



**SIEMENS**

Status: February 2015

# Dual Use information

## Background to Dual Use

**Dual Use** is a term that is predominantly used in export control, and designates the **principle use of an asset/commodity** (e.g. a machine, but also software and technology) **for both civil as well as military purposes**. The military use also includes goods that can be used for non-explosive purposes as well as for any type of support when it comes to manufacturing nuclear weapons or other nuclear explosive devices."

Source: Wikipedia

### Why is "Dual Use" relevant for our converters?

International export control regimes regularly revise export control specifications.

These specifications are adopted as Dual Use in international lists (throughout Europe).

Effective December 31, 2014, the revised EC Dual Use Regulation will come into force for us.

### This has the following consequences for our converters:

In the future, software functions that permit a converter to reach an output frequency exceeding 600 Hz must be appropriately marked and labeled.

If a listed software or license ("3D225" or "3E225") is loaded onto hardware (e.g. CF cards, SD cards, control modules), then the hardware inherits the particular marking.

## Background to Dual Use (Germany)

### Influence of Dual Use on export controls (delivery from Germany)

Generally valid scenario	Additional measures (Germany)	Final scenario
<ul style="list-style-type: none"> <li>- No influence on deliveries within Europe</li> <li>- No influence on deliveries to privileged countries, for example Australia, Japan, Canada, New Zealand, Norway, Switzerland, Liechtenstein and the US</li> </ul>	<ul style="list-style-type: none"> <li>- Germany (BAFA*) will issue general permission ("general authorization")</li> <li>- The export codes applicable at the time of delivery will be on the delivery papers for each particular item. (AL marking)</li> </ul>	<p>Export from Germany, with the exception of the 4 blocked countries (Syria, North Korea, Iran, Pakistan), will also be possible as before with the general licenses AGG* for "3A225", "3D225" or "3E225").</p> <p><b>Siemens will not have any significant restrictions.</b></p>

\*) AAG: General license

BAFA: German Federal Office for Economic Affairs and Export Control

# Impact on obligation to mark: SINAMICS (stand alone)

1

For **SINAMICS HW components in the S120 Booksize and Blocksize formats and G120 modular** (Infeed Modules, Motor Modules, PowerCard modules incl. S120M, control modules (without firmware)) no product specific export permissions are required à **AL="N"**

2

## **SINAMICS G120/G120P control modules with loaded FW**

- Firmware release less than v4.7 à **AL="3D225"**
- Firmware release greater than, equal to v4.7 à **AL="N"**

## **SINAMICS G120D control modules with loaded FW**

- Firmware release less than v4.7 à **AL="3D225"**
- Firmware release greater than, equal to v4.7 à **AL="N"**

## **SINAMICS S110 control modules with loaded FW**

- Firmware release less than v4.4 SP3 à **AL="3D225"**
- Firmware release greater than, equal to v4.4 SP3 à **AL="N"**

## **SINAMICS G120C/G110M**

- Firmware release less than v4.7 à **AL="3D225"**
- Firmware release greater than, equal to v4.7 à **AL="N"**

## **SINAMICS G110**

- Firmware release less than v1.21 à **AL="3D225"**
- Firmware release greater than, equal to v1.21 à **AL="N"**

# Impact on obligation to mark: SINAMICS (stand alone)

2

**SINAMICS G110D**

- Firmware release less than v3.61 à **AL="3D225"**
- Firmware release greater than, equal to v3.61 à **AL="N"**

**SINAMICS ET 200S FC control modules with loaded FW**

- Firmware release less than v4.7 à **AL="3D225"**

**SINAMICS ET 200pro FC-2 control modules with loaded FW**

- Firmware release greater than, equal to v4.7 à **AL="N"**

# Impact on obligation to mark: SINAMICS (stand alone)

3

For **SINAMICS V** products no product specific export permissions are required à **AL="N"**

## SINAMICS (stand alone) firmware software releases:

### SINAMICS S

- Firmware release less than v4.7 HF 7 à **AL="3D225"**
- Firmware release greater than, equal to v4.7 HF 7 à **AL="N"**
- License to enable an output frequency >550Hz à **AL="3E225"**
  - Details: <http://support.automation.siemens.com/WW/view/de/104020669>

4

### SINAMICS G

- Firmware release less than v4.7 à **AL="3D225"**
- Firmware release greater than, equal to v4.7 à **AL="N"**
- Cannot be enabled by license

If a software or license listed with "3D225" or "3E225" is loaded onto hardware (e.g. CF cards, SD cards, control modules), then the hardware inherits the particular marking.

