

## Report by the Government of the Federal Republic of Germany on Its Policy on Exports of Conventional Military Equipment in 2012

(2012 Military Equipment Export Report)

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### Contents

|     | Su   | ımmary  | 4  |
|-----|------|---|----|
| I.  | Th   | ne German Control System for Military Equipment Exports                           | 5  |
|     | 1.   | The German export control system  | 5  |
|     |      | Application of the "Political Principles"   |    |
| II. | Ge   | erman Policy on the Export of Military Equipment in the International Context     | 9  |
|     | 1.   | Disarmament agreements  | 9  |
|     |      | Arms embargoes  |    |
|     |      | Common Foreign and Security Policy of the EU                                      |    |
|     |      | EU Directive on transfers of defence-related products within the Community        |    |
|     | 5.   |   |    |
|     |      | and Operation of the European Defence Industry                                    | 10 |
|     | 6.   |   |    |
|     | 7.   | UN Register of Conventional Arms  |    |
|     | 8.   | International discussion on small arms and light weapons                          | 12 |
|     | 9.   | Initiative for an Arms Trade Treaty   | 13 |
|     | 10   | ). Outreach-activities  | 16 |
| III | . Li | cences for the Export of Military Equipment and War Weapons                       | 17 |
|     | 1.   | Export licences for military equipment (war weapons and other military equipment) | 17 |
|     |      | a) Individual licences  |    |
|     |      | b) Collective export licences   |    |
|     |      | c) Export licence denials   |    |
|     |      | d) Most important countries of destination  |    |
|     |      | e) Individual export licences broken down by Export List (EL) Items               |    |
|     |      | f) Export licences from 2003 to 2012  |    |
|     |      | g) War weapons' share of licensed values in 2012                                  |    |
|     |      | h) Individual licences for the export of small arms from 2003 to 2012             |    |
|     |      | i) Licences for brokering transactions in 2012                                    |    |
|     | 2.   | Exports of war weapons  | 32 |
|     |      | a) War weapon exports in reporting year 2012                                      |    |
|     |      | 1. Bundeswehr export  |    |
|     |      | 2. Commercial exports   |    |
|     |      | b) War weapon exports from 2003 to 2012b)   |    |
|     | 3.   | German military equipment exports by international comparison                     | 24 |
|     | ٥.   | German minut y equipment exports by international comparison                      | 34 |

#### Annexes

| 1 | Political Principles Adopted by the Government of the Federal Republic of Germany   |    |
|---|---|----|
|   | for the Export of War Weapons and Other Military Equipment                          | 35 |
| 2 | EU Council Common Position  | 39 |
| 3 | Export List Part I  | 45 |
| 4 | War Weapons List  | 46 |
| 5 | Arms Embargoes in Force in 2012   | 48 |
| 6 | Most important countries of destination   | 52 |
| 7 | Export Licences by Country Groups and Countries in 2012                             | 59 |
| 8 | Brokering transactions by country in 2012   | 90 |
| 9 | List of the OECD Development Assistance Committee on developing countries and areas | 92 |

### **Summary**

The German government is pleased to submit herewith its fourteenth Report on Military Equipment Exports covering the year 2012.¹ The "Political Principles Adopted by the Government of the Federal Republic of Germany for the Export of War Weapons and Other Military Equipment" ("Political Principles") in the version of 19 January 2000 distinguish between military equipment exports to EU member states, NATO and NATO-equivalent countries (Australia, New Zealand, Japan, Switzerland), which are in principle unrestricted, and exports to all other countries ("third countries"). A restrictive approach is taken to the export of war weapons and other military equipment to third countries.²

All applications for export licences are decided on a case-by-case basis following careful consideration in particular of the arguments in terms of foreign policy, security policy and human rights. Important criteria for each decision include conflict prevention and the upholding of human rights in the country of destination.

In 2012, single-transaction export licences for military equipment totalled approximately € 4.704 billion (2011: approximately € 5.414 billion). The total value thus declined by approx. € 710 million compared with the year before. Of this amount, 45 % was accounted for by countries from the EU and NATO and countries with NATO-equivalent status, and 55 % by third countries (2011: 42 %). The increased share accounted for by third countries was not least due to the licensing of a border security system worth € 1.1 billion for Saudi Arabia.

Developing countries<sup>3</sup> accounted for 7 % of the overall value of all individual export licences in the reference year (2011: 9.3 %).<sup>4</sup> The value of the collective licences granted for exports in connection with defence cooperation between EU and NATO partners amounted to roughly  $\leqslant$  4.17 billion during the reporting year (2011:  $\leqslant$  5.38 billion).

In addition to the figures for the export licences issued, in the case of war weapons statistics are also kept for the actual exports (2012: € 946 million, 2011: € 1.285 billion). The total value thus declined by € 339 million compared with the year before. Since the licences are not necessarily used for an export in the same year, the figures for licences and exports generally differ. The share of exports going to the EU, NATO, and countries with NATO-equivalent status stood at roughly 41% in the reference year (2011: 32 %); the share of exports to third countries amounted to 59 % (2011: 68 %). Of these, exports worth € 262.5 million went to the Republic of Korea, exports worth € 125.6 million to Iraq, and exports worth € 58.1 million to Singapore. These three countries thus accounted for around 80 % of the total volume of commercial exports of war weapons to third countries.

Details of German military equipment export policy can be found in Chapter II and Chapter III. 3. The total licences for 2012 are described in Annex 7, ordered by country.

- 1 The Military Equipment Export Reports submitted thus far have been published as Bundestag Printed Papers and may be found at: http://www.bmwi.bund.de.
- 2 Cf. Annex 1, "Political Principles", Section III no. 1 sentence 1.
- 3 Developing countries and developing territories pursuant to the List of the OECD's Development Assistance Committee without the countries featuring upper medium incomes, including NATO partner Turkey and countries like Brazil, Malaysia and South Africa (column four of this list). The list is contained in Annex 9 of this Report.
- 4 For more details, see III. 1. a).

# I. The German Control System for Military Equipment Exports

#### 1. The German export control system

Germany's military equipment exports are governed by the Basic Law, the War Weapons Control Act<sup>5</sup> and the Foreign Trade and Payments Act<sup>6</sup> in conjunction with the Foreign Trade and Payments Ordinance<sup>7</sup>. The "Political Principles Adopted by the Government of the Federal Republic of Germany for the Export of War Weapons and Other Military Equipment" of 19 January 2000<sup>8</sup> ("Political Principles") and the Council Common Position of the EU defining common rules governing control of exports of military technology and equipment of 8 December 2008<sup>9</sup> ("EU Common Position") provide the licensing authorities with guidelines.

The Foreign Trade and Payments Act and the Foreign Trade and Payments Ordinance require the licensing of **all** military equipment exports. The military equipment is listed in full in Part I Section A of the Export List (EL, Annex to Foreign Trade and Payments Ordinance). They are broken down into 22 positions (No. 0001 to No. 0022) that have their own sub-divisions. As with the EU's Common Military List, these positions are closely oriented to the corresponding list of the Wassenaar Arrangement (Munitions List), which the German Government has thereby converted into national law to meet its political commitments (more details on the Wassenaar Arrangement may be found under II. 6. and on the EU under II. 3. and 4.).

Some of the military equipment articles falling under the Export List are also **war weapons** as defined by Art. 26(2) of the Basic Law and the War Weapons Control Act. They are displayed in the 62 positions of the War Weapons List (Annex to the War Weapons Control Act) and provided in full in Part I Section A of the Export List. For the export of these weapons, a licence must be obtained under the War Weapons Control Act ("transport authorisation for the purpose of export"), and then an export licence pursuant to the Foreign Trade

and Payments Act and Ordinance. By contrast, the export of such military items in Part I Section A of the Export List as are not war weapons ("other military equipment") requires – merely – a licence pursuant to the Foreign Trade and Payments Act and Ordinance.

The War Weapons Control Act provides that all activities in connection with war weapons (production, acquisition and transfer of actual control, every type of transport or brokering transaction) require prior licensing by the German Government (cf. Sections 2-4a of the War Weapons Control Act). The Federal Ministry of Economics and Technology is the licensing agency for commercial transactions; the other ministries (Federal Ministry of Finance, Federal Ministry of the Interior, and Federal Ministry of Defence) whose portfolio includes the treatment of war weapons are themselves responsible for the respective approvals falling within their scope of competence.

Under Section 6 of the War Weapons Control Act, applicants have no legal right to the issuance of a licence for the export of war weapons. And licences must be denied where there is a danger that the war weapons will be used in connection with peace-disturbing acts, that the obligations of the Federal Republic of Germany under international law will be impaired, or where the applicant does not possess the necessary reliability for the action.

In all of the other cases, the Federal Government decides on the issuance of export licences in accordance with the discretion it must exercise under the EU Common Position (previously the EU Code of Conduct) and the above-mentioned Political Principles.

The export of so-called **other military equipment** is governed by the export rules in the Foreign Trade and Payments Act and Ordinance. In accordance with the principle of the freedom of external economic trans-

- Act to implement Article 26(2) of the Basic Law (War Weapons Control Act) in the version promulgated on 22 November 1990 (Federal Law Gazette I, p. 2506), last amended by Article 4 of the Act of 27 July 2011, Federal Law Gazette I p. 1595).
- 6 Revised by the Act Modernising Foreign Trade and Payments Law of 6 June 2013 (Federal Law Gazette I. p. 1482).
- Foreign Trade and Payments Ordinance in the version of 2 August 2013 (Federal Law Gazette I p. 2865).
- 8 See Annex 1.
- 9 See Annex 2.
- 10 Further details at www.bafa.de

actions, on which the systematic approach of the Foreign Trade and Payments Act is based, the applicant has a fundamental right to the issuance of an export licence (Section 1 of the Foreign Trade and Payments Act), unless a licence may be denied because of a violation of interests protected under Section 4 Subsection 1 of the Foreign Trade and Payments Act. Section 4 Subsection 1 (1-3) of the Foreign Trade and Payments Act reads as follows:

- (1) In foreign trade and payments transactions, legal transactions and actions can be restricted and obligations to act can be imposed by ordinance, in order
- 1. to guarantee the essential security interests of the Federal Republic of Germany,
- 2. to prevent a disturbance of the peaceful coexistence of nations or
- 3. to prevent a substantial disturbance to the foreign relations of the Federal Republic of Germany..."

As is also the case for war weapons, the German Government exercises its discretion in the issuance of export licences for other military equipment in keeping with the EU Common Position and the Political Principles.

The Federal Office of Economics and Export Control (BAFA), which is an executive agency operating under the jurisdiction of the Federal Ministry of Economics and Technology, is responsible for granting/denying export licences under the Foreign Trade and Payments Act and Ordinance.<sup>11</sup> The Federal Office of Economics and Export Control submits projects of particular political impact to the Federal Government for its assessment from a political perspective.

The so-called advance inquiry practice has become customary in the course of the past several decades. This practice enables companies to clarify at an early stage whether, upon agreement on a sales contract, the required export licence will be granted at a later point in time – assuming the circumstances of the transaction remain unchanged. Decisions on advance inquiries are taken in accordance with the same criteria as decisions on export licence applications.

Advance inquiries relating to war weapons must be submitted to the Foreign Office; advance inquiries relating to other military equipment must be filed with the Federal Office of Economics and Export Control. The procedure corresponds to that of the actual licence applications. Important projects are also submitted to the Federal Government for decision. The purpose of advance inquiries is to make the outcome of the subsequent licensing procedure visible at the earliest possible stage in the interest of reliable planning. However, an advance inquiry does not substitute the export licence, which is always required.

Germany's Federal Security Council is normally included in deliberations on export projects that stand out because of the consignee country, the military equipment involved, or the volume of the transaction. The Federal Security Council is a Cabinet committee chaired by the Federal Chancellor. Its members comprise the Head of the Federal Chancellery, the Federal Ministers of Foreign Affairs, Finance, the Interior, Justice, Defence, Economics and Technology, and Economic Cooperation and Development.

#### 2. Application of the "Political Principles"

The War Weapons Control Act and the Foreign Trade and Payments Act serve as the framework providing the Federal Government with the latitude for assessment and discretion. To guarantee the uniform exercise of the political discretion available to the Federal Government and to make transparent the politically important criteria used for arriving at decisions, "Political Principles" were defined and have been in force since 1982 (updated in January 2000); they serve as a basis for deciding the individual cases.

These Political Principles contain the following main elements:

 The preservation of human rights is of particular importance for every export decision, irrespective of the envisaged recipient country. Military equipment exports are therefore fundamentally not approved where there is "sufficient suspicion" of the involved military equipment's misuse for internal repression or other ongoing and systematic violations of human rights. The human rights situation in the consignee country plays an important role in connection with this question. The Political Principles are more restrictive than the EU Common Position (more detail on this aspect below, under II. 3.), which rules out export licences only where a "clear risk" exists.

- Following the General Section, a distinction is made between EU, NATO, and NATO-equivalent countries (Australia, New Zealand, Japan, Switzerland) on the one hand, and other countries ("third countries") on the other. For the first group of countries, licences are the rule and denials the exception; for the second group, there is a restrictive policy with respect to licence issuance.
- In this context, the following applies for the group of third countries:
   The export of war weapons is approved only in exceptional cases where, as justified by the individual situation, special foreign policy or security policy interests of the Federal Republic of Germany would support the granting of a licence. For other military equipment, licences are granted only insofar as such action does not endanger the interests to be protected under foreign trade and payments statutes (Section 4 Subsection 1 of the Foreign Trade and Payments Act as cited above under 1.).

Even under this restrictive licensing practice for third countries, the legitimate security interests of such countries may therefore argue for granting an export licence in individual cases. This situation arises in particular when the respective security interests are also internationally significant. The defence against terrorist threats and the combating of international drug trafficking are conceivable examples. In connection with the export of naval equipment to third countries, important aspects may be the interest of the community of nations in secure seaways and an effective exercise of respective national sovereignty in coastal waters. Alongside the pre-eminent importance of the seaways for the functioning of world trade, the increasing threats from piracy, narcotics trafficking, the smuggling of weapons and humans, pollution, and illegal fishing all play an increasing role here.

- The Federal Government's "special interest" in the ongoing capability for co-operation by Germany's defence industry in the EU and NATO is expressly highlighted, above all against the background of the development of a common European defence policy.
- The factors that are taken into serious consideration in deciding whether to grant licences for the export of arms to third countries include apart from the human rights, a factor which merits particular attention the external and internal situation, as well as the extent to which the recipient country's sustainable development might be jeopardised by disproportionate outlays on arms.
- Other factors come into play as well when assessing
  whether a licence can be issued for the export of
  military equipment: the recipient country's conduct
  toward the international community concerning
  matters such as the fight against international terrorism and organized crime; the extent to which the
  recipient country meets its international obligations,
  particularly with respect to international human
  rights law, as well as in the areas of non-proliferation, military weapons, and arms control.

Germany's control system for military equipment exports ensures the final destination of the exported military equipment in a reliable manner. The Federal Government has gathered decades of good experience with these rules. In the few isolated cases in which a diversion has come to light, the German Government vigorously follows up any such indications. If it is proven that assurances of end-use have been violated, the issuing of export licences for the relevant recipients is normally suspended until the facts have been clarified and the danger of renewed unauthorised re-exports has been removed.

The examination of the end-use prior to the issuing of the export licence adheres to the usual system in Europe. It is recognised as an effective control system and enjoys a high reputation around the world.

The ex-ante examination ensures right from the start that defence goods are not delivered to recipients if there is a danger that the goods will be

diverted. If there are doubts about the recipient's assurance of the end-use, export licence applications are rejected.

And finally, the Federal Government agrees to submit to the Bundestag a Military Equipment Export Report on the developments of the respectively concluded calendar year, a commitment that is now being honoured by the fourteenth submission of such a Report.

The EU Common Position of 8 December 2008<sup>12</sup> contains eight specific criteria for decisions on export applications (cf. Annex 2, Article 2) and is an integral element of the Political Principles. In the case of each application - e.g. for exports to Maghreb states or the Middle East - the Federal Government conducts a very thorough examination in the light of the situation in the region and the relevant country, including the significance of the exports in question to preserve regional peace, security and stability (Criterion Four of the EU Common Position). It is appropriate to take a differentiated view in the light of the varying political developments in the countries and regions and in line with the aforementioned principles governing the decisionmaking.

### II. German Policy on the Export of Military Equipment in the International Context

#### 1. Disarmament agreements

In certain areas, export control policy for conventional military equipment is heavily influenced by disarmament agreements that are binding under international law. The German Government has supported corresponding initiatives and emphatically advocates strict compliance with internationally agreed rules. Furthermore, it advocates and supports all steps to facilitate worldwide recognition of these commitments.

The German Government's activities in this area are outlined in detail in the Annual Disarmament Report, to which reference is made.<sup>13</sup>

#### 2. Arms embargoes

The international community has adopted a number of arms embargoes that are implemented in Germany's export policy through amendments to the Foreign Trade and Payments Ordinance (Sections 74 ff.) or the non-issuance of licences. The importance of such (arms) embargoes as a means of attaining specific policy objectives has noticeably increased in recent years.

Details of the arms embargoes in force in 2012 and 2013 are listed in Annex 5.

## 3. Common Foreign and Security Policy of the EU

The Federal Government actively advocates further harmonisation of export controls at EU level in order to put in place control standards that are as uniform and high as possible and to create a level playing field for German industry.

On 8 December 2008, the adoption of an EU Common Position defining common rules governing the control of exports of military technology and equipment marked the achievement of the goal pursued by the Federal Government for many years of revising the

tried and trusted rules of the EU Code of Conduct for Arms Exports – which had previously only been politically binding - and making them legally binding for all EU member states. The Common Position updates and supplements the rules of the EU Code of Conduct, which has been in place since 1998. This represents great progress on harmonising the export control policies at EU level. The Common Position contains eight criteria (cf. Annex 2, Article 2) to be used by all member states in decisions on applications for export licences. A number of new elements (e.g. the human rights criterion was expanded to include the aspect of international human rights law) were included in the Common Position in 2008, thereby broadening and widening its scope of application. Through its incorporation in the Political Principles of the Federal Government, the Common Position is an integral part of Germany's policy on the export of military equipment.

The operative part of the EU Common Position contains rules aimed at improving co-ordination between the EU licensing bodies. For example, all member states must be informed about rejections of export licence applications. If despite the existence of such a notification of denial by a different member state, a member state nevertheless intends to authorise an "essentially identical" transaction, it must first consult the relevant member state. These provisions serve to increase the transparency of the controls on exports of military equipment amongst the member states throughout the European Union, to further their harmonisation, and to foster the creation of a level playing field. The regular exchange between the representatives in the capital cities about various countries of destination in the context of the Brussels Council Working Party on conventional Arms Exports also serves this purpose.

The EU's User's Guide, which stipulates the details of the denial procedure and fosters a uniform interpretation of criteria, was adapted to the transition from the Code of Conduct to the Common Position.<sup>14</sup>

In line with its Article 15, the Common Position of the EU was subjected to a review in 2012 by the member states of the EU with the active participation of the

<sup>13</sup> Most recent Annual Disarmament Report 2012, Bundestag printed paper 17/12570 of 27 February 2013, cf.: http://www.auswaertiges-amt.de.

<sup>14</sup> Internet: http://register.consilium.europa.eu/pdf/de/09/st09/st09241.de09.pdf.

Federal Government, particularly in the COARM Council Working Party. This also entailed a review of the relevant User's Guide and other related documents which serve its implementation and application. On 19 November 2012, the Council of the European Union states in its Conclusions that the provisions of the Common Position and the instruments provided by them continue to appropriately serve the goals set in 2008 and offer a solid foundation for the convergence of the export policies of the member states. At the same time, the EU will work towards a further improvement of the implementation of the Common Position, e.g. by updating the related User's Guide. The Council continued the work on this in 2013.

In November 2012, the Council adopted the fourteenth common annual report on the implementation of the Common Position. <sup>15</sup> Also in November 2012, a further Council decision adopted activities by the EU to promote export controls for defence-related goods and the implementation of the principles and criteria of the EU Common Position in third countries, to be realised over a further two years by the German Federal Office of Economics and Export Control (BAFA) (cf. also Section II. 10.).

During the year under report, Germany held **five active and 22 passive consultations** with other EU countries concerning export licence denials, with a view to implementing the operative provisions of the Common Position.<sup>16</sup>

The dialogue with the European Parliament, EU accession candidates and third countries that have committed themselves to applying the principles of the EU Common Position, and with international NGOs, was further developed and deepened.

Additional priorities of the Common Foreign and Security Policy in the field of export controls were the firm backing for the initiative for an international Arms Trade Treaty (cf. Section II. 9.) by the EU and its member states, and outreach activities to promote the principles and criteria of the Common Position (cf. Section II. 10.).

#### 4. EU Directive on transfers of defencerelated products within the Community

The German act implementing the Directive simplifying terms and conditions of transfers of defence-related products within the Community (2009/43/EC) entered into force on 4 August 2011 (Federal Law Gazette 2011 I p. 1595).

Like the directive, the national implementing act substantially simplifies the transfer of defence-related products within the EU. To this end, companies in the EU are increasingly being provided with global and general licences. Reliable companies in the EU are given the opportunity to have themselves certified in order then to be supplied with defence-related products under simplified conditions on the basis of general licences. Such general licences for deliveries to certified companies improve the competitive prospects of small and medium-sized firms in particular. So far, companies have made little use of the two general licences envisaged by the directive for the supply of armed forces in Europe or to supply certified companies.

An evaluation for the second half of 2012 revealed no deliveries to certified companies, and deliveries to armed forces within the EU worth approx. € 11.5 million.

#### 5. Framework Agreement concerning Measures to Facilitate the Restructuring and Operation of the European Defence Industry

The German Government is also advocating, together with the other countries of manufacture – France, Italy, Spain, Sweden and the United Kingdom ("LoI" countries) – relaxed rules on co-operation within the European military equipment industry in the context of the "Letter of Intent" (LoI) process. In 2000, these countries adopted a Framework Agreement concerning Measures to Facilitate the Restructuring and Operation of the

<sup>15</sup> Published in the EU Official Journal, edition C386/1 of 14 December 2012.

<sup>16</sup> In the case of active consultations, Germany consults another EU member state; in the case of passive consultations, Germany is consulted by another EU member state.

European Defence Industry (Farnborough Agreement<sup>17</sup>). A working party of the LoI countries meets at irregular intervals in order to engage in cross-border co-operation in the field of export control. There are regular attempts to achieve further harmonisation here.

#### 6. Wassenaar Arrangement

The Wassenaar Arrangement (WA)<sup>18</sup> was established in 1996 to help improve transparency, the exchange of views and of information and to increase the level of responsibility in the transfer of conventional military equipment and of dual-use goods and technologies which can serve their manufacture. The 41 countries that are presently signatories of this politically binding convention (all the EU member states except Cyprus as well as Argentina, Australia, Canada, Japan, Republic of Korea, New Zealand, Norway, Russia, South Africa, Switzerland, Turkey, Ukraine, USA and, since January 2012, Mexico) aim to harmonise their controls of the export of such goods with a view to preventing destabilising stockpiling of conventional military equipment.

The core element of the Wassenaar Arrangement in terms of military equipment export control is the ongoing further development of the "Munitions List", i.e. the list of military equipment to be subject to controls by the signatory states. The List determines the content of the EU's Common List of Military Equipment and thus also of Part I Section A of the German Export List. The Wassenaar Dual Use List is also translated into European and German law.

Germany is a founding member of the Wassenaar Arrangement, plays an active part, and provided the plenary chair in 2012. Under the German plenary chair, important initiatives were adopted to improve internal WA notifications which serve to inform the partners about exports which have been undertaken and thus to enhance the transparency and effectiveness of the WA.

Further to this, the WA provides that the participating countries should inform one another about denied export licences for dual use goods to non-participating countries.

Germany also led the preparations for the outreach mission to India in March 2013 which served to establish a dialogue on export control and to bring India closer to the WA. Further measures to open up the WA for dialogue with non-participating countries include regular technical briefings at the headquarters of the WA Secretariat in Vienna.

The co-operation amongst the WA signatories generally serves to develop and deepen international export control standards. In particular, the increase in transparency and the step-by-step harmonisation of the national military equipment export policies are significant interests, and Germany remains a firm advocate of these.

#### 7. UN Register of Conventional Arms

The UN Register of Conventional Arms, adopted by General Assembly Resolution 46/36L of 6 December 1991, has collected information on the import and export of conventional major weapons systems<sup>19</sup> and – on a voluntary basis – data on national arms inventories and procurement from national production since 1992. The member countries of the United Nations provide this information by 31 May for the preceding calendar year. Since 2003, there has also been the possibility to report imports and exports of small arms and light weapons. The aim of the register is to build confidence by increasing the level of transparency regarding conventional arms. Germany has participated in the reporting system since the register was set up and reports regularly to fulfil its obligations.

<sup>17</sup> Federal Law Gazette 2001 II p. 91.

<sup>18</sup> Internet: <a href="http://www.wassenaar.org">http://www.wassenaar.org</a>

<sup>19</sup> Reports must be made for weapons classified in the following seven categories: battle tanks, other armoured combat vehicles, large calibre artillery systems, combat aircraft, combat helicopters, warships, missiles and missile launch systems including man portable air defence systems (MANPADS).

For the year 2012, the Federal Republic of Germany reported the export of the following war weapons to the UN Conventional Arms Register:

Table A

| Country   | Item                                | Quantity                               |
|-----------|-------------------------------------|--|
| Brazil    | Leopard 1 main battle tank          | 26                                     |
| Canada    | Leopard 2 main battle tank          | 6 (of which 2 without weapons systems) |
| Iraq      | Combat helicopter EC 635            | 8                                      |
| Poland    | Missiles LFK RBS 15 Mk3             | 24                                     |
|           | Missile launchers for LFK<br>RBS 15 | 24                                     |
| Singapore | Leopard 2 main battle tank          | 4                                      |
| Turkey    | Leopard 1 main battle tank          | 13                                     |

## 8. International discussion on small arms and light weapons

In internal and cross-border conflicts by far the greatest share of human casualties have been caused by the use of small arms and light weapons ("small arms", e.g. submachine guns, assault rifles, light mortars, etc.) and the associated ammunition<sup>20</sup>. Small arms can often be procured inexpensively and illegally through internationally operating arms brokers, in particular in developing countries, where national control mechanisms are mostly underdeveloped. In many cases, small arms impede economic and social development and frequently contribute to a violent escalation of conflicts. Quite frequently, violent conflicts threaten to destroy the success achieved in many years of development work. Further, man portable air defence systems (MAN-PADS), which are counted as light weapons, represent a danger to both civil and military aviation due to their high relevance to terrorism. Experience shows that deficiencies in managing and safeguarding the stocks of arms and munitions held by the state in the relevant countries also represent a significant source of illegal transfers.

For this reason, the German Government applies strict standards when issuing licences for small-arms exports to third countries, and developing countries in particular, in order to ensure coherence of foreign, security, external economic and development policies. The German Government is working at the international level towards an efficient prevention of the illegal proliferation of such weapons and their ammunition. With respect to the legal export of small arms, the German government advocates strict and efficient controls. Its goal is - in the framework of the UN Small Arms Action Programme<sup>21</sup> and via regional initiatives, e. g. in the context of the EU Small Arms Strategy<sup>22</sup>, the OSCE Small Arms Document<sup>23</sup>, which was adopted in November 2000, and the OSCE Document on Stockpiles of Conventional Ammunition<sup>24</sup> – the achievement of concrete results with obligations for the participating countries to take action which are as binding as possible. Further to this, the Federal Government assists other states, both in the context of the EU on the basis of the EU Small Arms Strategy and in the context of bilateral development co-operation, as they establish efficient national and regional small arms control systems.

The discussion conducted in various international bodies on small arms continued intensively in 2012.<sup>25</sup> Not least, this applies to the small arms debate in the UN context. The Federal Government played an active part in the Second Review Conference of the UN Programme of Action on Small Arms (August/September 2012), which ended successfully. Right from the outset, the Federal Government has supported the development of International Small Arms Control Standards (ISACS). The ISACS give the states comprehensive

<sup>20</sup> Concerning the terms small weapon and light weapon, see III. 1. h).

