



Federal Ministry
of Economics
and Technology

*Report
by the Government of the Federal Republic of Germany
on Its Policy on Exports of Conventional Military
Equipment
in 2005*

(2005 Military Equipment Export Report)

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Summary

With reference to Section V of the "Political Principles of the Government of the Federal Republic of Germany for the Export of War Weapons and Other Military Equipment"¹ as amended on 19 January 2000, the German government is pleased to submit herewith its seventh Report on Military Equipment Exports covering the year 2005.²

During the reporting year, effective war weapon exports³ totaled €1.6 billion (2004: €1.13). The share of exports going to the EU, NATO and countries with NATO equivalent status stood at roughly 64% (2004: 71%). Classic developing countries⁴ accounted for some 12.6% of exports (2004: 24%).

No statistics are presently available on actual exports of the full range of military equipment, which is outlined on the internationally largely harmonized so-called Common List of Military Equipment and, alongside war weapons, also includes diverse items of military equipment such as pistols and hunting and sporting weapons; statistics reflect only the applications filed for export licenses. The background here is the different systematic approaches taken by the EU's Common List of Exports and the Eurostat list of goods; while obliged to report the export of war weapons, companies need not report actual exports of other military equipment. Experience shows that figures for the military equipment licensed for export are normally higher than statistics compiled for military equipment then actually exported on the basis of such licenses.

In the year under report, the total value of individual export licenses for military equipment amounted to roughly €4.2 billion (2004: some €3.8 billion). Of this amount, 61% was accounted for by EU, NATO, and countries with NATO-equivalent status, and 39% was

¹ Cf. Annex 1.

² The Military Equipment Export Reports submitted thus far have been published as Bundestag offprints (see BT-Drucksache 14/4149 for the year 1999; BT-Drucksache 14/7657 for 2000; BT-Drucksache 15/230 for 2001; BT-Drucksache 15/2257 for 2002; BT-Drucksache 15/4400 for 2003; BT-Drucksache 16/507 for 2004) and may be found on the Internet at: <http://www.bmwi.bund.de> (click onto "Außenwirtschaft und Europa," then "Finanzierung und Recht," and finally "Exportkontrolle/Embargos"). For the English versions, select "English," and then "Publications."

³ The exports of military equipment from Germany to other Member States of the European Union is designated as "consignment" (cf. Section 7(1) in conjunction with Section 4c(2) of the Foreign Trade and Payments Ordinance). In the interest of simplification, however, "consignments" are also referred to as "exports in this Report."

⁴ Developing countries and developing territories pursuant to Part I of the List of the OECD's Development Assistance Committee of January 1, 2003 without the countries featuring high and upper medium incomes (including NATO-partner Turkey, as well as Slovenia, Malaysia, and Saudi Arabia).

accounted for by third countries (2004: 72% and 28% respectively). Classic developing countries accounted for 22% of the overall value of all individual export licenses (2004: 11%).⁵ The value of the collective licenses granted for exports as part of defense cooperation between EU and NATO partners amounted to roughly €2 billion during the reporting year (2004: €2 billion).

Unlike the reports of previous years, the 2005 report contains no information concerning criminal prosecution statistics, owing to the fact that the statistical data was available at a relatively late stage and including it would have delayed publication of the report as a whole.

⁵ For details, see III. 1. a) and b) below.

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,⁶ and the Foreign Trade and Payments Act⁷ in conjunction with the Foreign Trade and Payments Ordinance.⁸ 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 2000⁹ and the criteria of the European Union's Code of Conduct on Arms Exports,¹⁰ in force since mid 1998, provided the licensing authorities during the reporting year with guidelines for the discretion given them by law. The agreement of the current German coalition (which took power on November 22, 2005) advocates continued implementation of these weapons export principles.¹¹

The Foreign Trade and Payments Act and the Foreign Trade and Payments Ordinance require the licensing of *all* military equipment. The military equipment have been listed in full in Part I Section A of the Export List (EL, Annex to Foreign Trade and Payments Ordinance).¹² They are broken down into 22 positions (No. 0001 to No. 0022) that have their own sub-divisions. Just as the EU's 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 may be found on the Wassenaar Arrangement under II. 5. of this report, and on EU under II.3).

Some of the military equipment articles falling under the Foreign Trade and Payments Act, Foreign Trade and Payments Ordinance, and Export List are simultaneously war weapons as defined by the War Weapons Control Act. They are displayed in the 62 positions of the War

⁶ 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 (as last amended by Article 2 of the Act of 6 July 1998, Federal Law Gazette, p. 1778).

⁷ Federal Law Gazette III, Number 7 400-1, last amended by Article 1 of the Act of 28 March 2006 (Federal Law Gazette I, p. 574).

⁸ Foreign Trade and Payments Ordinance in the version promulgated on 22 November 1993 (Federal Law Gazette I, p. 2493), last amended by the Ordinance of 8 April 2006 (BAnz. no. 70, p. 2647)

⁹ See Annex 1.

¹⁰ See Appendix to Annex 1.

¹¹ Line 6419: "We endorse the currently applicable weapons export provisions [...]"

Weapons List (Annex to the War Weapons Control Act)¹³ and provided in full in Part I Section A of the Export List. For the export of these weapons, a license must first be obtained under the War Weapons Control Act ("transport authorization for the purpose of export"), and then an export license pursuant to the Foreign Trade and Payments Act and Ordinance. By contrast, the export of those items of military equipment that are covered by Part I Section A of the Export List and are not war weapons (so-called "other military equipment") requires - only - a license 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 procurement transactions) 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 Defense) whose portfolio includes the treatment of war weapons are themselves responsible for the respective approvals falling within their scope of competence. The Federal Ministry of Transport, Building, and Housing is the licensing agency for certain cases of transport abroad via German vessels or aircraft (cf. Section 1 of the First Ordinance on the Implementation of the War Weapons Control Act of 1 June 1961 - Official Federal Gazette I, p. 649 - last amended by the Act of 28 February 1992 - Official Federal Gazette I, p. 376).

Under Section 6 of the War Weapons Control Act, applicants have no legal right to the issuance of a license for the export of war weapons. And licenses must be denied where there is a danger that the war weapons will be used in connection with peace-disturbing acts, obligations of the Federal Republic of Germany under international law being 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 licenses in accordance with the discretion it must exercise under the above mentioned Political Principles. Since mid 1998, the criteria of the EU Code of Conduct on Arms Exports, which is now an integral part of the updated Political Principles, is additionally used to reach such decisions.

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

¹² See Annex 2a.

external economic transactions, 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 license (Section 1 in conjunction with Section 3 of the Foreign Trade and Payments Act), unless a license may be denied because of a violation of interests protected under Section 7 Subsection 1 of the Foreign Trade and Payments Act. Section 7 Subsection 1 of the Foreign Trade and Payments Act reads as follows:

“(1) The conducting of legal business and acts in connection with external economic transactions may be confined in order to

- 1. guarantee the essential security interests of the Federal Republic of Germany*
- 2. prevent a disturbance of the peaceful coexistence of nations or*
- 3. to prevent the foreign relations of the Federal Republic of Germany from being seriously disturbed.”*

As is also the case for war weapons, the German government exercises its discretion in the issuance of export licenses in keeping with the Political Principles and EU Code of Conduct.

Responsible for granting/denying export licenses under the Foreign Trade and Payments Act and Ordinance is the Federal Office of Economics and Export Control,¹⁴ which is a subordinate agency operating under the jurisdiction of the Federal Ministry of Economics and Technology. The Federal Office of Economics and Export Control submits sensitive projects to the federal government for its assessment from a political perspective. The coalition agreement calls for the export control licensing procedure to be expedited and rendered less bureaucratic while still fulfilling existing international obligations.

The so-called advance inquiry practice has become customary in the course of the past several decades. This practice lets companies know at an early stage whether, upon agreement on a sales contract, the required export license 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 license applications.

¹³ See Annex 2b.

¹⁴ May be found on the Internet at www.bafa.de.

Advance inquiries relating to war weapons must be submitted to the Foreign Office (unlike applications for which the Federal Ministry of Economics and Technology is the licensing agency; see above); applications for other military equipment must be filed with the Federal Office of Economics and Export Control. The procedure corresponds to that of the actual license applications. Here, too, important projects are 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 is never a substitute for the export license, which is always required.

The decisions on export projects take significant account of interests relating to foreign policy, security policy, and/or the interests of the NATO Alliance. 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 Federal Ministers of Foreign Affairs, Finance, the Interior, Justice, Defense, 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 in most of the cases; the only exceptions to this rule are cases where the War Weapons Control Act strictly requires the denial of a license (cf. Section 6 Subsection 3 of the War Weapons Control Act, see 1 above), and practice shows that such cases do not figure significantly. 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.

The updated version of the Principles adopted by the federal Cabinet on 19 January 2000 introduced the following substantively new elements:

The observance of human rights is of special importance for every export decision, regardless of the potential consignee 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. And the Political Principles are more restrictive here than the EU Code of Conduct (more detail on this aspect below, under II.3.), which rules out export licenses only where a "clear risk" exists.

Following the General Section, the updated Principles, like their first version, distinguish between the group of EU, NATO, and NATO-equivalent countries (Australia, New Zealand, Japan, Switzerland) and the group of other countries (so-called third countries). For the first group of countries, licenses are to be the rule and denials the exception; for the second group, there is to be a continuation of the restrictive and reserved policy with respect to license 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 license. For other military equipment, licenses are granted only insofar as such action does not endanger the interests to be protected under foreign trade and payments statutes (Section 7 Subsection 1 of the Foreign Trade and Payments Act as cited 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 license in individual cases. This situation arises in particular where the respective security interests are also internationally significant. The defense 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 world trade, the increasing threats from piracy, narcotics trafficking, the smuggling of weapons and humans, pollution, and illegal fishing all play a role here.

The German government's "special interest" in maintaining Germany's defense industry's continued capability for cooperation in the NATO and the EU framework is expressly

highlighted, above all against the background of the development of a common European defense policy.

The factors that are taken into serious consideration in deciding whether to grant licenses for the export of arms to third countries include – apart from the human rights, which merits particular attention – the internal and external situation, as well as the extent to which the recipient's countries sustainable development might be jeopardized by disproportionate outlays on arms. Other factors come into play as well: 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 human rights, as well as in the areas of nonproliferation, military weapons, and arms control.

The more comprehensive rules place greater emphasis than was previously the case on ensuring the correct final destination and end-use.

The EU Code of Conduct was declared an "integral part" of the Political Principles.

And finally, the German government agreed to submit to the Bundestag a Military Equipment Export Report on developments and trends in respectively concluded calendar years, a commitment that is now being met by submission of this Report for the seventh successive year.

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

1. Disarmament agreements

In certain areas, policy on export controls for conventional military equipment is 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 supports all steps to facilitate worldwide recognition of these commitments

The German government's activities in this area were outlined in detail in the 2005 Annual Disarmament Report.

2. Arms embargoes

The international community has adopted a number of arms embargoes that are implemented in Germany's export policy through export bans or the non-issuance of licenses. The importance of such (arms) embargoes as a means of achieving specific policy objectives noticeably increased in the past decade.

The arms embargoes in force in 2005 are listed in Annex 3. But here have been hardly any changes relative to the year 2004 (cf. Annex 3 to the 2004 Military Equipment Export Report). Some embargoes were prolonged, the arms embargo against Bosnia and Herzegovina was lifted (in January 2006), and an embargo was imposed on Uzbekistan for the first time.

3. Common Foreign and Security Policy (CFSP) in the framework of the EU

Under the Code of Conduct on Arms Exports¹⁵ adopted by the EU Council on 8 June 1998 Member States politically committed themselves to observing certain standards in the export of conventional military equipment and dual-use goods intended for military and/or police purposes. In particular, the EU Code of Conduct lists eight criteria to be applied by Member States when deciding on individual export cases.¹⁶ Through its incorporation as Annex to the Political Principles of the Federal Government, the EU Code of Conduct has become an integral part of Germany's policy on the export of military equipment. Its operative provisions additionally oblige Member States to notify the EU partners of any exports that have been denied on the basis of the criteria set forth in the Code of Conduct; when notified of an export request denial, the EU partners are then politically required to take up consultations with the partner who issued the notification of denial if they themselves seek to authorize an essentially similar export

¹⁵ Here as Annex to the Political Principles of the Federal Government (Annex 1 to this Report). Available on the Internet at <http://www.consilium.europa.eu/uedocs/cmsUpload/08675-r2de8.pdf>.

¹⁶ For further details of the EU Code of Conduct see the 1999 Military Equipment Export Report and the Fifth Annual Report of the Council pursuant to No. 8 of the Operative Provisions of the EU Code of Conduct on Arms Exports, in particular, Annex 1 ("Compendium"), Official Journal of the European Communities No. C 328, p. 1 of 31 December 2005. <http://register.consilium.eu.int/pdf/en/05/st13/st13296.en05.pdf>.

transaction. These provisions of the Code of Conduct serve throughout the European Union to increase the transparency of the controls on exports of military equipment, further their harmonization, and foster the creation of equal terms of competition.

During the year on report, work continued on the revision of the Code of Conduct that was initiated in 2004. The revision was discussed not only amongst Member States, but also during sessions with interested parties, most notably international NGO's. The consultations at the technical level have nearly been completed, and the resulting draft revision of the Codex is a completely updated and optimized version of the document. A number of new elements are slated for integration into the Codex, which will broaden its application domain to encompass human rights, as well as expanded control over negotiation activities, transits and the realization of intangible transfers of technology, and the implementation of improved procedures aimed at harmonizing Member States' arms exports policies. The revamped Codex will also be accepted by the European Council as a Common Position, an action that the German government has been urging the Council to take for quite some time. The timing for implementation of this measure will be determined by the EU Council presidency.

The dialogue with the European Parliament, EU accession candidates, third countries that have committed themselves to applying the principles of the EU Code of Conduct, and with international NGO's was further intensified in 2005. In the interest of further harmonizing the Code's application, further work was done on the user handbook concerning administrative details of the denial procedure under the Code's operative provisions.¹⁷ Further developmental work was realized on the central EU denial database that was developed with a view to improving overall transparency. In connection with a more harmonized application of the Code of Conduct's criteria, draft guidelines aimed at making Criterion 8 operational and applying it were adopted and integrated into the handbook. Criterion 8 relates to the compatibility of military equipment exports with the technical and economic capacities of recipient countries, considering that it is desirable for countries to meet their legitimate security and defense needs with the least possible diversion of human and economic resources for armaments purposes. The relative significance of arms spending and social outlays in respective consignee countries must be reviewed in this context.

¹⁷ See <http://ue.eu.int/uedocs/cmsUpload/st14283.de03.pdf>.

Work was begun in 2005 on the development of guidelines for criteria 2 (human rights) and 7 (undesirable re-exports), and this work will be continued.

During the year under report, Germany held 48 consultations with other EU countries concerning export license denials, with a view to implementing the operative provisions of the Code of Conduct.

In 2005 the EU definitively endorsed the Common Foreign and Security Policy objective of concluding an international treaty on the arms trade, and in October, after summarizing the discussions that have been realized to date, endorsed EU support for a world treaty on the arms trade.

4. Framework Agreement concerning Measures to Facilitate the Restructuring and Operation of the European Defense Industry

On 27 July 2000 the Framework Agreement concerning Measures to Facilitate the Restructuring and Operation of the European Defense Industry was signed in Farnborough (UK) by France, Germany, Italy, Spain, Sweden, and the United Kingdom. The agreement seeks, among other things, in the case of cooperation on military equipment projects to strengthen European collaboration in the export sector, to arrive at a harmonized and ultimately common policy on military equipment exports, and to set common goals for exports to third countries. Where there is the intention of exporting military equipment to a non-signatory country in the framework of a program of cooperation on military equipment, the involved signatory countries discuss and agree on the prospective recipient countries.

In 2004, after multi-year negotiations, the signatory countries agreed on the draft of an implementation accord that outlines in greater detail the provisions for export procedure. Signatory countries have thus far issued relatively few Global Project Licenses (GPL), which are comparable to Germany's collective export licenses; a single license can cover a number of merchandise transactions between the signatory countries as part of a military equipment project. One of the reasons is that new procurement programs by the signatories have become rare or extend beyond the circle of the above named six countries, therefore making a direct application of the Framework Agreement impossible.

In the fall of 2005 the executive committee of the Framework Agreement adopted a resolution calling on the signatories to ease the process of arms transit amongst themselves by abolishing transit licenses and simply regarding as sufficient the license issued by the exporting country.

5. The Wassenaar Arrangement

The Wassenaar Arrangement¹⁸ was established in 1996 to help improve international security and stability by preventing destabilizing arms stockpiling and dual-use goods and technologies. Ideally, this is done by the greatest possible harmonization of the policies of the 40 countries that are presently signatories (most of the EU Member States and countries such as the United States, Canada, Japan, Russia, and Ukraine), above all on exports of conventional military equipment and related dual-use goods and technologies. The German government is working to ensure the expeditious accession of the new EU Member States that have thus far been part of the Wassenaar Arrangement. (Cyprus is the only country that is not yet a member). In 2005 Estonia, Latvia, Lithuania, Malta, Croatia and South Africa acceded to the Wassenaar Arrangement. 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 contains the decisive specifications for Part I Section A of the German Export List (cf. Annex 2a) and for the EU's Common List of Military Equipment (see above, 3).

