其前任驻地外贸银行代表 Kim Yu Jin 在建立一个繁复的金融关系网络中起着推手作用，他至少在三家不同金融机构以外贸银行名义开设了账户(包括在同一银行开设的三个账户)，并以本人、Korea Ungum Co.公司和朝鲜民主主义人民共和国大使馆工作人员妻子名义开设了其他账户。奥地利表示，Kim Yu Jin 本人是朝鲜民主主义人民共和国驻奥地利大使馆的行政及技术职员，他在派任证书到期后离开。¹³⁴ 截至 2017 年 10 月 26 日，奥地利当局关闭了由那些与大使馆有关联的人员所拥有的 12 个银行账户。奥地利指出，这一行动超越了第 2321(2016)号决议第 16 段的要求，因为该段仅提及外交官和领事官员。这一解释表明，有些会员国可能认为行政及技术职员不在制裁范围。但是专家小组认为，2321(2016)号决议第 16 段适用于朝鲜民主主义人民共和国大使馆所有工作人员，包括贸易、行政、助理和技术人员，这尤其是因为这些大使馆有过利用这些人员为朝鲜金融机构开设账户并进行交易的历史。专家小组还回顾其先前的建议，即会员国应确保不得以外交官家庭成员的名义开设其他账户。¹³⁵

开设银行账户的记录材料

166. 对朝鲜民主主义人民共和国金融机构及其代表开设银行账户时提交的证件材料所作分析显示，金融机构在接纳客户程序中没有开展认真的尽职审视工作。例如，欧洲一家大银行在对朝鲜大成银行代表希望开设欧元账户的申请时所作的尽职审视显示，没有对朝鲜大成银行在反洗钱问卷上的答复进行独立的审查或核实。尽职调查核查单显示，尽管存在针对申请人的负面公共信息(包括在汤姆森·路透基金会的“路透世界核查”数据库中的一条信息)，而且该银行的监管机构是朝鲜民主主义人民共和国中央银行，也没有提供任何经审计的文件。¹³⁶ 但银行合规部仍建议接受该申请。

167. 新加坡向专家小组提供了来自东北亚银行的一家幌子公司 Great Best Trading Pte., Ltd.的申请表和账单，幌子公司的地址与 Chinpo 海运公司和东海海运会社(Tonghae Shipping Agency)的地址相同，两者的主要管理人员和股东也相同，显示与海洋海事管理公司有关联。尽管账户最初于 1995 年开设，但并没有证据

¹³⁴ 朝鲜民主主义人民共和国大使馆另一人员 Pak Kang Son 也在 4 家不同银行开设了账户。

¹³⁵ 见 S/2017/742，第 65 段。

¹³⁶ 而且也没有对银行的母公司朝鲜大成经济集团进行任何研究。

显示银行进行了账户审查，包括当公司最初申请开设“企业特权账户”时、以发送简单的传真申请后就增设了欧元账户时、以及在 2013 年该账户的平均余额达到 995 000 美元并出现大笔整数提款和存款时都没有进行账户审查。专家小组注意到，会员国有义务根据第 2094(2013)号决议第 11 段加强监测，以防止可能有助于违反决议或躲避制裁的交易。

利用一家欧洲会员国的银行违反制裁

168. 2009 至 2016 年，某一欧洲会员国的银行曾被一些外国有组织犯罪集团用来规避制裁制度，包括对朝鲜民主主义人民共和国违禁计划相关物品和设备出口的制裁。几家银行的客户以一系列复杂的交易转移资金，涉及到海外公司为朝鲜民主主义人民共和国实体所持的账户。银行的海外客户未与受制裁实体直接交易，而是通过中间人网络进行交易。其银行因这类操作被罚款的会员国向专家小组通报了涉足这种业务的类型。这些类型显示，银行没有开展充分的认真尽职调查及交易监督，而且没有充分核查交易的受益方。尽管朝鲜民主主义人民共和国在地理上远离涉事会员国，但其金融机构仍被用来躲避制裁，具体做法就是通过使用海外的幌子公司。这一违规行为是通过会员国之间分享信息发现的。由此显示，朝鲜民主主义人民共和国的隐蔽行动大大增加了实施金融制裁的难度，彰显建立会员国与银行间信息交流机制的重要性，因为银行自由分享专有资料的能力几乎始终受到严重限制。¹³⁷

侦察总局的金融业务

169. 专家小组分析了意大利提供的交易记录，涉及两大金融机构超过 6 个由侦察总局官员 Kim Su-Gwang 在意大利开设的账户，此人及其父亲和妹妹的资产于 2014 年 1 月被法国冻结，而后者名为 Kim Su Gyong，是朝鲜联合发展银行的官员。¹³⁸ Kim Su-Gwang 在国际组织的就业为其提供了掩护，尽管这一就业关系于 2015 年 1 月 23 日结束，但此人在意大利依然持有资产和至少一个账户，并分别于 2015 年 2 月和 2016 年 11 月两次签订了各为期 4 年的公寓租约，而交易记录显示该公寓可能分租给其他朝鲜民主主义人民共和国国民。¹³⁹ 同时，他还于 2017 年 9 月 24 日至 12 月 16 日担任朝鲜民主主义人民共和国驻白俄罗斯的副贸易代表，其间他携妻使用载有外交牌照的汽车前往邻国并购买物品。

170. Kim Su-Gwang 以其父亲、妹妹、妻子和母亲(Djang Tcheul Hy)姓名的不同组合在意大利开了至少 6 个账户，其中最后 1 人的名字至少出现在 3 个账户上，

¹³⁷ 出于一些原因，信息共享受到限制。在一些国家，只有在怀疑犯有刑事罪行的情况下才能够进行信息共享。一些国家对定向金融制裁设有法律框架，也能够合法地分享涉及躲避制裁的信息，但没有在其执行立法中纳入这项规定。最重要的是，多数国家没有考虑或优先处理这类国际合作的机制/渠道/联络点问题。

¹³⁸ 专家小组先前曾经报告了 Kim Su-Gwang 与其父，即另一侦察总局官员人员 Kim Yong Nam 及其妹妹朝鲜联合发展银行官员 Kim Su-Gyong 联手在欧洲从事金融活动。见 S/2017/742，第 52 和 53 段；及 S/2017/150，第 72 至 87 和 232 至 241 段。另见附件 46 至 48。

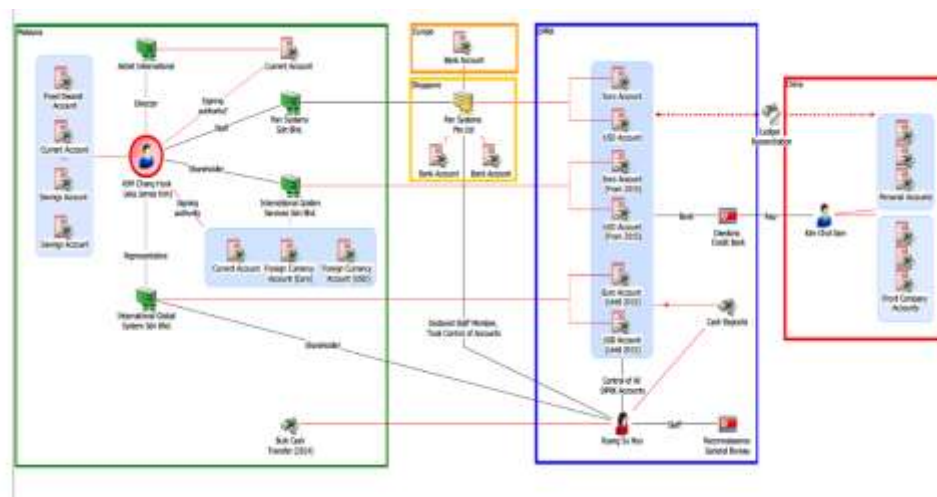
¹³⁹ 在这些合同上，他用了别名“Kim Souk Wang”。存入他账户的每月租金表明他将这些公寓分租给朝鲜民主主义人民共和国的其他国民。

171. 账户显示在罗马以及在北京、吉隆坡、莫斯科、上海多次提取现金，且往往以最高限额提取，并在几分钟内在同一自动柜员机上用多张银行卡提取。其中一张卡被用于于 2014 年 2 月和 3 月在上海和吉隆坡提取现金，而这一时期正值 3 名侦察总局特工因涉嫌将 450 000 美元现金运出马来西亚而被拘禁(2014 年 2 月)。此外还广泛使用现金购买机票和外汇。依靠现金提款也是可以在 Glocom 网络的银行业务中看到的惯常做法，这一情况在下节细述。这突出表明需要有关金融机构采取风险管控办法，对有朝鲜民主主义人民共和国国民作为签名人或可能被他们间接控制的账户进行彻底的尽职调查和审查。

172. 所有上述账户业已关闭，唯一例外是至少有一个账户系以 Kim Su-Gwang 的妻子 Kim Kyong Hui 名义及其雇员的地址于 2014 年 3 月开设(法国实行资产冻结后 2 个月)的，而尽管他的任职于 2015 年 1 月 23 日结束，他的姓名依然留在账户上。

173. 专家小组继续调查 Glocom 公司的筹资情况, Glocom 公司是侦察总局领导的一个出售违禁军事通信技术的网络。¹⁴⁰ 除了平壤大同信贷银行(Daedong Credit Bank)的 4 个银行账户外, 2012 年到 2017 年期间, Glocom 网络还控制着设在其他 4 个国家的至少 10 个账户, 包括通过设在马来西亚的幌子公司。记录显示, 这些海外账户使 Glocom 公司得以在非法交易过程中不断在其控制的不同银行和国家的账户之间转移资金。

Glocom 公司控制的账户



18-01593 (C)

174. Glocom 公司在马来西亚的代表 Kim Chang Hyok 是他主管的幌子公司——国际黄金服务(International Golden Services)和国际全球系统(International Global System)账户的唯一授权签字人。在专家小组审查的其他案例中,朝鲜民主主义人民共和国国民都试图在官方文件中隐瞒他们与朝鲜的关系,但 Kim Chang Hyok 的开户文件表明马来西亚银行完全清楚这些账户由朝鲜民主主义人民共和国控制。Kim Chang Hyok 自称是朝鲜民主主义人民共和国国民,表示资金来源是朝鲜,并表示有意在马来西亚开设工厂。这些警示信号被忽略了,这与上述欧洲金融机构在对朝鲜大成银行进行开户和客户尽职调查过程中忽略警示信号,与该行建立了合同方关系的例子类似。

175. 除控制幌子公司的账户外, Kim Chang Hyok 还在一家马来西亚银行设有 4 个个人账户。他的日常开销几乎全部使用信用卡支付,包括经常从自动柜员机提取每日最高额度的现金。这些现金从不同账户中支取,进一步限制了银行了解其活动性质的能力。¹⁴¹ 他还通过定期向账户注入大额现金或存入大额本行支票为账户充值。

176. Glocom 公司向供应商付款和在其网络的不同账户之间转账时通常采用特定模式,并结合朝鲜民主主义人民共和国逃避金融制裁所常用的各种策略。¹⁴² 首先,一个朝鲜民主主义人民共和国国民会把一笔大额现金存入 Glocom 公司在平壤的一个账户。¹⁴³ 这笔存款会通过总账记入时任大同信贷银行驻中国代表 Kim Chol Sam¹⁴⁴ 控制的账户。在同一日或次日, Kim Chol Sam 会向马来西亚或新加坡的指定收款人发起一笔等额转账交易。为此,实际资金将在扣除转账费和中间人佣金后,从录得存款的账户转到朝鲜民主主义人民共和国控制的一家设在香港的幌子公司,再由幌子公司把资金汇给指定收款人。因此,马来西亚或新加坡的收款金融机构只能看到付款来自香港的幌子公司,而非来自大同信贷银行账户的实际持有者国际全球系统(International Global System)或泛系统私人有限公司(Pan Systems)。处理交易的代理行也是如此,包括纽约的代理行,它们对交易的资金来源或受益人知之甚少。除了以这种方式向供应商付款外, Glocom 公司还使用同样的方法在自己的网络内部转移资金,特别是在平壤和马来西亚的幌子公司账户之间转账。图二十七举例说明了 Glocom 网络内部的这样一笔转账交易。

¹⁴¹ 2013 年至 2015 年不到两年时间里, Kim Chang Hyok 从自动柜员机取款 63 次,金额总计 88 000 令吉(约合 21 000 美元)。绝大多数的单笔取款达到了每日最高限额。取款通常在同一天或连续几天分批进行。比如在 2014 年 8 月的两天时间里,他先后 8 次提取了总额 9 000 令吉(约合 2 200 美元)的现金。

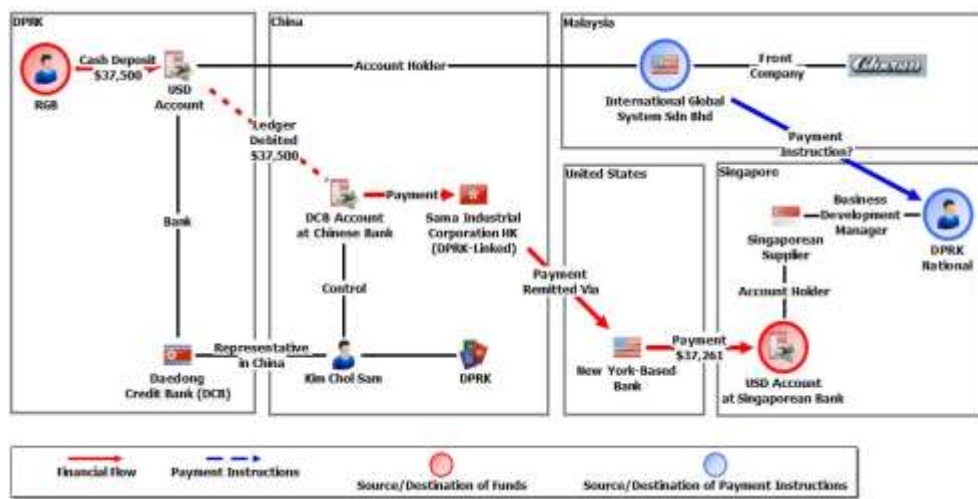
¹⁴² 专家小组 2017 年中期报告显示,两家 Glocom 幌子公司——国际全球系统(International Global System)和泛系统私人有限公司(Pan Systems)在大同信贷银行设有账户。负责为这些账户提供服务的是该行当时的中国代表 Kim Chol Sam, 他利用自己的个人账户和幌子公司账户为与 Glocom 公司有关联的该行客户执行交易。

¹⁴³ 多笔此类存款的存款人是朝鲜民主主义人民共和国侦察总局成员、国际全球系统(International Global System)股东和 Glocom 网络的关键人物 Ryang Su Nyo。Ryang 是 Glocom 公司大同信贷银行账户的签字人,据悉在转移与 Glocom 公司活动有关的大额现金方面发挥了关键作用。2014 年她在携带 400 000 美元新钞从马来西亚离境时被捕。

¹⁴⁴ 中国回复专家小组称,他已于 2016 年 10 月 14 日返回朝鲜民主主义人民共和国,而且与其他被指认人员一样不得再入境中国。

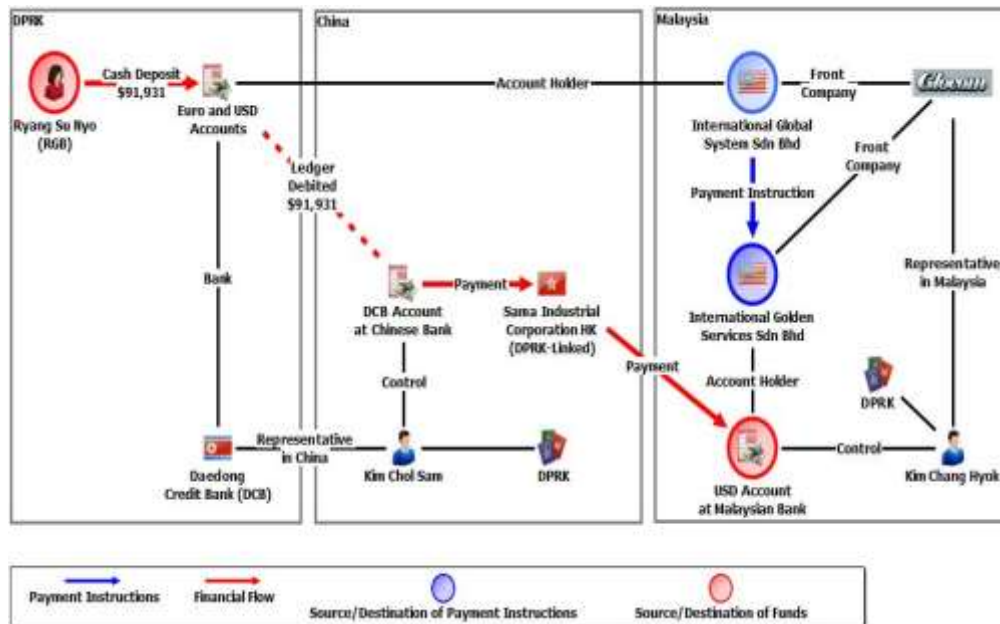
图二十七

国际全球系统向一家新加坡供应商付款



图二十八

Glocom 幌子公司之间的付款



177. 专家小组建议有关会员国将所有朝鲜民主主义人民共和国银行代表驱逐出境，并冻结他们或其他代表泛系统私人有限公司(Pan Systems)或 Glocom 公司行事的任何个人所拥有的全部银行账户及其他资产。

柳京商业银行和大同信贷银行的国外关系

178. 专家小组对 3 家新加坡公司、1 名中国个人和 2 家中国实体违反关于合资关系的第 2270(2016)号决议第 33 段、第 2321(2016)号决议第 33 段和第 2375(2017)号决议第 18 段的规定与朝鲜民主主义人民共和国金融机构开展业务往来以及出售奢侈品进行了调查。其中 2 家新加坡和中国公司以及 1 名中国个人还涉及在朝鲜民主主义人民共和国金融机构持有股权，这是专家小组在 2017 年最后报告和中期报告中确定的模式的一部分。¹⁴⁵

外国公司在朝鲜民主主义人民共和国的活动

179. 受调查的两家主要公司 OCN(新加坡)控股有限公司(OCN(Singapore)Pte Ltd)和 T Specialist 国际(新加坡)控股有限公司(T Specialist International (Singapore) Pte Ltd)共享同一个新加坡地址和董事“Leo” Ng Kheng Wah(见附件 49 和 55)。OCN 公司自 1995 年以来一直活跃于朝鲜民主主义人民共和国，并且至少从 2006 年开始向该国出口商品，尤其是向平壤 Bugsae 百货商店供应包括奢侈品在内的商品出售(见上文第 146 段)。OCN 公司自 2004 年以来聘用平壤办事处经理 Ri Ik(别名 Li Ik)(见附件 56 和 57)。在撰写本报告时他仍与 OCN 公司保持着联系，但新加坡旅行记录显示，他近年来有大量时间在新加坡。OCN 公司在答复专家小组的询问时称，该公司在平壤“没有任何办公空间”，并且已于 2012 年末“停止向朝鲜出售商品”。OCN 公司称，该公司的姐妹公司 T Specialist 于 2013 年 1 月 1 日与香港注册的高峰国际营销(香港)有限公司(Pinnacle International Distribution (HK) Company Ltd.)董事 Wang Zhi Guo(王志国，见附件 50 至 54)¹⁴⁶ 订立了“咨询和物流服务合同”，根据合同，“货物将由我们[T Specialist]运往中国分销目的地港大连”。

180. 然而，直至 2017 年 7 月，平壤 Bugsae 商店仍向顾客提供 OCN 品牌的塑料购物袋(见附件 60 和 61)。OCN 购物袋上标示的地址与一家乌克兰公司 2017 年出口文件中的“OCN 平壤”地址一致(见附件 62)。¹⁴⁷ 此外，T Specialist 和 OCN 品牌的商品(完全由这两家公司所有和分销)直到不久前的 2017 年 7 月还继续在平壤的 Bugsae 百货商店出售(见附件 63 和 64)。OCN 公司的律师致信专家小组表示：“我们的客户不清楚你信中所述在朝鲜民主主义人民共和国销售商品一事的真实性，也不清楚任何此类商品何以流入朝鲜民主主义人民共和国。”然而专家小

¹⁴⁵ 见 S/2017/742，第 54 段；S/2017/150，第 228 段。

¹⁴⁶ 从 1993 年存续至 2009 年的新加坡同名公司“高峰国际控股有限公司”(Pinnacle International Pte Ltd)由王志国和 Ng Kheng Wah (“Leo”)共同担任董事，这表明两人关系密切。王志国还与 Leo 的两个女儿一起被列为 Lagun Sari 公司股东，此外他还被列为香港 OCN 海运公司(OCN Shipping Hong Kong)董事，而该公司与朝鲜民主主义人民共和国有已知的联系。他在注册文件中使用中国地址：No. 17 Jiangjia Hutong Li Gong Lou, Hedong District, Tianjin, China, 护照号 140254055。(见附件 53 至 55)。王志国是新加坡的常住居民。

¹⁴⁷ OCN 平壤办事处：#01-05, Changgwang House, Ryenhwa-Dong, Central district, Pyongyang, D.P.R.Korea。柳京商业银行(Ryugyong Commercial Bank)的自动柜员机上也显示地址：Changgwang Foreign House, Suite #05-24(见附件 58)。在写给专家小组的信中，OCN 的律师声称，OCN 的塑料袋约在 2012 年即停止印刷，是“根据 Ri Ik 先生的要求卖给他的”，“2012 年以后 Ri Ik 先生在我的客户不知情的情况下在其他地方印刷了 OCN 的塑料袋”。

组获悉,2017 年朝鲜民主主义人民共和国的一个潜在客户曾就购买电子产品询问向罗先市发货的报价,当时一名 OCN/T Specialist 雇员的答复是 OCN 公司同意提供向中国发货的报价,这表明 OCN 公司显然知道商品的最终用途。

181. 此外,关于 Ri Ik 在假定 OCN 公司停止向朝鲜民主主义人民共和国的一切销售活动之后为何继续受雇于该公司,公司解释称“需要他协助确保收回截至 2012 年所售商品的应收未收账款”。尽管专家小组提出请求,但 OCN 公司未就这些说法提供证据。

大同信贷银行

182. OCN 公司的律师对专家小组称,“公司在有关期间和目前都与外贸银行、Jae-il Shinyong Unhaeng、第一信贷银行和大同信贷银行没有任何关系”。然而,OCN 公司是大同信贷银行最早的客户之一,1997 年 3 月在该行开户,后更名为 T Specialist 公司。公司账户主要由 OCN 公司平壤办事处经理 Ri Ik 负责管理。从 2006 年开始,OCN 公司和 T Specialist 公司均使用该账户将 Bugsae 商店的销售收益以欧元和美元汇到 T Specialist 公司在星展银行(Development Bank of Singapore)的账户,每笔金额几乎始终相等。

183. 2011 年 11 月至 2014 年 5 月期间,通过该账户向 T Specialis 公司和另一家新加坡公司——SCN 新加坡控股有限公司(SCN Singapore Pte Ltd)累计转账超过 500 万美元,用于支付 OCN 公司平壤 Bugsae 商店的商品费用和其他开销。其中有超过 25 笔在 10 万到 35 万美元之间的等额交易的收款方是 T Specialist 公司的星展银行账户。T Specialist 公司向专家小组表示,这些转账款是“从香港弘大国际有限公司(Hongdae International Ltd)汇出的,并不来自朝鲜民主主义人民共和国的任何金融机构”,但专家小组在此前报告中指出,弘大是由大同信贷银行在中国大连的代表 Kim Chol Sam(别名“金铁三”)设立的,目的是以大同信贷银行的名义开展金融交易。¹⁴⁸ T Specialist 公司声称汇款目的是支付 2012 年 10 月之前“所售商品的应收未收账款”,但拒绝提供支持材料。专家小组还注意到一笔 2011 年 7 月从专家小组建议指认的公司——泛系统私人有限公司(Pan Systems)¹⁴⁹ 汇到 T Specialist 公司的金额为 1 157.69 欧元的转账交易。这表明这两家新加坡实体与朝鲜民主主义人民共和国的实体与网络之间存在联系。

184. 关于超过 10 笔通过该账户汇给另一家新加坡公司——SCN 新加坡控股有限公司(SCN Singapore Pte Ltd)在新加坡华侨银行有限公司(Overseas-Chinese Banking Corporation Limited Singapore)所设账户的金额在 7 万到 15 万美元之间的款项,OCN 公司律师称“SCN 新加坡公司与我们的客户之间没有关系。”SCN 公司尚未回复专家小组的询问。

185. 专家小组取得的进一步资料显示,“党的金融管理部(Party Financial Management Department)”通过其在朝鲜光鲜银行(Korea Kwangson Banking

¹⁴⁸ 见 S/2017/150, 第 228 至 230 段。

¹⁴⁹ 见 S/2017/742 第 52 和 62 段; S/2017/150, 第 232 至 241 段。

Corporation)的账户多次以欧元和美元向 T Specialist 公司汇款，用于支付向 Changgwang 外国人宿舍供应的商品，以及向中国公司付款购买多种消费品、支付外国船只港口费用、酒店账单以及“OCN 建设投资”和采购水泥的相关费用。

柳京商业银行和高丽商业银行

186. 专家小组的调查还突显 OCN 公司/T Specialist 公司与柳京商业银行(Ryugyong Commercial Bank)之间的长期密切关系，包括所有权关系。2012 年和 2013 年，王志国的高峰国际向 T Specialist 公司的一个新加坡账户进行了 3 笔转账交易、每笔 499 970 美元，此外 Mars Rock International 公司向 T Specialist 公司进行了一笔 499 935 美元的转账交易(4 笔合计 1 999 845 美元)。这几笔转账的目的包括为提供一台自动柜员机支付费用，以及在 Ri Ik 的协助下购买柳京商业银行的股份。T Specialist 公司的银行账户不仅是这几笔转账的收款账户，而且另据一个会员国向专家小组通报，OCN 公司及高丽商业银行还与柳京商业银行建立合营关系。专家组随后还获悉 T Specialist 公司及高丽商业银行组建了一个名为柳京商业银行的合资企业。尽管如此，OCN 公司向专家小组否认持有柳京商业银行的股权，并表示，“我们从来没有[...]意图成为购股交易中的实际所有人或有关方”。OCN 公司还声称，该公司的作用仅限于“在 Ri Ik 和王志国之间提供翻译协助”，而柳京商业银行股份的出售方是一家名为 TungHye 的中国公司。¹⁵⁰ OCN 公司未向专家小组提供任何支持这些说法的所需材料，而且考虑到 Ri Ik 和王志国各自广泛的跨国工作和旅居经验，很难想象他们需要翻译协助，尤其是 OCN 公司提供翻译协助。事实上，在过去 4 年里，王志国共进出新加坡 25 次、停留 1 256 天，Ri Ik 则超过 37 次，在新加坡停留共 518 天(见附件 51 和 57)。T Specialist 公司还承认曾在 2012 年到 2014 年期间就购买柳京商业银行的交易一事与至少自 2014 年起任柳京商业银行总经理和驻北京代表的 Ri Ho Nam¹⁵¹ 和高丽商业银行代表 Ri Jong Ui 通信。这些信函均未根据请求提供给专家小组。

187. Bugsae 商店于 2017 年春在店内安装了一台柳京商业银行的自动柜员机，2017 年晚些时候还推出促销活动，凡存款 1 万美元以上、存期至少 1 年的柳京商业银行客户可获得“VIP”金卡或银卡，并享有在 Bugsae 商店和普通江柳京(Pothonggang Ryugyong)商店购物 5% 的优惠(见附件 59)，这进一步证明柳京商业银行与 OCN 公司平壤业务之间的联系。

188. 这些案例表明了一种持续存在的模式，即由外国实体和个人共同持有朝鲜民主主义人民共和国金融机构的所有权，从而利用国际金融和贸易系统为朝鲜民主主义人民共和国开展非法活动提供直接支持。案例揭示朝鲜民主主义人民共和国的金融机构是如何通过海外代表和幌子公司确保以不暴露与朝鲜民主主义人民共和国被指认实体或利益间公开关系的方式开展交易而逃避制裁的。朝鲜民主主义人民共和国在香港注册的幌子公司通过中国和新加坡的银行进行交易不一

¹⁵⁰ 该公司名称的普通话读音可能是 Tungha、Tunghai 或 Donghai。

¹⁵¹ Ri Ho Nam(出生日期：1967 年 1 月 3 日)自 2014 年 11 月以来担任柳京商业银行的北京代表。更多详情见附件 43。

定会触发警示，这说明银行在满足境外金融中心的客户需求时，应确保充分了解客户并对客户进行尽职监测，并妥善监测和筛查交易。如果这些措施到位，银行本应对公司长期频繁划转大笔等额资金且所属司法管辖区常被用作朝鲜民主主义人民共和国幌子公司注册地的情况提出警示。在企业注册做法方面，本例还说明朝鲜民主主义人民共和国使用了众所周知的规避伎俩，即让朝鲜人员假扮大韩民国国民填写公司注册文件(另见下文第 199 段所述 MKP 案)。根据各项决议的在金融方面作出的规定，专家小组建议相关会员国采取一切必要措施执行第 2270(2016)号决议第 33 段、第 2321(2016)号决议第 33 段和第 2375(2017)号决议第 18 段，确保冻结为被指认实体充当代理的实体所有资产、驱逐朝鲜民主主义人民共和国银行的所有代表、冻结被指认实体和个人的资产以及关闭与朝鲜民主主义人民共和国实体有合营关系的企业。

马来西亚高丽伙伴公司集团

189. 专家小组继续对马来西亚高丽伙伴公司集团(MKP)马来西亚总部及其在马来西亚和全球各地的关联公司网络展开调查。迄今为止，调查发现以下逃避和违反各类制裁规定的行为：

(a) 朝鲜民主主义人民共和国国民(和侦察总局特工)韩征一(Han Hun Il)参与 MKP 集团多家公司的设立和运作，¹⁵² 违反了禁止合营关系的规定；

(b) MKP 集团与被指认实体，包括万寿台海外开发会社、侦查总局和远洋海运管理有限公司有联系；¹⁵³

(c) MKP 集团与朝鲜民主主义人民共和国金融机构，包括与被指认的朝鲜光鲜银行，¹⁵⁴ 还可能与平壤国际联合银行有联系；

(d) 利用朝鲜民主主义人民共和国外交官协助开展商务活动；

(e) 可能违反禁令，向与朝鲜民主主义人民共和国的贸易往来提供公共或私人支持；

(f) 参与提供安保服务；

(g) MKP 集团使用掩盖公司身份的别名和交易名；该集团依赖半下放式公司模式在马来西亚境外运营；该集团使用外国协调人担任国家业务主管，从而为否认韩征一和侦查总局与 MKP 集团关联公司之间的控制关系创造似乎可信的理由。

朝鲜民主主义人民共和国国民韩征一的背景和作用

190. 据一个会员国称，韩征一(Han Hun Il)，别名 Edward Han(见附件 65)于 1995 年作为万寿台海外开发会社代表首次被派往马来西亚，后于 1996 年与马来西亚

¹⁵² 韩征一于 1994 年 5 月 20 日设立了万寿台海外开发会社新加坡分社(M.O.P. (S) Pte. Ltd.)，该公司于 2009 年 9 月 30 日被撤销注册(见附件 68)。

¹⁵³ 见 S/2017/150，附件 14-9 和 15-3；以及 S/2017/742，第 57 段。。

¹⁵⁴ 见 S/2017/742，第 57 段。

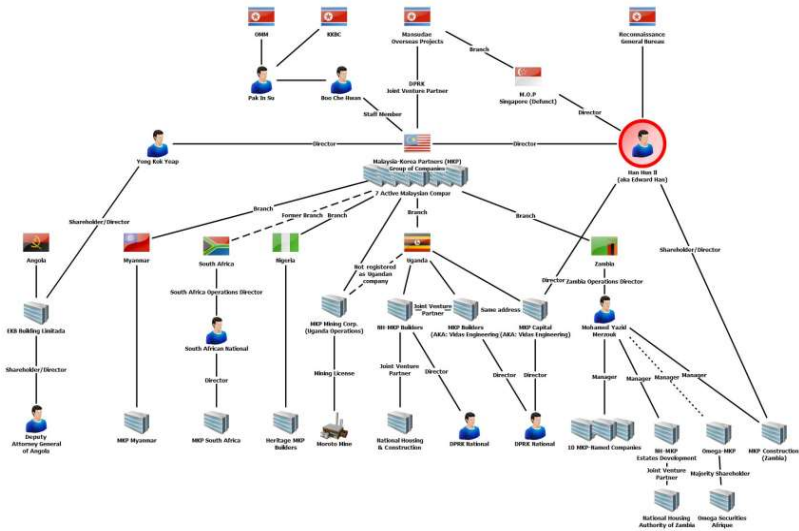
国民 Yong Kok Yeap 共同建立 MKP 集团。据一个会员国称，韩征一的海外任期原定于 2006 年结束，但当时朝鲜民主主义人民共和国的“国防委员会”同意继续让他作为侦察总局的一名“特工”留在国外。¹⁵⁵ MKP 集团一度在马来西亚运营至少 13 家公司，其中 10 家截至 2017 年 12 月 15 日在公司注册登记系统中仍被列为“在营公司”(见附件 66 和 67)。韩征一仍然是其中 7 家公司的董事，但 MKP 集团向专家小组表示有意解除他的职务。关于他身在何处，MKP 集团于 2017 年 10 月 4 日告诉专家小组：“Edward Han 目前不在马来西亚”，但拒绝提供他的旅行信息、工作签证或护照副本。一个会员国告诉专家小组说，韩征一 2016 年去了其他一些东南亚国家，包括 10 月份前往老挝人民民主共和国。截至本报告编写之时，老挝人民民主共和国尚未回复专家小组的询问。

MKP 集团的全球业务

191. MKP 集团已发展形成一个跨越几个大陆、涵盖信息技术、建筑、采矿、煤炭贸易、安全、运输和建筑等诸多行业部门的广泛复杂网络，它在 4 个国家拥有至少 15 家关联公司。专家小组找到了该公司在非洲和香港的许多活动的佐证材料，但未能找到其他材料证明 MKP 集团在其多个网站上公开宣称的业务活动，包括在 18 个非洲国家、6 个中东国家和世界各地区一系列国家开展的活动(见附件 69)。专家小组调查的 MKP 集团关联实体与个人之间的详细联系如图二十四所示。

图二十九

MKP 集团的全球业务



¹⁵⁵ 据一个成员国说，当 Han Hun Il 在自己的海外任期将于 2006 年结束时贿赂了朝鲜民主主义人民共和国国防委员会的官员，延长了获准留在海外的时间，并获得了侦察总局“特工”身份。他的儿子 Han Kum-Ryong，别名“Han Song”或“Harvard Han”，于 2010 年加入国防委员会，为 MKP 集团在缅甸工作至 2013 年。

192. MKP 集团海外关联公司的注册文件显示, MKP 集团及其董事下放了对这些实体的一些控制权, 但保留使用“MKP”品牌的使用权。¹⁵⁶ 这些所有权和控制模式表明, MKP 集团外籍合伙人有权酌情确定 MKP 的交易地点、方式和伙伴。¹⁵⁷ 在 MKP 集团拥有至少 12 家关联公司的赞比亚, 由阿尔及利亚国民 Mohamed Yazid Merzouk 发挥核心组织作用, 另由几名赞比亚国民担任董事(见附件 80 至 85)。赞比亚方面尚未回复专家小组的去信, Yong Kok Yeap 在 2017 年 10 月 4 日的 MKP 集团的回复函中称, “MKP (赞比亚)和赞比亚业务一直由 Yazid Merzouk 运作, 独立于 MKP 集团的马来西亚业务”。然而, Yazid Merzouk 与若干朝鲜民主主义人民共和国董事一起出现在 MKP 集团的许多营销材料以及包括 MKP 控股(MKP Holdings)和 MKP TMS 医院(MKP TMS Hospital Ltd)在内多家赞比亚公司的注册文件中(见附件 74 至 78 和 80 和 81)。他还是赞比亚 MKP Irehab 的多数股东, 而 Yong Kok Yeap 承认 MKP Irehab 是 MKP 集团马来西亚公司的“关联”公司(见附件 84)。

MKP 集团与金融机构的联系

193. MKP 于 2011 年购入一家赞比亚银行商业资本有限公司(Commercial Capital Corporation Limited)的股份。¹⁵⁸ 据 Yong Kok Yeap 称, “MKP 集团赞比亚公司持有商业资本有限公司的少数股权(约 10%到 20%)。虽然 Yong 称商业资本有限公司的此后已关闭, 但公司注册文件显示它仍在运营(见附件 85)。¹⁵⁹ MKP 网站还宣传 MKP 集团与设在平壤的国际联合银行有业务关系。MKP 集团目前否认与该机构有任何关系, 并声称, 任何表明两者有关联的证据——包括 MKP 官网上对该机构的宣传——均系捏造。这些主张与公开来源的证据相互矛盾(见附件 86)。MKP 网站至少从 2009 年开始就在“服务”栏下刊登 Hi-Fund International Bank 的相关信息, 而 MKP 集团承认 Hi-Fund International Bank 就是国际联合银行的别名。专家小组还注意到, MKP 集团通过在马来西亚购买朝鲜民主主义人民共和国煤炭而与朝鲜光鲜银行有间接联系。¹⁶⁰

¹⁵⁶ 在马来西亚以外, Yong Kok Yeap 和韩征一出现在公司注册文件中的频率越来越低。

¹⁵⁷ 关联公司对 MKP 品牌的依赖性与其他朝鲜民主主义人民共和国网络倾向于为幌子公司冠以各种不同名称形成了显著反差。这种品牌依赖性即使在 MKP 集团南非公司的例子中也很明显, 该公司在与 MKP 集团马来西亚公司的关系破裂后仍决定继续使用 MKP 名称。这种品牌选择似乎未产生任何负面的声誉影响。

¹⁵⁸ 与这一主张相反, Yazid Merzouk 称 MKP 集团自 2008 年以来就参与赞比亚“融资”。见 Lam Seng Fatt, “Healing touch of Malaysian firm”, Star Online, 31 July 2008。可查阅: www.thestar.com.my/news/nation/2008/07/31/healing-touch-of-malaysian-firm/#zD4XqZ7kt2C KIEMw.99。

¹⁵⁹ Yazid Merzouk 不是现任董事或股东。这可能是近期 Merzouk 与商业资本有限公司之间的诉讼所致, 该诉讼于 2014 年被提交到最高法院(见附件 79)。不过, MKP 集团赞比亚安保系统董事 Samson Sakala(见附件 84)确实持有商业资本有限公司可观数量的股份。MKP 网站的金融栏目下还宣传一种称为“Cash4Africa”的汇款服务。Yong Kok Yeap 在回答关于这项服务的询问时说, “它不是一家银行或一个金融实体, 而是商业资本有限公司的一个产品, 这个产品提供的服务打个比方说类似于西联汇款”。专家小组调查的结论是 Cash4Africa 目前已不可用。

¹⁶⁰ 见 S/2017/742, 第 57 段。

194. Yong Kok Yeap 自己承认, 他与安哥拉前副总检察长共同担任安哥拉 EKB Building Limitada 公司董事。赞比亚 MKP-Lloyd 公司股东和投资人 Lloyd Chingambo 是赞比亚国家经济咨询委员会主席, 还是该国各主要银行的董事会成员(见附件 83)。赞比亚前国防部长是 MKP 集团赞比亚安保系统(MKP Security Systems Zambia)的股东。此类关系有助于创造新的商业机会和开拓资金来源, 有利于更广泛地接触当地决策者, 也有可能阻止东道国政府采取执法行动。¹⁶¹

马来西亚高丽伙伴公司集团海外运作案例研究

195. MKP 集团在南非开设办事处的做法显示该集团用于建立海外业务的一些方法, 包括依靠朝鲜民主主义人民共和国大使馆官员引荐并促进关系以及使用伪造文件满足伙伴尽职调查要求。在这一案例中, 后一种做法导致 MKP 集团南非伙伴 X 先生断绝了与 MKP 集团马来西亚公司(MKP Malaysia)的所有联系。

196. Han Hun Il 与 Yong Kok Yeap 于 2008 年在约翰内斯堡经由朝鲜民主主义人民共和国驻南非大使兼商贸专员介绍给当地伙伴 X 先生。Han Hun Il 和 Yong Kok Yeap 自称建筑商, 邀请 X 先生当年访问 MKP 集团吉隆坡办事处, 在访问期间任命 X 先生为 MKP 集团建筑公司(MKP Builders)的首席执行官, 并提出未来所有收益与他五五分账。2009 年 9 月 17 日签署的“伙伴关系合约”授权他执行与 MKP 集团马来西亚公司的业务和“远期”项目合同, 后者则作为建设和融资公司。

197. X 先生要求 Han Hun Il 和 Yong Kok Yeap 提供完整的经审计公司财务报表以及预付款保函时, MKP 集团向他提供了与该集团关系密切位于香港的企业汇隆控股有限公司(WLS Holdings Limited(HK))的财务报表以及马来西亚一家大银行于 2010 年 7 月 28 日开具的 500 万美元银行保函扫描件。由于无法查实保函, X 先生与一名卢旺达客户一起前往马来西亚, 到该银行总部核查保函真伪。与银行交涉后发现这些文件是伪造的。因此, X 先生断绝了与 MKP 集团 Malaysia 公司的一切关系, 但继续使用该公司名称(声誉并未显著受损)。

198. MKP 集团在乌干达和赞比亚的分公司已承接大量建筑项目, 其中有许多涉及政府融资(见附件 91 和 92)。MKP 集团致专家小组的信函直接提到在安哥拉、马来西亚、乌干达和赞比亚的建筑或艺术合同。乌干达授予 MKP 集团若干份合同, 最近 2017 年 9 月还为“MKP 集团控股有限公司(MKP Holdings Ltd)”¹⁶² 在卡西梅里-莫罗托市的莫罗托大理石矿项目投资招标 2 亿美元(见附件 93)。乌干达未对专家小组的问询作出答复。专家小组重申禁止会员国为朝鲜民主主义人民共和国贸易活动提供公共或私人融资。

¹⁶¹ 与此同时, MKP 集团还创设往往是“一次性使用”的单个公司, 即专门为了某单大额合同或为了与当地公司合作推出一种新产品/服务而设立公司。比如尼日利亚的“Heritage MKP Builders”公司就是主要为了建造 Heritage City Park 而设。这种模式也有助于将任何执法行动的影响限制在一个高度分散网络中的很小一角。

¹⁶² 名为“MKP 集团控股有限公司(MKP Holdings Ltd)”的企业属于在马来西亚的 MKP 公司集团。乌干达没有以此名注册的实体。乌干达关于这一采矿项目的官方广告也显示, 一家朝鲜民主主义人民共和国实体在 1990 年代开展了探矿作业。

199. 除了采矿活动外, MKP 集团还在乌干达拥有或运营至少 3 家企业: “MKP 集团资本贝尔纳有限公司(MKP Capital Bernard Co. Limited)”、“MKP 集团建筑私人有限公司(MKP Builders San Bhd)”和“NH-MKP 集团建筑有限公司(NH-MKP Builders Ltd)”(见附件 88 和 89)。公司记录显示, MKP 集团资本有限公司(MKP Capital)的所有权分属 2 名乌干达人; 而文件中列出的“Edward Han”和“Young Kyong Kin”只标示为“朝鲜人”。MKP 集团建筑私人有限公司(MKP Builders San Bhd)可能是 MKP 集团其中一家同名马来西亚公司的分公司, 所有权属 Han Hun Il 和 Yong Kok Yeap。此外, MKP 集团资本有限公司(MKP Capital)和 MKP 集团建筑公司(MKP Builders)均以“维达思工程服务有限公司(Vidas Engineering Services Company Limited)”的名义在乌干达进行贸易, 维达思公司是在乌干达注册的独立实体。维达思公司已从乌干达水与环境部得到至少 4 份合同(1 份已完成, 3 份在执行中), 在乌干达多个城市修建自来水与环卫系统(见附件 91 和 92)。这些项目得到了国际开发机构的供资, 这可能构成对“禁止为朝鲜民主主义人民共和国的贸易提供公共或私人支持”这一禁令的违反。此外, 就 2011 年乌干达政府授予 MKP 集团建造住宅项目一事, 当地媒体报道称, MKP 集团拿到约 520 万美元预付款后便放弃了这一项目。¹⁶³

200. 专家小组调查了欧米加 MKP 集团赞比亚安保系统公司(Omega MKP Security Systems Zambia)的活动, 该公司在赞比亚提供私人安保服务。欧米加公司告诉专家小组, MKP 集团赞比亚安保系统公司(MKP Security Systems Zambia)的主管带着成立合资企业计划书联络欧米加公司, 之后便建立了关系。这名主管说, 该公司在物色可为其安保相关活动“提供资金和设备”的战略伙伴, 尤其是涉及 MKP 集团安保公司(MKP Security Systems)和赞比亚政府合作的一个“远程监视和保障”边界的项目。

201. 据欧米加公司所言, 欧米加公司同意和 MKP 集团安保系统公司(MKP Security Systems)的主管以其个人身份成立一家新公司。欧米加公司还说, 公司和 Yazid Merzouk 仅在 2013 年见过一次。专家小组注意到, 一张貌似欧米加公司高层人员和 Yazid Merzouk 的合照至少自 2012 年 1 月 3 日以来便一直挂在 MKP 集团的网站上(见附件 94 至 97)。

202. MKP 集团马来西亚公司在答复专家小组时对两者关系有截然不同的说法, 指出欧米加 MKP 集团公司(Omega MKP)是“一家与欧米加公司有合营关系的企业”, 同时声称 Yazid Merzouk 负责管理在赞比亚公司活动。各方说辞矛盾重重, 揭示 MKP 集团利用半下放和以人主导的企业结构降低透明度, 为否认朝鲜民主主义人民共和国参与企业任何业务并(或)从中牟利创造似乎可信的理由。

朝鲜民主主义人民共和国外交财产用于商业用途

203. 专家小组调查了朝鲜民主主义人民共和国在保加利亚、德国、波兰、罗马尼亚和巴基斯坦出租使馆财产用于外交或领事活动以外其他用途的行为, 这些行为违反了第 2321(2016)号决议第 18 段。专家小组指出, 无论朝鲜民主主义人民

¹⁶³ Edris Kiggundu, “Police clears Migereko over Naalya project”, 《观察家》, 2014 年 10 月 27 日。

共和国有关使馆是否有偿出租场地，继续把朝鲜民主主义人民共和国财产用于决议禁止的用途构成违反决议行为。

保加利亚

204. “Terra 公司”和“Technologica 公司”这两个保加利亚实体承租了属于朝鲜民主主义人民共和国驻索菲亚大使馆的财产。2017 年 2 月，保加利亚外交部向朝鲜民主主义人民共和国大使馆和这两家公司通报了第 2321(2016)号决议规定的限制措施，并要求它们停止一切相关活动并清空场地(见附件 98)。保加利亚当局向专家小组确认，两家公司自 2017 年初起再也没有向该大使馆在保加利亚的唯一一个银行账户支付费用。在撰写本报告时，特蕾拉集团(Terra Group)的“特蕾拉公寓(Terra Residence)公司”仍在公众场合宣传承租了朝鲜民主主义人民共和国大使旧官邸(见附件 99)。

205. Technologica 公司告知专家小组，该公司对使馆建筑物进行了翻新，作为交换可免费使用建筑物 40 个月，还剩 6 个月才到期。保加利亚外交部告知专家小组，由于和朝鲜民主主义人民共和国签订了双边协议，规定作为互惠措施，保加利亚可在平壤使用朝鲜民主主义人民共和国的财产，这使情况更为复杂。专家小组指出，继续把朝鲜民主主义人民共和国财产用于商业活动，无论是否出于为任何具体企业现有合同或经济损失作出商业补偿，均构成保加利亚对第 2321(2016)号决议第 18 段的违反。

德国

206. 就 EGI 有限公司(EGI GmbH)以每月 38 000 欧元的价格承租朝鲜民主主义人民共和国驻柏林大使馆房舍(供柏林市青年招待所使用)¹⁶⁴ 以及 ForX 节庆公司(ForX Festival)承租宴会厅一事，在纳入第 2321(2016)号决议第 18 段的欧洲联盟理事会 2017 年 2 月 27 日(CFSP)2017/345 号决定通过后，¹⁶⁵ 德国外交部于 2017 年 3 月 16 日向朝鲜民主主义人民共和国发出照会，敦促该国遵守第 2321(2016)号决议第 17 和 18 段。朝鲜民主主义人民共和国于 2017 年 3 月 21 日作出答复，否认第 2321(2016)号决议以及按照该决议所采取一切行动的有效性和合法性。2017 年 4 月 7 日，德国政府告知朝鲜民主主义人民共和国房舍承租者他们在第 2321(2016)号决议和欧洲联盟执行条例下承担的各项义务。德国还于 2017 年 5 月 4 日修订了《对外贸易和支付条例》，将承租朝鲜民主主义人民共和国房舍的行为列为国内行政违法行为。同时，德国还加大了对朝鲜民主主义人民共和国施加的外交压力，继续强调大使馆有义务停止把财产用于非外交目的，并多次在各个级别敦促朝鲜遵守适用的各项决议。因此，朝鲜民主

¹⁶⁴ 见 S/2017/742，第 58 段。

¹⁶⁵ 第 2321(2016)号决议第 18 段规定，会员国应禁止朝鲜民主主义共和国把不动产用于不是外交活动的其他任何用途。欧洲联盟在修订理事会(CFSP)2016/849 号决定的(CFSP)2017/345 号决定第 31b(2)条中则更为严格，其中规定：“还禁止租赁位于朝鲜领土之外的朝鲜不动产。”为执行这项决定，修订了理事会第(EC)329/2007 号条例，纳入第 4e 条第 1(b)段，其中规定：“应禁止：(……)(b) 从朝鲜的个人、实体或政府机构直接或间接承租不动产”。该条款直接适用于欧洲联盟所有成员国。

义人民共和国大使馆于 2017 年 8 月 10 日终止与这两家公司的租约，要求两家公司在 2017 年 9 月 30 日前清空房舍。然而，两家公司均拒绝终止租约，并威胁采取法律行动。2017 年 11 月 6 日，中央海关局正式对从事上述立法所定非法活动的公司启动诉讼程序。

波兰

207. 朝鲜民主主义人民共和国驻华沙大使馆目前至少有 9 家公司占用，大部分涉及传媒、广告、地产和医药业(见附件 100)。还有其他人占用使馆空间，充当企业和大使馆的租赁掮客。波兰告知专家小组，波兰 2017 年 2 月先就非法使用财产向朝鲜民主主义人民共和国大使馆发出外交照会，后者答复称大使馆空间并非用于商业目的，而是为了维持馆舍。波兰于 2017 年 11 月又发出照会，要求朝鲜民主主义人民共和国根据 1966 年两国双边协定归还任何用于非外交目的的房地，但迄今未有回音(见附件 101)。波兰直到 2017 年 10 月才指示这些公司搬离。波兰于 2018 年 1 月 15 日告知专家小组，有 8 家公司已终止租约，还有一家马上也将终止租约。波兰还告知专家小组，已指示国内公司登记处不再对使用朝鲜大使馆地址的其他实体进行登记。梦声公司(Dreamsound Sp.z.o.o.)向专家小组表示，它是从数兽房地产公司(Digital Beast Estate Sp.z.o.o.)分租朝鲜大使馆房舍的。专家小组注意到在撰写本报告时，数兽房地产公司仍在宣传承租朝鲜大使馆房舍(见附件 102)。

罗马尼亚

208. 罗马尼亚告知专家小组，朝鲜民主主义人民共和国在布加勒斯特的大使馆财产自 2001 和 2011 年分别出租给两家公司，这两家公司之后把这些财产分租给至少另外 27 人和实体。其中有一家每月支付 46 000 美元租金(不包括费用)的公司告知专家小组，该公司已于 4 月 10 日停止向大使馆付款，并已在 2017 年 12 月前连同 3 家分租该公司承租房舍的企业一同搬离大使馆。

209. 罗马尼亚通知专家小组，IMA 伙伴有限公司(IMA Partners SRL)也从 2017 年 3 月 21 日起停止向朝鲜民主主义人民共和国支付所有款项，但尚未终止租约和分租协议。¹⁶⁶

巴基斯坦

210. 专家小组从某会员国处获悉，朝鲜民主主义人民共和国把在巴基斯坦拥有或承租的财产用于外交或领事活动以外的目的。专家小组就此多次致函巴基斯坦，但尚未收到答复。此外，专家小组正在调查朝鲜民主主义人民共和国是否使用外交馆舍走私酒类。¹⁶⁷

¹⁶⁶ 专家小组还注意到，IMA 伙伴有限公司(IMA Partners SRL)与朝鲜民主主义人民共和国于 2017 年 2 月 13 日，即第 2321(2016)号决议通过后签署了续租协议(见附件 103)。

¹⁶⁷ Drazen Jorgic, "In Pakistan, North Korean diplomat's alcohol stash raises bootlegging suspicions", 路透社, 2017 年 11 月 8 日。

建议

建议 1

专家小组重申其在前几份报告中提出的指认泛系统公司(Pan Systems)的建议。¹⁶⁸ 专家小组还建议指认下列个人和实体: Han Hun Il (Edward Han)、Ri Ho Nam、Ri Ik (Li Ik)、王志国、Pak In Su、Kim Chang-Hyok 和 Kim Su-Gwang, 以及国际全球系统公司(International Global System)和国际黄金服务公司(International Golden Services)。

建议 2

专家小组建议会员国在执行各项决议的金融规定时, 确保国内金融机构采用基于风险的方法, 在其“了解客户”方案和合规方案中查明违反制裁行为, 包括确保在办理开户、交易监测和账户审查阶段的核查更为严格。为此, 会员国应更详细、更经常向国内金融机构介绍逃避制裁的风险。

建议 3

专家小组建议会员国将朝鲜大使馆所有人员纳入第 2321(2016)号决议第 16 段范围内, 确保外交官不以家庭成员姓名或幌子公司名义增设银行账户, 并建议会员国在外交官结束在该国活动时核实其银行账户销户情况。

建议 4

鉴于幌子公司被广泛用于规避金融制裁, 会员国应确保国内企业服务提供者实施有效的尽职调查措施, 以收集客户和实际所有人的详细准确资料, 并就涉嫌用于非法目的的安排提交可疑行为报告。

建议 5

会员国应采取措施, 确保其管辖范围内的金融部门主管在其管辖范围内优先指导、监管和执行支持落实各项决议的管制措施。

建议 6

对于为加强法律框架和有关机制以便执行决议金融条款而寻求援助的其他会员国, 有适当知识和经验的会员国应提供技术援助。

建议 7

专家小组建议会员国除确保有适当法律框架打击扩散融资外, 要求在金融主管、金融情报中心、海关和战略贸易管制当局、边界控制和安保与情报机构之间并与私营部门建立强有力的信息共享机制。

¹⁶⁸ 见 S/2017/742, 第 62 段。

建议 8

专家小组建议有关国家采取必要措施，确保制止在朝鲜民主主义人民共和国大使馆从事第 2321(2016)号决议第 18 段禁止的所有非外交活动，并取消所有相关租约。

六. 制裁的意外影响

211. 专家小组注意到，2017 年 8 月 3 日秘书长关于朝鲜民主主义人民共和国人权状况的报告中指出，安全理事会第 2270(2016)号决议的通过和对朝鲜民主主义人民共和国的制裁，对联合国和其他行为体的人道主义行动产生了意想不到的负面影响，尤其包括对通过金融机构向朝鲜民主主义人民共和国境内划转资金产生的影响，导致人道主义援助迟迟无法运送，某些方案活动也被暂停(A/72/279，第 70 段)。

212. 委员会 2017 年 12 月 8 日发布了新闻稿(SC/13113)，澄清安全理事会针对朝鲜民主主义人民共和国实施的制裁制度可能引起的任何误解，为人道主义援助进入该国提供更多便利。¹⁶⁹ 委员会呼吁会员国向其管辖范围内的公共和私营部门实体作出澄清，以提高对决议所载人道主义豁免的认识，还需要避免不当限制向朝鲜民主主义人民共和国提供的人道主义援助。

213. 专家小组因此建议会员国在向委员会提交的国家报告中报告决议所载人道主义豁免是否被纳入国内立法。

¹⁶⁹ 联合国，“Security Council 1718 Sanctions Committee Underlines Humanitarian Exemptions Pursuant to Paragraph 26 of Security Council Resolution 2375(2017)”，SC/13113 号新闻稿，2017 年 12 月 8 日。可查询 www.un.org/press/en/2017/sc13113.doc.htm。

Annex 1: Letter of notification from Microsoft identifying compromised accounts



November 20, 2017

Mr. Hugh Griffiths
Coordinator of the Panel of Experts
established pursuant to Security Council Resolution 1874 (2009)
United Nations
UN Headquarters
New York, New York 10017

Re: Letter dated 7 November 2017

Dear Mr. Griffiths:

We are in receipt of your letter dated 7 November, 2017 requesting information in support of your efforts to better understand the attacks against [REDACTED] members of the Panel of Experts (Panel).

[REDACTED] Microsoft notified [REDACTED] compromised accounts we had identified within the UN's Office 365 service.