<sup>21</sup> Cf. UN document A/CONF. 192/15, available on the internet at: http://www.poa-iss.org/PoA/poahtml.aspx

 $<sup>{\</sup>bf 22} \quad Cf; http://europa.eu/legislation\_summaries/foreign\_and\_security\_policy/cfsp\_and\_esdp\_implementation/l33244\_de.htm$ 

<sup>23</sup> OSCE Document FSC.DOC/1/100 on Small Arms and Light Weapons of 24 November 2000, available on the internet at: http://www.osce.org/de/fsc/20785; cf. also the 2000 Military Equipment Export Report, II.7. for more details.

<sup>24</sup> OSCE Document FSC.DOC/1/03 on Stockpiles of Conventional Ammunition of 19 November 2003, available on the internet at: http://www.osce.org/de/fsc/15794

<sup>25</sup> Cf. re the small arms problem also the 2012 Annual Disarmament Report, with sample projects, at http://www.auswaertiges-amt.de/cae/servlet/contentblob/638510/publicationFile/177736/130227\_Jahresabruestungsbericht\_2012.pdf.

recommendations on the management of small arms and light weapons; these are based on the Small Arms Programme of Action, the International Tracing Instrument and the Firearms Protocol. In 2012, the Federal Government promoted a project to establish a software instrument via the UNIDIR peace research institute at the UN which will make it possible to apply the ISACS more effectively and in particular to use them for the creation of indicators and benchmarks and to measure the effectiveness of the respective implementation measures.

In this context, mention should also be made of the German involvement in the conclusion of an international Arms Trade Treaty (cf. Section II. 9.), which was adopted on 2 April 2013 by an overwhelming majority of the UN General Assembly, and the aim of which is to achieve not only control of the transfer of conventional military equipment in general, but in particular a globally effective control of the transfer of small arms. Germany is advocating a rapid entry into force and the widest possible application of the treaty.

Germany pursues a restrictive policy on the export of small arms. As war weapons they are subject to the particularly strict rules of the "Political Principles" (Annex 1 of this Report), according to which licences for the export of war weapons to third countries may be issued only by way of exception and only in the case of special foreign or security policy interests of the Federal Republic of Germany. Regarding the export of technology and production equipment, there is the fundamental rule that no licences are issued in connection with the opening of new production lines for small arms and ammunition in third countries.

For third countries, the "New for Old" principle is also applied wherever possible. This calls for sales contracts to be worded to ensure that the recipient destroys small arms that are to be replaced by the new consignment, in order to prevent their proliferation. Moreover, insofar as possible, in new supply contracts the exporter is to require the consignee in a third country to destroy the weapons supplied in the case of a later removal from use. In this way, exports and recipients make an active contribution towards not increasing the number of small

arms available worldwide, and preventing their proliferation across to grey or black markets. Germany and, in particular the Bundeswehr, destroys surplus small arms.

Finally, licences for the export of war weapons, including small arms, are fundamentally issued only for government end-users, not for private entities. The German Government thereby applies a principle which, though it has yet to become majority opinion in the international community (including the UN framework), if universalised would go a long way toward limiting the illegal spread of small arms.

#### 9. Initiative for an Arms Trade Treaty

#### a) Process up to 2012

Unregulated trade in military equipment creates significant dangers and negative effects. They take the form of the regular misuse of weapons to violate human rights and international human rights law, and of the existence of a large illegal market. This is the point from which the Arms Trade Treaty (ATT) operates. 26 The first ever agreement on globally applicable, legally binding, common minimum standards for cross-border trade in conventional defence-related goods will impose responsibility on states. They will commit themselves to controlling exports, imports, transits, trans-shipment and brokering of arms ("transfers") and in particular to subject exports to a structured risk analysis on the basis of internationally comparable decision-making criteria. The core thrust of the Treaty is the *regulation* of the transfer of conventional weapons.

The proposal for a legally binding international agreement on trade in conventional weapons was submitted to the United Nations in 2006. The UN member states provided comments on the ATT project in the course of 2007; a UN group of government experts (28 member states including Germany) discussed this in 2008. The process was continued in 2009 in the form of an Open-Ended Working Group (OEWG). Finally, in 2009, the UN General Assembly decided to commence negotiations and the preparatory process for an ATT. Between July 2010 and February 2012, a preparatory committee held a total of four meetings addressing both substantive elements of a treaty and procedural questions for the conference.

Finally, the UN Conference on the Arms Trade Treaty met in New York from 2 to 27 July 2012. Despite very intensive negotiations and coming closer to agreement on many important questions, the conference came to an end having made significant progress but failing to reach agreement.

Following this, on 24 December 2012 the UN General Assembly decided on a "Final UN Conference on the Arms Trade Treaty" at the end of March 2013, on the basis of the last draft treaty of 26 July 2012 and using the same procedural rules.

#### b) Role of the German government

The German government actively supported the negotiation process from the outset and advocated a strong and robust ATT, particularly at the UN Conference on the ATT in July 2012. It worked actively, intensively and continuously on the preparations and the actual negotiations, and especially worked towards objective solutions which in particular live up to the fundamental humanitarian intent of the Treaty for the core issues of the scope (goods and types of transfer), assessment criteria, reduction of risks of diversion and transparency. The NGOs also unreservedly appreciated this commitment. Federal Foreign Minister Dr. Westerwelle expressed the Government's strong support of an ATT on several occasions.

During the negotiations, the German government advocated not least the inclusion of all conventional military equipment, additional assessment criteria, a clear stipulation of legal consequences as an outcome of the risk assessments (in particular a clear duty of refusal in the case of a "clear risk") and more comprehensive reporting which is explicitly and transparently available to the public.

In June 2012, the German government illustrated the various aspects of the Treaty at a discussion event for the German public and civil society, and discussed central questions of the implementation of a future ATT at the Berlin Export Control Seminar with the countries participating in the export control regime.

At the end of February 2013, a further seminar took place in Berlin for government representatives in order to closely involve new influential powers in the ATT process. Also, the German government funded a two-day seminar held by the UN for African countries in Addis Abeba at the beginning of March 2013, as well as a meeting of African parliamentarians in Windhoek.

In parallel to the preparatory process, and with a view to the negotiations in the UN context, the European Union funded a series of regional seminars around the world from 2009 in order to canvass for an ATT worldwide. Representatives of the German government participated in these seminars as experts.

#### c) Final UN Conference in March 2013 and outcome

The Final UN Conference on an Arms Trade Treaty involved intensive negotiations at the United Nations in New York from 18 to 28 March 2013. It ended with a breach of the consensus by Iran, North Korea and Syria, and thus without the adoption of the treaty text drafted by the conference. However, the text was finally adopted on 2 April 2013 by an overwhelming majority of the UN General Assembly (155 votes in favour, 3 against (Iran, North Korea and Syria), 22 abstentions (e.g. Russia, China, India, Indonesia and Arab states), 13 absences). The treaty was presented for signing at the United Nations in New York on 3 June 2013. It will enter into force once the 50th document of ratification has been deposited.

The Federal Government – following active participation at the final UN ATT conference at the end of March 2013 – voted in favour of the adoption of the draft ATT on 2 April 2013. As a contribution towards a

rapid ratification, Federal Foreign Minister Dr. Westerwelle was one of the first government representatives to sign the Treaty in New York on 3 June 2013.

Within the bounds of expectation, the treaty text has turned out very positively, it is legally sound and contains important standards. In particular, it marks clear progress compared with the current situation of an utter lack of globally valid rules, and demonstrates the UN's capacity to negotiate and conclude treaties on important issues in the field of peace and security.

The present Treaty is – as the result of a compromise following a convergent negotiation process – a new guideline which is practicable and fundamentally new for many states and which aims to create and improve the rules on cross-border trade in defence goods.

In addition to large-scale arms systems, small arms and light weapons are covered, as are broad areas of ammunition and important parts and components for the weapons covered by the Treaty. The export assessment criteria, the core of the Treaty, reflect a substantial part of the assessment criteria which have long applied in Germany and the EU on a broader and more far-reaching basis. In particular, the "Golden Rule" (no licensing of exports if there is a clear risk of serious violations of human rights or serious violations of international human rights law) is largely applied. Exports may also not be licensed if there is a clear risk of undermining of peace and security. In addition to absolute prohibitions on the use (e.g. for war crimes or crimes against humanity), the establishment of a risk of diversion is also a consideration for refusal of an export licence. There are special, but less detailed, rules on imports, brokering and transits or trans-shipment. The Treaty provides for a Secretariat, rules on international co-operation and support, and changes to the Treaty (by a 3/4 majority of the voting contracting parties at the earliest 6 years after entry into force). Furthermore, there are reporting requirements for the contracting states on the implementation and application of the Treaty.

#### d) Outlook

Even following the entry into force of the Arms Trade Treaty, the decisions on possible licences for transfers, particularly exports, will remain a national responsibility, albeit now on the basis of specific, common and binding criteria as a minimum yardstick within a national control system, which signatories must establish. This creates a basic structure for a globally applicable system of controls of transfers of military equipment, and the structure can be expanded in future.

It will also be important to offer assistance and support to countries, particularly developing countries, which do not yet have a significant transfer control system. This will have a key impact on the speed with which they are enabled to implement the Treaty and to submit themselves to fulfilling its obligations accordingly.

The German Government is looking forward on this, and has joined an Australian initiative to set up a new donor facility in the context of the UN Office for Disarmament Affairs (UNODA) for the implementation of the ATT and for projects relating to small arms. The German Government will use this UNSCAR Trust Facility to fund projects in countries building up structures to implement the ATT.

At national level, the Federal Cabinet took the decision on the draft act on the treaty as early as 22 May 2013. The Bundestag unanimously approved the act on the treaty on 27 June 2013; the Bundesrat gave its approval on 20 September 2013<sup>27</sup>. The Act on the Treaty entered into force on 26 October 2013.<sup>28</sup>

The early signing and launching of the ratification process underlines the particular significance attached by the Federal Government to this Treaty for the Federal Republic of Germany, and will contribute to its rapid entry into force.

<sup>27</sup> Cf. Bundesrat printed papers 430/13 of 23 May 2013, 644/13 of 30 August 2013 and correction on 644/13 of 18 September 2013, also 644/13 (decision) of 20 September 2013.

<sup>28</sup> Act on the Arms Trade Treaty of 2 April 2013 of 19 October 2013 (Federal Law Gazette II p. 1426).

The German government will also urge other countries to quickly sign and ratify the Treaty. Also, the German government is already planning how firstly the ratification of the Treaty and secondly its implementation in adequate national control systems can be supported. Here, Germany can play an important role. The Federal Office of Economics and Export Control is already implementing a broad spectrum of advisory projects in the field of export control in other countries on behalf of the European Union (cf. Section II. 10.) and has thus acquired expertise which is highly regarded around the world.

#### 10. Outreach activities

Export control can only achieve maximum effectiveness if as many countries as possible apply similar rules and procedures and work together as closely as possible in order to attain globally effective export controls. The various countries with established export control systems (especially EU, NATO, NATO-equivalent countries, and WA signatories) believe that it is worthwhile to approach other countries (so-called "outreach" efforts), to promote the objectives and means of export controls, and possibly also to offer support in developing export controls. One of the major focuses here is on efforts to promote transfer control standards for small arms and light weapons (SALW) in conjunction with the offer of advice and support for the implementation of such measures.

The Federal Office of Economics and Export Control (BAFA) has been commissioned by the EU to organise outreach activities in the field of military equipment by Council Decision 2009/1012/CSFP. Back in 2010, the BAFA organised and held regional seminars on arms export controls in Algiers/Algeria, in Sarajevo/Bosnia and Herzegovina and in Kyiv/Ukraine. These activities were supplemented and deepened in 2011 by further regional seminars in Podgorica/Montenegro and Kyiv/Ukraine. For the (potential) EU accession countries of Croatia, the former Yugoslav republic of Macedonia and Montenegro, study visits to export control authorities in EU member states (Budapest/Hungary, Lisbon/Portugal, Warsaw/Poland and Prague/Czech Republic) took place in 2011 and early 2012.

The above-mentioned Council decision expired in mid-March 2012. Following the successful implementation of this Council decision, the member states agreed on the adoption of a new Council decision in November 2012 (2012/711/CFSP), which is valid until the end of 2014. The group of eligible countries was not changed. The EU once again asked the BAFA to implement the measures envisaged by the Council decision. This Council decision firstly permits the continuation and thus consolidation of the earlier activities, and secondly extends the number and nature of the available measures. Further to this, there are additional instruments like individual support measures and the establishment of a website to facilitate communication and to improve the exchange of information. The first activities have been taking place since the first quarter of 2013.

# III. Licences for the Export of Military Equipment and War Weapons

The following is an outline of **licences** granted for military equipment exports in 2012; **actual exports** are also listed for the sub-sector **war weapons**. The outline is complete to the extent that disclosure has not been restricted by law. In particular, the names of the respective exporters cannot be released owing to the legal protection afforded business and industrial secrets under Section 30 of the Law on Administrative Procedure.

The Federal Office of Economics and Export Control (BAFA)<sup>29</sup> compiles a list of the **export licences** granted for all military equipment (war weapons and other military equipment). The figures for reporting year 2012 are displayed under III. 1. and outlined in further detail in Annex 7. A detailed overview of the 20 leading countries of destination in the reference year can be found in Annex 6.

Statistics on **actual exports** of military equipment are at present recorded only for war weapons. III. 2. below presents annual values as determined by Germany's Federal Statistical Office.

Just as its predecessors, the present Military Equipment Export Report contains information on export licences issued and, in a more general manner, on licences denied; however, it presents no information in connection with decisions on advance inquiries made during the reporting year concerning respective export projects' eligibility for licences. Advance inquiries are normally made by companies at a very early stage, usually prior to the start of negotiations with potential foreign clients. Positive decisions on advance inquiries are not suitable for use as indicators in evaluating policy on military equipment exports since, at the time when they are taken, there is no certainty whether or not the project is going to be implemented. Moreover, advance inquiries enjoy increased confidentiality as business and industrial secrets under Section 30 of the Law on Administrative Procedure since potential competitors could benefit from the publication of a planned but not contractually agreed project in the Military Equipment Export Report. The non-inclusion of advance inquiries creates no gaps in export statistics since upon later implementation of the projects the still-required

export licences (and additionally the actual exports in the case of war weapons) are reflected by the statistics of the respective Military Equipment Export Report. The Report thus takes account of all administrative transactions at least once and, in the case of war weapons, twice (when licensed and when exported).

It is only possible to offer generalised information on denied requests in order to avoid the Military Equipment Export Report serving as an information source for prospective business deals by exporters located in countries with different (and especially with less restrictive) export control policies.

### Export licences for military equipment (war weapons and other military equipment)

Annex 7 presents an outline of military equipment<sup>30</sup> licences granted and/or denied in 2012, broken down by countries of destination. The first part of this Annex shows EU Member States, the second part NATO and NATO-equivalent countries (excluding the EU Member States), and the third part all other countries (so-called third countries). For the sake of greater transparency in connection with exports to third countries, this country category has a column entitled EL (Export List) Items that provides a more detailed breakdown of the important products. Where applications for a country of destination have been denied, the relevant remarks have been made in the overview with details on the number of denials, the involved EL Items, and the value of the goods.

When denial notifications have been made by Germany in accordance with the EU Common Position (cf. II. 3.), a corresponding remark is noted together with the reason for denial (number of the respective criterion in the EU Common Position).

The figures presented in columns 2 to 4 relate to export licences issued. Experience shows that actual export values are significantly lower than these licence values. The reason is that licences sometimes remain

either partly or entirely unused. It should also be noted that some or all of the articles are frequently not exported or not entirely exported in the year in which the licence was issued.

#### a) Individual licences

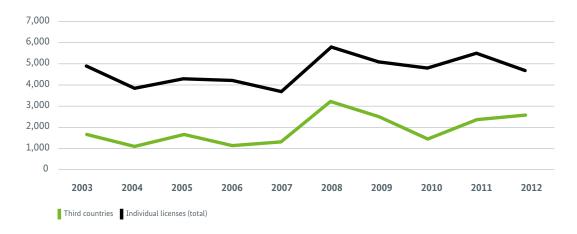
In 2012 a total of 16,380 individual licence applications for the final<sup>31</sup> export of military equipment were approved in Germany (year earlier: 17,586). The total value of the licences – not that of actual exports – was € 4.704 billion. This was roughly a € 710 million decline against figures for the year 2011 (€ 5.414 billion).

Individual licences for countries designated in No. II of the Political Principles of 19 January 2000 (EU member states, NATO and NATO-equivalent countries) accounted for € 2.101 billion of this amount (previous year: € 3.116 billion). Licences for goods with an end-use in EU countries totalled € 971.4 million (previous year: € 1.954 billion). This represents a decline of around € 1 billion. Licences for goods with end-use in NATO or NATO-equivalent countries (not including EU countries) had a total value of € 1.13 billion (preceding year: € 1.162 billion – in each case without collective export licences). The licence value for exports to third countries amounted to € 2.603 billion (previous year: € 2.298 billion).

Figure 1 shows that the licence figures for the last ten years are subject to fluctuation. It is necessary to bear in mind here that the values cited in this Report are nominal figures, i.e. they have not been adjusted for inflation.

For exports of military equipment to developing countries, individual licences valued at a total of approx. € 328.4 million were issued in 2012 (2011: € 501.8 million). This is equivalent to 7 % of the value of all German individual licences for military equipment (the proportion in 2011 was around 9.3 %). The leading countries of destination amongst the developing countries in 2012 were Iraq (€ 112.6 million – helicopters), India (€ 97.2 million – mainly parts for submarines, rifles and communications equipment) and Pakistan (€ 33.1 million – mainly for engines for helicopters and communications equipment). A breakdown of the various types of goods for which export licences were issued can be found in Annex 7.





- 31 Licences of temporary exports, e.g. for fairs, exhibitions, and/or demonstration purposes, are not included.
- 32 For the term "developing countries," see footnote 3.

The licence values for the group of the poorest and other low-income developing countries<sup>33</sup> amounted to € 1.92 million in 2012 (2011: € 3.1 million) or 0.04 % (2011: 0.06 %) of the value of all individual export licences for military equipment in 2012. Most of the deliveries involved armoured cross-country vehicles.

*Note*: The licence values for the developing countries in general and for the group of the poorest and other low-income developing countries do not include:

25 export licences worth a total of approx. € 9.8 million, mainly for the UN-mandated NATO mission in Afghanistan (ISAF). Since the end user of the goods is the armed forces of a NATO country, development policy aspects played no role in the decision – cf. also the 2011 Report. The licence values for developing countries also omit export licences for the UN and other international organisations in countries like Sudan, South Sudan, Congo and Angola worth a total of approx. € 3.7 million.

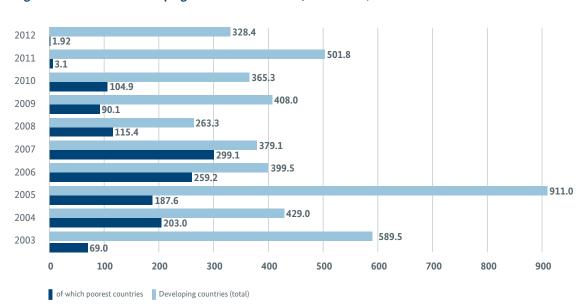
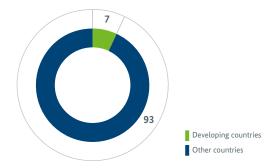


Figure 2: Licences for developing countries 2003-2012 (in € millions)





<sup>33</sup> Poorest and other low-income developing countries and areas pursuant to Columns 1 and 2 of the OECD's DAC List of ODA Recipients for 2011, 2012 and 2013. Cf. Annex 9.

#### b) Collective export licences

In contrast to an individual licence, the collective export licence permits particularly reliable exporters to make a large number of exports or transfers to various recipients based in one or in several countries. Such licences are granted only to exporters which are subject to special controls by the BAFA. As a rule, the collective licences permit shipments of military equipment to EU, NATO or NATO-equivalent countries. The licences can be used both for final and for temporary exports. To a small extent, third countries can also be supplied with goods on the basis of collective export licences. Reasons for delivery to third countries might include temporary exports for testing or demonstration purposes.

The values shown on the applications reflect applicants' figures for their anticipated needs in the licence period. Since varying use is made of these values, which are licensed as maximum amounts, the aggregate figure for collective export licence values is subject to strong annual fluctuations and has only limited validity as a barometer of Germany's export policy.

In the period from 1 January to 31 December 2012, 77 applications for the issuing of a collective export licence were approved by the BAFA involving export projects related to conventional military equipment within the meaning of Part I Section A of the Export List (EL) of the Foreign Trade and Payments Ordinance. The issuing of the licence is subject to the same principles as apply in the individual licence procedure. The

examination thus observes the EU Common Position and the Political Principles for an individual case.

The 77 relevant licences issued in the above-mentioned period covered goods worth a total value of  $\in$  4.17 billion. By way of comparison: in the period from 1 January to 31 December 2011, 91 collective export licences were issued with a value of  $\in$  5.38 billion.

The 77 collective export licences issued in the context of programmes and co-operation break down as follows:

In 65 cases, exports in the context of joint programmes.

"Joint programmes" are the bilateral, trilateral and multinational development and manufacturing programmes for military equipment (e.g. co-operation on the Eurofighter). They are thus international development and manufacturing programmes involving the German government. The relevant German ministry commissions a main German contractor, as the leader of the consortium, with implementing the programme.

 In 3 cases, exports in the context of official intergovernmental co-operation.

Official intergovernmental co-operation covers development and manufacturing programmes if the contracts to develop or manufacture certain goods for the respective programmes were agreed with state involvement.

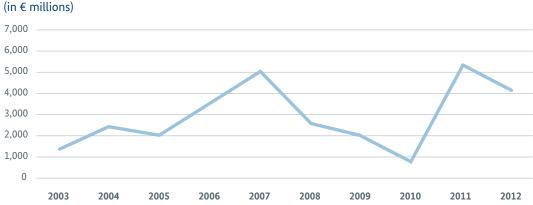


Figure 4: Trend of licence values for collective licences 2003-2012

• In 7 cases, exports in the context of other international projects.

The category of other international projects which can be recognised by the BAFA particularly includes co-operation between companies based in countries covered by the Letter of Intent (LoI) of 6 July 1998. The LoI countries are France, the UK, Germany, Sweden, Spain and Italy. Further information can be found at: http://eda.eu.int.

 In 2 cases, exports in the category "after-sale service" (rapid handling by the export control authorities of necessary service deployments).

#### c) Export licence denials

In 2012, 118 applications for military equipment exports (preceding year: 105) were denied. The total value of the denials came to € 24.4 million (preceding year: € 24.8 million). The figure does not include applications withdrawn by applicants prior to notification because of poor chances of success or for other reasons. Like the values for licences for third countries, the figures for export licence denials are also subject to great fluctuations for this group of countries.

Since the acquisition of new orders costs money, many applicants seeking to export to sensitive destinations make a formal or informal inquiry with the control authorities about the prospects of their applications prior to the submission of a licence request. Where the response to the inquiry is negative, there are only very rare cases in which a formal application is filed, the denial of which is then included in the attached statistical overview (Annex 7). As a rule, applications appearing to have no prospects of success are not submitted. The highest-value denials in 2012 affected Serbia ( $\in$  10.3 million), Bahrain ( $\in$  3.4 million) and India ( $\in$  2.2 million). Denials for the final export of arms concerned the following destinations in 2012:

Bahrain, Belarus, Bosnia and Herzegovina, Brazil, Bulgaria, People's Republic of China, Democratic Republic of the Congo, Cyprus (North), Egypt, Eritrea, Georgia,

Guatemala, India, Indonesia, Iraq, Israel, Kazakhstan, Kenya, Kosovo, Kyrgyzstan, Macao, Macedonia, Madagascar, Malaysia, Moldova, Morocco, Paraguay, Russia, Saudi Arabia, Serbia, South Africa, Taiwan, Thailand, Turkey, Turkmenistan, Ukraine, United Arab Emirates, Venezuela, Vietnam, Zimbabwe.

#### d) Most important countries of destination

The 20 most important countries of destination for which individual export licences were granted in 2012 are listed in Annex 6. The ranking varies from year to year. In 2012, the ten largest recipients were: Saudi Arabia, USA, Algeria, United Kingdom, Canada, France, Switzerland, Korea (Rep.), Singapore and United Arab Emirates.

#### e) Individual export licences broken down by Export List (EL) Items

The individual export licences issued in 2012 are broken down into the 22 EL Items in Table B.

Table B is based on the 16,380 individual licences issued in  $2012^{34}$ . It shows that the category which accounted for the **largest share** of exports of military equipment **in terms of value** in 2012 was "fire control systems", totalling € 1.06 billion, and "wheeled and tracked military vehicles", totalling € 1 billion.

The small firearms item-number on the Export List (A 0001) includes not only small arms but also the so-called civilian weapons such as hunting, sporting, and self-defence weapons, which are much more important in terms of licence values; more detailed information on this point is available below, in Section III. 1. h). The share accounted for by the most important categories is clearly shown in Figure 5 (p. 22).

The addition of the number of individual licences by positions A 0001 to A 0022 yields a higher value than the total number of individual licences since some of the applications are split among several positions and are therefore counted two or more times in the individual positions in this table.

Table B

| EL-Item | Description of Item   | Number | Value in €    |
|---------|---|--------|---------------|
| A 0001  | Small firearms  | 5,306  | 234,443,097   |
| A 0002  | Large calibre weapons   | 380    | 95,425,073    |
| A 0003  | Ammunition  | 1,153  | 297,665,803   |
| A 0004  | Bombs, torpedoes, missiles  | 349    | 166,363,797   |
| A 0005  | Fire control systems  | 555    | 1,062,986,900 |
| A 0006  | Wheeled and tracked military vehicles   | 3,355  | 1,004,630,303 |
| A 0007  | Equipment for NBC defence, irritants  | 164    | 21,946,234    |
| A 0008  | Explosives and fuels  | 301    | 30,759,091    |
| A 0009  | Naval vessels   | 612    | 216,899,342   |
| A 0010  | Military aircraft / aircraft technology                                       | 972    | 271,667,765   |
| A 0011  | Military electronics  | 953    | 354,673,048   |
| A 0013  | Ballistic protection equipment  | 102    | 13,761,979    |
| A 0014  | Training and simulator equipment  | 127    | 67,281,139    |
| A 0015  | Infrared/thermal imaging equipment  | 201    | 96,889,731    |
| A 0016  | Semi-finished parts for the production of certain items of military equipment | 546    | 165,442,092   |
| A 0017  | Miscellaneous equipment   | 323    | 156,535,321   |
| A 0018  | Manufacturing equipment for the production of military articles               | 598    | 37,216,901    |
| A 0019  | HF weapon system  | 2      | 191,550       |
| A 0021  | Military software   | 210    | 216,358,665   |
| A 0022  | Technology  | 667    | 192,832,152   |
| Total   |   | 16,876 | 4,703,969,983 |

Figure 5: Individual licences' share (by value) of the most important Export List items in 2012

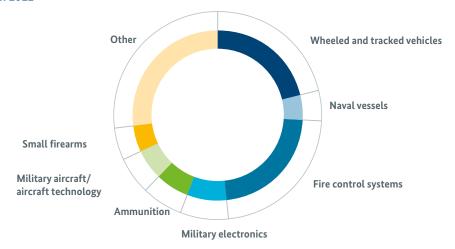


Table C

| Tuble C |                                 |  |                                       |   |   |
|---------|---------------------------------|--|---------------------------------------|---|---|
| Year    | EU countries<br>(in millions €) | NATO or NATO-<br>equivalent countries³5<br>(without EU countries)<br>(in millions €) | Third<br>countries<br>(in millions €) | Individual export<br>licences<br>Total<br>(in millions €) | Collective export<br>licences<br>Total<br>(in millions €) |
| 2003    | 1,892                           | 1,359.2  | 1,613                                 | 4,864.2   | 1,328   |
| 2004    | 1,915.8                         | 810.7  | 1,080.2                               | 3,806.7   | 2,437.1   |
| 2005    | 1,440.3                         | 1,120  | 1,655.5                               | 4,215.8   | 2,032.8   |
| 2006    | 1,863.3                         | 1,174.4  | 1,151.3                               | 4,189   | 3,496.2   |
| 2007    | 1,297                           | 1,141  | 1,230                                 | 3,668   | 5,053   |
| 2008    | 1,839                           | 809  | 3,141                                 | 5,788   | 2,546   |
| 2009    | 1,445                           | 1,106  | 2,492                                 | 5,043   | 1,996   |
| 2010    | 2,315                           | 1,056  | 1,383                                 | 4,754   | 737   |
| 2011    | 1,954                           | 1,162  | 2,298                                 | 5,414   | 5,381   |
| 2012    | 971                             | 1,129  | 2,604                                 | 4,704   | 4,172   |

#### f) Export licences from 2003 to 2012

Table C compares the values (€ millions) of the **licences issued** in the years 2003 to 2012 for final exports. To provide a better basis for comparison, the values are not broken down by individual countries of destination but packaged together for the privileged countries of destination (EU, NATO, NATO-equivalent) on the one hand and third countries on the other. A breakdown by individual country can be found in Annex 7.