The Wassenaar Arrangement provides, among other things, for the participating countries, with their significant differences in export control philosophies, to mutually inform one another of exports where major weapon systems covered by the Wassenaar Arrangement control lists are involved and where such systems have been supplied to non-participating countries. This mutual information mechanism was extended in 2003 to include the export of small arms and light weapons.

The 2005 Wassenaar Arrangement working year primarily focused on preventing terrorist groups from obtaining conventional weapons, and particularly the risk that terrorist groups might obtain man-portable air-defense systems, so-called MANPADS. The Wassenaar Arrangement has adopted guidelines that are meant to serve as terms of reference for the national standards of the

¹⁸ See <http://www.wassenaar.org>.

Wassenaar Arrangement signatories.¹⁹ In 2005 the Wassenaar Arrangement mainly focused on implementation of these standards in national practice. Germany, which does not itself export MANPADS, already meets these stricter standards through the tougher provisions of its War Weapons Control Act; measures to transpose provisions of the guidelines are not necessary.

The Wassenaar Arrangement continued to pursue its goals in 2005 by organizing an Outreach to Industry seminar that was aimed at representatives of the arms industry in the Wassenaar Arrangement countries, as well as government officials, academics, and representatives of NGO's. The Wassenaar Arrangement's outreach activities are slated for expansion in 2006. The challenges now facing the Wassenaar Arrangement include initiating a dialogue with non-Wassenaar Arrangement signatories, and expanding the scope of collaboration among Wassenaar Arrangement members. Germany is actively working toward this goal in concert with EU and NATO member states, particularly step-by-step harmonization of the WA signatory countries' national military equipment export policies and practices. Germany's main Wassenaar Arrangement related work currently involves the development of more efficient and reliable monitoring and implementation procedures that will ensure that exported military hardware arrives and remains at its intended destination.

6. UN Register of Conventional Arms

UN Member States are required to report the export (and import) of weapons that are subject to notification (major weapon systems) to the UN Conventional Arms Register;²⁰ only unit quantities and not values are registered²¹. For the year 2005, the Federal Republic of Germany reported the export of the following war weapons to the UN Conventional Arms Register²²:

Country	Item	Quantity
Greece	Leopard 2 main battle tank	18
Denmark	Leopard 2 main battle tank	23
Spain	Leopard 2 main battle tank	22

¹⁹ See http://www.wassenaar.org/2003Plenary/MANPADS_2003.htm.

²⁰ See <http://disarmament.un.org:8080/cab/register.html>.

²¹ The weapons are classified into the following seven categories: battle tanks, other armored combat vehicles, artillery systems caliber 75 mm and above, combat aircraft, attack helicopters, warships with a standard displacement of 750 metric tons and above or armed with missiles or torpedoes with ranges of at least 25 km, and missiles and missile launchers with a range of at least 25 km.

²² See Annex 4.

Lithuania	M113 armored personnel carrier	67
Austria	Dingo 2 all protected vehicle	17
Estonia	Field howitzers	4
France	110 mm rocket launcher	7
Lithuania	M113 mortar carrier	30
South Africa	Class 209 submarine	1
Tunisia	Class 143 fast patrol boat	6
Uruguay	Class 701 tanker	1
Slovakia	Non-guided MLRS rocket	132

7. International discussion on small arms and light weapons

Events since the second World War have shown that in many armed conflicts and civil wars the far greatest share of human casualties have been caused by the use of small arms and light weapons (e.g. submachine guns assault rifles, light mortars, etc.) and the associated ammunition.²³ This problem is chiefly found in developing countries, where small arms can often be procured inexpensively and illegally through internationally operating arms brokers. The German government is therefore working at the international level toward an efficient prevention of the illegal proliferation of such weapons. With respect to the legal export of small arms, the German government advocates strict and efficient controls. Its goal is - for example in the framework of the OSCE Small Arms Document²⁴ which was adopted in November 2000, and the UN Action Program of the UN Conference on the Illicit Trade in Small Arms and Light Weapons in All Its Aspects which was adopted in November 2000, and the UN Action Program of the UN Conference on the Illicit Trade in Small Arms and Light Weapons in All Its Aspects²⁵ - the achievement of concrete results with the strongest possible obligations binding the participating countries to take action. Germany's annual report is widely regarded as a model within the framework of information exchange pursuant to the OSCE Small Arms Document.

²³ Concerning the terms *small weapon* and *light weapon*, see III. 1. h).

²⁴ OSCE Document on Small Arms and Light Weapons of 24 November 2000 (located on the Internet at <http://www.osce.org/docs/german/fsc/2000/decisions/fscgw231.htm>); cf. also the 2000 Military Equipment Export Report, II.7.

²⁵ A/CONF. 192/15; see http://disarmament2.un.org/cab/smallarms/files/aconf192_15.pdf.

The discussion conducted in various international bodies on the small arms problem continued in 2005,²⁶ during which Germany's UN activities mainly focused on the elaboration of an international small arms marking and tracing system, which Germany has strongly advocated should include munitions as well as arms. In June 2005 a UN open-ended working group adopted a draft international instrument to enable States to identify and trace, in a timely and reliable manner, illicit small arms and light weapons. The goal of making this a legally binding requirement (as has been advocated by Germany and other countries) was not achieved. The instrument was adopted by the General Assembly in December 2005.

At the national level Germany conducts a restrictive export control policy for 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 licenses for the export of war weapons to third countries may be issued only by way of exception and only for special reasons. In the export of technology and production equipment, there is the fundamental rule that no licenses 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 weapons that are to be replaced by the new consignment, rather than reselling them. Moreover, insofar as possible, the exporter is to require the consignee in a third country in new supply contracts to destroy the weapons supplied in the case of a later removal from use. The initial practical implementations have occurred, whereby both exporters and recipients have made an active contribution to reducing the numbers of weapons available worldwide. Germany and, in particular the Bundeswehr, destroys surplus small arms.

Finally, licenses 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 implemented would go a long way toward limiting the illegal spread of small arms.

²⁶ On the small arms problem, cf. also No. VII.1. of the 2005 Annual Disarmament Report

8. Outreach activities

A consensus has formed among the various countries with established export control systems (especially EU, NATO, NATO equivalent countries, and WA signatories) that it is worthwhile to approach other countries (so-called "outreach" efforts), promote the objectives and means of export controls, and possibly also offer support in developing export controls. One of the major focuses here are 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.

III. Licenses for Military Equipment and the Export of War Weapons

The following is an outline of licenses granted for military equipment exports in 2005; actual exports are also listed for the sub-sector war weapons. The outline is complete insofar as 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)²⁷ compiles a list of the export licenses granted for all military equipment (war weapons and other military equipment). The figures for reporting year 2005 are displayed under 1. and outlined in further detail in Annex 5.

Statistics on actual exports of military equipment are presently recorded only for the sub-sector "war weapons." Item 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 licenses issued and, in a more general manner, on licenses denied; however, it presents no information in connection with decisions on advance inquiries made during the reporting year concerning respective export projects' eligibility for licenses. 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 of their submission, there is no

²⁷ See <http://www.bafa.de>.

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 licenses (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.

It is only possible to offer general information on denied requests since the possibility of the Military Equipment Export Report serving as an information source for prospective business deals in countries with different export control policies must be prevented (this naturally applies to a particular extent for advance inquiries).

1. Licenses for military equipment (war weapons and other military equipment)

Annex 5 presents an outline of military equipment licenses granted and/or denied in 2005,²⁸ 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 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 in accordance with the EU Code of Conduct, a corresponding remark is noted together with the reason for denial (number of the respective criterion in the Code of Conduct).

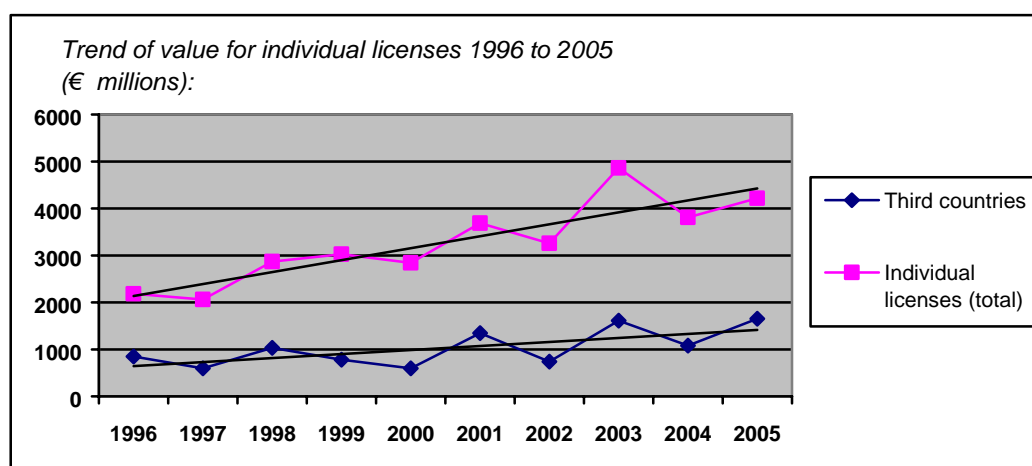
The figures presented in columns 2 to 4 relate to export licenses issued. Experience shows that actual export values are significantly lower than these license values. The reason is that licenses

²⁸ Goods in Part I Section A of the Export List, Appendix AL to the Foreign Trade and Payments Ordinance, attached here as Annex 2a to the Report.

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

a) Individual licenses

In 2005 a total of 11,855 individual license applications for the final²⁹ export of military equipment were approved in Germany (year earlier: 11,318). The total value of these licenses, not that of actual exports, was €4,216 million. This was an increase from 2004 (€3,807 million) of some 11%. Individual licenses for countries designated in No. II of the Political Principles of 19 January 2000 (EU Member States, NATO and NATO equivalent countries) accounted for €2,560 million of this amount, representing an approximately 6% decrease relative to the previous year. Licenses for goods with end-use in EU Member States achieved a total value of €1,440 million, and licenses for goods with end-use in NATO or NATO equivalent countries (not including EU countries) a total value of €1,120 million (each without collective export licenses). The license value for exports to third countries amounted to €1,656 million and have thus increased markedly relative to the previous year (€1,080 million).

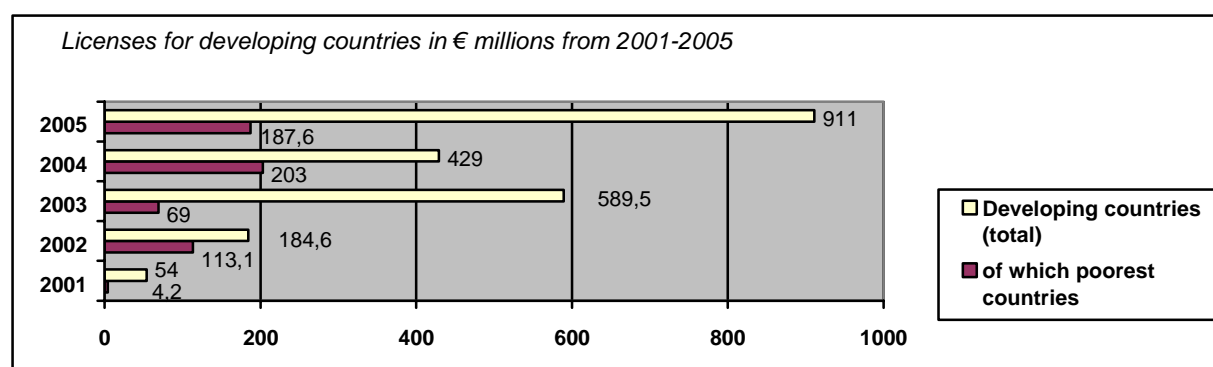


The above chart shows that the license values for the group of third countries have fluctuated rather sharply around a rather constant low average since 1996 (compare the trend lines in the chart) and have shown only a slight overall increase.

²⁹ Licenses of temporary exports, e.g. for fairs, exhibitions, and/or demonstration purposes, are not included.

For final exports of military equipment to developing countries³⁰ a total of 767 individual licenses valued at €911 million (approximately 21.6% of the value of aggregate German individual licenses for military equipment) were issued in 2005, a considerable increase over 2004, for which the figures were €429 million and 11.3% of the value of the individual licenses granted. The following countries accounted for 94.8% of the licenses granted: South Africa (67.4%, virtually all of which was for corvette parts and submarines); Pakistan (11%, mainly marine equipment and accessories); India (5.5% for electronics, vehicle parts and marine equipment); Tunisia (3.6%, for fast patrol boats); Iraq (2.7%, for cross-country and other types of vehicles); Indonesia (2.6%, virtually all of which was for marine equipment); and Algeria (2%, mainly for a mobile field hospital). The goods categories of the licenses issued are shown in Annex 5.

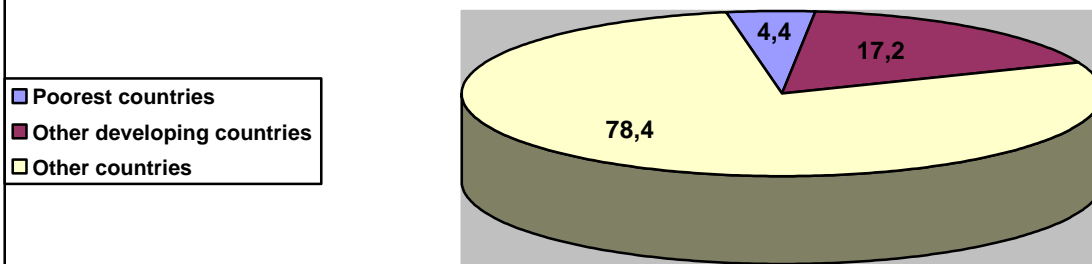
The value of licenses for the group of the poorest and other developing countries with low incomes³¹ declined in 2005 relative to the previous year. Licenses were issued in particular for Pakistan (€99.7 million), India (€51 million), and Indonesia (€24.9 million), altogether making up some 93% of the licensed values for this group of countries. The total share of this group of countries amounted to €187.6 million (2004: €203 million) or roughly 4.4% (2004: 5.3%) of the value of all individual export licenses for military equipment in 2005. Exports to low-income countries thus played only a subordinate role.



³⁰ For the term “developing countries,” see footnote 4.

³¹ Poorest and other developing countries and areas with low incomes pursuant to Part 1 of the OECD's DAC List for 2003.

Developing countries' % share of total value of licenses issued in 2005:

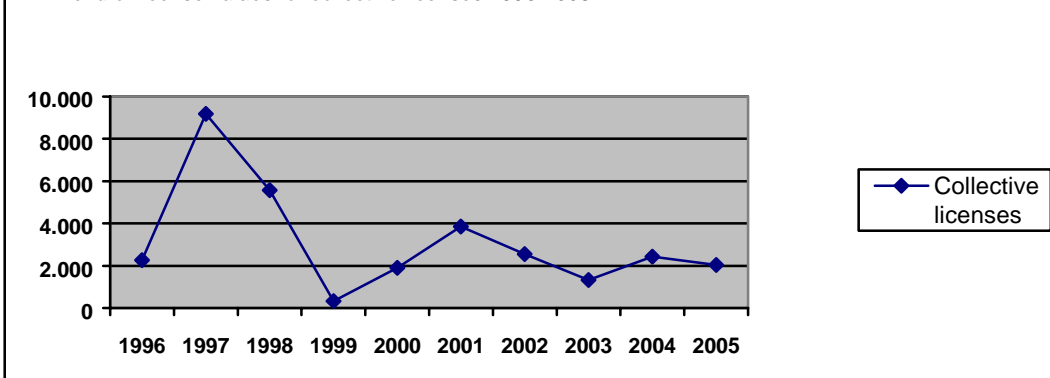


b) Collective export licenses

In addition to the above, 109 collective export licenses were issued in the total amount of approximately €2 billion in 2005 (2004: roughly 119 worth some €2.4 billion), on the basis of which the companies were able to undertake several exports to the same or various consignees abroad (above all as part of collaboration on official government cooperation projects).

Collective export licenses are granted in principle exclusively for exports to NATO and NATO equivalent countries.

Trend of license values for collective licenses 1996-2005:



Collective export licenses issued under cooperation programs are valid for two years; this results in fluctuations in the annual figures.

The values shown on the applications reflect applicants figures for their anticipated needs in the license period. Since varying use is made of these values, which are licensed as maximum

amounts, the aggregate figure for collective-export-license values is strongly subject to annual fluctuations and has only limited validity as a barometer of Germany's export policy.

The collective export license served as a model for the creation of the Global Project License (mentioned under II.4), which was established to facilitate European cooperation on military equipment.

c) Export license denials

In 2005, 58 applications for military equipment exports were denied. The total value of the denials came to €8.1 million. The figure does not include applications withdrawn by applicants prior to notification because of poor prospects of success.

The relatively small ratio of formally denied applications is chiefly to be explained by the fact that, prior to the submission of a license request, applicants seeking to export to sensitive destinations make a formal or informal inquiry with the control authorities about their applications' prospects. Where the response to the inquiry is negative, a formal application is filed only in extremely rare cases, and the subsequent denial is then included in the attached statistical overview. As a rule, applications appearing to have no prospects of success are not submitted.