# Impact on obligation to mark: SINAMICS Integrated

## SIMOTION

5

- SIMOTION SCOUT less than V4.4 à **AL="3D225"** (S120 Firmware Image included in SCOUT software)
- SIMOTION SCOUT greater than, equal to V4.4 à **AL="N"**
- SIMOTION D Firmware (incl. SINAMICS Integrated FW à **AL="N"** (the marking does not change)
- License to enable an output frequency >550Hz à **AL="3E225"**
  - Details: <http://support.automation.siemens.com/WW/view/de/104020777>

If a software or license listed with "3D225" or "3E225" is loaded onto the CF card, then the hardware inherits the particular marking.

## SINUMERIK with SINAMICS integrated (SINUMERIK 840D sl and SINUMERIK 828)

6

- Currently available versions à No product specific change of the obligation to mark as a result of revised EC Dual Use Regulation
- Future versions à No product specific change of the obligation to mark as a result of revised EC Dual Use Regulation

# Impact on obligation to mark: MICROMASTER, SIMODRIVE, MASTERDRIVES

## MICROMASTER

7

The output frequency is limited with a new software release, which will be loaded to EPROM components

- Old versions (COMBIMASTER411, MM410, MM411, MM420, MM430, MM440) à **AL="3D225"**
- MM420 FW greater than, equal to v1.31 à **AL="N"**
- MM430 FW greater than, equal to v2.22 à **AL="N"**
- MM440 FW greater than, equal to v2.21 à **AL="N"**

8

## SIMODRIVE

Obligation to mark, only for control modules (also when used in SINUMERIK 840D pl) à **AL="3D225"**

9

## MASTERDRIVES MC

à No product specific change of the obligation to mark as a result of revised EC Dual Use Regulation

10

## MASTERDRIVES VC

à No product specific change of the obligation to mark as a result of revised EC Dual Use Regulation



## Supplementary information and contact persons

You can obtain additional information through the various associations, or from the Bundesamt für Wirtschaft und Ausfuhrkontrolle [German Federal Office of Economics and Export Control].

Topic	Information sources
OEMs and distributors can obtain current information regarding the implementation of the NSG agreement (for Germany) through the various associations	<a href="#"><u>ZVEI</u></a> <a href="#"><u>VDMA</u></a>
Current information about BAFA, export license	<a href="#"><u>German Federal Office for Economic Affairs and Export Control</u></a>
General authorization No. 17 (frequency converter) (applies only for Germany)	<a href="#"><u>Export license</u></a>

## FAQ

	Answer
When does the new regulation come into force?	For European countries, the regulation comes into force effective December 31, 2014.
Where can customers find additional information?	Customers can find detailed information and support on the web pages of VDMA and the ZVEI (for Germany) as well as from BAFA.
Does this new regulation also impact our competitors?	This new regulation also impacts our competitors.
What happens when an old device is repaired?	Old devices are repaired and returned to the customer (after the repair) with the then valid export license
Which products can I still downgrade to an old firmware release?	Many old Control Units can be downgraded. If a firmware that permits an output frequency of >600 Hz is loaded, then from December 31, 2014, there is an obligation to mark this firmware. The Control Unit also inherits this obligation to mark.
How do I upgrade a CU to the new FW4.7?	Instructions, updating the G120 firmware: <a href="http://support.automation.siemens.com/WW/view/de/69222336">http://support.automation.siemens.com/WW/view/de/69222336</a> Instructions, updating the S120 firmware: <a href="http://support.automation.siemens.com/WW/view/de/48736528">http://support.automation.siemens.com/WW/view/de/48736528</a> Instructions, updating the S110 firmware: <a href="http://support.automation.siemens.com/WW/view/de/48733320">http://support.automation.siemens.com/WW/view/de/48733320</a>
What statements are available regarding the ECCN mark?	The slides do only cover the AL mark. The change of the EG Dual Use Regulation has no influences on the ECCN mark.

**Thank you very much for your attention!**



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