The two charts below show the monetary values of export licences issued for all country groups in 2011 and 2012. Pursuant to the Political Principles, EU, NATO and NATO-equivalent countries all have essentially the same status with regard to German arms exports.

Figure 6: Breakdown by value of individual licences by country group



#### g) War weapons' share of licensed values in 2012

The licence values shown under f) related to articles from Part I Section A of the Export List, i.e. to all military equipment including war weapons. By contrast, the following identifies the war weapons' share of overall values for individual licences in 2012. Individual licences for the export of war weapons add up to a total of €452.7 million, or just under 10% of the total for overall individual licences (the figures for 2011 were €1.65 billion and 30.6%).

The following table displays - broken down by country - total licences for the export of war weapons to **third countries** in 2012: (total value €285.4 million; value in 2011: €804.1 million). This is a significant fall in the licence values for war weapons compared with the preceding year. The licences with the highest values refer to Iraq, Singapore and the United Arab Emirates.

The licence values for the war weapons under consideration here by no means reflect the export values for war weapons named in Section III. 2. Since licences are generally valid for one full year, they are often not used by the end of the calendar year of issue but only in the following calendar year. It also happens that, although a licence has been issued, there is no export; this can occur, for example, if the corresponding procurement project has been postponed in the country of consignment.

Table D

| Country                                      | Individual<br>decision or<br>report for<br>war weapons | Value in €  |
|--|--|-------------|
| Afghanistan [UN mission, U.S. army, Embassy] | 6  | 3,329,740   |
| Brazil                                       | 11   | 2,096,714   |
| Brunei                                       | 2  | 8,316       |
| Chile  | 5  | 5,518,078   |
| Congo, Democratic Republic [UN mission]      | 1  | 23,000      |
| Haiti [UN mission]                           | 2  | 68,400      |
| Hong Kong                                    | 3  | 15,381      |
| India  | 11   | 21,237,625  |
| Indonesia                                    | 5  | 1,548,832   |
| Iraq   | 21   | 104,169,446 |
| Israel                                       | 10   | 1,497,531   |
| Jordan                                       | 1  | 5,517       |
| Korea, Republic                              | 1  | 21,300      |
| Kosovo [UN mission]                          | 2  | 1,132,920   |
| Kuwait                                       | 1  | 3,446       |
| Lebanon [UN mission, UN tribunal]            | 3  | 75,400      |
| Malaysia                                     | 1  | 12,260      |
| Montenegro                                   | 2  | 128,490     |
| Oman   | 9  | 1,029,676   |
| Pakistan                                     | 1  | 6,360,269   |
| Philippines                                  | 1  | 613,178     |
| Qatar  | 2  | 6,316       |
| Saudi Arabia                                 | 20   | 13,337,529  |
| Singapore                                    | 16   | 65,876,302  |
| South Africa                                 | 2  | 707,460     |
| Sudan [UN mission]                           | 1  | 18,400      |
| Thailand                                     | 2  | 2,025,000   |
| UAE  | 18   | 54,585,227  |
| Total  | 160  | 285,451,753 |

#### Individual licences for the export of small arms from 2003 to 2012

In view of the continuing special problems associated with the destabilising effects of accumulations of small arms and light weapons ("small arms") in crisis areas<sup>36</sup>, the German Government is additionally reporting for 2012 on individual licences for the export of small arms.

Small arms do not represent an independent category within the groups of military equipment and war weapons under German law, but they are contained within these groups of items. They thus represent a subset of the small firearms covered under EL number 0001 (see Section III. 1. e).

The values shown in the following tables E to G are therefore already included in the statistics under III. 1. a to g and in the values presented under Annex 7.

At the international level, the term "small arms" has various meanings and is defined differently in different forums. Although there are (to some extent considerable) differences in details, there is large agreement on basic elements. But there is still no uniform understanding of all weapon categories. The OSCE small arms definition<sup>37</sup> and the EU's small arms definition<sup>38</sup> provide something of a model. Both of these definitions are based on the term "small arms and light weapons", which is widely used internationally, and distinguish between small arms (mainly small military firearms) and light weapons (most notably portable rocket and artillery systems). Both definitions are also in agreement in that they include only such weapons as are specifically intended for military use, not, however, civilian weapons such as, in particular, hunting and sporting weapons, or civilian (i.e. not specifically designed for military use) weapons of self defence (revolvers and pistols).

The **OSCE** defines small arms as follows:

"[...] small arms and light weapons are man-portable weapons made or modified to military specifications for use as lethal instruments of war.

Small arms are broadly categorized as those weapons intended for use by individual members of armed or security forces. They include revolvers and self-loading pistols; rifles and carbines; sub-machine guns; assault rifles; and light machine guns.

Light weapons are broadly categorized as those weapons intended for use by several members of armed or security forces serving as a crew. They include heavy machine guns; hand-held under-barrel and mounted grenade launchers; portable anti-aircraft guns; portable antitank guns; recoilless rifles; portable launchers of antitank missile and rocket systems; portable launchers of anti-aircraft missile systems; and mortars of calibres less than 100mm."

The **Joint Action of the EU** of 12 July 2002 on the European Union's Contribution to Combating the Destabilising Accumulation and Spread of Small Arms and Light Weapons distinguishes between the following categories of small arms and light weapons:

"(a) Small arms and accessories specially designed for military use:

- Machine guns (including heavy machine guns)
- Submachine guns, including fully automatic pistols
- Fully automatic rifles
- Semi-automatic rifles, if developed and/or introduced as models for the armed forces
- Moderators (silencers)

<sup>36</sup> Cf. II.8. in this regard.

<sup>37</sup> Cf. the OSCE small arms document, footnote 21.

<sup>38</sup> See Appendix of the Joint Action of 12 July 2002 on the European Union's Contribution to Combating the Destabilising Accumulation and Spread of Small Arms and Light Weapons (2002/589/CFSP). For more details: Fifth annual report on the implementation of the Council Joint Action of 12 July 2002 (OJ C 171 of 22 July 2006, p. 1).

#### (b) Man or crew-portable light weapons:

- Cannon (including automatic cannon), howitzers, and mortars of less than 100mm calibre
- Grenade launchers
- Anti-tank weapons, recoilless guns (shoulder-fired rockets)
- Anti-tank missiles and launchers
- Anti-aircraft missiles / man-portable air defence systems (MANPADS)."

Using the EU's small arms definition, the following tables show the value of **licences** for the export of submachine guns, machine guns, automatic and semiautomatic weapons, smooth-bore military weapons, weapons for caseless ammunition and parts for such weapons (Table E)<sup>39</sup>, and for the export of ammunition for guns, submachine guns and machine guns and parts for such ammunition (Table G)<sup>40</sup> for 2003-2012.

**Table E: Individual Licences for the Export of Small Arms** (values in € millions)

| Year | EU countries | NATO or NATO-equivalent<br>countries <sup>41</sup><br>(without EU countries) | Third countries | Individual licences |
|------|--------------|--|-----------------|---------------------|
| 2003 | 35.56        | 8.76   | 8.59            | 52.9                |
| 2004 | 12.64        | 15.46  | 8.17            | 36.27               |
| 2005 | 17.97        | 5.44   | 12.57           | 35.98               |
| 2006 | 11.45        | 10.23  | 15.6            | 37.28               |
| 2007 | 9.35         | 9.38   | 30.2            | 48.93               |
| 2008 | 22.72        | 28.94  | 17.18           | 68.85               |
| 2009 | 35.97        | 20.10  | 14.32           | 70.40               |
| 2010 | 19.42        | 13.81  | 16.30           | 49.54               |
| 2011 | 10.03        | 9.95   | 17.92           | 37.90               |
| 2012 | 12.84        | 26.22  | 37.09           | 76.15               |

<sup>39</sup> Excluding hunting and sporting weapons.

<sup>40</sup> Excluding ammunition for hunting and sporting weapons.

<sup>41</sup> Including Croatia, which became an EU member state on 1 July 2013.

The following illustrations show the values broken down by three country groups for small arms licences issued in 2011 and 2012; in addition the group "third countries" has been divided into developing countries and other third countries. The shares fluctuate from year to year. The developing countries⁴² accounted for approx. 34 % in 2012, or € 26 million (of which India € 19.71 million), cf. next paragraph) of all export licences for small arms. The German Government will continue to take a particularly restrictive approach to exports of small arms to developing countries in future.

The aggregate value of individual export licences for small arms is significantly lower than the aggregate value of total export licences for small firearms as listed above under e) for EL position 0001 (€ 234 million). This is the result of the fact that the definition of small firearms found there also includes civilian weapons (revolvers, pistols) used for self defence, as well as hunting and sporting weapons, and therefore extends far beyond that of small arms as understood internationally.

The value of licences for small arms in third countries was € 37.1 million in 2012 (preceding year: € 17.92 million). India (€ 19.71 million) accounted for the largest share of this.

Figure 7: Breakdown by value of individual licences for small arms by country group

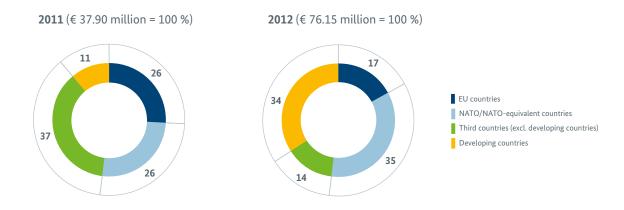


Figure 8: Trend of export licences for small arms 2003-2012 (licence value in € millions)

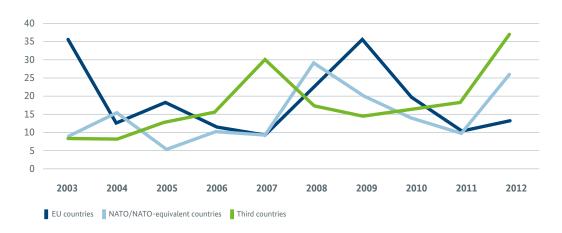


Table F: Individual Licences for the Export of Small Arms to Third Countries Broken down by Countries, Licence Values and Unit Numbers for 2012<sup>43</sup>

| Country       | Licences<br>Total | EL-Item   | Value in €           | Designation  | Unit         |
|---------------|-------------------|-----------|----------------------|--|--------------|
| Afghanistan   | 4                 | 0001A-02  | 80,420               | Rifles with war weapons list number [UN mission and Embassy]         | 54           |
|               |                   |           | 46,520               | Requisite components [UN mission and Embassy]                        | 1,415        |
| Argentinia    | 1                 | 0001A-05  | 2,650                | Components for submachine guns                                       | 50           |
| Bhutan        | 1                 | 0001A-02  | 656                  | Components for rifles with war weapons list number                   | 70           |
| Brazil        | 13                | 0001A-02  | 862,640              | Rifles with war weapons list number                                  | 566          |
|               |                   | 0001A-05  | 80,928<br>12,520     | Requisite components; Submachine guns                                | 3,495<br>10  |
|               |                   |           | 8,323                | Requisite components   | 420          |
| Brunei        | 2                 | 0001A-06  | 8,016                | Machine gun  | 1            |
|               |                   |           | 300                  | Requisite components   | 1            |
| Chile         | 2                 | 0001A-02  | 5,420                | Rifles with war weapons list number                                  | 4            |
|               |                   |           | 1,488                | Requisite components   | 16           |
| Côte d'Ivoire |                   | 0001A-02  | 2,370                | Components for rifles with war weap-<br>ons list number [UN mission] | 6            |
| Hongkong      | 7                 | 0001A-02  | 3,300                | Rifles with war weapons list number                                  | 2            |
|               |                   |           | 671                  | Requisite components; Components for submachine guns                 | 13           |
|               |                   |           | 42,800               |  | 1,105        |
| India         | 19                | 0001A-02  | 401,360<br>101,278   | Rifles with war weapons list number Requisite components;            | 52<br>1,077  |
|               |                   | 0001A-05  | 17,757,045           | Submachine guns  | 12,957       |
|               |                   |           | 1,451,230            | Requisite components   | 17,520       |
| Indonesia     | 5                 | 0001A-02  | 478,500              | Rifles with war weapons list number                                  | 350          |
|               |                   | 0001 4 05 | 33,655               | Requisite components;  | 2,000        |
|               |                   | 0001A-05  | 1,037,873<br>145,312 | Submachine guns Requisite components                                 | 569<br>3,297 |
| Iraq          | 4                 | 0001A-06  | 2,791,120            | Machine guns for combat helicopters                                  | 8            |
| Jordan        | 2                 | 0001A-05  | 5,289                | Submachine guns [museum pieces]                                      | 2            |
|               |                   |           | 5,517                | Components for submachine guns                                       | 122          |
| Korea,        | 2                 | 0001A-02  | 21,300               | Rifles with war weapons list number                                  | 15           |
| Republic      |                   |           | 1,302                | Requisite components   | 60           |
| Kosovo        | 5                 | 0001A-02  | 1,132,920            | Rifles with war weapons list number                                  | 1,049        |
|               |                   | 00014 5-  | 61,891               | Requisite components;  | 1,049        |
|               |                   | 0001A-05  | 1,200                | Components for submachine guns [UN mission]                          | 22           |
| Lebanon       | 4                 | 0001A-02  | 3,480                | Components for rifles with war                                       | 54           |
|               |                   | 0001A-05  | 428                  | weapons list number [UN mission]; Components for submachine guns     | 12           |
|               |                   | 000171 00 | 720                  | [UN mission]   | 12           |

<sup>43 &</sup>quot;Small arms" comprise: rifles with war weapons list number, submachine guns, machine guns, smooth-bore weapons for military purposes, weapons for caseless ammunition, and parts for such weapons. (Other small arms are excluded: rifles without war weapons list number, revolvers, pistols, sniper rifles, inoperative weapons, hunting rifles, sporting pistols and revolvers, sporting rifles, semi-automatic hunting and sporting rifles and other smooth-bore weapons.)

| Country      | Licences<br>Total | EL-Item  | Value in € | Designation                         | Unit    |
|--------------|-------------------|----------|------------|-------------------------------------|---------|
| Malaysia     | 4                 | 0001A-02 | 12,260     | Rifles with war weapons list number | 6       |
| •            |                   |          | 1,642      | Requisite components;               | 26      |
|              |                   | 0001A-05 | 6          | Components for submachine guns      | 3       |
| Montenegro   | 2                 | 0001A-02 | 109,610    | Rifles with war weapons list number | 59      |
| -            |                   |          | 500        | Requisite components;               | 20      |
|              |                   | 0001A-05 | 18,880     | Submachine guns                     | 16      |
|              |                   |          | 9,036      | Requisite components                | 578     |
| Oman         | 14                | 0001A-02 | 861,115    | Rifles with war weapons list number | 1,002   |
|              |                   |          | 43,967     | Requisite components;               | 3,253   |
|              |                   | 0001A-05 | 2,589      | Submachine guns                     | 3       |
|              |                   |          | 4,194      | Requisite components;               | 311     |
|              |                   | 0001A-06 | 8,016      | Machine guns                        | 1       |
|              |                   |          | 153,196    | Requisite components                | 2,840   |
| Philippines  | 6                 | 0001A-02 | 430,348    | Rifles with war weapons list number | 191     |
|              |                   |          | 46,493     | Requisite components;               | 1,474   |
|              |                   | 0001A-05 | 116,310    | Submachine guns                     | 60      |
|              |                   |          | 35,070     | Requisite components;               | 810     |
|              |                   | 0001A-06 | 9,040      | Machine guns                        | 2       |
|              |                   |          | 5,216      | Requisite components                | 18      |
| Qatar        | 4                 | 0001A-02 | 1,795      | Rifles with war weapons list number | 1       |
|              |                   |          | 494        | Requisite components;               | 15      |
|              |                   | 0001A-05 | 3,837      | Submachine guns                     | 4       |
|              |                   |          | 3,823      | Requisite components                | 313     |
| Saudi Arabia | 21                | 0001A-02 | 1,611      | Rifles with war weapons list number | 1       |
|              |                   |          | 6,215,772  | Requisite components;               | diverse |
|              |                   | 0001A-05 | 4,669      | Submachine guns                     | 3       |
|              |                   |          | 312,054    | Requisite components;               | 12,012  |
|              |                   | 0001A-06 | 8,135      | Machine guns                        | 1       |
|              |                   |          | 300        | Requisite components                | 1       |
| Serbia       | 1                 | 0001A-05 | 50,560     | Components for submachine guns      | 1,280   |
| Singapore    | 5                 | 0001A-02 | 2,000      | Rifles with war weapons list number | 4       |
|              |                   |          | 72         | Requisite components;               | 16      |
|              |                   | 0001A-05 | 38,385     | Components for submachine guns      | 2,116   |
| UAE          | 6                 | 0001A-02 | 1,367,370  | Rifles with war weapons list number | 805     |
|              |                   |          | 486,370    | Requisite components;               | 4,718   |
|              |                   | 0001A-05 | 95,000     | Submachine guns                     | 50      |
|              |                   |          | 40,714     | Requisite components                | 1,192   |
| Total        | 135               |          | 37,090,171 |                                     |         |

Tabelle G: Individual licences for ammunition for small arms, including ammunition parts (values in € millions for 2003-2012)

| Year | EU countries | NATO/NATO-Equivalent<br>Countries<br>(without EU Countries) | Third Countries | Individual licences (total) |
|------|--------------|---|-----------------|-----------------------------|
| 2003 | 1.83         | 8.53  | 1.61            | 11.96                       |
| 2004 | 3.69         | 11.06   | 0.57            | 15.31                       |
| 2005 | 6.13         | 11.50   | 0.24            | 17.87                       |
| 2006 | 13.31        | 7.76  | 0.15            | 21.22                       |
| 2007 | 16.77        | 13.59   | 1.4             | 31.76                       |
| 2008 | 10.10        | 10.18   | 18.65           | 38.94                       |
| 2009 | 41.18        | 17.53   | 2.63            | 61.35                       |
| 2010 | 10.35        | 17.13   | 2.00            | 29.48                       |
| 2011 | 15.15        | 17.63   | 1.77            | 34.55                       |
| 2012 | 7.04         | 7.25  | 3.75            | 18.04                       |

The two charts below show the monetary value of licences in 2011 and 2012 for the export of small arms munitions to the three categories of countries mentioned above (in the chart, the percentages for developing countries and other third countries are shown separately). Licences for small arms ammunition to

third countries rose compared with the preceding years. The shares fluctuate from year to year. Third countries (excluding developing countries) accounted for a share of 11 % of individual licences for ammunition; the developing countries' share stood at 10 %.

Figure 9: Export licences for small arms ammunition by country group

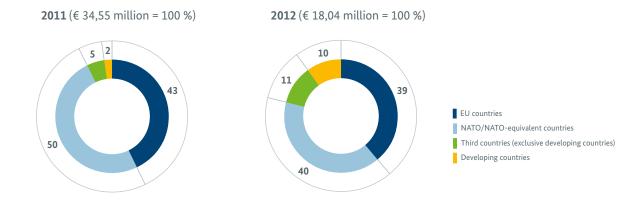


Table H: Individual Licences for the Export of Small Arms Ammunition to Third Countries, by Country, for 2012<sup>44</sup>

| Country                         | Licences<br>Total | EL Item                          | Value in €               | Designation  | Unit                     |
|---------------------------------|-------------------|----------------------------------|--------------------------|--|--------------------------|
| Afghanistan                     | 4                 | 0003A-01                         | 161,500                  | Ammunition for rifles [UN mission]   | 305,000                  |
| Brazil                          | 2                 | 0003A-01                         | 17,484<br>2,400          | Ammunition for rifles; Parts for rifle ammunition  | 8,000<br>600             |
| Congo, Demo-<br>cratic Republic | 1                 | 0003A-01                         | 23,000                   | Ammunition for rifles [UN mission]   | 50,000                   |
| Côte d'Ivoire                   | 5                 | 0003A-01                         | 179,200                  | Ammunition for rifles [UN mission]   | 360,000                  |
| Greenland                       | 1                 | 0003A-01                         | 6,411                    | Ammunition for rifles  | 10,000                   |
| Haiti                           | 2                 | 0003A-01                         | 68,400                   | Ammunition for rifles [UN mission]   | 180,000                  |
| Hongkong                        | 1                 | 0003A-05                         | 181                      | Ammunition for submachine guns   | 400                      |
| India                           | 1                 | 0003A-01                         | 476,000                  | Ammunition for rifles  | 170,000                  |
| Indonesia                       | 2                 | 0003A-01<br>0003A-05             | 1<br>9,275               | Parts for rifle ammunition;<br>Ammunition for submachine guns                            | 600,000<br>10,500        |
| Iraq                            | 1                 | 0003A-01                         | 190,000                  | Ammunition for rifles [UN mission]   | 500,000                  |
| Kazakhstan                      | 3                 | 0003A-01                         | 38,200                   | Ammunition for rifles  | 68,000                   |
| Kenya                           | 2                 | 0003A-01                         | 3,800                    | Ammunition for rifles [UN mission]   | 10,000                   |
| Kuwait                          | 2                 | 0003A-01<br>0003A-05             | 24,800<br>3,446          | Ammunition for rifles;<br>Ammunition for submachine guns                                 | 100,000<br>7,680         |
| Lebanon                         | 4                 | 0003A-01                         | 87,402                   | Ammunition for rifles [UN mission]   | 220,000                  |
| Namibia                         | 1                 | 0003A-01                         | 87,500                   | Ammunition for rifles  | 600,000                  |
| Oman                            | 9                 | 0003A-01<br>0003A-06             | 40,232<br>240            | Ammunition for rifles; Parts for machine gun ammunition                                  | 127,820<br>4             |
| Philippines                     | 1                 | 0003A-05                         | 54,000                   | Ammunition for submachine guns   | 90,000                   |
| Qatar                           | 1                 | 0003A-05                         | 684                      | Ammunition for submachine guns   | 1,200                    |
| Russian<br>Federation           | 11                | 0003A-01                         | 325,124                  | Ammunition for rifles  | 459,100                  |
| Saudi Arabia                    | 5                 | 0003A-01<br>0003A-05<br>0003A-06 | 44,085<br>1,500<br>3,510 | Ammunition for rifles;<br>Ammunition for submachine guns;<br>Ammunition for machine guns | 32,700<br>2,000<br>1,500 |
| South Africa                    | 1                 | 0003A-01                         | 17,577                   | Parts for rifle ammunition   | 70,000                   |
| Sudan                           | 1                 | 0003A-01                         | 18,400                   | Ammunition for rifles [UN mission]   | 40,000                   |
| Tanzania                        | 1                 | 0003A-01                         | 955                      | Ammunition for rifles  | 4,500                    |
| Ukraine                         | 13                | 0003A-01                         | 533,481<br>1,938         | Ammunition for rifles;<br>Parts for rifle ammunition                                     | 584,600<br>7,000         |
| UAE                             | 3                 | 0003A-01                         | 37,123<br>1,293,500      | Ammunition for rifles;<br>Parts for rifle ammunition                                     | 151,000<br>6,500,000     |
| Total                           | 78                |                                  | 3,751,349                |  |                          |

<sup>44 &</sup>quot;Small arms ammunition" comprises ammunition for: rifles, submachine guns, machine guns and ammunition parts for such weapons. Ammunition for revolvers, pistols, hunting and sporting weapons and smooth-bore weapons is not included.

#### i) Licences for brokering transactions in 2012

The rules on the licensing of trading and brokering transactions involving military equipment covered by Part I Section A of the Export List derive from Sections 46-48 of the Foreign Trade and Payments Ordinance; the rules on war weapons are based on Section 4a of the War Weapons Control Act. Statistics are only kept on trading and brokering transactions for military equipment located in a third country – i.e. a non-EU member state, cf. Section 2 subsection 8 of the Foreign Trade and Payments Ordinance – and which are to be exported to another third country. For war weapons, the licensing obligation applies even if the war weapons are outside Germany and are to be exported to other countries.

In 2012, a total of 39 (preceding year: 27) licences for brokering transactions were issued for recipients in third countries, worth approx. € 6.9 million. In 2012 there were no denials, after one in the previous year. Annex 8 contains an overview of these licences.

#### 2. Exports of war weapons

#### a) War weapon exports in reporting year 2012

In 2012, Germany's Federal Statistical Office (DESTATIS) determined that goods worth a total value of € 946 million (0.09 % of all German exports) were exported from Germany (2011: € 1.285 billion or 0.12 %). The total value thus declined by € 339 million compared with the year before. In value terms, 41 % of

the war weapons exports went to EU, NATO, and NATO-equivalent countries; according to the Political Principles, the export of military equipment to such countries is not to be restricted. The exports of war weapons are largely commercial transactions; to some extent, however, they are also transfers of Bundeswehr stocks.

In 2012, war weapons worth a total of € 195.7 million, or approx. 21 % of all exports of war weapons, were exported to developing countries (2011: € 161.6 million or approximately 13 %). This relatively high percentage is mainly due to exports to Iraq worth € 125.6 million, with corresponding exports of combat helicopters being licensed back in 2011.

The other exports of war weapons to developing countries went to Ghana, Pakistan and India, worth € 64 million.

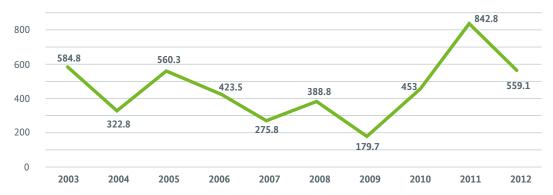
#### (1) Bundeswehr exports

Within the exports, a merchandise value of  $\leqslant$  3.43 million (some 4.5 % of total exports of war weapons) was accounted for by the transfer of material by the German Ministry of Defence. This is  $\leqslant$  35.4 million lower than the figure for 2011 ( $\leqslant$  38.8 million).

#### (2) Commercial exports

The value of German companies' commercial exports amounted to € 942.6 billion in 2012 (2011: € 1.246 billion). 40.7 % of these exports (€ 383.4 million) went to EU, NATO or NATO-equivalent countries.





The share of commercial exports of war weapons to third countries amounted to € 559.1 million, a substantial decline relative to the € 842.8 million exported in 2011. Of these, exports worth € 262.5 million went to the Republic of Korea, exports worth € 125.6 million to Iraq, and exports worth € 58.1 million to Singapore. These three countries thus accounted for 80 % of the

total volume of commercial exports of war weapons to third countries.

The following table contains all exports of war weapons in 2012 (commercial and German Ministry of Defence), broken down by consignee country and value.