Applications for the final export of arms concerned the following countries in 2005: Bulgaria, Romania, Turkey, Andorra, Bolivia, Chile, China, Honduras, India, Iraq, Iran, Israel, Cameroon, Kirgizistan, Croatia, Kuwait, Morocco, Pakistan, the Philippines, Russia, Zambia, San Marino, Serbia and Montenegro, Singapore, Sri Lanka, South Africa, Ukraine, Uzbekistan, Vietnam and Hongkong.

d) Most important countries of destination

The 20 most important countries of destination for which individual export licenses were granted in 2005:

No. ³²	Country	Value 2005 in € millions	Description of articles ³³
1 (1)	USA	630,7	<p>NBC protective clothing, decontamination equipment, and Parts for NBC protective equipment, decontamination equipment, technology for detection equipment (A0007/22.6%);</p> <p>Air cushioned vehicles (ACV), cross-country vehicles, trucks and Parts for tanks, armored vehicles, amphibious vehicles, and cross-country vehicles (A0006/11.0%);</p> <p>Production equipment for explosive stores, shafts, rifle parts, handweapon parts, grenade launcher parts, ammunition belt loaders, infrared detector parts, measuring and testing equipment, environmental testing devices (A0018/9.8%);</p> <p>Rifles with war weapons list numbers; revolvers, pistols, sniper rifles, machine guns, hunting rifles, sporting rifles, sporting weapons, silencers, gun mountings, weapon sights; and parts for rifles with and without war weapons list numbers, revolvers, pistols, submachine guns, machine guns, hunting weapons, sporting weapons, silencers, gun mountings, weapon sighting units (A0001/8.1%)</p> <p>Demilitarized combat aircraft, helicopters, training aircraft, museum aircraft, engines, airborne equipment, ground equipment; and parts for combat aircraft, combat helicopters, aircraft, engines, airborne equipment, ground equipment, parachutes (A0010/7.7%)</p> <p>Armor plates, shrapnel mitigation plates, helmets, ballistic body vests, flak vests; and parts for flak vests (A0013/7.0%);</p> <p>Ammunition for rifles, hunting weapons, sporting weapons, revolvers, pistols, machine guns, canons, decoy launching systems, recoilless weapons and Ammunition parts for the following: hunting weapons, sporting weapons, machine guns, submachine guns, howitzers, cannons, mortars, grenade launchers (A0003/6.4%)</p>

³² List position of previous year in brackets.

³³ Presented are the types of the chiefly involved military equipment for the respective country with the corresponding Export List item numbers and the respective share of the total value of military equipment licensed for export to the country. The share of the listed EL items amounts to at least 80% of the licensed exports for the respective country of destination.

			<p>Communication equipment, navigation systems, measurement and testing equipment, assemblies, and Parts for electronic equipment, communication equipment, navigation systems, radar systems, guidance systems, detection equipment, data processing equipment, controller equipment, electricity supplies (A0011/6.2%)</p> <p>Manual signaling rockets, simulators, handling equipment, mine clearance systems and Parts for grenades, rockets, missiles, simulators, mine destruction systems (A0004/5.2%)</p>
2 (8)	South Africa	614,0	Submarines and parts for corvettes and submarines (A0009/96.6%)
3 (16)	United Arab Emirates	316,1	NBC detection tank, trucks and Parts for tanks, armored self-propelled howitzers, armored vehicles, and trucks (A0006/87.0%);
4 (9)	Greece	255,8	<p>Guided missiles, launchers for homing devices, illuminating cartridges and Parts for torpedoes and guided weapons (A0004/49.2%);</p> <p>Explosive device firing systems and cannon parts (A0002/24.7%)</p> <p>Cross-country vehicles and parts for tanks, armored vehicles, and trucks (A0006/8.6%);</p>
5 (5)	France	219,5	<p>Helicopter engines, on-board equipment, ground equipment, and parts for combat aircraft, combat helicopters, other aircraft, engines, on-board equipment, breathing equipment (A0010/70.8%);</p> <p>Forged, cast and unfinished components (0016/7.3%);</p> <p>Communication equipment, stabilization systems, navigation systems, guidance systems, reconnaissance systems, data processing equipment, measurement and testing equipment, assemblies, and parts for electronic equipment, communication equipment, detection systems, navigation systems, stabilization systems, guidance systems, and data processing equipment (A0011/5.5%)</p>
6 (13)	Turkey	213,1	<p>Cross-country vehicles and parts for tanks, armored vehicles, and trucks (A0006/73.7%);</p> <p>parts for submarines, patrol boats, minesweepers, and echo sounders (A0009/15.5%)</p>

7 (2)	The Netherlands	202,5	<p>Detection armored vehicles, trucks, fuel trucks, dump trucks, fire engines, ambulances, automobile cranes, cross-country vehicles, semi-trailers, tractors, trailers, and parts for tanks, armored vehicles, armored recovery vehicles, ground vehicles (A0006/41.3%);</p> <p>Ammunition for rifles, submachine guns, anti-tank weapons, rocket-launcher bodies, recoilless weapons, grenade launcher, and parts for gun ammunition, cannon ammunition, mortar ammunition, and ammunition for recoilless weapons (A0003/16.2%);</p> <p>Technical documents for handweapon parts, recoilless weapons, explosive stores, anti-aircraft systems, laser range finders, periscope systems, tank hull casings, turret housings, automobile parts, lighting devices, radar system parts, electronic assemblies, maintenance documentation, development documentation, feasibility studies, and manufacturing equipment for sonar trailing antennas (A0022/10.4%);</p> <p>Forged, cast and unfinished components (0016/8.7%);</p> <p>Anti-tank weapons, grenade launchers, weapon sighting units, and parts for grenade launchers (A0002/6.8%)</p>
8 (6)	Spain	161,7	<p>Parts for tanks, armored vehicles and ground vehicles (0006/58.4%);</p> <p>On-board equipment, pilot pressure suits, and parts for combat aircraft, combat helicopters, other aircraft, engines, engines, and on-board equipment (A0010/20.3%);</p> <p>Explosive device firing systems, grenade launchers and cannon parts (A0002/6.3%)</p>
9 (4)	United Kingdom	123,7	<p>Parts for combat aircraft, aircraft, engines, on-board equipment, and ground equipment (A0010/30.4%);</p> <p>Ammunition for canons, anti-tank weapons, grenade launchers, and ammunition parts for the following: howitzers, cannons, mortars, anti-tank weapons, and grenade launchers (A0003/19.4%);</p> <p>Trucks, backhoe loaders, all-terrain forklifts, cross-country vehicles, and parts for tanks, armored vehicles, amphibious vehicles, and ground vehicles (A0006/12.0%);</p>

			<p>Electronic equipment, communication equipment, MILDS systems, data processing systems, measurement and testing equipment, assemblies, components, and parts for electronic equipment, communication equipment, navigation systems, stabilization systems, electronic warfare equipment, data processing equipment, electricity supplies (A0011/7.8%)</p> <p>Forged, cast and unfinished components (0016/5.0%);</p> <p>Smoke hand grenades, simulators, missile launchers for anti-tank weapons, and parts for rockets, missiles, simulators and marine minesweeping systems (A0004/4.2%);</p> <p>Equipment for signature suppression, camouflage paint, camouflage paint components, and parts for diving equipment and bridges (A0017/3.8%)</p>
10 (-)	Singapore	120,3	<p>Cross-country vehicles, bridge systems, trucks, and parts for tanks, armored vehicles, amphibious bridge and ferrying vehicles, solid folding bridges, bridge layers, and trucks (A0006/96.0%)</p>
11 (20)	Finland	118,4	<p>Smoke throwers, guided weapons, launchers for anti-missile rockets, launchers for guided weapons; and parts for guided weapons and illuminating cartridges (A0004/37.3%);</p> <p>Trucks, cross-country vehicles, and parts for tanks, armored vehicles, and ground vehicles (A0006/31.1%);</p> <p>Technical documents for silencers, infrared smoke cartridges, navigation systems, mortar turret, bridge layers, measuring instruments, multisensor tracking systems; and ammunition shell manufacturing documents (A0022/17.3%)</p>
12 (3)	Italy	113,0	<p>Parts for tanks, armored vehicles and ground vehicles (A0006/30.0%);</p> <p>Laser range finders, binoculars, measuring and testing systems, and parts for fire control systems, onboard weapon control systems, and target surveillance and tracking systems (A0005/12.8%);</p> <p>Forged, cast and unfinished components (0016/10.9%);</p> <p>Night vision equipment, thermal imaging cameras, and parts for infrared and thermal imaging equipment</p>

			<p>(A0015/8.1%);</p> <p>On-board equipment, anti-G pants, parachute systems, and parts for combat aircraft, other aircraft, engines, and on-board equipment (A0010/6.6%);</p> <p>Tank plates, helmets, ballistic body vests, and parts for ballistic body vests (A0013/5.8%);</p> <p>Pyrotechnic ammunition, smoke grenades, submunition, and parts for torpedoes, rockets, missiles, and pyrotechnic ammunition (A0004/5.0%);</p> <p>Communication equipment, navigation systems, data processing systems, measurement and testing equipment, assemblies, parts, and parts for electronic equipment, communication equipment, detection systems, navigation systems, stabilization systems, guidance systems, data processing equipment, and electricity supplies (A0011/4.8%)</p>
13 (-)	Pakistan	99,7	<p>Torpedoes, torpedo equipment and parts (A0004/61.5%);</p> <p>Torpedoes and torpedo firing simulators, sonar simulators, and parts for torpedoes and torpedo firing simulators (A0014/21.0%);</p>
14 (15)	Malaysia	92,8	<p>Simulators for vessel navigation systems, command information centers and machine installations (A0014/32.4%)</p> <p>Electronic equipment, communication equipment, navigation equipment, direction-finding antennas, data processing equipment, and parts of communication and navigation equipment (A0011/29.2%);</p> <p>Parts for tanks, armored vehicles and bridge laying vehicles (A0006/24.8%);</p>
15 (18)	Norway	79,0	<p>Gun laying equipment, targeting systems, testing and adjustment equipment, and parts for fire control systems, weapon sighting units, gun laying equipment, targeting systems, target surveillance and tracking systems, testing and adjustment equipment (A0005/57.5%);</p> <p>Electronic equipment, communication equipment, measuring and testing equipment, and parts for electronic equipment, communication equipment, navigation systems, radar systems, altimeters, and data processing equipment (A0011/19.5%)</p>

			Ammunition for rifles, hunting weapons, sporting weapons, revolver, pistols, and grenade launchers, and ammunition parts for the following: hunting weapons, sporting weapons, revolvers, pistols, machine guns, cannons, mortars, and grenade launchers (A0003/7.6%)
16 (10)	Korea, Republic	76,9	<p>Parts for tanks, armored vehicles, and recovery vehicles and trucks (A0006/54.6%);</p> <p>Stands for azimuth/standard compasses, and parts for frigates, submarines, landing boats, hovercraft, towing apparatuses, sonar equipment, echo sounders, command and control systems (A0009/15.9%);</p> <p>Electronic equipment, communication equipment, radio direction finder and monitoring systems, land navigation systems, measuring and testing systems, and parts for electronic equipment, communication equipment, navigation systems, and radio/electronic reconnaissance units (A0011/9.2%);</p> <p>ammunition for anti-tank systems, shotguns, submachine guns, and parts for canon ammunition (A0003/5.6%);</p>
17 (12)	Canada	72,5	<p>Cross-country vehicles and parts for tanks, armored vehicles, and recovery vehicles (A0006/77.5%);</p> <p>NBC protective clothing, decontamination equipment, and parts for NBC protective clothing and decontamination equipment (A0007/7.3%)</p>
18 (14)	Switzerland	60,1	<p>Ammunition for rifles, hunting weapons, sports weapons, revolver, submachine guns, cannons grenade launchers, and ammunition parts for the following: rifles, hunting weapons, sporting weapons, revolvers, pistols, submachine guns, machine guns, guns, howitzers, cannons, and grenade launchers (A0003/34.2%)</p> <p>Communication equipment, command and control systems, information, measuring and testing equipment, and parts for electronic equipment, communication equipment, navigation systems, electronic warfare, and data processing systems (A0011/21.4%)</p> <p>Cross-country vehicles and parts for tanks, armored vehicles, and ground vehicles (A0006/12.8%);</p>

			Forged and unfinished components (A0016/7.0%) Gun laying equipment, testing and adjustment equipment, and parts for fire control systems, weapon sighting units, gun laying equipment, target range finders, target surveillance and tracking systems, detection systems, testing and adjustment equipment (A0005/6.2%);
19 (-)	Poland	54,0	Gun laying equipment and parts for gun laying equipment (A0005/65.3%); Trucks, trailers, and parts for tanks, armored vehicles, and ground vehicles (A0006/10.5%); Image enhancement equipment, surveillance systems, and parts for thermal imaging equipment (A0015/8.0%);
20 (-)	Denmark	53,3	Mine clearing equipment, cross-country vehicles, and parts for tanks, armored vehicles, and ground vehicles (A0006/48.1%); Ammunition for canons, rifles, grenade launchers, and parts for canon and howitzer ammunition (A0003/19.4%); Sonar equipment and parts for sonar equipment (A0009/11.1%); Forged and unfinished components (A0016/5.1%)

The fluctuations in country ranking (for example, in the case of Singapore, Italy, and United Arab Emirates) result from the pronounced differences from year to year in the occurrence of orders eligible for export licenses

The continued high values for South Africa were almost exclusively the result of approvals for the supply of corvette parts and submarines that were included in last year's report. These licenses, which stand out in terms of value, also had a particularly strong influence on the figures for third countries.

e) Individual export licenses broken down by Export List items

The individual export licenses issued in 2005 are broken down into the 22 EL Items as follows (the figures for 2004 are shown in parentheses):

EL item	Description of item ³⁴	Number	Value (€millions)
A 0001	Small firearms	3,177 (3,339)	115.6 (181.4)
A 0002	Large caliber weapons	220 (214)	118.4 (114.6)
A 0003	Ammunition	986 (968)	176.3 (139.0)
A 0004	Bombs, torpedoes and missiles	224 (253)	337.6 (108.0)
A 0005	Fire control systems	351 (251)	163.0 (150.3)
A 0006	Wheeled and tracked military vehicles	1,936 (1,693)	1,217.2 (1,094.1)
A 0007	Equipment for NBC defense, irritants ("tear gas")	318 (290)	184.7 (167.3)
A 0008	Explosives and fuels	617 (527)	23.0 (17.3)
A 0009	Naval vessels	321 (321)	752.9 (364.1)
A 0010	Military aircraft / aircraft technology	560 (505)	327.6 (258.0)
A 0011	Military electronics	1,022 (1,012)	215.2 (776.5)
A 0013	Ballistic protection equipment	348 (328)	73.6 (40.9)
A 0014	Training and simulator equipment	89 (88)	95.8 (56.9)
A 0015	Infrared / thermal imaging equipment	162 (143)	49.1 (73.1)
A 0016	Semi-finished parts for the production of certain items of military equipment	636 (593)	108.0 (121.8)
A 0017	Miscellaneous equipment	335 (383)	58.0 (22.1)
A 0018	Manufacturing equipment for the production of military articles	444 (403)	87.7 (26.2)
A 0019	HF weapon system	1 (1)	0.1 (0.5)

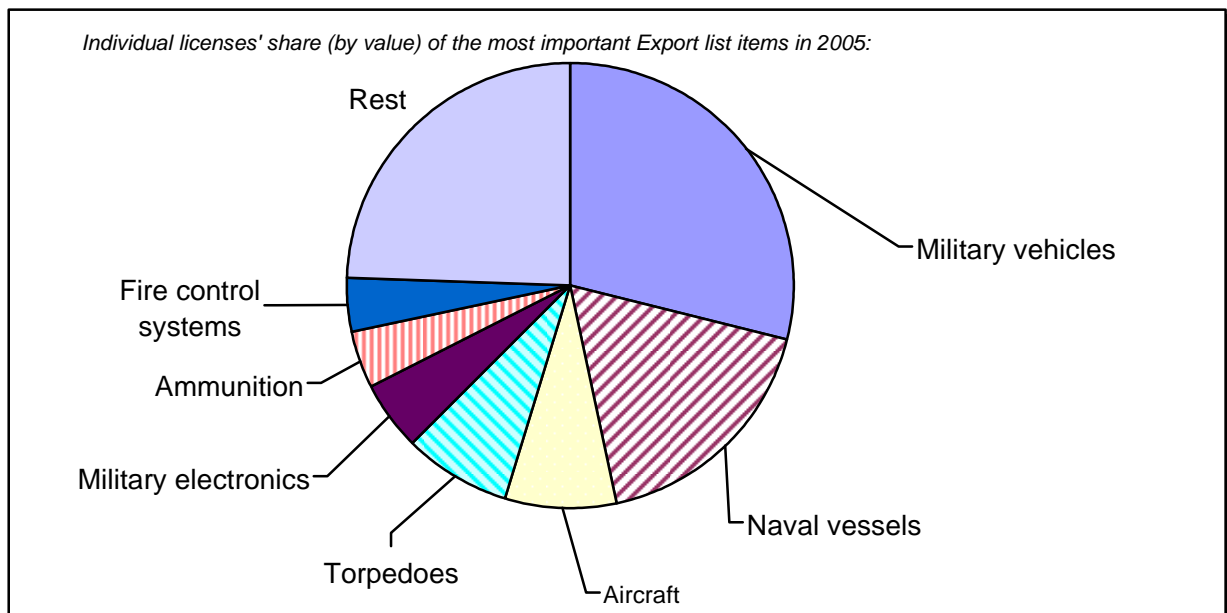
³⁴ For detailed descriptions of these items, see Part I Section A Annex 2a of the Export List in the present report.

