



Federal Ministry
of Economics
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BUSINESS.
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PROSPERITY.

Report by the Government of the Federal Republic of Germany on Its Policy on Exports of Conventional Military Equipment in 2011

(2011 Military Equipment Export Report)

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Executive Summary

The German government is pleased to submit herewith its thirteenth Report on Military Equipment Exports covering the year 2011.¹ The “Political Principles Adopted by the Government of the Federal Republic of Germany for the Export of War Weapons and Other Military Equipment” (“Political Principles”) in the version of 19 January 2000 distinguish between military equipment exports to EU member states, NATO and NATO-equivalent countries (Australia, New Zealand, Japan, Switzerland), which are in principle unrestricted, and exports to all other countries (“third countries”). A restrictive approach is taken to the export of war weapons and other military equipment to third countries.²

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

In 2011, single-transaction export licences for military equipment totalled approximately € 5.414 billion (2010: approximately € 4.754 billion). Of this amount, 58 % was accounted for by EU, NATO, and countries with NATO-equivalent status, and 42 % was accounted for by third countries. The total value of single-transaction export licences rose by approx. € 660 million in year-on-year terms, but remained below the highest figure recorded so far (approx. € 5.788 billion in 2008).

Developing countries³ accounted for 9.3 % of the overall value of all individual export licences (2010: 7.7 %).⁴ The value of the collective licences granted for exports in connection with defence co-operation between EU and NATO partners amounted to roughly € 5.38 billion during the reporting year (2010: € 737.3 billion). As already explained in our 2010 Report, this higher figure is due to technical changes (cf. Section III. 1. b for further details).

In addition to the figures for the export licences issued, in the case of war weapons statistics are also kept for the actual exports (2011: € 1.285 billion, 2010: € 2.119 billion). The total value thus declined by € 834 million compared with the year before. Since the licences are not necessarily used for an export in the same year, the figures for licences and exports generally differ. The share of exports going to the EU, NATO, and countries with NATO-equivalent status stood at roughly 32 % in the reference year (2010: 77 %). The rise in the third countries' share of actual exports of war weapons is partly due to shipments to Brunei, Singapore and Iraq worth a total of € 674 million.

Details of German military equipment export policy can be found in Chapter II and Chapter III. 3. Total licences issued in 2011 sorted by country are described in Annex 7.

1 The Military Equipment Export Reports submitted thus far have been published as Bundestag Printed Papers and may be found on the Internet at <http://www.bmwi.de>.

2 Cf. Annex 1, “Political Principles”, Section III no. 1 sentence 1.

3 Developing countries and developing territories pursuant to the List of the OECD's Development Assistance Committee without the countries featuring upper medium incomes, including NATO partner Turkey and countries like Brazil, Malaysia and South Africa (column four of this list). The list is contained in Annex 9 of this Report.

4 For details, see III. 1. a.

I. The German Control System for Military Equipment Exports

1. The German export control system

Germany's military equipment exports are governed by the Basic Law, the War Weapons Control Act⁵ and the Foreign Trade and Payments Act⁶ in conjunction with the Foreign Trade and Payments Ordinance.⁷ 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 2000⁸ and the Council Common Position of the EU defining common rules governing control of exports of military technology and equipment of 8 December 2008 provide the licensing authorities with guidelines⁹.

The Foreign Trade and Payments Act and the Foreign Trade and Payments Ordinance require the licensing of *all* military equipment exports. 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).¹⁰ 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 on the Wassenaar Arrangement may be found under II. 6. and on the EU under II. 3. and 4.).

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

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

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

Under Section 6 of the War Weapons Control Act, applicants have no legal right to the issuance of a licence for the export of war weapons. And licences must be denied where there is a danger that the war weapons will be used in connection with peace-disturbing acts, 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 licences in accordance with the discretion it must exercise under EU's Common Position (previously the EU Code of Conduct) and the above-mentioned Political Principles.

The export of so-called other military equipment is governed by the export rules in the Foreign Trade and Payments Act and Ordinance. In accordance with the principle of the freedom of external economic transactions, on which the systematic approach of the

5 Act to implement Article 26(2) of the Basic Law (War Weapons Control Act) in the version promulgated on 22 November 1990, Federal Law Gazette I, p. 2506 (last amended by Article 4 of the Act of 27 July 2011, Federal Law Gazette I p. 1595).

6 Revised by the Promulgation of 27 May 2009, Federal Law Gazette I, p. 1150, last amended by Article 1 of the Ordinance of 15 December 2011, Federal Gazette 2011, 4653).

7 Foreign Trade and Payments Ordinance in the version promulgated on 22 November 1993 (Federal Law Gazette I, p. 2493), last amended by Article 1 of the Ordinance of 17 January 2012 (Federal Gazette 2012 no. 13, 282).

8 See Annex 1.

9 See Annex 2.

10 Further details at www.bafa.de.

Foreign Trade and Payments Act is based, the applicant has a fundamental right to the issuance of an export licence (Section 1 in conjunction with Section 3 of the Foreign Trade and Payments Act), unless a licence 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 (1-3) 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. prevent a major disruption of the foreign relations of the Federal Republic of Germany.”*

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

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

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

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

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

2. Application of the “Political Principles”

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

These principles contain the following main 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 situ-

11 Further details at www.bafa.de

ation in the consignee country plays an important role in connection with this question. The Political Principles are more restrictive than the EU's Common Position (more detail on this aspect below, under II. 3.), which rules out export licences only where a "clear risk" exists.

- Following the General Section, a distinction is made between EU, NATO, and NATO-equivalent countries (Australia, New Zealand, Japan, Switzerland) on the one hand, and other countries (so-called third countries) on the other. For the first group of countries, licences are the rule and denials the exception; for the second group, there is a restrictive policy with respect to licence issuance.

- In this context, the following applies for the group of third countries:

The export of war weapons is approved only in exceptional cases where, as justified by the individual situation, special foreign policy or security policy interests of the Federal Republic of Germany would support the granting of a licence. For other military equipment, licences are granted only insofar as such action does not endanger the interests to be protected under foreign trade and payments statutes (Section 7 Subsection 1 of the Foreign Trade and Payments Act as cited above under 1.).

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

- The Federal Government's "special interest" in the ongoing capability for co-operation by Germany's defence industry in the EU and NATO is expressly highlighted, above all against the background of the development of a common European defence policy.

- The factors that are taken into serious consideration in deciding whether to grant licences for the export of arms to third countries include – apart from the human rights, a factor which merits particular attention – the external and internal situation, as well as the extent to which the recipient country's sustainable development might be jeopardised by disproportionate outlays on arms.

- Other factors come into play as well when assessing whether a licence can be issued for the export of military equipment: the recipient country's conduct toward the international community concerning matters such as the fight against international terrorism and organized crime; the extent to which the recipient country meets its international obligations, particularly with respect to human rights, as well as in the areas of nonproliferation, military weapons, and arms control.

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

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

The ex-ante examination ensures right from the start that defence goods are not delivered to recipients if there is a danger that the goods will be diverted. If there are doubts about the recipient's assurance of the end-use, export licence applications are rejected.

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

- The Common Position of 8 December 2008¹² contains eight specific criteria for decisions on export applications (cf. Annex 2, Article 2) and is an integral element of the Political Principles. In the case of each application – e.g. for exports to Maghreb states or the Middle East – the Federal Government conducts a very thorough examination in the light of the situation in the region and the relevant country, including the significance of the exports in question to preserve regional peace, security and stability (Criterion Four of the EU's Common Position). It is appropriate to take a differentiated view in the light of the varying political developments in the countries of the region and in line with the aforementioned principles governing the decision-making.

12 For details, see II. 3.

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

1. Disarmament agreements

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

The German Government's activities in this area were outlined in detail in the Annual Disarmament Report, to which reference is made.¹³

2. Arms embargoes

The international community has adopted a number of arms embargoes that are implemented in Germany's export policy through amendments to the Foreign Trade and Payments Ordinance (Sections 69 ff.) or the non-issuance of licences. The importance of such (arms) embargoes as a means of attaining specific policy objectives has noticeably increased in recent years. Further arms embargoes – in addition to the existing arms embargoes against 18 countries – were imposed in 2011 against Belarus, Libya, South Sudan (transfer of the embargo against Sudan to the newly established South Sudan) and Syria.

Details of the arms embargoes in force in 2011 and 2012 are listed in Annex 5.

3. Common Foreign and Security Policy of the EU

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

The adoption of an EU Common Position defining common rules governing the control of exports of military technology and equipment on 8 December 2008 replaced the tried and trusted rules of the EU Code of Conduct for Arms Exports – which had previously only been politically binding – and made them legally binding for all EU member states. This represents great progress on harmonising the export control policies at EU level. The Common Position contains eight criteria (cf. Annex 2, Article 2) to be used by all member states in decisions on applications for export licences. A number of new elements (e.g. the human rights criterion was expanded to include the aspect of humanitarian international law) were included in the Common Position in 2008, thereby broadening and widening its scope of application. Through its incorporation in the Political Principles of the Federal Government, the EU's Common Position is an integral part of Germany's policy on the export of military equipment.

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

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

¹³ Most recently the 2011 Annual Disarmament Report, Bundestag Printed Paper 17/8857 of 29 February 2012, cf. <http://www.auswaertiges-amt.de>

¹⁴ Internet: <http://www.consilium.europa.eu/eeas/foreign-policy/non-proliferation,-disarmament-and-export-control-/security-related-export-controls-ii.aspx?lang=de>

During the year under report, Germany held 22 active consultations and 55 passive consultations with other EU countries concerning export licence denials, with a view to implementing the operative provisions of the Common Position.¹⁵

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

Additional priorities of the Common Foreign and Security Policy in the field of export controls were the firm backing for the initiative for an international Arms Trade Treaty (cf. Section II. 9.) by the EU and its member states, and outreach activities to promote the principles and criteria of the Common Position (cf. Section II. 10.). Further to this, the EU member states made preparations for the review of the Common Position due for 2012.

4. EU Directive on transfers of defence-related products within the Community

The EU Directive simplifying terms and conditions of transfers of defence-related products within the Community of 6 May 2009 entered into force on 30 June 2009. The German Act implementing the Directive entered into force on 4 August 2011 (Federal Law Gazette I 2011 Part I no. 41 pp. 1595 ff.).

The directive substantially simplifies the transfer of defence-related products within the EU. To this end, companies in the EU are increasingly being provided with global and general licences. Reliable companies in the EU are given the opportunity to have themselves certified in order then to be supplied with defence-related products under simplified conditions on the basis of general licences. Such general licences for deliveries to certified companies improve the competi-

tive prospects of small and medium-sized firms in particular.

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

The German Government is also advocating, together with the other countries of manufacture – France, Italy, Spain, Sweden and the United Kingdom (“LoI” countries) – relaxed rules on co-operation within the European military equipment industry in the context of the “Letter of Intent” (LoI) process. In 2000, these countries adopted a Framework Agreement concerning Measures to Facilitate the Restructuring and Operation of the European Defence Industry (Farnborough Agreement¹⁶). A working party of the LoI countries meets at irregular intervals in order to engage in cross-border co-operation in the field of export control. There are regular attempts to achieve further harmonisation here.

6. Wassenaar Arrangement

The Wassenaar Arrangement¹⁷ was established in 1996 to help improve transparency, the exchange of views and of information and to increase the level of responsibility in the transfer of conventional military equipment and of dual-use goods and technologies which can serve their manufacture. The 41 countries that are presently signatories of this politically binding convention (all the EU member states except Cyprus as well as Argentina, Australia, Canada, Croatia, Japan, Republic of Korea, New Zealand, Norway, Russia, South Africa, Switzerland, Turkey, Ukraine, USA and, since January 2012, Mexico) aim to harmonise their controls of the export of such goods with a view to preventing destabilising stockpiling of conventional military equipment.

¹⁵ In the case of active consultations, Germany consults another EU member state; in the case of passive consultations, Germany is consulted by another EU member state.

¹⁶ Federal Law Gazette 2001 Part II, pp. 91 ff.

¹⁷ Available on the Internet at <http://www.wassenaar.org>.

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

Further to this, the WA provides that the participating countries should inform one another about exports of large weapons systems and small arms and light weapons, as well as about issued and denied export licences for dual use goods to non-participating countries.

In addition to the opening up of the WA to dialogue with non-Wassenaar Arrangement signatories, the collaboration amongst Wassenaar Arrangement participants also serves to develop and deepen international export control standards. In particular, the increase in transparency and the step-by-step harmonisation of the national military equipment export policies, are significant interests, and Germany remains a firm advocate of these. In 2011, for example, a contribution was made by the updating of the catalogue of criteria for destabilising accumulations of weapons and the adoption of a recommendation for action on the handling of re-exports.

sibility to report imports and exports of small arms and light weapons. The aim of the register is to build confidence by increasing the level of transparency regarding conventional arms. Germany has participated in the reporting system since the register was set up and reports regularly to fulfil its obligations.

For the year 2011, the Federal Republic of Germany reported the export of the following war weapons to the UN Conventional Arms Register:

Tabelle A

Country	Item	Quantity
Brazil	Leopard 1 main battle tank	114
Brunei	Patrol boats armed with type PV 80	3
Canada	Leopard 2 main battle tank	16
Iraq	Combat helicopter EC 635	16
Poland	Missiles LFK RBS 15 Mk3 Missile launchers for LFK RBS 15	8 8
Singapore	Leopard 2 main battle tank	59
Turkey	Leopard 2 main battle tank	18

7. UN Register of Conventional Arms

The UN Register of Conventional Arms, adopted by General Assembly Resolution 46/36L of 6 December 1991, has collected information on the import and export of conventional major weapons systems¹⁸ and – on a voluntary basis – data on national arms inventories and procurement from national production since 1992. The member countries of the United Nations provide this information by 31 May for the preceding calendar year. Since 2003, there has also been the pos-

¹⁸ The weapons are classified into the following seven categories: battle tanks, other armoured combat vehicles, large calibre artillery systems, combat aircraft, combat helicopters, warships armed with missiles and missile launch systems including man portable air defence systems (MANPADS).

8. International discussion on small arms and light weapons

In internal and cross-border conflicts by far the greatest share of human casualties have been caused by the use of small arms and light weapons (“small arms”, e.g. submachine guns, assault rifles, light mortars, etc.) and the associated ammunition¹⁹. Small arms can often be procured inexpensively and illegally through internationally operating arms brokers, in particular in developing countries, where national control mechanisms are mostly underdeveloped. In many cases, small arms impede economic and social development and frequently contribute to a violent escalation of conflicts. Quite frequently, violent conflicts threaten to destroy the success achieved in many years of development work. Further, man portable air defence systems (MANPADS), which are counted as light weapons, represent a danger to both civil and military aviation due to their high relevance to terrorism. Experience shows that deficiencies in managing and safeguarding the stocks of arms and munitions held by the state in the relevant countries also represent a significant source of illegal transfers. For this reason, the German Government applies strict standards when issuing licences for small-arms exports to third countries, and developing countries in particular, in order to ensure coherence of foreign, security, external economic and development policies. The German Government is working at the international level towards an efficient prevention of the illegal proliferation of such weapons and their ammunition. With respect to the legal export of small arms, the German government advocates strict and efficient controls. Its goal is – in the framework of the **UN Small Arms Action Programme**²⁰ and via regional initiatives, e.g. in the context of the EU Small Arms Strategy²¹, the **OSCE Small Arms Document**²², which was adopted in November 2000, and the **OSCE Document on Stockpiles of Conventional Ammunition**²³ –

the achievement of concrete results with obligations for the participating countries to take action which are as binding as possible. Further to this, the Federal Government assists other states, both in the context of the EU on the basis of the EU Small Arms Strategy and in the context of bilateral development co-operation, as they establish efficient national and regional small arms control systems.

The discussion conducted in various international bodies on small arms continued intensively in 2011. Not least, this applies to the small arms debate in the UN context. Following the success in June 2010 of the conference of parties to the UN Small Arms Action Programme, which meets every two years and which for the first time adopted in consensus a final document with specific recommendations for future work, the meeting in 2011 saw a continuation of the German government’s efforts to ensure effective implementation of the recommendation, not least with regard to the Review Conference for the UN Small Arms Action Programme in September 2012. In this context, the German government has particularly promoted small arms control projects in post-conflict areas like the Democratic Republic of the Congo, South Sudan or Côte d’Ivoire.

Mention should also be made in this context of the German involvement in the conclusion of an international Arms Trade Treaty (cf. Section II. 9.), the aim of which is to achieve a globally effective control of conventional arms including small arms.

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 licences for the export of war weapons to third countries may be issued only by way of exception and only in the

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

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

21 Internet address: http://europa.eu/legislation_summaries/foreign_and_security_policy/cfsp_and_esdp_implementation/l33244_de.htm

22 OSCE Document FSC.DOC/1/100 on Small Arms and Light Weapons of 24 November 2000, available on the internet at: <http://www.osce.org/de/fsc/20785>; siehe dazu ausführlich im Rüstungsexportbericht 2000 unter II.7.

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

24 Cf. re the small arms problem also the 2011 Annual Disarmament Report, at: http://www.auswaertiges.amt.de/cae/servlet/contentblob/610160/publicationFile/165141/120229_Jahresabruestungsbericht_2011.pdf

case of special foreign or security policy interests of the Federal Republic of Germany. In the export of technology and production equipment, there is the fundamental rule that no licences are issued in connection with the opening of new production lines for small arms and ammunition in third countries.

For third countries, the “New for Old” principle is also applied wherever possible. This calls for sales contracts to be worded to ensure that the recipient destroys small arms that are to be replaced by the new consignment, in order to prevent their proliferation. Moreover, insofar as possible, 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. In this way, exports and recipients make an active contribution towards not increasing the number of small arms available worldwide, and preventing their proliferation across to grey or black markets. Germany and, in particular the Bundeswehr, destroys surplus small arms.

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

9. Initiative for an Arms Trade Treaty

The lack of international standards for trade in conventional arms has far-reaching negative consequences. The consequences of non-existent or non-functioning export control systems in many countries include accumulations of weapons with a destabilising effect on the region, the disappearance of military equipment into illegal arms markets, and the misuse of arms in conflicts and to commit serious violations of human rights. Against this background, regulating the international trade in arms can help to prevent armed conflicts, to limit transnational organised crime, and to prevent terrorism. It would foster a development

towards more peace and security, regional stability and sustainable social and economic development.