Table I

| Table 1                    |                  |                 |                  |                     |                  |
|----------------------------|------------------|-----------------|------------------|---------------------|------------------|
| Country                    | Value in € 1.000 | Country         | Value in € 1.000 | Country             | Value in € 1.000 |
| Afghanistan                | 3,325            | Hungary         | 315              | Philippines         | 610              |
| Australien                 | 88               | India           | 18,022           | Poland              | 79,749           |
| Austria                    | 3,597            | Indonesia       | 587              | Portugal            | 88               |
| Belgium                    | 2,535            | Iraq            | 125,603          | Romania             | 24               |
| Brazil                     | 1,753            | Israel          | 991              | Saudi Arabia        | 9,895            |
| Bulgaria                   | 266              | Italy           | 58,443           | Singapore           | 58,114           |
| Canada                     | 7,335            | Japan           | 232              | Slovenia            | 4                |
| Chile                      | 6,724            | Jordan          | 24               | South Africa        | 29               |
| Congo, Democratic Republic | 23               | Korea, Republik | 262,499          | Spain               | 43,005           |
| Croatia                    | 3                | Kosovo          | 1,133            | Sweden              | 9,548            |
| Czech Republic             | 387              | Kuwait          | 885              | Switzerland         | 12,930           |
| Denmark                    | 5,698            | Lebanon         | 74               | Thailand            | 1,803            |
| Finland                    | 159              | Malaysia        | 12               | Turkey              | 18,230           |
| France                     | 12,389           | Montenegro      | 123              | United Arab Emirate | 21,795           |
| Ghana                      | 26,984           | Netherlands     | 12,611           | United Kingdom      | 33,307           |
| Greece                     | 1,620            | Norway          | 35,171           | USA                 | 47,434           |
| Haiti                      | 91               | Oman            | 430              |                     |                  |
| Hongkong                   | 15               | Pakistan        | 19,333           | Total               | 946,042          |

#### b) War weapon exports from 2003-2012

Table J shows the **total value of German arms exports** (including weapons exported by the Bundeswehr), along with each year's **share of total exports** for the last several years.

Tabelle J

| Tubette 5 |                                |                                       |
|-----------|--------------------------------|---------------------------------------|
| Year      | Total Value<br>(in € millions) | Share as % of total<br>German exports |
| 2003      | 1,332.8                        | 0.20                                  |
| 2004      | 1,129.1                        | 0.15                                  |
| 2005      | 1,629.7                        | 0.26                                  |
| 2006      | 1,374.2                        | 0.15                                  |
| 2007      | 1,510.1                        | 0.16                                  |
| 2008      | 1,427.2                        | 0.14                                  |
| 2009      | 1,338.8                        | 0.17                                  |
| 2010      | 2,119.0                        | 0.22                                  |
| 2011      | 1,284.7                        | 0.12                                  |
| 2012      | 946.0                          | 0.09                                  |

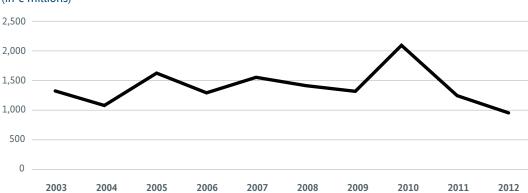


Figure 11: Total war weapons exports 2003-2012 (in € millions)

## 3. German military equipment exports by international comparison

SIPRI, the Swedish peace research institute, published its paper on "Trends in International Arms Transfers 2012" in March 2013. It again ranks Germany third amongst the major exporters in the international listing for the 2008-2012 period, with a market share of 7 % (in the last SIPRI report, the figure was 9 %). The USA heads the ranking with 30 %, followed by Russia with 26 %; France comes fourth with 6 % and China fifth with 5 %. For 2011, the International Institute for Strategic Studies (IISS) ranks Germany in seventh place in terms of exports, behind the U.S., Russia, the UK, Israel, France and Italy.

However, it is necessary to exercise caution when comparing the weapons exports of individual countries. For the most part, the parameters and criteria which are used to generate the statistics for the studies vary too greatly for any comparisons to be drawn. SIPRI, for example, does not use actual licensing figures for exports, but fictitious values. Also, each study only covers part of military equipment; on the other hand, goods are included which are not military equipment and not covered by the international list of military equipment. The German government has commented in detail on the SIPRI statistics, most recently in the 2010 Report.

Beyond this, the question as to whether an export policy is restrictive or not cannot simply be answered on the basis of the total value of military equipment exports. Even a small value of exports of military equipment can present problems in terms of export control policy, whilst a high value can still be generated even if a restrictive export control policy is in place. A restrictive policy on exports of military equipment does not mean imposing quotas on a value for a certain year, but rather taking a case-by-case approach and answering the question as to whether a particular export can be licensed for each individual application, giving consideration to all the circumstances and criteria of the "Political Principles".

### Political Principles Adopted by the Government of the Federal Republic of Germany for the Export of War Weapons and Other Military Equipment

The Government of the Federal Republic of Germany, desiring

- · to pursue a restrictive policy on arms exports,
- with regard to the international and statutory obligations of the Federal Republic of Germany, to gear arms exports to Germany's security needs and foreign policy interests,
- through the restriction and control of such exports to contribute to safeguarding peace, preventing the threat or use of force, securing respect for human rights and promoting sustainable development in all parts of the world,
- hence to take account also of decisions adopted by international institutions with a view to disarmament and designed to restrict the international arms trade,
- to press for such decisions to be made legally binding at the international as well as the European level,

has modified its principles for the export of war weapons and other military equipment as follows:

### I General Principles

 The Federal Government's decisions regarding the export of war weapons<sup>45</sup> and other military equipment<sup>46</sup> are made in accordance with the provisions of the War Weapons Control Act and the Foreign Trade and Payments Act as well as the EU Code of Conduct on Arms Exports adopted by the European Council on 8 June 1998<sup>47</sup> and such arrangements as may be agreed subsequently as well as the Principles Govern-ing Conventional Arms Transfers adopted by the Organisation for Security and Co-operation in Europe (OSCE) on 25 November 1993. The criteria laid down in the EU Code of Conduct are an integral part of these Political Principles. The standards stipulated in the Code of Conduct will be superseded by any more stringent standards that may be derived from the following principles:

- The issue of respect for human rights in the countries of destination and end-use is a key factor in deciding whether or not to grant licences for the export of war weapons and other military equipment.
- 3. On principle export licences for war weapons and other military equipment shall not be granted where there are reasonable grounds to suspect that they will be used for internal repression as defined in the EU Code of Conduct on Arms Exports or the sustained and systematic abuse of human rights. In this context the assessment of the human rights situation in the recipient country is an important factor to be considered.
- 4. Such assessments will take into account the views of the European Union, the Council of Europe, the United Nations (UN), the OSCE and other international bodies. Reports issued by international human rights organisations will also be taken into consideration.
- 5. The end-use of war weapons and other military equipment must be definitively determined.
- 45 Weapons (complete weapons as well as components classed separately as weapons) listed in the War Weapons List (Annex to the War Weapons Control Act)..
- 46 Goods specified in Part I, Section A of the Export List (Annex to the Foreign Trade and Payment Ordinance) with the exception of war weapons.
- 47 Attached as annex 2.

### II. NATO countries<sup>48</sup>, EU member states, countries with NATO-equivalent status<sup>49</sup>

 The export of war weapons and other military equipment to these countries will be geared to the security interests of the Federal Republic of Germany with regard to the Alliance and the European Union.

In principle such exports will not be restricted unless in specific cases this is warranted on particular political grounds.

2. Co-operative ventures in this area should be in the interest of the Alliance and/or European policy.

In the case of coproduction projects covered by intergovernmental agreements with countries referred to in this Section, these arms export principles will be given practical effect as far as possible. While mindful of its special interest in its co-operation standing, the Federal Government will not forgo any opportunities it may have to influence export projects envisaged by its co-operation partners (Section II (3)).

3. Before concluding any co-operation agreement, a timely joint assessment of its export policy implications is to be made.

To give effect to its arms exports policy principles, the Federal Government reserves the right by way of consultations to object to particular export projects envisaged by its co-operation partners. All new co-operation agreements should therefore aim in principle to incorporate a consultation procedure enabling the Federal Government to raise effectively any objections it might have to exports envisaged by its partner country. In so doing the Federal Government will seek, in the light of the human rights criterion, to strike a balance between its interest in co-operation and its fundamentally restrictive arms exports policy.

4. Before any exports of war weapons or other military equipment involving German components take place, the Federal Foreign Office, the Federal Ministry of Economics and the Federal Ministry of Defence, in conjunction with the Federal Chancellery, will evaluate whether in any specific case the relevant conditions for initiating such consultations exist.

The Federal Government will raise objections – generally following consideration of the matter by the Federal Security Council – against such exports involving the use of German components in the following cases:

- exports to countries involved in armed conflict, unless such conflict is covered by Article 51 of the UN Charter,
- exports to countries where an outbreak of armed conflict is imminent or where exports may stir up, perpetuate or exacerbate latent tensions and conflicts,
- exports where there are reasonable grounds to suspect they may be used for internal repression as defined by the EU Code of Conduct on Arms Exports or the sustained and systematic abuse of human rights,
- exports that would impair vital security interests of the Federal Republic of Germany,
- exports that would impose such a strain on relations with third countries that even Germany's own interest in the co-operative venture and in maintaining good relations with its co-operation partner must rank second.

Objections will not be raised if in the light of the considerations outlined in Section III (4) to (7) below licences for the export of direct deliveries of war weapons and other military equipment are likely to be granted.

<sup>48</sup> Area of application of NATO Treaty, Article 6.

<sup>49</sup> Australia, Japan, New Zealand, Switzerland.

Annex 1 37

5. In the case of co-operative ventures between German companies and companies in countries referred to in Section II above not covered by intergovernmental agreements, supplies of components will, as with direct deliveries of war weapons and other military equipment to those countries, in principle not be restricted. The Federal Government will, however, as in the case of co-operative ventures covered by intergovernmental agreements, bring its influence to bear in the matter of exports resulting from co-operative ventures between commercial companies.

To that end it will require German co-operative venture partners to enter a contractual obligation that, should they supply components of a quantity or type that could be relevant to the manufacture of war weapons, they will inform the Federal Government in good time as to their partners' export intentions and seek legally binding arrangements on end-use.

6. In the case of German supplies of components (separate components or sub-systems) that constitute war weapons or other military equipment, the partner country is in terms of exports law both purchaser and user. Where such components are built into a weapons system as fixed features, that process in terms of exports law makes the partner country the country of origin of the goods in question.

### III. Other countries

- A restrictive policy will be pursued regarding exports
  of war weapons and other military equipment to
  countries other than those covered by Section II.
  Notably the development of additional, specifically
  export-oriented capacities must be avoided. The
  Federal Government will not take the initiative to
  privilege any specific country or region.
- 2. Export licences for war weapons (subject to licensing under the War Weapons Control Act and the Foreign Trade and Payments Act) will not be granted unless

- in a specific case this is exceptionally warranted on particular foreign and security policy grounds, having due regard to Alliance interests. Labour policy considerations must not be a decisive factor.
- Export licences for other military equipment (subject to licensing under the Foreign Trade and Payments Act) will be granted only where such exports will not prejudice interests that German law on foreign trade and payments serves to protect, namely, security, peace among the nations and Germany's foreign relations.
  - The protection of these interests takes priority over economic interests as defined in Section 3(1) of the Foreign Trade and Payments Act.
- 4. Export licences pursuant to the War Weapons Control Act and/or the Foreign Trade and Payments Act will not be granted where the internal situation in the country con¬cerned precludes such action, e.g. in the case of armed conflict or where there are reasonable grounds for suspecting such exports may be used for internal repression or the sustained and systematic abuse of human rights. In this context the human rights situation in the recipient country is a major factor to be considered.
- 5. No licences will be granted for the export of war weapons<sup>50</sup> and other military equipment related to war weapons6 to countries
- involved in armed conflict or where armed conflict is imminent,
- where the outbreak of armed conflict is imminent or where such exports would stir up, perpetuate or exacerbate latent tensions and conflicts.

Exports to countries involved in external armed conflicts or where there is a danger such conflicts may erupt are therefore ruled out on principle except in cases covered by Article 51 of the UN Charter.

- Decisions on whether to grant export licences for war weapons and other military equipment will take into account whether sustainable development in the recipient country is being seriously impeded by excessive arms spending.
- 7. Also to be taken into account is the recipient country's conduct in terms of whether it
- supports and promotes terrorism and international organised crime,
- complies with international obligations, especially renunciation of the threat or use of force, including obligations under humanitarian law on international or non-international conflicts,
- has assumed obligations in the area of non-proliferation and other aspects of arms control and disarmament, notably by signing, ratifying and implementing the arms control and disarmament arrangements specified in the EU Code of Conduct on arms exports,
- supports the UN Arms Register

### IV. Definitive determination of end-use

- Export licences for war weapons and other military equipment will be granted only on the basis of prior knowledge of definitive end-use in the country of final destination. This will generally require a written assurance by the end-user as well as other appropriate documentation.
- 2. Export licences for war weapons or other military equipment of a quantity and type relevant to war weapons may be granted only on presentation of governmental end-use certificates that preclude re-exports without prior authorisation. This applies mutatis mutandis to any other military equipment related to war weapons exported in connection with a manufacturing licence. For the export of such equipment used for the manufacture of war weapons definitive end-use certificates must be furnished.

- Stringent standards are to be applied in assessing whether the recipient country is capable of carrying out effective export controls.
- War weapons and other military equipment relevant to war weapons may only be re-exported to third countries or transferred inside the EU Internal Market with the written approval of the Federal Government.
- 4. A recipient country that, in breach of an end-use certificate, authorises or does not seek to prevent or sanction the unauthorised re-export of war weapons or other military equipment relevant to war weapons will on principle, as long as such conditions persist, be excluded from receiving any further deliveries of war weapons or other military equipment related to war weapons.

### V. Arms exports report

The Federal Government will submit to the German Bundestag an annual report on the principle and practice of its arms exports policy listing, in the context of the relevant legislation, the export licences for war weapons and other military equipment it has granted over the past year.

EU Council Common Position (2008/944/CSFP) of 8 December 2008 defining common rules governing control of exports of military technology and equipment

### THE COUNCIL OF THE EUROPEAN UNION,

Having regard to the Treaty of the European Union, and in particular Article 15 thereof,

### Whereas:

- (1) Member States intend to build on the Common Criteria agreed at the Luxembourg and Lisbon European Councils in 1991 and 1992, and on the European Union Code of Conduct on Arms Exports adopted by the Council in 1998.
- (2) Member States recognise the special responsibility of military technology and equipment exporting States.
- (3) Member States are determined to set high common standards which shall be regarded as the minimum for the management of, and restraint in, transfers of military technology and equipment by all Member States, and to strengthen the exchange of relevant information with a view to achieving greater transparency.
- (4) Member States are determined to prevent the export of military technology and equipment which might be used for internal repression or international aggression or contribute to regional instability.
- (5) Member States intend to reinforce cooperation and to promote convergence in the field of exports of military technology and equipment within the framework of the Common Foreign and Security Policy (CFSP).

- (6) Complementary measures have been taken against illicit transfers, in the form of the EU Programme for Preventing and Combating Illicit Trafficking in Conventional Arms.
- (7) The Council adopted on 12 July 2002 Joint Action 2002/589/CFSP<sup>51</sup> on the European Union's contribution to combating the destabilising accumulation and spread of small arms and light weapons.
- (8) The Council adopted on 23 June 2003 Common Position 2003/468/CFSP<sup>52</sup> on the control of arms brokering.
- (9) The European Council adopted in December 2003 a strategy against the proliferation of weapons of mass destruction, and in December 2005 a strategy to combat illicit accumulation and trafficking of SALW and their ammunition, which imply an increased common interest of Member States of the European Union in a coordinated approach to the control of exports of military technology and equipment.
- (10) The UN Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects was adopted in 2001.
- (11) The United Nations Register of Conventional Arms was established in 1992.
- (12) States have a right to transfer the means of selfdefence, consistent with the right of self-defence recognised by the UN Charter.
- (13) The wish of Member States to maintain a defence industry as part of their industrial base as well as their defence effort is acknowledged.

- (14) The strengthening of a European defence technological and industrial base, which contributes to the implementation of the Common Foreign and Security Policy, in particular the Common European Security and Defence Policy, should be accompanied by cooperation and convergence in the field of military technology and equipment.
- (15) Member States intend to strengthen the European Union's export control policy for military technology and equipment through the adoption of this Common Position, which updates and replaces the European Union Code of Conduct on Arms Exports adopted by the Council on 8 June 1998.
- (16) On 13 June 2000, the Council adopted the Common Military List of the European Union, which is regularly reviewed, taking into account, where appropriate, similar national and international lists.<sup>53</sup>
- (17) The Union must ensure the consistency of its external activities as a whole in the context of its external relations, in accordance with Article 3, second paragraph of the Treaty; in this respect the Council takes note of the Commission proposal to amend Council Regulation (EC) No 1334/2000 of 22 June 2000 setting up a Community regime for the control of exports of dual use items and technology.<sup>54</sup>

### HAS ADOPTED THIS COMMON POSITION:

### Article 1

(1) Each Member State shall assess the export licence applications made to it for items on the EU Common Military List mentioned in Article 12 on a case-by-case basis against the criteria of Article 2.

- (2) The export licence applications as mentioned in paragraph 1 shall include:
- applications for licences for physical exports, including those for the purpose of licensed production of military equipment in third countries,
- applications for brokering licences,
- applications for "transit" or "transhipment" licences
- applications for licences for any intangible transfers of software and technology by means such as electronic media, fax or telephone.

Member States' legislation shall indicate in which case an export licence is required with respect to these applications.

### Article 2

### Criteria

(1) <u>Criterion 1</u>: Respect for the international obligations and commitments of Member States, in particular the sanctions adopted by the UN Security Council or the European Union, agreements on non-proliferation and other subjects, as well as other international obligations.

An export licence shall be denied if approval would be inconsistent with, inter alia:

 the international obligations of Member States and their commitments to enforce United Nations, European Union and Organisation for Security and Cooperation in Europe arms embargoes;

<sup>53</sup> Last amended on 10 March 2008, OJ C 98 of 18.4.2008, p. 1

<sup>54</sup> OJ L 159 of 30.6.2000, p. 1

Annex 2 41

- the international obligations of Member States under the Nuclear Non-Proliferation Treaty, the Biological and Toxin Weapons Convention and the Chemical Weapons Convention;
- c) the commitment of Member States not to export any form of anti-personnel landmine;
- d) the commitments of Member States in the framework of the Australia Group, the Missile Technology Control Regime, the Zangger Committee, the Nuclear Suppliers Group, the Wassenaar Arrangement and The Hague Code of Conduct against Ballistic Missile Proliferation.
- (2) <u>Criterion 2</u>: Respect for human rights in the country of final destination as well as respect by that country of international humanitarian law.

Having assessed the recipient country's attitude towards relevant principles established by international human rights instruments, Member States shall:

- a) deny an export licence if there is a clear risk that the military technology or equipment to be exported might be used for internal repression;
- b) exercise special caution and vigilance in issuing licences, on a case-by-case basis and taking account of the nature of the military technology or equipment, to countries where serious violations of human rights have been established by the competent bodies of the United Nations, by the European Union or by the Council of Europe;

For these purposes, technology or equipment which might be used for internal repression will include, inter alia, technology or equipment where there is evidence of the use of this or similar technology or equipment for internal repression by the proposed end-user, or where there is reason to believe that the technology or equipment will be diverted from its stated end-use or end-user and used for internal repression. In line with Article 1 of this

Common Position, the nature of the technology or equipment will be considered carefully, particularly if it is intended for internal security purposes. Internal repression includes, inter alia, torture and other cruel, inhuman and degrading treatment or punishment, summary or arbitrary executions, disappearances, arbitrary detentions and other major violations of human rights and fundamental freedoms as set out in relevant international human rights instruments, including the Universal Declaration on Human Rights and the International Covenant on Civil and Political Rights.

Having assessed the recipient country's attitude towards relevant principles established by instruments of international humanitarian law, Member States shall:

- c) deny an export licence if there is a clear risk that the military technology or equipment to be exported might be used in the commission of serious violations of international humanitarian law.
- (3) <u>Criterion 3</u>: Internal situation in the country of final destination, as a function of the existence of tensions or armed conflicts.
  - Member States shall deny an export licence for military technology or equipment which would provoke or prolong armed conflicts or aggravate existing tensions or conflicts in the country of final destination.
- (4) Criterion 4: Preservation of regional peace, security and stability.

Member States shall deny an export licence if there is a clear risk that the intended recipient would use the military technology or equipment to be exported aggressively against another country or to assert by force a territorial claim. When considering these risks, Member States shall take into account inter alia:

 a) the existence or likelihood of armed conflict between the recipient and another country;

- a claim against the territory of a neighbouring country which the recipient has in the past tried or threatened to pursue by means of force;
- the likelihood of the military technology or equipment being used other than for the legitimate national security and defence of the recipient;
- d) the need not to affect adversely regional stability in any significant way.
- (5) <u>Criterion 5</u>: National security of the Member States and of territories whose external relations are the responsibility of a Member State, as well as that of friendly and allied countries.

Member States shall take into account:

- (a) the potential effect of the military technology or equipment to be exported on their defence and security interests as well as those of Member State and those of friendly and allied countries, while recognising that this factor cannot affect consideration of the criteria on respect for human rights and on regional peace, security and stability;
- (b) the risk of use of the military technology or equipment concerned against their forces or those of Member States and those of friendly and allied countries.
- (6) <u>Criterion 6</u>: Behaviour of the buyer country with regard to the international community, as regards in particular its attitude to terrorism, the nature of its alliances and respect for international law.

Member States shall take into account, inter alia, the record of the buyer country with regard to:

- a) its support for or encouragement of terrorism and international organised crime;
- its compliance with its international commitments, in particular on the non-use of force, and with international humanitarian law:

- c) its commitment to non-proliferation and other areas of arms control and disarmament, in particular the signature, ratification and implementation of relevant arms control and disarmament conventions referred to in point (b) of Criterion One.
- (7) <u>Criterion 7</u>: Existence of a risk that the military technology or equipment will be diverted within the buyer country or re-exported under undesirable conditions.

In assessing the impact of the military technology or equipment to be exported on the recipient country and the risk that such technology or equipment might be diverted to an undesirable end-user or for an undesirable end use, the following shall be considered:

- a) the legitimate defence and domestic security interests of the recipient country, including any participation in United Nations or other peace-keeping activity;
- b) the technical capability of the recipient country to use such technology or equipment;
- the capability of the recipient country to apply effective export controls;
- d) the risk of such technology or equipment being re-exported to undesirable destinations, and the record of the recipient country in respecting any re-export provision or consent prior to re-export which the exporting Member State considers appropriate to impose;
- e) the risk of such technology or equipment being diverted to terrorist organisations or to individual terrorists;
- f) the risk of reverse engineering or unintended technology transfer.
- (8) <u>Criterion 8</u>: Compatibility of the exports of the military technology or equipment with the technical and economic capacity of the recipient country, taking into account the desirability that states

Annex 2 43

should meet their legitimate security and defence needs with the least diversion of human and economic resources for armaments.

Member States shall take into account, in the light of information from relevant sources such as United Nations Development Programme, World Bank, International Monetary Fund and Organisation for Economic Cooperation and Development reports, whether the proposed export would seriously hamper the sustainable development of the recipient country. They shall consider in this context the recipient country's relative levels of military and social expenditure, taking into account also any EU or bilateral aid.

### Article 3

This Common Position shall not affect the right of Member States to operate more restrictive national policies.

### **Article 4**

- (1) Member States shall circulate details of applications for export licences which have been denied in accordance with the criteria of this Common Position together with an explanation of why the licence has been denied. Before any Member State grants a licence which has been denied by another Member State or States for an essentially identical transaction within the last three years, it shall first consult the Member State or States which issued the denial(s). If following consultations, the Member State nevertheless decides to grant a licence, it shall notify the Member State or States issuing the denial(s), giving a detailed explanation of its reasoning.
- (2) The decision to transfer or deny the transfer of any military technology or equipment shall remain at the national discretion of each Member State. A denial of a licence is understood to take place when the Member State has refused to authorise the actual sale or export of the military technology or equipment concerned, where a sale would otherwise have come about, or the conclusion of

the relevant contract. For these purposes, a notifiable denial may, in accordance with national procedures, include denial of permission to start negotiations or a negative response to a formal initial enquiry about a specific order.

(3) Member States shall keep such denials and consultations confidential and not use them for commercial advantage.

### Article 5

Export licences shall be granted only on the basis of reliable prior knowledge of end use in the country of final destination. This will generally require a thoroughly checked end-user certificate or appropriate documentation and/or some form of official authorisation issued by the country of final destination. When assessing applications for licences to export military technology or equipment for the purposes of production in third countries, Member States shall in particular take account of the potential use of the finished product in the country of production and of the risk that the finished product might be diverted or exported to an undesirable end user.

### Article 6

Without prejudice to Regulation (EC) No 1334/2000, the criteria in Article 2 of this Common Position and the consultation procedure provided for in Article 4 are also to apply to Member States in respect of dualuse goods and technology as specified in Annex I to Regulation (EC) No 1334/2000 where there are serious grounds for believing that the end-user of such goods and technology will be the armed forces or internal security forces or similar entities in the recipient country. References in this Common Position to military technology or equipment shall be understood to include such goods and technology.

### Article 7

In order to maximise the effectiveness of this Common Position, Member States shall work within the framework of the CFSP to reinforce their cooperation and to

promote their convergence in the field of exports of military technology and equipment.

### Article 8

- (1) Each Member State shall circulate to other Member States in confidence an annual report on its exports of military technology and equipment and on its implementation of this Common Position.
- (2) An EU Annual Report, based on contributions from all Member States, shall be submitted to the Council and published in the "C" series of the Official Journal of the European Union.
- (3) In addition, each Member State which exports technology or equipment on the EU Common Military List shall publish a national report on its exports of military technology and equipment, the contents of which will be in accordance with national legislation, as applicable, and will provide information for the EU Annual Report on the implementation of this Common Position as stipulated in the User's Guide.

### Article 9

Member States shall, as appropriate, assess jointly through the CFSP framework the situation of potential or actual recipients of exports of military technology and equipment from Member States, in the light of the principles and criteria of this Common Position.

### Article 10

While Member States, where appropriate, may also take into account the effect of proposed exports on their economic, social, commercial and industrial interests, these factors shall not affect the application of the above criteria.

### Article 11

Member States shall use their best endeavours to encourage other States which export military techno-

logy or equipment to apply the criteria of this Common Position. They shall regularly exchange experiences with those third states applying the criteria on their military technology and equipment export control policies and on the application of the criteria.

### Article 12

Member States shall ensure that their national legislation enables them to control the export of the technology and equipment on the EU Common Military List. The EU Common Military List shall act as a reference point for Member States' national military technology and equipment lists, but shall not directly replace them.

### Article 13

The User's Guide to the European Code of Conduct on Exports of Military Equipment, which is regularly reviewed, shall serve as guidance for the implementation of this Common Position.

### Article 14

This Common Position shall take effect on the date of its adoption.

### Article 15

This Common Position shall be reviewed three years after its adoption.

### Article 16

This Common Position shall be published in the Official Journal of the European Union.

Done at Brussels, 8 December 2008.

For the Council

The President B. KOUCHNER

### **Export List**

Currently there is no English translation of the Annex to the Foreign Trade and Payments Regulation, Part I Section A (German Munitions List) available.

However, the Common Military List of the European Union, Official Journal C 85, 22 March 2012 is almost identical with the German Munitions List and can therefore be used as a point of reference.

Number ML1 of the Common Military List is the equivalent to Nr. 0001 of the German Munitions List, ML2 = Nr. 0002, and so on.

### **War Weapons List**

### Part A

### War Weapons that the Federal Republic of Germany undertakes not to manufacture (nuclear weapons, biological and chemical weapons)

The definitions of weapons exclude all devices, parts, equipment, facilities, substances and organisms which serve civilian purposes or scientific, medical or industrial research in the fields of pure and applied science. The substances and organisms of nos. 3 and 5 are also excluded to the extent that they serve preventive, protective or documentation purposes.

