



Federal Ministry
of Economics
and Technology

BUSINESS.
GROWTH.
PROSPERITY.

Report by the Government of the Federal Republic of Germany on Its Policy on Exports of Conventional Military Equipment in 2010

2010 Military Equipment Export Report

Imprint

Published by
Federal Ministry of Economics
and Technology (BMWi)
Public Relations
11019 Berlin
www.bmwi.de

Current as of
December 2011

Printed by
BMW i

Design and production
PRpetuum GmbH, Munich



The Federal Ministry of Economics and Technology has been awarded the berufundfamilie® audit certificate for its family-friendly HR policy. The certificate is granted by berufundfamilie gGmbH, an initiative of the Hertie Foundation.

This brochure is published as part of the public relations work of the Federal Ministry of Economics and Technology. It is distributed free of charge and is not intended for sale. The distribution of this brochure at campaign events or at information stands run by political parties is prohibited, and political party-related information or advertising shall not be inserted in, printed on, or affixed to this publication.



Federal Ministry
of Economics
and Technology

BUSINESS.
GROWTH.
PROSPERITY.

Report by the Government of the Federal Republic of Germany on Its Policy on Exports of Conventional Military Equipment in 2010

2010 Military Equipment Export Report

Contents

Executive Summary	6
I. The German Control System for Military Equipment Exports	7
1. The German export control system.....	7
2. Application of the “Political Principles”.....	9
II. German Policy on the Export of Military Equipment in the International Context	11
1. Disarmament agreements.....	11
2. Arms embargoes.....	11
3. Common Foreign and Security Policy of the EU.....	11
4. EU Directive on transfers of defence-related products within the Community.....	12
5. Framework Agreement concerning Measures to Facilitate the Restructuring and Operation of the European Defence Industry.....	12
6. Wassenaar Arrangement.....	12
7. UN Register of Conventional Arms.....	13
8. International discussion on small arms and light weapons.....	14
9. Initiative for an Arms Trade Treaty.....	15
10. Outreach activities.....	16
III. Licences for Military Equipment Exports and the Export of War Weapons	17
1. Export licences for military equipment (war weapons and other military equipment).....	17
a) <i>Individual licences</i>	18
b) <i>Collective export licences</i>	20
c) <i>Export licence denials</i>	20
d) <i>Most important countries of destination</i>	21
e) <i>Individual export licences broken down by Export List (EL) Items</i>	26
f) <i>Export licences from 1996 to 2010</i>	27
g) <i>War weapons’ share of licensed values in 2010</i>	28
h) <i>Individual licences for the export of small arms from 1996 to 2010</i>	29
i) <i>Licences for brokering transactions in 2010</i>	37
2. Exports of war weapons.....	37
a) <i>War weapon exports in 2010</i>	37
(1) <i>Bundeswehr exports</i>	37
(2) <i>Commercial exports</i>	37
b) <i>War weapon exports from 1997 to 2010</i>	39
3. German military equipment exports by international comparison.....	40

Annexes

1	Political Principles Adopted by the Government of the Federal Republic of Germany for the Export of War Weapons and Other Military Equipment	42
2	EU Council Common Position (2008/944/CSFP) of 8 December 2008.....	46
3	Export List.....	52
4	War Weapons List.....	53
5	Arms Embargoes in 2010/2011 (status: July 2011).....	55
6	German Report to the UN Register of Conventional Arms for 2010	58
7	Export Licences by Country Groups and Countries in 2010.....	59
8	Licences for Trading and Brokering Transactions in 2010.....	88
9	List of the OECD Development Assistance Committee on Developing Countries and Areas.....	90

Executive Summary

The German Government is pleased to submit herewith its twelfth Report on Military Equipment Exports covering the year 2010.¹ The Political Principles Adopted by the Government of the Federal Republic of Germany for the Export of War Weapons and Other Military Equipment in the version of 19 January 2000 distinguish between military equipment exports to NATO countries, EU member states 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 these 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 2010, single-transaction export licences for military equipment totalled approximately €4.754 billion (2009: approximately €5.043 billion). Of this amount, 71 % was accounted for by EU, NATO, and countries with NATO-equivalent status, and 29 % was accounted for by third countries. The total value of single-transaction export licences dropped by approx. €289 million in year-on-year terms.

Developing countries³ accounted for 7.7 % of the overall value of all individual export licences (2009: 8.2 %).⁴ The value of the collective licences granted for exports in connection with defence co-operation between EU and NATO partners amounted to roughly €737.3 million during the reference year (2009: €1.996 billion), and was down – like the figure for single-transaction licences – on 2009.

In addition to the figures for the export licences issued, in the case of war weapons statistics are also kept for the actual exports (2010: €2.119 billion, 2009: €1.339 billion). Over half of this total amount for 2010 derives from the delivery of three naval vessels to NATO partners. 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 77 % in the reference year (2009: 76 %). The proportion of these exports going to developing countries amounted to roughly 5.1 % (2009: 3.9 %).

Details of German military equipment export policy can be found in Chapter II and Chapter III. 3. Total licences issued in 2010 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.bund.de> (click onto “Außenwirtschaft und Europa”, then “Finanzierung und Recht”, and finally “Exportkontrolle/Embargos”). For the English versions: select “English”, and then “Publications”.
- 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, as well as Malaysia, Oman and Saudi Arabia (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 Ordinance⁷. 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 has 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. As with 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 converted into national law to meet its political commitments (more details may be found on the Wassenaar Arrangement under II. 6. of this report, 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 transactions) require prior licensing by the German Government (cf. Sections 2–4a of the War Weapons Control Act). The Federal Ministry of Economics and Technology is the licensing agency for commercial transactions; the other ministries (Federal Ministry of Finance, Federal Ministry of the Interior, and Federal Ministry of Defence) whose portfolio includes the treatment of war weapons are themselves responsible for the respective approvals falling within their scope of competence.

Under Section 6 of the War Weapons Control Act, applicants have no legal right to the issuance of a licence for the export of war weapons. And licences must be denied where there is a danger that the war weapons will be used in connection with peace-disturbing acts, that obligations of the Federal Republic of Germany under international law will be impaired, or where the applicant does not possess the necessary reliability for the action. In all of the other cases, the Federal Government decides on the issuance of export licences in accordance with the discretion it must exercise under 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 Foreign Trade and Payments Act is based, the applicant has a fundamental right to the issuance of an export licence

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 (as last amended by Article 24 of the Ordinance of 31 October 2006, Federal Law Gazette I, p. 2407).

6 Revised by notification of 27 May 2009, Federal Law Gazette I, p. 1150.

7 Foreign Trade and Payments Ordinance in the version promulgated on 22 November 1993 (Federal Law Gazette I, p. 2493), last amended by the Eighty-seventh Ordinance Amending the Foreign Trade and Payments Ordinance of 19 October 2009 (Federal Law Gazette No. 164, p. 3737).

8 See Annex 1.

9 See Annex 2.

10 Further details at www.bafa.de

(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 (previously the EU Code of Conduct) and the Political Principles.

The Federal Office of Economics and Export Control (BAFA), 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.

¹¹ Maybe found on the Internet at www.bafa.de

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.

The updated “Principles”, which were adopted by the German cabinet on 19 January 2000 and have not since been amended, added the following new elements:

- The equipment’s misuse for internal repression or other ongoing and systematic violations of human rights. The human rights situation in the consignee country plays an important role in connection with this question. The Political Principles are more restrictive than the EU’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 to be a continuation of the restrictive and reserved 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 Sub-section 1 of the Foreign Trade and Payments Act as cited under 1.).
- Even under this restrictive licensing practice for third countries, the legitimate security interests of such countries may therefore argue for granting an export 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 NATO and the EU 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 organised 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 non-proliferation, military weapons, and arms control.

→ Germany's control system for military equipment exports ensures the final destination of the exported military equipment in a reliable manner. The Federal Government has gathered decades of good experience with these rules. Information about a diversion has only become known in a few isolated cases. The Federal 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.

→ 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.

→ 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 twelfth submission of such a Report.

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. In 2010, there were arms embargoes against the following countries: Armenia, Azerbaijan, China, Democratic Republic of the Congo, Côte d'Ivoire, Eritrea, Guinea, Iran, Iraq, North Korea, Lebanon, Liberia, Myanmar, Sierra Leone, Somalia, Sudan and Zimbabwe. Further arms embargoes 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 2010 and 2011 (up to the editorial deadline) 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.

On 8 December 2008, the adoption of an EU Common Position defining common rules governing the control of exports of military technology and equipment marked the achievement of the goal pursued by the Federal Government for many years of revising the tried and trusted rules of the EU Code of Conduct for Arms Exports – which had previously only been politically binding – and making them legally binding for all EU member states. The Common Position updates and supplements the politically binding rules of the EU Code of Conduct, which has been in place since 1998. This represents great progress on harmonising the export control policies at EU level. The Common Position contains eight criteria (cf. Annex 2, Article 2) to be used by all member states in decisions on applications for export licences. A number of new elements (e.g. the human rights criterion was expanded to include the aspect of humanitarian international law) have been included in the Common Position, 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

¹³ Most recently the 2010 Annual Disarmament Report, Bundestag Printed Paper 17/4620 of 27 January 2011, cf. <http://www.auswaertiges-amt.de/cae/servlet/contentblob/561582/publicationFile/155539/1101-Jahresabruerstungsbericht-2010.pdf>

European Union, to further their harmonisation, and to foster the creation of a level playing field.

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

During the year under report, Germany held ten active consultations and 61 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, third countries that have committed themselves to applying the principles of the EU Code of Conduct, and 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 for the principles and criteria of the Common Position (cf. Section II. 10.).

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

The EU Directive of 6 May 2009 simplifying terms and conditions of transfers of defence-related products within the Community was adopted by the European Parliament in its first reading in December 2008 and 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 will substantially simplify the transfer of defence-related products within the EU. To this end, companies in the EU are increasingly being provided with global and general licences. Reliable companies in the EU are given the opportunity to have themselves certified in order then to be supplied with defence-related products under simplified conditions on the basis of general licences. Such general licences for deliveries to certified companies improve the competitive prospects of small and medium-sized firms in particular.

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 weapons and of dual-use goods and technologies which can serve their

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

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 Internet: <http://www.wassenaar.org>

manufacture. The 40 countries that are presently signatories (all the EU member states except Cyprus and countries such as the United States, Canada, Japan, Russia, South Africa and Ukraine) aim to harmonise their controls of the export of such goods with a view to preventing destabilising stockpiling of arms and dual-use goods and technologies.

The core element of the Wassenaar Arrangement in terms of military equipment export control is the ongoing further development of the “Munitions List”, i. e. the list of military equipment to be subject to controls by the signatory states. The List contains the decisive specifications for Part I Section A of the German Export List and for the EU’s Common List of Military Equipment.

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

extended in 2003 to include the export of small arms and light weapons.

In addition to the opening up of the WA to dialogue with non-Wassenaar Arrangement signatories, there is also a need to further develop and deepen collaboration amongst Wassenaar Arrangement members. In particular, the step-by-step harmonisation of the WA signatory countries’ national military equipment export policies, and an increase in transparency, are significant interests, and Germany remains a firm advocate of this.

7. UN Register of Conventional Arms

UN member states are required to report the export and import of weapons that are subject to notification (major weapon systems) to the UN Conventional Arms Register; only unit quantities and not values are registered.¹⁸

For the year 2010, the Federal Republic of Germany reported the export of the following war weapons to the UN Conventional Arms Register:¹⁹

Country	Item	Quantity
Brazil	Leopard 1 main battle tank	87
Chile	Leopard 2 main battle tank Marder infantry fighting vehicle	32 ⁽¹⁾ 63 ⁽²⁾
Greece	Armoured self-propelled howitzer Type M109 Class 214 submarine	223 1
Luxembourg	Stinger anti-aircraft missile	2
The Netherlands	Leopard 2 main battle tank Stinger anti-aircraft missile	10 2
Portugal	Class 209PN submarine	1 ⁽³⁾
Singapore	Leopard 2 main battle tank	56
Spain	Taurus guided missile	23
Turkey	Leopard 2 main battle tank	10 ⁽⁴⁾

- (1) Included in the 2007 German Export Report
- (2) 39 are included in 2008 Chilean report
- (3) A further submarine was handed over to the Portuguese armed forces at the end of 2010, but not delivered to Portugal in that year.
- (4) Seven arrived in 2010 and three in 2011

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

19 Cf. also Annex 6.

8. International discussion on small arms and light weapons

In internal and cross-border conflicts by far the greatest share of human casualties have been caused by the use of small arms and light weapons (“small arms”, e.g. submachine guns, assault rifles, light mortars, etc.) and the associated ammunition.²⁰ 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**²¹ and via regional initiatives, e.g. in the context of 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 2010.²⁴ Not least, this applies to the small arms debate in the UN context. The increased international coherence in the appreciation of the problem, and the support for specific measures to combat illegal trading in small arms, was seen not least at the Biennial Meeting of States on the UN Programme of Action against Illicit Small Arms in June 2010, which for the first time adopted in consensus a final outcome document with specific recommendations for further work. In 2010, the control of small arms and their ammunition was a focus of the efforts by the German Government in the field of conventional arms controls.

In this context, mention should also be made of the German involvement in the conclusion of an international Arms Trade Treaty (cf. Section II. 9.), the aim of which is to achieve not only control of the transfer of conventional military equipment in general, but in particular a globally effective control of the transfer of small arms.

Germany 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 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.

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

22 OSCE Document FSC.DOC/1/100 on Small Arms and Light Weapons of 24 November 2000, available on the internet at: www.osce.org/fsc/20783; cf. also the 2000 Military Equipment Export Report, II. 7. for more details.

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

24 Cf. for the small arms problem also the 2010 Annual Disarmament Report, at <http://www.auswaertiges-amt.de/cae/servlet/contentblob/561582/publicationFile/155539/1101-Jahresabruestungsbericht-2010.pdf>

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 aim of an Arms Trade Treaty (ATT)²⁵ is to combat uncontrolled international trade in conventional military equipment by means of a worldwide harmonisation of national export controls and regional control instruments at a high level and by closing gaps in regulation. With this goal in mind, the Federal Government is playing an active part in the preparations for the negotiations in the UN context, in which the first ever legally binding rules on the transfer of conventional military equipment are to be agreed at global level.

The previous sessions of a Preparatory Committee in advance of a conference of states planned for 2012 have shown that, whilst the goal of agreeing a comprehensive ATT with global participation remains ambitious, it is attainable. Even though some states remain sceptical about an ATT, key players have dropped their opposition to such a treaty.

The Federal Government is working proactively towards an effective ATT and together with its EU partners is pressing all the UN member states vigorously to adopt a comprehensive and legally binding ATT. An ATT should include all conventional military equipment including small arms and light weapons and ammunition. Furthermore, an ATT should include a clear catalogue of criteria for the licensing of transfers of military equipment.

Background: After the group of government experts, which included Germany, submitted a report on the feasibility and possible scope of an ATT in 2008 on the basis of a UN General Assembly resolution, the UN General Assembly decided to continue the UN ATT process on 24.12.2008, initially in the context of a working group (the Open-Ended Working Group – OEWG). On 2 December 2009 the UN General Assembly decided by a large majority to convert the remaining working group meetings into Preparatory Committees and to embark on negotiations for an ATT (UN-GA Res. 64/48).

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

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 undertake outreach activities in the field of military equipment by Council Decision 2009/1012/CSFP. Accordingly, the BAFA organised regional seminars in 2010 on arms export controls in Algiers/Algeria, in Sarajevo/Bosnia and Herzegovina and in Kyiv/Ukraine.

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

The following is an outline of **licences** granted for military equipment exports in 2010; **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 2010 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 under 1. d).