[REDACTED]

[REDACTED] Microsoft's response is set forth below.

[REDACTED] your views on a possible source of the attack,

[REDACTED]

[REDACTED]

[REDACTED] the threat actor group we associate the attack with is nation-state associated. That information remains consistent as of this writing.

[REDACTED]

Microsoft appreciates this opportunity to assist in your investigation. If you have additional questions, please do not hesitate to contact me.

[REDACTED]



Very truly yours,

A handwritten signature in black ink, appearing to read "Tom Burt".

Tom Burt
Vice President, Deputy General Counsel, Digital Trust
Microsoft Corporation

Annex 2: UN Incident report: Compromise of email accounts

Incident report: Compromise of email accounts

This report documents the findings and analysis related to the incident affecting email accounts of members of the DPRK panel, [REDACTED]

Executive summary

The analysis of the incident revealed that [REDACTED] email accounts of current and former members of the panel of experts had been compromised since July 2016. An unauthorised third party had accessed these email accounts remotely over extended periods of time.

It was further established that [REDACTED] email messages had been forwarded to external email addresses.

[REDACTED]

The method by which the accounts had been compromised, i.e. how the passwords have become known to the adversary, remains unknown. [REDACTED]

[REDACTED]

[REDACTED] The subsequent attacks can be linked to an earlier incident in May 2017 and demonstrate the persistent nature of the attacks, and the level of determination by the adversary.

[REDACTED]

[REDACTED] revealed that a third party had been accessing [REDACTED] mailboxes remotely, and that a considerable number of email messages had been forwarded to external accounts that were presumably created for this specific purpose.

[REDACTED] briefed DPA on 25 October, and the panel on 26 October. [REDACTED]

[REDACTED]

■ Since the forwarded messages are believed to include communications from the security council committee, DPA requested to brief the committee; the briefing was provided on 30 October.

[REDACTED]

The incident resulted in the compromise of four email accounts of current or former members of the DPRK panel. [REDACTED]

[REDACTED]

[REDACTED]



As can be seen there are significant communalities between the different incidents over an extended period, which demonstrate that they form a persistent and sophisticated attack by a professionally operating adversary. [REDACTED]



[REDACTED] observed, and members of the panel as well as staff members from DPA reported a significant increase in targeted "spear phishing attacks".

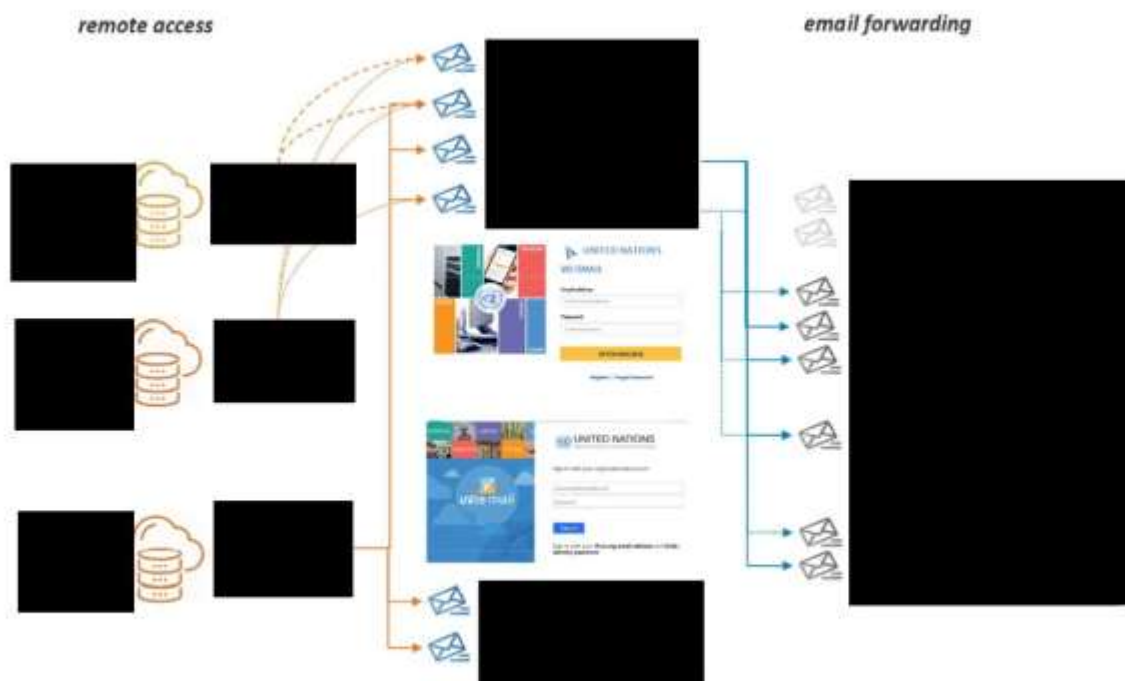
The attacks use forged email messages that contain [REDACTED] files as attachments that are based on legitimate documents that were either access by or forwarded to the adversary. Some of these messages were sent through the same infrastructure used in an earlier attack against the panel in May

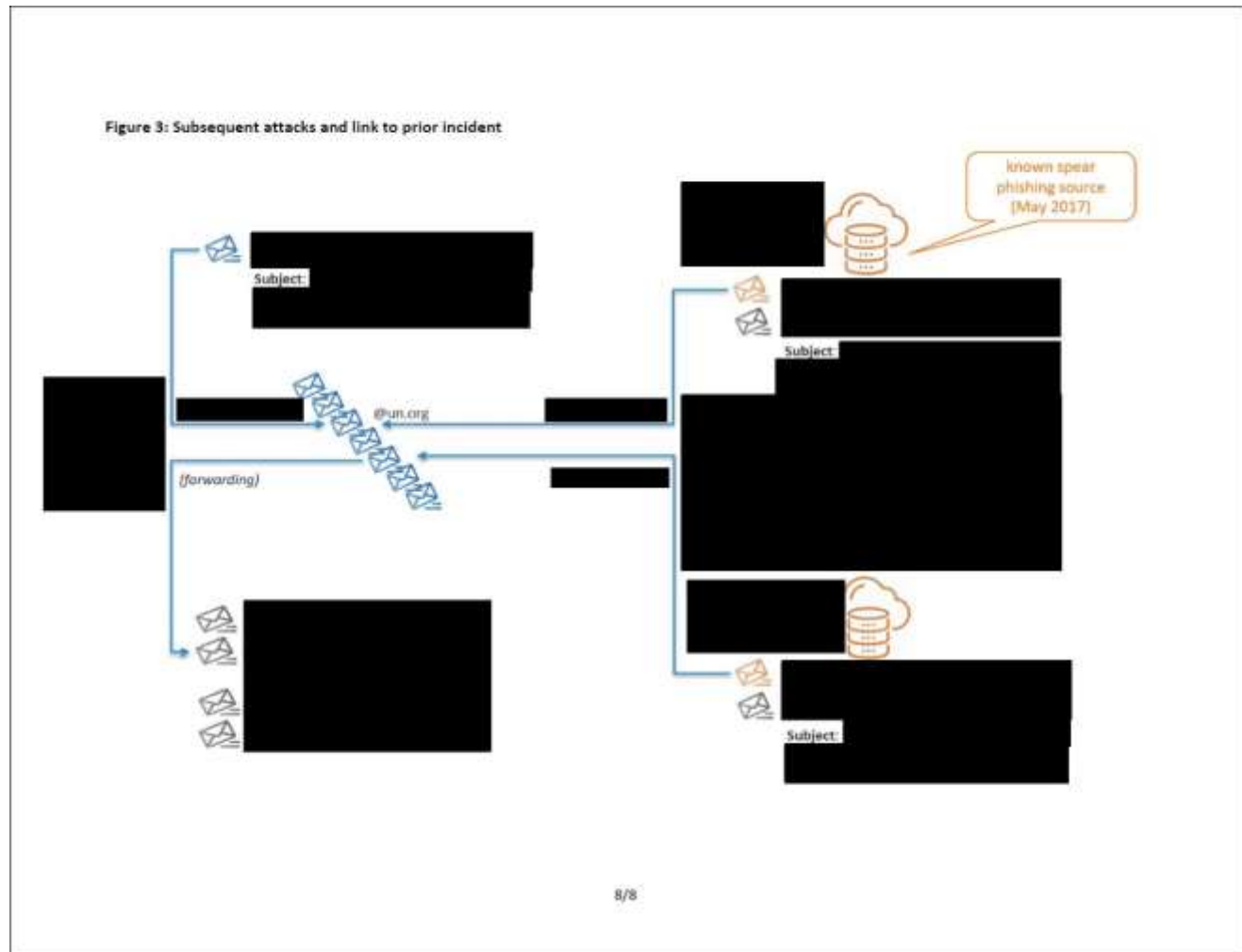


2017, clearly linking the individual incidents to a common source. One example of such an attack is depicted in figure 3 below.



Figure 2: Remote access and forwarding





Source: United Nations

Annex 3: Image of Ri Ji U (aka “James”)



Source: YouTube

Annex 3-1: Report on the DPRK patent application on the production of Sodium Cyanide

(12) International Application Status Report

Received at International Bureau: 14 February 2016 (14.02.2016)

Information valid as of: 18 November 2016 (18.11.2016)

Report generated on: 11 May 2017 (11.05.2017)

(10) Publication number:

WO2016/199944

(43) Publication date:

15 December 2016 (15.12.2016)

(26) Publication language:

English (EN)

(21) Application Number:

PCT/KP2015/000039

(22) Filing Date:

01 November 2015 (01.11.2015)

(25) Filing language:

English (EN)

(31) Priority number(s):

2015 10002015 (KP)

(31) Priority date(s):

09 June 2015 (09.06.2015)

(31) Priority status:

Priority document received (in compliance with PCT Rule 17.1)

(51) International Patent Classification:

C01C 3/10 (2006.01)

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HWANG Suk Yong; 54, Sinwon-dong Potonggang District Pyongyang (KP)

(74) Agent(s):

JO Song Chol; Taedonggang Patent & Trademark Law Office P.O Box 777 Kaeson-dong, Moranbong District Pyongyang (KP)

(54) Title (EN): PROCESS FOR PRODUCTION OF SODIUM CYANIDE**(54) Title (FR): PROCÉDÉ POUR LA PRODUCTION DE CYANURE DE SODIUM****(57) Abstract:**

(EN): A process for the production of sodium cyanide with urea and sodium carbonate as main raw materials comprises: a) step for blending raw materials; b) step for first-order reaction; c) step for second-order reaction; d) step for centrifugal atomization; e) step for agitating and dissolving; f) step for precipitating and filtering; g) step for vacuum distillation; and h) step for centrifugal separating and drying. High purity (above 98%) of sodium cyanide finished product may be obtained.

(FR): L'invention concerne un procédé pour la production de cyanure de sodium avec de l'urée et du carbonate de sodium en tant que matières premières principales, comprenant : a) une étape de mélange de matières premières ; b) un étape de réaction de premier ordre ; c) une étape de réaction de deuxième ordre ; d) une étape d'atomisation par centrifugation ; e) une étape d'agitation et de dissolution ; f) une étape de précipitation et de filtration ; g) une étape de distillation sous vide ; et h) une étape de séparation et de séchage par centrifugation. Une pureté élevée (supérieure à 98 %) du cyanure de sodium en tant que produit fini peut être obtenue.

Source: The Panel

Annex 3-2: Mansudae Art Studio patent application

LIST OF ALL PATENT APPLICATIONS RECEIVED BY WIPO FROM THE DPRK SINCE OCTOBER 2006

(A) INTERNATIONAL APPLICATIONS FILED AT THE INVENTION OFFICE OF THE DEMOCRATIC PEOPLE'S REPUBLIC OF KOREA (35)

PCT/KP2007/000010 – International filing date: 15 Jul 2007; Published: 24 Jan 2008

A DIE ASSEMBLY AND A METHOD OF MAKING IT

ISA: AT; link: <https://patentscope.wipo.int/search/en/detail.jsf?docId=08/010614>

Agent: RI, Myong Hwa, Nansanjae Patent & Trademark Agents, Grand People's Study House, P.O. Box 200, Pyongyang, KP

Applicant and Inventor: CHOE, Sung Gi (KP/KP), 8, Sonkyo-Dong No.1, Sonkyo District, Pyongyang, KP

PCT/KP2007/000011 – International filing date: 23 Nov 2007; Published: 29 May 2008

A METHOD FOR CREATING POSOKHWA PAINTING WITH FAST COLOR MATERIAL AND ITS DRAWING MEANS

ISA: AT; link: <https://patentscope.wipo.int/search/en/detail.jsf?docId=08/062912>

Agent: CHOE Yong Suk, Chonggyechon Patent & Trademark Agency, Chonggye-dong, Ryongsong District, P.O. Box 303, Pyongyang, KP

Applicant: MANSUDAE ART STUDIO (KP/KP), 38 Jongpyong-dong, Pyongchon District, Pyongyang, KP

Applicant and Inventor: SIN Bong Hwa (KP/KP), 77 Saemaul-dong No.1, Pyongchon District, Pyongyang, KP

PCT/KP2008/000012 – International filing date: 21 Jan 2008; Published: 27 Nov 2008

COMPOSITION CONTAINING CHLORELLA AND HERBAL EXTRACTS

ISA: AT; link: <https://patentscope.wipo.int/search/en/detail.jsf?docId=08/143365>

Agent: YO, Chung Il, Moronbong Patent & Trademark Agency, P.O. Box 43, Wasan-Dong, Podunamu St., Sosong District, Pyongyang, KP

Applicant and Inventor: RIM, Sin Yong (KP/KP), 85 Uiam-Dong, Daedonggang District, Pyongyang, KP

PCT/KP2008/000013 – International filing date: 28 Mar 2008; Withdrawn before publication: 20 May 2008

METHOD OF MANUFACTURING HEATHCARE WATER BY THE COMBINATION OF OZONE AND KUMGANG MEDICAL STONE

ISA: AT

Agent: CHOE, Un Hui, OUN PATENT OFFICE, Ryonghung-Dong No.1, Taesong District, P.O. Box 33, Pyongyang, KP

Applicant and Inventor: OM, Chol Jin (KP/KP), Tongmun-Dong No.1, Taedonggang District, Pyongyang, KP

Applicant and Inventor: CHOE, Mee Hyang (KP/KP), Tongmun-Dong No.1, Taedonggang District, Pyongyang, KP

Applicant and Inventor: CHOE, Hye Yong (KP/KP), Tongmun-Dong No.1, Taedonggang District, Pyongyang, KP

PCT/KP2008/000014 – International filing date: 23 Apr 2008; Published: 30 Oct 2008

OVERLOAD ADAPTIVE AND NON-STEP CONTROLLABLE WINCH

ISA: AT; link: <https://patentscope.wipo.int/search/en/detail.jsf?docId=08/130062>

Agent: KIM, Myong Nam, Cholsan Patent & Trademark Agency, P.O. Box 62, Central District, Pyongyang, KP

Applicant and Inventor: TAE, Nung Jun (KP/KP), 2, Chongsong-Dong No.3, Pohang District, Chongjin City, North Hamgyong Province, KP

Inventor: TAE, Yong Il, 2, Chongsong-Dong No.3, Pohang District, Chongjin City, North Hamgyong Province, KP

Inventor: KIM, Yong Chol, 19, Sunam-Dong No.1, Sunam District, Chongjin City, North Hamgyong Province, KP

Annex 4: HS Codes for all sectoral bans in resolutions 2270 (2016), 2321 (2016), 2371(2017), 2375 (2017) and 2397 (2017)

Table 1: HS codes for Sectoral Bans on imports from the DPRK

Item Codes	HS	Description	Resolutions
Coal	2701	Coal; briquettes, ovoids and similar solid fuels manufactured from coal	Para. 8 of res 2371 (2017)
Iron Ore	2601	Iron ores and concentrates, including roasted iron pyrites	
Iron	Chapter 72	Iron and steel products (7201-7229)	
Iron and Steel products	Chapter 73	Iron and steel products (7301-7326)	
Gold	261690	Gold ores and concentrates	Para. 30 of res 2270 (2016)
	7108	Gold (incl. put plated), unwrought, semi-manufactured forms or powder	
	710811	Gold Powder, Unwrought	
	710812	Gold in Other Unwrought Forms	
	710813	Gold in Other Semi-manufactured Forms	
	710820	Monetary Gold	
Titanium	2614	Titanium ores and concentrates	Para. 28 of res 2321 (2016)
Vanadium	2615	Vanadium ores and concentrates	
Rare Earth Minerals	2612	Uranium or thorium ores and concentrates [261210 and 261220]	
	2617	ores and concentrates, [Nesoi code 261790 - Other Ores and Concentrates]	
	2805	alkali metals etc., rare-earth metals etc., mercury	
	2844	radioactive chemical elements & isotopes etc.	
Copper	Chapter 74	Copper and articles thereof (7401-7419)	
	2603	Copper ores and concentrates	
Zinc	Chapter 79	Zinc and articles thereof (7901-7907)	Para. 9 of res 2371 (2017)
	2608	Zinc ores and concentrates	
Nickel	Chapter 75	Nickel and articles thereof (7501-7508)	
	2604	Nickel ores and concentrates	
Silver	2616100 7106, 7107	Silver ores and concentrates Silver unwrought or semi manufactured forms, or in powdered forms; base metals clad with silver, not further worked than semi-manufactured	
	7114	articles of goldsmiths or silversmiths' wares or parts thereof, of silver, whether or not plated or clad with other precious metal	
Seafood (incl fish, crustaceans,	Chapter 3	Fish and Crustaceans, Molluscs and other Aquatic Invertebrates (0301-0308)	Para. 9 of res 2371 (2017)
	1603	Extracts and juices of meat, fish or crustaceans, molluscs	

mollusks, and other aquatic invertebrates in all forms)		or other aquatic invertebrates)	
	1604	Prepared or preserved fish; caviar and caviar substitutes prepared from fish eggs	
	1605	Crustaceans, molluscs and other aquatic invertebrates, prepared or preserved	
Lead	Chapter 78	Lead and articles thereof (7801-7806)	Para. 10 of res 2371 (2017)
Lead ore	2607	Lead ores and concentrates	
Condensates and natural gas liquids	2709	Oils; petroleum oils and oils obtained from bituminous minerals	Para. 13 of res 2375 (2017)
	2711	Petroleum gases and other gaseous hydrocarbons	
Refined petroleum products	2710	Petroleum oils and oils from bituminous minerals, not crude ; preparations n.e.c, containing by weight 70% or more of petroleum oils or oils from bituminous minerals; these being the basic constituents of the preparations; waste oils	Para. 14 of res 2375 (2017)
	2712	Petroleum jelly; paraffin wax, micro-crystalline petroleum wax, slack wax, ozokerite, lignite wax, peat wax, other mineral waxes, similar products obtained by synthesis, other processes; coloured or not.	
	2713	Petroleum coke, petroleum bitumen; other residues of petroleum oils or oils obtained from bituminous minerals.	
Crude Oil	2709	Oils; petroleum oils and oils obtained from bituminous minerals, crude	Para. 15 of res 2375 (2017)
Textiles (including but not limited to fabrics and partially or fully completed apparel products)	Chapters 50-63		Para. 16 of res 2375 (2017)
	50	Silk, including yarns and woven fabrics thereof	
	51	Wool And Fine Or Coarse Animal Hair, Including Yarns And Woven Fabrics Thereof; Horsehair Yarn And Woven Fabric	
	52	Cotton, Including Yarns And Woven Fabrics Thereof	
	53	Vegetable Textile Fibers Nesoi; Yarns And Woven Fabrics Of Vegetable Textile Fibers Nesoi And Paper	
	54	Manmade Filaments, Including Yarns And Woven Fabrics Thereof	
	55	Manmade Staple Fibers, Including Yarns And Woven Fabrics Thereof	
	56	Wadding, Felt And Nonwovens; Special Yarns; Twine, Cordage, Ropes And Cables And Articles Thereof	
	57	Carpets And Other Textile Floor Covering	
	58	Fabrics; special woven fabrics, tufted textile fabrics, lace, tapestries, trimmings, embroidery	
	59	Textile fabrics; impregnated, coated, covered or laminated; textile articles of a kind suitable for industrial	

		use;	
	61	Apparel and clothing accessories; knitted or crocheted;	
	62	Apparel and clothing accessories; <i>not</i> knitted or crocheted;	
	63	Textiles, made up articles; sets; worn clothing and worn textile articles; rags	
Agricultural products	07	Vegetables and certain roots and tubers; edible	Para. 6 of res. 2397 (2017)
	08	Fruit and nuts, edible; peel of citrus fruit or melons	
	12	Oil seeds and oleaginous fruits; miscellaneous grains, seeds and fruit, industrial or medicinal plants; straw and fodder	
Machinery	84	Nuclear reactors, boilers, machinery and mechanical appliances; parts thereof	Para. 6 of res. 2397 (2017)
Electrical equipment	85	Electrical machinery and equipment and parts thereof; sound recorders and reproducers; television image and sound recorders and reproducers, parts and accessories of such articles	
Earth and stone including magnesite and magnesia	25	Salt; sulphur; earths, stone; plastering materials, lime and cement	
Wood	44	Wood and articles of wood; wood charcoal	
Vessels	89	Ships, boats and floating structures	

Table 2: HS Codes for Sectoral Bans on exports to the DPRK according to paragraph 7 of resolution 2397 (2017)

Item Codes	HS	Description	Resolutions
Industrial Machinery	84	Nuclear reactors, boilers, machinery and mechanical appliances; parts thereof	Para. 7 of res. 2397 (2017)
	85	Electrical machinery and equipment and parts thereof; sound recorders and reproducers; television image and sound recorders and reproducers, parts and accessories of such articles	
Transportation vehicles	86	Railway, tramway locomotives, rolling-stock and parts thereof; railway or tramway track fixtures and fittings and parts thereof; mechanical (including electro-mechanical) traffic signaling equipment of all	Para. 7 of res. 2397 (2017)

		kinds	
	89	Ships, boats and floating structures	
Iron, steel and other metals	Chapters 72-83		Para. 7 of res. 2397 (2017)
	72	Iron and steel	
	73	Articles of iron or steel	
	74	Copper and articles thereof	
	75	Nickel and articles thereof	
	76	Aluminum and articles thereof	
	77	Reserved for possible future use	
	78	Lead and articles thereof	
	79	Zinc and articles thereof	
	80	Tin and articles thereof	
	81	Other base metals; cermets; articles thereof	
	82	Tools, implements, cutlery, spoons and forks, of base metal; parts thereof of base metal	
	83	Miscellaneous articles of base metal	

Table 3: Harmonized System codes assigned by WCO and Member States for commodities listed only in resolutions 2371 (2017) and 2375 (2017)

<i>Commodity</i>	<i>WCO</i>	<i>Member State and regional organization interpretations</i>
Seafood (including fish, crustaceans, mollusks, and other aquatic invertebrates in all forms)	Fish, crustaceans, molluscs and other aquatic invertebrates in all forms (all codes of chapter 03); Animal products; of fish or crustaceans, molluscs or other aquatic invertebrates; dead animals of chapter 03, unfit for human consumption (chapter 05, heading 0511, subheading 0511.91); Extracts and juices of meat, fish or crustaceans, molluscs or other aquatic invertebrates; Prepared or preserved fish; caviar and caviar substitutes prepared from fish eggs; Crustaceans, molluscs and other aquatic invertebrates, prepared or preserved (1603-1605); Meat and edible meat offal of aquatic mammals, fresh, chilled or frozen (chapter 02, heading 0208); Meat and edible meat offal; salted, in brine, dried or smoked; edible flours, meals of meat or meat offal of aquatic mammals (chapter 02, heading 0210, subheading 0210.92); Flours, meal and pellets, of meat or meat offal, of fish or of crustaceans, molluscs or other	China¹ Fish, crustaceans, molluscs and other aquatic invertebrates in all forms (all codes of chapter 03); Extracts and juices of meat, fish or crustaceans, molluscs or other aquatic invertebrates; Prepared or preserved fish; caviar and caviar substitutes prepared from fish eggs; Crustaceans, molluscs and other aquatic invertebrates, prepared or preserved (1603-1605) European Union²: Fish, crustaceans, molluscs and other aquatic invertebrates in all forms (all codes of chapter 03); Extracts and juices of meat, fish or crustaceans, molluscs or other aquatic invertebrates; Prepared or preserved fish; caviar and caviar substitutes prepared from fish eggs; Crustaceans, molluscs and other aquatic invertebrates, prepared or preserved (1603-1605); Stuffed pasta, whether or not cooked or otherwise prepared containing more than 20 % by weight of fish, crustaceans, molluscs or other aquatic invertebrate (1902.20.10); Soups and broths and preparations therefor; homogenised composite food preparations, containing fish, crustaceans, molluscs or other aquatic invertebrates (2104) United States of America³: Fish, crustaceans, molluscs and other aquatic invertebrates in all forms (all codes of chapter 03); Prepared or preserved fish; caviar and caviar substitutes prepared from fish eggs; Crustaceans, molluscs and other aquatic invertebrates, prepared or preserved (1604-1605)

¹ Official announcements by China No. 52 of 22 September 2017 and No. 40 of 14 August 2017 regarding the implementation of resolutions 2375 (2017) and 2371 (2017).

² Council Regulations (EC) No. 2017/1836 of 10 October 2017, No. 2017/1548 of 14 September 2017 and No. 2017/1509 of 30 August 2017.

³ Communication to the Panel from U.S. Department of State of 19 October 2017.

<i>Commodity</i>	<i>WCO</i>	<i>Member State and regional organization interpretations</i>
	aquatic invertebrates (chapter 23, heading 2301)	
Lead and lead ore	Lead ores and concentrates (2607); Lead oxides; red lead and orange lead (chapter 28, heading 2824); Tetramethyl lead and tetraethyl lead (chapter 29, heading 2931, subheading 2931.10); Lead and articles thereof (codes of chapter 78)	China: Lead ores and concentrates (2607); Lead and articles thereof (all codes of chapter 78) European Union: Lead ores and concentrates (2607); Lead and articles thereof (all codes of chapter 78) United States of America: Lead ores and concentrates (2607); Lead and articles thereof (all codes of chapter 78)
All condensates and natural gas liquids; Crude oil	Condensates and natural gas liquids; refined petroleum products and crude oil (2709-2713); Biodiesel and mixtures thereof; not containing or containing less than 70% by weight of petroleum oils or oils obtained from bituminous minerals (2826)	China: Condensate oil, excluding crude oil (2709.00.00.00); Petroleum oils and oils from bituminous minerals, not crude; preparations n.e.c, containing by weight 70% or more of petroleum oils or oils from bituminous minerals; these being the basic constituents of the preparations; waste oils (2710); Liquefied natural gas (2711.11.00.00); Petroleum jelly; paraffin wax, micro-crystalline petroleum wax, slack wax, ozokerite, lignite wax, peat wax, other mineral waxes, similar products obtained by synthesis, other processes; coloured or not (2712); Petroleum coke, petroleum bitumen; other residues of petroleum oils or oils obtained from bituminous minerals (2713) European Union: Oils and other products of the distillation of high temperature coal tar; similar products in which the weight of the aromatic constituents exceeds that of the non-aromatic constituents (2707); Petroleum oils and oils obtained from bituminous minerals, crude; Other than crude; Petroleum gases and other gaseous hydrocarbons (2709-2711); Petroleum jelly (2712.10); Paraffin wax containing by weight less than 0,75 % of oil (2712.20); Other (2712.90); Petroleum coke, petroleum bitumen and other residues of petroleum oils or of oils obtained from bituminous minerals; Bitumen and asphalt, natural; bituminous or oil-shale and tar sands; asphaltites and asphaltic rocks; Bituminous mixtures based on natural asphalt, on natural bitumen, on petroleum

<i>Commodity</i>	<i>WCO</i>	<i>Member State and regional organization interpretations</i>
		bitumen, on mineral tar or on mineral tar pitch (for example, bituminous mastics, cut-backs) (2713-2715); Preparations for the treatment of textile materials, leather, furskins or other materials (3403.11, 3403.91); Other (3403.19, 3403.99); In the form of a liquid at 20 °C; Other (3824.99.92, 3824.99.93, 3824.99.96); Fatty-acid mono-alkyl esters, containing by volume 96,5 % or more of esters (FAMAE); Other (3826.00.10, 3826.00.90) United States of America: Condensates and natural gas liquids; refined petroleum products and crude oil (2709-2713);
Textiles (including but not limited to fabrics and partially or fully completed apparel products)	Woven, knitted or crocheted fabrics, felt and nonwovens, impregnated, coated, covered or laminated with plastics, and articles thereof, belong to chapter 39 Section XI (chapters 50-63)	China: Plastics; articles of apparel and clothing accessories (including gloves, mittens and mitts) (3926.20.11, 3926.20.19 and 3926.20.90); Articles of apparel and clothing accessories (including gloves, mittens and mitts), for all purposes, of vulcanised rubber other than hard rubber (4015); Articles of apparel and clothing accessories, of leather or of composition leather (4203); Fur skin articles; apparel and clothing accessories (4303.10); Section XI “Textile and textile articles” (select codes of chapters 50-53 and 55: 5004-5007; 5106-5113; 5204-5212; 5306-5311; 5508-5516; codes 54 and 56-63) Select codes of chapter 65 “Headgear and parts thereof” (6501-6502; 6504-6507). Select codes of subchapter 7019 “Glass fibres (including glass wool) and articles thereof (e.g. yarn, woven fabrics)” (7019.11-7019.12; 7019.4; 7019.51.00-7019.52.00; 7019.59.00) European Union: Section XI “Textile and textile articles” (all codes of chapters 50-63) United States of America: Section XI “Textile and textile articles” (all codes of chapters 50-63)

Source: The Panel

Annex 5-1: Panel investigations of coal shipments delivered between January and 4 August 2017 (shading indicates transshipment)

Table 1

	Port of discharge and date	Vessel / IMO / Flag at time of shipment (current)	Volume and Value (\$)	Date / Port of Loading	Remarks
1	Penang, Malaysia 18 March	<i>Cheng Hong</i> (<i>Jia Feng</i>) 9136541 Palau (Togo)		Nampo, DPRK circa 25 January <u>*claimed port:</u> Penang, Malaysia, 18 March	AIS off from 11-25 January and 2 -9 March 2017.
2	Port Klang, Malaysia, 15-25 March	<i>New Global</i> 8660521 Kiribati Jamaica		Nampo, DPRK 13 February	AIS off from 30 January to 17 March and 7-14 March 2017 Vessel de-registered by Jamaica
3	Nghi Son, Thanh Hoa, Vietnam, 15 March	<i>Kai Xiang</i> 9634359 Panama (Sierra Leone)	20,048 MT	Nampo, DPRK <u>*claimed:</u> Qingdao, China 6 March	Posted ETA for Nampo, DPRK for 19 February 2017 but AIS off from 18 February 2017 to 9 March 2017. No port call at Qingdao, China 6 March 2017
4	Penang, Malaysia, 18 March	<i>Jian Fu</i> 8306890 Fiji (Palau)		Nampo, DPRK 26 February	AIS off from 23 February to 4 March and 6-14 March 2017.
5	Penang, Malaysia, 24 March	<i>Kum Ya</i> 9004073 DPRK	6,342 MT	DPRK 2 March	Only cargo of this list reported to the 1718 Committee by Malaysia
6	Vung Tao, Vietnam, 26 March-14 April	<i>Tai An</i> 8400529 Panama (Togo)	26,265 MT	Nampo, DPRK, 5-7 March <u>*claimed:</u> Tianjin and Penglai, China	AIS off from 4-11 March. Draft change 6 to 9.7 on 19 March. Thailand cancelled the import planned for Koh Si Chang 20-30 March, and the vessel re-routed to Vung Tao. Vessel broken-up 6 May 2017.
7	Cam Pha, Vietnam 16 March	<i>Zhang Hong No 1</i> 8307894 Taiwan Province of China	9,934.06 MT / \$665,582,02 (@ \$67/ton)	Nampo, DPRK circa 17 Feb <u>*claimed:</u> Tianjin, China, 3 March	Supplier: Maison Trading Ltd.**, a front company for Dandong Chengtai Trading Co., Ltd., also known as Dandong Zhicheng Metallic Material Co., Ltd. (Annex 6-1)
8	Cam Pha, Vietnam 21 March	<i>Zhang Hong No 1</i> 8307894 Taiwan Province of China	22,000 MT / \$1,474,000 (@ \$67/ton)	Nampo, DPRK circa 17 Feb <u>*claimed:</u> Tianjin, China, 15 March	Supplier: Maison Trading Ltd.**, a front company for Dandong Chengtai Trading Co., Ltd., also known as Dandong Zhicheng Metallic Material Co., Ltd. (Annex 6-1)

		China			
9	Ho Chi Minh, Vietnam 21 April	<i>Bai Mei 8</i> 9584578 St. Kitts & Nevis (China)	31,903 MT	Nampo, DPRK 17 March	AIS off from 12 February to 31 March 2017 Exporter: Maison Trading Ltd. ** (Annexes 6-1 and 9)
10	Nakhodka, Russia 25 April	<i>Zhi Kun 7</i> (<i>Orient Lidu</i>) 9614610 Mongolia (Panama)		Wonsan, DPRK 12 April	AIS off from 9 to 14 April 2017. Draft changed from 4.4 to 6.5 on 14 April.
11	Cam Pha, Vietnam, 27 May	<i>Jian Fu</i> 8306890 Fiji (Palau)	20,089MT	Nampo, DPRK <u>*claimed:</u> Qingdao, China, 10-19 May	AIS off from 8 -16 May 2017. At anchor only 17 to 18 May 2017 – no port call at Qingdao. Exporter: Maison Trading Ltd. ** (Annex 6-1)
12	Nanjing, China, 7 June	<i>Zhi Kun 7</i> (<i>Orient Lidu</i>) 9614610 Mongolia (Panama)		Chongjin, DPRK 28 May	
13	Cam Pha, Vietnam, 24 June	<i>Cheng Hong</i> (<i>Jia Feng</i>) 9136541 Panama (Togo)	24,140MT	Nampo, DPRK 15 June <u>*claimed:</u> Penglai, China 14-18 June	AIS off from 13-17 June 2017 Loitered 17-18 June 2017 off Penglai – no port call
14	Ningbo, China 30 June	<i>Bai Mei 8</i> 9584578 St. Kitts & Nevis (China)		Nampo, DPRK 16 June <u>*claimed:</u> Vladivostok, Russia, 23 June	AIS switched off 7 June and back on after rejoining its voyage on 19 June 2017 Satellite image of 16 June 2017 shows the vessel loading coal in Nampo, DPRK.df
15	Nakhodka, Russia 28 June (For transshipment)	<i>Sun Union</i> (<i>Gold River</i>) (9098517) Palau		Wonsan, DPRK 14 June	AIS off from 6 to 15 July 2017. DPRK coal discharged loaded and transshipped by the <i>Great Spring</i> on 11 July 2017. Vessel de-registered by Jamaica
16	Tianjin, China 18 July	<i>Great Spring</i> (9560326) Panama		Nakhodka, Russia 11 July	Loaded DPRK coal discharged by the <i>Sun Union</i> on 28 June 2017.

Sources: Member States, maritime databases

**Annex 5-2: Panel investigations of shipments delivered after the comprehensive coal ban
on 5 August 2017 (shading indicates transshipment)**

	Port of discharge and date	Vessel Name (IMO #) and Flag at time of shipment (current)	Amount and Value of Coal Discharged	Actual Port of Loading and Date	Remarks
1	Kholmsk, Russia 3-7 August (For transshipment)	<i>Rung Ra 2</i> (9020534) DPRK		Wonsan, DPRK	First of three calls to the Kholmsk coal terminal Designated 28 December 2017 (annexes 10-12)
2	Can Tho, Vietnam 8 August	<i>Toyo Maru</i> (9009097) Palau	6680 MT \$ 268,536.00	Nampo, DPRK *claimed port: Lianyungang, China 18 July	AIS off from 4 to 17 July. No port call, only loitering off Lianyungang 18 to 19 July
3	Bayuquan, China 8 August	<i>Petrel 8</i> (9562233) Comoros		Taeon, DPRK 26 July	AIS off from 20 to 27 July. Draft changed from 4 to 6.9 on 27 July. Designated 3 October 2017 China reply stated "from 8 to 24 August 2017 coal originated Russian Federation".
4	Kholmsk, Russia 9-11 August 2017 (For transshipment)	<i>Ul Ji Bong 6</i> (9114555) DPRK		Wonsan, DPRK 26 August 2017	AIS off from 26 July to 2 August. Unloaded at same terminal where coal had been discharged by <i>Rung Ra 2</i> for transshipment. Designated 28 December 2017. (annexes 10-12)
5	Bayuquan, China 13 August	<i>Xin Sheng Hai</i> (9485617) Belize		Nampo, DPRK 26 July	AIS off from 20 to 29 July. Draft changed from 5 to 8.6 on 29 July. China reply stated "from 8 to 24 August 2017 coal originated Russian Federation".
6	Nantong, China 14 August	<i>Hao Fan 6</i> (8628597) St Kitts & Nevis		Nampo, DPRK 29 July	AIS off from 19 July to 3 August. Draft changed: from 3.7 to 8 on 3 August. Designated 3 October 2017 China reply stated "from 8 to 24 August 2017 coal originated Russian Federation".
7	Guangzhou, China 16 August	<i>East Glory</i> (<i>Fast Glory</i>) (8673114) Palau (Togo)		Nampo, DPRK 25 July	AIS off from 22 to 27 July. Loitered of Shidao, fake call to Yantai, China. China reply stated "from 8 to 24 August 2017 coal originated Russian Federation".
8	Cam Pha, Vietnam 16 August	<i>Kai Xiang</i> (9634359) Panama (Sierra Leone)	20,090 MT	Nampo on 26 July *claimed port: Vladivostok, Russia 28 July	AIS off from 21 August to 3 September 2017. Draft changed from 6.6 to 9.5 on 3 September. Russia confirmed no port call

9	Kholmsk, Russia 22-25 August (For transshipment)	<i>Un Bong 2</i> (8913186) DPRK		Chongjin, DPRK	Unloaded at same terminal where coal had been discharged <i>Rung Ra 2</i> and <i>Ul Ji Bong</i> for transshipment.
10	Bayuquan, China 24 August	<i>Tong San 2</i> (8937675) DPRK		Nampo, DPRK 15 June	AIS off froms 22 April to 15 July; 20 July to 13 August (en route Najin); and 14 to 17 August (en route to Bayuquan). Designated 3 October 2017 China reply stated cargo caustic calcite magnesite
11	Cam Pha, Vietnam 26 August	<i>Orient Shenyu</i> (8671611) Panama (China)		Songnim, DPRK 7 August	AIS off from 3 to 12 August. Loitered off Lianyungang, China 13 to 15 August. Draft changed from 5.8 to 10.2 on 13 August. (Annex 7)
12	Kholmsk, Russia 29 August - 1 September (For transshipment)	<i>Rung Ra 2</i> (9020534) DPRK		Wonsan, DPRK 26 August	Second of three port visits to the Kholmsk coal terminal for transshipment. Designated 28 December 2017 (Annex 10)
13	Cam Pha, Vietnam 1 September	<i>Glory Hope 6</i> (8684527) Panama (China)		Nampo, DPRK 6-13 August	AIS off from 5 to 14 August. Loitered off Qingdao, China on 16 August
14	Kholmsk, Russia 4 -5 September (For transshipment)	<i>Ul Ji Bong 6</i> (9114555) DPRK		Wonsan, DPRK 26 August	AIS off from 12 August to 4 September. Unloaded at same terminal where coal had been discharged by <i>Rung Ra 2</i> and <i>Un Bong 2</i> for transshipment. Designated 28 December 2017 (Annexes 10-12)
15	Kholmsk, Russia 1-5 September (For transshipment)	<i>Yu Yuan</i> (9358694) Togo		Wonsan, DPRK 12 August	Unloaded at same terminal at which coal had been discharged by <i>Rung Ra 2</i> , <i>Un Bong 2</i> , <i>Ul Ji Bong 6</i> . (Annex 11)
16	Kholmsk, Russia 12-17 September (For transshipment)	<i>Rung Ra 2</i> (9020534) DPRK		Wonsan, DPRK 7 September	Third of three drop-offs at same berth at Kholmsk for transshipment. Designated 28 December 2017 (Annex 10)
17	Cam Pha, Vietnam 14 September	<i>Hua Fu</i> (9020003) Panama	12,652.52 MT @\$ 65.40/MT \$ 827,474.81	Nampo, DPRK *claimed port: Lianyungang, China 6 September	Loitered off Shidao 17 August to 2 September. Draft changed from 4.3 to 10.4 on 17 August. AIS off from 2 to 7 September. Loitered off Hong Kong 7 September. (Annexes 6-2 and 7)
18	Cam Pha, Vietnam 18 September	<i>Kai Xiang</i> (9634359) Panama (Sierra Leone)	20,180 MT	Nampo, DPRK 31 August *claimed: Nahodka, Russia 31 Aug	AIS off from 21 August to 3 September 2017. Draft changed from 6.6 to 9.5 on 3 September. Russia confirmed no port call

19	Hai Phong, Vietnam 19 September	<i>Xin Guang Hai</i> (9004700) Panama (Togo)		Songnim, DPRK 31 August	AIS off from 31 August to 5 September. Draft changed from 4.3 to 0 on 4 September. Loitered off Shidao 5 to 8 September. Loitered off Hong Kong 18 September and draught change 0 to 7.
20	Cam Pha, Vietnam 27 September	<i>Xin Sheng Hai</i> (9485617) Belize		Nampo, DPRK 31 August	AIS off from 24 August to 2 September. Draft changed from 4.6 to 8.8 on 2 September.
21	Incheon, Republic of Korea 2 October	<i>Sky Angel</i> (9168441) Panama (China)		Kholmsk, Russia 21 September (coal terminal)	Loaded at same terminal at which coal had been discharged by <i>Rung Ra 2</i> , <i>Un Bong 2</i> , <i>Ul Ji Bong 6</i> , and <i>Yu Yuan</i> . Same operator as <i>Sky Lady</i> which used the same berth on 9 August. China reply stated "coal originated Russian Federation".
22	Cam Pha, Vietnam 7 October	<i>Hua Fu</i> (9020003) Panama	11,850 MT @\$ 66/MT \$ 770,250	Wonsan / Chongjin, DPRK *claimed port: Nakhodka, Russia	AIS off from 21 to 27 September. No port call to Nakhodka. Russia confirmed no port call (Annex 8)
23	Pohang, Republic of Korea 11 October	<i>Rich Glory</i> (8649905) Sierra Leone	5,000 MT @\$ 65/MT \$ 325,000	Kholmsk, Russia 5-6 October (coal terminal)	Loaded at same terminal at which coal had been discharged by <i>Rung Ra 2</i> , <i>Un Bong 2</i> , <i>Ul Ji Bong 6</i> , and <i>Yu Yuan</i> . (Annexes 10-12, 15)

Source: Member States, maritime databases

Annex 6-1: Documents showing Maison Trading Ltd. as the exporter of at least 4 shipments of DPRK coal

Jian Fu

COGE NAME "CONGENBILL", EDITION 1994		BILL OF LADING BL No. 01 TO BE USED WITH CHARTER-PARTIES	
Shipper MAISON TRADING LIMITED TRUST COMPANY COMPLEX, AJELTAKE ISLAND, MAJURO			
Consignee 		ORIGINAL	
Notify address 			
Vessel MV JIAN FU	Port of loading QINGDAO PORT OF CHINA		
Port of discharge CAM PHA PORT, VIETNAM			
Shipper's description of goods	Quantity and Description of Goods	Gross weight	Measurement
N/M	ANTHRACITE COAL IN BULK QUANTITY: 20,089 MTS	20,089 MTS	
CLEAN SHIPPED ON BOARD FREIGHT PAYABLE AS PER CHARTER PARTY SAY: TWENTY THOUSAND AND EIGHTY NINE METRIC TONS ONLY.			
(of which on deck at shipper's risk; the carrier not being responsible for loss or damage howsoever arising)			
Freight payable as per CHARTER-PARTY dated		SHIPPED at the Port of Loading in apparent good order and condition on board the vessel for carriage to the Port of Discharge or so near thereto as she may safely get the goods specified above. Weight, measure, quality, quantity, condition, contents and value unknown. IN WITNESS whereof the Master or Agent of the said Vessel has signed the number of bills of lading indicated below all of this tenor and date, any one of which being accomplished the others shall be void.	
FREIGHT ADVANCE. Received an account of freight: Time used for loading.....days.....hours.		FOR CONDITIONS OF CARRIAGE SEE OVERLEAF	
Freight payable at		Place and date of issue QINGDAO, CHINA MAY 18, 2017	
Number of original Bill. THREE		Signature AS MASTER OF MV. JIAN FU	

Source: Member State

Extracts of Maison Trading contracts: Zhang Hong 1

SALES AND PURCHASE CONTRACT

Contract No: ANAS.007.17 MST-DKM

Date: 3rd Mar 2017

Between:

The Seller: MAISON TRADING LIMITED

Address: Trust Company Complex, Ajeltake Island, Majuro

The Buyer: [REDACTED]

4. Price

USD 67.00 /MT CFR FO Cam Pha port, Vietnam basis GCV 6,500kcal/kg DB (INCOTERMS 2010)

Total contract value: USD 670,000.00 (+/- 10%)

USD 67.00/MT CFR FO Cam Pha port, Vietnam basis GCV 6,500 DB (INCOTERMS 2010)

67.00 Đô la Mỹ CFR FO Cam Pha port, Vietnam basis GCV 6,500 DB (INCOTERMS 2010)

Total contract value: USD 1,474,000.00 (+/- 10%)

Total contract value: USD 1,474,000.00 (+/- 10%)

Tổng giá trị hợp đồng: 1,474,000.00 Đô la Mỹ (+/- 10%)

9. Payment

9.1 Upon receipt of hard documents as stipulated in Article 9.3 sent by the Seller to the Buyer, within 3 working days, the Buyer shall pay 100% of shipment value to Seller's bank account by T/T.

Seller's bank:

Bank name: [REDACTED] (China) Ltd.

SWIFT BIC: [REDACTED]

Advise Through: [REDACTED] (China) Ltd. QINGDAO ETDZ Sub-Branch

Account No. NRA729100109822001

Beneficiary Name: MAISON TRADING LIMITED

For and on behalf of
MAISON TRADING LIMITED

Signed by: [REDACTED] MAISON TRADING LIMITED

Date: [REDACTED]

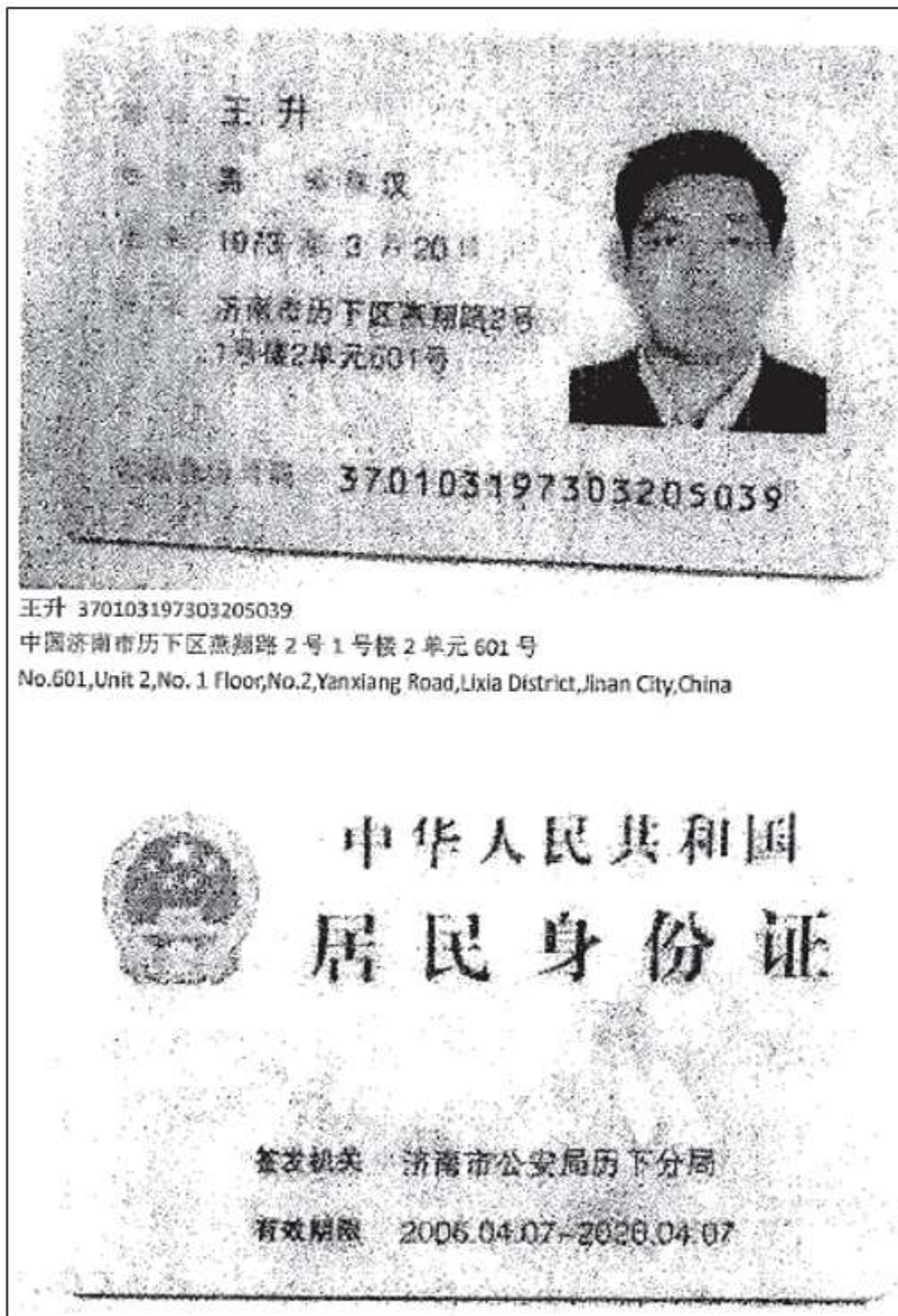
Authorized Signature(s)

Date: 3rd March 2017

Source: Member State

Identification document of the Director of Maison Trading Limited: Sheng Wang

Date of Birth: 20 March 1973



Source: Member State

Note : Marshall Islands informed the Panel that Maison Trading Ltd.'s registration was revoked on 30 October 2017. The company had been registered on 20 September 2016.

Annex 6-2: Documents showing Bright Australia as the shipper of DPRK coal claiming Russian origin.