(Part A of the War Weapons List is not given here)

### Part B – Other War Weapons

### I. Projectile

- 7. Guided projectiles
- 8. Unguided projectiles (missiles)
- 9. Other projectiles
- 10. Firing devices (launchers and launching equipment) for the weapons specified in items 7 through 9 including portable firing devices for guided projectiles to combat tanks and aircraft
- 11. Firing devices for weapons specified in item 8, including portable firing devices as well as rocket launchers
- 12. Aero-engines for the propulsion of the weapons enumerated in items 7 through 9

### II. Combat Aircraft and Helicopters

- 13. Combat aircraft having at least one of the following features:
  - integrated weapon system equipped particularly with target acquisition, firing control and relevant interfaces for avionics,
  - 2. integrated electronic armaments,
  - 3. integrated electronic combat system

- 14. Combat helicopters having at least on of the following features:
  - integrated weapon system equipped particularly with target acquisition, firing control and relevant interfaces for avionics,
  - 2. integrated electronic armaments,
  - 3. integrated electronic combat system
- 15. Cells for the weapons enumerated in items 13 and 14
- 16. Jet, turboprop and rocket engines for the weapons referred to in item 13

### III. Vessels of War and Special Naval Equipment

- 17. Vessels of war, including those for military training
- 18. Submarines
- 19. Small vessels with a speed of more than 30 knots, equipped with offensive weapons
- 20. Mine sweeping boats, mine hunting boats, mine layers, mine breakers as well as other mine combat boats
- 21. Landing crafts, landing vessels
- 22. Tenders, ammunition transporters
- 23. Hulls for the weapons specified in items 17 to 22

### **IV. Combat Vehicles**

- 24. Combat tanks
- 25. Other armoured combat vehicles, including combat-supporting armoured vehicles
- 26. Any type of special vehicles exclusively designed for the use of weapons specified in items 1 through 6
- 27. Carriages for the weapons enumerated in items 24 and 25
- 28. Turrets for combat tanks

### V. Barrel Weapons

- 29. a) Machine guns, except those with water cooling;
  - b) submachine guns, except those introduced as a model in a military armed force before September 2, 1945;

Annex 4 47

- fully automatic rifles, except those introduced as a model in a military armed force before September 2, 1945;
- d) semiautomatic rifles, except those introduced as a model in a military armed force before September 2, 1945, and rifles for hunting and sporting purposes
- 30. Machine guns, rifles, pistols for combat grenades
- 31. Cannons, howitzers, any kind of mortars
- 32. Automatic cannons
- 33. Armoured self-propelled guns for the weapons enumerated in items 31 and 32
- 34. Barrels for the weapons referred to in items 29, 31 and 32
- 35. Breech blocks for weapons referred to in items 29, 31 and 32
- 36. Revolving breeches for automatic cannons

### VI. Light Anti-tank Weapons, Military Flame Throwers, Mine-laying and Mine-throwing System

- 37. Recoilless, unguided, portable anti-tank weapons
- 38. Flame throwers
- 39. Mine-laying and mine-throwing systems for land mines

### VII. Torpedoes, Mines, Bombs, Autonomous Ammunition

- 40. Torpedoes
- 41. Torpedoes without warheads (explosive)
- 42. Torpedo bodies (torpedoes without warhead explosive and without target detection device)
- 43. Mines of all types
- 44. Bombs of all types including water bombs
- 45. Hand flame cartridges
- 46. Hand grenades
- 47. Infantry explosive devices, adhesive and hollow charges as well as mine-sweeping devices
- 48. Explosive charges for the weapons referred to in item 43

### **VIII. Other Ammunition**

- 49. Ammunition for the weapons listed in items 31 and 32
- 50. Ammunition for the weapons listed in item 29 a, c and d except cartridge ammunition having a soft core projectile with full casing, if the projectile does not contain any accessoires, particularly a flare, incendiary or explosive charge, and if cartridge ammunition of the same calibre is used for hunting and sporting purposes
- 51. Ammunition for weapons referred to in item 30
- 52. Ammunition for the weapons listed in items 37 and 39
- 53. Rifle grenades
- 54. Projectiles for the weapons enumerated in items 49 and 52
- 55. Propelling charges for the weapons specified in items 49 and 52

### **IX. Other Essential Components**

- 56. War heads for the weapons listed in items 7 through 9 and 40
- 57. Ignition charges for the weapons listed in items 7 through 9, 40, 43, 44, 46, 47, 49, 51 through 53 and 59, except propellant charge igniters
- 58. Target detection heads for the weapons enumerated in items 7, 9, 40, 44, 49, 59, 60
- 59. Submunition for the weapons listed in items 7 through 9, 44, 49 and 61
- 60. Submunition without ignition for the weapons referred to in items 7 through 9, 44, 49 and 61

### X. Dispensers

61. Dispenser zur systematischen Verteilung von Submunition

### XI. Laser Weapons

62. Laser weapons specially designed for causing permanent blindness.

### Arms embargoes in 2012/2013 (Status: May 2013)

| Country                              | Date                  | Legal basis  |
|--------------------------------------|-----------------------|--|
| Armenia and Azerbaijan               | 28 February 1992      | OSCE arms embargo  |
|                                      | 29 July 1993          | UN SC Resolution no. 853   |
| Belarus                              | 15 October 2012       | Council Decision (2012/642/CFSP)                                   |
| China                                | 27 June 1989          | Declaration of the European Council                                |
| Democratic Republic of Congo (Zaire) | 7 April 1993          | Declaration of the European Council                                |
|                                      | 21 October 2002       | EU Common Position (2002/829/CFSP)                                 |
|                                      | 28 July 2003          | UN SC Resolution no. 1493  |
|                                      | 15 February 2008      | UN SC Resolution no. 1799  |
|                                      | 31 March 2008         | UN SC Resolution no. 1807  |
|                                      | 22 December 2008      | UN SC Resolution no. 1857  |
|                                      | 30 November 2009      | UN SC Resolution no. 1896  |
|                                      | 29 September 2003     | EU Common Position (2003/680/CFSP)                                 |
|                                      | 13 June 2005          | EU Common Position (2005/440/CFSP)                                 |
|                                      | 15 September 2006     | EU Common Position (2006/624/CFSP)                                 |
|                                      | 9 October 2007        | EU Common Position (2007/654/CFSP)                                 |
|                                      | 29 February 2008      | EU Common Position (2008/179/CFSP)                                 |
|                                      | 14 May 2008           | EU Common Position (2008/369/CFSP)                                 |
|                                      | 26 January 2009       | EU Common Position (2009/66/CFSP)                                  |
|                                      | 27 April 2009         | Council Decision (2009/349/CFSP)                                   |
|                                      | 20 December 2010      | Council Decision (2010/788/CFSP)                                   |
|                                      | 20 December 2012      | Council Decision (2012/811/CFSP)                                   |
| Côte d'Ivoire                        | 15 November 2004      | UN SC Resolution no. 1572  |
|                                      | 29 October 2008       | UN SC Resolution no. 1842  |
|                                      | 13 December 2004      | EU Common Position (2004/852/CFSP)                                 |
|                                      | 23 January 2006       | EU Common Position (2006/30/CFSP)                                  |
|                                      | 12 February 2007      | EU Common Position (2007/92/CFSP)                                  |
|                                      | 22 November 2007      | EU Common Position (2007/761/CFSP)                                 |
|                                      | 22 110 101111001 2007 | extended until 31 October 2008                                     |
|                                      | 18 November 2008      | EU Common Position (2008/873/CFSP)                                 |
|                                      | 10 110 101111001 2000 | extended with effect from 1 November 2008                          |
|                                      | 29 October 2010       | Council Decision (2010/656/CFSP)                                   |
|                                      | 22 December 2010      | Council Decision (2010/801/CFSP)                                   |
|                                      | 11 January 2011       | Council Decision (2011/17/CFSP)                                    |
|                                      | 14 January 2011       | Council Decision (2011/18/CFSP)                                    |
|                                      | 6 April 2011          | Council Decision (2011/221/CFSP)                                   |
|                                      | 12 July 2011          | Council Decision (2011/412/CFSP)                                   |
| Eritrea                              | 23 December 2009      | UN SC Resolution no. 1907  |
|                                      | 26 July 2010          | Council Decision (2010/414/CFSP)                                   |
|                                      | 15 October 2012       | Council Decision (2012/632/CFSP)                                   |
| Guinea                               | 27 October 2009       | EU Council Common (2009/788/GASP)                                  |
|                                      | 22 December 2009      | Council Decision (2009/1003/GASP)                                  |
|                                      | 29 March 2010         | Council Decision (2010/186/GASP)                                   |
|                                      | 25 October 2010       | Council Decision (2010/638/GASP)                                   |
|                                      | 21 March 2011         | Council Decision (2011/169/GASP)                                   |
|                                      | 26 October 2012       | Council Decision (2012/655/CFSP)                                   |
| Iran                                 | 24. March 2007        | UN SC Resolution no. 1747  |
| <del></del>                          | 23. April 2007        | EU Common Position (2007/246/GASP)                                 |
|                                      | 23 June 2008          | EU Common Position (2008/479/GASP)                                 |
|                                      | 7 August 2008         | Council Decision (2008/652/GASP)                                   |
|                                      | 10 November 2008      | Council Decision (2008/842/GASP)                                   |
|                                      | 17. November 2009     | Council Decision (2009/840/GASP)                                   |
|                                      | 26 July 2010          | Council Decision (2009/840/GASP)  Council Decision (2010/413/GASP) |
|                                      | 12 April 2011         | Council Decision (2011/235/GASP)                                   |
|                                      | 23 May 2011           | Council Decision (2011/255/GASP)  Council Decision (2011/299/GASP) |
|                                      | 1 December 2011       | Council Decision (2011/299/GASP)  Council Decision (2011/783/GASP) |
|                                      | 23 January 2012       | Council Decision (2012/783/GASP)                                   |
|                                      |                       |  |

| Country                             | Date              | Legal basis  |
|-------------------------------------|-------------------|--|
|                                     | 23 March 2012     | Council Decision (2012/168/CFSP)                                   |
|                                     | 23 March 2012     | Council Decision (2012/169/CFSP)                                   |
|                                     | 23 April 2012     | Council Decision (2012/205/CFSP)                                   |
|                                     | 2 August 2012     | Council Decision (2012/457/CFSP)                                   |
|                                     | 15 October 2012   | Council Decision (2012/635/CFSP)                                   |
|                                     | 6 November 2012   | Council Decision (2012/687/CFSP)                                   |
|                                     | 20 December 2012  | Council Decision (2012/810/CFSP)                                   |
|                                     | 21 December 2012  | Council Decision (2012/829/CFSP)                                   |
|                                     | 11 March 2013     | Council Decision (2013/124/CFSP)                                   |
| Iraq                                | 6 August 1990     | UN SC Resolution no. 661   |
|                                     | 22 May 2003       | UN SC Resolution no. 1483  |
|                                     | 8 June 2004       | UN SC Resolution no. 1546  |
|                                     | 22 December 2008  | UN SC Resolution no. 1859  |
|                                     | 21 December 2009  | UN SC Resolution no. 1905  |
|                                     | 7 Julyi 2003      | EU Common Position (2003/495/GASP)                                 |
|                                     | 19 July 2004      | EU Common Position (2004/553/GASP)                                 |
|                                     | 3 March 2008      | EU Common Position (2008/186/GASP)                                 |
|                                     | 5 March 2009      | EU Council Common (2009/175/GASP)                                  |
|                                     | 1 March 2010      | Council Decision (2010/128/GASP)                                   |
|                                     | 14 February 2011  | Council Decision (2011/100/GASP)                                   |
|                                     | 20 December 2012  | Council Decision (2012/812/CFSP)                                   |
| Karaa Damasratis Daanla's Danublis  |                   |  |
| Korea, Democratic People's Republic | 14 Oktober 2006   | UN SC Resolution no. 1718  |
|                                     | 20 November 2006  | EU Common Position (2006/795/GASP)                                 |
|                                     | 12 June 2009      | UN SC Resolution no. 1874  |
|                                     | 27 July 2009      | EU Common Position (2009/573/GASP)                                 |
|                                     | 4 August 2009     | Council Decision (2009/599/GASP)                                   |
|                                     | 22 December 2009  | Council Decision (2009/1002/GASP                                   |
|                                     | 22 December 2010  | Council Decision (2010/800/GASP)                                   |
|                                     | 19 December 2011  | Council Decision (2011/860/GASP)                                   |
|                                     | 18 February 2013  | Council Decision (2013/88/CFSP)                                    |
|                                     | 22 April 2013     | Council Decision (2013/183/CFSP)                                   |
| Lebanon                             | 11 August 2006    | UN SC Resolution no. 1701  |
|                                     | 15 September 2006 | EU Common Position (2006/625/GASP)                                 |
| Liberia                             | 19 November 1992  | UN SC Resolution no. 788   |
|                                     | 7 March 2001      | UN SC Resolution no. 1343  |
|                                     | 6 May 2003        | UN SC Resolution no. 1478  |
|                                     | 22 December 2003  | UN SC Resolution no. 1521  |
|                                     | 13 June 2006      | UN SC Resolution no. 1683  |
|                                     | 17 December 2009  | UN SC Resolution no. 1903  |
|                                     | 7 May 2001        | EU Common Position (2001/357/GASP)                                 |
|                                     | 19 May 2003       | EU Common Position (2003/365/GASP)                                 |
|                                     | 10 February 2004  | EU Common Position (2004/137/GASP)                                 |
|                                     | 22 December 2004  | EU Common Position (2004/902/GASP)                                 |
|                                     | 23 January 2006   | EU Common Position (2006/31/GASP)                                  |
|                                     | 12 February 2007  | EU Common Position (2007/93/GASP)                                  |
|                                     | 11 June 2007      | EU Common Position (2007/400/GASP)                                 |
|                                     | 12 February 2008  | EU Common Position (2008/109/GASP)                                 |
|                                     | 1 March 2010      | Council Decision (2010/129/GASP)                                   |
| Libya                               | 26 February 2011  | UN SC Resolution no. 1970  |
| -                                   | 28 February 2011  | Council Decision (2011/137/GASP)                                   |
|                                     | 10 March 2011     | Council Decision (2011/156/GASP)                                   |
|                                     | 17 March 2011     | UN SC Resolution no. 1973  |
|                                     | 21 March 2011     | Council Decision (2011/175/GASP)                                   |
|                                     | 23 March 2011     | Council Decision (2011/173/GASP)                                   |
|                                     | 12 April 2011     | Council Decision (2011/178/GASP)  Council Decision (2011/236/GASP) |
|                                     | 23 May 2011       | Council Decision (2011/236/GASP)  Council Decision (2011/300/GASP) |
|                                     | •                 | Council Decision (2011/330/GASP)  Council Decision (2011/332/GASP) |
|                                     | 7 Juni 2011       | COUNCIL DECISION (2011/332/GASP)                                   |

| Country         | Date                            | Legal basis  |
|-----------------|---------------------------------|--|
|                 | 22 September 2011               | Council Decision (2011/625/GASP)                                   |
|                 | 10 November 2011                | Council Decision (2011/729/GASP)                                   |
|                 | 20 December 2011                | Council Decision (2011/867/GASP)                                   |
|                 | 22 January 2013                 | Council Decision (2013/45/CFSP)                                    |
|                 | 22 April 2013                   | Council Decision (2013/182/CFSP)                                   |
| Myanmar (Burma) | 28 October 1996                 | EU Common Position (1996/635/GASP)                                 |
|                 | 28 April 2003                   | EU Common Position (2003/297/GASP)                                 |
|                 | 26 April 2004                   | EU Common Position (2004/423/GASP)                                 |
|                 | 25 April 2005                   | EU Common Position (2005/340/GASP)                                 |
|                 | 27 April 2006                   | EU Common Position (2006/318/GASP)                                 |
|                 | 19 November 2007                | EU Common Position (2007/750/GASP)                                 |
|                 | 29 April 2008                   | EU Common Position (2008/349/GASP):                                |
|                 | 27 A. 1 2000                    | extended to 30 April 2009  |
|                 | 27 April 2009                   | EU Council Common Position (2009/351/GASP)                         |
|                 | 13 August 2009                  | EU Council Common Position (2009/615/GASP)                         |
|                 | 18 December 2009                | Council Decision (2009/981/GASP)                                   |
|                 | 26 April 2010<br>12 April 2011  | Council Decision (2010/232/GASP) Council Decision (2011/239/GASP)  |
|                 | 12 April 2011<br>16 August 2011 | Council Decision (2011/239/GASP)  Council Decision (2011/504/GASP) |
|                 | 19 December 2011                | Council Decision (2011/359/GASP)                                   |
|                 | 17 February 2012                | Council Decision (2011/839/GA3F)  Council Decision (2012/98/CFSP)  |
|                 | 22 April 2013                   | Council Decision (2013/184/CFSP)                                   |
| Rwanda          | 17 May 1994                     | UN SC Resolution no. 918   |
| <del></del>     | 16 August 1995                  | UN SC Resolution no. 1011  |
|                 | 10 July 2008                    | UN SC Resolution no. 1823/2008:                                    |
|                 | •                               | revocation of arms embargo   |
| Sierra Leone    | 8 October 1997                  | UN SC Resolution no. 1132  |
|                 | 5 June 1998                     | UN SC Resolution no. 1171  |
|                 | 29 June 1998                    | EU Common Position (1998/409/GASP)                                 |
|                 | 28 January 2008                 | EU Common Position (2008/81/GASP)                                  |
|                 | 8 November 2010                 | Council Decision (2010/677/GASP): revocation of arms embargo       |
| Somalia         |                                 | UN SC Resolution no. 733   |
| Joinatia        | 19 June 2001                    | UN SC Resolution no. 1356  |
|                 | 15 May 2008                     | UN SC Resolution no. 1814  |
|                 | 20 November 2008                | UN SC Resolution no. 1844  |
|                 | 23 December 2009                | UN SC Resolution no. 1907  |
|                 | 10 December 2002                | EU Common Position (2002/960/GASP)                                 |
|                 | 12 February 2007                | EU Common Position (2007/94/GASP)                                  |
|                 | 7 June 2007                     | EU Common Position (2007/391/GASP)                                 |
|                 | 16 February 2009                | EU Council Common Position (2009/138/GASP)                         |
|                 | 1 March 2010                    | Council Decision (2010/126/GASP)                                   |
|                 | 26 April 2010                   | Council Decision (2010/231/GASP)                                   |
|                 | 26 September 2011               | Council Decision (2011/231/GASP)                                   |
|                 | 16 July 2012                    | Council Decision (2012/388/CFSP)                                   |
|                 | 15 October 2012                 | Council Decision (2012/633/CFSP)                                   |
|                 | 25 April 2013                   | Council Decision (2013/201/CFSP)                                   |
| Sudan           | 29 March 2005                   | UN SC Resolution no. 1591  |
|                 | 15 March 1994                   | EU Common Position (1994/165/GASP)                                 |
|                 | 9 Januar 2004                   | EU Council Common Position (2004/31/GASP)                          |
|                 | 30 May 2005                     | EU Common Position (2005/411/GASP)                                 |
|                 | 1 June 2006                     | Council Decision (2006/386/GASP)                                   |
|                 | 18 July 2011                    | Council Decision (2011/423/GASP)                                   |
| South Sudan     |                                 | Council Decision (2011/423/GASP)                                   |

Annex 5 51

| Country    | Date              | Legal basis                                 |
|------------|-------------------|---|
| Syria      | 9 May 2011        | Council Decision (2011/273/GASP)            |
|            | 02 September 2011 | Council Decision (2011/522/GASP)            |
|            | 23 September 2011 | Council Decision (2011/628/GASP)            |
|            | 13 October 2011   | Council Decision (2011/684/GASP)            |
|            | 14 November 2011  | Council Decision (2011/735/GASP)            |
|            | 1 December 2011   | Council Decision (2011/782/GASP)            |
|            | 27 February 2012  | Council Decision (2012/122/CFSP)            |
|            | 23 April 2012     | Council Decision (2012/206/CFSP)            |
|            | 20 June 2012      | Council Decision (2012/322/CFSP)            |
|            | 25 June 2012      | Council Decision (2012/335/CFSP)            |
|            | 23 July 2012      | Council Decision (2012/420/CFSP)            |
|            | 15 October 2012   | Council Decision (2012/634/CFSP)            |
|            | 29 November 2012  | Council Decision (2012/739/CFSP)            |
|            | 28 February 2013  | Council Decision (2013/109/CFSP)            |
|            | 22 April 2013     | Council Decision (2013/186/CFSP)            |
|            | 31 May 2013       | Council Decision (2013/255/CFSP):           |
|            |                   | revocation of arms embargo                  |
| Uzbekistan | 14 November 2005  | EU Common Position (2005/792/GASP)          |
|            | 13 November 2006  | EU Common Position (2006/787/GASP)          |
|            | 14 May 2007       | EU Common Position (2007/338/GASP)          |
|            | 13 November 2007  | EU Common Position (2007/734/GASP)          |
|            | 10 November 2008  | EU Common Position (2008/843/GASP):         |
|            |                   | extended until 13/11/2009                   |
|            | 10 November 2008  | EU Common Position (2008/843/GASP)          |
|            | 27 October 2009   | revocation of arms embargo by non-extension |
|            |                   | of the EU Common Position (2008/843/CFSP)   |
| Zimbabwe   | 18 February 2002  | EU Common Position (2002/145/GASP)          |
|            | 18 February 2003  | EU Common Position (2003/115/GASP)          |
|            | 19 February 2004  | EU Common Position (2004/161/GASP)          |
|            | 21 February 2005  | EU Common Position (2005/146/GASP)          |
|            | 30 January 2006   | EU Common Position (2006/51/GASP)           |
|            | 19 February 2007  | EU Common Position (2007/120/GASP)          |
|            | 18 February 2008  | EU Common Position (2008/135/GASP)          |
|            | 26 January 2009   | EU Council Common Position (2009/68/GASP)   |
|            | 15 February 2010  | Council Decision (2010/800/GASP)            |
|            | 25 February 2010  | Council Decision (2010/92/GASP)             |
|            | 15 February 2011  | Council Decision (2011/101/GASP)            |
|            | 17 February 2012  | Council Decision (2012/97/CFSP)             |
|            | 27 March 2013     | Council Decision (2013/160/CFSP)            |

### Most important countries of destination

The **20 most important countries** of destination for which individual export licences were granted in 2012:

| No. <sup>55</sup> | Country      | Value in 2012<br>(€ millions) | Description of articles  |
|-------------------|--------------|-------------------------------|--|
| 1 (12)            | Saudi Arabia | 1,237.2                       | Border security equipment, gun laying equipment, range finders, battlefield surveillance radar, target recognition systems, test equipment for fire control systems and parts for border security equipment, fire control systems, weapon sighting units, gun laying equipment, on-board weapon control systems, target range finding systems, battlefield surveillance radar, equipment for countermeasures (A0005/74.4 %);   |
|                   |              |                               | software for border security equipment, for machine tools, for missile guidance for ship simulator and for communications equipment (A0021/16.2 %)   |
| 2 (2)             | USA          | 596.0                         | Rifles with war weapons number, submachine guns, machine guns, rifles without war weapons number, pistols, revolvers, sniper rifles, hunting rifles, sporting rifles, sporting rifles, sporting revolvers, self-loading rifles, smooth-bore weapons, silencers, tube weapon mounts, weapon sights and parts for rifles with war weapons list number, submachine guns, machine guns, pistols, revolvers, sniper rifles, hunting rifles, sporting rifles, sporting pistols, sporting revolvers, self-loading rifles, weapon sights (A0001/19.4 %); |
|                   |              |                               | camouflage paint, mobile electricity generators, containers, engine simulators, fuel cells   |
|                   |              |                               | and parts for diving apparatus, signature suppression, nuclear propulsion equipment, mobile electricity generators, containers, ferries, bridges, fuel cells (A0017/15.6 %);   |
|                   |              |                               | night-vision gear, infrared equipment and parts for image intensifier equipment, infrared equipment, thermal imagin equipment, infrared missile defence system (A0015/10.8 %);   |
|                   |              |                               | parts for tanks, armoured vehicles, ground vehicles (A0006/9.2 %);   |
|                   |              |                               | target acquisition systems; laser range finders, target locators, test equipment and parts for fire control systems, gun laying equipment, on-board weaponguidance systems, target acquisition systems, target classification systems, target range finding systems, positioning systems (A0005/7.2 %);  |
|                   |              |                               | electronic equipment, communications equipment, navigation equipment, positioning equipment, measuring equipment, testing equipment, assemblies, components, electricity supplies and parts for electronic equipment, communications equipment, positioning equipment, navigation equipment, stabilisation equipment, guidance equip-  |
|                   |              |                               | ment, electronic warfare equipment, measuring equipment, testing equipment assemblies, components, electricity supplies (A0011/7.2 %);   |
|                   |              |                               | ammunition for cannons, mortars, grenade launchers, rifles, submachine guns, hunting weapons, sporting weapons, pistols, revolvers, smooth-bore weapons and ammunition parts for the following: cannons, mortars, grenade launchers, rifles, machine guns, hunting weapons, sporting weapons, pistols, revolvers, smooth-bore weapons (A0003/6.9 %);   |
|                   |              |                               | echo sounding facilities and parts for battleships, submarines, patrol boats, echo sounding facilities (A0009/4.2 $\%$ )   |