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 2010²⁷, 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

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.

exported or not entirely exported in the year in which the licence was issued.

a) Individual licences

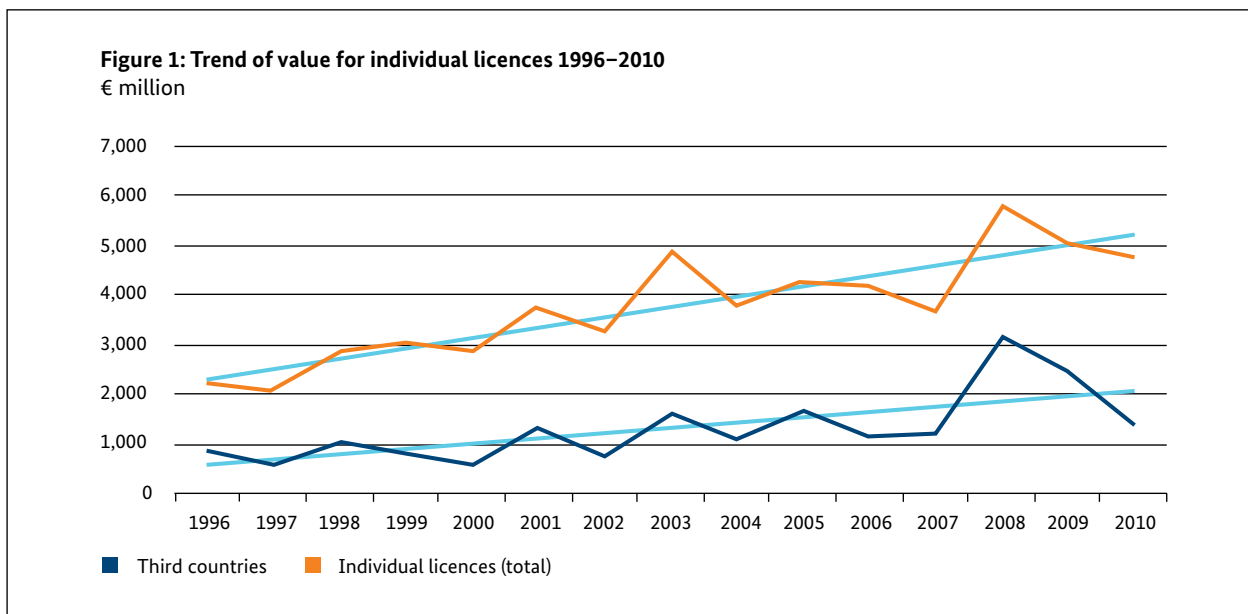
In 2010 a total of 16,145 individual licence applications for the final²⁸ export of military equipment were approved in Germany (year earlier: 16,202). The total value of the licences – not that of actual exports – was €4,754 million. This was roughly a €289 million decrease against figures for 2009 (€5,043 million).

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 €3,371 million of this amount (previous year: €2,551 million). Licences for goods with end-use in EU member states achieved a total value of €2,315 million (preceding year: €1,445 million), and licences for goods with end-use in NATO or NATO-equivalent countries (not including EU countries) a total value of €1,056 million (preceding year: €1,106 million) – in each case

without collective export licences. The licence value for exports to third countries amounted to €1,383 million (previous year: €2,492 million).

The diagram above shows that the licensing figures have fluctuated widely for the group of third countries since 1996. 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. €365.3 million were issued in 2010 (2009: €408 million). This is equivalent to 7.7 % of the value of all German individual licences for military equipment (the proportion in 2009 was around 8.2 %). Amongst the developing countries, the leading countries of destination in 2010 were India (€96.8 million), Pakistan (€96.6 million) – chiefly missiles, torpedoes and communication equipment – and Iraq (€54.2 million) – chiefly parts for helicopters and on-board equipment. A breakdown of the categories of goods licensed is contained in Annex 7.



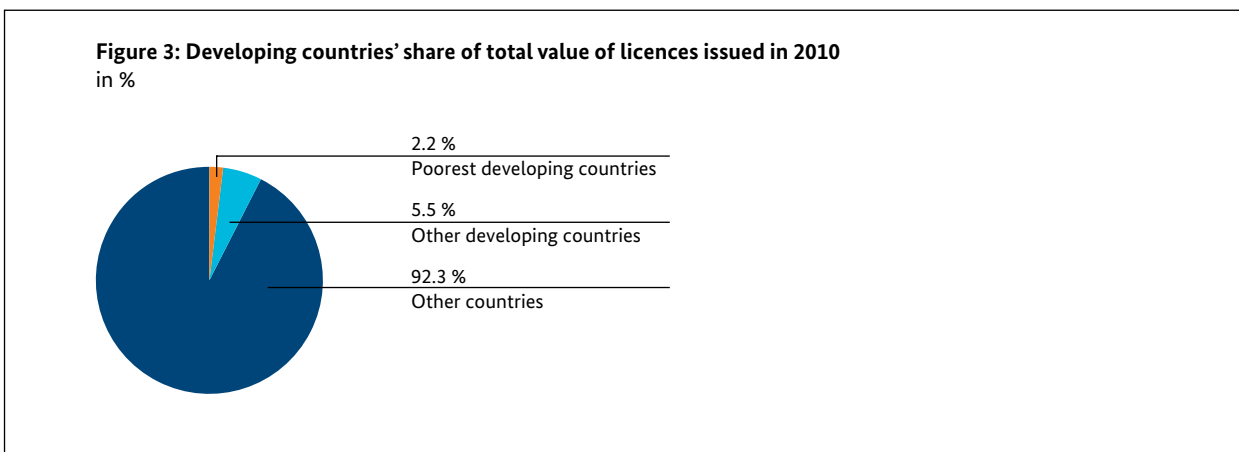
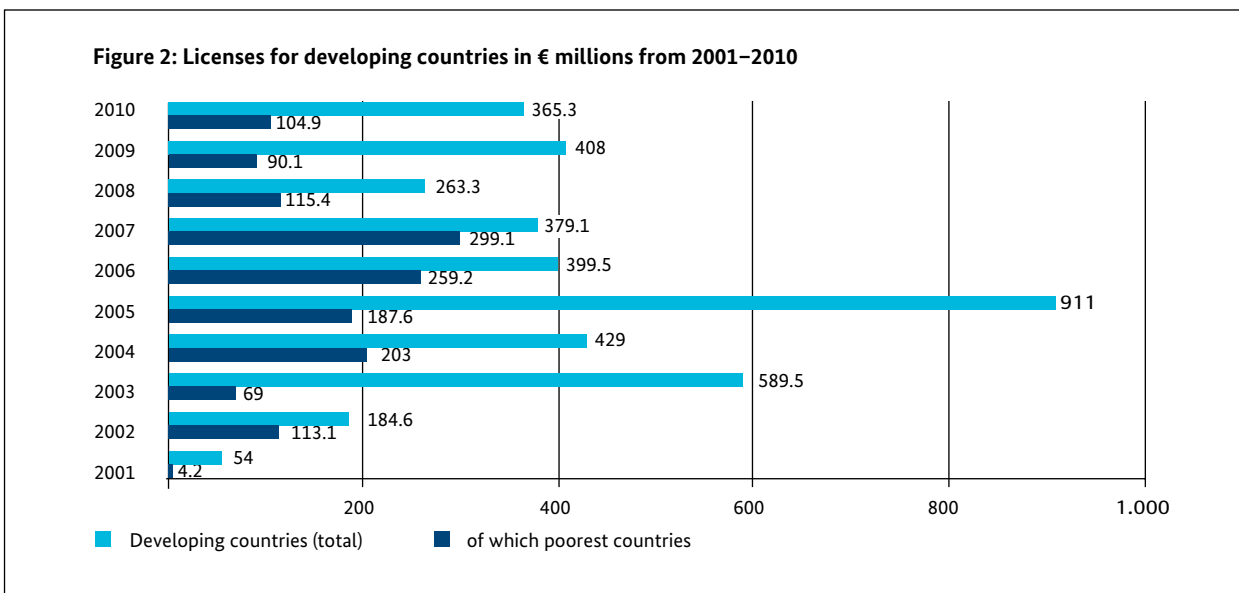
28 Licences of temporary exports, e.g. for fairs, exhibitions, and/or demonstration purposes, are not included.

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

The value of licences for the group of the poorest and other developing countries with low incomes³⁰ rose in 2010 relative to the previous year. The total share of this group of countries amounted to €104.9 million (2009: €90.1 million) or 2.2 % (2008: 1.8 %) of the value of all individual export licences for military equipment in 2010.

user of the goods is the armed forces of a NATO country, development policy aspects played no role in the decision – cf. also the 2009 Report. The licence values for developing countries also omit export licences for the UN and other international organisations worth a total of approx. €7.7 million.

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 69 export licences worth a total of €34.2 million for the Canadian armed forces in Afghanistan. Since the end



30 Poorest and other low-income developing countries and areas pursuant to Columns 1 and 2 of the OECD's DAC List of ODA Recipients for 2009 and 2010. Cf. Annex 9.

b) Collective export licences

69 **collective export licences** were issued in 2010, the value totalling approximately €737.3 billion (2009: 116 worth some €1.996 billion), on the basis of which the companies were able to undertake several exports to the same or various consignees abroad (above all as part of collaboration on official government co-operation projects). Here it should however be noted that for technical reasons fewer collective export licences were issued in 2010. For this reason, a higher figure can be expected for the collective export licences in the following years.

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

c) Export licence denials

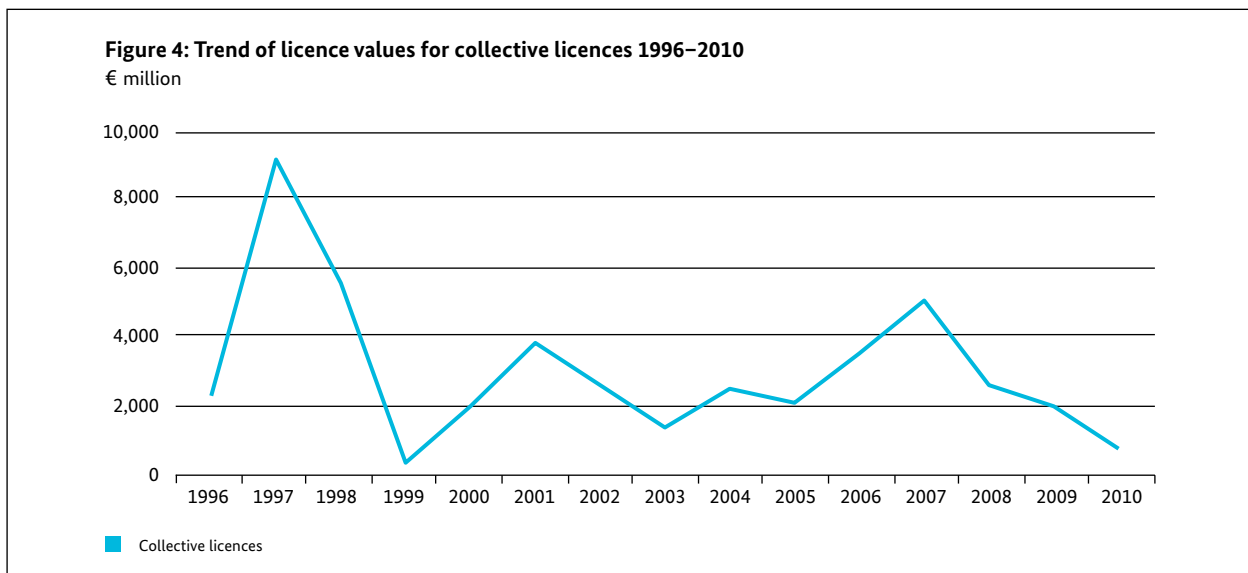
In 2010, 113 applications for military equipment exports (2009: 130) were denied. The total value of the denials came to €8.1 million (2009: €62.6 million). The figure does not include applications withdrawn by applicants prior to notification because of poor chances of success or for other reasons. (The high figure for the total value of denials for the preceding year is not least due to the fact that applications for substantial exports to India worth nearly €30 million and

to the UAE worth nearly €24 million were rejected in 2009.) 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, a formal application is filed only in extremely rare cases, and the subsequent denial is then included in the attached statistical overview. As a rule, applications appearing to have no prospects of success are not submitted.

The highest-value denials in 2010 affected Yemen (€2.6 million), Iran (€1.2 million) and Turkey (€1.1 million).

Denials for the final export of arms concerned the following destinations in 2010: Afghanistan, Algeria, Andorra, Argentina, Bangladesh, Belarus, Bosnia and Herzegovina, Bulgaria, Chile, China, Colombia, Croatia, Egypt, Georgia, Hong Kong, India, Iran, Israel, Kazakhstan, Kosovo, Kuwait, Libya, Macedonia, Mauritius, Mexico, Moldova, Nepal, Nigeria, Pakistan, Panama, Philippines, Russia, San Marino, Serbia, Singapore, South Africa, Sri Lanka, Taiwan, Tajikistan, Thailand, Turkey, Turkmenistan, Ukraine, UAE, Yemen, Zambia.



d) Most important countries of destination

The 20 most important countries of destination for which individual export licences were granted in 2010:

No. ³¹	Country	Value in 2010 (€)	Description of Articles
1 (-)	Portugal	811,739,201	Submarines and parts for naval vessels, underwater detection equipment (A0009/99.2 %);
2 (1)	USA	602,094,020	cranes and parts for tanks, armoured vehicles, amphibious vehicles, ground vehicles (A0006/16.6 %); camouflage paint, mobile electricity generators, containers, fuel cells, test models and parts for diving apparatus, construction equipment, mobile electricity generators, bridges, fuel cells (A0017/6.1 %); electronic equipment, communication equipment, navigation equipment, measuring equipment, testing equipment, assemblies and parts for electronic equipment, communication equipment, positioning equipment, navigation equipment, guidance equipment, measuring equipment, testing equipment, assemblies, electricity supplies (A0011/5.8 %); cannon, grenade launchers, weapon sighting units and parts for cannon, automatic grenade launchers, grenade launchers, smoke grenades (A0002/4.9 %); forged, cast and unfinished components (A0016/4.8 %); helicopters, ground equipment, engines, ejector seats, parachutes and parts for combat aircraft, aircraft, unmanned aircraft, ground equipment, engines, on-board equipment (A0010/4.2 %);
3 (3)	United Kingdom	455,052,078	Military equipment technology (A0022/31.5 %); ammunition for cannon, mortars, rifles, submachine guns, grenade launchers, automatic grenade launchers, revolvers, pistols and ammunition parts for the following: howitzers, cannon, mortars, rifles, grenade launchers, automatic grenade launchers, decoys, self-protection systems (A0003/15.3 %); tow-target aircraft, engines, on-board equipment, ground equipment and parts for combat aircraft, combat helicopters, other aircraft, engines, on-board equipment, ground equipment, pilot oxygen supply (A0010/14.0 %); electronic equipment, communication equipment, navigation equipment, data processing equipment, measuring equipment, testing equipment, assemblies and parts for electronic equipment, communication equipment, positioning equipment, navigation equipment, guidance equipment, assemblies (A0011/12.0 %); parts for manufacturing equipment for military goods and reloading equipment (A0018/5.0 %); trucks, recovery vehicles, semi-trailer towing vehicles, ambulances, motorcycles, trailers and parts for tanks, armoured vehicles, amphibious vehicles, ground vehicles (A0006/4.6 %)
4 (5)	Korea, Republic	270,862,393	Parts for combat aircraft, training aircraft, helicopters, aircraft and on-board equipment (A0010/40.2 %); missiles and parts for missiles (A0004/22.9 %); submarine simulator and parts for it (A0014/11.2 %);

31 List position of previous year in brackets.

No. ³¹	Country	Value in 2010 (€)	Description of Articles
			<p>communication equipment, navigation equipment, stabilisation systems, data processing equipment, testing equipment and parts for electronic equipment, communication equipment, navigation equipment, navigation equipment, guidance equipment, electronic warfare equipment, assemblies, construction components (A0011/5.2 %);</p> <p>parts for tanks, armoured vehicles and ground vehicles (A0006/5.0 %)</p>
5 (2)	United Arab Emirates	262,513,354	<p>Combat training centre, target simulators, practice torpedoes, recovery equipment for torpedoes and parts for flight simulators and target simulators (A0014/36.8 %);</p> <p>low-load semi-trailers for artillery missile systems, trucks, armoured cross-country vehicles and parts for tanks, armoured vehicles, trucks, mine-clearing equipment, ground vehicles (A0006/30.7 %);</p> <p>communication equipment, testing equipment and parts for communication equipment, radar systems, electronic warfare (A0011/17.9 %)</p>
6 (-)	Turkey	198,967,974	<p>Tanks, armoured bridgelayers, trucks, fire-fighting vehicles and parts for tanks, armoured vehicles, ground vehicles (A0006/78.8 %);</p> <p>missile launchers and parts for missiles, missile defence systems, missile launchers (A0004/6.0 %)</p>
7 (8)	France	197,653,578	<p>Training aircraft, on-board equipment, ground equipment, pilot helmets and parts for combat aircraft, combat helicopters, other aircraft, unmanned aircraft, engines, on-board equipment, ground equipment, pilot helmets (A0010/35.1 %);</p> <p>electronic equipment, communication equipment, guidance equipment, data processing equipment, measuring equipment, testing equipment, assemblies and parts for electronic equipment, communication equipment, positioning equipment, navigation equipment, data processing equipment, measuring equipment, testing equipment, assemblies, electricity supplies (A0011/15.8 %);</p> <p>missile launchers, military explosives, smoke hand grenades, illuminating cartridges and parts for torpedoes, rockets, missiles, anti-tank systems, marine minesweeping systems, illuminating cartridges, simulation ammunition (A0004/14.6 %);</p> <p>trucks, cross-country vehicles, dumpers, crawler tractor, trailers and parts for tanks, armoured vehicles, amphibious vehicles, ground vehicles (A0006/8.8 %);</p> <p>forged, cast and unfinished components (A0016/7.6 %)</p>
8 (10)	Italy	183,755,503	<p>Electronic equipment, communication equipment, navigation equipment, measuring equipment, testing equipment, assemblies and parts for electronic equipment, communication equipment, positioning equipment, navigation equipment, guidance equipment, electronic warfare equipment, electricity supply (A0011/28.6 %);</p> <p>underwater detection equipment, ship body conduits and parts for naval vessels, underwater detection equipment (A0009/13.8 %);</p> <p>trucks, crawler tractors, trailers and parts for tanks, armoured vehicles, ground vehicles (A0006/11.1 %);</p> <p>on-board equipment and parts for combat aircraft, aircraft, unmanned aircraft, engines, on-board equipment, ground equipment (A0010/10.8 %);</p> <p>ammunition for cannon, anti-tank weapons, grenade launchers, automatic grenade launchers, decoys and parts for ammunition for guns, howitzers, cannon, mortars, rifles (A0003/9.5 %);</p> <p>military equipment technology (A0022/7.5 %)</p>