Hua Fu

PROFORMA INVOICE	
Date	: Sep. 25, 2017
Attention	: KTD Strong Development Joint Stock Company ADD: Bai Mac, Thuong Quan Ward, Kinh Mon District, Hai Duong Province, Vietnam
Invoice no.	: 2017018
COMMODITY:	ANTHRACITE COAL IN BULK
UNIT PRICE:	USD 65.00 /METRIC TON
B/L QUANTITY:	11,850.00 MT
COUNTRY OF ORIGIN:	RUSSIA
PRICE TERMS:	CFR FO HON NET ANCHORAGE, CAM PHA PORT, VIETNAM
VESSEL NAME:	M/V HUA FU
PORT OF LOADING:	NAKHODKA, RUSSIA
PORT OF DISCHARGE:	HON NET ANCHORAGE, CAM PHA PORT, VIETNAM
Total amount:	USD 770,250.00
IN WORDS: SEVEN HUNDRED SEVENTY THOUSAND TWO HUNDRED FIFTY US DOLLARS ONLY.	
For and on behalf of	
SAO NGUYỄN VĂN BẢN CHÍNH	
For and on behalf of Bright Australia Pty Ltd Authorized Signature(s)	
Bright Australia Pty Ltd	

**Russia confirmed
no port call made**

Source: Member State

Extracts of a Brigt Australia contract for DPRK coal shipped to Vietnam

SALES AND PURCHASE CONTRACT HỢP ĐỒNG MUA BÁN Contract No: HL-VAD/004-17 Số HL-VAD/004-17 On 15th September 2017 Ngày 15/09/2017	
Between / Giữa: The Seller: Brigt Australia Pty Ltd Bên Bán: Brigt Australia Pty Ltd Address: SUITE 03, LEVEL 14, 100 WALKER ST, NORTH SYDNEY, NSW 2060, AUSTRALIA Represented by: Ms Lwia Wang Position: Director Địa chỉ: SUITE 03, LEVEL 14, 100 WALKER ST, NORTH SYDNEY, NSW 2060, AUSTRALIA	
The Buy [REDACTED] Address: [REDACTED]	
<u>Considering that / Xét rằng:</u> - Seller's company is established and registered under Australia law and Seller's certificate/license of business registration allowed for selling coal cargo as specified in this contract <i>(Bên bán là doanh nghiệp được thành lập và kinh doanh hợp pháp theo pháp luật Australia theo giấy phép đăng ký kinh doanh, có khả năng bán hàng hóa như qui định tại Hợp đồng này) and (và)</i> - Buyer's company is established and registered under Vietnamese law allowed for buying coal cargo as specified in this contract. <i>(Bên mua là doanh nghiệp được thành lập và kinh doanh hợp pháp theo pháp luật Việt Nam, có nhu cầu mua hàng hóa như qui định tại Hợp đồng này)</i> The Buyer and the Seller hereinafter shall be jointly referred to as the "Parties" and respectively as the "Party" <i>Người bán và người mua sau đây sẽ được gọi là các bên trong hợp đồng</i> The seller agrees to sell and the buyer agrees to buy the cargo in the Contract with the terms and conditions as follows: <i>Người bán đồng ý bán và người mua đồng ý mua hàng hóa trong hợp đồng với các điều khoản, điều kiện như dưới đây.</i>	
1. Contract cargo Anthracite Coal in Bulk, hereinafter referred to as "Coal" Origin: Russia Hàng hóa:	Signed by Brigt Australia PTY Ltd 

Source: Member State

**Annex 6-3: Documents for DPRK coal onboard the *Kai Xiang* falsely claiming Russian origin
Company based in Sweden**

1. Exporter (name, address, country) [REDACTED]		ORIGINAL No. 7020006385	
2. Consignee (name, address, country) TO THE ORDER		6215973 CERTIFICATE OF ORIGIN Issued in the Russian Federation	
3. Means of transport and route MV KAI XIANG Port of loading: PORT VLADIVOSTOK, RUSSIA Port of discharge: CAM PHA, ANCHORAGE AREA, VIETNAM		4. For official use Russia confirmed no port call made	
5. Country of origin ORIGIN OF COUNTRY: RUSSIA		6. Supplementary details BILL OF LADING No. 01 dd. 28.07.2017	
7. Item number	8. Description of goods	9. Number and kind of packages	10. Gross weight or other quantity
1.	COMMODITY: ANTHRACITE ULG GRADE QUANTITY:	In bulk	20 090,000 METRIC TONS
[REDACTED]			
11. Certification It is hereby certified, that the declaration by the exporter is correct UNION THE PRIMORSK CHAMBER OF COMMERCE AND INDUSTRY 1a-316, Shkolnaya str. Nakhodka  Place, date, signature, name and stamp of certifying authority		12. Declaration by the exporter The undersigned hereby declares that the above details and statements are correct; that the goods are of origin of the country shown in box No 5; that the goods are exported to  Place, date, stamp and signature of authorized signatory	

Source: Member State

Warranty of origin for DPRK coal onboard the *Kai Xiang* falsely claiming Russian origin

HONG KONG TAIPEI TAIWAN	
<u>LETTER OF WARRANTY</u> CONTRACT NUMBER: CO7010	
WE, HEREBY CONFIRM THE COMMODITY WE SOLD TO YOUR ESTEEMED COMPANY IS RUSSIAN ANTHRACITE (RUSSIAN ORIGIN). RELATED DOCUMENTS FROM OUR SUPPLIER HAVE ALSO BEEN PROVIDED TO YOUR ESTEEMED COMPANY ALREADY.	
LTD.	
SIGNATURE	
NAME	
TITLE	

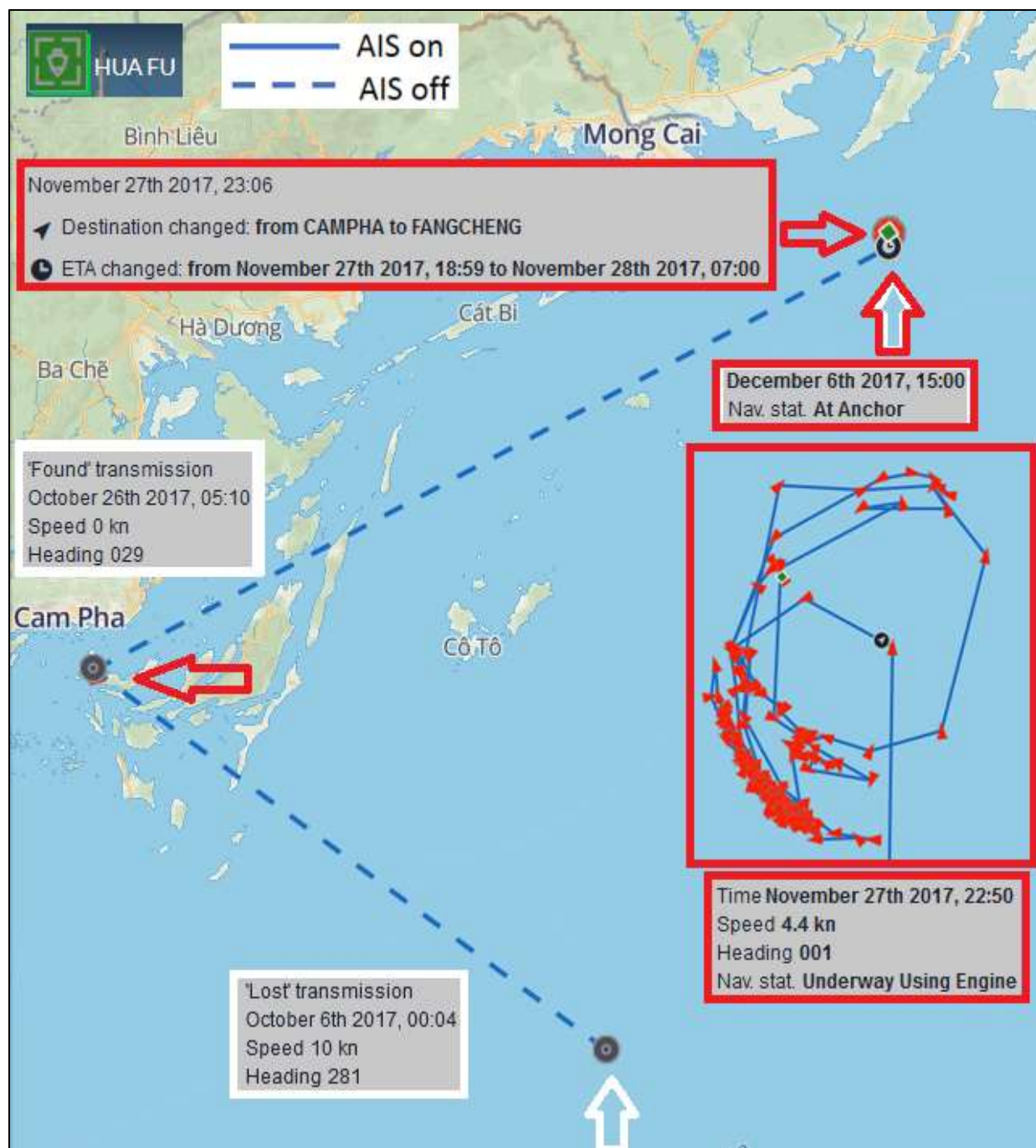
Source: Member State

Annex 7: The *Orient Shenyu*'s deviation of the vessel loading in Songnim on 7 August 2017



Source: Windward

Annex 8 *Hua Fu's* voyage showing a second attempt to deliver its DPRK coal



Source: Windward

Annex 9: Crew list of the *Bai Mei 8* showing the crew joining in Nampo, DPRK confirming the vessel's call there

IMO CREW LIST													Page No 1 Of 1
1. Name of ship BAI MEI 8			2. Port of arrival Ho Chi Minh (Go Gia)			3. Date of arrival 2017-APR-							
4. Nationality of ship ST.KITTS&NEVIS			5. Port of departure HONGKONG			6. Nature and No. of identity document (Passport) and Valid Date			7. Nature and No. of identity document (Seaman's Passport) and Valid Date				
8. No.	9. Family name, given names	10. Sex	11. Rank or rate	12. Nationality	13. Date and place of birth	14. Joining date & Place							
1				CHINESE		NAMPO DPRK							
2				CHINESE		27-Mar-2017							
3				CHINESE		NAMPO DPRK							
4				CHINESE		27-Mar-2017							
5				CHINESE		NAMPO DPRK							
6				CHINESE		27-Mar-2017							
7				CHINESE		NAMPO DPRK							
8				CHINESE		27-Mar-2017							
9				CHINESE		NAMPO DPRK							
10				CHINESE		27-Mar-2017							
11				MYANMAR		DALLA CHINA							
12				MYANMAR		02-Apr-2017							
13				MYANMAR		NAMPO DPRK							
14				CHINESE		27-Mar-2017							
15				MYANMAR		NAMPO DPRK							
16				MYANMAR		27-Mar-2017							
17				CHINESE		NAMPO DPRK							
						27-Mar-2017							

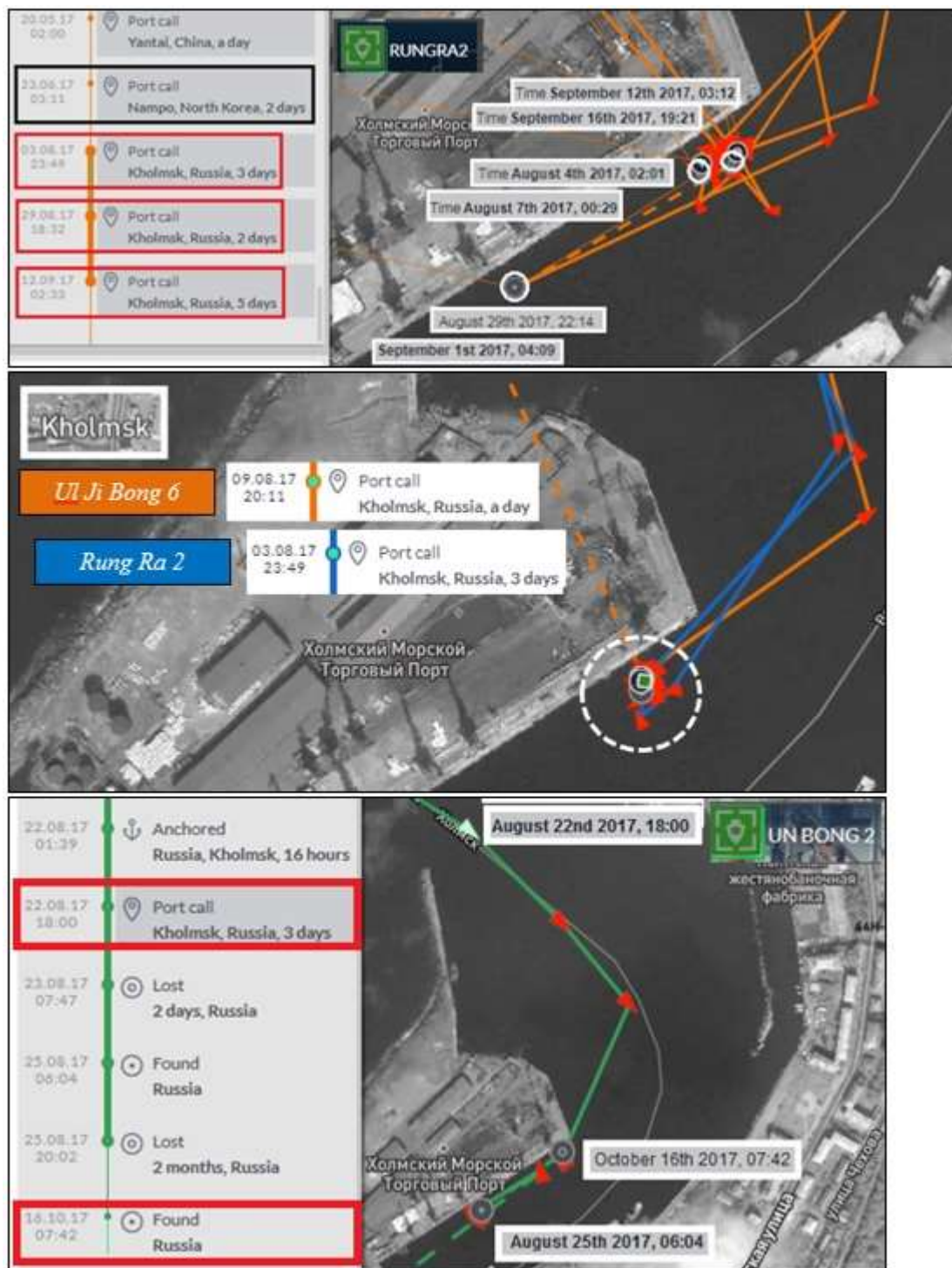
Date and signature by Master, authorized agent or officer

MASTER:
DATE: 2017-APR-21

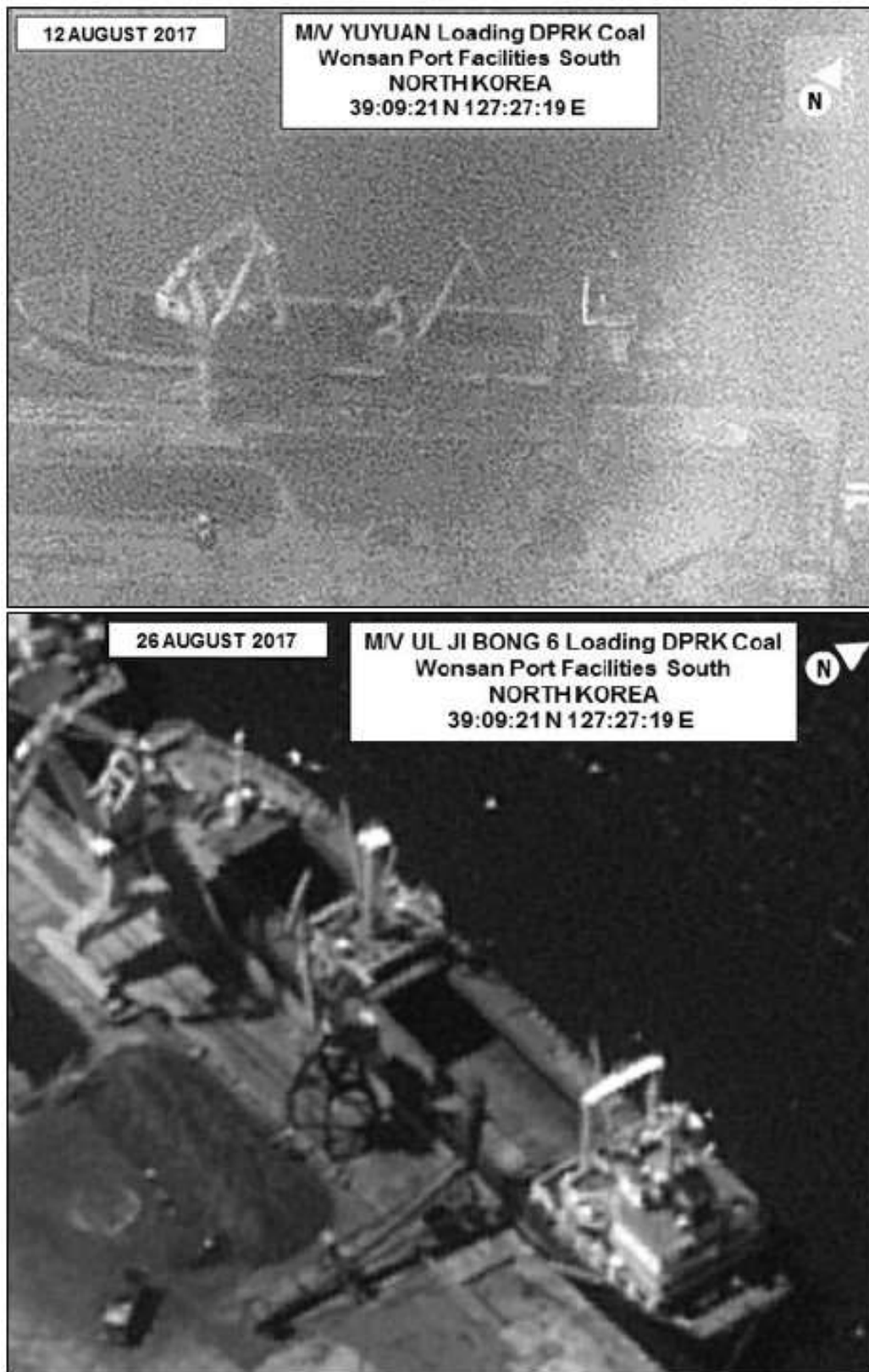
BAI MEI 8

Source: Member State

Annex 10: *Rung Ra 2*, *Ul Ji Bong 6* and *Un Bong 2* at the same coal terminal in Kholmsk



Annex 11: Images of the *Yu Yuan* and *Ul Ji Bong 6* loading coal in Wonsan



Source: Member State

Annex 12: Images of the *Yu Yuan* and *Ul Ji Bong 6* discharging DPRK coal in Kholmsk



Source: Member State

Annex 13: Certificate of origin for Sky Lady showing coal origin as Shakhtersk

Certificate No. 181202-150771-C/M-NA-2017

Vessel : M/V SKY LADY
Commodity : Solntsevsky Steaming coal 3B in bulk
Vessel commenced loading : at 17:40 hrs on 11.06.2017
Vessel completed loading : at 19:30 hrs on 11.06.2017
Quantity : 3,280,000 MT
Port of Loading : Shakhtersk, Russia
Port of Discharge : Japan
B/L Date : August 11, 2017

THIS IS TO REPORT:

That in accordance with the instructions received from our Principal, SOLNTSEVSKY COAL MINE LLC, we hereby report that according to the RWPs provided for checking the coal loaded on board M/V SKY LADY is really of origin of the Russian Federation.

This document is a witness of survey services rendering. SGS and its employees, directors, and representatives take no financial responsibility, will not be held liable for, and shall be fully indemnified for any loss related to this document.

Signed and dated at
NAKHODKA, RUSSIA
August 18, 2017

SGS Vostok Limited
 FOR AND ON BEHALF OF
 SGS VOSTOK LIMITED

SGS Vostok Limited | 30, Nakhimovskaya Street, 682801, Nakhodka, Russia
 t: (7-4236) 82-18-14, f: (7-4236) 82-11-67, www.sgs.com
 Member of the SGS Group

This document is issued under the authority of the Group and under its General Conditions of Service printed separately.
 The Client's attention is drawn to the location of the SGS office and jurisdiction laws defined therein.

SGSPAPER
18055757

Source: Sky Ocean

Annex 14: Certificate of origin for *Sky Angel* showing coal origin as Kholmsk

1. Exporter (name, address, country) "AMET VENTURE LIMITED" 4TH FLOOR 1 KANGHTRIDER COURT ST. PAULS LONDON EC4V 5BJ, GREAT BRITAIN.		ORIGINAL № 7028000422 6690624 CERTIFICATE OF ORIGIN Issued in the Russian Federation	
2. Consignee (name, address, country) [REDACTED]			
3. Means of transport and route RAILWAY TRANSPORTATION ST. KEMEROVO OF THE KEMEROVO, RAILWAY PORT KholmSK. SEA TRANSPORTATION PORT KholmSK TO INCHEON PORT, SOUTH KOREA.		4. For official use TO CUSTOMS	
5. Country of origin RUSSIAN FEDERATION		6. Supplementary details BILL OF LADING № 5A170922	
7. Item number	8. Description of goods	9. Number and kind of packages	10. Gross weight or other quantity
	SEMI COKE	TONBAG	4155.00 MT
11. Certification It is hereby certified, that the declaration by the reporter is correct  16.10.2017 Place, date, signature, name and stamp of certifying authority		12. Declaration by the exporter The undersigned hereby declares that the above details and statements are correct: that the goods are of origin of the country shown in box № 5; that the goods are exported to  16.10.2017 Place, date, signature, name and stamp of authorized signatory	

Source: Sky Ocean

Annex 15: Shipping document of *Rich Glory* showing coal origin as Kholmsk

PACKING LIST

1. Shipper / Exporter HONG KONG COAL ENERGY LIMITED 11/F AXA CENTRE, 161 GLOUCESTER ROAD WANCHAI HONG KONG		8. NO. & Date of Packing List HKCC20171006-B OCT 06, 2017	
2. For Account & Risk of Messrs. [REDACTED]		9. No. & Date of L/C	
3. Notify Party [REDACTED]			
4. Port of Loading KHOLMSK PORT, RUSSIA	5. Final Destination POHANG PORT, KOREA		
6. Carrier MV. RICH GLORY	7. Sailing and or about 06TH OCT, 2017		
11. Shipping Marks	12. Description of Goods	13. Quantity	14. Net-Weight (MT)
N/A		5,000.00MT	
		15. Gross-Weight (MT)	16. Measurement

ANTHRACITE COAL

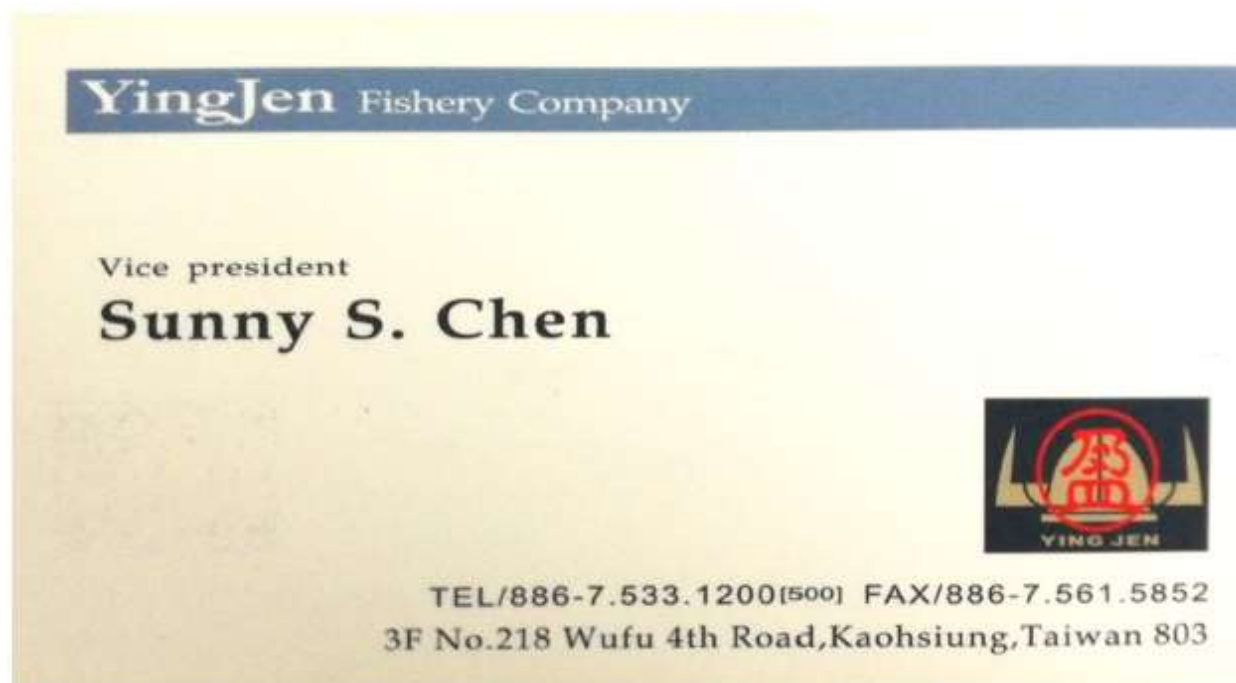
- TOTAL MOISTURE (ARB) : 8% MAX
- ASH (ADB) : 12% MAX
- CALORIFIC VALUE(DB) : 6,600kcal MIN
- FIXED CARBON (DB) : 82% MIN
- VOLATILE MATTER (ADB) : 5% MAX
- SIZE : 0-50mm 90% MIN
- COUNTRY OF ORIGIN : RUSSIA
- PACKING IN BULK



17. Signed by _____
HONG KONG COAL ENERGY LIMITED

Source: Member State

Annex 16: Business card of Mr. Hsih-Shien Chen as the representative of Ocean Enterprises Ltd. to charter the *Lighthouse Winmore*



Source: The Panel

Source: The Panel

Annex 17: Emails from Oceanic Enterprises to the *Lighthouse Winmore* emanating from Billions Bunker Group



Source: The Panel

Email to the *Lighthouse Winmore* from Mr Chen's Billions Bunker Group Corporation showing his company's operations management of the tanker prior to the ship-to-ship transfer on 19 October 2017

From: Miguel S <billions.miguel@gmail.com>
Sent: Friday, 29 September, 2017 9:30 PM
To: VRNC3 Chien Money: [REDACTED]
Subject: 碼頭協議

王船長您好:

以下重點:

這次進碼頭, okyc 的人員會再上船檢查一次, 請確實做好

1. 纜繩和煞車系統的更換及保養
2. 高低位顯示, 請配合韓國人的指示
3. 應對態度和船員積極性改善, 盡量配合他們的需求

如果表現不錯的話, 他們願意給我們一次機會靠碼頭, 注意是"表現好的話他們願意再給我們一次機會" 所以麻煩船長 做好一切應變的措施, 拜託!

感謝船長的配合

比利恩油品集團
Billions Bunker Group Corp.
Manager
蕭錫理 Miguel Shiao.
Tel : +886-7533-1200 # 301
Fax: +886-7533-1211
Cell: +886-981-696-924
Email: billions.miguel@gmail.com

Source: The Panel

Annex 18: Corporate records showing Lighthouse Ship Management Ltd. was formerly known as Billion Great International Group Ltd.

LIGHTHOUSE SHIP MANAGEMENT LIMITED	
 Hong Kong	 HK-1653732  Live
LIGHTHOUSE SHIP MANAGEMENT LIMITED was incorporated on 2011-08-03. This company is now live, their business is recorded as private. As so far this company has running for 6 Years 3 Months 1 Day.	
Registration Information	
CR No:	1653732
Company Name:	LIGHTHOUSE SHIP MANAGEMENT LIMITED
Company Name(CN):	方向海運管理有限公司
Company Type:	private
Active Status:	Live
Date of Incorporation:	03-08-2011
Remarks:	-
Winding Up Mode:	-
Date of Dissolution:	-
Register of Charges:	unavailable
Important Note:	-
Name History:	27-09-2013 LIGHTHOUSE SHIP MANAGEMENT LIMITED 方向海運管理有限公司 03-08-2011 BILLION GREAT INTERNATIONAL GROUP LIMITED 兆佳國際集團有限公司
Added:	15-Sep-2015 6:20 AM
Source:	Hong Kong Companies Registry, http://www.icris.cr.gov.hk/

Source: hongkongcompanylist.com

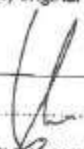
Annex 19: Bills of lading for the petroleum products embarked on the two vessels transferred to the DPRK

Lighthouse Winmore

1. Shipper TRAFIGURA PTE LTD		BILL OF LADING FIRST ORIGINAL	
2. Consignee TO THE ORDER OF GLOBAL COMMODITIES CONSULTANTS LIMITED			
3. Notify Party			
		4. B/L Number SACL17LW101501	
5. Vessel LIGHTHOUSE WINMORE		6. Charterparty between and dated	
7. Port(s) of loading YOSU, KOREA		8. Port(s) of discharge TAICHUNG, TAIWAN	
9. Shipper's description of goods MARINE GAS OIL 500PPM SULPHUR		10. Gross weight / volume 14,094.065 MT 16,804.656 KLITRES AT 15 DEG C 105,751.70 US BBLs AT 60 DEG F	
11. Remarks:			
12. Freight: ("Payable as Per Charter party")			
SHIPPED at the Port(s) of Loading in apparent good order and condition on board the Vessel for carriage to the Port(s) of Discharge specified above. Weight, measure, quality, condition, contents and value unknown. IN WITNESS whereof the Master or Agent of the said Vessel has signed THREE (3/3) original Bills of Lading, all of this tenor and date, any one of which being accomplished the others shall be void. FOR CONDITIONS OF CARRIAGE SEE OVERLEAF			
13. Place and date of issue at YOSU, KOREA ON 15TH OCTOBER 2017		14. Signature  MASTER [WANG SONGCHANG]	

Source: The Panel

Billions No. 18

1. Shipper TRAFIGURA PTE LTD		BILL OF LADING FIRST ORIGINAL	
2. Consignee TO THE ORDER OF GLOBAL COMMODITIES CONSULTANTS LIMITED			
3. Notify Party			
		4. B/L Number SACL17BN101101	
5. Vessel BILLIONS NO. 18		6. Charterparty between _____ and _____ dated _____	
7. Port(s) of loading YOSU, KOREA		8. Port(s) of discharge TAICHUNG, TAIWAN	
9. Shipper's description of goods MARINE GAS OIL 500PPM SULPHUR		10. Gross weight / volume 7,940.714 MT 9,458.862 KLITRES AT 15 DEG C 59,524.62 US BBLs AT 60 DEG F	
11. Remarks:			
12. Freight: (<u>"Payable as Per Charter party"</u>)			
SHIPPED at the Port(s) of Loading in apparent good order and condition on board the Vessel for carriage to the Port(s) of Discharge specified above. Weight, measure, quality, condition, contents and value unknown. IN WITNESS whereof the Master or Agent of the said Vessel has signed THREE (3/3) original Bills of Lading, all of this tenor and date, any one of which being accomplished the others shall be void. FOR CONDITIONS OF CARRIAGE SEE OVERLEAF			
13. Place and date of issue at YOSU, KOREA ON 11TH OCTOBER 2017		14. Signature  MASTER [BOBY JULIAN AKBARI]	



Source: The Panel

Annex 20: Communications showing Oceanic's false destination for the fuel

From: [REDACTED]@globalsgp.com>
Sent: 10 October 2017 10:32
To: [REDACTED]
Subject: [EXTERNAL] Documentary Instructions Lighthouse Winmore loading MGO FOB OKYC Yosu during 12-13 Oct 2017

Hi [REDACTED]

Our documentary instructions as follows:

B/L MAKE-UP

VESSEL : LIGHHOUSE WINMORE
 CONSIGNOR : ORIGINAL SUPPLIER
 CONSIGNEE : TO THE ORDER OF GLOBAL COMMODITIES CONSULTANTS LIMITED
 PRODUCT : MARINE GAS OIL 500PPM SULPHUR
 QUANTITY : LOAD CLOSE TO 15,000 MT
 MARKINGS: FREIGHT PAYABLE AS PER CHARTER PARTY
 MEASUREMENT : MT, KLITRES AT 15 DEG C, US BBLS AT 60 DEG F
 DESTINATION : TAICHUNG, TAIWAN

Global SGP Pte. Ltd.

False destination – tanker never called in Taichung

	GLOBAL COMMODITIES CONSULTANTS LTD		MASTER	
DOCUMENTS REQUIRED	ORIGINAL	COPY	COPY	
1. BILL OF LADING	3/3	1	1	
2. CERT OF QUANTITY	1	1	1	
3. CERT OF QUALITY	1	1	1	

DISTRIBUTION OF DOCUMENTS

1. ONE COPY SET OF ALL SHIPPING DOCUMENTS TO CONSIGNEE VIA MASTER.
 2. ONE COPY SET OF ALL SHIPPING DOCUMENTS FOR MASTER OWN USE.
 3. UPON COMPLETION OF LOADING PLEASE EMAIL COPY OF ALL ORIGINAL DOCUMENTS TO GLOBAL COMMODITIES CONSULTANTS LTD, ATTN : JOHN LIM
 EMAIL: [REDACTED]@globalsgp.com
 PLEASE PROVIDE 1 SAMPLE OF SHORETANK CARGO FOR VESSEL'S RETENTION

Thank you
 [REDACTED]

Source: The Panel

Annex 21: Communications of Global SGP showing the prepayment arrangements for the *Billions No. 18* and *Lighthouse Winmore* shipments

From: [REDACTED]@qlobalsgp.com
Sent: Tuesday, October 10, 2017 8:10 AM
To: [REDACTED]
Subject: [REDACTED] September Final Invoices

Dear [REDACTED]

Can we confirm the final invoice values for our last 2 cargos BL dated 3rd and 7th Oct?

3rd Oct Billions 18

BL: 7,969.332 MT / 59,717.79 bbls
Prepayment invoice: \$4,564,942.80
Final invoice value: \$4,196,070.51
Credit balance: \$368,872.29

7th Oct Lighthouse Winmore

BL: 14,091.782 MT / 105,633.82 bbls
Prepayment invoice: \$8,510,097.75
Final invoice value: \$7,422,360.36
Credit balance: \$1,087,737.39

Kindly confirm if the above figures are correct, i.e a total credit balance of \$1,456,609.67

In addition, can you email us the final invoices for these cargos BL-ed 7th Sep, 10th Sep, 22nd Sep, 26th Sep, 3rd Oct and 7th Oct?

Thank you

[REDACTED]

Source: The Panel

Annex 22: Communications showing the planned shipments using Mr. Chen's tankers

From: [REDACTED]@globalsgp.com
Sent: Thursday, October 05, 2017 4:05 PM
To: [REDACTED]
Cc: [REDACTED]
Subject: [EXTERNAL] RE: Oct program

Dear [REDACTED]

Please see our forecast schedule for Oct

8th Oct	Billions 18	8 kt under Sep program
13th Oct	Lighthouse	16kt under Oct (depending on terminal they might limit us to 15kt)
14th Oct	Billions 18	8kt to complete Sep program
19th Oct	Lighthouse	16kt
20th Oct	Billions 18	8kt
22nd Oct	Sky Ace1	7.5kt
25th Oct	Lighthouse	16kt
26th Oct	Billions 18	8kt
29th Oct	Sky Ace1	7.5kt
30th Oct	Lighthouse	16kt
31st Oct	Billions 18	8kt

kt = 1000 (tonnes)

From: [REDACTED]
Sent: 10/5/2017 3:35 PM
To: "[REDACTED]@globalsgp.com" <[REDACTED]@globalsgp.com>
Cc: [REDACTED]
Subject: RE: Oct program

Dear [REDACTED], will give you a ring, can you please provide this schedule?

Thank you

Source: The Panel

Annex 23: Invoice for Oceanic Enterprise Ltd. for pre-payment for the *Lighthouse Winmore* shipment

Global SGP Pte Ltd			
			
INVOICE		Mr. Shih-Hsien Chen	
INVOICE TO		INVOICE NO. GSGP20170075	
Sunny Chen		DATE 10/10/2017	
Oceanic Enterprise Ltd		DUE DATE 11/10/2017	
Oceanic Enterprise Ltd		TERMS COD	
3F No.218 Wu-fu 4th Road			
Kaohsiung Taiwan			
MH96960			

ACTIVITY	QTY	UNIT PRICE	AMOUNT
Sale - GCC:GCC	112,500	75.966	8,546,175.00
Lighthouse Winmore - First Loading in Oct 2017 - (67.81 + .25)			
* 15,000 MT * 7.5 * 110%			
Payment and Remittance Advice to GLOBAL SGP PTE LTD			8,546,175.00
			USD 0.00
			SGD 0.00

PAID

Source: The Panel

Annex 24: Bank account used by Oceanic Enterprise Ltd. for payments relating to the *Lighthouse Winmore* showing a Kaoshiung City address

----- Instance Type and Transmission -----	
Notification (Transmission) of Original sent to SWIFT (ACK)	
Network Delivery Status	: Network Ack
Priority/Delivery	: Normal
Message Input Reference	: 1530 170904TCBBTWTHA1037003793162
----- Message Header -----	
Swift Input	: FIN 103 Single Customer Credit Transfer
Sender	: TCBBTWTH103 TAICHUNG COMMERCIAL BANK (KAOHSIUNG BRANCH) KAOHSIUNG TW
Receiver	: 
MUR	: 2017090410901030
----- Message Text -----	
20: Sender's Reference	NOBUTT706661-103
23B: Bank Operation Code	CPED
32A: Val Dte/Curr/Interbnk Settl'd Amt	
Date	: 04 September 2017
Currency	: USD (US DOLLAR)
Amount	: #375000,00#
50K: Ordering Customer-Name & Address	
	/109270010061 OCEANIC ENTERPRISE LTD. 3F., NO. 218, WUFU 4TH RD., YANCHENG DIST., KAOHSIUNG CITY 80344, TAIWAN
57A: Account With Institution - FI BIC	
	DHBKHKHH DBS BANK (HONG KONG) LIMITED HONG KONG HK
59: Beneficiary Customer-Name & Addr	
	
70: Remittance Information	
	INV.LHWM-17/18(1)
71A: Details of Charges	
	SHA

Source: The Panel

Annex 25: Bank account used by Oceanic Enterprise Ltd. for payments relating to the *Lighthouse Winmore* showing a Marshall Islands address

```
CHECKLIST FOR SWIFT MESSAGE
REF. NO : 7NFAH1T805570          VER. NO : 002    TX
SWIFT MESSAGE COV202
RECEIVER CITIUS33
PRIORITY N1   OBS PERIOD   20 BANK PRIORITY   USER REF

TAG CONTENT

20 TRANSACTION REFERENCE NUMBER
7NFAH1T805570

21 REFERENCE TO RELATED MESSAGE/TRANSACTION
7NFAH1T805570

32A VALUE DATE, CURRENCY CODE, AMOUNT
170919USD115680,30

58A BENEFICIARY BANK (ISO ID)
DHBKHKHH

50K ORDERING CUSTOMER
/01800700010736
OCEANIC ENTERPRISE LTD.
TURST COMPANY COMPLEX, AJELTAKE ROAD
AJELTAKE ISLAND, MAJURO, MARSHALL
ISLAND MH96960

59 BENEFICIARY
[REDACTED]

*** END OF CHECKLIST ***
```

Source: The Panel

Annex 26: List of DPRK tankers

	Name (Alphabetic)	Name (Korean)	IMO Number	Gross Tonnage (GT)
1	An San 1	안산 1	7303803	1,757
2	Po Chon (a.k.a. Bochon)	보천	8848276	1,996
3	Chong Rim 1	청림 1	n/a	n/a
4	Chong Rim 2 (a.k.a Saebyol)	새별	8916293	1,595
5	Chong Rim 3	청림 3	8665131	1,377
6	Chon Ma San	천마산	8660313	2,808
7	Chon Myong 1	천명 1	8712362	1,220
8	Ji Song 6	지성 6	8898740	841
9	Ko Song 1	고성 1	8977900	498
10	Kum Gang 3	금강 3	8966535	815
11	Kum Un San	금은산	8720436	1,023
12	Kum Un San 2 [Callsign HMYZ9]	금은산 2	n/a	n/a
13	Kum Un San 3	금은산 3	8705539	1,995
14	Ma Du San (a.k.a. Maducan or Samma)	마두산	8021579	418
15	Nam San 8	남산 8	8122347	1,914
16	Paek Ma	백마	9066978	1,181
17	Rye Son Gang 1 (a.k.a. Ryesonggang)	레성강 1	7389704	1,757
18	Ryong Bong 1 (a.k.a. Ryongbong1)	령봉 1	8610461	999
19	Sam Jong 1	삼정 1	8405311	1,038
20	Sam Jong 2	삼정 2	7408873	1,676
21	Sam Ma 2 (a.k.a. Samma2)	삼마 2	8106496	962
22	Song Won (a.k.a. Songwon)	송원	8613360	996
23	Tong Hung 5 (a.k.a. Tonghung5 or Kang Nam 3)	동흥 5	8151415	283
24	Yu Jong 2 (a.k.a. Yujong-2)	유정 2	8604917	748
25	Yu Phyeong 5 (a.k.a. Yupyong5)	유평 5	8605026	795
26	Yu Son (a.k.a. Yuson)	유선	8691702	2,228

Source: Member State

Annex 27: Italy: Western Representative of Mansudae Art Studio

Version of website accessed on 26 September 2017



The Official Web-Site Abroad of the Mansudae Art Studio

With a labor force of approximately 4000 people, 1000 of which artists, and an area of over 120,000 square meters, 30,000 of which indoor, the Mansudae Art Studio is probably the largest art production center in the world and by far the largest and most important of the country.

It was founded on November 17, 1956 in Pyongyang, the capital of the Democratic People's Republic of Korea (DPRK). Only six years had elapsed since the terrible Korean War (1950-1953) in which about 20% of the population of the country had died and most cities were completely destroyed.

The Studio is divided in 12 creative groups, seven manufacturing plants and more than 10 jewelry departments. The artists' works realized at the Mansudae Art Studio range from oil paintings to bronze sculptures, from Korean Paintings (ink on paper) to ceramics, from woodcuts to embroidery, from jewel paintings (made with precious and semiprecious stones reduced to powder) to enamel drawings and much more.

The Mansudae Art Studio is not a sort of state factory, like some Chinese and other Oriental centers, nor a school, but a very high quality art production center. The vast majority of the major art works of the country have been realized by Mansudae Art Studio artists. Their ages go from mid 20's to mid 60's and almost all are graduates of the very demanding Pyongyang University. Over half of the Men Artists and of the Women Artists, the two highest awards an artist can receive in DPRK, are or have been associated with the Mansudae Art Studio. This website presents officially the Mansudae Art Studio and its works to the West, and in general abroad, also to control the unauthorized use of the name by several Western and Asian web-sites and galleries. This web-site is managed from Italy following an agreement of exclusivity between the Mansudae Art Studio and the Italian Fels Luigi Cavallotti. Works brought through this site are sold and shipped from Italy by an Italian company and they are accompanied by a certificate that guarantees they are made by Mansudae Art Studio artists.

The Mansudae Art Studio at the 798 Art District in Beijing



Many of the most important Chinese galleries, several foreign ones and a few academies, museums and foundations have an exhibition space in the 798 Art District. The exhibitions and the numerous events held in those spaces are usually of the highest quality, in line with the leading role in contemporary art that China is now playing, especially in terms of auction sales.

Since 2009 the Mansudae Art Studio is present in the 798 with its own vast, elegant, almost museum-like space called in fact Mansudae Art Museum, though most exhibited works are for sale. This presence, besides promoting sales of Mansudae artists' works, is a testimony of the position that the Mansudae Art Studio is occupying in the contemporary art scene. The works exhibited in the Mansudae Art Museum in Beijing are comparable to some of those that can be found in this web-site. Their price is usually higher since they are offered mainly to Chinese collectors that have more familiarity with Mansudae artists.

North Korea: a Unique Country Contemporary Artists from North Korea



A prominent feature is the works' unusual size: they are all 18 x 12 cm. The reason for this choice is that Luciano Benetton—co-founder, co-owner and iconic figure of the Benetton Group—is striving to realize, in effect, a world atlas of contemporary art by collecting a large number of works from as many countries as possible. The small size, the same for all countries (as is the approximate number of works for each country) reflects, first of all, a practical need: it would be almost impossible to collect thousands of artworks of "normal" size. Moreover, this homogeneity allows a comparison, a more intense dialogue, among the different countries, especially when all the works of one country are inserted in the displays realized by the architect Tobia Scarpa, and then placed one next to the other.

The works for North Korea: a Unique Country have been realized at the Mansudae Art Studio, the Pyongyang art center where the vast majority of the most accomplished North Korean artists work. The techniques represented are virtually all those employed in the country: ink, oil, acrylic, woodcut, embroidery, drawing, tempera, calligraphy, watercolor and jewel painting. This last consists in using precious or semiprecious stones that are crushed

How to buy a work

Almost all works shown in this web-site are on sale. To buy, first use the form you can open below to ask about the work you are interested in (availability and price). Please provide your identification data (name, e-mail, address, phone number). Unidentified inquiries will not be answered.

Once you know if the work is available you are satisfied with its price and you decide to buy, communicate your intention to reserve the work. Make the payment by PayPal or a bank transfer to the account you will give. Once the payment is received the work will be shipped to you within three working days.

All transactions are made with an Italian company, not directly with the Mansudae Art Studio nor with any North Korean company. The transactions are regulated by Italian (European) law and shipping are made from Italy.

How to purchase

Do you want to hold an exhibition of Mansudae Art Studio works?

Museums, galleries, public institutions interested in holding exhibitions can contact us to evaluate the possibilities and, in case, to define the projects. The requesting parties must have very good artistic and cultural reputation.

All agreements are managed by an Italian company and all direct contacts are with it. The works are shipped from Italy.

Korean Posters



DPRK (North Korea) is the only country which still utilizes posters to convey social and political messages to its people.

A form of art in itself—once popular in China and in Soviet Union—these posters are hand painted, typically using tempera, by artists most of which realize also other kinds of paintings. Besides their artistic value, these posters, with their writings and their messages, offer a view on the unique North Korean society and have a strong political interest.

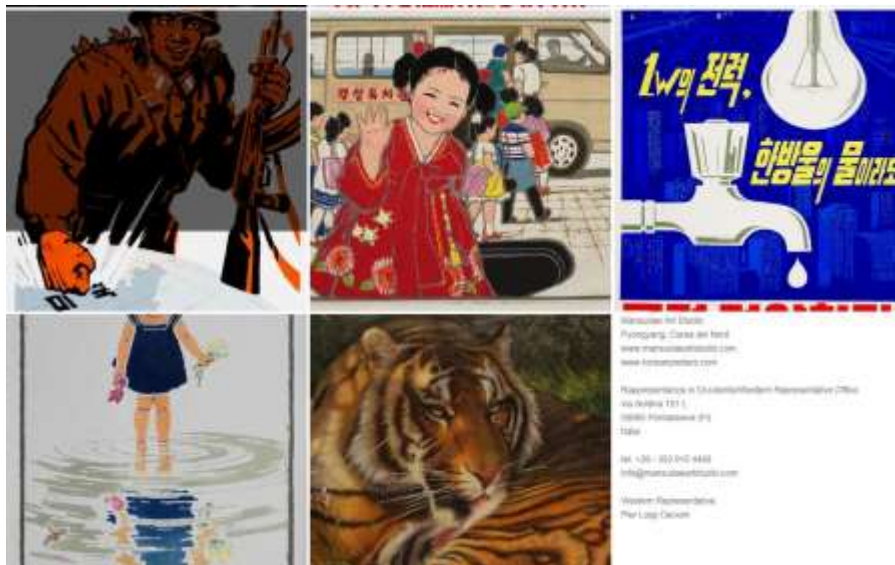
The website www.koreanposters.com presents a large selection, periodically updated, of original North Korean posters for sale.

Whois mansudaeartstudio.org

Domain Name: MANSUDAEARTSTUDIO.ORG
 Registry Domain ID: D127541223-LROR
 Registrar WHOIS Server:
 Registrar URL: http://www.tucows.com
 Updated Date: 2016-12-17T10:32:29Z
 Creation Date: 2006-08-20T19:04:14Z
 Registry Expiry Date: 2017-08-20T19:04:14Z
 Registrar: Tucows Inc.
 Registrar IANA ID: 69
 Registrar Abuse Contact Email:
 Registrar Abuse Contact Phone:
 Domain Status: clientTransferProhibited https://icann.org/epp#clientTransferProhibited
 Domain Status: clientUpdateProhibited https://icann.org/epp#clientUpdateProhibited
 Registry Registrant ID: tul40nAfSd9zzhLk
 Registrant Name: Petra srl Petra srl
 Registrant Organization: Pier Luigi Cecioni
 Registrant Street: via Aretina 151 L
 Registrant City: Pontassieve
 Registrant State/Province: FI
 Registrant Postal Code: 50065
 Registrant Country: IT
 Registrant Phone: +39.3939154488
 Registrant Phone Ext:
 Registrant Fax: +39.02700414102
 Registrant Fax Ext:
 Registrant Email: info@edizioniipetra.com
 Registry Admin ID: tuy5DexiDPhAoPww
 Admin Name: Petra srl Petra srl
 Admin Organization: Pier Luigi Cecioni
 Admin Street: via Aretina 151 L
 Admin City: Pontassieve
 Admin State/Province: FI
 Admin Postal Code: 50065
 Admin Country: IT
 Admin Phone: +39.3939154488
 Admin Phone Ext:
 Admin Fax: +39.02700414102
 Admin Fax Ext:
 Admin Email: info@edizioniipetra.com
 Registry Tech ID: tugFWb71do02MOPD
 Tech Name: Petra srl Petra srl
 Tech Organization: Pier Luigi Cecioni
 Tech Street: via Aretina 151 L
 Tech City: Pontassieve
 Tech State/Province: FI
 Tech Postal Code: 50065
 Tech Country: IT

Source: The Panel

Advertising as Western Representative Office of Mansudae Art Studio



Whois mansudaeartstudio.org

Domain Name: MANSUDAEARTSTUDIO.ORG
 Registry Domain ID: D127541223-LROR
 Registrar WHOIS Server:
 Registrar URL: http://www.tucows.com
 Updated Date: 2016-12-17T10:32:29Z
 Creation Date: 2006-08-20T19:04:14Z
 Registry Expiry Date: 2017-08-20T19:04:14Z
 Registrar: Tucows Inc.
 Registrar IANA ID: 69
 Registrar Abuse Contact Email:
 Registrar Abuse Contact Phone:
 Domain Status: clientTransferProhibited <https://icann.org/epp#clientTransferProhibited>
 Domain Status: clientUpdateProhibited <https://icann.org/epp#clientUpdateProhibited>
 Registry Registrant ID: tul40nAfSd9zzhLk
 Registrant Name: Petra srl Petra srl
 Registrant Organization: Pier Luigi Cecioni
 Registrant Street: via Aretina 151 L
 Registrant City: Pontassieve
 Registrant State/Province: FI
 Registrant Postal Code: 50065
 Registrant Country: IT
 Registrant Phone: +39.3939154488
 Registrant Phone Ext:
 Registrant Fax: +39.02700414102
 Registrant Fax Ext:
 Registrant Email: info@edizionipetra.com
 Registry Admin ID: tuys0exxDPhAoPww
 Admin Name: Petra srl Petra srl
 Admin Organization: Pier Luigi Cecioni
 Admin Street: via Aretina 151 L
 Admin City: Pontassieve
 Admin State/Province: FI
 Admin Postal Code: 50065
 Admin Country: IT
 Admin Phone: +39.3939154488
 Admin Phone Ext:
 Admin Fax: +39.02700414102
 Admin Fax Ext:
 Admin Email: info@edizionipetra.com
 Registry Tech ID: tugFWb71do02MOPD
 Tech Name: Petra srl Petra srl
 Tech Organization: Pier Luigi Cecioni
 Tech Street: via Aretina 151 L
 Tech City: Pontassieve
 Tech State/Province: FI
 Tech Postal Code: 50065
 Tech Country: IT

Source: The Panel

Annex 28: DPRK prohibited activities in Mozambique

Examples of documentary evidence of military cooperation between the DPRK and Mozambique



Source: The Panel



CONFIDENTIAL

REPUBLIC OF MOZAMBIQUE
MINISTRY OF NATIONAL DEFENCE
NATIONAL DIRECTORATE FOR DEFENCE POLICY

To:
Economic & Trade Representative Mission of
Democratic People's Republic of Korea
MAPUTO

Ref: *MA 1900* /DNP/MDN/2015

Maputo 16 October 2015

Subject: Letter of Invitation

The National Directorate for Defence Policy presents its compliments to the Economic & Trade Representative Mission of Democratic People's Republic of Korea and has the honour to invite the following members to visit Maputo in October 2015 in order to conduct an inspection on the joint project between the two Ministries of Defence of Mozambique and Korea:

1. Mr. Kim Kang Chol PS 745220482
2. Mr. Pak Ho Hyon PS 745320662
3. Mr. Pak Chol Ung PS 775420128

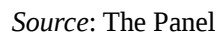
The National Directorate for Defence Policy avails itself of this opportunity to reiterate to the Economic & Trade Representative Mission of Democratic People's Republic of Korea in Maputo the assurances of its highest consideration.



Cc: Embassy of Mozambique in Beijing

SIC / DNP / MDN	
ENTRADA	SAIDA
N.º	5189
Data	16/10/15
Ass.	Ass. [Signature]

Source: The Panel



Single undated invoice for \$6 million contract provided by Monte Binga

INVOICE

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No	Item	Model	Qty	unit	Amount (USD)
1	cabinet	130x50x150cm	2	set	600
2	computer	near DC	3	set	3000
3	electric wire	86/500/2/0/0/1/006/0/ND	50	m	100
4	electric wire	RVVP1.6x0.5	50	m	125

No	Item	Model	Qty	unit	Amount (USD)
1	3phase engine generator	7.5kW, 5A/7000E	2	set	14000
2	UPS	SUNTER K2000	5	set	500
3	Q48	Huawei SP	2	set	20

No	Item	Model	Qty	unit	Amount (USD)
1	power electric wire	PR-50 15mm ²	50	m	50
2	MOORElect	RVVP100x100V 4x2 19x1.5mm ²	1000	m	200
3	enamel copper wire	2.5mm	1	kg	100
4	"	1.5mm	4	"	150
5	"	1mm	7	"	580
6	"	0.5mm	1	"	240
7	"	0.25mm	1	"	150
8	electric wire	RVV 3x2.5	100	m	100
9	electric wire	RVVP 4x3	10	m	10
10	electric wire	RVVP 2x3	20	m	20
11	automatic stabilizer	JONCHN 2kVA	5	set	500
12	oscilloscope	UNIT 072000X 10MHz 1 channel	2	set	2000
13	telephone	DEX 808	3	set	90
14	display	Acer 23"	5	set	500
15	keyboard		5	set	50
16	2D scanner		5	set	580

001111

17	chair	CF809	5	set	300
18	TV	Huawei 42"	2	set	1800
19	TV foots	for Huawei 42"	2	pc	10
20	working cap	T	30	pc	30

No	Item	Model	Qty	unit	Amount (USD)
1	Diode	ACR1005G11	4	pc	4
2	Resistor	BRN100 500K 1% 1100W	4	pc	7
3	"	BRN600 1R1 1% 1100W	3	pc	1
4	power supply	AC/DC +24V, 12A	2	pc	30
5	selfion wire	Φ 0.15mm	10	m	10
6	electric wire	2271ECO(BV) 450V	10	m	10
7	insulated tape	15mm	40	pc	20
8	soldering paste	M-150	1	set	5
9	soldering iron	Φ2mm	2	set	2
10	"	Φ1mm	2	"	2
11	"	Φ0.5mm	2	"	2
12	oil magic socket	red, blue, black 20A/4 ports	1	set	6
13	"		6	pc	30
14	parts for hydraulic device	high pressure tube, tools, engine starter	15	set	300

No	Item	Model	Qty	unit	Amount (USD)
1	copper plate	thickness 0.15mm, 30x50cm	1	pc	10
2	tool box	AK52	1	set	200
3	electric wire	Φ1mm	2	set	100
4	"	Φ2mm	2	"	200
5	"	Φ0.75mm	1	"	100
6	"	Φ0.5mm	1	"	100
7	"	Φ0.35mm	1	"	100
8	heat shrink tube	Φ40mm, red, blue, black	100	m	100

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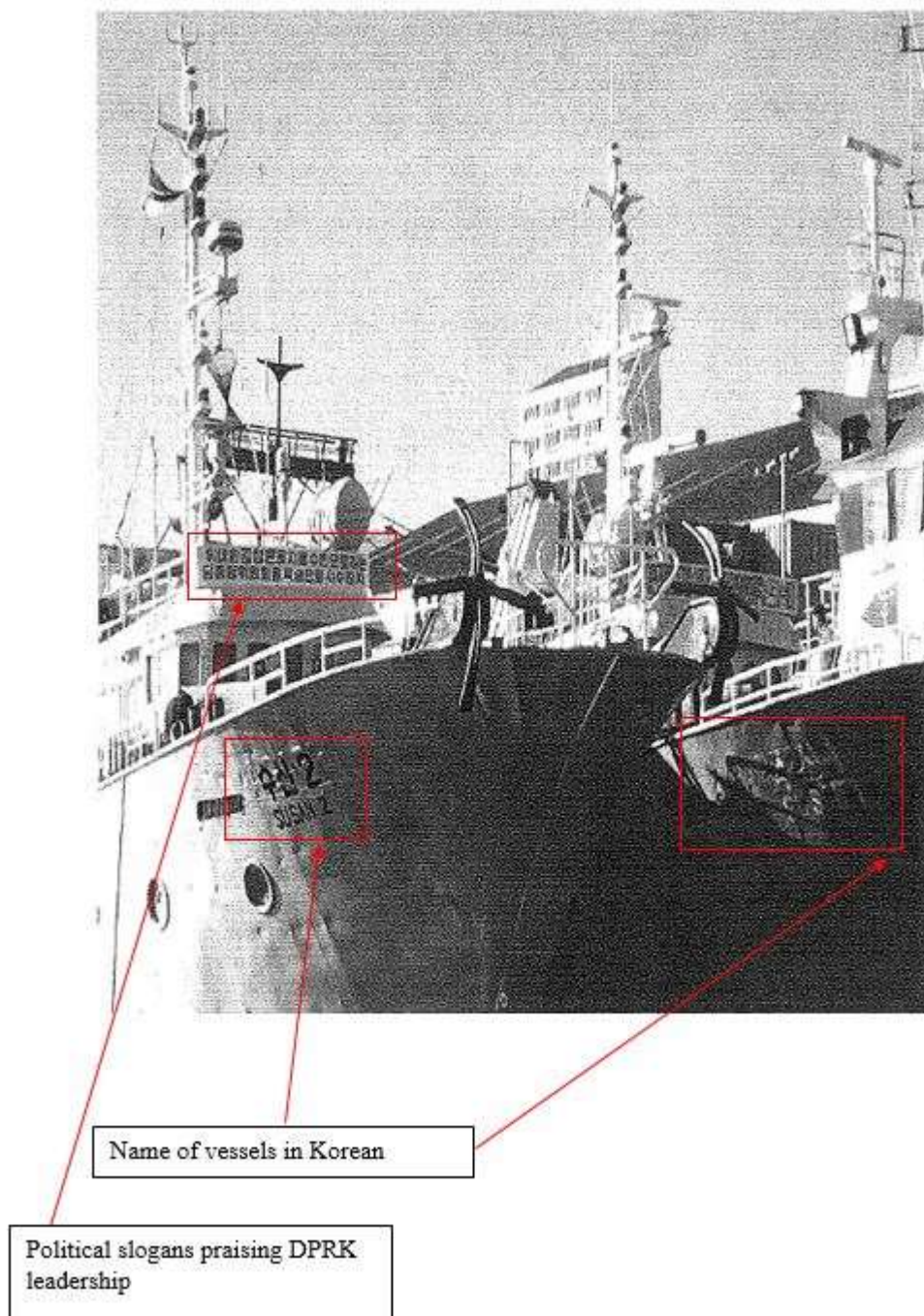
9	"	Φ15mm, red, blue, black	100	m	100
10	"	Φ10mm, red, blue, black	100	m	100
11	"	Φ10mm, red, blue, black	100	m	100
12	"	Φ10mm, red, blue, black	100	m	100
13	"	Φ10mm, red, blue, black	100	m	100
14	"	Φ10mm, red, blue, black	100	m	100
15	power supply	AC/DC +12V, 5A	4	pc	40
16	"	AC/DC -12V, 5A	4	pc	40
17	lamp	150 8-15mm	5	set	5
18	LED	150 8-15mm	24	set	24
19	connector	PA0030, PA005A	12	set	10
20	"	PA0030, PA005A	2	set	10
21	"	P12030, P1212A	2	set	10
22	"	PA0040, PA005A	2	set	10
23	1-18 connector	L31PC, L318F	10	set	100
24	relay	DC 24V/5A	12	pc	2400
25	"	DC 24V/10A	2	pc	400
26	terminal	182510L	4	pc	80
27	power supply	AC/DC 120V 5A	2	pc	100
28	USB modem	56K USB FAX MODEM	4	pc	390
29	digital tester	DC500V/AC500	2	pc	140
30	switch	T2201, 3P, 250V	14	pc	28
31	button switch	Φ 22mm	10	pc	20
32	fan	DC 12V, 33A/0V/2.8A	6	pc	60
33	8PC 800MA	8PC 1440P/0 06P8	6	pc	30
34	diode	20R112P84	10	pc	10
35	"	300P120P84	10	pc	10
36	"	1N4007	10	pc	10
37	transistor	2N4403	4	pc	8
38	"	2N4403	4	pc	8
39	"	8N400	2	pc	4
40	diode	16PC 301200P/05166	4	pc	4
41	IC	1M7012	2	pc	2
42	relay	HK100V-DC12V-SH10 3A	2	pc	1000
43	diode	20R112, 0.5A/500V	4	pc	4

001111

44	bolt, nut	M3	100	set	100
45	"	M4	100	set	100
46	"	M5	100	set	50
47	"	M6	50	set	100
48	terminal	Φ3	100	pc	100
49	"	Φ4	100	pc	100
50	"	Φ5	100	pc	100
51	"	Φ6	50	pc	150
52	resistor	100Ω, 120Ω, 2W	10	pc	5
53	"	1000Ω 0.25W	40	pc	20
54	"	150Ω 0.1W	25	pc	10
55	"	15kΩ, 0.25W	40	pc	20
56	"	100Ω, 1W, 0812	5	pc	10
57	"	10kΩ, 0.25W/0812	5	pc	10
58	capacitor	470uF 450V GPR	5	pc	5
59	"	0.47uF, 24V	6	pc	12
60	"	0.047uF, 24V	10	pc	20
61	"	0.1uF	60	pc	60
62	IGBT	STES5NCS50	2	pc	20
63	DC/DC	NMB112120C	2	pc	80
64	IC	74004	5	pc	5
65	IC	PC923	2	pc	2
66	SMA cable	10, 20, 40cm	4	set	200
67	soldering iron	AC 220V, 100W	2	pc	40
68	"	AC 220V, 60W	2	pc	40
69	heat blowing solder	KAWH 852D	1	set	200
70	heat blower	TH8611B	1	set	50
71	digital tester	DTS208A	3	set	300
72	tester	SUNWA YX360/TRF	1	set	100
73	adhesive	302	20	pc	40
74	"	502	20	pc	40

Source: Monte Binga

Images of the Susan 1 and Susan 2 with DPRK markings



Source: The Panel

Letter from the Mozambique Ministry of Defence to the DPRK Ministry of Defence



República de Moçambique
Ministério da Defesa Nacional
Gabinete do Ministro

The Ministry of National Defence of Republic of Mozambique presents its compliments to the Ministry of the Armed Defence Forces of the Democratic People's Republic of Korea and has the honor to inform that the Republic of Mozambique as a Member State of United Nations Organization (UN) has been notified by the latter in regard to the implementation by our country of Resolution 1874 (2009) and several other UN Resolutions related to sanctions imposed against the Democratic People's Republic of Korea.