Annex 6 53

| No. <sup>55</sup> | Country        | Value in 2012<br>(€ millions) | Description of articles   |
|-------------------|----------------|-------------------------------|---|
| 3 (8)             | Algeria        | 286.7                         | Cross-country vehicles, trucks and parts for cross-country vehicles, ground vehicles (A0006/94.8 %)   |
| 4 (5)             | United Kingdom | 234.4                         | Ammunition for cannons, mortars, rifles, smoke dischargers, grenade launchers and parts for ammunition for guns, howitzers, cannons, mortars, rifles, machine guns, pyrotechnic ammunition, decoys (A0003/25.7 %);  |
|                   |                |                               | helicopters, ejection seats and parts for combat aircraft, combat helicopters, refuelling aircraft, transport aircraft, helicopters, training aircraft, aircraft, engines, air-to-air refuelling equipment, on-board equipment, fuel truck equipment, pilot helmets (A0010/14.2 %);   |
|                   |                |                               | forged, cast and unfinished components (A0016/13.4 %);  |
|                   |                |                               | electronic equipment, communications equipment, navigation equipment, measuring equipment, testing equipment and parts for electronic equipment, communications equipment, positioning equipment, navigation equipment, stabilisation equipment, guidance equipment, data processing equipment, testing equipment, assemblies, components, electricity supplies (A0011/10.5 %); |
|                   |                |                               | smoke hand grenades, simulators, illuminating cartridges, simulator ammunition, testing systems, marine minesweeping systems, decoys and parts for torpedoes, grenades, missiles, pyrotechnic ammunition, simulators, marine mining equipment, missile defence systems (A004/8.4 %);  |
|                   |                |                               | technology documents for ammunition, torpedo parts, missile parts, sighting equipment, ground vehicle parts, ship parts, aircraft parts, electronic equipment, simulator parts, weapon training equipment parts, bridge parts, manufacturing documents for periscope parts, armour and databases for detection equipment (A0022/7.7 %);   |
|                   |                |                               | equipment for signature suppression, mobile electricity generators and parts for diving apparatus, signature suppression, mobile electricity generators, bridges (A0017/6.8 %)  |
| 5 (15)            | Canada         | 208.3                         | Battle tanks, trucks, crawler tractors and parts for tanks, armoured vehicles, ground vehicles (A0006/72.0 %);  |
|                   |                |                               | ammunition for cannons, grenade launchers, rifles, hunting weapons, sporting weapons, pistols, revolvers, smooth-bore weapons, decoys and ammunition parts for the following: grenade launchers, hunting weapons, sporting weapons (A0003/8.1 %)  |
| 5 (10)            | France         | 168.9                         | Trucks, cross-country vehicles, semi-trailers and parts for tanks, armoured vehicles, ground vehicles (A0006/19.9 %);   |
|                   |                |                               | forged, cast and unfinished components (A0016/16.4 %);  |
|                   |                |                               | firing simulators, training equipment and parts for target simulators, drones, training ammunition (A0014/15.8 %);  |
|                   |                |                               | electronic equipment, communications equipment, navigation equipment, data processing equipment, measuring equipment, testing equipment, assemblies, components, controller equipment   |
|                   |                |                               | and parts for electronic equipment, communications equipment, navigation equipment, positioning equipment, stabilisation equipment, guidance equipment, electronic warfare equipment, data processing equipment, assemblies, components, controller equipment (A0011/14.8 %);   |

| No. <sup>55</sup> | Country         | Value in 2012<br>(€ millions) | Description of articles  |
|-------------------|-----------------|-------------------------------|--|
|                   |                 |                               | technology documents for small arms parts, anti-tank weapons parts, accessories parts, ammunition, missile parts, periscope parts, target locating parts, ground vehicle parts, ship parts, aircraft parts, electronic equipment, simulator parts, cast parts, bridge parts and databases for detection equipment (A0022/10.6 %);  |
|                   |                 |                               | fuel truck equipment and parts for combat aircraft, combat helicopters, transport aircraft, training aircraft, helicopters, aircraft, engines, air-to-air refuelling equipment, on-board equipment, fuel truck equipment, parachutes (A0010/8.6 %)   |
| 7 (14)            | Switzerland     | 149.8                         | Electronic equipment, communications equipment, navigation equipment, data processing equipment and parts for electronic equipment, communications equipment, electronic warfare, data processing equipment, assemblies, components, electricity supplies (A0011/54.0 %);  |
|                   |                 |                               | armoured transport vehicles (demilitarised) and parts for tanks, armoured vehicles, recovery vehicles, ground vehicles (A0006/13.6 %);   |
|                   |                 |                               | ammunition for cannons, anti-tank weapons, grenade launchers, rifles, submachine guns, machine guns, hunting weapons, sporting weapons, pistols, revolvers, smooth-bore weapons, fuse-setting devices and ammunition parts for the following: howitzers, cannons, mortars, anti-tank weapons, grenade launchers, rifles, machine guns, hunting weapons, sporting weapons, pistols, revolvers, smooth-bore weapons (A0003/8.0 %); |
|                   |                 |                               | cast and unfinished components (A0016/6.0 %)   |
| 8 (9)             | Korea, Republic | 148.2                         | Parts for tanks, armoured vehicles, trucks, ground vehicles (A0006/47.5 %);  |
|                   |                 |                               | submarine diesel engines, echo sounding facilities, ship body conduits and parts for submarines, frigates, destroyers, minesweepers, mine hunters, landing boats, surface-effect vehicles, ships, echo sounding facilities, sonar facilities (A0009/23.0 %);   |
|                   |                 |                               | forging line, machine tools, maintenance cases, tools and parts for manufacturing equipment (A0018/5.6 %);   |
|                   |                 |                               | magnetic self-protection unit, communications equipment, navigation equipment, measuring equipment, cathode ray tubes and parts for electronic equipment, communications equipment, positioning equipment, navigation equipment, radar equipment, stabilisation equipment, assemblies, electricity supplies (A0011/3.9 %);   |
|                   |                 |                               | parts for helicopters, transport aircraft, training aircraft, launcher equipment for drone systems, on-board equipment (A0010/3.8 %)   |
| 9 (4)             | Singapore       | 146.4                         | Battle tanks, armoured bridgelayers, trucks and parts for tanks, armoured vehicles, amphibious vehicles, crossing vehicles, folding bridge systems, trucks, crawler tractors, ground vehicles (A0006/40.8 %);  |
|                   |                 |                               | blueprints for parts for small arms, technology to assemble ammunition, parts for ground vehicles, technical documents for fuses, stabilisation facility, optical elements, electronic parts, material analysis, radio standards (A0022/17.3 %);   |
|                   |                 |                               | ammunition for cannons, pistols and parts for mortar ammunition, smoke grenades (A0003/15.4 %);  |
|                   |                 |                               | shoulder-fired anti-tank weapons and explosive device discharger cups (A0002/14.7 %)   |

Annex 6 55

| No. <sup>55</sup> | Country | Value in 2012<br>(€ millions) | Description of articles   |
|-------------------|---------|-------------------------------|---|
| 10 (3)            | UAE     | 124.8                         | Simulators, illuminating ammunition, simulator ammunition, pyrotechnic ammunition, explosive actuator units, marine minesweeping equipment and parts for missiles, rocket launchers, missile defence systems (A0004/20.1 %)   |
|                   |         |                               | platforms for coastal protection and parts for sonar equipment (A0009/19.7 %);  |
|                   |         |                               | armoured vehicles, trucks, tanker bodies, low-loaders, aerial bearers and parts for tanks, armoured vehicles, amphibious vehicles, floating bridges, trucks, cross-country vehicles, crawler tractors, aerial bearers, ground vehicles (A0006/11.9 %);  |
|                   |         |                               | ammunition for cannons, grenade launchers, rifles, hunting weapons, sporting weapons, pistols, revolvers, smooth-bore weapons and parts for ammunition for mortars, rifles, hunting weapons and sporting weapons (A0003/8.8 %);   |
|                   |         |                               | trays for the manufacture of rifle ammunition (A0016/8.4 %);  |
|                   |         |                               | bowsers, anti-g trousers and parts for air-to-air refuelling aircraft, on-board equipment, bowsers (A0010/8.0 %);   |
|                   |         |                               | night-vision gear, vessel-monitoring systems, multi-sensor platforms and parts for night-vision gear, vessel-monitoring systems, multi-sensor platforms (A0015/6.6 %)   |
| 11 (7)            | Italy   | 121.9                         | Parts for tanks, armoured vehicles, crawler tractors, ground vehicles (A0006/19.7 %);   |
|                   |         |                               | submarine periscopes, laser range-finders, testing equipment and parts for fire control equipment, gun laying equipment, on-board weapons control systems, target range-finders (A0005/17.8 %);   |
|                   |         |                               | communications equipment, navigation equipment, measuring equipment, test ing equipment, assemblies, components, electricity supplies and parts for electronic equipment, communications equipment, navigation equipment, positioning equipment, guidance equipment, electronic warfare equipment, measuring equipment, testing equipment, assemblies, components (A0011/14.0 %); |
|                   |         |                               | ammunition for cannons, anti-tank weapons, grenade launchers and parts for ammunition for guns, howitzers, cannons, mortars, rifles (A0003/10.7 %);   |
|                   |         |                               | forged, cast and unfinished components (A0016/7.2 %);   |
|                   |         |                               | ship body conduits and parts for frigates, submarines, minesweepers, mine hunters, battleships, ships, underwater detection equipment (A0009/6.2 %);  |
|                   |         |                               | pilot helmets and parts for combat aircraft, combat helicopters, training aircraft, helicopters, aircraft, unmanned aircraft, engines, on-board equipment, fuel truck equipment, pilot helmets (A0010/6.2 %)  |
| 12 (6)            | Iraq    | 112.6                         | Combat helicopters (A0010/83.2 %)   |

| No. <sup>55</sup> | Country | Value in 2012<br>(€ millions) | Description of articles   |
|-------------------|---------|-------------------------------|---|
| 13 (17)           | India   | 97.1                          | Sonar facilities, ship body conduits and parts for submarines, frigates, minesweepers, ships, sonar facilities, positioning equipment (A0009/23.1 %);   |
|                   |         |                               | rifles with war weapons list number, submachine guns, revolvers, pistols, hunting rifles, sporting rifles, sporting pistols, silencers, weapon sighting units and parts for rifles with war weapons list number, submachine guns, revolvers, pistols, hunting rifles, sporting rifles, sporting pistols (A0001/20.9 %);   |
|                   |         |                               | communications equipment, navigation equipment, measuring equipment, cathode ray tubes, electricity supplies  |
|                   |         |                               | and parts for electronic equipment, communications equipment, radar equipment, helmet displays, navigation equipment, assemblies, electricity supplies (A0011/17.3 %);  |
|                   |         |                               | laser range-finders, sniper locating systems, measuring and testing equipment for periscope system  |
|                   |         |                               | and parts for fire control equipment, on-board weapons-control systems, target range-finding systems (A0005/15.7 %);  |
|                   |         |                               | data for circuit boards, technology for small arms parts, ammunition parts, missile parts, ground vehicle parts, sonar facility parts, aircraft parts, electronic parts, vehicle protection parts, camera parts, thermal imaging equipment, weapon sighting unit parts, ion mobility spectrometer parts, technical documents, radar equipment parts, periscope parts, navigation equipment parts, training documents, databases (A0022/6.9 %) |
| 14 (-)            | Poland  | 95.9                          | Technology documents for missile parts, illuminating cartridges, navigation equipment, encryption devices, libraries and manufacturing documents for ground vehicle parts, aircraft parts (A0022/66.2 %);   |
|                   |         |                               | guided missiles, missile launchers<br>and parts for torpedoes, missiles, simulators, illuminating cartridges (A0004/17.8 %)   |
| 15 (13)           | Turkey  | 89.0                          | Trucks and parts for tanks, armoured vehicles, amphibious vehicles, ground vehicles (A0006/17.8 %);   |
|                   |         |                               | electronic equipment, communications equipment, navigation equipment, stabilisation equipment, data processing equipment, measuring equipment, assemblies, components, electricity supplies   |
|                   |         |                               | and parts for electronic equipment, communications equipment, navigation equipment, positioning equipment, stabilisation equipment, guidance equipment, electronic warfare equipment, data processing equipment, assemblies, components, guidance equipment, controller equipment, electricity supplies (A0011/15.6 %);   |
|                   |         |                               | missile launchers and parts for torpedoes, missiles, missile defence systems (A0004/11.5 %);  |
|                   |         |                               | destroyers (scrapping), submarines (scrapping), sonar facilities, ship body conduits  |
|                   |         |                               | and parts for frigates, submarines, patrol boats, battleships, submarine diesel engines, underwater detection equipment, guidance equipment for positioning equipment (A0009/10.0 %);   |
|                   |         |                               | night-vision gear, thermal imaging devices and parts for image intensifier equipment, infrared equipment, thermal imaging equipment (A0015/7.7 %);  |

Annex 6 57

| No. <sup>55</sup> | Country     | Value in 2012<br>(€ millions) | Description of articles   |
|-------------------|-------------|-------------------------------|---|
|                   |             |                               | technology documents for small arms parts, ammunition parts, missile parts, ground vehicle parts, ship parts, aircraft parts, communication parts, thermal imaging equipment parts and manufacturing documents for target acquisition parts, ground vehicle parts, infrared assemblies (A0022/7.0 %);           |
|                   |             |                               | telescopic sights, range-finders, testing equipment and parts for fire control equipment, weapon sights, gun-laying equipment, on-board weapons-control systems, target range finders, radar systems (A0005/6.9 %);   |
|                   |             |                               | engines and parts for combat helicopters, transport aircraft, helicopters, training aircraft, aircraft, unmanned aircraft, engines (A0010/6.5 %)  |
| 16 (1)            | Netherlands | 75.9                          | Hand grenades, guided missiles and parts for explosive devices (A0004/22.0 %);  |
|                   |             |                               | trucks, semi-trailer towing vehicles, dumpers, ambulances, cross-country vehicles, trailers, semitrailers, field kitchens and parts for tanks, armoured vehicles, recovery vehicles, ground vehicles (A0006/20.1 %);  |
|                   |             |                               | ammunition for anti-tank weapons, grenade launchers, submachine guns and ammunition parts for the following: mortars, anti-tank weapons, grenade launchers, rifles, pistols, revolvers (A0003/16.9 %);  |
|                   |             |                               | on-board weapons control systems, calibration equipment, testing equipment and parts for fire control equipment, weapon sights, gun-laying equipment, on board weapons-control systems, target classification systems, battlefield surveillance radar, calibration equipment, testing equipment (A0005/10.6 %); |
|                   |             |                               | forged, cast and unfinished components (A0016/8.6 %);   |
|                   |             |                               | target simulators, weapon training equipment, training equipment, training ammunition and parts for target simulators, weapon training equipment, training equipment (A0014/7.9 %)  |
| 17 (20)           | Sweden      | 73.7                          | Armoured recovery vehicles, cross-country vehicles and parts for tanks, armoured vehicles, ground vehicles (A0006/41.6 %);  |
|                   |             |                               | cast and unfinished components (A0016/17.3 %);  |
|                   |             |                               | communications equipment, guidance equipment, testing equipment, assemblies   |
|                   |             |                               | and parts for electronic equipment, communications equipment, positioning equipment, assemblies, components, electricity supplies (A0011/10.2 %);   |
|                   |             |                               | technology documents for cannon parts, ammunition, torpedo parts, missile parts, tube straightener machine parts, ground vehicle parts, aircraft parts, communications equipment, container parts and manufacturing documents for aircraft parts (A0022/5.9 %);   |
|                   |             |                               | ammunition for cannons, mortars, grenade launchers, rifles, machine guns and parts for ammunition for guns, howitzers, cannons, mortars, anti-tank weapons, grenade launchers, rifles, smoke grenades (A0003/5.7 %)   |

| No. <sup>55</sup> | Country | Value in 2012<br>(€ millions) | Description of articles  |
|-------------------|---------|-------------------------------|--|
| 18 (-)            | Spain   | 65.8                          | Trucks and parts for tanks, armoured vehicles, deep-wading capable vehicles, ground vehicles (A0006/19.5 %);   |
|                   |         |                               | electronic equipment, communications equipment, navigation equipment, stabilisation equipment, measuring equipment, testing equipment, assemblies, components, electricity supplies and parts for electronic equipment, communications equipment, navigation equipment, positioning equipment, guidance equipment, measuring equipment, assemblies, components, electricity supplies (A0011/23.5 %);   |
|                   |         |                               | fuel truck equipment and parts for combat aircraft, combat helicopters, transport aircraft, tanker aircraft, training aircraft, helicopters, aircraft, engines, on-board equipment, fuel truck equipment, pilot helmets (A0010/17.9 %);  |
|                   |         |                               | machine cannons, grenade launchers, accessories and parts for cannons, grenade launchers, pyrotechnic launchers (A0002/13.8 %);  |
|                   |         |                               | ammunition for cannons, grenade launchers, smoke dischargers, decoys, fuse-setting devices and parts for ammunition for guns, howitzers, cannons, grenade launchers, machine guns, rifles (A0003/5.4 %);   |
| 19 (-)            | Israel  | 49.1                          | Armoured cross-country vehicles, mine-clearing equipment and parts for tanks, armoured vehicles, mine-clearing equipment (A0006/74.4 %);   |
|                   |         |                               | echo sounding facilities, ship body conduits and parts for submarines, ships, sonar facilities, echo sounding facilities, ship body conduits (A0009/6.5 %)   |
| 20 (16)           | Norway  | 43.7                          | Rifles with war weapons number, submachine guns, machine guns, rifles without war weapons number, pistols, revolvers, sniper rifles, hunting rifles, sporting rifles, sporting pistols, sporting revolvers, self-loading rifles, smooth-bore weapons, silencers, flash hiders, weapon sights and parts for rifles with war weapons list number, submachine guns, machine guns, pistols, revolvers, sniper rifles, hunting rifles, sporting rifles, sporting pistols, sporting revolvers, self-loading rifles (A0001/38.2 %); |
|                   |         |                               | ammunition for grenade launchers, rifles, submachine guns, hunting weapons, sporting weapons, pistols, revolvers, smooth-bore weapons and ammunition parts for the following: cannons, anti-tank weapons, grenade launchers, rifles, machine guns, hunting weapons, sporting weapons, pistols, revolvers, smooth-bore weapons (A0003/24.9 %);  |
|                   |         |                               | target systems, tube-weapon sight systems, laser range-finders, testing equipment and parts for fire control equipment, weapon sights, gun-laying equipment, on-board weapons-control systems, target range finders (A0005/10.2 %);  |
|                   |         |                               | armoured vehicle and parts for tanks, armoured vehicles, ground vehicles (A0006/6.3 %);  |
|                   |         |                               | smoke hand grenades, illuminating cartridges and parts for torpedoes, missiles, marine mine-clearing equipment (A0004/5.1 $\%$ )   |

# **Export Licences by Country Groups and Countries in 2012**

| Country | No. of<br>Licences | EL Item  | Total Value (€) | Goods / as % of total value | Denials of<br>Final Exports | EL Item | Total Value (€) | No. of Denials/<br>Reasons/EL Item |
|---------|--------------------|--|-----------------|-----------------------------|-----------------------------|---------|-----------------|------------------------------------|
| Austria | 352                | A0001<br>A0002<br>A0003<br>A0004<br>A0005<br>A0009<br>A0011<br>A0011<br>A0015<br>A0016<br>A0017<br>A0022 | 25,067,206      |                             |                             |         |                 |                                    |
| Belgium | 270                | A0001<br>A0003<br>A0004<br>A0005<br>A0006<br>A0001<br>A0011<br>A0014<br>A0015<br>A0016<br>A0018<br>A0022 | 25,792,488      |                             |                             |         |                 |                                    |

56 Except for the territory of the Republic of Cyprus in which the government of the Republic of Cyprus does not exert any actual control.

Anlage 7 61

| Country | No. of<br>Licences | EL Item   | Total Value (€) | Goods/as % of total value | Denials of<br>Final Exports | EL Item | Total Value (€) | No. of Denials/<br>Reasons/EL Item |
|---------|--------------------|---|-----------------|---------------------------|-----------------------------|---------|-----------------|------------------------------------|
|         |                    | A0006<br>A0007<br>A0009<br>A0010<br>A0011<br>A0014<br>A0015<br>A0016<br>A0017<br>A0018                            |                 |                           |                             |         |                 |                                    |
| France  | 816                | A0001<br>A0002<br>A0003<br>A0004<br>A0005<br>A0006<br>A0009<br>A0010<br>A0011<br>A0015<br>A0015<br>A0017<br>A0017 | 168,902,133     |                           |                             |         |                 |                                    |
| Greece  | 53.3               | A0002<br>A0003<br>A0004<br>A0006<br>A0011<br>A0014<br>A0015<br>A0015<br>A0017<br>A0018                            | 7,433,275       |                           |                             |         |                 |                                    |

| Country   | No. of<br>Licences | EL Item   | Total Value (€) | Goods/as % of total value | Denials of<br>Final Exports | EL Item | Total Value (€) | No. of Denials/<br>Reasons/EL Item |
|-----------|--------------------|---|-----------------|---------------------------|-----------------------------|---------|-----------------|------------------------------------|
| Hungary   | 20                 | A0001<br>A0003<br>A0006<br>A0011<br>A0015<br>A0016<br>A0017<br>A0018<br>A0021   | 4,758,591       |                           |                             |         |                 |                                    |
| Ireland   | 23                 | A0003<br>A0006<br>A0011<br>A0017<br>A0018   | 2,720,882       |                           |                             |         |                 |                                    |
| Italy     | 535                | A0001<br>A0002<br>A0003<br>A0004<br>A0005<br>A0005<br>A0009<br>A0010<br>A0011<br>A0016<br>A0016<br>A0017<br>A0018<br>A0017<br>A0022 | 121,903,457     |                           |                             |         | †               | _                                  |
| Latvia    | 10                 | A0001<br>A0002<br>A0003<br>A0004<br>A0006<br>A0007<br>A0016   | 3,594,861       |                           |                             |         |                 |                                    |
| Lithuania | 24                 | A0003<br>A0004<br>A0006   | 3,834,924       |                           |                             |         |                 |                                    |

| Month   Mont | Country     | No. of<br>Licences | EL Item  | Total Value (€) | Goods/as % of total value | Denials of<br>Final Exports | EL Item | Total Value (€) | No. of Denials/<br>Reasons/EL Item |
|--|-------------|--------------------|--|-----------------|---------------------------|-----------------------------|---------|-----------------|------------------------------------|
| ands 126 A0001 2;  A0002 A0003 A0004 A0006 A0018 A0007 A0006 A0011 A0011 A0011 A0011 A0011 A0002 A0006 A0002 A0006 A0002 A0006 A0002 A0006 A0002 A0006 A0006 A0006 A0006 A0006 A0006 A0006 A0006 A0001 A0011 A0011 A0012   |             |                    | A0014<br>A0016<br>A0018  |                 |                           |                             |         |                 |                                    |
| ands 683 A0001 75;5 A0002 A0003 A0004 A0005 A0006 A0007 A0009 A0011 A0015 A0018 A0017 A0002 A0009 A0010 A0002 A0009 A0000 A0000 A0000 A0000 A0000 A0010 A0010 A0010 A0011 A0011 A0011 A0011 A0011 A0012 A0001 A0012 A0001 A0012 A0001 A0012 A0001 A0012 A0001 A0001 A0012 A0001 A0012 A0001  | Luxembourg  | 126                | A0001<br>A0002<br>A0003<br>A0004<br>A0005<br>A0018   | 2,242,218       |                           |                             |         |                 |                                    |
| ands 683 A0001 A0002 A0003 A0004 A0005 A0006 A0010 A0011 A0015 A0015 A0018 A0017 A0008 A0009 A0010 A0011 A0009 A0010 A0011 A0009 A0010 A0011 A0015 A0015 A0015 A0016 A0017 A0018 A0017 A0018   | Malta       | 1                  | A0011  | 30,000          |                           |                             |         |                 |                                    |
| 228 A0001 A0002 A0003 A0004 A0005 A0006 A0010 A0011 A0015 A0015 A0017 A0018 A0017 A0018  | Netherlands | 683                | A0001<br>A0002<br>A0003<br>A0004<br>A0005<br>A0007<br>A0010<br>A0011<br>A0011<br>A0015<br>A0016<br>A0017<br>A0018<br>A0017 | 75,942,747      |                           |                             |         |                 |                                    |
| 77001  | Poland      | 228                | A0001<br>A0002<br>A0003<br>A0004<br>A0006<br>A0010<br>A0011<br>A0011<br>A0015<br>A0017<br>A0017<br>A0017<br>A0017          | 95,996,108      |                           |                             |         |                 |                                    |

| Country  | No. of<br>Licences | EL Item  | Total Value (€) | Goods/as % of total value | Denials of<br>Final Exports | EL Item | Total Value (€) | No. of Denials/<br>Reasons/EL Item |
|----------|--------------------|--|-----------------|---------------------------|-----------------------------|---------|-----------------|------------------------------------|
| Portugal | 41                 | A0001<br>A0002<br>A0003<br>A0004<br>A0005<br>A0006<br>A0010<br>A0011<br>A0015<br>A0017<br>A0018<br>A0021 | 7,345,151       |                           |                             |         |                 |                                    |
| Romania  | 13                 | A0001<br>A0003<br>A0006<br>A0007<br>A0022  | 101,056         |                           |                             |         |                 |                                    |
| Slovakia | 13                 | A0003<br>A0006<br>A0011<br>A0015<br>A0017<br>A0018   | 157,691         |                           |                             |         |                 |                                    |
| Slovenia | 18                 | A0001<br>A0002<br>A0003<br>A0006<br>A0018<br>A0022   | 285,982         |                           |                             |         |                 |                                    |
| Spain    | 482                | A0001<br>A0002<br>A0003<br>A0004<br>A0005<br>A0006<br>A0000<br>A0010<br>A0011<br>A0011                   | 65.871.721      |                           |                             |         |                 |                                    |

| Country        | No. of<br>Licences | EL Item   | Total Value (€) | Goods/as % of total value | Denials of<br>Final Exports | EL Item | Total Value (€) | No. of Denials/<br>Reasons/EL Item |
|----------------|--------------------|---|-----------------|---------------------------|-----------------------------|---------|-----------------|------------------------------------|
|                |                    | A0016<br>A0017<br>A0018<br>A0021<br>A0022   |                 |                           |                             |         |                 |                                    |
| Sweden         | 365                | A0001<br>A0002<br>A0003<br>A0004<br>A0005<br>A0010<br>A0011<br>A0014<br>A0015<br>A0017<br>A0018<br>A0022          | 73.742.897      |                           |                             |         |                 |                                    |
| United Kingdom | 732                | A0001<br>A0002<br>A0003<br>A0004<br>A0005<br>A0000<br>A0010<br>A0011<br>A0015<br>A0016<br>A0018<br>A0018<br>A0018 | 234,417,027     |                           |                             |         |                 |                                    |
| Total          | 5,241              |   | 971,459,309     |                           | 1                           |         | 17,764          |                                    |

# NATO and NATO-equivalent countries

| Country   | No. of<br>Licences | EL Item   | Total Value (€) | Goods/as % of total value | Denials of<br>Final Exports | EL Item | Total Value (€) | No. of Denials/<br>Reasons/EL Item |
|-----------|--------------------|---|-----------------|---------------------------|-----------------------------|---------|-----------------|------------------------------------|
| Australia | 88                 | A0001<br>A0003<br>A0004<br>A0005<br>A0006<br>A0000<br>A0010<br>A0011<br>A0011<br>A0015<br>A0016<br>A0017<br>A0018 | 19,606,648      |                           |                             |         |                 |                                    |
| Canada    | 783                | A0001<br>A0002<br>A0003<br>A0004<br>A0005<br>A0009<br>A0011<br>A0011<br>A0015<br>A0016<br>A0017<br>A0018          | 208,308,133     |                           |                             |         |                 |                                    |
| Croatia   | 51                 | A0001<br>A0003<br>A0005<br>A0006<br>A0007<br>A0008<br>A0017<br>A0018  | 5,219,773       |                           |                             |         |                 |                                    |

Annex 7 67

| Country       | No. of<br>Licences | EL Item   | Total Value (€) | Goods/as % of total value | Denials of<br>Final Exports | EL Item | Total Value (€) | No. of Denials/<br>Reasons/EL Item |
|---------------|--------------------|---|-----------------|---------------------------|-----------------------------|---------|-----------------|------------------------------------|
| Iceland       | 22                 | A0001<br>A0003<br>A0016   | 46,859          |                           |                             |         |                 |                                    |
| Japan         | 161                | A0001<br>A0002<br>A0003<br>A0005<br>A0006<br>A0007<br>A0010<br>A0011<br>A0011<br>A0011<br>A0011<br>A0015<br>A0016<br>A0017<br>A0018 | 12,924,851      |                           |                             |         |                 |                                    |
| Liechtenstein | 20                 | A0001<br>A0003<br>A0009<br>A0015<br>A0018<br>A0021<br>A0022   | 189,374         |                           |                             |         |                 |                                    |
| New Zealand   | 100                | A0001<br>A0002<br>A0003<br>A0006<br>A0011<br>A0014<br>A0018   | 3,790,566       |                           |                             |         |                 |                                    |
| Norway        | 713                | A0001<br>A0002<br>A0003<br>A0004<br>A0005<br>A0006  | 43,745,725      |                           |                             |         |                 |                                    |

| Country                  | No. of<br>Licences | EL Item  | Total Value (€) | Goods/as % of total value | Denials of<br>Final Exports | EL Item | Total Value (€) | No. of Denials/<br>Reasons/EL Item |
|--------------------------|--------------------|--|-----------------|---------------------------|-----------------------------|---------|-----------------|------------------------------------|
| Norway<br>(continuation) |                    | A0009<br>A0011<br>A0015<br>A0016<br>A0017<br>A0018<br>A0021  |                 |                           |                             |         |                 |                                    |
| Switzerland              | 2,781              | A0001<br>A0002<br>A0003<br>A0004<br>A0005<br>A0006<br>A0009<br>A0010<br>A0011<br>A0011<br>A0015<br>A0016<br>A0017<br>A0018                   | 149,884,059     |                           |                             |         |                 |                                    |
| Turkey                   | 397                | A0001<br>A0002<br>A0003<br>A0004<br>A0005<br>A0006<br>A0007<br>A0008<br>A0010<br>A0011<br>A0011<br>A0015<br>A0015<br>A0015<br>A0016<br>A0017 | 89,093,341      |                           | 1                           | A0017   | 3,000           | 1 /Criterion 7/<br>A0017           |

| Country  | No. of<br>Licences | EL Item  | Total Value (€) | Goods/as % of total value | Denials of<br>Final Exports | EL Item | Total Value (€) | No. of Denials/<br>Reasons/EL Item |
|--|--------------------|--|-----------------|---------------------------|-----------------------------|---------|-----------------|------------------------------------|
| USA  | 1,546              | A0001<br>A0002<br>A0003<br>A0004<br>A0005<br>A0006<br>A0010<br>A0011<br>A0011<br>A0011<br>A0011<br>A0011<br>A0011<br>A0011<br>A0012<br>A0012 | 596,000,404     |                           |                             |         |                 |                                    |
| Total individual<br>licences                                       | 7,063              |  | 1,128,809,733   |                           | 1                           |         | 3,000           |                                    |
|  |                    |  |                 |                           |                             |         |                 |                                    |
| Collective export licences: EU, NATO or NATO- equivalent countries | 77                 | A0002<br>A0004<br>A0005<br>A0006<br>A0009<br>A0011<br>A0011<br>A0017<br>A0018<br>A0022   | 4,172,459,430   |                           |                             |         |                 |                                    |