No. ³¹	Country	Value in 2010 (€)	Description of Articles
9 (9)	The Netherlands	155,398,287	<p>Self-propelled howitzers, multiple rocket launchers, detection armoured vehicles, trucks, cross-country vehicles, semi-trailer towing vehicles, tankers, ambulances, fire fighting vehicles, dumpers, motor-cycles, semi-trailers, trailers and parts for tanks, armoured vehicles, ground vehicles (A0006/70.1 %);</p> <p>missiles, missile launchers, underwater drones, hand grenades, explosive charges, simulators and parts for missiles, explosive charges, explosive devices, sea mines, simulators (A0004/7.1 %);</p> <p>self-propelled howitzers, grenade launchers, smoke dischargers and parts for guns, howitzers, automatic grenade launchers, grenade launchers (A0002/6.9 %)</p>
10 (6)	Saudi Arabia	152,492,937	<p>Electronic equipment, communication equipment, navigation equipment and parts for electronic equipment, communication equipment, electronic warfare, assemblies (A0011/29.8 %);</p> <p>missiles, simulators, illuminating ammunition, simulator ammunition and parts for sea mine clearance systems, missiles (A0004/17.1 %);</p> <p>parts for fast patrol boats and patrol boats (A0009/15.7 %);</p> <p>air reconnaissance system and parts for combat aircraft, tanker aircraft, engines, on-board equipment (A0010/9.9 %);</p> <p>ammunition for rifles, submachine guns, hunting weapons, sporting weapons, smoke grenades, irritant grenades and and ammunition parts for the following: howitzers, cannon, mortars, rifles, revolvers, pistols (A0003/5.9 %);</p> <p>trucks and parts for armoured vehicles and trucks (A0006/5.8 %)</p>
11 (-)	India	96,856,031	<p>Target range finders, fire control system, testing and calibration equipment and parts for fire control systems, onboard weapon control systems, location recognition identification equipment (A0005/22.7 %);</p> <p>parts for tanks, armoured vehicles and ground vehicles (A0006/20.9 %);</p> <p>underwater detection equipment, ship body conduits and parts for submarines, destroyers, landing ships, radar systems, patrol boats, ships, underwater detection equipment (A0009/14.8 %);</p> <p>magnetic self-protection facilities, communication equipment, navigation equipment, guidance equipment, testing equipment, cathode ray tubes and parts for electronic equipment, communication equipment, positioning equipment, navigation equipment, guidance equipment, controller equipment (A0011/11.0 %);</p> <p>manufacturing equipment and maintenance equipment engine parts and parts for ammunition, for tanks, for small arms, for aircraft (A0018/10.8 %)</p>
12 (-)	Pakistan	96,677,141	<p>Missiles and parts for mine clearance systems, missiles, torpedoes (A0004/49.3 %);</p> <p>communication equipment and parts for communication equipment, radar systems (A0011/30.7 %);</p> <p>air reconnaissance system (A0010/9.7 %)</p>

No. ³¹	Country	Value in 2010 (€)	Description of Articles
13 (12)	Switzerland	92,668,660	<p>Armoured vehicles, cross-country vehicles and parts for tanks, armoured vehicles, ground vehicles (A0006/30.2 %);</p> <p>ammunition for cannon, mortars, rifles, machine guns, grenade launchers, automatic grenade launchers, revolvers, pistols, hunting weapons, sporting weapons, decoys and ammunition parts for the following: howitzers, cannon, mortars, rifles, machine guns, grenade launchers, automatic grenade launchers, revolvers, pistols, hunting weapons, sporting weapons, decoys, fuse-setting devices (A0003/28.9 %);</p> <p>electronic equipment, communication equipment, navigation equipment, data processing equipment, testing equipment and parts for electronic equipment, communication equipment, positioning equipment, guidance equipment, navigation equipment, electronic warfare, data processing equipment, electricity supplies (A0011/9.1 %);</p> <p>flight simulators and parts for flight simulators, target simulators, training equipment, ammunition for weapon training equipment (A0014/7.8 %);</p> <p>gun laying equipment, target range finders, testing equipment, calibration equipment and parts for fire control units, weapon sighting units, gun laying equipment, on-board weapons-control systems, target range-finders, target surveillance systems, recognition facilities, testing equipment, calibration equipment (A0005/5.1 %)</p>
14 (20)	Spain	84,310,026	<p>Missiles, mine-clearing equipment, missile defence systems, signal rockets and parts for torpedoes, missiles, mine-clearing equipment (A0004/36.9 %);</p> <p>electronic equipment, communication equipment, navigation equipment, guidance equipment, data processing equipment, measuring equipment, testing equipment, assemblies, electricity supplies and parts for electronic equipment, communication equipment, measuring equipment, testing equipment, electricity supplies (A0011/24.0 %);</p> <p>trucks, cross-country vehicles, ambulances and parts for tanks, armoured vehicles, ground vehicles (A0006/10.1 %);</p> <p>rifles with war weapons list number, submachine guns, machine guns, weapon sighting units and parts for rifles with war weapons list number, submachine guns, machine guns (A0001/6.2 %);</p> <p>ship body conduits and parts for naval vessels (A0009/5.4 %)</p>
15 (16)	Norway	81,511,830	<p>Armoured vehicles, detection armoured vehicles, trailers parts for tanks, armoured vehicles, ground vehicles (A0006/46.9 %);</p> <p>rifles with war weapons list number, machine guns, rifles without war weapons list number, sniper rifles, revolvers, pistols, hunting rifles, sporting rifles, self-loading rifles, smooth-bore weapons, sporting revolvers, sporting pistols, silencers, weapon sighting units and parts for rifles with war weapons list number, submachine guns, machine guns, sniper rifles, revolvers, pistols, hunting rifles, sporting rifles, self-loading rifles, smooth-bore weapons, sporting revolvers, sporting pistols, gun mountings, weapon sighting units (A0001/14.4 %);</p> <p>ammunition for cannon, mortars, rifles, submachine guns, grenade launchers, automatic grenade launchers, hunting weapons, sporting weapons, revolvers, pistols, decoys and ammunition parts for the following: howitzers, cannon, anti-tank weapons, rifles, machine guns, grenade launchers, automatic grenade launchers, hunting weapons, sporting weapons, revolvers, pistols, decoys (A0003/12.2 %);</p> <p>communication equipment and parts for communication equipment, positioning equipment, navigation equipment (A0011/9.4 %)</p>

No. ³¹	Country	Value in 2010 (€)	Description of Articles
16 (14)	Austria	79,192,651	Tanks (demilitarised), trucks, trailers and parts for tanks, armoured vehicles, ground vehicles (A0006/86.9 %)
17 (-)	Iraq	54,288,193	Pilot helmets and parts for helicopters and on-board equipment (A0010/85.4 %)
18 (7)	Singapore	54,027,445	Recoilless weapons (A0002/37.3%); armoured recovery vehicles, armoured bridgelayers, trucks and parts for tanks, armoured vehicles, amphibious vehicles, bridgelayers, cross-country vehicles, ground vehicles (A0006/34.0 %); submarine simulator, target simulators and parts for centrifuges, target simulators, weapon training equipment (A0014/12.6 %)
19 (-)	Latvia	53,148,959	Patrol boats and parts for patrol boats (A0009/92.7 %)
20 (-)	Sweden	50,739,157	Armoured recovery vehicles, crawler tractor and parts for tanks, armoured vehicles, ground vehicles (A0006/32.9 %); forged, cast and unfinished components (A0016/23.9 %); ammunition for anti-tank weapons, grenade launchers, automatic grenade launchers, fuse-setting devices and ammunition parts for the following: howitzers, anti-tank weapons, grenade launchers, automatic grenade launchers, rifles, machine guns, grenades (A0003/17.1 %); explosives, illuminating cartridges, decoys, signal rockets, smoke grenades, hand grenades, pyrotechnic ammunition and parts for torpedoes, missiles, missile launchers, illuminating cartridges (A0004/7.0 %)

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

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

The **individual export licences** issued in 2010 are broken down into the 22 EL Items as follows:

EL item	Description of item	Number	Value in €
A0001	Small firearms	5,002	237,344,594
A0002	Large calibre weapons	323	91,493,412
A0003	Ammunition	1,084	306,477,097
A0004	Bombs, torpedoes, missiles	384	310,452,275
A0005	Fire control systems	551	122,251,891
A0006	Wheeled and tracked military vehicles	3,415	998,517,592
A0007	Equipment for NBC defence, irritants	184	15,512,403
A0008	Explosives and fuels	289	27,752,681
A0009	Naval vessels	504	1,025,969,040
A0010	Military aircraft/aircraft technology	915	396,760,668
A0011	Military electronics	1,126	453,629,138
A0013	Ballistic protection equipment	77	17,206,544
A0014	Training and simulator equipment	141	173,096,274
A0015	Infrared/thermal imaging equipment	222	72,031,697
A0016	Semi-finished parts for the production of certain items of military equipment	466	102,616,265
A0017	Miscellaneous equipment	380	87,995,773
A0018	Manufacturing equipment for the production of military articles	657	69,535,808
A0019	HF weapon system	-	-
A0021	Military software	309	26,684,876
A0022	Technology	715	218,808,009
Total		16,744	4,754,136,037

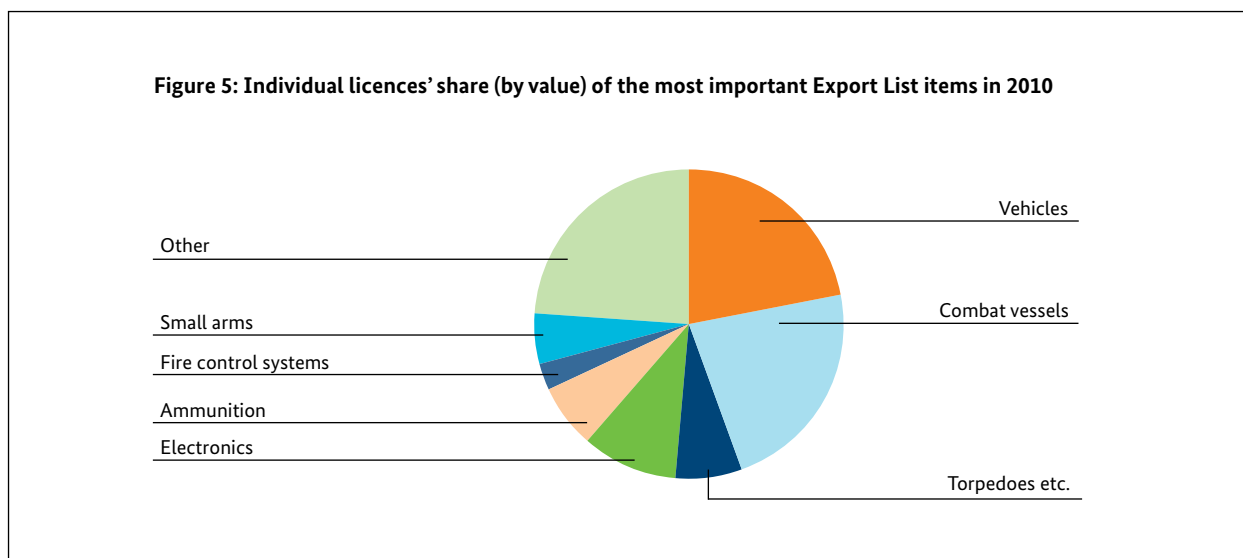
The above table is based on the 16,145 individual licences issued in 2010.³²

The table shows that the item which accounted for the **largest share** of exports of military equipment **in terms of value** in 2010 was “naval vessels”, totalling €1.02 billion. The second-largest item was “wheeled and tracked military vehicles” (€998.5 million), followed in third place by “military electronics” (€453.6 million).

The small firearms item-number on the Export List (A0001) 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).

³² The addition of the number of individual licences by positions A 0001 to A 0022 yields a higher value than the total number of individual licences since some of the applications are split among several positions and are therefore counted two or more times in the individual positions in this table.

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



f) Export licences from 1996 to 2010

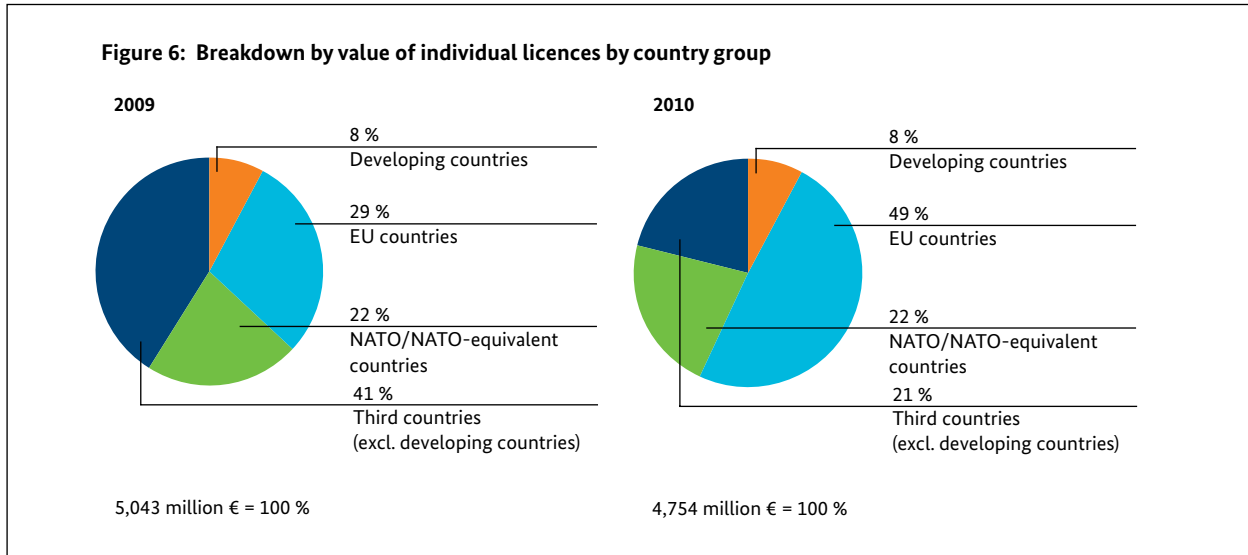
The following table compares the values (€ millions) of the **licences issued** in the years 1996 to 2010 for final exports. To provide a better basis for comparison, the values are not broken down by individual countries of

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.