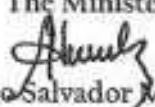
The abovementioned notification indicates that the UN Panel of Experts established by United Nations Security Council resolution 1874 (2009) to gather, examine and analyze information regarding the implementation of the measures imposed on the Democratic People's Republic of Korea (DPRK) by the Security Council Resolutions 1718 (2006), 1874 (2009), 2087 (2013), 20194 (2013) and 2270 (2016) is carrying out an investigation over incidents of non-compliance of the aforesaid resolutions.

The Panel has indicated that it intends to visit our country next week in order to gather reliable and verifiable information regarding the suspicions of non-compliance.

In light of the above and of the long historical ties and cooperation that links our two countries, the Ministry of National Defence of Republic of Mozambique wishes to inform through this letter, that in order to conform to the UN Security Council resolutions, the Republic of Mozambique has decided to temporarily suspend, with

immediate effect, all the activities under the Bilateral Cooperation Agreement reached upon between our two Ministries.

The Ministry of National Defence of the Republic of Mozambique avails its self of this opportunity to renew to the Ministry of Armed Defence Forces of the Democratic People's Republic of Korea the assurances of its highest consideration.

The Minister

Atanásio Salvador M'tumuke

To:
The Ministry of Armed Defence Forces
of the Democratic People's Republic of Korea
Pyong Yang

Ref: *180* /GM/MDN/2016
Maputo, *16th* September 2016

Av. Martires de Mueda n° 280/373, Telef. 49200374, 490647/493690, Fax 491629/492163/492030, Telex 6-330 MO-SATTN, C.F. n° 5284
MAPUTO, MOZAMBIQUE

Source: Mozambique

Annex 29: Contract between Crist and Armex

Załącznik nr 19

Strona 1 z 3

Umowa o dzieło

zawarta dnia: 2014-07-01 w Gdańsku pomiędzy: ARMEX SP. Z O. O.
 adres: 80-955 Gdańsk, Marynarki Polskiej 96
 rejestr: Sąd Rejonowy Gd Płn, VII Wydz. KRS nr 0000163921
 reprezentant: [REDACTED]
 nip: PL 584-025-17-29 zwany dalej Zamawiającym,
 a: Grupa Koreańska:

Nr	Nazwisko	Imię	Nr paszportu	Miejsce zameldowania
1	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
2	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
3	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
4	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
5	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
6	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
7	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
8	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
9	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
10	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
11	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
12	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
13	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
14	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
15	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
16	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
17	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
18	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
19	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
20	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
21	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
22	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
23	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
24	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
25	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
26	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
27	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
28	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
29	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
30	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
31	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
32	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
33	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
34	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
35	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
36	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
37	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
38	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
39	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
40	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
41	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
42	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
43	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
44	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]

§1

W ramach niniejszej umowy Zamawiający powierza, a Wykonawca zobowiązuje się do:

wykonania dzieła: Budowa sekcji okrętowych oraz prefabrykacji wyposażenia na nowobudowanych jednostkach NB369, NB69/2, NB305, NB306, NB371, NB302, NB374, **NR328**, NB573, NB378 w zakresie prac spawalniczych – łącznie 1700 ton konstrukcji stalowej oraz 100 ton wyposażenia.

miejsce wykonania: Polska, Crist SA, 83-336 Gdynia, Czechosłowska 3, 583-000-54-43, zwane dalej Kontrahentem Zamawiającego.

[REDACTED]

§2

Termin wykonania:

rozpoczęcie: 2014-07-01

zakończenie: 2014-12-31

Zamawiający może skrócić lub przedłużyć termin wykonania dzieła.

§3

Wynagrodzenie za prawidłowe wykonanie umowy:

wartość: [REDACTED]

podstawa zapłaty: wystawiony rachunek przez Wykonawcę

termin płatności: zaliczkowo każdego miesiąca wypłaca się po [REDACTED] zł dla każdej osoby, ostateczne rozliczenie po wykonaniu zadania

płatność: płatność w PLN

§4

Inne:

badania lekarskie: badania lekarskie po stronie Zamawiającego

odzież i wyposażenie: odzież ochronna po stronie Wykonawcy

zakwaterowanie: nie dotyczy

posiłki: nie dotyczy

narzędzia: po stronie Wykonawcy

§5

Wykonawca zobowiązuje się do:

- 1) Wykonywania dzieła zgodnie z ustaleniami z Zamawiającym,
- 2) Wykonywania dzieła rzetelnie i w terminie wskazanym w § 2, mając na uwadze ustalenia w §3,
- 3) Zachowania poufności wszystkich informacji, które uzyska w terminie wykonywania dzieła, które stanowią tajemnicę handlową Zamawiającego i jego Kontrahenta,
- 4) Nie podejmowania żadnych rozmów z Kontrahentem Zamawiającego dotyczących kwestii finansowych,
- 5) Nie podejmowania jakichkolwiek czynności mających na celu uzyskanie informacji od osób trzecich, związanych z przedmiotem niniejszej umowy, które stanowią tajemnicę handlową Zamawiającego,
- 6) Zaniechanie spożywania alkoholu w jakiegokolwiek postaci przez cały okres trwania umowy zarówno w czasie wykonywania dzieła i w czasie wolnym,
- 7) Przestrzegania u Kontrahenta obowiązujących przepisów, a w szczególności dotyczących bezpieczeństwa pracy z ogniem,
- 8) Nie podejmowania pracy w jakiegokolwiek formie z Kontrahentem Zamawiającego przez cały Okres trwania umowy.

§6

W przypadku nie wykonania dzieła w terminie, wykonania go wadliwie lub w sposób nienależyty Zamawiający ma prawo do pomniejszenia wynagrodzenia lub anulowania zamówienia bez odszkodowania.

- 1) Naruszenie zobowiązań Wykonawcy wymienionych w § 5 będzie traktowane przez Zamawiającego jako poważne naruszenie warunków niniejszej Umowy.
- 2) Naruszenie zobowiązań Wykonawcy wymienionych w § 5 będzie skutkowało prawem Zamawiającego do rozwiązania niniejszej umowy ze skutkiem natychmiastowym. W takim przypadku koszty przejazdu w obie strony oraz inne koszty ponosi całkowicie Wykonawca.
- 3) W przypadku poniesienia jakichkolwiek strat z tytułu naruszenia przez Wykonawcę jego zobowiązań, a także narażenie dobrego imienia Zamawiającego, Zamawiający ma prawo do obniżenia wynagrodzenia do 60% jej wartości.

§7

- 1) Wykonawca ponosi odpowiedzialność materialną za zużycie ilościowe i asortymentowe materiałów oraz za powierzony sprzęt i narzędzia.

- 2) Wykonawca oświadcza, że:

- a) posiada odpowiednie i aktualne badania lekarskie,
- b) jest przeszkolony w zakresie BHP i Ppoż. na stanowisku pracy,
- c) posiada odpowiednie kwalifikacje do samodzielnego wykonywania dzieła bez nadzoru,
- d) jest ubezpieczony i posiada zaświadczenie uprawniające do świadczeń rzeczowych (zdrowotnych) podczas pobytu w państwie członkowskim EOG,
- e) rezygnuje z dobrowolnego ubezpieczenia społecznego chorobowego, emerytalnego i rentowego.

Strona 3 z 3

§ 8

Zamiarem stron tej umowy jest, by nic co jest zawarte w Umowie, nie było uważane za tworzenie i oznaki stosunku zatrudnienia pomiędzy Zamawiającym a Wykonawcą, a Wykonawca odstępuje od jakichkolwiek takich roszczeń, również wobec Kontrahenta Zamawiającego.

§ 9

Jakiegokolwiek zmiany w niniejszej umowie mogą być dokonane tylko w formie pisemnej pod rygorem nieważności. Strony nie mogą powoływać się na ustalenia pozaumowne.

§ 10

W sprawach nieuregulowanych niniejszą umową stosuje się przepisy Kodeksu Cywilnego. Właściwym do rozstrzygnięcia sporów mogących wyniknąć w wyniku realizacji niniejszej umowy jest Sąd Rejonowy w Gdańsku.

§ 11

Umowa została sporządzona w dwóch jednobrzmiących egzemplarzach, po jednym dla każdej ze stron.

Zamawiający:

Cecylia Kowalska – Prezes Zarządu

Matyja Kowalski – Członek Zarządu

Wykonawca:

Nr	Nazwisko	Imię	Podpis
1			
2			
3			
4			
5			
6			
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Nr	Nazwisko	Imię	Podpis
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24			
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Annex 30: Agreement between Armex and Rungrado

Kotłownia nr 12
(Szkolny
podwórko)

UMOWA

Na usługi kooperacyjne w zakresie demontażu, montażu i spawania konstrukcji stalowych z dnia 2012-07-01 zawarta pomiędzy:

Armex Sp. z o. o.
z siedzibą: 80-955 Gdańsk, ul. Marynarki Polskiej 96
NIP: 584-025-17-29
reprezentowanym przez:

1. [REDACTED]
2. [REDACTED]

Zwanym dalej Zamawiającym
a

KOREA RUNGRADO GENERAL TRADING CORPORATION

reprezentowanym przez: [REDACTED]

Zwanym dalej WYKONAWCĄ

§ 1 Definicje

O ile w dalszej części Umowy będzie występować określenie ZLECAJĄCY należy przez to rozumieć firmę kontraktującą sekcje/bloki statków.

§ 2 Przedmiot Umowy

1. Zamawiający zleca, a Wykonawca przyjmuje do wykonania spawanie prefabrykowanych i montowanych sekcji oraz bloków statków na jedn. NB142/2, B68/1-4, NB38/1-2 wg załączonego harmonogramu.
2. Wykonywanie prac będzie odbywało się na jednostkach w oparciu o dostarczoną dokumentację i zgodnie ze standardami i normami obowiązującymi.
3. Nadzór nad wykonywanymi pracami będą pełnili przedstawiciele Zamawiającego, lub wyznaczeni przez niego ludzie, wspólnie z przedstawicielem Wykonawcy.
4. Wykonawca zobowiązuje się do wykonania zleconej pracy zgodnie z obowiązującą technologią, zgodnie z wymogami i przepisami BHP oraz ppoż.

[REDACTED] [REDACTED]

A

§ 3 Cena umowna

1. Za wykonane prace Zamawiający zapłaci Wykonawcy jedynie kwotę wynikającą ze stawki umownej, pod warunkiem, iż Zamawiający i Zlecający przyjmą bez zastrzeżeń wykonany przez Wykonawcę zakres prac, a powyższe znajdzie potwierdzenie w protokole zdawczo-odbiorczym podpisanym pomiędzy Wykonawcą i Zamawiającym, na warunkach określonych poniżej.
2. W przypadku prac w systemie godzinowym stawka będzie wynosić [REDACTED] PLN (dwadzieścia 00/100) za roboczogodzinę.

§ 4 Nadzór i Koordynacja prac

1. Prace należy wykonywać w oparciu o dostarczone przez Zamawiającego:
 - a. dokumentację techniczną i technologiczną
 - b. ramowy wykaz odbiorów kadłuba
 - c. ramową technologię remontu i budowy kadłuba poszczególnych jednostek
 - d. plan kontroli spoin
 - e. plan prób szczelności
 - f. książkę odbiorów prac
 - g. poleceń nadzoru Zamawiającego

§ 5 Obowiązki Wykonawcy

1. W celu realizacji Umowy Wykonawca zgodnie z procedurą prawną obowiązującą przy zatrudnianiu obcokrajowców, oddeleguje do siedziby Zamawiającego wykwalifikowanych pracowników w zawodzie spawaczy, posiadających:
 - a. stosowne kwalifikacje i uprawnienia
 - b. praktykę stoczniową
 - c. dodatkowo Wykonawca oddeleguje minimum 1 pracownika do nadzoru nad pracami prowadzonymi przez Wykonawcę na terenie Zamawiającego
2. Wykonawca gwarantuje:
 - a. dobrą jakość prac wykonywanych przez swoich pracowników
 - b. odpowiednią wydajność pracy
 - c. podporządkowanie się pracowników Wykonawcy wszelkim przepisom, normom i zasadom obowiązującym na terytorium Rzeczypospolitej Polskiej

W przypadku niespełnienia któregokolwiek z ww. punktów przez pracowników Wykonawcy Zamawiający ma prawo do:

- a. żądania zadośćuczynienia
 - b. żądania przysłania innego pracownika na koszt Wykonawcy
 - c. odstąpienia od Umowy, bez zachowania okresu wypowiedzenia.
3. Nieuzasadnione przekroczenia zużycia ilościowego i asortymentowego materiałów obciąża finansowo Wykonawcę.
 4. Wykonawca od momentu przekazania materiałów, jak również udostępnienia mienia Zamawiającego, Zlecającego lub osób trzecich, do czasu odbioru prac lub zdania mienia ponosi pełną odpowiedzialność materialną za ich uszkodzenie, zagubienie lub zniszczenie wynikłe tylko z winy Wykonawcy.
 5. W przypadku niespełnienia wymogów jakościowych i terminowych przez pracowników Wykonawcy, wynikłych z winy Wykonawcy, Zamawiający zastrzega sobie prawo do odstąpienia od Umowy bez zachowania okresu wypowiedzenia.
 6. Kierownicy remontu, kierownicy wydziałowi, mistrzowie, inspektorzy Bhp i ppoż. i inni uprawnieni przez Zamawiającego lub Zlecającego mają prawo do kontroli pracowników Wykonawcy pod względem przestrzegania przepisów, norm i zasad:
 - a. prawnych obowiązujących w Polsce
 - b. przepisów Bhp i ppoż.
 - c. współżycia społecznegoPrzedstawiciele wyznaczeni do ww. kontroli są uprawnieni do wydawania wskazówek dotyczących respektowania ww. przepisów. W przypadku nie podporządkowania się pracowników Wykonawcy ww. zaleceniom Zamawiający ma prawo do odesłania pracownika łamiącego przepisy do Wykonawcy a nawet ma prawo do odstąpienia od niniejszej Umowy bez zachowania okresu wypowiedzenia. Prawo do odesłania pracownika do Wykonawcy przysługuje również w przypadku niespełnienia przez Wykonawcę gwarancji omówionych w punkcie 2 niniejszego paragrafu.
 7. Zamawiający nie ponosi winy za zdarzenia (w tym wypadki) zaistniałe przy pracy pracowników Wykonawcy, wynikłe z nieprzestrzegania stosownych przepisów.
 8. Wykonawca pokryje wszelkie szkody osobowe i majątkowe spowodowane przez swoich pracowników osobom trzecim i Zamawiającemu.

§ 6 Czas trwania Umowy

1. Umowa zostaje zawarta na czas określony od [REDACTED]
2. Zamawiającemu przysługuje prawo do wcześniejszego rozwiązania niniejszej Umowy z 3-miesięcznym okresem wypowiedzenia.
3. W przypadku naruszenia postanowień Umowy Zamawiającemu, tak jak i Wykonawcy przysługuje prawo do odstąpienia od Umowy ze skutkiem natychmiastowym.
4. Przy rozwiązaniu Umowy wymaga się pisemnego powiadomienia drugiej strony z miesięcznym wyprzedzeniem.

§ 7 Warunki płatności

1. Wykonanie prac zapisuje się w protokole prac wykonywanych, co miesiąc zgodnie z postępem wykonywanych prac. Obliczenia wykonuje się co miesiąc.
2. Wartość prac ujętych w kontrakcie uwzględnia wynagrodzenie Wykonawcy i wszystkie jego koszty związane z wykonaniem tej Umowy: utrzymywanie pracowników, koszt prac itd., jak również wszystkie podatki i opłaty obowiązkowe do zapłacenia przez Wykonawcę.

§ 8 Postanowienia końcowe

1. Do wykonania Umowy i rozstrzygania sporów z nią związanych oraz w sprawach nieuregulowanych niniejszą Umową mają zastosowanie przepisy prawa polskiego.
2. Wszelkie spory wynikłe w trakcie realizacji Umowy rozstrzygać będzie Sąd Powszechny w Gdańsku
3. Wszelkie zmiany do niniejszej Umowy mogą być wprowadzone w formie aneksu pod rygorem nieważności.
4. Strony nie ponoszą odpowiedzialności za częściowe lub całkowite niewykonanie zobowiązań Umowy, jeżeli to niewykonanie nastąpiło na skutek okoliczności siły wyższej.

Za okoliczności siły wyższej poczytuje się okoliczności, które powstały po zawarciu Umowy, na skutek nieprzewidzianych przez Stronę zdarzeń o charakterze nadzwyczajnym, jak: wojnę, klęski żywiołowe, strajki oraz działania rządowe i administracyjne uniemożliwiające wykonanie zobowiązań Umowy.

5

Strona dotknięta siłą wyższą niezwłocznie powiadomi na piśmie drugą Stronę o zaistniałym przypadku siły wyższej. Świadcstwem wystąpienia okoliczności siły wyższej i okresu jej trwania będzie dokument Izby Handlowej Kraju Strony powołującej się na te okoliczności.

Jeżeli na skutek wystąpienia siły wyższej lub innej nieprzewidzianej przez strony sytuacji wykonanie Umowy byłoby prawnie lub faktycznie niemożliwe, to każda ze Stron będzie uprawniona do zawieszenia wykonania niniejszej Umowy.

W takim wypadku Strony w terminie dwóch tygodni podejmą decyzję co do dalszego obowiązywania Umowy lub odstąpienia od Umowy.

W przypadku gdyby okoliczność siły wyższej trwała dłużej niż 30 dni, każda ze Stron będzie miała prawo do rozwiązania niniejszej Umowy z 2-tygodniowym wyprzedzeniem.

ZAMAWIAJĄCY:

Armex sp. z o.o.
ul. Marynarki Polskiej 96
80-955 Gdańsk

ARMEX Spółka z o.o.
80-955 Gdańsk, ul. Marynarki Polskiej 96
NIP 584-025-17-29 REGON 148857577
tel. kom. 509 020 447; 509 018 300

WYKONAWCA:

Korea Rungrado General Trading Corp.
ADD: Segori Dong, Dist. Potonggang
Pyongyang, DPR Korea

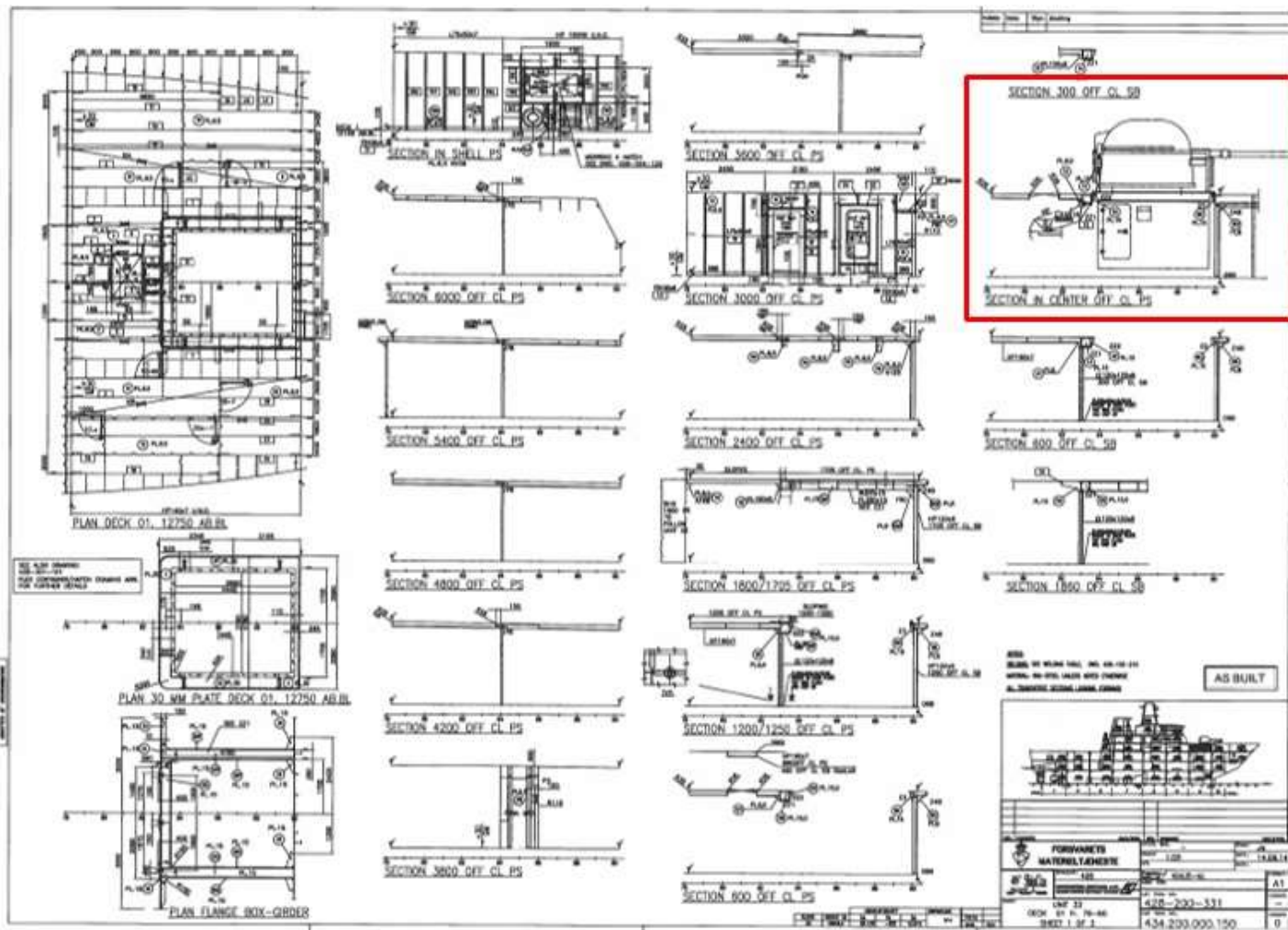
KOREA RUNGRADO GENERAL TRADING CORP.
ADD: Segori Dong, Dist. Potonggang
Pyongyang, DPR Korea
Tel: 850-2-18-111 Fax: 810-850-235-14507

Source: The Panel

Annex 31: Extract of the specifications of project NB428 and associated drawings

Karstensens Skibsværft A/S	71,80 m Hull NB 428
	Windows (supplied by BUYER) as described under gr. 515. Access to wheelhouse top by vertical ladder. Foundations for lights and antenna foundations etc to be fabricated and mounted as per BUYER-drawing. Sliding windows to have collection boxes around and drainage pipe.
26	HULL OUTFITTING
261	Hull marks Ship number on each side forward, on transom and on heli deck to be marked by welding lines. The vessel to be provided with draft marks in decimetres on stem, midship and stern on both sides. Draft marks positions to be checked and approved by DMA or Class. Hull markings for thrusters and bottom equipment to be fitted. Every tenth frame to be marked with respective number for underwater inspections. Waterline and tug marks to be arranged by tack welding. All bottom tanks to be marked by welding. Marks for tugboats. Benchmarks 30 pcs 50x50 mm StSt plates to be fitted at locations as per separate drawing. Plates to be delivered by BUYER.
262	Bottom plugs to be St.St. One type for fuel tanks and different type for water tanks(different head) Bottom plugs to be mounted in all tanks, bilge wells, engine room, and sonar-/thruster room. Plugs to be 3/4" made of stainless steel as per NS (Norwegian Standards). Tank number to be marked with tag welding at side of each plug as per detailed drawing. In engine room two sea chests (high and low) to be arranged, as described under gr. 220. Top of seachests to be sloped in order to vent sea inlets. Bilge wells with removable stainless steel gratings. Wells to be located as per Unit drawings.
263	Foundations Foundations to be arranged for weapon systems including: 2x MU 09-Torpedo on aft deck (only reinforcement below the deck), foundation radar sight wheelhouse top, foundation 2 DLS launchers frame 20- 25, foundation salute canon, foundation light machinegun, foundation heavv machinegun. Small foundations for equipment in ER, Gear room etc to be delivered tag welded on its positions. Alignment of foundations to be after standard stated on the drawings - in general 1mm/ 1m. All as per supplied drawings. Foundation for main engine and machinery as per gr. 223.
Page 16	

Source: The Panel



Source: The Panel

Annex 32: Crist letter to the Panel dated 15 January 2018



CRIST®

CRIST S.A.
 81-336 Gdynia
 ul. Czechosłowacka 3

REGON: 003002873
 NIP: 583-00-05-443

tel.: + 48 58 769 33 00
 fax: + 48 58 769 33 01

www.crist.com.pl
 e-mail: biuro@crist.com.pl

Gdynia 15.01.2018 r.

Your reference: S/AC.49/2018/PE/OC.02

Mr. Hugh Griffiths

Coordinator of the Panel of Experts
 established pursuant to
 Security Council Resolution 1874 (2009)

Dear Mr. Griffiths,

Regarding your letter dated to CRIST S.A. dated of Jan. the 2nd, 2018, and information presented by the panel contained therein, we would like to point out few things that we disagree with. First of all our company acts in accordance with Polish, EU and International law respecting the rules of convention 29 of Internal Labor Organization, concerning forced or compulsory labor, and maintains the highest standards of business ethics in relations with our suppliers, cooperators and workers which is stated in CRIST "Code of Ethics and Good Conduct in Business" (hereinafter: CRIST Code of Conduct). With this said we would like to point out that:

- No cases of employing North Korean workers by CRIST S.A. itself, have ever been applied. In the past, we used to cooperate with company ARMEX Sp. z o. o. This company once employed North Korean workers. Under the cooperation agreement all our suppliers and cooperators are obliged to provide the legality of the employment and compliance with rules and regulations of CRIST Code of Conduct. The ARMEX company was obliged to follow those rules and was under the control of Polish State Labor Inspection. CRIST ceased its cooperation with ARMEX in July 2016, and from that time we had no contact with them. We have never cooperated with Armex to "hire overseas workers from DPRK". ARMEX was one of many subcontractors to our shipyard that was hired to do some welding work on our projects. It is worth mentioning that the workers employed by ARMEX weren't only from DPRK. The ARMEX North Korean workers did some work on our premises, but had never been involved in the project NB 428 as per our statement dated on 05.09.2016 provided to Polish Ministry of Foreign Affairs.
- The project NB 428 was designated as a multipurpose vessel. In reference we are sending to you the General Arrangement plan which was an attachment to our contract with Karstensens Skibsvaerft A/S. There are no drawings of military installation in the signed contract documents. Referring to the foundations, they are structural parts which can easily be adapted to serve many future functions, not necessarily for military purposes. It is a common and widely applied practice in the shipbuilding industry to implement some structural solutions at the early stage, which can serve several purposes, but not necessarily be implemented even after many years of service. Furthermore we were assured

REG-0000361752
 44d Rejonowy Gdańsk-Północ
 III Wydział Gospodarczy KRS w Gdańsku
 Kapitał Zakładowy: 769.230,80 zł.

BNP PARIBAS BANK POLSKA S.A.
 77 1600 1303 0004 10071012 2001
 CREDIT AGRICOLE BANK POLSKA S.A.
 49 1940 1076 6601 0283 0000 0000
 PKO BANK POLSKI S.A.



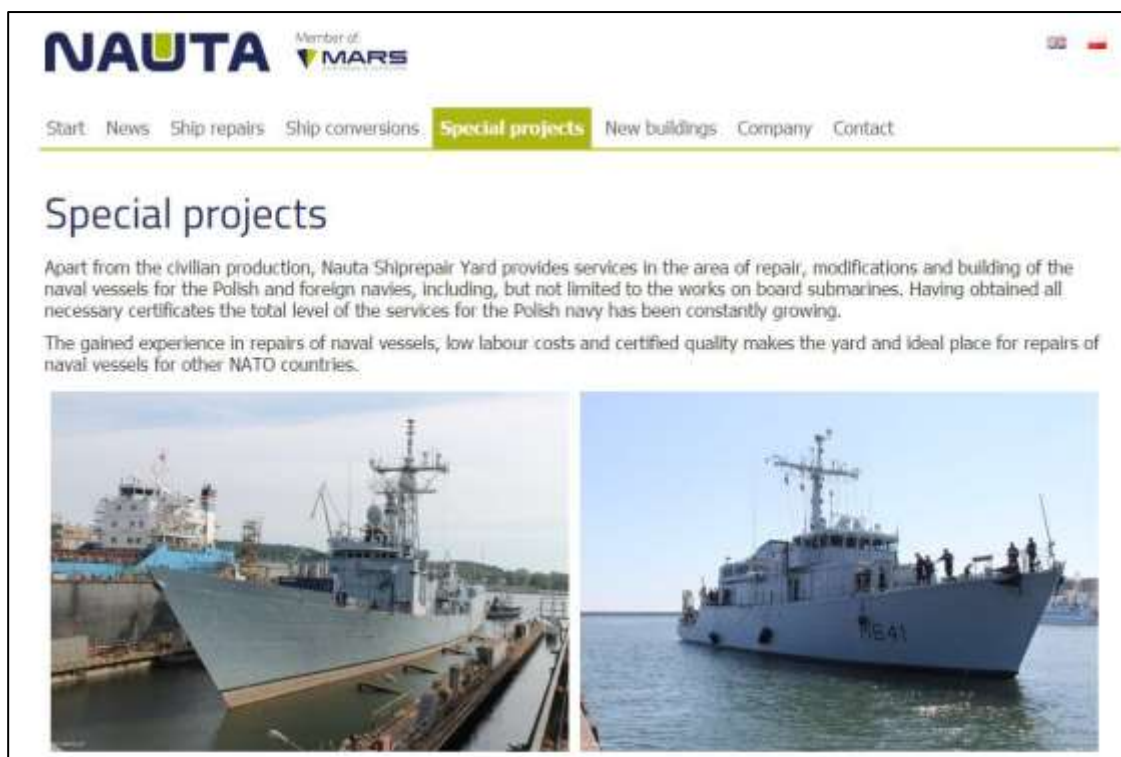
- No cases of employing North Korean workers by CRIST S.A. itself, have ever been applied. In the past, we used to cooperate with company ARMEX Sp. z o. o. This company once employed North Korean workers. Under the cooperation agreement all our suppliers and cooperators are obliged to provide the legality of the employment and compliance with rules and regulations of CRIST Code of Conduct. The ARMEX company was obliged to follow those rules and was under the control of Polish State Labor Inspection. CRIST ceased its cooperation with ARMEX in July 2016, and from that time we had no contact with them. We have never cooperated with Armex to "hire overseas workers from DPRK". ARMEX was one of many subcontractors to our shipyard that was hired to do some welding work on our projects. It is worth mentioning that the workers employed by ARMEX weren't only from DPRK. The ARMEX North Korean workers did some work on our premises, but had never been involved in the project NB 428 as per our statement dated on 05.09.2016 provided to Polish Ministry of Foreign Affairs.
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REG-0000361752
 woj. Pomorski, Gdynia, ul. Piłsudskiego 10
 81 Wydział Gospodarczy KRS w Gdyni
 kapitał zakładowy: 755.230.80 zł.

BNP PARIBAS BANK POLSKA S.A.
 77 1600 1303 0004 10071012 2001
 CREDIT AGRICOLE BANK POLSKA S.A.
 49 1540 1016 0601 0283 0000 0000
 PKO BANK POLSKI S.A.



Annex 33: Extract of Nauta website



Source: <http://nauta.pl/index.php?special-projects> (accessed on 14 December 2017)

Annex 34: List of Exhibitors to the 20th PITF (Spring)

전람회참가회사	
EXHIBITIORS	
우송무역회사	USUNG TRADING CO.
영광가구합영회사	YONGGWANG FURNITURE J.V.CO.
대룡합영회사	TAERYONG J.V.CO.
칠골무역회사	CHILGOL TRADING CO.
개성고려인삼무역회사	KAESONG KORYO INSAM TRADING CO.
신발무역회사	FOOTWEAR TRADING CORP.
라신링선합영회사	RASON RYONGSON J.V.CO.
수성무역회사	SUSONG TRADING CORP.
하나전자무역회사	HANA ELECTRONICS TRADING CO.
런봇기술개발회사	RYONMOT TECH.DEV.CO.
장애자후원회사	COMPANY FOR SUPPORTING THE DISABLED
장수봉무역회사	JANGSUBONG TRADING CO.
자원개발투자회사	NATURAL RESOURCES DEVELOPMENT & INVESTMENT CO.
대성3무역회사	DAESONG 3 TRADING CORP.
합동무역회사	HANGGONG TRADING CO.
황금벌무역회사	HWANGGUMBOL TRADING CO.
은파산무역회사	UNPHASAN TRADING CO.
조선고려약회사	KOREA KORYO MEDICINE COMPANY
정성무역회사	JONGSONG TRADING CORP.
무병새기술교류사	MUBYONG NEW TECH. EXCHANGE CENTER
경수봉무역회사	KYONG SU BONG TRADING CO.
은원무역회사	UNWON TRADING CO.
은파산무역회사	UNPHASAN TRADING CORP.
강봉무역회사	KANGBONG TRADING CORP.
강강무역회사	KONGANG J.V.CO.
고려약수출입회사	KORYO MEDICINE IMPORT & EXPORT CO.
만년제약합영회사	MANNYON PHARMACEUTICAL J.V.CO.
조선동방즉효약물개발사	KOREA ORIENTAL INSTANT MEDICINE DEV.CENTER.
류경대의건설총회사	RYUGYONG EXTERNAL CONSTRUCTION CORP.
대신무역회사	TAESIN TRADING CO.
장명청단의료품개발교류소	JANGMYONG HIGH-TECH. MEDICAL SUPPLIES DEV CO.
만년보건회사	MANNYON HEALTH CORP.
상원무역회사	SANGWON TRADING CORP.
장성합작회사	JANGSAENG J.V.CORP.
만경석암무역회사	MANGYONG SOGAM TRADING CO.
학봉약물의료회사	HAKPONG MEDICINE & MEDICAL DEVICE CO.
지능무역회사	JINUNG TRADING CO.
토성기술협조교류사	THOSONG TECHNOLOGICAL COOPERATION CO.
동양무역회사	TONGYANG TRADING CORP.
남강무역회사	NAMGANG TRADING CO.
대성산무역회사	DAESONGSAN TRADING CORPORATION
금온산무역회사	KUMUNSAN TRADING CORP.
침단생물공학기술교류사	HIGH-TECH BIOENGINEERING SERVICE CO.
제약수출입회사	MEDICINES IMPORT & EXPORT CO.
유아무역상사	YUA TRADING CORP.
오가산무역회사	OGASAN TRADING CORP.
정성무역회사	JONGSONG TRADING CORP.
묘향2무역회사	MYOHYANG 2 TRADING CO.
진영상업기술교류소	JINYONG TRADING CO.
금연연구보급소	TOBACCO CESSATION CENTER
창공무역회사	CHANG GONG TRADING CO.
수성무역회사	SUSONG TRADING CO.
풍라888무역총회사	RUNG RA 888 TRADING CO.
진흥회사	JINHUNG CO.

전람회참가회사

EXHIBITIORS

대원전지합영회사
 라선대흥무역회사
 신봉무역회사
 해방산무역회사
 금은산무역회사
 성천강무역회사
 송도무역총회사
 화장품무역회사
 전진대물기술교류사
 금강산국제관광특구개발총회사
 상원무역회사
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 라원무역총회사
 구룡강무역회사
 중이무역회사
 밀무리무역회사
 삼천리조명기술무역회사
 백호무역회사
 삼명무역총회사
 예흥합작회사
 잠업합작회사
 삼송무역회사
 송진무역회사
 신흥정보기술무역회사
 수정전기기술교류사
 원봉무역회사
 평양병봉무역회사
 해양무역총회사
 진흥회사
 부성회사
 묘향전호합작회사
 평양대진첨단기술개발사
 조양방직합영회사
 경공업무역회사
 국흥무역회사
 삼지연무역회사
 금연연구보급소
 장명첨단의료물개발교류소
 고려약수출입회사
 무병새기술교류사
 보통강무역회사
 송진개발무역회사
 묘향정보기술교류소
 조선출판물수출입사
 외교단 친선수입상사
 만년보건회사
 대하무역회사
 태덕산무역총회사
 영흥무역회사
 창공무역회사
 백호1무역회사
 원경전제품합영회사
 흥성무역회사
 금화무역회사

TAEWON BATTERY J.V.CO.LTD.
 RASON TAEHUNG TRADING CORP.
 SINBONG TRADING CO.
 HAEBANGSAN TRADING CORP.
 KUMUNSAN TRADING CORP.
 SONGCHONGGANG TRADING CORP.
 SONGDO TRADING CORP.
 COSMETICS TRADING CO.
 JONJIN TAERYUN TECH. CO.
 KUMGANGSAN DEV CORP.
 SANGWON TRADING CORP.
 THAESONG TRADING CO.
 MEDICAL APPARATUS CO.
 RAKWON GENERAL TRADING CORP.
 KURYONGGANG TRADING CO. A likely alias of KPe.008
 SONGI TRADING CORP. Designated by the U.S.A.
 PYOLMURI TRADING CO.
 SAMCHOLLI L.T.CO.LTD.
 PAEKHO TRADING CO.
 SANGMYONG TRADING CORP.
 YEHUNG J.V.CO.
 SERICULTURE J.V.CO.
 SAMSUNG TRADING CO.
 SUNGIN TRADING CO.
 SINHUNG IT TRADE CO.
 SUJONGCHON TECH CO.
 WONBONG TRADING CORP. Designated by the ROK
 PYONGYANG RYONGBONG TRADING CO.
 HAERYANG TRADING CORP.
 JINHUNG CO.
 PUSONG CORP.
 MYOHYANG CHONHO J.V.CO.
 PYONGYANG TAEJIN HIGH-TECH DEV.CO.
 JOYANG TEXTILE J.V.CO.
 LIGHT INDUSTRY TRADING CORP.
 KUKHUNG TRADING CO.
 SAMJIYON TRADING CORP.
 TOBACCO CESSATION CENTER
 JANGMYONG HIGH-TECH MEDICAL SUPPLIES DEV.CO.
 KORYO MEDICINE IMPORT & EXPORT CO.
 MUBYONG NEW TECH.EXCHANGE CENTER
 POTHONGGANG TRADING CO.
 SONGJON DEVELOPMENT TRADING CO.
 MYOHYANG IT CENTER
 KOREA PUBLICATIONS EXPORT & IMPORT CORP.
 DIPLOMATIC CORPS FRIENDSHIP IMPORT CORP.
 MANNYON HEALTH CORP.
 TAEHA TRADING CO.
 TAEDOKSAN TRADING CORP.
 YONGHUNG TRADING CORP.
 CHANGGONG TRADING CO.
 PAEKHO 1 TRADING CO.
 WONGYONG BUILDING MATERIALS J.V.CO.
 HUNGSONG TRADING CORP.
 KUMHUA TRADING CORP.

전람회참가회사

EXHIBITORS

길림성봉인수출입유한공사	JILIN PROVINCIAL DRAGON LIN IMPORT & EXPORT CO., LTD.
길림성길순성상무유한공사	JILIN PROVINCIAL JISHUNCHENG TRADE CO., LTD.
길림성신오상무유한공사	JILIN PROVINCIAL XINAOJIAN TRADE CO., LTD.
길림성훈춘동무유한공사	HUNCHUN RONGTONG TRADE CO., LTD.
길림성척림상무유한공사	JILIN PROVINCIAL SHILIN TRADE CO., LTD.
길림성훈춘상무유한공사	HUNCHUN CHANGYI TRADE CO., LTD.
길림성비가심외유한공사	JILIN FEIGE OUTSIDE PRODUCTS CO., LTD.
광둥성광주동방수입상품유한공사	GUANGZHOU DONGFANG IMPORTED GOODS CO., LTD.
광둥성심원홍민상무유한공사	SHENZHEN HONG WAN CHANG TRADING CO., LTD.
대만복통과학기술유한공사	TAIWAN FU LING TECHNOLOGY CO., LTD.
광둥성심원회공정공업제품유한공사	SHENZHEN HUIFENG QINGGONG CO., LTD.
절강성온주와예국제상품유한공사	WENZHOU HUAYI GUOJI SHANGPIN CO., LTD.
산둥성틀오진경무유한공사	SHANDONG XINAOJIAN ECONOMY & TRADE CO., LTD.
하북성문안현지의수지제품유한공사	HEBEI WENAN ZHIYI PLASTIC PRODUCTS CO., LTD.
하북성메주시동양장평성오금공장	BAZHOU DONGYANGZHUANG HONGSHENG HARDWARE FACTORY
광둥성광주홍광일용품유한공사	GUANGZHOU XINGUANG DAILY NECESSITIES CO., LTD.
길림성장춘시구러일용품유한공사	CHANGCHUN JIULI DAILY NECESSITIES CO., LTD.
길림성장춘시용달원과학기술유한공사	CHANGCHUN RONGDAYUAN TECHNOLOGY CO., LTD.
길림성화웨이기전설비유한공사	JILIN HUAWEI MECHANICAL & ELECTRICAL CO., LTD.
길림성목자옥일용품유한공사	JILIN PROVINCIAL MUZIWI DAILY NECESSITIES CO., LTD.
길림성메이팩공예제품유한공사	JILIN EVERPULSE HANDIWORK MANUFACTURE CO., LTD.
길림성장춘시메이팩기전설비유한공사	CHANGCHUN DEXIN ELECTRONIC & MACHINERYSD CO., LTD.
로녕성대연가양외무역유한공사	DALIAN JIAYANG YIHE TRADE CO., LTD.
베이징백로달동광전과학기술유한공사	BEIJING BAILUDATONG PHOTOELECTRIC TECHNOLOGY CO., LTD.
광둥성불산교역전기제품공업유한공사	FOSHAN SHUNDE QIAOYI ELECTRIC INDUSTRIAL CO., LTD.
광둥성광주진동수지방직물유한공사	GUANGZHOU JIANTENG PLASTIC TEXTILE CO., LTD.
산둥성박오사에너지과학기술유한공사	SHANDONG BOS ENERGY TECHNOLOGY CO., LTD.
로녕성심양은덕오금수출입유한공사	SHENYANG ENDE HARDWARE IMP&EXP CO., LTD.
로녕성심양홍명과학기술유한공사	SHENYANG HON MING TECHNOLOGY CO., LTD.
상해태노식품기계유한공사	SHANGHAI TAKNO FOOD MACHINE CO., LTD.
하남성자성현복주목제품유한공사	ZHECHENG GREEN FOREST WOOD CO., LTD.
호북성무한광광경과학기술유한공사	WUHAN OPTICAL VALLEY HONG JING TECHNOLOGY CO., LTD.
로녕성단둥동회공업유한공사	DANDONG TENG HUI INDUSTRIAL CO., LTD.
광둥성주태그리전기제품주식유한공사	GREE ELECTRIC APPLIANCES INC. OF ZHUHAI
베이징요부상무유한공사	BEIJING YOP TRADING CO., LTD.
강소성대중전기제품유한공사	JIANGSU JINGHAI TRANSFORMER CO., LTD.
대만로얄팀회사	ROYAL TEAM CORPORATION
대만화이먼과학기술주식유한회사	FEYNMAN TECHNOLOGY CO., LTD.
대만홍중생물과학기술유한회사	HONG ZHONG BIOTECHNOLOGY CO., LTD.
대만청교과학기술주식유한회사	TAIWAN TIGHT TECHNOLOGY CO., LTD.
대만사르덕의약품유한회사	BENESSERE & SALUTE CO., LTD.
대만배산차유생산합자사	MEI SHAN TEA SEED OIL MANUFACTORY CORPORATION
대만상해자목수자조종기계유한공사	FANTABULOUS MACHINE INC.
월남수버커회사	SUPER COFFEEMIX VIET NAM LTD.
씨씨엘그룹	CCL GROUP
베트남타국제회사	VIET DELTA INDUSTRIAL CO. LTD.
하베트무역정보회사	HA VIET TRADING AND MEDIA COMPANY
오티미회사	OTIM SPA
제임슨양주(복건)회사	JAMESON'S WINERY (FUJIAN) CO. LTD.
에스엘피그룹	S AND P GROUP
하이웰보건회사	HI WELL HEALTHCARE CORP. NEW ZEALAND
마르스팜회사	MARSFARM CO., LTD.
에를라회사	ERLA PT. CO.
트리아스솔루시인도네시아	PT. TRIAS SOLUSI INDONESIA
케이케이뉴니버셀회사	THAILAND KK UNIVERSAL CO., LTD.
강복국제회사	KANGFU INTERNATIONAL PTE LTD.
신사무역회사	SINSAR TRADING (PTE) LTD.
마더니스트건강영양제품회사	MOTHERNEST HEALTH PRODUCTS RBK NUTRACEUTICAL PTY LTD.

Previously investigated by the Panel

전람회참가회사

EXHIBITORS

원해무역상사	WONHAE TRADING CORP.
승리천지무역회사	SUNGRI CHONJI TRADING CO.
고려천연흑연무역회사	KORYO NATURAL GRAPHITE TRADING CORP.
전승무역회사	JONSUNG TRADING CORP.
은정가스빠루치합영회사	UNJONG GASPARUCCI J.V.CO.LTD.
만복합작회사	MANBOK J.V.CO.
삼일포무역회사	SAMILPHO TRADING CORP.
금강산합작회사	KUMGANGSAN J.V.CO.
천수명기술합작회사	CHONSURYONG TEC.J.V.CO.
도로건설무역회사	ROAD CONSTRUCTION TRADING CO.
고려심청회사	KORYO SIMCHONG CO.
체력증진회사	PHYSICAL FITNESS CO.
문명무역회사	MUNMYONG TRADING CO.
내고향합작회사	NAEGOHYANG J.V.CO.
백일무역회사	PAEKIL TRADING CO.
새기술무역교류사	N.T.T.E. CO.
신흥무역총회사	SINHUNG TRADING GENERAL CO.
청혈무역회사	JONGWOL TRADING CO.
메아리음향사	MEARI COMPANY
금강산무역회사	KUMGANGSAN TRADING CORP.
선경무역회사	SONGYONG TRADING CO.
경수봉무역회사	KYONGSUBONG TRADING CO.
통약무역회사	RYONGAK TRADING CORP.
면합무역회사	RYONHAP TRADING CORP.
건강합작회사	KONGANG J.V.CO.
광광무역회사	KWANGRYANG TRADING CO.
장수봉합작회사	JANGSUBONG J.V.CO.
오일무역회사	O-IL TRADING CORP.
아침꿈퓨터합영회사	ACHIM PC J.V.CO.LTD.
계명무역회사	KYEMYONG TRADING CO.
송화강무역회사	SONGHWAGANG TRADING CORP.
장수무역회사	JANGSU TRADING CORP.
푸른하늘면합회사	PHURUN HANUL CORP.
울지봉합작회사	ULJIBONG J.V.CO.
항원무역회사	HANGRYON TRADING CORP.
판문무역회사	KWANMUN TRADING CO.
고려창명신에너지합작회사	KORYO CHANGMYONG NEW ENERGY J.V.CO.
풍라과학기술교류사	RUNGNA SCI- TECH CO.
평양천봉교류사	PYONGYANG CHONBONG CO.
풍라도정보기술사	RUNGRADO IT CO.
평양대성보석무역회사	PYONGYANG DAESONG POSOK TRADING CO.
은복무역회사	UNBOK TRADING CORP.
백은무역회사	PAEKUN TRADING CORP.
청계천기술무역회사	CHONGGYECHON TECHNICAL TRADING CORP.
평양보석과복기계합영회사	PYONGYANG GEMSY DRESSMAKING MACHINE J.V.CO.LTD.
금룡무역회사	KUMNUNG TRADING CORP.
천원무역회사	CHONWON TRADING CORP.
통약산기술무역회사	RYONGAKSAN TECH TRADING CO.
향산무역회사	HYANGSAN TRADING CO.
선정무역회사	SONJONG TRADING CO.
평양대마무역회사	PYONGYANG HEMP TRADING CO.
대성1무역회사	DAESONG 1 TRADING CORP.
평양대흥무역회사	PYONGYANG TAEHUNG TRADING CO.
운하대성무역회사	UNHA DAESONG TRADING CO.
유아무역회사	YUA TRADING CORP.

Source: NK News

Annex 35: Chinese company's brochure exhibited at its booth



Source: NK News

Annex 36: Syria

Letter from the Syrian Arab Republic

PERMANENT MISSION OF THE SYRIAN ARAB REPUBLIC TO THE
UNITED NATIONS

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Tel: (212) 681-1313
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MOST URGENT

PM/2017/324

New York, 17 August 2017

The Permanent Mission of the Syrian Arab Republic to the United Nations presents its compliments to Coordinator of Panel Experts established pursuant to Security Council Resolution 1874 (2009) and with reference to the letter no. S/AC.49/2017/PE/OC.308 dated 5 July 2017, has the honor to inform the following:

1. The Government of the Syrian Arab Republic has no inter-action with the two entities or individuals whose names are mentioned in the letter.
2. There are no DPRK technical companies in Syria, and the only presence of some DPRK individuals are confined in the field of sports under private individual contracts for training in athletics and gymnastics.

The Permanent Mission of the Syrian Arab Republic to the United Nations avails itself of its opportunity to renew to Coordinator of Panel Experts established pursuant to Security Council Resolution 1874 (2009), the assurances of its highest consideration.

H.E. Hughs Griffiths
Coordinator of Panel Experts established pursuant to
Security Council Resolution 1874 (2009)

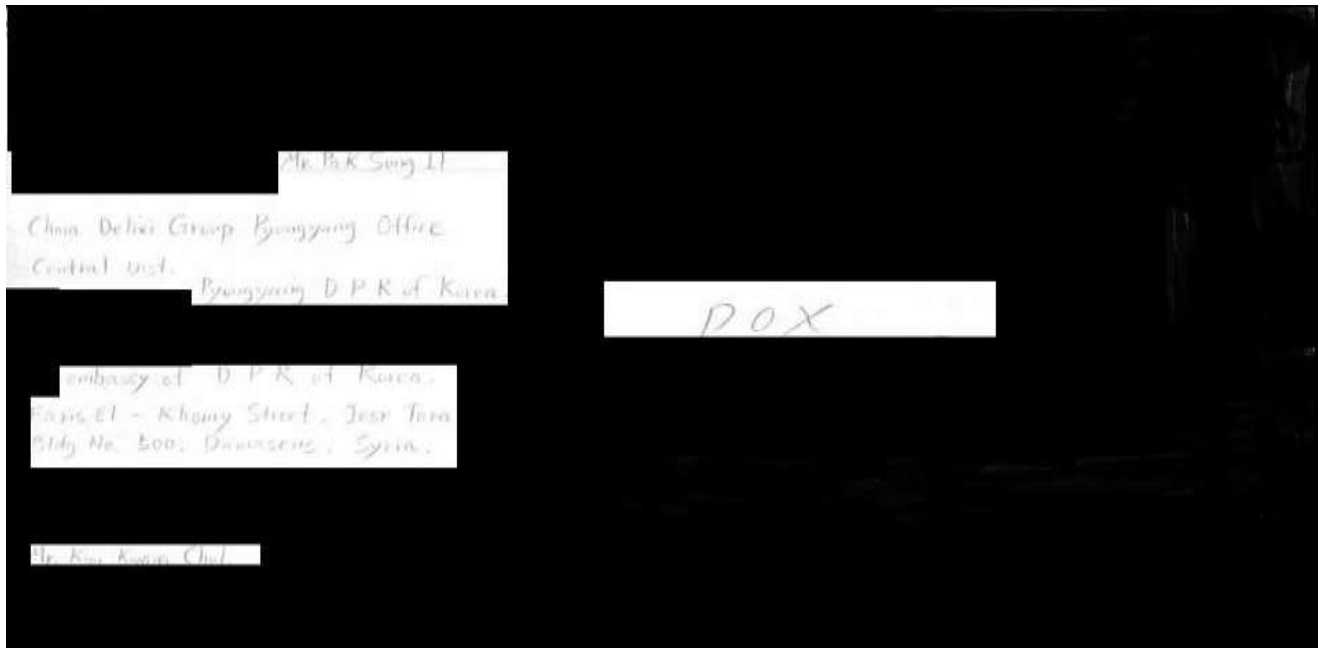


DPRK Corst Company invoice for shipment to SSRC front company Megatrade in 2017

CORST		CORST COMPANY LTD.			
PROFORMA INVOICE					
		No.		CRST-AK/17-0725	
		Date:		Jul. 25, 2017	
INVOICE of Ampere Meter					
Shipped per		[REDACTED]		Selling on and about Jul. 25, 2017	
from		Pyongyang Airport of D.P.R. Korea		to Damascus Airport	
		Adveh Kafekli Co. Aleppo Street, Building 34 Damascus, Syria. P.O.Box: 11384 TEL.: (00963) 11 3471081			
for account and risk of Messrs					
Incured by The Seller					
L/C No.		Contract No.		Samples Excess Charge	
Marks & Numbers	Description (Item Numbers)	Unit	Quantity	Unit Price in EUR	Amount in EUR
1 case	Ampere Meter	pc	17	2.55	43.35
Total Case	TOTAL:	pc	17		43.35
				I Say: Forty Three EURO and 35/100 Only)	
<i>* No Commercial Value</i>					
We hereby certify that this invoice is authentic and the value stated herein is only for Customs information.					
					

Source: The Panel

Airway bill showing foreign company as shipper and DPRK Embassy in Damascus as consignee



Source: The Panel

Annex 37: Bills of lading of interdicted shipments

COPY

PORT TO PORT OR COMBINED TRANSPORT BILL OF LADING

1. Shipper (Insert Name, Address and Phone/Fax) CHENG TONG TRADING CO., LTD. AND NO. 122-1 CHANGKIN A5-7-1, QINGNIAN STREET, HEPING DISTRICT SHENYANG TEL: +86-24-83953382		2. Consignee (Insert Name, Address and Phone/Fax) METALLIC MANUFACTURING FACTORY ADDRESS: 29, MAY STREET, DAMASCUS-AL-SABH & RAHRAT SQUARE P.O. BOX: 12164 TEL/FAX: 00963-11-2311427		3. Notify Party (Insert Name, Address and Phone/Fax) SAME AS CONSIGNEE		4. Combined Transport (If applicable) No. of Container: [REDACTED] Port of Loading: [REDACTED] Port of Discharge: LATTAKIA Combined Transport: LATTAKIA		5. Combined Transport (If applicable) Place of Receipt: [REDACTED] Place of Delivery: LATTAKIA		6. Export Reference [REDACTED]		7. Forwarding Agent and References [REDACTED]		8. Point and Country of Origin [REDACTED]	
9. Also Notify Party (Routing & Instructions) [REDACTED]															
10. Type of Movement [REDACTED]															

Mark & No. Container (See 20)	No. of Container or Packages	Description of Goods (If Dangerous Goods, See Clause 20)	Gross Weight	Measurement
N/M	62 PACKAGES	ACID-PROOF BRICK DAUB	131986.000KGS NET WEIGHT 131076.000KGS	70.6980CBM
TOTAL:	62 PACKAGES		131986.000KGS NET WEIGHT 131076.000KGS	70.6980CBM

ONE CY-FO TERM
SHIPPER'S LOAD, COUNT AND SEAL
OCEAN FREIGHT PREPAID

Container No.	Seal No.	Description of Goods	UIC	FCL / LCL	Gross Weight	Measurement
CCUJ0387500	CB8559254	10 PACKAGES	/	FCL	20GP	
TCNU2429818	CB8559286	10 PACKAGES	/	FCL	20GP	
PCU5423628	CB403465	10 PACKAGES	/	FCL	20GP	
CBHU4190770	CB8558117	10 PACKAGES	/	FCL	20GP	
TCNU1369820	CB399106	10 PACKAGES	/	FCL	20GP	
PCU5895418	CB306472	12 PACKAGES	/	FCL	20GP	

Declared Cargo Value USD

10. Total Number of Containers and/or Packages (in words) **SAY SIX CONTAINERS TOTAL**

Subject to Clause 7 Limitation

Freight & Charges	Revenue Type	Rate	No.	Amount	Prepaid/Collect	Freight & Charges Payable to / by

Shipped in external apparent good order and condition except as otherwise noted. The total number of the packages or units stated in the statement, the description of the goods and the weights shown in this Bill of Lading are furnished by the merchants, who warrant the carrier has no reasonable means of checking and is not a part of the Bill of Lading contract. The carrier has issued a signed Bill of Lading, all of the facts and data, are in the signed Bills of Lading must be surrendered and endorsed or having against the delivery of the document and whereupon any other original Bills of Lading shall be void. The merchants agree to be bound to the terms and conditions of this Bill of Lading as if each had personally signed this Bill of Lading.

*Applicable Only When Document Used as a Combined Transport Bill of Lading.