A 0021	Military software	206 (167)	15.4 (15.8)
A 0022	Technology	473 (387)	97.0 (78.9)
Total ³⁵		12,426 (11,866)	4215.9 (3806.7)

The table shows that, *in terms of value*, licenses issued for the export of military equipment in 2005 again focused on wheeled and tracked military vehicles (share of total value: 28.9%). The second most important item were naval vessels (17.9%). The next items, far behind in ranking, are bombs, torpedoes and missiles (8.0%), military aircraft (7.8%) and military electronics (5.1%).

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-defense weapons, which are much more important in terms of license values; more detailed information on this point is available below, under h).

The share accounted for by the most important categories may be illustrated as follows:



³⁵ The addition of the number of individual licenses by positions A 0001 to A 0022 yields a higher value than the total number of individual licenses since some of the applications are split among several positions and are therefore counted two or more times and in the individual positions in this table.

f) Export licenses from 1996 to 2005

The following table compares the values (€millions) of the licenses issued in the years 1996 to 2005 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. Annex 5 offers an outline by individual country. The 1996-2005 time frame has been selected because the statistical data base of the Federal Office of Economics and Export Control did not make a comparison by country groups possible until 1996.³⁶

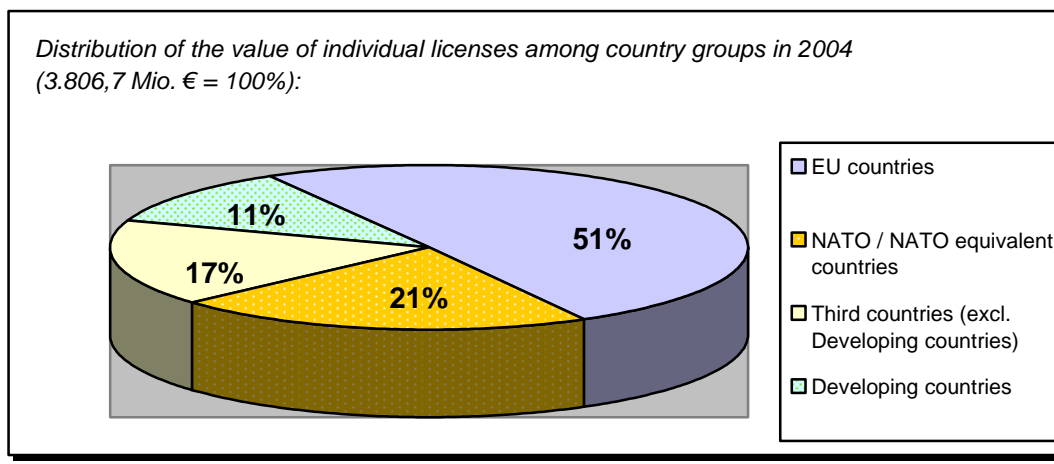
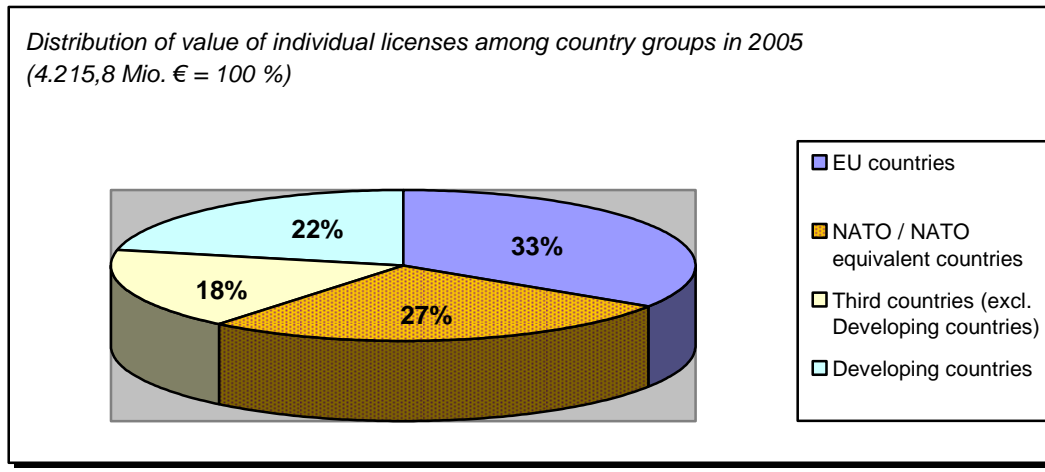
Year	EU countries (€millions)	NATO or NATO equivalent countries (without EU countries) (€millions)	Third countries (€millions)	Individual export licenses (total €millions)	Collective export licenses (total³⁷ €millions)
1996	615.2	720.2	850	2185.4	2271
1997	731.8	732.7	596.1	2060.6	9189.7
1998	632.3	1208	1033	2873.7	5577.8
1999	701.8	1542.8	781.6	3026.1	334.7
2000	1283.8	963.5	599.7	2846	1909.1
2001	1329.7	1010.6	1345.8	3686.1	3845.3
2002	1363.5	1149.5	744.6	3257.6	2550.6
2003	1892.0	1359.2	1613.0	4864.2	1328,0
2004	1915,8	810.7	1080.2	3806.7	2437.1
2005	1440.3	1120,0	1655.5	4215.8	2032.8

The two following illustrations compare the values accounted for by the various country groups for the years 2004 and 2005. Pursuant to the Political Principles, the EU, NATO, and NATO

³⁶ For the purpose of statistical comparability, the values of production documents for military equipment (1999: € 95.3 million and 2000: €14.9 million) would have to be added even though they are not military equipment within the meaning of the Export List.

³⁷ Cf. III.1.b. on the limited meaningfulness of sharply fluctuating annual values of collective export licenses.

equivalent countries can more or less be regarded as a block since they are treated in largely the same manner with regard to the export of military equipment.



g) War weapons' share of licensed values in 2005

The license values shown under f) consistently related to articles from Part I Section A of the Export List, thus to all military equipment including war weapons. By contrast, the following identifies war weapons' share of overall values for individual licenses in 2005. Individual licenses for the export of war weapons add up to a total of €1319 billion, thus approximately 31% of the total for overall individual licenses (the figures for 2004 were €677 million and 18%). The following table displays - broken down by country - total licenses issued in 2005 for

the export of war weapons to third countries (the totals for the prior year were €152 million and 80 licenses):

Country	Value in €	Individual licenses for war weapons
Afghanistan	76,610	2
Argentina	68,500	1
Aruba	14,040	1
Brazil	79,980	3
Burundi*	13,716	1
Chile	5,555,427	3
Ivory Coast*	28,575	1
Fiji	30,000	1
Haiti*	20,574	1
Hongkong	1,150	1
India	2,105,573	6
Indonesia	5,158,922	4
Iraq*	61,048	1
Jordan	590,425	4
Kazikstan	4,752	1
Qatar	2,311,792	3
Colombia	6,120	1
Korea, Republic	5,633,644	5
Croatia	122,284	2
Kuwait	125,510	2
Liberia*	22,860	1
Malaysia	45,760	2
Mexico	496,515	3
Oman	4,425	1
Pakistan	61,359,000	1
Philippines	40,920	1
Saudi Arabia	3,427,500	2
Singapore	99,860	2
Sudan*	22,306	1
South Africa	540,082,720	3
Taiwan	2,600	1
Thailand	1,934,443	7
Tunisia	32,500,000	1
Uruguay	700,000	1
United Arab Emirates	270,279,502	12
Total	933,027,053	83

*For a UN mission

The license values for the war weapons under consideration here by no means reflect the export values for war weapons named in Section III. Since licenses are generally valid for one full year, they are often not used by the end of the calendar year of issuance but only in the following

calendar year. It also happens that, although a license 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.

h) Individual licenses for the export of small arms from 1996 to 2005

In view of the continuing special problems associated with the destabilizing effects of small arms accumulations in crisis areas,³⁸ the German government is additionally reporting, just as last year, on individual licenses issued from 1996 to 2005 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 portion of the small firearms covered under EL number 0001 (see section e, above). The values shown in the following tables A to C are therefore already included in the statistics under 1.a) to g) and in the values presented under Annex 5.

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 definition³⁹ and the EU's small arms definition⁴⁰ provide somewhat of a model. Both definitions take the lead from the internationally used term "small arms and light weapons" and distinguish between small arms (basically military small firearms) and light weapons (in particular, 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 defense (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."

³⁸ Cf. II.7.

³⁹ Cf. the OSCE document on small arms, footnote 21.

⁴⁰ See Appendix of the Joint Action of 12 July 2002 on the European Union's Contribution to Combating the Destabilizing Accumulation and Spread of Small Arms and Light Weapons (2002/589/CFSP). For more details: Fourth Annual Report on the implementation of the EU 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), p. 1.

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 anti-tank guns; recoilless rifles; portable launchers of anti-tank missile and rocket systems; portable launchers of anti-aircraft missile systems; and mortars of calibers less than 100mm."

The above cited Joint Action of the EU distinguishes 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)*

(b) Man or crew-portable light weapons:

- cannon (including automatic cannon), howitzers, and mortars of less than 100mm caliber*
- grenade launchers*
- anti-tank weapons, recoilless guns (shoulder-fired rockets)*
- anti-tank missiles and launchers*
- anti-aircraft missiles / man-portable air defense systems (MANPADS)."*

Using the EU's small arms definition, the following tables show the value of licenses for the export of submachine guns, machine guns, automatic and semi-automatic weapons, smooth-bore military weapons, weapons for caseless ammunition and parts for such weapons (Table A),⁴¹ and of licenses for the export of ammunition for guns, submachine guns, and machine guns and parts for such ammunition (Table C)⁴² in the years from 1996 to 2005.

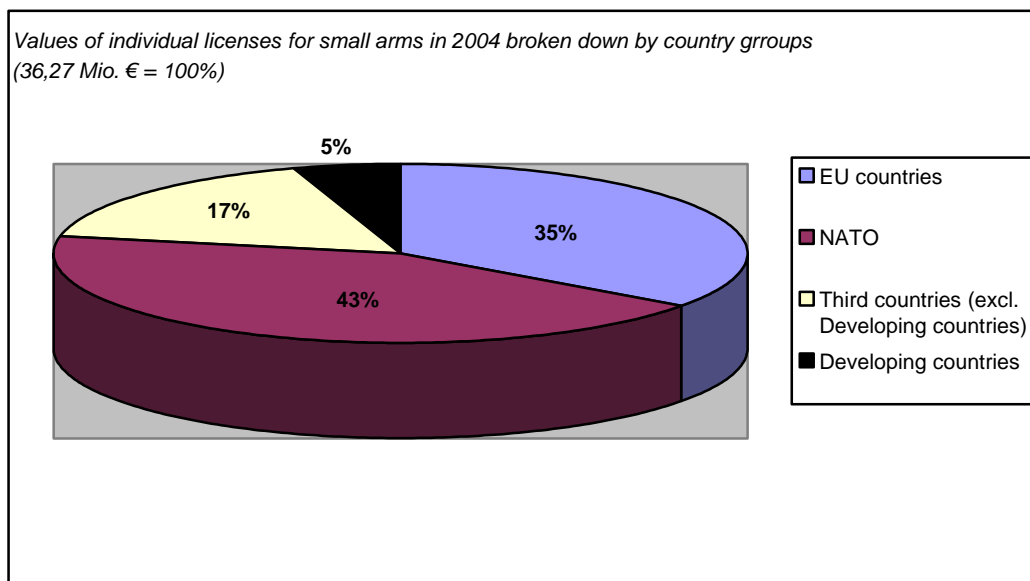
⁴¹ Excluding hunting and sporting weapons.

⁴² Excluding ammunition for hunting and sporting weapons.

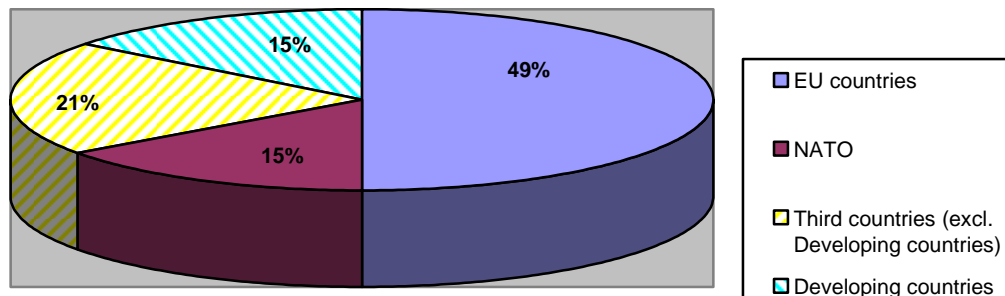
Table A: Individual Licenses for the Export of Small Arms – Values in €Millions

Year	EU countries	NATO / NATO equivalent countries (without EU countries)	Third countries	Individual licenses (total)
1996	0.89	2.60	1.87	5.36
1997	5.60	4.11	6.24	15.95
1998	2.09	14.68	6.57	23.34
1999	10.14	6.38	4.74	21.26
2000	4.97	3.58	0.27	8.82
2001	24.57	6.62	7.43	38.62
2002	45.31	12.09	4.20	61.6
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

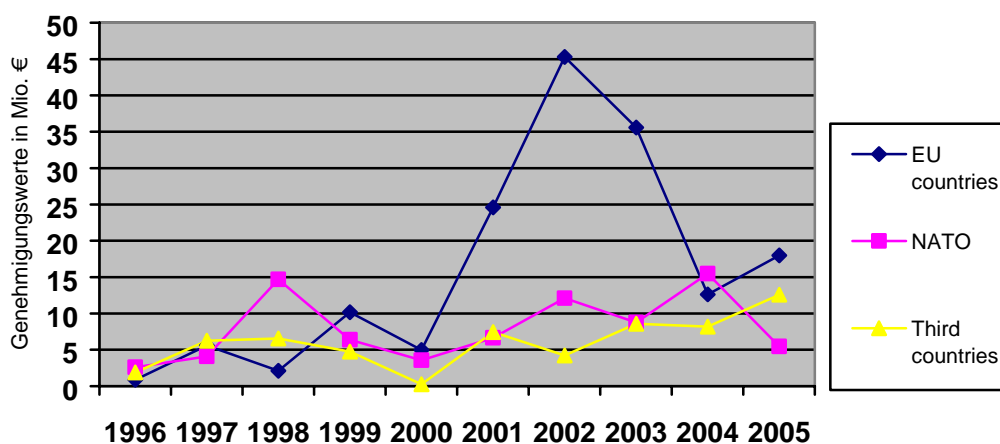
The following illustrations show the values broken down by three country groups for small arms licenses issued in 2004 and 2005; in addition the group "third countries" has been divided into developing countries and other third countries. Third countries were granted licenses totaling € 5.2 million, which accounts for 15% of the total value of licenses granted for small weapons.



Values of individual licenses for small arms in 2005 broken down by country groups
(35,9 Mio. € = 100%)



Trend of export licenses for small arms 1996 - 2005:



The strong rise for the EU countries from 2001-2003 may be explained by the supply of G 36 assault rifles to the Spanish armed forces which introduced this weapon as the standard assault rifle for the troops.

The aggregate value of individual export licenses for small arms is significantly lower than the aggregate value of total export licenses for small firearms as listed above under e) for EL position 0001 (€115.6 million). As already explained, this is the result of the fact that the definition of small firearms found there also includes civilian weapons (revolvers, pistols) used for self defense, as well as hunting and sporting weapons, and therefore extends far beyond that of small arms as understood internationally. Only 31% of the value of export licenses for small

firearms is thus accounted for by small arms and only 11% by licenses for the export of small arms to third countries.

Table B: Individual Licenses for the Export of Small Arms to Third Countries Broken down by Countries, License Values and Unit Numbers for 2005.⁴³

Country	Licenses (total)	EL	Value €	Designation	Units
Afghanistan	2	0001a -02	34,780	Rifles with war weapons list numbers	47
		0001a -05	2,256	Requisite components	141
			39,850	Submachine guns	50
			7,463	Requisite components	526
Argentina	1	0001a -05	68,500	Submachine guns	50
			10,375	Requisite components	250
Aruba	1	0001a -02	4,540	Rifles with war weapons list numbers	5
		0001a -05	9,500	Submachine guns	10
			675	Requisite components	23
Egypt	1	0001a -05	1,350	Components for machine guns	10
Brazil	3	0001a -02	48,780	Rifles with war weapons list numbers	44
			13,460	Requisite components	588
		0001a -06	24,600	Machine guns	6
			3,000	Requisite components	6
Burundi	2	0001a -05	13,716	Machine guns (UN mission)	12
			7,503	Requisite components	137
Chile	1	0001a -05	11,550	Machine guns	14
Ivory Coast	2	0001a -05	28,575	Machine guns (UN mission)	25
			11,311	Requisite components	196
Fiji	1	0001a -05	30,000	Machine guns	25
Haiti	2	0001a -05	20,574	Machine guns (UN mission)	18
			10,763	Requisite components	223
Hongkong	2	0001a -05	9,636	Components for machine guns	216
India	6	0001a -02	4,084	Rifles with war weapons list numbers	4
		0001a -05	2,034,492	Machine guns	1,577
			548,390	Requisite components	6,892
Indonesia	3	0001a -02	84,000	Rifles with war weapons list numbers	16
			1.120	Requisite components	64
		0001a -05	423,150	Machine guns	242
			382,794	Requisite components	1,349
Iraq	1	0001a -05	61,048	Machine guns (UN mission)	52

⁴³ "Small arms" comprise: guns (war weapons), machine guns, submachine guns, automatic and semi-automatic weapons, smooth-bore military weapons, weapons for caseless ammunition, and parts for such weapons (not included are civilian weapons).