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)
1996	615.2	720.2	850	2,185.4	2,271
1997	731.8	732.7	596.1	2,060.6	9,189.7
1998	632.3	1,208	1,033	2,873.7	5,577.8
1999	701.8	1,542.8	781.6	3,026.1	334.7
2000	1,283.8	963.5	599.7	2,846	1,909.1
2001	1,329.7	1,010.6	1,345.8	3,686.1	3,845.3
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

The two following illustrations compare the values accounted for by the various country groups for the years 2009 and 2010. 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 2010

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 2010. Individual licences for the export of war weapons add up to a

total of €1.5 billion, thus approximately 32 % of the total for overall individual licences (the figures for 2009 were €1.08 billion and 21.5 %). The following table displays – broken down by country – total licences for the export of war weapons to **third countries** in 2010 (total value: €198 million; 2009 figure: €783 million):

Country	Individual decisions or applications for war weapons	Value in €
Andorra	1	2,188
Bahrain	3	155,130
Bermuda	1	19,700
Bhutan	4	60,700
Brazil	1	20,420
Brunei	7	894,220
Chile	5	10,392,922
Hong Kong	2	31,450
India	15	7,124,189
Indonesia	2	373,838
Israel	7	697,796
Jordan	3	8,844
Korea, Republic	9	66,177,384
Kosovo	10	913,990
Kuwait	4	111,895
Lebanon	7	51,271
Malaysia	3	710,366
Mexico	1	86,741
Montenegro	10	1,359,101
Oman	3	45,320
Pakistan	11	43,330,861
Peru	5	8,792
Philippines	15	509,160
Qatar	5	272,715
Saudi Arabia	15	30,072,444
Singapore	5	28,838,212
South Africa	5	4,374,240
Thailand	1	27,000
Trinidad and Tobago	1	11,000
United Arab Emirates	3	1,647,067
Total	164	198,328,956

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 1996 to 2010

In view of the continuing special problems associated with the destabilising effects of accumulations of small arms and light weapons (“small arms”) in crisis areas³³, the German Government is additionally reporting for 2010 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), above). The values shown in the following tables A to C 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 broad agreement on basic elements. But there is still no uniform understanding of all weapon categories. The OSCE **small arms definition**³⁴ and the EU’s **small arms definition**³⁵ provide something of a model. Both of these definitions are based on the term “small arms and light weapons”, which is widely used internationally, and distinguish between small arms (mainly small military

33 Cf. II. 8. in this regard.

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

35 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).

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, but not 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 categorised 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 categorised 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 A)³⁶, and of ammunition for guns, sub-machine guns and machine guns and parts for such ammunition (Table C)³⁷ for 1996–2010.

36 Excluding hunting and sporting weapons.

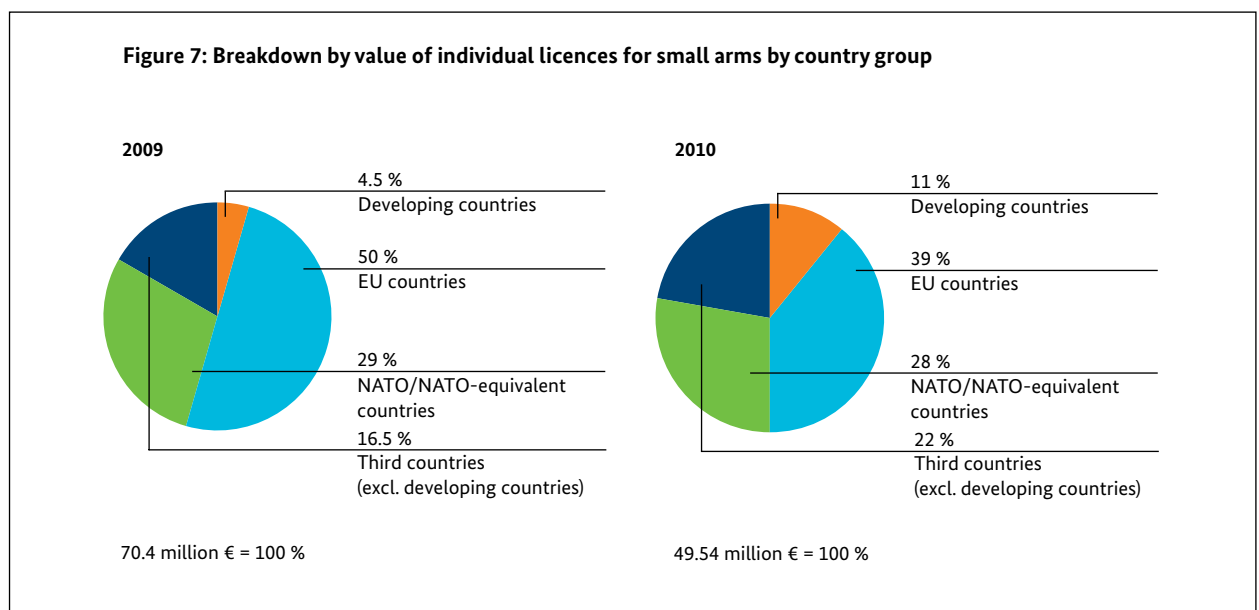
37 Excluding ammunition for hunting and sporting weapons.

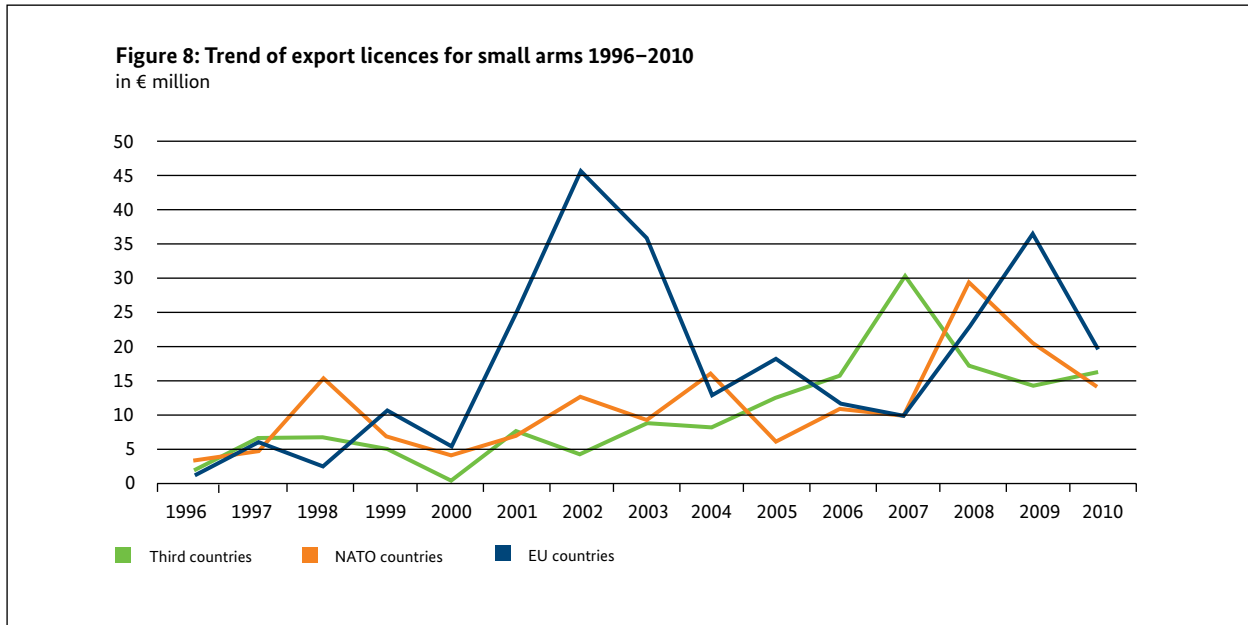
Table A: Individual Licences for the Export of Small Arms – Values in € millions

Year	EU-Countries	NATO/NATO-Equivalent Countries (without EU Countries)	Third Countries	Individual licences (total)
1996	0.89	2.60	1.87	5.36
1997	5.60	4.11	6.24	15.95
1998	2.09	14.68	6.57	23.34
1999	10.14	6.38	4.74	21.26
2000	4.97	3.58	0.27	8.82
2001	24.57	6.62	7.43	38.62
2002	45.31	12.09	4.20	61.6
2003	35.56	8.76	8.59	52.9
2004	12.64	15.46	8.17	36.27
2005	17.97	5.44	12.57	35.98
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

The following illustrations show the values broken down by three country groups for small arms licences issued in 2009 and 2010; 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 countries accounted for approx. 11 % of all licences for small arms in 2010. The German Government will continue to take a particularly restrictive approach to exports of small arms to developing countries in future.





The aggregate value of individual export licences for small arms is significantly lower than the aggregate value of total export licences for small firearms as listed above under e) for EL position 0001 (€237.3 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 hunting and sporting weapons, and therefore extends far beyond that of small arms as understood internationally.

For this reason, only just under 7 % of the licence values for small arms apply to licences for small arms destined for third countries (€16.3 million). The proportion of small arms licensed for third countries stood at €14.3 billion in the preceding year.

Table B: Individual Licences for the Export of Small Arms to Third Countries Broken down by Countries, Licence Values and Unit Numbers for 2010³⁸:

Country	Licences (total)	EL-Item	Value in €	Designation	Units
Andorra	1	0001A-05	2,188	Submachine guns	2
Bahrain	4	0001A-02	78,820	Rifles with war weapons list number	100
			180	Requisite components	10
		0001A-05	54,310	Submachine guns	50
			2,500	Requisite components	100
Bermuda	2	0001A-05	19,700	Submachine guns	20
			1,160	Requisite components	40
Bhutan	5	0001A-02	17,500	Rifles with war weapons list number	10
			290	Requisite components	10
		0001A-05	31,200	Submachine guns	15
			248	Requisite components	5
Brazil	2	0001A-05	20,420	Submachine guns	20
			1,940	Requisite components	60
Brunei	8	0001A-02	4,510	Rifles with war weapons list number	3
			1,132	Requisite components	63
		0001A-05	287,550	Submachine guns	255
			4,603	Requisite components	224
Cambodia	1	0001A-05	650	Components for submachine guns (UN mission)	13
Chile	4	0001A-02	2,922	Rifles with war weapons list number	3
			185	Requisite components	10
Hong Kong	4	0001A-02	87	Parts for rifles with war weapons list number	2
			1,700	Submachine guns	1
			45,500	Requisite components	643
India	16	0001A-05	2,460,414	Submachine guns	1,608
			1,130,283	Requisite components	11,562
Indonesia	2	0001A-05	189,005	Submachine guns	104
			29,625	Requisite components	817
Iraq	2	0001A-02	11,295	Parts for rifles with war weapons list number	80
		0001A-06	0	Machine gun parts	diverse
Israel	3	0001A-02	3,850	Rifles with war weapons list number (UN mission)	2
		0001A-05	5,206	Submachine guns (UN mission)	2
			76	Requisite components (UN mission)	2
Jordan	6	0001A-02	8,844	Rifles with war weapons list number	6
			1,039	Requisite components	58
Korea, Republic	8	0001A-02	113,620	Rifles with war weapons list number	69
			6,132	Requisite components	276
		0001A-05	109,980	Submachine guns	108
			13,112	Requisite components	831

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 in €	Designation	Units
Kosovo	17	0001A-02	599,030	Rifles with war weapons list number	547
			42,559	Requisite components	601
		0001A-05	313,900	Submachine guns	240
			19,528	Requisite components	429
Kuwait	5	0001A-05	79,270	Submachine guns	80
			31,925	Requisite components	2,120
Lebanon	7	0001A-02	27,100	Rifles with war weapons list number	15
			78,363	Requisite components	381
		0001A-05	14,271	Submachine guns (UN mission)	12
			1,282	Requisite components (UN mission)	31
Malaysia	4	0001A-02	318,240	Rifles with war weapons list number	180
			64,710	Requisite components	1,260
		0001A-05	116,354	Components for submachine guns	3,105
Mexico	9	0001A-02	345,614	Parts for rifles with war weapons list number	62,574
		0001A-05	494,239	Components for submachine guns	38,284
		0001A-06	91,401	Components for machine guns	347
Montenegro	11	0001A-02	1,152,411	Rifles with war weapons list number	678
			114,240	Requisite components	4,158
Oman	3	0001A-05	15,325	Submachine guns	15
			4,065	Requisite components	45
Peru	8	0001A-02	7,682	Rifles with war weapons list number	5
			1,568	Requisite components	28
Philippines	16	0001A-02	284,240	Rifles with war weapons list number	180
			31,860	Requisite components	860
		0001A-05	215,920	Submachine guns	220
			7,680	Requisite components	240
Qatar	5	0001A-05	139,285	Submachine guns	103
			57,136	Requisite components	593
Saudi Arabia	22	0001A-02	4,324,015	Rifles with war weapons list number	3,008
			448,320	Requisite components	56,330
		0001A-05	3,396	Components for submachine guns	30,002
		0001A-06	7,120	Components for machine guns	8
Singapore	3	0001A-05	5,654	Components for submachine guns	207
South Africa	1	0001A-02	516	Parts for rifles with war weapons list number	4
Thailand	4	0001A-02	1,652	Parts for rifles with war weapons list number	106
		0001A-05	27,000	Submachine guns	20
			820	Components for	20
Trinidad and Tobago	2	0001A-02	11,000	Rifles with war weapons list number	7
			1,555	Requisite components	49
United Arab Emirates	3	0001A-02	1,607,613	Rifles with war weapons list number	625
			494,334	Requisite components	626
		0001A-05	39,454	Submachine guns	34
Total	188		16,303,423		

Table C: Individual licences for ammunition for small arms, including ammunition parts – values in € million for 1996–2010:

Country	EU-Countries	NATO/NATO-Equivalent Countries (without EU Countries)	Third countries	Individual licences (total)
1996	0.30	0.50	0.09	0.89
1997	4.60	5.00	0.74	10.34
1998	4.64	10.09	0.63	15.36
1999	2.83	14.95	0.15	17.93
2000	2.81	2.84	0.04	5.69
2001	2.20	12.46	1.80	16.46
2002	7.08	6.10	1.88	15.06
2003	1.83	8.53	1.61	11.96
2004	3.69	11.06	0.57	15.31
2005	6.13	11.50	0.24	17.87
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

The two charts below show the breakdown of licences in 2009 and 2010 for the export of small arms ammunition to the three categories of countries mentioned in table C (in the chart, the percentages for developing countries and other third countries are shown separately). The licences for small arms ammunition, both for third countries and developing countries, decreased substantially in 2010 compared with the

preceding year. The shares fluctuate from year to year. Third countries accounted for a share of 7 % of individual licences for ammunition; the developing countries' share stood at only 1 %. In comparison with 2009, the proportion of export licences for ammunition accounted for by EU countries in particular dropped by approx. 75 %.