Demurrage and Dues shall be charged according to the tariff published on the Home page of UNES.COSCO SHIPPING.COM. If any special enquiry, please search by "Demurrage & Dues Tariff Enquiry". Other services and more detailed information, please visit UNES.COSCO SHIPPING.COM.

Date of Issue: 14 JAN 2017 **Place of Issue:** [REDACTED] **Signed for the Carrier:** [REDACTED]

Date Lading is Billed: 14 JAN 2017 **Signed by:** [REDACTED]

COPY
PAGE: 1 OF 2

PORT TO PORT OR COMBINED TRANSPORT BILL OF LADING

1. Shipper Insert Name, Address and Phone/Fax CHENG TONG TRADING CO., LTD. ADD: NO. 322-1 CHANGLIN A5-7-1, QINONIAN STREET, HEPING DISTRICT SHENYANG TEL: +86-24-81953282		2. Consignee Insert Name, Address and Phone/Fax METALLIC MANUFACTURING FACTORY ADDRESS: 29. MAY STREET, DAMASCUS-AL-SABB E BAHRAI SQUARE P.O. BOX: 12184 TEL/FAX: 00963-11-2311427		3. Notify Party Insert Name, Address and Phone/Fax SAME AS CONSIGNEE	
4. Combined Transport* Freight Carriage by [Redacted]		5. Combined Transport* Place of Receipt [Redacted]		6. Forwarding Agent and References [Redacted]	
7. Port of Loading LATTAKIA		8. Port of Delivery LATTAKIA		9. Date of Issuance 11 JAN 2017	

Mater. & Nos. Container / Seal No.	No. of Container or Packages	Description of Goods (if Dangerous Goods, See Clause 20)	Gross Weight	Measurement
N/M	76 PACKAGES	ACID-PROOF BRICK DABU	159349.000KGS NET WEIGHT 157384.000KGS	91.8680CBM
TOTAL:	76 PACKAGES		159349.000KGS NET WEIGHT 157384.000KGS	91.8680CBM

ON CY-FO TERM
SHIPPER'S LOAD, COUNT AND SEAL
OCEAN FREIGHT PREPAID

Container No.	Seal No.	Description of Goods	Unit	Weight	Measurement
DBHU4146968	/CB607783	11 PACKAGES	/FCL	/FCL	/20GP
DBHU5594674	/CB607782	11 PACKAGES	/FCL	/FCL	/20GP
CSLU1659639	/CB406201	11 PACKAGES	/FCL	/FCL	/20GP
TEHU3359986	/CB607781	11 PACKAGES	/FCL	/FCL	/20GP
TEHU5054756	/CB607789	11 PACKAGES	/FCL	/FCL	/20GP
BSU12599600	/CB300426	11 PACKAGES	/FCL	/FCL	/20GP

** TO BE CONTINUED ON ATTACHED LIST **

10. Total Number of Containers and Packages (in words) SAY SEVEN CONTAINERS TOTAL

Freight & Charges	Revised Terms	Rate	Per	Amount	Prepaid/Collect	Freight & Charges Payable at / by

Received in without apparent good order and condition except as otherwise noted. The total number of the packages or units shipped in this container, the description of the goods and the weights shown in this Bill of Lading are furnished by the shipper and shall be the basis for the carrier's responsibility. The carrier has no responsibility for the accuracy of the data furnished by the shipper. The carrier's responsibility is limited to the extent of the bill of lading. The carrier's responsibility is limited to the extent of the bill of lading. The carrier's responsibility is limited to the extent of the bill of lading.

Date Lading on Board: 11 JAN 2017

Signed by: [Redacted]

Signed for the Carrier: [Redacted]

Date of Issue: 11 JAN 2017 **Place of Issue:** [Redacted]

Source: The Panel

Annex 38: Bills of lading of interdicted shipments

售货合同 SALES CONTRACT

CONTRACT NO: 2016091501 DATE: 2016-9-15

THE SELLERS: CHENG TONG TRADING CO., LTD

THE BUYERS: GENERAL CO. FOR CABLES INDUSTRY-DAMASCUS

双方同意按下列条款由卖方出售, 买方购进下列货物:

THE SELLERS AGREE TO SELL AND THE BUYERS AGREE TO BUY THE UNDER MENTIONED GOODS ON THE TERMS AND CONDITIONS STATED BELOW:

商品名称及规格 NAME OF COMMODITY	数量 QUANTITY	单价(USD) UNIT PRICE	金额(USD) Amount
Fire hydrant SS100/65-1.6	25 set	60	1500
Valve DN15, PN1.6MPa, CS46H-16C	78 set	30	2340
Cable VV3*50+1	20610M	5.9682	123005
Light switch 220V 10A	436 set	2	872
Welded pipe Ø32*2.5	9297kg	0.6	5578.2
Welded pipe Ø108*4	13124kg	0.55	7218.2

总价: USD140,513.4

TERMS: FOB CHINA PORT

5. 付款条件: 预付 30%-验货后 3 个月内 70%
PAYMENT TERMS: 30% DOWNPAYMENT
70% PAYMENT AFTER RECEIVING AND FINISHING OF INSPECTION OF THE GOODS WITHIN 3 MONTHS

6. 包装: 件 (SEE PACKING LIST)
PACKING: UNITS (见箱单)

7. 装运时间: 2017 年 1 月前
TIME OF SHIPMENT: BEFORE JAN, 2017

8. 生产国别及制造厂家: 中国制造
COUNTRY OF ORIGIN: MADE IN CHINA

9. 装运国家: 中国
PORT OF SHIPMENT: CHINA

10. 目的国家: SYRIA LATTAKIA
PORT OF DESTINATION: 叙利亚拉塔基亚

11. 到达目的港的海运费及港杂费根据实际发生支付
Actual freight payment will be made according to the number of containers and Syria Lattakia's port charges.

12. 其他条款: 按买方特殊要求定制
OTHER TERMS: MANUFACTURED ON THE BUYER'S SPECIFIED REQUIREMENTS.

* 付款方式及币种: 根据付款时情况另作定义

* Payment and currency: As defined in the case of payment

For and on behalf of

CHENG TONG TRADING CO., LTD

Authorized Signature(S)

GENERAL CO. FOR CABLES

INDUSTRY-DAMASCUS

售货合同 SALES CONTRACT

CONTRACT NO: 2016101001

DATE:2016-10-10

THE SELLERS: CHENG TONG TRADING CO.,LTD

THE BUYERS: METALLIC MANUFACTURING FACTORY

双方同意按下列条款由卖方出售,买方购进下列货物:

THE SELLERS AGREE TO SELL AND THE BUYERS AGREE TO BUY THE UNDER MENTIONED GOODS ON THE TERMS AND CONDITIONS STATED BELOW:

商品名称及规格 NAME OF COMMODITY	数量 QUANTITY	单价(USD) UNIT PRICE	金额(USD) AMOUNT
Stainless steel seamless pipe Ø45*2,321#	6804kg	2	13608.00
Stainless steel seamless pipe Ø56*3,321#	6000M	2.00	12000.00
Stainless steel seamless pipe Ø70*1,321#	18615kg	2	37230.00
Stainless steel seamless pipe Ø159*3,321#	5925M	2.50	14812.50
Copper Cu 60x6	669KG	1.80	1204.20
Angle L75x75x6	1670KG	0.80	1336.00
sheet iron T=3, 1000x2000	527KG	0.80	421.60
Bolts M6*50	10000SET	0.15	1500.00
welding rod Φ3.2, J422	282kg	0.9929	280.00
Bend DN40, O45x2.5	268pc	4.00	1072.00
Filter DN32,PN1MPa	13set	30.00	390.00
Lightning arrester S6.6,Cu=30M	3set	1000.00	3000.00
Breaker380V 3x250A	27set	30.00	810.00
Cable 2*2.5	2500M	1.00	2500.00
Heat shrink tube Ø100*0.6	325M	1.00	325.00
Lamp 220 40w*2s	15set	10.00	150.00
Ribbon L=200,W=3.5,100P/bag	93bag	2.00	186.00
Jinzo 70 ml Sn	295pc	0.50	147.50
Tape 19mmx10m	350pc	1.00	350.00
Tool 92set	3set	50.00	150.00
AL iron T=0.8	3257KG	2.50	8142.50
Glass fiber insulation tube DN80.Ø89*50mm	2099m	1.50	3148.50
Round steel Φ25*3,L=2M	560KG	2.50	1400.00
Reducing agent YH-03	1750KG	0.23	402.50
Base insulator ZA-6T	50set	5	250.00
总价: USD104,816.30			
TERMS:FOB CHINA PORT			

5.付款条件: 预付 30%-验货后 3 个月内 70%

Payment terms:30% DOWNPAYMENT

70% PAYMENT AFTER RECEIVING AND FINISHING OF INSPECTION OF THE GOODS WITHIN 3 MONTHS

G CO., LTD

ed Signature(S)

6. 包装: 件(SEE PACKING LIST)

PACKING: UNITS(见箱单)

7. 装运时间: 2017 年 1 月前

TIME OF SHIPMENT: BEFORE JAN, 2017.

8. 生产国别及制造厂家: 中国制造

COUNTRY OF ORIGIN: MADE IN CHINA

9. 装运国家: 中国

PORT OF SHIPMENT: CHINA

10. 目的国家: SYRIA LATTAKIA

PORT OF DESTINATION: 叙利亚拉塔基亚

11. 到达目的港的海运费及港杂费根据实际发生支付

Actual freight payment will be made according to the number of containers and Syria Lattakia's port charges.

12. 其他条款: 按买方特殊要求定制

OTHER TERMS: MANUFACTURED ON THE BUYER'S SPECIFIED REQUIREMENTS.

*. 付款方式及币种: 根据付款时情况另作定义

*. Payment and currency: As defined in the case of payment

CHENG TONG TRADING CO., LTD

For and on behalf of

CHENG TONG TRADING CO., LTD

Authorized Signature(S)

METALLIC MANUFACTURING FACTORY



For and on behalf of
CHENG TONG TRADING CO., LTD

Authorized Signature(S)

售货合同 SALES CONTRACT

CONTRACT NO: 2016121011

DATE:2016-12-10

THE SELLERS: CHENG TONG TRADING CO.,LTD

THE BUYERS: METALLIC MANUFACTURING FACTORY

双方同意按下列条款由卖方出售,买方购进下列货物:

THE SELLERS AGREE TO SELL AND THE BUYERS AGREE TO BUY THE UNDER MENTIONED GOODS ON THE TERMS AND CONDITIONS STATED BELOW:

商品名称及规格 NAME OF COMMODITY	数量 QUANTITY	单价(USD) UNIT PRICE	金额(USD) Amount
Acid proof bricks 300*300*20	5000 m ²	13.1534	65,767.00
Water glass&Daub (Acid proof bricks paste accessories)	44T	175.00	7,700.00
Valve DN15,1.6Mpa	1 set	200.00	200.00

总价: USD73,667.00

TERMS:FOB CHINA PORT

5.付款条件: 预付 30%-验货后 3 个月内 70%

PAYMENT TERMS:30% DOWNPAYMENT

70% PAYMENT AFTER RECEIVING AND FINISHING OF INSPECTION OF THE GOODS WITHIN 3 MONTHS

6.包装: 件(SEE PACKING LIST)

PAKING: UNITS(见箱单)

7.装运时间:2017 年 3 月前

TIME OF SHIPMENT:BEFORE MAR, 2017.

8.生产国别及制造厂家: 中国制造

COUNTRY OF ORIGIN: MADE IN CHINA

9.装运国家: 中国

PORT OF SHIPMENT: CHINA

10.目的国家: SYRIA LATTAKIA

PORT OF DESTINATION: 叙利亚拉塔基亚

11.到达目的港的海运费及港杂费根据实际发生支付

Actual freight payment will be made according to the number of containers and Syria Lattakia's port charges.

12.其他条款:按买方特殊要求定制

OTHER TERMS: MANUFACTURED ON THE BUYER'S SPECIFIED REQUIEMENTS.

*付款方式及币种: 根据付款时情况另作定义

*Payment and currency: As defined in the case of payment

CHENG TONG TRADING CO.,LTD

For and on behalf of

CHENG TONG TRADING CO., LTD

Metallic Manufacturing Factory

Authorized Signature(S)

Source: The Panel

Annex 39: Information on General Company for Cable

Search

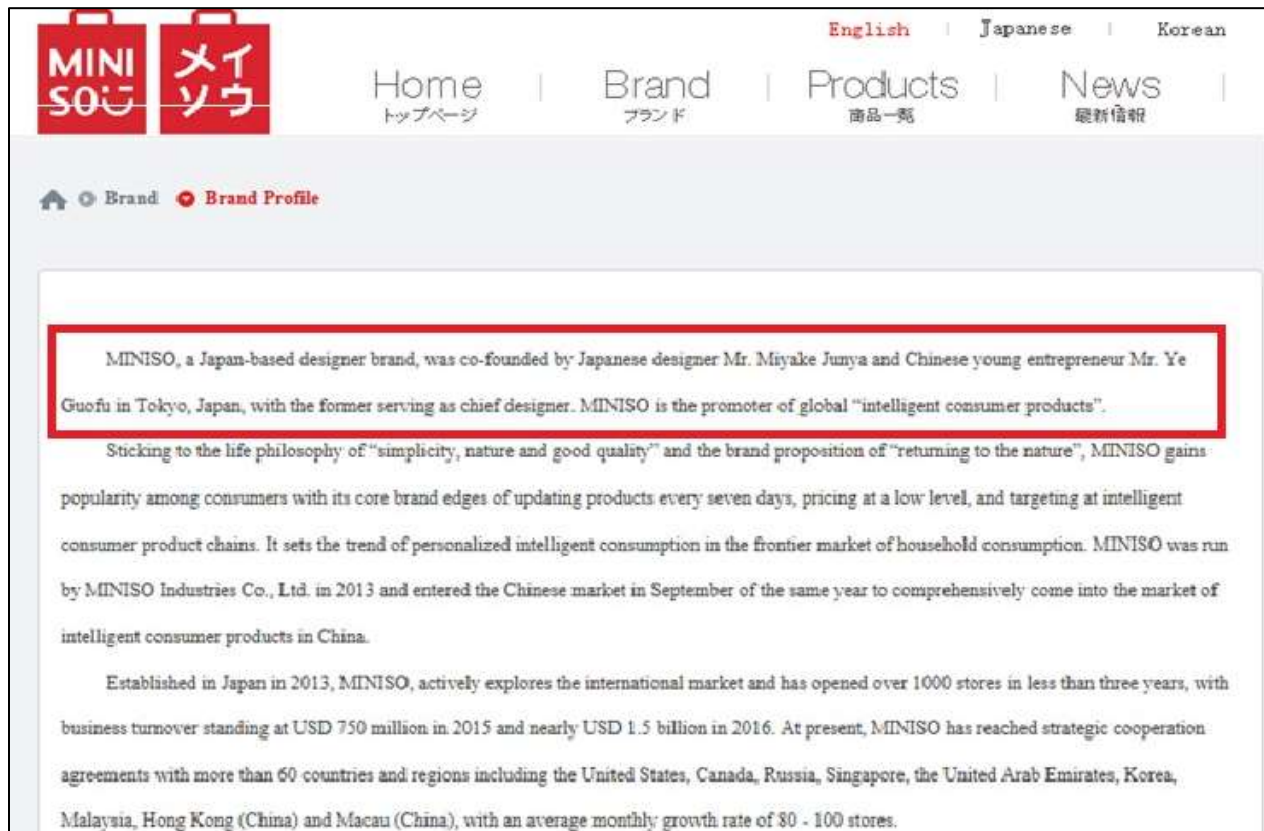
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Home > About AFEI > General Company for Cable Industry Damascus

Quick links	General Company for Cable Industry Damascus Country: Syria Representative:- Telephone: +963(11)2129980 Fax: +963(11)8821491 E-mail: g.o.eng.ind@net.sy Website: www.damacable.com.sy
Board Of Directors	Address: P.O.Box 827, Damascus, Syria Sub sector: Cables
Young Industrialists	
Announcements	The company is of the state owned of the General Organization for Engineering Industries which belongs in its turn to the Ministry of Industry. The company produce and market all kinds of low voltage cable up to (1) K.V. The company apply the following standards SNS - IEC - VDE - in addition to the possibility of producing according to any other International Standards and company for sore items. High quality of products good reputation in local and neighboring markets. Engineers and technicians have distinguished technical experience. the tow company use modern high technology machines and always aims at developing the production lines to follow - up the International development of this Industry. Uses the best raw materials conforming with the International Standards. The company are equipped with modern laboratory instruments for testing the raw materials, semi and final products. Back

Source: <http://arabengineeringindustries.org>

Annex 40: MINISO's profile on its website (top) and its product sold in Pyongyang (bottom)



Source: <http://www.miniso.com/getinfo.php?cid=186&top=1>, accessed on 12 December 20



Source: NK News

Annex 41: Photos of Strategic Cooperation Signing Ceremony between MINISO and the Democratic People's Republic of Korea held on 18 January 2017



[English](#) | [Japanese](#) | [Korean](#) | [Chinese](#) | [Chinese \(簡\)](#)

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MINISO Signed Strategic Cooperation Agreement with North Korea, Fast Fashion Spread in the Korean Peninsula

Source: MINISO Rank: 1017 Date: 2017-01-22

On 18 January, 2017, Japanese fast fashion designer brand MINISO took another step forward, signing strategic cooperation agreement with North Korea after cooperating with Japan, South Korea and Mongolia, developing comprehensively in the East Asia Area. The signing of the agreement is of significant meaning to both North Korea and MINISO, for which both sides attached great importance to the signing ceremony. Mr. Miyake Junya, the global co-founder and chief designer of MINISO, Mr. Ye Guofu, global co-founder and CEO of MINISO, Mr. Li Minxin, the Vice President of MINISO Asian-Pacific together with Mr. Nan Chengyi, the chief delegate of North Korea Economic Cooperation Council China Dandong Office were present at the signing ceremony to witness this special moment.



(Illustration: MINISO signed cooperation agreement with North Korea, developing around the world.)

Source: Panel

Annex 42: Company profile on MINISO's website (Left: English website, Right: Chinese website)



Company profile page accessed on 11 October 2017



Source: Company official website at

<http://www.minisohome.com/getinfo.php?cid=186&top=1> (Company profile in English)

<http://www.miniso.cn/getinfo.php?cid=186&top=1> (Company profile in Chinese)

Annex 43: DPRK Bank representatives subject to expulsion under paragraph 33 of resolution 2321 (2016)

Names /Alias	Title and activities **	Location **	Passport number / Expiry UN Security Council designations where applicable
Jang Bom Su (aka Jang Pom Su, Jang Hyon U) 장범수	Tanchon Commercial Bank (hereafter TCB) Representative. Also operates in and travels to Lebanon under various aliases	Syria	Jang Bom Su: 15 April 1957. Under aka Jang Hyon U: 22 Feb 1958; Dip PP no. 836110034, exp 1 Jan 2020 UN Res 2270 (2016) designated him as “Tanchon Commercial Bank Representative in Syria” on 2 March 2016 (amended 5 Aug. 2017) KPi.016
Jon Myung Guk (a.k.a. Cho’n Myo’ng-kuk, Jon Yong Sang) 전명국	Tanchon Commercial Bank (hereafter TCB) Representative in Syria. Also travels to and operates in Lebanon under various aliases.	Syria	18 October 1976; PP No. 654210108; PP No. 4721202031 (expires 21 February 2017); Jon Yong Sang born 25 Aug. 1976 with dip PP number 836110035, expires 1 January 2020
Ryom Huibong (aka Ryo’M Hu’I-Pong) 려희봉	Representative of Korea Kumgang Group Bank	Dubai, UAE	18 September 1961 PP No.: 745120026 (expires 20 January 2020)
Ri Sun Chol (Aka Ri Song Chol) 리선철	Representative of Korea Kumgang Group Bank Transported money of DPRK laborers in the Middle East to the DPRK	Dubai, UAE	28 March 1964 PP No.: 836132137
Kwak Chongchol (Aka Kwak Jong-Chol) 곽정철	Deputy Representative of Korea Kumgang Group Bank	Dubai, UAE	1 January 1975 PP No.: 563220533
Kim Kyong Il (Aka Kim Kyo’ng-il 김경일	Foreign Trade Bank Representative. The office opened at least 5 accounts at Banque International Arabe Tunisie (BIAT) in Tunisia. Two of them are in the name of a front company, Kartos. Kim Kyong Il has also been involved in transactions undertaken by Daedong Credit Bank in China.	Libya	1 August 1979; PP No. 836210029 Res 2397 (2017) designated him as “FTB deputy chief representative in Libya” on 22 December (KPi.067)

Choe, Un Hyok 최은혁	Unification Development Bank (or Korea Unification Development Bank, UDB or KUDB) representative. Replaced Ri Un'So'ng. Choe Un Hyok's KUDB business card with his title of "Representative of KUDB, Moscow Russia" with the same address as the Embassy in Moscow is available in the Panel's 2017 Final Report, S/2017/150 p. 251. <i>Russia replied it has no information that DPRK citizen Chu Hyo'k [is] acting in Russia on behalf of or on the instructions of any DPRK financial institution. (see below)</i>	Moscow, Russia	19 October 1985 PP No.: 83612287 (expires March 2021)
Chu Hyo'k (Aka Ju Hyok) 주혁	Foreign Trade Bank Representative <i>Russia replied Chu Hyo'k is not currently residing in Russia. (see below)</i>		23 Nov. 1986; PP No. 836420186, issued 28 Oct. 2016 (expires 28 Oct 2021) Res 2397 (2017) designated him as an "overseas FTB Representative" on 22 December (KPi.065)
Ri U'n-so'ng (aka Ri Eun Song; Ri Un Song) 리은성	Korea Unification Development Bank representative <i>Russia replied that Ri U'n-so'ng is not currently residing in Russia. (see below)</i>		DPRK / DOB: 23 July 1969 Res 2397 (2017) designated him as "overseas Korean Unification Development Bank representative" on 22 December (KPi.078)
Ku Ja Hyong (aka Ku Cha-hyo'ng) 구자형	Foreign Trade Bank Representative	Libya (also travelled to Tunisia, UAE, and Saudi Arabia 2015-2017)	8 September 1957; PP No.: 563220533; Another PP No.: 654210218 (expires 27 June 2019 - used in July 2016) Res 2397 (2017) designated him as "FTB chief representative in Libya" on 22 December 2017 (Kpi.070)
Kim Chol Sam (aka Jin Tiesan, 金铁三) 김철삼	Daedong Credit Bank Representative since 2006, and Treasurer for DCB. PoE reporting on activities: S/2017/150, paras 225-230 and		11 March 1971; 645120378 Res 2321 (2016) designated him as "Representative

	S/2017/742, paras 51-56. <i>China replied that he returned to the DPRK on 14 October 2016.</i>		for Korea United Development Bank” on 30 Nov (KPi.035)
Ch’oe So’k-min 최석민	Foreign Trade Bank Representative. In 2016, Ch’oe So’k-min was the deputy representative at the FTB branch office in Shenyang. He has been associated with cash transfers from that FTB office to banks affiliated with DPRK special organizations and RGB located overseas. <i>China replied that he is blocked from entry and that it requested Chinese banks to freeze the assets of designated individuals</i>	Shenyang China	25 July 1978 Res 2397(2017) designated him as “overseas FTB Representative” on 22 December (KPi.064)
Kim Tong Chol (aka: Kim Tong-ch'o'l) 김동철	Foreign Trade Bank Representative <i>China replied that as a designated individual, he has been blocked from entry and Chinese banks requested to freeze his assets</i>	Shenyang, China	28 January 1966; PP No.: 381337404 (expires: 26 September 2016) Res 2397 (2017) designated him as “overseas FTB representative” on 22 December (KPi.068)
Ko Chol Man (aka Ko Ch'o'l-man) 고철만	Foreign Trade Bank Representative <i>China replied that as a designated individual, he has been blocked from entry and Chinese banks requested to freeze his assets</i>	Shenyang, China	30 September 1967; PP No. 472420180 Res 2397 (2017) designated him as “overseas FTB representative” on 22 December (KPi.069)
Mun Kyong Hwan (aka Mun Kyo'ng-hwan) 문경환	Bank of East Land Representative <i>China replied that as a designated individual, he has been blocked from entry and Chinese banks requested to freeze his assets</i>	Dandong, China	22 August 1967; PP No. 381120660 exp. 25 March 2016 Res 2397 (2017) designated him as “overseas Bank of East Land representative” on 22 December (KPi.071)
Pae Won Uk (aka Pae Wo'n-uk) 배원욱	Korea Daesong Bank Representative <i>China replied that as a designated individual, he has been blocked from entry and Chinese banks requested to freeze his assets</i>	Beijing, China	22 August 1969; PP No.: 472120208 exp 22 Feb 2017 Res 2397 (2017) designated him as “overseas Daesong Bank representative” on 22 December (KPi.072)
Pak Bong Nam (aka	Ilsim International Bank representative	Shenyang,	06 May 1969

Lui Wai Ming; Pak Pong Nam; Pak Pong-nam) 박봉남	<i>China replied that as a designated individual, he has been blocked from entry and Chinese banks requested to freeze his assets</i>	China	Res 2397 (2017) designated him as “overseas Ilsim International Bank representative” on 22 December 2017 (KPi.073)
Pak Mun Il 박문일	Korea Daesong Bank Representative <i>China replied that as a designated individual, he has been blocked from entry and Chinese banks requested to freeze his assets</i>	Yanji, China	DPRK / 1 January 1965; PP No.: 563335509 (expires 27/8/2018) Res 2397 (2017) designated him as “overseas official of Korea Daesong Bank” on 22 December 2017 (KPi.079)
Ri Chun Hwan (Aka Ri Ch'un-hwan) 리춘환	Foreign Trade Bank Representative <i>China replied that as a designated individual, he has been blocked from entry and Chinese banks requested to freeze his assets</i>	Zhuhai, China	21 August 1957' PP No: 563233049 (expires 9 May 2018); PP No.: 563233049 (expires 9 May 2018) Res 2397 (2017) designated him as “overseas FTB representative” on 22 December (KPi.074)
Ri Chun Song (Aka Ri Ch'un-so'ng) 리춘성	Foreign Trade Bank Representative. Opened a Euro account at International Arab Bank of Tunisia (BAIT) on 18 July 2012 in the name of “Secretary’s Delegate of the DPRK’s Mission to Tripoli”. Account was closed on 22 August 2013. <i>China replied that as a designated individual, he has been blocked from entry and Chinese banks requested to freeze his assets</i>	Beijing, China	30 October 1965; PP No. 654133553 (expires 11 March 2019) Res 2397 (2017) designated him as “overseas FTB representative” on 22 December (KPi.075)
Ri Song-hyok (Aka Li Cheng He) 리성혁	Representative for Koryo Bank and Koryo Credit Development Bank. Reportedly established front companies to procure items and conduct financial transactions on behalf of DPRK <i>China replied that as a designated individual, he has been blocked from entry and Chinese banks requested to freeze his assets</i>	Beijing, China	19 March 1965 PP No. 654234735 (expires 19 May 2019) Res 2397 (2017) designated him as “overseas representative for Koryo Bank and Koryo Credit Development Bank” on 22 December (KPi.077)
Pang Su Nam (Aka Pang	Ilsim (ILSIM) International Bank	Zhuhai,	1 October 1964; PP No.: 472110138

So-Nam, Pang Sunam) 방수남	Representative <i>China replied that he is not designated by the UN and that it does not have specific information on his relationship with DPRK financial institutions</i>	China	
Cha Sung Jun (Aka Ch'a Su'ng-chun) 차승준	Korea Kumgang Group Bank Representative. Has held several accounts in his name at Chinese banks and is suspected of operating a cover company. <i>China replied that he is not designated by the UN and that it does not have specific information on his relationship with DPRK financial institutions</i>	Beijing, China	4 June 1966; PP No.: 472434355
Kim Kyong Hyok (Aka Kim Kyo'ng-hyo'k) 김경혁	Representative, Cheil Credit Bank / First Credit Bank <i>China replied that he is not designated by the UN and that it does not have specific information on his relationship with DPRK financial institutions</i>	Shanghai, China	5 November 1985; PP No.: 381335989 (expires 14 September 2016)
Pak Ch'O'l-Nam 박철남	Representative, Cheil Credit Bank / First Credit Ban. Opened 6 bank accounts in the name "Great Prince Limited (崇王有限公司)" in banks in Hong Kong and Shenzhen, China" <i>China replied that he is not designated by the UN and that it does not have specific information on his relationship with DPRK financial institutions</i>	Beijing, China	16 June 1971 PP No.: 745420413 (expires 19 November 2020)
Jo Chol Song (Aka Cho Ch'o'l-So'ng) 조철성	Deputy Representative for the Korea Kwangson Banking Corporation (KKBC) Uses false entity names for the KKBC, such as	Dandong, China	25 September 1984 PP: 654320502 (expires 16 September 2019)

	“Good Field Trading Limited (城豐貿易有限公司)” and “Golden Tiger Investment Group (金虎(香港)國際投資集團有限公司)”, both registered in Hong Kong. <i>China replied that as a designated individual, he has been blocked from entry and Chinese banks requested to freeze his assets</i>		Res 2371(2017) designated him as “Representative for Korea United Development Bank” on 5 Aug (KPi.058)
Ho Young Il (Aka Ho' Yo'ng-il) 허영일	Hana Bank Representative In 2016, Ho Young Il was associated with a high volume of USD transactions for the FTB.	Dandong China	DPRK/ DOB: 9 September 1968
Kim Mun Chol (Aka Kim Mun-ch'o'l) 김문철	Representative for Korea United Development Bank. Uses false entity names including “Chongryu Technical Company” or “Kyong Un Trading Company” <i>China replied that as a designated individual, he has been blocked from entry and Chinese banks requested to freeze his assets</i>	Dandong, China	25 March 1957 Res 2371(2017) designated him as “Representative for Korea United Development Bank” on 5 Aug (KPi.060)
Choe Chun Yong (Aka Ch'oe Ch'un-yo'ng)	Ilsim International Bank Representative		PP no: 654410078 Res 2371(2017) designated him as “Representative for Ilsim International Bank” on 5 Aug (KPi.054)
Ko Tae Hun (Aka Kim Myong Gi)	Tanchon Commercial Bank Representative	Transited China, Ethiopia, UAE, visited Sudan ⁴	25 May 1972; PP 563120630 (expires 20 March 2018) UN Res 2270 (2016) designated him as “Tanchon Commercial Bank (TCB) official” on 2 March (KPi.025)
Kang Min 강민	Daesong Bank representative who, in late 2016, held Chinese bank accounts.	Beijing, China	07 May 1980; PP 563132918 (expires 04 February 2018)

⁴ See S/2017/150, p. 64

	<i>China replied that he is not designated by the UN and that it does not have specific information on his relationship with DPRK financial institutions</i>		
Kim Sang Ho 김상호	Representative, Korea Daesong Bank As of 2015, Kim Sangho was an Office 39 official posted as a Korea Daesong Trading Company representative in Yanji, China. <i>China replied that he is not designated by the UN and that it does not have specific information on his relationship with DPRK financial institutions</i>	Yanji, China	16 May 1957 PP No.: 563337601 (expires: 26 September 2018)
Kim Jong Man (Aka Kim Cho'ng Man) 김정만	Representative, Korea Unification Development Bank. In 2015, he was an Office 39 official posted to Hong Kong. <i>China replied that he is not designated by the UN and that it does not have specific information on his relationship with DPRK financial institutions</i>	Zhuhai, China	16 July 1956; PP No.: 918320780
Kim Hyok Chol (Aka Kim Hyo'k-Cho'l, Hyok Chol Kim) 김혁철	Deputy Representative, Korea Unification Development Bank <i>China replied that he is not designated by the UN and that it does not have specific information on his relationship with DPRK financial institutions</i>	Zhuhai, China	9 July 1978; PP No.: 472235761 (expires 6 June 2017)
Ri Song-Hyok 리성혁	Koryo Bank Representative, He has reportedly established several front companies in order to procure items and conduct financial transactions on behalf of DPRK.	Beijing, China	19 March 1965; PP No.: 654234735 (expires 19 May 2019)

	<i>China replied that he is not designated by the UN and that it does not have specific information on his relationship with DPRK financial institutions</i>		
Ri Ho Nam (aka Ri Ho-nam) 리호남	Ryugyong Commercial Bank branch representative (2014 to present) <i>China replied that he is not designated by the UN and that it does not have specific information on his relationship with DPRK financial institutions</i>	Beijing, China	DOB: 3 January 1967; PP No.: 654120210 (expires 21 February 2019)
Pak Ch'O'l-Nam 박철남	Representative, Cheil Credit Bank / First Credit Ban. Opened 6 bank accounts using the name “Great Prince Limited (崇王有限公司)” in banks in Hong Kong and Shenzhen, China <i>China replied that he is not designated by the UN and that it does not have specific information on his relationship with DPRK financial institutions</i>	Beijing, China	16 June 1971; PP No.: 745420413 (expires 19 November 2020)
Ms. Kim Su Gyong 김수경	Korea United Development Bank (KUDB) Representative. Since 2011 made multiple trips around Europe, especially in France and Italy, with the assistance of her father, Kim Yong Nam, and brother, Kim Su-Gwang, RGB agents who used their status as staff members of international organizations to help her obtain visas. Kim Su-Gwang (Kim Sou Kwang) recently departed Belarus. See: S/2017/742 para	Europe, also transited UAE and the Russian Federation ⁵	16 January 1973; PP 745120374

⁵ The Russian Federation informed the Panel that unilateral sanctions were “not an argument for suspicion of unlawful activities on Russian territory”.

	50 and S/2016/15, para 187.		
Mun Cho'ng-Ch'o'l 문정철	Tanchon Commercial Bank Representative. Has facilitated transactions for TCB.		Res 2094 (2013) designated him as “Tanchon Commercial Bank (TCB) official” on 7 March (KPi.012)
HAN, Jang Su HAN, Chang-su	Foreign Trade Bank Chief Representative		DOB 08 Nov 1969; PP No. 745420176

**Based on Member States information or UN documents

Sources: Information provided to the Panel by Member States and UN documents

Member State replies to Panel inquiries on entry/exit data of the above-mentioned individuals and any measures taken to expel them in accordance with the resolutions:

Russia letter to the Panel of 23 January 2018:

The Russian Federation has no information that DPRK citizens Chu Hyo'k, Choe Un Hyok, Ji Sang Jun and Ri U'n So'ng are acting in Russia on behalf of or on the instructions of any DPRK financial institution. Chu Hyo'k, Ji Sang Jun and Ri U'n-So'ng are not currently residing in Russia. We will inform you accordingly in case we receive additional information on the whereabouts of Choe Un Hyok”.

Reply by China to the Panel of 25 January 2018:

“China seriously checked the list provided by the Panel. The 12 DPRK individuals KIM TONG CHOL in the list are designated individuals by the Security Council. After the relevant individuals were designated in the Security Council list, the Chinese competent authorities immediately listed them as the persons not allowed to enter China, and forbade their entry into China or transit through China for a third country. The Chinese competent authorities further requested Chinese banks and financial institutions to immediately freeze the assets of designated individuals and not to provide any fund, financial asset or economic resource to designated individuals. The relevant measures have been strictly implemented.

The other 10 individuals including HO YOUNG IL in the list are not the individuals designated by the Security Council. China does not have specific information about their relationship with the DPRK financial institutions or entities designated by the Security Council resolutions. If the Panel obtains solid evidence in this regard, it can be provided to China”.

Annex 44 Information on DPRK financial institutions with overseas representatives
(To assist in the identification of bank representatives)

Names, alias, Korean and Chinese spelling	HQ address / phone / fax/ SWIFT	Designations and information provided to Panel by Member States and United Nations resolutions
Foreign Trade Bank (FTB) 조선무역은행 朝鲜贸易银行 aka: Mooyokbank , Korea Trade Bank, Mooyokbank,	FTB Building, Jungsong dong, Central District, Pyongyang Tel: +850 2 18111 Fax: +850 2 3814467 SWIFT/BIC FTBD KP PY	Res 2371(2017) on 5 Aug (KPe.047) State-owned bank which acts as the DPRK's primary foreign exchange bank and has provided key financial support to the Korea Kwangson Banking Corporation.
Koryo Bank 고려은행 高丽银行	Koryo Bank Building, Pyongyang, Democratic People's Republic of Korea	Res 2356 (2017) on 2 June 2017 (KPe.045) Associated with Office 38 and Office 39 of the KWP. Operated by Korea Myohyang Economic Group; joint venture partner in Koryo-Global Bank.
Koryo Credit Development Bank / Daesong Credit Development Bank [JV] (Aka. Koryo-Global Credit Bank, Koryo Global Trust Bank) 고려신용개발은행 대성신용개발은행 (aka 고려글로벌신용은행)	Yanggakdo International Hotel, Pyongyang Te: +850 2 381 4100 Fax: +850 2 341 4013	Res 2371(2017) on 5 August (KPe.049) Joint venture with Koryo Bank
Korea Daesong Bank 대성은행 / 조선 대성은행 大成银行 aka: Choson Taesong Unhaeng , Daesong Bank, Taesong Bank	Segori-dong, Gyongheung Street, Pyongyang +850 2 818221; Fax +850 2 814576 SWIFT/BIC: KDBKKPPY	Res 2321 (2016) on 30 November (KPe.035) Owned and controlled by Office 39 of the Korea Workers' Party.

Korea Kwangson Banking Corporation 조선광선은행 朝鲜光鲜银行, Korea Kwangson Finance Company	Jungsong-dong, Sungri Street, Central District, Pyongyang	Res 2370 (2016) on 2 March 2016 Provides financial services in support to Tanchon Commercial Bank and Korea Hyoksin Trading Corporation, a subordinate of the Korea Ryonbong General Corporation. Tanchon has used KKBC to facilitate funds transfers likely amounting to millions of dollars, including transfers involving KOMID-related funds. For more info see PoE report S/2017/150, p. 63.
Ryugyong Commerical Bank (RCB) 류경상업은행/류상은행 Ryusang Bank, 柳京商业银行, 柳商银行	Changgwang Hotel, 5th Floor; Beijing, China; Dandong, China	Two ATMs at Pyongyang Airport and one in the lobby of Changgwang Inn. <i>Ryugyong Commercial Bank ATM lists an address in the Changgwang Foreign House, Suite #05-24</i> Joint Venture with OCN Pyongyang Office and Koryo Commerical Bank
Korea Unification (United) Development Bank (조선) 통일발전은행 (朝鲜)统一发展银行 aka: Myohyangsan Bank, Unification Development Bank, T'ongil Palchon Bank, Korea Tongil Paljon Bank, Korea Reunification Development Bank	KUDB Building, Pyongyang SWIFT/BIC: KUDBKPPY	Res 2321 (2016) on 30 November 2016 (KPe.033) USA on 16 March 2016 UN POE report info: /S/2017/150, p 62.
Hana Banking Corporation 하나은행 aka Korea Kumsong Bank, Kumsong Bank, Single-Minded International Bank,	ISB Building, Pyongyang; Haebangsan Hotel, Jungsong-Dong, Sungri Street, Central District, Pyongyang, Dandong, China SWIFT/BIC BRBKKPPIXXX	Partial Ownership by Central Bank. Overseas several Bank Card product lines for domestic use
Ilsim International Bank 일심국제은행	Pyongyang, Democratic People's Republic of Korea	Res 2321 (2016) on 30 November (KPe.034) Affiliated with the DPRK military and has close relationship with Korea

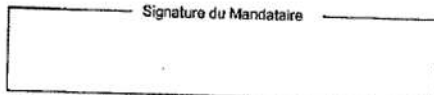
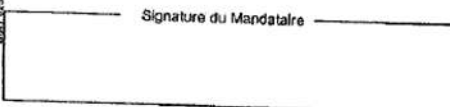
日心国际银行	SWIFT: ILSIKPPY	Kwangson Banking Corporation (KKBC) and has attempted to evade United Nations sanctions.
First Credit Bank. (JV) or Cheil Credit Bank 제일신용은행 第一信用銀行 aka: First Trust Bank Corporation, Jeil Credit Bank, Kyongyong Credit Bank	a) 3-18 Pyongyang Information Center, Potonggang District (as of 2016). b) i Rakrang District, Jongbaek 1-dong Tel: +850 2 433-1575 (02-433-1575) SWIFT: KYCBKPPYXXX Rakrang Tel: 961-3331, 961-0003	Belongs to Workers Party of Korea. It was established in 2008 as JV venture with Singapore's Miracle Commerce Pte. Ltd., and its CEO William Toh (aka Toh Hwee Howe) who has been involved in trade with the DPRK using his other two companies, I-Tech Intelligence Resources and Sinsar Trading Ltd.
Koryo Commercial Bank 고려상업은행 高麗商業銀行 aka Korea Commercial Bank	KCB Building, Taedonggang District, Pyongyang; ; Beijing, China; Shenyang, China; SWIFT/BIC KCBKKPP1	Joint Venture with OCN and Ryugyong Commerical Bank
Tanchon Commercial Bank 단천상업은행 端川商業銀行 AKA: Changgwang Credit Bank, (창광신용은행) Korea Changgwang Credit Bank (조선창광신용은행); Yongaksan Bank (용악산은행), Lyongaksan Bank (룡악산은행)	Saemul 1-Dong Pyongchon District, Pyongyang	Designated by UN on 24 Apr. 2009 (KPe.003) Main DPRK financial entity for sales of conventional arms, ballistic missiles, and goods related to the assembly and manufacture of such weapons. Under Second Economic Committee; financial arm of KOMID.
Bank of East Land 동방은행 aka: Dongbang Bank, Tongbang U'Nhaeng, Tongbang Bank, Haedong Bank (해동은행)	BEL Building, Jonsung-Dong, Pyongyang Tel: +850 2 18111 Fax: +850 2 3814410	Res 2087 (2013) on 22 January 2013 (KPe.013) Info in UN Panel reports: S/2017/150; pp 76-77 and S/2017/742, para 61. Facilitates weapons-related transactions for, and other support to, arms manufacturer and exporter Green Pine Associated Corporation. Has

		actively worked with Green Pine to transfer funds in a manner that circumvents sanctions.
Korea United Development Bank (KUDB) 조선통일발전은행 (朝鮮) 统一发展银行 aka: Myohyangsan Bank, Unification Development Bank, T'ongil Palchon Bank, Korea Tongil Paljon Bank, Korea Reunification Development Bank	KUDB Building, Pyongyang SWIFT/BIC: KUDBKPPY	Res 2321 (2016) on 30 November (KPe.033) Information in UN POE report: S/2017/742, p. 22
Korea Kumgang Group Bank / Kumgang Bank (조선) 금강은행 金刚银行 aka: Kumgang Export and Import Bank	Kumgang Bank Building, Central District, Pyongyang	Associated with Korea Ponghwa General Corporation (under External Economic Committee of the Cabinet) and Korea Pyongyang Trading Company
Daedong Credit Bank 대동신용은행 大同信用银行 Aka Taedong Credit Bank, Dae-Dong Credit Bank, DCB Finance Ltd, Perigrine-Daesong Development Bank	Suite 401, Potonggang Hotel, Ansan-Dong, Pyongchon District, Pyongyang, (b) Ansan-dong, Botonggang Hotel, Pongchon, Pyongyang, +850 2 3814866 SWIFT: DCBK KPPY	Res 2270 (2016) on 2 March 2016 (KPe.023) Representative offices and front companies in China according to Panel: S/2017/150, paras 225-230 and S/2017/742, paras 51-56. Clients include: T Specialist International (Singapore) Ltd, OCN (Singapore) International Distribution Ptd Ltd; Pan Systems; Dalian Daxin Electron Co Ltd, Hongdae International, Yueda International Trading Co, Hing Heng, Korea Sinheung Trading Co, Hana Electronics.

Tanchon Commercial Bank 단천상업은행 端川商业银行 AKA: Changgwang Credit Bank, (창광신용은행) Korea Changgwang Credit Bank (조선창광신용은행); Yongaksan Bank (용악산은행), Lyongaksan Bank (룡악산은행)	Saemul 1-Dong Pyongchon District, Pyongyang	Designated by UN on 24 Apr. 2009 (KPe.003) Main DPRK financial entity for sales of conventional arms, ballistic missiles, and goods related to the assembly and manufacture of such weapons. Under Second Economic Committee; financial arm of KOMID.
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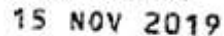
Sources: Information provided to the Panel by Member States, United Nations resolutions, “The List established and maintained pursuant to Security Council res. 1718 (2006), UN Panel of Experts reports

Annex 45: Jin Huixing (金辉星) and Ji Honghua (吉红花) bank account opening documents showing address as DPRK Embassy Tripoli as well as Chinese passports

DEMANDE D'OUVERTURE DE COMPTE			
N° du Compte: 3351024622		Devise: EUR	
Nom/Prénom ou R.Sociale: Mr JIN HUIXING		Code client: 630349	
Point de vente: AGENCE DJERBA HOUMT ESSOUK (33)		Sexe: M	
Date de naissance: 07/12/1986 à		Forme juridique: PERSONNE PHYSIQUE ETRANGERE	
Date de constitution:		Fonction: Employés de bureau	
Nationalité: CN		Délivré le	
Secteur d'activité: Employés administratifs		Lieu	
Document d'identité	Numéro	16/11/2009	CHINA
PASSEPORT	G38783026		
Autorisation BCT:		Date Autorisation BCT:	
Adresse: EMBASSY OF DEMOCRATIC KOREA TRIPOLI LIBYA			
Code PTT: 9999 ADRESSE A L'ETRANGER			
Adresse e-mail: wilsonkim@126.com			
N° Téléphone Fixe: 00862423415700		N° GSM: 008613464016209	
Code Marché/Segment: 16			
Option de signature: Séparée			
Code client: 630349		Code mandataire:	
Nom et Prénom: Mr JIN HUIXING		Nom et Prénom:	
Date et lieu de naissance: 07/12/1986 -		Date et lieu de naissance:	
Identité: PASSEPORT-G38783026 du 16/11/2009-CHINA		Identité:	
Adresse: EMBASSY OF DEMOCRATIC KOREA TRIPOLI LIBYA		Adresse:	
9999 ADRESSE A L'ETRANGER			
Signature du Titulaire		Signature du Mandataire	
			
Code mandataire:		Code mandataire:	
Nom et Prénom:		Nom et Prénom:	
Date et lieu de naissance:		Date et lieu de naissance:	
Identité:		Identité:	
Adresse:		Adresse:	
Signature du Mandataire		Signature du Mandataire	
			

The Ministry of Foreign Affairs of the People's Republic of China requests all civil and military authorities of foreign countries to allow the bearer of this passport to pass freely and afford assistance in case of need.

G38783026



46705179

[illegible]

DEMANDE D'OUVERTURE DE COMPTE

N° du Compte: 3351024630

Devise: USD

Nom/Prénom

ou R.Sociale : Mme JI HONGHUA

Code client : 630380

Point de vente: AGENCE DJERBA HOUMT ESSOUK (33)

Date de naissance : 15/04/1968 à

Sexe: FEMALE

Date de constitution :

Nationalité : CN

Forme juridique : PERSONNE PHYSIQUE ETRANGERE

Secteur d'activité : Employés administratifs

Fonction : Autres cadres supérieurs

Document d'identité

Numéro

Délivré le

Lieu

PASSEPORT

G48607033

19/01/2011

CHINA

Autorisation BCT :

Date Autorisation BCT :

Adresse : EMBASSY OF DEMOCRATIC KOREA TRIPOLI LIBYA

Code PTT: 9999 ADRESSE A L'ETRANGER

Adresse e-mail : wilsonkim@126.com

N° Téléphone Fixe: 00862423415700

N° GSM:

008613464016209

Code Marché/Segment : 16

Option de signature : Séparée

Code client : 630380

Code mandataire :

Nom et Prénom : Mme JI HONGHUA

Nom et Prénom :

Date et lieu de naissance : 15/04/1968 -

Date et lieu de naissance :

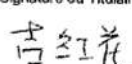
Identité : PASSEPORT-G48607033 du 19/01/2011-CHINA

Identité :

Adresse : EMBASSY OF DEMOCRATIC KOREA TRIPOLI LIBYA
9999 ADRESSE A L'ETRANGER

Adresse :

Signature du Titulaire



Signature du Mandataire



Code mandataire :

Code mandataire :

Nom et Prénom :

Nom et Prénom :

Date et lieu de naissance :

Date et lieu de naissance :

Identité :

Identité :

Adresse :

Adresse :

Signature du Mandataire



Signature du Mandataire



BAY 023

33.5

护照
PASSPORT

國家碼 / Country Code
CHN

护照号 / Passport No.
G48607033



吉 / J-I
名 / Given name

红花/HONGHUA

拉姆·Sca

女/F.

臨生日期 / Date of birth

15 APR 1968

签发日期 / Date of Issue

19 JAN 2011

签发机关 / Authority

優先地點 / Place of priority

辽宁/LIAONING

裝設地點 / Place of house

辽宁/LIAONING

有效期 / Date of expiry

18 JAN 2021

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公安部出入境管理局

Exit & Entry Administration
Ministry of Public Security

POCHNJI<<HONGHUA<<<<<<<<<<<<<<<<<<<<<<<<<<<<
G486070333CHN6804152F210118519202101<<<<<<62

Annex 46: Kim Su Gwang biodata and supplemental information

Name:	Kim Su Gwang
AKA	Kim Sou-gwang, Son-kwang KIM, KIM Son-gwang, KIM Su-kwang, KIM Sou Kwang
DOB:	18 August 1976
Passport #	DPRK passport number 918220369, issued on 13 May 2008, expired on 13 May 2013; LP # A549083 exp15 Feb 2011. In possession of several forged passports.
Affiliations and activities:	Officer of the Reconnaissance General Bureau with strong skills in IT, encryption and communications. Deputy Trade Representative, Minsk, Belarus from 24 September to 16 December 2017. Former employee of an international organization Son of RGB Official Kim Yong Nam, who also the cover of a position as international civil servant to carry out activities in support of RGB itinerant officers working undercover in Europe and worldwide. Establishes bank accounts in the name of his wife, Kim Kyong Hui
Address:	Address no 1: 84 Viale della Grande Muraglia, 00144 Rome, Italy Address 2: Via C.G. Viola 68, Rome, 00148, Italy
Telephone:	Work: 00390665131 Cell: 00393406777671

Supplemental information on Kim Su Gwang and his father, Kim Yong Nam's, educational and professional activities

According to information provided to the Panel, Mr. Kim Su Gwang served as an IT officer for an international organization where he engaged in systems networking, network design and programming, server and operating systems engineering, telecommunications, and systems networking. He was hired to the headquarters of the international organization from Paris, where he received his Master's Degree in Telecommunications from the Ecole Nationale Supérieure de Telecommunications de Paris (ENST) and another Master's Degree in Information Systems from the Institut Supérieur d'électronique de Paris (ISEP). His projects at these universities included: "laser technology in the military area"; "impact of cosmic ray on the earth and or/ of radio activities on Very High Integrated Components" and "Optimal Reception Algorithms for Digital Audio Communications." Kim Su Gwang previously worked in Paris at the Manugistics as a systems engineer undertaking software development. He regularly travelled to Paris both in the framework of his work and also as personal deviations from work trips made to London.

At his work, Mr. Kim Su Gwang was given positions with significant responsibility for the organization's information systems and resources. He served as Team Leader of Technical Infrastructure for the global information system used to track all the organization's activity worldwide, from planning projects and tracking food aid shipments to managing finances and paying staff salaries. In the Haiti Country Office of the organization at which he worked, he managed a multi-million ICT budget for the 2010 post-earthquake recovery effort involving 6 sub offices for which he also engaged in assets management.

With regard to Kim Su Gwang's father, Mr. Kim Yong Nam, before taking up his position at another international organization, he received his diploma as an electronics engineer and served as the Head of the Computer Department at Kim Chaek University of Technology in Pyongyang, where he designed a "Duplex Computer System" for the DPRK's Foreign Trade Bank, designed and constructed a minicomputer Central Processing Unit. He also led research teams and lectured in computer programming, computer systems, computer architecture, and microcomputer design. Before taking up his position at UNESCO in Paris, Mr. Kim Yong Nam also spent three years at the Joint Institute for Nuclear Research (JINR) in Dubna, Russian Federation, as part of a team developing a computer-based Data Processing System for the data of nuclear reactors. While at UNESCO, Kim implemented various IT projects including the establishment of a Computer Center for Training and Telecommunications services in Azerbaijan, a "Regional Academy of Advanced Network Administration and Design" in Kiev; a "Regional Academy for Computer-assisted Teaching and Learning" in Ukraine; a "Technological University of Tajikistan Computer Center for Training and Informatics Skill Development"; a "Computer Center for Training and Business Services" in Azerbaijan; a project entitled, "Advanced Information Technology Development in partners with Kiev Taras Shevchenko University in Ukraine; and "Advanced ICT Training sessions" in the Republic of Korea.

Source: The Panel

**Annex 47: Passports of Kim Su Gwang (in name of Kim Sou Kwang)
(aka Kim Sou-gwang, Son-kwang KIM, KIM Son-gwang, KIM Su-kwang)**

조선민주주의인민공화국 려권 (공무여행용)

No. 7 190232524



이름 김 수 광
Name in full Kim Sou Kwang
년 월 일 1976 년 8 월 18 일 생년월일
Date of birth Aug. 18, 1976 Sex M
유증기간 5 (호) 년
Validity of the passport 5 years
발급일자 주체 89 (2000) 년 6 월 15 일
Issued on Jun. 15 Juche 89 (2000)

외무상의 위임에 의하여
Authorization of the
Foreign Affairs

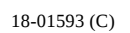


이 려권의 유효기간을 2007년 6월 15일
까지 연장함.
The validity of this passport is
extended to June 15, 2007 (2007)



3

Source: The Panel



Source: The Panel

Annex 48: Copies of Ministry of Foreign Affairs of Italy Identity Cards for Kim Su Gwang (in name of Kim Sou Kwang), his wife Kim Kyong Hui



Source: The Panel

Annex 49: Corporate registration documents for OCN (Singapore) Pte Ltd and T Specialist International (Singapore) showing same address and Director, Ng Kheng Wah ("Leo")

1. OCN (Singapore) Pte Ltd Registration

ACCOUNTING AND CORPORATE REGULATORY AUTHORITY
(ACRA)



INFORMATION RESOURCES

WHILST EVERY ENDEAVOR IS MADE TO ENSURE THAT INFORMATION PROVIDED IS UPDATED AND CORRECT. THE AUTHORITY DISCLAIMS ANY LIABILITY FOR ANY DAMAGE OR LOSS THAT MAY BE CAUSED AS A RESULT OF ANY ERROR OR OMISSION.

Business Profile (Company) of OCN (SINGAPORE) PTE LTD (198803322G)

Date: 03/02/2017

The Following Are The Brief Particulars of :

Registration No.	:	198803322G
Company Name.	:	OCN (SINGAPORE) PTE LTD
Former Name If any	:	
Incorporation Date.	:	15/09/1988
Company Type	:	EXEMPT PRIVATE COMPANY LIMITED BY SHARES
Status	:	Live Company
Status Date	:	15/09/1988

Principal Activities

Activities (I)	:	OTHER HOLDING COMPANIES (64202)
Description	:	
Activities (II)	:	GENERAL WHOLESALE TRADE (INCLUDING GENERAL IMPORTERS AND EXPORTERS) (46900)
Description	:	

Capital

Issued Share Capital (AMOUNT)	Number of Shares *	Currency	Share Type
1200000	1200000	SINGAPORE, DOLLARS	ORDINARY

* Number of Shares includes number of Treasury Shares

Paid-Up Capital (AMOUNT)	Number of Shares	Currency	Share Type
1200000		SINGAPORE, DOLLARS	ORDINARY

COMPANY HAS THE FOLLOWING ORDINARY SHARES HELD AS TREASURY SHARES

Number Of Shares	Currency
------------------	----------

INFORMATION RESOURCES

WHILST EVERY ENDEAVOR IS MADE TO ENSURE THAT INFORMATION PROVIDED IS UPDATED AND CORRECT. THE AUTHORITY DISCLAIMS ANY LIABILITY FOR ANY DAMAGE OR LOSS THAT MAY BE CAUSED AS A RESULT OF ANY ERROR OR OMISSION.

Business Profile (Company) of OCN (SINGAPORE) PTE LTD (198803322G)

Date: 03/02/2017

Registered Office Address	:	381 JOO CHIAT ROAD #04-00 OCN BUILDING SINGAPORE (427621)
Date of Address	:	18/01/2011
Date of Last AGM	:	30/06/2016
Date of Last AR	:	08/07/2016
Date of A/C Laid at Last AGM	:	31/12/2015
Date of Lodgment of AR, A/C	:	08/07/2016

Audit Firms

NAME

FIDES PAC

Charges

Charge No.	Date Registered	Currency	Amount Secured	Chargee(s)
------------	-----------------	----------	----------------	------------

Officers/Authorised Representative(s)

Name	ID	Nationality	Source of Address	Date of Appointment
Address		Position Held		
NG KHENG WAH	S1531876G	SINGAPORE CITIZEN	OSCARS	23/08/1990
30 OLIVE ROAD CALDECOTT HILL ESTATE SINGAPORE (298267)		Director		
NG KHENG ING	S1433838A	SINGAPORE CITIZEN	OSCARS	06/03/2008
36 KEW HEIGHTS SINGAPORE (465979)		Director		
KO FU HENG	S8008313J	SINGAPORE CITIZEN	ACRA	01/08/2016
451 YISHUN RING ROAD #05-124 JADE SPRING @ YISHUN SINGAPORE (760451)		Secretary		

Shareholder(s)

Name	ID	Nationality/Place of incorporation/Origin	Source of Address	Address Changed
Address				

INFORMATION RESOURCES

WHILST EVERY ENDEAVOR IS MADE TO ENSURE THAT INFORMATION PROVIDED IS UPDATED AND CORRECT. THE AUTHORITY DISCLAIMS ANY LIABILITY FOR ANY DAMAGE OR LOSS THAT MAY BE CAUSED AS A RESULT OF ANY ERROR OR OMISSION.