The aim of an international arms trade treaty (ATT)²⁵ is to set binding, high and global standards for trade in conventional military equipment for the first time. The intention is to combat uncontrolled international trade in conventional military equipment by means of a worldwide harmonisation of national export controls and regional control instruments and by closing gaps in regulation. With this aim in mind, the German government plays an active part in the ATT process at the United Nations.

An UN conference held from 2 - 27 July 2012 was intended to bring the process launched ten years ago by civil society to a provisional conclusion. However, some participants felt ultimately unable to accept the consensus which was in reach and which would have required compromises – some of them significant – from all the participating countries. Nevertheless, this conference made it possible for important positions to be determined and produced a draft treaty which can form a basis for further work towards an ATT.

The German government continues to advocate that the scope of the military equipment to be covered should be as far reaching as possible, including small arms and ammunition, that a clear catalogue of decision-making criteria should be made binding (e.g. upholding of human rights, respect for international humanitarian law, maintaining of regional stability, consideration for the internal situation in the country of destination) and that there should be an effective system to ensure the end-use of such equipment.

It will continue its efforts with a view to achieving international enforcement of a responsible export control policy for military equipment at a high level.

Together with the large majority of ATT advocates, particularly from Africa and Latin America, the German government and its European partners will continue to call for an ATT to be achieved as quickly as possible in the UN context and will continue the necessary process for this.

25 Available on the Internet at: <http://www.un.org/disarmament/convarms/ATTPrepCom/index.htm>.

In the run-up to the above-mentioned conference, the German government continued to work bilaterally and in co-operation with its EU partners for a strong treaty. Not least, its experts participated in EU seminars. It also played an active role at sessions of the preparatory committee on substantive and procedural questions for the above-mentioned conference.

10. Outreach activities

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

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

Council Decision 2009/1012/CFSP expired in mid-March 2012. The EU member states agreed in June 2012 on a new Council Decision which is to enter into force before the end of the year and to intensify co-operation with third countries in south-eastern Europe, the southern Caucasus, Central Asia and the North African Mediterranean countries.

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

The following is an outline of **licences** granted for military equipment exports in 2011; **actual exports** are also listed for the sub-sector **war weapons**. The outline is complete to the extent that disclosure has not been restricted by law. In particular, the names of the respective exporters cannot be released owing to the legal protection afforded business and industrial secrets under Section 30 of the Law on Administrative Procedure.

The Federal Office of Economics and Export Control (BAFA)²⁶ compiles a list of the **export licences** granted for all military equipment (war weapons and other military equipment). The figures for reporting year 2011 are displayed under III. 1. and outlined in further detail in Annex 7. A detailed overview of the 20 leading countries of destination in the reference year can be found in Annex 6.

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

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

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

1. Export licences for military equipment (war weapons and other military equipment)

Annex 7 presents an outline of military equipment licences granted and/or denied in 2011²⁷, 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 by Germany in accordance with the EU Common Position (cf. II. 3.), a corresponding remark is noted together with the reason for denial (number of the respective criterion in the EU Common Position).

The figures presented in columns 2 to 4 relate to export licences issued. Experience shows that actual export values are significantly lower than these licence values. The reason is that licences sometimes remain either partly or entirely unused. It should also be noted that some or all of the articles are frequently not exported or not entirely exported in the year in which the licence was issued.

26 Internet Address: <http://www.bafa.de>.

27 Goods in Part I Section A of the Export List, Appendix AL to the Foreign Trade and Payments Ordinance.

a) Individual licences

In 2011 a total of 17.586 individual licence applications for the final²⁸ export of military equipment were approved in Germany (year earlier: 16.145). The total value of the licences – not that of actual exports – was € 5.414 million. This was roughly a € 660 million increase over figures for the year 2010 (€ 4.754 million), but was below the record figure from 2008.

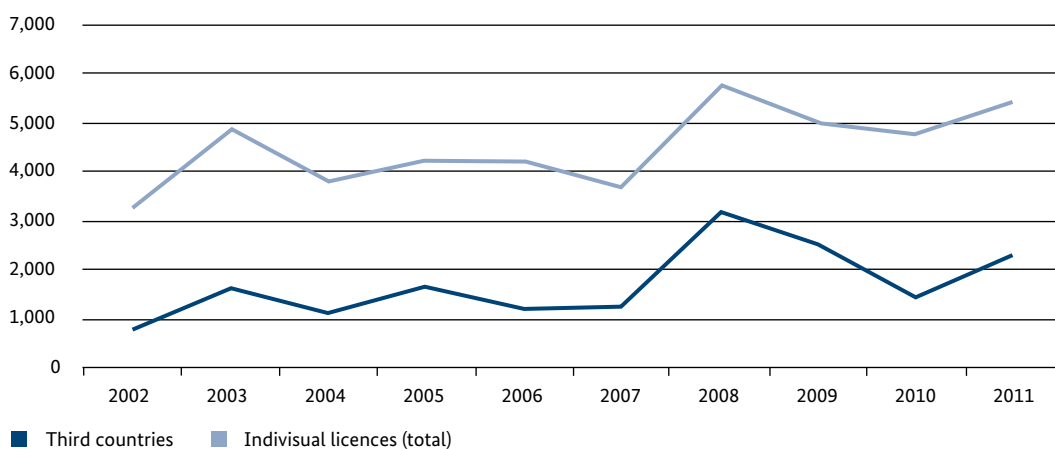
Individual licences for countries designated in No. II of the Political Principles of 19 January 2000 (EU member states, NATO and NATO-equivalent countries) accounted for € 3.116 billion of this amount (previous year: € 3.371 billion). Licences for goods with end-use in EU member states achieved a total value of € 1.954 billion (preceding year: € 2.315 billion), and licences for goods with end-use in NATO or NATO-equivalent countries (not including EU countries) a total value of € 1.162 billion (preceding year: € 1.056 billion) – in each case without collective export licences. The licence value for exports to third countries amounted to € 2.298 billion (previous year: € 1.383 billion).

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

For exports of military equipment to developing countries²⁹, individual licences valued at a total of approx. € 501.8 million were issued in 2011 (2010: € 365.3 million). This is equivalent to 9.3 % of the value of all German individual licences for military equipment (the proportion in 2010 was around 7.7 %). The leading countries of destination amongst the developing countries in 2011 were Iraq (€ 244.3 million – helicopters), India (€ 90 million – mainly missiles, parts for tanks and armoured vehicles and communications equipment) and Egypt (€ 74.2 million – mainly for tanks, armoured vehicles and communications equipment).

A breakdown of the various types of goods for which export licences were issued can be found in Annex 7.

Figure 1: Trend of value for individual licences 2002 - 2011
(in € millions)



²⁸ Licences of temporary exports, e.g. for fairs, exhibitions, and/or demonstration purposes, are not included.

²⁹ For the term "developing countries," see footnote 3.

The value of licences for the group of the poorest and other low-income developing countries declined substantially in 2011 relative to the previous year. The total share of this group of countries amounted to € 3.1 million (2010: € 104.9 million) or 0.06 % (2010: 2.0 %) of the value of all individual export licences for military equipment in 2011.

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

38 export licences worth a total of approx. € 25 million, mainly for the Canadian armed forces in Afghanistan. Since the end user of the goods is the armed forces of a NATO country, development policy aspects played no role in the decision – cf. also the 2010 Report. The licence values for developing countries also omit export licences for the UN and other international organisations in countries like Sudan, South Sudan, Congo and Angola worth a total of approx. € 5 million.

Figure 2: Licences for developing countries 2002-2011
(in € millions)

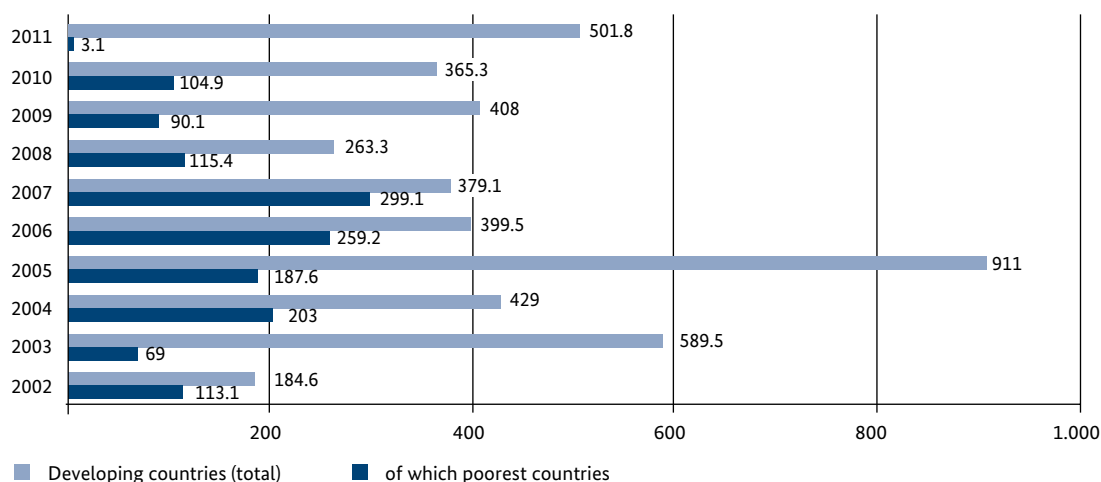
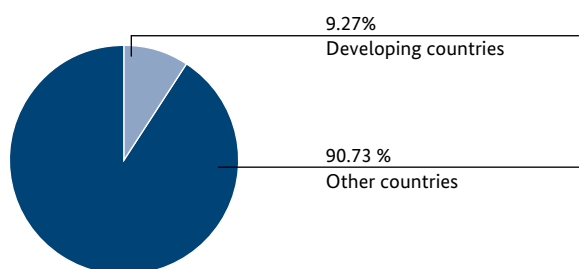


Figure 3: Developing countries' share of total value of licences issued in 2011



b) Collective export licences

91 **collective export licences** were issued in 2011, the value totalling approximately € 5.38 billion (2010: 69 worth some € 737.3 million), on the basis of which the companies were able to undertake several exports to the same or various consignees abroad. These mainly involved collaboration on official government co-operation projects (e.g. co-operation on the Eurofighter). The high figure is due to the fact that for technical reasons in 2010 (following the conversion of the BAFA computer system) no collective export licences were issued for many months and were not processed until 2011 (cf. also 2010 Report).

Collective export licences are normally granted exclusively for exports to NATO and NATO-equivalent countries.

c) Export licence denials

In 2011, 105 applications for military equipment exports (2010: 113) were denied. The total value of the denials came to € 24.8 million (2010: € 8.1 million). The figure does not include applications withdrawn by applicants prior to notification because of poor chances of success or for other reasons. Like the values for licences for third countries, the figures for export licence denials are also subject to great fluctuations for this group of countries.

Since the acquisition of new orders costs money, many applicants seeking to export to sensitive destinations make a formal or informal inquiry with the control authorities about the prospects of their applications

prior to the submission of a licence request. Where the response to the inquiry is negative, there are only very rare cases in which a formal application is filed, the denial of which is then included in the attached statistical overview (Annex 7). As a rule, applications appearing to have no prospects of success are not submitted.

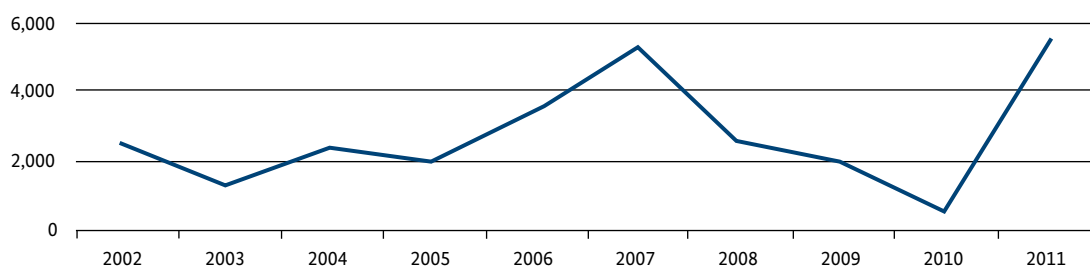
The highest-value denials in 2011 affected Libya (€ 8.6 million), Serbia (€ 5.2 million) and Bahrain (€ 4.6 million).

Denials for the final export of arms concerned the following destinations in 2011: Andorra, Angola, Bahrain, Belarus, Bosnia and Herzegovina, Bulgaria, Chad, China, Colombia, Croatia, Cyprus, Georgia, Hong Kong, India, Israel, Kazakhstan, Kyrgyzstan, Liberia, Libya, Macao, Mexico, Moldova, Namibia, Oman, Pakistan, Paraguay, Philippines, Russia, Serbia, Singapore, South Africa, Taiwan, Thailand, Turkmenistan, Ukraine, UAE, Vietnam.

d) Most important countries of destination

The 20 most important countries of destination for which individual export licences were granted in 2011 are listed in Annex 6. The ranking varies from year to year. In 2011, the ten largest recipients were: Netherlands, USA, UAE, Singapore, UK, Iraq, Italy, Algeria, Korea (Rep.) and France.

Figure 4: Trend of licence values for collective licences 2002 - 2011
(in € millions)



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

The individual export licences issued in 2011 are broken down into the 22 EL Items as follows:

The below table is based on the 17.586 individual licences issued in 2011³¹. It shows that the category which accounted for the largest share of exports of military equipment in terms of value in 2011 was “wheeled and tracked military vehicles”, totalling € 1.49 billion. The second-largest item was “ammunition” (€ 1.07 billion, of which € 863 million consisted of shipments to the Netherlands), followed in third place by “military aircraft” (€ 399.9 million).

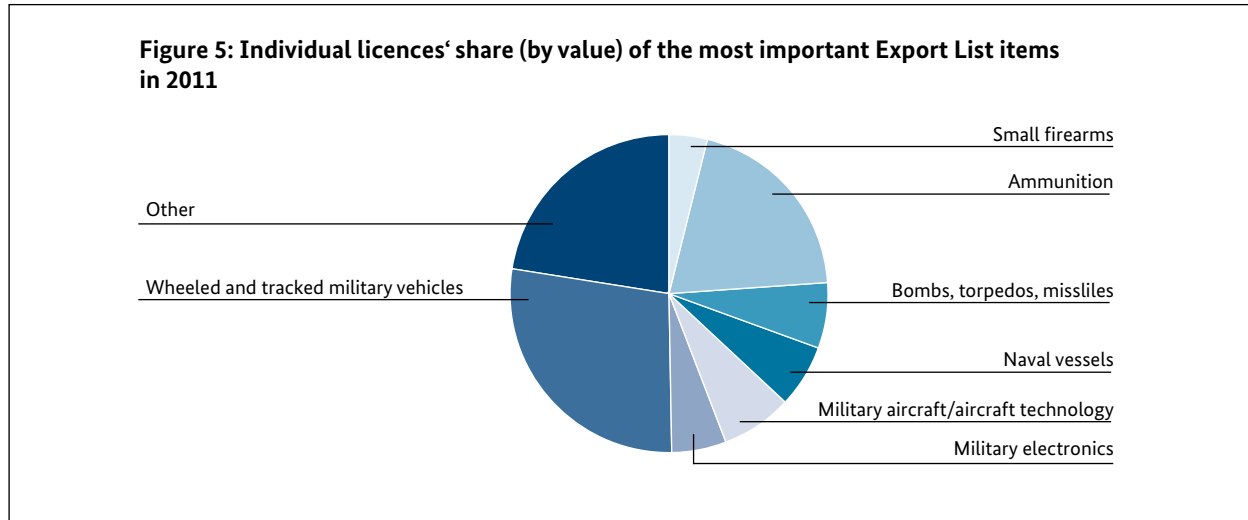
The small firearms item-number on the Export List (A 0001) includes not only small arms but also the so-called civilian weapons such as hunting, sporting, and self-defence weapons, which are much more important in terms of licence values; more detailed information on this point is available below, under III. 1. h.

Table B

EL Item	Description of Item	Number	Value (€ millions)
A 0001	Small firearms	5,433	222.3
A 0002	Large calibre weapons	367	83.6
A 0003	Ammunition	1,233	1,079.6
A 0004	Bombs, torpedoes, missiles	380	362.0
A 0005	Fire control systems	583	186.6
A 0006	Wheeled and tracked military vehicles	3,859	1,498.0
A 0007	Equipment for NBC defence, irritants	161	23.8
A 0008	Explosives and fuels	305	11.2
A 0009	Naval vessels	596	340.2
A 0010	Military aircraft / aircraft technology	1,069	399.9
A 0011	Military electronics	1,096	301.0
A 0013	Ballistic protection equipment	108	38.9
A 0014	Training and simulator equipment	116	245.7
A 0015	Infrared/thermal imaging equipment	228	54.6
A 0016	Semi-finished parts for the production of certain items of military equipment	566	114.0
A 0017	Miscellaneous equipment	392	230.4
A 0018	Manufacturing equipment for the production of military articles	680	61.9
A 0019	HF weapon system	2	1.4
A 0021	Military software	293	83.9
A 0022	Technology	741	75.5
Total		18,208	5,414.5

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

The share accounted for by the most important categories is clearly shown in the following illustration:



f) Export licences from 2002 to 2011

The following table compares the values (€ millions) of the **licences issued** in the years 2002 to 2011 for final exports. To provide a better basis for comparison, the values are not broken down by individual countries of destination but packaged together for the privileged

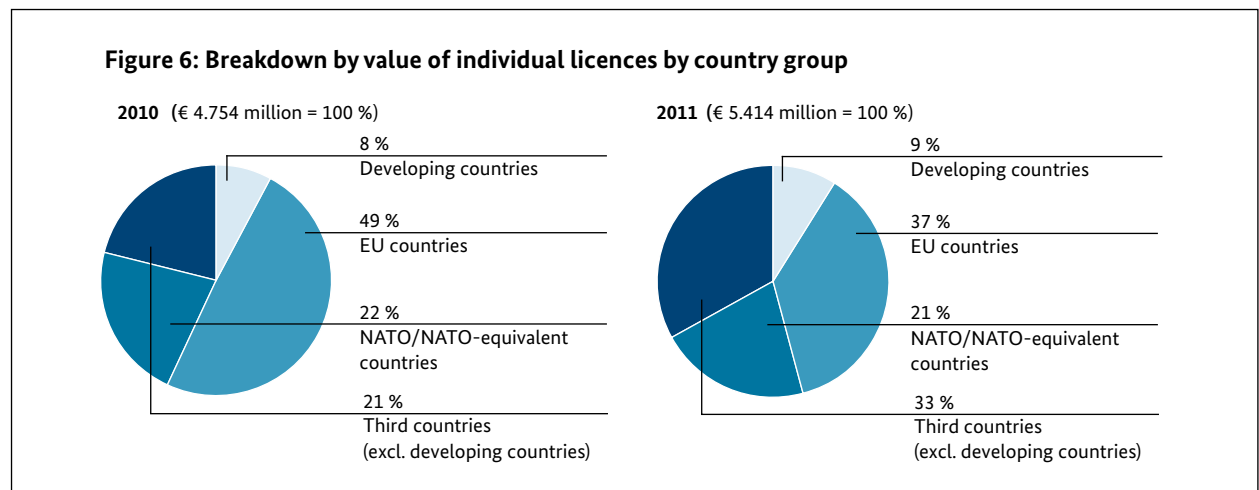
countries of destination (EU, NATO, NATO-equivalent) on the one hand and third countries on the other. A breakdown by individual country can be found in Annex 7.