## **Third Countries**

| Country     | No. of Licences | EL Item  | Total Value (€) | Goods/as % of total value   | Denials of<br>Final Exports | EL Item | Total Value (€) | No. of Denials/<br>Reasons/EL Item |
|-------------|-----------------|--|-----------------|---|-----------------------------|---------|-----------------|------------------------------------|
| Afghanistan | 25              | A0001<br>A0003<br>A0004<br>A0005<br>A0013                            | 9,856,604       | Armoured cross-country vehicles [UN mission] and parts for cranes [U.S. army], trucks [Norwegian army] (A0006/41.7 %); ammunition for cannons [UN mission], rifles [UN mission], pistols [UN mission] and smooth-bore guns [UN mission] (A0003/34.6 %);           |                             |         |                 |                                    |
|             |                 |  |                 | missile defence systems, smoke grenades and parts for missile defence systems (A0004/20.8 %)  |                             |         |                 |                                    |
| Algeria     | 20              | A0004<br>A0005<br>A0006<br>A0008<br>A0010<br>A0011<br>A0016<br>A0022 | 286,720,740     | Cross-country vehicles, trucks<br>and parts for cross-country vehicles,<br>trucks, ground vehicles<br>(A0006/94.8 %)  |                             |         |                 | 1 /Criterion 2, 7/<br>A0018        |
| Andorra     | 33              | A0001<br>A0003<br>A0006  | 213,267         | Pistols, hunting rifles, sporting rifles and parts for hunting rifles, sporting rifles (A0001/48.2 %); ammunition for pistols, hunting weapons, sporting weapons, smoothbore weapons and parts for hunting weapons and sporting weapons ammunition (A0003/40.1 %) |                             |         |                 |                                    |
| Angola      | м               | A0001<br>A0006   | 1,390,553       | Mine-clearing equipment [aid organisation]<br>and parts for mine-clearing equipment (A0006/99.6 %)  |                             |         |                 |                                    |

| Country                   | No. of Licences | EL Item   | Total Value (€) | Goods/as % of total value  | Denials of<br>Final Exports | EL Item                          | Total Value (€) | No. of Denials/<br>Reasons/EL Item                  |
|---------------------------|-----------------|---|-----------------|--|-----------------------------|----------------------------------|-----------------|---|
| Argentinia                | 32              | A0001<br>A0004<br>A0005                                     | 1,409,036       | Ship body conduits and parts for submarines, echo sounding equipment (A0009/45.1 %);   |                             |                                  |                 |   |
|                           |                 | A0008<br>A0008<br>A0009                                     |                 | technology to develop and manufacture aircraft parts (A0022/25.5 %);   |                             |                                  |                 |   |
|                           |                 | A0010<br>A0011<br>A0022                                     |                 | torpedo parts (A0004/15.2 %)   |                             |                                  |                 |   |
| Azerbaijan                |                 |   |                 |  |                             |                                  |                 | 1/Criterion 1/A0010                                 |
| Bahrain                   | ø               | A0001<br>A0003<br>A0006<br>A0009<br>A0010<br>A0021          | 4,326,961       | Parts for patrol boats (A0009/83.8 %)  | 4                           | A0001<br>A0002<br>A0005<br>A0006 | 3,379,184       | 10/Criterion 2, 3/<br>A0001, A0002, A0005,<br>A0006 |
| Bangladesh                | 7               | A0002<br>A0003<br>A0008<br>A0009<br>A0010                   | 361,338         | Parts for coastal defence boats<br>(A0009/89.1 %)  |                             |                                  |                 | 3/Criterion 2, 3, 7/<br>A0001, A0003, A0006         |
| Belarus                   | 1               | A0013   | 23,962          | Splinter protection suit (A0013/100 %)   | 1                           | A0001<br>A0003                   | 4,180           | 2/Criterion 1/<br>A0001, A0003                      |
| Benin                     | 1               | A0013   | 35,000          | Ballistic helmets and body armour (A0013/100 %)  |                             |                                  |                 |   |
| Bhutan                    | 1               | A0001   | 929             | Parts for rifles with war weapons list number (A0001/100 %)  |                             |                                  |                 |   |
| Bosnia and<br>Herzegovina | м               | A0001<br>A0006<br>A0017                                     | 103,767         | Parts for mine-clearing equipment<br>(A0006/96.4 %)  | н                           | A0001                            | 1,014           | 1/Criterion 3, 7/<br>A0001                          |
| Botswana                  | 23              | A0001<br>A0006  | 1,724,170       | Trucks<br>and parts for artillery carrier vehicles<br>(A0006/81.1 %)   |                             |                                  |                 |   |
| Brazil                    | 180             | A0001<br>A0002<br>A0003<br>A0004<br>A0005<br>A0006<br>A0008 | 13,508,456      | Parts for submarines, mine hunters, mine warfare vessel, patrol boats, ships, submarine engines and underwater detection equipment (A0009/31.7 %); | 1                           | A0001                            | 290             |   |

| Country                     | No. of Licences | EL Item                                   | Total Value (€) | Goods/as % of total value  | Denials of<br>Final Exports | EL Item | Total Value (€) | No. of Denials/<br>Reasons/EL Item |
|-----------------------------|-----------------|---|-----------------|--|-----------------------------|---------|-----------------|------------------------------------|
| Brazil (continuation)       |                 | A0010<br>A0011<br>A0013<br>A0014<br>A0015 |                 | recovery tanks, armoured engineering vehicles, bridge-laying vehicles and parts for armoured self-propelled howitzers, armoured vehicles, trucks (A0006/21.4 %);   |                             |         |                 |                                    |
|                             |                 | A0017<br>A0018<br>A0021<br>A0022          |                 | communications equipment, cathode ray tubes, controller equipment and parts for communications equipment, radar devices, testing equipment (A0011/12.1.%);   |                             |         |                 |                                    |
|                             |                 |   |                 | rifles with war weapons list number, submachine guns, revolvers, pistols, hunting rifles, sporting pistols, weapon sighting units and parts for rifles with war weapons list number, submachine guns, hunting rifles, sporting rifles (A0001/7.7 %); |                             |         |                 |                                    |
|                             |                 |   |                 | parts for combat aircraft, helicopters,<br>transport aircraft, training aircraft,<br>on-board equipment (A0010/5.5 %);   |                             |         |                 |                                    |
|                             |                 |   |                 | armour plates, demining vests, protective clothing and parts for demining vests (A0013/4.7 %)  |                             |         |                 |                                    |
| Brunei                      | 18              | A0001<br>A0005<br>A0006<br>A0014<br>A0022 | 2,023,793       | Technology for commissioning and maintenance of guns and documents for patrol boats (A0022/87.9 %)   |                             |         |                 |                                    |
| Burkina Faso                | 1               | A0006                                     | 313,400         | Armoured cross-country vehicles (A006/100 %)   |                             |         |                 |                                    |
| Cameroon                    | m               | A0003<br>A0006                            | 3,165,776       | Trucks (A0006/99.9 %)  |                             |         |                 | 2/Criterion 3, 4, 7/<br>A0001      |
| Cape Verde                  | 1               | A0013                                     | 35,000          | Ballistic helmets and body armour (A0013/100 %)  |                             |         |                 |                                    |
| Central African<br>Republic | 1               | A0005                                     | 795             | Binoculars with laser range finders<br>[UN mission] (A0005/100 %)  |                             |         |                 |                                    |

| Country                       | No. of Licences | EL Item   | Total Value (€) | Goods/as % of total value  | Denials of<br>Final Exports | EL Item        | Total Value (€) | No. of Denials/<br>Reasons/EL Item   |
|-------------------------------|-----------------|---|-----------------|--|-----------------------------|----------------|-----------------|--|
| Chad                          | 1               | A0006   | 142,436         | Armoured cross-country vehicles<br>[embassy] (A0006/100 %)   |                             |                |                 |  |
| Chile                         | 06              | A0001<br>A0002<br>A0003<br>A0004<br>A0005<br>A0000<br>A0011<br>A0013<br>A0013<br>A0017<br>A0017 | 25,471,125      | Trucks and parts for tanks, armoured vehicles, trucks, mine-clearing equipment, ground vehicles (A0006/44.9 %); missiles, equipment for ground stations and parts for torpedoes, missiles, ground stations (A0004/20.8 %); parts for submarines, patrol boats and echo sounding equipment (A0009/20.7 %) |                             |                |                 | 1/Criterion 7/A0001  |
| China, People's<br>Republic   | 28              | A0007<br>A0008<br>A0009<br>A0021  | 5,757,715       | Decontamination equipment, decontaminants, detection equipment and parts for detection equipment (A0007/86.5 %)  | m                           | A0018<br>A0022 | 1,376,981       | 15/Criterion 1, 2, 4, 7/<br>A0001, A0006, A0009,<br>A0011, A0017, A0018,<br>A0019, A0022 |
| Colombia                      | 25              | A0005<br>A0008<br>A0009<br>A0010<br>A0011<br>A0021  | 34,683,339      | Patrol boat (material package) and parts for submarines, frigates (A0009/79.6 %); communications equipment, radar equipment, electricity supplies and parts for communications equipment, electricity supplies (A0011/19.6 %)  |                             |                |                 | 3/Criterion 2, 3, 7/<br>A0001, A0005, A0016  |
| Congo, Democratic<br>Republic | ъ               | A0003<br>A0006  | 522,870         | Trucks, armoured cross-country vehicles [embassy] and parts for mine-clearing equipment [UN mission] (A0006/73.0 %); ammunition for rifles [UN mission] and tear-gas grenades [UN mission] (A0003/27.0 %)  | 1                           | A0006          | 15,590          | 1/Criterion 1/<br>A0006  |
| Costa Rica                    | 1               | A0006   | 30,030          | Trucks (A0006/100 %)   |                             |                |                 |  |

| Country           | No. of Licences | EL Item                                   | Total Value (€) | Goods/as % of total value   | Denials of<br>Final Exports | EL Item        | Total Value (€) | No. of Denials/<br>Reasons/EL Item                     |
|-------------------|-----------------|---|-----------------|---|-----------------------------|----------------|-----------------|--|
| Côte d' Ivoire    | Ŋ               | A0001<br>A0003<br>A0013                   | 287,120         | Ammunition for rifles [UN mission], pistols [UN mission], revolvers [UN mission] and smooth-bore guns [UN mission] (A0003/94.7 %) |                             |                |                 |  |
| Cuba              | 1               | A0013                                     | 7,403           | bullet-resistant glazing [EU delega-<br>tion] (A0013/100 %)   |                             |                |                 |  |
| Ecuador           | 9               | A0009<br>A0010                            | 3,861,798       | Parts for submarines, sonar facilities<br>and echo sounding equipment<br>(A0009/99.9 %)   |                             |                |                 |  |
| Egypt             | 32              | A0001<br>A0005<br>A0006<br>A0008          | 10,696,967      | Communications equipment and parts for communications equipment (A0011/44.1 %);   | Ŋ                           | A0001<br>A0022 | 86,695          | 6 /Criterion 2, 3, 7/<br>A0001, A0007, A0021,<br>A0022 |
|                   |                 | A0009<br>A0010<br>A0011<br>A0017<br>A0021 |                 | parts for armoured vehicles<br>(A0006/36.4 %)   |                             |                |                 |  |
| El Salvador       | 1               | A0016                                     | 1,167           | Barrel blanks for handguns<br>(A0016/100 %)   |                             |                |                 |  |
| Equatorial Guinea | 1               | A0010                                     | 906'9           | Parts for training aircraft (A0010/100 %)   |                             |                |                 |  |
| Eritrea           |                 |   |                 |   | Н                           | A0007          | 3,904           | 1 /Criterion 1/A0007                                   |
| Ethiopia          | 2               | A0006<br>A0013                            | 169,200         | Armoured cross-country vehicles<br>[embassy] (A0006/98.8 %)   |                             |                |                 |  |
| Gabon             | П               | A0006                                     | 9,884           | Parts for armoured vehicles<br>(A0006/100 %)  |                             |                |                 |  |
| Georgia           | 1               | A0008                                     | 139             | Laboratory chemicals (A0008/100 %)  | 1                           | A0003          | 2.000           | 3 /Criterion 4, 7/<br>A0003, A0010                     |
| Ghana             | 4               | A0002<br>A0005<br>A0006<br>A0010          | 131,442         | Trucks (A0006/89.4 %)   |                             |                |                 |  |
| Gibraltar         | Н               | A0001                                     | 1,376           | Parts for pistols (A0001/100 %)   |                             |                |                 |  |
| Guatemala         |                 |   |                 |   | 1                           | A0003          | 185,105         | 1/Criterion 7/A0003                                    |
| Guinea-Bissau     | П               | A0003                                     | 2,600           | Ammunition for pistols and revolvers<br>[UN mission] (A0003/100 %)  |                             |                |                 |  |

|       | No. of Licences | EL Item   | Total Value (€) | Goods/as % of total value  | Denials of<br>Final Exports | EL Item  | Total Value (€) | No. of Denials/<br>Reasons/EL Item  |
|-------|-----------------|---|-----------------|--|-----------------------------|--|-----------------|---|
| Haiti | 4               | A0003   | 213,950         | Ammunition for rifles [UN mission], pistols [UN mission], revolvers [UN mission] and smooth-bore guns [UN mission] (A0003/100 %)   |                             |  |                 |   |
| India | 384             | A0001<br>A0003<br>A0004<br>A0005<br>A0006<br>A0010<br>A0011<br>A0013<br>A0013<br>A0015<br>A0019<br>A0019<br>A0019<br>A0019<br>A0019<br>A0019<br>A0019 | 97,192,621      | Sonar facilities, ship body conduits and parts for submarines, frigates, minesweepers, ships, sonar facilities, positioning equipment (A0009/23.1%); rifles with war weapons list number, submachine guns, revolvers, pistols, hunting rifles, sporting rifles, sporting pistols, silencers, weapon sighting units and parts for rifles with war weapons list number, submachine guns, revolvers, pistols, hunting rifles, sporting pistols (A0001/20.9%); communications equipment, navigaritles, sporting pistols (A0001/20.9%); communications equipment, radar equipment, helmet displays, navigand parts for electronic equipment, communications equipment, communications equipment, assemblies, electricity supplies (A0011/17.3%); laser range-finders, sniper locating systems, measuring and testing equipment for periscope system and parts for fire control equipment, on-board weapons-control systems, target range-finding systems (A0005/15.7%); | 4                           | A0001<br>A0006<br>A0007<br>A0018<br>A0021<br>A0022 | 2,253,919       | 6/Criterion 1, 2, 3, 4, 7/A0001, A0003, A0005, A0001, A0022, A0021, A0022 |

| Country              | No. of Licences | EL Item  | Total Value (€) | Goods/as % of total value  | Denials of<br>Final Exports | EL Item                 | Total Value (€) | No. of Denials/<br>Reasons/EL Item        |
|----------------------|-----------------|--|-----------------|--|-----------------------------|-------------------------|-----------------|---|
| India (continuation) |                 |  |                 | data for circuit boards, technology for small arms parts, ammunition parts, missile parts, ground vehicle parts, sonar facility parts, aircraft parts, electronic parts, vehicle protection parts, camera parts, thermal imaging equipment, weapon sighting unit parts, ion mobility spectrometer parts, ion mobility spectrometer parts, technical documents, radar equipment parts, periscope parts, navigation equipment parts, training documents, databases (A0022/6.9 %) |                             |                         |                 |   |
| Indonesia            | 51              | A0001<br>A0003<br>A0004<br>A0005<br>A0005<br>A0010<br>A0010<br>A0011<br>A0015<br>A0017<br>A0018<br>A0018 | 9,447,814       | Armoured cross-country vehicles and parts for tanks, armoured vehicles (A0006/29.1 %); rifles with war weapons list number, submachine guns, pistols and parts for rifles with war weapons list number, submachine guns, pistols (A0001/20.4 %); communications equipment and parts for communications equipment, navigation equipment, assemblies, electricity supplies (A0011/19.2 %); projectile transfer press and flash lamp testing device (A0018/13.7 %)                | m                           | A0001<br>A0003<br>A0005 | 242,426         | 4 /Criterion 2, 7/<br>A0001, A0003, A0005 |
| Iraq                 | 36              | A0001<br>A0002<br>A0003<br>A0004<br>A0010<br>A0011<br>A0013<br>A0014                                     | 112,651,920     | Combat helicopters (A0010/83.2 %)  | гł                          | A0006                   | 202,000         | 1/Criterion 1/<br>A0006                   |

| Country    | No. of Licences | EL Item   | Total Value (€) | Goods/as % of total value  | Denials of<br>Final Exports | EL Item        | Total Value (€) | No. of Denials/<br>Reasons/EL Item          |
|------------|-----------------|---|-----------------|--|-----------------------------|----------------|-----------------|---|
| Israel     | 222             | A0001<br>A0002<br>A0003<br>A0004<br>A0005<br>A0005<br>A0000<br>A0011<br>A0011<br>A0013<br>A0014<br>A0015<br>A0016<br>A0017<br>A0018 | 49,108,100      | Armoured cross-country vehicles, mine-clearing equipment and parts for tanks, armoured vehicles, mine-clearing equipment (A0006/74.4 %); echo sounding facilities, ship body conduits and parts for submarines, ships, sonar facilities, echo sounding facilities, ship body conduits (A0009/6.5 %)                              | m                           | A0005<br>A0006 | 37,901          | 5/Criterion 3, 4, 7/<br>A0005, A0006, A0018 |
| Jordan     | 16              | A0001<br>A0006<br>A0010<br>A0011<br>A0015<br>A0021<br>A0022   | 1,140,790       | Armoured cross-country vehicles and parts for folding road laying equipment, mine-clearing equipment (A0006/70.1 %); submachine guns [museum pieces], pistols, weapon sighting units and parts for submachine guns, pistols (A0001/24.5 %)   |                             |                |                 |   |
| Kazakhstan | 89              | A0001<br>A0003<br>A0004<br>A0007<br>A0010<br>A0015  | 4,935,700       | Hunting rifles, sporting rifles, self-<br>loading rifles, smooth-bore weapons,<br>gun mountings<br>and parts for hunting rifles, sporting<br>rifles, self-loading rifles, smooth-<br>bore weapons (A0001/35.7 %);<br>satellite fuel and laboratory chemi-<br>cals (A0008/24.3 %);<br>thermal imaging equipment<br>(A0015/20.3 %) | m                           | A0001          | 102,234         | 4/Criterion 2, 7/<br>A0001, A0013           |

78

| Country         | No. of Licences | EL Item  | Total Value (€) | Goods/as % of total value  | Denials of<br>Final Exports | EL Item        | Total Value (€) | No. of Denials/<br>Reasons/EL Item |
|-----------------|-----------------|--|-----------------|--|-----------------------------|----------------|-----------------|------------------------------------|
| Kenya           | 2               | A0003  | 9,400           | Ammunition for rifles [UN mission], pistols [UN mission] and revolvers [UN mission] (A0003/100 %)  | 2                           | A0001<br>A0006 | 226,738         | 2/Criterion 7/A0001,<br>A0006      |
| Korea, Republic | 318             | A0001<br>A0002<br>A0003<br>A0004<br>A0005<br>A0006<br>A0010<br>A0011<br>A0013<br>A0014<br>A0011<br>A0014<br>A0011<br>A0013<br>A0019<br>A0019<br>A0019<br>A0019 | 148,210,428     | Parts for tanks, armoured vehicles, trucks, ground vehicles (A0006/47.5 %); submarine diesel engines, echo sounding facilities, ship body conduits and parts for submarines, frigates, destroyers, minesweepers, mine hunters, landing boats, surfaceeffect vehicles, ships, echo sounding facilities, sonar facilities (A0009/23.0 %); forging line, machine tools, maintenance cases, tools and parts for manufacturing equipment, magnetic self-protection unit, communications equipment, navigation equipment, measuring equipment, cathode ray tubes and parts for electronic equipment, communications equipment, toositioning equipment, assemblies, electricity supplies (A0011/3.9 %); parts for helicopters, transport aircraft, training aircraft, launcher equipment for drone system, on-board equipment |                             |                |                 |                                    |
| Kosovo          | ∞               | A0001<br>A0003<br>A0004<br>A0006   | 1,519,135       | Rifles with war weapons list number and parts for rifles with war weapons list number, submachine guns [UN mission], pistols [UN mission] (A0001/78.8 %);  | 2                           | A0001<br>A0003 | 26,392          | 4 /Criterion 3, 7/<br>A0001, A0003 |
|                 |                 |  |                 | (A0006/17.7 %)   |                             |                |                 |                                    |

| Country    | No. of Licences | EL Item   | Total Value (€) | Goods/as % of total value   | Denials of<br>Final Exports | EL Item        | Total Value (€) | No. of Denials/<br>Reasons/EL Item          |
|------------|-----------------|---|-----------------|---|-----------------------------|----------------|-----------------|---|
| Kuwait     | 81              | A0001<br>A0002<br>A0003<br>A0005<br>A0006<br>A0013<br>A0013 | 29,372,736      | Trucks<br>and parts for armoured vehicles<br>(A0006/91.5 %)   |                             |                |                 |   |
| Kyrgyzstan | ις              | A0001<br>A0003<br>A0013                                     | 21,897          | Ammunition for hunting weapons and sporting weapons (A0003/50.%); bullet-resistant glazing (A0013/25.%) [embassy]; hunting rifles and sporting rifles (A0001/23.6 %)  | თ                           | A0003<br>A0003 | 49,015          | 8/Criterion 2, 3, 7/<br>A0001, A0003, A0006 |
| Lebanon    | 14              | A0001<br>A0003<br>A0006                                     | 753,625         | Armoured cross-country vehicles (A0006/78.4 %); ammunition for rifles [UN mission, special tribunal], pistols [UN mission, special tribunal], revolvers [UN mis-sion, special tribunal] and smoothbore guns [UN mission] (A0003/21.0 %) |                             |                |                 |   |
| Liberia    | н               | A0003   | 30,000          | Ammunition for smooth-bore weapons [UN mission] (A0003/100 %)   |                             |                |                 |   |
| Libyia     | თ               | A0003<br>A0006<br>A0013                                     | 1,175,367       | Armoured cross-country vehicles (A0006/77.4 %); helmets, demining vests, bomb disposal suits and protective clothing (A0013/21.8 %)   |                             |                |                 | 1 /Criterion 1/<br>A0011, A0018             |
| Macedonia  | m               | A0001   | 13,349          | Hunting rifles, sporting rifles and parts for hunting rifles, sporting rifles (A0001/100 %)   | 2                           | A0001          | 2,850           | 2/Criterion 7/A0001                         |
| Madagascar |                 |   |                 |   | 1                           | A0001          | 4,000           | 1/Criterion 7/A0001                         |

| Country    | No. of Licences | EL Item  | Total Value (€) | Goods/as % of total value  | Denials of<br>Final Exports | EL Item | Total Value (€) | No. of Denials/<br>Reasons/EL Item |
|------------|-----------------|--|-----------------|--|-----------------------------|---------|-----------------|------------------------------------|
| Malaysia   | 112             | A0001<br>A0002<br>A0003<br>A0005<br>A0006<br>A0007<br>A0008<br>A0011<br>A0011<br>A0018 | 25,512,448      | Parts for tanks, armoured vehicles, trucks and ground vehicles (A0006/46.8 %); gun laying equipment, laser ranger-finders, target location systems and parts for fire control units, weapon sights, on-board weapons-control systems, target acquisition systems, target range finders, target tracking systems (A0005/35.1 %) | т                           | A0001   | 490             | 1/Criterion 7/A0001                |
| Mauretania | 2               | A0005  | 96,550          | Range-finders, calibration and testing tools for range-finders and parts for target range-finders, testing equipment (A0005/100 %)   |                             |         |                 |                                    |
| Mauritius  | 14              | A0001<br>A0003<br>A0015  | 84,949          | Hunting rifles, sporting rifles and parts for hunting rifles, sporting rifles (A0001/79.2 %); night-vision gear (A0015/16.7 %)   |                             |         |                 |                                    |
| Mexico     | 19              | A0005<br>A0006<br>A0007<br>A0010<br>A0011<br>A0013<br>A0017                            | 6,991,920       | Armoured plates (A0013/40.6 %); communications equipment and parts for communications equipment (A0011/26.0 %); diving equipment, mobile bridge elements and parts for diving equipment (A0017/16.4 %)   |                             |         |                 |                                    |
| Moldova    | П               | A0008  | 85              | Laboratory chemicals (A0008/100 %)   | П                           | A0001   | 7,080           | 1/Criterion 7/A0001                |
| Mongolia   | 7               | A0001<br>A0003<br>A0006  | 2,677,117       | Trucks, armoured cross-country vehicles and parts for crawler tractors (A0006/99.5 %)  |                             |         |                 |                                    |
| Montenegro | м               | A0001<br>A0005   | 175,448         | Rifles with war weapons list number, submachine guns, weapon sighting units and parts for rifles with war weapons list number, submachine guns (A0001/96.5 %)  |                             |         |                 |                                    |

| Country | No. of Licences | EL Item   | Total Value (€) | Goods/as % of total value  | Denials of<br>Final Exports | EL Item | Total Value (€) | No. of Denials/<br>Reasons/EL Item                    |
|---------|-----------------|---|-----------------|--|-----------------------------|---------|-----------------|---|
| Могоссо | 10              | A0006<br>A0008<br>A0009<br>A0011  | 4,772,614       | Parts for armoured vehicles and mine-clearing equipment (A0006/67.3 %); communications equipment and parts for communications equipment, head-up displays  | 1                           | A0001   | 41,696          |   |
| Namibia | 68              | A0001<br>A0003<br>A0005<br>A0013<br>A0015<br>A0016<br>A0018                   | 581,096         | Ammunition for rifles, hunting weapons, sporting weapons, pistols, revolvers, smooth-bore weapons and ammunition parts for the following: hunting weapons, sporting weapons, pistols, revolvers, smooth-bore weapons (A0003/47.2 %); sniper rifles, pistols, hunting rifles, sporting rifles, self-loading rifles, smooth-bore weapons, weapon sighting units and parts for pistols, hunting rifles, sporting rifles (A0001/37.8 %)  |                             |         |                 | 3/Criterion 7/A0001,<br>A0002                         |
| Nepal   | H               | A0006   | 115,830         | Parts for trucks (A0006/100 %)   |                             |         |                 | 2/Criterion 2, 3/<br>A0016, A0018                     |
| Nigeria | 13              | A0006   | 5,946,495       | Armoured cross-country vehicles and parts for armoured vehicles (A0006/100 %)  |                             |         |                 |   |
| Oman    | 139             | A0001<br>A0003<br>A0004<br>A0005<br>A0007<br>A0011<br>A0013<br>A0013<br>A0018 | 8,123,140       | Equipment for electronic warfare and parts for communications equipment (A0011/52.9 %); rifles with war weapons list number, submachine guns, machine guns, sniper rifles, pistols, revolvers, hunting rifles, self-loading rifles, sporting pistols, weapon sighting units and parts for rifles with war weapons list number, submachine guns, machine guns, sniper rifles, pistols, revolvers, hunting rifles, sporting rifles (A0001/15.4 %); body armour vests and parts for body armour vests |                             |         |                 | 3/Criterion 3, 4, 7/<br>A0001, A0003, A0018,<br>A0022 |
|         |                 |   |                 | (AUU13/13.3 %)   |                             |         |                 |   |

| Country     | No. of Licences | EL Item                                   | Total Value (€) | Goods/as % of total value   | Denials of<br>Final Exports | EL Item | Total Value (€) | No. of Denials/<br>Reasons/EL Item    |
|-------------|-----------------|---|-----------------|---|-----------------------------|---------|-----------------|---------------------------------------|
| Pakistan    | 41              | A0004<br>A0005<br>A0006<br>A0009          | 33,135,324      | Engines for helicopters, parachutes<br>and parts for helicopters<br>(A0010/37.0 %);   |                             |         |                 | 2/Criterion 7/A0001,<br>A0006         |
|             |                 | A0010<br>A0011<br>A0013<br>A0014<br>A0016 |                 | communications equipment and parts for communications equipment, radar equipment (A0011/25.0 %);  |                             |         |                 |                                       |
|             |                 | A0021<br>A0022                            |                 | missiles, testing devices for missiles, ground devices for missiles and parts for missiles, storage containers (A0004/20.9 %)                                       |                             |         |                 |                                       |
| Paraguay    |                 |   |                 |   | П                           | A0001   | 10,066          | 2/Criterion 2, 7/<br>A0001            |
| Peru        | 9               | A0001                                     | 415,325         | Torpedo parts (A0004/45.8 %);   |                             |         |                 |                                       |
|             |                 | A0004<br>A0011<br>A0013                   |                 | portable two-way radios<br>and parts for communications equip-<br>ment (A0011/32.5 %);  |                             |         |                 |                                       |
|             |                 |   |                 | ammunition for hunting and sporting weapons (A0003/17.7 %)  |                             |         |                 |                                       |
| Philippines | o               | A0001<br>A0003<br>A0014                   | 1,108,159       | Rifles with war weapons list number, submachine guns, machine guns and parts for rifles with war weapons list number, submachine guns, machine guns (A0001/58.0 %); |                             |         |                 | 4 /Criterion 2, 3, 7/<br>A0001, A0003 |
|             |                 |   |                 | training cartridges for artillery training system (A0014/36.8 %)  |                             |         |                 |                                       |
| Qatar       | 27              | A0001<br>A0003                            | 17,565,455      | Helicopter engines, parachute systems   |                             |         |                 |                                       |
|             |                 | A0005<br>A0006                            |                 | and parts for helicopters, parachute systems (A0010/93.6 %)   |                             |         |                 |                                       |
|             |                 | A000/<br>A0009<br>A0010                   |                 |   |                             |         |                 |                                       |
|             |                 | A0013                                     |                 |   |                             |         |                 |                                       |
|             |                 | A0015                                     |                 |   |                             |         |                 |                                       |
|             |                 | A0017<br>A0022                            |                 |   |                             |         |                 |                                       |
|             |                 |   |                 |   |                             |         |                 |                                       |