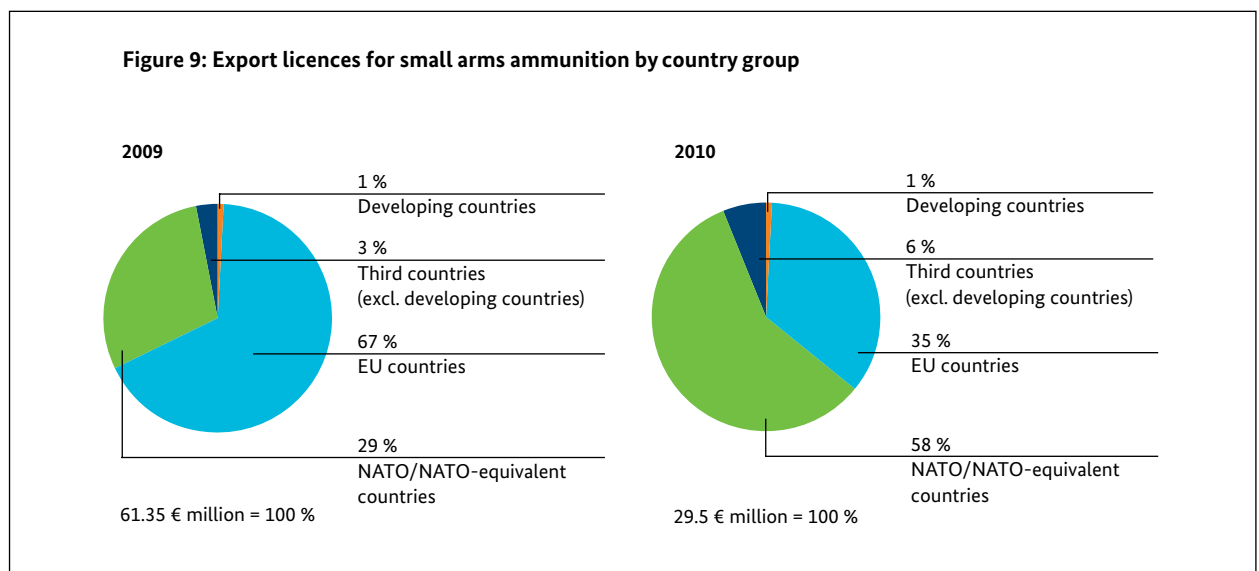


Table D: Individual Licences for the Export of Small Arms Ammunition to Third Countries, by Country, for 2010³⁹

Country	Licences (total)	EL Item	Value in €	Designation	Units
Andorra	1	0003A-01	1,591	Ammunition for rifles	5,400
Bahrain	2	0003A-01 0003A-05	0 22,000	Ammunition for rifles Ammunition for submachine guns	4,470 40,000
Bhutan	1	0003A-05	12,000	Ammunition for submachine guns	20,000
Brazil	1	0003A-01	12,290	Components for rifle ammunition	200,000
Brunei	1	0003A-05	150,000	Ammunition for submachine guns	300,000
Egypt	1	0003A-01	100	Ammunition for rifles	780
Indonesia	1	0003A-01	10,473	Ammunition for rifles	15,400
Iraq	1	0003A-01	39,500	Ammunition for rifles	100,000
Israel	1	0003A-05	2,000	Ammunition for submachine guns (UN mission)	2,000
Jordan	1	0003A-01	92,800	Ammunition for rifles	500,000
Kazakhstan	1	0003A-01	3,000	Ammunition for rifles	2,800
Korea, Republic	2	0003A-05	77,200	Ammunition for submachine guns	100,000
Kosovo	3	0003A-01	14,880	Ammunition for rifles	30,300
Kuwait	3	0003A-01	97,183	Ammunition for rifles	660,000
Lebanon	4	0003A-01 0003A-05	35,150 10,025	Ammunition for rifles (UN mission) Ammunition for submachine guns (UN mission)	77,600 12,000
Oman	6	0003A-01	41,674	Ammunition for rifles	126,600
Philippines	3	0003A-01 0003A-05	145,000 6,000	Ammunition for rifles Ammunition for submachine guns	100,000 10,000
Qatar	1	0003A-05	27,500	Ammunition for submachine guns	50,000
Russian Federation	6	0003A-01	70,667	Ammunition for rifles	88,900
Saudi Arabia	4	0003A-01 0003A-05	44,749 640,000 322	Ammunition for rifles Components for rifle ammunition Ammunition for submachine guns	35,900 20 million 480
Singapore	3	0003A-01 0003A-05	294 391,000 9,409	Ammunition for rifles Components for rifle ammunition Components for machine gun ammunition	1,000 17 million 37,900
South Africa	1	0003A-06	18,320	Ammunition for machine guns	4,000
Sudan	1	0003A-01	15,800	Ammunition for rifles [UN mission]	40,000
Ukraine	1	0003A-01	2,551	Ammunition for rifles	14,800
United Arab Emirates	1	0003A-01	7,500	Ammunition for rifles	500
Uruguay	1	0003A-01	3,000	Components for rifle ammunition	1,200
Total	52		2,003,978		

Total values for 2010 were 52 licences at a value of approx. €2 million. Overall, small arms and small arms munitions accounted for only a minute fraction of the

total value of all individual licences: in 2010, their share amounted to a mere 1.7 %.

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.

i) Licences for brokering transactions in 2010

The new licensing rules of Sections 40 to 42 of the Foreign Trade and Payments Ordinance regarding brokering transactions involving military equipment entered into force on 29 July 2006.

To some extent, this addition to the Foreign Trade and Payments Ordinance served to implement Council Common Position 2003/468/CFSP on the control of arms brokering of 23 June 2003, but it also goes beyond the Common Position. It substantially broadens the existing controls on arms brokering under Section 4a of the War Weapons Control Act, which remains in force unchanged. In 2010, a total of 23 (2009: 25) licences for brokering transactions were issued for recipients in third countries. There were no denials in 2010. In the previous year, there were two denials. Annex 8 contains an overview of these licences.

2. Exports of war weapons

a) War weapon exports in 2010

In 2010, Germany's Federal Statistical Office (DESTA-TIS) determined that goods worth a total value of €2,119 million (0.2 % of all German exports) were exported from Germany (2009: €1,338.8 million or 0.17 %). The total value thus rose compared with the year before. This is due to a special effect from exporting naval vessels to the NATO partners Portugal and Greece. In value terms, 77 % of the war weapons exports went to EU, NATO, and NATO-equivalent countries; according to the Political Principles, the export of military equipment to such countries is not 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 2010, war weapons worth a total of €108.2 million, or approx. 5.1 % of all exports of war weapons, were exported to developing countries (2009: €52.2 million and approximately 3.9 %). Of these, exports valued at €65 million went to Pakistan and €27.6 million to Iraq.

(1) Bundeswehr exports

Within the exports, a merchandise value of €43.0 million (some 2 % of total exports of war weapons) was accounted for by the transfer of material by the German Ministry of Defence. This is considerably lower than the figure for 2009 (€131.8 million). More than half of these are exports to South Korea (Republic of Korea), at €23.1 million.

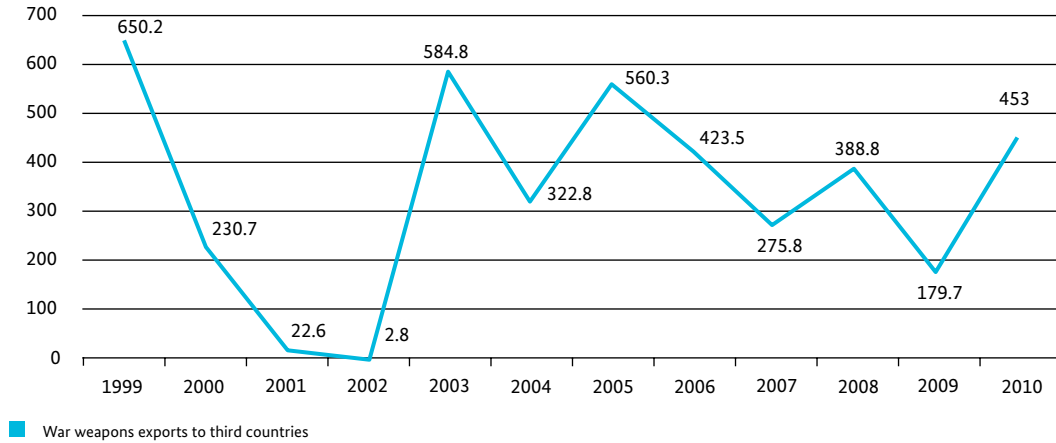
(2) Commercial exports

The value of German companies' commercial exports amounted to €2,075.9 million in 2010 (2009: €1,206.7 million). Approx. 78 % of these exports (€1,622.8 million) went to NATO, EU or NATO-equivalent countries.

Commercial weapons exports to third countries rose to €453 million from €179.7 million in 2009. Of these, exports worth €169.5 million went to Singapore and exports worth €65 million to Pakistan.

Figure 10: Commercial war weapons exports to third countries 1999–2010

in € million



The following outline contains all exports of war weapons in 2010 (commercial and German Ministry of

Defence), broken down by consignee country and value.

Country	Value in € 1,000
Afghanistan	7,963
Andorra	2
Australia	191
Austria	14,289
Belgium	66,511
Bhutan	61
Brazil	38,548
Brunei	565
Canada	14,416
Chile	24,902
Croatia	28
Cyprus	146
Czech Republic	6,889
Denmark	7,737
Egypt	13
Estonia	188
Finland	1,804
France	29,083
Greece	403,487
Hong Kong	31
Hungary	26

Country	Value in € 1,000
India	2,453
Indonesia	189
Iraq	27,572
Ireland	20
Israel	1,104
Italy	9,458
Japan	398
Korea, Republic	37,079
Kosovo	827
Kuwait	7,413
Latvia	2,582
Lebanon	58
Lithuania	241
Luxembourg	88
Malaysia	709
Mexico	87
Montenegro	1,342
New Zealand	7
The Netherlands	32,645
Norway	32,610
Pakistan	64,952

Country	Value in € 1,000
Peru	3,900
Philippines	259
Poland	1,371
Portugal	812,111
Qatar	21,345
Saudi Arabia	30,300
Singapore	169,532
Slovakia	577
Slovenia	2,603
South Africa	4,272
Spain	76,547
Sweden	14,429
Switzerland	7,655
Thailand	27
Turkey	12,110
United Arab Emirates	36,285
United Kingdom	52,820
USA	34,676
Total	€ 2,118.9 m

b) War weapon exports from 1997 to 2010

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 seven years.

Year	Total Value (in € millions)	% share of total German exports
1997	707.4	0.16
1998	683.9	0.14
1999	1,454.2	0.29
2000	680.2	0.11
2001	367.3	0.06
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 ⁴⁰	1,510.1	0.16
2008	1,427.2	0.14
2009	1,338.8	0.17
2010	2,118.9	0.20

Plotted on a chart, the trend is as follows:



40 Cf. footnote 42.

3. German military equipment exports by international comparison

Attempts are repeatedly made to produce tables ranking the world's leading exporters of military equipment. These are calculated on the basis of very different criteria which are not comparable.

The U.S. Congressional Research Service (CRS) presented its figures for 2010 in a study in September 2011⁴¹. It states that the USA concluded **arms export contracts** worth US\$21.3 billion worldwide in 2010. It thus accounted for 52.7 % of the **world's arms export contracts** (US\$40.4 billion). It was followed by Russia with US\$7.8 billion (19.3 %), Israel with US\$2.0 billion (5.0 %), Italy (US\$1.8 billion/4.5 %), United Kingdom (US\$1.4 billion/3.5 %), France (US\$1.3 billion/3.2 %) and China (US\$0.9 billion/2.2 %). According to this CRS list, Germany (US\$100 million/0.25 %) does not come into the top ten exporting nations by the value of the weapons supply contracts concluded worldwide.

The CRS states that, in terms of **actual arms exports**, Germany ranked third in 2010, with exports of a total value of US\$2.6 billion (behind the USA at US\$12.2 billion and Russia at US\$5.2 billion; total volume worldwide: US\$35.0 billion).

According to the study, approx. 62.6 % of the world's weapons exports in 2010 went to **third countries**⁴². In terms of exports to third countries, the USA ranked first, at US\$8.6 billion, ahead of Russia at US\$4.8 billion. Next came China, at US\$2.2 billion, and then Sweden and the UK at US\$1.1 billion each, and France at US\$800 million. Germany ranks ninth in this list at US\$500 million.

Germany is not ranked in the top ten in terms of arms contracts concluded with third countries in 2010. The CRS says the leading countries here were the USA, Russia, Italy, France, UK, China, Sweden, Israel and the Netherlands. According to this analysis, the trend for the years 2003–2010 shows that the United States was far in the lead, followed at quite a distance by Russia, the UK, France and China. Germany ranks sixth here, ahead of Italy and Israel.

The International Institute for Strategic Studies (IISS) has yet to present a study with 2010 figures. In its most recent publication of March 2011⁴³, the IISS simply used the figures from the September 2010 CRS report for 2009.

In its Yearbook for 2010⁴⁴, published in June 2011, the Stockholm-based SIPRI Institute ranked Germany third (as also in 2009) amongst the world's leading exporters of military equipment (behind the USA and Russia, but ahead of France and the UK). According to SIPRI, the USA had a 30 % world market share of military exports in 2010, followed by Russia (approx. 23 %), Germany (approx. 11 %), France (approx. 7 %) and the UK (approx. 4 %). The German figures rose in the 2006–2010 period primarily due to exports to NATO partners Greece and Turkey, and to South Africa.

However, the special analytical methods used by SIPRI, which are explained in detail in the document cited here, make it virtually impossible to compare the results with those of other institutes.⁴⁵

All of these comparisons suffer from the lack of globally valid standards for recording and publishing such exports. The sole exception is the UN Register of Conventional Arms (cf. Section II. 7.), which is based on a uniform world-wide system. However, it only provides the figures for certain entire weapons systems and

41 CRS Report for Congress: Conventional Arms Transfers to Developing Nations, 2003–2010 of 22 September 2011, authored by Richard F. Grimmett.

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

43 IISS, *The Military Balance 2011*, p. 478.

44 SIPRI Yearbook – Armaments, Disarmament and International Security 6. International arms transfers.

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

large-scale equipment (like tanks, submarines and combat helicopters), and thus does not permit the compilation of a meaningful ranking. A further serious weakness of previous rankings is the fact that they do not include any information about the destinations of the exports, and thus provide no useful data for an evaluation of the licensing policies of the exporting countries. The EU's annual reports on weapons exports also point to this difficulty. The lack of globally comparable data means that the publications by non-governmental organisations and specialised institutions are therefore of limited value.

The 13th annual report on the Common Position of the EU (reference year 2010), which – unlike the figures cited above – offers a very good comparative basis in terms of the EU member states due to the use of the same yardsticks and survey methods, was not available when this Report was completed. According to the 12th annual report on the EU Common Position (reference year 2009), the total value of licences issued by the leading exporters in the EU for the export of military equipment included in the EU Common Military List was as follows in 2009: France €12,678 million, Italy €6,693 million, Germany €5,043 million, UK €3,462 million, Spain €3,193 million, and the EU member states as a whole: €40,302 million.

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 weapons⁴⁶ and other military equipment⁴⁷ 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 Euro-

pean Council on 8 June 1998⁴⁸ 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.

⁴⁶ Weapons (complete weapons as well as components classed separately as weapons) listed in the War Weapons List (Annex to the War Weapons Control Act).

⁴⁷ 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.

⁴⁸ Attached as annex.

II. NATO countries⁴⁹, EU member states, countries with NATO-equivalent status⁵⁰

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.

49 Area of application of NATO Treaty, Article 6.

50 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 weapons⁵¹ 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.

51 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

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.

Export licences for war weapons or other military equipment of a quantity and type relevant to war weapons may be granted only on presentation of governmental end-use certificates that preclude re-exports without prior authorisation. This applies mutatis mutandis to any other military equipment related to war weapons exported in connection with a manufacturing licence. For the export of such equipment used for the manufacture of war weapons definitive end-use certificates must be furnished.

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

War weapons and other military equipment relevant to war weapons may only be re-exported to third countries or transferred inside the EU Internal Market with the written approval of the Federal Government.

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/CFSP⁽¹⁾ on the European Union's contribution to combating the destabilising accumulation and spread of small arms and light weapons.
- (8) The Council adopted on 23 June 2003 Common Position 2003/468/CFSP⁽²⁾ 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.

(1) OJ L 191 of 19.7.2002, p. 1.

(2) 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.⁽³⁾

(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.⁽⁴⁾

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.

(3) Last amended on 10 March 2008, OJ C 98 of 18.4.2008, p. 1.

(4) 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 instru-

ments 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.

Article 5

Export licences shall be granted only on the basis of reliable prior knowledge of end use in the country of final destination. This will generally require a thoroughly checked end-user certificate or appropriate

documentation and/or some form of official authorisation issued by the country of final destination. When assessing applications for licences to export military technology or equipment for the purposes of production in third countries, Member States shall in particular take account of the potential use of the finished product in the country of production and of the risk that the finished product might be diverted or exported to an undesirable end user.

Article 6

Without prejudice to Regulation (EC) No 1334/2000, the criteria in Article 2 of this Common Position and the consultation procedure provided for in Article 4 are also to apply to Member States in respect of 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 69, 18 March 2010 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

(most recently amended by the Ninth Ordinance Amending the War Weapons List of 26 February 1998 (Federal Law Gazette I, p. 385))

Part A War Weapons

that the Federal Republic of Germany undertakes not to manufacture (nuclear weapons, biological and chemical weapons)
(Part A of the War Weapons List is not given here)

Part B Other War Weapons

I. Projectiles

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

II. Combat Aircraft and Helicopters

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

14. Combat helicopters having at least 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,⁵²

⁵² Water-cooled machine guns (letter a), submachine guns, introduced as a model in a military armed force before September 1, 1939 (letter b), fully automatic rifles introduced as a model in a military armed force before September 2, 1945 (letters c and d) shall not be removed from the War Weapons List before the day on which the Third Act Amending the Weapons Act enters into force pursuant to its Article 5 sentence 1.