Table C

Year	EU countries (€ millions)	NATO or NATO-equivalent countries (without EU countries) (€ millions)	Third countries (€ millions)	Individual export licences Total (€ millions)	Collective licences Total (€ millions)
2002	1,363.5	1,149.5	744.6	3,257.6	2,550.6
2003	1,892.0	1,359.2	1,613.0	4,864.2	1,328.0
2004	1,915.8	810.7	1,080.2	3,806.7	2,437.1
2005	1,440.3	1,120.0	1,655.5	4,215.8	2,032.8
2006	1,863.3	1,174.4	1,151.3	4,189	3,496.2
2007	1,297	1,141	1,230	3,668	5,053
2008	1,839	809	3,141	5,788	2,546
2009	1,445	1,106	2,492	5,043	1,996
2010	2,315	1,056	1,383	4,754	737
2011	1,954	1,162	2,298	5,414	5,381

The two following illustrations compare the values accounted for by the various country groups for the years 2010 and 2011. Pursuant to the Political Principles, the EU, NATO, and NATO-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 2011

The licence values shown under f) 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 the war weapons' share of overall values for individual licences in 2011. Individual licences for the export of war weapons add up to a total of € 1.65 billion, thus approximately 30.6 % of the total for overall individual licences (the figures for 2010 were € 1.5 billion and 32 %). The following table displays – broken down by country – total licences for the export of war weapons to **third countries** in 2011 (total value: € 804.1 million; 2010 figure: € 198 million): The year-on-year increase largely resulted from licences for exports to Algeria, Singapore and Iraq.

Table D

Country	Individual decisions or applications for war weapons	Value in €
Afghanistan	1	11,040
Algeria	1	214,000,000
Argentina	1	302,600
Brazil	14	35,553,474
Brunei	1	421,500
Chile	1	4,052,604
Colombia	1	11,000,000
Ghana	1	28,050,000
India	8	2,905,568
Indonesia	7	650,400
Iraq	33	218,044,947
Israel	6	522,915
Korea, Republic	6	352,920
Kosovo	3	1,074,700
Lebanon	5	29,562
Malaysia	4	22,302
Oman	6	2,939,058
Philippines	6	378,300
Saudi Arabia	14	29,021,738
Serbia	1	59,950
Singapore	19	171,394,088
South Africa	3	782,687
Thailand	2	3,357,000
Trinidad and Tobago	1	65,712
United Arab Emirates	8	78,910,100
Hong Kong	4	184,905
St. Helena	1	3,300
Total	158	804,091,370

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

h) Individual licences for the export of small arms from 2002 to 2011

In view of the continuing special problems associated with the destabilising effects of accumulations of small arms and light weapons (“small arms”) in crisis areas³², the German Government is additionally reporting for 2011 on individual licences for the export of small arms.

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

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

At the international level, the term “small arms” has various meanings and is defined differently in different forums. Although there are (to some extent considerable) differences in details, there is large agreement on basic elements. But there is still no uniform understanding of all weapon categories. The **OSCE small arms definition**³³ and the **EU’s small arms definition**³⁴ provide something of a model. Both of these definitions are based on the term “small arms and light weapons”, which is widely used internationally, and

32 Cf. II.8. in this regard..

33 Cf. the OSCE small arms document, footnote 21.

34 See Appendix of the Joint Action of 12 July 2002 on the European Union’s Contribution to Combating the Destabilising Accumulation and Spread of Small Arms and Light Weapons (2002/589/CFSP). For more details: Fifth Annual Report on the implementation of the EU Joint Action of 12/07/2002 (OJ C 171 of 22 July 2006), p. 1.

distinguish between small arms (mainly small military firearms) and light weapons (most notably portable rocket and artillery systems). Both definitions are also in agreement in that they include only such weapons as are specifically intended for military use, not, however, civilian weapons such as, in particular, hunting and sporting weapons, or civilian (i.e. not specifically designed for military use) weapons of self defence (revolvers and pistols).

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

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

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

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

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

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

- *machine guns (including heavy machine guns)*
- *submachine guns, including fully automatic pistols*
- *fully automatic rifles*
- *semi-automatic rifles, if developed and/or introduced as models for the armed forces*
- *moderators (silencers)*

(b) Man or crew-portable light weapons:

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

Using the EU’s small arms definition, the following tables show the value of licences for the export of sub-machine guns, machine guns, automatic and semi-automatic weapons, smooth-bore military weapons, weapons for caseless ammunition and parts for such weapons (Table E)³⁵, and for the export of ammunition for guns, submachine guns and machine guns and parts for such ammunition (Table G)³⁶ for 2002-2011.

35 Excluding hunting and sporting weapons.

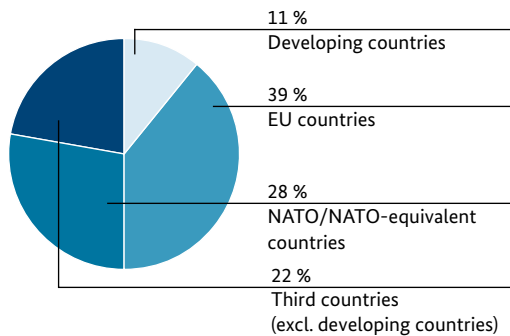
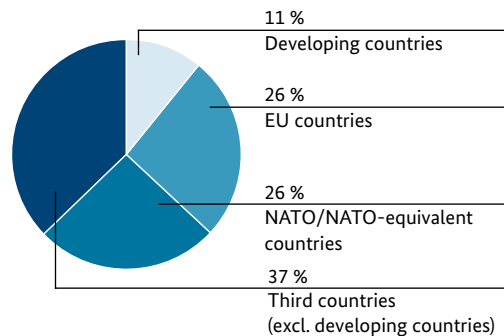
36 Excluding ammunition for hunting and sporting weapons.

Table E: Individual Licences for the Export of Small Arms – Values in € millions

Year	EU countries	NATO/NATO-equivalent countries (without EU countries)	Third countries	Individual licences (total)
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
2006	11.45	10.23	15.6	37.28
2007	9.35	9.38	30.2	48.93
2008	22.72	28.94	17.18	68.85
2009	35.97	20.10	14.32	70.40
2010	19.42	13.81	16.30	49.54
2011	10.03	9.95	17.92	37.90

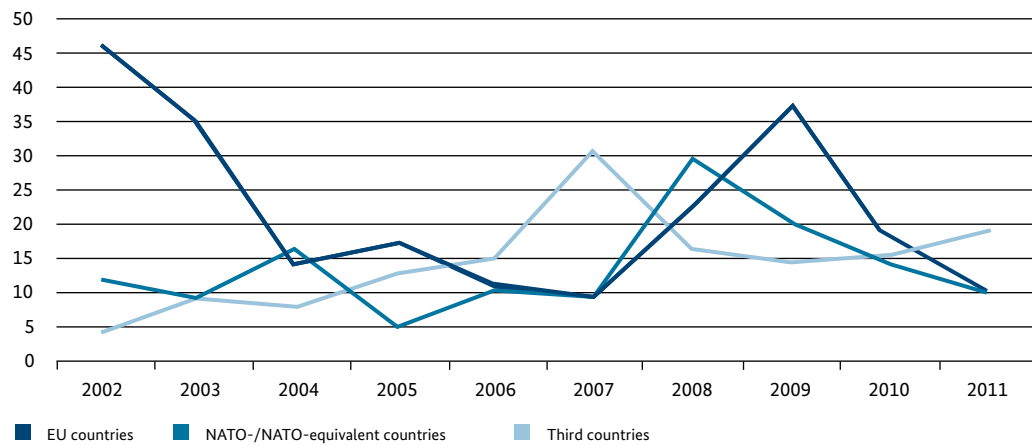
The following illustrations show the values broken down by three country groups for small arms licences issued in 2010 and 2011; in addition the group “third countries” has been divided into developing countries and other third countries. The shares fluctuate from

year to year. The developing countries³⁷ accounted for approx. 11 % of all licences for small arms in 2011. The German Government will continue to take a particularly restrictive approach to exports of small arms to developing countries in future.

Figure 7: Breakdown by value of individual licences for small arms by country group**2010** (49.54 Mio. € = 100 %)**2011** (37.90 Mio. € = 100 %)

37 For the term “developing countries,” see footnote 3.

Figure 8: Trend of export licences for small arms 2002 - 2011
(licence value in € millions)



The aggregate value of individual export licences for small arms is significantly lower than the aggregate value of total export licences for small firearms as listed above under e) for EL position 0001 (€ 222.3 million). This is the result of the fact that the definition of small firearms found there also includes civilian weapons (revolvers, pistols) used for self defence, as well as hunt-

ing and sporting weapons, and therefore extends far beyond that of small arms as understood internationally. For this reason, only 8 % of the licence values for small arms apply to licences for small arms destined for third countries (€ 17.9 million). The proportion of small arms licensed for third countries stood at € 16.3 million in the preceding year.

Table F: Individual Licences for the Export of Small Arms to Third countries Broken down by Countries, Licence Values and Unit Numbers for 2011³⁸

Country	Licences Total	EL Item	Value	Designation	Unit
Afghanistan	2	0001A-02	11,040	Rifles with war weapons list number [foreign embassy]	8
			2,160	Requisite components [foreign embassy]	80
Argentina	3	0001A-05	302,600	Submachine guns	175
			61,750	Requisite components	765
Bahrain	1	0001A-02	18,000	Parts for rifles with war weapons list number	100
Brazil	15	0001A-02	13,582	Rifles with war weapons list number	10
			3,692	Requisite components;	81
		0001A-05	3,886	Submachine guns	4
			312	Requisite components;	11
		0001A-06	5,617	Machine guns	1
			554	Requisite components	3
Brunei	1	0001A-05	28,000	Components for submachine guns	800
Côte d'Ivoire	2	0001A-02	13,601	Parts for rifles with war weapons list number [UN mission];	101
		0001A-05	2,406	Components for submachine guns [UN mission]	25
India	6	0001A-02	25,344	Rifles with war weapons list number	4
			6,172	Requisite components;	84
		0001A-05	69,174	Submachine guns	48
			6,612	Requisite components	50
Indonesia	11	0001A-02	210,650	Rifles with war weapons list number	112
			6,185	Requisite components;	410
		0001A-05	439,750	Submachine guns	242
			23,724	Requisite components	952
Iraq	8	0001A-06	2,791,120	Machine guns	8
			694,188	Requisite components	32
Korea, Republic	4	0001A-05	23,320	Submachine guns	22
			2,071	Requisite components	92
Kosovo	4	0001A-02	972,000	Rifles with war weapons list number	900
			53,100	Requisite components;	900
		0001A-05	5,700	Submachine guns	5
			3,435	Requisite components	20
Lebanon	10	0001A-02	21,522	Rifles with war weapons list number [UN mission]	12
			6,422	Requisite components [UN mission];	120
		0001A-05	3,040	Submachine guns [UN mission]	2
			564	Requisite components [UN mission]	6
Malaysia	8	0001A-02	15,482	Rifles with war weapons list number	4
			8,549	Requisite components;	743
		0001A-05	5,220	Submachine guns	2
			42,475	Requisite components	1,930
Oman	4	0001A-02	68,741	Rifles with war weapons list number	48
		0001A-06	64,005	Machine guns	10
			1,500	Requisite components	5
Philippines	8	0001A-02	289,050	Rifles with war weapons list number	196
			60,415	Requisite components;	1,729
		0001A-05	51,750	Submachine guns	25

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

Country	Licences Total	EL Item	Value	Designation	Unit
Saudi Arabia	38	0001A-02	6,822,096	Rifles with war weapons list number	4,259
			908,835	Requisite components;	11,578
		0001A-05	1,520,417	Submachine guns	1,233
			93,028	Requisite components;	21,235
Serbia	4	0001A-06	7,120	Components for machine guns	8
		0001A-02	9,060	Components for rifles with war weapons list number	120
		0001A-05	59,950	Submachine guns	50
			6,400	Requisite components	200
Singapore	21	0001A-02	818,540	Rifles with war weapons list number	595
			860,660	Requisite components;	10,420
		0001A-05	90,020	Submachine guns	68
			15,814	Requisite components	160
South Africa	1	0001A-06	2,832	Components for machine guns	600
Uganda	1	0001A-02	4,140	Parts for rifles with war weapons list number [UN mission]	108
UAE	3	0001A-02	17,660	Rifles with war weapons list number	16
			10,140	Requisite components;	184
		0001A-05	33,810	Components for submachine guns	2,767
Hong Kong	8	0001A-05	161,105	Submachine guns	106
			33,630	Components for submachine guns	319
St. Helena	1	0001A-02	3,300	Rifles with war weapons list number [police]	4
			1,042	Requisite components [police]	20
Taiwan	1	0001A-05	479	Components for submachine guns	33
Total	165		17,918,558		

Table G: Individual licences for ammunition for small arms, including ammunition parts – values in € million for 2002-2011

Year	EU countries	NATO/NATO-equivalent countries (without EU countries)	Third countries	Individual licences (total)
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
2006	13.31	7.76	0.15	21.22
2007	16.77	13.59	1.4	31.76
2008	10.10	10.18	18.65	38.94
2009	41.18	17.53	2.63	61.35
2010	10.35	17.13	2.00	29.48
2011	15.15	17.63	1.77	34.55

The two charts below show the monetary value of licences in 2010 and 2011 for the export of small arms munitions to the three categories of countries mentioned above (in the chart, the percentages for developing countries and other third countries are shown separately). Licences for small arms ammunition to third countries have declined again compared with the preceding years. The proportion of licences for small arms ammunition for developing countries rose in 2011 compared with the preceding year. The shares fluctuate from year to year. Third countries accounted for a share of 5 % of individual licences for ammunition; the developing countries' share stood at only 2 %.

The total value of the 50 licences was approx. € 1.7 million in 2011. Overall, small arms and small arms munitions accounted for only a minute fraction of the total value of all individual licences: in 2011, it stood at only 1.3 %.

i) Licences for brokering transactions in 2011

The rules on the licensing of trading and brokering transactions involving military equipment covered by Part I Section A of the Export List derive from Sections 40-42 of the Foreign Trade and Payments Ordinance;

the rules on war weapons are based on Section 4 a of the War Weapons Control Act. Statistics are only kept on trading and brokering transactions for goods located in a third country and which are exported via Germany to another third country. The "third countries" do not include the EU member states, NATO and NATO-equivalent countries.

In 2011, a total of 27 (2010: 23) licences for brokering transactions were issued for recipients in third countries, worth approx. € 5.5 million. In 2011 there was one denial, after none in the previous year. Annex 8 contains an overview of these licences.

2. Exports of war weapons

a) War weapon exports in reporting year 2011

In 2011, Germany's Federal Statistical Office (DESTATIS) determined that goods worth a total value of € 1.285 million (0.12 % of all German exports) were exported from Germany (2010: € 2.119 million or 0.22 %). The total value thus declined by € 834 million compared with the year before. In value terms, 32 % of the war weapons exports went to EU, NATO, and

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

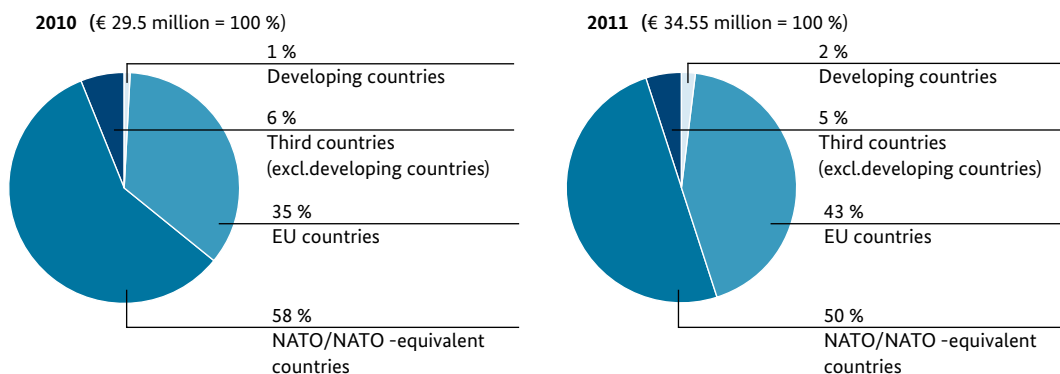


Table H: Individual Licences for the Export of Small Arms Ammunition to Third countries, by Country, for 2011³⁹

Country	Licences Total	EL Item	Value (€)	Designation	Unit
Afghanistan	2	0003A-01	111,250	Ammunition for rifles	190,000
Andorra	1	0003A-01	203	Ammunition for rifles	60
Brazil	3	0003A-01	2,700 7,910	Ammunition for rifles Parts for rifle ammunition	10,000 110,000
Brunei	1	0003A-05	421,500	Ammunition for submachine guns	600,000
Egypt	1	0003A-01	25,647	Ammunition for rifles	20,000
Iraq	4	0003A-01 0003A-06	272,000 94,150	Ammunition for rifles [UN mission]; Ammunition for machine guns [UN mission]	598,000 70,000
Kazakhstan	1	0003A-01	3,200	Ammunition for rifles	8,000
Korea, Republic	1	0003A-05	54,000	Ammunition for submachine guns	100,000
Kosovo	1	0003A-05	97,000	Ammunition for submachine guns	20,000
Lebanon	2	0003A-01	31,530	Ammunition for rifles [UN mission]	80,000
Namibia	2	0003A-01	128,703	Ammunition for rifles	1,114,700
Oman	1	0003A-01	1,330	Ammunition for rifles	5,000
Peru	1	0003A-01	2,600	Ammunition for rifles	2,000
Russian Federation	13	0003A-01	291,068	Ammunition for rifles	420,010
UAE	3	0003A-01 0003A-06	26,913 3,700	Ammunition for rifles; Ammunition for machine guns	81,000 2,000
Ukraine	10	0003A-01	174,483	Ammunition for rifles	108,600
Zambia	1	0003A-01	9,000	Ammunition for rifles	15,000
Greenland	2	0003A-01	14,150	Ammunition for rifles	59,180
Third countries Total	50		1,773,037		3,613,550

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

In 2011, war weapons worth a total of € 161.6 million, or approx. 13 % of all exports of war weapons, were exported to developing countries (2010: € 108.2 million or approximately 5.1 %). This relatively high percentage is mainly due to exports to Iraq worth € 159.5 million. The other exports of war weapons to developing

countries went to Indonesia, India, Philippines and Kosovo, and were worth a mere € 2.17 million, or less than 0.2 % of the total exports of war weapons.