83

| Country               | No. of Licences | EL Item  | Total Value (€) | Goods/as % of total value  | Denials of<br>Final Exports | EL Item   | Total Value (€) | No. of Denials/<br>Reasons/EL Item   |
|-----------------------|-----------------|--|-----------------|--|-----------------------------|---|-----------------|--|
| Russian<br>Federation | 450             | A0001<br>A0003<br>A0005<br>A0006<br>A0007<br>A0010<br>A0011<br>A0011<br>A0011<br>A0014 | 40,415,406      | Rifles without war weapons list number, pistols, hunting rifles, sportning rifles, self-loading rifles, smoothbore weapons, gun mountings and parts for rifles without war weapons list number, pistols, hunting rifles, sporting rifles, self-loading rifles, smooth-bore weapons, sporting pistols (A0001/48.2 %);  mobile command and control and operations centre (A0014/16.1 %); electronic equipment, communications equipment, avigation equipment, cathode ray tubes and parts for electronic equipment, helmet displays (A0011/12.5 %);  trucks, armoured cross-country vehicles, military oldtimers [museum pieces] and parts for armoured vehicles, crawler tractors (A0006/9.6 %) | 78                          | A0001<br>A0003<br>A0006<br>A0011<br>A0017<br>A0018<br>A0022 | 559,388         | 23 /Criterion 2, 3, 7/<br>A0001, A0003, A0006,<br>A0011, A0013, A0017,<br>A0018, A0022 |
| San Marino            | Н               | A0001  | 290             | Weapon sighting units (A0001/100 %)  |                             |   |                 |  |
| Saudi-Arabia          | 322             | A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0010 A0011 A0015 A0011 A0017 A0018 A0017    | 1,237,288,814   | Border security equipment, gun laying equipment, range finders, battlefield surveillance radar, target recognition systems, test equipment for fire control systems and parts for border security equipment, fire control systems, weapon sighting units, gun laying equipment, on-board weapon control systems, target range finding systems, battlefield surveillance radar, equipment for countermeasures (A0005/74.4 %); software for border security equipment, for machine tools, for missile guidance, for ship simulator and for communications equipment (A0021/16,2 %)   | 1                           | A0001   | 1,349           | 5/Criterion 2, 7/<br>A0001, A0003, A0011   |

| Country      | No. of Licences | EL Item   | Total Value (€) | Goods/as % of total value   | Denials of<br>Final Exports | EL Item                 | Total Value (€) | No. of Denials/<br>Reasons/EL Item                         |
|--------------|-----------------|---|-----------------|---|-----------------------------|-------------------------|-----------------|--|
| Serbia       | 37              | A0001<br>A0003<br>A0008<br>A0011<br>A0013<br>A0017  | 409,092         | Hunting rifles, sporting rifles and parts for submachine guns, pistols, hunting rifles, sporting rifles (A0001/70.4 %); communications equipment and parts for communications equipment (A0011/15.9 %)  | 4                           | A0001<br>A0006<br>A0018 | 10,323,326      | 11/Criterion 4, 7/<br>A0001, A0003, A0006,<br>A0010, A0018 |
| Seychelles   | 1               | A0001   | 15,000          | Pistols (A0001/100 %)   |                             |                         |                 |  |
| Sierra Leone | 1               | A0006   | 204,000         | Armoured cross-country vehicles (A0006/100 %)   |                             |                         |                 |  |
| Singapore    | 231             | A0001<br>A0002<br>A0003<br>A0004<br>A0005<br>A0000<br>A0010<br>A0011<br>A0013<br>A0017<br>A0018<br>A0017<br>A0018 | 146,483,047     | Battle tanks, armoured bridgelayers, trucks and parts for tanks, armoured vehicles, amphibious vehicles, crossing vehicles, folding bridge systems, trucks, crawler tractors, ground vehicles (A0006/40.8 %); blueprints for parts for small arms, technology to assemble ammunition, parts for ground vehicles, technical documents for fuses, stabilisation facility, optical elements, electronic parts, material analysis, radio standards (A0022/17.3 %); ammunition for cannons, pistols and parts for mortar ammunition, smoke grenades (A0003/15.4 %); shoulder-fired anti-tank weapons and explosive device discharger cups (A0002/14.7 %) |                             |                         |                 |  |
| Somalia      | 1               | A0006   | 137,698         | Armoured cross-country vehicles<br>[UN mission] (A0006/100 %)   |                             |                         |                 |  |
| South Africa | 225             | A0001<br>A0002<br>A0003<br>A0004<br>A0005<br>A0006  | 14,732,392      | Testing equipment for weapons calibration and parts for fire control equipment for submarines, gun laying equipment, on-board weapons-control systems, target location systems, testing equipment (A0005/27.4 %);   | 17                          | A0001                   | 1,547,340       | 6/Criterion 7/A0001  |

| Country     | No. of Licences | EL Item  | Total Value (€) | Goods/as % of total value  | Denials of<br>Final Exports | EL Item | Total Value (€) | No. of Denials/<br>Reasons/EL Item |
|-------------|-----------------|--|-----------------|--|-----------------------------|---------|-----------------|------------------------------------|
|             |                 | A0008<br>A0009<br>A0010<br>A0011                   |                 | parts for submarines, frigates, fleet<br>store ships and underwater detection<br>equipment (A0009/19.8 %);   |                             |         |                 |                                    |
|             |                 | A0013<br>A0016<br>A0017<br>A0018<br>A0021<br>A0022 |                 | pistols, hunting rifles, sporting rifles, self-loading rifles, smooth-bore weapons, gun mountings, weapon sighting units and parts for pistols, hunting rifles, self-loading rifles, smooth-bore weapons, sporting pistols (A0001/16.7 %); |                             |         |                 |                                    |
|             |                 |  |                 | ammunition for cannons, smoke grenades, hunting weapons, sporting weapons and parts for ammunition for mortars, grenade launchers, rifles, hunting weapons and sporting weapons (A0003/8.6 %);   |                             |         |                 |                                    |
|             |                 |  |                 | engines for reconnaissance drones<br>and parts for helicopters, training air-<br>craft, engines (A0010/6.9 %);   |                             |         |                 |                                    |
|             |                 |  |                 | forged, cast and unfinished components (A0016/6.9 %)   |                             |         |                 |                                    |
| South Sudan | 4               | A0006<br>A0013                                     | 939,199         | Ambulances, armoured cross-country vehicles [EU delegation] and parts for mine-clearing equipment [UN mission], cross-country vehicles [EU delegation] (A0006/95.2 %)  |                             |         |                 | 1/Criterion 4, 7/<br>A0006         |
| Sri Lanka   | 1               | A0007  | 286             | NCB protective masks and NBC respiratory filters (A0007/100 %)   |                             |         |                 | 1/Criterion 2, 3/<br>A0001, A0003  |
| Sudan       | ιν              | A0003<br>A0006                                     | 632,600         | Armoured cross-country vehicles [embassy] and parts for mine-clearing equipment [UN mission] (A0006/92.3 %)  |                             |         |                 |                                    |
| Syria       | O               | A0006  | 6,935,429       | Armoured cross-country vehicles<br>[UN mission and EU mission]<br>(A0006/100 %)  |                             |         |                 |                                    |
|             |                 |  |                 |  |                             |         |                 |                                    |

| Country             | No. of Licences | EL Item  | Total Value (€) | Goods/as % of total value  | Denials of<br>Final Exports | EL Item                 | Total Value (€) | No. of Denials/<br>Reasons/EL Item   |
|---------------------|-----------------|--|-----------------|--|-----------------------------|-------------------------|-----------------|--|
| Tanzania            | 10              | A0001<br>A0003<br>A0006<br>A0013                                     | 871,342         | Trucks and armoured cross-country vehicles (A0006/95.5 %)  |                             |                         |                 |  |
| Thailand            | 37              | A0004<br>A0005<br>A0006<br>A0007<br>A0011<br>A0013<br>A0015<br>A0022 | 11,373,826      | Communications equipment, navigation equipment and parts for communications equipment, positioning equipment, navigation equipment, guidance equipment, electricity supplies (A0011/45.3 %); missiles, pyrotechnic ammunition, marine minesweeping equipment and parts for missiles, ground equip- | 4                           | A0006<br>A0011<br>A0016 | 1,105,799       | 16/Criterion<br>2, 3, 4, 7/A0001,<br>A0004, A0005, A0006,<br>A0010, A0011, A0015,<br>A0016, A0018, A0022 |
| Timor-Leste         | 1               | A0001  | 860             | ment (A0004/40.9 %) Parts for pistols [UN mission] (A0001/100 %)   |                             |                         |                 |  |
| Togo                | 2               | A0006<br>A0013   | 205,000         | Armoured cross-country vehicles (A0006/82.9 %)   |                             |                         |                 |  |
| Trinidad and Tobago | 1               | A0001  | 904             | Sporting pistols (A0001/100 %)   |                             |                         |                 |  |
| Tunisia             | 7               | A0006<br>A0010   | 2,081,942       | Parts for helicopters (A0010/73.7 %); trucks and parts for armoured vehicles, trucks, patrol vehicles (Anon6/26.3 %)   |                             |                         |                 | 2/Criterion 2, 7/<br>A0003, A0018  |
| Turkmenistan        | 11              | A0011<br>A0021   | 3,828,015       | Communications equipment, navigation equipment, identification systems and parts for electronic equipment, communications equipment, havigation equipment (A0011/99.9%)  | <b>1</b> 7                  | A0005                   | 68,200          | 5/Criterion 2, 4, 7/<br>A0003, A0004, A0005,<br>A0006, A0010   |
| Ukraine             | 165             | A0001<br>A0003<br>A0005<br>A0006<br>A0007<br>A0008<br>A0011<br>A0017 | 4,972,995       | Hunting rifles, sporting rifles, self-<br>loading rifles, weapon sighting units<br>and parts for hunting rifles, sporting<br>rifles, self-loading rifles<br>(A0001/58.1%);<br>ammunition for rifles, hunting weap-<br>ons, sporting weapons, pistols,<br>revolvers, smooth-bore weapons            | Ŋ                           | A0003<br>A0018          | 335,055         | 7/Criterion 2, 7/<br>A0003, A0016, A0018   |

Annex 7 87

| United 180 A0001  Arab Emirates A0003  A0004  A0005  A0005  A0006  A0007  A0010  A0011  A0011  A0015  A0016  A0011  A0011  A0011  A0011  A0012 | 124,890,019 | and parts for ammunition for rifles, hunting weapons, smooth-bore weapons (A0003/19.8 %); armoured cross-country vehicles (A0006/12.3 %) Simulators ammunition, pyrotechnic ammunition, explosive actuator units, marine minesweeping equipment and parts for missiles, rocket launchers, and parts for missiles, rocket launchand parts for coastal protection and parts for sonar equipment (A0004/20.1 %); platforms for coastal protection and parts for sonar equipment (A0009/19.7 %); armoured vehicles, trucks, tanker hodies low-loaders again hearers  |   |       |     |                     |
|--|-------------|--|---|-------|-----|---------------------|
| 180  | 124,890,019 | armoured cross-country vehicles (A0006/12.3 %) Simulators, illuminating ammunition, simulator ammunition, pyrotechnic ammunition, explosive actuator units, marine minesweeping equipment and parts for missiles, rocket launchers, arti-missile systems (A0004/20.1 %); platforms for coastal protection and parts for sonar equipment (A0009/19.7 %); armoured vehicles, trucks, tanker hadies law-loaders again harrers   |   |       |     |                     |
| 180  | 124,890,019 | Simulators, illuminating ammunition, simulator ammunition, pyrotechnic ammunition, explosive actuator units, marine minesweeping equipment and parts for missiles, rocket launchers, anti-missile systems (A0004/20.1 %); platforms for coastal protection and parts for sonar equipment (A0009/19.7 %); armoured vehicles, trucks, tanker hodies low-loaders again hearers  |   |       |     |                     |
|  |             | and parts for tanks, arena bearers, and parts for tanks, armoured vehicles, amphibious vehicles, floating bridges, trucks, cross-country vehicles, crawler tractors, aerial bearers, ground vehicles (A0006/11.9 %); ammunition for cannons, grenade launchers, rifles, hunting weapons, sporting weapons, pistols, revolvers, smooth-bore weapons and parts for ammunition for mortars, rifles, hunting weapons and sporting weapons (A0003/8.8 %); trays for the manufacture of rifle ammunition (A0016/8.4 %); bowsers, anti-g trousers and parts for air-to-air refuelling air-craft, on-board equipment, bowsers (A0010/8.0 %); | 1 | A0001 | 876 | 1/Criterion 7/A0018 |

| Country  | No. of Licences | EL Item                          | Total Value (€) | Goods/as % of total value   | Denials of<br>Final Exports | EL Item                 | Total Value (€) | No. of Denials/<br>Reasons/EL Item                 |
|--|-----------------|----------------------------------|-----------------|---|-----------------------------|-------------------------|-----------------|--|
| United Arab Emirates<br>(continuation)             |                 |                                  |                 | night-vision gear, vessel-monitoring systems, multi-sensor platforms and parts for night-vision gear, vessel-monitoring systems, multi-sensor platforms (A0015/6.6 %) |                             |                         |                 |  |
| Uruguay  | 4               | A0001<br>A0003                   | 293,654         | Smoke grenades (A0003/94.6 %)   |                             |                         |                 |  |
| Uzbekistan   | 1               | A0006                            | 290,940         | Armoured cross-country vehicles (A0006/100 %)   |                             |                         |                 | 1/Criterion 2, 4/<br>A0010                         |
| Venezuela  |                 |                                  |                 |   | 2                           | A0001<br>A0005<br>A0010 | 39,384          | 3/Criterion 4, 7/<br>A0001, A0004, A0005,<br>A0010 |
| Vietnam  | 6               | A0003<br>A0007<br>A0013<br>A0017 | 12,934,087      | System for the demagnetisation and magnetic ranging of ships (A0017/57.8 % );   | 2                           | A0001<br>A0018          | 2,064,500       | 5/Criterion 2, 4/<br>A0001, A0015, A0018           |
|  |                 | A0021                            |                 | decontamination equipment, decontaminants, detection equipment and parts for decontamination equipment, detection equipment (A0007/40.7 %)                            |                             |                         |                 |  |
| Yemen  |                 |                                  |                 |   |                             |                         |                 | 1 /Criterion 3/A0021                               |
| Zambia   | 19              | A0001<br>A0003<br>A0006          | 411,129         | Armoured cross-country vehicles (A0006/59.3 %);   |                             |                         |                 | 1/Criterion 7/A0001                                |
|  |                 |                                  |                 | hunting rifles, sporting rifles<br>and parts for hunting rifles, sporting<br>rifles (A0001/36.1 %)  |                             |                         |                 |  |
| Zimbabwe   |                 |                                  |                 |   | 2                           | A0001                   | 8,221           | 2/Criterion 1/A0001                                |
| Cyprus <sup>57</sup> (northern part of the island) |                 |                                  |                 |   | Н                           | A0001                   | 236             | 1/Criterion 4/A0001                                |
| Greenland  | т               | A0001<br>A0003                   | 18,269          | Ammunition for hunting weapons, sporting weapons and smooth-bore weapons (A0003/98.8 %)   |                             |                         |                 |  |

57 Territory of the Republic of Cyprus in which the government of the Republic of Cyprus does not exert any actual control.

| Country       | No. of Licences | EL Item   | Total Value (€) | Goods/as % of total value  | Denials of<br>Final Exports | EL Item                 | Total Value (€) | No. of Denials/<br>Reasons/EL Item  |
|---------------|-----------------|---|-----------------|--|-----------------------------|-------------------------|-----------------|---|
| Hong Kong     | 11              | A0001<br>A0003<br>A0013<br>A0017  | 101,861         | Rifles with war weapons list number and parts for rifles with war weapons list number, submachine guns (A0001/45.9 %);   |                             |                         |                 |   |
|               |                 |   |                 | Parts for diving equipment (A0017/43.4 %)  |                             |                         |                 |   |
| Масао         |                 |   |                 |  | က                           | A0003<br>A0006<br>A0013 | 98,366          | 4/Criterion 2, 7/<br>A0003, A0006, A0013,<br>A0015                                    |
| New Caledonia | 23              | A0003<br>A0003  | 128,299         | Hunting rifles, sporting rifles, smooth-bore weapons, sporting pistols, weapon sighting units and parts for hunting rifles, sporting rifles, smooth-bore weapons (A0001/92.9 %);   |                             |                         |                 |   |
| Taiwan        | 24              | A0003<br>A0005<br>A0006<br>A0007<br>A0009<br>A0011<br>A0016<br>A0017<br>A0021 | 23,005,974      | Diving equipment, mobile electricity supplies and parts for diving equipment, mobile electricity supplies (A0017/41.6 %); detection equipment and parts for detection equipment (A0007/37.4 %); decoy cartridges (A0003/5.5 %) | 2                           | A0004                   | 14,699          | 12/Criterion 4/A0002,<br>A0003, A0004, A0006,<br>A0009, A0011, A0017,<br>A0018, A0022 |
| Total         | 4,076           |   | 2,603,700,941   |  | 116                         |                         | 24,431,489      |   |

The above cited denials contain, apart from denied licence applications, also denied temporary exports, denied advance inquiries about licensing intentions for a concrete export project and rejected applications under the War Weapons Control Act. They may be recognized from discrepancies between the "No. of Denials/Reasons/EL Item" column and the "Denial/Final Exports" column.

Annex 8

Brokering transactions by country in 2012
Licences for trading and brokering transactions (Part IA - military articles, final exports) in 2012

| Country of destination   | Number | Total value in € | Description of articles  | Total value in €                         | EL Item  | Country of export                         |
|--|--------|------------------|--|--|--|---|
| Algeria  | П      | 0                | 3 items weapon station for armoured carrier  | 0  | A0006A   | Canada                                    |
| Chile  | П      | 11,448           | 1 item software for communications equipment   | 11,448                                   | A0021A   | Switzerland                               |
| Ecuador  | 1      | 12,455           | 1 item parts for encryption equipment<br>Software for encryption equipment   | 12,455                                   | A0011A<br>A0021A                               | Switzerland                               |
| Egypt  | П      | 55,903           | 300 kg HMX, octogen  | 55,903                                   | A0008A   | Ukraine                                   |
| Indonesia  | П      | 129,500          | 1 set communications equipment   | 129,500                                  | A0011A   | Israel                                    |
| Iraq   | П      | 67,500           | 1 item radio equipment   | 67,500                                   | A0011A   | United States                             |
| Korea, Republic  | 1      | 1,922,050        | 400 sets parts for mine-clearing equipment   | 1,922,050                                | A0004B   | Israel                                    |
| Kuwait   | Н      | 2,100,000        | 36,000 items parts for NBC first-aid equipment   | 2,100,000                                | A0007F   | United States                             |
| Argentina, Bahrain, Bulgaria,<br>Chile, Egypt, Indonesia, Israel,<br>Jordan, Korea, Republic,<br>Kuwait, Malaysia, Oman, Pakis-<br>tan, Saudi Arabia, Singapore,<br>United Arab Emirates, United<br>States | 1      | 1                | up to 5,000 items guided missiles (co-operation in corporate group)  | 11                                       | A0004A   | cf. column 1                              |
| Pakistan   | 1      | 1,000,000        | Parts for transport aircraft<br>Parts for aircraft engines   | 1,000,000                                | A0010B<br>A0010D                               | Turkey                                    |
| South Africa   | 17     | 717,440          | 180 items bulletproof glass  | 717,440                                  | A0006A   | Israel                                    |
| Thailand   | м      | 107,093          | 1 item key management centre Software for communications equipment 1 item key management centre Software for communications equipment 42 pairs of combat boots   | 48,655<br>49,592<br>8,846                | A0011A<br>A0021A<br>A0011A<br>A0021A<br>A0013D | Switzerland                               |
| Turkey   | w      | 347,485          | 252,500 items rifle ammunition 10 items infrared programming unit for automatic grenade launchers - ammunition 50 items decontamination lotion 30 items decontamination lotion 5 item parts for aircraft | 250,000<br>0<br>3,000<br>90,000<br>4,485 | A0003A<br>A0003B<br>A0007F<br>A0007F<br>A0010B | United States Norway Canada United States |
|  |        |                  | s item parts for aircraft  | 4,485                                    |  | AUUTUB                                    |

| Country of destination | Number | Total value in € | Description of articles  | Total value in € | EL Item          | Country of export |
|------------------------|--------|------------------|--|------------------|------------------|-------------------|
| United Arab Emirates   | ж      | 149,592          | 10 items infrared programming unit for automatic grenade launchers - ammunition  | 0                | A0003B           | Norway            |
|                        |        |                  | organisments of the state of th | 100,000          | A0007F           | United States     |
|                        |        |                  | 2 items parts for encryption equipment Encryption software   | 49,592           | A0011A<br>A0021A | Switzerland       |
| United States          | 1      | 295,000          | 45,000 kg of spherical aluminium powder  | 295,000          | A0008C           | China             |
| Total                  | 39     | 6,915,467        |  |                  |                  |                   |

Rejected licences for trading and brokering transactions (Part IA - military articles, final exports) in 2012

## Annex 9

## **DAC List of ODA Recipients**

Effective for reporting on 2011, 2012 and 2013 flows

| Least Developed Countries | Other Low Income Countries (per capita GNI | Lower Middle Income Countries and Territories | Upper Middle Income<br>Countries and Territories |
|---------------------------|--|---|--|
| Countries                 | < \$1.005 in 2010)                         | (per capita GNI                               | (per capita GNI                                  |
|                           | <b>4</b> -1000 iii 2020,                   | \$1.006 - \$3.975 in 2010)                    | \$3.976 - \$12.275 in 2010)                      |
| Afghanistan               | Kenya                                      | Armenia                                       | Albania  |
| Angola                    | Korea, Dem. Rep.                           | Azerbaijan                                    | Algeria  |
| Bangladesh                | Kyrgyz Rep.                                | Belize  | *Anguilla  |
| Benin                     | South Sudan                                | Bolivia                                       | Antigua and Barbuda                              |
| Bhutan                    | Tajikistan                                 | Cameroon                                      | Argentina  |
| Burkina Faso              | Zimbabwe                                   | Cape Verde                                    | Azerbaijan                                       |
| Burundi                   |  | Congo, Rep.                                   | Belarus  |
| Cambodia                  |  | Côte d'Ivoire                                 | Bosnia and Herzegovina                           |
| Central African Rep.      |  | Egypt   | Botswana   |
| Chad                      |  | El Salvador                                   | Brazil   |
| Comoros                   |  | Georgia                                       | Chile  |
| Congo, Dem. Rep.          |  | Ghana   | China  |
| Djibouti                  |  | Guatemala                                     | Columbia   |
| Equatorial Guinea         |  | Guyana  | Cook Islands                                     |
| Eritrea                   |  | Honduras                                      | Costa Rica                                       |
| Ethiopia                  |  | India   | Cuba   |
| Gambia                    |  | Indonesia                                     | Dominica   |
| Guinea                    |  | Iraq  | Dominican Republic                               |
| Guinea-Bissau             |  | Kosovo <sup>58</sup>                          | Ecuador  |
| Haiti                     |  | Marshall Islands                              | Former Yugoslav Republic                         |
| Kiribati                  |  | Micronesia, Federated States                  | of Macedonia                                     |
| Laos                      |  | Moldova                                       | Gabon  |
| Lesotho                   |  | Mongolia                                      | Grenada  |
| Liberia                   |  | Morocco                                       | Iran   |
| Madagascar                |  | Namibia                                       | Jamaica  |
| Malawi                    |  |   | Jordan   |
| Mali                      |  | Nicaragua<br>Nicaria                          | Kazakhstan                                       |
| Mauritania                |  | Nigeria<br>Pakistan                           | Lebanon  |
|                           |  |   | Libya  |
| Mozambique                |  | Papua New Guinea                              | Malaysia   |
| Myanmar                   |  | Paraguay                                      | Maldives   |
| Nepal                     |  | Philippines                                   | Mauritius  |
| Niger                     |  | Sri Lanka                                     | Mexico   |
| Rwanda                    |  | Swaziland                                     | Montenegro                                       |
| Samoa                     |  | Syria   | *Montserrat                                      |
| São Tomé and Principe     |  | *Tokelau                                      | Namibia  |
| Senegal                   |  | Tonga   | Nauru  |
| Sierra Leone              |  | Turkmenistan                                  | Niue   |
| Solomon Islands           |  | Ukraine                                       | Palau  |
| Somalia                   |  | Uzbekistan                                    | Panama   |
| Sudan<br>                 |  | Vietnam                                       | Peru   |
| Tanzania<br>              |  | West Bank and Gaza Strip                      | Serbia   |
| Timor-Leste               |  |   | Seychelles                                       |
| Togo<br>                  |  |   | South Africa                                     |
| Tuvalu                    |  |   | *St. Helena                                      |
| Uganda                    |  |   | St. Kitts-Nevis                                  |
| Vanuatu                   |  |   | St. Kitts-inevis<br>St. Lucia                    |
| Yemen                     |  |   |  |
| Zambia                    |  |   | St. Vincent and Grenadines                       |
|                           |  |   | Suriname   |
|                           |  |   | Thailand   |
|                           |  |   | Tunisia  |
|                           |  |   | Turkey   |
|                           |  |   | Uruguay  |
|                           |  |   | Venezuela  |
|                           |  |   | *Wallis and Futuna                               |

<sup>\*</sup> Territory

This is without prejudice to the status of Kosovo under international law.