- 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 2010/2011 (status: July 2011)

Country	Date	Legal basis
Armenia and Azerbaijan	28 February 1992 29 July 1993	OSCE arms embargo UN SC Resolution no. 853
Belarus	20 June 2011	Council Decision (2011/357/CSFP)
China	27 Juni 1989	Declaration of the European Council
Democratic Republic of the Congo (Zaire)	7 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 9 October 2007 29 February 2008 14 May 2008 26 January 2009 27 April 2009 20 December 2010	Declaration of the European Council EU Council Common Position (2002/829/CSFP) 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 Council Common Position (2003/680/CSFP) EU Council Common Position (2005/440/CSFP) EU Council Common Position (2006/624/CSFP) EU Council Common Position (2007/654/CSFP) EU Council Common Position (2008/179/CSFP) EU Council Common Position (2008/369/CSFP) EU Council Common Position (2009/66/CSFP) Council Decision (2009/349/CSFP) Council Decision (2010/788/CSFP)
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 Council Common Position (2004/852/CSFP) EU Council Common Position (2006/30/CSFP) EU Council Common Position (2007/92/CSFP) EU Council Common Position (2007/761/CSFP): extended until 31 October 2008 EU Council Common Position (2008/873/CSFP): extended with effect from 1 November 2008 Council Decision (2010/656/CSFP) Council Decision (2010/801/CSFP) Council Decision (2011/17/CSFP) Council Decision (2011/18/CSFP) Council Decision (2011/221/CSFP) Council Decision (2011/412/CSFP)
Eritrea	23 December 2009 26 July 2010	UN SC Resolution no. 1907 Council Decision (2010/414/CSFP)
Guinea	27 Ocktober 2009 22 December 2009 29 March 2010 25 Oktober 2010	Council Common Position (2009/788/CSFP) Council Decision (2009/1003/CSFP) Council Decision (2010/186/CSFP) Council Decision (2010/638/CSFP)
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	UN SC Resolution no. 1747 EU Council Common Position (2007/246/CSFP) EU Council Common Position (2008/479/CSFP) Council Decision (2008/652/CSFP) Council Decision (2008/842/CSFP) Council Decision (2009/840/CSFP) Council Decision (2010/413/CSFP) Council Decision (2011/235/CSFP) Council Decision (2011/299/CSFP)
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 Council Common Position (2003/495/CSFP) EU Council Common Position (2004/553/CSFP) EU Council Common Position (2008/186/CSFP) Council Common Position (2009/175/CSFP) Council Decision (2010/128/CSFP) Council Decision (2011/100/CSFP)
Lebanon	11 August 2006 15 September 2006	UN SC Resolution no. 1701 EU Council Common Position (2006/625/CSFP)

Country	Date	Legal basis
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	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 Council Common Position (2001/357/CSFP) EU Council Common Position (2003/365/CSFP) EU Council Common Position (2004/137/CSFP) EU Council Common Position (2004/902/CSFP) EU Council Common Position (2006/31/CSFP) EU Council Common Position (2007/93/CSFP) EU Council Common Position (2007/400/CSFP) EU Council Common Position (2008/109/CSFP)
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 June 2011	UN SC Resolution no. 1970 Council Decision (2011/137/CSFP) Council Decision (2011/156/CSFP) UN SC Resolution no. 1973 Council Decision (2011/175/CSFP) Council Decision (2011/178/CSFP) Council Decision (2011/236/CSFP) Council Decision (2011/300/CSFP) Council Decision (2011/332/CSFP)
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	EU Council Common Position (1996/635/CSFP) EU Council Common Position (2003/297/CSFP) EU Council Common Position (2004/423/CSFP) EU Council Common Position (2005/340/CSFP) EU Council Common Position (2006/318/CSFP) EU Council Common Position (2007/750/CSFP) EU Council Common Position (2008/349/CSFP): extended until 30 April 2009 EU Council Common Position (2009/351/CSFP) EU Council Common Position (2009/615/CSFP) Council Decision (2009/981/CSFP) Council Decision (2010/232/CSFP) Council Decision (2011/239/CSFP)
North Korea	14 October 2006 20 November 2006 12 June 2009 27 July 2009 4 August 2009 22 December 2009 22 December 2010	UN SC Resolution no. 1718 EU Council Common Position (2006/795/CSFP) UN SC Resolution no. 1874 EU Council Common Position (2009/573/CSFP) Council Decision (2009/599/CSFP) Council Decision (2009/1002/CSFP) Council Decision (2010/800/CSFP)
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: lifting of the 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 Council Common Position (1998/409/CSFP) EU Council Common Position (2008/81/CSFP) Council Decision (2010/677/CSFP): lifting of the 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	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 Council Common Position (2002/960/CSFP) EU Council Common Position (2007/94/CSFP) EU Council Common Position (2007/391/CSFP) EU Council Common Position (2009/138/CSFP) Council Decision (2010/126/CSFP) Council Decision (2010/231/CSFP)

Country	Date	Legal basis
South Sudan	18 July 2011	Council Decision (2011/423/CSFP)
Sudan	29 March 2005 15 March 1994 9 January 2004 30 May 2005 1 June 2006 18 July 2011	UN SC Resolution no. 1591 EU Council Common Position (1994/165/CSFP) EU Council Common Position (2004/31/CSFP) EU Council Common Position (2005/411/CSFP) Council Decision (2006/386/CSFP) Council Decision (2011/423/CSFP)
Syria	9 May 2011	Council Decision (2011/273/CSFP)
Uzbekistan	14 November 2005 13 November 2006 14 May 2007 13 November 2007 10 November 2008 10 November 2008 27 October 2009	EU Council Common Position (2005/792/CSFP) EU Council Common Position (2006/787/CSFP) EU Council Common Position (2007/338/CSFP) EU Council Common Position (2007/734/CSFP) EU Council Common Position (2008/843/CSFP): extended until 13 November 2009 EU Council Common Position (2008/843/CSFP) Lifting of the arms embargo by non-extension of the EU Council Common Position (2008/843/CSFP)
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 Council Common Position (2002/145/CSFP) EU Council Common Position (2003/115/CSFP) EU Council Common Position (2004/161/CSFP) EU Council Common Position (2005/146/CSFP) EU Council Common Position (2006/51/CSFP) EU Council Common Position (2007/120/CSFP) EU Council Common Position (2008/135/CSFP) EU Council Common Position (2009/68/CSFP) Council Decision (2010/800/CSFP) Council Decision (2010/92/CSFP) Council Decision (2011/101/CSFP)

German Report to the UN Register of Conventional Arms for 2010

Exports

Report of international conventional arms transfers
 (according to United Nations General Assembly resolutions 46/36 L and 58/54)
 Reporting country: Germany
 Calendar year: 2010

A Category (I-VII)	B Final importer State(s)	C Number of items	D State of origin (if not exporter)	E Intermediate location (if any)	Remarks Comments on the transfer
I. Battle tanks	Brazil	87			* Included in Germany's 2007 exports ** 7 have arrived in 2010; 3 in 2011
	Chile	*32			
	Turkey	**10			
	Singapore	56			
	Netherlands	10			
II. Armoured combat vehicles	Chile	***63			***39 incl. in Chile's 2008 report
III. Large-calibre artillery systems	Greece	223			PzH M109
IV. Combat aircraft		nil			
V. Attack helicopters		nil			
VI. Warships	Greece	1			U-Boot Kl. 214
	Portugal	1			U-Boot Kl. 209PN
VII. Missiles and missile launchers	Spain	23			Taurus air-to-ground cruise missiles
	Luxembourg Netherlands	2 2			Stinger Stinger

Annex 7

Export Licences by Country Groups and Countries in 2010

EU-Countries

Countries	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons/EL Item								
Austria	494	A0001	79,192,651													
		A0002														
		A0003														
		A0004														
		A0005														
		A0006														
		A0007														
		A0009														
		A0010														
		A0011														
		A0014														
		A0015														
		A0016														
		A0017														
		A0018														
		A0021														
		A0022														
		Belgium							368	A0001	19,803,489					
										A0002						
										A0003						
										A0004						
										A0005						
A0006																
A0007																
A0010																
A0011																
A0015																
A0016																
A0017																
Bulgaria	17	A0003	18,777,047		1	A0018	32	3/Criterion 2, 7/ A0003, A0018								
		A0005														
		A0006														
		A0009														
		A0011														
		A0015														
		A0018														
		A0022														

Countries	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons/EL Item
Cyprus ⁵³	9	A0001 A0006 A0018	534,932					
Czech Republic	143	A0001 A0002 A0003 A0004 A0005 A0006 A0010 A0011 A0014 A0016 A0017 A0018 A0021 A0022	16,971,439					
Denmark	217	A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0009 A0010 A0011 A0014 A0016 A0017 A0018 A0021 A0022	23,821,627					
Estonia	10	A0001 A0003 A0006 A0017 A0021	70,724					
Finland	151	A0001 A0002 A0003 A0004 A0005 A0006 A0009 A0010 A0011	18,114,061					

⁵³ Except for the area which is not under the effective control of the Republic of Cyprus.

Countries	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons/EL Item
France	771	A0015	197,653,578					
		A0016						
		A0017						
		A0018						
		A0021						
		A0022						
	A0001							
	A0002							
	A0003							
	A0004							
	A0005							
	A0006							
	A0007							
	A0009							
A0010								
A0011								
A0014								
A0015								
A0016								
A0017								
A0018								
A0021								
A0022								
Greece	103	A0002	35,799,664					
		A0003						
		A0004						
		A0005						
		A0006						
		A0009						
		A0010						
		A0011						
		A0014						
		A0016						
		A0017						
		A0018						
		A0021						
		A0022						
Hungary	61	A0001	18,275,102					
		A0003						
		A0005						
		A0006						
		A0010						
		A0011						
		A0015						
		A0016						
		A0017						
		A0018						
		A0021						
		A0022						

Countries	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons/EL Item
Ireland	19	A0001 A0005 A0006 A0011 A0017 A0018	1,918,052					
Italy	590	A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0009 A0010 A0011 A0013 A0014 A0015 A0016 A0017 A0018 A0021 A0022	183,755,503					
Latvia	8	A0003 A0004 A0006 A0009 A0018 A0022	53,148,959					
Lithuania	24	A0001 A0002 A0003 A0004 A0005 A0006 A0010 A0016 A0018	1,523,377					
Luxembourg	175	A0001 A0003 A0004 A0005 A0006 A0009 A0010 A0011	41,935,380					

Countries	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons/EL Item
Malta	3	A0015	1,445,677					
		A0017						
		A0021						
		A0022						
		A0005						
Netherlands	635	A0006	155,398,287					
		A0011						
		A0015						
		A0016						
		A0017						
Poland	224	A0001	14,999,804					
		A0002						
		A0003						
		A0004						
		A0005						
		A0006						
		A0009						
		A0010						
		A0011						
		A0014						
		A0015						
		A0016						
		A0017						
		A0018						
		A0021						
		A0022						

Countries	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons/EL Item
Portugal	82	A0002 A0003 A0004 A0005 A0006 A0009 A0010 A0011 A0015 A0017 A0018 A0021 A0022	811,739,201					
Romania	19	A0003 A0004 A0005 A0006 A0010 A0011 A0015 A0018 A0021 A0022	24,677,404					
Slovakia	19	A0006 A0010 A0011 A0013 A0015 A0017 A0018	947,623					
Slovenia	29	A0001 A0002 A0003 A0004 A0006 A0010 A0014 A0015 A0017 A0018 A0022	4,402,248					

Countries	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons/EL Item								
Spain	523	A0001	84,310,026													
		A0002														
		A0003														
		A0004														
		A0005														
		A0006														
		A0007														
		A0009														
		A0010														
		A0011														
		A0014														
		A0015														
		A0017														
		A0018														
		A0021														
		A0022														
		Sweden							321	A0001	50,739,157					
										A0002						
										A0003						
										A0004						
										A0005						
										A0006						
A0009																
A0010																
A0011																
A0014																
A0015																
A0016																
A0017																
A0018																
A0021																
A0022																

Countries	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons/EL Item
United Kingdom	822	A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0008 A0009 A0010 A0011 A0014 A0015 A0016 A0017 A0018 A0021 A0022	455,052,078					
Total	5,837		2,315,007,090		1		32	

NATO/NATO-Equivalent Countries (without EU Countries)

Countries	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons/EL Item
Albania	2	A0013 A0017	1,621,723					
Australia	427	A0001 A0002 A0003 A0005 A0006 A0007 A0008 A0009 A0010 A0011 A0015 A0016 A0017 A0018 A0021 A0022	18,918,401					
Canada	651	A0001 A0002 A0003 A0004 A0005 A0006 A0009 A0010 A0011 A0014 A0015 A0016 A0017 A0018 A0021 A0022	37,033,618					
Croatia	66	A0001 A0002 A0003 A0006 A0008 A0013 A0015 A0018	6,227,982		2	A0001	6,657	1/Criterion 7/A0001

Countries	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons/EL Item
Iceland	30	A0001	94,550					
		A0003						
		A0006						
		A0007						
		A0016						
Japan	150	A0001	15,731,155					
		A0002						
		A0003						
		A0004						
		A0005						
		A0006						
		A0007						
		A0008						
		A0010						
		A0011						
		A0014						
		A0015						
		A0017						
		A0018						
A0021								
A0022								
Liechtenstein	18	A0001	124,790					
		A0003						
		A0018						
New Zealand	139	A0001	1,195,492					
		A0002						
		A0003						
		A0004						
		A0005						
		A0006						
		A0009						
		A0010						
		A0011						
		A0014						
		A0016						
		A0018						
		Norway						
A0002								
A0003								
A0004								
A0005								
A0006								
A0008								
A0009								
A0010								
A0011								
A0015								

Countries	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons/EL Item
Switzerland	2,559	A0016	92,668,660					
		A0017						
		A0018						
		A0021						
		A0022						
		A0001						
		A0002						
		A0003						
		A0004						
		A0005						
		A0006						
		A0007						
		A0008						
		A0009						
		A0010						
		A0011						
		A0014						
		A0015						
		A0016						
		A0017						
		A0018						
		A0021						
A0022								
Turkey	267	A0001	198,967,974		2	A0001 A0006	1,081,500	3/Criterion 7/A0001, A0006, A0022
		A0002						
		A0003						
		A0004						
		A0005						
		A0006						
		A0007						
		A0008						
		A0009						
		A0010						
		A0011						
		A0013						
		A0015						
		A0016						
		A0017						
		A0018						
		A0021						
A0022								

Countries	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons/EL Item
USA	1,509	A0001	602,094,020					
		A0002						
		A0003						
		A0004						
		A0005						
		A0006						
		A0007						
		A0008						
		A0009						
		A0010						
		A0011						
		A0014						
		A0015						
		A0016						
A0017								
A0018								
A0021								
A0022								
Total individual licences	6,564		1,056,190,195					
Collective export licences: EU countries and NATO or NATO-equivalent countries	69	A0004	737,280,104					
		A0005						
		A0006						
		A0009						
		A0010						
		A0011						
A0022								

Third Countries

Countries	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons/EL Item
Afghanistan	69	A0001 A0002 A0004 A0006 A0011 A0017 A0022	34,193,682	Tank transporters (Canadian army), mine-clearing equipment, armoured cross-country vehicles and parts for tanks (Canadian army), armoured vehicles (Canadian army), mine-clearing equipment, cranes (US army), tank transporters (Canadian army), armoured cross-country vehicles (A0006/65.0 %); containers and parts for containers (A0017/33.6 %)	2	A0013	1,564	1/Criterion 7/A0013
Algeria	12	A0005 A0006 A0011 A0014 A0015	19,836,443	Trucks and parts for ground vehicles (A0006/52.0 %); multisensor equipment and parts for such equipment (A0015/40.6 %)	2	A0018	175,515	1/Criterion 3/A0018
Andorra	43	A0001 A0003 A0006	296,346	Submachine guns, hunting rifles, sporting rifles and parts for hunting rifles and sporting rifles (A0001/60.4 %); ammunition for rifles, hunting weapons, sporting weapons, smooth-bore weapons and parts for ammunition for hunting weapons and sporting weapons (A0003/20.9 %)	1	A0001 A0003	2,195	2/Criterion 7/A0001, A0003
Angola	4	A0001 A0006	1,084,965	Mine-clearing equipment (aid organisations), armoured cross-country vehicles and parts for mine-clearing equipment (aid organisations) (A0006/99.9 %)				
Argentina	26	A0001 A0008 A0009 A0011 A0017 A0018	889,462	Manufacturing equipment for ammunition parts (A0018/34.6 %); parts for communication equipment and detection systems (A0011/30.7 %); parts for submarines, MEKO vessels and sonar equipment (A0009/27.6 %)	2	A0001 A0003 A0014	48,195	2/Criterion 7/A0001, A0003, A0014