Business Profile (Company) of OCN (SINGAPORE) PTE LTD (198803322G)

Date: 03/02/2017

Shareholder(s)					
Name		ID	Nationality/Place of Incorporation/Origin	Source of Address	Address Changed
Address					
1	NG SWEE HONG (DECEASED)	S0718906J	SINGAPORE CITIZEN	OSCARS	11/06/2007
	46 JALAN AMPANG SINGAPORE (268632)				
	Ordinary(Number)	Currency			
	1	SINGAPORE, DOLLARS			
2	NG KHENG ING	S1433838A	SINGAPORE CITIZEN	OSCARS	16/03/2008
	36 KEW HEIGHTS SINGAPORE (465979)				
	Ordinary(Number)	Currency			
	1139999	SINGAPORE, DOLLARS			
3	NG KHENG WAH	S1531876G	SINGAPORE CITIZEN	OSCARS	17/05/2009
	30 OLIVE ROAD CALDECOTT HILL ESTATE SINGAPORE (298267)				
	Ordinary(Number)	Currency			
	60000	SINGAPORE, DOLLARS			

2. T Specialist International (S) Ptd Ltd Corporate Registration

ACCOUNTING AND CORPORATE REGULATORY AUTHORITY
(ACRA)



INFORMATION RESOURCES

WHILST EVERY ENDEAVOR IS MADE TO ENSURE THAT INFORMATION PROVIDED IS UPDATED AND CORRECT. THE AUTHORITY DISCLAIMS ANY LIABILITY FOR ANY DAMAGE OR LOSS THAT MAY BE CAUSED AS A RESULT OF ANY ERROR OR OMISSION.

Business Profile (Company) of T SPECIALIST INTERNATIONAL (S) PTE LTD (199705960W)

Date: 10/03/2017

The Following Are The Brief Particulars of :

Registration No.	:	199705960W
Company Name.	:	T SPECIALIST INTERNATIONAL (S) PTE LTD (w.e.f.28/10/1998)
Former Name If any	:	TILE SPECIALIST INTERNATIONAL (SINGAPORE) PTE LTD
Incorporation Date.	:	27/08/1997
Company Type	:	PRIVATE COMPANY LIMITED BY SHARES
Status	:	Live Company
Status Date	:	27/08/1997

Principal Activities

Activities (I)	:	GENERAL WHOLESALE TRADE (INCLUDING GENERAL IMPORTERS AND EXPORTERS) (46900)
Description	:	
Activities (II)	:	OTHER BUSINESS SUPPORT SERVICE ACTIVITIES (EG JUNKETS, ADMINISTRATION OF LOYALTY PROGRAMMES) (82999)
Description	:	

Capital

Issued Share Capital (AMOUNT)	Number of Shares *	Currency	Share Type
6080002	6080002	SINGAPORE, DOLLARS	ORDINARY

* Number of Shares includes number of Treasury Shares

Paid-Up Capital (AMOUNT)	Number of Shares	Currency	Share Type
6080002		SINGAPORE, DOLLARS	ORDINARY

COMPANY HAS THE FOLLOWING ORDINARY SHARES HELD AS TREASURY SHARES

Number Of Shares	Currency
------------------	----------

WHILST EVERY ENDEAVOR IS MADE TO ENSURE THAT INFORMATION PROVIDED IS UPDATED AND CORRECT. THE AUTHORITY DISCLAIMS ANY LIABILITY FOR ANY DAMAGE OR LOSS THAT MAY BE CAUSED AS A RESULT OF ANY ERROR OR OMISSION.

**Business Profile (Company) of T SPECIALIST INTERNATIONAL (S) PTE LTD
(199705960W)**

Date: 10/03/2017

Registered Office Address	:	381 JOO CHIAT ROAD #04-00 LAGUN SARI BUILDING SINGAPORE (427621)
Date of Address	:	19/10/2001
Date of Last AGM	:	30/06/2016
Date of Last AR	:	08/07/2016
Date of A/C Laid at Last AGM	:	31/12/2015
Date of Lodgment of AR, A/C	:	08/07/2016

Audit Firms

NAME

MY PARTNERSHIP

Charges

Charge No.	Date Registered	Currency	Amount Secured	Chargee(s)
C201402922	20/03/2014		All Monies	RHB BANK BERHAD
C201410526	26/09/2014		All Monies	CIMB BANK BERHAD
C201611654	17/11/2016		All Monies	MALAYAN BANKING BERHAD
C201611655	17/11/2016		All Monies	MALAYAN BANKING BERHAD

Officers/Authorised Representative(s)

Name	ID	Nationality	Source of Address	Date of Appointment
Address		Position Held		
NG KHENG WAH	S1531876G	SINGAPORE CITIZEN	OSCARS	27/08/1997
30 OLIVE ROAD CALDECOTT HILL ESTATE SINGAPORE (298267)		Director		
CHEW NG SEW	S0194238G	SINGAPORE CITIZEN	OSCARS	27/08/1997
15 LEONIE HILL ROAD #07-04 HORIZON TOWERS EAST SINGAPORE (239194)		Director		

INFORMATION RESOURCES

WHILST EVERY ENDEAVOR IS MADE TO ENSURE THAT INFORMATION PROVIDED IS UPDATED AND CORRECT. THE AUTHORITY DISCLAIMS ANY LIABILITY FOR ANY DAMAGE OR LOSS THAT MAY BE CAUSED AS A RESULT OF ANY ERROR OR OMISSION.

**Business Profile (Company) of T SPECIALIST INTERNATIONAL (S) PTE LTD
(199705960W)**

Date: 10/03/2017

The Following Are The Brief Particulars of :

Registration No.	:	199705960W
Company Name.	:	T SPECIALIST INTERNATIONAL (S) PTE LTD (w.e.f.28/10/1998)
Former Name if any	:	TILE SPECIALIST INTERNATIONAL (SINGAPORE) PTE LTD
Incorporation Date.	:	27/08/1997
Company Type	:	PRIVATE COMPANY LIMITED BY SHARES
Status	:	Live Company
Status Date	:	27/08/1997

Principal Activities

Activities (I)	:	GENERAL WHOLESALE TRADE (INCLUDING GENERAL IMPORTERS AND EXPORTERS) (46900)
Description	:	
Activities (II)	:	OTHER BUSINESS SUPPORT SERVICE ACTIVITIES (EG JUNKETS, ADMINISTRATION OF LOYALTY PROGRAMMES) (82999)
Description	:	

Capital

Issued Share Capital (AMOUNT)	Number of Shares *	Currency	Share Type
6080002	6080002	SINGAPORE, DOLLARS	ORDINARY

* Number of Shares includes number of Treasury Shares

Paid-Up Capital (AMOUNT)	Number of Shares	Currency	Share Type
6080002		SINGAPORE, DOLLARS	ORDINARY

COMPANY HAS THE FOLLOWING ORDINARY SHARES HELD AS TREASURY SHARES

Number Of Shares	Currency
------------------	----------

INFORMATION RESOURCES

WHILST EVERY ENDEAVOR IS MADE TO ENSURE THAT INFORMATION PROVIDED IS UPDATED AND CORRECT. THE AUTHORITY DISCLAIMS ANY LIABILITY FOR ANY DAMAGE OR LOSS THAT MAY BE CAUSED AS A RESULT OF ANY ERROR OR OMISSION.

**Business Profile (Company) of T SPECIALIST INTERNATIONAL (S) PTE LTD
(199705960W)**

Date: 10/03/2017

Officers/Authorised Representative(s)

Name	ID	Nationality	Source of Address	Date of Appointment
Address		Position Held		
KO FU HENG	S8008313J	SINGAPORE CITIZEN	ACRA	01/08/2016
451 YISHUN RING ROAD #05-124 JADE SPRING @ YISHUN SINGAPORE (760451)		Secretary		

Shareholder(s)

Name	ID	Nationality/Place of incorporation/Origin	Source of Address	Address Changed
Address				
1	TTAT INVESTMENT PTE LTD	200010754E	SINGAPORE	ACRA
381 JOO CHIAT ROAD #04-00 LAGUN SARI BUILDING SINGAPORE (427621)				
Ordinary(Number)	Currency			
6080002	SINGAPORE, DOLLARS			

Annex 50: Biodata and Passport of Wang Zhi Guo (王志国)

Name:	Wang Zhi Guo (王志国)
DOB:	11 July 1962
Passport #	China passport E25486535 / 140254055 / Hong Kong registration documents lists his "Chinese ID card number" as: 120102196207110550
Expiry :	PP expiry 2021.3.9
Affiliations:	Shareholder, Lagun Sari (along with OCN and OCN director Ng Kheng Wah ("Leo") and his daughter) Former Director, Pinnacle International Distribution (HK) Former Director, Pinnacle International Distribution (Singapore) Representative of China operations for OCN (Singapore) Pte Ltd Used to direct Pinnacle International along with Ng Kheng Wah ("Leo"), OCN Director
Address:	Wang's Chinese address in Pinnacle International Distribution (HK) registration documents is: An Shan Xi Dao Nan Kai Tianjin 300193 Wang's Chinese address in Pinnacle International Distribution (Singapore) registration documents is: No. 17 Jiangjia Hutong Li Gong Lou, Hedong District, Tianjin, China, which is the same address listed in the Lagun Sari registration documents
Travels	Between 5 January 2013 and 10 August 2017, Wang Zhi Guo made 25 trips in and out of Singapore and spent a total of 1256 days in the country
Telephone:	+ 86 13802077316



Source: The Panel

Annex 51: Singapore Entries and exists for Wang Zhi Guo (2 pages) 2015-2017

IN/OUT STATUS	ENTRY/EXIT DATE	CHECKPOINT
ARRIVAL	10/08/2017	CHANGI AIRPORT TERMINAL 2
DEPARTURE	31/07/2017	CHANGI AIRPORT TERMINAL 2
ARRIVAL	03/07/2017	CHANGI AIRPORT TERMINAL 2
DEPARTURE	11/06/2017	CHANGI AIRPORT TERMINAL 2
ARRIVAL	04/05/2017	CHANGI AIRPORT TERMINAL 2
DEPARTURE	26/03/2017	CHANGI AIRPORT TERMINAL 2
ARRIVAL	27/02/2017	CHANGI AIRPORT TERMINAL 2
DEPARTURE	09/12/2016	CHANGI AIRPORT TERMINAL 2
ARRIVAL	31/10/2016	CHANGI AIRPORT TERMINAL 2
DEPARTURE	29/08/2016	CHANGI AIRPORT TERMINAL 2
ARRIVAL	04/08/2016	CHANGI AIRPORT TERMINAL 2
DEPARTURE	15/06/2016	CHANGI AIRPORT TERMINAL 2
ARRIVAL	21/05/2016	CHANGI AIRPORT TERMINAL 2
DEPARTURE	21/02/2016	CHANGI AIRPORT TERMINAL 2
ARRIVAL	25/01/2016	CHANGI AIRPORT TERMINAL 2
DEPARTURE	22/10/2015	CHANGI AIRPORT TERMINAL 2
ARRIVAL	12/10/2015	CHANGI AIRPORT TERMINAL 2
DEPARTURE	11/09/2015	CHANGI AIRPORT TERMINAL 2
ARRIVAL	09/09/2015	CHANGI AIRPORT TERMINAL 3
DEPARTURE	08/09/2015	CHANGI AIRPORT TERMINAL 3
ARRIVAL	31/08/2015	CHANGI AIRPORT TERMINAL 2
DEPARTURE	21/06/2015	CHANGI AIRPORT TERMINAL 2
ARRIVAL	28/05/2015	CHANGI AIRPORT TERMINAL 2
DEPARTURE	04/03/2015	CHANGI AIRPORT TERMINAL 2
ARRIVAL	12/02/2015	CHANGI AIRPORT TERMINAL 2
DEPARTURE	30/11/2014	CHANGI AIRPORT TERMINAL 2
ARRIVAL	30/10/2014	CHANGI AIRPORT TERMINAL 2
DEPARTURE	31/08/2014	CHANGI AIRPORT TERMINAL 2
ARRIVAL	14/08/2014	CHANGI AIRPORT TERMINAL 2
DEPARTURE	13/07/2014	CHANGI AIRPORT TERMINAL 2
ARRIVAL	03/07/2014	CHANGI AIRPORT TERMINAL 2

DEPARTURE	01/06/2014	CHANGI AIRPORT TERMINAL 2
ARRIVAL	17/05/2014	CHANGI AIRPORT TERMINAL 2
DEPARTURE	21/03/2014	CHANGI AIRPORT TERMINAL 2
ARRIVAL	15/03/2014	CHANGI AIRPORT TERMINAL 2
DEPARTURE	10/11/2013	CHANGI AIRPORT TERMINAL 2
ARRIVAL	02/11/2013	CHANGI AIRPORT TERMINAL 2
DEPARTURE	07/10/2013	CHANGI AIRPORT TERMINAL 2
ARRIVAL	19/09/2013	CHANGI AIRPORT TERMINAL 2
DEPARTURE	14/08/2013	CHANGI AIRPORT TERMINAL 2
ARRIVAL	05/08/2013	CHANGI AIRPORT TERMINAL 2
DEPARTURE	08/05/2013	CHANGI AIRPORT TERMINAL 2
ARRIVAL	29/04/2013	CHANGI AIRPORT TERMINAL 2
DEPARTURE	20/03/2013	CHANGI AIRPORT TERMINAL 2
ARRIVAL	16/03/2013	CHANGI AIRPORT TERMINAL 2
DEPARTURE	25/02/2013	CHANGI AIRPORT TERMINAL 2
ARRIVAL	03/02/2013	CHANGI AIRPORT TERMINAL 2
DEPARTURE	09/01/2013	CHANGI AIRPORT TERMINAL 2
ARRIVAL	05/01/2013	CHANGI AIRPORT TERMINAL 2

Source: The Panel

Annex 52: Corporate registration documents for Pinnacle International Distribution (Singapore) showing Wang Zhiguo (王志国) Tianjin address

ACCOUNTING AND CORPORATE REGULATORY AUTHORITY (ACRA) 

Date: 19/07/2017

INFORMATION RESOURCES

WHILST EVERY ENDEAVOR IS MADE TO ENSURE THAT INFORMATION PROVIDED IS UPDATED AND CORRECT. THE AUTHORITY DISCLAIMS ANY LIABILITY FOR ANY DAMAGE OR LOSS THAT MAY BE CAUSED AS A RESULT OF ANY ERROR OR OMISSION.

People Profile

NRIC/FIN/Passport No.	140253055
Name	WANG ZHI GUO
Nationality	CHINESE
Address	NO 17 JIANGJIA HUTONG LI GONG LOU HEDONG DISTRICT TIANJIN CHINA

Officer / Shareholder / Member of the following Companies

Registration No.	199306208H
Company Name	PINNACLE INTERNATIONAL DISTRIBUTION (SINGAPORE) PTE LTD
Registration Date	21/09/1993
Company Type	PRIVATE COMPANY LIMITED BY SHARES
Company Status	Struck Off
Status Date	06/05/2009
Company Address	381 JOO CHIAT ROAD #04-008 LAGUN SARI BUILDING SINGAPORE (427621)
Activity (I)	WHOLESALE OF COMPUTER HARDWARE AND PERIPHERAL EQUIPMENT (46511)
Description	
Activity (II)	GENERAL WHOLESALE TRADE (INCLUDING GENERAL IMPORTERS AND EXPORTERS) (46900)
Description	IMPORT/EXPORT & WHOLESALE TRADING IN COMPUTER PERIPHERALS/ACCESSORIES

Position	Date of Appointment	Date of Cessation	ShareHolding
SHAREHOLDER	30/01/2004		1

Registration No.	199408052N
Company Name	LAGUN SARI WEDDING & CATERING SERVICES PTE. LTD.
Registration Date	04/11/1994
Company Type	PRIVATE COMPANY LIMITED BY SHARES
Company Status	Live Company
Status Date	04/11/1994

Source: Singapore Corporate Registry

Annex 53: Corporate registration documents for Pinnacle International Distribution (Hong Kong) Company Ltd (高峰国际营销(香港)有限公司) showing Wang Zhiguo (王治国) with another Tianjin address

 公司註冊處 Companies Registry	周年申報表 Annual Return (《公司條例》第 107(1)條) (Companies Ordinance s. 107(1))	存案 Filed 表格 Form AR1						
重要事項 Important Notes • 填表前請參閱《填表須知》。 請用黑色墨水列印。 • Please read the accompanying notes before completing this form. Please print in black ink.								
		公司編號 Company Number 619438						
1 公司名稱 Company Name 高峰國際營銷(香港)有限公司 PINNACLE INTERNATIONAL DISTRIBUTION (HONG KONG) COMPANY LTD								
2 商業名稱 Business Name N/A								
3 公司類別 Type of Company 請在適用的空格內加上 ✓ 號。 Please tick the relevant box. ☒ 有股本的私人公司 Private Company having a share capital ☐ 其他 Others								
4 本申報表日期 Date of this Return 本申報表列載公司截至右列日期為止的資料 The information in this return is made up to <table border="1" style="border-collapse: collapse; text-align: center;"> <tr> <td style="width: 30px;">06</td> <td style="width: 30px;">08</td> <td style="width: 30px;">2011</td> </tr> <tr> <td style="font-size: 0.8em;">日 DD</td> <td style="font-size: 0.8em;">月 MM</td> <td style="font-size: 0.8em;">年 YYYY</td> </tr> </table> (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。 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.)			06	08	2011	日 DD	月 MM	年 YYYY
06	08	2011						
日 DD	月 MM	年 YYYY						
5 註冊辦事處地址 Address of Registered Office ROOM 1203, 12/F., GREAT EAGLE CENTRE, 23 HARBOUR ROAD, WANCHAI, HONG KONG.								
6 電郵地址 E-mail Address (Nil)								
提交人的資料 Presenter's Reference 姓名 Name: LOYAL PORT LIMITED 地址 Address: OFFICE UNITS 4-5A, 4/F., WING TUCK COMM. CENTRE, 177-183 WING LOK ST., SHEUNG WAN, HONG KONG. 電話 Tel: 23318206 傳真 Fax: 31101338 電郵地址 E-mail Address: tw@bucpa.com.hk 檔號 Reference: Our Ref.: (JENNY) / Doc. No.: 6194380003 / Deadline: 16/09/2011 簡明編號 2/2008 (修訂) (2008 年 7 月) Specification No. 2/2008 (Revision) (July 2008)	請勿填寫本欄 For Official Use  22700600069 AR 1L 08/08/2011 0619438							
'CSA' by P & J Associates, Hong Kong. (Ar1.Frm)		0118						

表格
Form **AR1**

公司編號 Company Number

619438

- 9) **10 有股本公司的成員詳情 Details of Member(s) of a Company Having a Share Capital**
(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.)

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 SHARES

姓名／名稱 Name	地址 Address	股份 Shares			備註 Remarks
		現時持有量 Current Holding	轉讓* Transferred *		
			數目 Number	日期 Date	
王志國 / WANG ZHIGUO	AN SHAN XI DAO, NAN KAI, TIANJIN, CHINA. ZIP: 300193	199,999			
康呂榮 / KANG LU RONG	ROOM 308, TOWER A, CAMBRIDGE PLAZA, NO. 188 SAN WAN ROAD, SHEUNG SHUI, NEW TERRITORIES, HONG KONG.	1			
總數 Total		200,000			

* 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.

12 董事 Director

A. 個人董事 Individual Director

(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)

請在適用的空格內加上 ✓ 號 Please tick the relevant box(es)

身份

Capacity



董事

Director



候補董事

Alternate Director

代替 Alternate to

N/A

中文姓名

Name in Chinese

王志國 /

英文姓名

Name in English

WANG /

姓氏 Surname

ZHIGUO /

名字 Other Names

前用姓名

Previous Names

(Nil)

別名

Alias

(Nil)

住址

Residential
AddressAN SHAN XI DAO, NAN KAI, TIANJIN, CHINA.
ZIP: 300193 /

CHINA /

國家 Country

電郵地址

E-mail Address

(Nil)

身份證明 Identification

CHINA ID CARD NO: 120102196207110550

a

香港身份證號碼

Hong Kong Identity Card Number

(Nil)

b

護照

Passport

(Nil)

簽發國家 Issuing Country

(Nil)

號碼 Number

Annex 54: Two corporate registration documents for Lagun Sari (Singapore) showing OCN Address, Ng Kheng Wah and Chew Ng Sew as Directors and Wang Zhi Guo as shareholder as well as Wang Zhiguo (王志国)'s second Tianjin address





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Filing of Annual Return by Local Company

Details Screen

UEN 199408052N	Entity Name LAGUN SARI WEDDING & CATERING SERVICES PTE. LTD.
Company Type During Financial Period Concerned PRIVATE COMPANY LIMITED BY SHARES	Please select applicable option Active

Address Section (as at 28/07/2016)

Registered Office Address 381 JOO CHAT ROAD #04-00 OCN BUILDING SINGAPORE 427621	Address where Register is kept if other than the Registered Office 21 WOODLANDS CLOSE #08-34 PRIMZ BIZHUB SINGAPORE 737864
--	--

Particulars of Directors/Managing Directors/Alternate Directors, CEO, Secretaries, Auditors (as at 28/07/2016)

Director(s)			
S/No.	Name	Identification No./ Nationality	Date of Appointment
1	CHEW NG SEW	80194238G / SINGAPORE CITIZEN	11/03/1998
2	NG KHENG WAH	81531876G / SINGAPORE CITIZEN	04/11/1994

Managing Director(s)			
S/No.	Name	Identification No./ Nationality	Date of Appointment

Alternate Director(s)			
S/No.	Name	Identification No./ Nationality	Date of Appointment

Secretary(ies)			
S/No.	Name	Identification No./ Nationality	Date of Appointment
1	PAN GUOWEI	88000308F / SINGAPORE CITIZEN	27/03/2015

CEO			
S/No.	Name	Identification No./ Nationality	Date of Appointment

Auditor(s)			
S/No.	Name	Identification No.	Date of Appointment
1	FOES PAC	201406389Z	30/12/2015

Registered Charges Section (as at 28/07/2016)

Charge No.	Date of Registration	Amount of Indebtedness

Share Capital Details (as at 28/07/2016)

S/No.	Currency	Class of share	No. of Shares Held	Amount of Issued Share Capital	Amount of Paid Up Share Capital
1	SINGAPORE, DOLLARS	Ordinary	1764000	186600	186600
		Preference	0	0	0
		Others	0	0	0

Treasury Share Details (as at 28/07/2016)

S/No.	Currency	Class of share	No. of Shares Held	Amount of Issued Share Capital	Amount of Paid Up Share Capital
No data to display.					

Shareholder(s) Details (as at 28/07/2016)

S/No.	Name	Identification No. / Nationality	Currency	Class of share	No. of Shares Held
1	WANG ZHI GUO	140253055 / CHINESE	SINGAPORE, DOLLARS	Ordinary	50000
				Preference	
				Others	
2	OCN (SINGAPORE) PTE LTD	198803322G / SINGAPORE	SINGAPORE, DOLLARS	Ordinary	170000
				Preference	

3	CHEW NG SEW	S0194236G /SINGAPORE CITIZEN	SINGAPORE, DOLLARS	Ordinary	231600
				Preference	
				Others	
4	TAN CHOR KHENG	S1240064J /SINGAPORE CITIZEN	SINGAPORE, DOLLARS	Ordinary	231600
				Preference	
				Others	
5	TAN NGUAN KENG MDM	S1470052H /SINGAPORE CITIZEN	SINGAPORE, DOLLARS	Ordinary	540400
				Preference	
				Others	
6	NG KHENG WAH	S1531876G /SINGAPORE CITIZEN	SINGAPORE, DOLLARS	Ordinary	540400
				Preference	
				Others	

Group Share Information (as at 28/07/2016)

S/No.	Group Name	Currency	Class of share	No. of Shares Held	Shareholders
No data to display.					

AGM and Financial Details Section

Date Financial Statements made up to (Financial Period End)	Has Annual General Meeting (AGM) been held?
31/12/2015	Yes
Date of Annual General Meeting	Date of Annual Return
30/06/2016	28/07/2016

Primary/Secondary Activity(ies) Section

Primary/Secondary Activity(ies) as at Annual Return: 28/07/2016	
Primary Activity	Primary User-Described Activity
WEDDING AND RELATED ACTIVITIES (INCLUDING BRIDAL STUDIOS AND WEDDING PLANNERS)(96040)	WEDDING PLANNING SERVICE
Secondary Activity	Secondary User-Described Activity
FOOD CATERERS(56201)	CATERING SERVICE
Is the principal activity(ies) as at Financial Period End different from principal activity(ies) as at Date of Annual Return?	
No	

Financial Information in XBRL Section

Financial Statements
Full set of financial statements

Note : For financial information in XBRL not uploaded to BizFile

- Please click on the **Go to BizFin^X** button to load financial information in XBRL
- Click on **Refresh Page** to show the uploaded file

Note : For financial information in XBRL that have been uploaded to BizFile

- If you had successfully uploaded the file, it will be shown below
- To view the uploaded file, please click on the **Financial Period End** hyperlink
- To file the selected uploaded file with this AR, please click on one of the radio buttons under Select column

Source: Singapore Corporate Registry

WHILST EVERY ENDEAVOR IS MADE TO ENSURE THAT INFORMATION PROVIDED IS UPDATED AND CORRECT. THE AUTHORITY DISCLAIMS ANY LIABILITY FOR ANY DAMAGE OR LOSS THAT MAY BE CAUSED AS A RESULT OF ANY ERROR OR OMISSION.

Business Profile (Company) of LAGUN SARI WEDDING & CATERING SERVICES PTE. LTD. (199408052N)

Date: 10/03/2017

Registered Office Address	:	381 JOO CHIAT ROAD #04-00 LAGUN SARI BUILDING SINGAPORE (427621)
Date of Address	:	10/05/2001
Date of Last AGM	:	30/06/2016
Date of Last AR	:	28/07/2016
Date of A/C Laid at Last AGM	:	31/12/2015
Date of Lodgment of AR, A/C	:	28/07/2016

Audit Firms				
NAME				
FIDES PAC				
Charges				
Charge No.	Date Registered	Currency	Amount Secured	Chargee(s)
Officers/Authorised Representative(s)				
Name	ID	Nationality	Source of Address	Date of Appointment
Address		Position Held		
NG SHI YI, TANIA	S9232298Z	SINGAPORE CITIZEN	ACRA	24/01/2017
30 OLIVE ROAD CALDECOTT HILL ESTATE SINGAPORE (298267)		Director		
NG SHI YING, TRINA	S9232296C	SINGAPORE CITIZEN	ACRA	24/01/2017
30 OLIVE ROAD CALDECOTT HILL ESTATE SINGAPORE (298267)		Director		
CHEW RONGHAO, MORGAN	S9015747G	SINGAPORE CITIZEN	ACRA	24/01/2017
15 LEONIE HILL ROAD #07-04 HORIZON TOWERS EAST SINGAPORE (239194)		Director		
KO FU HENG	S8008313J	SINGAPORE CITIZEN	ACRA	15/07/2016

WHILST EVERY ENDEAVOR IS MADE TO ENSURE THAT INFORMATION PROVIDED IS UPDATED AND CORRECT. THE AUTHORITY DISCLAIMS ANY LIABILITY FOR ANY DAMAGE OR LOSS THAT MAY BE CAUSED AS A RESULT OF ANY ERROR OR OMISSION.

Business Profile (Company) of LAGUN SARI WEDDING & CATERING SERVICES PTE. LTD. (199408052N)

Date: 10/03/2017

Officers/Authorised Representative(s)

Name	ID	Nationality	Source of Address	Date of Appointment
Address		Position Held		
451 YISHUN RING ROAD #05-124 JADE SPRING @ YISHUN SINGAPORE (760451)		Secretary		

Shareholder(s)

Name		ID	Nationality/Place of incorporation/Origin	Source of Address	Address Changed
Address					
1	WANG ZHI GUO	140253055	CHINESE	ACRA	
NO 17 JIANGJIA HUTONG LI GONG LOU HEDONG DISTRICT TIANJIN CHINA					
Ordinary(Number)		Currency			
50000		SINGAPORE, DOLLARS			
2	OCN (SINGAPORE) PTE LTD	198803322G	SINGAPORE	ACRA	
381 JOO CHIAT ROAD #04-00 LAGUN SARI BUILDING SINGAPORE (427621)					
Ordinary(Number)		Currency			
170000		SINGAPORE, DOLLARS			
3	CHEW RONGHAO, MORGAN	S9015747G	SINGAPORE CITIZEN	ACRA	
15 LEONIE HILL ROAD #07-04 HORIZON TOWERS EAST SINGAPORE (239194)					
Ordinary(Number)		Currency			
154500		SINGAPORE, DOLLARS			
4	NG SHI YING, TRINA	S9232296C	SINGAPORE CITIZEN	ACRA	
30 OLIVE ROAD CALDECOTT HILL ESTATE SINGAPORE (298267)					

Source: Singapore Corporate Registry

**Annex 55: Business card of OCN Singapore Purchasing / Distribution Manager also showing
T Specialist, Watari, and Ohayo International**



Source: The Panel

Note: Ohayo International is a wholesaler of electrical appliances, liquor, and tobacco to several countries, including the DPRK and was first registered nearly 13 years ago by T Specialist. As of January/February 2017, Leo Ng's daughters, Trina Ng, her sister Tania, and OCN Pte are Ohayo's shareholders; they and Leo Ng are listed as directors in corporate filings along with another Singaporean national by the name of Ko Fu Heng.

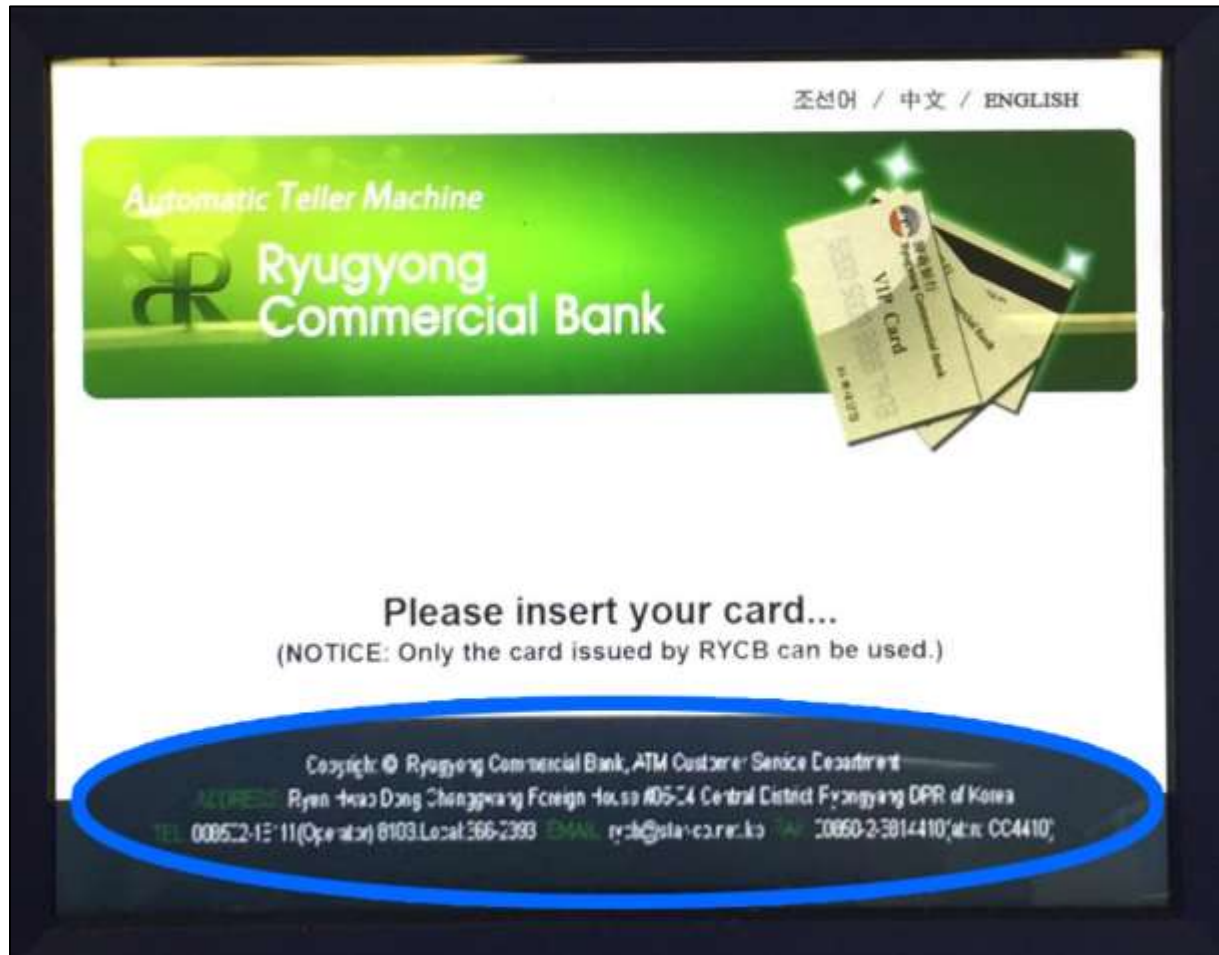
Annex 57: Singapore entries and exits for Ri Ik (Aka Li Ik) from 2015–2017

IN/OUT STATUS	ENTRY/EXIT DATE	CHECKPOINT
DEPARTURE	08/06/2017	CHANGI AIRPORT TERMINAL 3
ARRIVAL	27/05/2017	CHANGI AIRPORT TERMINAL 2
DEPARTURE	10/03/2017	CHANGI AIRPORT TERMINAL 3
ARRIVAL	27/02/2017	CHANGI AIRPORT TERMINAL 3
DEPARTURE	17/12/2016	CHANGI AIRPORT TERMINAL 3
ARRIVAL	11/12/2016	CHANGI AIRPORT TERMINAL 2
DEPARTURE	07/12/2016	CHANGI AIRPORT TERMINAL 2
ARRIVAL	02/12/2016	CHANGI AIRPORT TERMINAL 3
DEPARTURE	26/10/2016	CHANGI AIRPORT TERMINAL 3
ARRIVAL	11/10/2016	CHANGI AIRPORT TERMINAL 3
DEPARTURE	24/08/2016	CHANGI AIRPORT TERMINAL 3
ARRIVAL	18/08/2016	CHANGI AIRPORT TERMINAL 3
DEPARTURE	08/07/2016	CHANGI AIRPORT TERMINAL 3
ARRIVAL	22/06/2016	CHANGI AIRPORT TERMINAL 3
DEPARTURE	08/04/2016	CHANGI AIRPORT TERMINAL 3
ARRIVAL	29/03/2016	CHANGI AIRPORT TERMINAL 3
DEPARTURE	26/03/2016	CHANGI AIRPORT TERMINAL 3
ARRIVAL	22/03/2016	CHANGI AIRPORT TERMINAL 3
DEPARTURE	29/01/2016	CHANGI AIRPORT TERMINAL 3
ARRIVAL	12/01/2016	CHANGI AIRPORT TERMINAL 3
DEPARTURE	18/12/2015	CHANGI AIRPORT TERMINAL 3
ARRIVAL	24/11/2015	CHANGI AIRPORT TERMINAL 2
DEPARTURE	28/10/2015	CHANGI AIRPORT TERMINAL 3
ARRIVAL	20/10/2015	CHANGI AIRPORT TERMINAL 3
DEPARTURE	04/09/2015	CHANGI AIRPORT TERMINAL 3
ARRIVAL	20/08/2015	CHANGI AIRPORT TERMINAL 2
DEPARTURE	20/08/2015	CHANGI AIRPORT TERMINAL 2
ARRIVAL	19/08/2015	CHANGI AIRPORT TERMINAL 3
DEPARTURE	27/07/2015	CHANGI AIRPORT TERMINAL 3
ARRIVAL	04/07/2015	CHANGI AIRPORT TERMINAL 3
DEPARTURE	20/06/2015	CHANGI AIRPORT TERMINAL 3
ARRIVAL	27/05/2015	CHANGI AIRPORT TERMINAL 3
DEPARTURE	01/03/2015	CHANGI AIRPORT TERMINAL 3
ARRIVAL	30/01/2015	CHANGI AIRPORT TERMINAL 3
DEPARTURE	21/01/2015	CHANGI AIRPORT TERMINAL 3
ARRIVAL	12/01/2015	CHANGI AIRPORT TERMINAL 3
DEPARTURE	12/01/2015	CHANGI AIRPORT TERMINAL 2

ARRIVAL	24/12/2014	CHANGI AIRPORT TERMINAL 3
DEPARTURE	19/12/2014	CHANGI AIRPORT TERMINAL 3
ARRIVAL	12/11/2014	CHANGI AIRPORT TERMINAL 3
DEPARTURE	25/09/2014	CHANGI AIRPORT TERMINAL 3
ARRIVAL	25/09/2014	CHANGI AIRPORT TERMINAL 3
DEPARTURE	24/09/2014	CHANGI AIRPORT TERMINAL 3
ARRIVAL	02/09/2014	CHANGI AIRPORT TERMINAL 3
DEPARTURE	09/08/2014	CHANGI AIRPORT TERMINAL 3
ARRIVAL	28/07/2014	CHANGI AIRPORT TERMINAL 2
DEPARTURE	10/06/2014	CHANGI AIRPORT TERMINAL 3
ARRIVAL	27/05/2014	CHANGI AIRPORT TERMINAL 3
DEPARTURE	05/05/2014	CHANGI AIRPORT TERMINAL 3
ARRIVAL	29/04/2014	CHANGI AIRPORT TERMINAL 3
DEPARTURE	24/04/2014	CHANGI AIRPORT TERMINAL 3
ARRIVAL	14/04/2014	CHANGI AIRPORT TERMINAL 3
DEPARTURE	25/03/2014	CHANGI AIRPORT TERMINAL 3
ARRIVAL	15/03/2014	CHANGI AIRPORT TERMINAL 3
DEPARTURE	14/02/2014	CHANGI AIRPORT TERMINAL 3
ARRIVAL	05/02/2014	CHANGI AIRPORT TERMINAL 3
DEPARTURE	03/01/2014	CHANGI AIRPORT TERMINAL 3
ARRIVAL	10/12/2013	CHANGI AIRPORT TERMINAL 3
DEPARTURE	09/10/2013	CHANGI AIRPORT TERMINAL 3
ARRIVAL	19/09/2013	CHANGI AIRPORT TERMINAL 2
DEPARTURE	18/09/2013	CHANGI AIRPORT TERMINAL 2
ARRIVAL	13/09/2013	CHANGI AIRPORT TERMINAL 3
DEPARTURE	21/08/2013	CHANGI AIRPORT TERMINAL 3
ARRIVAL	01/08/2013	CHANGI AIRPORT TERMINAL 3
DEPARTURE	31/05/2013	CHANGI AIRPORT TERMINAL 3
ARRIVAL	18/05/2013	CHANGI AIRPORT TERMINAL 3
DEPARTURE	22/04/2013	CHANGI AIRPORT TERMINAL 3
ARRIVAL	16/04/2013	CHANGI AIRPORT TERMINAL 3
DEPARTURE	01/04/2013	CHANGI AIRPORT TERMINAL 3
ARRIVAL	15/03/2013	CHANGI AIRPORT TERMINAL 3
DEPARTURE	25/02/2013	CHANGI AIRPORT TERMINAL 3
ARRIVAL	09/02/2013	CHANGI AIRPORT TERMINAL 3
DEPARTURE	18/01/2013	CHANGI AIRPORT TERMINAL 3

Source: The Panel

Annex 58: Screenshot from Ryugyong Commercial Bank ATM, showing address in Changgwang Foreign House, Suite #05-24. (OCN address listed on Bugsae Shop carrier bags is Changgwang Foreign House, Suite #05-01)

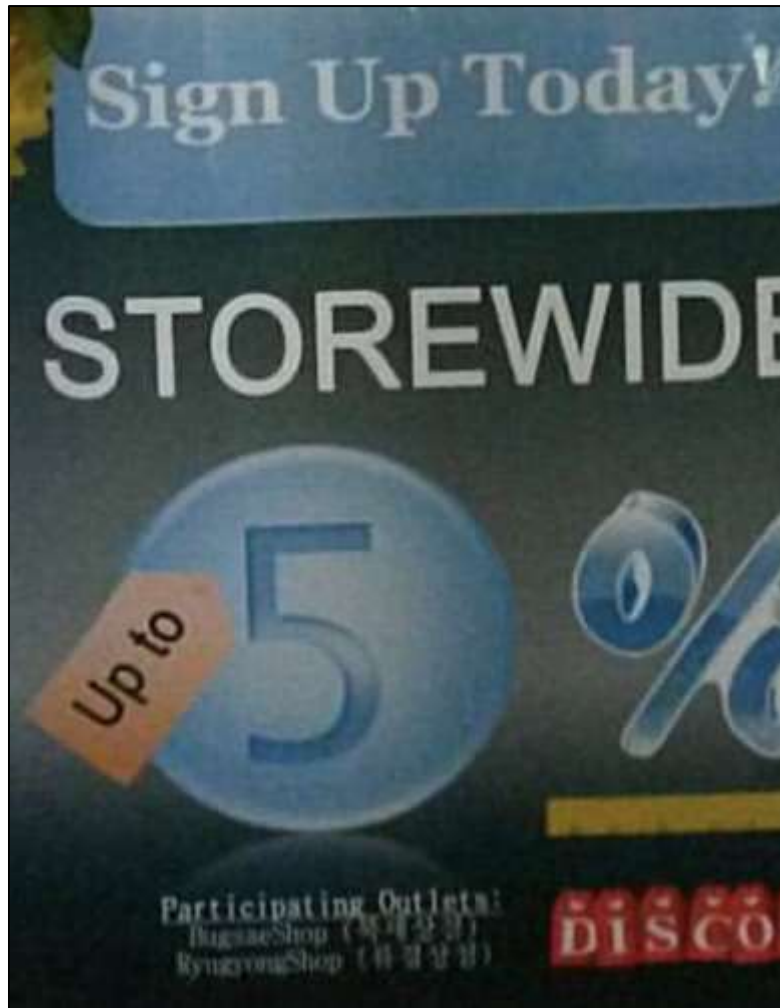


Source:

<https://www.nknews.org/pro/exclusive-singapore-firm-still-denies-links-to-north-korea-despite-new-evidence/>

Annex 59: Use of Ryugyong Commercial Bank card provides 5% discount in Buksae shop

Source: Jaka Parker



Source: Jaka Parker (@JakaParker) instagram

Annex 60: Shopping bag obtained from Bugsae Shop (alternative spelling of Buksae Shop) in Pyongyang showing locations and “OCN Group” affiliation – June 2017



Source: NK Pro

Annex 61: Shopping Bag obtained from Bugsae Shop (OCN Group) at Changgwang Foreign House, Pyongyang, June 2017



Source: NK Pro

Annex 62: Ukrainian confectionary company export records for items shipped to the address: “OCN Pyongyang Office 01-05 Changwang House, Pyongyang DPRK” from April 2015 until January 2017

Screenshot of Import Genius, source of trade data

SERVICE: (973) 858-5676 SALES: 855-374-1199 LIVE CHAT

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Bugsae Shop

Bugsae Shop is a buyer that buys products from ТОВ АВК Конфекшінері

IMPORT GENIUS

Our bill of lading data reveals the trading activities of Bugsae Shop and millions of other manufacturers.

[Learn More](#)

[Join Now](#)



Other companies in our database: PETROIL PVTYK OÜ Zaklad Produkci Foli EFEKT Plu Instant Search

[View Sample Shipment Records](#) [Shipment Alert Subscription](#) [Contact This Company](#) [Sign Up](#)

Sample shipment record for Bugsae Shop

Bugsae Shop is a buyer that buys products from ТОВ АВК Конфекшінері

BILL OF LADING			
Receipient	Sender	HS CODE	1905906000
BUGSAE SHOP Ocn Pyongyang Office 01-05 Changgwang House, Pyongyang, Dprk	ТОВ АВК КОНФЕКШІНЕРІ 04080, М.Київ, Вул. Мажирська, Буд. 82-А	EXPORT DATE	2017-01-05
Cargo Description 1. МУЧНІ КОНДИТЕРСЬКІ ВИРОБИ З ДОДАВАННЯМ ПІДСОЛДЖУВАЛЬНИХ РЕЧОВИН. СУХІ ПРОДУКТИ ЕКСТРУЗІЙНОЇ ТЕХНОЛОГІЇ. ТУ У 15.6-30482582.001-2001.		WEIGHT	303.16
		PRICE	26766.04
		CUSTOMS OFFICE CODE	110100001
		DECLARATION NO.	200212

Subscribe to access the complete shipping history for **Bugsae Shop** [Join Now](#)

Source: Import Genius

S/2018/171

S/2018/171

Source: Import Genius

Annex 63: OCN Singapore label affixed to a wine bottle at the Bugsae Shop in Pyongyang, July 2017



Source: NK Pro

Annex 64: Luxury-branded cosmetics, handbags, watches, leather goods and footwear on display at the Buksae Shop in Pyongyang, July 2017



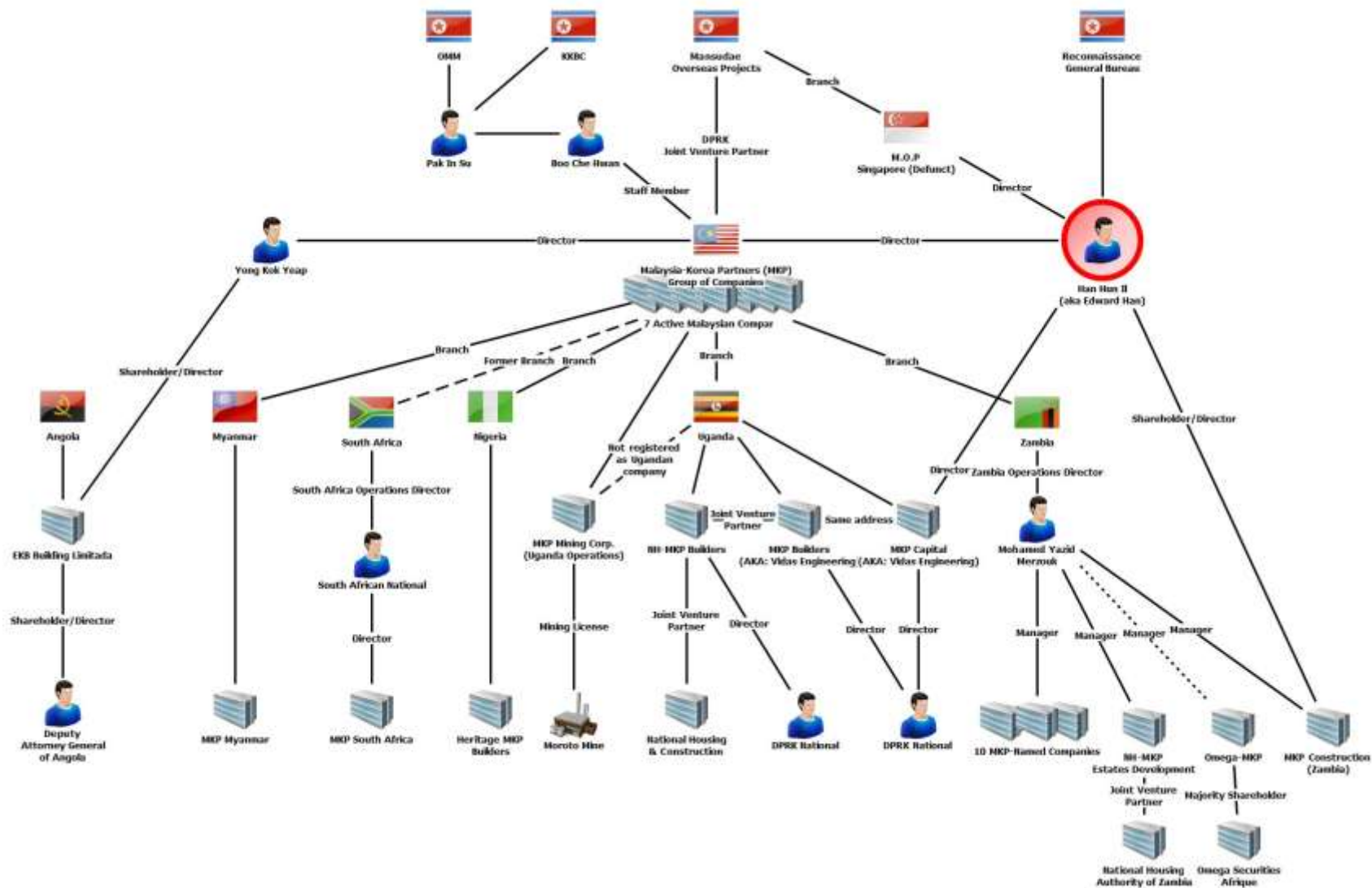
Source: NK Pro

Annex 65: Biodata on Han Hun Il (Edward Han)

Name:	Han Hun Il
DOB:	2 April 1957
Passport #	836134879
Expiry:	2021/3/9
A.k.a.:	Edward Han; Dr. Edward Han Hun Il
Family members	<u>Wife</u>: Kim Mi-Kyong (김미경) • DOB: 1959/2/15 <u>Son</u>: Han Kumryong (한금룡) • aka “Han Song” (한 성) • aka: “Harvard Han” • DOB: 18 September 1984 • Worked at MKP Myanmar until 2013
Affiliations:	Sungri Economic Group (승리경제연합회) Dispatched to Malaysia in 1995 to serve as Malaysia Representative of Mansudae Overseas Projects (MOP) Established a Mansudae branch, M.O.P. (S) Pte Ltd, in Singapore on 20 May 1994 until it was struck off the register on 30 September 2009. In 2006 his tenure with MOP expired and he was given the status of “operative” in the Reconnaissance General Bureau. He had previously served as representative of RGB in Africa before 1994. On 20 June 2006 he registered Malaysia Korea Partners (MKP) in Malaysia jointly with Yong Kok Yeap with each of them owning half the shares (175,000 Ringgit) MKP signed a joint investment agreement in June 2009 with a DPRK China joint bank called “High-Fund International bank” which had an affiliation with DPRK Sungri Economic group. MKP established the International Consortium Bank (ICB) MKP employs IT personnel from the DPRK state science academy in its subsidiary, SOSIT are still working
Address:	MKP Capital LLC Berhd <u>Registered address</u>: 24-B Jalan Landak Off Jalan Pudu KL <u>Business address</u>: Lot 5, Jalan Satu Kawasan Perusahaan Cheras Jaya 43200 Balakong Selangor Darul Ehsan Malaysia
Travels	Traveled to other South East Asian countries in 2016, including the Lao People’s Democratic Republic in October. The Lao PDR has not responded to the Panel’s inquiry
Telephone:	603 9076 9678
Fax :	603 9075 9678
Email	enquiries@mkpholdings.com.my
Website :	www.mkpholdings.com.my

Source: The Panel, Member States, Corporate Registry Documents

Source: The Panel



Annex 67: MKP companies in Malaysia as of 15 December 2017

	Company Name	Corporate Number	Status	Address	Directors	Shareholders	Start
1	M.K.P. PROJECTS SDN. BHD.	199448-D	Dissolved	Rm.1 1st. Floor, Lee Rubber Bldg 145, Jalan Tun H.S. Lee Kuala Lumpur, Wilayah Persekutuan	Abdul kudas bin datuk; Lee Kung Wah; Chong ah Kow @ Chong Ching Che; Yong Kok Yeap;	Abdul Kudus Bin Datuk; Yong Kok Yeap; Chong Ah Kow @ Chong Ching Che; Lee Kung Wah	15 June 1990
2	MKP BUILDERS SDN. BHD	386207-P	Existing	2-3-11 (3rd Floor)Menara Klh Business Centre 2, Jalan Kasipillay, Off Jalan Sultan Azlan Shahkuala Lumpurwilayah Persekutuan Lot 5, Jalan 1kawasan Perusahaan Cheras Jayabatu 11 cheras, selangor	Han Hun Il; Fang Chee Peng; Yong Kok Yeap;	Yong Kok Yeap; Han Hun Il	6 May 1996
3	MKP CAPITAL BERHAD	738326-V	Winding Up	24-B, Jalan Landakoff Jalan Pudu Kuala Lumpur Wilayah Persekutuan Lot 5, Jalan 1kawasan Perindustrian Cheras Jayabatu 11, Batu 9 cheras, selangor	Han Hun Il; Yong Kok Yeap;	Yong Kok Yeap; Han Hun Il	20 June 2006
4	MKP CAPITAL LLC BERHAD	980801-M	Existing	24-B Jalan Landakoff Jalan Pudu Kuala Lumpur, Wilayah Persekutuan	Han Hun Il; Yong Kok Yeap;	Yong Kok Yeap; Han Hun Il	2 March 2012
5	MKP CORPORATION BERHAD	619741-U	Winding Up	24-B Jalan Landakoff Jalan Pudu Kuala Lumpur, wilayah Persekutuan Lot 5,Jalan 1kawasan Perusahaan Cheras Jayabatu 11batu 9 Cherasselangor	Han Hun Il; Karnail Singh Nijhar Tansri Dato'dr Amar Singh;	Yong Kok Yeap; Han Hun Il	26 June 2003

					Yong Kok Yeap; Ramanan Ramakrishnan, Dato';		
6	MKP DYNAMIC ENGINEERING SDN. BHD	735910-W	Existing	2-3-11 (3rd Floor) Menara Klh Business Centre 2 jalan Kasipillay, Off Jalan Sultan Azlan Shah Kuala Lumpur, wilayah Persekutuan Lot 5, Jalan 1 Kawasan Perusahaan Cheras Jayabatu 11, Batu 9 Cheras Selangor	Karnail Singh Nijhar Tansri Dato'dr Amar Singh; Fang Chee Peng; Yong Kok Yeap; Muhammad Danial Bin Osman;	Karnail Singh Nijhar Amar Singh, Tansri Dato'dr; Yong Kok Yeap; Soh Pui Hoon; Han Hun Il; Ramanan Ramakrishnan	31 May 2006
7	MKP DYNAMIC SDN. BHD	779980-A	Existing	2-3-11 (3rd Floor), Menara Klhbusiness Centre, 2, Jalan Kasipillayoff Jalan Sultan Azlan Shah Kuala Lumpur, Wilayah Persekutuan Lot 5, Jalan 1kawasan Perusahaan Cheras Jayabatu 11 cheras selangor	Karnail Singh Nijhar Tansri Dato'dr Amar Singh; Fang Chee Peng; Yong Kok Yeap; Ramanan Ramakrishnan; Muhammad Danial Bin Osman @ Mddaud;	Yong Kok Yeap; Soh Pui Hoon; Ramanan Ramakrishnan; Karnail Singh Nijhar Tansri Dato'dr Amar Singh	7 July 2012
8	MKP HOLDINGS SDN. BHD	464492-W	Existing	2-3-11 (3rd Floor) Menara Klh Business Centre 2 jalan Kasipillay, Off Jalan Sultan Azlan Shah Kuala Lumpur, Wilayah Persekutuan	Yong Kok Yeap; Han Hun Il;	Yong Kok Yeap; Han Hun Il	23 June 1998

				Lot 5, Jalan 1 kaw. Perusahaan Cheras Jayabatu 11 batu 9 Cheras Selangor			
9	MKP SUPPLIES SDN. BHD	1210818-M	Existing	No. 3a-1, Jalan D'alpinia 10 taman D'alpinia, Puchong Selangor	Fang Chee Peng; Yong Kok Yeap;	Yong Kok Yeap; Fang Chee Peng	30 November 2016
10	MKP-WUI LOONG SYSTEM SCAFFOLDS SDN. BHD	577418-H	Existing	24-B Jalan Landakoff Jalan Pudu Kuala Lumpur, Wilayah Persekutua Lot 5 Jalan 1 kawasan Perindustrian Cheras Jayabatu 11 Batu 9 Cheras, Selangor	Kong Kam Wang; Han Hun Il; Yong Kok Yeap; So Yu Shing;	Wui Loong System Scaffolds Co.Ltd; Mkp Holdings Sdn. Bhd.	17 April 2002
11	Nekad Ziplem SDN. BHD	614359-U	Existing	52 a, Jalan Landak off Jalan Pudu Kuala Lumpur, Wilayah Persekutuan C/O Lot 5, Jalan 1 kawasan Perindustrian Cheras Jayabatu 11, Batu 9 Cheras Selangor)	Han Hun Il; Yong Kok Yeap;	Jusoh Bin Awang; Yong Kok Yeap; Han Hun Il; Sumairi Bin Hashim	7 May 2003
12	ELEMENT FLASH (M) SDN. BHD.	658573-V	Existing	2-3-11 (3rd Floor) Menara Klh Business Centre 2 Jalan Kasipillay, Off Jalan Sultan Azlan Shahkuala Lumpur Wilayah Persekutuan Lot 5 Jalan Satu kawasan Perusahaan Cheras Jayabalakong Selangor	Yong Kok Yeap; Chua Boon Lain; Tee Eng Soon;	Chua Boon Lain; Yong Kok Yeap; Tee Eng Soon	6 July 2004
13	SOSIT SDN. BHD.	749341-K	Existing	2-3-11 (3rd Floor) Menara Klh Business Centre 2 jalan Kasipillay, Off Jalan Sultan Azlan Shah Kuala Lumpur, Wilayah Persekutuan Lot 5, Jalan 1 Kaw. Perusahaan Cheras Jaya Batu 11, Batu 9 Cheras Selangor	Yong Kok Yeap; Han Hun Il;	Yong Kok Yeap; Han Hun Il	3 October 2006

Source: Malaysian corporate registry

Annex 68: Singapore Mansudae branch, M. O. P. (S) Pte Ltd, registered by Han Hun Il on 20 May 1994 until it was struck-off on 30 September 2009



BizInsights (People Profile Information)

People Profile of HAN HUN IL

Particulars						
Name	: HAN HUN IL					
NRIC	: 5020012					
Nationality	: KOREAN, SOUTH					
Address	: 12 MARGATE ROAD #08-05 SINGAPORE 438053					
Date of Change (Address)	: -					

Current Appointments						
NIL						

Past Appointments						
No.	Company / Business / LLP / LP / PAF	UEN	Company Status	Position	Date of Appointment	Date of Cessation
1	M.O.P. (S) PTE LTD	199302217E	STRUCK OFF	DIRECTOR	20-05-1994	30-09-2009

Disclaimer

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Source: ACRA

Annex 69: Countries in which MKP claims to operate

Figure 1: MKP's homepage claimed it operated in Algeria, Angola, Australia, Burundi, Cambodia, China, Congo, DRC, Ethiopia, Hong Kong, China, Kenya, Libya, Malaysia, Mozambique, Myanmar, Nigeria, Russia, Singapore, Tanzania, Uganda, Vanuatu, Zambia, Zimbabwe. The map at the bottom of the site further insinuates operations in Southeast Asia, Sub-Saharan Africa, Mideast/North Africa, North America and Europe.