Country	Licenses (total)	EL	Value €	Designation	Units
			28,679	Requisite components	719
Jordan	3	0001a -02	253,220	Rifles with war weapons list numbers	330
		0001a -05	177,200	Requisite components	2,680
			156,900	Machine guns	185
		0001a -06	74,875	Requisite components	1,610
			46,000	Machine guns	10
			6,500	Requisite components	10
Qatar	1	0001a -02	8,600	Rifles with war weapons list numbers	2
		0001a -05	2,340	Machine guns	2
			4,454	Requisite components	11
Colombia	1	0001a -05	6,120	Machine guns	6
			1,044	Requisite components	48
Korea, Republic	3	0001a -05	45,697	Machine guns	45
			6,010	Requisite components	23
Kosovo	2	0001a -05	6,932	Machine gun parts (for UN mission)	109
Croatia	3	0001a -02	77,638	Rifles with war weapons list numbers	73
			8,839	Requisite components	278
		0001a -05	29,149	Machine guns	27
		0001e -00	13,294	Requisite components	213
Kuwait	1	0001a -02	7,720	Rifles with war weapons list numbers	2
		0001a -05	1,880	Machine guns	2
			1,585	Requisite components	16
		0001a -06	4,100	Machine guns	1
			500	Requisite components	1
Liberia	3	0001a -05	22,860	Machine guns (UN mission)	20
			13,903	Requisite components	267
Macao	1	0001a -05	914	Components for machine guns	24
Malaysia	3	0001a -05	15,960	Machine guns	16
			20,800	Requisite components	8,000
		0001a -06	16,800	Machine guns	4
			17,602	Requisite components	124
Mexico	7	0001a -02	63,942	Rifles with war weapons list numbers	18
			196,556	Requisite components	291,365
		0001a -05	8,317	Machine guns	6
			6,494	Requisite components	56
		0001a -06	416,856	Machine gun parts	20,110
Oman	1	0001a -02	1,725	Rifles with war weapons list numbers	2
		0001a -05	1,900	Machine guns	2
			170	Requisite components	6
Philippines	2	0001a -02	26,220	Rifles with war weapons list numbers	23
			9,776	Requisite components	275
		0001a -05	14,700	Machine guns	12

Country	Licenses (total)	EL	Value €	Designation	Units
Saudi Arabia	9	0001a -02	2,108,940	Parts for rifles with war weapons list numbers	129,000
		0001a -05	3,427,500	Machine guns	2,506
			274,857	Requisite components	45,113
Singapore	6	0001a -05	99,860	Machine guns	82
			20,235	Requisite components	925
Sudan	1	0001a -05	22,306	Submachine guns (for UN mission)	19
			10,177	Requisite components	204
South Africa	2	0001a -05	78,720	Machine guns	84
			8,238	Requisite components	324
		0001a -06	3,305	Machine gun parts (collector's items)	33
Thailand	8	0001a -02	437,080	Parts for rifles with war weapons list numbers	4,568
		0001a -05	47,460	Machine guns	30
			14,760	Requisite components	481
United Arab Emirates	8	0001a -02	93,200	Rifles with war weapons list numbers	75
			7,300	Requisite components	30
		0001a -05	108,045	Machine guns	110
			30,593	Requisite components	140
Taiwan	1	0001a -02	1,200	Rifles with war weapons list numbers	1
			380	Requisite components	1
		0001a -05	1,400	Submachine guns	1
Total	94		12,572,162		

Table C: Individual licenses for ammunition for small arms, including explosive stores, for 2005
– values in €millions

Year	EU countries	NATO / NATO equivalent countries (without EU countries)	Third countries	Individual licenses (total)
1996	0.30	0.50	0.09	0.89
1997	4.60	5.00	0.74	10.34
1998	4.64	10.09	0.63	15.36
1999	2.83	14.95	0.15	17.93
2000	2.81	2.84	0.04	5.69

2001	2.20	12.46	1.80	16.46
2002	7.08	6.10	1.88	15.06
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

The two charts below show the monetary value of licenses in 2004 and 2005 for the export of small arms munitions to the three countries mentioned in table C (in the chart, the percentages for developing countries and other third countries are shown separately).

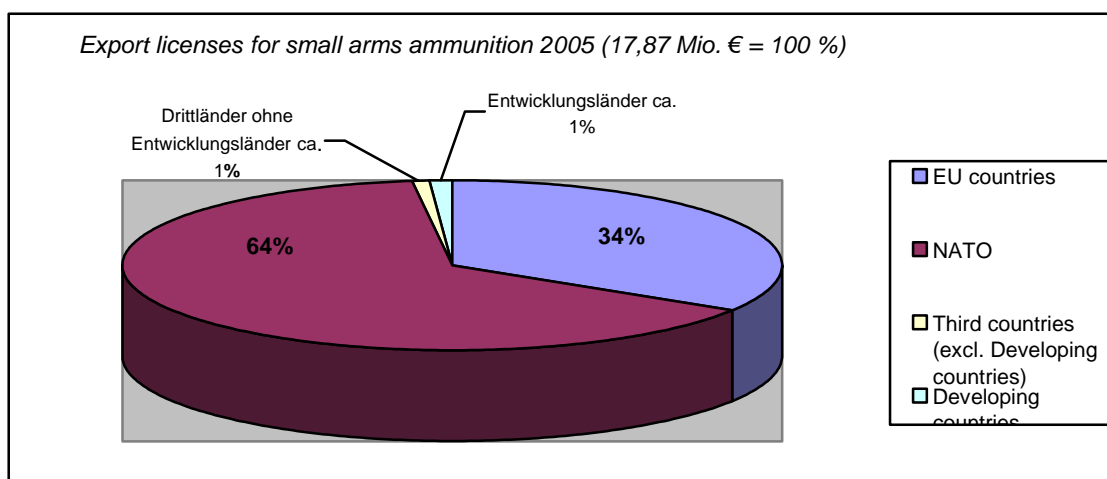
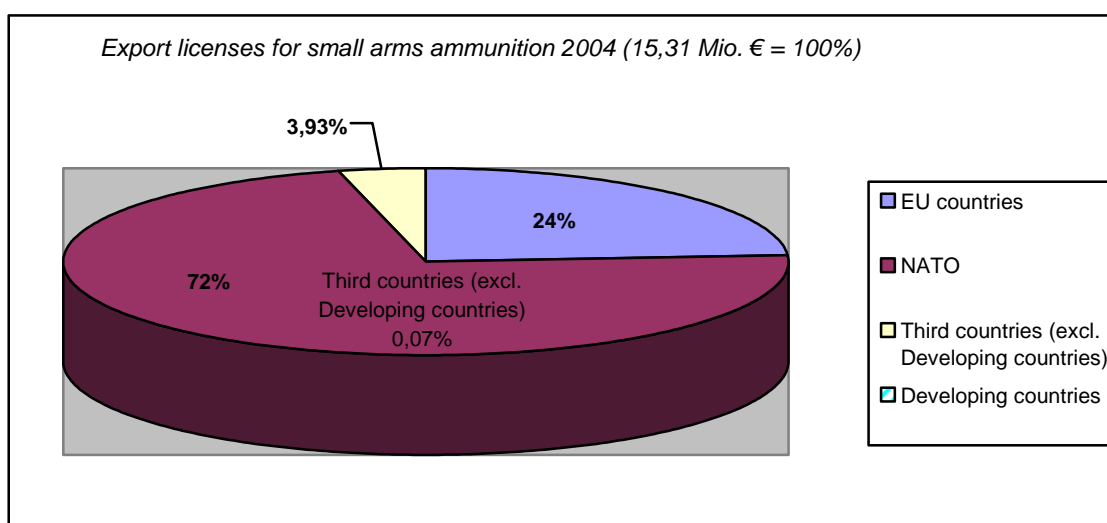


Table D: Individual licenses issued in 2005 for the export of ammunition and explosive stores for small arms to third countries broken down by countries (in part also for hunting and sporting purposes) ⁴⁴

Country	Licenses (total)	EL	Value €	Designation	Units
Brazil	1	0003a -06	6,607	Parts for machine gun ammunition	66,000
India	1	0003a -01	1,000	Ammunition for rifles	2,000
		0003a -05	11,125	Ammunition for submachine guns	15,000
Jordan	2	0003a -01	10,000	Ammunition for rifles	20,000
		0003a -05	53,150	Ammunition for submachine guns	104,650
Kazikstan	1	0003a -05	4,752	Ammunition for submachine guns	6,000
Qatar	1	0003a -01	5,500	Ammunition for rifles	2,000
		0003a -05	552	Ammunition for submachine guns	1,000
Korea, Republic	2	0003a -05	15,000	Ammunition for submachine guns	30,000
Croatia	2	0003a -05	14,250	Ammunition for submachine guns	28,500
Kuwait	1	0003a -01	2,700	Ammunition for rifles	5,000
		0003a -05	1,310	Ammunition for submachine guns	2,450
Mexico	2	0003a -01	10,000	Ammunition for rifles	10,000
		0003a -05	5,000	Ammunition for submachine guns	10,000
Namibia	1	0003a -01	1,413	Ammunition for rifles	18,980
Oman	1	0003a -01	300	Ammunition for rifles	500
		0003a -05	500	Ammunition for submachine guns	1,000
Russian Federation	1	0003a -01	313	Ammunition for rifles	2,000
Singapore	2	0003a -01	22,243	Parts for rifle ammunition	1,000,800
South Africa	1	0003a -01	18,000	Parts for rifle ammunition	3,000
Thailand	1	0003a -06	1,890	Parts for machine gun ammunition	8,040
United Arab Emirates	5	0003a -01	1,700	Ammunition for rifles	700
		0003a -05	50,375	Ammunition for submachine guns	92,300
Total	25		237,680		

Total values for 2004 were: 17 licenses at a value of €0.6 million.

In 2004, as in past years, small arms and small arms munitions accounted for only a minute fraction of the total value of all single-transaction licenses. In 2005, its share amounted to 1.3%,

⁴⁴ "Small arms ammunition" comprises ammunition for: guns (war weapons), submachine guns, automatic and semi-automatic weapons, smooth-bore military weapons, weapons for caseless ammunition, and parts for such weapons. There were no license denials during the year on report.

2. Exports of war weapons

a) War weapon exports in reporting year 2005

For the sub-section comprising war weapons figures are available on actual exports made in 2005. In this category, Germany's Federal Statistical Office (DESTATIS) determined that goods for a total value of €1,629.7 million (0.26 % of all German exports; 2004 figures: €1.129.1 million and 0.15%). The total value increased more than fourfold from that of the previous year. In value terms, 64.2% of the war weapons exports went to EU, NATO, and NATO equivalent countries; according to the Political Principles Adopted by the Government of the Federal Republic of Germany for the Export of War Weapons and Other Military Equipment, no restrictions are to be placed on the export of military equipment to such countries. The exports of war weapons are largely commercial transactions; to some extent, however, they are also transfers of Bundeswehr stocks.

War weapons for a total value of €204.6 million (= roughly 12.6% of total war weapon exports) went to classic developing countries⁴⁵ which represents approximately 12.6% of all arms exports for the year (the figures in 2004 were €267.5 million and approximately 24%). Of these, €180 million were accounted for by South Africa, €21.7 million by Tunisia, €2.1 million by India, and €0.4 million by Thailand. The lion's share of these exports to developing countries was largely accounted for by the export of a submarine (total value: €180 million) to the South African navy, and by the sale of four fast patrol boats from Bundeswehr stocks to the Tunisian navy (total value approximately €21.7 million). These exports of an exceptionally high values accounted for 98.8% of the total value of war weapons exported to developing countries. In 2005, war weapons amounting to €2.14 million were exported to the poorest and other developing countries,⁴⁶ including 1573 submachine guns to India (value approximately €2.06 million). The remaining exports to these countries consisted of consignments of hand weapons to UN missions stationed in developing countries.

⁴⁵ See footnote 4 for the definition of developing countries.

⁴⁶ Poorest and other developing countries and low-income areas (LLDC; LIC) under Part 1 of the OECD's DAC List for 2003.

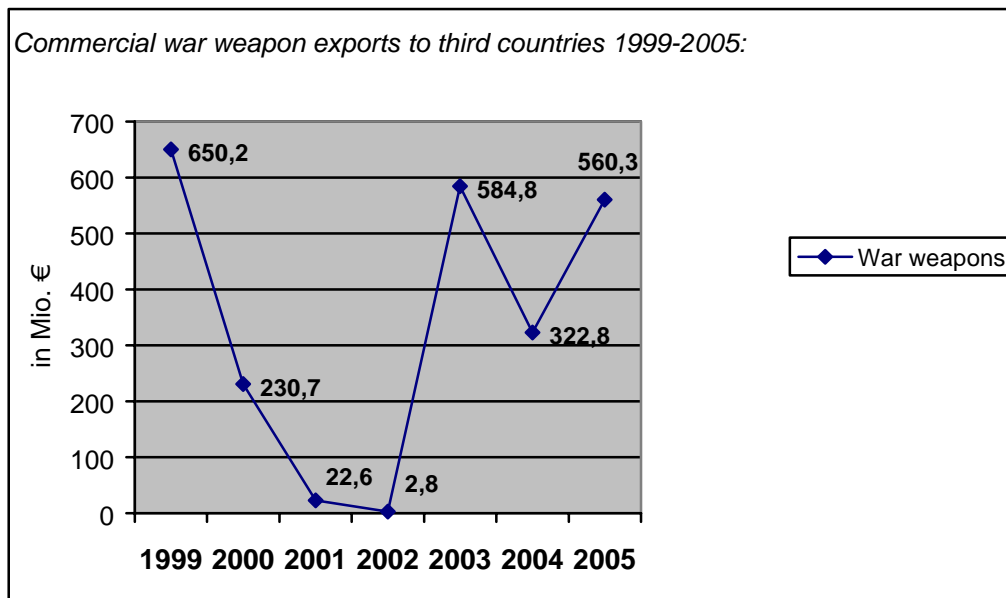
(1) Bundeswehr exports

Within the exports, a merchandise value of €87.8 million (some 5.4% of total exports of war weapons) was accounted for by the transfer of used, no longer needed material, provided by Germany's Ministry of Defense. Of these exports, 53.2% went to Spain, 24.7% to Tunisia, and 12.3% to Greece.

(2) Commercial exports

The value of German companies' commercial exports amounted to €1,541.866 million in 2005 (some 95% of total exports of war weapons). 63.7% of these arms (€981.5 million) went to NATO, EU or NATO equivalent countries (the corresponding figures in 2004 were 68.5% and €1,024.9 million).

Weapons exports to third countries amounted to €560.3 million, a substantial decline relative to the €322.8 million exported in 2004.



The commercial sales to third countries were accounted for by exports to South Korea (€218.4 million or 38.9% [for submarine parts]), South Africa (€180 million or 32%), and Kuwait (136.1 million or 24.3%).

Included in the total amount of commercial exports are also the so-called "processed exports" (such as the re-export of war weapons after repairs or upgrading in Germany) for a total of some €331 million. In this connection, it should be pointed out that re-exports are included in the overall export values of a respective year by Germany's Federal Statistical Office at the full original price. The upgrading in Germany is therefore considerably below the export value given.

The following outline contains all exports of war weapons in 2005 (commercial and German Ministry of Defense), broken down by consignee country and value.

Country	Value in €1000
Turkey	387,805
Spain	223,106
South Korea	218,356
South Africa	180,006
The Netherlands	152,651
Kuwait	136,123
Switzerland	76,044
Greece	65,947
Great Britain	41,489
USA	32,956
Tunisia	21,667
Italy	13,828
Singapore	13,231
Denmark	12,812
France	9,323
Austria	9,053
Chile	5,003
Sweden	4,142
Saudi Arabia	3,814
Finland	3,792
Poland	3,484
Slovakia	2,706
India	2,055
Norway	1,434
Australia	1,414
Belgium	888
Luxembourg	799
Uruguay	700

Lithuania	685
Romania	508
Slovenia	506
Portugal	495
Israel	477
Thailand	442
Czech Republic	420
Kazikstan	258
New Zealand	241
Ireland	197
Japan	197
Mexico	141
Philippines	71
Argentina	68
United Arab Emirates	63
Croatia	57
Malaysia	48
Hungary	39
Ivory Coast*	29
Jordan	24
Liberia*	23
Haiti*	21
Iceland	17
Canada	16
Estonia	13
Burundi*	11
Serbia and Montenegro*	6

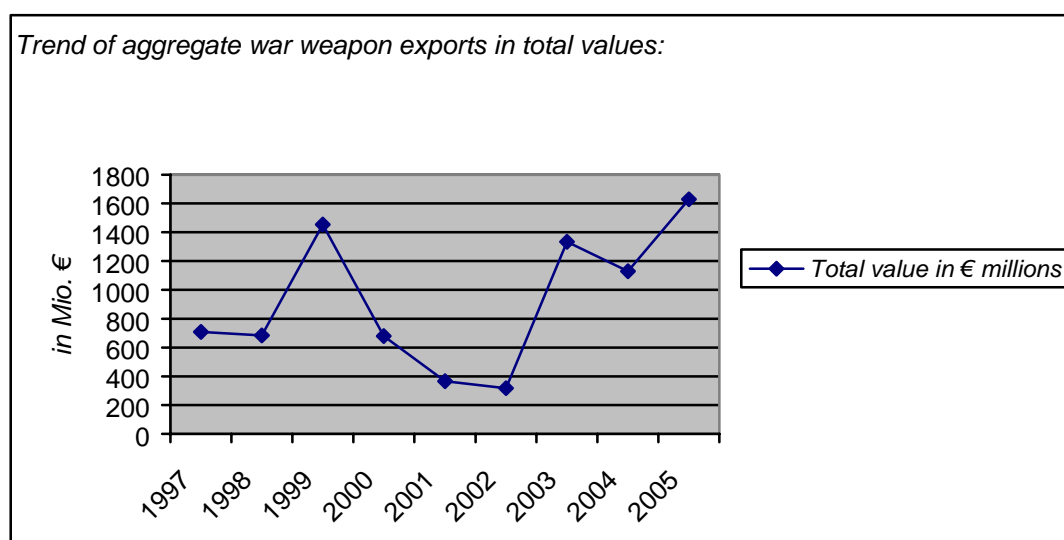
*For a UN mission

b) War weapon exports from 1997-2005

The table below shows the total value of annual war weapons exports (including supplies from Bundeswehr stocks) and their percentage value of total German exports for the period 1997-2005.