39 "Small arms ammunition" comprises ammunition for: rifles, submachine guns, machine guns and ammunition parts for such weapons. Ammunition for revolvers, pistols, hunting and sporting weapons and smooth-bore weapons is not included.

(1) Bundeswehr exports

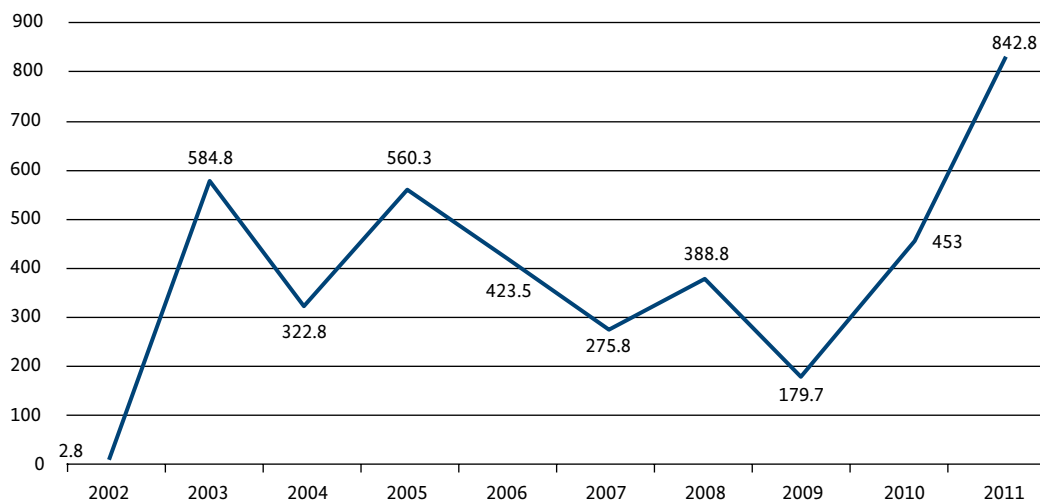
Within the exports, a merchandise value of € 38.8 million (some 3 % of total exports of war weapons) was accounted for by the transfer of material by the German Ministry of Defence. This is lower than the figure for 2010 (€ 43.0 million). Almost all of these exports went to South Korea (€ 37.1 million).

Whilst actual total exports dropped by 40 % between 2010 and 2011, the proportion of commercial exports of war weapons to third countries rose substantially to € 842.8 million compared with 2010 (€ 453 million). Of these, exports worth € 304.0 million went to Brunei, exports worth € 210.7 million to Singapore and exports worth € 159.5 million to Iraq. These three countries thus accounted for 80 % of the total volume of commercial exports of war weapons to third countries.

(2) Commercial exports

The value of German companies' commercial exports amounted to € 1.246 billion in 2011 (2010: € 2.076 billion). 32 % of these exports (€ 402.9 million) went to EU and NATO or NATO-equivalent countries.

Figure 10: Commercial war weapons exports to third countries 2002 - 2011
(in € million)



The following outline contains all exports of war weapons in 2011 (commercial and German Ministry of Defence), broken down by consignee country and value.

Tabelle I

Country	Value in € 1,000
Albania	5
Argentina	303
Australia	771
Austria	6,427
Belgium	28,185
Brazil	49,262
Brunei	304,052
Bulgaria	9
Canada	40,598
Chile	9,978
Croatia	12
Czech Republic	104
Denmark	70
Estonia	105
Finland	1,014
France	11,794
Greece	7,077
Hungary	405
India	162
Indonesia	650
Iraq	159,465
Israel	245
Italy	24,275
Japan	158
Korea, Republic	75,290
Kosovo	978
Lebanon	30
Lithuania	137
Luxembourg	152
Malaysia	11
New Zealand	363
Netherlands	10,339
Norway	22,445
Oman	2,918
Philippines	378
Poland	42,361
Portugal	175
Romania	2,191
Saudi Arabia	29,599

Country	Value in € 1,000
Serbia	61
Singapore	210,773
Slovakia	4
Slovenia	6,446
South Africa	149
Spain	23,889
Sweden	6,374
Switzerland	25,370
Thailand	1,724
Turkey	66,989
United Arab Emirates	33,758
United Kingdom	47,762
USA	28,691
Hong Kong	189
Total	1,284,672

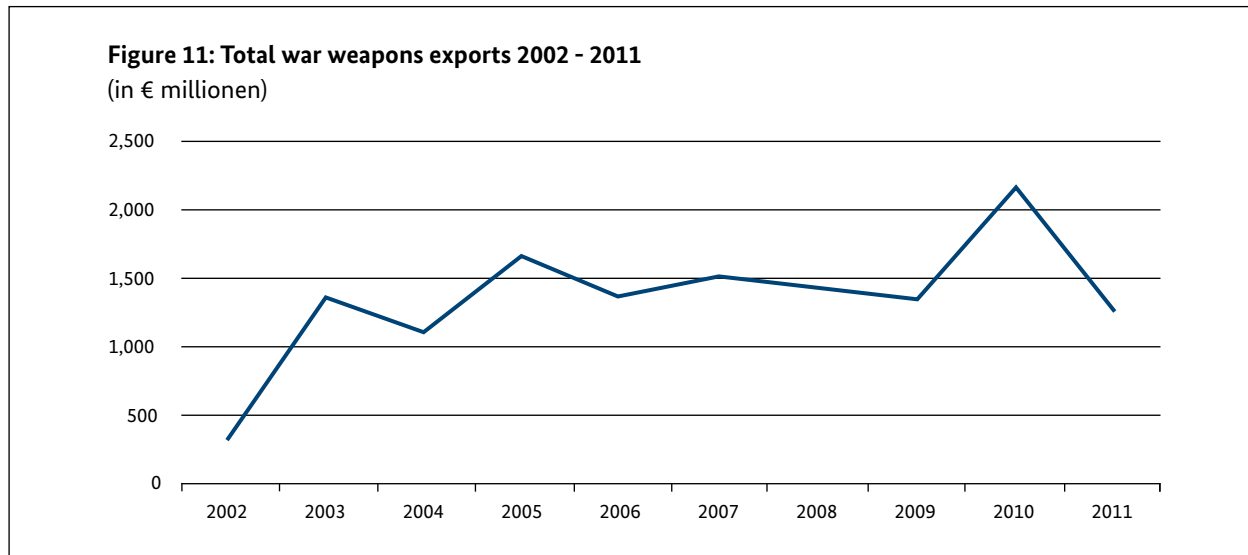
b) War weapon exports from 2002 to 2011

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

Tabelle J

Year	Total Value (in € millions)	% share of total German exports
2002	318.4	0.06
2003	1,332.8	0.20
2004	1,129.1	0.15
2005	1,629.7	0.26
2006	1,374.2	0.15
2007	1,510.1	0.16
2008	1,427.2	0.14
2009	1,338.8	0.17
2010	2,119.0	0.22
2011	1,284.7	0.12

Plotted on a chart, the trend is as follows:



3. German military equipment exports by international comparison

SIPRI, the Swedish peace research institute, published its paper on “Trends in International Arms Transfers 2011” in March 2012. It again ranks Germany third amongst the major exporters in the international listing, with a market share of 9 % (in the last SIPRI report, the figure was 11 %). The USA heads the ranking with 30 %, followed by Russia with 24 %; France comes fourth with 8 % and the UK fifth with 4 %. In the EU’s 2010 annual report, France comes well ahead of Germany.⁴⁰

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

tary equipment. The German government has commented in detail on the SIPRI statistics, most recently in the 2010 Report.

On 24 August 2012, the U.S. Congressional Research Service (CRS) presented its annual report covering 2011. The report, which can be accessed at <http://www.fas.org/sgp/crs/weapons/R42678.pdf>, is one of the most detailed presentations of data on weapons export contracts and actual exports of weapons.

According to the CRS report, Germany ranked fourth internationally in terms of weapons export contracts in the 2008-2011 period, with a volume of \$ 9.3 billion (behind the USA with \$ 145.7 billion, Russia with \$ 33.5 billion and France with \$ 19.6 billion). Amongst the countries with the highest actual arms exports in 2011, Germany ranks seventh with \$ 1.6 billion behind the USA (\$ 16.1 billion), Russia (\$ 8.7 billion), UK (\$ 3.0 billion), Israel (\$ 1.8 billion), France (\$ 1.7 billion) and Italy (\$ 1.7 billion). In the period from 2008-2011, Germany ranks third with \$ 10.8 billion (behind the USA with \$ 54.27 billion and Russia with \$ 27.5 billion).

40 Thirteenth Annual Report according to Article 8(2) of Council Common Position 2008/944/CFSP defining common rules governing control of exports of military technology and equipment; published in EU Official Journal C382 on 30 December 2011.

Beyond this, the question as to whether an export policy is restrictive or not cannot simply be answered on the basis of the total value of military equipment exports. Even a small value of exports of military equipment can present problems in terms of export control policy, whilst a high value can still be generated even if a restrictive export control policy is in place. One reason why the level of German exports of military equipment is of significance – including in the international comparison – is that a relatively high proportion of total German exports of military equipment is of high value (e.g. naval vessels). A restrictive policy on exports of military equipment does not mean imposing quotas on a value for a certain year, but rather taking a case-by-case approach and answering the question as to whether a particular export can be licensed for each individual application, giving consideration to all the circumstances and criteria of the “Political Principles”.

Annex 1

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

The Government of the Federal Republic of Germany, desiring

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

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

I. General Principles

1. The Federal Government's decisions regarding the export of war weapons⁴¹ and other military equipment⁴² are made in accordance with the provisions of the War Weapons Control Act and the Foreign Trade and Payments Act as well as the EU Code of

Conduct on Arms Exports adopted by the European Council on 8 June 1998⁴³ and such arrangements as may be agreed subsequently as well as the Principles Governing Conventional Arms Transfers adopted by the Organisation for Security and Co-operation in Europe (OSCE) on 25 November 1993. The criteria laid down in the EU Code of Conduct are an integral part of these Political Principles. The standards stipulated in the Code of Conduct will be superseded by any more stringent standards that may be derived from the following principles:

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 that they will be used for internal repression as defined in the EU Code of Conduct on Arms Exports or the sustained and systematic abuse of human rights. In this context the assessment of the human rights situation in the recipient country is an important factor to be considered.
4. Such assessments will take into account the views of the European Union, the Council of Europe, the United Nations (UN), the OSCE and other international bodies. Reports issued by international human rights organisations will also be taken into consideration.
5. The end-use of war weapons and other military equipment must be definitively determined.

41 Weapons (complete weapons as well as components classed separately as weapons) listed in the War Weapons List (Annex to the War Weapons Control Act).

42 Goods specified in Part I, Section A of the Export List (Annex to the Foreign Trade and Payment Ordinance) with the exception of war weapons.

43 Attached as annex 2

II. NATO countries⁴⁴, EU member states, countries with NATO-equivalent status⁴⁵

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

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

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

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

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

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

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

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

⁴⁴ Area of application of NATO Treaty, Article 6.

⁴⁵ Australia, Japan, New Zealand, Switzerland.

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

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

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

III. Other countries

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 weapons⁴⁶ 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.

⁴⁶ 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 organised crime,
 - complies with international obligations, especially renunciation of the threat or use of force, including obligations under humanitarian law on international or non-international conflicts,
 - has assumed obligations in the area of non-proliferation and other aspects of arms control and disarmament, notably by signing, ratifying and implementing the arms control and disarmament arrangements specified in the EU Code of Conduct on arms exports,
 - supports the UN Arms Register

IV. Definitive determination of end-use

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 authorisation. This applies mutatis mutandis to any other military equipment related to war weapons exported in connection with a manufacturing licence. For the export of such equipment used for the manufacture of war weapons definitive end-use certificates must be furnished.

Stringent standards are to be applied in assessing whether the recipient country is capable of carrying out effective export controls.

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, authorises or does not seek to prevent or sanction the unauthorised re-export of war weapons or other military equipment relevant to war weapons will on principle, as long as such conditions persist, be excluded from receiving any further deliveries of war weapons or other military equipment related to war weapons.

V. Arms exports report

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

Annex 2

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

The council of the European Union

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

- (1) Member States intend to build on the Common Criteria agreed at the Luxembourg and Lisbon European Councils in 1991 and 1992, and on the European Union Code of Conduct on Arms Exports adopted by the Council in 1998.
- (2) Member States recognise the special responsibility of military technology and equipment exporting States.
- (3) Member States are determined to set high common standards which shall be regarded as the minimum for the management of, and restraint in, transfers of military technology and equipment by all Member States, and to strengthen the exchange of relevant information with a view to achieving greater transparency.
- (4) Member States are determined to prevent the export of military technology and equipment which might be used for internal repression or international aggression or contribute to regional instability.
- (5) Member States intend to reinforce cooperation and to promote convergence in the field of exports of military technology and equipment within the framework of the Common Foreign and Security Policy (CFSP).
- (6) Complementary measures have been taken against illicit transfers, in the form of the EU Programme for Preventing and Combating Illicit Trafficking in Conventional Arms.
- (7) The Council adopted on 12 July 2002 Joint Action 2002/589/CFSP⁴⁷ on the European Union's contribution to combating the destabilising accumulation and spread of small arms and light weapons.
- (8) The Council adopted on 23 June 2003 Common Position 2003/468/CFSP⁴⁸ on the control of arms brokering.
- (9) The European Council adopted in December 2003 a strategy against the proliferation of weapons of mass destruction, and in December 2005 a strategy to combat illicit accumulation and trafficking of SALW and their ammunition, which imply an increased common interest of Member States of the European Union in a coordinated approach to the control of exports of military technology and equipment.
- (10) The UN Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects was adopted in 2001.
- (11) The United Nations Register of Conventional Arms was established in 1992.
- (12) States have a right to transfer the means of self-defence, consistent with the right of self-defence recognised by the UN Charter.
- (13) The wish of Member States to maintain a defence industry as part of their industrial base as well as their defence effort is acknowledged.
- (14) The strengthening of a European defence technological and industrial base, which contributes to the implementation of the Common Foreign and Security Policy, in particular the Common European Security and Defence Policy, should be accompanied by cooperation and convergence in the field of military technology and equipment.

⁴⁷ OJ L 191 of 19.7.2002, p. 1

⁴⁸ OJ L 156 of 25.6.2003, p. 79.

(15) Member States intend to strengthen the European Union's export control policy for military technology and equipment through the adoption of this Common Position, which updates and replaces the European Union Code of Conduct on Arms Exports adopted by the Council on 8 June 1998.

(16) On 13 June 2000, the Council adopted the Common Military List of the European Union, which is regularly reviewed, taking into account, where appropriate, similar national and international lists.⁴⁹

(17) The Union must ensure the consistency of its external activities as a whole in the context of its external relations, in accordance with Article 3, second paragraph of the Treaty; in this respect the Council takes note of the Commission proposal to amend Council Regulation (EC) No 1334/2000 of 22 June 2000 setting up a Community regime for the control of exports of dual use items and technology.⁵⁰

has adopted this common position:

Article 1

- (1) Each Member State shall assess the export licence applications made to it for items on the EU Common Military List mentioned in Article 12 on a case-by-case basis against the criteria of Article 2.
- (2) The export licence applications as mentioned in paragraph 1 shall include:
 - applications for licences for physical exports, including those for the purpose of licensed production of military equipment in third countries,
 - applications for brokering licences,
 - applications for "transit" or "transshipment" licences,

- applications for licences for any intangible transfers of software and technology by means such as electronic media, fax or telephone.

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

Article 2

Criteria

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

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

- a) the international obligations of Member States and their commitments to enforce United Nations, European Union and Organisation for Security and Cooperation in Europe arms embargoes;
- 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) the commitment of Member States not to export any form of anti-personnel landmine;
- d) the commitments of Member States in the framework of the Australia Group, the Missile Technology Control Regime, the Zangger Committee, the Nuclear Suppliers Group, the Wassenaar Arrangement and The Hague Code of Conduct against Ballistic Missile Proliferation.

⁴⁹ Last amended on 10 March 2008, OJ C 98 of 18.4.2008, p. 1.

⁵⁰ OJ L 159 of 30.6.2000, p. 1

- (2) **Criterion 2:** Respect for human rights in the country of final destination as well as respect by that country of international humanitarian law.