Our Partners

	Algeria
	Angola
	Australia
	Burundi
	Cambodia
	China
	Congo
	Congo(DRC)
	Ethiopia
	Hong Kong
	Kenya
	Libya
	Malaysia
	Mozambique
	Myanmar
	Nigeria
	Russia
	Singapore
	Tanzania
	Uganda
	Vanuatu
	Zambia
	Zimbabwe

Our mission is to provide:

- **Strong Support**

While we are committed to providing ample support to those who need it, we are also appreciative of those who stand by us and hold us up in return. From the lowest ranking employees in our company to the suppliers that we work with, everyone deserves our thanks and praise. MKP give full assistance in endeavour projects and products. All necessary information provided from design stages till commencement and finish up the projects. Its portrait a strong hands on hands support towards the project.
- **Long Term Commitments**

Perseverance is our middle name. From the infant stages of planning and development, to the final phase of project completion, we never let anything stand between us and the finish line. MKP pledge to our customers to gives a long-term commitment. Our liability is to facilitate a commune-based information repository, first-class services and pleasant relationship. In a way, it will ensure one's loyalty by present as a responsible corporate body.
- **Team Work**

We realise that when and if we work together as a team, we can produce optimal results, far better than what can be achieved alone. For this reason alone, we emphasise on team work in everything we do. MKP works together in contributing different skills and subordinate individual interest and opinion to the unity and efficiency of projects. In these bond of cooperation internally and also with external consultants, the direction are to archive successful result.
- **State of the Art Products**

MKP known to build significant projects that stands out from others. We present highest level of development, a concept to assessing and asserting novelty and inventive structure.



Source: Archived version of the page:

<https://web.archive.org/web/20120119212635/http://mkpholdings.com.my/index.php>

Figure 2: MKP claims completed construction projects in Malaysia, Zambia, Zimbabwe, Madagascar, Angola, Libya, Sudan, Yemen, Russia, Hong Kong.

Completed Project

Ongoing Project

Proposed Project

Projects in Malaysia

- Padawan, Sarawak
- Mines Wonderland Theme Park
- Paddy Museum, Kedah
- GET Road, Banting

Central and South African Projects

- Zambia Lusaka Millennium City
- Zambia International Convention Center
- Zimbabwe: Harare
- Madagascar
- Angola Luanda
- Hotel Ritz (On Going)

North Africa, Middle East , Russia Projects

- Libya
- Sudan
- Yemen
- Russia

Hong Kong Project

- Artificial Lake & Tree House
- Four Season Hotel
- Harbour Green
- New Town Tower
- Robinson
- The Arch
- Cheung Sha Wan Commercial Building
- Kwun Tong 502
- Scaffolding

Irrigation & Dam

- Waterway
- Water Pipes
- Irrigation Tunnel
- Dam Project in Africa

Venue:Padawan, Sarawak, Malaysia

Status:Main contractor

Length:8.5 km

Duration:September 1996 - April 1998

MKP completed the Padawan access road project which has a gradient of 24 degree road inclination on time, on budget and at half the cost as proposed by other tendered companies (US 12 - 20 millions)



Gate to the Access Road



A Section of Serpent



Rear View of the Gate



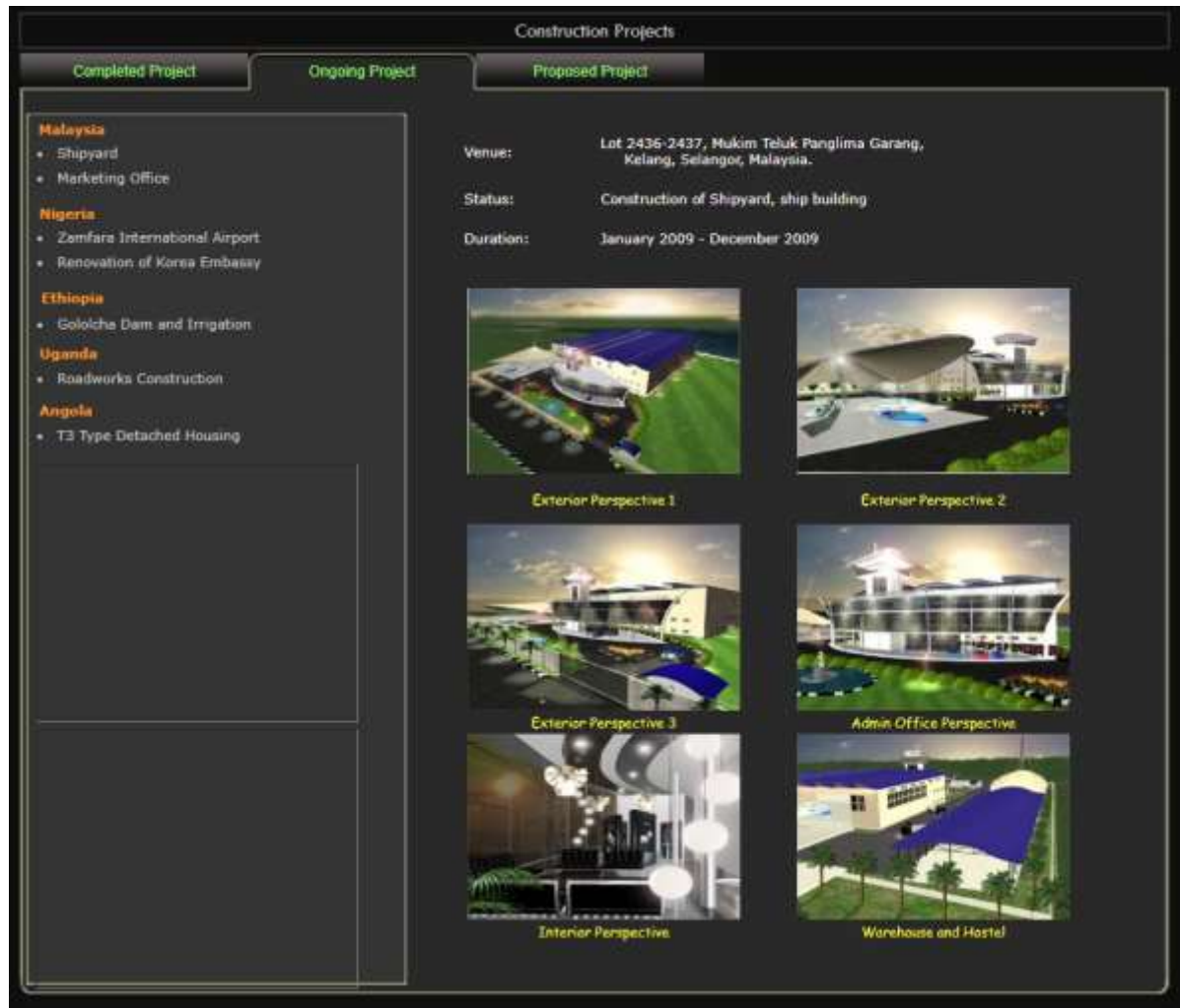
main road

Source: <http://www.mkpholdings.com.my/construction.php> (Page under tab, “Completed Project”)

242/299

18-01593 (C)

Figure 3: MKP claims construction projects in Malaysia, Nigeria, Ethiopia, Uganda, and Angola.



Source: <http://www.mkpholdings.com.my/construction.php> (page under tab, "ongoing project")

Annex 70: MKP claims to have Mansudae Overseas Projects (MOP) “solid and rich experience since 1964”



Source: MKP Website, <http://www.mkpholdings.com.my/aboutus.php> accessed 26 January 2018

Annex 71: MKP claims it constructed “National Heroes Acre” in Zimbabwe (constructed by Mansudae Overseas Projects)



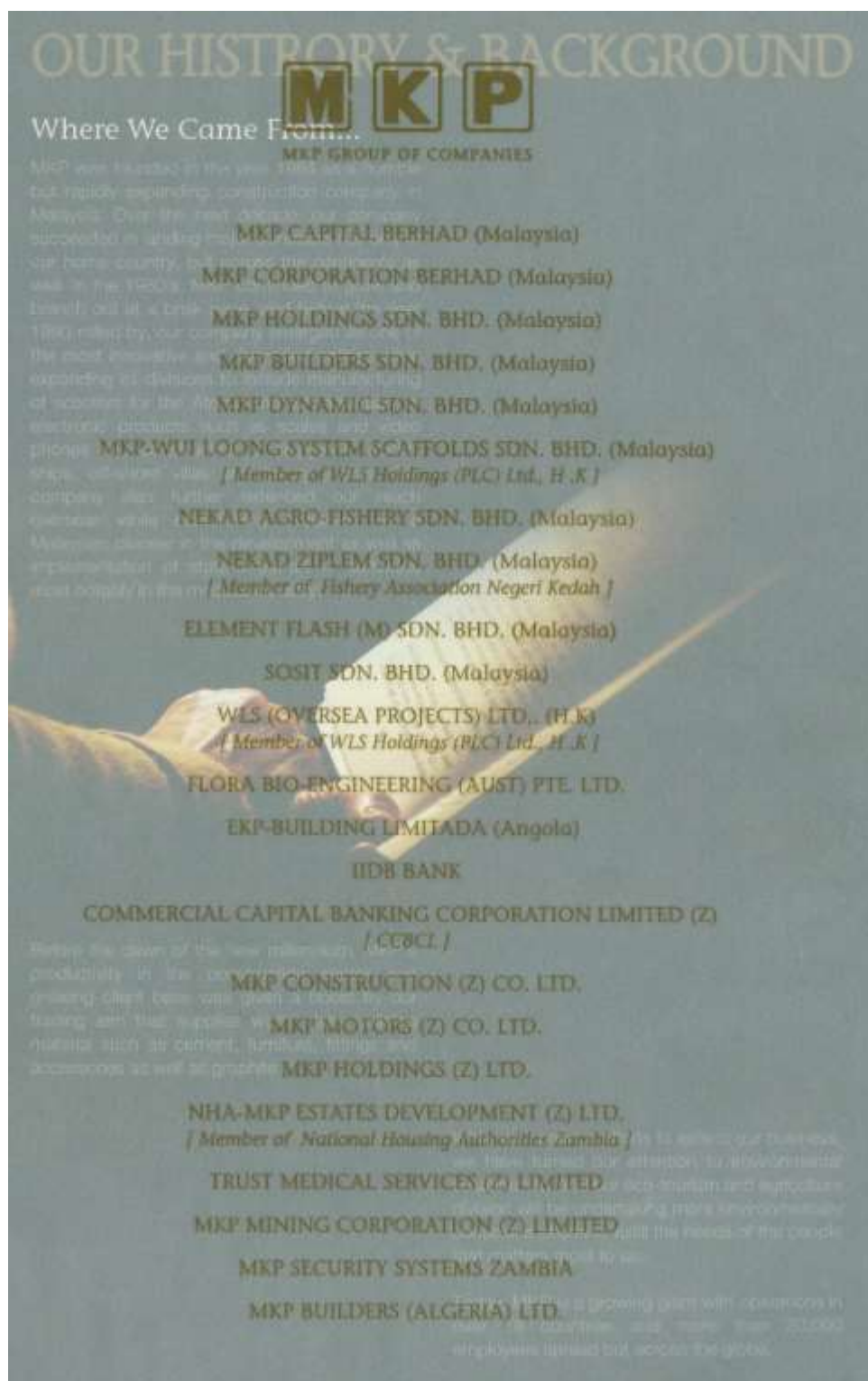
Source: <http://www.mkpholdings.com.my/subfile/construction/construction3.php>,
Accessed 26 January 2018

Annex 72: Zambian corporate registry list of companies with MKP in their name

 Patents & Companies Registration Agency <i>"Business Starts Here"</i>					
Entity Number:	Entity Name:	Registration Date:	Annual Return Status:	Nominal Capital Compliance Status:	Par Value:
Jun 30, 2011 18717	MKP HARDWARE AND INDUSTRIAL SUPPLIERS LIMITED		✗ FYE: 30-06-2012 Compliant	✗ Not Compliant ✗ Not Compliant	✗ Not Compliant ✓ Compliant
120150138517	MKP CONTRACTORS LIMITED	Dec 31, 2015	✓ FYE: 30-07-2017	✗ Not Compliant	✓ Compliant
120050058683	NHA - MKP ESTATES DEVELOPMENT LIMITED	Apr 29, 2005	✗ FYE: 30-06-2014	✗ Not Compliant	✗ Not Compliant
120060064168	MKP SECURITY SYSTEMS ZAMBIA LIMITED	Nov 7, 2006	✗ FYE: 01-01-2013	✗ Not Compliant	✓ Compliant
120040054717	MKP HOLDINGS LIMITED	Mar 1, 2004	✗ FYE: 01-03-2005	✗ Not Compliant	✗ Not Compliant
120130117265	MKP SOUTH AFRICA (ZAMBIA) LIMITED	Nov 15, 2013	✗ FYE: 31-12-2014	✗ Not Compliant	✓ Compliant
120110090060	MKP CAPITAL ZAMBIA LIMITED	Feb 4, 2011	✗ FYE: 04-02-2014	✓ Compliant	✗ Not Compliant
120110095546	MKP-IREHAB ZAMBIA LIMITED	Sep 13, 2011	✗ FYE: 30-09-2013	✗ Not Compliant	✗ Not Compliant
120010047965	MKP MOTORS (ZAMBIA) LIMITED	Aug 22, 2001	✗ FYE: 22-08-1912	✗ Not Compliant	✗ Not Compliant
120070068265	MKP BUILDERS ZAMBIA LIMITED	Aug 26, 2007	✗ FYE: 28-08-2012	✓ Compliant	✗ Not Compliant
120010047962	MKP CONSTRUCTION (ZAMBIA) LIMITED	Aug 22, 2001	✗ FYE: 01-01-2002	✗ Not Compliant	✗ Not Compliant
120100086671	OMEGA - MKP ZAMBIA LIMITED	Sep 1, 2010	✗ FYE: 07-05-2017	✓ Compliant	✓ Compliant
120060063279	MKP MINING CORPORATION LIMITED	Aug 16, 2006	✗ FYE: 16-08-2007	✗ Not Compliant	✓ Compliant
120060062028	MKP TMS HOSPITAL LIMITED	Apr 20, 2006	✓ Compliant	✓ Compliant	✓ Compliant
120070065306	MKP PATHFINDER LIMITED	Feb 8, 2007	✗ FYE: 01-04-2008	✓ Compliant	✓ Compliant
319980085789	MKP CONTRACTORS AND TRANSPORT	Nov 13, 1998	✗ FYE: 29-12-2016	Not Required	✓ Compliant

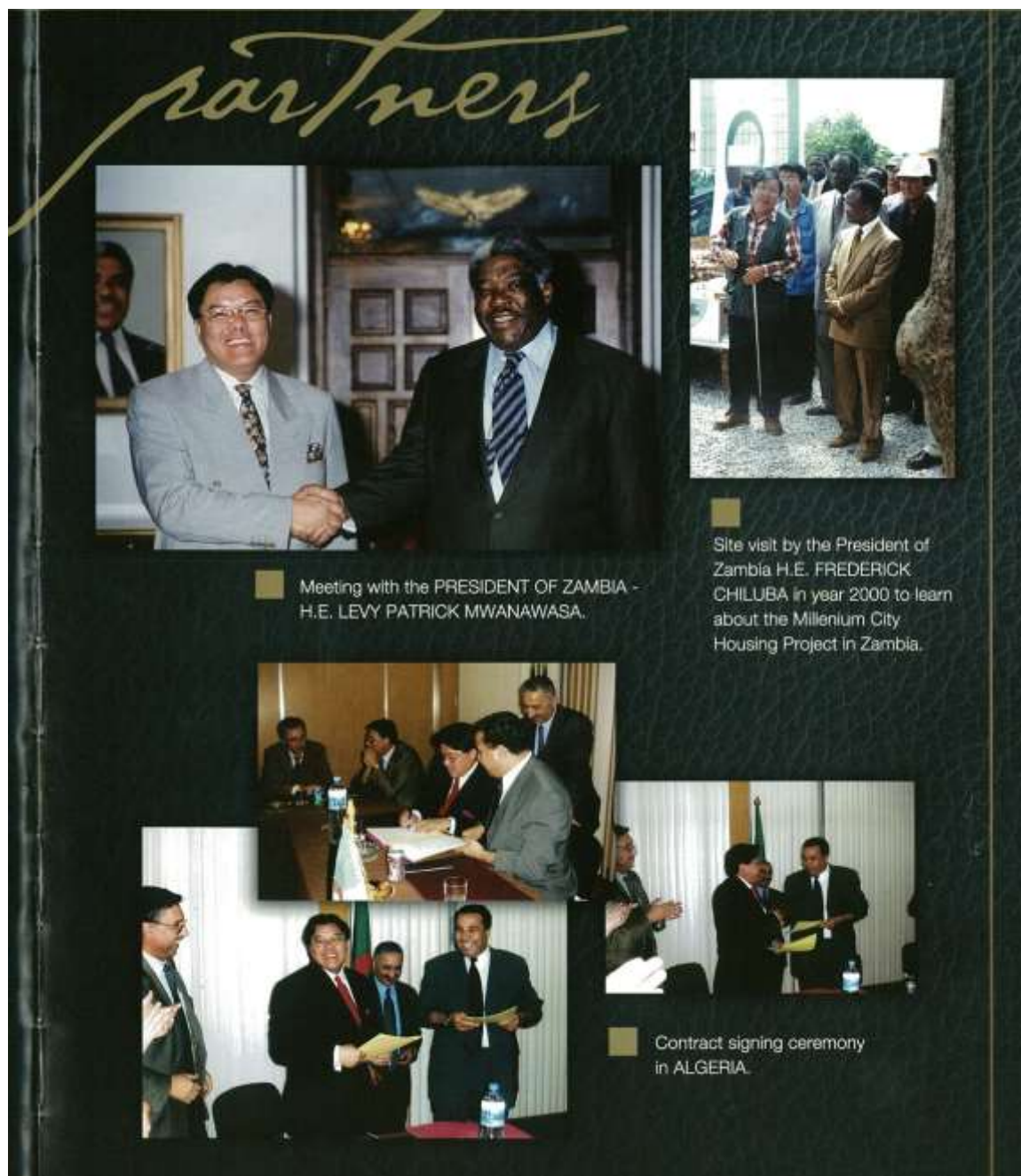
Source: Zambia Patents & Companies Registration Agency (PACRA)

Annex 73: MKP catalogue showing companies in MKP Group including in Angola, Zambia



Source: 2014 MKP Catalogue (same source for all ensuing photographs with the exception of those another source)

Annex 74: Yong Kok Yeap (MKP Chief Executive Officer) shaking hands with former Zambian president



Source: Page in catalogue devoted to important “partners” of MKP

Annex 75: MKP catalogue showing photos of MKP Zambia Director Yazid Merzouk accompanying Deputy Prime Minister of Malaysia on visit to MKP Trust Medical Center in July 2008



Source: MKP catalogue

Annex 76: Yazid Merzouk and other MKP directors accompanying Deputy Prime Minister of Malaysia on visit to Zambia MKP Trust Medical Center in July 2008



*Deputy Prime Minister of Malaysia
Datuk Sri Mohd Najib bin Tun Haji Abdul Razak
visit to MKP Trust Medical Center in Zambia.*



**Medical Infrastructure
and Specialist Center**

We provided a much needed boost to Zambia's health care industry by building a hospital that houses various specialists from varying medical disciplines.



Source: MKP website

Annex 77: MKP Board of Directors (including Han Hun Il, Yong Kok Yeap, and Yazid Merzouk of MKP–Zambia)

Image 1: Left to right: Ms. Siti Faridah Md. Lias, Mr Mohamad Fauzi Bin Othman, Mr. Mohamed Yazid Merzouk, Dato' Dr. Yong Kim Yeap, Admiral Datuk M. Ramly Baker (Rtd), Dr. Edward Han Hun Il, Mr. Ismael bin Ariffin, Ms. Camy Soh Pui Hoon



Source: MKP catalogue

Image 2: Bottom to top: Dr. Edward Han Hun Il, Dato' Dr. Yong Kim Yeap, Admiral Datuk M. Ramly Baker (Rtd), Mr. Mohamed Yazid Merzouk, Mr. Ismael bin Ariffin, Mr Mohamad Fauzi Bin Othman, Ms. Siti Faridah Md. Lias



Source: MKP catalogue

Annex 78: MKP leadership from left: Yazid Merzouk and Yong Kok Yeap, Han Hun Il to far right



Source: MKP catalogue

Annex 79: Lawsuit between Yazid Merzouk and Commerical Capital Consortium Limited

For the Appellant:

*Mr. Fraser Chishimba, of Messrs Fraser
and Associates*

For the Respondent:

*Ms Comfort Mulenga of Attorney-General's
Chambers*

RULING

Mwanamwambwa, Ag. D.C.J., delivered the Ruling of the Court

Case referred to:

1. Newton Malwa vs Lucky Mulusa (& Another) Selected Judgment No. 24 of 2014.

Legislation referred to:

1. Rules of the Supreme Court, 1999. Order 4. Rule 9 (1)

Other Works referred to:

1. Atkin's Court Forms 2nd Edition. Volume 37 (1995 Issue), pages 196 and 211.

Where two or more proceedings are pending before the same Court, and it appears to the Court that some common question of law or fact, arises in both or all of them, or the rights to relief claimed therein are in respect of or arises out of the same transaction or a series of transactions, the Court may order any of them to be stayed, until after determination of any of them. Stay in this instance, is a temporary-hold-up in the proceedings, though it is clearly contemplated that the result of the action which proceeds will, as a test action, in effect determine the stayed proceedings. Stay is a discretionary remedy, when the several actions are not so

IN THE SUPREME COURT FOR ZAMBIA
HOLDEN AT LUSAKA
(Civil Jurisdiction)

APPEALS No. 38 AND 101 OF 2012
 SCZ/8/159/2012
 SCZ/8/18/024/2012

IN THE MATTER OF: AN APPLICATION UNDER ORDER 8 RULE 3 OF THE
 RULES OF THE SUPREME COURT 1999 EDITION AS
 READ TOGETHER WITH ORDER 59 RULE 14 OF RSC
 1999 EDITION

AND

IN THE MATTER OF: STATUTORY INSTRUMENT NO. 26 OF 2012 OF THE
 SUPREME COURT (AMENDMENT) RULES, 2012 AND
 IN PARTICULAR RULE 58 (5) OF THE SUPREME
 COURT (AMENDMENT) RULES, 2012

BETWEEN:

SAMBA LUBEMBA

APPELLANT

AND

OPHELIA HANYAAMA

1ST RESPONDENT

SANGARE TRANSPORT LIMITED

2ND RESPONDENT

ATTORNEY GENERAL

3RD RESPONDENT

BETWEEN:

YAZID MERZOUK

APPELLANT

AND

COMMERCIAL CAPITAL CORPORATION

LIMITED

RESPONDENT

Coram: Mwanamwambwa, Ag D.C.J, Chibomba, Phiri, Wanki, Muyowwe, Wood,
 Malila, Kaoma, J.J.S., and Lengalenga, Ag. J.S.

On the 15th of October 2014

For the Appellant:

*Mr. W.L. Mubanga, of Messrs Chilupe and
 Company; Permanent Chambers*

For the Respondent:

*Mr. Mondenga, of Messrs Mondenga and
 Company.*

Annex 80: Zambia corporate registry of MKP Holdings Ltd with Yazid Merzouk and “Korea” national



Patents and Companies Registration Agency

Computer Printout - Local Company

120040054717

Local Company	MKP HOLDINGS LIMITED	Registration Number	120040054717
Date of Incorporation	01 day of March 2004	Date of FY End	01/03/2005
Registered Office	PLOT NO. 5591 KALUNDU, LUNSEMFUA ROAD		
Postal Address	P.O. BOX 31102		
Town / City			
Country			
Certificate Signed By	N.J. Moola		
Phone			
Email			
Struck off/Ceased on			
Nominal capital	K 2000		
Number of Shares	2000000		
Liability			
Articles Filed Date			
Amended Articles Filed Date			
Adopted Articles Filed Date			
Company Liquidated Date			
Company in Receivership Date			
Nature of Business			
Annual return			

Source: Zambia Patents and Companies Registration Agency, www.pacra.org.zm

Annex 81: Zambia corporate registry of MKP TMS Hospital Ltd with Yazid Merzouk and "Korea" directors/shareholders



Patents and Companies Registration Agency

Computer Printout - Local Company

120060062028

Local Company
Date of Incorporation
Registered Office
Postal Address
Town / City
Country
Certificate Signed By
Phone
Email
Struck off/Ceased on
Nominal capital
Number of Shares
Liability
Articles Filed Date
Amended Articles Filed Date
Adopted Articles Filed Date
Company Liquidated Date
Company in Receivership Date
Nature of Business
Annual return

MKP TMS HOSPITAL LIMITED
20 day of April 2006
NO 05 REED BUCK ROAD KABULONGA LUSAKA
P.O. BOX 31102
W. Banda
+2611266986
info@mkp-tmhospital.com
K 15000
15000
Normal Company

Registration Number
Date of FY End
120060062028
31/12/2018

[REDACTED]

Year	Date Delivered	
2017	10/05/2017	
2016	27/05/2016	
2015	22/05/2015	
2014	15/05/2014	
2013	26/06/2013	
2012	20/08/2012	
2011	29/09/2011	
2010	20/03/2012	
2009	20/03/2012	
2008	20/03/2012	
2007	20/03/2012	
Class of Shares	Number authorised	Par value Per share
Ordinary	15,000.00	1.00
Ordinary	25.00	25.00

Individuals

Present forenames and surnames	Address	Nationality & NRC/ Passport No	Occupation	Director/ Partner	Secretary	Shareholder / Member	Amount	Share Class
SIDNEY KAMWENDO		100030/11/1 ZAMBIA	BUSINESSMAN		Yes			
YAZID MOHAMED MERZOUK		0962094 ALGERIA		Yes		Yes	2,750.00	Ordinary
BETTY MULONGOTI		183674/62/1 ZAMBIA		Yes		Yes	250.00	Ordinary
ABDELDJALLIL MERZOUK		PP.94999550 ALGERIA		Yes				

HO UN RAN		554132049 KOREA		Yes		Yes	500.00	Ordinary
HAN YONG		554132045 KOREA		Yes		Yes	1,500.00	Ordinary

Source: Zambia Patents and Companies Registration Agency

Annex 82: Zambia corporate registry of Commercial Capital Corporation



Patents and Companies Registration Agency

119930029153

Computer Printout - Local Company

Local Company **COMMERCIAL CAPITAL CORPORATION LIMITED** **Registration Number** **119930029153**
Date of Incorporation 14 day of July 1993 **Date of FY End** 14/07/1957
Registered Office ZIMCO HOUSE, CHAINDA PLACE
Postal Address P.O. BOX 32378
Town / City
Country
Certificate Signed By G K LIPIMILE
Phone
Email
Struck off/Ceased on
Nominal capital K 10000000
Number of Shares 10000000000
Liability
Articles Filed Date
Amended Articles Filed Date
Adopted Articles Filed Date
Company Liquidated Date
Company in Receivership Date
Nature of Business

Individuals

Present forenames and surnames	Address	Nationality & NRC/ Passport No	Occupation	Director/ Partner	Secretary	Shareholder / Member	Amount	Share Class
DERRICK MUNSELE		172180/66/1 ZAMBIA	ACCOUNTANT	Yes	Yes			
SAMSON SAKALA		138276/63/1 ZAMBIA	DIRECTOR			Yes	6,250,00 0.00	
DAVID KAYOMBO KAMBITA		160789/21/1 ZAMBIA	DIRECTOR			Yes	3,750,00 0.00	
KINGSLEY MUWOWO		ZAMBIA				Yes	250,000. 00	
WINNERD SIMWALA		164457/11/1 ZAMBIA	BUSINESSW OMAN			Yes	6,250,00 0.00	

Source: Zambia Patents and Companies Registration Agency

Annex 83: Zambia corporate registry of MKP-Lloyds Green Tech Ltd



Patents and Companies Registration Agency

Computer Printout - Local Company

120110093559

Local Company: MKP-LLOYDS GREEN TECH LIMITED
 Date of Incorporation: 30 day of June 2011
 Registered Office: PLOT NO. 5490 LUNSEMPWA ROAD, KALUNDU LUSAKA ZAMBIA
 Postal Address: P.O. BOX 31102 LUSAKA ZAMBIA
 Town / City: LUSAKA
 Country: ZAMBIA
 Certificate Signed By: W. Banda
 Phone:
 Email:
 Struck off/Ceased on:
 Nominal capital: K 5000
 Number of Shares: 5000000
 Liability:
 Articles Filed Date:
 Amended Articles Filed Date:
 Adopted Articles Filed Date:
 Company Liquidated Date:
 Company in Receivership Date:
 Nature of Business:
 Annual return:

Individuals

Present forenames and surnames	Address	Nationality & NRC/ Passport No	Occupation	Director/ Partner	Secretary	Shareholder / Member	Amount	Share Class
MOHAMED YAZID MERZOUK		02867282 ALGERIA	DIRECTOR	Yes				
LLOYD CHINGAMBO		160749/43/1 ZAMBIA	DIRECTOR	Yes				
CHARLES VICTOR HOLLAND	-	202930/61/1 ZAMBIA	DIRECTOR	Yes				

Business Entities

Business Number	Name of Business	Residential & Postal addresses	Secretary	Shareholder / Member	Amount	Share Class
120040057384	LLOYDS FINANCIALS LIMITED	P.O. BOX 390035 LUSAKA ZAMBIA		Yes	2,000.00	Ordinary
120110090060	MKP CAPITAL ZAMBIA LIMITED	P.O.BOX 31102 LUSAKA ZAMBIA		Yes	3,000.00	Ordinary

Source: Zambia corporate registry

Annex 84: Zambia corporate registry of MKP Security Systems Zambia Ltd



Patents and Companies Registration Agency

120060064168

Computer Printout - Local Company

Local Company
 Date of Incorporation
 Registered Office
 Postal Address
 Town / City
 Country
 Certificate Signed By
 Phone
 Email
 Struck off/Ceased on
 Nominal capital
 Number of Shares
 Liability
 Articles Filed Date
 Amended Articles Filed Date
 Adopted Articles Filed Date
 Company Liquidated Date
 Company in Receivership Date
Nature of Business
 Annual return

MKP SECURITY SYSTEMS ZAMBIA LIMITED
 07 day of November 2006
 PLOT NO. 7393 CHAINDA PLACE, CAIRO ROAD
 P.O. BOX 31102
 B. MWALONGO
 K 5000
 500000
 Normal Company

Registration Number
 Date of FY End
 120060064168
 01/01/2013

Individuals

Present forenames and surnames	Address	Nationality & NRC/ Passport No	Occupation	Director/ Partner	Secretary	Shareholder / Member	Amount	Share Class
TIMOTHY KAZEMBE		118178/61/1 ZAMBIA		Yes		Yes	100,000.00	
N'GONGA OSWALD GOODSON BWALYA		177920/66/1 ZAMBIAN	DIRECTOR	Yes		Yes	50,000.00	
SAMSON SAKALA		138276/63/1 ZAMBIA	DIRECTOR	Yes	Yes	Yes	100,000.00	

Source: Zambia Patents and Companies Registration Agency, www.pacra.org.zm

Zambia corporate registry of MKP-Irehab Limited


Patents and Companies Registration Agency
Computer Printout - Local Company

120110095546

Local Company	MKP-IREHAB ZAMBIA LIMITED	Registration Number	120110095546
Date of Incorporation	13 day of September 2011	Date of FY End	30/09/2013
Registered Office	NO. 5, OFF REEDBUCK ROAD, KABULONGA.		
Postal Address	P.O. BOX 311023, LUSAKA ZAMBIA		
Town / City	LUSAKA.		
Country	ZAMBIA		
Certificate Signed By	W. Banda		
Phone			
Email			
Struck off/Ceased on			
Nominal capital	K 5000		
Number of Shares	5000000		
Liability			
Articles Filed Date			
Amended Articles Filed Date			
Adopted Articles Filed Date			
Company Liquidated Date			
Company in Receivership Date			
Nature of Business			
Annual return			

Year	Date Delivered
2012	26/04/2013

Individuals

Present forenames and surnames	Address	Nationality & NRC/ Passport No	Occupation	Director/ Partner	Secretary	Shareholder / Member	Amount	Share Class
ABDELDJALLIL MERZOUK		9499950 ALGERIA	DIRECTOR	Yes				
MOHAMED YAZID MERZOUK		02867282 ALGERIA	DIRECTOR			Yes	2,550,00 0.00	Ordinary
DERICK MWASHUNGUTI		451237/11/1 ZAMBIA	BUSINESSW OMAN		Yes			
MOHAMED YAZID MERZOUK		02030956 ALGERIA		Yes				
DR ZALILAH BINTI SALLEH GHANY		A23679291 ZAMBIAN	DIRECTOR	Yes		Yes	2,450,00 0.00	Ordinary

Business Entities

Annex 85: Corporate Registry Documents for Commercial Capital Corporation (CCCL)

Local Company	COMMERCIAL CAPITAL CORPORATION LIMITED	Registration Number	119930029153
Date of Incorporation	14 day of July 1993	Date of FY End	14/07/1957
Registered Office	ZIMCO HOUSE, CHAINDA PLACE		
Postal Address	P.O. BOX 32378		
Town / City			
Country			
Certificate Signed By	G K LIPIMILE		
Phone			
Email			
Struck off/Ceased on			
Nominal capital	K 10000000		
Number of Shares	10000000000		
Liability			
Articles Filed Date			
Amended Articles Filed Date			
Adopted Articles Filed Date			
Company Liquidated Date			
Company in Receivership Date			
Nature of Business			

Business Entities

Mortgage Code	Bank name	Amount	Date	Status
2185	DEVELOPMENT BANK OF ZAMBIA	2045	21/04/2008	
1163	INTERMARKET BANKING LIMITED	500000	13/07/2004	

Annual return

Year	Date Delivered
2007	28/03/2008
2006	23/08/2007
2005	31/12/2005
2005	30/06/2006
2004	06/04/2004
2003	22/05/2003
2002	15/05/2003
2000	26/12/2000
1999	31/01/2000
1998	26/01/1999
1997	31/03/1998

Individuals

Present forenames and surnames	Address	Nationality & NRC/ Passport No	Occupation	Director/ Partner	Secretary	Shareholder / Member	Amount	Share Class
DERRICK. MUNSELE		172180/66/1 ZAMBIA	ACCOUNTANT	Yes	Yes			
SAMSON SAKALA		138276/63/1 ZAMBIA	DIRECTOR			Yes	6,250,00 0.00	
DAVID KAYOMBO KAMBITA		160789/21/1 ZAMBIA	DIRECTOR			Yes	3,750,00 0.00	
KINGSLEY MUWOWO		ZAMBIA				Yes	250,000. 00	
WINNERD SIMWALA		164457/11/1 ZAMBIA	BUSINESSWOMAN			Yes	6,250,00 0.00	

Annex 86: Analysis of MKP claim that its website was hacked to create a false impression of a link to a DPRK financial institution

MKP has claimed that its website was hacked, and that the hackers uploaded an image and new content to create the impression of a false connection between MKP and a DPRK financial institution (the International Consortium Bank, or ICB). MKP claimed it discovered this alteration on 3 March 2017 and filed a report with the police. Here is the webpage in question:

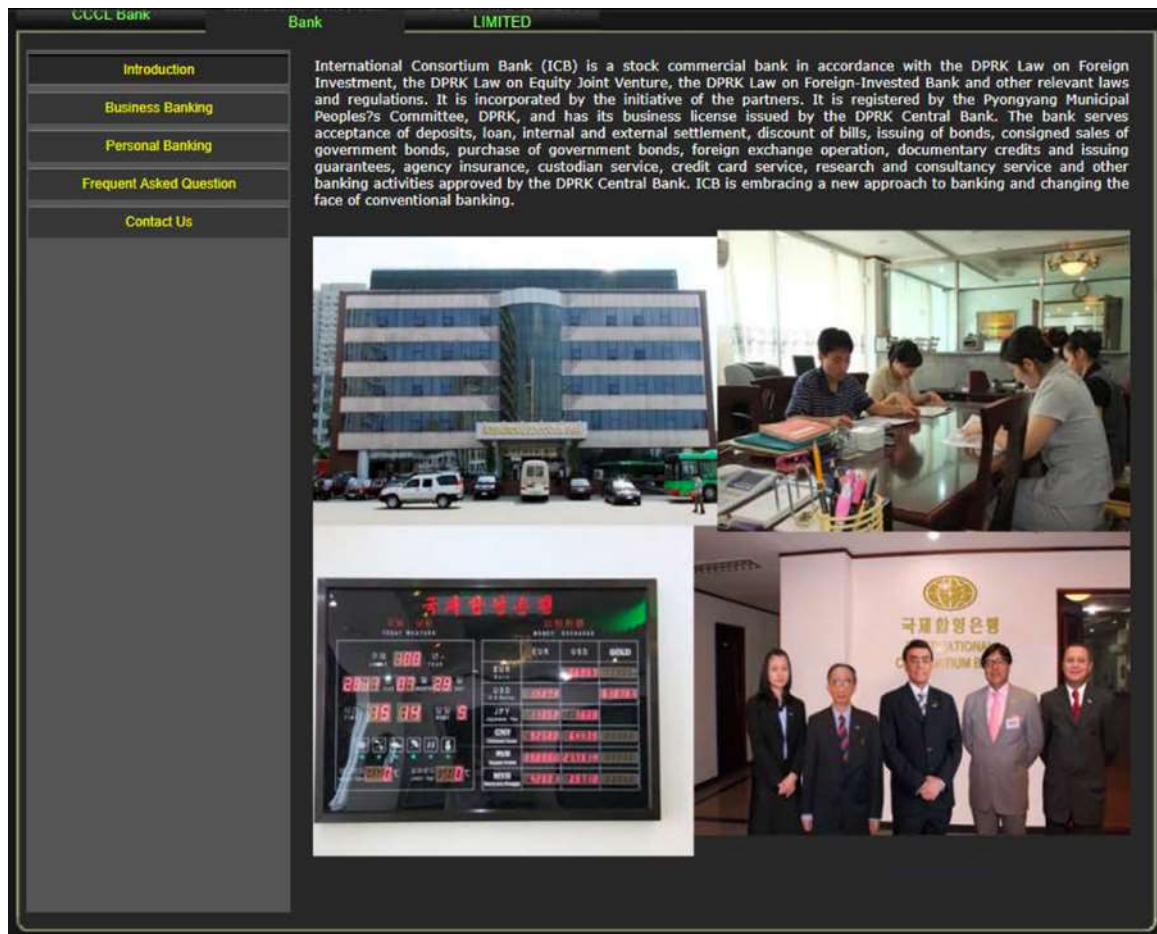


Figure 1 (see below) shows a screenshot of the page in question as it appeared 3 March 2017.

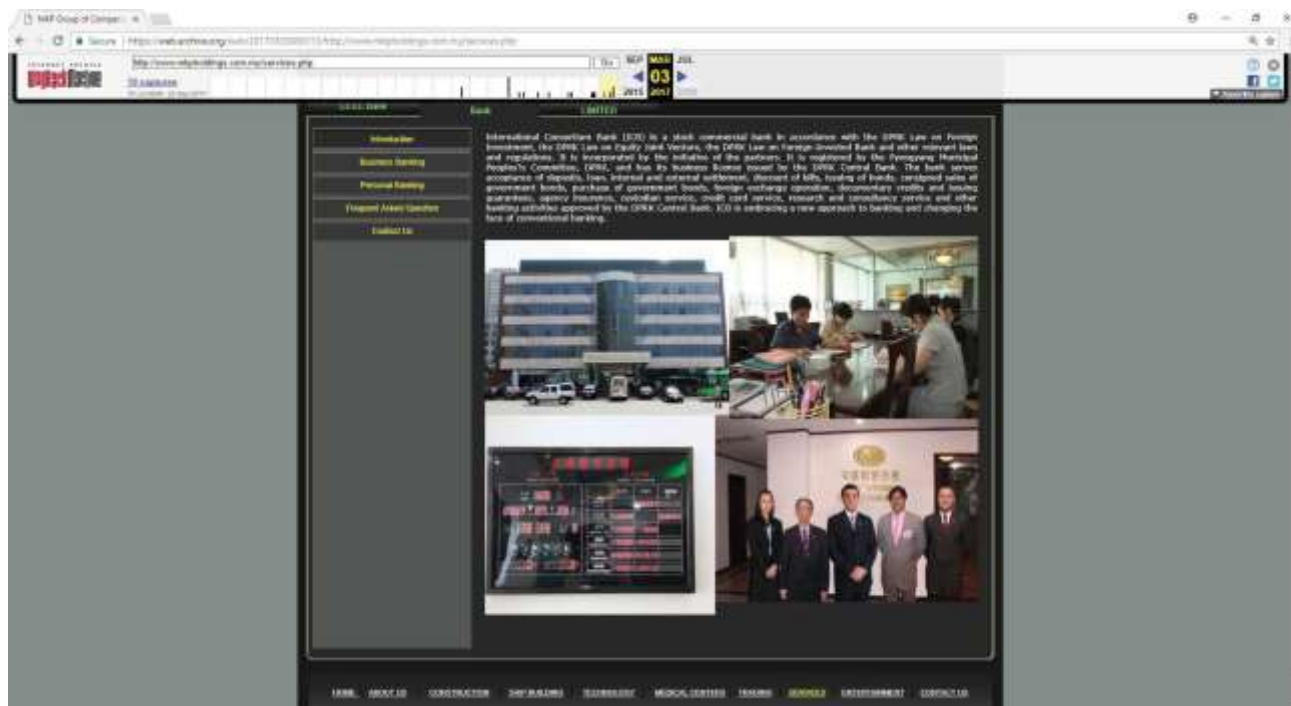


Figure 1: Screenshot of page in question dated 3 March 2017

Archived versions of the site provide evidence to the contrary. These versions help determine approximately when the images and information appeared, and how it changed over time. If MKP's website was indeed hacked, then the hackers would have had to begin their operation years ago and routinely update the allegedly planted information multiple times, to conform to significant changes in MKP's website.

First, the image and information MKP claims hackers falsely inserted can be seen on its website two years before its alleged discovery. Figure 2 (below) displays an archived version of MKP's website as it would have appeared on 14 April 2015.

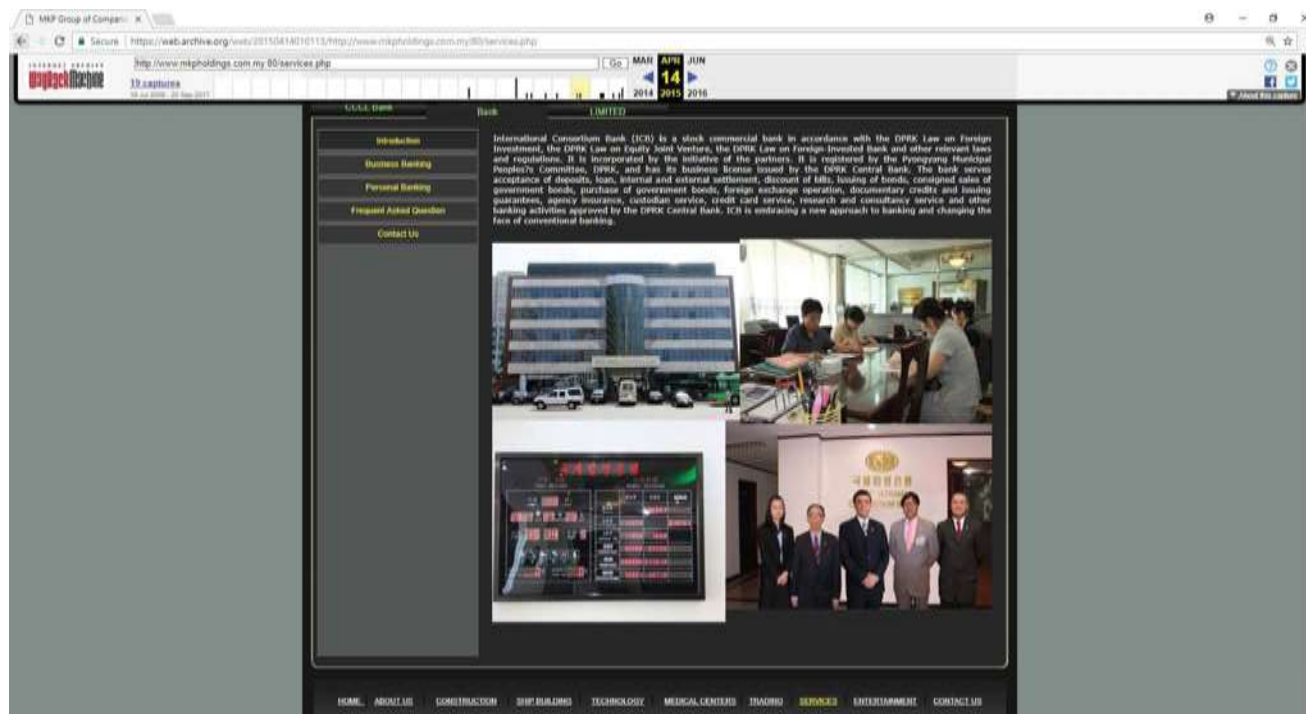


Figure 2: archived version of MKP's website as it would have appeared on 14 April 2015

The page remained almost unchanged between this date and 30 March 2017 when MKP filed its police report. Additionally, analysis of the exit data in the image which MKP claims was hacked into their website, reveals a Photoshop time stamp dating the most recent save (or resave with Photoshop) of this image back to 2012:07:06 at 17:53:54, predating MKP's claimed discovery and the image's supposed first appearance on MKP's website. If MKP's site was hacked and false information implanted, MKP failed to discover it for at least two years and the Photoshopped image itself is significantly older.

General information on ICB and MKP appeared far earlier on MKP's site, but in a different form. Prior to the 14 April 2015 archived image, information appeared on this page with identical text, albeit with another image. Figure 3 (see below) captures the page as it appeared on MKP's website on 31 August 2012. In both cases, individuals appear to have been photoshopped against the background of the wall with the ICB logo. As this is the case in both images, MKP's claim that the photoshopping of people onto the 2015 photo is evidence of recent hacking, does not stand up to scrutiny.



Figure 3: page as it appeared on MKP's website on 31 August 2012

On 19 January 2012, approximately seven months before the archived image of the MKP website first appeared, the page tab still existed under a different name: "HIB Bank". Hi-Fund International Bank (HIB) is an alias for ICB – a fact which MKP acknowledged in its response to the Panel. The image for the 31 August 2012 page was the same used for the HIB tab seen on 19 January 2012 (Figure 4, see below).

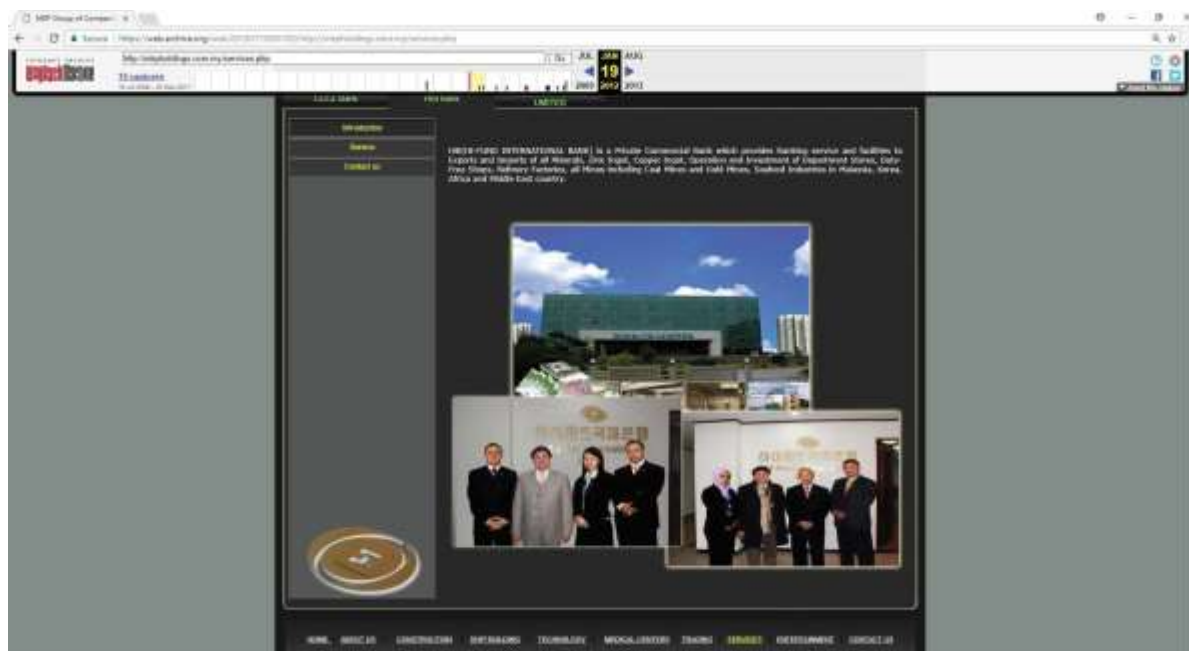


Figure 4: The image for the 31 August 2012 page as it appeared on 19 January 2012

In addition to its claim about this false link to ICB, MKP also claims to have no connection to IADB Bank. However, in 2005 MKP included IADB Bank on a list of MKP companies and noted it owned a 50 percent stake in the company. Figure 5 (below) is an archived image of MKP's website as it appeared in 2005. In the top right, MKP lists the companies under its umbrella.



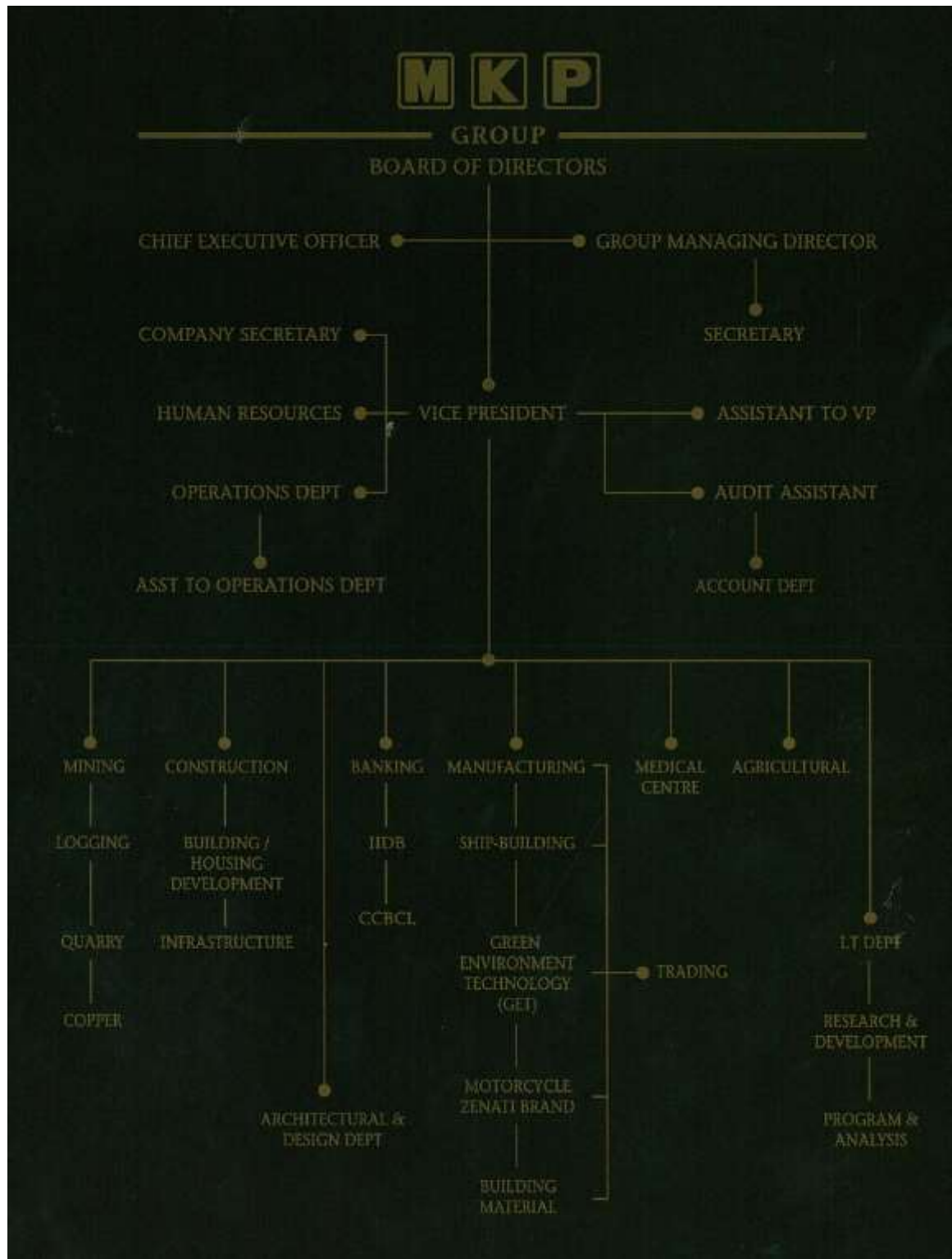
Figure 5: archived version of MKP's website as it appeared 26 October 2005

Figure 6 (below) is taken from the same page. It provides information on MKP's ties to IADB and makes the 50 percent ownership claim.



Figure 6: Another section of page as it appeared 26 October 2005

Annex 87: MKP catalogue showing company organigram



Source: MKP catalogue

Annex 88: Uganda Corporate registration documents with “Korean” nationals for “MKP Builders San Bhd” (ID: F2220), “MKP Capital Bernard” (ID: 106306), and “NH-MKP Builders Ltd” (ID: 133404)

MKP BUILDERS SAN BHD

Registration ID; - F2220

Incorporation Date; - 8th July 2011

Shareholders;-

Foreign Company – No shares Listed

Foreign Country Associates and their nationality;

Foreign Country Associates	Nationality
Mr. Yong Kyong Kin	Korean
Janet Lukonga Bilan	Ugandan
Muhammed .A. Banomaran	Lybian

Trades as; - VIDAS ENGINEERING SERVICES Co. LIMITED

Company Address; -

Vidas Engineering Services Co. Ltd,
Floor/suite No. 2nd Floor room A4 Jk
Building, Kiira road – Ntinda,
P.O. BOX 71911, Kampala
Tel; +256772661946
E-mail; vidaslimited@yahoo.com

Status;- Existing

Last date of filling returns 25th April 2017

Source: Uganda Registration Services Bureau, www.ursb.go.ug

MPK CAPITAL BERNARD CO. LIMITED**Registration ID; - 106306****Incorporation Date; - 26th February, 2009****Shareholders;-**

Share holders	% share holding
Mr. Young Kyong	1
Mr. Edward Han	1
Mr. Henry Mukisa	1
Mr. Asa Mugenyi	1
Total Shares	Not illustrated

Directors and their Nationality;-

Directors	Nationality
Mr. Yong Kyong	Korean
Mr. Edward Han	Korean
Mr. Henry Mukisa	Ugandan
Mr. Asa Mugenyi	Ugandan

Trades as; - VIDAS ENGINEERING SERVICES Co. LIMITED**Company Address; -**

Vidas Engineering Services Co. Ltd,
 Floor/suite No. 2nd Floor room A4 Jk
 Building, Kiira road – Ntinda,
 P.O. BOX 71911, Kampala
 Tel; +256772661946
 E-mail; vidaslimited@yahoo.com

Status;- Existing

Source: Uganda Registration Services Bureau, www.ursb.go.ug

NH-MKP BUILDERS LIMITED**Registration ID;** - 133404**Incorporation Date;** - 7th July 2011**Shareholders;** -

Share holders	% share holding
National Housing & Construction Company Ltd	1,100,000
MKP Builders SDN. BHD (MKP)	900,000
Total Shares	2,000,000

Directors and their nationality;-

Directors	Nationality
Jane Bilek Langoya	Ugandan
Mhanmed A. Benomran	Libyan
Henry Majoh Mukisa	Ugandan
Choi Dah Hwan	Korean

Trades as; - NATIONAL HOUSING & CONSTRUCTION Co. LIMITED**Company Address;-**National Housing & Construction Co
Ltd,Plot 5, 7th street, Industrial Area,

P.O. BOX 659, Kampala.