Year	Total value (in €millions)	% share of total German exports
1997	707.4	0.16
1998	683.9	0.14
1999	1454.2	0.29
2000	680.2	0.11
2001	367.3	0.06
2002	318.4	0.06
2003	1332.8	0.20
2004	1129.1	0.15
2005	1629.7	0.26

Plotted on a chart, the trend is as follows:



3. German military equipment exports by international comparison

The problems entailed in carrying out a worldwide comparison of actual exports of military equipment were outlined in some detail in the corresponding section of the 2001 Military Equipment Export Report. In the meantime, no further measures have been undertaken to unify the relevant statistical foundations or compilation techniques. It is important to note that even the thoroughly researched publications by non-government organizations and specialized institutions are ultimately only of limited value, a fact that is made clear by their broadly divergent findings.

The Stockholm SIPRI Institute sees Germany as occupying fourth place for 2005, as was the case in the prior year. For the period from 2001-2005, Germany ranked fourth according to the Institute;⁴⁷ SIPRI's special analytical methods, which are explained in detail in the Yearbook that is cited, hardly permit a comparison with the results of other institutions.⁴⁸

On the other hand, a study by the International Institute for Strategic Studies (IISS) ranks Germany (along with Canada) in fifth place, far behind Great Britain and just ahead of China and Israel. The top three exporters of world equipment are the US, Russia and France in that order. According to the study, Germany's 2004 world market share was 2.6%, versus 53.4% for the US, 13.2%, for Russia, 12.7% for France, 5.5% for Great Britain, 0.3% for Italy, and 3.5% for the rest of Europe.⁴⁹

According to a study by the United States Congressional Research Service (CRS),⁵⁰ more than 63% of all weapon exports went to third countries in the 1997-2004 period; in 2004 the figure was 58.9%.⁵¹ Of the exports to third countries worldwide, 42.5% come from the US, 20.4% from Russia, 19.5% from France, and 2.2% from Germany (2004: 4.1%). According to this analysis, the trend for the years 1997-2004 shows that the US was far in the lead, followed at quite a distance by China, Germany, Ukraine, Israel, Sweden, Belorussia, and Italy.⁵² Among the group of Western European countries, the Report names, alongside France, also the United Kingdom,

⁴⁷ SIPRI Yearbook 2006, p. 449f.

⁴⁸ SIPRI bases its calculations on a so-called "trend indicator value." The attempt is made to estimate the actual value of a weapon system, independent of the purchasing price actually agreed on for the specific transaction, since gifts, over-priced offers, and military assistance would otherwise remain unaccounted for. To determine this price (which is fictitious but reflective of the significance of the transaction), SIPRI works with various estimates, rules of thumb, and comparative measures.

⁴⁹ IISS, The Military Balance 2006, p. 404.

⁵⁰ CRS Report for Congress: Conventional Arms Transfers to Developing Nations, 1997 - 2004 of August 29, 2005, authored by Richard F. Grimmett.

⁵¹ The group of "developing nations" in the CRS Report corresponds to the Military Equipment Export Report's "third countries," however, excluding Russia and European countries.

⁵² p. 58

Germany, and Italy as the leading export countries; the last three, however, were of significance only as the result of unusual large-scale projects in one or another particular year. Although it is hardly possible to assess the data given for Germany (they concord with the data available here only in approximate terms), a plausible trend emerges. While Germany normally occupies leading positions in the values for worldwide transfers, it usually ranks toward the bottom of the list as regards data for third countries (not among the top ten for supply agreements concluded in 2004).

In terms of the EU Member States, the Seventh Annual Report on the EU Code of Conduct on Arms Export provides an excellent basis for comparison.⁵³ According to the report, in 2004 Germany was a distant second to France and ahead of Great Britain in terms of the total value of arms export licenses granted by EU Member States. These countries were followed distantly by Italy, Sweden and the Netherlands.

IV. Military Aid

As reported in past reports, military equipment had previously - up to the mid nineties - been provided free of charge to NATO Member Countries in the framework of military aid programs. These programs have since expired. The possibility of providing weapons, ammunition, and machines for their production has been eliminated as part of the German government's equipment assistance program for foreign armed forces. Such aid is therefore not relevant for the Military Equipment Export Report.

V. Military Equipment Cooperation

Government agreements providing for official cooperation are relevant for exports in only a very few cases. They often involve collaboration in the field of research or general technology, and they may also cover matters such as the mutual exchange of information.

Of relevance to future arms transfers and collaborative arms projects are (a) South Africa's and Malaysia's pending decisions regarding the purchase of the European A 400 M military transport plane; and (b) an existing agreement with Norway on a collaborative arms project for underwater

warfare; and c) an existing agreement with Austria and Norway regarding service and support for Leopard 2 tank weapons system.

⁵³ See footnote 18.

Political Principles

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

Decision of the Government of the Federal Republic of Germany of January 19, 2000

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

1. The Federal Government's decisions regarding the export of war weapons¹ and other military equipment² 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 for Arms Exports adopted by the European Council on 8 June 1998³ and such arrangements as may be agreed subsequently as well as the Principles Governing Conventional Arms Transfers adopted by the Organization for Security and Cooperation in Europe (OSCE) on 25 November 1993. The criteria laid down in the EU Code of Conduct are an integral part of these Policy 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:
2. 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

¹ Weapons (complete weapons as well as components classed separately as weapons) listed in the Schedule of War Weapons (Annex to the War Weapons Control Act - see Annex 3B)

² Goods specified in Part I, Section A of the Schedule of Exports (Annex to the Foreign Trade and Payment Act) with the exception of war weapons (see Annex 4B)

³ enclosed as annex

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 they will be used for internal repression as defined in the EU Code of Conduct for 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 organizations will also be taken into consideration.
5. The end-use of war weapons and other military equipment must be definitively determined.

II NATO countries⁴, EU member states, countries with NATO-equivalent status⁵

1. 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. Cooperative 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 cooperation standing, the Federal Government will not forgo any opportunities it may have to influence export projects envisaged by its cooperation partners (Section II (3)).

3. Before concluding any cooperation 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 cooperation partners. All new cooperation agreements should therefore aim in principle to incorporate a consultations 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 cooperation and its fundamentally restrictive arms exports policy.

⁴ Area of application of NATO Treaty, Article 6

⁵ Australia, Japan, New Zealand, Switzerland

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 for 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 cooperative venture and in maintaining good relations with its cooperation 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.

5. In the case of cooperative 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 cooperative ventures covered by intergovernmental agreements, bring its influence to bear in the matter of exports resulting from cooperative ventures between commercial companies.

To that end it will require German cooperative 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

1. 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.
3. 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 concerned 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 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.

⁶ Plant and documentation for the manufacturer of war weapons

6. 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 organized 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 for arms exports,
 - supports the UN Arms Register

IV Definitive determination of end-use

1. 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 authorization. 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.

3. 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, authorizes or does not seek to prevent or sanction the unauthorized 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, with details of the relevant legislation, the export licences for war weapons and other military equipment it has granted over the past year.

Annex 1a

Political Principles

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

Decision of the Government of the Federal Republic of Germany of January 19, 2000

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

1. The Federal Government's decisions regarding the export of war weapons¹ and other military equipment² 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 for Arms Exports adopted by the European Council on 8 June 1998³ and such arrangements as may be agreed subsequently as well as the

¹ Weapons (complete weapons as well as components classed separately as weapons) listed in the Schedule of War Weapons (Annex to the War Weapons Control Act - see Annex 3B)

⁴ Goods specified in Part I, Section A of the Schedule of Exports (Annex to the Foreign Trade and Payment Act) with the exception of war weapons (see Annex 4B)

⁵ enclosed as annex

Principles Governing Conventional Arms Transfers adopted by the Organization for Security and Cooperation in Europe (OSCE) on 25 November 1993. The criteria laid down in the EU Code of Conduct are an integral part of these Policy 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:

2. 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 they will be used for internal repression as defined in the EU Code of Conduct for 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 organizations will also be taken into consideration.
5. The end-use of war weapons and other military equipment must be definitively determined.

II NATO countries⁴, EU member states, countries with NATO-equivalent status⁵

1. 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. Cooperative 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 cooperation standing, the Federal Government will not forgo any opportunities it may have to influence export projects envisaged by its cooperation partners (Section II (3)).

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

⁴ Area of application of NATO Treaty, Article 6

⁵ Australia, Japan, New Zealand, Switzerland

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 cooperation partners. All new cooperation agreements should therefore aim in principle to incorporate a consultations 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 cooperation 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 for 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 cooperative venture and in maintaining good relations with its cooperation 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.

5. In the case of cooperative 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 cooperative ventures covered by intergovernmental agreements, bring its influence to bear in the matter of exports resulting from cooperative ventures between commercial companies.

To that end it will require German cooperative 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

1. 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.
3. 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 concerned 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 and other military equipment related to war weapons⁶ to countries

- involved in armed conflict or where armed conflict is imminent,

⁶ Plant and documentation for the manufacturer of war weapons

- 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.

6. 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 organized 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 for arms exports,
 - supports the UN Arms Register

IV Definitive determination of end-use

1. 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 authorization. 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.

3. 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, authorizes or does not seek to prevent or sanction the unauthorized 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, with details of the relevant legislation, the export licences for war weapons and other military equipment it has granted over the past year.

ANNEX

EU CODE OF CONDUCT FOR ARMS EXPORTS

adopted by the EU-Council on 8 June 1998

The Council of the European Union,
BUILDING on the Common Criteria agreed at the Luxembourg and Lisbon European Councils in 1991 and 1992,
RECOGNISING the special responsibility of arms exporting states,
DETERMINED to set high common standards which should be regarded as the minimum for the management of, and restraint in, conventional arms transfers by all EU Member States, and to strengthen the exchange of relevant information with a view to achieving greater transparency,
DETERMINED to prevent the export of equipment which might be used for internal repression or international aggression, or contribute to regional instability,
WISHING within the framework of the CFSP to reinforce their cooperation and to promote their convergence in the field of conventional arms exports,
NOTING complementary measures taken by the EU against illicit transfers, in the form of the EU Programme for Preventing and Combating Illicit Trafficking in Conventional Arms,
ACKNOWLEDGING the wish of EU Member States to maintain a defence industry as part of their industrial base as well as their defence effort,
RECOGNISING that states have a right to transfer the means of self-defence, consistent with the right of self-defence recognised by the UN Charter,
has adopted the following Code of Conduct and operative provisions:

CRITERION ONE

Respect for the international commitments of EU member states, in particular the sanctions decreed by the UN Security Council and those decreed by the Community, agreements on non-proliferation and other subjects, as well as other international obligations.

An export licence should be refused if approval would be inconsistent with, inter alia:

- a) the international obligations of member states and their commitments to enforce UN, OSCE and EU arms embargoes;
 - b) the international obligations of member states under the Nuclear Non-Proliferation Treaty, the Biological and Toxin Weapons Convention and the Chemical Weapons Convention;
 - c) their commitments in the frameworks of the Australia Group, the Missile Technology Control Regime, the Nuclear Suppliers Group and the Wassenaar Arrangement;
- their commitment not to export any form of anti-personnel landmine

CRITERION TWO

The respect of human rights in the country of final destination

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

- a) not issue an export licence if there is a clear risk that the proposed export 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 equipment, to countries where serious violations of human rights have been established by the competent bodies of the UN, the Council of Europe or by the EU;

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

CRITERION THREE

The internal situation in the country of final destination, as a function of the existence of tensions or armed conflicts

Member States will not allow exports which would provoke or prolong armed conflicts or aggravate existing tensions or conflicts in the country of final destination.

CRITERION FOUR

Preservation of regional peace, security and stability

Member States will not issue an export licence if there is a clear risk that the intended recipient would use the proposed export aggressively against another country or to assert by force a territorial claim.

When considering these risks, EU Member States will take into account inter alia:

- a) the existence or likelihood of armed conflict between the recipient and another country;
- b) 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;
- c) whether the equipment would be likely to be 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.

CRITERION FIVE

The 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 will take into account:

- a) the potential effect of the proposed export on their defence and security interests and those of friends, allies and other member states, while recognising that this factor cannot affect consideration of the criteria on respect of human rights and on regional peace, security and stability;
- b) the risk of use of the goods concerned against their forces or those of friends, allies or other member states;
- c) the risk of reverse engineering or unintended technology transfer.

CRITERION SIX

The behaviour of the buyer country with regard to the international community, as regards in particular to its attitude to terrorism, the nature of its alliances and respect for international law

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

- a) its support or encouragement of terrorism and international organised crime;
- b) its compliance with its international commitments, in particular on the non-use of force, including under international humanitarian law applicable to international and non-international conflicts;
- 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 sub-para b) of Criterion One.

CRITERION SEVEN

The existence of a risk that the equipment will be diverted within the buyer country or re-exported under undesirable conditions

In assessing the impact of the proposed export on the importing country and the risk that exported goods might be diverted to an undesirable end-user, the following will be considered:

- a) the legitimate defence and domestic security interests of the recipient country, including any involvement in UN or other peace-keeping activity;
- b) the technical capability of the recipient country to use the equipment;
- c) the capability of the recipient country to exert effective export controls;
- d) the risk of the arms being re-exported or diverted to terrorist organisations (anti-terrorist equipment would need particularly careful consideration in this context).

CRITERION EIGHT

The compatibility of the arms exports with the technical and economic capacity of the recipient country, taking into account the desirability that states should achieve their legitimate needs of security and defence with the least diversion for armaments of human and economic resources

Member States will take into account, in the light of information from relevant sources such as UNDP, World Bank, IMF and OECD reports, whether the proposed export would seriously hamper the sustainable development of the recipient country. They will consider in this context the recipient country's relative levels of military and social expenditure, taking into account also any EU or bilateral aid.

OPERATIVE PROVISIONS

1. Each EU Member State will assess export licence applications for military equipment made to it on a case-by-case basis against the provisions of the Code of Conduct.
2. This Code will not infringe on the right of Member States to operate more restrictive national policies.
3. EU Member States will circulate through diplomatic channels details of licences refused in accordance with the Code of Conduct for military equipment together with an explanation of why the licence has been refused. The details to be notified are set out in the form of a draft pro-forma at Annex A. 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 will 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 will notify the Member State or States issuing the denial(s), giving a detailed explanation of its reasoning.

The decision to transfer or deny the transfer of any item of military equipment will 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 physical export of the item of military 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.

4. EU Member States will keep such denials and consultations confidential and not to use them for commercial advantage.
5. EU Member States will work for the early adoption of a common list of military equipment covered by the Code, based on similar national and international lists. Until then, the Code will operate on the basis of national control lists incorporating where appropriate elements from relevant international lists.
6. The criteria in this Code and the consultation procedure provided for by paragraph 2 of the operative provisions will also apply to dual-use goods as specified in Annex 1 of Council Decision 94/942/CFSP as amended, where there are grounds for believing that the end-user of such goods will be the armed forces or internal security forces or similar entities in the recipient country.
7. In order to maximise the efficiency of this Code, EU Member States will work within the framework of the CFSP to reinforce their cooperation and to promote their convergence in the field of conventional arms exports.
8. Each EU Member State will circulate to other EU Partners in confidence an annual report on its defence exports and on its implementation of the Code. These reports will be discussed at an annual meeting held within the framework of the CFSP. The meeting will also review the operation of the Code, identify any improvements which need to be made and submit to the Council a consolidated report, based on contributions from Member States.
9. EU Member States will, as appropriate, assess jointly through the CFSP framework the situation of potential or actual recipients of arms exports from EU Member States, in the light of the principles and criteria of the Code of Conduct.
10. It is recognised that Member States, where appropriate, may also take into account the effect of proposed exports on their economic, social, commercial and industrial interests, but that these factors will not affect the application of the above criteria.
11. EU Member States will use their best endeavours to encourage other arms exporting states to subscribe to the principles of this Code of Conduct.
12. This Code of Conduct and the operative provisions will replace any previous elaboration of the 1991 and 1992 Common Criteria.

ANNEX A

..... (name of Member State) has the honour to inform partners of the following denial under the EU Code of Conduct:

Destination country:.....

Short description of equipment, including quantity and where appropriate, technical specifications:.....

Proposed consignee:.....