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

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

For these purposes, technology or equipment which might be used for internal repression will include, inter alia, technology or equipment where there is evidence of the use of this or similar technology or equipment for internal repression by the proposed end-user, or where there is reason to believe that the technology or equipment will be diverted from its stated end-use or end-user and used for internal repression. In line with Article 1 of this Common Position, the nature of the technology or equipment will be considered carefully, particularly if it is intended for internal security purposes. Internal repression includes, inter alia, torture and other cruel, inhuman and degrading treatment or punishment, summary or arbitrary executions, disappearances, arbitrary detentions and other major violations of human rights and fundamental freedoms as set out in relevant international human rights instruments, including the Universal Declaration on Human Rights and the International Covenant on Civil and Political Rights.

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

- c) deny an export licence if there is a clear risk that the military technology or equipment to be exported might be used in the commission of serious violations of international humanitarian law.

- (3) **Criterion 3:** Internal situation in the country of final destination, as a function of the existence of tensions or armed conflicts.

Member States shall deny an export licence for military technology or equipment which would provoke or prolong armed conflicts or aggravate existing tensions or conflicts in the country of final destination.

- (4) **Criterion 4:** Preservation of regional peace, security and stability.

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

- a) the existence or likelihood of armed conflict between the recipient and another country;
- 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) the likelihood of the military technology or equipment being used other than for the legitimate national security and defence of the recipient;
- d) the need not to affect adversely regional stability in any significant way.

- (5) **Criterion 5:** National security of the Member States and of territories whose external relations are the responsibility of a Member State, as well as that of friendly and allied countries.

Member States shall take into account:

- (a) the potential effect of the military technology or equipment to be exported on their defence and security interests as well as those of Member State and those of friendly and allied countries, while recognising that this factor cannot affect consideration of the criteria on respect for human rights and on regional peace, security and stability;
 - (b) the risk of use of the military technology or equipment concerned against their forces or those of Member States and those of friendly and allied countries.
- (6) Criterion 6:** Behaviour of the buyer country with regard to the international community, as regards in particular its attitude to terrorism, the nature of its alliances and respect for international law.
- Member States shall take into account, inter alia, the record of the buyer country with regard to:
- a) its support for or encouragement of terrorism and international organised crime;
 - b) its compliance with its international commitments, in particular on the non-use of force, and with international humanitarian law;
 - c) its commitment to non-proliferation and other areas of arms control and disarmament, in particular the signature, ratification and implementation of relevant arms control and disarmament conventions referred to in point (b) of Criterion One.
- (7) Criterion 7:** Existence of a risk that the military technology or equipment will be diverted within the buyer country or re-exported under undesirable conditions.
- In assessing the impact of the military technology or equipment to be exported on the recipient country and the risk that such technology or equipment might be diverted to an undesirable end-user or for an undesirable end use, the following shall be considered:
- a) the legitimate defence and domestic security interests of the recipient country, including any participation in United Nations or other peace-keeping activity;
 - b) the technical capability of the recipient country to use such technology or equipment;
 - c) the capability of the recipient country to apply effective export controls;
 - d) the risk of such technology or equipment being re-exported to undesirable destinations, and the record of the recipient country in respecting any re-export provision or consent prior to re-export which the exporting Member State considers appropriate to impose;
 - e) the risk of such technology or equipment being diverted to terrorist organisations or to individual terrorists;
 - f) the risk of reverse engineering or unintended technology transfer.
- (8) Criterion 8:** Compatibility of the exports of the military technology or equipment with the technical and economic capacity of the recipient country, taking into account the desirability that states should meet their legitimate security and defence needs with the least diversion of human and economic resources for armaments.
- Member States shall take into account, in the light of information from relevant sources such as United Nations Development Programme, World Bank, International Monetary Fund and Organisation for Economic Cooperation and Development reports, whether the proposed export would seriously hamper the sustainable development of the recipient country. They shall consider in this context the recipient country's relative levels of military and social expenditure, taking into account also any EU or bilateral aid.

Article 3

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

Article 4

(1) Member States shall circulate details of applications for export licences which have been denied in accordance with the criteria of this Common Position together with an explanation of why the licence has been denied. Before any Member State grants a licence which has been denied by another Member State or States for an essentially identical transaction within the last three years, it shall first consult the Member State or States which issued the denial(s). If following consultations, the Member State nevertheless decides to grant a licence, it shall notify the Member State or States issuing the denial(s), giving a detailed explanation of its reasoning.

(2) The decision to transfer or deny the transfer of any military technology or equipment shall remain at the national discretion of each Member State. A denial of a licence is understood to take place when the Member State has refused to authorise the actual sale or export of the military technology or equipment concerned, where a sale would otherwise have come about, or the conclusion of the relevant contract. For these purposes, a notifiable denial may, in accordance with national procedures, include denial of permission to start negotiations or a negative response to a formal initial enquiry about a specific order.

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

Artikel 5

Export licences shall be granted only on the basis of reliable prior knowledge of end use in the country of final destination. This will generally require a thoroughly checked end-user certificate or appropriate documentation and/or some form of official authorisation issued by the country of final destination. When

assessing applications for licences to export military technology or equipment for the purposes of production in third countries, Member States shall in particular take account of the potential use of the finished product in the country of production and of the risk that the finished product might be diverted or exported to an undesirable end user.

Article 6

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

Article 7

In order to maximise the effectiveness of this Common Position, Member States shall work within the framework of the CFSP to reinforce their cooperation and to promote their convergence in the field of exports of military technology and equipment.

Article 8

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

exports of military technology and equipment, the contents of which will be in accordance with national legislation, as applicable, and will provide information for the EU Annual Report on the implementation of this Common Position as stipulated in the User's Guide.

Article 9

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

Article 10

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

Article 11

Member States shall use their best endeavours to encourage other States which export military technology or equipment to apply the criteria of this Common Position. They shall regularly exchange experiences with those third states applying the criteria on their military technology and equipment export control policies and on the application of the criteria.

Article 12

Member States shall ensure that their national legislation enables them to control the export of the technology and equipment on the EU Common Military List.

The EU Common Military List shall act as a reference point for Member States' national military technology and equipment lists, but shall not directly replace them.

Article 13

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

Article 14

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

Article 15

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

Article 16

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

Done at Brussels, 8 December 2008.

For the Council

The President

B. KOUCHNER

Annex 3

Export List

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

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

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

Annex 4

War Weapons List

Part A

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

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

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

Part B – Other War Weapons

I. 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 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
15. Cells for the weapons enumerated in items 13 and 14
16. Jet, turboprop and rocket engines for the weapons referred to in item 13

III. Vessels of War and Special Naval Equipment

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

IV. Combat Vehicles

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

V. Barrel Weapons

29. a) Machine guns, except those with water cooling;
b) submachine guns, except those introduced as a model in a military armed force before September 1, 1939;
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. Armoured self-propelled guns for the weapons enumerated in items 31 and 32
34. Barrels for the weapons referred to in items 29, 31 and 32
35. Breech blocks for weapons referred to in items 29, 31 and 32
36. Revolving breeches for automatic cannons

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

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

IX. Other Essential Components

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

X. Dispensers

61. Dispensers for the systematic distribution of submunition

XI. Laser Weapons

62. Laser weapons specially designed for causing permanent blindness

Annex 5

Arms embargoes in 2011/2012 (Status: February 2012)

Country	Date	Legal basis
Armenia and Aserbaidshan	28 February 1992 29 July 1993	OSCE arms embargo UN SC Resolution no 853
Belarus	20 June 2011 10 October 2011	Council Decision (2011/357/CFSP) Council Decision (2011/666/CFSP)
China	27 June 1989	Declaration of the European Council
Democratic Republic of Congo (Zaire)	07 April 1993 21 October 2002 28 July 2003 15 February 2008 31 March 2008 22 December 2008 30 November 2009 29 September 2003 13 June 2005 15 September 2006 09 October 2007 29 February 2008 14 May 2008 26 January 2009 27 April 2009 20 December 2010	Declaration of the European Council EU Common Position (2002/829/CFSP) UN SC Resolution no. 1493 UN SC Resolution no. 1799 UN SC Resolution no. 1807 UN SC Resolution no. 1857 UN SC Resolution no. 1896 EU Common Position (2003/680/CFSP) EU Common Position (2005/440/CFSP) EU Common Position (2006/624/CFSP) EU Common Position (2007/654/CFSP) EU Common Position (2008/179/CFSP) EU Common Position (2008/369/CFSP) EU Common Position (2009/66/CFSP) Council Decision (2009/349/CFSP) Council Decision (2010/788/CFSP)
Côte d'Ivoire	15 November 2004 29 October 2008 13 December 2004 23 January 2006 12 February 2007 22 November 2007 18 November 2008 29 October 2010 22 December 2010 11 January 2011 14 January 2011 6 April 2011 12 July 2011	UN SC Resolution no. 1572 UN SC Resolution no. 1842 EU Common Position (2004/852/CFSP) EU Common Position (2006/30/CFSP) EU Common Position (2007/92/CFSP) EU Common Position (2007/761/CFSP) extended until 31 October 2008 EU Common Position (2008/873/CFSP) extended with effect from 1 November 2008 Council Decision (2010/656/CFSP) Council Decision (2010/801/CFSP) Council Decision (2011/17/CFSP) Council Decision (2011/18/CFSP) Council Decision (2011/221/CFSP) Council Decision (2011/412/CFSP)
Eritrea	23 December 2009 26 July 2010	UN SC Resolution no. 1907 Council Decision (2010/414/CFSP)
Guinea	27 October 2009 22 December 2009 29 March 2010 25 October 2010 21 March 2011	EU Council Common (2009/788/GASP) Council Decision (2009/1003/GASP) Council Decision (2010/186/GASP) Council Decision (2010/638/GASP) Council Decision (2011/169/GASP)
Iran	24. March 2007 23. April 2007 23. June 2008 7. August 2008 10. November 2008 17. November 2009 26. July 2010 12. April 2011 23. May 2011 1. December 2011 23. January 2012	UN SC Resolution no. 1747 EU Common Position (2007/246/GASP) EU Common Position (2008/479/GASP) Council Decision (2008/652/GASP) Council Decision (2008/842/GASP) Council Decision (2009/840/GASP) Council Decision (2010/413/GASP) Council Decision (2011/235/GASP) Council Decision (2011/299/GASP) Council Decision (2011/783/GASP) Council Decision (2012/35/GASP)

Country	Date	Legal basis
Iraq	6 August 1990 22 May 2003 8 June 2004 22 December 2008 21 December 2009 7 July 2003 19 July 2004 3 March 2008 5 March 2009 1 March 2010 14 February 2011	UN SC Resolution no. 661 UN SC Resolution no. 1483 UN SC Resolution no. 1546 UN SC Resolution no. 1859 UN SC Resolution no. 1905 EU Common Position (2003/495/GASP) EU Common Position (2004/553/GASP) EU Common Position (2008/186/GASP) EU Council Common (2009/175/GASP) Council Decision (2010/128/GASP) Council Decision (2011/100/GASP)
Korea, Democratic People's Republic	14 Oktober 2006 20 November 2006 12 June 2009 27 July 2009 4 August 2009 22 December 2009 22 December 2010 19 December 2011	UN SC Resolution no. 1718 EU Common Position (2006/795/GASP) UN SC Resolution no. 1874 EU Common Position (2009/573/GASP) Council Decision (2009/599/GASP) Council Decision (2009/1002/GASP) Council Decision (2010/800/GASP) Council Decision (2011/860/GASP)
Lebanon	11 August 2006 15 September 2006	UN SC Resolution no. 1701 EU Common Position (2006/625/GASP)
Liberia	19 November 1992 7 March 2001 6 May 2003 22 December 2003 13 June 2006 17 December 2009 7 May 2001 19 May 2003 10 February 2004 22 December 2004 23 January 2006 12 February 2007 11 June 2007 12 February 2008 1 March 2010	UN SC Resolution no. 788 UN SC Resolution no. 1343 UN SC Resolution no. 1478 UN SC Resolution no. 1521 UN SC Resolution no. 1683 UN SC Resolution no. 1903 EU Common Position (2001/357/GASP) EU Common Position (2003/365/GASP) EU Common Position (2004/137/GASP) EU Common Position (2004/902/GASP) EU Common Position (2006/31/GASP) EU Common Position (2007/93/GASP) EU Common Position (2007/400/GASP) EU Common Position (2008/109/GASP) Council Decision (2010/129/GASP)
Libya	26 February 2011 28 February 2011 10 March 2011 17 March 2011 21 March 2011 23 March 2011 12 April 2011 23 May 2011 7 Juni 2011 22 September 2011 10 November 2011 20 December 2011	UN SC Resolution no. 1970 Council Decision (2011/137/GASP) Council Decision (2011/156/GASP) UN SC Resolution no. 1973 Council Decision (2011/175/GASP) Council Decision (2011/178/GASP) Council Decision (2011/236/GASP) Council Decision (2011/300/GASP) Council Decision (2011/332/GASP) Council Decision (2011/625/GASP) Council Decision (2011/729/GASP) Council Decision (2011/867/GASP)
Myanmar (Burma)	28 October 1996 28 April 2003 26 April 2004 25 April 2005 27 April 2006 19 November 2007 29 April 2008 27 April 2009 13 August 2009 18 December 2009 26 April 2010 12 April 2011 16 August 2011 19 December 2011	EU Common Position (1996/635/GASP) EU Common Position (2003/297/GASP) EU Common Position (2004/423/GASP) EU Common Position (2005/340/GASP) EU Common Position (2006/318/GASP) EU Common Position (2007/750/GASP) EU Common Position (2008/349/GASP): extended to 30 April 2009 EU Council Common Position (2009/351/GASP) EU Council Common Position (2009/615/GASP) Council Decision (2009/981/GASP) Council Decision (2010/232/GASP) Council Decision (2011/239/GASP) Council Decision (2011/504/GASP) Council Decision (2011/859/GASP)

Country	Date	Legal basis
Rwanda	17 May 1994 16 August 1995 10 July 2008	UN SC Resolution no. 918 UN SC Resolution no. 1011 UN SC Resolution no. 1823/2008: revocation of arms embargo
Sierra Leone	8 October 1997 5 June 1998 29 June 1998 28 January 2008 8 November 2010	UN SC Resolution no. 1132 UN SC Resolution no. 1171 EU Common Position (1998/409/GASP) EU Common Position (2008/81/GASP) Council Decision (2010/677/GASP): revocation of arms embargo
Somalia	23 January 1992 19 June 2001 15 May 2008 20 November 2008 23 December 2009 10 December 2002 12 February 2007 7 June 2007 16 February 2009 1 March 2010 26 April 2010 26 September 2011	UN SC Resolution no. 733 UN SC Resolution no. 1356 UN SC Resolution no. 1814 UN SC Resolution no. 1844 UN SC Resolution no. 1907 EU Common Position (2002/960/GASP) EU Common Position (2007/94/GASP) EU Common Position (2007/391/GASP) EU Council Common Position (2009/138/GASP) Council Decision (2010/126/GASP) Council Decision (2010/231/GASP) Council Decision (2011/231/GASP)
South Sudan	18 July 2011	Council Decision (2011/423/GASP)
Sudan	29 March 2005 15 March 1994 9 Januar 2004 30 May 2005 1 June 2006 18 July 2011	UN SC Resolution no. 1591 EU Common Position (1994/165/GASP) EU Council Common Position (2004/31/GASP) EU Common Position (2005/411/GASP) Council Decision (2006/386/GASP) Council Decision (2011/423/GASP)
Syria	9 May 2011 02 September 2011 23 September 2011 13 October 2011 14 November 2011 1 December 2011	Council Decision (2011/273/GASP) Council Decision (2011/522/GASP) Council Decision (2011/628/GASP) Council Decision (2011/684/GASP) Council Decision (2011/735/GASP) Council Decision (2011/782/GASP)
Uzbekistan	14 November 2005 13 November 2006 14 May 2007 13 November 2007 10 November 2008 10 November 2008 27 October 2009	EU Common Position (2005/792/GASP) EU Common Position (2006/787/GASP) EU Common Position (2007/338/GASP) EU Common Position (2007/734/GASP) EU Common Position (2008/843/GASP): extended until 13/11/2009 EU Common Position (2008/843/GASP) revocation of arms embargo by non-extension of the EU Common Position (2008/843/CFSP)
Zimbabwe	18 February 2002 18 February 2003 19 February 2004 21 February 2005 30 January 2006 19 February 2007 18 February 2008 26 January 2009 15 February 2010 25 February 2010 15 February 2011	EU Common Position (2002/145/GASP) EU Common Position (2003/115/GASP) EU Common Position (2004/161/GASP) EU Common Position (2005/146/GASP) EU Common Position (2006/51/GASP) EU Common Position (2007/120/GASP) EU Common Position (2008/135/GASP) EU Council Common Position (2009/68/GASP) Council Decision (2010/800/GASP) Council Decision (2010/92/GASP) Council Decision (2011/101/GASP)

Annex 6

Most important countries of destination

The 20 most important countries of destination for which individual export licences were granted in 2011:

No.	Country	Value in 2011 (€ millions)	Description of Articles (main exports)
1 (9)	Netherlands	863.4	Ammunition for rifles, machine guns, howitzers, automatic grenade launchers and parts for ammunition for rifles, howitzers, cannon, automatic grenade launchers (A0003/90.1 %)
2 (2)	USA	632.0	Camouflage paint, coating for signature suppression, equipment for signature suppression, mobile electricity generators, bridges, fuel cells and parts for diving apparatus, propulsion systems, mobile electricity generators, bridges, fuel cells (A0017/26.1 %); rifles with war weapons list number, submachine guns, sniper rifles, rifles without war weapons list number, revolvers, pistols, hunting rifles, sporting rifles, sporting revolvers, sporting pistols, self-loading rifles, smooth-bore weapons, silencers, tube weapon mounts, weapon sights and parts for rifles with war weapons list number, submachine guns, machine guns, sniper rifles, rifles without war weapons list number, revolvers, pistols, hunting rifles, sporting rifles, sporting revolvers, sporting pistols, self-loading rifles, smooth-bore weapons, weapon sighting units (A0001/22.3 %); multiple rocket launcher (museum piece) and parts for tanks, armoured vehicles, ground vehicles (A0006/19.1 %); fire control equipment, weapon sights, gun laying equipment, target rangefinders, testing equipment and parts for fire control units, weapon sights, gun-laying equipment, on-board weapons-control systems, target acquisition systems, target classification systems, target rangefinders, target surveillance systems, positioning equipment, recognition equipment, testing equipment, calibration equipment (A0005/9.4 %); rockets, missiles, illuminating cartridges, simulator ammunition, handling equipment and parts for missiles, illuminating cartridges, simulator ammunition, handling equipment, mine-clearing equipment (A0004/4.8 %)
3 (5)	United Arab Emirates	356.9	Torpedoes, marine minesweeping systems, handling equipment and parts for torpedoes, missiles, explosive devices, handling equipment (A0004/27.9 %); parts for patrol boats, minesweepers and ships (A0009/26.6 %); trucks, tractor units, semi-trailers, armoured cross-country vehicles and parts for tanks, armoured vehicles, trucks, ground vehicles (A0006/14.7 %); flight simulators, weapon training equipment, training equipment and parts for training equipment (A0014/5.1 %); electronic equipment, communications equipment, navigation equipment, testing equipment, electricity supplies and parts for electronic equipment, communications equipment, radar equipment, electronic warfare, electricity supplies (A0011/4.9 %); mobile electricity generators (A0017/4.9 %)
4 (18)	Singapore	343.8	Armoured engineering vehicles, armoured bridgelayers, trucks and parts for tanks, armoured vehicles, trucks, cross-country vehicles, mine-clearing equipment, amphibious vehicles, bridge systems, ground vehicles (A0006/84.6 %)

No.	Country	Value in 2011 (€ millions)	Description of Articles (main exports)
5 (3)	United Kingdom	320.1	<p>Ammunition for rifles, submachine guns, machine guns, automatic grenade launchers and ammunition parts for the following: rifles, guns, howitzers, cannon, mortars, decoy launchers, automatic grenade launchers (A0003/30.4 %);</p> <p>launch equipment for unmanned aircraft, engines, on-board equipment, tanker equipment, breathing equipment and parts for combat aircraft, aircraft, engines, on-board equipment, tanker equipment, breathing equipment (A0010/19.7 %);</p> <p>electronic equipment, communications equipment, positioning equipment, navigation equipment, measuring equipment, testing equipment, cathode ray tubes and parts for electronic equipment, communications equipment, positioning equipment, navigation equipment, guidance equipment, assemblies, electricity supplies (A0011/10.4 %);</p> <p>hand grenades, missiles, illuminating cartridges, simulator ammunition, handling equipment and parts for torpedoes, hand grenades, rockets, missiles, illuminating cartridges, handling equipment, marine minesweeping equipment, missile defence systems (A0004/9.4 %);</p> <p>trucks, semi-trailer towing vehicles, mine-clearing equipment and parts for tanks, armoured vehicles, amphibious vehicles, ground vehicles (A0006/6.8 %);</p> <p>parts for ships and underwater detection equipment (A0009/6.0 %)</p>
6 (17)	Iraq	244.3	Combat helicopters (A0010/84.6 %)
7 (8)	Italy	224.9	<p>Flight simulators, training equipment, training ammunition and parts for flight simulators (A0014/23.2 %);</p> <p>underwater detection equipment, ship body conduits parts for ships, underwater detection equipment (A0009/21.9 %);</p> <p>trucks, ambulances, trailers and parts for tanks, armoured vehicles, ground vehicles (A0006/15.6 %);</p> <p>tanker equipment, breathing equipment, parachutes and parts for combat aircraft, combat helicopters, other aircraft, engines, on-board equipment, breathing equipment (A0010/8.9 %);</p> <p>electronic equipment, communications equipment, navigation equipment, guidance equipment, data processing equipment, measuring equipment, testing equipment, components, assemblies, electricity supplies and parts for electronic equipment, communications equipment, positioning equipment, navigation equipment, guidance equipment, electronic warfare equipment, measuring equipment, testing equipment, electricity supplies (A0011/7.6 %);</p> <p>ammunition for cannon, anti-tank weapons, decoy launching systems, automatic grenade launchers and ammunition parts for the following: rifles, machine guns, guns, howitzers, cannon, mortars (A0003/6.8 %)</p>
8 (-)	Algeria	217.4	Armoured carriers and parts for armoured vehicles, blackout lighting

No.	Country	Value in 2011 (€ millions)	Description of Articles (main exports)
9 (4)	Korea, Republic	198.6	<p>Parts for tanks, armoured vehicles, recovery vehicles, construction vehicles and ground vehicles (A0006/50.4 %);</p> <p>echo sounding facility and parts for submarines, frigates, mine hunters, ships, underwater detection equipment (A0009/17.5 %);</p> <p>technology for launcher parts, parts for light anti-tank weapons, parts for ammunition, self-defence system, information systems, electronic equipment, vehicle parts, ship parts, aircraft parts, simulator parts, detection equipment (A0022/5.7 %);</p> <p>target simulation drones and parts for transport aircraft, training aircraft, helicopters, target simulation drones, unmanned aircraft, engines and fuelling equipment (A0010/5.5 %);</p> <p>armoured plates (A0013/4.5 %)</p>
10 (7)	France	152.3	<p>Electronic equipment, communications equipment, navigation equipment, data processing equipment, measuring equipment, testing equipment, cathode ray tubes and parts for electronic equipment, communications equipment, positioning equipment, navigation equipment, guidance equipment, data processing equipment, measuring equipment, testing equipment, assemblies, electricity supplies (A0011/21.1 %);</p> <p>trucks, cross-country vehicles and parts for tanks, armoured vehicles, amphibious vehicles, ground vehicles (A0006/16.2 %);</p> <p>flight simulators and parts for target simulators, drones, training equipment (A0014/14.8 %);</p> <p>fuse-setting devices, ammunition for rifles, submachine guns, machine guns, guns, howitzers, mortars, decoy launcher systems, automatic grenade launchers, smooth-bore weapons and ammunition parts for the following: rifles, submachine guns, guns, howitzers, cannon, mortars, anti-tank weapons, automatic grenade launchers (A0003/12.7 %);</p> <p>tanker equipment and parts for combat aircraft, combat helicopters, other aircraft, unmanned aircraft, engines, on-board equipment, tanker equipment, breathing equipment (A0010/8.1 %);</p> <p>missiles, handling equipment and parts for bombs, torpedoes, teargas grenades, rockets, missiles, handling equipment, mine-clearing equipment (A0004/7.0 %);</p> <p>target classification systems, target range-finding equipment, detection systems, testing equipment and parts for fire control systems, weapon sights, gun laying equipment, on-board weapons-control systems, target classification systems, target range-finding systems, detection systems (A0005/5.2 %)</p>
11 (-)	Russian Federation	144.1	Combat training centre (A0014 / 85.7%)
12 (10)	Saudi Arabia	139.5	<p>Missiles, simulators and parts for missiles, simulators, handling equipment (A0004/19.9 %);</p> <p>communications equipment, navigation equipment parts for electronic equipment, communications equipment, navigation equipment, self-defence systems, testing equipment (A0011/14.0 %);</p>

No.	Country	Value in 2011 (€ millions)	Description of Articles (main exports)
			<p>target simulation drones, launching equipment, ground station for unmanned flight hardware and parts for combat aircraft, transport aircraft, tanker aircraft, unmanned aircraft, launcher equipment, engines, on-board equipment (A0010/10.8 %);</p> <p>ammunition for automatic grenade launchers and parts for ammunition for guns, howitzers, mortars (A0003/8.7 %);</p> <p>border security systems, testing equipment and parts for fire control equipment, weapon sights, on-board weapons-control systems, surveillance systems (A0005/8.5 %);</p> <p>manufacturing equipment for military goods (A0018/8.3 %);</p> <p>navigation training equipment, UAV training equipment, training equipment, target simulators and parts for target simulators, firing simulators (A0014/7.3 %);</p> <p>rifles with war weapons list number, submachine guns, pistols, silencers, weapon sights and parts for rifles with war weapons list number, submachine guns, machine guns, pistols (A0001/7.2 %)</p>
13 (6)	Turkey	139.5	<p>Trucks and parts for tanks, armoured vehicles, amphibious vehicles, ground vehicles (A0006/25.6 %);</p> <p>missiles and parts for torpedoes, missiles, missile defence systems (A0004/25.5 %);</p> <p>fire control equipment, weapon sights, target range-finding systems, testing equipment and parts for fire control systems, weapon sights, on-board weapon control systems, target classification systems, target range-finder systems, equipment for counteraction (A0005/11.3 %);</p> <p>ammunition for rifles, revolvers, pistols, hunting weapons, sporting weapons, cannon, automatic grenade launchers and ammunition parts for the following: revolvers, pistols, howitzers, cannon, mortars (A0003/7.1 %);</p> <p>armoured plates (A0013/7.0 %);</p> <p>parts for ships and underwater detection equipment (A0009/5.8 %)</p>
14 (13)	Switzerland	120.1	<p>Armoured vehicles, infantry fighting vehicle (museum piece) and parts for tanks, armoured vehicles, amphibious vehicles, ground vehicles (A0006/37.1 %);</p> <p>light-up positioning devices, ammunition for rifles, revolvers, pistols, hunting weapons, sporting weapons, cannon, automatic grenade launchers, smooth-bore weapons and ammunition parts for the following: rifles, submachine guns, machine guns, revolvers, pistols, hunting weapons, sporting weapons, howitzers, cannon, mortars, anti-tank weapons, smoke dischargers, automatic grenade launchers, smooth-bore weapons, light-up positioning devices (A0003/34.0 %);</p> <p>forged, cast and unfinished components (A0016 / 4.9%);</p> <p>rifles with war weapons list number, submachine guns, sniper rifles, rifles without war weapons list number, revolvers, pistols, hunting rifles, sporting rifles, sporting revolvers, sporting pistols, self-loading rifles, smooth-bore weapons, silencers, tube weapon mounts, weapon sights and parts for rifles with war weapons list number, submachine guns, sniper rifles, rifles without war weapons list number, revolvers, pistols, hunting rifles, sporting rifles, sporting revolvers, sporting pistols, self-loading rifles, smooth-bore weapons, weapon sighting units (A0001/4.9 %)</p>

No.	Country	Value in 2011 (€ millions)	Description of Articles (main exports)
15 (-)	Canada	114.4	<p>Tanks, trucks, cross-country vehicles, crawler tractors, trailers and parts for tanks, armoured vehicles, ground vehicles (A0006/71.2 %);</p> <p>mortars, automatic grenade launchers, accessories, smoke dischargers and parts for cannon, automatic grenade launchers, accessories, smoke dischargers (A0002/5.4 %);</p> <p>ammunition for rifles, submachine guns, hunting weapons, sporting weapons, automatic grenade launchers and ammunition parts for the following: rifles, submachine guns, hunting weapons, sporting weapons, revolvers, pistols, cannon, automatic grenade launchers (A0003/4.8 %)</p>
16 (15)	Norway	95.4	<p>Armoured vehicles, crawler vehicles and parts for tanks, armoured vehicles, ground vehicles (A0006/38.7 %);</p> <p>ammunition for rifles, submachine guns, revolvers, pistols, hunting weapons, sporting weapons, cannon, decoy launchers, automatic grenade launchers, smooth-bore weapons and ammunition parts for the following: rifles, machine guns, revolvers, pistols, hunting weapons, sporting weapons, cannon, anti-tank weapons, automatic grenade launchers, smooth-bore weapons (A0003/14.8 %);</p> <p>parts for ships and underwater detection equipment (A0009/12.3 %);</p> <p>submachine guns, sniper rifles, revolvers, pistols, hunting rifles, sporting rifles, sporting revolvers, sporting pistols, self-loading rifles, smooth-bore weapons, silencers, flash hiders, weapon sights and parts for rifles with war weapons list number, submachine guns, machine guns, sniper rifles, revolvers, pistols, hunting rifles, sporting rifles, sporting revolvers, sporting pistols, self-loading rifles (A0001/10.3 %);</p> <p>hand grenades, rockets, missiles, explosive devices and parts for bombs, torpedoes, hand grenades, rockets, missiles, military explosives, mine-clearing equipment (A0004/8.5 %)</p>
17 (11)	India	90.1	<p>Missile defence systems and parts for torpedoes, missiles, missile defence systems (A0004/29.0 %);</p> <p>trucks and parts for tanks, armoured vehicles, trucks and ground vehicles (A0006/25.7 %);</p> <p>technology for tank parts, ship parts, electronic parts and documents for weapons parts, radar facility parts, aircraft parts, hunting weapons, vehicle parts, parts for test beds, detection equipment (A0022/15.1 %);</p> <p>communications equipment, measurement and testing equipment, components, electricity supplies and parts for electronic equipment, communications equipment, radar equipment, navigation equipment, positioning equipment, assemblies, electricity supplies (A0011/6.7 %);</p> <p>echo sounding facilities, ship body conduits and parts for frigates, submarines, destroyers, ships, underwater detection equipment (A0009/6.6 %)</p>
18 (-)	Egypt	74.2	<p>Parts for tanks, armoured vehicles and recovery vehicles (A0006/77.2 %);</p> <p>communications equipment, navigation equipment and parts for communications equipment, navigation systems (A0011/12.0 %)</p>

No.	Country	Value in 2011 (€ millions)	Description of Articles (main exports)
19 (-)	Finland	73.7	Software for fire control computers, communications systems, air situation presentation systems, simulation systems (A0021/59.4 %); forged, cast and unfinished components (A0016/16.1 %); trucks and parts for tanks, armoured vehicles, ground vehicles (A0006/12.1 %);
20 (-)	Sweden	67.1	Trucks and parts for tanks, armoured vehicles, ground vehicles (A0006/38.1 %); ammunition for rifles, mortars, decoy launcher systems, automatic grenade launchers and ammunition parts for the following: rifles, howitzers, cannon, mortars, anti-tank weapons, smoke grenades, automatic grenade launchers (A0003/16.6 %); forged, cast and unfinished components (A0016/13.9 %); camouflage paint, signature suppression equipment, mobile repair workshops, containers, test models, fuel cells and parts for diving apparatus, signature suppression coating, fuel cells (A0017/7.4 %); communications equipment, electricity supplies and parts for electronic equipment, communications equipment, positioning equipment, navigation equipment, electronic warfare, assemblies, electricity supplies (A0011/7.4 %)

The sharp fluctuations in some country rankings result from the pronounced differences from year to year in the occurrence of approved applications.

Country	Number of Licences	EL Item	Total Value (€)	Goods/as % of total value	Denials of Final Exports	EL Item	Total Value (€)	Number of Denials/ Reasons/EL Item								
Austria	512	A0001	27,208,144													
		A0002														
		A0003														
		A0004														
		A0005														
		A0006														
		A0007														
		A0009														
		A0010														
		A0011														
		A0014														
		A0015														
		A0016														
		A0017														
		A0018														
		A0021														
		A0022														
		Belgium							286	A0001	17,371,154					
										A0002						
										A0003						
										A0004						
										A0005						
A0006																
A0009																
A0011																
A0015																
A0016																
A0017																
A0018																
A0021																
A0022																
Bulgaria	20	A0001	2,971,688		1	A0005	12,353									
		A0003														
		A0006														
		A0009														
		A0010														
		A0015														
		A0018														
A0022																

Country	Number of Licences	EL Item	Total Value (€)	Goods/as % of total value	Denials of Final Exports	EL Item	Total Value (€)	Number of Denials/ Reasons/EL Item
Cyprus ⁵¹	3	A0006 A0015	44,288		1	A0001	315	1/Criterion 7/A0001
Czech Republic	165	A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0010 A0011 A0013 A0014 A0015 A0016 A0017 A0018 A0021 A0022	7,577,654					
Denmark	225	A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0009 A0010 A0011 A0014 A0015 A0016 A0017 A0018 A0021 A0022	35,847,804					
Estonia	28	A0001 A0003 A0004 A0005 A0006 A0013 A0015 A0016 A0017 A0018 A0021	881,999					

51 Except for the area which is not under the effective control of the Republic of Cyprus.

Country	Number of Licences	EL Item	Total Value (€)	Goods/as % of total value	Denials of Final Exports	EL Item	Total Value (€)	Number of Denials/ Reasons/EL Item								
Hungary	54	A0001	2,380,947													
		A0002														
		A0004														
		A0005														
		A0006														
		A0010														
		A0015														
		A0016														
		A0017														
		A0018														
		A0021														
		A0022														
Ireland	22	A0002	3,306,741													
		A0003														
		A0004														
		A0006														
		A0011														
		A0015														
		A0016														
		A0017														
		A0022														
		Italy							596	A0001	224,924,126					1/Criterion 4c, 5b /A0010
										A0002						
										A0003						
A0004																
A0005																
A0006																
A0007																
A0009																
A0010																
A0011																
A0014																
A0015																
A0016																
A0017																
A0018																
A0021																
A0022																
Latvia	9	A0001	2,407,134													
		A0002														
		A0003														
		A0015														
A0018																

Country	Number of Licences	EL Item	Total Value (€)	Goods/as % of total value	Denials of Final Exports	EL Item	Total Value (€)	Number of Denials/ Reasons/EL Item								
Poland	323	A0001	39,170,867													
		A0002														
		A0003														
		A0004														
		A0005														
		A0006														
		A0007														
		A0009														
		A0010														
		A0011														
		A0014														
		A0015														
		A0016														
		A0017														
		A0018														
		A0019														
		A0021														
		A0022														
		Portugal							52	A0003	3,180,031					
										A0004						
										A0006						
										A0007						
A0009																
A0010																
A0011																
A0015																
A0017																
A0021																
Romania	29	A0001	2,511,073													
		A0003														
		A0006														
		A0010														
		A0017														
		A0022														

Country	Number of Licences	EL Item	Total Value (€)	Goods/as % of total value	Denials of Final Exports	EL Item	Total Value (€)	Number of Denials/ Reasons/EL Item		
United Kingdom		A0016	320,114,548							
		A0017								
		A0018								
		A0021								
	875	A0022								
		A0001								
		A0002								
		A0003								
		A0004								
		A0005								
		A0006								
		A0007								
		A0009								
		A0010								
		A0011								
		A0014								
		A0015								
		A0016								
		A0017								
		A0018								
		A0021								
		A0022								
Total	6,292		1,954,092,993		2		12,668			