Tel; +256414330002

Status; - ExistingSource: Uganda Registration Services Bureau, www.ursb.go.ug

Annex 89: Corporate registration documents for “Vidas Engineering Services

VIDAS ENGINEERING SERVICES COMPANY LIMITED

Registration ID; 56387

Legal Status; Limited Liability Company

Incorporation Date; 2nd January 2003

Core Operational Area: Works and Supplies

Our Business Sectors:

- Building and construction materials
- Plumbing materials
- Protective wear
- Timber and firewood
- Electrical, plumbing and other construction installation activities
- Civil engineering
- Construction of buildings & carpentry
- Construction of roads and bridges
- Construction of water projects

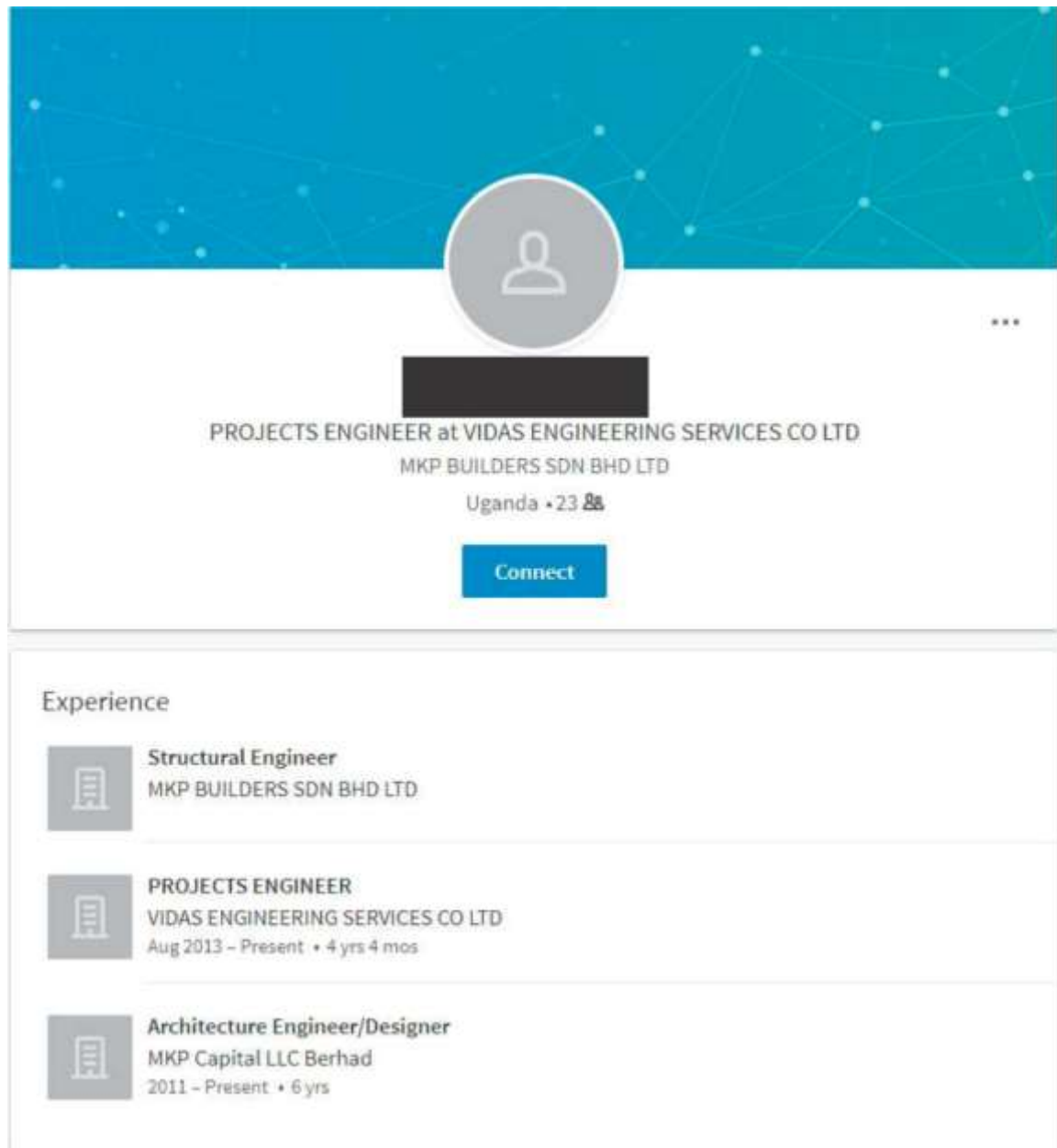
Share Capital; Ug shs 20,000,000 divided into 1000 shares of @Ug shs 20,000 in preferred shares

Share Holders, their % share holdings and nationality

Share holders	% share holding	Nationality
Didas Ndamira	780	Ugandan
Joseph .O. Eyetu	20	Ugandan
Simpson Davids	20	Britain
Didas Rutandikire	180	Ugandan
Total Shares	1,000	

Source: Uganda Registration Services Bureau, www.ursb.go.ug

Annex 90: Linked in Profile linking Vidas Engineering to MKP Builders Sdn.



Source: The Panel

Annex 91: Projects involving “Vidas Engineering Services – Media article and listing of projects on Ugandan Ministry of Water and Environment Website

NWSC Unveils Shs500m Water Project in Hoima

By Johnbosco Tugume

National Water and Sewerage Corporation Hoima branch has unveiled Shs500 million water extension project aimed at provision of clean piped water.

The project was awarded to Vidas Engineering Services limited and is expected to have completed the work in three months period.

The National Water and Sewerage Corporation Hoima branch manager, Moses Nandigobe said the project is set to connect over 200 households to clean piped water in 20 villages of Mparo and Bujumbura divisions in Hoima Municipality.

Most of the beneficially villages have spent over six years without accessing piped water while others had been connected but their taps had run dry because of their geographical locations. Mr. Nandigobe said villages in hilly areas could hardly get regular water access because of the too much pressure needed to pump water in those areas saying this new water project has been established at Bakuumira hill hence water flow to people's taps will be easy.

"This hill (Bakuumira) where our project is established is the highest of any intending customer that we intend to serve and water problems in mostly upland areas are going to be solved. Our plan is to ensure that every village in the municipality is supplied with piped water by 2020," said Nandigobe.

He revealed that the corporation is covering 61 villages in the municipality out of the existing 148 total villages.

The Chairman for Kyarwabuyamba cell, Hajji Ramathan Mugisa commended government for the project saying it will boost household development.

"I commend government for this because my village has been water stressed for years despite being in a municipality. Majority of my people had resorted to fetching water from water sources because they couldn't afford daily water expenses where a Jerrycan of water costs between ShsSOO to Shs700," he said.

Catherine Kato, a mother of three in Bujumbura cell called for the expedition of the project but cautioned against charging exorbitant tariffs. The councilor, Manday Magrette said once completed, it will boost sanitation and hygiene in the area.

"Sanitation has been a public concern here since people have flush toilets but couldn't use them due to failure to access constant water supply," she said

She also asked National Water and Sewerage Corporation officials to use media in sensitizing the public about piped water services like metre billing, unit measurements among others.

The municipality mayor, Marry Grace Mugasa however cautioned residents against blocking their fellows from passing water pipes in their land for connection.

Source: Kampala Post, 17 October 2017, accessed via <https://kampalapost.com/content/news/nwsc-unveils-shs500m-water-project-hoim>

Annex 92: List of projects by Vidas Engineering Services on Ugandan Ministry of Water and Environment Website

10/24/2017

Water & Sanitation Development Facility – Central



MINISTRY OF WATER & ENVIRONMENT

WATER & SANITATION DEVELOPMENT FACILITY

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Water and Sanitation Development Facility – Central (WSDF-C) is the youngest of the four Water and Sanitation Development Facilities (WSDFs) established country-wide. It has been in operation since July 2010, with a regional office located at Wakiso Headquarters.

Project Summary

Milestone	No. of towns	Towns
No. of designs completed to date	17	Nakasongola, Bugoigo, Walukuba, Zigoti, Kagadi Kabwoya, Busaana, Kabembe, Kalagi, Nagalama, Kikunyu, Kiyindi, Namulonge, Kiwenda, Busiika, Kiwoko, Butalangu
On-going designs under consultancy assignments	16	Ngando (Butambala), Lwengo T/C, Katovu, Kyazanga, Lukaya, Kyabadazza, Butenga, Buyoga, Kakindu, Sekanyonyi, Kasawo, Butemba, Kikandwa, Mbirizi, Kapeeka, and Gombe,
Towns under planning up to 2018	24	Lwengo T/C, Katovu, Kyazanga, Busaana, Kabembe, Kalagi, Nagalama, Kikunyu, Kiyindi, Namulonge, Kiwenda, Busiika, Kiwoko, Butalangu, Lukaya, Kyabadazza, Butenga, Buyoga, Kakindu, Sekanyonyi, Kasawo, Butemba, Kikandwa, and Mbirizi
Sanitation component	140 Household Ecosan Demonstration Toilets	Nkoni, Kyamulibwa, Najjembe, Kinogori, Butiaba, Bugoigo, Walukuba, and Gombe
	28 VIPs	
	8 Water Borne: 8 Kyamulibwa Water Borne Toilet	
	120 Drilled Boreholes:	

#	Town/RGC	Narrative	Status	Partners	Contractors
11	Najjembe	Completed	100%	ADB, GoU	Vidas Engineering Services Ltd

10/24/2017 Water & Sanitation Development Facility - East

MINISTRY OF WATER & ENVIRONMENT
WATER & SANITATION DEVELOPMENT FACILITY

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WSDF (Water & Sanitation Development Facility) is a department of Min. of Water & Environment. WSDF is divided into "sub-facilities" according to regions. WSDF thus has 4 regions which are South West, Eastern, Central & Northern. These facilities are each headed by a Manager and have got staff from a wide range of disciplines including Engineers, Hydrologists, Accountants/Auditors and Social-scientists.

WSDF-E supports small towns & rural communities (like Abim TC, Suam Town Board, Kotido) in construction of water schemes & sanitation facilities (i.e. toilets). It is typically a Water scheme or Sanitation Facility, e.g. Katakwi TC Piped Water Supply Scheme.

These small towns local government want to provide water for their people but because they do not have the adequate expertise to pursue this, they will opt for hiring contractors albeit with little to no finances to pay the contractors; this is where WSDF comes in. WSDF is able to lobby for donations from the likes of the European Union & Austrian Development Agency. WSDF, however, will not do the actual construction work. Instead, with its team of procurement and engineering officers, WSDF will do the financing and contracting and supervising of contractors on behalf of these small towns.

Project Summary

Milestone	No. of towns	Towns
No. of designs completed to date	20	Moroto(Moroto), Ketido(Kotido), Kacheri Lokona(Kotido), Nakiperimora(Kotido), Bugadde(Mayuge), Bwondha(Mayuge), Namwiwa(Kaliro), Kibale(Pallisa), Idudi(Kugiri), Lunino(Busia), and Kadungulu(Soroti), Tubur(Soroti), Acowa(Amuria), Kidetok(Serere), Buyaga(Bulambuli), Bulambuli(Bulambuli), Namungatwe(Iganga), Kibale(Namutumba), Bumbya(Luka), Bugobi(Namutumba).
No. of Towns under procurement	2	Namayingo(Namayingo), Amudat (Amudat)
On-going Construction	10	Namalu REC, Biryende, Iziru, Namgera, Bulegeni, Ocipa, Kyene, Nakapiripiri, Kapelabyong, Busido-Bugobya
Expansion Plans	1	Katakwi town
Sanitation component	18 Household Toilets 7 Water Borne	Buwuni, Kagoma, Namagera, Iziru, Suam, Ocheri, Luka

 MINISTRY OF WATER & ENVIRONMENT WATER & SANITATION DEVELOPMENT FACILITY							About Us Branches Towns Partners EU-Project Events Q	
1	Abim TC	Completed	100%	GoU	M/S UPDEAL (U) LIMITED	14,200	22,264	
7	Kachumbala Town Board	Completed	100%	EU, ADA, GoU	M/S VIDAS ENGINEERING SERVICES COMPANY LIMITED	16,412	25,569	
51	Kapelabyong	On-going Construction	80%	EU, ADA, GoU	M/S VIDAS ENGINEERING SERVICES COMPANY LIMITED	14,957	23,299	

Source: Uganda Ministry of Water and Environment

Annex 93: Mining licence and Official September 2017 brochure and promotion event for MKP mining in Uganda and other information on Moroto Mine

UGANDA INVESTMENT AUTHORITY Your Investment is our Business		Home	About	What We Do	Uganda	Sectors	Online Services	Media	Contact
M.K.P HOLDINGS - MOROTO MARBLE EPL 4545									
Project Title: M.K.P Holdings - Moroto Marble EPL 4545									
Project Site or Location KASIMERI - MOROTO MUNICIPALITY (KATIKEKIRE)									
Project Promoter or Owner Name: PETER KASUMBA - KAWESA Email: Mpkholdingsltds@gmail.com Mobile: +256 704 535 905/+256 772 376 738									
Country Uganda									
Project Description (100 words) Project exploration license / Exclusive prospecting license No. 4545 Major mineral is marble in an area of 8.35sq - km of Moroto mountain forest reserve with NEMA clearance. The marble / limestone reserves are of economic quantity for long term exploration according to the 1994 North Korean survey report to government. The marbles are of very high quantity. We need to set up processing and mining plants in Moroto, generate our power and water supply. A cement factory for limestone is viable.									
Investment Amount Required (US\$) 200 Million									
Project Type Greenfield									
Investment Type Joint Venture Private									
Project status Pre-Feasibility									

Source: Uganda Investment Authority 2017, www.ugandainvest.co.ug

Project Title:**M.K.P HOLDINGS – MOROTO
MARBLE EPL 4545****Site/ Location:** KASIMERI – MOROTO MUNICIPALITY
(KATIKEKIRE)**Sector:** Natural Resources**Project Description:**

MKP Holdings Ltd under the Mining Act obtained registered Mining Instruments No. 205.367 plus special exclusive prospecting license No. 4545. The Major mineral is marble in an area of 8.15sq – km of Moroto mountain forest reserve with an Environment Impact Assessment License No. NEMA/4.5 over Moroto Mineral deposits. The marble / limestone reserves are of economic quantity for long term exploration. A pre-feasibility study makes a marble and / or cement processing factory in Moroto, a very viable option.

Project Details:**Investment Amount Required (US\$)** 200 Million**Project Type:** Greenfield**Investment Type:** Joint Venture**Project Status:** Pre-Feasibility**Project Contact:****Name:** PETER KASUMBA – KAWESA**Email:** Mpkholdingsltd19@gmail.com**Mobile:** +256 704 535 905/+256 772 376 738**Country:** Uganda

Source: Uganda Investment Authority, Bankable Projects 2017,
http://ugandanconventionuk.org/Bankable_Projects_2017.pdf

PROJECT TITLE:

**M.K.P HOLDINGS – MOROTO MARBLE EPL
4545**

Site/ Location: KASIMERI – MOROTO MUNICIPALITY
(KATIKEKIRE)

Sector: Natural Resources

PROJECT DESCRIPTION:

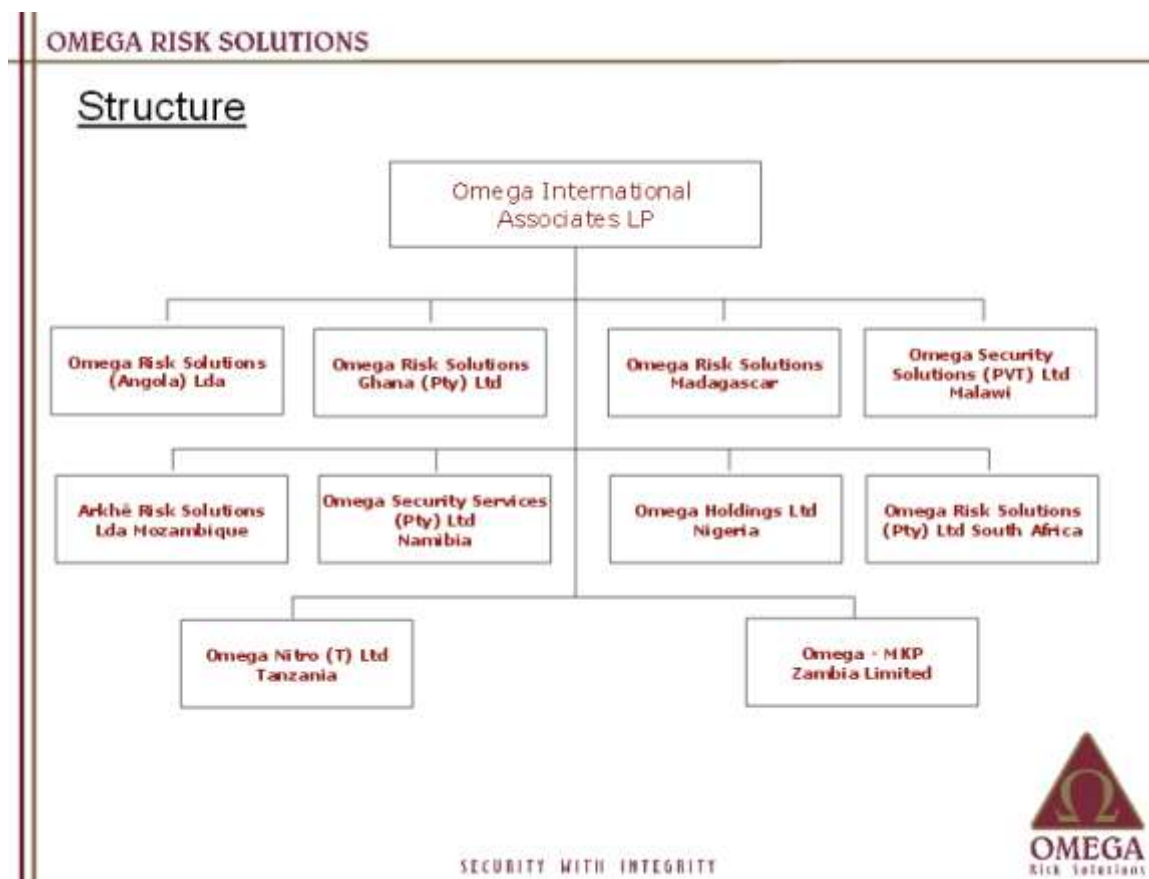
MKP Holdings Ltd under the Mining Act obtained registered Mining Instruments No. 205.367 plus special exclusive prospecting license No. 4545. The Major mineral is marble in an area of 8.15sq – km of Moroto mountain forest reserve with an Environment Impact Assessment License No. NEMA/4.5 over Moroto Mineral deposits. The marble / limestone reserves are of economic quantity for long term exploration. A pre-feasibility study makes a marble and / or cement processing factory in Moroto, a very viable option.

PROJECT DETAILS:

Investment Amount Required (US\$) 200 Million

Source: 7th Uganda Investment Convention Programme, 16 September 2017,
http://www.ugandanconventionuk.org/2017_Brochure_UCUK.pdf

Annex 94: Omega Risk Solutions Organigramme showing Omega-MKP Zambia Ltd as part of Omega International Associates LP



Source: Omegasol Risk Solutions Website,
<http://www.omegasol.com/wp-content/uploads/2012/02/Slide1-1024x768.jpg>

Annex 95: Photo of Omega MKP Zambia Ltd hosting 2013 board meeting of Omega International Associates LP (from Omegasol catalogue) showing Yazid Merzouk (Timothy Jim Kazembe in middle)

BOARD MEETING IN ZAMBIA

Omega MKP Zambia Limited had a visit from directors from Group Office, over the period 01 December 2013 to 05 December 2013.

During this visit Mr. Faan du Toit, CEO of Omega International Associates LP, and Mr. Christo Roelofse, COO of Omega International Associates LP attended the Board Meeting. Mr. Roelofse together with the Country Manager, Etienne van Rensburg, visited the customers throughout Zambia.




Standing, from LTR: Mr. Goodson Bwalya (Director); Mr. Yazid Merzouk (Director)
Seated, from LTR: Mr. Faan du Toit (CEO – Omega International Associates LP & Director); Genl. Timothy Kazembe (Chairman of Board); Mr. Christo Roelofse (COO – Omega International Associates LP & Director)

During the Board Meeting, the Country Manager, Mr. Etienne van Rensburg, was congratulated on the performance of Omega MKP Zambia Limited during the period 01 September 2012 to 31 August 2013, and thanked for the effort that was put into achieving these successes.




Site visit to Kalumbila Mine

From LTR: Mr. Paul Chanda (Security Manager – Omega MKP Zambia Limited) and Mr. Christo Roelofse (COO – Omega International Associates LP) at the entrance of the Omega MKP Camp at Kalumbila Mine.

Source: MKP Omega Risk Newsletter, March 2014, Issue 16, (page 22), <http://www.omegasol.com/wp-content/uploads/2014/08/SETHAGA-Mar-14.pdf>

Annex 96: Omega – MKP Zambia Limited Corporate Registry Document

Local Company	OMEGA - MKP ZAMBIA LIMITED	Registration Number	120100086671
Date of Incorporation	01 day of September 2010	Date of FY End	07/05/2018
Registered Office	STAND 7241 MUTAKASHA ROAD INDUSTRIAL AREA LUSAKA ZAMBIA		
Postal Address	P.O. BOX 36706 LUSAKA ZAMBIA		
Town / City	LUSAKA		
Country	ZAMBIA		
Certificate Signed By	W. Banda		
Phone	+260968873368		
Email			
Struck off/Ceased on			
Nominal capital	K 20000		
Number of Shares	20000		
Liability	Normal Company		
Articles Filed Date			
Amended Articles Filed Date			
Adopted Articles Filed Date			
Company Liquidated Date			
Company in Receivership Date			

Nature of Business

Sector
8010. Private security activities

Annual return

Annual Return		
Year	Date Delivered	
2017	31/05/2017	
2016	26/08/2016	
2015	09/11/2015	
2014	09/11/2015	
2013	01/06/2013	
2012	21/03/2013	
2011	14/02/2012	
2010	14/02/2012	
Class of Shares	Number authorised	Par value Per share
Ordinary	20,000.00	1.00

Individuals

Present forenames and surnames	Address	Nationality & NRC/ Passport No	Occupation	Director/ Partner	Secretary	Shareholder / Member	Amount	Share Class
TIMOTHY JIM KAZEMBE		118178/61/1 ZAMBIA	DIRECTOR	Yes	Yes	Yes	4,900.00	Ordinary
CHRISTOFFEL JOHANNES ROELOFSE		6405215113080 SOUTH AFRICA 4000		Yes				
PHILIPPUS JACOBUS CHRISTOFFEL SMIT		6811175002082 SOUTH AFRICA 4000		Yes				
STEPHANUS PHILLIPPUS DU TOIT		5801215025087 SOUTH AFRICA		Yes				
CHARLES FUCHS		6412155020085 SOUTH AFRICA	DIRECTOR	Yes				

Business Entities

Business Number	Name of Business	Residential & Postal addresses	Secretary	Shareholder / Member	Amount	Share Class
	OMEGA SECURITIES AFROQUE LIMITED			Yes	15,100.00	Ordinary

Source: Zambia Corporate Registry

Annex 97: Photos of MKP Omega Zambia

Archived versions of the MKP Services Division page show that the Omega-MKP tab posted online since at least 3 January 2012 (no screengrabs are available between mid-2009 and January 2012). The photo on the top right seems to depict a meeting between Yazid Merzouk (Zambia country director for MKP), General Timothy Kazembe (MKP Security Systems), N'gonga Oswald Goodson Bwalya (MKP Security Systems), and several of the Omega senior leadership.



Photos of MKP Omega Zambia, including of Yazid Merzouk (top right photo), as they appeared on the MKP website on 3 January 2012

Source: MKP Services Division Website (<http://www.mkpholdings.com.my/services.php>) on 3 January 2012, according to Internet Archive (Wayback Machine).

See also: <http://www.omegasol.com/about-us/>

Annex 98: Bulgaria's letter to the Panel of 6 October 2017



PERMANENT MISSION OF THE REPUBLIC OF
B U L G A R I A
T O T H E U N I T E D N A T I O N S

11 East 84th Street, New York, NY 10028, Tel: (212) 737 4790, Fax: (212) 472 9865, e-mail: bulgaria@un.int

No. 207

New York, 6 October 2017

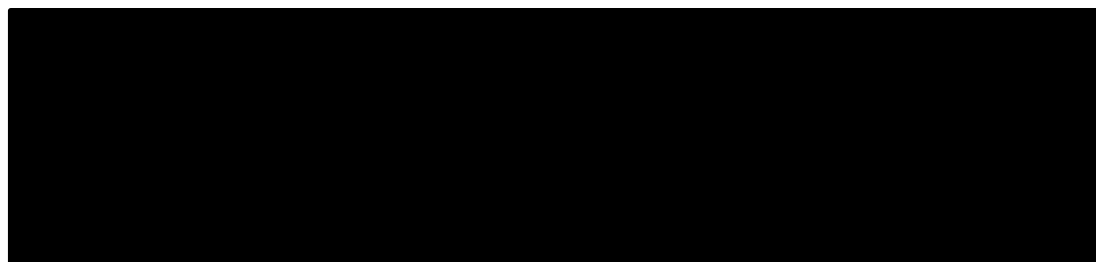
Dear Mr. Griffiths,

I am writing to you in response to your letter S/AC.49/2017/PE/OC.380 of 7 September 2017, and have the honor to communicate the following information, as received by the competent Bulgarian authorities:

According to the Commercial Registry of the Republic of Bulgaria, there are two Bulgarian companies registered at two of the properties belonging to the Embassy of the Democratic People's Republic of Korea (DPRK) in Bulgaria, namely, "Terra Group" and "Technologica".

In February 2017 the DPRK Embassy and these two companies were duly informed about the restrictions imposed with UNSC Resolution 2321 (2016) - prohibition of use of real estate property owned by the Embassy of the DPRK for any purpose other than diplomatic or consular activities. The Embassy was called upon to cease any such activities as soon as possible; the two companies were further strongly advised to halt further rent payments. The DPRK Embassy has assured the Ministry of Foreign Affairs of the Republic of Bulgaria that it would take the necessary measures to comply with the restrictions, including ceasing to receive any payments related to the use of its property. The relevant Bulgarian authorities have confirmed that no payments have been made by the companies to the Embassy's only bank account in Bulgaria since the beginning of 2017.

The two companies mentioned above are Bulgarian-owned and Bulgarian-registered; according to the Bulgarian legislation, any information related to their business activities deemed to be open and available to the public should be published on the website of the Commercial Registry (<http://www.brra.bg/Default.ra>). The number of employees and their nationalities, rental contracts, salaries paid to employees, etc. do not represent public information.



The Ministry of Foreign Affairs of Bulgaria held talks with DPRK representatives on the issue of the use of their real estate in Bulgaria focusing on the need for DPRK's full compliance with the sanctions regime. The Ministry demanded that the premises of the properties mentioned above be vacated as soon as possible. The DPRK Embassy stated that it had informed the two tenants about the need to comply with the sanctions regime and had asked them to vacate the premises.

I take this opportunity to assure the Panel of Experts that the competent Bulgarian authorities take all the necessary measures to ensure the strict implementation of all sanctions imposed on the DPRK, as per the relevant Security Council resolutions.

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

Sincerely,

A handwritten signature in black ink, consisting of several loops and a long horizontal stroke.

Georgi Panayotov
Ambassador, Permanent Representative

Mr. Hugh Griffiths
Coordinator of the Panel of Experts
established pursuant to Security Council Resolution 1894 (2009)
United Nations
New York

Source: Bulgaria

Annex 99: Ongoing use of DPRK Embassy space by “Terra Residence” in Sofia, Bulgaria

Figure 1:

“Terra Residence” January 2018 advertisement from rental of its space (the DPRK Ambassador’s former residence), listing a number of options (“weddings”, “corporate, private and public, filming and advertising”) events (headings in yellow bar in Bulgarian)



Source: <https://www.terraresidence.com/>, accessed on 10 January 2018

Figure 2”:

“Terra Group” logo (in Bulgarian) at “Terra Residence” gate

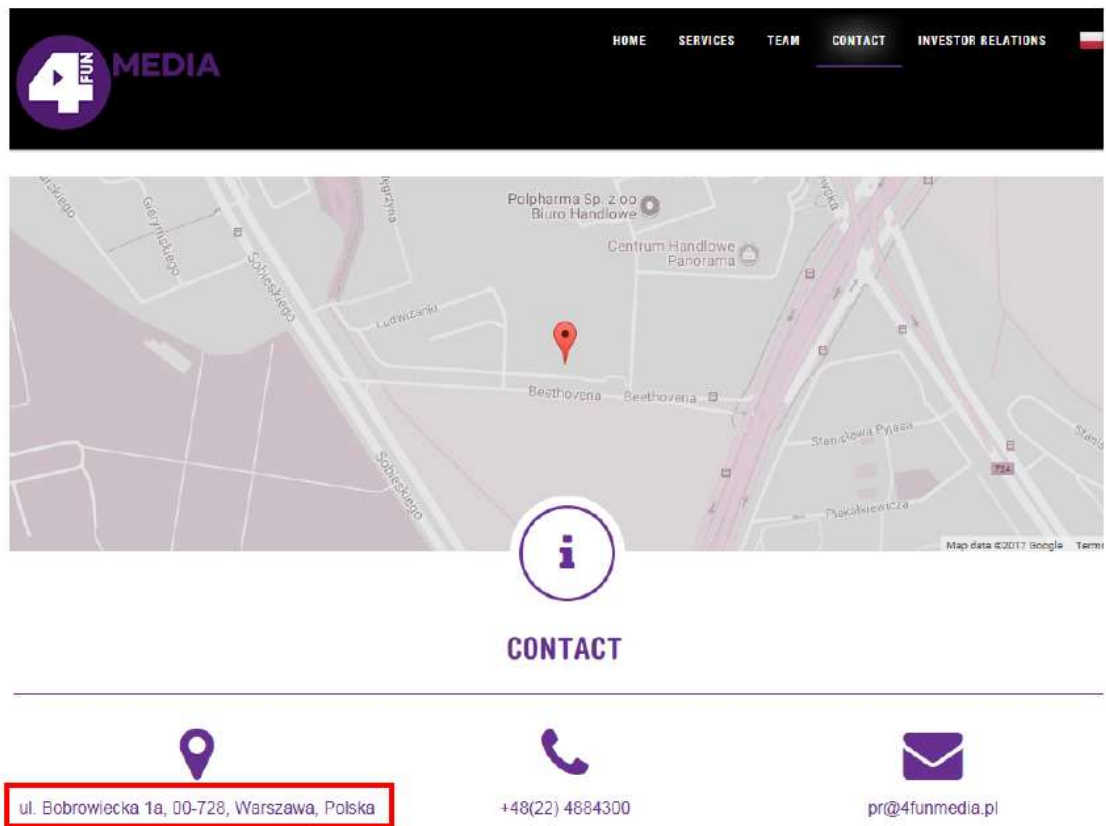


Source: Dimitar Katsarov/The New York Times/ © 2017 New York Times News Service

Annex 100: Contact information of companies renting DPRK Embassy space in Warsaw, Poland

Figure 1:

4FUN MEDIA S.A. contact information in Warsaw, Poland



Source: <http://4funmedia.pl/en/>, accessed on 30 November 2017.

Figure 2:

SCREEN NETWORK S.A. contact information in Warsaw, Poland

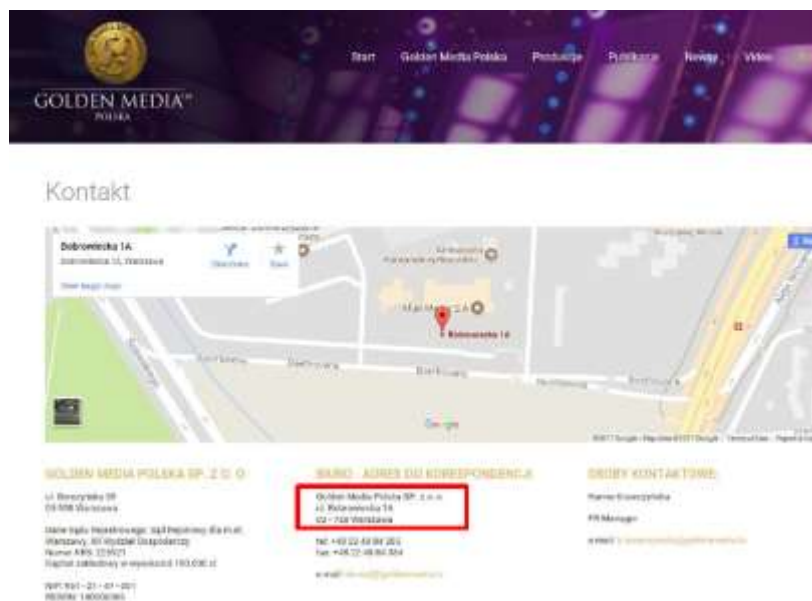
Source: <http://www.screennetwork.pl/>, accessed on 30 November 2017

Figure 3: NCG S.A. contact information in Warsaw, Poland

Source: <http://www.goldenmedia.tv/kontakt>, accessed on 30 November 2017

Figure 5:

GOLDEN MEDIA Polska Sp. z o. o. contact information in Warsaw, Poland



18-01593 (C)

Figure 6:

DIGITAL BEAST ESTATE Sp. z o. o. contact information in Warsaw, Poland

Skontaktuj się z nami

 Kontakt: 882 377 399 repcja@digitalbeast.pl	 Adres: ul. Bobrowiecka 1a (wjazd od van Beethovena) 00-728 Warszawa	 Godziny otwarcia: pon.-pt.: 9:00-17:00
---	---	---

Source: <http://digitalbeastestate.pl/>, accessed on 30 November 2017

Figure 7:

DIGITAL BEAST PRODUCTION Sp. z o. o. contact information in Warsaw, Poland

DIGITAL BEAST
PRODUCTION

Digital Beast Production to unikatowy kompleks studyjny znajdujący się na warszawskim Mokotowie. Posiadamy studio filmowe, studio dźwiękowe, studio grafiki oraz akademię dla artystów.

+48 502 355 222
sekreten@digitalbeast.pl

ul. Bobrowiecka 1a / 00-728 Warszawa

— WSPÓPRACUJEMY Z

— IPUM MEDIA S.A. — BROCE & FUN — URBAN KALEXTOWY SP. — RTV EURO AGD — T-MOBILE POLSKA S.A.
— AGORA S.A. — PRIMO PANDA — GŁOŚ DOLNYCH WILANÓW M.ST. WARSZAWY — RHP CARGO
— POLSKA AGENCJA HUMANITARNIA — PEPAD FINANCIAL SERVICES SP. Z O.O.

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Source: <http://www.digitalbeast.pl/>, accessed on 30 November 20

Figure 8:

PROGRAM Sp. z o.o. contact information in Warsaw, Poland

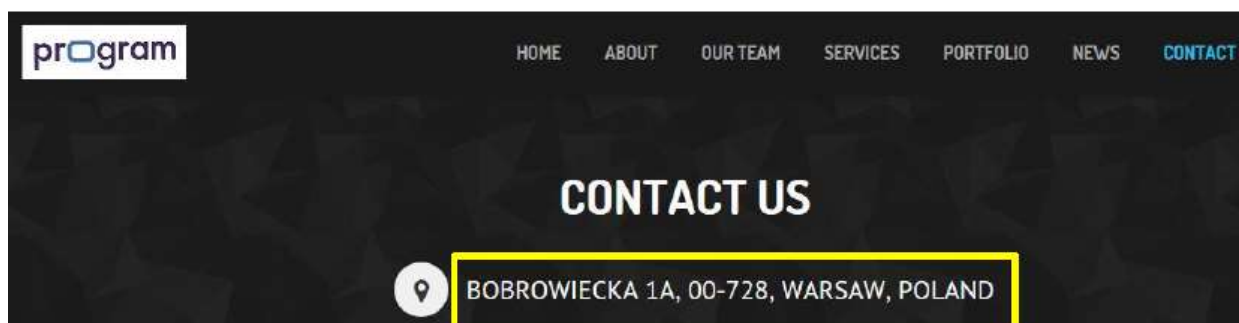
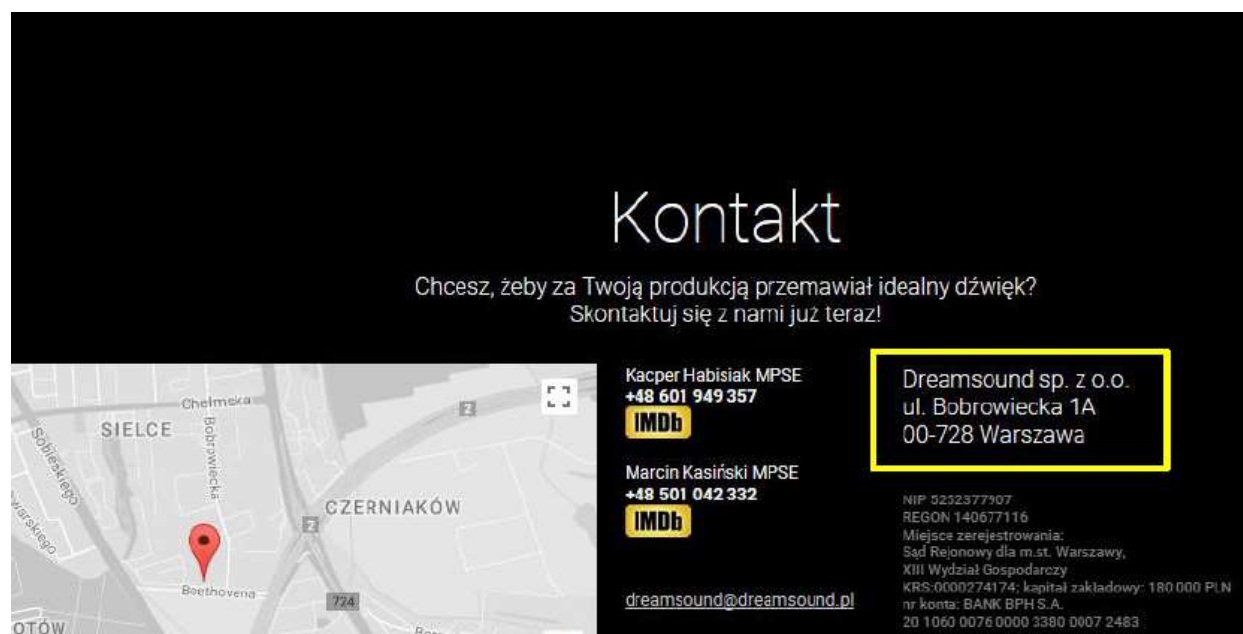
Source: <http://program.media/>, accessed on 30 November 2017

Figure 9:

DREAMSOUND Sp. z o.o. contact information in Warsaw, Poland

Source: <http://www.dreamsound.pl/>, accessed on 30 November 2017.

Annex 101: Poland's correspondence to the Panel of 15 January 2018

Annex to the letter SP.ONZ.NJO.2540.25.2018 of the Permanent Mission of the Republic of Poland to the United Nations dated January 15th, 2018

Information for the Panel of Experts established by United Nations Security Council resolution 1874 (2009) on implementation of respective provisions of resolutions 2321 (2016), 2371 (2017) and 2375 (2017)

With reference to previous correspondence on DPRK activities in our jurisdiction please find below a summary of statements made during informal consultations on December 4th, 2017 in New York as well as follow up on actions taken by Poland in this regard.

1. Commercial use of DPRK Embassy premises in Warsaw

a. Diplomatic notes to the DPRK Embassy

As it has been indicated in previous statements, Ministry of Foreign Affairs submitted diplomatic note (February 2017) to the Embassy of the Democratic People's Republic of Korea on use of the diplomatic property in contravention with binding law. In response the Embassy declared that the Embassy itself does not conduct any commercial activities, including the sublease of parts of the premises for commercial purposes. According to the statement factual use of premises has been aimed solely at providing services which are essential for the maintaining premises to the requisite extent and as such does not generate profit for the Embassy.

Pursuant to art. 20 paragraph 1(a) of Council Regulation (EU) 1509/2017 concerning restrictive measures against the Democratic People's Republic of Korea and repealing Regulation (EC) No 329/2007 it shall be prohibited to lease or otherwise make available real property, directly or indirectly, to persons, entities or bodies of the Government of the DPRK, for any purpose other than diplomatic or consular activities, pursuant to the 1961 Vienna Convention on Diplomatic Relations and the 1963 Vienna Convention on Consular Relations.

Considering above, in November 2017, Ministry of Foreign Affairs provided the Embassy of the DPRK with note on the return to the Government of Poland premises non-used for solely diplomatic purposes on the terms specified in Article 8 of the Agreement of May 10, 1966. However, the Embassy has yet to respond in this matter.

b. Formal notice sent to the companies concerned

Notwithstanding abovementioned, Ministry of Foreign Affairs decided to inform all companies using the said premises of international obligations and legal provisions in force such as respective Security Council resolutions, Vienna Convention on Diplomatic Relations, relevant EU provisions and *Agreement of 10 May 1966 between the Governments of the Polish People's Republic and the Democratic People's Republic of Korea*. Statement of Ministry of Foreign Affairs explicitly stipulated that any activity, in particular an economic activity, cannot in any way be carried out in this property, as it constitutes a flagrant violation of the aforementioned provisions.

According to information we have been provided with, 8 companies decided to terminate agreement and change the venue, and 16 have not received correspondence as they did not run business activity at Bobrowiecka Str. 1A. In addition to the above, 1 company along with 2 close associates are about to terminate agreement immediately after finding another location.

It should be indicated that the companies concerned emphasized that they had not been in direct business relations with DPRK Embassy and relevant agreements on using premises had been signed with the Digital Beast Estate company not with the Embassy.

Prior to sending notice to the companies Ministry of Foreign Affairs organised meeting with the Digital Beast Estate company informing both on legal status of the premises and binding provisions in force. The company has also been informed on diplomatic note submitted to the DPRK Embassy reiterating international obligations but also stipulating that direct consequence of breaching international norms is that the property used in contravention of the rules will not be covered by diplomatic immunity. Therefore, the decision taken did not mean that the Embassy can freely manage the premises, but rather that the designated space uncovered by the diplomatic immunity may be subject to inspection as provided by the national law.

The company underlined that there is a binding contract concluded between the Digital Beast Estate and the Embassy of the DPRK on using specified premises at Bobrowiecka 1A free of charges in exchange for their ongoing maintenance, conservation and payment of utility bills. Considering above, there is no direct or indirect payment to the North Korean regime. The company underlined that it incurred significant costs to renovate buildings and adapt them to the needs of companies operating there mainly from the music, film and advertising industries. As the company bore significant expenses in this respect, in order to have capital returned the company decided to subleases space to other entities that are linked personally, capitally and organizationally with Digital Beast Estate.

All capital and organizational structures and linkage with other entities, as well as financial aspects are under scrutiny of national authorities.

c. Information to Ministry of Justice (National Court Register)

As we received feedback from companies regarding termination of contract, in order to prevent other companies from using premises we informed Ministry of Justice (National Court Register) on art. 20 paragraph 1 (b) of the Council Regulation 1509/2017 prohibiting to lease real property, directly or indirectly, from persons, entities or bodies of the Government of the DPRK. In accordance with national provisions as laid down in Act of August 20th 1997 on National Court Register registration of an entrepreneur in the National Court Register requires certain formal prerequisites to be met such as submitting respective form along with accompanied documents. Pursuant to Article 38 section 1 of the said Act the business register contain inter alia the following data: the name or company under which it operates, designation of its legal form and its registered office and address. Under the separate statutes entry into the National Court Register is often a mandatory condition of valid establishment of the company (partnership, limited partnership or limited joint-stock partnership, a foundation or an association). In addition any alterations such as venue of registered office also requires respective modification in the NCR.

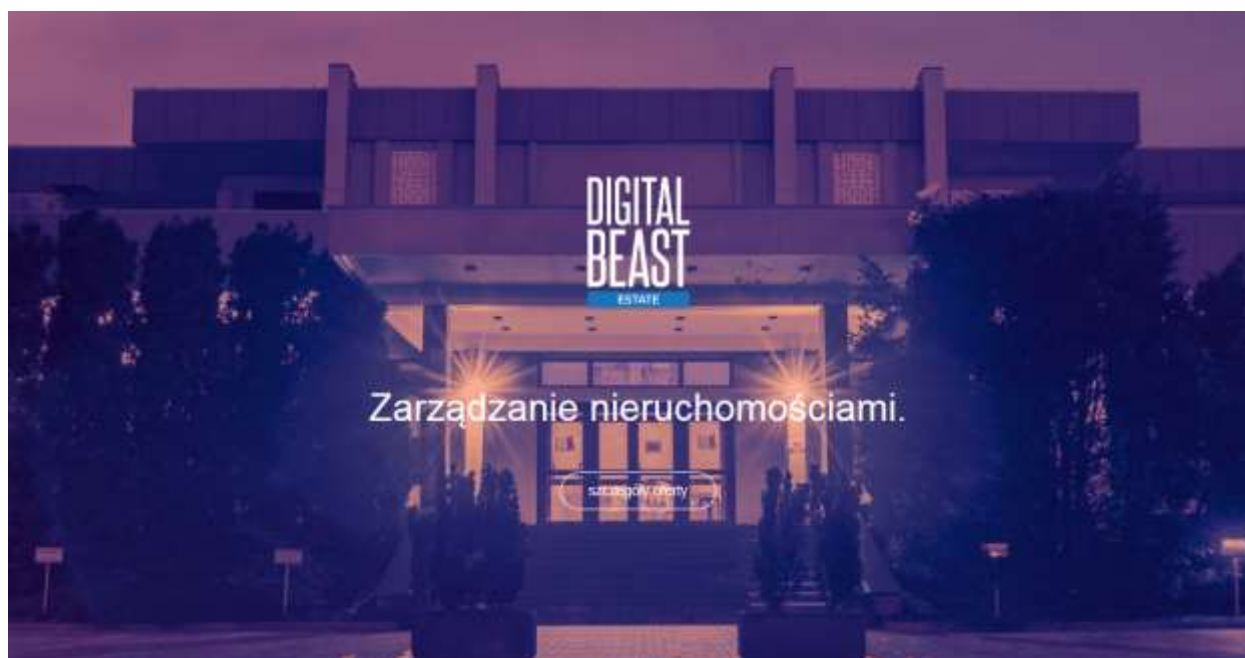
Considering the fact that under article 20 paragraph 1 (b) the Council Regulation 2017/1509, which is directly applicable and binding in its entirety, leasing from persons, entities or bodies of the Government of the DPRK is explicitly prohibited, we ask Ministry of Justice to apply this provision to any new motion if they are submitted to National Court Register, as a self-standing prerequisite to dismiss motion due to unfulfilling formal criteria.

Source: Poland

Annex 102: Ongoing advertising of DRPK Embassy space in Warsaw, Poland by DIGITAL BEAST ESTATE Sp. z o. o.

Figure 1:

Digital Beast Estate website advertises property management over an image of the DPRK Embassy property in Warsaw, Poland



Source: <http://digitalbeastestate.pl/>, accessed on 26 January 2018

Figure 2:

Digital Beast Estate's clients sublet the DPRK Embassy's space in Warsaw, Poland



Skontaktuj się z nami



Kontakt:
882 377 399
repcja@digitalbeast.pl



Adres:
ul. Bobrowiecka 1a
(wjazd od van Beethovena)
00-728 Warszawa



Godziny otwarcia:
pon.-pt.: 9:00-17:00

Source: <http://digitalbeastestate.pl/>, accessed on 26 January 2018

Annex 103: Addendum to lease agreement signed 13 February 2017 with DPRK Ambassador for space in the DPRK Embassy in Bucharest, Romania by IMA Partners SRL



ADDENDUM TO LEASE AGREEMENT

THE EMBASSY OF THE DEMOCRATIC PEOPLE'S REPUBLIC OF KOREA IN ROMANIA, as a representative of THE DEMOCRATIC PEOPLE'S REPUBLIC OF KOREA, with premises in Bucharest, 28-36 Soseaua Nordului, 1st district, duly represented by Mr. RI PYONG DU, in his capacity as Ambassador Extraordinary and Plenipotentiary of the Democratic People's Republic of Korea in Romania (hereinafter referred to as the "Lessor"); and

S.C. IMA PARTNERS S.R.L., a limited liability company incorporated under the laws of Romania, having its registered office in Bucharest, Budisteanu Street, no. 16, 1st district, registered with the Commercial Registry under no. J40/19413/2006, sole identification code 19248059, duly represented by Mr. Marius Iliev, in his capacity as director (hereinafter referred to as the "Lessee") together the "parties" and individually a "Party".

WHEREAS: The Parties have signed on 15.02.2011 a LEASE AGREEMENT for renting a building with a build surface area (footprint of the building) of 433 sqm and the plot of land on which the building sits, located at 28-36 Sos. Nordului (provisional postal number) with an area of 1774 sqm as detailed in the LEASE AGREEMENT.

THEREFORE,

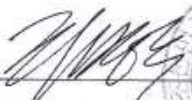
The parties have agreed upon concluding the present protocol with the following terms and conditions:

Art 4.1. Starting with the date of this addendum all payments under the lease agreement shall be perform by the Lessee; in the following bank account of the Lessor: RO08BRDE445SV77480684450 opened with BANCA ROMANA DE DEZVOLTARE

The other terms and conditions mentioned in Lease Agreement which don't contravene the provisions of this addendum remain unmodified.

The Parties have signed this Addendum on February 13, 2017.

Signed by Mr. Ri Pyong Du, as Ambassador Extraordinary and Plenipotentiary of the Democratic People's Republic of Korea in Romania on behalf Lessor and Marius Iliev on behalf of Lessee.



 Ambassador of the Democratic People's Republic of Korea in Romania
 Mr. Ri Pyong Du





 Ima Partners SRL



Source: The Panel

Annex 104: Recommendations

1. The Panel recommends that the Security Council, when drafting future sectoral sanctions measures, includes the relevant HS codes as it did in resolution 2397 (2017).
2. The Panel recommends Member States exercise heightened vigilance over their companies to ensure the prohibition of transfer of the items listed in 2321 (2016), 2371 (2017), 2375 (2017) and 2397 (2017), including all industrial machinery and transportation vehicles.
3. Given that the same key individuals continue to feature in Panel reports for a growing number of different types of violations, the Panel calls upon Member States to take the appropriate action to ensure that these individuals cease their prohibited activities.
4. The Panel recommends that any Member State receiving coal shipments for delivery or trans-shipment must take enhanced measures to validate the documentation accompanying those shipments. To assist Member State efforts, the Panel recommends the establishment of a regional cooperative mechanism to share information on whether the relevant vessels actually docked and loaded coal from the ports claimed in their documents of origin. At a minimum, Member States should establish a point of contact for this purpose. The Panel will continue to serve as a resource for Member States seeking information.
5. Member States must be vigilant regarding vessel movements in the typical areas for ship-to-ship transfers and report such transfers to the 1718 Committee.
6. The Panel recommends that Committee designate (deny port entry for) all vessels and their captains involved in prohibited ship-to-ship transfers to the DPRK.
7. The Panel recommends that the Committee designate the following individuals for violations of paragraphs 11 and 14 of resolution 2375 (2017): Shih-Hsien Chen, Bobby Julian Akbari⁶ and Wang Songchang.⁷
8. The Panel recommends that Member States strictly implement resolutions pertaining to prohibited ship-to-ship transfers, including by enacting enabling legislation mandating appropriate action against all vessels and their captains found to be conducting them, as well as actions against vessels such as port entry denial (in force for at least six months with all costs borne by the owners or charterers). In addition, flag states should deregister all vessels reported as involved in prohibited ship-to-ship transfers. Member States should ensure that all contracts by petroleum industry companies registered or based in their jurisdictions include a clause stipulating that all transfers involving violations of the resolutions, in particular including prohibited ship-to-ship transfers and petroleum products transferred to the DPRK, be voided.
9. Member States hosting petroleum suppliers, brokers, importers and tanker companies dealing in oil and petroleum products must heighten their vigilance of the relevant entities to ensure that these are not re-directed to

⁶ Captain of the *Billions No.18*: Seaman's Book No. B2380031, DoB 30 July 1985.

⁷ Captain of the *Lighthouse Winmore*: Seaman's Book No. G50001538, DoB 7 August 1973.

the DPRK in violation of the resolutions. Countries serving as trans-shipment hubs for petroleum products must undertake similar enhanced due diligence to validate the origin and intended destination.

10. The Panel further recommends that maritime protection and indemnity insurers include a clause in all contracts, stipulating that all transfers involving violations of the resolutions, in particular prohibited ship-to-ship transfers and petroleum products transferred to the DPRK, be voided.

11. The Panel reiterates its recommendations in previous reports for the designation of Pan Systems.⁸ The Panel further recommends the designation of following individuals and entities: Han Hun Il (Edward Han), Ri Ho Nam, Ri Ik (Li Ik), Wang Zhi Guo, Pak In Su, Kim Chang Hyok, and Kim Su Gwang, as well as International Global System and International Golden Services.

12. The Panel recommends that Member States, as part of their implementation of the financial provisions of the resolutions, ensure that their financial institutions implement a risk-based approach to identifying sanctions violations in their “Know Your Customer” and compliance programs, including by ensuring more robust scrutiny at the onboarding, transaction monitoring, and account review phases. To this end, Member States should provide their financial institutions with more detailed and regular information on sanctions evasion risks.

13. The Panel recommends that Member States include all Embassy personnel within the scope of paragraph 16 of resolution 2321 (2016) and ensure that diplomats do not establish additional bank accounts in the names of family members or front companies, and to verify that bank accounts are closed when a diplomat ends his/her tour in the country.

14. Given the pervasive use of front companies to evade financial sanctions, Member States should ensure that their domestic corporate service providers implement effective due diligence measures to capture detailed and accurate information on clients and beneficial owners and file Suspicious Action Reports (SAR) in the case of arrangements suspected of being used for illicit purposes.

15. Member States should take measures to ensure that financial sector supervisors subject to their jurisdiction prioritize guidance, supervision and enforcement of controls that support implementation of the resolutions.

16. Member States with appropriate knowledge and experience should offer technical assistance to other Member States seeking assistance with their legal frameworks and related mechanisms to implement the financial provisions in the resolutions.

17. The Panel recommends that Member States, in addition to ensuring an appropriate legislative framework for combating proliferation financing, require the establishment of robust information-sharing mechanisms among financial supervisors, financial intelligence units, customs and strategic trade control authorities, border control and security and intelligence agencies, and with the private sector.

18. The Panel recommends that the relevant countries take the necessary measures to ensure that all non-diplomatic activities taking place on DPRK

⁸ S/2017/742, para. 62.

Embassy property as prohibited by paragraph 18 of resolution 2321 (2016) be terminated and all related leases are cancelled.

19. The Panel recommends Member States to report as part of their national reporting to the 1718 Committee on the incorporation of the humanitarian exemptions contained in the resolutions into their domestic legislation.

20. In line with the latest resolutions' requests to provide the Panel with additional resources, the Panel recommends that the Council request the Secretary-General to take specific measures to reinforce both the physical security, information security, administrative support and other relevant resources.

21. The Panel recommends that the Committee update the existing list of designated individuals and entities as follows:

(a) Ri Hong-Sop (KPi.004):

Designation: Head of Nuclear Weapons Institute

(b) Munitions Industry Department (KPe.028):

Other information: The MID oversees the DPRK's nuclear program. The Nuclear Weapons Institute is subordinate to the MID.

(c) Designate the following as being engaged in the DPRK's nuclear-related program

Name: Nuclear Weapons Institute

A.k.a.:na

Address: Democratic People's Republic of Korea

Other information: Nuclear Weapons Institute is engaged in the DPRK's nuclear program and led by Ri Hong Sop. It is a subordinate to the Munitions Industry Department.