Countries	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons/EL Item
Azerbaijan	2	A0006	1,180,668	Armoured cross-country vehicles (US embassy) and fire fighting vehicle (A0006/100 %)				2/Criterion 1, 4/A0002, A0010
Bahrain	17	A0001 A0003 A0009 A0010 A0011 A0022	16,424,640	Manometers and parts for patrol boats (A0009/91.0 %)				
Bangladesh	5	A0003 A0009 A0010 A0018	57,490	Parts for sonar equipment (A0009/60.7 %); cabin roof glazing (A0010/26.7 %)	2	A0003	2,586	2/Criterion 2, 7/A0001, A0003
Belarus	43	A0001 A0003 A0008	202,613	Hunting rifles, sporting rifles, self-loading rifles, smooth-bore weapons and parts for hunting rifles, sporting rifles, smooth-bore weapons (A0001/54.9 %); ammunition for hunting weapons, sporting weapons and smooth-bore weapons (A0003/45.0 %)	1	A0003	10,688	2/Criterion 2, 7/A0003, A0013
Bermuda	2	A0001	20,860	Submachine guns and parts for sub-machine guns (police) (A0001/100 %)				
Bhutan	8	A0001 A0003	63,268	Rifles with war weapons list number, submachine guns, pistols and parts for rifles with war weapons list number, submachine guns, pistols (A0001/80.5 %)				
Bolivia	1	A0001	499	Parts for sporting pistols (A0001/100 %)				
Bosnia and Herzegovina	2	A0001 A0008	4,087	Weapon sighting units (A0001/99.2 %)	1	A0001	670	
Botswana	16	A0001 A0003	470,115	Ammunition for revolvers and pistols (A0003/76.6 %); pistols, hunting rifles and parts for hunting rifles (A0001/23.4 %)				
Brazil	115	A0001 A0002 A0003 A0005 A0006 A0007 A0008 A0009	13,398,953	Parts for submarines, naval search boats and submarine diesel engines (A0009/53.0 %); parts for tanks, self-propelled howitzers and armoured vehicles (A0006/18.7 %);				1/Criterion 7/A0018, A0022

Countries	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons/EL Item								
Brunei	15	A0010	1,036,495	communication equipment, navigation systems, cathode ray tubes and parts for communication equipment, radar equipment, navigation equipment, testing equipment, electricity supplies (A0011/12.8 %)												
		A0011														
		A0013														
		A0014														
		A0016														
		A0017														
		A0021														
		A0022														
		A0001							Rifles with war weapons list number, submachine guns, pistols and parts for rifles with war weapons list number, submachine guns, pistols (A0001/41.9 %)							
		A0002														
		A0003														
												parts for cannon (A0002/35.2 %); ammunition for submachine guns and parts for mortar ammunition (A0003/22.9 %)				
		Burkina Faso							3	A0011	292,286	Communication equipment and parts for such equipment (A0015/100 %)				
										A0001	650	Parts for submachine guns (UN mission) (A0001/100 %)				
										A0004	100,000	Parachute rockets (coastguard) (A0004/100 %)				
Chile	52	A0001	16,890,576	Armoured recovery vehicles and parts for tanks and armoured vehicles (A0006/77.3 %); ship body conduits and parts for sub-marines and echo sounding equipment (A0009/18.1 %)	1	A0001	4,368									
		A0002														
		A0004														
		A0005														
		A0006														
		A0007														
		A0008														
		A0009														
		A0010														
		A0011														
		A0017														
		A0018														
A0021																
China, People's Republic	21	A0008	1,645,071	Explosives, fuels, additives and input products (A0008/95.5 %)	8	A0001 A0007 A0013 A0018 A0021	193,775	13/Criterion 1, 2, 4, 7/A0005, A0007, A0008, A0009, A0013, A0018, A0019, A0021								
		A0011														
		A0013														

Countries	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons/EL Item
Colombia	18	A0001	5,058,377	Parts for submarines and naval supply vessels (A0009/82.3 %)	1	A0015	723,935	1/Criterion 2, 7/A0015
		A0002						
		A0004						
		A0005						
		A0007						
		A0008						
		A0009						
		A0010						
		A0011						
		A0013						
A0017								
A0022								
Congo, Dem. Rep.	2	A0013	59,814	Body armour vests (EUPOL), protective headgear (police) and parts for body armour vests (A0013/100 %)				
		A0001 A0013	6,081	Hunting rifles (A0001/81.4 %)				1/Criterion 7/A0001
Côte d'Ivoire	1	A0003	28,900	Ammunition for revolvers and pistols (UN mission) (A0003/100 %)				
		A0011 A0021	346,052	Aircraft radio equipment and parts for such equipment (A0011/99.3 %)				
Dominican Republic	2	A0009	3,419,814	Ship body conduits and parts for submarines and underwater detection equipment (A0009/88.2 %)				2/Criterion 7/A0001, A0003
		A0010 A0011 A0022						
Ecuador	16	A0001	21,043,959	Parts for armoured vehicles and ground vehicles (A0006/83.9 %)	2	A0001 A0021	37,500	6/Criterion 1, 2, 3, 4, 7/A0001, A0003, A0016, A0021, A0022
		A0003						
		A0005						
		A0006						
		A0008						
		A0009						
		A0010						
		A0011						
		A0013						
		A0014						
A0017								
A0018								
A0021								
A0022								
Equatorial Guinea	1	A0002	12,390	Parts for naval guns (A0002/100 %)				
		A0010	500	Parts for transport aircraft (A0010/100 %)				
Gabon	1	A0008	350	Laboratory chemicals (A0008/100 %)	4	A0001	70,808	6/Criterion 3, 4, 7/A0001, A0005, A0013

Countries	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons/EL Item
Guinea								1/Criterion 1a/A0006
Haiti	2	A0001 A0006	29,650	Trucks and parts for trucks (disaster aid) (A0006/99.5 %)				
India	366	A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0008 A0009 A0010 A0011 A0013 A0015 A0016 A0017 A0018 A0021 A0022	96,856,031	Target range finders, fire control systems, testing and calibration equipment and parts for fire control systems, on-board weapon control systems, location recognition identification equipment (A0005/22.7 %); parts for tanks, armoured vehicles and ground vehicles (A0006/20.9 %); underwater detection equipment, ship body conduits and parts for submarines, destroyers, landing ships, radar systems, patrol boats, ships, underwater detection equipment (A0009/14.8 %); magnetic self-protection facilities, communication equipment, navigation equipment, guidance equipment, testing equipment, cathode ray tubes and parts for electronic equipment, communication equipment, positioning equipment, navigation equipment, guidance equipment, controller equipment (A0011/11.0 %); manufacturing equipment and maintenance equipment for engine parts and parts for ammunition, tanks, small arms, aircraft (A0018/10.8 %)	7	A0003 A0011 A0015 A0018 A0022	49,392	11/Criterion 1. 3, 4, 7/A0001, A0003, A0007, A0011, A0015, A0016, A0018, A0022
Indonesia	35	A0001 A0003 A0004 A0005 A0006 A0008 A0009 A0010 A0011 A0017 A0018 A0021 A0022	5,905,787	Sonar equipment and parts for submarines (A0009/48.5 %); communication equipment and parts for electronic equipment, communication equipment (A0011/28.5 %); parts for armoured vehicles and ground vehicles (A0006/5.6 %)				

Countries	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons/EL Item
Iran	17	A0001 A0002 A0003 A0004 A0005 A0006 A0010 A0011 A0013 A0014 A0015 A0017 A0018 A0021 A0022	54,288,193	Pilot helmets and parts for helicopters and on-board equipment (A0010/85.4 %)	1	A0006	1,200,000	1/Criterion 1a/A0006
Israel	216	A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0008 A0009 A0010 A0011 A0013 A0014 A0015 A0016 A0017 A0018 A0021 A0022	31,620,418	Trucks, armoured cross-country vehicles and parts for tanks and armoured vehicles (A0006/53.5 %); ship body conduits and parts for submarines and underwater detection equipment (A0009/14.6 %); navigation equipment, monitors, testing equipment, cathode ray tubes and parts for electronic equipment, communication equipment, navigation equipment, positioning equipment, testing equipment, electricity supplies (A0011/9.1 %); software for aircraft components, gears, electronic equipment, communication equipment, CAD and reconnaissance systems (A0021/6.0 %)	6	A0003 A0005 A0010 A0015 A0018	113,763	7/Criterion 3, 4, 7/A0003, A0010, A0015, A0016, A0018, A0022
Jordan	23	A0001 A0003 A0004 A0006 A0015 A0021	1,412,036	Mine-clearing equipment (aid organisations) and parts for mine-clearing equipment, cross-country vehicles (A0006/36.7 %); rifles with war weapons list number, pistols, sporting pistols and parts for rifles with war weapons list number, pistols (A0001/28.0 %); parachute rockets (A0004/16.3 %)				1/Criterion 7/A0001

Countries	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons/EL Item
Kazakhstan	100	A0001 A0003 A0008 A0010 A0017	3,954,486	Explosives and fuels (A0008/53.0 %); hunting rifles, sporting rifles, smooth-bore weapons and parts for hunting rifles, sporting rifles, sporting pistols, smooth-bore weapons (A0001/35.1 %)	2	A0001 A0003	2,600	5/Criterion 2, 7/A0001, A0003, A0006
		A0006	138,220	Armoured cross-country vehicles (Swiss Embassy) (A0006/100 %)				
Kyrgyzstan	15	A0001 A0003	34,476	Hunting rifles and parts for hunting rifles (A0004/58.4 %); ammunition for hunting weapons, sporting weapons and smooth-bore weapons (A0003/41.6 %)				
		A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0008 A0009 A0010 A0011 A0013 A0014 A0015 A0016 A0017 A0018 A0021 A0022	270,862,393	Parts for combat aircraft, training aircraft, helicopters, aircraft and on-board equipment (A0010/40.2 %); missiles and parts for missiles (A0004/22.9 %); submarine simulator and parts for it (A0014/11.2 %); communication equipment, navigation equipment, stabilisation systems, data processing equipment, testing equipment and parts for electronic equipment, communication equipment, navigation equipment, guidance equipment, electronic warfare equipment, assemblies, construction components (A0011/5.2 %); parts for tanks, armoured vehicles and ground vehicles (A0006/5.0 %)				1/Criterion 1/A0003, A0018, A0022
Kosovo	25	A0001 A0003 A0007 A0013	1,655,211	Rifles with war weapons list number, submachine guns, sniper rifles, smooth-bore weapons and parts for rifles with war weapons list number, submachine guns (A0001/61.8 %); ammunition for rifles, revolvers, pistols, sporting weapons, hunting weapons and smooth-bore weapons (A0003/36.3 %)	1	A0001	650	2/Criterion 7/A0001

Countries	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons/EL Item
Kuwait	86	A0001 A0002 A0003 A0006 A0007 A0009 A0010 A0011 A0015 A0021	19,657,731	Trucks and parts for tanks and armoured vehicles (A0006/68.5 %); decontamination equipment, detection equipment and parts for detection equipment (A0007/10.0 %); image enhancement equipment, multisensor equipment and parts for image enhancement equipment, multisensor equipment (A0015/7.2 %)	1	A0001	4,072	
Lebanon	23	A0001 A0003 A0007 A0013 A0021	832,143	Rifles with war weapons list number, submachine guns (UN mission), pistols, weapon sighting units (UN mission) and parts for rifles with war weapons list number, submachine guns (UN mission), pistols, weapon sighting units (UN mission) (A0001/75.9 %); ammunition for rifles (UN mission), submachine guns (UN mission), revolvers (UN mission), pistols (UN mission) and smooth-bore guns (UN mission) (A0003/12.2 %)				
Lesotho	1	A0001	17,050	Pistols (police) (A0001/100 %)				1/Criterion 1a/A0006
Liberia								
Libya	8	A0005 A0006 A0007 A0011	6,109,934	Battlefield surveillance radar and parts for it (A0005/72.0 %); armoured cross-country vehicles and parts for reconnaissance vehicles, cross-country vehicles (A0006/16.6 %)	1	A0006	82,415	11/Criterion 2, 3, 4, 6b, 7/A0003, A0004, A0005, A0006, A0007, A0011, A0018, A0021, A0022
Macedonia	5	A0001 A0007 A0015	105,501	Night vision goggles (A0015/47.6 %); protective cabin (A0007/47.2 %)	1	A0001	9,164	

Countries	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons/EL Item
Malaysia	101	A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0009 A0010 A0011 A0013 A0017 A0018 A0021 A0022	40,546,678	Rifles with war weapons list number, revolvers, pistols, smooth-bore weapons, silencers, weapon sighting units and parts for rifles with war weapons list number, submachine guns, revolvers, pistols, smooth-bore weapons, weapon sighting units (A0001/64.2 %); sonar equipment, echo sounding facility and parts for submarines, patrol boats, ships, underwater detection equipment (A0009/15.7 %); fire control systems and parts for fire control systems, weapon sighting units, on-board weapons-control systems (A0005/7.1 %)				
Mali	2	A0006	1,263,500	Trucks (A0006/100 %)				
Mauritius	12	A0001 A0003	50,128	Revolvers, hunting rifles, sporting rifles and parts for hunting rifles and sporting rifles (A0001/97.9 %)	1	A0001	450	1/Criterion 7/A0001
Mexico	42	A0001 A0002 A0005 A0007 A0008 A0010 A0013 A0016 A0018 A0021 A0022	2,643,267	Weapon sighting units and parts for rifles with war weapons list number, machine guns, submachine guns, pistols (A0001/41.0 %); armour plate and ballistic protection mats (A0013/35.7 %); parts for transport aircraft and on-board equipment (A0010/11.0 %)	1	A0001	24,036	1/Criterion 7/A0001
Moldova, Republic					1	A0001	5,000	
Mongolia	6	A0001 A0003 A0006	187,925	Cross-country vehicles (A0006/74.5 %); hunting rifles, sporting rifles, and parts for hunting rifles (A0001/25.2 %)				

Countries	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons/EL Item
Montenegro	18	A0001 A0002 A0003 A0006 A0007 A0021	1,505,045	Rifles with war weapons list number, sniper rifles, hunting rifles and parts for rifles with war weapons list number (A0001/93.4 %)				1/Criterion 7/A0001
Morocco	20	A0005 A0006 A0008 A0010 A0011 A0013 A0021	13,205,833	Parachutes and parts for combat aircraft, transport aircraft (A0010/47.8 %); communication equipment, navigation equipment and parts for communication equipment, navigation equipment (A0011/36.9 %)				1/Criterion 3, 4/A0003
Namibia	52	A0001 A0003 A0006 A0016	905,921	Trucks and trailers (A0006/66.8 %); pistols, hunting rifles, sporting rifles, weapon sighting units and parts for pistols, hunting rifles, sporting rifles, sporting pistols (A0001/30.1 %)	2	A0001	11,600	1/Criterion 7/A0001
Nepal					1	A0003	230	3/Criterion 2, 3, 7, 8/A0003, A0006, A0018
Nigeria	9	A0006	2,813,565	Armoured cross-country vehicles (A0006/100 %)	1	A0006	16,000	1/Criterion 7/A0006
Oman	116	A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0010 A0011 A0013 A0015 A0021	19,530,748	Communication equipment and parts for communication equipment (A0011/80.1 %)				

Countries	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons/EL Item								
Pakistan	71	A0002	96,677,141	Missiles and parts for mine-clearing systems, missiles, torpedoes (A0004/49.3 %); communication equipment and parts for communication equipment, radar systems (A0011/30.7 %); air reconnaissance system (A0010/9.7 %)	1	A0018	19,910	3/Criterion 2, 3, 4, 6b, 7/A0001, A0018								
		A0003														
		A0004														
		A0005														
		A0006														
		A0007														
		A0008														
		A0009														
		A0010														
		A0011														
		A0013														
		A0014														
		A0016														
		A0021														
		A0022														
		Panama							1	A0010	160,000	Helicopters (private company) (A0010/100 %)	1	A0013	1,126	1/Criterion 2/A0013
		Peru							22	A0001	5,609,551	Torpedo parts (A0004/40.2 %); parts for submarines (A0009/25.2 %); communication equipment and parts for communication equipment (A0011/18.8 %)				
										A0002						
										A0004						
										A0005						
										A0009						
										A0011						
A0013																
A0015																
A0017																
Philippines	23		A0001	1,842,405	Communication equipment and parts for communication equipment (A0011/53.3 %) rifles with war weapons list number, submachine guns, silencers and parts for rifles with war weapons list number, submachine guns (A0001/34.0 %)	2	A0001	105,900		3/Criterion 2, 3, 7/A0001						
		A0002														
		A0003														
		A0010														
		A0011														
Qatar	17	A0001	3,992,358	Communication equipment, navigation equipment and parts for head-up displays (A0011/62.1 %); target simulators (A0014/14.4 %); armoured cross-country vehicles (A0006/7.0 %)												
		A0003														
		A0006														
		A0007														
		A0010														
		A0011														
A0014																
A0015																