Country	Number of Licences	EL Item	Total Value (€)	Goods/as % of total value	Denials of Final Exports	EL Item	Total Value (€)	Number of Denials/Reasons/EL Item
Iceland	30	A0016 A0017 A0018						
		A0001 A0003 A0008 A0016	97,545					
		A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0008 A0010 A0011 A0014 A0015 A0016 A0017 A0018 A0021 A0022	16,171,652					
Liechtenstein	23	A0001 A0003 A0018	117,711					
		A0001 A0002 A0003 A0004 A0006 A0009 A0011 A0014 A0016 A0017 A0018 A0021 A0022	11,654,256					
New Zealand	137							

Country	Number of Licences	EL Item	Total Value (€)	Goods/as % of total value	Denials of Final Exports	EL Item	Total Value (€)	Number of Denials/ Reasons/EL Item
USA		A0014	631,958,128					
		A0015						
		A0016						
		A0017						
		A0018						
		A0021						
		A0022						
	1,563	A0001	631,958,128					
		A0002						
		A0003						
		A0004						
		A0005						
		A0006						
		A0007						
		A0008						
		A0009						
		A0010						
		A0011						
		A0014						
		A0015						
		A0016						
		A0017						
		A0018						
		A0021						
		A0022						
Total individual licences	7,490		1,162,550,004					
Collective export licences: NATO or NATO-equivalent countries	180	A0002	5,380,872,980					
		A0004						
		A0005						
		A0006						
		A0009						
		A0010						
		A0011						
		A0014						
		A0017						
		A0018						
Total	7,670		6,543,422,984		1		2,070	

Country	Number of Licences	EL Item	Total Value (€)	Goods/as % of total value	Denials of Final Exports	EL Item	Total Value (€)	Number of Denials/Reasons/EL Item
Azerbaijan	1	A0004	331,800	thermal imaging camera (A0015/12.4 %); torpedo parts (A0004/12.3 %)				1/Criterion 1/A0006
				Missile defence system and parts for missile defence system (A0004/100 %) Protection of the president				
Bahrain	5	A0001 A0007 A0011 A0017	537,705	Parts for mobile electricity generators [US Air Force] (A0017/94.8 %)	9	A0001 A0003 A0005 A0006	4,676,406	4/Criterion 2, 3/A0001, A0003, A0005, A0006
Bangladesh	6	A0003 A0004 A0010 A0011 A0013	356,128	Mine protection suits (A0013/91.7 %)				
Barbados	1	A0001	210	Parts for sporting pistols and sporting revolvers (A0001/100 %)				
Belarus	36	A0001 A0003 A0007 A0021	495,471	Detection equipment and parts for detection equipment (A0007/59.7 %); hunting rifles, sporting rifles, self-loading smooth-bore hunting weapons (A0001/20.7 %)	1	A0001	3,196	1/Criterion 2/A0013
Bosnia and Herzegovina	3	A0001 A0006 A0017	100,859	Parts for mine-clearing equipment [aid organisations] (A0006/99.1 %)	2	A0001	1,000	3/Criterion 3, 7/A0001
Botswana	23	A0001 A0006 A0010	202,007	Pistols, hunting rifles and parts for hunting rifles (A0001/72.2 %); parts for training aircraft (A0010/18.6 %)				
Brazil	157	A0001 A0002 A0003 A0004 A0005 A0006 A0007	64,295,917	Battle tanks and parts for tanks, armoured vehicles (A0006 / 63.8%);				

Country	Number of Licences	EL Item	Total Value (€)	Goods/as % of total value	Denials of Final Exports	EL Item	Total Value (€)	Number of Denials/ Reasons/EL Item
		A0008 A0009 A0010 A0011 A0013 A0014 A0015 A0016 A0018 A0021 A0022		communications equipment, cathode ray tubes and parts for electronic equipment, communications equipment, control systems, radar systems, electricity supplies systems (A0011/32.6 %)				
Brunei	11	A0001 A0003 A0004 A0022	540,788	Ammunition for submachine guns, revolvers, pistols and automatic grenade launchers (A0003/82.5 %)				
Burkina Faso	1	A0001	490	Self-loading smooth-bore hunting weapons (A0001/100 %)				
Cameroon	2	A0001 A0003	5,888	Self-loading smooth-bore hunting weapons (A0001/73.9 %); ammunition for hunting and sporting weapons (A0003/26.1 %)				
Chad					1	A0015	387,672	1/Criterion 7/ A0001
Chile	61	A0001 A0003 A0004 A0005 A0006 A0007 A0008 A0009 A0010 A0011 A0013 A0014 A0017 A0018 A0021 A0022	26,629,599	Trucks and parts for tanks, armoured vehicles, mine-clearing equipment (A0006/34.3 %); communications equipment, navigation equipment, travelling wave tubes, electricity supplies and parts for communications equipment, navigation equipment, testing equipment (A0011/15.7 %); ammunition for cannon and automatic grenade launchers (A0003/15.2 %); parts for submarines and underwater detection equipment (A0009/13.4 %); weapons simulator and parts for flight simulator, weapons simulator (A0014/10.8 %)				

Country	Number of Licences	EL Item	Total Value (€)	Goods/as % of total value	Denials of Final Exports	EL Item	Total Value (€)	Number of Denials/Reasons/EL Item
China, People's Republic	21	A0007 A0008 A0021 A0022	20,297,625	Detection equipment and parts for detection equipment (A0007/83.9 %)	4	A0001 A0011 A0017 A0022	364,965	4/Criterion 1, 7/A0001, A0017, A0018, A0022
Colombia	12	A0005 A0008 A0009 A0011 A0017 A0022	16,891,421	Patrol boat and parts for submarines, patrol boats (A0009/93.5 %)	1	A0016	51,975	1/Criterion 2, 3/A0014
Congo, Democratic Republic	5	A0003 A0006	1,366,850	Mine-clearing equipment [UN mission] and parts for mine-clearing equipment [UN mission and humanitarian campaign] (A0006/95.8 %)				
Costa Rica	1	A0001	710	Hunting rifles and parts for hunting rifles (A0001/100 %)				
Côte d'Ivoire	4	A0001 A0006	240,959	Armoured cross-country vehicles [foreign embassy] (A0006/91.3 %)				
Dominican Republic	1	A0011	91,999	Parts for communications equipment (A0011/100 %)				
Ecuador	8	A0001 A0005 A0009 A0011 A0021	1,658,770	Communications equipment, navigation equipment, electricity supplies and parts for communications equipment, navigation equipment (A0011/91.0 %)				
Egypt	44	A0003 A0005 A0006 A0008 A0009 A0010 A0011 A0013 A0017 A0018 A0021	74,203,247	Parts for tanks, armoured vehicles and recovery vehicles (A0006/77.2 %); communications equipment, navigation equipment and parts for communications equipment, navigation equipment (A0011/12.0 %)				1/Criterion 7/A0001
Ethiopia	5	A0013	420,621	Protective clothing for mine-clearing [mine-clearing campaign] (A0013/100 %)				
Gabon	1	A0006	200,000	Parts for trucks (A0006/100 %)				
Georgia	1	A0006	60,000	Trucks and ambulances (A0006/100 %)	1	A0001	9,500	3/Criterion 3, 4, 7/A0001, A0006

Country	Number of Licences	EL Item	Total Value (€)	Goods/as % of total value	Denials of Final Exports	EL Item	Total Value (€)	Number of Denials/ Reasons/EL Item
Ghana	6	A0006 A0009 A0017	31,813,000	Fast patrol boats and parts for fast patrol boats (A0009/95.5 %)				
Haiti	1	A0003	55,700	Ammunition for revolvers, pistols, hunting weapons and sporting weapons [UN mission] (A0003/100 %)				
India	321	A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0008 A0009 A0010 A0011 A0013 A0014 A0015 A0016 A0017 A0018 A0021 A0022	90,056,370	Missile defence systems and parts for torpedoes, missiles, missile defence systems (A0004/29.0 %); parts for tanks, armoured vehicles, trucks and ground vehicles (A0006/25.7 %); technology for tank parts, ship parts, electronic parts and documents for weapons parts, radar facility parts, target system parts, aircraft parts, hunting weapons, vehicle parts, parts for test beds, detection equipment (A0022/15.1 %); communications equipment, measurement and testing equipment, components, electricity supplies and parts for electronic equipment, communications equipment, radar equipment, navigation equipment, positioning equipment, assemblies, electricity supplies (A0011/6.7 %); echo sounding facilities, ship body conduits and parts for frigates, submarines, destroyers, ships, underwater detection equipment (A0009/6.6 %)	3	A0001 A0018	28,444	9/Criterion 1, 3, 4, 6, 7/ A0001, A0006, A0015, A0018, A0022
Indonesia	50	A0001 A0003 A0004 A0005 A0006 A0007 A0008 A0009 A0011 A0017	9,178,012	Communications equipment, travelling wave tubes and parts for communications equipment, guidance equipment, electricity supplies (A0011/40.6 %); armoured cross-country vehicles and parts for tanks, armoured vehicles, ground vehicles (A0006/24.4 %);				1/Criterion 7/ A0001

Country	Number of Licences	EL Item	Total Value (€)	Goods/as % of total value	Denials of Final Exports	EL Item	Total Value (€)	Number of Denials/Reasons/EL Item
Iraq	51			parts for submarines and echo sounding equipment (A0009/14.4 %);				
				parts for on-board weapon control systems (A0005/9.9 %)				
		A0001 A0002 A0003 A0004 A0006 A0010 A0017	244,306,569	Combat helicopters (A0010/84.6 %)				
		A0006	473,884	Armoured cross-country vehicles [foreign consulate] (A0006/100 %)				1/Criterion 1/A0006
		A0002 A0003 A0004 A0005 A0006 A0007 A0008 A0009 A0010 A0011 A0013 A0014 A0015 A0016 A0017 A0018 A0021 A0022	62,905,618	Armoured cross-country vehicles [international organisation] and parts for tanks, armoured vehicles (A0006/70.5 %); echo sounding facilities, ship body conduits and parts for submarines and echo sounding equipment (A0009/9.0 %); tank steel sheets, fragmentation protection helmets, body armour vests and parts for body armour vests (A0013/5.6 %)	8	A0001 A0005 A0015 A0018	315,154	7/Criterion 2, 3, 4, 7/ A0001, A0005, A0016
Jordan	21		924,914	Moving target systems (A0014/28.5 %);				1/Criterion 2/ A0003
		A0001 A0003 A0004 A0006 A0007 A0010 A0014 A0015 A0017		armoured cross-country vehicles and parts for mine-clearing equipment [aid organisations] (A0006/27.6 %); rifles without war weapons list number, pistols, weapon sighting units and parts for pistols (A0001/20.3 %); mobile electricity generators and parts for mobile electricity generators (A0017/7.1 %)				

Country	Number of Licences	EL Item	Total Value (€)	Goods/as % of total value	Denials of Final Exports	EL Item	Total Value (€)	Number of Denials/ Reasons/EL Item
Kazakhstan	105	A0001 A0003 A0006 A0008	4,225,094	Hunting rifles, sporting rifles, self-loading smooth-bore hunting weapons and parts for hunting rifles, sporting rifles, self-loading smooth-bore hunting weapons (A0001/44.2 %); satellite fuel and laboratory chemicals (A0008/40.4 %)	2	A0001 A0003	32,347	2/Criterion 7/ A0001
Kenya	1	A0006	38,000	Armoured cross-country vehicles (A0006 / 100%)				
Korea, Republic	325	A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0008 A0009 A0010 A0011 A0013 A0014 A0015 A0016 A0017 A0018 A0021 A0022	198,640,296	Parts for tanks, armoured vehicles, recovery vehicles, construction equipment and ground vehicles (A0006/50.4 %); echo sounding facility and parts for submarines, frigates, mine hunters, ships, underwater detection equipment (A0009/17.5 %); technology for launcher parts, parts for light anti-tank weapons, parts for ammunition, self-defence system, information systems, navigation parts, electronic equipment, vehicle parts, ship parts, aircraft parts, simulator parts, detection equipment (A0022/5.7 %); target simulation drones and parts for transport aircraft, training aircraft, helicopters, target simulation drones, unmanned aircraft, engines and fuelling equipment (A0010/5.5 %); armoured plates (A0013/4.5 %)				
Kosovo	8	A0001 A0003	1,156,035	Rifles with war weapons list number, submachine guns and parts for rifles with war weapons list number, submachine guns (A0001/89.5 %)				1/Criterion 7/ A0001
Kuwait	87	A0001 A0002 A0003 A0004 A0005 A0006	34,317,065	Parts for patrol boats (A0009/48.6 %); trucks and parts for armoured vehicles, trucks (A0006/33.6 %)				1/Criterion 7/ A0001

Country	Number of Licences	EL Item	Total Value (€)	Goods/as % of total value	Denials of Final Exports	EL Item	Total Value (€)	Number of Denials/Reasons/EL Item
Kyrgyzstan	12	A0007 A0009 A0011 A0013 A0021 A0022						
		A0001 A0003	56,197	Hunting rifles, sporting rifles and parts for hunting rifles, sporting rifles (A0001/76.5 %); ammunition for hunting weapons and sporting weapons (A0003/23.5 %)	1	A0003	2.857	1/Criterion 4, 7/ A0003
		A0001 A0003 A0006 A0015	1,203,536	Ammunition for rifles [UN mission], revolvers, pistols, hunting weapons and sporting weapons (A0003/52.9 %); armoured cross-country vehicles [foreign embassy] (A0006/41.2 %)				
Lebanon	23							
Liberia	7	A0006 A0007	3,891,315	Armoured cross-country vehicles [foreign embassy], mine-clearing equipment [aid organisation] and parts for armoured vehicles, mine-clearing equipment [aid organisation] (A0006/98.1 %)	1	A0006	16.368	1/Criterion 1/A0006
					2	A0006 A0011 A0018	8.653.807	4/Criterion 1, 2, 4/ A0005, A0006
Macedonia, FYR	2	A0001	5,819	Hunting rifles, sporting rifles and parts for hunting rifles, sporting rifles (A0001/100 %)				2/Criterion 7/A0001
Madagascar	3	A0001	550	Pistols (A0001/100 %)				
Malaysia	105	A0001 A0002 A0003 A0005 A0006 A0007 A0008 A0009 A0010 A0011 A0013 A0015 A0017 A0019 A0021 A0022	14,342,467	Armoured plates (A0013/46.0 %); electronic equipment, communications equipment and parts for electronic equipment, communications equipment, navigation equipment (A0011/21.2 %); parts for fire control systems (A0005/10.5 %); microwave systems and parts for microwave systems (A0019/8.9 %)				1/Criterion 7/A0001

Country	Number of Licences	EL Item	Total Value (€)	Goods/as % of total value	Denials of Final Exports	EL Item	Total Value (€)	Number of Denials/Reasons/EL Item
Mali	4	A0006 A0017	783,000	Pontoon bridges and parts for pontoon bridges (A0017/75.7 %); trucks (A0006/24.3 %)				
Mauritius	13	A0001 A0003	52,035	Hunting rifles, sporting rifles and parts for hunting rifles (A0001/96.2 %)	1	A0016	2,285	3/Criterion 3, 7/ A0001, A0016, A0018
Mexico	18	A0006 A0008 A0010 A0013	3,333,804	Parachutes and parts for reconnaissance aircraft, transport aircraft, on-board equipment (A0010/56.9 %); armoured plates, protective headgear and parts for body armour (A0013/32.5 %)				
Moldova	3	A0001	4,159	Hunting rifles, sporting rifles and parts for hunting rifles (A0001/100 %)	3	A0001 A0003	33,339	3/Criterion 3, 7/ A0001, A0003
Mongolia	3	A0003 A0006	212,565	Crawler tractor (A0006/99.5 %)				
Morocco	15	A0004 A0006 A0008 A0009 A0010 A0011 A0015 A0021	6,552,778	Parachutes and parts for parachutes (A0010/64.9 %); mine-clearing equipment [UN mission] and parts for mine-clearing equipment [UN mission] (A0006/14.9 %); communications equipment, cathode ray tubes and parts for communications equipment (A0011/11.2 %)				1/Criterion 2, 3/A0001
Mozambique	3	A0001 A0003	13,420	Hunting rifles (A0001/56.8 %); ammunition for revolvers, pistols, hunting weapons and sporting weapons (A0003/43.2 %)				
Namibia	66	A0001 A0003 A0006	588,508	Ammunition for rifles, revolvers, pistols, hunting weapons, sporting weapons	4	A0001 A0002	55,369	

Country	Number of Licences	EL Item	Total Value (€)	Goods/as % of total value	Denials of Final Exports	EL Item	Total Value (€)	Number of Denials/Reasons/EL Item
Nigeria	13	A0009 A0016		and ammunition parts for the following: revolvers, pistols, hunting weapons, sporting weapons (A0003/48.4 %); rifles without war weapons list number, pistols, hunting rifles, sporting rifles, self-loading rifles, self-loading smooth-bore hunting weapons and parts for pistols, hunting rifles, sporting rifles, gun mountings (A0001/34.9 %)				1/Criterion 7/A0006
		A0006 A0015 A0018		Armoured cross-country vehicles (A0006/50.6 %); thermal imaging cameras (A0015/36.7 %)				
Oman	72	A0001 A0002 A0003 A0005 A0006 A0007 A0011 A0013 A0014 A0015 A0018 A0021 A0022	32,194,142	Airspace surveillance facilities, target classification systems, laser range finders and parts for fire control systems, target classification systems (A0005/65.1 %); reconnaissance system and parts for ship communications facility (A0011/16.5 %)	1	A0001	1,079	
Pakistan	34	A0002 A0003 A0005 A0006 A0009 A0010 A0011 A0016 A0018 A0021 A0022	14,077,744	Communications equipment, electricity supplies and parts for communications equipment, radar facilities (A0011/53.8 %); decoys (A0003/12.5 %); armoured cross-country vehicles [foreign embassy and UN missions] (A0006/10.4 %); parts for transport aircraft, reconnaissance aircraft, air surveillance aircraft and engines (A0010/9.8 %)	2	A0007 A0018	839,240	3/Criterion 2, 3, 4, 7/A0015, A0018
Papua New Guinea								1/Criterion 2, 3, 7/A0001