Proposed end-user (if different):.....

Reason for refusal:.....

Date of denial:.....

Annex 2a

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 66, March 17, 2006 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.



Annex 2b

WAR WEAPONS LIST

Part A

War Weapons

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

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

Part B

Other War Weapons

I. Projectiles

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:
 1. 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:
 1. 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 armored combat vehicles, including combat-supporting armored 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) machine pistols, except those introduced as a model in a military armed force before September 2, 1945;
 - c) 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. Armored 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 Systems

- 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 Ammunitions

- 49. Ammunition for the weapons listed in items 31 and 32
 - 50. Ammunition for the weapons listed in item 29 except cartridge ammunition having a soft core projectile with full casing, if
 - 1. the projectile does not contain any accessories, particularly a flare, incendiary or explosive charge,
 - 2. cartridge ammunition of the same caliber 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 55
- 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 ignitors
- 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. Dispensers for the systematic distribution of submunition

XI. Laser Weapons

- 62. Laser weapons specially designed for causing permanent blindness
-

Arms Embargoes in Force in 2005

Country	Date	Legal basis
Armenia and Azerbaijan	February 28, 1992	OSCE arms embargo
	July 29, 1993	UN SC Resolution no. 853
Bosnia and Herzegovina [*]	March 31, 1998	UN SC Resolution no. 1160 ¹
	February 26, 1996	EU Council Common Position (1996/184/GASP)
	July 19, 1999	Confirmation of the embargo by Council Decision (1999/481/GASP)
	November 20, 2000	EU Council Common Position (2000/722/GASP): Croatia deleted
	October 8, 2001	Deletion of the Federal Republic of Yugoslavia by Common Position (2001/719/GASP)
China	June 27, 1989	Declaration of the European Council
Democratic Republic of Congo (Zaire)	April 7, 1993	Declaration of the European Council
	October 21, 2002	EU Council Common Position (2002/829/GASP)
	July 28, 2003	UN SC Resolution no. 1493
	September 29, 2003	EU Council Common Position (2003/680/GASP)

^{*} Rescinded by the EU Council Common Position (2006/29/GASP).

	June 13, 2005	EU Council Common Position (2005/440/GASP)
Ivory Coast	November 15, 2004	UN SC Resolution no. 1572
	December 13, 2004	EU Council Common Position (2004/852/GASP): extended to December 15, 2005
Iraq	August 6, 1990	UN SC Resolution No. 661
	May 22, 2003	UN SC Resolution No. 1483
	July 7, 2003	EU Council Common Position (2003/495/GASP)
	July 29, 2004	EU Council Common Position (2004/553/GASP)
Liberia	November 19, 1992	UN SC Resolution No. 788
	March 7, 2001	UN SC Resolution No. 1343
	May 6, 2003	UN SC Resolution No. 1478
	May 7, 2003	EU Council Common Position (2001/357/GASP)
	May 19, 2003	EU Council Common Position (2003/365/GASP)
	February 10, 2004	EU Council Common Position (2004/137/GASP)
	December 22, 2004	EU Council Common Position (2004/902/GASP): extended to December 22, 2005
Myanmar (Burma)	October 28, 1996	EU Council Common Position

		(1996/635/GASP)
	April 28, 2003	EU Council Common Position (2003/297/GASP)
	April 26, 2004	EU Council Common Position (2004/423/GASP)
	April 25, 2005	EU Council Common Position (2005/340/GASP): extended to April 25, 2006
Rwanda	May 17, 1994	UN SC Resolution No. 918
	August 16, 1995	UN SC Resolution No. 1011
Sierra Leone	05 June 1998	UN SC Resolution No. 1171
	29 June 1998	EU Council Common Position (1998/409/GASP)
Zimbabwe	February 18, 2002	EU Council Common Position (2002/145/GASP)
	February 18, 2003	EU Council Common Position (2003/115/GASP)
	February 20, 2004	EU Council Common Position (2004/161/GASP)
	February 21, 2005	EU Council Common Position (2005/146/GASP): extended to February 20, 2006
Somalia	January 23, 1992	UN SC Resolution No. 733
	December 10, 2002	EU Council Common Position (2002/960/GASP)

Sudan	March 15, 1994	EU Council Common Position (1994/165/GASP)
	January 9, 2004	EU Council Common Position (2004/31/GASP)
	May 30, 2005	EU Council Common Position (2005/411/GASP)
Uzbekistan	November 14, 2005	EU Council Common Position (2005/792/GASP): extended to November 16, 2006

EU Countries

Country	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/ Reasons EL Item
Austria	317	A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0008 A0010 A0011 A0013 A0014 A0015 A0016 A0017 A0018 A0021 A0022	18,581,292					
Belgium	217	A0001 A0002 A0003 A0004 A0005 A0006	45,528,051					

Country	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/ Reasons EL Item
		A0007 A0008 A0009 A0010 A0011 A0013 A0015 A0016 A0017 A0018 A0021 A0022						
Cyprus (southern)	4	A0001 A0002 A0006 A0016	287,560					
Czech Republic	40	A0001 A0002 A0003 A0005 A0006 A0007 A0010 A0011 A0013 A0015 A0016 A0017	3,117,057					

Country	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/ Reasons EL Item
		A0018						
Denmark	197	A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0008 A0009 A0010 A0011 A0013 A0014 A0015 A0016 A0017 A0018 A0021 A0022	53,266,669					
Estonia	10	A0001 A0006 A0007 A0011 A0013 A0015 A0021	570,912					
Finland	139	A0001	118,409,211					

Country	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/ Reasons EL Item
		A0002 A0003 A0004 A0005 A0006 A0007 A0008 A0010 A0011 A0013 A0014 A0015 A0016 A0017 A0018 A0021 A0022						
France	570	A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0008 A0009 A0010 A0011	219,495,475					

Country	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/ Reasons EL Item
		A0013 A0014 A0015 A0016 A0017 A0018 A0021 A0022						
Greece	305	A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0008 A0009 A0010 A0011 A0013 A0014 A0015 A0016 A0017 A0018 A0021 A0022	255,800,261					
Hungary	44	A0001	570,596					

Country	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/ Reasons EL Item
		A0006 A0007 A0008 A0015 A0017						
Ireland	31	A0001 A0002 A0003 A0004 A0006 A0007 A0008 A0011 A0013 A0017 A0018 A0021	2,236,187					
Italy	671	A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0008 A0009 A0010 A0011	113,046,770					

Country	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/ Reasons EL Item
		A0013 A0014 A0015 A0016 A0017 A0018 A0021 A0022						
Latvia	36	A0006 A0007 A0011	295,671					
Lithuania	19	A0001 A0002 A0003 A0006 A0007 A0008 A0011 A0013 A0021 A0022	662,782					
Luxembourg	64	A0001 A0003 A0004 A0005 A0006 A0007 A0010	2,587,518					

Country	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/ Reasons EL Item
		A0011 A0015 A0017 A0018						
Malta	2	A0001 A0018	9,072					
Netherlands	631	A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0008 A0009 A0010 A0011 A0013 A0014 A0015 A0016 A0017 A0018 A0021 A0022	202,483,021					
Poland	121	A0001 A0002 A0003	54,039,400					

Country	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/ Reasons EL Item
		A0004 A0005 A0006 A0007 A0008 A0010 A0011 A0013 A0014 A0015 A0016 A0017 A0018 A0022						
Portugal	101	A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0008 A0009 A0010 A0011 A0013 A0014 A0016	5,114,111					

Country	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/ Reasons EL Item
		A0017 A0018 A0021 A0022						
Slovakia	50	A0001 A0002 A0003 A0005 A0006 A0007 A0008 A0010 A0011 A0013 A0015 A0016 A0017 A0018 A0021 A0022	5,740,550					
Slovenia	53	A0001 A0002 A0003 A0004 A0006 A0007 A0008 A0010	10,190,256					

Country	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/ Reasons EL Item
		A0013 A0014 A0017 A0018 A0022						
Spain	498	A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0008 A0009 A0010 A0011 A0013 A0015 A0016 A0017 A0018 A0021 A0022	161,663,328					
Sweden	278	A0001 A0002 A0003 A0004 A0005	42,947,187					

Country	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/ Reasons EL Item
		A0006 A0007 A0008 A0009 A0010 A0011 A0013 A0014 A0016 A0017 A0018 A0021 A0022						
United Kingdom	798	A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0008 A0009 A0010 A0011 A0013 A0014 A0015 A0016	123,707,040					

Country	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/ Reasons EL Item
		A0017 A0018 A0021 A0022						
Total	5,196		1,440,349,977		0		0	

NATO and NATO-Equivalent Countries

Country	No. of Denials/ Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/ Reasons EL Item
Australia	316	A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0008 A0009 A0010 A0011 A0013 A0015 A0016 A0017 A0018 A0021 A0022	20,282,941					
Bulgaria	38	A0001 A0003 A0006 A0007 A0010 A0013 A0015	15,225,855		1	A0013	60,100	1 Criterion 7 / A0013

Country	No. of Denials/ Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/ Reasons EL Item
		A0018 A0022						
Canada	270	A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0008 A0009 A0010 A0011 A0013 A0014 A0015 A0016 A0017 A0018 A0021 A0022	72,548,428					
Iceland	53	A0001 A0003 A0007 A0008 A0015 A0018	153,274					
Japan	188	A0001	17,677,212					

Country	No. of Denials/ Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/ Reasons EL Item
		A0002 A0003 A0004 A0006 A0007 A0008 A0010 A0011 A0013 A0014 A0015 A0017 A0018 A0021 A0022						
Liechten- stein	14	A0001 A0008 A0018	61,320					
New Zealand	139	A0001 A0002 A0003 A0004 A0006 A0009 A0010 A0011 A0013 A0016	3,817,014					

Country	No. of Denials/ Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/ Reasons EL Item
		A0017 A0018						
Norway	360	A0001 A0002 A0003 A0004 A0005 A0006 A0008 A0009 A0010 A0011 A0013 A0014 A0015 A0016 A0017 A0018 A0021 A0022	79,010,821					
Romania	189	A0001 A0002 A0003 A0006 A0007 A0008 A0009 A0010	7,298,748		2	A0011 A0015	2,091,311	2 Criterion 7 / A0011, A0015

Country	No. of Denials/ Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/ Reasons EL Item
		A0011 A0013 A0016 A0017 A0021 A0022						
Switzerland	1,323	A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0008 A0009 A0010 A0011 A0013 A0014 A0015 A0016 A0017 A0018 A0021 A0022	60,117,952					
Turkey	242	A0001 A0002 A0003	213,085,355		1	A0001	1,246	1 Criterion 7 /

Country	No. of Denials/ Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/ Reasons EL Item
		A0004 A0005 A0006 A0007 A0008 A0009 A0010 A0011 A0013 A0014 A0015 A0016 A0017 A0018 A0021 A0022						A0001
USA	1,014	A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0008 A0009 A0010 A0011 A0013	630,743,172					

Country	No. of Denials/ Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/ Reasons EL Item
		A0014 A0015 A0016 A0017 A0018 A0021 A0022						
Collective export licenses: NATO or NATO equivalent countries	109	A0004 A0005 A0006 A0009 A0010 A0011 A0021 A0022	2,032,830,001		1	A0022	0	
Total	4,255		3,152,852,093		5		2,152,657	

Third Countries

Country	No, of Denials/ Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No, of Denials/ Reasons EL Item
Afghanistan	9	A0001 A0006 A0013 A0017	5,678,238	Trucks and cross-country vehicles outfitted with mine clearing equipment (A0006/69.7%); Small arms and parts for small arms (A0001/28.7%)				
Albania	1	A0006	120,368	Cross-country vehicles (A0006)				
Algeria	11	A0005 A0006 A0007 A0008 A0010 A0017	19,033,623	Mobile field hospital (A0017/82.2%)				
Andorra	27	A0001 A0003 A0018	311,168	Rifles, pistols, hunting rifles, sporting rifles, and cartridge clips; and parts for rifles, pistols hunting weapons and sporting weapons (A0001/82.8%)	4	A0001 A0003	5,074	4 Criterion 7 / A0001, A0003
Angola	1	A0006	104,000	Cross-country vehicles (A0006)				
Argentina	29	A0001 A0004 A0006 A0008 A0009	1,682,997	Parts for combat aircraft and on- board equipment (A0010/48.3%); Cross-country vehicles and parts for tanks and armored				

Country	No, of Denials/ Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No, of Denials/ Reasons EL Item
		A0010 A0011 A0018		vehicles (A0006/26.7%); Parts for submarines (A0009/11.1%);				
Armenia	2	A0006 A0013	119,049	Cross-country vehicles (A0006/79.8%); Ballistic helmets and ballistic protective armor for a UN mine clearing project (A0013/20.2%)				
Azerbaijan	1	A0006 A0018	30,500	Parts for mine clearing systems (A0006/67.2%); Specialized tools for mine clearing system (A0018/32.8%)				
Bahrain	11	A0001 A0006 A0009 A0016	3,957,796	Parts for patrol boats (A0009/75.8%) Cross-country vehicles and parts for armored vehicles (A0006/20.1%);				
Bangladesh	6	A0001 A0006 A0009 A0011 A0021	1,144,331	Cross-country vehicles (A0006/48.9%); Parts for sonar equipment (A0009/37.5%)				
Belarus	39	A0001 A0003	272,796	Ammunition for hunting and sporting weapons (A0003/53.0%);				

Country	No, of Denials/ Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No, of Denials/ Reasons EL Item
				Hunting rifles, sporting rifles, and parts for hunting rifles and sporting rifles (A0001/47.0%)				
Bolivia					1	A0001	5,175	2 Criteria 2, 3, 7 / A0001, A0003, A0016
Bosnia and Herzegovina								1 Criterion 1a / A0006
Botsuana	13	A0001 A0014	1,461,481	Firing simulators including weapons and parts for firing simulators (A0013/78.8%) Pistols, hunting rifles and sporting rifles, and parts for hunting rifles (A0001/21.2%)				
Brazil	55	A0001 A0002 A0003 A0006 A0007	5,408,764	Hull penetrators and parts for submarines, minesweepers, underwater telephone equipment, echo sounders, and control stations (A0009/38.9%);				

Country	No, of Denials/ Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No, of Denials/ Reasons EL Item
		A0008 A0009 A0010 A0011 A0013 A0015 A0016 A0018 A0021 A0022		Communication equipment, interface cards, measuring and testing equipment, and parts for diesel monitoring systems, control stations, communication equipment, and navigation equipment (A0011/36.8%); Cross-country vehicles and parts for tanks (A0006/14.2%)				
Brunei	5	A0001 A0006 A0009 A0011 A0018	453,077	Measuring and testing equipment, radio equipment, and parts for radio equipment (A0011/50.7%) Parts for echo sounders (A0009/26.6%); Semi-trailer towing vehicles (A0006/16.6%);				
Burkina Faso	1	A0001	695	Pistols and pistol parts (A0001)				
Burundi	2	A0001	21,219	Submachine guns and submachine gun parts (for UN mission) (A0001)				
Cambodia								1

Country	No, of Denials/ Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No, of Denials/ Reasons EL Item
								Criterion 7 / A0014
Cameroon					1	A0010	426	1 Criteria 3, 4 / A0010
Chile	45	A0001 A0002 A0003 A0004 A0005 A0006 A0009 A0010 A0011 A0014 A0017 A0018 A0021 A0022	15,987,894	Pioneer tank, armored bridge layer, mine clearing tank, bridge transport tank, trucks, semi-trailer towing vehicles, and parts for tanks, armored self-propelled howitzers, and armored vehicles (A0006/76.1%); Manufacturing documents for mortar fuses, technical documents for tanks, patrol boats and torpedo practice batteries (A0022/8.0%)	2	A0001	5,080	
Colombia	10	A0001 A0006 A0009 A0011 A0013 A0022	4,010,832	Parts for submarines and sonar equipment (A0009/75.6%) Aircraft warning systems and ring laser gyroscope systems (A0011/17.1%)				
Croatia	32	A0001 A0002	1,389,662	Mine clearing equipment and parts for armored vehicles	1	A0013	250,000	1

Country	No, of Denials/ Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No, of Denials/ Reasons EL Item
		A0003 A0006 A0007 A0008 A0013 A0018		(A0006/48.8%); Bulletproof vests and parts for bulletproof vests (A0013/22.4%); Rifles, pistols, submachine guns, hunting rifles, sporting rifles, sporting revolvers, sporting pistols, moderators (silencers); and parts for rifles, submachine guns, hunting rifles, sporting rifles, sporting revolvers, sporting pistols and weapon sighting units (A0001/19.2%)				Criterion 7 / A0013
Democratic Republic of the Congo	1	A0003	13,398	Ammunition for revolvers and pistols (for UN mission) (A0003)				
Dominican Republic								1 Criteria 2, 7 / A0001
Ecuador	2	A0009	480,000	Parts for submarines and sonar equipment (A0009)				
Egypt	30	A0001 A0003 A0006 A0008 A0009	8,394,884	Trucks and parts for tanks and armored vehicles (A0006/67.2%); Transceivers, telephone sets and				