Countries	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons/EL Item
Russian Federation	426	A0001 A0003 A0006 A0007 A0008 A0009 A0010 A0011 A0013 A0016 A0018 A0022	18,603,468	Rifles without war weapons list number, revolvers, pistols, hunting rifles, sporting rifles, self-loading rifles, smooth-bore weapons, sporting pistols and parts for revolvers, pistols, hunting rifles, smooth-bore weapons, self-loading rifles, smooth-bore weapons, sporting pistols (A0001/56.6 %); cross-country vehicles, armoured cross-country vehicles and parts for cross-country vehicles (A0006/23.4 %); ammunition for rifles, revolvers, pistols, hunting weapons, sporting weapons, smooth-bore weapons and parts for smooth-bore weapon ammunition (A0003/9.8 %)	7	A0001 A0018	42,184	9/Criterion 7/A0001, A0005, A0011, A0018, A0021, A0022
San Marino	10	A0001 A0003 A0018	33,995	Rifles without war weapons list number, revolvers, pistols, self-loading rifles and parts for revolvers, pistols (A0001/96.8 %)	2	A0001 A0018	1,185	2/Criterion 7/A0001, A018
Saudi Arabia	232	A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0008 A0009 A0010 A0011 A0013 A0014 A0015 A0016 A0018 A0021 A0022	152,492,937	Electronic equipment, communication equipment, navigation equipment and parts for electronic equipment, communication equipment, electronic warfare, assemblies (A0011/29.8 %); missiles, simulators, illuminating ammunition, simulator ammunition and parts for sea mine-clearing systems, missiles (A0004/17.1 %); parts for fast patrol boats and patrol boats (A0009/15.7 %); air reconnaissance system and parts for combat aircraft, tanker aircraft, engines, on-board equipment (A0010/9.9 %); ammunition for rifles, submachine guns, hunting weapons, sporting weapons, smoke grenades, irritant grenades and ammunition parts for the following: howitzers, cannon, mortars, rifles, revolvers, pistols (A0003/5.9 %);				

Countries	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons/EL Item
Senegal	2	A0001 A0006	77,394	trucks and parts for armoured vehicles, trucks (A0006/5.8 %)				
Serbia	39	A0001 A0003 A0007 A0008 A0011 A0017	386,918	Trucks (A0006/95.7 %) Hunting rifles, sporting rifles, self-loading rifles and parts for hunting rifles, sporting rifles, self-loading rifles (A0001/51.1 %); irritants and parts for chemical-protective garments (A0007/28.9 %); communication equipment and parts for such equipment (A0011/18.9 %)	6	A0003 A0005	15,400	6/Criterion 7/A0003, A0005, A0018
Seychelles								1/Criterion 7/A0001
Singapore	160	A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0008 A0009 A0010 A0011 A0013 A0014 A0015 A0016 A0017 A0018 A0021 A0022	54,027,445	Recoilless weapons (A0002/37.3 %); armoured recovery vehicles, armoured bridgelayers, trucks and parts for tanks, armoured vehicles, amphibious vehicles, armoured bridgelayers, cross-country vehicles, ground vehicles (A0006/34.0 %); submarine simulator, target simulators and parts for centrifuges, target simulators, weapon training equipment (A0014/12.6 %)	1	A0021	26,380	1/Criterion 7/A0021
Salomons	1	A0007	4,158	Decontamination equipment (regional assistance mission) (A0007/100 %)				
Somalia	1	A0006	3,000,000	Mine-clearing cutters and parts for them (UN mission) (A0006/100 %)				

Countries	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons/EL Item
South Africa	172	A0001 A0002 A0003 A0004 A0005 A0006 A0007 A0008 A0010 A0011 A0015 A0016 A0017 A0018 A0021 A0022	22,168,247	Location recognition identification equipment, target surveillance systems, testing and calibration equipment and parts for fire control units, location recognition identification equipment, gun laying equipment, on-board weapons-control systems, target surveillance systems, testing and calibration equipment (A0005/45.6 %); missiles, missile defence systems, illuminating cartridges, simulator ammunition, decoys and parts for missiles (A0004/28.1 %); night-vision gear, multisensor platform, thermal imaging devices and parts for thermal imaging devices (A0015/10.3 %)	4	A0001 A0018 A0022	71,125	6/Criterion 3, 7/A0001, A0022
Sri Lanka					1	A0010	2,852	
Sudan	6	A0003 A0006 A0017	866,015	Parts for mine-clearing equipment (UN mission) (A0006/75.1 %); containers (UN mission) (A0017/21.4 %)				2/Criterion 3, 7/A0001, A0010
Suriname								
Swaziland								1/Criterion 2/A0001
Tajikistan	3	A0006 A0013 A0015	199,360	Ballistic body armour vests (police) (A0013/90.3 %)	2	A0001 A0003 A0018	3,269	1/Criterion 3, 7/A0001, A0003, A0018
Tanzania	9	A0001 A0006	1,135,772	Trucks (A0006/95.8 %)				1/Criterion 7/A0001
Thailand	61	A0001 A0004 A0005 A0007 A0008 A0009 A0010 A0011 A0013 A0015 A0017 A0018	13,031,489	Electronic equipment, communication equipment, obstacle warning systems and parts for electronic equipment, communication equipment, detection systems, electricity supplies (A0011/45.3 %); helicopter engines and parts for training aircraft, targeting drones, ground support equipment, breathing equipment (A0010/41.3 %)	7	A0001 A0005 A0013	467,378	3/Criterion 2, 3, 7/A0005, A0006, A0013

Countries	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons/EL Item
Timor-Leste	1	A0021	15,105	Binoculars with laser range finders (UN mission) (A0005/100 %)				
		A0022						
Togo	3	A0005	131,152	Trucks and parts for armoured vehicles (A0006/100 %)				
		A0006						
Trinidad und Tobago	3	A0001	13,175	Rifles with war weapons list number, pistols and parts for rifles with war weapons list number (A0001/100 %)				
		A0001						
Tunisia	7	A0006	1,648,124	Parts for helicopters (A0010/85.0 %)				
		A0008						
Turkmenistan	5	A0010	8,335,780	Communication equipment and parts for such equipment (A0011/73.9 %); trucks, armoured cross-country vehicles and parts for armoured vehicles (A0006/26.0 %)	6	A0001 A0003 A0004 A0013 A0015	382,040	4/Criterion 2/A0001, A0003, A0004, A0013, A0015
		A0011						
Uganda	3	A0006	98,650	Trucks (A0006/99.9 %)				
		A0006						
Ukraine	114	A0001	3,573,980	Pistols, hunting rifles, sporting rifles, smooth-bore weapons, cartridge clips and parts for hunting rifles and sporting rifles (A0001/56.2 %); armoured cross-country vehicles (A0006/32.0 %)	2	A0001 A0003 A0015	341,978	7/Criterion 7/A0001, A0003, A0005, A0015, A0022
		A0003						
United Arab Emirates	158	A0006	262,513,354	Combat training centre, target simulators, practice torpedoes, recovery equipment for torpedoes and parts for flight simulators and target simulators (A0014/36.8 %)	2	A0001 A0005	17,710	3/Criterion 1, 7/A0001, A0004, A0005
		A0001						
		A0002		low-load semi-trailers for artillery missile systems, trucks, armoured cross-country vehicles and parts for tanks, armoured vehicles, trucks, mine-clearing equipment, ground vehicles (A0006/30.7 %);				
		A0002						

Countries	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons/EL Item
Uruguay	4	A0003 A0008 A0014	137,642	communication equipment, testing equipment and parts for communication equipment, radar systems, electronic warfare (A0011/17.9 %)				
Venezuela	2	A0009 A0015 A0022	5,139,486	Ammunition for training equipment (A0014/97.8 %) Parts for submarines (A0009/99.8 %)				2/Criterion 4/A0021, A0022
Vietnam	8	A0007 A0011 A0013 A0021	3,507,588	Detection equipment, radiation detection equipment and parts for detection equipment, radiation detection equipment, mass spectrometers, ion mobility spectrometers (A0007/84.6 %)				
Yemen	1	A0006	120,000	Armoured cross-country vehicles (British Council) (A0006/100 %)	3	A0010 A0011 A0016 A0021	2,645,691	4/Criterion 2, 3, 7/A0006, A0010, A0011, A0016, A0021
Zambia	4	A0001	29,075	Hunting rifles, sporting rifles and smooth-bore weapons (A0001/100 %)	1	A0003	6,500	
Zimbabwe	1	A0007	4,036	Radiation detection equipment (Ministry of Health and Child Welfare) (A0007/100 %)				
Greenland	1	A0003	3,750	Ammunition for hunting and sporting weapons (A0003/100 %)				
Hong Kong	11	A0001 A0007 A0013 A0017 A0021	281,177	Diving equipment and parts for such equipment (A0017/63.9 %); submachine guns and parts for rifles with war weapons list number, submachine guns, pistols and sporting pistols (A0001/19.5 %)	2	A0001 A0018	2,156	1/Criterion 7/A0013
New Caledonia	16	A0001 A0003	43,148	Hunting rifles, sporting rifles, weapon sighting units and parts for hunting rifles and sporting rifles (A0001/93.9 %)				
Dutch Antilles	1	A0001	33,949	Pistols and parts for pistols (A0004/100 %)				

Countries	No. of Licenses	EL Item	Total Value (€)	EL Merchandise as Percentage of Total Value	Denials of Final Exports	EL Item	Total Value (€)	No. of Denials/Reasons/EL Item
Taiwan	27	A0001 A0003 A0004 A0006 A0007 A0008 A0009 A0011 A0013 A0016 A0022	8,727,802	Parts for minesweepers, mine warfare vessels and underwater detection equipment (A0009/34.1 %); forged components for artillery rocket motors (A0016/31.8 %); parts for electronic equipment, communication equipment (A0011/16.5 %)	4	A0005	115,382	10/Criterion 1, 4/ A0001, A0005, A0009, A0011, A0016, A0018, A0022
Total	3,744		1,382,938,752		108		7,059,337	

The above cited denials contain, apart from denied licence applications, also denied advance inquiries about licensing prospects 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. Also, further discrepancies can arise due to the time gap between the decision to deny an export licence application and the issuing of the denial.

With regard to the non-inclusion of advance inquiries which have been decided positively in this list, cf. also the introduction to Chapter III of the main section.

Licences for Trading and Brokering Transactions in 2010

Licences for trading and brokering transactions (Part IA – military articles, final exports) in 2010

Country	Number	Total value €	Description of Articles	Value €	EL Item	Consignee
Afghanistan	1	890,352	1 item container	890,352	A00171	Commanding Officer Canadian Detachment OP Athena ISAF TFA
Algeria	1	unknown	3 patrol boats	unknown	A0009	Algerian navy
Chile	1	154,712	2 items Key and Frequency Management Centre	154,712	A0011a	Chilean air force
Egypt	2	57,403	1 item software update 300 kg octogen (HMX)	1,500 55,903	A0021a A0008a	Egyptian navy Maasara Co. for Engineering Industries
India	1	14,000	8 training and simulation units for AARGM (Advanced Anti-Radiation Guided Missiles)	14,000	A0014	Defence Ministry
India	1	unknown	up to 240 bombs, 590,000 pieces of ammunition for cannon/automatic cannon, 110,000 items components for this, 150,000 propellant charges	unknown	A0003	Indian Defence Ministry
Israel	1	6,375	25 items parts for fire control systems	6,375	A0005	Defence Ministry
Korea, Republic	6	2,937,940	1 set splinter protection suit 7,000 kg octogen (HMX) 50 kg octogen (HMX) 200 kg military explosives Components for demolition snake	27,610 995,900 29,000 23,200 1,862,230	A0013d A0008a A0008a A0008a A0004b	ASC (Ammunition Support Command) Defence Acquisition Program Administration Defence Acquisition Program Administration Defence Acquisition Program Administration Defence Acquisition Program Administration
Kuwait	1	unknown	3 patrol boats	unknown	A0009	Kuwaiti navy
Malaysia	1	unknown	3 patrol boats	unknown	A0009	Malaysian navy
Mexico	1	17,000	1 set of tools for a forming press	17,000	A0018a	Defence Ministry
Singapore	1	unknown	38,000 pieces of 120 mm mortar ammunition, 30,000 pieces of 60 mm mortar ammunition	unknown	A 0003a	Singaporean Defence Ministry, Singaporean armed forces or state-owned defence company AME
South Africa	3	38,720	21 items of armoured glass for trucks	38,720	A0006a	LMT Products (Pty) Ltd.
South Africa	1	unknown	up to: 240 bombs, 590,000 pieces of ammunition for cannon/automatic cannon, 110,000 items of components for this, 150,000 propellant charges	unknown	A 0003	South African defence company owned by a German firm
United Arab Emirates	1	unknown	150,000 pieces of ammunition for cannon/automatic cannon	unknown	A 0003a	Government agencies of the UAE

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).

In the case of the brokering licences for 3 patrol boats listed above, the total number of boats concerned was three, but the boats were alternatively to go to one of the three countries listed.

Rejected licences for trading and brokering transactions (Part IA - military articles, final exports) in 2010

Country	Number	Total value €	Description of Articles	Value in €	EL Item	Consignee
-	-	-	-	-	-	-

Annex 9

List of the OECD Development Assistance Committee on Developing Countries and Areas

DAC List of ODA Recipients. Effective for reporting on 2008, 2009 and 2010 flows

Least Developed Countries	Other Low Income Countries (per capita GNI < \$935 in 2007)	Lower Middle Income Countries and Territories (per capita GNI \$936 – \$3.705 in 2007)	Upper Middle Income Countries and Territories (per capita GNI \$3.706 – \$11.455 in 2007)
Afghanistan	Côte d'Ivoire	Albania	*Anguilla
Angola	Ghana	Algeria	Antigua and Barbuda ¹
Bangladesh	Kenya	Armenia	Argentina
Benin	Korea, Dem. Rep.	Azerbaijan	Barbados ²
Bhutan	Kyrgyz Rep.	Bolivia	Belarus
Burkina Faso	Nigeria	Bosnia and Herzegovina	Belize
Burundi	Pakistan	Cameroon	Botswana
Cambodia	Papua New Guinea	Cape Verde	Brazil
Central African Rep.	Tajikistan	China	Chile
Chad	Uzbekistan	Colombia	Cook Islands
Comoros	Vietnam	Congo, Rep.	Costa Rica
Congo, Dem. Rep.	Zimbabwe	Dominican Republic	Croatia
Djibouti		Ecuador	Cuba
Equatorial Guinea		Egypt	Dominica
Eritrea		El Salvador	Fiji
Ethiopia		Georgia	Gabon
Gambia		Guatemala	Grenada
Guinea		Guyana	Jamaica
Guinea-Bissau		Honduras	Kazakhstan
Haiti		India	Lebanon
Kiribati		Indonesia	Libya
Laos		Iran	Malaysia
Lesotho		Iraq	Mauritius
Liberia		Jordan	*Mayotte
Madagascar		Macedonia, Former Yugoslav Republic of	Mexico
Malawi		Marshall Islands	Montenegro
Maldives		Micronesia, Federated States	*Montserrat
Mali		Moldova	Nauru
Mauritania		Mongolia	Oman ¹
Mozambique		Morocco	Palau
Myanmar		Namibia	Panama
Nepal		Nicaragua	Serbia ³
Niger		Niue	Seychelles
Rwanda		Palestinian Administered Areas	South Africa
Samoa		Paraguay	*St. Helena
São Tomé and Príncipe		Peru	St. Kitts-Nevis
Senegal		Philippines	St. Lucia
Sierra Leone		Sri Lanka	St. Vincent and Grenadines
Solomon Islands		Swaziland	Suriname
Somalia		Syria	Trinidad and Tobago ²
Sudan		Thailand	Turkey
Tanzania		*Tokelau	Uruguay
Timor-Leste		Tonga	Venezuela
Togo		Tunisia	
Tuvalu		Turkmenistan	
Uganda		Ukraine	
Vanuatu		*Wallis and Futuna	
Yemen			
Zambia			

* Territory

- 1 Antigua and Barbuda and Oman exceeded the high income country threshold in 2007. In accordance with the DAC rules for revision of this list, both will graduate from the list in 2011 if they remain high income countries until 2010.
- 2 Barbados and Trinidad and Tobago exceeded the high income country threshold in 2006 and 2007. In accordance with the DAC rules for revision of this list, both will graduate from the list in 2011 if they remain high income countries until 2010.
- 3 At present aid to Kosovo is recorded under aid to Serbia. Kosovo will be listed separately if and when it is recognised by the UN.