Country	Number of Licences	EL Item	Total Value (€)	Goods/as % of total value	Denials of Final Exports	EL Item	Total Value (€)	Number of Denials/Reasons/EL Item
Paraguay	1	A0001	500	Hunting rifles (A0001/100 %)	1	A0001	5,250	1/Criterion 7/A0001
Peru	20	A0001	17,578,978	Communications equipment, radio reconnaissance system and parts for communications equipment (A0011/39,7 %);				
		A0002		body armour vests and parts for body armour vests (A0013/28,7 %);				
		A0003		decoy launcher facilities and parts for decoy launcher facilities (A0002/18,7 %)				
		A0004		Rifles with war weapons list number, submachine guns and parts for rifles with war weapons list number (A0001/75,5 %);				
		A0005		communications equipment and parts for communications equipment (A0011/9,3 %)				
Philippines	12	A0001	531,086	Control and information system software (A0021/55,7 %);	5	A0001 A0003	99,862	4/Criterion 2, 7/ A0001, A0003, A0016, A0018
		A0002		fuelling equipment, ground launching equipment and parts for helicopters (A0010/31,4 %)				
		A0010		Combat training centre (A0014/85,7 %)				
		A0011		Weapon sighting units and parts for rifles without war weapons list number (A0001/91,6 %)				
		A0021						
Qatar	18	A0001	6,147,304		7	A0001 A0018	80,033	12/Criterion 2, 7/ A0001, A0005, A0006, A0011, A0013, A0018, A0021
		A0003						
		A0005						
		A0006						
		A0010						
Russian Federation	438	A0013	144,108,649					
		A0017						
		A0021						
		A0022						
		A0001						
San Marino	2	A0001	1,540					
		A0018						

Country	Number of Licences	EL Item	Total Value (€)	Goods/as % of total value	Denials of Final Exports	EL Item	Total Value (€)	Number of Denials/ Reasons/EL Item
Saudi-Arabia	241	A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0008 A0009 A0010 A0011 A0013 A0014 A0015 A0016 A0017 A0018 A0021 A0022	139,550,035	<p>Missiles, simulators and parts for missiles, simulators, handling equipment (A0004/19.9 %);</p> <p>communications equipment, navigation equipment</p> <p>parts for electronic equipment, communications equipment, navigation equipment, self-defence systems, testing equipment (A0011/14.0 %);</p> <p>target simulation drones, launching equipment, ground station for unmanned flight hardware and parts for combat aircraft, transport aircraft, tanker aircraft, unmanned aircraft, launcher equipment, engines, on-board equipment (A0010/10.8 %);</p> <p>ammunition for automatic grenade launchers and parts for ammunition for guns, howitzers, mortars (A0003/8.7 %);</p> <p>border security systems, testing equipment</p> <p>and parts for fire control equipment, weapon sights, on-board weapons-control systems, surveillance systems (A0005/8.5 %);</p> <p>manufacturing equipment for military goods (A0018/8.3 %);</p> <p>navigation training equipment, UAV training equipment, training equipment, target simulators and parts for target simulators, firing simulators (A0014/7.3 %);</p> <p>rifles with war weapons list numbers, submachine guns, pistols, silencers, weapon sights</p> <p>and parts for rifles with war weapons list number, submachine guns, machine guns, pistols (A0001/7.2 %)</p>				1/Criterion 7/A0005

Country	Number of Licences	EL Item	Total Value (€)	Goods/as % of total value	Denials of Final Exports	EL Item	Total Value (€)	Number of Denials/Reasons/EL Item
Serbia	33	A0001 A0003 A0007 A0011 A0017	479,606	Submachine guns, hunting rifles, sporting rifles, smooth-bore weapons and parts for rifles with war weapons list number, submachine guns, hunting rifles, sporting rifles, smooth-bore weapons (A0001/47.4 %); detection equipment and parts for detection equipment (A0007/45.9 %)	4	A0013 A0015 A0018	5,238,779	5/Criterion 7/ A0003, A0005, A0013, A0015, A0018
		A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0008 A0009 A0010 A0011 A0013 A0014 A0016 A0017 A0018 A0021 A0022	343,799,588	Armoured engineering vehicles, armoured bridgelayers, trucks and parts for tanks, armoured vehicles, trucks, cross-country vehicles, mine-clearing equipment, amphibious vehicles, bridge systems, ground vehicles (A0006/84.6 %)	1	A0001	1,753	1/Criterion 7/A0001
Somalia	1	A0004	52,000	Handheld firing devices for explosive ordnance disposal [UN mission] (A0004/100 %)				
Sri Lanka	1	A0006	651,000	Armoured cross-country vehicles (A0006/100 %)				1/Criterion 2, 3/A0003
South Africa	213	A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0008 A0009 A0010 A0011 A0013 A0015 A0016	19,920,479	Night vision equipment and parts for cameras, night vision equipment (A0015/35.4 %); ship body conduits and parts for submarines, frigates, underwater detection equipment (A0009/17.6 %); parts for fire control equipment, target location systems, recognition systems, equipment for countermeasures (A0005/13.2 %);	2	A0001 A0018	4,923	3/Criterion 7/A0018

Country	Number of Licences	EL Item	Total Value (€)	Goods/as % of total value	Denials of Final Exports	EL Item	Total Value (€)	Number of Denials/Reasons/EL Item
South Sudan	4	A0017 A0018 A0021 A0022	1,485,000	missiles, smoke handgrenades, pyrotechnic ammunition, simulators and parts for missiles, handling equipment (A0004/8.8 %); parts for automatic cannon (A0002/7.8 %)				
		A0006		Mine-clearing equipment [aid organisations], trucks [aid organisations] and parts for mine-clearing equipment [aid organisations and UN mission], trucks [aid organisations and UN mission] (A0006/100 %)				
Sudan	7	A0001 A0003 A0006	1,045,807	Trucks [humanitarian mission], armoured cross-country vehicles [EU mission] and parts for mine-clearing equipment [UN mission] (A0006/96.4 %)				
Syria, Arab Rep.	1	A0006	149,484	Cross-country vehicle [foreign embassy] (A0006/100 %)				
Tajikistan	3	A0001 A0003 A0006	519,764	Mine-clearing equipment and parts for mine-clearing equipment (A0006/89.4 %)				
Tanzania	7	A0001 A0003 A0006	13,042	Revolvers, pistols, hunting rifles, sporting rifles and parts for sporting rifles (A0001/50.2 %); cross-country vehicles (A0006/46.9 %)				
Thailand	36	A0002 A0004 A0005 A0007 A0009 A0010 A0011 A0013 A0021 A0022	9,327,100	Missiles, pyrotechnic ammunition, handling equipment and parts for missiles (A0004/44.7 %); helicopter engines and parts for training aircraft, breathing equipment (A0010/25.6 %); communications equipment, positioning equipment, frequency converters and parts for communications equipment, radar equipment, navigation equipment, electricity supplies (A0011/12.9 %)	10	A0001 A0004 A0006 A0011 A0015	2,161,606	9/Criterion 2, 3, 4, 7/ A0001, A0003, A0005, A0011, A0013

Country	Number of Licences	EL Item	Total Value (€)	Goods/as % of total value	Denials of Final Exports	EL Item	Total Value (€)	Number of Denials/ Reasons/EL Item
Timor-Leste	1	A0001	7,730	Pistols and smooth-bore weapons [UN mission] (A0001/100%)				
Togo	3	A0003 A0006	214,816	Parts for cannon ammunition (A0003/63.5 %); low-loader trailers and parts for armoured vehicles (A0006/36.5 %)				
Trinidad and Tobago	1	A0002	65,712	Parts for cannon (A0002/100%)				
Tunisia	7	A0006 A0008 A0014	3,958,787	Trucks, semi-trailer towing vehicles and parts for blackout lighting (A0006/98.8 %)				
Turkmenistan	11	A0006 A0010 A0011 A0015 A0016 A0017 A0021	2,827,716	Communications equipment, identification systems and parts for communications equipment, navigation equipment (A0011/53.6 %); parts for helicopters (A0010/35.4 %)	7	A0001 A0003 A0004 A0005 A0009 A0013	1,446,710	6/Criterion 2, 7/ A0001, A0004, A0006, A0014, A0015
Uganda	2	A0001 A0006	104,140	Trucks (A0006/96.0 %)				
Ukraine	126	A0001 A0003 A0006 A0007 A0008 A0013 A0016 A0018	3,693,893	Rifles without war weapons list number, hunting rifles, sporting rifles, self-loading rifles, inoperative weapons and parts for hunting rifles, sporting rifles, self-loading rifles (A0001/50.0 %); armoured cross-country vehicles (A0006/31.9 %)	8	A0001 A0003 A0005 A0022	130,675	11/Criterion 2, 5, 7/ A0001, A0003, A0004, A0005, A0015, A0022
United Arab Emirates	179	A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0008 A0009 A0010 A0011 A0013 A0014 A0015 A0016 A0017	356,884,496	Torpedoes, marine minesweeping systems, handling equipment and parts for torpedoes, missiles, explosive devices, handling equipment (A0004/27.9 %); parts for patrol boats, minesweepers and ships (A0009/26.6 %); trucks, tractor units, semi-trailers, mine-clearing equipment, armoured cross-country vehicles and parts for tanks, armoured vehicles, trucks, ground vehicles (A0006/14.7 %);	2	A0018	6,100	

Country	Number of Licences	EL Item	Total Value (€)	Goods/as % of total value	Denials of Final Exports	EL Item	Total Value (€)	Number of Denials/ Reasons/EL Item
		A0018 A0021 A0022		flight simulators, weapon training equipment, training equipment and parts for training equipment (A0014/5.1 %); electronic equipment, communications equipment, navigation equipment, testing equipment, electricity supplies and parts for electronic equipment, radar communications equipment, radar equipment, electronic warfare, electricity supplies (A0011/4.9 %); mobile electricity generators (A0017/4.9 %)				
Uruguay	2	A0001 A0007	10,629	Weapon sighting units (A0001/99.7 %)				
Venezuela	1	A0009	4,512,000	Parts for submarines (A0009/100 %)				1/Criterion 4, 5/A0003
Vietnam	10	A0002 A0011 A0013 A0021	10,736,859	Simulation software and software for communications equipment (A0021/97.0 %)	2	A0001 A0003	45,720	2/Criterion 2/ A0001, A0003
Zambia	9	A0001 A0003 A0006	613,789	Armoured cross-country vehicles (A0006/90.4 %)				1/Criterion 7/A0003
French-Polynesia	4	A0001	4,831	Pistols, hunting rifle and sporting pistols (A0001/100 %)				
Greenland	3	A0001 A0003	19,570	Ammunition for rifles, hunting weapons and sporting weapons (A0003/92.7 %)				
Hong Kong	11	A0001 A0018	252,827	Submachine guns, pistols and parts for submachine guns, pistols (A0001/94.3 %)	1	A0001	996	3/Criterion 1, 2, 7/ A0001, A0003, A0018
Macao	1	A0001	1,215	Pistols (A0001/100 %)	1	A0015	13,325	
New Caledonia	22	A0001 A0003	84,744	Revolvers, hunting rifles, sporting rifles, self-loading smooth-bore hunting weapons, sporting pistols, weapon sighting units and parts for hunting rifles (A0001/98.9 %)				
St. Helena	1	A0001	4,342	Rifles with war weapons list number [police] and parts for rifles with war weapons list numbers [police] (A0001/100 %)				

Country	Number of Licences	EL Item	Total Value (€)	Goods/as % of total value	Denials of Final Exports	EL Item	Total Value (€)	Number of Denials/Reasons/EL Item
Taiwan	25	A0001 A0004 A0005 A0006 A0007 A0008 A0009 A0011 A0017	8,693,024	Parts for submarine periscope systems (A0005/44.4 %); parts for sonar equipment (A0009/23.5 %); navigation equipment, testing equipment and parts for electronic equipment, communications equipment (A0011/21.2 %)	2	A0011 A0014	24,805	12/Criterion 4, 7/ A0002, A0004, A0005, A0007, A0009, A0011, A0014, A0016
Yemen								1/Criterion 3/ A0010
Total	3,804		2,297,909,184		102		24,770,204	

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

Annex 8

Brokering transactions by country in 2011

Licences for trading and brokering transactions (Part IA - military articles, final exports) in 2011

Country	Number	Total value €	Description of Articles	Value €	EL Item	Country of origin and destination
Afghanistan	1	1,780,704	2 items container	1,780,704	A00171	South Africa – Afghanistan
Bahrain	1	0	4 items patrol boats	unknown	A0009	Singapore – Bahrain
Brazil	2	391,780	4 items key and frequency management centre 1 item software update for radio equipment	390,280 1,500	A0011a A0021a	Switzerland – Brazil Switzerland – Brazil
Dominican Republic	1	77,356	1 item key and frequency management centre	77,356	A0011a	Schweiz – Dominikanische Republik
Ghana	1	0	2 items automatic cannon	0	A0002	Switzerland – Dominican Republic
India	1	0	Electro-optical sensors (Contact initiated in the context of the Indian procurement of the Eurofighter)	0	A0005b	Russian Federation – India
Cambodia	1	110,000	500 pairs blast protected combat boots	110,000	A0013d	Hong Kong – Cambodia
Kenya	1	222,720	2 items cross-country vehicles	222,720	A0006b	USA – Kenya
Korea, Republic	3	469,560	3,120 kg octogen (HMX)	469,560	A0008a	Norway – Korea, Republic
Malaysia	1	1,500	1 item software update for airborne transceiver	1,500	A0021a	Switzerland – Malaysia
Morocco	1	550,000	1 set of encryption equipment for marine communications equipment	550,000	A0011a	Switzerland – Morocco
Nigeria	1	285,200	1 item cross-country vehicle	285,200	A0006b	USA – Nigeria
Pakistan	2	205,000	1 item key management centre 1 item software for key management centre	203,500 1,500	A0011a A0021a	Switzerland – Pakistan Switzerland – Pakistan
Russian Federation	1	676,415	3 items travelling wave tube amplifier	676,415	A0011a	USA – Russian Federation
Saudi Arabia	1	52,961	1 unit key management centre incl. accessories and software	52,961	A0011a A0021a	Switzerland – Saudi Arabia
South Africa	6	537,810	7 items of armoured glass for containers 1 item launcher catapult for unmanned aircraft 1 item of armoured glass for armoured vehicles 1 item of armoured glass for armoured vehicles 14 sets of armoured glass for armoured vehicles 6 sets of armoured glass for armoured vehicles	4,310 450,000 980 1,450 51,070 30,000	A00171 A0010c A0006a A0006a A0006a A0006a	Israel – South Africa Canada – South Africa Israel – South Africa Israel – South Africa Israel – South Africa Israel – South Africa

Country	Number	Total value €	Description of Articles	Value €	EL Item	Country of origin and destination
Turkmenistan	1	60,829	1 unit key management centre incl. accessories and software	60,829	A0011a A0021a	Switzerland – Turkmenistan
Uganda	1	70,000	1 item cross-country vehicle	70,000	A0006b	Jordan – Uganda
Total	27	5,491,835		5,491,835		

In addition to this, licences were issued pursuant to Section 4a of the War Weapons Control Act and Sections 40-42 of the Foreign Trade and Payments Ordinance for brokering transactions with end-users in all EU, NATO and NATO-equivalent countries (Australia, Japan, New Zealand, Switzerland).

Rejected licences for brokering transactions (Part IA - military articles, final exports) in 2011

Country	Number	Total value €	Description of Articles	Value €	EL Item	Country of origin and destination
Serbia	1	30,000	110 units practice cartridges for cannons	30,000	A0003a	Switzerland – Serbia

Annex 9

DAC List of ODA Recipients

Effective for reporting on 2011, 2012 and 2013 flows

Least Developed Countries	Other Low Income Countries (per capita GNI < \$1,005 in 2010)	Lower Middle Income Countries and Territories (per capita GNI \$1,600 – \$3,975 in 2010)	Upper Middle Income Countries and Territories (per capita GNI \$3,976 – \$12,275 in 2010)
Afghanistan Angola Bangladesh Benin Bhutan Burkina Faso Burundi Cambodia Central African Rep. Chad Comoros Congo, Dem. Rep. Djibouti Equatorial Guinea Eritrea Ethiopia Gambia Guinea Guinea-Bissau Haiti Kiribati Laos Lesotho Liberia Madagascar Malawi Mali Mauritania Mozambique Myanmar Nepal Niger Rwanda Samoa São Tomé and Príncipe Senegal Sierra Leone Solomon Islands Somalia Sudan Tanzania Timor-Leste Togo Tuvalu Uganda Vanuatu Yemen Zambia	Kenya Korea, Dem. Rep. Kyrgyz Rep. South Sudan Tajikistan Zimbabwe	Armenia Azerbaijan Belize Bolivia Cameroon Cape Verde Congo, Rep. Côte d'Ivoire Egypt El Salvador Georgia Ghana Guatemala Guyana Honduras India Indonesia Iraq Kosovo ⁵² Marshall Islands Micronesia, Federated States Moldova Mongolia Morocco Namibia Nicaragua Nigeria Pakistan Papua New Guinea Paraguay Philippines Sri Lanka Swaziland Syria *Tokelau Tonga Turkmenistan Ukraine Uzbekistan Vietnam Wets Bank and Gaza Strip	Albania Algeria *Anguilla Antigua and Barbuda Argentina Azerbaijan Belarus Bosnia and Herzegovina Botswana Brazil Chile china Columbia Cook Islands Costa Rica Cuba Dominica Dominican Republic Ecuador Former Yugoslav Republic of Macedonia Gabon Grenada Iran Jamaica Jordan Kazakhstan Lebanon Libya Malaysia Maldives Mauritius Mexico Montenegro *Montserrat Namibia Nauru Niue Palau Panama Peru Serbia Seychelles South Africa *St. Helena St. Kitts-Nevis St. Lucia St. Vincent and Grenadines Suriname Thailand Tunisia Turkey Uruguay Venezuela *Wallis and Futuna

* Territory

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