Country	No, of Denials/ Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No, of Denials/ Reasons EL Item
		A0010 A0011 A0013 A0015 A0016 A0017 A0018 A0021		parts for transceivers and directional radio equipment (A0011/17.4%)				
Fiji	1	A0001	30,000	Submachine guns (A0001)				
Gabon	2	A0006 A0010	608,580	Military transport plane and passenger aircraft (A0010/64.9%); Trucks (A0006/35.1%);				
Gambia	2	A0003 A0013	55,280	Ammunition for hunting shotguns (A0003/91.2%);				
Georgia	1	A0001	295	Parts for hunting rifles (A0001)				
Ghana	1	A0011	61,374	Transceivers and parts for transceivers (A0011)				
Guyana	1	A0008	151,000	Satellite fuel (A0008)				
Haiti	2	A0001	31,337	Submachine guns and submachine gun parts (for UN mission) (A0001)				
Honduras	1	A0001	50	Parts for hunting rifles (A0001)	1	A0001	64	
India	166	A0001 A0002 A0003 A0004 A0005	50,851,942	Ring laser gyroscope systems, sensors for guided weapon warning systems, data processing equipment, static converters, electronic equipment, measuring	1	A0003	909	

Country	No, of Denials/ Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No, of Denials/ Reasons EL Item
		A0006 A0007 A0008 A0009 A0010 A0011 A0013 A0014 A0015 A0016 A0018 A0021 A0022		and testing equipment, assemblies, component and parts for detection and navigation systems, equipment for electronic reconnaissance, security and countermeasures, transceivers, data processing equipment, electronic equipment (A0011/21.9%); Cross country vehicles and parts for tanks (A0006/15.3%); Weapon control and deployment systems, cable plug connectors, and parts for destroyers, mine warfare vessels, submarines, sonar equipment, echo sounders, weapon control and deployment systems, and guidance and navigation equipment (A0009/14.9%); Onboard weapon control systems, laser warning receivers, testing and calibration equipment, and parts for fire control systems and target surveillance and tracking systems (A0005/14.7%);				

Country	No, of Denials/ Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No, of Denials/ Reasons EL Item
				parts for combat aircraft, helicopters, engines, and on-board equipment (A0010/9.9%); torpedo parts (A0004/6.9%)				
Indonesia	25	A0001 A0004 A0005 A0006 A0009 A0010 A0011 A0013 A0014 A0017 A0022	24,890,744	Torpedo parts (A0004/44.7%); Ship communication systems and display screens; Parts for ship communication systems, aircraft radio equipment and gyro-compass systems (A0011/21.8%); Manufacturing documents for torpedo parts; interface documentation for sonar and radar systems (A0022/20.4%);				1 Criteria 2, 7 / A0018
Iran					2	A0001 A0003	2,294	3 Criteria 3, 4, 5 / A0001, A0006, A0017
Iraq	41	A0001 A0006	25,056,087	Cross-country vehicles, trucks, tractors, semi-trailers, wheeled	1	A0001	31,500	1

Country	No, of Denials/ Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No, of Denials/ Reasons EL Item
		A0007 A0011 A0013		dozers, and parts for armored vehicles (A0006/81.0%);				Criteria 3, 7 / A0001
Israel	176	A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0008 A0009 A0010 A0011 A0016 A0017 A0018 A0021 A0022	20,358,689	Cross-country vehicles and parts for tanks, anti-aircraft systems and ground vehicles (A0006/33.3%); Rate gyroscopes, rocket warning sensors, aircraft warning systems, warning sensors for civilian aircraft, data processing equipment, measuring and testing equipment, electronic equipment, detection and navigation systems, onboard power supply transformer (A0011/25.5%); Echo sounders, hull penetrators, and parts for submarines and control stations (A0009/23.3%);	2	A0001 A0003	4,296	
Ivory Coast	3	A0001 A0006	219,886	Cross-country vehicles (A0006/81.9%) for the German embassy				
Jordan	16	A0001 A0002 A0003	4,406,896	Cross-country vehicles and parts for tanks and reconnaissance vehicles (A0006/52.5%);				1 Criterion 7 /

Country	No, of Denials/ Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No, of Denials/ Reasons EL Item
		A0005 A0006 A0011 A0014 A0017		Parts for fire control systems (A0005/26.3%) Rifles, pistols, submachine guns, machine guns, hunting rifles, and moderators (silencers); and parts for rifles, pistols, submachine guns and machine guns (A0001/17.2%)				A0003
Kazakhstan	70	A0001 A0003 A0004 A0006 A0008 A0009 A0011 A0013 A0017	2,368,119	Pistols, hunting rifles, sporting rifles, moderators (silencers), weapon sighting units, and parts for pistols, hunting rifles and sporting rifles (A0001/28.0%) Components for liquid fuel (A0008/19.3%); Ballistic protection suits, bulletproof vests and parts for bulletproof vests (A0013/13.2%); Diving equipment (A0017/13.0%); Ammunition for submachine guns, hunting weapons and sporting weapons (A0003/10.6%);				

Country	No, of Denials/ Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No, of Denials/ Reasons EL Item
Kenya	6	A0001 A0004 A0006	458,461	Cross-country vehicles (A0006/99.5%)				
Kirgizistan	3	A0006 A0015	280,005	Cross-country vehicles (A0006/94.3%);	1	A0001	5,000	1 Criteria 3, 4, 7 / A0001
Korea, Republic	200	A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0008 A0009 A0010 A0011 A0013 A0015 A0016 A0017 A0018 A0019 A0021 A0022	76,921,019	Parts for tanks, armored vehicles, and recovery vehicles and trucks (A0006/54.6%); Stands for azimuth/standard compasses, and parts for frigates, submarines, landing boats, hovercraft, towing apparatuses, sonar equipment, echo sounders, command and control systems (A0009/15.9%); Electronic equipment, communication equipment, radio direction finder and monitoring systems, land navigation systems, measuring and testing systems; and parts for electronic equipment, communication equipment, navigation systems, and				

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				radio/electronic reconnaissance units (A0011/9.2%); Ammunition for anti-tank systems, shotguns, submachine guns, and parts for canon ammunition (A0003/5.6%);				
Kuwait	46	A0001 A0003 A0004 A0006 A0009 A0010 A0011 A0013 A0014 A0021	4,984,905	Target display units, launchers for simulator ammunition; and parts for target display units (A0014/46.5%); Trucks, cross-country vehicles, and parts for armored vehicles and trucks (A0006/22.7%); Parts for homing device launchers (A0004/10.0%); Parts for fast patrol boats (A0009/6.5%)	1	A0001	118	1 Criterion 7 / A0001
Laos								1 Criterion 3 / A0014
Lebanon	1	A0006	135,400	Cross-country vehicle (A0006) for the embassy of an EU Member				

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				State				
Liberia	4	A0001 A0007 A0013	54,688	The following items for a UN mission: submachine guns and parts for pistols and submachine guns (A0001/72.5%); Bulletproof vests (A0013/26.5%)				
Libya	1	A0006	305,311	Cross-country vehicles (A0006)				
Macedonia	2	A0001 A0008	3,707	Hunting rifles (A0001/98.5%);				
Malaysia	76	A0001 A0003 A0004 A0005 A0006 A0007 A0009 A0010 A0011 A0014 A0015 A0017 A0018 A0021 A0022	92,777,843	Simulators for vessel navigation systems, command information centers and machine installations (A0014/32.4%) Electronic equipment, communication equipment, navigation equipment, direction-finding antennas, data processing equipment; and parts for communication and navigation equipment (A0011/29.2%); Parts for tanks, armored vehicles and bridge laying vehicles (A0006/24.8%);				
Mauritius	2	A0001	6,789	Hunting rifles and hunting rifle				

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				parts (A0001)				
Mexico	18	A0001 A0002 A0003 A0005 A0011 A0016 A0017 A0018 A0021 A0022	1,600,431	Rifles, pistols, submachine guns and parts for rifles, pistols, submachine guns, machine guns and sporting pistols (A0001/52.4%); Manufacturing equipment for small arms (A0018/22.7%); Laser range finders (A0005/8.1%);				
Moldau	1	A0003	5,730	Shotgun ammunition (A0003)				
Mongolia	13	A0001 A0003 A0011	38,128	Hunting rifles and sporting rifles (A0001/74.8%); Radio equipment (A0011/23.6%)				
Morocco	2	A0008 A0010	88,701	Shrapnel mitigation frames for combat aircraft (A0010/99.9%)	1	A0006	1,250,000	1 Criteria 3, 4 / A0011
Namibia	36	A0001 A0003 A0006 A0016	144,526	Revolvers, pistols, hunting rifles, sporting rifles, sporting pistols, gun mountings, and parts for revolvers, pistols, hunting rifles and sporting rifles (A0001/64.2%); Ammunition for rifles, revolvers,				

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				and pistols; and parts for hunting weapon and sporting weapon ammunition (A0003/28.8%)				
Nigeria	7	A0006 A0008	1,967,537	Cross-country vehicles (A0006/99.9%);				1 Criteria 3, 4 / A0011
Oman	28	A0001 A0003 A0004 A0005 A0006 A0011 A0014 A0021 A0022	13,256,297	Trucks; tank parts (A0006/44.8%); Message processing and message transmission systems; and parts for communication equipment (A0011/42.6%)				
Pakistan	44	A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0009 A0010 A0011 A0013 A0014	99,731,555	Torpedoes, torpedo equipment and parts (A0004/61.5%); Torpedoes and torpedo firing simulators, sonar simulators, and parts for torpedoes and torpedo firing simulators (A0014/21.0%);	6	A0001 A0018	98,518	10 Criteria 2, 3, 4, 7 / A0011, A0018

Country	No, of Denials/ Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No, of Denials/ Reasons EL Item
		A0015 A0017 A0018 A0021 A0022						
Paraguay	1	A0013	190,000	Armor plates (A0013)				
People's Republic of China	28	A0007 A0008 A0022	46,320	Lab chemicals; decontamination equipment, decontamination materials, and ion mobility spectrometers for civil defense (A0007/81.2%)	3	A0008 A0011	114,934	6 Criteria 1, 4 / A0007, A0009, A0011, A0018, A0021
Peru	3	A0004 A0014	548,323	Flying and tactics simulators; and parts for flying and tactics simulators (A0014/93.0%)				
Philippines	5	A0001 A0006 A0010	678,696	Training aircraft (A0010/53.0%); Cross-country vehicles (A0006/39.5%);	1	A0003	500	1 Criteria 3, 7 / A0003
Qatar	17	A0001 A0003 A0004 A0005 A0007 A0010 A0011	9,383,769	Equipment for NBC defense, person decontamination equipment, detection equipment (A0007/54.8%); Ammunition for rifles, submachine guns, canons, and grenade				

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		A0017 A0022		launchers; Parts for howitzer ammunition (A0003/39.6%);				
Russian Federation	413	A0001 A0003 A0006 A0007 A0008 A0010 A0011 A0013 A0014 A0018 A0021 A0022	12,640,205	Rifles, revolvers, hunting rifles, sporting rifles, and parts for hunting rifles and sporting rifles (A0001/49.0%) Cross country vehicles and crane batteries (A0006/31.5%);	5	A0001	51,440	6 Criteria 2, 3, 7 / A0001, A0006, A0016, A0018, A0022
San Marino	14	A0001 A0003	38,760	Rifles, revolvers, pistols, hunting rifles, sporting rifles, and shotguns; and parts for revolvers, pistols, hunting rifles and sporting rifles (A0001/78.6%) Ammunition for hunting weapons, sporting weapons, pistols, and revolvers; and Ammunition parts for hunting and sporting weapons (A0003/21.4%)	1	A0001	196	1 Criterion 7 / A0001
Saudi Arabia	73	A0001	29,854,300	Parts for combat aircraft				

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		A0003 A0005 A0006 A0007 A0009 A0010 A0011 A0013 A0014 A0015 A0016 A0018 A0021 A0022		(A0010/34.3%); Pistols, sniper rifles, submachine guns, and weapon sighting units; and parts for rifles, pistols, sniper rifles and submachine guns (A0001/19.9%); Underwater detection equipment and parts for patrol boats (A0009/14.4%); Forged components, special profiles, trays, blanks, semi-finished parts, unfinished parts (A0016/12.8%)				
Serbia and Montenegro	10	A0001 A0003 A0007 A0008 A0011 A0018	469,209	Parts high frequency surveillance and for transceivers and directional antenna systems (A0011/64.3%); Ammunition for revolvers, pistols and grenade launchers (for the Finnish army) (A0003/15.4%); Material for NBC protective clothing (A0007/13.7%)	3	A0007 A0013	140,664	4 Criteria 4, 7 / A0005, A0013, A0015, A0018
Sierra Leone	1	A0006	199,000	Cross-country vehicles (A0006)				

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Singapore	115	A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0008 A0009 A0011 A0013 A0014 A0015 A0017 A0018 A0021 A0022	120,277,070	Cross-country vehicles, bridge systems, trucks, and parts for tanks, armored vehicles, amphibious bridge and ferrying vehicles, solid folding bridges, bridge layers, and trucks (A0006/96.0%)	3	A0001	23,455	1 Criterion 7 / A0001
South Africa	106	A0001 A0003 A0005 A0006 A0007 A0008 A0009 A0011 A0013 A0014 A0016	613,918,156	Submarines and parts for corvettes and submarines (A0009/96.6%);	1	A0001	1,600	1 Criterion 7 / A0001

Country	No, of Denials/ Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No, of Denials/ Reasons EL Item
		A0017 A0018 A0021 A0022						
Sri Lanka	1	A0001	550	Sporting pistols (A0001)	2	A0001 A0013	356,441	2 Criteria 3, 4 / A0001, A0013
Sudan	1	A0001	32,483	Submachine guns and submachine gun parts (for UN troops) (A0001)				
Syria								1 Criterion 4 / A0017
Tanzania	8	A0001 A0015	11,338	Pistols, hunting rifles, and parts for hunting rifles (A0001/81.0%)				
Thailand	57	A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0009 A0010 A0011	9,502,816	Communication equipment, obstacle warning systems, navigation systems, testing equipment, static converters, and parts for communication equipment an static converters (A0011/51.0%); Parts for combat aircraft, helicopters, targeting drones,				

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		A0014 A0018 A0021 A0022		engines, and on-board equipment (A0010/22.8%); Parts for fire control systems (A0005/14.8%)				
Togo	1	A0006	362,035	Cross-country vehicles (A0006)				
Tunisia	4	A0007 A0008 A0009	33,000,592	Fast patrol boats and parts for fast patrol boats (A0009/99.9%)				
Turkmenistan	1	A0006	10,000	Trucks (A0006)				
Uganda	1	A0006	88,950	Cross-country vehicles (A0006)				1 Criteria 3, 4 / A0010
Ukraine	123	A0001 A0003 A0006 A0007 A0008 A0013 A0015 A0022	1,959,560	Hunting rifles, sporting rifles, and parts for hunting rifles and sporting rifles (A0001/51.0%) Cross-country vehicles and Parts for tracked military vehicles (A0006/22.9%); Ammunition for hunting weapons, sporting weapons, revolvers, and pistols (A0003/15.5%)	3	A0001	15,918	2 Criterion 7 / A0001
United Arab Emirates	115	A0001 A0002 A0003	316,137,933	NBC detection tanks, trucks and parts for tanks, armored self- propelled howitzers, armored				

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		A0005 A0006 A0007 A0009 A0010 A0011 A0013 A0014 A0015 A0016 A0017 A0018 A0021 A0022		vehicles, and trucks (A0006/87.0%);				
Uruguay	6	A0001 A0003 A0006 A0009	824,359	Supply ships (A0006/84.9%);				
Uzbekistan					1	A0001 A0015	11,500	1 Criteria 2, 7 / A0001, A0015
Vatican	1	A0006	95,000	Cross-country vehicles (A0006)				
Venezuela	5	A0006 A0009 A0010	639,020	Hydrophones (A0006/50.8%); Cross-country vehicles (A0006/48.5%);				1 Criteria 3, 4 / A0006

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Vietnam	3	A0006 A0011 A0013	654,504	Directional radio equipment (A0011/98.5%)	1	A0011	3,550,000	3 Criteria 2, 7 / A0011, A0014, A0015
Yemen	1	A0006	500,000	Cross-country vehicles (A0006)				
Zambia	7	A0001 A0003	25,653	Ammunition for hunting weapons, sporting weapons and shotguns (A0003/65.7%); Hunting rifles (A0001/34.3%);	3	A0001 A0003	7,000	1 Criterion 7 / A0001
Aruba	1	A0001	14,715	Rifles, submachine guns and parts for submachine guns (A0001)				
Dutch Antilles	1	A0001	12,475	Pistols and pistol parts (A0001)				
Greenland	3	A0001 A0003	19,276	Hunting rifles and hunting rifle parts (A0001/98.7%)				
Hongkong	10	A0001 A0006 A0017 A0022	283,849	Cross-country vehicles (A0006/95.1%);	1	A0001	2,108	1 Criterion 7 / A0001
Kosovo	3	A0001	108,032	Cross-country vehicles				

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		A0006 A0018		(A0006/92.6%);				
Macao	1	A0001	914	Parts for submachine guns (A0001)				
New Caledonia	11	A0001	30,195	Revolvers, hunting rifles, and parts for hunting rifles, sporting rifles and sporting pistols (A0001)				
Taiwan	31	A0001 A0003 A0004 A0005 A0006 A0008 A0009 A0011 A0013 A0014 A0017 A0018	11,062,619	Hit simulators, substitute for underwater drone systems, parts for underwater drones (A0004/54.7%); Parts for submarines, minesweepers, and underwater detection equipment (A0009/20.2%); Decoy cartridges (A0003/15.6%);				2 Criterion 4 / A0006
Total	2,513		1,655,548,760		53		5,934,210	

The above cited denials contain, apart from denied license applications, also denied advance inquiries about licensing intentions for a concrete export project and rejected application 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.